Globe Derby Pony Club Incorporated

Risk Management Policy

January 2021

1.1 Rally & Event Risk Management

The process of risk management requires an assessment of all aspects of the event based on sound general management principles and a thorough knowledge of the aspects involved (be they animals or humans, or the interaction of the two groups).

Good procedures are of no use unless they are applied rigorously and with consistency, with a flexibility which comes from an understanding of the underlying principles. Successful rally & event organising is where each person understands their responsibilities:
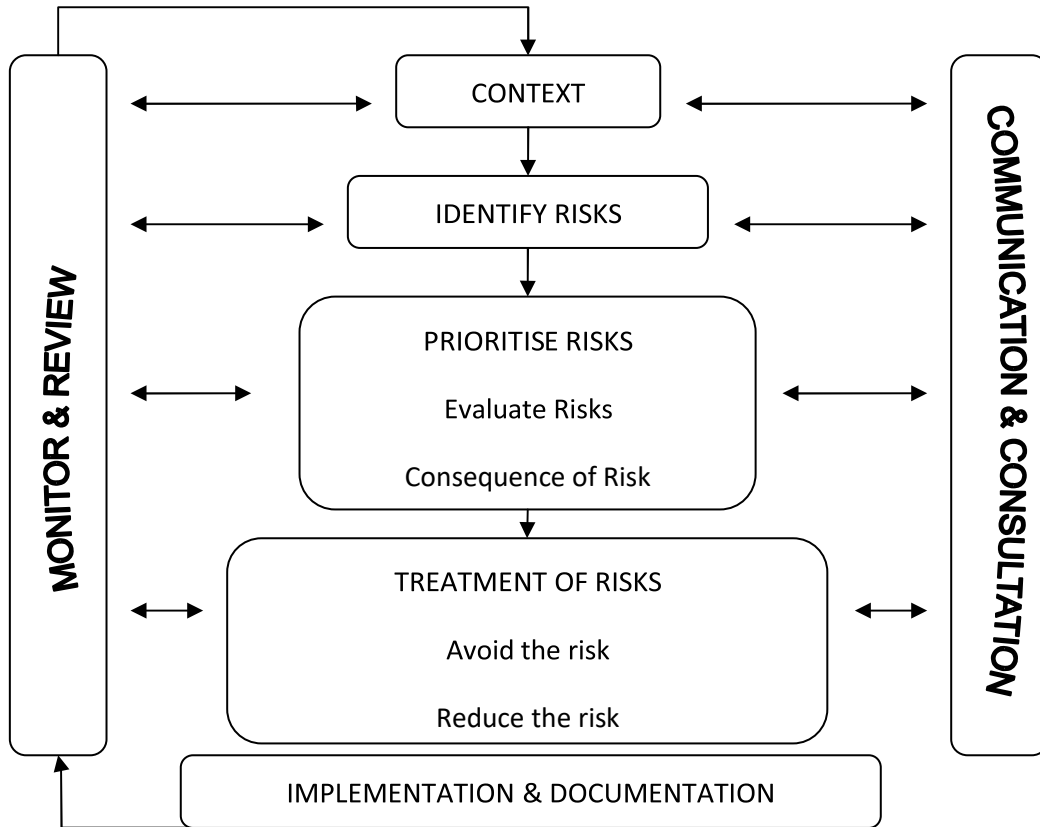
PRIMARY ROLES:

a) An overall rally or event coordinator/director that makes executive decisions and has a knowledgeable overview of the whole situation.

b) Support roles (one person may have a couple of roles):

- Risk management
- Compliance with the rules & regulations of PCA SA
- Venue (accessible with emergency plans/ barricades/yards/seating/arenas/appropriate surfaces for activities/ toilets)
- Food & drinks (preparation/sub-contractors/sales)
- Environment related issues (noise/waste collection & removal)
- Traffic & signage (vehicles/arena/crowd)
- First Aid (appropriate for size and type of event)
- Accommodation (overnight caravans /trucks/showers)
- Security (control of visitors/spectators/participants/intruders/liaison with authorities)
- Equipment (PA/ barricades/props)
- Induction & training (officials/volunteers/paid staff/job descriptions)
- Participants (rules/program/waivers/briefings/controls/security)
- Administration (tickets/entries/legal requirements/rules)
- Public Relations(publicity/communications/behaviour of participants & crowd, complaints system)
- Finances (management/ticketing & entries/recording systems)
- Contingency management (overview + insurance) Horse welfare/ wellbeing

1.2   THE PROCESS OF RISK MANAGEMENT

Risk Management Model

Risk management is the process of identifying, analysing, evaluating, and treating risk, as depicted in the following table: Risk Management Model

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                              ┌──────────────┐
                    ┌─────────│   CONTEXT    │─────────┐
                    │         └──────────────┘         │
              ┌─────────┐    ┌──────────────┐    ┌─────────────┐
              │         │    │ IDENTIFY RISKS│    │             │
   MONITOR & REVIEW     │    └──────────────┘    COMMUNICATION & CONSULTATION
              │         │    PRIORITISE RISKS     │             │
              │         │    Evaluate Risks       │             │
              │         │    Consequence of Risk  │             │
              │         │    TREATMENT OF RISKS   │             │
              │         │    Avoid the risk       │             │
              │         │    Reduce the risk      │             │
              └─────────┘ IMPLEMENTATION & DOCUMENTATION
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Context

Decide on the context of Globe Derby Pony Club Inc. The implications for risk management are different for running in-house events, compared with a large event which attracts crowds of spectators. Is the club using volunteers who are familiar with horses, or outside staff with little or no horse knowledge? Does the club own or hire the venue?

What resources will you have available? (Members / parents /sponsors / support from a national organization)

What legislation do you need to consider? (food handling laws, OHS, building codes, animal welfare issues, Trade Practices, fire restrictions, road rules)

Are there regulations and by laws to consider? (council restrictions, rubbish disposal, parks and forest permits)

1.2.1   STEP 1 IDENTIFY RISKS

For rallies overall and again for events, gather a representative group of Globe Derby Pony Club Inc., brainstorm the risks and write them down using the list below as a prompt.

People
- An accident with a horse, such as a fall (inexperienced horse riders, poor combination of horse and horse riders)
- Anti-social behaviour of a passer-by/spectator/other horse riders
- A significant health issue of a participant or spectator (heart attack).

Environment (Venue)

- A fall due to adverse conditions (e.g., poor arena preparation, slippery surface, bad weather).
- A fall from a horse due to an unpredictable event (e.g., loose dog scaring the horse).
- An uncontrolled action by a horse (e.g., horse escapes float parking area)
- Interaction with a third party (e.g., horse escapes and causes a road accident).

Equipment

- A fall or other injury relating to inadequate equipment (e.g., chair collapses).

Horses

- horse welfare issues (heat stress, long hours on horse transport).

Legal issues

- Legal obligations: adequate fire protection, storage and use of hazardous goods, child safe environments.

Financial Issues

- Loss of assets; bankruptcy theft.

Sundry
- Illness of key people.
- Mechanical failure of equipment.
- Vermin damaging feed/equipment.

1.2.2   STEP 2 PRIORITISE THE RISKS

Use the next page to decide on a "rating" for each of your identified risks.

1. Use the Hazard Consequence Rating to identify the possible consequence of the risk in the worst case scenario-before your risk minimization strategies are in place (e.g., a fall from a horse is classified as catastrophic as it COULD result in death…).

2. Go to the Probability Rating Table and work out the frequency that this worst case scenario does occur (death usually falls in the 'remote' category, or even sometimes as 'occasional' for some horse related activities. It would be hard to argue it should be in the category 'improbable', as it can and does happen - there are 20 horse related deaths in Australia each year).

3. Use the Consequence Rating Table to work out the rating of the risk and then:

4. With the information from the Priority Rating list, place the correct letter next to each risk.

1.2.2.1 HAZARD CONSEQUENCE RATING

RATING	Resulting in….
CATASTROPHE	Death or total loss of one or more bodily functions (e.g., loss of use of arm, sight ; major property damage).
CRITICAL	Severe injury, permanent or partial loss of one or more bodily functions (hearing loss, significant property damage).
MAJOR	"Reportable" accident: person unable to continue with normal duties/lifestyle for more than 7 days.
MINOR	Minor injury or property damage (broken window, bruising, minor sprain).
NEGLIGIBLE	First aid only, less than 30 minutes of time-out due to the incident (cut needing washing and band aid).

1.2.2.2 PROBABILITY RATING TABLE

Frequent	Likely to occur frequently
Occasional	Likely to occur but <u>not</u> frequently
Remote	<u>Unlikely</u> to occur
Improbable	So unlikely you can assume it will not happen

1.2.2.3 CONSEQUENCE RATING TABLE

Consequence	Probability			
	Frequent/very Occasional /likely	Remote/ likely Unlikely		Improbable /Unlikely
Catastrophic	Extremely serious	Extremely serious	Very serious	Serious
Critical	Extremely serious	Very serious	Serious	Not serious
Major	Very serious	Serious	Not serious	Not serious
Minor	Serious	Not serious	Not serious	None
Negligible	Serious	Not serious	Not serious	None

PRIORITY RATING:

Extremely Serious	U= Urgent :First issues to deal with, immediately
Very serious	H= High: As soon as possible after urgent priorities
Serious	M= Medium: Important but not high priority
Not serious	L= Low: Important but can wait its turn
None	N=negligible Not important, if you get time consider this

1.2.3 STEP 3 EVALUATE THE RISKS

- What are the standards of similar well-run events?
- Are the costs to people and/or reputation worth it?
- What is the $ value of fixing the problem?
- What are the benefits of the activity that leads to this risk?
- If this occurs will it impact on insurance availability in the future?
- How severe an injury is 'unacceptable' to us? (1 day off work? a week off?)
- How much financial loss is too much?
- How important is our image? (adverse publicity)
- Could we cope with litigation against us?
- What are community and membership expectations of us?

1.2.4 STEP 4 TREATING THE RISKS

Decide how you will treat this risk….Your options include:

Avoiding it by replacing the activity with a less dangerous one.

Minimizing risks through a variety of strategies:

- Administrative (e.g., restriction of access to certain areas, policies).
- Training (volunteers are trained to understand their roles and what to look for to prevent the risks being realized).
- Implementing 'Standard Operating Procedures' (to ensure the risk is managed through effective strategies being implemented).
- Mechanical (physical barriers, equipment).

Transferring risks: shifting the responsibility to other parties

Retain risks: accepting the responsibility for the risk as part of a desirable activity.

1.2.5   STEP 5 DOCUMENT and EVALUATE / REVIEW

Document a hazard and risk matrix for your event (see example on next pages). Review & evaluate this after the event to ensure it covered all contingencies.

Risk Group	EXAMPLES OF RISK	EXAMPLE Risk Rating	EXAMPLES FOR Minimization Strategies	EXAMPLE Risk Outcome	People responsible
Riders	Injury caused through falls from loss of balance of the rider or horse falling	H	• rules re use of approved helmets rules for competition. • prerequisites for participants' skill levels. • ambulance/first aid on site. • training for officials, accident reports & debriefing warm-ups areas separate from the public and vehicles waivers. • staff communications • officials can remove dangerous combinations of horse and rider	M	
	Injury caused by • horse reacting to unfamiliar surroundings or occurrence. • unruly or unexpected behaviour of horses.	H	• rules re: elimination of dangerous horses' • rules for competition: • prerequisites for participants' skills • first aid available officials can remove dangerous combinations of horse and rider. • training for officials • limitations to where horses may be ridden staff communications	M	
	• Injury through effects of environment (poor surfaces/ loose dogs /flapping tents etc.)	H	• Policies for control (or exclusion) of dogs • appropriate surfaces appropriate use of equipment , • ongoing maintenance, checklists & records	M	
	• Injury through failure of equipment	H	• Gear checks (random/all) • Participants sign in waiver that equipment meets requirements set out in rules. • Materials check & monitoring (jumps/yards etc.)	L	
	• Interaction between competitors/ spectators/ intruders	M	• Security personnel • Access to outside authorities • Restricted areas & signage • Staff communications	L	

Risk Group	RISK	Risk rating	Minimization Strategies	Risk Outcome	People Responsible

Assistants / officials	• being knocked, kicked, or trampled by horses while assisting riders.
	• overstepping authority
	• inappropriate directions resulting in incidents.
	• inappropriate behaviour towards minors
		M	• Safety training programs
			• waivers for handlers/officials Traffic control using barricades, yard, fences, signs (Officials)
			• Knowledge of:
			  o emergency management plans
			  o their authority & responsibilities
			  o rules of organization
			  o debriefing processes
			  o child protection policies
				L	

Spectators	• undisciplined horse • escaped horse. • stands & other structures collapsing/ causing injuries. • food poisoning • in-appropriate or inadequate facilities • slips, trips, falls. • health problems • (allergies, heart conditions)	M	• effective barricades appropriate to event type. • signage training/assessment of officials responsibilities • removal or confinement of dangerous horses • separation of areas (warm up, events, public access) • audit of buildings, stands, ablution & other facilities. • food handling certificates • sub-contractors self-insured. • crowd control measures • maintenance program &checklists • emergency management plans • first aid available	L	
Horses	• Welfare compromised	M	• Training of staff • Access to professional input • Hot weather • Long distance required to get to activity. • Promote Welfare Codes of Practice	L	
Property	• Damage to vehicles buildings • Waste control	M	• Restricted areas & enforcement of rules traffic control • security staff • waste control program	L	
External public	• horse escaping beyond the perimeter of the event and causing damage	M	• appropriate barricades and management of event layout : fences, perimeter fencing, gates kept shut, signage, gate keeper responsibilities	L	
Organising body	• Insurance claims • Insolvency • Participant grievances	L	• Insurance current and covers all aspects of event. • Designated financial staff projections for event. • Complaints process	L	
Participants	• Accommodation • inappropriate facilities	L	• Audit of venue: checklist includes weather/ security /resources available etc. • Maintenance program for site during event	L	

Prompt list for Risk Management Assessment	
Induction and Training	
<u>Rules and regulations re.</u> rider equipment: minimum standards set & random checks; skill prerequisites for participation at various levels ; authority for officials to remove unsafe horses &/or riders; dogs excluded; limited access to certain areas	
Presence of appropriate first aid resources: ambulance/designated first aid officer/access and egress available for emergencies	
Separation of public with suitable barriers (bunting/fences/signage/marshals: type depends on size of event)	
Separation of vehicles/floats from public/separate areas for warm up)	
Designated personnel: (risk management, gate keepers, security, public relations; facility maintenance, finances, admin)	
Assessment, approval and maintenance of spectator facilities (stands, ablutions, food and drinks supply, parking)	
Provision & maintenance of appropriate arena surfaces, fencing, yards	
Traffic control for spectator access, separation of horses and public, warm-up rings, vehicles (trucks & floats) signage, bunting,	
Appropriate barricade to prevent escape of animals from grounds(gate keepers, signage)	
Training of officials (rules and responsibilities, risk management, animal welfare issues)	
Formal documented risk management and risk assessment on event , checklists, and records	
Reporting of incidents (training, availability of paperwork)	
Minimum food handling requirements, contracts for sub-contractors	
Waivers for participants	
Complaints process	
Animal Welfare rules and management procedures (injured/ill or mistreated animals; access to professional advice)	
Debriefing of staff and volunteers after event	

References:

- AHIC Code of Practice Horse Safe (revised October 2009)

- Guidelines for Managing Risk in Sport & Recreation Standards Australia HB 246-2002

- Risk Management for Recreation and Sport Organizations Department of Recreation & Sport, SA Government, 2002

- Office for Consumer & Business Affairs (SA only) www.ocba.sa.gov.au

1 d. Rally or Event Emergency Response Plan

An Emergency Response Plan is prepared to provide for a coordinated response to incidents occurring within, or affecting, the public area at the horse event and can be used to respond to equestrian incidents if and when necessary.

(Note: this section does not refer to the requirement for a documented fire escape plan for a building)

The Plan provides for

- The transfer of authority for the area during a major incident and support to the South Australia Police, Emergency and Functional Services.

- Minimization of any suffering or loss related to an emergency affecting health, finance, and the environment by providing for the effective and coordinated response of resources to mitigate the effects of any incident.

The rally coordinator/event director has the responsibility for implementing the plan and for liaison between the Police Coordinator, Pony Club Committee, and the Ground Jury (if relevant) in the event of any declared incident.

The Plan may be initiated either in part or in full during any incident that requires some extraordinary coordination over and above regular event organization.

Successful management of an incident will depend on familiarization of the Plan by the Pony Club Committee, Officials and key persons involved in an event organizing committee such that they are aware of their individual roles and responsibilities.

This plan excludes responses mounted under the Equine Emergency Incident Plan (accident or death of a horse) and the Biosecurity Plan as per the Pony Club of South Australia Rallies and Event Toolbox (http://www.ponyclub.asn.au/files/documents/health-safety/pcasa_rally_event_toolbox.pdf).

This plan may be used to support the management of a major or serious equestrian incident.

The horse event organizing committee and relevant officials will need to receive training in the implementation of this plan.

1.3   Equine Emergency Incident Response

1.3.1   Caring for People

In a volunteer group of horse event organisers, it is important to clarify the skills that exist in the group to effectively manage an incident and to identify, through a range of scenarios, when emergency services need to be called in. As a guide:-

- Minor Incidents are those up to and including human or horse minor first aid treatment by on-site personnel,

- Serious Incidents include those that require one or more emergency services and/or a veterinarian to be called in, and

- Major Incidents involve life-threatening injury of a human or horse.

At the very minimum each horse event needs a human First Aid officer and a dedicated area for First Aid treatment where a patient can lie down, rest and recover from minor injuries.

1.3.2   Planning to respond to an accident involving a horse

- Key roles for first response horse event volunteers
- Equipment Officer and equipment list
- Practise of an incident response
- Working with emergency services

When selecting volunteers, try to ensure that important event roles, such as a judge or chief steward, can continue their function and keep their area of responsibility for riders and personnel not involved in the accident, if that is what is directed.

Some events, like those held on an oval or single arena, will most likely stop operating until the accident scene is managed. Horse activities in an unrelated secondary area may be in a position to continue during an incident response.

All volunteers for these listed roles need to be adults. It is not appropriate to ask juniors to place themselves in potentially dangerous situations if a horse is in distress. Heavy lifting may also be involved.

1.3.3 Key Roles

Horse Event Incident Controller (IC): This is a critical role. The Incident Controller role oversees safety, operations, planning and logistics or works closely with others who have been delegated to undertake one or more of these roles. In the case of a Serious or Major Incident, the horse event IC will hand over to the emergency services IC on their arrival if they are called.

Immediately an incident occurs, the IC will assess the scene, identify risks, secure the area, appoint a horse handler for each horse involved, and determine if it is just first aid, or the ambulance, police or veterinarian that is required. The IC will also advise the rally or event manager to stop the horse event as a whole or just one section, depending on the type and location of the incident.

The IC will request that screens are put in place around a horse that is down or visibly injured.

Image credit David King RFS NSW. Image not to be reproduced without permission.

At an event, the IC will not be involved in tedious organising detail such as ordering ribbons but will need to be free to coordinate key responses with the event executive. The IC may be expected to organise specific rally & event incident-planning sessions and, if possible, a training session at the venue itself.

Remember, the welfare of people comes before that of horses.

Logistics Officer: This person has access to information about the owner of the horse, the horse rider's personal details and next of kin contact details. They will have copies of any incident plans, site plans showing access/egress points, caterers, and volunteers' contact numbers – in other words, all the administrative information related to the event.

The logistics officer does not need to be the club or event secretary but will need access to similar information. For minor incidents not requiring emergency services' attendance, this person will work under the direction of the IC, supporting communication by relaying any messages, including public safety messages, to the ringmaster, PA system or stewards.

Event radios, mobile phones and other communication options are essential.

Horse Rally/Event Risk Management Officer: This person works under the direction of the IC to ensure people remain in the incident safety zones and, where possible, wear personal protective equipment (at the very least, riding helmets). Volunteers can be appointed on the day to support the Risk Management Officer with crowd control and incident zone boundary identification if required. In the case of a Serious Incident, the Risk Management Officer will hand over many tasks to the emergency services Safety Officer on their arrival.

Veterinary Support: This is a volunteer who will assist the veterinarian by carrying their bag and/or equipment and taking care of drugs and tools while the veterinarian is attending a Serious Incident. This includes holding loaded syringes and disposing of used hypodermic needles in a sharp's container. Previous veterinary nurse training is useful but not required. An ability to follow instructions from the IC and the veterinarian is essential.

Nominated Horse Handler: The nominated Horse Handler is an experienced person who can follow instructions instantly and work as part of a team. This person must be identified and nominated in advance of the rally or event. With minor incidents, the Horse Handler is on hand to lead the horse back to its rider or to the float area. In more serious incidents the Horse Handler will work under the direction of the Incident Controller as part of a large team of emergency responders. A webbing or cotton head collar and very long lead are part of the Horse Handler's equipment.

The nominated Horse Handler in a Serious Incident or Major Incident is not the owner/horse rider who may also be injured or emotional. In these incidents the owner is required to observe changes in the horse's behaviour or condition and feed this information to the veterinarian and IC.

Incident Reporter: This person records aspects of the incident scene: the response, people involved in the incident, weather, time of day and general observations. This information will support a post-event incident report, investigation or potential future insurance claim and can be evaluated by the committee post event to look for ways to make improvements.

Incident Photographer: This person photographically records all aspects of the incident scene, the response and the surrounding aspects (sun, ground surface, hazards) to support information collected by the Incident Reporter. Ideally the Incident Reporter and photographer are two different people, but often this is not possible.

Horse Ambulance and Driver: Most horse events will only have access to a regular four wheel drive and float. The inside fittings of the float will need to be easily removed. Ideally the owner/driver volunteer should not have their own horse at the event.

Horse Welfare Officer: HWO will observe the incident response and management and provide advice if any welfare issues become apparent. Their biggest role may very well be an incident to ensure that the horse is cared for appropriately and taken home or to an equine clinic in a timely manner.

Human Welfare Officer: The appointed Member Protection Officer/Child Safe Officer for the club or event should have the skills to also be on standby to provide general human welfare services. In consultation with the IC, they may call in further professional counselling support if needed when a serious or major incident occurs.

Equipment Officer and Equipment: This volunteer will need to source a range of items to have ready to use should an incident occur:

1. High visibility vests, safety helmets and disposable gloves.
2. Webbing/cotton head collar and very long lead with extra-strong snap hook for the handler.
3. Several tarpaulins or sheets for lying equipment out on, or to use for shade or shelter. At least one must be big enough to fully cover a deceased horse, and if a rescue glide is not available, to carry a horse.
4. Blankets for wrapping people in, protecting a horse from further injury, padding and protection uses.
5. Lengths of 9M x 150mm webbing rescue straps for dragging a horse or rolling a horse over.
6. A lunging whip for pulling rescue straps under a recumbent horse's body.
7. A couple of poles with hooks, brooms, or a walking stick with a hook top to help manoeuvre ropes or items near a horse that may be thrashing about or in a confined space.
8. Containment fencing (for some events)
9. Screen/s.
10. Yards to hold a horse for treatment or for other reasons.
11. Water, water container and feed on standby in case a horse needs to stay overnight.
12. Water in a jerry can take to a site.
13. Torches and battery powered radio.

Media/Communications

The **media spokesperson** for the event is generally the most senior representative available from the event organising committee, normally the President or Event Chairperson. It cannot be the Incident Controller or other role directly involved in management of an incident.

The **media liaison officer** will prepare information about the incident and, with approval of the President or Event Chairperson, undertake such tasks as information for PA announcements, arrangement of interviews, posting of internet information on the official event website and may arrange more general short notice briefings for key personnel.
Practise an Incident Response

1.3.4   Preparing an Equine Emergency Incident Response Plan

Preparation of these plans can only be written up after discussion with the people who are running the event, and in consideration of the event venue and available resources. Ideally after drafting a response plan, the event organising committee can arrange for training to take place at the event venue site to practice applying the plan and update as required.

A plan outline will contain:

1.   Plan name

2.   Information relating to document control (date/circulation list)

3.   A brief overview of the event (context) e.g., number of horses, terrain, distances

4.   Outline of incident types (from minor to major)

5.   Response procedure for a minor incident

6.   Response procedure for a serious or major incident

   - Initial /first actions of the closest official
   - Actions for Horse event Base/Event Control to action the plan.
   - Actions to be taken at the site (Equine Emergency Response)

7.   Additional considerations if a major incident (crime scene/police requirements)

8.   Incident reporting requirements

   - for the event
   - for the overarching state, national or international government body under whose rules the event is being run.
   - for insurance requirements
   - for any other event contractual or legal requirements e.g., venue hire agreement.
   - checklist for incident reporter & photographer in meeting above.

9.   Human Welfare Officer

   - Guiding statements for use during an incident and post-incident liaison with police, record keeping.

This Risk Management Policy is to be read in conjunction with the following **Pony Club of South Australia** documents.

1. **PCASA- Pony Club Rallies and Events Toolbox** pcasa_rally_event_toolbox.pdf
2. **Falls form Falls form to be filled in for all falls of a rider** check-list-and-clearance-to-ride-1-1-2018.pdf
3. **PCASA- Rally inspection checklist – Clubrooms** pcasa_rally-inspection-checklist_clubrooms.pdf
4. **PCASA-Hazard management policy** pcasa_-hazard-management-policy_2013.pdf
5. **PCASA-Risk assessment manual handling** pcasa_risk-assessment-manual-handling_2013.pdf
6. **Welfare of horses Protocols pocket edition** horse-welfare-pocket-guide-for-clubs.pdf
7. **Welfare Officers for Horses** horse-welfare-officer-pp2.pdf
8. **Emergency Procedure Policy & Fall of Rider Protocol** 5.-emergency-procedure-fall-of-rider.pdf
9. **General Club Safety Policy** 6.-general-club-safety-2021.pdf
10. **Instruction Policy** 8.-instruction-2021.pdf
11. **Led Riders Policy** 9.-led-riders-2021.pdf
12. **Lunging Policy** 10.-lunging-2021.pdf