


School / Department	 <b>National Autistic Society</b> NAS Academies Trust
Policy Name	<b><u>NASAT: Risk Assessment Policy</u></b>
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Responsible governor (signed)	Effectiveness of Leadership & Management

### Scope

This policy describes how these sorts of individual, specific and local risks are to be assessed in The National Autistic Society (NAS).

This policy deals with the processes to be used across the whole of NASAT whether in connection with risks inherent in working practices and the workplace or risks that may be presented by or encountered by the people supported by the organisation.

Consideration of the risks associated with admission of someone to a school are not covered by this policy. Reference must be made to the Admissions, Exclusions Policy.

### Policy Summary

This policy describes how health and safety risks are to be assessed in NASAT. NASAT has adopted a five step process, similar to the process outlined by the HSE. However NASAT also recognises the need to approach risk in a person centred way.

It provides models of assessment that are suitable for assessing the needs of individuals in achieving real choice and control over the care and support they need in order to achieve their goals, to live a fulfilling life, and to be connected with society.

It also delivers models that can be used in assessing the risks associated with the operational requirements of the organisation, in supporting individuals whilst maintaining the safety of those who could be affected by the way it conducts itself.

### Vision

We want a world where people living with autism get to lead the life they choose.

### Definitions

**Generic Assessment** – This can also be referred to as a “model” assessment. The Management of Health and Safety at Work Regulations 1999 allow the use of this sort of assessment where it is known that there are core hazards and risks

associated with similar workplaces or activities. They save a lot of duplicated effort but must be used with caution.

**Hazard** – Anything with the potential cause harm.

**Risk** – The likelihood and severity of a hazard causing harm.

**Risk Assessment** – An evaluation of risks arising from hazards conducted in order to establish the necessary preventive and protective measures to enable work place and work activity health and safety risk to be reduced as far as is reasonably practicable.

### **Recording the Five Steps to Specific Risk Assessment**

- **Step 1** - Identify hazard(s)
- **Step 2** - Identify person(s) at risk
- **Step 3** - Assess the (existing) likelihood of risks of harm, injury or loss
- **Step 4** – Select and implement appropriate control measures
- **Step 5** - Review the assessment.

All risk assessments must cover the five steps listed above. Significant hazards and conclusions must be noted and the findings made known to those who might be affected. These records must be kept for fifty years. The five steps to risk assessment are explained in more detail later in this policy.

Risk assessments showing hazards that are directly related to the people supported by NASAT must always be developed in conjunction with behaviour support plans and any other relevant supporting documentation.

Risk assessors must not work in isolation. Reasonable efforts must be made to include those affected by the assessment, this includes the person being supported and the staff that know them best. When the assessor is carrying out the assessment for a risk that does not need to include the input from somebody who is supported by NASAT then the results of the risk assessment should always be recorded on the standard form (Appendix 1).

If input is being provided by someone supported by NASAT then a user friendly medium may be necessary in order to capture this. One of the forms that may help the supported individual in carrying out their assessment is shown at Appendix 2, but consideration should always be given to the medium which best matches that person's ability and understanding to produce an assessment that is meaningful to them. Additional recording of the assessment may be required (see the table below) but irrespective of the way that the record is made it important to ensure that the risks are properly controlled.

In all circumstances, the manager responsible for implementing and monitoring the risk control measures must sign the risk assessment to show that they are happy that it is a suitable and sufficient assessment of the risks.

Risk Ratings	Recording medium to be used when working with someone who is supported by NASAT
<b>High</b> risk classification indicates that there is a significant risk of serious harm, injury or loss. Immediate action should be taken to reduce the level of risk to a more acceptable level.	The standard NASAT form must always be used, as shown below, even if this is in addition to a more user friendly format.
<b>Medium</b> risks are less serious but nevertheless pose a foreseeable threat of harm, injury or loss which must be reduced as quickly and as far as is reasonably practicable.	The standard NASAT form should usually be used, as shown below. This will be in addition to initial planning and information gathering on a user friendly format.
<b>Low</b> risks should also be reduced so far as is reasonably practicable so that the risk of harm, injury or loss becomes insignificant or trivial.	It is likely that the medium chosen by the individual will be sufficient, but the assessor and manager should use their own judgement to decide if additional information needs to be recorded elsewhere in order to adequately control any residual risk.
<b>Insignificant</b> risks are those where it has been determined that the potential for harm is so negligible that there is no need to carry out an assessment.	None

### ***Step 1 - Identify Hazards***

The first step in carrying out a risk assessment must always be to identify what could go so badly wrong that it could lead to somebody being harmed. Harm may not necessarily be physical, but could be emotional or psychological harm. Factors to consider may include the potential for:

- Harm to the individual and/or others
- Suffering public sanction, e.g. through breaking the law
- Suffering particular distress or humiliation

The assessment should not normally be carried out without consulting with those who may be affected by the hazard. In the examples above this might be the minibus driver, the individual, and the office workers.

It is necessary to consider what the desired outcome will be. For example:

- Safer travel in minibus because driver not distracted.
- Individual able to visit shop independently.
- Working on own in office, in safety.

This first step should not only identify the desired outcomes (hopes) but also give the assessor the opportunity, through consultation, to discover what the individuals may consider to be harmful (fears).

When using the standard NASAT form (Appendix 1) these realistic hopes and fears should be entered in the spaces marked "Short Description" and "Hazards" respectively.

When supporting an individual who prefers to use a non-standard form (eg photos, a drawing, or writing on a plain piece of paper) then the assessor should find a way of showing the hopes and fears in a way that has meaning to the person being supported. If it is considered that this may not provide a suitable and sufficient record, i.e. it would not be clear to others what the individual is attempting to express, then NASAT form should be used as a supplement.

### ***Step 2 - Identify People at Risk***

It is fairly obvious that employees could be at risk from certain hazards but it is also very important to consider other people who may be at risk, e.g. people we support, visitors, contractors, passers-by, etc.

Special consideration must be given to people who may be more vulnerable, such as:

- People with autism
- new and expectant mothers
- young persons

Whatever means of recording is utilised it should be clear who may be at risk. This is fairly easy to show on the standard NASAT form. Where the medium used with supported individuals does not clearly identify those at risk then an NASAT form must be used as back up.

In instances where a risk assessment is being carried out with an individual who is aspiring to do something that may put themselves at risk of significant harm then NASAT supporter must help the individual to explore all of the potential hazards, and help them to think through the hazards to which they may be exposed.

**Step 3 - Assess and Record the Potential Harm**

The risk should be classified taking into consideration existing, documented, control measures. In order to determine whether a low, medium or high risk exists it is necessary to be able to assess the **likelihood** of harm, injury or loss resulting from the hazard, and the **severity** of any harm, injury or loss (e.g. several people killed - serious injury - scratch).




**Probable Likelihood** is rated:

- 1 = Rare
- 2 = Possible
- 3 = Almost Certain

**Severity** is rated:

- 1 = Minor injury
- 2 = Major injury
- 3 = Fatality


By multiplication of the two rated factors a quantitative assessment can be made where a result of 1 or 2 represents a low risk, a score of 3 or 4 indicates a medium risk with higher scores showing a high risk.

		<i>Likelihood</i>				
		1	2	3		
<i>Severity</i>	1	1	2	3	Low	
	2	2	4	6	Med	
	3	3	6	9	High	

The resultant score is to be shown in the “risk rating” column and should include a letter signifying a high, medium or low risk, e.g. 2L, 4M, 6H, etc. Where the medium used with supported individuals does not clearly show the risk rating then a NASAT form must be used as back up.

**Step 4 - Select and Implement Appropriate Control Measures**

Risk assessment acts as a guide to show where measures need to be taken in order for the employer to fulfil their statutory duties. Control measures which can be used, in order of priority, are:

Long Term  
  
 Short Term

1. **Eliminate** / avoid risk at source
2. **Substitute** by using a safer alternative
3. **Contain** risk by enclosure
4. **Alter** the hazard or task
5. **Educate** people affected
6. **Supervise** near hazard/during task
7. **PPE** / last resort

It is important that the additional control measures are recorded in such a way that is clear who must do what, how and when. The control measures may not only show what is done to prevent an unwanted event from occurring but also action to be taken if it does occur. This can be an important way of ensuring that a bad situation is not made worse. Where the medium used with supported individuals does not clearly show the additional control measures, implementation, monitoring then a NASAT form must be used as back up.

Some activities will need to be supervised by staff members who have appropriate qualifications from a recognised body, e.g. trampolining.

Risk assessments do not manage risks unless they are followed. Implementation and monitoring that is led by managers is important. There should be a way of showing that the risk assessment is live e.g. signed and dated when put into place or “actioned”. The “Signature Sheet” in Appendix 1 can be used as a record. Where the

medium used with supported individuals does not clearly show the risk assessment has been put into place then a NASAT form must be used as back up.

Where an individual is not able to carry out an activity because it has not been possible to introduce effective control measures then this should be carefully explained to the individual, and fully documented. Opportunities for review should be considered. In the event of any dispute, advocates will be sought where possible, but the final decision about risk taking will rest with NASAT.

### ***Step 5 - Review the Assessment***

Risk assessment is not a one-off exercise. It is important to review the assessments at regular periods, and at least annually. The frequency of review will depend upon the task or hazard to which the assessment relates. It may also be necessary to undertake reviews at other times, such as:

- If an individual for whom the assessment was carried out changes in a way that would affect the risk
- following an accident
- if there is a complaint
- following a change of system or plant or material of the particular activity
- following new legislation
- after new information being made available by manufacturer or supplier
- following the publication of new guidance.

Printed copies of risk assessments may be updated to show that they have been reviewed and that no changes were required. The next anticipated review date can then be entered. If during review it is deemed that changes are required, then the existing printed copy must be archived and a new version of the document printed with a new date.

The risk register can be updated electronically (and a new printed copy placed in the RA file) to show the most recent review and the next anticipated review.

### **Key Management Actions**

- Ensure that assessments have been completed for all significant hazards
- Involve supported individuals as fully as is reasonable.
- Confirm, by signature, that assessments are suitable and sufficient, that control measures will be put in place by the due date and that all those for whom the risk assessment has been written, are made aware of the risks and the control measures that are being employed

Appendix 1

NASAT Risk Assessment Form

SERVICE / SCHOOL / OFFICE / ETC

RISK REGISTER NO.

TITLE

LOCATION

SHORT DESCRIPTION / DESIRED OUTCOMES (LINK TO PCP WHERE APPROPRIATE)  
What is important to the person and for the person? What does success look like?

When preparing this document I have consulted with all those who maybe affected including, where applicable, people being supported.

ASSESSOR NAME

SIGNATURE

DATE

MANAGEMENT OWNERSHIP

I confirm that this risk assessment is suitable and sufficient, and that I will implement, monitor and review, as shown.

All reviews to be initiated by manager.

MANAGER NAME

SIGNATURE

DATE

REVIEW DATE

DATE REVIEWED

INITIALS

1

2

3

4

5

6

Risk Assessment						Risk Management				
Significant Hazard (foreseeable risk only)	Persons at Risk	Likelihood Information	Likeli hood	Severi ty	Risk Score and L/M/H	Additional Control Measures	Implementation and Monitoring	Actioned Date / Initial	Residual Risk Score and L/M/H	
Explain each hazard and include the RFWCI		History, Accidents, Near-misses, Frequency, Duration, Environment, etc	1/2/3	1/2/3		Who / What / How / When	Who / How / When			

WHEN THIS RISK ASSESSMENT IS FOR SUPPORTING A PERSON THEN IT MUST BE READ IN CONJUNCTION WITH THEIR BEHAVIOUR SUPPORT/CARE PLAN

Risk Assessment Form (Continuation Page)

Risk Register No \_\_\_\_\_

Page \_\_\_\_ of \_\_\_\_

Risk Assessment						Risk Management			
Significant Hazard (foreseeable risk only)  Explain each hazard and include the RFWCI	Persons at Risk	Likelihood Information  History, Accidents, Near-misses, Frequency, Duration, Environment, etc	Likeli hood  1/2/3	Severi ty  1/2/3	Risk  Score and L/M/H	Additional Control Measures  Who / What / How / When	Implementation and Monitoring  Who / How / When	Actioned Date / Initial	Residual Risk Score and L/M/H

WHEN THIS RISK ASSESSMENT IS FOR SUPPORTING A PERSON THEN IT MUST BE READ IN CONJUNCTION WITH THEIR BEHAVIOUR SUPPORT/CARE PLAN



## NASAT Risk Assessment Form (Signature Sheet)

SCHOOL

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**TITLE**

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RISK REGISTER NO. \_\_\_\_\_

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### LOCATION

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By signing and dating below, you are confirming that you have read and fully understood the Risk Assessment referred to above. If you are in any doubt you should seek clarification before signing this document.

[illegible]

## Appendix 2 Example User Friendly Form

### Keeping Me Safe and Happy Risk Assessment

Name:

Activity:

Why would this be a good thing to do?

Why do I want to do it?

What is likely to go wrong or do we know what could spoil this?

Is there anything that could be dangerous?

What can I do to make this safer?

What could other people do to make this safer?	
Is there anything that has happened before we need to think about that might affect this activity?	
Having thought about this, and we do what we said we will do, does this feel like a safe thing to do?	
Yes	No

Signed by

Me: .....

Date: .....

Parent/carer: .....

Date: .....

Staff: .....

Date: .....

This needs to be thought about and check after:

1 month

6 months

1 year