

Organisational Self-Assessment

for

(Name of Organization)



OUTDOORS
NEW ZEALAND

Te Whakaminenga
O Nga Mai Ngahau
O Waho Aotearoa



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UK Adventure Activities Licensing Authority

Provider Details

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

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

C. This OutdoorsMark Organizational Self-Assessment was completed by:

Name: _____

Position within the organisation: _____

D. Date completed: _____

E. *I certify that the content of this Organizational Self-Assessment and the ratings provided are correct to the best of my knowledge.*

Signature _____

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Guidance Notes

The OutdoorsMark Self-Assessment is divided into three sub-sections;

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

The OutdoorsMark Self-Assessment is based on the topics that are or may be raised by OutdoorsMark Safety Auditors. In the notes that accompany each topic suggestions are made that may be useful with regard to that particular topic, based on current 'good practice'. However, it is not the 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 useful for your own particular circumstances.

These notes will be followed by 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 statement that fits or is closest to your particular situation.

Topics that are Not Applicable to your Organisation

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 *Not Applicable*, 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. 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. The 'A' statement reflects the current sector 'best practice' that all organisations should be striving to achieve.

The benchmark ratings for attaining OutdoorsMark are the requirements at the "C" rating level.

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

Above the bush-line tramping

Self Rating	
Auditor Rating	

*Enter here the rating that is most like your organisation
(Enter A,B,C,D or E)*

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 water-sports.

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

In summer conditions, when we lead or supervise groups in mountainous or bush 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 trampers who hold the NZOIA Bush 2 award or equivalent.
B	Some leaders/supervisors hold the NZOIA Bush 2 award, the remainder are experienced trampers and have attended a tramping safety focused training course
C	All leaders/supervisors are experienced trampers who have passed an internal above-bush line assessment supervised by a Bush 2 instructor.
D	All leaders/supervisors are experienced trampers whose experience can be ratified
E	Leaders/supervisors are not necessarily experienced trampers

In this example, 'A' would be a reasonable target because it is widely accepted that the NZOIA Bush 2 is the 'best practice' award for this kind of summer activity.

'C' reflects the minimum standard required for OutdoorsMark.

Remember that your procedures should be written and followed for your particular circumstances.

It is fair to say that generally low ratings across the board might be a cause for concern, while generally high ratings would indicate that your approach is a sound one. Remember too, that the smaller and more informal your operation, the more 'topic not relevant' you will find some of the questions relating to formal management structure. Bear in mind however 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 and the safety auditor to briefly outline what plans there are for changes or improvements. This may refer to more detailed plans that are recorded elsewhere.

For the above example:

Self-assessment comments

"Within 12 months, 2 of our 4 activity leaders should have attended Bush 2 assessment, and the others will have been on an Above-Bushline training course.

Safety Auditor comments

"Within 12 months, 3 of the 4 activity leaders will have attended Bush 2, assessment and the fourth will have been on an Above-Bushline-training course. A training day with the organisation's technical advisor will have occurred at the start of the next expedition season"

Eight Steps of the Accreditation Process

STEP 1 – Initial Application _____ **✓ Completed**

1. Complete the application form and submit with your application fees to the Outdoors New Zealand office.
2. Outdoors New Zealand will confirm receipt of your application and send you the Organizational Self-Assessment and OutdoorsMark Audit Agreement.

STEP 2 - Organizational Self-Assessment _____

1. Complete the Organizational Self-Assessment and return it to Outdoors New Zealand with the supporting documentation. Please contact Outdoors New Zealand if you require clarification or have any questions regarding the Assessment.
2. Outdoors New Zealand will check the document to ensure it is complete, and then assign an approved OutdoorsMark Auditor to conduct the safety audit.

STEP 3 - Desk Safety Audit _____

1. The OutdoorsMark Auditor will undertake a safety audit of the completed Organizational Self-Assessment and the supporting policy and procedures documentation. This documentation will be assessed and compared to current accepted best practices and the quality standards necessary to achieve OutdoorsMark accreditation.
2. The desk audit requires a minimum grade of C in all assessment areas for a *Pass*.
3. A '*deferment*' result on the desk audit may occur should the business or organisation attain less than the minimum 'C' grading in any of areas assessed, provided that greater than 60 % of all the areas assessed attain a 'C' rating or better.

The move from '*deferment*' to '*pass*' will require a recommendation from the safety auditor following the organisation upgrading the area's rated less than 'C', to the required standard or better, and then submitting those deferred area's to the safety auditor for re-audit. 'One-on-one' work with the OutdoorsMark Auditor who completed the safety audit is recommended as the most efficient method of completing the desk audit in the case of a '*deferment*'.

Please note that the costs of bringing the documentation to the required standard or better will be \$50 per hour and are in addition to the OutdoorsMark fee.

4. A '*fail*' result on the desk audit will occur if a grading of less than "C" is attained in **less than 60% of all the areas assessed**.

STEP 4 - Field Safety Audit

1. The OutdoorsMark Auditor carries out the field safety audit at the organization's workplace and activity sites at a time convenient for the organization. The three core assessment areas are analysed with current accepted best practices and the quality standards necessary to achieve OutdoorsMark accreditation.
2. The Field Safety Audit requires a minimum grade of C in all assessment areas for a *Pass*. Failure to follow accepted safety practices may result in serious consequences to human health and welfare, thus there are no deferments in the Field Safety Audit.

STEP 5 - Accreditation Determination

1. The OutdoorsMark auditor will collate the desk and field safety reports and provide an overall report including the accreditation status (pass, deferment or fail) to the organization. The organization has two weeks to provide comment on the report to the OutdoorsMark auditor.
2. The OutdoorsMark auditor finalises the report and makes the necessary recommendation to Outdoors New Zealand regarding accreditation status.

STEP 6 – Notification of Accreditation

The organization is notified of its accreditation status by Outdoors New Zealand.

A '**pass**' status will result from a 'pass' of both the desk audit and the field audit.

A '**deferment**' status will result from a 'pass' of the field audit and a 'deferment' of the desk audit.

A '**fail**' status will result if the field audit is a 'fail' no matter the result of the desk audit.

A '**fail**' status will also occur if a grading of less than "C" is attained in less than 60% of all the areas assessed in the desk audit, no matter that the result of the field audit result may have been a 'pass'.

OutdoorsMark Granted

1. Outdoors New Zealand sends the OutdoorsMark Licence for signing.
2. Once the signed Licence is received by Outdoors New Zealand, a 12-month certificate of OutdoorsMark accreditation is issued.
3. Accredited organizations are profiled on the Outdoors New Zealand website, and promoted by Outdoors New Zealand.

OutdoorsMark Declined

If your organization is declined OutdoorsMark accreditation, the OutdoorsMark audit has identified gaps in organisational policies and procedures which need to be addressed in order to meet industry standards in peer accepted best practice. A subsequent application and full desk and field re-audit is required should you wish to attain the OutdoorsMark.

Outdoors New Zealand and the OutdoorsMark Auditors ensure the confidentiality of any and all information, self-assessments and audit reports obtained through the OutdoorsMark accreditation program.

Appeal Process

If you disagree with the decision you may, within one month of receiving notification, appeal in writing to Outdoors New Zealand specifying the reasons and requesting a review. Outdoors New Zealand will consider the appeal in consultation with the OutdoorsMark Auditor who conducted the audit and if appropriate, another approved OutdoorsMark Auditor.

If the original ruling is upheld you are granted two weeks in which to seek a re-audit with a different OutdoorsMark Auditor. On payment of a \$500 deposit, a different OutdoorsMark auditor will be appointed by Outdoors New Zealand to carry out the re-audit. If the re-audit reaches a different conclusion from the first audit, then Outdoors New Zealand will pay the safety auditors costs and the \$500 deposit will be returned. If the same outcome is arrived at, the organisation will pay the cost of the re-audit and the \$500 will be applied to that purpose.

STEP 7 - Annual Declaration ---

1. At the anniversary of year one and year two, accredited organizations will review their three core assessment ratings, and submit an Annual Declaration specifying the continuation of their activities and operation to the standard, or better, of OutdoorsMark.
2. Following the Annual Declaration and receipt of Annual OutdoorsMark fees Outdoors New Zealand then issues a one-year certificate of accreditation.

STEP 8 - Re-Audit ---

Prior to the anniversary of year three, a re-audit will be conducted with a different OutdoorsMark Auditor. The OM Auditor will review previous audits, Annual Declarations, and current Policies and Procedures in a desk and field re-audit.

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", "person", "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.

Recreation Activities

A 'recreation 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 experienced person, usually with a pre-determined high level of nationally recognised qualification who can be used to assist a provider with, or advise on, various technical tasks.

'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 nationally recognised 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. Some form of assessment may validate a leader's competence 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.

Record

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.

Nationally Recognised Accreditation Organisations

Nationally recognised accreditation organisations, e.g. the New Zealand Outdoor Instructors Assoc., NZQA, NZ Mountain Safety Council, SFRITO, ATTTO, etc.

Nationally Recognised Qualifications	<p>Nationally accepted coaching/leadership qualifications administered by nationally recognised organisations, e.g. NZOIA/NZMSC Bush 1.</p> <p>There are a large number of outdoor recreation awards available throughout New Zealand. OutdoorsMark accepts that the outdoor industry recognises the standards/awards produced and administered by a variety of nationally recognised accreditation organisations.</p> <p>Other awards and qualifications or logged experience and referees exist that may be considered equivalents.</p>
Operational Procedures	<p>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 - those with experience and/or qualifications may vary others.</p> <p>You should be aware which of your practices are 'guidance' and which are 'rules'.</p>
Provider	<p>Anyone (either an individual or an organisation) who is responsible for arranging outdoor recreation or education activities for other people, either voluntarily or in return for payment, and who has control over the instruction or leadership, the sites, safety arrangements etc.</p>
Sole Provider	<p>A one-person organisation. If you regularly employ, or use others you should really be referred to as a 'small-scale provider'.</p>
Operational Season	<p>For some organisations there is no specific "season" as they operate all year round e.g. outdoor centres. For others they only operate during specific times of the year e.g. skifields. The term "operational season" therefore depends on your organisation's interpretation of the term.</p>
OutdoorsMark Safety Auditor	<p>A person registered with ROSA (Register of Outdoor Safety Auditors) and recognised by Outdoors New Zealand as having the prerequisite knowledge, skills, and experience to carry out a site assessment of an outdoor recreation provider to ensure they meet the OutdoorsMark standard.</p>

Section A:

People

Section A: Safety Management Administration

A1 Safety Management Administration

Self Rating:	
Auditor Rating:	

Topic not relevant

because

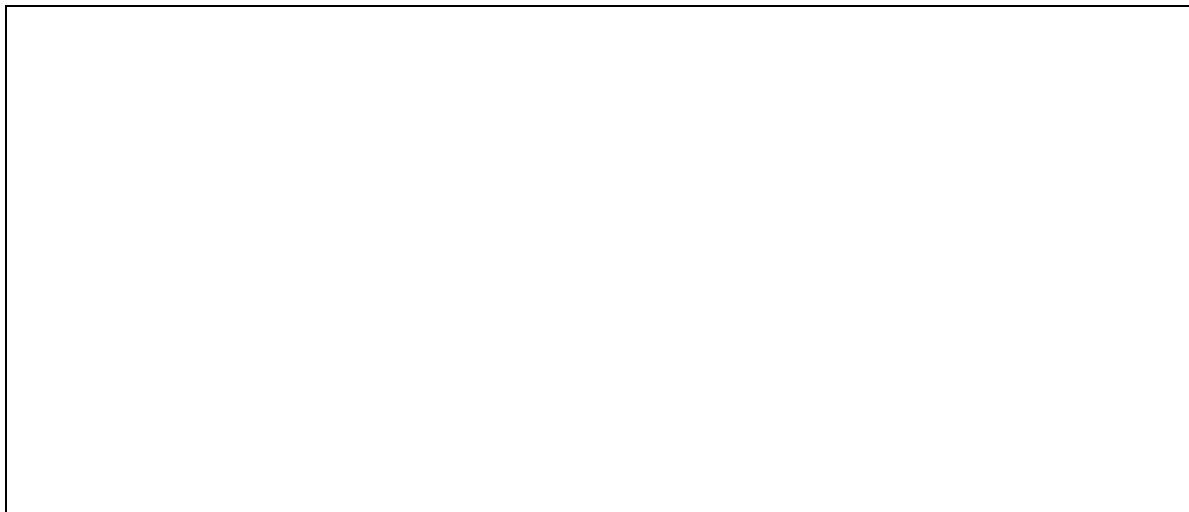
In every organisation there must be a person allocated to the function of administrating the organisation's safety management system. This includes hazard identification procedures, incident/accident reporting procedures, investigation and analysis, emergency preparedness, safety committee formation and planned and recorded safety meetings.

A	A person has the responsibility for administrating the safety management plan identified in their job description and reports on a regular timetabled basis to management and other staff. Data is analysed and resulting strategies are integrated into training plans and organisational procedural development. A safety committee with staff representation is maintained and meets on a timetabled basis with recorded proceedings.
B	A person has the responsibility for administrating the safety management plan identified in their job description and reports regularly to management and other staff. A safety committee with staff representation is maintained and meets regularly with proceedings recorded.
C	A person has the responsibility for administrating the safety management plan identified in their job description. A safety committee with staff representation is maintained and meets regularly with proceedings recorded.
D	This role is carried out in an ad hoc manner by various people in the organisation.
E	This role does not exist in the organisation.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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A2 Activity Leader Qualifications

Self Rating:	
Auditor Rating:	

Topic not relevant

because

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,
- contract, seasonal, part-time,
- volunteer, trainee, apprentice.

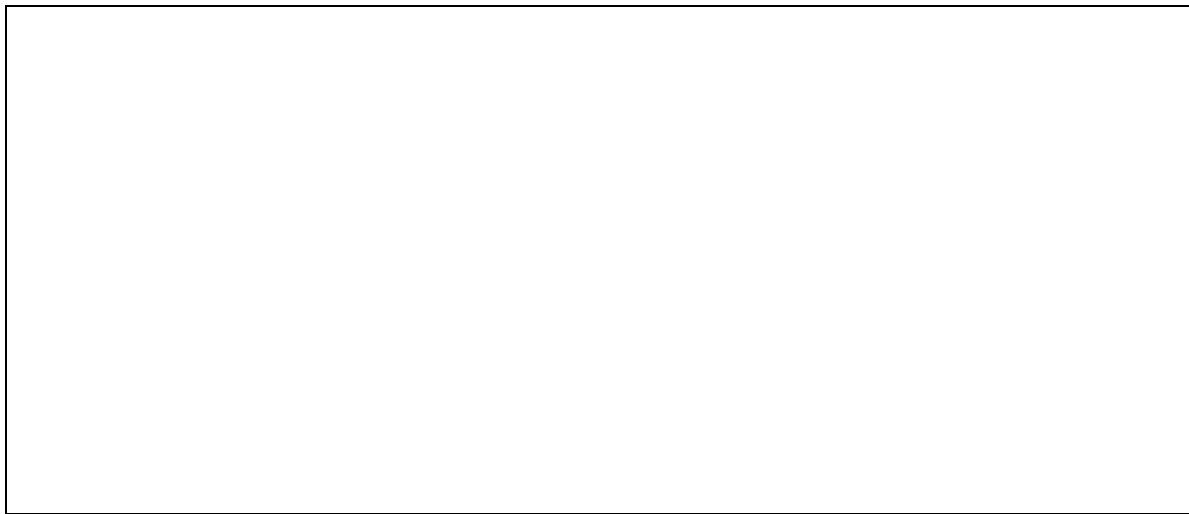
The competence and integrity of activity leaders is probably the single most important factor for assuring safety and good practice. Competence in this field is a mix of experience, certification (qualifications) and the ability to work with people. Mere technical ability, though vitally important from 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	All activity leaders hold the relevant industry recognised qualifications for each activity they lead or where these do not exist all activity leaders' competence is ratified by an approved technical advisor.
B	Most activity leaders hold relevant industry recognised qualifications for most of the activities they lead, and in all other cases their competence is ratified by an 'approved' (see section A3) technical advisor.
C	Where activity leaders do not hold the relevant industry recognised 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 training and subsequent ratification they receive.
E	There is no policy on verifying the competence of people who lead activities.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments



Safety Auditor comments



A3 Approved Technical Advisors

Self Rating:	
Auditor Rating:	

Topic not relevant

because

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 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 a high level of technical skill (usually determined by a nationally recognised accreditation organisation).
- Has a good knowledge of the organisation, its management, activity leaders etc.
- Is up to date on modern trends, equipment, and practices.

Levels of qualification for technical advisers exist within a number of organisations offering outdoor awards. '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 a 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 managing the systems on-site.
B	All activities have an approved technical advisor who is readily available for consultation and is shown to be used regularly.
C	All activities have approved technical advisors.
D	Some activities do not have an approved technical advisor (see glossary).
E	Some or all activities do not have a technical advisor, either nationally qualified or not.

Note: those without their own 'site' may still be able to answer **A** or **B** by interpreting 'on-site' as meaning 'part of the permanent management of the organisation'

A3 (continued)

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

Self-assessment comments

Safety Auditor comments

A4 Staff Qualifications & Experience

Self Rating:	
Auditor Rating	

Topic not relevant

because

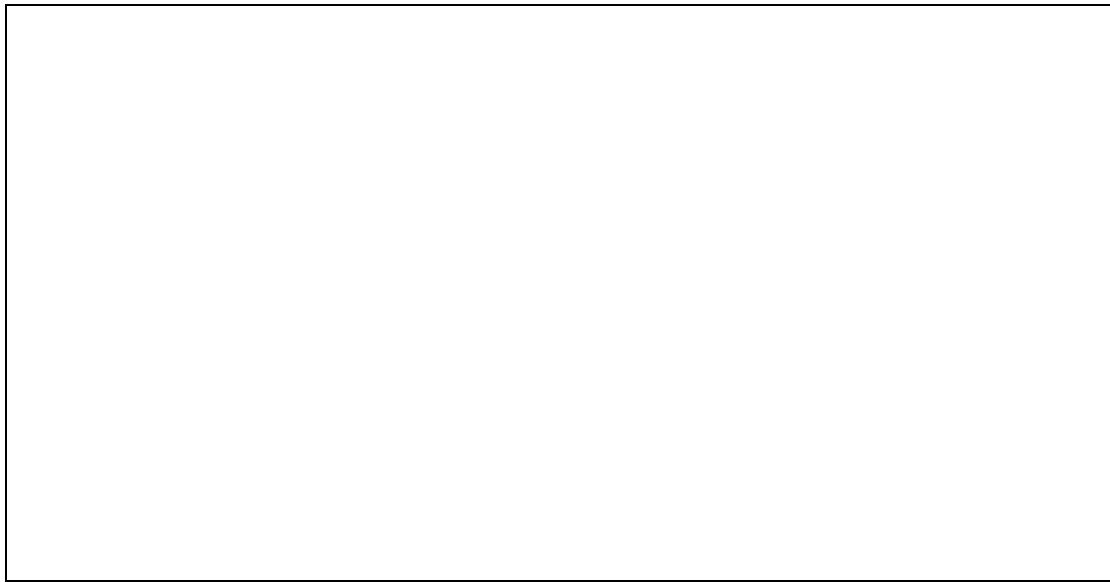
Even in small organisations, it is very difficult to keep a track of who holds which award, when their qualifications expire, etc. Some sort of prompt, such as a grid, table, database or matrix of activity leaders and their qualifications (including in-house validations), can help greatly.

A	There is an up-to-date record of all activity leaders and assistants detailing their experience, qualifications (including in-house approval where applicable), with renewal or revalidation details where applicable.
B	There is an up-to-date record of all activity leaders and assistants, and all qualifications including in-house approval (where applicable).
C	There is an up-to-date record of activity leaders and all qualifications including in-house approval (where applicable).
D	There is only a partial list of activity leaders' qualifications.
E	No records of activity leaders' qualifications are kept.

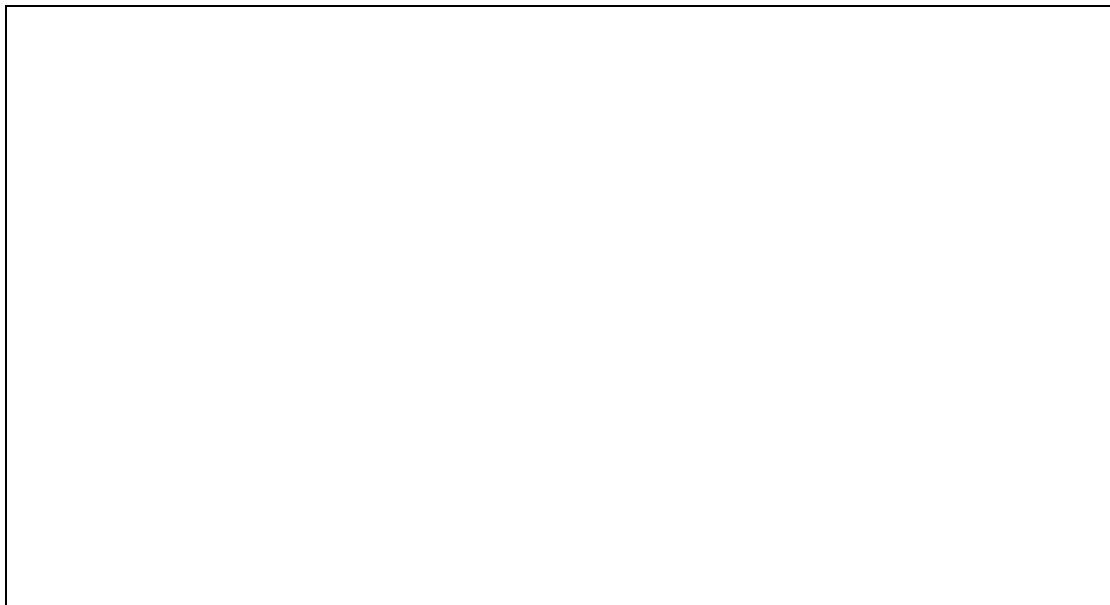
Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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A5 Task Analysis or Activity Specifications

Self Rating:	
Auditor Rating	

Topic not relevant	because
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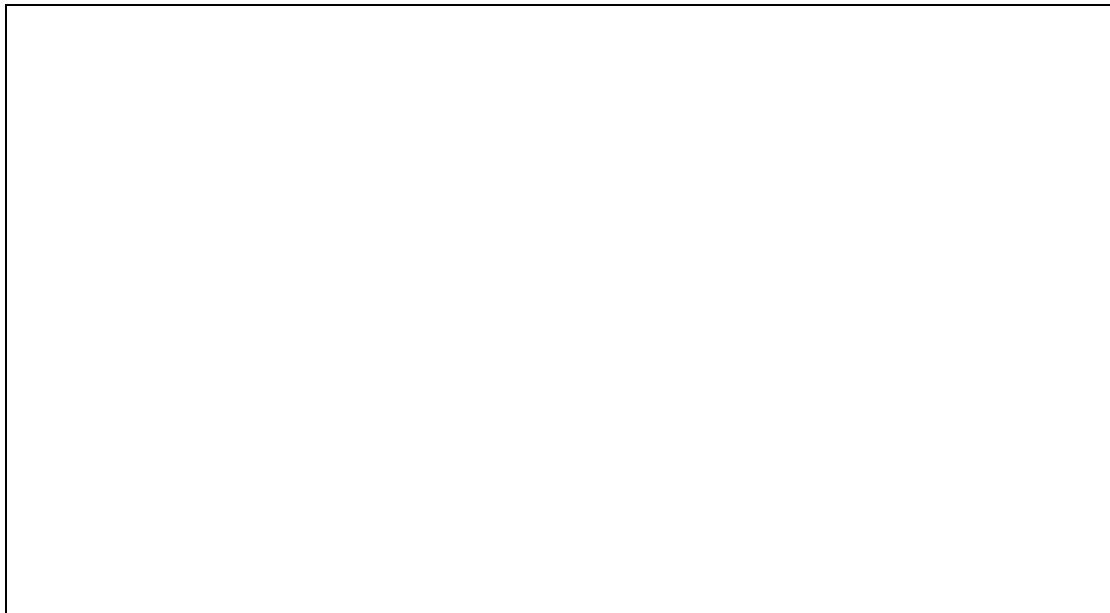
Closely related to the qualification records is a deployment record that relates all activity leaders to the activities they have been approved to lead or supervise. In some cases, typically for organisations with a large number of staff or volunteers and/or a high turnover of leaders, this document 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 record of all activities, which identifies the qualifications and experience required to lead or assist with each one. This is kept current and is cross matched to individuals' names in the organisation.
B	There is a record of all activities, which identifies the qualifications and experience required to lead or assist with each one. This is kept current.
C	There is a record of all activities, which identifies the qualifications and experience required to lead each one. This is kept current.
D	The qualifications and experience required to lead or assist with all activities is verbally communicated.
E	No analysis of tasks exists.

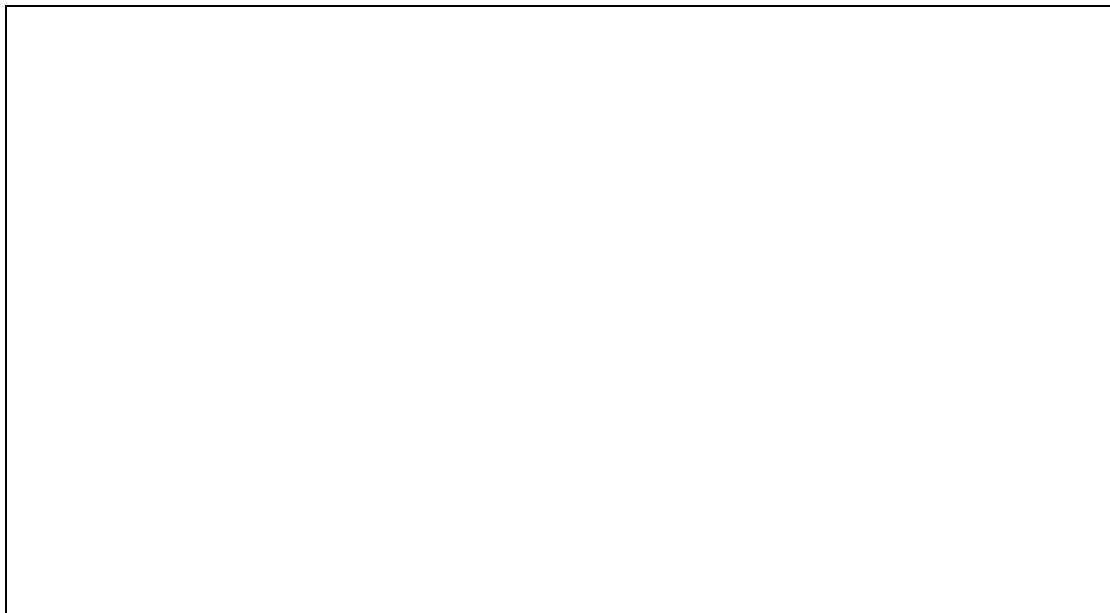
Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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A6 Daily Assigning of Leaders for Activities

Not rated	

Topic not relevant	because
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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, actions will have to be taken, 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 who 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. In this situation specific attention should be paid to ensure adequate communication systems exist to make changes based on varying environmental conditions etc. **See B10.**

Tick applicable box

	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.
	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.
	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.
	Specific duties are vetted on a daily basis by a senior person.
	Activity leaders are responsible for their own daily deployment decisions.

Self-assessment comments

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Safety Auditor comments

A large, empty rectangular box with a thin black border, intended for the safety auditor to provide their comments.

A7 Clarity of Responsibility

Self Rating:	
Auditor Rating	

Topic not relevant

because

There are many things to be done in order to assure the safety of participants before embarking on any recreation 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.

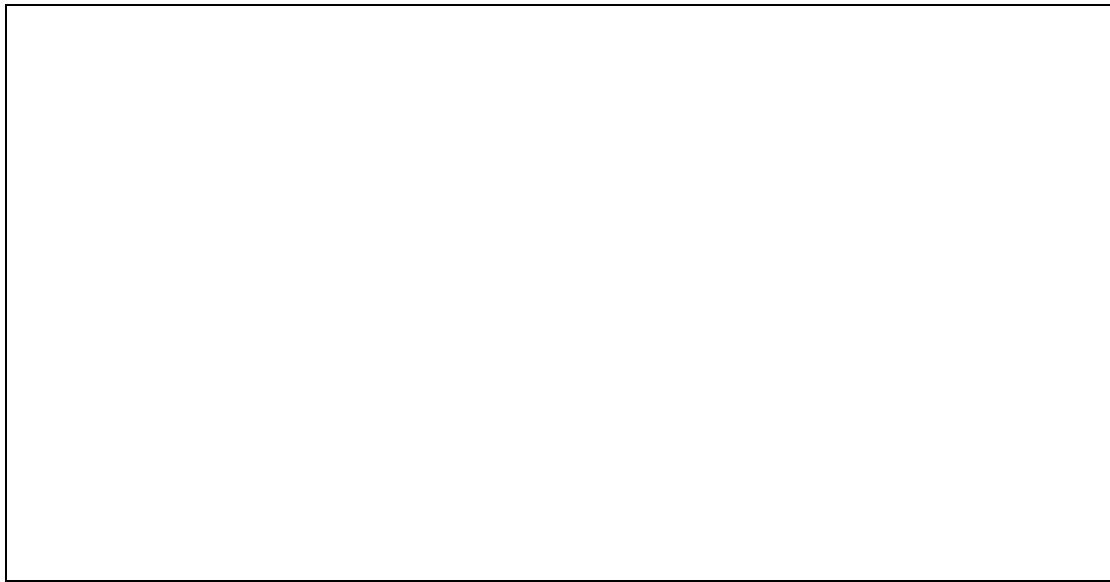
If there is a lack of clarity as to who is responsible for each of these matters, then oversights can occur. Matters can cascade out of control, particularly after an incident, accident or even a minor emergency, unless those involved are aware of what is expected of them, and the boundaries of their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

A	All employees have responsibilities clearly documented in their job description. 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 employees have responsibilities clearly documented in their job description. 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	All employees have responsibilities clearly documented in their job description. 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.
E	There is no agreed picture of who is responsibility for what.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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A8 Recruitment of Activity Leaders

Self Rating:	
Auditor 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 decisions, possibly while 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. 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 the right people.

A	Before they are engaged, potential leaders are interviewed, copies of their qualifications examined, their references are checked, they are asked to disclose any significant criminal convictions and medical/mental issues that may prevent them from being able to perform their role. They are observed instructing, police and similar checks are carried out, and their driving licence is examined where applicable.
B	Before they are engaged, potential leaders are interviewed, copies of their qualifications examined, their references are checked, they are asked to disclose any significant criminal convictions and medical/mental issues that may prevent them from performing their role. They are observed instructing.
C	Before they are engaged, potential leaders are interviewed, copies of their qualifications are examined, their references are checked, and any significant criminal conviction or medical/mental issue disclosed.
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.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

A9 Induction of Activity Leaders

Self Rating:	
Auditor Rating:	

Topic not relevant	because
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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 sites, or with the emphasis that you require. This function cannot be satisfactorily replaced with guidance notes. Nor will nationally recognised 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 **A2** (qualifications), **B1** and **2** (operational procedures), **B6** (emergency procedures), etc.

"Site(s)" is used here 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 that are of highest risk.

A	All activity leaders are inducted into operational systems, policies, guidelines and procedures by an experienced senior person and are checked for understanding. All activity leaders are inducted in all activities at all sites by an experienced senior person or technical adviser and given feedback on their performance with participants before they lead that activity on their own.
B	All activity leaders are inducted into operational systems, policies, guidelines and procedures by an experienced senior person and are checked for understanding. All activity leaders are inducted in key activities at all key sites by an experienced senior person or technical adviser before they lead that activity on their own.
C	All activity leaders are inducted into operational systems, policies, guidelines and procedures by a competent person. All activity leaders are inducted in all key activities at all key sites by a competent person.
D	Some activity leaders are inducted in some activities by a competent person before they lead that activity, or are inducted into all activities but no systems.
E	There is no induction process in place.

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

Self-assessment comments

Safety Auditor comments

A10 Monitoring & Appraisal

Self Rating:	
Auditor Rating:	

Topic not relevant

	because
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Even though you may have carried out a thorough induction, it is still not generally accepted 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 suitably qualified managers. Feedback is recorded and incorporated into the activity leader's training pathway or professional development.
B	All activity leaders are involved in systematic practical appraisal sessions (whilst leading activities) where they are observed by an experienced senior person. Feedback is recorded and highlights areas of strength and needs for development.
C	All activity leaders are observed on a regular basis by an experienced senior person, and feedback is given that highlights strengths and areas requiring development.
D	Some activity leaders are observed by an experienced senior person.
E	There is no policy of monitoring and appraising leaders after their initial induction.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

A11 Activity Leader/Instructor Training

Self Rating:	
Auditor Rating:	

Topic not relevant	because
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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 as identified in inductions, appraisals and throughout the year or season. 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 activity 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.

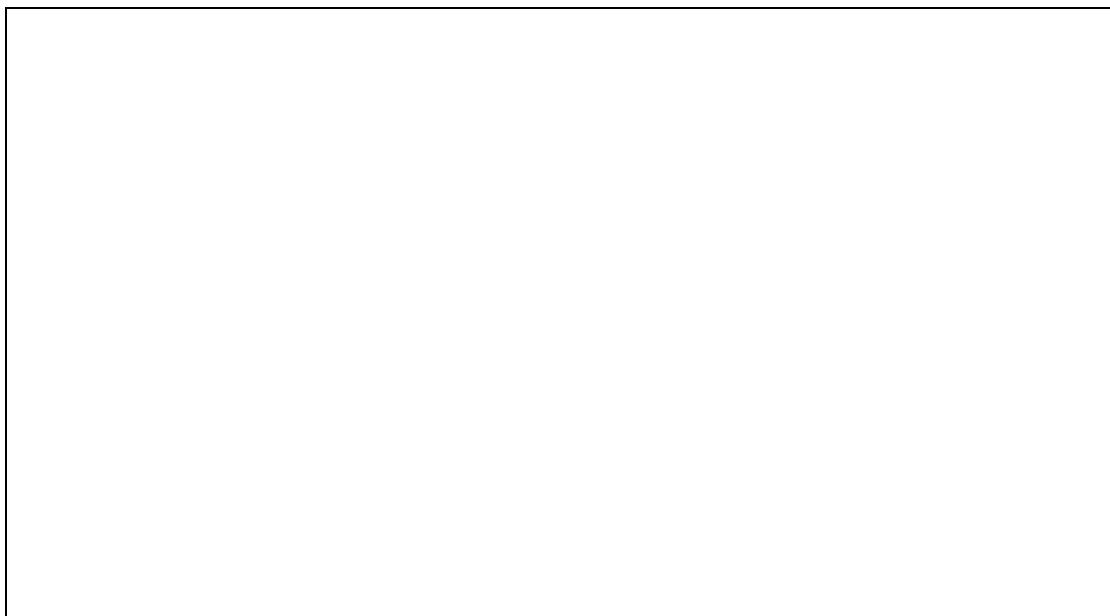
A	There is a written individual training programme for each activity leader that addresses their individual needs, with regular training throughout the year or season and designed to meet the objectives of the organisations programmes.
B	All leaders receive training and for most there is a written individual training programme. Training takes place throughout the year.
C	All leaders receive training. Training takes place at least once a year.
D	Activity leader training sessions generally take place annually or at the start of the season.
E	There is no formal training for activity leaders.

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

Self-assessment comments

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Safety Auditor comments

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A12 Support Staff Training

Self Rating:	
Auditor Rating:	

Topic not relevant

	because
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It is important that organisations train support staff as well as activity leaders. These people perform a variety of roles from non-activity supervision to emergency communications. Each role has its own training requirements.

A	There is a written individual training programme for each support person that addresses his or her individual needs, with regular training throughout the year or season and designed to meet the objectives of the organisations programmes.
B	All support staff receive training and for most there is a written individual training programme. Training takes place throughout the year.
C	All support staff receive training. Training takes place at least once a year.
D	Support staff training sessions generally take place annually or at the start of the season.
E	There is no formal training for support staff.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

A13 Recording of Professional Development

Self Rating:	
Auditor Rating:	

Topic not relevant	because
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Professional development is a reasonable expectation of all staff. It is more important that the training happens and good practice that it is recorded. Recording professional development sessions makes it easier to subsequently remember what has been done and with whom, and so to plan future sessions more productively.

There should be clear links between appraisals, training pathways, and assessments.

A	There is an individual training log for each leader and assistant leader where details are kept of all internal and external training and assessment (both formal and informal) and when any revalidation or refresher training is due.
B	There are general records of the internal and external (formal) leader training and assessments.
C	There are general records of all in-house and external assessments and training attended.
D	Some details of instructional staff training sessions are recorded.
E	Staff training is not generally recorded.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

A14 Contract Staff and Volunteers

Self Rating:	
Auditor Rating:	

Topic not relevant

because

Staff here includes casual, irregular or part-time activity leaders.

It can be difficult to control what is happening and who has been inducted, up-dated or observed when there is a large turnover 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 contract persons, who are used on a regular basis and are fully inducted in the operation. Records must be kept on such staff of qualification, experience and that they have their referees and references checked.

A	The same level of experience and qualification is expected and checked from contract or volunteer activity leaders and supervisors as would be from paid staff engaged to do the same job. They are appraised and monitored periodically to ensure that what they are doing is safe practice.
B	The same level of experience and qualification is expected and checked from contract and volunteer activity leaders and supervisors as would be from paid staff engaged to do the same job.
C	All contract and volunteer activity leaders and supervisors are expected to be sufficiently experienced and qualified for what they're proposing to do.
D	Some vetting of contract and volunteer leaders' and supervisors' technical competence is carried out.
E	All offers of help are gratefully received and the commonsense of the contract and volunteer leader or supervisor is relied upon to limit activities to areas where they feel they are competent.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

A15 Staff: Participant/Client Ratios

Self Rating:	
Auditor Rating:	

Topic not relevant	because
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Staff here includes casual, irregular or part-time activity leaders plus contractors.

Staff to client/student ratios are very subjective and depend entirely on the circumstances of the activity and the experience of all the people involved.

"A ratio compares the number of skilled and experienced leaders with the number of participants. It is important that the ratio is adequate to ensure a high-quality, safe experience. Although it is not ideal, sometimes you may have to adapt the activity for the number of participants that you have." (See Outdoor Activities – Guidelines for Leaders)

While there are no fixed or legal ratios between staff and participants/clients, the outdoor industry has some clear guidelines as to what is reasonable given the type of group and the experience of the leader. For instance it is not unreasonable to expect an experienced tour guide to have up to 20 clients on a short walk to a road end waterfall. Nor would it be unreasonable for an experienced leader to 'shadow' a party of 12-14 trainee leaders on an expedition into the bush.

The ideal ratios depend on a range of factors which you should identify during your risk assessment. There is no simple answer applicable to all situations.

It is important however, that each organisation determines its ratios, can justify them, and records them in their operational procedures.

A	Staff to student/client ratios are determined and written into operational procedures. All nationally established ratio guidelines are adhered to.
B	Staff to student/client ratios are determined and written into operational procedures. Some nationally established guidelines are adhered to.
C	Staff to student/client ratios are determined and written into operational procedures.
D	Some staff to student/client ratios are determined and used as a guideline.
E	Staff to student/client ratios depend on the circumstances at the time of activity planning.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

Section B:

Operational Procedures

B: Operational Procedures

B1 Occupational Health & Safety (OHS) Policy

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Organisations must have an overall occupational health and safety policy that has been authorised by top management, documented, implemented, maintained and communicated to all staff and interested parties – including any contract or volunteer personnel who are only involved with you periodically.

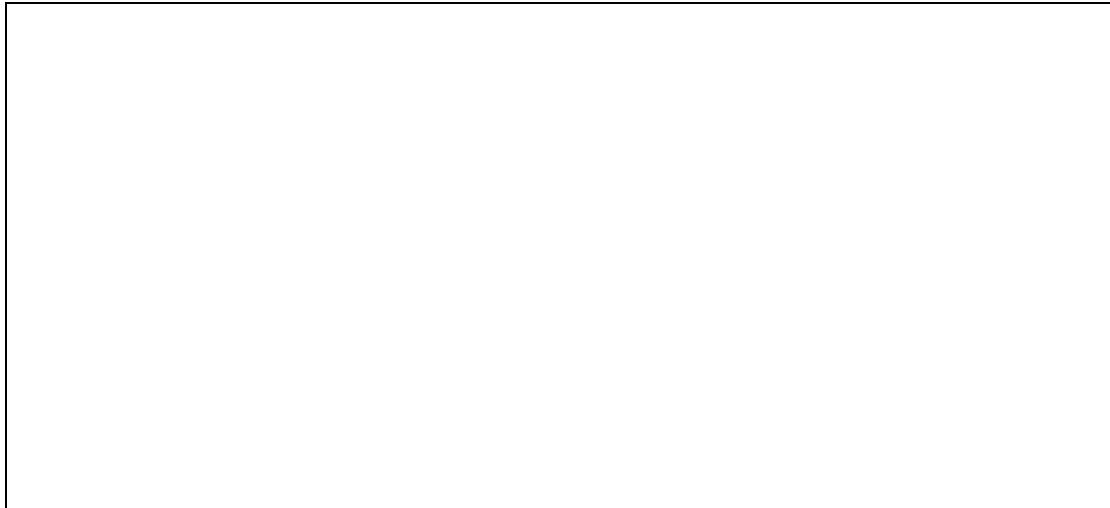
The policy contains your organisation's commitment to achieve your OHS objectives and measurable targets and to improve the organisation's overall OHS performance.

The policy shall also be appropriate to the nature and scale of the organisation's risks, and be reviewed periodically to ensure it remains relevant to your organisation and includes any changes that may have occurred.

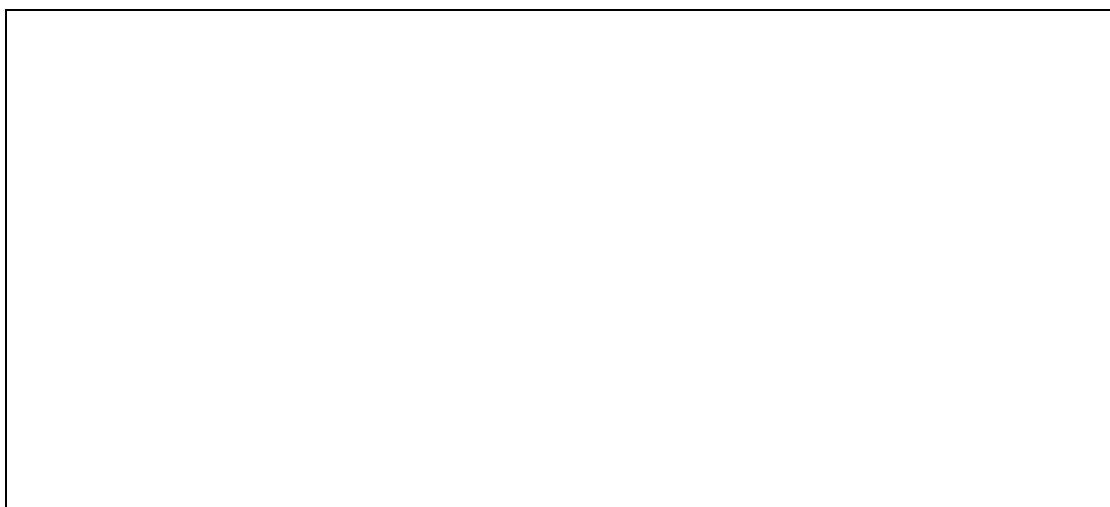
A	There is an overall OHS policy authorised by top management which adheres to all of the above requirements. Policy specifically refers to the organisation's outdoor activities and the need to recognise the unique properties of managing risk in the outdoors.
B	There is an overall OHS policy authorised by top management which adheres to all of the above requirements. Policy specifically refers to the organisation's outdoor activities.
C	There is an overall OHS policy authorised by top management which adheres to all of the above requirements.
D	There is a basic OHS policy on file.
E	There is no OHS policy.

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

Self-assessment comments



Safety Auditor comments



B2 Recognising Industry Standards

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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Many outdoor activities have associated nationally recognised qualifications to support the safer leadership and supervision of the activities being undertaken. Most of these qualifications have been established by nationally recognised accreditation organisations and are generally accepted throughout the outdoor industry. Most of the current outdoor activity qualifications have two levels of achievement e.g. – NZOIA/NZMSC Bush 1 & 2. Usually those who have achieved the level 2 (or above e.g. NZMGA Guide) award can be considered as a “Technical Advisors” in their activity.

Those activities which currently do not have nationally recognised industry qualifications (e.g. fishing, biking, tour guiding) do however, have some generic qualifications or training courses which are recognised and are an accepted minimum standard for those activities. Such generic certification/training courses are first aid and risk management.

For an organisation to operate at an acceptable level of competence, it must first acknowledge and understand the types of awards and qualifications (or equivalents) which are accepted and recognised by the outdoor industry. These should be recorded for future reference.

A	Recognised industry qualifications or minimum generic certification or training for each activity undertaken are recorded. Equivalencies are also known and recorded.
B	Recognised industry qualifications or minimum generic certification or training for each activity undertaken are recorded. Equivalencies are known.
C	Recognised industry qualifications or minimum generic certification or training for each activity undertaken are recorded.
D	Recognised industry qualifications or minimum generic certification or training for some activities undertaken are known.
E	Recognised industry qualifications or minimum generic certification or training for the activities undertaken are NOT known.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B3 Operational Activity Procedures

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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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.

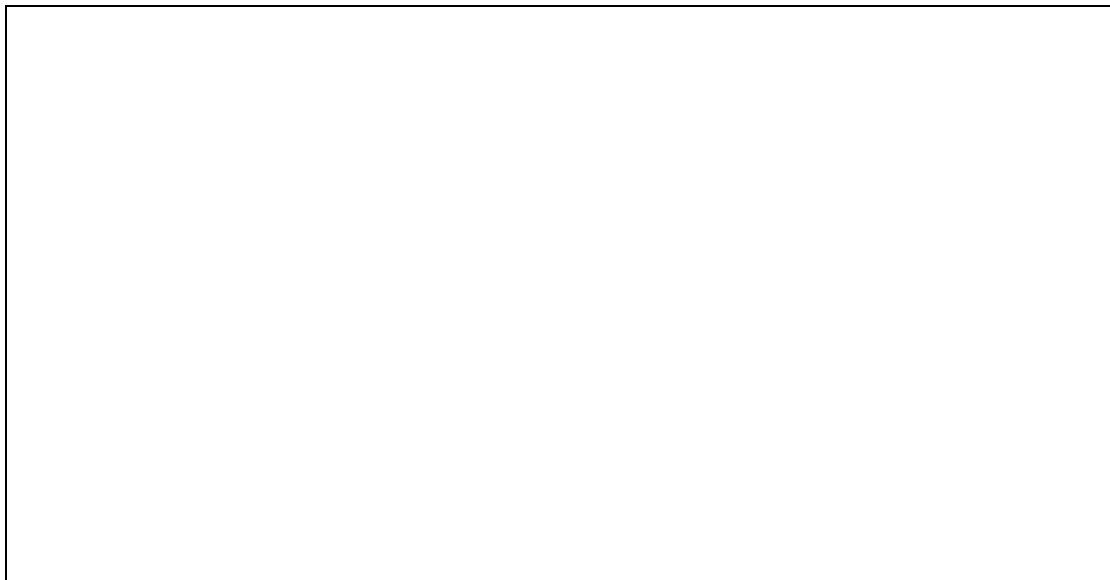
They should be sufficiently brief so that they can be easily read and the information retained by the activity leaders and assistants who use them. These documents are not a substitute for training. In some cases they may be best thought of as 'hand-outs' that accompany activity leader training. In others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

A	Written specific operational procedures are maintained and reviewed/updated annually for all activities and for all sites.
B	Written specific operational procedures are maintained for all activities and all sites.
C	Written generic operational procedures are maintained which cover each activity.
D	Written generic operational procedures are maintained which cover some activities.
E	There are no written operational procedures.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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B4 OHS Document Control System

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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Organisations are required to establish, implement and maintain procedures for the identification, maintenance and disposition of all occupational health and safety records and documents as well as the results of audits and reviews.

All OHS records must be kept up-to-date, dated and any changes or upgrades are to be communicated or distributed to all relevant staff. This includes any contract or volunteer personnel who are only involved with you periodically.

All current OHS documents will be stored and dated and all out-of-date records will be archived for future reference.

A	Health and safety documents are reviewed pro-actively at specified and timetabled intervals of 2 – 3 times per year. In addition, specific operational procedures are reviewed as a result of reported incidents (near-misses, equipment damage, feedback from participants, accidents, etc.). The resulting updates and revisions are communicated to all relevant activity leaders before the activity recommences.
B	Health and safety documents 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 communicated to all activity leaders annually.
C	Health and safety documents are reviewed annually and in the event of a significant incident and updates are communicated to all relevant activity leaders.
D	Specific health and safety documents are revised largely as a result of accidents and near misses.
E	There is no policy to update health and safety documents.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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B5 Updating Operational Procedures

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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Operational procedures should be dynamic and reviewed regularly. As circumstances differ such as venue, new equipment or incidents, then changes may be necessary. These changes must be ratified by management and communicated to all staff involved.

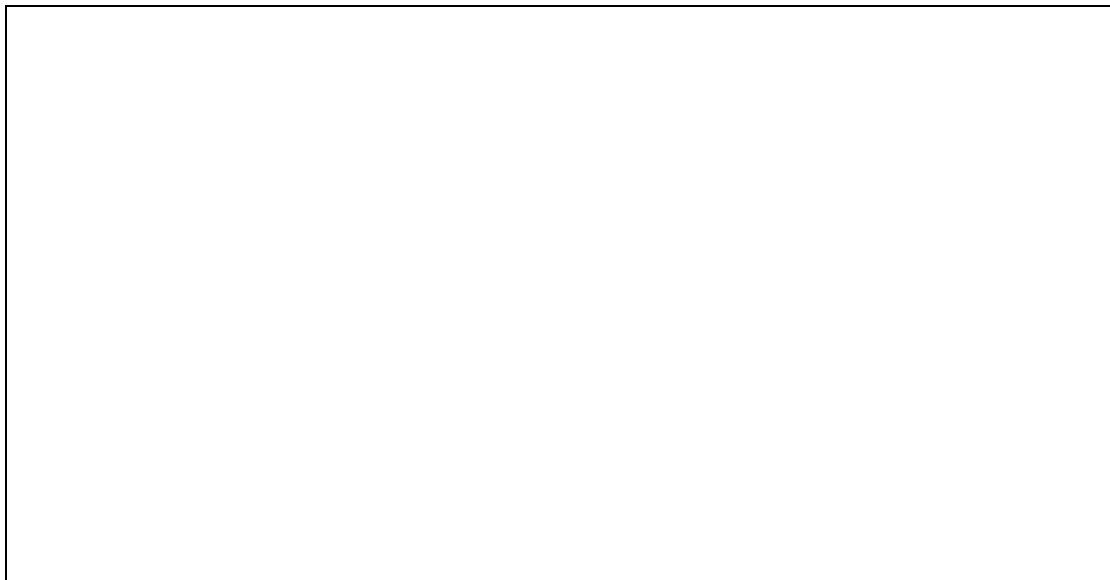
That includes the contract or volunteer person who is only involved with you periodically.

A	Operational Procedures are reviewed pro-actively at specified and timetabled intervals of 2 – 3 times per year. In addition, specific operational procedures are reviewed as a result of reported incidents (near-misses, equipment damage, feedback from participants, accidents, etc.). The resulting updates and revisions are communicated 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 communicated to all activity leaders before the activity recommences.
C	Operational Procedures are reviewed in the event of a significant incident and updates are communicated to all relevant activity leaders before the activity recommences.
D	Specific operational procedures are revised largely as a result of accidents and near misses.
E	There is no policy to update operational procedures.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

A large, empty rectangular box with a thin black border, intended for the safety auditor to provide their comments.

B6 Formal Risk Assessment

Self Rating:	
Auditor Rating:	

Topic not relevant

because

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

Much of the work is implicit within the codes of practice of national outdoor organisations and their resulting training programmes and qualifications. However, these must be set in the context of significant site-specific hazards and operational-specific circumstances which no national scheme can take account of. It remains your responsibility to identify the severity of and the control (eliminate, isolate or minimise) method for these hazards.

Risk assessments can take many forms. The outdoor community is fortunate enough to have a comprehensive training and accreditation programme. 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.

Perhaps the best way of thinking of a written risk assessment is as a checklist of things you would go through with 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.

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

A	Separate risk assessments have been carried out for each activity and each venue and specific site, and the results recorded. All hazards are severity-rated and the control identified and implemented. All the issues identified have been incorporated into operational procedures. The risk assessments and procedures are reviewed and updated annually and after any significant incident.
B	Generic risk assessments have been carried out which cover all activities and all sites. All hazards are severity-rated and the control identified and implemented. Key issues have been incorporated into operational procedures. These are reviewed annually.
C	Overall risk assessments have been carried out which cover all hazardous activities and the all hazardous sites. All hazards are severity-rated and the control identified and implemented. Key issues have been incorporated into operational procedures.
D	Risk assessments are integral within the training and qualifications of our activity leaders.
E	There is no formal process of identifying risks.

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

Self-assessment comments

Safety Auditor comments

B7 Meetings for Activity Leaders

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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These are an ideal means of discussing and sharing a range of operational matters including those related to safety. The practice should be essential in all organisations. All activity staff should have the opportunity to attend, including, part-time, volunteer and contract leaders.

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

A	Formal meetings attended by all activity leaders and staff take place on a daily or weekly timetabled basis throughout the operational season of that activity. Operational procedures and those relating to safety and good practice are discussed and action plans put into place. Minutes are kept of the meetings.
B	Formal meetings usually attended by all activity leaders take place on a programmed basis throughout the operational season of that activity. Operational procedures and those relating to safety and good practice are discussed and action plans put into place. Minutes are kept of the meetings.
C	Formal meetings attended by most activity leaders take place on a frequent basis throughout the operational season. Operational procedures and those relating to safety and good practice are discussed. Notes are taken.
D	Formal meetings attended by some activity leaders take place at least once during the operational season. Operational procedures and good practice are discussed.
E	Informal meetings of management, where operational procedures relating to safety and good practice are discussed and recorded, take place at least annually.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B8 Meetings for Health & Safety Matters

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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These are an ideal means of fulfilling a range of obligations related to safety. The practice should be essential in all organisations. All activity staff should have the opportunity to attend, including, part-time, volunteer and contract persons.

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

A	Formal meetings attended by all activity leaders and staff take place on a weekly programmed basis throughout the operational season of that activity. Issues relating to safety and good practice are discussed and action plans put into place. Minutes are kept of meetings. Any new matters are communicated to activity leaders who do not attend.
B	Formal meetings usually attended by all activity leaders take place on a frequent programmed basis throughout the operational season of that activity. Issues relating to safety and good practice are discussed and action plans put into place. Any new matters are communicated to activity leaders who do not attend.
C	Formal meetings attended by most activity leaders take place on a frequent basis throughout the operational season. Issues relating to safety and good practice are discussed and notes taken. Any new matters are communicated to activity leaders who do not attend.
D	Informal meetings attended by some activity leaders take place at least once during the operational season. Issues relating to safety and good practice are discussed.
E	Informal meetings of management, where issues relating to safety and good practice are discussed and recorded, take place at least annually.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B9 Emergency Procedures

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Emergency procedures and preparedness are an essential component of any outdoor organisation's safety planning. They are the "ambulance-at-the-cliff-bottom" of an outdoor activity which, if your safety management is effective, may never be needed. However, along with hazard identification and management, written emergency procedures are an extremely important element of any safety planning.

These written procedures should not be seen as a substitute for training, but as an integral part of any training, or induction programme. You can't expect to cover everything at once but it will all need to be covered if an effective safety training system is to be achieved.

One initial approach to achieving an effective introduction to emergency procedures is to address both ends of the hazard scale.

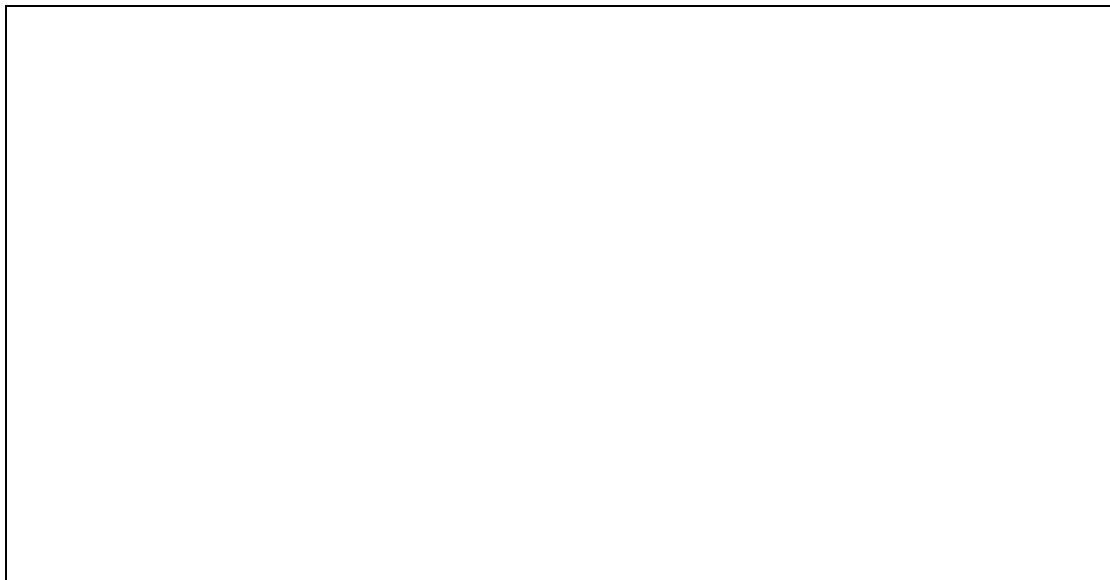
- Provide guidance for those minor situations which are comparatively common and therefore quite likely to occur, such as transport failing to arrive (or breaks down) or what to do if someone sprains or twists an ankle, and also:
- Provide guidance for the more serious or worst case scenarios such as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

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

A	Separate written emergency procedures are maintained for each activity and each site. These are covered during the induction of activity leaders, are programmed periodically for review and analysis, and are regularly timetabled for practise in the form of rescue exercises, disaster clinics, or simulated incidents.
B	General, written emergency procedures are maintained which cover all activities and all sites. These are covered during the induction of activity leaders, and are periodically reviewed and analysed, and are practised in the form of rescue exercises, disaster clinics or simulated incidents.
C	General, written emergency procedures are maintained which cover all activities and all sites. These are covered during the induction of activity leaders, and are periodically practised, and analysed.
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.

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

Self-assessment comments

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Safety Auditor comments

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B10 Hazard identification, Reporting and Recording

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Effective organisations have a robust culture of encouraging staff to identify and report all hazards as they are recognised. Such organisations have clear guidelines as to what they determine constitutes a hazard in the context of their activity(s). Obviously discretion is accepted depending on the experience of the leaders but generally there will be a range of criteria to use as a guideline for hazard identification.

Once identified there will be a clear operating procedure for how the hazard is to be recorded and what procedures there are to evaluate the hazard and for taking any required action.

A	There is a written policy directing staff in the procedure for hazard identification and reporting. There are written criteria and guidelines for hazard identification and recording. There is a written hazard severity rectification timeframe. There is a written agreement that allows staff to halt an activity if an identified hazard threatens the safety of the group. Hazards are identified and recorded within a given timeframe. Identified hazards are evaluated immediately after being reported and action to rectify them taken within the “severity timeframe”.
B	There is a policy that expects hazards to be identified and reported. There are written criteria and guidelines for hazard identification and recording. There is a written agreement that allows staff to halt an activity if an identified hazard threatens the safety of the group. Hazards are identified and recorded. Identified hazards are evaluated immediately after being reported and action to rectify it is taken.
C	There is a policy encouraging hazard identification and reporting. There are criteria and guidelines for hazard identification and recording. There is an agreement that allows staff to halt an activity if an identified hazard threatens the safety of the group. Hazards are identified and recorded. Identified hazards are evaluated as soon as practicable.
D	It is assumed leaders know what a hazard is. Identified hazards are reported. Identified hazards are evaluated when there is time.
E	There are no hazard reporting procedures.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B11 Measuring Prolonged Exposure to Known Hazards

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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To eliminate or isolate the hazards in the outdoors from both participants or staff usually means not doing the activity at all.

Most known hazards in the outdoors can only be controlled through minimisation. This is usually effectively achieved by using trained experienced leaders and the right equipment which helps reduce the possible unwanted consequences of participants being exposed to hazards.

However, most leaders as employees may be exposed for prolonged periods to hazards such as the sun, cold, carrying heavy loads or stress. It is an employer's responsibility to monitor their employees' prolonged exposure to any known hazard(s) and to mitigate the risks of that exposure.

A	All staff are monitored for the effects of prolonged exposure to known hazards. Monitoring is carried out every six months by a medical professional.
B	All staff are monitored for the effects of prolonged exposure to known hazards. Monitoring is done every twelve months by a medical professional.
C	All staff are monitored every two years for the effects of prolonged exposure to known hazards.
D	Some staff are monitored for the effects of prolonged exposure to known hazards.
E	Staff are NOT monitored for the effects of prolonged exposure to known hazards.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B12 Incident (accident/near-accident) Reporting and Recording

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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An incident can be interpreted as any event that either causes harm (accident) to a person or under different circumstances would have caused harm (near-accident).

The culture of reporting incidents with “**no blame**” is an extremely empowering process for improving activity and site safety.

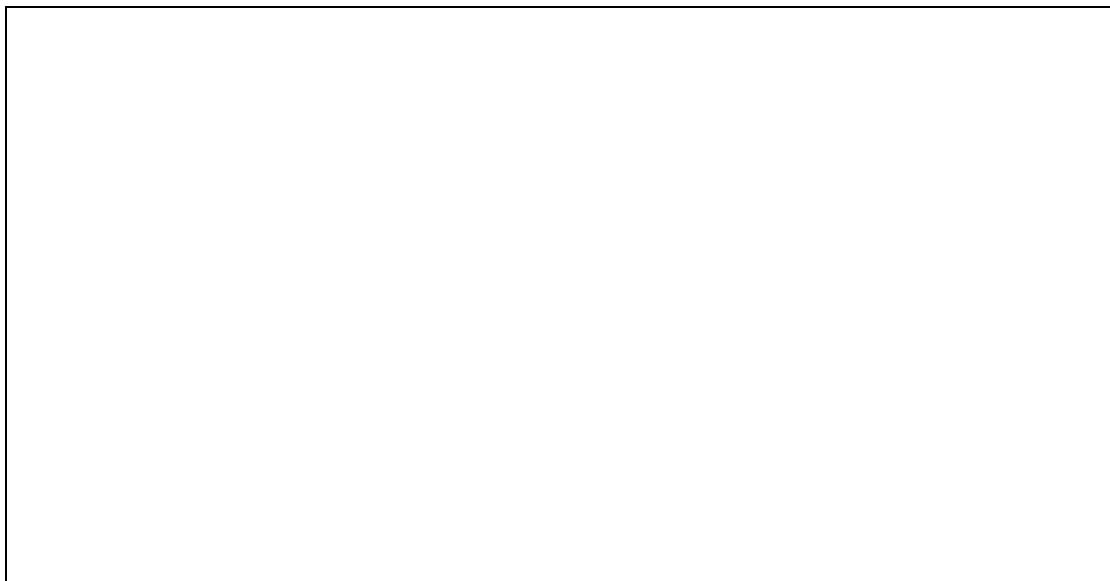
It is important to develop and record a clear understanding of what constitutes a “near-miss” incident within your organisation. This is done so everyone is absolutely clear that if an incident (near-miss or accident) occurs they know exactly whether or not to report it and the process for doing so.

All incidents should be reported and recorded then installed on a database so that any trends can be identified and systems/procedures put in place to control any emerging hazard. Some organisations have a specific incident reporting form which helps in gathering the relevant information and inputting the data.

A	A written “no-blame” policy for incident reporting exists. A written statement on what constitutes a near-miss incident exists. All incidents are noted and reported by leaders. All incidents recorded on incident reporting format. All incident information is fed into incident database for future use. All significant accidents and near-accidents are reported to OSH and any controlling authority e.g. DOC.
B	A “no-blame” policy for incident reporting exists. A written statement on what constitutes a near-miss incident exists. All incidents are noted and reported by leaders. All incidents recorded on incident reporting format. All significant accidents are reported to OSH and any controlling authority e.g. DOC.
C	A “no-blame” policy for incident reporting exists. Leaders understand what constitutes a near-miss incident. All incidents are noted and reported by leaders. All incidents recorded on incident reporting format. Serious harm accidents are reported to OSH and any controlling authority e.g. DOC.
D	Some incidents are noted and reported by leaders. Some incidents recorded on incident reporting format. Some accidents reported to OSH.
E	There are no incident reporting procedures.

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

Self-assessment comments

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Safety Auditor comments

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B13 Accident and Near-Accident Investigation & Review

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Investigating and reviewing significant accidents as well as near-accidents is an important way of trying to make sure it doesn't happen again. The reporting, reviewing and analysis of incidents is used by a progressive organisation as an important learning-tool to help in their development and to make changes and advance the skills and safety aspects of their activities.

It is very important that all accidents and near-accidents are investigated thoroughly as soon after the event as possible. They can then be analysed to determine if there is any immediate need to alter policy, practice, or behaviour.

Accidents do occur. Concern would be raised, however, if the provider has the same or similar accident/near-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.

Even voluntary associations should inquire under exactly what circumstances they should report accidents and near-accidents under OSH.

The recording of all incidents on a database and the analysis of subsequent accumulative information can also show any trends that may lead to changes within the organisation or activity.

A	There is a written policy requiring accidents and near-accidents to be recorded in a database register. There is a written Standard Operating Procedure that requires incidents to be investigated within 24 hrs of reporting. Incidents are investigated and reviewed within 24hrs of being reported. Alterations to policy, procedures or behaviour occur immediately if required.
B	There is a verbal policy requiring accidents and near-accidents to be recorded in a database register. There is a Standard Operating Procedure that requires incidents to be investigated within 48 hrs of reporting. Incidents are investigated and reviewed within 48hrs of being reported. Alterations to policy, procedures, or behaviour occur as soon as possible if required.
C	There is a Standard Operating Procedure that requires accidents and near-accidents to be investigated within 5 days of reporting. Incidents are investigated and reviewed within 5 days of being reported. Alterations to policy, procedures, or behaviour occur if required.
D	Accidents are investigated and reviewed when convenient after being reported. Alterations to policy, procedures, or behaviour may occur if required.
E	There are no incident investigation or analysis procedures.

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

Self-assessment comments

Safety Auditor comments

B14 Ease of Contact and Communication between Management & Activity leaders

Self Rating:	
Auditor Rating:	

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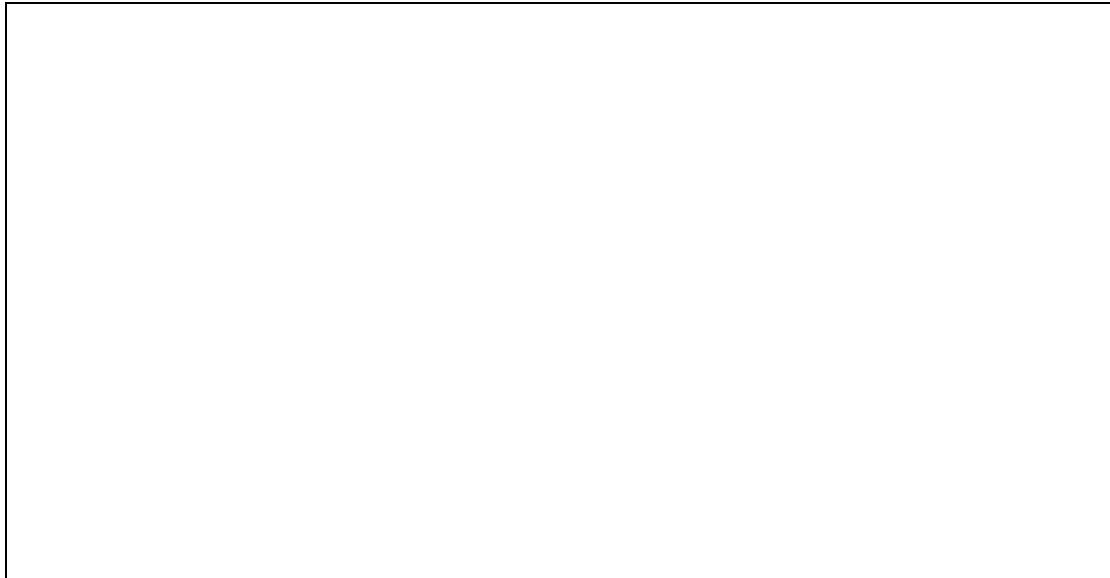
Things often spiral out of control because of poor lines of communication. Once something starts to go wrong, 'who can be contacted', 'when' and 'how' are often significant factors.

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.

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

Self-assessment comments

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Safety Auditor comments

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B15 Communication with Expeditions

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Communication with expedition parties is often difficult due to their remoteness and the amount of time they are travelling. Communications therefore are often only achieved in the mornings, possibly at lunchtimes but most successfully in the evenings.

Due to the remoteness of most expedition parties, cell phones and UHF radios are ineffective for communications. Instead, mountain radios or satellite phones are the best means of communicating with base. All communication devices have their limitations and these need to be considered when making a decision on which one to use in remote areas.

A	Coordinators can contact activity leaders and vice versa at least three prearranged times during the day.
B	Coordinators can contact activity leaders and vice versa at least two times during the day.
C	Coordinators can contact activity leaders and vice versa at least once during the day.
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.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B16 Location of Overdue Groups

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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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 in the bush 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 a response is generally 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 the designated person will be alerted at the designated 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 a designated person alerted at a designated 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 a person alerted at the time. Procedures are in place for locating and returning the group to a secure base without necessarily involving emergency services.
D	If a group fails to return their absence will be noticed, their whereabouts will be known, and a person alerted at the time.
E	If a group fails to return their absence will be noticed and the alarm raised.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B17 Modification of Site or Activity

Not rated	

Topic not relevant

	<i>because</i>
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For a variety of reasons the site or activity planned may not be possible. . There is then a danger that the activity leaders may autonomously change to something, or somewhere, unsuitable. 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 informed decision.

Tick relevant box

	Activity leaders only use the site and activity allocated or agreed.
	Activity leaders will generally only use the site and activity allocated or agreed, although clear parameters exist should they wish to change site or activity.
	Activity leaders decide which of a fixed range of sites and/or activities to use.
	Activity leaders normally decide to use one of a fixed range of sites and/or activities, but on occasions may use others.
	Activity leaders may use whichever site or activity they think most suitable.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B18 Modification of Activities or Site Because of Weather etc.

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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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 super tanker, 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 vehicles or offices.

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 safety measures instituted. Good communications are absolutely vital throughout.

A	The event can be cancelled 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 cancelled 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 cancelling the event.
D	The event cannot be cancelled in advance - only when participants reach a checkpoint en route. There are no bad weather plans.
E	The event takes place, or continues come what may!

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

B19 Reviewing Management and Field Activities

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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Progressive organisations have their operational management and field activities reviewed on a regular basis in an attempt to avert any potential safety issues that could arise as a result of complacency or out-of-date practices.

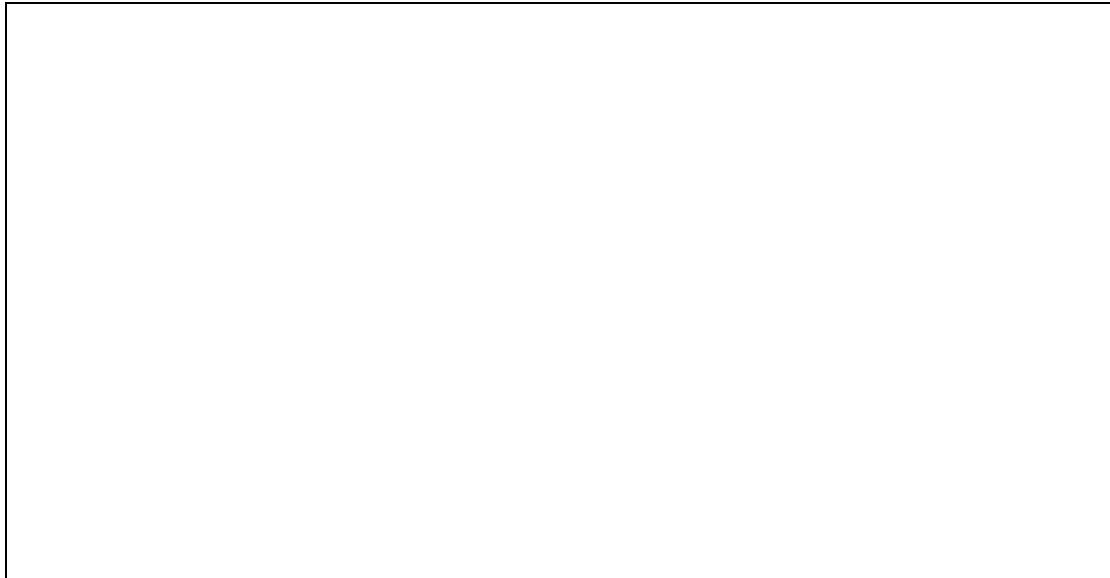
Most organisations perform internal reviews but less invite an outside qualified safety auditor to check their systems. Such people, because of their exposure to a wide range of other outdoor organisations and activities, can give an objective and constructive review of an organisation's management and practical systems.

A	An internal operational document review carried out annually. An internal field review of all activities done annually. A peer review of all field activities is done every two years. An external document and field activities review carried out by a qualified (ROSA) outdoor safety auditor is done every three years.
B	An internal operational document review carried out annually. An internal field review of an activity done annually. A peer review of a field activity is done every two years An external document and field activities review carried out by a qualified (ROSA) outdoor safety auditor is done every three years.
C	An internal operational document review carried out annually. An internal field review of an activity is done annually. An external document and field activities review carried out by a qualified (ROSA) outdoor safety auditor is done every three years.
D	An internal review of operational documents and field activities is done every three years.
E	There is no internal or external review of operational documents or field activities.

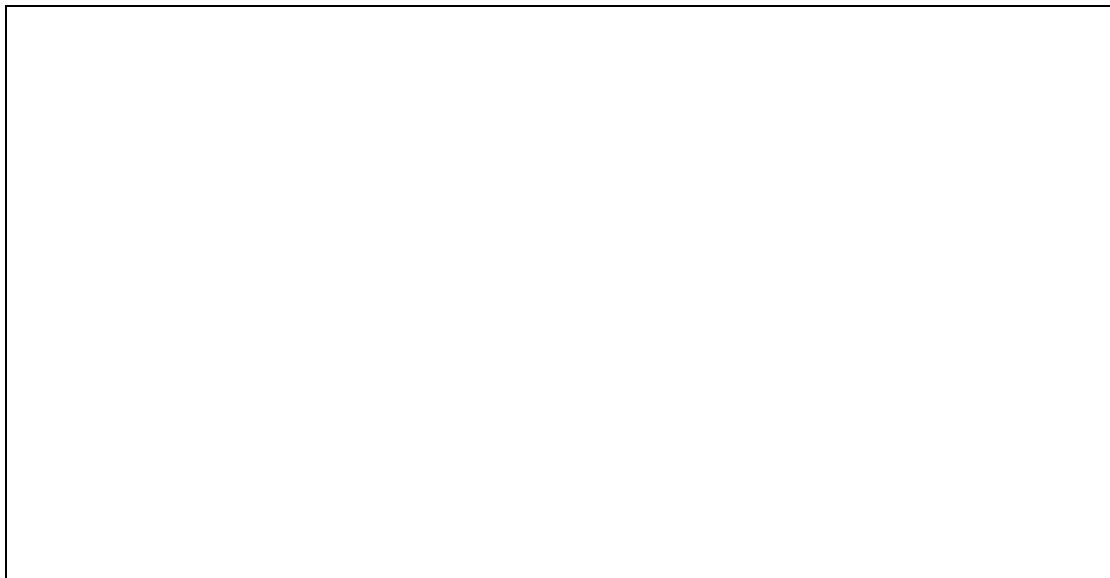
Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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Section C:

Equipment, Sites, Facilities, and Activities

C1 Activities

Not rated	

Most providers only offer a limited range of activities. Be realistic about what is safely offered and don't be pressurised into trying to do activities that you are not qualified to undertake.

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

In the table below, there is no implied rating' - it's really just a simple question about your organisation.

Tick relevant box

	Specific activities, sites, and activity leaders are selected according to the wishes and abilities of each group.
	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.
	Participants are offered a fixed range of activities.
	Provision is made for one activity only, though possibly at a wide range of sites.
	There is only a single activity on offer, and this will generally be a one off.

Self-assessment comments**Safety Auditor comments**

C2 Range of Equipment

Not rated	

Topic not relevant

because

Clearly, if equipment is provided it should be suitable for the activities selected, and it should be serviceable. Equipment used or selected should meet the industry best practice or legislated standard e.g. for Personal Flotation Devices (life jackets)'s. 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.

Tick relevant box

<input type="checkbox"/>	There is a full range of equipment, in excellent condition, for all activities.
<input type="checkbox"/>	There is a good range of equipment, in good condition, for all activities.
<input type="checkbox"/>	There is an adequate range of equipment, in adequate condition, for all activities.
<input type="checkbox"/>	There is a range of equipment for some activities.
<input type="checkbox"/>	There is no equipment.

Self-assessment comments**Safety Auditor comments**

C3 Hired Equipment

Self Rating:	
Auditor Rating:	

Topic not relevant

because

If you 'hire in' your equipment (as opposed to owning it), it does not change the responsibility that 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 inspected the 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 inspected the 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.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

C4 Participant Equipment

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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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 unsuitable.

A	A clear, written statement, with precise details of the sort of equipment that participants will need is sent out well in advance. This is checked prior to the activity taking place to achieve minimum disruption to the process. 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 that participants should bring.
E	No advice is given to participants or to activity leaders in respect of participants' own personal clothing and equipment.

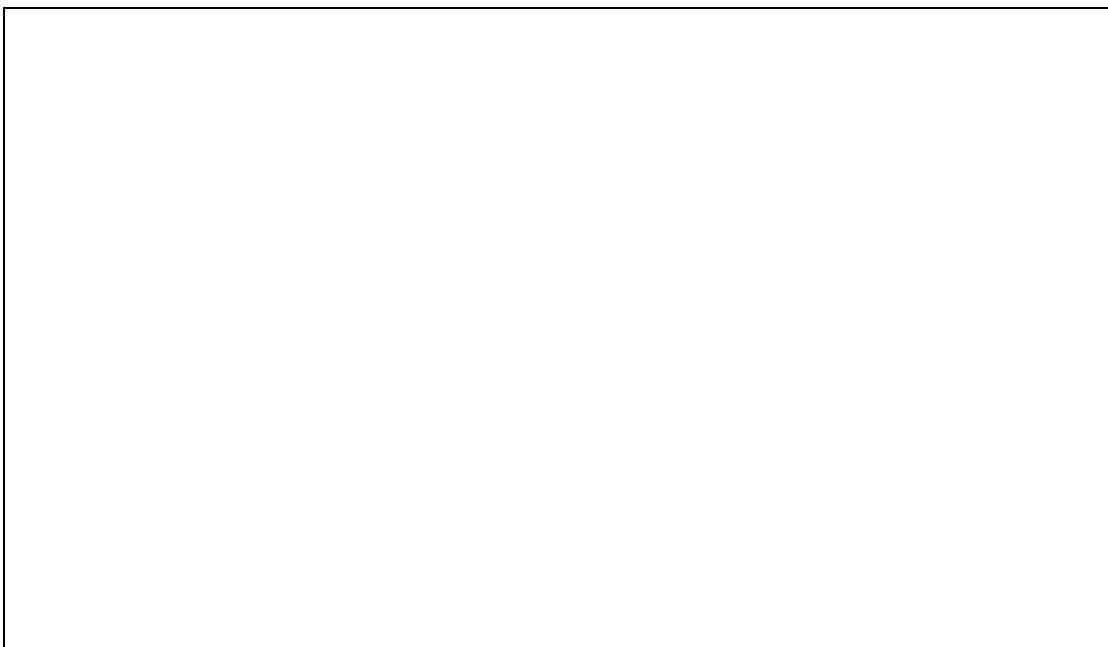
Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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C5 Use of Activity Leaders' Personal Clothing & Equipment

Not Rated	

Topic not relevant

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

However in an employment situation, under the Health & Safety in Employment Amendment Act 2002 there is a requirement of employers to supply protective clothing to their employees. The only deviation from this is when "an employee genuinely and voluntarily chooses to provide his or her own protective clothing for reasons of his/her own comfort or convenience" and that "the employer is satisfied that the protective clothing is suitable" for its required use.

Under the H&SE Amendment Act 2002, all protective equipment (excluding clothing) must be supplied by the employer.

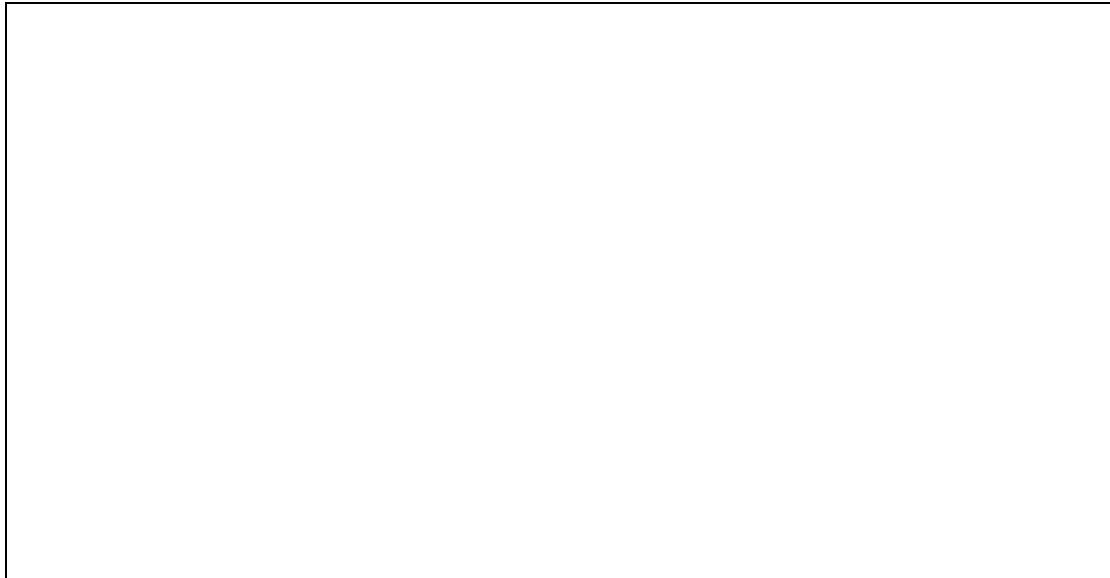
Tick relevant box

	Activity leaders and participants may only use clothing and equipment that is supplied to them exclusively for work with the organisation.
	Activity leaders may only use group and personal clothing and equipment that is supplied to them exclusively for their work with the organisation, except for certain items of personal clothing that they may supply, and which have to be formally approved and are subject to 'spot-checks'.
	Activity leaders may supply their own personal clothing. All equipment is provided by the organisation.
	Some items of 'critical' safety clothing are supplied by the activity leaders and are not subject to approval, or to maintenance and 'working life' checks.
	Most 'critical' safety clothing and equipment is supplied by the activity leaders and is not subject to approval, or to care, maintenance, and 'working life' checks.

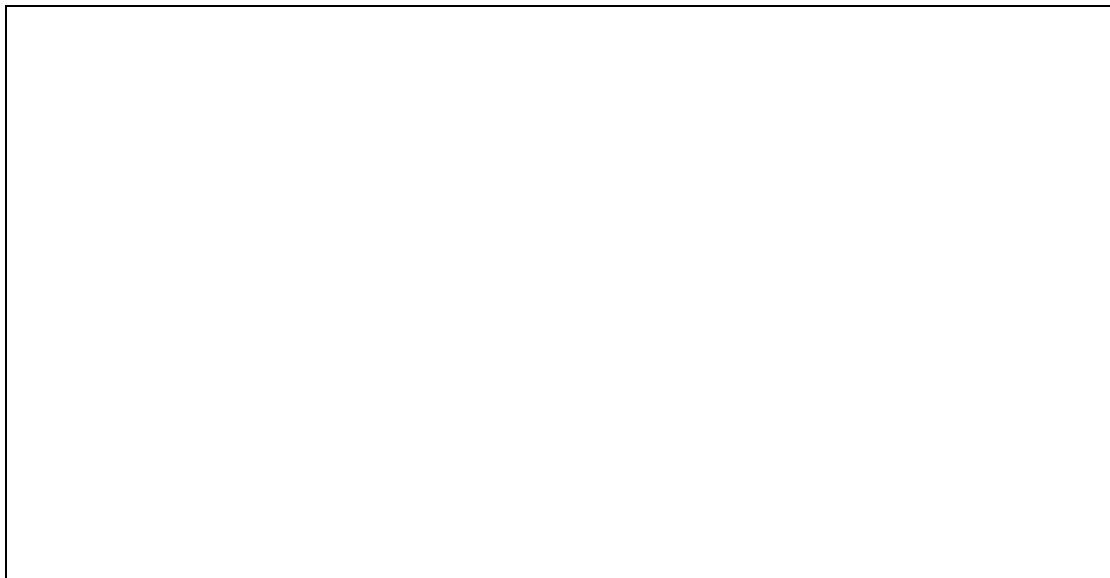
Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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C6 Inspections and Maintenance of Equipment

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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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. Progressive organisations have a planned process of inspections and maintenance. Such scheduling leaves little room for error and ensures an efficient continuity of supply, use, and disposal process.

A	The same person carries out planned checks and maintenance on all clothing and equipment 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 and recorded.
B	The same person carries out routine checks 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.
C	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.
D	Equipment is checked when it is taken out. Damaged equipment is reported.
E	Equipment is frequently not checked until it is at the activity site, or about to be used.

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

Self-assessment comments

Safety Auditor comments

C7 First Aid Equipment

Self Rating:	
Auditor Rating:	

Topic not relevant

because

In the event of an accident, a good supply of basic first aid equipment should be readily available. For off-site activities, leaders will need to carry first aid kits in back-packs, canoes, safety boats etc. 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	A 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 (less than a 2 minute walk) from base. There are additional supplies readily available at base.
B	A first-aid kit is supplied to all activity leaders. Procedures require these to be carried for all activities more than a short distance away (less than a 2 minute walk) 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.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

C8 Emergency Equipment

Self Rating:	
Auditor Rating:	

Topic not relevant

because

In the event of an accident, there are certain items of emergency equipment that should be readily available to help deal with the emergency. For off-site activities, leaders will need to carry these items in back-packs, canoes, safety boats etc. Who supplies the equipment, and on what basis, should be defined within operational procedures. It is reasonable for routine 'spot-checks' checks on this equipment to be carried out.

There is a minimum of emergency equipment that should be carried in case of a serious injury occurring where a patient cannot reach immediate medical care and may need to stay put for up to 48 hours.

The minimum would be:

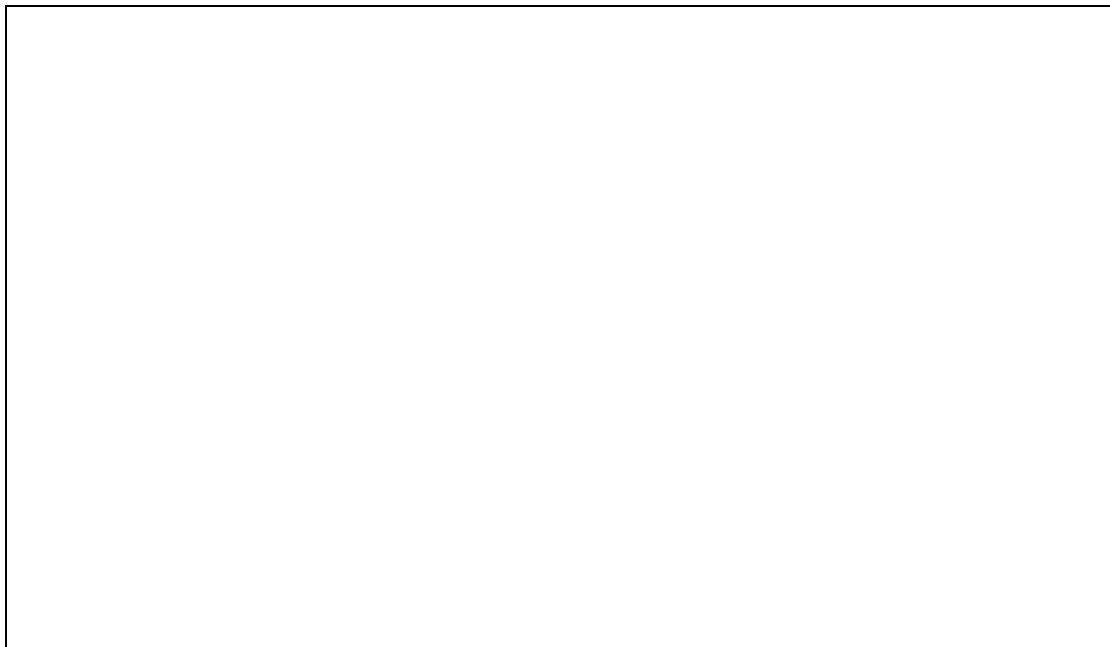
- ground insulation,
- body insulation,
- emergency shelter (to cover both patient and carer(s)
- emergency communication device (mountain radio, satellite phone etc).

A	Emergency equipment is supplied to all activity leaders. Procedures require these items to be carried for all activities. There are additional items readily available at base if required.
B	Emergency equipment is supplied to all activity leaders. Procedures require these items to be carried for all activities more than a short distance away (more than a 2 hours walk) from base.
C	Emergency equipment is supplied to all activity leaders. Procedures require these items to be carried for all activities more than 4 hours walk from base.
D	Some emergency equipment is sometimes carried to help care for a patient.
E	There is no specific policy regarding the carrying of emergency equipment.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

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Safety Auditor comments

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C9 First Aid Qualifications

Self Rating:	
Auditor Rating:	

Topic not relevant

because

The 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 a current first aid qualification. Most leaders have the additional 40 hour advanced pre-hospital care first aid qualifications that are tailored to the outdoor activity environment. Personal development plans are in place for those who do not have the advanced qualification. Validity and renewals are monitored centrally.
B	All activity leaders hold a current first aid qualification, some of which are advanced pre-hospital care. Validity and renewal is monitored centrally.
C	All activity leaders hold a current 16 hour first aid certificate.
D	Some activity leaders hold first aid certificates.
E	There is no standard policy on first aid qualifications.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

C10 Supervision of Activities

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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When a group or individual participates in an outdoor activity, the outcome of their experience is influenced by a number of factors. Included in these is the level of supervision, the style of leadership, and the amount of information provided by the activity leader.

With knowledge of how these factors can influence the participants' experience, a leader can alter the activity in such a way as to achieve certain outcomes from the activity.

For example, the leader can alter the amount of the information provided about an activity to heighten or lessen the participants' perception of the risks involved. The style of leadership and/or level of supervision applied to a group may influence the participants' development of team and leadership skills, or their sense of ownership of the experience.

Manipulating this level of supervision will also influence the level of real risk to which the participants are exposed. Supervision by skilled and experienced staff is one of the key factors an organisation uses to manage the risks associated with outdoor activities.

Careful management of the level of supervision, leadership, and risk disclosure is therefore essential in obtaining the desired outcome of the activity, while not exposing participants to an unacceptable level of risk.

A	As for B and including: A regular (at least annual) review process assesses the leaders' ability to maintain safe practice and adjust their level of supervision, leadership style, and disclosure of information to achieve certain outcomes for participants. The organisation has a process that reviews the level of risk participants were exposed to, if the level of supervision provided is adequate, and whether the programme or activity outcomes were met.
B	As for C , and including: Operational policies and procedures concerning supervision of activities are written down and staff have copies of these. The activity leader is trained in styles of leadership, team development, and facilitation of outdoor activities. Staff receive information on the desired outcomes of activities.
C	Where participants are exposed to significant hazards, that can be managed only by direct supervision, the organisation's procedures ensure the activity leader can intervene at any stage. Operational policies and procedures outline the required level of risk disclosure, supervision, and where necessary, the style of leadership

	<p>appropriate for activities.</p> <p>Leaders are trained in risk management, including the influence that different levels of supervision, leadership, and risk disclosure has on the control of hazards.</p>
D	<p>Where participants are exposed to significant hazards, which can only be managed by direct supervision, the organisation's policies and procedures do not ensure an adequate level of supervision is provided.</p> <p>Leaders are not trained in risk management.</p>
E	No operational policies and procedures guide the leader to the required level of supervision, leadership style, and disclosure of information for activities.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

C11 Unaccompanied Activities Management

Self Rating:	
Auditor Rating:	

Topic not relevant	<i>because</i>
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The desired outcomes of a programme may result in participants being unaccompanied on an activity or experience or part of an activity or experience.

For example: a solo experience, orienteering activity.

As discussed in C9 – Supervision of Activities - altering the level of supervision potentially influences the level of risk that participants are exposed to. When deciding to use 'unaccompanied activities' careful consideration must be given to firstly the benefits to be gained from the experience, and secondly can the activity be adequately managed to protect the participants' emotional and physical safety throughout.

If participants will be exposed to significant hazards during the unaccompanied activity that are best managed by the intervention of the activity leader, supervision that is more direct must be considered.

A	As for B and including: Activity leaders are trained or receive information on the desired outcomes and specific management of unaccompanied activities. A feedback process reviews the level of risk participants were exposed to and whether the desired outcomes of the unaccompanied activity were met.
B	As for C and including: Operational policies and procedures are written down, and staff have copies of these. The assessment of participants' skills and experience is documented.
C	Operational policies and procedures exist for all unaccompanied activities provided by the organisation. Policies and procedures include: <ul style="list-style-type: none">• Participants are briefed on the outcome of the activity, hazards to which they may be exposed, likely emergencies and the procedures to be followed.• An assessment of the participants' skills and experience identifies that they are physically and emotionally able to manage the risks associated with the activity.• Checks ensure that participants' clothing and equipment are suitable for the activity to be undertaken Where participants are exposed to significant hazards, that can be managed only by direct supervision, the organisation's procedures ensure the activity leader can intervene at any stage. .

	<p>Participants have the capability to communicate with the activity leader, the organisation, or emergency services to obtain assistance. Where appropriate, the communication system used requires participants to convey that they are OK, with a lack of communication alerting the activity leader or organisation.</p>
D	<p>Operational policies and procedures for unaccompanied activities provide an inadequate level of management. For example a limited briefing and assessment of participants occurs.</p> <p>The unaccompanied activities provided allow participants to access an area or situation that exposes them to significant hazards best managed by supervision that is more direct.</p> <p>The communication system used to support participants is inadequate. For example assistance is not available 24 hours/day, the leader is not alerted by a lack of communication.</p>
E	No policies or procedures for unaccompanied activities exist.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

C12 New or Unfamiliar Sites

Self Rating:	
Auditor Rating:	

Topic not relevant

	<i>because</i>
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Induction procedures suitable for one type of organisation may not be suitable 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 sites are thoroughly checked, and leader inductions carried out at the site. Some qualifications e.g. NZMGA Climbing Guide, may qualify leaders to operate in sites that they do not check beforehand.

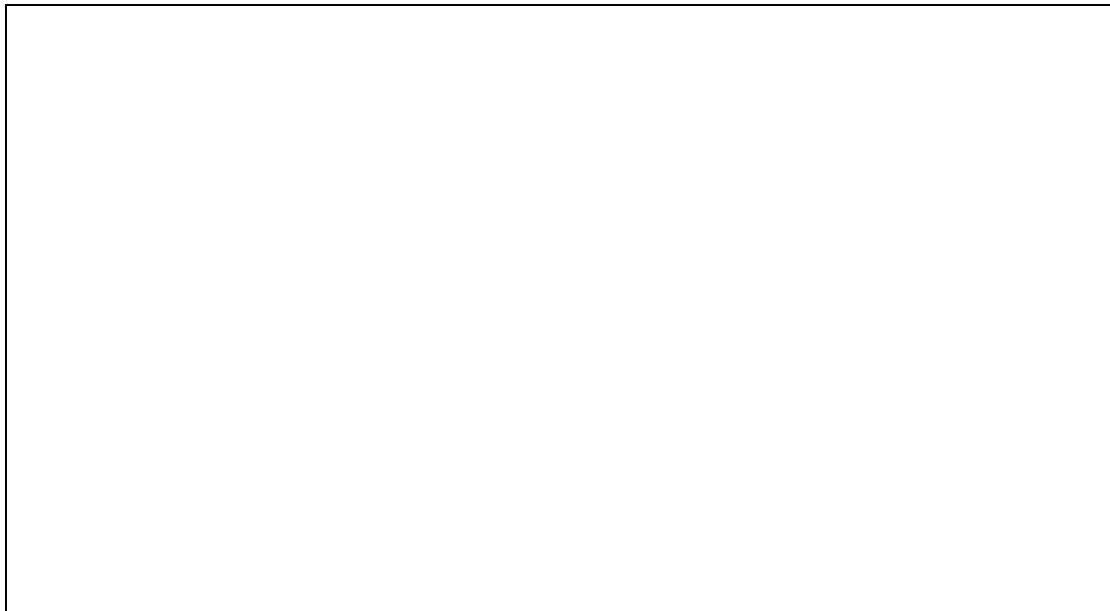
A low rating here would generally require a high rating in **A2** (Qualifications), **B3** (Operational procedures), **B9, 10 & 12** (Incident, Accident and Emergency Procedures), **B17** (Modification of Activities) etc.

A	The activity leaders who will subsequently lead the activity there always check new or unfamiliar sites in advance. Their assessment of the site is recorded for future reference.
B	The activity leaders who will subsequently lead the activity there usually check new or unfamiliar sites in advance.
C	A person always checks new or unfamiliar sites.
D	A person sometimes checks new or unfamiliar sites in advance.
E	New or unfamiliar sites are not usually checked in advance.

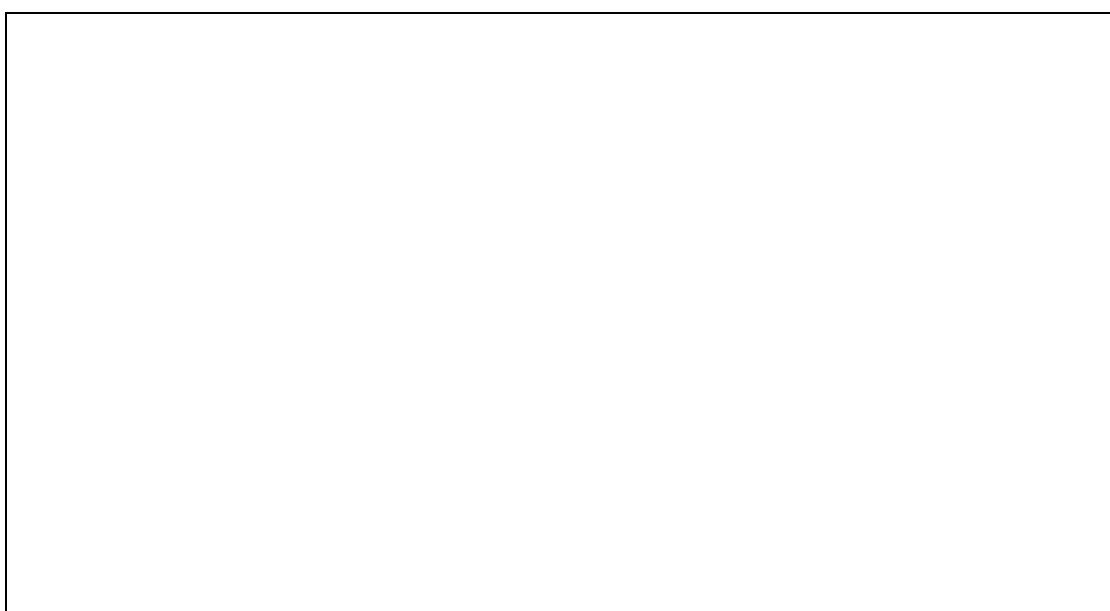
Planned remedial or development measures

(including your proposed time scale)

Self-assessment comments

A large, empty rectangular box with a thin black border, intended for handwritten or typed self-assessment comments.

Safety Auditor comments

A large, empty rectangular box with a thin black border, intended for handwritten or typed safety auditor comments.

C13 Nationally Recognised Accreditation & Approval

Not rated	

Topic not relevant

	<i>because</i>
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Some nationally recognised outdoor industry organisations (e.g. NZOIA, NZMSC, SFRITO, NZQA) offer standards and qualifications for activity leaders. Generally their accreditation is relevant to their own organisation's requirements. Their advice on that particular standard can be very useful, and their accreditation is a good benchmark for a nationally acceptable standard. Bear in mind of course, that outdoor industry accreditation organisations quite legitimately have an agenda that attaches importance to more things than just safety.

Tick applicable box

<input type="checkbox"/>	All of the activities offered are covered by a nationally recognised accreditation scheme.
<input type="checkbox"/>	All of the activities offered for which there are nationally recognised accreditation schemes are covered by a nationally recognised accreditation scheme.
<input type="checkbox"/>	Most of the activities offered for which there are nationally recognised accreditation schemes are covered by a nationally recognised accreditation scheme.
<input type="checkbox"/>	Some of the activities offered are covered by a nationally recognised accreditation scheme.
<input type="checkbox"/>	None of the activities offered is covered by a nationally recognised accreditation scheme.

Self-assessment comments

Safety Auditor comments

C14 Safety-Related Statutory Requirements

Self Rating:	
Auditor Rating:	

(including Resource Management Act, Transport Act, Employment Relations Act, Health, Safety & Employment Act and other relevant regulations e.g. Department of Conservation)

<i>Topic not relevant</i>	<i>because</i>
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Clearly you will conform to any known relevant legislation. 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 good starting point is <http://www.recreationlegislation.org.nz>. Also <http://www.workinfo.govt.nz/publications>, <http://www.osh.govt.nz/publications>, and <http://www.doc.govt.nz/concessionaires/concessionaires> safety plans.

A	We have researched and sought guidance on all relevant legislation and have followed all relevant advice. We are convinced there is no legislation we are unaware of and we review our awareness and meeting of obligations at least annually.
B	We have sought guidance on all relevant legislation and have followed all relevant advice. We are confident there is no legislation we are unaware of.
C	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.
D	To the best of our knowledge we conform to all relevant legislation.
E	We believe we are aware of all relevant legislation.

Planned remedial or development measures.

(including your proposed time scale)

Self-assessment comments

Safety Auditor comments

Appendix 1:

Risk assessment:

Site-Specific Risk Assessment	Many sites 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 Black Rock Rapid so always run it on the right".
Activity-Specific Risk Assessment	This looks at the risks associated with a particular activity e.g. canoeing, yachting. Generally the control measures are well covered by nationally recognised training and qualification structures.
Generic Risk Assessment	This may group a number of related activities together, e.g. water-sports. Thus a canoe person 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.

Hazard Identification:

Identify
Assess
Control/Manage
Evaluate