SMP

Template

All Activities

Guide to the Safety Management Plan Template

Version 3

October 2017

This document provides additional guidance for adventure activities operators using the Safety Management Plan (SMP) Template The guide offers further detail and examples. It has been produced in consultation with WorkSafe New Zealand, and is published on the adventure activities sector website www.supportadventure.co.nz

There is additional safety guidance material on www.supportadventure.co.nz

Contents

About this Guide

Purpose

This *Guide to the SMP Template* has been developed to help adventure activities operators prepare a Safety Management Plan (SMP) that can fit within a Safety Management System (SMS). See page 4 for the components of an SMS.

The Regulations

The Health and Safety at Work (Adventure Activities) Regulations 2016 aim is to help people keep safe while engaged in adventure activities, and to protect New Zealand's reputation as a world-leading provider of adventure activities. The regulations require adventure activities operators to pass safety audits and become registered by WorkSafe NZ.

The Safety Audit Standard

WorkSafe NZ has published the [Safety Audit Standard for Adventure Activities](#) which sets out the requirements for an adventure activities operator's SMS.

A safety auditor must assess the extent to which an operator conforms to the standard.

Audits

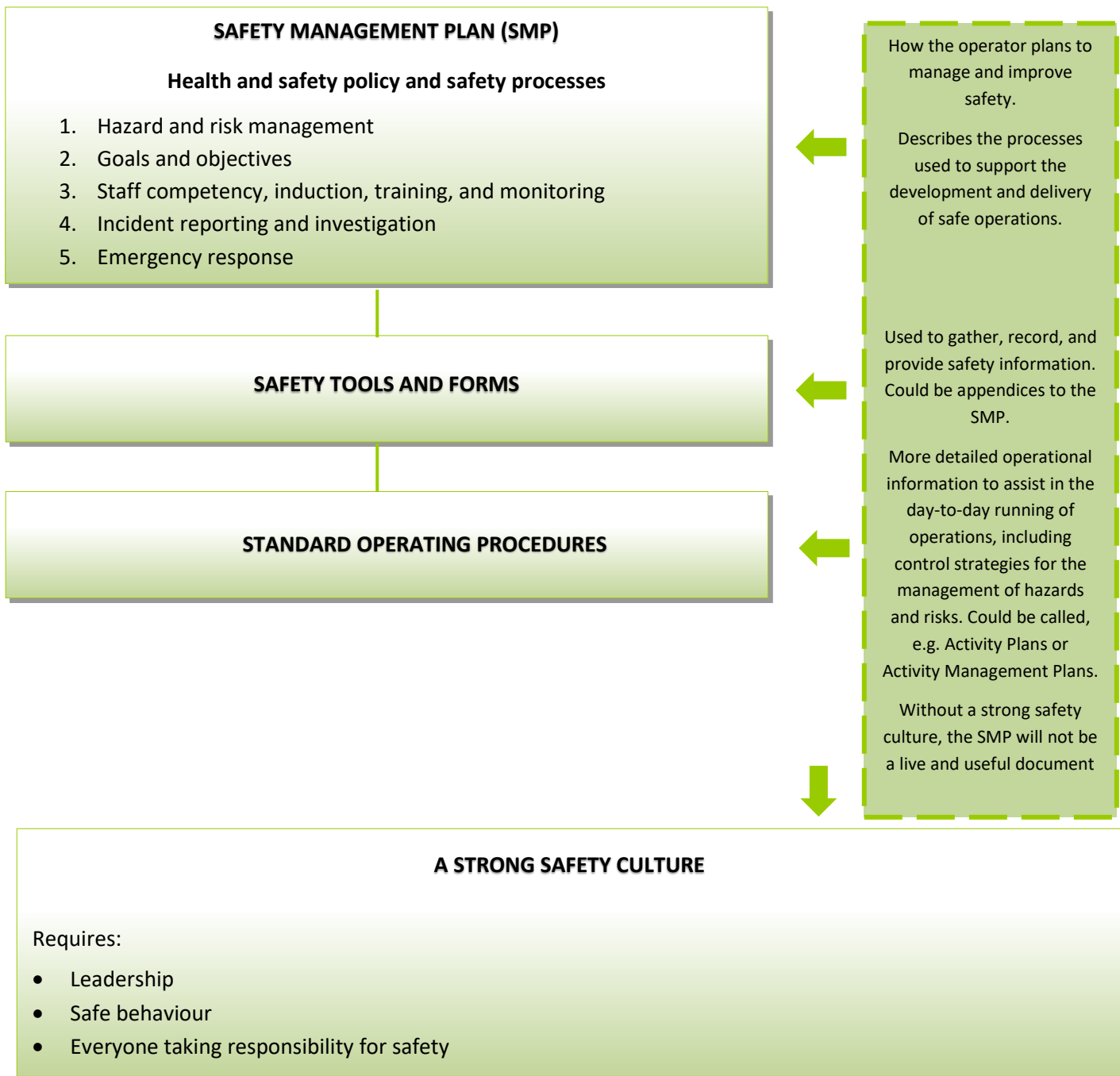Safety audits are performed by safety auditor providers recognised by WorkSafe NZ.

A safety audit conducted against the standard will involve a systematic review of the SMS documentation, discussions with relevant people, and observations of practice. To pass the audit, an operator must satisfy the auditor that their SMS and the management of their adventure activities conform to the standard, both in intention and in practice.

Safety Management System

An SMS is a documented management system for directing and controlling an operation in regard to safety. It could include:

- An over-arching commitment to focus and improve safety.
- Clear allocation of safety responsibilities.
- Hazard and risk management processes.

An SMS can be structured in various ways, but a common approach is to separate the policies from the operational procedures and forms, as indicated below.

SAFETY MANAGEMENT PLAN (SMP)

Health and safety policy and safety processes

1. Hazard and risk management
2. Goals and objectives
3. Staff competency, induction, training, and monitoring
4. Incident reporting and investigation
5. Emergency response

How the operator plans to manage and improve safety.

Describes the processes used to support the development and delivery of safe operations.

SAFETY TOOLS AND FORMS

Used to gather, record, and provide safety information. Could be appendices to the SMP.

STANDARD OPERATING PROCEDURES

More detailed operational information to assist in the day-to-day running of operations, including control strategies for the management of hazards and risks. Could be called, e.g. Activity Plans or Activity Management Plans.

Without a strong safety culture, the SMP will not be a live and useful document

A STRONG SAFETY CULTURE

Requires:

- Leadership
- Safe behaviour
- Everyone taking responsibility for safety

The template is for the Safety Management Plan, not the whole Safety Management System.

For guidance on developing Safe Operating Procedures (SOPs) or the various tools and forms an operator could use, see www.supportadventure.co.nz/safety-management-plans/structuring-your-plan/sops

How to use the template

The template is intended to help you develop an SMP to support the processes that you already have in place.

Where possible, you should replace parts of the template with whatever is more relevant to your operation. Ensure you delete the guidance notes that appear throughout, such as **[Refer to page 6 of the SMP Template Guide].**

You can choose to use as much of this guide and the template as you want, depending on whether you want to build an SMP from scratch or improve your current systems.

If you already have a SMP, then review it against the template, and pick and choose the parts you need. If you don't already have one, then start with the template, and review the entire text to ensure that it accurately represents the systems and processes that you use in your operation. If not, you will need to change it.

The template and guidance **do not provide**:

- Specific guidance on how to develop an entire SMS. It's expected that an operator will already have their operational processes in place, e.g. SOPs, hazard and risk management, and incident reporting and investigation.

- Specific guidance on hazards and risks and their control.

- The only way that the requirements contained in the Safety Audit Standard can be met. An SMS will differ from one operator to another due to the size and complexity of operation, and the type and range of adventure activities.

Note: Commonly, operators' SMPs are longer than necessary – be succinct.

Section 1 Document Control

Purpose

It's important that you document what you do in your operation. A good document management and control process enables people to be confident that they're using the current version —- not last year's or a copy that differs from what others are using.

Password protection and a reliable back-up method should ensure that:

- Your efforts don't get lost or deleted.
- An archival system provides a record of changes.
- You are efficient and accountable.

You need to

Use a simple system of version numbering, e.g. v1 – v2 for major reviews/changes, v1.1 – v1.2 for minor adjustments. Make sure you also update the version number on the cover page and in the footer.

Include brief notes on what has been changed.

Ensure there is sign off, that is, evidence that the version has been approved, and the date from which it's current.

Example

Version	Amendments made	Approved	Date
1.0	Initial development – in line with the requirements of the HSW Act, and the HSW (AA) Regulations Safety Audit Standard.	Sam Safe	1 Jan 2017
1.1	Change to Hazard and Risk Management, 5.4	Sam Safe	10 Mar 2017
2.0			

The current version of this document is the only version easily accessible on the server in the office.

Once printed, this document is uncontrolled.

All SMS documents:

- Include a footer that identifies the version number, the page number, and the number of pages.
- Are passwords protected to limit unauthorised change or deletion.
- Are backed up via iCloud.
- Are archived once obsolete, are clearly marked as such, and are retained either as paper copies only, or in an archives folder on the server. Archived copies and other safety-related records are kept for five years.

Section 2 Business Information

You need to

Include a thorough description of:

- What you do where and with whom, including what activities are covered by the Health and Safety at Work (Adventure Activities) Regulations 2016 and any ancillary (additional) services that you offer, such as catering or transport to the activity site.

- Why you are in business – also known as your business aims.

- The structure of your business, particularly staffing and who your top leadership is (Chief Executive or equivalent and all owners, directors, or partners).

- An overview that shows you understand your responsibilities regarding the safety of your staff, participants, and others.

Example

> **Description of business**
>
> Christchurch Sea Kayaking Ltd operates from a base in Sumner, Christchurch, and provides guided sea kayak tours, sea kayaking instruction, surf kayaking instruction, and bareboat hire to individuals and groups (school and adult). Lessons vary from beginner, intermediate, to advanced, and we also provide instructor and guide training.
>
> The primary operating area is Banks Peninsula, with regular locations including the Christchurch estuary, Lyttelton and Akaroa Harbours, and occasionally trips run to the Marlborough Sounds, Fiordland, and the high-country lakes.
>
> Activities covered by the Adventure Activities Regulations are:
>
> - Kayaking – open water
>
> Ancillary activities are:
>
> - Client transport by 12-seater Toyota Hiace.
> - Some retail sales of equipment.
>
> Refer to www.chchseakayaking.com for further information.

Business aims

Christchurch Sea Kayaking Ltd aims to introduce people to sea kayaking, or improve their skill level and confidence, and to do so in a safe manner.

Staff

Christchurch Sea Kayaking is owned by Sam Safe, who is the Managing Director.

The business employs 2 full-time staff and 3–5 part-time contract staff during the main operating season (September to April).

Parameters of responsibility

The owner of Christchurch Sea Kayaking Ltd recognises his responsibility to manage the health and safety of staff, participants, and visitors to the workplace. Given that the nature of the business includes providing services in areas open to the public, visitors to the workplace will include recreationalists near Christchurch Sea Kayaking's operations.

Christchurch Sea Kayaking will take all practicable steps to ensure the health and safety of their staff and customers, contract workers, and others.

Christchurch Sea Kayaking will ensure that all staff conform to the requirements of this SMP.

Section 3 Safety Management System

Purpose

This section explains how your entire SMS is structured. It should enable the user to understand how it all fits together and where this SMP fits in.

Your SMS will include policies, which are statements about commitment and intent.

The reasons for having a written health and safety policy are:

- To provide the starting point for developing your SMS.
- To state clearly the employer's commitment and support for a sound SMS.
- To identify safety goals and objectives.
- To allocate safety responsibilities.

You need to

- Describe the purpose of the SMS - why it has been developed.
- Explain how all your safety-related documents fit together – a diagram often helps people understand how things relate.
- Explain that your SMS is available for all staff and interested parties to view, and describe where they can access these documents.
- Involve your employees in developing your safety policies.
- Make sure your purpose and commitment is clearly stated and easily understood.
- Ensure it complies with current workplace practice and legislation.

Example

> This SMS has been prepared to enable Christchurch Sea Kayaking achieve its goals in a safe manner, and to comply with health and safety legislation and any other relevant legislation.

SAFETY MANAGEMENT PLAN

Health and Safety Policy (includes goals and responsibilities) and safety processes

1. Hazard and risk management
2. Goals and objectives
3. Staff competency, induction, training, and monitoring
4. Incident reporting and investigation
5. Emergency response

How Christchurch Sea Kayaking plans to manage and improve safety

Describes the policies used to support the development and delivery of safe operations.

SAFETY FORM & TOOLS

Used to gather, record and provide safety information

STANDARD OPERATING PROCEDURES

Depending on the type of operation, these could be generic (across all operations), activity or programme specific, or site specific

More detailed operational information to assist in the day-to-day running of operations, including control strategies to manage hazards and risks

A STRONG SAFETY CULTURE

Requires:

- Leadership
- Safe behaviour
- Everyone taking personal responsibility for safety

This is the key element, and both supports and is supported by the policies and procedures above

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Availability

The master copy and a hard copy of the SMS are kept in the Christchurch Sea Kayaking office at:

> 1 Sea View Street
> Sumner
> Christchurch

These documents are available to all employees, contractors, customers, and other interested parties.

Example

Sam Safe is responsible for the SMS.

Christchurch Sea Kayaking is committed to:

- Preventing harm to staff, customers, and visitors.

- Complying with health and safety legislation.

- Continually improving health and safety management.

- Taking all practicable steps to ensure the health and safety of staff, customers, and visitors.

In meeting these commitments, the management of Christchurch Sea Kayaking will:

- Provide a healthy and safe workplace, including safe equipment.

- Identify and manage all hazards and risks.

- Establish and insist on safe practices at all times.

- Report and record workplace incidents.

- Comply with all relevant legislation, regulations, and codes of practice.

- Involve staff in developing health and safety systems.

- Invite feedback on, and regularly review safety systems and performance, to continuously improve health and safety management.

- Require all staff to take personal responsibility for safety.

Health and safety goal

Purpose

Clear goals provide direction and motivation. An overarching safety goal provides a clear sign to staff and participants of what standard of safety is expected.

Example

Health and safety goal

Our goal is to achieve a no notifiable event record for operations each year.

Safety objectives

Purpose

More specific safety objectives should be developed on a seasonal or annual basis with representation from management and staff. These objectives should be based on opportunities for improvement that have been identified from the previous seasons or year's operation. Safety objectives should be structured using the SMART method (Specific, Measurable, Achievable, Realistic, Time-bound), e.g:

- Reduction of incidents, e.g. no incidents when students are involved in independent travel.
- Staff training objectives, e.g. gaining nationally recognised qualifications.
- Improvement of equipment, e.g. replacing assisted belay devices with devices with a locking mechanism.

Example

The following safety objectives have been identified as part of our Annual Safety Improvement Plan:

Objective	Measured by
1. Reduce number of high-severity surf kayaking incidents	Fewer than 3 incidents by 30 April 2018
2. Increase number of staff with advanced first aid qualification	5 staff with current a PHEC qualification by 30 April 2018

Approved:

S Safe

Sam Safe

Christchurch Sea Kayaking

Managing Director

Date: April 2017

Responsibilities

Purpose

Being clear about responsibilities will ensure that all tasks to manage health and safety are allocated, and everyone should know who's responsible for what.

You need to

- Allocate responsibilities, recorded in the SMS, to the people who have the knowledge and skills to make the SMS effective. Discuss responsibilities with employees, ensuring that each person understands their role, and that it aligns with their job description.

- Consider whether you have any overlapping responsibilities with another PCBU, e.g. a farmer whose land you work on or a school who contracts you, and record your understanding with that PCBU regarding who is responsible for what and when.

Examples

Christchurch Sea Kayaking recognises the importance of clear responsibilities and accountabilities for maintaining a safe workplace. Employers, employees, and contractors all have legal obligations, including health and safety obligations. More detail is provided in specific job descriptions.

Management responsibilities

Sam Safe has ultimate responsibility for health and safety by:

- Maintaining a constant interest in health and safety matters, including by requiring and reviewing regular reports on safety performance.

- Ensuring that the importance of effective safety management and conformance to the SMS is communicated to staff, participants, contractors, and other relevant people.

- Providing resources to establish, implement, maintain, and continually improve the safety management system.

- Ensuring that Christchurch Sea Kayaking complies with the HSW Act, the HSW (Adventure Activities) Regulations, the Safety Audit Standard for Adventure Activities, and other relevant legislation.

- Setting and achieving specific health and safety goals and objectives, which will take into account: hazards and risks, technology and usage options, financial, operational, and business requirements, and the views of staff and relevant other parties.

- Involving staff in developing, implementing, and reviewing health and safety goals, objectives, policies, and procedures.

- Incorporating health and safety as an element in job descriptions and as a measurable outcome of an individual's performance appraisals.

- Expecting all staff to share the responsibility for meeting health and safety requirements and maintaining ongoing accountability through the roles and responsibilities defined below.

- Recruiting and employing staff with the relevant qualifications/competency, and safety-related attributes, for their job

Sam Safe (Safety Manager)

Sam is responsible for developing and implementing the SMS, and ensuring that it plays an integral part in day-to-day operations. This includes:

- Providing leadership and direction in matters of health and safety.
- Ensuring that Christchurch Sea Kayaking meets all its obligations under the HSW Act, the HSW (Adventure Activities) Regulations, and other relevant legislation.
- Ensuring compliance with the requirements of the Safety Audit Standard for Adventure Activities.
- Maintaining up-to-date information on changes to health and safety legislation, regulations, codes of practice, and guidelines.
- Establishing, monitoring, and achieving health and safety goals and objectives.
- Reviewing, evaluating, and reporting on the performance of the SMS.
- Developing staff commitment to achieving excellent health and safety standards.
- Ensuring that staff understand health and safety management relative to their position.
- Ensuring that staff receive appropriate training, and are involved in the continual development of the SMS.
- Ensuring that staff are promptly informed of any changes to operational policies and procedures.
- Monitoring staff performance in relation to assigned safety responsibilities and delegations.
- Ensuring that any complaints or concerns raised regarding safety are dealt with according to our process.
- Ensuring that hazards are identified that could cause serious risks and that there are appropriate controls.
- Ensuring that all incidents are accurately recorded, reported, and properly investigated.
- Ensuring that systems are in place and in order, and all staff can respond to potential emergency situations.
- Supporting the safe and early return to work of injured employees.
- Arranging the regular review, and external audit of safety management and emergency response systems.

Lead Guide

The Lead Guide is responsible for the effective implementation of the SMS within the sea kayaking activity by:

- Providing strong safety leadership to foster and support a strong safety culture.
- Encouraging everyone to take a personal responsibility for safety.
- Ensuring that a strong focus is retained on hazard and risk management out in the field.
- Ensuring that guides perform relevant safety tasks and complete safety processes, e.g. hazard and risk identification, intentions, equipment checks, and incident reporting.
- Ensuring that safety is discussed before and after programmes (and regularly during longer programmes).
- Monitoring and supporting staff to operate at or above current good practice standard.
- Ensuring that safety performance is a part of the annual review and regular appraisal processes.
- Coordinating staff training and professional development.
- Providing adequate support and resource so that safety systems and standards are maintained and improved.

Seasonal Guides

- Seasonal guides are expected to:
- Follow all safety management policies and procedures.
- Take such care as is reasonable and in accordance with sound professional practice.
- Take any action required to ensure the level of risk is kept at an acceptable level.
- Take all practicable steps to identify, assess, and manage hazards and risks.
- Report any unsafe work conditions, practices, or equipment as soon as possible.
- Report incidents and assist in their investigation if they are high severity incidents.

Section 4 Planning for Safety

Purpose

This section identifies how you are going to ensure your SMS is up to date.

An Annual Safety Calendar can provide an overview of all the regular safety actions that need to be done, while an Annual Safety Improvement Plan (an action plan) can help guide the development of your SMS.

Ongoing maintenance and review of your SMS is critically important – the processes identified here should ensure that you stay on top of what is happening in your business, as well as being in touch with what is going on in the sector.

You need to

- Identify what safety actions will comprise your annual safety calendar.
- Develop an action plan for improving your SMS.
- Consider how you will maintain and review your SMS.

Start with the actions, maintenance, and review processes identified in the template.

Example

Annual Safety Calendar

Management will plan for the following safety actions each year:

- Staff induction – new staff
- Staff training – new and returning staff
- Regular safety communication (safety updates and safety meetings)
- Emergency response practice
- Equipment checks
- Safety reviews – activity based, post programme and/or post season (as below)
- Annual review of SMS (as below)
- External safety audits (as below)
- The development of an Annual Safety Improvement Plan.

Maintenance and Review of the SMS

Christchurch Sea Kayaking recognises the need to continually improve health and safety systems and performance. The following processes will support this focus on continual improvement:

Regular assessment of work processes, equipment, and environments to identify hazards and risks, and develop appropriate control measures.

Review of safety management processes following any critical event and/or significant change in work practice.

We'll conduct an internal review of activities:

- To identify opportunities to improve the SMS.
- When prompted by audit findings, changes to the activity, sites, hazards, environment, key staff, incidents, and emergencies.
- Following changes in legislation, standards, activity safety guidelines, codes of practices, or sector information.

We will:

- Engage Technical Advisors to inform the development of the activity management plans.
- Conduct ongoing monitoring to ensure that the safety management system remains up to date, and Christchurch Sea Kayaking operations continue to comply.
- Involve staff (including senior management) in reviewing our safety management systems.

Our annual review of the safety management system, will include:

- Reviewing policies and procedures in line with any organisational changes, including any overlapping duties with other organisations, e.g. schools who contract our services.
- Checking for ongoing compliance to new and changing legislation, standards, codes of practice, good practice guidelines.
- Checking for changes in current good practice.
- Reviewing the effectiveness of hazard and risk management processes.
- Analysing incidents and any incident trends.
- Reviewing emergency procedures.
- Reviewing health and safety goals and targets, and developing action plans to support improved safety performance (Annual Safety Improvement Plan).

The external audit of safety management systems on a regular basis three yearly and/or following a serious incident.

Christchurch Sea Kayaking will ensure that:

- Reviews are conducted by people with current competence in the activity.
- Opportunities for improvement are identified.
- Outcomes are communicated to staff and other relevant people.
- Actions arising from reviews are implemented.

Section 5 Hazard and Risk Management

Purpose

The identification and management of risks in a systematic manner is a requirement under the Health and Safety at Work Act 2015. The Safety Audit Standard further details what is required.

Engaging staff from the outset usually leads to better results and is a requirement of the Safety Audit Standard.

Hazard and risk management is about identifying how someone could be harmed in the workplace and putting effective measures in place to prevent that harm occurring. An organisation's ability to identify hazards and control risks is critical to achieving this.

About hazard and risk management

There are four steps to hazard and risk management:

1	Identifying hazards	Identifying what hazards could cause a risk to people (or property), such as height, flooded rivers, or cold weather
2	Assessing risks	Assessing whether the hazard could cause a serious risk to a person if they are exposed to the hazard – see the hazards and operating conditions that may increase risk in the Safety Audit Standard, section 5.1
3	Managing and controlling each risk	Take all practicable steps to firstly eliminate, then minimise the risk. Then set controls to reduce the risk of causing harm to employees or others.
4	Monitoring the effectiveness of the risk controls	It's important to regularly review these steps when the work environment changes, new technology is introduced, or standards change.

An organisation must use a systematic process to identify hazards and assess risks. This is often achieved through the use of a risk register (see the appendix for an example). Alternative approaches include RAMS, SAP or AMP forms. You should use a format that works for your situation.

The next step of communicating hazard and risk information often takes place through:

- SOPs – which can also take many forms, e.g. Instructor Handbook or Activity Management Plans.
- Dynamic hazard management in the SOPs.
- Briefing / debriefing processes.
- Agenda items at operations or safety meetings.
- Safety update whiteboard or emails or a book.

The Activity Safety Guidelines are a useful resource: www.supportadventure.co.nz/activity-safety-guidelines

You need to

- Ensure that you understand the hazard and risk management process.
- Identify the tools that you use.

- You must ensure that a Technical Advisor, either internal or external, is involved in the process of identification and assessment.
- Describe your process – consider using the flow chart in the template.
- Follow the process through for each activity and environment.

Section 6 Staff

Purpose

The HSW Act requires an employer to provide information, training, instruction, or supervision to protect all persons from risks to their health and safety.

Training is a means of sharing knowledge and developing skills and attitudes. It's one way of influencing behaviour and improving health and safety.

You need to

- Identify what competencies a staff member must have for each specific job.
- Assess whether your staff have the appropriate competencies, and analyse what further training is needed.
- Provide ongoing training opportunities to ensure that staff continue to develop, maintain, and improve their competency. This training must include an initial induction, training in the organisation's SMS, and emergency response training.
- Ensure that staff have or receive the following:
  - A written contract of employment or service.
  - The necessary skills and knowledge to perform their work in a safe manner.
  - An adequate level of supervision based on their competency to perform a task.
  - Training in what to do in an emergency.
- Require new staff to show that they have the relevant qualifications/competency for a role by providing copies of suitable, nationally recognised qualifications (preferred) or attestations of competency or experience.
- Ensure that staff and participants have ready access to someone with suitable and current first aid competence.

Contractors

You need to ensure that contractors:

- Enter into a contract that makes it clear who is responsible for implementing and supervising all health and safety requirements while your clients are in their care.
- Provide details of their SMS, including staff competency and experience, and records of health and safety performance.
- Are registered with WorkSafe NZ where required by the regulations.
- Are given information regarding the operation/activity, client profiles, and health information.
- Are informed of hazards which they may be exposed to, and relevant emergency procedures.
- Are competent.

Monitor contractors' health and safety performance, and regularly provide feedback to contractors regarding health and safety issues (and vice versa), including hazard and risk identification and incident reporting.

Fit for work

You need to:

- Recognise the hazards and risks posed by fatigue, illness, psychological and emotional issues, and alcohol and drugs.

- Have strategies in place to manage them before issues arise.

- Ensure that staff are aware of these hazards and risks, can recognise the symptoms in themselves and others, and are aware of how they're expected to respond.

- Recognise that anyone can be affected from time to time.

- Establish and maintain a drug and alcohol policy.

Section 7 Drugs and Alcohol

The Safety Audit Standard requires adventure activities operators to engage with staff[1] to:

1. Consider the nature of their activities and the nature of their workforce, and assess the level of risk in their operations caused by staff potentially being impaired by drugs and alcohol.

2. Develop a policy for managing the risk of drug and alcohol impairment among staff.

3. Develop methods for monitoring the drug and alcohol hazard.

4. Develop plans for responding to staff impairment due to drugs or alcohol.

Consult guidance material on managing the risk of drugs and alcohol in adventure activities at: www.supportadventure.co.nz/adventure-activities-regulations

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[1] See the definition of *engage* in the Safety Audit Standard, page 8

Section 8 Incidents

Learning from incidents requires a safe and open culture that is focused on learning not blame, as well as good investigation and record keeping. Clear and transparent processes will support this.

All incidents must be recorded in your incident register. For many operators, this involves a detailed written incident report once a certain threshold of incident severity has been reached. For an example of an incident severity scale, see:
www.incidentreport.org.nz/resources/Incident_%20Severity_Scale.pdf[2]

These reports are then summarised, so that trends and common contributing factors can be identified. Some operators choose to record information about all incidents, including those of minor severity, and require more detailed analysis of the more significant incidents.

In the event of a notifiable incident or event, you will have further responsibilities. These include:

- A legal requirement to report them to WorkSafe NZ. See:
  www.worksafe.govt.nz/worksafe/notifications-forms/notifiable-events
- Not disturbing the incident site, except for immediate safety reasons, until WorkSafe NZ personnel give the clearance to do so.
- Undertaking a thorough review of your safety management system.

Incident investigation is a process of gathering facts and breaking them down by continually asking *why?* Only then can you identify the underlying causes, put controls in place, and prevent it happening again. Because incidents are never caused by a single factor, it's important to identify all the causes and put in the right controls. Human error may be only one small part of the cause, and process failure or poor management could be the real cause.

An investigation should:

- Determine what happened.
- Identify the cause/s of the incident.
- Identify the necessary corrective action/s, and determine who is responsible for completing them.
- Ensure that changes are made to activity procedures to avoid a repeat of the incident.

You need to

- Clearly communicate what incidents (both accidents and near misses) you expect to be reported and recorded. Providing examples, especially of near misses you want reported and near misses that you want reported, will be useful.
- Provide forms that will work for your situation.
- Identify a process for filing and reviewing incident reports, and communicating the results.
- Follow up on changes (corrective actions).
- Ensure that a review of your SMS is undertaken following any high-severity incident.
- Regularly review your summary of incidents to identify any trends.
- Ensure you have a system to retain awareness of past incidents, within your operation as well as nationally and internationally.

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[2] This example refers to the regulator as the Department of Labour, now WorkSafe New Zealand.

Section 9 Emergencies

Emergencies are generally incidents that are unlikely to occur but could have potentially catastrophic consequences if they do. Having a planned response to an emergency situation will enable you to recover faster in the event of an emergency and reduce the potential for loss.

Your emergency response plan should help you to:

- Minimise the level of risk to life, property, and the environment.
- Identify the resources (people, equipment, information, and knowledge) necessary to minimise that risk.
- Provide guidance to staff, so they know what to do.

You need to

- Identify potential emergency situations at each of your sites, including emergencies at your base (in your SOPS).
- Prepare a response plan for each emergency situation.
- Identify and plan for potential emergency events for each of your activities (including how to rescue an incapacitated participant).
- Describe your emergency planning processes in your SMP.
- Ensure that your staff are trained so they know what to do in an emergency.
- Test your emergency response plan and procedures regularly, and review and document these practices.
- Your emergency response plans may include the following:
    - Emergency procedures – who does what when an emergency occurs (including evacuation).
    - List of key emergency personnel.
    - Resources to guide both the field and the base response to an incident in the field (Emergency Response Guides).
    - Emergency rescue equipment available.
    - Details of emergency services available, e.g. how to contact the local police.
    - Communications plan, including media management, top leadership, affected families, and other staff.

Appendix

Risk Register Example

Activity or trip: Abseiling at Pryors Bluff

Last review date: January 2017   **Changes during the year:** Noted in red   **Next review date:** January 2018

Hazard What could cause harm?	Risk What harm could be caused?	Serious risk?	How we will manage the risk E = eliminate the risk; M = minimise the risk	
Bees and wasps in the bush	Anaphylactic or allergic reaction	Yes	E M	• Check medical summary for sting allergies and use another site if there is a known anaphylactic reaction to stings • Brief participants on signs of nests and moving quickly through wasp areas • Carry adrenaline
Rock fall	Injury or death from falling objects	Yes	M	• Check for loose rocks near the edge
Dropped equipment		No	M	• Ensure that participants wear helmets • Ensure that participants move away quickly from the drop zone
Harness not done up properly	Injury or death from equipment failure	Yes	M	• Check harness before weighting
Equipment failure		Yes	M	• Lay the rope protector in place • Check equipment before use, including running the ropes

Hazard What could cause harm?	Risk What harm could be caused?	Serious risk?	How we will manage the risk E = eliminate the risk; M = minimise the risk	
				through your hand
Loose hair	Injury from hair caught in the abseil device	No	M	• Ensure that long hair is tied back
Unstable body position	Injury from losing balance	No	M	• Instruct participants to keep their feet wide apart
Poor belay rope management		No	M	• Keep the belay rope tight
The abseil site is too challenging	Emotional harm	No	M	• Use this site only if the participants have abseiled before • Ensure you offer challenge by choice
Abseiler freezes		No	M	
Hair, cord, or clothes are caught in the device		No	M	• Ensure there are no loose hair, cords, or clothes
Fooling around with sticks or stones	Injury when waiting after abseiling	Yes	M	• Instruct the participants to wait in a safe zone • Ask a helper to supervise the participants at the bottom
Southerlies in winter	Participants get too cold	No	E M	• Avoid this site in winter if there is a southerly forecast • Ensure participants are dressed for the conditions and carry spare clothing
Participants leaving the safe zone without being belayed	Injury or death from a fall from height	Yes	M	• Instruct participants to sit in the safe zone • Check regularly that they remain seated until you tie each one on
Abseil not being set up safely			M	• Follow the activity procedures and double check
Participants not being attached to the ropes safely			M	• Tie on to the **belay loop** with a rethreaded figure 8 knot before the participant leaves the safe zone as trained

Hazard What could cause harm?	Risk What harm could be caused?	Serious risk?	How we will manage the risk E = eliminate the risk; M = minimise the risk	
				• Get the abseiler to talk through the checks
Equipment failure			M	• Check each item before use, including running your hand down the ropes
Taking the wrong route to access the top of the bluff			M	• Plan the route and use a GPS
Instructor slipping when setting up			M	• Use the edge kit as trained
Participants getting lost when returning to the top			M	• Discuss the route with the participants • Mark any possible wrong turnings
Casual hunters	Injury or death from a hunter misidentifying a target	Yes	E	• Don't use the site during the roar

Managing the risk

The Safety Audit Standard for Adventure Activities requires you to identify, assess, and manage the hazards and risks by eliminating or minimising the risk. A risk register is one way of meeting this requirement.

- If you have just one activity at one site, you might choose to note how you will manage the risk in a risk register, as in the example.

- If you have multiple activities or activity sites, your risk management methods will likely be detailed in your various activity plans, eg SOPs, RAMs, or AMPs. To keep the SMS succinct, and to enable updates to be made efficiently, it's better to detail them once. This could make a separate risk register unnecessary, or you could create a risk register and reference your activity plans for the management methods.

Generic hazards

As well as those hazards specific to an activity or activity site, there will be some generic hazards that you must identify, assess, and manage. See the examples in the Safety Audit Standard for Adventure Activities, section 5.1

Definitions

Safety Audit Standard for Adventure Activities, March 2017 v1.1

- **Harm** is illness, injury, or both, and includes physical and mental harm caused by work-related stress
- A **hazard** is anything that does or could cause harm, and includes a situation where a person's behaviour may be an actual or potential cause or source of harm to themselves or to another person (for example, due to the effects of fatigue or drugs and alcohol)
- A **serious hazard** is a hazard that does or could cause a notifiable event
- **Risk** means a chance of harm
- A **serious risk** means a chance of a notifiable event