



WORKPLACE RISK ASSESSMENT AND RISK REGISTER

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Contents **Policy Statement** Workplace Risk Assessment and Risk Register Policy Statement

Guideline Workplace Risk Assessment and Risk Register Guidelines

Attachment A1: Workplace Risk Assessment - Form 141

A2: Risk Register template - Form 252

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Summary The Work Health and Safety (WHS) Act 2011 and Regulation 2011, requires NSW Ambulance to implement a risk management process, which involve hazard identification, risk assessment, and risk elimination or control. NSW Ambulance policy is that all workers have a duty to report any matter that may be a risk to health and safety at work. NSW Ambulance supports the right of its workers to raise such issues via their line manager, work health and safety committee (WHSC) or health and safety representative (HSR).

A new Workplace Risk Assessment Form 141 and standardised Risk Register supported by policy and procedures, has been introduced to provide a system within NSW Ambulance to meet these legislative requirements.

Applies to All NSW Ambulance staff including paramedics, patient transport officers, control centre staff, doctors, nurses, volunteers, and corporate staff

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Previous Reference IC03/19 (ERU 6.58) and IC02/26 (ERU 6.53)

Status Active

Approved by Chief Executive

Related Documents Safe Work Australia Code of Practice - How to manage Work Health and Safety risks

Revision History

Version (Circular #)	Amendment notes
23 April 2014 (SOP2014-005)	Endorsed by Chief Executive. This policy replaces IC02/26 (ERU 6.53) and IC03/19 (ERU 6.58)
16 June 2003 IC03/19 (ERU 6.58)	Endorsed by Chief Executive Officer
8 October 2002 IC02/26 (ERU 6.53)	Endorsed by Acting Chief Executive Officer

Compliance with this policy directive is mandatory



Workplace Risk Assessment and Risk Register Policy Statement

NSW Ambulance has the primary duty to provide a workplace that is safe and without risk of injury or illness for its workers and any others who may be affected by NSW Ambulance operations.

The Work Health and Safety (WHS) Act 2011 and Regulation 2011, requires NSW Ambulance to implement a risk management process that involves hazard identification, risk assessment, and risk elimination or control. It is NSW Ambulance policy that workers have a duty to report to NSW Ambulance any matter that may be a risk to workplace health and safety. Such a report should be made through their line manager, WHSC or HSR.

A new Workplace Risk Assessment Form 141 and standardised Risk Register supported by policy and procedures, have been introduced to provide a system within NSW Ambulance to meet these legislative requirements.

The procedures include:

- practical instructions to help managers and supervisors carry out workplace risk assessments and enable them to maintain and manage their local risk register;
- a new Workplace Risk Assessment Form 141 designed in accordance with Risk Management - Principles and Guidelines AS/NZ ISO 31000:2009 and the current WHS legislation that helps managers and supervisors to follow the risk management process to identify hazards, assess risks, and control risks; and
- a template for a standardised risk register designed in consultation with workers, to allow more comprehensive compliance with the WHS Act.

If you have any further enquiries, please contact WHS Manager, Risk and Workplace Safety, Operational Support - email: safety@ambulance.nsw.gov.au



Workplace Risk Assessment and Risk Register Guidelines

Definitions

Hazard

A situation or thing that has the potential to harm a person. Hazards at work may include noisy machinery, a moving forklift, chemicals, electricity, working at heights, a repetitive job, bullying and violence at the workplace.

Risk

The possibility that harm (death, injury or illness) might occur when exposed to a hazard.

Risk control

Taking action to eliminate health and safety risks so far as is reasonably practicable, and if that is not possible, minimising the risks so far as is reasonably practicable. Eliminating a hazard will also eliminate any risks associated with that hazard.

Legislation

NSW Ambulance must ensure, so far as is reasonably practicable, the health and safety of workers engaged, or caused to be engaged by NSW Ambulance and workers whose activities are influenced or directed by NSW Ambulance while at work. These requirements are contained in Section 19 and 28 of the Work Health and Safety (WHS) Act 2011. In addition, NSW Ambulance must adopt a risk management approach to WHS and identify hazards, assess the risks arising from those hazards, and eliminate or control these risks.

Section 28 of the WHS Act 2011 requires all workers to co-operate with NSW Ambulance on matters pertaining to WHS. NSW Ambulance policy is that all workers have a duty to report to NSW Ambulance any matter that may be a risk to health and safety at work. NSW Ambulance supports the rights of its workers to raise such issues via their line manager, WHSC or HSR.

Section 47 of the WHS Act 2011 also requires NSW Ambulance to, so far as reasonably practicable, consult with workers who carry out work for NSW Ambulance who are, or are likely to be, directly affected by a matter relating to work health and safety.

Responsibilities

Managers/supervisors must assess the risk of harm to the health or safety of their workers or other persons arising from any operation or from any identified hazard. Managers/supervisors must consult with their workers when risks to health and safety arising from the work are assessed.

Workers are required to report to NSW Ambulance any matter that may be a risk to workplace health and safety. Workers must co-operate with managers/supervisors in their efforts to comply with WHS requirements.

Risk assessments must be conducted at all workplaces within NSW Ambulance.



Workplace Risk Assessment

What is a Workplace Risk?

Risk is the chance of something happening that will have an impact on objectives or it is the possibility of loss, injury, disadvantage or destruction. It is measured in terms of consequences and likelihood (Australia New Zealand Standard for Risk Management – Principles and guidelines AS/NZS 13000:2009).

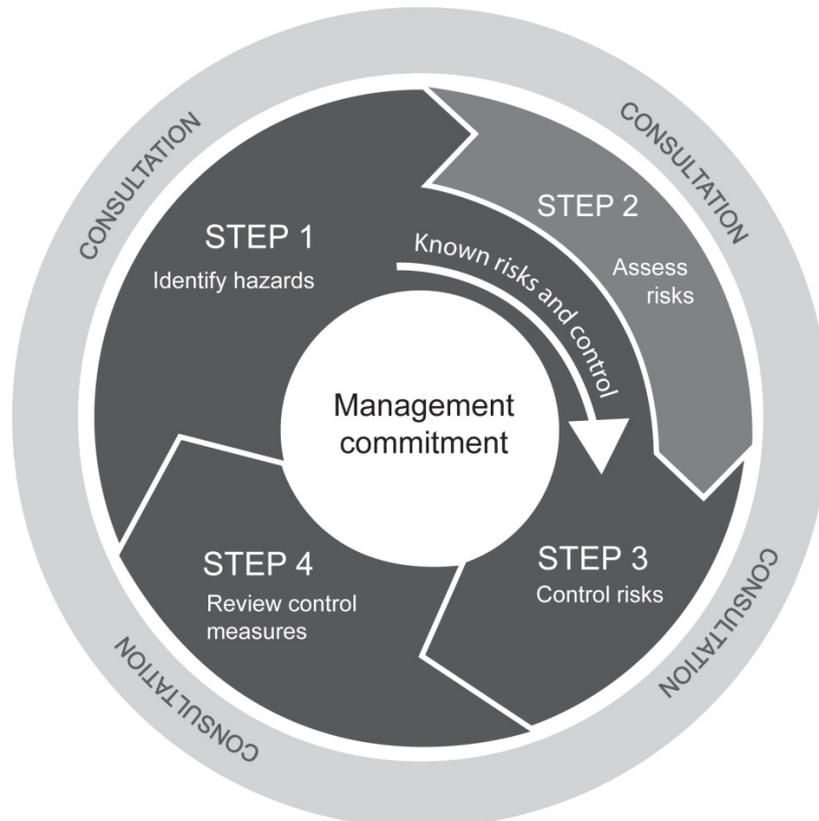
Workplace risks can be anything (including work practices or procedures) that have the potential to harm the health or safety of workers, or others who are within NSW Ambulance premises. The risks may arise from:

- workplace culture;
- work practices, work systems and shift working arrangements (including hazardous processes, psychological hazards and fatigue related hazards);
- plant (including the transport, installation, erection, commissioning, use, repair, maintenance, dismantling, storage or disposal of plant);
- hazardous substances (including the production, handling, use, storage, transport or disposal of hazardous substances);
- the presence of asbestos installed in a place of work;
- manual handling (including the potential for repetitive injuries);
- the layout and condition of a place of work (including lighting conditions and workstation design);
- biological organisms, products or substances; and
- the physical working environment (including the potential for any one or more of the following:
 - electrocution;
 - drowning;
 - fire or explosion;
 - people slipping, tripping or falling;
 - contact with moving or stationary objects;
 - exposure to noise, heat, cold, vibration, radiation, static electricity or a contaminated atmosphere;
 - the presence of a confined space; and
 - the potential for workplace violence.



4.2 What is a Risk Assessment?

Risk assessments are used to analyse risks, assess sufficiency of existing controls, estimate levels of risk, evaluate and set priorities and ultimately to eliminate or control the risks. The risk management process defined by Safe Work Australia's *How to manage work health and safety risks* code of practice is shown in the figure below:



A risk assessment is not necessary in the following situations:

- legislation requires some hazards or risks to be controlled in a specific way – these requirements must be complied with;
- a code of practice or other guidance sets out a way of controlling a hazard or risk that is applicable to your situation and you choose to use the recommended controls. In these instances, the guidance can be followed; or
- there are well known and effective controls that are in use in the particular industry, that are suited to the circumstances in your workplace. These controls can simply be implemented.



4.3 General Processes of Risk Assessment

Once a hazard has been identified, the risk must be assessed and control measures must be taken*.

The general processes of risk assessment are:

- Identify - systematically identify factors that may be contributing to the risk;
- Review - health and safety information that is reasonably available from an authoritative source and is relevant to the particular hazard;
- Evaluate - the likelihood of an incident / injury occurring and the consequence of an incident, injury or illness that may occur;
- Identify - the actions (current controls, and control measures required - short term and long term, if any) necessary to eliminate or control the risk;
- Record – identify records that are to be kept to ensure that risks are eliminated or controlled; and
- Consult - with workers in relation to the risks during the whole risk assessment process.

*Note: Once a hazard has been identified, if necessary the risk must be assessed, however if legislation, regulation, a code of practice or other guidance sets out a risk control or there are well known and effective controls that are in use in the health industry, it is appropriate to apply such risk controls immediately.

4.4 Workplace Risk Assessment Form 141

The Workplace Risk Assessment Form 141 is designed for workers to undertake and record workplace risk assessment. It contains the whole process of risk management, including establishment of risk context, risk identification, risk assessment, risk control and review.

The Workplace Risk Assessment Form 141 is attached as Attachment 1.

4.5 When to Use the Workplace Risk Assessment Form 141

The Workplace Risk Assessment Form 141 is designed for any routine workplace risk assessment. It can also be used for any in-depth risk assessment, as it provides the detailed procedures to assist in rating the likelihood and the consequence of the risks, and in ranking the risks.

4.6 How to Undertake a Risk Assessment and complete the Risk Assessment Form 141

The steps in the Workplace Risk Assessment Form 141 must be clearly understood, as they are the main processes of the risk assessment that must be followed to allow the risk assessment to be conducted effectively and efficiently. The following instructions provide guidance to undertake the risk assessment and complete Workplace Risk Assessment Form 141.

4.6.1 Prerequisites to the Risk Assessment

Q. *Is this assessment being completed in consultation with workers?* Yes No

This question must be answered before the process can proceed. By law, NSW Ambulance must consult workers when risks to health and safety arising from work are assessed. Such consultation should involve the relevant WHSC and HSR.

If you answer NO, you must go back and consult with workers who may be involved in tasks or activities to be or being assessed.



Q. *Have the relevant documents/forms been attached, if any?* Yes No

The relevant documents or forms are required to be attached if they contain the information that describes the risk context and/or hazard identification, or supports your control measures. For example, if the risk assessment is for reported hazards, you must include the IIMS number.

4.6.2 Risk Context (Activities / Tasks / Locations)

This is an establishment of the strategic, organisational, or task/activity-based risk management background. The complexity of the establishment of the risk context depends on the scale of the risk assessment.

Simply, it can be a description of activities, including the description of tasks, what locations, which workgroups will perform the activities, what are the major goals, procedures and how will they be achieved. The more specific description of the activities, the more risk context can be obtained.

4.6.3 Risk Identification (List of Hazards)

This involves the compilation of a comprehensive list of hazards that might affect the organisation, the workplace or the performance of activities, including sources of risks and areas of impact. It is about identifying all risks regardless of whether they are beyond the control of the workplace or organisation. To assist in risk identification, relevant health and safety information should be collected from an authoritative source and reviewed.

Risks can be identified systematically through different classifications.

Risks can be:

- **Physical** – noise, slip/trip/falls, heat/cold, electrical, lighting;
- **Vehicle/Equipment/Plant** - entrapment, sharp edges, moving parts, other vehicles/drivers;
- **Chemical** – cleaning products, fumes, poisons, drugs;
- **Ergonomics** – manual handling, repetitive movements, insufficient space;
- **Biological** – infectious body substances, viruses, insects/pests;
- **Psychological** – trauma, harassment, violence;
- **Radiation** – sunlight, x-rays; and
- **Social, organisational or environmental** – damage of organisational reputation, deterioration of natural conditions, unsafe culture at workplaces.

Briefly, the risks come from the factors of individuals and organisation, equipment and environment or from the combination of these factors. The following table (Risk Identification Table) helps identify risks that may exist in the workplace.

4.6.4 Analysis (Likelihood / Consequence / Rating)

Risk analysis is about estimating the likelihood of an incident/injury occurring and the consequence of an incident, injury or illness that may occur, and then prioritising/rating the risks with the objective of separating the minor acceptable risks from the extreme and moderate risks.



Likelihood: for each identified risk, determine the likelihood of occurrence using the following levels from A to E:

Likelihood

- A = Frequent – Expected to occur
- B = Likely – Will probably occur
- C = Possible – Might occur sometime
- D = Unlikely – Not likely to occur
- E = Rare – Exceptional circumstances

Consequence: for each identified risk, determine the consequence of occurrence using the following levels:

Consequence

- Serious - Death or permanent disability
- Major – Long term illness or serious injury
- Moderate – Medical attention and off work
- Minor – First aid treatment
- Minimum – No injuries

Rating: Rating each identified risk determines the priority of actions to control the risk. Once the likelihood and consequence of each risk is determined, the risk is ranked by the following numbers:

Rating

- 1 = Extreme (*Act immediately*)
- 2 = High (*Act today*)
- 3 = Medium (*Act this week*)
- 4 = Low (*Act this month*)

Risk Matrix:

Rating	Likelihood				
	A	B	C	D	E
Consequence					
Serious	1	1	1	1	2
Major	1	1	1	2	2
Moderate	1	2	2	3	3
Minor	2	2	3	4	4
Minimum	2	3	4	4	4



4.6.5 Risk Control (Current Controls / Control Measures Required)

After the risk is analysed (the likelihood and consequence of the risk, and the level of the risk), the appropriate measures must be taken to eliminate or control the risk.

- The current controls need to be assessed to see whether they are adequate, appropriate and efficient or not, and why.
- Based on the assessment of current controls, determine the best option for risk treatment. The options are: risk avoidance, risk acceptance, reduction of likelihood of occurrence, reduction of severity of the consequence, transfer of risk, retention of risk, maintenance of the current risk management strategy.
- Determine risk control measures required for the chosen option above. The hierarchy of risk control is:

1. Elimination

Managers/supervisors must eliminate any reasonably foreseeable risk to the health or safety of their workers or others at NSW Ambulance premises that arise from work or activities.

If it is not reasonably practicable to eliminate the risk, the manager/supervisor must control the risk, by taking the following measures (in the order specified) to minimise the risk to the lowest level reasonably practicable;

2. Substitution

Substituting the hazard giving rise to the risk with a hazard that gives rise to a lesser risk e.g. use of less hazardous chemicals, improved portable patient handling devices;

3. Isolation

Isolating the hazard from the person put at risk e.g. design of driver's cabin;

4. Engineering Control

Minimising the risk by engineering means e.g. ventilation; radio communication;

5. Work Practices

Minimising the risk by administrative means e.g. safe working practices, training, instruction or information, design of rosters, monitoring overtime, and restricting access to hazard area; and

6. Personal Protective Equipment (PPE)

Using personal protective equipment e.g. gloves or safety helmets.



A combination of the above measures is required to be taken to minimise the risk to the lowest level reasonably practicable if no single measure is sufficient for that purpose. For example, if it is not reasonably practicable to eliminate a risk arising from manual handling, a manager/supervisor must design the activity to control the risk and, if necessary, must:

- modify the design of the objects to be handled or the work environment (to the extent that it is under NSW Ambulance's control), taking into account work design and work practices; and
- provide mechanical aids or arrange for team lifting, or both, and ensure that the workers carrying out the activity are trained in manual handling techniques, correct use of mechanical aids and team lifting procedures appropriate to the activity.

For manual handling, a manager/supervisor must, as far as reasonably practicable, achieve risk control by means other than team lifting.

A manager/supervisor must consult with their workers when decisions are made about the measures to be taken to eliminate or control health and safety risks arising from work.

A manager/supervisor must also set up the date to implement the required control measures and the person who undertakes the control measure. Thus, the control can be monitored and reviewed effectively.

4.6.6 Review of the Risk Assessment

A manager/supervisor must review a risk assessment, and any measures adopted to control the risk, whenever:

- there is evidence that the risk assessment is no longer valid;
- injury or illness results from exposure to a hazard to which the risk assessment relates;
- a significant change is proposed in the place of work or in work practices or procedures to which the risk assessment relates; or
- When a request is received by a WHSC or HSR^{*}.

A manager/supervisor must consult with their workers when the assessments of health and safety risks arising from work are reviewed.

While the control measure is being implemented, continual monitoring must occur with ongoing risk assessments to be undertaken to ensure its ongoing feasibility. These risk assessments may be formal or dynamic with the findings recorded on the risk register.

A completed Workplace Risk Assessment Form 141 has been included as a sample only.

^{*} *Note: In this instance, the review must involve the requesting WHSC or HSR.*



5. Record Keeping

After the workplace risk assessment has been undertaken and form 141 is complete, the relevant manager must review the assessment and sign form 141 in the box marked *Reviewed By*.

The manager must then ensure the risk assessment is registered on the local risk register and a copy of the completed form must be sent to the relevant WHSC chairperson, HSR and Risk & Workplace Safety on safety@ambulance.nsw.gov.au. The form should be forwarded within 10 calendar days of the date of the report. Incomplete forms will be returned to the sender for correction.

The relevant WHSC, HSR and WHS Educator will:

- monitor, collate and analyse completed risk assessment forms received, to assist with risk management and injury prevention; and
- monitor local risk registers and ensure risk assessments with an organisational impact are escalated to the appropriate level of senior management.

The relevant WHS Committee will:

- Monitor, collate and analyse completed hazard reports and risk assessment forms received and compare to action items on risk register.

6. Related Policies

SOP2014-002 Work Health and Safety

SOP2014-003 Consultation Standard

SOP2014-004 Establishment and Administration of NSW Ambulance Work Health and Safety Committees



WORKPLACE RISK ASSESSMENT FORM 141

What you need to do:

1. Consider what can go wrong that can hurt someone – **identify** the work done
2. Determine what the most likely outcome would be – their **Consequences**
3. Determine how likely those consequences are – their **Likelihood**
4. Calculate the combined **risk rating**
5. Required action

Date		Location		Trim No		IIMS No	
Division		Assessed By		Signature			
Zone/Unit		Reviewed By		Signature			

Step 1 Spot the Hazards		Step 2 Assess the Risk (Risk Rating)			Step 3 Fix the problem (Eliminate, Isolate or Control)	Step 4 Who fixes the problem and when must the action be done		Step 5 Reassess the Risk		
Identify the task	What are the hazards and risks associated with the task?	L	C	Rating	What action/control measure is required to control or mitigate the risk?	By who?	By when?	L	C	Rating

<u>Likelihood</u> A = Frequent – Expected to occur B = Likely – Will probably occur C = Possible – Might occur sometime D = Unlikely – Not likely to occur E = Rare – Exceptional circumstances	<u>Consequence</u> Serious - Death or permanent disability Major – Long term illness or serious injury Moderate – Medical attention and off work Minor – First aid treatment Minimum – No injuries	<u>Rating</u> 1 = Extreme (Act immediately) 2 = High (Act today) 3 = Medium (Act this week) 4 = Low (Act this month)	Rating	Likelihood				
			Consequence	A	B	C	D	E
			Serious	1	1	1	1	2
			Major	1	1	1	2	2
			Moderate	1	2	2	3	3
			Minor	2	2	3	4	4
Minimum	2	3	4	4	4			



###NAME OF SECTOR / UNIT### Risk Register

Scope: To protect, promote and maintain a safe working environment for workers, contractors and patients by recording, monitoring and managing local area risks.

Purpose: To identify and highlight current matters that have been assessed, prioritised and managed according to the following risk levels indicated below, including projects.

Action: All Zone Managers are to review this document weekly and advise progress/update or new issues to their Deputy Director, Operations and the WHS Manager, Risk Management. A copy of the register must be sent to the local WHS Committee chair each month.

Date: ### Latest Review Date to be recorded here ###

Related Documents: A Risk Assessment form (form 141) should be completed for each identified risk and kept on file.

Rating for Likelihood for each risk		Rating for Consequence for each risk	
A	Frequent – Expected to occur	1	Serious – Death or permanent disability
B	Likely – Will probably Occur	2	Major – Long term illness or serious injury
C	Possible – Might occur sometime	3	Moderate – Medical attention and off work
D	Unlikely – Not likely to occur	4	Minor – First aid treatment
E	Rare – Exceptional circumstances	5	Insignificant – No injuries

Grade: Combined effect of Likelihood/Consequence Likelihood						
		Likelihood				
		Frequent	Likely	Possible	Unlikely	Rare
Consequence	Serious	1	1	1	1	2
	Major	1	1	1	2	2
	Moderate	1	2	2	3	3
	Minor	2	2	3	4	4
	Minimum	2	3	4	4	4

Recommended actions for grades of risk	
Grade	Risk mitigation actions
1	Extreme Risk – immediate action required. Mitigation actions to reduce the likelihood and consequence to be identified and implemented as a matter of urgency.
2	High Risk – Notify Senior Management. Mitigation actions to reduce the likelihood and consequence to be identified and appropriate actions implemented within 24 hours.
3	Medium Risk – Mitigation actions to reduce the likelihood and consequence to be identified and implemented within 7 calendar days and monitored for duration of risk.
4	Low Risk - Risk to be monitored and action to be taken within 30 calendar days. Ongoing monitoring required to ensure grading doesn't increase over time.

Change to Grade since last assessment			
NEW	New risk	↓	Grading decreased
NC	No change to Grade	↑	Grading increased

Description of Identified Risk	CI*	Likelihood	Conseq	Grade	Change	History/Current Status	Mitigation Strategy (Divisional/Sector)	Delegated Manager	Review Date
<i>Stores and Consumables items</i>	<i>No</i>	<i>M</i>	<i>M</i>	<i>C</i>	<i>New</i>	<p><i>Reports recently have identified a growing exposure financially at zone and station level.</i></p> <ol style="list-style-type: none"> <i>1. Uniform; and</i> <i>2. Clinical consumables</i> 	<p><i>Implement as part of the monthly station audit system performed by each Duty Operations Manager an additional validation-audit of clinical stores on station and an audit of the requisition book for uniforms and stationery ordered and signed by the Station Officer</i></p> <p>Action: <i>monthly monitoring to reduce expenditure</i></p> <p><i>April 2013 Update: Monthly medical costs continue to remain high despite active discussions at station levels.</i></p>	<i>Zone Managers</i>	<i>4/3/2013</i>

*Contentious Issues - Yes or No – Contentious Issues are reported to SHQ under email notification.