

RISK ASSESSMENT CODE OF PRACTICE

1. INTRODUCTION

- 1.1 This Code of Practice has been developed to support the University in meeting its statutory duties under health and safety legislation, including Regulation 3 of the Management of Health and Safety at Work Regulations 1999, which requires that a 'suitable and sufficient' assessment of risks to health and safety is undertaken.
- 1.2 Risk assessment is a fundamental process for identifying hazards, evaluating associated risks, and implementing appropriate control measures to protect staff, students, and others who may be affected by university activities.
- 1.3 Where risk assessments are required under specific legislation, such as the Health and Safety (Display Screen Equipment) Regulations, the Control of Substances Hazardous to Health Regulations (COSHH), the Manual Handling Operations Regulations, and the Control of Noise at Work Regulations, these must be undertaken in accordance with the requirements of those regulations and any associated University procedures.

2. SCOPE

- 2.1 This Code of Practice applies to all University activities, including academic, research, operational, and support functions, whether undertaken on university premises or off-site, including fieldwork, placements, and travel.
- 2.2 It applies to all staff, students, contractors, and others who may be affected by university activities.
- 2.3 The document sets out the minimum standards and expectations for undertaking risk assessments, including the identification of hazards, evaluation of risk, and implementation of proportionate control measures.
- 2.4 This Code of Practice applies to both routine and non-routine activities; however, higher-risk or specialist activities may require additional, activity-specific risk assessment processes in line with relevant legislation and University guidance.

3. DEFINITIONS

The following lists basic definitions used in conjunction with risk management throughout this guidance.

	<i>The task or work being carried out</i>
<i>Significant risk</i>	<i>A risk where the outcome could result in injury beyond first aid, or where residual risk remains significant even with controls</i>
	<i>Anything with the potential to cause harm, loss, or damage</i>
<i>Consequence</i>	<i>The outcome if a hazard occurs (e.g. injury, damage, loss)</i>
	<i>The chance of a hazard occurring, based on experience and existing controls</i>
	<i>This is the combination of likelihood and consequence of a hazard occurring. Generally given a high, medium and low rating.</i>
<i>Reasonably Foreseeable</i>	<i>A hazard or event that can be anticipated based on normal experience</i>
<i>Harm</i>	<i>The injury, ill health, or damage resulting from an event</i>
<i>As Low as Reasonably Practicable</i>	<i>Sometimes referred to as ALARP. Reducing risk as far as reasonably possible, balancing risk against time, cost, and effort required to control it</i>

4. RISK ASSESSMENT

- 4.1 The purpose of a risk assessment is to identify hazards, evaluate risks, and implement control measures to reduce those risks to as low as reasonably practicable (ALARP).
- 4.2 Risk assessments must be recorded in writing and should reflect the actual activity being undertaken.
- 4.3 Risk assessments should focus on significant hazards and consider:
- The task being carried out
 - The environment
 - The people involved
 - Any interaction with other activities
- 4.4 Where risks are not adequately controlled, additional measures must be identified and implemented before the activity proceeds.
- 4.4 Certain activities are subject to specific legal requirements and established frameworks for risk assessment. To identify these easily you can find a guide to different types of risk assessment [here](#).

5. UNDERTAKING A RISK ASSESSMENT

- 5.1 A suitable and sufficient risk assessment should:
- Identify the hazards associated with the activity.
 - Identify who might be harmed (including staff, students, contractors, visitors, and those working out of hours).
 - Consider how harm could occur (e.g. injury, ill health). For instance, injuries caused by lifting & handling, exposure to machinery, slips trips & falls, and other health effects such as psychological.
 - Identify existing control measures.
 - Determine whether additional controls are required.
 - Be recorded and communicated to those involved.
- 5.2 When identifying hazards, be specific to the task (e.g. hot surfaces, electricity, hazardous substances, moving equipment), rather than describing the activity in general terms.
- 5.3 Consider all individuals who may be at risk, including:
- All staff and students including those at greater risk such inexperienced or new staff/students and out of hours workers.
 - Expectant mothers.
 - People with disabilities.
 - Contractors.
 - Visitors such as, parents, school parties being shown around the university.
 - Anyone unfamiliar with the activity.
- 5.4 Consider how the activity may affect others in the same area, particularly where multiple activities are taking place.

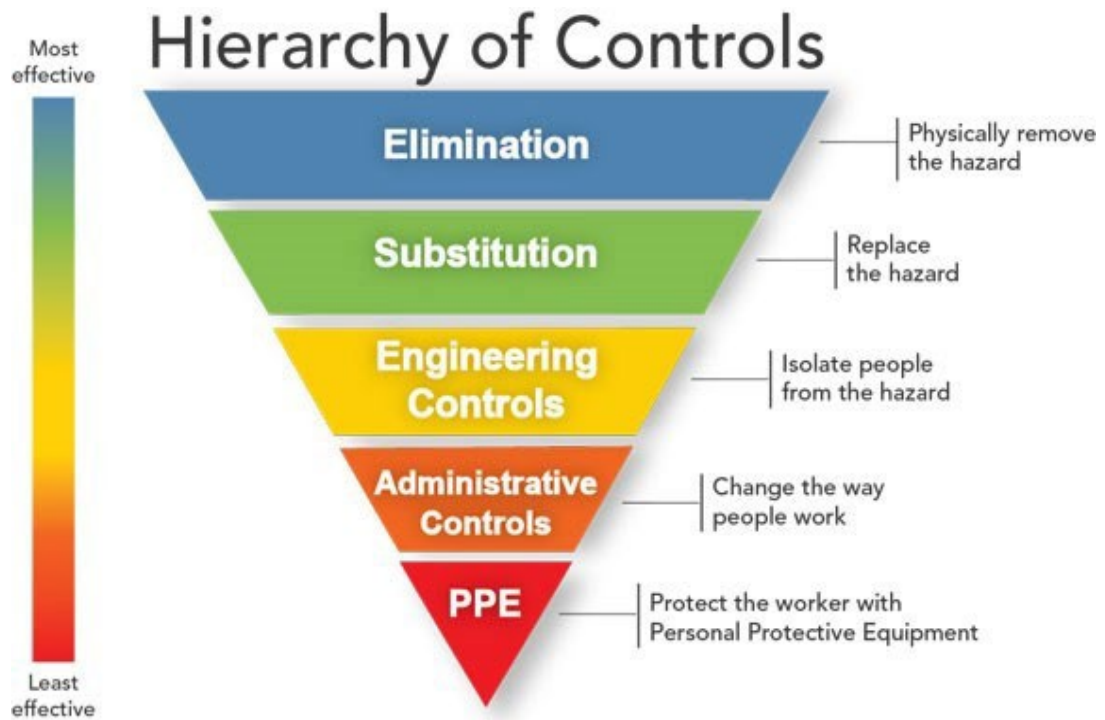
6. CONTROL MEASURES

- 6.1 Identify what controls are already in place, such as:
- Standard operating procedures
 - Local rules
 - Equipment safeguards
 - Supervision arrangements
- 6.2 Ensure these controls are appropriate and are being followed.
- 6.3 Where existing controls are not sufficient, additional measures must be introduced before work begins.

6.4 The Hierarchy of Control

When determining appropriate control measures and additional control measures, the hierarchy of control should be applied to ensure risks are managed effectively. The hierarchy provides a structured, five-level framework for controlling hazards, ranked from most to least effective: elimination, substitution, engineering controls, administrative controls, and personal protective equipment (PPE).

Control measures should be selected by prioritising those higher in the hierarchy, with the aim of eliminating hazards where reasonably practicable, or otherwise reducing risks to as low as reasonably practicable (ALARP). This approach emphasises the use of inherent and engineered solutions in preference to reliance on procedural controls or individual behaviour.



7. Review the risk assessment

- 7.1 Risk Assessments must be reviewed regularly dependant on risk but should not be more than 2 years without review. However, where there are significant changes or where an incident/accident/near miss occurs the assessment must be reviewed sooner.
- 7.2 Reviews must also take place:
- Following significant changes
 - After an incident, accident, or near miss
 - Where there is reason to believe the assessment is no longer valid

8. COMPETENCE AND TRAINING

- 8.1 Risk assessments must be carried out by someone who understands the activity being undertaken, the hazards involved, and how the risks can be controlled.
- 8.2 There is no specific job title required to complete a risk assessment; however, the person must have sufficient knowledge, experience, and understanding of the activity. Individuals should only carry out risk assessments within the limits of their competence.
- 8.3 Where a person does not feel confident or does not have the necessary knowledge to complete a risk assessment, they should seek advice or support from their line manager, local safety team, or the Health and Safety Team.
- 8.4 The University will provide appropriate training, information, and support to enable staff to carry out risk assessments effectively.

9. ROLES AND RESPONSIBILITIES

- 9.1 **Executive Deans and Directors** are responsible for ensuring that:

Deans of Faculty and Directors are responsible for ensuring that their Heads of School and Department give their leadership to ensuring that their staff engage with the risk assessment process. They will take an active role in ensuring that risk assessments are completed (where required), up to date and appropriately recorded as well as ensuring that findings and controls are communicated to all relevant staff undertaking the activities. And that there is adequate resourcing to carry out and comply with the risk assessment process.

- 9.2 **Heads of Schools** are responsible for ensuring that (where applies):

- Health and safety risks are assessed before new work/protocols are introduced.
- Local Codes of Practice setting out the arrangements and control measures for the work are communicated, reviewed and revised, as necessary.
- There is adequate resourcing to carry out and comply with the risk assessment process.
- Reviewing the adequacy of control measures when significant changes occur in the work/project or following an incident/accident/near miss
- Working with staff to ensure that safe procedures identified in protocols, local and University Codes of Practice are followed by staff and students on the project/work
- Induction of new staff and students includes necessary health and safety information.

9.3 Line Managers are responsible for:

- Ensuring staff are referred to the University Occupational Health Service where there are concerns regarding adverse health or medical effects associated with their work.
- Reviewing the adequacy of control measures when significant changes occur in the work/project or following an incident/accident/near miss
- Induction of new staff and students includes necessary health and safety information.
- Ensuring that all work where significant risk has been identified are sufficiently risk assessed and adequately controlled.
- Ensuring that staff who are undertaking risk assessments have the skills and competency to do so.

9.4 Teaching/Research staff are responsible for:

- Drawing up/review risk assessments for own research or protocols for class practical activities in consultation with the technicians.
- Consulting with others as appropriate, such as, Local Safety Teams and technical staff.
- Review and approve risk assessments and protocols before student work commences
- Communicating the risk assessment process to students.

9.5 Students are responsible for:

- Drawing up their own risk assessments and protocols for their project, advised by their academic supervisor
- Identifying resources required for the project.
- Be aware of the risk assessment purpose and process
- Draw up their own risk assessment and protocol for their final year project (if required), advised and assisted by their academic supervisor.

9.6 Local Safety Teams

Local Safety Teams in Faculties and Directorates co-ordinate and advise on risk assessment of academic, research and support activities (where applies), drawing up local policies or rules and keeping appropriate records.

9.7 All staff

Staff who are undertaking activities where significant risk has been identified will need to complete a risk assessment and are expected to control risks that their activities may pose.

9.8 Health and Safety Team

Health and Safety Team provides Faculties, Schools and Directorates with advice and training on carrying out risk assessments. Review of risk assessments may be included in audits, inspections and any investigations that they may undertake.

9.9 Contractors

Contractors must assess risks for the contracted works, exchange information with the University on the proposed procedures for the work and agree with the University any necessary controls to eliminate or reduce shared risks. They must also provide information to their own staff and sub-contractors, if any, on the shared risks and the agreed controls for the work.

9.10 External users of the University facilities

External users of the University facilities, under contractual agreements, for example for conferences or short-term tenancies, are required to carry out risk assessments for their proposed work activities and provide the University on request with risk assessments for their proposed activities.

10. RELATED POLICIES AND PROCEDURES

This Code of Practice should also be read in conjunction with the University's Health and Safety Policy which is available on the [Policy Zone](#) webpage.

11. REVIEW, APPROVAL & PUBLICATION

- 11.1 The Health and Safety Team, shall be responsible for ensuring that this Code of Practice remains fits for purpose at a three-year review cycle, to ensure meeting the requirements of Regulation 3 of the Management of Health and Safety at Work Regulations 1999.
- 11.2 The University Health & Safety Committee (or nominated sub-group) shall have final responsibility for approval of any significant changes to the Code of Practice.
- 11.3 This Code of Practice will be available within the [Policy Zone](#) and on the Health and Safety Intranet page.

12. DOCUMENT CONTROL INFORMATION

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<i>For Office Use – Keywords</i>	