CONTENTS

Preface xvii
Foreword xxi
List of Contributors xxiii
About the Companion Websites xxv

1 Risk Assessments: Their Significance and the Role of the Safety Professional 1
   Fred A. Manuele
   1.1 Objectives, 1
   1.2 Introduction, 1
   1.3 What is a Risk Assessment? 2
   1.4 Activities at the American Society of Safety Engineers (ASSE), 2
   1.5 An Example of a Guideline that gives Risk Assessment due Recognition, 3
   1.7 ANSI/ASSE Z590.3-2011: Prevention through Design: Guidelines for Addressing Occupational Hazards and Risks in Design and Redesign Processes, 4
   1.8 THE ANSI/ASSE Z690-2011 Series, 6
   1.9 ANSI B11.0-2015: Safety of Machinery. General Safety Requirements and Risk Assessment – A Standard of Major Consequence, 7
   1.10 European Union: Risk Assessment, 8
   1.11 EN ISO 12100-2010: Safety of Machinery. General Principles for Design. Risk Assessment, and Risk Reduction, 8
   1.12 Additional European Influence, 9
   1.14 Certain Governmental Views, 11
   1.14.1 Risk Reduction Program, 12
## CONTENTS

1.15 Canada, 12  
1.16 Fire Protection, 13  
1.17 Developments in Aviation Ground Safety, 13  
1.18 OSHA Requirements, 14  
1.19 EPA Requirements, 15  
1.20 The Chemical Industry: The Extensive Body of Information, 16  
1.21 Conclusion, 16  
Review Questions, 16  
References, 17  
Appendix I.A: A List of Standards, Guidelines, and Initiatives That Require or Promote Making Risk Assessments: Commencing with Year 2005, 18

### 2 Risk Assessment Standards and Definitions

_Bruce Hollcroft & Bruce K. Lyon_

2.1 Objectives, 23  
2.2 Introduction, 23  
2.3 The Need for Risk Assessments, 24  
2.4 Key Standards Requiring Risk Assessments, 24  
2.5 OSHA Compliance and Risk Assessments, 24  
2.5.1 1910.132, Personal Protective Equipment Standard, 25  
2.5.2 1910.119, Process Safety Management Standard, 25  
2.5.3 Other OSHA Standards, 26  
2.6 Consensus Standards Requiring Risk Assessment, 27  
2.8 ISO 31000/ANSI/ASSE Z690 Risk Management Series, 28  
2.9 ANSI/ASSE Z590.3-2011, Prevention through Design, 29  
2.10 ANSI B11.0 Machine Safety, 30  
2.11 NFPA 70E, 31  
2.13 Key Terms and Definitions, 32  
2.14 Summary, 46  
Review Questions, 47  
References, 47

### 3 Risk Assessment Fundamentals

_Bruce Hollcroft & Bruce K. Lyon_

3.1 Objectives, 49  
3.2 Introduction, 49  
3.3 Risk Assessment within the Risk Management Framework, 50  
3.4 Risk Assessments and Operational Risk Management Systems, 51  
3.5 The Purpose of Assessing Risk, 52  
3.6 The Risk Assessment Process, 53  
3.7 Selecting a Risk Assessment Matrix, 53  
3.8 Establishing Context, 55  
3.9 The Risk Assessment Team, 57  
3.10 Hazard/Risk Identification, 58
CONTENTS

3.11 Risk Analysis, 59
   3.11.1 Consequence Analysis, 59
   3.11.2 Likelihood Analysis, 59
   3.11.3 Assessment of Controls, 60
3.12 Risk Evaluation, 60
3.13 Risk Treatment, 61
3.14 Communication, 61
3.15 Documentation, 62
3.16 Monitoring and Continuous Improvement, 63
3.17 Summary, 64
   Review Questions, 64
   References, 64

4 Defining Risk Assessment Criteria 67
Bruce K. Lyon & Bruce Hollcroft

4.1 Objectives, 67
4.2 Introduction, 67
4.3 Defining Risk Criteria, 68
4.4 Risk Scoring Systems, 69
4.5 Risk Assessment Matrices, 71
4.6 Defining Risk Values, 71
   4.6.1 Qualitative Risk Models, 72
   4.6.2 Semiquantitative Risk Models, 72
   4.6.3 Quantitative Risk Models, 73
4.7 Risk Factors, 74
4.8 Risk Levels, 74
4.9 Risk Scoring, 75
4.10 Severity of Consequence, 76
4.11 Likelihood of Occurrence, 77
4.12 Exposure, 79
4.13 Risk Reduction and the Hierarchy of Controls, 79
   4.13.1 Using a Protection Factor, 83
4.14 Acceptable and Unacceptable Risk Levels, 84
4.15 Documenting Risk, 85
4.16 Communicating Risk Criteria, 88
4.17 Summary, 88
   Review Questions, 88
   References, 89
   Appendix 4.A, 90

5 Fundamental Techniques 91
Bruce K. Lyon

5.1 Objectives, 91
5.2 Introduction to Fundamental Hazard Analysis and Risk Assessment, 91
5.3 Assessments Within an Operational Risk Management System, 93
5.4 Hazard Analysis Versus Risk Assessment, 94
5.5 The Hazard Analysis and Risk Assessment Process, 96
5.6 Fundamental Methods, 99
CONTENTS

5.7 Informal Methods, 100
5.8 Formal Methods, 103
  5.8.1 Fundamental Hazard Analysis, 103
  5.8.2 Pretask Hazard Analysis, 104
  5.8.3 Job Hazard Analysis, 104
  5.8.4 Fundamental Risk Assessment, 109
  5.8.5 Job Risk Assessment, 110
5.9 Conclusion, 112
  Review Questions, 112
  References, 113
  Appendix 5.A, 114
  Appendix 5.B: Common Hazards and Descriptions, 115
  Appendix 5.C: Personal Protective Equipment Hazard Assessment
      Form Example, 118
  Appendix 5.D: Job Hazard Analysis Form Example, 119

6 What-If Hazard Analysis

Bruce K. Lyon

  6.1 Objectives, 121
  6.2 Introduction, 121
  6.3 Overview and Background, 121
  6.4 Process Hazard Analysis, 122
  6.5 Mandated Assessments, 123
  6.6 What-If Analysis and Related Methods, 125
      6.6.1 Brainstorming – Structured and Unstructured, 125
      6.6.2 Checklist Analysis, 126
      6.6.3 What-If Hazard Analysis, 127
      6.6.4 What-If/Checklist, 130
      6.6.5 Structured What-If Technique (SWIFT), 131
      6.6.6 Hazard and Operability (HAZOP) Study, 135
  6.7 Risk Scoring and Ranking, 137
  6.8 Application of “What-If”, 139
  6.9 Conclusion, 143
      Review Questions, 143
      References, 144

7 Preliminary Hazard Analysis

Georgi Popov & Bruce K. Lyon

  7.1 Objectives, 145
  7.2 Introduction, 145
  7.3 Preliminary Hazard List, 147
  7.4 PHAs and their Application, 147
  7.5 The Control of Hazardous Energy, 148
  7.6 Fundamental System Safety Tenets, 149
  7.7 Conducting a PHA, 150
  7.8 Scoring Systems, 152
  7.9 Practical Application, 153
  7.10 Summary, 157
CONTENTS

Review Questions, 157
References, 157
Practical Example, 161

8 Failure Mode and Effects Analysis
Georgi Popov & Bruce K. Lyon

8.1 Objectives, 163
8.2 Introduction, 163
8.3 Purpose and Use, 164
8.4 Defining Failure Modes, 166
8.5 Risk Description Considerations, 167
8.6 FMEA Process Steps, 172
8.7 Practical Application, 175
8.8 Summary, 176
Review Questions, 179
References, 179
Practical Example – Assignment #2 – FMEA, 179

9 Bow-Tie Risk Assessment Methodology
Georgi Popov & Bruce K. Lyon

9.1 Objectives, 181
9.2 Introduction, 181
9.3 History, 182
9.4 Overview, 182
9.5 Bow-Tie Methodology, 184
9.6 Practical Application, 186
9.6.1 Case Study #1: Spray Paint Operation, 186
9.6.2 Case Study #2: Bhopal Disaster, 193
9.7 Summary, 195
Review Questions, 195
References, 196
Appendix 9.A: QAP Corporation – Annual Report, 196

10 Design Safety Reviews
Bruce K. Lyon

10.1 Objectives, 209
10.2 Introduction, 209
10.3 Challenges and Obstacles to Overcome, 211
10.4 Standards Requiring Design Safety, 214
10.5 The Review of Designs, 215
10.6 Hazardous Energy Control, 216
10.7 Ergonomic Review of Designs, 217
10.8 Design Review Process, 218
10.9 Hazard Analysis and Risk Assessment in Design, 220
10.10 Conclusion, 224
Review Questions, 225
References, 225
11 Risk Assessment and the Prevention Through Design (PtD) Model
Georgi Popov, Bruce K. Lyon, & John N. Zey

11.1 Objectives, 227
11.2 Introduction, 227
11.3 The Concept of Prevention Through Design (PtD), 229
11.4 Risk Assessment Process and the PtD Model, 229
11.5 Case Study, 234
11.5.1 Methods, 234
11.5.2 Results, 234
11.5.3 Occupational Size-Selective Criteria and Particles Size Sampling, 237
11.6 PtD and the Business Process, 243
11.7 Summary, 244

Review Questions, 244
References, 244

12 Industrial Hygiene Risk Assessment
Georgi Popov, Steven Hicks, & Tsvetan Popov

12.1 Objectives, 247
12.2 Introduction, 247
12.3 Fundamental Concepts, 248
12.4 Anticipating and Identifying Occupational Health Risks, 249
12.5 Determining Occupational Health Risks, 250
12.5.1 Health Risk Rating Methodology, 250
12.5.2 Exposure Rating Methodologies, 251
12.5.3 Health Effect and Exposure Methodology, 251
12.5.4 COSHH Essentials Tool, 251
12.5.5 OSHA's Calculation for Mixtures, 254
12.5.6 The ART Tool, 254
12.5.7 Stoffenmanager, 254
12.6 Health Risk Assessments and Prioritization, 255
12.7 Modified HRR/IH FMEA Methodology, 256
12.8 Control Banding Nanotool, 261
12.9 Dermal Risk Assessment, 261
12.10 Occupational Health Risk and PTD Process Alignment, 262
12.11 Summary, 264

Review Questions, 265
References, 265

13 Machine Risk Assessments
Bruce K. Lyon

13.1 Objectives, 267
13.2 Introduction, 267
13.3 Machine Safety Standards, 268
13.4 Machine Hazards, 270
13.5 Machine Safeguarding, 271
13.5.1 Machine Safety Control Systems, 273
### CONTENTS

13.6 Selecting Machines for Assessment, 274  
13.7 Risk Assessment of Machines, 274  
13.8 Estimating Risk, 278  
13.9 Case Study, 279  
13.10 Assessment of Machine Maintenance and Service, 282  
13.10.1 Risk Assessment Process, 284  
13.10.2 Risk Reduction Process, 285  
13.11 Summary, 285  
Review Questions, 286  
References, 286  
Appendix 13.A: Machine Safeguards Methods, 287  

14 Project-Oriented Risk Assessments  

Bruce K. Lyon  

14.1 Objectives, 291  
14.2 Introduction, 291  
14.3 Fatalities and Serious Incidents, 293  
14.4 Error Traps in Nonroutine Tasks, 294  
14.5 Management of Change, 294  
14.6 Construction Project Work, 296  
14.7 Construction Project Risk Assessment, 297  
14.8 Safe Work Methods, 299  
14.9 Pretask Hazard Analysis, 301  
14.10 The Use of Checklists, 303  
14.11 Maintenance and Service Work, 304  
14.12 Operating Hazard Analysis, 305  
14.13 Analyzing Specific Hazards, 308  
14.14 Pre-Entry Hazard Analysis, 308  
14.15 Fall Hazard Assessment, 311  
14.16 Summary, 317  
Review Questions, 317  
References, 317  

15 Food Processing Risk Assessments  

Georgi Popov, Bruce K. Lyon, & Ying Zhen  

15.1 Objectives, 319  
15.2 Overview, 319  
15.3 Introduction to Food Risk, 320  
15.4 Risk Assessment Techniques in the Food Industry, 320  
15.5 Food Safety-Related Hazards, 321  
15.5.1 Biological Food Hazards, 321  
15.5.2 Chemical Food Hazards, 322  
15.5.3 Physical Food Hazards, 323  
15.6 Techniques for Assessing Food Risk, 323  
15.7 Hazard Analysis and Critical Control Points, 324  
15.8 Integration of Risk Assessment Methods, 325  
15.9 PtD and HACCP Integration, 338  
15.10 Conclusions, 339
Review Questions, 340
References, 340

16  Ergonomic Risk Assessment  
*Bruce K. Lyon & Georig Popov*

16.1 Objectives, 343  
16.2 Introduction, 343  
16.3 Ergonomics and Design, 344  
16.4 Ergonomic Hazards, 345  
16.5 Ergonomic Risk Factors, 346  
16.6 Establishing an Ergonomics Assessment Process, 346  
16.6.1 Scope and Context, 348  
16.6.2 Goals and Objectives, 348  
16.6.3 Responsibilities, 348  
16.6.4 Training, 348  
16.6.5 Ergonomics Team, 348  
16.7 Assessing Ergonomic Risk, 349  
16.8 Ergonomics Improvement Process, 350  
16.8.1 Identify Jobs, 350  
16.8.2 Assessment Tools, 351  
16.8.3 Assessment Team, 352  
16.8.4 Performing the Assessments, 352  
16.8.5 Identifying Corrective Measures, 353  
16.8.6 Implementing Measures, 353  
16.8.7 Verify and Refine, 353  
16.8.8 Communicate Results, 354  
16.9 ERAT: A Practical Assessment Tool, 354  
16.9.1 ERAT Example: Pork Processing Belly Grader, 356  
16.10 Conclusion, 359

Review Questions, 360
References, 360
Appendix 16.A: Sample Ergonomic Responsibilities for Involved Stakeholders, 361
Appendix 16.B: Sample Ergonomics Training for Involved Stakeholders, 363
Appendix 16.E: Hierarchy of Ergonomic Risk Controls, 367

17  Assessing Operational Risks at an Organizational Level  
*Bruce K. Lyon*

17.1 Objectives, 369  
17.2 Introduction, 369  
17.3 Risks to an Organization, 370  
17.4 Organizational Risk Management, 371  
17.5 Key Definitions in Organizational Risk, 372
18 Risk Assessment Applications in Lean Six Sigma and Environmental Management Systems

Georgi Popov

18.1 Objectives, 389
18.2 Introduction, 389
18.3 Environmental Management Systems (EMS), 390
18.4 ISO 14001 Implementation, 390
    18.4.1 Environmental Policy and Planning, 392
    18.4.2 Environmental Aspects, 393
    18.4.3 Identify Environmental Aspects, 395
    18.4.4 Identification Process, 395
    18.4.5 Location, Department, Index, and Aspect, 396
    18.4.6 Impacts to Environmental Properties, 397
    18.4.7 Impact Subtotal and Polarity Adjustment, 397
    18.4.8 Impact Severity, 398
    18.4.9 Impact Probability, 398
    18.4.10 Frequency, 400
    18.4.11 Legal Risks, 400
    18.4.12 Current Controls, 401
    18.4.13 Significance Score for Significance Scores without Controls Section, 401
    18.4.14 Personnel Risk, 401
    18.4.15 Significance Scores with Controls Section, 403
    18.4.16 Overall Significance Rating Chart, 403
18.5 EMS and Implementation of Lean Six Sigma Practices, 404
18.6 Conclusions, 407
    Review Questions, 407
    References, 408

19 Business Aspects of Operational Risk Assessment

Elyce Biddle

19.1 Objectives, 409
19.2 Introduction, 409
19.3 The Business Case Development Tool, 410
    19.3.1 Steps of the Tool, 411
19.4 Business Case Examples, 412
    19.4.1 Case Example One: Post Incident, 412
    19.4.2 Case Example Two: Regulatory Requirement, 413
    19.4.3 Case Example Three: Operational, 416
    19.4.4 Case Example Four: Postoperational, 418
19.5 Conclusion, 424
    Review Questions, 424
    References, 424
20 Risk Assessment: Global Perspectives

Jim Whiting

20.1 Objectives, 427
20.2 Introduction, 427
20.3 Using ISO 31000 for Maturity Assurance and Conformity, 428
20.5 Global Comparison of Risk Tolerance Criteria, 432
   20.5.1 Individual Risk, 432
   20.5.2 Societal Risk, 433
20.6 Tolerability Criterion for Individual Risk, 433
20.7 Tolerability Criteria for Planning New Operations, 435
20.8 Investment to Prevent a Fatality, 436
20.9 Shifting the Paradigm from Absolute Safety to Risk Management, 438
   20.9.1 What Is Reasonably Practicable? 438
20.10 Moving Toward Risk-Based Language for more Effective Risk Conversations, 440
20.11 A Cautionary Concluding Note, 440

Review Questions, 440
References, 441
Appendix 20.A: Better Terminology and Language for Risk-Based Conversations, 442

Index