





**RISK MANAGEMENT MANUAL**  
**ROTARY INTERNATIONAL**  
**DISTRICT 9940 INC**

**UPDATE**  
**2018**



## FOREWORD

-  The objective of this Manual is to provide risk management guidelines.
-  The use of the Manual by District Committees will become a policy of District 9940 and its use is recommended to all Clubs.
-  Since Rotary's inception Rotarians have been involved in thousands of successful projects with minimal negative results or feedback.
-  They are involved in youth activities worldwide with very positive results for the young people involved, for the Community and for Rotary and Rotarians.

However, we are living in a world that sees (and perceives) the need for more accountability. The laws in most instances have not changed but there is now, more than ever, a need for audit trails of the decision-making process, particularly where there are risks, real or perceived.

By having a Risk Management process, based on established Risk Management Standards, District Committees and Rotary Clubs can better manage their projects and activities.

They can be more comfortable that they have done their best to avoid, mitigate and/or manage risks and know that there is an audit trail proving this.

Rotarians can be organisers and participants in projects and activities knowing that the likelihood of being involved in claims of any nature is minimised.

We have included sections in the Manual related specifically to the activities involving young people. Material has been obtained from Education and Police sources and we acknowledge Rotary District 9970 which assisted with the layout and the provision of some of the source material for this Manual.



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17 Jan 2018**

**Approved by  
District Governor  
2016-2017  
Martin Garcia**

**Approved by District Governor 2017-2018  
Mitchell Brown**

<i>Amendments</i>	<i>Approved</i>
	<i>Date.....</i>
	<i>Date.....</i>
	<i>Date.....</i>
	<i>Date.....</i>
	<i>Date.....</i>



## TABLE OF CONTENTS

FOREWORD .....	2
SECTION 1 - RISK MANAGEMENT CONTEXT FOR ROTARY DISTRICT 9940.....	6
ROTARY DEFINED.....	6
OBJECTIVE OF ROTARY .....	6
EXAMPLES OF TYPES OF RISK.....	6
BACKGROUND .....	7
COMMON LAW DUTY OF CARE .....	7
SECTION 2 - RISK MANAGEMENT POLICY.....	10
POLICY FOR DISTRICT 9940 COMMITTEES.....	10
POLICY FOR CLUBS IN DISTRICT 9940 .....	10
POLICY OBJECTIVES.....	10
APPLICATION OF THIS MANUAL .....	10
SECTION 3 - RISK MANAGEMENT GUIDELINES.....	19
GUIDANCE FOR ACCEPTABLE RISK .....	19
OUTLINE.....	19
TEMPLATES.....	20
RESPONSIBILITY FOR MANAGING RISK.....	20
SUPPORT STRUCTURE.....	21
INSURANCE .....	21
DOCUMENTATION .....	21
REVIEW PROCESS.....	22
RISK MANAGEMENT PROCESS.....	22
SECTION 4 – ACTIVITIES & PROJECTS .....	23
Rotary Activities can be broadly divided into four groups: - .....	23
SETTING UP A PROJECT OR ACTIVITY FILE .....	24
Project/Activity Information Sheet      RM001.....	25
Risk Assessment Matrix .....	26
RISK ASSESSMENT              RM002 .....	27
RISK CONTROL ACTION RECORD              RM003 .....	28
PROJECT STAKEHOLDERS      RM 004 .....	29
PROJECT OUTCOMES              RM 005.....	31
SECTION 5 - EVALUATION CRITERIA.....	32
RISK EVALUATION AND DOCUMENTATION.....	32
REDUCING RISK: MANAGEMENT ACTION: HIERARCHY OF CONTROLS .....	33
REDUCING RISK: MANAGEMENT ACTION:.....	34
RISK ASSESSMENT.....	35
RISK RESPONSE .....	36



Strategies - THE FOUR T's .....	36
Project/Activity Information Sheet - Example RM001.....	37
RISK ASSESSMENT - EXAMPLE RM 002.....	36
RISK CONTROL ACTION RECORD - EXAMPLE RM 003 .....	42
SECTION 6 – INSURANCE & INCORPORATION .....	44
ROTARY INSURANCE .....	44
Public Liability Insurance .....	44
EXAMPLES OF POTENTIAL CLAIMS ON ROTARY DISTRICT 9940 CLUBS .....	47
COMMUNICATIONS AND CONSULTATION .....	50
THE OBJECT OF ROTARY .....	50
ABUSE PROTOCOL .....	51
SECTION 7 – HEALTH & SAFETY .....	52
PLANNING FOR SAFE ACTIVITIES & PROJECTS.....	52
HAZARD IDENTIFICATION & MANAGEMENT .....	52
RISK MANAGEMENT .....	54
HAZARD IDENTIFICATION & MITIGATION.....	55
SAFETY HAZARD - MANAGEMENT CHECKLIST .....	56
SECTION 8 – YOUTH PROGRAMMES .....	59
ROAD SAFETY EDUCATION - (RYDA - ROTARY YOUTH DRIVER AWARENESS) .....	61
ROTARY YOUTH LEADERSHIP AWARD (RYLA) .....	61
ROTARY NZ-AUS MATCHED STUDENT EXCHANGE (RANZE) .....	61
ROTARY INTERNATIONAL YOUTH EXCHANGE .....	62
ROTARY YOUTH PROGRAMME OF ENRICHMENT (RYPEN).....	63
INTERACT .....	63
SUGGESTED SAFETY GUIDELINES FOR VOLUNTEERS IN SCHOOLS .....	63
SAFETY GUIDELINES .....	63
POLICE VETTING .....	64
PURPOSE OF POLICE VETTING.....	64
WHAT IS POLICE VETTING?.....	64
THE PROCESS .....	65
RESULTS OF VETTING.....	65
SECTION 9 – FINANCIAL INTEGRITY .....	68
QUESTIONS AND THE RECOMMENDED LIKELY ENTITY ACTION .....	69



## SECTION 1 - RISK MANAGEMENT CONTEXT FOR ROTARY DISTRICT 9940

### ROTARY DEFINED





Rotary is a voluntary organisation of business and professional leaders united worldwide that provides humanitarian service, encourage high ethical standards in all vocations and help build goodwill and peace in the world.

### OBJECTIVE OF ROTARY

The objective of Rotary is to encourage and foster the ideal of service as a basis of worthy enterprise and, in particular, to encourage and foster:

- |        |   |
|--------|---|
| FIRST  | The development of acquaintance as an opportunity for service.  |
| SECOND | High ethical standards in business and the professions, the recognition of worthiness of all useful occupations, and dignifying of each Rotarian's occupation as an opportunity to serve society. |
| THIRD  | The application of the ideal of service in each Rotarian's personal, business and community life.   |
| FOURTH | The advancement of international understanding, goodwill and peace through a world fellowship of business and professional persons united in the ideal of service.                                |

### EXAMPLES OF TYPES OF RISK

-  The risk that Rotary might injure someone, damage property or incur a liability through actual or perceived negligence (lack of due care) on the part of a Rotary Club, Rotary District or Rotary organisation or its members. Some but not all of this risk may be covered by the **District Public Liability Insurance Policy**.
-  The risk that a particular project does not achieve its desired goal-or worse, that money is actually lost on the venture-sometimes called **business or opportunity risk**.
-  The risk of personal injury or sickness for one or more of its members or associates whilst on Rotary duty either in New Zealand or overseas – known as **Health & Safety**.
-  The risk of damage to Rotary's **reputation and loss of goodwill** from the public at large.



## BACKGROUND

It is a fundamental human right to be able to work and play without facing the prospect of being injured or subject to unnecessary danger. It is therefore a matter of importance that every effort is made to ensure this right is enjoyed by all those involved in Rotary projects and activities.

- ☼ By having a Risk Management process, District Committees and Rotary Clubs can better manage their projects and activities. They can be more comfortable that they have done their best to plan to avoid, mitigate and manage risks.
- ☼ Volunteers and the Health and Safety at Work Act became effective 4 April 2016
- ☼ A Rotary Club as a purely volunteer organisation where volunteers work together for community purposes and which does not have any employees is known as a “volunteer association” under the Act.
- ☼ The Health and Safety at Work Act does not apply to a “volunteer association.”
- ☼ A person conducting a Business or Undertaking (PCBU) (i.e. has employees) has a primary duty of care to ensure the health and safety of its workers and “others”, so far as is reasonably practicable. “Others” includes Rotarians doing volunteer work, paid or unpaid for the PCBU.

Except when “Others” e.g. Rotarians are:

1. Participating in a fund raising activity.
2. Assisting with sports or recreation for an education institute, sport or recreation club.
3. Assistance with activities for an education institution outside the premises of the educational institution.
4. Providing care for another person in the volunteer’s home.

Volunteer Associations have a **Duty of Care** to the public and to others - and other Acts apply.

- ☼ Health and safety good practice is “good business”.
- ☼ You must plan to prevent accidents, especially when organising events.
- ☼ These include Emergency plans and Risk identification measures and Controls.

## COMMON LAW DUTY OF CARE

A Rotary Club or District Committee owes all their members and volunteers a general Duty of Care under Common Law (law made by the courts):- Thus the need for RISK MANAGEMENT.

So far as Rotary is concerned it has a duty of care to its members, to those associated with Rotary and, in certain circumstances, to members of the public and must make reasonable endeavours to ensure due diligence with respect to public safety.

Statutory obligations and the common-law duty of care apply to all Rotarians, Rotary Districts and Clubs and other Rotary organisations in the conduct of any activity undertaken by them.



## ROTARIAN DUTY OF CARE

**THERE ARE NO LEGAL EXEMPTIONS/PROTECTIONS FOR ROTARIANS JUST BECAUSE THEY ARE WELL MEANING VOLUNTEERS DOING GOOD WORK FOR NO PERSONAL PROFIT.**

Until recently it was generally accepted that insurance provided the protection against the risk of public liability claims resulting from Rotary activities. However the inability to gain insurance at affordable rates or in some cases to insure against legal responsibility necessitates that Rotary must now re-evaluate how we identify, define and manage the risks associated with our activities.

All activities cannot be covered by insurance.

Generally individual Rotarians are not personally named as defendants in claims for damages as a result of an alleged negligence. Nevertheless a claimant may believe that an individual or group of Rotarians are personally responsible and may name them as the defendant or joint defendants.

To reduce the risk of a negligence claim being lodged against it, a Rotary District, Club or organisation should examine the health and safety requirements that apply to any specific activity.

In view of the potential risk to them, other participants and members of the public an assessment should be made of the risks involved.

In all situations, Rotary leaders of the activity should document the factors considered when making the assessment and the documents should be kept on file for legal and insurance purposes in the event of a claim being made at a future date. Production of these records may be required before a claim is accepted.

In situations assessed as high risk, Rotary leaders must consider whether to cease, continue with some changes or continue and accept the resultant risk of a liability claim.

The process of examination and assessment is called Risk Management and this manual has been prepared to assist Rotary leaders in the District, in Clubs and other associated organisations to apply risk management procedures to all their activities.

## COMMON LAW

In addition to laws contained in Statutes or Acts of Parliament, people and organisations must be aware of and comply with what is known as Common Law.

Common Law is law that's based on precedent. That is, law based on court rulings or case law rather than on written legislation passed through parliament.

One person **must** owe a duty of care to another. For example, the Rotary Club owes a duty of care to the people taking part in the event that the club has organised.

There is a breach of that duty, if for example





A Rotary Club fails to provide suitably qualified or experienced officials.

Someone suffers an injury or there is damage to their property.

The injury or damage is caused by a breach of duty.

For example, because of the inexperience of officials, a dangerous situation arises or continues and it results in or contributes to injury to a participant or damage to their property and/or-The injury or damage resulted in loss suffered by the person.

However, before someone can be found negligent it must be clear that the person's conduct was likely to result in injury or damage.

Examples of Statutes that may apply;

Crimes Act 1961

Health and Safety in Employment Act 2016 Re-  
source Management Act 1998

Local Government Act 1974 and Local Government Act 2002 Conservation Act 1987

National Parks Act 1980 Maritime Transport Act 1994

Marine Reserves Act 1971 Civil Aviation Act 1990

Fair Trading Act 1986

Vulnerable Children Act, 2014

Children, Young Persons, and Their Families (Vulnerable Children) Amendment Act 2014

Police Act 2008



## SECTION 2 - RISK MANAGEMENT POLICY

### POLICY FOR DISTRICT 9940 COMMITTEES

It is a policy of Rotary District 9940 to implement a formal process of examination, assessment and management of risks associated with Rotary activities at District Level to be called "Risk Management Procedures for Rotary District 9940."

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### POLICY FOR CLUBS IN DISTRICT 9940

It is the Policy of Rotary District 9940 to offer and strongly recommend the adoption by Rotary Clubs of this Risk Management Procedure for Club Projects and Activities.

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### POLICY OBJECTIVES

The District 9940 Rotary Risk Management Policy has the following Objectives: -

-  To minimise the exposure of any person to personal and financial losses as a result of being involved in Rotary Activities.
-  To provide Rotary Members with an appropriate Risk Management tool.
-  To protect and enhance the good name of Rotary throughout the community.
-  To ensure that Rotary Activities comply with the legal obligations imposed on such organisations by Government statute.
-  To ensure that Rotary Activities comply with the Objects Policies and Procedures of Rotary International.

### APPLICATION OF THIS MANUAL

"Risk" can be best managed by the proper use of a formal risk management procedure.

A procedure manual will be issued to all District Officers, District Chairmen, Assistant Governors and Club Presidents.

The relevant contents of this manual are to be used to apply risk management procedures to all activities.



## SECTION 3 - RISK MANAGEMENT GUIDELINES

### GUIDANCE FOR ACCEPTABLE RISK

The level of acceptable risk will vary from activity to activity and from person to person. In general, however, Rotary and Rotary members should not accept any risk that is greater than that acceptable to that individual in normal life.

If you have any doubts, go with caution and seek the advice of others.

[Section 4.0](#) of this Manual will help officers and members of Rotary carry out a Risk Management exercise for any activity they intend to be involved with.

The forms that are included here have been extracted by permission from a booklet that was produced in 2003 by the Ministry of Civil Defence and Emergency Management. The booklet was called “**Safety Planning Guidelines for Events**” (No longer available directly from the Ministry).

However, for more comprehensive Risk Management Guidelines it is recommended that those available through Sport New Zealand be used. The following has been extracted from the Sport New Zealand web site June 2017.

<http://www.sportnz.org.nz/managing-sport/search-for-a-resource/guides/risk-management-for-events>

**Sport New Zealand** - [Risk management of events](#) (PDF)









### OUTLINE

The resource details seven steps to effective risk management of events.

1. Establish the context
2. Identify the risks
3. Analyse the risks
4. Evaluate the risk
5. Treat the risk
6. Communicate and consult
7. Monitor and review the risk



## TEMPLATES

-  [Event safety and risk plan template](#) (Word)
-  [Event team site induction template](#) (Word)
-  [Event waiver template](#) (Word)
-  [Health and safety inspection form](#)
-  [Incident investigation report template](#) (Word)
-  [Incident report template](#) (Word)
-  [Risk register template](#) (Word)
-  [Safety risk meeting minutes template](#) (Word)

Other forms are available from other organisations, see section 8 for contact web sites.

Districts will set minimum criteria for managing risk in district activities and it is expected that the risk treatment recommended will be acted upon.

Clubs will set minimum criteria for their activities based on their assessments of the risks. For some Club level activities, Districts may recommend certain levels of risk acceptance, but final decisions are made at Club Board level.

### RESPONSIBILITY FOR MANAGING RISK

The responsibility for managing risk ultimately rests with the chief executive of the organisation.

In Rotary District 9940, that responsibility can lie in three areas.

- 1. FOR DISTRICT ACTIVITIES IT IS THE DISTRICT GOVERNOR**
- 2. FOR CLUB ACTIVITIES IT IS THE CLUB PRESIDENT**
- 3. WHERE MORE THAN ONE CLUB IS INVOLVED ONE PRESIDENT MUST TAKE OVERALL RESPONSIBILITY.**

In reality the District Governor will delegate the responsibility for carrying out risk management to the relevant District Committee Chair. This Chair will in the first instance be responsible to the Chair of the Risk Management Committee for preparing activity risk profiles.

At Club level the President may delegate risk management responsibilities to any member within the Club; however there is an expectation that a board member will be appointed to fulfil this role each year.

**Responsibility for the sign-off of the Risk Assessments will be:-**



<i>Level of Risk</i>	<i>District Activity</i>	<i>Club Activity *</i>
<b>E Extreme risk</b>	<b>District Governor</b>	<b>President</b>
<b>H High Risk</b>	<b>District Committee Chairman</b>	<b>Board Member</b>
<b>M Moderate Risk</b>		<b>Activity Manager</b>
<b>L Low Risk</b>	<b>Delegated Com. Member</b>	<b>Activity Manager</b>

## SUPPORT STRUCTURE

The Risk Management Committee Chair will provide assistance and support to all District Committee Chairs on an as required basis.

The District Governor will decide on priorities for risk management profiling where there is a conflict of time and resources within the Risk Management Committee.

All District Committees will receive a Risk Management Manual, which will include examples of typical activity risk profiling.

## INSURANCE

From the insurance perspective, District 9940 holds a Liability insurance portfolio (schedule attached), that includes Statutory Liability cover (which insures against Health & Safety exposures, but not the fine). The policy insures the District 9940 and all the individual Clubs within it – so, whether the activity or project is deemed carried out by a Club, cluster of Clubs or, indeed, the District itself, is academic – the policy coverage applies.

There is always the onus to consider and mitigate risk as much as possible

## DOCUMENTATION

District Committees will be required to complete risk analysis and management for their particular activities against a timetable agreed with the District Governor.

Documentation should consist of forms **RM 001** and **RM 002** completed as per the example attached - See section 4.

Risk Management carried out by experienced persons using documentation other than that contained in this manual will be acceptable, provided that in the opinion of the Risk Management Chairman it meets the needs of Rotary as set out in **Section 2.0 and 3.0** of this manual. Web site contacts for “other” suitable documentation are shown in section 8 of this document.



## REVIEW PROCESS

This Risk Management Manual will be subject to continual review. Ideas, comments and suggestions are always welcome from Rotary Members.

These should be sent to the current chairman of the District Risk Management Committee

The Risk Management process and manual will be formally fully reviewed in the month of August every two years. **The next full review will take place in April 2019.**

Risk analysis of activities must be reviewed annually by the incoming committee preferably before any activity takes place.

Where the review process has highlighted a high or extreme risk level the appropriate approval

**MUST** be sought before proceeding with the activity. Clubs will set their own review dates

for their activities.

## RISK MANAGEMENT PROCESS



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## SECTION 4 – ACTIVITIES & PROJECTS

**ROTARY ACTIVITIES CAN BE BROADLY DIVIDED INTO FOUR GROUPS: -**

1. District Activities
2. Club or Local Activities
3. International Projects
4. Other Activities with special Rotary Links

### 1. DISTRICT ACTIVITIES

These include, but are not limited to, any activity that is controlled by a District Committee eg:-

-  International Student Exchange
-  Australian-NZ Matched Student Exchange RANZE
-  Ambassadorial Scholar Programme.
-  District Conference
-  Vocational Training Teams (VTT), both inward and out.
-  Rotaract
-  Interact
-  RYPEN
-  RYLA
-  RYDA
-  Friendship Exchanges
-  School Programmes
-  International Project, FAIM, Aid, etc

### 2. CLUB ACTIVITIES

These include all activities organised by Rotary Clubs that have little or no direct district involvement, eg. Fairs; Garage Sales; Fun Runs; Auctions; Planting; Building; Community; etc.

Note however that in some part each activity will rely on the Rotary Insurance Scheme.

### 3. INTERNATIONAL PROJECTS

Risk management for International Projects should be managed through:-

Rotary New Zealand World Community Service (RNZWCS Limited)

RNZWCS have downloadable resources for New Zealand Rotarians, partners, volunteers and others. These resources can be downloaded from their website [www.rnzwcs.org/resources](http://www.rnzwcs.org/resources)

### 4. OTHER ACTIVITIES

May include such things as collecting money on behalf of the Red Cross; tree planting; mar-  
shalling at a bike race.



## SETTING UP A PROJECT OR ACTIVITY FILE

The following may assist Rotary members in setting up a Project/Activity file

Even though much of the work can be computer based, a hard copy file is essential for good project management.

Use an A4 hard backed folder with a set of say 10 dividers

- Division 1** The contents page is where you basically keep a list of all documents in the folder and their latest issue reference.
- Division 2** This has information on the Activity, what it is, where it is located, and as much information about the project so that someone reading it would understand it. See suggested format **RM001**
- Division 3** Keep the hard copy of your risk assessment pages here **RM 002**
- Division 4** If you are going to use the 'Risk Control Action Record' **RM 003** keep copies of them in this division.
- Division 5** Keep in this section a full contact list of all the stakeholders. Describe their relationship to the project, what arrangements are in place repayment or donations etc., or what care is needed or consideration is necessary. See suggested format **RM004**
- Division 6** List here the specific outcomes that your committee or Rotary wants from the Activity. This can be monetary, goodwill, friendship or anything else. It is the reason you are doing it in the first place. See suggested format **RM005**
- Division 7** Print off hard copies of the Likelihood and Consequence Tables and the Risk Matrix and keep here for quick reference.
- Division 8** It may be appropriate to write a report on the activity when the project is complete or complete for that year. Keep that in this folder, so full use can be made of the experience gained from the successful (or otherwise) completion of the project.

Use other divisions to keep any other relevant documents associated with the Activity / Project.





## PROJECT/ACTIVITY INFORMATION SHEET

RM001

*Project Owner:* .....

Name of Project: .....

Description of Project: .....

*What are the dates or Timing of the Project?* .....

*Where will the project take place?*

*Other Information or comment*



## RISK ASSESSMENT MATRIX

RISK RATING KEY		LOW	MEDIUM	HIGH	EXTREME
		0 – ACCEPTABLE OK TO PROCEED	1 – ALARP (as low as reasonably practicable) TAKE MITIGATION EFFORTS	2 – GENERALLY UNACCEPTABLE SEEK SUPPORT	3 – INTOLERABLE PLACE EVENT ON HOLD
		SEVERITY			
		ACCEPTABLE LITTLE TO NO EFFECT ON EVENT	TOLERABLE EFFECTS ARE FELT, BUT NOT CRITICAL TO OUTCOME	UNDESIRABLE SERIOUS IMPACT TO THE COURSE OF ACTION AND OUTCOME	INTOLERABLE COULD RESULT IN DISASTER
LIKELIHOOD	IMPROBABLE RISK IS UNLIKELY TO OCCUR	LOW – 1 –	MEDIUM – 4 –	MEDIUM – 6 –	HIGH – 10 –
	POSSIBLE RISK WILL LIKELY OCCUR	LOW – 2 –	MEDIUM – 5 –	HIGH – 8 –	EXTREME – 11 –
	PROBABLE RISK WILL OCCUR	MEDIUM – 3 –	HIGH – 7 –	HIGH – 9 –	EXTREME – 12 –

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## RISK ASSESSMENT

RM002

Club/District Project ..... Project ..... Date.....

Likelihood Rating, C = Consequence rating

<i>Ref No</i>	<i>Task</i>	<i>Risk</i>	<i>Potential Harm</i>	<i>Risk Type</i> <i>L      C</i>		<i>Risk Level</i>	<i>Method of Risk Management</i>



## RISK CONTROL ACTION RECORD

RM003

TASK REF .....

District Committee / Club .....

Project / Activity .....

Project Manager .....

Date .....

Insert task line from **Risk Assessment Sheet** for all **High** and **Extreme** Risks.(Use 1 Task per page and save under task ref no.)

<i>Ref no</i>	<i>Task</i>	<i>Risk</i>	<i>Potential Harm</i>	<i>Risk Type</i> <i>L C</i>		<i>Risk Level</i>	<i>Method of Risk Management</i>

List Specific Action Steps taken (or to be taken) to reduce risk to acceptable level: -

<i>Ref No</i>	<i>Action Steps</i>	<i>Who by</i>	<i>Comments</i>
1			
2			
3			

Project / Activity Manager..... Date.....

Approved by .....

Date.....

Rotary Position.....

Review Date .....



PROJECT STAKEHOLDERS

RM 004

**Project Description:** .....

List ALL the stakeholders and describe their relationship to the project.....

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Who has overall responsibility? .....

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Who will manage the project? .....

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Who will help? .....

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Who will benefit? .....

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Who will be consulted? .....

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Are Govt or Local Govt people involved? .....

Who could be affected?.....

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Who will participate?.....

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Keep contact details of stakeholders.....

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PROJECT OUTCOMES

RM 005

List the Outcomes required for the project to be a success: .....

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Primary reason for carrying out the project.....

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Also consider the following:-.....

Monetary Personal Growth Friendships, Community help, Goodwill .....

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## SECTION 5 - EVALUATION CRITERIA

### RISK EVALUATION AND DOCUMENTATION

Identifying Risk Levels:

Practical Risk Assessment and management initially involves 7 Stages

Break the activity down into **Tasks**, these are the things that must be done or the things that will happen when this activity is performed. Some activities may only require 5 tasks other activities will need 30 or more and some of the tasks themselves will need to be further broken down. (Number each task for reference).

Decide on the **Risk** associated with each of these tasks. Some Tasks may have more than one risk. If there appear to be many Risks then it may be necessary to break the task up further.

For each **Risk** Factor there is a **Potential Harm**. Decide on what the potential harm might be if that risk materialised.

Using the **Consequences Table**, rate the risk in terms of the damage it might do if the Potential Harm from the task actually occurred.

Using the **Likelihood table**, now rate the risk in terms of the chances of it actually happening.

The **Level of Risk Matrix** will now show a rating of the level of risk. This process is subjective but with practice it will consistently highlight areas that may need special attention.

Once the level of risk has been assessed for all the tasks, it is recommended that those in the **Extreme** and **High** category receive further management attention using the **Risk Control Action Record - RM 003**.

The **Risk Response Strategies** table provides guidance for options to TAKE, TERMINATE, TRANSFER or MITIGATE the risk. Whilst MITIGATION in some manner will be the probable active option serious consideration needs to be given to the other three T's.

When looking at **Risk** and **Potential harm**, consider using a '**What If**' analysis and ask the questions,

"WHAT CAN HAPPEN?"

AND

"HOW CAN IT HAPPEN?"

**When dealing to significant risks, the objective should  
always be to manage the risk such that it is**

**AS LOW AS REASONABLY PRACTICAL**





## REDUCING RISK: MANAGEMENT ACTION: HIERARCHY OF CONTROLS

## Example





## REDUCING RISK: MANAGEMENT ACTION:

In many cases it is sufficient to simply identify the risk and ensure some action is taken, during planning or execution of the project or activity, to: -



Prevent the likelihood of occurrence or



Reduce the impact or consequence if it does.

For example, if there are concerns about a potential robbery then it is suggested that your committee refers to these web sites for guidance:-

<http://theregister.co.nz/news/2017/09/how-you-can-reduce-your-chances-being-robbed>

<https://www.wikihow.com/Stay-Calm-During-a-Robbery>

This PDF might also help, <http://www.police.govt.nz/safety/business-crime-prevention.pdf>

For club projects it may be seen as unnecessary to further document actions, especially where the risks are relatively low, the project has been ongoing for a number of years, or the Board is running the project itself. Where, however, there is a need to not only manage the risk but also to document and gain approval for the risk management then it is recommended that the Risk Management document - **RM 003** is used for this purpose.

The Risk Control Action Record - **RM 003** is used to record the Actions Steps required to manage the Extreme and High Risks of any project or activity individually.

It will be particularly useful for district projects where responsibilities fall to different people and where the District Governor needs to have assurances that risks to the name of Rotary, its members and its charges (eg. Students) are being well managed. The document should be personalised to the Committee or Project.

One document is to be used for each Task that has either a High or Extreme Level of Risk. Copy the complete Task line from the Risk Assessment Document to this document in the top table. Now write in the lower table the action steps required to manage the risk appropriately. Ensure each action is assigned to a person with comment if necessary.

Approve the actions as required. Retain for evidence or for future reference.

**(Refer example on Task 17 of Matched Exchange). (Risk Assessment & Planning tables on the next two pages)**

**IT IS ALSO RECOMMENDED THAT ANY DISTRICT COMMITTEE OR ROTARY CLUB INVOLVED IN PUBLIC, SPORTS OR RECREATION ACTIVITIES PURCHASE A COPY OF STANDARDS NEW ZEALAND HANDBOOK SAA/SNZ HB 246:2010 GUIDELINES FOR MANAGING RISK IN SPORT AND RECREATION ORGANIZATIONS.**



## RISK ASSESSMENT

Well planned Projects result in Reasonable Risk Assurance.

**GOOD PLANNING IS THE SECRET**

**Well planned Projects result in Reasonable Risk Assurance.**

Where risks are identified, considered and mitigated, they usually don't feature to the consequence anticipated



Diagram copyright: Smartsheet Inc. [www.smartsheet.com](http://www.smartsheet.com)



## RISK RESPONSE

## STRATEGIES - THE FOUR T'S

TAKE	TERMINATE
<p><i>To some extent, there is a degree of TAKE in the response to most risks. Many cannot be avoided, and few can be practically and affordably reduced to zero likelihood / zero impact. For example, risks that are inherent to a Rotarian's profession are often accepted within normal tolerance where they are reasonably predictable.</i></p>	<p><i>Risk can be avoided by ceasing a particular activity or pulling out. It is also possible to <b>TERMINATE</b> some risks by changing the objective or the process.</i></p>
TRANSFER	TREAT
<p><i>It may be possible to reduce the impact of risks through various means of TRANSFER. Risk transfer decisions will depend on the nature of the project, the criticality of the operation or service associated with the risk, and cost/benefit considerations. Transfer requires explicit up-front understanding of risk responsibility BUT transfer of risk does not result in transfer of Accountability.</i></p>	<p><i>The response to most risks will be active rather than passive. There will be some degree of <b>TREAT</b> in response to most risks. Options for risk treatment are varied; they are divided into five categories based on the management loop process of</i></p> <p><b>PLAN</b> (Organisation, People, Direction), <b>DO</b> (Operational) and <b>MEASURE/IMPROVE</b> (Monitoring)</p>



## PROJECT/ACTIVITY INFORMATION SHEET - EXAMPLE

RM001

Project Owners: .....

.....

.....

.....

.....

Name of Project: .....

.....

.....

.....

Description of Project: .....

.....

.....

What are the dates or Timing of the Project: .....

Where will the project take place: .....

.....

Other Information or Comments: .....

.....

.....

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## RISK ASSESSMENT - EXAMPLE

RM 002

Club/District Project .....

Project ..... Date .....

L = Likelihood Rating  
C = Consequence Rating

Ref No	Task	Risk	Potential Harm	Risk Type L C		Risk Level	Method of Risk Management
1	Notification to Clubs	Wrong Information or forms sent	Rotary members are confused and upset and complain to the DG	D	1	Low	Double check all information sent out. One contact person for information
2	Notification to Schools	Wrong Information or forms sent	Schools withdraw from scheme	D	2	Low	Double check all information sent out. One contact person for information
3	Clubs select interview Team	Person with child abuse or other inappropriate background selected	Injury to Child, Rotary receives bad press Police investigation	E	5	High	Selection Process must be open. Needs to be a background check that is reliable, for all participants
4	Club selects Councillors	Person with child abuse or other inappropriate background selected	Injury to Child, Rotary receives bad press Police investigation	E	5	High	Selection process must be open. Needs to be a background check that is reliable, for all participants. Counselor Training to be run by the District



Ref No	Task	Risk	Potential Harm	Risk Type		Risk Level	Method of Risk Management
				L	C		
5	Interview of applicants	Interviews not conducted to same standards	Children / families chosen who do not meet the required standards	B	3	High	Format of interviews to be produced with question guidelines. Specific Standards to be acknowledged
6	Final selection of candidates	Bias result, best child not chosen	Complaint to District Members unhappy. No match for selected child Exchange does not work out	C	2	Med	Selection process open amongst panel. Result put to club before child informed. President or other non-involved person to check procedure and sign off
7	Names and information forwarded to district com.	Information is not complete or not correct.	Deadline missed Child not selected. Injury or Illness due to wrong or missing info.	C	3	High	Training of club coordinators Use of form index Double check medical requirements
8	Matching candidates	Trans Tasman Interviews not conducted to same standards	Inappropriate matching, child(ren) unhappy returns home early.	B	3	High	Common guidelines to be adopted Thorough process of selection with triple checks.



Ref No	Task	Risk	Potential Harm	Risk Type L C		Risk Level	Method of Risk Management
9	Notification to children and Parents	Parents find out at different times	Parents Unhappy with process.	C	2	Med	Process for ensuring notification is at same time.
10	Orientation	Poor presentation Issues not properly discussed	Rotary discredited Inappropriate behavior by some students not highlighted or properly resolved.	D	3	Med	Good preparation use previous format and experienced people. Ensure ALL students understand and sign on to the required code of Conduct.
11	Issue Travel documents	Over complicated or hard to understand. Incorrect	Student Parents lose confidence in Rotary.	D	3	Med	Keep to what works, keep it simple.
12	Meet the Sponsoring Rotary Club	Club seen as unfriendly	Loss of confidence Rotary	D	3	Med	Plan for warm welcome
13	Assemble at airport	Student arrives late Student refuses to leave Student has no passport Student has hidden Drugs	All reflects poorly on Rotary organisation	D	4	High	Plan to meet early, have cell phone contact with each family group. Discuss homesickness with families. Families to have check list of essential items. Ensure all students and families understand implications of 3 D's Police check the students?





Ref No	Task	Risk	Potential Harm	Risk Type L C		Risk Level	Method of Risk Management
14	Keeping in touch with NZ Student	Student feels isolated from Rotary support. Student has a serious problem.	Student unable to deal with potential problem. Student may be at risk	D	4	High	Develop a code for Students to use with their counsellors, when they need help.
15	Meeting students on return to NZ	Rotary not visible to Students and families on return. Aust Students feel there is no Rotary support.	Families lose confidence in Rotary. Early bond not made with Aust Students.	D	3	Med	Have as many counsellors as possible at Airport, plus other Rotary members, from the Wellington Clubs
16	Aust Student First night with NZ Councilor	Aust Student feels threatened by situation.	Accusations made against Counsellor. Rotary Club Rotary District	D	4	High	Clear Communications. Advance warning of arrangements Gender balance maintained at all times
17	Keeping in touch with the Aust Student	Student hears from Counsellor infrequently and in appropriately	Problems are not discussed or resolved, reflects badly on Rotary. May involve a serious problem	C	4	Extreme	Clear guidelines set by District for communications. Random checks to see process working. Serious Issues notified up chain.
18	Aust Student to school	School environment not suitable for student.	Student becomes Isolated, threatened or at risk.	D	3	Med	Communications between Students. Counsellor and school must be open and regular. Serious issues notified up chain.



Ref No	Task	Risk	Potential Harm	Risk Type L C		Risk Level	Method of Risk Management
19	Acclimatise to NZ life	Student does not fit in becomes isolated.	Student becomes Isolated, threatened or at risk.	D	4	High	Communications between Student Counsellor and school must be open and regular. Serious issues notified up chain.
20	Safari	AccidentInvolved in an assault Goes missing	Personal InjuryStress to minders / Family Rotary criticised	D	5	Extreme	Separate Management plan required for safari. Activities MUST be professionally organised and run.
21	Visit to Sponsoring Rotary Club	Student not expected or made welcome.	Rotary seen in poor light Student does not want to re- visit.	D	3	Med	Student kept fully informed on what is required and when.
22	Presentation to the Rotary Club	Student has not prepared an address	Student embarrassed gives poor presentation	C	3	High	Counsellor helps or ensures student is prepared prior to meeting
23	Dealing with issues.	Issues that arise are not resolved or rectified.	Student at risk of: - Personal Harm Loss of privacy Feeling Isolated Material losses	C	4	Extreme	Rotary to ensure that the program has sufficient safeguards and reporting requirement so that good communications and problem solving is always available.



Ref No	Task	Risk	Potential Harm	Risk Type		Risk Level	Method of Risk Management
				L	C		
24	Departure	Student arrives late Student has no passport	All reflects poorly on Rotary organisation	D	4	High	Plan to meet early, have cell phone contact with each family group. Families to have check list of essential items
25	Finalisation	Same problems occur each year	Loss of enthusiasm for exchange	D	3	Med	Committee to review each program and incorporate issues resolved or otherwise into planning.



## RISK CONTROL ACTION RECORD - EXAMPLE

RM 003

District Committee / Club .....

Project / Activity .....

Project Manager .....

Date .....

Insert task line from **Risk Assessment Sheet** for all **High** and **Extreme** Risks. (Use 1 Task per page and save under task ref no.)

TASK REF .....

Ref no	Task	Risk	Potential Harm	Risk Type		Risk Level	Method of Risk Management
				L	C		
17	Keeping in touch with the Aust. student	Student hears from the Counsellor infrequently and inappropriately	Problems are not discussed or resolved, reflects badly on Rotary. May involve a serious problem.	C	4	Extreme	Clear guidelines set by District for communications. Random checks to see process working. Serious issues notified up the chain.



List Specific Action Steps taken (or to be taken) to reduce risk to acceptable level: -

<b>Ref No</b>	<b>Action Steps</b>	<b>Who by</b>	<b>Comments</b>
1	<i>Draw up guidelines for communications, including reporting and checks by end September 2003.</i>	<i>John D</i>	<i>Ref Document Guidelines Matched Exchange 2003</i>
2	<i>Issue referred document to all counsellors and host parents at training November 2003</i>	<i>Marion P</i>	<i>Add to kit list</i>
3	<i>Add question on communications to student de-briefing questionnaire</i>	<i>John D</i>	<i>Review at the next meeting date</i> .....

Project / Activity Manager .....

Date .....

Approved by .....

Date .....

Rotary Position .....

Review Date .....



## SECTION 6 – INSURANCE & INCORPORATION

### ROTARY INSURANCE

The insurance package held by Rotary District 9940 (for 2016-2018) comprises:

#### PUBLIC LIABILITY INSURANCE

Covering legal liability to third parties for property damage or injury

**General Indemnity** \$5,000,000. Excess \$500

**Products Liability)** \$5,000,000. Excess \$500

*(Worldwide excluding USA & Canada)*

#### EXTENSIONS INCLUDED:

*Landlord Liability Tenants Liability*

*Property in Care, Custody or Control* \$250,000. Excess: \$1,000

*Forest & Rural Fires Act* \$500,000. Excess: \$500

*Punitive & Exemplary Damages* \$1,000,000. Excess: \$1,000

**Association Liability** - covering club officers and individual members against “wrongful acts” for which they may be held legally liable.

**\$500,000 Any One Claim (+ \$500,000 Defence Costs).** Excess: \$1000 each claim.

**Statutory Liability Insurance** – covering legal defence costs, reparation awards & fines (except fines under Health & Safety in Employment Act, these legally cannot be insured) for prosecutions under government statutes. Note no cover available for criminal prosecutions.

**\$1,000,000 cover.** Excess: \$500

**Employers Liability** – covering



- (a) The cost of defending claims brought about by employees alleging negligence or breach of duty by an employer causing injury or illness to an employee where Accident Compensation Commission cover is not available to the employee.
- (b) Awards made against employees for compensation to employees for injuries or illness occurring in the workplace
- (c) Fines and penalties awarded against an insured or directors, managers or trustees for breaches of the Act where such breaches are not deliberate or reckless.  
**\$1,000,000 cover.** Excess \$500

Crime (Fidelity) covering theft of Club money or property by Club members in a position of trust.

**\$50,000 cover.** Excess \$5,000

**THIS IS A SUMMARY OF COVER ONLY. POLICY EXCLUSIONS AND CONDITIONS CAN APPLY. SEE EXAMPLES OF POTENTIAL CLAIMS BELOW.**

**Insurance Cover is not automatic for all Rotary activities.**

The sort of activities that need to be declared are those involving motor vehicles, marine craft or aircraft, fireworks or explosives or any activity that could be considered of high risk.

**Note the following requirements:**

- **Please avoid accepting contractual liability (Hire agreements, event management contracts and the like and particularly avoid 'Hold harmless agreements' with other parties).**
- **Please give notice of any loss, damage or incidents that could give rise to a claim when it comes to your knowledge.**
- **Under no circumstances should you accept liability after loss or damage.**



IF IN DOUBT MAKE CONTACT PRIOR TO THE EVENT

*Please contact the District Insurance Officer, Gary Dome (Leigh) (Milson)*



Client Advisory

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## EXAMPLES OF POTENTIAL CLAIMS ON ROTARY DISTRICT 9940 CLUBS

The following examples are all fictitious and are a very random selection of the types of insured losses Clubs may face. There are many other examples and also many loss types that are not insured or insurable. This is purely to give an idea of the wide range of exposures faced.

### DAMAGE CAUSED TO OTHER PEOPLE'S PROPERTY

A Rotary Club spends time in a shopping mall selling raffle tickets, running a coin trail or running a Rotary Awareness stand. Someone is manning that stand with a heater to stave off the cold. The heater is kicked over and a fire results that spreads within the mall. The subsequent claim for physical property damage and loss of profits for businesses forced to close whilst repairs are carried out tops \$1,000,000.

### DAMAGE TO PROPERTY IN A ROTARY CLUB'S CARE OR CONTROL

A Rotary Club runs an art exhibition and art sale. An art gallery or art collector lends the club some artworks to place on display. During the display a piece of artwork is stolen and the Rotary Club is held responsible for not having sufficient security in place. The painting is worth \$20,000.

### FOREST & RURAL FIRES ACT LIABILITY

A Rotary Club runs a Christmas function and BBQ at park or reserve out of town. A spark escapes the confines of the BBQ area and alights some nearby dry vegetation. The fire takes off and threatens native bush and/or nearby pine plantations. Helicopters with monsoon buckets are despatched and the fire takes some hours to bring under control. The damage caused and firefighting costs total \$50,000.

### PUNITIVE /EXEMPLARY DAMAGES LIABILITY

A Rotary Club runs a triathlon. The weather is marginal but it is decided to proceed. During the race the weather deteriorates and a competitor spills out of their kayak due to rough water conditions. Despite cover for compensation being available under ACC relatives take a case for "punitive/exemplary damages" against the Club. They seek a lump sum of \$250,000. In this example the relatives lose the case but the Club still faces \$80,000 in legal defense costs.

### STATUTORY LIABILITY

As part of an exercise for RYLA participants a Rotary Club organises a team-building event, which includes a flying fox. The fox is rigged and manned by a club member who has had some previous experience but he accidentally mis-rigs it causing the participant to smack into a tree cracking their skull and severely injuring them. OSH investigates and decides to prosecute. The club incurs \$25,000 in legal costs defending itself, the court awards \$10,000 to the injured party and fines the Club \$10,000 (note: the fine legally cannot be insured).



## OTHER STATUTORY LIABILITY

A Rotary Club imports a 'Gadgette' from China as it is cheap, attractive and looks like it could be on sold at a good profit for the Club. The 'Gadgettes' duly arrive and are sold but within a month a purchaser commences proceedings in the District Court under the Consumer Guarantees Act 1993 claiming the goods are dangerous and are not fit for the purpose intended. The Club is fined \$15,000.00 and is ordered to pay costs of \$8,000.00.

## LIABILITY FOR "WRONGFUL ACTS"

A student on a NZ-Australia matched student exchange alleges they have been molested or assaulted and the Rotary Club is held responsible for not ensuring their safety. The Club is sued for \$100,000 for mental anguish and faces significant legal defense costs.

## LIABILITY FOR "WRONGFUL ACTS"

A Rotary Club embarks on an ambitious commercial enterprise as an ongoing source of funds. The business takes off and grows in size, additional stock is purchased and staff employed. After 18 months a dramatic change in market conditions occurs and the enterprise fails leaving creditors owed significant amounts of money. The Rotary Club members personally are held responsible and liable.



## NOTES ON INCORPORATION

### WHAT IS A CORPORATION?

A corporation is a legal entity that can exist separately from its owners. Creation of a corporation occurs when properly completed articles of incorporation are filed with the proper authority.

### WHAT ARE THE ADVANTAGES OF INCORPORATION?

One of the primary advantages of incorporation is the limited liability the corporate affords its shareholders. Typically, shareholders and directors are not liable for the actions and obligations of the corporation; thus the creditors will not come knocking on the door asking shareholders or director to pay debts of the corporation.

In a partnership or sole trader, the owner's personal assets may be used to pay debts of the business.

Maintaining the limited liability of a corporation requires that the shareholders and directors are required to follow all the rules of governance, including holding annual meetings, maintaining meeting minutes.

Other advantages:

A corporation's life is not dependent upon its members a major feature of a corporation is that it has an unlimited life. If an owner dies or wishes to sell his or her interest, the corporation will continue to exist and do business.

Ownership of a corporation is easily transferable. A corporation possesses centralised management.

What are the disadvantages of Incorporation?

The primary disadvantage to a corporation is double taxation, however this will not apply in the case of Rotary as it is a non-profit organization.

Other disadvantages are:

There is more complexity and expense with forming a corporation. There are more extensive record keeping requirements



## COMMUNICATIONS AND CONSULTATION

### *Code of Good Conduct; (Suggested Wallet Card)*



Rotary Clubs place great emphasis on their work with young people, the elderly and people with disabilities. This volunteer effort is vital to the quality of life in our communities and to the good reputation of Rotary and Rotarians. For this good work to continue it is important that our Rotary Clubs protect the interests of everyone involved.

It is the responsibility of every Rotarian to safeguard to the best of their ability the welfare of every person with whom they come into contact during their activities as a Rotarian. Special attention is to be given to children, the elderly, disabled and other vulnerable persons. This includes the identifying, preventing and reporting of physical, sexual, financial, political or emotional abuse.

## THE OBJECT OF ROTARY

Rotary is an organization of business and professional persons united worldwide who provide humanitarian service, encourage high ethical standards and help build goodwill and peace in the world.

### **The Four Way Test**

1. Is it the TRUTH?
2. Is it fair to all concerned?
3. Will it build GOODWILL and BETTER FRIENDSHIPS?
4. Will it be BENEFICIAL to all concerned?



## ABUSE PROTOCOL

Rotarians encountering a possible case of abuse should: Remain calm and manage any need for confidentiality.

Treat all allegations seriously.

Let the person know they have done the right thing in telling you and that it has taken courage to do so.

Reassure the person that it is not their fault.

Report the issue to your club contact person and ensure it is taken seriously. Be honest about what you are going to do, who you are going to tell, and why.

Keep the person fully informed about what is happening and give them information about possible other sources of help.

If you feel/display any anger, make sure the person understands it is directed towards the accused abuser.

### DO NOT:

- ☼ Panic! Reacting inappropriately may cause other problems.
- ☼ Make promises that cannot be kept.
- ☼ Interview or even discuss the details of the incident or issue with the victim or accuser. Leave this to the professionals.
- ☼ Cast doubt on what is being said to you.
- ☼ Make the person feel that they are responsible for the alleged abuse in any way.
- ☼ Deal with the problem alone.

**MY CLUB CONTACT PERSON IS:** \_\_\_\_\_

**MY CONTACT CAN BE REACHED AT:** \_\_\_\_\_





## SECTION 7 – HEALTH & SAFETY

It is a fundamental human right to be able to work and play without facing the prospect of being injured or subject to unnecessary danger. It is therefore a matter of importance that every effort is made to ensure this right is enjoyed by all those involved in Rotary projects and activities.

### PLANNING FOR SAFE ACTIVITIES & PROJECTS

The Health and Safety at Work Act 2015 requires safety and wellbeing to be a priority in all work-places. Achieving this requirement is based on two principles

-  Persons having capability and knowledge to undertake activity, and
-  Employers ensuring so far as is reasonably practicable that works, activities, equipment and procedures can be safely undertaken.








Rotary activities and projects require the same attention to ensure that Rotarians and volunteers are not exposed to situations which could result in bodily harm. Whilst there is an expectation that Rotarians will participate in a manner within their experience and capability, the organisers of activities shall overview safety requirements and **positively develop hazard identification and mitigation procedures**, with appropriate briefing and instruction, to maximise safety so that there is **ZERO HARM** to any participants.

All Rotarians who supervise projects and activities are responsible for the safety of operations under their control and must ensure the documented procedures contained in this Manual are understood, applied and enforced.

Rotary is committed to providing a safe environment at all times and therefore believes that every project can be done safely and without harm or injury.

### HAZARD IDENTIFICATION & MANAGEMENT

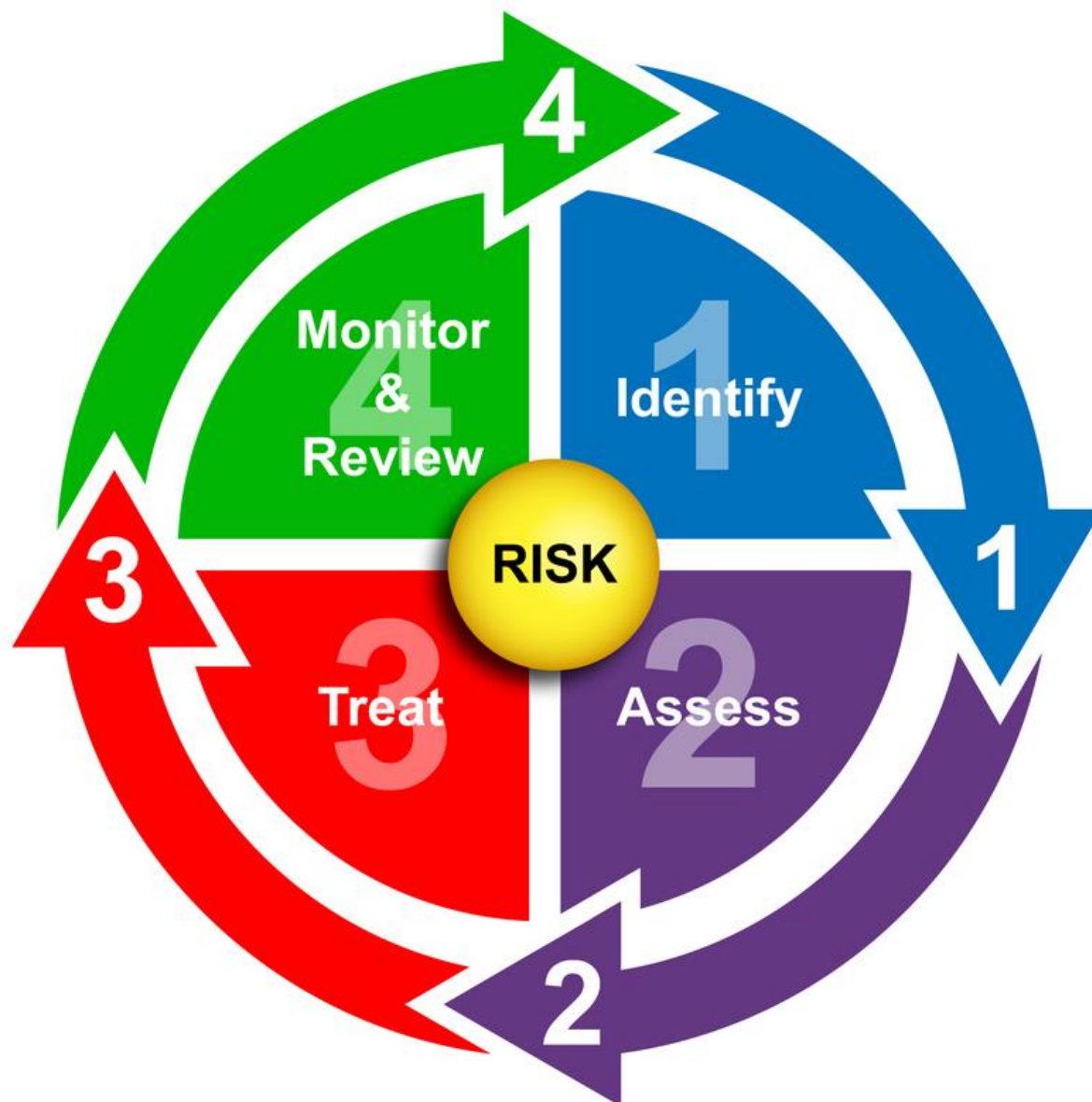
The process of Hazard management should be undertaken in respect of one or more of the following;

-  By Task
-  By Process
-  By Site Environment
-  BY material or substances being used (safe handling, health monitoring)
-  BY the equipment used to perform work (is it being used correctly and properly maintained)
-  By the person undertaking the work (are they competent and trained.)
-  By previous injury or illnesses.

The first step of hazard management is to develop a hazard register to identify hazards, rate their potential and then assess suitable controls. It is advisable that wider consultation involving the project team features in hazard identification to maximise coverage of project activities.



The following diagram and the **Safety Hazard Management Checklist** will aid the process. It is important that all persons involved in the project are briefed and personally acknowledge the safety risks.



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## RISK MANAGEMENT

Risk Management is an important part of “Job Planning” and with careful planning many hazards can be engineered out at this stage. All hazards identified and their associated risks must be effectively controlled as detailed below in priority order:

- ☼ **Elimination** - Decide if the hazard can be eliminated, - i.e. can it be permanently removed from the project by modification of the process method or material and implement controls to achieve this.
- ☼ **Substitution** If a hazard cannot be eliminated, then decide if it can be substituted wholly or partly-ie. Replace with something safer, replace with a more modern “something”. Something which gives rise to a lesser risk.
- ☼ **Isolation** - If it cannot be eliminated, then decide if it can be isolated - i.e. is it possible to place a barrier, either physical, time or distance, between the person or environment and the hazard to prevent contact with, or occurrence of, the hazard and implement controls to achieve this, store in a cabinet, move away from people.
- ☼ **Engineering** - If a hazard cannot be isolated, then decide if it can be engineered-ie. use equipment to move heavy items, extracting away from people.
- ☼ **Administration** – If a risk still remains, the remaining risk must be minimized, so far as is reasonably practicable, by administering administration controls – ie. policy, procedures, processes, training, supervision, monitoring, audits, signs, beepers, etc.
- ☼ **Personal Protective Equipment** – If a risk still remains, the remaining risk must be minimized, so far as is reasonably practicable, by ensuring the provision and use of suitable personal protective equipment.

Controls must be reviewed, amended or replaced if they prove not to be effective, in response to workplace change, in response to a newly identified risk or in response to an incident.

## PLANNING FOR PUBLIC EVENTS

Public Events, of all types – large and small - require careful planning to ensure the safety at all times of participants, Rotary volunteers and the general public. Rotary organisers need to be fully aware of all risks, influences, difficulties and securities likely to impact on the event. In particular, Organisers shall be fully aware of the requirements of Local Government, Emergency Services and other “requiring authorities”.

We have included here forms extracted from the Ministry of Civil Defence and Emergency Management Safety Planning Guidelines for Events December 2003. These forms are useful guides for many events, however for more comprehensive Guidelines it is recommended that the current [Sport New Zealand Risk Management for Events Guidelines](#) be used. These will assist Rotary Clubs confidence that they are adequately prepared for managing events and the safety of all involved.

<http://www.sportnz.org.nz/managing-sport/search-for-a-resource/guides/risk-management-for-events>





Events should be fun for those involved, as well as provide safe environments. The public has an expectation and a right to be safe at all public and private events and those holding such events have a responsibility to be able to guarantee to their attendees the safest environment practicable. Events such as outdoor concerts, sports matches and festivals provide important social and economic highlights for many communities.

Managing all events, particularly those where large numbers of people are expected, or international delegations are to be hosted, requires planning. Interagency cooperation and liaison is essential to ensure the success of any plans in place at an event. Planning must take place well prior to the event and should include all agencies that are involved in, or may be called on to respond in, the case of an emergency.

These Guidelines should be used in conjunction with the Standards New Zealand publication SNZ HB8669:2004 'Guidelines for Risk Management in Sport and Recreation' which can be downloaded from the Standards New Zealand website. Please note the Copyright requirements.

<https://shop.standards.govt.nz/catalog/246%3A2010%28HB%29/view>

## HAZARD IDENTIFICATION & MITIGATION

The following **Safety Hazard Management Checklist** provides a working tool for Hazard ID and Mitigation of those hazards to ensure activities are planned and operated to ensure **ZERO HARM** to all those involved in projects.

Note that it is important that everybody involved in the activity should be personally made aware of the hazard – this is best done by way of a short safety briefing at the commencement of the event/project/job.



## SAFETY HAZARD - MANAGEMENT CHECKLIST

PROJECT: .....

SITE LOCATION: .....

Date: .....

Project Leader: .....

Deputy Leader: .....



A HAZARD IS ANYTHING THAT CAN CAUSE HARM TO YOU, OTHER WORKERS ON SITE, THE PUBLIC OR THE ENVIRONMENT. LOOK AT THE JOB YOU ARE DOING AND CONSIDER THE FOLLOWING THINGS THAT MAKE UP YOUR WORK.

IDENTIFIED HAZARD	IDENTIFIED RISKS	RISK RATING	HAZARD CONTROL	ACTION TO ELIMINATE OR MINIMISE
<i>Example</i> <b>Road Traffic:</b>	<i>Road Users being confused by poor traffic management</i>	<i>High</i>	<i>Mit</i>	<i>Provide an alternative safe pedestrian walkway</i>



<i>IDENTIFIED HAZ- ARD</i>	<i>IDENTIFIED RISKS</i>	<i>RISK RATING</i>	<i>HAZARD CONTROL</i>	<i>ACTION TO ELIMINATE, ISOLATE OR MINIMISE</i>

PROJECT PERSONNEL / VOLUNTEER ACKNOWLEDGEMENT

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<b>Name</b>	<b>Date</b>	<b>Personal Protection Equipment Issued</b>		<b>Site induction complete</b>		<b>I have read and understood the hazards and implemented the actions listed</b>
				<b>YES</b>	<b>NO</b>	<b>SIGNATURE</b>



## SECTION 8 – YOUTH PROGRAMMES

In today's environment, where there is a greater awareness of the risk to youth of various forms of abuse, Rotary has a responsibility to ensure, all involved in all of its programmes, our young people are kept safe. Sound processes are to be established and used to guarantee everyone's safety.

The main piece of New Zealand law that must be addressed, is the [Education \(Pastoral Care of International Students\) Code of Practice 2016](#), and [Rotary's, Code of Policies](#) establish the base for the development of this policy and the processes that come from it. Rotary International recently revised an earlier document, [Rotary Youth Protection Guide](#), which forms the guidelines for future practice and provides the written material for Certification at District and Club level. Whereas, the original Guide addressed only Youth exchange programmes the revised version now applies to all youth programmes that Rotary Clubs may be involved with.

In the early 2000's there was much concern with inappropriate care being provided for International Students, accessing a New Zealand education. Legislation was introduced, currently titled Education (Pastoral Care of International Students) Code of Practice 2016. Rotary New Zealand became a signatory to this policy, as such, commits itself to compliance of this requirement.

An integral component on verifying suitability of volunteers whether Rotarian's or non-Rotarian's is the process of seeking Police Vetting. The form to do this can be found here. P61.

The collection, retention and storage of all personal information obtained by Rotary for the purpose of this programme will be kept in a secure manner in compliance with the Privacy Act 1993. The information will only be kept for as long as necessary.

There has been a conflict with the policy of New Zealand Police's expectation that as soon as Information is provided by them, its use will cease and it should then be disposed of with safely, immediately. Yet Rotary International has an expectation that such information is kept indefinitely. To comply with these requirements, this form, [Consent for Disclosure of Information](#), P63, has been created to meet both needs. It must be completed at the same time the Police Vetting application form is used.

Various activities may be presented to the youth that Rotary engages with, that should be checked against safe **Risk Management** procedures as outlined in the **Risk Management Manual**.

Meeting these requirements should not be seen as an impediment to the work that Rotary does with Youth, but creating opportunities of development, and challenging them to achieve to their fullest.

Training in Youth Protection is an essential part in creating awareness of the issues that Rotary must address. This will be provided by the District Youth Protection Officer. A computer based programme from America has been obtained to achieve this.



The District and Clubs participating in Rotary Youth Exchange programmes are expected by Rotary International to have obtained certification so as to remain involved with these programmes. District will assist in achieving this end.

The Rotary Youth Protection Guide is a comprehensive guide to providing a safe and secure environment for all youth involved in Rotary programs and activities. It includes guidelines for developing, implementing, and maintaining an effective district youth protection program. Methods described in this guide can be modified to comply with local laws and should be used in combination with other locally developed training resources.

District governors, district youth protection officers and all club and district leaders involved with Interact, and Rotary Youth Exchanges, RYPEN, RYLA, and RYDA, should review this guide. Districts may also apply these guidelines when working with other youth-related activities or with any vulnerable population.

The information contained in this publication comes in part from the efforts and experiences of Rotarians and reflects the best practices of Rotary districts. Policy references are to the Rotary Code of Policies. Any decisions made by the Rotary International Board of Directors take precedence over information in this publication. The next few pages provide a brief description of the Youth Programmes.

My Club Youth Protection Officer is:

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My contact can be reached at:

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Has the district insurer been contacted?

Yes/No

Date:

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## ROAD SAFETY EDUCATION - (RYDA - ROTARY YOUTH DRIVER AWARENESS)

Road Safety Education Limited are the providers of the RYDA Program.

Road Safety Education Limited (RSE) is a not-for-profit organisation with a commitment to the reduction of youth road trauma in New Zealand through the delivery of quality, evidence based road safety education programs. Young people aged 15-24 represent less than 15% of the population yet account for around one quarter of deaths and injuries on our roads.



Youth road trauma is a community problem that needs a community response. Working with our Community Partner Rotary, Founding Co-Sponsors BOC and NZ Steel we are able to minimise the student participation cost and ensure that our programs are accessible to all young people in our community.

The RYDA Program is conducted at an out of school venue, chosen to highlight the road safety messages and is targeted at 15-17 year olds as they begin to drive or ride in cars driven by their peers. During RYDA, students take part in six interactive sessions on a broad range of road safety topics. Over 30,000 students have attended the RYDA program across venues from Kaitia to Timaru.

RYDA is an Approved Project of All Rotary Districts of New Zealand

## ROTARY YOUTH LEADERSHIP AWARD (RYLA)

The programme is a challenging five days live-in experience and is designed to unleash the participant's leadership potential.

Each Club is encouraged to nominate one or more participants aged 18 to 24 years for this annual programme.

Rotary Clubs have the opportunity to canvass their communities for young people with leadership potential. Participants may be in employment (from trades to professionals), undertaking study, competitive sport, recipients of community awards or similar.

## ROTARY NZ-AUS MATCHED STUDENT EXCHANGE (RANZE)

RANZE is an **Exchange programme for NZ and Australian Secondary School Students** aged 13½ to 16 years (at the time of their departure), to go to Australia as a 'Matched' Exchange Student. We seek students at Year 9 level (13yrs).

**A NZ student** is matched with a student from Australia. Each student spends one school term living in the other's home and attending their school.

**This is a "Family to Family"** exchange, with a Rotary Club providing a Mentor, and sponsoring \$550 for the student with their Jacket, Name Badge and a Carry-on Bag. The Rotary Club **does not** provide host families. The Rotary Club will arrange for the students to give their presentations and experiences, and they are welcome to come at any other time to be involved in Club Projects. Some Clubs are finding this easier than having a student for 12 months by not having to find Host families.



RANZSE Programme **gives students the experience and the confidence** that in 2 years they would be able to apply for the RYE Programme, having the confidence and ability to go away from their family for a year.

**Matching of students** is achieved by the NZ and Australian Chairs, and Country Coordinators meeting together for a weekend at the end of October each year to Match students.

#### **How do students apply?**

Information is sent to all Colleges and Rotary Clubs mid-February with the Committee following up in March asking prospective student's to complete an 'Expression of Interest form for us to be able to make contact with them and their family to discuss the exchange. We also do a presentation at their School Assemblies.

#### **Police Checks.**

All members within families who are 18 years and older, require to be Police Checked, as will Mentors and others, including Rotarians and the Committee, who will be having contact with the students, they are Police Checked every 3 years.

**We run Sessions for** Mentors; Selecting Students; Orientation of NZ and Australian students with the families always involved; Safari for Australian students (7 days) and a Day on a Marae.

### **ROTARY INTERNATIONAL YOUTH EXCHANGE**

The most powerful force in the promotion of international understanding and peace is exposure to different cultures. The world becomes a smaller, friendlier place when we learn that all people – regardless of nationality – desire the same basic things: a safe, comfortable, environment that allows for a rich and satisfying life for our children and ourselves.

Youth Exchange provides thousands of young people with the opportunity to meet people from other lands and to experience their cultures. This plants the seeds for a lifetime of international understanding.

The programme provides Clubs with opportunity to host an overseas secondary school student (aged between 16 and 18) for a year to experience life and culture in a foreign country to further their education and personal development. While not a direct exchange, clubs can also provide the same opportunity for a Kiwi student to travel overseas for twelve months.

Students arriving in New Zealand generally commence the exchange in July. Clubs will need 3-4 host families and a mentor to advise and support the student during their stay.

Kiwi students leave in January for their twelve month exchanges. They need a local District 9940 club to assess and sponsor them. This has very limited financial implications for orientation and uniform, but does require that the club appoint a NZ mentor to support the student.

Without question this programme not only creates friendships between students, hosts and clubs lasting a lifetime, but also enables young men and women to realise their potential and start them on a journey for roles as Rotarians and community leaders.





## ROTARY YOUTH PROGRAMME OF ENRICHMENT (RYPEN)

RYPEN is aimed at young people in the 15 –17 age group who are not likely to be selected for Youth Exchange or later for RYLA, but who possess qualities of decency, persistence and application and who deserve further encouragement.

The young people will be presented with a series of ideas, challenges and social experiences, which will hopefully assist them in broadening their horizons socially, culturally and physically.

It is suggested that students who have participated in previous outdoor education activities do not attend e.g. Outward Bound, Spirit of New Zealand, or any college outdoor pursuit type course. For details of the programme contact the convener.

## INTERACT

Interact is Rotary International's service club for young people ages 12 to 18. Interact clubs are sponsored by individual Rotary clubs, which provide support and guidance, but they are self-governing and self-supporting. Club membership varies greatly. Clubs can be single gender or mixed, large or small.








## SUGGESTED SAFETY GUIDELINES FOR VOLUNTEERS IN SCHOOLS

**Visitors to a school** - Visitors should report to the office on arrival at the school

Emergency information for visitors should be explained by Administration staff.

Police vetting of volunteers is normally at the discretion of the school. However it is recommended that the Rotary club proactively have volunteers, who may be in a position of one to one interaction with a student, policevetted.

## SAFETY GUIDELINES

-  Do not transport a child on your own (except in emergencies).
-  Ensure that whatever the situation you are not alone with a student.
-  Physical contact can occur in coaching and comforting situations, ensure it is appropriate.
-  Gently dissuade the demonstrative behavior of special needs students.
-  Acknowledge every student's right to personal space.
-  Ensure that an adult-child relationship is maintained and discourage overfamiliarity.
-  For transporting students ensure that all cars are warranted and all children seat belted.



## POLICE VETTING

FOR MORE DETAIL PLEASE REFER TO THIS LINK

<http://www.police.govt.nz/sites/default/files/publications/nzpvs-cost-recovery-guide.pdf>

Whilst the vetting of volunteers is not a legal requirement, many organisations are requesting that this be done.

Rotary should follow this example by requiring Police Vetting of all Rotarians and people associated with Rotary and working under the Rotary “umbrella” that may have the possibility of one to one contact with a young person. For example, councilors, hosts, volunteers in schools etcetera. Below is the Police Vetting process as made available by the New Zealand Police.

Please note that the organisation either District or Club needs to be first approved by the police in order to receive the vetting service.

## PURPOSE OF POLICE VETTING

The purpose of vetting is to minimise the likelihood of the more vulnerable members of society (children, older people and those with special needs) being put at risk by individuals who may have displayed behaviour that could be detrimental to others’ safety and wellbeing.

## WHAT IS POLICE VETTING?

Vetting, as conducted by the New Zealand Police Licensing & Vetting Service Centre, using two computer-based checks to search for information about an individual.

<http://www.police.govt.nz/about-us/publication/police-vetting-forms>

The first check is a search of the Law Enforcement System (formerly known as the Wanganui Computer). This provides a list of criminal and driving record. A printout is made of any history that lists the location of the court, the date of the offence, the offence itself, and the sentence imposed. It should be noted that minor traffic infringements, such as parking tickets, are not shown on these printouts.



The second computer-based check is a search of other information held by Police. This information is used to look for behaviour of a violent or sexual nature that may not, for whatever reason, have resulted in a conviction. In cases where such information exists, further investigation is carried out and the response may be "red stamped" (see Results of vetting).

**IMPORTANT:** Police vetting is *not* a complete background check. It should be used only as part of a robust recruiting and screening process, such as that outlined in the publication "Safe Not Sorry" by Anthea Simock (The Institute for Child Protection Studies, PO Box 679, HAMILTON)

## THE PROCESS

Once an organisation has been approved to receive vetting services, police will provide a copy of the correct "Consent to Disclosure of Information" form. Vetting can only be carried out with the consent of the applicant given on the correct form. Applicants should be told they are to be vetted and offered an explanation of the process. **Note:** It remains the responsibility of the organisation to verify the identity of each applicant.

The completed consent forms are then sent by the organisation to the Licensing & Vetting Service Centre for processing.

A date stamp is placed on each request. This stamp indicates that each of the 2 computer checks have been carried out, the date of processing (there may be a short delay between receipt and processing), and the operator who completed the check.

If criminal and/or driving records are present, the printout will be attached to the request. Where there is information indicating violent or sexual behaviour (other than convictions), a "red stamp" may be placed on the request.

All completed vetting requests are then sent back to the organisation for their decision regarding employment.

## RESULTS OF VETTING

The information supplied by Police will be sent directly to a designated person within the requesting organisation. This information is to be securely stored until such a time as it is no longer useful for the purpose it was obtained. The information should be stored in such a way that only those required to access the information are able to do so.

Applicants should be given the opportunity to view any criminal and/or driving records provided by Police and, in the interest of natural justice, have the opportunity to correct this if necessary.

A correction may be sought by writing to:

**The Manager**

**Licensing & Vetting Service Centre PO Box 3017**

**WELLINGTON**



The decision as to whether an individual is suitable or not for a given position remains with the Rotary Chairman/President. In making this decision he/she might need to consider the following when assessing the results of vetting:



The nature of the offence and relevance to the Rotary activity.  
Length of time since the crime was committed.

Age and maturity now as compared to when the crime was committed, the seriousness of the crime e.g. length of sentence, use of a weapon, the circumstances at the time of violent behaviour.

Pattern of crime, e.g. a short spate may indicate a "phase" but a regular pattern may indicate continuing inappropriate behaviour.

The proximity of the person undergoing vetting to the vulnerable person(s). That is, are they likely to have unsupervised access to these vulnerable people?

Where vetting indicates behaviour of a violent or sexual nature (that is not shown on an individual's criminal record printout), Police may recommend that an individual **does not have unsupervised access to children, young people, or more vulnerable members of society**. This is shown by way of a large red stamp. The individual may wish to know the basis of such a recommendation and, in these cases, should write to the Manager: Licensing and Vetting Service Centre. Police will provide a written response to the individual, detailing the basis for the advice given.

Information supplied by Police **must** be destroyed once it is no longer useful for employment purposes. Burning or shredding the information ensures secure destruction. Details of police vetting are not to be disclosed to any staff, other than the individual tasked with handling this information and the subject of the vet.



## CONSENT FOR DISCLOSURE OF INFORMATION

DISTRICT COMMITTEE:..... ROTARY CLUB OF:.....

## The Manager

**Licensing & Vetting Service Centre PO Box 3017**

## WELLINGTON

(Surname)..... (First Names).....

(Maiden or any other names used).....

Residential Address.....New Zealand Driving License number.....

Hereby consent to the disclosure by the New Zealand Police of any information they might have pursuant to this application

to:- Either: - The Chairman, Rotary District 9940 Committee .....

Or: - The President, The Rotary Club of .....

Signed ..... Date .....

COMMENTS OF THE NEW ZEALAND POLICE:-.....

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## SECTION 9 – FINANCIAL INTEGRITY

Rotary activities involve substantial fundraising and distribution of funds to many causes. These activities, and the stewardship of funds, present many complexities for which Clubs and the District need to have transparent strategies and provision.

The following considerations need to be provided for;

- ⦿ Does a proposed project create possible financial risk?
- ⦿ What is the level of Club turnover and under what entity should financial management be conducted?
- ⦿ Will invested accumulated funds earn more than \$1000 pa?
- ⦿ Will you be distributing ALL project funds each tax year?
- ⦿ Will you be remitting funds to The Rotary Foundation or overseas projects?

Suitable entities for financial administration and stewardship of funds are **Incorporation** and **Charitable Trusts**. For more extensive levels of financial turnover and business risk, establishment of an independent company may be desirable.

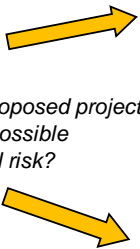







The following charts provide guidance of options for best Financial Management of Rotary funds.

Some general principles which need to be considered are;

- ⦿ Consider all the risks of running your proposed project (as per this Manual)
- ⦿ Most protection for Club members is obtained by running the project through the Club.
- ⦿ Most protection for your accumulated funds is obtained by these funds being held in the Club's Charitable Trust and no withholding tax will be payable on the interest earned.
- ⦿ Consider the opportunity to split Club income to remain under the GST threshold.
- ⦿ All project funds received by your Club must be distributed each tax year.
- ⦿ All funds destined for The Rotary Foundation Global Grants or for offshore projects must be remitted via RNZWCS Limited (Rotary New Zealand) Charity Registration CC26860, PO Box 20309, Bishopdale, Christchurch 8543.



## QUESTIONS AND THE RECOMMENDED LIKELY ENTITY ACTION

1	<p>Does proposed project create possible financial risk?</p> 	<p>Higher risk</p>  <p>Lower risk</p> 	<p>Form a separate legal entity to run project Consider insurance options</p> <p>Should you run the project? Run project through your club</p>	<ul style="list-style-type: none"> <li>- Separate legal entity</li> <li>- Trust</li> <li>- Company</li> <li>- Incorporated Society</li> <li>- Incorporated Society (club)</li> </ul>
2	<p>What will be the projected total income from all sources</p> <p>– Subscriptions, raffles, projects?</p>	<p>Under \$40,000</p>  <p>Over \$40,000 but under \$80,000</p>  <p>Over \$80,000</p> 	<p>All activities including projects can be conducted through your club</p> <p>You have the option of separating your club activities from projects to keep both under GST threshold</p> <p>May still be possible to keep one of your club or your trust under GST threshold</p>	<ul style="list-style-type: none"> <li>- Incorporated Society (club)</li> <li>- Incorporated Society (club) and Charitable Trust (projects)</li> <li>- Incorporated Society (club) and Charitable Trust (projects)</li> </ul>
3	<p>Will you be holding accumulated funds on deposit which will earn more than \$1,000 per annum interest?</p>	<p>Yes</p>  <p>No</p> 	<p>Hold in Trust as exempt from tax</p> <p>Can be held by club but will need to file a tax return to obtain tax refund (if any)</p>	<ul style="list-style-type: none"> <li>- Charitable Trust</li> <li>- Incorporated Society (if prepared to seek tax refund) otherwise Charitable Trust</li> </ul>



QUESTION		RECOMMENDED ACTION
Will you be distributing ALL project funds each tax year?	Yes	Project could be run by club or trust (depending on risk)
	No	Project could be run by club or trust (depending on risk) but club must transfer any undistributed funds to trust before end of tax year to avoid paying income tax on retained funds
Will you be remitting funds to The Rotary Foundation or overseas projects?	Yes	Such funds must be remitted by either your club or your trust via The New Zealand Rotary Clubs Charitable Trust





## NOTES

There are a set of Forms in a separate Folder that is available through the District 9940 website. These have been copied from the document above and may be used for any specific Activity, Project and Job.

These Forms have been extracted by permission from a booklet that was produced in 2003 by the Ministry of Civil Defence and Emergency Management. The booklet was called **"Safety Planning Guidelines for Events"** (No longer available directly from the Ministry).

However, for more comprehensive Risk Management Guidelines it is recommended that those available through Sport New Zealand be used. The following has been extracted from the Sport New Zealand web site June 2017.

- <http://www.sportnz.org.nz/managing-sport/search-for-a-resource/guides/risk-management-for-events>
- **Sport New Zealand**-[Risk management of events](#) (PDF)

All funds destined for The Rotary Foundation Global Grants or for offshore projects must be remitted via

**RNZWCS Limited (Rotary New Zealand)**

**Charity Registration CC26860,**

**PO Box 20309,**














**Bishopdale,**

**Christchurch 8543.**



## REFERENCES AND ACKNOWLEDGEMENTS

Rotary District 9940 would like to acknowledge the following organisations and their documentation that have been of invaluable help in preparing this manual.

-  Worksafe New Zealand
  - <https://worksafe.govt.nz>
-  Rotary New Zealand World Community Service (RNZWCS Limited)
  - <https://www.rnzwcs.org/resources/>
-  Downloadable resources for New Zealand Rotarians, partners, volunteers and others.
-  New Zealand Police, Licensing and Vetting ServiceCentre
  - <http://www.police.govt.nz/about-us/publication/police-vetting-forms-eg>
  - Vetting Procedure Guidelines
  - Criminal Record requests
-  New Zealand Federation of Voluntary Welfare Organisations manual
  - RISK MANAGEMENT Managing Legal Risks for Voluntary Organisations
  - <http://www.worldcat.org/title/risk-management-managing-legal-risks-for-voluntary-organisations/oclc/1>
-  Sports New Zealand
-  Sport NZ Risk Management of Events guidelines and templates:-
  - <http://www.sportnz.org.nz/managing-sport/search-for-a-resource/guides/risk-management-for-events>
-  Sports NZ Enterprise risk management guidelines for organisations at:-
  - <http://www.sportnz.org.nz/managing-sport/search-for-a-resource/news/enterprise-risk-management-resource>
-  Workplace Risk Solutions
  - <https://www.crombielockwood.co.nz/workplacrisksolutions>
-  A number of International Rotary web sites.
  - [www.rnzwcs.org/resources](http://www.rnzwcs.org/resources)
  - Particular acknowledgement is made of the input of District 9970
-  NZS/AS IOS 31000:2009 and associated Standards
  - <https://www.standards.govt.nz/>
-  Smartsheet Inc (US), manual design support
  - [www.smartsheet.com](http://www.smartsheet.com)
-  Dreamstime Inc (US), manual design support
  - [www.dreamstime.com](http://www.dreamstime.com)