

Risk Assessment Policy and Procedures

1. Introduction

The purpose of risk assessment is to identify hazards and evaluate any associated risks to health and safety arising from TDI Sustainability's activities, enabling informed decisions to be taken to eliminate or minimise any risk of harm to those who may be affected.

Risk assessments do not have to be complicated; the level of detail contained in them should be relevant to the level of the risks involved with the activity. In many cases a risk assessment will lead to the clarification and documenting of local team protocols and procedures that are often already in place. The analytical process involved with risk assessment and control can also result in efficiencies in existing processes being identified.

Risk assessments can also assist in the identification of requirements for, and levels of, instruction, information, training and supervision that may be required for the activity.

2. Responsibilities

The following posts have responsibilities:

Employees are responsible for:

- Assisting with and participating in the process of risk assessment.

Managers are responsible for:

- Undertaking risk assessments, identifying and implementing control measures, effectively communicating the outcomes to employees and others as appropriate.

3. Definitions

For the purpose of this policy the following definitions apply:

Hazard: Something with the potential to cause harm Hazardous

Outcome: A description of how someone could be hurt or damage could occur as a result of interacting with the hazard

Risk Rating: The overall judgement of the level of risk which may arise from the hazard, based upon the likelihood of the event occurring and the potential severity of the consequence

Control Measures: Method 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.

4. Hazard Identification

Managers are responsible for making themselves aware of all routine and non-routine work activities (including any foreseeable emergencies) undertaken in their areas of responsibility. Once this exercise is complete it will be possible to describe activities in a meaningful way for the

purposes of risk assessment to avoid unnecessary paperwork and bureaucracy e.g. if the activity of cash handling is identified during a number of activities it may be possible to group these activities under one risk assessment, rather than producing a number of very similar documents.

Whenever possible managers should adopt a team approach to risk assessment and involve employees who have practical experience of the activity being assessed, as they often have the best awareness and understanding of the hazards involved with the activity and know how the activity is actually carried out.

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 the use of materials, substances, equipment and the location that the activity is carried out in.

5. Risk Evaluation and Estimation

Once hazards associated with activities have been identified, it becomes necessary to establish what the potential hazardous outcomes or events could be associated with the hazard.

When identifying who could be harmed, identify how they could be harmed.

The next stage is to examine the **likelihood** of a hazardous event occurring. Infrequently occurring hazards, present less risk than frequently occurring hazards.

Once likelihood has been determined the probable consequence of the hazardous event, should be considered. Consequences can be considered in terms of severity of potential injury (is it probable that a person would die or sustain minor injuries) but consequence also can be considered in broader terms, including reputational consequences.

For the purposes of illustration a five point model is suggested below:

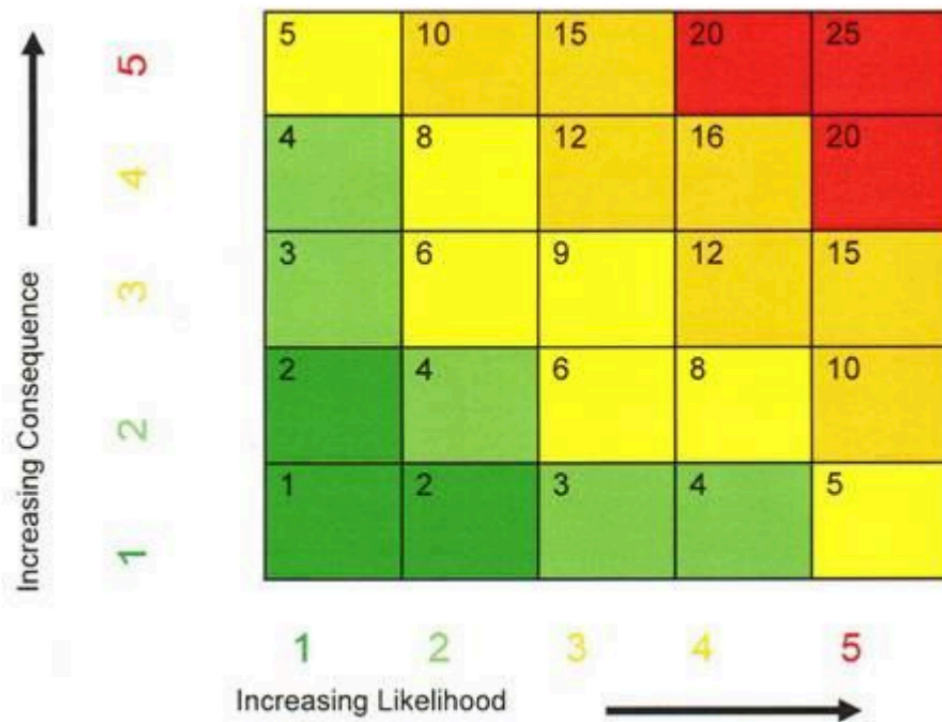
Table 1

Likelihood	Consequence
5-Very Likely	5-Catastrophic
4-Likely	4-Major
3-Fairly Likely	3-Moderate
2-Unlikely	2-Minor
1-Very Unlikely	1-Insignificant

This risk estimation process helps to determine the significance of the risks associated with the hazards. The number of people who may be affected by a hazard is a relevant consideration during risk estimation.

The matrix in Figure 1 illustrates how risks can be evaluated using the five point model.

Figure 1



Risk assessment 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 account existing risk control measures that are already established to be place to reduce / control the risk. Using the risk matrix as a guide, the level of risk should be assessed to identify the **risk rating**.

Table 2, gives further guidance on the interpretation of the categories described in Table 1

Table 2

Likelihood	Description
Very Likely	Expected to occur in most circumstances.
Likely	Will probably occur in most circumstances.
Possible	Might occur at some time.
Unlikely	Not expected but conceivable, could occur sometime.
Very Unlikely	Not expected and would only occur in exceptional circumstances.
Consequence	Description
Catastrophic	Fatality or multiple fatalities due to injuries. Severe illness which may prove fatal.
Major	Probable major injury as defined in the Reporting of Injuries Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR). May affect more than one person, could have significant reputational implications.
Moderate	An >3 day injury, dangerous occurrence or reportable disease as defined in RIDDOR. Likely to be productivity issues and costs associated with down time.
Minor	Injury resulting in an absence from work or being unable to undertake normal duties for >1 but <3 days.
Insignificant	Injury resulting in no absence from work or being unable to undertake normal duties for <1 day.

Table 3

For Example:				
Risk Rating Calculation: tripping up on missing nosing on the entrance steps to a well used building				
Likelihood	x	Consequence	=	Risk Rating
<i>Likely</i>	x	<i>Moderate</i>		
4	x	3	=	12

Once the matrix has been used to determine the risk rating it is then possible to use Table 4 below to establish the appropriate actions required:

Table 4

Risk Rating	Descriptor	Acceptable?	Actions
16-25	Prohibited	Unacceptable	Work should not be started or continued until the risk has been reduced. Additional risk control measures required.
12-15	High	Likely to be un Acceptable	Often high risks can be reduced by improving controls. High risks may be acceptable in situations where consequences are potentially high but the likelihood of incidence has been reduced significantly.
6-10	Medium	Could be Acceptable	Medium level risks may are likely to be acceptable, if suitable controls are in place.
1-5	Low	Likely to be Acceptable	Low risks are acceptable unless there are low cost solutions which removes the risk and improves the working environment.

All risks associated with activities will now be identified and systematically assessed.

5. Risk Control

Suitable and sufficient risk control measures will be identified and implemented to ensure that all risks are appropriately controlled and meet legal requirements as a minimum. All risk control measures will follow the hierarchy of risk control stated in this procedure.

Risk control measures are methods used which reduce/control risks arising from the hazard.

Control measures must take into account any relevant legal requirements which establish the minimum levels of risk control. Where additional control measures are required to reduce the risk, they should be considered according to the order in the following 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.

Table 5

Hierarchy of risk control	
Eliminate the risk	Avoid the risk altogether by removing the hazard or no longer undertaking the activity
Substitute the risk	Reduce the risk by replacing the hazard or activity with one which entails lower risk
Control the risk (Physical)	Control the risk by physical isolation or separation of people from the hazard
Control the risk (Procedural)	Control the risk by procedural methods which are understood and effectively implemented; safe systems of work, information, training, instruction, supervision, SOP etc
Protect the individual	Protect the individual by the provision of personal protective equipment

When considering additional control measures it should be ensured that they will not introduce any new hazards.

When the control measures have been identified and agreed they must be prioritised, placed into an action plan and implemented. The action plan needs to be clear about exactly what needs to be done, when and by whom with **SMART** objectives (Specific, Measurable, Achievable, Realistic and Timed). Where full implementation of the control measures identified cannot be achieved rapidly adequate steps may need to be taken in the interim to minimise the risk.

The implementation of the action plan must be monitored and subsequently reviewed to ensure that the remedial actions identified have been, and continue to be, adequate, appropriate and implemented.

6. Communication

Relevant information identified in the risk assessment regarding the hazards, their associated risks to health and safety and the appropriate risk control measures must be effectively communicated, and be readily accessible to, employees and others as appropriate.

Managers need to ensure that the findings of the risk assessments and the precautions to be taken are effectively communicated to, understood and implemented by those persons covered in the assessment.

7. Monitoring and Review

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 as appropriate.

Risk assessments must be reviewed

- if there has been a significant change in the matters to which it relates
- if there is reason to suspect that it is no longer valid
- at least annually.

8. Review of Policy

This policy will be reviewed on a three yearly basis or at an earlier date if changes are required due to risk assessment review or changes in government advice.