

OHS Risk Assessment and Control Form



Step 1: Who has conducted the Risk Assessment	Step 4: Documentation and initial approval
Risk Assessment completed by (name): Staff / Student Number: Signature: Date:	Authorised by (name): Signature: Date:

For additional information refer to the OHS Risk Assessment and Control Procedure, the OHS Risk Rating Procedure and the Hierarchy of Risk Controls.

Step 2: Identify the activity		
Faculty/School/Unit:	Location	Who may be at risk by the activity?
Describe the activity:	<i>Describe the location</i>	<i>A number of people may be at risk from any activity. This may affect the risk controls needed. These people may include fellow workers, visitors, contractors and the public. The location of the activity may affect the number of people at risk</i>

Steps 3: Identify the hazards, risks, and rate the risks

1. An activity may be divided into tasks. For each task identify the hazards and associated risks.
2. List existing risk controls and determine a risk rating using the UWS Risk Rating Procedure.
3. Additional risk controls may be required to achieve an acceptable level of risk. Re-rate the risk if additional risk controls used.

Add additional lines if required

Tasks	Hazards	Associated risks	Risk rating with existing controls			Existing risk controls	Evaluation of existing control effectiveness*	Additional Risk Controls	Risk Rating with additional controls		
			L	I	R				L	I	R

L = likelihood I = Impact R = risk rating from the UWS Risk Rating Procedure on the following page.

* refer to section 4: Evaluation of Control Effectiveness

Step 5: Implement the risk controls

Indicate briefly what risk control was implemented, when and by whom. Add more lines if required.

Risk control: _____ Date: _____ Implemented by: _____

Risk control: _____ Date: _____ Implemented by: _____

Risk control: _____ Date: _____ Implemented by: _____

1. Categories of Risk

Risk Category	Description
Academic (Course load/ logistics)	Student load by course and campus, Staff student ratios, teaching loads, admission processes and standards, student progression and retention rates , mode of delivery, changes of student profile and market demands, course and unit coordination capacity and load of academics, levels of administrative and technical support for academic course and unit delivery
Academic (Course curriculum / quality)	Quality/ standard of academic program/ course contents, planning strategy for course offerings, approvals and monitoring process for courses and units
Academic (Research)	Research income, research load, research work and staff, research capacity, Intellectual property, patents, ethical conduct in research etc.
Behaviour	UWS community's risk culture: staff & students' reckless (disasters), conservative (opportunities lost), observation of policies and procedures. Student demonstrations, terrorism, fraud, corrupt conduct, activists seeking to damage UWS.
Environmental	Water, soil, air contamination, asbestos, waste management, incidents causing damages, injury/ death, environmentally triggered emergencies.
Financial	Reductions in income, liquidity, financial loss, insurances, debt, budget overruns, tenders.
Infrastructure	The physical fabric of the University, buildings, roads, pathways, utilities (electricity, water).
International	Overseas ventures/ reputation/ program disaster, relationships with overseas universities.
Legal	Contracts and agreements, high profile litigation - financial and reputational impact.
Legislation	Breach, financial penalty/ impact on reputation, laws, regulations, codes, affecting UWS.
Organisation	Strength of policies and procedures, planning, staffing, morale, training, ethical culture, leadership and management.
Political	Ability to respond to major changes in education policies, level of government consultation.
Reputation (local/ international)	Damaging media reports, employability of graduates, research links, regional involvement.
Technology	Strategic direction of IT, reliance on ecommerce/ email/ internet, student records system, library.

2. Risk Rating Matrix

Impact	Likelihood				
	Rare	Unlikely	Possible	Likely	Almost certain
Catastrophic	moderate	moderate	high	critical	critical
Major	low	moderate	moderate	high	critical
Moderate	low	moderate	moderate	moderate	high
Minor	very low	low	moderate	moderate	moderate
Insignificant	very low	very low	low	low	moderate

3. Classification of Audit Recommendations and Risk Issues

Likelihood (L)	Impact (I)	Rating (L) X (I)	Definition
(5) Almost certain	(5) Catastrophic <ul style="list-style-type: none"> Potential financial impact of \$500,000 (\$50,000)(a) or more Detrimental impact on operations or major projects Sustained loss in reputation , Sustained impact on services or quality Loss of public confidence in the University Contractual, legislative or regulatory non-compliance with certain litigation, prosecution or penalties Life threatening 	Critical > 20	Issue represents a control weakness which could cause a severe disruption to or have a severe adverse effect on operations and objectives
(4) Likely	(4) Major <ul style="list-style-type: none"> Potential financial impact of \$200,000 (\$20,000) or more Major impact on operations or major projects Serious loss in reputation Serious impact on services or quality Probable loss of public confidence in the University Contractual, legislative or regulatory non-compliance with probable litigation, prosecution or penalties Extensive injuries 	High ≥ 13 & ≤ 19	Issue represents a control weakness which could cause a major disruption to or have a major adverse effect on operations and objectives

(3) Possible	(3) Moderate <ul style="list-style-type: none"> • Potential financial impact of \$100,000 (\$10,000) or more • Moderate impact on operations or major projects • Short-term loss in reputation • Moderate decline in services or quality • Possible loss of public confidence in the University • Contractual, legislative or regulatory non-compliance with potential for litigation, prosecution or penalties • Minor injuries 	Moderate ≥ 5 & ≤ 12	Issue represents a control weakness which could cause a disruption to or have an adverse effect on operations and objectives
(2) Unlikely	(2) Minor <ul style="list-style-type: none"> • Potential financial impact of \$50,000 (\$5,000) or more • Minor impact on operations or major projects • No loss in reputation • Minor impact on services or quality • No loss of public confidence in the University • Contractual, legislative or regulatory non-compliance but unlikely to result in litigation, prosecution or penalties • Potential for injury 	Low ≥ 3 & ≤ 4	Issue represents a minor control weakness which could cause a minimal but reportable effect on operations and objectives
(1) Rare	(1) Insignificant <ul style="list-style-type: none"> • Potential financial impact less than \$50,000 (< \$5,000) • Impact can be absorbed – insignificant effect on operations and objectives 	Very Low ≤ 2	Issue represents an insignificant control weakness

4. Evaluation of Control Effectiveness

Well Designed Control ?		Effectively Implemented ?	
3	Needs improvement	3	Deficient (<i>b</i>)
2	Adequate	2	Marginal
1	Strong	1	Effective