

SAFE WORKING PROCEDURE

Risk Assessment

CORPORATE HEALTH & SAFETY | VERSION 10.02 | November 2023

STATEMENT:

In order to comply with legislation and fulfil statutory responsibility, the Council must make sure that:

- All tasks and activities have a [suitable and sufficient risk assessment](#) in place, and are proportionate to the risk.
- That risk assessments consider who might be harmed including others who may be affected by work activities.
- That action plans are produced to reduce risk to as low as is reasonably practicable.
- Provision of appropriate personal protective equipment (PPE).

SCOPE:

This Safe Working Procedure applies to:

- All managers including Head Teachers referred to as managers herein.
- All employees of Southampton City Council.
- All contractors working on behalf of the Council.

Version Control

This Safe Working Procedure is issued and managed by Corporate Health and Safety Service.

Version Number	Date	Amendments
Version 5.00	Jul 2005	New SWP amendments
Version 6.00	Draft	
Version 7.00	Jan 2008	SWP review
Version 8.00	Jun 2010	SWP review
Version 9.00	Mar 2011	SWP review
Version 10.00	Oct 2019	New version – SWP review
Version 10.01	Oct 2021	SWP review – Amendments to links and websites
Version 10.02	Nov 2023	Periodic Review
Review Conducted		Next Review Date
		Aug 2021
	Oct 2021	Oct 2023
	Nov 2023	Dec 2025

Content

1. [Responsibilities](#)
2. [Procedure](#)
3. [Safe Working Procedures Relevant to This Document](#)
4. [Main Legislation Relevant to This Document](#)
5. [Contact Address's and Guidance Links](#)

Forms

- [Task List](#)
- [General Risk Assessment template](#)

1. Responsibilities

Level 1 Managers/Head Teachers are responsible for ensuring:

- 1.1. Managers carry out their roles and responsibilities as laid out in this SWP.
- 1.2. Risk assessments are carried out on all business work activities.
- 1.3. Work activities that are assessed as being 'High Risk' should be drawn to attention of the Directorate Management Team or Board of Governors for senior management action. For non-schools, the Directorate Management Team will need to consider whether the risk should be included in the Directorate Risk Register for management and review via this process.

Managers are responsible for ensuring compliance with the SWP and must:

- 1.4. Provide a sufficient number of trained and competent risk assessors to meet business needs.
- 1.5. Ensure competent risk assessors assess all tasks where there is significant risk using the Health and Safety Executive's Five Steps to Risk Assessment and in consultation with trade union safety representatives.
- 1.6. Ensure all significant risks are reduced to as low as is reasonably practicable by the identification and implementation of additional risk control measures.

- 1.7. Work activities that are assessed as being 'High Risk' and 'Very High Risk' should be drawn to attention of the Directorate Management Team or Board of Governors for senior management action. For non-schools, the Directorate Management Team will need to consider whether the risk should be included in the Directorate Risk Register for management and review via this process.
- 1.8. Ensure all risk assessments are quality assured to ensure they are based on facts.
- 1.9. Ensure risk control action plans are implemented.
- 1.10. Ensure risk assessments are recorded, signed and dated by them.
- 1.11. Ensure that when a risk assessment is updated the previous version of the document is retained in accordance with the [Corporate Retention Schedule](#)
- 1.12. Ensure risk controls are monitored and assessments reviewed on an annual basis or when important changes happen.
- 1.13. Ensure staff and those affected by risks are informed of the outcomes of risk assessments and the associated risk control measures.
- 1.14. Ensure hazard information is given to contractors who are affected by what you control.
- 1.15. Ensure risk assessments are undertaken of any new additional risks arising from Council and Contractors activities combining where joint risks may arise.
- 1.16. Ensure risk assessors are trained to Southampton City Council's minimum requirements for risk assessors. Contact [Learning & Development](#) for further information.

Employees must:

- 1.17. Follow the findings of the risk assessment and controls put in place to manage the risk.
- 1.18. Assist in the development of Risk Assessment where requested to do so.
- 1.19. Report to management of any issues/concerns/faults relating to control measures put in place to manage health and safety risk.

Risk Assessors must:

- 1.20. Carry out/facilitate suitable and sufficient risk assessments on tasks as directed by their line manager/supervisor, involving the work force and consulting with trade union safety representatives.
- 1.21. Identify and recommend additional risk control measures required to reduce the risk to as low as is reasonably practicable for the line manager.
- 1.22. Recommend the review period for risk assessments at (see 2.3).
- 1.23. Record the risk assessment in writing.
- 1.24. Understand their own level of competence and seek specialist advice/assistance when required.
- 1.25. Attend Southampton City Council's risk assessors' courses and refreshers as required or be able to prove competency in risk assessment.

2. Procedure

- 2.1 The Health and Safety Executive (HSE) provide free downloadable information regarding [risk assessment](#) guidance on how to carry out a risk assessment 'Five Steps to Risk Assessment and example risk assessments and Management. The HSE have also developed a series of simple on-line web-based risk assessment tools to complete such as for the [office environment](#) (20 minutes to complete).
- 2.2 **The Council's Four-Part Risk Assessment Procedure** – For higher-level more complex risk assessments, managers must use follow the four steps below.
 - 2.2.1 Carry out a task analysis to identify tasks or activities that require risk assessment – Use form [Task List](#).
 - 2.2.2 Carry out a suitable and sufficient risk assessment.
 - 2.2.3 Complete the Council's [General Risk Assessment form](#) Note: 'Residual Risk' is the risk scoring applied to the assessment once the additional controls are in place.
 - 2.2.4 Managers to review the completed risk assessment, quality assure and evaluate the risk as per table 4 and if in agreement with the risk assessor's recommendations, sign the form and implement the action plan.

- 2.3** Review – The HSE recommend risk assessments are reviewed on an at least annual basis, this need not be an onerous task if there has not been any significant change. If there has been a significant change to activity/process or following and incident, the risk assessment must be reviewed immediately. For low risk activities, consideration may be given to extending the review period to a maximum of 3 years, providing nothing has changed. When a risk assessment is updated the previous version of the document is retained in accordance with the Corporate Retention Schedule.
- 2.4** It should be noted this SWP refers to general risk assessment of reasonable foreseeable hazards and should include lone working and slip/trip issues. Other forms of risk assessment also exist, for example Dangerous Substances and Explosive Atmosphere Regulations (DSEAR), Manual Handling, Display Screen Equipment (DSE), Fire, First Aid. See section 3 for links to SWPs where more information on risk assessment can be found.
- 2.5** Tables 1&2 below set out the rating system for severity of hazard, and likelihood of being exposed to the risk.
- 2.6** Table 3 Risk Matrix aides the assessor to score the assessment High Medium or Low
- 2.7** Table 4 aides the manager to evaluate the risk.

Table 1: Hazard Impact Severity/consequence if exposed to risk

Severity of the hazard if incident occurs		
Rating	Possible qualitative equivalent	Examples
1	No Harm	No injury, damage, or sickness or other loss, i.e. of working equipment.
2	Minor Harm - First Aid	First aid injury or illness, minor damage or loss. For example, scratch, bruise, minor cut, minor burns. Normal work possible after first aid treatment.
3	Serious Harm - Over 3-day injury	Minor fractures (fingers & toes), temporarily disabling back injuries. Accidents result in an over 'three-day' injury or illness, substantial damage or loss.
4	Major harm	Major fractures (limbs, vertebrae etc.), eye injury, longer term disability long term sickness absence.
5	Catastrophic Harm Fatality	Fatality, permanent disabling illness, blindness, catastrophic damage or loss e.g. loss of limb

Table 2: Likelihood of being exposed to risk

Likelihood of incident occurring		
Rating	Possible qualitative equivalent	Examples
1	Remote	Highly unlikely to occur
2	Rare	May occur in exceptional circumstances
3	Unlikely	Unlikely but could occur at some time
4	Possible	Fairly likely to occur at some time or in some circumstances
5	Likely	Will probably occur at some time or in some circumstances
6	Highly Likely	Highly likely to occur

Table 3: Health and Safety 6x5 Risk Matrix

Risk Matrix

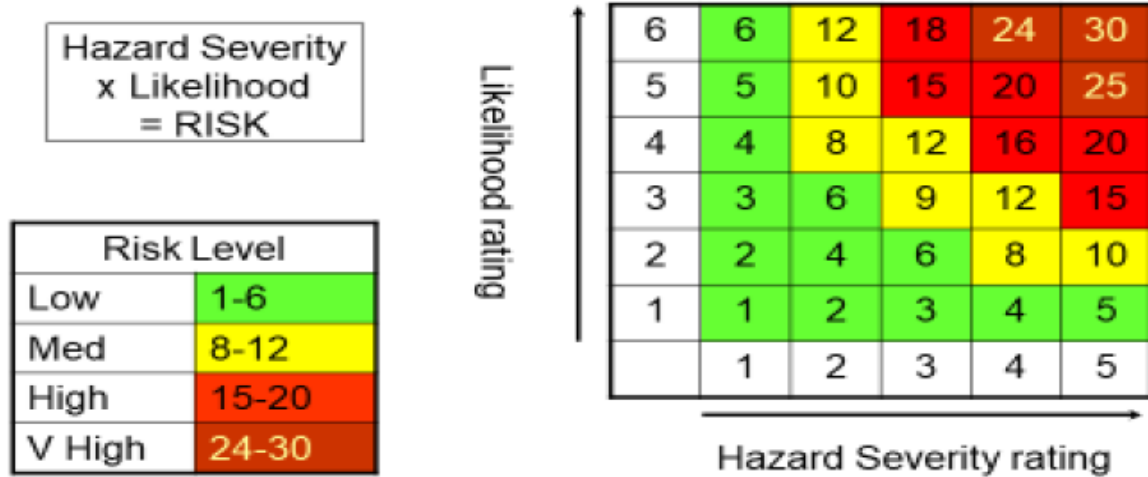


Table 4: Risk control plan

Risk level	Guidance on necessary action and timescale
Low (1-6)	Unlikely to cause serious injury, any actions need to be completed within 6 months. Periodic review to ensure controls are maintained
Medium (8-12)	Will cause injury at some point; consideration should be given as to whether the risks can be lowered, actions to be completed within 1 month, regular review of controls to ensure they are maintained particularly if the risk levels are associated with harmful consequences.
High (16-20)	Likely to cause injury, substantial efforts required to reduce risk. Controls to be implemented as a priority.
High (25-30)	Will cause serious injury or worse, consider stopping, suspending or restricting the activity all risk reduction actions are immediate detailed planning and regular monitoring of controls. Temporary controls might be appropriate in the short term such as increased supervision.

3. Safe Working Procedures Relevant to This Document

- 3.1 [Managing Health and Safety](#)
- 3.2 [Manual Handling](#)
- 3.3 [Control of Substances Hazardous to Health](#)
- 3.4 [DSEAR](#)
- 3.5 [First Aid](#)
- 3.6 [Working Safely at Height](#)
- 3.7 [Work Equipment](#)
- 3.8 [Lifting Operations and Lifting Equipment](#)
- 3.9 [Lone Working](#)
- 3.10 [Hand Arm Vibration](#)
- 3.11 [Noise](#)
- 3.12 [Health surveillance](#)

Note: Other safe working procedures may apply and the assessor should consult the SWPs. An A-Z is available on the Council's [Health and Safety Intranet](#).

4. Main Legislation Relevant to This Document

- 4.1. [Health and Safety at Work etc Act](#)
- 4.2. [The Management of Health and Safety at Work Regulations](#)

5. Contact Address's and Guidance Links

- 5.1 Health and Safety Executive
[HSE](#)
- 5.1.1. [Five Steps to Risk Assessment](#)
- 5.2 Royal Society for the Prevention of Accidents
[RoSPA](#)
- 5.3 Institute of Occupational Safety and Health
[IOSH](#)
- 5.4 Learning and Development
[Learning and Development](#)
- 5.5 Health and Safety Service
[Health and Safety Intranet](#)
- 5.6 Risk and Insurance
[Risk and Insurance Intranet](#)