

UTC South Durham Risk Assessment Policy



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1. Purpose

To provide clear direction and policy for personnel involved in the risk assessment process within the organisation.

2. Scope and Applicability

This procedure is applicable at all premises, sites or work areas under the control of UTC South Durham.

3. Abbreviations and Definitions

3.1 Abbreviations

HSRA Health & Safety Risk Assessment

3.2 Definitions

Risk Assessment: A risk assessment is simply a careful examination of what operation / equipment / environment within the workplace could potentially cause harm to people. It enables an evaluation of whether adequate precautions are in place to control the risks or whether further measures are required to prevent harm.

Hazard: This is the potential for an object, activity, environment or substance to cause harm

Risk: This is the likelihood of the harm / hazard actually occurring
Severity: The extent of the harm / damage that may result

Risk Assessor: Any individual who is competent to undertake risk assessments, and have been given guidance in completing the UTC's risk assessment form. To be competent the individual requires experience, knowledge and training in the area that they are assessing for risk.

4 Policy

4.1 Introduction

Risk assessments are the primary tool in risk management systems and are a statutory requirement of various health and safety regulations made under the Health and Safety at Work Act 1974, for example, the following regulations applicable to operations carried out within the organisation require the UTC to conduct risk assessments:

- The Management of Health and Safety at Work Regulations 1999 and recent amendments (includes – risk assessments where significant risk is presented to young people and new and expectant mothers)
- The Control of Substances Hazardous to Health Regulations 2002 and recent amendments
- The Manual Handling Regulations 1992 (amended)
- The Display Screen Regulations 1992
- The Personal Protective Equipment Regulations 1992
- The Provision and Use of Work Equipment Regulations 1998
- The Control of Asbestos at Work Regulations 2005 (amended) Not required for UTC

- The Noise at Work Regulations 2005
- The Regulation Reform (Fire Safety) Order 2005
- The First Aid at Work Regulations 1981
- The Work at Height Regulations 2005

A risk assessment must be carried out wherever there is potentially a significant risk. It should be suitable and sufficient and consider reasonably foreseeable events. A significant risk might involve the likelihood or potential harm to people being worrying and is best described using the definition in Appendix 1. If the level of potential risk is not initially clear then it is good practice to complete a risk assessment.

Reasonably practicable controls should be implemented in order to eliminate/reduce/control the risk to as low a level as possible.

The outcomes and content of risk assessments must be recorded and shared with all personnel who are associated with the task or activity. It is good practice to develop safe systems of work in conjunction with/arising from relevant risk assessments. These safe systems of work can be developed locally but it is advisable to review existing arrangements or procedures that may well already be in place.

Risk Management relates to how all business risks are managed.

4.2 Conducting Risk Assessments

All staff conducting risk assessments are requested to use the UTC South Durham risk assessment template. All risk assessments must be written, as stated, by a competent person. They should have sufficient guidance and training to be able to carry out the risk assessment competently and should ask for advice from a member of senior staff if they are unclear.

The risk assessment must be co-signed by a senior member of staff who has fully read the assessment and agrees that the risk assessment cannot mitigate any further risk. The risk assessment can be written using the guidance and check lists in Appendix 1

4.3 Management

It is a management responsibility (Principal / Business Manager) to ensure suitable and sufficient risk assessments are conducted wherever significant risk exists within or from activities carried out within the workplace.

- Ofsted 'safeguarding' require reasonable steps be taken to ensure students are safe and feel safe.
- Risk Assessment of practical lessons, in the form of standard risk assessments of tasks or standard operating procedures will help ensure a safe environment for students and staff.
- Each Head of Department will ensure such assessments are in place and reviewed each September. Copies of risk assessments must be verified by the Business Manager who is responsible for Health and Safety to confirm that they are suitable and sufficient.

4.4 Teachers

When teachers plan lessons they are expected to assess significant hazards, risks

and control measures to ensure students and are not harmed during the activity. They may refer explicitly to established risk assessments or data sheets or may choose to complete specific a risk assessment for the specific activity. They should ensure that students have sufficient information and training to carry out the activity safely

4.5 Health & Safety

The Business Manager is responsible for the Health and Safety of UTC South Durham. Their role is to provide advice and support to teachers and managers, supervisors, team leaders when they are completing any risk assessment if requested.

4.6 Health & Safety Electronic Storage (Example Risk Assessments)

In order to assist persons responsible for completing risk assessments a series of examples are available for review on the UTC's Health and Safety electronic storage area. These sample risk assessments can be amended and used for risk assessing an activity.

4.7 Risk Assessment Methodology

The risk assessor should decide who needs to be involved in completing the risk assessment (staff, students, specialist support, etc) and make arrangements accordingly.

The risk assessor should use some (or all) of the following methods of hazard identification, as appropriate:

- Physical inspection
- Workplace observation
- Review of relevant documentation (e.g. manufacturer's instructions, data sheets, reference material, etc)
- Accident / Incident reports (previous history)
- Consultation with relevant staff / personnel
- Inspections and audits

Using the ***SD RA01 Generic Risk Assessment form***, the risk assessor should complete and record the required information.

The following points will assist the assessor with this process:

- Identify the activity, process or operation where there is potential for injury or damage.
- Identify the hazards within the activity for example:
 - Unsafe conditions: *trailing cables, unguarded machines, confined spaces, working at height, live electricity, lone working, toxic substance, slippery floor, poor lighting, lifting heavy loads, and repetitively stooping etc; unsafe acts: rushing, horseplay, taking shortcuts, failure to follow safe system of work, not wearing personnel protective equipment, etc*
- Determine the risks involved and what type of incident is anticipated, considering who and how people might be affected.
- Decide the nature of control measures already in place (e.g. cables tied up, wet floor signs used, machine power cut until guarding put in place, permit to work used, lone working procedure, ladder training, toolbox talk on needle stick injury, work supervised etc)

- Evaluate the level of risk based on existing control measures by assessing the likelihood of the risk occurring and deciding upon the potential resultant severity.
 - **LOW** - Consider if the risk can be reduced further. Monitoring is required to ensure that the controls are maintained
 - **MEDIUM** - Risk reduction measures should be implemented within a defined period
 - **HIGH** - Give priority to removing or reducing the risk urgent action should be taken
- ***Work activity should NOT be started or continued until the risk has been removed or at least reduced.***
- **Note:** It is important to consider the severity of the resultant injury or outcome with the actual likelihood of the risk / hazard occurring.
- Consider the evaluated level of risk and whether further controls can be implemented to reduce this to as low a level as is reasonably practicable.
- Personnel Protective Equipment (PPE) should only be considered as the last resort (and then in conjunction with other measures), if the above controls cannot achieve a low risk level
- Some of the control measures may be suitable for immediate action to reduce the risk level, but in some cases further more permanent action may be required to achieve long term levels of low risk.
- All assessments should be recorded using the **SD RA 01** Generic Risk Assessment form
- All assessments must state name of the assessor(s) and be signed by them. They must be dated, recorded and given a review date.
- Review of risk assessment(s) should be carried out:
 - whenever new legislation is introduced,
 - when the risk assessment is no longer valid, following an accident investigation or within agreed frequency periods; or
 - annually, or when the risk assessment stipulates otherwise
- All relevant personnel should be consulted during and following the risk assessment process.
- Management and designated personnel responsible for undertaking risk assessment must receive suitable training.

4.8 Specific Risk Assessments

A number of organisational tasks/activities/environments are required to have specific risk assessments carried out by suitably competent and experienced personnel. Such operational issues include;

- **Equipment Based Risk Assessment**
- Under the Provision and Use of Work Equipment Regulations, all work equipment must be assessed before being used. The assessment must consider use, maintenance, adjustment and cleaning, and provide appropriate control measures. This will apply to all work equipment used on site, for example, washing machines, heating equipment, ovens, workshop machinery, lawn mowers, lathes, drills etc.
- **Risk Assessment for New and Expectant Mothers**
- Under the Management of Health and Safety at Work Regulations it is a legal requirement for employers to conduct a risk assessment when notified of an employee pregnancy. This assessment must be carried out as soon as the

employee informs her supervisor of her condition. The person's supervisor, or other nominated competent person, must carry out the assessment. This is not a "one off" assessment and must be monitored throughout the time the expectant mother attends work.

- **Risk Assessment for Returning to Work Following Employee Serious Illness**
- When an employee returns to work following serious illness or injury and their condition may affect the safety of themselves or others, the departmental manager will carry out a risk assessment. He/she must continue to do so at weekly or more frequent intervals to ensure that the work being done does not pose risks to the health and safety of the employee. Use **SD RA 01 Risk Assessment Template Form**

Note: This is only in medical cases that warrant monitoring such as back injury mobility problems, detached retinas or trauma, to ensure that the illness or injury does not re-occur or worsen due to work tasks. Additional risks will be present if the individual is an identified driver. In addition, there may be cases where the employee is at risk to themselves or others i.e. an employee with HIV or a degenerative condition such as arthritis. Employee assessments should be carried out – for further guidance contact the Business Manager responsible for Health & Safety or Human Resource Manager.

All employees who have had time off work due to ill health are required to have a **Return to Work Interview**.

If an employee or students condition limits their mobility on return to work a Personal Emergency Evacuation Plan (PEEP) must be completed. This is to ensure their safe evacuation from the building.

- **Display Screen Equipment (DSE) Self Risk Assessment**
- The Health & Safety Display Screen Equipment (DSE) Regulations 1992 and miscellaneous amendments 2002 Regulations require companies to conduct risk assessments for office work and other environments where display screen equipment may be used. At the UTC this is done on a generic level through the specification and procurement of suitable equipment (compliant chairs and screen stands for example). Members of staff or students may request a specific assessment for their own use.
- **First Aid Risk Assessment**
- The Health & Safety (First Aid) Regulations 1981 require the employers to assess the requirements and needs for providing adequate facilities, equipment and trained personnel in the workplace.
- **Manual Handling Risk Assessment**
- The Manual Handling Operations Regulations 1992 require the employer to assess the risk to employees for any transporting or supporting of a load including the lifting, putting down, pushing, pulling, carrying or moving of a load).
- **Off-site UTC Activities or Trips Risk Assessment**
- All off site trips, excursions, holidays etc. must be risk assessed, approved and signed by the Principal. The group leader responsible for the visit will complete the Off-site Trip risk assessments on the EVOLVE system for Work based trips or other staff should use EVOLVE Off-Site Trip which can be downloaded and amended for a particular excursion or visit.

- **Hazard Substances (COSHH Risk Assessment)**
- A risk assessment should be conducted before any hazardous substances are used
- **Fire Risk Assessment**
- All sites must have a suitable fire risk assessment completed.
- **Other Specific Risk Assessments**
- The above information is related to specific operational activities and operations that require specific risk assessments to be completed.
- However, wherever there is a significant risk to employees and students a generic risk assessment must be conducted. This assessment may identify certain hazards that may warrant further specific assessment (e.g. security of building and grounds, transportation, asbestos, Legionella, cross infection risks, stress, violence/aggression, pressure systems, working at height etc.
- The Business Manager who is responsible for health and safety should be consulted to confirm if further assessment is required.

5 References

SD CP 011 Risk Management (Business Risks) SD
 SD RA 01 Generic Risk Assessment form
 Personnel Protective Equipment procedure
 HR New & Expectant Mothers and HR Family Policy
 Fire Safety Procedure
 Display Screen Equipment
 First Aid Procedure
 Manual Handling Procedures
 Manual Handling Risk Assessment
 Off-site SD UTC Trips & Activities procedure
 Control of Substances Hazardous to Control of
 Substances Hazardous to Health
 HR Return to Work Policy

6 Appendices

Appendix 1 – Risk Assessment Procedure
 Appendix 2 – Generic Risk Assessment

APPENDIX 1

Risk Assessment procedure

What is a hazard? - A hazard is something that has the potential to cause harm.

What is meant by risk? – Risk is the likely hood of someone being harmed by that hazard.

There are simple steps to risk assessment: Simply follow the steps below. An assessment is the responsibility of the direct line manager in consultation with those who carry out the tasks.

Step 1: look for the Hazards.

1. Walk around the workspace; look for significant hazards that could result in serious harm to employees or others who may use your premises.
2. Consult with employees/ safety reps., they may identify less obvious hazards.
3. Manufacturers' instructions and data sheets will provide specific relevant information and help to put hazards and risks into perspective.
4. Check accident and incident records.

Step 2: decide who might be harmed and how.

1. It is not only employees in general that must be considered, specific additional controls may be required for young people; trainees; new and expectant mothers etc.
2. Particular attention must be addressed to lone workers; inexperienced staff; staff with disabilities.
3. Who else may be on site? Cleaners; contractors; students; visitors; members of the public; children etc.

Step 3: evaluate the risks.

1. Decide whether the existing precautions are adequate or whether more should be done to reduce the risks.
2. Do other pieces of legislation apply? I.e. Manual Handling Regulations; COSHH; PPE Regulations etc. Have measures been put in place that reflects requirements?
3. If further controls are needed, draw up an action list and prioritise and deal with those risks identified as "HIGH" and/or those that may affect most people.
4. Apply the hierarchy of controls. When deciding on the most appropriate control measures the hierarchy of controls illustrated below should be applied:
 - a) Is it possible to avoid the risk altogether i.e. by not carrying out the activity or by not using particular equipment etc.?
 - b) Can the equipment/ substances used or the activity itself be substituted by a less hazardous alternative?
 - c) Combating the risks at source e.g. repairing defective floors and treating slippery surfaces rather than posting warning notices or remove contaminants from the working environment rather than providing protective clothing etc.
 - d) Reducing the frequency of exposure to the hazard.
 - e) Adapting the work to suit the individual.
 - f) Taking advantage of technological and technical progress to improve systems and methods of work and in turn make them safer.
 - g) Giving priority to measures that protect the whole workplace and all those who work there over individual measures.
 - h) Having written procedures that are known and understood by all who are exposed to the hazard and ensuring there is sufficient information and instruction provided to all persons at risk regarding the hazard/s.
 - i) Ensuring adequate supervision is provided.
 - j) Ensuring that staff have received sufficient and adequate training to enable them to perform their tasks safely.
 - k) Providing personal protective equipment as a final resort.

Step 4: record your findings.

In general, the UTC Risk Assessment template should be used for this purpose. Where a risk assessment has been completed in a different format, it does not need to be translated into the UTC template as long as all the key elements are covered.

Generic risk assessments can be used for a range of activities, or can be cited as part of a specific risk assessment, as long as the key risks are included.

1. Record the significant findings of the assessment
2. Record the assessment of the risk with current control measures i.e. high; medium; low
3. Record any further control measures that have been identified

Step 5: implement the action plan.

1. Record plan of action with realistic timescales for action and implementation
2. If a specific risk assessment is required/previously completed with regards to other H&S compliance areas e.g. COSHH; use of equipment etc; then cross-reference in a general R.A. to this document is to be made.
3. Keep a copy of the assessment for reference and review

Step 6: communicate.

1. The findings and control measures must be communicated with staff and students in an effective way in order that individuals undertaking specific tasks understand the risks and controls put in place to reduce those risks to the lowest acceptable level.
2. Employees must also understand that they too have a responsibility in law to communicate with their relevant line managers any risk they feel is not sufficiently controlled or if they have identified safer systems/methods of doing a task.

Step 7: monitor and review.

1. When control measures are in place, monitor to ensure the effectiveness of the controls, modifying as necessary. A risk assessment is a living document
2. The assessment must be reviewed following changes in equipment; procedures; location; substances; etc.
3. A risk assessment must be reviewed following an accident/incident and any further identified control implemented immediately.

HAZARD IDENTIFICATION CHECKLIST

In order to identify any factor that may cause harm, loss or damage, you should walk through the workplace, observe the activity and be able to answer the following questions:-

- a) How is the activity carried out, do staff deviate from written or standard procedures, and why?
- b) Does the working environment contribute to the hazard e.g. temperature, lighting, ventilation?
- c) Does the state of the building contribute to the level of risk, i.e. poorly maintained floors, stairs, doors etc.?
- d) Are there any other factors that cause persons to slip, trip or fall, e.g. spillages or uneven floor surfaces?
- e) Does the activity involve the use of plant or machinery, if so, have staff been trained to use it safely, and are there any limitations on the use of this equipment? i.e. internal use only, load restrictions etc. are such restrictions being followed?
- f) Is there a danger of being injured, trapped or struck by moving objects or parts?
- g) Are all necessary controls, such as guards, in place?
- h) Does the activity involve the use of portable electrical appliances?
- i) Does the activity involve the use of hand tools?
- j) Does the activity involve exposure to chemicals, dust, fumes, noise or vibration?
- k) Does the task require the use of access equipment or working at heights?
- l) Does the work result in persons having to adopt poor posture or cramped or awkward working positions?
- m) Is there a risk of violence to staff?
- n) Are staff ever required to work alone
- o) Does the activity involve manual handling i.e. the moving or lifting of loads or persons?
- p) Is there a risk of fire, explosion, flooding, chemical spillage or gas leak? What precautions are taken to prevent such occurrences, what contingency arrangements are there in place to deal with these types of emergencies?
- q) Does the work involve vehicular movements?

Appendix 2 Generic Risk Assessment

Risk rating: Likelihood (outcome)

	Minor Injury	Significant Injury	Major Injury
Unlikely	Minor Risk	Low Risk	Medium Risk
Possible	Low Risk	Medium Risk	High Risk
Probable	Medium Risk	High Risk	STOP

Risk Level

Action and Timescales

- Low Consider if the risk can be reduced further. Monitoring is required to ensure that the controls are maintained
- Medium Risk reduction measures should be implemented with a defined period
- High Give priority to removing or reducing the risk urgent action should be taken
- STOP Work activity should not be started or continued until the risk has been removed or at least reduced**

Completed by		Approved by	
Role		Role	
Signature		Signature	
Date		Date	

Potential Hazard	Who might be	What are you doing	Current	Any further action by	Review	New Risk Level
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	harmed	already?	Risk Level	whom and when	Date	

Data Protection: The Trust will process this information fairly and lawfully to assess, control and minimise risk. The data will be stored securely and not be subject to unauthorised use, in accordance with the Data Protection Act 2018