



# Overarching Risk Management Guidance

Good Practice Guide

Version 1

2018

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The following information looks at the risk management process and shows how the risk ratings in each of the **Good Practice Guide Planning Templates** were created.

## Risk Management Planning

### Identify - what could go wrong? why this would happen?

Use the specific **Activity GPG Planning Template** to identify risk.

Do this by considering the risk associated with:

- a) The activities involved in your event
- b) The venues / physical environs that you'll be using – including access, physical features
- c) Any environment related effects – weather, tide, traffic
- d) The people involved – number, competence, behaviour, health, fitness, drugs & alcohol
- e) The equipment that you'll be using.



### Assess – which hazards need to be managed?

Consider the potential consequence (degree of harm), and likelihood of occurrence, to identify what to focus on. The Risk Rating Matrix can help you identify the more significant hazards.



### Manage – develop controls for each hazard

The risk of harm from hazards must be eliminated so far as is reasonably practicable, but if the risk can't be eliminated, then minimise the risk so far as is reasonably practicable (this is called the Hierarchy of Control – see following page).

Ensure that controls are communicated and implemented.



### Monitor – are the control measures working?

Regularly review the effectiveness of risk management controls.

Make sure that every time you run the event / activity, you identify and manage any increase in risk and/or new hazards.

## Risk Rating

Once identified, hazards should be assessed for potential severity of the consequences (the degree of harm), and likelihood of occurrence, to identify which ones to focus on.

### Assessing Likelihood

<b>Likelihood Levels</b>	<b>Description</b>
<i>Almost Certain</i>	<i>Expected to occur at least once during the task or activity</i>
<i>Likely</i>	<i>Could occur during the task or activity</i>
<i>Possible</i>	<i>It's conceivable it could occur, but only expected infrequently</i>
<i>Unlikely</i>	<i>It's conceivable that this could happen, although only in unusual circumstances</i>
<i>Rare</i>	<i>It's only conceivable that this could happen in exceptional circumstances</i>

### Assessing Severity

<b>Severity Levels</b>	<b>Description</b>
<i>Insignificant</i>	<i>No injury or very minor injury or illness that does not require First Aid. Temporary stress or embarrassment. Minor or no damage to facilities or equipment. Little or no environmental, financial, reputational or operational impact.</i>
<i>Minor</i>	<i>Injury or illness requiring only First Aid (No permanent disability). Stressed beyond comfort level. Wants to leave activity. Isolated and quickly repaired damage to facilities or equipment. Some environmental, financial, reputational, or operational impact.</i>
<i>Moderate</i>	<i>Injury or illness that requires medical treatment or hospitalisation (with no permanent disability). Very distressed. Requires on-site counseling or support. Does not want to participate in activities. Damage to facilities or equipment resulting in temporary inability to use it. Localised environmental, financial, reputational, or operational impact.</i>
<i>Major</i>	<i>Serious injury or illness to one or more people, resulting hospitalisation and possible permanent disability. Therapy or counseling by a professional may be required. Sustained or extensive damage to facilities or equipment. Extensive environmental, financial, reputational or operational impact.</i>
<i>Critical</i>	<i>One or more fatalities. Post-traumatic stress disorder. Long term counseling / therapy is likely to be required. Loss of facilities or equipment. Significant and widespread environmental, financial, reputational or operational impact.</i>

## Risk Assessment Matrix

Likelihood of injury/harm	Severity of injury/harm				
	Insignificant No / Minor injuries	Minor First Aid	Moderate Medical treatment	Major Extensive injuries	Critical Fatalities
Almost Certain	Medium	Medium	High	Extreme	Extreme
Likely	Low	Medium	High	High	Extreme
Possible	Low	Medium	High	High	High
Unlikely	Low	Low	Medium	Medium	High
Rare	Low	Low	Low	Medium	High

## Risk Levels

Risk Levels	Description
Extreme	= Stop, look for alternatives! <b>Unacceptable level of risk, don't do it.</b> A considerable potential for fatalities, serious injuries or illness, post-traumatic stress, loss of facilities or equipment. Significant widespread environmental damage. Significant financial, reputational, or operational impact.
High	= Control to eliminate risk where possible  We need to do something about this risk to eliminate or minimise it. There is moderate potential for injuries, illness or stress requiring hospitalisation, therapy or counselling, the damage of facilities, equipment, or localised environmental damage. Moderate financial, reputational or operational impact.
Medium	= Control to minimise risk as far as reasonably practicable  We need to do something about this risk to eliminate or minimise it. There is some potential for injuries, illness or stress requiring medical treatment, support, the damage of facilities, equipment, or localised environmental damage. Some financial, reputational or operational impact.
Low	= Continue  Can retain the risk but need to be vigilant that the risk level does not rise. Minimal potential for injuries or illness (above those requiring simple First Aid), stress or embarrassment, or any consequential damage to facilities or equipment, or the environment. Little to no financial, reputational, or operational impact.

Note: Assessing risk is not an absolute science:

- Multiple sources of information will help you derive a best estimate
- It is best considered by a team approach to achieve consensus.

## The Hierarchy of Control

A combination of controls should be used if a single control is not sufficient for the purpose.

1. Can you <b>ELIMINATE</b> this risk?	Completely removing the risk. If this is not possible, minimise by doing one or more of the following (a, b, c, e, f, g)
2. if this is not possible, <b>MINIMISE...</b>	
a. Can you <b>SUBSTITUTE</b> the risk?	Substituting a safer process or material for the risk identified.
b. Can you <b>ISOLATE</b> the risk?	Separating the risk from workers.
c. Can you put in an <b>ENGINEERING</b> control?	Designing and/or adding physical safety features to the working environment.
d. Can you put in an <b>ADMINISTRATION</b> control?	Requiring systems to be established or amended in order to control the risk.
e. Can you use <b>PERSONAL PROTECTIVE EQUIPMENT (PPE)</b> ?	PPE should only be used when all other control measures are impractical. It should be used in conjunction with other more effective measures.
<b>3. MONITORING and REVIEWING</b>	Once the controls have been implemented, the controls must be regularly monitored and reviewed to ensure they are effective. The relevant school leader is expected to do this in consultation with workers. The regularity will depend on the risk rating. The principal collates all risk registers on a regular basis for board reporting

## Residual Risk Rating

The residual risk rating is the level of risk that remains after the controls have been put into place.

The leader needs to consider all the factors of their specific event, including their group, environment and equipment, when assessing how effective each of the controls are in reducing the risk level.

Once the leader has assessed the effectiveness of the controls they complete the Residual risk rating column in the General Risk Assessment table to show how the level of risk has changed.

## Definitions

### Harm

Harm is illness, injury, or both, and includes physical and mental harm caused by work-related stress.

### Hazard

A hazard is anything that does or could cause harm.

### Risk

The likelihood that death, injury or illness might occur when exposed to a hazard (in other words, a risk means a chance of harm).

## Communication

Some operators use a Risk Assessment form (or similar tool) to help identify and assess risk, and develop appropriate controls, and then a separate operational focused document to help communicate these controls e.g. Standard or Safe operating procedures (SOP), Activity management plans (AMP) or Instructor Handbooks.

Alternately, you could decide to use a Risk Assessment form (or similar tool), with the control column being the means of communicating your controls (i.e. operating expectations).

Risk and hazard information should also be shared through:

- Toolbox talks – quick 5 minute updates before each day, event or activity starts
- Front of mind prompts – points on a prompt card
- Event and/or day debriefs, or at regular meetings during the event
- Safety updates – notices distributed amongst effected staff to alert them to new risk or changes to operating practice.

## Other Considerations

Throughout these processes, you should make sure that:

- The person carrying out the risk assessment has the right skills and experience to do so
- Relevant staff take part in your risk assessment processes
- You consider health, behavioural, stress, fatigue and drug & alcohol associated hazards
- You consult good practice guidelines and/or activity experts for advice regarding the management of specific risk and hazards
- You consider the risk associated with suppliers and contractors, and cooperate with other parties to manage risk
- You document your risk management processes, and keep them on file (for 5 years minimum)
- You check the effectiveness of risk controls, and review the effectiveness of your risk management processes throughout the event as well as after the event.

## New Events

If a significantly new event is planned, make sure that:

- There is a trial run and/or information is obtained from other users, activity safety guidelines, activity experts in order to identify risk and associated hazards
- The associated risk are considered, and appropriate controls developed, via the Risk Management Planning process (as above)
- Requirements of staff, training, equipment, participants, emergency procedures and any other considerations are identified
- A review of risk management effectiveness follows initial implementation.

## Frequently asked questions

***What if the Risk Assessment and Standard Operating Procedures template doesn't match my specific situation or contains too much irrelevant stuff?***

- Feel free to change any aspect of the template to meet your specific situation. This might include removing hazards that are not relevant for activity.
- If you are running an activity that relates to two or more different Activity Good Practice Guidelines you may want to merge several templates together to make one that best fits your needs.
- Use another template to write your own plan. Your organisation may have one or you may be able to find something suitable at
- <http://www.supportadventure.co.nz/safety-management-systems> or
- <https://www.eonz.org.nz/resources+for+outdoor+education+and+education+outside+the+classroom/EOTC+Management/EOTC+SMP+template+and+tools.html>

***Which Risk Assessment form do I use?***

Historically, the RAMS (Risk Analysis Management System) form has been the form to use for risk identification, although there are other variants that also do the job, including the SAP (Safety Action Plan) and AMP (Activity Management Plan) formats.

You could choose to use any of these formats, just make sure that you:

- Effectively identify health and safety risk
- Focus on the key hazards – those most likely to cause major injury or harm
- Identify appropriate controls
- Apply the hierarchy of risk control.