

Adventure Activities Licensing Authority

44 Lambourne Crescent, Cardiff Business Park, Llanishen, Cardiff CF14 5GG
Telephone (029) 20755715 Fax (029) 20755757 e-mail : info@aala.org.uk website : www.aala.org.uk

Self Assessment and Guidance

**for
Providers of Adventure Activities**

based on

The Adventure Activities Licensing Scheme



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Contents:

Outline details of the provider	(iii)
About this self assessment and guidance pack	(iv)
Guidance Notes	(v)
Glossary of terms	(viii)

Section A: People

A1	Activity Leader Qualifications	1
A2	Approved Technical Advisors	2
A3	The Qualifications 'Matrix'	4
A4	The Deployment Matrix	5
A5	Daily Deployment of Leaders	6
A6	Clarity of Responsibility	7
A7	Recruitment of Activity Leaders	8
A8	Induction of Activity Leaders	9
A9	Monitoring & Appraisal	10
A10	Activity Leader Training	11
A11	Recording of Training	12
A12	Staff Turnover	13
A13	'Freelance' Staff	14
A14	Volunteers	15

Section B: Procedures

B1	Written Operational Procedures	16
B2	Updating of Operational Procedures	17
B3	Formal Risk Assessment	18
B4	General Meetings for Activity Leaders	20
B5	Incident, Accident & Emergency Procedures	21
B6	Incident, Accident and Emergency Records & Reviews	22
B7	Ease of Contact & Lines of Communication	24
B8	Location of Overdue Activity Groups	25
B9	Modification of Venue or Activity	26

continued

Section C: Activities, Facilities and Equipment

C1	Appropriate Activities	27
C2	Modification of Activities or Venue	28
C3	Range of Equipment	29
C4	Hired Equipment	30
C5	Equipment provided by Participants	31
C6	Use of Activity Leaders' Personal Equipment ...	32
C7	Maintenance of Equipment	33
C8	First Aid Equipment	34
C9	First Aid Qualifications	35
C10	Unaccompanied Activities	36
C11	Supervision of Unaccompanied Activities	37
C12	New or Unfamiliar Venues	38
C13	National Governing Body Centre Accreditation & Approval Schemes	39
C14	Other Safety or similar Inspections	40
C15	Other Safety-related Statutory Requirements ...	41
C16	Insurance	42

Appendix1: Risk assessments from scratch (A1)

Appendix 2: The Conrad Process: 'An approach to risk assessment for existing providers of adventure activities'. (A3)

For further information contact:

**The Adventure Activities Licensing Authority
17 Lambourne Crescent
Cardiff Business Park
Llanishen
CARDIFF
CF14 5GF
Tel: 029 2075 5715**

**or the Health and Safety Executive Infoline
Tel: 08701 545500**

Outline Details of Provider

A. Name of owner, organiser, company, club, unit, group or other organisation, etc.

B. Operations Base or Centre - or Trading Name
(if different to above)

C. This application was completed by:

(Name) _____ (Sign) _____

D. Position within the organisation.

E. Date completed

About this self-assessment and guidance pack:

Why?, Who? and What?

Why?

- This process will help you to focus on how to manage the safety of your own operation.
- Completing the questionnaire guides you through many of the issues relating to the management of safety in outdoor adventurous activities.
- As a new provider, or indeed as an ‘old hand’, a structured approach to safety management can unearth safety issues that you hadn’t thought of, or considered.
- You may find the Appendices useful as a guide to carrying out a written risk assessment of your organisation.

Who?

- If you arrange, or lead, outdoor adventurous activities for other people (of any age), whether in a professional, or voluntary capacity then this guidance pack is relevant.
- It is particularly relevant if you offer the same or similar activities to those covered by the Adventure Activities Licensing Authority, even if you operate them at a lower level of risk than is covered by the Regulations:
 - for example, canoeing on very small lakes, or rock climbing on purpose-built climbing walls.
 - or if you only work with adults (over 18 years)
- Even if the activities you are involved in are not covered by the Licensing Regulations (for example, motor sports, flying, bungee jumping etc.), the principles examined in the questionnaire will be equally relevant.

What?

- The Self Assessment questionnaire format was developed from the British Quality Foundation model. The questions however are based on the experience of the Adventure Activities Licensing Authority inspectorate following inspections carried out under the Licensing Regulations. The collective experience of this team of outdoor professionals has been tapped to produce an invaluable self-assessment tool for providers of outdoor adventurous activities.
- ‘Risk Assessments for new providers of adventure activities (Appendix 1) and The Conrad Process’ - Risk assessment for existing providers of adventure activities (Appendix 2) are each designed to assist in safety reviews. Each adopts a 5 step approach, identifying those areas where improvements should be made and helping you to prioritise and plan these improvements. It will be most useful when used in conjunction with the Self-Assessment Questionnaire to plan your remedial and development measures.

Guidance Notes

The self assessment pack is divided into three sub-sections;

- **A. People**
- **B. Procedures**
- **C. Activities, Facilities and Equipment**

General format:

The pack is based on the topics which are or may be raised by Licensing Authority Inspectors at inspection. In the notes which accompany each topic we will try to outline pointers which may be useful with regard to that particular topic, based on current 'good practice'. However, it is not our intention to tell you exactly how you should run your activities safely. That is, and must always remain, your responsibility. Instead, the notes will guide you towards systematic approaches that you should consider, or which may be appropriate for your own particular circumstances.

These notes will be followed by usually five statements that describe a range of approaches to a particular aspect of safety management. You select the statement under each section that best describes your approach to that topic. You should choose the most appropriate statement that fits or is closest to your particular situation.

Not all topics will be relevant to all providers. For example, if you are a sole trader, you cannot be expected to have a policy for the recruitment of other staff, or if you are a Church Youth Group, you are unlikely to have formal, minuted staff meetings. If you feel that giving a rating for a particular topic is genuinely not relevant (as opposed to a topic which you simply haven't thought about, or made provision for), use the box at the start of the topic to indicate that this is the case, and your reasons for thinking this.

In some sections, you may find that you fall between 2 ratings. In this case you may answer, for example, 'B+', or 'C-', depending whether you're closer to one than the other. If none of the listed options is even remotely close you may complete the "*Other, please specify*" section and then, if you wish, give yourself an appropriate rating (A - E). Please use this 'alternative answer' sparingly as the statements have been carefully thought out to include the most common approaches to the topic.

You should not think of these ratings in terms of PASS or FAIL - they are merely diagnostic indicators.

It is very important that you read each part of each question very carefully as the difference in the wording may be slight but the difference in the meaning quite significant. You may choose to complete the pack over a period of weeks or all in one go. Similarly you may choose to consider it on your own or you may choose to complete it in conjunction with other people so that you reach agreement on each point! The mere process of discussion of these topics is of course, useful in itself.

And of course, be honest in your self-assessment.

An example follows which may clarify the process.

Example:

E14 Mountain Walking

Rating:	
(Enter A,B,C,D or E)	

Enter here the rating that is most appropriate to your organisation

✓	Topic not relevant	because
---	--------------------	---------

Indicate here if the topic is not relevant to your organisation, as might be the case if you were only offering watersports.

There will then be some basic guidance on the topic. e.g.

In summer conditions, when we lead or supervise groups in mountainous or moorland terrain that is remote from help it is clearly important that those leading the activity are competent to do so.

Then select the 'rating' A - E, which best fits your organisation.

A	All leaders/supervisors are experienced mountain walkers who hold the summer ML award (at least)
B	Some leaders/supervisors hold the ML award, the remainder are experienced walkers and have attended an ML Training course
C	All leaders/supervisors are experienced mountain walkers whose experience has been ratified.
D	All leaders/supervisors are experienced mountain walkers
E	Leaders/supervisors are not necessarily experienced mountain walkers
	<i>Other, please specify:</i>

Target rating. (in this case, **A**)

In some instances it is appropriate for us to suggest a 'Target Rating', which it is reasonable for most providers to work towards. In this example, '**A**' would be a reasonable target because it is widely accepted that the Mountain Leader (ML summer) is the appropriate award for this kind of activity. In other instances, particularly where the topic relates more to management structure, there will be no one target rating because of the wide variation in types of provider, from sole trader to local authority department to fund-raising event. It is helpful in these cases if you can set your own target rating, based on 'best practice' within your sector, and what is genuinely achievable.

continued

Normal acceptable minimum rating (in this case C).

Here again, an indication will be given, where appropriate, but with the same proviso as above. It usually reflects the minimum standard expected by the Adventure Activities Licensing Authority inspectors.

Remember that your procedures should be appropriate for your particular circumstances. Consequently, a low rating in one area may well be entirely appropriate; or possibly appropriate if there is a high rating in another area. Or, in some cases, the concept of 'rating' for a particular provider on a particular topic may have little or no real meaning.

However, it is fair to say that generally low ratings across the board might be a cause for concern, whilst generally high ratings may indicate that your approach is a sound one. Remember too, that the smaller and more informal your operation, the more 'inappropriate' you will find some of the topics relating to formal management structure. Don't worry about this - but do bear in mind that some of the functions of management may still be necessary, even if carried out informally.

Planned remedial or developmental measures, including time scale

Space is provided for you to briefly outline what plans you have for changes or improvements. This may refer to more detailed plans which are mentioned elsewhere.

For the above example, you may wish to say:

"within 12 months, 3 of our 4 instructors will have attended mountain leader assessment, and the fourth will have been on a ML Training Course. We will all be having a training day with our technical advisor at the start of the next expedition season"

Glossary of Terms

Activity leader

Used in the context of this document for those people who are responsible for leading (or supervising) the activity or taking a responsible role within it. (You may refer to them as instructors, tutors, supervisors, leaders, instructional staff, etc.) This document sometimes uses some of these other terms such as “staff”, “instructor”, “leader” etc., where the meaning is clear and it makes the phrasing more readable. This still refers to ‘activity leader’ and there is no other shade of meaning intended. The term also includes supervisors of unaccompanied activities etc. In many cases it will exclude trainees, accompanying adults and others who may only have general supervisory roles.

Adventurous activities

An ‘adventurous activity’ in this context is one which:

- generally takes place in a ‘natural’ outdoor environment - although it may be mimicked artificially and/or indoors
- involves a deliberate element of ‘risk’, ‘challenge’ or ‘adventure’;
- requires special skills for its safe management.

Approved technical advisor

An appropriately experienced person, usually with a pre-determined high level of NGB qualification who can be used to assist a provider with, or advise on, various technical tasks. Guidance on appropriate qualifications for technical advisers may be obtained from booklet L77 (see below).

‘On-site’ technical advisor

Refers to someone who is generally in daily contact with leaders when activities are taking place. This does not include those people who may be part of the organisation, but who normally operate from a different site.

In house assessment, validation, approval or ratification

These terms are all related to the process of ensuring that leaders are competent to do their job, particularly where NGB qualifications are either not held, or do not exist. If there is a distinction to be drawn between the terms, then the following statement might throw some light on it. A leader’s competence may be **validated** by some form of **assessment** so that he or she may subsequently be **approved** to operate as a leader, or responsible assistant. To complete the process **ratification** simply means that *written* verification has been obtained.

Matrix

A grid, table, database or display that can show at a glance, for example, what qualifications any particular activity leader has and when it expires; or which leaders are approved to lead a certain activity.

NGB

National Governing Bodies, e.g. the Royal Yachting Association (RYA).

NGB qualifications

Nationally accepted coaching/leadership awards administered by NGB’s, e.g. BCU Level 2 Coach.

Operational Procedures

Rules and practices which any organisation establishes to govern the way it which it operates. In larger organisations these tend to be written down. Some do not change under any circumstances, except following formal review - other may be varied by those with appropriate experience and/or qualifications. You should be aware which of your practices are 'guidance' and which are 'rules'.

Provider

Anyone (either an individual or an organisation) who is responsible for arranging adventurous activities for other people, either voluntarily or in return for payment, and who has control over the instruction or leadership, the venues, safety arrangements etc.

RIDDOR

Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 1995 (RIDDOR 95)

Sole Provider

A one-person organisation. If you regularly employ, or use others you should really be referred to as a 'small-scale provider'.

Although produced by the Health and Safety Commission primarily to assist and guide the Adventure Activities Licensing Authority, you may find it useful to obtain a copy of the booklet **"Guidance to the Licensing Authority on the Adventure Activities Licensing Regulations 1996"**. This bears the code L77, and is available from HSE Books, Tel: 01787 881 165, (Cost £9) or any HMSO and has the book reference ISBN 0 7176 1160 4.

As well as 'setting the scene', it contains helpful definitions of many of the terms used in conjunction with Adventurous Activities, much discussion of 'good practice', and offers sound guidance on appropriate levels of qualification.

Section A: People

A1 Activity Leader Qualifications

Rating:

<input checked="" type="checkbox"/>	because
Topic not relevant	

The term 'Activity Leader' may include people whose 'contractual' arrangements might be described in one, several or all of the following ways:

- permanent, semi-permanent, retained
- freelance, seasonal, part-time,
- volunteer, trainee, apprentice.

The competence and integrity of activity leaders is probably the single most important factor for assuring safety and good practice. Competence in this field is a mix of experience, certification (qualifications) and the ability to work with people. Mere technical ability, though vitally important from a safety point of view, is not likely to be sufficient in itself. You will also have to satisfy yourself that the people who run activity sessions have the other necessary attributes as well as technical competence (as evidenced by their activity qualifications).

A	Every activity leader holds the relevant NGB qualifications for each activity they lead.
B	Most activity leaders hold relevant NGB awards for most of the activities they lead, and in all other cases their competence is ratified by an 'approved' (see section A2) technical advisor.
C	Where activity leaders do not hold the relevant NGB qualifications, or where these do not exist, their competence is ratified by an approved technical advisor
D	Most people who lead groups are deemed competent because of the in-house training and subsequent ratification they receive.
E	There is no policy on verifying the competence of people who lead activities
	<i>Other, please specify</i>

Target Rating: **B**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

A2 Approved Technical Advisors

Rating:

	✓	because
Topic not relevant		

A technical advisor is someone with a recognised level of specific expertise generally higher than is required for leading or supervising the activity at the level offered. They may either be the provider (or another person within the organisation), or they may be brought in to advise if this expertise does not exist "in-house". You will need at least one technical adviser for each activity you offer, although in some cases, one person may have the appropriate expertise across a range of activities.

The role of technical advisors, when required, is to:

- Advise the provider about nationally accepted standards and codes of good practice.
- Advise or help the provider to meet these standards.
- Help the provider to decide if staff are sufficiently skilled and trained to operate at these standards.

Generally, a technical advisor would be someone who:

- Is sufficiently experienced and mature to make necessary judgments.
- Has an appropriately high level of technical skill (usually determined by the relevant NGB).
- Has a good knowledge of the organisation, its management, activity leaders etc.
- Is up to date on modern trends, equipment and practices.

The booklet, "Guidance to the Licensing Authority" gives useful guidelines, based on NGB advice, on appropriate levels of qualification for technical advisers. 'Approved' technical advisors will normally hold these qualifications as a minimum. In exceptional circumstances, very experienced holders of lesser qualifications may be acceptable, but 'approval' in these cases can only be given on an individual basis.

As general rule, the less experienced and less qualified the activity leaders are in relation to the level at which they are asked to operate, the more input you will need from your technical advisor. Use your technical advisors as a resource; they can make the process of management easier although in no way do they ever replace it.

A	All activities have an approved technical advisor within the on-site staff.
B	Some activities have an approved technical advisor within the on-site staff. The remainder are also approved and are consulted or brought in as and when they are needed
C	All technical advisors are approved but are off-site.
D	Some activities do not have an approved technical advisor (see glossary)
E	Some or all activities do not have a technical advisor, either NGB qualified or not.
	<i>Other, please specify.</i>

Note: those without their own 'site' may still be able to answer **A** or **B** by interpreting 'on-site' as meaning 'actively involved at the same place and same time as the activities'

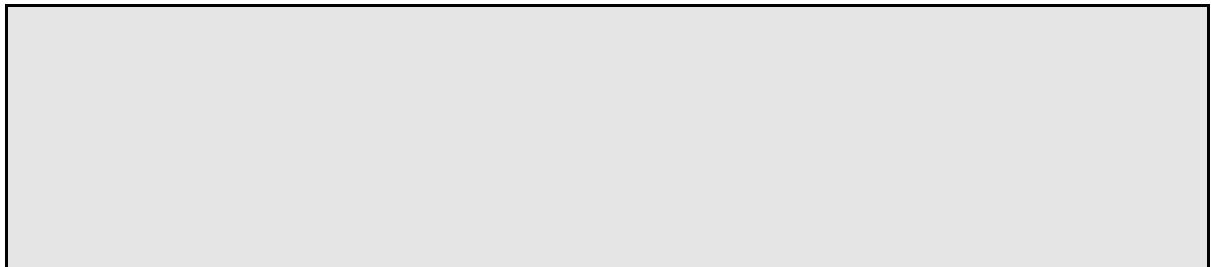
continued

A2 (continued)

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)



A3 The Qualifications 'Matrix'

Rating:

	because
Topic not relevant	

Even in small organisations it is very difficult to keep a track of who holds which award, when their qualifications expire, etc. Some sort of prompt, such as a grid, table, database or matrix of activity leaders and their qualifications (including in-house validations), can help greatly.

A	There is an up-to-date matrix of all activity leaders, and all qualifications (including in-house approval where appropriate), with renewal or revalidation details where applicable.
B	There is an up-to-date matrix of all activity leaders, and all qualifications including in-house approval (where appropriate).
C	There is an up-to-date list or matrix of key activity leaders and all qualifications including in-house approval (where appropriate).
D	There is a list of activity leaders' NGB qualifications.
E	No records of activity leaders' qualifications are kept.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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A4 The Deployment Matrix

Rating:

	because
Topic not relevant	

Closely related to the qualification matrix is a deployment matrix that relates all activity leaders to the activities they have been approved to lead or supervise. In some cases, typically for organisations with a large number of staff or volunteers and/or a high turnover of leaders, this document is vital for planning, programming and approving activities. In some instances, particularly where in-house validation of competence is used, it may also be necessary to restrict approval to particular sites, areas, hazard levels, or seasons, rather than awarding a simple, blanket approval for the particular activity.

A	There is a matrix of all activity leaders, and all activities (with restrictions where relevant) showing which ones they can: a) lead or b) assist with.
B	There is a matrix of all activity leaders, and all activities (with restrictions where relevant) showing which ones they can lead.
C	There is a matrix of all key activity leaders and all major activities that they can lead.
D	No record is kept of who can lead which sessions.
E	It is not known who can lead which session.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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A5 Daily Deployment of Leaders

Rating:

	because
Topic not relevant	

Deployment meetings, usually daily, are an important factor for most organisations and form a major part of risk management, particularly when less-experienced leaders are involved. If weather or similar circumstances change, appropriate actions will have to be taken, appropriate people deployed (or re-deployed) or plans modified to prevent a difficult or dangerous situation from developing. Prevention, as ever, is better than cure, so the person who controls this aspect plays a pivotal role. This task can become more critical with larger organisations, and some hard decisions may need to be taken, especially when many weeks or months of preparation are involved. Note that the final vetting of whom does what on the day may be more significant than the initial allocation of staff to activities. These two functions may well be performed by different people.

Some organisations may deploy experienced activity leaders to operate away from a central control for several days at a time. This may mean that you allocate yourself an 'E' rating, which should prompt you to ensure that the rating you allocate in other areas, particularly **A1** (qualifications), **A8** (induction), **B1** (written operational procedures), **B5** (incident, accident and emergency procedures), etc. are high.

A	Specific duties are vetted on a daily basis by someone who is the approved technical advisor in each activity, and has detailed knowledge of the venues, and the abilities of each leader.
B	Specific duties are vetted on a daily basis by someone who is an experienced practitioner in each of the activities, and has detailed knowledge of the venues and the abilities of each leader.
C	Specific duties are vetted on a daily basis by someone who is an experienced practitioner in most of the activities or who has detailed knowledge of the abilities of each leader.
D	Specific duties are vetted on a daily basis by a senior person.
E	Activity leaders are responsible for their own daily deployment decisions..
	<i>Other, please specify.</i>

Target Rating: **B**
(for most, but note comments above)

Normal acceptable minimum Rating: **C**
(generally, but again note comments above)

Planned remedial or development measures,
(including your proposed time scale)

--

A6 Clarity of Responsibility

Rating:

Topic not relevant

because

There are many things to be done in order to assure the safety of participants before embarking on any adventurous activity. Weather forecasts will need to be obtained, coastguards may need to be notified, checks on clothing and equipment should be made, transport arranged, briefings carried out, medical information sought etc.

If there is a lack of clarity as to who is responsible for each of these matters, then oversights can occur. Matters can cascade out of control, particularly after an incident, accident or even a minor emergency, unless those involved are aware of what is expected of them, and the boundaries of their responsibilities, if any. Everyone should be clear as to precisely what their role entails.

A	All staff (including activity leaders, supervisors, assistants, accompanying adults in positions of responsibility, visiting teachers etc.) and all participants are given a written brief about their roles and responsibilities at the start of their involvement, supported by discussion and clarification on an on-going basis.
B	All staff (including activity leaders, supervisors, assistants, accompanying adults in positions of responsibility, visiting teachers etc.) and all participants are given a verbal briefing about their roles and responsibilities at or before the start of their involvement, supported by discussion and clarification on an on-going basis..
C	Areas of responsibility are discussed and agreed between activity leaders, supervisors, assistants and any accompanying adults (in positions of responsibility) at or before the start of the activity.
D	Areas of responsibility are taken as understood or are advised as and when necessary.
E	There is no agreed picture of who is responsibility for what.
	<i>Other, please specify.</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

(but may be **A** for some large, complex events)

Planned remedial or development measures,
(including your proposed time scale)

A7 Recruitment of Activity Leaders

Rating:

Topic not relevant

because

Activity leaders do need to be technically competent, but that's only part of it. For example, you will need to judge if they are sufficiently mature to make appropriate decisions, possibly whilst under stress. This may involve you in looking at their personal qualities and their background of experience.

In deciding this you may find that you run worryingly close to issues such as discrimination, an individual's right to privacy, personal prejudices, etc. or even the Data Protection Act or the Rehabilitation of Offenders Act. It can be extremely difficult but you also have a legal obligation towards people in the care of your organisation and this includes an obligation to ensure that you engage appropriate people.

A	Before they are engaged, potential leaders are interviewed, they are observed instructing, originals of qualifications are examined, references are taken up, police and similar checks are carried out where applicable, applicants are questioned about criminal records and convictions, and their driving licence is examined where applicable.
B	Before they are engaged, potential leaders are interviewed, observed on activities, and the originals of their qualifications examined .
C	Before they are engaged, potential leaders are interviewed and copies of their qualifications examined.
D	Before they are engaged, potential leaders are interviewed, either formally or informally.
E	There is no agreed policy or common practice when engaging activity staff.
	<i>Other, please specify.</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

--

A8 Induction of Activity Leaders

Rating:

	because
Topic not relevant	

This issue should generally rank in importance second only to leaders' competence. Knowing that someone has the technical skills to do the job does not necessarily mean that they can perform it to your satisfaction with the particular client group you operate with, or at particular venues, or with the emphasis that you require. This function cannot be satisfactorily replaced with guidance notes. Nor will NGB qualifications on their own prepare a relatively inexperienced leader for the specific problems of particular venues.

Ideally induction should take place with the person who has the highest level of technical competence and the best overview of all the issues involved. As a minimum it should be run by someone who is highly experienced in those particular circumstances. Conversely, using last year's temporary trainee to induct next year's temporary trainee may simply ensure that bad practice is passed on from year to year.

The content of induction may be influenced by the experience and qualifications of the individual, although these are unlikely to remove totally the need for some practical induction. Thus a low rating here would call for a high rating in areas such as **A1** (qualifications), **B1** and **2** (operational procedures), **B5** (incident, accident and emergency procedures), etc.

'Site' here is used to describe a well-defined area of operation, such as a lake, gorge, ropes course, crag, or a pool on a river etc. Site-specific induction with experienced staff may not always be necessary where 'journeying' is involved, providing a sound overall assessment of risks has been carried out which should also identify those parts of the journey of highest risk.

A	All activity leaders are inducted in all activities at all sites by an experienced 'senior instructor' or technical adviser before they lead that activity.
B	All activity leaders are inducted in key activities at all key sites by a senior instructor or technical adviser before they lead the activity
C	All activity leaders are inducted in all key activities at all key sites by another competent instructor before they lead that activity
D	Some activity leaders are inducted in some activities by a competent instructor before they lead that activity
E	There is no policy of activity leader induction before they lead an activity.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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A9 Monitoring & Appraisal

Rating:

	because
Topic not relevant	

Even though you may have carried out a thorough induction, it is still not generally appropriate to leave leaders entirely to their own devices. Some periodic follow up, even of experienced and/or well qualified people should take place, both from a training point of view and from the point of view of ensuring that they are still doing what you think they are doing.

Formal appraisals frequently take the form of an interview. However, if a person's activity is largely practical then it is appropriate that the appraisal is also practical, or at least based on observation of the practice. Most people who go through appraisal agree that in spite of it being difficult to organise, and in spite of it occasionally being a bit awkward or embarrassing, it is actually a uniquely valuable opportunity for a two-way exchange of views. In particular, it is likely to be a vitally important means of ensuring that safety standards are being met.

A	All activity leaders are involved in systematic practical appraisal sessions (whilst leading activities) where they are observed by 'managers'.
B	All activity leaders are involved in systematic practical appraisal sessions (whilst leading activities) where they are observed by an appropriately experienced senior person .
C	All activity leaders are observed on a regular basis by an appropriately experienced senior person, whilst leading activities.
D	Some activity leaders are observed by an appropriately experienced senior person, whilst leading activities.
E	There is no policy of monitoring and appraising leaders after their initial induction
	<i>Other, please specify</i>

Target Rating: **B**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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A10 Activity Leader Training

Rating:

Topic not relevant

✓ because

For a 'work-place' organisation, where leaders are 'employed', it is the employer's, (or manager's, or coordinator's) responsibility to provide on-going training for their activity staff. Training should be personalised to address the training needs of each individual and should not be seen just as a convenient way of using up a couple of weeks when other activities have quietened down. Voluntary and other organisations have the same responsibility to provide training and they still need to ensure somehow, that their leaders are sufficiently well-trained (and kept up-to-date) to manage all the risks adequately.

If you use a 'network' of well experienced and qualified leaders and coaches on an 'as and when' basis, then it is accepted that each individual may take responsibility in a large part for their own training and professional development. However, there is still much merit in group staff training as a means of establishing common ground in safe practices. There is also the danger here that different parts of the team, through unfamiliarity, may simply not be able to work effectively together in the event of an incident or similar unusual occurrence.

A	There is an individual training programme for each activity leader that addresses their individual needs, with regular training throughout the year.
B	All leaders receive training and for most there is an individual training programme. Training takes place throughout the year.
C	All leaders receive training. Training takes place generally at the start of the season and/or at quieter times of the year.
D	Staff training sessions generally takes place at the start of the season and/or at quieter times of the year.
E	There is no formal training for activity leaders.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

A11 Recording of Training

Rating:

Topic not relevant

because

It is more important that the training happens and less important that it is recorded. However, if sessions are recorded it makes it easier to subsequently remember what has been done and with whom, and so to plan future sessions more productively.

A	There is an individual training log for each leader where details are kept of all internal and external, training and assessment (both formal and informal)
B	There are records of all formal training leading to internal validations and external awards, together with outcomes of all such assessments.
C	There are records of all in-house and external assessments (but not of training).
D	Some details of instructional staff training sessions are recorded.
E	Staff training is not generally recorded.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

A12 Staff Turnover

Rating:

Topic not relevant



because

This section includes assistant activity leaders, apprentices, trainee leaders etc. but excludes part-time or freelance leaders - see Section **A13**)

Staffing structures are becoming ever more complex. However, it is generally accepted that a low turn over of staff is more likely to create a better safety culture within any organisation. Permanent activity leaders who operate all year may reasonably be supplemented with well-experienced 'retained seasonal leaders' who return year after year and operate throughout the main season. They could almost be considered as permanent in terms of induction, understanding of the operation, responsibility, etc.....

At times it can be difficult to accurately distinguish between different categories of full time activity leaders: permanent, retained seasonal, or seasonal, etc.

If only a few people are kept on from one year to the next then lessons learnt in one year are easily lost unless there is a meticulous culture of recording and disseminating the lessons learnt. A low rating here would need a high rating in areas such as **A8** (induction) and **A9** (monitoring), **B1 & 2** (operational procedures), **B4** (staff meetings), **B5** (incident, accident and emergency procedures), etc.

A	Most current activity leaders have been actively involved with the organisation on a year-round basis for over two years.
B	Most current activity leaders have been actively involved with the organisation throughout the operating season for over two years.
C	Most current activity leaders have been actively involved with the organisation throughout the operating season for over one year.
D	Some activity leaders change at least annually
E	Most activity leaders change at least annually
	<i>Other, please specify</i>

Target Rating: (not meaningful)

Normal acceptable minimum Rating: **D**

Planned remedial or development measures,
(including your proposed time scale)

A13 'Freelance' Staff

Rating:

	✓	
Topic not relevant		because

'Freelance' here includes casual, irregular or part-time activity leaders

It can be hard to control what is happening and who has been inducted, up-dated or observed when there is a large ever-changing pool of activity leaders. If circumstances allow, it is generally better to keep part-time leaders down to a 'core' team of well-qualified and experienced freelance instructors, who are used on a regular basis and are fully inducted in the operation.

Some organisations rely largely on a network of independent freelance leaders. Even where the relationships are long-term care must be taken to keep people up-to-date and with disseminating safety information. A low rating here would generally require higher ratings with **A5** (Deployment of leaders), **A8** (Induction), **A9** (Monitoring), **B1** and **B2** (Operational procedures), **B5** (Incident, accident and emergency procedures), **B7** (Lines of communication), etc.

A	Freelance or similar part-time activity leaders are never used.
B	Freelance or similar part-time activity leaders are not generally used.
C	A limited number of 'retained part-time' activity leaders are each used on a regular basis, and are fully inducted into the operation's procedures.
D	Many of the activity leaders are engaged on a part-time basis.
E	Most of the activity leaders are engaged on a part-time basis.
	<i>Other, please specify</i>

Target Rating: **C**

Normal acceptable minimum Rating: **D**

Planned remedial or development measures,
(including your proposed time scale)

A14 Volunteers

Rating:

Topic not relevant



because

When an organisation such as a voluntary youth club, or a sports club for example, relies largely or exclusively on volunteer effort for organising adventurous activities, or as a means of helping young or disadvantaged groups of people, it sometimes seems harsh to apply 'professional' standards to their leaders. However, the same risks still exist, whether the leaders are paid or not, and a tragedy involving a group lead by well-meaning, but not very competent 'amateurs' is still a tragedy.

A	We expect the same level of experience and qualification from our volunteer activity leaders and supervisors as we would from a 'professional' engaged to do the same job, and we check up periodically to ensure that what they are doing is satisfactory.
B	We expect the same level of experience and qualification from our volunteer activity leaders and supervisors as we would from a 'professional' engaged to do the same job
C	We check that all activity leaders and supervisors are sufficiently experienced and qualified for what they're proposing to do.
D	We carry out some vetting of leaders' and supervisors' technical competence.
E	We're grateful for all offers of help and rely on the commonsense of the individual leader or supervisor to limit activities to areas where they feel they are competent.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

B: Operational Procedures

B1 Written Operational Procedures

Rating:

<input checked="" type="checkbox"/>	because
Topic not relevant	

Operational procedures are one way of relaying to activity leaders and their assistants what is expected of them. They should generally outline:

- Who can run sessions. Reference should be made to what qualifications or ratification of competence is required of the person leading the session.
- What they are expected to do under normal conditions and circumstances.
- What they are expected to do in the event of an incident, accident or unusual group or event.
- What site specific hazards may be encountered over and above the norm that may be expected for that activity.

They should be based on a realistic assessment of the overall risks, taking into account the likely competence of the groups, the competence of the activity leader (and assistant where necessary) the likelihood of something going wrong and the likely consequences if it does go wrong.

They should be sufficiently brief so that they can be easily read and the information retained by the activity leaders and assistants who use them. You should be careful not to think that these documents are a substitute for training. In some cases they may be best thought of as 'hand-outs' which accompany activity leader training. In others they may form an *aide memoir*, or induction check list.

Moreover, the law requires that if you have **five or more** employees then you must have written procedures to cover their duties.

A	Separate written operational procedures are maintained for each activity and for each venue
B	Written operational procedures are maintained which cover all venues and all activities
C	Written operational procedures are maintained which cover all activities.
D	Written operational procedures are maintained which cover some activities
E	There are no written operational procedures.
	<i>Other, please specify</i>

Target Rating: **B**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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B2 Updating of Operational Procedures

Rating:

<input checked="" type="checkbox"/>	<i>because</i>
Topic not relevant	

Operational procedures should be neither inflexible nor immovable. As circumstances change, for instance if there is a change of venue or new equipment is introduced, or you get some feedback from an incident which occurs, then appropriate changes may be necessary. If you make a change, then you must ensure that everyone is made aware of it - and that includes, for example, the freelance instructor who is only involved with you once every six months or so.

Of course, making sure that people read things is a different matter. Regular meetings are an ideal opportunity to raise, discuss and agree such issues. During an induction period you should allot time for reading and discussion. It is unlikely to be sufficient just to say; "Take this home and read it!"

A	Operational Procedures are reviewed pro-actively at regular intervals. In addition, specific operational procedures are reviewed as a result of reported incidents (near-misses, equipment damage, feedback from participants, accidents, etc.). Resulting updates and revisions are relayed to all relevant activity leaders before the activity recommences.
B	Operational Procedures are reviewed annually. In addition, specific operational procedures are reviewed as a result of reported incidents (near-misses, equipment damage, feedback from participants, accidents, etc.). Changes in operational procedures are relayed to all activity leaders annually.
C	Operational Procedures are reviewed in the event of a significant incident and updates are relayed to all relevant activity leaders.
D	Specific operational procedures are revised largely as a result of accidents and near-misses.
E	There is no policy to update operational procedures
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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B3 Formal Risk Assessment

Rating:

<input checked="" type="checkbox"/>	<i>because</i>
Topic not relevant	

A risk assessment is the balance between the hazards that may be encountered and the measures that are taken to safeguard against them. In adventure sports this generally means deciding which hazards are going to be controlled (and how) and which avoided. This in turn will be influenced by the age and ability of the participants and the experience and competence of the activity leaders.

Much of the work is implicit within the codes of practice of governing bodies and their resulting training programmes and qualifications. However, these must be set in the context of site-specific hazards and operational-specific circumstances which no national scheme can take account of. It remains your responsibility to identify and control these.

Risk assessments can take many forms. A standard Health and Safety Executive '5-Steps to Risk Assessment' is only one approach. The outdoor community is fortunate enough to have a comprehensive training and accreditation tradition. This makes it much easier for providers to implement a safe system, but it is often more complex in that competent individuals (experienced, well-trained, highly qualified) may be permitted to take a more autonomous approach to how they operate. Providers may wish to consider different aspects of risk assessment:

Site-Specific Risk Assessment	Many venues have particular hazards associated with them that may not be obvious. Best described perhaps as 'local knowledge'. e.g. "There are metal spikes just under the water on the left hand side of Stanley Rapid so always run it on the right".
Sport-Specific Risk Assessment	This looks at the risks associated with a particular sport e.g. canoeing. Generally the control measures are well covered by the NGB training and qualification structures.
Generic Risk Assessment	This may group a number of related activities together, e.g. watersports. Thus a canoe instructor is likely to have many of the skills and the awareness to safeguard an improvised rafting session.
Operational Risk Assessment	This is specific to the particular operation. e.g. the risks associated with operating a canoeing session in the vicinity of a club house may be significantly different to those associated with undertaking even a short journey.

The format of the written risk assessment you use may contain elements of all of these. However perhaps the best way of thinking of a written risk assessment is as a checklist of things you would mention to new activity leaders during their induction period.

Implicit in this is that you have already decided what level of competence or qualification you require of your activity leaders in that situation, and what sort of groups and situations they will be facing. Appendices 1 and 2 may help you to prepare an appropriate written risk assessment for your organisation.

Finally, it is not the risk assessment which drives safety but the outcome. What counts is how the operational procedures take account of the assessment of the risks involved in the activities.

continued/

B3 (continued)

A	Separate risk assessments have been carried out for each activity and each significant venue , and the results recorded. Key issues have been incorporated into operational procedures.
B	Overall risk assessments have been carried out which cover all activities and all venues . Key issues have been incorporated into operational procedures.
C	Our risk assessments are integral within our written operational procedures, activity leader induction process and staffing policy.
D	Our risk assessments are integral within the National Governing Body training and qualifications of our activity leaders.
E	There is no formal process of identifying risks.
	<i>Other, please specify</i>

Target Rating: **A**

In some cases this may only amount to checking that your existing procedures adequately control the risks of different activities or at specific venues.

Normal acceptable minimum Rating: **C**

These is a legal requirement on employers with 5 or more employees to maintain a written risk assessment covering the hazards they may encounter at work. In other circumstances **C** seems a reasonable acceptable minimum.

Planned remedial or development measures,
(including your proposed time scale)

B4 General Meetings for Activity Leaders

Rating:

Topic not relevant



because

These are an excellent means of fulfilling a range of obligations related to safety. The practice should be encouraged especially in larger organisations. All activity staff should have the opportunity to attend, including, part-time and freelance instructors.

Time to develop and discuss ideas is important in these meetings. They can not therefore normally be incorporated into daily or similar deployment meetings where time pressure is a factor.

A	Formal meetings usually attended by all (or nearly all) activity leaders take place on a frequent basis throughout the operational season. Operational procedures relating to safety and good practice are discussed and recorded.
B	Formal meetings attended by most activity leaders take place on a frequent basis throughout the operational season. Operational procedures relating to safety and good practice are discussed and recorded.
C	Formal meetings attended by some activity leaders take place at least once during the operational season. Operational procedures relating to safety and good practice are discussed and recorded.
D	Formal meetings of management, where operational procedures relating to safety and good practice are discussed and recorded, take place at least annually.
E	Meetings where operational procedures relating to safety and good practice are discussed take place informally or not at all.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

(but this may not be meaningful for some organisations.)

Planned remedial or development measures,
(including your proposed time scale)

B5 Incident, Accident & Emergency Procedures

Rating:

Topic not relevant

because

These written procedures should not be seen as a substitute for training, but as an accompaniment, or induction check list. You can't expect to cover everything. One approach is to address both ends of the scale.

- Provide guidance for those minor situations which are comparatively common and therefore quite likely to occur, such as transport failing to arrive (or breaks down) or what to do if someone sprains or twists an ankle, and also:
- Provide guidance for the more serious or worst case scenario such as a serious or fatal accident.

Some of these solutions will be applicable anywhere; others will be very site specific.

A	Separate written incident, accident and emergency procedures are maintained for each activity and each venue. These are covered during the induction of activity leaders, are periodically reviewed , and are practised in the form of rescue exercises, disaster clinics or simulated incidents.
B	General, written incident, accident and emergency procedures are maintained which cover all activities and all venues. These are covered during the induction of activity leaders, and are periodically reviewed , and are practised in the form of rescue exercises, disaster clinics or simulated incidents
C	General, written incident, accident and emergency procedures are maintained which cover all activities and all venues. These are covered during the induction of activity leaders, and are periodically reviewed .
D	No written incident, accident and emergency procedures are maintained . They are, however, covered during the induction of activity leaders.
E	No written incident, accident and emergency procedures are maintained.
	<i>Other, please specify</i>

Target Rating: **B**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

B6 Incident, Accident and Emergency Records & Reviews

Rating:	
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B6
Topic not relevant

✓	<i>because</i>
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Reviewing significant ‘incidents’ as well as accidents is an important way of trying to make sure it doesn’t happen again. One of the advantages of working for an ‘organisation’ as opposed to being a ‘sole operator’ is that everyone should be able to benefit from everyone else’s experiences.

Remember that it is generally not illegal to have an accident. Concern would be raised, however, if the provider has the same or similar accident re-occurring. Be careful, on the other hand, not to over-react to an extremely isolated case if you think it is most unlikely to reoccur. And be equally careful to avoid complacency.

Once there has been a serious accident or a particularly ‘dangerous’ occurrence, there are legal requirements to report it to the appropriate Health and Safety Executive or Local Authority Environmental Health Department (‘enforcement agencies’). In some cases this may not include those situations where you send someone to hospital to check if there is, for instance, a broken bone and where the diagnosis in hospital is that there is only a minor injury such as bruising. Reporting requirements are more stringent in the area where a member of the public (and this includes activity participants) as opposed to an ‘employee’ is injured. There is a useful leaflet about the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) available from the Health and Safety Executive (HSE Books) on (01787).881165.

Even voluntary associations should inquire under exactly what circumstances they should report accidents and incidents under RIDDOR.

Organisations should solicit feedback about how effective their operational procedures are in controlling risk. This means that activity leaders should be encouraged to report anything that might have a significant bearing on safety. This process can easily be part of a more general feed-back process where issues such as customer care are considered. Most organisations report accidents, but that’s just one form of feedback, and arguably the least important, because by then, it’s too late. It’s far better to review procedures on the basis of ‘incidents’ where no one was hurt, and thereby prevent an accident in the future.

continued

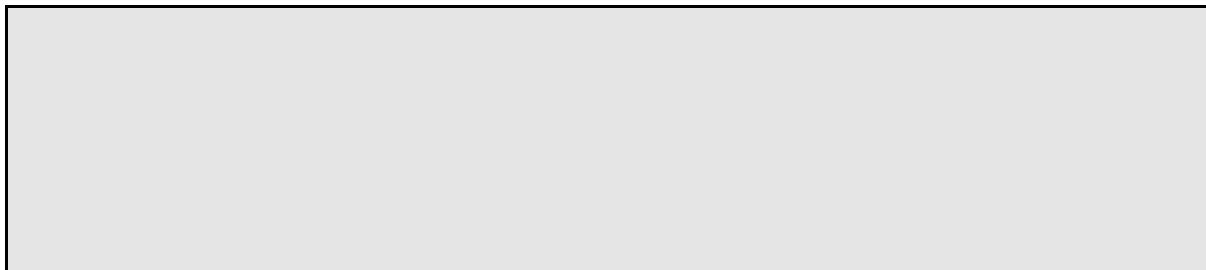
B6 (continued)

A	All incidents, accident and emergencies are reported and recorded internally. All 'RIDDOR' incidents are reported to the appropriate Health and Safety Executive or Local Authority office. Review takes place as soon as possible and learning points are extracted. These are added to the Operational Procedures where necessary, and revisions are reported to all activity leaders.
B	Significant incidents, accident and emergencies are reported and recorded internally. All 'RIDDOR' incidents are reported to the appropriate Health and Safety Executive or Local Authority office. There is an annual review of these and learning points are extracted. These are added to the Operational Procedures where necessary.
C	Significant incidents and accidents are reported internally and all 'RIDDOR' incidents are reported to the appropriate Health and Safety Executive or Local Authority office.
D	Significant accidents are reported internally.
E	Accidents are not generally reported.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: C is the legal minimum

Planned remedial or development measures,
(including your proposed time scale)



B7 Ease of Contact and Communication between Management & Activity Leaders

Rating:	
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Topic not relevant	<input checked="" type="checkbox"/> <i>because</i>
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Things often spiral out of control because of poor lines of communication. Once something starts to go wrong, 'who can be contacted', 'when' and 'how' are often significant factors.

Remember also that it may be inadvisable to rely totally on a mobile phone. Firstly, they are notoriously unreliable, particularly in remote or mountainous areas. Secondly, if they encourage an atmosphere of over confidence (e.g. "if we get into difficulties we'll just phone for help") then they are positively counter-productive in terms of improving safety.

A	Coordinators can contact activity leaders and vice versa at any time.
B	Coordinators have the opportunity to meet activity leaders (and vice versa) at some point during each activity day.
C	There is a 'home base contact' reachable by telephone 24 hours a day for activity leaders to contact when they are away from base (e.g. on camp).
D	Contact between coordinators and activity leaders may be impossible for two days or more.
E	There are no established lines of communication or contact.
	<i>Other, please specify</i>

Target Rating:

Not meaningful since each operation will have different circumstances. However, a low rating here would probably require a correspondingly high rating in sections such as Qualifications (**A1**), Induction (**A8**), Operational Procedures (**B1**) and Incident, Accident and Emergency procedures (**B5**).

Normal acceptable minimum Rating: C

Planned remedial or development measures,
(including your proposed time scale)

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B8 Location of Overdue Activity Groups

Rating:

Topic not relevant



because

This section refers, in the main, to groups that are in remote, or inaccessible locations e.g., underground, out at sea (or other open water), or on the moors or mountains.

Relying totally on the missing group to raise the alarm is not generally sufficient. Some means of identifying if a group is overdue and linking this to an appropriate response will generally be necessary. Knowing where the group is likely to be is therefore most important. It would generally not be acceptable if the only possible response was to alert the emergency services.

All providers will need to have some arrangements - and for some providers this will be one of their major considerations. This is particularly the case if the group in question is unaccompanied. It is also a particularly difficult problem for 'sole provider' operations, and organisations that run activities from 'away' or mobile bases.

A	All groups leave details at a central location indicating where they will be operating, and update it if things change. They also indicate when they return. If they fail to return this process will identify their absence and an appropriate person will be alerted at an appropriate time. Procedures are permanently in place for locating and returning the group to a secure base without necessarily involving emergency services.
B	If a group fails to return their absence will be noticed, their whereabouts will be known and an appropriate person alerted at an appropriate time. Procedures are in place for locating and returning the group to a secure base without necessarily involving emergency services
C	If a group fails to return their absence will be noticed, their whereabouts will be known and an alarm raised.
D	If a group fails to return their absence will be noticed and the alarm raised.
E	Failure to return may not be noticed, or the alarm may not be raised.
	<i>Other, please specify</i>

Target Rating

(Not meaningful)

Normal acceptable minimum Rating: C

**Planned remedial or development measures,
(including your proposed time scale)**

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B9 Modification of Venue or Activity

Rating:

Topic not relevant

because

For a variety of reasons the venue or activity planned may not be possible or appropriate. There is then a danger that the activity leaders may autonomously change to something, or somewhere, inappropriate. On the other hand, there is also the danger of leaders sticking to the plan ‘come what may’, simply because they don’t have the authority, or experience to change it in response to the situation on the ground.

A degree of limited autonomy is usually desirable, but the parameters of that autonomy must be clear, and you should ensure that they have the necessary information and experience to make an appropriate decision.

A low rating here would normally require correspondingly high ratings in A1 (activity leader qualifications), B1 (operational procedures), etc.

A	Activity leaders only use the venue and activity allocated or agreed.
B	Activity leaders will generally only use the venue and activity allocated or agreed, although clear parameters exist should they wish to change venue or activity..
C	Activity leaders decide which of a fixed range of venues and/or activities to use.
D	Activity leaders normally decide to use one of a fixed range of venues and/or activities, but on occasions may use others.
E	Activity leaders may use whichever venue or activity they think most appropriate
	<i>Other, please specify</i>

Target Rating & Normal acceptable minimum Rating: (Not meaningful)

**Planned remedial or development measures,
(including your proposed time scale)**

Section C: Equipment, Venues, Facilities and Activities

C1 Appropriate Activities

Rating:

Topic not relevant	<input checked="" type="checkbox"/> <i>because</i>
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Most providers only offer a limited range of activities. In many cases it could lead them into difficulties if they tried to be more accommodating than this. Be realistic about what you can safely offer and don't be pressurised into trying to do more than this.

You should be conscious of whether *you* make the decisions about what a particular participant does or whether *they* do. In either event you have a responsibility to ensure that what they do is suitable for them.

In the table below, there is no implied suggestion that A is 'better' and E is 'worse' - it's really just a simple question about your organisation.

A	Specific activities, venues and activity leaders are selected according to the wishes and abilities of each group.
B	Participants are offered a range of activities, some of which may be offered at a range of locations, and some special needs can be accommodated.
C	Participants are offered a fixed range of activities.
D	Provision is made for one activity only, though possibly at a wide range of venues.
E	There is only a single activity on offer, and this will generally be at one of only a few venues.
	<i>Other, please specify</i>

Target Rating & Normal acceptable minimum Rating:
(not meaningful)

Planned remedial or development measures,
(including your proposed time scale)

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C2 Modification of Activities or Venue

Rating:

because of weather etc.

✓	Topic not relevant	because
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For reasons of weather or similar, it might be ill-advised to allow an event to take place or to allow one that has started to continue. In most cases prepared 'bad weather' alternatives should be available.

Some events are so complex, involve so many people and require many weeks, months or years of effort to set up, that they take on a momentum of their own. Like a supertanker, it's sometimes impossible to stop them or change their course at short notice, and this can have serious implications for safety. We are thinking here of events like mountain marathons, some management training exercises, sponsored mountain walks and other fund-raising events, etc.

Organisers need to consider 'worst case scenarios' in the early stages of planning. In particular, procedures need to be in place for responding to really bad weather, or an equally disruptive occurrence. One of the problems here is that organisers themselves may not appreciate just how bad conditions are from the comfort of their Land Rovers or Event HQ.

In particular, the problems of communicating changes of plan to participants at the last minute, or during the event, need to be identified in the risk assessment stage and appropriate safety measures instituted. Good communications are absolutely vital throughout.

A	The event can be canceled at any time up to the start and at a number of key points throughout, and alternative plans have been drawn up and can be implemented in the event of bad weather, poor forecast, or similar occurrence.
B	The event can be canceled at any time up to the start, and alternative plans have been drawn up and can be implemented in the event of bad weather or a poor forecast.
C	There are procedures for canceling the event.
D	The event cannot be canceled in advance - only when participants reach a check point en route. There are no bad weather plans.
E	The event takes place, or continues come what may!
	<i>Other, please specify</i>

Target Rating

A

Normal acceptable minimum Rating:

C

**Planned remedial or development measures,
(including your proposed time scale)**

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C3 Range of Equipment

Rating:

Topic not relevant

✓

because

Clearly, if equipment is provided, it should be serviceable. Furthermore, there should be sufficient quantities and range of equipment to supply the maximum potential number of participants, with some spare in case of damage or defect, otherwise arrangements will have to be made to split groups into smaller units which can be accommodated with existing supplies.

If a low rating is obtained here then a corresponding high rating may be required in C4 (Hired equipment) etc.

A	There is a full range of equipment, in excellent condition, for all activities.
B	There is a good range of equipment, in good condition, for all activities.
C	There is an adequate range of equipment, in adequate condition, for all activities.
D	There is a range of equipment for some activities.
E	There is no equipment.
	<i>Other, please specify</i>

Target Rating: (not meaningful)

Normal acceptable minimum Rating: (not meaningful)

Planned remedial or development measures,
(including your proposed time scale)

C4 Hired Equipment

Rating:

Topic not relevant



because

If you 'hire in' your equipment (as opposed to owning it), it does not change the responsibility which you have, of ensuring that it is safe, functional and in good order.

A	All hired equipment is subject to formal routine maintenance checks, and we have seen records of these checks. In addition, all items are checked at the point of hire.
B	All hired items of 'critical safety equipment' (ropes, buoyancy aids etc.) are subject to formal routine maintenance checks, and we have seen records of these checks. In addition, all items are checked at the point of hire.
C	All hired equipment is obtained from the same, small number of well-known, reliable suppliers who only have good quality equipment. All items are checked at the point of hire.
D	All hired equipment is obtained from the same, small number of well-known, suppliers.
E	Equipment is hired as and when necessary from wherever it can be obtained.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

C5 Equipment provided by Participants

Rating:

C5
Topic not relevant



because

There are three potential problem areas here:

- due to poor communications, participants may not be clear what they have to supply, and what will be provided.
- participants simply may not have adequate clothing and equipment for the activities, and when asked to provide it may bring sub-standard items.
- participants turn up proudly displaying some piece of apparently 'hi-tech' equipment that they want to use, but which may be inappropriate.

A	A clear, written statement, with precise details of the sort of equipment which participants will need is sent out well in advance. This is checked well before the activity takes place and if people are inadequately equipped, a supply of essential items is available. Activity leaders are only allowed to authorise the use of personal equipment that is known to them to be effective.
B	A basic equipment list is sent out well in advance. If people then turn up inadequately equipped, a supply of essential items is available. Activity leaders are only allowed to authorise the use of personal equipment that is known to them to be effective.
C	A basic equipment list is sent out well in advance. Activity leaders check personal equipment before setting out, and are responsible for refusing to take anyone who seems to be inadequately equipped or clothed.
D	Advice is given about certain items of clothing and equipment which participants should bring.
E	No advice is given to participants or to activity leaders in respect of participants' own personal clothing and equipment.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

C6 Use of Activity Leaders' Personal Equipment

Rating:	
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Topic not relevant

because

Allowing, or requiring staff to supply their own equipment when leading activities is an area that requires careful thought. For small or voluntary organisations operating on a shoestring, this is one way of keeping costs down, and may be a way of helping to ensure that equipment is looked after. The danger is that the equipment may suffer unregulated abuse at times when not under your control, or that staff supply 'sub-standard' equipment with no history of use or maintenance

A	Activity leaders and participants may only use equipment that is supplied to them exclusively for work with the organisation.
B	Activity leaders may only use group and personal equipment which is supplied to them exclusively for their work with the organisation, except for certain items of personal equipment (harness, buoyancy aid etc.) which they must supply, and which have to be formally approved and are subject to 'spot-checks'.
C	Most of the group equipment is supplied by the organisation, but activity leaders may supply their own personal equipment. All participant equipment is provided by the organisation.
D	Some items of 'critical safety equipment' are supplied by the activity leaders and are not subject to approval, or to maintenance and 'working life' checks.
E	Most 'critical safety equipment' is supplied by the activity leaders and is not subject to approval, or to care, maintenance and 'working life' checks.
	<i>Other, please specify</i>

Target Rating: (not meaningful)

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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C7 Maintenance of Equipment

Rating:

Topic not relevant



because

This can be a major headache for many providers. Primarily we are concerned that defective equipment is not used. How (or whether) it is subsequently repaired is less of a safety issue and more of a financial one. A simple and easily accessible 'Repairs or Disposal Box' will help to prevent defective items from inadvertently creeping back into the system.

Routine checks may help to identify defective equipment but may not pick up on recently damaged items. Conversely, checking items when they are drawn for use and checking them again when they are returned is frequently not thorough. Similarly, defective items noticed and/or isolated during the session can easily get mixed in again with operational equipment.

Pre-planning and recording your routine maintenance checks is good practice from a safety point of view and, when carried out in conjunction with your inventory, also helps you to check what's missing. Some people keep records of all usage. However, it is doubtful whether the effort involved is worth the marginal return in safety terms. The time may be better spent checking for damage more frequently and more thoroughly.

A	Routine checks and maintenance are usually carried out on key equipment by the same person and records of these are maintained. Equipment is also checked when it is taken out and again when it is returned. Items for repair or disposal are isolated in an accessible and clearly marked container.
B	Routine checks are made of key equipment. In addition, equipment is checked when it is taken out and again when it is returned. Items for repair or disposal are isolated in an accessible and clearly marked container.
C	Routine checks are made of key equipment. In addition, equipment is checked when it is taken out. Items for repair or disposal are isolated in an accessible and clearly marked container.
D	Equipment is checked when it is taken out and again when it is returned. Damaged equipment is reported.
E	Equipment is frequently not checked until it is at the activity site, or about to be used.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures, (including your proposed time scale)

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C8 First Aid Equipment

Rating:

Topic not relevant



because

In the event of an accident, a good supply of basic first aid equipment should be readily (within a minute or so) available. For off-site activities, leaders will need to carry first aid kits in rucksacks, canoes, safety boats etc. This will also be necessary 'on-site' where base resources are more than a quick sprint away. Who supplies the equipment, and on what basis, should be defined within operational procedures. It is reasonable for routine 'spot-checks' checks on equipment to be carried out.

A	An appropriate first-aid kit is supplied to all activity leaders and 'top-up' supplies are available as required. Procedures require these to be carried for all activities more than a short distance away from base. There are additional supplies readily available at base.
B	An appropriate first-aid kit is supplied to all activity leaders. Procedures require these to be carried for all activities more than a short distance away from base. There are additional supplies readily available at base.
C	Activity leaders are required to provide and maintain their own first aid kits. The organisation ensures that first aid is available in buildings and vehicles.
D	Activity leaders are expected to provide their own first aid kits.
E	There is no specific policy regarding the supply of first aid equipment.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

C9 First Aid Qualifications

Rating:

Topic not relevant



because

The normal Health & Safety minimum requirements in respect of the number of competent first-aiders in the workplace is frequently not sufficient in the outdoor activity context, where leaders and their groups may be several hours (or days, in some cases) away from qualified help. It is standard good practice nowadays for all activity leaders to hold qualifications that address the special problems of dealing with accidents in a remote outdoor environment.

A	All activity leaders hold valid first aid qualifications that are tailored to the outdoor activity environment. Validity and renewal is monitored centrally.
B	All activity leaders hold valid first aid qualifications, some of which are tailored to the outdoor activity environment. Validity and renewal is monitored centrally
C	All activity leaders operating off-site (or on-site, but away from immediate help) hold a valid first aid certificate and there is a qualified first-aider on duty 'on-site' at all times.
D	Some activity leaders hold first aid certificates.
E	There is no standard policy on first aid qualifications.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

C10 Unaccompanied Activities

Rating:

<input checked="" type="checkbox"/>	<i>because</i>
Topic not relevant	

An unaccompanied activity should generally be seen as part of an on-going process of training, not as an isolated assessment. In building up to an unaccompanied activity, leadership and physical guidance is gradually and appropriately replaced with self-reliance. Age and experience are factors, and it is important to ensure that each individual is genuinely ready, willing and able to undertake the activity. Moreover, personal knowledge of each participant is important to ensure that signs and symptoms can be accurately interpreted in order to prevent things going wrong. It may also be appropriate for group members, in an emergency, to have knowledge of details of the abilities, skills, weaknesses and even any unusual medical conditions that exist within the group.

A	You carry out their training yourself, you personally check that the participants are sufficiently competent and sufficiently well informed to undertake the activity. You brief them fully on what is expected of them and what to do in case of an incident, accident or emergency. A pre-departure check are carried out on their equipment.
B	You carry out a pre-activity practical assessment yourself to verify that the participants are sufficiently competent and sufficiently well informed to undertake the activity. You brief them fully on what is expected of them and what to do in case of an incident, accident or emergency. A pre-departure check is carried out on their equipment.
C	Verification is obtained that the participants are sufficiently competent and sufficiently well informed to undertake the activity. You brief them fully on what is expected of them and what to do in case of an incident, accident or emergency. A pre-departure check is carried out on their equipment.
D	By putting themselves forward you assume that the participants are competent. You brief them fully on what is expected of them and what to do in case of an incident, accident or emergency. A pre-departure check is carried out on their equipment.
E	By putting themselves forward you assume that the participants are competent and that the participants know what is expected of them.
	<i>Other, please specify</i>

Target Rating: **A**

Normal acceptable minimum Rating: **C**

Planned remedial or development measures,
(including your proposed time scale)

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C11 Supervision of Unaccompanied Activities

Rating:

Topic not relevant

because

The age and experience of individuals and the purpose of the activity are important in deciding what is an appropriate level of supervision. Even within the parameters of unaccompanied activities there are a range of supervision approaches. At one extreme you may arrange to 'shadow' the group using someone capable of intervening and taking over should things threaten to go wrong. It may be sufficient just to check certain key points and, if appropriate, rendezvous with the group there. At the other extreme you may simply be involved in waiting for the group to complete the activity. What is essential is that the person in charge of the supervision has the appropriate experience, opportunity and skills to make safe judgments based on the prevailing circumstances and, if appropriate, take corrective measures. There should be some method of ascertaining whether the emergency services are needed or not.

For instance, it would probably be inappropriate for a group of novices to be supervised, using a 'check-point' method, by someone with no more experience than the novices would have.

A	Individuals can 'pull out' at any time. Any incident, accident or emergency will be identified immediately.
B	Individuals can 'pull out' at all critical points (e.g. at the start of the day, during the day, at any major hazards, and at the end of the day). Failure to reach these points on schedule will be immediately identified.
C	Individuals can pull out at convenient points (such as road crossings etc.). Failure to reach these points will be identified.
D	Checks will be made that the group has gone through convenient points.
E	No checks will necessarily be made from the time when the individuals start to when they finish.
	<i>Other, please specify</i>

Target Rating & Normal acceptable minimum Rating: (not meaningful, as any of these procedures may be appropriate in the right circumstances, with the right individuals).

Planned remedial or development measures,
(including your proposed time scale)

C12 New or Unfamiliar Venues

Rating:

Topic not relevant



because

What is appropriate for one type of organisation may not be appropriate for another. As a general rule, the less experienced and less qualified the activity leaders, the greater the responsibility of management to ensure that new venues are thoroughly checked, and appropriate induction carried out at the site.

A low rating here would generally require a high rating in **A1** (qualifications), **B1** (Operational procedures), **B5** (Incident, Accident and Emergency procedures), **C2** (Modification of activities) etc.

A	New or unfamiliar venues are always checked in advance by the activity leaders who will subsequently lead the activity there.
B	New or unfamiliar venues are usually checked in advance by the activity leaders who will subsequently lead the activity there.
C	The appropriateness of new or unfamiliar venues is always checked by an appropriate person.
D	New or unfamiliar venues are sometimes checked in advance by an appropriate person.
E	New or unfamiliar venues are not usually checked in advance.
	<i>Other, please specify</i>

Target Rating: (not meaningful)

Normal acceptable minimum Rating: **D**

Planned remedial or development measures,
(including your proposed time scale)

C13 National Governing Body Centre Accreditation & Approval Schemes

Rating:	
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Topic not relevant

because

Some National Governing Bodies offer a Centre Accreditation service. Generally they only inspect a single activity. Their advice on that particular activity can be very useful, and their accreditation is a good benchmark for a nationally acceptable standard. Bear in mind of course, that National Governing Bodies' quite legitimately have an agenda that attaches importance to more things than just safety.

A	All of the activities offered are covered by the appropriate NGB accreditation scheme.
B	All of the activities offered for which there are NGB accreditation schemes are covered by the appropriate NGB accreditation scheme.
C	Most of the activities offered for which there are NGB accreditation schemes are covered by the appropriate NGB accreditation scheme.
D	Some of the activities offered are covered by the appropriate NGB accreditation scheme.
E	None of the activities offered is covered by the appropriate NGB accreditation scheme.
	<i>Other, please specify</i>

Target Rating: **B**

Normal acceptable minimum Rating: (not meaningful)

Planned remedial or development measures,
(including your proposed time scale)

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C14 Other Safety or Similar Inspections

Rating:

Topic not relevant



because

You are expected to take note of any recommendations resulting from relevant Health & Safety inspections, Local Authority Environmental Health officers or similar officials and to implement changes when indicated.

A	We have been inspected by the Health and Safety Executive, or the Local Authority Environmental Health or similar department and in each case no (adverse) recommendations have been made.
B	We have been inspected by the Health and Safety Executive, or the Local Authority Environmental Health or similar department and in each case no major (adverse) recommendations have been made.
C	We have been inspected by the Health and Safety Executive, or the Local Authority Environmental Health or similar department. Their recommendations are listed as an appendix below. They have all been complied with and did not result from or lead to an improvement, prohibition or similar order.
D	We have been issued with a previous improvement, prohibition or similar order that has now been lifted.
E	An improvement, prohibition or similar order is still in force. Details are attached in an appendix below.
	<i>Other, please specify</i>

Target Rating: **A**

Please list any recommendations made by Health & Safety Inspectors, and any restrictions imposed. (Indicate whether these were part of any improvement, prohibition or other order imposed).

Planned remedial or development measures,
(including your proposed time scale)

C15 Other Safety-related Statutory Requirements

Rating:	
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(including insurance, fire, transport, employment, planning and other relevant regulations)

Topic not relevant	<input checked="" type="checkbox"/>	<i>because</i>
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Clearly you should conform to any relevant legislation. However, in some of these issues, "it is often easier to do your duty than it is to know what your duty is".

Legislation can be complex and you may not always know which parts of it apply to your particular circumstances. However, ignorance of the law is not an acceptable defence. It is your legal responsibility to actively pursue those issues that may apply to you.

A	We have sought guidance on all relevant legislation and have followed all relevant advice. We are certain there is no legislation we are unaware of.
B	We have sought guidance on known relevant legislation and have followed all relevant advice. We are reasonably confident there is no legislation we are unaware of.
C	To the best of our knowledge we conform to all relevant legislation.
D	We believe we are aware of all relevant legislation.
E	We suspect we may not be aware of all relevant legislation.
	<i>Other, please specify.</i>

Target Rating: **A**

Normal acceptable minimum Rating: You must comply with the Law!

Planned remedial or development measures,
(including your proposed time scale)

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C16 Insurance

Rating:

Topic not relevant

because

Only certain insurance is mandatory, and even then only under some circumstances. The Adventure Activities Licensing Authority is interested principally in preventing accidents. Ensuring that financial resources are available for dealing with the aftermath is seen by us as a separate and secondary matter. In particular it would be inappropriate to concentrate effort or resources on insurance to the detriment of maintaining appropriate safety standards. Prevention, as always, is better than cure.

For the reasons stated above, Insurance does not form a part of the Adventure Activities Licensing Regulations. This issue, therefore, does not form part of a licensing inspection. However, most participants will generally look for some kind of financial reassurance to support them even in the event of a totally unforeseeable accident.

A	All participants, leaders and onlookers are automatically covered by Personal Accident and Public Liability Insurance. In addition the staff and the organisation has Professional Indemnity Insurance.
B	All participants, leaders and onlookers are automatically covered by Public Liability Insurance and have the option of 'buying into' Personal Accident Insurance.
C	All participants, leaders and onlookers are covered by Public Liability insurance.
D	Some participants are covered in some circumstances by some insurance.
E	There is no insurance.
	<i>Other, please specify.</i>

Target Rating: **A**

Normal acceptable minimum Rating: Generally **C**

Planned remedial or development measures,
(including your proposed time scale)

Appendix 1 :

Risk Assessments for new providers of adventure activities

The purpose of a Risk Assessment is to establish or review safe working practices. Here we will look at the situation of a provider offering adventure activities for the first time.

Risk assessments involve looking at what you intend to do, identifying the hazards which participants, activity leaders or on-lookers may be exposed to, and ensuring that the risk of anyone being hurt by any of these hazards is adequately controlled. You can not guarantee to prevent every accident. The best that you can do is to make judgments about the likelihood of an accident happening, the likely consequences or seriousness of that accident, and then take appropriate preventative measures. In other words the scale of the preventative measures should be in proportion to the scale of the problem.

Adventure Activities are unusual in that some degree of risk is often seen as being an integral part. This merely makes the judgments more difficult to make.

You will need to differentiate between those hazards that are inherent in the activity and those which are associated with a particular venue. For example, drowning would have to be seen as an inherent hazard in canoeing, whereas being swept over a weir may be a more site-specific problem. You would need to have controls for both. Wearing Buoyancy Aids may help to prevent the former but site-specific induction may well be necessary for the latter. More generally, adhering to the principles inherent in National Governing Body training programmes may be necessary but may not be sufficient. However, if your staff have all undergone such training and proved that they have reached an acceptable standard by gaining the appropriate award then your task is likely to be much easier. If they have not, then your risk assessments may need to be more detailed.

If your organisation is very small, say less than 5 people, and communications are never a problem then there may be no need to write down the outcomes of your risk assessment. Just make sure that you talk to each other about it! In other organisations, communicating the outcomes, and thereafter the changes to it, can be a major problem.

You should identify:

1. The hazards associated with each activity and who exactly may be harmed (e.g. participants, onlookers, the activity leaders etc.).
2. Evaluate the risk and decide whether the hazard can be controlled or whether the activity needs to be simplified or rejected.
3. Decide what the appropriate nationally accepted standards of control are for this activity. This can usually be obtained by referring to the appropriate National Governing Body and/or their training and qualification structures. Consider whether these standards are achievable and sustainable. You may need to start more simply and allow the activity to develop as your activity leaders gain more experience.
4. Decide how you are going to communicate each control measure to your activity leaders. Will you use NGB qualifications, Operational Procedures, Induction and familiarisation, direct supervision by more experienced, permission requests before the activity takes place, etc., etc., etc. or will you use a combination of these?
5. Decide how you will review these practices. Will you wait until something goes wrong or do you plan regular reviews; and if so, how, and when? Or will you initiate a system of feedback and use that to assist you in guiding future policy and practice?

You may want to follow these points through in a systematic way by using a grid:

Hazard	Evaluate or modify the risk	Establish the control measures	Communication and Training	Review procedures

And finally,keep it simple!

Generally avoid mathematical equations for calculating ‘risk’. Risk Assessment is about common sense, not mathematics.

Concentrate on what might reasonably be expected to happen rather than what could theoretically be possible.

And remember, it is not Risk Assessments that drive safety but their outcomes, so make sure everyone knows what they should be doing, and then make sure they do it!

Useful guidance on Risk Assessments can also be obtained from the Health and Safety Executive publication **5 Steps to Risk Assessment**, available from

HSE Books,
PO Box 1999
Sudbury
Suffolk
CO10 6FS

Tel: 01787 881 165

Appendix 2:

The Conrad Process

An Adventure Activities Response to Risk Assessment

**Compiling a written risk assessment
for existing providers of adventure activities**

January 1998

The Conrad Process

An Adventure Activities response to '5 - Steps to Risk Assessment'

Safety is an integral part of Adventure so considerations of safety in an outdoor context seldom start from a zero base. When you look at guiding others through these experiences the right balance must be maintained between the skills of those controlling the activity and the challenge experienced by those participating in it.

When you identify or improve safety elements in the provision of adventure sports you will generally be considering a mechanism that already exists. Moreover, the mechanism is often formed from practical experience and not from a theoretical model.

The Conrad Process aims to evaluate what you already have, consider how you could change it most effectively, and finally decide if you need to. Coincidentally, it comes out as a 5 - step process.

It would be a lengthy process for one person to do this all on their own. Steps 1 - 3 would form a useful training exercise and could involve a number of staff. Steps 4 - 5 often involve managerial decisions.

Step 1: Activity Audit.

'You can't tame the beast unless you can first find it'. Draw up an itemised list of what you actually do. Don't worry if the list is too simplistic or too detailed. The process will iron that out as you proceed. As a first attempt, list the activities you do under identifiable headings: Climbing, Sailing, Hillwalking, etc.

	Activity
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
	(Continue as necessary)

Step 2: Theoretical Improvements

Now consider for each activity, **IF** you were to increase the safety of the activity **HOW** would you do it?

For each activity consider

- what actually happens,
- what could happen,
- and what should happen.

Consider '**WHAT IF ...**' in the light of what you already know about your organisation. You should end up with a list of practical suggestions, very specifically for your own organisation. However, it may help to consider a few principles. Work your way through those below and see if any of them could be applied to the particular activity as operated by you. Then compile your list of improvements. The secret is to pay attention to the actual practical details of your operation.

Principles	Examples
Remove or reduce the hazard.	Stop the activity or limit the frequency of the activity.
Reduce the likelihood of something going wrong.	Move the activity to somewhere safer. Reduce the extent of the activity. Simplify the activity. Move the balance between real and perceived risk.
Increase the control.	More or different staff. Increase the effectiveness / competence of existing staff. Increase the entry requirement profile for new employees Change the Instructor : Participant ratio. Increase staff training, induction and qualifications
Increase awareness.	Practice responding to simulated realistic incidents, accidents and emergencies. (Disaster scenarios and clinics) Increase staff training and induction.
Change the means of control.	Change the operating procedures. e.g. who belays on climbing sessions or who helms on sailing sessions
Reduce the consequences if something goes wrong	Increase backup e.g. use a safety boat. Improve or provide personal protection e.g. helmets. Use landing mats. Improve your evacuation procedures.

Finally, decide whether the activity is too complex to be considered as one entity and whether it would be better divided into separate parts, such as differentiating between rock climbing at different venues. Alternatively, you may decide it makes more sense to do this exercise by combining similar activities. e.g. combining dingy sailing with windsurfing to form 'sailsport'.

Using the principles above, together with any others that may apply, compile a list of suggested improvements for each activity

Activity	Suggested improvements
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
	(Continue as necessary)

Step 3: Prioritise

Having compiled theoretical improvements for all activities, the list of improvements should now be prioritised for each activity. You and your staff know your business better than anyone else so consider all the pro's and con's, and the subjective as well as the objective arguments.

Compile a theoretical 'hit list' for each activity. **IF** it was to be done what would you do and in what order? Consider real restraints, actual budgets, existing staff etc. - a hypothetical re-arrangement of existing factors such as:-

- The difficulty of achieving the improvement
- The cost
- The effect
- The need

Activity	Suggested improvements
1	
2	
3	
4	
5	
6	
7	
8	
9	
10	
	(Continue as necessary)

Step 4: Decide what is needed.

Decide which, if any, of the changes are actually needed. This is the crucial step; the one where you consider the real needs within your organisation.

List below those improvements you intend to make

Activity	Improvements
	(Continue as necessary)

Step 5: Plan the changes

Outline how you intend to achieve each improvement.

Improvement	Plan
	(Continue as necessary)

"The essence of good discipline is attention to detail"
Joseph Conrad.

Available from:

**The Adventure Activities Licensing Authority
44 Lambourne Crescent
Cardiff Business Park
Llanishen
CARDIFF
CF14 5GG**

Tel: 029 2075 5715