



Risk Management Policy and Procedure



Version 2021

Contents

- 1. Organization background and introduction iv
- 2. 1. Purpose and scope 5
- 3. 2. Definitions 5
- 4. 3.Principles 6
 - 1. 3.1 Responsibility for Risk Management. 6
 - 2. Rationale for Risk Management 7
 - 3. 3.3 Objectives..... 7
 - 4. 3.4 Outcomes..... 8
- 5. 4.Commitments..... 8
 - 1. 4.1. A commitment to implement risk management effectively: 8
 - 2. 4.2. A commitment to training and knowledge development in the area of risk management:..... 9
 - 3. 4.3.A commitment to monitor performance and review progress in risk management: 9
 - 4. 4.4.A commitment to training and knowledge development in the area of risk management:..... 9
 - 5. 4.5.A commitment to monitor performance and review progress in risk management: 9
- 6. 5 Procedures 10
 - 1. 5.1 Whole of organization Risk Management Process 10
 - 1. 5.1.1 Individual 10
 - 2. 5.1.2 Management of Risks Associated with New Opportunities..... 10
 - 2. 5.2 Principles to be Applied. 11
- 7. 6.Functions and Delegations. 11
- 8. 7. Policy Detail. 12
 - 1. 7.1 Consulting with workers 13
 - 2. 7.2 Use of risk management approach. 13
 - 3. 7.3 HAZARDS identification..... 14
 - 1. 7.3.1 How to find hazards. 14
- 9. 8. How risks are assessed. 16
 - 1. 8.1 When should a risk assessment be carried out?..... 16
 - 2. 8.2 How risk assessment is done. 17
 - 1. 8.2.a Work out the amount of harm that could occur..... 17
 - 2. 8.2.b Work out how hazards may cause harm..... 17
 - 3. 8.2.c Work out the likelihood of harm occurring..... 18
 - 3. 8.3 How risks are controlled..... 18
 - 1. 8.3.1. The hierarchy of control..... 19
 - 2. 8.3.2 to develop and implement control options 20
 - 3. 8.3.3 How to review controls. 23
 - 4. 8.3.4 How to ensure that controls remain effective..... 23
 - 4. 8.4 How to keep records..... 24
- 10. 9.References + Resources 25
 - 1. 9.1 Internal 25

2.	9.2	External	25
11.		APPENDICES.....	26

RISK MANAGEMENT POLICY AND PROCEDURE

1. Organization background and introduction

BIOCOOR is a local NGO created mainly by young people dedicated to advocate for biodiversity conservation, ecotourism promotion, community health, environmental management, and climate change mitigation and adaptation. The BIOCOOR headquarters is in Nyamagabe district of the Southern Province of Rwanda. The organization's geographical focus is five districts near the Nyungwe National Park. It integrates conservation projects and sustainable economic development for the communities surrounding Nyungwe National Park. The organization has started in 2012 as a social enterprise called BIOCOOP and recently in June 2020 has shifted to a local NGO's current BIOCOOR but keeping the same focus. Its mission is to build a nation that is environmentally and socio-economically stable through its resources and skills.

Vision: Contribute to the development of Rwanda to the level of intermediate developed country using our resources and skills.

Mission: Build a Nation, Environ-Socio - Economically stable through our skills and our Resources.

Goals:

- Increasing the livelihoods of community and put them at the good standards of physical and financial capacity;
- Promoting Ecotourism around Nyungwe National Park;
- Unemployment alleviation focusing on youth and women by job creation and entrepreneurship development;
- Enhance youth involvement in the implementation of our country priority programs;
- Promoting integrated biodiversity conservation and development; and
- Integrating Biodiversity Conservation and Health for the sustainable social welfare.

This policy is set to help BIOCOOR to identify, monitor and manage potential risks in order to minimize the negative impact they may have on an organization which may include security breaches, data loss, cyber-attacks, system failures and natural disasters etc...

2. 1. Purpose and scope

This policy is established to provide information and guidance on management of risks faced by BIOCOOR to maximize opportunities in all BIOCOOR'S activities and to minimize adversity.

This Policy applies to all BIOCOOR officers, employees, Interns, partners, visitors and contractors to facilities controlled by BIOCOOR. The policy extends to all current and future activities, and new opportunities.

Where necessary, more detailed risk management policies and procedures should be developed to cover specific areas of BIOCOOR's operations. It is the responsibility of all Board members, staff, interns, Visitors and volunteers to identify, analyses, evaluate, respond, monitor and communicate risks associated with any activity, function or process within their relevant scope of responsibility and authority.

3. 2. Definitions

- ❖ **Risk:** is the likelihood is the likelihood that a harmful consequence (death, injury or illness) might result when exposed to a hazard.

Risk is characterized and rated by considering the following characteristics:

- ✓ **Probability or likelihood (L) of occurrence; and**
- ✓ **Consequence (C) of occurrence.**

This is expressed as R (risk) = L (likelihood) x C (consequence).

- ❖ **Likelihood:** is a qualitative description of probability or frequency.
- ❖ **Consequence:** is the outcome of an event, being a loss, injury, disadvantage or gain. There may be a range of possible outcomes associated with an event.
- ❖ **Risk control:** means taking action to first eliminate health and safety risks so far as is reasonably practicable, and if that is not possible, minimizing the risks so far as is reasonably practicable. Eliminating a hazard will also eliminate any risks associated with that hazard.
- ❖ **Risk Assessment:** is the process of evaluating and comparing the level of risk against predetermined acceptable levels of risk.
- ❖ **Risk Management:** is the application of a management system to risk and includes identification, analysis, treatment and monitoring.

- ❖ **Risk Owner:** is the person(s) responsible for managing risks and is usually the person directly responsible for the strategy, activity or function that relates to the risk.

4. 3.Principles

Risk management is a key governance and management function.

BIOCOOR is proactive in its approach to risk management, balances the cost of managing risk with anticipated benefits, and undertakes contingency planning in the event that critical risks are realized.

BIOCOOR has the primary duty to ensure the health and safety of workers and other persons at the workplace. A duty to ensure health and safety requires BIOCOOR to manage risks:

- ✓ **by eliminating health and safety risks so far as is reasonably practicable; and**
- ✓ **if it is not reasonably practicable to eliminate the risks, by minimizing those risks so far as is reasonably practicable.**

Deciding what is ‘reasonably practicable’ to protect people from harm requires weighing up certain matters, including the likelihood of a hazard or risk occurring and the degree of harm that would result, and then making a judgement about what is reasonable in the circumstances.

Effective risk management involves:

- ✓ **a commitment to health and safety from BIOCOOR Board of Directors**
- ✓ **the involvement and cooperation of BIOCOOR’s workers.**

1. 3.1 Responsibility for Risk Management.

Risk must first and foremost be managed at the corporate level as part of BIOCOOR's good governance and corporate management processes. Risk management is considered an integral part of all management and decision-making functions within BIOCOOR. The responsibility for the identification of risk and the implementation of control strategies and follow up remains a delegated line management responsibility. All stakeholders have a significant role in the management of risk. This role may range from initially identifying and reporting risks associated with their own jobs to participation in the risk management process. The Executive director will facilitate the introduction and monitoring of risk management into key areas of BIOCOOR's activities.

2. Rationale for Risk Management.

A. BIOCOOR, in its need for risk management, aims to:

- ❖ facilitates and review risk management activities across the organization through the executive director;
- ❖ integrate risk management into the management culture of BIOCOOR; and Foster an environment where staff assume responsibility for managing risks.

B. To secure its commitment to implement risk management effectively, BIOCOOR aims to:

- ❖ implement risk management across all aspects of the organization in accordance with best practice guidelines.

C. To secure its commitment to training and knowledge development in the area of risk management, BIOCOOR aims to:

- ❖ Unsure that performance in risk management is a consideration in the organization's performance management systems; and
- ❖ Ensure that staff and other stakeholders have access to appropriate information, training and other development opportunities in the area of risk management.

D. To secure its commitment to monitoring performance and reviewing progress, BIOCOOR aims to:

- ❖ Ensure that appropriate monitoring, review and reporting processes are in place in the area of risk management.

3. 3.3 Objectives

The objectives of risk management for BIOCOOR are to:

- ❖ provides a structured basis for strategic, tactical and operational planning across BIOCOOR;
- ❖ enhance BIOCOOR 's governance and corporate management processes;
- ❖ enables BIOCOOR to effectively discharge its statutory and legislative financial management responsibilities;

- ❖ provide a practical framework for staff to assess risks inherent in the decisions they take;
- ❖ assist and motivate decision makers, at all levels, to make good and proactive management decisions that do not expose BIOCOOR to unacceptable levels of risk of unfavorable events occurring which adversely impact on the attainment of organizational goals; encourage and commit decision makers to identify sound business opportunities that will benefit BIOCOOR without exposing the organization to unacceptable levels of risk;
- ❖ minimize the risks of not identifying sound business opportunities;
- ❖ protect BIOCOOR from unacceptable costs or losses associated with its operations;
- ❖ safeguarding of BIOCOOR 's resources - its people, finance, property and reputation;
- ❖ assist BIOCOOR in achieving its strategic objectives; and
- ❖ create an environment where all staff assume responsibility for risk management.

4. 3.4 Outcomes

As far as is reasonably practicable, workers, consumers and other persons are not put at risk from work carried out by BIOCOOR;

- ❖ BIOCOOR protected from adverse incidents, reduces its exposures to loss, and mitigates and controls loss should it occur.
- ❖ BIOCOOR has ongoing, unimpeded capacity to fulfil its mission, perform its key functions, meet its objectives and support its consumers.
- ❖ The costs of risk to BIOCOOR and its funders, is reduced.

5. 4.Commitments.

1. 4.1. A commitment to implement risk management effectively:

BIOCOOR is committed to managing and minimizing risk by identifying, analyzing, evaluating and treating exposures that may impact on the organization achieving its objectives and/or the continued efficiency and effectiveness of its operations. BIOCOOR

will incorporate risk management into its institutional planning and decision-making processes. Risk management must also be included as a consideration in sectional and operational planning as a delegated line management responsibility. BIOCOOR staff must implement risk management according to relevant legislative requirements and appropriate risk management standards.

2. *4.2. A commitment to training and knowledge development in the area of risk management:*

BIOCOOR is committed to ensuring that all staff, particularly those with management, advisory and decision making responsibilities, obtain a sound understanding of the principles of risk management and the requisite skills to implement risk management effectively.

3. *4.3.A commitment to monitor performance and review progress in risk management:*

BIOCOOR will regularly monitor and review the progress being made in developing an appropriate culture of risk management and the effective implementation of risk management strategies throughout the organization as a basis for continuous improvement.

4. *4.4.A commitment to training and knowledge development in the area of risk management:*

BIOCOOR is committed to ensuring that all staff, particularly those with management, advisory and decision making responsibilities, obtain a sound understanding of the principles of risk management and the requisite skills to implement risk management effectively.

5. *4.5.A commitment to monitor performance and review progress in risk management:*

BIOCOOR will regularly monitor and review the progress being made in developing an appropriate culture of risk management and the effective implementation of risk management strategies throughout the organization as a basis for continuous improvement.

6. 5 Procedures

1. 5.1 Whole of organization Risk Management Process

Risk must first and foremost be managed at the corporate level as part of BIOCOOR 's good governance and corporate management processes. This process, coordinated and facilitated by the executive director, will involve the following key steps:

- ❖ an annual risk identification exercise undertaken by management facilitated by the executive director which involves assessment of the consequence and likelihood of risk, the development and/or review of individual risk management plans for the risks identified which exceed the organization's defined acceptable risks;
- ❖ wherever practicable the inclusion of a Risk Management Assessment for all BIOCOOR's activities;
- ❖ annual review of the risk management activities by the Audit and Risk Committee;
- ❖ at least annual reporting by the Executive director to the Audit, board and Risk Committee, on action taken in respect of risk management;
- ❖ ensure risk management processes are incorporated into the quality assurance and improvement systems of the organization community;
- ❖ clearly define and document escalation procedures for risk management;
- ❖ document all risks with a potentially high impact, as assessed on the basis of their likely occurrence or impact.

1. 5.1.1 Individual.

Each employee or other stakeholder throughout the organization has a role in the risk management process and is responsible for actively participating in the risk management process as appropriate to their position within the organization.

However, All Board members and staff contribute to the establishment and implementation of risk management systems for all functions and activities of BIOCOOR

Risk management practice aligns with all federal and state legislation.

2. 5.1.2 Management of Risks Associated with New Opportunities.

In addition to the risks that already exist, BIOCOOR is continually exposed to new risks particularly from the introduction of new activities. The new risks should be incorporated into the initial planning and assessment processes conducted prior to undertaking the activity and, subsequently, into the annual risk management assessment at the appropriate level(s) of activity and management.

2. 5.2 Principles to be Applied.

The principles of risk management shall be applied to all areas of risk exposure, insurable and non-insurable, and shall include, but not be limited to the following areas:

Insurable Risks by BIOCOOR	Non-Insurable Risks by BIOCOOR
Insurable workplace health and safety risks.	Non-insurable workplace health and safety risks.
Insurable fraud and corruption prevention activities.	Non-insurable fraud and corruption prevention activities.
Unauthorized use of resources which represent an insurable risk.	Unauthorized use of resources which represent a non-insurable risk.
Reputation and image as an insurable risk.	Reputation and image as a non- insurable risk.
Fire prevention measures and security precautions.	Crisis contingency planning and disaster recovery
Property loss and damage.	Accounting controls that are not cost effective.
Computer security.	loss of key staff and intellectual property .
Vehicle fleet management.	The impact of globalization on risk exposures.
Professional negligence.	Management system inadequate and poor work quality.
Other liability exposures.	Poor or disruption of measure income.

7. 6.Functions and Delegations.

A person can have more than one duty and more than one person can have the same duty at the same time.

Position	Delegation/Task
Board of Directors	To ensure that the BIOCOOR has and use appropriate resources to eliminate or minimize risks to health and safety.
Management	<u>CEO</u>
	❖ Ensure, so far as is reasonably practicable that workers and other

	<p>persons are not put at risk from work carried out by BIOCOOR.</p> <p>Ensure, so far as is reasonably practicable, that:</p> <ul style="list-style-type: none"> ❖ the workplace, including entry and exit and anything arising from the workplace are without risks to health and safety. ❖ the fixtures, fittings or plant are without risks to health and safety. ❖ the structure is without risks to health and safety. ❖ Establish and implement risk management systems for all functions and activities of BIOCOOR.
Staff	<ul style="list-style-type: none"> ❖ Compliance with Risk Management Policy. ❖ Contribute to the establishment and implementation of risk management systems for all functions and activities of BIOCOOR.

8. 7. Policy Detail.

BIOCOOR aims to achieve better practice in the management of risks that threaten to adversely impact on BIOCOOR, its functions, objectives, operations, assets, staff, consumers or members of the public.

BIOCOOR does whatever it can (whatever is ‘reasonably practicable’ to ensure its workers, beneficiaries and other people are not harmed by its activities) s.

Follows:

1. identify hazards – find out what could cause harm
2. assess risks – understand the likelihood of a hazard causing harm and how serious it could be,
3. control risks – implement the most effective control measure that is reasonably practicable in the circumstances, and
4. review control measures to ensure they are working as planned.

Many hazards and their associated risks are well known and have well established and accepted control measures. In these situations, the second step to formally assess the risk is unnecessary. If, after identifying a hazard, we already know the risk and how to control it effectively, BIOCOOR will just implements the controls.

1. 7.1 Consulting with workers

Consultation with workers and their health and safety representatives is required at each step of the risk management process. By drawing on the experience, knowledge and ideas of its workers BIOCOOR is more likely to identify all hazards and choose effective risk controls.

BIOCOOR workers must follow safety instructions and procedures, and they will do this more effectively if they are involved in the development of these procedures, understand the reasons for them and how they work.

BIOCOOR encourages its workers to report any hazards and health and safety problems immediately so that risks can be managed before an incident occurs. If BIOCOOR has a health and safety committee, BIOCOOR will engage the committee in the risk management process as well.

2. 7.2 Use of risk management approach.

Managing work health and safety risks is an ongoing process that is triggered when changes affect BIOCOOR's work activities – changes such as:

- ❖ New program start-up.
- ❖ Changing work practices, procedures or the work environment.
- ❖ Purchasing new or used equipment or using new substances.
- ❖ Planning to improve productivity or reduce costs.
- ❖ New information about workplace risks becomes available.
- ❖ Responding to workplace incidents. (even if they have caused no injury)
- ❖ Responding to concerns raised by workers, health and safety representatives or others at the BIOCOOR workplace.

BIOCOOR also is committed at using the risk management approach when designing and creating products, processes or places used for work, because it is often easier and more effective to eliminate hazards before they are introduced into a workplace.

3. 7.3 HAZARDS identification.

At BIOCOOR Identifying hazards involves finding all of the things and situations that could potentially cause harm to people. Hazards generally arise from three aspects of work and their interaction:

- ❖ The physical work environment.
- ❖ The equipment, materials and substances used.
- ❖ The work tasks and how they are performed.

Some potential hazards that may be encountered at BIOCOOR include:

- a) **Manual tasks:** overexertion or repetitive movement can cause muscular strain
- b) **Electricity:** potential ignition source; exposure to live electrical wires can cause shock, burns or death from electrocution,
- c) **Noise:** exposure to loud noise can cause permanent hearing damage.
- d) **Biological:** viruses, bacteria, fungi can cause hepatitis, legionnaires' disease, Q fever, HIV/AIDS, allergies
- e) **Psychosocial hazards:** effects of work-related stress, bullying, violence and work-related fatigue

1. 7.3.1 How to find hazards.

1. 7.3.1.a Inspect the working place.

BIOCOOR is committed to Regular walking around the workplace and observing how things are done, to help in predicting what could or might go wrong. Look at how people actually work, how plant and equipment is used, what chemicals are around and what they are used for, what safe or unsafe work practices exist as well as the general state of housekeeping.

Things to look out for include:

BIOCOOR is committed at the following check lists;

- ❖ Does the work environment enable workers to carry out work without risks to health and safety (for example, space for unobstructed movement, adequate ventilation, lighting)?
- ❖ How suitable are the tools and equipment for the task and how well they are maintained?
- ❖ Have any changes occurred in the workplace which may affect health and safety?
- ❖ If workers have developed a shortcut, is it safe?

At BIOCOOR we know that Hazards are not always obvious. Some hazards can affect health over a long period of time or may result in stress (such as bullying) or fatigue (such as shiftwork). Also think about hazards that you may bring into your workplace as new, used or hired goods (for example, worn insulation on hired welding set).

Thus, while BIOCOOR staff are walking around, they may spot straightforward problems and action should be taken on these immediately, **for example, cleaning up a spill**. If a staff find a situation where there is immediate or significant danger to people, move those persons to a safer location first and attend to the hazard urgently.

BIOCOOR staff are required to make a list of all the hazards found, including the ones they know are already being dealt with, to ensure that nothing is missed. They may use a checklist designed to suit your workplace to help you find and make a note of hazards.

2. 7.3.1.b Consulting workers.

BIOCOOR is committed to Ask its workers about any health and safety problems they have encountered in doing their work and any near misses or incidents that have not been reported. Worker surveys can also be undertaken to obtain information about matters such as workplace bullying, as well as muscular aches and pains that can signal potential hazard.

3. 7.3.1.c Review available information.

BIOCOOR is committed in reviewing the Information and advice about hazards and risks relevant to particular industries and types of work is available from regulators, industry associations, unions, technical specialists and safety consultants.

Manufacturers and suppliers can also provide information about hazards and safety precautions for specific substances (safety data sheets), plant or processes (instruction manuals).

4. 7.3.1.d Review incident records and data.

BIOCOOR will Analyze records of workplace incidents, near misses, worker complaints, sick leave and the results of any inspections and investigations to identify hazards. If someone has

been hurt doing a particular task, then a hazard exists, which could hurt someone else. These incidents need to be investigated to find the hazard that caused the injury or illness.

9. 8. How risks are assessed.

At BIOCOOR risk assessment will involve considering what could happen if someone is exposed to a hazard and the likelihood of it happening. A risk assessment can help you determine:

- ❖ How severe a risk is?
- ❖ Whether any existing control measures are effective.
- ❖ What action you should take to control the risk, and
- ❖ How urgently the action needs to be taken.

A risk assessment can be undertaken with varying degrees of detail, depending on the type of hazards and the information, data and resources that you have available. It can be as simple as a discussion with your workers or involve specific risk analysis tools and techniques recommended by safety professionals.

1. 8.1 *When should a risk assessment be carried out?*

At BIOCOOR risk assessment should be done when:

- ❖ There is uncertainty about how a hazard may result in injury or illness, or
- ❖ the work activity involves a number of different hazards and there is a lack of understanding about how the hazards may interact with each other to produce new or greater risks.

At BIOCOOR a risk assessment is mandatory for some hazards, for example, entry into confined spaces.

However, a risk assessment is not necessary in the following situations:

- ❖ Legislation requires some hazards or risks to be controlled in a specific way – these requirements must be complied with.
- ❖ A code of practice or other guidance sets out a way of controlling a hazard or risk that is applicable to BIOCOOR and you choose to use the recommended controls. In these instances, the guidance can simply be followed.
- ❖ There are effective controls that are in widespread use in the particular industry, that are suited to the circumstances in your workplace. These controls can simply be implemented.

2. 8.2 How risk assessment is done.

At BIOCOOR we believe that all hazards have the potential to cause different types and severities of harm, ranging from minor discomfort to a serious injury or death.

Some hazards such as noise and atmospheric contaminants may require scientific testing or measurement to accurately assess the risk (for example, using noise meters to measure noise levels).

1. 8.2.a Work out the amount of harm that could occur.

To estimate the amount of harm that could result from each hazard you should consider the following questions:

- ❖ What type of harm could occur (e.g. muscular strain, fatigue, burns, laceration)? How severe is the harm? Could the hazard cause death, serious injuries, illness or only minor injuries requiring first aid?
- ❖ What factors could influence the severity of harm that occurs? For example, the distance someone might fall or the concentration of a particular substance will determine the level of harm that is possible. The harm may occur immediately something goes wrong (e.g. injury from a fall) or it may take time for it to become apparent (e.g. illness from long term exposure to a substance).
- ❖ How many people are exposed to the hazard and how many could be harmed (in and outside your workplace)
- ❖ Could one failure lead to other failures? For example, could the failure of your electrical supply make any risk controls that rely on electricity ineffective?
- ❖ Could a small event escalate to a much larger event with more serious consequences? For example, a minor fire can get out of control quickly in the presence of large amounts of unnecessary combustible materials.

2. 8.2.b Work out how hazards may cause harm.

In most cases, incidents occur as a result of a chain of events and a failure of one or more links in that chain. Thus at BIOCOOR we believe that If one or more of the events can be stopped or changed, the risk may be eliminated or reduced.

One way of working out the chain of events is to determine the starting point where things begin to go wrong and then consider: ‘If this happens, what may happen next?’ This will provide a list of events that sooner or later causes harm.

In thinking about how each hazard may cause harm, you should consider:

- ❖ The effectiveness of existing control measures and whether they control all types of harm,
- ❖ How work is actually done, rather than relying on written manuals and procedures, and
- ❖ Infrequent or abnormal situations, as well as how things are normally meant to occur.

Consider maintenance and cleaning, as well as breakdowns of equipment (eg computers, vehicles) and failures of health and safety controls.

3. 8.2.c Work out the likelihood of harm occurring.

The likelihood that someone will be harmed can be estimated by considering the following:

- ❖ How often is the task done – does this make the harm more or less likely?
- ❖ How often are people near the hazard? How close do people get to it?
- ❖ Has it ever happened before, either in your workplace or somewhere else?
How often?

You can rate the likelihood as one of the following:

- ❖ Certain to occur - expected to occur in most circumstances.
- ❖ Very likely - will probably occur in most circumstances.
- ❖ Possible – might occur occasionally.
- ❖ Unlikely – could happen at some time.
- ❖ Rare – may happen only in exceptional circumstances.

The level of risk will increase as the likelihood of harm occurring and its severity increases.

3. 8.3 How risks are controlled.

At BIOCOOR The most important steps in managing risks involves:

- ❖ Eliminating them so far as is reasonably practicable, or if that is not possible,
- ❖ Minimizing the risks so far as is reasonably practicable.

BIOCOOR in deciding how to control risks will first consult workers and their representatives who will be directly affected by this decision. Their experience will help BIOCOOR choose appropriate control measures and their involvement will increase the level of acceptance of any changes that may be needed to the way they do their job.

There are many ways to control hazards and risks. Some controls are more effective than others. BIOCOOR should consider various control options and choose the control that most effectively eliminates the hazard or minimizes the risk in the circumstances.

This may involve a single control measure or a combination of different controls that together provide the highest level of protection that is reasonably practicable. Some problems can be fixed easily and should be done straight away, while others will need more.

1. 8.3.1. The hierarchy of control.

At BIOCOOR the ways of controlling risks can be ranked from the highest level of protection and reliability to the lowest.

This ranking is known as the hierarchy of control.

BIOCOOR staff must always aim to eliminate a hazard, which is the most effective control. If this is not reasonably practicable, you need to minimize the risk by working through the other alternatives in the hierarchy.

1. 8.3.1.a Level 1 control measures.

The most effective control measure involves eliminating the hazard and associated risk. The best way to do this is by, firstly, not introducing the hazard in the workplace.

For example, you can eliminate the risk of a fall from height by doing the work at ground level.

Eliminating hazards is often cheaper and more practical to achieve at the design or planning stage of a product, process or place used for work. In these early phases there is greater scope to design out hazards or incorporate risk control measures that are compatible with the original design and functional requirements. For example, a noisy machine could be designed and built to produce as little noise as possible which is more effective than providing workers with personal hearing protectors. You can also eliminate risks by removing the hazard completely, for example, by removing trip hazards on the floor or disposing unwanted chemicals. It may not be possible to eliminate a hazard if doing so means that you cannot make the end product or deliver the service. If you cannot eliminate the hazard, then eliminate as many of the risks associated with the hazard as possible.

2. 8.3.1.b Level 2 control measures.

If it is not reasonably practicable to eliminate the hazards and associated risks, you should minimize the risks using one or more of the following approaches:

- ❖ Substitute the hazard with something safer

(eg, replace solvent based paints with water based ones).

- ❖ Isolate the hazard from people.

This involves physically separating the source of harm from people by distance or using barriers. For instance, install guard rails around exposed edges and holes in floors, use remote control systems to operate machinery, store chemicals in a fume cabinet.

- ❖ Change the workplace, equipment or work process (engineering controls)

For instance, use mechanical devices such as trolleys or hoists to move heavy loads, **place guards around moving parts of machinery, install residual current devices** (electrical safety switches), set work rates on a production line to reduce fatigue.

8.3.1.c Level 3 control measures.

These control measures rely on human behavior and supervision, and used on their own, tend to be least effective in minimizing risks. Two approaches to reduce risk in this way are:

- ❖ Use administrative controls:

For instance, develop procedures on how to operate machinery safely, limit exposure time to a hazardous task by job rotation, carry out preventative.

maintenance on machinery and equipment, provide training and instruction on safe handling for a manual task, use signs to warn people of a hazard.

- ❖ Use personal protective equipment (PPE):

Examples of PPE include breathing protection, gloves, aprons and protective eyewear.

PPE limits exposure to the harmful effects of a hazard but only if workers wear and use the PPE Correctly

Administrative controls and PPE should only be used:

- ❖ When there are no other practical control measures available (as a last resort)
- ❖ As an interim measure until a more effective way of controlling the risk can be used, or
- ❖ To supplement higher level control measures (as a backup).

2. 8.3.2 to develop and implement control options.

At BIOCOOR Information about suitable controls for many common hazards and risks can be obtained from:

- ❖ Codes of practice and guidance material.

- ❖ Manufacturers and suppliers of plant, substances and equipment used in your workplace, and
- ❖ Industry associations and unions.

In some cases, published information will provide guidance on the whole work process. In other cases, the guidance may relate to individual items of plant or how to safely use specific substances.

BIOCOOR can use the recommended control options if they suit your situation and eliminate or minimize the risk.

1. 8.3.2.a Developing specific control measures.

BIOCOOR may need to develop specific control measures if the available information is not relevant to the hazards and risks or circumstances at its workplace. This can be done by referring to the chain of events that were recorded during the risk assessment. For each of the events in the sequence, ask: “What can be done to stop or change the event occurring?” Working through the events in the sequence will give your ideas about all possible ways to eliminate or minimize the risk. There may be more than one solution for each of the events. The control options we may choose need to be:

- ❖ One that provides the highest level of protection for people.
- ❖ Available – that is, it can be purchased, made to suit or be put in place.
- ❖ Suitable for the circumstance in your workplace – that is, it will work properly given the workplace conditions, work process and your workers.

Where the hazard or risk has the potential to cause death, serious injury or illness, more emphasis should be given to those controls that eliminate or reduce the level of harm, than those that reduce likelihood. BIOCOOR will Make sure that your chosen solution does not introduce new hazards.

2. 8.3.2.b Cost of control measures.

At BIOCOOR all risks can be controlled and it is always possible to do something, such as stopping the activity or providing instructions to those exposed to the risk. There will normally be a number of different options between these two extremes. Cost (**in terms of time, effort as well as money**) is just one factor to consider when determining the best control option. The cost of controlling a risk may be taken into account in determining what is reasonably practicable, but cannot be used as a reason for doing nothing. The greater the likelihood of a hazard occurring and/or the greater the harm that would result if the hazard or risk did occur, the less weight should be given to the cost of controlling the hazard or risk. If two control

measures provide the same levels of protection and are equally reliable, you can adopt the least expensive option. Cost cannot be used as a reason for adopting controls that rely exclusively on changing people's behavior or actions when there are more effective controls available that can change the risk through substitution, engineering or isolation.

3. 8.3.2.c Implementing controls.

The control measures that BIOCOOR will put into operation will generally require changes to the way work is carried out due to new or modified equipment or processes, or new personal protective equipment. To allow the chosen control measures to operate effectively, BIOCOOR should:

❖ Develop work procedures.

If the control measures are designed to address significant risks then it may be necessary to develop a safe work procedure which describes the task, identifies the hazards and documents how the task is to be performed to minimize the risks.

❖ Provide training, instruction and information.

BIOCOOR should train its workers in the work procedure to ensure that they are able to perform the task safely. Training should require workers to demonstrate that they are competent in performing the task according to the procedure. It is insufficient to simply give a worker the procedure and ask them to acknowledge that they understand and are able to perform it. BIOCOOR should ensure that all training, instruction and information is provided in a form that can be understood by all workers. Information and instruction may also need to be provided to others who enter the workplace, such as customers or visitors.

❖ Provide supervision.

In determining the level of supervision required BIOCOOR should consider the level of risk and the experience of the workers involved. High levels of supervision are necessary where inexperienced workers are expected to follow new procedures or carry out difficult and critical tasks. BIOCOOR should also prepare a risk management plan that identifies the hazards, what action needs to be taken, who will be responsible for taking the action and by when.

3. 8.3.3 How to review controls.

The controls that BIOCOOR will put in place to protect the health and safety of people need to be monitored and reviewed regularly to make sure they work as planned.

There are certain situations where BIOCOOR will be required to review its control measures and, if necessary, revise them. A review is generally required when:

- ❖ a significant change occurs to the workplace, work process or system of work
- ❖ there is evidence that a risk control measure does not adequately control the risk, or
- ❖ a notifiable incident occurs.

BIOCOOR can also use the same methods as in the initial hazard identification step to check controls by consulting workers and their health and safety representatives and consider the following questions:

- ❖ Are the control measures working effectively in both their design and operation?
- ❖ Have the control measures introduced new problems?
- ❖ Have all hazards been identified?
- ❖ Have new work methods, new equipment or chemicals made the job safer?
- ❖ Are safety procedures being followed?
- ❖ Has instruction and training provided to workers on how to work safely been successful?
- ❖ Are workers actively involved in identifying hazards and possible control measures? Are they openly raising health and safety concerns and reporting problems promptly?
- ❖ Are the frequency and severity of health and safety incidents reducing over time?
- ❖ If new legislation or new information becomes available, does it indicate current controls may no longer be the most effective?

If problems are found, BIOCOOR will go back through the risk management steps, review your information and make further decisions about risk control.

4. 8.3.4 How to ensure that controls remain effective

The following actions will help BIOCOOR monitor the control measures that have implemented and ensure that they remain effective:

- ❖ Accountability for health and safety – accountability must be clearly allocated to ensure procedures are followed and maintained. Where managers and supervisors have health and safety responsibilities they must have the authority and resources to meet them. Remember, BIOCOOR have the duty of ensuring that they carry out the responsibilities you give them.
- ❖ Regular review – risk controls are more effective where there is regular review of work procedures and consultation with its workers and their representatives. All incident investigations should include a review of any relevant procedures.
- ❖ Effective communication – risk controls are more effective where procedures are communicated in appropriate language, and signs and symbols are used.
- ❖ Up-to-date training and competency – risk controls, particularly lower level controls, depend on all workers and supervisors having the appropriate.
- ❖ Up-to-date hazard information and risk assessments – information about hazards, such as plant and substances, may be updated by manufacturers and suppliers and should be checked to make sure controls are still relevant. New technology may provide more effective solutions than were previously available.

4. 8.4 How to keep records.

At BIOCOOR keeping records of the risk management process demonstrates potential compliance. It also helps when undertaking subsequent risk assessments.

Keeping records of the risk management process has the following benefits. It:

- ❖ Allows you to demonstrate how decisions about controlling risks were made.
- ❖ Assists in targeting training at key hazards.
- ❖ Provides a basis for preparing safe work procedures.
- ❖ Allows you to more easily review risks following any changes to legislation or business activities.
- ❖ Allows new staff to understand why risk control decisions have been made, and
- ❖ Demonstrates to others (regulators, investors, shareholders, customers) that work health and safety risks are being managed.

The detail and extent of recording will depend on the size of BIOCOOR workplace and the potential for major work health and safety issues. It is useful to keep information on:

- ❖ The identified hazards, assessed risks and chosen control measures (including any hazard checklists, worksheets and assessment tools used in working through the risk management process)
- ❖ How and when the control measures were implemented, monitored and reviewed
- ❖ Who you consulted with
- ❖ Relevant training records; and
- ❖ Any plans for changes.

10. 9.References + Resources

1. 9.1 Internal

Dignity of Risk Policy

Work Health and Safety Policy

2. 9.2 External

Safe Work Australia, 2010. DRAFT Code of Practice: How to manage work health and safety risks. <http://safeworkaustralia.gov.au/Legislation/PublicComment/Documents/Model%20work%20health%20and%20safety%20public%20comment%202010/Draft%20Model%20Codes%20of%20Practice%20for%20public%20comment/HowToManageWorkHealthAndSafetyRisks.pdf> Accessed 27th November, 2011.

11. APPENDICES

	5	5	10	15	20	25
PROBABILITY	4	4	8	12	16	20
	3	3	6	9	12	15
	2	2	4	6	8	10
	1	1	2	3	4	5
		1	2	3	4	5
		IMPACT				

IMPACT

1. Insignificat
2. Minor
3. Moderate
4. Major
5. Extreme

PROBABILITY

1. Remote
2. Unlikely
3. Possible
4. Probable
5. Highly


1. BIOCOOR RISK ASSESSMENT FORM

Assessment Form		Areas to be assessed:.....		
Date of assessment:		<p>The Risk assessment procedure is intended to prevent injury and ill health to BIOCOOR staff, interns, beneficiaries and volunteers.</p> <p>The assessment process involves a straightforward way of identifying hazards, estimating the probability of harm and identifying the appropriate control measures to reduce risk to an acceptable level.</p> <p>Consider any activity that has caused an incident in the past or may cause an incident in the future.</p>		
Event name and address:		Description of the area:		
Activity	Hazards (something that can cause harm)	Who might be harmed?	Existing control measures	Assess risk, considering control measures, and identify Further action needed
Cleanliness, Hygiene and Health				
hazards				
Staff and Client Interaction				
Fire Safety				
Travelling to and from Enterprise				
Walking in the Local Vicinity After Dark				
Other				
Disability Access				

Completed by:

2.  HR RISK REGISTOR

Risk id no.	Risk description	Source	Recurrence	Impact description	Impact level	Probability level	Priority level	Can the following step in the process eliminate the risk?	What controls already exist that can address the risk?	Mitigation or control strategy	Owner
	Give a brief summary of the risk.	Choose from drop-down menu.	Is it ongoing or only one time?	What will happen if the risk is not mitigated or eliminated?	Rate 1 (LOW) to 5 (HIGH)	Rate 1 (LOW) to 5 (HIGH)	(IMPACT X PROBABILITY) Address the highest first.	Yes or No	If the risk will be eliminated or mitigated by existing processes, list them here.	What can be done to lower or eliminate the impact or probability?	Who's responsible?
		Benefits									
		Data Security									
		Ethics and Behavior									
		Intellectual Property Theft									
		Mergers and Acquisitions									
		Compliance									
		Corporate Structure									
		Other									

Completed by:


3. BIOCOOR RISK REGISTER ALL

Category	Description of Risk	Indicators	Current Controls	Severity or Impact 1 Low - 5 High	Likelihood 1 Low - 5 High	Risk Score Severity x Likelihood	Risk Owner (name or title)	Residual risk	Proposed Mitigations to manage residual risk, Responsible Party & Implementation timeline
Security									
Health & Safety									
Fiduciary									
Information									
Legal/statutory compliance									
Reputational									
Operational									
Financial/Going concern									
Financial/Internal controls									
Financial/ procurement									
Sub recipient									

Completed by:

