

FACILITY MANAGEMENT MANUAL

8 Risk Management



Commissioned by: Sport New Zealand (Sport NZ), with support from New Zealand Recreation Association (NZRA), Exercise Association of New Zealand and Entertainment Venues Association of New Zealand (EVANZ)

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The Facility Management Manual has been developed for managers of any recreation, sport or leisure facility. It provides detailed information covering the management and operation of a recreation, sport or leisure facility.

This document is a companion document to the Aquatic Facility Guideline, which can be found on the Sport NZ website and the NZRA website:

<http://nzrecreation.co.nz/index.php/facilities-home/facilities-guidelines>

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1 Introduction

Good risk management policies and processes promote good decision-making, support prudent practice and creates a safe environment. Continuing good practice ensures maintenance of that environment and will help to ensure business continuity and the success of the whole facility.

This chapter only covers the context of health and safety and risk management. The current sector guidelines, ISO31000:2009 *Risk Management – Principles and Guidelines*, which are produced jointly between Australia and New Zealand can provide additional information.

This section links with the following Facility Management Manual chapters:

Chapter 2 - Customer Care

Chapter 3 - Human Resources

Chapter 6 - Programming

Chapter 11 - Asset Management

Further information

The Australia/New Zealand Handbook Guidelines for Managing Risk in Sport and Recreation Organisations SAA/SNZ HB 246:2010

ISO31000:2009 Risk Management – Principles and Guidelines, accessed from http://www.iso.org/iso/catalogue_detail?csnumber=43170

1.1 Legal and statutory requirements

The following laws and standards are relevant to the responsibilities and accountabilities of facility managers in risk management:

- Accident Compensation Act 2001
- Building Act 2004
- Business Continuity Management Standard ISO 22301
- Civil Defense Emergency Management Act 2002
- Companies Act 1993
- Consumer Guarantees Act 1993
- Crimes Act, Children and Young Persons and their Families Act 1961, 1989
- Employment Relations Act 2000
- Fair Trading Act 1986
- Food Act 1981
- Goods and Services Tax Act 1975
- Hazardous Substances and New Organisms Act 1996

- Health and Safety in Employment Act 1992¹
- Health and Disability Services (Safety) Act 2001
- Holidays Act 2003
- Human Rights Act 1993
- Injury Prevention Rehabilitation and Compensation Act 2001
- Income Tax Act 2007
- Incorporated Societies Act 1908
- Industry Training Act 1992
- Local Government Act 2002
- Privacy Act 1993
- Resource Management Act 1991
- Sale and Supply of Alcohol Act 2012
- Smoke-Free Environments Act 1990
- Standards Act 1988
- Fire Safety and Evacuation of Buildings Regulations (2006)
- The Fire Service Act – section 21A – Evacuation Schemes for Public Safety 1975
- Trespass Act 1980
- Volunteer Employment Protection Act 1973

Further information

<http://legislation.govt.nz/>

1.2 Policies and procedures

All facilities should have policies relating to risk management processes. These could include but are not limited to:

- Accident investigation procedures
- Emergency management plan
- Emergency evacuation procedures
- First aid procedures
- Food handling policy
- Hazard identification policy
- Hazardous substances policy
- Risk management policy
- Risk register
- Wellness policy.

¹ Health and Safety Reform bill before Parliament at time of writing <http://mbie.govt.nz/what-we-do/workplace-health-and-safety-reform>

2 Reviewing Performance

2.1 Self-review

Prior to using this chapter do a quick check on how the facility is performing in risk management using the following table.

Risk management self-review

Description	Self assessment
<p><i>Staff and board</i></p> <ul style="list-style-type: none"> • Staff, management and board are trained and equipped in risk management • Personnel at all levels of the facility are actively engaged in risk management. 	
<p><i>Stakeholders</i></p> <ul style="list-style-type: none"> • Customers and stakeholders are regularly consulted, engaged and communicated with regards to facility risk management policies. 	
<p><i>Plans</i></p> <ul style="list-style-type: none"> • All risk management plans, policies and procedures are current and regularly reviewed • All plans follow relevant legal and moral practice. 	
<p><i>Operations</i></p> <ul style="list-style-type: none"> • Risk management is a core part of all facility operations • There are operating procedures for all activities and procedures exist to guide staff when circumstances change • There are emergency procedures for all activities and activity areas, and these are practiced and reviewed on a regular basis • Incidents are promptly and appropriately responded to • Incidents are recorded, reviewed, lessons responded to and communicated to personnel. 	

2.2 Key performance indicators

Area	Indicators	✓
Plan	There are current plans, policies and procedures for: <ul style="list-style-type: none"> • Health and safety • Risk management • Emergency preparedness • Civil defence emergencies. 	
Compliance	There is 100% compliance on all plans.	
Incident management	Incidents are promptly and appropriately recorded and responded to. The number/percentage of reportable incidents <ul style="list-style-type: none"> • Near misses • Incidents • Serious harm incidents Incidents are regularly reviewed.	
Evaluation	Plans are updated based on incident reviews.	

3 Risk Management

3.1 The Health and Safety in Employment Act

The HSE Act requires the creation of safe and healthy workplaces in New Zealand.

Under the Act, employers are required to take all practicable steps to provide and maintain a safe working environment, provide and maintain facilities for the safety and health of employees at work, and to ensure actions at work do not result in harm to other people, including members of the public. An essential element of the Act's approach is that employees are to be involved in identifying and managing hazards.

The 2000 amendment to the Act, specifically addressed volunteers and outlines requirements, which are similar to those for employees, namely employers are to take all practicable steps to ensure the health and safety of volunteers while they are undertaking voluntary work within a facility.

This Act is being replaced by the **Health and Safety at Work Act 2015** and represents a major change to the New Zealand's health and safety system. It will be managed by WorkSafe NZ and includes detailed classification of risks to both customers and staff.

Under the new Act, board members, chief executives and senior managers (the 'officers') will have direct responsibility for ensuring the organisation's facilities and activities are safe. The main duty of care will be with the organisation, but the 'officers' will be responsible for ensuring obligations to keep staff and visitors safe are met. If duties are breached, these individuals can be held personally liable. There are very clear differences between the responsibilities of officers and organisations.

Further information:

<http://www.sportnz.org.nz/assets/Uploads/attachments/managing-sport/strong-organisations/Health-and-Safety-Reforms.pdf>

<http://www.mbie.govt.nz/what-we-do/workplace-health-and-safety-reform>

3.2 Implications of not attending to risk management

Due to the nature of activities undertaken in sport and leisure facilities, there are always unsafe activities or dangerous areas on premises, or potential for these to exist, and these must be managed.

The consequences of not providing a safe environment are that someone may get hurt which could potentially be crippling for the facility as it may suffer loss of income, receive bad publicity, end up in court, lose jobs, and ultimately may be shut down. Management may also be held personally liable.

Facility managers are bound by the HSE Act to meet specific requirements and the consequences for not complying with the law can be significant.

- If you breach one of the duties under the HSE Act, the facility (and staff) may be prosecuted and fined by WorkSafe NZ. Fines can be imposed of up to \$500,000 (if knowingly breached duty), or to a maximum of \$250,000 (if

serious harm occurs). These will change with the introduction of the new Act with the maximum fine (for individuals) for serious injury or harm increasing to \$300,000 and the maximum fine for reckless conduct increasing to \$600,000 or five years imprisonment, or both. Penalties for minor risk offences have been reduced from \$250,000 to \$100,000.²

- If any other Acts or regulations are breached management may also be prosecuted, fined or face lawsuits for damages or both.
- If there is a case of negligence, management may be sued by the injured victim and found liable for damages.

Having a risk management plan will minimise the likelihood of any of these outcomes.

3.3 Emergency management plan

Best practice of facilities includes the development of an emergency management plan. This document is a living document that should be reviewed regularly. For every emergency scenario, the emergency management plan should assign responsibility for various key tasks, establish a chain of command during an emergency and cover topics such as reporting lines, who needs to be contacted, and communication policies.

² Danz Magazine Autumn 2015, pg 14. Responsibility and risks under the new health and safety regime

4 Good Practice

Risk management has evolved into a systematic process that consists of a number of steps. As a minimum, these steps should form the basis of a risk management policy and facility processes to deal with potential risk.

The steps include:³

- Establishing the context
- Risk assessment including identification, analysis, and evaluation of risk
- Risk treatment.

Regular monitoring and reviewing, and communication and consultation are required to make the policy a living document.

4.1 Communication and consultation

Communicating and consulting with internal and external stakeholders is a vital part of the risk management process.

Communication is the process of communicating risk management information to stakeholders including all staff, customers and the community. Communication is a dialogue, and can only be effective if the message has been heard and understood in the way it was intended. This will involve taking into account who the audience is (characteristics, attributes, values, perceptions) and how engaged they are.

Consultation involves seeking the views of stakeholders to assist with decision-making. Consultation will only be effective if an appropriate consultation process is developed which includes ensuring all involved:

- Are given sufficient background information
- Have reasonable time and opportunity to respond
- Are treated with respect
- Have their views considered properly
- Have privacy where appropriate.

³ SAA/SNZ HB 246:2010 Guidelines for managing risk in sport and recreation organisations,

Case study: ACE Community Facility

The facility manager of the ACE Community Facility noticed that her staff's weekend timesheets were trending towards later finish times. On further investigation, she realised that over time, the number of stressful closing incidents had been rising, although many of these incidents were unreported. This suggested a potential security risk to staff, customers and the facility. The team realised that current safety protocols and systems were out of date and due for a review.

The manager established a security project team, managed by the Operations Manager. The purpose of this team was to identify and report risks and recommend and implement changes to reduce the risks as required.

The first task of the project team was to **consult** with:

- The facility's health and safety team on current protocols and best practice
- Staff on their views and experiences of personal security during weekend evenings
- The facility security company on possible options
- Leaders of frequent user groups on their experience of safety.

4.2 Establishing the context

Establishing the background within which risk management is considered is an important part of setting the framework for the facility risk management process. It includes:

- Understanding the facility objectives, legal character and constitution, as well as planning and reporting documents (e.g. strategic and business plans, normal operating plans and annual reports)
- Identifying the internal and external environment
- Identifying internal and external stakeholders
- Establishing 'risk criteria' (e.g. safety, activity delivery, financial viability, image and reputation).

Case study: ACE Community Facility

The ACE security team established the context of the risk including:

- Identifying the number of reported and unreported incidents at closing time
- Analysis of users and user groups on weekend nights
- Current security protocols – physical (e.g. lock up procedures), customer relations (e.g. protocols for managing difficult situations), access (e.g. staff routes for getting home)
- Physical setting such as lighting, security camera's, barriers
- Weekend staffing levels
- Opening hours and how they impacted on services.

4.3 Risk assessment and treatment

Risk assessment includes the identification, analysis and evaluation of risk in the facility.

Risk identification

Risk identification is the process of looking at how the facility is operated and used by customers and staff and identifying potential risks to them. It involves:

- Developing a comprehensive list of risks
- Identifying key organisational elements such as governance, management activities, HR, financial activities, reporting and accountability requirements, operational activities including the use of chemicals and equipment, technology, security, education and training, processes and procedures, communication, relationships, politics, natural events
- Examining each element with key questions such as:
 - What are sources of risk?
 - What might happen?
 - What would the effect on the facility be?
 - Who could be affected?

Risk analysis

Each risk needs to be evaluated for its likelihood and consequence to help management decide the level of risk e.g. negligible, minor, moderate, major or catastrophic.

Likelihood <i>(How Often)</i>	Consequences <i>(What could be the harm or damage)</i>				
	Insignificant <i>(First aid)</i>	Minor <i>(Medical treatment)</i>	Moderate <i>(Serious harm injury, single lost-time, injury/illness)</i>	Major <i>(Multiple serious harm/lost time, injuries)</i>	Extreme <i>(Fatality)</i>
Almost certain <i>(daily)</i>	Moderate	High	Critical	Critical	Critical
Likely <i>(weekly)</i>	Moderate	High	High	Critical	Critical
Possible <i>(monthly)</i>	Low	Moderate	High	High	Critical
Unlikely <i>(yearly)</i>	Low	Moderate	Moderate	High	High
Rare <i>(1-5 years)</i>	Low	Low	Low	Moderate	Moderate

Risk evaluation

The purpose of risk evaluation is to help make decisions about which risks need attention and how to prioritise them. One method for determining this is the ALARP⁴ (as low as reasonably practicable) principle. This principle organises risks into three categories:

Risk	Action
Substantial risk <i>(Intolerable region)</i>	Cannot be justified except in extraordinary circumstances
ALARP region <i>(Tolerable)</i>	Is tolerable only if further risk mitigation is impracticable
Negligible risk <i>(Broadly acceptable)</i>	Treatment is not likely to be required as resources likely to be grossly disproportionate to results achieved

⁴ SAA/SNZ HB 246:2010, Handbook Guidelines for managing risk in sport and recreation organizations. 2010, page 42

Case study: ACE Community Facility

Risks identified by the ACE security team included:

- Inappropriate behaviour from certain user groups e.g. those with a culture of drinking and other activities linked to social events
- Low staff to customer ratio in weekends
- Low level of documentation of incidents
- Physical risks such as video cameras not placed in areas where behaviour was taking place
- High casual use in the weekends, and limited relationship with leaders of regular groups resulting in a low level of customer – staff relationship.

In analysing the risks, the project team considered the number of unreported incidents to suggest a moderate level of risk and that action was necessary. The team also felt that under the circumstances the facility was fortunate that no more serious incidences had occurred so far.

Risk treatment

Risk treatment is the process of modifying a risk by identifying actions to change it and implementing them. Options could include:

- Avoiding the risk
- Accepting the risk
- Removing the risk source
- Changing the consequences
- Changing the likelihood
- Sharing the risk with another party
- Retaining the risk by informed decision making.

Selecting the most appropriate course of action involves balancing the cost of the treatment against the benefits gained from the treatment.

Case study: ACE Community Facility

Many options were researched and considered by the ACE project team. Final plans involved changing the risk likelihood by:

- Improving the security systems in place including relocating cameras, upgrading closing procedures, lone worker devices, panic buttons
- Changes to facility layout to improve lines of sight and lighting both inside and outside
- Improved staff training on incident reporting, prevention and management
- Increasing staffing levels at higher risk times and changing their tasks to include more customer interaction and briefing, facility patrols and risk management procedures
- Training in responding to conflict and crises situations
- Sharing the risk with other parties by implementing stricter risk management clauses in contracts with regular users.

Eliminating the risk by not opening in the weekends was not considered a realistic option. However, clear protocols for managing difficult customer behaviour was developed and communicated.

Templates:

- Risk register and management plan
- Risk treatment and mitigation plan
- Hazard identification template
- Risk reporting plan

4.4 Documentation of risk

For auditing and review purposes, and good business practice, all areas of the risk management process, including registers and activities should be traceable and well documented. All material should be dated and reviewed regularly. Risk management documents are live, working documents, which should be available to interested parties, be appropriate to the nature and scale of the facility and easy to use.

Steps in risk assessment	Documentation required
<i>Risk context</i>	<ul style="list-style-type: none"> Minutes and information used that were important to developing them.
<i>Risk identification</i>	<ul style="list-style-type: none"> The approach used Scope covered by the identification process Participants and information sources consulted The register of identified risks.
<i>Risk analysis</i>	<ul style="list-style-type: none"> Key assumptions Sources of information used Explanation of the analysis method Existing controls and their effectiveness Description and severity of consequences Likelihood of risks Result of level of risk Effect of uncertainty.
<i>Risk evaluation</i>	<ul style="list-style-type: none"> Results of the evaluation on the register or risks.

4.5 Monitoring and review

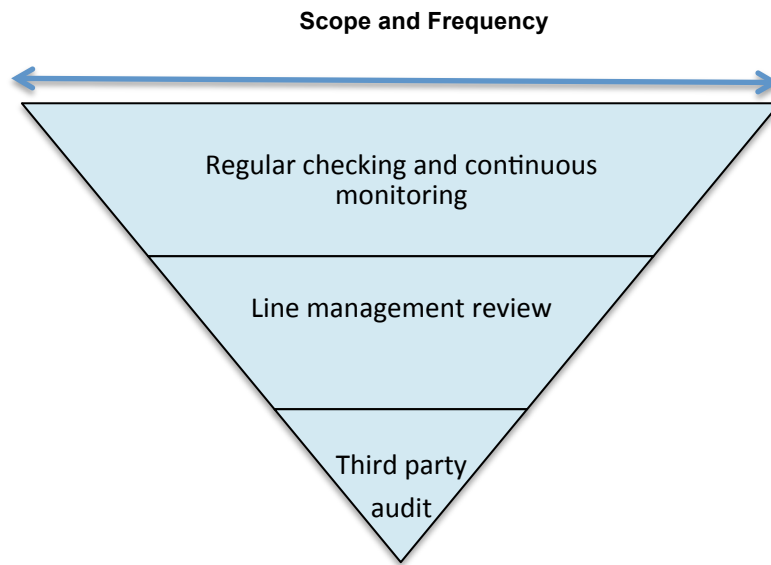
Monitoring and review is the process of checking whether things are going as they have planned. The focus of the reviews should be carefully selected with priority being given to:

- High risks
- Critical controls (i.e. where failure of the treatment could result in high or frequent consequences)
- Prior evidence of failure
- Features of the internal or external environment that have high variability
- Areas of risk management likely to experience high levels of change
- Technological advancement, which could affect risk.

The three types of review practices are:⁵

- Continuous monitoring through routine measurement and checking (e.g. incident data, cash flows). This occurs day to day and is embedded into place through methods of work
- Line management reviews of controls (e.g. post-incident investigations). These are control self-assessments and driven by the risk profile and manager's span of work.
- Auditing (either internal or external). This is sampling and verification aimed at policy and standards compliance.

⁵ SAA/SNZ HB 246:2010, Guidelines for managing risk in sport and recreation organisations. 2010, page 60



Case study: ACE Community Facility

The initial outcome of the ACE security changes was relief amongst the staff who worked weekend shifts and increased confidence to handle risk situations. The number of reported incidents rose dramatically in the short term as staff began responding to their training. This gave the security project team more material to work with and enabled them to review and refine the changes they had already instigated.

Initial communications with certain user groups did not always go smoothly, so the messages were revised. In communicating with higher risk groups, the manager led the conversations in conjunction with staff. Some user groups chose to go elsewhere and this resulted in short-term decreased attendance and income. Over time, other customers modified their behaviour, new groups filled the slots, staff turnover decreased while attendance and income rose.

5 High Risk Issues

5.1 Serious harm

The definition of serious harm as detailed in the Health and Safety in Employment Act 1992 means death or the following types of harm:⁶

- **Permanent loss of bodily function or temporary severe loss of bodily function**, respiratory disease, noise-induced hearing loss, neurological disease, cancer, dermatological disease, communicable disease, musculoskeletal disease, illness caused by exposure to infected material, decompression sickness, poisoning, vision impairment, chemical or hot-metal burn of eye, penetrating wound of eye, bone fracture, laceration, crushing. This includes:
 - **Amputation** of body part
 - **Burns** requiring referral to a specialist registered medical practitioner or specialist outpatient clinic
 - **Loss of consciousness** from lack of oxygen
 - **Loss of consciousness, or acute illness** requiring treatment by a registered medical practitioner, from absorption, inhalation or ingestion of any substance
 - **Any harm that causes the person harmed to be hospitalised for a period of 48 hours** or more commencing within seven days of the harm's occurrence.

The definition of serious harm is relevant to employers' duties to manage hazards, notification requirements, employees' rights to refuse to do dangerous work, and inspectors' powers to issue prohibition notices.

If a death occurs at the facility, the Emergency Management Plan must clearly state the correct lines of reporting and communication plans for notifying the appropriate authorities, handling media and managing facility users.

In the event of an accident

Once the necessary emergency response (first aid) and site made safe (risk minimised, or eliminated) with no risk of further harm possible then the following steps must be taken.

- **Employers must notify WorkSafe NZ as soon as possible of workplace accidents and occurrences of serious harm.**
- **In case of emergency, call WorkSafe NZ on free phone 0800 030 040 (24 hours) and choose option 1**
- **If necessary, contact emergency services by phoning 111**
- **If reporting a hazardous substances emergency, call the New Zealand Fire Service on 111 and then the WorkSafe NZ Response Team on 0800 030 040.**

⁶ <http://www.business.govt.nz/worksafe/notifications-forms/accident-serious-harm>

It is a legal requirement not to disturb an accident scene until clearance is authorised by a health and safety inspector except in certain situations, including when persons or property are at risk, as provided for by section 26 of the Health and Safety in Employment Act 1992. If you require scene clearance or other immediate assistance from a health and safety inspector, call 0800 030 040.

WorkSafe NZ must be provided with written notice of the circumstances of the accident or serious harm within seven days by using a notification form obtainable from their website. Notification can be either online or written.

Template: Health and safety report form

5.2 Crowd management

Crowd management in any situation requires excellent teamwork, clear communication and coordination between facility managers, event organisers and staff interacting with the crowds. Good preparation for managing crowds includes:⁷

- Researching the types of visitor that are expected and anticipating likely crowd behaviour
- Collating and assessing information, including health and safety records, of previous events at the same venue
- Liaising with outside organisations such as the Police and emergency services, which have extensive knowledge and experience
- Conducting a risk assessment to determine the adequacy of arrangements for controlling crowds, and changing them if necessary
- Inspecting the venue and reviewing crowd safety arrangements at regular intervals
- Setting targets for crowd management e.g. if queues extend past a particular point, specify that another service point should be opened.

The risk of overcrowding can be reduced by:

- Ensuring there are sufficient numbers of trained staff to move crowds and/or direct queues
- Use of turnstiles
- Barriers for directing movement
- Adequate, evenly spaced facilities, e.g. toilets, refreshment areas
- Clear signage
- A simple, clearly audible public address system
- Sufficient space for crowd access and egress.

⁷ Accessed from New Zealand Major Events at:
<http://www.med.govt.nz/majorevents/resource-bank/health-and-safety/crowd-management-planning>

5.3 Dealing with difficult situations⁸

A difficult situation is any incident in which abusive, threatening or violent behaviour by a member of the public causes staff or customers to feel unsafe. This can include anything from intense verbal abuse to physical injury or armed robbery. It is not expected that staff manage or resolve difficult situations, but rather know how they can to keep themselves and others safe.

Staff who are in contact with the public, are potentially exposed to difficult situations. These situations are significant hazards and should be identified and managed as such according to the facility risk management system. Facility managers' responsibilities include:

- Ensuring good practice risk management for dealing with difficult situations
- Identifying potentially difficult situations together with staff
- Encouraging staff to report incidents
- Responding to and reviewing incidents and incident reports
- Ensuring staff are prepared through training, information and being involved in decision making
- Ensuring standard security operating procedures (SSOP) to ensure control are in place.

Template: Handling difficult situations guidelines

5.4 Emergencies

Every facility should have an Emergency Action Plan (EAP). An EAP specifies in detail actions to be taken in the event of every foreseeable emergency.

Emergencies can be caused by:

- People: security incidents, medical issues, accidents
- Equipment/facilities: fire (electrical or other), gas leak, chemical leak or spill
- Natural events: earthquakes, landslide, major storm.

For every emergency scenario, the EAP should assign responsibility for various key tasks, establish a chain of command during an emergency and specify who does what, where and when. Evacuation procedures of the facility and building also need to be included.

Emergency planning starts with identifying potential incidents and accidents.

Review accident records to determine trends in injury type or location.

Staff must have a thorough and detailed knowledge of the EAP, and an understanding of their role in it. In-house training programmes should take account of the need for formal instruction in, and practical implementation of, the plan. Staff must be consulted in the development and revision of the EAP.

⁸ Adapted from Wellington City Council *Dealing with Difficult Situations Guidelines*

When an emergency occurs, rapid response is vital. While speed is essential, an efficient and competent response will decide the outcome. Response by staff should be automatic and this will develop through regular training and practice. A Business Continuity Plan will also be required in the event of an emergency.

Template: Emergency evacuation plan best practice

5.5 Business continuity planning⁹

Business continuity planning is a system for managing the critical functions of the facility following a disruptive incident or event, or when business is under pressure. It is the capability of the facility to continue delivering services at acceptable predefined levels.¹⁰ This is a vital part of management responsibility, and includes the following steps:

- Business impact analysis i.e. identifying critical business functions and processes and the resources that support them
- Recovery strategies
- Plan development
- Testing and exercises.

Business continuity plans and a business impact analysis should be reviewed annually. It is important to ensure all staff are familiar with the plan and their role in it. Planning should include keeping copies of important documents, including asset schedules and condition assessments, off-site, virtual and accessible.

Template: Business continuity plan worksheet
Business continuity resource requirements

Further information

Business Continuity Standard, available from <http://www.iso.org/iso>.

⁹ Adapted from <http://www.ready.gov/business/implementation/continuity>

¹⁰ Adapted from <http://www.thebci.org/index.php/resources/what-is-business-continuity>

6 Responsibility

Everyone involved in the facility should in some way also be involved in identifying and assessing risks, putting plans in place to manage them, and developing a health and safety plan to address risk at all levels. This includes everyone from the governing bodies such as boards and councils, to the staff who interface with customers.

6.1 Staff and managers

Risk management must be included in all job descriptions and performance measures. Risk management in facilities requires managers and staff to:

Be strategic

Strategically, risk management must be part of the planning process with specific mention in the facility's vision, strategies, goals, and policy. This includes the scope of the facility and what it offers, staffing arrangements involved in operating and managing the facility and the requirements needed to work in the environment e.g. first aid training, police check. Plans should refer to the documents that comprise the risk management planning, as well as procedures for document control.

Manage policies and procedures

From a management perspective, policies and procedures are developed to reduce risk from management down to operational staff. Input from management includes:

- Identifying relevant legislation and regulatory requirements (e.g. codes of practice and standards)
- A commitment to continued improvement of risk management standards for the facility and staff
- Developing and outlining risk management objectives and targets, and monitoring progress towards achieving targets
- Providing staff with clear responsibilities with regards to risk management
- Ensuring procedures are in place to ensure the safety of any contractor or subcontractors.

Template: Contract management compliance checklist
Health and safety policy statement
Health and safety audit review template

Training and up-skilling

This includes ensuring:

- Staff are involved in establishing and implementing risk management policies and procedures
- Activities are assessed to determine the required level of staff competence and staff, contractors and volunteers are trained to the required competency
- Staff induction to the facility and training is organised on a regular basis.

Build risk management into facility operations

This includes ensuring:

- Hazards are identified, assessed for significance and managed for all activities and activity areas
- There are operating procedures for all activities and procedures exist to guide staff when circumstances change
- There are emergency procedures for all activities and activity areas, and these are practiced and reviewed on a regular basis including:
 - Hazard identification and risk management procedures and commitment to immediate action
 - Daily building checks, monthly health and safety reviews, annual review of health and safety plan
 - Business contingency plans (e.g. to manage power outage)
 - Regular staff training
 - The appointment and use of health and safety representatives
 - Keeping facility's governing body informed of current and future situations.

6.2 Governing bodies

Boards, councillors and governing bodies that are associated with the facility are responsible for setting the tone of the risk management culture.¹¹ Ultimately, boards are accountable for the facility's performance and that includes risk management.

To help build a positive risk management culture in an facility, board members should:

- Understand the 'risk profile' of their facility, i.e. what are the key risks, what is the likelihood they will happen, and if they do happen, what is the potential consequence
- Participate in major decisions that affect the facility's risk profile and exposure to risk
- Monitor how significant risks are managed
- Report annually to key stakeholders.

¹¹ Adapted from *Guide to using SPARC's Risk Management Toolkit*, 2010 available from <http://www.sportnz.org.nz/assets/Uploads/attachments/managing-sport/strong-organisations/Risk-Management-Toolkit-Guide.pdf>

6.3 Getting assistance

To ensure that the facility is compliant with the appropriate statutes and standards, develop positive working relationships with agents of WorkSafe NZ, Standards NZ, the Companies Office, IRD and other relevant organisations. They can assist with information about legal and statutory obligations, and undertaking risk and hazard assessments. There are also a number of consulting organisations which provide similar services in this area.

7 FAQs

Q: What risk management records should I be maintaining, and for how long?

A: Your facility will need a way of recording how it goes about complying with obligations under the Health and Safety in Employment Act (hazard management information and training, incident recording and investigation, emergency preparedness). While there is no legal period to keep these written records, they are a useful tool for monitoring health and safety practices, and training and development. Incident records are usefully kept for a minimum of seven years.

Q: Can a staff member refuse to work if they're worried about their health and safety?

A: Yes – the Health and Safety in Employment Act explicitly allows for this. If the employee has refused to carry out work, they must discuss this as soon as practicable with their employer and both must act in good faith to resolve the matter.

Q: What are the requirements with regards to health and safety representatives?

A: Your facility needs to have an agreed system of employee involvement in health and safety. This does not necessarily have to include a health and safety representative, as long as there is agreement in good faith of the method chosen and it represents the views of employees. However, the new legislation requires that if just one employer asks for a representative, then you must comply. In facility management, health and safety representatives are a practical and common way of managing employee views on health and safety.

Q: Who can be personally liable for health and safety and associated costs?

A: Under the Health and Safety at Work Act, the obligation on organisations and facilities is to do everything they reasonably can to keep people safe. Under the new Act, the expectations and liabilities of business owners, managers and officers (e.g. Board members) will change, increase and include more personal liability under some circumstances. Take time to inform yourself of the changes.

8 Templates

- 8.1 Risk register and management plan
- 8.2 Risk treatment and mitigation plan
- 8.3 Hazard identification template
- 8.4 Risk reporting plan
- 8.5 Health and safety report form
- 8.6 Handling difficult situations guidelines
- 8.7 Emergency evacuation plan best practice
- 8.8 Business continuity plan worksheet
- 8.9 Business continuity resource requirements
- 8.10 Contract management compliance checklist
- 8.11 Health and safety policy statement
- 8.12 Health and safety audit review template

8.1 Risk register and management plan¹²

Risk ref	Date risk raised	Risk description	Risk area	Likelihood	Current mitigation controls	Consequences	Likelihood	Current controlled risk rating	Additional treatment/actions	Consequences	Residual risk rating	Level of risk acceptable (yes/no)	Risk owners(s)	Next review date

¹² Adapted from Wellington City Council Risk Management Handbook, page 12

8.2 Risk treatment and mitigation plan

From *Risk Management Toolkit. A resource for arts organisation. Creative New Zealand, July 2014.*

Date done						
When will it be done?						
Who is responsible?						
How will we manage the risk?						
Risk level h/m/l						
Impact h/m/l						
Probability h/m/l						
Potential consequences						
Category						
Identified risk						

8.3 Hazard identification template

Area / task	Actual / potential hazard	Significant Yes/No	Control / Safe work practice	Risk score		

Conducting an area or task analysis

Step	Area analysis	Task analysis
1	Divide the work place (physical layout) into areas that can be easily defined.	Divide each job into its main tasks. Refer to procedure manuals, work-flow diagrams and conduct a careful analysis of each task.
2	Examine each area carefully to identify all the hazards and potential risks within it.	Examine the task to identify any possible hazards: <ul style="list-style-type: none"> • associated with carrying out each step • created if the task steps are incorrect or not completed.
3	Record each hazard you identify.	
4	Assess the significance of each hazard (see the key below)	
5	Suggest ways to control the hazard by eliminating, isolating, and/or minimising it.	
6	Repeat steps 2 to 5 until all areas have been examined.	
7	Ensure the business unit hazard register is updated with the hazards and controls	
Hazard	What could potentially or actually cause something to go wrong?	
Significant	Describes a hazard that is an actual or potential source of serious harm. Serious harm is defined as: <ul style="list-style-type: none"> • any harm that causes the person harmed to be hospitalised for a period of 48 hours or more commencing within seven days • loss of consciousness from lack of oxygen • any condition that results in loss of bodily function • amputation of body part • loss of consciousness, or acute illness requiring treatment by a registered medical practitioner, from absorption, inhalation, or ingestion, of any substance. 	
Control/safe work practice	What has been done to prevent the harm or damage? What stops it going wrong?	
Risk score	Once controls are in place, what is the current risk – based on the combined score from the consequence + likelihood from the risk matrix.	

8.4 Risk reporting plan

Accident Investigation

Name of organisation:

Branch/department:

Particulars of accident				
Date of accident M T W T F S S	Time	Location		Date reported
The injured person				
Name		Address		
Age	Phone number			
Date of accident		Length of employment —		
Type of injury:	<input type="checkbox"/> Bruising	<input type="checkbox"/> Burn scald	<input type="checkbox"/> Chemical reaction	<input type="checkbox"/> Dislocation
<input type="checkbox"/> Foreign body	<input type="checkbox"/> Fracture	<input type="checkbox"/> Internal	<input type="checkbox"/> Laceration/cut	<input type="checkbox"/> Scratch/abrasion
<input type="checkbox"/> Strain/ sprain	<input type="checkbox"/> Amputation	<input type="checkbox"/> Other (specify)		
Injured part of body		Remarks		
Damaged property				
Property/material damaged		Nature of damage		
		Object/substance inflicting damage		
The accident				
Description				
<i>Describe what happened (space overleaf for diagram — essential for all vehicle accidents).</i>				

Analysis	
<i>What were the causes of the accident?</i>	
How bad could it have been? <i>Circle one</i>	What is the chance of it happening again?
Very serious Serious Minor	Minor Occasional Often

Prevention			
What action has or will be taken to prevent a recurrence. Tick items actioned.	√	Who	When

Treatment and investigation of accident			
Type of treatment given	Name of person giving first aid	Doctor/Hospital	
Accident investigated by	Date	DOL advised YES / NO	Date

8.5 Health and safety report form



<p><i>Tick the box which applies</i></p> <p>The person named below is a ...</p> <p><input type="checkbox"/> AC Employee</p> <p><input type="checkbox"/> Contractor or sub-contractor</p> <p><input type="checkbox"/> Volunteer</p> <p><input type="checkbox"/> General Public / Visitor</p> <p><input type="checkbox"/> Other (describe)</p>	<p>Auckland Council</p> <p>Personal Health and Safety Report Form</p>	<p><i>Tick the box which applies</i></p> <p>This form is reporting a ...</p> <p><input type="checkbox"/> Injury Accident</p> <p><input type="checkbox"/> Near Miss</p> <p><input type="checkbox"/> New Discomfort <input type="checkbox"/> <input type="checkbox"/> Ongoing Discomfort</p> <p><input type="checkbox"/> Difficulty coping (change in mental or physical health) <input type="checkbox"/></p> <p><input type="checkbox"/> Harassment</p> <p><input type="checkbox"/> Other personal health concern or event</p>	
PERSONAL AND EMPLOYMENT DETAILS <i>Please fill in the spaces which apply</i>			
First Name		Last Name	Date of Birth
Home Phone	Work Phone	Cell Phone	E Mail
Usual Workplace (AC staff only)		Occupation (AC staff and Contractors only)	
Employers Name (Contractors only)		Home Address (Volunteers, General Public, Visitors and Others only)	
DETAILS OF THE EVENT OR PROBLEM <i>Please fill in the spaces which apply</i>			
Date	Time	Time started work on day of event (AC staff and contractors only)	
Location / Address (please give exact details i.e. Takapuna Library - Children's Section or the address if this happened in a community area)			
Description (describe what happened and continue on the back of the page if necessary)			
What were you doing at, or around, the time this event happened or problem became apparent?			
What do you think caused this? (Also describe any contributing causes i.e. something unusual that may have lead to this event, or occurred at the time)			
Describe any property damage (if applicable)			
DESCRIPTION OF THE INJURY OR HEALTH ISSUE <i>Please tick the boxes and mark the areas which apply</i>			
<p>Type of Complaint <i>(Tick more than one box if required)</i></p> <p><input type="checkbox"/> No injury</p> <p><input type="checkbox"/> Abrasions</p> <p><input type="checkbox"/> Amputation</p> <p><input type="checkbox"/> Animal bite</p> <p><input type="checkbox"/> Bleeding</p> <p><input type="checkbox"/> Breathing difficulty</p> <p><input type="checkbox"/> Broken bone</p> <p><input type="checkbox"/> Bruise</p> <p><input type="checkbox"/> Burn</p> <p><input type="checkbox"/> Concussion</p> <p><input type="checkbox"/> Cut</p> <p><input type="checkbox"/> Discomfort</p> <p><input type="checkbox"/> Dislocation</p> <p><input type="checkbox"/> Electric Shock</p> <p><input type="checkbox"/> Faint</p> <p><input type="checkbox"/> Headache</p> <p><input type="checkbox"/> Infection</p> <p><input type="checkbox"/> Nose bleed</p>	<p>Location of Injury or Complaint <i>(Mark the location of injury on the outline below)</i></p> <div style="text-align: center;"> </div>	<p>Action Taken <i>(Tick more than one box if required)</i></p> <p><input type="checkbox"/> None as yet</p> <p><input type="checkbox"/> First Aid</p> <p><input type="checkbox"/> Acupuncture</p> <p><input type="checkbox"/> Ambulance</p> <p><input type="checkbox"/> Chiropractor</p> <p><input type="checkbox"/> Counsellor</p> <p><input type="checkbox"/> De-brief (informal)</p> <p><input type="checkbox"/> Family Doctor</p> <p><input type="checkbox"/> Hospital</p> <p><input type="checkbox"/> Massage</p> <p><input type="checkbox"/> Osteopath</p> <p><input type="checkbox"/> Physiotherapy</p> <p><input type="checkbox"/> Private A&E Clinic</p> <p><input type="checkbox"/> Psychologist/Psychiatrist</p> <p><input type="checkbox"/> Workplace support referral</p> <p><input type="checkbox"/> Other (describe)</p>	
FORM COMPLETED BY			
Name		Signature	Date ___/___/___
<p><i>Please give this form to your designated leader on the day that this event or problem occurred or became apparent</i></p> <p>Manager/Designated Leader – Refer to the Investigation Form Overleaf</p>			

AC - Investigation of Personal Health and Safety Reports

Is an investigation required for the event described overleaf? An investigation is required if the event described involves... <ul style="list-style-type: none"> • An employee, volunteer, contractor, sub-contractor or "on-loan" worker • A serious harm injury to a member of the general public • Any near miss or injury accident that may have been contributed to by Council facilities or staff. If the above circumstances don't apply – no investigation is required.	Who should undertake the investigation? <ul style="list-style-type: none"> • The designated leader for the workplace. • And an elected and trained health and safety representative. <i>The seriousness of the event will dictate the need for other personnel or external specialists to be involved in the investigation. If in doubt – contact your H & S Advisor</i>
-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Complete Part A and B if an investigation is required Complete Part B if an investigation is not required

Part A Investigation Form

Further Background Details	
List below names of witnesses and/or any others involved in the event	Name of supervisor(s) at the time of the event

Causes Identified – Checklists (tick all causes identified)

Immediate Causes – What actions and/or conditions caused or could have contributed to this event?

Contributing Actions Identified <ul style="list-style-type: none"> <input type="checkbox"/> Using equipment improperly <input type="checkbox"/> Using equipment without authority <input type="checkbox"/> Improper lifting <input type="checkbox"/> Improper position for task <input type="checkbox"/> Improper loading <input type="checkbox"/> Improper placement <input type="checkbox"/> Using defective equipment <input type="checkbox"/> Operating at improper speed <input type="checkbox"/> Failure to follow procedures for the task <input type="checkbox"/> Failure to use ppe at all or used improperly <input type="checkbox"/> Failure to warn <input type="checkbox"/> Failure to secure <input type="checkbox"/> Making safety devices inoperable <input type="checkbox"/> Removing safety devices <input type="checkbox"/> Horseplay <input type="checkbox"/> Under influence of alcohol or other drugs 	<input type="checkbox"/> Other	Contributing Conditions Identified <ul style="list-style-type: none"> <input type="checkbox"/> No written procedures in place <input type="checkbox"/> Inadequate induction/training for task <input type="checkbox"/> Poor housekeeping – disorder <input type="checkbox"/> Congestion or restricted action <input type="checkbox"/> Inadequate or excess illumination <input type="checkbox"/> Inadequate ventilation <input type="checkbox"/> Inadequate guards or barriers <input type="checkbox"/> Inadequate or improper ppe <input type="checkbox"/> Defective tools, equipment or materials <input type="checkbox"/> Inadequate warning system <input type="checkbox"/> Fire and explosion hazards <input type="checkbox"/> Hazardous environmental conditions, gases, dust, smoke, fumes, vapours. <input type="checkbox"/> Noise exposure <input type="checkbox"/> Radiation exposure <input type="checkbox"/> High or low temperature exposure <input type="checkbox"/> Wear and tear 	<input type="checkbox"/> Other
------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------	---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	--------------------------------

Basic Causes – What specific personal or job factors caused or could have contributed to this event?

Personal Factors Identified <ul style="list-style-type: none"> <input type="checkbox"/> Lack of knowledge <input type="checkbox"/> Lack of skill <input type="checkbox"/> Improper motivation <input type="checkbox"/> Inadequate capability <input type="checkbox"/> Stress 	<input type="checkbox"/> Other (list all other factors)	Job Factors Identified <ul style="list-style-type: none"> <input type="checkbox"/> Lack of leadership/supervision <input type="checkbox"/> Inadequate work standards <input type="checkbox"/> Inadequate purchasing <input type="checkbox"/> Inadequate engineering <input type="checkbox"/> Inadequate maintenance <input type="checkbox"/> Inadequate tools/equipment <input type="checkbox"/> Unclear role <input type="checkbox"/> Incorrect design 	<input type="checkbox"/> PPE not supplied <input type="checkbox"/> Abuse <input type="checkbox"/> Other (list all other factors)
----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	---------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------

Description of Causes Identified (if required)

Preventative Action Plan *What action has or will be taken to prevent a recurrence?*

Action	By Whom	By When

Names of Investigators **Date of Investigation**

--	--

Part B Manager or Designated Leader to Complete

Name	Signature	Date

Send this completed form to the your H&S Advisor on the day of occurrence or notification

Copy sent to

<input type="checkbox"/> Natasha King,	<input type="checkbox"/> Centre Manager	<input type="checkbox"/> If serious accident, also send a copy to Group Manager
<input type="checkbox"/> Michael Groom		

8.6 Handling difficult situations guidelines

This guideline describes:

- what to do when your personal safety is threatened by members of the public
- how to deal with armed robbery
- the roles and responsibilities for employees, managers and health and safety representatives
- employee training requirements.

For information on how to deal with difficult situations at work involving fellow staff members refer to [Workplace Harassment policy](#), [Code of Conduct](#).

What is a Difficult Situation?

A difficult situation is any incident in which abusive, threatening or violent behaviour by a member of the public causes a Council employee to feel unsafe. Difficult situations can involve a range of intensity from verbal abuse to physical injury or armed robbery. Council employees are not expected to manage or resolve difficult situations, but rather do what they can to keep themselves safe.

Council employees, who are in contact with the public, are potentially exposed to difficult situations (such as violence or threatening behaviour). These situations are significant hazards and will be identified and managed as such according to the Health and Safety Management System.

Training

All frontline staff must complete non-violent conflict intervention training on dealing with difficult situations (including armed robbery) within one month of beginning employment. Refresher classes are held every two years.

The [non-violent conflict intervention course](#) (NCI) teaches you to:

- Reduce the risk of injury by decreasing the number of physical interventions.
- Improve communication among staff by establishing a common language.
- Boost staff confidence to intervene both verbally and physically.
- Alleviate the stress and anxiety associated with confusion or uncertainty in crisis moments.
- Feel safe at work again.

You will learn

- How to identify behaviours that could lead to a crisis.
- How to most effectively respond to each behaviour to prevent the situation from escalating.
- How to use verbal and nonverbal techniques to defuse hostile behaviour and resolve a crisis before it becomes violent.
- How to cope with your own fear and anxiety.
- How to use CPI's Principles of Personal Safety to avoid injury if behaviour becomes physical.
- That there are two forms of aggressive behaviour: Verbal acting out and Physical acting out

The course teaches the Crisis Development Model (CPI) below.

Crisis Development/Behaviour Levels	Staff Attitudes/Approaches
Anxiety – a noticeable increase or change in behaviour	Supportive – be empathetic, active listening. Avoid being judgemental.
Defensive – beginning stage of loss of rationality. May be hostile and challenge authority.	Directive – setting limits
Acting-out person – a total loss of control. A danger to self and others	Non violent physical crisis intervention
Tension reduction – a decrease in emotional or physical energy after any crisis level	Therapeutic rapport – communication is key, talk with the person. Debriefing

To arrange training contact the health, safety and wellness team.

What to do in a Difficult Situation

Use the following procedure when faced with a difficult situation:

Step	Action						
1	Keep yourself and your co-workers safe. Don't try to be a hero.						
2	Leave the area, if it is safe to do so.						
3	If you cannot leave the area safely, cooperate with the person, i.e. follow the demands made of you.						
4	Call for help. <table border="1" data-bbox="488 1323 1267 1559"> <thead> <tr> <th>If security is...</th> <th>Then...</th> </tr> </thead> <tbody> <tr> <td>available</td> <td> <ul style="list-style-type: none"> call Security on x3373, or use the duress alarm button. </td> </tr> <tr> <td>unavailable</td> <td> <ul style="list-style-type: none"> call the police on 111, or if that is not possible call your supervisor or seek help from anyone in the area. </td> </tr> </tbody> </table>	If security is...	Then...	available	<ul style="list-style-type: none"> call Security on x3373, or use the duress alarm button. 	unavailable	<ul style="list-style-type: none"> call the police on 111, or if that is not possible call your supervisor or seek help from anyone in the area.
If security is...	Then...						
available	<ul style="list-style-type: none"> call Security on x3373, or use the duress alarm button. 						
unavailable	<ul style="list-style-type: none"> call the police on 111, or if that is not possible call your supervisor or seek help from anyone in the area. 						
5	Make notes as soon as possible after the incident to help the incident investigation (e.g. a description of the person, vehicle registration).						
6	Inform your manager of the incident.						
7	Report the incident. (Refer to the <u>health and safety toolkit</u>)						
8	If necessary, discuss the incident with your manager, Employee Assistance Programme (EAP) counsellor or a co-worker.						

Dealing with Armed Robbery

An armed hold-up is where a person uses violence, or threats of violence, to enable them to steal something, or prevent or overcome any resistance to it being stolen. For example, threatening someone with a weapon, to obtain money or goods.

If you are involved in an armed robbery, you should:

- C**alm yourself: focus on controlling fear.
- O**bey the offender's instructions without question.
- O**bserve the offenders differentiating features, if safe to do so.
- P**reserve the scene for evidential purposes after the offender leaves.

Note: COOP is a standard procedure developed by the New Zealand Police.

Do only those things that keep you safe. Help the person to get what they want, and to leave your workplace as soon as possible.

Duress alarm buttons

Duress alarm buttons are installed in some locations where staff deal with the public. Calls are monitored 24 hours a day by Council Security.

If an alarm is installed at your location, and you feel at risk, use it only if it is safe to do so. Managers should ensure employees practise ways of using the alarm unobtrusively.

Responding to Incidents

Supervisors and managers must respond to all reports of difficult situations, which their staff have faced, by:

- using the normal incident reporting and incident investigation procedures (see [health and safety toolkit - incident investigation and reporting](#))
- developing measures to prevent or control similar situations in the future (see [health and safety toolkit – hazard management](#))

Hazard identification

When identifying hazards and developing controls related to difficult situations it can be useful to:

- identify the specific areas of work where staff are likely to be exposed to violence from members of the public
- asking staff if they ever feel threatened or unsafe (this could include surveying staff in confidence if required)
- review previous incident reports

Responsibilities

Employees

Responsibility	Description
Keeping safe	<ul style="list-style-type: none"> knowing what to do to keep themselves safe in the workplace reporting all incidents of a violent or threatening nature, or those in which they feel unsafe or uncomfortable.
Being prepared	<p>Working with their manager to prepare for potentially difficult situations while they are working, including:</p> <ul style="list-style-type: none"> identifying potentially difficult situations suggesting hazard control methods being aware of the hazard control methods outlined in the Hazard register and Standard security operating procedures (SSOPs) helping their manager/supervisor to identify training needs.

Managers and supervisors

Responsibility	Description
Responding to incidents	Responding to any incidents where their staff have been faced with a difficult situation.
Ensuring staff are prepared	<ul style="list-style-type: none"> ensure staff are adequately trained and prepared for what to do in difficult situations ensure frontline service staff complete training on dealing with difficult situations (including armed robbery) within one month of beginning employment involve staff in identifying and managing potentially difficult situations as significant hazards keep staff informed of the results of any enquiries Encourage staff to report any incidents of a violent or threatening nature, or those in which they feel unsafe or uncomfortable.
Identifying potentially difficult situations	<ul style="list-style-type: none"> asking staff whether they ever feel threatened or unsafe talking to staff, and allowing them to express their concerns surveying staff in confidence Reviewing incident reports, for examples of previous situations.

Responsibility	Description
Hazard control measures	<ul style="list-style-type: none"> • responding immediately to any concerns raised by staff • identifying potentially difficult situations (significant hazards), with staff and health and safety representatives • designing and implementing hazard control methods • including the identified hazards and controls in the BU hazard register and relevant Standard security operating procedures (SSOPs) • establishing back up procedures to be employed during and after an incident.
Informing staff	<p>Staff will feel more secure if they are aware:</p> <ul style="list-style-type: none"> • of existing problems that have been recognised, and will be addressed, by management, or • that no problems have been identified.
Encouraging staff to report incidents	<p>Ensure staff are adequately trained and encouraged to identify incidents that should be reported. Some staff may not want to report incidents, for different reasons, e.g. they may accept aggressive behaviour as part of their job.</p> <p>Ensure staff understand that the only way to help prevent the incident reoccurring is to report it. These incidents will then be investigated to see how the problem can be addressed.</p>
Standard security operating procedures (SSOP)	<p>Establishing back up procedures to be employed during and after an incident. These procedures must be documented in the BU's SSOP, and include:</p> <ul style="list-style-type: none"> • access to emergency numbers • means of indicating alarm to co-workers • set roles for staff • procedures for immediate first aid and medical help • victim support. <p>Refer to Security Standard.</p>

H&S representatives

Health and safety representatives can assist managers to carry out their “Ensuring staff are prepared” and “Hazard control measures” responsibilities.

8.7 Emergency evacuation plan best practice

An example of an emergency evacuation plan is available as a separate download.

8.8 Business continuity plan worksheet

What What needs to be done to resume business functionality (high level)	How List the tasks which need to be undertaken to achieve what needs to be done (details)	Who Who will be conducting each task? (name/ role)	Deadline How long after the interruption should each task be complete? (hours/days)	Resource needs What resources will you need for each task?	Contingencies What are the contingencies if these resources are unavailable?	References What reference documents will be needed (e.g. Guidelines, SOPs, Manuals)	Data requirements What electronic or physical documentation is needed to meet this objective?	Messages Stakeholders that need to be communicated with? Messages/mode?	Assumptions List assumptions made about these action plans.
These statements will help define the phase objectives	These will become 'actions' within a phase	This is who will complete the actions	This is the time statement for each action	Resources will need to be listed per phase	Should be noted at the end phase or action plan	Should be noted at the end phase or action plan	Should be noted at the end phase or action plan	Should be noted at the end phase or action plan	NOTE – These assumptions will need to be turned into arrangements as part of writing the BCP.

8.9 Business continuity resource requirements

Adapted from Ready Business website

Resource category	Resource details	Normal qty	Quantity needed following disaster			
			25 hours	72 hours	1 week	Later (specify)
<i>Managers</i>	Who Where					
<i>Staff</i>	Primary site, relocation site and recovery site					
<i>Office space</i>						
<i>Office equipment</i>	Furniture, phone, copiers, fax					
<i>Office technology</i>	Desktops, laptops, printers with connectivity, wireless devices (with email access)					
<i>Vital records, data, information</i>	Staff contacts Asset schedule Condition assessment Policies and procedures					
<i>Accessible virtual data storage off site</i>						
<i>Facilities</i>	Owned leased or reciprocal agreement					
<i>Equipment</i>						
<i>Third party services</i>						

8.10 Contract management compliance checklist

The following are examples of questions and information that should be considered during the pre-qualification phase of contractor management. Use the prompts below to think about what type of information should be received from the Contractor.

Subject	Information required / expectations
<i>Business information</i>	<p>This category may include questions or invite respondents to provide information on:</p> <ul style="list-style-type: none"> • the numbers of employees • corporate structure • a summary of experience relevant to the work being tendered for, and references. <p>A principal should ask its contractors: "What do you expect from us as the client?"</p>
<i>Key personnel</i>	<p>Supply the name, qualifications and experience of the person proposed to be in control of the place of work for the project.</p> <p>Supply details of key employees on the project, and health and safety qualifications held.</p> <p>Name: Qualification:</p>
<i>Insurance and accident compensation</i>	<p>Provide details of:</p> <ul style="list-style-type: none"> • public liability insurance held; and • accreditation in ACC injury prevention programmes.
<i>Compliance with standards</i>	<p>Where relevant, contractors may be required to provide evidence of their conforming with ISO 9000, AS/NZS, or other standards for health and safety compliance.</p>

Health and safety management	
<i>Policy</i>	<ul style="list-style-type: none"> • Is there a written health and safety policy? (if yes, provide a copy) • Is the policy signed by the managing director? <p>How is the policy communicated to employees?</p>
<i>Subcontractors</i>	<p>List subcontractors that will be used, and for which tasks.</p> <ul style="list-style-type: none"> • Has their competence been formally assessed? • Was health and safety considered in their selection? • Is there an induction/orientation programme for new subcontractors and their employees? <p>Are there procedures for controlling the safety performance of subcontractors?</p>
<i>Organisation</i>	<ul style="list-style-type: none"> • Name the senior manager in charge of health and safety. • Provide details of how the work is supervised, and who will be responsible for supervision.
<i>Arrangements</i>	<p>An outline of the procedures in place to ensure a safe system of work.</p> <ul style="list-style-type: none"> • Are there documented working practices and safety instructions? • How often are these audited? • Are there procedures for maintaining plant, equipment and vehicles in a safe condition? • Are there procedures in place for employees to actively participate in the improvement of health and safety systems and procedures? <p>How is personal protective equipment supplied to all employees?</p>
<i>Information, training and supervision</i>	<p>Summarise the health and safety training and information managers and supervisors receive to help ensure health and safety in the work they manage or supervise.</p> <p>Summarise the health and safety information, instruction, and training employees have received in relation to their work and the equipment they use.</p> <ul style="list-style-type: none"> • Is formal safety training given to employees? • Have the personnel who will undertake specific work received formal <i>training in</i> all relevant areas? • If so, what form does it take? • Is there an induction/orientation programme for new employees? <p>Are there health and safety representatives?</p>
<i>Emergency procedures</i>	<p>Provide details of emergency procedures and planning.</p> <ul style="list-style-type: none"> • Does the emergency plan identify responsibilities and procedures to be followed? • Have all staff received training in emergency procedures? <p>Have emergency drills been carried out within the last 12 months?</p>
<i>Planning and setting performance standards</i>	<p>More detail will be required for more complex or higher-hazard projects.</p>

Health and safety management	
<i>Hazard assessment</i>	<ul style="list-style-type: none"> Are formal hazard assessments carried out and recorded? (The contractor may be asked to provide examples with related information e.g. method statements, explaining health and safety controls and other precautions.) Where hazards are identified, is there a system to identify and assess significant hazards? Are accidents and incidents reviewed for the existence or otherwise of significant hazards? Is there a system for identifying new hazards? <p>Are there procedures for eliminating, isolating or minimising significant hazards?</p>
<i>Accident investigation</i>	<ul style="list-style-type: none"> Is the accident register maintained and reviewed for hazard assessment? Is there an investigation into any accident that results in harm, or could have resulted in harm? Do investigations include remedial action plans to initiate future prevention? Are the following advised of accidents: <ul style="list-style-type: none"> The employees and health and safety representatives? Where there is serious harm, the Department of Labour? The principal Describe the responsibilities for notifying specified work, and reporting illness or injury
<i>Hazardous substances</i>	<p>List the hazardous substances used.</p> <ul style="list-style-type: none"> Are the key hazardous substances recorded? Are there safety data sheets accessible for hazardous substances? Are test certificates current for required sites? Are there approved handlers for hazardous substances where required? Are MOSHH assessments carried out and regularly reviewed?
Plant and equipment	<i>Are plant and equipment, lifting gear, etc. inspected, tested, examined and maintained, and proper records available?</i>
Health monitoring/surveillance	<i>Describe the monitoring/surveillance of employees and the workplace, particularly with regard to any specific hazards outlined by the principal.</i>
Measuring and improving health and safety	<p><i>Describe how performance is systematically assessed by inspection, audits etc.</i></p> <p>Are there:</p> <ul style="list-style-type: none"> In-house safety meetings and/or safety committees? Safety inspections or audits? <p>Other forms of employee participation?</p>
Review	<p><i>Describe what happens to the results of checks, investigations and audits.</i></p> <p>How will the principal be involved in the review process?</p>
Completed by	<p>Name:</p> <p>Contact details:</p> <p>Date: Signed:</p>

8.11 Health and safety policy statement

[Facility/organisation name]

Health & Safety Policy Statement

[Facility/Organisation name] is committed to the provision of a healthy and safe working environment for employees, and others who may be affected by its activities. Appropriate financial and staffing resources will be allocated to ensure that all Occupational Safety & Health (OSH) legislative requirements are complied with and the best available OSH management systems are maintained.

Rehabilitation is regarded as an integral part of the process for dealing with injury or illness and it is recognised that rehabilitation should commence as soon as possible following injury or illness. Therefore in consultation with treating practitioners, every effort will be made to assist employees in an early, safe return to meaningful and productive work.

In fulfilling this commitment, facility or organisation name will strive to eliminate any foreseeable hazards.

In particular, *[facility/organisation name]* will:

- Ensure an effective health and safety programme is established, maintained and regularly reviewed.
- Require management at all levels to be responsible and accountable for the implementation of safety programmes as it relates to their employees.
- Ensure employees are trained on the equipment they operate, and perform their duties in accordance with established operating procedures.
- Integrate health and safety into day-to-day management practices.
- Involve employees in health and safety matters and encourage their active participation in hazard identification and control.

Signed.....

Name:

Position:

Facility/Organisation:

8.12 Health and safety audit review

This form is to be completed by the facility manager in June each year.

Facility name:	Date:
Manager:	Signed:

Notes:

1. Where No is indicated, please comment on corrective actions taken
2. Send a copy of this report to the Health and Safety Manager by end of June.

Hazard management	Yes	No	Comments/action to take
Do you have a systematic procedure to identify and record actual and potential hazards in the workplace?			
Has the hazard register been reviewed in the last 12 months?			
Have any new hazards been reported over the last six months?			

9 Questions for Educational Context

Risk assessment

Consider and discuss some of the worst potential outcomes of poor risk management. Name one recent example of poor risk management in sport and recreation and the outcome (actual, or imagined) for the organising body.

Name the four steps in the risk assessment process. Briefly describe what is involved in each step of this process.

Risk identification and treatment

Choose four areas of facility planning and under each one, identify at least two potential areas of risk and describe a treatment method for that risk. Note the resources that may be required in order to treat the risk appropriately (e.g. financial and time resources needed to train staff).

Outline the four major ways that managers and staff can ensure risk is identified and managed appropriately.

10 References and Further Information

10.1 Further information

ISO31000:2009 Risk Management – Principles and Guidelines,
http://www.iso.org/iso/catalogue_detail?csnumber=43170

Accident Compensation Corporation health and safety resources accessed from
www.acc.co.nz

A guide for employers and employees on dealing with violence from
<http://www.business.govt.nz/worksafe/information-guidance/all-guidance-items/violence-at-work-a-guide-for-employers-and-employees-on-dealing-with-violence.pdf>

Employers and Manufacturers Association employer guides, training and support accessed from <http://www.ema.co.nz/>

Government of Western Australia, Safety and Integrity in Sport accessed from
<http://www.dsr.wa.gov.au/support-and-advice/safety-and-integrity-in-sport>

Institute of Directors health and safety resources accessed from www.iod.org.nz

Ministry of Civil Defence and Emergency safety planning guidelines accessed from www.mcdem.govt.nz

Ministry of Business, Innovation and Employment accessed from
www.mbie.govt.nz

New Zealand Legislation accessed from <http://legislation.govt.nz/>

Sport NZ's Risk Management Toolkit for Sports Clubs accessed from
www.sportnz.org.nz

Standards NZ accessed from <http://www.standards.co.nz>

WorkSafe NZ accessed from <http://www.business.govt.nz/worksafe/>

Consultancies that undertake audits and develop health and safety plans and procedures for facilities:

- Securo at www.secro.co.nz
- All About People at allaboutpeople.co.nz
- Ministry of Employment Business, Innovation and Employment at www.dol.govt.nz/er

10.2 References

- Accident or serious harm, 2015 accessed from <http://www.business.govt.nz/worksafe/notifications-forms/accident-serious-harm>
- Australia/New Zealand Handbook SAA/SNZ HB 246:2010 Guidelines for Managing Risk in Sport and Recreation Organisations
- Business continuity plan 2012, accessed from <http://www.ready.gov/business/implementation/continuity>
- Business Continuity Standard, accessed from <http://www.iso.org/iso>.
- Creative New Zealand, July 2014. Risk Management Toolkit. A resource for arts organisations
- Crowd management planning 2013 accessed from www.med.govt.nz/majorevents/resource-bank/health-and-safety/crowd-management-planning
- Employee right to refuse possible unsafe work, 2015, accessed from <http://www.dol.govt.nz/workplace/knowledgebase/item/1424>
- Guide to using Sport NZ's Risk Management Toolkit, 2010, accessed from <http://www.sportnz.org.nz/assets/Uploads/attachments/managing-sport/strong-organisations/Risk-Management-Toolkit-Guide.pdf>
- New Zealand Handbook, Guidelines for Risk Management in Sport and Recreation, Standards NZ, SNZ HB 8669:2004
- Sport NZ, Guide to Health and safety reforms, accessed from <http://www.sportnz.org.nz/assets/Uploads/attachments/managing-sport/strong-organisations/Health-and-Safety-Reforms.pdf>
- Wellington City Council, Contract management compliance checklist
- Wellington City Council, Dealing with difficult situations guidelines
- Wellington City Council, Hazard identification form area/task analysis
- Wellington City Council, Risk management handbook
- What is business continuity, 2015, accessed from <http://www.thebci.org/index.php/resources/what-is-business-continuity>
- Workplace health and safety reform, 2015, accessed from <http://www.mbie.govt.nz/what-we-do/workplace-health-and-safety-reform>

