GUIDELINES TO BEST PRACTICE

Safety Management for Adventure Recreation Providers

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Foreword

The safety and health of participants, staff and spectators at adventure and risk recreation activities is of prime importance to all those who are involved in the adventure industry.

Guidelines to Best Practice - has been developed to ensure people's safety always remains paramount.

The aim is to ensure that each person who may become involved in an outdoor event or activity will be assured of a high level of safety management and practice regardless of which organisation delivers the programme.

The challenge to achieve this aim has been to create a workable system whereby the wide variety of organisations will all achieve excellence in safety and health management. This ranges from those with significant staffing and operating budgets, to those who rely on volunteer assistance and limited financial resources.

We believe we have achieved this by creating a resource that addresses the minimum requirements of legislation and contemporary practice backed up by the expertise to make sure we have consistency across the industry.

Over the last 5 years, the Outdoor Safety Institute has developed an enviable credibility for providing sound advice on safety at a national level. We are confident that this resource and your organisation's commitment to its aims and objectives will see this reputation not only maintained, but enhanced for all of those involved in providing exciting and fulfilling adventure experiences for New Zealanders.

Chris Knol

Managing Director
Outdoor Safety Institute Ltd

The Outdoor Safety Institute

Outdoor Safety Institute staff (OSI) have accumulated over thirty years of experience in every aspect of administering and operating outdoor adventure and risk recreation experiences.

Our experiences in New Zealand and overseas has given us some very clear messages on quality and safety. The first message is that both quality and safety are inherent to the modern management of risk recreation and adventure activities. The second is that an objective viewpoint from a safety management professional is essential to gain qualitative information to reflect on. The third is that sound management is built on information. Defining the starting points and benchmarks is absolutely crucial to improving the quality of the experience and safety management of your programmes.

OSI is committed to delivering the systems, information and resources to help you to do it better.

Since the creation of OSI in 1992 we achieved an outstanding track record as providers and consultants in safety management not matched by any other risk recreation safety management provider.

To date the work undertaken by Outdoor Safety Institute has included the following:

- Safety reviews of over 30 organisations in New Zealand and Australia.
- Safety Audits of all the major outdoor education providers in New Zealand including Outward Bound, The Sir Edmund Hillary Outdoor Pursuits Centre and the New Zealand Conservation Corps.
- Audit and analysis of some of New Zealands largest outdoor disasters.

Published the following resources:

- Code of Practice for EOTC for the Ministry of Education
- Directors manual on Risk Management Training for the Hillary Commission and the NZ Mountain Safety Council.
- Code of Practice for Association of NZ Polytechs
- Code of Practice for Working at Heights for BP Oil
- Guidelines to Best Practice for Conservation Corps and Youth Service Projects

Under taken Risk Management training for the following organisations:

- Occupational Safety and Health
- Teacher Support Services
- New Zealand Water Safety Council
- Outward Bound
- Sir Edmund Hillary Outdoor Pursuits Centre
- Police SAR and OAS
- The Hillary Commission
- Surf Life Saving New Zealand
- Department of Conservation
- Ministry of Youth Affairs
- SFRITO
- NZ Recreation Association
- Ministry of Education
- NZ Fire Service
- Ministry of Education

Our Aim

This resource and the ongoing safety management processes it encourages, aim to enhance the quality of adventure recreation activities for all

New Zealanders

Contents

Introduction

Welcome to Guidelines to Best Practice - Safety Management for Adventure Recreation Providers

Some of the most important obligations faced by the providers of adventure activities and events are those under the Health & Safety in Employment Act 1992 (HSE) which governs contract roles and responsibilities.

These roles are those of the providing organisation being the Principal, and the the role of Contractors. We have responsibilities as Principal to take all practicable steps to ensure our organisation is operating safely. Equally, we have a number of responsibilities when we act as contractors to undertake the project in accordance with legislative and industry-related safety practices.

This includes taking responsibility for important issues and actions such as having hazard identification and management procedures, the right equipment, qualified staff, contingency planning, knowing the capability of those we are providing for, knowing relevant regulations and guidelines for all our activities.

Guidelines to Best Practice has been developed to help you fulfil your responsibilities, while also producing a resource to promote and moderate best practice for all those involved in the provision of risk activities whether it be outdoor recreation, adventure tourism or challenge events. Further to this, we believe it is important to ensure safety practices are managed in a manner which will promote minimum 'bottom line' levels of operating guidelines for all organisations active in our industry.

OSI has a clear understanding of the obligations placed on New Zealand organisations under current legislation. Guidelines to Best Practice will give you an indication of how well you measure against minimum industry standards. Use of this resource does not detract from, minimise, or remove any obligations that you currently have to comply with legislation, particularly HSE, or other obligations you currently have such as duty of care and the need to undertake activities within recognised industry practices.

Guidelines to Best Practice does not provide anything new in terms of managing safety and health. Those organisations already operating in full compliance with their legislative and industry guided responsibilities should find this resource easily manageable, and in many instances it will aid the continued improvement in safety and health management.

In some instances, organisations will have to do more and instigate new processes to manage their safety and health in line with these guidelines. For those who have to do more, the responsibility is yours.

Guidelines to Best Practice has been developed to meet our aim of ensuring safe practices and quality provision in risk activities. We hope you find it a positive resource, and a tool to help you provide excellent safety management.

Instructions

Guidelines to Best Practice - Safety Management for Adventure Recreation Providers determines a minimum level of safety management for organisations for all safety practices.

Guidelines to Best Practice consists of a programme based upon three stages of compliance.

Organisations progress through each stage in a pathway approach. Compliance to Stage One allows the organisation to progress to Stage Two and so on. The aim of this approach is to create a process whereby progressive and seamless programme development, implementation, review, and a commitment to continued improvement and moderation combines to achieve our aim of obtaining excellence in safety and health management.

Stage One: Initial safety report, by means of a measurement of the organisation's processes through a Self-assessment Checklist.

Stage Two: Recognised compliance, by a desk top audit and submission of supporting documentation, of procedures and standards measured against those prescribed in Guidelines to Best Practice.

Stage Three: Audit carried out by contracted agents from time to time, to moderate compliance.

Starting down the path to compliance with Guidelines to Best Practice requires a commitment from organisations to involve themselves in achieving compliance with each stage.

Stage One

Key Message

Stage One involves the organisation undertaking a safety self-assessment. This involves conducting a study of its own operations utilising the Self-Assessment Checklist contained in this section.

Process

There are three steps to the safety self-assessment process.

1. The organisation collects, reviews, and records all material relative to the administration of safety in the recreation, education and work based aspects of its adventurous or risk activities.

2. The organisation ensures that the key policies, procedures and actions relating to Guidelines to Best Practice Stage One compliance (Self-Assessment Checklist) are documented and in use.

3. The organisation forwards the completed Self-Assessment Checklist (with comments) from Guidelines to Best Practice, to OSI for review.

It must be recognised by the organisation that the standards asked for in Stage Two of Guidelines to Best Practice is the goal to be strived for and this initial Self-assessment phase is a starting position only - a 'snapshot'. It serves to provide a level and consistent starting point for working towards achieving Stage Two compliance.

The Self-Assessment Checklist will be an initial indicator. The importance of this report should not be minimised. The Self-Assessment Checklist summarises the key issues of safety management featured in Stage Two and promotes the need to have these 'bottom line' systems in place before **beginning** any risk recreation or adventurous activities.

The self-assessment process provides the opportunity to measure and assess the safety systems of the organisation against generally accepted common practices in the outdoor and community recreation industry.

Organisations are responsible for assessing their own level of practice in the Self-Assessment Checklist through a ranked scale from 1-5, with each category's criteria detailed.

Comments are also required if the standard differs or does not apply to that organisation, or detailing any other relevant points. Any standards not met should be accompanied by documentation detailing the measures that you intend to put in place to reach the required standard (verifying the quality and accuracy of information).

Once submitted, OSI will review the Self-Assessment Checklist and any accompanying notes and provide feedback to the organisation on its level of compliance.

If there are deficiencies regarding the compliance with the check list standards, OSI will advise the organisation that shortfalls exist and where the systems required may be accessed.

Organisations should then bring their safety standards to the required level.

Having achieved and been approved at Stage One, the organisation should determine a timeline for full implementation and assessment of Stage Two.

GUIDELINES TO BEST PRACTICE

STAGE ONE - SELF-ASSESSMENT

Organisation _____

Name _____

Designation _____ Date / /

1. OPERATIONAL

Circle appropriate number

1.1 Does your organisation have written health and safety policies and guidelines?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Outlines clear responsibilities, widely distributed and understood by all staff.

1.2 Does your organisation have a comprehensive written safety management plan and for all activities and/or programmes?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Defines clear responsibilities, uses RAMS based systems, is up to date, widely distributed, and used by all staff.

1.3 Are the safety management plans of your organisation reviewed and revised regularly?

Never Updated 1 ... 2 ... 3 ... 4 ... 5 Always Updated

Criteria: Regular updates would be made at least on an annual basis.

1.4 Are all staff familiar with relevant safety management manuals and policies?

Wouldn't know 1 ... 2 ... 3 ... 4 ... 5 Very Familiar

Criteria: Regular scheduled and random checks to ensure all staff operate inside policy.

Comments:

2. Management and Communication

Circle appropriate number

2.1 Are health and safety goals set and communicated to staff by management?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Based on analysis of strengths and weaknesses of current programme, goals are action-oriented with established time frames.

2.2 Is there an active safety group within the organisation involved in regular safety monitoring meetings?

None 1 ... 2 ... 3 ... 4 ... 5 Regular Meetings

Criteria: Regular meetings to consider all aspects of safety, compliance and issues

2.3 Are safety responsibilities assigned and fully defined in every employee's job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Safety responsibilities built into job descriptions. Staff at all levels understand their responsibilities, and performance is assessed and reviewed.

2.4 Is there a functioning system in place for staff to provide regular feedback to management about safety concerns?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Staff should be involved in regular meetings where concerns of health and safety can be raised.

2.5 Is there a procedure for reporting of hazards?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Standard hazard measurement tools, training to staff on what is a hazard or risk, safety group with the task of assessing priority of risks and hazards.

Comments:

3. Staff

Circle appropriate number

3.1 Is there a staff selection procedure for assessing levels of technical skill, expertise, experience, and judgement of potential and new staff?

None 1 ... 2 ... 3 ... 4 ... 5 Full Procedure

Criteria: Skills and qualifications should reflect current industry standards and practices.

3.2 Does the organisation check a job applicant's overall suitability for the position?

None 1 ... 2 ... 3 ... 4 ... Full Procedure

Criteria: Qualifications, work history, accident history, general level of responsibility, ability as an educator, medical and physical condition, criminal record etc are sourced.

3.3 Are procedures in place to ensure staff undertake a safety induction and orientation programme for the organisation, and for activities?

None 1 ... 2 ... 3 ... 4 ... 5 Full induction

Criteria: Staff fully understand the safety protocols of the organisation and the policy they must work within before being allowed to work with participants.

3.4 Has a list of employee's skills (meeting required minimum standards) been prepared in order to identify appropriate training needs, and to ensure employees are capable of carrying out their written job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Tasks are analysed to ascertain the necessary knowledge, experience and competence required.

3.5 Are processes in place to evaluate staff performance and appraise professional development needs?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Regular safety performance appraisals and documented ongoing systems for the safety assessment of staff performance.

Comments:

4. Participants

Circle appropriate number

4.1 Are all participants screened to assess their health before and during the project?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes obtaining a medical clearance if any doubt is present about a member's ability to undertake any project activities.

4.2 Is a health and participation form signed by the participants ? (or by parent or guardian if the participant is under 18 years)

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All members under 18 years should have signed approval from a parent or guardian. All participants should sign a contract of involvement and health participation form.

4.3 Does pre-project material adequately describe the risks and hazards associated with programme activities to potential participants ?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Disclosing that there is risk involved in activities and that this is a shared responsibility of both the organisation and the participant is an important aspect of risk disclosure.

4.4 Does pre-course material adequately explain the clothing and equipment required to undertake course activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All participantsmust have adequate protective clothing and equipment for programme activities.

4.5 Is an assessment made of the participant's capability to participate in all adventurous activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability to swim, fitness levels, phobias, etc are regularly assessed.

Comments:

5. Programming

Circle appropriate number

5.1 Are all risks and hazards associated with running programmes identified in a systematic manner and acted on?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Processes of elimination, isolation and minimisation employed, all staff involved, comprehensive identification systems are included for all areas of processes, tasks, staff, equipment, resources and environment.

5.2 Does the management of these risks and hazards identify all fluctuating/ variable factors?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability of participants, weather, terrain, time of day or year, remote location etc.

5.3 Do the staff to participant ratios reflect skills, experience and knowledge of the staff and the clients as well as the nature of risk in the activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Programmes must be run with a match of skills and abilities of both members and staff to the potential risks.

5.4 Do participants have a choice about undertaking challenges/risks in the activites?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes understanding 'challenge by choice' principles in activities, and this is communicated to participants.

5.5 Do activities progressively and sequentially prepare participants for increasing levels of risk activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ensure programmes/activities are based on sound experiential principles and approaches to risk.

5.6 Are planned assessments of the safety management systems, people, activities, programmes, and equipment carried out regularly?

- systems

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- people

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- activities

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- programmes

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- equipment

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: At least once a year.

Comments:

6. Equipment

Circle appropriate number

6.1 Is there a policy detailing specifications for equipment use, purchase and maintenance?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Policy sets in place specifications for equipment standards and maintenance.

6.2 Is all equipment used in line with its purpose, stored safely, serviced, registers kept of use, and retirement polices for equipment maintained?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Clear procedures for use and control.

6.3 Are all vehicles and facilities well maintained and comply with legislation?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Comply with all current legislation.

Comments:

7. Contracting

Circle appropriate number

7.1 Are measures in place to determine the health and safety performance of contractors?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Performance requirements written into contracts, criteria for selection of the contractors included past performance, contractors submit a plan on how they will manage risks and hazards.

7.2 Does your contract with outside providers detail all necessary reference to legislation, and organisational rules?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Full detail on all operating requirements.

7.3 Does your organisation monitor the performance of contractors?

No control 1 ... 2 ... 3 ... 4 ... 5 Full Monitoring

Criteria: Scheduled and random written and site monitoring.

Comments:

8. Accident and Emergency

Circle appropriate number

Planning for an Accident or Emergency Situation

8.1 Does your organisation have a comprehensive emergency plan?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: In writing, all likely/foreseeable emergency conditions identified, participantsand staff fully informed.

8.2 Does the plan clearly identify responsibilities and procedures to follow?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: An emergency coordinator has been appointed, all staff and members know procedures.

8.3 Are suitable and adequate rescue resources always available to cope with assistance in an emergency?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: Equipment and resources (equipment and human) are always available.

Accident & Emergency Monitoring and Reporting

8.4 Is there an accident/incident investigation procedure?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Employees have had the opportunity to contribute ideas and suggestions on possible accident and emergencies, procedures for dealing with them.

8.5 Is there a standard and comprehensive form for accident and incident investigation?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: The form must include full information on age, disabilities, medical data, next of kin, emergency contacts, doctor, etc.

8.6 Is a register/database of accidents and incidents maintained?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Register contains the information prescribed by OSH as a minimum, incidents that harmed or might have harmed staff or any other person, as well as serious harm are recorded.

8.7 Are all accidents and incidents investigated to determine whether they arose from or were caused by a significant risk or hazard?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All accidents and incidents are investigated. Significant risks or hazards identified, review is made to determine if controls are in place and if existing controls are adequate, corrective action is undertaken.

8.8 Is a periodic review made of the accident and incident register and reports to identify accident and injury trends?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Information is made available to managers and employees and tabled at management and/or team meetings.

Comments:

Stage Two

Key Message

Stage Two is the level of compliance to be strived for. Compliance is by a desk top audit of procedures and standards asked for in the Guidelines to Best Practice. Stage Two introduces more comprehensive 'yardsticks' expanding on the assessments made under Stage One.

Process

There are three steps to the process.

1. For the organisation to collect, review, and record all material relevant to the administration of safety within the organisation.

2. To ensure that the key policies, procedures and actions relating to Guidelines to Best Practice Stage Two compliance are documented and in use.

3. Provide a comprehensive report with supporting documentation which demonstrate compliance with Stage Two of Guidelines to Best Practice.

After achieving Stage One compliance through OSI, organisations should begin the processes to implement the standards of Stage Two. Organisations should commit at the outset to a time-frame for completion of this stage. The feed-back from OSI after Stage One will give you a clear indicator of exactly where your organisation is, in terms of safety management processes.

Utilising this resource, Guidelines to Best Practice, and the following questions covered in the section, organisations are required to ensure they have implemented systems that ensure the questions - the key indicators - asked for in Guidelines to Best Practice can be endorsed.

Documented policies, guidelines, and actions of the organisation's safety management must be supplied in writing. The documentation must be complete and give adequate information to substantiate that the standards asked for in the Guidelines to Best Practice Stage Two have been achieved.

The length of the safety management document will vary with the scope and size of the organisation's operation. The supplementary materials will vary from organisation to organisation. However, they must include comprehensive detail on these eight key areas:

- operational
- management and communication
- staff
- members
- programming
- equipment
- contracting
- accident and emergency.

OSI will again review your systems when you have completed them and give you an objective assessment of how well they comply with both legislative and industry standards. The OSI report will be a comprehensive review of systems currently in place and may include, if the Organisation wishes, a site visit to verify systems and procesess.

If there are deficiencies regarding the compliance with the Stage Two standards, OSI will advise the organisation that shortfalls exist. The Organisation must bring it systems to the required level.

Operational

Key Message

Organisations need to have clearly documented, active, and regularly reviewed operational manuals, policies, procedures, guidelines or protocols under which they will operate. These may be developed from a variety of sources such as industry regulations, standards bodies guidelines or legislation.

Your organisation's operational manuals, policies, procedures, guidelines or protocols should document the *rules* of your organisation. They should state the bottom line in overall safety practice which will never be compromised.

Operational manuals, policies, procedures, guidelines or protocols should be the accumulated knowledge gained by staff and management to their local conditions, operating environment, equipment, internal and external direction, and personnel.

If you have good resources new staff should quickly learn what to do, or watch out for, in terms of the safety management of the organisation through using the documented operational manuals, policies, procedures, guidelines or protocols. Existing staff faced with situations that compromise safety should always be able to refer to these resources to steer their decision making and protect the participants, staff, your organisation, and the public.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does your organisation have written safety operational manuals, policies, procedures, guidelines or protocols?
   - Are they regularly reviewed and revised documents?
   - Are they practical and easy to use?
   - Do the documents cover all safety related programme activities?
   - Do the documents detail clearly staff and management responsibilities?
   - Are the staff familiar with the relevant documents they must work to?
2. Do these written operational manuals, policies, procedures, guidelines or protocols include the following:
   - rules and policies that all staff members must comply with?
   - operating suggestions for local conditions based on other feedback from staff?
   - emergency preparedness plans?
   - supervisor safety training policies?
   - personal equipment procedures?
   - policies regarding standards of staffing or equipment when hiring or purchasing.
3. Do these written operational manuals, policies, procedures, guidelines or protocols include accident and incident investigation procedures to determine:
   - root causes?
   - processes that will reduce the likelihood of accident or incidents recurring is reduced through review of the necessary operational manuals, policies, procedures, guidelines or protocols?

4. Are all the operational manuals, policies, procedures, guidelines or protocols within your organisation clearly written and valid for your local operating conditions?
5. Are the responsibilities your organisation requires of staff toward operational manuals, policies, procedures, guidelines or protocols and rules clearly stated?
6. Is there a formal process in place for staff to question operational manuals, policies, procedures, guidelines and/or protocols or suggest alterations or additions?
7. Are staff encouraged to submit information to improve operational manuals, policies, procedures, guidelines or protocols?
8. Are there ramifications for staff working outside of operational manuals, policies, procedures, guidelines or protocols?
9. Are there specific policies on the following:
   - drug and alcohol use?
   - member code of conduct?
   - sexual harassment?
   - safety and health orientation and induction programme?
10. Does your organisation develop operational manuals, policies, procedures, guidelines or protocols and rules by the following methods:
    - analysis of accidents and near misses?
    - industry prescribed standards?
    - formal hazard identification processes?
    - relevant legislation?

Management and Communication

Key Message

All levels of the Organisation have responsibilities for safety and health management. This shared responsibility needs to be effectively communicated through the levels of management in organisations including trustees, directors, managers, staff, contractors and participants.

Clear communication and understanding of safety needs directly affect safety management within an organisation. Organisations with poor communication or interpretation of safety practices will compromise safety processes.

The management of safety and health should ideally be led by a group of staff which has input from all levels in the organisation. Within small organisations it may well be the responsibility of a single person to monitor safety performance. However even a single person should find a small group of supporters to share ideas and assist them in monitoring safety.

In larger organisations with more resources, a dedicated organisation-wide safety officer may have responsibility for co-ordinating safety and health management of the project.

The safety management group should be monitoring compliance with their manuals, policies, procedures, guidelines, and protocols. The safety management group should also be monitoring any changes occurring within the safety programme, including activities, and environment.

How management implements safety and communicates with staff is also critical to the management of safety within the organisation. Staff and members should be actively involved in monitoring safety performance. Through participation staff and members become active in workplace safety, increasing self awareness and self direction in maintaining high levels of safety management.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the organisation have stated safety goals and objectives that convey a positive quality-oriented message?

2. Does the organisation have a system that enables all staff to be made aware of programme objectives and stated safety goals?

3. Is there an active safety group within the organisation involved in safety monitoring?

4. Does the safety group report to the rest of senior management/trustees/directors on a regular basis?

5. Is there a representative from the operational level on the safety group?

6. Do all members of staff have formal lines of communication to voice thoughts on safety to the safety group?

7. Are the accountabilities, processes and meetings of this safety monitoring documented?
   They should include setting safety goals for all staff, participants, environments and property under the organisation's responsibility. In addition, reviewing accident/incident reports, the safety of new programmes, any changes to existing programmes, and review of existing programmes.

8. Is there a person within the organisation tasked with co-ordination of the day-to-day aspects of safety management?

9. Does each member of staff have a written job description with clearly stated safety responsibilities detailing all organisational and legislated requirements?

10. Are all job descriptions current, accurate and understood?

11. Are these job descriptions regularly reviewed every time a new staff member starts or a position changes?
12. Is member 'contact' time managed to allow satisfactory focus on health and safety issues?

13. Are there systems in place to assess staff health over prolonged programme contact periods?

14. Is there a management review process to authorise all new safety aspects of project activities?

15. Does the organisation know, keep, and review all relevant legislation and guidelines it must operate within?

Staff

Key Message

Staffing plays one of the most important roles in an effective safety management programme. Recruitment, training, and retention of key staff, particularly direct supervising staff, should be a significant focus in developing effective management systems for aan Organisation.

Recruiting, training and maintaining key personnel is a key part in ensuring effective safety management.

Through the accumulation of knowledge of the local environment, sponsor organisation, member needs and capabilities, and equipment available, staff become more competent in managing safety and health issues.

In addition, gaining and updating professional qualifications is an important aspect of maintaining contemporary skills in the professional field.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are clear and appropriate safety and health standards in place for hiring staff? And do they reflect industry guidelines?

2. Is there an adequate selection process for assessing levels of technical skill, expertise, experience and judgement of potential staff in respect of safety and health?

3. Is each applicant's skill level, experience and qualifications considered against this list of requirements?

4. Does the organisation use application forms, referees, interviews, skill tests, and/or probation periods to determine the *competency-based* suitability of the applicants?

5. Does the organisation check the applicant's accident history, general level of responsibility, ability as an educator, medical and physical condition, and criminal record in terms of *general* suitability for the position?

6. Is the induction, training, and orientation plan for new staff adequate and appropriate?

7. Are staff allowed to work without taking part in a safety and health induction and orientation?

8. Are regular performance reviews in respect of safety and health carried out between individual staff and their supervisors?

9. Are processes in place appraise professional development needs?

10. Are systems in place to record and track all staff training (first aid certification, training, workshops, field experience) both on-job and recreational, etc?

11. Does the organisation supply staff with documents that clearly outline the safety related conditions of employment?

12. Are staff systematically observed and given quality feedback on their safety performance?

Participants

Key Message

Participants have a critical role to play in safety and health management. It is very important to understand the needs, capabilities and limitations of each participant on every activity or programme the Organisation runs.

In order to provide the standard of care required for participants, it is necessary to have relevant information about them, as well as identify any risks that participants may bring to a programme, event or activity. The sponsor organisation should check that adequate information about all people involved in the risk activities you run is obtained and available to those who need it.

Participants involved in risk recreation based activities must be physically capable relative to the conditions likely to be encountered. It is very important to know issues such as any medical conditions which may cause a hazard to themselves or possibly others ie allergies, asthma, epilepsy etc.

Other individual factors may also compromise safety members, or others, and should similarly be sourced to the sponsor organisation at the planning stage. This may include issues such as:

- inability to read or understand English
- physical or mental disability
- insufficient skill to perform required tasks.

Organisations should never proceed with activities beyond the capability of their participants. They should always be aware that personal capability may change during the course of activities. Specific notice of a participant's personal capabilities being distorted due to peer pressure, pride, age, capability, etc should be considered.

Key Indicators

Important

These *key indicators* are those determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are all participants screened to assess their health before and during the programme or activity?
2. Does this screening include gathering the following information:
   - emergency contact address and phone
   - age
   - gender
   - general practitioner
   - allergies
   - medical history
   - use of medications
   - general physical condition
   - dietary requirements
   - ability in water.
3. Is the information readily available to those that need it during the running of activities and in emergencies?
4. Does pre-event/activity/programme material supplied by the organisation adequately describe risks and hazards?
5. Does pre-activity material clearly explain requirements for personal clothing and equipment neccessary to be safe during the activity /programme?
6. Does pre-activity material adequately explain the physical conditioning required to undertake project activities?
7. Are medical clearances sought from participants who have significant medical or other conditions that could prohibit involvement?

Programming

Key Message

Every organisation will have programme content reflecting the aims and objectives of the Organisation. While each event/activity/programme is different from the next, key principles of safety management apply across the board.

Each programme or activity may run in differing environments, and within different communities.

The risks of each risk recreation activity will be situationally specific to these factors, and identified risks associated with each event/activity/programme will reflect these differing requirements.

Regardless of these variances, key safety and health management issues relate to every event/activity/programme.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the activity/programme utilise staff who are qualified, capable, and competent for the activities and participants they will be involved with?
2. Are staff familiar with the areas where activities will be run?
3. Have all foreseeable risks and hazards been identified and documented for the project activities?
4. Do these risks identify people, equipment/resources and environmental risks and hazards?
5. Does the management of these risks identify all fluctuating/variable factors, such as ability of participants, weather, terrain, time of day, season, location etc?
6. Does the management of these risks disclose if they are obvious or hidden?
7. Have these risk and hazards been prioritised in order of danger and hierachy of management?
8. Are these risks acted upon by utilising the principles of elimination, isolation or minimisation?
9. Has an assessment been made of the potential and gravity of foreseeable injury should an incident/accident occur?
10. Are safety policies and recommended programme procedures documented for all programme activities?
11. Do these safety policies and recommended programme procedures comply with current industry standards?
12. Are all staff familiar with policies and procedures of specific activities?
13. Is management notified of all activities being conducted in the field?
14. Do staff to member ratios reflect skills, experience, and knowledge of the staff and the clients and the nature of risk of the activity?
15. Are staff skills, experience and knowledge appropriate for the activity?

16. Are participants appropriately briefed and progressively readied for event/ programme activity?
17. Do participants have a choice about their level of participation in the programme activity and are awre of the options for withdrawing?
18. Can staff present a rationale for conducting the activity under the present safety conditions?
19. Are staff skills, knowledge, and experience sufficiently above that of the participants to effectively run the event/activity and respond to emergencies?

Equipment

Key Message

The quality of equipment available to both staff and participants will directly affect the quality of the experience and the safety of the event, activity.

Recreation gear, tools, clothing, footwear, facilities, and vehicles that are fit for the purpose should be a pre-requisite for all activities.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are the staff in your organisation informed of the equipment they must have in order to carry out their work?
2. Is the quality of the equipment monitored to ensure it meets legislative and industry standards?
3. Does your organisation have inventories for all equipment resources that the organisation owns?
4. Does the organisation carry insurance to cover replacement of equipment assets?
5. Does the organisation contribute to the replacement and maintenance of this equipment?
6. Are participants informed of the equipment they need to supply themselves in order to have a safe project?
7. Does your organisation ensure the quality of the equipment is checked before the members are allowed to participate on the project?
8. Does the organisation have provision to loan or hire to members who can't supply their own equipment?
9. Is a systematic process in place to record the usage of equipment?
10. Does this process include a retirement policy after certain hours of use, or damage?
11. Is all equipment stored in an appropriate place and manner?
12. Are the vehicles used in the programme appropriate for the activities for which they will be used?
13. Do vehicles comply with all relevant legislation?
14. Are First Aid kits available in all vehicles?
15. Is written vehicle safety and maintenance information available in vehicles for staff drivers?
16. Is there a clear policy on who is and isn't allowed to drive vehicles?

Contracting

Key Message

Contracting external providers of services or equipment is an area that exposes organisations to risks often seen as beyond their control. Significant obligations do, however, still remain with you to ensure safe practice during the contract.

It is essential to identify all of the risks and hazards of bringing outside agencies, or the hiring of equipment into the organisation . It is just as important to ensure that the risks your organisation will expose the contractor to are communicated to them before they begin work.

Understanding your responsibilities when engaging contractors is a key requirement if you choose to employ outside providers.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Do you gather information on the person/organisation you intend contracting before they are engaged to do work? Does it include:
   - contractor's safety rules?
   - confirmation of an appropriate safety record?
   - reference's from other organisations?
2. Does your contract with the person/organisation include specific reference to:
   - laws and regulations?
   - your organisational rules?
   - restricted areas?
   - the standard of training and experience required by the contractor for the programme?
   - safety equipment to be used?
   - hazards of work and control measures for these?
   - reporting requirements for accidents?
   - any specific job instructions and procedures?
   - any applicable worksite permits?
   - consequences of breaching safety requirements?
   - emergency procedures?
3. Does 'on-the-job' control of the contractor and contract completion include checking the following:
   - safety induction programme for contractor's staff?
   - checking the contractor's compliance with safety related clauses within the contract as the work progresses?
   - conducting periodic safety audits?
   - receiving regular safety reports?
   - following up on accident and incident reports?
   - reviewing and evaluating performance?
   - conducting spot inspections?
   - taking prompt action for breaches of safety requirements?

Accident & Emergency

Key Message

An important part of any safety management plan is preparing for accidents and emergencies, before they happen.

The best way to deal with accidents and emergencies is to have prepared plans available that people can follow when required.

An emergency plan should cover the range of possible emergency or accidents that could be dealt within your event/activity/programme. It should provide a well thought out plan for each possible scenario, detail who will be available to carry out the plan, and how resources will be available.

Each of these plans should also detail who will be involved in the management of agencies from outside of the organisation who will want to become involved (media, Police, OSH).

Behind every accident there lie many contributing causes. A systematic approach that can be used to look for root causes of accidents is critical to the safety management processes of all organisations.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

Planning for Accident and Emergency Situations

1. Is there a written plan for emergency response that covers all areas of operation including organisational communication, during an emergency?
2. Does the emergency plan assign specific duties to specific staff with alternative staff named for situations when the assigned person is unavailable?
3. Are key phone numbers and contact procedures for significant personnel and essential emergency services listed and accessible?
4. Do staff have access to communication equipment at all times for accident and emergencies. ie, cell phones, VHF radios etc?
5. Does your emergency system ensure that procedures are updated regularly?
6. Does your organisation have a documented programme to control how information will be released to next of kin, the public, and the media in the event of an emergency?
7. Do your emergency plans allow for times when the office is closed but your staff and participants are still in the field?
8. Do you have training objectives for staff in emergency preparedness?
9. Does your organisation have a contingency plan in place for the loss of key personnel in an emergency situation?
10. Are there written plans for field emergencies covering missing Corps members?
11. Do staff communicate emergency processes to the participants prior to beginning activities and at the start of the event/activity/programme?
12. Are the staff trained for emergency response?
13. Are participants adequately informed and trained to cope with emergencies?

14. Are required rescue resources always available to cope with assistance at a field emergency?

15. Are other rescue and emergency agencies known to staff?

16. Do these agencies know of your activities?

17. Do all staff have First Aid training appropriate to the programme activity?

18. Are First-aid kits present in all activities and appropriate to the activity?

Accident and Emergency Monitoring and Reporting

19. Does the organisation have a formalised investigation procedure for fatalities, injuries, near misses, and illnesses. Do the investigations include recording of:

    - name, age, sex, address of staff and/or Corps members involved?
    - names and contacts of witnesses?
    - time, place, weather details?
    - description of incident?
    - summary of any treatment given?
    - summary of any equipment and property damage?
    - time lost from programme due to incident?

20. Are the investigations into fatalities, injuries, near misses and illnesses analysed each year for significant trends?

21. Does your organisation have a procedure to ensure that remedial actions and follow-up of any investigations are carried out?

22. Is the safety group required to review the investigation and implemented changes before the investigation is considered closed?

23. Is the organisation a member of a group that shares the statistics, report forms and lessons learned from such accidents and incidents?

24. Are all accident/incident reports easily accessible to all members of staff?

25. Is the organisation's accident/incident rate acceptable in relation to normal industry guidelines?

Review Process

Key Message

A safety management programme is of limited value without consistent monitoring and review. It must involve a review process whereby organisations provide information to an external agency/contractor to measure compliance with Guidelines to Best Practice.

Process

Review of the Stage Two process involves the ongoing maintenance and moderation of compliance to the standards set out in this resource. This ongoing maintenance and moderation is critical to ensuring that your organisation is working to industry standards.

OSI provides a Stage Two Review programme to ensure that your organisation is reaching minimum industry bench marks.

The review involves a desk top audit (paper-based) of the systems the organisation uses for the running of its activities. Organisations are required to send all their documentation to OSI who will review and critique it. OSI will then send your organisation a review document that details those areas where compliance has been met and those areas that require improvements to reach minimum industry standards.

If the organisation feels it is required, the review may involve a site visit. The purpose of the site visit review is information gathering so that a clear and better picture of the degree to which the organisation meets the standards set out in Stage Two is achieved.

It is important to note that the most any review process can assess is a snapshot of how the organisation being assessed was working during the time the reviewer saw it in action.

It is the responsibility of the reviewer to visit activity sites, interview staff and members, observe the project in operation, and verify that the documented safety systems detailed in your approved Stage Two report document place, and are being utilised.

The OSI reviewer will then write a summary report of their findings commenting on the organisation's safety standards only.

It is worth organisations noting that those that have achieved compliance of Stage Two through OSI have met the industry standards acceptable for accreditation by SFRITO and will not require an industry visit as part of their accreditation process.

Stage Three

Key Message

Audit plays an important role in moderating safety performance in line with the Guidelines to Best Practice. It allows independent scrutiny of safety programmes and also provides the necessary checks and balances to promote consistency across the risk recreation industry.

Process

From time to time (OSI recommends at least once every three years) the Organisation will organise an independent safety management contractor to measure compliance of the organisation against the Key Indicators detailed in Stage Two of the Guidelines to Best Practice.

Methodology for the OSI Audit

The OSI audit is based on a people and, therefore, a behavioral approach to safety, as opposed to the more traditional industry approach.

Safety effectiveness is a function of employee behavior which, in turn, is dependent on a number of factors and interactions. Past and current behavioral influences produce current motivation in employees. This motivation to perform, combined with ability, is filtered by the safety system and the environment to produce the final behavior. The audit is devised in such a way to test each of these component parts and their interactions.

The audit is conducted in three ways:

- PART 1: Behavioral influences
- PART 2: Safety system
- PART 3: Physical environment and interaction between all components.

To better understand the component parts and how they will interact on your organisation lets look at each of these aspects of the audit in turn.

PART ONE:

AUDIT OF THE BEHAVIOURAL INFLUENCE

(Method of auditing = staff attitudes survey)

The final safety effectiveness of an individual staff member depends on their behavior, and this in turn is determined by their motivation to perform and their ability to perform. We ask all staff members to complete a questionaire which gives us a clear indicator of current attitutes to safety.

PART TWO:

AUDIT OF THE SAFETY SYSTEM

(Method of auditing = checklist audit with weighting)

The safety system currently operating within your programme is audited in relation to contemporary standards. Three major principles are used as measures of contemporary practice:

- quality management
- systems safety
- multiple causation

This gives us the rationale for the main categories under which PartTwo of the audit is grouped:

1) Management Decision Processes
2) Work Flow Processes
3) Hazard Analysis Processes
4) Information and Monitoring Processes (including performance).

PART THREE:

AUDIT OF THE PHYSICAL ENVIRONMENT AND OTHER FACTORS.

(Method of auditing = safety sampling)

One of the newer methods to measure safety effectiveness in the field is known as safety sampling. Safety sampling is based on the principle of random sampling inspections to determine quality of output without making 100 percent inspections. Like all accountability systems, safety sampling is also a good motivational tool, as each person wants to be sure they are operating as safely as possible when the sample is taken.

Safety sampling works by first preparing a code of unsafe and safe practices and conditions that may be observed in the activity to be audited. The sample

is then taken by checking each of the listed practices or conditions as they display themselves in the course of inspection. In this way the number of safe practices and conditions observed can be compared with the number of unsafe practices and conditions. Qualitative notes are made as this is carried out for feedback to the people who were observed at a later time.

Quoting

To implement a comprehensive safety audit need not be time consuming and expensive. OSI is open to negotiating with each client, individual needs to suit budget constraints and ensure best value for investment.
Detailed below are estimates of costs for review and audit processes.

Desk top Audit of Stage One (Self Assessment):
For a small organisation (up to 5 staff): $500.00 plus GST
For a large organisation (up to 15 staff): $1,000.00 plus GST

Desk top Audit of Stage Two :
For a small organisation : $750.00 plus GST
For a large organisation : $1,500.00 plus GST

The inclusion of a site visit will cost $450.00 plus GST per day on site plus payment of one days preparation.
Stage Three Audit:
For a small organisation: $2,500.00 plus GST
For a large organisation (up to 15 staff):from $5,000.00 plus GST
All Stage Three Audits require a site visit.

These costs are estimates only and each case is open to negotiable terms and conditions.

All enquiries should be made to:

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Outdoor Safety Institute
P.O. Box 11-231,
Manners Mall,
Wellington
New Zealand

Wellington Trade Centre,
Level 10,
175 Victoria Street,
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Phone: 04 385-1146
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GUIDELINES TO BEST PRACTICE

Safety Management for Adventure Recreation Providers

P. O. Box 11-231, WELLINGTON,
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Foreword

The safety and health of participants, staff and spectators at adventure and risk recreation activities is of prime importance to all those who are involved in the adventure industry.

Guidelines to Best Practice - has been developed to ensure people's safety always remains paramount.

The aim is to ensure that each person who may become involved in an outdoor event or activity will be assured of a high level of safety management and practice regardless of which organisation delivers the programme.

The challenge to achieve this aim has been to create a workable system whereby the wide variety of organisations will all achieve excellence in safety and health management. This ranges from those with significant staffing and operating budgets, to those who rely on volunteer assistance and limited financial resources.

We believe we have achieved this by creating a resource that addresses the minimum requirements of legislation and contemporary practice backed up by the expertise to make sure we have consistency across the industry.

Over the last 5 years, the Outdoor Safety Institute has developed an enviable credibility for providing sound advice on safety at a national level. We are confident that this resource and your organisation's commitment to its aims and objectives will see this reputation not only maintained, but enhanced for all of those involved in providing exciting and fulfilling adventure experiences for New Zealanders.

Chris Knol

Managing Director
Outdoor Safety Institute Ltd

The Outdoor Safety Institute

Outdoor Safety Institute staff (OSI) have accumulated over thirty years of experience in every aspect of administering and operating outdoor adventure and risk recreation experiences.

Our experiences in New Zealand and overseas has given us some very clear messages on quality and safety. The first message is that both quality and safety are inherent to the modern management of risk recreation and adventure activities. The second is that an objective viewpoint from a safety management professional is essential to gain qualitative information to reflect on. The third is that sound management is built on information. Defining the starting points and benchmarks is absolutely crucial to improving the quality of the experience and safety management of your programmes.

OSI is committed to delivering the systems, information and resources to help you to do it better.

Since the creation of OSI in 1992 we achieved an outstanding track record as providers and consultants in safety management not matched by any other risk recreation safety management provider.

To date the work undertaken by Outdoor Safety Institute has included the following:

- Safety reviews of over 30 organisations in New Zealand and Australia.
- Safety Audits of all the major outdoor education providers in New Zealand including Outward Bound, The Sir Edmund Hillary Outdoor Pursuits Centre and the New Zealand Conservation Corps.
- Audit and analysis of some of New Zealands largest outdoor disasters.

Published the following resources:

- Code of Practice for EOTC for the Ministry of Education
- Directors manual on Risk Management Training for the Hillary Commission and the NZ Mountain Safety Council.
- Code of Practice for Association of NZ Polytechs
- Code of Practice for Working at Heights for BP Oil
- Guidelines to Best Practice for Conservation Corps and Youth Service Projects

Under taken Risk Management training for the following organisations:

- Occupational Safety and Health
- Teacher Support Services
- New Zealand Water Safety Council
- Outward Bound
- Sir Edmund Hillary Outdoor Pursuits Centre
- Police SAR and OAS
- The Hillary Commission
- Surf Life Saving New Zealand
- Department of Conservation
- Ministry of Youth Affairs
- SFRITO
- NZ Recreation Association
- Ministry of Education
- NZ Fire Service
- Ministry of Education

Our Aim

This resource and the ongoing safety management processes it encourages, aim to enhance the quality of adventure recreation activities for all

New Zealanders

Contents

Introduction

Welcome to Guidelines to Best Practice - Safety Management for Adventure Recreation Providers

Some of the most important obligations faced by the providers of adventure activities and events are those under the Health & Safety in Employment Act 1992 (HSE) which governs contract roles and responsibilities.

These roles are those of the providing organisation being the Principal, and the the role of Contractors. We have responsibilities as Principal to take all practicable steps to ensure our organisation is operating safely. Equally, we have a number of responsibilities when we act as contractors to undertake the project in accordance with legislative and industry-related safety practices.

This includes taking responsibility for important issues and actions such as having hazard identification and management procedures, the right equipment, qualified staff, contingency planning, knowing the capability of those we are providing for, knowing relevant regulations and guidelines for all our activities.

Guidelines to Best Practice has been developed to help you fulfil your responsibilities, while also producing a resource to promote and moderate best practice for all those involved in the provision of risk activities whether it be outdoor recreation, adventure tourism or challenge events. Further to this, we believe it is important to ensure safety practices are managed in a manner which will promote minimum 'bottom line' levels of operating guidelines for all organisations active in our industry.

OSI has a clear understanding of the obligations placed on New Zealand organisations under current legislation. Guidelines to Best Practice will give you an indication of how well you measure against minimum industry standards. Use of this resource does not detract from, minimise, or remove any obligations that you currently have to comply with legislation, particularly HSE, or other obligations you currently have such as duty of care and the need to undertake activities within recognised industry practices.

Guidelines to Best Practice does not provide anything new in terms of managing safety and health. Those organisations already operating in full compliance with their legislative and industry guided responsibilities should find this resource easily manageable, and in many instances it will aid the continued improvement in safety and health management.

In some instances, organisations will have to do more and instigate new processes to manage their safety and health in line with these guidelines. For those who have to do more, the responsibility is yours.

Guidelines to Best Practice has been developed to meet our aim of ensuring safe practices and quality provision in risk activities. We hope you find it a positive resource, and a tool to help you provide excellent safety management.

Instructions

Guidelines to Best Practice - Safety Management for Adventure Recreation Providers determines a minimum level of safety management for organisations for all safety practices.

Guidelines to Best Practice consists of a programme based upon three stages of compliance.

Organisations progress through each stage in a pathway approach. Compliance to Stage One allows the organisation to progress to Stage Two and so on. The aim of this approach is to create a process whereby progressive and seamless programme development, implementation, review, and a commitment to continued improvement and moderation combines to achieve our aim of obtaining excellence in safety and health management.

Stage One: Initial safety report, by means of a measurement of the organisation's processes through a Self-assessment Checklist.

Stage Two: Recognised compliance, by a desk top audit and submission of supporting documentation, of procedures and standards measured against those prescribed in Guidelines to Best Practice.

Stage Three: Audit carried out by contracted agents from time to time, to moderate compliance.

Starting down the path to compliance with Guidelines to Best Practice requires a commitment from organisations to involve themselves in achieving compliance with each stage.

Stage One

Key Message

Stage One involves the organisation undertaking a safety self-assessment. This involves conducting a study of its own operations utilising the Self-Assessment Checklist contained in this section.

Process

There are three steps to the safety self-assessment process.

1. The organisation collects, reviews, and records all material relative to the administration of safety in the recreation, education and work based aspects of its adventurous or risk activities.

2. The organisation ensures that the key policies, procedures and actions relating to Guidelines to Best Practice Stage One compliance (Self-Assessment Checklist) are documented and in use.

3. The organisation forwards the completed Self-Assessment Checklist (with comments) from Guidelines to Best Practice, to OSI for review.

It must be recognised by the organisation that the standards asked for in Stage Two of Guidelines to Best Practice is the goal to be strived for and this initial Self-assessment phase is a starting position only - a 'snapshot'. It serves to provide a level and consistent starting point for working towards achieving Stage Two compliance.

The Self-Assessment Checklist will be an initial indicator. The importance of this report should not be minimised. The Self-Assessment Checklist summarises the key issues of safety management featured in Stage Two and promotes the need to have these 'bottom line' systems in place before **beginning** any risk recreation or adventurous activities.

The self-assessment process provides the opportunity to measure and assess the safety systems of the organisation against generally accepted common practices in the outdoor and community recreation industry.

Organisations are responsible for assessing their own level of practice in the Self-Assessment Checklist through a ranked scale from 1-5, with each category's criteria detailed.

Comments are also required if the standard differs or does not apply to that organisation, or detailing any other relevant points. Any standards not met should be accompanied by documentation detailing the measures that you intend to put in place to reach the required standard (verifying the quality and accuracy of information).

Once submitted, OSI will review the Self-Assessment Checklist and any accompanying notes and provide feedback to the organisation on its level of compliance.

If there are deficiencies regarding the compliance with the check list standards, OSI will advise the organisation that shortfalls exist and where the systems required may be accessed.

Organisations should then bring their safety standards to the required level.

Having achieved and been approved at Stage One, the organisation should determine a timeline for full implementation and assessment of Stage Two.

GUIDELINES TO BEST PRACTICE

STAGE ONE - SELF-ASSESSMENT

Organisation _____

Name _____

Designation _____ Date / /

1. OPERATIONAL

Circle appropriate number

1.1 Does your organisation have written health and safety policies and guidelines?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Outlines clear responsibilities, widely distributed and understood by all staff.

1.2 Does your organisation have a comprehensive written safety management plan and for all activities and/or programmes?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Defines clear responsibilities, uses RAMS based systems, is up to date, widely distributed, and used by all staff.

1.3 Are the safety management plans of your organisation reviewed and revised regularly?

Never Updated 1 ... 2 ... 3 ... 4 ... 5 Always Updated

Criteria: Regular updates would be made at least on an annual basis.

1.4 Are all staff familiar with relevant safety management manuals and policies?

Wouldn't know 1 ... 2 ... 3 ... 4 ... 5 Very Familiar

Criteria: Regular scheduled and random checks to ensure all staff operate inside policy.

Comments:

2. Management and Communication

Circle appropriate number

2.1 Are health and safety goals set and communicated to staff by management?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Based on analysis of strengths and weaknesses of current programme, goals are action-oriented with established time frames.

2.2 Is there an active safety group within the organisation involved in regular safety monitoring meetings?

None 1 ... 2 ... 3 ... 4 ... 5 Regular Meetings

Criteria: Regular meetings to consider all aspects of safety, compliance and issues

2.3 Are safety responsibilities assigned and fully defined in every employee's job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Safety responsibilities built into job descriptions. Staff at all levels understand their responsibilities, and performance is assessed and reviewed.

2.4 Is there a functioning system in place for staff to provide regular feedback to management about safety concerns?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Staff should be involved in regular meetings where concerns of health and safety can be raised.

2.5 Is there a procedure for reporting of hazards?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Standard hazard measurement tools, training to staff on what is a hazard or risk, safety group with the task of assessing priority of risks and hazards.

Comments:

3. Staff

Circle appropriate number

3.1 Is there a staff selection procedure for assessing levels of technical skill, expertise, experience, and judgement of potential and new staff?

None 1 ... 2 ... 3 ... 4 ... 5 Full Procedure

Criteria: Skills and qualifications should reflect current industry standards and practices.

3.2 Does the organisation check a job applicant's overall suitability for the position?

None 1 ... 2 ... 3 ... 4 ... Full Procedure

Criteria: Qualifications, work history, accident history, general level of responsibility, ability as an educator, medical and physical condition, criminal record etc are sourced.

3.3 Are procedures in place to ensure staff undertake a safety induction and orientation programme for the organisation, and for activities?

None 1 ... 2 ... 3 ... 4 ... 5 Full induction

Criteria: Staff fully understand the safety protocols of the organisation and the policy they must work within before being allowed to work with participants.

3.4 Has a list of employee's skills (meeting required minimum standards) been prepared in order to identify appropriate training needs, and to ensure employees are capable of carrying out their written job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Tasks are analysed to ascertain the necessary knowledge, experience and competence required.

3.5 Are processes in place to evaluate staff performance and appraise professional development needs?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Regular safety performance appraisals and documented ongoing systems for the safety assessment of staff performance.

Comments:

4. Participants

Circle appropriate number

4.1 Are all participants screened to assess their health before and during the project?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes obtaining a medical clearance if any doubt is present about a member's ability to undertake any project activities.

4.2 Is a health and participation form signed by the participants ? (or by parent or guardian if the participant is under 18 years)

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All members under 18 years should have signed approval from a parent or guardian. All participants should sign a contract of involvement and health participation form.

4.3 Does pre-project material adequately describe the risks and hazards associated with programme activities to potential participants ?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Disclosing that there is risk involved in activities and that this is a shared responsibility of both the organisation and the participant is an important aspect of risk disclosure.

4.4 Does pre-course material adequately explain the clothing and equipment required to undertake course activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All participantsmust have adequate protective clothing and equipment for programme activities.

4.5 Is an assessment made of the participant's capability to participate in all adventurous activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability to swim, fitness levels, phobias, etc are regularly assessed.

Comments:

5. Programming

Circle appropriate number

5.1 Are all risks and hazards associated with running programmes identified in a systematic manner and acted on?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Processes of elimination, isolation and minimisation employed, all staff involved, comprehensive identification systems are included for all areas of processes, tasks, staff, equipment, resources and environment.

5.2 Does the management of these risks and hazards identify all fluctuating/ variable factors?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability of participants, weather, terrain, time of day or year, remote location etc.

5.3 Do the staff to participant ratios reflect skills, experience and knowledge of the staff and the clients as well as the nature of risk in the activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Programmes must be run with a match of skills and abilities of both members and staff to the potential risks.

5.4 Do participants have a choice about undertaking challenges/risks in the activites?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes understanding 'challenge by choice' principles in activities, and this is communicated to participants.

5.5 Do activities progressively and sequentially prepare participants for increasing levels of risk activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ensure programmes/activities are based on sound experiential principles and approaches to risk.

5.6 Are planned assessments of the safety management systems, people, activities, programmes, and equipment carried out regularly?

- systems

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- people

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- activities

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- programmes

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- equipment

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: At least once a year.

Comments:

6. Equipment

Circle appropriate number

6.1 Is there a policy detailing specifications for equipment use, purchase and maintenance?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Policy sets in place specifications for equipment standards and maintenance.

6.2 Is all equipment used in line with its purpose, stored safely, serviced, registers kept of use, and retirement polices for equipment maintained?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Clear procedures for use and control.

6.3 Are all vehicles and facilities well maintained and comply with legislation?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Comply with all current legislation.

Comments:

7. Contracting

Circle appropriate number

7.1 Are measures in place to determine the health and safety performance of contractors?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Performance requirements written into contracts, criteria for selection of the contractors included past performance, contractors submit a plan on how they will manage risks and hazards.

7.2 Does your contract with outside providers detail all necessary reference to legislation, and organisational rules?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Full detail on all operating requirements.

7.3 Does your organisation monitor the performance of contractors?

No control 1 ... 2 ... 3 ... 4 ... 5 Full Monitoring

Criteria: Scheduled and random written and site monitoring.

Comments:

8. Accident and Emergency

Circle appropriate number

Planning for an Accident or Emergency Situation

8.1 Does your organisation have a comprehensive emergency plan?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: In writing, all likely/foreseeable emergency conditions identified, participantsand staff fully informed.

8.2 Does the plan clearly identify responsibilities and procedures to follow?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: An emergency coordinator has been appointed, all staff and members know procedures.

8.3 Are suitable and adequate rescue resources always available to cope with assistance in an emergency?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: Equipment and resources (equipment and human) are always available.

Accident & Emergency Monitoring and Reporting

8.4 Is there an accident/incident investigation procedure?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Employees have had the opportunity to contribute ideas and suggestions on possible accident and emergencies, procedures for dealing with them.

8.5 Is there a standard and comprehensive form for accident and incident investigation?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: The form must include full information on age, disabilities, medical data, next of kin, emergency contacts, doctor, etc.

8.6 Is a register/database of accidents and incidents maintained?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Register contains the information prescribed by OSH as a minimum, incidents that harmed or might have harmed staff or any other person, as well as serious harm are recorded.

8.7 Are all accidents and incidents investigated to determine whether they arose from or were caused by a significant risk or hazard?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All accidents and incidents are investigated. Significant risks or hazards identified, review is made to determine if controls are in place and if existing controls are adequate, corrective action is undertaken.

8.8 Is a periodic review made of the accident and incident register and reports to identify accident and injury trends?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Information is made available to managers and employees and tabled at management and/or team meetings.

Comments:

Stage Two

Key Message

Stage Two is the level of compliance to be strived for. Compliance is by a desk top audit of procedures and standards asked for in the Guidelines to Best Practice. Stage Two introduces more comprehensive 'yardsticks' expanding on the assessments made under Stage One.

Process

There are three steps to the process.

1. For the organisation to collect, review, and record all material relevant to the administration of safety within the organisation.

2. To ensure that the key policies, procedures and actions relating to Guidelines to Best Practice Stage Two compliance are documented and in use.

3. Provide a comprehensive report with supporting documentation which demonstrate compliance with Stage Two of Guidelines to Best Practice.

After achieving Stage One compliance through OSI, organisations should begin the processes to implement the standards of Stage Two. Organisations should commit at the outset to a time-frame for completion of this stage. The feed-back from OSI after Stage One will give you a clear indicator of exactly where your organisation is, in terms of safety management processes.

Utilising this resource, Guidelines to Best Practice, and the following questions covered in the section, organisations are required to ensure they have implemented systems that ensure the questions - the key indicators - asked for in Guidelines to Best Practice can be endorsed.

Documented policies, guidelines, and actions of the organisation's safety management must be supplied in writing. The documentation must be complete and give adequate information to substantiate that the standards asked for in the Guidelines to Best Practice Stage Two have been achieved.

The length of the safety management document will vary with the scope and size of the organisation's operation. The supplementary materials will vary from organisation to organisation. However, they must include comprehensive detail on these eight key areas:

- operational
- management and communication
- staff
- members
- programming
- equipment
- contracting
- accident and emergency.

OSI will again review your systems when you have completed them and give you an objective assessment of how well they comply with both legislative and industry standards. The OSI report will be a comprehensive review of systems currently in place and may include, if the Organisation wishes, a site visit to verify systems and procesess.

If there are deficiencies regarding the compliance with the Stage Two standards, OSI will advise the organisation that shortfalls exist. The Organisation must bring it systems to the required level.

Operational

Key Message

Organisations need to have clearly documented, active, and regularly reviewed operational manuals, policies, procedures, guidelines or protocols under which they will operate. These may be developed from a variety of sources such as industry regulations, standards bodies guidelines or legislation.

Your organisation's operational manuals, policies, procedures, guidelines or protocols should document the *rules* of your organisation. They should state the bottom line in overall safety practice which will never be compromised.

Operational manuals, policies, procedures, guidelines or protocols should be the accumulated knowledge gained by staff and management to their local conditions, operating environment, equipment, internal and external direction, and personnel.

If you have good resources new staff should quickly learn what to do, or watch out for, in terms of the safety management of the organisation through using the documented operational manuals, policies, procedures, guidelines or protocols. Existing staff faced with situations that compromise safety should always be able to refer to these resources to steer their decision making and protect the participants, staff, your organisation, and the public.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does your organisation have written safety operational manuals, policies, procedures, guidelines or protocols?
   - Are they regularly reviewed and revised documents?
   - Are they practical and easy to use?
   - Do the documents cover all safety related programme activities?
   - Do the documents detail clearly staff and management responsibilities?
   - Are the staff familiar with the relevant documents they must work to?
2. Do these written operational manuals, policies, procedures, guidelines or protocols include the following:
   - rules and policies that all staff members must comply with?
   - operating suggestions for local conditions based on other feedback from staff?
   - emergency preparedness plans?
   - supervisor safety training policies?
   - personal equipment procedures?
   - policies regarding standards of staffing or equipment when hiring or purchasing.
3. Do these written operational manuals, policies, procedures, guidelines or protocols include accident and incident investigation procedures to determine:
   - root causes?
   - processes that will reduce the likelihood of accident or incidents recurring is reduced through review of the necessary operational manuals, policies, procedures, guidelines or protocols?

4. Are all the operational manuals, policies, procedures, guidelines or protocols within your organisation clearly written and valid for your local operating conditions?
5. Are the responsibilities your organisation requires of staff toward operational manuals, policies, procedures, guidelines or protocols and rules clearly stated?
6. Is there a formal process in place for staff to question operational manuals, policies, procedures, guidelines and/or protocols or suggest alterations or additions?
7. Are staff encouraged to submit information to improve operational manuals, policies, procedures, guidelines or protocols?
8. Are there ramifications for staff working outside of operational manuals, policies, procedures, guidelines or protocols?
9. Are there specific policies on the following:
   - drug and alcohol use?
   - member code of conduct?
   - sexual harassment?
   - safety and health orientation and induction programme?
10. Does your organisation develop operational manuals, policies, procedures, guidelines or protocols and rules by the following methods:
    - analysis of accidents and near misses?
    - industry prescribed standards?
    - formal hazard identification processes?
    - relevant legislation?

Management and Communication

Key Message

All levels of the Organisation have responsibilities for safety and health management. This shared responsibility needs to be effectively communicated through the levels of management in organisations including trustees, directors, managers, staff, contractors and participants.

Clear communication and understanding of safety needs directly affect safety management within an organisation. Organisations with poor communication or interpretation of safety practices will compromise safety processes.

The management of safety and health should ideally be led by a group of staff which has input from all levels in the organisation. Within small organisations it may well be the responsibility of a single person to monitor safety performance. However even a single person should find a small group of supporters to share ideas and assist them in monitoring safety.

In larger organisations with more resources, a dedicated organisation-wide safety officer may have responsibility for co-ordinating safety and health management of the project.

The safety management group should be monitoring compliance with their manuals, policies, procedures, guidelines, and protocols. The safety management group should also be monitoring any changes occurring within the safety programme, including activities, and environment.

How management implements safety and communicates with staff is also critical to the management of safety within the organisation. Staff and members should be actively involved in monitoring safety performance. Through participation staff and members become active in workplace safety, increasing self awareness and self direction in maintaining high levels of safety management.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the organisation have stated safety goals and objectives that convey a positive quality-oriented message?

2. Does the organisation have a system that enables all staff to be made aware of programme objectives and stated safety goals?

3. Is there an active safety group within the organisation involved in safety monitoring?

4. Does the safety group report to the rest of senior management/trustees/directors on a regular basis?

5. Is there a representative from the operational level on the safety group?

6. Do all members of staff have formal lines of communication to voice thoughts on safety to the safety group?

7. Are the accountabilities, processes and meetings of this safety monitoring documented?
   They should include setting safety goals for all staff, participants, environments and property under the organisation's responsibility. In addition, reviewing accident/incident reports, the safety of new programmes, any changes to existing programmes, and review of existing programmes.

8. Is there a person within the organisation tasked with co-ordination of the day-to-day aspects of safety management?

9. Does each member of staff have a written job description with clearly stated safety responsibilities detailing all organisational and legislated requirements?

10. Are all job descriptions current, accurate and understood?

11. Are these job descriptions regularly reviewed every time a new staff member starts or a position changes?
12. Is member 'contact' time managed to allow satisfactory focus on health and safety issues?

13. Are there systems in place to assess staff health over prolonged programme contact periods?

14. Is there a management review process to authorise all new safety aspects of project activities?

15. Does the organisation know, keep, and review all relevant legislation and guidelines it must operate within?

Staff

Key Message

Staffing plays one of the most important roles in an effective safety management programme. Recruitment, training, and retention of key staff, particularly direct supervising staff, should be a significant focus in developing effective management systems for aan Organisation.

Recruiting, training and maintaining key personnel is a key part in ensuring effective safety management.

Through the accumulation of knowledge of the local environment, sponsor organisation, member needs and capabilities, and equipment available, staff become more competent in managing safety and health issues.

In addition, gaining and updating professional qualifications is an important aspect of maintaining contemporary skills in the professional field.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are clear and appropriate safety and health standards in place for hiring staff? And do they reflect industry guidelines?

2. Is there an adequate selection process for assessing levels of technical skill, expertise, experience and judgement of potential staff in respect of safety and health?

3. Is each applicant's skill level, experience and qualifications considered against this list of requirements?

4. Does the organisation use application forms, referees, interviews, skill tests, and/or probation periods to determine the *competency-based* suitability of the applicants?

5. Does the organisation check the applicant's accident history, general level of responsibility, ability as an educator, medical and physical condition, and criminal record in terms of *general* suitability for the position?

6. Is the induction, training, and orientation plan for new staff adequate and appropriate?

7. Are staff allowed to work without taking part in a safety and health induction and orientation?

8. Are regular performance reviews in respect of safety and health carried out between individual staff and their supervisors?

9. Are processes in place appraise professional development needs?

10. Are systems in place to record and track all staff training (first aid certification, training, workshops, field experience) both on-job and recreational, etc?

11. Does the organisation supply staff with documents that clearly outline the safety related conditions of employment?

12. Are staff systematically observed and given quality feedback on their safety performance?

Participants

Key Message

Participants have a critical role to play in safety and health management. It is very important to understand the needs, capabilities and limitations of each participant on every activity or programme the Organisation runs.

In order to provide the standard of care required for participants, it is necessary to have relevant information about them, as well as identify any risks that participants may bring to a programme, event or activity. The sponsor organisation should check that adequate information about all people involved in the risk activities you run is obtained and available to those who need it.

Participants involved in risk recreation based activities must be physically capable relative to the conditions likely to be encountered. It is very important to know issues such as any medical conditions which may cause a hazard to themselves or possibly others ie allergies, asthma, epilepsy etc.

Other individual factors may also compromise safety members, or others, and should similarly be sourced to the sponsor organisation at the planning stage. This may include issues such as:

- inability to read or understand English
- physical or mental disability
- insufficient skill to perform required tasks.

Organisations should never proceed with activities beyond the capability of their participants. They should always be aware that personal capability may change during the course of activities. Specific notice of a participant's personal capabilities being distorted due to peer pressure, pride, age, capability, etc should be considered.

Key Indicators

Important

These *key indicators* are those determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are all participants screened to assess their health before and during the programme or activity?
2. Does this screening include gathering the following information:
   - emergency contact address and phone
   - age
   - gender
   - general practitioner
   - allergies
   - medical history
   - use of medications
   - general physical condition
   - dietary requirements
   - ability in water.
3. Is the information readily available to those that need it during the running of activities and in emergencies?
4. Does pre-event/activity/programme material supplied by the organisation adequately describe risks and hazards?
5. Does pre-activity material clearly explain requirements for personal clothing and equipment neccessary to be safe during the activity /programme?
6. Does pre-activity material adequately explain the physical conditioning required to undertake project activities?
7. Are medical clearances sought from participants who have significant medical or other conditions that could prohibit involvement?

Programming

Key Message

Every organisation will have programme content reflecting the aims and objectives of the Organisation. While each event/activity/programme is different from the next, key principles of safety management apply across the board.

Each programme or activity may run in differing environments, and within different communities.

The risks of each risk recreation activity will be situationally specific to these factors, and identified risks associated with each event/activity/programme will reflect these differing requirements.

Regardless of these variances, key safety and health management issues relate to every event/activity/programme.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the activity/programme utilise staff who are qualified, capable, and competent for the activities and participants they will be involved with?
2. Are staff familiar with the areas where activities will be run?
3. Have all foreseeable risks and hazards been identified and documented for the project activities?
4. Do these risks identify people, equipment/resources and environmental risks and hazards?
5. Does the management of these risks identify all fluctuating/variable factors, such as ability of participants, weather, terrain, time of day, season, location etc?
6. Does the management of these risks disclose if they are obvious or hidden?
7. Have these risk and hazards been prioritised in order of danger and hierachy of management?
8. Are these risks acted upon by utilising the principles of elimination, isolation or minimisation?
9. Has an assessment been made of the potential and gravity of foreseeable injury should an incident/accident occur?
10. Are safety policies and recommended programme procedures documented for all programme activities?
11. Do these safety policies and recommended programme procedures comply with current industry standards?
12. Are all staff familiar with policies and procedures of specific activities?
13. Is management notified of all activities being conducted in the field?
14. Do staff to member ratios reflect skills, experience, and knowledge of the staff and the clients and the nature of risk of the activity?
15. Are staff skills, experience and knowledge appropriate for the activity?

16. Are participants appropriately briefed and progressively readied for event/ programme activity?
17. Do participants have a choice about their level of participation in the programme activity and are awre of the options for withdrawing?
18. Can staff present a rationale for conducting the activity under the present safety conditions?
19. Are staff skills, knowledge, and experience sufficiently above that of the participants to effectively run the event/activity and respond to emergencies?

Equipment

Key Message

The quality of equipment available to both staff and participants will directly affect the quality of the experience and the safety of the event, activity.

Recreation gear, tools, clothing, footwear, facilities, and vehicles that are fit for the purpose should be a pre-requisite for all activities.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are the staff in your organisation informed of the equipment they must have in order to carry out their work?
2. Is the quality of the equipment monitored to ensure it meets legislative and industry standards?
3. Does your organisation have inventories for all equipment resources that the organisation owns?
4. Does the organisation carry insurance to cover replacement of equipment assets?
5. Does the organisation contribute to the replacement and maintenance of this equipment?
6. Are participants informed of the equipment they need to supply themselves in order to have a safe project?
7. Does your organisation ensure the quality of the equipment is checked before the members are allowed to participate on the project?
8. Does the organisation have provision to loan or hire to members who can't supply their own equipment?
9. Is a systematic process in place to record the usage of equipment?
10. Does this process include a retirement policy after certain hours of use, or damage?
11. Is all equipment stored in an appropriate place and manner?
12. Are the vehicles used in the programme appropriate for the activities for which they will be used?
13. Do vehicles comply with all relevant legislation?
14. Are First Aid kits available in all vehicles?
15. Is written vehicle safety and maintenance information available in vehicles for staff drivers?
16. Is there a clear policy on who is and isn't allowed to drive vehicles?

Contracting

Key Message

Contracting external providers of services or equipment is an area that exposes organisations to risks often seen as beyond their control. Significant obligations do, however, still remain with you to ensure safe practice during the contract.

It is essential to identify all of the risks and hazards of bringing outside agencies, or the hiring of equipment into the organisation . It is just as important to ensure that the risks your organisation will expose the contractor to are communicated to them before they begin work.

Understanding your responsibilities when engaging contractors is a key requirement if you choose to employ outside providers.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Do you gather information on the person/organisation you intend contracting before they are engaged to do work? Does it include:
   - contractor's safety rules?
   - confirmation of an appropriate safety record?
   - reference's from other organisations?
2. Does your contract with the person/organisation include specific reference to:
   - laws and regulations?
   - your organisational rules?
   - restricted areas?
   - the standard of training and experience required by the contractor for the programme?
   - safety equipment to be used?
   - hazards of work and control measures for these?
   - reporting requirements for accidents?
   - any specific job instructions and procedures?
   - any applicable worksite permits?
   - consequences of breaching safety requirements?
   - emergency procedures?
3. Does 'on-the-job' control of the contractor and contract completion include checking the following:
   - safety induction programme for contractor's staff?
   - checking the contractor's compliance with safety related clauses within the contract as the work progresses?
   - conducting periodic safety audits?
   - receiving regular safety reports?
   - following up on accident and incident reports?
   - reviewing and evaluating performance?
   - conducting spot inspections?
   - taking prompt action for breaches of safety requirements?

Accident & Emergency

Key Message

An important part of any safety management plan is preparing for accidents and emergencies, before they happen.

The best way to deal with accidents and emergencies is to have prepared plans available that people can follow when required.

An emergency plan should cover the range of possible emergency or accidents that could be dealt within your event/activity/programme. It should provide a well thought out plan for each possible scenario, detail who will be available to carry out the plan, and how resources will be available.

Each of these plans should also detail who will be involved in the management of agencies from outside of the organisation who will want to become involved (media, Police, OSH).

Behind every accident there lie many contributing causes. A systematic approach that can be used to look for root causes of accidents is critical to the safety management processes of all organisations.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

Planning for Accident and Emergency Situations

1. Is there a written plan for emergency response that covers all areas of operation including organisational communication, during an emergency?
2. Does the emergency plan assign specific duties to specific staff with alternative staff named for situations when the assigned person is unavailable?
3. Are key phone numbers and contact procedures for significant personnel and essential emergency services listed and accessible?
4. Do staff have access to communication equipment at all times for accident and emergencies. ie, cell phones, VHF radios etc?
5. Does your emergency system ensure that procedures are updated regularly?
6. Does your organisation have a documented programme to control how information will be released to next of kin, the public, and the media in the event of an emergency?
7. Do your emergency plans allow for times when the office is closed but your staff and participants are still in the field?
8. Do you have training objectives for staff in emergency preparedness?
9. Does your organisation have a contingency plan in place for the loss of key personnel in an emergency situation?
10. Are there written plans for field emergencies covering missing Corps members?
11. Do staff communicate emergency processes to the participants prior to beginning activities and at the start of the event/activity/programme?
12. Are the staff trained for emergency response?
13. Are participants adequately informed and trained to cope with emergencies?

14. Are required rescue resources always available to cope with assistance at a field emergency?

15. Are other rescue and emergency agencies known to staff?

16. Do these agencies know of your activities?

17. Do all staff have First Aid training appropriate to the programme activity?

18. Are First-aid kits present in all activities and appropriate to the activity?

Accident and Emergency Monitoring and Reporting

19. Does the organisation have a formalised investigation procedure for fatalities, injuries, near misses, and illnesses. Do the investigations include recording of:

    - name, age, sex, address of staff and/or Corps members involved?
    - names and contacts of witnesses?
    - time, place, weather details?
    - description of incident?
    - summary of any treatment given?
    - summary of any equipment and property damage?
    - time lost from programme due to incident?

20. Are the investigations into fatalities, injuries, near misses and illnesses analysed each year for significant trends?

21. Does your organisation have a procedure to ensure that remedial actions and follow-up of any investigations are carried out?

22. Is the safety group required to review the investigation and implemented changes before the investigation is considered closed?

23. Is the organisation a member of a group that shares the statistics, report forms and lessons learned from such accidents and incidents?

24. Are all accident/incident reports easily accessible to all members of staff?

25. Is the organisation's accident/incident rate acceptable in relation to normal industry guidelines?

Review Process

Key Message

A safety management programme is of limited value without consistent monitoring and review. It must involve a review process whereby organisations provide information to an external agency/contractor to measure compliance with Guidelines to Best Practice.

Process

Review of the Stage Two process involves the ongoing maintenance and moderation of compliance to the standards set out in this resource. This ongoing maintenance and moderation is critical to ensuring that your organisation is working to industry standards.

OSI provides a Stage Two Review programme to ensure that your organisation is reaching minimum industry bench marks.

The review involves a desk top audit (paper-based) of the systems the organisation uses for the running of its activities. Organisations are required to send all their documentation to OSI who will review and critique it. OSI will then send your organisation a review document that details those areas where compliance has been met and those areas that require improvements to reach minimum industry standards.

If the organisation feels it is required, the review may involve a site visit. The purpose of the site visit review is information gathering so that a clear and better picture of the degree to which the organisation meets the standards set out in Stage Two is achieved.

It is important to note that the most any review process can assess is a snapshot of how the organisation being assessed was working during the time the reviewer saw it in action.

It is the responsibility of the reviewer to visit activity sites, interview staff and members, observe the project in operation, and verify that the documented safety systems detailed in your approved Stage Two report document place, and are being utilised.

The OSI reviewer will then write a summary report of their findings commenting on the organisation's safety standards only.

It is worth organisations noting that those that have achieved compliance of Stage Two through OSI have met the industry standards acceptable for accreditation by SFRITO and will not require an industry visit as part of their accreditation process.

Stage Three

Key Message

Audit plays an important role in moderating safety performance in line with the Guidelines to Best Practice. It allows independent scrutiny of safety programmes and also provides the necessary checks and balances to promote consistency across the risk recreation industry.

Process

From time to time (OSI recommends at least once every three years) the Organisation will organise an independent safety management contractor to measure compliance of the organisation against the Key Indicators detailed in Stage Two of the Guidelines to Best Practice.

Methodology for the OSI Audit

The OSI audit is based on a people and, therefore, a behavioral approach to safety, as opposed to the more traditional industry approach.

Safety effectiveness is a function of employee behavior which, in turn, is dependent on a number of factors and interactions. Past and current behavioral influences produce current motivation in employees. This motivation to perform, combined with ability, is filtered by the safety system and the environment to produce the final behavior. The audit is devised in such a way to test each of these component parts and their interactions.

The audit is conducted in three ways:

- PART 1: Behavioral influences
- PART 2: Safety system
- PART 3: Physical environment and interaction between all components.

To better understand the component parts and how they will interact on your organisation lets look at each of these aspects of the audit in turn.

PART ONE:

AUDIT OF THE BEHAVIOURAL INFLUENCE

(Method of auditing = staff attitudes survey)

The final safety effectiveness of an individual staff member depends on their behavior, and this in turn is determined by their motivation to perform and their ability to perform. We ask all staff members to complete a questionaire which gives us a clear indicator of current attitutes to safety.

PART TWO:

AUDIT OF THE SAFETY SYSTEM

(Method of auditing = checklist audit with weighting)

The safety system currently operating within your programme is audited in relation to contemporary standards. Three major principles are used as measures of contemporary practice:

- quality management
- systems safety
- multiple causation

This gives us the rationale for the main categories under which PartTwo of the audit is grouped:

1) Management Decision Processes
2) Work Flow Processes
3) Hazard Analysis Processes
4) Information and Monitoring Processes (including performance).

PART THREE:

AUDIT OF THE PHYSICAL ENVIRONMENT AND OTHER FACTORS.

(Method of auditing = safety sampling)

One of the newer methods to measure safety effectiveness in the field is known as safety sampling. Safety sampling is based on the principle of random sampling inspections to determine quality of output without making 100 percent inspections. Like all accountability systems, safety sampling is also a good motivational tool, as each person wants to be sure they are operating as safely as possible when the sample is taken.

Safety sampling works by first preparing a code of unsafe and safe practices and conditions that may be observed in the activity to be audited. The sample

is then taken by checking each of the listed practices or conditions as they display themselves in the course of inspection. In this way the number of safe practices and conditions observed can be compared with the number of unsafe practices and conditions. Qualitative notes are made as this is carried out for feedback to the people who were observed at a later time.

Quoting

To implement a comprehensive safety audit need not be time consuming and expensive. OSI is open to negotiating with each client, individual needs to suit budget constraints and ensure best value for investment.
Detailed below are estimates of costs for review and audit processes.

Desk top Audit of Stage One (Self Assessment):
For a small organisation (up to 5 staff): $500.00 plus GST
For a large organisation (up to 15 staff): $1,000.00 plus GST

Desk top Audit of Stage Two :
For a small organisation : $750.00 plus GST
For a large organisation : $1,500.00 plus GST

The inclusion of a site visit will cost $450.00 plus GST per day on site plus payment of one days preparation.
Stage Three Audit:
For a small organisation: $2,500.00 plus GST
For a large organisation (up to 15 staff):from $5,000.00 plus GST
All Stage Three Audits require a site visit.

These costs are estimates only and each case is open to negotiable terms and conditions.

All enquiries should be made to:

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GUIDELINES TO BEST PRACTICE

Safety Management for Adventure Recreation Providers

P. O. Box 11-231, WELLINGTON,
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Foreword

The safety and health of participants, staff and spectators at adventure and risk recreation activities is of prime importance to all those who are involved in the adventure industry.

Guidelines to Best Practice - has been developed to ensure people's safety always remains paramount.

The aim is to ensure that each person who may become involved in an outdoor event or activity will be assured of a high level of safety management and practice regardless of which organisation delivers the programme.

The challenge to achieve this aim has been to create a workable system whereby the wide variety of organisations will all achieve excellence in safety and health management. This ranges from those with significant staffing and operating budgets, to those who rely on volunteer assistance and limited financial resources.

We believe we have achieved this by creating a resource that addresses the minimum requirements of legislation and contemporary practice backed up by the expertise to make sure we have consistency across the industry.

Over the last 5 years, the Outdoor Safety Institute has developed an enviable credibility for providing sound advice on safety at a national level. We are confident that this resource and your organisation's commitment to its aims and objectives will see this reputation not only maintained, but enhanced for all of those involved in providing exciting and fulfilling adventure experiences for New Zealanders.

Chris Knol

Managing Director
Outdoor Safety Institute Ltd

The Outdoor Safety Institute

Outdoor Safety Institute staff (OSI) have accumulated over thirty years of experience in every aspect of administering and operating outdoor adventure and risk recreation experiences.

Our experiences in New Zealand and overseas has given us some very clear messages on quality and safety. The first message is that both quality and safety are inherent to the modern management of risk recreation and adventure activities. The second is that an objective viewpoint from a safety management professional is essential to gain qualitative information to reflect on. The third is that sound management is built on information. Defining the starting points and benchmarks is absolutely crucial to improving the quality of the experience and safety management of your programmes.

OSI is committed to delivering the systems, information and resources to help you to do it better.

Since the creation of OSI in 1992 we achieved an outstanding track record as providers and consultants in safety management not matched by any other risk recreation safety management provider.

To date the work undertaken by Outdoor Safety Institute has included the following:

- Safety reviews of over 30 organisations in New Zealand and Australia.
- Safety Audits of all the major outdoor education providers in New Zealand including Outward Bound, The Sir Edmund Hillary Outdoor Pursuits Centre and the New Zealand Conservation Corps.
- Audit and analysis of some of New Zealands largest outdoor disasters.

Published the following resources:

- Code of Practice for EOTC for the Ministry of Education
- Directors manual on Risk Management Training for the Hillary Commission and the NZ Mountain Safety Council.
- Code of Practice for Association of NZ Polytechs
- Code of Practice for Working at Heights for BP Oil
- Guidelines to Best Practice for Conservation Corps and Youth Service Projects

Under taken Risk Management training for the following organisations:

- Occupational Safety and Health
- Teacher Support Services
- New Zealand Water Safety Council
- Outward Bound
- Sir Edmund Hillary Outdoor Pursuits Centre
- Police SAR and OAS
- The Hillary Commission
- Surf Life Saving New Zealand
- Department of Conservation
- Ministry of Youth Affairs
- SFRITO
- NZ Recreation Association
- Ministry of Education
- NZ Fire Service
- Ministry of Education

Our Aim

This resource and the ongoing safety management processes it encourages, aim to enhance the quality of adventure recreation activities for all

New Zealanders

Contents

Introduction

Welcome to Guidelines to Best Practice - Safety Management for Adventure Recreation Providers

Some of the most important obligations faced by the providers of adventure activities and events are those under the Health & Safety in Employment Act 1992 (HSE) which governs contract roles and responsibilities.

These roles are those of the providing organisation being the Principal, and the the role of Contractors. We have responsibilities as Principal to take all practicable steps to ensure our organisation is operating safely. Equally, we have a number of responsibilities when we act as contractors to undertake the project in accordance with legislative and industry-related safety practices.

This includes taking responsibility for important issues and actions such as having hazard identification and management procedures, the right equipment, qualified staff, contingency planning, knowing the capability of those we are providing for, knowing relevant regulations and guidelines for all our activities.

Guidelines to Best Practice has been developed to help you fulfil your responsibilities, while also producing a resource to promote and moderate best practice for all those involved in the provision of risk activities whether it be outdoor recreation, adventure tourism or challenge events. Further to this, we believe it is important to ensure safety practices are managed in a manner which will promote minimum 'bottom line' levels of operating guidelines for all organisations active in our industry.

OSI has a clear understanding of the obligations placed on New Zealand organisations under current legislation. Guidelines to Best Practice will give you an indication of how well you measure against minimum industry standards. Use of this resource does not detract from, minimise, or remove any obligations that you currently have to comply with legislation, particularly HSE, or other obligations you currently have such as duty of care and the need to undertake activities within recognised industry practices.

Guidelines to Best Practice does not provide anything new in terms of managing safety and health. Those organisations already operating in full compliance with their legislative and industry guided responsibilities should find this resource easily manageable, and in many instances it will aid the continued improvement in safety and health management.

In some instances, organisations will have to do more and instigate new processes to manage their safety and health in line with these guidelines. For those who have to do more, the responsibility is yours.

Guidelines to Best Practice has been developed to meet our aim of ensuring safe practices and quality provision in risk activities. We hope you find it a positive resource, and a tool to help you provide excellent safety management.

Instructions

Guidelines to Best Practice - Safety Management for Adventure Recreation Providers determines a minimum level of safety management for organisations for all safety practices.

Guidelines to Best Practice consists of a programme based upon three stages of compliance.

Organisations progress through each stage in a pathway approach. Compliance to Stage One allows the organisation to progress to Stage Two and so on. The aim of this approach is to create a process whereby progressive and seamless programme development, implementation, review, and a commitment to continued improvement and moderation combines to achieve our aim of obtaining excellence in safety and health management.

Stage One: Initial safety report, by means of a measurement of the organisation's processes through a Self-assessment Checklist.

Stage Two: Recognised compliance, by a desk top audit and submission of supporting documentation, of procedures and standards measured against those prescribed in Guidelines to Best Practice.

Stage Three: Audit carried out by contracted agents from time to time, to moderate compliance.

Starting down the path to compliance with Guidelines to Best Practice requires a commitment from organisations to involve themselves in achieving compliance with each stage.

Stage One

Key Message

Stage One involves the organisation undertaking a safety self-assessment. This involves conducting a study of its own operations utilising the Self-Assessment Checklist contained in this section.

Process

There are three steps to the safety self-assessment process.

1. The organisation collects, reviews, and records all material relative to the administration of safety in the recreation, education and work based aspects of its adventurous or risk activities.

2. The organisation ensures that the key policies, procedures and actions relating to Guidelines to Best Practice Stage One compliance (Self-Assessment Checklist) are documented and in use.

3. The organisation forwards the completed Self-Assessment Checklist (with comments) from Guidelines to Best Practice, to OSI for review.

It must be recognised by the organisation that the standards asked for in Stage Two of Guidelines to Best Practice is the goal to be strived for and this initial Self-assessment phase is a starting position only - a 'snapshot'. It serves to provide a level and consistent starting point for working towards achieving Stage Two compliance.

The Self-Assessment Checklist will be an initial indicator. The importance of this report should not be minimised. The Self-Assessment Checklist summarises the key issues of safety management featured in Stage Two and promotes the need to have these 'bottom line' systems in place before **beginning** any risk recreation or adventurous activities.

The self-assessment process provides the opportunity to measure and assess the safety systems of the organisation against generally accepted common practices in the outdoor and community recreation industry.

Organisations are responsible for assessing their own level of practice in the Self-Assessment Checklist through a ranked scale from 1-5, with each category's criteria detailed.

Comments are also required if the standard differs or does not apply to that organisation, or detailing any other relevant points. Any standards not met should be accompanied by documentation detailing the measures that you intend to put in place to reach the required standard (verifying the quality and accuracy of information).

Once submitted, OSI will review the Self-Assessment Checklist and any accompanying notes and provide feedback to the organisation on its level of compliance.

If there are deficiencies regarding the compliance with the check list standards, OSI will advise the organisation that shortfalls exist and where the systems required may be accessed.

Organisations should then bring their safety standards to the required level.

Having achieved and been approved at Stage One, the organisation should determine a timeline for full implementation and assessment of Stage Two.

GUIDELINES TO BEST PRACTICE

STAGE ONE - SELF-ASSESSMENT

Organisation _____

Name _____

Designation _____ Date / /

1. OPERATIONAL

Circle appropriate number

1.1 Does your organisation have written health and safety policies and guidelines?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Outlines clear responsibilities, widely distributed and understood by all staff.

1.2 Does your organisation have a comprehensive written safety management plan and for all activities and/or programmes?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Defines clear responsibilities, uses RAMS based systems, is up to date, widely distributed, and used by all staff.

1.3 Are the safety management plans of your organisation reviewed and revised regularly?

Never Updated 1 ... 2 ... 3 ... 4 ... 5 Always Updated

Criteria: Regular updates would be made at least on an annual basis.

1.4 Are all staff familiar with relevant safety management manuals and policies?

Wouldn't know 1 ... 2 ... 3 ... 4 ... 5 Very Familiar

Criteria: Regular scheduled and random checks to ensure all staff operate inside policy.

Comments:

2. Management and Communication

Circle appropriate number

2.1 Are health and safety goals set and communicated to staff by management?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Based on analysis of strengths and weaknesses of current programme, goals are action-oriented with established time frames.

2.2 Is there an active safety group within the organisation involved in regular safety monitoring meetings?

None 1 ... 2 ... 3 ... 4 ... 5 Regular Meetings

Criteria: Regular meetings to consider all aspects of safety, compliance and issues

2.3 Are safety responsibilities assigned and fully defined in every employee's job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Safety responsibilities built into job descriptions. Staff at all levels understand their responsibilities, and performance is assessed and reviewed.

2.4 Is there a functioning system in place for staff to provide regular feedback to management about safety concerns?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Staff should be involved in regular meetings where concerns of health and safety can be raised.

2.5 Is there a procedure for reporting of hazards?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Standard hazard measurement tools, training to staff on what is a hazard or risk, safety group with the task of assessing priority of risks and hazards.

Comments:

3. Staff

Circle appropriate number

3.1 Is there a staff selection procedure for assessing levels of technical skill, expertise, experience, and judgement of potential and new staff?

None 1 ... 2 ... 3 ... 4 ... 5 Full Procedure

Criteria: Skills and qualifications should reflect current industry standards and practices.

3.2 Does the organisation check a job applicant's overall suitability for the position?

None 1 ... 2 ... 3 ... 4 ... Full Procedure

Criteria: Qualifications, work history, accident history, general level of responsibility, ability as an educator, medical and physical condition, criminal record etc are sourced.

3.3 Are procedures in place to ensure staff undertake a safety induction and orientation programme for the organisation, and for activities?

None 1 ... 2 ... 3 ... 4 ... 5 Full induction

Criteria: Staff fully understand the safety protocols of the organisation and the policy they must work within before being allowed to work with participants.

3.4 Has a list of employee's skills (meeting required minimum standards) been prepared in order to identify appropriate training needs, and to ensure employees are capable of carrying out their written job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Tasks are analysed to ascertain the necessary knowledge, experience and competence required.

3.5 Are processes in place to evaluate staff performance and appraise professional development needs?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Regular safety performance appraisals and documented ongoing systems for the safety assessment of staff performance.

Comments:

4. Participants

Circle appropriate number

4.1 Are all participants screened to assess their health before and during the project?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes obtaining a medical clearance if any doubt is present about a member's ability to undertake any project activities.

4.2 Is a health and participation form signed by the participants ? (or by parent or guardian if the participant is under 18 years)

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All members under 18 years should have signed approval from a parent or guardian. All participants should sign a contract of involvement and health participation form.

4.3 Does pre-project material adequately describe the risks and hazards associated with programme activities to potential participants ?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Disclosing that there is risk involved in activities and that this is a shared responsibility of both the organisation and the participant is an important aspect of risk disclosure.

4.4 Does pre-course material adequately explain the clothing and equipment required to undertake course activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All participantsmust have adequate protective clothing and equipment for programme activities.

4.5 Is an assessment made of the participant's capability to participate in all adventurous activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability to swim, fitness levels, phobias, etc are regularly assessed.

Comments:

5. Programming

Circle appropriate number

5.1 Are all risks and hazards associated with running programmes identified in a systematic manner and acted on?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Processes of elimination, isolation and minimisation employed, all staff involved, comprehensive identification systems are included for all areas of processes, tasks, staff, equipment, resources and environment.

5.2 Does the management of these risks and hazards identify all fluctuating/ variable factors?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability of participants, weather, terrain, time of day or year, remote location etc.

5.3 Do the staff to participant ratios reflect skills, experience and knowledge of the staff and the clients as well as the nature of risk in the activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Programmes must be run with a match of skills and abilities of both members and staff to the potential risks.

5.4 Do participants have a choice about undertaking challenges/risks in the activites?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes understanding 'challenge by choice' principles in activities, and this is communicated to participants.

5.5 Do activities progressively and sequentially prepare participants for increasing levels of risk activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ensure programmes/activities are based on sound experiential principles and approaches to risk.

5.6 Are planned assessments of the safety management systems, people, activities, programmes, and equipment carried out regularly?

- systems

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- people

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- activities

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- programmes

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- equipment

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: At least once a year.

Comments:

6. Equipment

Circle appropriate number

6.1 Is there a policy detailing specifications for equipment use, purchase and maintenance?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Policy sets in place specifications for equipment standards and maintenance.

6.2 Is all equipment used in line with its purpose, stored safely, serviced, registers kept of use, and retirement polices for equipment maintained?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Clear procedures for use and control.

6.3 Are all vehicles and facilities well maintained and comply with legislation?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Comply with all current legislation.

Comments:

7. Contracting

Circle appropriate number

7.1 Are measures in place to determine the health and safety performance of contractors?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Performance requirements written into contracts, criteria for selection of the contractors included past performance, contractors submit a plan on how they will manage risks and hazards.

7.2 Does your contract with outside providers detail all necessary reference to legislation, and organisational rules?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Full detail on all operating requirements.

7.3 Does your organisation monitor the performance of contractors?

No control 1 ... 2 ... 3 ... 4 ... 5 Full Monitoring

Criteria: Scheduled and random written and site monitoring.

Comments:

8. Accident and Emergency

Circle appropriate number

Planning for an Accident or Emergency Situation

8.1 Does your organisation have a comprehensive emergency plan?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: In writing, all likely/foreseeable emergency conditions identified, participantsand staff fully informed.

8.2 Does the plan clearly identify responsibilities and procedures to follow?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: An emergency coordinator has been appointed, all staff and members know procedures.

8.3 Are suitable and adequate rescue resources always available to cope with assistance in an emergency?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: Equipment and resources (equipment and human) are always available.

Accident & Emergency Monitoring and Reporting

8.4 Is there an accident/incident investigation procedure?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Employees have had the opportunity to contribute ideas and suggestions on possible accident and emergencies, procedures for dealing with them.

8.5 Is there a standard and comprehensive form for accident and incident investigation?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: The form must include full information on age, disabilities, medical data, next of kin, emergency contacts, doctor, etc.

8.6 Is a register/database of accidents and incidents maintained?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Register contains the information prescribed by OSH as a minimum, incidents that harmed or might have harmed staff or any other person, as well as serious harm are recorded.

8.7 Are all accidents and incidents investigated to determine whether they arose from or were caused by a significant risk or hazard?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All accidents and incidents are investigated. Significant risks or hazards identified, review is made to determine if controls are in place and if existing controls are adequate, corrective action is undertaken.

8.8 Is a periodic review made of the accident and incident register and reports to identify accident and injury trends?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Information is made available to managers and employees and tabled at management and/or team meetings.

Comments:

Stage Two

Key Message

Stage Two is the level of compliance to be strived for. Compliance is by a desk top audit of procedures and standards asked for in the Guidelines to Best Practice. Stage Two introduces more comprehensive 'yardsticks' expanding on the assessments made under Stage One.

Process

There are three steps to the process.

1. For the organisation to collect, review, and record all material relevant to the administration of safety within the organisation.

2. To ensure that the key policies, procedures and actions relating to Guidelines to Best Practice Stage Two compliance are documented and in use.

3. Provide a comprehensive report with supporting documentation which demonstrate compliance with Stage Two of Guidelines to Best Practice.

After achieving Stage One compliance through OSI, organisations should begin the processes to implement the standards of Stage Two. Organisations should commit at the outset to a time-frame for completion of this stage. The feed-back from OSI after Stage One will give you a clear indicator of exactly where your organisation is, in terms of safety management processes.

Utilising this resource, Guidelines to Best Practice, and the following questions covered in the section, organisations are required to ensure they have implemented systems that ensure the questions - the key indicators - asked for in Guidelines to Best Practice can be endorsed.

Documented policies, guidelines, and actions of the organisation's safety management must be supplied in writing. The documentation must be complete and give adequate information to substantiate that the standards asked for in the Guidelines to Best Practice Stage Two have been achieved.

The length of the safety management document will vary with the scope and size of the organisation's operation. The supplementary materials will vary from organisation to organisation. However, they must include comprehensive detail on these eight key areas:

- operational
- management and communication
- staff
- members
- programming
- equipment
- contracting
- accident and emergency.

OSI will again review your systems when you have completed them and give you an objective assessment of how well they comply with both legislative and industry standards. The OSI report will be a comprehensive review of systems currently in place and may include, if the Organisation wishes, a site visit to verify systems and procesess.

If there are deficiencies regarding the compliance with the Stage Two standards, OSI will advise the organisation that shortfalls exist. The Organisation must bring it systems to the required level.

Operational

Key Message

Organisations need to have clearly documented, active, and regularly reviewed operational manuals, policies, procedures, guidelines or protocols under which they will operate. These may be developed from a variety of sources such as industry regulations, standards bodies guidelines or legislation.

Your organisation's operational manuals, policies, procedures, guidelines or protocols should document the *rules* of your organisation. They should state the bottom line in overall safety practice which will never be compromised.

Operational manuals, policies, procedures, guidelines or protocols should be the accumulated knowledge gained by staff and management to their local conditions, operating environment, equipment, internal and external direction, and personnel.

If you have good resources new staff should quickly learn what to do, or watch out for, in terms of the safety management of the organisation through using the documented operational manuals, policies, procedures, guidelines or protocols. Existing staff faced with situations that compromise safety should always be able to refer to these resources to steer their decision making and protect the participants, staff, your organisation, and the public.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does your organisation have written safety operational manuals, policies, procedures, guidelines or protocols?
   - Are they regularly reviewed and revised documents?
   - Are they practical and easy to use?
   - Do the documents cover all safety related programme activities?
   - Do the documents detail clearly staff and management responsibilities?
   - Are the staff familiar with the relevant documents they must work to?
2. Do these written operational manuals, policies, procedures, guidelines or protocols include the following:
   - rules and policies that all staff members must comply with?
   - operating suggestions for local conditions based on other feedback from staff?
   - emergency preparedness plans?
   - supervisor safety training policies?
   - personal equipment procedures?
   - policies regarding standards of staffing or equipment when hiring or purchasing.
3. Do these written operational manuals, policies, procedures, guidelines or protocols include accident and incident investigation procedures to determine:
   - root causes?
   - processes that will reduce the likelihood of accident or incidents recurring is reduced through review of the necessary operational manuals, policies, procedures, guidelines or protocols?

4. Are all the operational manuals, policies, procedures, guidelines or protocols within your organisation clearly written and valid for your local operating conditions?
5. Are the responsibilities your organisation requires of staff toward operational manuals, policies, procedures, guidelines or protocols and rules clearly stated?
6. Is there a formal process in place for staff to question operational manuals, policies, procedures, guidelines and/or protocols or suggest alterations or additions?
7. Are staff encouraged to submit information to improve operational manuals, policies, procedures, guidelines or protocols?
8. Are there ramifications for staff working outside of operational manuals, policies, procedures, guidelines or protocols?
9. Are there specific policies on the following:
   - drug and alcohol use?
   - member code of conduct?
   - sexual harassment?
   - safety and health orientation and induction programme?
10. Does your organisation develop operational manuals, policies, procedures, guidelines or protocols and rules by the following methods:
    - analysis of accidents and near misses?
    - industry prescribed standards?
    - formal hazard identification processes?
    - relevant legislation?

Management and Communication

Key Message

All levels of the Organisation have responsibilities for safety and health management. This shared responsibility needs to be effectively communicated through the levels of management in organisations including trustees, directors, managers, staff, contractors and participants.

Clear communication and understanding of safety needs directly affect safety management within an organisation. Organisations with poor communication or interpretation of safety practices will compromise safety processes.

The management of safety and health should ideally be led by a group of staff which has input from all levels in the organisation. Within small organisations it may well be the responsibility of a single person to monitor safety performance. However even a single person should find a small group of supporters to share ideas and assist them in monitoring safety.

In larger organisations with more resources, a dedicated organisation-wide safety officer may have responsibility for co-ordinating safety and health management of the project.

The safety management group should be monitoring compliance with their manuals, policies, procedures, guidelines, and protocols. The safety management group should also be monitoring any changes occurring within the safety programme, including activities, and environment.

How management implements safety and communicates with staff is also critical to the management of safety within the organisation. Staff and members should be actively involved in monitoring safety performance. Through participation staff and members become active in workplace safety, increasing self awareness and self direction in maintaining high levels of safety management.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the organisation have stated safety goals and objectives that convey a positive quality-oriented message?

2. Does the organisation have a system that enables all staff to be made aware of programme objectives and stated safety goals?

3. Is there an active safety group within the organisation involved in safety monitoring?

4. Does the safety group report to the rest of senior management/trustees/directors on a regular basis?

5. Is there a representative from the operational level on the safety group?

6. Do all members of staff have formal lines of communication to voice thoughts on safety to the safety group?

7. Are the accountabilities, processes and meetings of this safety monitoring documented?
   They should include setting safety goals for all staff, participants, environments and property under the organisation's responsibility. In addition, reviewing accident/incident reports, the safety of new programmes, any changes to existing programmes, and review of existing programmes.

8. Is there a person within the organisation tasked with co-ordination of the day-to-day aspects of safety management?

9. Does each member of staff have a written job description with clearly stated safety responsibilities detailing all organisational and legislated requirements?

10. Are all job descriptions current, accurate and understood?

11. Are these job descriptions regularly reviewed every time a new staff member starts or a position changes?
12. Is member 'contact' time managed to allow satisfactory focus on health and safety issues?

13. Are there systems in place to assess staff health over prolonged programme contact periods?

14. Is there a management review process to authorise all new safety aspects of project activities?

15. Does the organisation know, keep, and review all relevant legislation and guidelines it must operate within?

Staff

Key Message

Staffing plays one of the most important roles in an effective safety management programme. Recruitment, training, and retention of key staff, particularly direct supervising staff, should be a significant focus in developing effective management systems for aan Organisation.

Recruiting, training and maintaining key personnel is a key part in ensuring effective safety management.

Through the accumulation of knowledge of the local environment, sponsor organisation, member needs and capabilities, and equipment available, staff become more competent in managing safety and health issues.

In addition, gaining and updating professional qualifications is an important aspect of maintaining contemporary skills in the professional field.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are clear and appropriate safety and health standards in place for hiring staff? And do they reflect industry guidelines?

2. Is there an adequate selection process for assessing levels of technical skill, expertise, experience and judgement of potential staff in respect of safety and health?

3. Is each applicant's skill level, experience and qualifications considered against this list of requirements?

4. Does the organisation use application forms, referees, interviews, skill tests, and/or probation periods to determine the *competency-based* suitability of the applicants?

5. Does the organisation check the applicant's accident history, general level of responsibility, ability as an educator, medical and physical condition, and criminal record in terms of *general* suitability for the position?

6. Is the induction, training, and orientation plan for new staff adequate and appropriate?

7. Are staff allowed to work without taking part in a safety and health induction and orientation?

8. Are regular performance reviews in respect of safety and health carried out between individual staff and their supervisors?

9. Are processes in place appraise professional development needs?

10. Are systems in place to record and track all staff training (first aid certification, training, workshops, field experience) both on-job and recreational, etc?

11. Does the organisation supply staff with documents that clearly outline the safety related conditions of employment?

12. Are staff systematically observed and given quality feedback on their safety performance?

Participants

Key Message

Participants have a critical role to play in safety and health management. It is very important to understand the needs, capabilities and limitations of each participant on every activity or programme the Organisation runs.

In order to provide the standard of care required for participants, it is necessary to have relevant information about them, as well as identify any risks that participants may bring to a programme, event or activity. The sponsor organisation should check that adequate information about all people involved in the risk activities you run is obtained and available to those who need it.

Participants involved in risk recreation based activities must be physically capable relative to the conditions likely to be encountered. It is very important to know issues such as any medical conditions which may cause a hazard to themselves or possibly others ie allergies, asthma, epilepsy etc.

Other individual factors may also compromise safety members, or others, and should similarly be sourced to the sponsor organisation at the planning stage. This may include issues such as:

- inability to read or understand English
- physical or mental disability
- insufficient skill to perform required tasks.

Organisations should never proceed with activities beyond the capability of their participants. They should always be aware that personal capability may change during the course of activities. Specific notice of a participant's personal capabilities being distorted due to peer pressure, pride, age, capability, etc should be considered.

Key Indicators

Important

These *key indicators* are those determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are all participants screened to assess their health before and during the programme or activity?
2. Does this screening include gathering the following information:
   - emergency contact address and phone
   - age
   - gender
   - general practitioner
   - allergies
   - medical history
   - use of medications
   - general physical condition
   - dietary requirements
   - ability in water.
3. Is the information readily available to those that need it during the running of activities and in emergencies?
4. Does pre-event/activity/programme material supplied by the organisation adequately describe risks and hazards?
5. Does pre-activity material clearly explain requirements for personal clothing and equipment neccessary to be safe during the activity /programme?
6. Does pre-activity material adequately explain the physical conditioning required to undertake project activities?
7. Are medical clearances sought from participants who have significant medical or other conditions that could prohibit involvement?

Programming

Key Message

Every organisation will have programme content reflecting the aims and objectives of the Organisation. While each event/activity/programme is different from the next, key principles of safety management apply across the board.

Each programme or activity may run in differing environments, and within different communities.

The risks of each risk recreation activity will be situationally specific to these factors, and identified risks associated with each event/activity/programme will reflect these differing requirements.

Regardless of these variances, key safety and health management issues relate to every event/activity/programme.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the activity/programme utilise staff who are qualified, capable, and competent for the activities and participants they will be involved with?
2. Are staff familiar with the areas where activities will be run?
3. Have all foreseeable risks and hazards been identified and documented for the project activities?
4. Do these risks identify people, equipment/resources and environmental risks and hazards?
5. Does the management of these risks identify all fluctuating/variable factors, such as ability of participants, weather, terrain, time of day, season, location etc?
6. Does the management of these risks disclose if they are obvious or hidden?
7. Have these risk and hazards been prioritised in order of danger and hierachy of management?
8. Are these risks acted upon by utilising the principles of elimination, isolation or minimisation?
9. Has an assessment been made of the potential and gravity of foreseeable injury should an incident/accident occur?
10. Are safety policies and recommended programme procedures documented for all programme activities?
11. Do these safety policies and recommended programme procedures comply with current industry standards?
12. Are all staff familiar with policies and procedures of specific activities?
13. Is management notified of all activities being conducted in the field?
14. Do staff to member ratios reflect skills, experience, and knowledge of the staff and the clients and the nature of risk of the activity?
15. Are staff skills, experience and knowledge appropriate for the activity?

16. Are participants appropriately briefed and progressively readied for event/ programme activity?
17. Do participants have a choice about their level of participation in the programme activity and are awre of the options for withdrawing?
18. Can staff present a rationale for conducting the activity under the present safety conditions?
19. Are staff skills, knowledge, and experience sufficiently above that of the participants to effectively run the event/activity and respond to emergencies?

Equipment

Key Message

The quality of equipment available to both staff and participants will directly affect the quality of the experience and the safety of the event, activity.

Recreation gear, tools, clothing, footwear, facilities, and vehicles that are fit for the purpose should be a pre-requisite for all activities.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are the staff in your organisation informed of the equipment they must have in order to carry out their work?
2. Is the quality of the equipment monitored to ensure it meets legislative and industry standards?
3. Does your organisation have inventories for all equipment resources that the organisation owns?
4. Does the organisation carry insurance to cover replacement of equipment assets?
5. Does the organisation contribute to the replacement and maintenance of this equipment?
6. Are participants informed of the equipment they need to supply themselves in order to have a safe project?
7. Does your organisation ensure the quality of the equipment is checked before the members are allowed to participate on the project?
8. Does the organisation have provision to loan or hire to members who can't supply their own equipment?
9. Is a systematic process in place to record the usage of equipment?
10. Does this process include a retirement policy after certain hours of use, or damage?
11. Is all equipment stored in an appropriate place and manner?
12. Are the vehicles used in the programme appropriate for the activities for which they will be used?
13. Do vehicles comply with all relevant legislation?
14. Are First Aid kits available in all vehicles?
15. Is written vehicle safety and maintenance information available in vehicles for staff drivers?
16. Is there a clear policy on who is and isn't allowed to drive vehicles?

Contracting

Key Message

Contracting external providers of services or equipment is an area that exposes organisations to risks often seen as beyond their control. Significant obligations do, however, still remain with you to ensure safe practice during the contract.

It is essential to identify all of the risks and hazards of bringing outside agencies, or the hiring of equipment into the organisation . It is just as important to ensure that the risks your organisation will expose the contractor to are communicated to them before they begin work.

Understanding your responsibilities when engaging contractors is a key requirement if you choose to employ outside providers.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Do you gather information on the person/organisation you intend contracting before they are engaged to do work? Does it include:
   - contractor's safety rules?
   - confirmation of an appropriate safety record?
   - reference's from other organisations?
2. Does your contract with the person/organisation include specific reference to:
   - laws and regulations?
   - your organisational rules?
   - restricted areas?
   - the standard of training and experience required by the contractor for the programme?
   - safety equipment to be used?
   - hazards of work and control measures for these?
   - reporting requirements for accidents?
   - any specific job instructions and procedures?
   - any applicable worksite permits?
   - consequences of breaching safety requirements?
   - emergency procedures?
3. Does 'on-the-job' control of the contractor and contract completion include checking the following:
   - safety induction programme for contractor's staff?
   - checking the contractor's compliance with safety related clauses within the contract as the work progresses?
   - conducting periodic safety audits?
   - receiving regular safety reports?
   - following up on accident and incident reports?
   - reviewing and evaluating performance?
   - conducting spot inspections?
   - taking prompt action for breaches of safety requirements?

Accident & Emergency

Key Message

An important part of any safety management plan is preparing for accidents and emergencies, before they happen.

The best way to deal with accidents and emergencies is to have prepared plans available that people can follow when required.

An emergency plan should cover the range of possible emergency or accidents that could be dealt within your event/activity/programme. It should provide a well thought out plan for each possible scenario, detail who will be available to carry out the plan, and how resources will be available.

Each of these plans should also detail who will be involved in the management of agencies from outside of the organisation who will want to become involved (media, Police, OSH).

Behind every accident there lie many contributing causes. A systematic approach that can be used to look for root causes of accidents is critical to the safety management processes of all organisations.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

Planning for Accident and Emergency Situations

1. Is there a written plan for emergency response that covers all areas of operation including organisational communication, during an emergency?
2. Does the emergency plan assign specific duties to specific staff with alternative staff named for situations when the assigned person is unavailable?
3. Are key phone numbers and contact procedures for significant personnel and essential emergency services listed and accessible?
4. Do staff have access to communication equipment at all times for accident and emergencies. ie, cell phones, VHF radios etc?
5. Does your emergency system ensure that procedures are updated regularly?
6. Does your organisation have a documented programme to control how information will be released to next of kin, the public, and the media in the event of an emergency?
7. Do your emergency plans allow for times when the office is closed but your staff and participants are still in the field?
8. Do you have training objectives for staff in emergency preparedness?
9. Does your organisation have a contingency plan in place for the loss of key personnel in an emergency situation?
10. Are there written plans for field emergencies covering missing Corps members?
11. Do staff communicate emergency processes to the participants prior to beginning activities and at the start of the event/activity/programme?
12. Are the staff trained for emergency response?
13. Are participants adequately informed and trained to cope with emergencies?

14. Are required rescue resources always available to cope with assistance at a field emergency?

15. Are other rescue and emergency agencies known to staff?

16. Do these agencies know of your activities?

17. Do all staff have First Aid training appropriate to the programme activity?

18. Are First-aid kits present in all activities and appropriate to the activity?

Accident and Emergency Monitoring and Reporting

19. Does the organisation have a formalised investigation procedure for fatalities, injuries, near misses, and illnesses. Do the investigations include recording of:

    - name, age, sex, address of staff and/or Corps members involved?
    - names and contacts of witnesses?
    - time, place, weather details?
    - description of incident?
    - summary of any treatment given?
    - summary of any equipment and property damage?
    - time lost from programme due to incident?

20. Are the investigations into fatalities, injuries, near misses and illnesses analysed each year for significant trends?

21. Does your organisation have a procedure to ensure that remedial actions and follow-up of any investigations are carried out?

22. Is the safety group required to review the investigation and implemented changes before the investigation is considered closed?

23. Is the organisation a member of a group that shares the statistics, report forms and lessons learned from such accidents and incidents?

24. Are all accident/incident reports easily accessible to all members of staff?

25. Is the organisation's accident/incident rate acceptable in relation to normal industry guidelines?

Review Process

Key Message

A safety management programme is of limited value without consistent monitoring and review. It must involve a review process whereby organisations provide information to an external agency/contractor to measure compliance with Guidelines to Best Practice.

Process

Review of the Stage Two process involves the ongoing maintenance and moderation of compliance to the standards set out in this resource. This ongoing maintenance and moderation is critical to ensuring that your organisation is working to industry standards.

OSI provides a Stage Two Review programme to ensure that your organisation is reaching minimum industry bench marks.

The review involves a desk top audit (paper-based) of the systems the organisation uses for the running of its activities. Organisations are required to send all their documentation to OSI who will review and critique it. OSI will then send your organisation a review document that details those areas where compliance has been met and those areas that require improvements to reach minimum industry standards.

If the organisation feels it is required, the review may involve a site visit. The purpose of the site visit review is information gathering so that a clear and better picture of the degree to which the organisation meets the standards set out in Stage Two is achieved.

It is important to note that the most any review process can assess is a snapshot of how the organisation being assessed was working during the time the reviewer saw it in action.

It is the responsibility of the reviewer to visit activity sites, interview staff and members, observe the project in operation, and verify that the documented safety systems detailed in your approved Stage Two report document place, and are being utilised.

The OSI reviewer will then write a summary report of their findings commenting on the organisation's safety standards only.

It is worth organisations noting that those that have achieved compliance of Stage Two through OSI have met the industry standards acceptable for accreditation by SFRITO and will not require an industry visit as part of their accreditation process.

Stage Three

Key Message

Audit plays an important role in moderating safety performance in line with the Guidelines to Best Practice. It allows independent scrutiny of safety programmes and also provides the necessary checks and balances to promote consistency across the risk recreation industry.

Process

From time to time (OSI recommends at least once every three years) the Organisation will organise an independent safety management contractor to measure compliance of the organisation against the Key Indicators detailed in Stage Two of the Guidelines to Best Practice.

Methodology for the OSI Audit

The OSI audit is based on a people and, therefore, a behavioral approach to safety, as opposed to the more traditional industry approach.

Safety effectiveness is a function of employee behavior which, in turn, is dependent on a number of factors and interactions. Past and current behavioral influences produce current motivation in employees. This motivation to perform, combined with ability, is filtered by the safety system and the environment to produce the final behavior. The audit is devised in such a way to test each of these component parts and their interactions.

The audit is conducted in three ways:

- PART 1: Behavioral influences
- PART 2: Safety system
- PART 3: Physical environment and interaction between all components.

To better understand the component parts and how they will interact on your organisation lets look at each of these aspects of the audit in turn.

PART ONE:

AUDIT OF THE BEHAVIOURAL INFLUENCE

(Method of auditing = staff attitudes survey)

The final safety effectiveness of an individual staff member depends on their behavior, and this in turn is determined by their motivation to perform and their ability to perform. We ask all staff members to complete a questionaire which gives us a clear indicator of current attitutes to safety.

PART TWO:

AUDIT OF THE SAFETY SYSTEM

(Method of auditing = checklist audit with weighting)

The safety system currently operating within your programme is audited in relation to contemporary standards. Three major principles are used as measures of contemporary practice:

- quality management
- systems safety
- multiple causation

This gives us the rationale for the main categories under which PartTwo of the audit is grouped:

1) Management Decision Processes
2) Work Flow Processes
3) Hazard Analysis Processes
4) Information and Monitoring Processes (including performance).

PART THREE:

AUDIT OF THE PHYSICAL ENVIRONMENT AND OTHER FACTORS.

(Method of auditing = safety sampling)

One of the newer methods to measure safety effectiveness in the field is known as safety sampling. Safety sampling is based on the principle of random sampling inspections to determine quality of output without making 100 percent inspections. Like all accountability systems, safety sampling is also a good motivational tool, as each person wants to be sure they are operating as safely as possible when the sample is taken.

Safety sampling works by first preparing a code of unsafe and safe practices and conditions that may be observed in the activity to be audited. The sample

is then taken by checking each of the listed practices or conditions as they display themselves in the course of inspection. In this way the number of safe practices and conditions observed can be compared with the number of unsafe practices and conditions. Qualitative notes are made as this is carried out for feedback to the people who were observed at a later time.

Quoting

To implement a comprehensive safety audit need not be time consuming and expensive. OSI is open to negotiating with each client, individual needs to suit budget constraints and ensure best value for investment.
Detailed below are estimates of costs for review and audit processes.

Desk top Audit of Stage One (Self Assessment):
For a small organisation (up to 5 staff): $500.00 plus GST
For a large organisation (up to 15 staff): $1,000.00 plus GST

Desk top Audit of Stage Two :
For a small organisation : $750.00 plus GST
For a large organisation : $1,500.00 plus GST

The inclusion of a site visit will cost $450.00 plus GST per day on site plus payment of one days preparation.
Stage Three Audit:
For a small organisation: $2,500.00 plus GST
For a large organisation (up to 15 staff):from $5,000.00 plus GST
All Stage Three Audits require a site visit.

These costs are estimates only and each case is open to negotiable terms and conditions.

All enquiries should be made to:

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Manners Mall,
Wellington
New Zealand

Wellington Trade Centre,
Level 10,
175 Victoria Street,
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GUIDELINES TO BEST PRACTICE

Safety Management for Adventure Recreation Providers

P. O. Box 11-231, WELLINGTON,
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Foreword

The safety and health of participants, staff and spectators at adventure and risk recreation activities is of prime importance to all those who are involved in the adventure industry.

Guidelines to Best Practice - has been developed to ensure people's safety always remains paramount.

The aim is to ensure that each person who may become involved in an outdoor event or activity will be assured of a high level of safety management and practice regardless of which organisation delivers the programme.

The challenge to achieve this aim has been to create a workable system whereby the wide variety of organisations will all achieve excellence in safety and health management. This ranges from those with significant staffing and operating budgets, to those who rely on volunteer assistance and limited financial resources.

We believe we have achieved this by creating a resource that addresses the minimum requirements of legislation and contemporary practice backed up by the expertise to make sure we have consistency across the industry.

Over the last 5 years, the Outdoor Safety Institute has developed an enviable credibility for providing sound advice on safety at a national level. We are confident that this resource and your organisation's commitment to its aims and objectives will see this reputation not only maintained, but enhanced for all of those involved in providing exciting and fulfilling adventure experiences for New Zealanders.

Chris Knol

Managing Director
Outdoor Safety Institute Ltd

The Outdoor Safety Institute

Outdoor Safety Institute staff (OSI) have accumulated over thirty years of experience in every aspect of administering and operating outdoor adventure and risk recreation experiences.

Our experiences in New Zealand and overseas has given us some very clear messages on quality and safety. The first message is that both quality and safety are inherent to the modern management of risk recreation and adventure activities. The second is that an objective viewpoint from a safety management professional is essential to gain qualitative information to reflect on. The third is that sound management is built on information. Defining the starting points and benchmarks is absolutely crucial to improving the quality of the experience and safety management of your programmes.

OSI is committed to delivering the systems, information and resources to help you to do it better.

Since the creation of OSI in 1992 we achieved an outstanding track record as providers and consultants in safety management not matched by any other risk recreation safety management provider.

To date the work undertaken by Outdoor Safety Institute has included the following:

- Safety reviews of over 30 organisations in New Zealand and Australia.
- Safety Audits of all the major outdoor education providers in New Zealand including Outward Bound, The Sir Edmund Hillary Outdoor Pursuits Centre and the New Zealand Conservation Corps.
- Audit and analysis of some of New Zealands largest outdoor disasters.

Published the following resources:

- Code of Practice for EOTC for the Ministry of Education
- Directors manual on Risk Management Training for the Hillary Commission and the NZ Mountain Safety Council.
- Code of Practice for Association of NZ Polytechs
- Code of Practice for Working at Heights for BP Oil
- Guidelines to Best Practice for Conservation Corps and Youth Service Projects

Under taken Risk Management training for the following organisations:

- Occupational Safety and Health
- Teacher Support Services
- New Zealand Water Safety Council
- Outward Bound
- Sir Edmund Hillary Outdoor Pursuits Centre
- Police SAR and OAS
- The Hillary Commission
- Surf Life Saving New Zealand
- Department of Conservation
- Ministry of Youth Affairs
- SFRITO
- NZ Recreation Association
- Ministry of Education
- NZ Fire Service
- Ministry of Education

Our Aim

This resource and the ongoing safety management processes it encourages, aim to enhance the quality of adventure recreation activities for all

New Zealanders

Contents

Introduction

Welcome to Guidelines to Best Practice - Safety Management for Adventure Recreation Providers

Some of the most important obligations faced by the providers of adventure activities and events are those under the Health & Safety in Employment Act 1992 (HSE) which governs contract roles and responsibilities.

These roles are those of the providing organisation being the Principal, and the the role of Contractors. We have responsibilities as Principal to take all practicable steps to ensure our organisation is operating safely. Equally, we have a number of responsibilities when we act as contractors to undertake the project in accordance with legislative and industry-related safety practices.

This includes taking responsibility for important issues and actions such as having hazard identification and management procedures, the right equipment, qualified staff, contingency planning, knowing the capability of those we are providing for, knowing relevant regulations and guidelines for all our activities.

Guidelines to Best Practice has been developed to help you fulfil your responsibilities, while also producing a resource to promote and moderate best practice for all those involved in the provision of risk activities whether it be outdoor recreation, adventure tourism or challenge events. Further to this, we believe it is important to ensure safety practices are managed in a manner which will promote minimum 'bottom line' levels of operating guidelines for all organisations active in our industry.

OSI has a clear understanding of the obligations placed on New Zealand organisations under current legislation. Guidelines to Best Practice will give you an indication of how well you measure against minimum industry standards. Use of this resource does not detract from, minimise, or remove any obligations that you currently have to comply with legislation, particularly HSE, or other obligations you currently have such as duty of care and the need to undertake activities within recognised industry practices.

Guidelines to Best Practice does not provide anything new in terms of managing safety and health. Those organisations already operating in full compliance with their legislative and industry guided responsibilities should find this resource easily manageable, and in many instances it will aid the continued improvement in safety and health management.

In some instances, organisations will have to do more and instigate new processes to manage their safety and health in line with these guidelines. For those who have to do more, the responsibility is yours.

Guidelines to Best Practice has been developed to meet our aim of ensuring safe practices and quality provision in risk activities. We hope you find it a positive resource, and a tool to help you provide excellent safety management.

Instructions

Guidelines to Best Practice - Safety Management for Adventure Recreation Providers determines a minimum level of safety management for organisations for all safety practices.

Guidelines to Best Practice consists of a programme based upon three stages of compliance.

Organisations progress through each stage in a pathway approach. Compliance to Stage One allows the organisation to progress to Stage Two and so on. The aim of this approach is to create a process whereby progressive and seamless programme development, implementation, review, and a commitment to continued improvement and moderation combines to achieve our aim of obtaining excellence in safety and health management.

Stage One: Initial safety report, by means of a measurement of the organisation's processes through a Self-assessment Checklist.

Stage Two: Recognised compliance, by a desk top audit and submission of supporting documentation, of procedures and standards measured against those prescribed in Guidelines to Best Practice.

Stage Three: Audit carried out by contracted agents from time to time, to moderate compliance.

Starting down the path to compliance with Guidelines to Best Practice requires a commitment from organisations to involve themselves in achieving compliance with each stage.

Stage One

Key Message

Stage One involves the organisation undertaking a safety self-assessment. This involves conducting a study of its own operations utilising the Self-Assessment Checklist contained in this section.

Process

There are three steps to the safety self-assessment process.

1. The organisation collects, reviews, and records all material relative to the administration of safety in the recreation, education and work based aspects of its adventurous or risk activities.

2. The organisation ensures that the key policies, procedures and actions relating to Guidelines to Best Practice Stage One compliance (Self-Assessment Checklist) are documented and in use.

3. The organisation forwards the completed Self-Assessment Checklist (with comments) from Guidelines to Best Practice, to OSI for review.

It must be recognised by the organisation that the standards asked for in Stage Two of Guidelines to Best Practice is the goal to be strived for and this initial Self-assessment phase is a starting position only - a 'snapshot'. It serves to provide a level and consistent starting point for working towards achieving Stage Two compliance.

The Self-Assessment Checklist will be an initial indicator. The importance of this report should not be minimised. The Self-Assessment Checklist summarises the key issues of safety management featured in Stage Two and promotes the need to have these 'bottom line' systems in place before **beginning** any risk recreation or adventurous activities.

The self-assessment process provides the opportunity to measure and assess the safety systems of the organisation against generally accepted common practices in the outdoor and community recreation industry.

Organisations are responsible for assessing their own level of practice in the Self-Assessment Checklist through a ranked scale from 1-5, with each category's criteria detailed.

Comments are also required if the standard differs or does not apply to that organisation, or detailing any other relevant points. Any standards not met should be accompanied by documentation detailing the measures that you intend to put in place to reach the required standard (verifying the quality and accuracy of information).

Once submitted, OSI will review the Self-Assessment Checklist and any accompanying notes and provide feedback to the organisation on its level of compliance.

If there are deficiencies regarding the compliance with the check list standards, OSI will advise the organisation that shortfalls exist and where the systems required may be accessed.

Organisations should then bring their safety standards to the required level.

Having achieved and been approved at Stage One, the organisation should determine a timeline for full implementation and assessment of Stage Two.

GUIDELINES TO BEST PRACTICE

STAGE ONE - SELF-ASSESSMENT

Organisation _____

Name _____

Designation _____ Date / /

1. OPERATIONAL

Circle appropriate number

1.1 Does your organisation have written health and safety policies and guidelines?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Outlines clear responsibilities, widely distributed and understood by all staff.

1.2 Does your organisation have a comprehensive written safety management plan and for all activities and/or programmes?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Defines clear responsibilities, uses RAMS based systems, is up to date, widely distributed, and used by all staff.

1.3 Are the safety management plans of your organisation reviewed and revised regularly?

Never Updated 1 ... 2 ... 3 ... 4 ... 5 Always Updated

Criteria: Regular updates would be made at least on an annual basis.

1.4 Are all staff familiar with relevant safety management manuals and policies?

Wouldn't know 1 ... 2 ... 3 ... 4 ... 5 Very Familiar

Criteria: Regular scheduled and random checks to ensure all staff operate inside policy.

Comments:

2. Management and Communication

Circle appropriate number

2.1 Are health and safety goals set and communicated to staff by management?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Based on analysis of strengths and weaknesses of current programme, goals are action-oriented with established time frames.

2.2 Is there an active safety group within the organisation involved in regular safety monitoring meetings?

None 1 ... 2 ... 3 ... 4 ... 5 Regular Meetings

Criteria: Regular meetings to consider all aspects of safety, compliance and issues

2.3 Are safety responsibilities assigned and fully defined in every employee's job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Safety responsibilities built into job descriptions. Staff at all levels understand their responsibilities, and performance is assessed and reviewed.

2.4 Is there a functioning system in place for staff to provide regular feedback to management about safety concerns?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Staff should be involved in regular meetings where concerns of health and safety can be raised.

2.5 Is there a procedure for reporting of hazards?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Standard hazard measurement tools, training to staff on what is a hazard or risk, safety group with the task of assessing priority of risks and hazards.

Comments:

3. Staff

Circle appropriate number

3.1 Is there a staff selection procedure for assessing levels of technical skill, expertise, experience, and judgement of potential and new staff?

None 1 ... 2 ... 3 ... 4 ... 5 Full Procedure

Criteria: Skills and qualifications should reflect current industry standards and practices.

3.2 Does the organisation check a job applicant's overall suitability for the position?

None 1 ... 2 ... 3 ... 4 ... Full Procedure

Criteria: Qualifications, work history, accident history, general level of responsibility, ability as an educator, medical and physical condition, criminal record etc are sourced.

3.3 Are procedures in place to ensure staff undertake a safety induction and orientation programme for the organisation, and for activities?

None 1 ... 2 ... 3 ... 4 ... 5 Full induction

Criteria: Staff fully understand the safety protocols of the organisation and the policy they must work within before being allowed to work with participants.

3.4 Has a list of employee's skills (meeting required minimum standards) been prepared in order to identify appropriate training needs, and to ensure employees are capable of carrying out their written job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Tasks are analysed to ascertain the necessary knowledge, experience and competence required.

3.5 Are processes in place to evaluate staff performance and appraise professional development needs?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Regular safety performance appraisals and documented ongoing systems for the safety assessment of staff performance.

Comments:

4. Participants

Circle appropriate number

4.1 Are all participants screened to assess their health before and during the project?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes obtaining a medical clearance if any doubt is present about a member's ability to undertake any project activities.

4.2 Is a health and participation form signed by the participants ? (or by parent or guardian if the participant is under 18 years)

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All members under 18 years should have signed approval from a parent or guardian. All participants should sign a contract of involvement and health participation form.

4.3 Does pre-project material adequately describe the risks and hazards associated with programme activities to potential participants ?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Disclosing that there is risk involved in activities and that this is a shared responsibility of both the organisation and the participant is an important aspect of risk disclosure.

4.4 Does pre-course material adequately explain the clothing and equipment required to undertake course activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All participantsmust have adequate protective clothing and equipment for programme activities.

4.5 Is an assessment made of the participant's capability to participate in all adventurous activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability to swim, fitness levels, phobias, etc are regularly assessed.

Comments:

5. Programming

Circle appropriate number

5.1 Are all risks and hazards associated with running programmes identified in a systematic manner and acted on?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Processes of elimination, isolation and minimisation employed, all staff involved, comprehensive identification systems are included for all areas of processes, tasks, staff, equipment, resources and environment.

5.2 Does the management of these risks and hazards identify all fluctuating/ variable factors?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability of participants, weather, terrain, time of day or year, remote location etc.

5.3 Do the staff to participant ratios reflect skills, experience and knowledge of the staff and the clients as well as the nature of risk in the activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Programmes must be run with a match of skills and abilities of both members and staff to the potential risks.

5.4 Do participants have a choice about undertaking challenges/risks in the activites?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes understanding 'challenge by choice' principles in activities, and this is communicated to participants.

5.5 Do activities progressively and sequentially prepare participants for increasing levels of risk activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ensure programmes/activities are based on sound experiential principles and approaches to risk.

5.6 Are planned assessments of the safety management systems, people, activities, programmes, and equipment carried out regularly?

- systems

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- people

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- activities

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- programmes

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- equipment

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: At least once a year.

Comments:

6. Equipment

Circle appropriate number

6.1 Is there a policy detailing specifications for equipment use, purchase and maintenance?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Policy sets in place specifications for equipment standards and maintenance.

6.2 Is all equipment used in line with its purpose, stored safely, serviced, registers kept of use, and retirement polices for equipment maintained?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Clear procedures for use and control.

6.3 Are all vehicles and facilities well maintained and comply with legislation?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Comply with all current legislation.

Comments:

7. Contracting

Circle appropriate number

7.1 Are measures in place to determine the health and safety performance of contractors?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Performance requirements written into contracts, criteria for selection of the contractors included past performance, contractors submit a plan on how they will manage risks and hazards.

7.2 Does your contract with outside providers detail all necessary reference to legislation, and organisational rules?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Full detail on all operating requirements.

7.3 Does your organisation monitor the performance of contractors?

No control 1 ... 2 ... 3 ... 4 ... 5 Full Monitoring

Criteria: Scheduled and random written and site monitoring.

Comments:

8. Accident and Emergency

Circle appropriate number

Planning for an Accident or Emergency Situation

8.1 Does your organisation have a comprehensive emergency plan?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: In writing, all likely/foreseeable emergency conditions identified, participantsand staff fully informed.

8.2 Does the plan clearly identify responsibilities and procedures to follow?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: An emergency coordinator has been appointed, all staff and members know procedures.

8.3 Are suitable and adequate rescue resources always available to cope with assistance in an emergency?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: Equipment and resources (equipment and human) are always available.

Accident & Emergency Monitoring and Reporting

8.4 Is there an accident/incident investigation procedure?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Employees have had the opportunity to contribute ideas and suggestions on possible accident and emergencies, procedures for dealing with them.

8.5 Is there a standard and comprehensive form for accident and incident investigation?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: The form must include full information on age, disabilities, medical data, next of kin, emergency contacts, doctor, etc.

8.6 Is a register/database of accidents and incidents maintained?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Register contains the information prescribed by OSH as a minimum, incidents that harmed or might have harmed staff or any other person, as well as serious harm are recorded.

8.7 Are all accidents and incidents investigated to determine whether they arose from or were caused by a significant risk or hazard?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All accidents and incidents are investigated. Significant risks or hazards identified, review is made to determine if controls are in place and if existing controls are adequate, corrective action is undertaken.

8.8 Is a periodic review made of the accident and incident register and reports to identify accident and injury trends?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Information is made available to managers and employees and tabled at management and/or team meetings.

Comments:

Stage Two

Key Message

Stage Two is the level of compliance to be strived for. Compliance is by a desk top audit of procedures and standards asked for in the Guidelines to Best Practice. Stage Two introduces more comprehensive 'yardsticks' expanding on the assessments made under Stage One.

Process

There are three steps to the process.

1. For the organisation to collect, review, and record all material relevant to the administration of safety within the organisation.

2. To ensure that the key policies, procedures and actions relating to Guidelines to Best Practice Stage Two compliance are documented and in use.

3. Provide a comprehensive report with supporting documentation which demonstrate compliance with Stage Two of Guidelines to Best Practice.

After achieving Stage One compliance through OSI, organisations should begin the processes to implement the standards of Stage Two. Organisations should commit at the outset to a time-frame for completion of this stage. The feed-back from OSI after Stage One will give you a clear indicator of exactly where your organisation is, in terms of safety management processes.

Utilising this resource, Guidelines to Best Practice, and the following questions covered in the section, organisations are required to ensure they have implemented systems that ensure the questions - the key indicators - asked for in Guidelines to Best Practice can be endorsed.

Documented policies, guidelines, and actions of the organisation's safety management must be supplied in writing. The documentation must be complete and give adequate information to substantiate that the standards asked for in the Guidelines to Best Practice Stage Two have been achieved.

The length of the safety management document will vary with the scope and size of the organisation's operation. The supplementary materials will vary from organisation to organisation. However, they must include comprehensive detail on these eight key areas:

- operational
- management and communication
- staff
- members
- programming
- equipment
- contracting
- accident and emergency.

OSI will again review your systems when you have completed them and give you an objective assessment of how well they comply with both legislative and industry standards. The OSI report will be a comprehensive review of systems currently in place and may include, if the Organisation wishes, a site visit to verify systems and procesess.

If there are deficiencies regarding the compliance with the Stage Two standards, OSI will advise the organisation that shortfalls exist. The Organisation must bring it systems to the required level.

Operational

Key Message

Organisations need to have clearly documented, active, and regularly reviewed operational manuals, policies, procedures, guidelines or protocols under which they will operate. These may be developed from a variety of sources such as industry regulations, standards bodies guidelines or legislation.

Your organisation's operational manuals, policies, procedures, guidelines or protocols should document the *rules* of your organisation. They should state the bottom line in overall safety practice which will never be compromised.

Operational manuals, policies, procedures, guidelines or protocols should be the accumulated knowledge gained by staff and management to their local conditions, operating environment, equipment, internal and external direction, and personnel.

If you have good resources new staff should quickly learn what to do, or watch out for, in terms of the safety management of the organisation through using the documented operational manuals, policies, procedures, guidelines or protocols. Existing staff faced with situations that compromise safety should always be able to refer to these resources to steer their decision making and protect the participants, staff, your organisation, and the public.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does your organisation have written safety operational manuals, policies, procedures, guidelines or protocols?
   - Are they regularly reviewed and revised documents?
   - Are they practical and easy to use?
   - Do the documents cover all safety related programme activities?
   - Do the documents detail clearly staff and management responsibilities?
   - Are the staff familiar with the relevant documents they must work to?
2. Do these written operational manuals, policies, procedures, guidelines or protocols include the following:
   - rules and policies that all staff members must comply with?
   - operating suggestions for local conditions based on other feedback from staff?
   - emergency preparedness plans?
   - supervisor safety training policies?
   - personal equipment procedures?
   - policies regarding standards of staffing or equipment when hiring or purchasing.
3. Do these written operational manuals, policies, procedures, guidelines or protocols include accident and incident investigation procedures to determine:
   - root causes?
   - processes that will reduce the likelihood of accident or incidents recurring is reduced through review of the necessary operational manuals, policies, procedures, guidelines or protocols?

4. Are all the operational manuals, policies, procedures, guidelines or protocols within your organisation clearly written and valid for your local operating conditions?
5. Are the responsibilities your organisation requires of staff toward operational manuals, policies, procedures, guidelines or protocols and rules clearly stated?
6. Is there a formal process in place for staff to question operational manuals, policies, procedures, guidelines and/or protocols or suggest alterations or additions?
7. Are staff encouraged to submit information to improve operational manuals, policies, procedures, guidelines or protocols?
8. Are there ramifications for staff working outside of operational manuals, policies, procedures, guidelines or protocols?
9. Are there specific policies on the following:
   - drug and alcohol use?
   - member code of conduct?
   - sexual harassment?
   - safety and health orientation and induction programme?
10. Does your organisation develop operational manuals, policies, procedures, guidelines or protocols and rules by the following methods:
    - analysis of accidents and near misses?
    - industry prescribed standards?
    - formal hazard identification processes?
    - relevant legislation?

Management and Communication

Key Message

All levels of the Organisation have responsibilities for safety and health management. This shared responsibility needs to be effectively communicated through the levels of management in organisations including trustees, directors, managers, staff, contractors and participants.

Clear communication and understanding of safety needs directly affect safety management within an organisation. Organisations with poor communication or interpretation of safety practices will compromise safety processes.

The management of safety and health should ideally be led by a group of staff which has input from all levels in the organisation. Within small organisations it may well be the responsibility of a single person to monitor safety performance. However even a single person should find a small group of supporters to share ideas and assist them in monitoring safety.

In larger organisations with more resources, a dedicated organisation-wide safety officer may have responsibility for co-ordinating safety and health management of the project.

The safety management group should be monitoring compliance with their manuals, policies, procedures, guidelines, and protocols. The safety management group should also be monitoring any changes occurring within the safety programme, including activities, and environment.

How management implements safety and communicates with staff is also critical to the management of safety within the organisation. Staff and members should be actively involved in monitoring safety performance. Through participation staff and members become active in workplace safety, increasing self awareness and self direction in maintaining high levels of safety management.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the organisation have stated safety goals and objectives that convey a positive quality-oriented message?

2. Does the organisation have a system that enables all staff to be made aware of programme objectives and stated safety goals?

3. Is there an active safety group within the organisation involved in safety monitoring?

4. Does the safety group report to the rest of senior management/trustees/directors on a regular basis?

5. Is there a representative from the operational level on the safety group?

6. Do all members of staff have formal lines of communication to voice thoughts on safety to the safety group?

7. Are the accountabilities, processes and meetings of this safety monitoring documented?
   They should include setting safety goals for all staff, participants, environments and property under the organisation's responsibility. In addition, reviewing accident/incident reports, the safety of new programmes, any changes to existing programmes, and review of existing programmes.

8. Is there a person within the organisation tasked with co-ordination of the day-to-day aspects of safety management?

9. Does each member of staff have a written job description with clearly stated safety responsibilities detailing all organisational and legislated requirements?

10. Are all job descriptions current, accurate and understood?

11. Are these job descriptions regularly reviewed every time a new staff member starts or a position changes?
12. Is member 'contact' time managed to allow satisfactory focus on health and safety issues?

13. Are there systems in place to assess staff health over prolonged programme contact periods?

14. Is there a management review process to authorise all new safety aspects of project activities?

15. Does the organisation know, keep, and review all relevant legislation and guidelines it must operate within?

Staff

Key Message

Staffing plays one of the most important roles in an effective safety management programme. Recruitment, training, and retention of key staff, particularly direct supervising staff, should be a significant focus in developing effective management systems for aan Organisation.

Recruiting, training and maintaining key personnel is a key part in ensuring effective safety management.

Through the accumulation of knowledge of the local environment, sponsor organisation, member needs and capabilities, and equipment available, staff become more competent in managing safety and health issues.

In addition, gaining and updating professional qualifications is an important aspect of maintaining contemporary skills in the professional field.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are clear and appropriate safety and health standards in place for hiring staff? And do they reflect industry guidelines?

2. Is there an adequate selection process for assessing levels of technical skill, expertise, experience and judgement of potential staff in respect of safety and health?

3. Is each applicant's skill level, experience and qualifications considered against this list of requirements?

4. Does the organisation use application forms, referees, interviews, skill tests, and/or probation periods to determine the *competency-based* suitability of the applicants?

5. Does the organisation check the applicant's accident history, general level of responsibility, ability as an educator, medical and physical condition, and criminal record in terms of *general* suitability for the position?

6. Is the induction, training, and orientation plan for new staff adequate and appropriate?

7. Are staff allowed to work without taking part in a safety and health induction and orientation?

8. Are regular performance reviews in respect of safety and health carried out between individual staff and their supervisors?

9. Are processes in place appraise professional development needs?

10. Are systems in place to record and track all staff training (first aid certification, training, workshops, field experience) both on-job and recreational, etc?

11. Does the organisation supply staff with documents that clearly outline the safety related conditions of employment?

12. Are staff systematically observed and given quality feedback on their safety performance?

Participants

Key Message

Participants have a critical role to play in safety and health management. It is very important to understand the needs, capabilities and limitations of each participant on every activity or programme the Organisation runs.

In order to provide the standard of care required for participants, it is necessary to have relevant information about them, as well as identify any risks that participants may bring to a programme, event or activity. The sponsor organisation should check that adequate information about all people involved in the risk activities you run is obtained and available to those who need it.

Participants involved in risk recreation based activities must be physically capable relative to the conditions likely to be encountered. It is very important to know issues such as any medical conditions which may cause a hazard to themselves or possibly others ie allergies, asthma, epilepsy etc.

Other individual factors may also compromise safety members, or others, and should similarly be sourced to the sponsor organisation at the planning stage. This may include issues such as:

- inability to read or understand English
- physical or mental disability
- insufficient skill to perform required tasks.

Organisations should never proceed with activities beyond the capability of their participants. They should always be aware that personal capability may change during the course of activities. Specific notice of a participant's personal capabilities being distorted due to peer pressure, pride, age, capability, etc should be considered.

Key Indicators

Important

These *key indicators* are those determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are all participants screened to assess their health before and during the programme or activity?
2. Does this screening include gathering the following information:
   - emergency contact address and phone
   - age
   - gender
   - general practitioner
   - allergies
   - medical history
   - use of medications
   - general physical condition
   - dietary requirements
   - ability in water.
3. Is the information readily available to those that need it during the running of activities and in emergencies?
4. Does pre-event/activity/programme material supplied by the organisation adequately describe risks and hazards?
5. Does pre-activity material clearly explain requirements for personal clothing and equipment neccessary to be safe during the activity /programme?
6. Does pre-activity material adequately explain the physical conditioning required to undertake project activities?
7. Are medical clearances sought from participants who have significant medical or other conditions that could prohibit involvement?

Programming

Key Message

Every organisation will have programme content reflecting the aims and objectives of the Organisation. While each event/activity/programme is different from the next, key principles of safety management apply across the board.

Each programme or activity may run in differing environments, and within different communities.

The risks of each risk recreation activity will be situationally specific to these factors, and identified risks associated with each event/activity/programme will reflect these differing requirements.

Regardless of these variances, key safety and health management issues relate to every event/activity/programme.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the activity/programme utilise staff who are qualified, capable, and competent for the activities and participants they will be involved with?
2. Are staff familiar with the areas where activities will be run?
3. Have all foreseeable risks and hazards been identified and documented for the project activities?
4. Do these risks identify people, equipment/resources and environmental risks and hazards?
5. Does the management of these risks identify all fluctuating/variable factors, such as ability of participants, weather, terrain, time of day, season, location etc?
6. Does the management of these risks disclose if they are obvious or hidden?
7. Have these risk and hazards been prioritised in order of danger and hierachy of management?
8. Are these risks acted upon by utilising the principles of elimination, isolation or minimisation?
9. Has an assessment been made of the potential and gravity of foreseeable injury should an incident/accident occur?
10. Are safety policies and recommended programme procedures documented for all programme activities?
11. Do these safety policies and recommended programme procedures comply with current industry standards?
12. Are all staff familiar with policies and procedures of specific activities?
13. Is management notified of all activities being conducted in the field?
14. Do staff to member ratios reflect skills, experience, and knowledge of the staff and the clients and the nature of risk of the activity?
15. Are staff skills, experience and knowledge appropriate for the activity?

16. Are participants appropriately briefed and progressively readied for event/ programme activity?
17. Do participants have a choice about their level of participation in the programme activity and are awre of the options for withdrawing?
18. Can staff present a rationale for conducting the activity under the present safety conditions?
19. Are staff skills, knowledge, and experience sufficiently above that of the participants to effectively run the event/activity and respond to emergencies?

Equipment

Key Message

The quality of equipment available to both staff and participants will directly affect the quality of the experience and the safety of the event, activity.

Recreation gear, tools, clothing, footwear, facilities, and vehicles that are fit for the purpose should be a pre-requisite for all activities.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are the staff in your organisation informed of the equipment they must have in order to carry out their work?
2. Is the quality of the equipment monitored to ensure it meets legislative and industry standards?
3. Does your organisation have inventories for all equipment resources that the organisation owns?
4. Does the organisation carry insurance to cover replacement of equipment assets?
5. Does the organisation contribute to the replacement and maintenance of this equipment?
6. Are participants informed of the equipment they need to supply themselves in order to have a safe project?
7. Does your organisation ensure the quality of the equipment is checked before the members are allowed to participate on the project?
8. Does the organisation have provision to loan or hire to members who can't supply their own equipment?
9. Is a systematic process in place to record the usage of equipment?
10. Does this process include a retirement policy after certain hours of use, or damage?
11. Is all equipment stored in an appropriate place and manner?
12. Are the vehicles used in the programme appropriate for the activities for which they will be used?
13. Do vehicles comply with all relevant legislation?
14. Are First Aid kits available in all vehicles?
15. Is written vehicle safety and maintenance information available in vehicles for staff drivers?
16. Is there a clear policy on who is and isn't allowed to drive vehicles?

Contracting

Key Message

Contracting external providers of services or equipment is an area that exposes organisations to risks often seen as beyond their control. Significant obligations do, however, still remain with you to ensure safe practice during the contract.

It is essential to identify all of the risks and hazards of bringing outside agencies, or the hiring of equipment into the organisation . It is just as important to ensure that the risks your organisation will expose the contractor to are communicated to them before they begin work.

Understanding your responsibilities when engaging contractors is a key requirement if you choose to employ outside providers.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Do you gather information on the person/organisation you intend contracting before they are engaged to do work? Does it include:
   - contractor's safety rules?
   - confirmation of an appropriate safety record?
   - reference's from other organisations?
2. Does your contract with the person/organisation include specific reference to:
   - laws and regulations?
   - your organisational rules?
   - restricted areas?
   - the standard of training and experience required by the contractor for the programme?
   - safety equipment to be used?
   - hazards of work and control measures for these?
   - reporting requirements for accidents?
   - any specific job instructions and procedures?
   - any applicable worksite permits?
   - consequences of breaching safety requirements?
   - emergency procedures?
3. Does 'on-the-job' control of the contractor and contract completion include checking the following:
   - safety induction programme for contractor's staff?
   - checking the contractor's compliance with safety related clauses within the contract as the work progresses?
   - conducting periodic safety audits?
   - receiving regular safety reports?
   - following up on accident and incident reports?
   - reviewing and evaluating performance?
   - conducting spot inspections?
   - taking prompt action for breaches of safety requirements?

Accident & Emergency

Key Message

An important part of any safety management plan is preparing for accidents and emergencies, before they happen.

The best way to deal with accidents and emergencies is to have prepared plans available that people can follow when required.

An emergency plan should cover the range of possible emergency or accidents that could be dealt within your event/activity/programme. It should provide a well thought out plan for each possible scenario, detail who will be available to carry out the plan, and how resources will be available.

Each of these plans should also detail who will be involved in the management of agencies from outside of the organisation who will want to become involved (media, Police, OSH).

Behind every accident there lie many contributing causes. A systematic approach that can be used to look for root causes of accidents is critical to the safety management processes of all organisations.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

Planning for Accident and Emergency Situations

1. Is there a written plan for emergency response that covers all areas of operation including organisational communication, during an emergency?
2. Does the emergency plan assign specific duties to specific staff with alternative staff named for situations when the assigned person is unavailable?
3. Are key phone numbers and contact procedures for significant personnel and essential emergency services listed and accessible?
4. Do staff have access to communication equipment at all times for accident and emergencies. ie, cell phones, VHF radios etc?
5. Does your emergency system ensure that procedures are updated regularly?
6. Does your organisation have a documented programme to control how information will be released to next of kin, the public, and the media in the event of an emergency?
7. Do your emergency plans allow for times when the office is closed but your staff and participants are still in the field?
8. Do you have training objectives for staff in emergency preparedness?
9. Does your organisation have a contingency plan in place for the loss of key personnel in an emergency situation?
10. Are there written plans for field emergencies covering missing Corps members?
11. Do staff communicate emergency processes to the participants prior to beginning activities and at the start of the event/activity/programme?
12. Are the staff trained for emergency response?
13. Are participants adequately informed and trained to cope with emergencies?

14. Are required rescue resources always available to cope with assistance at a field emergency?

15. Are other rescue and emergency agencies known to staff?

16. Do these agencies know of your activities?

17. Do all staff have First Aid training appropriate to the programme activity?

18. Are First-aid kits present in all activities and appropriate to the activity?

Accident and Emergency Monitoring and Reporting

19. Does the organisation have a formalised investigation procedure for fatalities, injuries, near misses, and illnesses. Do the investigations include recording of:

    - name, age, sex, address of staff and/or Corps members involved?
    - names and contacts of witnesses?
    - time, place, weather details?
    - description of incident?
    - summary of any treatment given?
    - summary of any equipment and property damage?
    - time lost from programme due to incident?

20. Are the investigations into fatalities, injuries, near misses and illnesses analysed each year for significant trends?

21. Does your organisation have a procedure to ensure that remedial actions and follow-up of any investigations are carried out?

22. Is the safety group required to review the investigation and implemented changes before the investigation is considered closed?

23. Is the organisation a member of a group that shares the statistics, report forms and lessons learned from such accidents and incidents?

24. Are all accident/incident reports easily accessible to all members of staff?

25. Is the organisation's accident/incident rate acceptable in relation to normal industry guidelines?

Review Process

Key Message

A safety management programme is of limited value without consistent monitoring and review. It must involve a review process whereby organisations provide information to an external agency/contractor to measure compliance with Guidelines to Best Practice.

Process

Review of the Stage Two process involves the ongoing maintenance and moderation of compliance to the standards set out in this resource. This ongoing maintenance and moderation is critical to ensuring that your organisation is working to industry standards.

OSI provides a Stage Two Review programme to ensure that your organisation is reaching minimum industry bench marks.

The review involves a desk top audit (paper-based) of the systems the organisation uses for the running of its activities. Organisations are required to send all their documentation to OSI who will review and critique it. OSI will then send your organisation a review document that details those areas where compliance has been met and those areas that require improvements to reach minimum industry standards.

If the organisation feels it is required, the review may involve a site visit. The purpose of the site visit review is information gathering so that a clear and better picture of the degree to which the organisation meets the standards set out in Stage Two is achieved.

It is important to note that the most any review process can assess is a snapshot of how the organisation being assessed was working during the time the reviewer saw it in action.

It is the responsibility of the reviewer to visit activity sites, interview staff and members, observe the project in operation, and verify that the documented safety systems detailed in your approved Stage Two report document place, and are being utilised.

The OSI reviewer will then write a summary report of their findings commenting on the organisation's safety standards only.

It is worth organisations noting that those that have achieved compliance of Stage Two through OSI have met the industry standards acceptable for accreditation by SFRITO and will not require an industry visit as part of their accreditation process.

Stage Three

Key Message

Audit plays an important role in moderating safety performance in line with the Guidelines to Best Practice. It allows independent scrutiny of safety programmes and also provides the necessary checks and balances to promote consistency across the risk recreation industry.

Process

From time to time (OSI recommends at least once every three years) the Organisation will organise an independent safety management contractor to measure compliance of the organisation against the Key Indicators detailed in Stage Two of the Guidelines to Best Practice.

Methodology for the OSI Audit

The OSI audit is based on a people and, therefore, a behavioral approach to safety, as opposed to the more traditional industry approach.

Safety effectiveness is a function of employee behavior which, in turn, is dependent on a number of factors and interactions. Past and current behavioral influences produce current motivation in employees. This motivation to perform, combined with ability, is filtered by the safety system and the environment to produce the final behavior. The audit is devised in such a way to test each of these component parts and their interactions.

The audit is conducted in three ways:

- PART 1: Behavioral influences
- PART 2: Safety system
- PART 3: Physical environment and interaction between all components.

To better understand the component parts and how they will interact on your organisation lets look at each of these aspects of the audit in turn.

PART ONE:

AUDIT OF THE BEHAVIOURAL INFLUENCE

(Method of auditing = staff attitudes survey)

The final safety effectiveness of an individual staff member depends on their behavior, and this in turn is determined by their motivation to perform and their ability to perform. We ask all staff members to complete a questionaire which gives us a clear indicator of current attitutes to safety.

PART TWO:

AUDIT OF THE SAFETY SYSTEM

(Method of auditing = checklist audit with weighting)

The safety system currently operating within your programme is audited in relation to contemporary standards. Three major principles are used as measures of contemporary practice:

- quality management
- systems safety
- multiple causation

This gives us the rationale for the main categories under which PartTwo of the audit is grouped:

1) Management Decision Processes
2) Work Flow Processes
3) Hazard Analysis Processes
4) Information and Monitoring Processes (including performance).

PART THREE:

AUDIT OF THE PHYSICAL ENVIRONMENT AND OTHER FACTORS.

(Method of auditing = safety sampling)

One of the newer methods to measure safety effectiveness in the field is known as safety sampling. Safety sampling is based on the principle of random sampling inspections to determine quality of output without making 100 percent inspections. Like all accountability systems, safety sampling is also a good motivational tool, as each person wants to be sure they are operating as safely as possible when the sample is taken.

Safety sampling works by first preparing a code of unsafe and safe practices and conditions that may be observed in the activity to be audited. The sample

is then taken by checking each of the listed practices or conditions as they display themselves in the course of inspection. In this way the number of safe practices and conditions observed can be compared with the number of unsafe practices and conditions. Qualitative notes are made as this is carried out for feedback to the people who were observed at a later time.

Quoting

To implement a comprehensive safety audit need not be time consuming and expensive. OSI is open to negotiating with each client, individual needs to suit budget constraints and ensure best value for investment.
Detailed below are estimates of costs for review and audit processes.

Desk top Audit of Stage One (Self Assessment):
For a small organisation (up to 5 staff): $500.00 plus GST
For a large organisation (up to 15 staff): $1,000.00 plus GST

Desk top Audit of Stage Two :
For a small organisation : $750.00 plus GST
For a large organisation : $1,500.00 plus GST

The inclusion of a site visit will cost $450.00 plus GST per day on site plus payment of one days preparation.
Stage Three Audit:
For a small organisation: $2,500.00 plus GST
For a large organisation (up to 15 staff):from $5,000.00 plus GST
All Stage Three Audits require a site visit.

These costs are estimates only and each case is open to negotiable terms and conditions.

All enquiries should be made to:

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Manners Mall,
Wellington
New Zealand

Wellington Trade Centre,
Level 10,
175 Victoria Street,
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Phone: 04 385-1146
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GUIDELINES TO BEST PRACTICE

Safety Management for Adventure Recreation Providers

P. O. Box 11-231, WELLINGTON,
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Foreword

The safety and health of participants, staff and spectators at adventure and risk recreation activities is of prime importance to all those who are involved in the adventure industry.

Guidelines to Best Practice - has been developed to ensure people's safety always remains paramount.

The aim is to ensure that each person who may become involved in an outdoor event or activity will be assured of a high level of safety management and practice regardless of which organisation delivers the programme.

The challenge to achieve this aim has been to create a workable system whereby the wide variety of organisations will all achieve excellence in safety and health management. This ranges from those with significant staffing and operating budgets, to those who rely on volunteer assistance and limited financial resources.

We believe we have achieved this by creating a resource that addresses the minimum requirements of legislation and contemporary practice backed up by the expertise to make sure we have consistency across the industry.

Over the last 5 years, the Outdoor Safety Institute has developed an enviable credibility for providing sound advice on safety at a national level. We are confident that this resource and your organisation's commitment to its aims and objectives will see this reputation not only maintained, but enhanced for all of those involved in providing exciting and fulfilling adventure experiences for New Zealanders.

Chris Knol

Managing Director
Outdoor Safety Institute Ltd

The Outdoor Safety Institute

Outdoor Safety Institute staff (OSI) have accumulated over thirty years of experience in every aspect of administering and operating outdoor adventure and risk recreation experiences.

Our experiences in New Zealand and overseas has given us some very clear messages on quality and safety. The first message is that both quality and safety are inherent to the modern management of risk recreation and adventure activities. The second is that an objective viewpoint from a safety management professional is essential to gain qualitative information to reflect on. The third is that sound management is built on information. Defining the starting points and benchmarks is absolutely crucial to improving the quality of the experience and safety management of your programmes.

OSI is committed to delivering the systems, information and resources to help you to do it better.

Since the creation of OSI in 1992 we achieved an outstanding track record as providers and consultants in safety management not matched by any other risk recreation safety management provider.

To date the work undertaken by Outdoor Safety Institute has included the following:

- Safety reviews of over 30 organisations in New Zealand and Australia.
- Safety Audits of all the major outdoor education providers in New Zealand including Outward Bound, The Sir Edmund Hillary Outdoor Pursuits Centre and the New Zealand Conservation Corps.
- Audit and analysis of some of New Zealands largest outdoor disasters.

Published the following resources:

- Code of Practice for EOTC for the Ministry of Education
- Directors manual on Risk Management Training for the Hillary Commission and the NZ Mountain Safety Council.
- Code of Practice for Association of NZ Polytechs
- Code of Practice for Working at Heights for BP Oil
- Guidelines to Best Practice for Conservation Corps and Youth Service Projects

Under taken Risk Management training for the following organisations:

- Occupational Safety and Health
- Teacher Support Services
- New Zealand Water Safety Council
- Outward Bound
- Sir Edmund Hillary Outdoor Pursuits Centre
- Police SAR and OAS
- The Hillary Commission
- Surf Life Saving New Zealand
- Department of Conservation
- Ministry of Youth Affairs
- SFRITO
- NZ Recreation Association
- Ministry of Education
- NZ Fire Service
- Ministry of Education

Our Aim

This resource and the ongoing safety management processes it encourages, aim to enhance the quality of adventure recreation activities for all

New Zealanders

Contents

Introduction

Welcome to Guidelines to Best Practice - Safety Management for Adventure Recreation Providers

Some of the most important obligations faced by the providers of adventure activities and events are those under the Health & Safety in Employment Act 1992 (HSE) which governs contract roles and responsibilities.

These roles are those of the providing organisation being the Principal, and the the role of Contractors. We have responsibilities as Principal to take all practicable steps to ensure our organisation is operating safely. Equally, we have a number of responsibilities when we act as contractors to undertake the project in accordance with legislative and industry-related safety practices.

This includes taking responsibility for important issues and actions such as having hazard identification and management procedures, the right equipment, qualified staff, contingency planning, knowing the capability of those we are providing for, knowing relevant regulations and guidelines for all our activities.

Guidelines to Best Practice has been developed to help you fulfil your responsibilities, while also producing a resource to promote and moderate best practice for all those involved in the provision of risk activities whether it be outdoor recreation, adventure tourism or challenge events. Further to this, we believe it is important to ensure safety practices are managed in a manner which will promote minimum 'bottom line' levels of operating guidelines for all organisations active in our industry.

OSI has a clear understanding of the obligations placed on New Zealand organisations under current legislation. Guidelines to Best Practice will give you an indication of how well you measure against minimum industry standards. Use of this resource does not detract from, minimise, or remove any obligations that you currently have to comply with legislation, particularly HSE, or other obligations you currently have such as duty of care and the need to undertake activities within recognised industry practices.

Guidelines to Best Practice does not provide anything new in terms of managing safety and health. Those organisations already operating in full compliance with their legislative and industry guided responsibilities should find this resource easily manageable, and in many instances it will aid the continued improvement in safety and health management.

In some instances, organisations will have to do more and instigate new processes to manage their safety and health in line with these guidelines. For those who have to do more, the responsibility is yours.

Guidelines to Best Practice has been developed to meet our aim of ensuring safe practices and quality provision in risk activities. We hope you find it a positive resource, and a tool to help you provide excellent safety management.

Instructions

Guidelines to Best Practice - Safety Management for Adventure Recreation Providers determines a minimum level of safety management for organisations for all safety practices.

Guidelines to Best Practice consists of a programme based upon three stages of compliance.

Organisations progress through each stage in a pathway approach. Compliance to Stage One allows the organisation to progress to Stage Two and so on. The aim of this approach is to create a process whereby progressive and seamless programme development, implementation, review, and a commitment to continued improvement and moderation combines to achieve our aim of obtaining excellence in safety and health management.

Stage One: Initial safety report, by means of a measurement of the organisation's processes through a Self-assessment Checklist.

Stage Two: Recognised compliance, by a desk top audit and submission of supporting documentation, of procedures and standards measured against those prescribed in Guidelines to Best Practice.

Stage Three: Audit carried out by contracted agents from time to time, to moderate compliance.

Starting down the path to compliance with Guidelines to Best Practice requires a commitment from organisations to involve themselves in achieving compliance with each stage.

Stage One

Key Message

Stage One involves the organisation undertaking a safety self-assessment. This involves conducting a study of its own operations utilising the Self-Assessment Checklist contained in this section.

Process

There are three steps to the safety self-assessment process.

1. The organisation collects, reviews, and records all material relative to the administration of safety in the recreation, education and work based aspects of its adventurous or risk activities.

2. The organisation ensures that the key policies, procedures and actions relating to Guidelines to Best Practice Stage One compliance (Self-Assessment Checklist) are documented and in use.

3. The organisation forwards the completed Self-Assessment Checklist (with comments) from Guidelines to Best Practice, to OSI for review.

It must be recognised by the organisation that the standards asked for in Stage Two of Guidelines to Best Practice is the goal to be strived for and this initial Self-assessment phase is a starting position only - a 'snapshot'. It serves to provide a level and consistent starting point for working towards achieving Stage Two compliance.

The Self-Assessment Checklist will be an initial indicator. The importance of this report should not be minimised. The Self-Assessment Checklist summarises the key issues of safety management featured in Stage Two and promotes the need to have these 'bottom line' systems in place before **beginning** any risk recreation or adventurous activities.

The self-assessment process provides the opportunity to measure and assess the safety systems of the organisation against generally accepted common practices in the outdoor and community recreation industry.

Organisations are responsible for assessing their own level of practice in the Self-Assessment Checklist through a ranked scale from 1-5, with each category's criteria detailed.

Comments are also required if the standard differs or does not apply to that organisation, or detailing any other relevant points. Any standards not met should be accompanied by documentation detailing the measures that you intend to put in place to reach the required standard (verifying the quality and accuracy of information).

Once submitted, OSI will review the Self-Assessment Checklist and any accompanying notes and provide feedback to the organisation on its level of compliance.

If there are deficiencies regarding the compliance with the check list standards, OSI will advise the organisation that shortfalls exist and where the systems required may be accessed.

Organisations should then bring their safety standards to the required level.

Having achieved and been approved at Stage One, the organisation should determine a timeline for full implementation and assessment of Stage Two.

GUIDELINES TO BEST PRACTICE

STAGE ONE - SELF-ASSESSMENT

Organisation _____

Name _____

Designation _____ Date / /

1. OPERATIONAL

Circle appropriate number

1.1 Does your organisation have written health and safety policies and guidelines?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Outlines clear responsibilities, widely distributed and understood by all staff.

1.2 Does your organisation have a comprehensive written safety management plan and for all activities and/or programmes?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Defines clear responsibilities, uses RAMS based systems, is up to date, widely distributed, and used by all staff.

1.3 Are the safety management plans of your organisation reviewed and revised regularly?

Never Updated 1 ... 2 ... 3 ... 4 ... 5 Always Updated

Criteria: Regular updates would be made at least on an annual basis.

1.4 Are all staff familiar with relevant safety management manuals and policies?

Wouldn't know 1 ... 2 ... 3 ... 4 ... 5 Very Familiar

Criteria: Regular scheduled and random checks to ensure all staff operate inside policy.

Comments:

2. Management and Communication

Circle appropriate number

2.1 Are health and safety goals set and communicated to staff by management?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Based on analysis of strengths and weaknesses of current programme, goals are action-oriented with established time frames.

2.2 Is there an active safety group within the organisation involved in regular safety monitoring meetings?

None 1 ... 2 ... 3 ... 4 ... 5 Regular Meetings

Criteria: Regular meetings to consider all aspects of safety, compliance and issues

2.3 Are safety responsibilities assigned and fully defined in every employee's job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Safety responsibilities built into job descriptions. Staff at all levels understand their responsibilities, and performance is assessed and reviewed.

2.4 Is there a functioning system in place for staff to provide regular feedback to management about safety concerns?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Staff should be involved in regular meetings where concerns of health and safety can be raised.

2.5 Is there a procedure for reporting of hazards?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Standard hazard measurement tools, training to staff on what is a hazard or risk, safety group with the task of assessing priority of risks and hazards.

Comments:

3. Staff

Circle appropriate number

3.1 Is there a staff selection procedure for assessing levels of technical skill, expertise, experience, and judgement of potential and new staff?

None 1 ... 2 ... 3 ... 4 ... 5 Full Procedure

Criteria: Skills and qualifications should reflect current industry standards and practices.

3.2 Does the organisation check a job applicant's overall suitability for the position?

None 1 ... 2 ... 3 ... 4 ... Full Procedure

Criteria: Qualifications, work history, accident history, general level of responsibility, ability as an educator, medical and physical condition, criminal record etc are sourced.

3.3 Are procedures in place to ensure staff undertake a safety induction and orientation programme for the organisation, and for activities?

None 1 ... 2 ... 3 ... 4 ... 5 Full induction

Criteria: Staff fully understand the safety protocols of the organisation and the policy they must work within before being allowed to work with participants.

3.4 Has a list of employee's skills (meeting required minimum standards) been prepared in order to identify appropriate training needs, and to ensure employees are capable of carrying out their written job description?

None 1 ... 2 ... 3 ... 4 ... 5 Fully Defined

Criteria: Tasks are analysed to ascertain the necessary knowledge, experience and competence required.

3.5 Are processes in place to evaluate staff performance and appraise professional development needs?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Regular safety performance appraisals and documented ongoing systems for the safety assessment of staff performance.

Comments:

4. Participants

Circle appropriate number

4.1 Are all participants screened to assess their health before and during the project?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes obtaining a medical clearance if any doubt is present about a member's ability to undertake any project activities.

4.2 Is a health and participation form signed by the participants ? (or by parent or guardian if the participant is under 18 years)

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All members under 18 years should have signed approval from a parent or guardian. All participants should sign a contract of involvement and health participation form.

4.3 Does pre-project material adequately describe the risks and hazards associated with programme activities to potential participants ?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Disclosing that there is risk involved in activities and that this is a shared responsibility of both the organisation and the participant is an important aspect of risk disclosure.

4.4 Does pre-course material adequately explain the clothing and equipment required to undertake course activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All participantsmust have adequate protective clothing and equipment for programme activities.

4.5 Is an assessment made of the participant's capability to participate in all adventurous activities?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability to swim, fitness levels, phobias, etc are regularly assessed.

Comments:

5. Programming

Circle appropriate number

5.1 Are all risks and hazards associated with running programmes identified in a systematic manner and acted on?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Processes of elimination, isolation and minimisation employed, all staff involved, comprehensive identification systems are included for all areas of processes, tasks, staff, equipment, resources and environment.

5.2 Does the management of these risks and hazards identify all fluctuating/ variable factors?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ability of participants, weather, terrain, time of day or year, remote location etc.

5.3 Do the staff to participant ratios reflect skills, experience and knowledge of the staff and the clients as well as the nature of risk in the activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Programmes must be run with a match of skills and abilities of both members and staff to the potential risks.

5.4 Do participants have a choice about undertaking challenges/risks in the activites?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Includes understanding 'challenge by choice' principles in activities, and this is communicated to participants.

5.5 Do activities progressively and sequentially prepare participants for increasing levels of risk activity?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Ensure programmes/activities are based on sound experiential principles and approaches to risk.

5.6 Are planned assessments of the safety management systems, people, activities, programmes, and equipment carried out regularly?

- systems

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- people

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- activities

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- programmes

Never 1 ... 2 ... 3 ... 4 ... 5 Always

- equipment

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: At least once a year.

Comments:

6. Equipment

Circle appropriate number

6.1 Is there a policy detailing specifications for equipment use, purchase and maintenance?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Policy sets in place specifications for equipment standards and maintenance.

6.2 Is all equipment used in line with its purpose, stored safely, serviced, registers kept of use, and retirement polices for equipment maintained?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Clear procedures for use and control.

6.3 Are all vehicles and facilities well maintained and comply with legislation?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Comply with all current legislation.

Comments:

7. Contracting

Circle appropriate number

7.1 Are measures in place to determine the health and safety performance of contractors?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Performance requirements written into contracts, criteria for selection of the contractors included past performance, contractors submit a plan on how they will manage risks and hazards.

7.2 Does your contract with outside providers detail all necessary reference to legislation, and organisational rules?

None 1 ... 2 ... 3 ... 4 ... 5 All defined

Criteria: Full detail on all operating requirements.

7.3 Does your organisation monitor the performance of contractors?

No control 1 ... 2 ... 3 ... 4 ... 5 Full Monitoring

Criteria: Scheduled and random written and site monitoring.

Comments:

8. Accident and Emergency

Circle appropriate number

Planning for an Accident or Emergency Situation

8.1 Does your organisation have a comprehensive emergency plan?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: In writing, all likely/foreseeable emergency conditions identified, participantsand staff fully informed.

8.2 Does the plan clearly identify responsibilities and procedures to follow?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: An emergency coordinator has been appointed, all staff and members know procedures.

8.3 Are suitable and adequate rescue resources always available to cope with assistance in an emergency?

None 1 ... 2 ... 3 ... 4 ... 5 Full

Criteria: Equipment and resources (equipment and human) are always available.

Accident & Emergency Monitoring and Reporting

8.4 Is there an accident/incident investigation procedure?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Employees have had the opportunity to contribute ideas and suggestions on possible accident and emergencies, procedures for dealing with them.

8.5 Is there a standard and comprehensive form for accident and incident investigation?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: The form must include full information on age, disabilities, medical data, next of kin, emergency contacts, doctor, etc.

8.6 Is a register/database of accidents and incidents maintained?

None 1 ... 2 ... 3 ... 4 ... 5 Comprehensive

Criteria: Register contains the information prescribed by OSH as a minimum, incidents that harmed or might have harmed staff or any other person, as well as serious harm are recorded.

8.7 Are all accidents and incidents investigated to determine whether they arose from or were caused by a significant risk or hazard?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: All accidents and incidents are investigated. Significant risks or hazards identified, review is made to determine if controls are in place and if existing controls are adequate, corrective action is undertaken.

8.8 Is a periodic review made of the accident and incident register and reports to identify accident and injury trends?

Never 1 ... 2 ... 3 ... 4 ... 5 Always

Criteria: Information is made available to managers and employees and tabled at management and/or team meetings.

Comments:

Stage Two

Key Message

Stage Two is the level of compliance to be strived for. Compliance is by a desk top audit of procedures and standards asked for in the Guidelines to Best Practice. Stage Two introduces more comprehensive 'yardsticks' expanding on the assessments made under Stage One.

Process

There are three steps to the process.

1. For the organisation to collect, review, and record all material relevant to the administration of safety within the organisation.

2. To ensure that the key policies, procedures and actions relating to Guidelines to Best Practice Stage Two compliance are documented and in use.

3. Provide a comprehensive report with supporting documentation which demonstrate compliance with Stage Two of Guidelines to Best Practice.

After achieving Stage One compliance through OSI, organisations should begin the processes to implement the standards of Stage Two. Organisations should commit at the outset to a time-frame for completion of this stage. The feed-back from OSI after Stage One will give you a clear indicator of exactly where your organisation is, in terms of safety management processes.

Utilising this resource, Guidelines to Best Practice, and the following questions covered in the section, organisations are required to ensure they have implemented systems that ensure the questions - the key indicators - asked for in Guidelines to Best Practice can be endorsed.

Documented policies, guidelines, and actions of the organisation's safety management must be supplied in writing. The documentation must be complete and give adequate information to substantiate that the standards asked for in the Guidelines to Best Practice Stage Two have been achieved.

The length of the safety management document will vary with the scope and size of the organisation's operation. The supplementary materials will vary from organisation to organisation. However, they must include comprehensive detail on these eight key areas:

- operational
- management and communication
- staff
- members
- programming
- equipment
- contracting
- accident and emergency.

OSI will again review your systems when you have completed them and give you an objective assessment of how well they comply with both legislative and industry standards. The OSI report will be a comprehensive review of systems currently in place and may include, if the Organisation wishes, a site visit to verify systems and procesess.

If there are deficiencies regarding the compliance with the Stage Two standards, OSI will advise the organisation that shortfalls exist. The Organisation must bring it systems to the required level.

Operational

Key Message

Organisations need to have clearly documented, active, and regularly reviewed operational manuals, policies, procedures, guidelines or protocols under which they will operate. These may be developed from a variety of sources such as industry regulations, standards bodies guidelines or legislation.

Your organisation's operational manuals, policies, procedures, guidelines or protocols should document the *rules* of your organisation. They should state the bottom line in overall safety practice which will never be compromised.

Operational manuals, policies, procedures, guidelines or protocols should be the accumulated knowledge gained by staff and management to their local conditions, operating environment, equipment, internal and external direction, and personnel.

If you have good resources new staff should quickly learn what to do, or watch out for, in terms of the safety management of the organisation through using the documented operational manuals, policies, procedures, guidelines or protocols. Existing staff faced with situations that compromise safety should always be able to refer to these resources to steer their decision making and protect the participants, staff, your organisation, and the public.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does your organisation have written safety operational manuals, policies, procedures, guidelines or protocols?
   - Are they regularly reviewed and revised documents?
   - Are they practical and easy to use?
   - Do the documents cover all safety related programme activities?
   - Do the documents detail clearly staff and management responsibilities?
   - Are the staff familiar with the relevant documents they must work to?
2. Do these written operational manuals, policies, procedures, guidelines or protocols include the following:
   - rules and policies that all staff members must comply with?
   - operating suggestions for local conditions based on other feedback from staff?
   - emergency preparedness plans?
   - supervisor safety training policies?
   - personal equipment procedures?
   - policies regarding standards of staffing or equipment when hiring or purchasing.
3. Do these written operational manuals, policies, procedures, guidelines or protocols include accident and incident investigation procedures to determine:
   - root causes?
   - processes that will reduce the likelihood of accident or incidents recurring is reduced through review of the necessary operational manuals, policies, procedures, guidelines or protocols?

4. Are all the operational manuals, policies, procedures, guidelines or protocols within your organisation clearly written and valid for your local operating conditions?
5. Are the responsibilities your organisation requires of staff toward operational manuals, policies, procedures, guidelines or protocols and rules clearly stated?
6. Is there a formal process in place for staff to question operational manuals, policies, procedures, guidelines and/or protocols or suggest alterations or additions?
7. Are staff encouraged to submit information to improve operational manuals, policies, procedures, guidelines or protocols?
8. Are there ramifications for staff working outside of operational manuals, policies, procedures, guidelines or protocols?
9. Are there specific policies on the following:
   - drug and alcohol use?
   - member code of conduct?
   - sexual harassment?
   - safety and health orientation and induction programme?
10. Does your organisation develop operational manuals, policies, procedures, guidelines or protocols and rules by the following methods:
    - analysis of accidents and near misses?
    - industry prescribed standards?
    - formal hazard identification processes?
    - relevant legislation?

Management and Communication

Key Message

All levels of the Organisation have responsibilities for safety and health management. This shared responsibility needs to be effectively communicated through the levels of management in organisations including trustees, directors, managers, staff, contractors and participants.

Clear communication and understanding of safety needs directly affect safety management within an organisation. Organisations with poor communication or interpretation of safety practices will compromise safety processes.

The management of safety and health should ideally be led by a group of staff which has input from all levels in the organisation. Within small organisations it may well be the responsibility of a single person to monitor safety performance. However even a single person should find a small group of supporters to share ideas and assist them in monitoring safety.

In larger organisations with more resources, a dedicated organisation-wide safety officer may have responsibility for co-ordinating safety and health management of the project.

The safety management group should be monitoring compliance with their manuals, policies, procedures, guidelines, and protocols. The safety management group should also be monitoring any changes occurring within the safety programme, including activities, and environment.

How management implements safety and communicates with staff is also critical to the management of safety within the organisation. Staff and members should be actively involved in monitoring safety performance. Through participation staff and members become active in workplace safety, increasing self awareness and self direction in maintaining high levels of safety management.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the organisation have stated safety goals and objectives that convey a positive quality-oriented message?

2. Does the organisation have a system that enables all staff to be made aware of programme objectives and stated safety goals?

3. Is there an active safety group within the organisation involved in safety monitoring?

4. Does the safety group report to the rest of senior management/trustees/directors on a regular basis?

5. Is there a representative from the operational level on the safety group?

6. Do all members of staff have formal lines of communication to voice thoughts on safety to the safety group?

7. Are the accountabilities, processes and meetings of this safety monitoring documented?
   They should include setting safety goals for all staff, participants, environments and property under the organisation's responsibility. In addition, reviewing accident/incident reports, the safety of new programmes, any changes to existing programmes, and review of existing programmes.

8. Is there a person within the organisation tasked with co-ordination of the day-to-day aspects of safety management?

9. Does each member of staff have a written job description with clearly stated safety responsibilities detailing all organisational and legislated requirements?

10. Are all job descriptions current, accurate and understood?

11. Are these job descriptions regularly reviewed every time a new staff member starts or a position changes?
12. Is member 'contact' time managed to allow satisfactory focus on health and safety issues?

13. Are there systems in place to assess staff health over prolonged programme contact periods?

14. Is there a management review process to authorise all new safety aspects of project activities?

15. Does the organisation know, keep, and review all relevant legislation and guidelines it must operate within?

Staff

Key Message

Staffing plays one of the most important roles in an effective safety management programme. Recruitment, training, and retention of key staff, particularly direct supervising staff, should be a significant focus in developing effective management systems for aan Organisation.

Recruiting, training and maintaining key personnel is a key part in ensuring effective safety management.

Through the accumulation of knowledge of the local environment, sponsor organisation, member needs and capabilities, and equipment available, staff become more competent in managing safety and health issues.

In addition, gaining and updating professional qualifications is an important aspect of maintaining contemporary skills in the professional field.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are clear and appropriate safety and health standards in place for hiring staff? And do they reflect industry guidelines?

2. Is there an adequate selection process for assessing levels of technical skill, expertise, experience and judgement of potential staff in respect of safety and health?

3. Is each applicant's skill level, experience and qualifications considered against this list of requirements?

4. Does the organisation use application forms, referees, interviews, skill tests, and/or probation periods to determine the *competency-based* suitability of the applicants?

5. Does the organisation check the applicant's accident history, general level of responsibility, ability as an educator, medical and physical condition, and criminal record in terms of *general* suitability for the position?

6. Is the induction, training, and orientation plan for new staff adequate and appropriate?

7. Are staff allowed to work without taking part in a safety and health induction and orientation?

8. Are regular performance reviews in respect of safety and health carried out between individual staff and their supervisors?

9. Are processes in place appraise professional development needs?

10. Are systems in place to record and track all staff training (first aid certification, training, workshops, field experience) both on-job and recreational, etc?

11. Does the organisation supply staff with documents that clearly outline the safety related conditions of employment?

12. Are staff systematically observed and given quality feedback on their safety performance?

Participants

Key Message

Participants have a critical role to play in safety and health management. It is very important to understand the needs, capabilities and limitations of each participant on every activity or programme the Organisation runs.

In order to provide the standard of care required for participants, it is necessary to have relevant information about them, as well as identify any risks that participants may bring to a programme, event or activity. The sponsor organisation should check that adequate information about all people involved in the risk activities you run is obtained and available to those who need it.

Participants involved in risk recreation based activities must be physically capable relative to the conditions likely to be encountered. It is very important to know issues such as any medical conditions which may cause a hazard to themselves or possibly others ie allergies, asthma, epilepsy etc.

Other individual factors may also compromise safety members, or others, and should similarly be sourced to the sponsor organisation at the planning stage. This may include issues such as:

- inability to read or understand English
- physical or mental disability
- insufficient skill to perform required tasks.

Organisations should never proceed with activities beyond the capability of their participants. They should always be aware that personal capability may change during the course of activities. Specific notice of a participant's personal capabilities being distorted due to peer pressure, pride, age, capability, etc should be considered.

Key Indicators

Important

These *key indicators* are those determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are all participants screened to assess their health before and during the programme or activity?
2. Does this screening include gathering the following information:
   - emergency contact address and phone
   - age
   - gender
   - general practitioner
   - allergies
   - medical history
   - use of medications
   - general physical condition
   - dietary requirements
   - ability in water.
3. Is the information readily available to those that need it during the running of activities and in emergencies?
4. Does pre-event/activity/programme material supplied by the organisation adequately describe risks and hazards?
5. Does pre-activity material clearly explain requirements for personal clothing and equipment neccessary to be safe during the activity /programme?
6. Does pre-activity material adequately explain the physical conditioning required to undertake project activities?
7. Are medical clearances sought from participants who have significant medical or other conditions that could prohibit involvement?

Programming

Key Message

Every organisation will have programme content reflecting the aims and objectives of the Organisation. While each event/activity/programme is different from the next, key principles of safety management apply across the board.

Each programme or activity may run in differing environments, and within different communities.

The risks of each risk recreation activity will be situationally specific to these factors, and identified risks associated with each event/activity/programme will reflect these differing requirements.

Regardless of these variances, key safety and health management issues relate to every event/activity/programme.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Does the activity/programme utilise staff who are qualified, capable, and competent for the activities and participants they will be involved with?
2. Are staff familiar with the areas where activities will be run?
3. Have all foreseeable risks and hazards been identified and documented for the project activities?
4. Do these risks identify people, equipment/resources and environmental risks and hazards?
5. Does the management of these risks identify all fluctuating/variable factors, such as ability of participants, weather, terrain, time of day, season, location etc?
6. Does the management of these risks disclose if they are obvious or hidden?
7. Have these risk and hazards been prioritised in order of danger and hierachy of management?
8. Are these risks acted upon by utilising the principles of elimination, isolation or minimisation?
9. Has an assessment been made of the potential and gravity of foreseeable injury should an incident/accident occur?
10. Are safety policies and recommended programme procedures documented for all programme activities?
11. Do these safety policies and recommended programme procedures comply with current industry standards?
12. Are all staff familiar with policies and procedures of specific activities?
13. Is management notified of all activities being conducted in the field?
14. Do staff to member ratios reflect skills, experience, and knowledge of the staff and the clients and the nature of risk of the activity?
15. Are staff skills, experience and knowledge appropriate for the activity?

16. Are participants appropriately briefed and progressively readied for event/ programme activity?
17. Do participants have a choice about their level of participation in the programme activity and are awre of the options for withdrawing?
18. Can staff present a rationale for conducting the activity under the present safety conditions?
19. Are staff skills, knowledge, and experience sufficiently above that of the participants to effectively run the event/activity and respond to emergencies?

Equipment

Key Message

The quality of equipment available to both staff and participants will directly affect the quality of the experience and the safety of the event, activity.

Recreation gear, tools, clothing, footwear, facilities, and vehicles that are fit for the purpose should be a pre-requisite for all activities.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Are the staff in your organisation informed of the equipment they must have in order to carry out their work?
2. Is the quality of the equipment monitored to ensure it meets legislative and industry standards?
3. Does your organisation have inventories for all equipment resources that the organisation owns?
4. Does the organisation carry insurance to cover replacement of equipment assets?
5. Does the organisation contribute to the replacement and maintenance of this equipment?
6. Are participants informed of the equipment they need to supply themselves in order to have a safe project?
7. Does your organisation ensure the quality of the equipment is checked before the members are allowed to participate on the project?
8. Does the organisation have provision to loan or hire to members who can't supply their own equipment?
9. Is a systematic process in place to record the usage of equipment?
10. Does this process include a retirement policy after certain hours of use, or damage?
11. Is all equipment stored in an appropriate place and manner?
12. Are the vehicles used in the programme appropriate for the activities for which they will be used?
13. Do vehicles comply with all relevant legislation?
14. Are First Aid kits available in all vehicles?
15. Is written vehicle safety and maintenance information available in vehicles for staff drivers?
16. Is there a clear policy on who is and isn't allowed to drive vehicles?

Contracting

Key Message

Contracting external providers of services or equipment is an area that exposes organisations to risks often seen as beyond their control. Significant obligations do, however, still remain with you to ensure safe practice during the contract.

It is essential to identify all of the risks and hazards of bringing outside agencies, or the hiring of equipment into the organisation . It is just as important to ensure that the risks your organisation will expose the contractor to are communicated to them before they begin work.

Understanding your responsibilities when engaging contractors is a key requirement if you choose to employ outside providers.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

1. Do you gather information on the person/organisation you intend contracting before they are engaged to do work? Does it include:
   - contractor's safety rules?
   - confirmation of an appropriate safety record?
   - reference's from other organisations?
2. Does your contract with the person/organisation include specific reference to:
   - laws and regulations?
   - your organisational rules?
   - restricted areas?
   - the standard of training and experience required by the contractor for the programme?
   - safety equipment to be used?
   - hazards of work and control measures for these?
   - reporting requirements for accidents?
   - any specific job instructions and procedures?
   - any applicable worksite permits?
   - consequences of breaching safety requirements?
   - emergency procedures?
3. Does 'on-the-job' control of the contractor and contract completion include checking the following:
   - safety induction programme for contractor's staff?
   - checking the contractor's compliance with safety related clauses within the contract as the work progresses?
   - conducting periodic safety audits?
   - receiving regular safety reports?
   - following up on accident and incident reports?
   - reviewing and evaluating performance?
   - conducting spot inspections?
   - taking prompt action for breaches of safety requirements?

Accident & Emergency

Key Message

An important part of any safety management plan is preparing for accidents and emergencies, before they happen.

The best way to deal with accidents and emergencies is to have prepared plans available that people can follow when required.

An emergency plan should cover the range of possible emergency or accidents that could be dealt within your event/activity/programme. It should provide a well thought out plan for each possible scenario, detail who will be available to carry out the plan, and how resources will be available.

Each of these plans should also detail who will be involved in the management of agencies from outside of the organisation who will want to become involved (media, Police, OSH).

Behind every accident there lie many contributing causes. A systematic approach that can be used to look for root causes of accidents is critical to the safety management processes of all organisations.

Key Indicators

Important

These *key indicators* are the determinants that OSI prescribes as the basis of good safety and health management. Each of these key indicators are required to be reported on, and evidence of compliance in the form of any manuals, policies, procedures, guidelines or protocols, supplied for Stage Two Guidelines to Best Practice compliance.

Planning for Accident and Emergency Situations

1. Is there a written plan for emergency response that covers all areas of operation including organisational communication, during an emergency?
2. Does the emergency plan assign specific duties to specific staff with alternative staff named for situations when the assigned person is unavailable?
3. Are key phone numbers and contact procedures for significant personnel and essential emergency services listed and accessible?
4. Do staff have access to communication equipment at all times for accident and emergencies. ie, cell phones, VHF radios etc?
5. Does your emergency system ensure that procedures are updated regularly?
6. Does your organisation have a documented programme to control how information will be released to next of kin, the public, and the media in the event of an emergency?
7. Do your emergency plans allow for times when the office is closed but your staff and participants are still in the field?
8. Do you have training objectives for staff in emergency preparedness?
9. Does your organisation have a contingency plan in place for the loss of key personnel in an emergency situation?
10. Are there written plans for field emergencies covering missing Corps members?
11. Do staff communicate emergency processes to the participants prior to beginning activities and at the start of the event/activity/programme?
12. Are the staff trained for emergency response?
13. Are participants adequately informed and trained to cope with emergencies?

14. Are required rescue resources always available to cope with assistance at a field emergency?

15. Are other rescue and emergency agencies known to staff?

16. Do these agencies know of your activities?

17. Do all staff have First Aid training appropriate to the programme activity?

18. Are First-aid kits present in all activities and appropriate to the activity?

Accident and Emergency Monitoring and Reporting

19. Does the organisation have a formalised investigation procedure for fatalities, injuries, near misses, and illnesses. Do the investigations include recording of:

    - name, age, sex, address of staff and/or Corps members involved?
    - names and contacts of witnesses?
    - time, place, weather details?
    - description of incident?
    - summary of any treatment given?
    - summary of any equipment and property damage?
    - time lost from programme due to incident?

20. Are the investigations into fatalities, injuries, near misses and illnesses analysed each year for significant trends?

21. Does your organisation have a procedure to ensure that remedial actions and follow-up of any investigations are carried out?

22. Is the safety group required to review the investigation and implemented changes before the investigation is considered closed?

23. Is the organisation a member of a group that shares the statistics, report forms and lessons learned from such accidents and incidents?

24. Are all accident/incident reports easily accessible to all members of staff?

25. Is the organisation's accident/incident rate acceptable in relation to normal industry guidelines?

Review Process

Key Message

A safety management programme is of limited value without consistent monitoring and review. It must involve a review process whereby organisations provide information to an external agency/contractor to measure compliance with Guidelines to Best Practice.

Process

Review of the Stage Two process involves the ongoing maintenance and moderation of compliance to the standards set out in this resource. This ongoing maintenance and moderation is critical to ensuring that your organisation is working to industry standards.

OSI provides a Stage Two Review programme to ensure that your organisation is reaching minimum industry bench marks.

The review involves a desk top audit (paper-based) of the systems the organisation uses for the running of its activities. Organisations are required to send all their documentation to OSI who will review and critique it. OSI will then send your organisation a review document that details those areas where compliance has been met and those areas that require improvements to reach minimum industry standards.

If the organisation feels it is required, the review may involve a site visit. The purpose of the site visit review is information gathering so that a clear and better picture of the degree to which the organisation meets the standards set out in Stage Two is achieved.

It is important to note that the most any review process can assess is a snapshot of how the organisation being assessed was working during the time the reviewer saw it in action.

It is the responsibility of the reviewer to visit activity sites, interview staff and members, observe the project in operation, and verify that the documented safety systems detailed in your approved Stage Two report document place, and are being utilised.

The OSI reviewer will then write a summary report of their findings commenting on the organisation's safety standards only.

It is worth organisations noting that those that have achieved compliance of Stage Two through OSI have met the industry standards acceptable for accreditation by SFRITO and will not require an industry visit as part of their accreditation process.

Stage Three

Key Message

Audit plays an important role in moderating safety performance in line with the Guidelines to Best Practice. It allows independent scrutiny of safety programmes and also provides the necessary checks and balances to promote consistency across the risk recreation industry.

Process

From time to time (OSI recommends at least once every three years) the Organisation will organise an independent safety management contractor to measure compliance of the organisation against the Key Indicators detailed in Stage Two of the Guidelines to Best Practice.

Methodology for the OSI Audit

The OSI audit is based on a people and, therefore, a behavioral approach to safety, as opposed to the more traditional industry approach.

Safety effectiveness is a function of employee behavior which, in turn, is dependent on a number of factors and interactions. Past and current behavioral influences produce current motivation in employees. This motivation to perform, combined with ability, is filtered by the safety system and the environment to produce the final behavior. The audit is devised in such a way to test each of these component parts and their interactions.

The audit is conducted in three ways:

- PART 1: Behavioral influences
- PART 2: Safety system
- PART 3: Physical environment and interaction between all components.

To better understand the component parts and how they will interact on your organisation lets look at each of these aspects of the audit in turn.

PART ONE:

AUDIT OF THE BEHAVIOURAL INFLUENCE

(Method of auditing = staff attitudes survey)

The final safety effectiveness of an individual staff member depends on their behavior, and this in turn is determined by their motivation to perform and their ability to perform. We ask all staff members to complete a questionaire which gives us a clear indicator of current attitutes to safety.

PART TWO:

AUDIT OF THE SAFETY SYSTEM

(Method of auditing = checklist audit with weighting)

The safety system currently operating within your programme is audited in relation to contemporary standards. Three major principles are used as measures of contemporary practice:

- quality management
- systems safety
- multiple causation

This gives us the rationale for the main categories under which PartTwo of the audit is grouped:

1) Management Decision Processes
2) Work Flow Processes
3) Hazard Analysis Processes
4) Information and Monitoring Processes (including performance).

PART THREE:

AUDIT OF THE PHYSICAL ENVIRONMENT AND OTHER FACTORS.

(Method of auditing = safety sampling)

One of the newer methods to measure safety effectiveness in the field is known as safety sampling. Safety sampling is based on the principle of random sampling inspections to determine quality of output without making 100 percent inspections. Like all accountability systems, safety sampling is also a good motivational tool, as each person wants to be sure they are operating as safely as possible when the sample is taken.

Safety sampling works by first preparing a code of unsafe and safe practices and conditions that may be observed in the activity to be audited. The sample

is then taken by checking each of the listed practices or conditions as they display themselves in the course of inspection. In this way the number of safe practices and conditions observed can be compared with the number of unsafe practices and conditions. Qualitative notes are made as this is carried out for feedback to the people who were observed at a later time.

Quoting

To implement a comprehensive safety audit need not be time consuming and expensive. OSI is open to negotiating with each client, individual needs to suit budget constraints and ensure best value for investment.
Detailed below are estimates of costs for review and audit processes.

Desk top Audit of Stage One (Self Assessment):
For a small organisation (up to 5 staff): $500.00 plus GST
For a large organisation (up to 15 staff): $1,000.00 plus GST

Desk top Audit of Stage Two :
For a small organisation : $750.00 plus GST
For a large organisation : $1,500.00 plus GST

The inclusion of a site visit will cost $450.00 plus GST per day on site plus payment of one days preparation.
Stage Three Audit:
For a small organisation: $2,500.00 plus GST
For a large organisation (up to 15 staff):from $5,000.00 plus GST
All Stage Three Audits require a site visit.

These costs are estimates only and each case is open to negotiable terms and conditions.

All enquiries should be made to:

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