

Annex A

To Loughborough University Facilities Management Health and Safety Policy Risk Management and Risk Assessment

Introduction

No work shall be undertaken without the Risk Assessment Procedure (RA) first being carried out. RA may vary in approach from a personal assessment of the task at hand prior to carrying out a simple task to a thorough team approach; possibly incorporating associated method statements and permits to carry out certain types of work. Risk Assessments are stored on to the workspace [\\ws7.lboro.ac.uk\\LU-HS-Risk-Assessments](https://ws7.lboro.ac.uk/\\LU-HS-Risk-Assessments).

General

1. Risk Management (RM) is an implicit requirement of the general management process, and the requirement for Risk Assessment (RA) cannot be separated off or undertaken by a single 'Risk Assessor' or equivalent. The responsibility of undertaking and producing a suitable and sufficient risk assessment, and ensuring an agreed safe method of working is subsequently followed, remains the responsibility of the relevant Manager or Supervisor for the works. The task of the department's 'Health and Safety Coordinator' and 'Health Safety and Risk Manager' within Facilities Management is to facilitate the Risk Assessment and Risk Management processes, offering advice on legislative requirements and best practice together with processing the agreed documentary records.
2. It is worth emphasising that the major input to the Risk Assessment process comes from the personnel who are involved in the task being assessed on a day-to-day basis. The Risk Assessment processes will almost certainly fail, or an insufficient or unsuitable assessment result without their expertise.
3. No work should be undertaken without a Suitable and Sufficient Risk Assessment first being carried out. Risk Assessments may vary in approach from a simple personal assessment of the task at hand prior to carrying out a simple task, to a thorough team approach; possibly incorporating associated method statements and permits to carry out certain types of work.
4. The Supervisor or Line Manager is responsible for the existence, suitability and sufficiency of the risk assessment. The operative is responsible for ensuring that a risk assessment has been carried out before proceeding with the work and for adopting/following the resulting risk management processes.
5. For the generic and larger task Risk Assessment's, a group approach to their production is to be adopted, with representative staff forming the team, set up on both formal and ad hoc basis as required.
 - a. Such an approach will involve appropriate personnel drawn from supervisors, trades union representatives, tradesperson and operatives with their relevant specialist knowledge of the work and processes being undertaken.

- b. The involvement of the workforce in assessment teams will play a significant role in the Risk Assessment process and assisting in the dissemination of safety related information.
- c. The dissemination of the resultant Risk Assessments via section representatives will keep those who do not make up the proposed Risk Assessment team(s) abreast of progress within their respective disciplines.
- d. Employees at all levels should feel confident in undertaking Risk Assessment within agreed parameters, dependent on the hazard, associated risk and subsequent failure consequences. Individual assessment of particularly hazardous operations should only be undertaken at appropriate management level whereas day to day operational assessments should be undertaken by tradespersons, operators and the like on an ongoing basis, with any problematic processes being referred through line management, departmental Health and Safety Coordinator and Health Safety and Risk Manager and Union representatives as appropriate.
- e. Generic guidance and assistance with undertaking a simple risk assessment and completing the appropriate paperwork is at Appendix 1 to this Annex.
- f. All new employees shall undergo risk assessment and risk management training appropriate to their work. The risk management training and/or familiarisation will be tailored to suit the individual requirements of Loughborough University Facilities Management staff.
- g. Risk Assessment Team approach (See below for day to day Risk Assessment):
 - i. Larger and more complicated tasks requiring Risk Assessment, that cannot be undertaken at operator, tradesperson or Supervisor level should be brought to the attention of the respective line manager and the Health and Safety Coordinator (or in their absence the Departmental Health Safety and Risk Manager) by the Manager or Supervisor (the initiator) responsible for the relevant work or process.
 - ii. The initiator and Health and Safety Coordinator will agree a priority for the Risk Assessment, based on current status and workload.
 - iii. The Health and Safety Coordinator will set up and co-ordinate a team consisting relevant stakeholders of the job or process, including site attendance as required in order to evaluate the hazards and associated risks.
 - iv. The Risk Assessment team will agree the hazards and associated risks and produce an outline Risk Assessment to enable works to proceed. Once agreed the Health and Safety Coordinator will prepare a formal Risk Assessment for record purposes.
 - v. Having formalised the Risk Assessment, the teams' names will be appended to the Risk Assessment, which will then be registered via the Health and Safety Coordinator.
 - vi. The Health and Safety Coordinator will refer any risk assessments to the relevant manager or supervisor where they believe it not to fulfil the requirements of 'suitable and sufficient'.
 - vii. RA will be referred to the Deputy Health Safety and Risk Manager as necessary, such as if a policy needs amending.

- h. Day to day approach to Risk Assessment (See above for team approach)
 - i. The tradesperson or operative will initially assess the work that is about to be undertaken. In many cases this initial Risk Assessment will be sufficient to allow works to proceed. A Risk Assessment involving significant risk¹ should be recorded. Where a tradesperson or Operative believe the Risk to warrant additional input or advice from their line manager, such assistance will be provided. Advice may be sought from all line managers and the Health and Safety Coordinator where deemed necessary.
 - ii. Once having carried out the Risk Assessment, with the work proceeding, any assessments requiring recording or additional input (e.g. specific identification of applicable legislation) should be passed via the operative's line manager to the Health and Safety Coordinator.
 - iii. The Line Manager and/or Health and Safety Coordinator if required may wish to accompany the initiator to site at a mutually agreed time to witness the work or process being undertaken, but familiarity with the Risk Assessment process will suggest whom and at what level of seniority personnel should become involved.
 - iv. Having agreed the content, the Risk Assessment teams' name(s) will be appended prior to its being passed to the Health and Safety Coordinator for registering and subsequent distribution.
6. Recording and dissemination of Risk Assessment information.
- a. After being signed by the relevant initiator(s), Line Manager and countersigned by the Health and Safety Coordinator, the H&S Coordinator or HS&R Manager will distribute completed Risk Assessments as follows:-
 - i. The initiator.
 - ii. Trades Union representative.
 - iii. RA team members.
 - iv. FM Section Supervisors.
 - v. University Health and Safety Office.
 - vi. Any other associated parties. (e.g. Departmental Representatives).
 - b. Section Supervisors and Managers should ensure that all relevant Risk Assessments are brought to the attention of the staff within their sections and ensure their adoption as part of their day-to-day managerial responsibilities. All relevant new and amended Risk Assessments published must be brought to the attention of staff during tool box talks, office talks or equivalent staff updating meetings by Supervisors.
 - c. Section Managers and Supervisors should maintain a paper library of current risk assessments concerning their area of operation for access by trades staff and operatives.
 - d. Additionally, one copy of all assessments will be deposited within the Facilities Management staff canteen, with a further copy placed on the 'shared' drive and the departmental intranet.
 - e. The Health and Safety Coordinator will, with the assistance of the helpdesk, create and upkeep a library containing all current and archived Risk Assessments and background material. The Risk Assessment will be initially disseminated as indicated above, with additional copies issued on request.

7. Updating

- a. Risk Assessment will be reviewed periodically and:
 - i. Following the adoption or implementation of changes required by a previous Risk Assessment.
 - ii. Following the upgrading or replacement of machinery or a change in staff or procedure on a process/plant to which the Risk Assessment referred.
 - iii. Following an accident or near miss (incident).
 - iv. As required by audit and review findings.
 - v. Every 3 years
8. Dynamic Risk Assessments are completed by trades staff to make any necessary adjustment from existing generic risk assessments necessary to carry out the work safely. Dynamic Risk Assessments are a continuous process of identifying hazards, assessing risk, taking the appropriate action to eliminate or reduce the risk, monitoring and reviewing, in the rapidly changing circumstances of an operational incident
9. A 'toolbox talk' is a short presentation to the workforce on a single aspect of health and safety. Toolbox talks should be delivered by the trades Supervisors or assistant supervisors regularly. This should be an informal safety meeting that focuses on safety topics related to specific jobs, such as workplace hazards and safe work practices.

¹ Significant risk: risk which could result in a RIDDOR reportable accident occurring as a result of the work being undertaken.

Revision	Revisions made	Date
1	Clarification of responsibilities in the 1st paragraph	Aug 2011
2	MJC - Updated job descriptions	Sept 2014
3	MJC – Clarification of section7 that the maximum review period is every 3 years.	Sep 2014
4	MJC – Reviewed procedure making minor amendments and reformatted.	Feb 2014
5	MJC – Ras are now stored on to the workspace \\ws7.lboro.ac.uk\LU-HS-Risk-Assessments	Sept 2018
6	Dynamic Risk Assessments have recently been successfully introduced in FS	Sept 2018
7	Toolbox talks, the need for the trades supervisors to deliver monthly talks.	Sept 2018