

Title of Risk Assessment (use for TRIM) VERSION 2		Misconduct Process under: <ul style="list-style-type: none"> - Clause 46 of the Academic and English Language Teacher 2024 – 2026 - Clause 50 of the Professional Staff 2023 – 2026 Enterprise Agreement 		Date		10 March 2025	
Sections Used – Check tick box associated with sections used for ease of reference							
Part A: Overview & Instructions		Part B: Risk Assessment Details		Mandatory	Part C: Person completing Risk Assessment	Mandatory	Part D: Plant and Equipment Details
Part E: Process or Task Details		<input checked="" type="checkbox"/>	Part F: Hazardous Substance Details	<input type="checkbox"/>	Part G: Event Description	<input type="checkbox"/>	Part H: Alcohol Details
Part I: Fieldwork Activities description		<input type="checkbox"/>	Part J: Fieldtrip / Excursion Members	<input type="checkbox"/>	Part K: Travel – Domestic and International description	<input type="checkbox"/>	Part L: Travel Itinerary
Part M: Transport Details		<input type="checkbox"/>	Part N: Communication & Emergency Plan	<input type="checkbox"/>	Part O: Safety equipment is being used	<input type="checkbox"/>	Part P: Risk Assessment
Part Q: Supervisor & Other Approvals		<input checked="" type="checkbox"/>					

Part A: Overview & Instructions

- This Risk Assessment is to be used for hazards and risks associated with: Plant & Equipment, a Process or Task, Hazardous Substance, UNE facilitated Event, Fieldwork, and Domestic or International Travel.
- When completing this Risk Assessment details that are not relevant can be removed from view by collapsing the non-relevant '**Part**' using the 'triangle icon' on the left of the menu bar header. There are parts that are mandatory and must be completed.
- **Risk Assessment Training** is available via the [UNE Safety Hub](#) and should be completed prior to completing risk assessments.
- **Plant and Equipment** - It is recommended that you review any documentation from the original manufacturer of the plant or equipment to assist with this risk assessment.
- **Hazardous Substance** – It is recommended that you review the relevant Safety Data Sheet (SDS) for the substance to assist with this risk assessment.
- **Fieldwork** – It is recommended that you review and complete the [Fieldwork Planning Guide & Checklist WHS F010](#) before commencing. If it is a group trip, then the organiser or person supervising the trip must complete this form. Attendance at conferences is generally NOT considered fieldwork. Working from home is generally NOT considered fieldwork. Include details of the trip, group membership, transportation arrangements, fieldwork activities, and emergency plans. A copy of the assessment must be taken into the field by the supervisor of the fieldwork and shown to all participants involved.

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- **Travel** – It is recommended that for International Travel the UNE Travel Policy and Procedure, Smartraveller and International SOS sites be reviewed well in advance before completing this risk assessment. **International destinations that have a travel advice warning from Department of Foreign Affairs and Trade (DFAT) of Level 3 or 4 MUST have a Risk Assessment approved by WHS Team and Insurance prior to approval from the Head of Cost Centre with specific DFAT warnings addressed in the assessment.**
- The **Head of Cost Centre** will approve and retain the original form, in addition it may be necessary to complete other documents and have them approved within your Cost Centre, UNE Insurance, WHS Team, National Parks / RFS or landowners to obtain information on fire restrictions, access, and vehicle use.

Part B: Risk Assessment Details - Mandatory

Risk Assessment Consultation Group

List the risk assessment team with the first person being the author of the risk assessment. N.B. A minimum of two competent people are to be included in the risk assessment team including a Health and Safety Representative (HSR) where possible.

Patrick Crick – Associate Director, People and Partnerships
Diana Chambers - Senior Manager Health, Safety and Wellbeing
Tracey Lye - Industrial Relations Consultant
Anthea White – Director, People and Culture

Location – Where is the hazard?

Insert the location of the hazard/s that have been identified
Across all sites where staff work for UNE.

Part C: Person completing Risk Assessment - Mandatory

Name	Patrick Crick/Diana Chambers/Tracey Lye		
Position	People and Culture – Workplace Relations and Work Health and Safety	Staff number (If any)	N/A
Contact work	N/A	After hours	N/A
Supervisor	Director People and Culture	Cost Centre	N/A

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Part D: Plant and Equipment Details – Remove from View if not applicable using tab on the left of 'Part D' Menu Bar

Plant / Equipment description	Not Applicable to this risk assessment
Manufacturer Documents - <i>eg: Risk Assessment, SOP, Technical Instructions</i>	
List Licences Required	
Training Required	

Part E: Process or Task Details - Remove from View if not applicable using tab on the left of 'Part E' Menu Bar

Process or Task description	Administration of alleged misconduct or serious misconduct proceedings under: <ul style="list-style-type: none"> - Clause 46 of the Academic and English Language Teacher 2024 – 2026 AND - Clause 50 of the Professional Staff 2023 – 2026 Enterprise Agreement
Documents relevant <i>eg: Risk Assessment, SOP, Technical Instructions</i>	Academic and English Language Teacher 2024 – 2026 and the Professional Staff 2023 – 2026 Enterprise Agreement
List Licences Required	NA
Training Required	Workplace Relations Team support the University Officer in carrying out the assessment process to ensure it complies with requirement of the Enterprise Agreement, including that the process and outcome is fair and reasonable.
Supervisor of Process / Task	Workplace Relations Team
Plant and Equipment used <i>if relevant Part D must be completed.</i>	NA
Hazardous Substance/s used <i>if relevant Part F must be completed.</i>	NA

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Part F: Hazardous Substance Details - Remove from View if not applicable using tab on the left of 'Part F' Menu Bar

Hazardous Substance description	Not applicable to this risk assessment.
Documents relevant <i>eg: Risk Assessment, SOP, Technical Instructions, SDS</i>	
List Licences Required	
Training Required	
Process / Task – <i>if relevant Part E must be completed.</i>	
Plant and Equipment used <i>if relevant Part D must be completed.</i>	

Part G: Event Description – Remove from View if not applicable using tab on the left of 'Part G' Menu Bar

Event Location & Date	Not applicable to this risk assessment.
Event Activities <i>N.B. It is not permitted for any tent pegs or any other posts to be driven in to the ground without the express permission from FMS or Safety and Security.</i>	
Person in Control of Event	
Vendor or other stakeholders	

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Have FMS and Safety & Security been informed	
Have relevant insurances been obtained	

Part H: Alcohol Details – Remove from View if not applicable using tab on the left of 'Part H' Menu Bar

Event Location	Not applicable to this risk assessment.	Date	
Start Time		Finish Time	
Pack up and Clean up Time		Number of people expected to attend	
Person in Control of Event		Vendors or other stakeholders	
Name of RF / RA / RT on duty		Phone of RF / RA / RT on duty	
Name of JCR Sober Rep/s (Must have RSA)		Phone of JCR Sober Rep/s	
Type and Quantity of alcohol		Is the event BYO?	
Type and Quantity of food		Free water available	
Where alcohol is being served/supplied?		Is alcohol being served/supplied in standard measures?	

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Is a Liquor Licence being extended to UNE property for the event?		Will alcohol be sold at the event?	
Is admission going to be charged for this event? Does admission include alcohol?		What measures do you have in place to deal with intoxicated and / or violent people? – Cover in detail in Risk Assessment Part P	
Are there any entertainment or recreational activities/games/ sport at the event?		Is the event being held in a controlled area – where entry and exit points are monitored? Where/how?	
Event organisers understand that drinking games or other activities that promote rapid intoxication are prohibited?		Will Head of College be present at the event?	

Part I: Fieldwork Activities description – Remove from View if not applicable using tab on the left of 'Part I' Menu Bar
Part J: Fieldtrip / Excursion Members - Remove from View if not applicable using tab on the left of 'Part J' Menu Bar

Names of participants must be included in the travel booking tool. If no travel booking has been completed, as yet, and names are known, list names of participants. All participants **MUST** complete the WHS F012 Fieldwork Participation Declaration and if participants are volunteers and not University Staff or Students, they **MUST** complete the WHS F034 Volunteer Acknowledgement prior to departure. Include every person on the trip and their status eg: Staff, Undergraduate/Postgraduate etc.

Total number of participants	Not applicable to this risk assessment.		
Name/s		Role	
Names of First aid qualified participants		Qualification - FA, Mental Health FA, CPR, Defib	
WHS F012 Fieldwork Participation Declaration	Yes / No	WHS F034 Volunteer Acknowledgement	Yes / No

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Part K: Travel – Domestic and International description – Remove from View if not applicable using tab on the left of 'Part K' Menu Bar

It is recommended that for International Travel the UNE Travel Policy and Procedure, Smartraveller and International SOS sites be reviewed well in advance before completing this risk assessment.

International destinations that have a travel advice warning from DFAT of Level 3 or 4 MUST have a Risk Assessment approved by WHS Team and Insurance prior to approval from the head of cost centre with specific DFAT warnings addressed in the assessment.

Travel Type	Domestic <input type="checkbox"/>		International <input type="checkbox"/>	
Destination Details	Not applicable to this risk assessment.			
Supervisor of Travel Name		Contact Details- Email & Phone		
Destination Contact Person		Contact Details – Email & Phone		
Name of person at UNE who is monitoring the trip?		Contact Details – Email & Phone		
Is Fieldwork being conducted as part of the trip? <i>If yes complete Part I & J</i>	Yes / No			
International Travel Only				
What is the DFAT Travel Advice Level for your Destination/s <i>Check the Smartraveller site for this</i>	Level 1 Exercise Normal Safety Precautions	Level 2 Exercise a high degree of caution	Level 3 Reconsider your need to travel	Level 4 Do not travel
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
What is the specific warning advice on Smartraveller for your Destination/s? Provide a summary of the advice. These warnings MUST be addressed in the Risk Assessment in Part P				

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Have you obtained pre-departure medical and security advice from International SOS? <i>UNE travellers are entitled to this advice access on Campus Travel.</i>	Yes / No	Have you Registered your Travel Plans with DFAT using the Smartraveller site?	Yes / No
Have all required vaccinations and health checks been conducted? <i>If yes details</i>	Yes / No	Are all travellers confident and willing to conduct the travel? <i>Travellers should be provided with a full briefing of the trip details</i>	Yes / No

Part L: Travel Itinerary – Mandatory for all Travel and Fieldwork - Remove from View if not applicable using tab on the left of 'Part L' Menu Bar

Point of Departure	Not applicable to this risk assessment.	Date		Time	
Point of Destination		Date		Time	
Accommodation Details at Destination		Date In		Date Out	
Location of Stopovers or other Destinations during travel		Date		Time	
Accommodation Details at Stopovers / Other Destinations		Date In		Date Out	
Point of Return		Date		Time	

Part M: Transport Details - Mandatory for all Travel and Fieldwork - Remove from View if not applicable using tab on the left of 'Part M' Menu Bar

Type of Transport	University Vehicle	Public transport	Private transport
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Car	Train	Bus	Aero plane
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
University Vehicle/s (Make & Model)	Not applicable to this risk assessment.		Registration Number (if known)
Private Vehicle/s (Make & Model & Registration number)	Has the use of private vehicles been authorised by HoCC and copies been provided of Driver's Licence, current Registration and relevant insurance?		Yes / No
Drivers Name	Licence Number & Type		

Part N: Communication & Emergency Plan - Mandatory Travel & Fieldwork - *Remove from View if not applicable using tab on the left of 'Part N' Menu Bar*

Provide details of your Communication and Emergency Plan. Provide dot points on what will you do in an emergency situation and what are your communication actions? How can you be contacted or what is the trigger point for your supervisor to enact this plan?	Refer to Part P for embedded actions and controls within the process.		
Name of Emergency Contact Person		Phone & Email contact	
Name of UNE Contact Person		Phone & Email contact	

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Name of alternate contact person on trip / fieldwork		Phone & Email contact	
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Part O: Safety equipment is being used - Remove from View if not applicable using tab on the left of 'Part O' Menu Bar

What Safety Equipment is being used e.g.: SPOT checker, Sat phone, PPE	Not applicable to this risk assessment.
Are participants appropriately trained to safely use equipment issued? Provide details of training provided	

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Part P: Risk Assessment - Mandatory

Use the Risk Matrix in Annex 1 to determine the Risk Rating and Response Required.

Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		What are the hazards?	What are the Risks associated with the hazard? There may be several Risks from each Hazard.	What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix	What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix	What is the residual Risk Rating after the Control has been implemented?	Who is person responsible for implementing and monitoring Controls?
1	Prior to entering the misconduct process under the Enterprise Agreements.	Misconduct process entered incorrectly.	- Misconduct process is entered into when an alternative performance/ complaint process should have been utilised. This may cause unnecessary psychological distress and anxiety.	13 – Medium	<p>Make information available to university stakeholders through a standalone complaints webpage that provides ongoing self – service information which may include the following:</p> <ul style="list-style-type: none"> University complaints pathways document detailing each complaint pathway available to staff. University Performance Management toolkit available for staff. Misconduct flowchart and misconduct clauses from the enterprise agreements to inform staff of the stages, inclusions and definitions. Complaints FAQs for supervisors to provide further details on complaints processes/definitions. <p>Offer training in the misconduct process under the enterprise agreement through packages such as the following:</p> <ul style="list-style-type: none"> University complaint information included in the Managers Toolkit to facilitate training for supervisors. People and Culture staff trained in this risk assessment and misconduct procedure. University complaint information included in the Code of Conduct training provided on induction and via refresher training. A variety of easy access online courses hosted in Moodle <p>Provide training, as appropriate, to People and Culture team members who are dedicated to managing staff misconduct matters and/or acting as the Delegate for the Director, People and Culture:</p> <ul style="list-style-type: none"> In the application of the Enterprise Agreements and advising supervisors and employees on which process is most applicable, escalating safety concerns to a hazard or incident report in the safety management system. In recognising and responding to psychological distress and sexual assault and sexual harm investigations. In assessing complaints to ensure that they are genuine and made in good faith and that reinforce to complainants that vexatious, false, or misleading allegations could expose the complainant to the risk of legal proceedings such as defamation or disciplinary action being taken against the complainant by the University. 	6 - Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p>

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		<i>What are the hazards?</i>	<i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	<i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	<i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	<i>What is the residual Risk Rating after the Control has been implemented?</i>	<i>Who is person responsible for implementing and monitoring Controls?</i>
2	Assessment	Exposure to emotionally charged complaints or conflict situations may negatively impact the psychological wellbeing of the University Officer.	<ul style="list-style-type: none"> Exposure to distressing cases and high emotional demand can lead to burnout or compassion fatigue. Risk of being seen as partial or conflicted, especially without clear boundaries or neutrality. Potential for unsafe interactions or procedural missteps that may compromise fairness or escalate issues. Inadequate access to training, supervision, or support structures increases risk of error and professional stress. 	13 – Medium	<ul style="list-style-type: none"> Assign an impartial University Officer with no material conflict of interest. Discuss and document any concerns the University Officer has that may impact on their ability to safely undertake the role. The University may determine that it is more appropriate to appoint a different person as the University Officer, particularly if there are concerns about the University Officer's wellbeing. If the University Officer identifies a conflict of interest in relation to the misconduct matter, register this and request further advice on the material nature of the conflict of interest from the Workplace Relations team. Provide training to the University Officer as-deemed appropriate, which may include**: <ul style="list-style-type: none"> The misconduct process and the role of University Officer under the Enterprise Agreement's misconduct process. The decision-making guide to misconduct. This risk assessment, as well as confidentiality requirements of complaints processes and ramifications of a lack of adherence detailed. Optional - The NSW Ombudsman online module for "frontline complaint handlers", as well as a variety of online courses for managers and leaders hosted in Moodle, including training in Aboriginal and Torres Strait Islander cultures. The following training for the University Officer is recommended when the matter involves a sexual assault or sexual harm: <ul style="list-style-type: none"> Sexual assault and sexual harm investigation training by an expert third party provider. Guidance and support provided by the Workplace Relations team through direct engagement and consultation. Training provided to the University Officer in this risk assessment. EAP and associated support services offered to the University Officer. Establish an open line of communication to facilitate issues are escalated to the Workplace Relations team and Director People and Culture. Consider hazard and incident raising process detail provided and information provided on how to identify potential hazards in the misconduct process. Remind participants of confidentiality requirements and ramifications of a lack of adherence. <p>** If the Delegate in the misconduct process is not the Director of People and Culture OR a Workplace Relations team member, then the training and controls under Risk ID 2 specified for the University Officer will be required for the Delegate.</p>	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		<i>What are the hazards?</i>	<i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	<i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	<i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	<i>What is the residual Risk Rating after the Control has been implemented?</i>	<i>Who is person responsible for implementing and monitoring Controls?</i>
3	Assessment	Preexisting health concerns of parties involved in the misconduct.	<ul style="list-style-type: none"> Parties to the misconduct process may have preexisting health concerns that need to be accommodated throughout the misconduct process to prevent exacerbation of symptoms and absenteeism. 	13 - Medium	<ul style="list-style-type: none"> Supervisor and Head of Cost of affected parties to be briefed on misconduct assessment process to assist with health and misconduct process control assessment. As appropriate, complete a health risk assessment for participants in the misconduct process. Facilitate timely progression throughout the process so far as reasonably practicable to minimise duration of the process. Schedule appropriate wellbeing check-ins as determined by the health risk assessment throughout the process. As appropriate, consider the scope of their involvement in matter. Discuss and agree health controls then apply controls to the process based on the risk assessment, review these throughout the misconduct process. Brief supervisors and Head of Cost on proposed controls discussed and agree to these. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant Staff members supervisor
4	Assessment	Uncontrolled exposure to parties involved in the misconduct process.	<ul style="list-style-type: none"> Parties to the misconduct process may come in contact with each other through their roles or work tasks which may result in psychological distress. 	13 - Medium	<ul style="list-style-type: none"> Consider any potential risks in relation to the application of the misconduct process for participants, develop safety controls, such as reporting line changes, communication protocols, change in delegations and work location changes, as considered appropriate. Brief supervisors and Head of Cost on proposed controls discussed and agree to these. Inform parties of EAP and other UNE support services. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant
5	Assessment	Psychological distress for claimant, respondent and other stakeholders when initial contact is made in relation to the matter.	<ul style="list-style-type: none"> Emotional distress or defensive reactions may occur when parties are first notified of allegations. Misunderstanding or mistrust of the process can lead to resistance or lack of cooperation. Risk of retaliation or confidentiality breaches if contact is not carefully managed and supported 	13 – Medium	<ul style="list-style-type: none"> The Workplace Relations teams communicate with all parties and confirm option to have a support person/ representatives and check of their welfare. Offer information on the EAP to all parties. Communicate anticipated timelines and expectations to all parties. Consider appropriate reporting line changes for relevant participants. Provide the following to the respondents: <ul style="list-style-type: none"> A summary of the discussion. A misconduct information sheet for respondents. Misconduct flow chart. Next steps and any proposed further meeting details. Reminder of confidentiality and anti-retaliation measures. Confirmation of emergency contacts information available in Ascender. Provide information on the EAP and other support services. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer

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Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		What are the hazards?	What are the Risks associated with the hazard? There may be several Risks from each Hazard.	What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix	What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix	What is the residual Risk Rating after the Control has been implemented?	Who is person responsible for implementing and monitoring Controls?
					For other stakeholders provide a follow up email summarising the discussion and any further meeting details, as well as EAP details.		
6	Assessment	Exposure to emotionally charged or confrontational interactions during misconduct meetings that may impact the psychological or physical safety of participants.	<ul style="list-style-type: none"> Psychological distress or emotional escalation may occur due to the sensitive nature of the discussion. Risk of aggressive behaviour or perceived intimidation, especially in high-conflict or unbalanced situations. Confidentiality or physical safety concerns if meetings are not held in secure, neutral environments. 	13 - Medium	<p>Before the meeting:</p> <ul style="list-style-type: none"> Review the health risk assessment for each party, if applicable, to identify potential psychological risks before proceeding. Review the Guideline for Conducting Misconduct or Grievance Meetings Safely. Call the parties to the meeting prior to scheduling the meeting and offer meeting modality alternatives. Offer support persons/representatives. Consider appropriate meeting format. Determine appropriate meeting time. Confirm meeting details in writing and provide meeting agenda. <p>During the meeting:</p> <ul style="list-style-type: none"> At in person meetings, endeavour to use a suitable private location with multiple entry/exit points, provide tissues/water, allow for breaks in meetings as needed. Provide information, to assist meeting participants to understand and respond to any claims or allegations. Check-in with participant. At remote meetings obtain contact details for participant and support person/representative, as applicable in case needed. Provide same measures regarding breaks and check-ins as for in-person meeting. Provide details of EAP and associated support services. Check-in at the end of the meeting to ensure the participant is OK and has appropriate support. <p>After meeting:</p> <ul style="list-style-type: none"> Record accurate, confidential notes and confirm key points in writing if necessary. Store records securely and limit access to authorised personnel. Where possible and appropriate check in with participants wellbeing. Consider if further risk controls are needed. 	6 - Low	University Officer with support and guidance from People and Culture Workplace Relations team
7	Assessment	Determinations under the misconduct assessment process may cause distress.	<ul style="list-style-type: none"> Individuals (complainants, respondents, or witnesses) may experience anxiety, stress, or loss of wellbeing due to the nature of the determination, regardless of the outcome. 	8 - Medium	<ul style="list-style-type: none"> Review health assessments (as applicable) and confirm availability of support services such as EAP. Communicate outcomes in a clear, and empathetic manner. Allow support persons/representatives to be present during outcome discussions, if requested. Offer post-determination debriefs or check-ins with affected individuals. Review any controls implemented through the misconduct process for currency. 	3 – Very Low	Senior Workplace Relations Manager Industrial Relations Consultant

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		What are the hazards?	What are the Risks associated with the hazard? There may be several Risks from each Hazard.	What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix	What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix	What is the residual Risk Rating after the Control has been implemented?	Who is person responsible for implementing and monitoring Controls?
							University Officer
8	Assessment	Psychological safety of the University Officer once process is finalised.	<ul style="list-style-type: none"> Delayed emotional impact or burnout may occur due to the cumulative stress of managing complex or high-conflict cases. Ongoing anxiety or lack of closure can affect the University Officer's wellbeing. 	8 - Medium	<ul style="list-style-type: none"> Workplace Relations team to provide a debrief session with the University Officer to reflect on the process and concerns or questions they may have. EAP and associated support services to be offered to the University Officer, as well as ongoing support through the Workplace Relations team should they have any concerns regarding the process in the future. 	3 – Very low	Senior Workplace Relations Manager Industrial Relations Consultant
9	Notification	Psychological distress when assessment outcome is delivered.	<ul style="list-style-type: none"> The outcomes of the assessment stage and the resulting notification/s under this stage causes psychological distress to the respondent. 	13 - Medium	For the respondent: <ul style="list-style-type: none"> Health risk assessments reviewed, as applicable. Controls utilised as appropriate. Where possible discuss notifications with the respondent prior to delivering any written determinations. Respondent can choose to have a support person or representative. The Workplace Relations team will support the relevant decision maker in delivering their determination notification. The outcomes of the misconduct assessment discussed with the respondent as appropriate. This will then be provided as a written notification to the respondent. EAP should be offered in conjunction with notifications under this stage. Update respondent on any delays to processes as applicable and able. 	6 - Low	Director, People and Culture Senior Workplace Relations Manager Industrial Relations Consultant Senior Executive
10	Notification	Psychological distress for Senior Executive and Delegates.	<ul style="list-style-type: none"> Emotional burden or stress from handling high-stakes, sensitive decisions may impact the Senior Executive's wellbeing. Decision-related pressure or scrutiny can affect judgement, confidence, 	8 – Medium	<ul style="list-style-type: none"> The Workplace Relations team and/or the Director of People and Culture will offer support to Senior Executive in planning the delivery of notifications. EAP and associated support services offered to Senior Executive. After notifications are delivered by Senior Executive members the Workplace Relations team will offer a debrief to the Senior Executive member. The Business Partner for the relevant Senior Executive will also be offered to assist Senior Executive members when delivering notification outcomes. 	3 – Very Low	Senior Workplace Relations Manager Industrial Relations Consultant

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			and leadership effectiveness.				Business Partners
11	Investigation	Potential for psychological distress if an investigator is appointed.	<ul style="list-style-type: none"> Investigator is not appropriate to the specific nature of the investigation required and causes psychological distress for investigation participants. 	8 – Medium	If an investigator is required, consider: <ul style="list-style-type: none"> Suitability to the investigation and the specific technical and cultural considerations as well as severity of the matter. For sexual harm and assault matters the investigator may be trained in sexual assault and sexual harm investigation techniques. Briefing on safety controls and the health risk assessment as appropriate of any participant in the investigation. Support by the Workplace Relations team as required. 	3 – Very Low	Senior Workplace Relations Manager Industrial Relations Consultant Investigator
12	Investigation	Psychological distress for investigation participants.	<ul style="list-style-type: none"> Strained relationships and reduced cooperation may arise among parties or across the broader team. Perceived bias or unfairness in the process can lead to disengagement and loss of trust. Prolonged investigations may increase stress, harm wellbeing, and negatively impact workplace culture and productivity. 	13 - Medium	The Delegate and the Investigator will consider the following in the investigation stage: <ul style="list-style-type: none"> Health risk assessments reviewed as appropriate and applicable. Using the controls listed in risk ID 6. Notifying participants by phone or face to face of their requirement to be interviewed as part of the investigation, prior to receiving written notification of the interview request, where practicable. Meetings will be scheduled with participants with at least 2 days' notice where possible. Explaining the purpose, scope, and steps of the investigation to all parties. Providing written information on rights, expectations, and timeframes. Opportunity to have a support person or representative. The Workplace Relations team will support the Delegate or Investigator in this process as required. EAP offered to all participants under this stage. Interim workplace arrangements to manage safety, privacy, and wellbeing during the investigation. Confidentiality of investigation proceedings and procedural fairness, including by reminding participants of their confidentiality obligations. Check-ins as appropriate. Respondent updated on any delays to processes as possible by the Workplace Relations team. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant Investigator

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		<i>What are the hazards?</i>	<i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	<i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	<i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	<i>What is the residual Risk Rating after the Control has been implemented?</i>	<i>Who is person responsible for implementing and monitoring Controls?</i>
13	Investigation	Psychological distress when investigation outcome is delivered.	<ul style="list-style-type: none"> Emotional reactions such as shock, anger, or anxiety, especially if the outcome is unexpected or unfavourable. Withdrawal, disengagement, or strained relationships with colleagues or leadership following the outcome. Loss of trust in the process or institution, potentially leading to formal complaints or reputational damage. 	13 - Medium	<p>The Delegate will consider:</p> <ul style="list-style-type: none"> The controls listed in risk ID 6. Scheduling a meeting with the respondent to discuss the investigation report, prior to delivering the written report to them where practicable. Offering a support person or representative to the respondent when attending this meeting. Where practicable, the outcomes of the investigation and resulting determinations by the delegate and options for the respondent should be discussed with the respondent. Communicate using empathetic language and provide time for clarification and questions. Providing the respondent with written investigation report/extracts thereof and the delegates determination as well as details of respondent's options in relation to the report. Reminding of availability of EAP. Arranging a follow-up check-in with the respondent after the outcome as appropriate. 	6 - Low	<p>Director, People and Culture</p> <p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p> <p>Senior Executive</p>
14	Misconduct Investigation Committee	Misconduct Investigation Committee members not aware of responsibilities.	<ul style="list-style-type: none"> Psychological distress for Committee members and participants in the Misconduct Investigation Committee. 	13 - Medium	<p>The Delegate will consider:</p> <ul style="list-style-type: none"> Providing members of the Misconduct Investigation Committee (MIC) with an overview of their responsibilities under the MIC. If applicable, providing sexual assault and sexual harm investigation training through an expert third party provider when required. Requesting MIC members declare any conflicts of interests. Providing information on EAP and other support services to MIC members. 	6 - Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p>
15	Misconduct Investigation Committee	Misconduct Investigation Committee participants are subject psychological distress.	<ul style="list-style-type: none"> Misconduct Investigation Committee participants such as respondent and witnesses experience psychological distress through the proceedings. 	13 - Medium	<p>The Delegate and Misconduct Investigation Committee Chairperson will consider:</p> <ul style="list-style-type: none"> Health risk assessment for participants in the Misconduct Investigation Committee (MIC) as appropriate. Scheduling a meeting with each participant to discuss the MIC to inform them of the process. Any concerns of participants should be addressed as far practicable. Checking in over the course of MIC proceedings and allowing for breaks as needed. 	6 - Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p> <p>MIC Chairperson</p>

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard	Risks	Risk Rating Before Control	Controls	Risk Rating After Control	Risk Owner
		<i>What are the hazards?</i>	<i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	<i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	<i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	<i>What is the residual Risk Rating after the Control has been implemented?</i>	<i>Who is person responsible for implementing and monitoring Controls?</i>
16	Misconduct Investigation Committee	Misconduct Investigation Committee meeting location is unsafe.	<ul style="list-style-type: none"> Psychological distress or heightened tension for participants due to lack of privacy, perceived power imbalances, or proximity to others involved. Risk of confrontation or escalation, especially if parties feel threatened or exposed. 	8 – Medium	<p>The Delegate and Misconduct Investigation Committee Chairperson will consider:</p> <ul style="list-style-type: none"> The most appropriate format of the meeting to minimise risk to health and safety of participants (e.g. In person, remote/hybrid). Timing of the meeting. The location of the meeting in a suitable private location with multiple entry/exit points, provide tissues/water, where possible. Notifying University Security of the meeting to perform a static guard if required noting University Security are trained in First Aid and Mental Health First Aid. 	3 – Very Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p> <p>MIC Chairperson</p>
17	Misconduct Investigation Committee	Misconduct Investigation Committee report findings cause psychological distress.	<p>Emotional harm to the respondent, complainant, or witnesses—particularly if the findings are unexpected, serious, or perceived as unjust.</p> <p>Disengagement or withdrawal from the workplace or process due to stress or anxiety.</p>	13 - Medium	<p>The Delegate will consider:</p> <ul style="list-style-type: none"> Scheduling a meeting with the respondent to discuss the Misconduct investigation Committee (MIC) report, prior to delivering the written report to them, where practicable. Offering a support person or representative to the respondent. The controls listed in risk ID 6. Discussing the outcomes of the MIC's report and resulting determinations by the MIC and options for the respondent with the respondent. Providing the respondent with written MIC's report as well as details of respondent's options in relation to the report, as appropriate. Reminding of EAP. 	6 - Low	<p>Director, People and Culture</p> <p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p>
18	Misconduct Investigation Committee	The Vice Chancellor's determination causes psychological distress.	<ul style="list-style-type: none"> The outcomes of the Vice Chancellors determination may cause psychological distress to the respondent. Disengagement or withdrawal from the workplace or process due to stress, anxiety, or loss of trust. 	13 – Medium	<ul style="list-style-type: none"> Consider: Using the same process as utilised by the Delegate in Risk ID 17 when communicating to the respondent the Vice Chancellor's determination, as appropriate. If termination is recommended, EAP offered to the employee beyond their employment cessation date. 	6 - Low	<p>Director, People and Culture</p> <p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p>

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard <i>What are the hazards?</i>	Risks <i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	Risk Rating Before Control <i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	Controls <i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	Risk Rating After Control <i>What is the residual Risk Rating after the Control has been implemented?</i>	Risk Owner <i>Who is person responsible for implementing and monitoring Controls?</i>
19	General	Suspension may cause psychological distress.	<ul style="list-style-type: none"> Suspending an employee during a misconduct process might causes psychological distress and lead to isolation compounding wellbeing concerns. 	13 – Medium	<ul style="list-style-type: none"> If appropriate the Director People and Culture will schedule a meeting with the respondent to discuss the rationale for suspension. Where possible, meet with respondent in a private location and offer option of a support person or representative. Consider controls from risk ID 6 and ID 16. The Director People and Culture will provide the respondent with the written notification of the suspension. EAP and other support services offered. Well-being check in with the respondent by the Wellbeing team in People and Culture as appropriate. 	6 - Low	Director, People and Culture Senior Workplace Relations Manager Industrial Relations Consultant Wellbeing team
20	General	Complaint against parties administering the misconduct process by those subject to the process.	<ul style="list-style-type: none"> Allegations of bias, unfair treatment, or procedural mishandling, which can delay the process and damage credibility. Stress or reputational harm to those administering the process, impacting their confidence and wellbeing. 	13 – Medium	<ul style="list-style-type: none"> When a complaint is received in relation to any parties administering the misconduct process then the complaint should be assessed by the Director of People and Culture and referred to the UNE Legal team for further assessment if any conflicts of interests are determined. UNE Legal will then determine the most appropriate course of action. If the complaint involves the Director, People and Culture and a conflict of interest is material then it should be escalated directly to UNE Legal. 	6 - Low	Director, People and Culture UNE Legal
21	General	Leave may result in delays causing psychological distress.	<ul style="list-style-type: none"> Unplanned and prolonged leave of parties under the misconduct process may result in psychological distress due to delays in progressing the process. 	13 – Medium	<ul style="list-style-type: none"> The Delegate will ensure that all parties are provided regular updates on any delays in the misconduct process due to leaves of absence. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant

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Hazard Identification and Risk Assessment							
Risk ID	Misconduct Stage	Hazard <i>What are the hazards?</i>	Risks <i>What are the Risks associated with the hazard? There may be several Risks from each Hazard.</i>	Risk Rating Before Control <i>What is the Risk Rating before Control and Response? See Step 1 & 2 Risk Matrix</i>	Controls <i>What are the things that will remove or reduce the risk that are required to be implemented? See Step 3 of the Risk Matrix</i>	Risk Rating After Control <i>What is the residual Risk Rating after the Control has been implemented?</i>	Risk Owner <i>Who is person responsible for implementing and monitoring Controls?</i>
22	General	Review of processes.	- Processes and risk assessment should be reviewed periodically to ensure the processes reflect best practice.	13 - Medium	A review of this risk assessment should be undertaken every 12 months and amendments made as required. The misconduct process should be reviewed through the next enterprising bargaining process to ensure the process reflects best practice, opportunity to review all relevant regulatory and case law amendment and safeguards the wellbeing of all participants.	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant
23	General	People and Culture team members exposure to misconduct processes.	- People and Culture team members administering the misconduct process may be exposed to health and wellbeing risks.	13 - Medium	- Provide where appropriate specialised training in trauma-informed investigations, de-escalation techniques, and stress management. - Define role limitations to prevent People and Culture staff from taking on excessive emotional burdens. - Implement structured debriefing sessions after high-impact cases. - Facilitate peer debriefing to allow People and Culture team members to share concerns confidentially. - Consider establishing well-being check ins for selected roles (administered through EAP Provider)	6 - Low	Director, People and Culture

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Part Q: Supervisor & Other Approvals – Mandatory

- I confirm this Risk Assessment accurately addresses details of the hazards and risks associated with this event, travel, process, equipment, fieldwork and/or activity: **Yes / No**
- I will ensure that all participants that are impacted including Fieldwork participants are informed of the hazards, risks and controls in this assessment: **Yes / No**
- I confirm that all required approvals will be obtained prior to proceeding with this event, travel, process, use of equipment, fieldwork or activity: **Yes / No**
- I confirm that UNE Insurance insurance@une.edu.au and WHS Team whs@une.edu.au have been provided this Risk Assessment for International Travel where the destination/s have a Travel Advice of Level 3 or 4 from DFAT for review and approval: **Yes / No / NA**
- I confirm that all required forms are completed and attached with this assessment: **Yes / No**

Assurance of Supervisor / Applicant Fieldwork – Event – Travel - Activity	Name	Date	Signature
Supervisor			
Approvals	Name:	Date	Signature
Approval Supervisor	Anthea White	27-May-2025	
Approved (Head of School/Cost Centre)	Anthea White	27-May-2025	
Approval Insurance			

Attached relevant forms / Booking numbers

WHS F010 Fieldwork Planning Guide & Checklist	N/A	Travel Booking Completed?	N/A
WHS F012 Fieldwork Participation Declaration	N/A	Motor Vehicle requisition Form?	N/A
WHS F034 Volunteer Acknowledgement	N/A	Other: [Provide Details]	Yes / No

Records Storage Instructions:

This completed form must be recorded in TRIM Container A16/3832 utilising a TRIM license in your School/Business Unit. The naming convention must include the name of the form.

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Annex 1

Risk Assessment Matrix					
Step 1 – Determine the Likelihood and Consequence					
Likelihood					
Consequence	Rare Likely to occur in very exceptional circumstances	Unlikely Could occur at some time	Possible May occur at some time	Likely Will probably occur or has happened before	Almost Certain Expected to occur
Insignificant No personal injury, no adverse outcomes	1-Very Low	2-Very Low	4-Low	7-Medium	11-Medium
Minor Minor injury (first aid treatment) and adverse outcomes	3-Very Low	5-Low	8-Medium	12-Medium	16-High
Moderate Serious injury (medical treatment) adverse outcomes	6-Low	9-Medium	13-Medium	17-High	20-Very High
Major Serious injury (long term absence) major adverse outcomes	10-Medium	14-Medium	18-High	21-Very High	23-Severe
Catastrophic Fatality or permanent impairment, government intervention	15-Medium	19-High	22-Very High	24-Severe	25-Severe
Step 2 – Determine the Risk Rating and Response Required					
Risk Rating	Response Required				
23-25 Severe	Highest Priority – stop work and implement controls immediately				
20-22 Very High	Requires urgent attention - temporary controls to be implemented in interim				
16-19 High	Requires urgent attention – plan for controls through consultation				
7-15 Medium	Requires attention – controls to be established through consultation				
4-6 Low	Requires monitoring - controls to be established through consultation				
1-3 Very Low	Requires monitoring				
Step 3 – Implement the Highest Control that is available					
Hierarchy of Controls					
Elimination	Highest - Physically remove the hazard – <i>This is not always possible</i>				
Substitution	Replace the hazard with something less hazardous – e.g.: <i>replace lead based paint with water based paint to lessen the risks</i>				
Engineering	Isolate people from the hazard by using engineering controls – e.g.: <i>install roll-over protection bars on a quad bike</i>				
Administrative	Administrative controls – e.g.: <i>procedures, training, maintenance programs, safety signage</i>				
PPE	Lowest - Personal Protective Equipment – <i>to be used in conjunction with other controls or as a last resort in isolation – e.g.: steel cap boots, gloves, eye/hearing protection</i>				

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