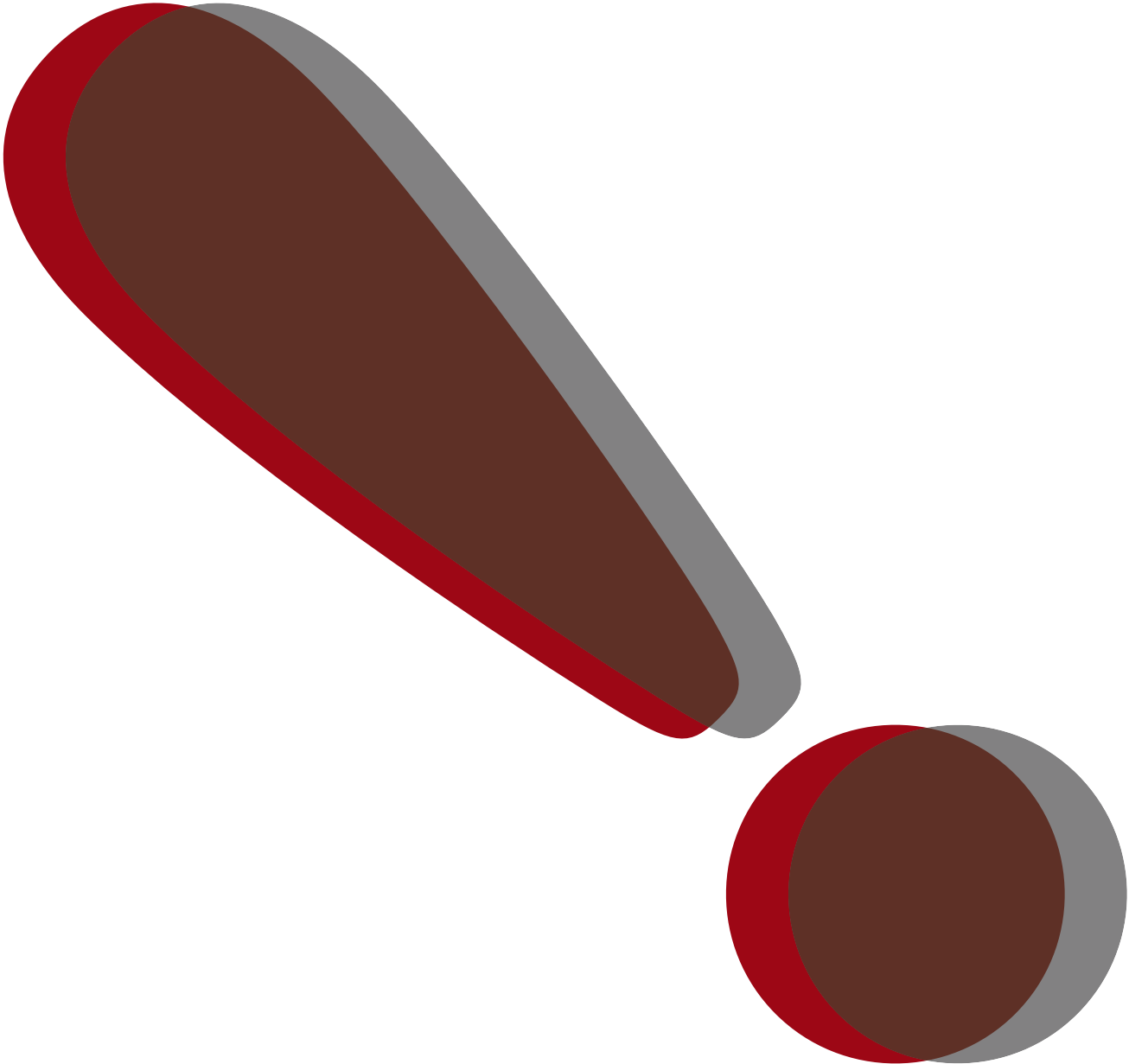


HOW TO CONDUCT A  
**RISK**  
ASSESSMENT



HOW TO CONDUCT A

# RISK ASSESSMENT

## Film and Leaders' Guide

### Introduction

Workplace accidents not only cause unnecessary pain and suffering, they cost industry billions in profits every year. This waste can be greatly reduced by a management commitment to safety that includes a complete assessment of risk in the workplace.

With this in mind, the *1992 Management of Health and Safety at Work Regulations* require that every employer must make a "suitable and sufficient assessment" of health and safety risks to employees and non-employees.

**How To Conduct A Risk Assessment** is a video training programme designed to help managers and supervisors in their risk assessment duties.

### About The Film

**How To Conduct A Risk Assessment** is an engaging 17 minute video designed to explain the principles and practices of risk assessment.

The film uses a case study – along with the illustrative metaphor of a bungee jump – to demonstrate a practical approach to risk assessment. While the case study takes place in a manufacturing plant, the issues are directly relevant to every type of business.

The risk assessment process can seem daunting to the manager or supervisor about to embark on it. The film recognises this obstacle and helps managers break the process down into manageable tasks.

The film is designed for supervisors and managers with a minimum of training experience in safety issues. It may also be useful in explaining the process to employees.

## Objectives

At the conclusion of the video training programme and a guided discussion of risk assessment, participants should be able to:

- Understand the importance of risk assessment
- Understand the basic principles of the risk assessment process
- Identify hazards and risk associated with the jobs under their supervision
- Assess current control measures
- Identify and prioritise further actions

## Before The Training Session *Leader Preparation*

The video training programme is only a part of a complete training session. As the trainer, you will need to help put the video in context by relating it to your company's specific situation and policies.

You will also need to facilitate a discussion of the issues and practices involved in risk assessment. This Trainer's Guide will help you prepare for and conduct an effective training session.

Before the training session, you should:

- Preview the video, read the Leader's Guide and identify any areas which might differ from your own company policy.
- Identify some of the jobs that take place on your site as examples for discussion.
- Be familiar with the *Management of Health and Safety at Work 1992* legislation.  
The Code of Practice can be obtained from The HMSO Publications Centre (020 7873 9090) or from accredited agents.
- Obtain overhead transparencies, slides, photographs, company policy sheets and other training aids that relate to health and safety in your company.
- Book a quiet, well-ventilated meeting room. Make sure that the group is small enough to give everyone a good view of the video monitor. A good rule of thumb is to use the screen size to limit group size and distance from the screen. For example, a 19-inch monitor is suitable for a group of 19 people with no one sitting more than 19 feet away.
- Allow enough time to complete the training session. A typical session includes a discussion of the objectives, presentation of the programme, review of the material, testing and test review. The process should take about 75 minutes to complete.
- Arrange to have **How To Conduct A Risk Assessment** available to managers and supervisors who want to review the material.

## **Programme Outline**

### **Introduction**

- A Importance of safety at work
- B Importance of risk assessment

### **The Basic Principles of Risk Assessment**

- A Identify hazards
- B Assess risks (including current precautions and procedures)
- C Take action

### **The Risk Assessment Process**

- A Divide the site into areas
- B Enlist and train others in risk assessment
- C Identify all jobs in each area
- D Identify all hazards related to each job
- E Assess the risks to people and the likelihood of occurrence
- F Monitor previous accident reports
- G Assess current control measures and procedures
- H Identify further actions
- I Prioritise actions

### **Prioritising actions – a simple guide**

- A Consider the worst outcome and rate it (1 being no damage, 6 being multiple fatality)
- B Multiply by a rating of probability of occurrence (1 being safe or extremely unlikely, 6 being inevitable)
- C Prioritise actions based on score

### **Control Processes**

- A Eliminating the hazardous task
- B Engineering controls (guarding, interlocking, etc.)
- C Safe work systems (permit-to-work, etc.)
- D Personal Protection Equipment (as last resort and back-up)

### **Establish review dates**

- A To check validity of assessments
- B To gauge the success of control processes

## **The Training Session**

### ***Effective Presentation***

The training sessions should follow a logical progression without being so regimented as to discourage the free flow of ideas. Here is a suggested sequence for your session:

#### **Sell the problem**

People learn best when they understand why they need to know the material. For safety, "selling the problem" might include a discussion of the high cost of accidents – in both human and financial terms - as well as a discussion of the Management of Health and Safety at Work Regulations.

#### **Discuss the objectives of the session**

Tell people what they will be expected to know at the end of the session. If appropriate, let them know that they will be tested at the end of the session.

#### **Introduce the video**

Support the credibility of the video programme. Tell them why you selected it and what you think it will accomplish.

Explain that, while a lot of information will be presented in the programme, the principles are especially important. For risk assessment, these principles are simple: identify risks, assess control measures and take action.

Tell participants that a summary of the programme will be handed out (Programme Outline) so note-taking is not necessary.

If necessary, explain that some of the ideas in the video might differ slightly from company policy, and that you will discuss these differences after the programme.

Ask participants to write down any questions that arise during the programme for the subsequent discussion.

#### **Show How To Conduct A Risk Assessment**

Make sure that everyone can easily see and hear the programme.

Answer any immediate questions.

Review the main points of the programme.

Use the Topics For Review as a guide to this discussion. Hand out copies of the Programme Outline.

#### **Conduct the quiz**

And review the answers with participants. Discuss any misperceptions that may have come to light.

(continued)

### **Relate the programme to your company**

Include any company statements or policies that are relevant to the discussion.

### **Conduct the Learning Activities**

Adapt the activities described below to increase the relevance for your company.

Arrange to make **How To Conduct A Risk Assessment** available for participants to review and to help them train their staff.

### **Establish next steps**

Ideally including a timetable for the completion of the risk assessment process and regular reviews.

## **Topics For Review**

The following questions should be used as a guide to further discussion of the points made in **How To Conduct A Risk Assessment**.

**Q** What are the three basic principles behind any risk assessment?

**A** Risk assessment procedures differ from company to company, but all involve identifying hazards, assessing risks and taking action.

**Q** How can one manager assess all the risks associated with so many work areas and jobs?

**A** Usually one manager can't. He or she must enlist the help of other managers, supervisors and workers.

**Q** When is it okay to relax safety standards in the interest of the company as a whole?

**A** Never. Safety must come first.

(continued)

**Q** What are the nine steps in a risk assessment?

**A** Review the nine steps from the programme outline or the handout (Appendix 1).

**Q** What two factors determine the priority order of actions to be taken?

**A** The degree of severity of the worst outcome of an accident and the probability, or likelihood, of that accident occurring.

**Q** What must be done before new procedures can be developed for an identified risk?

**A** First, it is necessary to evaluate the current control processes and procedures to see if they are sufficient.

**Q** How will a risk assessment help your company manage health and safety?

**A** A risk assessment provides a systematic, measurable approach to the management of risk. If it is well-executed, a risk assessment will prevent accidents.

**Q** Is a risk assessment required by law?

**A** Yes. Risk assessment is required by the *Management of Health and Safety at Work Regulations, 1992*.

**Q** How can previous accident reports help you in your risk assessments?

**A** Accident reports can identify hazards and suggest actions. They can also help you evaluate the control measures put in place since the accident.

**Q** What are the four major risk control procedures?

**A** Elimination of the hazardous task  
Installing engineering controls  
Instituting a safe system of work  
Wearing personal protective equipment

**Q** What are some examples of engineering controls?

**A** Equipment guarding and interlocking are two examples. (NB. Try to identify specific control devices in your own company).

**Q** What are some examples of safe work systems?

**A** Permit-to-work systems. Pre-shift equipment checks. (NB. Try to identify specific safe work systems in your company).

(continued)

**Q** Why is a safety suggestion scheme important?

**A** Workers and operators understand risks associated with their jobs better than anyone. Safety suggestion schemes tap this valuable source of knowledge.

**Q** Why is personal protective equipment considered a last resort?

**A** Personal protective equipment is the final back-up system in an accident. If it is used, the control procedures have broken down and an accident has already occurred.

**Q** Can personal protective equipment be dispensed with if the manager or supervisor is confident that the control processes are "foolproof"?

**A** No. Personal protective equipment is an important part of managing risk and should always be used. No control process is "foolproof".

**Q** When is a risk assessment completed?

**A** An initial risk assessment is completed when every job in every area of your site has been assessed. In practice, however, risk assessment never ends. It is a continuous process of actions, assessments, reviews and improvements.

**Q** Isn't risk assessment an unnecessary burden on business?

**A** Absolutely not. Recent research on the cost of accidents and occupational ill-health prove that good safety practice is good business. Once implemented, a risk assessment system uses much fewer resources – including time and money – than it saves. This is true even before the human costs of accidents are factored in.

**Q** How can a risk assessment improve morale?

**A** A risk assessment almost always improves morale by making your staff feel safe in their jobs and valued as employees. By including staff in the risk assessment process you are also reinforcing the idea that their ideas and opinions count.

**Q** What other processes might help guide managers through the risk assessment process?

**A** Risk assessment is very much like COSHH assessments, quality assessments and environmental assessments. The principles of identify, assess and take action are the same for all of these.

**Q** What is a reasonable time scale for completing the initial risk assessment in our company?

**A** Discuss. Generally, the process will reflect the extent and complexity of each site. A risk assessment in some manufacturing sites might take months, while an initial assessment in a small office or shop might take a day or two.

## **Learning Activities**

### **Risk assessment practice**

Breaking into groups of 3-5 people, or as a whole group, conduct a mini-assessment of some typical jobs on site.

Use the Nine Steps to Risk Assessment (Appendix 1 – steps 3,4,5,7,8) or the Risk Assessment Forms (Appendix 3 or similar).

Alternatively, practice together on some common household jobs, such as taking out the rubbish, having a barbecue, painting a room, etc.

### **Prioritising actions**

After Activity 1 is completed, prioritise the actions (step 8) identified for these jobs. Use copies of the Action Prioritising Forms provided (Appendix 3) or develop your own.

It is helpful to do this exercise in smaller groups, then get together to compare results. If the priorities differ, discuss why and emphasise the importance of using judgement.

### **The four types of control**

Categorise each of the controls listed for the example below into one of the four control process types (task elimination, engineering controls, safe work systems or personal safety protection):

Lift Truck Safety Controls

Operator training

Restricted operation

Audible warnings

Pre-shift checks

One-way systems

Pedestrian guides

Safety suggestion scheme

Safety helmet rule

Have items delivered directly to shelves

### **Prioritising by judgement**

Create pairs of hazards in your company, like these two pairs:

An unsecured ladder or an unlabeled chemical drum

Lack of lift truck training or absence of safety helmet

Choose which hazard in each pair could have the most severe outcome and which of the two is most probable. Discuss.

## **Risk Assessment**

NAME

DEPARTMENT

DATE

***True / False***

- 1** Conducting a risk assessment is required by law.  
***True / False*** (Circle the correct answer)
  
- 2** There's no need to assess the risks of a task that already has written control procedures in place.  
***True / False***
  
- 3** A good manager should be able to conduct a risk assessment on his own.  
***True / False***
  
- 4** Personal protection equipment is unnecessary if proper controls are in place.  
***True / False***
  
- 5** Risk assessments must be reviewed at regular intervals.  
***True / False***
  
- 6** Risk assessment is a management task that need not involve staff.  
***True / False***
  
- 7** In determining the severity of a hazard, you must assess the worst possible outcome.  
***True / False***
  
- 8** Risk assessment is required for only the most dangerous jobs on any given site.  
***True / False***
  
- 9** Personal protection equipment is the final back-up system only, never a complete control in itself.  
***True / False***
  
- 10** Once action tasks have been identified, it is important to do them all right away.  
***True / False***

## **Risk Assessment**

NAME

DEPARTMENT

DATE

**Multiple Choice** (Circle the letter of the correct answer):

- 1** Operator training is an example of:  
**A.** Engineering control **B.** Safe work system **C.** Personal protective equipment  
**D.** Task elimination
  
- 2** Pedestrian guide rails are an example of:  
**A.** Engineering control **B.** Safe work system **C.** Personal protective equipment  
**D.** Task elimination
  
- 3** A safety helmet is an example of:  
**A.** Engineering control **B.** Safe work system **C.** Personal protective equipment  
**D.** Task elimination
  
- 4** To properly assess the risk involved in a task and to identify actions, it is important to:  
**A.** Consult with the workers involved **B.** Review previous accident reports  
**C.** Determine the severity and probability of an accident relating to the task  
**D.** All of the above
  
- 5** Once an initial risk assesment is completed, it is important to review it:  
**A.** Only if an accident occurs **B.** Only if procedures change significantly  
**C.** At regular intervals **D.** Never

### **List**

List the three main principles of the risk assessment process:

List the four types of risk control:

## **APPENDIX 1**

### **Nine Steps to Effective Risk Assessment**

- 1 Divide the site into areas**
- 2 Enlist and train others in risk assessment**
- 3 Identify all jobs in each area**
- 4 Identify all hazards related to each job**
- 5 Assess the risks to people and the likelihood of occurrence**
- 6 Monitor previous accident reports**
- 7 Assess current control measures and procedures**
- 8 Identify further actions**
- 9 Prioritise actions**

**APPENDIX 2**

**Risk Assessment Form**

Use this form to list all the jobs in a specific area, identify the hazards for each, current control measures and necessary actions. To help prioritise these actions, you might want to use the **Action Prioritising Form** (Appendix 3).

WORK AREA	
DATE of initial assessment	last UPDATE
ASSESSORS	
JOBS UNDERTAKEN	
HAZARDS	
CURRENT CONTROL MEASURES	
REQUIRED ACTIONS	

## APPENDIX 3

### Action Prioritising Form

This prioritising system should be used only as a guide to taking action. As the assignment of scores for severity and probability are subjective, this exercise should not be seen as a scientific procedure. Use your judgement.

HAZARD	HOW LIKELY is the accident to occur  1=Safe 2=Very unlikely 3= Unlikely 4= Likely 5= Very likely 6= Inevitable	Severity of WORST OUTCOME  1=No damage 2=Minor injury 3= Injury 4= Major injury 5= Single fatality 6= Multiple fatalities	The priority SCORE (Multiply scores from columns 2 and 3)	ACTIONS TO BE TAKEN

## Answers to Risk Assessment Quiz

### True / False

- 1 True
- 2 False
- 3 False
- 4 False
- 5 True
- 6 False
- 7 True
- 8 False
- 9 True
- 10 False

### Multiple Choice

- 1 B
- 2 A
- 3 C
- 4 D
- 5 C

### List

Identify hazards  
Assess risks  
Take action

Task elimination  
Engineering control  
Safe work system  
Personal protective equipment



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