

**SAILABILITY NSW  
RISK MANAGEMENT MANUAL**



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MANUAL**

**SCHEDULE OF UPDATES**

<b>Date</b>	<b>Details</b>
March 2013	Original to AS4360:1999
June 2019	Revision and reconstruction to meet AS/NZS/ISO 31000:2018

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## 1 INTRODUCTION

### 1.1 Philosophy

**Effective management, prevention and where possible, elimination of risks and hazards is now an essential component of the activities of all recreational organisations, such as Sailability NSW and its affiliated Branches**

**Managing risk is a vital part of governance and leadership, and fundamentally determines how our organization is managed at all levels.**

It involves interaction with both our internal and external stakeholders and extends to dealing with issues relating to human behaviour and cultural factors.

It contributes to the improvement of management processes and systems by progressively eliminating or overcoming those external and internal factors and influences that create uncertainty whether our organisation is able to achieve its objectives.

Being iterative by nature, it assists us to set strategy, achieve objectives and make informed decisions based on the success or otherwise of previous actions.

Our Sailability NSW model "Risk Management Manual" was developed by Yachting Victoria in 2004, based upon Australian Standard AS4360: 1999, "Risk Management".

Standards are like every activity that continually must adapt to the changing needs of the community and society at large. AS4360 was revised in 2009, and then adopted as AS/NZS/ ISO 31000:2009. That revision addressed the entire management system, and people, involved in supporting the design, implementation, maintenance and improvement of all of the operations and processes of the organisation involved.

**It is important to recognise that *the intent was to integrate risk management considerations and processes into existing systems and to harmonise them into current practices*, rather than cause wholesale substitution of old by new methods and documentation.**

A further revision has now produced AS/NZS/ ISO 31000:2018, which has

- **reviewed the established Principles** of Risk Management;
- **highlighted essential leadership by top management.** and the integration of risk management at all levels, starting with organisational governance;
- **increased emphasis on the iterative nature of risk management**, noting that systematic and routine analysis of new knowledge, technology and experiences, is a process that actually delivers continuous improvement of elements, actions and controls of process stages.
- **streamlined content**, focussing on establishing and sustaining an open, transparent systems model that suits multiple needs and contexts.

In summary, the updated Standard emphasises

- good governance at Executive (Committee) level;
- commitment, due diligence and action at all levels to avoid harm to others;
- effective recording, review and continuous improvement of performance;

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- effective communication throughout the organisation

Whilst managing risk is based on the principles, framework and process outlined in the Standard, **these components should already exist in full or in part within most Branches**. However, they might need to be adapted or improved to ensure that managing risk is efficient, effective and consistent.

### 1.2 Background – Duty of Care

Sailability NSW and associated Branches exist to provide pleasurable on-water experiences for people with different abilities.

**However it is not possible to provide a sailing environment free from all hazards and risks.**

The NSW Executive Committee and Branch Committees are mindful of the risks associated with conducting sailing activities and acknowledge that we are responsible and accountable for minimising and managing risks associated with sailing activities

While recent amendments to WHS laws impose on us a

**“Duty of Care”, as “persons conducting a business or undertaking” (PCBU’s), and others, to ensure health and safety, as far as reasonably practicable”, the law does not demand that Branches, provide a completely risk-free environment.**

We accept a duty of care to participants in sailing activities where there is a reasonably foreseeable risk of harm or injury to participants. This duty requires us to identify and eliminate health and safety risks, or to minimise and manage risks if it is not reasonably practicable to eliminate them.

Key Definitions

- **Hazard :** A situation with potential for harm, injury, illness, property or environmental damage
- **Risk:** Potential outcome of hazard – possibility of harm, injury, illness, property or environmental damage.

Defining what is “reasonably practicable” requires us to identify, consider and balance all relevant aspects such as

- The likelihood of adverse consequences
- The degree of harm that might result,
- What a person knows, or reasonably ought to know, about a hazard or risk and ways of eliminating, avoiding or minimising it,
- the availability and suitability of ways to eliminate or minimise the risk, and finally,
- assessing the costs associated with available actions, including whether costs are disproportionate to the risks

### 1.3 Scope of this Manual

This manual has been developed for the Sailability NSW Executive Committee to outline the components and processes of systems for management of risks associated with the

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conduct of sailing activities involving people with varying abilities.

It is intended to serve

- as a policy document that enables all Branches, members, visitors and the local operating participants to be aware of their role(s) and their responsibility for recognising hazards and
- to assist them to eliminate or to minimise risks and hazards in order to provide a safe sporting environment and experience for members, their carers and families, and volunteers

## 1.4 Sailability Management Structure and Limitations of the Risk Management Program

Sailing activities of Sailability Branches are conducted under the control of SAILABILITY NSW Executive Committee; elected by nominated delegates from all affiliated Branches.

Each Branch Committee is elected by the members of the local branch to manage and control local operations in accordance with the objectives, policies and processes of the organisation as a whole.

Participation on all Committees is voluntary and no members of a Committee are paid for duties undertaken them as a member of the Committee.

## 2 OVERVIEW - RISK MANAGEMENT

It is not possible to provide a sailing environment free from all hazards and risks.

***Risk management is the process of***

- ***systematic application of management policies, procedures and practices to***
- ***identify, analyse, assess, treat and monitor risks and hazards.***

The objectives of the Risk Management Program are:

- To minimise and control the incidence of injury to participants and other persons associated with sailing activities and competitions.
- To provide a fun, healthy and safe environment for individuals to participate in and enjoy the sport of sailing.
- To minimise potential liability as a result of poorly managed sailing activities and competitions.

### 2.1 Leadership and Policy

Both Executive and Branch Committees are committed to the following policies:

- We want everybody to enjoy safe enjoyable sailing.
- We don't want to hurt anybody.
- The law says we must not hurt anyone.
- If we do hurt anybody we could be subject to criminal and/or financial penalty.
- Risks are related to an individual's level of experience, knowledge of practical aspects of sailing, and their level of fitness, and that
- Participation by Members and visitors in training and sailing is voluntary.

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Put simply, all Committees strive to operate with

- **Good Governance and**
- **Due Diligence.**

Committees must

- Ensure that risks are considered and appropriate when setting objectives;
- Understand the risks faced in pursuit of its objectives;
- Ensure that resources to manage risks are in place and operating effectively;
- Ensure effective communication about risks and their management

Consequently each branch has developed, for both information and training,

- a **“Risk Management Manual”** manual and
- an **“Operations Procedures Manual”**

to ensure that a safe, enjoyable sporting environment and experience is provided for our members, participants, their carers **and families, and volunteers**

**However people are expected to NOT participate** in any activity where they believe that they lack the requisite skills, knowledge or fitness to satisfactorily participate.

### **2.2 Objectives of the Risk Management Program**

As with all sporting activities there are inherent risks to participants in sailing activities that are affected by factors such as an individual's

- level of experience,
- knowledge of practical aspects of sailing, and
- level of fitness

Risks that should be considered by a risk management program include:

- Physical risks – injuries to people - participants and the public;
- Legal risks – losses and costs arising from legal actions for breach of a common law or statutory duty of care;
- Financial risks – increased insurance premiums, costs associated with injuries for business reasons, loss of financial stability, asset value and replacement costs, earning capacity and increased external administrative costs;
- Moral and ethical risks – loss of quality of participant experience and confidence, adverse publicity and
- Damage to image or reputation

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As financial and human resources of Sailability NSW and Branches are limited, the following “rules” must apply, without exception.

- Each Sailability Branch Committee must ensure that :their boats and ancillary handling, transport and storage equipment are maintained in good repair;
- All sailors and volunteers MUST have valid “Working with Children” clearance;
- All sailors and participants MUST wear personal flotation devices (lifejackets) during all on-water activities.
- Sailors must comply with all maritime sailing rules, class rules, sailing instructions and other policies and procedures of Sa[ilability NSW and individual Branches;
- Sailors must have demonstrated appropriate skills and competence, or have been trained and assessed for skills and competence for activities and duties undertaken by them. Records of competencies must be maintained;
- a Safety Support boat is operated to assist participants in an emergency. No on-water activity may be conducted unless there is a minimum of one Support Boat available
- The personnel on the Support boat must maintain surveillance and act to provide help if it is perceived that there is an immediate danger, or unacceptable risk, of injury to a participant or damage to a boat;
- Sunscreen must be available for all participants

### **2.3 RISK MANAGEMENT PROGRAM**

The Risk Management Program, as contained in this manual, has been developed by Sailability Committees through the following process:

- Identification of the risks and hazards involved in conducting sailing competitions and activities;
- Assessing the likelihood and consequences of those risks occurring;
- Developing and implementing strategies and actions to eliminate or at least reduce these risks wherever practicable;
- Documenting the risks, assessment and strategies/actions to be undertaken.
- Communication of corrective actions taken and training where needed;
- Monitoring of compliance with modified requirements;
- Follow-up review assessment of the actions taken.

The effectiveness and ongoing suitability of the program is regularly reported and reviewed at Sailing Committee meetings and at periodic training activities.

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## 3 RISK MANAGEMENT PROCESS

### 3.1 RISK IDENTIFICATION

The first step in developing the risk management program is to identify the hazards and risks that exist (or may exist in the future) within our sailing programs and competitions.

**The best placed people to identify those hazards and risks are the people working in those areas**

All participants in Sailability activities should be encouraged to **report** anything that they **consider** to be hazardous to a committee member. All reports must be noted for formal review and response, but immediate action must be taken to correct anything obviously hazardous

In identifying hazards and risks, the following factors need to be considered:

- The age of participants;
- The type of activities being conducted;
- Incident history including type of incident, cause and damage to equipment;

### 3.2 RISK CATEGORIES

**SEVEN Categories** of Risk have been identified.

**3.2.1 Environment** This category focuses on the physical environment in which we conduct club events.

**3.2.2 Personnel** -This category includes club members, officials, participants, carers, parents and spectators who may be involved in club sailing activities.

**3.2.3 Ancillary equipment** -Handling and Use -Trolleys, hoists, PFD's etc.

**3.2.4 Preparation for Sailing** -unloading boats from racks, transport, rigging, launching, preparation and checking Safety boat and equipment, radio and fuel check.

**3.2.5 Movement and Management of People with Special Requirements Before Sailing Starts** - tents, tables, seating, recording attendance of volunteers and participants, carers and visitors.

**3.2.6 On-water Activities** - risks associated with conduct of sailing, training and other activities once the participants have left shore.

**3.2.7 After Sailing** - risks involved in activities which immediately follow our on-water events including retrieval of boats, de-rigging, cleaning and storage activities.

### 3.3 RISK ASSESSMENT

The risks identified as being relevant to our sailing activities are assessed and rated in terms of

- The probability of the risk occurring (Likelihood).
- The consequent loss or damage impact if the risk occurred (Severity).
- The Rating or degree of urgency required to address the risk (Risk Rating).

The Risk Rating Scales set out below in Tables 1 – 3. allow the identified risks to be systematically rated and prioritised for correction.



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### 3.3.1 Likelihood

The likelihood is related to the potential for a risk to occur over an annual evaluation cycle.

**Table 1: Likelihood Scale**

Rating	<b>LIKELIHOOD</b> The potential for problems to occur in a year	
<b>L1</b>	Almost Certain:	Will probably occur, could occur several times per year
<b>L2</b>	Probable	High probability, likely to arise at least once per year.
<b>L3</b>	Possible: occasionally	Reasonable likelihood that it may arise over a five-year period
<b>L4</b>	Remote	Plausible, could occur at some time over a five to ten year period
<b>L5</b>	Improbable	Very unlikely but not impossible, unlikely over a ten year period

### 3.3.2 Severity Scale

The severity of a risk refers to the degree of loss or damage which may result from its occurrence.

**Table 2: Severity Scale**

Rating	<b>CONSEQUENCE</b>	
<b>S1</b>	<b>Extreme:</b>	Fatality or multiple major injuries
<b>S2</b>	<b>Major:</b>	Major disabling injury or multiple serious injuries
<b>S3</b>	<b>Medium:</b>	Serious injury - considerable effort to rectify
<b>S4</b>	<b>Minor:</b>	Minor injury - easily remedied, with some effort – procedures / training.
<b>S5</b>	<b>Accept</b>	Very small impact, illness, first aid, or no treatment, Rectified by training

- S1** Extreme risks have potentially catastrophic consequences that are **UNACCEPTABLE** and require urgent attention to develop, implement and manage measures to **PREVENT** their occurrence, .
- S2.** Major risks are those likely to arise and have potentially serious consequences requiring urgent attention and **CORRECTION**
- S3.** Medium risks those likely to arise or have serious consequences requiring attention
- S4.** Minor risks are those considered to be of low consequences that may be managed by routine procedures and training.

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### 3.3.3 Risk Rating Scale

The Risk Rating Scale relates the nature of the risk to the consequences occurrence. level of action required.

It provides indicators to assist the Committee to determine level of risk treatment and action required for each risk, and to decide what action is warranted.

**Table 3: Risk Rating Scale**

		LIKELIHOOD				
		L1	L2	L3	L4	L5
SEVERITY	S1	<b>Any risk identified at this level is intolerable and would cause sailing to be abandoned to prevent any chance whatever of it occurring</b>				
	S2	<b>Extreme (1)</b>	<b>Extreme (1)</b>	<b>Extreme (1)</b>	<b>Extreme (1)</b>	<b>Major (2)</b>
	S3	<b>Extreme (1)</b>	<b>Major (2)</b>	<b>Major (2)</b>	<b>Medium (3)</b>	<b>Minor (4)</b>
	S4	<b>Major (2)</b>	<b>Medium (3)</b>	<b>Medium (3)</b>	<b>Minor (4)</b>	<b>Minor (4)</b>
	S5	<b>Medium (3)</b>	<b>Minor (2)</b>	<b>Minor (4)</b>	<b>Accept (5)</b>	<b>Accept (5)</b>

### 3.4 Risk Treatment (Action Plan)

Risk treatment involves identifying the range of options for treating risk, assessing those options, preparing risk treatment plans and implementing those action plans. At this stage strategies must be determined to manage the risks which have been identified and subsequently evaluated as posing a real risk to participants.

Risk Treatment options include:

- Accepting the risk, do nothing further
- Options for reducing the risk,
- Change procedures to avoid the risk,
- Maintain existing control, supported by training and monitoring;
- Transferring or sharing the risk (e.g. subcontracting or insurance);

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If a risk is rated highly, careful consideration must be given to the necessary policies, procedures and strategies to treat the risk. The Committee as a whole is responsible for all actions and determining the timeframe for risk management.

### **3.5 Monitor and Review**

The Risk Management Program is regularly reviewed at the beginning of the season and during the course of the sailing program and updated as considered necessary.

Sailability Branches maintain records to enable the continued evaluation of the risk management plan. Records to be maintained include:

- Sailing Day Reports – attendee's, conditions, etc;
- Incident Reports including accidents, and if appropriate, the effectiveness of corrective actions; and any impact on the overall risk management plan;
- Training records – in particular records of skills assessment in handling people and specialised equipment, and any follow-up training deemed necessary after an incident;
- Minutes of meetings which record changes to the risk management plan.

### **3.6 Communications and Training**

**All members and participants in activities are made aware of the risk management program and invited to contribute to its ongoing development** Sailability NSW maintains a comprehensive website accessible to all members. In addition to news and activity reports, this site provides detailed training materials in both written and visual format, supported by a library of resource manuals. Many Branches maintain similar sites, centred on local reports, activities and training.

During sailing activities, communications are maintained between shore and safety boat to ensure safety to all participants.

**In the case of a sudden change of weather conditions during a sailing activity, the Safety Boat Crew may suspend on-water activities and direct boats to return to shore immediately**

## **4 ACKNOWLEDGEMENTS**

**4.1** Sailability NSW acknowledges Yachting Victoria publication *Risk Management – A Practical Resource for Clubs (PRRC)* which was used as the basis for the preparation of the initial manual based on AS/NZS 4360:1999 and the National Risk Management Guideline developed by the Standing Committee on Sport and Recreation (SCORS) risk management working party.

**4.2** Sailability thanks Standards Australia. *AS /NZS/ISO 31000: 2018, Figures 1-4*, attached as Appendices 1-4, are Copyright to Standards Australia Limited and are copied and used by Sailability NSW with permission of Standards Australia and Standards New Zealand under Licence 1903-c081.

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***Please Note:***

***Risk Management Tables are not attached to this document.***

***A guidance document from Manly Sailability was presented separately as a model set of tables.***

***Sailability NSW accepted that many of the risks identified are common and must be dealt with as uniformly as possible.***

***Nevertheless it requires all Clubs to ensure that all risks are identified and treated in a ,manner suitable to their specific locality and resources.***

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**Appendix 1     AS ISO 31000:2018**

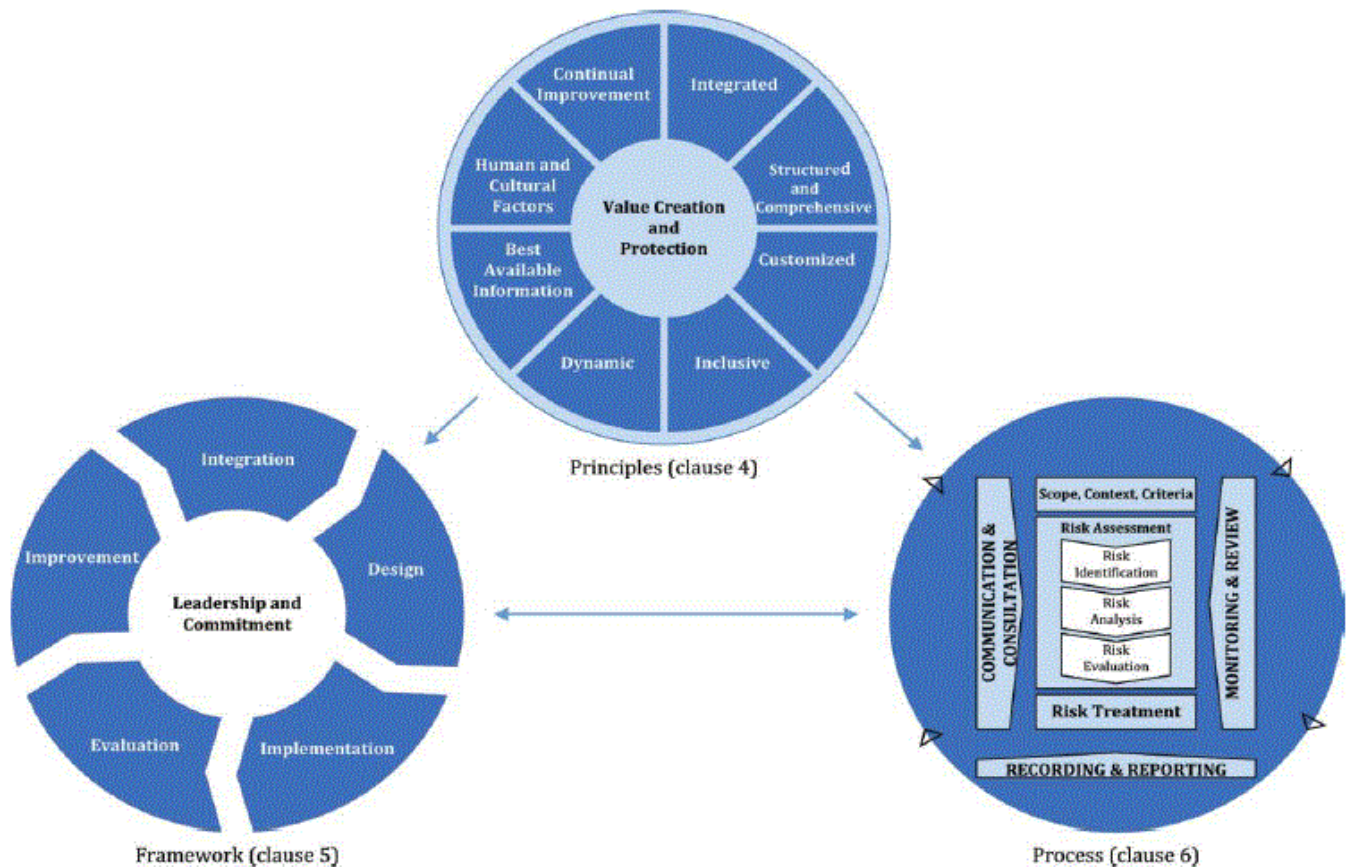
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Figure 1 illustrates the continuously fluid and integrated nature of both business management and risk management. Executive management must establish the desired objectives and values of Sailability NSW and defines the principles by which these objectives are to be achieved.

These are implemented via the organisational framework of established Sailability Branches, and their performance is monitored,

Risks and hazards are identified that can impact on the objectives and their real and potential impacts are assessed and dealt with.

The elimination or minimisation of a risk leads to an improvement in the value of the organisation, and/or an adjustment of the framework of operations.



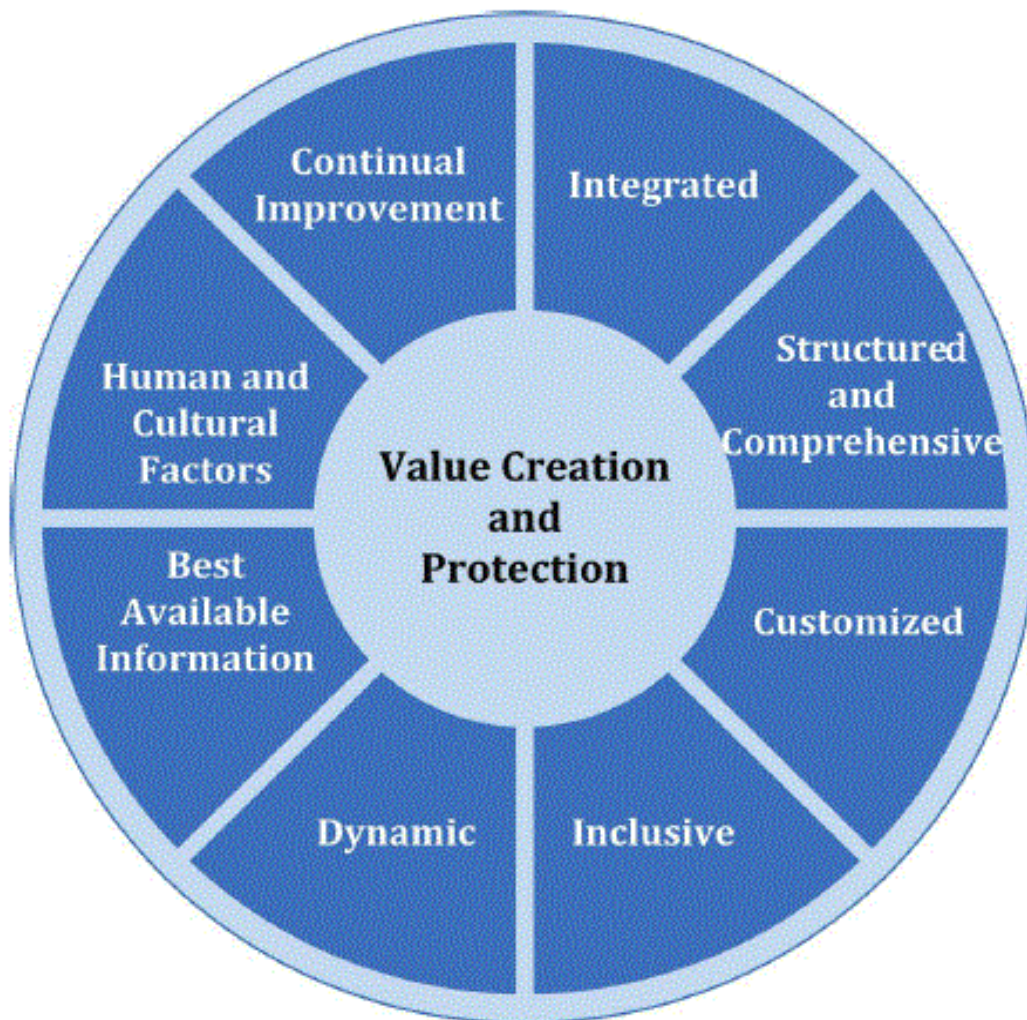
**Figure 1 — Principles, framework and process**



*Appendix 2*

**PRINCIPLES of RISK MANAGEMENT**

The Principles illustrated below include all of the basic principles that formed the foundation of the original AS4360, but now include additional concepts that have become part of our social fabric. For example - Continuous improvement is a fundamental tool of successful organisations. Consideration of human and cultural factors is essential, as is the need to integrate formal demands of WH&S legislation into structured, yet dynamic management processes capable of responding to requirements for change.



**Figure 2 — Principles**

***Appendix 3***      **FRAMEWORK**

This is basically the framework that we have in the original manual, The key points of emphasis are that we take the necessary time and resources to properly design and integrate a system that suits the governance responsibilities of each individual Branch,. It needs to fully recognise the diversity, and yes, the limitations of volunteers, participants, carers, facilities, equipment, location, environment and even the role (perhaps interference) of regulatory and other agencies.

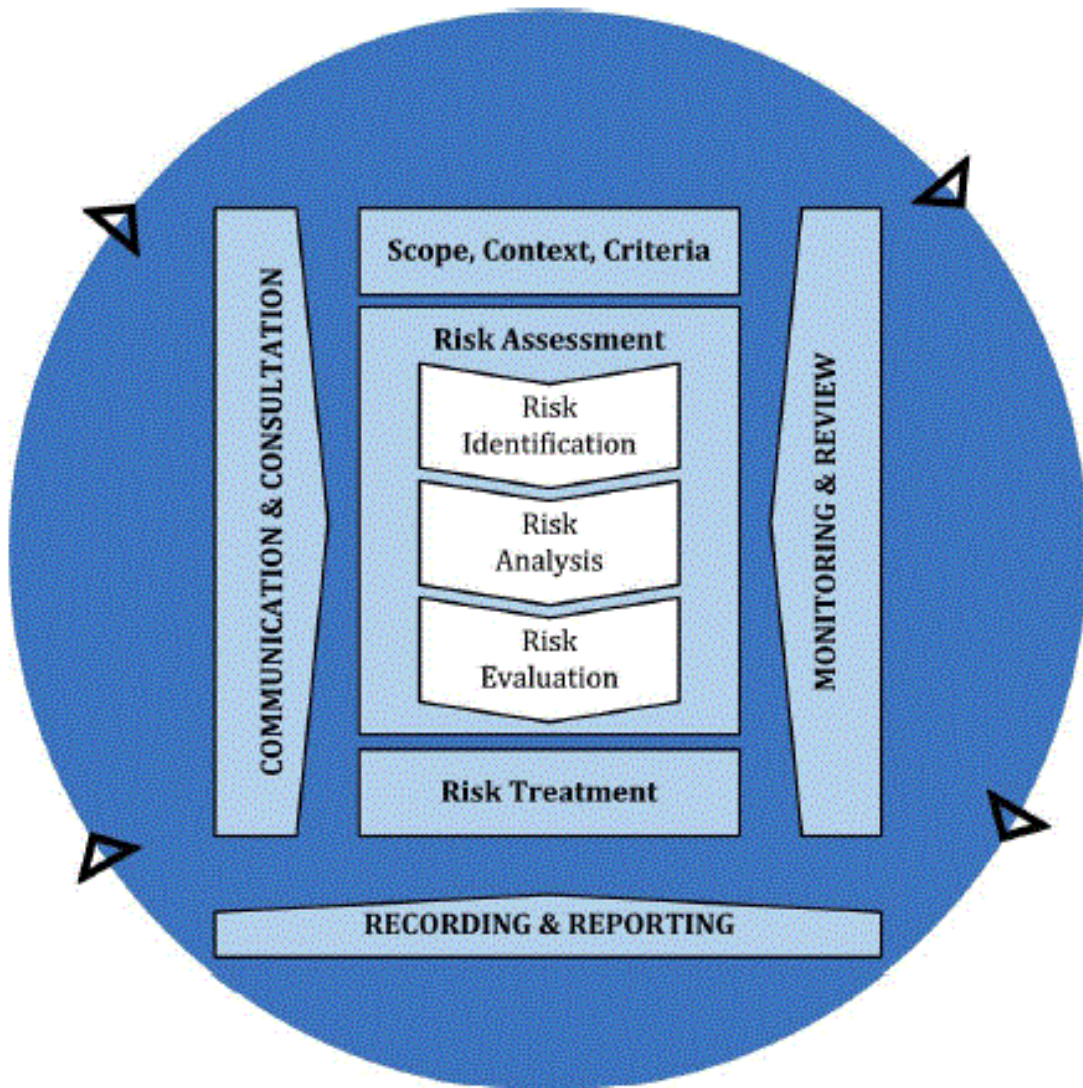


**Figure 3 — Framework**

*Appendix 4*

**RISK MANAGEMENT PROCESS**

This diagram depicts the process with which we are basically familiar, with the additional requirement **that any action required to be taken to deal with a risk or hazard is taken, monitored for effectiveness, recorded and if appropriate, followed up by relevant training and changes to operating procedures and practices.**



**Figure 4 — Process**