



**Scottish Ambulance Service  
HS-005 Risk Assessment and Auditing**

Recent Author: Fay McNicol	Original Date of Document 23/08/04
Policy Manager: Head of Health and Safety	Other Key Stakeholders: Chief Executive, Director of Human Resources
This document replaces: H&S 005 V4	Consultation & Approval: Health and Safety Committee, Policy Review Group, National Partnership Forum, Staff Governance Committee.
Notification of Policy Release: Intranet/Internet	Equality Impact Assessment: No issues identified
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Version: V5	

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## **Policy Statement**

The Management of Health and Safety at Work Regulations require every employer to “*make a suitable and sufficient assessment of the risks to the health and safety of their employees, to which they are exposed at work*”. The assessment must also cover any risks posed to people not in their employment.

Formal Risk Assessments will therefore be undertaken in order to identify all significant hazards, evaluate the associated risks and determine whether those risks are being adequately controlled or if additional control measures are required. These Risk Assessments will be recorded and kept.

## **Purpose**

To define responsibility for the completion and reviewing of Risk Assessments and periodic audits within the Scottish Ambulance Service

## **Scope**

All Departments and Directorates

## **Formal Risk Assessment:**

A formal Risk Assessment is a careful process of examination of what can cause harm to people from work activities. It will determine whether sufficient precautions are in place to prevent harm or if more are required. The aim is simply to ensure so far as is reasonably practicable that no one is injured or becomes ill.

- Risk Assessments of all operations performed should be carried out to identify risks to the health and safety of staff from work activities and other persons who may be affected by their work. Generic assessments can be produced but each site must adapt these as necessary to local conditions
- The Risk Assessments should be carried out by a competent person who should take the following steps:
  1. The hazards which relate to each operation must be identified.
  2. The likelihood and severity of the risk in relation to each hazard must be evaluated using the Risk Assessment chart (See Appendix 1).

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3. Where reasonably practicable, any hazards identified should be removed. If removing the hazard is not reasonably practicable, suitable measures must be taken to adequately control the risk.
4. The identified controls should be split into two sections i.e. minimum standards (management controls) and safe systems of work (staff controls).

The Health & Safety Team should be contacted to arrange for Risk Assessments to be undertaken – Contact details are available on @SAS.

All Risk Assessments are available on @SAS and upon request from the H&S team.

Risk Assessments are held on RIVO and will be reviewed Bi-annually unless specified.

All Risk Assessments are graded using the NHS Scotland Risk Assessment matrix produced by NHS QIS – reference; AS/NZS 4360:2004 February 2008 'Making it work'. See appendix 1.

A blank Risk Assessment template is available in Appendix 2

Risk Assessment Sign Off:

What	Who	When
Full Risk Assessment including all control measures implemented	Senior Manager for relevant Business Unit	Once reviewed and accountability accepted
Full Risk Assessment including Control Measures not implemented but risk accepted by the business unit	Senior Manager for relevant Business Unit	Once reviewed and accountability accepted
Full Risk Assessment including all control measures implemented and not implemented but accepted by the Business Unit	Senior Manager for relevant Business Unit – a rationale for acceptance of risk must be provided	Once reviewed
Full Risk Assessment	Author of Risk Assessment	Once completed and signed off by all relevant persons.

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## **Auditing**

This is an internal process whereby a systematic approach is used to critically examine performance against agreed minimum standards

The Service uses a system called RIVO and have appointed competent H&S Auditors and Infection Control Auditors to carry out their respective audits. The audits are carried out at regular intervals (normally 6 monthly) and an example of the Rivo Audit questions is available as appendix 3.

The systematic use of audits enables the Service to:

- Assess legal, and policy compliance
- Identify areas of concern
- Provide levels of assurance
- Remedy poor standards
- Measure change
- Measure performance

## **Responsibilities:**

The Head of Health and Safety shall ensure:

- That suitable and sufficient generic Risk Assessment is in place for Service activities.
- That Risk Assessments are reviewed every 2 years or when significant change has been identified
- That a suitable and sufficient audit process is in place to measure legal and policy compliance.
- That all Service locations are appropriately audited and have in place suitable and sufficient Risk Assessments.
- Location RIVO audits as per schedule

The Health and Safety Department:

Are available to all managers and staff to facilitate the development of Risk Assessment and auditing processes across the Service. In addition to this the Health and Safety Department will develop generic Risk Assessments for the majority of standard Service risks and or tasks, these assessments will be kept on the RIVO system and published on @SAS.

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Infection Control Manager shall ensure

- That all service locations are appropriately audited as per schedule, Location Infection Control NCSS RIVO audits.

H&S and Infection Control Auditors:

- Shall carry out 6 monthly audits of each site, identifying any areas of concern, highlighting this to the appropriate level of management for rectification.

Department heads (Including General Managers) shall ensure that all location Risk Assessments are agreed in partnership through local Health and Safety meetings. In addition they shall ensure that all

- |   |   |   |
|---|---|---|
| <ul style="list-style-type: none"> <li>➤ Corrective actions</li> <li>➤ Systems of work</li> <li>➤ RIVO tasks</li> </ul> | } | Arising from risk assessments and or audits are complied with |
|---|---|---|

Where Departments or Divisions identify novel or unusual risks or hazards in their workplace (e.g.: Young Persons, Persons with specific needs, Noise and Vibration etc) they should seek guidance from the Health and Safety Department on the appropriate means of assessing and controlling these risks

All managers must ensure that Risk Assessments and auditing are carried out in partnership with our staff. Staff side representation is essential to ensure a full understanding of the hazards and risks associated with their work. Without their input hazards and the associated risks are likely to be missed

The Table below outlines the primary responsibilities for the completion of Risk Assessments and audits:

Assessment / Audit Document	Locations	Completed By	Person Responsible for implementation
Standard Risk Assessment [This Risk Assessment template should be used for the assessment of most situations except where specific Risk Assessment templates are available – see below]	All offices All Stations	RSO	Dept Mgr G. Mgr
Fire Risk Assessment	All Locations	Service Fire Advisor	Dept Mgr G. Mgr
Manual Handling (General) Risk	All	H&S Team	Dept Mgr

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Assessment / Audit Document	Locations	Completed By	Person Responsible for implementation
Assessment [These should cover station specific or location specific assessments on manual handling risks]	Locations	Manager	G. Mgr
Manual Handling (VCS normal operations) Risk Assessment [Standard vehicle crew staff manual handling assessments have been completed and are available on @SAS]	All VCS operations	H&S Team Manager	Dept Mgr G. Mgr r
Young Persons Risk Assessment [The Service considers any employee below the age of 18 to be a young person, specific regulations and requirements are required for young persons. Guidance MUST be sought from the Health and Safety Team prior to employing anyone below the age of 18]	All Locations  All Apprentice Schemes	RSO upon request from relevant manager	Dept Mgr/ G. Mgr Fleet
New and Expectant Mothers Risk Assessment [This assessment should be completed for all new and expectant mothers.]	All Locations	Direct line Manager (Support from RSO if reqd)	Dept Mgr G. Mgr
People With Specific Needs Risk Assessment [eg: disabled, learning difficulties, etc Guidance MUST be sought from the Health and Safety Team prior to completing this assessment.]	All Locations	Direct line Manager (Support from RSO if reqd)	Dept Mgr/ G. Mgr
Working at Height Risk Assessment [Working at Height is defined as working at any level (above ground or adjacent to a pit/ excavation) from which a fall might lead to injury. Prior to completing this assessment the Service's policy and procedure document MUST be read]	All Locations	RSO when work at height identified in standard RA. Or when specific request made	Dept Mgr/ G. Mgr
Generic Stress Risk Assessment [A Service generic Risk	Service	DMT with support	Dept Mgr/ G. Mgr

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Assessment / Audit Document	Locations	Completed By	Person Responsible for implementation
Assessment for workplace stress is available within the Services Stress Management and guidance processes]		from RSO	
Person Specific Stress Risk Assessment [A generic template is available to help managers assess the risk of workplace stress to staff who require an individual assessment, guidance should be sought from the Health and Safety Team prior to completing the assessment]	All Location	Direct line Manager (Support from RSO if reqd)	Dept Mgr/ G. Mgr
Display Screen (DSE) Assessments [These assessments should be completed for all workstations,] Refer to DSE policy and @SAS for advice	All Locations	Initial by IT on installation. RSO for first line review if issues id'd. H&S Team Manager for complex cases.	Dept Mgr/ G. Mgr
Noise and Vibration Assessments [These assessments can only be carried out by specially trained and persons using appropriately calibrated equipment. The Health and Safety Manager will arrange for appropriate noise assessments to be carried out]	All Locations [Inform Health and Safety Team manager if noise levels thought to be high]	Head of H&S	Dept Mgr/ G. Mgr
Prevention and Control of Infection Audit Tool - Stations [This audit tool should be carried out at all Operational stations on a quarterly basis]	All Operational Stations	IC Auditor	Dept Mgr/ G. Mgr
Prevention and Control of Infection Audit Tool - Vehicles [This audit tool should be carried out at all Operational stations on a quarterly basis]	All Operational Stations (Incl Home based	IC Auditor	Dept Mgr/ G. Mgr

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Assessment / Audit Document	Locations	Completed By	Person Responsible for implementation
	stations)		
6 Monthly Workplace Inspection [This audit tool should be carried out at all Service Office locations and Operational stations on a 6 monthly basis]	All Locations	H&S Auditor	Dept Mgr/ G. Mgr
6 Monthly Workshop Inspection [This audit tool should be carried out at all Fleet locations on a 6 monthly basis]	All Fleet Workshops	H&S Auditor	Dept Mgr/ G. Mgr
Annual Slips Trips and Falls audit [This audit tool will be run in the Autumn of each year by the Regional Safety Team]	All Locations	H&S Auditor	Dept Mgr/ G. Mgr
COSHH Assessments	All Locations	RSO	Dept Mgr/ G. Mgr
<b>NOTE:</b> <ol style="list-style-type: none"> <li>1. In all cases guidance and support is available in the first instance from Regional Health and Safety officers and the Health and Safety Team (See H&amp;S Pages of @SAS)</li> <li>2. Infection Control Specific advice can be obtained by contacting the Infection Control Team (See H&amp;S Pages of @SAS)</li> <li>3. G.Mgr refers to Operational General Managers and other General Managers such as ACC and Fleet.</li> </ol>			

All risk assessments must be reviewed every 2 years or when circumstances change that may affect the outcome of the Risk Assessment. Divisional and departmental safety committees should ensure this occurs.

All Service generic Risk Assessments will be reviewed as above under the scrutiny of the Service's Health Safety and Welfare Committee.

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## Appendix 1 & 2 – Risk Ratings & Blank Risk Assessment Template:

Risk ratings are calculated using the two charts below.

The Severity score relates to the most likely outcome of an individual being exposed to the hazard. E.g. resulting in an injury.

The Likelihood score relates to the individual being exposed to the hazard and being injured. E.g. Opportunity of occurrence.

Multiplying the Severity by the Likelihood equals the RISK RATING.

*The **Pre-assessment score** is calculated considering the person to be fully fit and active and without special needs or requirements but is untrained and unqualified in this specific area being assessed.*

*The **Post –assessment score** is any remaining risk after **all control measures** have been implemented.*

The lower risk rating scores are only relevant once all the control measures are in place and actioned.

Severity		Definition - Injury	Likelihood		Definition
1	Negligible	Minor injury not requiring first aid	1	Rare	Can't believe this event would happen – will only happen in exceptional circumstances.
2	Minor	Minor injury or illness, first aid treatment required	2	Unlikely	Not expected to happen, but definite potential exists – unlikely to occur
3	Moderate	RIDDOR over 7 day's injury and dangerous occurrences. Agency reportable e.g. Police (Violent and aggressive acts). Significant injury requiring medical treatment and/or counselling	3	Possible	May occur occasionally , has happened before on occasions, reasonable chance or occurring
4	Major	RIDDOR – major injuries, or long term incapacity/disability (e.g. loss of limb), requiring medical treatment and/or counselling	4	Likely	Strong possibility that this could occur – likely to occur
5	Extreme	RIDDOR – death or major permanent incapacity	5	Almost Certain	This is expected to occur frequently/ in most circumstances – more likely to occur than not.

**Risk Ratings – 20 to 25 = Very High risk, 10 to 19 = High risk, 4 to 9 = Medium risk, 1 to 3 = Low risk**

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Risk Matrix - NHS Scotland Risk Assessment matrix produced by NHS QIS – reference; AS/NZS 4360:2004 February 2008 ‘Making it work’

	Impact/Consequences				
Likelihood	Negligible	Minor	Moderate	Major	Extreme
Almost Certain	5	10	15	20	25
Likely	4	8	12	16	20
Possible	3	6	9	12	15
Unlikely	2	4	6	8	10
Rare	1	2	3	4	5

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Business Unit:	Department::	<b>RISK ASSESSMENT</b>		
Equipment/Operation/Environment Assessed:		Staff at Risk:	Assessor:	Assessment Ref:
Application Requested:		Others at Risk:	Date assessment carried out::	
Description & Purpose of Process /Product:				

HAZARDS & CONSEQUENCES (Equipment, Operational, Environment)	Pre-assessment score			Control Measures Required: Can the hazard be eliminated altogether? Can the hazard be replaced with something less hazardous? Can the hazard be separated from those it may harm? Can the work be reorganised to reduce the risk? Can personal protective equipment be used?	Post- assessment score			Remarks
	Sev	Likely	Risk Rating		Sev	Likely	Risk Rating	

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## RISK RATINGS:

Risk ratings are calculated using the two charts below.

The Severity score relates to the most likely outcome of an individual being exposed to the hazard. E.g. Resulting in an injury.

The Likelihood score relates to the individual being exposed to the hazard and being injured. E.g. Opportunity of occurrence.

Multiplying the Severity by the Likelihood equals the RISK RATING.

*The **Pre-assessment score** is calculated considering the person to be fully fit and active and without special needs or requirements but is untrained and unqualified in this specific area being assessed.*

*The **Post –assessment score** is any remaining risk after **all control measures** have been implemented.*

**The lower risk rating scores are only relevant once all the control measures are in place and actioned.**

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Severity		Definition	Likelihood		Definition
1	Negligible	Minor injury not requiring first aid	1	Rare	Can't believe this event would happen – will only happen in exceptional circumstances.
2	Minor	Minor injury or illness, first aid treatment required	2	Unlikely	Not expected to happen, but definite potential exists – unlikely to occur
3	Moderate	RIDDOR over 7 day's injury and dangerous occurrences. Agency reportable e.g. Police (Violent and aggressive acts). Significant injury requiring medical treatment and/or counselling	3	Possible	May occur occasionally , has happened before on occasions, reasonable chance or occurring
4	Major	RIDDOR – major injuries, or long term incapacity/disability (e.g. loss of limb), requiring medical treatment and/or counselling	4	Likely	Strong possibility that this could occur – likely to occur
5	Extreme	RIDDOR – death or major permanent incapacity	5	Almost Certain	This is expected to occur frequently/ in most circumstances – more likely to occur than not.
<i>Likelihood scores are based upon a single user, the anticipated or actual frequency of operation and likelihood of occurrence.</i>					
<b>Risk Ratings – 20 to 25 = Very High risk, 10 to 19 = High risk, 4 to 9 = Medium risk, 1 to 3 = Low risk.</b>					

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Business Unit:	Department::	<b>MINIMUM STANDARDS (Management Controls)</b>		
Equipment/Operation/Environment Assessed:		Staff at Risk:	Assessor:	Assessment Ref:
Application Requested:		Others at Risk:	Date assessment carried out::	
Description & Purpose of Process /Product::				

*A risk assessment has been carried out on the subject above. These minimum standards form part of the control measures that MUST be implemented to reduce those risks to acceptable levels.  
Failure to implement these standards may lead to personal injuries and, as they are based on legislation and/or best practice, may lead to prosecution.*

Hazard	Responsibility	Minimum Standard	Status Implemented/ Outstanding	Date
		•		
		•		
		•		
		•		
<b>The lower risk rating scores are only relevant when the control measures are in place and actioned.</b>				

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Hazard	Responsibility	<u>Additional control measures proposed but NOT implemented at this time and the reasons for decision</u>	Residual risk rating			Signed by management	Date
			Sev	Likely	Risk		
		Control: -					
		Rationale: -					
		Control: -					
		Rationale: -					

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Business Unit:	Department::	<b>SAFE SYSTEMS OF WORK (Staff Controls)</b>	
Equipment/Operation/Environment Assessed:	Staff at Risk:	Assessor:	Assessment Ref:
Application Requested:	Others at Risk:	Date assessment carried out::	
Description & Purpose of Process /Product:			
1.		2.	

This safe system of work must be followed at all times. A copy of the full risk assessment is available on request.

<b><u>ALWAYS:</u></b>	<b><u>NEVER:</u></b>
	<b><u>REMEMBER:-</u></b>

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Business Unit:	Department:	<b>APPROVAL &amp; REVIEW</b>	
Equipment/Operation/Environment Assessed:	Staff at Risk:	Assessor:	Assessment Ref:
Application Requested:	Others at Risk:	Date assessment carried out::	

Description & Purpose of Process /Product:

	Appointment &/or Role	Name	Signature	Date
<b>This Risk assessment has been approved by the following persons</b>	H&S Team.			
	Responsible Senior manager on behalf of the SAS BU.			
	Staff side Representative			

**All Assessments must be made available to the staff at risk and be available for inspection during Audits and by Enforcing Authorities**

Highest Rating without control:		Highest Rating with control:		<b>This assessment will be reviewed following the H&amp;S Dept being notified of any significant changes to the equipment, operation or environment by the Business Unit.</b>
Summary:				

Assessment Review Due to: - e.g.

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**Appendix 3 – Example of RIVO Audit.**

Safeguard - Windows Internet Explorer  
 https://www.rivosafeguard.com/ChangeLocation.aspx

Home | Change password | Print | Send feedback  
 Location (Change): **AAA Health and Safety**

Home Risk Assessments COSHH Library Tasks **Audits** DSE Hazards Reporting Config

View Audits | Create ad-hoc audit

### Location H&S audit

Question	Answer	Tasks	Notes
<b>Additional Questions</b>			
X Significance: Significant Department: H&S All floors and corridors in good condition, free of clutter and without obvious slip or trip hazards	Please select...	Add Task	Add Note
X Significance: Critical Department: H&S There are no slip or trip hazards at the top (landings) or near the top of staircases	Please select...	Add Task	Add Note
<b>Workplace</b>			
X Significance: Significant Department: H&S Ventilation systems (where fitted) are functioning correctly	Please select...	Add Task	Add Note
X Significance: Significant Department: H&S All light fixtures are in working order	Please select...	Add Task	Add Note
X Significance: Significant Department: H&S All heating systems fitted are working and appropriately maintained	Please select...	Add Task	Add Note
X Significance: Significant Department: H&S The station & garage are tidy	Please select...	Add Task	Add Note
<b>Internal Stairs, Ladders and Steps</b>			
X Significance: Significant Department: H&S Stairs - all components (e.g balustrades, treads and coverings) are all in good serviceable condition	Please select...	Add Task	Add Note
X Significance: Critical Department: H&S All ladders and stepladders (fixed and freestanding), e.g vehicle cleaning steps, are in good condition.	Please select...	Add Task	Add Note

Windows taskbar: Start, Internet Explorer, File Explorer, Word, Outlook, Chrome, Firefox, Task Manager

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## Compliance Audit tool

Criteria	Yes	No	N/A	Comments
Does the location have risk assessments in place				
Are the risk assessments suitable				
Are there any significant hazards or risks not addressed by the risk assessments				
Does the location have current RIVO audits				
Have these documents been made available to staff				
Have identified actions / tasks been completed in a timely manner				
Does the location have access to National Generic risk assessments				

## Review History

Issue No	Reason for review and brief description of changes made	Effective Date
1	Initial Issue	23/08/04
2	Reviewed and rewritten	Jan 09
3	Updating for new structure. Approved main safety May	Jun 11
4	Minor update changes and extension to RA review period to 2 years	June 13
5	Reviewed and rewritten	Feb 15

<b>Owner:</b> T.Wigram	<b>Version No:</b> 5	<b>Doc &amp; page:</b> risk assessment and audit	<b>Review arrangements:</b> 3 yearly
<b>Date of Release:</b> June 2015	<b>Date Intranet Posting:</b> June 2015	<b>Implementation:</b> June 2015	<b>Approved by:</b> Health safety and welfare comm
<b>PFPI Checklist (available from W Mason):</b> Assessed as meeting the National Standards for Community Engagement checklist (Communities Scotland)			
<b>Risk and Equality &amp; Diversity Impact Assessment (available from A Tobin and Risk Manager):</b> No adverse impact has been detected - but under continuous review.			
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