**LEARNER STUDY GUIDE**

*Conducting Risk Assessments*



Name of Learner: ………………………………………………..

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**INTRODUCTION**

*Conducting Baseline Assessments*

Dear Learner

We welcome you to this learning programme – **CONDUCTING RISK ASSESSMENTS.**

Congratulations on choosing to upgrade your skills. We believe that this is one of many learning programmes that will develop and improve your skills.

Over the past couple of years, South Africa has made a significant shift from the old dispensation in education (where learners used to be bombarded with theory and very little practical work) to an outcomes-based education model (based on competency rather than on theory). The aim of the shift is to make the South African labour force more productive and show them how to apply the knowledge that they have gained from training programmes.

The learning programme you are about to start is outcomes-based and in line with the outcomes as stipulated in the applicable unit standard. The assessment is also in line with the assessment criteria as stipulated in the unit standard. Once you have been declared competent on the outcomes of this unit standard, you will receive **credits** towards a nationally recognised qualification.

You will be assessed formatively and summatively. The **formative** assessment will be conducted as you work through the lessons of this Study Guide and the **summative** assessment will be conducted when you have completed your training. Assessment can also be defined as the method that is used to determine whether you have mastered the skills that you will be taught during this learning programme. Assessment usually consists of two components, namely **instructional learning**  (as conducted during this learning programme) and the **workplace assessment** – to determine your practical skills and your ability to implement what you have learnt.

The purpose with the Practical Guide Logbook (which will be handed to you by your assessor) will be to assess whether you can apply what you have learnt in the workplace.

Another added advantage to the new dispensation is the fact that recognition of prior learning is also considered and can count towards achieving credits towards a skills programme or qualification. Life experience, work experience and previous courses attended can be taken into consideration for recognition of prior learning purposes, should it relate to the specific learning programme or qualification you are working towards. This is merely a brief description to the new dispensation and barely covers what one can learn about this.

So, you will undergo theoretical training, receive your Practical Guide Logbook and Learner Assessment Workbook & Portfolio of Evidence. These documents contain the requirements for your summative assessments that must be included in the PoE. At this point, you and your assessor will sign the Assessment Plan and your assessment will commence! You will be guided all the way.

We hope that this makes you as excited as it does us and it is a real privilege for us to be able to facilitate and assess you on the outcomes of the unit standard that we are about to start.

Please feel free to communicate any questions to your facilitator or to your assessor.

Remember, look out for the following icons in your Study Guide:

This icon indicates an activity that must be completed in or during training (Class Work)

This icon indicates an activity that must be completed and placed in your Portfolio of Evidence (PoE).

Learning Programme Name: **CONDUCTING RISK ASSESSMENTS**

|  |  |  |  |
| --- | --- | --- | --- |
| **Unit Standard** | **Unit ID** | **US NQF Level** | **US Credits** |
| Conduct a continuous risk assessment in a workplace | 120330 | NQF Level 3 | 4 Credits |

**Details of the Learning Programme Schedule:**

* This learning programme will be trained over a period of 1 DAY
* The learner has 8 HOURS (1 DAY) in which to complete the FORMATIVE and SUMMATIVE Assessments
* The learner has to spend a minimum of 28 HOURS (5 DAYS) in the work environment in the form of practical work

**UNIT STANDARD**

*Conducting Baseline Assessments*

|  |  |
| --- | --- |
| **SAQA US ID** | **UNIT STANDARD TITLE** |
| 120330  | Conduct a continuous risk assessment in a workplace  |
| **ORIGINATOR** | **ORIGINATING PROVIDER** |
| SGB Occupational Health and Safety  |  |
| **QUALITY ASSURING BODY** |
| -  |
| **FIELD** | **SUBFIELD** |
| Field 09 - Health Sciences and Social Services | Preventive Health  |
| **ABET BAND** | **UNIT STANDARD TYPE** | **OLD NQF LEVEL** | **NEW NQF LEVEL** | **CREDITS** |
| Undefined  | Regular-Fundamental  | Level 3  | NQF Level 03  | 4  |
| **REGISTRATION STATUS** | **REGISTRATION START DATE** | **REGISTRATION END DATE** | **SAQA DECISION NUMBER** |
| Reregistered  | 2009-07-01  | 2012-06-30  | SAQA 0480/09  |
| **LAST DATE FOR ENROLMENT** | **LAST DATE FOR ACHIEVEMENT** |
| 2013-06-30  | 2016-06-30  |
| **PURPOSE OF THE UNIT STANDARD**  |
| Persons credited with this unit standard will be able to:  Explain the legal and specified requirements for conducting continuous risk assessments.  Prepare to conduct a continuous risk assessment.  Conduct a continuous risk assessment.  Initiate remedial action and follow up on Continuous Risk Assessment.  |
| **LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING**  |
|  Communications at NQF Level 2  Mathematical Literacy at NQF Level 2  |
| **UNIT STANDARD RANGE**  |
| NB: All the Specific Outcomes and Assessment Criteria are assessed in accordance with legal and specified requirements and - where applicable - consequences to health and safety. Specified requirements include legal and site-specific requirements and are contained in one or more of the following documents: Legal:  Mine Health and Safety Act  Occupational Health and Safety Act  Chief Inspector of Mines' Directives Site-specific:  Health and safety agreements  Codes of practice  Standards  Standards task procedures  Risk Assessments procedures  Occupational Health and Safety Risk Management Programme  Managerial Instructions  Mine Standard Procedures  List of Recorded OH&S Risks  Working Guides / Permits  MSDS  Equipment and Materials Specifications  |
| **Specific Outcomes and Assessment Criteria:**  |
| **SPECIFIC OUTCOME 1**  |
| Explain the legal and specified requirements for conducting continuous risk assessments.  |
| **ASSESSMENT CRITERIA**  |
| **ASSESSMENT CRITERION 1**  |
| The continuous risk assessment process is explained.  |
| **ASSESSMENT CRITERION 2**  |
| The relevant documentation required for conducting a continuous risk assessment is named.  |
| **ASSESSMENT CRITERION RANGE**  |
| Types of documentation include, but are not limited to:  Pre use checklists  Planned task observations forms  Critical parts inspection form  Structured inspection checklists  Mine Standards  Procedures  Task directives  Analyses |
| **ASSESSMENT CRITERION 3**  |
| The relevant hazards and risks likely to be encountered during a specific continuous risk assessment are named.  |
| **ASSESSMENT CRITERION 4**  |
| The importance of conducting continuous risk assessment in a manner that fosters teamwork and avoids conflict is explained.  |
| **SPECIFIC OUTCOME 2**  |
| Prepare to conduct a continuous risk assessment.  |
| **ASSESSMENT CRITERIA**  |
| **ASSESSMENT CRITERION 1**  |
| Appropriate documentation appropriate is selected.  |
| **ASSESSMENT CRITERION 2**  |
| Various physical and environmental conditions which could exist are evaluated.  |
| **ASSESSMENT CRITERION 3**  |
| The persons, tools and the materials required to conduct the continuous risk assessment are verified as fit for purpose and available.  |
| **ASSESSMENT CRITERION 4**  |
| Consequences for not conforming to legal and specified requirements in preparing for risk assessment are explained.  |
| **SPECIFIC OUTCOME 3**  |
| Conduct a continuous risk assessment.  |
| **ASSESSMENT CRITERIA**  |
| **ASSESSMENT CRITERION 1**  |
| Hazard identification is conducted correctly.  |
| **ASSESSMENT CRITERION 2**  |
| Significant hazards are systematically identified, utilising the elected hazard identification technique.  |
| **ASSESSMENT CRITERION RANGE**  |
| Techniques include, but are not limited to:  Pre use checklists  Planned task observations  Critical parts inspections  Structured inspections |
| **ASSESSMENT CRITERION 3**  |
| Relevant documentation is completed.  |
| **SPECIFIC OUTCOME 4**  |
| Initiate remedial action and follow up on Continuous Risk Assessment.  |
| **ASSESSMENT CRITERIA**  |
| **ASSESSMENT CRITERION 1**  |
| Remedial action for hazards is implemented accordingly.  |
| **ASSESSMENT CRITERION 2**  |
| Follow-up action on continuous risk assessments is implemented accordingly.  |
| **ASSESSMENT CRITERION 3**  |
| The consequences of non-compliance to the procedures for initiating remedial action and follow-up on continuous risk assessment are explained.  |
| **UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS**  |
|  Anyone assessing a learner against this unit standard must be registered as an assessor with the relevant ETQA or ETQA that has a Memorandum of Understanding in place with the relevant ETQA.  Any institution offering learning that will enable achievement of this unit standard must be accredited as a provider by the relevant ETQA or ETQA that has a Memorandum of Understanding in place with the relevant ETQA.  Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines and the agreed ETQA procedures.  |
| **Critical Cross-field Outcomes (CCFO):**  |
| **UNIT STANDARD CCFO IDENTIFYING**  |
| Solve problems. By doing the continuous risk assessment, the individual will be required to embark on remedial action, which requires problem solving.  |
| **UNIT STANDARD CCFO WORKING**  |
| Work effectively with others as a member of a team / group / organization / community. The individual will have to take reasonable care of oneself and other's safety in the workplace, which shows concern for entire team and not only oneself.  |
| **UNIT STANDARD CCFO ORGANISING**  |
| Organise and manage oneself and one's activities responsibly and effectively. As part of the team, the individual will take into account the activities around him/her and ensure that his/her actions are complementary.  |
| **UNIT STANDARD CCFO COLLECTING**  |
| Collect, organize and critically evaluate information. When doing the continuous risk assessment, the individual will have to collect and organise information in such a way that he/she will be able to evaluate it and make decisions.  |
| **UNIT STANDARD CCFO COMMUNICATING**  |
| Communicate effectively using visual, mathematics and language skills in the modes of oral and written presentations. Remedial action resulting from doing the continuous risk assessment, must be communicated to all relevant persons.  |
| **UNIT STANDARD CCFO SCIENCE**  |
| Use science and technology effectively and critically (showing responsibility toward the environment and health of others). Science and technology are used at the appropriate level, e.g. in interpreting data.  |
| **UNIT STANDARD CCFO DEMONSTRATING**  |
| Demonstrate an understanding of the world as a set of related systems. He must Understand the impact of his or others' actions in the overall objectives of the Workplace.  |

**LESSON 1**

**Legal Requirements for Conducting Continuous Risk Assessments**

This Learning Unit is aligned to US 120330 Specific Outcome 1:

**Explain the legal and specified requirements for conducting continuous risk assessments**

This Learning Unit comprises the theoretical component of your learning and includes activities that are class-based and of a formative nature.

**After completing this Lesson, you should be able to:**

* Explain the process of continuous risk assessment
* Name the documentation requirement for conducting a continuous risk assessment
* Name possible hazards / risks that may be encountered during a continuous risk assessment
* Explain the importance of conducting a continuous risk assessment

 **TASK 1 – This Task needs to be completed and placed in your PoE**

Obtain a copy of the Occupational Health and Safety Act. Include a copy of your workplace policy and procedure in relation to OHS in the workplace

This Task is aligned to **Specific Outcome 1, Essential Embedded Knowledge**

**LEGISLATIVE PROCEDURES**

Every organisation has a safety risk to both staff and customers. To minimise the risk of injury to staff and customers, staff need to acknowledge and practice certain safety procedures. The safety of staff is regulated by the Occupational Health and Safety Act and Regulations. All organisations need to subscribe to legislative procedures in order to ensure the safety of staff and customers.

Every employee but especially safety representatives must be able to identify hazards, record and report the findings in order to remedy the hazardous situation..

**What is a risk assessment?**

A systematic process of evaluating the potential risks that may be involved in a projected activity or undertaking.

|  |  |
| --- | --- |
| Step | **Action** |
| 1 | Maintain in good condition insulated stands, trestles, mats or other such protective equipment as may be necessary to prevent accidents for use of persons working in close proximity to electrical equipment. |
| 2 | Staff must take reasonable care for the safety of himself/ herself. |
| 3 | Staff must take steps as may be reasonably practicable to eliminate or mitigate any hazard or potential hazard to the safety of themselves, other staff members and customers. |
| 4 | Staff must take precautionary measures which are prescribed. |
| 5 | Staff must ensure that relevant signage is visible. |
| 6 | Affix a prominent notice or sign in a conspicuous place at the workplace, indicating where the first aid box or boxes are kept as well as the name of the person in charge of such first aid box or boxes. |
| 7 | Where more than 10 employees are employed at a workplace, take steps to ensure that for every group of up to 50, a minimum of one qualified first aid representative is available at that workplace,  |

**The relevant documentation required for conducting a continuous risk assessment is named**

When conducting a continuous risk assessment there is relevant documentation required. This documentation includes:



 Pre use checklists

 Planned task observations forms

 Critical parts inspection form

 Structured inspection checklists

 Mine Standards

 Procedures

 Task directives

 Analyses

**COMPANY PROCEDURES**

Depending on the type of organisation, procedures are implemented to suit the specific needs of the particular organisation. There are however general expectations with regard to company procedures concerning safety. For every 50 employees in the organisation, there should be one Safety Officer. This person attends Safety Committee meetings and is responsible for ensuring that safety hazards are dealt with promptly. See below for further procedures.

|  |  |
| --- | --- |
| Step | **Action** |
| 1 | Do not run in the workplace. |
| 2 | Wear shoes with non-slip soles |
| 3 | Clean up spills immediately |
| 4 | Put up signs to mark wet areas |
| 5 | Be familiar with the location of the First Aid Box |
| 6 | Make sure that staff know the names of the First Aid and Safety Officers in their unit / department and how to contact them. |
| 7 | Have knowledge of the relevant emergency authorities and how to contact them. |
| 8 | Display emergency and caution signs where they are easily accessible and observed. |
| 9 | Effectively display fire exits. |

**What is Risk Management?**

Risk management is an approach to management which assesses problems and gives more attention and resources to the bigger problems.

In risk management for OHS, you first identify what exists in the workplace which might pose a risk to safety (hazards), then decide how big a risk each hazard is. Depending on how serious each risk is, you allocate appropriate time and resources to deal with it (risk control). The higher the risk, the more you do to control that risk. This sounds like common sense, and it is. However, in order for risk management to work properly, the decision-maker (the risk manager) must have good information on which to base decisions, that is, you must know which risks exist and how dangerous they are before you can decide what resources to devote to controlling them.

The systems and processes described below are designed to help you:

* Identify the hazards in your facility
* Assess those hazards so that you can decide which pose a real risk to safety (risk assessment)
* Develop solutions to those risks and implement the solutions (risk control)
* Monitor the implementation of controls to make sure that they are working (performance measurement)
* Review the actions taken so that greater safety can be achieved (continuous
* improvement).

These steps, taken together, form a risk management approach to OHS.

Resources and time are limited in every organisation. Because of this, it is not possible to do everything which is theoretically possible in order to create a safe workplace. To make the most effective use of resources, you should make your decisions on the basis of:

**1.** What hazards exist in your facility?

**2.** Which of these hazards pose the greatest risk to your staff, residents and visitors?

The process of answering these two questions and then developing an OHS Action Plan based on those answers is a risk management-based approach to OHS. The steps involved are shown in the flowchart.

Risk management involves four steps:

• hazard identification

• risk assessment

• risk control

• monitor and evaluate outcomes.

**This is a continuous improvement process**

Policies and practices should provide for:

• the management of hazards identified in the workplace

• management and staff involvement in identifying and resolving issues

• incident reporting mechanisms that are used and acted on

• equipment that is fit for the purpose intended, well maintained and which staff have been trained to use.

 **TASK 2 – This Task needs to be completed and placed in your PoE**

What processes are used in your own workplace for continuous risk assessment? If there is a policy / procedure, attach a copy of this to your PoE.

This Task is aligned to **Specific Outcome 1, Assessment Criterion 1**

***What is a Hazard?***

*Hazards are defined as anything that has the* ***potential*** *to cause injury or illness, such as:*

* *Physical hazards, for example, sharp edges, slippery floors or electrical hazards*
* *Chemicals*
* *Work practices, such as repetitive jobs, including manual handling*
* *Aspects of workplace design, for example, restricted access to toilets, poor lighting or steep stairs*

***What is a Risk?***

*Risk is defined as the* ***likelihood*** *(probability) that injury / illness will occur and the* ***potential severity*** *(consequences)*

Hazard identification is likely to leave you with a long list on your Hazard Log. This is true for most organisations. You cannot act on all those hazards immediately. How do you decide which to address first?

Hazards which are simple to fix (and at small, or no cost) should be rectified at the time or soon after they are identified.

Where more time or resources are required, you should perform a risk assessment. Risk assessment is the process in which you and your staff consider two things:

• the likelihood of an injury or illness being caused by a hazard

• the degree of seriousness of such an injury or illness.

Before you assess your risks, you must be certain that you have enough information. It is the employer’s responsibility to make sure that staff are informed about the possible ill-effects of any plant, substance or work procedure used in the workplace.

This means that, if you are not entirely certain about the risk a particular hazard poses to staff, you should do some research.

There are a number of tools which you could use to assist in conducting risk assessments.

One example is the risk table below.

|  |  |
| --- | --- |
| **Consequence** | **Likelihood** |
| **Very Likely** | **Likely** | **Unlikely** | **Highly Unlikely** |
| Fatality | *High* | *High* | *High* | *Medium* |
| Major Injury | *High* | *Medium* | *Medium* | *Low* |
| Minor Injury | *High* | *Medium* | *Medium* | *Low* |
| Negligible | *Medium* | *Medium* | *Low* | *Low*  |

**Using a Risk Table**

Consider the following:

**1.** What might be the consequences of the hazard (severity)?:

• fatality

• major injuries (normally irreversible injury or damage to health)

• minor injuries (could require several days off work)

• negligible injuries (first aid).

**2.** How likely is it that the hazard will cause an injury or illness (probability)?:

• very likely (could happen frequently)

• likely (could happen occasionally)

• unlikely (could happen, but only rarely)

• highly unlikely (could happen, but probably never will).

The risk table matrix is used to determine the level of risk based on the assessment of likelihood and consequence. For example, a frequently used slippery bathroom floor could be assessed as ‘very likely’ to result in a ‘major injury’. Using the risk table, this would be assessed as a ‘high’ risk.

Conduct a risk assessment on each of the hazards listed in the Hazard Log and record the results. This will then help to prioritise which hazards should be addressed first. You will now have a Hazard Log in priority order.

**Caution:** Because it is quicker and easier, it is tempting to have one person perform the risk assessment. But the people who do the work are more likely than management to know the true probability of the risk. Risk assessment should be done in consultation with the relevant staff.

At the end of the risk assessment, you will have a list of hazards in order of their importance.

This should guide your decisions about which should be addressed first, and how many resources to allocate to the problem.

There are three levels of checklists in this Learning Unit:

1. Checklist for Self-assessment. This checklist will help you assess your policies, overall systems and processes. While it addresses some specific hazards (such as fire), it does so from a systems perspective. You would use this checklist when reviewing your OHS systems.
2. Workplace Inspection Checklist . This checklist is a sample of a detailed ‘walk around the facility and check’ tool which you might use monthly. It should be adapted to suit your needs.
3. Hazard checklists. These checklists are very specific, detailed checklists which concentrate on a particular hazard and look at systems, procedures and equipment. Questions from these checklists can be incorporated into your facility’s Workplace Inspection Checklist or they can be used on their own if you have concerns about a specific hazard.

**All three levels of checklist should be adapted to suit the needs of your organisation.**

**Using the Checklists**

1. Consider each question. Do you satisfy the criteria? A criterion would be satisfied if a service can provide either:
	* adequate evidence that its policies and practices satisfy the criteria, or
	* adequate explanation of local circumstances and an adequate alternative which justify not satisfying the criteria.

**2.** Answer ‘no’ or ‘yes’ to each question.

* + Where the answer to the question is ‘no’, tick that box and briefly describe the situation. Attach additional details. A ‘no’ answer is equivalent to a ‘critical’ rating on this item against the Expected Outcomes.
	+ Where the answer to the question is ‘yes’, you should consider how well the system in place meets the requirements of legislation and any other required policies / processes. Rank your organisation ‘commendable’, ‘satisfactory’ or ‘unacceptable’

When conducting these assessments, the documents used (assessments, checklists) should include the following:

* Management commitment, planning and review
* Consultation / participation
* OHS Legislation and compliance thereto
* Education and staff development
* Managing hazards
* Incident reporting / investigation
* Fire, security and other emergencies
* Injury management
* Continuous improvement

**Hazard identification document**

Overall, the goal is to find and record possible hazards that may be present in your workplace. As mentioned, it may help to work as a team and include both people familiar with the work area, as well as people who are not - this way you have both the "experienced" and "fresh" eye to conduct the inspection. A sample hazard identification documents is showed below:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| **Task** | **Hazard** | **Risk** | **Priority** | **Control** |
| Deliveringproduct to customers | Drivers work alone | May be unable to call forhelp if needed |  |  |
| Drivers have tooccasionally work long hours | Fatigue, short rest timebetween shifts |  |  |
| Drivers are often invery congested | Increased chance ofcollision |  |  |
|  | traffic | Longer working hours |  |  |
| Drivers have to liftboxes when delivering product | Injury to back fromlifting, reaching, carrying, etc. |  |  |

* **Ranking or prioritising risks?**
* One option is to use a table similar to the following:

|  |  |
| --- | --- |
| **Likelihood of****Harm** | **Severity of Harm** |
|  | **Slight Harm** | **Moderate Harm** | **Extreme Harm** |
| Very unlikely | Very low risk | Very low risk | High risk |
| Unlikely | Very low risk | Medium risk | Very high risk |
| Likely | Low risk | High risk | Very high risk |
| Very likely | Low risk | Very high risk | Very high risk |

* **Definitions for Likelihood of Harm**

|  |  |
| --- | --- |
| **Very Likely** | Typically experienced at least onceevery six months by an individual |
| **Likely** | Typically experienced once every fiveyears by an individual |
| **Unlikely** | Typically experienced once during theworking lifetime of an individual. |
| **Very unlikely** | Less than 1% chance of beingexperienced by an individual during their working lifetime |

* **Definitions for Severity of Harm**
* **Potential severity of harm** - When establishing potential severity of harm, information about the relevant work activity should be considered, together with:
* a. Part(s) of the body likely to be affected.
* b. Nature of the harm, ranging from slight to extremely harmful:

|  |  |
| --- | --- |
| Description | Example |
| 1. Slightly harmful | superficial injuries; minor cuts andbruises; eye irritation from dust;nuisance and irritation; ill-health leading to temporary discomfort |
| 2. harmful | lacerations; burns; concussion; serioussprains; minor fractures; deafness;dermatitis; asthma; work-related upper limb disorders; ill-health |
| 3. extremely harmful | amputations; major fractures;poisonings; multiple injuries; fatal injuries; occupational cancer; other severely life shortening diseases; acutefatal diseases |

**Definition for Risk Level** - Tolerability Guidance on necessary action and timescale

i. **Very low** - These risks are considered acceptable. No further action is necessary other than to ensure that the controls are maintained.

ii. **Low** - No additional controls are required unless they can be implemented at very low cost (in terms of time, money, and effort). Actions to further reduce these risks are assigned low priority. Arrangements should be made to ensure that the controls are maintained.

iii. **Medium** - Consideration should be as to whether the risks can be lowered, where applicable, to a tolerable level and preferably to an acceptable level, but the costs of additional risk reduction measures should be taken into

account. The risk reduction measures should be implemented within a defined time period. Arrangements should be made to ensure that controls are maintained, particularly if the risk levels area associated with harmful consequences.

iv. **High** - Substantial efforts should be made to reduce the risk. Risk reduction

measures should be implemented urgently within a defined time period and it might be necessary to consider suspending or restricting the activity, or to apply interim risk control measures, until this has been completed. Considerable resources might have to be allocated to additional control measures. Arrangements should be made to ensure that controls are maintained, particularly if the risk levels are associated with extremely harmful consequences and very harmful consequences.

 v. **Very high** - These risks are unacceptable. Substantial improvements in risk control measures are necessary so that the risk is reduced to a tolerable or acceptable level. The work activity should be halted until risk controls are implemented that reduces the risk so that it is no longer very high. If it is not possible to reduce the risk, the work should remain prohibited.

**Note:** Where the risk is associated with extremely harmful consequences, further assessment is necessary to increase confidence in the likelihood of harm.

**Hazard Priority Setting** document

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Very likely -****could happen at any time** | **Likely - could****happen sometime** | **Unlikely -****could happen but very rarely** | **Very unlikely****- could happen but probably never will** |
| Kill or causepermanent disability or ill health | **1** | **1** | **2** | **3** |
| Long termillness or serious injury |  |  |  |  |
| Medicalattention and several days off work |  |  |  |  |
| First aidneeded |  |  |  |  |

* 1 = extremely important to do something as soon as possible
* 6 = hazard may not need immediate attention

 **TASK 3 – This Task needs to be completed and placed in your PoE**

Obtain a copy of each of the documents that are used when conducting continuous risk assessments in your workplace. Include all documents that are used from the commencement of the assessment until the report-back stage.

This Task is aligned to **Specific Outcome 1, Assessment Criterion 2**

It is important that all SHE / OHS Representatives understand the benefits of team work when conducting out duties in relation to this function. In this field there is no time or place for conflict between colleagues. The main objective has to be met and this can only be done if all people involved work harmoniously in order to achieve their goals.

**Checklist for Self Assessment**

| **Criteria** | **NO****(Critical)****Give Details:** | **YES****If yes, to what level:** |
| --- | --- | --- |
| **Management commitment, planning and review**Management is actively working to provide a safe working environment that meets legislative and organisational requirements |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Does your organisation have a written OHS Policy? |  |  |
| Does your organisation have a written OHS Plan? |  |  |
| Are there sufficient resources to address OHS issues in your organisation? |  |  |
| Does your organisation have a documented OHS management system? |  |  |
| Have the OHS responsibilities and obligations been addressed for managers, supervisors and employees? |  |  |
| Do supervisors and managers take an active role in monitoring and reinforcing compliance with documented work procedures/ |  |  |
| **Consultation / Participation** |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Are employees consulted in OHS decision making? |  |  |
| Is OHS a regular agenda item at management and board meetings in your organisation/ |  |  |
| **OHS Legislation**The organisations’ management has systems in place to identify and ensure compliance with all relevant legislation, regulatory requirements, professional standards and guidelines about physical environment and safety of systems |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Is your organisation aware of the OHS legislative and regulatory requirements? |  |  |
| Are you compliant with relevant OHS Legislation? |  |  |
| **Education and Staff Development** Management and staff have appropriate knowledge and skills to perform their roles effectively |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Do staff selection criteria, education and development address OHS needs? |  |  |
| Are knowledge and skills needed to carry out the range of functions in the service identified and documented? |  |  |
| Are knowledge and skills of all staff regularly assessed and documented? |  |  |
| Do all new employees receive OHS induction/ |  |  |
| Has OHS training been provided for the following:* Owners / Board (OHS obligations)
* Managers, supervisors, employee representatives (legislation, incident investigation, risk and hazard management)
* Employees (hazard specific)
* Health and safety committee (if one is in place)
* First Aiders (specific to the role)
* Emergency preparedness?
 |  |  |
| **Managing Hazards** |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Does the organisation have procedures for hazard identification, risk assessment and control? |  |  |
| Are inspections of the workplace conducted regularly using purpose built in checklists? |  |  |
| Does the organisation have a system for reporting hazards/ |  |  |
| Are reports / hazards followed up and risks controlled/ |  |  |
| Is there a supervision system to monitor and reinforce compliance with documented procedures? |  |  |
| Are OHS implications considered when purchasing or hiring equipment, furniture, etc? |  |  |
| Is there a system for maintaining plant and equipment? |  |  |
| Is the action taken to manage hazards reviewed to ensure effectiveness? |  |  |
| **Incident Reporting / Investigation**  |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Does the organisation have a standard internal form for reporting / investigating incidents / injuries that complies with the OHS Act and any other regulatory requirements/ |  |  |
| Are incidents being reported in accordance with legislative requirements? |  |  |
| Are all staff aware of and use the reporting procedures appropriately? |  |  |
| Are incidents investigated and documented? |  |  |
| For serious incidents, are senior managers (board members) involved in incident investigation or reviews? |  |  |
| **Fire, Security and Other Emergencies**Management and staff are actively working to provide an environment and safe systems of work that minimise fire, security and emergency risks |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Do the policies and practices of the organisation provide:* First aid facilities, equipment, trained first aid personnel as required by legislation
* The participation of management, staff in identifying, assessing and controlling fire, security and other emergency situations that may affect staff
* Regular testing of its fire and other emergency equipment and inspection of exit signs and alarm systems?
* Emergency procedures to be clearly communicated throughout the organisation and incorporated in all induction and ongoing training?
 |  |  |
| For emergency procedures to be regularly practiced and evaluated, including use of fire fighting equipment? |  |  |
| Does the organisation have systems in place to support employees who have been exposed to critical incidents? |  |  |
| **Injury Management** |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Is there an Occupational Injury Management Programme in place which meets legislative requirements and integrates all aspects of injury management including reporting, training, claims management and employee management practices? |  |  |
| **Continuous Improvement**The organisation actively pursues continuous improvement |  | ***Commendable******Satisfactory******Unacceptable******Give details:*** |
| Is OHS performance measured against the goals set in your OHS Plan? |  |  |
| Are there planned proactive programmes including review and evaluation to address the following high risk hazards:* Manual handling
* Slips, trips and falls
* Stress
* Hazardous substances
* Fire, security and other emergencies
* Living environment
* Infection control
* Plant and equipment?
 |  |  |

**LESSON 2**

**Preparation for a Continuous Risk Assessment**

This Learning Unit is aligned to US 120330 Specific Outcome 2:

**Prepare to conduct a continuous risk assessment**

This Learning Unit comprises the theoretical component of your learning and includes activities that are class-based and of a formative nature.

**After completing this Lesson, you should be able to:**

* Select the appropriate documentation
* Evaluate physical and environmental conditions that may / can exist
* Verify that persons, tools and materials required are fit for purpose
* Explain the consequences of not conforming to legal and other requirements

 **TASK 4 – This Task needs to be completed and placed in your PoE**

Speak to one of your OHS / SHE Representatives. Enquire from them as to how they go about preparing for an assessment. Ask tem what types of assessments they conduct in the workplace.

This Task is aligned to **Specific Outcome 2, Assessment Criterion 1**

There will probably be various assessments that are conducted in the workplace. Some of these assess the role and responsibility management and employees have and apply towards implementing a safe and healthy environment. There may be others to assess the possibility or existence of hazards and risks within the workplace. Either way, before you commence with an assessment, you have to ensure that you are prepared with all the tools, documents and resources that you will need.

*Decide which Risks will be addressed First*

Ideally, you will work through your list in priority order. However, there will be some minor risks that you can act on immediately and other, more major risks that you will need some time to address.

However, remember that once a risk has been identified, you are bound by legislation to assess and control it. Remember also that there **is always something that you can do to improve safety**. If the best solution for a high priority risk is not available to you for some time you must still take immediate steps to reduce the risk in some other way.

*Develop an OHS Action Plan Prior to Conducting the Assessments*

For each of the high priority risks, actions must be planned and documented on the OHS Action Plan. The following questions are designed to help you with the process of developing an OHS Action Plan:

* Are policies and procedures adequate?
* Are practices adequate?
* What are our current results?
* What are our goals?
* How will we measure success?

Whenever you give a staff member responsibilities in your OHS Action Plan, you must also ensure that they have the time and resources that they need to succeed. OHS is a core business, not an extra added on to staff duties, to be fitted in adhoc when staff have a bit of spare time.

Your OHS Plan should include:

* Budget
* Resources available
* Responsibilities
* Roles
* Goals aimed at improving performance
* Timelines, for example, when policies or procedures are due for review
* Information on action planned, or action taken and results
* Evaluation procedures (for measuring performance against goals and ensuring continuous improvement)

The OHS Plan should be developed in consultation with senior managers and staff, particularly Health and Safety Representatives, where these exist.

The Plan should also include the areas which will be assessed, and which documents / assessments / checklists will be used to assess these. Before any staff member embarks on an assessment, they need to have the Plan ready and all the required tools / resources they will be using during the assessment.

 **TASK 5 – This Task needs to be completed and placed in your PoE**

How many different continuous risk assessments are conducted in your workplace and in which specific areas? Why is this done?

This Task is aligned to **Specific Outcome 2, Assessment Criterion 2**

OHS plays an important role in SA business today and it is a legal requirement to have OHS plans, responsible staff, management commitment and training and education that relate thereto. Part of this requirement is to ensure that the workplace is able to provide a healthy and safe environment to all that work there and/or visit there. It is therefore important that each organisation recognises the importance of having these policies and procedures in place and adhering to them.

Not adhering to these requirements, and further, not conducting risk assessments in the workplace, can lead to major financial implications on the organisations as a hazard may lead to a serious injury of a staff member or even a visitor / client.

**LESSON 3**

**Conducting a Continuous Risk Assessment**

This Learning Unit is aligned to US 120330 Specific Outcome 3:

**Conduct a continuous risk assessment**

This Learning Unit comprises the theoretical component of your learning and includes activities that are class-based and of a formative nature.

**After completing this Lesson, you should be able to:**

* Conduct hazard identification correctly
* Identify significant hazards
* Complete the relevant documentation

**Hazard Management Process**

* Hazard identified (assessment that is conducted / report / incident, etc)
* List on Hazard Log
* Conduct a risk assessment
* Select risk control solutions
* Develop risk control plan (who, when, how, training, etc)
* Implement risk controls
* Monitor and review outcomes

Each step must include consultation with staff and feedback

The first step in managing workplace hazards is to identify them. It is important to involve everyone in this task. Tools that can assist you to identify and address hazards are a Hazard Log, an Incident / Injury Report, a Hazard Report and a structured workplace inspection using a Workplace Inspection Checklist.

Strategies for identifying hazards may be specifically planned for the purpose or continuous, that is, integrated into day to day activities. Examples of each are listed below. Planned strategies may include:

* Monthly, six monthly and annual review of data (hazard, incident, injury, rehabilitation and maintenance records)
* Hazard inspections, including regular workplace inspections
* Considering potential hazards prior to purchasing new equipment or chemicals
* Using industry information from employer organisations and unions to highlight issues that have not been considered

If you have only a minimal OHS system in place, it would be wise to start with a review of your data and a hazard audit. This information would then form the basis for your risk assessment process, which must be done in consultation with staff.

Continuous strategies include:

* Hazard reports completed by staff
* Incident reports and investigation
* Informal observations
* OHS discussion at staff meetings and Health and Safety Committee meetings
* Breakdown maintenance records

**Hazard Inspections**

Regular workplace inspections using a checklist provide you with a chance to identify hazards not noticed on a day to day basis. The objective is to identify hazards, monitor OHS standards and ensure that corrective actions is taken within an agreed timeframe.

Inspections should be conducted by a manager and an employee who understands the area being inspected. It is also a good idea to rotate the people conducting the inspections and bring in people from different areas as they may see different hazards. This also helps to encourage participation by all staff in the organisation.

You should decide how often to conduct inspections in consultation with employees, considering how quickly hazards could arise. Some areas may need to be inspected monthly, some every week.

Inspections should include a wide range of issues such as housekeeping, emergency equipment, lighting, equipment, storage and hazardous substances, and should involve staff working within that area.

A small organisation may only need to have one checklist, or it may be more practical to have more than one and complete them at staggered regular intervals, for example, kitchen / dining areas, offices, storage and maintenance areas, gardens, etc.

**Workplace Hazard Inspections**

* Select inspection team
* Inspect workplace using checklist
* Identify hazards
* Conduct risk assessment
* Record hazards / actions on Hazard Log
* Implement OHS Action Plan
* Monitor and review outcomes

Consider the following:

* Substances used, for example, cleaning and laundry products, photocopier toner, etc
* Equipment used – suitability of hoists, maintenance tools, ovens, washing machines, dryers, irons, lawnmowers, etc and any hazards associated with the way that they are used or maintained
* Moverable items – vehicles, store boxes, linen and food trolleys, wheelchairs (manual and electric), mechanical hoists, etc
* People – do they have the skills, information, training and equipment necessary to perform tasks safely? Do they comply with the procedures? Are there potential hazards for staff who are new and/or inexperienced? How could they be affected?

Record of all the hazards identified must then be placed in the Hazard Log. At this stage, the Hazard Log is simply a summary list of hazards identified. Later, you will add more information to the log as you move through the processes of risk assessment and risk control.

Following workplace inspections you must take action to address identified hazards or issues, starting with a risk assessment. If you have not assessed the risk and found it very minor, you are not meeting your obligations under OHS legislation if you do not take action. If you do not take action and someone is hurt you must be able to prove that you have assessed the risk and that there was no need to take action.

As you go around the workplace, you may find hazards, for example, blocked fire exist, which you act on immediately. Even though the hazard has been immediately controlled, for example, whatever is blocking the exit has been removed, you should still document what has been done so that any patterns or trends can be identified over time.

Once actions have been completed, record the completion date on the Workplace Inspection Checklist. You may wish to record major hazards on the Hazard Log to keep all information in one place. Long term actions should be included in the OHS Action Plan.

On completion of the workplace hazard inspection:

* Allocate and record actions
* Record identified hazards on the Hazard Log (including a review date)
* Forward the Workplace Inspection Checklist to the manager / OHS Coordinator
* Sign the sheet once tasks have been completed
* Long term actions on the OHS Action Plan and amend the OHS Plan if necessary
* Monitor the Workplace Inspection Checklist to ensure that all actions have been implemented

 **TASK 6 – This Task needs to be completed and placed in your PoE**

Find out how hazard identification is assessed in your own workplace? How are hazards noted and recorded? What action is taken once a hazard is identified?

This Task is aligned to **Specific Outcome 3, Assessment Criterion 1 and 2**

**Hazard Reports**

Effective hazard reporting is essential for successful hazard management and to meet the requirements of OHS legislation. Implementing the use of a Hazard Log will encourage your staff to identify and report hazards. You can then implement controls before an injury occurs. Encourage staff to complete Hazard reports for any situation which requires actions beyond simple maintenance.

Hazard Reports should be:

* Completed by anyone – employees, managers, contractors, etc
* Signed by the person who completes them
* Investigated, and improvements planned and implemented by the director / supervisor (in consultation with staff)
* Signed by a Health and Safety Committee or staff meeting

After discussion at a meeting, you should include comments on the effectiveness of action taken on the Hazard Report and Hazard Log. Provide feedback to the staff member who reported the hazard.

**Sample Documents to be Used for the Continuous Risk Assessments in the Workplace and the Conducting thereof**

Below are some sample documents that can/may be used during the conducting of a Continuous Risk Assessment. These documents should form part of the organisation’s QMS / standard templates and should also be incorporated in the organisational OHS policy. It is important to note that if these documents are not currently in use, the current policy and procedure should be revised, reviewed and some of these documents / tools adapted to suit the needs of the organisation for future risk assessment and controls thereof.

The following template is necessary when conducting a risk assessment. It sums up most of the aspects to be covered.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **What are the****hazards?** | **Who might be****harmed and how?** | **What are you already****doing?** | **What further****action is necessary?** | **Action by****whom?** | **Action by****when?** | **Done** |
| Slips andTrips | Staff andvisitors may be injured if they trip over objects or slip on spillages. | General goodhousekeeping. All areas well lit, including stairs. No trailing leads or cables. Staff keep work areas clear, e.g. no boxes left in walkways, deliveries stored immediately, offices cleaned each evening | Betterhousekeeping needed in staff kitchen, e.g. on spills | All staff,supervisor to monitor | 01/01/11 |  |

**Hazard identification**

|  |  |  |
| --- | --- | --- |
| **Step** | **Action** | **How** |
| **1** | What are thehazards? | ***Spot hazards by:*** walking around your workplace; asking your employees what they think; checking manufacturers’ instructions; contacting your trade association.**\*don’t forget long-term health hazards.** |
| **2** | Who might beharmed and how? | ***Identify groups of people. Remember:*** some workers have particular needs; people who may not be in the workplace all the time; members of the public; if you share your workplace think about how your work affects others present.***\*Say how the hazard could cause harm.*** |
| **3** | What are youalready doing? | List what is already in place to reduce the likelihood ofharm or make any harm less serious. |
|  | What furtheraction is necessary? | You need to make sure that you have reduced risks ‘so faras is reasonably practicable’. An easy way of doing this is to compare what you are already doing with good practice. If there is a difference, list what needs to be done. |
| **4** | How will youput the assessmentinto action? | Remember to prioritise. Deal with those hazards that arehigh-risk and have serious consequences first. |

 **TASK 7 – This Task needs to be completed and placed in your PoE**

List the documents that are used and worked with during the hazard identification / risk assessment in your own workplace.

This Task is aligned to **Specific Outcome 3, Assessment Criterion 4**

**TOOL 1 – Sample 1 OHS Policy / Procedure Document Review**

**Name of Policy: ……………………………………………………………………….**

**Name of Person Conducting Review: …………………………………………….**

**Date of Review: ……………………………………………………………………….**

You are asked to review the attached policy and complete the following:

|  |  |  |  |
| --- | --- | --- | --- |
| **No** | **Criteria** | **Yes** | **No** |
| 1 | Do you believe the policy is clear and understandable? |  |  |
| 2 | Is the policy current and correct? |  |  |
| 3 | Is the policy practical – that is, can it be followed in daily practice? |  |  |
| 4 | Comments / suggestions: |  |  |

The SHE representative or employee should be able to do adequate

 preparation prior to the conducting

**Different terms**

**Assessment**: The process of collecting information of specific activities,

conditions or situations. Evaluation: The making of a judgement of an

entire process or procedure in terms of

effectiveness.



**Analysis**: To interrogate and establish the facts of a situation,

condition or activity.

**Verification** includes all the activities associated with the producing of a

 high quality programme or process. The activities here refers to:

Testing, inspection, design analysis, specification analysis to ensure

 that the system or programme is operational and functional the way

was designed or intended to be.

**TOOL 2 – Sample 2 Hazard Log**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Date of Report** | **Nature of Hazard (Risk Identification)** | **Priority (Risk Assessment)** | **Action Required (Risk Control)** | **By Whom** | **By When** | **Date Action Completed** | **Follow Up Date** |
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**TOOL 3 – Sample 3 OHS Action Plan Worksheet**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Actions Required (How we will improve what we say/do?)** | **Goals (What will be the improved result?)** | **How will action be Monitored / Evaluated and when Reviewed?** | **Person or Team Responsible** | **Date Action to be Completed** | **Actual Date Action Completed** | **What was the Improved Results?** |
|  |  |  |  |  |  |  |
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**TOOL 4 – Sample 4 Incident / Injury Report**

**Status:**

|  |  |  |  |
| --- | --- | --- | --- |
| Employee |  | Contractor |  |
| Visitor |  | student |  |

**Details of Injured Person:**

|  |  |  |  |
| --- | --- | --- | --- |
| Surname |  | First Name |  |
| Phone (H) |  | Phone (W) |  |
| Cellular No |  | Sex |  |
| Date of Birth |  | 1st Language |  |
| Address: |  |
|  |

**Experience in Job: Work Status**

|  |  |  |  |
| --- | --- | --- | --- |
| 0-3 months |  | 4-12 months |  |
| 3-5 years |  | 5 years + |  |
| 1-2 Years |  | Temporary |  |
| Permanent |  | Part time |  |

**Details of Witnesses**

|  |  |  |  |
| --- | --- | --- | --- |
| Surname |  | First Name |  |
| Phone (W) |  | Phone (H) |  |
| Address: |  |
| Surname |  | First Name |  |
| Phone (W) |  | Phone (H) |  |
| Address: |  |

**Details of Incident or Accident**

|  |  |  |  |
| --- | --- | --- | --- |
| Date |  | Time of Injury | am/pm |
| Activity Engaged In |  |
| Location of incident / accident: |  |
| Describe how and what happened |  |

**Details of Injury (the assistance of a supervisor may be required to complete this section)**

|  |  |
| --- | --- |
| Nature of injury / illness (e.g. burn, sprain, cut, etc |  |
| Mechanism (e.g. fall, grabbed by person, muscular stress) |  |
| Location on body (e.g. back, right thumb, left arm, etc) |  |
| Agency (e.g. furniture, another person, hot water, etc) |  |

**Treatment Administered**

|  |  |
| --- | --- |
| Was First Aid administered? |  |
| Treatment: |  |
| Referred to; |  |
| First Aid Officer (Name); |  |
| Signature of First Aid Officer |  |

***The following sections must be completed by the supervisor / manager***

|  |  |
| --- | --- |
| Did the injured person stop work?  | *If yes, state the time and date* |
| Outcome:Treated by Doctor:First Aid Officer: |  |
| Workmen’s Compensation Claim Completed: |  |
| Returned to normal duties |  |
| Hospitalised: |  |
| Returned to alternative duties: |  |
| Incident or accident investigation: |  |
| Name of Supervisor |  |
| Date |  |
| Signature |  |

***Remedial Actions***

|  |  |  |  |
| --- | --- | --- | --- |
|  | Conduct task analysis |  | Reinstruct persons involved |
|  | Improve design / construction / guarding |  | Conduct hazard / systems audit |
|  | Improve staff skills mix |  | Add to inspection programme |
|  | Develop / review tasks / procedures |  | Provide debriefing and/or counselling |
|  | Improve procedures / communication / reporting procedures |  | Improve work environment |
|  | Request maintenance |  | Improve security |
|  | Review OHS policy / programmes |  | Improve personal protection |
|  | Temporarily relocate employees involved |  | Replace equipment / tools |
|  | Improve work congestion / housekeeping |  | Other (Specify) |
|  | Improve work organisation |  | Investigate safer alternatives |
|  | Develop and/or provide training |  | Request material safety / data sheets |

What, in your own words, has been implemented or planned to prevent recurrence:

|  |
| --- |
|  |
|  |
|  |
|  |
|  |

***Remedial Actions Completed***

|  |  |
| --- | --- |
| Signed (Supervisor) |  |
| Title |  |
| Date |  |
| Review comments (Health and Safety Committee Meeting: |
| Reviewed by Manager (Name) |  |
| Signed |  |
| Date |  |

**TOOL 5 – Sample 5 Hazard Report**

**Report Completed By (name) ……………………………………………………..**

**Date: ……………………………………………………………………………………**

|  |  |
| --- | --- |
| To be completed by person identifying hazard | **Description of hazard**Include area and task involved, and any equipment, tools, people involved. Use sketches if necessary |
| **Suggested actions**List any suggestions you have for reducing or eliminating the problem, for example, redesign, use of mechanical devices, training, etc |
| **Report handed to:** **Name ……………………………………………****Position: ………………………………………...****Date: ……………………………………………..** |
| To be completed by management | **Action Taken**To be completed by a manager / supervisor in consultation with employees and include action at local level**Supervisor Name:……………………………….****Date: ……………………………………………….****Outcome Evaluation:**Hazard eliminated 🗹 🗷Risk controlled 🗹 🗷Further actions, by whom, when?Date of Response: ……………………………………Response to staff meeting / OHS Committee:Date of Response: ……………………………………. |

**TOOL 6 – Sample 6 Workplace Inspection Checklist**

**Work Area: …………………………………………………..**

**Date of Inspection: …………………………………………**

**Person/s Inspecting: ……………………………………….**

| **Criteria** | **Area Standard****C = Commendable****S = Satisfactory****U = Unacceptable****N = Critical** | **Actions Required** | **By Whom** | **By When** | **Action Completed** |
| --- | --- | --- | --- | --- | --- |
| **Corridors / Stairs** |  |  |  |  |  |
| No blind corner |  |  |  |  |  |
| Hand rails accessible |  |  |  |  |  |
| Anti-slip tread on stairs |  |  |  |  |  |
| Stairs in good condition |  |  |  |  |  |
| **Floors** |  |  |  |  |  |
| Even, visible steps, etc |  |  |  |  |  |
| In good condition (no trip hazards) |  |  |  |  |  |
| No spills |  |  |  |  |  |
| **Work Areas** |  |  |  |  |  |
| Clean and tidy |  |  |  |  |  |
| Equipment, paperwork put away |  |  |  |  |  |
| **Storage** |  |  |  |  |  |
| Items stored correctly |  |  |  |  |  |
| Storage designated to minimise lifting problems |  |  |  |  |  |
| Walking area clear |  |  |  |  |  |
| **Electrical** |  |  |  |  |  |
| Residual current devices fitted for moveable equipment |  |  |  |  |  |
| Equipment checked and has current inspection tags |  |  |  |  |  |
| No cords on floor or across walkways |  |  |  |  |  |
| **Equipment** |  |  |  |  |  |
| In good condition (in unsafe taken out of service) |  |  |  |  |  |
| In use or stored appropriately |  |  |  |  |  |
| Suitable for purpose used |  |  |  |  |  |
| Maintenance checks / records upto date |  |  |  |  |  |
| **Ventilation** |  |  |  |  |  |
| Air vents, filters, extraction fans clean |  |  |  |  |  |
| Servicing records kept upto date |  |  |  |  |  |
| **Gas Cylinders** |  |  |  |  |  |
| Cylinders secured |  |  |  |  |  |
| Stored outside (minimum inside) |  |  |  |  |  |
| Cylinders in use secured on trolley |  |  |  |  |  |
| **Hazardous Substances** |  |  |  |  |  |
| Material safety date sheets available for all substances |  |  |  |  |  |
| All containers clearly labelled |  |  |  |  |  |
| Stored appropriately |  |  |  |  |  |
| **Manual Handling** |  |  |  |  |  |
| Unnecessary manual handling eliminated |  |  |  |  |  |
| Staff trained in manual handling |  |  |  |  |  |
| Staff trained in use of mechanical aids |  |  |  |  |  |
| **Lighting** |  |  |  |  |  |
| Light fittings clean, working |  |  |  |  |  |
| Work areas well lit |  |  |  |  |  |
| Night lighting adequate |  |  |  |  |  |
| Security lights working |  |  |  |  |  |
| **Employee Amenities** |  |  |  |  |  |
| Toilets, hand basis clean, soap available |  |  |  |  |  |
| Lunch room / canteen clean |  |  |  |  |  |
| **Safety Signs** |  |  |  |  |  |
| OHS Policy displayed |  |  |  |  |  |
| First aid, protective and fire equipment, signs, etc posted |  |  |  |  |  |
| **Waste Disposal** |  |  |  |  |  |
| Bins regularly emptied |  |  |  |  |  |
| Clean |  |  |  |  |  |
| Food scraps in vermin proof bins |  |  |  |  |  |
| Infectious waste disposed of appropriately (if applicable) |  |  |  |  |  |
| **Fire and Emergencies** |  |  |  |  |  |
| Extinguishers in place |  |  |  |  |  |
| Serviced, not blocked |  |  |  |  |  |
| Exits clearly marked, clear |  |  |  |  |  |
| Exits, emergency lighting work |  |  |  |  |  |
| Action cards, emergency numbers displayed |  |  |  |  |  |
| Smoke detectors tested |  |  |  |  |  |
| Fire blankets accessible |  |  |  |  |  |
| Employees know procedures (ask a sample of staff) |  |  |  |  |  |
| First aid kit available, well stocked and clean |  |  |  |  |  |
| Records kept of first aid provided |  |  |  |  |  |
| **Grounds** |  |  |  |  |  |
| Paths even / obstruction free |  |  |  |  |  |
| Garden sheds locked |  |  |  |  |  |
| Easy access to grounds for staff / visitors |  |  |  |  |  |

Please refer to the suggested key below:

**Commendable’**: if the service’s policies and practices meet requirements. This would be indicated by the service providing evidence that:

* all criteria are satisfied
* there is evidence of continuous improvement
* there is no area of major health or safety risk nor major concern about staff / visitors well-being, and
* there is a consistent level of achievement of the outcome.

**Satisfactory**: if the service’s policies and practices generally meet the requirements and there are only minor deficiencies which can be rectified within an agreed timeframe. The service would:

* be able to provide evidence of an adequate corrective plan currently being implemented to rectify the deficiency within a reasonable time, and
* have no major areas of health or safety risk nor major concern about residents’ well-being.

**Unacceptable**: if any major health or safety risks or concerns about staff / visitors well-being exist but the service can provide evidence that an adequate corrective plan is being actioned and will be achieved within an acceptable timeframe; if the service’s policies and practices do not meet the expected outcome because there are major deficiencies (other than a major health or safety risk or concern about residents’ well-being) which, despite corrective action, will take considerable time to rectify.

**Critical** if a major health or safety risk or concern about staff / visitors well-being exists for which there is no evidence of an adequate plan of corrective action currently being implemented. Immediate corrective action is required.

***Unacceptable*** *means an adequate corrective plan is being actioned and it will be achieved within an acceptable timeframe.*

***Critical*** *means no corrective plan is in place and immediate corrective action is* required.

**LESSON 4**

**Remedial Action**

This Learning Unit is aligned to US 120330 Specific Outcome 4:

**Initiate remedial action and follow up on continuous risk assessment**

This Learning Unit comprises the theoretical component of your learning and includes activities that are class-based and of a formative nature.**After completing this Lesson, you should be able to:**

* Implement remedial action for hazards
* Follow up action on continuous risk assessment is implemented
* Explain the consequences of non-compliance to implementing corrective action

**Risk Control - Introduction**

After hazard identification and risk assessment, the third major step in managing hazards is risk control. This requires you to plan actions to eliminate or reduce the risks of injury or illness starting with the high priority hazards.

There are two forms which can help you in this process. The first, the Hazard Log, should be used for initial identification of all hazards, and for management of those which can be controlled immediately, usually by a single action, for example, faulty equipment which can be fixed. The accumulated data on the Hazard Logs can also be used to guide annual or six-monthly reviews of risk controls to assess which are the highest priority and which controls are working adequately.

For more complex hazards which need medium to long term solutions, or which need more than one form of risk control, once you have logged them onto the Hazard Log, you may wish to use the sample OHS Action Plan Worksheet. You should also use this tool to document your annual or six-monthly OHS Action Plans.

Decisions on risk control must be based on a prioritised list of risks (refer to the previous Learning Units). The aim is to find a suitable way of controlling each of the risks listed, that is, to develop a solution which will make the workplace safe **despite the existence of a hazard.**

Experience in OHS has shown that the people who do the work are most likely to develop the best solutions to risks. Therefore, while managers and proprietors will make most of the final decisions, based on resources available, the suggested solutions should come from consultation with staff and contractors.

**Eliminate the Hazard**

Examples of elimination are:

* repairing or replacing faulty equipment (this might be anything from fixing a broken light switch to buying a new autoclave)
* redesigning the workplace, for example, redesigning rooms to allow sufficient space for manual handling tasks (this may be as simple as moving the furniture, but could also include widening doorways, etc)
* changing work practices so that unnecessary high risk tasks are no longer done, for example, no lifts without hoists.

If the hazard cannot be eliminated, the next option is to minimise the risk of injury.

**Minimise the Risk**

There are a number of options that you may be able to use alone or in combination to minimise the risk of injury and illness. These options are considered below.

**Substitution**

Substitution requires replacing hazardous substances or procedures with those that are safer, for example, by:

* replacing a hazardous cleaning product with one which is non-hazardous and environmentally friendly
* replacing tiles in the bathroom with non-slip tiles.

**Modification**

You may be able to modify the workplace or work practices to minimise risk, for example, by:

* rearranging the layout of a room to allow free access with a hoist
* improving drainage in bathrooms / toilets

**Isolation**

You may be able to isolate hazards to minimise the risk, for example, by:

* moving a photocopier away from the desk area
* locking up chemicals to prevent access by staff or visitors.

**Engineering Controls**

You may be able to find mechanical solutions to some of your hazards, for example, by using:

* hoists and trolleys

If risks cannot be minimised, the next option is to consider implementing administrative controls.

**Implement Administrative Controls**

Administrative controls include:

* changing the way the work is done
* implementing safe work practices or standard operating procedures
* training
* increasing the supervision of staff.

Examples include:

* written procedures for higher risk tasks
* safe procedures to be followed during maintenance
* signs warning of hazards
* rest breaks for people like computer operators doing repetitive tasks
* job rotation
* regular training relating to major hazards, for example, manual handling.

 **TASK 8 – This Task needs to be completed and placed in your PoE**

Explain how remedial action for hazards is implemented in your organisation

This Task is aligned to **Specific Outcome 4, Assessment Criterion 1**

It is important to involve the people who carry out the activity in the Risk Assessment. They will be able to bring their knowledge, experience and understanding of the activity. They will have an understanding of exactly how the work is carried out and will look at it from a different perspective from their manager or supervisor.

These people include contractors, temporary workers, volunteers, the general public and others who could be affected must also be considered. Tools and material required include Templates, Occupational Safety and Health legislation, Safety & Health policies. A checklist can be used to verify.

**Implementing Controls**

When you have considered options for controlling risks and chosen a solution, your next step is to document it on the Hazard Log and develop an implementation plan, including who is responsible for tasks and the timeframes. You may wish to use the

sample OHS Action Plan Worksheet as a guide.

Importantly, you should also decide at this point how you will monitor and evaluate the success of your actions. This should be decided **before** you implement – in deciding how to monitor or evaluate you may realise that changes to the implementation process are necessary, for example, record keeping/data collection may be added to the standard operating procedures. Any decisions or actions which are taken must be recorded fully (minutes of meetings, entries in the Hazard Log, etc).

Employees and their representatives must be involved in the process of implementing controls and trained in any new procedures required.

**Incident Investigations and their Relationship to Hazard Identification and Risk Control**

Often, the only time we know that a hazard exists, or that a risk control has failed, is when an incident occurs. ‘Incidents’ include near misses and situations in which staff coped with the hazard well. Where an injury results in lost time or medical costs, workers’ compensation claim forms must be completed.

Incident investigations are rich sources of information for monitoring and evaluation. Ideally, where serious incidents or injuries have occurred, senior managers (including proprietors or board members) should be involved in the investigation and should take responsibility for ensuring that any corrective action necessary receives the appropriate resources.

Conclusions and recommendations should be developed in consultation with staff – particularly the staff affected by any proposed changes.

Incident report forms are legal documents and must be completed thoroughly and objectively. A sample Incident/Injury Report has been included in this Learning Unit. You will need to adapt this to suit your organisation.

Investigating incidents is essential for identifying and addressing hazards. This requires investigators (a manager and Health and Safety Representative or employee representative) to be trained in the task. A detailed approach must be used, particularly for long term incidents or symptoms where underlying causes may be hard to identify.

Things that you should consider when investigating incidents include:

• Who was involved?

• Where and when did the incident occur?

• What task or work was being performed?

• How did the incident occur, for example, was a client, chemical or equipment involved?

• What were the events leading up to the incident?

Another way of thinking about identifying causes is to ask:

• Is there a problem with the way the work is organised?

• Is there a problem with the way staff or visitors are managed?

Look for problems relating to equipment, the task, work environment or procedures (not just what a person did wrong). For example, if a kitchen worker is injured because they lifted a weight above that allowed in the work procedures, ask why they felt they had to lift the weight – Are the trolleys kept in an inconvenient place? Does the arrangement of workbenches or furniture make decanting into a smaller container awkward? Does the work timetable leave insufficient time for the person to decant the load?

If similar incidents have occurred, reports on those incidents should also be considered in order to identify any patterns or underlying causes. If it is not an individual problem, such things as communication skills, staff allocation, clinical skills, training, policy and procedures and care plans may all need to be investigated.

Certainly consultation with staff about their training needs would be strongly indicated, since they would not be asking the other staff member to handle the difficult situations if they felt confident of their own skills.

You can use investigation and consultation to identify the underlying causes (hazards). You will then need to conduct a risk assessment on each hazard. Where the hazard was already known, you can use the information to assess how well or poorly the control strategy is working.

Next, develop a plan for controlling the hazards identified, including timeframes and responsibilities, and record the outcomes on the Incident/Injury Report and the Hazard Log. Discuss the injury statistics and actions taken at the Health and Safety Committee and staff meetings. Document the discussion in the minutes, including a review of the effectiveness of the actions taken.

You may choose to use separate incident report forms for staff and visitors or to use the same form. Where the same form is used, confidentiality of visitors records must be protected. Staff reports must also be kept confidential, with incidents discussed at meetings, but without the individuals involved being identified.

**Monitor and Evaluate Outcomes**

You have now **identified** your hazards, and **assessed** and **controlled** the risks that they present. The fourth step in managing hazards is, in consultation with your staff, to **monitor and evaluate** the changes made to control the hazard. Questions that you should consider are:

• How well do the control measures eliminate or reduce the risks?

• Do the control measures introduce new hazards?

• Is the process working effectively to identify hazards and manage risks?

**Outcome Measures**

Outcome measures gauge your long term OHS success. These measures include:

• numbers of accidents, incidents and injuries, including near misses

• outcomes for staff, for example, the severity of injuries and time off work

• costs, for example, workers’ compensation premiums

• staff satisfaction levels

• visitor satisfaction levels.

**The consequences for not conforming to legal and specified requirements**

Legal duties and obligations around Risk Assessment

Occupational Health & Safety Act, 1993 regulations require all employers and the self-employed to assess the risks from their work on anyone who may be affected by their activities. The Regulations require employers to carry out a systematic examination of their work activities and record the significant findings of the Assessment. If an employer has five or more employees, the findings must be recorded in writing.

Other regulations

As well as the assessment of general work activities, there are a number of pieces of legislation that look for a specific Risk Assessment including:

• Control of Substances Hazardous to Health Regulations 2002

• The Manual Handling Operations Regulations

• The Control Of Asbestos at Work Regulations 2002

• The Personal Protective Equipment at Work Regulations 1992

• The Display Screen Equipment Regulations

Failure to adhere to these legislative instruments will result in business closure until compliance is met. In some instances heavy fines are payable and criminal cases can be opened against the business owners.

**CONCLUSION**

The employees and SHE representatives must ensure that proper planning is done prior to conducting the risk assessment in the workplace. Doing the planning will ensure the person is focused on the specific task or observation and finding workable and practical solutions to address the shortcomings.