MOD RISK ASSESSMENT - MOD FORM 5010 / 5010A - GUIDANCE NOTES



RISK RATING MATRIX

Severity (the terms Impact and Consequence can also be used) - Choose the level of severity found on the vertical (y-axis) on the left-hand side of the matrix. This denotes the severity of the outcome, that the risk would have if it materialised. The following table provides the definitions of severity based on the example of personal injury categories. Further information can be found in JSP 375 Volume 1, Chapter 16 Safety Occurrence Reporting and Investigation into aligning the reporting of these and other elements such as equipment or infrastructure damage.

Severity (y-axis)	Definition
Critical	Multiple fatalities.
Severe	 Single fatality Specified injuries to multiple individuals (which are life threatening and / or cause permanent disability).
Major	 Single specified injury (which is life threatening and / or causes a permanent disability). Specified injuries to multiple individuals' injuries of a non-life threatening, non-permanent nature and / or have a short-term impact on normal way of / quality of life.
Moderate	• Single specified injury (which is non-life threatening, non-permanent nature and / or has a short-term impact on normal way of / quality of life). Single injury / illness of a non-specified injury (for example moderate heat illness or hypothermia) requiring more than just first aid.
Minor	Single injury of a non-specified or non-life threatening, non-permanent nature and requiring first aid only.

Likelihood (the terms frequency or probability can also be used) – Choose a descriptor, found on the horizontal (x-axis) on the bottom of the matrix. This denotes the likelihood that the safety risk will occur and thus become an event. Where available, historical evidence such as occurrence reports, noting that the effectiveness of changes and corrective actions applied following previous occurrences must be considered to determine a realistic likelihood.

Likelihood (x-axis)	Probability	Description
Very likely (Very high)	>75%	Is or is likely to be a common occurrence.
Likely (High)	50% - 74%	Has occurred or is likely to occur many times.
Possible (Medium)	30% - 49%	Has occurred or is likely to occur on several occasions
Unlikely (Low)	5% - 29%	Has occurred or is likely to occur on a small number of occasions.
Very unlikely (Very low)	< 5%	Has occurred once / never or is not likely to occur

Risk rating - Is a measure of exposure to possible loss (or harm) and it combines the severity of loss (how bad) and the likelihood of suffering that loss (or harm) and (how often). The corresponding actions below relate to the risk rating derived from the intersection (colour coding) of the x and y axis.

Very High	Rigorous scrutiny of control measures required to make sure risk is ALARP and then make sure it is tolerable, by improved control measures; stop work unless those rare occasions when continuation is justified as essential to delivering a military task (urgent operational imperative). Tolerating this level of risk to conduct activity requires formal consideration and acknowledgement from the appropriate most Senior Leader, Duty Holder or nominated Responsible Person who is charged with Risk Ownership.
High	Rigorous scrutiny of control measures required to make sure risk is ALARP and then make sure it is tolerable, improve control measures where possible; consider stopping work unless continuation is justified as essential to a military context. Tolerating this level of risk to conduct activities will require formal consideration and acknowledgement from the appropriate Duty Holder, Commander, Head of Establishment or nominated Responsible Person who is charged with Risk Ownership.
Medium	Review control measures and improve if reasonably practicable to do so, consider alternative ways of working. Consider informing command chains of any changes and requesting additional resource/levers/authority to apply additional controls that may reduce the residual risk further.
Low	Maintain control measures and review regularly or if there are any changes that may impact either Severity or Likelihood.
Very Low	Maintain control measures and review at least annually to ensure that any changes to the residual risk, or effectiveness of controls are not re- introducing a credible RtL or potential Environmental impact.

Guidance Notes

General note: The <u>MF5010 form</u> has been created in pdf format to allow for completion across all available Microsoft licenses. It should be noted that if being viewed as an on-line form, the restrictions of each pdf cell will only show approximately two lines of text, however the text boxes have been set up so that a continued amount of text can be added. To view the full text, use the up and down arrows on the keyboard when in the appropriate cell.

1 The risk assessment should be completed in accordance with the document requirements of JSP 375 Volume 1 Chapter 8. If using a 'Generic' risk assessment, assessors and managers are to satisfy themselves that it is valid for the task and that all significant hazards have been identified and assessed. Where this is not the case, for example a one off task, a specific risk assessment should be conducted. When additional hazards are identified they are to be recorded and the generic assessment updated.

Where 'relevant publications' include a specialist risk assessment, these should be referenced here. Each specialist risk assessment should detail the safe system of work, done in accordance with the document requirements in the appropriate chapters of JSP 375, for example asbestos, noise, vibration, COSHH, DSE, Manual Handling and / or JSP 418 for environmental protection. Only a simple description is required, for example using the assessment for an asbestos risk, the detail required could be 'Subject: asbestos and relevant policy followed: JSP 375 Vol 1 Chapter 36'. The detail for this type of assessment is covered by the referenced policy and the specialist risk assessment form which should also be identified in this section. Complex and specific risk assessment for specialist high-hazard risk should be conducted on those appropriate forms and should also be referenced here.

Sub note: Occupational Health and Medical advice see for example <u>JSP 950--Medical Policy</u> (Chapters 1-8) and advice **must** be sought for risks relating to specialist risk assessments for example <u>JSP 375</u> (Chapters 41-heat, 42-cold, 25-noise, 26-vibration, 11-COSHH, and 36-asbestos).

3 Overall assessment rating - This is a judgement to be made by the authorising officer / manager to provide an overall assessment of the risks to establish an overall risk rating for the main activity.

4 This column is to add a sub element of the main task, in order to identify the relevant hazards associated with that part of the task / activity / process, for example; the main overall task is to service a Land Rover and a sub activity would be to change the oil or remove the wheels to check the brake pads and so on.

5 Risk rating - Using the above risk rating matrix, take the intersection between the x and y axis to provide you with a grid reference and representative colour coding for the corresponding action; for example; a '4' 'likely' (high) occurrence intersecting with a single specified 'C' 'major' injury or illness = 4C a Medium (Amber) risk rating.

Sub note: Column (f) risk rating should be indicated by selecting one of the following categories Very low, Low, Medium, High, or Very high and the grid reference to show how the rating was determined for example as above – '4C Medium'.

The risk rating (at this stage) is conducted once you identify a hazard and who might be harmed and how / what might be damaged. You then detail what existing controls are in place, you then decide if those controls are ALARP and tolerable. If they are and the residual risk is considered not to be significant, no further risk assessment should be needed for that hazard. If residual risk is not ALARP and tolerable, then 'additional control measures' need to be implemented and recorded on page 2 (note 6).

Sub note: As part of identifying existing control measures please add where known a NATO stores number (NSN) for any PPE provided.

6 If the risk assessment identifies that 'additional control measures' are required to reduce the risk to ALARP and tolerable (note 5), which may be accomplished by implementing one or more control measures, until all reasonable actions have been exhausted. The implemented control measure(s) should then be recorded in this section.

7 Having confirmed the 'additional control measures' have been implemented, any risk that remains relating to the hazard or any other hazard(s) affected by the change is regarded to be the 'residual risk' and this rating **must** be re-assessed by repeating note 5.

8 Where 'additional control measures' have been implemented and reduce the risk to a low or very low zone that is both ALARP and tolerable, then no further assessment should be needed for the risk relating to that hazard. If the risk rating is not ALARP and tolerable, the 'assessor' **must** elevate the concerns through the Defence organisation's elevation process.

9 Where a form is printed off as a hard copy, then in addition to the 'Assessor name' and 'Authorising officer / manager name' a signature is required to confirm the authenticity. Where the form is used purely as a digital copy then iaw Electronic signatures (Electronic Communications Act 2000) the certification by any person of being identified by name, shall be admissible in evidence in relation to any question as to the authenticity and integrity of the data.

10 Where further 'additional control measures' are required by authorising officer, commander, manager or accountable person to be in place prior to the task / activity / process commencing, these are to be re-evaluated once introduced to make sure they are ALARP and tolerable. This is to then be authorised (signed off) by the authorising officer, commander, manager or accountable person once they are satisfied. Electronic signatures are as per note 9.

11 Authorising officers, commanders, managers or accountable persons are to note that they are responsible for ensuring that the following requirements are met:

• the risk assessment is "suitable and sufficient" to reduce the risk to ALARP and tolerable. In some instances, the risk may not be reduced to ALARP but can be considered tolerable at the appropriate level of risk ownership and this **must** be identified as such on the risk assessment where appropriate.

- the assessor is competent to carry out the risk assessment.
- any additional control measures added are approved.
- the control measures are adhered to and monitored for effectiveness.
- the risk assessment review is carried out in line with these Guidance Notes.
- where required, health surveillance is carried out on all affected personnel.
- all associated specialist risk assessments are complete, reviewed and signed for (e.g., Manual Handling, COSHH, Noise, Vibration, DSE).

12 Once 'additional control measures' have been implemented the risk relating to any hazards affected by the change will need to be monitored as these controls now become 'existing control measures' in further reviews.

Risk assessment review

- 13 Risk Assessments are to be reviewed:
 - at a frequency that is appropriate to the level of risk of the particular activity (e.g., high risk potentially each time the activity is to be conducted or at least 6 monthly; medium risk review control measures and improve if reasonably practicable to do so; 6 monthly or at least annually; low risk annually)
 - as outlined by local instructions/procedures;
 - prior to use if the safe execution of the activity relies on:
 - o a permit to work; or
 - o stringent adherence to a safe system of work and/or supervision.
 - if there is any reason to doubt the effectiveness of the risk assessment.
 - following an accident or near miss.
 - prior to use after additional control measures have been implemented and signed off.
 - prior to significant changes to the task, process, or procedure.
 - prior to the introduction of a vulnerable person(s).

This section (notes 14 – 16) below is for use to record "dynamic" risk assessment (when applicable) using the MOD Form 5010A.

- 14 Some examples of circumstances / situations where extra control measures may be needed are:
 - people (number, type, competence, age, ability).
 - **place** (inc; weather, climate, infrastructure, terrain)
 - equipment
 - procedures

15 If the circumstance / situation becomes permanent or long term, where extra control measures are required, the hazard is to be reassessed so the "extra controls required" become permanently implemented and are considered as "existing control measures".

16 Any new additional control measure added, should be authorised (see also note 10) and sanctioned to continue with the task / activity / process.