



WORKPLACE VIOLENCE PREVENTION PROGRAM

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**** The APPENDICES are designed to be used as a summary/quick reference guide for responding to incidents of workplace violence. Full background information on policy and procedures are detailed within the body of this document.**

1. GENERAL INFORMATION

1.1 Purpose

ABB is committed to providing a workplace environment that is safe and secure from violent acts through the implementation of preventive programs, administrative procedures, and facility safety controls. This program applies to all visitors, vendors, contractors, managers, supervisors, and employees, including agency and temporary personnel. All are ABB stakeholders and are entitled to a safe and secure workplace. ABB is committed to preventing and effectively responding to all reported incidents of workplace violence until they are resolved.

1.2 Objectives

The objective of the North America Workplace Violence Prevention (WPVP) program is to establish a regional organization with the ability to effectively and efficiently identify and resolve workplace violence incidents across the NAM region. The ABB Workplace Violence Prevention Program is built upon the following principles:

- Creating a work environment that promotes safety from violence, threats and harassment
- Providing regular training in preventive measures for all new/current employees, supervisors and managers
- Supporting, not punishing, victims of workplace or domestic/partner violence
- Adopting and practicing fair and consistent disciplinary procedures
- Fostering a climate of trust and respect among workers and between employees and management
- Actioning a comprehensive incident response architecture that includes the availability of outside resources such as threat assessment psychologists/psychiatrists, social service agencies, security specialists and other professionals.

The APPENDICES are designed to be used as a summary guide for responding to incidents of workplace violence. Full background information on policy and procedures are detailed within the body of this document.

1.3 Workplace Violence Prevention Policy

ABB does not tolerate workplace violence and is committed to maintaining a safe workplace for all managers, supervisors, employees, vendors, contractors, and visitors. The workplace is defined as any time or place when on Company business, at a Company sponsored event, or if the conduct has an impact on the workplace, regardless of where the conduct occurs. ABB defines workplace violence as words, actions or behaviors that are disruptive, intimidating, aggressive, hostile or emotionally abusive, generate anxiety, or create a climate of distrust and fear. This includes any communicated threats (verbal or physical) or threatening behavior, bullying, stalking, domestic/partner violence, all forms of harassment, overt acts of violence causing physical injury and words or actions indicating that an employee might harm him or herself. Additionally, workplace violence includes the destruction of, attempted destruction of, or threats to destroy ABB and/or personal property.

ABB policy requires an immediate response to all reports of violence. All threatening incidents will be investigated and documented by the Workplace Violence Prevention Team. It is the responsibility of all employees to report all threatening behavior, or any disturbing circumstance that may raise a concern for safety, as soon as possible. Employees are responsible for reporting this information regardless of the relationship between the individual who initiated the threat or threatening behavior and the person(s) threatened. Incidents or concerns can be reported to:

- Any ABB supervisor or manager
- Ethics hotline 1-800-922-6681
- Any member of the Workplace Violence Prevention Teams

All supervisors and managers are responsible for the prompt communication of any received workplace violence information. Reports will be kept confidential to the maximum extent possible and any retaliation for reporting is strictly prohibited.

Violations of this policy can lead to disciplinary action up to and including termination of employment and the involvement of law enforcement. ABB's response may include referral to the Employee Assistance Program and/or external professionals, suspension and/or termination of any business relationship, reassignment of job duties, suspension or termination of employment and/or criminal prosecution.

1.4 Workplace Violence Program Definitions

Workplace Violence

Workplace violence is defined as words, actions or behaviors that are disruptive, intimidating, aggressive, hostile or emotionally abusive, generate anxiety or create a climate of distrust and fear. This includes any communicated threat or threatening behavior, bullying, stalking, partner violence, all forms of harassment, overt acts of violence causing physical injury, including non-fatal physical assault with or without a weapons (i.e. pushing, shoving, hitting, sexual assault), and lethal violence by any means.

Threat is defined as any verbal or physical conduct that threatens property or personal safety or that reasonably could be interpreted as intent to cause harm. As such, workplace violence includes words or actions indicating that an employee might harm him or herself, and includes the destruction of, attempted destruction of, or threats to destroy ABB property and/or personal property.

Workplace violence falls into four broad categories:

Type I: Violent acts by criminals, who have no other connection with the workplace, but enter to commit robbery or another crime.

Type II: Violence directed at employees by customers, clients, patients, students, inmates, or any others for whom an organization provides services.

Type III: Violence against coworkers, supervisors, or managers by a present or former employee.

Type IV: Violence committed in the workplace by someone who does not work there, but has a personal relationship with an employee (an abusive spouse of domestic partner).

Because the Type I alleged perpetrator has no other contact with the workplace, the interpersonal aspects of violence prevention that apply to the other three categories are normally not relevant. Type I preventative

strategies revolve around physical security measures which are addressed under the NAM physical security program; as such, it will not be covered here.

This program will focus mainly on the Type II, III, and IV categories. Violence in these categories is almost always preceded by warning signs in the form of observable behavior. That knowledge of behavioral recognition, along with appropriate prevention and education programs, is the cornerstone to mitigating the potential for violence or preventing it altogether.

Workplace Violence Behavior Factors

There is no “profile” available to identify future alleged perpetrators of workplace violence. Warning signs can seem ambiguous and are often ignored. In some cases, acts of violence occur because employees don’t recognize a potential threat or fail to intervene and report when they do have concerns about a colleague’s behavior. There is no one type of conduct that can predict whether someone will commit a violent act. However, violent acts build up over time. In many cases, an individual’s normal behavior patterns change. These clues, looked at independently, may not cause concern; however, when looked at in totality and over time, these behaviors suggest a potential for violence. These changes in behavior are typically the result of a combination of external stressors in their personal and professional lives. Not everyone exhibiting these types of behaviors will become violent, but it is important that employees recognize behaviors that suggest some type of intervention might be necessary. Employees observing these behaviors should immediately report them.

Risk factors associated with potential violence include personality conflicts (between coworkers or between worker and supervisor); a mishandled termination or other disciplinary action; bringing weapons onto a work site; drug or alcohol use on the job; and a grudge over a real or perceived grievance. Risks can also stem from an employee’s personal circumstances: breakup of a marriage or romantic relationship; other family conflicts; financial or legal problems; or emotional disturbance.

Other problematic behavior can include, but is not limited to:

- Increasing belligerence
- Ominous, specific threats
- Hypersensitivity to criticism
- Recent acquisition/fascination with weapons
- Apparent obsession with a supervisor or coworker or employee grievance
- Preoccupation with violent themes
- Interest in recently publicized violent acts
- Outbursts of anger
- Increasingly extreme disorganization
- Noticeable changes in behavior
- Homicidal/suicidal comments or threats

As a behavioral continuum toward increasing levels of violence, the above described behaviors are categorized into three Levels which will provide the foundation for the response plan detailed in Section 3 below. The three Levels are synopsized below and are detailed in APPENDIX A:

Level One Violence: Uses confrontation, intimidation and challenge in behaviors and should raise a red flag to coworkers, supervisors and management. This is the optimal time to intervene in order to identify the issues causing the behavior and provide proactive measures to resolve the issue.

Level Two Violence: Increasingly sends the message of, “It’s me against them.” The individual may be creating a hostile environment for other employees. Level Two Violence is considered to be a bridge to very overt and dangerous behavior; however, intervention is still possible.

Level Three Violence: The individual who displays Level Three Violence is very dangerous. Most Level Three behaviors usually involve a clear intent to harm and have great potential for psychological harm, even if physical harm is avoided. **Intervention for Level Three Violence is not appropriate for co-workers, supervisors, or management. It requires the assistance of law enforcement, security personnel, and/or mental health professionals.**

Workplace Factors

While definitive studies are few regarding workplace environmental factors that contribute to violence, it is generally understood that the following can contribute to negativity and stress in the workplace, which in turn may precipitate problematic behavior, and as such, should be addressed:

- Understaffing that leads to job overload or compulsory overtime
- Frustrations arising from poorly defined job tasks and responsibilities
- Downsizing or reorganization
- Labor disputes and poor labor-management relations
- Poor management/leadership styles (arbitrary or unexplained orders; corrections or reprimands in front of other employees, inconsistent discipline, etc.)
- Lack of employee counseling
- Unaddressed high injury rates or frequent grievances from a specific area within the workplace

2. NAM Workplace Violence Prevention Organization

2.1 NAM Workplace Violence Prevention Team

The NAM Workplace Violence Prevention Team (NAM Team) will be responsible for managing the NAM Workplace Violence Prevention Program and for oversight of all responses to NAM workplace violence incidents. As will be detailed below, the NAM Team will directly manage all Level Two and Three incidents; however, Level One incidents can be managed by Site Workplace Violence Prevention Teams (Site Teams) but must report the incident to the NAM Team.

The NAM Team develops, implements, and monitors the Workplace Violence Prevention training program and administers, communicates, and maintains the established workplace violence prevention policies, procedures, and guidelines.

The NAM Team will also act as a component to the NAM Crisis Management architecture given the reality that major Level Three incidents often become a crisis for the company and must be managed as such. The NAM Regional Security Manager, designated as the NAM Crisis Management Coordinator, will act as the NAM Workplace Violence Prevention Team Leader for consistency across programs.

NAM Team Members

The composition of the NAM Team reflects a cross-functional approach given the diversity of the ABB NAM structure and includes established relationships with outside specialists to provide the skill sets necessary to effectively respond to and resolve workplace violence incidents. APPENDIX A specifically lists, and provides contact information for, the NAM Team. In general, the team is composed of the following functions:

- NAM Regional Security
- Human Resources
- Legal
- Compliance
- OHS
- Communications
- External Specialists

APPENDIX H provides emergency contact information for external specialists who have a confidentiality agreement with ABB. However, all attempts will be made to contact the NAM Team prior to making direct contact with an external specialist.

Specific/responsibilities:

NAM Region Security

- NAM Team Coordinator
- Overseas investigation process
- Maintains records of incidents and investigations
- Assures follow-up assessments
- Convenes NAM Crisis Management Team as needed
- Serves as liaison to experts/team members/consultants
- Maintains physical security
- Advises on security issues
- Manages threat assessments
- Coordinates background investigation activities

Legal

- Provides counsel on investigations, assessments, and employment issues
- Reviews documentation involving discipline/terminations
- Maintains information on the changing case law associated with employees and workplace violence prevention
- Recommends/assists in treatment plan development for employees
- Recommends/assists in response plan implementation for employees

Human Resources

- Maintains HR policy and procedures
- Provides personnel information as needed
- Facilitates interaction with internal/external resource providers
- Implements counseling/disciplinary action
- Recommends/assists in treatment plan development for employees
- Recommends/assists in response plan implementation for employees
- Assists in fitness for duty evaluations with medical
- Coordinates on-going counseling services as needed

Communications

- Manages all media relations for incidents and crises
- Provides public relations advice, planning and support for crisis communications and employee communications

External Threat Assessment Specialists

- Upon request, participates in the investigation process
- Serves as resource specialists on workplace violence issues
- Provides threat assessments of potential alleged perpetrators
- Recommends/assists in development of treatment plans for employees
- Recommends/assists in response plan implementation for employees

2.2 ABB Site Workplace Violence Prevention Teams

Every ABB NAM site will form a Site Workplace Violence Prevention Team (Site Team). In parallel with the NAM Team structure, the Site Team's composition should reflect a cross-functional approach representative of the Site's operation. It is recommended that at least one member of the Site Team also be a member of the Site's Crisis Management Team. In some cases, based on the size of the site, the team may be comprised of only one individual.

The Site Team will be responsible for managing the site workplace violence prevention program in line with the NAM program. Level One incidents can be managed at the site level; however, it must be reported to the NAM Team. It is recommended to contact the NAM Team for consultation and support for any incident.

As will be detailed in Section 3.1 (Incident Reporting) below, the Site Team will be responsible for maintaining an up to date contact list of Site Team members on the eCrisis room webpage. In the event of a major Level Three incident at the site that necessitates the designation of a Crisis, the Site Team will become the initial Crisis Management Team until a formal turnover to the designated Site Crisis Management Team.

2.3 Communication Plan

The Communication Plan of the NAM Workplace Violence Prevention Program involves:

- Informing all ABB employees of the problem of potential workplace violence and ABB's commitment and actions taken to promote a safe work environment
- Providing all employees with the Workplace Violence Prevention Policy
- Creating awareness of the NAM Workplace Violence Prevention Team, its role and its accomplishments.
- Publishing in all work areas, and distributing to all employees information regarding the appropriate responses to, and reporting procedures for, threats or incidents of workplace violence
- Distributing the membership list and contact information for the NAM and Site Workplace Violence Prevention Teams
- Increasing awareness of basic crisis communication policies and procedures, such as responding to the media

The dissemination of important information will be accomplished by utilizing existing communication channels, including:

- Newsletters, Intranet and e-mail
- Posters/ Fliers
- Staff Meetings
- Department Meetings
- Employee Training
- Desk Reference Guides

External Communications/Notifications

All media inquiries are to be politely referred, without comment, to NAM Corporate Communications.

3. Incident Response/Management

3.1 Incident Reporting

For any emergency or life threatening situation, CALL THE POLICE.

It is the responsibility of all ABB employees and managers to report any/all known or suspected acts of workplace violence. Understanding that reporting the information is the utmost priority, the following mechanisms can be used to make an initial report:

- **Any supervisor/manager (BU, HR, OHS, Legal, etc.)**
- Site Team
- NAM Team
- Ethics hotline 1-800-922-6681

IT IS IMPERATIVE FOR ALL ABB SUPERVISORS AND MANAGERS TO UNDERSTAND THAT THEY ARE THE FIRST LINE OF REPORTING FOR WORKPLACE VIOLENCE INCIDENTS FROM ANYWHERE IN THE ORGANIZATION; NOT JUST DIRECT REPORTS. ANY REPORT OR COMPLAINT OF A WORKPLACE INCIDENT IS OWNED BY THE SUPERVISOR/MANAGER WHO RECEIVED THE REPORT OR COMPLAINT UNTIL THE INFORMATION HAS BEEN PROPERLY TURNED OVER TO EITHER THE SITE OR NAM TEAMS.

Once an initial report is received by one of the above entities, the report will be forwarded to the Site Team or the NAM Team for action.

The Site Teams are the focal point for all incidents reported at the Site level. All reports received by site supervisors/managers must be forwarded to the Site Team. However, if the Site Team is unavailable, any report or complaint can be sent directly to the NAM Team.

The NAM Team will be the focal point for all reports received via the Ethics Hotline. APPENDIX A is the notification list for the NAM Team.

All Level Two and Three incidents must be reported directly and as soon as possible to the NAM Team.

Level One incidents can be managed by the Site Team; however, notification of the incident will be forwarded to the NAM Team.

It is essential to foster an open environment at all levels within ABB to ensure employees feel safe in reporting workplace violence incidents. All incidents must be followed up on; assuming that workplace violence “can’t happen here” is a recipe for failure.

APPENDIX C contains a template for final documentation of reported incidents. After the conclusion of an incident, the incident will be summarized using the template and uploaded into the Workplace Violence Incident folder on the eCrisis Room webpage. All Site and NAM Team members will have access to this eRoom.

The APPENDIX C template can also be made available to employees for initial reporting if deemed appropriate. However, the priority for initial reporting is getting the information passed to the right people as soon as possible. As such, initially submitting a formal report is not required.

3.2 Incident Management

All supervisors/managers must refrain from acting alone to solve a problem; seek guidance from the available NAM Team and resources. The Site Team must be consulted prior to the initiation of an investigation of a Level One incident. The NAM Team must be consulted prior to the initiation of a Level Two or Three investigation.

What **does not work** and will exacerbate a problem:

- One size fits all approach
- Rigidity, inflexibility
- Denial that a problem exists
- Lack of communication with key parties
- Ignoring respect and dignity
- Lack of awareness of cultural/diversity issues
- Passing around “problem employees” around the company

Once a report or complaint of alleged workplace violence is received by the Site or NAM Teams, an initial and very limited threat assessment, based only upon the facts presented at that time, will be completed to determine the Violence Level (One, Two or Three) in order to guide the immediate and long term response. The Violence Levels are subjective benchmarks on a fluid scale; precision at this point is not crucial. If in doubt, defer to the next higher Level. For example, if the report indicates behaviors that are straddling between Level One and Two, assign an initial assessment as a potential Level II incident. See Section 3.3 for guidelines on conducting threat assessments.

The following first two steps will be the same across all response procedures and must be addressed before any investigation commences:

1. **Are the employees safe?**
2. **Is the workplace safe?**

The following sections detail specific response actions for reported Level One, Two and Three Incidents. APPENDIX E are tear away sheets containing the below sections.

3.2.1 Incident Response Procedures: Levels One and Two

1. Are the employees safe? Based upon immediate facts, determine level of safety for the victim and for the other employees in the vicinity of the situation. Specific considerations:

- a. Will removing the alleged perpetrator from the workplace make things better or worse?
- b. Who should be consulted beforehand? Security? Legal? HR? Is a more detailed threat/risk assessment necessary?
- c. What are the terms of the administrative leave or suspension? With pay? Who will be the primary ABB point of contact? What should the alleged perpetrator do during the time away?
- d. How will you respond to the alleged perpetrator when asked why removing him/her is necessary?
- e. What, if anything, should coworkers, customers and vendors be told about the employee's departure?

2. Is the workplace safe? Based upon immediate facts, determine level of safety for the workplace and ABB property.

3. The Team Leader or his/her designee initiates an incident log and begins to document all incident details. This log is to be kept throughout the incident investigation.

4. Initiate an investigation/threat assessment. Identify all the issues and separate facts from allegations. Develop a roadmap for the investigation. Assess what tools and resources will be needed and make arrangements prior to commencing investigative activities. Recommend consult with the NAM Team for investigative suggestions. All outside resources must be coordinated through the NAM Team. Know, understand and adhere to the following the investigative protocols:

- a. Beyond a reasonable doubt.
- b. Clear and convincing evidence.
- c. Preponderance of evidence.
- d. Good faith investigation/reasonable conclusion.

Specific investigative considerations:

- a. What facts can be gathered unilaterally without interviews (performance records, employee files, etc).
- b. Who needs to be interviewed?
- c. How should the interviews be ordered? Talk to the most knowledgeable first, then the next most knowledgeable; and so on. Violent cases may necessitate the reordering due to safety and security concerns.
- d. If administrative leave for the alleged perpetrator is being considered, will the leave take place before or after interview of the alleged perpetrator?

5. Notify the alleged victim(s) of the violence that the incident is being investigated and that he/she will be advised as to the outcome of the investigation. Advise the victim that their reporting will be kept confidential to the maximum extent possible.

6. Witness Interviews. All witness interviews will be conducted in private and should be well planned. Request statements in writing if appropriate. APPENDIX G provides general themes for questions. However, they should not be used as a finite list and read verbatim. Every situation will be different, as such, the interviews should be tailored accordingly. It is strongly recommended to contact NAM Security or Compliance for assistance in developing interview plans. **See Section 3.6 for guidelines on conducting interviews.**

7. Alleged perpetrator interview. All interviews of the alleged perpetrator will be conducted in private and should be well planned out to include a security plan. If it is assessed that the interview may pose a risk, contact the NAM Team. It is important that everyone throughout this process is treated with dignity and respect; furthermore, all initial reports are allegations only and the intent of the investigation is to determine what took place. However, security of employees and the workplace should not be sacrificed during this step. Instructions should be developed and provided to the interviewee prior to the interview such as what to bring and what not to bring into the interview. Request statements in writing if appropriate. **See Section 3.6 for guidelines on conducting interviews.** Specific considerations for assessing credibility:

- a. Demeanor.
- b. Logic/consistency of story.
- c. Corroborating evidence.
- d. Circumstantial evidence.

8. If appropriate, it may be necessary for the alleged perpetrator to be suspended pending the results of the investigation. If this is a possibility, proactively plan to ensure the proper security protocols are in place prior to notifying the employee.

9. Investigation conclusions.

- a. No intent to harm and the alleged perpetrator displays insight/remorse. Final determination is a safe outcome and the final disposition is turned over to HR.
- b. No intent to harm, but the incident is a repeat of past inappropriate behavior, is an escalation from past inappropriate behavior, or the incident is sufficiently serious enough to warrant a professional evaluation, then the appropriate referral should be made in coordination with HR and the NAM Team.

- c. Intent to harm. Contact the NAM Team for determination of necessary immediate actions and if any external specialists should be contacted to participate in the investigation. Contributing factors will be if the alleged perpetrator has displayed similar violent behavior in the past; if he/she has been uncooperative during the investigation; or if there is a future potential for serious harm.

10. Determine disciplinary options if appropriate. Long term safety and security of the workplace and the employees are the primary considerations.

11. Thoroughly plan out the implementation of all disciplinary actions, and the possible adjacent effects, prior to providing the outcome details to the alleged perpetrator and the victim(s) of the incident.

12. If at any time there is an escalation of behavior, whether in or outside of the workplace, that is perceived as threatening, notify law enforcement.

3.2.2 Incident Response Procedures: Level Three

CALL POLICE. Any act of violence should be handled by the police. Though shoving and pushing is not directly violent, it is an assault, and if it is perceived as threatening, then it is an act of violence. Letting it go as “one time event” could lead to a future, more violent incident.

ABB personnel should not be the persons to confront the alleged perpetrator of any Level Three incident. The priority should be the safety of other employees in the vicinity and providing timely and accurate information for responding law enforcement.

Calling 911 for all Level Three incidents will provide a consistent response procedure for handling these extremely dangerous and volatile situations, will reaffirm ABB's commitment to a workplace free from threats and violence, and will reinforce employee's confidence that their safety is protected by strong policies and procedures.

1. Are the employees safe? Due to the extreme danger presented by Level Three incidents, all employees should be evacuated from the immediate area as rapidly as possible if safe to do so.

2. Is the workplace safe? If employee safety has been ensured, and if no additional risk to employees, all efforts should be taken to safeguard ABB property.

3. Seek emergency medical care for anyone who is injured. Do not administer care unless qualified to do so.

4. Determine necessity for implementing the site's Crisis Management Plan. Any serious injury, fatality, use of a weapon, attempted suicide or significant destruction of ABB property is deemed a Crisis and requires Crisis Management. In these situations, contact the NAM Team as soon as possible for assistance/guidance in managing the incident.

5. Designate an incident command post at a location outside the site where law enforcement and site management can meet without being in the immediate vicinity of the incident.

6. Initiate an incident log and begin to document all incident details. This log is to be kept throughout the incident.

7. Initiate procedures for getting an accurate count of employees and their locations.

8. Secure the incident site to prevent anyone except authorized persons from entering.
9. Manage the incident until properly turned over to the Site Crisis Management Team. Key points:
 - a. Control the site
 - b. Account for the employees

3.2.3 Relationships with Outside Agencies

There may be instances when outside agencies will be needed to assist in the management of Level One, Two, or Three Violence. Relationships should be established with these agencies so that they will be available as needed. The Site Teams should develop relationships with the local first responders (Police, Fire), local Hospitals/Emergency rooms and local domestic violence outreach organizations. The NAM Team has established regional contacts for the following specialists:

- Security Consultants
- Workplace Violence Prevention Specialists
- Threat Assessment Professionals
- Workplace Violence Mental Health Professionals
- Trauma Response and Crisis De-Briefing Specialists
- Stalking Management/Domestic Violence Experts

Liaison with local Law Enforcement is particularly critical, since there may be instances (Level Three incidents) when their prompt response is needed. If feasible, local Law Enforcement should be given the opportunity to routinely tour and train within the site in order to become familiar with the physical layout of the facility.

Law enforcement should have access to blueprints of the company's buildings. Additional blueprint copies should be kept on-site at the Security Center, off-site at a location near the facility, at the NAM Team, and on a secure internet web site.

3.3 Threat Assessments

As detailed in Section 2 above, threat assessments and investigations for Level Two and Three incidents must be managed through the NAM Team to ensure all efforts are well planned and coordinated as improper protocols could trigger an immediate event or set the stage for a future workplace violence incident. Additionally, Level Two and Three threat assessments will typically involve external ABB approved consultants, such as psychologists/psychiatrists and other entities specializing in workplace violence situations, and must be coordinated through the NAM Team.

Threat assessments of Level One incidents can be managed at the site level but must involve the Site Team. It is highly recommended that the NAM Team be used as a consultative tool for all incidents.

The goal of threat assessments is to place a threat somewhere on a continuum of dangerousness and, on that basis, determine an appropriate intervention. The specific point on that continuum is based upon the following:

- a. **Does the offender have a plan for what he would do?**
- b. **Does the plan make sense, is it reasonable, is it specific?**
- c. **Does the offender have the means, knowledge and wherewithal to carry out this plan?**

If a threat is immediate, specific and critical, the appropriate response is to call the police (911) right away. A threat that is veiled or less specific and does not appear to presage immediate violence may call for less urgent measures such as referral for psychological counseling and evaluation. Many threats will turn out to be short term venting due to some minor external stressor and will require nothing more than a formal admonition to the employee that his/her language or conduct was not appropriate and violated company policy.

It is for the ambiguous area between an imminent threat and minor incidents that the threat assessment plays a crucial role.

Threat assessments have two parts:

1. An evaluation of the threat itself; that is, the assessment of the credibility and overall viability of an expression of an intent to do harm.
2. An evaluation of the threatener.

Together, these evaluations can help lead to an informed judgment on whether someone who has made a threat is likely to carry it out; specifically being able to differentiate when someone is making a threat versus posing a threat. This determination will assist in developing the appropriate intervention plan. It is important to note that in the great majority of cases, a threat will not directly lead to a violent act. However, the threat itself damages workplace safety and must be responded to.

The threat assessment will analyze the following:

- The exact nature and context of the threat and/or threatening behavior
- The identified target (general or specific)
- The threatener's motivation
- The threatener's ability to carry out the threat
- The threatener's background, including work history, criminal record, mental health history, and past behavior on the job

Every situation will be different and should be examined and evaluated on the basis of its particular nature and circumstance. Of particular importance is to take an empathetic view of the situation in an attempt to answer "why" and "what" caused the threatening behavior. The following list of questions (also attached as APPENDIX G) can be used as an investigative baseline in assessing risk for Level One incidents; however, it is emphasized that each situation is different, and that it is highly recommended to consult with the NAM Team prior to conducting an assessment:

- Why has the offender threatened, made comments which have been perceived by others as threatening, or has taken this action at this particular time? What is happening in his/her own life that has prompted this?
- What has been said to others, i.e. friends, colleagues, coworkers, etc., regarding what is troubling him?
- How does the offender view himself/herself in relation to everyone else?
- Does he/she feel he has been wronged in some way?
- Does he/she accept responsibility for his/her own actions?

- How does the offender cope with disappointment, loss or failure?
- Does he/she blame others for his failures?
- How does the offender interact with coworkers?
- Does he/she have problems with supervisors or management?
- Is he/she concerned with job practices and responsibilities?
- Has he/she received unfavorable performance reviews or been reprimanded by management?
- Is he/she experiencing personal problems such as divorce, death in the family, health problems, health problems of a family member, or other personal losses or issues?
- Is he/she experiencing financial problems, high personal debt, or bankruptcy?
- Is there evidence of substance abuse or mental illness/depression?
- Has he/she shown an increased interest in violence through movies, games, books or magazines?
- Is he/she preoccupied with violent themes; interested in publicized violent events; or fascinated with and/or recently acquired weapons?
- Has the offender identified a specific target and communicated with others his thoughts or plans for violence?
- Is he/she obsessed with others or engaged in any stalking or surveillance activity?
- Has the offender spoken of homicide or suicide?
- Does he have a past criminal history or history of past violent behavior?
- **Does the offender have a plan for what he would do?**
- **Does the plan make sense, is it reasonable, is it specific?**
- **Does the offender have the means, knowledge and wherewithal to carry out this plan?**

3.4 Domestic/Partner Violence

Many workplace violence incidents are the result of abusive domestic partner relationships. Domestic violence is a pattern of assaults and controlling behaviors, including physical, sexual, emotional and economic control that a person uses against an intimate partner. Domestic violence affects people of all cultures, religions, ages, sexual orientations, educational backgrounds and income levels. The common theme is the desire to control.

ABB recognizes that domestic/partner violence has a significant impact on the workplace and that the NAM Workplace Violence Prevention Program includes helping employees who reach out to management, or any employee, for assistance in dealing with domestic abuse.

If an employee comes forward to discuss an abusive situation with a manager, the information should be referred to the Site or NAM Team as soon as possible. Specific considerations/actions:

- a. Document all facts.
- b. Establish risk/threat to determine if additional workplace security is necessary.
- c. Determine appropriate work schedule for victim employee.
- d. If appropriate, develop security protocols to assist with his/her personal safety.
- e. Refer employee to external qualified domestic violence professionals.
- f. Maintain confidentiality.
- g. Maintain contact with the victim employee and monitor his/her behavior/actions for signs of escalation in the situation.

3.5 Disciplinary Philosophy and Procedures

Disciplining an employee for abusive, threatening, or violent behavior serves two purposes. For the abusive or violent employee, the disciplinary action should serve as an appropriate penalty for past conduct and a deterrent against future offenses. For the rest of the workforce, it should serve to reaffirm ABB's commitment to a workplace free from threats and violence, and reinforce employees' confidence that their safety is protected by strong but fair measures.

To achieve these goals, penalties and the disciplinary process must be, and must be perceived to be, proportionate, consistent, reasonable and fair. Erratic or arbitrary discipline, favoritism and a lack of respect for employee's dignity and rights are likely to undermine ABB's overall violence prevention efforts. Employees who perceive practices as unfair or unreasonable will harbor grievances; and not report them with the expectation of a fair hearing and settlement. Grudges at unfair treatment will fester and may even erupt into further troublesome behavior. Transparency and open communication is a key part to the disciplinary system.

Prior to any disciplinary action, a thorough threat assessment and investigation should be completed. It is essential to avoid the impulse to terminate an employee on the spot after an alleged threat or other incident; in effect, kicking the problem out the door without fully understanding the "why". Termination may be appropriate, but doing so as an immediate response mechanism may be exactly the wrong thing to do; removing the potentially dangerous person from observation and possibly bringing on a violent act instead of preventing one.

3.6 Interview Guidelines

Interview the reporting party/victim in private.

1. In general, the same persons should conduct all interviews to better assess overall credibility and for continuity during re-interviews. Never conduct an interview alone; recommend two person interview teams; one to lead the interview and one to document.

2. Do not be judgmental in the interview. Simply record the facts.

3. Advise the reporting party/victim that these matters are confidential, taken very seriously, will be fully investigated, that he/she will be advised as to the outcome of the investigation in a timely manner, and that appropriate action will be taken.

4. Inform the reporting party/victim that any further problems should be reported immediately to include retaliation.

5. Do not discourage the reporting party/victim from going outside the company for assistance, if so desired.

6. Encourage the reporting party/victim to go over the entire incident at least once in his/her own words without interrupting.

7. Review the reporting party/victim's story in sections in order to expand specific details. If appropriate, obtain a written statement.

8. Ask the reporting party/victim if there are any other witnesses to this, or any other related, incident(s).

9. In the event the reporting party/victim is a minor, consult with Legal prior to any contact.

Interview the alleged perpetrator(s) in private.

1. In general, the same persons should conduct all interviews to better assess credibility and for continuity during re-interviews. Never conduct an interview alone; recommend two person interview team; one to lead the interview and one to document.

2. Explain purpose and process of the interview:

a. The investigation of a potential workplace violence incident.

b. Full cooperation is expected.

c. A final determination will not be reached until the investigation is completed. The purpose of the investigation is to gather all the facts to support a determination.

d. The investigation will be completed in a timely manner.

3. Be respectful; do not be judgmental.

4. Discuss each of the allegations, **identifying the reporting party/victim only when necessary.**

5. If any admissions are made, ask the alleged perpetrator for a full explanation. Document their statement. If appropriate, obtain a written statement.

6. Ask the alleged perpetrator for names of any witnesses who might have information that would support his/her version of events. Interview witnesses.

7. Warn the alleged perpetrator of ABB's company policy against retaliation.

8. In the event the alleged perpetrator is a minor, consult with Legal prior to any contact.

4. Termination Management

All decisions and procedures for terminations should be in keeping with approved legal and ethical standards. As terminations have the potential for a workplace violence incident to occur, they should be well planned out. If deemed a high risk termination, contact the NAM Team for guidance/assistance.

Prior to the termination meeting, the appropriate management and Site Team members should:

- Review all documentation
- Review the employee's personnel file
- Prepare a written document detailing the behavioral reasons for termination
- Conduct a risk assessment
- Secure the approval of Legal for the termination
- Develop a detailed plan for the termination proceedings that spans from the time the employee is given notice to the time he/she has departed ABB property
- Discuss security issues
- Determine who will attend the termination meeting and where it will be held; preferably in an office with two exits and away from main workspaces
- Conduct the termination meeting in a private meeting room. Remove anything that could be used as a potential weapon. Arrange the furniture so that all attendees have a clear and unobstructed access path to an exit
- Advise security personnel and take appropriate precautionary measures (e.g., have armed security standing by, if necessary)
- Prepare an audit of materials issued to the employee (e.g., badges, parking passes, security entry cards, etc.)

During the Termination Meeting

- Observe the employee to ensure that he/she does not bring any weapons into the meeting. If possible, leave purses, briefcases, and backpacks outside the meeting room with security personnel
- Treat employee with dignity and respect.
- Explain why the employee is being terminated. Discuss the situation in terms of behaviors
- Allow the employee to respond, keeping the discussion focused on behaviors leading to the termination
- Detail final pay, severance, benefits, etc.
- Secure all materials issued to the employee. Have two pre-determined individuals pack the employee's possessions and arrange to have them picked up or sent to the employee.

- Do not let the employee return to his/her work area. Do not let the employee go anywhere unescorted (cafeteria, toilet, break room, etc.) during or after the meeting.
- Escort the employee off of ABB property. If a high risk event, coordinate with the NAM Team for additional security measures. Instruct the employee not to come back onto ABB property unless specifically contacted by ABB and given permission

Facility Security Following Termination

- Ensure access badge has been deactivated
- Notify persons with a “need to know” (e.g., possible targets of revenge)
- Enhance security as appropriate
- Secure a temporary restraining order if necessary

5. Training

Training will be provided to all NAM new/current employees, supervisors, and managers on an annual basis and will be recorded. The extent and depth of training will vary depending on position, but the following topics will be universal:

- Definition of workplace violence
- Risk factors that can cause or contribute to threats and violence
- Early recognition of warning signs of problematic behavior
- Policies and procedures for reporting and record keeping
- Where and when appropriate and safe, ways of preventing or defusing volatile situations or aggressive behavior
- Information on cultural diversity to develop sensitivity to ethnic differences
- A standard response plan for violent situations, including availability of assistance, response to alarm systems and communication procedures.
- Policies and procedures for obtaining medical care, counseling, workers’ compensation, or legal assistance after an incident

6. Program Evaluation

The NAM Workplace Violence Prevention Program will be reviewed and evaluated on an annual basis to ensure the program remains relevant to workplace violence trends, awareness, information and effectiveness. The evaluation program will involve the following:

- Review of the incident reporting system for effectiveness and efficiency in incident resolution
- Review submitted incident reports for workforce violence trends as well as for lessons learned in incident management
- Measuring the frequency and severity of workplace violence in order to determine the effectiveness of the prevention program
- Analyzing trends and rates in violence related injuries and lost work time
- Analyzing the incorporation of new strategies for workplace violence prevention

APPENDIX B

ABB Workplace Violence Prevention Policy

ABB does not tolerate workplace violence and is committed to maintaining a safe workplace for all managers, supervisors, employees, vendors, contractors, and visitors. The workplace is defined as any time or place when on Company business, at a Company sponsored event, or if the conduct has an impact on the workplace, regardless of where the conduct occurs. ABB defines workplace violence as words, actions or behaviors that are disruptive, intimidating, aggressive, hostile or emotionally abusive, generate anxiety, or create a climate of distrust and fear. This includes any communicated threats (verbal or physical) or threatening behavior, bullying, stalking, domestic/partner violence, all forms of harassment, overt acts of violence causing physical injury and words or actions indicating that an employee might harm him or herself. Additionally, workplace violence includes the destruction of, attempted destruction of, or threats to destroy ABB and/or personal property.

ABB policy requires an immediate response to all reports of violence. All threatening incidents will be investigated and documented by the Workplace Violence Prevention Team. It is the responsibility of all employees to report all threatening behavior, or any disturbing circumstance that may raise a concern for safety, as soon as possible. Employees are responsible for reporting this information regardless of the relationship between the individual who initiated the threat or threatening behavior and the person(s) threatened. Incidents or concerns can be reported to:

- Any ABB supervisor or manager
- Ethics hotline 1-800-922-6681
- Any member of the Workplace Violence Prevention Teams

All supervisors and managers are responsible for the prompt communication of any received workplace violence information. Reports will be kept confidential to the maximum extent possible and any retaliation for reporting is strictly prohibited.

Violations of this policy can lead to disciplinary action up to and including termination of employment and the involvement of law enforcement. ABB's response may include referral to the Employee Assistance Program and/or external professionals, suspension and/or termination of any business relationship, reassignment of job duties, suspension or termination of employment and/or criminal prosecution.

APPENDIX C
Incident Report Form

INCIDENT TITLE:

- 1. TIME OF INITIAL REPORT:**

- 2. ABB BUSINESS/FUNCTION:**

- 3. TYPE/LEVEL OF INCIDENT:**

- 4. TIME OF INCIDENT:**

- 5. LOCATION:**

- 6. INJURIES:**

- 7. NARRATIVE:**

- 8. ADDITIONAL OBSERVATIONS:**

- 9. ASSESSMENT**

- 10. FINAL DETERMINATION/OUTCOME:**

APPENDIX D

Workplace Violence Prevention Desktop Guide for Managers

For any emergency of life threatening situation, CALL POLICE.

For any reported workplace violence incident, the immediate concerns:

1. Are the employees safe?
2. Is the workplace safe?

ALL ABB SUPERVISORS AND MANAGERS ARE THE FIRST LINE OF REPORTING FOR WORKPLACE VIOLENCE INCIDENTS FROM ANYWHERE IN ABB; NOT JUST DIRECT REPORTS.

ANY REPORT OR COMPLAINT OF A WORKPLACE INCIDENT IS OWNED BY THE SUPERVISOR/MANAGER WHO RECEIVED THE REPORT OR COMPLAINT UNTIL THE INFORMATION HAS BEEN PROPERLY TURNED OVER TO EITHER THE SITE OR NAM TEAM.

It is the responsibility of all ABB employees and managers to report any/all known or suspected acts of workplace violence.

Foster an open environment at all levels to ensure employees feel safe in reporting workplace violence incidents.

Reporting the information is the utmost priority. All of the following mechanisms can be used to make an initial report:

- **Any supervisor/manager (BU, HR, OHS, Legal, etc.)**
- Site Team
- NAM Team
- Ethics hotline 1-800-922-6681

Upon receipt of an initial report, forward it to the Site Team or the NAM Team for action.

The Site Teams are the focal point for all incidents reported at the Site level. All reports received by site supervisors/managers must be forwarded to the Site Team. However, if the Site Team is unavailable, any report or complaint can be sent directly to the NAM Team.

The NAM Team will be the focal point for all reports received via the Ethics Hotline.

All Level Two and Three incidents must be reported directly and as soon as possible to the NAM Team.

Level One incidents can be managed by the Site Team; however, notification of the incident will be forwarded to the NAM Team.

It is essential to foster an open environment at all levels within the ABB structure to ensure employees feel safe in reporting workplace violence incidents. All incidents must be followed up on; assuming that workplace violence “can’t happen here” is a recipe for failure.

Do not:

- Assume that workplace violence “can’t happen here”; all reported threats must be acted upon.
- Act on your own. Seek guidance from Site and NAM resources.
- Allow the problem to escalate, grow and fester.

Know your people. Get involved early and often at any signs of behavioral changes. Find out the “why”.

Key behavioral indicators are sudden drops in job performance, decreased productivity, excessive tardiness or absenteeism as well as decreasing ability to get along with coworkers.

APPENDIX E

ABB Workplace Violence Response Procedures

LEVEL ONE and TWO

1. Are the employees safe? Based upon immediate facts, determine level of safety for the victim and for the other employees in the vicinity of the situation. Specific considerations:

- a. Will removing the alleged perpetrator from the workplace make things better or worse?
- b. Who should be consulted beforehand? Security? Legal? HR? Is a more detailed threat/risk assessment necessary?
- c. What are the terms of the administrative leave or suspension? With pay? Who will be the primary ABB point of contact? What should the alleged perpetrator do during the time away?
- d. How will you respond to the alleged perpetrator when asked why removing him/her is necessary?
- e. What, if anything, should coworkers, customers and vendors be told about the employee's departure?

2. Is the workplace safe? Based upon immediate facts, determine level of safety for the workplace and ABB property.

3. The Team Leader or his/her designee initiates an incident log and begins to document all incident details. This log is to be kept throughout the incident investigation.

4. Initiate an investigation/threat assessment. Identify all the issues and separate facts from allegations. Develop a roadmap for the investigation. Assess what tools and resources will be needed and make arrangements prior to commencing investigative activities. Recommend consult with the NAM Team for investigative suggestions. All outside resources must be coordinated through the NAM Team. Know, understand and adhere to the following the investigative protocols:

- a. Beyond a reasonable doubt.
- b. Clear and convincing evidence.
- c. Preponderance of evidence.
- d. Good faith investigation/reasonable conclusion.

Specific investigative considerations:

- a. What facts can be gathered unilaterally without interviews (performance records, employee files, etc).
- b. Who needs to be interviewed?
- c. How should the interviews be ordered? Talk to the most knowledgeable first, then the next most knowledgeable; and so on. Violent cases may necessitate the reordering due to safety and security concerns.
- d. If administrative leave for the alleged perpetrator is being considered, will the leave take place before or after interview of the alleged perpetrator?

5. Notify the alleged victim(s) of the violence that the incident is being investigated and that he/she will be advised as to the outcome of the investigation. Advise the victim that their reporting will be kept confidential to the maximum extent possible.

6. Witness Interviews. All witness interviews will be conducted in private and should be well planned. Request statements in writing if appropriate. APPENDIX G provides general themes for questions. However, they should not be used as a finite list and read verbatim. Every situation will be different, as such, the interviews should be tailored accordingly. It is strongly recommended to contact NAM Security or Compliance for assistance in developing interview plans. **See Section 3.6 for guidelines on conducting interviews.**

7. Alleged perpetrator interview. All interviews of the alleged perpetrator will be conducted in private and should be well planned out to include a security plan. If it is assessed that the interview may pose a risk, contact the NAM Team. It is important that everyone throughout this process is treated with dignity and respect; furthermore, all initial reports are allegations only and the intent of the investigation is to determine what took place. However, security of employees and the workplace should not be sacrificed during this step. Instructions should be developed and provided to the interviewee prior to the interview such as what to bring and what not to bring into the interview. Request statements in writing if appropriate. **See Section 3.6 for guidelines on conducting interviews.** Specific considerations for assessing credibility:

- a. Demeanor.
- b. Logic/consistency of story.
- c. Corroborating evidence.
- d. Circumstantial evidence.

8. If appropriate, it may be necessary for the alleged perpetrator to be suspended pending the results of the investigation. If this is a possibility, proactively plan to ensure the proper security protocols are in place prior to notifying the employee.

9. Investigation conclusions.

- a. No intent to harm and the alleged perpetrator displays insight/remorse. Final determination is a safe outcome and the final disposition is turned over to HR.
- b. No intent to harm, but the incident is a repeat of past inappropriate behavior, is an escalation from past inappropriate behavior, or the incident is sufficiently serious enough to warrant a professional evaluation, then the appropriate referral should be made in coordination with HR and the NAM Team.
- c. Intent to harm. Contact the NAM Team for determination of necessary immediate actions and if any external specialists should be contacted to participate in the investigation. Contributing factors will be if the alleged perpetrator has displayed similar violent behavior in the past; if he/she has been uncooperative during the investigation; or if there is a future potential for serious harm.

10. Determine disciplinary options if appropriate. Long term safety and security of the workplace and the employees are the primary considerations.

11. Thoroughly plan out the implementation of all disciplinary actions and the possible consequences of these actions, prior to providing the outcome details to the alleged perpetrator and the victim(s) of the incident.

12. If at any time there is an escalation of behavior, whether in or outside of the workplace, that is perceived as threatening, notify law enforcement.

LEVEL THREE

CALL POLICE. Any act of violence should be handled by law enforcement.

1. Are the employees safe? Due to the extreme danger presented by Level Three incidents, all employees should be evacuated from the immediate area as rapidly as possible if safe to do so.

2. Is the workplace safe? If employee safety has been ensured, and if no additional risk to employees, all efforts should be taken to safeguard ABB property.

3. Seek emergency medical care for anyone who is injured. Do not administer care unless qualified to do so.

4. Determine necessity for implementing the site's Crisis Management Plan. Any serious injury, fatality, use of a weapon, attempted suicide or significant destruction of ABB property is deemed a Crisis and requires Crisis Management. In these situations, contact the NAM Team as soon as possible for assistance/guidance in managing the incident.

5. Designate an incident command post at a location outside the site where law enforcement and site management can meet without being in the immediate vicinity of the incident.

6. Initiate an incident log and begin to document all incident details. This log is to be kept throughout the incident.

7. Initiate procedures for getting an accurate count of employees and their locations.

8. Secure the incident site to prevent anyone except authorized persons from entering.

9. Manage the incident until properly turned over to the Site Crisis Management Team. Key points:

- a. Control the site
- b. Account for the employees

APPENDIX F

Levels of Violence

Level One Violence

- 1.0 Refuses to cooperate with immediate supervisor
- 2.0 Spreads rumors and gossip to harm others
- 3.0 Consistently argues with coworkers
- 4.0 Is belligerent toward others
- 5.0 Pattern of verbal abuse/harassment including racial slurs
- 6.0 Uses excessive profanity, primarily of a sexual nature
- 7.0 Makes unwanted sexual comments
- 8.0 Expresses suicidal thoughts
- 9.0 Inappropriate reasoning, impaired judgment

Level Two Violence

- 10.0 Argues increasingly with customers, coworkers, vendors and management
- 11.0 Refuses to obey company policies and procedures
- 12.0 Sabotages equipment and steals property for revenge
- 13.0 Verbalizes wishes to hurt coworkers and/or management
- 14.0 Persistent non-mutual displays of affection
- 15.0 Sends sexual/violent notes to others
- 16.0 Sees self as victimized by management
- 17.0 Consistently acts out anger (slams doors, punches walls, attempts to instigate fights)
- 18.0 Makes suicidal threats/gestures

Level Three Violence

- 19.0 Physical fights
- 20.0 Physical assaults (spitting, pushing, shoving)
- 21.0 Destruction of property
- 22.0 Utilization of weapons to harm others
- 23.0 Attempts/commits suicide
- 24.0 Murder, rape, arson

APPENDIX G

THREAT ASSESSMENT GENERAL QUESTIONS

- Why has the offender threatened, made comments which have been perceived by others as threatening, or has taken this action at this particular time? What is happening in his/her own life that has prompted this?
- What has been said to others, i.e. friends, colleagues, coworkers, etc., regarding what is troubling him?
- How does the offender view himself/herself in relation to everyone else?
- Does he/she feel he has been wronged in some way?
- Does he/she accept responsibility for his/her own actions?
- How does the offender cope with disappointment, loss or failure?
- Does he/she blame others for his failures?
- How does the offender interact with coworkers?
- Does he/she have problems with supervisors or management?
- Is he/she concerned with job practices and responsibilities?
- Has he/she received unfavorable performance reviews or been reprimanded by management?
- Is he/she experiencing personal problems such as divorce, death in the family, health problems, health problems of a family member, or other personal losses or issues?
- Is he/she experiencing financial problems, high personal debt, or bankruptcy?
- Is there evidence of substance abuse or mental illness/depression?
- Has he/she shown an interest in violence through movies, games, books or magazines?
- Is he/she preoccupied with violent themes; interested in publicized violent events; or fascinated with and/or recently acquired weapons?
- Has the offender identified a specific target and communicated with others his thoughts or plans for violence?
- Is he/she obsessed with others or engaged in any stalking or surveillance activity?
- Has the offender spoken of homicide or suicide?
- Does he have a past criminal history or history of past violent behavior?
- **Does the offender have a plan for what he would do?**
- **Does the plan make sense, is it reasonable, is it specific?**
- **Does the offender have the means, knowledge and wherewithal to carry out this plan?**

APPENDIX H

EXTERNAL SPECIALISTS

The below persons/organizations have confidentiality agreements executed with ABB and have regional capabilities across NAM. Direct contact with the below is only allowed in the event of a time sensitive emergency AND you are unable to contact anyone on the NAM Team for coordination.

Name	Contact	Specialty
Glenn Kraemer CHK	310-255-1800	Threat Assessments (General, employment law)
Marc McElhanev Critical Response Associates	404-870-9777	Threat Assessments (Mental health)
Richard Hart ProActive Resolutions (Canada)	604 482 1750	Threat Assessments (Ph.D. on staff)
John Lane Control Risks	213-996-7560	Threat Assessments (Domestic Violence/Stalking)

APPENDIX I – CHANGE HISTORY

Rev.	Chapter	Description	Date - Dept. / Name
1.0		First version	2010-10-06 / CR
2.0		Appendix Revision	2011-05-17 / CR

Revision and approval

<u>Revision date</u>	<u>Description of change</u>
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November 2011	New
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Approved by