

Escalating Serious Issues To Senior Management Risk Assessment

Business Name:	ABN:	
Business Address:		
Contact Person:	Phone:	Email:

THIS RISK ASSESSMENT IS APPROVED BY THE PCBU ON THE PROJECT

Under the Work Health and Safety Regulation (WHS Regulation), a person conducting a business or undertaking (PCBU) is required to ensure that a RISK ASSESSMENT is prepared before the proposed work starts.

Full Name:		
Signature:	Title:	Date:

CLIENT OR PRINCIPAL CONTRACTOR DETAILS

Client:	SCOPE OF WORKS
Project Name:	
Project Address:	
Project Manager:	
Contact Phone:	
Date Risk Assessment supplied to Project Manager:	

RISK MATRIX									
LIKELIHOOD	INSIGNIFICANT	MINOR	MODERATE	MAJOR	CATASTROPHIC	SCORE	ACTION	HIERARCHY OF CONTROLS	
ALMOST CERTAIN	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4 ACUTE			Elimination Remove the hazard.	
LIKELY	2 MODERATE	3 HIGH	3 HIGH	4 ACUTE	4 ACUTE	4A ACUTE	DO NOT PROCEED	Substitution Replace the hazard.	
POSSIBLE	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	4 ACUTE	3H HIGH	Review before work starts.	Isolation Isolate People from the hazard	
UNLIKELY	1 LOW	1 LOW	2 MODERATE	3 HIGH	4 ACUTE	2M MODERATE	Ensure control measures in place.	Engineering Isolate the hazard	
RARE	1 LOW	1 LOW	2 MODERATE	3 HIGH	3 HIGH	1L LOW	Monitor and keep records.	Administrative Change	
								PPE	
Risk Rating & Required Action:								Notes on Hierarchy of Controls:	
4A		Stop work. The risk is intolerable. Eliminate the hazard or redesign the activity before proceeding. A Safe Work Method Statement (SWMS) or higher-level authorisation is required.						Remember to apply controls in the preferred order shown by the coloured pyramid:	
3H		Review and approve additional controls before task starts. Senior supervisor sign-off needed.						1. Eliminate	
2M		Ensure all nominated controls are in place and effective. Proceed with caution; monitor conditions.						2. Substitute	
1L		Proceed, following standard operating procedures. Monitor and keep records.						3. Isolate	
								4. Engineering	
								5. Administrative	
								6. PPE	
Consequence Scale:								Always document why a lower-order control is accepted if elimination or substitution is not reasonably practicable.	
Consequence	People (injury/illness)		Project / Assets		Compliance / Reputation				
Catastrophic	Fatality or permanent total disability		project shutdown		Significant regulator intervention; criminal prosecution				
Major	Serious injury/illness (hospital > 5 days)		critical delay		Improvement notice; major media coverage				
Moderate	Medical-treatment injury; lost-time > 1 day		moderate delay		Minor breach; adverse client comment				
Minor	First-aid only, no lost time		negligible delay		Isolated non-conformance				
Insignificant	No injury		no schedule impact		Deviation caught and corrected on site				
								<i>aligned with Safe Work Australia's Managing the risk of fatigue at work (2023) and ISO 45001:2018 clauses 6–8.</i>	

JOB STEP	POTENTIAL HAZARDS	IR	CONTROL MEASURES	RR
SPECIFIC WORK STEPS	HAZARDS THAT MAY ARISE	INITIAL RISK	SPECIFIC MEASURES TO BE PUT IN PLACE TO ELIMINATE OR CONTROL THE RISKS	RESIDUAL RISK
1. Identify Need for Escalation	Miscommunication, Delayed response	3H	<ul style="list-style-type: none"> - Regular training on identifying escalation indicators - Implement a clear escalation policy - Use decision-making matrix for urgency assessment - Establish communication protocols for escalation - Assign clear roles and responsibilities - Conduct regular feedback sessions - Utilise checklists for monitoring ongoing issues - Integrate escalation needs into performance reviews - Ensure transparency in reporting mechanisms - Use technology to flag escalating issues automatically 	2M
2. Documentation	Incorrect information, Data breach	3H	<ul style="list-style-type: none"> - Use standardised documentation templates - Ensure data validation procedures are in place - Train staff in accurate data entry and management - Implement access controls to sensitive information - Provide regular audits of documentation processes - Schedule regular back-up of important data - Facilitate collaboration software for accurate updates - Implement digital signatures for verification - Use encryption for sensitive documentation - Develop guidelines for secure data disposal 	2M
3. Initial Assessment	Inadequate assessment, Bias in decision making	3H	<ul style="list-style-type: none"> - Establish criteria for initial assessment - Train on cultural competency to reduce bias - Implement peer review of initial assessments - Use a checklist to ensure thorough evaluation - Provide access to historical data for reference - Develop a decision support system - Facilitate workshops on critical thinking skills - Utilise case studies for training 	2M

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			<ul style="list-style-type: none"> - Ensure feedback mechanisms to refine assessment criteria - Conduct periodic review of the assessment criteria 	
4. Decide on Escalation Pathway	Choosing inappropriate pathway, Overlooked escalation cues	3H	<ul style="list-style-type: none"> - Review escalation pathway with senior management - Ensure all escalation cues are identified and documented - Provide training on escalation pathway to all staff - Implement a checklist for escalation decision making - Establish a clear escalation process and timeline - Ensure all staff are aware of the escalation process - Review escalation process regularly - Implement a system for monitoring escalation cases - Ensure all staff are aware of the escalation process - Review escalation process regularly 	2M
5. Communication with Senior Management	Miscommunication, Loss of important information	3H	<ul style="list-style-type: none"> - Establish a clear communication protocol with senior management - Ensure all important information is communicated - Provide training on communication protocol to all staff - Implement a checklist for communication with senior management - Establish a clear communication process and timeline - Ensure all staff are aware of the communication process - Review communication process regularly - Implement a system for monitoring communication cases - Ensure all staff are aware of the communication process - Review communication process regularly 	2M
6. Determine Resources Required for Resolution	Under-resource allocation, Resource mismanagement	3H	<ul style="list-style-type: none"> - Review resource allocation with senior management - Ensure all resources are allocated appropriately - Provide training on resource allocation to all staff - Implement a checklist for resource allocation - Establish a clear resource allocation process and timeline - Ensure all staff are aware of the resource allocation process - Review resource allocation process regularly - Implement a system for monitoring resource allocation cases - Ensure all staff are aware of the resource allocation process - Review resource allocation process regularly 	1L

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7. Assign Responsibility	Role ambiguity, Disruption in accountability	4A		2M
8. Develop Resolution Plan	Incomplete plan, Inadequate solutions	3H		2M
9. Implement Resolution Plan	Implementation delays, Non-compliance	3H		2M

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10. Monitor Progress	Lack of progress visibility, Ineffective monitoring methods	3H		1L
11. Review and Evaluate Outcomes	Oversight of outcomes, Inaccurate evaluations	3H		1L
12. Document Lessons Learned	Loss of critical insights, Incomplete records	3H		1L

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13. Report Outcomes to Senior Management	Misreported outcomes, Delayed reporting	3H		2M
14. Update Policies if Necessary	Outdated procedures, Poor feedback	3H		1L
15. Provide Feedback to All Stakeholders	Incomplete feedback, Poor feedback delivery	3H		2M

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16. Conduct Training Based on Outcomes	Training not tailored to needs, Resources not effectively allocated	3H		1L
17. Update Risk Assessment Procedures	Procedural discrepancies, Outdated risk evaluations	4A		2M
18. Verify Compliance with Risk Management Practices	Non-compliance incidents, Lax enforcement	3H		2M

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SAMPLE

EMERGENCY RESPONSE – CALL 000 FOR EMERGENCIES

Ensure to have an Emergency Management Plan in place as well as adequate numbers of trained first aid staff with easy access to fully stocked first aid kits, rescue equipment, material safety data sheets, adequate access to emergency communication equipment and fire-fighting equipment suitable for all classes of fire and ignition sources.

LEGISLATIVE REFERENCES

RELEVANT LEGISLATION AND CODES OF PRACTICE. DELETE THE LEGISLATIVE REFERENCES IF ANY STATE THAT ARE NOT APPLICABLE

Queensland & Australian Capital Territory

Work Health and Safety Act 2011

Work Health and Safety Regulations 2011

Legislation QLD: <https://www.worksafe.qld.gov.au/laws-and-compliance/work-health-and-safety-laws>

Codes of Practice QLD: <https://www.worksafe.qld.gov.au/laws-and-compliance/codes-of-practice>

Legislation ACT: <https://www.worksafe.act.gov.au/laws-and-compliance/acts-and-regulations>

Codes of Practice ACT: <https://www.worksafe.act.gov.au/laws-and-compliance/codes-of-practice>

New South Wales

Work Health and Safety Act 2011

Work Health and Safety Regulations 2017

Legislation NSW: <https://www.safework.nsw.gov.au/legal-obligations/legislation>

Codes of Practice NSW: <https://www.safework.nsw.gov.au/resource-library/list-codes-of-practice>

Northern Territory

Work Health and Safety (National Uniform Legislation) Act 2011

Work Health and Safety (National Uniform Legislation) Regulations 2011

Legislation NT: <https://worksafe.nt.gov.au/laws-and-compliance/workplace-safety-laws>

Codes of Practice NT: <https://worksafe.nt.gov.au/laws-and-compliance/codes-of-practice>

South Australia

Work Health and Safety Act 2012 (SA)

Work Health and Safety Regulations 2012 (SA)

Legislation for SA: <https://www.safework.sa.gov.au/resources/legislation>

Codes of Practice for SA: <https://www.safework.sa.gov.au/workplaces/codes-of-practice#COPs>

Tasmania

Work Health and Safety Act 2012

Work Health and Safety (Transitional and Consequential Provisions) Act 2012

Work Health and Safety Regulations 2012

Work Health and Safety (Transitional) Regulations 2012

Legislation for TAS: <https://worksafe.tas.gov.au/topics/laws-and-compliance/acts-and-regulations>

Codes of Practice for TAS: <https://worksafe.tas.gov.au/topics/laws-and-compliance/codes-of-practice>

Details of permits, licenses or access required by regulatory bodies (add or delete as required):

- Permits from local council
- Authorisation to commence work
- Any required documents.

Victoria

Occupational Health and Safety Act 2004

Occupational Health and Safety Regulations 2017

Legislation VIC: <https://www.worksafe.vic.gov.au/occupational-health-and-safety-act-and-regulations>

Codes of Practice VIC: <https://www.worksafe.vic.gov.au/compliance-codes-and-codes-practice>

Western Australia

Work Health and Safety Act 2020

Work Health and Safety Regulations 2022

Legislation Western Australia: <https://www.commerce.wa.gov.au/worksafe/legislation>

Codes of Practice WA: <https://www.commerce.wa.gov.au/worksafe/codes-practice>

Safe Work Australia Links

Law and Regulation (All States): <https://www.safeworkaustralia.gov.au/law-and-regulation>

Model Codes of Practice: <https://www.safeworkaustralia.gov.au/resources-publications/model-codes-of-practice>

Model Codes of Practice

- Managing noise and preventing hearing loss at work
- Confined spaces
- Labelling of workplace hazardous chemicals
- Managing risks of hazardous chemicals in the workplace
- Welding processes
- First aid in the workplace
- Managing the risk of falls at workplaces
- Hazardous manual tasks
- Managing the risk of falls in housing construction
- Managing electrical risks in the workplace
- Demolition work
- Excavation work
- Work health and safety consultation, cooperation and coordination
- Managing the work environment and facilities
- How to manage work health and safety risks
- Managing risks of plant in the workplace
- Construction work