

**Safety Management Plan Template**

**Version 3**

**October 2017**

Introduction and Purpose

This Safety Management Plan (SMP) template has been produced in consultation with WorkSafe New Zealand. Its purpose is to assist operators develop their own SMP that meets the requirements of the Safety Audit Standard for Adventure Activities 2017 developed under the Health and Safety at Work (Adventure Activities) Regulations 2016. It will also be useful for operators who provide activities that aren’t subject to these regulations.

It’s a web-based document and will be reviewed and updated from time to time. The current version is available on the adventure activities sector website: [www.supportadventure.co.nz.](http://www.supportadventure.co.nz/risk-management/) Users should check the version number to ensure they’re using the most up-to-date document.

Using this template

The ultimate purpose of your safety management plan is to help avoid loss, injury or death. The process you use to write your plan and how effectively you involve your team will affect how well it helps you achieve this goal.

This template details one way of doing things, but it’s not the only way. You may want to use some elements of this template and not others, or you may elect not to use it at all.

The main thing is that your SMP reflects how your operation does things, works well for you and your team, and meets the requirements of the Safety Audit Standard for Adventure Activities 2017: see [Safety Audit Standard for Adventure Activities 2017](https://worksafe.govt.nz/dmsdocument/1634-safety-audit-standard-for-adventure-activities)

This template is accompanied by a SMP Template Guide, which provides further detail and examples. To review the guide and considerable material on developing safety management systems, go to [www.supportadventure.co.nz](http://www.supportadventure.co.nz)

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].**

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# Document Control

**[Refer to page 7 of the SMP Template Guide]**

See Section 3 for an outline of the documents that make up our SMS.

## Document control table

|  |  |  |  |
| --- | --- | --- | --- |
| **SMP version** | **Amendments made** | **Approved by** | **Date** |
| 1 | Original | [Name] |  |
| 2 | [Outline what has changed] | [Name] |  |
|  |  |  |  |

## Document control procedures

We will ensure our safety management system (SMS) documents are readable, identifiable, and traceable to our activities.

To achieve this, our SMS documents will be:

* Identified by a footer that states the name of the organisation, version number, the page number, and the number of pages. **[Add this detail to the footer]**
* Periodically reviewed by **[Name / When]** and revised where necessary.
* Signed off as adequate by **[Name].**
* Current and available at **[Locations].**
* Protected from unauthorised changes and publication, and backed up **[How / When / Where].**
* Controlled by **[Name]** as to how and where.
* Removed from circulation if obsolete, or marked clearly that they’re not to be used.

Archived copies and other safety-related records will be kept for five years **[System / Place].**

*Note:* Once printed, documents are uncontrolled.

# Business Information

**[Refer to pages 8 & 9 of the SMP Template Guide]**

## Introduction

This section provides information about our business and provides context to our SMS.

## Description of business

#### Legal name

#### Trading name

#### Main operating base

#### Activities

#### Ancillary activities

#### Locations

Refer **[your website]** for further information.

#### Business aims

**[Refer to page 9 of the SMP Template Guide]**

#### Staff

We employ **[Describe how many full-time, part-time, and contract staff].**

#### Parameters of responsibility:

We will take all practicable steps to ensure the health and safety of our staff, participants, and visitors to the workplace.

We will ensure that everyone complies with the requirements of our SMS. [**Refer to page 9 of the SMP Template Guide]**

# Safety Management System

## Purpose

Our SMS helps us achieve our business aims and comply with the health and safety legislation, and any other relevant legislation (refer Appendix 2).

This section outlines the high-level policies and procedures that help us to run a safe business.

## Content

Our SMS is made up of a safety management plan, safe operating procedures, safety tools and forms and, most importantly, a strong safety culture.

**SAFETY MANAGEMENT PLAN**

Health and safety policy (including goals and responsibilities) and the following safety processes:

* Risk management
* Staff competency, induction, training, and monitoring
* Incident reporting and investigation
* Emergency response

Appendices

**SAFETY TOOLS AND FORMS**

**STANDARD OPERATING PROCEDURES**

**A STRONG SAFETY CULTURE**

Requires:

* Leadership
* Safe behaviour
* Everyone taking responsibility for safety

## Policies

* Provide a healthy and safe workplace, safe equipment, and proper materials
* Comply with health and safety legislation
* Continually improve health and safety management
* Establish and insist on safe practices at all times
* Staff have the authority to halt an activity for safety reasons
* Take all practicable steps to ensure the health and safety of staff, participants and visitors
* **[State who is responsible for the SMS]**

## Health and safety goal

Our goal is: **[Your overarching goal for health and safety].**

In meeting these commitments, the management of [operator] will:

**[Refer to page 12 of the SMP Template Guide]**

## Safety objectives

The following safety objectives have been identified as part of our Annual Safety Improvement Plan: **[refer to page 13 of the SMP Template Guide]**

|  |  |
| --- | --- |
| **Objectives** | **We will show we’ve met this objective by**: |
| **[Note specific, achievable, and realistic safety  objectives]** | **[Note the measure and time for completion]** |
|  |  |
|  |  |
|  |  |

Approved by: **[Signed by top leadership or an authorised representative]**

Date:

## Responsibilities

We recognise the importance of clear responsibilities and accountability for maintaining a safe workplace. Employers, employees, and contractors all have obligations under the legislation, including general health and safety responsibilities. More detail is provided in specific job descriptions.

#### Management responsibilities

We have responsibilities regarding our staff and also to other PCBUs that we work with.

**[Refer to pages 14–15 of the SMP Template Guide]**

#### Staff responsibilities

**[Refer to page 16 of the SMP Template Guide]**

# Planning for Safety

## Safety is paramount

Our staff are expected to take any action needed to ensure that the level of risk that participants, staff, and others are exposed to remains acceptable.

Staff are also expected to take a cautious approach to safety management, e.g. in a situation where staff opinions differ, the safer course of action will be followed.

#### Safety is an ongoing process

Activity staff are expected to be knowledgeable of risk assessment and management, and to be able to identify and assess risks in the dynamic environment they work in, and act appropriately.

## Overlapping duties

We have or may have overlapping duties with other Persons Conducting a Business or Undertaking (PCBUs) **[Names]**, and we will consult, co-operate and co-ordinate with them to control risks.

## Annual safety calendar

Management planning will include:

* Staff induction – new staff.
* Staff training – new and returning staff.
* Emergency response practice.
* SMS review, including activity management review.
* Regular safety communication, e.g. safety updates, safety meetings, staff notice board.

**[Refer to page 17 of the SMP Template Guide]**

## Maintenance and review of SMS

**[Refer to pages 17 & 18 of the SMP Template Guide]**

We recognise the need to continually improve health and safety systems and performance. We use the processes in this section to support our focus on continual improvement and to ensure compliance to, and/or identify opportunities to improve, the safety management system.

When we conduct SMS reviews and maintenance, we 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 parties.
* Actions arising from reviews are implemented.

#### Regular SMS maintenance and review processes

Regularassessment of work processes, equipment, and environments to identify hazards and develop appropriate control measures.

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

Internal reviews of activities are also conducted when:

* Prompted by audit findings, changes to the activity, sites, hazards, environment, key staff, incidents, and emergencies.
* Complaints regarding safety are received from participants, staff, or others **[Describe your complaints process].**
* There are changes in legislation, standards, activity safety guidelines, codes of practices, sector developments, or similar information.

Engaging appropriate Technical Advisors (including within the processes described above) to inform the development of the SMS.

Ongoing monitoring to ensure that the SMS remains up to date, and our operations continue to comply.

The regular involvement of staff (including senior management) in reviewing and developing the SMS.

#### **Annual SMS review**

We will conduct an annual review of the SMS, including:

* Reviewing policies and procedures in line with any organisational changes.
* Checking for ongoing compliance to new and changing legislation, standards, codes of practice, and 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 improve safety performance.

## External audit

We will get an external audit of our safety management systems on a regular basis **[Number]** yearly, and when prompted by an incident.

# Hazard and Risk Management

## Introduction

This section outlines the policies and procedures that we’ve put in place to manage our activities’ hazards and risks.

## Policies

* Staff and a Technical Advisor are involved in the hazard and risk management process.
* Hazards and risks are identified – what are the reasonably foreseeable harms (risks) and what could cause them (hazards)?
* Hazards and risks are assessed – what could cause the risk to be serious?
* Hazards and risks are controlled.
* Hazard, risks, and controls are monitored and regularly reviewed.
* Employees, participants, and visitors will have the necessary safety clothing and equipment.
* Equipment is fit for purpose.

## Hazard and risk management process flowchart

**IDENTIFY A HAZARD & THE RISK**

**ASSESS   
IF IT’S A SERIOUS RISK**

**ELIMINATE** if reasonably practicable

**MINIMISE** if the hazard & risk can’t be eliminated:

* Engage with staff to:
* Substitute with something that gives rise to a lesser risk, and/or
* Isolate to prevent anyone encountering it, and/or
* Implement engineering controls
* Manage the remaining risk
* Monitor to ensure the controls are effective

**INTRODUCE APPROPRIATE CONTROLS**

**YES**

**NO**

#### Hazard and risk identification process

**[Refer to page 19 of the SMP Template Guide]**

#### Risk assessment process

**[Refer to page 19 of the SMP Template Guide]**

#### Risk control process

**[Refer to page 19 of the SMP Template Guide]**

#### Risk monitoring process

**[Refer to page 19 of the SMP Template Guide]**

## Assets, facilities, clothing, and equipment

We make sure assets, facilities, clothing, and activity equipment are fit for purpose by:

* Choosing fit-for-purpose equipment.
* Regular and thorough inspections **[How? Refer to your SOPs, forms or other processes].**
* Having one senior staff person **[Name]** in charge of the inspection process.

## Monitoring and review of hazard management

We ensure risk controls are effective and new hazards and risks are identified by:

* Regularly checking activity areas.
* Regularly inspecting equipment.
* Seeking information from participants and interested parties.
* Reviewing incidents.
* Keeping up to date with good practice.
* Internal field reviews of activities.

We will meet to discuss and review risk management and safety issues **[When].**

# Staff

## Introduction

This section identifies the policies and procedures we use in relation to staff recruitment, competency, induction, training, supervision, monitoring, and records.

## Staff policies

*Note:* As in the Safety Audit Standard for Adventure Activities 2017, *staff* may be employees, contractors, or volunteer workers.

* Staff will be competent to do their job or be supervised by a competent person.
* Staff will be inducted before they take responsibilities for others.
* Staff and participants will have ready access to someone with suitable and current first aid competence.
* Expectations of professional standards and personal presentation will be set by management and reinforced.
* Staff have the authority to halt an activity if a hazard threatens the safety of any person associated with the activity.
* Staff can raise operational safety concerns with management at any time.
* Staff have the right to refuse to work if they believe there is an uncontrolled serious risk. They must inform management of their reasons for refusal and, in good faith, work with management to resolve any differences.
* Employing contractors **[Refer to page 18 of the SMP Template Guide]**

## Roles and recruitment

#### Role / Job descriptions

A **[Role /Job Description]** will be developed for each role. This describes the purpose, safety responsibilities, required knowledge, skills, competencies, and experience required.

Safety roles and responsibilities are communicated to ensure clear understanding of who is responsible at any given time for each aspect of ensuring the safety of every person associated with the activity.

#### Recruitment

New staff will be recruited using this process: **[Detail your recruitment process]**

All staff will have a written contract **[Employment Contract]** for employees, **[Contract for Service]** for contractors.

#### Competency

The competencies required for each role are identified before staff are employed.

For activity-based roles, such as **[Instructor]:**

* Each activity is assessed to determine the required staff competence.
* These competency requirements focus on establishing whether staff have sufficient competence to independently manage, and instruct/facilitate to the required level, a group of clients in each activity and environment. **[Change or delete as relevant]**
* These requirements are benchmarked against industry qualifications and the competencies used by other operators. In the absence of relevant established industry qualifications, we’ve developed in-house competencies with the assistance of Technical Advisors. **[Change or delete as relevant]**

All staff must be able to show that they have the minimum competency requirements.

Staff competency is established through:

* Valid qualifications, or
* Attestation of competency and sufficient experience, or
* Observation and skills assessment.

All staff are expected to have:

* **[List the qualifications required, such as a nationally-recognised outdoor activity qualification, a first aid certificate, a risk management certificate, an appropriate driver licence]**

## Induction

Staff will take part in an induction process, which includes an introduction to:

* **[List the content of your induction training. This must include the components of your SMS, including the SMP and all Standard Operating Procedures (SOPs) relevant to their role].**

## Staff training and supervision

Regular and / or pre-season staff training includes practical skill development, and training in risk management, safety management systems (including emergency responses).

Records are kept of all training (including induction).

Training is reviewed and evaluated for effectiveness.

New or inexperienced staff will be supervised by an experienced staff person until they have been assessed as competent to work independently.

## Staff records

Staff competency is recorded.

Individual staff records will include copies of their:

* Contract **[job / role description]**, contact information (including next of kin), and medical information.
* CV and qualifications (including 1st aid and drivers licences).
* Competency information (including attestations and competency checklists) that clearly indicates which roles they have been assessed as competent to perform.
* Induction checklist, including a record of a Safety Management System review.
* Records of staff training – needs assessment, plan, and achievements.

## 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 that 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.

We will ensure that staff are aware of these hazards, and when issues are developing, know how to recognise the relevant symptoms in themselves and in others.

We will ensure that staff are aware of the responses expected of them, and understand that they’re expected to intervene if something is compromising any staff member’s ability to perform their role safely.

# Drugs and Alcohol

**[Refer to:** [**Guidance for Managing Drug and Alcohol-Related Risks in Adventure Activities – August 2013**](https://worksafe.govt.nz/dmsdocument/3208-guidance-for-managing-drug-and-alcohol-related-risks-in-adventure-activities) **on the WorkSafe website]**

## Introduction

This section outlines our management of drug and alcohol-related risks in our adventure activities.

## Policy

We will operate a workplace free of impairment from drugs and alcohol.

## Assessment

#### Assessment of activity risk

**[You should describe your activity risk, and number and type of safety sensitive roles]**

#### Assessment of workforce risk

**[You should describe your workforce risk]**

#### Personnel: [number of] employees

**[You should detail a staff list]**

## Conclusion

Impairment due to drugs and alcohol is a **[low / medium/ high hazard]** to **[organisation]** and its operation.

## Monitoring

#### Staff responsibilities

**[You should describe your expectations of staff]**

#### Drug and alcohol testing

**[Describe how you will implement drugs and alcohol testing procedures]**

# Incidents

**[Refer to page 23 of the SMP Template Guide]**

## Introduction

This section is about reporting, recording, and investigating incidents.

The intent of an incident process is to identify improvements that can be made to prevent a recurrence. There may also be a legislative requirement.

## Incident policies

Incidents will be reported and recorded.

Incidents will be investigated and the underlying causes identified.

Incidents resulting in a notifiable event will be reported to WorkSafe NZ as soon as possible by **[Name of person or position].**

Notifiable incidents and notifiable events will prompt a review of the SMS.

A regular review of all incidents occurs to identify any trends.

**REPORT**

All incidents are reported and classified according to actual or potential severity. The following incidents are documented:

* Actual severity rating 3+ **[Refer the SMP Template Guide, page 23]**
* Potential severity of 6+
* And any others (including safety complaints) as required.

**REVIEW**

All documented incidents are reviewed by **[Name]** and staff involved in the incident.

**ACTION**

When the review identifies a hazard and risk that isn’t adequately controlled, you must take immediate action.

The hazard and risk management process is used to identify appropriate controls.

Any follow up actions required are recorded and signed off.

**COMMUNICATE**

**[Name]** will ensure relevant details of each incident are communicated to other staff as soon as possible.

Any changes to procedures are incorporated into the SMP and / or the SOPs and communicated to staff.

# Emergencies

## Introduction

This section sets out how we prepare for and respond to an emergency.

The purpose of our structured emergency preparedness and response plan is to:

* Preserve life and property, and prevent further loss in an emergency situation.
* Provide guidance, so we know what to do in an emergency situation.

## Emergency policies

* Potential emergency situations will be identified.
* Responsibilities and procedures to be followed will be identified.
* Staff are involved in developing emergency procedures.
* Adequate first aid supplies are available to all staff and customers.
* All staff receive training and information in relevant emergency procedures.
* In the event of an emergency, management is to be informed as soon as possible.
* Management has sole authority for communicating with the media.

## Responding to emergencies

Emergency Response Guides have been developed for the following emergency situations:

#### Field emergencies

[Detail potential field emergency situations.]

#### Office / base emergencies

* Fire
* Earthquake
* [others]

## Emergency preparedness

Emergency response plans will be known by staff and are made available to participants and other relevant parties. **[Describe any on-call arrangements]**

Appropriate equipment, communication devices, and information for dealing with potential emergencies will be identified and carried by (or be available to) relevant staff.

## Emergency training

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

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

Emergency procedures will be reviewed after training, practise, and actual emergency events.

## Crisis recovery

#### Objective

To look after and support the people involved (participants, staff, and others), to respond professionally, and to protect our reputation.

#### Declaring a crisis

A crisis will be declared by [**Name**], who will initiate the Crisis Recovery Process.

#### Crisis recovery process

The Crisis Recovery Process describes the steps involved in managing the recovery from a crisis.

#### Follow up

The **[Name]** will determine and advise staff when the crisis is over.

A full debrief and review of the crisis response takes place, preferably on site and within [time]. This debrief is separate from any investigation into the cause of the crisis.

An external support group provides support and counselling (including critical incident stress debriefing if required) to staff, participants, and families. The Crisis Response Team will deal with difficult and upsetting situations. They should be provided with or have access to counselling during and after the incident.

Following the incident, it’s important to openly acknowledge the contributions of people involved, and both management and staff should be supported to develop a realistic return-to-work plan.

## Media response

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

A Media Response Plan has been developed and should be used when necessary**. [Provide details of your plan]**

Appendix 1: Terms and Definitions

#### Competent person

A person able (through their knowledge and skills) to perform an assigned task.

#### Engage

Engaging means consulting with workers who carry out work for the operation, and who are (or are likely to be) directly affected by a matter relating to work health and safety.

#### Harm

An illness, injury, or both, and includes physical and mental harm caused by work-related stress.

#### Hazard

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, e.g. due to the effects of fatigue or drugs and alcohol.

#### Serious hazard

A hazard that does or could cause a notifiable event.

#### Incident

An event that caused or could have caused harm to any person.

*Note:* An incident that did not cause harm is also called a *near hit, close call,* or *near-accident*.

#### Injury

Harm or damage to a person.

#### Must and should

*Must* refers to requirements that are essential to comply with the SMS.

*Should* refers to matters that are recommended.

#### Notifiable event

Death, injury, or a notifiable incident.

#### Notifiable incident

An unplanned or uncontrolled incident that exposes a worker or any other person to a serious risk, e.g. a fall from height.

#### Policy

Intentions and direction of the operator as formally expressed by the top leadership.

#### Principal

A person who engages any person (other than as an employee) to do work for gain or reward.

#### Procedure

How the organisation implements the policy.

#### Risk

A chance of harm.

#### Serious risk

A chance of a notifiable event.

#### Risk management

A process of identifying and managing risks ito prevent an accident, incident, or loss.

Appendix 2:   
Legislation, Standards, Codes of Practice, and Guidelines

This section provides an overview of relevant health and safety legislation. It identifies what legislation is relevant to, and imposes responsibilities on, the **[Directors, partners, trustees, management, staff and contractors of (name organisation)]**

It also identifies other legislation that might be relevant to our business.

|  |  |  |
| --- | --- | --- |
| **Document** | **Reviewer** | **Date reviewed** |
| [Health and Safety at Work Act 2015](http://www.legislation.govt.nz/act/public/2015/0070/40.0/DLM5976660.html) | **[Name]** | **[Date]** |
| [Health and Safety at Work (Adventure Activities) Regulations 2016](http://www.legislation.govt.nz/regulation/public/2016/0019/latest/DLM6725703.html) | **[Name]** | **[Date]** |
| [Safety Audit Standard for Adventure Activities 2017](https://worksafe.govt.nz/dmsdocument/1634-safety-audit-standard-for-adventure-activities)v | **[Name]** | **[Date]** |
| [Activity Safety Guideline](http://www.supportadventure.co.nz/good-practice/) [**Name]** | **[Name]** | **[Date]** |
| Other **[Name]** |  |  |

**[Refer to the Legislation section on** [**http://www.supportadventure.co.nz/legal/**](http://www.supportadventure.co.nz/legal/) **for examples of other relevant legislation]**