Risk Assessment Overview

Summary: Use these questions to help assess the risk involved with a purchase: who, what, how, when, and where. Review examples.

Who?

- What are the experience, training, and qualifications of the vendor who will be providing the goods or performing the service?
- What is the vendor's record? If there is any question about the vendor's reliability or safety record, can references be provided?
- Might the person performing the service influence the risk - is this person a celebrity or controversial figure?
- Are there any laws/regulations/licensing requirements which relate to the goods or service?

What?

- What are the characteristics of the service?
  - self defense training
  - instruction in a sport
  - playing music for a dance
  - a lecture on a controversial topic
- What are the characteristics of the goods?
  - off-the-shelf
  - customized
  - made-to-order
  - critical timeline
  - fragility

How?

- Exactly how will the service be provided?
  - class room-type instruction
  - demonstration
  - participation of UCSC students
  - employees, and/or members of the public
- Is the service provider including loss control methods which can lower risk associated with the activity (protective padding used in a self-defense class lowers risk of injury)?
- How will the repair be made or the furnishing installed? Will the vendor need to be on a ladder?

When?

- Is the service scheduled for a time and place where it will conflict with other campus activities?
- Does the time of day (or night) increase the risk associated with the service?

Where?

- Are the campus facilities to be used by the person or organization performing the service adequate for the type of service to be provided?
- Is the space appropriate for the size of the group or audience and the service being provided (conducting a self defense class in a small room may increase risk)?

Examples

<table>
<thead>
<tr>
<th>Low Risk</th>
<th>Moderate Risk</th>
<th>High Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informational Lectures or</td>
<td>Political Lectures or Talks -</td>
<td>Speeches by Celebrities or</td>
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</table>

http://matman.ucsc.edu/matman/purchasing/RiskAssessmentQuestions.htm 6/16/2005
<table>
<thead>
<tr>
<th>Talks - Small Audience Size</th>
<th>Medium to Large Audience Size</th>
<th>Controversial Figures</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Self Defense Classes</strong> taught by Lecture ONLY</td>
<td><strong>Self Defense Classes</strong> with Moves Practiced on Instructor</td>
<td><strong>Self Defense Classes</strong> with Moves Practice on Students</td>
</tr>
<tr>
<td><strong>Bands &amp; Musicians</strong> - Performance on Stage or Restricted Area, No Alcoholic Beverages Served, Not Open to Public, 100 or Less Participants, Controlled Admission, UC On-Site Supervision</td>
<td><strong>Bands &amp; Musicians</strong> - Performance on Stage or Restricted Area, Controlled Alcoholic Consumption, Not Open to Public, 200 or Less Participants, Controlled Admission, UC On-Site Supervision</td>
<td><strong>Bands &amp; Musicians</strong> - Performance in Non-Restricted Area, Controlled Alcohol Consumption, Open to Public, 300 or Less Participants, Controlled Admission UC On-Site Supervision</td>
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</tbody>
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The Degree of Risk

<table>
<thead>
<tr>
<th>High Frequency</th>
<th>Moderate Frequency</th>
<th>Low Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>High Severity</td>
<td>UNACCEPTABLE RISK</td>
<td>HIGH RISK - Complete Risk Management review mandatory - Special insurance requirements</td>
</tr>
<tr>
<td>Moderate Severity</td>
<td>HIGH RISK - Possible special insurance requirements - Loss control required</td>
<td>MODERATE RISK - Standard insurance requirements - Loss control recommended</td>
</tr>
<tr>
<td>Low Severity</td>
<td>MODERATE RISK - Standard insurance requirements may be modified - Loss control recommended</td>
<td>LOW RISK - No insurance required</td>
</tr>
<tr>
<td></td>
<td></td>
<td>VERY LOW RISK - No insurance required</td>
</tr>
</tbody>
</table>

Purchasing Home Risk Home

Website questions? Pam Tozier, Office Manager (831) 459-5329

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