WHS Risk Management Framework Procedure

Health and Safety Branch
People and Culture

Procedure no [inserted by Governance Branch]
Version 01 Draft A – 28 February 2019

Contents

Procedure no: [procedure number]   Page 2 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

1   Purpose

WHS risk management is a decision-making process to systematically identify, analyse and evaluate options to treat health and safety (H&S) risks that arise because of FRNSW's undertakings. This procedure provides the methodology for managers (at all levels) to ensure that H&S risks are managed for their respective workplaces. Further, this procedure establishes the framework necessary to ensure that significant H&S risks are communicated to an appropriate level for action.

2   Scope and application

This procedure outlines the WHS Risk Management Framework which is a key element of the Be Safe Health and Safety Management System (HSMS). The framework provides the basis for the management of health and safety risks; these are the risks that have potential consequences in terms of loss of life, injury or negative effect on health.

The WHS Risk Management Framework applies to all activities, augmenting FRNSW's management of operational safety risks through the Incident Management System and the associated operational risk management cycle.

3   Legal and policy framework

Legal & Policy Framework	Description
***Work Health and Safety Act 2011* (NSW)**	In accordance with the *Work Health and Safety Act 2011 (NSW),* all health and safety risks must be: • eliminated so far as is reasonably practicable (SFAIRP); or • minimised so far as is reasonably practicable, if it is not reasonably practicable to eliminate them. These obligations apply to workers and to others that are potentially placed at risk by any FRNSW undertaking. Additional obligations for the proactive management of specific health and safety risks also arise under the *Work Health and Safety Regulation 2017* (NSW)[1].
***Work, Health and Safety policy* (CG10-003)**	The WHS Policy endorses a systematic approach to the management of FRNSW's health and safety risks through the implementation of the Be Safe Health and Safety Management System (HSMS). The functions defined under this policy contribute towards an integrated approach to the management of these risks.
***FRNSW Risk Management policy* (CG06-004)**	In compliance with the NSW public sector requirements laid down by Treasury Policy Paper 15-03, the FRNSW Risk Management policy establishes the organisation's approach to the management of risk. This policy will provide the framework for the management of FRNSW's

---

[1] Specifically, *WHS Regulation*, Ch 3, Pt 3.1 (*Managing risks to work health and safety*).

Procedure no: [procedure number]   Page 3 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

	health and safety risks in accordance with both higher-level instructions. In doing so, WHS risk management processes will be aligned with the AS ISO 31000:2018 standard.
Industry standard – AS ISO[2] 45001:2018 - Occupational health and safety management systems: Requirements	To ensure FRNSW's approach to health and safety is aligned with best practice methods, the Be Safe HSMS has been designed in compliance with the AS ISO 45001:2018 standard. Both internal and external review processes for the HSMS will ensure the system remains aligned with this standard.

---

[2] International Standards Organisation.

Procedure no: [procedure number]   Page 4 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

4 Documenting WHS Risk Management

4.1 Workplace safety risk assessment (WSRA)

A WSRA is needed to determine the residual risk rating involved those tasks or activities that are not addressed through an existing risk assessment or doctrine.

Process Step	Procedure
1. **Consultation**	Consultation with workers and other stakeholders, such as Health and Safety Representatives (HSR) should also occur throughout the process to identify all relevant elements of the risk.

2. **Identify the risk**	**Manager or supervisor**
	
	• Most routine activities can be conducted under the auspices of approved risk ratings determined through the Critical Risk Register process or existing risk controls contained in doctrine, however, where unusual tasks are assigned or conditions fall outside of the normal operating conditions, an WSRA is needed in order to determine the residual risk rating involved in the task.
	
	    o If a hazard is identified in the workplace and it can immediately be eliminated, a WSRA is not required.
	
	    o When elimination is not possible and further control measures need to be considered, a WSRA form should be completed.
	
	• Conduct a WSRA process when:
	
	    o doctrine does not provide enough information or guidance for the management of hazards arising from an activity or task;
	
	    o using new or changing existing workplaces or environments;
	
	    o planning or changing FRNSW practices or procedures;
	
	    o purchasing or using new or used plant, equipment or substances;
	
	    o whenever new information becomes available regarding workplace risks;
	
	    o when conducting inspections of FRNSW workplaces;
	
	    o when responding to workplace concerns raised by workers or others;
	
	    o when responding to workplace incidents (whether they result in injury or not); and
	
	    o when required by WHS regulations for specific hazards and high-risk work.

Procedure no: [procedure number]   Page 5 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

3.	**Commence WSRA form**	**Manager or supervisor**
		• Access the <u>Workplace safety risk assessment</u> (WSRA) form.
		○ the WSRA form can be accessed from the Station Portal within the 'Forms' section or from the <u>Workplace safety risk management toolkit</u>.
4.	**Purpose and scope**	**Manager or supervisor**
		• Define the purpose and scope of the WSRA based on the proposed task or activity.
		○ the purpose and scope of the WSRA should be clearly described so that all who will be involved are clear on the purpose and what is to be assessed.
		○ complete the top portion of the WSRA form first, indicating:
		▪ whether the assessment is of a task, workplace or equipment
		▪ the date of when the assessment was undertaken
		▪ the details of the task, workplace or equipment
		▪ the names and contact details of persons completing the form, and
		▪ the people consulted about the identified hazards.
5.	**Risk Assessment**	**Manager or supervisor**
		• Conduct risk assessment and assess treatment options as per Section 5 of this procedure
6.	**Risk Treatment**	**Manager or supervisor**
		• Implement any additional risk controls that have been identified during the risk assessment (as required to meet the 'reasonably practicable' criteria).
		○ determine timeframes for action
		▪ guided by the determined level of risk; the higher the risk rating, the greater the importance to prioritise and control the risk.
		○ delegate accountability for implementation to an appropriate person who will be responsible for ensuring that relevant risk controls are implemented in a reasonable timeframe.
		▪ the most appropriate person for this role is often the supervisor or manager of the workplace but should be determined by considering factors such as chain of command, control over budget, and who directly oversees the task, workplace or equipment being assessed.

Procedure no: [procedure number]   Page 6 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

7. **File**	**Manager or supervisor**
	• Locate or create an Area or Directorate Risk Management folder in RM8 (TRIM) within the following titling convention:
	o *RISK MANAGEMENT – Risk Register – [Area/Directorate] – Workplace Safety Risk Register*
	• Upload the completed WSRA to RM8 (TRIM) within the following titling convention:
	o *Document – **Workplace Safety Risk Assessment** – [Area/Directorate] – [Category] – [Description] – [Date]*

4.2   Workplace Safety Risk Register (WSRR)

A WSRR is a record of identified hazards in an area or directorate.

Process Step	Procedure
1. **Consultation**	Ensure workplace safety risk registers are available on request to workers who may be exposed to the hazards.
2. **Record Hazards**	**Manager** • Update or create WSRR to reflect identified health and safety hazards that warrant a WSRA (see Section 1 above). 　o access the WSRR template: Workplace safety risk register. 　o completed risk assessments should be uploaded to RM8 (TRIM) as per Section 1. • Record the risk rating and the controls implemented to eliminate or minimise the risks associated with a hazard and who is responsible for ensuring control measures are implemented in a reasonable time.
3. **File**	**Manager** Locate or create a Directorate Risk Management folder in RM8 (TRIM) within the following titling convention: 　o *RISK MANAGEMENT – Risk Register – [AREA/Directorate] – Workplace Safety Risk Register* • Upload the completed WSRA to RM8 (TRIM) within the following titling convention: 　o *Document – **Workplace Safety Risk Register** – [Area/Directorate] – [Category] – [Description] – [Date]*

Procedure no: [procedure number]   Page 7 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

4.3   Critical Risk Register (CRR)

The CRR is a record of FRNSW's significant workplace hazards coordinated by the Health and Safety Branch.

Process Step	Procedure
1. **Consultation**	Consultation with workers and other stakeholders, such as subject matter experts (SME), line managers and Health and Safety Representatives (HSR) should also occur throughout the process to identify all relevant elements of the risk.
2. **Identify and Record Significant Workplace Hazards**	**Director Work Health and Safety** Health and Safety Branch are to coordinate development and maintenance of the CRR. • Adopt/consider CRR process for significant (emerging) workplace hazards that are identified through safety incident reporting and other processes. o a 'significant' workplace hazard is likely to attract a residual risk rating of High – Very High in its current state of treatment.
3. **Risk Assessment, Evaluation**	**Director Work Health and Safety** • Coordinate risk assessments and assess treatment options as per Section 5. o Bow-tie Analysis should be used to model the elements (threats, consequences and controls) for CRR entries.

4. **Risk Treatment**	**Executive Directors, Directors, managers and delegates**
	
	• Implement additional risk controls that have been identified from the risk assessment (as required to meet the 'reasonably practicable' criteria).
	
	• Determine appropriate timeframes for action
	
	    o timeframes for implementing risk controls may be guided by the determined level of risk; the higher the risk rating, the greater the importance to prioritise and control the risk.
	
	• Delegate accountability for implementation to a responsible person.
	
	    o to ensure effectiveness, a person should be nominated (and recorded in the CRR) who will be responsible for ensuring that relevant risk controls are implemented in a reasonable timeframe.

Procedure no: [procedure number]   Page 8 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.	Risk Escalation and Acceptance	**Director Work Health and Safety** • Coordinate risk escalation and acceptance processes (Section 5.6) with appropriate stakeholders, o Where appropriate the WHSSC and WHSAC should be utilised to ensure wide stakeholder engagement.
6.	Monitor	**Director Work Health and Safety (WHS Steering Committee, WHS Advisory Committee)** • Provide the CRR for review to the WHSSC/WHSAC through the Due Diligence Framework.
7.	Review	**Director Work Health and Safety** • Each CRR entry should be reviewed in detail every 18-24 months. This includes an SME review of the associated BTA.

Procedure no: [procedure number]   Page 9 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5 Risk Assessment Process (General)
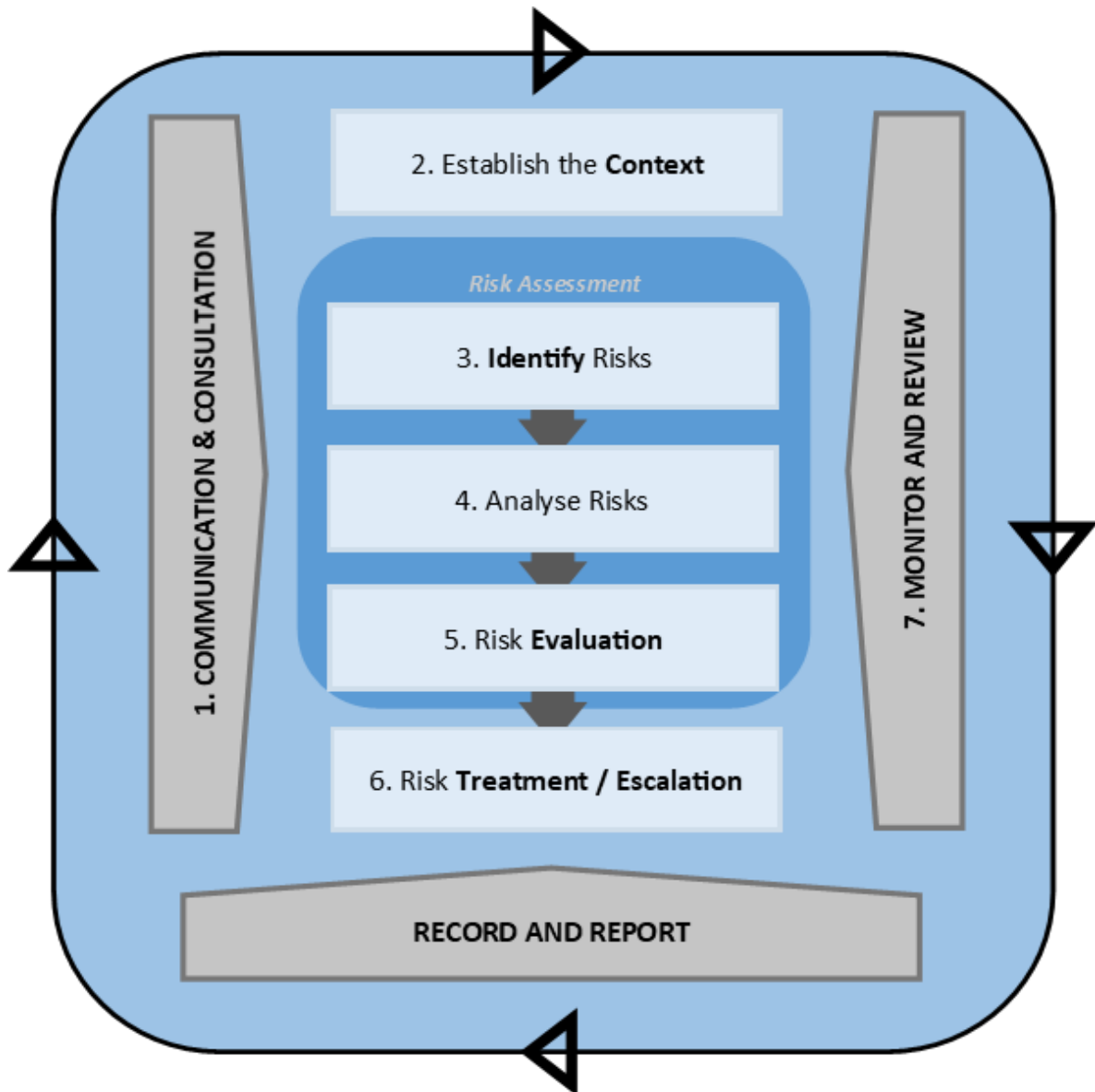
Figure 1: The WHS Risk Management Process (adapted from AS ISO 31000:2018).

Procedure no: [procedure number]   Page 10 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified
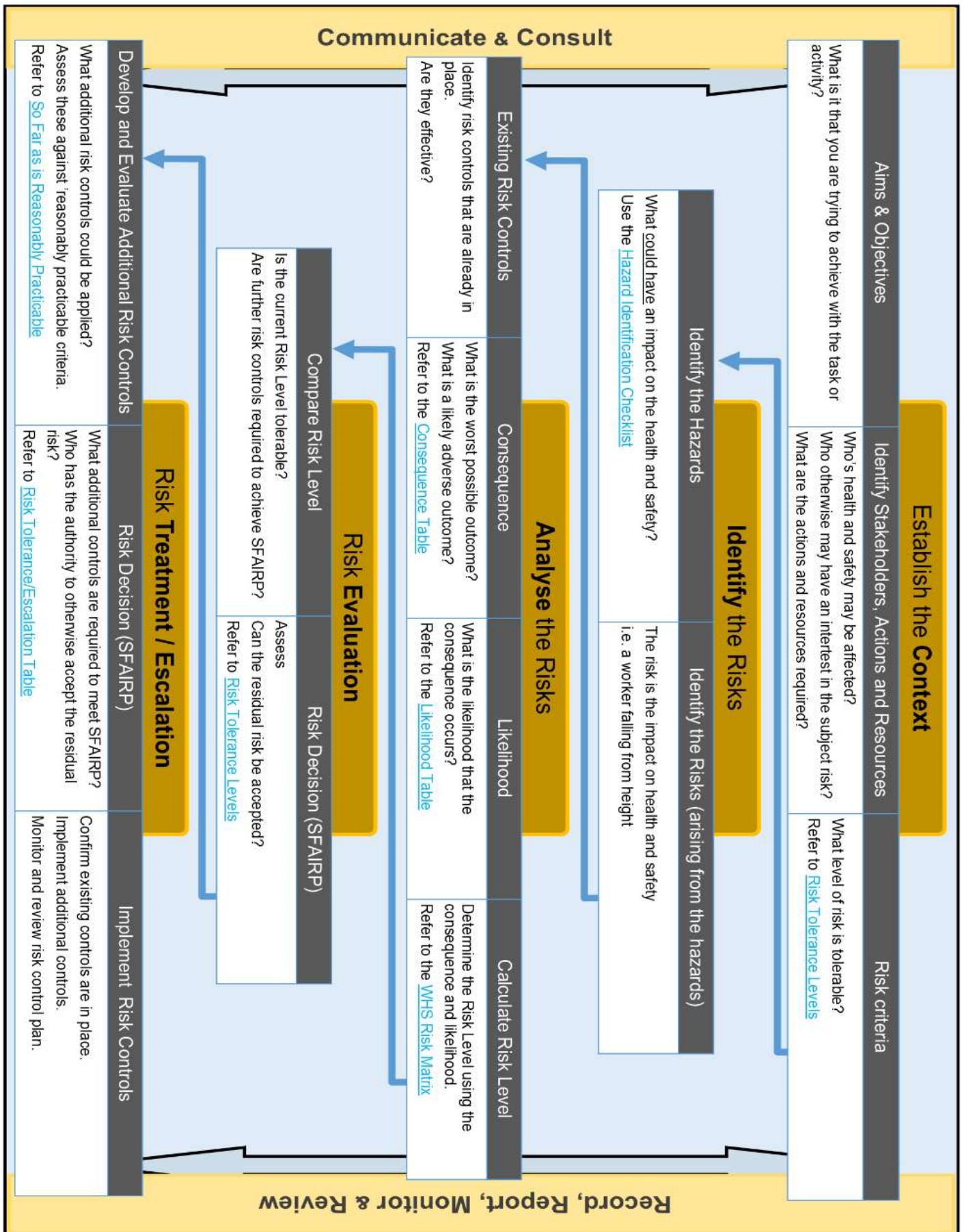
Figure 2: WHS Risk Management Flowchart.

Procedure no: [procedure number]   Page 11 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.1   Establish the Context

Establishing the context allows us to understand the nominal conditions and limitations for the task under consideration. This then informs the scope of the risk management process that follows.

Process Step	Procedure
1. **Aims and Objectives**	Consider: • The purpose for task or activity under consideration • What are the various influences and drivers that will need to be considered, i.e. expectations and requirements that may affect risk tolerance levels. • What is the strategic or tactical significance of conducting the task or activity? • Does the scope of potential risks arising task or activity have an organisation-wide impact?

2. **Identify Stakeholders, Actions and Resources**	Documenting the context also requires identifying stakeholders and personnel that the risk needs to be communicated to, both inside and potentially outside the organisation.
	
	• Consider the People, Environment, Action and Resource (PEAR) elements that are relevant to the task of activity:
	
	   o People
	      ▪ who has an interest in this task or activity?
	      ▪ who's health and safety may be at risk from the task or activity?
	      ▪ who can contribute their expertise to potential measures to address the risks?
	      ▪ who will have the authority to accept the risk?
	   o Environment
	      ▪ location
	      ▪ weather impacts
	      ▪ organisational pressures
	   o Actions
	      ▪ task requirements (i.e. training/qualifications)
	      ▪ specific regulatory requirements (i.e. confined spaces)
	      ▪ frequency and duration
	   o Resources
	      ▪ what is required to complete the task or activity?
	         • i.e. doctrine/equipment

Procedure no: [procedure number]   Page 12 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

3.	**Risk Criteria**	The level of risk that can be tolerated should be considered early to ensure that risk assessment and subsequent risk acceptance occurs at an appropriate level in the organisation.
		• Consider requirements for acceptance/elevation (Risk Authority)
		o if it appears that the residual risk rating may extend beyond the accountability/authority of the responsible Manager or supervisor consider consultation with Health and Safety Branch staff.
		o refer to Table 1: Risk Escalation for guidance
4.	**Record**	• Document a summary of the context considerations in the appropriate section of the Critical Risk Register, Workplace Safety Risk Register, or Workplace Safety Risk Assessment form.

5.2 Identify the Risks

Risk identification is about finding, recognising and describing the risks that arise as a result of FRNSW's undertakings.

Process Step	**Procedure**
1. Consult	Consult with identified stakeholders throughout this step to ensure that the elements of hazards and risks are well understood.
2. Identify the Hazards	A hazard is a situation or thing that has the *potential to harm* FRNSW workers or others, whereas a risk *is the harm* that may be caused by the hazard.
	• Hazards will not always obvious, so it is important to consider the following as sources of a hazard:
	o the physical environment, and
	o work processes/practices, equipment and products used to conduct tasks.
	• A [Hazard Identification Checklist](#) is available for assistance in identifying potential hazards.
3. Identify the Risks (arising from the hazard)	The risk *is the harm* that may be caused by the hazard. For example, if a chemical in the workplace is identified as a hazard, the risks arising from that chemical hazard may include worker inhalation and/or explosion.
	• For each hazard source identified, identify the corresponding risks that may arise.
4. Record	• Document hazards and associated risk in the appropriate section of the Critical Risk Register, Workplace Safety Risk Register, or Workplace Safety Risk Assessment form.

Procedure no: [procedure number]   Page 13 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.3   Analyse the Risks

Risk analysis improves understanding of the nature, scope and characteristics of the risk, leading to allocation of a Risk rating.

Process Step	Procedure
1. **Consult**	• Consult with identified stakeholders, particularly subject matter experts, throughout this step to ensure that the resulting analysis is based on a complete understanding of the potential impacts from the risks and available measures to avoid or reduce them. For complex risks and/or those with high severity, a Bow-tie Analysis may inform the Risk Assessment process. Contact Health and Safety Branch staff for support.

2. **Existing Risk Controls**	• Assess the existing risk controls and hence the existing risk treatment.
	
	   • Identify risk controls that are already in place.
	
	   • Determine the criticality and effectiveness of each risk control
	
	      o a *critical control* is a risk control where its absence would significantly increase the risk and/or a control that significantly reduces the consequence or likelihood of what would otherwise be a high impact risk.
	
	      o the *effectiveness* of the control should be considered with respect to (1) suitability for purpose; and (2) whether it is in-use as intended.

3. **Consequence**	Consequence reflects the severity of the harm (injury, illness or death) that might occur if the risk is realised. • Refer to Table 1: Consequence Measures • Identify one of the five levels of consequence that best describe the most severe credible injury or illness that could occur. • There are five levels of consequence Table 1. Select the most appropriate level for the risk being assessed.
4. **Likelihood**	Likelihood is the probability of harm occurring. • Refer to Table 2: Likelihood Measures (below) • Considering the most severe credible injury or illness, identify one of the five levels of likelihood that best describe the expected prevalence or probability of occurrence. o remember that likelihood will be influenced by how often and for how long people are exposed to the hazard.

Procedure no: [procedure number]   Page 14 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.	**Calculate Risk Rating**	The risk rating is the combination of consequence and likelihood. Assessing a risk in this way provides a determination of the level of priority for implementing risk control measures. • Refer to Table 3: WHS Risk Matrix (below). • The risk rating is the intersection of the consequence and likelihood values. o the risk ratings are assigned from 1 to 25 (Low to Very High).

Table 1: Consequence Measures (WHS)

CONSEQUENCE MEASURES	
Rating	**Descriptor**
Extreme	Incapacitating, life threatening harm or injury or death of staff or other person
Major	Serious injury or harm to staff or other person requiring hospitalisation and medical treatments with extended time off work
Moderate	Injury or harm to staff or other person requiring medical attention with some lost work time (Up to 1 week)
Minor	Minor harm, injury to staff or other person requiring first aid and/or outpatient medical attention with little or no lost time
Insignificant	Single incident of harm, injury or ailment to staff or other person requiring onsite first aid only with no lost time

Table 2: Likelihood Measures (WHS)

LIKELIHOOD MEASURES	
Rating	**Descriptor**
Almost Certain	• Is expected to occur in most circumstance • Strong anecdotal evidence • Strong likelihood the event will occur • Great opportunity, reason, or means to occur
Likely	• Will probably occur in most circumstances • Many anecdotal evidence • Considerable opportunity, reason, or means to occur
Possible	• Might occur at some time • Little anecdotal evidence • Some opportunity, reason or means to occur
Unlikely	• Is not expected to occur • No recorded anecdotal evidence • Little opportunity, reason or means to occur
Rare	• May occur only in exceptional circumstances

Procedure no: [procedure number]   Page 15 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

Table 3: WHS Risk Matrix

RISK MATRIX		CONSEQUENCE				
		Insignificant	**Minor**	**Moderate**	**Major**	**Extreme**
LIKELIHOOD	**Almost Certain**	Mod (8)	High (16)	High (20)	Very High (23)	Very High (25)
	Likely	Low (7)	Mod (12)	High (17)	Very High (21)	Very High (24)
	Possible	Low (4)	Mod (9)	Mod (13)	High (18)	Very High (22)
	Unlikely	Very Low (2)	Low (5)	Mod (10)	Mod (14)	High (19)
	Rare	Very Low (1)	Very Low (3)	Low (6)	Mod (11)	Mod (15)

Procedure no: [procedure number]　　　　　　　　　　　　　　　　　　　　Page 16 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.4 Risk evaluation

Risk evaluation is about supporting decisions on risk, this involves a comparison between the results of risk analysis (Section 5.3) and the established risk criteria to determine if additional action is required. Any risk acceptance decision should align with the legislated standard for risk reduction, i.e. by reference to the 'so far as is reasonably practicable' (SFAIRP) criteria.

Process Step	Procedure
1. **Consult**	Consult with identified stakeholders throughout this step.

2. **Compare Risk Rating**	Is the current risk rating tolerable?
	
	• Consider if the current Risk Controls meet the requirements of the legal standard for risk acceptance (SFAIRP), and if not, identify what additional risk controls would be required
	
	    o refer to Figure 4: SFAIRP (below).
	
	    o the risk owner should be satisfied that existing controls are reliable, maintained and/or actually in use.

3. **Risk Decision**	• Gather *reasonable knowledge* on the hazard and risk.
	
	    • Proportionate to the severity of the risk involved, gather enough knowledge about the hazards, risks and controls to inform the SFAIRP process
	
	    • Guidance as to suitability and availability of elimination/minimisation controls can be gained from:
	
	        ▪ WHS Regulations;
	        ▪ WHS Codes of Practice;
	        ▪ Standards (i.e. Australian Standards);
	        ▪ other emergency service agencies.
	
	• Consider if further controls are available and suitable
	
	    • A control measure is considered *available* if it is provided on the open market, or if it is possible to manufacture it; and *suitable* if it is effective; practical to implement; and does not introduce new or higher risks.
	
	    • Without consideration towards resource implications, if further controls are considered available and suitable continue to Risk Treatment (Section 5.5).
	
	• Decide if the Residual Risk can be accepted?
	
	    o Determine whether the risk has been adequately managed based on a determination against the legal standard (SFAIRP), refer to Figure 4: SFAIRP (below).
	
	    • Then, determine the appropriate Risk Authority to accept the residual risk.
	
	    o Refer to Table 4: Risk Escalation.

Procedure no: [procedure number]   Page 17 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.5   Risk treatment

The purpose of risk treatment is to select and implement controls to address WHS risk. Selecting risk controls involves balancing the benefits in relation to reducing risk impact and exposure against the costs, resources and other disadvantages of implementation. However, in the context of WHS risk management, there are legislated requirements that must be integrated into the decision process including application of the 'Hierarchy of Controls' (Figure 3) and reference to the legal construct of 'so far as is reasonably practicable' (SFAIRP).
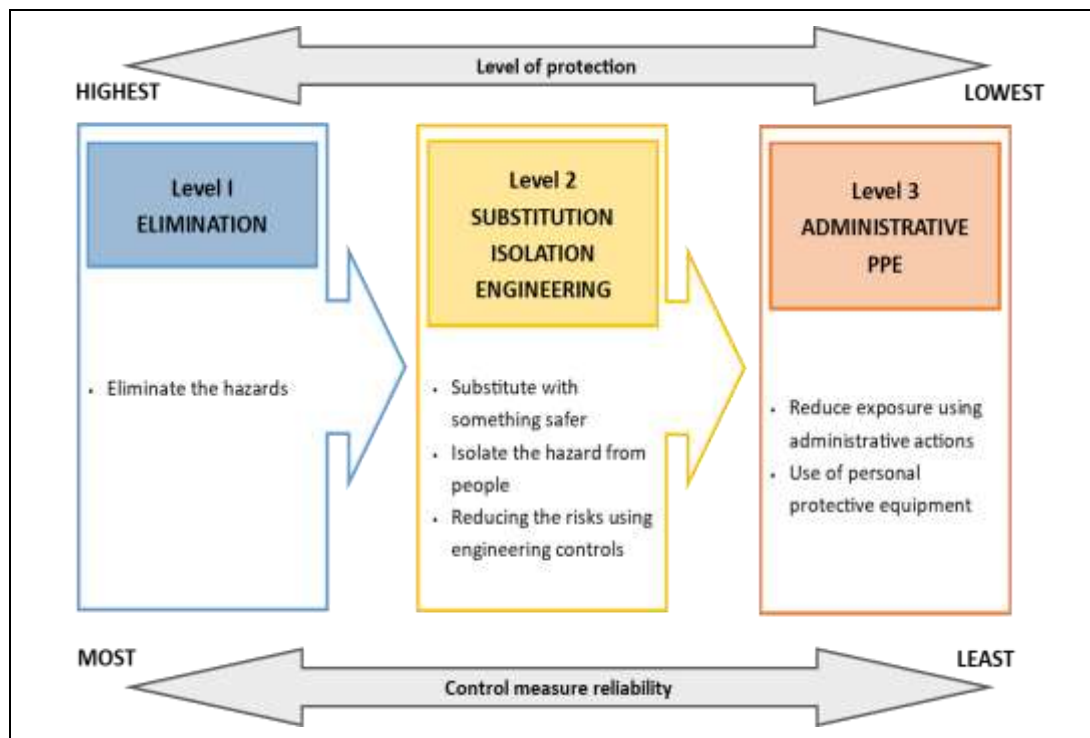

Figure 3: Overview of the Hierarchy of Controls

Process Step	Procedure
1. **Consult**	Consult with identified stakeholders throughout this step to ensure that the most appropriate measures are developed to treat the risk.
2. **Identify and evaluate additional risk controls**	Consider controls that could act to reduce the consequence or likelihood of the risk in consideration of the hierarchy of controls. • Some control measures may act to reduce the impact of the hazard, others may reduce the likelihood of harm, and some may reduce both. • The effectiveness of controls varies significantly, a sliding scale from elimination (being the most effective) to PPE (the least effective) • Refer to Hierarchy of Controls overview and the steps below.

Procedure no: [procedure number]   Page 18 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

3. **Eliminate**	• Consider measures that will remove the hazard from the workplace or environment and thereby eliminate the overall risk. • If the hazard itself cannot be eliminated, consider measures that will eliminate as many of the risks associated with the hazard as possible.
4. **Substitute**	• Substitute the source of the hazard with something that represents a reduced risk. o The substitution may not remove all the risks associated with the process or activity and may introduce different risks, so long as the overall safety or health impacts are reduced.

5. **Isolate**	• Identify measures that will physically separate the hazard source from people using:
	
	     o barriers – i.e. storage measures like a HAZCHEM locker; or
	
	     o distance – i.e. the use of exclusion zones

6. **Engineer**	• Identify technical solutions that will reduce the risk. o i.e. additional plant safety features.

7. **Administrative**	• Identify procedural or training measures that will highlight the risks to persons and guide them to avoidance.
	
	     o document safe methods of work
	
	     o train workers appropriately
	
	     o provide appropriate information on the hazard

8. **Personal Protective Equipment**	• Identify protective equipment that will reduce the hazard's impact on workers o PPE is the last line of defence, so MUST exist in conjunction with one or more other control measures.

9. **Risk Decision**	• Determine the additional controls that are required to meet SFAIRP
	
	     o all decisions to accept a risk should be supported by a determination that the collective risk controls will eliminate/minimise the risk SFAIRP.
	
	     o refer to Figure 4 SFAIRP (below).
	
	 • Determine appropriate Risk Authority for acceptance of residual risk, refer to Table 4: Risk Escalation (below).
	
	     o determine if authority for acceptance exists at the present level; or
	
	     o escalate the risk to the appropriate Risk Authority for consideration and action.

Procedure no: [procedure number]   Page 19 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

So Far as is Reasonably Practicable (SFAIRP)

The legal standard of risk treatment and acceptance under the *WHS Act*

Cost (last) | Likelihood of harm | Reasonably Practicable? | Ways to eliminate or control the risk | Degree of harm | Reasonable knowledge of the risk

1. Assess likelihood of harm.
2. Assess the degree of harm.

   The 'Risk'

3. Identify risk controls that will eliminate the risk.
4. Identify risk controls that will minimise the risk.
5. Assess suitability & availability of proposed risk controls.
6. Assess effectiveness of controls based on hierarchy of controls:

   - Elimination
   - Substitution
   - Isolation
   - Engineering
   - Administrative (i.e. procedures, supervision, training)
   - PPE

THEN:

7. Is the cost (financial, capability, human resources) grossly disproportionate to the potential reduction in risk to be gained?

Figure 4: So Far as is Reasonably Practicable (SFAIRP)

Procedure no: [procedure number]   Page 20 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.6   Risk escalation and acceptance

Risk acceptance involves a determination that the organisation's duty of care has been fulfilled. It should occur at an appropriate level of the organisation commensurate with the level of risk. Any risk acceptance decision should align with the legislated standard for risk reduction, i.e. by reference to the 'so far as is reasonably practicable' (SFAIRP) criteria.

Process Step	Procedure
1. **Assess Appropriate Risk Authority**	• The appropriate authority (Risk Authority) for acceptance of a Residual Risks Level directly equates to the risk rating. • Refer to Table 4: Risk Escalation (below) o NOTE: the risk rating to be applied at this stage is the rating associated with the risk **until** proposed risk controls are confirmed to be implemented.
2. **Risk Escalation**	• New or emerging risks will require escalation to the appropriate Risk Authority for a risk acceptance based on the application of the SFAIRP process. • Those risks that are already captured within a risk register will only require escalation if a risk rating increases due to changes to the risk context or as a result of a review process.

3. **Risk Acceptance**	**Risk Authority**
	
	• If satisfied that appropriate measures have been implemented to eliminate or minimise the residual risk rating to meet SFAIRP requirements, authorise the risk register entry or risk assessment.
	
	• The approver of a risk register or risk assessment, is in effect accepting accountability for the residual risk based on satisfaction that the risk has been appropriately assessed and treated to the SFAIRP standard.
	
	   o refer to the Figure 4 SFAIRP.
	
	• Decision to proceed
	
	   o Approval of the risk register entry or assessment signifies approval for the associated task or activity to proceed, provided that appropriate risk controls are in place or in use during execution.

4. **Risk De-escalation**	• Once appropriate measures have been implemented such that the residual risk rating reduces, the Risk Authority responsible for the risk register entry or risk assessment will adjust accordingly.

Procedure no: [procedure number]   Page 21 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

Table 4: Risk Escalation

Risk Rating	Risk Authority	Action
Very High (21 – 25)	*Agency-wide:* Commissioner or WHS Steering Committee/Executive Leadership Team *Directorate:* Dep. Commissioner or Exec. Director	Inclusion Critical Risk Register—routine notification ARC Immediate action required to eliminate or reduce the consequence or likelihood of the risk and risk exposure. Activities with this level of residual risk must not proceed without approval of the Commissioner or delegate authority.
High (16-20)	*Agency-wide:* WHS Advisory Committee *Region/Division:* Ass. Commissioner or Director	Inclusion Critical Risk Register—routine notification WHSSC Immediate action will required to eliminate or reduce the consequence or likelihood of the risk and risk exposure. Activities with this level of residual risk must not proceed without approval of Executive Director or delegate authority.
Moderate (8-15)	*Area/Division:* Chief Superintendent or Director	Routine notification to WHSAC. Action will required to eliminate or reduce the consequence or likelihood of the risk and risk exposure. Activities with this level of residual risk must not proceed without risk acceptance by Area Commander or Director.
Low (4-7)	*Zone/Section:* Superintendent, Inspector or Manager	Risks at this level require routine monitor and review to ensure that the risk rating remain appropriate.
Very Low (1-3)	Station Officer, Supervisor or Team Leader	Risks at this level require routine monitor and review to ensure that the risk rating remain appropriate.

Procedure no: [procedure number]   Page 22 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

5.7 Monitor and review

Ongoing monitoring and periodic review of risk management outcomes should be a planned part of WHS risk management.

Process Step	Procedure
Consultation	It is important that consultation takes place with workers and/or workgroup Health and Safety Representatives (HSR) when reviewing controls.
5. Monitor and Review Risk Assessments and Controls	Risk owners must regularly monitor and review risks to ensure that management processes are operating as intended, by: • Reviewing outstanding actions and validating or updating the risk context • Determining whether the assessed risks are over- or under-estimated • Ensuring controls are in place and effective • Identifying new hazards, contributing factors, consequences and controls

6. Mandatory Review	The review and revision of control measures to maintain so far as is reasonably practicable a workplace that is without risk to health and safety is legally mandated.[3]
	• Control measures should at a minimum be revised when:
	    o the results of monitoring suggest the control measure does not control the risk;
	    o a notifiable incident occurs because of the risk.
	    o a change is planned to occur at the workplace that is likely to give rise to a new or different risk that the measure may not effectively control, this includes:
	        ▪ a change to the workplace itself or any aspect of the work environment, or
	        ▪ a change to a system of work, a process or a procedure.
	    o a new hazard or risk is identified;
	    o the results of consultation indicate that a review is necessary;
	    o a health and safety representative requests a review.

7. Routine Review	Good practice also dictates routine review of CRR and WSRR entries to successfully monitor and review the risk controls that have been implemented.

---

[3] *Work Health and Safety Regulation 2017* (NSW) cls 38.

Procedure no: [procedure number]   Page 23 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

6   Training and support

Health and Safety Branch will provide WHS risk management support to staff where required through Superintendent Operational Safety or Manager Strategic Safety.

7   Monitoring and review

Health and Safety Branch will monitor the effectiveness of this procedure through the review of risk assessments and registers, safety incidents, and audits conducted under the Be Safe HSMS.

8   Further information

Contact the Safety Team for further information on this procedure (02) 9265 2800.

Procedure no: [procedure number]   Page 24 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified

9   Document information

9.1   Related documents (optional)

Work, Health and Safety policy

FRNSW Risk Management policy

WHS Risk Management Framework policy

Work health and safety consultation and communication procedure

Work health and safety issue resolution procedure

9.2   Document control

Procedure Manager	Director Work Health and Safety
Contact Officer	Manager Strategic Safety
Contact No	(02) 9265 2839
Document type	Procedure
Applies to	☑ Permanent Firefighters ☑ Retained Firefighters ☑ Community Fire Unit Members ☑ Administrative and Trades Staff ☑ Contractors and Consultants
Status	Draft
Security	Unclassified
File Reference	NFB/[File no.]
Review Date	[Select date – usually 1 year from date of issue]
Rescinds	•Workplace Safety Risk Management Procedure
Copyright	© State of New South Wales through Fire and Rescue NSW

9.3   Revision history

Version	Date	Status	HPE RM Ref	Details
01 Draft A	28/02/2019	Draft	[Record no.]	[Enter details]

Procedure no: [procedure number]   Page 25 of 25
Version 01 Draft A – 28 February 2019 – document uncontrolled if printed – refer to Intranet for latest version

Unclassified