



DIPLOMA OF HUMAN RESOURCES MANAGEMENT-BSB50615

Study Support materials for

**Manage Risk - Implement and monitor WHS
policies, procedures and programs to meet
legislative requirements
BSBR501 - BSBWHS401**



STUDENT HANDOUT

Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<i>Elements describe the essential outcomes.</i>	<i>Performance criteria describe the performance needed to demonstrate achievement of the element.</i>
1. Provide information to the work team about WHS policies and procedures	1.1 Accurately explain to the work team relevant provisions of WHS Acts, regulations and codes of practice 1.2 Provide information about the organisation's WHS policies, procedures and programs, and ensure it is readily accessible to, and understandable by the work team 1.3 Regularly provide and clearly explain to the work team information about identified hazards and the outcomes of risk assessment and control
2. Implement and monitor participation arrangements for managing WHS	2.1 Communicate to workplace parties the importance of effective consultation mechanisms in managing health and safety risks in the workplace 2.2 Apply consultation procedures to facilitate participation of the work team in managing work area hazards 2.3 Promptly deal with issues raised through consultation, according to organisational consultation procedures and WHS legislative and regulatory requirements 2.4 Promptly record and communicate to the work team the outcomes of consultation over WHS issues
3. Implement and monitor organisational procedures for providing WHS training	3.1 Identify WHS training needs according to organisational requirements and WHS legislative and regulatory requirements 3.2 Make arrangements to meet WHS training needs of team members in consultation with relevant individuals 3.3 Provide workplace learning opportunities and coaching and mentoring assistance to facilitate team and individual achievement of identified WHS training needs 3.4 Identify and report to management the costs associated with providing training for work team, for inclusion in financial and management plans
4. Implement and monitor organisational procedures and legal requirements for identifying hazards and assessing and controlling risks	4.1 Identify and report on hazards in work area according to WHS policies and procedures and WHS legislative and regulatory requirements 4.2 Promptly action team member hazard reports according to organisational procedures and WHS legislative and regulatory requirements 4.3 Implement procedures to control risks using the hierarchy of control, according to organisational and WHS legislative requirements 4.4 Identify and report inadequacies in existing risk controls according to hierarchy of control and WHS legislative requirements

ELEMENT	PERFORMANCE CRITERIA
	4.5 Monitor outcomes of reports on inadequacies, where appropriate, to ensure a prompt organisational response
5. Implement and monitor organisational procedures for maintaining WHS records for the team	5.1 Accurately complete and maintain WHS records of incidents of occupational injury and disease in work area, according to WHS policies, procedures and legislative requirements 5.2 Use aggregate information and data from work area records to identify hazards and monitor risk control procedures in work area

Application of the unit

This unit addresses the management of the risk across the organisation or within a business unit or area. It does not assume any given industry setting.

This unit applies to individuals who are working in positions of authority and are approved to implement change across the organisation, business unit, and program or project area. They may or may not have responsibility for directly supervising others.

What is a Risk?

Risk refers to future conditions or circumstances that exist outside of the control of business that will have an adverse impact on the business if they occur. A risk is the chance of something happening, which may have a negative effect, but may also have a positive effect, such as making a profit. Whereas an issue is a current problem that must be dealt with, a risk is a potential future problem that has not yet occurred.

A reactive manager addresses issues when they occur. A proactive manager addresses potential problems before they occur. This is the art of risk management.

Not all issues can be seen ahead of time and some potential problem that seems unlikely to occur, may in fact occur. However, many problems can be seen ahead of time and they should be managed through a proactive risk management process.

Everything in life has some degree of risk. Walking across the street can be risky. Your business will have risks as well. Without risk, it is also difficult to make money, so at times risks must be taken. Because certain risks exist in the business environment and some must be taken, it is management's responsibility to try to minimize any adverse effects which may occur prior to them occurring. The manager should perform a risk assessment with the appropriate team to identify high, medium and low level risks. If you are lucky, you may find that you only have low risks. However, this assessment will alert you and your team to any medium and high-level risks that may cause future problems.

The purpose of risk management is to identify the risk events for a business and its stakeholders and then establish a Risk Management Plan to manage the risk event and minimize harm.

Risk Flow



Who does it affect?

Risk affects all of us.... Risk is everywhere. It affects everything we do and every decision we make. It can cause paralysis to our way of life, force us to become defensive and overreact, erode civil liberties, and destroy confidence. But risk is also necessary because it keeps us on our toes, forces us to check and double check our facts and positions, pushes us to innovate, leads us to seek information more hungrily, and adds the spice that makes life worthwhile.

Risk management is the identification, assessment, and prioritization of risks (defined in ISO 31000 as *the effect of uncertainty on objectives*, whether positive or negative) followed by coordinated and economical application of resources to minimize, monitor, and control the probability and/or impact of unfortunate events or to maximize the realization of opportunities.

Risks can come from uncertainty in financial markets, competition, lack of planning, bad management, falling behind in technology, staff leaving, knowledge being lost, injuries, project failures (at any phase in design, development, production, or sustainment life-cycles), legal liabilities, credit risk, accidents, natural causes and disasters as well as deliberate attack from an adversary, or events of uncertain or unpredictable root-cause. Several risk management standards have been developed including the Project Management Institute, the National Institute of Science and Technology, actuarial societies, and ISO standards. Methods, definitions and goals vary widely according to whether the risk management method is in the context of project management, security, engineering, industrial processes, financial portfolios, actuarial assessments, or public health and safety.

The strategies to manage risk typically include transferring the risk to another party, avoiding the risk, reducing the negative effect or probability of the risk (through risk minimization activities), or even accepting some or all of the potential or actual consequences of a particular risk.

Certain aspects of many of the risk management standards have come under criticism for having no measurable improvement on risk, whether the confidence in estimates and decisions seem to increase.¹

DEFINITIONS

Risk is the potential that a chosen action or activity (including the choice of inaction) will lead to a loss (an undesirable outcome). The notion implies that a choice having an influence on the outcome exists (or existed). Potential losses themselves may also be called "risks". Almost any human endeavor carries some risk, but some are much more risky than others.

ISO 31000 is intended to be a family of standards relating to risk management codified by the International Organization for Standardization. The purpose of ISO 31000:2009 is to provide principles and generic guidelines on risk management. ISO 31000 seeks to provide a universally recognized paradigm for practitioners and companies employing risk management processes to replace the myriad of existing standards, methodologies and paradigms that differed between industries, subject matters and regions.

Currently, the ISO 31000 family is expected to include:

- ISO 31000:2009 _ Principles and Guidelines on Implementation
- ISO/IEC 31010:2009 - Risk Management - Risk Assessment Techniques
- ISO Guide 73:2009 - Risk Management - Vocabulary

Act of God is a legal term for events outside of human control, such as sudden floods or other natural disasters for which no one can be held responsible.

A **root cause** is rarely an initiating cause of a causal chain which leads to an outcome or effect of interest. Commonly, root cause is misused to describe the depth in the causal chain where an intervention could reasonably be implemented to change performance and prevent an undesirable outcome

LEGISLATION

- AS/NZS 4360:2004 Risk management.
- legislation, codes of practice and national standards, for example:
 - duty of care
 - company law
 - contract law
 - environmental law
 - freedom of information
 - industrial relations law
 - privacy and confidentiality
 - legislation relevant to organisation's operations
 - legislation relevant to operation as a business entity
- organisational policies and procedures, including:
 - risk management strategy
 - policies and procedures for risk management
- overall operations of organisation
- reasonable adjustment in the workplace for people with a disability
- types of available insurance and insurance providers.

RESPONSIBILITIES

In Australia it the responsibility of Managers to ensure a safe working environment for their staff.

Every employee is responsible for following the organisation's risk-management policies and procedures and for remaining aware of the risks they and the organisation might be exposed to and the risks to which they, themselves, might expose the organisation.

However, the ultimate responsibility for identifying and managing risk and establishing a healthy risk culture lies with the board, which establishes the organisation's appetite for risk and risk-management policies and monitors the effectiveness of the various programs and measures that flow from the policies.

MANAGE RISK – BSBR501

IDENTIFYING RISKS

Risk cannot be managed unless it is identified. Once the context of the business has been defined, the next step is to use this information to identify as many risks as possible.

The aim is to identify the risks that may affect, either negatively or positively, the objectives of the business and all its activity.

You will need to:

- Identify retrospective risks
- Identify prospective risks.

Identifying retrospective risks

Retrospective risks are seen in incidents or accidents that have occurred in the past.

Retrospective risk identification is the most common way to identify risk and the easiest. A risk is easier to understand if its impact has already been experienced. It is also easier to quantify its impact and to evaluate the damage. There are many sources of information about retrospective risk including:

- hazard or incident logs or audit reports
- customer complaints
- accreditation documents and reports
- staff or client surveys
- Newspapers or professional media, such as journals and websites.

Identifying prospective risks

Prospective risks are harder to identify. These are things that have not yet happened, but might happen in the future.

Identification should cover all risks, whether or not they are currently managed. The plan will be to record all significant risks and monitor the effectiveness of their treatment.

Methods for identifying prospective risks include:

- brainstorming with staff and external stakeholders
- researching the economic, political, legislative and operating environment
- interviewing staff and clients to identify potential problems
- flow charting a process
- reviewing system design or preparing system analysis

Risk categories will help break down the process for prospective risk identification. It is important to remember that risk identification will be limited by the experience and perspective of those conducting the risk analysis. Problem areas and risks can be best identified by the use of reliable sources.

There are many examples of risk in small business.

To identify your specific business risks, consider them in categories.

Risk categories should be considered one by one, providing a structured approach to risk identification. This enables greater focus on a particular category, stimulating thought, and increasing the opportunity of identifying a broader range of risks.

Common risk categories are:

- **Financial** – includes cash flow, budgetary requirements, tax obligations, creditor and debtor management, remuneration and other general account management concerns.

- **Equipment** – extends to equipment used to conduct the business and includes everyday use, maintenance, depreciation, theft, safety and upgrades.
- **Organisational** – relates to the internal requirements of a business, extending to the cultural, structural and human resources of the business.
- **Security** – includes the business premises, assets and people. Also extends to security of company information, intellectual property, and technology.
- **Legal & regulatory compliance** – includes legislation, regulations, standards, codes of practice and contractual requirements. Also extends to compliance with additional 'rules' such as policies, procedures or expectations, which may be set by contracts, customers or the social environment.
- **Reputation** – entails the threat to the reputation of the business due to the conduct of the entity as a whole, the viability of products/services, or the conduct of employees or others associated with the business.
- **Operational** – covers the planning, daily operational activities, resources (including people) and support required within the business that results in the successful development and delivery of products/services.
- **Contractual** – meeting obligations required in a contract including delivery, product/service quality, guarantees/warranties, insurance and other statutory requirements, non-performance.
- **Service delivery** – relates to the delivery of services, including the quality of service provided, or the manner in which a product is delivered. Includes customer interaction and after-sales service.
- **Commercial** – includes risks associated with market placement, business growth, product development, diversification and commercial success. Also to the commercial viability of products/services, extending through establishment, retention, growth of a customer base and return.
- **Project** – includes the management of equipment, finances, resources, technology, timeframes and people involved in the management of projects. Extends to internal operational projects, business development and external projects such as those undertaken for clients.
- **Safety** – including everyone associated with the business: individual, workplace and public safety. Also applies to the safety of products/services delivered by the business.
- **Workplace safety** - Every business has a duty of care underpinned by State and Federal legislation. This means that all reasonable steps must be taken to protect the health and safety of everyone at the workplace. Occupational health and safety is integrated with the overall risk management strategy to ensure that risks and hazards are always identified and reported. Measures must also be taken to reduce exposure to the risks as far as possible. See Workplace Safety for more information.
- **Stakeholder management** – includes identifying, establishing and maintaining the right relationships with both internal and external stakeholders.
- **Client-customer relationship** – potential loss of clients due to internal and external factors.
- **Strategic** – includes the planning, scoping, resourcing and growth of the business.
- **Technology** – includes the implementation, management, maintenance and upgrades associated with technology. Extends to recognising critical IT infrastructure and loss of a particular service/function for an extended period of time. It further takes into account the need and cost benefit associated with technology as part of a business development strategy.

Knowing your risk categories can assist you in risk planning and communicating risk information. They provide a structure for identifying risk and are often initially identified through a brainstorming exercise.

In addition, understanding categories assists business owners to select the best tools and techniques for risk identification and analysis. For example, if a particular risk category is technical in nature, the risk identification methodology used will involve significant research and collection of existing information about risk exposure. A risk category with a more strategic focus, such as commercial risk, may involve a structured workshop or exercise.

INTERNAL BUSINESS RISKS

Often, businesses can be so focused on negotiating perceived threats in the greater business environment that they fail to identify factors within the company which could threaten its success. Take a look at these common internal business risks and think about how you think your business fares with regards to each one...

Stability – The ability of a business to manage its finances; meet its debt obligations and return capital to its investors is integral to its success. A business which is financially stable can grow its profits more easily than one which is not; furthermore, investors, lenders and employees are more willing to engage with and invest in a financially stable company. In addition, management stability and branding stability contribute to a company's overall impression of being a sound and stable venture. The reverse is true for businesses which are unstable; instability can quickly lead to decreasing profits and, ultimately, bankruptcy.

Organisational structure – How a business is structured can also mitigate or enhance a business's success. It's of paramount importance that a cohesive and efficient structure is established and maintained if a business is to function smoothly and carry out the goals and aims of the company effectively. When assessing how organisational structure might pose a risk to your business, evaluate its job positions, hierarchy, and lines of communication. Is your organisation's structure ordered and clearly defined and are all job positions working in tandem with one another?

Politics and Mismanagement – Internal company politics, particularly in family businesses, can be debilitating; causing management and staff alike to focus, not on the market and the job at hand, but on what's happening internally. Taking your eye off the ball can ultimately open the door to competitors stealing your market share. Mismanagement – including a lack of proper control over finances, production, labour and marketing – results in increased costs for the business, which will affect your business's bottom line.

Resources – Having enough financial and human resources is crucial; if your business is lacking in either of these, you will find it difficult to achieve your business goals. Not only does a lack of resources impinge on the nature and scope of the work you are able to take on, but it can also impact significantly on staff morale.

Innovation – whether it relates to product development, marketing and promotion or staff welfare, innovation is what keeps a business one step ahead of its rivals. A lack of innovation, therefore, can pose a risk to business success as a company becomes staid, stagnant and irrelevant in a changing marketplace.

Incentives – Did you know that incentivising employees could prove to be a business risk, if it's not done correctly, fairly and appropriately? Make sure that you explore the right incentive and reward schemes for your business – for example, will group or individual performance bonuses, production bonuses or non-monetary rewards achieve the best results by reinforcing the behaviour you wish to see in your staff?

EXTERNAL BUSINESS RISKS

Risks in the greater business environment include...

The Economy – whether it's boom time or bust, how the economy is doing impacts on your business. While you may not have control over the economy at large, understanding what drives it can help you manage threats and maximise opportunities.

Political-Legal Factors – changes in government or government policies and legislation can impact on business, which is why business owners need to keep abreast of latest developments.

Socio-Cultural Factors – ignore these at your peril!

Technology – if you wish to remain relevant, make sure that you monitor technological developments in your field and in the wider business sphere.

Shareholders – as a business manager, your wanting to invest any profits for future growth may be at odds with company shareholders who wish to take value out of the business in the form of dividends. Their business approach – which may be more focused on personal than business wealth – can be very risky indeed for a business and requires careful yet firm management.

DIFFERENT FACES OF RISK

Negative risks are unwanted and potentially can cause serious problems and derail the project, positive risks, on the other hand, are opportunities and are desired by both the Project Manager and the stakeholders, and may positively affect the project, such as increasing the ROI or finishing the project ahead of time.

Known negative risks have to be managed and accounted for in the risk management plan, this is the same for positive risks. However, positive risks are managed in order to take advantage of them and “tame them”.

Positive Risk an Opportunity

Risk-taking is the process of accepting risk. Examples of risk-taking include investing, developing new products and changing business processes. Risk-taking is the basis of economic progress. It's often positive.

Positive risk is different — it's something you're trying to avoid.

That being said, when positive risks occur they can often be managed as opportunities.

RISK AUDIT

Risk Audits are used to evaluate the effectiveness of the risk identification, risk responses, and risk management process as a whole.

The chart allows you to rate potential risks on these two dimensions. The probability that a risk will occur is represented on one axis of the chart – and the impact of the risk, if it occurs, on the other.

You use these two measures to plot the risk on the chart. This gives you a quick, clear view of the priority that you need to give to each. You can then decide what resources you will allocate to managing that particular risk.

The basic form of the Risk Impact/Probability Chart is shown in figure 1, below.

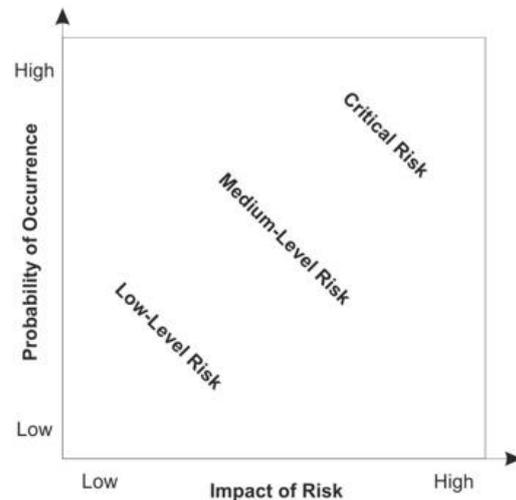


Figure 1 – The Risk Impact/Probability Chart

The corners of the chart have these characteristics:

- Low impact/low probability – Risks in the bottom left corner are low level, and you can often ignore them.
- Low impact/high probability – Risks in the top left corner are of moderate importance – if these things happen, you can cope with them and move on. However, you should try to reduce the likelihood that they'll occur.
- High impact/low probability – Risks in the bottom right corner are of high importance if they do occur, but they're very unlikely to happen. For these, however, you should do what you can to reduce the impact they'll have if they do occur, and you should have contingency plans in place just in case they do.
- High impact/high probability – Risks towards the top right corner are of critical importance. These are your top priorities, and are risks that you must pay close attention to.

Risk Impact

You need to be able to evaluate the impact of each individual risk upon your business.

The impact of the risk event is commonly assessed on a scale of 1 to 5, where 1 and 5 represent the minimum and maximum possible impact of an occurrence of a risk (usually in terms of financial losses). However, the 1 to 5 scale can be arbitrary and need not be on a linear scale.

The probability of occurrence is likewise commonly assessed on a scale from 1 to 5, where 1 represents a very low probability of the risk event actually occurring while 5 represents a very high probability of occurrence. This axis may be expressed in either mathematical terms (event occurs once a year, once in ten years, once in 100 years etc.) or may be expressed in "plain English" – event has occurred here very often; event has been known to occur here;

event has been known to occur in the industry etc.). Again, the 1 to 5 scale can be arbitrary or non-linear depending on decisions by subject-matter experts.

Everything that we do has a risk attached to it... how we assess, evaluate and handle the risk can have an effect on the success or failure of the project or event.

Jingle Bells.

Dashing through the snow, in a one horse open sleigh

O'er the fields we go laughing all the way

A risk assessment must be submitted before an open sleigh is considered safe for members of the public to travel on. The risk assessment must also consider whether it is appropriate to use only one horse for such a venture, particularly if passengers are of larger proportions.

Please note, permission must be gained from landowners before entering their fields. To avoid offending those not participating in celebrations, we would request that laughter is moderate only and not loud enough to be considered a noise nuisance.

Rudolph the Red Nosed Reindeer

Rudolph, the red-nosed reindeer had a very shiny nose.

And if you ever saw him, you would even say it glows.

You are advised that under the Equal Opportunities for All policy, it is inappropriate for persons to make comment with regard to the ruddiness of any part of Mr. R. Reindeer. Further to this, exclusion of Mr R Reindeer from the Reindeer Games will be considered discriminatory and disciplinary action will be taken against those found guilty of this offence.

A full investigation will be implemented and sanctions - including suspension on full pay - will be considered whilst this investigation takes place.

We Three Kings.

We three kings of Orient are, bearing gifts we traverse afar.

Field and fountain, moor and mountain following yonder star

Whilst the gift of gold is still considered acceptable - as it may be redeemed at a later date through such organisations as 'cash for gold' etc, gifts of frankincense and myrrh are not appropriate due to the potential risk of oils and fragrances causing allergic reactions. A suggested gift alternative would be to make a donation to a worthy cause in the recipient's name or perhaps give a gift voucher.

We would not advise that the traversing kings rely on navigation by stars in order to reach their destinations and suggest the use of RAC route finder or satellite navigation, which will provide the quickest route and advice regarding fuel consumption. Please note as per the guidelines from the RSPCA for Mr Donkey, the camels carrying the three kings of Orient will require regular food and rest breaks. Facemasks for the three kings are also advisable due to the likelihood of dust from the camel's hooves.

IMPLEMENT AND MONITOR WHS POLICIES, PROCEDURES AND PROGRAMS BSBWHS401

Workplace Health and Safety (WHS) in your state or territory

Workplace Health and Safety (WHS) requirements, previously Occupational Health & Safety (OH&S), can affect businesses differently depending on which industries they operate in. For example, a mining company has WHS requirements that are irrelevant to a florist.

If your business deals with chemicals or plastics, refer to the Chemicals Business Checklist External Site on the Department of Industry and Science website to ensure you comply with work health and safety regulations.

Find information relevant to you and your obligations as a business or employer by selecting the state or territory information below.

All Workplace health and safety rules, policies and regulations must be readily available to all staff and work teams.

WORK HEALTH AND SAFETY ACT 2011

An Act relating to work health and safety, and for related purposes.

Object

(1) The main object of this Act is to provide for a balanced and nationally consistent framework to secure the health and safety of workers and workplaces by:

- (a) Protecting workers and other persons against harm to their health, safety and welfare through the elimination or minimisation of risks arising from work; and
- (b) Providing for fair and effective workplace representation, consultation, co-operation and issue resolution in relation to work health and safety; and
- (c) encouraging unions and employer organisations to take a constructive role in promoting improvements in work health and safety practices, and assisting persons conducting businesses or undertakings and workers to achieve a healthier and safer working environment; and
- (d) Promoting the provision of advice, information, education and training in relation to work health and safety; and
- (e) Securing compliance with this Act through effective and appropriate compliance and enforcement measures; and
- (f) Ensuring appropriate scrutiny and review of actions taken by persons exercising powers and performing functions under this Act; and
- (g) Providing a framework for continuous improvement and progressively higher standards of work health and safety; and
- (h) Maintaining and strengthening the national harmonisation of laws relating to work health and safety and to facilitate a consistent national approach to work health and safety in this jurisdiction.

(2) In furthering subsection (1)(a), regard must be had to the principle that workers and other persons should be given the highest level of protection against harm to their health, safety and welfare from hazards and risks arising from work as is reasonably practicable.

WHAT YOUR ORGANISATION NEEDS TO DO

If the work health and safety (WHS) laws apply to your organisation it must ensure, so far as is reasonably practicable, the health and safety of all of its workers, including volunteers. This means that the organisation must provide the same protections to its volunteer workers as it does to its paid workers. The protection covers the physical safety and mental health of all workers, including volunteers.

This primary duty on an organisation is qualified by 'so far as is reasonably practicable'. This means the organisation does not have to guarantee that no harm will occur, but must do what is reasonably able to be done to ensure health and safety. If your organisation is run by volunteers, this is a factor that will be taken into account in determining what is reasonably practicable for the organisation to do in any given circumstance.

Other factors that will be taken into account in determining what the organisation is required to do to protect its workers, including volunteers, are:

The type of business or undertaking it is

The type of work that the organisation carries out

The nature of the risks associated with that work and the likelihood of injury or illness occurring

What can be done to eliminate or minimise those risks, and

The location or environment where the work is carried out.

The primary duty of an organisation includes ensuring, so far as is reasonably practicable:

The provision and maintenance of a work environment without risks to health and safety

The provision and maintenance of safe plant and structures and safe systems of work

The safe use, handling and storage of plant, structures and substances

The provision of adequate facilities for the welfare at work of workers, including volunteers, for example toilets, first aid facilities, and

The provision of information, training and instruction or supervision that is necessary to protect all persons from risks to their health and safety arising from their work.

MEETING THE TRAINING NEEDS OF YOUR EMPLOYEES

There is a legal requirement to provide training in occupational health and safety, in order to assist in achieving the duty of care for the health, safety and welfare of our employees.

This is contained in the principal OHS Act in each state of Australia. There are also specific safety training requirements, which are prescribed in specific regulation provisions.

These include training requirements such as:

First aid training

Safety committee training (if you have one)

Safety representative training (if you have one)

Forklift driver training

Crane operator training

Return to work coordinator training

Construction induction training

Manual handling training

Confined space entry training

Hazardous substances training if you handle chemicals in the workplace and many others.

Besides these specific training requirements, there may be other aspects which you will need to train your employees on, such as your emergency evacuation procedures, using machine guarding, operation of machinery and tools, general safety induction, workstation ergonomic training, chemical awareness, risk assessments, and incident investigation.

How far you go with training will depend on your specific business requirements and the legislation as it applies to your business. There are a number of ways to identify occupational health and safety training requirements.

These can include:

A training matrix (identifies WHS skills required for employees and their respective job position)

Job safety analyses (includes training and competency for each task)

Specific hazard risk assessments (e.g. Manual handling-safe lifting technique training)

WHS audit

Legislation requirements (e.g. Plant operator certification)

Investigation of incidents.

Safety training needs should be more than a tick-the-box exercise. It should follow careful consideration of processes, activities, hazards and risks and include your WHS consultative mechanism (such as WHS committee) in discussions.

WORK HEALTH AND SAFETY PROCEDURES

A procedure sets out the steps to be followed for work activities. You must consult with affected workers when developing procedures for:

Resolving work health and safety issues

Consulting with workers on work health and safety

Monitoring workers' health and workplace conditions

Providing information and training.

Procedures should be in writing to provide clarity and certainty at the workplace and demonstrate compliance. They should clearly set out the role of health and safety representatives, and any other parties involved in the activity. The procedures should be easily accessible, for example by placing them on noticeboards and intranet sites.

In the context of issue resolution where procedures are agreed to, the Work, Health and Safety Regulations (2011) include minimum requirements including that these procedures are set out in writing and communicated to all workers to whom the procedure applies.

Many workplaces are required by law to have health and safety committees, which help develop standards, rules and procedures for health and safety that are to be followed or complied with at the workplace. According to the Work Health and Safety Regulations (2011), when it comes to risk management, a procedure is a form of 'administrative control' that means a method of work, a process or a procedure designed to minimise risk.

The Work Health and Safety Act (2011) states that while at work, a worker must co-operate with any reasonable policy or procedure of the person conducting the business or undertaking (PCBU) relating to health or safety at the workplace that has been notified to workers.

EXAMPLE TYPES OF EMERGENCY PROCEDURES

Objects	Hazards	Possible Controls
Emergencies / evacuations	Accounting for visitors in an evacuation Inadequately trained personnel Lack of or poorly maintained fire extinguishers / smoke alarms Emergency exits not visible or accessible Lack of emergency procedures / programs Staff untrained in evacuation procedures	Ensure that workers working in reception area are familiar with documented procedures on: - instructing visitors re evacuation procedures - using visitor book to locate visitors - contacting staff to ensure safe evacuation of visitors - communicating with staff managing evacuation - closing entry doors and exiting the area safely As part of a regular OHS inspections ensure smoke alarms and fire extinguishers have been tested and repaired if required, refer to state and territory requirements for testing and maintenance Ensure emergency exit sign is in place and lit Ensure emergency exits are clearly marked, are not blocked and are easily accessible Develop appropriate emergency procedures / programs Conduct regular emergency evacuation drills to test procedures / programs and systems

		<p>Ensure emergency contacts receive appropriate training for coordinating emergency responses</p> <p>Ensure all workers are familiar with all emergency response procedures, emergency alarm sounds and be able to act accordingly</p>
Bomb threat	Bomb threat	<p>Ensure that all workers working in reception are trained in response to the threat of a bomb</p> <p>Identify, train and authorise support staff to take responsibility for management of the response and document procedures to be followed</p> <p>Check arrangements for alerting emergency services (fire, police, Tactical Response Group, ambulance, etc) who will be required to attend in the event of a threat</p>
Biological hazard	A suspicious package / envelope is received by an workers working in reception area	<p>Train workers working in reception how to recognise a suspicious package / envelope on delivery</p> <p>Document procedures to be followed and train workers who will manage those procedures</p> <p>Ensure appropriate Personal Protective Equipment is available if required</p>
First aid	Injured / sick customers and staff	<p>Ensure that receptionists are aware of the workplace policy / procedures in relation to the provision of First Aid to 3rd parties and have been trained to implement the policy / procedure</p> <p>Insure first aid procedure signage and documentation is up to date, accessible and easily identified</p>
Visitors / contractors	Visitors uncertain of how to respond in an emergency	<p>Reception to give briefing on emergency procedures prior to entry into secure areas</p> <p>Ensure visitors / contractors are accounted for and included in procedures for evacuation</p> <p>Ensure emergency procedures are visible and easily understood for visitors to follow in the event of an emergency</p>

CREATING A CULTURE OF HEALTH AND SAFETY

The health and safety culture of an organisation is measured by workers' attitudes, values and beliefs that people share with respect to work health and safety.

Frequent and informal communication between workers and management on safety and injury management raises workers' awareness of health and safety matters and can potentially contribute to a positive preventative safety culture.

Statistics show that people work more safely when they are involved in the decision making process and have immediate feedback about their work.

Managers that model behaviour by making a personal contribution to WHS consultation can significantly change the way their team thinks about health and safety in the workplace.

Rewarding positive contributions to health and safety in the workplace has lasting effects to culture change.

MANAGING WORKPLACE HAZARDS

To provide a high standard of health and safety protection to all workers, all the things that might go wrong during work activities need to be identified, assessed and where practical, remedied. This revolves around identifying hazards in the workplace and as a result of work activity.

Health and safety duties

Every person involved in work has a duty under the WHS legislation. Some people may have multiple duties.

Person conducting a business or undertaking (PCBU)

A PCBU has the primary duty under the WHS Act to ensure, so far as is reasonably practicable, that workers and others are not exposed to health and safety risks arising from the business or undertaking.

WHS Act 2011, section 19

Officers

Officers such as company directors have a duty to exercise due diligence to make sure the business or undertaking complies with the WHS Act and Regulations. This includes taking reasonable steps to make sure the business or undertaking has and uses appropriate resources and processes to eliminate or minimise risks that arise.

WHS Act 2011, section 27

Workers

Workers have a duty to take reasonable care for their own health and safety and that they do not adversely affect the health and safety of others. Workers must comply with any reasonable instruction and cooperate with any reasonable policy or procedure relating to health and safety at the workplace.

Workers include employees, contractors or subcontractors (and their employees), the employee of a labour hire company, outworker, apprentice, trainee, a student gaining work experience and volunteers.

WHS Act 2011, section 28

Designers, manufacturers, suppliers, importers and installers

Designers, manufacturers, suppliers, importers and installers of plant, substances or structures that could be used for work must make sure, so far as is reasonably practicable, that the plant, substance or structure is without risks to health and safety.

TOOLS TO HELP MANAGE WORKPLACE HAZARDS

Workplace inspection

Workplace inspections are an important part of an effective health and safety management system and help prevent work-related injury and illnesses. By critically examining the workplace, inspections identify and report potential hazards that could be removed or avoided.

There are numerous tools which can help companies and their work force manage workplace hazards. Important is that regular inspections are conducted, reported upon and then action is taken to remedy and/or minimize any potential problems discovered.

All Management plans should contain the following criteria:

Hazard discovered, who it is a hazard to, what is the probability of the hazard occurring? What would the impact of the hazard be if it did occur? How can the hazard be minimized? Who is responsible for taking action to minimize the potential hazard? At what date will the hazard be minimized? And lastly, what is the probability of the hazard occurring after minimization action has been conducted (see fig: 3.2).

The table below is an example of a workplace hazard action plan.

WORKPLACE HAZARD ACTION PLAN							
Hazard	Who it can harm	Probability	Impact	Minimization	Responsibility	Date to be fixed	Probability after minimization

Figure 3.2

PREVENTION

Under the Work Health and Safety Act 2011 persons conducting a business or undertaking (PCBU) have a primary duty to manage risks to health and safety. Section 19 requires PCBUs ensure the health and safety of workers while at work in the business or undertaking, as well as ensuring the health and safety of other people is not put at risk, so far as is reasonably practicable.

This includes providing:

A work environment without risks to health and safety

Safe systems of work

Information, training, instruction or supervision necessary to protect everyone from risks to their health and safety.

PCBUs must also monitor the health of workers and conditions at the workplace to prevent illness or injury.

PCBUs must consult with other involved duty holders (for example, contractors), workers and health and safety representatives (HSRs) when addressing risk factors with the potential to cause injury or illness. This means involving them when:

Identifying and assessing the risks to health or safety in the workplace

Making decisions about ways to eliminate or minimise risk

Making decisions about procedures for monitoring the health of workers or conditions at the workplace or providing information and training for workers on risks and controls.

Applying risk management principles helps PCBUs prevent and manage risks to workers and eliminate or minimise hazards in the workplace.

RESPONSE

Response means actions taken in anticipation of, during, and immediately after an incident to make sure its effects are minimised, and that people affected are supported.

To respond to something is to react to a stimulus. In terms of work health and safety this means responding to incidents, hazards, claims and the needs of workers. You will also have emergency response plans for workplace evacuations and medical response.

Response includes immediate support after an incident, through to conducting an investigation into the root causes of incidents and implementing changes to prevent recurrence.

The following topics are included:

INCIDENT NOTIFICATION (YOUR LEGISLATIVE OBLIGATION)

Access the notification of an incident form

Has an injury, illness or dangerous incident occurred at your workplace? If so, you may be legally required to notify management about what has happened. PCBUs are required to notify management of incidents that are serious/critical and dangerous in nature, rather than less serious incidents resulting from minor incidents or near misses.

What do you need to do?

The WHS Act details the types of incidents notifiable to Management. Under section 35 an incident is notifiable if it arises out of the conduct of a business or undertaking and results in the death, serious injury or serious illness of a person or involves a dangerous incident. The PCBU holds the responsibility under the act to notify however the PCBU may discharge this duty by arranging for another entity or person to submit notification on their behalf such as the supervisor, manager or any other person with identified responsibility to notify (such as HR teams or WHS advisors).

Written notifications using the notification of an incident form must be provided.

The person completing the notification form should include as much information as possible about the notifiable incident. If you are missing information and are unsure about whether to submit a written notification or wait until that information is known before submitting a notification, you should contact management to obtain advice.

The WHS Act imposes strict timeframes for notifying management of notifiable incidents. If you have submitted a telephone notification to management and have been instructed to also provide a written notice for that incident, you have 48 hours from the time of providing the telephone notification to do so.

Summary

Certain incidents defined by the WHS legislation are notifiable immediately to management. If you are in doubt, submit a written notification with the information you have at the time.

EXAMPLE - POLICY STATEMENT

1.1 The NSW Department of Education and Communities believes that the provision of a safe working and learning environment for everyone at its workplaces is an integral and essential part of its responsibilities as a provider of public education and other community services. The NSW Department of Education and Communities (DEC) is committed to:

1.1.1 Providing everyone in its workplaces with a safe and healthy working and learning environment

1.1.2 Promoting dignity and respect in all workplaces and taking action to prevent and respond to bullying in its workplaces

1.1.3 Adopting a preventative and strategic approach to health and safety and using measurable objectives and targets to monitor performance

1.1.4 Supporting and promoting health and wellbeing

1.1.5 Providing return to work programs to facilitate safe and durable return to work for employees, where possible, for both work related and non-work related health conditions

1.1.6 Meaningful consultation with employees, their representatives and others on work health and safety (WHS) issues

1.1.7 Providing appropriate information, training and instruction to facilitate safe and productive work and learning environments

1.1.8 providing an effective and accessible safety management system for all employees and others to guide safe working and learning in all workplaces

1.1.9 the reporting of incidents in accordance with statutory and regulatory obligations and internal policy requirements so that action can be taken to manage the incident, prevent further incidents, and provide support where required

1.1.10 providing a program of continuous improvement through engaging with industry, new technology and considering changes to legislation and recognised standards.

Senior managers and workplace managers are to take action to ensure:

4.3.1 This policy is implemented in their area of control

4.3.2 Safe systems of work and WHS procedures and guidelines are implemented locally, risks are managed so far as is reasonably practicable and that they strive for continuous safety improvement

4.3.3 Employees and others undertaking work are supervised and receive the instruction, information and training necessary to safely perform their duties

4.3.4 Meaningful consultation takes place with employees, their representatives and others on work health and safety (WHS) issues

4.3.5 Workplace incidents are reported and investigated to ascertain the circumstances leading up to the incident, and appropriate action is taken to prevent further incidents from occurring

4.3.6 Effective emergency response plans and procedures are in place which include the provision of first aid and actions to support the resumption of normal operations

4.3.7 Audit and other compliance requirements are complied with and appropriate document management processes are in each workplace and

4.3.8 Employees with injury or illness are managed in accordance with the DEC Return to Work Program and other relevant guidelines.

Where workplace managers are unable to ensure any of these provisions they should escalate them for appropriate action and support.

4.4 Employees and others undertaking work are to:

4.4.1 Take reasonable care for the health and safety of themselves and those under their supervision, and take reasonable care that their acts or omissions do not adversely affect the health and safety of others

4.4.2 Comply with any reasonable instruction or lawful direction as far as they are reasonably able, including wearing personal protective equipment supplied by the employer as required

4.4.3 Cooperate in following DEC health and safety guidelines and procedures

4.4.4 Report incidents and hazards, and participate in training and consultation with the support of DEC and

4.4.5 Meet their obligations under the return to work program and other guidelines to support their return to the workplace following injury or illness.

For further information: www.safeworkaustralia.gov.au

IMPLEMENT AND MONITOR WHS POLICIES, PROCEDURES AND PROGRAMS BSBWHS401

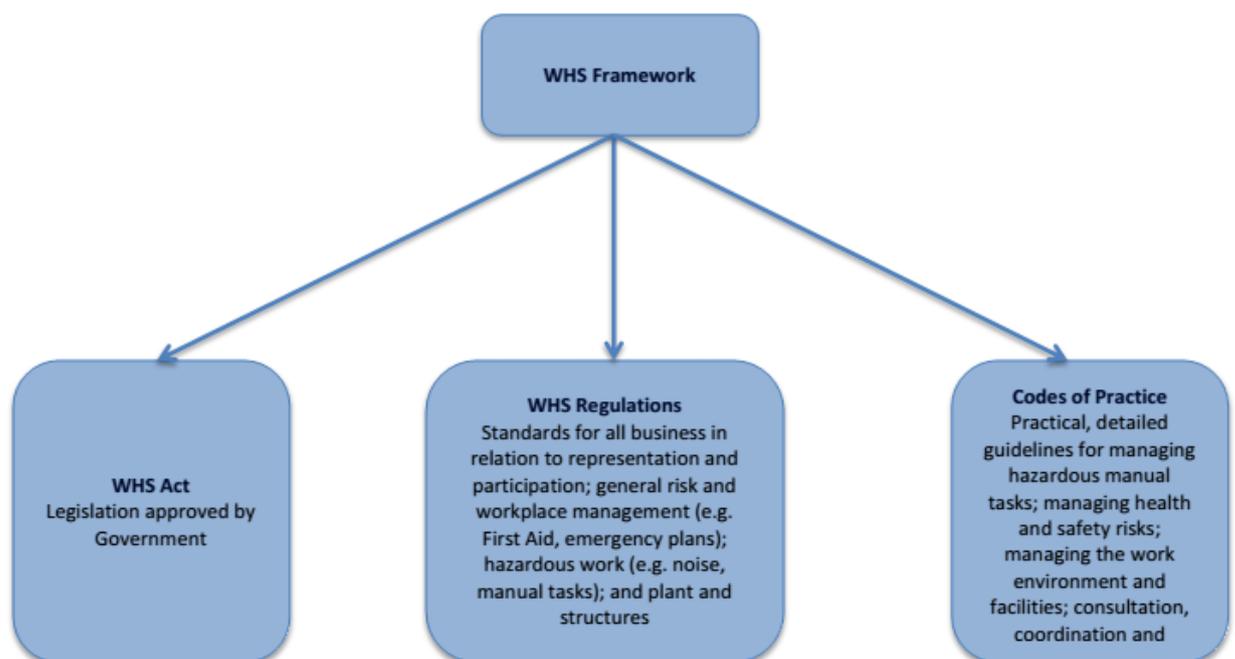
Introduction

The unit of competency, Implement and monitor WHS policies, procedures and programs to meet legislative requirements provides students with the skills and knowledge required to manage a range of risks in a range of workplace contexts across an organisation or for a specific business unit. Irrespective of your role within an organisation and as to whether you have responsibility of directly supervising others or not, all employees can be impacted by workplace risk. The following student handout is broken down into the following key areas:

1. Rules & Regulations
2. Definitions
3. Link to Safe Work Australia – How to manage work health and safety risks
4. Risk Management tools

1. Rules and regulations (as sourced from <https://www.worksafe.qld.gov.au>)

The WHS Framework.



Workplace Health and Safety Act 2011

Employers, managers and employees all have legal obligations to help keep a workplace safe. These obligations and requirements involved are set out in the Workplace Health and Safety Act 2011 (the WHS Act). All businesses and industries, large and small, are bound by the provisions of the Act and Regulations.

<https://www.legislation.qld.gov.au/LEGISLTN/CURRENT/W/WorkHSA11.pdf>

The [Work Health and Safety Act 2011](#) (PDF, 833 KB) (the WHS Act) provides a framework to protect the health, safety and welfare of all workers at work. It also protects the health and safety of all other people who might be affected by the work.

All workers are protected by the WHS Act, including:

- Employees
- Contractors
- Subcontractors
- Outworkers
- apprentices and trainees
- work experience students
- volunteers
- employers who perform work

The WHS Act also provides protection for the general public so that their health and safety is not placed at risk by work activities.

The WHS Act places the primary health and safety duty on a person conducting a business or undertaking (PCBU). The PCBU must ensure, as far as is reasonably practicable, the health and safety of workers at the workplace. Duties are also placed on officers of a PCBU, workers and other persons at a workplace.

All duties under the WHS Act are qualified by the term '[reasonably practicable](#)'.

The WHS Act also sets out the requirements for the following:

- incident notification
- consultation with workers
- issue resolution
- inspector powers and functions
- offences and penalties

WHS Regulations

Although the WHS Act is the formal description of workplace health and safety law, **regulations** are developed to provide a more detailed set of requirements and must be read in conjunction with the Act. These regulation, adopted under state and territory WH&S Acts, explain the duties of particular groups of people in controlling the risks associated with specific hazards. Regulations are legally enforceable.

To learn more, please visit <http://www.safeworkaustralia.gov.au/sites/swa/model-whs-laws/model-whs-regulations/pages/regulations>

WHS Codes of Practice

Codes of Practice provide practical advice on meeting regulatory requirements. Unlike the WHS Act and associated regulations, not all codes are legally enforceable, but may be used in courts as evidence that legal requirements have or have not been met.

To learn more, please visit <http://www.safeworkaustralia.gov.au/sites/swa/model-whs-laws/model-cop/pages/model-cop>

Other Relevant Legislation (may be relevant in certain circumstances)

- AS/NZS 4360:2004 Risk management.
- legislation, codes of practice and national standards, for example:
 - duty of care
 - company law
 - contract law
 - environmental law
 - freedom of information
 - industrial relations law
 - privacy and confidentiality
 - legislation relevant to organisation's operations
 - legislation relevant to operation as a business entity
- organisational policies and procedures, including:
 - risk management strategy
 - policies and procedures for risk management
- overall operations of organisation
- reasonable adjustment in the workplace for people with a disability
- types of available insurance and insurance providers

2. Definitions (as sourced from <https://www.worksafe.qld.gov.au/laws-and-compliance/workplace-health-and-safety-laws/definitions>)

Person conducting a business or undertaking (PCBU): a business or an undertaking that is either conducted alone or with others, whether or not for profit or gain. A PCBU can be:

- a sole trader (for example a self-employed person)
- a partnership
- a company
- an unincorporated association
- a government department
- a public authority (including a municipal council).

An elected member of a municipal council acting in that capacity is not a PCBU.

Worker: employees, contractors, subcontractors, outworkers, apprentices and trainees, work experience students, volunteers and PCBUs who are individuals if they perform work for the business.

Officer: for a corporation, partnership or unincorporated association is as defined in section 9 of the [Corporations Act 2001 \(Cth\)](#), and includes a person:

- who makes, or participates in making decisions that affect the whole or a substantial part of the business
- has the capacity to significantly affect the corporation's financial standing
- on whose instructions the directors of the corporation are accustomed to act.

Due diligence: emphasises the corporate governance responsibilities of officers. Officers of corporations and unincorporated bodies will need to show that they have taken reasonable steps to:

- acquire and update their knowledge of health and safety matters
- understand the operations being carried out by the person conducting the business or undertaking in which they are employed, and the hazards and risks associated with the operations

- ensure that the person conducting the business or undertaking has, and uses, appropriate resources and processes to eliminate or minimise health and safety risks arising from work carried out
- ensure that the person conducting the business or undertaking has appropriate processes in place to receive and respond promptly to information regarding incidents, hazards and risks
- ensure that the person conducting the business or undertaking has, and uses, processes for complying with duties or obligations under the [Work Health and Safety Act 2011](#) (PDF, 833 KB) (the WHS Act) and for verifying compliance with those duties.

Health and safety representative (HSR): a worker who has been elected by a work group to represent them on health and safety issues.

Reasonably practicable: means that which is, or was at a particular time, reasonably able to be done to ensure health and safety, taking into account and weighing up all relevant matters including:

- the likelihood of the hazard or the risk concerned occurring
- the degree of harm that might result from the hazard or the risk
- what the person concerned knows, or ought reasonably to know, about the hazard or risk, and ways of eliminating or minimising the risk
- the availability and suitability of ways to eliminate or minimise the risk
- after assessing the extent of the risk and the available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk

Note: Although the above information has been sourced directly from the Regulator, and will be further explored throughout this handout, you are encouraged to familiarise yourself with the various elements of the website.

In Australia, it is the responsibility of Managers to ensure a safe working environment for their staff. Every employee is responsible for following the organisation's risk-management policies and procedures and for remaining aware of the risks they and the organisation might be exposed to and the risks to which they, themselves, might expose the organisation.

However, the ultimate responsibility for identifying and managing risk and establishing a healthy risk culture lies with the owner, managers and/or board of directors who establish the organisation's appetite for risk and risk-management policies and monitors the effectiveness of the various programs and measures that flow from the policies.

3. How to manage work health and safety risks (Code of Practice)

The following links will take you to the Safe Work Australia website, an Australian Government statutory agency established in 2009. It provides an extensive discussion on how to manage work health and safety risk and when couple with your own research, will provide you with a very good understanding of your role in and understanding of WH&S risk management. Specifically, it provides a 'code of practice' that can be read in conjunction with the WHS Act 2011 and associated regulations.

http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/633/How_to_Manage_Work_Health_and_Safety_Risks.pdf

http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/624/Work_Health_and_Safety_Consultation_CoOperation_and_CoOrdination.pdf

Note that there are additional 'codes of practice' that may have relevance to your workplace/industry and should be reviewed accordingly. These can be located at:

<http://www.safeworkaustralia.gov.au/sites/swa/model-whs-laws/model-cop/pages/model-cop>

4. Risk Management Tools

A detailed approach (adapted from <http://www.mapl.com.au/risk/risk4.htm>) is as follows:

NOTE: Please use this method in analysing the risks your assignment task.

In developing a risk management process some of the useful tools include:

- Likelihood scale
- Consequences scale
- Level of risk scale
- Risk matrix
- Scale for evaluating risk

Likelihood scale

One key task in analysing risks is to estimate the likelihood of an event. To do this you will need a likelihood scale. Likelihood scales will need to be tailored to the risk management process.

An example of a likelihood scale is:

Level	Likelihood	Description
A	Almost certain	eg. will occur at least once a year or more often
B	Likely	
C	Possible	
D	Unlikely	
E	Rare	
F	Very rare	
G	Almost incredible	eg. once in 100,000 years

You will need to describe the likelihood in terms of a rate, for example, 'almost certain' could mean 'will occur at least once a year or more often' and 'almost incredible' could mean 'once in 100,000 years'.

The likelihood scale and the way it is described may vary with the type of risk.

Consequences scale

It is useful to have a consequences scale for a given category or risk. An example of a consequences scale for 'health and safety' and 'financial risk' consequences are:

Level	Health and safety consequences	Financial (economic downturn) consequences
1.	No medical treatment required	No impact
2.	Minor medical treatment required	Min. impact – Issue addressed without notice
3.	Hospitalisation required	Some impact – noticed but structure remains
4.	Minor disability resulted	Minor impact – changes to organization structure
5.	Major disability resulted	Major impact – many redundancies
6.	Death resulted	Significant impact – possible sale of business
7.	Multiple deaths resulted	Catastrophic – Bankruptcy

The consequence scale will vary with each type of risk.

Level of risk scale

A scale for the level of risk is very useful for prioritising risks. For example.

Level of risk
Very high
High
Medium
Low
Very low
Negligible

Level of risk matrix

The level of risk is the combination of the consequences and the likelihood for a specific risk.

Examples of low risks include:

- An event that is likely to occur but has minimal consequences
- An event that is extraordinarily unlikely to occur but has moderately severe consequences.

Examples of high risks include:

- An event that is likely to occur and has moderately severe consequences
- An event that is extraordinarily unlikely to occur but has catastrophic consequences.

The following table is a risk matrix and shows the relationship between *Likelihood*, *Consequence* and *Level of risk*.

In the table:

- A1 is certain to happen but has small consequences so is a low risk.
- A7 is certain to happen and has very large consequences so is a very high risk
- G1 is very rare and has small consequences so is a negligible risk
- G7 is very rare but has large consequences so is a medium risk.

	Likelihood (Certain to very rare)						
Consequence (small to large)	A	B	C	D	E	F	G
1	Low	Low	Low	Low	Low	Very Low	Negligible
2	Medium	Medium	Medium	Low	Low	Very Low	Very Low
3	High	Medium	Medium	Medium	Low	Low	Very Low
4	High	High	Medium	Medium	Medium	Low	Very Low
5	Very high	High	High	Medium	Medium	Medium	Low
6	Very high	Very high	High	High	Medium	Medium	Medium
7	Very high	Very high	Very high	High	High	Medium	Medium

Specific risks can be located on the matrix. Risks can be compared with each other so they can be prioritised for treatment.

For example:

- Risk of fire burning a building down could be located at E7 (rare but very significant consequences and so a high risk)
- Violence during home visits could be located at B4 (likely with serious consequences and so a high risk).

Scale for evaluating risk

When evaluating the level of risk, i.e. deciding whether it is an acceptable risk or not it is useful to have a scale on which to base judgments, for example:

	Level of risk	Description
i)	Broadly acceptable level of risk	The situation is not of concern
ii)	Best achievable level of risk	Achieved with best practice
iii)	As low as reasonably practicable(ALARP)	Must be achieved (minimum standard)
iv)	Generally intolerable level of risk	Not tolerated

For a given risk one will need to make a judgment of where the cut off points are for levels i) to iv) in the table. When is an occupational health and safety risk broadly acceptable? When is it intolerable? What is the level or risk the organisation wants to achieve? As low as reasonably practicable?

Risk Treatment

At the risk of muddying the waters, the next example of a risk matrix takes a further step in the overall 'risk management' process and includes 'risk treatment'.

Detailed risk matrix example

LIKELIHOOD	CONSEQUENCE				
	Insignificant	Minor	Moderate	Major	Critical
Rare	LOW Accept the risk Routine management	LOW Accept the risk Routine management	LOW Accept the risk Routine management	MEDIUM Specify responsibility and treatment	HIGH Quarterly senior management review
Unlikely	LOW Accept the risk Routine management	LOW Accept the risk Routine management	MEDIUM Specify responsibility and treatment	MEDIUM Specify responsibility and treatment	HIGH Quarterly senior management review
Possible	LOW Accept the risk Routine management	MEDIUM Specify responsibility and treatment	MEDIUM Specify responsibility and treatment	HIGH Quarterly senior management review	HIGH Quarterly senior management review
Likely	MEDIUM Specify responsibility and treatment	MEDIUM Specify responsibility and treatment	HIGH Quarterly senior management review	HIGH Quarterly senior management review	EXTREME Monthly senior management review
Almost Certain	MEDIUM Specify responsibility and treatment	MEDIUM Specify responsibility and treatment	HIGH Quarterly senior management review	EXTREME Monthly senior management review	EXTREME Monthly senior management review

As you have no doubt noticed, this matrix has some subtle differences to the example addressed in the previous section. But most importantly, it provides us with a treatment level. Risks that are determined green require routine management whereas risk that are red must have continual 'monthly' monitoring and preferably by Senior Management.

Using this matrix (or the ones presented earlier), an action plan can be developed and implemented ensuring that not only is the risk analysed and categorised according to its likelihood and consequences, but when the risk should be reviewed and by whom.

Savage Stone LLC

Safety Training Program and Employee Orientation

Agenda

Day 1: Review the Company Safety Policy

Classroom Orientation

Review Videos

Process Employment Forms

Receive Company Safety Policy, General Company Policy, and Employee valuation Policy.

General review

Safety Quiz

Workplace and plant Safety Tour - Field Training

NOTE: Employees must have safety shoes before they are allowed to start work.

Day 2: On the job training under observation of an experienced miner.

Day 3: On the job training under observation of an experienced miner.

Employees will be evaluated based on their performance and their knowledge of safety procedures.

If you work...	MINIMUM							
	Laboratory-Specific training	Laboratory Safety Orientation	Hazardous Waste Management	Biosafety	Bloodborne Pathogens	Controlled Substances	Laser Safety	Radiation Safety
In a Laboratory , or with Research involving Chemicals	✓	✓	✓					
With Biohazardous materials (e.g., bacteria, viruses, prions, etc.)	✓	✓	✓	✓				
With Blood or Body Fluids (Human or Primate), or Microorganisms that can cause human disease	✓	✓	✓	✓	✓			
With Controlled Substances (DEA Schedules I-V, List I chemicals, or California Precursors)	✓	✓				✓		
With Lasers	✓	✓					✓	
With Radioactive materials	✓	✓	✓					✓

**Sample Training Program Matrix
(Revised 1/10/03)**

Subject	Key Components	Applies to Employees Covered by	Estimated Duration and Frequency (minimum hours underscored if listed in code)	Examples of Employees Covered
Above Ground Storage Tanks	<ul style="list-style-type: none"> • Operation of monitoring & alarm system • Emergency response 	Fed: 40CFR parts 280-281 State: 8CCR 5589-5596		Maintenance staff Assigned employees
Aerial Device Safety	<ul style="list-style-type: none"> • Proper procedures for operating an aerial device • Employee must retrain if unsafe act witnessed or reported 	Fed: 29CFR 1910.66 app C & 1910.67(c)(2)(ii) State: 8CCR 3424(b) & 3638(d)	Initial: yes 3 yrs.: yes	Aerial device operators
Agricultural Operations	<ul style="list-style-type: none"> • Operation of agricultural equipment • Formulation & application of restricted materials • Tool safety 	State: 3CCR 6400 8CCR 3436 et seq.	Initial: 8 hrs. Annual: 2 hrs.	Agricultural & farm personnel
Asbestos Awareness	<ul style="list-style-type: none"> • Overview of asbestos hazards • How to minimize accidental exposure • Personal protective equipment • Location of ACBM • Recognition of hazardous exposures 	Fed: 29CFR 1910.1001 State: 8CCR 5208	Initial: <u>2 hrs.</u> Annual: <u>2 hrs.</u>	Maintenance staff Plumbers Electricians Assigned employees
Asbestos Inspector	<ul style="list-style-type: none"> • Asbestos management for project inspectors • Public Relations • Understanding building systems 	Fed: 29CFR 1910.1001 40CFR 763 State: 8CCR 5208	Initial: <u>24 hrs.</u> Annual: <u>4 hrs.</u>	EH&S staff
Asbestos Management Planner	<ul style="list-style-type: none"> • Asbestos management for project managers • Legal implications • Role of other professionals in abatement • Assembling and submitting management plans 	Fed: 29CFR 1910.1001 40CFR 763 State: 8CCR 5208	Initial: <u>40 hrs.</u> Annual: <u>8 hrs.</u>	EH&S staff Facilities Project Planners
Asbestos Operations & Maintenance (O&M)	<ul style="list-style-type: none"> • Handling methods • Respiratory protection • Personal protection measures • Work practices 	Fed: 40CFR 763.92 29CFR 1910.1001 29CFR 1926.58 29CFR 1910.134	Initial: <u>16 hrs.</u> Annual: <u>8 hrs.</u>	EH&S staff Maintenance staff Custodial staff
Asbestos Project Designer	<ul style="list-style-type: none"> • Asbestos management for project designers • Overview of construction projects • Asbestos specifications 	Fed: 29CFR 1910.1001 State: 8CCR 5208	Initial: <u>24hrs.</u> Annual: <u>8 hrs.</u>	EH&S staff Maintenance staff
Asbestos Supervisor	<ul style="list-style-type: none"> • Asbestos management for project supervisors • State of the art practices • Supervisory techniques for asbestos abatement 	Fed: 29CFR 1910.1001 40CFR 763 State: 8CCR 5208	Initial: <u>32hrs.</u> Annual: <u>8 hrs.</u>	EH&S staff Maintenance staff
Asbestos Worker	<ul style="list-style-type: none"> • Asbestos management for project workers • State of the art practices 	Fed: 29CFR 1910.1001 40CFR 763 State: 8CCR 5208	Initial: <u>24hrs.</u> Annual: <u>8 hrs.</u>	Maintenance staff Plumbers Assigned employees
Back Safety	<ul style="list-style-type: none"> • Back injury prevention principles & techniques 	State: 8CCR 3203	Initial: 2 hrs. Annual: 1 hr.	All classifications
Bicycle Safety		Local Campus and County Regs		
Bloodborne Pathogens/ Infectious Disease Control/ Medical Waste	<ul style="list-style-type: none"> • Identify medical waste • Label & store • Safe handling procedures • Personal protective equipment 	State: 8CCR 3203, 3360 et seq., 5193 & 6004 H&S Code Chpt. 2 Div. 20	Initial: yes must cover all material Annual: yes for at-risk employees	Maintenance staff Custodial staff Animal handlers Healthcare personnel Public safety personnel Instructional support staff Faculty

Helpful Websites:

<https://www.legislation.qld.gov.au/legisln/current/w/workhsa11.pdf>

<http://www.iso.org/iso/home/standards/iso31000.htm>

<http://www.safeworkaustralia.gov.au/sites/SWA/about/Publications/Documents/721/Managing-risks-to-health-fact-sheet.pdf>