



Overarching Managing Risk Guidance

Good Practice Guide

Version 2

2019

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The purpose of this document is to:

- Help people to understand the processes involved in managing risk and the tools found in the Good Practice Guide Planning Templates
- Support those involved in managing risk, to identify, assess and prioritise controls.

Assessing and managing risk is not an absolute science:

- Multiple sources of information will help you derive the best estimate of risk
- A team approach is best to achieve a shared understanding and consensus.



Managing Risk

Identify - *What could go wrong? Why this would happen?*

Use the specific **Activity Planning Template** to identify what hazards could cause harm.

Consider the:

- Activities involved in your event
- Venues / physical environments that you'll be using – including access, physical features
- Environment-related effects – weather, tide, traffic
- People involved – number, competence, behaviour, health, fitness, drugs and alcohol
- Equipment that you'll be using.

Assess *which hazards need to be managed.*

Once identified, assess the potential consequence of the hazards (i.e. the degree of harm) and likelihood of occurrence.

The Risk Rating Matrix can help you identify the more important hazards to highlight which ones to focus on.

This will provide a rating for the level of risk before controls are put in place.

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).

Identify who will be responsible for implementing the controls.

Reassess the risk rating to determine the level of residual risk that remains after the controls are in place. Ensure this is at an acceptable level.

Manage and Monitor

Ensure that controls are communicated to everyone involved and implemented.

Continue to review the effectiveness of the controls.

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

Risk Rating

Assessing Likelihood

Likelihood	Description
<i>Certain</i>	<i>Expected to occur at least once during the event</i>
<i>Likely</i>	<i>Will probably occur</i>
<i>Possible</i>	<i>It could occur, but only expected infrequently</i>
<i>Unlikely</i>	<i>It could only happen in unusual circumstances</i>
<i>Rare</i>	<i>It could only happen in exceptional circumstances</i>

Assessing Consequence

Consequence	Description
<i>Insignificant</i>	<i>No injury or very minor injury or illness. Minimal impact on participation. 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 first aid. Unable to fully participate in activity. Stressed beyond comfort level. 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 treatment by medical professional (with no permanent disability). Must leave activity. Very distressed. Requires on-site counselling or support. 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 in hospitalisation and possible permanent disability. Therapy or counselling by a professional may be required. Sustained or extensive damage to facilities or equipment. Extensive environmental, financial, reputational or operational impact.</i>
<i>Catastrophic</i>	<i>One or more fatalities. Post-traumatic stress disorder. Long term counselling / 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 Harm					
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
	Insignificant	Minor	Moderate	Major	Catastrophic
	Consequence of Harm				

Risk Levels

Risk Levels	Description
Extreme	= Stop, look for alternatives! Unacceptable level of risk, don't do it.
High	= Control to eliminate risk where possible We need to do something about the level of risk to eliminate or minimise it.
Medium	= Control to minimise risk as far as reasonably practicable We need to do something about the level of risk to eliminate or minimise it.
Low	= Continue Can retain the level of risk but need to be vigilant that the risk level does not rise.

The Hierarchy of Control

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

Start here:

Can you **ELIMINATE** the risk?

If this is not possible, then **MINIMISE** the risk by...

- a. **SUBSTITUTION** &/or
- b. **ISOLATION** &/or
- c. **ENGINEERING CONTROL**

If the risk still remains then **MINIMISE** by

- d. **ADMINISTRATION CONTROL**
- e. Using **PPE** (Personal Protective Equipment)

This means you should:

Completely remove the hazard

Use a safer alternative (e.g. activity or venue)
Separate the people from the hazard (e.g. barrier or lock out)
Add physical safety features (guards) or technologies (e.g. auto-belay)

Establish processes to manage the hazard (e.g. checklists, operating procedures, training, instruction, supervision).

Reduce the effect of the hazard. Should be used in conjunction with other more effective measures.



Residual Risk Rating

The leader should re-assess the level of risk that will remain once all the controls have been put in place.

This is the residual risk rating and should be added to the Risk Assessment to show whether the level of risk will be at an acceptable level.

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, and includes a situation where a person's behaviour may be an actual or potential cause or source of harm to themselves or to another person (for example, due to the effects of fatigue or drugs and alcohol). A hazard includes anything that does or could cause harm from prolonged exposure, or harm that does not usually occur or become apparent until later.

A serious hazard is a hazard that does or could cause a notifiable event.

Risk

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

Communication

Some operators use a Risk Assessment form (or similar tool) to help identify hazards, 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 affected staff to alert them to new hazards 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 and alcohol associated hazards
- You consult good practice guidelines and/or activity experts for advice regarding the management of specific hazards
- You consider the risk associated with suppliers and contractors, and cooperate with other parties to manage hazards
- You document your processes, and keep them on file (for 5 years minimum)
- You check and review the effectiveness of your controls and processes of managing risk 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 relevant information is obtained from other users, activity safety guidelines and activity experts.
- The associated hazards are considered, and appropriate controls developed, via the 'managing risk process' (as on page 3).
- Requirements of staff, training, equipment, participants, emergency procedures are considered.
- A review of effectiveness of your processes follows the initial implementation.

Frequently Asked Questions

What if the Activity Planning Template doesn't match my specific situation or contains too much irrelevant stuff?

- The template requires modification to meet your specific situation. This might include removing hazards that are not relevant for the activity and add more that are.
- 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/>

Can I use my existing risk planning form?

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 hazards and the level of risk associated with them
- Focus on the key hazards – those most likely to cause major injury or harm
- Identify appropriate controls
- Apply the hierarchy of risk control.