

Orienteering Tasmania Inc.

Risk Management Policy and Plan

STATEMENT OF INTENT

The Board of Orienteering Tasmania Incorporated is committed to meeting its obligations to members, competitors, volunteers and other stakeholders in relation to the management of risks that may adversely affect its ability to meet its mission, goals and objectives.

**Version 4.2
February 2014**

CONTENTS

Foreword	3
Background to Risk Management	
Introduction	4
Purpose Scope and Application	5
Risk Management as a tool	6
Benefits of Risk Management	7
Risk Management Integrated into Activities	8
Risk Management process	10
Risk Management Plan	13
1 Policy	14
2 Definitions	14
3 Responsibility	15
4 Objectives	16
5 Procedure	17
5.1 Strategic Risk Management	
5.2 Operational Risk Management	
5.3 Documentation/Communication of Risk	
Appraisal / Control	
6 Documentation/Records	18
7 Appendices	20

FOREWORD

Part of any sport's growth or change is the need to identify and assess opportunities and risks along the way. This process allows our organization to be responsive to internal and external dynamics and to grow in order to ensure that it continues to meet the needs of those it serves.

The Board of Orienteering Tasmania Incorporated has acknowledged its responsibilities in relation to Risk Management in the context of its activities. Through the Board's governance process it is committed to ensuring that its strategic planning is based on informed decision-making through a process of assessing opportunities and risks/threats to the organization.

The Executive and Directors of the Board of Management of Orienteering Tasmania Incorporated commend this document and the Risk Management Plan included within it, to our members and other stakeholders and we encourage all members to join us in becoming proactive in the area of Risk Management.

Warwick Moore
PRESIDENT
BOARD OF MANAGEMENT
ORIENTEERING TASMANIA (Inc)
28th February, 2014

BACKGROUND TO RISK MANAGEMENT

INTRODUCTION

Orienteering Tasmania exists to provide opportunities for Tasmanians to participate in the sport of Orienteering to the level they desire. In order to meet this objective, the business of Orienteering Tasmania has developed in many areas and with a wide range of activities, in keeping with the demands made upon a modern sporting organization.

From its beginnings in the 1970's, the activities of the Orienteering Tasmania have developed from providing occasional competitions for a few interested people to providing a state calendar of events with over 8000 participant/events in a year. Clubs offer a variety of activities and events in most areas of the state, school competitions are flourishing in Launceston and Hobart, there is a series of state level events held each year, and Tasmania has an outstanding reputation for hosting and conducting national and international orienteering events. We have regular strong representation in Australian Orienteering teams, both as competitors and as officials.

These activities require a sound basis of strategic and operational planning; efficient and effective implementation of all activities, and demonstrated accountability to many stakeholders, including our own members, the State Government, particularly Sport and Recreation Tasmania, our sponsors, and Orienteering Australia.

A systematic process of governance, management and operation ensures that Orienteering Tasmania is well placed to embrace opportunities that present themselves over time, as well as to guard the reputation, assets and ongoing sustainability of the sport against threat or risk.

Risk Management is fundamental to ensuring the ongoing direction and sustainability of any organization. In this context, members of the Board must ensure that we are considerate of possible threat or risk in our planning and implementation of all our activities. This requires the ongoing and systematic application of Risk Management principles.

Risk Management is the responsibility of every member of Orienteering Tasmania, from the Board to members, non-member participants, people such as mappers who may be contracted to the Orienteering Tasmania from time to time, paid employees, volunteers and others associated with the sport. As we interact together we will also be mindful of our different perspectives and respectful of each person's dedication, commitment and contribution to the whole that is Orienteering Tasmania. It is through these activities, and based on our commitment to each other and our goals, that we will achieve the best outcomes for people interested in orienteering in Tasmania.

DOCUMENT PURPOSE, SCOPE AND APPLICATION

The Purpose of this document is to:

- Demonstrate the commitment to, and framework for, the Risk Management process within the strategic and operational activities of Orienteering Tasmania Incorporated;
- Provide a structure for the systematic assessment and evaluation of opportunities and risks associated with all aspects of the work of Orienteering Tasmania Incorporated;
- Define the roles, responsibilities and process for Risk Management;
- Provide all members including members of clubs, members of the Board of Management, and other officials and volunteers, with a tool to support the management of risks in their operational activities.

The Scope of this document is:

- As a reference point to underpin the Risk Management process that will be regarded as an integral part of strategic and operational activities of each area of Orienteering Tasmania Incorporated;
- As a dynamic tool that will be responsive to change and that will reflect best practice.

The Application of this document will cover the work and activities of:

- Officers of the Association
- The Board of Management
- Affiliated Clubs and officers
- Competitors
- Officials, Coaches and Mappers
- Employees and Contractors

RISK MANAGEMENT AS A TOOL FOR ORIENTEERING TASMANIA

Risk Management will be regarded as an integral element of organizational governance, planning and activity. It will be a fundamental aspect of successful and efficient management and business activity.

Where once the concept of risk was associated with the acquisition of an insurance policy that insured against material risk, or the exercising of due care to ensure that competitors were not exposed to unwarranted hazards on courses, the concept of Risk Management has now been extended to the identification and minimization of, or mitigation against, a vast array of less tangible but no less real internal and external risks.

Orienteering Tasmania views the process of Risk Management as a way of assessing and developing new opportunities, understanding the elements / aspects of associated risk and devising strategies aimed at reducing the impact of risk to an acceptable level.

Effective Risk Management will require:

- A Strategic Focus
- Forward thinking and proactive approaches to decision making/management.
- Balance between the costs of managing risks and the anticipated benefits.
- A system for setting priorities when there are competing demands for limited resources.
- Contingency planning in the event that mission critical threats are realized.

The emphasis for Risk Management planning and implementation will be the appropriate targeting and optimizing of available resources and effort in order to manage risks and most importantly to facilitate the achievement of organizational objectives.

BENEFITS OF THE RISK MANAGEMENT PROCESS

The benefits of implementing a strategic Risk Management process for Orienteering Tasmania Incorporated are:

- To provide a reporting framework for meeting governance/strategic objective requirements.
- To provide members with a sound understanding of the foreseeable likelihood and consequences of any orienteering related activity.
- To avoid the likelihood of unacceptable outcomes.
- To foster openness and transparency in decision-making and ongoing management processes.
- To provide more systematic and rigorous process, providing better understanding of issues associated with the sport.
- To assist in achieving better outcomes in terms of planning/efficiency and effectiveness of Orienteering Tasmania activities.
- To provide a framework for the assessment of innovative processes to expose risks before they occur and to allow informed judgement on the value of the activity in light of the possible risk/costs.

RISK MANAGEMENT INTEGRATED INTO ORGANIZATIONAL ACTIVITIES

Risk Management will underpin the planning and execution of activities at all levels of operation and in all areas of the sport.

It is no longer acceptable for the thought of possible risk in an activity to be ad hoc or informal. It will now be directed and supported by policies and internal mechanisms which encourage active assessment and reduction of risk.

How Risk Management will underpin all levels of activity:

Governance -

The emphasis for Risk Management in the sport of Orienteering in Tasmania will be in accordance with the Governance Policies of Orienteering Tasmania. Within this framework relevant aspects will cover responsibilities in relation/but limited to the:

- Constitutional requirements of Orienteering Tasmania.
- Legislative Compliance frameworks (Incorporations Act).
- Informed decision-making.
- Accountability to State Government and to Orienteering Australia.
- Fiduciary duties and responsibilities.
- Enhancing and upholding the reputation of Orienteering Tasmania.
- Monitoring of performance of the organization within the context of its stated objectives.
- Ongoing assessment of Board performance within defined roles and responsibilities.
- Protection of assets - physical and human - to ensure outcomes for the owners of Orienteering Tasmania (both legal and moral).
- Recognition of opportunities for sporting activity and the promotion of the sport.
- Strong strategic leadership.

Management of Orienteering Tasmania –

- Strategic and operational planning/budgeting and the setting of objectives within the Vision and Mission of Orienteering Tasmania.
- Identification and assessment of risk in relation to planned activities.
- Support for a culture of Risk Management in all activities.
- Ensuring legislative compliance in relation to Board activities.
- Provision of operational policies as guidance for activities/responsibilities.
- Provision of supervision, direction and support of officers and volunteers of Orienteering Tasmania.

Operational Activities of the Orienteering Tasmania

- Planning/budgeting/staffing and the facilitation of activities to meet Orienteering Tasmania objectives.
- Identification and assessment of risk in relation to planned activities - both internal and external with an emphasis on the safety and support of personnel in their activities.
- Support of a culture of risk management in all activities with attention to Risk Management as a Board Meeting agenda item.

Responsibilities of Officers of Orienteering Tasmania

Board members and other appointed officers of Orienteering Tasmania will be responsible for the application of Risk Management processes in their planning and execution of all activities related to the conduct and reputation of the sport.

It will be the responsibility of every member to communicate potential areas/incidents of risk as part of their involvement in the sport.

Board members and other appointed officers of Orienteering Tasmania will extend a Duty of Care to the assistance of members, competitors, participants and volunteers in activities conducted under the auspices of Orienteering Tasmania however they will not be expected to put themselves at risk in doing so.

RISK MANAGEMENT PROCESS

The process of managing risks involves a number of steps:

- Identification of a risk or threat
- Assessment of the importance and consequence of that risk.
- Establishment of procedures to treat, minimise or eliminate that threat
- Supervision and review of the established procedures
- Regular review of this Risk Management Plan

The Risk Management process for Orienteering Tasmania is documented below.

1. IDENTIFICATION OF RISKS

Risks are identified and entered in the **Orienteering Tasmania Risk Register**. Everyone covered by the application and scope of this policy is responsible for assisting with the identification of risks. Once a risk has been identified it should be referred to a member of the Board for consideration.

Incidents which occur, and which appear to reflect a risk that has not been previously identified, should be documented and recorded in the **Orienteering Tasmania Incident Register**. This **Incident Register** will be reviewed regularly by the Board to determine whether there is a risk that has not been treated, whether a risk needs to have its priority level raised and a Risk Action Plan developed, or whether an existing Risk Management Plan is deficient or has not been implemented effectively.

In the **Risk Register**, risks have been classified into four categories.

Categories of Risk

- Financial Risks
- Legal / Compliance Risks
- Health and Safety Risks
- Sustainability Risks

2. ASSESSMENT OF RISKS

The Board conducts a regular review of the risks identified in the **Risk Register**. Risks are assessed and rated for

Impact – the effect it would have on the sport if the risk eventuated

Likelihood – the probability of the risk occurring.

Following the assessment of the likelihood and impact, the **consequence** of the risk eventuating and its **priority** for treatment is determined.

3. ESTABLISHMENT OF TREATMENT PROCEDURES

All risks recorded in the Risk Register are accorded a priority for treatment – High, Medium or Low. These priorities are based on a combination of the likelihood of occurrence and the severity of the impact if the incident were to occur. These two factors, probability and consequence, are combined to describe the priority of treatment (H,M,L) in the Risk Tolerance Table which is held in the Risk Register.

All risks accorded a High Priority are assigned to the relevant Board Member who is responsible to ensure that an appropriate **Risk Action Plan** is prepared and implemented. A summary of the **Risk Action Plan** is then submitted to the Board for review and inclusion in the Risk Register. The Board Member responsible for the **Risk Action Plan** is also responsible for ensuring that the Plan is implemented.

4. SUPERVISION AND REVIEW OF THE RISK ACTION PLAN

It is the responsibility of the relevant Board Member to develop and implement a Risk Action Plan for each risk rated High Priority in the Risk Register. A **Risk Action Plan Summary** form shall be submitted to the Board and recorded in the Risk Register.

The Risk Action Plan will be subject to review by the Board of Management, who will periodically assess the appropriateness of the Plan and procedures, its implementation and the degree of adherence to the established procedures.

5. REVIEW OF THE RISK MANAGEMENT PLAN

The Board will carry out a regular review of this Risk Management Plan. The review will consider all of the following:

- Is the Risk Management Plan still appropriate?
- Is the Risk Register up-to-date?
- Are steps being taken to identify all new risks?
- Is there a need to re-assess the priority of any recorded risks?
- Is the procedure for reporting on risk mitigation being followed?

ORIENTEERING TASMANIA RISK MANAGEMENT PLAN

CONTENTS

- 1 Policy
- 2 Definitions
- 3 Responsibility
- 4 Objectives
- 5 Procedure
 - 5.1 Strategic Risk Management
 - 5.2 Operational Risk Management
 - 5.3 Documentation/Communication of Risk Appraisal/Control
- 6 Documentation/Records
- 7 Appendices

1 RISK MANAGEMENT POLICY

It is the policy of the Orienteering Tasmania Incorporated that:

- 1.1 The management of external and internal opportunities and risks will be regarded as critical to the growth, development, sustainability and effective management and governance of the Orienteering Tasmania.
- 1.2 A world best practice Risk Management approach will be an integral part of the planning and execution of strategic and operational activities conducted by Orienteering Tasmania and part of the workplace culture.
- 1.3 A structured Risk Management program will underpin the operations of Orienteering Tasmania in order to minimize reasonably foreseeable harm to people, damage to the environment and property, and disruption to our operations.
- 1.4 The elements of Risk Management - identification, assessment, evaluation, treatment and review will be considered in relation to new opportunities, enterprises and any activities of Orienteering Tasmania.
- 1.5 Orienteering Tasmania recognizes its obligations and responsibilities in relation to the guidelines, elements and intent of the Australian/New Zealand Risk Management Standard AS/NZ 4360:1999
- 1.6 Training will be provided to our personnel to enable them to implement Risk Management effectively, and Orienteering Tasmania will strive to improve our Risk Management practices on an on-going basis.

2 DEFINITIONS

For the purposes of this document, the definitions pertaining to risk will be as per the RISK MANAGEMENT STANDARD - Australian/New Zealand Standard (AS/NZ 4360:199). Definitions of Consequence and Likelihood are an Appendix to the Risk Register.

2.1 Risk

The chance of something happening that will have an impact upon objectives. It is measured in terms of consequence and likelihood.

2.2 Risk Management

The culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects.

2.3 Risk Management Process

The systematic application of management policies, procedures and practices, to the tasks of establishing context, identifying, analyzing, evaluating, treating, monitoring and communicating risk.

2.4 Consequence

The outcome of an event expressed qualitatively or quantitatively, being a loss, injury, disadvantage or gain. There may be a range of outcomes associated with an event.

3 RESPONSIBILITY

All members and participants in the sport of orienteering have a responsibility to help to identify risks and to abide by the policies and guidelines established by Orienteering Tasmania, in particular those procedures put in place to treat risk. The following have specific responsibilities.

3.1 Orienteering Tasmania Executive

The Executive has the following particular responsibilities:

- To ensure that risk management is a regular meeting agenda item.
- To coordinate regular reviews of the Risk Management Plan.
- To incorporate risk management in the strategic and operational planning processes
- To promote risk management within the orienteering community
- To maintain the Risk Register and Incident Register
- To file all Risk Action Plan Summary forms
- To ensure that all members of the Board, all officials of Orienteering Tasmania, and all member clubs are aware of the Plan and risk management actions.

3.2 The Board

All members of the Board of Orienteering Tasmania, acting individually and/or collectively as appropriate, shall be responsible for implementation of the Risk Management Plan. Board members have the following particular responsibilities:

- To take account of risks in all aspects of the management of their portfolios
- To participate in the identification of risks, particularly those relevant to each Board member's portfolio and responsibilities and to ensure that these risks are recorded in the Risk Register.
- To undertake the assessment of risks that have been identified.
- To ensure that Risk Action Plans are developed for each High and Extreme risk.
- Supervising the implementation of the procedures established in the Risk Action Plans for which they are responsible
- To incorporate risk management into the Board's strategic and operational planning.

- To Report to the Board on the implementation of the Risk Action Plans for which they are responsible
- To assist in the review of reports on the implementation of Risk Action Plans
- To undertake regular reviews of the Risk Management Plan.
- To promote risk management throughout the membership and in member clubs.

3.3 Officers and officials appointed by the Board and its Committees

Officers and officials that are appointed by the Board, or by its committees, or by a Director acting on behalf of the Board, have the following particular responsibilities.

- To assist in the identification of risks and to communicate any identified risks to the Board.
- To report to the Board any incidents which may reflect a potential risk and ensure that they are included in the Incident Register.
- To implement any specific risk management procedures that may apply to their activities.
- Managing risks in their orienteering activities in accordance with Orienteering Tasmania's policies and procedures.

4 OBJECTIVES

This Risk Management Plan is designed to meet the following objectives

- 4.1 To implement, support and maintain a systematic practice of Risk Management as an integral part of planning and execution of strategic and operational activities of Orienteering Tasmania.
- 4.2 To support a culture of Risk Management whereby people at all levels of the sport are supported in the application of Risk Management principles and practice in relation to their tasks/position and the environment in which they operate.
- 4.3 To ensure that management policies and procedures are developed and available to ensure safe and consistent practice by all officers of Orienteering Tasmania with particular emphasis on areas where inherent risk has been identified.
- 4.4 To ensure that documentation of risk assessment and evaluation is maintained to support the Risk Management process.
- 4.5 To ensure that a systematic appraisal of risk is applied to all areas of the business of Orienteering Tasmania to ensure that mechanisms are in place to demonstrate compliance with the Risk Management Standard.

5 PROCEDURES

5.1 Strategic Risk Management

- 5.1.1 Board Members will support and implement a culture of Risk Management identification / assessment within each operational area of Orienteering Tasmania.
- 5.1.2 Resources will be allocated to the process of Risk Management as an integral part of the planning and budget process of Orienteering Tasmania.
- 5.1.3 Orienteering Tasmania's activities will be planned and implemented in a systematic manner that identifies opportunities and risks for consideration.

5.2 Operational Risk Management

- 5.2.1 Members will be guided and supported in the identification and assessment of risk as it pertains to their role and responsibilities.
- 5.2.2 Risk Management assessment will be an integral part of planning and implementation of activities.
- 5.2.3 Potential risks will be identified and communicated to Directors and the Board.
- 5.2.4 The Board will assess all risks that have been identified and appropriate responses will be initiated to assess the likelihood, impact and priority of the risk.
- 5.2.5 The Board will allocate the responsibility for each high and extreme risks to a member of the Board. The Board member will be responsible for developing a Risk Action Plan, and for implementing and monitoring the Action Plan. The Board member shall submit a Risk Action Plan Summary to the Board for review and will provide reports to the Board on the implementation of risk mitigation procedures.

5.3 Documentation/communication of Risk Appraisal/Control

- 5.3.1 Orienteering Tasmania will initiate and maintain a Risk Management Register. This register will meet the intent and guidelines of the Risk Management Standard (AS/NZ 4360: 1999). All risks identified will be included in the Risk Register.
- 5.3.2 Risks may be communicated at Board meetings or by representation (written or email) from clubs or individuals. Incidents which occur and which may reflect a potential risk, should be documented and included in the Incident Register.
- 5.3.3 The Board will review the likelihood, consequences and priority of the risk and determine what action should be taken.

- 5.3.4 The Board will receive a Risk Action Plan Summary outlining the responses to each High and / or extreme risk. The summary will be filed with the Risk Register.
- 5.3.5 A report on the action taken shall be published in OKnow.
- 5.3.6 Board members will report regularly to the Board on the implementation of the risk mitigation procedures for each high and extreme risk relevant to their portfolio, or for which they have responsibility.

6 DOCUMENTATION / RECORDS

The following documents are available to all members and stakeholders by contacting the Secretary of Orienteering Tasmania. Relevant forms and the Risk Management Policy and Risk Management Plan are available on the Orienteering Tasmania website

6.1 Risk Management

A document outlining Orienteering Tasmania's approach to, and commitment to, Risk Management was accepted by the Board of Orienteering Tasmania on 14 April, 2005. This document is available on the Orienteering Tasmania website.

6.2 Risk Management Policy and Plan

This Risk Management Policy and Plan is made available to all member clubs and to any member on request to the Secretary. The Risk Management Policy and Plan is available on the website.

6.3 Incident Register

The Orienteering Tasmania Incident Register is maintained by the Secretary on behalf of the Board. Clubs and members may obtain a copy of the Risk Register from the Secretary. All incidents related to risk are recorded in the Incident Register.

6.4 Risk Register

The Orienteering Tasmania Risk Register is maintained by the Secretary on behalf of the Board. Clubs and members may obtain a copy of the Risk Register from the Secretary. All risks identified are recorded in the Risk Register, together with the Board's assessment of each risk's likelihood, impact and priority, as well as a Risk Action Plan Summary for each risk rated High or Extreme.

6.5 Meeting Minutes

Minutes of Board and Executive meetings of Orienteering Tasmania contain information on the Board's response to risks and these minutes are circulated to clubs and are available to members on request.

6.6 Operational Plan

The annual Operational Plan for Orienteering Tasmania will include any resources allocated to risk management. The Operational Plan is available

to members and stakeholders on request to the Secretary.

6.7 Risk Action Plan Summary

A Risk Action Plan Summary form is completed by a Board member for each risk assessed as high or extreme. These forms are incorporated into the Risk Register.

6.8 Risk Action Plan Report

Regular reports on high or extreme risks are tabled at Board meetings and are included with the Risk Register.

6.9 Risk Management Summary

A summary of this Risk Management Plan and Policy is published for the benefit of members on the Orienteering Tasmania website.

7 APPENDICES

7.1 Risk Action Plan Summary Form

7.2 Risk Action Plan Report form

7.3 Risk Management Summary (see 6.9 above)

Orienteering Tasmania Inc.
RISK ACTION PLAN SUMMARY

Risk ID:	Category:	Register No:
Description of Risk:		
Likelihood:	Consequence:	Priority level:
Current Controls:		
Agreed Treatment Actions:		
Responsibility allocation:		
Resources Required: (human, financial, material):		
Key Action Dates:		
Reporting (To whom, when, in what form):		
References (To other documents, plans, manuals, as appropriate):		
Author: Date:	Reviewed by: Date:	

ORIENTEERING TASMANIA - RISK MANAGEMENT - SUMMARY

General

1. Orienteering Tasmania has a policy on dealing with risk and also has a comprehensive Risk Management Plan.
2. The combined *Risk Management Policy and Plan* is available on the OT website.

The Nature of Risks

Risks pertaining to orienteering have been classified into four categories:

- Financial Risks
- Legal / Compliance Risks
- Health and Safety Risks
- Sustainability Risks

Policy

The key elements of the Risk Management Policy are

1. Risk Management practices will be an integral part of the activities of Orienteering Tasmania.
2. Everyone involved in orienteering, including participants, clubs, members, officers and officials, and the Board of OT have certain responsibilities in the area of risk including
 - Helping to identify potential risks and making them known to the Board or a Director.
 - Reporting incidents which may reflect potential risks
 - Abiding by procedures and guidelines established by the Board and its officers and committees.

Risk Management Plan

The Risk Management Plan establishes procedures to deal with risks

1. All risks identified are recorded in a Risk Register kept by the Secretary. Copies of the Risk Register may be obtained by contacting the Secretary at secretary@tasorienteering.asn.au.
2. Significant incidents which occur are recorded in an Incident Register along with actions taken to resolve the incident. The Board will assess whether the incident reflects a potential risk and if so it will be added to the Risk Register.
3. All risks in the Risk Register will be assessed by the Board for likelihood, potential impact and priority for action.
4. The Board will ensure that Risk Action Plans to mitigate against risks will be developed for at least all those risks assessed as being extreme or high priority.
5. The Board will monitor the implementation and effectiveness of all Risk Action Plans.
6. The Board welcomes comment on any aspect of risk management.

What to do if you identify a potential risk.

1. If you identify a potential risk to orienteering, whatever it might be, please discuss it with a member of the Board.
2. If you witness an incident which may reflect a risk please also make sure that a member of the Board is aware of the circumstances.
3. An incident report form is available for download from the website, which you can complete and email to secretary@tasorienteering.asn.au.