

Risk Assessment Policy



Risk Assessment Policy

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1. Purpose and Scope

- 1.1 The Management of Health and Safety at Work Regulations (MHSWR), place an obligation on Loch Lomond & The Trossachs National Park Authority (us) to carry out suitable and sufficient assessments of all health and safety risks encountered by you and others who may be affected by its undertakings e.g. contractors, members of the public, young persons. We accept that some of our operations may create risks to employees, and other persons not in our employment, and will take all reasonably practicable measures to eliminate or reduce these risks to as low a level as is reasonably practicable.
- 1.2 This policy sets out how we will identify and manage hazards that may affect the health and safety of employees and people affected by National Park operations. The aim of this policy is to ensure that the chance of people becoming injured or ill through National Park operations is minimised. Accidents and ill health can ruin lives and affect us with regards to damaged equipment, loss of staff, or criminal prosecutions under the Health and Safety at Work Act 1974.
- 1.3 Our process detailed below sets out the general principles that should be followed.

2. Definitions

- 2.1 For the purpose of this policy the following definitions apply:
 - National Park operations: any piece of work or task carried out by National Park employees;
 - A **core risk assessment**: is a careful examination of what in your work area could cause harm to people, so that you can weigh up whether you have taken enough precautions or should do more to prevent harm;
 - **Hazard**: is anything that has the potential to cause harm, such as chemicals, tools and equipment, electricity, working from ladders, an open drawer;
 - **Risk Likelihood**: is the chance high or low that someone could be harmed by a hazard;
 - **Risk Consequence**: is the level of harm that a person could be subject to from a hazardous event;
 - **Risk Rating**: The overall judgement of the level of risk which may arise from the hazard, based upon likelihood of the event occurring and the potential severity of the consequence;
 - **Control measures**: method(s) used to reduce or control risks arising from identified hazards;
 - **Residual Risk**: The level of risk remaining once control measures have been applied to reduce risks so far as is reasonably practicable;
 - **Reasonably practicable**: a balance between the risk and the cost of preventative measures in time, money and effort i.e. it would not be reasonably practicable to invest substantial amounts of time and money where the risk and injury level are very low but it would be reasonably practicable to introduce all measures possible where the risk is high and the possible results are death or major injury;
 - A **dynamic risk assessment**: is an assessment that takes into account unexpected or short temporary changes that require immediate amendments to

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an existing risk assessment's control measures. Examples could include sudden, unexpected changes in weather condition;

- **A suitable and sufficient risk assessment:** is an assessment that is proportionate to the risk and ensures that all relevant hazards are addressed, complies with statutory requirements, ensures all groups who are affected are considered and takes account of existing control measures and identifies further measures as necessary;
- **A competent assessor(s):** is nominated by a manager and should have an understanding of the workplace, an ability to make sound judgements and knowledge of the best way to reduce the risks identified. Competency does not require a particular level of qualification but may be defined as a combination of knowledge, skills and experience including the ability to recognise the extent and limitation of one's own competence.

3. Roles and Responsibilities

3.1 Managers:

- Have responsibility for signing off on core risk assessments, associated with their work area, and ensure where a core risk assessment does not exist a new one is created using existing templates, hazard list and risk assessment procedures;
- Should assign and involve competent assessors, who have practical experience of the activity being assessed, in the production and review of risk assessments. They often have the best awareness and understanding of the hazards involved in the activity and know how the activity is actually carried out;
- Co-operate with other departments, where applicable, to produce a core risk assessment to avoid duplication;
- Ensure that you fully understand the risk assessments associated with your role including the arrangements in place for controlling those risks.
- Review core risk assessments produced for their area of responsibility, at least on an annual basis, to ensure that it is suitable and sufficient taking into consideration industry best practice, legal requirements and recent safety developments in the area;
- Make suitable representation to senior managements if risk assessments identify an outstanding need which cannot be resourced within existing departmental resources;
- Where required seek assistance from the H&S Advisor to ensure competence of the risk assessment e.g. where the assessment requires specialist knowledge;
- Managers must present new or altered risk assessments to the H&S Advisor to be uploaded to Park Central.

3.2 Executive:

- Allocate resources in response to risk assessments completed within departments, determining a course of action should it be identified that a risk cannot be suitably controlled so far as is reasonably practicable;
- Set up frameworks for decision making and corporate strategies which incorporate risk assessment principles ensuring that decisions and strategies consider health and safety at their core;

3.3 Employees:

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- Assist with and participate in the process of risk assessment if competent and experienced enough in the activity being assessed;
- Report hazards discovered during working operations to their manager in order that the necessary assessment and control measures can be implemented;
- Read and understand any relevant risk assessments and be aware of the control measures that are in place for any work undertaken;
- Co-operate with their manager with regard to complying with any control measures and follow any instructions and undertake any necessary training;
- Report to their manager any personal circumstance that would change the risk assessment e.g. temporary/permanent disability or health condition that would put them at greater risk.

3.4 Health & Safety Advisor:

- Provide competent advice on the suitability and sufficiency of risk assessments completed;
- Deliver training on risk assessment procedures on request by managers.

3.5 Health & Safety Trade Union Representatives

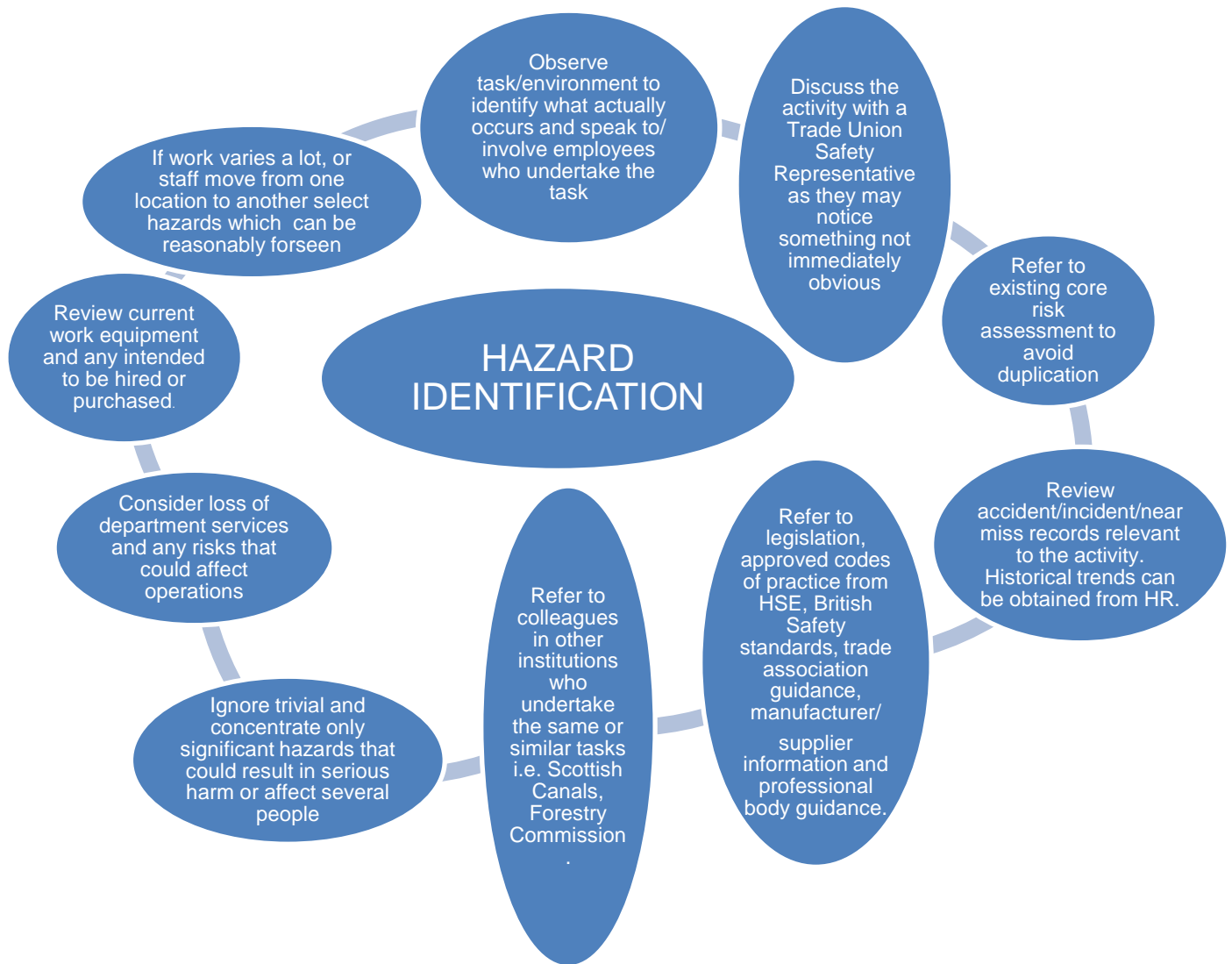
- Employee/safety representatives, who have detailed knowledge of the work activity/task, should be consulted on the production of a risk assessment as it can create a balance in the evaluation as to what is reasonably practicable in a given set of circumstances.

4. **The Risk Assessment Steps**

- 4.1 The purpose of a risk assessment is to formulate a system of control for hazards associated with our daily working environment and working practices. Where significant risks are identified the risk assessment must be recorded on the [LLTNPA risk assessment form](#).
- 4.2 We have a number of teams which carry out similar work activities and therefore a suite of core risk assessments have been produced which reflects the hazards and risks associated with these activities, these can be found on Park Central, Resources, Health & Safety Page under the [Risk Assessments](#) icon.
- 4.3 It may however become apparent due to the review of these risk assessments or the introduction of a new work activity, piece of technology etc. that a new risk assessment is required. If this is the case the following steps below should be followed by the responsible manager to ensure that a suitable and sufficient risk assessment is produced;
- 4.4 Identify all possible Hazards
All hazards associated with each activity, and all groups of persons which may be exposed to those hazards, must be identified. Hazards can arise from use of materials, substances, equipment and the location the activity is carried out in.

To assist in hazard identification:

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4.5 Decide who may be harmed

This section will identify groups of persons which may be exposed to the hazards which include staff, members of the public, service users, visitors, contractors, cleaners etc. Any groups that may possibly be more vulnerable, such as people with disabilities, existing medical considerations, new or expectant mothers and young persons (<18) should be highlighted as they may require a separate individual risk assessment to be completed.

4.5.1 What if work is shared with other employers?

If a workplace is shared the manager responsible for facilitating this arrangement should ensure that the risks our work could cause and what precautions are being taken are communicated to others. It is important that managers consider the risks to their staff from those who share the workplace. Liaison should also be maintained with other agencies or authorities in the event of the need for a co-operative response to any hazard. It is essential non-employees, including those who may be affected by an

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undertaking, are provided with appropriate information/instruction that may affect their health and safety. These persons will include: all direct and non-direct contractors; personnel from the relevant statutory authorities such as the Police, Health & Safety Executive (HSE) who require access to our working environment; any other person who may lawfully or otherwise enter on to our premises.

4.6 Identify the Harm

Once hazards associated with an activity have been identified, it becomes necessary to establish what the potential hazardous outcomes or events could be associated with the hazard e.g. how they could be harmed, cuts and bruises, electrical shock, lacerations, head injury leading to potential fatality.

4.7 Risk Evaluation and Estimation

Once a hazard and potential harm has been identified, its risk is assessed to determine how and whether it should be controlled. This stage involves examining the **likelihood** of a hazardous event occurring. Infrequently occurring hazards present less risk than frequently occurring hazards.

Rating	Likelihood Guideline
1	Very unlikely / 1 in a million
2	Unlikely / 1 in 100,000
3	Likely / 1 in 10,000
4	Very likely / 1 in 1,000
5	Almost certain / 1 in 100

Once likelihood has been determined the probable **consequence** of the hazardous event should be considered. Consequences should be considered in terms of severity of potential injury, is it probable a person could die or sustain minor injuries. For the purpose of illustration the following models should be referred to.

Rating	Consequence Guideline
1	Insignificant/ no injury
2	Minor/ needing first aid
3	moderate/ up to and over 3 days absence
4	Major/ over 7 days absence
5	Disabling injury / Fatality

The next step is to calculate/estimate the overall **Risk Rating** which will help to determine the significance of the risks associated with the hazards. Risk rating is the overall judgement of the level of risk arising from the hazard, based upon the likelihood of the hazard occurring and the potential severity of the consequence, taking into account existing risk control measures that are already established to be in

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place to reduce/control the risk. The matrix below illustrates how risks can be evaluated using the five point model.

Risk = Likelihood x Consequence

↑ CONSEQUENCE	5	5	10	15	20	25
	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		→ LIKELIHOOD				

Once the risk rating score has been determined the table below should be used to establish the appropriate actions required. The number of people who may be affected by a hazard is also a relevant consideration during risk estimation. For further guidance on these steps you can refer to the [Quick Reference Guide](#).

1-4 Acceptable = No further action, but ensure controls are maintained
5-9 Adequate = Look to improve at next review
10-16 Tolerable = look to improve within specified timescale
17-25 Unacceptable = Stop activity and make immediate improvements

4.8 Identify Control Measures

Suitable and sufficient risk control measures should next be identified and implemented to ensure that all risks are appropriately controlled. Some good starting questions are;

- Can I get rid of the hazard altogether?
- If not, how can I control the hazard to ensure that harm is unlikely?

First step is to ask if all aspects of the law have been followed e.g. legal requirements relating to fire safety, statutory inspection of plant and equipment, water systems to prevent Legionella risks etc. Then consider whether generally accepted industry standards are in place. In many cases adopting good practice will be enough to ensure risks are reduced sufficiently e.g.

- Prescriptive legislation produced by the HSE
- Approved code of practice
- Guidance produced by Government
- Industry body or occupational sector guidance

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- All risk control measures should follow the hierarchy of risk control.

Hierarchy of Risk Control	
Eliminate the risk	Remove the hazard altogether i.e. change work activity
Substitute the risk	Avoid the hazard by replacing the hazard or activity with one which entails a lower risk.
Control the risk with workplace precautions	Control the risk with physical isolation or separation of people from the hazard i.e. remove, contain or reduce exposure to the risk.
Safe Operating Procedures	Control the risk with procedural methods which are understood and effectively implemented i.e. safe operating procedures, information, training, instruction, supervision etc.
Personal Protective Equipment (PPE)	Physically protect people by the provision of personal protective equipment. This should always be the last resort option in the absence of any more reliable or permanent means of control.

However don't stop there;

The law states that employers must do what is reasonably practicable to keep the workplace safe. Take advantage of technological progress, which often offers opportunities for improving working methods and making them safer.

Where additional control measures are required to reduce the risk, they should be considered according to the order in the above hierarchy of risk control which as well as being in order of effectiveness to control risks, is also in order of the minimum amount of managerial effort required to maintain them. When considering additional control measures it should be ensured that they will not introduce any new hazards.

Systems and management standards will need to be developed and implemented, having included input from all levels of management, and as appropriate, employees. Co-operation with employees, and especially employee/safety representative, as a whole is vital in this area if the control measures are to be generally acceptable

When the control measures have been identified and agreed they must be prioritised, placed into an action plan and implemented. Where full implementation of the control measures has been implemented it must be monitored and reviewed to ensure that they continue to be adequate, appropriate and implemented.

Even after all precautions have been taken usually some risk remains. The real aim is to make all risk small by adding to precautionary control measures as necessary.

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Allocate resources to bear on the highest risk. In extreme cases some operations may require to be suspended until appropriate additional controls are put in place.

4.8.1 Safe Operating Procedures (SOP)

It will, in many situations, be necessary to develop the control measures derived from the risk assessment process into SOPs. The measures necessary in a SOP depend to a considerable extent on the work activity involved. It may include a range of precautions from simple procedures and protective equipment, a written permit to work through to a full code of practice.

SOPs are required when it is not practicable to remove or reduce the risk to an acceptable standard by engineering or other hardware controls. When appropriate, SOPs must be implemented only after suitable and sufficient information, instruction and training has been given to those employees carrying out the task. It should also be noted that where it is necessary to adopt SOPs a suitable and adequate level of supervision and monitoring must be maintained to ensure that the system of work is being implemented as designed and is not being deviated from.

4.9 Evaluate Residual Risk and Set Priorities

This stage repeats the process used in 4.4 above and determines if the level of **Residual Risk Rating**, following the introduction of suitable controls, is acceptable. This is a subjective judgment based on the joint knowledge of the risk assessment assessors.

Some of the hazards originally identified may be seen to be insignificant or be of a minor nature and with adequate control. No further consideration of these is necessary.

Where hazards, identified by the assessments as having a residual risk rating of High, relate to an on-going work activity, that activity may be required to be suspended and, if appropriate, discussion between senior management and the responsible manager should take place as soon as possible. This is to ensure adequate control measures are introduced prior to the continuation of the activity.

Where appropriate, the responsible manager will be charged with the responsibility for implementing any necessary changes that are considered appropriate.

Should the competent assessor and responsible manager have difficulty determining a risk rating at either of the evaluation stages, using the matrix, further advice/assistance, where appropriate, can be given by the H&S Advisor.

4.10 Further Recommendations

Where full implementation of the control measures identified cannot be achieved immediately, adequate steps may need to be taken in the interim to minimise the risk. This table at the bottom of the risk assessment form provides an opportunity to note any additional controls that would further reduce the risk if implemented in the future. The implementation of this plan must be monitored and subsequently reviewed to ensure that the remedial actions identified are followed through in line with the implementation date.

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4.11 Signing off Core Risk Assessments

All risk assessments require to be accepted formally by the responsible manager or nominated senior manager. Signing and dating the specific risk assessment confirms this and the suitability of the controls measures.

4.12 Record Findings and Communicate.

Managers need to ensure that the findings and the precautions to be taken are effectively communicated to, understood and implemented by those persons covered in the assessment. The core risk assessments can be found on the [Health & Safety page of Park Central](#). No risk assessments should be stored in team folders, unless in draft, as there should be only one central location.

There is also a Job Risk Assessment matrix which identifies which risk assessments should be read by each role. Managers should regularly review this matrix and ensure it is up to date with any new roles/risk assessments they are responsible for.

As part of our health and safety induction process an email will be sent to each new employee asking them to accept that they have read and understood each risk assessment identified on the Job/Risk Assessment Matrix as deemed essential to their role. This procedure will then be carried out at least on an annual basis for each staff member. This will constitute as a record that you have read and understood each individual risk assessment assigned to their role.

5. Record Keeping

Risk assessments and associated documents must be kept for a minimum period of 4 years from the date which they are superseded. It should be noted that risk assessments which relate to the use of substances may need to be kept for 40 years, in order to trace exposure to substances which are known to have ill health effects e.g. asbestos. HR will retain the superseded Risk Assessments in health and safety files.

6. Monitoring Review

6.1 The risk assessment and control process is not a one off activity but part of the process for continuous improvement and should be reviewed and revised on a regular basis. To ensure that risk control measures remain effective, triggers for review should include some of the below;

- Any significant change which affects risk (e.g. a new employee, machine or work practice) should lead to a review of the assessment;
- There is reason to suspect that it is no longer valid;
- A new job introduces significant new hazards of its own;
- Investigations and recommendations by management as a result of an accident, incident, near miss;
- Developments in legal case law or HSE recommendations;
- The HR department carry out in-depth investigations into specific incidents.

Reviews should be carried out regularly and at least every 3 years. During these reviews any change, which has occurred, but has not been identified or if employees have developed an informal change of work practice, must be assessed where appropriate.

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6.2 Making Changes to Core Risk Assessments

If through review or as a result one of the above, a manager, or competent assessor would like to make changes to a core risk assessment, they should discuss this with the person responsible for that risk assessment and forward any edited amendments to the H&S Advisor. Once the revised risk assessment is received the H&S Advisor will discuss the change with relevant staff and manager and if agreed the change will be made. The new risk assessment will be stored on Park Central and given the revised version number and old risk assessment saved as per point 5 above. All drafts/copies of the new risk assessment should be deleted, no copies should be saved in team folders.

Any changes to risk assessments will be communicated to all the staff applicable to ensure that they read and understand the updated version or new risk assessment.

7. **Dynamic Risk Assessments**

7.1 On occasion, when carrying out a particular work activity/task, management and/or employees may realise that the existing risk assessment for that task may in some way be deficient, because of localised circumstances and/or conditions, or does not exist for a specific emergency or a dangerous occurrence. This may affect the safety of the work activity if progressed without appropriate additional control measures being implemented.

To accommodate such altered circumstances and ensure that staff are not put at risk a [Take 5 Dynamic Risk Assessment](#) System has been developed;

- Where required the Take 5 pro-forma should be completed prior to the start of the work activity/task in question;
- The completed pro-forma should be held with other paperwork relating to the activity/task and be returned in accordance with departmental instructions;
- The use of the pro-forma should be examined as soon as possible by the competent assessor and manager responsible for that area of activity;
- This will enable, where appropriate, the development of a new risk assessment or the review of the existing risk assessment and take account of any additional controls measured required to be implemented.

8. **Review of Policy**

This Policy will be reviewed where a requirement to do so is identified as a result of any defect or deficiency being noted, or where there is a change to relevant legislation or related Park Authority policies or within three years, whichever is the earliest.

9. **Equality and Diversity Impact Assessment**

An initial screening process was carried out and no discriminatory effects were identified for any particular group within the workforce. This will be monitored on an on-going basis.

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10. Best Value

This policy meets the use of resources and equalities aspects of best value by promoting and providing a healthy and productive work environment for all staff and ensuring equality of access to appropriate resources and support services to enable employees to meet their role requirements in accordance with our performance management system.

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Document Control Sheet

Appendix A

Prepared By	Jennefer Keenan
Date Effective From	20 September 2017
Review Frequency	legislative/procedural change
Contact	HR

Revision History:

Version:	Date:	Summary of Changes:	Name:
V1_0	September 2015	Original version	
V2_0	September 2017	Incorporate additions to risk assessment review period	Jen Keenan

Approvals: This document requires the following signed approvals.

Name/Title	Date	Version
Executive Team	September 2017	V2_0

Distribution: This document has been distributed to

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