



## **GUIDANCE NOTES ON RISK ASSESSMENT FOR EVENTS IN HARBOUR AUTHORITY AREAS**

### **NOTIFICATION AND STANDARD EVENT PLANNING**

#### **RISK ASSESSMENT GUIDANCE NOTE**

The DfT (Department for Transport) Port Marine Safety Code requires all harbour authorities to ensure that risk assessments are carried out to identify and minimise risks which may result in personal injury, or damage to property or the environment.

In appropriate cases, including events organised by yacht clubs or Training Centres, the risk assessment procedure may be delegated by the harbour authority to the event organisers.

Although many clubs and harbour authorities are now familiar with undertaking appropriate risk assessments for their activities, for some a formal risk assessment is still a novel concept. The purpose of this guidance note is to facilitate the process for those less familiar with undertaking risk assessments by providing models based on existing good practice elsewhere.

#### **Recognised Training Centres**

Where events are organised by RYA Recognised Training Centres, Risk Assessments will already have been in place for some years. Because of the special risks involved in training novice sailors, the RYA's Five Steps to Risk Assessment should be followed. This guidance note is available from the Legal Department or on the RYA website: <http://www.rya.org.uk/clubs/support/management/healthandsafety/Pages/riskassessments.aspx>

#### **Club Events**

Three risk assessment models are included in this guidance note, providing for Major, Medium and Minor events.

**A Major Event** is one which is likely to have a major impact on the operation of the harbour, requiring special arrangements agreed in advance with the harbour authority, for which a full risk assessment should be prepared, in consultation where appropriate with the emergency services. Examples of such events are the Round the Island Race (1700 competitors plus spectators) or the start of the Volvo Round the World Race (a small number of competitors but many hundreds of spectator craft).

**A Medium Event** is one having a noticeable impact on the operation of the harbour but for which the harbour authority would not need to consider

special arrangements in advance, and for which a standard form 12 month risk assessment form can be used.

**A Small Event** is one having little or no impact on the operation of the harbour and with minimal risks to non-participants. For these events, for which a formal risk assessment is inappropriate, a standard notification form can be used, whether for a one-off event, or a series of small events (e.g. "Thursday evening Cadet training").

Whether an event is a Major, Medium or Small will vary according to the size of event and any spectator fleet, the size and geography of the harbour, and the level of other activities (e.g. commercial shipping) in the harbour. What risks are identified, and what measures are taken will also vary according to the nature of the craft involved (i.e. whether, cruiser, racers, keelboats or dinghies).

### **EVENT ORGANISERS SHOULD ALWAYS BEAR IN MIND**

1. The primary responsibility for the safety of participants lies with the participants themselves, unless those participants are children. Beyond that, the organising club is likely to owe a duty ensure that the event is reasonably safely managed and a harbour authority is under a statutory duty to manage safety within its jurisdiction.
2. Most harbours have Byelaws and/or General Directions in force that may impact on the setting of courses. Race officers and competitors need to be aware of these.
3. Potential conflicts between different clubs, classes racing or events within a harbour, should be addressed between the organisers, in advance, rather than burdening the harbour authority.
4. For further guidance on the practical and legal aspects of event management the following reading is recommended: These are available on the RYA website. [www.rya.org.uk](http://www.rya.org.uk) under publications.
  - RYA Race Management Guide.
  - Safety Boat Handbook.
  - Race, Training and Event Management - The Legal Aspects.

## Appendix 1

### Template for Major Event Risk Assessment

*Distribution:* Local Harbour Commission  
Area Port Authority (If applicable)  
Local Ferry Companies (If applicable)  
Local Coastguard and Local RNLi  
Local Marine Police Unit  
Event Race Officers

----- <i>Club</i>
Event Title
Date(s) of Race (s)
Port Marine Safety Risk Assessment

**Event Title: ----- Port Marine Safety Risk Assessment**

(Guidance on composing Pre-Amble Page)

**1. Introduction**

Overview of event, date or dates of races. Number, type and size of boats racing. Major club assets available to control the event.

**2. Starts**

Location of starting area. Description of starting line and committee boats to be used for the starts. Starting order for multi-class starts.

**3. Racing Area**

Description of the racing area showing the boundaries of the race or races and any likely impact on port operations.

**4. Finishing Area**

Description of finishing area and likely times of finishing.

**5. Manning and Race Control**

Plans for the manning of the race management of the event, organisational structure, race control and any emergency plans.

**6. Safety Control Measures**

Standard and Event-Specific Control Measures for the event are defined in the Control Measures and are the primary means for the safe management of the race.

**7. Risk Assessment**

A quantitative assessment of event risks both before and after the measures and assets are implemented to reduce the defined risks. A final risk assessment is based on a judgement of the likely effect that the control measures will have in reducing the event risks.

**Port Marine Safety Risk Assessment**

**Major Event Notification**

Event:		Date(s) of Event:	
Organising Authority:		Event Website:	
Chief Race Officer:		Email:	
Operating Period:		Number of Boats:	
Operating Area:		Type or design:	Date presented
VHF Channel(s):		Authorities Informed:	
Committee Callsign:			
CRO Mobile Phone No:			
Club Telephone No:			
PMS RA Prepared by:			
Supporting Documents:	Notice of Race, Sailing Instructions, Organisation Chart, Emergency Procedures		Other:

Plan of Racing Area

Course(s) Configuration

**Risk Assessment**

**Major Event**

Hazard affecting PMS	No	Description of Hazard affecting PMS	Areas of maximum risk	Estimated Risk Level Before Measures #	Equivalent Numeric Before Measures N	Likely Impact M	Risk Factor N x M	Primary control Measures* and Assets (see standard list overleaf)	Final Risk Assessment
1. Collisions	1.1	Racing boat with racing boat							
	1.2	Racing boat with spectator boat							
	1.3	Racing boat with cruising boat							
	1.4	Racing boat with commercial vessel							
	1.5	Commercial vessel with spectator or cruising boat							
	1.6	Spectator boat with spectator or cruising boat							
	1.7	Ferry with racing, spectator or cruising boat							
2. Grounding or Capsize	2.1	Poor navigation							
	2.2	Result of rig or equipment failure							
	2.3	Multihull capsize							
3. Boat Damage	3.1	Rig or equipment failure							
	3.2	After grounding							
4. Personal Injury	4.1	Man overboard							
	4.2	Injury impacting on external rescue services							
5. Other Hazards	5.1	High winds							
	5.2	High waves							
	5.3	Fog, calm and drifting onto obstructions							
	5.4	Shipping movements							
	5.5	Fatigue							
	5.6	Engine failure impacting on other traffic							

# Estimated: H = High. M = Medium or L = Low Risk (few accident statistics yet available)  
 N: Equivalent Numeric - H = 3, M = 2 or L = 1

**Areas of Maximum Risk:** S = Start W = Windward L = Leeward Mark G = Gybe Mark F - Finish or state area:

**Risk Level Consequence:** L or 1 = Low Risk M or 2 = Medium Risk H or 3 = High Risk

**Impact - Life - M:** 1 = First Aid only 2 = Paramedic or ambulance 3 = Serious Injury or Death

**Impact - Property - M:** 1 = Minor Damage 2 = Repairable Damage 3 = Total Write-Off

\* All other standard control measures are also available. See Over

## APPENDIX: Standard Risk Control Measures & Assets available for the Major Event

### 1. Planning

	Measures	General Comments	Specific Event Comments and Measures
1.1	Use of Tidal Prediction Information	Time events to suit tidal range and streams.	
1.2	Limit competitor numbers	Match race entry numbers to organisational capacity and control assets.	
1.3	Planning of Starting Sequence	Starts sequenced to separate classes and avoid risk of collision during overtaking.	
1.4	Advance Briefing of Race Management	By oral briefing and/or written instructions.	
1.5	Advance Safety Briefing with Authorities.	Liaison between organising body and relevant port and Safety Organisations.	
1.6	Shipping Movement Monitoring	Includes obtaining details of planned movements from Authorities and monitoring of Port Control radio traffic.	
1.7	Weather monitoring.	Use of weather forecast information when deciding whether to proceed.	
1.8	Event Manning	Ensure adequate competent personnel.	
1.9	Emergency Procedures	Establishment of action plan for emergencies.	
1.10	Media Management	Establish one point of contact to control information that fed to press, television and radio, especially in the event of an emergency.	
1.11	Race Management Team Welfare	Ensure race management volunteers are equipped for the event.	

### 2. Communications

2.1	Notice of Race.	Advise preliminary details of race and conditions of entry – also safety requirements for entrants.	
2.2	Sailing Instructions/Amendments.	Instructions to competitors including specifying governing rules and amendments, compliance with Harbour Byelaws and Collision Regulations etc. The facility exists to issue amendments to the instructions as appropriate.	
2.3	Safety Briefing.	Safety briefing to competitors.	
2.4	Competitors' shore contact.	Competitors instructed to appoint shore contact (family/friend) and to supply details of all crew members on board boat to organising authority.	
2.5	Shore signals.	ISAF International Racing Rules of Sailing or amended by Sailing Instructions – provide signals for cancellation, abandonment, postponement and compulsory use of personal buoyancy.	

	<b>Measures</b>	<b>General Comments</b>	<b>Specific Event Comments and Measures</b>
2.6	VHF Radio Announcements.	Radio announcements to competitors, and other vessels/observers on a designated VHF channel with predetermined fall back channels..	
2.7	Communication with Authorities.	Port Control.	
2.8	Mobile Telephones and Private VHF Channel	Communication between race management personnel and with outside contacts.	
2.9	International Regulations for the Prevention of Collisions at Sea	Use for right of way between racing and non-racing traffic.	

### **3. Control Measures before start**

3.1	Safety inspections.	Spot checks of on-board safety equipment by race scrutineers.	
3.2	Marshalling Boats/Patrol and Escort Vessels	Safety patrol vessels for control of competitors in event of shipping before and during starting sequence and at the finish.	
3.3	Competitor Marshalling Areas	Designated waiting areas in event of postponement.	
3.4	Postponement/suspension of Starting Sequence	In the event of commercial traffic movements.	
3.5	Length of Starting Line	Matched to boat numbers as per RYA advice.	
3.6	Ferry Traffic	Check ferry times on race days to avoid clash.	

### **4. Additional Control Measures after start and during race**

4.1	Abandonment.	In the event of adverse weather or other factors.	
4.2	Shortening course.	In the event of lack of wind or other factors.	
4.3	Race Observers.	Observers on shore at strategic locations.	
4.4	Escort vessels	Member's vessels and other boats	
4.5	Monitoring of weather/sea conditions	By communication from observers, escort vessels and competitors with mobile phones.	

### **5. Additional Control Measures at Finish**

5.1	Finish Line Length	Matched to number/size of competing boats.	
5.2	Retirement monitoring.	Radio reporting by vessels retiring and/or signed declarations by finishers or tally system.	
5.3	Harbour Patrol	Patrolling finishing area.	
5.4	Race Declaration	Boats sign in after race to monitor all finishers.	
5.5	Use of Engine	Boats are requested to clear line as soon as the boat has crossed the finishing line	



## **Appendix 2**

The Medium Event model is similar in structure to the Major Event model, but with fewer risk control measures in place and no reference to crisis management plans. It is anticipated that an annual assessment could be carried out, and used for any event run by a club. Clearly if a club were to run cruiser racing, as well as dinghy racing and windsurfing racing, the different nature of the risks in each case might require different risk assessment forms for each kind of vessel involved.

## Standard Control Measures for Medium Events

### 1. Planning

	Measures	General Comments
1.1	Use of Tidal Prediction Information	Time events to suit tidal range and streams.
1.2	Limit competitor numbers	Match entry numbers to resources.
1.3	Planning of Starting Sequence	Separate classes and avoid risk of collision
1.4	Advance Briefing of Race Management	By oral briefing and/or written instructions.
1.5	Advance Safety Briefing with Authorities.	Liaison with relevant port and safety organisations.
1.6	Shipping Movement Monitoring	Obtaining details of movements from Port Control.
1.7	Weather monitoring.	Use forecasts to decide whether to proceed.
1.8	Manning	Ensure competent personnel for race management.
1.9	Emergency /Contingency Procedures	Establishment of action plan for emergencies.
1.10	Media Management	One contact to control information fed to media in an emergency.
1.11	Race Management Team Welfare	Ensure race management volunteers are equipped for the event..

### 2. Communications

2.1	Notice of Race.	Specify conditions and safety requirements to competitors.
2.2	Sailing Instructions/Amendments.	Include compliance with Harbour Byelaws.
2.3	Safety Briefing.	Safety briefing to competitors.
2.4	Competitors' Shore Contact.	Record details of all crew members on board.
2.5	Shore Signals.	Race Signals as provided under RRS.
2.6	VHF Radio Announcements.	Designated VHF channel for announcements.
2.7	Communication with Authorities.	Port Control.
2.8	Mobile Telephones and VHF	Communication with race management and coastguard
2.9	International Collisions Regulations	For right of way between racing and non-racing traffic.

### 3. Control Measures before start

3.1	Safety inspections.	Spot checks of on-board safety equipment.
3.2	Marshalling and Patrol boats	Safety craft for traffic control during starts and at finish.
3.3	Competitor Marshalling Areas	Designated areas for waiting in event of traffic.
3.4	Postponement/suspension of Starts	In the event of commercial or other traffic movements.
3.5	Length of Starting Line	Matched to competitors no's as per RYA recommendations.
3.6	Ferry Traffic	Check ferry times on race date to avoid traffic clash.

### 4. Additional Control Measures after start and during race

4.1	Abandonment.	In the event of adverse weather or other factors.
4.2	Shortening course.	In the event of lack of wind or other factors.

4.3	Race Observers.	Observers on shore at strategic locations.
4.4	Escort vessels	Club members or other vessels.
4.5	Monitoring of wind/sea conditions	By communication with observers and escort vessels.

**5. Additional Control Measures at Finish**

5.1	Finish Line Length	Matched to number/size of competing boats.
5.2	Retirement monitoring.	Reporting by boats retiring or tally system.
5.3	Harbour Patrol	Patrolling of finishing area.
5.4	Race Declaration	Boats sign in after race to monitor all finishers.
5.5	Use of Engine	Boats to clear line after crossing the finishing line

**6. Special Control Measures**

6.1		
6.2		
6.3		

## **Appendix 3**

This Small Event model again is different in structure to the Major and Medium Event models, not including a formal risk assessment, since by definition there will be little or no impact on other harbour users, and minimal risk to non-participants.

Clubs are however reminded of their general Duty of Care in the management of races, training sessions or other events, and in particular to the guidance booklets referred to on Page 3.

## Port Marine Safety Risk Assessment

## Small Event Notification

<b>Event:</b>	
Organising Authority:	
Chief Race Officer:	
Operating Period:	
Operating Area:	
VHF Channel(s):	
Committee Callsign:	
CRO Mobile Phone Number:	
Club Telephone No:	
PMS RA Prepared by:	
Supporting Documents:	Club Fixture Card, Notice of Race

Date(s) of Event:	
Event Website:	
Email:	
Number of Boats:	
Type or Design:	
Authorities Informed:	

## Sketch of Operating Area

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For more information kindly contact the RYA Legal Team on 0844 5569519 or [legal@rya.org.uk](mailto:legal@rya.org.uk)

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Mep[Leaflets/ Clubs/Duty of Care/Guidance Notes on Risk Assessment for Events in Harbour Authority Areas]