

CALGARY CONVENTION CENTRE AUTHORITY

2016 RISK MANAGEMENT CORPORATE POLICY AND PROCESSES

The risk management s policy applies to the Calgary TELUS Convention Centre (CTCC). The HR/OH+S Specialist is responsible for the interpretation and updating of this policy, and shall oversee policy compliance.

1. DEFINITIONS

In this Policy,

“Risk” means the probability or threat of damage, injury, liability, loss, or other negative occurrence, caused by external or internal vulnerabilities;

“Risk Management” means the identification, evaluation, analysis, mitigation, communication and monitoring of risks;

“Risk Management Team” means the interdepartmental team responsible for coordinating CTCC’s risk management strategies, which include hazard identification, risk assessment, mitigation and business continuity.

2. PURPOSE

This policy affirms CTCC’s commitment to maintaining a risk management plan that identifies, evaluates, mitigates, and monitors risks, including those associated with accidental, financial, strategic, and operational losses.

3. SCOPE

This policy applies to all CTCC personnel.

4. PRINCIPLES TO BE FOLLOWED

- Where applicable, CTCC will manage risks in compliance with municipal, provincial and federal legislation.
- Risks should be assigned to the person best able to manage the risk;
- CTCC employees shall operate within approved risk tolerance levels.

RISK MANAGEMENT TEAM

The Risk Management Team is tasked with advancing a corporate philosophy and culture that encourages CTCC employees to manage risks proactively and to communicate openly about risks. Annually, the Risk Management Team will meet with the risk owners of the various CTCC business units to ensure that major risks continue to be identified, prioritized and appropriately managed.

5. **BUSINESS CONTINUITY**

The Risk Management Team will assist business units in business continuity planning processes to ensure that key CTCC services are maintained during major disruptions. These proactive processes will include identification of necessary resources to support business continuity, including, but not limited to, staffing, equipment, infrastructure protection, IT systems & data, event re-location, and financial allocations.

6. **RISK MANAGEMENT TEAM COMPOSITION**

Membership of the Risk Management Team shall consist of no fewer than three (3) CTCC employees, up to a maximum of seven(7). The CTCC President & CEO and the HR/OH+S Specialist shall appoint the members of the Risk Management Team.

7. **EMPLOYEE'S RESPONSIBILITY**

All CTCC employees are expected to comply with this policy. While the Risk Management Team will provide risk management assistance, CTCC employees are responsible for managing risks within their respective work areas. Concealing a risk to protect the CTCC or its employees is not acceptable.

8. **CTCC LEADERSHIP RESPONSIBILITY**

It is the responsibility of the CTCC President & CEO, directors, managers, and coordinators to promote risk management awareness throughout the organization. They are to ensure that risk management controls and processes are included in planning processes and projects and shall identify new risks to the Risk Management Team.

Guidelines for Risk Management Interview Process:

1. The HR / OH+S Specialist shall meet with the risk-holder for each business unit for a one-on-one interview.
2. Information from the interview sessions are transferred to the revised "Risk Assessment Form".
3. The draft version of the Risk Assessment Form is sent back to each risk-holder for final review to ensure accuracy
4. The final Risk Management Report is submitted to the President & CEO and Executive Assistant to the GM for review.
5. The President & CEO , with the management team will:
 - a. Review all Risk Management Reports;
 - b. Assess and evaluate the current mitigation controls in place;
 - c. Approve/validate current mitigation controls, and provide recommendations, modifications and suggestions for new controls where necessary.

What is Risk?



- The probability or threat of damage, injury, liability, loss, or other negative occurrence, caused by external or internal vulnerabilities



Risk Management Team



- Identify, understand, prioritize, and manage risks
- Organization-wide awareness of risk management
- Risk management orientation for employees
- Contract risk management
- Strategic Business Plan



Risk Holders



| | Business Unit | Risk Holder |
|----|-------------------|--|
| 1 | Accounting | Controller |
| 2 | Administration | Executive Assistant |
| 3 | Business Services | Office Manager |
| 4 | Client Services | Director |
| 5 | Engineering | Director of Engineering / Chief Engineer |
| 6 | Event Management | Director |
| 7 | Event Services | Manager |
| 8 | Housekeeping | Manager |
| 9 | Human Resources | Director |
| 10 | IT | Manager |
| 11 | Maintenance | Director |
| 12 | Sales | Director |
| 13 | Marketing | Director |
| 14 | Security Services | Manager |



The Process



Risk Assessment Checklist



- 🕒 Identify major risks
- 🕒 Apply appropriate risk rating

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RISK ASSESSMENT FORM

IT - 2016

The Calgary TELUS Convention Centre is committed to maintaining a risk management plan that identifies, evaluates, mitigates, and monitors risks, including those associated with accidental, financial, strategic, and operational losses. Annually, the Risk Management Team will meet with the risk owners of the various CTCC business units to ensure that major risks continue to be identified, prioritized and appropriately managed.

| BUSINESS UNIT | Information Systems |
|-----------------|----------------------------------|
| RISK HOLDER (S) | Lawrence Chang - IT Manager |
| INTERVIEWER (S) | Rob Babin - HR / OH&S Specialist |
| DATE | April 5, 2016 |

| DESCRIPTION OF BUSINESS UNIT'S KEY ROLE | To provide Information Systems and Telecommunications services and support to clients of the Calgary TELUS Convention Centre, both internally and externally. |
|---|---|
|---|---|

| ACTIVITY 1 | Information Systems (Security) |
|-------------------|---|
| POTENTIAL RISKS | <ul style="list-style-type: none"> Security breach via internet (Unauthorized access to system/files) Unauthorized access to credit card information |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain <input type="checkbox"/> Likely <input type="checkbox"/> Possible <input type="checkbox"/> Unlikely <input checked="" type="checkbox"/> Rare |
| RISK IMPACT | <input type="checkbox"/> Severe <input type="checkbox"/> Major <input checked="" type="checkbox"/> Medium <input type="checkbox"/> Minor <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | <ul style="list-style-type: none"> Firewalled system in place with constant monitoring for access. Note: 2016 audit was conducted to test systems. Additional administrative controls include passwords. Client internet system segregated from internal network. Minimal card transactions occur at the CTCC. Note: IT and Guest Services are reviewing options of an EFT (electronic funds transfer) service. |

Risk Matrix



Degree of Probability
+
Level of Impact
= Risk Rating

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CTCC RISK MANAGEMENT MATRIX

| LIKELIHOOD (probability) | CONSEQUENCES (Impact) | | | | |
|--------------------------|-----------------------|-------------|-------------|-----------------|-----------------|
| | SEVERE | MAJOR | MEDIUM | MINOR | NEGLIGIBLE |
| ALMOST CERTAIN | Red | Orange | Yellow | Light Green | Green |
| LIKELY | Orange | Yellow | Light Green | Green | Dark Green |
| POSSIBLE | Yellow | Light Green | Green | Dark Green | Very Dark Green |
| UNLIKELY | Light Green | Green | Dark Green | Very Dark Green | Black |
| RARE | Light Green | Green | Dark Green | Very Dark Green | Black |

KEY TO RISK RATING

| | | |
|-----------------|---------------|--|
| Very Dark Green | TRIVIAL RISK | Risk considered acceptable |
| Dark Green | LOW RISK | Risk managed by routine procedures; acceptable |
| Light Green | MODERATE RISK | Risk mitigation initiatives to be assessed on case-by-case basis |
| Yellow | HIGH RISK | Risk controls required /existing controls to be re-assessed |
| Red | EXTREME RISK | Risk considered unacceptable; immediate risk control required |

Risk Identification






Risk Areas

- Property Damage
- Infrastructure
- I.T. Systems
- Finance
- Staffing
- Work Processes
- Events / Liability




Total # of Identified Risks



| | | | | | |
|--------------------|---|---------------------------------|--|-----------------------------------|-------------------------------------|
| ENGINEERING | Work Processes (mechanical, chemicals, rotating equipment, sewage, confined spaces, power tools) | | | | |
| POTENTIAL RISKS | Exposure to physical/crush injuries; chemicals and bio-waste materials; electrical and thermal energy; mechanical and kinetic impact injuries; falls from elevated heights. The hazards incorporated in these work processes pose the risk of serious injury or death. | | | | |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain | <input type="checkbox"/> Likely | <input checked="" type="checkbox"/> Possible | <input type="checkbox"/> Unlikely | <input type="checkbox"/> Rare |
| RISK IMPACT | <input checked="" type="checkbox"/> Severe | <input type="checkbox"/> Major | <input type="checkbox"/> Medium | <input type="checkbox"/> Minor | <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | <ul style="list-style-type: none"> CTCC safe work practices (SWPs) are routinely discussed during toolbox meetings. Pre-job hazards are identified and mitigated before projects are undertaken. New employees receive orientation and safety training All engineering staff must have current Power Engineering certification. Engineering controls: Physical guards affixed to moving equipment / power saws. Administrative controls: Spotters are used when using ladders to perform work. Spotters are used to monitor and control traffic when Engineering works inside the CPA parkade, public spaces, etc. PPE controls: Provision of personal protection equipment. | | | | |

| | | | | | |
|--------------------|---|---------------------------------|--|-----------------------------------|-------------------------------------|
| MAINTENANCE | Work Processes - Rigging | | | | |
| POTENTIAL RISKS | Rigging related accidents where loads and equipment are dropped, resulting in major property and/or personal injury or death: <ul style="list-style-type: none"> Falls from heights. Struck by falling object. Step on, strike against, strike by object. | | | | |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain | <input type="checkbox"/> Likely | <input checked="" type="checkbox"/> Possible | <input type="checkbox"/> Unlikely | <input type="checkbox"/> Rare |
| RISK IMPACT | <input checked="" type="checkbox"/> Severe | <input type="checkbox"/> Major | <input type="checkbox"/> Medium | <input type="checkbox"/> Minor | <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | <ul style="list-style-type: none"> Rigging load weights for events are reviewed and approved before work commences. CTCC safe work practices are in place for this work process. Adherence to OHS Code requirements: Communication with riggers to ensure appropriate rigging weight capacity is determined, and OHS regulations are followed. Affected areas are demarcated by cones, signage and/or caution tape. New rigging requirements mean that the CTCC will supply rigging based on acceptable standard levels where possible, and not allowing unsafe rigging from 3rd party. CTCC equipment has been rated by a structural engineering firm. | | | | |




| ACCOUNTING | Auditor Access to Computer Accounting Systems | | | | |
|-------------------|---|---------------------------------|--|-----------------------------------|--|
| POTENTIAL RISKS | Providing access to auditors poses the risk of accidental and/or intentional alteration or deletion of valuable information. | | | | |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain | <input type="checkbox"/> Likely | <input type="checkbox"/> Possible | <input type="checkbox"/> Unlikely | <input checked="" type="checkbox"/> Rare |
| RISK IMPACT | <input type="checkbox"/> Severe | <input type="checkbox"/> Major | <input checked="" type="checkbox"/> Medium | <input type="checkbox"/> Minor | <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | <ul style="list-style-type: none"> Intentional incidents: Administrative controls currently in place include providing limited access to internal systems. Example: Remove 'delete' function from operating screen prior to granting access. Hardcopy backup: Scans of original documents are available if restorative action is necessary. Journal entries and invoiced events cannot be deleted / altered once entered into the EBMS system. This amounts to limited / minimum damage to accounting processes. Time-log / tracking features available on EBMS can verify when changes are made – if follow-up or corrective action was necessary. CTCC works with a reputable 3rd party contractor (i.e. Deloitte). Convention Centre staff meet with and identify auditors prior to providing access to accounting systems. New administrative control measure: A login profile will be added into EBMS with additional administrator controls. This will allow auditors to conduct a full audit, while removing the capability of altering or deleting content. | | | | |

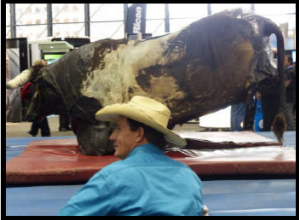




| SECURITY SERVICES | Frontline Security (Practices) | | | | |
|-------------------|---|--|-----------------------------------|-----------------------------------|-------------------------------------|
| POTENTIAL RISKS | <ul style="list-style-type: none"> Back-up assistance is limited or non-existent when Security Services officers are assigned to work alone. Risk to personal safety if Code 4 is approached when working alone during the shift. | | | | |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain | <input checked="" type="checkbox"/> Likely | <input type="checkbox"/> Possible | <input type="checkbox"/> Unlikely | <input type="checkbox"/> Rare |
| RISK IMPACT | <input type="checkbox"/> Severe | <input checked="" type="checkbox"/> Major | <input type="checkbox"/> Medium | <input type="checkbox"/> Minor | <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | <ul style="list-style-type: none"> Staggered scheduling allows for overlap between shifts. During the shift overlap, security personnel conduct a thorough building patrol and lock down exterior doors and all applicable interior areas before the building is locked down to the public. Night shift phone call checks coordinated with Glenbow Museum & Marriott security staff. An access control system has been installed and allows security personnel to perform a lookout from the control room. Exterior building/perimeter patrols are modified to address safety issues with 1 person on-shift. Ongoing: Security Services to review scheduling options to address organizational and employee concerns. | | | | |



| | |
|-----------------------------------|---|
| EVENT MANAGEMENT | Event Management Administration |
| POTENTIAL RISKS | Event logistics and special requirements. |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain <input type="checkbox"/> Likely <input type="checkbox"/> Possible <input checked="" type="checkbox"/> Unlikely <input type="checkbox"/> Rare |
| RISK IMPACT | <input type="checkbox"/> Severe <input checked="" type="checkbox"/> Major <input type="checkbox"/> Medium <input type="checkbox"/> Minor <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE / GENERAL NOTES | <ul style="list-style-type: none"> Events logistics, special requests and 'challenges' are reviewed by Event Managers and – when applicable - run past CTCC management and subject matter experts for a risk assessment review (City of Calgary resources, structural engineers, OHS, Fire Department, Police, etc.). Event's history can be reviewed / cross-referenced through industry contacts. |

| | |
|-----------------------|---|
| ACTIVITY 1 | City-Wide Flood |
| POTENTIAL RISK(S) | Without an effective flood mitigation & resilience system in place, the negative impact on the property's business continuity is substantial. Critical losses long-term damage to the property's infrastructure, include loss of revenue, and high potential for staff layoffs. |
| RISK PROBABILITY | <input type="checkbox"/> Almost Certain <input type="checkbox"/> Likely <input checked="" type="checkbox"/> Possible <input type="checkbox"/> Unlikely <input type="checkbox"/> Rare |
| RISK IMPACT | <input checked="" type="checkbox"/> Severe <input type="checkbox"/> Major <input type="checkbox"/> Medium <input type="checkbox"/> Minor <input type="checkbox"/> Negligible |
| CONTROLS IN PLACE | |
| PRE-INCIDENT MEASURES | <ul style="list-style-type: none"> Monitor environmental patterns from Environment Canada. Maintain communications with City of Calgary, BOMA, CEMA (via Twitter, online, etc.). Checks on all building automation systems to ensure functionality. Re-stock / reallocate essential supplies (PPE, sandbags, sealant, tape, etc.). Crisis Management Team involved with creation of 'emergency response/disaster recovery' scheduling – which may include employees normally not part of the CTCC Emergency Response Team. Establishing schedule for supplies, accommodations, food, etc. Review and confirmation of supply/access of diesel fuel for emergency generator. Logistics section of CMT to establish time log / documentation of all actions taken. Planning section of CMT to record all man-hours, supplies ordered, resources used. |
| IT MEASURES | <ul style="list-style-type: none"> Assess back-up power. Check status of servers. Establish / setup conference link for ERT and CMT group. Provide smart-phone / email contacts for ERT/CMT and employees. |

