

## **8. U3A LAKES ENTRANCE – Policy Guidelines Risk Management (approved 9 February 2023)**

### **Introduction**

1. U3A Lakes Entrance Inc. recognises its responsibility to manage any identified risks associated with activities that are undertaken by U3A. In accepting this responsibility U3A relies on the good will and common sense of its members and visitors in supporting U3A's efforts to minimise risks and promptly report issues of concern.
2. U3A conducts courses and activities over a wide geographic area. Locations include:
  - Six (6) buildings in Lakes Entrance where courses are conducted. All these buildings are of the type where members of the public regularly use the facilities. U3A does not have any ownership of these buildings and responsibility for risks associated with the structure, infrastructure, services, etc is a matter for the building owners.
  - From time to time, U3A arranges events at other local facilities which are regularly used by members of the public (e.g. a hotel for a Christmas function).
  - Some U3A courses are conducted outdoors, such as Walking Groups. At times it may be necessary for members to walk in public areas and to arrive at these locations using public or private transport.
    3. It is assumed the members are responsible for their own actions in travel to / from activities and that members take appropriate care when undertaking activities.
    4. For instance, individual facilitators may give advice to members on various matters and will do so, normally at the start of a course series. But it is not a facilitator's role to 'police' members. An example may be the wearing of appropriate clothing, footwear and weather protection for outdoor activities.

### **Purpose**

5. The purpose of this document is to identify potential risks to U3A Lakes Entrance Inc. and its members and to document U3A's approach to managing identified risks.
6. This document is a policy guideline and is consistent with:
  - The U3A Network Victoria Rules & Constitution amended December 2013.
  - The Associations Incorporation Reform Regulations 2012.
7. The document is also to be read in conjunction with other U3A policy documents including, but not limited to:
  - U3A Bullying Policy
  - U3A Code of Conduct Policy
  - U3A Grievance Policy
  - U3A Health and Safety Policy
  - U3A Privacy Policy
  - U3A Sexual Harassment Policy
  - U3A Anti-Discrimination Policy

## Policy

8. U3A Lakes Entrance Inc. acknowledges its duty to provide a safe environment for its members and volunteers and a reliable development path for the organisation.
9. U3A Lakes Entrance Inc. will institute procedures that will, as far as possible, minimise the incidence of risk and mitigate the impact of any risk that eventuates.
10. For the purposes of this policy 'risk' is defined as the probability that an occasion or event will arise that presents a danger to our organisation, members or volunteers. This policy encompasses, but is not limited to physical, financial, reputational and legal hazards.
11. U3A Lakes Entrance Inc. encourages all members to be mindful of risks, and potential risks, to themselves or others and calls upon members to promptly report all risk-related matters to facilitators and/or the Committee Secretary.
12. Risks to be managed by U3A Lakes Entrance Inc. in the context of this policy include risks of:
  - Physical injuries to members, volunteers and visitors while participating in U3A auspiced activities and/or attending U3A Lakes Entrance Inc. premises
  - Loss of, or unauthorised access to members' personal information and related data held by U3A Lakes Entrance Inc.
  - Breach of any premises owned, rented or occupied by U3A Lakes Entrance Inc. resulting in damage or theft to property or chattels
  - Fire, or other natural events, leading to personal injuries and/or property damage.
13. Potential hazards to the physical safety of members and volunteers and procedures for maintaining a safe operating environment for U3A activities are documented in U3A Lakes Entrance Inc.'s Health & Safety Policies.
14. Risks to the privacy of members and volunteers due to loss or misuse of personal information, or breach of records security and procedures for safeguarding privacy, are documented in U3A Lakes Entrance Inc.'s Privacy Policy.
15. Risks to the financial standing and assets of U3A Lakes Entrance Inc. and procedures for sound financial management and control may be documented, if considered necessary by the Management Committee, in a separate policy statement and associated procedures.
16. Risks will be managed by the whole Committee of Management, or by a volunteer Risk Management Officer, if one is appointed by the Committee. Overall management will be by:
  - Identifying the risks associated with U3A Lakes Entrance Inc.'s activities
  - Evaluating the likelihood of each identified risk eventuating
  - Establishing practices to avert and/or mitigate the impact of identified risks
  - Maintaining, and monitoring, a Risk Register.
17. The Management Committee will maintain a Risk Register including:
  - Preparing an initial register
  - Documenting identified risks using appropriate documentation
  - Drafting risk management checklists for identified risks
    - Scheduling annual reviews of identified risks, including identifying long term and emerging risks
    - Evaluation of previous risk issues

## Procedures

18. Buildings owned (if any), rented or occupied by U3A Lakes Entrance Inc., together with furniture, equipment and other chattels, will be safeguarded. The Committee of Management will:

- Control access to keys and/or access codes to buildings, and to secure storage within buildings
- Maintain an accurate and up-to-date register of persons who hold keys/access codes, and/or have access to secure storage
- Appropriately and adequately secure valuable items, especially valuable portable items, against theft or damage in accordance with insurance coverage (where applicable)
- Store insurance policies in U3A Lakes Entrance Inc.'s records management system
- Recording all valuable items in U3A Lakes Entrance Inc.'s Asset Register and storing the Asset Register in U3A Lakes Entrance Inc.'s records management system.

19. Where U3A Lakes Entrance Inc.'s property is stolen or damaged due to vandalism, burglary or attempted entry, the damage will be photographed, reported immediately to Victoria Police, and reports will be prepared for insurance purposes (where applicable).

20. To safeguard against injury or damage resulting from fire, or other natural event, and to mitigate impact:

- fire extinguishers will be installed in each room and maintained in accordance with appropriate standards
- smoke alarms will be installed in each room and maintained in accordance with appropriate standards
- emergency evacuation procedures will be displayed prominently in each classroom
- evacuation briefings will be conducted with members and volunteers on an annual basis
- facilitators will be provided with the emergency evacuation procedure and be required to familiarise members with these procedures annually
- emergency exits will be identified by prominent signage
- **(Note that responsibility for physical risk measures rests with the building owners)**

21. A member/volunteer may lodge an enquiry/complaint about risk management with U3A Lakes Entrance Inc.'s Secretary; the Secretary will agenda the matter for the next meeting of the committee. The Committee of Management will review the enquiry/complaint promptly and agree on a response to the issue raised.

22. A member/volunteer, who believes they have identified an unrecognised risk, or a deficiency in risk management procedures, is required to notify U3A Lakes Entrance Inc.'s Secretary.

## **Responsibilities**

23. U3A Lakes Entrance Inc.'s Committee of Management is responsible for developing, implementing, reviewing and publishing this policy.

24. It is the responsibility of U3A Lakes Entrance Inc.'s Committee of Management to:

- regularly conduct risk analyses
- develop, endorse and apply effective risk management checklists/procedures
- regularly review risk management checklists/procedures
- evaluate recommendations arising from risk management processes and implement changes to procedures where appropriate
- ensure members and volunteers are aware of the risk management policy and procedures
- respond to members' enquiries, complaints and suggestions about risk management.

25. It is the responsibility of U3A Lakes Entrance Inc.'s Committee to ensure that facilitators receive a printed copy of U3A Lakes Entrance Inc.'s emergency evacuation procedure, are aware of their responsibilities if an emergency evacuation is initiated and familiarise members of their classes/groups with the emergency evaluation procedures on an annual basis.

26. It is the responsibility of the Management Committee (or the Risk Management Officer if appointed) to:

- Conduct an annual risk management analyses and to document identified risks
- maintain the Risk Register
- consider recommendations on emerging risk management issues.

27. It is the responsibility of all volunteers and members to inform the Committee of Management about any risk of which they become aware that is not covered by existing procedures.

## **Authorisation**

28. This policy was adopted by the Committee of Management of U3A Lakes Entrance Inc., on 9 February 2023.

29. This policy will be published by the Committee of Management of U3A Lakes Entrance Inc. on its website.



# Typical Risk Assessment Proforma

## RISK ASSESSMENT FORM

S.#	Activity	Hazard Involved	Associated Risk	Persons at Risk	Initial/Actual Risk			Control Measures	Residual Risk			Responsible Person
					Likelihood	Severity	Risk Value		Likelihood	Severity	Risk Value	
1												
2												
3												
4												
5												

# Typical Risk Assessment Matrix

CONSEQUENCES	LIKELIHOOD				
	1 - Rare	2 - Unlikely	3 - Moderate	4 - Likely	5 - Certain
1 – Minor	1	2	3	4	5
2 - Moderate	2	4	6	8	10
3 – Serious	3	6	9	12	15
4 - Major	4	8	12	16	20
5 - Critical	5	10	15	20	25

Key    Low risk     Moderate risk     Significant risk     High risk