

Monash University Procedure

Procedure Title	OHS Risk Management Procedure
Parent Policy	OHS Policy
Date Effective	November 2019
Review Date	September 2022
Procedure Owner	Manager, OH&S
Category	Operational
Version Number	7
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Scope	This Procedure applies to all staff, students, visitors and contractors at Monash University. Australian campuses only are covered by the certification to OHS AS 18001 and AS 4801.
Purpose	The purpose of this document is to define the process that Monash University uses for the identification, assessment, control and review of Occupational Health and Safety (OHS) hazards and their associated risks.

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1. Abbreviations

MTLD	Monash Talent and Leadership Development
OH&S	Monash Occupational Health & Safety
OHS	Occupational Health and Safety
SARAH	Safety and Risk Analysis Hub

2. Definitions

A general list of definitions is provided in the [Definitions tool](#). Definitions specific to this procedure are provided below:

Activities: Any process which may involve the procurement of goods and/or services, travelling, using equipment, using chemicals and/or other hazardous items, conducting field work, engaging with other people, etc. For further details refer to the [OHS Classifications](#) page.

Acceptable level of risk: A level of risk that under the circumstances, is reasonably practicable to accept.

Agency of Injury: The type of object, item, substance, material, or structure that can cause injury. For details refer to the [OHS Classifications](#) page.

Consequence: The severity of the impact of a hazard on affected persons.

Consequence categories	Definition
Catastrophic	Fatality or permanent disabling injury
Major	Serious injury requiring admission to hospital
Moderate	Medical treatment may be required
Minor	First Aid treatment required for a minor injury
Insignificant	Near Hit/Miss – No injury

Controls: Steps taken to eliminate or reduce the risk of harm occurring to person/s exposed to a hazard.

Likelihood: The chance of harm arising as a result of interaction with a hazard.

Likelihood categories	Definitions
Almost Certain	will occur in most circumstances when the activity is undertaken (greater than 90% chance of occurring)
Likely	will probably occur in most circumstances when the activity is undertaken (51 to 90% chance of occurring)
Possible	might occur when the activity is undertaken (21 to 50% chance of occurring)
Unlikely	could happen at some time when the activity is undertaken (1 to 20% chance of occurring)
Rare	may happen only in exceptional circumstances when the activity is undertaken (less than 1% chance of occurring)

Mechanism of Injury: How an injury was, or may be, sustained. For details, refer to the [OHS Classifications](#) page.

Operational Manager: The person in control of the activities that are being performed within a specific workplace. In some instances, the Operational Manager may also be the Risk Approver, e.g. laboratory supervisor, workshop manager.

Risk Approver: The person responsible for controlling the risks associated with the activities undertaken by the staff member, student or contractor under their supervision. For example, the Performance Manager/Supervisor/Contractor Responsible Person.

Risk assessment: A documented process assessing the level of risk from specific activities and determining suitable controls to eliminate or reduce the risk to an acceptable level. Risk assessments are either:

- **Centrally managed** - these risk assessments form part of the implementation of the OHSMS and must be approved by the Manager, OH&S. Centrally managed risk assessments are developed for common activities as deemed appropriate. Centrally managed risk assessments are either:
 - **Minimum requirements** – Adoption of these risk assessments is mandatory when undertaking respective specified activities e.g. Provision of Alcohol at Monash events, Working Outdoors, Provision of First Aid.
 - **Guidelines** – These risk assessments may be used to provide best practice controls for specified activities e.g. operating remote piloted aircraft (RPA).
- **User generated** – These risk assessments are developed where:
 - Centrally managed risk assessments are not available; or
 - Controls exceed the centrally managed requirements.

Risk Owner: The person documenting the risk assessment.

3. OHS Risk Management Planning

- 3.1. OHS Risk Management Plans can be created in [SARAH](#) using the Event Risk Management Planning Tool for activities such as Monash University organised events, off-campus activities and travel.
- 3.2. OHS Risk Management Plans must include:
 - The types of activities and any associated risk assessments, and the locations and periods in which activities will be performed;
 - The owner of the plan and their contact details;
 - The approver of the plan, their contact details, and the date of approval.
- 3.3. OHS Risk Management Plans must be approved by the person in control of the activity.

4. Identifying the need to conduct an OHS risk assessment

- 4.1. Managers and supervisors must ensure that risk assessments are completed and controls are in place when:
 - A hazard arising from an activity presents an unacceptable level of risk. The hazard must be documented in the online system [SARAH](#) in accordance with the [Hazard and Incident Reporting, Investigation and Recording Procedure](#);
 - An incident occurs that identifies inadequacies in the existing control measures for an activity. The incident must be documented in the online system [SARAH](#) in accordance with the [Hazard and Incident Reporting, Investigation and Recording Procedure](#);

- New activities are being proposed that may present unknown risks (e.g. new equipment, new requirements of a project, etc); or,
 - A person entering the workplace who may be unable to perform an activity safely due to personal factors. These risk assessments should be entered as 'Restricted Risk Assessments' in [SARAH](#).
- 4.2. Managers and supervisors must ensure that activities that present an unacceptable risk to the health and safety are not undertaken until a risk assessment has been conducted and the appropriate control measures are in place to reduce the risk to an acceptable level.
- 4.3. Any party may choose to initiate the [Health & Safety Issue Resolution Procedure](#) if there is any dispute as to whether:
- A risk is acceptable;
 - There is the need for a risk assessment;
 - Risks were adequately evaluated and sufficient controls were identified;
 - The risk assessment owner or approver is appropriate.

5. OHS risk assessment process

- 5.1. The Risk Owner must be competent in the process of risk assessment. Formal Risk Management training is available through myDevelopment. In addition, tutorial videos are available from the [OH&S website](#).
- 5.2. The Risk Owner must ensure that:
- The appropriate Risk Approver is selected for the relevant activity, unless the risk assessment is centrally managed;
 - All risk assessments are documented in the online system [SARAH](#) unless otherwise approved by the Manager, OH&S;
 - Risk assessments that include confidential information (e.g. a person's health condition, commercial in confidence) have been entered using the Restricted Risk Assessment option;
 - A standard naming convention is used in the prefix of the Risk Assessment Name, which identifies their local business unit. The [Naming Guide](#) is available to assist with naming risk assessments;
 - The scope of the risk assessment has been clearly defined and includes details of:
 - The activity being performed;
 - Any limitations (e.g. the assessment focuses only on specific elements of equipment or process);
 - Verify that the correct Risk Approver is selected;
 - Each potential risk factor is identified and described, including all mechanisms and associated agencies of injury and how the risk could be realised;
 - The current level of risk has been assessed by:
 - Confirming the availability and suitability of all existing control measures in place;
 - Utilising the OHS Risk Matrix in SARAH (refer to 9.1) to assign most probable consequence and corresponding likelihood.
 - Key stakeholders, e.g. Operational Managers and relevant subject matter experts have been invited to review the assessment using the 'Peer Review' command function in SARAH.
- 5.3. The Risk Owner may recommend or propose additional controls that could further reduce the risk level.

6. Approval

6.1. The Risk Approver must:

- Have a current certification for Risk Management training.
- Verify that:
 - The scope of the risk assessment is appropriate;
 - The mechanisms and agencies of injury are accurate;
 - All existing controls are present;
 - All proposed controls are valid and must be implemented.
 - That the risks identified are:
 - Acceptable - in which case the risk assessment must be approved as soon as possible;
 - Unacceptable - in which case the risk assessment must be rejected and appropriate feedback provided to the Risk Owner as soon as possible.

7. Post-Approval

- 7.1. Once a risk assessment has been approved, it is the responsibility of the person assigned to each proposed control to action it in accordance with the [Management of OHS Actions Procedure](#).
- 7.2. Approval of a risk assessment does not constitute approval to commence work, which may only be granted by the relevant Operational Manager.
- 7.3. Operational Managers must ensure that agreed control measures are present.
- 7.4. Operational Managers must ensure that all affected persons have access to the relevant risk assessments.

8. Review of Risk Assessment

8.1. Risk assessments must be reviewed:

- At least every three years;
- When there is a significant change to the process/activity;
- When a control may not be reasonably implemented;
- When the level of risk is no longer considered acceptable based on the current control measures (e.g. as identified by a hazard or incident report, changes to processes).

8.2. Risk assessments must:

- Be reviewed using the 'Formal Review' command button in SARA and the effectiveness of current controls evaluated; or
- Archived using the 'Archive' command button in SARA, if no longer required.

9. Tools

9.1. SARAH Risk Matrix

		Consequence				
		Near Hit/Miss - No Injury	First aid treatment required for a minor injury	Medical treatment may be required	Serious injury requiring admission to hospital	Fatality or permanent disabling injury
		Insignificant	Minor	Moderate	Major	Catastrophic
Likelihood	Almost Certain	Medium	High	High	Extreme	Extreme
	Likely	Medium	Medium	High	High	Extreme
	Possible	Low	Medium	Medium	High	High
	Unlikely	Low	Low	Medium	Medium	High
	Rare	Negligible	Low	Low	Medium	Medium

9.2. The following guidance notes should be consulted when assessing risks arising from:

- [Chemicals](#)
- [Biologicals](#)
- [Ergonomic/Manual handling](#)
- [Radiation](#)

10. Records

10.1. Risk assessments must be kept in accordance with the [OHS Records Management Procedure](#).

Status	Revised
Approval Body	Monash University OHS Committee
Legislation Mandating Compliance	Occupational Health and Safety Act 2004 (Vic) Occupational Health and Safety Regulations 2017 (Vic)
Related Policies	OHS Policy
Related Documents	<p>Australian and International Standards</p> <p>AS/NZS 4801:2001 Occupational Health & Safety Management Systems – specifications with guidance for use</p> <p>OHSAS 18001:2007 Occupational Health and Safety Systems - Requirements</p> <p>AS/NZS ISO 31000:2018 Risk management –Guidelines</p> <p>Monash University OHS Documents</p> <p>Hazard and Incident Reporting, Investigation and Recording Procedure</p> <p>Health & Safety Issue Resolution Procedure</p> <p>Management of OHS Actions Procedure</p> <p>OHS Consultation Procedure</p> <p>OHS Induction & Training Procedure</p> <p>OHS Roles, Responsibilities and Committees Procedure</p>

11. Document History

Version	Date of Issue	Changes made to document
5	August 2015	<ol style="list-style-type: none"> Added exemption to the requirement for using S.A.R.A.H. when the risk assessment has confidential information. Changed the wording in some sections to improve clarity.
5.1	August 2017	<ol style="list-style-type: none"> Updated logos in header. Updated OHS Regulations to 2017.
6	September 2018	<ol style="list-style-type: none"> Added mechanism and agency to the definitions section of the procedure. Improved the clarity around when a risk assessments needs to be done and made “acceptable level of risk” the key driver. Added the responsibility for OHS committees to review risk. assessments that have a residual risk of high. Added Approval section. Confidential Risk Assessment template.

7	November 2019	<ol style="list-style-type: none"> 1. Clarified when Risk Assessments are required. 2. Included risk management planning. 3. Included restricted risk assessment option. 4. Added definitions for Likelihood and Consequence categories. 5. Clarified that the OHS Risk Matrix in SARA must be used for OHS risk evaluation. 6. Clarified the responsibilities for Operational Managers. 7. Added the requirement for evaluation of effectiveness of current controls using SARA as part of the 'Formal review' process. 8. Included requirement to 'Peer review' 9. Removed the Risk management flow chart. 10. Updated references to current Monash University procedures. 11. Changes to wording to improve clarity. 12. Updated certification logo in header.
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