KomQAT Health & Safety

Procedure Note

How to complete a the Kom*QAT* Health & Safety Risk Assessment Form

Issued By:	Kitty Broome	**Date of Issue:**	1 June 2020
Reviewed		**Next Review date:**	1 June 2021
Version No:	1		

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How to complete a Risk Assessment Form

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1 Executive Summary

A suitable and sufficient risk assessment is an important step in protecting staff and the business, as well as complying with the law. It helps focus resources on the risks that really matter in the workplace – the ones with the potential to cause harm. In many instances straightforward measures can readily control risks, and that means simple, cheap and effective measures to ensure the most valuable asset – the workforce – is protected.

The law does not expect elimination of all risk, but employers are required to protect people as far as is 'reasonably practicable'. This procedure note tells you how to achieve this as simply and effectively as possible by ensuring compliance with the Management of Health & Safety at Work Regulations 1999 Regulation 3,

"Every employer shall make a suitable and sufficient assessment of:

- a) the risks to the health and safety of his employees to which they are exposed whilst they are at work; and
- b) the risks to the health and safety of persons not in his employment arising out of or in connection with the conduct by him of his undertaking."

2 Introduction

A risk assessment is a careful examination of what could cause harm to people, so that employers can weigh up whether they have taken enough precautions or should do more to prevent harm. Workers and others have a right to be protected from harm caused by a failure to implement reasonable controls.

It is the employer's responsibility to carry out risk assessments and protect the health and safety of their staff. In order to be objective the assessment should be carried out by the staff member's manager, and also a member of the staff who will be performing the task.

Accidents and ill health can ruin lives and affect your business too if output is lost, machinery is damaged, insurance costs increase or you have to go to court. You are legally required to assess the risks in your workplace so that you can put in place a plan to control the risks. But as well as the legal responsibility there is also a moral one owed under the Common Law "Duty of Care".

If you have four employees or fewer you don't have to write the risk assessment down. But it is useful to do so because if may need to be reviewed at a later date. If you have five or more employees you are required by law to write it down.

3 Description of actions

A risk assessment must be suitable and sufficient by law. This means that:

- It must be carried out by a competent person, or a competent person must be consulted whilst it is being carried out;
- It must be appropriate to the nature of the work and ensure that all aspects of the work are considered;
- It must prioritise control measures and risk;
- It must identify the time period that it will remain valid for.

4 Five Steps to Risk Assessment

4.1 Identify the Hazards

A hazard is anything with the potential to cause harm and can be identified by using the below:

- Observing the task being performed (Job Task Analysis), and looking at what could be reasonably expected to cause harm;
- Carrying out Workplace inspections which will identify hazards within that particular work space;
- Reading HSE Guidance notes as they are a useful source of information when considering what could be a hazard;
- Knowing that certain legislation dictates what hazards and control measures need to be considered in a risk assessment eg. The Control of Asbestos Regulations, The Control Of Substances Hazardous to Health (COSHH) Regulations etc;
- Your own knowledge and experience of the task or workplace

A hazard can be anything from a biological hazard to a psychological one.

4.2 Identify who may be harmed and how

This is anyone involved in carrying out the task, and anyone that could come into contact with the person carrying out the task who may be affected by it. The nature and severity of the harm that could be caused also needs to identified.

4.3 Evaluate the risks and decide on precautions

A risk is defined as being how likely the hazard is to cause harm.

To evaluate the risk the following should be considered:

- The adequacy and effectiveness of control measures already in place, if any e.g. guarding, LEV systems, job rotation (to minimise exposure), safe systems of work, Personal Protective Equipment (PPE), training, supervision, competence etc.
- The estimation of the risk (please see attached risk matrix on the KomQAT Health & Safety Risk Assessment template)
- What further control measures need to be taken to eliminate or significantly reduce the risk?

The hierarchy of control and priority to consider while carrying out a risk assessment:

E Eliminate the hazard if possible

R Reduce the risk – for example by substituting a hazardous piece of equipment fo non-hazardous one or a hazardous chemical for a non-hazardous one

I Isolate the people from the hazard – for example by using guards

C Control the extent of exposure or contact with the hazard – either with technical controls such as Local Exhaust Ventilation or by administrative controls such as training, job rotation and regular breaks

P Use of PPE (although this is a last resort as it does not remove or reduce the hazard, just protects against it)

D Discipline – obtain compliance with the rules and following procedures. This is the lowest in the hierarchy of control as there may be a legitimate reason why people are not following the assessment and this reason needs to be identified and fixed before discipline can even be considered.

4.4 Record the significant findings and implement control Measures

The significant results of the risk assessment must be recorded and communicated to everyone concerned. The trivial risks do not have to be recorded in this way and can be ignored.

The risk assessment must be made available to Health & Safety Representatives, management and to enforcing authorities – HSE or Local Authorities - when necessary.

The risk assessment is very much a living document, and must be monitored and used on a regular basis to ensure that the further control measures are put in place and that the risk assessment is updated to reflect these changes.

4.5 Review the Risk Assessment:

The risk assessment must be reviewed:

- After an accident or near-miss;
- When new equipment is introduced;
- When there are changes to equipment, plant and processes;
- When there are changes in personnel;
- When there are changes in legislation;
- After a Health & Safety Executive (HSE) audit or an internal audit if necessary;
- As a result of advice given by the HSE;
- When new information becomes available;
- When improved control measures become available;

- When vulnerable people are employed – a young person, a new or expectant mother, a disable person etc;

- After a specific period of time has elapsed – eg one year for low risks and one to three months for moderate to high risks

5 How to Complete the KomQAT Risk Assessment Form

First Page of assessment	
Location	The area / premises location in which the risk assessment is taking place
Assessment Number	The specific number given to this risk assessment
Task	The exact task / activity being performed
Date of Assessment	The date on which the assessment took place
Assessor / Auditor	The name(s) of the person(s) carrying out the assessment
Description of activity and associated risks	A detailed description of the task / activity / hazard highlighting general risks that are likely to occur to include: how often the task is carried out if relevant and when it is carried out; most common type of injury that could be associated with the activity such as musculoskeletal injuries or contraction of legionnaires disease; whether the injury could be Reporting of Injuries, Diseases and Dangerous Occurrence Regulations (RIDDOR) 2013 reportable;
Second Page of assessment	
Ref. number	The number of each hazard identified – it could be that there is only one as the hazard may be the entire task / activity
What are the Hazards?	The action / object that has the potential to cause harm e.g. working at height, using a hazardous substance, stress
Who might be harmed and how?	Anyone who is likely to be affected by the task being performed e.g. staff, visitors, members of the public, and how they will be affected e.g. musculoskeletal disorders from lifting heavy items. The harm could also be a breach of regulations leading to loss of reputation to the business, and also possible enforcement action from the HSE / Local Authority (LA)
What are you already doing?	The control measures already in place to try and control the hazard e.g. using a sack track to carry heavy items, using a non-hazardous substance instead of a hazardous one
What further action is necessary?	If the hazard has not properly been controlled then further control measures need to be implemented – they need to go here
Risk Rating	The current risk with existing control measures in place using the risk matrix found at the end of the risk assessment form. Risk Rating (R) = Consequence (C) x Likelihood (L). The consequence is the harm that could be sustained (severity) as a result of the task / activity / event / piece of equipment, and the likelihood is the likelihood of that consequence / harm occurring
Third Page of the assessment	
Action Plan	Formulate an action plan of control measures needed. There must be a realistic time scale for each action. The action plan consists of the Further actions required from the risk assessment form, the person responsible for completing the actions; the date that the actions should be complete by and the status of the action – not started, in progress or complete
Fourth Page of the assessment	
Risk Matrix	What the risk rating is worked out from e.g. a moderate consequence (3), but a rare event (1) will give a risk rating of 3 which makes the risk **LOW**

6 Further Information

For further information on how to carry out a risk assessment; any advice on current legislation; any advice on control measures needed and general advice please contact:

Name	Position	Tel number	Email address
Kitty Broome	Health and Safety Consultant	07789 905949	Kitty@komqat.com

7 Regulations and guidance notes

- The Health and Safety at Work etc. Act 1974
- The Management of Health and Safety at Work Act 1999
- The Provision and Use of Work Equipment Regulations 1998
- The Workplace (Health, Safety & Welfare) Regulations 1992
- The Control of Substances Hazardous to Health (COSHH) Regulations 2002
- HSE INDG161 Risk assessment A brief guide to controlling risks in the workplace