RISK MANAGEMENT SERIES

RM-01 · Risk Management Awareness

Product Overview

Audience: All workers · Duration: 45–60 minutes

Version 1.0 · 6 November 2026

A practical introduction for every worker: how to spot a hazard, think the risk through, and stop or speak up before the job starts.

Most workers have signed a risk assessment they did not write. This session explains what it is for: finding the hazards in the job, thinking about what could go wrong and how badly, and putting controls in place before work starts rather than after something has gone wrong. Participants learn the difference between a hazard and a risk, how the hierarchy of control ranks controls from removing the hazard down to PPE, what counts as a control and what does not, how to do a quick task risk assessment at the workface, and when and how to stop a job and raise a concern.

Learning outcomes

- Explain the difference between a hazard, a risk and an incident
- Recognise common hazards in their own work, including the ones that have come to seem normal
- Describe how likelihood and consequence combine to give a level of risk
- Rank controls using the hierarchy of control, and explain why PPE comes last
- Complete a simple task risk assessment before starting a job
- Describe how workers are consulted about risk, and how to take part
- Stop a job, and raise a hazard or concern early through the right channel

Session outline

Part	Covers
1. Hazards and risk	What a hazard is, and what a risk is; hazard, exposure, incident and harm; common hazards in operational work, including the ones that have come to seem normal
2. Thinking the risk through	What could go wrong, how likely, how bad, how fast; reading the risk matrix, and its flaw; work as imagined and work as done
3. Controlling the risk	The hierarchy of control in plain terms; a worked example: changing a conveyor idler; why a sign and a pair of gloves is not enough; is it a control?
Activities	Spot the hazard: six scenes from mining, construction, manufacturing, local government, transport and utilities. Before you start: a task risk assessment for a familiar job, with a worked version
4. Your part	Duties of employers and workers under WHS and OHS laws; consultation and your Health and Safety Representative; when the job changes; Stop and speak up scenarios; reporting hazards and near misses; knowledge check

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SAMPLE · RM-01 Risk Management Awareness v1.0 · The full package contains the complete materials.

What is in the package

Folder	Contents
01_START_HERE	Read Me First, Product Overview, Permitted Use Terms, Version Information
02_TRAINING_PRESENTATION	Training Presentation (.pptx with speaker notes, and PDF)
03_FACILITATOR_GUIDE	Facilitator Guide (.docx and PDF), Session Plan
04_PARTICIPANT_RESOURCES	Participant Workbook (.docx and PDF), Handouts (PDF)
05_ACTIVITIES_AND_ASSESSMENTS	Practical Activities, Knowledge Assessment, Assessment Answers (PDF)
07_TRAINING_ADMINISTRATION	Attendance Register (.xlsx), Completion Certificate Template, Training Evaluation

Document control

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RISK MANAGEMENT SERIES

Risk Management Awareness

Spot the hazard, think the risk through, and stop or speak up before the job starts

[Insert organisation name] · [Insert date]

01

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What this session is, and is not

This session is

- ✔ About the hazards in your own work
- ✔ About thinking the risk through before the job
- ✔ About controls that change the work
- ✔ About your part, and your right to stop and speak up

This session is not

- ✕ Your site induction: site rules and hazards still belong there
- ✕ A lecture on the law
- ✕ About filling in more forms
- ✕ About finding someone to blame

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Today

1. **Hazards and risk**
   what can hurt you, and what a risk is

2. **Thinking the risk through**
   what could go wrong, how likely, how bad

3. **Controlling the risk**
   the hierarchy of control, and what a control really is

4. **Your part**
   check before you start, stop when the job changes, speak up

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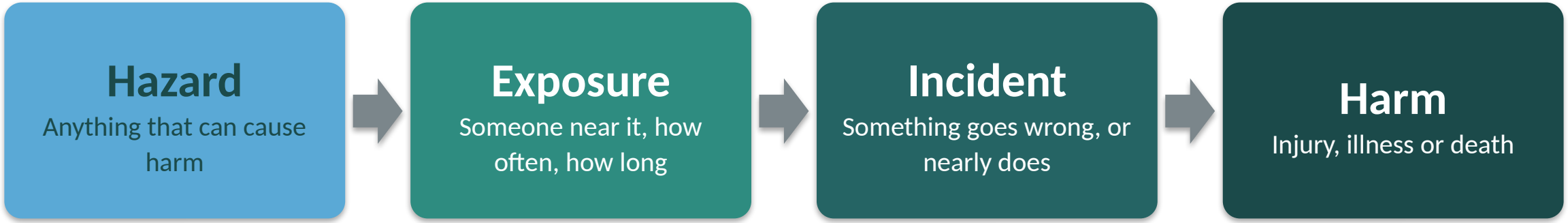
What is a hazard? What is a risk?

> “Anything with the potential to cause harm. Risk is the combination of how likely it is to cause harm, and how bad that harm would be.”

- The hazard is the thing: the moving belt, the edge, the chemical, the traffic
- The risk is the chance of it hurting someone, and how badly
- Controls are what stand between the two

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Hazard, exposure, incident, harm



Example: a running conveyor (hazard). A fitter reaches past the guard to clear a jam several times a shift (exposure). One day his glove is caught by the roller (incident). He loses two fingers (harm). The near misses before that day were all warnings.

Controls act before the incident. Waiting for harm means waiting too long.

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RISK MANAGEMENT SERIES

RM-01 · Risk Management Awareness

Participant Workbook

Duration: 45–60 minutes

Name: _____

Version 1.0 · 6 November 2026

How to use this workbook

This workbook goes with the session. Make notes in it, use it for the activities, and keep it. The ‘My workplace’ page near the end is the most useful page to keep: it tells you who to talk to, how to report a hazard and where the forms are kept.

By the end of the session you will be able to:

- Explain the difference between a hazard, a risk and an incident
- Recognise common hazards in their own work, including the ones that have come to seem normal
- Describe how likelihood and consequence combine to give a level of risk
- Rank controls using the hierarchy of control, and explain why PPE comes last
- Complete a simple task risk assessment before starting a job
- Describe how workers are consulted about risk, and how to take part
- Stop a job, and raise a hazard or concern early through the right channel

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Part 1. Hazards and risk

Key ideas

Term	What it means
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).
Likelihood	The chance of the hazard causing harm.
Consequence	The severity of harm if the hazard causes an incident.
Incident	An unplanned event that caused, or could have caused, injury, illness or damage.
Near miss	An incident where nobody was hurt and nothing was damaged, but could have been.
Control	An act, object, or technical system that actively prevents or mitigates the risk of an unwanted event.
Risk assessment	The process of identifying hazards, analysing what could go wrong, and deciding how to control or eliminate the risk.

Hazard, exposure, incident, harm

Hazard	Exposure	Incident	Harm
Anything that can cause harm	Someone near it, how often, how long	Something goes wrong, or nearly does	Injury, illness or death

Controls act before the incident. A near miss is a warning that a control is missing or weak, and it should be reported.

Hazards in operational work

Industry	What it looks like	Hazards
Mining	Haul trucks and light vehicles on the same ramp; a pump change at the bottom of a sump	Mobile equipment · Electrical energy · Suspended loads
Construction	Edge protection taken down by one trade and not put back for the next	Falls from height · Falling objects
Manufacturing	Decanting a corrosive cleaner by hand; clearing a jam on a running line	Hazardous chemicals · Moving machinery
Local government	A roadside mowing crew on a 100 km/h road; signs left behind as the crew moves	Traffic · Thrown objects · Heat
Transport	Unloading at a customer's yard with a forklift working beside the truck	Mobile plant and pedestrians · Fatigue
Utilities	A trench in wet clay, unshored, 'because we'll only be ten minutes'	Trench collapse · Buried services

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Activity 1. Spot the hazard

Your facilitator will give your group a scene. Answer the three questions. Use the example matrix in Part 2, and start at the top of the hierarchy. All scenes are composites, not real people or workplaces.

Scene A. Mining: The pump change

Rhys is a maintenance fitter at an open-cut coal mine. He has been sent to change a dewatering pump at the bottom of a pit sump. A crane will lift the old pump out over the water. Haul trucks use the ramp about 30 metres away. The pump was isolated by night shift, and the day supervisor tells Rhys it is safe. Rhys has not seen the isolation point, and he has not fitted his own lock.

1. What are the hazards? Name each one.

2. Rate the risk: what is the most realistic outcome, how likely is it with the controls actually in place, and what level does the matrix give?

Consequence	Likelihood	Level

3. Choose controls, starting at the top of the hierarchy. What could remove, replace, isolate or engineer out the hazard, before you get to procedures and PPE?

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RISK MANAGEMENT SERIES

RM-02 · Risk Management Leadership

Product Overview

Audience: Supervisors, team leaders and managers · Duration: 3–4 hours

Version 1.0 · 7 November 2026

For the people who plan the work, approve the risk assessments and decide whether a job goes ahead.

Supervisors decide more about risk than any procedure does. They plan the job, allocate the people and equipment, sign off the risk assessment and decide whether work carries on when conditions change. This package builds risk management into that everyday work. Leaders learn to run a task risk assessment their crew actually contributes to, to review one and recognise when it would not have prevented an incident, to choose controls from the top of the hierarchy and justify a lower order one, to check at the workface that controls are in place, to manage the risks that come with change, and to escalate what they cannot control. Realistic supervisory scenarios from mining, construction, manufacturing, local government, transport and utilities run through the whole session.

Learning outcomes

- Describe the WHS or OHS duties that apply to their role, and how they differ from an officer's
- Explain what 'so far as reasonably practicable' means when choosing controls
- Lead a task risk assessment with their crew that reflects the work as done
- Review a risk assessment and recognise one that would not have prevented an incident
- Select controls from the top of the hierarchy, and justify a lower-order control when they must use one
- Check at the workface that controls are in place and being used
- Consult their team in a way that changes the plan when it should
- Recognise when a change to people, plant, process or conditions needs a fresh look at the risk
- Escalate a risk they cannot control, in writing, with facts and options
- Respond to a reported hazard or near miss so that people keep reporting
- Keep their team's risk register entries current, with a named owner for each control

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Session outline

Part	Covers
1. Your role	WHS and OHS duties, and how officers differ; reasonably practicable, in practice; what a supervisor controls, influences, or neither; work as imagined and work as done
2. Leading the risk assessment	Planning the job before the crew arrives; scenarios, not categories; a task risk assessment the crew contributes to; rating the risk; planning for control failure; six common faults; Activity 1, review the risk assessment; consultation that changes the plan
3. Controls that work	The hierarchy of control, applied; is it a control; engineering out the hazard versus writing a procedure; justifying a lower order control; supervision as a control; the workface control check; how controls drift; Activity 2, the workface check
4. Change and escalation	Management of change for supervisors; the change trigger card; stop, reassess, restart; Activity 3, supervisory scenarios; the half-page escalation; responding to a hazard report or near miss; risk and investigation as one loop
5. Putting it into practice	Risk owners and control owners; the team risk register and Activity 4; start with two; the pre-start conversation card; knowledge check

What is in the package

Folder	Contents
01_START_HERE	Read Me First, Product Overview, Permitted Use Terms, Version Information
02_TRAINING_PRESENTATION	Training Presentation (.pptx with speaker notes, and PDF)
03_FACILITATOR_GUIDE	Facilitator Guide (.docx and PDF), Session Plan
04_PARTICIPANT_RESOURCES	Participant Workbook (.docx and PDF), Handouts (PDF)
05_ACTIVITIES_AND_ASSESSMENTS	Supervisory Scenarios, Risk Assessment Review Exercise, Control Planning Worksheet, Knowledge Assessment, Practical Assessment, Assessment Answers (PDF)
06_WORKPLACE_TOOLS	Task Risk Assessment Template, Risk Assessment Review Checklist, Leader Tools (all editable)
07_TRAINING_ADMINISTRATION	Training Records (.xlsx), Completion Certificate Template, Training Evaluation

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RISK MANAGEMENT SERIES

Risk Management Leadership

Plan the job, lead the risk assessment, check the controls, and manage the change

[Insert organisation name] · [Insert date]

02

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What this session is, and is not

This session is

- ✔ About the decisions you make before and during the job
- ✔ About risk assessments that would actually prevent an incident
- ✔ About checking controls at the workface
- ✔ About change, escalation and what to do with a hazard report

This session is not

- ✕ Your organisation's procedures training
- ✕ A legal course
- ✕ About writing longer risk assessments
- ✕ About finding someone to blame

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Today

Module	What it covers	Time
1. Your role	Duties, reasonably practicable, what you control, the gap between plan and job	30 min
2. Leading the risk assessment	Planning the job, the crew's risk assessment, rating it, six faults; Activity 1	50 min
Break		15 min
3. Controls that work	The hierarchy applied, supervision, the workface check, drift; Activity 2	40 min
4. Change and escalation	Change, stop and restart, the half-page, hazard reports; Activity 3	50 min
5. Putting it into practice	Owners, the team risk register, start with two; Activity 4; knowledge check	40 min

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MODULE 1

Your role

What the law asks of you, and what you actually control

1

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Your duties

The organisation must

- Eliminate risks, or where that is not reasonably practicable, minimise them so far as reasonably practicable
- Provide safe plant, safe systems of work, and the information, training, instruction and supervision people need
- Consult workers, and consult and cooperate with other duty holders on a shared site

You, as a supervisor

- Usually carry out that duty day to day: you plan the job, allocate the people and plant, and supervise the work
- Have your own duty as a worker: reasonable care for yourself and for others affected by what you do or decide
- Are usually not an officer. Officers have extra duties of their own

The law that applies here: [Insert the WHS or OHS Act and regulations for this workplace]

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RISK MANAGEMENT SERIES

RM-02 · Risk Management Leadership

Participant Workbook

Duration: 3–4 hours

Name: _____

Team or crew I lead: _____

Version 1.0 · 7 November 2026

How to use this workbook

This workbook goes with the session and is yours to keep. It holds every activity and every tool. Work on a real team or crew you lead: Activity 4 uses it. The tools are also supplied as editable files, to keep using after today.

By the end of the session you will be able to:

- Describe the WHS or OHS duties that apply to their role, and how they differ from an officer's
- Explain what 'so far as reasonably practicable' means when choosing controls
- Lead a task risk assessment with their crew that reflects the work as done
- Review a risk assessment and recognise one that would not have prevented an incident
- Select controls from the top of the hierarchy, and justify a lower-order control when they must use one
- Check at the workface that controls are in place and being used
- Consult their team in a way that changes the plan when it should
- Recognise when a change to people, plant, process or conditions needs a fresh look at the risk
- Escalate a risk they cannot control, in writing, with facts and options
- Respond to a reported hazard or near miss so that people keep reporting
- Keep their team's risk register entries current, with a named owner for each control

Module 1. Your role

Your duties

The organisation must	You, as a supervisor
• Eliminate risks, or where that is not reasonably practicable, minimise them so far as reasonably practicable • Provide safe plant, safe systems of work, and the information, training, instruction and supervision people need • Consult workers, and consult and cooperate with other duty holders on a shared site	• Usually carry out that duty day to day: you plan the job, allocate the people and plant, and supervise the work • Have your own duty as a worker: reasonable care for yourself and for others affected by what you do or decide • Are usually not an officer. Officers have extra duties of their own

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The law that applies here: _____

How officers differ

	Harmonised WHS laws	Victoria (OHS Act)
Who holds the main duty	The person conducting a business or undertaking (the organisation)	The employer
A supervisor's own duty	As a worker: reasonable care, and cooperation with the organisation	As an employee: reasonable care for others affected by their acts or omissions
Officers	A positive due diligence duty to make sure the organisation meets its duty	No positive due diligence duty, but officers can be liable for the company's offence
Who is an officer	People who make, or take part in making, decisions affecting the whole or a substantial part of the business	The same Corporations Act definition, applied to the employer

So far as reasonably practicable

You must do everything you can to eliminate or reduce risks unless the effort, time, or cost of doing so is far greater than the benefit gained.

- Weigh how likely the harm is, how bad and how fast, what is known about the hazard and the ways of controlling it, and whether those controls are available and suitable
- Cost comes last, and only rules a control out when it is grossly out of proportion to the risk
- 'We have always done it this way' and 'the budget is spent' are not the test

Control, influence, neither

Box	Means	Examples, and the question to ask
Control	You decide it	The job plan, who is on the crew, the order of work, whether the job starts, and whether it stops. Am I doing it, and who checks?
Influence	Someone else decides	Plant purchases, staffing, schedules, contracts, design. Who decides, what do they need to know, and have I told them in writing?
Neither	Nobody here can change it	The weather, the ground, the traffic. You still decide whether the job goes ahead in it, and with what.

Work as imagined, work as done

Work as imagined	Work as done
The lift plan says nobody under the load	The rigger steadies it by hand at the well edge
The traffic plan was approved for the site	The site changed on day two
The SWMS is read with the crew	The SWMS is signed at the ute
Every worker fits a personal lock	'Night shift locked it out'
Inspections are weekly	Inspections happen when someone remembers

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Activity 1. Review the risk assessment

In small groups, read the job, the completed risk assessment and what happened. Answer questions 1 and 2 together. Then, on your own, rewrite the controls on the control planning worksheet and re-rate the risk. All names and details are composites.

The job: Lifting a replacement pump into a pump well with a 25-tonne mobile crane

Niamh supervises the maintenance crew at a council water treatment plant. The task risk assessment below was written by the maintenance planner the week before the job, from last year's version, and signed by the crew at the pre-start. Niamh signed it too, as she does every week. All names and details are composites.

Job step	Hazard	Controls	Rating	Checked
1. Set up the crane	Crane tipping	Competent crane operator. Ground checked visually. Outrigger pads used.	Major, Unlikely: Low	✓
2. Rig the pump	Lifting	Slings in good condition. Dogman to check rigging.	Major, Rare: Low	✓
3. Lift and slew over the well	Manual handling	Be aware of swinging loads. Barrier tape around the lift area. Gloves and hard hats.	Moderate, Unlikely: Low	
4. Land the pump in the well	Pinch points	Use a tag line where possible. Keep hands clear. Take care.	Minor, Possible: Low	
5. General	Weather	Monitor the weather. SWMS signed by all. Take 5 completed.	Minor, Unlikely: Low	✓

What happened

Halfway through landing the pump, a gust of wind caught the load and it spun. The tag line was too short to reach from outside the well edge, so Ezra, the rigger, was steadying the pump by hand from the handrail. The pump swung and crushed his hand against the rail. Two workers from the chemical dosing crew had stepped over the barrier tape to reach their building and were under the slewing load when it swung. Nobody had checked the wind speed against the crane's limit. The slings had been inspected and their tags were current.

1. Which of the six common faults can you find? Mark each one on the form.

2. Which controls would not have prevented this incident? Say why for each.

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RISK MANAGEMENT SERIES

RM-03 · Risk Management Practitioner

Product Overview

Audience: Whoever is responsible for WHS in the business · Duration: One day

Version 1.0 · 7 November 2026

This is the technical package: the risk management process, broad-brush and task-level risk assessment, the risk matrix and its limits, the hierarchy of control, risk registers, risk owners and control owners, consultation, management of change and review. It is written for the person who will build and run the business's risk management, whether that is a WHS adviser, an operations manager or the owner.

Participants work through complete risk assessments using a full case pack and the same templates they will use afterwards. The emphasis is on assessments that reflect the work as it is actually done, on controls that remove or reduce the hazard rather than relying on people to be careful, and on evidence that those controls are in place and effective.

Learning outcomes

- Explain the WHS or OHS risk management duties that apply in their jurisdiction, including where Victoria differs
- Apply a structured risk management process: establish the context, identify, analyse, evaluate, treat, monitor and review
- Run a broad-brush risk assessment for a site or business unit, and decide which risks need detailed assessment
- Conduct a detailed task or process risk assessment that reflects the work as done
- Use a risk matrix consistently, and recognise where it misleads
- Select controls using the hierarchy of control, and test whether each is reasonably practicable
- Rate residual risk honestly, giving no credit to controls that are not verified
- Build and maintain a risk register with a named risk owner and control owner for each entry
- Consult workers and Health and Safety Representatives at each step, as the law requires
- Apply management of change so that new risks are assessed before the change, not after it
- Set review triggers, and use incidents, inspections and audits to keep the register current

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Session outline

Part	Covers
1. Foundations	Duties by jurisdiction, including Victoria; the process and ISO 31000; context; understanding the work: four sources; Activity 1
2. Identify and assess	Broad-brush and task assessment; likelihood, consequence, velocity and the matrix; residual risk and the unverified control rule; Activities 2 and 3
3. Control	The hierarchy, applied properly; what is a control; reasonably practicable and the cost question; checkable controls; risk and control owners; Activity 4
4. Register, change and review	A register people use; consultation; management of change; inspections, audits and incidents; review triggers; Activity 5
Case and assessment	Boree Plains Foods through five activities; worked examples from local government, utilities and mining; knowledge check; practical assessment

What is in the package

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04_PARTICIPANT_RESOURCES	Participant Workbook (.docx and PDF), Handouts (PDF)
05_ACTIVITIES_AND_ASSESSMENTS	Case Pack, Worked Examples (PDF), Knowledge Assessment, Practical Assessment, Assessment Answers (PDF)
06_WORKPLACE_TOOLS	Risk Register (.xlsx), Broad-Brush Risk Assessment Worksheet, Task Risk Assessment Template, Risk Matrix and Consequence Table, Management of Change Worksheet, Control Verification Checklist
07_TRAINING_ADMINISTRATION	Training Records (.xlsx), Completion Certificate Template, Training Evaluation

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RISK MANAGEMENT SERIES

Risk Management Practitioner

Assess the risk, choose the controls, and prove they work

[Insert organisation name] · [Insert date]

03

SAMPLE · RM-03 Risk Management Practitioner v1.0 · The full package contains the complete materials.

What today is, and is not

Today is

- ✔ Risk management of the work, as it is actually done
- ✔ A method you can apply on Monday
- ✔ Built on evidence: controls are verified, not assumed
- ✔ Practical: one business, assessed end to end

Today is not

- ✕ A legal course
- ✕ A qualification or a licence
- ✕ Nationally recognised training
- ✕ A way to produce more paperwork

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Today

Session	What it covers	Time
1. Foundations	Duties; the process; context; understanding the work; Activity 1	70 min
Morning tea		15 min
2. Identify and assess	Broad-brush and task assessment; the matrix and its limits; residual risk; Activities 2 and 3	110 min
Lunch		30 min
3. Control	The hierarchy; what is a control; reasonably practicable; owners; Activity 4	85 min
Afternoon tea		15 min
4. Register, change and review	The register; consultation; change; assurance; incidents; triggers; Activity 5	80 min
Close	Knowledge check; next steps	25 min

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You will leave with

- A context statement and process map for a whole business
- A broad-brush assessment, ranked, with the risks that need a closer look
- A detailed task risk assessment, rated before and after controls
- Twelve controls tested, and register entries with risk and control owners
- A management of change worksheet for a real change
- The same templates, editable, for your own workplace

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SESSION 1

Foundations

The duties, the process, and understanding the business before you assess it

1

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RISK MANAGEMENT SERIES

RM-03 · Risk Management Practitioner

Participant Workbook

Duration: One day

Name: _____

Version 1.0 · 7 November 2026

How to use this workbook

This workbook holds the reference material and every activity worksheet for the day. Activities 1 to 5 work through one business, Boree Plains Foods, described in the case pack at the back of this workbook. Your completed worksheets for Activities 1 to 5 form the practical assessment, so keep them together and make sure your name is on the cover.

By the end of the day you will be able to:

- Explain the WHS or OHS risk management duties that apply in their jurisdiction, including where Victoria differs
- Apply a structured risk management process: establish the context, identify, analyse, evaluate, treat, monitor and review
- Run a broad-brush risk assessment for a site or business unit, and decide which risks need detailed assessment
- Conduct a detailed task or process risk assessment that reflects the work as done
- Use a risk matrix consistently, and recognise where it misleads
- Select controls using the hierarchy of control, and test whether each is reasonably practicable
- Rate residual risk honestly, giving no credit to controls that are not verified
- Build and maintain a risk register with a named risk owner and control owner for each entry
- Consult workers and Health and Safety Representatives at each step, as the law requires
- Apply management of change so that new risks are assessed before the change, not after it
- Set review triggers, and use incidents, inspections and audits to keep the register current

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Session 1. Foundations

Key ideas

Term	What it means
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).
Likelihood	The chance of the hazard causing harm.
Consequence	The severity of harm if the hazard causes an incident.
Risk velocity	How quickly a risk event escalates from the point of control failure to causing harm or reaching its full impact.
Control	An act, object, or technical system that actively prevents or mitigates the risk of an unwanted event.
Risk assessment	The process of identifying hazards, analysing what could go wrong, and deciding how to control or eliminate the risk.

The duties: WHS or OHS

General guidance. Your facilitator will tell you the law that applies here.

	Harmonised WHS laws	Victoria's OHS laws
Who holds the main duty	The person conducting a business or undertaking (PCBU)	The employer, and others such as self-employed people and those who manage or control workplaces
The standard	So far as is reasonably practicable, with the factors set out in the Act	So far as is reasonably practicable, with the same factors in substance
The risk management steps	General regulations: identify hazards, eliminate or minimise, the hierarchy of control, maintain controls, review them	Hazard-specific regulations (plant, falls, manual handling, hazardous substances and others), many with their own control order and review rules
Consultation	Consult workers and HSRs, and consult, cooperate and coordinate with other duty holders	Consult employees and HSRs; the matters and process are set out differently
Officers	A positive duty to exercise due diligence	No positive due diligence duty; officers can be liable where the body corporate offends
Stopping unsafe work	A worker may cease work on a reasonable concern of serious risk from an immediate or imminent hazard; HSRs may direct it	Framed through HSRs, who may direct that work cease in set circumstances; check the current position

The law that applies here: _____

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Activity 3. Assess the task

Task: loading a linehaul trailer at the dispatch dock, afternoon shift, in the peak. Use the observation notes, what people said and the records.

Step, as done	Scenario and causes	Existing controls	Verified?	Current: C, L, level	Additional controls (tier; preventive or mitigating)	Residual: C, L, level	Control owner

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RISK MANAGEMENT SERIES

RM-04 · Executive Risk Governance

Product Overview

Audience: Business owners, directors and senior managers · Duration: 90–120 minutes

Version 1.0 · 7 November 2026

For the owners and directors who set the risk appetite, fund the controls and need to know whether they are working.

Owners, directors and senior managers make the decisions on budgets, schedules, structure and contracting that create or remove risk across the business. This briefing equips them to oversee WHS risk, ask the right questions and recognise when a risk report is telling them nothing. It covers governance responsibilities, risk appetite and tolerance, what a useful risk report looks like, leading and lagging indicators, and assurance. Officer duties are covered for each jurisdiction, including Victoria, where the law takes a different form. Executives compare a typical heat map board paper with the same company reported properly, and follow a maintenance budget that was cut twice, from the board paper to the incident report.

Learning outcomes

- Describe the governance responsibilities for WHS risk, and how officer duties differ between jurisdictions
- Explain how decisions on budgets, schedules, structure and contracting create or reduce risk
- Interpret risk register reporting critically, and recognise a heat map that tells them nothing
- Distinguish leading from lagging indicators, and know the limits of each
- Use risk appetite and tolerance in actual decisions, not only in a policy
- Accept risk only knowingly: named, owned, time-limited and within tolerance
- Set clear accountability for risks and controls, and ask 'how do you know?'

Session outline

Part	Covers
1. The heat map	What boards typically receive, what it hides, and how a heat map stays green
2. What governance requires	Governance and assurance; three things the board must know; officer duties by jurisdiction, including Victoria; the six elements of due diligence; risk appetite and tolerance; accepting risk knowingly
3. Reporting	What the board should receive; Activity 1, read the report; reading a risk register summary that tells you something; leading and lagging indicators
4. Assurance	Lines of assurance, and what each one cannot see; decisions that change the risk profile; is your assurance real?; Activity 2, the budget cut, stage by stage
Close	Activity 3, the executive question set applied to your own risk reporting; knowledge check; commitments

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What is in the package

Folder	Contents
01_START_HERE	Read Me First, Product Overview, Permitted Use Terms, Version Information
02_TRAINING_PRESENTATION	Training Presentation: the executive briefing (.pptx with speaker notes, and PDF)
03_FACILITATOR_GUIDE	Facilitator Guide (.docx and PDF), Session Plan
04_PARTICIPANT_RESOURCES	Participant Workbook: the executive briefing workbook (.docx and PDF)
05_ACTIVITIES_AND_ASSESSMENTS	Risk Reporting Example (PDF), Governance Scenario, Knowledge Assessment, Assessment Answers (PDF)
06_WORKPLACE_TOOLS	Assurance Checklist with the executive question set, Board Risk Report Template, Risk Appetite Statement Template (editable)
07_TRAINING_ADMINISTRATION	Attendance Register (.xlsx), Completion Certificate Template, Training Evaluation

Document control

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RISK MANAGEMENT SERIES

Executive Risk Governance

What the board needs to know about WHS risk, and how to know it is true

[Insert organisation name] · [Insert date]

04

SAMPLE · RM-04 Executive Risk Governance v1.0 · The full package contains the complete materials.

What this briefing is, and is not

This briefing is

- ✔ About governing your most serious risks
- ✔ About the decisions only owners and executives make
- ✔ About what to receive, and what to ask
- ✔ Practical: your own reporting, tested

This briefing is not

- ✕ A course in doing risk assessments
- ✕ A safety statistics review
- ✕ Legal advice
- ✕ A replacement for your WHS or risk advisers

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Today

Part	What it covers	Time
1. The heat map	What boards typically receive, and what it hides	10 min
2. What governance requires	Three things to know; officer duties; appetite and tolerance; accepting risk knowingly	22 min
3. Reporting	What the board should receive; Activity 1, read the report; indicators	24 min
4. Assurance	Lines of assurance; decisions that change the risk; Activity 2, the budget cut	25 min
Close	Activity 3, the question set; knowledge check; commitments	23 min

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PART 1

The heat map

What boards typically receive

1

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A page from a board paper

> **“Risk register summary, September quarter. 38 risks: 0 Extreme, 6 High, 19 Medium, 13 Low. Top risks: Contractor management (High, stable); Plant and equipment (Medium, stable); Traffic management (Medium, improving). 94% of controls rated effective. LTIFR 0.0. All risks within appetite. Overall status: Green.”**

Every figure is true. The business is a regional quarry and haulage company: a composite, used throughout the briefing.

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RISK MANAGEMENT SERIES

RM-04 · Executive Risk Governance

Executive Briefing Workbook

Duration: 90–120 minutes

Name: _____

Version 1.0 · 7 November 2026

How to use this workbook

A short companion to the briefing. Make notes, use it for the three activities, and keep the executive question set at the back. All cases and reports are composites.

By the end of the briefing you will be able to:

- Describe the governance responsibilities for WHS risk, and how officer duties differ between jurisdictions
- Explain how decisions on budgets, schedules, structure and contracting create or reduce risk
- Interpret risk register reporting critically, and recognise a heat map that tells them nothing
- Distinguish leading from lagging indicators, and know the limits of each
- Use risk appetite and tolerance in actual decisions, not only in a policy
- Accept risk only knowingly: named, owned, time-limited and within tolerance
- Set clear accountability for risks and controls, and ask 'how do you know?'

The company used in the activities

A regional, family-owned quarrying and haulage business: two hard-rock quarries, a crushing and screening plant, a concrete batching plant and a fleet of about forty trucks. About 160 workers, plus contractors. The board is the owner and managing director, two family directors and an independent chair. This is a composite: no real business is described.

Part 1. The heat map

Risk register summary, September quarter. 38 risks: 0 Extreme, 6 High, 19 Medium, 13 Low. Top risks: Contractor management (High, stable); Plant and equipment (Medium, stable); Traffic management (Medium, improving). 94% of controls rated effective. LTIFR 0.0. All risks within appetite. Overall status: Green.

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The heat map attached to the paper: number of risks in each cell

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

Shaded on the company's own matrix, on which a Catastrophic risk rated Rare comes out Medium. One of the 38 is in that cell.

The paper says	What it actually tells you
38 risks: 0 Extreme, 6 High	A count of ratings. Not one fatal scenario is named
Contractor management (High, stable)	A category, not a scenario. Nobody can say what could kill whom, or where
94% of controls rated effective	Rated by whom, against what? Nothing says any control was checked
LTIFR 0.0	A lagging measure of the injuries that happened, not of what nearly did
All risks within appetite. Green	A judgement nobody in the room can test

What the board has not been told:

- Which scenarios could kill or seriously injure someone, and where
- Whether any critical control has been verified, and what the check found
- That the matrix rates a catastrophic risk Medium if someone calls it Rare
- That 130 maintenance work orders are overdue, eleven of them on safety-critical items
- That the board's own budget decision changed the risk

How a heat map stays green

1. Risks are recorded as categories, so the fatal scenarios inside them are never rated on their own
2. Likelihood is rated from opinion: 'it hasn't happened here'
3. Controls nobody has checked are recorded as effective, and the likelihood comes down
4. A catastrophic risk rated Rare comes out Medium, and drops out of the board's view
5. Ratings are reviewed once a year, so they stay where they were set
6. The board receives green and asks no further questions

The chain breaks at one point: no control gets credit until someone has checked it.

Part 2. What governance requires

Definitions

Term	Definition
Governance	Who owns what, how decisions are made, and how risk fits into strategy.

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Activity 1. Read the report

The same company, in the same quarter as the heat map paper, reported properly.

WHS risk: quarterly report to the board, September quarter

Critical risks

Scenario	Worst credible outcome	Residual rating	Why that likelihood	Tolerance
Worker caught in a conveyor at the crushing plant	Fatality or amputation	Catastrophic, Possible: Extreme	Three tail pulley guards off awaiting parts since July; isolation relies on a procedure nobody has verified	Above
Haul truck brake failure on the quarry ramp	Fatality	Catastrophic, Possible: Extreme	Brake service interval extended from 250 to 500 hours in August; no check since	Above
Light vehicle struck by a haul truck in the pit	Fatality	Catastrophic, Unlikely: High	Separate roads and proximity detection, verified monthly; last check passed	Within
Heavy vehicle fatigue crash on the highway	Multiple fatalities	Catastrophic, Possible: Extreme	Fatigue system in place; 14 shifts over the limit this quarter during the contract peak	Above

Critical control status

Control	Status	Last verified	Result
Fixed guarding on conveyor tail pulleys	Not in place at 3 of 14	Aug	Parts deferred under the maintenance budget
Isolation and lockout before conveyor work	In place, not verified	Never	No field check of isolations recorded
Conveyor pull-wire emergency stops	In place, overdue	Feb	Six-monthly test missed in August
Haul truck brake servicing at 250 hours	Changed: now 500 hours	n/a	Extended in August with no risk assessment
Proximity detection, haul trucks	In place, effective	Sep	Monthly test passed
Driver fatigue limits	In place, ineffective	Sep	14 shifts over the limit, all approved by dispatch

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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

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RISK MANAGEMENT SERIES

RM-05 · Risk Management Implementation Toolkit

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

Contents

1. What this toolkit is
2. The method on one page
3. How the tools fit together
4. Fitting the toolkit to your existing framework and matrix
5. Setting the toolkit up
6. The first twelve months
7. Tool by tool
8. Worked example: the fabrication workshop
9. Common mistakes
10. The law: check it for your jurisdiction
11. Glossary

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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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