

Migrating a GM risk assessment to RiskNET

This is a step-by-step guide to migrating your GM risk assessment from a word document to RiskNET.

1. Accessing RiskNET
2. Options for risk assessment
3. Preparing a GM risk assessment
 - a) General details
 - I. Organisational and location information
 - II. Attachments and sign-off
 - III. Distribution
 - b) The GM assessment and the equivalent sections on the old UCL GM assessment form
4. Submitting for approval/authorization

Accessing RiskNET

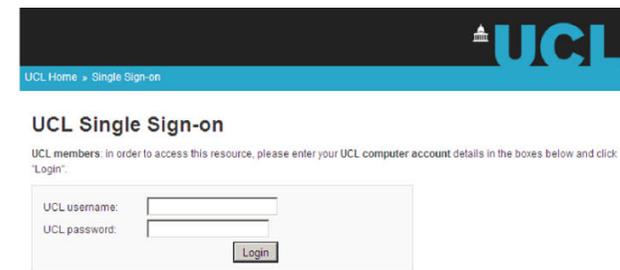
Step 1

From the [Safety Services](#) home page – click on “Use RiskNET tools



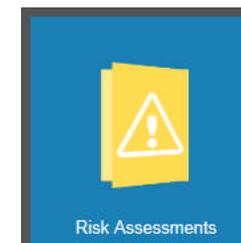
Step 2

Enter your UCL username/password at the sign on screen (this is the same username/password that you use for MyView)



Step 3

Select Risk Assessments



Finding risk assessments in planning

All of the assessments in planning have been given placeholder with the old PDF assessment attached. To find these you must use the RiskNET search function.

Risk Assessment Options

Please select one of the following options:

My Assessments
(edit or view my own assessments)

Search Assessments
(look for risk assessments across the organisation)

Create New Assessment
(use a blank form to create an assessment)

Copy An Assessment
(use an existing assessment on which to base yours)

Search For Assessments

This option allows you to search the entire module to view all (non-confidential) risk assessments.

Search by the 'Assessors (last name)' and select Record Status 'Planning'

Select the assessment you wish to complete

Search

Division, School, Faculty, Institute:

Department:

Group/Unit:

Building:

Area:

Sub Area:

Programme:

Assessment Title:

Assessor (last name):

Approver (last name):

Risk Level:

Record Status:

Specialist Assessment Type:

Is Confidential?:

Due to Expire:

GM assessment – general details

Complete the fields as accurately as possible. Give the risk assessment a short, clear and memorable title. Review the existing assessment and highlight any changes

This will be populated.
Update this to current date

If you want it to remain confidential, tick the appropriate box.
NB – all work with transgenic animals should be marked as confidential.

Check title is correct

Summary of scientific objectives

Add that this is a review of an existing assessment and highlight any changes made to aid fast review by the UBSA

All assessments will be valid for a year from the time they are approved – this will be set at the time of final sign off by the UBSA/local GMSO

GM assessment: organisational & location details

Make sure you associate the assessment with the correct part of UCL. Please make sure you know which Division, School, Faculty or Institute you are in.

Check this information is correct

The screenshot shows a form with three main sections highlighted by red boxes:

- Area Responsible (for management of risks):** A table with three rows of dropdown menus.

Division, School, Faculty, Institute: *	Estates Division
Department: *	Sustainability
Group/Unit: *	Safety Services
- Location of Risks:** A table with a header row and three rows of dropdown menus.

Location of Risks	Non-specific <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Building: *	Select...
Area: *	Select...
Sub Area: *	Select...
- Further Location Information:** A text input field with a label and a character limit.

Further Location Information:
[Max chars: 500]

Use the location dropdowns to identify the physical location of the risks to which the assessment relates.

Use the Further Location Information field to give more information about organisational and location information – record room number(s) here and if you are working in more than one department and/or building, record this information here.

GM assessment – Attachments and sign-off

Add any supporting documentation here – e.g. supporting scientific literature or data, local codes of practice etc.

Any documents relating to HSE notifications should also be saved here.

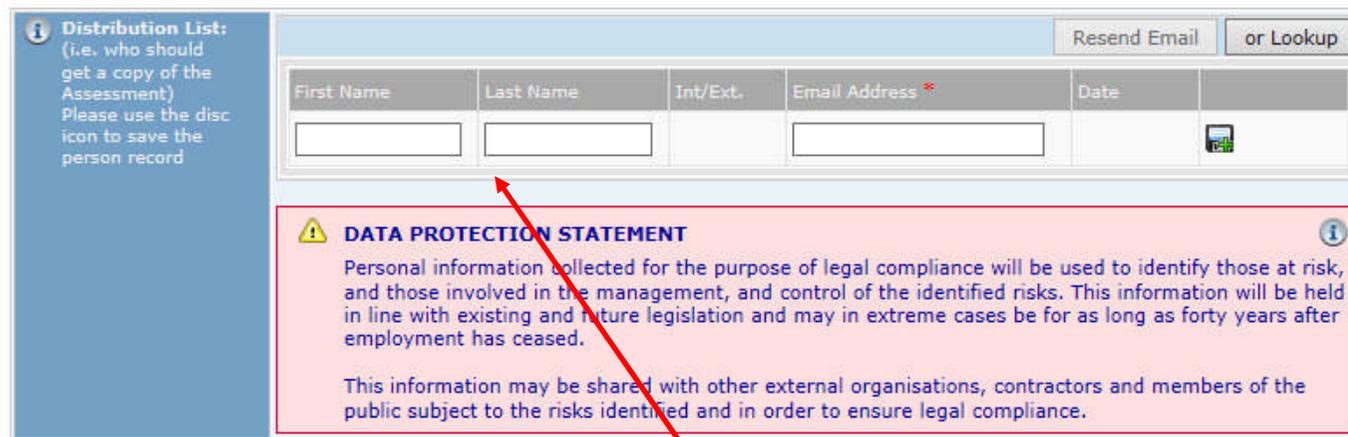
The screenshot shows a web form for GM assessment. The top section is titled 'Documents & Attachments' and includes an 'Upload File' button circled in red. Below this is a table with columns for 'Filename', 'File Category', 'File Size', and 'Upload Date'. There are two text input fields: 'Location of non-electronic documents: [Max chars: 1500]' and 'Description of documents and attachments: [Max chars: 1500]'. The bottom section is titled 'Assessor(s): *' and 'Approver(s): *'. The 'Assessor(s)' field contains 'HALL, MATT' and has a 'Lookup ...' button circled in red. The 'Approver(s)' field is empty and has a 'Lookup ...' button circled in red.

Your name will automatically appear here but if there is more than one assessor (or you need to change the name)

The Approver for GM assessments is your Departmental GMSO you can look up their name by clicking the lookup button.

If you don't know who your GMSO is there is a [list on the Safety Services website](#).

GM assessments – distribution/workers



Distribution List:
(i.e. who should get a copy of the Assessment)
Please use the disc icon to save the person record

Resend Email or Lookup

First Name	Last Name	Int/Ext.	Email Address *	Date
<input type="text"/>	<input type="text"/>		<input type="text"/>	

DATA PROTECTION STATEMENT

Personal information collected for the purpose of legal compliance will be used to identify those at risk, and those involved in the management, and control of the identified risks. This information will be held in line with existing and future legislation and may in extreme cases be for as long as forty years after employment has ceased.

This information may be shared with other external organisations, contractors and members of the public subject to the risks identified and in order to ensure legal compliance.

Add names of all those working on the project here.

Your Head of Department's name should be added here for Class 2 and Class 3 projects.

You can look up the name of UCL staff, but you can also add external staff/students here provided you have a valid email address for them. Use the  icon to add more.

All those on the list will be sent a summary of the assessment once it has been approved

GM assessments – people at risk and comments

Identify the people likely to be affected by the risks being assessed.

Options include employees, contractors, members of the public etc.

PEOPLE AT RISK (from the Activities covered by this Risk Assessment)

- Employees
- Post-Graduates
- Undergraduates
- Contractors
- Members of the Public
- Visitors
- Disabled Persons
- Inexperienced Workers/Trainees
- Women of Child-bearing Age
- Young Persons
- Other Vulnerable Persons
- Other

ACTIVITY, HAZARD & RISK SUMMARY

If you would like to see a brief summary of the activities, hazards and control measures applicable to this risk assessment please click on the "Show Summary" button below. Please note if you have several activities this may take some time to load.

Show Summary

ASSESSMENT COMMENTS LOG

Made By	Date	Comments
		[Max chars: 1000]

Save | Menu Options (incl. Print, Copy) | Add Action

The Assessments Comments Log provides an area for all those participating in the risk assessment to record notes and comments throughout the process of creating the assessment and any subsequent review.

The GM assessment (1)

Once you have filled in all the general information, you can then move on to the specific GM assessment you need.

1. Click on Activities, Hazards, Controls
2. Select Add New Activity
3. Select the Specialist Risk Areas Tab

The screenshot shows the 'Background' tab selected in the 'Background to Assessment' section. The 'Activities, Hazards, Controls' tab is highlighted with a red circle. Below this, the 'Date Created' is 13/12/2016, 'Assessment Start Date' is 13 Dec 2016, and 'Assessment Review or End Date' is 13 Dec 2017. The 'Confidential Risk Assessment?' checkbox is checked. The 'Assessment Title' field is empty. Below this, the 'Activities, Hazards & Control Measures' section is shown with the 'INDEX' tab selected. The 'Add New Activity' button is highlighted with a red circle. Below this, the instruction 'EITHER Choose from one of the templates listed below:' is shown. The 'Specialist Risk Areas' tab is highlighted with a red circle. Below this, the '1. Workspace Assessments' section is shown with 'Laboratories' and 'Offices' listed as options.

Background | **Activities, Hazards, Controls** | Actions

Background to Assessment

Date Created: 13/12/2016 | Confidential Risk Assessment? Yes No

Assessment Start Date: 13 Dec 2016 | Assessment Review or End Date: 13 Dec 2017

Assessment Title: *
(Simple name for reference purposes)
[Max chars: 250]

Background | **Activities, Hazards, Controls** | Actions

Activities, Hazards & Control Measures

INDEX

No. Activity

No records to display.

View Attachments

EITHER Choose from one of the templates listed below:

Model Activities | **Specialist Risk Areas**

1. Workspace Assessments

Laboratories

Offices

The GM assessment (2)

Model Activities Specialist Risk Areas

Fire (PAS79) Risk Assessment	<input type="checkbox"/>
GMM Class 1 Risk Assessment	<input type="checkbox"/>
GMM Class 2 Risk Assessment	<input type="checkbox"/>
GMM Class 3 Risk Assessment	<input type="checkbox"/>
GM Animals Risk Assessment	<input type="checkbox"/>
GM Plants Risk Assessment	<input type="checkbox"/>

Select the assessment template you want to use, by ticking the box and then clicking create.

The GM assessment – the specialist authoriser and technical guidance

[* Denotes Mandatory Field]

Reference No.	RA010056/1
Current Status:	Planning

Background **Activities, Hazards, Controls** Actions

Activities, Hazards & Control Measures

Index < Back Next >

Title: *

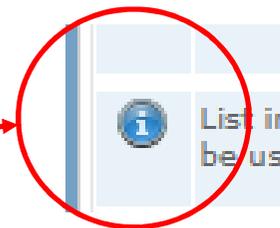
Specialist Authoriser: *

Set Authoriser

You need to set the specialist authoriser in this part of the form – this is the University Biological Safety Adviser – UBSA who must review the assessment (on behalf of the UCL GMSC), along with your GMSO.

There is only one name to select when you open up this pop-up window.

All the technical guidance that you need to complete the assessment is available in the hover-over button – but all the guidance from all the forms is also available as a pdf document at on the GM pages of the Safety Services website



Title: * GMM Class 2 Risk Assessment

Specialist Authoriser: * Set Authoriser

1. INITIAL ASSESSMENT

1.1 An overview of the GMM(s) that will be constructed

- List recipient organism(s) to be used.
- List vector(s) to be used.
- List inserted genetic material to be used.

1.2 An indication of the most hazardous GMM that will be constructed:

1.3 Do any of the recipients, vectors or inserts to be used have any properties that could cause harm to human health or the environment? Yes No Not Sure

1.4 Will any of the GMMs that will be constructed be harmful to human health or the environment? Yes No Not Sure

Name, strain etc. and if relevant the degree of disablement/attenuation

List the name of vector and indicate any disabling mutations

Give meaningful names if possible not codes

2. COMPREHENSIVE ASSESSMENT

2.1 Assessment of risks to human health and safety Hazards associated with:	i a. Recipient micro-organism(s) eg. bacteria host or viral vector	
	i b. Inserted genetic material	
	<i>Direct effects</i>	
	<i>Indirect effects</i>	
	<i>Effect of gene transfer</i>	
	2.1.1 Summary of risks to human health i	

Record any risks to human health from the recipient micro-organism, inserted material.

Summarise the effects taking into account how severe the effects might be, the likelihood and any uncertainties.

2.2 Assessment of risks to the environment Hazards associated with:	i a. Recipient micro-organism(s) eg. bacteria host or viral vector	
	i b. Inserted genetic material	
	<i>Direct effects</i>	
	<i>Indirect effects</i>	
	<i>Effect of gene transfer</i>	
2.2.1 Summary of risks to environment		

Record any risks to the environment from the recipient micro-organism, inserted material.

Summarise the effects taking into account how severe the effects might be, the likelihood and any uncertainties.

3. NATURE OF THE WORK TO BE CARRIED OUT AND REVIEW OF CONTROL MEASURES

3.1 Will any of the procedures carried out generate aerosols or splashes? (If "Yes" give details of procedures) Yes No

Containment to be used? (Tick all those that apply) Safety Cabinet Isolator Contained Equipment Other

Give details of the containment or the other means of containment

3.2 Will any of the procedures carried require the use of sharps? (If "Yes" give details of control measures) Yes No

3.3 Give details of the scale of the activity

Please indicate the maximum culture volume(s) and if propagating a viral vector, indicate the maximum virus titre that will be handled. If viral vector is to be used in vivo, indicate maximum volume to be injected at any one time.

Consideration should be given to safety needle devices where possible

Culture volume & virus titre

The information must be transferred into the disinfection and disposal arrangements.

3.4 Give details of the arrangements in place for the disinfection and disposal of waste (tick more than one box if required, but give details of type of waste)

Type of waste	Treatment used	Detail (eg. concentration of disinfectant used, autoclave cycle used and final disposal route)
Solid waste	<input type="checkbox"/> Autoclave <input type="checkbox"/> Chemical <input type="checkbox"/> Incineration	
Liquid Waste	<input type="checkbox"/> Autoclave <input type="checkbox"/> Chemical <input type="checkbox"/> Incineration	

3.4.1 If using an autoclave, give the following details:
(If not applicable continue to the next section.)

Location	
Location of alternative autoclave (in the event of breakdown or other emergency arrangements)	
If relevant, means of transport to autoclave	
Means of validation	

3.4.2 If using chemical disinfectant provide details of validation.
(by reference to literature, manufacturers data and any in-house tests)

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You may also need to include information if you are required to transport the waste to an autoclave (including in the event of a breakdown).

3.5 Other biological risks

<p>3.5.1 Will the work involve the use of any other biological material which may present a risk of infection? ⓘ (if "Yes" indicate material to be used and the likelihood of contamination)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="text-align: center; color: red;">New question</p>
<p>3.5.2 Describe any additional control measures: (i.e additional to those needed to control risks from the GMM)</p>	<p style="text-align: center; color: red;">New question</p>
<p>3.5.3 Could the biological material used be harmful to human health other than infection? (If "Yes" give details)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="text-align: center; color: red;">New question</p>

3.6 Occupational health considerations

<p>3.6.1 Would the nature of work prevent anyone who is more susceptible to infection or other ill-health from carrying it out? (If "Yes" give details)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="text-align: center; color: red;">New question</p>
<p>3.6.2 Is a vaccine or post exposure prophylaxis available for the agent? (If "Yes" give details)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p style="text-align: center; color: red;">New question</p>
<p>3.6.3 Will the GMMs be taken outside the laboratory? (If so please describe method of containment to be used during the transport process)</p>	<p>Yes <input type="checkbox"/> No <input type="checkbox"/></p>

The GM assessment – assessment of risk level

At the end of the assessment there is a mandatory step that is common to all types of risk assessment available in RiskNET – the final assessment of risk level.

GUIDANCE FOR NON-SPECIALIST RISK ASSESSMENTS

SEVERITY

- Minor injury
- Lost time injury, temporary disability or illness
- Permanent disability or major injury
- Fatality, multiple serious injuries/illnesses
- Multiple fatalities

LIKELIHOOD

	Remote	Unlikely	Possible	Likely	Certain
A	A	B	B	C	C
B	A	B	C	C	D
C	B	C	C	D	E
D	C	C	D	E	E
E	C	D	E	E	E

RISK LEVEL

- A: Very Low / Trivial
- B: Low / Tolerable
- C: Medium / Moderate
- D: High / Substantial
- E: Very High / Intolerable

ASSESSMENT RISK LEVEL

Please use the fields below to determine the level of risk for this.

RISK LEVEL:

Risk Level: Risk:

For GM assessments complete as follows:

Class 1 (and GM animals and plants)

Class 2 (and GM animals and plants if more hazardous than the parental organism)

Class 3

RISK LEVEL:

Risk Level: **A - Very Low / Trivial** ▼

RISK LEVEL:

Risk Level: **B - Low / Tolerable** ▼

RISK LEVEL:

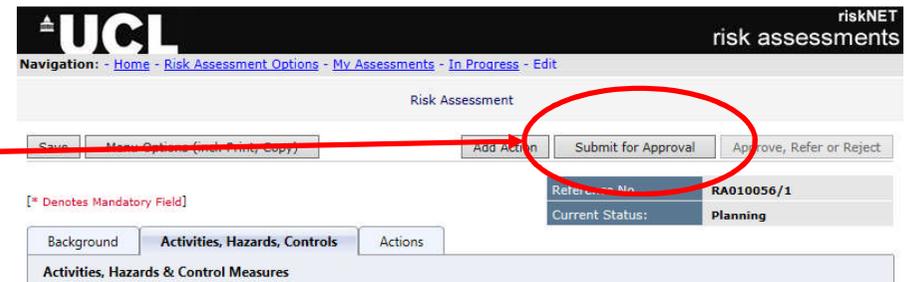
Risk Level: **C - Medium / Moderate** ▼

Submitting for approval/authorisation

Once you are happy that the risk assessment you have created (copied or edited) is ready for use, you must submit it for approval.

On the top right of each page there is a “Submit for Sign Off” button.

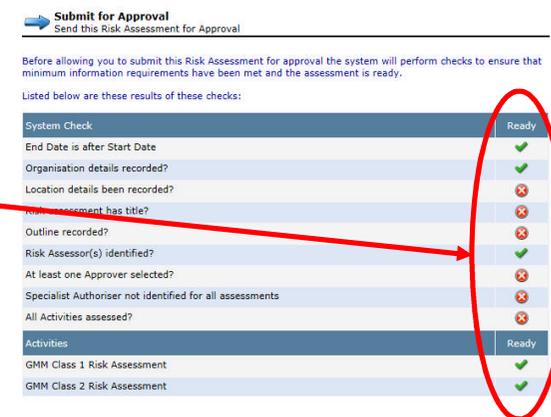
Note the risk assessment is still shown as “Planning”.



When you click on the button, the system checks to make sure that you have completed the minimum requirements for a valid risk assessment.

If you haven't completed all necessary areas the system will indicate what you still need to do. Go back to the relevant page and complete as appropriate.

When the checklist displays only green ticks, click “Next” at the foot of the window.



Submitting for approval/authorisation

You will then need to confirm your decision to submit for sign off choosing one of the three tick box options.

The “Submit for Approval” button at the foot of the screen will now be activated.

When you click on this button you will again be asked to confirm your decision once again and at this point a request to sign off will be sent to the GMSO (approver) and the UBSA (authoriser).

https://www.oshens-software.com/?RiskAssessmentID=209 - riskNET (Training) - Windows Internet Expl...

Data will be lost if you use the explorer buttons to close this window.

Submit for Approval
Send this Risk Assessment for Approval

Ready for Approval

CONFIRMATION

I am satisfied that this assessment is ready for approval and I confirm that any actions required have been completed.

I am satisfied that this risk assessment is ready for approval and any actions required will be completed prior to any exposure to the hazards recorded.

I am satisfied that this risk assessment is ready for approval and any outstanding actions will be completed before the next review.

Cancel OK **Submit for Approval**

The GMSO and UBSA will receive a notification by email informing them that the risk assessment is ready and available for Approval

The following Risk Assessment has been submitted to you from OSHENS for approval.

Reference No RA00141/1
Assessment Title: Working with lentiviral vectors
Start Date: 04/06/2013
Review End Date: 04/06/2014

Submitting for approval – final stages

Although you do not get an email from the system indicating your assessment has been submitted, you will note that when after submitting the assessment, the current status of your assessment has changed to Awaiting Approval.

Reference No. RA00209/1
Current Status: Awaiting Approval

Background Activities, Hazards, Controls Actions

Background to Assessment

Date Created: 16/09/2013 Confidential Risk Assessment? Yes No
Assessment Start Date: 16 Sep 2013 Assessment Review or End Date: 16 Sep 2014

Risk Assessment Options

Please select one of the following options:

<p>My Assessments (edit or view my own assessments)</p>	<p>Search Assessments (look for risk assessments across the organisation)</p>
<p>Create New Assessment (use a blank form to create an assessment)</p>	<p>Copy An Assessment (use an existing assessment on which to base yours)</p>

If you want to confirm an email has been sent, make a note of the assessment number and then go back to the home screen and use the Search Assessments option

Checking on submission

When you have found your assessment, click the History link at the end of the record

riskNET
risk assessment

Navigation: - [Home](#) - [Risk Assessment Options](#) - [Search](#) - Results UCL [Logout](#)

Risk Assessment Search Results Page 1 of 1

Reference		Title	Division, School, Faculty, Institute	Status	Valid From	Valid To	
RA00209/1	(Preview)	blah	Estates Division, Safety Services, All Groups/Units	Awaiting Approval	16/09/2013	16/09/2013	History

Then open up the email history tab and you will see who the email has been sent to and when.

Risk Assessment History
Access the View History and Change History for this record.

View History Change History **Email History**

Email Date	Email To	Email Subject	Comments
17/09/2013 16:09	j.deans@ucl.ac.uk	Risk Assessment requiring your approval [RA00209]	Email sent.

Dealing with rejected assessments

If the GMSO and/or the UBSA rejects your assessment, you will receive an email from the system which lets you know it has been rejected and the reasons why.

The following Risk Assessment has been rejected by JILLIAN DEANS. Activities recorded within it should not be proceeded with until the risk assessment has been revised in accordance with the comments made, re-submitted and approved.

Reference No: RA002091
 Assessment Title: blah
 Start Date: 16/09/2013
 Reason Rejected: There is insufficient detail about the nature of the vector to be used

The risk assessment has been returned to Planning status, please go to [riskNET \(Training\)](#) and make any necessary changes, before re-submitting for authorisation.

When you go back into RiskNET, you will see your assessment has gone back into Planning.

Reference No.	RA010050/1
Current Status:	Planning

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You can also see the comments made by the Approver and/or the Specialist Authoriser.

ASSESSMENT COMMENTS LOG		
Made By	Date	Comments
DEANS, JILLIAN	16/09/2013	Rejected: There is insufficient detail about the nature of the vector to be used

[Max chars: 1000]

Save Menu Options (incl. Print, Copy) Add Action

Make the changes needed to the assessment and summarise these in the comments log so that it is clear what changes have been made, and then re-submit the assessment as before.