

Risk and OHS planning



2019: Guidance from HWS

Developing an accurate Risk Register and completing a Compliance Statement are essential annual processes for all Faculties, Institutes, Portfolios and Other Areas of the University.

The obligation

At the start of each calendar year, all areas of the University are required to develop updated and accurate documents that demonstrate that risks are understood and managed effectively, and that health and safety is a priority. This requirement is outlined in the [University's Health, Wellbeing and Safety policy](#).

The existing process has been revised with a view to simplifying the process and to renew the focus on compliance with regulatory requirements. Therefore there are now only two items that must be supplied:

- A Risk Register
- A Compliance Statement.

In the past an activity plan and Health Wellbeing and Safety (HWS) plan have also been requested. Areas may choose to continue to prepare these plans however the HWS team no longer needs to receive a copy of them.

Developing these documents and ensuring the content is an accurate reflection of the current situation is the responsibility of the most senior manager in the area, who must sign them once complete. As required by the OHS Act consultation (see below) must take place prior to their final sign off.

These documents are used by the University's HWS team, the University's Internal Risk and Audit team and other stakeholders to validate the University's OHS policy and aid in planning activities and further risk mitigation.

The register and Compliance Statements will be audited and reviewed by HWS once received.

How to develop your 2019 documents

There are two ways you can develop your 2019 Risk Register and Compliance Statement:

1. Work through the following guidance using the templates provided.
2. Attend a workshop in March where the HWS team will guide you through this process.

It is recommended that step 1 is attempted even if you do decide to come to a workshop. This will enable attendees to generate their Risk Register during the workshop.

Note that senior managers who have sign off responsibilities on these can attend workshops, or delegates can attend instead.

Scheduling and support

There are a number of steps in this process, some of which differ from the approach undertaken in previous years.



March 2019 - Step 1: Work through the templates using this document as a guide. Gather information on risks and activities by consulting with relevant stakeholders within your area.

March 2019 – Step 2: If additional assistance is required you or your delegates can attend a workshop. Attendees must come with information required in order to populate their templates. Attendance is not mandatory but is encouraged.

Workshops will be conducted in March 2019. Further details on dates and locations will be provided.

March 1 2019 – Step 3: Completed Risk Registers and Compliance Statements are due to be submitted to HWS by **April 30, 2019**.

Prior to end of September 2019 – Step 4: By September 2019 the HWS team will conduct audits or reviews on all areas to confirm:

- The Risk Registers are accurate and reflect the current state in your Faculty, Institute or Other Area
- Actions are being undertaken to ensure compliance.

The outcomes of these audits will be tracked at quarterly University HWS Committee meetings. Further detail, including dates that audits will be conducted for your area will be provided by April 30.

Developing your Risk Register.

A Risk Register is a comprehensive list of all hazards that may impact your area of responsibility and explains how they are being controlled.

Who should be consulted?

Managers must ensure that the Risk Register is produced in consultation with staff so they are an accurate reflection of risks in your area of responsibility. This means working with:

- **Health and Safety Representatives** who act on behalf of and represent their designated work group.
- **Managers and supervisors** at a range of levels.
- **Technical staff** who have responsibility for particular locations or tasks.
- **Staff** who are responsible for student activities, work placements or field trips or who coordinate the work of visitors or contractors.
- **Health and safety professionals** working in your Faculty or area, or from within the central HWS team.
- **Other stakeholders** that may be relevant to your Division, Faculty or area such as Student Life or Inclusion and Diversity as appropriate.

Ensure time is allocated to gather input from all relevant stakeholders and to allow them to review the register in draft form.

What is the scope?

It's important your Risk Register contains all risks in your area that are associated with University work, facilities, events, learning environments or experiences that may impact on the OHS of:

- **Employees** of the University including full time, part-time and casual employees, those who are on fixed term contracts and those in ongoing positions, those who work on Campus, those who travel for work and those who work from home.
- **Contractors** of any sort.
- **Visitors** to any Deakin University facility or Campus.
- **Students** who may be attending courses on Campus, off-campus, on placement or on any sort of University organised field trip.

If an activity is not related to or organised by the University then it does not need to be included on the register. If you are unsure, please include it and then seek guidance from the HWS team.

Methodology

The spreadsheet is structured with the following headings that need populating:

- Hazard
- Hazard description and potential consequence
- Inherent risk (Likelihood and consequence)
- Controls
- Residual risk
- Further controls.

It is recommended that you work through the spreadsheet line by line. It may be easier to gather relevant stakeholders together and complete the work as a team to ensure information is captured and various opinions and perspectives are taken into account.

What are some of the hazards to consider?

It can be useful to work through risks in a systematic way to ensure you have considered all of those that are relevant to your area.

Examples are provided below:

Physical hazards include electricity, radiation, pressure, noise, heights, vibration, confined spaces, machinery and vehicles.

Chemical hazards include substances, mixtures and materials that may have an adverse effect on human health via through inhalation, skin contact or ingestion. They include asbestos, flammable gases or liquids, corrosive, oxidising or explosive substances.

Biological hazards include pathogenic micro-organisms, viruses, biological toxins, spores, fungi, bio-active substances, biological vectors or transmitters of disease.

Ergonomic hazards include repetitive movement, manual handling, workplace/job/task design, computer and sedentary work, and poor body positioning.

Psychosocial hazards include bullying, aggression, violence, fatigue, mental stress and remote or isolated work.

A specific ergonomic hazard may be described as follows:

Bending and lifting in order to move boxes and other heavy items resulting in the risk of musculoskeletal injuries and pain such as muscle strains, bulging discs, and ligament damage or crush injuries to hands/feet.

Determining risk

Understanding the likelihood and consequence can be done by using the risk matrix, on the final tab of the register template. These two factors give an indication of what the overall risk level for each hazard.



Initial risk represents the likelihood the worst outcome could occur and the consequences if it did, without any safeguards or controls to prevent it from happening.

Residual risk represents the current risk after controls are taken into account. As a result of implementing effective controls, the initial risk should be reduced to acceptable levels.

Controls

Controls are ways to reduce, or mitigate, risk. When identifying controls, the hierarchy of controls (see final tab on spreadsheet) should be used as some controls such as elimination, are more effective than others. Under the OHS Act managers are required to reduce risks as far as reasonably practicable (S 4 (2))

Completing your Compliance Statement.

A Compliance Statement is evidence that senior leaders in each area of the University understand risks relevant to their Faculty, institute or other area, and how they are being controlled.

Who should be consulted?

The Compliance Statement provides a summary to the University that senior managers are satisfied that risks in their areas are being controlled effectively and, as a result, the University is compliant with requirements outlined in the Victorian OHS regulations, and our own requirements.

Managers who are required to sign these documents should again consult with key stakeholders to ensure they have appropriate information available to them that will ensure their attestation of compliance is true and evidence shall be available to verify this when audits are conducted.

Consultation should include (where applicable):

- **Health and Safety Representatives (HSRs)** who act on behalf of and represent their Designated Work Group (DWG).
- **Managers and supervisors** at a range of levels.
- **Technical staff** who have responsibility for particular locations or tasks.
- **Employees** who are responsible for student activities, work placements or field trips or who coordinate the work of visitors or contractors.
- **Health and safety professionals** working in your Faculty or area, or from within the central HWS team.
- **Other stakeholders** that may be relevant to your Division, Faculty or area such as Student Life or Inclusion and Diversity as appropriate.

Ensure time is allocated to gather input from all relevant stakeholders and to allow them to review the register in draft form.

The audit process.

In 2019, Risk Registers and Compliance Statements will be audited by the HWS team. Outcomes of audits will be used to identify issues or areas of non-compliance and determine if additional support, tools and guidance is required to achieve compliance.

Details of audit timings and process will be shared with areas once Risk Registers and Compliance Statements have been received. Audits will be coordinated by the HWS team. The focus will be on verification that activities that support compliance are planned, resourced and are being undertaken in a timely manner.

Once completed, a draft audit report will be supplied to the area for review. Results will be summarised and reported on at quarterly HWS Committee meetings, as well as discussed with local stakeholders.