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

RISK RATING MATRIX

Severity (y-axis)							
	Critical	E					
	Severe	D					
	Major	C					
	Moderate	B					
	Minor	A					
			1	2	3	4	5
			Very Unlikely	Unlikely	Possible	Likely	Very likely
			Likelihood (X-axis)				

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 (E)	Multiple fatalities.
Severe (D)	• Single fatality • Specified injuries to multiple individuals (which are life threatening and / or cause permanent disability).
Major (C)	• 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 (B)	• 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 (A)	• 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 (5)	>75%	Is or is likely to be a common occurrence.
Likely (4)	50% - 74%	Has occurred or is likely to occur many times.
Possible (3)	30% - 49%	Has occurred or is likely to occur on several occasions
Unlikely (2)	5% - 29%	Has occurred or is likely to occur on a small number of occasions.
Very unlikely (1)	< 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 following key to the risk matrix provides the actions to be taken derived from the risk rating 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 and consider alternative ways of working, in order to make sure the risk is ALARP and tolerable. Consider informing command chains of any changes and requesting additional resource / levers / authority to apply additional control measures that may reduce the residual risk further.
Low	Maintain control measures and review regularly, if there are any changes that may impact either Severity or Likelihood then these need to be addressed, in order to make sure the risk remains ALARP and tolerable.
Very Low	Maintain control measures and review at least annually to make sure they continue to be effective, and the level of risk remains ALARP and tolerable.

Guidance Notes

General note: The MF5010 form 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 online 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. Risk assessments **must** be completed in accordance with JSP 375 Volume 1 Chapter 8, with all significant hazards identified and assessed. Risk assessments that are undertaken for specific tasks, individuals or environments are referred to as the 'specific' risk assessment in this MOD Form and the 'specific' box **should** be ticked for 'assessment type'. For some common activities that share or repeat the same hazards and controls (for example, routine maintenance or cleaning) a 'generic' risk assessment can be used and where this is the case then the 'generic' box **should** be ticked for 'assessment type'.

2. Assessment serial number is a self-generated number created in line with a particular Defence organisation's or local establishment naming convention.

3. Column (b) is to identify the hazard (something that has the potential to cause harm, this can be a physical hazard or a health hazard, for example; noise, vibration, contact with chemicals and so on).

4. Column (c) using the 'main activity' scenario of servicing a Land Rover, then 'Who might be harmed' could be the mechanic and the 'how' is the way they interact with a hazard, if for example the hazard is brake dust then breathing in (inhalation) of a substance that is hazardous to health is the 'how'.

5. Column (d) using the scenario of servicing a Land Rover then detail here what control measures are in place, for example this could be providing and ensuring the mechanic wears a cartridge face mask with an appropriate dust filter. Additionally details such as what SOP, regulation or JSP chapter and so on where being followed at the time **should** be added.

6. Where through hazard identification it is apparent that a specialised risk assessment is required in the workplace such as noise, vibration, COSHH, and manual handling, and so on, (when completed) the reference number of that specialised form **should** be added in this column (d) (where appropriate) to link them to the overall main activity risk assessment.

7. Column (e) current risk rating - using the risk rating matrix above, take the intersection between the x and the y axis to provide a grid reference and representative colour coding in the risk rating table; for example; a '4' 'likely' occurrence intersecting with a 'C' 'major' injury or illness = 4C an 'Amber' risk rating. The colour of the risk rating indicates one of the categories, Very Low, Low, Medium, High, or Very High from the table and the corresponding action to be taken.

Sub notes:

- The risk rating (at this stage) is determined after having identified a hazard, who might be harmed and how and what control measures are in place. A decision can then be made on whether these control measures reduce the risk to ALARP and tolerable (Column (f)) or if further control measures are required.
- If the control measures are ALARP and tolerable and the residual risk is not considered to be significant, then no further risk assessment **should** be needed for that hazard and 'Yes' should be added t column (f), and it can be signed off on page two.
- If all control measures are not adequate and the risk is not reduced to a level that is ALARP and tolerable and there is more that can be done to reduce the risk level to ALARP and tolerable 'No' should be added to column (f), and refer to page two for additional controls to be added (note 8).
- As part of identifying control measures, please add where known a NATO stores number (NSN) for any PPE provided.

8. Any additional control measure(s) implemented **should** be recorded on page two of the MF5010 and correspond to the same reference (column (a)) on page one for example Serial (Ser) 1 row to match with Ser 1 row on page two.

Note: For the 'Word' version of the MF5010, the serial numbers have been left off so that if you add more rows, you can add your own numbers which will make it easier when corresponding the serial numbers on page two with those on page one.

9. This is the residual risk rating that would be applicable to the hazard once the additional control measures have been implemented. To be an effective control measure, it **must** reduce the existing risk rating. Complete the residual risk rating using the methodology set out in note 7.

10. Will the additional control measures reduce the risk to a level that is ALARP and tolerable?

- if **yes** then continue with the activity and sign off; or
- if **no**, then the commander, manager or accountable person **must** consider stopping and elevating the risk in line with their Defence organisation's risk elevation process and annotate this in the 'Remarks' column (note 11).

11. In the 'Remarks' column detail any observations and additional information to support any decisions that have been made and elevated in line with their Defence organisations elevation process: These responsibilities include confirming that:

- the risk assessment is "suitable and sufficient" to reduce the risk to ALARP and tolerable. (Where 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).
- the assessor is competent to carry out the risk assessment.
- any control measures that have been implemented are approved.
- the control measures are adhered to and monitored for effectiveness.
- the risk assessment review date has been set.
- where required, health surveillance has been recommended for all affected personnel.

12. Where a form is printed off as a hard copy, then in addition to the ‘Assessor name’ and ‘Authorising officer / commander, manager, accountable person name’ a signature is required to confirm the authenticity. Where the form is used purely as a digital copy then to make sure the authenticity and integrity of the data is not compromised you **must** create and use a Digital pdf signature as detailed in Creating a Personal PDF Digital Signature.

13. Authorising officers, commanders, managers or accountable persons are to note that they when they sign off the risk assessment, they are confirming that they are responsible for ensuring that the control measures to bring the risk to a level that is ALARP and tolerable have been satisfactorily met or otherwise (notes 10 and 11).

Note: Where additional control measures have been implemented as part of the risk assessment for that activity, they are considered from that point forward to be “existing control measures” for the duration of that activity and **should** be considered when conducting a review / new risk assessment for the same or a similar activity.

Risk assessment review

14. Risk Assessments are to be regularly reviewed:

- After first use to ensure it remains valid.
- At a frequency that is appropriate to the risk (for example, potentially each time the activity is to be conducted or at least every six months for high-risk activities, 6 monthly or at least annually for medium-risk activities, annually for low-risk activities). When necessary, reviews should be carried out as soon as possible, rather than waiting for the scheduled review date.
- There is reason to doubt the effectiveness of the assessment.
- There has been an accident or a near miss.
- The activity or procedure, or the commander or manager, has changed.
- Vulnerable personnel (for example, people who are not familiar with the process, task or environment, or people who may have special needs) have become involved in the relevant activity.
- The assumptions or information the risk assessment or a control measure is based on have changed in a way that could affect the risk assessment.
- Recommendations have been made by trade unions, staff associations, safety leads, regulators, or functional specialists and so on.
- There has been a change to the activity and as a result this now invalidates a risk assessment that was being used before the change was made.
- There has been a change to a substance or equipment being used.

The following notes are specifically for use on the "dynamic" risk assessment form which is the MOD Form 5010A.

15. To detail which 'original' assessment type was carried out for example MOD Form 5010, 5011, 5012 and so on. This is a free text field in order to add clarity to what was being assessed dynamically.

16. Column (a) is to detail what the circumstance or situation is that requires a dynamic risk assessment. Some examples of changes in circumstances / situations where additional control measures may be needed are:

- Difficulty - the activity is more difficult than thought.
- Duration - the activity is lasting longer than planned.
- A variation to usual operating procedures.
- A sudden change in the weather conditions.
- A casualty or a medical condition becomes apparent.

17. Column (b) is to detail what additional control measures have been identified and implemented.

18. Column (c) will the additional control measures reduce the risk to a level that is ALARP and tolerable?

- if **yes** then continue with the activity and sign off; or.
- if **no**, then the commander, manager or accountable person **must** consider stopping and elevating the risk in line with their Defence organisation's risk elevation process.

Note: Where additional control measures have been implemented as part of the dynamic risk assessment for that specific activity, they are considered from that point forward to be "existing control measures" for the duration of that activity and **should** be considered when conducting a review / new risk assessment for the same or a similar activity.

19. Column (d) is for detailing any remarks, observations and additional information to support any decisions that have been made. For example, this may range from; fully implementing the additional control measures required, delay implementation due to resource issues or stop doing the activity completely and so on.

20. Where further 'additional control measures' are required by an assessor, 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. (see also notes 12 and 13).