NHS
University Hospitals of
Derby and Burton
NHS Foundation Trust

Safety Management Standard
Risk Assessment

Taking pride in caring

Contents

Document Control

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1. Introduction

University Hospitals of Derby and Burton NHS Foundation Trust recognises its duties under the *Health and Safety at Work Act (HASAWA) 1974 and The Management of Health and Safety Regulations 1999* to provide suitable arrangements to assess risks in the workplace and ensure adequate precautions are in place to ensure that employees and others are not harmed.

This safety management standard gives a simple overview of the main requirements to conduct risk assessments.

2. Purpose and Aims

This Safety Management Standard (SMS) supplements the Health and Safety Policy and aims to improve awareness of the risk assessment process.

3. What is a risk assessment?

A risk assessment is simply a careful examination of what, in your work, could cause harm to people, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm.

4. Definitions

Hazard - A hazard is anything that may cause harm, such as chemicals, electricity, working from ladders, an open draw, etc.

Risk - The risk is the likelihood that somebody could be harmed by a hazard, together with an indication of how serious the harm could be.

DATIX - the Trust's electronic central database used to prioritise risks and provide a tracking mechanism for implementation of actions and risk reduction.

5. The Law

The *Management of Health & safety at Work Regulations 1999* – these regulations are the main legislation on risk assessment. Regulation 3 requires employers to undertake a 'suitable and sufficient' risk assessment of the risk to employees and others who may be affected by work activities. Regulation 4 (and schedule 1) set out the 'principles of prevention to be applied' – basically a hierarchy of measures to control risk, starting with the elimination of the hazard wherever possible (See appendix 1).

In addition to the general requirement to undertake risk assessment, the regulations include specific duties to assess the risk to new and expectant mothers and also young persons at work (under 18, at work or on work experience).

In addition to the general duties set out in the management regulations, many other pieces of legislation include a specific requirement to carry out risk assessment:

The Control of substances Hazardous to Health Regulations (COSHH) – require that all hazardous substances used in the workplace must have a COSHH assessment undertaken before they are brought into use.

The Regulatory Reform (Fire Safety) Order – require the responsible person to: carry out a Fire Risk Assessment; take general fire precautions; implement protective measures; and, maintain a fire emergency plan.

The Manual Handling Operation Regulations – require employers to avoid the need for hazardous manual handling, assess and reduce the risk from any hazardous manual handling that cannot be avoided.

The Work at Height Regulations – require employers to take measures to avoid the risks from work at height i.e. by undertaking a risk assessment.

The Display Screen Equipment Regulations – require employers to undertake an analysis of the workstation to assess and reduce risks.

Control of noise at Work Regulations – require employers to assess the risks to employees from noise at work.

Control of Vibration at Work Regulations – require employers to carry out an assessment of the risk to health created by vibration at the workplace.

6. Stages of risk assessment

Whilst some of these regulations have specific requirements and may have their own risks assessment form/format, many of the stages of the risk assessment process are the same:

1. <u>Identify the hazards</u> – i.e. work out how people could be harmed: but remember to concentrate on significant hazard and ignore the trivial.

2. <u>Decide who might be harmed and how</u> – e.g. Employee/ bank staff, patients, contractor/ maintenance, member of the public/others. How could they be harmed? Remember some people have particular requirements, e.g. young workers, new and expectant mothers and people with disabilities.

3. <u>Evaluate the risks and decide on precautions</u> – having spotted the hazards, you then have to decide what to do about them. The law requires you to do everything 'reasonably practicable' to protect people from harm. So first, look at what you're already doing; think about what controls you have in place and how the work is organised. Then compare this with the good practice and see if there's more you should be doing to bring yourself you to standard. In asking yourself this consider:

- Can I get rid of the hazard altogether?

- If not, how can I control the risks so that harm is unlikely?

4. <u>Record your findings and implement them</u> – record your findings using a risk assessment template [Risk profiling and assessment | z UHDB Intranet](#) and share them with relevant staff. Make sure that you put the findings of the assessments into practice; if necessary, produce an action plan to implement further controls.

5. <u>Review your risk assessment and update if necessary</u> – assessments should be reviewed regularly; we recommend reviews take place annually or when activities change or new equipment, etc., is acquired. You should also review relevant assessments following accidents.

7. Risk Register

All risk assessments must be accessible to staff and filed locally within the relevant department and made available for audit and legal requirements.

Should any risk require to be escalated and brought to the attention of senior, business unit or divisional management, or is rated a high or extreme risk (≥10) then this risk much be recorded on DATIX.

Entry of risks assessments onto DATIX should be undertaken by the risk assessor for that area with licence based access to the DATIX.

For further advice, guidance, contact your Divisional Governance Team or Trust Risk Services.

8. Managers' responsibilities

Managers must examine the various hazards in the workplace and ensure that appropriate risk assessments and controls are in place to protect both staff and others.

Managers must ensure that any controls remain effective – for instance do staff know the risks from hazards in the workplace and ensure that controls, including personal protective equipment (PPE) are used? Do staff need any additional training to ensure they can work safely?

9. Employees' duties

Employees must cooperate with their employer and ensure that they follow training received, take reasonable care of their own and other people's health and safety, co-operate with their employer and tell someone (your employer, supervisor, or health and safety representative) if they think the work or inadequate precautions are putting anyone's health and safety at serious risk.

10. Training

Those undertaking risk assessments should be competent. A competent person is someone with the necessary skills, knowledge and experience to undertake the task. Competence doesn't always involve formal training; however, if the risk isn't straightforward, training must be considered.

Training on risk assessment is available; please contact the Health and Safety Team or visit: eForms and documents | z UHDB Intranet

11. Monitoring & Review

This Safety Management Standard will be regularly monitored and reviewed by the Health and Safety Team to:

- Ensure it continues to comply with legislation
- Ensure that it is reasonably practicable to implement to all those concerned within the Trust.

12. Further information

The Health and Safety Executive (HSE) has a range of information on risk management. General information is available at: Managing risks and risk assessment at work – Overview -HSE. For information on specific risks consult one of our other health & safety management standards or use the search function at HSE: Information about health and safety at work.

We hope you find this SMS useful; if you require further information please contact one of the health and safety team:

Health and Safety

General enquiries during normal hours   07385 411684

07385 343668

Out of Hours   07385 343631

07385 411682

dhft.healthandsafety@nhs.net

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Appendix 1 – Hierarchy of Control Measures

Hierarchy of Controls

Most effective

Least effective

Level	Description
Elimination	Physically remove the hazard
Substitution	Replace the hazard
Engineering Controls	Isolate people from the hazard
Administrative Controls	Change the way people work
PPE	Protect the worker with Personal Protective Equipment

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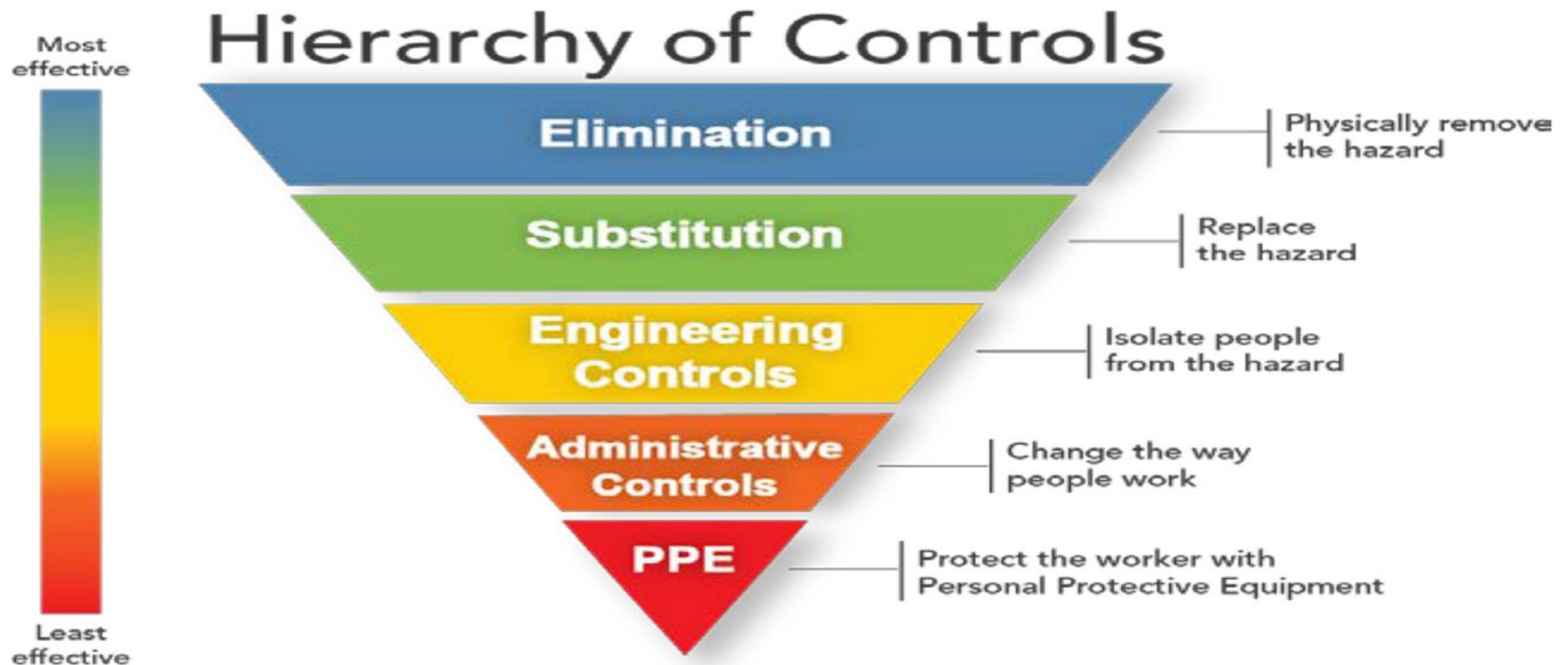
Appendix 2 – Health and Safety Risk assessment process

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                    ┌─────────────────────┐
                    │   Complete/update   │
                    │ Risk assessment form│
                    └─────────────────────┘
                              │
        ┌─────────────────────┴─────────────────────┐
┌─────────────────┐                     ┌─────────────────────┐
│Identify the     │                     │Decide who might be  │
│hazards          │                     │harmed and how       │
└─────────────────┘                     └─────────────────────┘
        └─────────────────────┬─────────────────────┘
                    ┌─────────────────────┐
                    │Evaluate the risks   │
                    │and decide on risk-  │
                    │control measures     │
                    └─────────────────────┘
                              │
                    ┌─────────────────────┐
                    │ Record your findings│
                    └─────────────────────┘
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| Risk Rating <10 (Record Locally) | Risk Rating 10 - 14 (Record on DATIX) | Risk Rating >=15 (Record on DATIX) |

Review your assessment and update if necessary

CHANGE

ACCIDENT

INVESTIGATE

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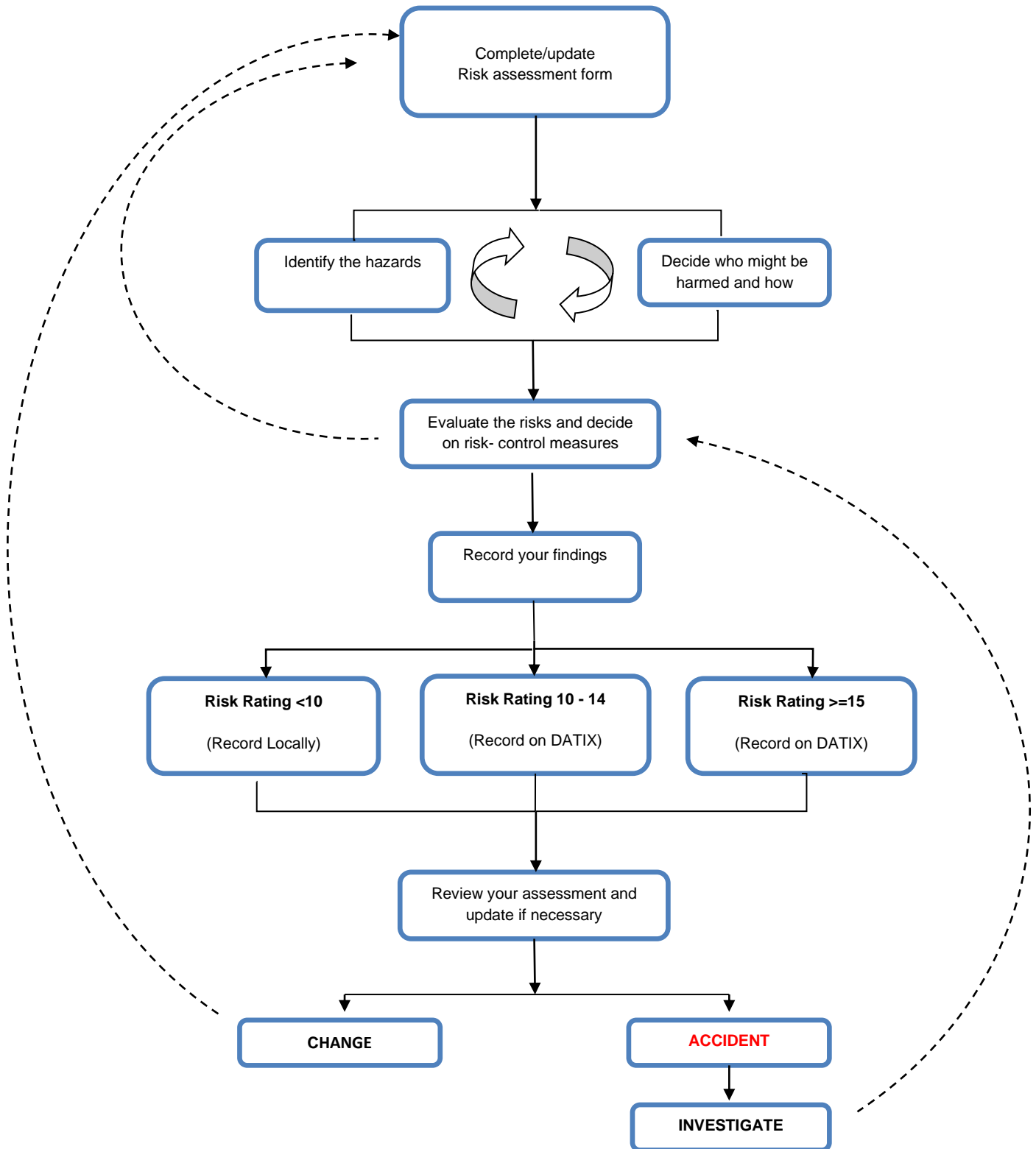
Calculating the risk rating

The Health & Safety Executive (HSE) state that most businesses do not need to use risk matrices. However, they can be used to help you work out the level of risk associated with a particular issue. They do this by categorising the likelihood of harm and the potential severity of the harm. This is then plotted in a matrix (see below). The risk level determines which risks should be tackled first.

Using a matrix can be helpful for prioritising your actions to control a risk. It is suitable for many assessments but in particular to more complex situations. However, it does require expertise and experience to judge the likelihood of harm accurately. Getting this wrong could result in applying unnecessary control measures or failing to take important ones.

The Trust's general risk assessment forms include a numerical risk rating obtained from multiplying a consequence score by a likelihood score – see below.

The Trust's risk assessment forms calculate risk by estimating the likelihood of something going wrong and estimating how severe injury (or loss) would be if it happened. Multiplying these two numbers together gives the overall risk rating and helps in planning solutions.

Likelihood is assessed as:

1. Rare   (Not expected to occur for years)
2. Unlikely   (Expected to occur at least annually)
3. Possible   (Expected to occur at least monthly)
4. Expected   (Expected to occur at least weekly)
5. Almost Certain (Expected to occur at least daily)

Consequence is assessed as:

1. Negligible   (Minor injury not requiring first aid)
2. Minor   (Minor injury or illness, first aid treatment needed)
3. Moderate   (RIDDOR /Agency reportable)
4. Major   (Major injuries, or long term incapacity / disability (loss of limb)
5. Catastrophic   (Death or major permanent incapacity)

Score	Risk based control plan
1-3	No action required. (Record locally, review annually)
4-9	No further controls required. Monitoring should take place to ensure that current controls are maintained. (Record locally, review within 6 months)
10-12	Efforts should be made to reduce the risk, but the costs of prevention should be proportionate. Measures to reduce risk should be put into practice within a set time period. Where the consequence is classed as catastrophic, more detailed assessment may be required to help decide if improved control measures are needed. (Record locally and on DATIX, review within 3 months)
15-25	Every effort should be made to reduce the risk; considerable resources may be required to reduce the risk. If it is not possible to reduce the danger, even with unlimited resources, work may require to be prohibited. (Record locally and on DATIX, review within one month)