# Appendix B - Risk Assessment Tool (sample)

This risk assessment tool (sample) is designed to help employers meet their legal obligations to manage risks associated with psychological injury. This tool is not exhaustive. You may need to consider other risk factors which are unique to your organisation. Add these factors to the *‘Additional Factors’* section of this checklist.

To use this checklist, read the statements below and tick YES to any of the statements you agree with. Make any relevant comments which should be considered as part of the risk assessment process. A risk rating table has been provided below to assist you in assessing the risk. When determining the risk rating of an identified risk factor you will need to consider the likelihood of the injury occurring against the severity of the consequences if the injury occurs, whilst taking into account the existing systems and controls at the workplace.

This sample risk assessment tool can be used as a stand-alone assessment or in conjunction with an employee survey.

*Risk Rating Table*

|  |  |  |
| --- | --- | --- |
| ***Likelihood of injury or harm to health*** | ***Consequences of any injury or harm to health*** | ***Existing systems***  |
| *Insignificant* | *Moderate* | *Major* | *Catastrophic* | *How do the existing controls and systems impact on the risk rating?**(increase/decrease?)* |
| *Very Likely* | *High* | *Extreme* | *Extreme* | *Extreme* |
| *Likely* | *Moderate* | *High* | *Extreme* | *Extreme* |
| *Moderate* | *Low* | *High* | *Extreme* | *Extreme* |
| *Unlikely* | *Low* | *Moderate* | *High* | *Extreme* |
| *High Unlikely (rare)* | *Low* | *Moderate* | *High* | *High* |

***Risk Assessment***

|  |  |
| --- | --- |
| **Completed by:** | **Position:**  |
| **Date of Risk Assessment:**  | **Review** **Date:** |

| **Workplace Data Analysis**  | **Answer** **(Each YES answer indicates a risk control is needed)** | **Risk Rating****(N/A, Low, Moderate, High or Extreme)** | **Comments****(Make notes on reasons for your assessment)** |
| --- | --- | --- | --- |
| Are there any trends in records of sick leave with or without certificates which show relevant trends (e.g. headaches, recurrent colds or flu and musculoskeletal disorders)? | Yes ☐No ☐ |  |  |
| Are there cases of annual or long service leave (or non-usage) as a result of psychological risk factors or work-related stress (e.g. using annual leave as sick leave is exhausted or not using annual leave due to work pressure)? | Yes ☐No ☐ |  |  |
| Are there any trends in absenteeism (e.g. some areas having a higher absenteeism rate than others)? | Yes ☐No ☐ |  |  |
| Are there cases of workers’ compensation or psychological injuries (e.g. work-related stress, post-traumatic stress disorder, anxiety and depression etc.)? | Yes ☐No ☐ |  |  |
| Are there trends or common themes in complaints or workplace grievances? | Yes ☐No ☐ |  |  |
| Are there trends in Employee Assistance Program usage and types of issues managed? | Yes ☐No ☐ |  |  |
| Are there industrial relations records or disputes which link to job dissatisfaction in the workplace? | Yes ☐No ☐ |  |  |
| Are there any related and unresolved issues in minutes of meetings (e.g. workload or change in work roles)? | Yes ☐No ☐ |  |  |
| Are there work schedule records that reflect long hours of work, overtime usage or other relevant information? | Yes ☐No ☐ |  |  |
| Is there a lack of knowledge and compliance of the organisation’s policies and procedures relating to psychological risk factors (e.g. harassment, bullying, discrimination etc.)? | Yes ☐No ☐ |  |  |
| *Additional:*  | Yes ☐No ☐ |  |  |

|  |  |  |  |
| --- | --- | --- | --- |
| **Direct observation** | **Answer** **(Each YES answer indicates a risk control is needed)** | **Risk rating****(N/A, Low, Moderate, High or Extreme)** | **Comments****(Make notes on reasons for your assessment)** |
| Are there work areas which are understaffed? | Yes ☐No ☐ |  |  |
| Are there work areas experiencing a high number of sick days compared to others? | Yes ☐No ☐ |  |  |
| Are there work areas where employees handle conflict destructively (e.g. using blame language and personal criticism? | Yes ☐No ☐ |  |  |
| Other:  | Yes ☐No ☐ |  |  |

| **Risk Factors** *(May be identified from direct observations, analysis of workplace data and employee survey results)* | **Answer** **(Each YES answer indicates a risk control is needed)** | **Risk Rating****(N/A, Low, Moderate, High or Extreme)** | **Comments****(Make notes on reasons for your assessment)** |
| --- | --- | --- | --- |
| Authority/controlIssues to do with control over and involvement in decisions that could be reasonably be expected in a job or a role about such things as:* Work methods
* Workload
* Work schedules
* The pace of work
* The working environment
* Shift work
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Job demands* Lack of variety
* Monotonous, under-stimulating, fragmented or meaningless work
* Under-use of skills
* High uncertainty
* Low social value of work
* Continuous exposure to people through work
* Unpleasant tasks
* Tasks that require emotions to be kept hidden
* Work overload or under load
* Machine pacing
* Having too much or too little to do
* Working under time pressures
* Continually subject to deadlines
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Support* Inadequate or absent supervision
* Inconsiderate or unsupportive supervision
* Low levels of support for problem-solving and personal development
* Social or physical isolation
* Poor relationship with co-workers
* Poor relationships with supervisors/ managers
* Interpersonal conflict
* Lack of social support
* Isolated or solitary work
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Role Conflict/ambiguity* Unclear work role
* Conflicting roles within the same job
* Responsibility for people
* Continuously dealing with other people and their problems
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Relationships* Social or physical isolation
* Poor relationship with co-workers
* Poor relationships with superiors/workers
* Interpersonal conflict
* Lack of social support
* Bullying, harassment and violence
* Isolated or solitary work
* Lack of agreed procedures or knowledge of procedures for dealing work workplace problems or complaints
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Change* Management of organisational change is not done or not done well
* Lack of communication within the workplace
* Rigidity of work practices
* Job insecurity
* Career uncertainty
* Stagnation
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Rewards and recognition* Reward or status in the workplace
* Social value of work
* Individual and team contribution
* Achievements
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Organisational justice* Bias of work procedures
* Inconsistency of applied procedures
* Lack of respect given to employees during the process
* Unclear or unfair processes for performance appraisal and management
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Physical work environment * Poor workplace layout
* Lack of space
* Layout or location that interferes with communication
* Layout or location that interferes with social support
* Inadequate equipment availability, suitability or
* Lack of maintenance of equipment and building
* Poor lighting
* Poor air quality and ventilation
* Excessive noise
* High temperature and humidity
* Other (describe):
 | Yes ☐No ☐ |  |  |
| Organisational culture and function* Poor communication
* Poor leadership
* Low levels of support for problem-solving and personal development
* Lack of definition of or agreement on organisational objectives and structure
* Vision and values not clearly defined, regularly communicated
* Acceptable standards of behaviour, in line with organisational values are not enforced
* Low levels of trust amongst employees and towards management
* Other (describe):
 | Yes ☐No ☐ |  |  |
| *Additional:*  | Yes ☐No ☐ |  |  |

**Risk management plan (sample)**

If you tick YES to any of the statements in the risk assessment checklist, you will need to identify and implement risk control solutions. The following table is an example of a Risk Management Plan that your company can adapt for its use.

|  |  |
| --- | --- |
| **Location / Group :** *Front reception* | **Risk factor:** *Front reception team are understaffed due to one staff member on extended leave, creating increased workload for remaining staff members and conflict amongst the team.*  |
| **Short term ( up to four weeks)** |
| **Action required** | **Person responsible** | **Completion date** | **Review date** | **Comments on review** |
| *Assess appropriateness of mediation and offer mediation (if appropriate) offer EAP assistance and additional resources.* | *Joe Smith* | *01/06/14* | *15/06/14* | *Parties involved now have a constructive working relationship and continue to access EAP support.*  |
| *Hire one temporary administration staff to assist team with workload whist staff member is on extended leave.*  | *Joe Smith* | *23/05/14* | 30/05/14 | *Feedback from the team has been positive and the addition of the temporary staff member has decreased the workload to a manageable level.*  |
|  |  |  |  |  |
| **Medium term ( four weeks to six months)** |
| **Action Required** | **Person Responsible** | **Completion Date** | **Review Date** | **Comments on Review** |
| *Develop dispute resolution procedure.* | *Joe Smith* | *01/06/14* | *01/12/14* | *Received formal complaints during this time which were managed using procedure. Procedure needs amending to include provision of external investigation if deemed appropriate.*  |
|  |  |  |  |  |
| **Long term (more than six months)** |
| **Action Required** | **Person Responsible** | **Completion Date** | **Review Date** | **Comments on Review** |
| *Provide leadership development training to all management employees.* | *Joe Smith* | *01/06/14* | *01/06/15* |  |
| *Assess current state of our organisational culture and develop our culture to be in alignment with our organisational values.*  | Joe Smith  | 01/06/14 | *01/06/15* |  |