



ASSET RISK ASSESSMENT

Report Number: PS05060543-2022-08-01

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Company	Melbourne Tractors
Assessment Purpose	In Use
State	VIC
Type	Excavator
Make	Kobelco
Model	SK55SRX-7
Unit ID	PS05060543
Serial Number	PS05060543
Review Date	01/08/2023

Risk Matrix

LIKELIHOOD	CONSEQUENCE				
	Minor	Moderate	Significant	Critical	Catastrophic
Almost Certain	Medium - 11	High - 16	Extreme - 20	Extreme - 23	Extreme - 25
Likely	Medium - 7	High - 12	High - 17	Extreme - 21	Extreme - 24
Possible	Low - 4	Medium - 8	High - 13	High - 18	Extreme - 22
Unlikely	Low - 2	Low - 5	Medium - 9	High - 14	High - 19
Rare	Low - 1	Low - 3	Low - 6	Medium - 10	High - 15

Risk Likelihood Descriptions

Almost Certain Is expected to occur

Likely Will probably occur

Possible Could occur, has occurred here or elsewhere

Unlikely Unlikely to occur, but could happen

Rare Not expected to occur

Risk Consequence Descriptions

CONSEQUENCE	People	Environment	Quality
Catastrophic	Fatality	Catastrophic irreversible environmental damage.	Cost of rectification > \$5M
Critical	Permanent disabling injury or illness.	Environmental incident with critical impacts.	Cost of rectification \$1M-\$5M
Significant	Lost time or temporary disabling injury or illness.	Environmental incident with significant impacts.	Cost of rectification \$50K-\$1M
Moderate	Medical treatment required, return to work (suitable duties).	Environmental incident with moderate impacts.	Cost of rectification \$10K-\$50K
Minor	First-aid treatment/minor injury, return to work, normal duties.	Environmental incident with minor impact.	Cost of rectification < \$10K

Risk Descriptions

Extreme	Intolerable risk. Do not commence the task. Notify your supervisor who will need to raise this hazard for review.
High	Do not commence the task. A Task Risk Assessment will be required and approved. All controls shall be in place and be maintained to reduce risk so far as is reasonably practicable. Works shall be under the direct supervision of a competent person appointed by the Site Supervisor.
Medium	A documented procedure (SOP, SWMS, Task Risk Assessment or Permit to Work) is required. All controls as per the procedure shall be in place and be maintained to reduce risk so far as is reasonably practicable.
Low	Work may be undertaken however must stop and be reassessed if/when conditions change.

Risks Identified & Selected Risk Controls

Design

<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The design process includes a risk management process</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Competent and authorised person assessing and verifying Design</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control The asset has been designed considering the reduction of hazardous manual tasks</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The asset has been designed considering the elimination/ reduction of the need to enter confined spaces</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The asset design considers guarding</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 18</p>
<p>Risk Control The asset design considers controls to manage failure or malfunction</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control The asset design considers required warning devices</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The asset design considers operational controls</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 18</p>
<p>Risk Control Environmental conditions are considered during the assets lifecycle</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Information covering the purpose of the asset to be provided to manufacturers, suppliers and end-users</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The design of the asset</p>	<p>Preliminary Risk Score High - 13</p>

<p>Risk Control</p> <p>Results of calculation, analysis, testing or examination necessary to use, inspect, commission and maintain the asset safely results of calculation, analysis, testing or examination necessary to use, inspect, commission and maintain the asset safely been provided</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The assembly of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>The design process considers the assembly of the asset</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The assembly of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>Information on the assembly are provided to manufacturers, suppliers and end-users</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The use of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 18</p>
<p>Risk Control</p> <p>Information has been provided on the systems of work and competency of users necessary for the asset to be used safely</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The use of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>Medium - 8</p>
<p>Risk Control</p> <p>Information has been provided on noise emissions</p>	<p>Residual Risk Score</p> <p>Low - 4</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The use of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>Information has been provided on the emergency procedures if there is a malfunction</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The use of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>Information provided on existing safety features</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The storage and maintenance of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>The design process considers the storage of the asset</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The storage and maintenance of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>Information has been provided on testing or inspections to be carried out</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The storage and maintenance of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 13</p>
<p>Risk Control</p> <p>Information has been provided on maintaining and repairing the asset</p>	<p>Residual Risk Score</p> <p>Medium - 8</p>
<p>Identified Risk</p> <p>Can the following pose a risk throughout the lifecycle of the asset? The storage and maintenance of the asset, where applicable</p>	<p>Preliminary Risk Score</p> <p>High - 18</p>

<p>Risk Control Information has been provided on the features available to safely enter and exit confined spaces, if applicable</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The decommissioning of the asset, where applicable</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control The design process considers the decommissioning of the asset</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The decommissioning of the asset, where applicable</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Information on decommissioning are provided to manufacturers, suppliers and end-users</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The disposal of the asset, where applicable</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control The design process considers the disposal of the asset</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? The disposal of the asset, where applicable</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The information on disposal are provided to manufacturers, suppliers and end-users</p>	<p>Residual Risk Score Medium - 8</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? Is Plant Design Registration required?</p>	<p>Preliminary Risk Score Low - 5</p>
<p>Risk Control Information covering the details about asset design registration, if applicable, is provided to manufacturers, suppliers and end-users</p>	<p>Residual Risk Score Low - 2</p>
<p>Identified Risk Can the following pose a risk throughout the lifecycle of the asset? Is Plant Design Registration required?</p>	<p>Preliminary Risk Score Low - 5</p>
<p>Risk Control Plant Design Registration received as per state legislation</p>	<p>Residual Risk Score Low - 2</p>

Delivery/Transporting Plant

<p>Identified Risk Can anyone be injured due to contact with obstacles during delivery/transport (such as overhead powerlines, trees)?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Route taken planned and transport permits received as required</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to contact with obstacles during delivery/transport (such as overhead powerlines, trees)?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Spotter utilised where applicable</p>	<p>Residual Risk Score Low - 3</p>
<p>Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material stored with the asset?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Asset operated as per approved SWMS/ SOP</p>	<p>Residual Risk Score Low - 3</p>

<p>Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material stored with the asset?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset secured with approved tie down system (tie down chains or straps), attached to rated tie down points</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material stored with the asset?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset secured by competent operator</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material stored with the asset?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset secured as per National Transport Commissions 'Load Restraint Guide'</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to persons being trapped between the asset and materials or fixed structures?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Asset loaded, unloaded and secured as per approved SWMS/ SOP</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to persons being trapped between the asset and materials or fixed structures?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Spotter utilised where applicable</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances, triggered by the transportation of the asset or by material handled by the asset?</p>	<p>Preliminary Risk Score Low - 5</p>
<p>Risk Control Asset isolated when loaded for transportation</p>	<p>Residual Risk Score Low - 3</p>
<p>Identified Risk Can anyone be injured due to asset potentially being oversized/over mass?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Route taken planned and transport permits received as required</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to asset potentially being oversized/over mass?</p>	<p>Preliminary Risk Score Low - 5</p>
<p>Risk Control Appropriate signage is displayed in a visible location on the truck/ trailer. This may include, over size, long vehicle, road train or other signage A rotating light , flags or an escort available as required</p>	<p>Residual Risk Score Low - 3</p>

Setup/Prestart

<p>Identified Risk Can anyone be injured due to missing safety devices?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset pre start inspection conducted as per approved SWMS/ SOP</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to missing safety devices?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset serviced and maintained as per Operators Manual and established and approved company process</p>	<p>Residual Risk Score Low - 6</p>

<p>Identified Risk Can anyone be injured due to missing safety devices?</p>	<p>Preliminary Risk Score Medium - 9</p>
<p>Risk Control Safety devices inspected and available on asset, may include: seat belt, fire extinguisher, fire suppression system, first aid kit</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during set up or pre start?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Competent operators to conduct pre start inspection</p>	<p>Residual Risk Score Low - 3</p>
<p>Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during set up or pre start?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Asset serviced and maintained as per Operators Manual and established and approved company process</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during set up or pre start?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 4</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Working at heights conducted as per established and approved company process</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Appropriate fall arrest systems available and utilised to protect workers</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to electrical shock or burn?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Electrical installations to be regularly inspected as per Manufacturer manual and established and approved company processes.</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to electrical shock or burn?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Electrical work to be conducted by trained and competent electricians only</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to check points not being readily accessible?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Three points of contact maintained during access and egress of asset</p>	<p>Residual Risk Score Low - 3</p>
<p>Identified Risk Can anyone be injured due to check points not being readily accessible?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control</p>	<p>Residual Risk Score</p>

Provision of safe means of access and egress. Use of ladder or other approved devices to access areas not readily accessible	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to contact with moving parts during set up or pre-start?	Preliminary Risk Score High - 13
Risk Control Asset to be stationary	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to contact with moving parts during set up or pre-start?	Preliminary Risk Score High - 13
Risk Control Guarding to be in place as per manufacturers manual	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to contact with moving parts during set up or pre-start?	Preliminary Risk Score High - 13
Risk Control Services isolated where possible	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to contact with moving parts during set up or pre-start?	Preliminary Risk Score High - 13
Risk Control Body parts kept well away from potential pinch/ crush points	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to exposure to hazardous materials/chemicals, such as oils, grease, coolants, solvents, etc. and/or biological agents ?	Preliminary Risk Score Medium - 8
Risk Control Competent operators to conduct pre start inspection	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to exposure to hazardous materials/chemicals, such as oils, grease, coolants, solvents, etc. and/or biological agents ?	Preliminary Risk Score Medium - 8
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Low - 4
Identified Risk Can anyone be injured due to exposure to hazardous materials/chemicals, such as oils, grease, coolants, solvents, etc. and/or biological agents ?	Preliminary Risk Score Medium - 8
Risk Control In-date Safety Data Sheets (SDS) (5 years) are available to all workers and understood prior to work commencement	Residual Risk Score Low - 5

Operation

Identified Risk Can anyone be injured due to insufficient pre start inspection resulting in equipment damage, environmental damage or injury?	Preliminary Risk Score High - 13
Risk Control Asset pre start inspection conducted as per approved SWMS/ SOP	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to insufficient pre start inspection resulting in equipment damage, environmental damage or injury?	Preliminary Risk Score High - 13
Risk Control Asset serviced and maintained as per Maintenance manual and established and approved company process	Residual Risk Score Low - 6
Identified Risk	Preliminary Risk Score

Can anyone be injured due to incorrect use of asset outside manufacturers recommendations?	Extreme - 21
Risk Control Asset only to be used for intended use as per Operators Manual	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of operator competency required to operate the asset?	Preliminary Risk Score High - 18
Risk Control Only qualified and competent operators to operate the asset, or operators under supervision of qualified, competent operators where they are undergoing training	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of operator competency required to operate the asset?	Preliminary Risk Score High - 18
Risk Control Operator's manual available to operator and reviewed prior to operation of asset	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of operator fitness for work?	Preliminary Risk Score Extreme - 21
Risk Control Operation of asset prohibited when under the influence of illicit drugs, alcohol and certain legal drugs, as per consumer medicine information, supplied with the medication	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of operator fitness for work?	Preliminary Risk Score Extreme - 21
Risk Control Operator fitness for work assessed regularly as per company process	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of operator fitness for work?	Preliminary Risk Score High - 13
Risk Control Employment medicals conducted as per company process	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material handled by the asset?	Preliminary Risk Score Extreme - 21
Risk Control Only qualified and competent operators to operate the asset, or operators under supervision of qualified, competent operators where they are undergoing training	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material handled by the asset?	Preliminary Risk Score Extreme - 21
Risk Control Operators to review and acknowledge asset specific SWMS, SOPs and Risk assessments as applicable	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material handled by the asset?	Preliminary Risk Score Medium - 8
Risk Control Operator's manual available to operator and reviewed prior to operation of asset	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material handled by the asset?	Preliminary Risk Score High - 13
Risk Control Controls are clearly identified via labels and in the operator manual to mitigate operator error	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset or material handled by the asset?	Preliminary Risk Score High - 13

Risk Control Pre Start inspection conducted and recorded as per established and approved company process	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to access/egress from operator's cabin?	Preliminary Risk Score Medium - 8
Risk Control Three points of contact maintained during access and egress of asset	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to pinch/crush points?	Preliminary Risk Score Medium - 8
Risk Control Body parts kept well away from potential pinch/ crush points	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to pinch/crush points?	Preliminary Risk Score High - 13
Risk Control Guarding to be in place as per manufacturers manual	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to pinch/crush points?	Preliminary Risk Score Medium - 8
Risk Control Labels in place identifying crush points where applicable	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to pinch/crush points?	Preliminary Risk Score Medium - 8
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Low - 4
Identified Risk Can anyone be injured due to falling objects?	Preliminary Risk Score High - 13
Risk Control Pre Start inspection conducted and recorded as per established and approved company process	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to falling objects?	Preliminary Risk Score Medium - 8
Risk Control Asset and work area to be free of debris, any loose parts, tools, rags, etc.	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to falling objects?	Preliminary Risk Score Medium - 8
Risk Control exclusion zone implemented	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to the asset tipping or rolling over?	Preliminary Risk Score High - 18
Risk Control Only qualified and competent operators to operate the asset, or operators under supervision of qualified, competent operators where they are undergoing training	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to the asset tipping or rolling over?	Preliminary Risk Score High - 18
Risk Control Work to cease if site conditions could lead to tipping or rolling (e.g. wet conditions, slopes)	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to the asset tipping or rolling over?	Preliminary Risk Score High - 14
Risk Control Operators to review and acknowledge asset specific SWMS, SOPs and Risk assessments as applicable	Residual Risk Score Medium - 10

Identified Risk Can anyone be injured due to the asset tipping or rolling over?	Preliminary Risk Score High - 18
Risk Control ROPS (Roll-Over Protective Structure) in place and in serviceable condition	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with underground services?	Preliminary Risk Score High - 18
Risk Control Dial Before You Dig (DBYD) consulted where applicable	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with underground services?	Preliminary Risk Score High - 18
Risk Control Underground services identified prior to works commencement where possible	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with underground services?	Preliminary Risk Score High - 18
Risk Control Spotter utilised where applicable	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with overhead hazards?	Preliminary Risk Score High - 18
Risk Control Exclusion zones to be implemented as perservice providers and company processes	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with overhead hazards?	Preliminary Risk Score High - 18
Risk Control Spotter utilised where applicable	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with overhead hazards?	Preliminary Risk Score High - 18
Risk Control Services isolated where possible	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances, triggered by the operation of the asset or by material handled by the asset?	Preliminary Risk Score High - 13
Risk Control Tanks on the asset have labels, identifying the content of the tank which can be referred to when filling	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances, triggered by the operation of the asset or by material handled by the asset?	Preliminary Risk Score Medium - 8
Risk Control Safety devices inspected and available on asset, (include seat belt) - fire extinguisher, first aid kit where required as per company process	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances, triggered by the operation of the asset or by material handled by the asset?	Preliminary Risk Score High - 13
Risk Control Emergency Stop buttons installed and clearly demarcated. Function tested regularly	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to pedestrian approach of asset?	Preliminary Risk Score High - 13
Risk Control Operation of asset is to cease if: un-authorized personnel enter work area (exclusion zone), visibility is	Residual Risk Score

limited or contact with other assets is likely	Low - 6
Identified Risk Can anyone be injured due to pedestrian approach of asset?	Preliminary Risk Score High - 13
Risk Control Audible alarms in place and functioning, alerting bystanders of asset movements	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to pedestrian approach of asset?	Preliminary Risk Score High - 13
Risk Control Site signage warning people of moving assets	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to poorly designed ergonomics?	Preliminary Risk Score Medium - 8
Risk Control Ergonomic seat, in serviceable condition, installed in the asset, ergonomic principles considered when setting up seat for operating position	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to poorly designed ergonomics?	Preliminary Risk Score Medium - 8
Risk Control Controls are designed to be intuitive and allow the operator to be in control of the asset at all times	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to poorly designed ergonomics?	Preliminary Risk Score Medium - 8
Risk Control All controls of the asset to be clearly identified	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to poorly designed ergonomics?	Preliminary Risk Score Medium - 8
Risk Control Controls are located in convenient positions for operator, allowing easy access and asset operation	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to poorly designed ergonomics?	Preliminary Risk Score Medium - 8
Risk Control Regular breaks are kept as per company process to mitigate fatigue, repetitive movements and excessive vibration	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to poorly designed operator controls?	Preliminary Risk Score Medium - 8
Risk Control Controls are located in convenient positions for operator, allowing easy access and asset operation	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to poorly designed operator controls?	Preliminary Risk Score Medium - 8
Risk Control Controls are designed to be intuitive and allow the operator to be in control of the asset at all times	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to failure/disorder of the control system?	Preliminary Risk Score Extreme - 21
Risk Control Pre Start inspection conducted and recorded as per established and approved company process	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to failure/disorder of the control system?	Preliminary Risk Score Extreme - 21
Risk Control Asset serviced and maintained as per Maintenance manual and established and approved company	Residual Risk Score

process	Medium - 10
Identified Risk Can anyone be injured due to failure/disorder of the control system?	Preliminary Risk Score Extreme - 21
Risk Control Operator is protected from potential control system failure, such as hydraulic hose or other critical part through design of asset	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to environmental factors (gravity, heat, cold, wind, rain, lightning etc.)?	Preliminary Risk Score Medium - 8
Risk Control Weather forecast reviewed regularly to identify adverse weather conditions	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to environmental factors (gravity, heat, cold, wind, rain, lightning etc.)?	Preliminary Risk Score Medium - 8
Risk Control Where works are required in low light conditions, further lighting assets can be added to ensure appropriate visibility (e.g. night works)	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to environmental factors (gravity, heat, cold, wind, rain, lightning etc.)?	Preliminary Risk Score Medium - 8
Risk Control Inspection conducted to identify unsafe site conditions	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to errors in the software?	Preliminary Risk Score Medium - 8
Risk Control Function of software checked before commencement of operation	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to errors in the software?	Preliminary Risk Score Medium - 8
Risk Control Software updated regularly as applicable	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to working/access surfaces on asset uneven, slippery or obstructed?	Preliminary Risk Score Medium - 8
Risk Control Provision of safe means of acces and egress. Use of ladder or other approved devices to access areas not readily accessible	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to working/access surfaces on asset uneven, slippery or obstructed?	Preliminary Risk Score Medium - 8
Risk Control Asset and work area to be free of debris, any loose parts, tools, rags, etc.	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to working/access surfaces on asset uneven, slippery or obstructed?	Preliminary Risk Score Medium - 8
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to working/access surfaces on asset uneven, slippery or obstructed?	Preliminary Risk Score Medium - 8
Risk Control Three points of contact maintained during access and egress of asset	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to noise levels exceeding recommended exposure levels?	Preliminary Risk Score Medium - 8
Risk Control	Residual Risk Score

Noise survey conducted on asset and results communicated to operators	Low - 5
Identified Risk Can anyone be injured due to noise levels exceeding recommended exposure levels?	Preliminary Risk Score Medium - 8
Risk Control The operator is located in an enclosed cabin, reducing noise levels	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to noise levels exceeding recommended exposure levels?	Preliminary Risk Score Medium - 8
Risk Control Warning labels located in asset and the Operators manual advise of noise and vibration levels produced and appropriate protection measures for operator and bystanders	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to inadequate or poorly placed lighting?	Preliminary Risk Score Medium - 8
Risk Control Lighting is designed to illuminate critical areas for the operation of the asset	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to inadequate or poorly placed lighting?	Preliminary Risk Score Medium - 8
Risk Control Where works are required in low light conditions, further lighting assets can be added to ensure appropriate visibility (e.g. night works)	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to contact with other assets, structures or other obstacles on site?	Preliminary Risk Score Extreme - 21
Risk Control Only qualified and competent operators to operate the asset, or operators under supervision of qualified, competent operators where they are undergoing training	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to contact with other assets, structures or other obstacles on site?	Preliminary Risk Score Extreme - 21
Risk Control Operation of asset is to cease if: un-authorized personnel enter work area (exclusion zone), visibility is limited or contact with other assets is likely	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to failure to select asset that is suitable for its intended use?	Preliminary Risk Score Extreme - 21
Risk Control Suitable asset is selected for task, risk assessment conducted where applicable	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to high pressure fluid?	Preliminary Risk Score Medium - 9
Risk Control Pre Start inspection conducted and recorded as per established and approved company process	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to high pressure fluid?	Preliminary Risk Score Medium - 9
Risk Control Spill kit available to clean potential spill	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to Asset attachment falling/coming undone (incl. excavator bucket)	Preliminary Risk Score High - 17
Risk Control Quick hitch system or pin utilised to ensure excavator attachments are secured	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to operation of asset near congested areas or traffic areas?	Preliminary Risk Score High - 13

Risk Control Traffic Management Plan/ Guidance scheme developed for site as per company process	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to operation of asset near congested areas or traffic areas?	Preliminary Risk Score High - 13
Risk Control Traffic management provisions clearly identified, implemented and communicated in line with current legislation	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to operation of asset near congested areas or traffic areas?	Preliminary Risk Score High - 13
Risk Control Audible alarms in place and functioning, alerting bystanders of asset movements	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to bystanders hit by swinging boom/attachment?	Preliminary Risk Score High - 13
Risk Control exclusion zone implemented	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to bystanders hit by swinging boom/attachment?	Preliminary Risk Score High - 13
Risk Control Spotter utilised where applicable	Residual Risk Score Low - 6

Maintenance & Servicing

Identified Risk Can anyone be injured due to maintenance and service not conducted appropriately?	Preliminary Risk Score Extreme - 21
Risk Control Asset serviced and maintained as per Maintenance manual and established and approved company process	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to lack of maintenance or service personnel competency?	Preliminary Risk Score Extreme - 21
Risk Control Only qualified and competent personnel to conduct maintenance and servicing work.	Residual Risk Score Medium - 10
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset?	Preliminary Risk Score High - 13
Risk Control Asset to be securely parked, brakes applied, as per SWMS/ SOP and Operators manual, in designated area	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to uncontrolled or unexpected movement of the asset?	Preliminary Risk Score High - 13
Risk Control All energy sources not required for the maintenance and servicing works are to be isolated prior to commencement of maintenance or servicing	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during maintenance and servicing?	Preliminary Risk Score High - 13
Risk Control Maintenance and servicing work conducted on isolated equipment where possible	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during maintenance and servicing?	Preliminary Risk Score High - 13

<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to crushing, stabbing, cutting, puncturing, entanglement, during maintenance and servicing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control All maintenance and servicing work is to be conducted as per approved company processes and Manufacturer Maintenance Manual</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to parts of the asset collapsing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control All maintenance and servicing work is to be conducted as per approved company processes and Manufacturer Maintenance Manual</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to parts of the asset collapsing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Regular, scheduled inspections undertaken for structural damage/ integrity</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to coming into contact with moving parts of the asset during testing, inspection, operation, maintenance, cleaning or repair?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Only qualified and competent personnel to conduct maintenance and servicing work.</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to coming into contact with moving parts of the asset during testing, inspection, operation, maintenance, cleaning or repair?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control All energy sources not required for the maintenance and servicing works are to be isolated prior to commencement of maintenance or servicing</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to coming into contact with moving parts of the asset during testing, inspection, operation, maintenance, cleaning or repair?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control follow established company process for isolating and returning to service of assets</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Lifting operations to be conducted by trained and competent operators only.</p>	<p>Residual Risk Score Medium - 9</p>
<p>Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Lifting operations to be conducted as per established and approved company process</p>	<p>Residual Risk Score Medium - 9</p>
<p>Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Rated, inspected lifting equipment to be used for lifting operations only</p>	<p>Residual Risk Score Medium - 9</p>
<p>Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Suspended loads never to be lifted over people</p>	<p>Residual Risk Score Medium - 9</p>

Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?	Preliminary Risk Score High - 13
Risk Control Trained, competent dogger or rigger required to complete lifting operation where judgement in relation to the suitability of lifting gear and the method of slinging is required.	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to loads being lifted during maintenance or servicing?	Preliminary Risk Score High - 13
Risk Control manual handling techniques considered before lift, mechanical aids utilised where possible	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to being thrown off or under asset?	Preliminary Risk Score High - 13
Risk Control The asset's safety critical components, such as handrails and stairs are to remain in place for maintenance and servicing works unless removal is critical. In this instance a risk assessment shall identify appropriate controls to ensure the health and safety of people on/ around the asset	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to being thrown off or under asset?	Preliminary Risk Score High - 13
Risk Control All energy sources not required for the maintenance and servicing works are to be isolated prior to commencement of maintenance or servicing	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to the asset, parts of the asset or work pieces disintegrating?	Preliminary Risk Score High - 13
Risk Control Only qualified and competent personnel to conduct maintenance and servicing work.	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to high pressure fluid?	Preliminary Risk Score High - 13
Risk Control Only qualified and competent personnel to conduct maintenance and servicing work.	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to high pressure fluid?	Preliminary Risk Score High - 13
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Medium - 8
Identified Risk Can anyone be injured due to high pressure fluid?	Preliminary Risk Score High - 13
Risk Control All maintenance and servicing work is to be conducted as per approved company processes and Manufacturer Maintenance Manual	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to damaged or poorly maintained electrical leads, cables, switches?	Preliminary Risk Score High - 13
Risk Control Electrical work to be conducted by trained and competent electricians only	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to damaged or poorly maintained electrical leads, cables, switches?	Preliminary Risk Score High - 13
Risk Control All maintenance and servicing work is to be conducted as per approved company processes and Manufacturer Maintenance Manual	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances?	Preliminary Risk Score High - 13

<p>Risk Control During filling operations the nozzle or pump are not to be left unattended</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to explosion of gases, vapours, liquids, dusts or other substances?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Only qualified and competent personnel to conduct maintenance and servicing work.</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to poor housekeeping, e.g. offcuts, cables, hoses obstructing walkways, spills not cleaned up?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Asset and work area to be free of debris, any loose parts, tools, rags, etc.</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to poor housekeeping, e.g. offcuts, cables, hoses obstructing walkways, spills not cleaned up?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Spill kit available to clean potential spill</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to poor housekeeping, e.g. offcuts, cables, hoses obstructing walkways, spills not cleaned up?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to lack of a proper work platform?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control The asset's safety critical components, such as handrails and stairs are to remain in place for maintenance and servicing works unless removal is critical. In this instance a risk assessment shall identify appropriate controls to ensure the health and safety of people on/ around the asset</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to excessive noise?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to inadequate or poorly placed lighting?</p>	<p>Preliminary Risk Score Medium - 8</p>
<p>Risk Control Sufficiently lit work area</p>	<p>Residual Risk Score Low - 5</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Workers trained and competent in working at heights</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Working at heights conducted as per established and approved company process</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk Can anyone be injured due to working at heights required?</p>	<p>Preliminary Risk Score High - 13</p>
<p>Risk Control Appropriate PPE is provided to workers and used accordingly</p>	<p>Residual Risk Score Low - 6</p>
<p>Identified Risk</p>	<p>Preliminary Risk Score</p>

Can anyone be injured due to working at heights required?	High - 13
Risk Control Appropriate fall arrest systems available and utilised to protect workers	Residual Risk Score Low - 6
Identified Risk Can anyone be injured due to exposure to hazardous chemicals, radiation or other emissions released by the asset?	Preliminary Risk Score Medium - 8
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to exposure to hazardous chemicals, radiation or other emissions released by the asset?	Preliminary Risk Score Medium - 8
Risk Control In-date Safety Data Sheets (SDS) (5 years) are available to all workers and understood prior to work commencement	Residual Risk Score Low - 5
Identified Risk Can anyone be injured due to hydrocarbons leak/spill?	Preliminary Risk Score Medium - 8
Risk Control Spill kit available to clean potential spill	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to hydrocarbons leak/spill?	Preliminary Risk Score Medium - 8
Risk Control Daily Pre-starts inspections conducted to identify damage/ leaks	Residual Risk Score Low - 3
Identified Risk Can anyone be injured due to manual handling?	Preliminary Risk Score High - 13
Risk Control manual handling techniques considered before lift, mechanical aids utilised where possible	Residual Risk Score Medium - 9
Identified Risk Can anyone be injured due to manual handling?	Preliminary Risk Score High - 13
Risk Control Appropriate PPE is provided to workers and used accordingly	Residual Risk Score Low - 6

Operator Acknowledgement

Unit ID PS05060543	Make Kobelco	Model SK55SRX-7	Type Excavator
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By signing this page I acknowledge that I have read and understood this Risk Assessment document, the risks identified and the control measures in place

Name	Date	Company/Position	Signature