

Title of Risk Assessment (use for TRIM) Version 2	Misconduct Process under the Complaints Policy - UNE Representatives not covered by Enterprise Agreements.	Date	21 March 2025
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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	<input type="checkbox"/>
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	<input type="checkbox"/>
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	<input type="checkbox"/>
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	<input checked="" type="checkbox"/>
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.
- **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.**

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➤ 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

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
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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 the Complaints Policy - UNE Representatives not covered by Enterprise Agreements.
Documents relevant <i>eg: Risk Assessment, SOP, Technical Instructions</i>	<u>Complaints Policy - UNE Representatives not covered by Enterprise Agreements / Document / UNE Policy Register</u>
List Licences Required	NA
Training Required	WR Team support the University Officer in carrying out the assessment consistent with the Complaints Policy - UNE Representatives not covered by Enterprise Agreements.
Supervisor of Process / Task	WR 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

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

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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?	
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	

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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

This must include LOCATION of fieldwork/excursion (include a map or Grid Coordinates if available), the purpose of the trip and the justification for inclusion of fieldwork activity, the type of WORK/ACTIVITY being undertaken and role of participants. It is recommended that you review and complete the [Fieldwork Planning Guide & Checklist WHS F010](#) before commencing.

Fieldwork Location	Not applicable to this risk assessment.
Fieldwork Activities	
Fieldwork Person in Control	
Fieldwork Supervisor	
Is Travel involved in the Fieldwork? <i>If yes complete Part K</i>	Yes / No
Is Plant and Equipment being used? <i>If yes complete Part D</i>	Yes / No
Is Hazardous Substance/s being used? <i>If yes complete Part F</i>	Yes / No
Are there any vaccinations required by participants? <i>Details if yes</i>	Yes / No

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Are there any biosecurity considerations required? <i>Details if yes</i>	Yes / No
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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 e.g.: 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

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

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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					
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	

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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"/>
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		

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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	
Name of alternate contact person on trip / fieldwork		Phone & Email contact	

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
		<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>
1	Prior to entering the misconduct process under Complaints Policy - UNE Representatives not covered by Enterprise Agreements.	Misconduct process entered incorrectly.	<ul style="list-style-type: none"> 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>Information made 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. Complaints FAQs for supervisors. <p>Training in the misconduct process offered 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. Complaint handling training for front line complaint handlers and senior staff via the NSW Ombudsman available to all staff. A variety of easy access online courses hosted in Moodle. <p>That People and Culture team members who are dedicated to managing staff complaints and misconduct matters are trained in:</p> <ul style="list-style-type: none"> The application of university complaints processes to advise supervisors and employees on which process is most applicable, and who will escalate safety concerns to a hazard or incident report in the safety management system. Recognising and responding to psychological distress and sexual assault and sexual harm investigations. As appropriate, 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>
2	Assigning a University Officer	Exposure to emotionally charged complaints or conflict situations may	Exposure to distressing cases and high emotional demand can lead to burnout or compassion fatigue.	13 – Medium	<ul style="list-style-type: none"> Assign an impartial University Officer with no prior involvement in the alleged misconduct. Discuss and document any concerns the University Officer has that may impact on their ability to safely undertake the role. Consider prior appointments as a University Officer (frequency, severity of matters). 	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>
		negatively impact the psychological wellbeing of the University Officer.	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.		<ul style="list-style-type: none"> - University may determine at any time (including while a complaint is being addressed) that it is more appropriate to appoint an alternative 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, this is to be registered and advice sought on 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"> o The misconduct process and the role of University Officer under the Complaints Policy. o The decision-making guide to misconduct. o This risk assessment, as well as confidentiality requirements of complaints processes and ramifications of a lack of adherence detailed. o 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"> o 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. - EAP and associated support services offered to the University Officer. - Open line of communication so that issues are escalated to the Workplace Relations team and Director People and Culture. 		
3	Prior to entering the informal or formal stage.	Informal process entered into when a formal process should have been.	- Entering into an inappropriate process may cause unnecessary psychological distress and anxiety.	13 - Medium	- See control measures outlined in Risk ID 2 to assist the University Officer in having the skills and training to ensure the correct decision is made to pursue either an informal or formal approach as appropriate for the matter.	6 - Low	Senior Workplace Relations Manager University Officer
4	Prior to entering the informal or formal stage.	Preexisting health concerns of parties involved in the misconduct.	- 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 of affected parties to be briefed on the informal and formal process under the Policy to assist with health and process control assessment, if appropriate. - As appropriate, complete a health risk assessment for participants in the process. - Facilitate timely progression throughout the process so far as reasonably practicable. - Schedule appropriate wellbeing check-ins as determined by the health risk assessment. - As appropriate, consider the scope of their involvement. Consider health controls based on the risk assessment. - Brief supervisors / relevant Senior Executive on proposed controls as appropriate. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant Staff members supervisor
5	Prior to entering the	Uncontrolled exposure to parties	- Parties to the process may have contact through their	13 - Medium	- Consider potential risks and implement safety controls as appropriate, such as reporting line changes, communication protocols, changes in delegations and work location changes.	6 - Low	Senior Workplace Relations Manager

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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>
	informal or formal stage.	involved in the misconduct process.	roles or work tasks which may result in psychological distress.		<ul style="list-style-type: none"> Brief supervisors / relevant Senior Executive on proposed controls discussed as appropriate. Inform parties of EAP and other UNE support services. 		Industrial Relations Consultant Staff members supervisor
6	Informal – Consult	Psychological distress for claimant, respondent and other stakeholders when initial contact is made in the informal stage.	<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 team [<i>or University officer, as appropriate</i>] to call and arrange the initial meeting directly with all parties and offer support persons or representatives. Offer information on the Employee Assistance Program (EAP). Communicate anticipated timelines and expectations to all parties. Discuss proposed controls from risk ID 4 and 5, such as reporting line changes with relevant participants and agree on controls or amend accordingly. <p>Following the initial contact provide the following to the complainant and respondent/s by email:</p> <ul style="list-style-type: none"> A summary of the discussion including the offer of a support person/representative and offering them the support person FAQ's. The allegation and any evidence to respondent. A copy of the Complaints Policy - UNE Representatives not covered by Enterprise Agreements. Next steps and any proposed further meeting details. Confidentiality and anti-retaliation measures. Currency of emergency contacts information available in Ascender. Information on the EAP and other support services. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer
7	Informal – Consult	Exposure to emotionally charged or confrontational interactions during 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 consider:</p> <ul style="list-style-type: none"> The health risk assessment from Risk ID 4 for each party, if applicable. Reviewing the Guideline for Conducting Misconduct or Grievance Meetings Safely. Calling the parties to the meeting prior to scheduling the meeting and offer meeting modality alternatives and detail meeting outcomes. Support persons/representatives offered. Appropriate meeting format i.e. Face to face/remote/hybrid. Appropriate meeting time. Suitable meeting location with multiple entry/exit points where possible. Confirming meeting details in writing and provide meeting agenda to attendees. <p>During the meeting consider:</p> <ul style="list-style-type: none"> Provision of tissues/water breaks in meetings as needed. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer

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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
		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?
					<ul style="list-style-type: none"> - Check-ins with participant. - At remote meetings obtain contact details for participant and support person in case needed. Provide same measures regarding breaks and check-ins as for in-person meeting. - Provision of EAP and associated support services. Check-in at the end of the meeting to ensure the participant is okay and has appropriate support. <p>After meeting:</p> <ul style="list-style-type: none"> - Take accurate, confidential notes and confirm key points in writing if necessary. - Store records securely and limit access to authorised personnel. - Follow up check in with parties' wellbeing as appropriate. - If further risk controls are needed. 		
8	Informal – Consult	Emotional distress, conflict escalation, or perceived bias during fact-finding discussions—especially if sensitive issues are raised, or if parties are in the same meeting.	<ul style="list-style-type: none"> - Emotional distress or psychological harm may arise from the sensitive and emotionally charged nature of discussions. - Perceived unfairness or imbalance can undermine trust in the process and lead to disengagement or non-cooperation. - Poorly managed meetings may escalate conflict, compromise confidentiality, or impact procedural fairness. 	13- Medium	<ul style="list-style-type: none"> - Review the health risk assessment from Risk ID 4 for each party, as applicable. - Implement Risk ID 7 controls as appropriate. - Generally, hold separate meetings unless a joint meeting is considered safe and mutually agreed upon. - Outline the meeting's purpose, process, and expectations in advance (in writing). - University Officer to maintain a neutral tone and non-judgmental approach. - Use a structured agenda to guide the discussion and reduce escalation risk. - Each party has a fair opportunity to respond, ask questions, and clarify facts. - If new or unexpected information arises, offer opportunity to reconvene or submit a follow-up response, if considered necessary. - Confirm access to EAP. 	6 - Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p> <p>University Officer</p>
8	Informal - Resolve	Distress due to the sensitive nature of the discussion, unresolved interpersonal conflict, or perceived power imbalances during	<ul style="list-style-type: none"> - Emotional distress or disengagement may hinder participation and reduce the likelihood of resolution. - Escalation of conflict or perceived unfairness can damage trust in the process and affect workplace relationships. 	8 - Medium	<ul style="list-style-type: none"> - Review the health risk assessment from Risk ID 4 for each party. - Implement Risk ID 7 controls as appropriate. - Parties offered support person/representative, and this person has been declared. - Use a structured agenda to guide the discussion and reduce escalation risk. - Hold individual pre-meetings with each party to set expectations, understand concerns, and assess readiness to engage, where practicable. - Where considered necessary, appoint a qualified external mediator to ensure neutrality and professionalism. - Document any agreed resolutions outlining responsibilities, timelines, and follow-up expectations /or rationale and details for lack of agreement. 	6 Low	<p>Senior Workplace Relations Manager</p> <p>Industrial Relations Consultant</p> <p>University Officer</p>

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Hazard Identification and Risk Assessment							
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		<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>
		the mediation process.			<ul style="list-style-type: none"> - At the end of the meeting, have parties summarise their understanding of the resolution to ensure alignment, if appropriate. - Provide access to EAP. - Consider follow up check ins with participants. 		
9	Informal - Implement	Breakdown in communication or misunderstanding of agreed actions or responsibilities.	<ul style="list-style-type: none"> - Partial or non-implementation of the resolution may lead to ongoing tension or recurrence of the issue. - Loss of trust in the process can result in re-lodgement of the complaint or escalation to a formal process. 	8 - Medium	<ul style="list-style-type: none"> - Schedule follow-up meetings or emails to check that agreed actions have been implemented and are effective. - Assign a People and Culture representative as a contact for post-resolution support or queries. - Monitor the workplace environment (where appropriate). - Remind all parties of ongoing access to EAP or workplace wellbeing resources, in case issues resurface. 	6 Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer
10	Informal to formal decision	Emotional distress or increased anxiety for parties involved due to escalation to a formal process, which may feel adversarial, intimidating, or triggering.	<ul style="list-style-type: none"> - Deterioration of workplace relationships and team dynamics. - Reluctance to participate in the formal process, leading to incomplete information or delayed resolution. - Psychological harm to complainant, respondent, or support staff. 	8- Medium	<ul style="list-style-type: none"> - Implement Risk ID 7 controls as appropriate. - Review the health risk assessment from Risk ID 4 for each party. - Hold a meeting with complainant and respondent to provide feedback, as appropriate. - Clear communication of process & rationale. - Use neutral and supportive language when communicating this decision. - Consider any need for workplace adjustments or wellbeing support. - Remind parties of available EAP services. - Assign a People and Culture contact to each party for ongoing support, updates, and procedural guidance throughout the formal process. 	6 Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer
11	Formal - Conciliation	Miscommunication, misunderstanding, or emotional distress during formal discussions or documentation of complaint details, particularly	<ul style="list-style-type: none"> - Inaccurate documentation or perceived bias can undermine the integrity and fairness of the process. - Emotional escalation or withdrawal may disrupt participation and hinder resolution. 	8 - Medium	<ul style="list-style-type: none"> - Implement Risk ID 7 controls as appropriate. - Review the health risk assessment from Risk ID 4 for each party. - Documents are stored in a secure, confidential location accessible only to authorised personnel. - Explain the purpose and scope of discussions at the outset and reinforce confidentiality and support options (e.g. EAP, support persons). - Allow for separate consultative meetings where appropriate to reduce emotional risk and improve communication outcomes. - Provide both parties with a genuine opportunity to present their case and respond to issues raised. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer

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WHS F020	WHS OP008	2	8/4/2019	8/4/2021	15	29/05/2025

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>
		if sensitive or complex issues are involved.	<ul style="list-style-type: none"> - Non-compliance can lead to procedural invalidity or reputational damage. 		<ul style="list-style-type: none"> - Clearly document the agreed actions, responsibilities, and timelines for resolution. - Obtain written confirmation from parties that they understand and commit to the agreed outcomes. - If there is potential misconduct, or if no agreement is attained, inform parties that the matter will progress to the investigation stage. 		
12	Formal - 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	<ul style="list-style-type: none"> - A suitably experienced investigator based on the nature/severity of the matter and the specific technical and cultural considerations of the matter. For sexual harm and assault matters the investigator may be trained in sexual assault and sexual harm investigation techniques. - The investigator is to be briefed regarding the safety controls of this risk assessment and the health risk assessment under risk ID 4 of any participant in the investigation as appropriate. - The Workplace Relations team will support the Investigator in the process. 	3 – Very Low	Senior Workplace Relations Manager Industrial Relations Consultant Investigator
13	Formal - Investigation	Escalation of interpersonal conflict or psychological distress due to the formal investigation process, particularly where parties were unable to reach resolution through conciliation.	<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. 	8 - Medium	<ul style="list-style-type: none"> - Implement Risk ID 7 controls as appropriate. - Review the health risk assessment from Risk ID 4 for each party. - Participants will be notified by phone or face to face meeting of their requirement to be interviewed as part of the investigation, prior to receiving written notification of the interview request, where practicable. - Explain the purpose, scope, and steps of the investigation to all parties. - Provide written information on rights, expectations, and timeframes. - Allow all participants to have a support person present during interviews if desired. - Meetings will be scheduled with participants with at least 2 days' notice where practicable. - Remind participant of EAP and monitor wellbeing throughout the process. - Review interim workplace arrangements and where needed, implement temporary work adjustments (e.g. changed duties, reporting lines, or separation of parties) to manage safety, privacy, and wellbeing during the investigation. - Confidentiality of investigation proceedings, including by reminding participants of their confidentiality obligations. - Procedural fairness is considered. - Provide a debrief and outcome briefing to all parties, where practicable. - Offer wellbeing check-ins and monitor for ongoing impacts following the conclusion and resolution recommendation, where practicable and appropriate. <p>Update respondent on any delays as possible by the Workplace Relations team.</p>	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant Senior Executive Officer Investigator. University Officer

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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>
14	Formal - 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	<ul style="list-style-type: none"> - Implement Risk ID 7 controls as appropriate. - Review the health risk assessment from Risk ID 4 for each party. - Meet with the respondent to discuss any notifications to them under this stage of the process, prior to delivering any written determinations under this stage of the process, where practicable. - Support person/ representative offered to the respondent. - Discuss outcomes of the investigation and resulting recommendations for Senior Executive as well as options for the respondent, with the respondent. - Communicate using empathetic, neutral language. - Remind of EAP and associated support services. - Possible check-in to monitor the individual's wellbeing, if practicable and appropriate. 	6 - Low	Director, People and Culture Senior Workplace Relations Manager Industrial Relations Consultant Senior Executive
15	Formal - Resolve	Lack of clarity, communication, or follow-through during the implementation of the resolution or response to the investigation findings.	Resolution actions not implemented correctly or consistently, leading to dissatisfaction or recurrence of the issue. Parties feel the outcome was not transparent or fair, impacting trust in the process. Failure to monitor or review outcomes can result in ongoing conflict, disengagement, or psychological harm. Reputational or legal risk to the University if findings are not acted upon appropriately.	8 - Medium	<ul style="list-style-type: none"> - Implement Risk ID 7 controls as appropriate. - Review the health risk assessment from Risk ID 4 for each party as applicable. - Meet with the respondent to discuss any notifications to them under this stage of the process, prior to delivering any written determinations if practicable. - Support person/representative offered to the respondent when attending these meetings. - Meet to communicate the outcome and rationale to the complainant and respondent in a timely, clear, and respectful manner, as practicable. - Document Senior Officer's decision and any actions to be taken with roles, responsibilities, and anticipated timeframes identified. Provide this as a written notification to affected parties. - Reinforce confidentiality and confirm the complaint is formally closed. - Assign a responsible person (supervisor) to oversee and verify implementation of any resolution actions. - Offer wellbeing check-ins and give both parties an opportunity to raise any concerns post-resolution. - Monitor whether resolution actions were effective or if further support is required. - Reiterate availability of the EAP and other support mechanisms after closure of the case. - Final documents, decisions, and communications securely stored in accordance with university policy. 	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant University Officer Senior Executive Officer
16	After Resolution	Supervisor unsure how to proceed with remedial	<ul style="list-style-type: none"> - Delays or inconsistent handling of performance issues may lead to 	8 - Medium	<ul style="list-style-type: none"> - Workplace Relations team to provide advice to supervisor on remedial action requirements and to refer supervisor to the People and Culture Business Partner for their work group for details on the Performance Management Toolkit and how to utilise this. 	3 – Very Low	Senior Workplace Relations Manager

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		action or unsatisfactory performance process.	<ul style="list-style-type: none"> escalation, procedural errors, or legal risk. Lack of clarity or confidence can result in unfair treatment, miscommunication, or loss of employee trust. 				Industrial Relations Consultant Business Partners
17	After - Resolution	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 confidence, wellbeing, and future decision-making. 	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
18	After - Resolution	Psychological distress for Senior Executive.	<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, and leadership effectiveness. 	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 when determining outcomes of the process. EAP and associated support services offered. 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 can also assist Senior Executive members when delivering notification outcomes. 	3 – Very Low	Senior Workplace Relations Manager Industrial Relations Consultant Business Partners
19	General	Suspension may cause psychological distress.	<ul style="list-style-type: none"> Suspending an employee during the process might causes psychological distress and lead to 	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. The meeting will be conducted in a private location and the respondent should be offered a support person or representative to be present at the meeting. The controls from risk ID 6 and ID 16 should be considered. The Director People and Culture will provide the respondent with the written notification of the suspension. EAP and other support services offered. 	6 - Low	Director, People and Culture Senior Workplace Relations Manager

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			isolation compounding wellbeing concerns.		- Well-being checks with the respondent scheduled by the Wellbeing team in People and Culture.		Industrial Relations Consultant Wellbeing team
20	General	Complaint against parties administering the misconduct process by those subject to the process.	- 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	- 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.	- Unplanned and prolonged leave of parties under the misconduct process may result in psychological distress due to delays in progressing the process.	13 – Medium	- The Delegate will endeavour to provide regular updates on any delays in the misconduct process.	6 - Low	Senior Workplace Relations Manager Industrial Relations Consultant
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. Misconduct process reviewed to consider best practice, regulatory change and case law 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 specialised training in trauma-informed investigations, which may include - 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. - Consider peer debriefing to allow People and Culture team members to share concerns confidentially. - Access to EAP. - Rotate team members handling particularly distressing or complex cases to prevent burnout. - 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	
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	No	Travel Booking Completed?	No
WHS F012 Fieldwork Participation Declaration	No	Motor Vehicle requisition Form?	No
WHS F034 Volunteer Acknowledgement	No	Other: Provide Details	No

Records Storage Instructions:
<i>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.</i>

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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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