## 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

**Content Enquiries**: Bernadette.Hayman@monash.edu

### Scope

This Procedure applies to all staff, students, visitors and contractors at the Australian campuses of 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

OHS Risk Management Procedure, v7

Date Effective: November 2019

For the latest version of this document please go to: [http://www.monash.edu.au/ohs/](http://www.monash.edu.au/ohs/)
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.

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

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

**Hazard**: A situation or occurrence (agency of injury) that has the potential to cause harm (mechanism of injury).

**Hierarchy of Controls**: The Hierarchy of Controls ranks risk control measures in decreasing order of preference. Refer to add a link to the Actions Management Procedure

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

<table>
<thead>
<tr>
<th>Likelihood categories</th>
<th>Definitions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Almost Certain</td>
<td>will occur in most circumstances when the activity is undertaken (greater than 90% chance of occurring)</td>
</tr>
<tr>
<td>Likely</td>
<td>will probably occur in most circumstances when the activity is undertaken (51 to 90% chance of occurring)</td>
</tr>
<tr>
<td>Possible</td>
<td>might occur when the activity is undertaken (21 to 50% chance of occurring)</td>
</tr>
<tr>
<td>Unlikely</td>
<td>could happen at some time when the activity is undertaken (1 to 20% chance of occurring)</td>
</tr>
</tbody>
</table>
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.

**Performance Manager:** The person in control of the performance of a worker, a student or a contractor (CRP).

**Risk:** The likelihood and consequence of harm resulting from a hazard.

**Risk Approver:** The person responsible for supervising the activities being assessed.

**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 controls:** Steps taken to reduce the likelihood and/or consequence of a risk.

**Risk management:** The systematic process of hazard identification, risk assessment, and risk control.

**Risk Owner:** The person documenting the risk assessment.

**Worker:** Any person conducting work on behalf of the University.

3. **OHS Risk Management Planning**

3.1. 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.

3.2. OHS Risk Management Plans must be approved by the relevant operational manager in control of the work.

3.3. OHS Risk Management Plans should be created in [SARAH](#) using the Event Risk Management Planning Tool.

4. **Identifying the need to conduct an OHS risk assessment**
4.1. Operational managers 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 is entering the workplace who may be unable to perform an activity safely due to personal factors. These reports should be entered as Restricted Risk Assessments in SARAH.

4.2. Performance managers must ensure that activities that present an unacceptable risk to the health and safety of their workers, 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. Workers must report all unacceptable risks that they identify to their relevant Operational Manager or Performance Manager. These concerns must be documented in the online system SARAH using a hazard report in accordance with the Hazard and Incident Reporting, Investigation and Recording Procedure.

4.4. 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. Operational Managers must assign a risk assessment Owner who is competent with the activities being assessed and the process of risk assessment. Training for Risk Management is available through myDevelopment.

5.2. The Risk Assessment Owner must ensure that:

- The approver is the Operational Manager 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 presence and effectiveness 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 have been consulted and if appropriate, invited to review the assessment using the Peer Review function, in accordance with the OHS Consultation Procedure;

5.3. The Risk Owner may recommend or propose additional controls that could further reduce the risk level.

6. Approval

6.1. The Risk Assessment Approver must:
  • Be the Operational Manager for the activities being undertaken, unless the risk assessment is centrally managed.
  • 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:
      o Acceptable - in which case the risk assessment must be approved as soon as possible;
      o 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 Corrective and Preventive 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 workers have access to the relevant risk assessments.

8. Review of Risk Assessment

8.1. A risk assessment must be formally reviewed if:
  • It is considered that a control may not be reasonably implemented;
  • The level of risk is considered no longer acceptable based on the current control measures (e.g. as identified by a hazard or incident report, changes to the OHSMS).

8.2. The Operational Manager must ensure that the effectiveness of current controls is evaluated and that the outcome of that evaluation is documented in SARAH in accordance with the Management of OHS Corrective and Preventive Actions Procedure.
8.3. The Operational Manager must ensure that risk assessments are formally reviewed or archived when the last review date has elapsed (maximum of three years).

9. Tools

9.1. SARAH Risk Matrix

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
- **Australian and International Standards**
  - OHSAS 18001:2007 Occupational Health and Safety Systems - Requirements
- **Monash University OHS Documents:**
  - Hazard and Incident Reporting, Investigation and Recording Procedure
  - Health & Safety Issue Resolution Procedure
  - Management of OHS Corrective and Preventive Actions Procedure
  - OHS Consultation Procedure
  - OHS Induction & Training Procedure
  - OHS Roles, Responsibilities and Committees Procedure

### 11. Document History

<table>
<thead>
<tr>
<th>Version</th>
<th>Date of Issue</th>
<th>Changes made to document</th>
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</table>
| 5       | August 2015   | 1. Added exemption to the requirement for using S.A.R.A.H. when the risk assessment has confidential information.  
          |               | 2. Changed the wording in some sections to improve clarity. |
| 5.1     | August 2017   | 1. Updated logos in header.  
          |               | 2. Updated OHS Regulations to 2017. |
| 6       | September 2018| 1. Added mechanism and agency to the definitions section of the procedure.  
          |               | 2. Improved the clarity around when a risk assessments needs to be done and made “acceptable level of risk” the key driver.  
          |               | 3. Added the responsibility for OHS committees to review risk assessments that have a residual risk of high.  
          |               | 4. Added Approval section.  
<pre><code>      |               | 5. Confidential Risk Assessment template. |
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<thead>
<tr>
<th></th>
<th>November 2019</th>
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<tbody>
<tr>
<td>1.</td>
<td>Clarified when Risk Assessments are required.</td>
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<td>2.</td>
<td>Included risk management planning.</td>
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<td>3.</td>
<td>Included restricted risk assessment option.</td>
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<td>4.</td>
<td>Added definitions for Likelihood and Consequence categories.</td>
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<td>5.</td>
<td>Clarified that the OHS Risk Matrix in SARAH must be used for OHS risk evaluation.</td>
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<td>6.</td>
<td>Clarified the responsibilities for Operational and Performance Managers.</td>
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<td>7.</td>
<td>Added the requirement for evaluation of effectiveness of current controls using SARAH.</td>
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<td>8.</td>
<td>Removed the Risk management flow chart.</td>
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<td>9.</td>
<td>Updated references to current Monash University procedures.</td>
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<td>Updated certification logo in header.</td>
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