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## 1. OBJECTIVE

The Health Safety and Wellbeing (HSW) Risk Management process sets the minimum standard and guidance for health, safety and wellbeing risk management across RMIT.

## 2. BACKGROUND

N/A

## 3. SCOPE

This process applies to all RMIT staff, students, researchers and third parties, globally. It is specifically for the purpose of identifying and managing HSW risk. At RMIT, HSW related risk management is via the Global Safety Model (GSM) which is our Health, Safety and Wellbeing Management System.

The HSW Risk Management process is aligned with the overarching RMIT Risk Management Policy and the RMIT Enterprise Risk Management Framework.

The Risk Management Policy establishes a mandate and commitment for managing risk. The Enterprise Risk Management Framework details the processes by which risk management will be implemented within the organisation.

These provide the foundations and organisational arrangements for designing, implementing, monitoring, reviewing and continually improving risk management throughout RMIT.

NOTE – Referenced legislation applies to Australian jurisdictions only. RMIT campuses in other jurisdiction must refer to local applicable legislation, where available.

NOTE – The terms “supervision” and “monitoring”, their application and implementation, apply to RMIT staff, students and researchers, globally. The term “monitoring”, its application and implementation, applies to third parties.

Refer to **RMIT HSW Third Party Framework** for further guidance on the way third parties will be managed by RMIT in relation to risk management.

## 4. WHAT MUST GO RIGHT?

The expected outcomes – known as ‘what must go right’ – will be that:

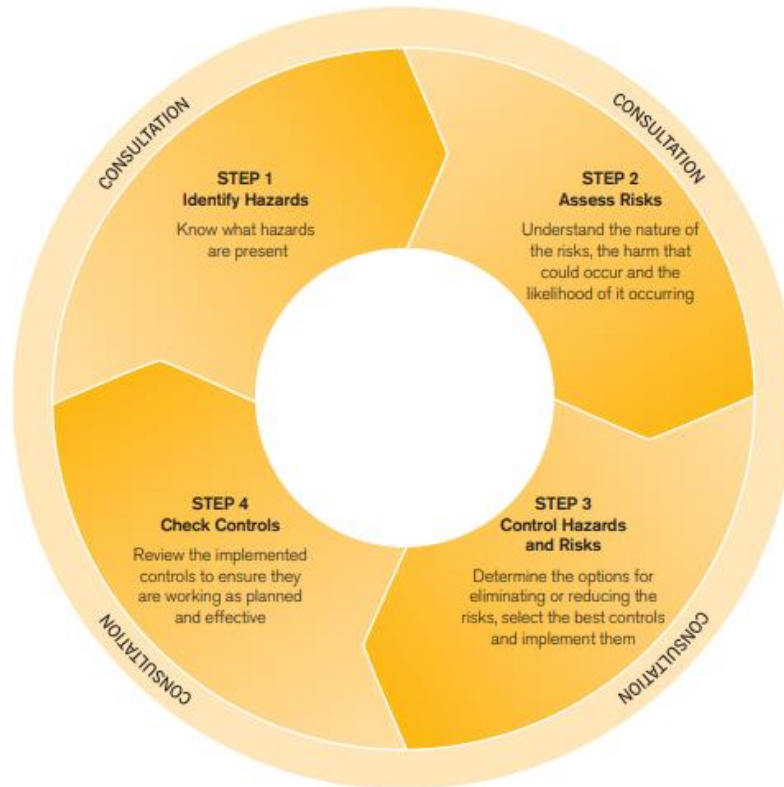
- HSW hazards are identified, assessed and documented in a HSW Risk Register (in P.R.I.M.E., or equivalent).
- HSW risks are managed at RMIT through effective HSW risk controls, their monitoring and review.
- HSW risks and risks controls are communicated to those who may be impacted by them

## 5. PROCEDURE/IMPLEMENTATION

HSW Risk Management is a step-by step process of:

1. Hazard identification
2. Risk assessment
3. Risk control
4. Monitor and review

Consultation and communication are vital at each stage of the risk management process, so far as is reasonably practicable. This should involve those persons who are directly affected or are likely to be directly affected by the work activities, hazards or risks and decisions made, and if available a Health and Safety Representative (HSR). This is outlined in the process **HSW-PR07 – Consultation & Communication**.



### 5.1. Hazard Identification

A hazard is defined as ‘any situation that has the potential to cause injury or illness, harm to health and/or danger to property or the environment’.

Hazards may be commonly classified into the following categories; however, this list is not exhaustive:

Category	Definition
<b>Biological</b>	living organisms that can present a hazard
<b>Chemical</b>	the properties present in chemicals that inherently, or through reaction, has the potential to create a physical or health hazard to people, equipment, or the environment
<b>Electrical</b>	the presence and flow of an electric charge
<b>Hazardous manual handling</b>	tasks of lifting, lowering, pushing, pulling, moving, holding or restraining movements which may involve repetitive or sustained force; high or sudden force; repetitive movement; sustained or awkward posture or exposure to vibration.
<b>Mechanical</b>	the energy of the components of a mechanical system, i.e., rotation, vibration, or motion within an otherwise stationary piece of plant or equipment
<b>Motion</b>	the change in position of objects or substances
<b>Objects</b>	tools, equipment, devices which are manually operated by the user and may puncture, cut, strike the user or others.
<b>Pressure</b>	energy applied by a liquid or gas that has been compressed or is under a vacuum

<b>Psychosocial (Mental wellbeing)</b>	the way work is organised, or the relationships or interactions which operate within the work environment, which could create a potential for harm (e.g., occupational stress, bullying, harassment)
<b>Radiation</b>	the energy emitted from radioactive elements or sources and naturally occurring radioactive materials
<b>Sound</b>	produced when a force causes an object or substance to vibrate and the energy is transferred through the substance in waves
<b>Stored energy</b>	accumulated energy that can release suddenly, potentially causing serious injury or death. Stored energy can have many forms, including gravitational potential energy, pressurised gases and liquids, stored mechanical energy, and stored electrical energy.
<b>Temperature</b>	the measurement of differences in the thermal energy of objects or environment, which the human body senses as either heat or cold
<b>Unauthorised access</b>	Access to work and/or learning environments which pose a risk to people if they are unsupervised or unauthorised to be in.
<b>Work at heights</b>	persons falling from height and/or objects falling

Hazards must be identified for all activities and must consider:

- Nature of the activity or task
- Work, research and/or learning environment, including unauthorised access
- Plant and equipment being used

Numerous methods and sources of information can be used to identify hazards associated with the activity, such as and not exclusively:

- Discuss with supervisors (Operational Leaders) about the substances and methods to be used
- Information from manufacturers of plant and equipment
- Information from suppliers of substances, e.g., Safety Data Sheets (SDSs)
- Legislation, Compliance Codes, Codes of Practice, Standards
- Local workplace inspection reports
- Incident data, including near misses, for the local area
- Inspection and Testing reports

## 5.2. Risk Assessment

The purpose of a risk assessment is to identify hazards associated with an activity task, plant / equipment, hazardous materials or work/learning/research environment and implement controls to reduce the risk of injury / illness or damage.

Risk assessment is the process of:

- Determining the hazards to health, safety and wellbeing that exist for a task, activity, plant / equipment, hazardous materials or work/learning/research environment
- Determining the importance of each hazard by assigning it a current risk rating with existing controls
- Formulating proposed risk control measures that are reasonably practicable to apply, that will reduce the risk rating (residual risk) to an acceptable level (see **HSW Risk Acceptance**)
- Document all these matters using a HSW Risk Assessment template (or electronic equivalent).

The risk assessment process looks at two factors respective of the hazard:

- Consequence – the most probable result of interaction with the hazard

- Likelihood – the probability that the consequence will occur once exposed to the hazard

The resultant risk rating is a calculation of these factors.

Risk assessments must be conducted:

- Before new or altered systems of work are established
- Before new plant and equipment or regulated plant is acquired
- Before new plant and equipment or regulated plant is made at or by RMIT staff, students, researchers or third parties
- Before commercially available plant, equipment or apparatus is modified
- Before new hazardous materials are acquired (i.e., review of Safety Data Sheets)
- Before buildings are acquired or leased
- Before a research project commences
- When work environments are altered (for example: refurbishment or new building)
- When changes occur that may impact on the effectiveness of controls measures
- Before activities where a permit is required are undertaken, including work by engaged third parties (e.g. work at height, live electrical work, confined spaces)
- When new information about risks in the work and learning environment become available
- For new programs and activities (including field work)
- At the start of the year in the teaching and learning space
- When there is a change in the design of research projects
- When required by legislation for specific hazards

Leaders, third parties, chief investigators and other persons with HSW responsibility and accountability must ensure that all reasonably foreseeable or identified hazards in their work, learning or research environment are risk assessed. The risk assessments must involve consultation with HSRs (where available), staff, students and/or researchers who undertake or are likely to be affected by the hazard or activity, so that they have an opportunity to provide valuable advice and input into decisions made. Further details can be found in **HSW-PR07 - Consultation & Communication**

### 5.2.1. Methodology

The HSW risk assessment process must be documented using **HSW-PR09-TM01 – HSW Risk Assessment Template** or electronic equivalent. An addition to the above risk assessment template for an activity or task, there are specific risk assessment templates available for:

- plant and equipment (**HSW-PR37-TM02 – HSW Plant & Equipment Risk Assessment Template**)
- hazardous manual handling (**HSW-PR34-TM01 – HSW Manual Handling Risk Assessment Template**)
- working at heights (**HSW-PR42-TM01 – HSW Working at Heights Risk Assessment Template**)
- first aid (**HSW-PR31-TM01 – First Aid Risk Assessment Template**)
- psychosocial risks (**HSW-PR19-TM01 – Psychosocial Risk Assessment Template**)
- SWMS (**HSW-PR09-TM03 – SWMS Form Template**)
- field work (**HSW-PR49-FR01 - Fieldwork Hazard ID Risk Assessment Template**)

In addition to the above, local risk assessment templates must be used to assess hazardous materials (chemicals, biological materials, radioactive materials, lasers).

Refer to the work instruction **HSW-PR09-WI01 – HSW Risk Assessment Methodology** for further information and guidance on completing a quality risk assessment.

When completing HSW Risk Assessments, the following information is required:

- Identifying the activities / tasks / plant & equipment / hazardous materials / environment
- Identifying hazards relating to step each for the activity / task / plant & equipment / hazardous materials / environment
- Identifying single or multiple risk factors associated with the identified hazards
- Detailing any current and implemented risk control measures
- Initial assessment of each hazard and associated risks
- Implementing additional risk controls (as per hierarchy of controls)
- Residual assessment of each hazard and associated risks
- Assigning responsibility for implementing any additional risk controls
- Authorisation of risk assessment

NOTE: Not all the above information will be required to complete specific risk assessments. Further guidance is provided in the applicable subject area process documents.

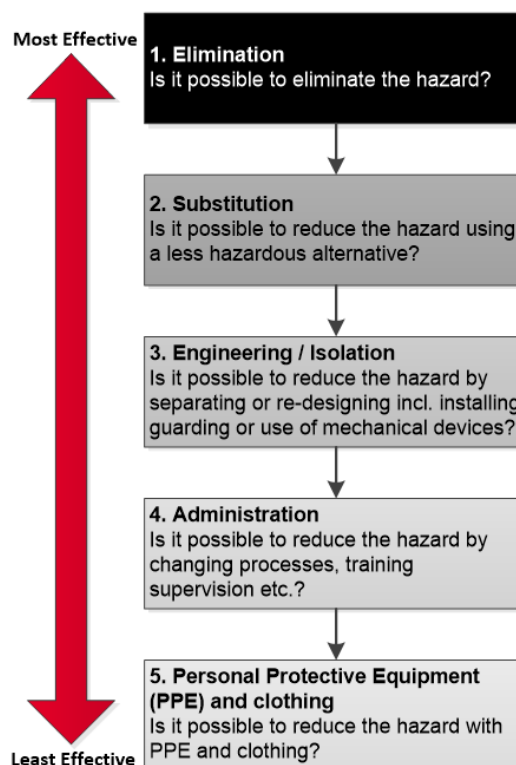
### 5.2.2. HSW Risk Matrix

The RMIT HSW Risk Matrix is designed to assist staff in the assessment of hazards and HSW risks. Please refer to **HSW-PR09-WI02 – HSW Risk Matrix** for further information and criteria to determine levels of risk. The **HSW Risk Matrix** is in **Appendix A** and also included in **HSW-PR09-TM01 – HSW Risk Assessment Template** and other risk assessment templates where required to determine risk levels.

### 5.3. HSW Risk Controls

Once the inherent risk rating of a particular hazard has been established, suitable control measures must be determined and implemented. The Hierarchy of Controls is a framework that prescribes the order in which to treat a hazard or risk, from the highest level of effectiveness and reliability to the lowest.

The diagram below illustrates the hierarchical order for which control options are to be implemented, to manage the health and safety risk.



### A. Elimination

The most effective control measure involves eliminating the hazard and therefore the risk altogether. The best way to do this is by, firstly, not introducing the hazard into the work/study environment, if this is possible. For example, the hazard of a potential fall from height can be eliminated by performing the required task at ground level.

Risks can be eliminated by the complete removal of the hazard, for example, by removing trip hazards on the floor or disposing of unwanted substances.

It may not be possible to eliminate a hazard if doing so means that the end product cannot be made, or the service cannot be delivered. If the hazard cannot be eliminated, then as many of the risks associated with hazard as possible should be eliminated.

### B. Substitution/Isolation/Engineering

If it is not reasonably practicable to eliminate the hazards and associated risks, risks should be minimised by the use of one or more of the following approaches:

- Substitute the hazard with something safer, such as replacing solvent-based paints with water-based ones.
- Isolate the hazard from people. This involves physically separating the source of harm from people by distance or using barriers. For example, installing guard rails around exposed edges and holes in floors, using remote control systems to operate machinery and storing substances in a fume cabinet.
- Use engineering controls. An engineering control is a control measure that is physical in nature, including mechanical devices or processes. For instance, using mechanical devices such as trolleys or hoists to move heavy loads, placing guards around moving parts of machinery, installing residual current devices (RCD) or using volatile and toxic substances in a fume cupboard

### C. Administrative/PPE controls

Administrative and PPE controls do not control the hazard at the source. They rely on human behaviour and supervision, and used on their own, tend to be least effective in minimising risks. Two approaches to reduce risk in this way are to:

- Use administrative controls such as training, development and the use of procedures or signage to warn people of a hazard, and
- Provide and use PPE to provide protection against identified hazards.

Selection of any control option does not preclude use of other options. Sometimes a hazardous exposure can be controlled to acceptable levels using a combination of some or all of the different levels, such as engineering controls, providing competency training and use of PPE.

This is further outlined in ***HSW-PR09-WI03 – HSW Risk Control***.

#### 5.3.1. Supervision

While supervision/monitoring is an Administrative control measure, it supports the implementation of all types of controls. Effective supervision/monitoring is critical to ensuring that everyone knows how to work and learn without risk to their health, safety and wellbeing; and ensure that everyone follows the appropriate rules and procedures. It follows that part of the Supervisor's role is to coach, guide and support to increase the competence in these areas of the people they supervise. Good supervision/monitoring practices are an essential part of a proper system of management control.

The level of supervision/monitoring required will depend on the level of risk and the experience of the staff, students and third parties involved. High levels of supervision/monitoring are necessary where people are expected

to follow new procedures or carry out difficult and critical tasks or are inexperienced. But some supervision/monitoring of fully competent individuals will always be needed to ensure that HSW standards are being met correctly and consistently.

Further guidance on supervision is detailed in *HR – HSW-PR09-WI05 – Supervision*.

### 5.3.2. HSW Risk Acceptance

A risk acceptance occurs when a decision is made to tolerate a risk, without implementing additional treatments (over and above any existing controls already in place) to further reduce the risk exposure.

After assessing and understanding the risk, a risk acceptance may be undertaken for several reasons. These include if risk exposures are within known tolerances, if the costs of implementing additional treatments outweigh the potential benefits, or if stakeholders with the right levels of authority and delegation deem it appropriate to do so.

The process detailed *RMIT Risk Management Manual* must be followed in the event that a risk level of Medium or greater is deemed acceptable.

### 5.4. Monitoring and Review

Risk assessments must be reviewed and updated as per review timeframe to ensure the controls applied are effective in minimising the risk to as low as reasonably practicable and that new hazards aren't introduced. This is required:

- When the control measure is not effective in controlling the risk
- Before a change in the work, research and learning environment that is likely to create a new or different health and safety risk, without effective controls in place
- When a new hazard or risk is identified
- When a Health and Safety Representative (HSR) requests a review
- When an incident occurs

Risk assessments must be reviewed as per the table below if none of the above occur. Schools / Departments may implement more frequent reviews.

#### Residual risk after additional controls have been implemented.

Risk rating	Frequency of Review	Reporting Level
<b>Critical</b>	Risk must be reviewed at least every 6 months	Risk must be approved, visible and reported to at least the Vice Chancellor's Executive level (or equivalent)
<b>High</b>	Risk must be reviewed at least every 6 months	Risk must be visible and reported to at least the Executive Director level (or equivalent)
<b>Medium</b>	Risk must be reviewed at least annually	Risk must be visible and reported to at least the Director level (or equivalent)
<b>Low</b>	Risk must be reviewed at least annually	Risks must be visible and reported to at least the Senior Manager level (or equivalent)

In addition, periodic reviews of the effectiveness of applied risk control strategies will occur through a range of scheduled and unscheduled activities, including but not limited to:

- Workplace audits and inspections
- Workplace monitoring where necessary (hazardous noise or chemicals)
- Review of incidents and hazards



NOTE - Health and Safety Representatives (HSRs) - This requirement is only legislated in Victoria and Australia. Other jurisdictions can choose to follow these requirements if local legislation does not exist.

#### 5.4.1. HSW Risk Register

Documented risk assessments should not only note the hazard, the resulting risk and its risk rating and control measures, but also who is responsible for the implementation of control measures, target completion dates and the residual risk level after the implemented risk treatment.

Colleges / Schools / Portfolios / Departments are responsible for maintain local area risk assessments.

Further to local risk assessments, all identified HSW risks must be recorded in the College / School / Portfolio / Department **HSW Critical Risk Register**.

## 6. Responsibilities

### 6.1. Senior Leader / Chief Investigators

- Ensure adequate resourcing is available within their area of responsibility to ensure the requirements of this process are effectively implemented.
- Ensure mechanisms are in place for effective and meaningful consultation regarding matters relating to this process.
- Monitor and review HSW performance across their area of responsibility to ensure all hazards, incidents and near misses are managed in accordance with the GSM.
- Ensure staff and students and researchers are provided with necessary information, instruction, supervision, and training relating to this process.

### 6.2. Operational Leaders

- This process is implemented in their area of control.
- Monitor resourcing is available within the area of responsibility to ensure this process is effectively implemented.
- Ensure effective and meaningful consultation and communication with RMIT staff, students and researchers regarding matters relating to this process occurs.
- Ensure students and staff and researchers are provided with necessary information, instruction, supervision, and training relating to this process.
- They participate in the risk management processes for health, safety and wellbeing matters and engage subject matter experts as required within their area of responsibility.
- Monitor and review HSW performance across their area of responsibility to ensure all hazards and risks managed in accordance with this process.
- Provide third parties with information on or about any known hazards or risks in the space where the works will take place.

### 6.3. Staff, students, researchers, and visitors

- Comply with the requirements of this process
- Comply with the control measures implemented by RMIT under this process
- Actively participating in risk management processes and engage subject matter experts as required.

- Promptly informing and reporting to their manager/ supervisor if they believe there is a risk to the health, safety and wellbeing of themselves or others.
- Participating in meetings, training and other health safety and wellbeing activities.
- Pass on any information to others to protect themselves or others from risk of injury or illness.

#### 6.4. Third parties

- Implement their own Risk Management process and seek health, safety and wellbeing information as required to inform their process (e.g., Hazardous Materials Register, Hazardous Substances Register)
- Implement control measures identified in their own Risk Assessments
- Consult with RMIT on proposed control measures if those control measures are likely to impact on RMIT operations, staff, students, researchers or visitors
- Engage subject matter experts as required
- Promptly informing and reporting to their manager/ supervisor if they believe there is a risk to the health, safety and wellbeing of themselves or others, such as RMIT staff, students, researchers, visitors and/or the public
- Pass on any information to others to protect themselves or others, such as RMIT staff, students, researchers, visitors and/or the public, from risk of injury or illness.
- Utilise RMIT’s Risk Management process and associated tools if they do not have their own

### 7. Definitions

Defines any key terms and acronyms relating to the process where they apply.

<b>Term / acronym</b>	<b>Definition</b>
<b>Consequence</b>	The most probable result of interaction with the hazard
<b>Global Safety Model (GSM)</b>	RMIT’s Health Safety & Wellbeing Management System - a series of processes and guidance material designed to promote the systematic implementation of HSW within RMIT.
<b>Hazard</b>	Any situation that has the potential to cause injury or illness, harm to health and/or danger to people, property or the environment.
<b>Hazardous substances</b>	<ul style="list-style-type: none"> <li>• chemicals (including gases) classified as hazardous substances and/or dangerous goods</li> <li>• biologicals classified as hazardous substances and/or dangerous goods</li> <li>• scheduled poisons</li> <li>• infectious or potentially infectious biological material</li> <li>• human material</li> <li>• animals and animal material</li> <li>• genetically modified organisms (GMOs)</li> <li>• radioactive substances/material</li> <li>• nanomaterials</li> </ul>
<b>Likelihood</b>	The likelihood that the consequence will occur once exposed to the hazard
<b>Operational Leaders</b>	Any staff member of RMIT who: <ul style="list-style-type: none"> <li>• Plans, organises or supervises the activities of other staff, contractors, students or visitors on behalf of RMIT; or</li> <li>• Designs or organises the design, maintenance or refurbishment of facilities on behalf of RMIT</li> </ul>

- A staff member who has accountability for the conduct or supervision of research. This includes all managers, senior accountants, senior administrators, course coordinators, team leaders, industry fellows, research fellows, teachers, senior educators and lecturers.

<b>Probability</b>	The likelihood that the consequence will occur once exposed to the hazard
<b>P.R.I.M.E.</b>	Proactive. Reporting. Incident. Management. Excellence. - Online System for reporting and controlling incidents and risks.
<b>Researcher</b>	Any person who conducts research including but not limited to staff, HDR candidates, students, visiting researchers and honorary and adjunct appointees.
<b>Risk</b>	A risk arises when it's possible that a hazard will actually cause harm. The level of risk will depend on factors such as how often the job is done, the number of workers involved and how serious any injuries that result could be. A "risk" is the possibility that harm (death, injury or illness) might occur when exposed to a hazard in your workplace.
<b>Risk acceptance</b>	Risk acceptance occurs when a decision is made to tolerate a risk, without implementing additional treatments (over and above any existing controls already in place) to further reduce the risk exposure
<b>Risk Control</b>	Taking action to eliminate health and safety risks so far as is reasonably practicable, and if that is not possible, minimising the risks so far as is reasonably practicable. Eliminating a hazard will also eliminate any risks associated with that hazard in your workplace.
<b>Senior Leaders</b>	This includes leaders within schools and department, and includes senior school managers, heads, deans and their deputies, program director, assistant directors, discipline heads, senior managers, professors, associate professors and chief investigators.
<b>SWMS - Safe Work Method Statement</b>	A risk assessment method which sets out the work task/activity in logical steps and identifies hazards and risks control measures for each step.
<b>Third party</b>	A supplier or service provider who is not directly employed or controlled by RMIT University.

## 8. Supporting Documents

Lists the supporting and related Processes and Guidance Material, Legislative references, Australian and International Standards etc. that may be useful references for process users.

- HR - HSW-PR07 - Consultation & Communication
- HR – HSW-PR09-TM01 – HSW Risk Assessment Template
- HR - HSW-PR09-WI01 - HSW Risk Assessment Methodology Work Instruction
- HR - HSW-PR09-WI02 - HSW Risk Matrix
- HR - HSW-PR09-WI03 - HSW Risk Control
- HR - HSW-PR12 - Workplace Inspections
- HR – HSW-PR19 - Psychosocial Risk Management Process
- RMIT Risk Management Manual

9. Appendix A – Risk Matrix

Risk Consequence Rating Tool								
<b>Purpose of the tool</b>		Use this ' <b>Risk Consequence Rating Tool</b> ' to enable the consistent assessment of potential risk impacts. This tool defines the criteria to rate the consequences and allows consistent assessment of risks across the university.						
<b>How to use this tool</b>		Using the explanation under the different consequence criteria (Education & Research, Student Experience etc. identify the most relevant measures related to your risk. You may have one or more consequence criteria (i.e. Financial and Student Experience) that apply to the risk. When identifying the rating always use the highest associated rating as the final rating (e.g. Financial = Major, Student Experience = Severe, you would therefore select the highest out of the two which would be <b>Severe</b> .)						
Risk Consequence Criteria								
Rating	Description	Education & Research	Student Experience	Reputation & Image	Financial	People, Safety & Environment	Business Interruption	Legal, Regulatory and Compliance
5	<b>Extreme</b> Exceptional impacts on operations or objectives	<ul style="list-style-type: none"> <li>Inability to undertake operations and activities of a College</li> <li>Extreme reduction in research activity / output over a sustained period</li> <li>Inability to reach a number of students, teaching or research targets</li> <li>Irreparable impact on relationship with partners / collaborators / suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Extreme loss or reduction in University-wide student enrolment and retention</li> <li>Systematic and extreme decline in overall student satisfaction across the University</li> <li>Systematic and extreme increase in the student complaints across the University</li> </ul>	<ul style="list-style-type: none"> <li>Long-term change in the University's reputation across all stakeholders</li> <li>Extended headline national and/or international media coverage</li> <li>Extensive and prolonged discussion across multiple social media channels</li> </ul>	>\$50M	<ul style="list-style-type: none"> <li>Single or multiple fatalities</li> <li>Serious disabling physical or mental illness to multiple people</li> <li>Extreme environmental damage (&gt;5 years)</li> </ul>	<ul style="list-style-type: none"> <li>Loss of critical business or education &amp; research operations for greater than 14 days</li> <li>Significant loss of assets</li> <li>Strategic supplier unable to deliver for an unknown period without an alternative</li> </ul>	<ul style="list-style-type: none"> <li>Systemic and sustained instances of significant non-compliance</li> <li>Loss of key licenses, accreditation and/or funding</li> <li>Extremely heavy legal penalties or regulator sanctions</li> </ul>
4	<b>Severe</b> Significant impacts on operations or objectives	<ul style="list-style-type: none"> <li>Inability to undertake operations and activities of a School</li> <li>Significant impact in research activity over a sustained period</li> <li>Significant problems meeting teaching or research targets</li> <li>Serious long-term damage to partnerships / suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Significant loss or reduction in University-wide student enrolment and retention</li> <li>Severe decline in overall student satisfaction across multiple Colleges</li> <li>Severe increase in the student complaints across multiple Colleges</li> </ul>	<ul style="list-style-type: none"> <li>Medium-term change in the University's reputation across multiple stakeholder groups</li> <li>Headline coverage at national level in multiple media sources for more than a week</li> <li>Discussion across multiple social media channels for more than a week</li> </ul>	\$30M to \$50M	<ul style="list-style-type: none"> <li>Severe irreversible damage or impairment to one or more people</li> <li>Irreversible health effect or medium to long term disabling illness</li> <li>Long term environmental damage (2-5 years)</li> </ul>	<ul style="list-style-type: none"> <li>Loss of critical business or education &amp; research operations for between 3 days to 14 days</li> <li>Severe damage to assets</li> <li>One or more critical supplier unable to deliver for an extended period without an alternative</li> </ul>	<ul style="list-style-type: none"> <li>Multiple instances of significant non-compliance</li> <li>Suspensions or conditions imposed on key licenses, accreditation and/or funding</li> <li>Significant legal penalties or regulator sanctions</li> </ul>
3	<b>Major</b> Large impacts on operations or objectives	<ul style="list-style-type: none"> <li>Inability to deliver a program or course</li> <li>Major impact on research activity</li> <li>Major problem meeting teaching or research targets</li> <li>Major but short-term damage to partnership / suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Major loss or reduction in student enrolment and retention for a program or course</li> <li>Major decline in overall student satisfaction across a College or multiple Schools</li> <li>Major increase in the student complaints across a College or multiple Schools</li> </ul>	<ul style="list-style-type: none"> <li>Medium-term change in the University's reputation across limited stakeholder groups</li> <li>Headline coverage at national level in multiple media sources for less than a week</li> <li>Discussion across multiple social media channels for less than a week</li> </ul>	\$10M to \$30M	<ul style="list-style-type: none"> <li>Reversible injury or moderate irreversible damage or impairment to one or more people. Typically, an injury resulting in loss of a scheduled shift of work (i.e. Lost Time Injury)</li> <li>Severe reversible mental or physical health effect of concern that would typically result in a lost time illness</li> <li>Medium term environmental damage (1-2 years)</li> </ul>	<ul style="list-style-type: none"> <li>Loss of critical business or education &amp; research operations for between 1 day to 3 days</li> <li>Major damage to assets</li> <li>One or more key suppliers unable to deliver for a sustained period of time</li> </ul>	<ul style="list-style-type: none"> <li>Major once-off instances of non-compliance</li> <li>Major additional obligations imposed on key licenses, accreditation and/or funding</li> <li>Large legal penalties or regulator sanctions</li> </ul>
2	<b>Moderate</b> Material impacts on operations or objectives	<ul style="list-style-type: none"> <li>Material impacts to the delivery of program or course</li> <li>Moderate impact on research activity</li> <li>Moderate but temporary problems meeting teaching or research targets</li> <li>Material but short-term damage to partnerships / suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Moderate loss or reduction in student enrolment and retention for a program or course</li> <li>Moderate decline in overall student satisfaction across a School</li> <li>Moderate increase in the student complaints across a School</li> </ul>	<ul style="list-style-type: none"> <li>Some short-term change in the University's reputation</li> <li>Low profile and fleeting coverage by national or state media</li> <li>Discussion across some social media channels by isolated stakeholder groups</li> </ul>	\$1M to \$10M	<ul style="list-style-type: none"> <li>Reversible injuries requiring treatment but does not lead to restricted duties. Typically, a medical treatment</li> <li>Reversible health effects of concern that would typically result in medical treatment</li> <li>Short term environmental damage (&lt;1 year)</li> </ul>	<ul style="list-style-type: none"> <li>Material and localised disruption to business processes or education &amp; research operations, but at an inconvenient time</li> <li>Moderate damage to assets</li> <li>Supplier or partner changes results in material impacts for a period of time</li> </ul>	<ul style="list-style-type: none"> <li>Moderate once-off instances of non-compliance</li> <li>Some additional obligations imposed on licenses, accreditation and/or funding</li> <li>Some legal penalties or regulator sanctions</li> </ul>
1	<b>Minor</b> Slight impacts on operations or objectives	<ul style="list-style-type: none"> <li>Minor impacts to the delivery of a program or course</li> <li>Minor impact on research activity</li> <li>Slight but temporary problems meeting teaching or research targets</li> <li>Minor but short-term impacts to partnerships / suppliers</li> </ul>	<ul style="list-style-type: none"> <li>Slight loss or reduction in student enrolment and retention for a program or course</li> <li>Some decline in overall student satisfaction across a School</li> <li>Some increase in the student complaints across a School</li> </ul>	<ul style="list-style-type: none"> <li>Minimal impact on the University's reputation</li> <li>Minimal state and local media coverage</li> <li>Limited social media coverage</li> </ul>	<\$1M	<ul style="list-style-type: none"> <li>Low level short term subjective inconvenience or symptom. Typically, first aid or no medical treatment</li> <li>Reversible health effects little concern requiring first aid treatment at most</li> <li>Minor environmental damage</li> </ul>	<ul style="list-style-type: none"> <li>Slight and localised disruption to business processes or education &amp; research operations Impacts are dealt with in the course of routine operations</li> <li>Minimal damage to assets</li> <li>Supplier or partner changes results in minor and temporary impacts</li> </ul>	<ul style="list-style-type: none"> <li>Minor non-compliance that can be rectified internally</li> <li>Increased scrutiny from regulators without any additional obligations or penalties</li> </ul>

### Risk Likelihood Rating Tool

<b>Purpose of the Tool</b>	Use this ' <b>Risk Likelihood Rating Tool</b> ' to enable the consistent assessment of the possibility of a risk occurring. This tool defines the criteria to rate the likelihood and allows consistent assessment of risks across the university
<b>How to use this tool</b>	Using the definitions under the different criteria headings (i.e. Qualitative, Percentage, Timeframe & Exposure) identify the most relevant and applicable criteria rating the likelihood of the risk. Where multiple criteria can be applied, use the one that results in the highest likelihood rating (e.g. Percentage = Likely, Timeframe = Possible, you would therefore select the highest rating out of the two which would be <b>Likely</b> )

Risk Likelihood Criteria					
Rating	Qualitative	Percentage	Timeframe	Exposure	
<b>E</b>	<b>Almost Certain</b>	<ul style="list-style-type: none"> <li>Risk is expected to occur</li> <li>Would be extremely surprised if the risk didn't occur</li> </ul>	<ul style="list-style-type: none"> <li>Greater than 90% chance of occurring</li> </ul>	<ul style="list-style-type: none"> <li>Expected to occur within 6 months</li> </ul>	<ul style="list-style-type: none"> <li>Individuals are exposed multiple times each day</li> </ul>
<b>D</b>	<b>Likely</b>	<ul style="list-style-type: none"> <li>Strong possibility for the risk to occur</li> <li>Would be surprised if the risk didn't occur</li> </ul>	<ul style="list-style-type: none"> <li>Between 60% to 89% chance of occurring</li> </ul>	<ul style="list-style-type: none"> <li>Expected to occur within 1 to 2 years</li> </ul>	<ul style="list-style-type: none"> <li>Individuals are exposed approximately once per week</li> </ul>
<b>C</b>	<b>Possible</b>	<ul style="list-style-type: none"> <li>Possible that the risk may occur</li> <li>There is potential for the risk to occur</li> </ul>	<ul style="list-style-type: none"> <li>Between 20% to 59% chance of occurring</li> </ul>	<ul style="list-style-type: none"> <li>Expected to occur within 2 to 3 years</li> </ul>	<ul style="list-style-type: none"> <li>Individuals are exposed approximately once per month</li> </ul>
<b>B</b>	<b>Unlikely</b>	<ul style="list-style-type: none"> <li>Slight possibility for the risk to occur</li> <li>Would be surprised if the risk occurred</li> </ul>	<ul style="list-style-type: none"> <li>Between 5% to 19% chance of occurring</li> </ul>	<ul style="list-style-type: none"> <li>Expected to occur within 3 to 4 years</li> </ul>	<ul style="list-style-type: none"> <li>Individuals are exposed approximately once per year</li> </ul>
<b>A</b>	<b>Rare</b>	<ul style="list-style-type: none"> <li>Extremely unlikely for the risk to occur</li> <li>Would be extremely surprised if the risk occurred</li> </ul>	<ul style="list-style-type: none"> <li>Less than 5% chance of occurring</li> </ul>	<ul style="list-style-type: none"> <li>Not expected to occur within the next 5 years</li> </ul>	<ul style="list-style-type: none"> <li>Individuals have not been known to be exposed</li> </ul>

### Risk Exposure Rating Tool

<b>Purpose of the tool</b>	Use the ' <b>Risk Exposure Rating Tool</b> ' to highlight the severity of the risks (i.e. Low, Medium, High, Critical). This in turn helps determine which risks you should focus your efforts and resources on. The tool also highlights the implications associated with the different ratings for aspects such as: impacts on objectives; management oversight; reporting; and review.
<b>How to use this tool</b>	The 'Risk Exposure Rating Tool' is used to evaluate risks based on severity of their consequence and their likelihood to occur. To evaluate the risk exposure, use the 'Consequence Rating Tool' to define the consequence rating and the 'Likelihood Rating Tool' to define the likelihood rating. Once you have ascertained these two ratings you can then plot what the risk exposure rating is (i.e. Low, Medium, High, Critical) from the matrix below. To understand the implication of each rating, refer to the descriptions in the Risk Exposure Ratings table to the right.

Risk Exposure Matrix		Consequence Rating				
		Minor (1)	Moderate (2)	Major (3)	Severe (4)	Extreme (5)
Likelihood Rating	Almost Certain (E)	Medium	High	Critical	Critical	Critical
	Likely (D)	Medium	Medium	High	Critical	Critical
	Possible (C)	Low	Medium	High	High	Critical
	Unlikely (B)	Low	Low	Medium	High	High
	Rare (A)	Low	Low	Low	Medium	High

Risk Exposure Ratings	
Rating	Description
<b>Critical</b>	<ul style="list-style-type: none"> <li>Objectives will not be achieved</li> <li>Requires relevant management's highest priority and urgent attention</li> <li>Risk must be visible and reported to at least the Vice Chancellor's Executive level (or equivalent)</li> <li>Risk must be reviewed at least every 6 months</li> </ul>
<b>High</b>	<ul style="list-style-type: none"> <li>Achievement of objectives under serious threat</li> <li>Requires relevant management's priority and active involvement</li> <li>Risk must be visible and reported to at least the Executive Director level (or equivalent)</li> <li>Risk must be reviewed at least every 6 months</li> </ul>
<b>Medium</b>	<ul style="list-style-type: none"> <li>Some threat to achievement of objectives</li> <li>Requires relevant management's active monitoring</li> <li>Risk must be visible and reported to at least the Director level (or equivalent)</li> <li>Risk must be reviewed at least annually</li> </ul>
<b>Low</b>	<ul style="list-style-type: none"> <li>Achievement of objectives not under threat</li> <li>Can be dealt with normal course of business</li> <li>Risk must be visible and reported to at least the Senior Manager level (or equivalent)</li> <li>Risk must be reviewed at least annually</li> </ul>