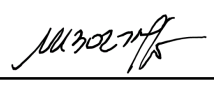
 GUAM WATERWORKS AUTHORITY	STANDARD OPERATING PROCEDURE	No.	SOP-1300-SAF-004
	Workplace Violence Prevention Plan and Procedure	Effective Date	7/2/2025
		Final Approver	 Miguel C. Bordallo, P.E. General Manager
		Revision Letter	A

1.0 Purpose

This Standard Operating Procedure (SOP) establishes Guam Waterworks Authority's (GWA) rules to provide, promote, and maintain a safe work environment that is free from violence, harassment, intimidation, and other disruptive behavior for GWA's employees and the visiting public.

2.0 Scope

This SOP applies to all GWA's employees, contractors, vendors, and the visiting public who are within any of GWA's facilities.

3.0 Policy

GWA is committed to preventing workplace violence and maintaining a safe work environment. Therefore, any acts or threats of physical violence, including intimidation, harassment, or coercion, by any GWA employee, contractor, vendor, or the visiting public, or which occurs on GWA property, shall not be tolerated.

Further, no retaliations will be taken against any employee who reports or experiences workplace violence. All claims of workplace violence will be investigated, acted upon, and remedied promptly, in accordance with established rules, regulations, and/or policies. Non-employee (public) violations of this policy will be handled in accordance with applicable laws.

This SOP is established in accordance with the requirements of the Code of Federal Regulations (CFR) 1910, General Duty Clause Section 5(a)(1) of the Occupational Safety and Health Act of 1970 (OSHA) and as recommended by the Director of the Department of Administration (DOA)'s *Memorandum HRD No. 06-0381 (Attachment 1)*.

4.0 Definitions

- 4.1. **Complainant:** Any individual who reports an incident or potential incident of workplace violence. The Complainant may be the direct victim of the behavior, a witness, or a third party who becomes aware of the situation and reports concerns through the appropriate channels.
- 4.2. **ESS Report an Incident:** Digital incident reporting tool under JD Edwards EnterpriseOne (E1) used by GWA employees.
- 4.3. **Workplace Violence:** Any act or threat of physical or verbal violence, harassment¹, intimidation, or other threatening disruptive behavior that occurs at the work site. It ranges from threats and verbal abuse to physical assaults and even homicide. It can affect and involve employees, contractors, vendors, and the visiting public. Examples of workplace violence include, but are not limited to:

- Threatening behavior, such as shaking fists, destroying property, or throwing objects;

¹ As defined by the [EEOC](#), harassment is unwelcome conduct that is based on race, color, religion, sex, national origin, older age (beginning at age 40), disability, or genetic information that becomes unlawful where 1) enduring the offensive conduct becomes a condition of continued employment, or 2) the conduct is severe or pervasive enough to create a work environment that a reasonable person would consider intimidating, hostile, or abusive. Sexual harassment is covered in a separate SOP.

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- Verbal or written threats that express an intent to inflict harm;
- Physical attacks; and
- Any other act that would arouse fear in a reasonable person in the circumstances.

5.0 Roles and Responsibilities

5.1.	General Manager (GM)	<p>Approves this SOP and all its subsequent changes.</p> <p>Approves or denies the action to be taken on a complaint about workplace violence, based on the Personnel Services Administrator's (PSA) recommendation with the Staff Attorney's review and concurrence.</p>
5.2.	Assistant General Manager for Compliance and Safety (AGM-CS)	Oversees the development, revision, and implementation of this SOP as the Policy Owner.
5.3.	Staff Attorney	<p>Supports the Safety Division during the course of the investigation to ensure that all relevant facts, documentation, and legal considerations are appropriately addressed.</p> <p>Reviews and concurs the PSA's recommendation for the appropriate disciplinary action to be taken prior to the GM's review.</p>
5.4.	Safety Inspector Supervisor	<p>Reviews this SOP annually and recommends necessary changes to the AGM-CS for consideration.</p> <p>Ensures that proper training and/or training guidelines are provided to the affected employees every two (2) years to ensure proper compliance with this SOP.</p> <p>Reviews the official investigation report prepared by the Safety Division and submits the report to the PSA with the EMR Section copied.</p>
5.5.	Personnel Services Administrator (PSA)	<p>Ensures all employees are informed of GWA's Workplace Violence Prevention Plan and Procedure, and all managers or designees are aware of their duties and responsibilities under this SOP.</p> <p>Receives the official investigation report from the Safety Inspector Supervisor and recommends to the GM, with the Staff Attorney's review and concurrence, the appropriate disciplinary action to be taken.</p>

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		Provides updates to the Safety Division and the applicable AGM about the case resolution within thirty (30) days following the incident.
5.6.	Division Managers, Supervisors, or Designees	<p>Monitor personnel to ensure compliance with this SOP and provide guidance if needed.</p> <p>Undertake all reasonable steps to ensure a safe work environment.</p> <p>Ensure all employees are made aware of this SOP and that any act of workplace violence will not be condoned.</p> <p>Take appropriate and immediate action in the event workplace violence occurs by promptly informing the Safety Division or the Guam Police Department (GPD) as appropriate.</p>
5.7.	Safety Division	<p>Handles all complaints related to workplace violence.</p> <p>Responsible for conducting investigations and reporting of all incidents or acts of workplace violence.</p> <p>Prepares the official investigation report within fifteen (15) days following the incident.</p> <p>Coordinates with the Staff Attorney during the course of investigation to ensure that all relevant facts, documentation, and legal considerations are appropriately addressed.</p>
5.8.	Human Resources Department (HR) Employee Management Relations (EMR) and Training & Development Section	<p>Files and retains all reports of workplace violence as permanent records.</p> <p>Coordinates with the Safety Supervisor training information to establish and/or update training programs</p> <p>HR's Training and Development shall update training programs as needed.</p> <p>Training of employees shall be conducted every two (2) years regarding this SOP and be considered mandatory.</p> <p>Responsible for tracking compliance of training and coordinate with respective supervisors, completion and/or non-compliance.</p>

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5.9.	Employees	Strictly abide by the contents of this SOP and report any disruptive behavior that does not promote a safe workplace. When confronted by a situation not covered by this SOP or requiring clarification, seek the manager's, administrator's, or supervisor's assistance.
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6.0 Procedure Description

6.1. Standards of Conduct:

- 6.1.1. No employee or any other individual affiliated with GWA, such as a vendor or contractor, a Consolidated Commission on Utilities (CCU) Board Member, or an employee's family member, shall subject any other person to workplace violence, allow or create conditions that support workplace violence.
- 6.1.2. All employees, customers, vendors, or business associates should be treated with courtesy and respect at all times. Employees are expected to refrain from fighting, "horseplay" or other conduct that may be dangerous to others.
- 6.1.3. Conduct that threatens, intimidates, or coerces an employee, customer, vendor, or business associate will not be tolerated.
- 6.1.4. GWA resources may not be used to threaten, stalk, or harass anyone at or outside the workplace.

6.2. **Performance/Conduct Indicators:** It is difficult to predict when a person is going to be violent. Understanding and recognizing the signs is key to preventing workplace violence. All employees, both supervisory and non-supervisory, must be aware of the signs that may be an indication of workplace violence (**Attachment 2**). It is extremely important to understand that these examples of conduct do not mean a person will become violent, but they may indicate that the person is experiencing high levels of stress. Each situation is unique and professional judgment or outside assistance may be necessary to determine if intervention is necessary.

6.3. **Guidelines on Dealing with Workplace Violence:** The following guidelines are provided to deal with intimidation, harassment, or other threats of actual violence that may occur onsite or offsite during work-related activities.

- 6.3.1. Indirect or direct threats of violence, incidents of actual violence, and suspicious individuals or activities must be reported as soon as possible to a Supervisor and the Safety Division. Employees or Supervisors who fail to report any complaint or instances of workplace violence may be subject to disciplinary action.
 - 6.3.1.1. For acts of violence involving injuries or weapons, any person observing an incident should call 911 first, then notify his/her Supervisor and the Safety Division.
- 6.3.2. When reporting a threat or incident of violence, the employee should be as specific and detailed as possible.
- 6.3.3. Employees should not place themselves in danger, nor should they attempt to intercede during an incident.

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- 6.3.4. If one of the parties is a non-employee, notify the Guam Police Department immediately.
- 6.4. **Employees' Responsibilities:** It is up to each employee to help make GWA a safe workplace for everyone. The expectation is that each employee will treat all other employees, as well as customers or clients, with dignity and respect, and be cognizant of and report situations that result or could result in workplace violence.
 - 6.4.1. **Employees (including Managers and Supervisors) are responsible for:**
 - 6.4.1.1. Their behavior by interacting responsibly with fellow employees, supervisors, or customers;
 - 6.4.1.2. Being familiar with GWA's policy regarding workplace violence;
 - 6.4.1.3. Promptly reporting actual and/or potential acts of violence to appropriate authorities;
 - 6.4.1.4. Cooperating fully in investigations/assessments of allegations of workplace violence; and
 - 6.4.1.5. Informing appropriate personnel about restraining or protective court orders related to domestic situations so that assistance can be offered at the work site.
 - 6.4.2. **Managers and Supervisors are additionally responsible for:**
 - 6.4.2.1. Informing employees of the department's workplace violence policy and program;
 - 6.4.2.2. Taking all reported incidents of workplace violence seriously;
 - 6.4.2.3. Contacting the Safety Division and, as appropriate, the Guam Police Department. In the event of an assault or a perceived threat, the individual or third party may contact the Guam Police Department without waiting for the Safety Division;
 - 6.4.2.4. Promptly informing the Safety Division about any acts or threats of violence, even if the situation has been addressed;
 - 6.4.2.5. Full cooperation in investigations of all acts of violence, threat, and similar disruptive behavior in a timely fashion and taking the necessary corrective action(s);
 - 6.4.2.6. Providing feedback to employees regarding the outcome of their reports regarding violent or potentially violent incidents;
 - 6.4.2.7. Requesting, where appropriate, assistance from functional area expert(s);
 - 6.4.2.8. Being cognizant of situations that have the potential to produce violent behavior and promptly addressing them with all concerned parties;

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6.4.2.9. Encouraging employees who show signs of stress or evidence of possible domestic violence to seek assistance;

6.4.2.10. Assuring, where needed, that employees have time and opportunity to attend training, (e.g., conflict resolution, stress management, etc.); and

6.4.2.11. Identifying/recommending what type of action to be taken:

- Corrective action (i.e., counseling, reprimand, warning, or progressive discipline);
- Disciplinary action (i.e., suspension, demotion, or dismissal);
- Recommend professional counseling services; or
- Recommend medical examination.

6.4.3. Counseling and medical services will be provided by GWA.² An employee who was provided the opportunity to correct and improve his/her behavior will be subject to dismissal upon reoccurrence of his/her participation in acts of workplace violence.

6.5. **Reporting:** All GWA employees who discover, witness, or have personal knowledge of a workplace violence incident should follow the applicable procedures below and as summarized in the *flowchart (Attachment 3)*.

6.5.1. Contact the Safety Division at any of the following numbers and notify his/her Supervisor immediately.

GWA Safety Division Contact		
Safety Inspector Supervisor	Safety Inspector	Safety Inspector
Office: (671) 300-6349	Office: (671) 300-6358	Office: (671) 300-6340 x6386

Refer to **Attachment 4** for the complete list of Safety Personnel's contact numbers.

6.5.2. There may be occasions where, under emergency circumstances, immediate action or attention is required before contacting the Safety Division. In case of threat or intimidation, do not engage in a fight/altercation; leave the premises and call 911.

6.5.3. Submit an incident report through the ESS 'Report an Incident' tool, if accessible, or fill out the *Incident Report – Witness* form (**Attachment 5**) and submit to the Safety Division within 24 hours after the incident occurred.

6.6. **Investigation:** The Safety Division is responsible for conducting a thorough investigation and reporting of all incidents or acts of workplace violence. Investigation and reporting shall include the initial assessment, immediate actions taken, interviews, review of emails, texts, CCTV, and any other fact-finding information.

6.6.1. The Safety Division shall prepare an official investigation report and submit it to the Safety Inspector Supervisor for review within fifteen (15) calendar days of the reported workplace violence incident. During the course of the investigation, the

² As delineated in Chapter 9 *Health & Safety* of the GWA Personnel Rules & Regulations (PR&R).

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Safety Division shall coordinate with the Staff Attorney to ensure that all relevant facts, documentation, and legal considerations are appropriately addressed.

- 6.6.2. Once reviewed, the Safety Inspector Supervisor submits the official investigation report to the Personnel Services Administrator (PSA), with the Employee Management Relations (EMR) Section copied.
- 6.6.3. The PSA prepares a recommendation for the appropriate disciplinary action to be taken, which shall be reviewed and concurred with by the Staff Attorney. Once finalized, the PSA forwards the recommendation to the GM and notifies the applicable AGM of the incident.
- 6.7. **Closing the Case:** The GM reviews the report and approves or denies the action to be taken based on the PSA's recommendation that was reviewed and concurred with by the Staff Attorney.
 - 6.7.1. Upon receipt of the GM's decision, the PSA updates the Safety Division and the applicable AGM about the case resolution within thirty (30) days following the incident.
 - 6.7.2. HR shall file all workplace violence reports as permanent records.
 - 6.7.3. Investigative records shall be accessible only to designated individuals with a legitimate need-to-know, in accordance with GWA policies governing access to sensitive information.
- 6.8. **Confidentiality:** Strict confidentiality is required to properly investigate an incident and to offer appropriate support to all parties involved. Any individual who becomes aware of an incident of violence should not disclose the details of the incident to any third party without prior consultation with the Complainant. Gossip, speculation, or unauthorized discussion of the incident compromises the privacy of those involved and will not be tolerated. Those with questions or concerns about an incident should speak to his/her Supervisor.
- 6.9. **Non-Retaliation:** All persons involved in the processing of a complaint will ensure that the Complainant is neither penalized nor subjected to any prejudicial treatment as a result of making the complaint. Disciplinary action will be taken against any person who takes any reprisal against a person who reports workplace violence.
- 6.10. **Mandatory Training:** A significant element in minimizing workplace violence is a workforce trained in the identification of situations that are likely to result in workplace violence and the handling and reporting of such situations. The HR's Training and Development section shall develop and/or update training programs every two (2) years, including but not limited to tracking compliance and non-compliance to this SOP. All employees must receive training and sign the *Acknowledgment Receipt (Attachment 6)* to confirm their understanding and compliance with the procedures outlined in the SOP. Training for new employees shall be included as part of their on-boarding.
- 6.11. **Non-Compliance to this SOP:**
 - 6.11.1. **Employees:** Failure of the employee to adhere and comply with any of the guidelines, policies, and procedures stated herein may result in progressive or adverse disciplinary action, including but not limited to suspension, demotion, or termination of employment as provided by GWA PR&R.

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6.11.2. **Supervisors and Managers:** Failure of the Manager of Supervisor to report and enforce all the guidelines, policies, and procedures stated herein may result in progressive or adverse disciplinary action, including but not limited to suspension, demotion, or termination of employment as provided by GWA PR&R.

7.0 Document Approvals

Role	Position	Name of Approver	Approval Signature	Date Approved
Authors	Management Analyst IV & Safety Inspector Supervisor	Kathleen B. Beleno & Wade T. Tenorio	Approval on File	On File
Policy Owner	Assistant General Manager for Compliance & Safety (AGM-CS)	Paul J. Kemp	Approval on File	On File
Final Approver	General Manager (GM)	Miguel C. Bordallo, P.E.	Page 1	Page 1

In accordance with existing Guam and federal laws, the contents of this SOP were reviewed thoroughly by its policy owner and were found to be:

☒ appropriate for publication on the GWA website without compromising the security of GWA's system or the public's health and safety.

☐ not appropriate for publication on the GWA website because it might jeopardize the security of GWA's system or the public's health and safety.

8.0 Records of Revisions

All suggestions for improvement shall be directed to the policy owner indicated below. The policy owner will consider the input received, develop recommendations on how to address the suggestions, and obtain authorization to make the recommended changes. Updates, revisions, corrections, and waivers to this SOP shall be made in writing and approved by the GM.

8.1. Policy Owner: Assistant General Manager – Compliance & Safety (AGM-CS)

8.2. Authorization: General Manager (GM)

Effective Date	Revision Letter	Document Authors	Description of Change
Page 1	A	Kathleen B. Beleno & Wade T. Tenorio	Initial Release of Policy/Procedure

9.0 References

9.1. U.S. Department of Labor website OSH Act of 1970 | Occupational Safety and Health Administration

9.2. Department of Administration (DOA) Memorandum HRD No. 06-0381

9.3. GWA Personnel Rules & Regulations (PR&R) Chapter 9

9.4. SOP-1300-SAF-003 Handling of Incidents Involving GWA Facilities or Properties

Workplace Violence Prevention Plan and Procedure

Attachment 1: Department of Administration's (DOA) Memorandum HRD No. 06-0381



Felix P. Camacho
Governor
Kaleo S. Moylan
Lieutenant Governor

GOVERNMENT OF GUAM
(GUBETNOMENTION GUAHAN)
DEPARTMENT OF ADMINISTRATION
(DIPATTAMENTON ATMENESTRASION)
HUMAN RESOURCES DIVISION
(DIBISION INADILANTO YAN GUINAHÀ PARA TAOTAO)
P.O. BOX 884 * HAGATÑA, GUAM 93932
Tel: (671) 475-1288/1132 * Fax: (671) 477-7100



Lourdes M. Perez
Director
Joseph C. Manibusan
Deputy Director

FEB 24 2006

HRD NO.: **06-0381**

MEMORANDUM

TO: All Line Department and Agency Heads
FROM: Director, Department of Administration
SUBJECT: **WORKPLACE VIOLENCE**

Buenas yan Hafa Adai! Workplace violence is a serious safety and health issue. In order to promote a safe working environment for the employees, you may want to adopt a departmental policy to promote and maintain a safe working environment.

The Department of Administration currently has a "Prevention of Violence in the Workplace" Policy in place and we are committed to working with employees to maintain a work environment free from violence, threats of violence, harassment, intimidation, and other disruptive behavior. No department or agency is immune. We can provide a copy of the Department of Administration's Policy to assist you in developing a policy for your department or agency. You may also obtain information by checking with the U.S. Department of Labor's website at www.osha.gov/SLTC/workplaceviolence/.

If you have any questions about this policy statement, please contact the Human Resources Division at 475-1131 or 1288.

Si Yu'os Ma'ase for your assistance and cooperation.

LOURDES M. PEREZ

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Attachment 2: Performance/Conduct Indicators for Violence

The presence of these indicators does not confirm intent to commit violence but may signal increased stress and warrant closer observation and intervention

1. Performance and Work Quality Indicators

- There is a change in their performance patterns;
- Increased mistakes or errors, or unsatisfactory work quality;
- Refusal to acknowledge job performance problems;
- Faulty decision-making;
- Forgetfulness, confusion and/or distraction, inability to focus;
- Talking about the same problems repeatedly without resolving them;
- Employees routinely violate GWA rules, regulations, policies, and procedures.

2. Behavioral and Emotional Indicators

- Frequent emotional outbursts such as crying or verbal frustration;
- Demonstrates difficulty accepting constructive feedback;
- Swearing or emotional language;
- Holds grudges, especially against his or her supervisor, and verbalizes hope that something negative will happen to the person against whom he or she has the grudge;
- Social isolation;
- Complaints of unusual and/or non-specific illnesses;
- Personal hygiene is poor or ignored.

3. Interpersonal Conflict and Aggression

- Disrespect for authority;
- Blaming others for mistakes;
- Employees involved in frequent disputes with subordinates, co-workers, supervisors, or customers;
- Hostile language or threats against a person or a group based on race, sex, religion, disability, ethnic background, or sexual orientation;
- Disregarding the health and safety of others;

4. Attendance and Reliability Issues

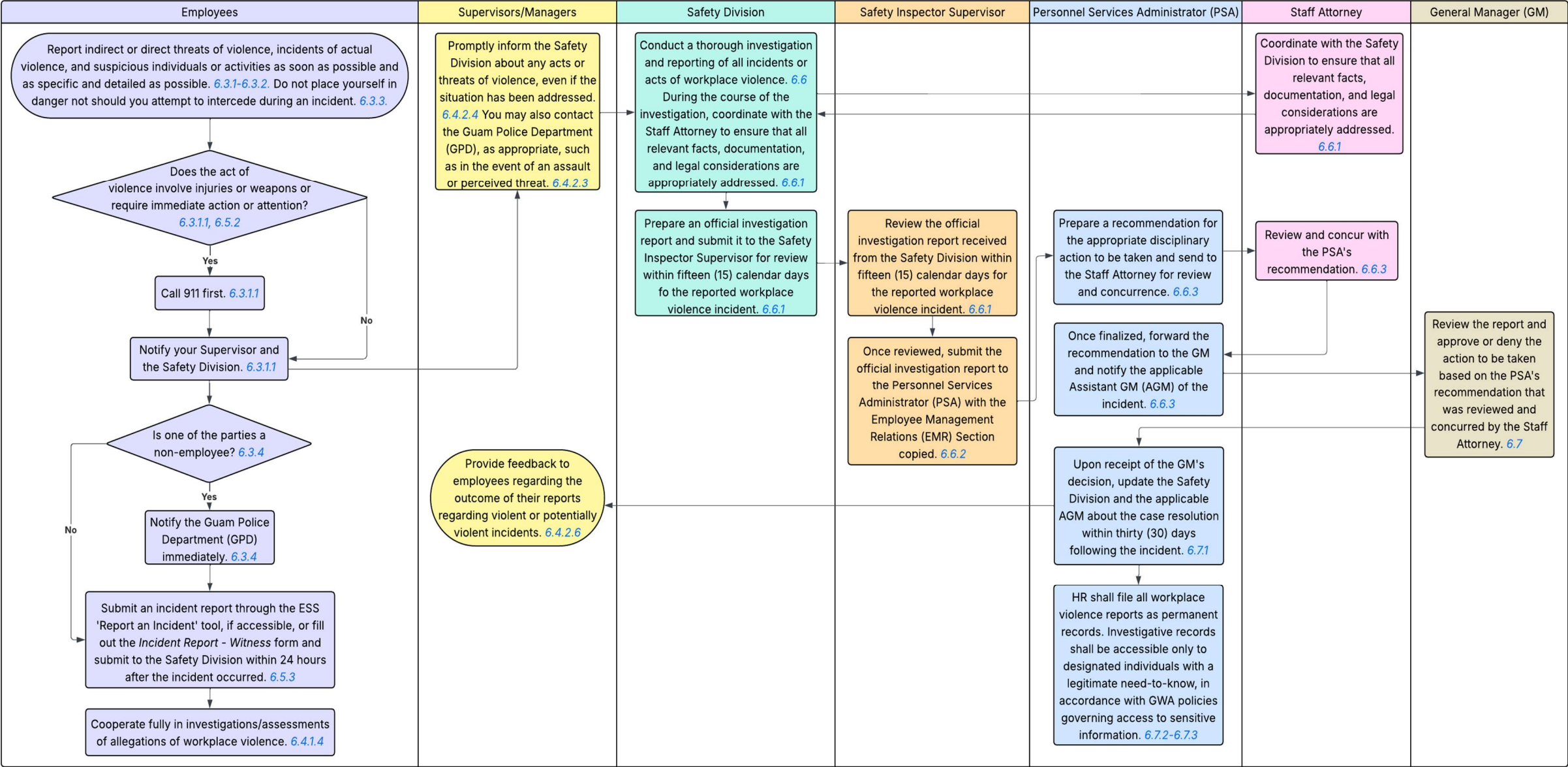
- Excessive absenteeism or lateness;
- Leaving work early or arriving late without explanation;
- Unreliability in meeting deadlines or completing tasks on time.

5. Threatening or Dangerous Behavior

- The frequency and intensity of the behavior are disruptive to the work environment;
- Showing off, commenting, or actually brandishing a weapon.

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Attachment 3: Flowchart



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Attachment 4: List of Safety Personnel' Contact Numbers

Name	Office number	Cell number
Wade Tenorio	671-300-6349	671-727-8638
Richard Nauta	671-300-6358	671-747-5852
Michael Cura	671-300-6340 ext. 6386	671-682-4021

**GUAM
WATERWORKS
AUTHORITY**

**WORKPLACE VIOLENCE PREVENTION PLAN
AND PROCEDURE¹
INCIDENT REPORT-WITNESS²**

DATE:	_____	JOB TITLE:	_____
NAME:	_____	CONTACT NO:	_____
ID NO.:	_____	EMAIL:	_____

EXACT LOCATION OF THE INCIDENT:

NAME OF PERSON/S WHO DISCOVERED/REPORTED THE INCIDENT:		NATURE OF INCIDENT:	
NAME/ID NO.	CONTACT NO.	THEFT <input type="checkbox"/>	VANDALISM <input type="checkbox"/> TRESPASSING <input type="checkbox"/>
		BREAKING & ENTERING <input type="checkbox"/>	VIOLENCE <input type="checkbox"/> ACCIDENT <input type="checkbox"/>
		WORKPLACE INJURY <input type="checkbox"/>	OTHER: _____ <input type="checkbox"/>

(Describe the Incident: What happened, where it occurred, what led to the incident, who else was present, and what action was taken at the time.)


[illegible]

NAME OF THE SAFETY INSPECTOR:		TIME CALLED:
NAME OF THE PREPARER:	SIGNATURE:	DATE SUBMITTED:

² Must be filled out by the individual (contractor, etc.) who first discovered/witnessed the incident and submit to GWA Safety Division within 24 hours after an incident had occurred.

Workplace Violence Prevention Plan and Procedure

Attachment 6: Acknowledgment Receipt

	<p>Gloria B. Nelson Public Service Building 688 Route 15 Mangilao, Guam 96913</p>	<p>WORKPLACE VIOLENCE PREVENTION PLAN AND PROCEDURE ACKNOWLEDGMENT RECEIPT</p>
<p>I, the undersigned, an employee of the Guam Waterworks Authority, hereby acknowledge receipt of SOP-1300-SAF-004 entitled "<i>Workplace Violence Prevention Plan and Procedure</i>" on this _____ day of _____, 20____.</p>		
Employee's Name/Badge No.:	Employee's Signature:	Date: