

# PROCEDURE



## ACTIVITY RISK MANAGEMENT PROCEDURES - Employees

Contact Officer

Director, Risk Management

### PROCEDURE

	<b>Purpose</b>	This procedure will assist Activity Coordinators in identifying and assessing risk and effectively implement risk controls.
	<b>Procedure</b>	The Risk Management Plan and Informed Consent Record are attached as Appendices A and B to this Procedure. Additional information is available in the associated Activity Risk Management Guideline.
	<b>Activity Coordinator</b>	<p>Step 1 - Identify the hazards associated with each aspect of the activity by:</p> <p>a. Identifying all components of the activity including:</p> <ul style="list-style-type: none"> <li>• location of activity (inside, outside, off campus etc.)</li> <li>• mode of travel to and from the site</li> <li>• physical activities to be performed</li> <li>• facility in which the activity will be conducted</li> <li>• tools or instruments to be used during the activity</li> <li>• materials or substances to be used during the activity</li> <li>• policies and procedures in place to manage the activity</li> <li>• contractual agreements in place</li> <li>• training and experience of participants</li> <li>• intellectual property produced</li> <li>• university resources and property involved</li> </ul> <p>b. Identifying natural or human-caused hazards associated with each component that are significantly greater or markedly different than those likely to be encountered in the participant's regular working and studying environment.</p>
	<b>Activity Coordinator</b>	<p>Step 2 - Assess the risk posed by each hazard and the overall activity by:</p> <p>a. Estimating, on a scale of one to five, the <b>likelihood</b> of each hazard resulting in a loss, such as death, injury, damage to property, financial loss, legal sanctions or harm to Trent's reputation.</p> <p>b. Estimating, on a scale of one to five, the possible <b>severity</b> of that loss.</p> <p>c. Calculating the risk score by multiplying the likelihood and the severity score for each hazard. If the resulting score is 15 or more, that particular hazard is high risk. Risk scores can be entered in Section 2 of the Risk Management Plan.</p> <p>d. Calculating the average risk score (risk scores for each identified hazard divided by the number of hazards) to determine the overall activity risk (low, medium or high).</p>

<p><b>Activity Coordinator</b></p> <p><b>Person in Authority</b></p> <p><b>Senior Administrative Position</b></p>	<p>Step 3 - For <b>out of country travel</b>, determine if there is a Global Affairs Canada (GAC) travel warning in effect by consulting the GAC website. The following authority is required to approve travel to a country for which a GAC travel warning is in place:</p> <ul style="list-style-type: none"> <li>• Level 2 warning – exercise a high degree of caution – Person in Authority</li> <li>• Level 3 warning – avoid non-essential travel – Person in Authority</li> <li>• Level 4 warning – avoid all travel – Senior Administrative Position</li> </ul>
<p><b>Responsible Officer or Section</b></p>	<p>Step 4 – Select appropriate risk control measures for each high and medium risk hazard to reduce the risk to a tolerable level, as determined by the Person in Authority. Risk Control plans should include a recovery plan should the identified hazards result in an injury or loss. Further information on types of risk control measures can be found in the Activity Risk Management Guideline.</p>
<p><b>Activity Coordinator</b></p>	<p>Step 5 – For high risk activities, complete the Risk Management Plan and request approval from the Person in Authority.</p>
<p><b>Person in Authority</b></p> <p><b>Senior Administrative Position</b></p>	<p>Step 6 – Review Risk Management Plan and:</p> <ol style="list-style-type: none"> <li>a. If the risk controls are satisfactory in reducing the risk to a tolerable level, approve and sign the plan; or</li> <li>b. If the risk controls need enhancement, return the Plan to the Activity Coordinator with recommendations for improvement. Once changes have been effected, approve and sign the plan if the revised controls are satisfactory; or</li> <li>c. Determine that the risks are unmanageable, even after all available risk controls have been put into place. Select “not approved”, sign the plan and have the Activity Coordinator acknowledge that the activity has not been approved or refer it to the Senior Administrative Position. No university resources will be allocated to an unsanctioned activity.</li> <li>d. If the activity is of sufficient value to the university to warrant the provision of additional risk control resources, allocate the resources or refer the activity to President Vice Presidents Executive Group (PVP) for consideration through the Enterprise Risk Management Process.</li> </ol>
<p><b>Activity Coordinator</b></p> <p><b>Activity Supervisor (if applicable)</b></p> <p><b>Participants</b></p>	<p>Step 7 – Conduct the activity by:</p> <ul style="list-style-type: none"> <li>• approving the participants, including any authorized volunteers, and ensuring that each participant is aware of his/her responsibilities under this Policy,</li> <li>• <b>For out of country travel</b> ensure provisions of the TIP study abroad emergency program <a href="https://www.trentu.ca/studyabroad/emergency-program">https://www.trentu.ca/studyabroad/emergency-program</a> are met for all undergraduate participants and that all others have provided emergency contact information;</li> <li>• establishing a clear chain of responsibility that is communicated to and understood by all participants;</li> <li>• obtain written acknowledgement and consent from all students (for non-academic activities) and volunteers participating in the activity using the <a href="#">Informed Consent Record</a> and providing copies to Risk Management Office;</li> <li>• for off-campus activities, ensuring that work/study time and personal time are clearly defined and participants understand activities undertaken during personal time do not constitute part of the overall sanctioned activity and are therefore not covered by the university insurance program.</li> </ul>

	<ul style="list-style-type: none"> <li>• verify all participants in an international activity have registered in the Emergency Contact Program and ensuring the GACwebsite is checked for travel advisories;</li> <li>• verify all undergraduate student participants have attended the Pre-Departure Orientation Session.</li> <li>• ensuring that the needs of participants with disabilities and medical conditions are considered in the activity plan;</li> <li>• ensuring that critical incidents are immediately reported to the Person in Authority, the incident is investigated, the causes determined and risk controls are put in place to prevent future such occurrences. In a critical injury, ensure the victim is provided with immediate medical attention. On university property, Campus Security is to be immediately notified (705-748-1333 in Peterborough or 435-5111 in Durham); and</li> <li>• arrange appropriate training and pre-activity briefings to ensure that each participant is made aware of the foreseeable risks associated with the activity, the appropriate risk-management procedures in place, the specific requirements which need to be met for participating in the activity (e.g., safety training, visas, health insurance requirements) and their personal safety and reporting responsibilities;</li> <li>• conducting on-site orientation session briefings for participants as needed when new safety issues or changes of plan arise;</li> <li>• implementing and monitoring the effectiveness of the risk control measures in the approved Risk Management Plan.</li> <li>• providing an opportunity for participants to give post-activity feedback and conveying the results to the Activity Coordinator;</li> <li>• in the case of international activities, obtaining immunizations, medical advice, travel documents, adequate supplementary health and travel insurance as required;</li> <li>• providing, if required, evidence of a satisfactory state of health and immunization status prior to undertaking the activity;</li> <li>• using the appropriate protective equipment and following the safety procedures established by the Activity Coordinator or Supervisor, and taking medical precautions as necessary;</li> <li>• reporting unsafe conditions, new hazards or critical incidents as they occur.</li> </ul>
<b>Activity Coordinator</b>	Step 8 – Assess effectiveness of risk management measures by reviewing critical incidents (if any) and participant feedback. Revise risk score and risk management plan as required.
<b>Keywords</b>	activity, risk, control, sanctioned, safety, authority, hazard, critical, incident, plan

<b>Date Approved</b>	May 2009
<b>Approval Authority</b>	VP Administration
<b>Date of Commencement</b>	May 2009
<b>Amendment Dates</b>	Revised March 2013, September 2014
<b>Date for Next Review</b>	February 2023
<b>Related Policies, Procedures and Guidelines</b>	Enterprise Risk Management (ERM) Program Health and Safety Policy RMP 014 and associated procedures Student Activity Risk Management Program Vehicle Policy Trent International Policy and Procedures on Risk Management and Undergraduate Study Abroad Laboratory Safety Handbook (1994)