## Training resources

To complete this training module you will need (from your HR Manager):

1. HR8A EZHR Guide to Hazards & Risks Management; and
2. HR8B Hazard ID & Risk Management form; and
3. HR8C EZHR Risk Management Tool; and
4. HR8-TRAIN-2A Hazards & Risks Management Training Quiz

## Training Instructions

1. Read the information in this training module carefully and follow the instructions at the end of the module; and
2. Let your HR Manager know:

   - if you find it hard to learn by reading; or
   - if you are unsure of anything in this training module.

When you come across this magnifying glass icon, it means you need to take a close look at something.

## Key words explained

**Competences** means knowledge and skills gained from experience or training.
**Eliminate** means remove or get rid of something.
**Exposure** means being near something harmful.
**Fatality** means death resulting from an accident.
**Hazard** means anything that has the potential to cause harm to any person.
**Hierarchy** means different levels of importance with most important on the top and least important on the bottom.
**Minimise** means reduce something to the smallest possible amount.
**Omission** means not doing something you know you should do.
**Policy** means a document saying what your employer intends to do and expects from you and others.
**Risk** means the potential for harm when exposure to a hazard is possible.

## Introduction

The common thing in every workplace fatality and serious harm event is the failure to properly manage the risks to health and safety associated with exposure to a hazard. It follows that the best way to prevent harm in the workplace is to ensure that the ones exposed to workplace hazards have the health and safety competences required to keep themselves and others safe. The purpose of this training module is to help build health and safety competences across your organisation by ensuring

that you have a good understanding of your employer's system for identifying workplace hazards and managing risks, and what is expected from you.

## Learning Outcomes

1. I know my duties as a worker to identify and report hazards in my workplace.
2. I know how to go about identifying and reporting hazards in my workplace.
3. I know my employer's policy requirements and processes for identifying hazards and managing risks in my workplace.
4. I know who is responsible for what when identifying hazards and managing risks in my workplace.

## Our health and safety at work legal system

How hazards and risks are to be managed in a workplace is guided by our legal system. The main piece of health and safety at work law in New Zealand is the Health and Safety at Work Act 2015 ("HSWA"). The main purpose of the HSWA is to provide for a balanced framework to secure the health and safety of workers and workplaces through a range of means, including by eliminating or minimising risks arising from work, so far as is reasonably practicable.

A duty holder is someone that holds a duty under the law to do something. Under the HSWA there are 4 duty holders. They are:

1. A person conducting a business or undertaking or "PCBU" for short (which can include a body corporate such as a company or a trust)
2. Officers of a PCBU (which includes company directors and others who hold a comparable position and CEOs) who have a duty, amongst other duties, to ensure the PCBU is compliant with its duties
3. Workers; and
4. Other persons at a workplace.

The HSWA is supported by a set of regulations, sometimes referred to as secondary laws. The regulations that cover general hazards and risks management are the Health and Safety at Work (General Risk and Workplace Management) Regulations 2016 ("the GRWM Regulations"). There are other regulations that support the HSWA.

## What is a workplace?

For the purposes of the HSWA a "workplace" means a place where work is being carried out, or is customarily carried out, for a business or undertaking, and includes any place where a worker goes, or is likely to be, while at work.

## A hazard, a risk, what's the difference?

A hazard is not clearly defined in the law but can be described as anything that has the potential to cause harm to any person.

A risk is not defined in the law but can be described as the potential for harm when exposure to a hazard is possible.

## Risk elimination and minimisation, explain that!

The HSWA requires duty holders to:

1. eliminate risks to health and safety, so far as is reasonably practicable; and
2. if it is not reasonably practicable to eliminate risks to health and safety, to minimise those risks, so far as is reasonably practicable.

Although not defined in the law:

1. risk **elimination** can be described as a state where either (a) exposure to the hazard is impossible; or (b) no harm can result from exposure to the hazard.
2. risk **minimisation** can be described as a state where either (a) the likelihood of exposure to the hazard is minimised; or (b) the degree of harm that might result from exposure to the hazard is minimised; or (c) both.

## PCBU's duties regarding hazards and risks

PCBUs have a range of legal duties under health and safety at work law. The important ones that relate specifically to hazards and risks are:

1. The duty to identify hazards
2. The duty to manage risks
3. When managing risks, the duty to eliminate risks, so far as is reasonably practicable
4. Where risks cannot be eliminated, the duty to minimise risks, so far as is reasonably practicable
5. When minimising risks, the duty to apply the hierarchy of control measures in accordance with r.6 GRWM Regulations (which are set out below)
6. The duty to maintain effective control measures; and
7. The duty to review control measures.

Hierarchy of control measures; Regulation 6 Health and Safety at Work (General Risk and Workplace Management) Regulations 2016

| 6 | Hierarchy of control measures |
| --- | --- |
| (1) | This regulation applies if it is not reasonably practicable for a PCBU to eliminate risks to health and safety in accordance with section 30(1)(a) of the Act. |
| (2) | A PCBU must, to minimise risks to health and safety, implement control measures in accordance with this regulation. |
| (3) | The PCBU must minimise risks to health and safety, so far as is reasonably practicable, by taking 1 or more of the following actions that is most appropriate and effective taking into account the nature of the risk: |
| | (a) substituting (wholly or partly) the hazard giving rise to the risk with something that gives rise to a lesser risk: |

(b) isolating the hazard giving rise to the risk to prevent any person coming into contact with it:
(c) implementing engineering controls.

(4) If a risk then remains, the PCBU must minimise the remaining risk, so far as is reasonably practicable, by implementing administrative controls.
(5) If a risk then remains, the PCBU must minimise the remaining risk by ensuring the provision and use of suitable personal protective equipment.

## Worker's duties regarding hazards and risks

Workers have their own duties under the HSWA. While at work a worker must:

1. Take reasonable care for his or her own health and safety; and
2. Take reasonable care that his or her own acts or omissions do not adversely affect the health and safety of other persons; and
3. Comply, as far as the worker is reasonably able, with any reasonable instruction that is given by the PCBU to allow the PCBU to comply with the HSWA or regulations; and
4. Co-operate with any policy or procedure of the PCBU relating to health or safety at the workplace that has been notified to workers.

This means that as a worker you must:

- Co-operate with your employer's policies and procedures regarding hazards and risks management that have been notified to you; and
- Complete, as far as you are reasonably able, any training regarding hazards and risks management if instructed by the PCBU to do so, to allow the PCBU to comply with its legal duties regarding hazards and risks management.

## Your employer's policy regarding hazards and risks management

Your employer has a health and safety at work policy. The part of the policy document that covers hazards and risks management is set out below.

Employer's health and safety at work policy document: Extract – Hazards and risks management

**Hazards & risks management**

18. The common denominator in every workplace fatality and serious harm occurrence is the failure to effectively manage the risks to health and safety associated with exposure to a hazard. It follows that the best way to prevent harm in the workplace is to ensure that the ones exposed to workplace hazards have the health and safety competences (what a worker knows about effective systematic hazards and risks management) required to keep themselves and others safe.
19. Our intent is to:

    a. operate an effective sub-system of hazards and risks management that is consistent with the requirements of the law; and
    b. ensure that all workers are adequately trained in the proper use of that sub-system.

20. For the purposes of this policy:

a. a **hazard** means anything that has the potential to cause harm to any person, and includes but is not limited to:

  (i)   a situation; or
  (ii)  a circumstance; or
  (iii) a phenomenon; or
  (iv)  behaviour such as bullying and harassment; or
  (v)   psychological hazards such as stress, anxiety, and depression.

b. a **risk** means the potential for harm when exposure to a hazard is possible.
c. risk **elimination** means a state where:

  (i)   exposure to the hazard is impossible; or
  (ii)  no harm can result from exposure to the hazard.

d. risk **minimisation** means a state where:

  (i)   the likelihood of exposure to the hazard is minimised; or
  (ii)  the degree of harm that might result from exposure to the hazard is minimised; or
  (iii) both.

21. All workers must proactively identify hazards in the workplace.
22. When a worker identifies a hazard in the workplace, unless the context otherwise requires, he or she must:

  a. if it is safe and reasonably practicable to do so, take immediate action to eliminate or minimise the risk that a person might be harmed if exposed to the hazard; and
  b. report the hazard to his or her line manager as soon as is reasonably practicable.

23. Line Managers shall ensure that risks to health and safety associated with reported hazards are managed in a manner consistent with the regulations.
24. To ensure adherence with the above policy requirements the hazards and risks management system to be followed shall be that set out in the HR8A EZHR Guide to Hazards and Risks Management.
25. All workers must complete hazards and risks management training and refresher training that shall include a reference to:

  a. these policy requirements; and
  b. the HR8A EZHR Guide to Hazards and Risks Management.

26. The undertaking and completion by a worker of hazards and risks management training and refresher training shall be evidenced through the completion by the worker of a HR8-TRAIN-2A Hazards and Risks Management Training Quiz which shall form part of the worker's training records.
27. The HR Manager shall be responsible for managing compliance with the training requirements stipulated in the above clauses 25 and 26.

Now that you have read the part of your employer's health and safety at work policy that covers hazards and risks management, the policy requirements have been notified to you. This means that you have a legal duty to co-operate with the policy requirements to proactively identify hazards and manage risks in accordance with the HR8A EZHR Guide to Hazards and Risks Management, which you will learn more about later in this training module.

## Managing hazards and risks – so what's the process?

The process of managing hazards and risks in a way that is consistent with the regulations can be broken down into five steps:


STEP 1: Identify hazards
STEP 2: Assess inherent risks
STEP 3: Control the risks
STEP 4: Maintain the controls
STEP 5: Review the controls.

### STEP 1: Identify hazards

As you have learned, a hazard is anything that has the potential to cause harm to any person. Under the GRWM Regulations, PCBUs (not workers!) have a duty to identify hazards. Your employer is a PCBU. As you now know, your employer's health and safety at work policy requires workers to proactively identify hazards. As those policy requirements have now been notified to you, you are required by law to proactively identify hazards in your workplace, at least while you are employed with your current employer.

There are three ways that hazards can be identified:

1.  See or suspect a hazard
2.  Safe work planning
3.  Incident reporting & investigation.

*See or suspect a hazard*

As per the requirements of your employer's health and safety at work policy which we have just looked at, if you see or suspect a hazard in the workplace, unless the context otherwise requires, you must (1) if it is safe and reasonably practicable to do so, take immediate action to eliminate or minimise the risk that a person might be harmed if exposed to the hazard; and (2) report the hazard to your line manager as soon as is reasonably practicable.

*Safe work planning*

Your employer's health and safety at work policy outlines the requirements regarding safe work planning. The policy document reads as follows.

Employer's health and safety at work policy document: Extract – Safe work planning

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**Safe work planning**

28.  Safe work planning is a pre-start procedure for identifying potential hazards that workers, and others, might be exposed to while undertaking planned work. The risks associated with people exposure to potential hazards identified in the safe work planning process will be managed through the implementation of risk control measures.

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29. Safe work planning shall apply:

   a. To work that is inherently dangerous including, but not limited to:

      (i) hazardous work to be performed at a customer's site; and
      (ii) work in a confined space or at height; and
      (iii) remote and isolated work; and
      (iv) electrical work; and

   b. before a change at the workplace, or to work systems, that is likely to give rise to new hazards and risks.

30. **Line Managers** are responsible for:

   a. safe work planning for work coming within their span of operational responsibility; and
   b. ensuring that the workers who will be carrying out the work are included in the safe work planning process.

31. The safe work planning procedure, including the procedure for managing hazards identified in the safe work planning process, shall be that outlined in the HR8A EZHR Guide to Hazards & Risks Management.

32. A Safe Work Plan shall be:

   a. developed using the HR8E Safe Work Plan template; and
   b. signed off by the responsible Line Manager; and
   c. copied to the HR Manager who shall:

      (i) correct any irregularities in the safe work planning process; and
      (ii) update the HR1D Database; and
      (iii) admit any new hazards (or new controls for existing hazards) to the HR8D Hazards & Risks Register; and
      (iv) inform workers of any new hazards (or new controls for existing hazards) admitted to the HR8D Hazards & Risks Register and the control measures to be implemented; and
      (v) revise relevant Safe Operating Procedures and communicate any changes to workers.

*Incident reporting and investigation*

Your employer's health and safety at work policy outlines the requirements regarding incident reporting and investigation. The policy document reads as follows.

Employer's health and safety at work policy document: Extract – Incident reporting & investigation

**Incident reporting & investigation**

33. For the purposes of this policy an **incident** means a planned or unplanned work event or situation that was an actual or potential cause of harm to any person and includes:

a. an accident, or non-accidental event or situation:

  (i)   resulting in harm; or

 (ii)   could have resulted in harm (i.e., a near miss).

34. The purpose of reporting and investigating incidents is to prevent recurrence by establishing the facts of what happened in order to:

a. understand the root causes and lessons learned; and
b. ==identify any hazards== involved requiring further action.

35. A worker who is involved in or who witnesses an incident:

a. where the incident is an emergency, shall follow the employer PCBU's emergency procedures; and
b. where the incident is a non-emergency, shall as soon as is reasonably practicable, report the incident to their line manager either:

  (i)   verbally (e.g., in person or over the phone); or
 (ii)   electronically (e.g., by email or text).

36. Line managers that receive a report of an incident shall, as soon as is reasonably practicable:

a. conduct a preliminary inquiry to determine what happened; and
b. report the incident and a summary of facts by email to the HR Manager.

37. On receiving a line manager's report of an incident, the HR Manager shall, as soon as is reasonably practicable:

a. admit the incident to the HR1D Database; and
b. write up a HR8F Incident Report; and
c. where the HR Manager deems it necessary (due to the complexity or seriousness of the incident), report findings using a HR8G Incident Investigation Findings Report template; and
d. where a new hazard is identified in the incident reporting and investigation process:

  (i)   manage the risks using a HR8B Hazard ID & Risk Management form; and
 (ii)   admit the hazard to the HR8D Hazards & Risks Register; and

e. inform the following persons of the results of the incident and investigation process, including any hazards identified and their risk control measures:

   (i)   the employer PCBU's workers; and
  (ii)   the employer PCBU's officers of a PCBU; and
 (iii)   appropriate persons representing other PCBUs involved in, or affected by, the incident; and

f. revise relevant Safe Operating Procedures and communicate any changes to workers.

**STEP 2: Assess inherent risks**

As you have learned, a **hazard** is anything that has the potential to cause harm to any person. A **risk** is the potential for harm when exposure to a hazard is possible.

A risk is **eliminated** when either:

1. exposure to the hazard is impossible, or
2. when no harm can result from exposure to the hazard.

A risk is **minimised** when either:

1. the likelihood of exposure to the hazard is minimised, or
2. the degree of harm that might result from exposure to the hazard is minimised, or
3. both.

You cannot manage a risk, unless you have first identified the hazard that gives rise to the risk. As STEP 1 in the managing hazards and risks process is to identify the hazard, STEP 2 is to assess the inherent risks associated with exposure to the hazard.

An **inherent risk** is the risk that exists before any action is taken to control the risk.

A **residual risk** is the risk that remains after action is taken to control the risk.

The objective of assessing an inherent risk is to gain an understanding of the nature of the risk. A PCBU is legally required under the GRWM Regulations to take into account the "nature of the risk" when applying the hierarchy of control measures.

Your employer's process of assessing an inherent risk involves allocating the risk a 'risk rating' of either low; minor; moderate; high; or critical. This will help determine how much priority should be accorded to managing the risk and whether the control measures under consideration are proportionate to the risk. Risks rated "critical" should be accorded the highest priority over other risks, in terms of implementing controls, maintaining controls, and reviewing controls, which you will learn more about shortly.

Assessing an inherent risk to gain an understanding of the nature of the risk and to allocate the risk a risk rating, involves thinking about two things:

1. how likely is it for people to be exposed to the hazard if nothing is done to control the risk; and
2. in what way might people be harmed as a result of being exposed to the hazard, if nothing is done to control the risk.
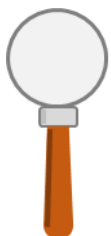
Assessing an inherent risk should be a documented process. Your employer's documented process for risk assessment (assessing

both inherent and residual risks) is to use a HR8B Hazard ID & Risk Management form. Have a look at the form now.

The HR8B Hazard ID & Risk Management form refers to the HR8C EZHR Risk Management Tool. The purpose of the tool is to aid the risk assessment process and the completion of the HR8B Hazard ID & Risk Management form.

Have a look at the HR8C EZHR Risk Management Tool now.

## STEP 3: Control the risks

The next step is to control the risks through the implementation of the most effective control measures that are reasonably practicable to implement and maintain. This step will be led by the Line Manager responsible for the relevant work area or the work being performed.

First, think elimination. Think about the availability and suitability of ways:

1. to make it impossible for a person to be exposed to the hazard: or
2. to make it so that no harm can result from exposure to the hazard.

If the risk cannot be eliminated then think minimisation through the hierarchy of controls. Think about the availability and suitability of ways:

1. to minimise the likelihood of exposure to the hazard: or
2. to minimise the degree of harm that might result from exposure to the hazard; or
3. both.

When minimising risks, first think **substitution**, **isolation**, and **engineering** controls or a combination of them. Write your ideas down. Select the control measures that are the most appropriate and effective taking into account the nature of the risk.

If a risk remains think minimisation through **administrative** controls.

If a risk remains think minimisation through the provision and correct use of suitable **PPE**.

Once you have determined your hierarchy of proposed control measures, before deciding whether to go with them, you will need to make an assessment as to whether they are reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters, including whether the cost of implementing the control measures is grossly disproportionate to the risk.

Once the control measures to be implemented have been determined, they can be added to the HR8B Hazard ID & Risk Management Form. The residual risk can then be assessed using this HR8C EZHR Risk Management Tool. The HR8B Hazard ID & Risk Management Form can then be signed off; scanned; and emailed to the HR Manager.

Where practicable, STEP 3 should be completed by Line Managers in consultation with those workers likely to be exposed to the hazard. If convening a safety meeting with those workers is impracticable, a more practicable way to consult might be to send affected workers a copy of the draft control measures and request their feedback before signing them off. Ensure that workers who are likely to be exposed to the hazard are made aware of the hazard and the control measures to be implemented.

**STEP 4: Maintain the controls**

Under the GRWM Regulations a PCBU must ensure that the control measures are effective and are maintained to ensure they remain effective. Under your employer's hazards and risks management system, the HR Manager has the responsibility to ensure the PCBU is compliant with this requirement.

**STEP 5: Review the controls**

The final step in the hazards and risks management process is actually an ongoing step. Under the GRWM Regulations, a PCBU must review, and as necessary, revise the control measures in order to maintain a work environment that is without risks to health and safety.

Under your employer's hazards and risks management system, all HR8B Hazard ID & Risk Management forms completed by Line Managers will be sent to the HR Manager who shall admit new hazards to the HR8D Hazards & Risks Register.

The HR Manager is responsible for reviewing, and where necessary, revising the control measures admitted to the HR8D Hazards & Risks Register annually.

Critical and High risk controls are to be reviewed / revised quarterly. The HR Manager must ensure that quarterly reviews of Critical and High risk controls are documented using a HR8DA Quarterly Review of Critical / High Risk Controls form. Where practicable the review and revision of Critical and High risk controls is to be undertaken by the HR Manager in consultation with those workers who are likely to be exposed to the associated hazards.

## Bringing it all together

Your employer's hazards and risks management system that has been covered in this training module has been downloaded onto a one-page guide.
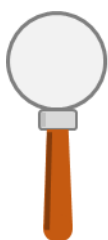
Have a look at the HR8A EZHR Guide to Hazards & Risks Management now.

## Complete the Quiz

Now complete the HR8-TRAIN-2A Hazards & Risks Management Training Quiz form, and hand it to your HR Manager.

END (NOTE: We value your thoughts and suggestions of how your employer's training resources can be improved as part of our commitment to quality training and continuous improvement. If you have any feedback regarding this training resource then please get in touch with your HR Manager.)