



UNIVERSITY  
OF WOLLONGONG  
AUSTRALIA

**UOW SAFE@WORK**

# WHS RISK MANAGEMENT GUIDELINES

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# 1 Introduction

The University of Wollongong (UOW) is committed to the provision of a physically and mentally safe and healthy workplace for all workers, students and visitors. To meet this commitment, the University will endeavour to have a safe workplace through the:

- identification of actual and potential psychological and physical hazards
- assessment of the risk of injury/illness associated with those hazards
- elimination of risk and where this is not possible implementation of control measures in accordance with the hierarchy of controls and legal requirements
- monitoring, review and evaluation of the effectiveness of corrective measures

## 2 Scope

This document outlines the requirements for the management of work health and safety (WHS) risks to as low as reasonably practicable with the aim of preventing injuries in the workplace.

## 3 Definitions

Hazard	<p>A hazard is anything that has the potential to:</p> <ul style="list-style-type: none"> <li>▪ cause injury or disease to people</li> <li>▪ adversely affect mental health</li> <li>▪ damage the environment, property, plant or equipment.</li> </ul> <p>Physical hazards can be due to:</p> <ul style="list-style-type: none"> <li>▪ the work environment, e.g. poor lighting or a slippery floor</li> <li>▪ the work organisation, e.g. carrying heavy loads over distances, inadequate safe working procedures</li> <li>▪ the plant, equipment, tools or substances used, e.g. toxic chemicals/gases, noisy machinery, lack of information, training and supervision, inadequate or unsuitable personal protective equipment (PPE).</li> </ul> <p>Psychological hazards can be due to:</p> <ul style="list-style-type: none"> <li>▪ job demand e.g workloads, work patterns, work environment</li> <li>▪ control e.g how much say a person has over their work</li> <li>▪ support e.g encouragement, resources provided</li> <li>▪ relationships e.g interpersonal conflict</li> <li>▪ role e.g understanding role and responsibilities</li> <li>▪ change e.g how organisational change is managed</li> </ul>
PCBU	Person Conducting a Business or Undertaking
Reasonably practical	<p>Reasonably practical means that which is, or was at a particular time, reasonably able to be done in relation to ensuring health and safety, taking into account and weighing up all relevant matters including:</p> <ul style="list-style-type: none"> <li>▪ the likelihood of the hazard or the risk concerned occurring, and</li> <li>▪ the degree of harm that might result from the hazard or the risk, and</li> <li>▪ what the person concerned knows, or ought reasonably to know, about: <ul style="list-style-type: none"> <li>- the hazard or the risk, and</li> <li>- ways of eliminating or minimising the risk, and</li> </ul> </li> <li>▪ the availability and suitability of ways to eliminate or minimise the risk, and</li> <li>▪ after assessing the extent of the risk and available ways of eliminating or minimising the risk, the cost associated with available ways of eliminating or minimising the risk, including whether the cost is grossly disproportionate to the risk.</li> </ul>

Risk	The likelihood that a hazard will result in injury, illness, loss or damage to people, to the environment, property, plant or equipment and the potential consequences of that injury, illness, loss or damage.
Risk control	Risk control is a method to manage the risk to an acceptable level. There is a hierarchy of control measures that needs to be followed, with the primary emphasis on controlling the hazards at source.

## 4 Responsibilities

As stated in the [WHS Policy](#) and [Roles and Responsibilities for WHS](#), everyone has a responsibility to find and eliminate if possible, or otherwise minimise risks from hazards. However, there are specific responsibilities for roles within the University as outlined below. Accountabilities and authorities for risk management activities are documented in the Roles and Responsibilities for WHS.

### 4.1 Employees

Employees have a responsibility to report workplace hazards to the supervisor of the work area, and where possible take corrective action to eliminate, or otherwise control, the risk of hazards.

### 4.2 Executive Deans, Associate Deans, Heads of School, Directors and Managers of Units

Executive Deans, Associate Deans, Heads of Schools, Directors and Managers of Units are responsible for the overall implementation of risk management processes within their areas of responsibility. This includes:

- establishment of a systematic process for regular review of hazards within all areas;
- ensure employees are aware of their responsibilities, and are provided with adequate information, instruction and training;
- implementation of risk management processes within responsible areas. Examples include:
  - reporting hazards and workplace inspections
  - documentation of corrective actions following incident or injury
  - undertaking risk assessments:
    - i. prior to the purchase of goods/services which may pose a risk to workplace safety
    - ii. during the design phase of equipment/experiments
    - iii. prior to undertaking fieldwork or research activities
    - iv. undertaking mental health specific risk assessment to minimise the risk of hazards that could potentially adversely affect the mental health of staff
  - allocation of resources required to prevent injury and minimise risk.

Specifically within their areas of responsibility:

- Heads of School and Directors are responsible for the approval of all high risk activities.

### 4.3 Supervisors

Supervisors are the key people responsible for ensuring that the work environment and the work itself, is safely performed. Supervisors also play a role with completion of risk assessments and hazard inspections in work areas.

Supervisors are to facilitate the risk management process by ensuring:

- hazards are reported in a timely manner
- workplace inspections are undertaken
- both physical and mental health risk assessments are undertaken
- the importance of risk management is communicated to employees, and
- corrective actions and/or control measures are identified and implemented.

## 4.4 WHS Unit

The WHS Unit is responsible for overall co-ordination and monitoring of the WHS management system. This includes administrative arrangements such as provision of training in hazard and risk management processes, and maintenance of the risk management register.

Additionally, the WHS Unit will act in an advisory capacity as required throughout the risk management process.

## 4.5 Host Organisation

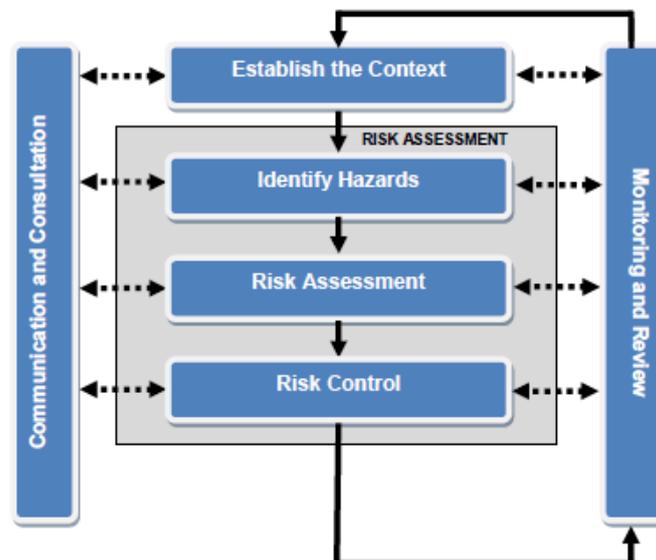
Where a student is undertaking a Work Integrated Learning (WIL) placement, Host organisations are required to fulfil the requirements as outlined by applicable WHS legislation (WHS Act 2011 NSW and WHS Regulation 2017 NSW as a minimum) and University requirements, including following the WHS Risk Management Guidelines and [Incident Management and Reporting Guidelines](#) to ensure they:

- provide and maintain a safe working environment for students including freedom from discrimination and harassment
- take reasonable care for the health and safety of students and advise the University as soon as possible in the event of any incident or illness affecting the student
- effectively induct students to the workplace in ways that ensure they are advised of hazards and risk controls including any job specific training
- inform students how they can report any unsafe situations and/or any incidents that occur
- adequately supervise students and ensure that they are assessed as competent to undertake hazardous activities
- provide University staff reasonable access to the workplace to facilitate assessment and monitoring of student progress
- comply with any requirements of the University in relation to the professional experience program, including participating in risk assessments.

The University may visit or test safety protocols of the host organisation where the need is identified e.g high risk activity.

# 5 Steps in the Risk Management Process

The following flowchart shows the steps involved in risk management. Each step is explained in further detail in the subsequent pages.



## 5.1 Communication and Consultation

The WHS Act requires the University to consult, so far as is reasonably practicable, with workers of the University whose health and safety is, or is likely to be, directly affected from work conducted by the University. Adding to this, the University is required to consult, co-operate and co-ordinate activities with other business operators who are involved in the same activities or who operate at a University controlled facility.

Communication and consultation is required to take place during all stages of the risk management process. A consultative approach can:

- help establish the context appropriately
- ensure that all hazards are adequately identified
- bring different areas of expertise together for analysing risks
- enhance appropriate change management during the risk management process.

Further information on the university's consultative arrangements can be found in the [UOW Consultation Statement](#).

## 5.2 Establish the Context

The first step in the risk management process is to define the scope of the risk management activity. The purpose of this step is to establish the parameters of the process including the criteria by which risks will be assessed. Therefore, this step defines the strategic and organisational context in which the remainder of the risk management process operates.

This includes:

- defining the external and internal stakeholders and their objectives
- defining the organisational context - this is the context within which the risk management policy is to be implemented, including defining each person's responsibilities and resource requirements
- establishing the risk management context including:
  - defining the scope for risk management of the specific activity
  - setting an overall time frame for completion of the risk management process
  - identifying the resources required and distributing the responsibilities for conducting the remainder of the process
  - developing the risk evaluation criteria - these may be legal, social or financial
  - planning the structure of the risk management process into logical elements.

## 5.3 Risk Assessment

Risk assessment is the overall process of risk identification, risk analysis and risk evaluation. The risk assessment process is contained, and is to be completed and documented within, as far as practicable, the UOW [SafetyNet](#) system using the [Hazard and Incident Report Online Form](#) or the [Risk Assessment Online Form](#).

If access to the online forms is unavailable or cannot be accessed a risk assessment may be completed via the [Paper Generic Risk Assessment Form](#).

If a completed risk assessment will be unable to be accessed in SafetyNet during an activity, e.g remote location with no access to internet, this is NOT an acceptable reason to use the paper generic form. The completed/approved SafetyNet risk assessment should be printed and carried to the worksite to be reviewed and referenced as required.

Specialised risk assessments are available to be undertaken for specific hazards. These are outlined in Section 5.5.2 Other Risk Assessment Tools.

### 5.3.1 When a Risk Assessment is Required

A risk assessment is required to be undertaken when:

- there is uncertainty about how a hazard may result in an injury or illness
- the work activity contains numerous hazards and there is uncertainty on how the hazards will interact with each other to produce new risks
- there is a change in the workplace that may impact on the effectiveness of control measures (see section 7).

A risk assessment must be completed for any high risk activities as stipulated within the NSW WHS Act or Regulation. This includes but is not limited to entry into a confined space, diving work and live electrical work.

A risk assessment may not be necessary if:

- legislation requires that a hazard is to be controlled in a specific way
- guidance material, such as a code of practice, establishes a method of controlling a hazard that is applicable to work environment and a decision is made to adopt this method
- a decision is made to implement well known industry specific best practice controls which are suited to the circumstance.

A risk assessment is required where the University provides services or goods to others e.g. research consultancy or project where a health and safety requirement or risk has been identified.

## 5.4 Identifying Hazards

This is the most important step in the risk management process. A hazard which is not identified cannot be controlled. Accordingly, it is crucial that this step is as comprehensive as possible. Hazard identification should be conducted in close consultation with the people performing the task.

The University has developed these risk management guidelines to provide a systematic process to ensure hazards are identified in the workplace and that procedures are in place and are used to identify, assess and control risk.

Methods or processes which the University utilises to identify hazards in the workplace include:

- hazard and incident reporting
- workplace inspections
- inspection and testing
- design stage of products, buildings or process (including modification).

Other methods of hazard identification include reviewing the following applicable information:

- legislation (NSW WHS Act and Regulation), codes of practice or Australian Standards
- pre-start job review procedure (Facilities Management Division)
- UOW Mental Health Risk Assessment
- workplace surveys
- incident analysis (SafetyNet)
- personal observations or complaints, reports or harassment
- planning or design (including modification) of products, buildings or processes
- health & safety committee items or discussions
- review of documents, reports and risk register
- warning labels or signs (including laboratory entry or HAZCHEM placards)
- safety data sheets (SDS) (ChemAlert)
- manufacturer's manuals or instructions
- technical journals
- consultant's reports.

Where hazards are identified from such sources they should be detailed in the Reference Documentation section of the risk assessment or safe work procedure form in SafetyNet.

### 5.4.1 Hazard Reporting

Information regarding the process of reporting a hazard using SafetyNet, the University's online hazard and incident reporting system, is outlined in the [SafetyNet User Guide](#).

Identified WHS hazards are to be assessed, controlled and reported via the following process:

- if there is an immediate risk of injury or illness, appropriate steps must be taken to ensure the safety of nearby persons
- the appropriate supervisor of the area, equipment or activity is to be notified including information on the hazard, estimated risk and control measures which have been implemented
- any further actions to prevent illness or injury are to be determined by the supervisor in consultation with employees and implemented accordingly to reduce the level of risk to an acceptable level
- a hazard/incident report form is to be completed on SafetyNet by the person who identified the hazard outlining the steps undertaken, proposed corrective actions and submitted to the appropriate supervisor(s).

Where a hazard or incident is reported through SafetyNet and is rated as 'High', a copy of the report will be communicated to the Executive Dean, Head of School and Faculty Executive Manager. The WHS Unit will conduct an incident investigation in accordance with the [Incident Investigation Procedure](#).

### 5.4.2 Workplace Safety Inspections

Workplace safety inspections are a systematic process of visually inspecting the workplace to identify hazards which require control measures to reduce the risk of injury. Workplace safety inspections are to be conducted according to their degree of risk as outlined in the [Workplace Safety Inspection Guidelines](#).

### 5.4.3 Inspection and Testing

The [Managing the Risk of Plant Guidelines](#) outline the requirements for the implementation of the University's inspection and testing program for all applicable plant, equipment and facilities.

### 5.4.4 Public Safety Hazards

The University must identify all public safety hazards that are associated with activities, processes, products that the University has control over. Hazards to the general public can be identified through a number of methods including:

- completion and review of hazard and incident reports or risk assessments entered into SafetyNet
- review of implemented emergency procedures such as fire evacuations.

### 5.4.5 Design Stage

Hazards can be identified and 'designed-out' in the design phase of buildings, plant/equipment or process. It is important that when designing new buildings, products or process that competent persons are involved to assist with the identification and verification of specified health and safety requirements. Further information is available in the [WHS Design and Modification Guidelines](#).

## 5.5 Assessing Risk

After all the hazards for the activity, process or equipment have been identified, the risk of each hazard needs to be assessed.

Risk is the probability of an event having an impact (usually adverse) on the activity's objectives. It is a function of both consequences and likelihood. The greater the consequences, the greater the risk. Similarly, the more certain the event, the greater the risk.

The assessment of risk is to be conducted in consultation with employees having regard to the likelihood and consequence of injury, illness or incident occurring, based upon the:

- legal requirements
- evaluation of available information
- records of incidents, illness and disease, and
- the potential for emergency situations.

The assessment of risk will require a selection of consequence and likelihood rating and together these provide a risk score as detailed in Appendix 1: Risk Matrix.

Each of these rating selections needs to take into account the above requirements to form a relevant and accurate score. For example a review SafetyNet incident reports and ChemAlert safety data sheets when completing a risk assessment form.

This will be determined via completion of steps 1 to 3 of the risk assessment matrix in [Appendix 1](#). Assessing risk is a two-step process requiring analysis and evaluation:

<i>Analysing risks</i>	<i>Risk analysis is the process of identifying the likelihood and consequences of an event - that is, quantifying the risk - taking into account existing controls. This does not necessarily mean assigning a numerical value to the risk. Indeed, this may be inappropriate in some circumstances because it inevitably involves putting a value on human life or limb. Furthermore, there is no point in assigning values if those values do not translate into meaningful policy prescription. Ultimately, the aim of the exercise is to rank risks in order of priority.</i>
<i>Evaluating risks</i>	<i>Risk evaluation is the process of comparing quantified levels of risk against established criteria and parameters.</i>

At the University, WHS risks can be placed in one of three categories: high, medium or low as outlined below:

<b>High Risks</b>	<i>Unacceptable level of risk which must be controlled as soon as possible, but not longer than 24 hours. Control measures would involve eliminating, substituting, isolating or engineering out the source of the risk from the activity or equipment. The timeframe for the completion of at least one control to reduce the risk to low or negligible is immediate. Hazardous tasks or activities rated as high require review and approval by the Head of Unit or Director before being undertaken.</i>
<b>Medium Risks</b>	<i>Unacceptable level of risk. The timeframe for the completion of risk controls to lower the risk to a low or negligible level is within 14 days.</i>
<b>Low Risks</b>	<i>These risks are considered acceptable. Accordingly, no further action is necessary. However, if there are controls which can be initiated that are easy and inexpensive they can still be administered. The timeframe for the completion of controls associated with this level of risk is within 28 days.</i>

### 5.5.1 How to Assess WHS Risk

The process for assessing WHS risk at the University is outlined in the Risk Matrix in [Appendix 1](#). When assessing the risk of a hazard consideration is to be given to:

- the effectiveness of existing control measures
- how the work is actually completed and not just written procedures or manuals
- infrequent or irregular situations which have the potential to occur.

### 5.5.2 Other Risk Assessment Tools

In some instances other risk assessment tools are required to help assess the risk. This includes:

- [Manual Handling Risk Assessment](#)
- [Confined Spaces Risk Assessment and Entry Permit](#)
- Mental Health Risk Assessment - completed in [SafetyNet](#)
- Fieldwork Activities Risk Assessment – completed in [SafetyNet](#) where a specific page is available to record risks and controls for field activities
- Hazardous Chemicals Risk Assessment – completed in [SafetyNet](#) however further assessment information can be obtained from ChemAlert

## 5.6 Risk Evaluation

Risk evaluation involves comparing the level of risk found during the analysis process with the risk criteria established when the context was considered in Section 5.2. Based on the outcomes of the risk analysis, priorities for controlling the risks can then be identified.

## 5.7 Risk Control

The primary aim of risk control is to eliminate the risk by removing the hazard. When this is not possible the risk must be minimised using one or more of the options from the hierarchy of controls. The risk control measure selected must be the highest possible option in the hierarchy to minimise the risk to the lowest level that is reasonably practicable.

Step 1: Eliminate the risk by removing the hazard, e.g. removing a broken chair from the workplace.

Step 2: If elimination of the risk by removing the hazard is not reasonably practicable then the hierarchy of controls must be followed to minimise the risk:

HIERARCHY OF CONTROLS		
Order No.	Control	Example
First	Substituting (wholly or partly) the hazard giving rise to the risk with something that gives rise to a lesser risk	Replacing a hazardous chemical or process with a less hazardous one, e.g. substituting a hazardous chemical with a non-hazardous chemical
Second	Isolating the hazard from any person exposed to it	Isolating the hazard from the person at risk, e.g. using a guard or barrier
Third	Implementation of engineering controls	Redesign a process or piece of equipment to make it less hazardous
Fourth	Implementation of administrative controls	Adopting safe work practices or providing appropriate training, instruction or information
Fifth	The provision and use of suitable personal protective equipment	The use of personal protective equipment could include using gloves, glasses, earmuffs, aprons, safety footwear, dust masks, etc.

In many cases, it will be necessary to use more than one control method. Back-up controls, such as personal protective equipment, are to only be used as a last resort or 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.

In some cases it may be necessary to develop and implement temporary controls until such time as more long term controls can be instituted. Wherever there is a high risk and the long term control measures are not immediately available, temporary controls which reduce the risk(s) must be put in place or the activity must cease until adequate controls are implemented.

During the risk assessment process, the effectiveness of existing controls are to be evaluated. The risk control phase must take account of any necessary changes to existing control measures to ensure that the best available protection is afforded. In doing so, it important to check current controls against the hierarchy of risk controls to determine whether the highest option on the list is used. Consideration should be given to whether or not pre-existing controls can be improved on.

Legislative requirements need to be reviewed when consideration is being given to risk controls. At times WHS legislation will require specific controls to be implemented for certain activities, for example risk of falls shall be controlled as per Section 79 of the *WHS Regulation 2011*. The requirements of Codes of practice and Australian Standards are also to be applied for certain risks. A listing of commonly referred legislation for various hazards is outlined in the [Legislative Compliance Guidelines](#). Reference to applicable WHS legislation, codes of practice, standards or UOW guidelines is to be outlined in the risk assessment form.

Controlling the risk of hazards is critical to the success of having a safe workplace. Depending on the risk of the hazard, at least one risk control is required to be implemented to reduce the risk to either low or negligible within the specified corrective action time frame as listed in the following table. Other risk controls may be implemented concurrently which may to further reduce the level of risk from the hazard.

Risk Level	Priority	Corrective Action Time Frame
High	1	As soon as possible, but not longer than 24 hours
Medium	2	14 days
Low	3	28 days

For example water on the floor from a leaking ceiling in a high traffic area is assessed as a high risk hazard. A simple corrective action such as signage alerting people to the hazard and buckets can be implemented to catch the water can reduce this risk to a low level. Meanwhile, other corrective actions such as identifying the source of the leak and rectification work can proceed over a couple a few days.

## 5.8 Monitoring and Review

Risk management is an ongoing process of review and improvement to ensure that new hazards, as well as any not identified in the original exercise, are identified and controlled to minimise risk to as low as reasonably practicable.

A risk assessment must be reviewed, and any measures adopted to control the risk, whenever:

- there is evidence that the risk assessment is no longer valid, or
- injury or illness results from exposure to a hazard to which the risk assessment relates, or
- a significant change is proposed in the place of work or in work practices or procedures to which the risk assessment relates.

The monitoring and review process involves:

- systematically evaluating existing risk control measures to assess their effectiveness
- identifying new hazards which may have arisen from new control measures
- formulating additional risk control measures.

In repeating the original elements of the risk management program, other related activities are to be undertaken periodically as part of the monitoring and review system. These include:

- scheduled inspections
- ongoing measurement and testing
- workplace monitoring where necessary (for hazards such as noise or contaminants)
- periodic review of incident and hazard reports.

Risk control measures are reviewed and monitored by Supervisors or Managers within Schools and Units by monitoring the risk control or corrective actions within SafetyNet. Local Area Workplace Advisory Committee's monitor risk controls or corrective actions through their scheduled consultative meetings.

Executive Dean and Directors, as well as the University WHS Committee review and monitor risk control or corrective actions where the risk level is high or as a result of a Level 2 or 3 Incident Investigation.

Risk control measures assigned to incidents classified as high risk are reviewed and monitored at a University Level, Risk, Audit and Compliance Committee (RACC) and the University Council, in accordance with the [UOW Risk Management Guidelines](#).

## 6 Risk Register

The data collected from identifying, assessing and controlling risks is to be recorded in the SafetyNet acts as the University's WHS risk register as this includes information regarding hazard and incident reports, risk assessments and safe work procedures. The risk register can be used to profile the risks recorded by location, hazard type, level of risk and control methods.

The risk register can be located using the following URL:

<https://safetynet.uow.edu.au/SafetyNET/FileSearch/>

## 7 Change Management

Where there is change in the workplace which affects the physical and psychological health and safety of employees or visitors the risk assessment process is required to be implemented to identify the hazards, assess their risk and either eliminate or control the risk associated with the hazards. Where a risk assessment is required to be completed for a change to the workplace which impacts health and safety, SafetyNet shall be used as outlined in 5.3 Risk Assessment of these guidelines.

Examples of change in the workplace where health and safety may be adversely affected include the following:

- changes to systems of work (either temporary or permanent)
- movement of personnel to new or different tasks
- training for new or modified processes and equipment
- introduction of new or different materials and equipment
- increased use of contractors during an installation or overhaul
- preparing revised documents, work procedures, work instructions
- business continuity provisions, e.g. following a fire or a critical event.

Any hazards or corrective actions required to maintain adequate levels of health and safety identified as a result of change in the workplace or corrective actions required to maintain adequate levels of health and safety are to be recorded in SafetyNet in accordance with the [Incident Management and Reporting Guidelines](#). The review of the implementation of corrective actions to ensure their effectiveness shall be conducted as outlined in Section 5.6 of these guidelines.

Change in the workplace which effects health and safety is to be communicated to and consulted with those directly involved or alternatively via the WHS Consultation arrangements e.g. Workplace Advisory Committees for WHS and/or WHS Committee.

## 8 External Workplaces

Any person who organises for UOW workers to work at another PCBU's (person conducting a business or undertaking) workplace must consult with that PCBU (and others if necessary) on the following requirements:

- health and safety induction requirements and other relevant health and safety information such as risk assessment or safe work procedures
- hazard and incident reporting procedures
- instruction and supervision requirements
- any training required for use of plant and equipment.

UOW workers (or students) at external workplaces often work under the health and safety management system of the PCBU. A worker may also adopt the UOW WHS management system where a need exists e.g. there is a gap in the PCBU's WHS management system. Where a worker feels that a health and safety risk remains present for a task or activity, work should stop and this should be communicated to an appropriate representative of the PCBU and UOW supervisor.

Where a student is participating in work integrated learning at a host organisation, the School/Unit is to complete a risk assessment where there is a risk to health and safety.

A risk assessment is to be conducted to assess the risk and determine suitable control measures. If in the event that the risk cannot be controlled to an acceptable level the worker should contact their UOW supervisor to discuss working arrangements and follow the [Resolving a Workplace Health and Safety Issue](#).

## 9 External Goods and Services

Where goods or services are introduced to the University work processes, for example by an external customer or student, the principals of hazard identification, risk assessment and control are to be undertaken prior to use. This will be undertaken through the completion of a Safety Hazard and Incident Report or Risk Assessment Form.

## 10 Implementing Risk Management

The University has in place several tools to ensure that risk management is implemented. The following links to procedures and forms facilitate the risk management process:

- [Incident Management and Reporting Guidelines](#)
- [Development of Safe Work Procedures Guidelines](#)
- [SafetyNet - Hazard and Incident Reporting Form](#)
- [SafetyNet – Workplace Inspection Hazard Reporting Form](#)
- [SafetyNet - Risk Assessment Form](#)
- [SafetyNet - Safe Work Procedure Form](#)
- [WHS Purchasing Guidelines](#)

- [WHS Design and Modification Guidelines](#)
- [Workplace Safety Inspection Guidelines](#)
- [Pre Start Job Review Guidelines](#) (FMD Document)

## 11 Training Requirements

Minimum training requirements for the implementation of WHS risk management includes the knowledge of the information contained in these guidelines. Further information on the application of these guidelines can be achieved via attendance to the UOW WHS training course [Addressing Hazards and Risks in the Workplace](#).

Those with responsibilities to undertake risk management training are required to have an understanding of the key principles of these guidelines and attend the Addressing Hazards and Risks in the Workplace course (or demonstrated prior knowledge).

Induction training e.g. Getting to Know Your University, will include a component on risk management activities in the workplace e.g. hazard reporting, risk assessment and risk controls. Local area inductions will provide further information on local risk management activities in accordance with the needs of the role/unit.

Other risk management training may be identified via the WHS Competency Profile in the [WHS Training Guidelines](#) or via the completion of a hazard report or risk assessment.

## 12 Program Evaluation

In order to ensure that these guidelines continue to be effective and applicable to the University the WHS risk management program will be reviewed triennially by the WHS Unit in consultation with the WHS Committee. The review is to focus on the effectiveness of the methods used to identify, assess and control risk in the workplace to ensure relevance, currency and compliance.

The risk management process will be regularly reviewed to ensure that it remains relevant, adequate and conforms to the University WHSMS. Review will be conducted through:

- feedback and comments received through consultation arrangements
- scheduled review against NSW WHS Act and Regulation, relevant codes of practice, Australia standards and, self-insurance requirements, and
- internal audit program results.

Conditions which might warrant a review of the guidelines on a more frequent basis would include:

- reported hazards or injuries
- non-conforming systems or WHS system requirements
- legislative changes
- WHS Committee concern.

Following the completion of any review, the program will be revised and updated in order to correct any deficiencies. These changes will be communicated to the University community via the WHS Committee meeting minutes and the [Document Review](#) web page.

## 13 Related Documents

- [WHS Act 2011 NSW](#)
- [WHS Regulation 2017 NSW](#)
- [Code of Practice – How to Manage Work Health and Safety Risks](#)
- [UOW Risk Management Policy](#)
- [UOW Risk Management Guidelines](#)
- Occupational Health and Safety Management Systems, AS/NZS 4804:2001
- Risk Management – Principles and Guidelines, AS/NZS ISO 31000:2009
- WHS Risk Management Handbook, Australian Standard HB205-2004
- [Incident Management and Reporting Guidelines](#)
- [Development of Safe Work Procedures Guidelines](#)
- [WHS Purchasing Guidelines](#)
- [Working With Hazardous Chemicals and Dangerous Goods Guidelines](#)
- [Materials Handling Guidelines](#)
- [Fieldwork and Off-Campus Activities Safety Manual and Guidelines](#)
- Inspection Checklists (on [Workplace Safety Inspections internet page](#)):
  - [Laboratory Inspection Checklist](#)
  - [Workshop Inspection Checklist](#)
  - [General Inspection Checklist](#)
  - [Accommodation Inspection Checklist](#)
- [Terms of Reference for Safe@Work Committees](#)
- [WHS Committee Constitution](#)
- [Incident Management and Reporting Guidelines](#)
- [Incident Investigation Procedure](#)

## 14 Version Control Table

Version Control	Date Released	Approved By	Amendment
1	June 1999	Manager WHS	New template created
2	February 2003	Manager WHS	Scheduled review, minor amendments.
3	August 2003	Manager WHS	Minor amendment.
4	April 2006	Manager WHS	Scheduled review, minor amendments.
5	May 2006	Manager WHS	Minor amendment.
6	September 2006	Manager WHS	Minor amendment.
7	January 2007	Manager WHS	Minor amendment.
8	March 2007	Manager WHS	Minor amendment.
9	November 2007	Manager WHS	Links updated to incorporate CMS upgrade.
10	September 2009	Manager WHS	Document updated to reflect National Audit Tool requirements
11	April 2010	Manager WHS	Minor review no scheduled changes.
12	August 2010	Manager WHS	Document updated to incorporate the Personnel name change to Human Resources Division.
13	March 2011	Manager WHS	Document revised to incorporate self-insurers audit corrective actions. Reviewed in accordance with AS/NZS 31000:2009 update.

Version Control	Date Released	Approved By	Amendment
14	March 2012	Manager WHS	Rebrand and document reviewed and updated to incorporate the changes to legislation through the introduction of the WHS Act, Regulation and Code of Practice.
15	March 2013	Manager WHS	Minor changes only.
16	August 2013	Manager WHS	Section 5.4.1 updated to include communication process for high and extreme rated hazards and incidents.
17	October 2013	Manager WHS	Update Appendix 1
18	February 2015	Manager WHS	Aligned to the risk management methodology outlined in the Business Assurance Risk Management Policy. Risk matrix updated accordingly.
19	May 2015	Manager WHS	Addition of new section 8 External Workplaces that provides guidance on what any UOW staff member, who organises for UOW workers to work at a workplace outside the control of the University, must verify before permitting the worker to undertake the work.
20	April 2016	Manager WHS	Updated sections identifying hazards, assessing risk and external workplaces.
21	July 2016	Manager WHS	Rebrand.
22	November 2016	Manager WHS	Clarification of monitoring and review process. Addition of links to consultation and incident reporting procedures.
23	October 2019	Manager WHS	Addition of Responsibility 4.5 for Host Organisations. Clarified expected use of SafetyNet for Risk Assessments. Added responsibility for School/Unit to perform risk assessment for WIL students. Minor editing and formatting.
24	February 2020	Manager WHS	Document updated to include reference to mental health in the introduction and risk management process sections.

# 15 Appendix 1: Risk Matrix

Step 1 – Consider the Consequences		Step 2 – Consider the Likelihood		Step 3 – Calculate the Risk					
<p>What are the consequences of this incident occurring? Consider what <u>could reasonably</u> have happened as well as what actually happened. Look at the descriptions and choose the most suitable Consequence.</p> <p><b>CONSEQUENCES</b></p>		<p>What is the likelihood of the consequence identified in step 1 happening? Consider this without new or interim controls in place. Look at the descriptions and choose the most suitable Likelihood.</p> <p><b>LIKELIHOOD</b></p>		<p>1. Take step 1 rating and select the correct column</p> <p>2. Take Step 2 rating and select the correct line</p> <p>3. Circle the risk score where the two ratings cross on the matrix below.</p> <p>H = High, M = Medium, L = Low</p>					
Consequence	Description	Likelihood	Description		CONSEQUENCES				
					Minor	Moderate	Major	Severe	
<b>Severe</b>	Death or extensive injuries	<b>Almost Certain</b>	Is expected to occur in most circumstances	<b>LIKELIHOOD</b>	<b>Almost Certain</b>	<b>M</b>	<b>M</b>	<b>H</b>	<b>H</b>
<b>Major</b>	Medical treatment	<b>Likely</b>	Will probably occur in most circumstances		<b>Likely</b>	<b>L</b>	<b>M</b>	<b>H</b>	<b>H</b>
<b>Moderate</b>	First aid treatment	<b>Possible</b>	May occur at some time		<b>Possible</b>	<b>L</b>	<b>L</b>	<b>M</b>	<b>H</b>
<b>Minor</b>	Injury report, no treatment	<b>Unlikely</b>	May occur, but probably never will		<b>Unlikely</b>	<b>L</b>	<b>L</b>	<b>M</b>	<b>M</b>

# 16 Appendix 2: Workplace Safety Inspection Checklists

Checklist Type	Application
<a href="#">Laboratory Inspection Checklist</a>	Used for all laboratories (Note: use the Office Inspection Checklist for Computer Laboratories).
<a href="#">Workshop Inspection Checklist</a>	Used for areas where machinery and tools are used as part of equipment maintenance and/or manufacturing new equipment. Used for all Creative Arts studio areas including textiles, printmaking, photography and sculpture studios. Used for theatre areas including the performance space, Black Box Theatre and Hope theatre.
<a href="#">General Areas Inspection Checklist</a>	Used for office/administrative areas, including computer laboratories and areas containing desks, chairs, computers, filing cabinets and shelving. Used for public areas including lecture theatres, tutorial rooms and foyers.
<a href="#">Accommodation Inspection Checklist</a>	Used for accommodation common, kitchen and dining, and recreation/external areas.