

## **GM risk assessment using RiskNET**

A step-by-step guide to drafting and submitting your GM risk assessment

# Contents

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](#)
4. [Submitting for approval/authorisation](#)
  - a) [Dealing with rejected assessments](#)

# 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)

### SafetyNET - managing health and safety at UCL

*Health and safety is everyone's responsibility, and a prime responsibility of all levels of management, and everyone is expected to contribute towards achieving our overall objective. My aim is to encourage and foster a culture where everyone is aware of their individual health and safety responsibilities and is actively engaged and committed to improving standards of health and safety.*

Malcolm Grant - President and Provost



**Use RiskNET Tools**  
or  
Find out more about tools



Safety Services aim to support and enhance research and teaching at UCL by providing independent, competent safety advice to all levels of the organisation. We also provide a range of safety training courses, both scheduled and bespoke if required.



**I want information about:**



[UCL Home](#) > [Single Sign-on](#)

## UCL Single Sign-on

**UCL members:** in order to access this resource, please enter your UCL computer account details in the boxes below and click "Login".

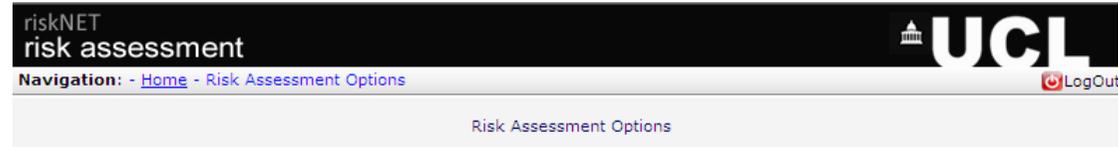
UCL username:

UCL password:

- > You will only need to enter these details once per Web browser session.
- > **Remember:** to properly log out of any resource, you should always end your web browser session.

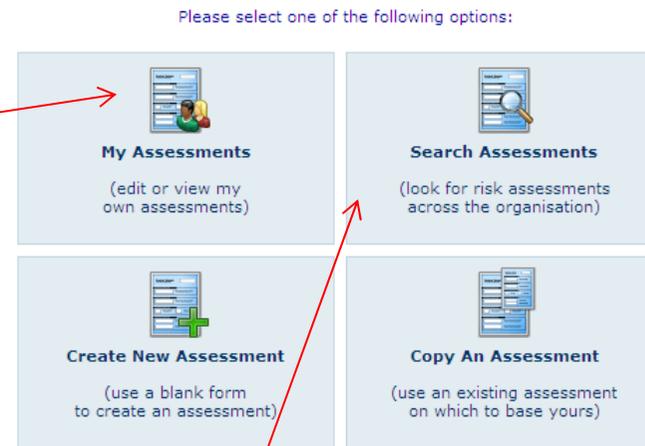
# Risk assessment options (1)

The first screen within the module provides a set of options dependent upon what you want to do in the system.



## Option 1 – My Assessments

This provides you with quick access to assessments that you are already working on or that have been sent to you for sign off.



## Option 2 – Search For Assessments

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

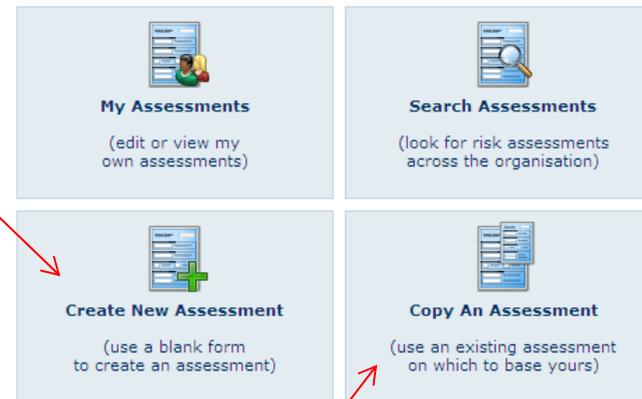
# Risk assessment options (2)

## Option 3 – Create New Assessment

If you know that a new Risk Assessment is required AND there are no existing assessments on the system that you wish to copy and adapt, select this option.



Please select one of the following options:



## Option 4 – Copy An Assessment

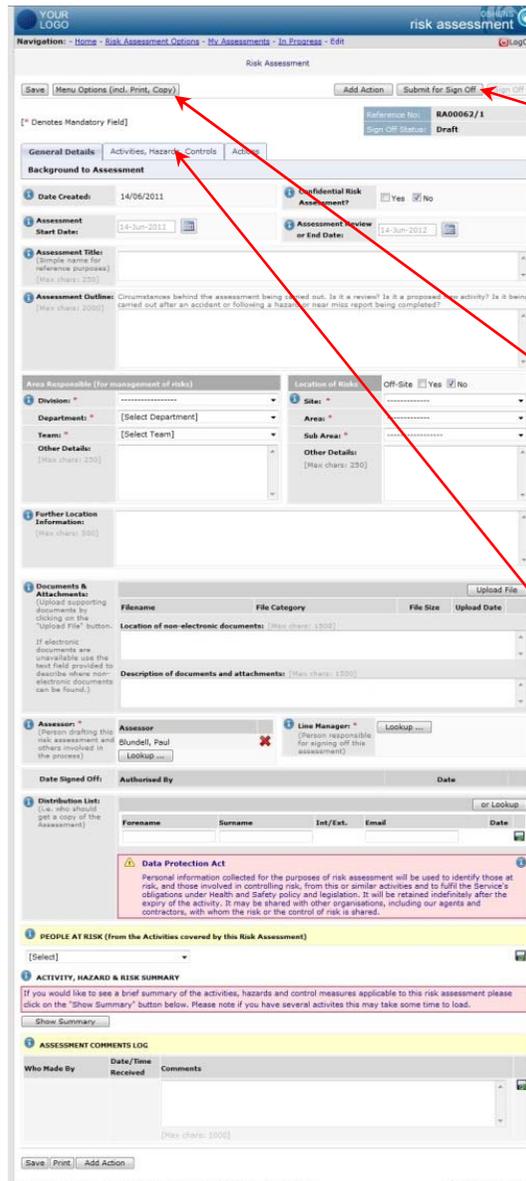
If you wish to base your Risk Assessment on an existing one selected the Copy An Assessment option.

# Preparing a GM risk assessment

Creating a risk assessment opens up the page to the right.

This page provides the general details and scope of the risk assessment.

(Note - you will need to use the scrollbars to view the whole page).

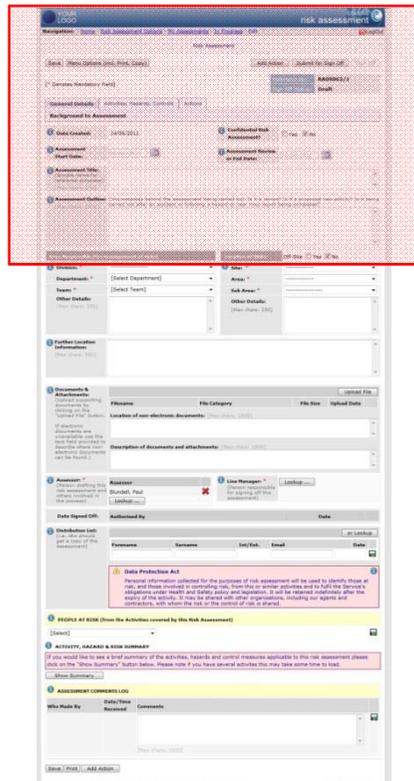


A new system generated reference number as well as the sign off status are shown at the top right of the page.

Various button options, “Save”, “Print”, “Copy”, “Add Actions” and “Sign Off” appear at the top of the page too.

The three tabs “General Details”, “Activities, Hazards, Controls” and “Actions” link you through to the relevant section of the Risk Assessment record.

# GM assessment – general details



Complete the fields as accurately as possible. Give the risk assessment a short, clear and memorable title.

[\* Denotes Mandatory Field]

Reference No.	RA00209/1
Current Status:	Planning

Background	Activities, Hazards, Controls	Actions
<b>Background to Assessment</b>		
<b>Date Created:</b> 16/09/2013	<b>Confidential Risk Assessment?</b> <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
<b>Assessment Start Date:</b> 16 Sep 2013	<b>Assessment Review or End Date:</b> 16 Sep 2014	
<b>Assessment Title:</b> * (Simple name for reference purposes) [Max chars: 250]		
<b>Assessment Outline:</b> *	Circumstances behind the assessment being carried out. Is it a review? Is it a proposed new activity? Is it being carried out after an accident or following a hazard or near miss report being completed?	

Use the Assessment Outline field to give a brief scientific background to the work to be carried out.

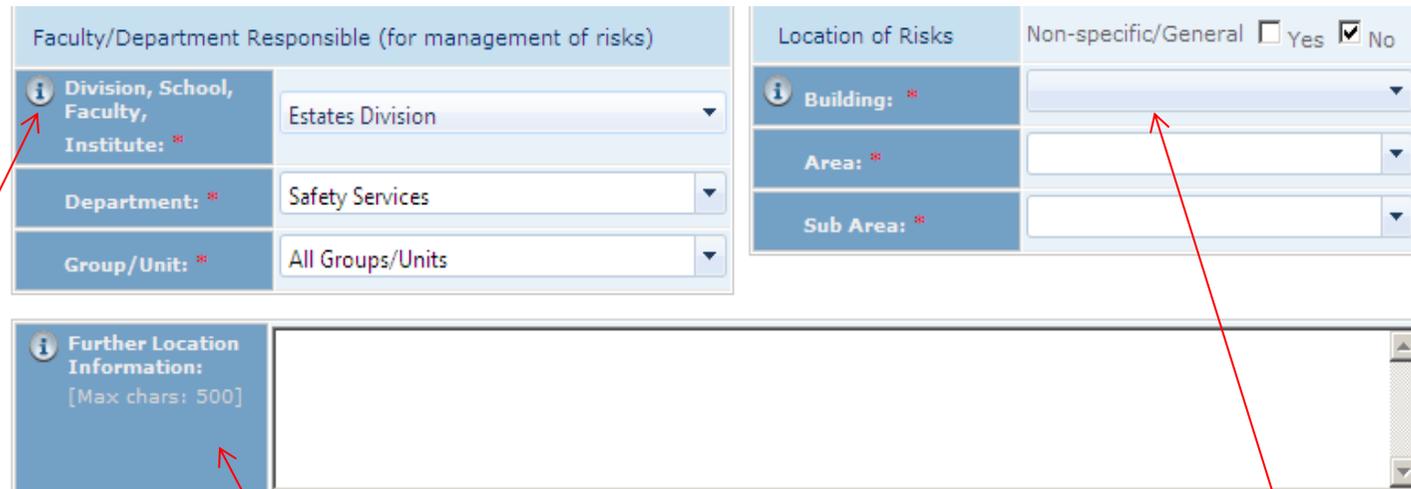
If you want it to remain confidential, tick the appropriate box. NB – all work with transgenic animals should be marked as confidential

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

# GM assessment: organisational & location details

Make sure you associate the assessment with the correct part of UCL

NB: make sure you know which Division, School, Faculty or Institute you are in.



The screenshot shows a web form with the following sections:

- Faculty/Department Responsible (for management of risks)**
  - Division, School, Faculty, Institute: \* (dropdown menu showing "Estates Division")
  - Department: \* (dropdown menu showing "Safety Services")
  - Group/Unit: \* (dropdown menu showing "All Groups/Units")
- Location of Risks**
  - Non-specific/General:  Yes  No
  - Building: \* (dropdown menu)
  - Area: \* (dropdown menu)
  - Sub Area: \* (dropdown menu)
- Further Location Information:** [Max chars: 500] (text area)

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.

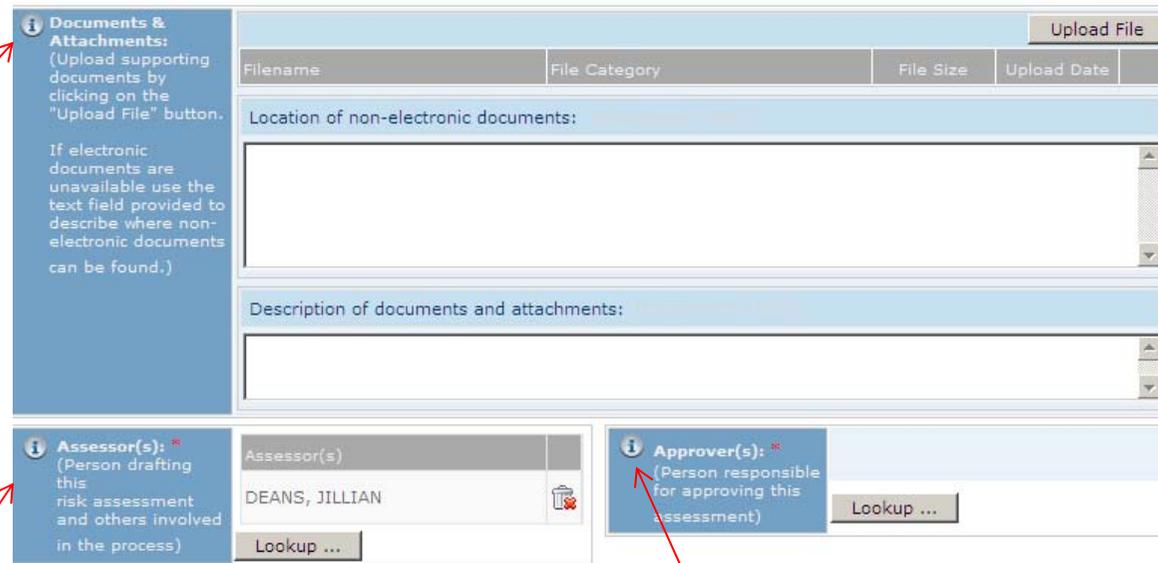
# GM assessment – Attachments and sign-off

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

NB: all live GM projects at the time of launch will have attached a copy of their current risk assessment saved here

Any documents relating to HSE notifications will also be saved here

Your name will appear here but if there is more than one assessor, eg a joint project, add additional names here. You will need to agree who will take the lead eg on dealing with any queries or comments



The screenshot shows a web form for GM assessment. The 'Documents & Attachments' section includes an 'Upload File' button, a table with columns for 'Filename', 'File Category', 'File Size', and 'Upload Date', and two text areas for 'Location of non-electronic documents' and 'Description of documents and attachments'. Below this are the 'Assessor(s)' and 'Approver(s)' fields. The 'Assessor(s)' field contains the name 'DEANS, JILLIAN' and a 'Lookup ...' button. The 'Approver(s)' field is currently empty and also has a 'Lookup ...' button. Red arrows point from the explanatory text on the left to the 'Documents & Attachments' and 'Assessor(s)' fields.

The Approver for GM assessments is your Departmental GMSO – you can look up their name by clicking the lookup button (this opens an all staff list).

If you don't know who your GMSO is there is a list on the Safety Services website

# GM assessments - distribution

**Distribution List:**  
(i.e. who should get a copy of the Assessment)

or Lookup

First Name	Last Name	Int/Ext.	Email	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 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 copy 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 can include employees, contractors, members of the public etc.

Use the  icon to add more, and the  to remove anyone added in error.

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 during any subsequent review.

If your assessment is rejected following review, then you should record your responses to the comments here.

i 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

i 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.

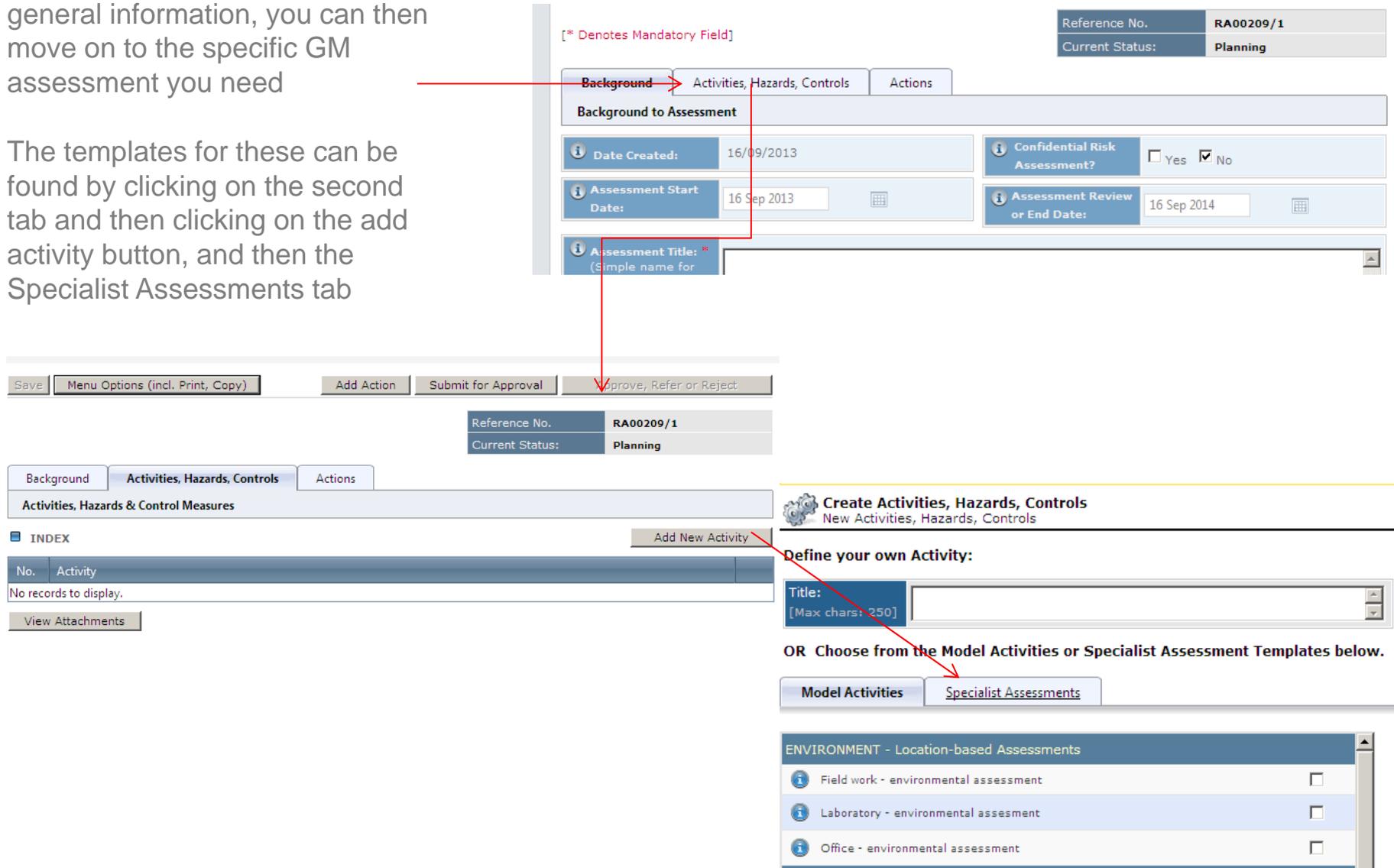
i ASSESSMENT COMMENTS LOG

Made By	Date	Comments
		<div style="border: 1px solid #ccc; padding: 5px; min-height: 40px;"> <span style="font-size: 0.8em; color: #666;">[Max chars: 1000]</span> </div>

# The GM assessment

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

The templates for these can be found by clicking on the second tab and then clicking on the add activity button, and then the Specialist Assessments tab



The screenshot displays the 'Background' tab of a GM assessment form. At the top right, a status box shows 'Reference No. RA00209/1' and 'Current Status: Planning'. The 'Background to Assessment' section includes fields for 'Date Created' (16/09/2013), 'Assessment Start Date' (16 Sep 2013), 'Confidential Risk Assessment?' (Yes/No), and 'Assessment Review or End Date' (16 Sep 2014). A red arrow points to the 'Background' tab, and another points to the 'Assessment Title' field.

Below the form, a toolbar contains buttons for 'Save', 'Menu Options (incl. Print, Copy)', 'Add Action', 'Submit for Approval', and 'Approve, Refer or Reject'. A second status box also shows 'Reference No. RA00209/1' and 'Current Status: Planning'.

The 'Activities, Hazards & Control Measures' section is active, showing an 'INDEX' table with 'No records to display' and a 'View Attachments' button. A red arrow points to the 'Add New Activity' button.

The 'Create Activities, Hazards, Controls' section is titled 'Define your own Activity:' and features a 'Title' input field (max 250 characters). Below this, it offers the option to 'Choose from the Model Activities or Specialist Assessment Templates below.' Two tabs are visible: 'Model Activities' and 'Specialist Assessments'. The 'Specialist Assessments' tab is selected, showing a list of templates under the heading 'ENVIRONMENT - Location-based Assessments':

- Field work - environmental assessment
- Laboratory - environmental assessment
- Office - environmental assessment

# The GM assessment (2)

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

If are not sure whether your work is Class 1 or Class 2, fill in the Class 2 form as this asks for more information so that the reviewer can more easily see whether its Class 1 or 2 and its quicker to cut and paste the information back into the shorter form.

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

**Create Activities, Hazards, Controls**  
New Activities, Hazards, Controls

**Define your own Activity:**

Title:  [Max chars: 250]

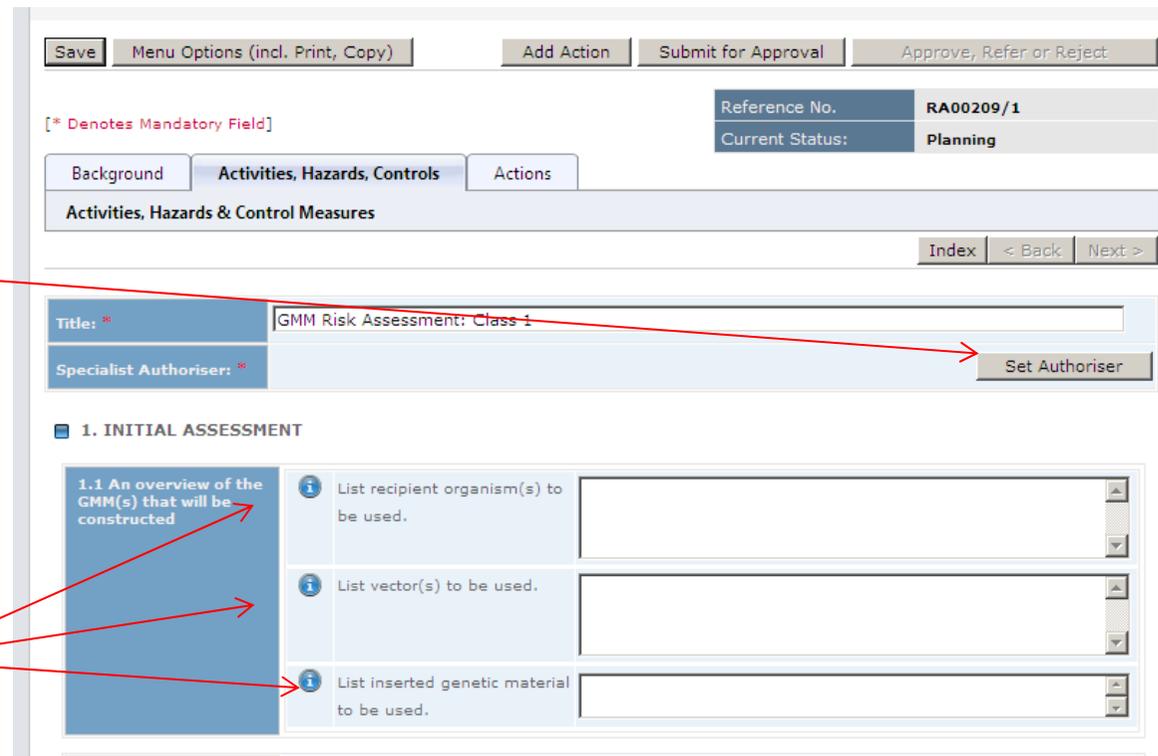
**OR Choose from the Model Activities or Specialist Assessment Templates below.**

Model Activities    **Specialist Assessments**

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

# The GM assessment – the specialist authoriser and technical guidance

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.



Save Menu Options (incl. Print, Copy) Add Action Submit for Approval Approve, Refer or Reject

Reference No. RA00209/1  
Current Status: Planning

Background Activities, Hazards, Controls Actions

Activities, Hazards & Control Measures

Index < Back Next >

Title: \* GMM Risk Assessment: Class 1

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.

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

# The GM assessment – assessment of risk level

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

**ASSESSMENT RISK LEVEL**

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

**RISK LEVEL:**

Risk Level:  Risk:

OSHENS v4.4 | Copyright Optima Diagnostics Limited, 2013. All rights reserved. Session Expires in 59:31

For GM assessments complete as follows:

**Class 1** ( and GM animals and plants)

**ASSESSMENT RISK LEVEL**

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

**RISK LEVEL:**

Risk Level:

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

**ASSESSMENT RISK LEVEL**

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

**RISK LEVEL:**

Risk Level:

**Class 3**

**ASSESSMENT RISK LEVEL**

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

**RISK LEVEL:**

Risk Level:

# Submitting for approval/authorisation

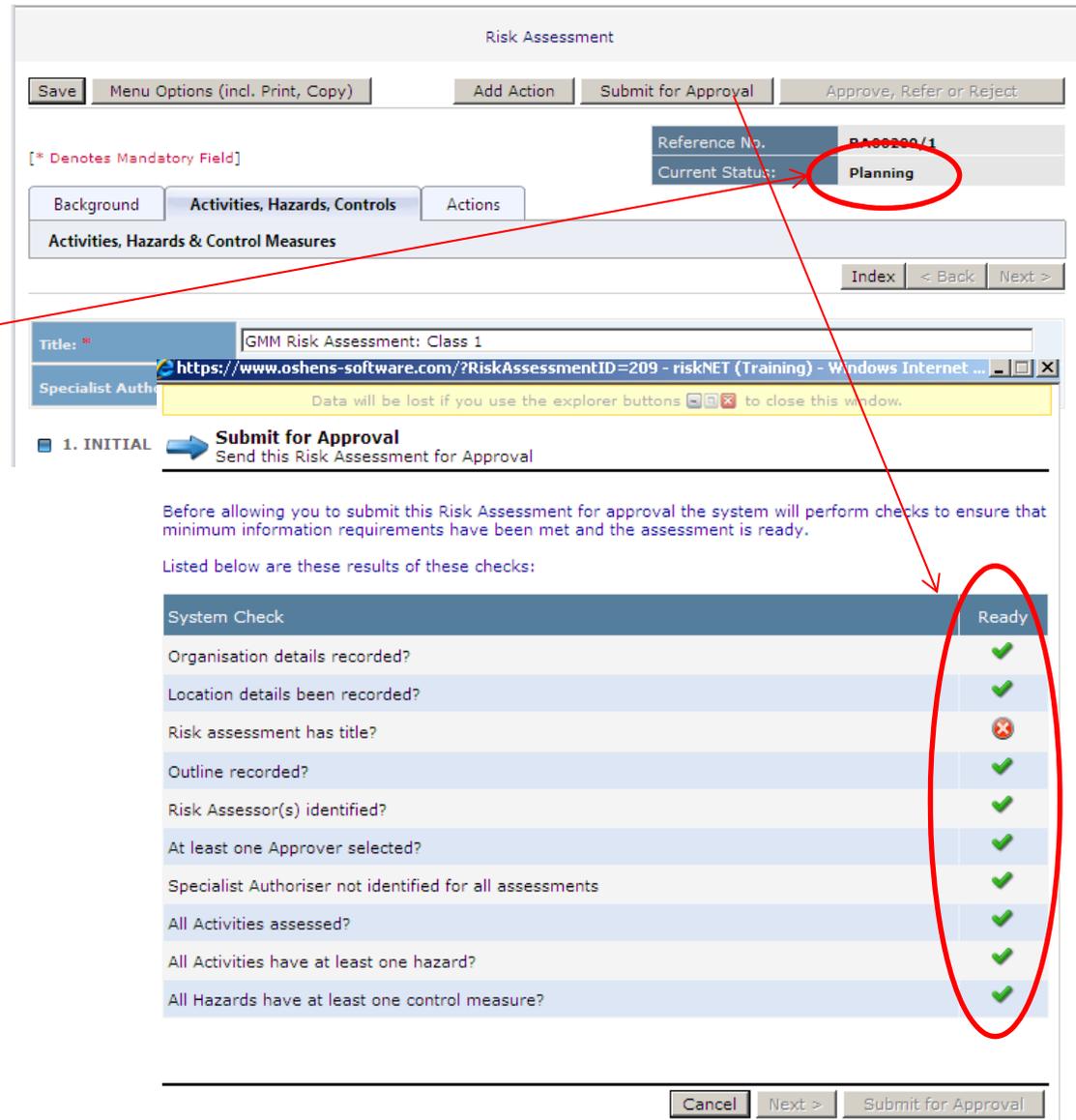
Once you are happy that the risk assessment you have created (copied or edited) is ready for use, you must submit it for approval.

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

Note at this stage 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



**Risk Assessment**

Save | Menu Options (incl. Print, Copy) | Add Action | **Submit for Approval** | Approve, Refer or Reject

Reference No. RA00200/1  
Current Status: **Planning**

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

Activities, Hazards & Control Measures

Index | < Back | Next >

Title: GMM Risk Assessment: Class 1

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

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

1. INITIAL **Submit for Approval**  
Send this Risk Assessment for Approval

Before allowing you to submit this Risk Assessment for approval the system will perform checks to ensure that minimum information requirements have been met and the assessment is ready.

Listed below are these results of these checks:

System Check	Ready
Organisation details recorded?	✓
Location details been recorded?	✓
Risk assessment has title?	✗
Outline recorded?	✓
Risk Assessor(s) identified?	✓
At least one Approver selected?	✓
Specialist Authoriser not identified for all assessments	✓
All Activities assessed?	✓
All Activities have at least one hazard?	✓
All Hazards have at least one control measure?	✓

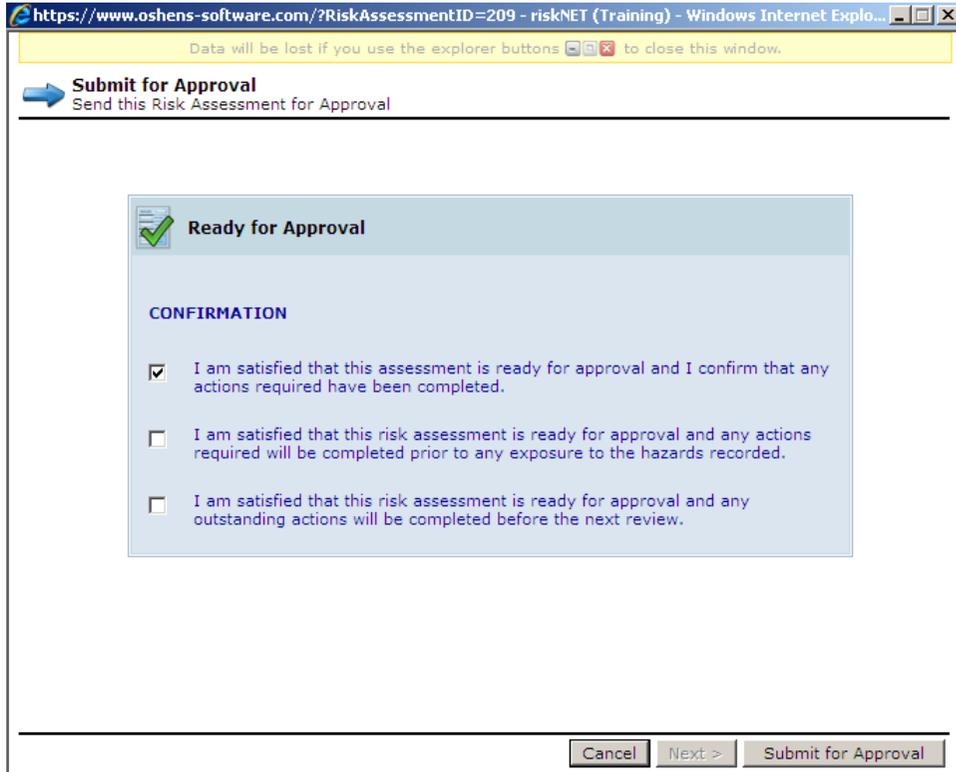
Cancel | Next > | **Submit for Approval**

# Submitting for approval/authorisation

When the checklist shows only green ticks, and you have clicked “Next” from the first page, you will then need to confirm your decision to submit for sign off choosing one of the three tick box options (see opposite).

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).

They will receive a notification by email (see opposite) informing them that the risk assessment is ready and available for Approval



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

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 Next > Submit 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  
 Assessor:ROBERT HAIGH

Please go to: [riskNET \(Training\)](#) to review and approve it.

# 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

[\* Denotes Mandatory Field]

Reference No.	RA00209/1
Current Status:	Awaiting Approval

Background | Activities, Hazards, Controls | Actions

~~Background to Assessment~~

Date Created:	16/09/2013	Confidential Risk Assessment?	<input type="checkbox"/> Yes <input checked="" type="checkbox"/> No
Assessment Start Date:	16 Sep 2013	Assessment Review or End Date:	16 Sep 2014

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

riskNET  
risk assessment 

Navigation: - [Home](#) - [Risk Assessment Options](#) [LogOut](#)

Risk Assessment Options

Please select one of the following options:

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

# 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 

Risk Assessment Search Results

Page 1 of 1

Reference		Title	Division, School, Faculty, Institute	Status	Valid From	Valid To	
<a href="#">RA00209/1</a>	<a href="#">(Preview)</a>	blah	Estates Division, Safety Services, All Groups/Units	Awaiting Approval	16/09/2013	16/09/2014	<a href="#">History</a>

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 reject 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:RA00209/1  
 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

Risk Assessment

[\* Denotes Mandatory Field]

Reference No.	RA00209/1
Current Status:	Planning

Background to Assessment

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

ASSESSMENT COMMENTS LOG		
Made By	Date	Comments
DEANS, JILLIAN	18/09/2013	Rejected: There is insufficient detail about the nature of the vector to be used
		<div style="border: 1px solid #ccc; height: 40px; width: 100%;"></div> <p>[Max chars: 1000]</p>

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.