

# RISK ASSESSMENT FOR HEALTH AND SAFETY

Policies and Procedures



The Kind  
Foundation™

Mō tātou katoa. For all of us.

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# 1 POLICY STATEMENT

The Kind Foundation will take all reasonably practicable steps to manage any and all hazards, and the risks associated with them, with the intent of reducing the probability of harm to all staff, contractors, clients and visitors.

# 2 POLICY CONTENT

## 2.1 Applying Risk Management as part of Health and Safety

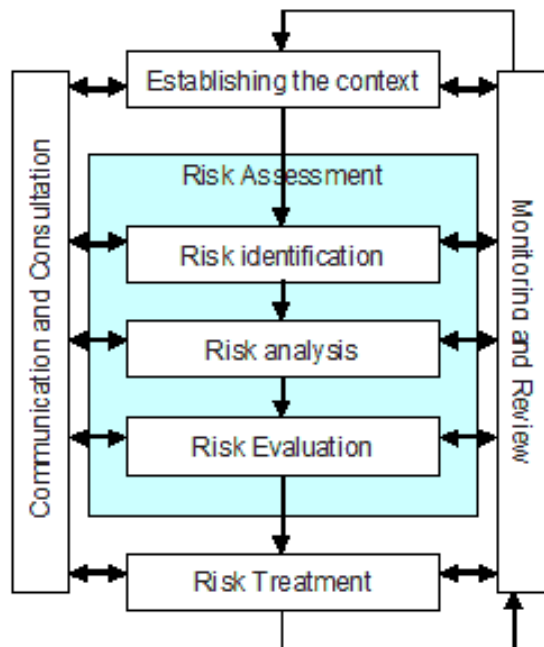
Risk management can be applied to many facets of an organisation, however in this context it provides a philosophy for managing risks that in turn drives safe practice.

Within this context the focus of risk management becomes managing hazards to health and safety and the risks associated with them.

The relationship between a hazard and a risk is this: a hazard is something with the potential to cause harm, and a risk is the potential outcome of a hazard. For example, an uneven floor is a hazard, whereas the risk is injury from a trip, slip or fall that could occur when a person walks across that floor. It is also worth noting that the risk only exists when the floor is in use, however the hazard will always exist regardless of it use (unless, of course, it is eliminated).

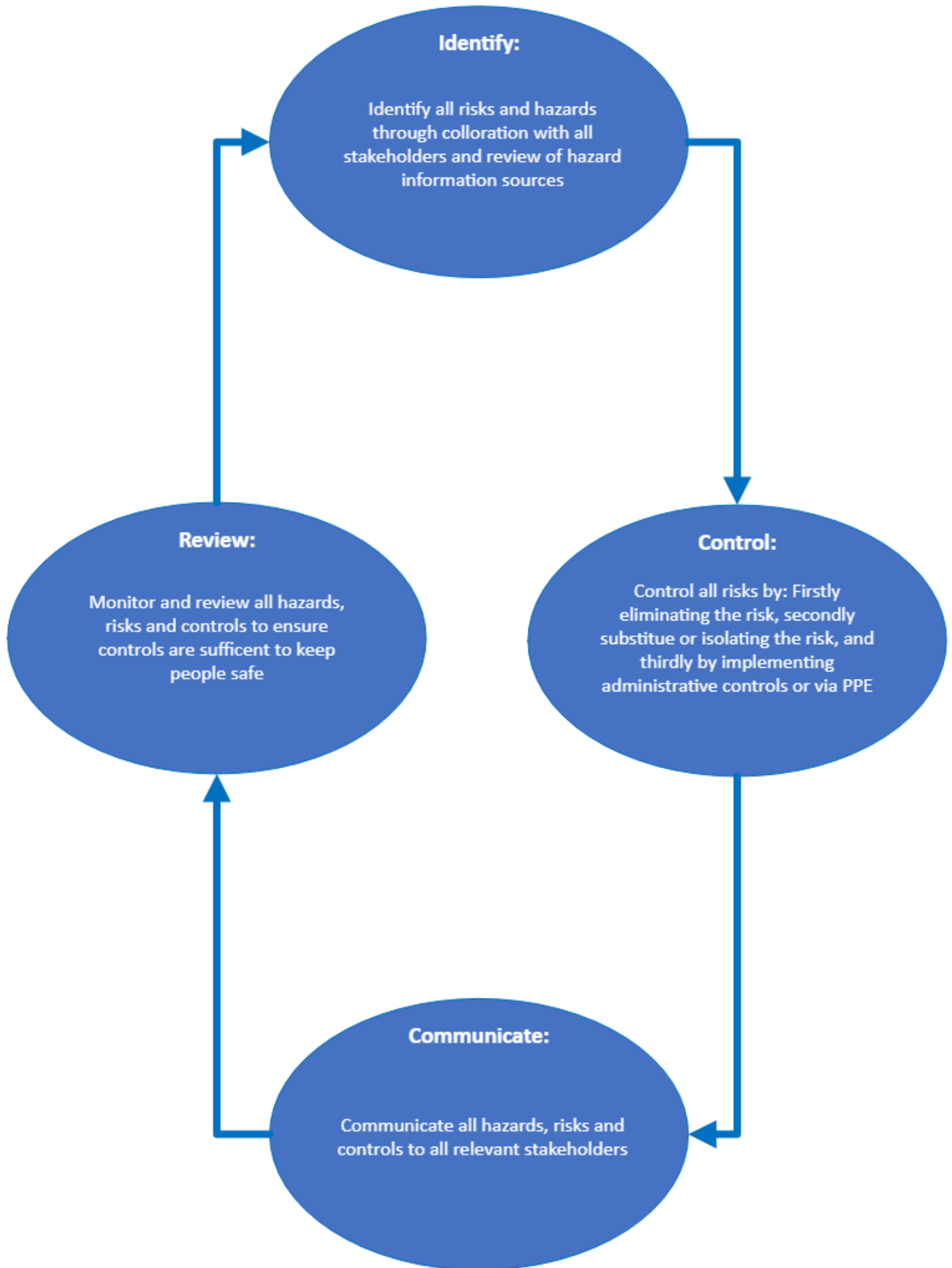
## 2.2 The Risk Management Process – An Overview

The risk management process used is based on the AS/NZS standard for risk management (AS/NZS ISO 31000:2009). It involves five steps, which are designed to help identify, assess and control risks. There are also two ongoing processes. The figure below shows a diagrammatic view of this process.



### 2.2.1 The Kind Foundation Risk Management Flowchart

The following flowchart shows a simplified version of the risk management process that is detailed in Section 2.3.



## 2.3 The Risk Management Process

### 2.3.1 Step 1: Identification and Analysis of Risks

#### 2.3.1.1 Identify Risks

The first step is to identify all the hazards and associated risks. This is done by:

1. Deciding on who should lead the process. This person must be an appropriately trained and/or experienced person. The Health and Officer (HSO) will be responsible for ensuring the correct person is chosen for this role.
2. Ensuring all relevant stakeholders are involved. This must include all relevant The Kind Foundation staff.
3. Identifying hazard information sources. This may include: current risk management documentation, incident reports and analysis, hazard/risk reports, internal and external audits etc.
4. Considering all aspects of the site and/or operational task: human factors, equipment/plant, environmental factors etc.
5. Ensuring that if expertise in a specific work task, hazard or risk is lacking amongst The Kind Foundation staff, then specialist advice is sort. This will be the responsibility of the HSO to ascertain and organise.

#### 2.3.1.2 Analyse Risks

The next step is to determining the level of each risk:

- Firstly, the consequence of each risk is determined, and then the likelihood of each risk occurring is determined. (Note: The tables provided in *Appendix 2 and 3* are used to determine how each risk is categorised).
- These numbers are recorded in the corresponding risk register.

#### 2.3.1.3 Evaluate Risks

The estimated level of risk is given by the intersection of the Consequence and Likelihood number. The letter in the corresponding square of the table gives the estimated level of risk. It is either: Low, Moderate or Critical.

### Estimated Level of Risk

Likelihood		Consequence				
		Insignificant 1	Minor 2	Moderate 3	Major 4	Catastrophic 5
Rare	1	L	L	L	M	C
Unlikely	2	L	L	M	M	C
Moderate	3	L	L	M	C	C
Likely	4	L	M	M	C	C
Almost Certain	5	M	M	C	C	C

### 2.3.2 Step 2: Managing and Controlling Risk

#### 2.3.2.1 Control Risks

For each risk identified control measures will be developed. The level of risk will generally denote the amount of consideration and resources that should be used in the treatment process i.e. the higher the risk the greater the consideration. The process to develop these controls is given below:

1. Eliminate the hazard or risk if possible
2. If the risk cannot be eliminated then one or more of the following actions must be undertaken:
  - Substitute (wholly or partly) the hazard giving rise to the risk with something that gives rise to a lesser risk.
  - Isolate the hazard giving rise to the risk to prevent any person coming into contact with it.
  - Implement engineering controls.

3. If a risk remains after step 1 and 2, then the remaining risk must be minimised:
  - By implementing administrative controls; or
  - By ensuring the provision and use of suitable personal protective equipment (PPE).

Note: This process should be collaborative and must include the same stakeholders as given in the identification stage.

### 2.3.3 Step 3: Additional Risk Management

In conjunction with the above process the following measures must be undertaken depending on the risk rating associated with each identified hazard and risk:

#### Low Risk:

- These risks will be managed by routine procedures
- They will be documented within the main risk register

#### Moderate Risk:

- These risks will be attended to in the medium term.
- Senior management attention is required.
- The controls and management of these risks will be documented in a more thorough fashion than is allowed by a risk register i.e. development of specific operational procedures in the form of a task analysis, Standard Operating Procedure (SOP), Activity Management Plan (AMP) etc.

#### Critical Risk:

- There must be immediate research, action and management of these risks.
- HSO attention is required.
- The controls and management of these risks will be documented in a more thorough fashion than is allowed by a risk register i.e. development of specific operational procedures in the form of a task analysis, Standard Operating Procedure (SOP), Activity Management Plan (AMP) etc. This process will be overseen and signed off by the HSO.

#### 2.3.3.1 List of Current Critical Risks:

The H&S Officer in conjunction with executive leadership have identified the following critical risks:

- A serious incident or accident occurs on a The Kind Foundation run adventure activity.
- A natural disaster occurs causing a The Kind Foundation building, plant or equipment to collapse or fail.
- A natural or manmade disaster occurs that seriously harms The Kind Foundation staff members and/or participants.
- Poor design, build or maintenance causes a The Kind Foundation building, plant or equipment to collapse or fail.
- A The Kind Foundation staff member under the influence of drugs or alcohol causes an incident that severely injures themselves and/or others.
- A member of the public is violent towards one of more of The Kind Foundation staff and/or participants. This may include assault, an 'active shooter' situation, an explosive device placed on a The Kind Foundation site etc.
- An emergency evacuation or procedure is handled poorly which leads to serious harm to one or more staff members or participants.
- A serious motor vehicle accident occurs which involves The Kind Foundation staff members and/or participants.
- A contractor causes a serious incident or accident to occur while working on a The Kind Foundation site or project.

- The Kind Foundation's action or inaction is a major casual factor in the abuse or neglect of a child, young person or vulnerable adult.
- Serious harm to a participant or staff member occurs due to a medical event.
- Serious mental and/or physiological harm to a participant or staff member occurs due to an event occurring on a The Kind Foundation site or during a The Kind Foundation run activity.

### 2.3.4 Step 4: Communicating Risks

#### 2.3.4.1 Documenting Risk Management

The Kind Foundation Risk Register:

All hazards, risks and controls identified through Step 1 to 3 will be documented.

The Kind Foundation Risk Register will be used as the base level documentation. It will include all hazard and risks, and the associated controls, and will be broken into relevant sections e.g. office, food control, vehicle. For a number of low risk activities (both work task related and those that involve participants) the risk register will be the sole documentation. For these low-level activities, the controls included in the risk register will be sufficiently detailed.

For activities that have moderate or above risks associated with them, the risk register will, at minimum, detail the overarching control methods, but may not provide full operational detail. The full operational detail will then be documented in other specific documentation (see below) and these documents will be noted in the relevant controls.

The HSO is responsible for the upkeep and review of The Kind Foundation Risk Register.

Other Risk Management Documents:

All activities with risks that are moderate or above will have specific documentation. This documentation must include all relevant controls. There is not set type for this documentation, but it must be appropriate for the activity it represents. Other risk management documents used by The Kind Foundation include: Activity Management Plans (AMP), Standard Operating Procedures (SOP) and activity specific risk registers. The type of documentation used will be set by the HSO in conjunction with Senior Management.

#### 2.3.4.2 Communication of Hazards, Risks and Controls

There are a number of ways in which information on hazards, risks and the associated controls are communicated throughout The Kind Foundation. These methods included:

- Induction, training and competency
- Staff meetings
- Signage and posters
- Having related policy, The Kind Foundation Risk Register and other risk management documentation easily available to all staff through both paper and electronic versions

### 2.3.5 Step 5: Monitoring and Reviewing Risks and Control Measures

Monitoring is checking what is going on at each step, and reviewing means checking the results at each step. Monitoring and review should occur:

1. During the development of new risk management documentation.
2. When a new operational task is to be undertaken.
3. If a control measure does not control the risk it was implemented to control.
4. If major changes occur within the context of an activity or work task i.e. there are major changes at a site, or with an operational task. This may include changes to stakeholders, changes to the external environment, changes to personal etc.
5. If a new relevant risk or hazard is identified.
6. If a staff health monitoring report indicates exposure to a hazardous substance at a concentration that may cause harm, or advice that the worker may have contracted a

disease or an illness at their workplace, or a recommendation that The Kind Foundation take remedial measures.

7. In the event of a major incident, or as the result of incident analysis.

8. If requested by a health and safety representative or after engagement with staff.

Note: A more informally process maybe be used when there is a minor variation to an already documented site or operational task.

All hazards, risks and associated controls will be reviewed at least annually. Some risks maybe reviewed more frequently. The HSO will be responsible for ensuring all risks are reviewed within appropriate timeframes.

## 2.4 Risk Management Responsibility

This section details who is responsible for ensuring risks and hazards at the different tiers are managed. In terms of responsibility the risk management process has been broken down into 4 processes: Development, Resourcing, Implementation and Management. There is also a 5<sup>th</sup> process which is called Audit. These processes are described here:

### Development

Ensuring that Steps 1: Identification and Analysis of Risks, Step 2: Managing and Controlling Risk and Step 3: Additional Risk Management occur.

### Resourcing

Ensuring that the required resources (e.g. staffing, equipment etc.) is available to control and manage each risk and hazard.

### Implementation

Ensuring that the designated control and management strategies as detailed in the relevant risk management documentation is implemented. This will also include ensuring Step 4: Communicating Risk occurs.

### Management

Ensuring Step 5: Monitoring and Reviewing Risks and Control Measures occurs.

### Audit

Refers to either an internal or external audit of a specific risk management process. Internally this will be undertaken by the HSO with support from senior management.

### 2.4.1 Responsibility at each Tier

The three Tiers of risk are represented below, with each of 5 processes shown under each Tier. Each process shows which staff member is responsible for ensuring that process is completed. Note that this is not showing who should be undertaking the work required to complete each process, as that will generally be a mix of staff members include frontline staff, management and the HSO.

#### Low Risk

- Development: Departmental Management
- Resourcing: Departmental Management
- Implementation: Departmental Management
- Management: Departmental Management
- Audit: After a significant incident has occurred or when requested

#### Moderate Risk

- Development: Departmental Management
- Resourcing: Senior Management



- Implementation: Departmental Management
- Management: Senior Management
- Audit: After a significant incident has occurred or when requested

#### Critical Risk

- Development: HSO
- Resourcing: CEO/Board
- Implementation: Departmental Management
- Management: Senior Management
- Audit: Occurs on a set schedule, after a significant incident has occurred or when requested or as required

### 3 DEFINITIONS

Adventure Activity:

Means an activity:

- that is provided to a participant in return for payment; and
- that is land-based or water-based; and
- that involves the participant being guided, taught how, or assisted to participate in the activity; and
- the main purpose of which is the recreational or educational experience of the participant; and
- that is designed to deliberately expose the participant to a serious risk to his or her health and safety that must be managed by the provider of the activity; and
- in which –
  - failure of the provider’s management systems (such as failure of operational procedures or failure to provide reliable equipment) is likely to result in a serious risk to the participant’s health and safety; or
  - the participant is deliberately exposed to dangerous terrain or dangerous waters.

Contractor/Consultant:

A person engaged by The Kind Foundation to do any work for gain or reward under a Contract for Services.

Departmental Management:

Refers to staff that have operational responsibility for an individual department – Fitness Supervisor, Recreation Supervisor, Adventure Centre Supervisor, Wainui Park Manager, 4C Curator, Raise Up Youth worker, and any other personnel who report to a Senior Manager

Executive Leadership:

Refers to CEO and COO positions.

Hazard:

An activity, arrangement, circumstance, event, occurrence, phenomenon, process, situation or substance (whether arising or caused within or outside a place of work) that is an actual or potential cause or sources of harm.

Notifiable Injury or Illness:

Notifiable injury or illness, in relation to a person, means –

- (a) any of the following injuries or illnesses that require the person to have immediate treatment (other than first aid):
  - (i) the amputation of any part of his or her body:
  - (ii) a serious head injury:
  - (iii) a serious eye injury:
  - (iv) a serious burn:
  - (v) the separation of his or her skin from an underlying tissue (such as degloving or scalping):
  - (vi) a spinal injury:
  - (vii) the loss of a bodily function:
  - (viii) serious lacerations:
- (b) an injury or illness that requires, or would usually require, the person to be admitted to a hospital for immediate treatment:
- (c) an injury or illness that requires, or would usually require, the person to have medical treatment within 48 hours of exposure to a substance:
- (d) any serious infection (including occupational zoonoses) to which the carrying out of work is a significant contributing factor, including any infection that is attributable to carrying out work—
  - (i) with micro-organisms; or

- (ii) that involves providing treatment or care to a person; or
  - (iii) that involves contact with human blood or bodily substances; or
  - (iv) that involves handling or contact with animals, animal hides, animal skins, animal wool or hair, animal carcasses, or animal waste products; or
  - (v) that involves handling or contact with fish or marine mammals:
- (e) any other injury or illness declared by regulations to be a notifiable injury or illness for the purposes of this section.

**Policy:**

Intentions and direction of an organisation as formally expressed by its top management, which amounts to a non-negotiable instruction or rule.

**Procedure:**

The method by which a policy can be accomplished, it provides the instructions necessary to carry out a policy statement.

**Risk:**

The chance or probability that a person will be harmed or experience an adverse effect if exposed to a hazard. It may also apply to situations with property or equipment loss.

**Risk Management:**

A process of identifying, assessing, controlling and monitoring the risks in order to prevent an accident, incident or loss.

**Senior Management:**

Refers to Managers that oversee a number of departmental areas or sites – Early Learning Centre Manager, Outdoors Manager, Hotel & Hospitality Manager, Recreation and Wellbeing Manager – and any other senior personnel who report to either the CEO or the COO.

**Staff:**

The term 'staff' in this document refers to any person working at The Kind Foundation under the direction of The Kind Foundation Management, and includes employees and volunteers.

**Technical Advisor:**

A technical advisor is an individual who is an expert in a particular field of knowledge. They have a strong understanding of the processes required and changes that need to be implemented to achieve the required outcomes.

## **4 RELATED DOCUMENTS**

### **4.1 The Kind Foundation Documents**

- Safety Management Plan (SMP)

### **4.2 Legislation**

- Health and Safety at Work Act 2015
- Health and Safety at Work (General Risk and Workplace Management) Regulations 2016
- Health and Safety at Work Adventure Activities Regulations 2016

### **4.3 Standards and Codes of Practice**

- Safety Audit Standard for Adventure Activities
- AS/NZS ISO 31000:2009 Risk management

#### 4.4 Other

- Worksafe (2016) General Risk and Workplace Management: Part
- Worksafe (2017) General Risk and Workplace Management: Part 2

## **5 DOCUMENT CONTROL**

### **5.1 Policy Owner**

- Health and Safety Officer

### **5.2 Parent Policy**

- Safety Management Plan

### **5.3 Date of Implementation**

- November 2023

### **5.4 Review Date**

- June 2024

### **5.5 Document Control Procedure**

This document is considered a 'living document' and as such, regardless of the review date, this document remains relevant until such time as a new version is produced or it is retired.

Documents will be identified by a header and footer that states the version number and total number of pages within the document.

Any previous versions or copies will be removed from circulation if obsolete or marked clearly that they are not current. Archived copies and other safety-related records will be kept for seven years and archived accordingly.

Once printed, documents are uncontrolled.

## 5.6 Version Table

Version	Amendments made	Approved by	Date
1.0	<ul style="list-style-type: none"> <li>Original version developed</li> </ul>	Josie Ogden Schroeder	May 2016
2.0	<ul style="list-style-type: none"> <li>Added Section 3.2.1 Flowchart</li> <li>Updated Sections 3.3 and 3.4 on the development of Risk Registers</li> <li>Updated the Estimate of Consequence table (Section 3.4.1.4)</li> <li>Updated Section 5 Related Documentation</li> <li>Updated Appendix 1,2 and 3</li> </ul>	Josie Ogden Schroeder	Aug 2017
2.1	<ul style="list-style-type: none"> <li>General edit</li> </ul>	Josie Ogden Schroeder	Oct 2018
2.2	<ul style="list-style-type: none"> <li>General edit</li> </ul>	Josie Ogden Schroeder	Sep 2019
3.0	<ul style="list-style-type: none"> <li>General edit</li> <li>Section 3.3 and 3.4 changed other risk registers to risk management documentation.</li> <li>Section 3.4 heading changed to the Risk Management Process</li> <li>Section 3.4.1 removed 'establish the context' section. Removed what was step 1. Evaluate risks was altered to reflect the changes to Estimated Level of Risk Table.</li> <li>Updated Estimated Level of Risk Table (Section 3.4.1) – Removed numbers, changed to 3 levels rather than 4, changed, changed order and included a heading.</li> <li>Rewrite of Section 3.4.2 additional risk management to reflect the change to 3 risk levels.</li> <li>Updated 3.4.4. Removed control measure reviews section.</li> <li>Added Section 3.5 Risk Management Responsibility.</li> <li>Update Section 4: Roles and Responsibilities.</li> <li>Updated Estimate of Consequence Table (Appendix 2) to include an incident column.</li> </ul>	Josie Ogden Schroeder	Mar 2021
3.1	<ul style="list-style-type: none"> <li>Changed to new template</li> <li>General edit</li> <li>Removed Section 1 Purpose</li> <li>Updated the flowchart in Section 2.2.1</li> <li>Removed Section 3.3 The Kind Foundation Christchurch Risk Registers and moved some of that section to Section 2.3.4.1 Risk Management Documentation</li> <li>Removed Section 3.4.1 Introduction</li> <li>Reworked Section 2.4.3.2 Communication of Hazards, Risks and Controls</li> <li>Updated Section 2.3.5 Step 5: Monitoring and Reviewing Risks and Control Measures to include a minimum timeframe for reviewing</li> <li>Updated Section 3 Definitions</li> </ul>	Josie Ogden Schroeder	Jun 2023
3.2	<ul style="list-style-type: none"> <li>Updated due to change in organisation name and branding</li> </ul>	Crispian Hills	Nov 2023