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## **RISK ASSESSMENT**

***Australian Risk Management Standard AS/NZS 4360:200 defines a risk as;***

*“...the possibility of something happening that impacts on your objectives. It is the chance to either make a gain or a loss. It is measured in terms of likelihood and consequence.”*

### **Security Risk Assessments**

The assessment of risk is the basis upon which the genuine requirement for the use of a firearm is determined. The purpose of a risk assessment is to clearly identify potential risks and treatment options to minimise or eliminate those risks. Assessments must be undertaken for each and every job undertaken, not per client or per type of activity. The following generic information is intended as a guide only and not directed towards any specific type of security function or activity.

### **Risk Management Process**

The risk management (RM) process can be defined in the following context:

#### ***Establish the context***

Internal context, external context, risk management context, criteria development, structure **definition**.

This first step is crucial to the RM process and should include the terms of your engagement/reference (as the risk assessor) which includes the authority that has sought your services as a risk assessor and the scope of your engagement.

Examples of things you may consider at this point include, but are not limited to:

- Who is the client/organisation? Who owns the business?
- What is the core business? When do they operate?
- Where are they located?
- How many people do they employ?
- What type of environment do they operate in either politically, environmentally, socially, technologically, economically, legislative and/or organisationally?
- Who are the key stakeholders?
- What are the goals/operational plans of the organisation?



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KEEPING SA SAFE

- What are the crime statistics in the area? Has the organisation been the subject of crime within the last 10 years? Provide details of the incident/s.
- What are the organisations assets? (People, property, information, reputation)
- What methodology will you adopt for the risk assessment?

### **Identify the risks**

What can happen? How could these things happen? How and why could they happen? You should consider every possible outcome.

### **Analyse the risks**

What is the likelihood of each risk occurring? If it was to occur, what would the consequences be?

What are the existing controls in place to reduce or prevent the risk? Are there any in place? If so, what are they and how effective are they? Do they reduce the risk and if so, how do they do it and by how much?

### **Evaluate the risks**

Compare the risks to the criteria you have developed and set priorities - which risks must be treated first?

### **Treat the risks**

Identify all of your treatment options for each risk and assess your options, prepare and implement treatment plans. What other controls could be implemented to reduce the risks? If implemented, how do these treatment options change the level of risk?

### **Monitor and review the assessment outcomes**

Monitor treatments implemented and re-assess risks accordingly. In considering the information provided by security companies in justification of the number of firearms required, Firearms

Adjudication officers refer to the ***Australian Risk Management Standard AS/NZS 4360:2004*** and the ***Australian Risk Management Standard Guidelines***, companion to the standard. We expect that the risk assessments you provide will be in line with the standard.



Government  
of South Australia



**SOUTH AUSTRALIA POLICE**  
KEEPING SA SAFE

Copies of both the Standard and the Guidelines are available to order from Standards Australia.

Firearms Adjudicators also refer to the ***Cash in Transit Code of Practice*** (available from WorkSafe SA) as a guideline for CIT risk assessments. It is important to note that the risk assessment criteria contained within the CIT Code of Practice is not exhaustive.

## **Key Points**

Risk assessments **MUST**:

- include documentation covering each step of the risk management process.
- be undertaken in consultation with the client. The client must be satisfied that firearms are required to lower the identified risks and do not place their staff or customers (the public) at risk.
- clearly identify all risks along with the possible consequences and the likelihood of each, which may include examples of circumstances under which an adverse event is more likely to occur;
- clearly identify all treatment options that may be used to reduce the risk and explain how this would occur eg. increase external lighting around the premises - this will reduce the risk associated with break and enter offences by acting as a deterrent and will also allow for better identification of offenders/suspects should an attempt be made.
- include a risk rating for each risk that has been identified. Each risk should be rated 'before treatment' and then again once treatment has been implemented to demonstrate the reduction of the level of risk as a result of the methods adopted.
- be applicable to legislation and sources of reference material, statistics etc.
- provide a statement clearly indicating how the possession of a firearm will mitigate identified risks.

## **What is NOT a Risk Assessment**

A risk assessment is **NOT**:

### **Standard Operating Procedures (SOP's)**

Standard Operating Procedures are a set of instructions, rules and/or guidelines that are followed to carry out a particular task or that are adopted in certain situations or under prescriptive circumstances e.g. When carrying out an assessment to determine the genuine requirement and need for firearms, one of the items we request is a copy of your company's SOP's in relation to the safekeeping of a firearm and the retention of a firearm when the security of the firearm is compromised. Although it is considered important to have SOP's in place for a number of different purposes, they do not constitute risk assessments.



**SOUTH AUSTRALIA POLICE**  
KEEPING SA SAFE

### **A record of general observations from a 'site assessment'**

Observations about the environment in which security activities are carried out play a very important role in establishing the context of a risk assessment and in the identification and treatment of risks. However, on their own they are of no substance. These observations are made during a 'site assessment' in order to survey the environment as a means of commencing a risk assessment or reviewing an existing assessment.

### **An OH&S report or assessment**

The risk assessments that we ask for are security risk assessments. As an employer, you have certain obligations under the OH&S Act 1986 (revised 2010) to assess and minimise risk to your employees. OH&S and security risks are often closely related in the security industry and as such, it is expected that you will address both accordingly in your assessment. However, we will not accept an assessment based almost entirely on OH&S risks that does not adequately address security risk. If you identify, for example, thirty OH&S risks for a particular job this does not mean that you need only include a few security risks. By the same token, if you have identified sixty security risks, it is not acceptable to overlook any number of OH&S concerns.

### **A collection of maps**

The inclusion of maps, drawings, diagrams and photographs in risk assessments is logical and they are often a very useful supporting feature. However, on their own or with minimal supporting written assessment these images are not effective at all and are also extremely unlikely to meet Australian standards.

### **A synopsis**

From time to time, we may request a synopsis of a risk assessment, however it is important to note that we will not accept any type of summary as the risk assessment itself. You must provide a complete copy of the risk assessment in order to satisfy submission requirements.

Please note again that the information provided here is intended as a guide for you only and will provide you with an understanding of the type of information upon which your assessment will be made. In seeking or accepting a risk assessment from a qualified person you should ensure that SA Police requirements are met. It is strongly recommended that you refer to the **Australian Risk Management Standard AS/NZS 4360:2004** to ensure that your risk assessments meet Australian Standards. The Australian Standard guidelines include risk assessment table templates (suggested use) which you may use to structure your response.



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**SOUTH AUSTRALIA POLICE**  
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Identified risks to safely manage the task	Likelihood	Consequence	Level of Risk	Actions to Treat Risk	Residual Risk



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**Table 1. Qualitative Risk Table – Likelihood Rating Table**

DESCRIPTOR	DESCRIPTION				
	Perception	Anecdotal	Factual	Opportunism	Probability
<b>Rare</b>	The event may occur only in exceptional circumstances	N/A	N/A	N/A	<1 % Only occur as a greater than '100 year event'.
<b>Unlikely</b>	The event could occur at some time	No recorded incidents or anecdotal evidence	No recent incidents in associated organisations, facilities or communities	Little opportunity, reason or means to occur	>1 % May occur but not anticipated Could occur in 'decades'
<b>Possible</b>	The event might (or should) occur at some time	Few, infrequent, random recorded incidents or little anecdotal evidence	Very few incidents in associated or comparable organisations, facilities or communities	Some opportunity, reason or means to occur	>20 % May occur but against short term probabilities Could occur in 'years'
<b>Likely</b>	The event will probably occur in most circumstances	Regular recorded incidents and strong anecdotal evidence	N/A	Considerable opportunity, reason or means to occur	>50 % Balance of probability it will occur Could occur within 'weeks to months'
<b>Almost Certain</b>	The event is expected to occur in most circumstances	High level of recorded incidents and / or strong anecdotal evidence	Strong likelihood the event will recur	Great opportunity, reason or means to occur	99 % Risk is occurring now Could occur within 'days to weeks'

Note 1: This table is adapted from the EMA's *Emergency Risk Management Application Guide* (2004: 53) which is more expansive than AS/NZS 4360:2004 *Risk Management*  
 Note 2: The word 'year' in the phrase 'in any given year' in the Probability Column may be substituted for any appropriate time-frame relevant to the event. This may include 'hour', 'duration of the event', 'day', 'week', or 'month'.



**Table 2. Qualitative Risk Table - Consequence Rating Table**

Consequence			
<b>Insignificant</b>	Only advice or directions sought.	No injuries (No injury, low financial cost)	Minimal, limited impact on the achievement of the aim.
<b>Minor</b>	Requires a little effort to resolve (time, personnel, or resources). No potential harm involved.	Injuries requiring first aid only (Superficial injury/illness, medical treatment required but no permanent disability)	Minor impediment and / or inefficiencies on the achievement of the aim.
<b>Moderate</b>	Moderately serious, potential harm involved, prompt attention required.	Injuries requiring medical treatment only (Injury incurring > 5 days lost time, financial loss > \$5000)	Impedes and / or causes extensive inefficiencies on the achievement of the aim.
<b>Major</b>	Serious, potentially life-threatening, immediate attention required.	Significant occupational, health, safety and injury management incident/s (Severe injury/illness, lengthy convalescence or permanent disability, > 10 days lost time)	Substantially impedes the achievement of the aim
<b>Catastrophic</b>	Serious, life-threatening, urgent attention required.	Very serious welfare & injury management incident/s (Death of one or more persons, major property damage, huge financial loss)	Prevents and / or not able to achieve the aim





**SOUTH AUSTRALIA POLICE**  
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**Table 3. Qualitative Risk Analysis Matrix – Level of Risk**

Likelihood	Consequence				
	Insignificant	Minor	Moderate	Major	Catastrophic
<b>Almost Certain</b>	Moderate	Significant	Significant	High	High
<b>Likely</b>	Moderate	Moderate	Significant	Significant	High
<b>Possible</b>	Low	Moderate	Moderate	Significant	Significant
<b>Unlikely</b>	Low	Low	Moderate	Moderate	Significant
<b>Rare</b>	Low	Low	Low	Moderate	Significant

Note: This is an adaptation of AS/NZS 4360:2004 *Risk Management* (Table 6.6) and EMA's *Emergency Risk Management Applications Guide* (2004: Appendix F).



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