RISK MANAGEMENT SERIES

RM-05 · Risk Management Implementation Toolkit

Product Overview

For: Small and medium businesses, and whoever runs WHS in them

Version 1.0 · 7 November 2026

The editable registers, worksheets and templates to run WHS risk management day to day.

Training builds understanding; the toolkit is what people use afterwards. It contains the identification, assessment, control and review tools needed to run risk management day to day, organised into the four steps of the process.

An implementation guide explains how the tools fit together, the order to introduce them in, and how to adapt them to your organisation's existing risk framework and risk matrix, and carries one site through every tool.

With the toolkit in place, your business can

- Identify hazards consistently, from the whole site down to the individual task
- Assess risk with one matrix and one method across the business
- Maintain a risk register with a named owner for every risk and control
- Manage change so that new risks are assessed before work starts
- Verify that controls are in place and effective
- Track corrective actions to completion

What is in the toolkit

Step	Tools
Identify	I1 Hazard identification checklist; I2 Workplace inspection checklist; I3 Hazard and near miss report form; I4 Broad-brush risk assessment (Excel)
Assess	A1 Risk matrix and consequence table, editable; A2 Task risk assessment template; A3 Job safety analysis template; A4 Pre-start check card
Control	C1 Hierarchy of control selection worksheet; C2 Reasonably practicable decision record; C3 Risk register (Excel); C4 Risk owner and control owner register; C5 Management of change worksheet
Review	V1 Control verification checklist; V2 Inspection and review schedule (Excel); V3 Corrective action tracker (Excel); V4 Review triggers
Guide	How the tools fit together; fitting them to your own framework and matrix; a twelve-month sequence; tool-by-tool notes; a worked example that carries one site through every tool

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Folders

Folder	Contents
01_START_HERE	Read Me First, Product Overview, Permitted Use Terms, Version Information
02_IMPLEMENTATION_GUIDE	Implementation Guide (.docx and PDF), with the twelve-month sequence and the worked example
03_IDENTIFY	I1 Hazard Identification Checklist, I2 Workplace Inspection Checklist, I3 Hazard and Near Miss Report Form, I4 Broad-Brush Risk Assessment (.xlsx)
04_ASSESS	A1 Risk Matrix and Consequence Table, A2 Task Risk Assessment Template, A3 Job Safety Analysis Template, A4 Pre-Start Check Card
05_CONTROL	C1 Hierarchy of Control Selection Worksheet, C2 Reasonably Practicable Decision Record, C3 Risk Register (.xlsx), C4 Risk Owner and Control Owner Register, C5 Management of Change Worksheet
06_REVIEW	V1 Control Verification Checklist, V2 Inspection and Review Schedule (.xlsx), V3 Corrective Action Tracker (.xlsx), V4 Review Triggers

You will need

- Microsoft Word and Excel, or compatible software
- Someone with authority to introduce the tools into your risk management system

Document control

Item	Detail
Product	RM-05 Risk Management Implementation Toolkit
Document	Product Overview
Version	1.0
Status	Released
Date	7 November 2026
Publisher	Orana Skills Centre
Copyright	© 2026 Orana Skills Centre. All rights reserved.
Use	Licensed for internal use by the purchasing organisation under the Permitted Use conditions in folder 01_START_HERE.

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Implementation Guide

How the seventeen tools fit together, the order to introduce them, how to fit them to your own framework and matrix, and one site carried through every tool.

Version 1.0 · 7 November 2026

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1. What this toolkit is

Training builds understanding; the toolkit is what people use afterwards. It contains the identification, assessment, control and review tools needed to run risk management day to day, organised into the four steps of the process.

An implementation guide explains how the tools fit together, the order to introduce them in, and how to adapt them to your organisation's existing risk framework and risk matrix, and carries one site through every tool.

It is written for small and medium businesses, and whoever runs whs in them: often an owner, an office or operations manager, or a supervisor who runs WHS alongside another job. It is not a training package, a policy or a legal compliance checklist. It is the set of working documents that let a business identify its hazards, assess the risks with one matrix, control them from the top of the hierarchy, and prove the controls work.

Code	Step	Tool	Format
I1	Identify	Hazard identification checklist	DOCX
I2	Identify	Workplace inspection checklist	DOCX
I3	Identify	Hazard and near miss report form	DOCX
I4	Identify	Broad-brush risk assessment	XLSX
A1	Assess	Risk matrix and consequence table	DOCX
A2	Assess	Task risk assessment template	DOCX
A3	Assess	Job safety analysis template	DOCX
A4	Assess	Pre-start check card	DOCX
C1	Control	Hierarchy of control selection worksheet	DOCX
C2	Control	Reasonably practicable decision record	DOCX
C3	Control	Risk register	XLSX
C4	Control	Risk owner and control owner register	DOCX
C5	Control	Management of change worksheet	DOCX
V1	Review	Control verification checklist	DOCX
V2	Review	Inspection and review schedule	XLSX
V3	Review	Corrective action tracker	XLSX
V4	Review	Review triggers	DOCX

With the toolkit in place, a business can:

- Identify hazards consistently, from the whole site down to the individual task
- Assess risk with one matrix and one method across the business
- Maintain a risk register with a named owner for every risk and control
- Manage change so that new risks are assessed before work starts
- Verify that controls are in place and effective
- Track corrective actions to completion

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2. The method on one page

Non-negotiables

1. Risks are written as specific scenarios with their causes, not as hazard categories.
2. Every risk has a risk owner and every control has a control owner.
3. Likelihood is rated from the controls in place and verified. A control nobody has checked gets no credit.
4. A Major or Catastrophic consequence is never Low or Medium, and never drops off the register.
5. Controls are chosen from the top of the hierarchy. Documents, forms, signs and training records are not controls on their own.
6. Preventive and mitigating controls are both planned, resourced and tested.
7. Change is assessed before work starts. Change without control is simply risk reintroduced into the system.
8. Ratings move with the evidence: up when incidents, near misses or failed verifications rise, down only when improvements last.
9. Workers are consulted on the hazards, the assessments, the controls and the changes, before decisions are made.

Key definitions

Term	Definition
Hazard	Anything with the potential to cause harm.
Risk	The possibility that something unwanted or harmful might happen. It is the combination of two factors: likelihood (how likely it is to happen) and consequence (how severe the outcome would be if it did happen).
Control	An act, object, or technical system that actively prevents or mitigates the risk of an unwanted event.
Preventive control	A control that aims to stop the hazard from becoming an incident.
Mitigating control	Something that minimises harm once the hazard has been triggered.
Inherent risk	The risk present without controls.
Residual risk	The risk that accounts for the impact of current controls. If controls are not fully verified or implemented, don't assume the risk is low.
Risk owner	Accountable for understanding, managing, and reporting on a particular risk.
Control owner	Responsible for the day-to-day implementation, monitoring, and verification of controls designed to mitigate risks.

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The matrix

Likelihood	1 Insignificant	2 Minor	3 Moderate	4 Major	5 Catastrophic
5 Almost certain	Medium	High	High	Extreme	Extreme
4 Likely	Medium	Medium	High	Extreme	Extreme
3 Possible	Low	Medium	High	High	Extreme
2 Unlikely	Low	Low	Medium	High	High
1 Rare	Low	Low	Medium	High	High

The rating rules

Rule	What it says
Inherent risk	Rate the consequence alone. Do not give inherent risk a likelihood: without controls an event is inherently more likely. The matrix reads inherent risk from the top row (no real control).
Current (residual) risk	Rate the likelihood from the controls that are in place and verified. If controls are not fully verified or implemented, do not assume the risk is low. Show me the control.
No credit without verification	A control nobody has checked gets no credit. If no control on a risk has been verified, current risk is the same as inherent risk.
Lower order controls	If the controls you can verify are all administrative, PPE or behaviours, likelihood is no lower than Likely: they rely on people doing a thing or wearing a thing, every time.
Catastrophic risks stay on	A Major or Catastrophic consequence is never Low or Medium, however rare it seems. It stays on the register and its controls get verified.
How fast	Ask how quickly it would go from a control failing to someone being hurt. If there is no time to react, training and PPE cannot act in time: the controls must be higher order, and the response planned.
Dynamic, not fixed	Ratings go up when incidents, near misses or failed verifications go up. They come down only when the improvement has been verified and has lasted.

SAY *Nothing got worse. We stopped giving credit to controls we had never checked. The register is now telling us what was already true.*

Expect the first honest pass to raise ratings although nothing in the workplace has changed. A control that was assumed to work and has never been checked stops getting credit. Tell the owners before it happens: the register is now telling you what was already true.

3. How the tools fit together

The tools follow the four steps of the risk management process: identify, assess, control and review, with consultation running through all four. In practice the business sets up a few things first, then works around the loop.

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Step	What it is for
Identify	Find the hazards and describe what could go wrong, from the whole site down to the task
Assess	Rate how bad and how likely, with one matrix, from the controls actually in place
Control	Choose controls from the top of the hierarchy, give every risk and control an owner, and assess change before it happens
Review	Check the controls work, fix what does not, and re-rate when anything changes

Stage	Tools
Set up	A1 the matrix; C4 who owns what; I3 and V3 so reports have somewhere to go
Identify	I1 hazard identification; I4 broad-brush risk assessment; I2 inspections; I3 reports
Assess	A2 task risk assessment; A3 job safety analysis; A4 pre-start card; all rated with A1
Control	C1 hierarchy of control selection; C2 reasonably practicable decision; C3 risk register; C4 owners; C5 management of change
Review	V1 control verification; V2 inspection and review schedule; V3 corrective action tracker; V4 review triggers; back to C3

The tools are linked by reference numbers. A scenario found in I1 or I4 becomes a row in C3 (R-03). Its controls are rows on the C3 Controls sheet (C-03.1), each with a control owner from C4. Each control is verified with V1 on the schedule in V2, and the result goes back on the Controls sheet, which changes the rating. Anything found not working, in I2, I3 or V1, becomes an action in V3. Anything that happens or changes pulls a trigger in V4 or goes through C5, and the review ends back in C3.

4. Fitting the toolkit to your existing framework and matrix

Yes, you can use your own risk matrix. What matters is that the business uses one matrix and one method, not two side by side.

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Step	What to do
Use one matrix	Decide which matrix the business uses, and retire the other. Two matrices side by side give two answers to the same question, and people pick the one they like.
If you keep your own	Put it into A1 and the Matrix sheets of I4 and C3 (same five-by-five layout). Then check it: does any Major or Catastrophic cell come out Low or Medium? If so, change those cells, or add the rule that such risks stay on the register with verified controls whatever their colour.
Add the likelihood descriptors	Whatever your matrix, add what the controls usually look like at each likelihood level (A1). It turns likelihood from opinion into a judgement about controls.
Adopt the rating rules	Inherent risk from the consequence alone; current risk from the verified controls; no credit without verification. These work with any matrix.
A matrix that is not five by five	The Matrix sheets assume five levels of each. For a four-by-four or six-by-six matrix, keep the layout and map your levels onto it, or have someone adjust the formulas on the Register and Broad-brush sheets.
Your existing register	Do not run the old register alongside C3. Rewrite each old entry as one or more scenarios with causes, then move it across. Categories with 'follow procedures' as the control are where most of the work is.
Your existing forms	Keep your own JSA, SWMS, Take 5 or inspection forms if people know them, and check them against the minimum content below. Change the form, not the habit.

If you keep your own forms: what any version must keep

Tool	Minimum content
Hazard and near miss report (I3)	Quick to fill in; a near miss option; what was done straight away; a response part; the reporter told the outcome
Risk assessment (A2) and JSA (A3)	Specific scenarios or steps; controls from the top of the hierarchy; likelihood from verified controls; what would make you stop; the workers who do the job involved
Pre-start (A4)	The job, what could go wrong, what is in place, is it working, what would make you stop, has anything changed. Talked through, not collected
Risk register (C3)	Scenario, causes, consequences, risk owner, preventive and mitigating controls with control owners, inherent and current ratings, verification, actions, review date
Inspection (I2)	Checks the controls the register relies on, not only housekeeping; every finding becomes an action
Action tracker (V3)	Owner asked first; due date by risk; evidence to close; effectiveness check after closing

5. Setting the toolkit up

Fill this in once. Several tools refer to it.

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Setting	What to record	Ours
Who runs WHS	Name and role, and how much time they have for it	
Our existing risk framework and matrix	Where it is, who owns it, and whether we are keeping it or adopting A1	
WHS or OHS law and regulator that apply	Act, regulations, relevant codes of practice, regulator (see section 10)	
Health and Safety Representatives and committee	Names, work groups, how and when we consult	
How hazards and near misses are reported	I3 on paper, an app, a phone number; where reports go	
Who approves work at each risk level	Extreme, High, Medium and Low (A1)	
How long help takes to arrive	Ambulance and fire to each site; this sets the mitigating controls for fast risks	
Where completed tools are kept	System or folder, and who can see them	

Consultation: talk with your workers and give them a real opportunity to contribute before decisions are made: when identifying hazards and assessing risks, deciding on controls, developing procedures for resolving health and safety issues, monitoring health and conditions, and proposing changes. Good consultation is timely (before decisions are made), genuine (views are considered, not just collected), inclusive (everyone affected, contractors included), documented (it shows how input was sought and used). Every tool has a place to record it.

6. The first twelve months

Period	Do	Output	Do not
Months 1 and 2	Name who runs WHS and who sponsors it. Settle the matrix (A1) and test it. Set up I3 and V3 so reports have somewhere to go. Run the broad-brush (I4) with the HSR and experienced workers in the room.	A1 adopted; I3 in use; I4 completed; list of critical risks	Rewrite every procedure; buy software
Months 3 and 4	Put the critical risks into the register (C3) as scenarios with causes. Name risk owners and control owners (C4). Start area inspections (I2). Complete A2 for the tasks behind each critical risk, A3 for the jobs, and introduce A4.	C3 with critical risks; C4; first I2 round; A2, A3 for critical tasks	Give credit to controls nobody has checked
Months 5 and 6	Verify the controls on every critical risk (V1). Re-rate honestly. Use C1 and C2 for the gaps. Start using C5 for every change, including temporary ones.	First V1 results; honest current ratings; C1, C2 decisions; C5 in use	Treat the first rise in ratings as bad news
Months 7 to 9	Set up the year's schedule (V2). Close actions with evidence. Use the review triggers (V4) when something happens. Add the remaining I4 scenarios to the register.	V2 running; V3 actions closing; V4 reviews done	Close actions on 'email sent'
Months 10 to 12	Run the broad-brush again. Challenge every current rating against its verification. Consult workers on the register. Report to the owners or directors. Plan next	Second I4; reviewed C3; a report to the owners	Lower a rating that has not been verified twice

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Period	Do	Output	Do not
	year.		

NOTE If you are a business of ten people with one afternoon a month: start with A1, I3 and V3. Then take your two or three worst scenarios, put them in C3 with an owner, check their controls with V1, and fix what does not work. Add the rest a few scenarios at a time.

7. Tool by tool

I1 Hazard identification checklist (docx)

Purpose: A consistent way to find hazards at three levels: the whole site, each area, and each task, and to write each one as a specific scenario
When: Setting up; before the broad-brush assessment; for a new site, area or kind of work
Who: Whoever runs WHS, with supervisors and the workers who do the work
Connects: Feeds I4 and C3. Hazards found at task level go to A2 or A3.

I2 Workplace inspection checklist (docx)

Purpose: A walk-through of one area that checks the conditions and the controls the register relies on, and turns every finding into an action
When: On the schedule in V2, usually monthly for each area
Who: A supervisor or manager, with a worker or the Health and Safety Representative
Connects: Checks controls named in C3. Every finding goes to V3. Scheduled in V2.

I3 Hazard and near miss report form (docx)

Purpose: A one-page way for anyone to report a hazard, a near miss or a control that is not working, and for the business to answer it
When: Whenever someone sees a hazard, something nearly goes wrong, or a control is missing or broken
Who: Anyone. The supervisor or manager completes the response part
Connects: Answered by a supervisor; actions go to V3. A near miss on a register risk pulls a V4 trigger.

I4 Broad-brush risk assessment (xlsx)

Purpose: A whole-of-business look at what could go badly wrong, consequence first, so the register starts with the risks that matter
When: Once when setting up, then every year, and after a major change to the business
Who: The owners or senior people, whoever runs WHS, supervisors, the Health and Safety Representative and experienced workers, together
Connects: Uses A1. Critical risks and the scenarios that matter go into C3; task-level ones to A2.

A1 Risk matrix and consequence table (docx)

Purpose: The one matrix the whole business uses: consequence and likelihood tables, the rules for using them, what each level means, and a test against known risks
When: Set up once, before any rating; reviewed each year
Who: The owners, with whoever runs WHS
Connects: Used by every rating in I4, A2, A3 and C3. Built into the Matrix sheets of I4 and C3.

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