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President:
Don W. Kassing

September 22, 2005

MEMO TO: Vice Presidents, Deans, Directors, Chairs and
Administrative Heads

FROM: Don W. Kassing,
President

SUBJECT: Presidential Directive 2005-01

RISK MANAGEMENT
(Supersedes PD 2000-02)

In accordance with California State University (CSU) Executive Order #715, each campus president shall develop a risk management policy designed to reduce risk to the campus community. The intent is to protect the people, property, resources, and legal obligations of the institution. The program will be administered within the guidelines of the CSU Systemwide Risk Management Program.

It is incumbent upon all faculty and staff to minimize risk associated with unsafe conditions, environmental risks, and employment practices by both proactively identifying risks and promoting a "safety first" approach in all campus endeavors. By creating a culture of safety and self-responsibility, coupled with efforts to correct potential risks quickly and effectively, the University can protect its valuable people and resources.

Management of risk ensures that resources are used for established purposes rather than for funding losses. Risk management responsibilities include: conducting campus operations in a manner that does not create unreasonable risks of loss or injury; the identification and analysis of risk; development and selection of risk controls and risk financing; implementation and evaluation of risk management techniques; and documentation of these actions to ensure the responsible planning, organizing, and control of resources.

The Risk Manager in the Human Resources Service Group shall provide assistance to campus entities in identification and examination of risks, selection of risk control and risk financing techniques, and evaluation of the results for the improvement of risk management and well being of all people, property, and liability at the University.

Attachments

DWK:ms

Table of Contents
Presidential Directive 2005-001
Risk Management

- 1.0 Risk Management
 - 1.1 Responsibility
 - 1.2 Risk Control
 - 1.3 Risk Financing
 - 1.4 Liability
 - 1.5 Property Insurance
 - 1.6 Property Damage
 - 1.7 Indemnification
 - 1.8 Insurance
 - 1.9 Public Entity Liability
 - 1.10 Real and Personal Property
 - 1.11 Certificates of Insurance Coverage
 - 1.12 Agreements, Contracts, Leases, Memorandums, and Purchases
 - 1.13 Release Agreements (Waivers)
 - 1.14 Claims
 - 1.15 Student Air Travel
 - 1.16 State Funded Study Abroad Programs
 - 1.17 Off-Campus Field Trips
 - 1.18 Service Learning Program
- 2.0 Motor Vehicle Use and Employee Driving Requirements
 - 2.1 Automobile Accidents While on University Business
 - 2.2 Automobile Liability and Damage
 - 2.3 University Vehicles
 - 2.4 Privately-Owned Vehicles
 - 2.5 Commercial Rental Vehicles
 - 2.6 Eligibility to Drive Vehicles on Official University Business
 - 2.7 Defensive Driver Training
- 3.0 Injury and Illness Prevention Program
 - 3.1 IIPP
 - 3.2 Accident and Health Insurance
 - 3.3 Accident Reporting
 - 3.4 Employee Accidents
 - 3.5 Student and Visitor Accidents
 - 3.6 Employee Injury and Illness
 - 3.7 Student Injury and Illness
 - 3.8 Environmental Health and Safety
 - 3.9 Environmental Compliance Program
 - 3.10 Hazardous Waste Control
 - 3.11 Water Pollution Control
 - 3.12 Air Pollution Control
 - 3.13 Hazardous Materials Inventory
 - 3.14 Hazard Assessment
 - 3.15 Environmental Health and Safety-Financial Responsibilities
 - 3.16 Health and Safety Inspections
 - 3.17 Safety Training

1.0 RISK MANAGEMENT

1.1 Responsibility for University Divisions, Colleges, Programs, and Departments

University divisions, colleges, programs, and departments shall be responsible for the comprehensive risk management of their respective activities, programs, and operations. All campus entities shall preserve resources for the established mission of our institution. Risk of loss in the areas of personnel, property, liability, and financial resources can substantially impact campus entities' resources, programs, and operations. Campus entities responsible for activities and conditions shall manage risk of loss through a proactive and collaborative process. Risk identification and analysis shall be a part of the initial development of programs and projects prior to commitment to perform.

Responsibility of risk involved in a program or project shall be specifically assigned to the campus entity prior to commitment to perform. Campus entities shall: prevent/reduce losses due to risk through control/management of programs, projects, and properties; finance or transfer losses due to risk through retention, insurance, or contractual transfer; be singly and/or severally (as agreed) responsible to address risk in their program, projects, and properties; and document losses and "near misses" to enable analysis and projection of future losses.

Within the parameters of an overall contractual agreement/understanding, acceptance of responsibility for a program, project, or property shall include authority and responsibility for control. Risk Management shall advise and consult on the risk management efforts of University entities to preserve resources for the institutional mission.

1.2 Risk Control

It is incumbent upon all university divisions, colleges, programs, and departments to address control of risk in the work and academic environment. Risk Management shall do its utmost to develop a "safety first" culture on campus in all endeavors. The Risk Manager is available for consultation on all matters.

1.3 Risk Financing

The University maintains cost effective risk mechanisms to address the financial liability for catastrophic losses. The Vice President for Administration and Finance may, on occasion, consider requests for financial assistance with the cost of losses incurred by University divisions, colleges, programs, and departments provided that appropriate risk practices are adhered to and the Risk Manager was consulted prior to the event or activity.

University divisions, colleges, programs, and departments are ultimately responsible for the design, direction, and control of the activity, program, operation, and/or resources involved in any loss.

1.4 Liability

The University provides coverage for insurable liability losses through a self-insured retention program. The Vice President for Administration and Finance establishes the current self-insured retention limits for both primary and secondary institutional activities

(housing, parking, health center, extended education). University divisions, colleges, programs, and departments are responsible for liability losses (including related costs of investigation, defense, regulatory fines, settlements, etc.) within the self-insured retention limits.

1.5 Property Insurance

Coverage for personal property is generally not provided unless initial funding was provided through public bonds.

1.6 Property Damage

Faculty and staff responsible for activities, equipment, facilities, programs, and services shall report all university property damage and/or loss that occurs, either on campus or off site, to the Risk Manager as soon as possible and no later than five working days after the incident.

1.7 Indemnification

The Risk Manager shall develop indemnification standards for the University's use in agreements, contracts, and memoranda of understanding. The Risk Manager has the authority and discretion to increase or decrease indemnification requirements consistent with the CSU system-wide program.

1.8 Insurance

The Risk Manager shall work in concert with the Office of Procurement to review and recommend contracts for goods and services and recommend specifications for insurance requirements for third parties conducting business for the University.

1.9 Public Entity Liability

The University may be exposed to liability for injury to persons and/or damage to property related to operations and programs. Liability expenses may include, but are not limited to, investigation, expert witnesses, legal defense, reimbursement for medical services, and/or replacement of property, plus other related costs and damages. The University shall maintain self-insurance or other insurance to finance the cost of major liability losses resulting from general operations of the University or from professional services on behalf of the University.

The Risk Manager may review, recommend, or require the purchase of additional insurance for high-risk and/or unusual activities, events, or programs. Additional insurance expenses shall be a responsibility of the University divisions, colleges, programs, and departments.

1.10 Real and Personal Property

Real property refers to land and buildings and structures attached to the land; personal property refers to all other types of property, such as furniture, equipment, supplies, etc. Risk exposures are the loss and/or damage of property from the perils of theft, fire, flood, misuse, etc. The University shall bear the cost of state-owned property losses, including the payment of insurance deductibles, at the division, college, program, and department levels.

The University shall not provide insurance for property that is not owned by the State of California. The Risk Manager may review and recommend the purchase of additional insurance for high-risk and/or unusual property. Additional insurance expense shall be a responsibility of the University divisions, colleges, programs, and departments.

1.11 Certificates of Insurance Coverage

The University may provide certificates of insurance, evidence of self-insurance, or endorsements demonstrating coverage or providing additional coverage, as required in contracts administered through Procurement Services.

1.12 Agreements, Contracts, Leases, Memorandums, and Purchases

Agreements between the University and other entities for the construction of university facilities, materials, services for the University, and educational placements shall include language that transfers the risks related to the products provided and performance of the terms of the agreement to the other entity(ies) to the fullest extent possible. In addition, the other entities shall provide proof of insurance for risks and losses that may occur related to the performance of the agreement commensurate with those risks.

1.13 Release Agreements (Waivers)

The Risk Manager shall be responsible for the development and authorization of Release Agreements for University-sponsored programs.

1.14 Claims

Claims against University insurance programs involving liability, property damage, or personal injury shall be reported to and coordinated by the Risk Manager. The Workers' Compensation and Benefits Manager shall be responsible for direct handling of all work-related claims by employees. Intercollegiate Athletics shall be responsible for the direct handling of all athletic injury claims.

1.15 Student Air Travel

Any student air travel sponsored by, or pursuant to, a program of the University and any affiliated organization, e.g. student clubs, academic programs, and enterprise projects, shall be conducted in ways which offer the least risk to the safety of participants and the least risk of liability to the University. Use of scheduled or chartered air transportation services must be reviewed and approved by the appropriate respective campus administrator or designee. Selection of air carriers, planning of travel itineraries, and conduct of student air travel shall be done prudently by staff trained in this area and with paramount concern for the safety of program participants.

1.16 State-Funded Study Abroad Programs

The Office of International Programs and Services shall be consulted on all international student trips or exchange programs. Subsequently, all recommendations and requirements of the office shall be followed by the faculty in charge of the program.

The Risk Manager, working in conjunction with the International and Extended Studies Department, shall ensure that a system of checks and balances exists so that all required releases and hold-harmless agreements are signed and explained to each student. A record of all trips, including duration and purpose, shall be maintained by International and Extended Studies and reviewed by the Risk Manager on a quarterly basis. The Risk Manager and International and Extended Studies shall jointly create a letter to all deans each year explaining the application of Foreign Travel Liability Insurance Plan (FTLIP) guidelines.

The Risk Manager shall be available to consult with International and Extended Studies regarding travel requirements.

1.17 Off-Campus Field Trips

It is recommended that faculty members consult with risk management prior to engaging in an off-campus trip. If this is not possible, faculty members should attempt to identify reasonably foreseeable hazards and notify participants of these risks. All faculty and students participating in field trips or any off-campus activities should be aware of the following:

- a. The only authorized participants of an SJSU field trip are SJSU faculty, staff, registered volunteers, teaching or graduate assistants, employees, and regularly enrolled SJSU students.
- b. If using university-sanctioned transportation, faculty should begin and end all field trips on campus. If students are to transport themselves, the field trip should begin and end at the destination at an established date and time. Students are responsible for their own transportation arrangements. Faculty should avoid arranging to carpool the students.
- c. Faculty members should always consider student disability issues and reasonable accommodations.
- d. Student travel insurance is provided by the Chancellor's Office; however, the field trip must be a course requirement for students to be covered.
- e. No alcoholic beverage may be transported in any university vehicle or private vehicle used in support of a university-sponsored academic or athletic related activity.
- f. Faculty shall report all injuries, accidents, and incidents to the Risk Manager or University Police Department, as appropriate, either during or at the conclusion of the trip, as is reasonable depending on the situation.

1.18 Service-Learning Program

All faculty and students participating in service-learning must comply with SJSU procedures, as adapted from "The CSU Best Practices for Managing Risk in Service-Learning." Further information and forms are available at www.sisu.edu/csl/riskmanagement. The Center for Service-Learning can assist departments, faculty, and students in meeting the following criteria:

- a. Faculty should provide students with on-campus orientation to service-learning, and should communicate with community organizations to ensure that students are given on-site orientation to familiarize them with policies, procedures, and risks involved in the specific service activities they will be providing.
- b. Faculty must inform the Center for Service-Learning of the community organizations where their students serve. The Center for Service-Learning shall ensure that a Service-Learning Agreement exists with each community organization served by faculty and students. The Center for Service-Learning shall retain copies of the Service-Learning Agreement and maintain a list of those agreements.
- c. Students should be provided with a Student Service-Learning Plan so they understand their learning objectives, service objectives, responsibilities, guidelines, and limitations and are informed of the risks associated with their service-learning placements. This form should be retained by the faculty member for one year.
- d. Students are encouraged to maintain a service log indicating dates and times of service at their placement site. Such a form should be validated by the community organization, collected, and retained by faculty for one year. Students must sign-in and sign-out at their placement site. The community organization's sign-in sheets shall be retained by the organization for one year and be made available to SJSU upon request.
- e. Students are responsible for their own transportation to service sites. Faculty should avoid arranging to carpool students. If using university-sanctioned transportation, faculty should begin and end all commuting on campus.

2.0 MOTOR VEHICLE USE AND EMPLOYEE DRIVING REQUIREMENTS

2.1 Automobile Accidents While On University Business

Employees involved in vehicle accidents while on official University business shall file a "Vehicle Accident Report" (as required by the State of California automobile liability program) with the Risk Manager within 24 hours of the employee's return to campus. The employee's supervisor shall be responsible for completing a "Review of State Driver Accident" report and submitting it to the Risk Manager.

2.2 Automobile Liability and Damage

The University participates in the State of California automobile liability program. This program provides payment for expenses, defense, and damages on behalf of the University and its employees related to the operation of state-owned automobiles within the course and scope of employment. If it is determined the employee used the state-owned vehicle outside the course and scope of employment requirements, the cost to repair damages shall be the responsibility of the employee.

Commercial rental car contracts approved by the State of California provide for payment of automobile liability and repair of the rental car by the rental car agency on behalf of the State of California's entities and employees related to the operation of rental cars within the course and scope of employment. The State of California automobile liability insurance program provides payment for expenses, defense, and damages in excess of the vehicle owner's required automobile insurance for the University and its employees related to the operation of privately owned vehicles within the course and scope of employment.

For more information see the Vehicle Use Handbook in the glove box of all university vehicles or online at <http://www.sjsu.edu/safety>

2.3 University Vehicles

University vehicles shall be used only in the conduct of official university business. According to CSU policy, this means "only when driven in the performance of, or necessary to, or in the course of, the duties of university employment." Only university employees may drive university vehicles. The campus shall not loan or lease a university vehicle to an auxiliary organization.

2.4 Privately-Owned Vehicles

Employees may be authorized to use a privately-owned vehicle for official university business if the employee certifies that the vehicle being used is: covered by standard liability insurance limits, adequate for the work to be performed, equipped with safety belts in operating condition, and in safe mechanical condition as required by law.

University managers responsible for authorizing reimbursement of mileage or other expenses associated with the use of a privately-owned vehicle are responsible for procuring a completed Standard Form 261 *Authorization to Use Privately Owned Vehicles on State Business* and providing a copy of the form to the Risk Manager prior to approving any request for reimbursement. The Risk Manager will be responsible for maintaining the campus archive of forms. The Risk Manager will ensure that all employees that operate vehicles on official university business complete a defensive driving class once every four years.

2.5 Commercial Rental Vehicles

Employees shall use one of the commercial vehicle rental companies currently under contract with the State of California when renting a vehicle for official university travel. If none of the

contracted companies can provide vehicles in a specific location, employees may seek the services of a non-contract company.

2.6 Eligibility to Drive Vehicles on Official University Business

To be eligible to drive university-owned, privately-owned, and/or commercial rental vehicles on official University business, the vehicle driver must be a university employee and must have a valid California state driver's license.

Drivers must certify that they have not been issued more than three moving violations or have not been responsible for more than three at-fault accidents (or any combination of three of the above) during the past thirty-nine month period.

Any employee with a DUI ("driving under the influence") violation or a reckless driving violation within the past seven years will undergo review and evaluation for determination of driving eligibility.

Any employee who fails to immediately inform their supervisor of the above violations and subsequently drives on university business may be subject to disciplinary action.

Employees with unacceptable driving records should not be authorized by their supervisor to drive vehicles for university business purposes. Safety & Risk Services shall be responsible for reviewing employee motor vehicle driving records, notifying supervisors of those employees whose driving records are poor and/or unacceptable, and recommending appropriate action.

2.7 Defensive Driver Training

The Risk Manager shall be responsible for providing defensive driver training for university employees and student assistants as a part of safety training. The Risk Manager shall offer this training quarterly throughout the year. The Risk Manager shall be responsible for ensuring that all employees who operate vehicles on official business attend and successfully complete an approved defensive driver training course at least once every four years. The Risk Manager shall maintain the campus archive of defensive driver certifications.

3.0 ENVIRONMENTAL HEALTH AND SAFETY

3.1 Injury and Illness Prevention Program

The University shall plan and maintain, as it is reasonably within its control to do so, a campus environment for faculty, staff, students, and the general public that will protect their health and safety and prevent or mitigate risks of accidental injury or illness. University operations shall be conducted in a manner to avoid injuries or illnesses and to comply with all applicable regulations and accepted health and safety standards. No student or employee will be required to perform any task that is determined to be unsafe or unreasonably hazardous.

To implement this safety policy, administrators, managers, and supervisors shall ensure that facilities and equipment meet all federal, state, and local safety laws and

regulations, and shall promulgate and supervise compliance with appropriate policies, standards, and procedures to carry out campus health and safety programs. All members of the campus community shall also have an avenue to report potential safety hazards without fear of retribution and with confidence that they will be addressed in a timely manner.

The immediate responsibility for preventing campus accidents belongs to each employee who performs a supervisory role and to each individual campus employee. All faculty and staff are expected to take all necessary actions to ensure that safe and healthful conditions and practices prevail within the areas under their control. All members of the campus community are responsible for cooperating fully with all aspects of the university health and safety programs. University divisions, colleges, programs, and departments shall ensure the performance of health and safety inspections, safety training, hazardous materials inventory, and hazard assessment.

The Risk Manager will conduct yearly safety audits of campus grounds, facilities, machinery, services, and practices in an effort to proactively identify and prioritize risks and will initiate training or other appropriate remedial action to mitigate any potential loss or injury.

The Risk Manager will compile quarterly statistics regarding the frequency and severity of workplace accidents and injuries and will select the best risk management techniques to manage the risk without unduly curtailing or modifying activities necessary to the CSU mission.

3.2 Accident and Health Insurance

The University does not, in general, provide accident and/or health insurance for students or visitors on campus. Limited coverage is provided for students traveling on university programs (e.g. field trips) within the United States.

3.3 Accident Reporting

All accidents involving personal injury and/or property damage/loss either on campus or at campus programs located off-site shall be reported to the Risk Manager. Traffic accidents, criminal activity, or serious bodily injury/property damage shall be reported directly to University Police, who will in turn notify the Risk Manager.

3.4 Employee Accidents

Employees who are injured or become ill because of their job duties shall immediately report the injury or illness to their supervisor. Supervisors shall provide the employee with an "Employee's Claim for Workers' Compensation Benefits" form and process the form as directed by Human Resources and the Workers' Compensation Manager.

3.5 Student and Visitor Accidents

Faculty and staff responsible for activities, equipment, facilities, programs and services shall initially report all accidents resulting in personal injury to students and/or visitors that occur either on campus (e.g., classrooms, laboratories) or off-site at campus programs to the Risk Manager within 24 hours. Students and/or visitors shall be

responsible for filing an accident report when they are involved in an accident on campus that results in personal injury or property damage that is not part of a campus activity (e.g. trip and fall while walking to class) as soon as possible, but within five working days of the incident.

3.6 Employee Injury and Illness

The State of California requires employers to maintain Workers' Compensation benefit programs to provide medical services for work-related injuries or illness of employees. This benefit is available to all persons employed by the University, including volunteer employees and student assistants. The University shall maintain insurance to finance the cost of medical and related services for work-related injuries or illness of employees as required by the CSU Risk Management Authority.

3.7 Student Injuries and Illness

In the event that students participating in on-campus activities, classes, laboratories, events, and/or programs are injured or become ill, the University does not provide primary accident or medical insurance. The University shall maintain insurance that provides limited payment for medical services in excess of a student's personal health insurance benefits for injuries related to travel for university activities, classes, field trips, events, and/or programs.

For NCAA-allowed activities, the University shall maintain insurance that provides for payment of medical services in excess of a student's personal health insurance benefits for injuries sustained during participation in regularly scheduled intercollegiate sports events, practices, and tryouts. Students participating in University programs involving international travel shall obtain and maintain in force health insurance consistent with CSU International Programs' requirements for the entire period abroad.

3.8 Environmental Health and Safety

The Risk Manager is responsible for identifying and analyzing operational risks of the University as related to regulatory requirements and accepted industrial, environmental, and occupational standards; recommending policies, processes, programs, and techniques to achieve compliance; and monitoring and supporting the improvement of compliance efforts and safe practices. The Risk Manager shall be responsible for compliance with federal, state, and local regulations pertaining to the environment (i.e. air and water quality, pollution, hazardous materials, hazardous waste); federal and state regulations pertaining to life and occupational safety (i.e. Cal-OSHA safety orders, building codes, fire codes, safety communications, medical monitoring, hazardous conditions and materials).

3.9 Environmental Compliance Program

The Risk Manager shall ensure compliance with applicable federal, state, and local laws and regulations related to environmental protection and pollution control.

3.10 Hazardous Waste Control

All hazardous waste materials shall be handled, stored, managed, and disposed of in compliance with applicable federal and state laws and regulations.

3.11 Water Pollution Control

No hazardous waste or other materials prohibited by the campus Non-Industrial Waste Discharge Permit shall be placed in a campus sanitary sewer. No waste materials, other than storm runoff, shall be placed in a campus storm sewer or creek.

3.12 Air Pollution Control

All stationary sources of air pollution (engines, boilers, spray booths, etc.) shall have a permit or exemption issued by the Santa Clara County Air Pollution Control District prior to installation and operation.

3.13 Hazardous Materials Inventory

Deans, directors, and/or department heads/chairs shall develop and maintain an inventory of all hazardous materials present in all areas under each program's control. A copy of each inventory shall be provided to the Risk Manager annually, or when new materials are added to the inventory.

3.14 Hazard Assessment

Deans, directors, and/or department heads/chairs shall be responsible for ensuring that health, safety, and environmental compliance concerns are assessed and addressed prior to entering into new activities, operations, or processes. This assessment and response shall be documented.

3.15 Environmental Health and Safety Financial Responsibilities

The Risk Manager shall be responsible for: expenses for regulatory enforcement action, including fines, cleanup, disposal, expediting and extra expenses to restore university property and operations; and specialized training and disposal costs for hazardous materials.

3.16 Health and Safety Inspection

Scheduling and performance of regular and systematic inspection processes for all departmental areas shall be the responsibility of University divisions, colleges, programs, and departments in conjunction with the Risk Manager.

3.17 Safety Training

Employees and students shall receive appropriate general and specific training prior to initial assignment of work. All training shall be documented in writing (i.e. content, dates, and attendance). Managers and work leads shall be responsible for ensuring that employees receive general and specific training prior to assignment on the job. Managers and work leads shall be responsible for ensuring that employees are trained whenever new substances, processes, procedures, or equipment are introduced to the workplace that represent a new hazard, or whenever the manager and worklead receives notification of a new or previously unrecognized hazard.

University divisions, colleges, programs, and departments shall ensure that all injuries and illnesses related to campus operations are reported to the Workers Compensation and Benefits Manager in a timely fashion. The Safety Specialist shall investigate all injuries and illnesses and recommend corrective actions.

**The California State University
Office of the Chancellor
401 Golden Shore
Long Beach, California 90802**

(562) 951.4000

Date: October 27, 1999

To: CSU Presidents

From: Charles Reed Chancellor

Subject: California State University Risk Management Policy-Executive Order 715

The attached Executive Order No. 715 delegates authority and responsibility to the campus president to implement campus risk management policies consistent with the California State University Risk Management Policy guidelines. This executive order modifies existing policy, promulgated in Executive Order No. 533, in response to recommendation 5 of the Systemwide Occupational Health and Safety Audit (97-11) and recommendations from the Systemwide Risk Management Audit (98-25)

In accordance with the policy of The California State University, the campus president has the responsibility for implementing Executive Orders where applicable and for maintaining the campus repository and index for all Executive Orders.

Should you have any questions please contact Mr. Bradley Wells, Assistant Vice Chancellor, Financial Services.

CBR:gs

Distribution: Vice Presidents, Administration
Chancellor's Office Staff

**The California State University
Office of the Chancellor
401 Golden Shore
Long Beach, California 90802
(562) 951-4000**

Executive Order No.: 715

Title: California State University Risk Management Policy

Effective Date: October 27, 1999

Supersedes: Executive Order No. 533

This Executive Order is issued pursuant to authority of Sections 1 and 2 of Chapter III of the Standing Orders of the Board of Trustees of the California State University. Through adoption of the following statement of policy, The California State University recognizes risk management as an integral function throughout The California State University system

Risk Management includes policies and practices designed to minimize the adverse effects of losses experienced by The California State University. These losses arise from injury to persons or damage to property and include the legal liability imposed upon the CSU when the injury or damage has been caused, in whole or in part, by the CSU or its officers or employees.

The California State University and its officers and employees are responsible for conducting CSU programs and activities in a manner that does not impose an unreasonable risk of loss or injury.

Systemwide Office of Risk Management

The Chancellor has designated an Office of Risk Management that has the responsibility for developing risk management programs, resource documents and training programs. The Director, Systemwide Risk Management shall provide guidance on the application of risk management techniques and procedures appropriate to the CSU. The Director, Systemwide Risk Management will provide an annual report of activities, trends and risk management training, including methods to prioritize risks and evaluate costs of managing risks.

Campus Risk Management Policies

Each president shall develop campus risk management policies and procedures that include an ongoing process by which appropriate administrators identify risks, perform analyses of the frequency and severity of the potential risks, select the best risk management techniques to manage the risk without unduly curtailing or modifying activities necessary to the CSU mission, implement appropriate risk management techniques and staffing standards, and monitor, evaluate and document the results.

The campus risk management policy shall include methods to prioritize risks and evaluate costs which would be incurred to provide restoration for damages sustained as well as the evaluation of funding options to ensure availability of funds. The method used should be documented as part of the risk management policy and procedures.

Campus Risk Manager/Risk Management Coordinator

Each president shall designate a Risk Manager/Risk Management Coordinator to assist campus administrators in maintaining campus risk management policies and practices. The coordinators shall develop expertise in risk management analysis and the application of risk management techniques.

Decision-making administrative personnel at the campuses should also be involved in maintaining the risk management policy at the campus. Administrative personnel should be responsible for providing advice, information and coordination leading to the full performance of risk management functions by all those having program responsibilities.

Evaluation

The campus policy should include an evaluation process that includes the collection of relevant data and an annual risk management report to the campus president.

Risk Control

The campus risk management policy should include methods of controlling risks. The liability exposure the campus and the CSU faces for those activities which are linked to the mission of the CSU can be minimized by: transferring risk through third party waivers, hold harmless agreements, or through vendor contracting; transferring risk through personal liability, health, travel and life insurance; and preventing/controlling risk through training and supervision.

Risk Management Guidelines

Included with this Executive Order are guidelines developed by the systemwide office in consultation with campus risk managers/coordinators. These guidelines are provided to assist campuses in developing campus specific policies. The attached guidelines cover Health and Safety for On and Off-Campus Activities (Attachment A) and Electrical Safety Guidelines (Attachment B). Campus policy implementing these guidelines should include a provision for documenting compliance and should address at a minimum those topics included in the guidelines.

Accountability

The campus policy and procedures should be reviewed annually. Periodic audits for compliance with the systemwide guidelines will be conducted. The Office of the University Auditor has provided Audit Expectations for a Model Risk Management Policy. A copy is enclosed for your consideration (Exhibit C).

Charles B. Reed

Charles B. Reed, Chancellor

Dated: October 27, 1999

(Page 3 of 8)

RISK MANAGEMENT GUIDELINES ON CAMPUS ACTIVITIES

Emergency Information:

- Identify location and use of fire pulls.
- Review both location and content of evacuation maps including meeting area for your department. Instruct students to identify at least two exits from their location in class.
- Review emergency procedures in case of fire, medical emergency, hazardous materials release, and earthquake.
- Invite any students with special needs to contact you about specific requirements in case of an emergency and make appropriate arrangements.
- Identify location of nearest phone to use in case of emergency and have change available to use public phones.

Review campus procedures regarding the use of human subjects.

If hazardous materials or processes are present:

- Identify all materials that may be potentially hazardous.
- Review each Material Safety Data Sheet (MSDS).
- Identify any necessary personal protective equipment (PPE) required for the class.
- Review use and maintenance of PPE.
- Identify any hazardous waste generated. Review campus handling and disposal procedures.
- Identify potential hazards of equipment or processes used in department/classroom.
- Review hazardous material release procedures.
- Review safe work practices.

**RISK MANAGEMENT GUIDELINES
OFF-CAMPUS ACTIVITIES--FIELD TRIPS (LOCAL AND OUT OF STATE)**

- Select the area where the class is to be held. The faculty or instructor should visit the general area prior to the field study course or demonstrate sufficient knowledge of the area.
- Prepare a detailed day-to-day instructional agenda including health and safety instructions for all participants.
- Plan and include in the itinerary all destinations and alternates if an emergency prevents entry into the original destination. Send a copy of the itinerary to campus Public Safety.
- Plan for and accommodate students with special needs.
- Provide training for any equipment to be used on the trip.
- Review permissible conduct rules. Be sure to include the CSU policy regarding alcohol and chemical substances (i.e. No alcoholic beverages or chemical substances, except personal prescription medication, shall be transported in any state/university vehicle or personal private vehicle used in support of a university-sponsored activity).
- Review emergency preparedness processes and the crisis response plan. Distribute a handout for students with emergency phone numbers and contacts.
- Communicate codes of conduct for staff and students, addressing such issues as fraternizing, consuming alcohol, controlling activities, and conduct during "free time". Advise participants of the consequences of non-compliance and take appropriate action when aware that participants are in violation.
- For foreign study, please refer to the guidelines for International Programs.

Attachment A-3

**RISK MANAGEMENT GUIDELINES
OFF-CAMPUS ACTIVITIES--INTERNATIONAL TRAVEL**

- Every trip should require attendance at one orientation meeting (minimum) where the following information should be covered:
- Arrangements for any out-of-country visas, immunizations, etc.
- Discuss travel and packing tips, medical and health concerns, modes of transportation, hours of departure and return.
- Review background information pertaining to upcoming cultural differences that a student may experience while visiting foreign countries.
- Obtain waivers and health forms. Participants should file a waiver for medical treatment and a health questionnaire explaining any special medical problems or needs to the trip leader.
- Remind participants to carry sufficient personal medication supplies and physician documentation for medication to last the length of travel or to replace medication lost during the trip.
- Review emergency preparedness processes and the crisis response plan.
- Provide current health and safety information to participants (i.e. prophylactic precautions, viral infections carried by insects and how to protect themselves against known infectious disease breakouts — check with the World Health Organization). Provide information about emergency medical assistance, emergency evacuation, and repatriation procedures. Review options for medical insurance coverage for foreign travel.
- Identify health and safety products or services that may not be available at overseas locations.
- Conduct orientation briefings once the destination is reached which include information on health and safety, legal, environmental, political, cultural and religious conditions in the host country.
- Communicate codes of conduct for staff and students, addressing such issues as fraternizing, consuming alcohol, controlling activities, and conduct during "free time". Advise participants of the consequences of non-compliance and take appropriate action when aware that participants are in violation.
- Review International Programs Policies and Procedures.

Attachment **B**

RISK MANAGEMENT GUIDELINES ELECTRICAL SAFETY

- Accidents involving electricity pose a high risk of serious injury. Following the guidelines below will assist campus staff and students to safely use common electrical equipment.
- Do not use 2-prong ungrounded electrical devices.
- All department purchased electrical equipment must be 3-prong grounded with very limited exceptions (these should be approved through the campus Environmental Health and Safety Office).
- Do not use extension cords or power taps ("Waber Strips") as a substitute for permanent wiring.
- Extension cords and temporary power taps may be used for experimental purposes for no longer than six months or for portable tools or appliances that must be moved frequently. UL listed surge-protected power strips used with data processing equipment and voltage regulators; timers and similar controllers are exceptions. All other electrical equipment must be plugged into a permanent receptacle.
- Do not use equipment having worn or damaged electrical cords, plugs, switches, receptacles, or cracked casings.
- Do not attempt repairs unless you are a qualified electrical technician assigned to perform electrical work by your supervisor.
- Do not use 2-pole to 3-pole adapters, cube taps, 2-prong (ungrounded) extension cords, or similar grounding bypass devices.
- All electrical devices fabricated for experimental purposes must meet state and campus construction and grounding requirements. Extension cords and other purchased equipment must be UL listed.
- For additional information on electrical safety regulations, contact your campus Environmental Health & Safety Department.

AUDIT EXPECTATIONS FOR A MODEL RISK MANAGEMENT POLICY

- A document in writing signed by the campus president with campuswide applicability and distribution that:
- Is labeled with a title that says it is the campus risk management policy;
- Requires an on-going process for risk management and describes how it will work;
- Designates the appropriate administrator(s) and their respective responsibilities;
- As a minimum, meets the prescribed elements of the executive order and elaborates on any unique campus requirements;
- Identifies subordinate campus detail on what will be done;
Establishes a basis for procedures to effect the policy;
- Is subject to whatever protocol that campus normally follows for policy development and publication; and
- Makes provision for keeping the policy up-to-date.

WHAT WILL BE DONE

Examples of the specificity that might appear in each of the five prescribed EO elements are as follows:

- Identify risks
- Define campus-relevant criteria for significant risks
- Require itemization of significant risks including unique campus risks that are different than those at other levels, i.e., national educational institutions or CSU systemwide program priorities
- Evaluate their seriousness
- Probability analysis of risk occurrence
- Quantitative analysis of each risk exposure
- Rank risks in priority order of their potential impact
- Select best risk management technique
- Identify range of alternatives for each specified liability/risk
- Cost/benefit analysis of what would work best, e.g., transfer of risk by contract
- Implement appropriate risk management technique
- Specify roles and responsibilities
- Establish goals and implementation methodology
- Provide specific measures for accountability such as under what circumstances the campus will do business with an entity unable to obtain insurance with an insurer rated at least A:VII by AM Best
- Monitor and evaluate results
- Measure against specific goals — qualitative and quantitative measurements
Stipulate report intervals and frequency, e.g., annual cabinet-level reporting