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1. Purpose

The purpose of this Standard is to ensure OHS risk management is an integral part of all University operations. This means the consideration of OHS risks will be part of research, teaching, partnerships, tenancies, purchasing, design, change processes, system building and project planning processes (see also [University Risk Management Procedure](#)). This in turn will ensure compliance with the OHS legislation and the University's Health, Wellbeing and Safety policy.

2. Minimum Compliance Requirements

To comply with the OHS Act, the responsible manager must carry out and document the following:

- Identify the OHS risks associated with any new activity, material or equipment.
- The identified OHS risks must be considered and if they are not clearly low then a formal Risk Assessment must be carried out.
- The Risk Assessment consists of the following steps:
 - Considering the context of the activity, material or equipment
 - Identifying the associated hazards and how they create an OHS risk in this situation
 - Considering any existing control measures and how they reduce the risk
 - Assessing the risk level as appropriate either overall or for components of the activity, material or equipment taking into account existing control measures
 - Identifying and considering additional control measures that will reduce the risk further
 - Assigning and scheduling the additional control measures
 - Assessing the final risk level
 - Making a record of the above steps and keeping that record for five years

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- Reviewing the control measures to ensure they have been implemented and have reduced the risk.
- If at any stage of the Risk Assessment, the risks are judged to be Medium or higher then this must be recorded on the relevant Unit or Project Risk Register and monitored quarterly.
- Even if the risks are determined to be Low, it is recommended that a record be kept of the determination including the rating, date carried out and who made the determination.

The University and its managers must ensure that OHS risk are eliminated so far as is reasonably practicable, or if it is not possible to do so, that the risks are minimized so far as is reasonably practicable (according to the [Hierarchy of Controls](#)).

3. Definitions

Hazard	A hazard is any situation, substance, activity, event or environment that could potentially cause an injury or illness.
Risk	Risk is the likelihood of injury or harm resulting from exposure to a hazard.
Risk Assessment	The process consists the steps under the Minimum Compliance Requirements section. This needs to be supported by communication and consultation as well as monitoring of controls and review of their effectiveness.
Hierarchy of Controls	The priority order under the OHS Act that must be applied to control measures

4. Legislative requirements under the OHS Act for managing risk

Section 4: The principles of health and safety protection

- (1) The importance of health and safety requires that employees, other persons at work and members of the public be given the highest level of protection against risks to their health and safety that is reasonably practicable in the circumstances.
- (2) Persons who control or manage matters that give rise or may give rise to risks to health or safety are responsible for eliminating or reducing those risks so far as is reasonably practicable.

Section 20: The concept of ensuring health and safety (General duties relating to health and safety)

- (1) To avoid doubt, a duty imposed on a person by this Part or the regulations to ensure, so far as is reasonably practicable, health and safety requires the person—
 - (a) to eliminate risks to health and safety so far as is reasonably practicable; and
 - (b) if it is not reasonably practicable to eliminate risks to health and safety, to reduce those risks so far as is reasonably practicable.
- (2) To avoid doubt, for the purposes of this Part and the regulations, regard must be had to the following matters in determining what is (or was at a particular time) reasonably practicable in relation to ensuring health and safety—
 - (a) the likelihood of the hazard or risk concerned eventuating;
 - (b) the degree of harm that would result if the hazard or risk eventuated;
 - (c) what the person concerned knows, or ought reasonably to know, about the hazard or risk and any ways of eliminating or reducing the hazard or risk;
 - (d) the availability and suitability of ways to eliminate or reduce the hazard or risk;

5. Responsibilities

As stated in the [OHS Responsibilities](#) section of the OHS Manual, all managers have a responsibility to actively manage the OHS risks in their area. In addition all staff members have responsibilities to keep their work spaces safe, not expose themselves, a colleague, a student or any other person to risk of harm and report health and safety hazards.

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Staff members and contractors are responsible for:

- assisting with the identification of hazards, the assessment of risks and implementation of risk control measures;
- reporting promptly any incident, accident or hazard in the workplace to their manager or supervisor; and
- using the required control measures, working safely and not putting themselves or others at risk of injury.

Academics (in charge of classes, study units or research teams), Managers and Supervisors are responsible for:

- organising risk assessments and ensuring they are undertaken and documented,
- maintaining, regularly monitoring and reviewing control measures
- consulting workers and their health and safety representatives at each step of the risk management process;
- informing staff and students fully about hazards associated with activities being carried out
- adequately training and instructing staff and students in control measures and safe working procedures
- providing appropriate level of supervision especially to inexperienced staff and students
- allocating the resources required to prevent injury and minimise risk
- providing contractors/sub-contractors and their workers with information about known hazards of the environment in which they will work to enable them to determine an appropriate safe system of work
- providing volunteers and visitors with appropriate information about any hazards and control measures.

Contractors, sub-contractors and their workers are responsible:

- taking appropriate steps to identify hazards, risk assess them and implement risk control measures for all reasonably foreseeable hazards arising from, or in the vicinity of, the works which may affect the health or safety of staff or other people at the workplace, and
- for informing the University staff member who engaged them of those hazards and planned risk control measures.

Executive Deans, Heads of Schools, and (Executive) Directors are responsible for maintaining and refreshing risk management processes within their responsible areas, specifically:

- the regular review of hazards within all areas (Risk Register)
- ensuring staff are aware of their responsibilities, and are provided with adequate information, instruction and training (induction, refresher and competency training);
- encouraging the reporting of hazards and taking appropriate actions when hazards are reported (Incident Reporting)
- maintaining workplace inspections and the assurance that corrective actions are implemented
- ensuring all hazardous activities are risk assessed before commencing.

Where there is potentially hazardous work that does not fit into the normal operational structure, such as some projects, the project manager is responsible for:

- ensuring a risk assessment is carried out and putting in place control measures
- ensuring that there is a project risk register (and a copy provided to [Health Wellbeing and Safety](#) in Human Resources Division) or that the risks are added to the relevant risk register.

In this situation, the Project Sponsors are responsible for checking that the appropriate risk assessments have been done and control measures implemented.

6. When is a Risk Assessment Required?

The hazard identification process must be undertaken for all activities at the University where there is a potential for health and safety risks, including:

- when planning or proposing to change personnel, work processes, events and other activities
- before setting up and using a workplace
- when planning changes to the workplace, such as new construction, alterations or renovations, repairs and maintenance
- when designing, operating, maintaining, selling or disposing of plant or equipment
- before purchasing, hiring, leasing, commissioning or erecting plant or equipment
- before making, using and disposing of hazardous chemicals
- whenever new information becomes available regarding work processes, plant and equipment, and hazardous chemicals
- when responding to workplace incidents (even if they have caused no injury)
- when responding to concerns raised by workers, health and safety representatives and others at the workplace
- when entering into partnerships, contracts and tenancies
- whenever changes are made to the workplace, system or method of work, plant and hazardous chemicals used.

7. Identifying Hazards

Hazards and hazardous jobs can be identified by:

- reviewing incident reports and records to find out what has gone wrong in the past and could be problematic in future.
- observing work activities to see whether safety precautions are in place and being used correctly, or whether the people involved are at risk of injury.
- asking staff and students to raise work health and safety matters during regular discussions eg. during work group meetings (formal or informal). This might include discussion of recent incidents, maintenance issues, suggested improvements etc.
- reviewing standard operating procedures to ensure that safety aspects have been satisfactorily addressed
- referring to labels, instructions and literature that relates to a particular workplace or activity. These may contain information about particular hazards and how the associated risks can best be managed. Typical literature includes operator manuals, safety data sheets, industry bulletins, journals etc.
- observing indicators such as high absentee rates, low morale, conflict between employees, ill-health, fatigue and poor work quality. These may signify that work demands are beyond the capacity of the workers.

8. Risk Register

All identified hazards must be recorded on the Faculty/Portfolio/Division OHS Risk Register (for general hazards), Plant Register (for all Plant) or Hazardous Chemicals Register (for hazardous chemicals, dangerous goods and/or controlled substances).

9. Steps for Carrying Out an OHS Risk Assessment

	Step	Notes
1	Decide on: <ul style="list-style-type: none"> the scope of the risk assessment whether the risk assessment needs to be scheduled? who will carry out the risk assessment? how will consultation be carried out? 	Will the task, project, activity need to be broken up into steps or separate assessments? Remember to cover all aspects. For example with a construction project, how are the future risks associated with operations, cleaning and maintenance to be handled?
2	Identify all the potential hazards and contributing risks associated with the activity	Contributing risks are factors that can add to the overall risk without being a hazard in their own right. For example inexperienced operators may be a contributing risk to a plant risk assessment
3	Record any existing control measures against the hazards or contributing risks	At this stage make sure these controls are in place and working effectively. If not, they must not be recorded as such.
4	Analyse the risks	Identify causes, contributing risks and realistic scenarios
5	Assess and document the risks arising from each identified hazard or contributing risk.	Determine likelihood and consequences for each risk
6	Calculate the risk level for each risk (taking into account the effectiveness of existing controls)	Use the Risk Matrix
7	Review the Risk Priority action list	<ul style="list-style-type: none"> Should the activity cease until controls are implemented?
	Where a Medium or higher risk is identified a number of matters must be considered:	<ul style="list-style-type: none"> Who should be notified of the risk and accept or otherwise that risk
		<ul style="list-style-type: none"> Who is responsible for developing and implementing the control plan
8	If all the calculated risks are not LOW or there is some uncertainty about the risk, then the following steps 9-13 need to be completed.	
9	If there are well established control measures available or already in use in a similar situation, do they address the hazards and contributing risks?	
10	Identify other control measures that will reduce the risks to as low as reasonably practicable taking into account the hierarchy of controls .	
11	If there are large number of control measures or their implementation requires coordination across a number of areas then a Risk Management Plan should be drawn up	Record on relevant Faculty/Portfolio/Division Health, Wellbeing and Safety Plan.
12	As needed develop Safe Working Procedures and arrange appropriate training.	Safe Working Method Statement . The statement should include all risks involved in the task.
13	Train staff and supervisors so that they have an appreciation of the hazards involved and why the controls are necessary. Evaluate competency of staff. Ensure refresher and induction training is also provided.	Training Record . Records must be kept five years.
14	A full record of the risk assessment must be kept for MEDIUM and higher risks. It is recommended that low risk assessments are recorded.	For LOW rated risks the record should include: a description of the activity, material or equipment, who made the determination, the rating, and the date carried out.

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Step	Notes
15	If at any stage of the Risk Assessment, the risks are judged to be Medium or higher then this must be recorded on the relevant Unit or Project Risk Register and monitored quarterly
16	Monitor the implementation and effectiveness of control measures. Develop a review plan to ensure control measures are being implemented and working as expected.
17	Risk assessments where there changes in the process, activity or equipment or after an unexpected accident or injury must be reviewed. Risk assessments with a High rating must be reviewed annually, with a Medium rating every two years.

- Record on relevant Faculty/Portfolio/Division Health, Wellbeing and Safety Plan.
- Control measures must be reviewed:
- when the control measure is not effective in controlling the risk;
 - before a change at the workplace that is likely to give rise to a new or different health and safety risk that the control measure may not control effectively;
 - if a new hazard or risk is identified; and
 - if a health and safety representative requests a review

10. Risk Matrix

Consequence Descriptor	Rating	Consequence Descriptor	Rating
<ul style="list-style-type: none"> • Single or Multiple Fatalities • Severe injury or illness, resulting in permanent injury / disability or ill health to one or more persons • Extreme stress and an inability to perform work duties in the foreseeable future • Unrest / protest / violence • Smartraveller Alert Level 4* • Significant prosecution and fines almost certain • Future funding / approvals / registration / licensing in jeopardy 	1 Extreme	<ul style="list-style-type: none"> • Injury or illness requiring medical or psychological treatment to one or more people • Lost Time Injury (LTI) impact (less than 10 days) • Significant stress and a noticeable reduction on ability to perform regular duties in the immediate future • Smartraveller Alert Level 2 or combination of 2 and 3* • Improvement Notice or Direction from WorkSafe 	3 Moderate
<ul style="list-style-type: none"> • Major or Multiple injuries resulting in temporary disability or ill health to one or more persons • Significant Lost Time Injury (LTI) impact (10 days or more) • Major stress and an inability to perform work duties in the medium to long term • Dangerous near miss or threat • Smartraveller Alert Level 3 or combination of 3 and 4* • University Council / staff prosecuted without being imprisoned • Legal / financial penalties or regulator sanctions/ attention/ reduced funding • Prohibition Notice 	2 Major	<ul style="list-style-type: none"> • Minor injury, first aid treatment required. No lasting impact • Minor concern and some reduction in ability to perform regular work duties in the short term • Smartraveller combination of Alert Level 1 and 2* • Voluntary compliance 	4 Minor
		<ul style="list-style-type: none"> • No treatment required • No concern or slight apprehension isolated to an event / situation and no impact on regular work duties. • Smartraveller Alert Level 1* 	5 Insignificant

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Likelihood Descriptor	Rating
Almost certain to occur/happen or is imminent, possibly frequently in a year. There is a history of regular occurrence at Deakin.	Almost certain
Will probably occur/happen, but not a persistent issue. There is a history in the recent past (within 3 years) of occurrence at Deakin	Likely
Likely to happen occasionally and has a reasonable chance of occurring at Deakin.	Possible
Not expected to happen, but it is a possibility in the sector	Unlikely
Very unlikely this will happen	Very Unlikely

	Extreme (1)	Major (2)	Moderate (3)	Minor (4)	Insignificant (5)
Almost certain	Very High	Very High	High	High	Medium
Likely	Very High	High	High	Medium	Medium
Possible	High	High	Medium	Low	Low
Unlikely	High	Medium	Low	Low	Low
Very Unlikely	Medium	Medium	Low	Low	Low

11. Risk Priority Action List

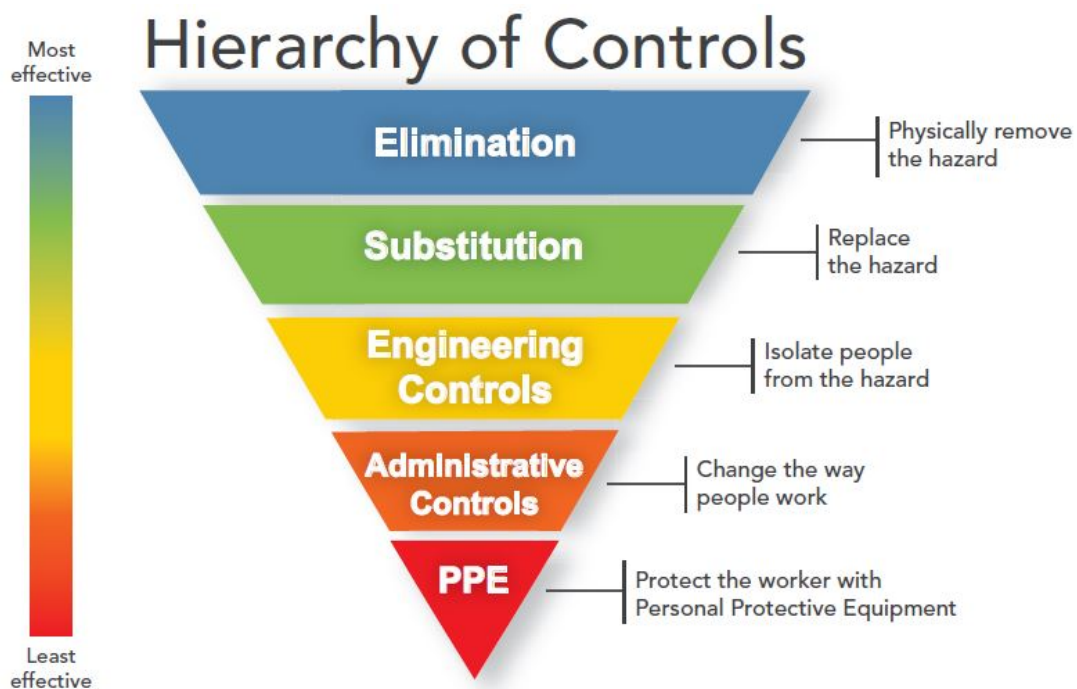
Risk Level	Priority	Action	Timeframe for implementation of corrective action
Very High	1	<p>University Executive management responsibility. Cease or isolate source of risk. Immediate attention, response and treatment required prior to commencement or continuation of work. Requires a risk assessment and risk management plan by the relevant Executive for approval (prior to work commencing or continuing) by the Vice-Chancellor, Risk oversight by Council, Audit and Risk Committee (ARC) or nominated Committee. The Risk must be escalated to the responsible University Executive member(s) immediately for full consideration and approval of risk mitigation/opportunity measures with the Vice-Chancellor. A notification must be made to, and advice must be sought from Health, Wellbeing and Safety Unit (Human Resources) as soon as practical</p>	Immediate
High	2	<p>Faculty General Manager/Director/Head of School management responsibility. Cease or isolate source of risk. Immediate attention, response and treatment required prior to commencement or continuation of work. Implementation of risk controls to be given appropriate attention, response and demonstrably managed. Executive approved risk treatment required prior to commencement or continuation of work. Risk must be escalated to the responsible Director, Faculty General Manager or Program/ Project Manager immediately. Vice-Chancellor informed by the appropriate University Executive for consideration of risk mitigation measures to lower risk level. A notification must be made to, and advice must be sought from Health, Wellbeing and Safety Unit (Human Resources) as soon as practical</p>	Immediate

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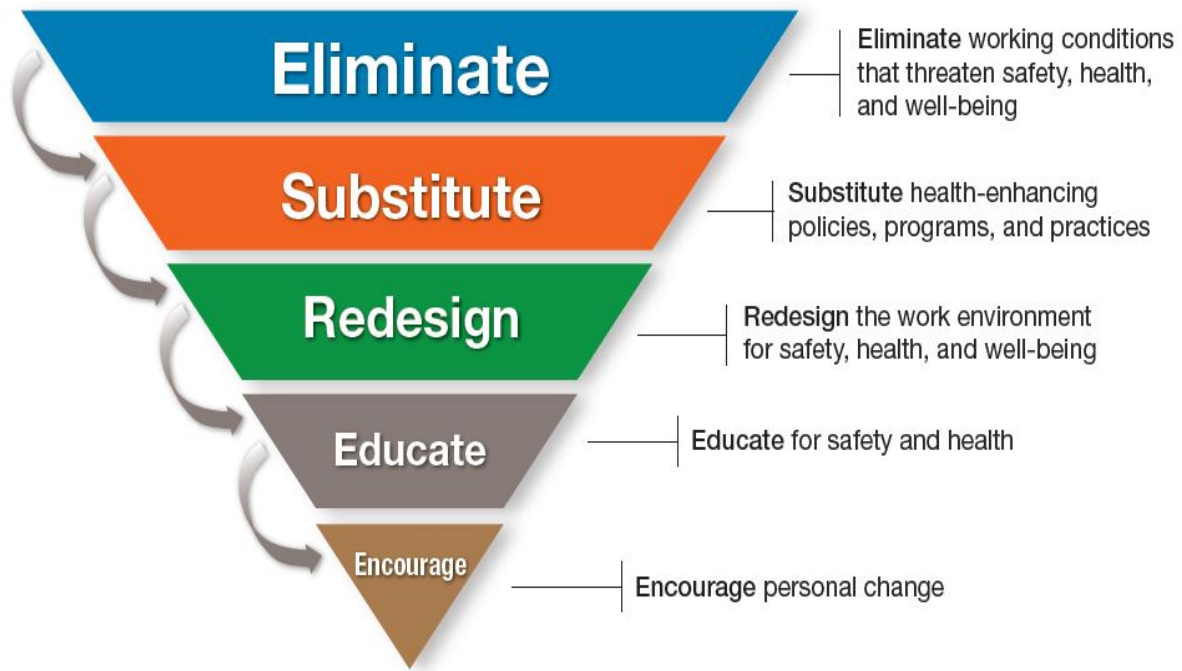
Risk Level	Priority	Action	Timeframe for implementation of corrective action
Medium	3	<p>Faculty General Manager/Director/Head of School responsibility. The activity where practical should cease until safety controls are implemented. Assess the risk, determine whether current controls are reasonably practicable for the task/ work area/ environment or if further action/ treatment is required. All risk mitigation factors to be explored and exhausted before proceeding.</p> <p>If the activity is to be continued after implementing safety controls, the controls must be reviewed and approved by the relevant Manager. Monitor, review and document controls through regular business practices or local area meetings.</p> <p>A notification must be made to the Health, Wellbeing and Safety Unit (Human Resources) as soon as practical.</p>	Within 14 days
Low	4	<p>Local Management responsibility Faculty/Portfolio/Project management responsibility. Managed by routine procedures, monitor and review as required.</p> <p>Any further control should be implemented to reduce the risk to as low as reasonably practicable.</p>	

Note: If an identified hazard does not meet legislative requirements, the use of the plant, hazardous chemical or work process must cease immediately, and be locked out (if necessary) until modifications have been implemented to make the plant, hazardous chemical or work practice legally compliant.

12. Hierarchy of hazard control



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Priority	Action	Description	Example
1	Eliminate the Hazard	Determine if the process, plant, equipment, testing methods, materials or substances are necessary	Off site fabrication, Purchase ready to use reagents
2	Substitute the Hazard	Reduce the risk by substituting a less hazardous process, plant, equipment, testing method, material or substance	Replace ladder with scissor lift, Substitute solvent based paint with water based paint Redesign plant to reduce noise levels Replace frequent telephone use with headsets
3	Isolate the Hazard	Isolate the hazard by using containment, shielding or distance	Put insulation around noisy equipment Guards over moving parts
4	Engineering Controls	Install barriers, guards, ventilation or alarms to reduce the exposure to the hazard Minimise the size or volume of the hazard. Rearrange the work area and work flow	Reverse alarms/lights fitted to plant Exhaust ventilation to remove fumes Use mechanical aids to reduce manual handling Have deliveries made to the end-point to avoid re-handling
5	Administrative Controls	Reduce the duration of exposure to the hazard Interperse high demand or intense activity with lighter, less intense tasks. Establish safe work practices Provide training and supervision appropriate to the level of expertise of the personnel involved. Introduce procedures, signs, permits to increase awareness of the hazard or limit exposure to the hazard. Administrative controls may be used as a secondary measure to supplement the other agreed risk controls	Job rotation, Work instructions, Restricting access to the area, Keeping the area free of clutter Being prepared for emergencies e.g., spills Safety inspections Training and induction programs
6	Personal Protective Equipment	Provide personal protection. This is the last resort because it is the least reliable and requires high levels of supervision, skills and attention. Personal protection may be used as a secondary measure to supplement the other agreed risk controls.	Hearing protective devices, Respirators, Hard hats

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In many cases, it will be necessary to use more than one control method. Controls, such training and use of personal protective equipment, are to only be used as a last resort as a primary control. They are used routinely as a support to other control measures.

While the risk control process concentrates on controlling the highest ranked risks first, this does not mean that lower priority risks which can be controlled quickly and easily should not be controlled simultaneously. The best available control measures are to be put in place as soon as possible.

13. Applying Control Measures

Once controls are applied, their effectiveness must be reviewed initially and then periodically:

Not Effective	Significant control gaps (controls associated with the risk are extremely weak and/or non-existent) that result in the control not influencing the risk level.
Mostly/ Partially Effective	Some controls are established however improvements/ further developments is required to remediate control gaps/ or there are factors outside of our control. The control is influencing the risk level, however actions are needed to strengthen processes and documentation or further understanding is required of external factors.
Effective	Controls are established and effective in mitigating risk; with no controls gaps. The control is influencing the risk level and there is evidence of adequate processes and documentation. Only monitoring is needed. The strength of this control environment means that if this risk eventuates, it is most likely as a result of external circumstances outside of Deakin's controls.

Unless controls are rated as effective, then further action is required.

14. Consultation

Throughout the risk management process managers and supervisors must consult, so far as is reasonably practicable, workers and Health and Safety Representatives in the work area and, where relevant, students and other persons. Other persons can include contractors, University controlled entities, tenants, co-tenants and landlords who have a shared responsibility for work health and safety. Whenever practical OHS Representatives must always be consulted first and be given an opportunity and time to comment before providing the information to staff. Managers and supervisors must provide to OHS representatives, staff and contractors all relevant information on hazards, including plant and hazardous chemicals.

15. Records

Where a risk is assessed as Medium or higher, the information must be recorded on the relevant register:

- Work Health and Safety Risk Register - for general hazards and associated risks
- Plant Register - for all Plant
- Hazardous Chemicals Register - for hazardous chemicals, dangerous goods and/or controlled substances.

The following information must be recorded for all risk assessments:

- description of the activity, material or equipment
- who made the determination
- date carried out
- the determined risk rating

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for MEDIUM and higher risk ratings the following must be also recorded:

- the identified hazards and assessed risk ratings
- existing controls and their effectiveness
- the additional risk control measures
- how and when the risk control measures were implemented, monitored and reviewed
- who was consulted
- relevant training records
- any plans for changes
- the risk must be added to the local Risk Register.

Each risk assessment must be documented, the risk assessment form signed by the manager or supervisor of the area. If the form is kept as an electronic record it must be easily accessible to all relevant persons. Risk assessments must be kept by the School/administrative unit for 5 years or until reviewed.

16. Training

Training is an essential part of risk control either directly as a control measure or indirectly supporting other control measures.

Managers and supervisors are responsible for ensuring that, before work, study or research begins, staff and students under their supervision, contractors, sub-contractors and their workers, volunteers and visitors have the information, instruction and training to perform their work, study or research in a safe manner and without risks to health and safety. This includes ensuring that staff, students, contractors, sub-contractors and their workers, volunteers and visitors:

- follow safe work procedures and/or safe work practices;
- use risk controls that are in place; and
- have an appreciation of the nature of any hazards, the risks associated with them, and the reason why risk controls are used.

DOCUMENT HISTORY	
Name of procedure	<i>OHS Risk Management Standard</i>
Overarching policy	<i>Health Wellbeing and Safety policy</i>
Last Update	<i>28 October 2019</i>
Original Date	<i>15 January 2018</i>
Review History	
Author	<i>Michael O'Donoghue</i>