

HR03 - Risk Assessment Policy and Procedure

Category: Health and Safety Sub-category: Risk Assessment

Policy Review Sheet

Last Reviewed: 13/03/19 Last Amended: 13/03/19

Next planned review in 12 months, or sooner as required.

Note: The full policy change history is available in your online management system.

Business Impact:	Low	Medium	High	Critical
		X		
Changes are important, but urgent implementation is not required, incorporate into your existing workflow.				

 Reason for this review:	Scheduled review
 Were changes made?	Yes
 Summary:	Review of current policy to the new system in meeting CQC core standards and industry best practice. This is a further review to add more detail to the procedure section of the policy, in particular the 5 steps process and some additional information to other sections of the policy.
 Relevant Legislation:	<ul style="list-style-type: none"> • Civil Contingencies Act 2004 • The Health and Social Care Act 2008 (Regulated Activities) (Amendment) Regulations 2015 • Health and Safety at Work etc. Act 1974 • Management of Health and Safety at Work Regulations 1999 • The Manual Handling Operations Regulations 1992 • The Workplace (Health, Safety and Welfare) Regulations 1992 • The Health and Safety (Miscellaneous Amendments) Regulations 2002 • Data Protection Act 2018
 Underpinning Knowledge - What have we used to ensure that the policy is current:	<ul style="list-style-type: none"> • HSE, (2014), <i>Risk assessment - A brief guide to controlling risks in the workplace (INDG163)</i> [Online] 1 -5. Available from: http://www.hse.gov.uk/pubns/indg163.pdf [Accessed: 13/03/2019] • HSE, (2017), <i>Sensible risk assessment in care settings.</i> [Online] Available from: http://www.hse.gov.uk/healthservices/sensible-risk-assessment-care-settings.htm [Accessed: 13/03/2019] • HSE, (2014), <i>Health and safety in care homes (HSG220)</i> [Book] http://www.hse.gov.uk/pubns/priced/hsg220.pdf • ROSPA, (2017), <i>The Health and Safety Executive's Five steps to risk assessment.</i> [Online] . Available from: http://www.rospace.com/rospaweb/docs/campaigns-fundraising/hse-five-steps-to-risk-assessment.pdf [Accessed: 13/03/2019]
 Suggested action:	<ul style="list-style-type: none"> • Encourage sharing the policy through the use of the QCS App

HR03 - Risk Assessment Policy and Procedure

This page is deliberately left blank

HR03 - Risk Assessment Policy and Procedure

1. Purpose

1.1 To protect the services, staff, reputation and finances of 4SocialCare Ltd through the process of early identification of risk, risk assessment, risk control and elimination.

1.2 To support 4SocialCare Ltd in meeting the following Key Lines of Enquiry:

Key Question	Key Line of Enquiry (KLOE)
SAFE	S2: How are risks to people assessed and their safety monitored and managed so they are supported to stay safe and their freedom is respected?
SAFE	S4: How does the provider ensure the proper and safe use of medicines?
WELL-LED	W2: Does the governance framework ensure that responsibilities are clear and that quality performance, risks and regulatory requirements are understood and managed?

1.3 To meet the legal requirements of the regulated activities that 4SocialCare Ltd is registered to provide:

- Civil Contingencies Act 2004
- The Health and Social Care Act 2008 (Regulated Activities) (Amendment) Regulations 2015
- Health and Safety at Work etc. Act 1974
- Management of Health and Safety at Work Regulations 1999
- The Manual Handling Operations Regulations 1992
- The Workplace (Health, Safety and Welfare) Regulations 1992
- The Health and Safety (Miscellaneous Amendments) Regulations 2002
- Data Protection Act 2018

2. Scope

2.1 The following roles may be affected by this policy:

- All staff
- Contractors

2.2 The following people may be affected by this policy:

- Service Users

2.3 The following stakeholders may be affected by this policy:

- Family
- Advocates
- Representatives
- Commissioners
- External health professionals
- Local Authority
- NHS

3. Objectives

3.1 To ensure that all significant risks to the business are accounted for and that measures are put in place to ensure that those risks are removed or that control measures are put in place to reduce risks to as low as is reasonably practicable.

3.2 The objective of this policy and its associated procedure is to set out the approach that 4SocialCare Ltd adopts in managing risk. In a simple, straightforward and clear manner it will set the intentions of 4SocialCare Ltd for timely, efficient and cost-effective management of risk at all levels.

HR03 - Risk Assessment Policy and Procedure



4. Policy

4.1 4SocialCare Ltd recognises that risk assessments are the most important part of effective health and safety management. Risk assessments help us to prevent accidents and ill health by considering the hazards that exist and how we manage them. From these assessments we can develop safe systems and methods of work and ways to prevent problems occurring.

4.2 Specific risk assessments are required by certain regulations. These regulations may contain a specific reference to the requirement for risk assessment or may refer to the Management of Health and Safety at Work Regulations for this requirement.

4.3 4SocialCare Ltd recognises that risk assessments change and that documents have to be reasonable and manageable. To ensure that all assessments are current, it is advisable that they are reviewed annually or when there is an accident, incident, near miss or a significant change as outlined in the associated procedure.

4.4 4SocialCare Ltd takes a human rights-based approach to risk management. We recognise that a Service User has a right to choose to take risk, but 4SocialCare Ltd will support them to ensure that this risk is well informed and it is clearly documented and that the mechanisms to reduce, minimise or eliminate risk have been discussed and recorded.

4.5 4SocialCare Ltd will:

- Appoint a competent person or persons to carry out risk assessments, recording their details on the Health and Safety Law poster of 4SocialCare Ltd
- Carry out suitable and sufficient risk assessments of 4SocialCare Ltd activities
- Identify and carry out those specific risk assessments that we are legally required to carry out
- Carry out detailed risk assessments on hazardous activities
- Implement the control measures and further actions required to reduce risks identified in the assessments
- Agree how long the risk assessment will remain valid and when it will be reviewed
- Bring the significant findings of the risk assessments to the attention of those affected
- Amend risk assessments when changes occur, and review them regularly to ensure that they are kept up to date
- Train staff on the principles of risk assessment, in particular, the identification of hazards, and the implementation of control measures to remove or reduce the risk

HR03 - Risk Assessment Policy and Procedure

5. Procedure

5.1 Risk Assessing has a number of steps that must be undertaken before risks can be recorded. 4SocialCare Ltd needs to think about what might cause harm to people (this would include accidents and ill health) and decide whether 4SocialCare Ltd is taking reasonable steps to prevent that harm.

5.2 Identify the Hazards

There are three main areas that need to be covered when identifying hazards:

- **Practice** - Look at the work activities and review any procedures/safe systems of work that are already in place. Identify what in the work activity could be reasonably expected to cause harm. Are any of the work activities carried out in unusual places such as at height or at night? Does the activity involve repetitive motions, etc? Consult with those who are carrying out the work activity as they may have identified hazards that are not immediately obvious. Review the Accident Book to see if there is any history in relation to the activity
- **Equipment** - As part of the activity, consider what equipment or substances are used. Identify the potential/actual hazards associated with the equipment/substances as they are being used. When in use, does the equipment produce excessive noise/vibration? Are there any emissions? Manufacturers' instructions or data sheets can also help to spot hazards
- **Environment** - Are the conditions of the local environment satisfactory for the work activities being performed?

5.3 Who Might be Harmed?

4SocialCare Ltd should consider the people who might be harmed by the activity (at this stage just the type of people). Special consideration must be given to the following groups:

- New and expectant mothers
- Young people (under 18)
- Night workers
- Lone workers
- Workers with disabilities

Additionally, 4SocialCare Ltd must consider anyone else who could potentially be affected by the activity or circumstances, for example:

- Service Users
- Visitors/members of the public
- Contractors
- Delivery personnel

Accident statistics and ill-health records can also be helpful with hazard spotting and/or identifying particular groups of people at risk.

Once you have identified who is at risk, consider how they may be exposed to the relevant hazards that have been identified. Identify under what conditions exposure occurs, e.g. routine or non-routine, deviation from normal exposure or an emergency situation such as spillage of a hazardous substance.

5.4 Evaluate the Risk and Decide the Precautions

Having identified the hazards and who might be affected, 4SocialCare Ltd needs to decide what to do about them. 4SocialCare Ltd will need to consider what it is already doing, think about what controls are in place and how the work is organised. This should be compared with good practice and to check if there are more controls required. These checks should consider:

- Can the hazard be removed altogether, if not, how can the risk be controlled so that harm is unlikely?

Examples of common control measures include:

- Specialist equipment
- Safety signs and signals
- Policies and procedures

HR03 - Risk Assessment Policy and Procedure

- Safe systems of work – including Permits to Work
- Training, instruction and supervision
- Health surveillance

5.5 If the existing measures are not adequate or there are no control measures, then the means of reducing the risk must be identified. Starting with all the extreme or high risks, the following sequence should be applied:

- **Eliminate** - Can the risk be removed? Do we need to carry out this procedure? Can it be done in a different way that eliminates or reduces the risk?
- **Substitute** - Can a different product or way of doing the task, which is less hazardous, be employed instead?
- **Contain/Guard** - Is there any way the hazard can be contained, e.g. Do guards need to be introduced which will prevent the equipment working if the guard is compromised?
- **Remove the person from the risk** - Is it possible to segregate the person from the hazard, e.g. have the hazard in one room and the employee operating the process from a panel in another room or by providing screens, etc?
- **Reduce the person's exposure to the hazard** - This can be done by changing work methods and/or patterns, e.g. ensuring adequate rest breaks, increasing the number of workers, introducing job rotation
- **Utilise Personal Protective Equipment [PPE]** - This should always be considered as a last resort to control any residual risk that cannot be eliminated by any of the above methods. It can include the provision of face masks, gloves, aprons, steel toe-capped shoes, hard hats, etc.
- **Provide welfare facilities such as first aid and washing facilities**

Information, instruction, training and supervision should also be considered. Often good training and information will provide satisfactory control for minor risks, but levels of supervision should be reviewed where young/inexperienced people are employed or where staff turnover is high.

5.6 Record Significant Findings

Make a record of significant findings - the hazards, how people might be harmed by them and what is in place to control the risks. Any record produced should be simple and focused on controls.

5.7 Review Findings

Risk assessments should be reviewed at least annually unless something changes, i.e.:

- Legislation and best practice
- An accident occurs
- The environment changes, i.e. change in shift patterns, increase in new workers, etc.
- There are new machines, equipment, substances and procedures which could lead to new hazards

Risk assessments should be signed and dated and the date of the next review documented.

5.8 Making Sensible Risk Assessment Decisions

Often, when assessing the care and support needs of Service Users, everyday recreational activities are identified that will benefit their wellbeing, but also put them at some level of risk. This requires a balanced decision to be made between the needs, freedom and dignity of the individual and their safety. Care assessments should enable Service Users to lead fulfilled lives safely, rather than be a mechanism for restricting their reasonable freedoms.

The risk assessment completed should identify and implement any sensible precautions to reduce the risk of significant harm to the individual concerned.

HR03 - Risk Assessment Policy and Procedure

6. Definitions

6.1 Risk Assessment

- A risk assessment identifies the risks that our business presents, identifies those who are affected by that risk and puts measures in place to eliminate or reduce that risk
- This protects all concerned from significant harm by having measures in place to manage that risk effectively

6.2 Control Measures

- These are methods to manage any risks which cannot be removed, i.e. hoists to lift Service Users
- This eliminates the need for manual handling by using mechanical means to control the risk

6.3 Hazard

- A hazard is anything that may cause harm such as chemicals, electricity, working from ladders, an open drawer, etc.

6.4 Risk

- Risk is the chance, high or low, that somebody could be harmed by these and other hazards, together with an indication of how serious the harm could be

Key Facts - Professionals

Professionals providing this service should be aware of the following:

- Managers of 4SocialCare Ltd must ensure that any significant risks to their business operations are risk assessed
- Managers to discuss with their staff any significant changes which take place on current risk assessments and ensure that staff are trained to follow them
- Keep an open line of communication between all parties, note any significant changes and seek to continually improve safety to reduce the risk of harm

Key Facts - People Affected by The Service

People affected by this service should be aware of the following:

- You and any visitors or contractors are to follow the notices provided at all sites belonging to 4SocialCare Ltd to ensure safety
- You and any visitors or contractors are to report any concerns you may have to a member of staff whilst on the site of any premises of 4SocialCare Ltd

Further Reading

There is no further reading for this policy, but we recommend the 'Underpinning Knowledge' section of the review sheet to increase your knowledge and understanding.

HR03 - Risk Assessment Policy and Procedure

Outstanding Practice

To be 'Outstanding' in this policy area you could provide evidence that:

- There are open lines of communication between workers and managers to ensure that information is discussed and shared
- Managers ensure that all staff receive appropriate risk assessment training and refreshers
- Managers have a maintenance book in which staff can log any concerns with regards to health and safety risks. These entries are reviewed and any amendment to current risk assessments made, if necessary, and then shared with the staff team
- Handover sessions include any current risks and any management methods put in place to address this
- Risk assessments are reviewed periodically and at least every two years to keep them current or sooner if something significant changes, i.e. an accident
- The wide understanding of the policy is enabled by proactive use of the QCS App

Forms

The following forms are included as part of this policy:

Title of form	When would the form be used?	Created by
Generic Risk Assessment Template - HR03	When you identify a risk and need to undertake a risk assessment.	QCS adapted from the HSE website.

Generic Risk Assessment Template - HR03

This page is deliberately left blank