

## ***Guidance on Effective Risk Assessment***

### **Step 1 Identification of hazards**

Carry out a hazard identification exercise to ensure that all potential loss or injury/illness making situations has been identified. This will be based on the activities carried out within the University and consist of:

- A review of all tasks covering: operational, maintenance and emergency procedures
- The responsible Dean/Head will draw up an assessment schedule. In determining this schedule they will take into account perceived risk levels, and frequency of use.

### **Step 2 Identify who is at risk and how**

Examine tasks with perceived high or medium level risks to identify:

- Who could be exposed to the hazard and be at risk.
- How equipment and substances are used (and how the exposed persons are put at risk) by direct observation taking into account the following factors:
  - Premises.
  - Work station factors.
  - Substances.
  - Machinery and equipment.
  - Environmental emissions and waste disposal.
  - Legislative requirements. and
  - The presence and activity of other persons who could be in the vicinity.
  - Comments from employee representatives
- This information will be recorded, were appropriate on a flow chart, and hazardous activities/situations noted.

When undertaking hazard identification, assessors will consult relevant sources of information, e.g.:

- Legislation.
- Health and Safety Commission Approved Codes of Practice.
- Health and Safety Executive Guidance
- Manufacture/supplier product information.
- Relevant British and International standards.
- Industry or trade association guidance.
- Accident, ill health and incident data. and
- Personal knowledge and experience of managers and employees.

- Expert advice and opinion.

### Step 3 Identify the current risk control measures

On identification of a hazard the assessors must identify the maximum likely injuries or damage that could result if an accident occurred while the task was being carried out. In doing so they will take into account:

- The location, e.g. indoors in an office, in a plant room or print room, on the roof, etc.
- Local environmental factors, e.g. lighting levels, underfoot conditions, weather, etc.
- The persons exposed, new starters, training and experience, sex, fitness, etc.

The likely injuries or damage that could result from the accident will be categorised as:

Fatal	Probability of deaths, or catastrophic damage or process interruption.
Major	Probability of major injury or major damage or process interruption.
Significant	Probability of injury resulting in loss of three or more working days or serious damage or process interruption.
Minor	Probability of minor injury that would cause no lost time, minor damage or process interruption.

The likelihood of an accident occurring will be estimated taking into account the:

- Numbers of people exposed to the risk.
- Frequency at which the task is performed.
- Effectiveness of any current control measures.

**Note, any current control measures currently in place must be recorded against each hazard that could result in significant, major or fatal injuries.**

The risk associated with the task will be prioritised using the matrix shown below.

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Likelihood ↓	Severity of outcome <i>Minor Injury or little or no damage/ process interruption</i>	Severity of outcome <i>Significant injury or serious damage/ process interruption</i>	Severity of outcome <i>Major injury or major damage/ process interruption</i>	Severity of outcome <i>Death or catastrophic damage/ process interruption</i>
Improbable	LOW	LOW	LOW	LOW
Remote	LOW	LOW	MEDIUM	MEDIUM
Possible	LOW	MEDIUM	MEDIUM	HIGH
Probable	LOW	MEDIUM	HIGH	HIGH
Likely	LOW	MEDIUM	HIGH	HIGH

**HIGH PRIORITY**  
MEDIUM priority  
LOW priority

**ACTION IMMEDIATELY.**  
Risk important-action within 1 month.  
Risk insignificant action only if cost is low and change is easy to implement.

For HIGH and MEDIUM rated risks the assessors must describe against each risk the control measures that they recommend should be introduced to reduce the risk to tolerable levels.

NOTE: WHERE FULL IMPLEMENTATION OF CONTROL MEASURES CANNOT BE ACHIEVED AT THE TIME OF ASSESSMENT, ADEQUATE TEMPORARY STEPS MUST BE TAKEN, TO MINIMISE THE RISKS.

When allocating control measures the general preferred hierarchy of risk control principles must be followed:

- **Eliminating** risks, e.g. by avoiding the use of high-risk processes or materials.
- **Substituting** a less hazardous material or process
- **Combating** risks at source by engineering controls, positively isolating or separating individuals from the hazardous part or substance
- **Minimising** the risk by the design of suitable systems of work, or by the use of personal protective equipment which should only be used as a last resort

In determining additional or alternative control measures required the sources of information identified above should be consulted. In addition the need for support measures, such as, authorised users, training, supervision, inspections and scheduled maintenance should be determined.

**These new risk control measures must be recorded.**

After the application of each control measure, the risk level must

be re-assessed and if still medium or above additional controls applied until the residual risk is reduced to low.

Note, some of the duties imposed by relevant statutory provisions are absolute and must be complied with, e.g. the requirements of the Provision and Use of Work Equipment Regulations.

When the risk control procedure is applied to meet practicable, or so far as reasonably practicable, or similar legal requirements the assessors must consider the following factors:

- The application of up to date technology.
- An assessment of the options available.
- The relative costs and efficiencies of the options.

Justification of the costs of the proposed control measures.

#### **Step 4 Record Findings**

Ensure that a comprehensive record of the significant assessment findings has been prepared. This must be in sufficient detail to permit reviewers to follow the assessment process and verify the adequacy of the exercise. Note the assessment record may be needed to help develop training plans and on occasion assist in the investigation of accidents.

The record should clearly identify:

- What was assessed and the associated hazards.
- Who was at risk and how the exposure occurs.
- The risk level and the adequacy of the existing controls to meet legal and good practice requirements. If risks are not adequately controlled suitable alternative and or additional controls must be identified. In addition the record must identify that any required additional or alternative control measures have been implemented.
- Who carried out the assessment, when it was done and a date by which it must be reviewed.

#### **Step 5 Review and revise**

All assessments must be reviewed and as necessary revised by the date established by the previous assessment. In addition the assessment will be reviewed whenever there is reason to believe that it is no longer valid. This may be due to an accident, inspection findings, or changes in operational or good practice or legal requirements, etc.

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**Risk Assessment form (RA1)**

Subject of assessment (May be an activity, hazard or relate to an individual) If chemical and / or biological hazards exist then a COSHH form must be completed <a href="http://my.anglia.ac.uk/sites/risk/default.aspx">http://my.anglia.ac.uk/sites/risk/default.aspx</a>  KeepCup reusable cups – Original and Brew.	RA conducted by.  Sarah Johnson Sue Morgan	Date.  13/03/2017	RA ref. no.
List the risk/s involved or describe the hazard  <ul style="list-style-type: none"> <li>- <b>Injury from hot cups</b> – burns/scalds</li> <li>- <b>Injury from hot liquids</b> – burns/scalds</li> <li>- <b>Injury from glass (Brew KeepCups)</b> – cuts</li> </ul>			
List the current control measures in place. Please check the RM website for help and advice available at; <a href="http://my.anglia.ac.uk/sites/risk/default.aspx">http://my.anglia.ac.uk/sites/risk/default.aspx</a>  <ul style="list-style-type: none"> <li>- <b>Injury from hot cups</b> – KeepCups come with a silicone band to protect users from heat</li> <li>- <b>Injury from hot liquids</b> – Catering staff to be informed how cups operate to avoid spills from incorrectly removing lids etc.</li> <li>- <b>Injury from glass (Brew KeepCups)</b> – Product is made from toughened tempered soda lime glass, making it extremely strong. Product has been thermal stress tested by KeepCup.</li> </ul>			
<b>Current risk level. High / Medium / Low</b> (See risk matrix) (Delete as appropriate)			
List the actions required to reduce the risk, include reference to any written safety procedures. Please check the RM website for help and advice available at; <a href="http://my.anglia.ac.uk/sites/risk/default.aspx">http://my.anglia.ac.uk/sites/risk/default.aspx</a>  <ul style="list-style-type: none"> <li>- First aiders on site</li> <li>- ARU First aid policy</li> <li>- KeepCup certificate of thermal stress test</li> <li>- KeepCups only sold/given as prizes in original boxes which contain guidance information</li> <li>- ARU webpage produced with FAQ's on using the KeepCups</li> </ul>		Date actioned	Actioned by
<b>Revised risk level. High / Medium / Low</b> (See risk matrix) (Delete as appropriate)			
RA verified by (Usually Dean/Head of support unit/Line manager)			Date.
Risk assessment issued to the following;			Date.

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Risk assessment review date. (Usually annually)						
Risk assessment reviewed by.						