CHRISTCHURCH RUDOLF STEINER SCHOOL
BOARD OF TRUSTEES

Policy on: NAG-5 **HEALTH AND SAFETY POLICY**

Policy Statement

1. Risk management is a tool to help the Board of Trustees [BOT], College Principal Group [CPG] and 'workers' [see definitions] make decisions.

2. The following procedure is based on the Australian | New Zealand Standard for Risk Management, AS | NZS ISO 31000:2009. It is a structured approach that requires thinking through the risks | hazards | threats, followed by an evaluation of the likelihood and the probable consequence of these events occurring.

3. Risk management involves adapting the use of existing resources, assessing the effectiveness of current strategies | controls, developing new strategies | controls, contingency planning and the effective use of new resources.

4. The emphasis must be on creating a resilient school that manages and accepts risk within the bounds of the BOT and CPG while discharging their obligations and achieving the schools strategic goals.

5. The elimination, or minimisation, of risk is everyone's responsibility. When risk minimising is required, tolerance for the residual risk must be accepted at the appropriate level of school governance through effective escalation and decision-making processes.

Purpose

6. The BOT is committed to cultivating an environment in which everyone can thrive. This includes ensuring the school is future focused and has systems and processes to manage risk. The BOT will achieve this through:
   - **Unity of purpose:** a school wide awareness of what the school's priorities are, as well as an understanding of the schools minimum operating requirements.
   - **Leadership:** strong leadership to provide good management and decision making, as well as continuous evaluation of strategies and work programs against strategic goals.
   - **Effective partnerships:** an understanding of the relationships and resources the school might need to access from other organisations, and planning and management to ensure this access.
   - **Leveraging knowledge:** critical information is stored in a number of formats and locations and staff have access to expert opinions when needed. Roles are shared and staff trained so that someone will always be able to fill key roles.
   - **Breaking silos:** minimisation of divisive social, cultural and behavioural barriers, which are most often manifested as communication barriers creating disjointed, disconnected and detrimental ways of working.
   - **Internal resources:** the management and mobilisation of the school's resources to ensure its ability to operate during business as usual, as well as being able to provide the extra capacity required during adversity.
   - **Proactive posture:** a strategic and behavioural readiness to respond to early warning signals of change in the school's internal and external environment before they escalate.
   - **Planning strategies:** the development and evaluation of plans and strategies to manage vulnerabilities in relation to the school environment and its community.

7. All 'workers' are encouraged to play a vital and responsible role in maintaining the schools resilience through:
   - **Engagement:** the engagement and involvement of 'workers' who understand the link between their own work, the school's resilience, and its long-term success. 'Workers' are empowered and use their skills to solve problems.
   - **Situation awareness:** 'workers' are encouraged to be vigilant about the school, its performance and potential problems. 'Workers' are rewarded for sharing good and bad news about the school including early warning signals and these are quickly reported to school leadership.

- **Decision-making:** 'workers' have the appropriate authority to make decisions related to their work and authority is clearly delegated to enable a crisis response. Highly skilled 'workers' are involved, or are able to make, decisions where their specific knowledge adds significant value, or where their involvement will aid implementation.
- **Innovation and creativity:** 'workers' are encouraged and rewarded for using their knowledge in novel ways to solve new and existing problems, and for utilising innovative and creative approaches to developing solutions.
- **Stress testing plans:** the participation of 'workers' in simulations or scenarios designed to practice response arrangements and validate plans.

8. Students and the school community are encouraged to:
   - **Engage:** understand the link between their commitment and participation, the school's resilience, and its long-term success. Students and the schools community are empowered and use their skills to solve problems.
   - **Situation awareness:** students and the school community are encouraged to be vigilant about the school, and potential problems. Students and the school community are rewarded for sharing good and bad news about the school including early warning signals and these are quickly reported to leaders.

Audience
9. Every individual who is on the school premises or involved in an approved school educational activity in any other location.

Definitions
10. **Worker.** An individual who carries out work in any capacity for the school including:
    - Employees
    - Contractors | Sub-contractors
    - Employees of labour hire companies
    - Apprentices or trainees
    - People doing work experience or work trial
    - Volunteer workers

11. **Resilience.** The ability to bounce back from adversity through the foresight and situation awareness to prevent potential crises emerging; and an ability to turn crises into a source of strategic opportunity.

12. **Risk.** The chance of something happening that will have an impact on school objectives. Risks must be managed by taking action to eliminate them, and if that is not reasonably practicable, minimising them to an acceptable level.

13. **Risk evaluation.** Comparison of estimated levels of risk against the pre-established criteria. Consideration of the balance between potential benefits and adverse outcomes.

14. For further definitions in Appendix A.

Roles and Responsibilities
15. The BOT will work with the Principal to ensure there is clear visibility of the schools risk profile and that proactive actions are in place to eliminate or minimise these risks. The BOT will provide clear guidance in terms of risk tolerance, including escalation and authority to accept residual risk.

16. The CPG will work with 'workers' to identify, analyse, evaluate and treat all risks that aversely affect the schools ability to delivery its strategic goals and annual plans in alignment with the schools educational philosophy. 'Workers' will control and accept risk within the bounds of this policy or escalate the risk to the CPB. The CPB will control and accept risk within the bounds of this policy or escalate the risk to the BOT.

Risk Management Procedures
17. The BOT will work with the Principal to identify risks to the school, including workplace health and safety risks.

18. All identified risks must be assessed and all reasonable practicable steps [risk controls] are to be taken by the CPB to manage the risk. Risk matrix based on consequence and likelihood criteria in Appendix B.

19. The CPB must make sure that the person carrying out any step in the risk management process has the necessary skills and experience and includes relevant 'workers' and their health and safety representatives in the risk management process.

20. After a risk has been assessed, any residual risk must be accepted or escalated as outlined in Appendix C. A template for recording risk details is in Appendix D.

21. The CPB must monitor and assess risk control effectiveness on a regular basis using the criteria in Appendix E.

Associated Documents

22. A full list of procedures relating to NAG5 can be found in the School's Policy and Procedures Index available in the office.

23. Health and Safety Policy.

Measurement

24. Quarterly reporting to the BOT.

25. Monthly review CPG.

References

26. Health and Safety at Work Act 2015.

27. Health and Safety at Work [General Risk and Workplace Management] Regulations 2016.

28. Health and Safety at Work [Adventure Activities] Regulations 2016.

29. The above references are not exhaustive and there will be other legislative requirements or standards that apply to specific activities undertaken by the school.

Appendices

A   Definitions [continued]
B   Risk Assessment
C   Risk Tolerance
D   Risk Details [template]
E   Control Effectiveness

Date approved: 18 May 2017
Reviewed: N|A
Signed   *RW Mart*

Responsibility for review: Board
Review date: May 2020

Definitions [continued]

1. **Risk control.** Action taken by the school that is intended to proactively identify, manage and eliminate or minimise risks.

2. **Inherent risk.** The risk that an activity would pose if *no controls* or other mitigating factors were in place.

3. **Residual risk.** The risk that remains after *controls* are taken into account.

4. **Risk identification.** Where, when, why and how events could prevent, degrade, delay or enhance the achievement of organisational objectives.

5. **Risk analysis.** Identification and evaluation of existing controls. Determination of consequences and likelihood = level of risk. The analysis will consider the range of potential consequences and how these could occur.

6. **Risk treatment.** The development and implementation of specific strategies and actions [controls] to increase potential benefits and reduce potential costs.

7. **Loss.** Any negative consequence or adverse effect, financial or otherwise.

8. **Likelihood.** General description of probability or frequency.

9. **Probability.** Measure of the chance of occurrence.

10. **Monitor.** Check, supervise, observe critically or measure the progress of an activity, action or system on a regular basis in order to identify change from the performance level required or expected.

Risk Assessment

1. Risk matrix:

Likelihood	Consequence				
	Severe	Major	Moderate	Minor	Minimal
Almost certain	Extreme	Extreme	High	**Medium**	
Likely	Extreme	Extreme	High	**Medium**	
Moderate	Extreme	High	High	**Medium**	
Unlikely			High	**Medium**	
Rare			High	**Medium**	

2. Consequence criteria:

Workplace safety	Extreme Risk of:	Major Risk of:	Moderate Risk of:	Minor Risk of:	Minimal Risk of:
Harm within the school grounds or part of an approved school activity	Death[s] or permanent disability of worker or student	visitor related to work incident or suicide OR hospitalisation of 3 or more workers or students related to an incident.	Major injury	illness to worker, student or visitor [including possible long-term disabling effects, e.g. fractures, loss of consciousness, minor amputations i.e. meets definition of "notifiable event" under the Health and Safety at Work Act 2015] OR hospitalisation of 2 workers or students related to an incident OR lost time >5days OR restricted duty or illness for 3 or more workers or students, related to an incident OR actual prosecution.	Serious reduction in body function, worker, student or visitor OR hospitalisation for <48hrs of one worker or student related to an incident OR lost time >5 days or restricted duties for one worker, related to an incident OR lost time 0-5 days, or restricted duty or illness for 2 workers, related to an incident OR pending prosecution.	Medical treatment or injury	illness for 2 or more worker, student or visitor OR lost time 0-5 days or restricted duties for one worker or student, related to an incident.	Minimal injury to any worker, student or visitor i.e. first aid required, with no lost time or restricted duties for worker or student.

Learning Delivery	Risk of:	Risk of:	Moderate — Risk of:	Risk of:	Risk of:
Disruption to learning activities resulting in an inability to provide quality education.	Cessation of a key service. Cessation of a non-key area for > 1 month. Major shortfall of delivery of planned outcome[s].	Significant ongoing disruption to a key service. Cessation of a non-key area for up to 1 month. Significant shortfall of delivery of planned outcome[s].	Disruption to a key service. Cessation of a non-key area for up to 1 week. Moderate shortfall of delivery of planned outcome[s].	Disruption to a service Minor shortfall of delivery of planned outcome[s].	Service delivery substandard.

Strategic, Operational and Projects	Risk of:	Risk of:	Moderate — Risk of:	Risk of:	Risk of:
Disruption to the strategies, structures, systems, processes and projects by which the BOT govern, supervises and directs the school, and the monitoring and reporting on performance against strategic, and project plans.	Total non-achievement of strategic | educational | program | project objective or outcome that will have extreme consequences for the school both philosophically and financially. Serious and willful policy or procedural breach, criminal negligence or act, school litigation or prosecution with significant penalty. Significant BOT attention to manage or prevent a crisis event, which may threaten education quality, a project | program.	Major disaster occurs without adequate contingency plan for school to respond. Significant delays. Performance significantly under target of strategic | service | program | project objective or outcome. Deliberate policy or procedural breach or gross negligence, formal investigation, disciplinary action Significant CPG attention to manage or prevent a crisis event, which may threaten education quality, a project | program.	Inability to meet key requirements affecting funding. Material delays. Marginal under achievement of objectives or outcomes. Negligent policy or procedural breach, lack of good faith, performance review initiated, material harm caused Consequences could require review | changes to operating procedures with CPG effort required to prevent escalation. Service quality could be affected but not the viability.	Inability to meet educational or external standards. Inconvenient delays in achieving objectives or outcomes. Policy or procedural breach resulting in: objection, complaint lodged, minor harm with investigation. Consequences may threaten the efficiency or effectiveness of some aspects of educational activity but can be managed under normal school resources and input.	No | little impact on strategic | service | program | project objectives or outcomes.

Financial

Financial	Risk of	Risk of	Moderate Risk of	Risk of	Risk of
Impact resulting in an inability to operate within budget.	Cost overrun or reduction in revenue > $100k or 5% of total expenditure budget [whichever is lesser].	Cost overrun or reduction in revenue > $75k or 4% of total divisional expenditure budget [whichever is lesser].	Cost overrun or reduction in revenue > $50k or 3% of total divisional expenditure budget [whichever is lesser].	Cost overrun or reduction in revenue > $30k or 2% of total divisional expenditure budget [whichever is lesser].	Cost overrun or reduction in revenue > $10k or 1% of total.

Reputation

Reputation	Risk of	Risk of	Moderate Risk of	Risk of	Risk of
Impact on the reputation of the school.	Extended Ministerial Inquiry Prosecution resulting in resignation of Principal. Major extended adverse national media coverage. High priority actions needed to reduce effects. Major loss of school community confidence and support. School litigation or prosecution with significant penalty.	Major inquiry by external agency. Board Chairperson intervention. High profile adverse national media coverage. Urgent action needed to prevent crisis. Legal action. Systematic breaches of informed consent or privacy.	Inquiry by external agency, Principal intervention. Adverse regional media coverage [comment and print]. Immediate action needed to stabilise situation. Major school community concern. Persistent breaches of informed consent or privacy.	Adverse local media coverage. Some action needed to prevent escalation. Widespread school community complaints. Regular breaches of informed consent or privacy	Localised media coverage	comment. Action needed to confirm controls. Localised school community complaints [small groups]. Isolated breaches of informed consent or privacy.

3. Likelihood criteria:

- **Almost Certain.** Expected in most circumstances; or in most weeks or months; or within 3 months.
- **Likely.** Probably in most circumstances; or several times a year, or in the next 4–12 months.
- **Moderate.** Might occur at some time; or in the next 1-2 years.
- **Unlikely.** Not expected; or could occur at some time; or in the next 2-5 years.
- **Rare.** May occur in exceptional circumstances; or in the next 5+ years.

Risk Tolerance

1. Risk tolerance | acceptance criteria:

Risk Level	Effect on objectives/outcomes:	Responsibility and timeframes for action:	Organisational level where acceptance of risk lies:
	Most essential objectives	outcomes cannot be achieved. Risk unable to be tolerated. Imperative to have strategies for minimising or managing consequences and reducing likelihood of occurrence.	Controls must be implemented immediately with active management through a detailed plan, and CPB. Suspension of activity until countermeasures in place. Immediate and appropriate escalation and regular reporting.	Unacceptable Risk. Only the BOT can accept school risks at this level. The BOT reviews all Extreme and High risks, monitors the status of the risks, and effectiveness of the risk management by the CPG.
	Some important objectives	outcomes cannot be achieved. Risk tolerated in short term.	Initiate active management and regular review, with CPB attention. Countermeasures in place within 7 days. Controls must be implemented long-term action within 6 months. Escalation required.	Undesirable Risk. Only CPB or above can accept organisational risks at this level. The BOT reviews all High and Extreme risks, monitors the status of the risks, and effectiveness of the mitigating strategies and actions carried out.
Medium	Interrupts the quality and timeliness of objectives	outcomes. Risk tolerated in medium term. Needs to be managed by specified person and reviewed on a regular basis.	A strategy must be implemented. Countermeasures in place within 7 days. Long-term action within 1 year. Escalation if uncertain of risk rating, or area of BOT interest. Risk may be accepted with good internal controls and monitoring	Only school coordinators or above can accept organisational risks at this level. The CPG reviews the risks, and monitors the status and effectiveness of the mitigating strategies and actions carried out.
	Negligible impact on objectives	outcomes	Risk tolerated. Business as usual, managed by routine procedures.	Tolerable risk with adequate controls and monitoring. Staff with knowledge	competence in the area or above can accept organisational risks at this level.

Risk Details [template]

1. This following table is to be used to capture risks and controls identified during the risk assessment process.

Risk ID	Risk Area • Workplace safety • Learning delivery • Strategic, Operational and Projects • Financial • Reputational	Risk Descriptions	Risk			Risk Controls	Residual Risk			Risk Accepted • Yes • No
			Likelihood	Consequence	Risk Rating Low|Medium|High|Extreme		Likelihood	Consequence	Risk Rating Low|Medium|High|Extreme	

Controls Effectiveness

1. Control effectiveness assessment:

Effectiveness	Definition	Work Process	'Worker' Awareness
	The controls in place mitigate the risk to the maximum extent and are being performed in the manner for which they were designed.	Comprehensive policies and procedures in place, which are regularly reviewed and updated. Extensive inspections, monitoring checks and audits performed to confirm compliance with established key controls, policies and procedures. Continuous monitoring of performance against relevant plans, standards and benchmarks. Remedial actions are formalised and implementation is monitored on a regular basis. Relevant contingency arrangements | emergency plans developed and tested regularly.	Comprehensive risk reporting at all levels and aspects of education delivery. Staff and managers provide timely reports of all incidents | complaints | hazards | risks and take action to prevent recurrence and minimise liability. Actions taken are fully documented and monitored for effectiveness.
Good	The majority of the risk is managed. Further improvement is possible and may or may not be practicable.	Policies, protocols, guidelines in place which are regularly reviewed and updated Regular inspections, monitoring checks and audits performed to confirm compliance with established key controls, policies and procedures Regular monitoring of performance against relevant plans, standards and benchmarks Remedial actions are formalised and implementation is monitored periodically. Relevant contingency arrangements / emergency plans developed and tested periodically	Risks reporting, at most relevant levels and aspects of service delivery. Staff and managers provide timely reports of incidents | complaints | hazards | risks and take action to prevent recurrence and minimise liability Actions taken are documented and monitored for effectiveness.

Status	Controls	Policies / Procedures / Monitoring	Awareness / Incidents
	Key controls and procedures exist to manage the risk at face value; however there is a great reliance on them operating correctly without any check or assurances.	Policies and procedures in place, which are reviewed and updated, although not always timely. Ad hoc inspections, monitoring checks and audits delivered to confirm compliance with established key controls, policies and procedures. Ad hoc monitoring of performance against relevant plans and standards and benchmarks. Remedial actions documented and monitored on an ad hoc basis. Relevant contingency arrangements | emergency plans developed and tested infrequently or on an ad hoc basis. In similar circumstances, the recurrence of a serious incident, accident or loss is unlikely.	General awareness of relevant key controls, policies and procedures. Staff have an understanding of key risks impacting on objectives. Actual incidents, accidents or losses are reported and investigated.
Inadequate	Controls manage only some of the risk, are largely ineffective or non-existent. Attention and improvements are required to manage the risk.	Some policies, protocols, procedures, guidelines in place, but are largely ineffective and non-existent. Contingency arrangements | emergency plans may or may not be in place but are not tested, ineffective or well known. In similar circumstances, the recurrence of a serious incident, accident or loss is likely.	Limited awareness of relevant controls, policies and procedures. Staff have limited understanding of key risks impacting on objectives. Incidents, accidents or losses are reported and investigated on an ad hoc basis. Lack of documentation or monitoring of remedial actions.
Unknown	Controls and status unknown. Urgent attention needs to be given to establishing relevant key controls through Action Plans.	It is not known if there are policies, protocols, procedures, guidelines in place. It is not known if there are contingency arrangements / emergency plans. It is not known what audit/monitoring is in place or if there is any.	Limited or no awareness of relevant controls, policies and procedures. Staff have limited or no understanding of key risks impacting on objectives.