



Learner Guide 1

Apply risk management processes

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1.1 INTRODUCTION

Welcome to this course, based on the national unit of competency **RIIRIS401A: Apply Site Risk Management System**.

The information in this unit is appropriate for those people working in supervisory or risk management roles within:

- Civil construction.
- Coal mining.
- Drilling.
- Extractive industries.
- Metalliferous mining.



The unit covers the application of the site risk management system in these industries, and includes:

- Providing information to the work group.
- Applying and monitoring participative arrangements.
- Procedures for providing training.
- Identifying hazards and assessing risks.
- Controlling risks.
- Maintaining records.

1.2 COMPLIANCE DOCUMENTATION

Risk management activities are bound by a range of compliance requirements, which will be outlined in a variety of documents.



Compliance documentation states the requirements that must be met while on all worksites.

All of these documents will be found in the site risk management system, which is based on the organisational risk management system.

The organisational system will account for all relevant legislative and regulatory requirements.

Compliance documentation could include the following:

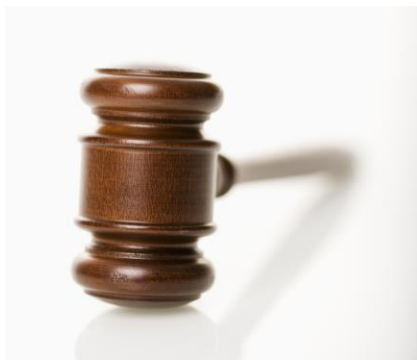
- Manufacturers' guidelines and specifications.
- Legislative requirements.
- Organisational requirements.
- Codes of practice.
- Australian standards.
- Harmonisation of Occupational Health & Safety/Work Health & Safety (OHS/WHS) legislation.
- Applying legislation.
- Wider interpretation of risk.



1.2.1 LEGISLATIVE REQUIREMENTS

Legislative requirements are detailed in OHS/WHS Acts and regulations.

Examples of legislative requirements that will apply on worksites could include employment and workplace relations, equal employment opportunity and disability and discrimination legislation.



Statutory rules and regulations may apply to different job sites, a task within a site or an entire industry or sub-industry.

As these statutory guidelines are set by government agencies, it is essential that you research and identify these requirements.

Each of the levels of government, state/territory and federal, can apply requirements to your worksite, which can affect overall business operations.

It is important you are aware of all of legislation that applies and you have fully researched what is required of you.



1.2.2 ORGANISATIONAL REQUIREMENTS



These documents could include company-wide requirements and/or site-specific procedures.

Organisations must have a commitment from management to ensure the health and safety of all persons in the workplace including employees/workers, contractors, visitors and the general public.

The OHS/WHS policy should clearly reflect this and the intent should not be ambiguous.

Each site will have specific requirements that need to be met. These individual or unique requirements will be included in your site induction.

As a supervisor or risk management specialist, you may be required to assist in the creation of these induction or site and equipment safety documents.



Organisations that are in a “Principal Contractor” role are responsible for ensuring that each sub-contractor under their supervision has adequate systems in place to maintain OHS/WHS standards.



1.2.3 MANUFACTURERS' GUIDELINES AND SPECIFICATIONS

These requirements will be documented in owner manuals, equipment specifications and operator instructions. Designers and manufacturers have a responsibility under OHS/WHs legislation to ensure that plant and equipment meets strict criteria for the safe operation and protection of workers.



1.2.4 AUSTRALIAN STANDARDS

Australian standards requirements detail how tasks should be completed.

Specific standards such as ISO 31000: 2009 Risk Management and AS/NZS 3806:2006 Compliance Programs assist in the formation of risk management strategies and plans.



1.2.5 CODES OF PRACTICE



These Codes define and provide guidance to organisations where activities containing some elements of risk are encountered.

These also provide consistency across the industry or industries so that organisations are referencing the same materials to maintain their compliance to the relevant standards.

Industry Codes of Practice (federal or state or both) must be consulted and kept up to date.

1.2.6 HARMONISATION OF WORK HEALTH & SAFETY LEGISLATION

In response to industry calls for greater national consistency, the Commonwealth, states and territories have agreed to implement nationally harmonised Work Health & Safety (WHS) legislation to commence on 1 January 2012.

While not all states and territories have actually implemented the model WHS legislation as of the start of 2012, it is important to be aware of these changes, as all states and territories will eventually implement them.



Harmonisation aims to develop consistent, reasonable and effective safety standards and protections for all Australian workers through uniform WHS laws, regulations and codes of practice.



Key Elements Of The Work Health & Safety Legislation

The following key elements of the WHS legislation will impact the way you do your job, and the responsibilities of your workplace:

- 1** There is a primary duty of care requiring **persons conducting a business or undertaking (PCBU)** to ensure, so far as is **reasonably practicable**, the health and safety of **workers** and others who may be affected by the carrying out of work.
- 2** A requirement that **officers** of corporations and unincorporated bodies exercise **due diligence** to ensure compliance.
- 3** **Workers** must exercise reasonable care that their acts or omissions do not adversely affect the health and safety of persons at a workplace.

The legislation also outlines requirements for:

- The reporting requirements for notifiable incidents.
- Licences, permits and registrations (e.g. for persons engaged in high risk work or users of certain plant or substances).
- Provision for worker consultation, participation and representation at the workplace.
- Provision for the resolution of health and safety issues.
- Protection against discrimination.



Many specific details relating to WHS will be negotiated within the workplace in accordance with the legislation.

It is important that you speak with your Health and Safety Representative or supervisor for more information on how these elements will effect your day-to-day operations, or if you have any concerns relating to health and safety.

A list of common WHS terms and their definitions can be found in Appendix 1A.

1.2.7 APPLYING COMPLIANCE DOCUMENTATION

Applying compliance documentation involves meeting the requirements and following the instructions contained in the documents.

Regulatory bodies such as WorkSafe or WorkCover will not accept “It seemed like a good idea at the time” or “I don’t know” as excuses in the event of prosecution.

Business managers and supervisors should have detailed OHS/WHS plans in place to ensure they have implemented sufficient requirements to cover their duty of care in the workplace.



Organisational and site requirements for risk management must be applied in every situation.

These requirements should be detailed in the management plans for each site and should encompass the legal responsibilities of all individuals and parties on the site.

Risk management planning should also include how a risk or hazard could impact the business in terms of the following:

Impacts on the business may include:	
Financial Obligations	For example, the cost of safety, cost of rehabilitation, workers compensation, fines, fees or charges.
Compliance Requirements	The legislation, specifications, standards and codes of practice that need to be met.
Personal Risks	This could include the reputation of the business or the people involved, the risk to the people in the organisation or the hazards caused by people.
Equipment Risks	Risks posed by the use of equipment during the completion of tasks or the risk/hazard that associated substances may cause. Site-specific policies and procedures will outline the risks, hazards and risk control measures associated with the equipment. During your initial site induction you will be introduced to the types of equipment found on the site and given full details of potential hazards and how any risks are controlled.

A wider interpretation of risk will make it easier to apply the safe work instructions, directions or methods.

1.2.8 WIDER INTERPRETATION OF RISK

Risk should not simply be limited to OHS/WHs aspects. Risk management must include contingency planning for the workplace and for business operations. It is particularly valuable to have a 'what if' system in place when determining risk. Contingency plans can then be made to manage the answers to the 'what if' question.



1.3 PROVIDE INFORMATION ON COMPLIANCE AND RISK MANAGEMENT

As a supervisor it is your task to explain the relevant compliance documentation to your work team and to provide information on the organisation's risk management policies, procedures and programs.



1.3.1 EXPLAINING COMPLIANCE DOCUMENTATION



When explaining the requirements of compliance documentation to your team, accuracy is essential.

You must give detailed and concise information to ensure the team is able to complete all tasks in accordance with site, organisational and legal requirements.

When giving information, you need to plan what you want to say before you start.

This allows you to ensure you will give the right information and communicate it in an effective way, so that everyone can understand you. Any supporting documentation should be prepared before time.

At all times you should remember:

Use language appropriate to both the information and the audience.

Style of presentation. Should you be giving the information in a written or graphic style?

Format of presentation. How is the information going to be best understood and used?

Legal and contractual obligations for information presentation. How are you going to document the information delivered?



Commonly information on worksites is presented in:

- Inductions and induction booklets.
- Reports.
- Documentation such as policies and procedures.
- Toolbox meetings.
- Pre-start meetings.

All information that is presented on the site will need to be documented, so you can show the information has been delivered to meet the legal obligations. This documentation could come from:

- Minutes of meetings.
- Copies of documents and reports.
- Attendance records and agendas from toolbox or pre-start meetings.
- Audio files and recording of the meetings.
- Other methods acceptable on site.



1.3.2 PROVIDING RISK MANAGEMENT INFORMATION

Your organisation's risk management policies, procedures and programs will outline how risk management tasks will be undertaken.

This system encompasses identifying and determining the most appropriate risk management system for your worksite.

In applying the risk management system for your site, you and your work group will:



- Identify the risks or hazards.
- Estimate the likelihood of an incident, situation or accident.
- Identify the consequences.
- Calculate the severity of the consequences.
- Calculate the cost of the consequences.
- Prioritise the identified risks – the higher the likelihood and consequence, the higher the priority.

You need to make sure that your work group understands the guiding principles and practices of risk management, which aim to reduce or manage the risks when working with a hazard or in a hazardous situation.

All staff need to recognise that the identification and control of hazards and risks is a fundamental part of keeping any workplace or situation 'safe'.



Information about risk management for your organisation and/or worksite may include:

- Risk management policy.



- Site procedures and work instructions for hazard identification, risk assessment, selection and implementing of controls.
- Site incident and accident investigation, risk audits and reporting requirements.
- Site consultative arrangements for employees/workers in the work area.
- Site hazard management and reporting procedures, including procedures and work instructions for hazardous substances use and storage, dangerous goods transport and storage.

- Policy, procedures and instructions for:
 - Site operations.
 - Emergencies and evacuations.
 - Purchasing.
 - Plant and equipment maintenance and use.
 - Site access.

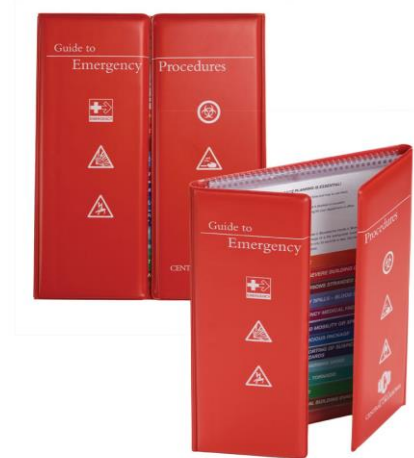


- Site fire response arrangements.
- Site OHS/WHS arrangements for on-site contractors, visitors and members of the public.
- Site First Aid provisions, medical practitioner contacts and instructions about medical attention.

Policies and procedures should be specific to the site on which you are working.

This is particularly important for those policies and procedures that deal with fire emergencies, hazard management and evacuation as well as incident and accident investigation and reporting.

At all times it is vital they reflect the practices on the site.



Programs relating to activities undertaken on the site can sometimes be managed and administrated from a distance. These include:

- Employee/worker support programs.
- Relocation programs.
- Return-to-work programs.
- Other organisational programs.

1.3.3 LEGAL RESPONSIBILITIES



OHS/WHs legislation requires employers/PCBUs to protect anyone at the workplace against any risks to their health or safety.

This is done by eliminating or reducing risks as much as is reasonably practicable.

Specific legislative requirements may also apply to employers/PCBUs in certain industry types or locations.

Legal responsibilities include:	
Employers/PCBUs should:	• Monitor the health of employees/workers to minimise risks and OHS/WHs issues. • Exchange information about OHS/WHs risks and controls with OHS/WHs representatives and employees/workers. • Work with OHS/WHs representatives and employees/workers to resolve issues within the workplace in accordance with the agreed procedure.
Employees/Workers should:	• Be represented by an OHS/WHs representative when raising OHS/WHs issues or have a defined system so that there is communication with management to resolve issues. • Follow measures put in place to protect their safety, such as using and caring for Personal Protective Equipment (PPE) or follow safe operating procedures. • Exchange information about OHS/WHs risks and controls with their employer/PCBU and OHS/WHs representative. • Work with their employer/PCBU to resolve OHS/WHs issues within the workplace in accordance with the agreed procedure.
The OHS/WHs representative should:	• Represent employees/workers in relation to health and safety issues in the workplace. • Attempt to resolve OHS/WHs issues for those employees/workers they represent.

Employers/PCBUs and employees/workers may request intervention by external parties such as authorities or inspectors when OHS/WHs issues are unable to be resolved.

1.3.4 EXPLAINING HAZARD AND RISK INFORMATION

All identified hazards and the appropriate risk assessment and control measures will need to be explained clearly to the work group.

By providing team members with the information on how to control the risks and the risk assessment outcomes, you are ensuring they are aware of what to do when they encounter the risk.



1.4 DESIGN OF RISK MANAGEMENT SYSTEMS

All risk management systems should be designed around the following factors:

- Is the business likely to be held responsible for any actions?
- Will the reputation of the business be affected?
- Is there a possibility that personal liability may occur?
- Have designers and manufacturers taken all steps practical to ensure safe plant and equipment?



- What financial impacts are possible in the event of something going wrong?
- How is the business going to cope if there is a disaster? – “What if ...”
- Will there be impacts on the business and management if legislative requirements change?
- Can management improve the systems over time?

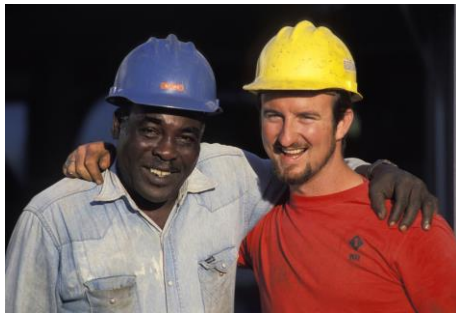
Effective mechanisms for promoting consultation and participation by all stakeholders are vital in managing risk. Consulting and working as a group will help to design a better risk management system, because everyone thinks differently and perceives different situations, equipment and items as a risk.

Where possible use committees to either create or edit the risk management system to ensure as wide an interpretation of risk and hazards as possible.

It is important for everyone on a worksite to contribute to the risk management system, as it ensures each member takes the system seriously.



1.4.1 INTERPERSONAL SKILLS



It is important for you to be able to relate to individuals and parties from a range of social, cultural and ethnic backgrounds, as well as people with diverse physical and mental abilities when working on a site.

Always treat other members of your team equally and in the manner you would want to be treated, regardless of your personal feelings about the individual.

Also be aware of how you and others communicate during the consultation process.

Messages must be presented in a manner that everyone understands so you should tailor your method of communication to the needs of your audience.

Think about their specific language needs and abilities, which can sometimes create verbal or non-verbal barriers to communication.



For workers with limited English abilities you could consider:



- Individual sessions.
- Practical demonstrations.
- Group sessions with extra time for questions.
- Holding meetings in the relevant language.
- Written translations.
- Translated safety signs.

It is important that you have a good understanding of the diverse range of backgrounds and abilities of all individuals and parties in the workplace to help with communication and consultation.

Be courteous and polite and remember that the person you are communicating with may have different meanings, understandings or social norms for communication.



1.5 IMPLEMENT CONSULTATIVE PROCESSES

Risk management works best when OHS/WHs consultative procedures are used to identify and determine the best management systems.

As a supervisor you need to conduct and monitor risk management discussions and meetings.

This will ensure participation by all members of your work group is effective and individuals, and parties aren't being pressured by particular views or people.



When facilitating consultation and participation in the risk management process, make sure you have a good mix of characteristics in your work group.

You need a variety of views to ensure each segment of the site is represented and any relevant risk management issues can be raised.

Each department or work area should have a representative.

Characteristics you should look for include:

- Willingness to participate.
- Understanding and commitment to risk management.
- Willingness to listen to other views.
- Consultative outlook.
- Commitment to site safety.
- Willingness to abide by policies and procedures.
- Risk management consultative processes could include:



Consultation Method	Process/Technique
Employee/Worker Meetings	Meetings that encourage people to raise issues are one of the best ways of developing a workplace culture that raises OHS/WHs issues as they occur. In some industries toolbox meetings are used to raise issues. Toolbox meetings are short meetings that are held to keep each person in the team aware of what is happening in the workplace.
OHS/WHs Committees	By having an OHS/WHs committee you are encouraging a greater number of people to be approachable. This allows for flexibility in how issues are raised and employees/workers can approach a person they feel comfortable with.
Low Technology Methods	These can be suggestion boxes, surveys and checklists. The option of low technology methods allows for those members of your workplace who are not comfortable with technology to raise issues.
Hazard Alerts	Alerts of hazards can be from manufacturers, suppliers or government agencies.
Informal Discussions	Can management improve the systems over time?
Discussion With Team Members	This can allow employees/workers to raise OHS/WHs issues before they become large problems.
Inputting To Safety Processes	These safety processes could include safety audits, hazard identifications and risk assessment processes.
Technology	Using technology can allow for the anonymous raising of issues if necessary.



Regardless of how risk management issues are raised within an organisation, it is important that everyone feels comfortable in having their say.

While the processes listed above are valid, they should not be considered to be the only options.

Your organisation should develop a system for raising risk management issues that meets the needs and culture of the workplace.

1.5.1 MONITORING OHS/WHS CONSULTATIVE ARRANGEMENTS



Once you have developed OHS/WHS consultative and participative arrangements, it is essential that you evaluate and monitor their effectiveness.

You need to examine how well the processes are working within the risk management system. To do this you should:

- Examine if the outcomes are what was required, wanted or expected.
- Examine how each process has worked. Was it a smooth process? What problems arose during the process?

Monitoring and evaluation of OHS/WHS consultative and participative processes must be tailored to the workplace or organisation.

Any logical and sequential system will work for monitoring and evaluation if it is documented and applied consistently across the organisation.



When determining a monitoring and evaluation system, you should be considering the:

- Culture of the organisation.
- System being monitored and evaluated.
- Timeframes available.
- Legislative and regulatory requirements.
- Reporting requirements.



The most important part of any monitoring and evaluation process is ensuring the system works for you as the risk management professional and for your organisation.

1.6 ADDRESS RISK MANAGEMENT ISSUES

Once a risk management issue has been raised, it is essential that it be dealt with promptly in accordance with organisational consultation procedures and processes.





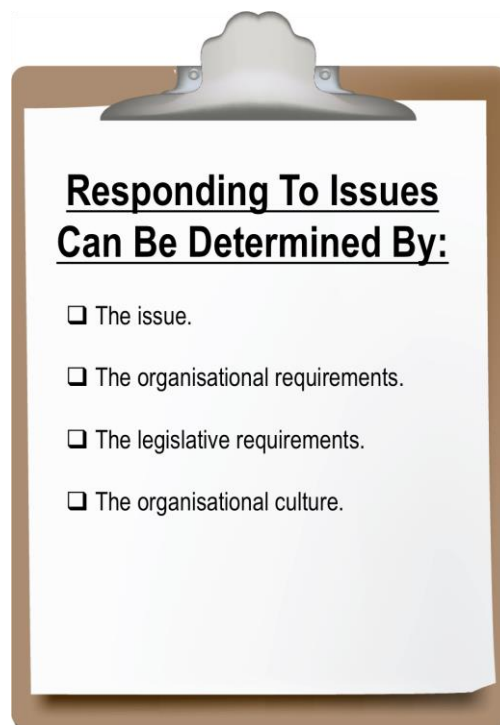
Some of the relevant processes or procedures could include:

- Involvement of employees/workers in management and planning meetings.
- Health and safety committees or emergency management committees.

- Early response to employee/worker suggestions, requests, reports and concerns put forward to management. By promptly responding to employee/worker concerns, you will be assisting to develop an organisational culture that values their interactions.
- Formal and informal meetings to discuss any further issues or developments.
- Counselling or disciplinary processes for a situation where there is an 'at-fault' employee/worker or contractor.
- Other committees, for example, planning and purchasing.



The way you respond to issues that have been raised during the consultation process will be determined by:





People involved in the consultation process who may raise risk management issues could include:

- Contractors.
 - Regulatory authorities.
 - Tenderers.
 - Project managers.
-
- Employees/workers.
 - Community members.
 - Customers.
 - Suppliers.
 - Any other individuals or parties involved in the process.



Any issue is serious and needs your full attention, but the response could vary considerably depending on the type of issue that has been raised. All contributing factors will need to be assessed to determine how they impact on the possible response.



1.7 REPORT OUTCOMES OF CONSULTATION

Once the consultation process is complete, it is essential that the outcomes are recorded and communicated to the work group.

It is a legislative requirement that any issues raised during the consultation process are responded to in some manner as quickly as possible.



When communicating to others the outcomes of the risk management consultation process it is important to use a format that is easily understood.

You must meet the needs of the information being conveyed, the organisation and the individuals or parties receiving the information.

When communicating outcomes make sure that you:

- Summarise the situation or issues that have been raised.
- Outline all the considerations.
- Explain the identified risks or hazards.
- Provide details as to how the risks or hazards will be, or are being, controlled.
- Provide information on developing problems if any have been raised.



The main methods of recording and communicating this information are presentations, summaries and written reports.



1.7.1 PRESENTATIONS

Well-designed presentations can be used in group situations and can also be put on CDs and provided to employees/workers who work different shifts or are in different locations.

You can contract a professional to create your presentation, or you can create it in-house.



When preparing a presentation yourself, there are some basic principles to keep in mind:



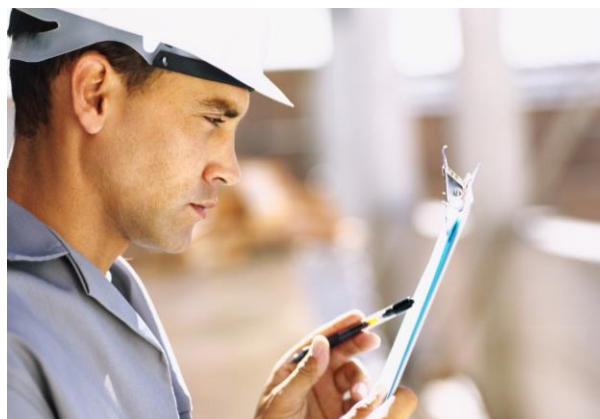
- Keep the presentation relevant and lively.
- Create notes and hand these out at the end. Inform attendees at the start that they will receive notes. This way they can stay focused on what you are saying rather than taking notes.
- Explain at the beginning how you will take and respond to questions: either as they come up, at the end of topics, or at the end of the presentation.

- Don't create overheads or PowerPoint slides that simply repeat what you are saying.
- Use graphics that illustrate what you are saying. Use any knowledge of screen design and apply this to your slides. This includes the use of appropriate colours, fonts and letter sizes to fit the audience.
- Watch the reaction of the attendees during your presentation and react by slowing down if they look confused or speeding up if they look bored.



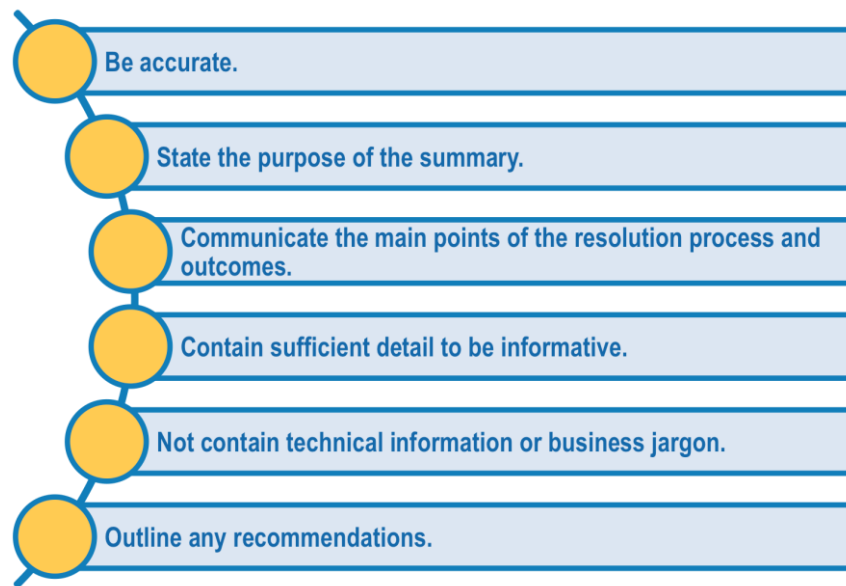
Before starting to make a presentation it is important to plan what you are going to say and how you are going to say it.

You should make your presentation in accordance with your plan but be prepared to deviate if necessary to answer questions from the audience or respond to feedback.



1.7.2 SUMMARIES

Your workplace risk management policies may require you to prepare an executive summary for senior managers. An executive summary is critical as it may be the reader's only source of information about the resolution outcomes. Your summary should:



1.7.3 WRITTEN REPORTS

You workplace may have report templates that you are required to use. If not, when reporting on consultation outcomes your report should:



- Be written in clear, easy to read, plain English.
- Be easy to understand.
- Contain complete but concise information.
- Flow in a logical order.

When you present a report it is best to use a format that ensures the findings, causes, available options and courses of action will be readily understood by your audience.

APPENDIX 1A – WORK HEALTH & SAFETY COMMON TERMS AND DEFINITIONS

Person Conducting a Business or Undertaking (PCBU)	A 'person conducting a business or undertaking' (PCBU) replaces the term 'employer'. A PCBU includes all employers, sole traders, principal contractors, unincorporated associations, partnerships and franchisees. Volunteer organisations that also employ people will be PCBUs. A PCBU's primary duty of care is to ensure the health and safety of everyone in the workplace, so far as is reasonably practicable.
Officers	An 'Officer' is a person who makes, or participates in making, decisions that affect the whole or a substantial part of a corporation. This includes Health and Safety Representatives (HSR).
Workers	'Worker' replaces the term 'employee'. It is defined broadly to mean a person who carries out work in any capacity for a PCBU. A 'worker' covers employees, contractors, sub-contractors (and their employees), labour hire employees, outworkers, apprentices, trainees, work experience students and volunteers.
Reasonably Practicable	Reasonably Practicable is defined as action that is, or was at a particular time, reasonably able to be done to help ensure health and safety based on the following factors: - Chances of the hazard or risk occurring (likelihood). - The degree of harm (consequence). - The knowledge of persons involved in the situation relating to the hazard or risk and methods of eliminating or controlling it. - The availability and suitability of ways to eliminate or control the hazard or risk. - The costs involved in taking action to eliminate or control the hazard or risk including consideration of whether the cost involved is inconsistent to the level of risk.
Due Diligence	The Work Health and Safety Act 2011 (the WHS Act 2011) imposes a specific duty on officers of corporations to exercise due diligence to ensure that the corporation meets its work health and safety obligations. In short, they have a responsibility to ensure that the PCBU is doing everything it should to ensure health and safety. The duty requires officers to be proactive in ensuring that the corporation complies with its duty. Due diligence may be demonstrated through the following courses of action: - Acquiring knowledge of health and safety issues. - Understanding operations and associated hazards and risks. - Ensuring that appropriate resources and processes are used to eliminate or minimise risks to health and safety. - Implementing processes for receiving and responding to information about incidents, hazards and risks. - Establishing and maintaining compliance processes. - Verifying the provision and use of the resources mentioned in 1-5.



Learner Guide 2

Apply Risk Management Processes

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2.1 DETERMINE THE LIKELIHOOD OF AN EVENT

Once any unresolved hazards have been identified and listed, you will need to conduct a risk assessment to determine the risk factors.

Risk assessment is the overall process of:

- Risk identification.
- Risk analysis.
- Risk evaluation.

Risk identification has been discussed earlier.



Risk analysis considers the causes, sources and levels of risks. It comprises 3 factors:

Likelihood	Has the event happened before? Is it likely to happen again?
Consequence	How severe is the outcome?
Risk Level	The combined result of likelihood and consequence.

2.1.1 WHAT IS “LIKELIHOOD”?

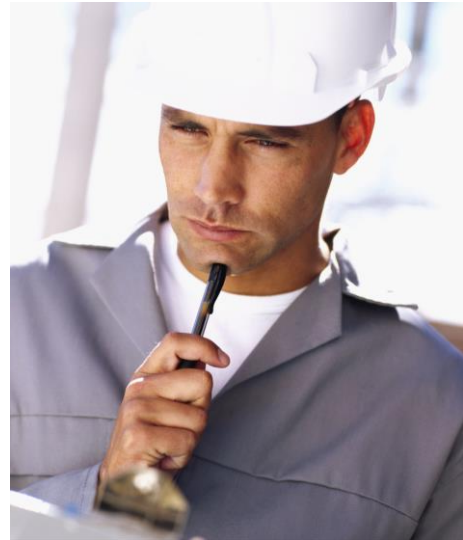
Under AS/NZS ISO 31000:2009, likelihood is now defined as “the chance of something happening”.



2.1.1.1 DETERMINING LIKELIHOOD

Typical questions to ask to determine likelihood are:

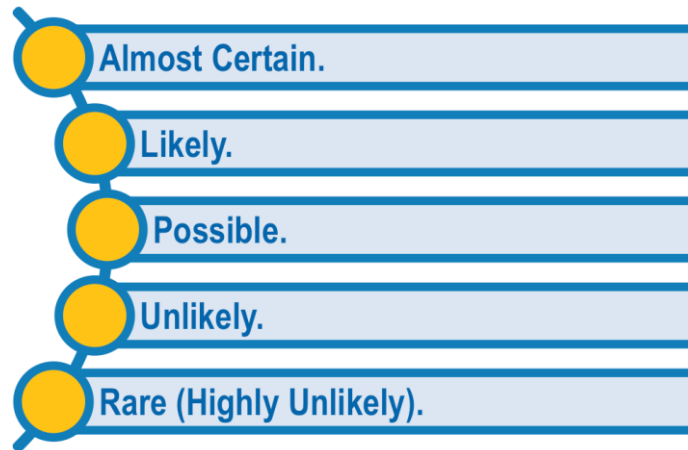
- How often does a hazard have the potential to cause harm? A risk may exist all of the time or it may only exist intermittently.
- How effective are current controls in reducing risk?
- Can risks become more likely to cause harm because of the working environment (e.g. poor lighting, exposure to weather)?
- How long might people be exposed to the harm? The longer someone is exposed to a risk, the greater the likelihood that harm may result.



- Could the way people act and behave affect the likelihood of a hazard causing harm (e.g. fatigue or stress)?
- Do the differences between individuals in the workplace make it more likely for harm to occur (e.g. new workers, older workers)?

2.1.1.2 Rates Of Likelihood

Likelihood can be rated as one of the following:



2.2 DETERMINE THE CONSEQUENCE OF AN EVENT

The next step in risk analysis is to evaluate and determine the consequence if the event should occur.



2.2.1 WHAT IS A “CONSEQUENCE”?

AS/NZS ISO 31000:2009 now defines consequence as: “the outcome of an event affecting objectives”.

The consequence or level of harm resulting from a hazard will influence decisions about how much effort is needed to control the risks.

A hazard may have the potential to cause a range of different types of harm, ranging from minor discomfort to a serious disabling illness or injury, or death.

The possible levels of harm need to be understood.



2.2.1.1 DETERMINING CONSEQUENCES

You need to consider the following factors when evaluating and determining the consequence if the event should occur:

- What harm can occur? Could the hazard cause death, serious injuries, illness or less serious harm, such as minor injuries requiring first aid?
- What factors could influence the severity of an injury? For example, the distance someone might fall or the concentration of a particular substance will determine the level of harm that is possible. The harm may occur immediately (e.g. injury from



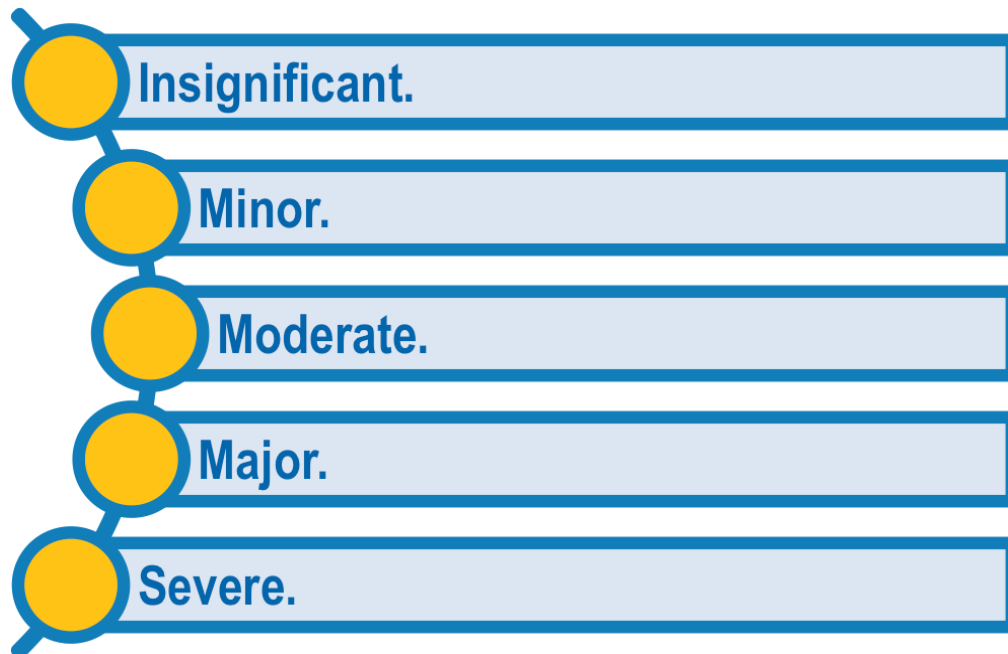
a fall) or it may take time for it to become apparent (e.g. illness from long term exposure to a substance).



- How many people could be harmed? If something goes wrong, is one person affected or are many people affected? For example, a mobile crane collapse on a busy construction site has the potential to kill or injure a large number of people.
- Are there circumstances that could magnify the severity of an injury or incident? When assessing how things may go wrong, look more broadly than the immediate effects. Can one event cause other events? For example, failure of electrical supply can cause risk controls that rely on electricity in the workplace to become ineffective unless they are 'fail safe'.

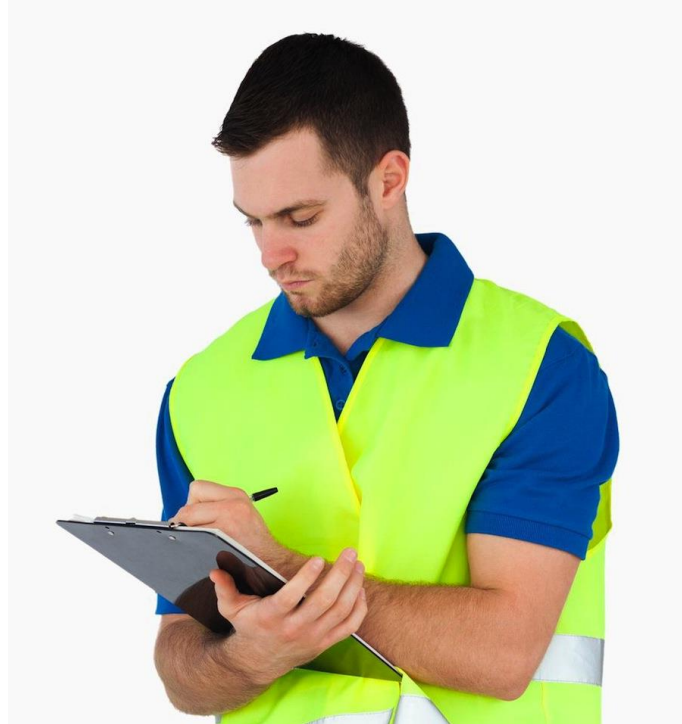
2.2.1.2 RATES OF CONSEQUENCES

Consequences may be rated as:



2.3 DETERMINE THE RISK LEVEL

The next step is to analyse the risk, i.e. determine the risk level posed by the hazard. The risk level is the combination of likelihood and consequence.



Using a table similar to the one below can help you analyse how high the risk level is, and how soon you need to act to remove the hazard or control it to an acceptable level of risk:

LIKELIHOOD	CONSEQUENCE				
	Insignificant	Minor First Aid Required	Moderate Medical Attention and Time Off Work	Major Long Term Illness or Serious Injury	Severe Kill or Cause Permanent Disability or Illness
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	H	H	VH
Unlikely	L	L	M	M	H
Rare	L	L	M	M	M



For any risk, there may be a number of different likelihood/consequence scenarios ranging from “likely but minor” to “less likely but major”.

It is important to rate the realistic worst-case scenario, which is the worst-case level of risk considering both consequences and likelihood.

Where there are multiple ratings for a risk, the highest combination of

consequence/likelihood is taken as the final rating.

If the likelihood that anyone will be exposed to a situation under all possible scenarios is zero, then there is no risk and no additional risk control measures are required.

One method of analysing risks is to use a Risk Analysis Matrix. Record the risk rating for each hazard you have identified.



To construct a matrix, you can:



- Establish a specialist risk analysis team.
- Obtain expert or specialist advice.
- Brainstorm within the workplace, particularly with employees/workers, health & safety representatives and OHS/WHS committee members – they are often a valuable source of information and experience.

Your state or territory work safety authority can assist with guidelines and forms for analysing risks.

2.4 Identify Risk Evaluation Criteria

Once the level of risk has been determined, the next step is to identify or source the criteria for determining the acceptability/unacceptability of the risk.



2.4.1 SOURCES OF RISK EVALUATION CRITERIA

Criteria for the acceptability/unacceptability of the risk are determined by the organisation with reference to relevant legislation and are detailed in:

- Internal policy.
- Workplace goals and/or objectives.
- Regulations.
- Codes of practice for specific risks/hazards.



Some hazards such as noise and atmospheric contaminants may require measurement to decide if further action is required.



Regulations and codes of practice for specific risks and hazards usually state measurements to determine unacceptable levels of risk, e.g. decibel levels, contaminant levels.

If you are still uncertain about risks and do not have enough information, or are uncertain about the degree of exposure, you should:

- Obtain more information by speaking with your supervisor, the OHS/WHS officer or other appropriate person.
- Apply good practice to minimise exposure until more information is available.
- Obtain specialist advice if necessary.

2.5 EVALUATE THE RISK

The final step in the risk analysis process is to evaluate the risk against criteria to identify if it warrants 'unacceptable risk' status.

Risk evaluation is based upon the outcomes and results of the risk analysis.

It involves making decisions about which risks need to be treated, and the order in which they should be treated.





Risk evaluation should take into consideration the:

- Context of the risks in relation to the organisation and the worksite.
- Relevant laws and regulations.
- Other policies, procedures and requirements.
- The table below is a useful tool in risk evaluation:

RISK LEVEL	ACTION
VERY HIGH	<u>Act immediately:</u> The proposed task or process activity must not proceed. Steps must be taken to lower the risk level to as low as reasonably practicable using the hierarchy of risk controls.
HIGH	<u>Act today:</u> The proposed activity can only proceed, provided that: 1. The risk level has been reduced to as low as reasonably practicable using the hierarchy of risk controls. 2. The risk controls must include those identified in legislation, Australian Standards, Codes of Practice etc. 3. The risk assessment has been reviewed and approved by the Supervisor. 4. A Safe Working Procedure or Safe Work Method has been prepared. 5. The supervisor must review and document the effectiveness of the implemented risk controls.
MEDIUM	<u>Act this week:</u> The proposed task or process can proceed, provided that: 1. The risk level has been reduced to as low as reasonably practicable using the hierarchy of risk controls. 2. The risk assessment has been reviewed and approved by the Supervisor. 3. A Safe Working Procedure or Safe Work Method has been prepared.
LOW	<u>Act this month:</u> Managed by local documented routine procedures, which must include application of the hierarchy of controls.

Any task with a Very High risk level is unacceptable and must not be carried out.

2.5.1 DETERMINING POSSIBLE ACTIONS

The possible conclusions you might draw from your risk analysis process and the actions you might take are:

1. **Risks are not significant now and are not likely to increase in future.**
 - End the current assessment and record the assessment details.
 - Review the assessment if the situation changes, or review it in 2 years.



2. Risks are significant but already effectively controlled.

- Determine the precautions necessary to maintain controls and minimise the chances of higher exposure occurring.
- Determine if monitoring or health surveillance is required to check the effectiveness of controls.
- Review the assessment if the situation changes, or review it in 2 years.



3. Risks are significant now, and are not adequately controlled.



- Identify and implement immediate measures for preventing or controlling exposure.
- Consider stopping the process.
- Commence a review of longer-term control requirements.
- Re-evaluate exposures when the upgraded control measures are in place.
- Determine if monitoring or health surveillance

is required.

Your findings should then be referred to the appropriate person in your organisation who has responsibility for managing OHS/WHS.





Learner Guide 3

Apply risk management processes

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3.1 IDENTIFY THE RANGE OF CONTROLS



Once risks have been identified, analysed and evaluated, control options need to be considered and applied.

Risk control involves selecting one or more options to modify a risk, and then implementing the selected options.

Once an option has been implemented it can be referred to as a control.

Controls should be recorded in line with organisational policies and procedures and the applicable standard.

Arriving at appropriate controls to eliminate or minimise the risk involves:

- Identifying the options for controls – a control option may be a single control or it may be made up of a number of different controls that together provide protection against a risk.
- Considering the control options and selecting a suitable option that most effectively eliminates or reduces risk in the circumstances.
- Implementing the selected option.



Note: Mandatory controls outlined in the OHS/WHS regulations must be implemented as specified.

3.1.1 HIERARCHY OF HAZARD CONTROL



Hazard and risk controls may include option types ranked in order from the highest level of protection and reliability to the lowest.

This is known as the Hierarchy of Hazard Control, which is a range of control methods used to eliminate or control hazards and risks in the workplace.

The hierarchy has 6 levels:



The most effective form of control is to eliminate the risk, e.g. by eliminating a particular chemical or process. If that is not reasonably practicable you need to identify other effective measures to reduce the risk.

Administrative controls and PPE are the least effective controls.



3.2 CONSIDER CONTROL OPTIONS

When considering which options to adopt for dealing with risks, at first all possible options should be identified. A brainstorming session with the work group is one method you can use.



You may need to conduct some research to identify the possible options for dealing with particular risks. Information about controls may be obtained from:

- State or territory Compliance Codes and guidance material.
- Industry associations.
- Unions.
- Manufacturers and suppliers of plant, substances and equipment used in your workplace.



In some cases, published information will provide guidance to whole work processes. In other cases, the guidance may relate to individual items of plant or how to safely use specific substances.

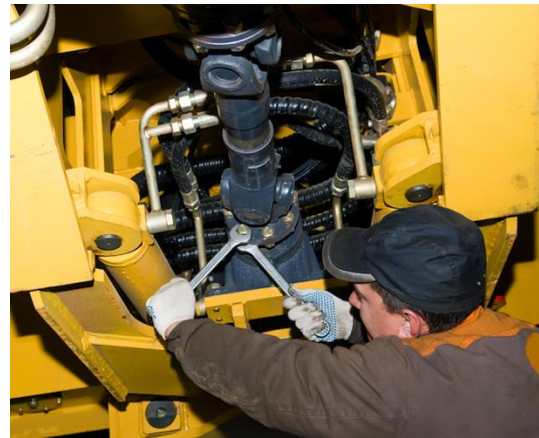
The options can be implemented if they are appropriate to the situation and provide high levels of protection from the risk.

You should list the options in the order of the Hierarchy of Control.

1. Elimination

Where no hazard exists, no risk of injury or illness exists. A hazard can be eliminated if it is not really necessary to the delivery of the end product or service. For example:

- Repair damaged equipment promptly.
- Remove trip hazards in a cluttered corridor.
- Dispose of unwanted chemicals.
- Eliminate hazardous plant or processes.



If it is not possible to eliminate the hazards or all of the risks, steps need to be taken to reduce the likelihood or degree of harm of the hazards and risks that remain.



2. Substitution

If it is not possible to eliminate the hazard, substitute it with something – preferably of a lesser risk – which will still perform the same task in a satisfactory manner.

For example:



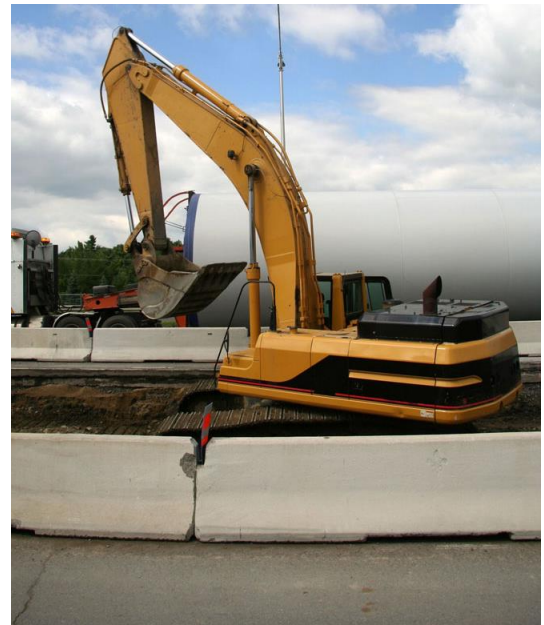
- Substitute manual handling for appropriate plant and equipment to move materials.
- Substitute a hazardous chemical with a less dangerous one.

3. Isolation

Isolate the problem from staff. This is often done by using separate, purpose-built rooms, barricades, or sound barriers. This moves the hazardous process away from the main work area to a site where emissions can be controlled.

For example:

- Isolate and store chemicals properly by using a fume cupboard.
- Isolate copying equipment and other machinery in soundproof rooms to reduce fumes and noise.
- Use security measures to protect staff.
- Incorporate appropriate exclusion zones when operating plant and machinery.



4. Engineering Controls



Redesign equipment, work processes or tools to reduce or eliminate the risk.

For example:

- Ensure proper machine guarding is in place.

- Use anti-glare screens on computer VDUs.
- Use mechanical aids to minimise manual handling injuries.
- Use wetting down techniques to minimise dust levels.
- Change bench heights to reduce bending.
- Redesign plant to reduce noise levels.
- Install forced ventilation to remove vapours.



5. & 6. Administrative Controls And PPE

These controls are a 'back-up' to the other categories. They should not be relied upon as the primary method to control risk – until all higher-level options have been exhausted.

On its own, each of these methods of risk reduction is unreliable because it relies on people acting as expected. However, in combination with more effective controls, they can be used to further reduce risk.



Sometimes 'back-up' controls should be used as the initial control phase while elimination or minimisation are being evaluated and applied. For example:

Administrative controls such as:

- Training.
- Job rotation.
- Redesigning of jobs.
- Maintenance of plant and equipment.
- Limitation of exposure time.
- Provision of written work procedures.
- PPE – should only be used as a last resort or in conjunction with other control methods.



It is important to consider all of the options available when deciding on the best course of action. Not all options are feasible or possible under the circumstances.

You may need to use a number of control measures together to reduce the risk to an acceptable level.

The risk control plan should clearly identify the order in which to implement the individual risk controls.

3.3 IDENTIFY FEASIBLE OPTIONS

Once all options have been listed, the next step is to analyse them to see which ones are feasible.

A feasible control option must be:

Available	▶ Must be available to be purchased. ▶ i.e. it or its parts can be purchased, made to suit or be put in place.
Suitable	▶ Must be suitable for the circumstances in the workplace. ▶ i.e. it will work properly given the workplace conditions, work process and the people who do the work, and have the least impact on the delivery of goods or services.
Highest Level	▶ Must provide the highest level of protection for the people and is the most reliable. ▶ i.e. controls that are towards the top of the hierarchy.

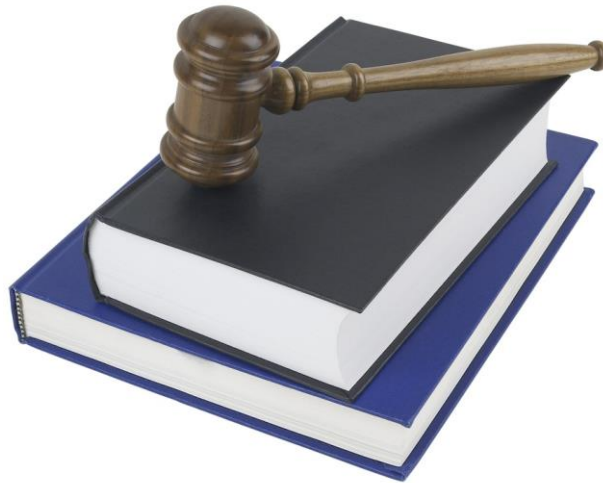
When deciding which types of control measure are feasible, you should consider the severity of injury, illness or disease that could occur.

If the severity is high (fatality, serious injury), a higher hierarchy order of control (elimination, substitution, engineering controls, isolation) should be used.

Where there are options for control, those that have the most impact on the likelihood and/or the degree of harm (e.g. elimination) should be implemented in preference to options that have lesser impacts.



The OHS/WHS legislation specifies that you must not depend solely on the use of administrative controls or PPE to reduce the risk unless you have established that the higher level, more effective, controls are not practicable.



Where the hazard or risk has the potential to cause high levels of harm (e.g. death, serious injury or serious illness), more emphasis should be given to those controls that eliminate or reduce the level of harm, than those that reduce likelihood.

Controls must provide the highest level of protection that is reasonably practicable in the circumstances.

3.4 ANALYSE OPTIONS AND IDENTIFY RESOURCES

Once you have reduced the list of control options to those that are feasible, you will need to analyse each option to identify what resources are required for their implementation.

Resources may include:

- People (from within the organisation, contractors and external agencies) – human resources will be required to:
 - Provide advice.
 - Carry out physical modifications to plant or buildings.
 - Conduct staff training.



- Environmental/physical resources can include:
 - Traffic control.
 - New or different plant and equipment.
 - Buildings and facilities.
 - Barriers, fencing and signs.
 - PPE.

- Finance – financial implications of implementing the control options must be calculated, however cost is never a reason in itself for not implementing a control option.
- Technology.
- Information.



3.4.1 COSTS

Inability to afford the cost of a particular control option is not a factor in determining what is reasonably practicable.

The legislation expects a duty-holder to incur the cost of controls widely adopted in that particular type of enterprise.



For example, in a spray painting workshop, the provision of canister respirators for workers involved with spraying isocyanate paints is an accepted means of controlling the risks that remain after engineering controls are implemented.

A duty-holder who provides gauze masks because canister respirators are too costly will not be doing what is reasonably practicable to control the risk.

The cost of providing the highest level of protection should be borne unless it is unreasonable in the circumstances to do so.

A decision not to implement controls should only be made where the cost far outweighs the safety benefits that will be achieved.



If two control strategies will result in the same levels of protection for people and have the same reliability, it is appropriate to adopt the least costly option.

Cost should not be used as a reason for adopting controls that rely exclusively on changing people's behaviour or actions when there are controls available that can change the risk through elimination, substitution, engineering or isolation.



3.5 SELECT THE MOST APPROPRIATE CONTROL



Selecting the most appropriate hazard/risk control involves balancing the costs and efforts of implementation against the benefits derived.

Essential things to consider are the legal, regulatory and other requirements such as social responsibility and the protection of the natural environment.

Decisions should also take into account risks whose control is not justifiable on economic grounds, e.g. severe (high negative consequence) but rare (low likelihood) risks.

Under the OHS/WHS legislation you are required to introduce treatments or control measures to eliminate the risk, or if that is not possible, to reduce the risk so far as is reasonably practicable.

The term "reasonably practicable" has a particular meaning under the OHS/WHS legislation. It means practicable with regard to:

- The likelihood or probability of a person being exposed to harm.
- The potential seriousness of injury or harm that would result.
- What the person concerned knows, or should reasonably know, about the hazard or risk and any ways of eliminating or reducing that hazard or risk.
- The availability and suitability of ways to eliminate or reduce the hazard or risk.
- The cost of eliminating or reducing the hazard or risk.



You must be able to show consideration of all the above factors in selecting the most appropriate control with regard to the legislation and the organisation.



3.6 PLAN THE SELECTED CONTROL

After decisions have been made about the most appropriate hazard/risk controls, you will need to take an organised and managed approach to ensure that they are put in place.



Good organisational or business management practice should be followed. These include:

- Developing plans, including timelines and resource requirements.
- Applying the appropriate resources and infrastructure context and language.
- Allocating a budget.



- Assigning responsibility and accountability for the various steps in the plan, including for resolving problems and issues during the planned work.
- Monitoring and reporting on the progress of the work.
- Testing the controls once they are put in place.



The formality of the control plan and the extent of it will need to match the organisation and the extent of work to be done.

The plan should be developed in consultation with the relevant managers, health & safety representatives and employees/workers.

Those people who have been allocated responsibility for implementing actions should be adequately briefed on the expectations.

You need to make sure progress towards implementing the plan is monitored with enough lead time to take any corrective actions necessary to complete the plan on time.

If you discover a need for corrective action, document it in its own implementation plan in the same way as you have done for the overall plan.



3.6.1 APPLYING PROBLEM-SOLVING SKILLS

Problems and issues with technical resources and infrastructure may arise from time to time. In dealing with any problems you should adopt a basic diagnostic process of:

1. Stating and clarifying the problem.

2. Identifying the cause(s) of the problem.

3. Investigating possible solutions and their effect.

4. Selecting the best alternative.

As noted above, your implementation plan should assign responsibility and accountability for resolving problems and issues during the planned work.



3.6.2 USING APPROPRIATE LANGUAGE

Implementing risk management involves a new way of thinking and a new language.

It is important to use precise, common terminology to ensure the effective communication and unambiguous description of the risks and controls within each area and across the whole of the organisation.

Most state/territory risk assessment guides include a glossary of common terms, e.g. www.vmia.vic.gov.au.



3.7 GAIN AUTHORISATION FOR SELECTED CONTROL



Before implementing the control plan you have selected it must be authorised by the appropriate manager or supervisor (or a competent person who has been delegated the authority to do this).

This means it will have to be reported and documented in accordance with site requirements.

A report on the risk assessment process and recommended outcomes should be prepared and submitted to the manager for endorsement of the recommended controls.

In some cases, OHS/WHS regulations will require certain records to be kept and this must be done.

3.7.1 WRITING REPORTS

A report is a write-up of an investigation and sets out:

- Why the investigation took place.
- How it was carried out.
- What the findings were.
- What actions are recommended.

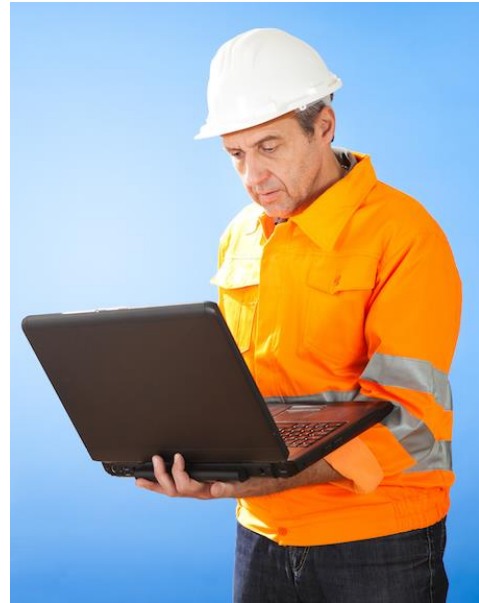
A report aims to convey information in a clear and concise manner. Sections should be headed and numbered for easy location of information.



3.7.2 REPORTING ON THE CONTROL PLAN

Your report should comply with site requirements for document control and might include the following information:

1. Why the Risk Assessment is being carried out.
2. All the actual and potential hazards in the workplace.
3. The measures that are already in place to control risks.
4. Risk rating for each hazard using the Risk Evaluation table, giving them a priority of VERY HIGH, HIGH, MEDIUM or LOW. Address extreme risks first, followed by high risks, medium risks and finally low risks.



5. The measures recommended to control the hazard. You can use one, or a combination of controls.
6. A copy of the implementation plan.
7. Additional comments that:
 - Clarify or explain the risk rating or controls proposed.
 - Outline any special monitoring or other arrangements that will accompany any of the control measures.
 - Highlight any special feature or characteristic of the hazard.
 - Aid the implementation of the controls.
8. Your signature and the date of the report.

3.8 DOCUMENT AND REVIEW CONTROLS



Once the risk assessment process is concluded, it will be necessary to document and review the selected controls in accordance with site working instructions (or equivalent) for the job to ensure they are in line with the new or modified controls.

They must also comply with the organisational and site safety documentation.

3.8.1 OPERATIONAL INFORMATION AND PROCEDURES

Work instructions set out the steps the worker needs to follow to interpret and complete a task correctly and safely.

The relevant operational information will cover site working instructions which may include:

- Applicable Commonwealth/state/territory legislation and codes of practice relating to the industry, dangerous and hazardous goods, environmental protection and safety and health.



- Materials Safety Data Sheets (MSDS).
- Worksite safety management systems.
- Manufacturers' documentation and handbooks.
- Workplace Safe Operating Procedures (SOPs) and policies.
- Emergency procedures.
- Safety alerts.

3.8.2 PROCEDURAL DOCUMENTATION

There are a number of different procedural documents that may be used on site, which may include:

- Job Safety Analysis (JSA).
- Job Safety and Environmental Analysis (JSEA).
- Job Hazard Analysis (JHA).
- Safe Work Method Statement (SWMS).
- Work Method Statement (WMS).



Generally, all of these documents require you to carry out the same process and are used to identify hazards and treatments relating to different tasks or pieces of plant or equipment.

In some cases these documents will already exist for the work you are required to complete. In other situations you may need to be involved in the creation of these documents.

As a guide, these procedural documents are generally used where:

- Hazards relating to the work have been identified.
- Non-routine work is to be carried out.
- New plant or equipment is being used.
- Previously the task may have resulted in some damage or injury.
- Where there is an intrinsic risk involved in carrying out the task (e.g. work at heights, confined spaces, electrical work).



Depending on which specific form is being used on site there may be variations of layout and sequence, but they should all include the following details:

- 1** Title or description of the job being carried out.
- 2** The plant or equipment required for the job, including PPE.
- 3** The workers who will be involved in carrying out the job.
- 4** A description of each step in the task, in sequence from start to finish.
- 5** Any hazards that may occur or are related to each step in the task (or to the task as a whole).
- 6** The hazard controls/treatments that will be used to eliminate or minimise the hazards.
- 7** The risk level associated with each hazard (sometimes listed before the hazard control and after as well).
- 8** The workers responsible for maintaining the hazard controls throughout the job.
- 9** Signoff from all workers to be carrying out the work and a supervisor who is responsible for the task and workers.

3.8.3 PREPARING AND TESTING WORK INSTRUCTIONS

All relevant sources of operational information will need to be researched and analysed for content that can be applied to work procedures and processes.

Preparation of work instructions should not be a one-off activity, but should be ongoing and part of the process of continuous improvement.



3.8.4 REVIEWING WORK INSTRUCTIONS



Work instructions should be reviewed as part of standard safety management practice.

They will need to reflect any new or modified equipment, processes or procedures adopted as a result of the risk assessment process.

They should also be reviewed if there is a reason to suspect that the procedures are no longer appropriate or valid, for instance:

- After an accident, incident or near miss.
- When there is a change in the work process.
- Significant new information or techniques become available.



3.9 APPLY PROCEDURES TO CONTROL RECOGNISED HAZARDS



Once the control measure has been chosen, planned for and approved, it is time to implement the procedures to control the recognised hazards.

It is extremely important that all procedures are applied correctly and according to organisational policies – and in line with the reviewed work instructions.

If you have any concerns or questions about the application of procedures in your workplace, talk to your manager.

The method of applying procedures will be different for each workplace so it is important that you are aware of your organisation's requirements.

Depending on the control measures that are being used, the application of procedures could include:

- Communicating the updated procedure and relevant information to workers.
- Implementing new processes for work tasks.
- Purchasing new equipment or plant.
- Conducting training.
- Communicate Control Information



Information on the control and its implementation will need to be communicated to the relevant people.

All personnel/workers involved in the steps to control hazards and risks must have the necessary information and skills to contribute.

This may mean providing briefings on the approach adopted for the workplace or it may mean providing training.

You can promote the proposed risk management process throughout the organisation by:

- Conducting information sessions for managers, supervisors, unions and employees/workers.
- Establishing appropriate forums (e.g. Working Party, Steering Committee, etc.) specifically responsible for the development and implementation of the control.
- Tabling reports at workplace OHS/WHS committee meetings as part of an effective Safety Management System.
- Making information available to all staff who work in the relevant area.



Effective communication is crucial to the success of the program. Hazard controls are more effective where procedures are communicated in appropriate language, and signs and symbols are used.



Communications can take many forms depending upon the audience and the information, and may include:

- Face to face.
- In writing.
- By telephone or other electronic means.
- Formal.
- Informal.

3.10.1 APPLYING COMMUNICATION SKILLS

Effective communication skills will help you to get your message across and build confidence and commitment to the program.

Express Yourself Clearly

- Focus on the objective – think about what you say before you say it.
- Speak clearly and concisely – don't waffle or speak in generalisations.



- Actively Listen
- This means you listen with the intention to hear and grasp what someone is trying to communicate.
- Keep an open mind and open ears.
- Always give your undivided attention to the current speaker.

- Show that you are interested in what is being said by:
 - Making eye contact.
 - Asking questions when appropriate.
 - Not rushing, interrupting, or finishing the speaker's sentences.
 - Watch your body language – the following are signs that you don't care what the person is saying:
 - Too much fidgeting.
 - Tapping your pen or fingers.
 - Eye rolling and making faces.



Give And Seek Feedback

- Be assertive – express your personal feelings about any issues – your colleagues deserve honest feedback.
- Specify why you agree or disagree – be descriptive and tactful.
- Give positive feedback – everyone appreciates positive reinforcement.
- Ask others for their feedback.



3.11 REVIEW WORK INSTRUCTIONS FOR COMPLIANCE

Work instructions should be monitored and reviewed to make sure they are in line with compliance documentation and site requirements.

Maintaining effective procedures and controls to comply with changed legislative requirements and site operating conditions requires a number of things to be put in place.



The following elements are necessary to maintain effective controls over time:

- Regular consultation – risk controls are more effective where there is initial and ongoing consultation with employees/workers and safety representatives.
- Allocated accountability for health and safety – accountability must be clearly allocated at various levels of management to ensure procedures are followed and maintained.
- Up-to-date hazard information and risk assessments – information about hazards, e.g. plant and substances, may be updated by manufacturers and suppliers from time to time. This needs to be checked to make sure controls are still relevant.
- Changes to operating conditions or the way activities are carried out may also mean that risk assessments need to be updated.
- An important step in effective risk management is to establish and maintain systems which allow the opportunity for regular evaluation and review procedures.



Evaluation means examining control measures, including work instructions, to ensure risks are eliminated or reduced and have not caused new hazards presenting unacceptable risk.

3.12 ACTION AMENDMENTS TO WORK INSTRUCTIONS

After the risk control plan has been authorised and work instructions have been reviewed, you may find that some amendments are necessary.

You need to ensure a system is in place to make these amendments so that all tasks and activities still comply with worksite safety documentation.

This will also mean that all workers can be clear about what is now expected and that they have the skills to carry out amended instructions.



Large organisations may have many hazardous processes, large numbers of staff and layers of management.

Establishing formal processes will ensure consistency and certainty of results. This generally includes protocols for authorisation and document control.

For smaller organisations that do not have high risk processes, less formal approaches may be used that rely on a minimum set of procedures

and documentation.

3.12.1 APPLYING AMENDED WORK INSTRUCTIONS

All personnel/workers must have the necessary skills to apply the work instructions for their various activities and tasks.

Changes in requirements and/or procedures may mean that you need to:



APPENDIX 3A – RISK MANAGEMENT RECORD

Company Name:	Form Completed By:	Date of Inspection:
Site:	Address:	Contact Phone Number:

1. Identified Hazard	Hazard Type:
2. Hazard Details	Description of Hazard:

LIKELIHOOD	CONSEQUENCE				
	Insignificant	Minor First Aid Required	Moderate Medical Attention and Time Off Work	Major Long Term Illness or Serious Injury	Severe Kill or Cause Permanent Disability or Illness
Almost Certain	M	H	H	VH	VH
Likely	M	M	H	H	VH
Possible	L	M	H	H	VH
Unlikely	L	L	M	M	H
Rare	L	L	M	M	M

RISK LEVEL	ACTION		
VERY HIGH	<u>Act immediately:</u> The proposed task or process activity must not proceed. Steps must be taken to lower the risk level to as low as reasonably practicable using the hierarchy of risk controls.		
HIGH	<u>Act today:</u> The proposed activity can only proceed, provided that: 1. The risk level has been reduced to as low as reasonably practicable using the hierarchy of risk control. 2. The risk controls must include those identified in legislation, Australian Standards, Codes of Practice etc. 3. The risk assessment has been reviewed and approved by the Supervisor. 4. A Safe Working Procedure or Safe Work Method has been prepared. 5. The supervisor must review and document the effectiveness of the implemented risk controls.		
MEDIUM	<u>Act this week:</u> The proposed task or process can proceed, provided that: 1. The risk level has been reduced to as low as reasonably practicable using the hierarchy of risk controls. 2. The risk assessment has been reviewed and approved by the Supervisor. 3. A Safe Working Procedure or Safe Work Method has been prepared.		
LOW	<u>Act this month:</u> Managed by local documented routine procedures, which must include application of the hierarchy of controls.		
3. Risk Assessment	Risk Likelihood Level:	Risk Consequence Level:	Risk Level:
	Is there an existing safety system or procedure that deals with this hazard? Yes / No Details:		

4. Control Strategies	Intended Control Strategy Details	Resources Required	Costing	Feasible?
	Elimination			
	Substitution			
	Isolation			
	Engineering			
	Safe Work Practices			
	PPE			

5. Action Plan	Has a plan for the implementation of the control strategy been completed?	
	Have the required resources been obtained?	
	Does the implementation meet the requirements of workplace policies and procedures?	
	What is the intended date of implementation?	____/____/____
	Who is responsible for implementing the control strategy?	
	Date of review of action taken:	____/____/____
6. Review	Date of Review:	____/____/____
	Review completed by:	
	Has the hazard control been successfully implemented?	
	New risk level:	
	Is this risk level acceptable?	
	Further action required?	