Australian Seabird & Turtle Rescue Inc.

Policies and Procedures

Risk Management Policy

www.seabirdrescue.org.au

ASTR aims to reduce the human impact on the environment

This policy applies to staff and volunteers of Australian Seabird & Turtle Rescue .

Summary:
This document defines the way that risks to such things as the organizational goals, projects, customers, personnel or finances can be identified and dealt with in a systematic way.

AUSTRALIAN SEABIRD & TURTLE RESCUE INC.
Risk Management Policy

Title: Risk Management Policy

Replacing existing policy plan or procedure	**No**

Type of document: Policy   and Procedure

Related Legislation or other Documents

Work Health and Safety Act 2011 (NSW)
Work Health and Safety Regulation 2017
Smoke Free Environment Act NSW 2000

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Applicable to: all staff

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1   **Title: Risk Management Policy**

2   **Background**

Risk management is an integral part of the Australian Seabird & Turtle Rescue Inc . ASTR) approach to decision-making and accountability. Risk can be defined as the chance of something happening that may have an impact on the achievement of objectives. Risk is measured in terms of consequences and likelihood combined to arrive at a risk rating from Low to Very High (see the Risk Assessment Matrix in Appendix 1). Risk management comprises the culture, processes and structures that are directed towards the effective management of potential opportunities and adverse effects within ASTR's operational environment.

Risk is inherent in all ASTR's functions. They have the potential to impact financial performance, reputation, health and safety, community and the overall performance of the organisation. All ASTR personnel are responsible for managing the risks that relate to their particular area of work. Risks should be managed in a way that derives the best outcomes for ASTR and its stakeholders.

3   **Purpose**

The aim of this policy is not to eliminate risk. It is to assist ASTR personnel to manage the risks involved in the organisation's activities, in order to maximise opportunities and minimise adverse consequences. Effective risk management requires:

- Identifying and taking opportunities to improve performance as well as taking action to avoid or reduce the chances of something going wrong.

- A systematic process that can be used when making decisions to improve the effectiveness and efficiency of performance.

- Forward thinking and active approaches to management.

- Effective communication.

- Accountability in decision making.

- Balance between the cost of managing risk and the anticipated benefits.

4   **Policy**

The Risk Management Policy provides the framework for how risk will be managed within the organisation. and integrates with the strategic planning process. ASTR will endeavour to identify risks across the organisation and will assess the size or degree of risk by taking into consideration the potential impact to our operations.

Plans will be developed for risks which are unacceptable to the organisation. Risks, and the effectiveness of the risk management system will be monitored on a regular basis and we will communicate and consult with relevant stakeholders on our approach to managing risk.

ASTR aims to manage risk through an interactive process of continuous improvement that is best embedded into existing practices and business processes.

Examples of risks could be:

- Volunteer/customer/staff dissatisfaction.

- A threat to physical safety of volunteers/customers/staff.

- Poor publicity.

- Mismanagement.

- A breach of legal or contractual responsibilities.

- Fraud.

- Deficiencies in financial controls and reporting.

- Dissatisfaction of sponsors.

5 Procedure

Elements of the ASTR risk management process are:

5.1 Risk Tolerance

ASTR's tolerance for adverse risks will be used to determine which risks are treated through the development of risk treatment actions to manage risks to an acceptable level.

5.2 Integration with Governance and Strategic Planning

The Risk Management Policy forms part of the governance framework and integrates with the strategic planning process. The Policy addresses both strategic and operational risks and the requirement of the organisation to operate in its regulatory environment.

5.3 Accountability

Ownership of risks and risk treatment actions will be assigned to relevant roles within the organisation. ASTR has incorporated risk management accountability in executive, management and supervisory roles which are required to report on risks and risk treatment actions.

5.4 Reporting, Monitoring and Review

ASTR will monitor risks and treatment actions on an ongoing basis. Performance of the risk management system and outstanding risk treatment actions will be reported to the ASTR Committee on a regular basis.

5.5 Risk Management Oversight

ASTR's Executive Committee will oversee the Risk Management Policy and the organisation's exposure to risk. Oversight of the effectiveness of the risk management processes and activities will provide assurance to the Board and stakeholders and will support our commitment to continuous organisational improvement.

5.6   Communication and Consultation

ASTR will liaise with internal and external stakeholders as appropriate at each stage of the risk management process.

5.7   Risk Management Process

5.7.1 Risk Identification
- Risks will be identified in all aspects of ASTR's operations

5.7.2 Risk Analysis
- Determine the consequences and likelihood and hence the level of risk. This analysis should consider the range of potential consequences and how these could occur.

5.7.3 Risk Evaluation
- Compare estimated levels of risk against pre-established criteria (see risk matrix in Risk Management Guide) and consider the balance between potential benefits and adverse outcomes. This enables decisions to be made about the extent and nature of treatments required and about priorities.

5.7.4   Strategies for Risk Treatment

- Develop and implement specific cost-effective strategies and action plans for increasing potential benefits and reducing potential costs. Allocate responsibilities to those best placed to address the risk and agree on target date for action.
- Many of the risk treatments will be addressed in specific policies e.g. Work health and Safety policy

5.8   Documentation and Review

Each stage of the risk management process must be documented. It is necessary to monitor the effectiveness of the risk management process. This is important for continuous improvement. Risks and the effectiveness of treatment measures need to be monitored to ensure changing circumstances are taken into consideration.

5.9   Responsibilities

5.9.1 The Management Committee

The Committee of Management is responsible for the implementation and maintenance of sound risk management. In carrying out this responsibility, Office holders should review the adequacy of internal controls to ensure that they are operating effectively and are appropriate for achieving organisational goals and objectives. The Committee of Management should put in place mechanisms that promote the culture of risk management practices and encourage and empower personnel in the management of risk.

5.9.2 General Manager

The General Manager should ensure that any project or business plans include a discussion of key issues and major risks. This should form the basis for all activities.

5.9.3 Volunteers

All ASTR personnel should adopt sound risk management practices within their particular areas of responsibility.

6 Definitions

Control:

An existing process, policy, device or practice that acts to minimise negative risk or enhance positive opportunities.

Control assessment:

Systematic review of processes to ensure that controls are still effective and appropriate.

Event:

Occurrence of a particular set of circumstances.

Frequency:

A measure of the number of occurrrences per unit of time.

Hazard:

A source of potential harm or a situation with a potential to cause loss.

Consequence:

Outcome or impact of an event.

Likelihood:

A general description of probability or frequency.

Loss:

Any negative consequence or adverse effect, financial or otherwise.

Monitor:

To check, supervise, or record the progress of an activity or system on a regular basis to identify change.

Residual risk:

The remaining level of risk after risk treatment measures have been taken.

Risk:

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

Risk analysis:

A systematic process to understand the nature of and to deduce the level of risk.

Risk Criteria:

Terms of reference by which significance of risk is assessed.

Risk evaluation:

Process of comparing the level of risk agaiinst the risk criteria.

Risk Identification:

The process of determining what, where, when,why and how something could happen.

Risk Management:

The culture, processes and structures that are directed towards realizing potential opportunities whilst managing adverse effects.

Risk Management Process:

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

Risk reduction:

Actions taken to lessen the likelihood, negative consequence, or both, associated with a risk.

Risk retention:

Acceptance of the burden of loss, or benefit of gain from a particular risk.

Risk transfer:

Shifting the responsibility or burden for loss to another party through legislation, contract, insurance or other means. Risk transfer can also refer to shifting a physical risk or part thereof elsewhere.

Risk treatment:

Process of selection and implementation of measures to modify risk.

Stakeholders:

Those people and organisations who may affect, be affected by, or percieve themselves to be affected by a decision, activity or risk.

SWOT analysis:

Provides an assessment of an organisation's Strengths, Weaknesses, Opportunities, and Threats to provide a snapshot of the present and a view of what the future may hold.

7 Appendixes

Appendix 1 Emergency Response and Management
Appendix 2 Risk matrix
Appendix 3 Risk Assessment Form

Appendix 1

Emergency Response and Management

Fire

ASTR sanctuary building has a fire blanket in the kitchen and CO2 fire extinguishers.

RACE

R Remove people (or rescue them) from the fire or smoke affected area,

A Alert others – Ring the Fire Brigade 000

C Contain the fire (if possible) by closing doors and windows,

E Extinguish the fire if able to do so.

In the event of a fire birds and turtles are to be secured but not released;.

In the event of property damage the ASTR General Manager, in consultation with the ASTR President will notify the property insurer.

Flood

As the ASTR property is on a tidal estuary any flood event will be self limiting but access via North Creek Rd. Is frequently cut.

In the event of the property being threatened by a flood or actual flooding the General Manager should ensure that:

- Power sources likely to be inundated are switched off,
- Any evacuation of personnel is carried out early,
- Birds and turtles are secure but not released,
- Vital equipment is raised wherever possible.

The SES may need to be requested to secure the premises if there is damage.

In the event of property damage the General Manager, in consultation with the President will notify the ASTR insurer.

Cyclone

In the event of a cyclone or extreme weather event ensure that all nonessential personnel return to their homes.

The General Manager should ensure that:

- The ABC (emergency radio station) is tuned in to,
- Loose items around the buildings are secured,

- Birds and turtles are secure but not released,

- The SES may need to be requested to secure the premises if there is damage.

- In the event of property damage the General Manager, in consultation with the President will notify the ASTR insurer.

The SES may need to be requested to secure the premises if there is damage.

 In the event of property damage the General Manager, in consultation with the President will notify the ASTR insurer.

Oil Spill or Hazardous Substance Spill

Ring 000 to inform the Fire Brigade of any serious spill.

Robbery

In the event of a robbery or threat of violence compliance with the demands of the perpetrator is advisable.

Keep calm, speak only when spoken to, do not make sudden movements.

Try to note details about the perpetrator that may assist with subsequent identification.

When safe to do so ring 000 to contact the police.

Anyone affected adversely by the robbery is entitled to free counselling services under Victims of Crime legislation.

Appendix 2

RISK ASSESSMENT MATRIX

	Insignificant (A)	Marginal (B)	Moderate (C)	Critical (D)	Catastrophic (E)
Unlikely (1)	Low risk. No further action	Low risk. No further action		Low risk. No further action	Medium risk. Further action optional
Seldom (2)	Low risk. No further action	Low risk. No further action	Medium risk. Further action optional	Medium risk. Further action optional	High risk. Further action necessary
Occasional (3)	Low risk. No further action	Medium risk. Further action optional	Medium risk. Further action optional	High risk. Further action necessary	Extreme risk. Act now
Likely (4)	Medium risk. Further action optional	Medium risk. Further action optional	High risk. Further action necessary	Extreme risk. Act now	Extreme risk. Act now
Definite (5)	Medium risk. Further action optional	High risk. Further action necessary	Extreme risk. Act now	Extreme risk. Act now	Extreme risk. Act now

Consequence

Appendix 3

Risk Assessment Form

Risk	Likelihood 1-5	Consequence A-E	Risk Rating	Action