APPLEGROVE COMMUNITY COMPLEX

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"TOGETHER, BUILDING OUR COMMUNITY"

TORONTO
An Agency of the City of Toronto

Risk Management Review
Board Meeting – August 2011

1. History

In the fall of 2009 and early winter 2010, the Board worked on risk management, starting with an understanding of the difference between risk management and risk avoidance, then identifying a wide range of risks that the organization could face, and finishing by reviewing policies and procedures that address these. In January 2010, the Board suggested reviewing and updating the Risk Management information at least every 2 years, preferably annually.

2. List

In October, 2009, Board members identified a number of risks. The list below presents them grouped into categories, with some items in more than one category, in alphabetical order.

a. Problems in programs
- child not picked up after program
- injury to a caregiver whose children are not identified
- off-site injuries during trip
- off-site transportation crash
- one participant hurting another
- problem behaviour (by participants or people attending events)
- theft from program participants

b. Injury and infection
- centre-spread infection via common objects
- construction accident
- food poisoning
- injury in program
- injury to a caregiver whose children are not identified
- lifting injuries (staff, volunteers, participants)
- off-site injuries during trip
- reaction to centre-supplied (legal) drugs
- slip and fall

c. Abuse and harassment
- harassment
- one participant hurting another
- problem behaviour (by participants or people attending events)
- racist or homophobic comments or hate activity (real or perceived)

d. Illegal activity
- drug activity
- fraud
- harassment
- hostage, kidnap, bomb threat
- one participant hurting another

- on-line sabotage, bad postings
- sabotage
- sexual abuse by staff/volunteers
- sexual abuse within program
- theft from organization
- theft from program participants

e. Damage to reputation
- on-line sabotage, bad postings
- problems after function where alcohol is served and liability
- risk to reputation/bad press

f. Personnel
- loss of funding
- loss of key staff/volunteers, e.g. web-designer
- sexual abuse by staff/volunteers
- strike by AG staff
- strike by school staff
- succession planning

g. Disaster
- hostage, kidnap, bomb threat, fire, flood, explosion
- natural disasters
- power outage
- toxic spills

h. Building issues
- internal air quality problems (HVAC or central air toxic fumes, Legionnaires, etc)
- lack of adherence to fire regulations
- power outage
- toxic spills

i. Other
- data destruction
- disrepair
- e-mail corruption
- loss of funding
- ongoing loss of quorum
- people with mental health problems
- problems after function where alcohol is served and liability
- reaction to centre-supplied (legal) drugs

3. Risk Management

There are policies and procedures in place to address some of the above risks. The table below outlines them. The items in **bold** print are the most likely to occur.

Area	Risk	Policy/Procedure
Problems in programs	**child not picked up at end of program** (happens at least once per month)	▪ office staff are always scheduled until after end of program for children 12 and under ▪ program staff (camp, after-4, etc.) bring left-over children to office at program end ▪ program or office staff call parent(s), emergency contact, etc. ▪ if there has been no contact with parent or emergency contact, and child is not picked up for minimum 1 hour, staff would contact relevant Children's Aid Society
	injury to a caregiver whose children are not identified	▪ strongly encouraging all caregivers to provide names and contact info for their children ▪ while one staff helped caregiver, another staff would attend to the children. As needed, one of these staff could be an office staff. (see injury in program)
	off-site injuries during trip	▪ at least 2 program staff attend off-site activities ▪ office staff on duty (or on call) during off-site activities ▪ office staff have list of trip participants ▪ trip staff arrange for staff to stay with uninjured and injured participant(s). ▪ trip staff accompany injured participant to hospital as appropriate. Trip staff pay for taxi if an ambulance is not required. ▪ trip staff notify office staff ▪ if needed and possible, office staff come to site or hospital. May help transport injured participant(s). ▪ if a staff or volunteer has been approved by management to transport participants, that staff or volunteer would be covered by the City's non-owned auto insurance.
	off-site transportation crash	(see off-site injuries during trip)
	one participant hurting another	▪ staff ensure the safety of all participants, including protecting them from further injury. As needed, staff would call the office for support. ▪ response depends on ages and relationships of participants and severity of incident. ▪ a parent hurting their child would follow child abuse reporting requirements ▪ if both participants are adults, staff would probably call police. ▪ if both participants are campers, their parents would be notified and at least one camper would probably be suspended (also see injury in program)
	problem behaviour (by participants or people attending events)	▪ staff in charge address problem as needed. May include speaking with the individual or their parent, calling police, etc.

Area	Risk	Policy/Procedure
	theft from program participants	▪ strongly encourage participants not to bring valuables and to keep their wallet/purse with them ▪ if theft is reported, staff would help to look for the item(s) and write incident report. ▪ staff would follow participant's direction regarding whether to call police.
Injury and infection	centre-spread infection via common objects	▪ TDSB responsible for regular cleaning ▪ staff clean equipment, etc. regularly. ▪ staff increase frequency of cleaning during outbreaks of illness ▪ Applegrove has had hand sanitizer available in all program and admin spaces for some time. This is increased during outbreaks of illness.
	construction accident	▪ City/TDSB hires contractors and includes Health and Safety requirements. ▪ staff monitor construction sites for issues.
	food poisoning	▪ at least 1 staff in each program area has food service certificate ▪ try to follow appropriate food handling procedures during snack and meal preparation ▪ decreasing opportunities for program participants to bring home-prepared foods to share
	injury in program (happens several times per week in day camp)	▪ try to minimize risks, such as slip and fall, etc. ▪ some variation in procedure depending on program ▪ all staff have first aid training. Most program staff have current first aid certificates. ▪ if a participant is injured, program staff would attend to the person, call for help from the office as needed, and call an ambulance if required. ▪ all programs have a first aid kit, as does the office. ▪ the centre has gloves and masks to protect people administering first aid.
	injury to a caregiver whose children are not identified	▪ strongly encouraging all caregivers to provide names and contact info for their children ▪ while one staff helped caregiver, another staff would attend to the children. As needed, one of these staff could be an office staff. (see injury in program)
	lifting injuries (staff, volunteers, participants)	▪ provide lifting aids (trolleys, additional staff, etc.) ▪ access to City Health and Safety
	off-site injuries during trip	▪ at least 2 program staff attend off-site activities ▪ office staff on duty (or on call) during off-site activities ▪ office staff have list of trip participants ▪ trip staff arrange for staff to stay with uninjured and injured participant(s). ▪ trip staff accompany injured participant to hospital as appropriate. Trip staff pay for taxi if an ambulance is not required.

Area	Risk	Policy/Procedure
		▪ trip staff notify office staff ▪ if needed and possible, office staff come to site or hospital. They may help transport injured participant(s). ▪ if a staff or volunteer has been approved by management to transport participants, that staff or volunteer would be covered by the City's non-owned auto insurance.
	reaction to centre-supplied (legal) drugs	▪ do not make a practice of offering medication ▪ when adult participants ask for pain medication for themselves, check with them that they can take the available medication (aspirin, acetaminophen, ibuprofen) ▪ when adult participants ask for pain medication for their children, only offer acetaminophen.
	slip and fall	▪ all permanent staff have attended Health and Safety orientation ▪ regular inspections by Health and Safety rep. ▪ regular visits by management staff ▪ look for wet floors, etc.
Abuse and harassment	harassment	▪ Board has adopted the AOCC anti-harassment policy
	one participant hurting another	▪ staff ensure the safety of all participants, including protecting them from further injury. As needed, staff would call the office for support. ▪ response depends on ages and relationships of participants and severity of incident. ▪ a parent hurting their child would follow child abuse reporting requirements ▪ if both participants are adults, staff would probably call police. ▪ if both participants are campers, their parents would be notified and at least one camper would probably be suspended (also see injury in program)
	problem behaviour (by participants or people attending events)	▪ staff in charge address problem as needed. May include speaking with the individual or their parent, calling police, etc.
	racist or homophobic comments or hate activity (real or perceived)	▪ Anti-harassment and hate activity policy and procedure
Illegal activity	drug activity	▪ staff aware of signs of drug use
	fraud	▪ when hiring staff, screen, check references, police reference check ▪ separation of duties where practical ▪ cheques and contracts require 2 signatures ▪ Executive Director reviews bank reconciliation and cheques
	harassment	▪ Board has adopted the AOCC anti-harassment policy

Area	Risk	Policy/Procedure
	hostage, kidnap, bomb threat	▪ TDSB policies
	one participant hurting another	▪ staff ensure the safety of all participants, including protecting them from further injury. As needed, staff would call the office for support. ▪ response depends on ages and relationships of participants and severity of incident. ▪ a parent hurting their child would follow child abuse reporting requirements ▪ if both participants are adults, staff would probably call police. ▪ if both participants are campers, their parents would be notified and at least one camper would probably be suspended (also see injury in program)
	on-line sabotage, bad postings	▪ staff and volunteers check website occasionally ▪ Facebook site does not accept postings
	sabotage	▪ when hiring staff, screen, check references, police reference check
	sexual abuse by staff/volunteers	▪ when hiring staff, screen, check references, police reference check ▪ rarely leave a volunteer or staff alone with participants ▪ Program Director visits programs.
	sexual abuse within program	▪ always have a staff or highly experienced volunteer present in program.
	theft from organization	▪ when hiring staff, screen, check references, police reference check ▪ separation of duties where practical ▪ cheques and contracts require 2 signatures ▪ Executive Director reviews bank reconciliation and cheques ▪ procedures to check and reconcile petty cash and cheques issued to staff ▪ try to minimize cash on site while having sufficient to purchase supplies. ▪ will probably move to grocery cards for staff who do not have credit cards to buy groceries.
	theft from program participants	▪ strongly encourage participants not to bring valuables and to keep their wallet/purse with them ▪ if theft is reported, staff would help to look for the item(s) and write incident report.
Damage to reputation	on-line sabotage, bad postings	▪ staff and volunteers check website occasionally ▪ Facebook site does not accept postings
	problems after function where alcohol is served and liability	▪ see Alcohol Policy (attached)

Area	Risk	Policy/Procedure
	risk to reputation/bad press	▪ provide quality services ▪ demonstrate high ethical standards and require these of staff and volunteers ▪ when hiring staff, screen, check references, police reference check ▪ when appropriate, Board tests decisions via “how would it look as a headline”
Personnel	loss of funding	▪ provide quality services ▪ meet reporting deadlines ▪ fundraise
	loss of key staff/volunteers, e.g. web-designer	▪ Board approved policy for lines of communication and decision-making
	sexual abuse by staff/volunteers	▪ when hiring staff, screen, check references, police reference check ▪ rarely leave a volunteer or staff alone with participants ▪ Program Director visits programs.
	strike by AG staff	▪ collective agreement prohibits strike but only during the term of the contract ▪ one of Executive Director’s annual performance objectives is “Maintain and enhance collegial working relationships within Applegrove”.
	strike by school staff	▪ in the past, we were able to transfer programs and key administrative functions to Corpus Christi School; with this option no longer available, we might continue some services out of Corpus Christi Church or close services and maintain key administrative functions (e.g., accounts payable) from another centre, City site, or other location.
Disaster	hostage, kidnap, bomb threat, fire, flood, explosion	▪ TDSB policies and procedures ▪ a set of computer back-ups kept in storage facility offsite. When we vacate this facility in late 2011, we will identify appropriate offsite storage.
	natural disasters	▪ TDSB policies and procedures ▪ a set of computer back-ups kept in storage facility offsite. When we vacate this facility in late 2011, we will identify appropriate offsite storage.
	power outage	▪ hard copies of key information ▪ computers have Uninterruptible Power Supplies (UPS) to allow for safe shutdown ▪ a set of computer back-ups kept on site
	toxic spills	▪ TDSB policies and procedures
Building issues	internal air quality problems (HVAC or central air toxic fumes, Legionnaires, etc)	▪ TDSB policies and procedures ▪ access to City of Toronto Occupational Health to check air quality
	lack of adherence to fire regulations	▪ TDSB policies and procedures ▪ Health and Safety rep

Area	Risk	Policy/Procedure
		▪ management staff inspect facilities
	power outage	▪ hard copies of key information ▪ computers have Uninterruptible Power Supplies (UPS) to allow for safe shutdown ▪ a set of computer back-ups kept on site
	toxic spills	▪ TDSB policies and procedures
Other	data destruction	▪ 2 sets of back-up files, one on-site and one off
	disrepair	▪ TDSB policies and procedures ▪ Health and Safety rep ▪ management staff inspect facilities ▪ City Facilities and Real Estate
	e-mail corruption (if Applegrove's e-mail is hacked)	▪ City's "acceptable use" policy prohibits the following activities among others: • using IT resources for anything unrelated to the City's business • sending messages that are obscene or offensive • violating copyright, patent, trade secret or other intellectual property laws • unauthorized copying, destroying, deleting, removing, concealing, modifying or encrypting messages, client information, files or other data • disclosing personal and/or confidential or proprietary information/data of any nature • accessing another user's computer account, e-mail or voice mail messages, file or other data without consent of the user or direction of an authorized supervisor ▪ Applegrove has set up g-mail for managers that mirrors their work accounts. ▪ have the Board hotmail address ▪ would send out a message reporting the problem to mailing list (or at least key contacts from the mail list) ▪ would report to ISP, to technical support and to the City.
	loss of funding	▪ provide quality services ▪ meet reporting deadlines ▪ fundraise
	ongoing loss of quorum	▪ would request City help ▪ would arrange for a Special Meeting of the membership to elect Board members. The constitution allows a Special Meeting on "submission to the Board of a request for a special meeting signed by twenty (20) members stating the object of the proposed meeting. A special meeting so requested will be held no later than six weeks after the date the request was submitted to the Board."
	people with mental health problems	▪ these people are actually part of the community who we should serve. ▪ see Abuse and Harassment

Area	Risk	Policy/Procedure
	problems after function where alcohol is served and liability	▪ see Alcohol Policy (attached)
	reaction to centre-supplied (legal) drugs	▪ do not make a practice of offering medication ▪ when adult participants ask for pain medication for themselves, check with them that they can take the available medication (aspirin, acetaminophen, ibuprofen) ▪ when adult participants ask for pain medication for their children, only offer acetaminophen.

4. General Risk Management Procedures

a. Human Resources Procedures/Policy

i. Collective Agreement

ii. Hiring

- in addition to procedures identified in Collective Agreement, Applegrove
  - has up-to-date job descriptions. (in package)
  - generally has at least 2 members on an interview committee.
  - requires Hiring Reports to be submitted to the Personnel Committee or Board after all hirings.
  - utilizes an anonymous grid to identify interview candidates from applicant pool.
  - develops a list of questions for first and second interviews, including at least one written question, using the same questions for all candidates.
  - keeps written notes of answers.

iii. Consultation

- City Human Resources, Labour Relations and Legal staff are available.

iv. Reviews

- staff performance is reviewed regularly.
- 360 input process for managers is a "best practice" that few other AOCC's follow.

b. Training

- all program budgets and the admin budget include training.
- management staff identify training needs and opportunities for themselves and other staff.
- the Executive Director has arranged for one free registration in a Risk Management Conference, organized by Imagine Canada's Insurance and Liability Resource Centre in November 2011.

c. Oversight and Accountability

- in a small office, staff overhear conversations and tend to be aware of each other's activities.
- regular financial reports to the Board.
- the Board usually includes at least one member with financial knowledge and experience.
- variance reports to key program funders and City (monthly/quarterly, etc., depending on funder)
- Children's Services (the same City staff who license daycares) review our family resource and day camp programs. For many years, they have identified only minor issues which staff have addressed, e.g., updating a policy or putting thermometers in refrigerators.
- annual audit:
  - financial statements go to the City's Audit Committee as well as Applegrove's Board and key funders.
  - auditor has not issued a "management letter" in some years. The last management letter identified the inability to separate functions as a possible control concern (because there are so few staff, the same person opens the

mail with cheques, prepares the bank deposit, enters information into the accounting system, and reconciles the accounts).

d. Cash Handling
   - cash, grocery vouchers and TTC tokens are kept in a safe or locked cabinet inside a “security room” that TDSB caretakers do not have a key for.
   - only admin. staff are authorized to open the safe or issue cash.
   - petty cash disbursements are made via signed voucher, with change and receipts returned.
   - cashbox is reconciled frequently.
   - payments for program fees (after-school and camp) are matched with receipts and registration confirmation forms.
   - thank you letters for charitable donations include a charitable receipt and a mention of the amount donated.

e. Insurance
   - Applegrove pays into and is covered by the City’s insurance (non-owned auto, D&O, slip and fall, etc.) See certificate.
   - Applegrove’s also has Directors and Officers Liability insurance (D&O) which covers the Board of Directors and Executive Director for specific risks associated with governance of the non-profit corporation.

Alcohol Risk Management Policy
Adopted by Board, June 27, 1996

1. Introduction and Purpose

1.1 This policy was developed in accordance with the City of Toronto's Municipal Alcohol Policy (MAP).

1.2 Its purpose is to help Applegrove and its members take responsibility for reducing the risks associated with the use of alcohol, namely,

.1 risks to people: injury, death, grief, personal expense.

.2 risks to the centre and the City: legal action and public expense from vandalism and destruction of property increased insurance rates, suspension or loss of alcohol permit privileges by the LLBO, and loss of revenue due to reduced public participation.

.3 loss of enjoyment by non-drinkers and moderate drinkers as well as complaints from offended parties.

1.3 It should supplement the requirements of the LLBO for alcohol permits.

1.4 It is not intended to prohibit legal and moderate drinking.

2. Application

2.1 Because of Applegrove's location in facilities leased from the Board of Education, this policy will apply only to Applegrove's special events off-site.

2.2 At events in which alcoholic beverages may be served, servers may be either Applegrove members, or supplied by the facility.

2.3 This policy will apply directly only to events using Applegrove members as servers.

2.4 If another organization's members act as servers, Applegrove will provide the organization with a copy of this policy.

2.5 Events involving alcohol must be covered by a Special Occasion Permit from the LLBO and all LLBO regulations must be followed.

2.6 Alcohol may be served at events for adults or families, such as concerts, dances, dinners, etc., but should not be served at events for teens or children including banquets for children which will be attended by adults.

3. Advertising and Promotion

3.1 As appropriate, event advertising will include messages about responsible alcohol consumption.

3.2 Events sponsored by alcohol manufacturers must include messages about responsible consumption of alcohol.

3.3 Event names must not suggest that drinking alcohol is the principal activity or the purpose of the event.

4. Servers and Other Staff

4.1 All people serving at the bar and serving drinks to tables should receive LLBO approved server intervention training.

4.2 At least one bar-tender must have completed server intervention training.

4.3 Servers must not consume alcohol while they are working at the event, or after the bar is closed and the event is over.

4.4 Servers must ensure that participants do not engage in activities that could harm themselves or others.

4.5 One floor monitor must be available for every 100 participants.

4.6 Servers and other staff should be easily identifiable, e.g. badges, hats.

5. Bar Rules and Procedures

5.1 The attached "Event Bar Rules" must be posted near the bar.

5.2 The legal drinking age in Ontario is 19.

5.3 The only acceptable proofs of age are:
- .1 a driver's licence with photo, or
- .2 an Ontario photo I.D. card, or
- .3 a passport.

5.4 Ticket sales for alcoholic beverages are restricted to four per person per purchase, with no price advantage to volume buying.

5.5 The bar tender must not serve more than four alcoholic drinks to one person at any time.

5.6 All bottles must remain in the bar area. Drinks must be served in glasses or plastic or paper cups.

5.7 Floor monitors must be located so that they can monitor the participants consuming alcohol.

5.8 Ticket sales must end at least 30 minutes before the bar closure time.

5.9 There will be no last call.

5.10 The bar must close at the indicated time.

6. Food and Beverages

6.1 High alcohol beers (over 5%) are not permitted.

6.2 At least 35% of beverages available for sale must be of low alcohol content e.g. beer with an alcohol content of 4% or less.

6.3 Non-alcoholic beverages must be available, either free or at less than half the price of the lowest-priced alcoholic beverage.

6.4 Participants should be encouraged to consume food.

6.5 There will be no oversize drinks, double shots, pitchers of beer, drinking contests or volume discounts.

7. Safe Transportation

Applegrove must ensure that provisions have been made for safe transportation of intoxicated participants. Plans could include:

.1 a designated driver program (including advertising of such a program at the event and free non-alcoholic drinks for the designated drivers);
.2 arrangements to drive intoxicated patrons home;
.3 taxi chits;
.4 calls to police if intoxicated participants insist on driving.