### Monash University Procedure

<table>
<thead>
<tr>
<th>Procedure Title</th>
<th>Management of OHS Corrective and Preventive Actions Procedure</th>
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<tbody>
<tr>
<td>Parent Policy</td>
<td>OHS Policy</td>
</tr>
<tr>
<td>Date Effective</td>
<td>June 2019</td>
</tr>
<tr>
<td>Review Date</td>
<td>June 2022</td>
</tr>
<tr>
<td>Procedure Owner</td>
<td>Manager, OHS</td>
</tr>
<tr>
<td>Category</td>
<td>Operational</td>
</tr>
<tr>
<td>Version Number</td>
<td>5.0</td>
</tr>
<tr>
<td>Content Enquiries</td>
<td><a href="mailto:bernadette.hayman@monash.edu">bernadette.hayman@monash.edu</a></td>
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### Scope

The processes described apply to all activities conducted at Monash University.

Only Australian campuses are covered by the certification to OHS AS 18001 and AS 4801.

### Purpose

This document sets out the processes to be used for corrective and preventive actions at Monash University in order to eliminate, at the source, risks to the health, safety or welfare of staff, students, visitors and contractors.

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1. Abbreviations

HSR: Health and Safety Representative
OHS: Occupational Health and Safety
OH&S: Monash Occupational Health & Safety
OHSMS: OHS Management System
SARAH: Safety and Risk Analysis Hub

2. Definitions

A comprehensive list of definitions is provided in the Definitions tool. Definitions specific to this procedure are provided below.

Corrective Action: Corrective action is an action taken to eliminate the cause(s) of an identified non-conformity concerning health and safety, with the intention of preventing a recurrence. A corrective action must have:

- Assigned responsibilities;
- Where it is reasonably practicable, consultation with key stakeholders;
- Specific controls; and
- An agreed timeframe for auctioning

Hierarchy of Controls: The hierarchy of control ranks risk control measures in decreasing order of desirability and effectiveness with the preferred control measures being elimination and substitution. The hierarchy of control includes:

**Primary Controls**

Elimination: Regulations supporting the OHS Act require the elimination of risks as the first step in risk control.

Substitution: Substitution of a less hazardous alternative.

Isolation: Enclosing or isolating the hazard.

**Engineering Controls:** Changing processes, equipment or tools e.g.:

- Machinery guards
- Ventilation aids

**Secondary Controls**

Administrative Controls: Information, training and procedures e.g.:

- Job rotation
- Limiting access
- Permit systems
- Safe operating procedures
- Training
- Signage

**Personal Protective Equipment:** Laboratory coat, safety glasses, closed shoes/steel capped boots, hearing protection etc.

Non Conformity: Non conformity is an activity or item that does not conform to the OHS policy, relevant work standards, practices, procedures or legal requirements or any other requirements of the Monash University OHS Management System (OHSMS).
3. **Corrective Actions Procedure**

3.1 **New Action Identified**

A corrective action can be identified through numerous mechanisms including detected non-conformities or other undesirable situations. The implementation of appropriate corrective actions is critical to the success of the OHSMS and for controlling hazards in the workplace.

3.2 **Consultation and Controls**

3.2.1 Controls should be determined using the hierarchy of controls and an action plan formed. Where and when applicable, consultation with key stakeholders must be undertaken in line with the [OHS Consultation Procedure](http://www.monash.edu.au/ohs).

3.2.2 If agreement between stakeholders cannot be reached, the [Health and Safety Issue Resolution Procedure](http://www.monash.edu.au/ohs) must be followed.

3.3 **Recording**

3.3.1 All corrective actions must be recorded with the following key information:

- Hazard identified;
- Actions proposed;
- Controls, determined using the Hierarchy of Control;
- Agreed timeframes for implementation; and
- Responsible persons assigned.

3.3.2 There must be a method in place to monitor the status of actions arising, e.g. [OHS committee meeting minutes](http://www.monash.edu.au/ohs).

3.3.3 SARAH must be used to record and monitor corrective actions arising from Hazard and Incident reports, Workplace Inspections, Audits and Building evacuations.

3.4 **Reporting**

All corrective actions that have recently changed status must be reported to relevant the local OHS committee and/or suitable staff meeting.

3.5 **Corrective Action Review**

All Corrective Actions must be reviewed regularly by the Head of academic/administrative unit or delegate to ensure the agreed timeframes have been met and that the controls in place are suitable. The outcome of the review should be reported to the relevant OHS committees.
4. Responsibility for Implementation

A comprehensive list of OHS responsibilities is provided in the document OHS Roles, Committees and Responsibilities Procedure. A summary of the specific responsibilities relevant to this procedure is provided below.

**Head of Academic/Administrative units (person in control of a workplace):** A head of academic/administrative unit has the overall responsibility for ensuring that every corrective action is fully implemented by an action sequence within an agreed time frame. They may delegate this responsibility to a management representative who is authorised to approve changes to a workplace. This is commonly a manager or deputy head.

**Safety Officers and Specialty Officers:** Safety officers can be assigned or delegated corrective actions for implementation by management; or, upon their own initiative and expertise commence corrective action implementation. Where reasonably practicable they should be included in the consultation process.

**Stakeholders:** Stakeholders are responsible for participating in the consultation process for all relevant actions being considered. Stakeholders are not responsible for ensuring that an action is undertaken.

**Person Assigned an Action:** It is the responsibility of any person assigned a corrective action to ensure that suitable steps are taken to implement the action by the given timeframe.

5. Records

For OHS Records document retention please refer to: Monash University OHS Records Management Procedure.
<table>
<thead>
<tr>
<th>Status</th>
<th>Revised</th>
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<tr>
<td>Approval Body</td>
<td>Monash University OHS Committee</td>
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| Legislation Mandating Compliance | Occupational Health and Safety Act 2004 (Vic)  
|                  | Occupational Health and Safety Regulations 2017 (Vic) |
| Related Policies| OHS Policy |
| Related Documents| Australian and International Standards  
|                  | Monash University documents  
|                  | Emergency Management Procedure  
|                  | Hazard and Incident Reporting, Investigation and Recording Procedure  
|                  | Health and Safety Issue Resolution Procedure  
|                  | OHS Audit Procedure  
|                  | OHS Roles, Responsibilities and Committees Procedure – Specifically committees  
|                  | OHS Management System Implementation Procedure – Specifically OHS plans  
|                  | OHSMS Management System Review Procedure  
|                  | Risk Management Procedure |
6. Document History

<table>
<thead>
<tr>
<th>Version</th>
<th>Date of Issue</th>
<th>Changes made to document</th>
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<tbody>
<tr>
<td>2</td>
<td>February 2011</td>
<td>OHS Corrective Action Procedure v2</td>
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| 3       | February 2013 | 1. Deleted old summary table  
2. Added responsibilities section  
3. Added procedural section in section 1  
4. Added flowchart as a visual representation of section 1  
5. Refined definitions section  
6. Added document history section, and  
7. Added Corrective Action Register Template |
| 3.1     | July 2015     | 1. Updated hyperlinks throughout to new OH&S website |
| 4       | November 2016 | 1. Refined Definitions section  
2. Added corrective actions table  
3. Added Hierarchy of controls to definitions section  
4. Removed specific timeframe of 5 years for document retention  
5. Added link to OHS Records Management Procedure sections  
6. Updated flowchart  
7. Updated reference section |
| 4.1     | August 2017   | 1. Updated logos in header  
2. Updated OHS Regulations to 2017 |
| 5.0     | June 2019     | 1. Removed requirement to keep a separate ‘Corrective Actions register’ and updated section 3.3 to reflect that SARAH and other appropriate methods are to be used for recording and monitoring of corrective actions.  
2. Updated Scope to reflect that only Australian campuses are covered by the certification to OHS AS 18001 and AS 4801. |