

# Health and Safety Risk Matrix

## Determine the Risk Rating (Level of Risk)

For each Consequence Category selected, determine the Risk Rating (Level of Risk) from the relevant Consequence and Likelihood Levels.

### Risk Rating (Level of Risk) = Consequence x Likelihood.

**Select the Likelihood.** Select the appropriate Likelihood or Frequency rating of the Risk Event occurring for the selected Consequence level, given the controls are in place.

**Select the Consequence.** For the given Risk Event select the relevant Consequence categories and apply a rating. The ratings are determined with the existing controls in place.

Where there are multiple ratings for a risk, the highest combination of Consequence/Likelihood is taken as the final risk rating (do not average out the ratings).

Note: There are 3 types of risk ratings:

**Inherent** - no controls in place or total control failure; **Current** - with existing controls in place; **Residual** - with proposed treatment action plans (TAPs) in place.

Curtin requires the **Current** risk rating (as a minimum).

LIKELIHOOD DESCRIPTION					
<b>LIKELIHOOD</b>	The event may occur only in exceptional circumstances.	Not expected but the event may occur at some time.	The event could occur at some time.	The event will probably occur in most circumstances.	The event is expected to occur or has occurred and is continuing to impact.
<b>FREQUENCY</b>	Less than once in 10 years.	At least once between 5 and 10 years.	At least once between 1 and 5 years.	Once per year.	More than once per year.
<b>PROBABILITY</b>	<10%	10% - <35%	35% - <65%	65% - <90%	>90%

IMPACTS		Likelihood Level						
Environment	Health and Safety		Rare	Unlikely	Possible	Likely	Almost Certain	
<b>CONSEQUENCE DESCRIPTION</b>	Permanent environmental damage to an extensive area outside of campus; Sole contributor responsible for direct GHG emissions AND majority of current practice does not meet good practice standards.	<b>Consequence Level</b>	<b>Critical</b>				<b>Extreme</b>	
	Long term environmental damage extending to a large area requiring high level of intervention; Significant contributor responsible for direct GHG emissions AND majority of current practice does not meet good practice standards.		<b>Major</b>			<b>High</b>		
	Short term environmental damage requiring some intervention; Partial contributor responsible for direct GHG emissions AND majority of current practice does not meet good practice standards.		<b>Moderate</b>		<b>Medium</b>			
	Short term environmental damage affecting a small area, easily remediated; Partial contributor responsible for indirect GHG emissions AND majority of current practice does not meet good practice standards.		<b>Minor</b>	<b>Low</b>				
	Minimal environmental damage affecting a very small area, immediately remediated.		<b>Insignificant</b>					

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## Risk Acceptance Criteria Table

**Make an acceptance decision.** Based on the current risk rating, use the Risk Acceptance Criteria Table to determine an appropriate decision and response.

Risk Rating	Criteria for Acceptance of Risk and Risk Review	Criteria for Risk Ownership	Criteria for Risk Reporting
<b>Extreme</b>	<p>Risk is Out of Appetite. Requires a control rating of Excellent. Control rating of Inadequate is unacceptable.</p> <p>Immediate management attention required to reduce exposure. Treatment Action Plans (TAPs) to be developed, implemented and monitored by a designated TAP owner(s) to reduce the risk to as low as reasonably practical. To be reviewed at least every 1 month.</p>	Owned by the DVC / Executive Manager.	To be reported immediately to the relevant Executive and SET. If a broader organisational response is required, risk is to be reported as part of strategic risk themes that are submitted to the Planning & Management Committee / Executive Committee and Council (or to the University Health & Safety Committee for risks with a Health & Safety impact).
<b>High</b>	<p>Risk may be Out of Appetite (for risks with an Objectives &amp; Performance and/or Health &amp; Safety impact rating of '3. Moderate' and above AND likelihood rating of '4. Likely' and above) or Tolerable. Requires a control rating of Excellent (or Adequate but with justification). Control rating of Inadequate is unacceptable.</p> <p>Management attention required (immediately for risks with an Objectives &amp; Performance and/or Health &amp; Safety impact rating of '3. Moderate' and above AND likelihood rating of '4. Likely' and above). Treatment Action Plans (TAPs), where necessary, to be developed, implemented and monitored by a designated TAP owner(s) (subject to preliminary assessment and cost-benefit justification) to reduce the risk to as low as reasonably practical. To be reviewed at least every 3 months (or 1 month for risks with a Health &amp; Safety impact).</p>	Owned by the PVC, Head of School or Head of Area (i.e. Director).	To be reported to the relevant Executive. If a broader organisational response is required, risk is to be reported as part of strategic risk themes that are submitted to the Planning & Management Committee / Executive Committee and Council (or to the University Health & Safety Committee for risks with a Health & Safety impact).
<b>Medium</b>	<p>Risk is Acceptable. Requires a control rating of Adequate. Control rating of Inadequate is unacceptable.</p> <p>Monitor risk for any change in the operating environment. Treatment Action Plans (TAPs), where necessary, to be developed, implemented and monitored by a designated TAP owner(s) (subject to preliminary assessment and cost-benefit justification). To be reviewed every 12 months (or 3 months for risks with a Health &amp; Safety impact).</p>	Owned by the PVC, Head of School, Head of Area (Director) or Head of Section (Manager/Supervisor).	Reported to the DVC / Senior Executive (only for risks with an Inadequate controls rating), or to the local area Health & Safety Committee for risks with a Health & Safety impact.
<b>Low</b>	<p>Risk is Acceptable. Requires a control rating of Adequate. Control rating of Inadequate is unacceptable and will require a Treatment Action Plans (TAPs) to be developed, implemented and monitored by a designated TAP owner(s)</p> <p>Monitor risk for any change in the operating environment. To be reviewed every 12 months (or 6 months for risks with a Health &amp; Safety impact).</p>	Owned by the PVC, Head of School, Head of Area (Director) or Head of Section (Manager/Supervisor).	Reported to the DVC / Senior Executive (only for risks with an Inadequate controls rating), or to the local area Health & Safety Committee for risks with a Health & Safety impact.

**Note: The Risk Acceptance Criteria Table serves as a guide for risk acceptance and should be relevant in most situations. However, there may be situations where an exception could apply (because of factors outside the control of the organisation or due to the nature of the business). As with any decision, a justification for this exception needs to be demonstrated and documented.**

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## Controls Rating Table

### Select the Overall Controls Rating (for ALL controls as a whole)

**Controls** - A control is any measure or action currently in existence that modifies or manages the risk. Examples of controls could include a policy, procedure, practice, process, technology, technique, method, or device. A control should be demonstrable, i.e. auditable.

**Treatment Action Plans (TAPs)** - TAPs are additional controls, where required. It could be an improvement of an existing control and/or a new initiative altogether. TAPs become controls, or modify existing controls, once they have been implemented.

The adequacy of the controls is assessed on a common sense, qualitative basis. This can be viewed as a reasonableness test, i.e. are you doing what is reasonable under the circumstances to prevent or minimise the impacts of the risk?

Level	Descriptor	Foreseeable	Detail
E	Excellent	More than what a reasonable person would be expected to do in the circumstances.	Controls fully in place and require only ongoing maintenance and monitoring. Protection systems are being continuously reviewed and procedures are regularly tested.
A	Adequate	Only what a reasonable person would be expected to do in the circumstances.	Being addressed reasonably. Protection systems are in place and procedures exist for common or typical circumstances. Periodic review.
I	Inadequate	Less than what a reasonable person would be expected to do in the circumstances.	Little to no action being taken. No protection systems exist or they have not been reviewed for some time. No formalised procedures.

Once the **Overall Controls Rating** (above) has been conducted on **ALL** controls as a whole, a **Controls Assurance** should be conducted on EACH control to determine if the controls are in place and effective.

### Controls Assurance Questions:

1. Is the control in use?
2. Is the control documented?
3. Is the control up to date?
4. Is the control effective?

*If you answered 'Yes' to all 4 questions, the control is effective (the control text should be Green).*

*If you answered 'Yes' to 2 or 3 questions, the control may require some improvements (the control text should be Blue).*

*If you answered 'Yes' to 1 or less questions, the control may require significant improvements (the control text should be Red).*