

LOGO

COMPANY NAME

## Safety Management System

# Safety Management Plan

Version #:      Template  
Last Amended:

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## Document History

Version	Amendments made	Approved / Date
1	Initial development	Mark Smith

## Availability

This Safety Management Plan is the property of **Company Name**.

Hard or electronic copies will be made available to all workers, other PCBU's, and interested parties.

## Document and Version Control

The current (and master) version of any safety management system (SMS) document is the version accessible in **Company Name's Dropbox folder**.

All safety management system documents:

- Include a footer identifying the document title, version number, page number, and number of pages.
- Are uncontrolled once printed
- Are password protected to limit unauthorised changes or deletion.
- Are backed up via **Dropbox**.
- Are archived once obsolete – being clearly marked as such and retained in a folder marked archive. Archived copies and other safety related records are kept for 5 years.

# Company Name

## Health and Safety Policy

**Everyone returns Home Happy, Healthy & Whole**

(No Serious Injuries for operations through the year)

### We Believe that:

- No business objective should take priority over health and safety.
- We all have responsibility for health and safety.
- All incidents are preventable.

### We are Committed to:

- Ensuring the health and safety of all our staff, clients and the public.
- Developing, maintaining and continually improving our health and safety management system.
- Providing a healthy and safe work environment, safe equipment and proper materials.
- Identifying hazards and unsafe behaviours, and taking all reasonably practicable steps to manage serious risks and prevent notifiable events.
- Engaging and consulting with staff, contractors and suppliers to ensure they have the training, skills, knowledge and resources to maintain a healthy and safe workplace.
- Supporting the safe and early return to work of injured employees.
- Accurately reporting and learning from incidents.
- Having emergency plans and procedures in place.
- Complying with relevant legislation, regulations, codes of practice and industry standards.

### Health and Safety Objectives – 2024/2025

By:

1 Review & improve Safety Induction process & records	End Sept 24
2 Implement Safety Culture survey's – 2x/season	24/25 season
3 Improve frequency of field reviews / monitoring – min 1/month	End Apr 25

Signed:

Safety Manager:

Date:

General Manager:

Date:

# 1. Introduction to the Safety Management System

## Company Names Business, Activities and Scope

Established in 20xx, Company Name is a privately owned limited liability company based in Xxxxx. Services are provide throughout New Zealand and include:

- xx
- yy

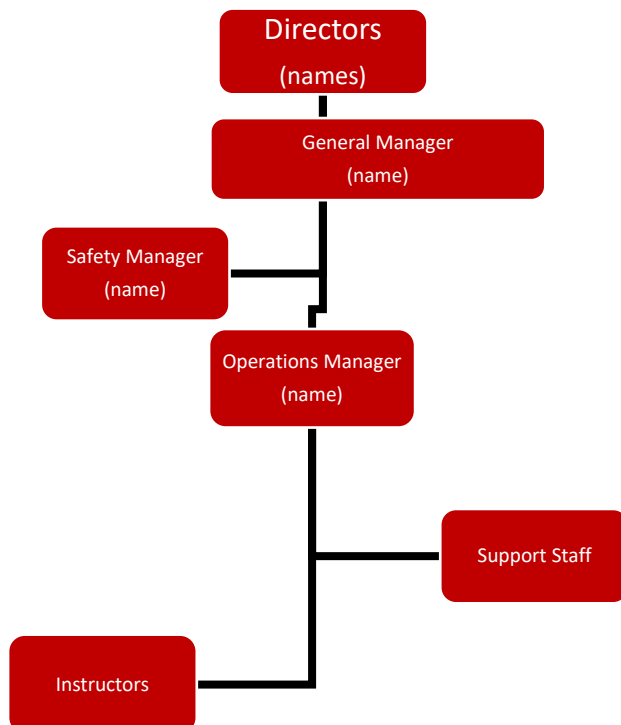
Activities covered by the HSWA (Adventure Activities) Regulations are:

- High Ropes Course - throughout NZ
- Rock Climbing – Port Hills only
- Ancillary services could include on road transport and campsite cooking (as per WorkSafe advisory)

Company Name has an office and gear shed in suburb, city. The office provides a base for programme administration and bookings and is a contact point for staff.

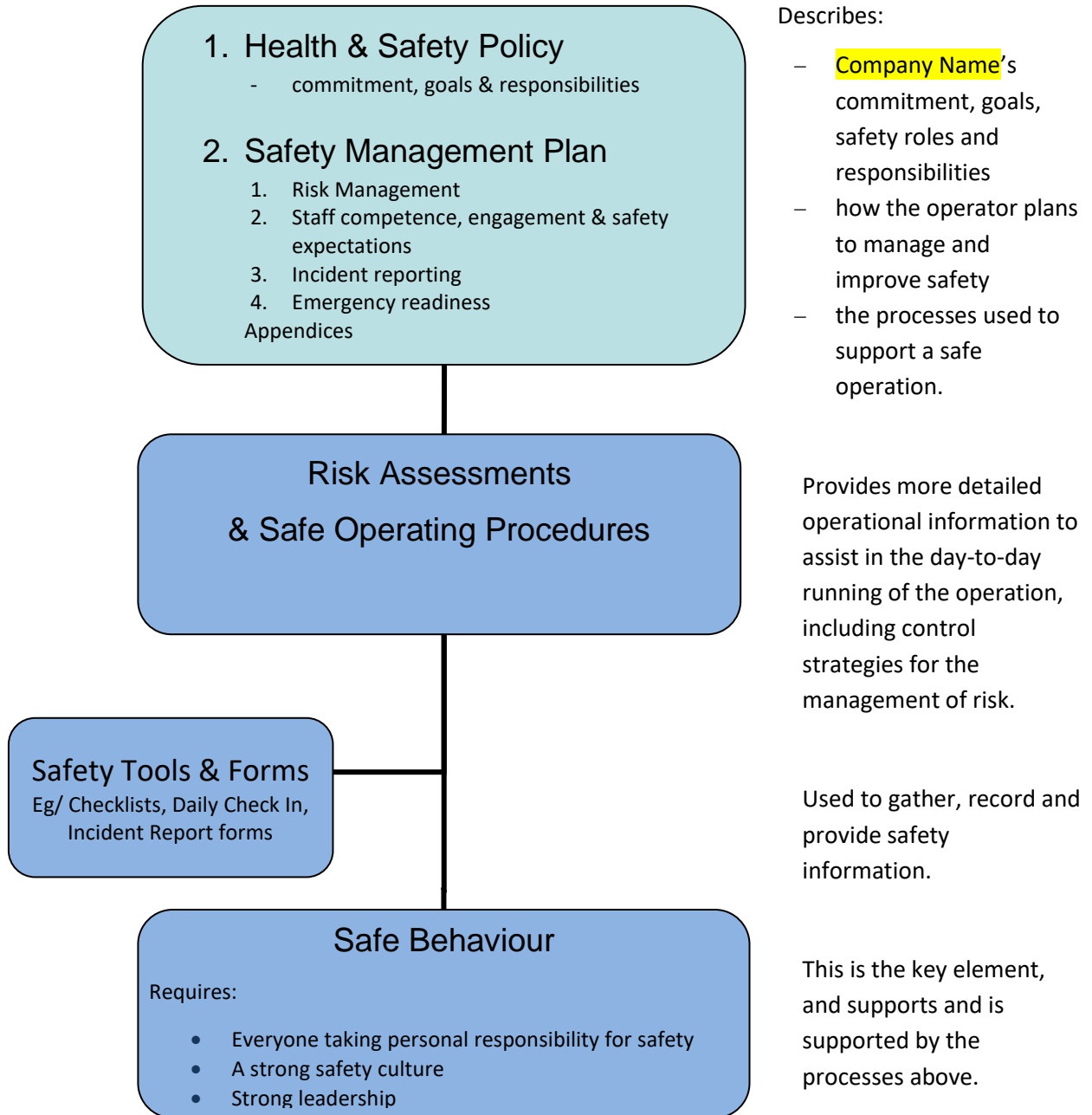
## Company Name's Structure

Company Name is owned by xxxx. The business employs some management staff, while others are contracted to develop, administer, and deliver a variety of programmes. New staff inductions tend to happen seasonally.



## Company Name's Safety Management System

Company Name's safety management system has been prepared to enable Company Name to achieve its goals in a safe manner, and to comply with NZ's Health and Safety at Work Act 2015, and all other relevant legislation. It comprises:



## Safety Roles and Responsibilities

**Company Name** recognises the importance of clear responsibilities and accountability for maintaining a healthy and safe workplace.

### The Board of Directors (the PCBU<sup>1</sup>)

The **Board of Directors** has the primary duty of care for the health and safety of workers and others (including clients) at **Company Name**. The PCBU must ensure the health and safety at the workplace of all workers and other people, by ensuring they are not put at risk from work being carried out.

The PCBU must as far as practicable, provide:

- A safe and healthy environment, work systems and facilities for workers.
- The information, training, supervision and monitoring necessary to protect everyone from health and safety risks arising from their work.
- Resources to establish, maintain and continually improve the safety management system.

As 'an Officer of a PCBU', each **Board Member** must exercise due diligence to ensure that the organisation meets its health and safety obligations. This includes taking reasonable steps to:

- Know about current work health and safety matters.
- Verify that safety processes are effective and being used.
- Understand the risks associated with operations and make sure there are resources and processes for managing risks.
- Ensure there are processes for receiving, reviewing and responding to safety information.

### Safety Management Responsibilities

The **General Manager** must:

- Maintain a constant interest in health and safety matters, as applicable to **Company Name's** operations.
- Provide adequate support and resources to maintain and improve safety systems and standards.
- Recruit and employ staff with the relevant competence, and safety related attributes, for their role.
- Encourage worker participation and engagement in health and safety matters.

The **Safety Manager** is responsible for overseeing the development and implementation of **Company Name's** health and safety system and ensuring that it plays an integral part in day-to-day operations. They must ensure that:

- Health and safety expectations, including policies and procedures are clearly communicated to, and followed by, staff, contractors and others

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<sup>1</sup> 1. The Directors have PCBU responsibilities as a 'Board of Directors' entity, and 'Officers' responsibilities as individuals.

- Staff understand the importance of effective safety management and:
  - Perform relevant safety tasks and processes (including risk identification, incident reporting etc).
  - Are promptly informed of any changes to operational policies and procedures.
  - Are engaged in the development and implementation of health and safety policies and procedures.
  - Are monitored against, and receive training appropriate to, their assigned roles and responsibilities.
- All incidents (including concerns about safety) are accurately recorded, reported and properly investigated.
- **Company Name** complies with, the NZ Health and Safety and other relevant legislation, regulations, codes of practice and standards.
- Regular reviews, and external audits, of the safety management system are carried out.
- The **General Manager** receives timely and accurate information about safety matters.
- Strong safety leadership fosters and supports a strong safety culture.

#### **All workers (Guides, contractors and volunteers)**

Are expected to:

- Take full responsibility for safety management, and take any action required to ensure the level of risk is kept at an appropriate level.
- Take reasonable care for their own health and safety; and ensure that their behaviour does not adversely affect the health and safety of others.
- Cooperate with **Company Name's** health and safety policies or procedures, and comply with any reasonable instruction to comply with legal requirements.
- Take all practicable steps to identify, assess and manage risk.
- Report any health and safety concerns (eg/ unsafe work conditions, practices or equipment), and all incidents, as soon as it is practicable.
- Assist in the investigation of incidents so as to prevent recurrence.
- Be prepared to respond appropriately in an emergency situation.

#### **Clients (and other people in the workplace)**

Are expected to:

- Take reasonable care for their own health and safety
- Take reasonable care that their acts or omissions do not adversely affect the health and safety of other persons
- Comply, so far as reasonably able, with any reasonable instruction that is given to them by **Company Name** or its staff.

## 2. Risk Management

**Company Name** uses a systematic process to identify, assess and manage risks:

### Identify - what could go wrong? why this would happen?

New and existing risks are identified through:

- a) Trip/activity planning processes
- b) Checking routes, venues, and environments
- c) Safety discussions
- d) Expert input and/or consulting good practice guidance
- e) Audits and inspections
- f) Reporting and reviewing incidents

And are documented - eg by using Risk Assessment forms, Trip Plans and Daily Brief/Debrief forms.



### Assess – which risks need to be managed?

The potential consequence (degree of harm), and likelihood of occurrence, of each risk is assessed using the Risk Rating Matrix (next page) to help identify which risk(s) to focus on.



### Manage – develop controls for each risk

Risks are eliminated so far as is reasonably practicable, but if they can't be eliminated, then they are minimised as far as is reasonably practicable. Controls are communicated (using Risk Assessment forms and/or SOPs and implemented. Controls may include (and are not limited to) requirements of staff, training, equipment, and emergency procedures.



### Monitor and Review – are the control measures working?

The effectiveness of risk management control is regularly reviewed, including by activity reviews, site and equipment checks, management observations, audits and inspections, considering feedback, reviewing incidents, and keeping up to date with good practice.



## Risk Rating Matrix

Once identified, risks are assessed for potential consequence (degree of harm), and likelihood of occurrence, to identify which ones to focus on. Resulting in a matrix:

Consequence of injury/harm Likelihood of injury/harm	<b>Insignificant</b> Minor injury, onsite 1st aid	<b>Minor</b> Injury requiring medical attention eg Dr or 24hr clinic	<b>Moderate</b> Immediate medical treatment eg ambulance / ED	<b>Major</b> Serious injury / hospitalization / permanent disability	<b>Catastrophic</b> 1 or more fatalities
<b>Almost certain</b>	Medium	High	Extreme	Extreme	Extreme
<b>Likely</b>	Low	Medium	High	Extreme	Extreme
<b>Possible</b>	Low	Medium	High	High	Extreme
<b>Unlikely</b>	Low	Low	Medium	Medium	High
<b>Rare</b>	Low	Low	Low	Medium	High

Where:

Likelihood Levels	Description
Almost Certain	Expected to occur at least once during the task/activity.
Likely	Could occur during the task/activity.
Possible	Conceivably could occur, but only expected infrequently.
Unlikely	Could happen, although only in unusual circumstances.
Rare	Conceivably could happen but in exceptional circumstances.

Severity Level	Description
Insignificant	No or very minor injury or illness that requires onsite first aid. Temporary stress or embarrassment. Minor or no damage to facilities or equipment. Little or no environmental, financial, reputational or operational impact.

Minor	Injury or illness requiring attention by medical professional, eg medic, GP or 24-hour clinic. Stressed beyond comfort level. Wants to leave activity. Isolated and quickly repaired damage to facilities or equipment. Some environmental, financial, reputational, or operational impact.
Moderate	Injury or illness that requires immediate medical treatment or hospitalisation (with no permanent disability). Very distressed. Requires onsite counselling or support. Doesn't want to participate in activities. Damage to facilities or equipment resulting in temporary inability
Major	Serious injury or illness to one or more people, resulting in hospitalisation and possible permanent disability. Therapy or counselling by a professional may be required. Sustained or extensive damage to facilities or equipment. Extensive environmental, financial, reputational, or operational impact.
Catastrophic	One or more fatalities. Post-traumatic stress disorder. Long-term counselling / therapy is likely to be required. Loss of facilities or equipment. Significant and widespread environmental, financial, reputational, or operational impact.

Depending on the identified risk level, the following course of action must be followed:

Inherent Risk Level		Action Required
Low	Little chance of harm/damage	Accept - continue, manage risk & monitor through regular processes.
Medium	Some chance of an significant incident	Accept – but apply controls to minimise risk as far as reasonably practicable.
High	Likely chance of a significant incident	Modify - apply controls to minimise risk as far as reasonably practicable.  Ensure people involved understand and accept residual risk.  Management approval required before you continue.
Extreme	High chance of a serious incident resulting in life-changing harm	Reject – Intolerable.  Stop, find an alternative!

NB: Assessing risk is not an absolute science:

- Multiple sources of information will help to derive a best estimate
- The people on the ground often understand what the risks are
- It is best considered by a team approach to achieve consensus.

### 3. Staff<sup>2</sup> Competence, Engagement, & Safety Expectations

All **Company Name**'s 'staff' will have the necessary competence (skills, knowledge, experience), and/or be appropriately qualified to perform their work safely. If they are not competent to work alone they will be directly supervised.

All workers will receive appropriate health and safety training including:

- As part of initial employment
- Appropriate challenge induction processes
- Regular emergency response training.

#### Staff Training and Records

##### Roles and Records

Records are kept of staff competency and qualifications, all training (including induction) and staff information (contacts, next of kin and medical information).

##### Staff Training (including Induction)

All new staff will take part in an induction process during the first weeks of employment, which includes an introduction to the relevant parts of the Safety Management System.

Regular staff training includes practical skill development, and training in risk management, safety management systems, and emergency responses. Training is documented, reviewed, and evaluated for effectiveness.

#### Engagement

**Company Name** workers have significant knowledge and expertise about the risks and hazards involved in their work, and can make the most significant contribution to improving health and safety.

**Company Name** will support and engage with all staff about health and safety matters in order to increase awareness and draw on their knowledge and experience.

Regular engagement processes will include:

- Pre-start and daily brief/debrief meetings that focus on safety matters at the start of each challenge/section/day.
- Health and safety as a key agenda item at management, planning, and other meetings.
- Safety updates – notices to alert staff of new risks or changes to operating practice.
- Staff involvement in safe work planning, and task and incident review processes.

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<sup>2</sup> Staff are referred to in NZ HSAW Act as 'Workers' – any individual who carries out work in any capacity for a PCBU, including as an employee, a contractor, a subcontractor, an employee of a contractor, an apprentice, or a volunteer. Both terms are used throughout this document.

## Safety Expectations

### Safety First

The safety of all staff and other people is paramount. **Company Name** staff are expected to take any action required to ensure the level of risk is kept at an appropriate level. All staff are expected to take full personal responsibility for safety management, eg in a situation where opinions differ, it is expected that the more conservative course of action will be followed.

### Right to Refuse Work

**Company Name** recognises a staff member's right to refuse to work if they believe it is likely to cause them serious harm. The worker must immediately inform management of their reasons for refusal and shall enter into discussions in an effort to resolve difference in good faith.

### Safety Concerns or Complaints

All workers can raise any safety concerns at any time – either through direct discussions with their manager or by using the 'Safety Update' process. The safety concern/complaint will be documented and treated as an incident, until satisfactorily closed out.

### Fit for Work

Fit for work means that a staff person is physically and mentally able to perform their tasks competently and in a manner which does not compromise the safety or health of themselves or others.

Fitness for work can be impaired by fatigue, illness, psychological and emotional issues, and alcohol and drugs.

- Staff should be aware of these hazards, and when issues are developing be able to recognise the relevant symptoms in themselves and in others.
- Staff should be aware of the responses expected of them, and are expected to intervene if something is compromising any staff person's ability to perform their role safely.

Where high risk environments mean that impaired performance could directly affect the safety of self or others, staff will be expected to participate in an alcohol and drug testing programme.

### Personal Protective Clothing and Equipment (PPE)

Where PPE is required, appropriate clothing and equipment will be made available. If staff prefer to use their own PPE it must be of suitable standard, in good working condition and within its 'safe working life'. It will be inspected and documented regularly.

## Other PCBU's, including Contract Providers




Whenever two organisations (PCBU's) work with each other, there is a potential for overlaps, gaps, or uncertainty regarding safety responsibilities. The Health and Safety at Work Act 2015 requires both parties to consult, cooperate, and coordinate activities to make sure that we meet our shared responsibilities.

**Company name** will ensure that other PCBUs:

- Enter into an agreement that clarifies who is responsible for implementing and supervising all health and safety requirements while company name's clients are within their care.
- Provide details of their safety management systems – including risk management, staff competency and records of health and safety performance.
- Are registered with WorkSafe NZ where required by the HSAW (Adventure Activities) Regulations 2023.
- Abide by the policies and procedures contained in this plan.
- Are given appropriate information regarding the operation/activity, client profiles, and health information
- Are informed of hazards they may be exposed to and relevant emergency procedures.
- Communicate with all other parties on a timely basis.

## 4. Incident Reporting

### Incident Reporting Process

<p><b>1. Report</b></p> <ul style="list-style-type: none"> <li>All incidents are reported and are then classified according to severity/potential severity of the outcome. Incidents that:             <ul style="list-style-type: none"> <li>caused harm of severity rating 3-*,</li> <li>were near misses with potential severity of 3-*,</li> <li>and any others** as required,</li> </ul>             are documented on an '<u>Incident Report</u>' form as soon as practical.</li> <li>Notifiable events are reported to <b>company name</b> &amp; then the regulator***.</li> </ul>	<p>Notes:</p> <p>* See 'Severity Ratings' on next page</p> <p>**Safety concerns or complaints raised by staff or other parties will be documented and followed up via the incident review process</p> <p>*** See 'Definitions'. The regulator must be notified by as soon as possible (WorkSafe 0800 030 040). Meanwhile, the scene should not be interfered with.</p>
	
<p><b>2. Review</b></p> <ul style="list-style-type: none"> <li>All documented incidents are reviewed to identify the underlying causes responsible for the event, and to try to prevent re-occurrence.</li> </ul>	<p>***It is <b>company name's</b> responsibility to ensure that this process takes place.</p> <p>The people involved in / or managing the incident, should be involved. For all major incidents a detailed investigation will be completed within 72 hours. An external facilitator may be used.</p>
	
<p><b>3. Action</b></p> <ul style="list-style-type: none"> <li>When a review identifies a risk that is not adequately controlled, immediate action is taken.</li> <li>The risk management process is used to identify appropriate controls.</li> <li>Any follow up actions required are recorded on the '<u>Incident Report</u>' form, and signed off once completed.</li> </ul>	
	
<p><b>4. Communicate</b></p> <ul style="list-style-type: none"> <li>The Safety Manager will ensure relevant details of each incident are communicated as soon as is practical after the event.</li> <li>Any changes to procedures are incorporated into SOPs and communicated to staff through Safety Updates.</li> </ul>	<p>Review outcomes are shared to ensure everyone has an understanding of the incident, can identify the causal sequence, and describe ways to prevent reoccurrence in the future.</p>

### \*Severity Rating

Incident severity is rated, and reporting requirement decided, according to:

Severity	Injury	Illness	Social /Psychological	Impact /Damage	Action
5	Scrapes, bruises, minor cuts (1 <sup>st</sup> Aid only)	Minor cold, infection or allergic reaction	Temporary stress or embarrassment	Minor / short term impact	<b>Report incident Internally</b>  (Use 2 pager Incident Report if Actual harm/damage)
	Minor sprain, dislocation or fracture. Mild concussion. Cold / heat stress.	Migraine, upset stomach, diarrhoea/vomiting (food related), fainting, stressed	Stressed: shown up in front of group / wants to leave / a lot of work to bring back in	Damage <\$200 & easily repaired Damage \$200 - \$500 Moderate impact	
4	No Threat to Life &/or referred to GP or After-hours clinic				
	Loss of bodily function (incl limb movement). Serious burn, laceration or skin separation. Loss of consciousness.	Serious medical emergency/illness as a result of work eg infection, anaphylactic reaction	Very distressed, leaves activity, unwilling to participate ever again.  Professional therapy / counselling required.	\$500 - \$1000 damage &/or requires replacement  Major impact  Damage \$1,000+	
3	Requires immediate hospital treatment (ED)  Likely Threat to Life				
	Amputation, spinal or serious head injury	Major medical emergency, eg heart attack	Long term counselling / therapy required	Life Changing effect	
2	Immediate Threat to Life and/or requires hospital admission		Post-traumatic Stress disorder		
	Fatality or fatalities			Catastrophic	
1					
0					

### \*\*\*Notifiable Events

Where a death, notifiable illness or injury, or a notifiable incident occurs as a result of work

**Company Name** must:

- Take all reasonable steps to ensure the site of the notifiable event is not disturbed until authorised by an Inspector

- Ensure that the regulator is notified as soon as possible after it becomes aware of a notifiable event occurring, and must use the fastest means possible – 0800 030 040 or [healthsafety.notification@worksafe.govt.nz](mailto:healthsafety.notification@worksafe.govt.nz) or online [www.worksafe.govt.nz](http://www.worksafe.govt.nz)

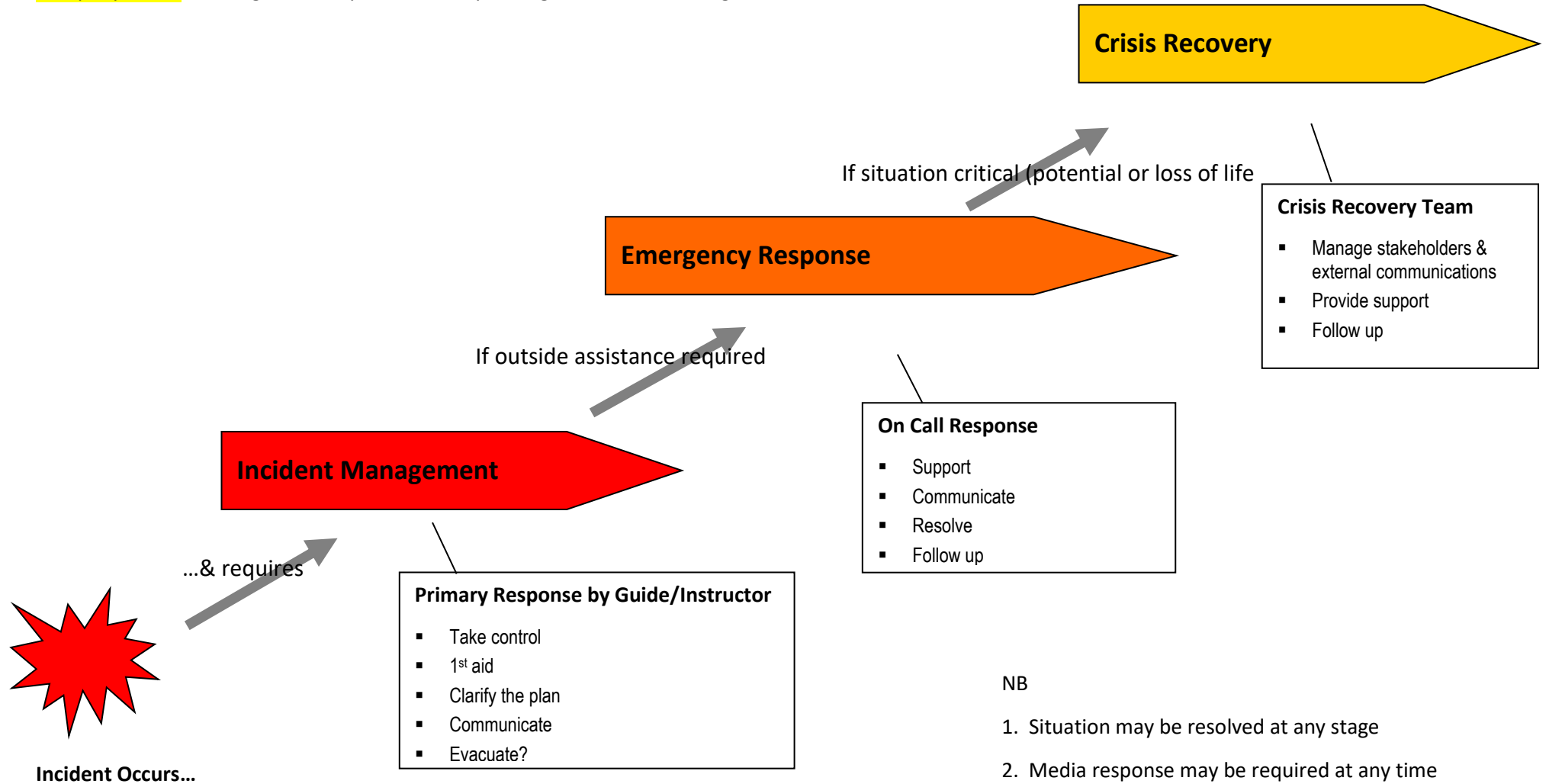
### Annual Review

All incident reports are reviewed regularly and annually to establish any common contributing factors. Where trends are identified, remedial actions are taken. The outcome of any review is communicated to all staff.



## 5. Emergency Response & Readiness

**Company Name** have a graduated process of responding to incidents, emergencies and crisis:



## Emergency Response Planning

The purpose of a structured emergency response is to:

- Preserve life and property, and prevent further loss in an emergency situation.
- Provide guidance for staff, so they know what to do in an emergency situation.

Emergency Response Plans are developed for office and field based incidents, and include procedures to be followed for (but not limited to):

- Serious injury (including death, or notifiable event/injury/illness)
- Rescue – where isolation, height, confined space, or other compromising environment is involved
- Severe weather event (could include flood, extreme wind, lightning)
- Security breach
- Fire
- Natural disaster - earthquake or tsunami.

and detail:

- How the alarm will be raised
- Action to be taken in an emergency
- Roles and responsibilities
- Emergency equipment and resources required
- Emergency services and 'out of hours' contact details
- A route plan showing the location of any major hazards, evacuation routes, emergency equipment and medical facilities.

When an event escalates to an emergency situation the relevant Emergency Response Plan shall be put into practice as soon as possible.

Emergency Response Plans will be known by staff, made available to other relevant parties, and displayed in a prominent accessible location.

### Roles in an Emergency

Staff will have differing responsibilities during an emergency, and these responsibilities may also change as an incident escalates. The following roles have been identified:

- 1st Responder - primary response by field staff (qualified 1<sup>st</sup> aider), eg **Lead Guide**
- Incident Manager – onsite and/or able to support if required, eg **On Call Manager**
- Directors – have sole authority for communication with the media.

### Emergency Response Preparedness

Whenever programmes are in progress:

- An 'On-Call Manager' will be identified, and be contactable
- The following equipment and information will be carried/available to:

a) Programme Staff

- First aid kit

- 'Incident Management Guide', including relevant contact names and numbers
- At least 1 effective means of communication – cell phone/VHF radio/EPIRB
- Client health and contact information

b) On-Call Manager

- Effective means of communication – cell phone
- Intentions information
- 'Emergency Response Guide', including contact names, numbers and/or addresses

c) Office/On line

- Trip plans and maps for each trip (and venue/route) in progress
- Client health and contact information
- 'Emergency Response Guide', 'Crisis Recovery and Media Response Plan's'

### Emergency Training and Review

All staff will be involved in the development of, and receive training and information in, relevant emergency procedures.

All new staff will receive emergency procedures information as part of their induction training.

Regular emergency training will take place, and wherever possible involve all staff, and include practice scenarios. This training is recorded.

Emergency procedures will be reviewed following training, practice and actual emergency events.

### Crisis Response

#### Objective

To look after well-being of (and provide support to) the people involved (staff, clients & others), to respond professionally and to protect the company reputation & brand(s) – NB: in that order.

#### Crisis Response Preparedness

The Directors, General Manager, Operations Manager and Safety Manager will have ready access to:

- Crisis Response Plan
- Media Response Plan
- Emergency Contact Details.

#### Crisis Response Plan

The Crisis Response Plan describes the steps involved in managing the recovery from a Crisis, including:

1. Forming the Crisis Response Team(s), and clarifying who does what
2. Setting up an on-site Crisis Response Centre
3. Sending a Crisis Response Team to assist on-site

4. Ensuring that appropriate follow up actions are undertaken
5. Determining readiness to return to normal operations.

### Media Response

Where any incident occurs how the media are dealt with can have significant repercussions on subsequent investigations into the cause of the incident and determination of liability.

- A Media Response Plan has been developed and should be used when necessary.

## 6. Review of the Safety Management System

**Company Name** recognises the need to continually improve health and safety systems and performance.

The following processes will support this focus on continual improvement:

- Internal reviews of activities and/or tasks:
  - including assessing processes, equipment and environments to identify risks and develop appropriate control measures
  - to ensure compliance to, and/or identify opportunities to improve, the safety management system
  - when prompted by audit findings, changes to the environment, changes in key staff, incidents and emergencies, changes in legislation, standards, codes of practice or similar
  - involving internal/external technical expertise (where appropriate)
- Ongoing monitoring of the operation and external environment to ensure that the safety management system remains up to date, and continues to comply.
- Regular review of the safety management system, including:
  - Reviewing policies and procedures in line with any changes to the operation/environment
  - Checking ongoing compliance to new and changing legislation, standards, codes of practice, and good practice guidelines
  - Reviewing the effectiveness of risk management processes
  - Analysing incidents (including safety concerns/complaints) and any incident trends
  - Reviewing emergency procedures
  - Reviewing health and safety goals and objectives.
  - Developing a Safety Action Plan to support improved safety performance.
- The review and/or external audit of safety management systems following any critical event and/or significant change in work practice.