

RISK FACTOR ANALYSIS TOOL

| RISK LEVEL | | | |
|--|--|--|--|
| 1 | 2 | 3 | 4 |
| (Low) Given the planned activity/event, this factor has little to no potentially negative or risk impact. | (Moderate) Given the planned activity/event, this factor adds some level of risk that is unlikely to occur or minimal risk that is likely to occur. | (High) Given the planned activity/event, this factor adds potentially serious risks that are likely to occur. | (Extremely High) Given the planned activity/event, this factor adds an unacceptable level of risk, including catastrophic and critical injuries that are likely to occur. |

RISK FACTORS

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| Will food be served? |
| <p>Food served/possibility of food related illness How is food prepared and by whom? How is food kept at proper temperatures to eliminate food poisoning? Commercial providers tend to lower risk; private individuals (other students, faculty or staff) increase risk of inadequately prepared food and potential illness. If the event is outdoors during warm weather, what type of food is being served? Are food handlers trained in food safety (wearing gloves, etc.?)</p> <p>-Food served/potential for allergic reactions The possibility of food allergy reactions is higher risk. Is food labeled? Have participants identified any food allergies on registration forms, etc.? What food is being served? Certain foods are inherently more risky (nuts, shellfish)</p> |
| Is alcohol a factor? (Served or will the event potentially attract individuals who have been drinking?) |
| <p>Alcohol consumption* If alcohol is available for consumption higher risk. If underage individuals present, higher risk. Who and how is alcohol being served? Is it in accordance with College Policy and State Law? If the event, while not serving alcohol, draws intoxicated individuals or has the potential to have cover alcohol consumption occur at the event, that event is higher risk.</p> |
| When, where and what time? |
| <p>Time of Day In determining the risk level as it pertains to time of day: consider how the campus or location is typically staffed at that time of the event; consider whether the time tends to typically lend itself to more negative behaviors</p> <ul style="list-style-type: none"> ▪ Events occurring during on campus during regular business hours typically have the least risk ▪ Events occurring during evening (4:30 pm – 11 PM, Sunday – Thursday and weekend days generally carry minimal risk ▪ Events occurring during evening (4:30 pm – 11 PM, Friday-Saturday) and after 11 pm Sunday-Thursday, generally carry enhanced risk ▪ Events occurring during late evening (after 11 PM, Friday-Saturday) generally carry extreme risk <p>If the event is occurring off campus, assess the typical staffing level at that location at that time, it may be different than campus.</p> |
| <p>Day of the Week Generally, weekends are higher risk on a college campus due to limited staff and a “party” mentality. However, the other events on campus at the time, the campus vacation schedule, all should be taken into account. A weekday during Christmas break may have increased risk due to limited staff. Conversely, an event on family weekend may be less risk because there is increased staffing for the special weekend. Consider if regular staffing is available on campus to support/respond to the .event and/or emergency or would they need to be brought in specially.</p> |
| <p>Duration of the event (how long will it last) The longer the event, the more increased the risk. And event that includes overnight also increases risk versus the same event with only day time activities.</p> |
| <p>Weather conditions If the event is outdoors, how would potential weather condition at that time of year potentially affect the event? How would driving conditions potentially affect attendance at the event?</p> |

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| <p>Facility Does the facility permit access for mobility impaired? Is the facility adequate for size of crowd and event? Is there adequate safety support in place in the facility? Can the facility provide the additional AV/equipment needs for the event? Does the event have adequate parking or will folks have to walk a distance to attend?</p> |
| <p>Terrain Hilly, uneven terrain will generally pose greater risk.</p> |
| <p>WHO IS ATTENDING THE EVENT?</p> |
| <p>Age of the participants (minors*) Minors are always the highest risk. Must have enough supervisors, waivers, emergency info, training. Then the elderly. However, college-aged individuals may also pose high risk – depending on the nature of the event. Adults (non-elderly) are generally the least risk.</p> |
| <p>Type of attendees (minors*, elderly, VIPs*, individuals with special needs, college aged individuals) Those with greater needs (care for minors, special needs assistance, attention as VIPs) pose greatest risk.</p> |
| <p>Number of participants Generally, the more the participants, the greater the risk. However, if an event requires a minimum attendance to ensure financial success, a smaller number of attendees could pose greater risk.</p> |
| <p>Is the event open to the public or restricted to the Siena community? (open to public*) Events open to the public pose additional risks.</p> |
| <p>WHAT IS HAPPENING AT THE EVENT?</p> |
| <p>What is the nature of the event? Meetings/lectures open only to the college community have the lowest risk. Speakers, conferences/seminars open to the public have moderate risk. Films require permission re: copyright. Concerts, sporting events/competitions have high or extremely high risk.</p> |
| <p>Type of equipment used in the activity Is there a chance of injury while using the equipment? Yes = increased risk. Is a skill level required to use equipment = if yes, increased risk.</p> |
| <p>Type of physical activity involved in the event The more physical, the greater the risk. Does the event require a pre-requisite skill? Medical clearance? Do participants need training to achieve the activity? Yeses to these questions indicate increased risk. No physical activity is the lowest risk. Physical activity by the participants increases risk with type of activity.</p> |
| <p>Protective Gear Does the activity require or best practice indicates that protective gear should or must be worn? If no, lower risk. If yes, extremely high risk.</p> |
| <p>Use of fire, explosives, combustibles* Yes = high/extreme risk. May require an open burning/bonfire permit.</p> |
| <p>Amplified Sound* Amplified sound can be a significant issue/risk. Siena is located in a residential neighborhood and it is important the College be a good neighbor. If the event is outside, there is higher risk.</p> |
| <p>Commercial or Retail Activity* Any type of sale of food, beverages, items, etc. increases risk. Event must be in compliance with College policy, vendor agreements executed, if applicable, etc.</p> |
| <p>Animals* Are animals a part of the event in any way? If so, increased risk. How are animals a part of the event?</p> |
| <p>Other Please list anything about what is occurring at the event that has not already been covered</p> |
| <p>WHAT IS THE TOPIC?</p> |

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| <p>Sensitivity of the content (embarrassment, humiliation, hazing) The more sensitive the content, the greater the risk. Will the content include information on a topic that could cause a participant/audience member to relive a traumatic event (i.e. sexual assault, 9/11, violent crime, death or injury to self or loved ones); will participants be invited to come on stage to become part of the act (hypnotist, magician, etc.); is the content one that is likely to cause discomfort among some attendees (sexual orientation, political opinions, etc.) – higher risk. Hazing of any sort is illegal and extremely high risk.</p> |
| <p>Controversy/disruption to campus* Has this topic/speaker/event caused controversy previously here or elsewhere? Protests, media attention, security requirements? If yes, higher risk. Even if no prior history, is the topic/speaker/event supportive of the College’s Catholic and Franciscan Tradition? If yes, generally would be lower risk. Is the intent of the topic/speaker/event to encourage debate? Heated debate? Then that is increased risk.</p> |
| <p>IS THERE TRAVEL INVOLVED?</p> |
| <p>Travel destination Destinations that are remote with limited emergency support services have high risk as do those to locations with significant crime. Cities, in and of themselves, do not increase risk. However, if the destination is to a city with a high crime rate or locations with increased potential for harm (New Orleans, Las Vegas, Atlantic City, Cancun during Spring Break, etc.) the risk would be rated high to extremely high.</p> |
| <p>Purpose of travel Travel for educational reasons where the time is very full of educational commitments is the least risky. Attendance at a professional conference less risk. Travel with a mix of educational and social free time has increased risks. Travel with no educational component has the highest risk.</p> |
| <p>Mode of transportation Commercial carrier is generally the least risky – however has the carrier been vetted? Have there been any problems with the carrier previously – if yes, increased risk. Research the carrier. If taking college vehicles, moderate risk. If taking personal vehicles – greatest risk.</p> |
| <p>Length of stay off campus The longer the stay off campus (overnights), the greater the risk.</p> |
| <p>OTHER CONSIDERATIONS</p> |
| <p>Financial cost of event What is the potential financial impact of the event? Events that can be covered by existing funds or with no cost are the lowest risk. Those events requiring income from the event to pay for the actual event increase the risk.</p> |
| <p>Poor planning/preparation of the event What is the potential impact of poor planning? Greatest risk comes from those events poorly planned where there is Public Relations exposure, potential injury, reputational damage, loss of revenue. Some events require minimal planning – those would be the lowest risk. Events requiring extensive planning, communication, and logistics have the highest risk.</p> |
| <p>Marketing Does your marketing plan include the use of the College name or logo? You must get SCIM to approve. Are you having items printed with any design? Designs must be pre-approved.</p> |
| <p>Contract* Is there a contract or written agreement for the event/performer/venue? Events with contracts require thorough review by College personnel. A contract or agreement is higher risk. The contract may actually be a means of mitigating or transferring risk, depending on the contract language. In terms of evaluating level of risk initially, a contract or written agreement starts at high risk. In the second column, after mitigation, the language of the contract may actually lower risk.</p> |
| <p>Poor conduct/behavior at the event Does the nature of the event potentially encourage or allow for poor or illegal behavior? If yes – increased risk. Is there a history of poor or illegal conduct at this or similar events? If yes – increased risk.</p> |
| <p>Prior history involving this or a similar event or the time period of the event If the event or similar has occurred on this campus before – with no incidents – less risk. If there is a history of problems – much higher risk – a lawsuit would argue the College has prior knowledge and was, therefore, negligent. How has this event gone at other locations? Again – no problems – less risk (find out what precautions were taken); problems – increased risk. Find out what the problems were.</p> |

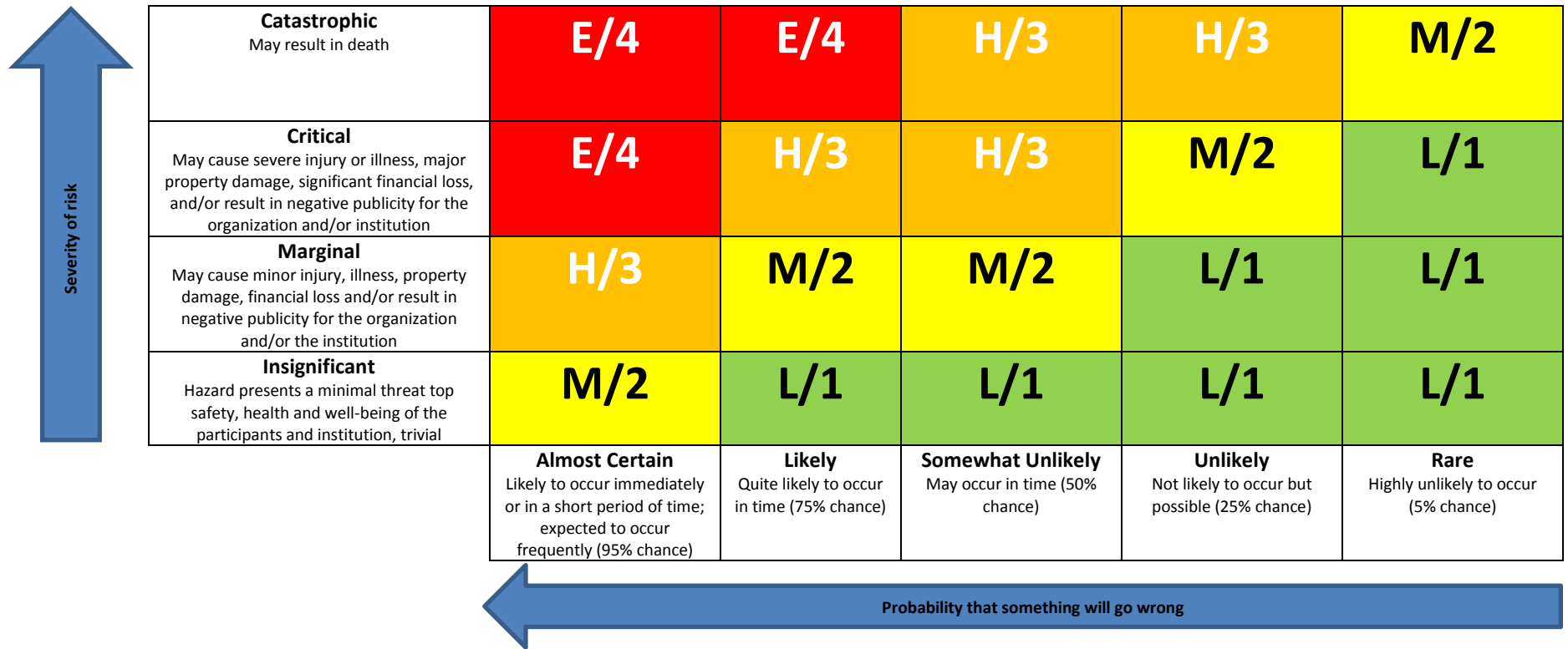
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RISK MANAGEMENT/MITIGATION STRATEGIES This is not an all-inclusive list.
 The best risk management mitigation strategies look at the risks associated with an event and work towards those specific activities which can reduce/eliminate those risks.

| REDUCTION | TRANSFER | ELIMINATION |
|--|---|--|
| <ul style="list-style-type: none"> • Thorough planning/walk through of event/setting/inclement weather back-up plan • Reviewing all plans with professional staff/advisors/public safety/Student Affairs Compliance officer • Development of thorough contingency and crisis response plans • Reference checks to avoid surprises from entertainers, speakers, vendors, etc. • Review any prior history with this type of event, make changes to address prior issues • Assign supervisory responsibilities to sponsor members • Communication to all constituents their role in running the event, and contingency and crisis plans • Obtain solid estimates on costs for set-up and break-down before the event to limit budget surprises • Use pre-sale for those events with financial risk so you have a guaranteed amount of income • Effective advertising/marketing • Develop a pro-active media plan for any potential controversial topic/review with Strategic Communications and Integrated Marketing • Ask attendees ahead if they have any special needs so reasonable accommodations can be provided • Have emergency personnel on site event (EMS, police, fire) • Training (sexual abuse prevention training for those events with minors, sexual harassment, CPR/AED, etc.) • Change the original plan (topic, date, time, location) to reduce risk • Having professional staff/advisor attend event/activity • Limit attendance/audience | <ul style="list-style-type: none"> • Insurance. (The College Risk Officer and/or Student Affairs Compliance Officer) will assist with evaluating an event and whether additional insurance is required.) A Certificate of Insurance is often required as proof of coverage limits and that Siena College is an additional insured. • Commercial provider (transportation, food, etc.) Make sure you check references on commercial providers. Check with other college offices/groups to ensure satisfaction. • Contractual requirements • Waivers/release forms – waivers are used to provide proof that an individual was knowledgeable about and informed of the risks associated with an event and VOLUNTARILY chooses to participate and affirms acknowledgement that they are assuming the risk and thereby releasing the College, etc. from liability. • Obtain copies of all certifications for anyone presenting training/running programs that require certification | <ul style="list-style-type: none"> • Cancel event. • Postpone/reschedule the event • Review all policies/procedures/applicable laws to ensure compliance. • Review all permit requirements/obtain permits in advance |

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RISK ASSESSMENT MATRIX



| RISK DEFINITIONS | | Many events, without proper planning, can have unreasonable levels of risk. However, by applying risk management/mitigation strategies, you can usually reduce the risk to an acceptable level. |
|------------------|----------------------------|---|
| E/4 | Extremely High Risk | Activities in this category contain unacceptable levels of risk, including catastrophic and critical injuries that are likely to occur. Organizations should consider whether they should eliminate or modify activities that still have an "E" rating after applying all reasonable risk management/mitigation strategies. |
| H/3 | High Risk | Activities in this category contain potentially serious risks that are likely to occur. Application of proactive risk management/mitigation strategies to reduce the risk. Organizations must consider ways to modify or eliminate unacceptable risks. |
| M/2 | Moderate Risk | Activities in this category contain some level of risk that is unlikely to occur. Organizations should consider what can be done to manage the risk to prevent any negative outcomes. |
| L/1 | Low risk | Activities in this category contain minimal risk and are unlikely to occur. Organizations can proceed with these activities as planned. |

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