

Document Name:	Report and Manage Hazards
Document No:	SMS-06-OP-1028

Purpose

The purpose of this document is to describe the procedure to identify the ad hoc hazards, assess risk and implement the appropriate actions to prevent or reduce injury or illness to workers and customers at the organisation's sites.

Scope

This document is applicable to all Managers and workers at any of the organisation's worksites.

Process flow

Process

6.2.1 Identify hazards

- 6.2.1.1 Identify hazards
- 6.2.1.2 Take immediate action for hazards
- 6.2.1.3 Record the hazard
- 6.2.1.4 Review report findings

6.2.2 Assess risks

- 6.2.2.1 Assess risk arising from hazards
- 6.2.2.2 Develop generic risk assessments
- 6.2.2.3 Conduct risk assessment
- 6.2.2.4 Maintain risk assessment records

6.2.3 Determine risk control measures

- 6.2.3.1 Develop risk control measures
- 6.2.3.2 Document risk controls

6.2.4 Implement control measures

- 6.2.4.1 Eliminate identified risks
- 6.2.4.2 Introduce controls
- 6.2.4.3 Assess controls

6.2.5 Monitor and review controls

- 6.2.5.1 Review and revise control measures
- 6.2.5.2 Review risk assessments
- 6.2.5.3 Review and revise Safety Risk Register
- 6.2.5.4 Maintain records

Figure 1 Process flow for report and manage hazards

Procedure

6.2: Report and manage hazards

Local safety risks may be managed by adopting the following broad process:

- determine hazards in local work environment
- develop local Risk Registers
- implement Risk Controls (from local Risk Register)
- identify new hazards arising as a result of the controls implemented
- conduct Risk Assessments (for new hazards)
- develop a plan to control the risk (for new hazards) using the SMS-06-FM-1107 Risk Assessment Form
- log recommendations for action in accordance with SMS-18-SP-1078 Safety Action Management
- implement risk control measures (for new hazards)
- monitor and review risks.

6.2.1: Identify hazards

Hazards may arise when a job is being performed due to:

- adverse weather conditions
- unsafe work practices
- work accidents or incidents
- unexpected circumstances.

6.2.1.1: Identify hazards

Managers are responsible for the following procedure.

Procedure

1. Conduct briefings before the commencement of high-risk tasks to remind workers of potential hazards.

Examples of ad hoc hazards include, but not limited to:

- electrical cords across walkways
 - objects obstructing pathways and emergency exit corridors and doors
 - water or other spillages on floors
 - unsafe work practices e.g. not using safety guards on equipment, improper use of equipment.
2. Identify hazards, as they arise, that have the potential to cause injury, death or illness.
 3. Identify hazards through situational awareness and observation as work is being performed and when moving around a work site.

6.2.1.2: Take immediate action for hazards

Workers must take immediate action to prevent injury when a hazard is identified in the workplace. Managers or a responsible worker are responsible for the following procedure.

Procedure

1. Remove or fix the hazard immediately, e.g. move a cable out of the way or prevent use of damaged equipment by placing a sign on the equipment.
2. Follow established procedures and guides to address the hazard.
3. Instruct someone to warn others whilst attempts are made to control the hazard, if required.
4. Put up temporary barriers or signs, if required.

If, after identifying a hazard, the risk and how to control it effectively is known, simply implement the controls by referring to the relevant guide or procedure to control the risk.



Note

Many hazards and their associated risks are well known and have well established and accepted control measures. In these situations, formally assessing the risk is unnecessary.

6.2.1.3: Record the hazard

Record hazards using SMS-06-FM-1106 Hazard Report Form.

The worker to complete the following procedure.

Procedure

1. Complete the SMS-06-FM-1106 Hazard Report Form and report the hazard to the relevant Manager if the hazard is not immediately eliminated or controlled.
2. File the SMS-06-FM-1106 Hazard Report Form in accordance with record management procedures.

6.2.1.4: Review report findings

Procedure

1. The Receiving Manager should review the filed Hazard Report Form to determine whether:
 - control measures were in place that should have been followed
 - a risk assessment is required
 - control measures need to be established to prevent recurrence of the hazard.
2. Refer to System Procedure for SMS-18-SP-1078 Safety Action Management.

6.2.2: Assess risks

Conduct a risk assessment for all identified risks within the work area.

Make sure that risk assessments also include assessment of proposed risk controls.

6.2.2.1: Assess risk arising from hazards

Managers or other responsible person will conduct risk assessment on the identified hazards.

Procedure

1. Review all other reported hazards (including those recorded on SMS-06-FM-1106 Hazard Report Form) and refer to the local risk register as necessary to:
 - see if the hazard is a new one or if it's a recurrence of an existing hazard.
 - identify if there are any existing controls used to manage the hazard.
 - check if the control measures are being implemented properly.
 - determine what action (including further risk assessment) is required, and initiate action as required.
2. Follow SMS-18-SP-1078 Safety Action Management to log the findings of the review, provide feedback to the initiator of the hazard report, and track progress to resolution.



Note

Risk assessments are generally conducted in workshops comprised of key stakeholders and competent personnel. Competent personnel may include Managers, workers and Health & Safety Committee representatives.

6.2.2.2: Develop generic WHS assessments

The Rail Safety & Operations Manager or Managers will develop generic risk assessments in consultation with affected workers, for tasks, procedures and equipment used at more than one work place or by more than one work group. The assessments will be made available for Managers to access to adapt and adopt as required.

Managers are responsible for the following procedure.

Procedure

1. Review the generic risk assessment in consultation with affected workers to determine its applicability before adopting it for use in their workplace. A generic risk assessment may be applied where:
 - the title of the assessment matches the intended application
 - the scope of the assessment is consistent with the intended application
 - the assessment comprehensively addresses the hazards and risks associated with the intended application in the local workplace, and risk rankings are appropriate
 - listed controls are relevant and in place.
 2. File a copy of the generic risk assessment and records of the review process in the records management system in accordance with SMS-09-SP-1021 Records Management.
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6.2.2.3: Conduct risk assessment

Managers will conduct the risk assessment in consultation with affected workers and other stakeholders.

Procedure

1. Document the risk assessment using SMS-06-FM-0107 Risk Assessment Form to define the scope of the risk assessment.
2. Follow applicable SMS operating procedures and guides.
3. Consult affected workers, including where practicable a relevant Health & Safety Committee member.
4. Identify and consult other relevant stakeholders and subject matter experts.
5. Consider relevant information (e.g. Codes of practice, Australian Standards), records of incidents, illness and disease, and the potential for emergency situations.
6. Consult the relevant safety risk register to consider related risks and existing controls.
7. Rank risks using the matrix in SMS-06-FM-0107 Risk Assessment Form

6.2.2.4: Maintain risk assessment records

Managers are responsible for the following procedure.

Procedure

1. Maintain risk assessment records in accordance with SMS-09-SP-1021 Records Management.
 2. Retain a copy of the findings of the review
 3. Retain a copy of the generic risk assessment and records of the review in the workplace, which includes:
 - scope and title of the risk assessment
 - hazards and associated risks
 - risk rankings
 - risk controls.
 4. Retain a copy of the risk assessment (SMS-06-FM-1107 Risk Assessment Form) and/or other SMS forms.
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6.2.3: Determine control measures

When determining measures to implement to control risks, Managers will need to:

- consult affected workers, including where practicable, the relevant Safety Representative
 - follow the requirements of applicable SMS Procedures and Guides
 - consult applicable codes of practice, Australian standards and manufacturers' information as required, and make sure controls comply with these requirements.
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6.2.3.1: Develop control measures

Managers are responsible for the following procedure for the area(s) they supervise.

Procedure

1. Develop the risk control plan including a workplan which details:
 - a recommended consultation process
 - workers responsible for different jobs in developing the risk control plan
 - the working arrangements, including:
 - how the plan will be prepared
 - priority hazards
 - priority work areas
 - recommended risk controls
 - details of certification required by workers to undertake work activities, where required
 - training to be provided
 - other resources and communication.
 - the plan of action for risk control including timetables for identifying specific hazards, assessing risks, introducing risk controls, reviewing progress with the Risk Control Plan.
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6.2.3.2: Document risk controls Managers will document the plan using any suitable format.

Procedure

1. Document the plan to implement risk controls using:
 - information from the SMS-06-FM-1107 Risk Assessment Form (refer to Figure 3) and/or other SMS forms
 - information from consultation with workers likely to suffer injury, illness or disease from the hazard or as a consequence of the hazard.
2. Documentation should include:
 - hazards identified
 - risk controls already in place
 - acknowledgement of the risk
 - short-term actions taken to control the risk
 - date for short-term actions to be completed
 - other control measures needed using the hierarchy of control
 - date for longer-term actions to be completed
 - responsibility for the actions to be completed.
3. Present the risk control plan to stakeholders for agreement prior to implementation.

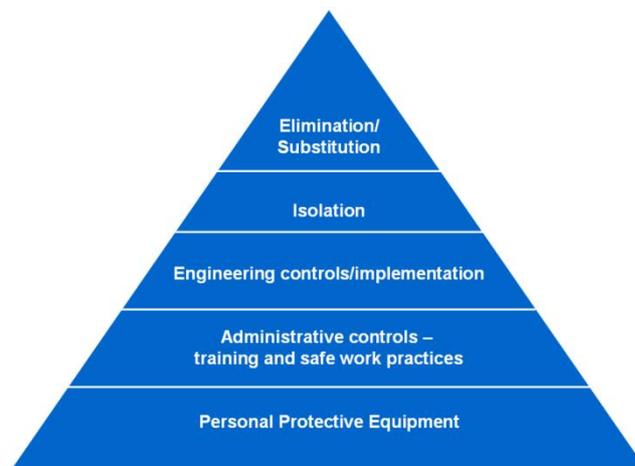


Figure 2 Hierarchy of controls

6.2.4: Implement controls

Identified risks should be eliminated wherever reasonably practicable. Where elimination is not reasonably practicable, the risk should be controlled to a level so far as is reasonably practicable (SFAIRP).

6.2.4.1: Eliminate identified risks

Managers are responsible for the following procedure.

Procedure

1. Replace it with something else, if practicable and safe to do so.
 2. Approach the task differently, if practicable and safe to do so, refer to the following examples.
 - Purchase materials in bulk and move them by forklift and eliminate the need for personnel to move individual bags, boxes or drums.
 - Use computer software to capture data rather to eliminate repetitive keying for data entry.
 - Deliver goods directly to point of use and eliminate multiple handling.
 3. If the risk cannot be eliminated, consider the other factors in the hierarchy of controls.
 - Substitute the hazard giving rise to the risk with something that gives rise to a lesser risk – e.g. purchase items in smaller more manageable containers; substitute heavy materials for lighter materials (where possible).
 - Isolate the hazard from any person exposed to it – e.g. isolate users from fumes from chemicals, vibrations or noise created by equipment or machinery).
 - Implement engineering controls – e.g. use trolleys to move heavy or bulky items; maintain tools and equipment, use equipment or software to assist completion of tasks.
 - Minimise the risk by administrative means (such as adopting Safe Work Practices or providing appropriate training, instruction or information) – e.g. design workflows, consider job sharing or sharing tasks among team members).
 - Use personal protective equipment – e.g. use gloves, wear safety helmets, wear sunscreen and sun-resistant clothing when working outdoors.
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6.2.4.2: Introduce controls

Workers should be consulted and advised of controls to be introduced prior to their implementation.

More than one person can concurrently have the same duty:

- each person, however, retains responsibility for their duties in relation to the matter
- each person must discharge the person's duty of care to the extent the person has the capacity to influence and control the matter.

Managers are responsible for the following procedure.

Procedure

1. Refer to the local risk register and applicable SMS Operating Procedures and guides for the risk controls recommended.
2. Brief personnel under their control in the risk controls to be implemented.
3. Communicate safe work practices (refer to SMS-06-OP-1043 Managing Risks Using Safe Work Practices).
4. Coordinate training in the risk controls, where applicable, in conjunction with Rail Safety & Operations Manager.

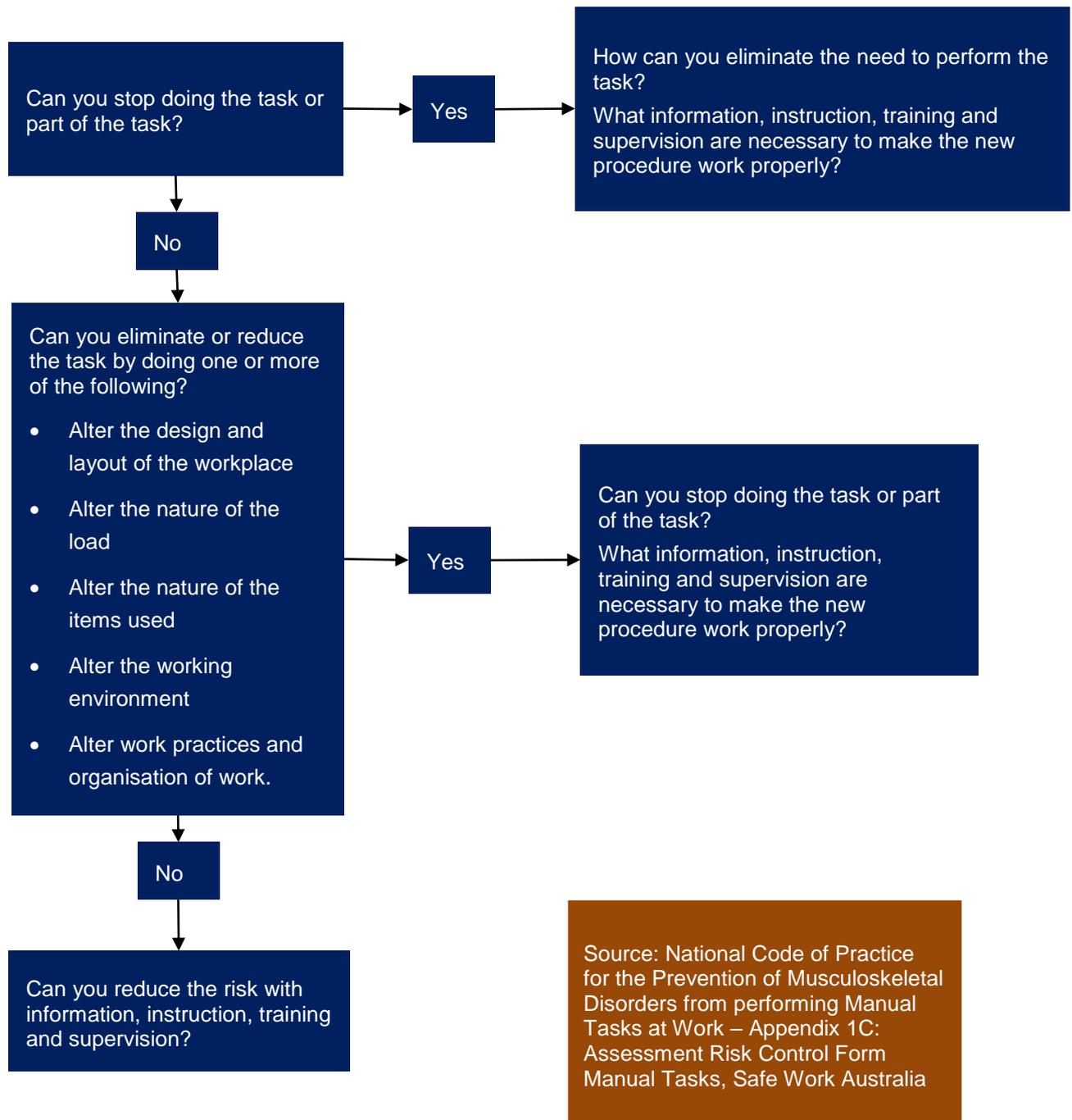


Figure 3 Risk Control - How are you going to fix the problem?

6.2.4.3: Assess controls

Care should be taken to make sure that further risks to health and safety are not created by application of control methods. Managers are responsible for the following procedure.

Procedure

1. Assess the controls for practicality and to see if they present any new risks, using one of the following methods, e.g.:
 - test the controls with a pilot group
 - consult with persons who perform impacted by the risk and controls
 - conduct a risk assessment.
 2. Test the controls for:
 - the severity of injuries potentially caused by the hazards
 - the methods used by equivalent workers/workplaces to address the hazards
 - whether the control will actually work
 - the cost of implementing and maintaining the controls
 - whether the control is sustainable.
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6.2.5: Monitor and review controls

Once the controls have been implemented, Managers will periodically check the controls are working correctly and monitor their effectiveness by performing workplace inspections, or safety interactions.

Also review control measures:

- when the control measure is not effective in controlling the risk (e.g. following an incident)
 - before a change at the workplace that is likely to give rise to a new or different health and safety risk that the control measure may not effectively control
 - if a new hazard or risk is identified
 - if the results of consultation indicate that a review is necessary
 - if a safety representative requests a review.
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6.2.5.1: Review and revise control measures

Managers are responsible for the following procedure.

Procedure

1. Periodically (at least annually) review risks and the effectiveness of risk controls, including safe work practices such as SWIs and other documented work practices, in consultation with workers and safety representatives:
 - review Hazard Reports to determine cause of reported incidents:
 - were the controls used?
 - did the controls present new risks or difficulties?
 2. Regularly ask workers if they are aware of controls to be used if different conditions arise, e.g.:
 - in Toolbox or team briefings, propose a condition and ask workers to suggest controls
 - develop a quiz to present to workers and discuss answers in team briefings.
 3. Determine if the controls have been implemented and are adhered to.
 4. Ask workers if controls are working or not. If not, ask workers to provide feedback or recommendations for improvement.
 5. Document feedback and the suggested controls for future reference of consultation.
 6. Advise Document Custodian of feedback.
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6.2.5.2: Review risk assessments

Review risk assessments associated with safe work practices and the risk assessment process for both effectiveness and to confirm the risk assessment tools and process is reliable. Managers are responsible for the following procedure.

Procedure

1. Review documented risk assessments used in the workplace:
 - when a change is proposed to the task, equipment or substance addressed by the scope of the assessment
 - at least every five years.
 2. Review the risk assessment records to determine whether:
 - the correct and sufficient documents were reviewed
 - related risk assessment/human factors reports were reviewed
 - risk registers and hazard logs were reviewed
 - site visits were included as part of the assessment (where relevant)
 - all the factors that could influence the risk assessment findings were taken into account.
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6.2.5.3: Review and revise safety risk register

Managers are responsible for the following procedure.

Procedure

1. Periodically review risks, causes and controls as per Table 1.
2. Determine if risk controls are being implemented effectively.
3. Confirm that risk levels are monitored and controlled to as low as is reasonably practicable.
4. Confirm that newly identified safety risks, causes and controls are promptly added to the workplace safety risk register.
5. Confirm that the minutes of safety committee meetings capture the review of the safety risk register and are maintained in accordance with SMS-09-SP-1021 Records Management.

Table 1 Scheduled reviews of WHS risks, causes and controls

WHS Risk	Minimum review frequency
'A' risks	To be immediately referred to the Rail Safety & Operations Manager
'B' risks	Six-monthly
'C' and 'D' risks	Annually

6. The Rail Safety & Operations Manager will periodically review the safety risk register process to monitor the:
 - effectiveness of the process
 - introduction of new risks that may be relevant for inclusion on the Safety Risk Register or on other local risk registers.
7. The Rail Safety & Operations Manager will make sure changes that may affect the Safety Risk Register or any other local risk register are managed in accordance with SMS-18-SP-1078 Safety Action Management.

6.2.5.4: Maintain records

Managers are responsible for the following procedure.

Procedure

1. Maintain records according to Information and Records Management Manual and SMS-05-SP-1001 Document Control. Retain records produced throughout this procedure including:
 - completed risk assessments
 - hazard identification checklists
 - hazard report forms
 - assessment of controls
 - review of risk assessments
 - Safety Risk Registers.

References

SMS-06-FM-1107 Risk Assessment Form

SMS-06-FM-1106 Hazard Report Form

SMS-06-TP-1103 Local Risk Register

SMS-06-TP-1328 Safety Risk Register

SMS-06-GD-1047 Guide to WHS Risk Categories

Version Control

Version	Change from previous	Date	Comment
1.0	First release of SMS	22/12/2015	
2.0	Changes to organisation structure	25/01/2017	