

## 4.23a Risk Identification and Assessment

6 September 2010

Part A: to be completed by staff member

Assessor/s name/s: \_\_\_\_\_ Date \_\_\_\_/\_\_\_\_/\_\_\_\_

### 1. Context

*This box will expand as you type.*

2. Outcome (Result of exposure ) Fatality **Yes / No** Injury **Yes / No** Disease **Yes / No** Damage to property **Yes / No** Is there a fraud aspect? **Yes/No**

Injury to public /student **Yes / No** Other: \_\_\_\_\_

3. Issue	4. Risk	5. "Inherent risk" No controls in place		6. Inherent Risk Rating	7. Control * = preferred control S = short term only	Control Existing Yes/No	8. Residual Risk after controls implemented "Reassessment"		9. Residual Rating
		Likelihood	Consequence				Likelihood	Consequence	

Add extra rows as required by pressing the tab key at the end of the last row

**Note: Short term controls or permanent controls must be implemented for risks of High or extreme ( Rating 12 or higher)**

10. Report sent to: \_\_\_\_\_ /\_\_\_\_/\_\_\_\_ Review Date: \_\_\_\_/\_\_\_\_/\_\_\_\_

## Notes to Assist in Completion of this Form

### Instruction and Key (Rating) for Risk Identification and Assessment

#### Instructions

- Context** – Explain the nature of the activity and all the factors which have the potential to impact on that activity . The persons involved, their level of experience or training, environmental factors, economic constraints, geographical location, equipment used, legislative requirements etc
- Outcome** – Identify all possible outcomes including worst case scenario. You can tick more than one box.
- Issue** – Provide a general category eg design, manual task, environment, process, research activity, laboratory work, field trip,
- Risk** – Detail all things that can go wrong ( causes of injury ) as a result of undertaking this activity ( use more forms if necessary)
- Inherent risk** – Use the key to identify the level of risk without controls. Write the appropriate rating (word)
- Inherent risk rating** – Use Know Risk matrix to establish the combination or likelihood and consequence for inherent risk (number)
- Controls** – Controls may include eliminating the hazard, substituting an item or process for a less hazardous option, isolating or separating the hazard, using engineering controls such as mechanical aids, handles, wheels, automation, interlocks, guards, safety devices, barriers, elevated work platforms , white noise or workplace redesign, using administrative controls such as instructions, rules, policies, procedures, safe work method statements, signs, training, limiting exposure, rotating people or tasks etc . As an added control you may suggest that protective equipment such as boots, goggle, special clothing may be worn
- Residual risk** – Rate risk level again as if the controls are in place. (number)
- Control assessment** – Define overall assessment of short term or long term control
- It is necessary to discuss this assessment with your supervisor, resource officer, head of cost centre, or OHS Officer (as appropriate)

#### Key (Rating)

Definition of terms - Likelihood of occurrence	
<b>RARE</b>	Likely to occur only in very exceptional circumstances
<b>UNLIKELY</b>	Could occur at some time
<b>POSSIBLE</b>	May occur at some time
<b>LIKELY</b>	Will probably occur at least once
<b>ALMOST CERTAIN</b>	Is expected to occur in most circumstances

Definition of terms - Consequence/Impact	
<b>INSIGNIFICANT</b>	No personal injury – No adverse media attention – Financial cost under \$2000
<b>MINOR</b>	Minor personal injury – Adverse Local Media Coverage only – Cost \$2000-\$50,000
<b>MODERATE</b>	Serious personal injury – Adverse Capital City Media Coverage – Cost \$50,000-\$250,000
<b>MAJOR</b>	Multiple Serious Personal Injury – Adverse & Extended National media Coverage – Cost \$250,000 - \$1m
<b>CATASTROPHIC</b>	Fatality(ies) – Government intervention – Financial cost more \$1million

Definition of terms - Control assessment	
<b>Damaging</b>	Increases likelihood&/or consequence of risk or introduces other unacceptable risk(s)
<b>None</b>	No effect
<b>Deficient</b>	Some effect on likelihood &/or consequences but not sufficient to reduce risk to a satisfactory level
<b>Marginal</b>	Barely sufficient to reduce risk to an acceptable level
<b>Qualified</b>	Some effect but not guaranteed to reduce risk to acceptable level on all occasions

KNOW RISK MATRIX					
Consequence/ Impact	Likelihood				
	RARE	UNLIKELY	POSSIBLE	LIKELY	ALMOST CERTAIN
<b>1 INSIGNIFICANT</b>	1 Negligible	2 Negligible	3 Low	4 Low	5 Tolerable
<b>2 MINOR</b>	2 Negligible	4 Low	6 Tolerable	8 Tolerable	10 Tolerable
<b>3 MODERATE</b>	3 Low	6 Tolerable	9 Tolerable	12 High	15 Extreme

<b>4 MAJOR</b>	4 Tolerable	8 Tolerable	12 Extreme	16 Extreme	20 Extreme
<b>5 CATASTROPHE</b>	5 High	10 High	15 Extreme	20 Extreme	25 Extreme