Workplace Violence Prevention Program

March 2011

Carleton University: committed to respect and safety in the workplace
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Introduction

Carleton University is committed to providing a safe learning and work environment and maintaining a Workplace that is free of Workplace Violence as required by the Occupational Health and Safety Act (“Act”). This document supplements the University policy entitled “Workplace Violence Prevention” and outlines the responsibilities associated with this program. The program will be reviewed annually and revised as necessary.

I. Objectives

1. To assist faculty and staff in addressing Workplace Violence.
2. To take every precaution reasonable in the circumstances to prevent Workplace Violence.
3. To provide guidelines on:
   - Conducting a Workplace Violence risk assessment
   - Developing preventative measures
   - Reporting and investigating Workplace Violence
   - Incident follow-up

II. Application

This program applies to Workers, Related Third Parties, and students.

III. Policies, Standards and Legislation

1. The University policy entitled “Workplace Violence Prevention” states:

   “Carleton University is committed to the protection of the health, safety and wellbeing of all members of the University community. As such, the University will take all precautions reasonable to provide and maintain a learning and working environment that is free of Violence. All acts of Violence in the Workplace are strictly prohibited.”

2. The Occupational Health and Safety Act requires all employers to take every precaution reasonable in the circumstances to protect employees against the risk of Workplace Violence.

3. The Criminal Code of Canada makes it an offence for employers and those who direct work who fail to take reasonable steps to prevent bodily harm to an employee or any other person arising from work.
IV. Definitions

Workplace Violence: “Workplace Violence” as defined by the Act means:

- The exercise of physical force by a person against a Worker, in a Workplace, that causes or could cause physical injury to the Worker;
- An attempt to exercise physical force against a Worker, in a Workplace, that could cause physical injury to the Worker;
- A statement or behaviour that it is reasonable for a Worker to interpret as a threat to exercise physical force against the Worker in the Workplace that could cause physical injury to the Worker.

Examples of Workplace Violence under this definition may include but are not limited to:

- Threatening behaviour – shaking fists in front of a Worker, or pushing a Worker.
- Verbal or written threats – any expression of intent to inflict physical force that could cause physical injury. For example, “You better watch your back, I am going to make you pay for what you did to me.,” or “If you don't leave me alone you will regret it.” Or involving body language or behaviours that leave little doubt in the mind of the recipient that the perpetrator intends to cause physical injury.
- Physical attacks – hitting, shoving, pushing, kicking, biting, pinching or inciting an animal to attack.


Complainant: A “Complainant” is any person who is a Worker (including any employee whether covered by a collective agreement with the university or employed under an individual contract of employment), and any person who is a volunteer, all of whom are entitled to submit a complaint under this program Workplace Violence.

Contractor: A “Contractor” is an organization, partnership, or individual engaged by Carleton University to provide services to the University either personally or with the assistance of other individuals.

Manager: A “Manager” is the person responsible for the work unit who has the ability to review behavior and initiate corrective action including discipline, if required.

Related Third Party: Related Third Party includes a Contractor and the Contractor’s employees or subcontractors.

Respondent: A “Respondent” is any person who is a Worker (including any employee whether covered by a collective agreement with the university or employed under an individual contract of employment), and any person who is a volunteer, any one of whom is alleged to have engaged in Workplace Violence as defined above.

Visitor: A “Visitor” is any person who is not a Worker or a Related Third Party who has occasion for any reason to visit the University campus.

Worker: A “Worker” has the definition ascribed under the Act, and also includes any person recognized by Carleton University as a volunteer.
**Workplace:** For the purposes of this program, the Workplace includes but is not limited to, the Carleton University campus, locations of business travel and conferences, student placements, field trips and university sponsored social events.

**V. Roles and Responsibilities: Workplace Violence**

**Shared Responsibility**

- Everyone involved with Carleton University shares a responsibility for creating and maintaining an environment free of Workplace Violence.
- Every effort must be made to work toward the resolution of complaints by all those affected.
- Anyone who witnesses Workplace Violence is responsible for bringing it to the attention of their Manager and participating in the investigation of the complaint.
- To ensure the preservation of a productive, safe and peaceful learning environment.

**Management Responsibilities**

Managers are responsible for understanding what constitutes violent behavior and communicating to all members of the Carleton community that Workplace Violence and abuse will not be condoned or ignored. Managers will make every effort to prevent Workplace Violence and abuse by:

- Being a role model with respect to appropriate conduct at work and promoting a non-violent Workplace.
- Assessing specific risks for their faculty/department and reviewing/revising the assessment as is necessary but at a minimum, annually.
- Communicating this policy and program to Workers within their faculty/department.
- Implementing Workplace arrangements and appropriate procedures that minimize the risk of Workplace Violence including domestic Violence that may result in physical injury in the Workplace.
- Monitoring the effectiveness of this program and applicable procedures on an ongoing basis and recommending changes as required.
- Encouraging and providing opportunity for participation in education and training programs provided by the University. Providing information to Workers on various support programs/mechanisms available to them (e.g. Employee and Family Assistance Program).
- Taking all complaints of Violence seriously and promptly and diligently investigating any alleged incident.
- Implementing any follow-up actions as required by this program.
- Keeping detailed confidential records of any incidence of Workplace Violence or investigations and forwarding a copy to the AVP Human Resources as required.
Worker Responsibilities

All Workers share the responsibility to create a Workplace that is free from Workplace Violence and abuse. Each Worker is responsible for understanding what constitutes Workplace Violence and abuse and conducting himself or herself in accordance with the spirit and intent of the policy.

Worker responsibilities include:

- Being a role model with respect to appropriate conduct at work and promoting a non-violent Workplace.
- Providing input as requested to assess specific risks for their faculty/department and reviewing/revising the assessment as is necessary but at a minimum, annually.
- Cooperating (the Worker may choose to request union representation in accordance with the applicable collective agreement and legislative requirements) with the Manager in meeting the requirements of this program. (e.g., any efforts to investigate and resolve matters arising under the program).
- Abiding by the requirements of this program and applicable procedures.
- Reporting any incidents of Workplace Violence that have been experienced or witnessed in accordance with the applicable procedures. This includes domestic Violence that may result in physical injury in the Workplace.
- Participating in training as required.
- Seeking support and assistance from the Employee and Family Assistance Program (EFAP) or other community service when experiencing stress or other personal difficulties that may contribute to Workplace Violence.

The University recognizes that a Worker experiencing domestic abuse may be reluctant for safety and other reasons to disclose the problem to a Manager. The University encourages disclosure in order to ensure the Worker’s safety and that of his or her co-Workers. Disclosure also enables the University to support the Worker and provide links to appropriate community resources.

Although the University respects a Worker’s need for confidentiality and self-determination, a Worker is responsible for disclosing any situation which threatens the safety of the Workplace. This includes threats an intimate partner or ex-partner has made towards the Worker. A Worker must inform his or her Manager if they have applied for, or obtained, a restraining order that lists a University location as being a protected area, or that requires a person to remain a certain distance away from the Worker at all times including during the work day.

VI. Identifying Risk Factors for Workplace Violence

All Workplaces must be assessed for risk factors pertaining to Workplace Violence. Certain types of work or conditions can put employees at higher risk from Workplace Violence, generally from strangers, clients, students or customers. The list below identifies some of the risk factors for Workplace Violence:

- working with unstable or volatile persons
• handling money or valuables
• mobile Workplaces - transporting passengers and/or goods
• direct contact with clients/students/customers with the likelihood of dealing with irate persons
• working alone or in small numbers

Information relevant to identifying risks of Workplace Violence and the risk assessment methodology are described in Appendix “A”.

VII. Workplace Violence Risk Assessment

The overall responsibility for coordinating the risk assessment process shall rest with the Manager, Risk and Insurance and shall be updated annually. The Risk Assessment will involve four steps as follows:

1. Examination Internal Documentation

The Manager, Risk and Insurance shall conduct a review of all internal documents that might identify Workplace Violence, such documents include:

• Workplace inspection/safety reports
• reports about emergencies, incident and accidents
• grievances

2. Solicit Input from Workers

Each Manager will hold meetings with their employees in all jobs and locations to seek their input. This will assist to:

• identify risks that the Workers perceive and their sense of personal safety in the Workplace
• consider Worker’s experience of Violence and whether the situations involved strangers, customers, co-workers, students, estranged partners or family members
• identify jobs or locations in which Workplace Violence is a concern; and
• gather opinions as to the effectiveness of the controls currently in place.

3. Complete Workplace Violence Risk Assessment

Having gathered input from employees as to Workplace Violence, the Manager shall then complete the Workplace Violence Risk Assessment Questionnaire. (See Schedule A – “Workplace Violence Risk Assessment”)

The Assessment is divided into three parts:

• Part 1 General Assessment – looks at the risks posed by the physical environment.
• Part 2 Current Risk Controls – looks at the controls and programs in place.
• Part 3 Identification and Assessment of Specific Risk Factors – looks at specific risks factors related to specific duties or locations.

Upon completion of the risk assessment(s) the Manager will forward all completed questionnaires to the Department Head who will consolidate the information and forward a Departmental Risk Assessment Questionnaire to the Manager, Risk and Insurance for compilation of the data.

4. Annual Report on Workplace Violence

Upon receipt of the questionnaires, the Manager, Risk and Insurance shall prepare a report that identifies areas of risk of Workplace Violence with recommendations for necessary risk control measures.

The report shall be given to the Working Group on Workplace Harassment and Violence, as well as the Joint Occupation Health and Safety Committee.

VIII. Training and Prevention

• All Workers will be provided information on the policy and program with respect to Workplace Violence.

• Based on the Workplace Risk Assessment, faculties/departments may determine that the potential exposure to Workplace Violence necessitates the need to develop specific skills and knowledge.

• Depending on the level of risk of Workplace Violence, Worker training can range from reviewing relevant safety tips, posting of safety tips to scheduling classroom training or arranging for specialized training.

• In some cases, a written prevention procedure may need to be developed or the Workplace’s physical design may need to be reviewed or assessed in regard to the specific risks for the task.

• Workers are required to enroll in the appropriate training course identified by their Manager, based on the results of the risk assessment for their job.

XI. No Reprisal

Workplace Violence and this program are serious matters. This program prohibits reprisals against Workers who have made good faith complaints or provided information regarding a complaint or incident of Workplace Violence.

Persons who engage in reprisals or threats of reprisals may be disciplined up to and including dismissal from employment.

Reprisal includes:

• Any act of retaliation that occurs because a person has complained of or provided information about an incident of Workplace Violence

• Intentionally pressuring a person to ignore or not report an incident of Workplace Violence; and
• Intentionally pressuring a person to lie or provide less than full cooperation with an investigation of a complaint or incident of Workplace Violence.

Although false and frivolous accusations of Violence occur in rare instances, such false accusations are serious offences because they may have serious consequences for the accused.

The insufficiency of evidence to prove a complaint does not mean that the complaint was submitted in bad faith. A malicious or bad faith complaint means that a person has made a complaint knowing that it was untrue.

A Worker who makes a false complaint or otherwise abuses this program may be disciplined up to and including dismissal from employment. Such discipline is not a reprisal or breach of this policy.

X. Violence by/toward Students or Visitors

The University does not condone Workplace Violence by or toward any student registered in a course or program of study at Carleton University (“Student”).

• If a Worker is subjected to violent behaviour by a Student, he or she should seek support from their Manager who will refer the matter to the Associate Vice-President (Students and Enrolment) and University Registrar.

• A Student who is subjected to violent behaviour by a Carleton Worker should report it to the Worker’s Manager.

The University does not condone Violence by Violence or toward Visitors.

• All members of the community should make it clear to Visitors that violent behavior is not acceptable at Carleton University.

• If a Worker is subjected to violent behaviour by a Visitor, he or she should seek support from their Manager who will address the situation accordingly.

• University Safety may be called to escort the Visitor off campus and/or take other appropriate action.

• Visitors who are subjected to violent behaviour by a Carleton Worker should report it to the Worker’s Manager.

XI. Violent Behaviour by/toward Related Third Parties

The University does not condone violent behavior by or toward Related Third Parties. A Worker subjected to Violence by a Related Third Party should report it to his/her Manager

• Related Third Parties who are subjected to violent behaviour by a Carleton Worker should report it to the Contractor.

• The Contractor should contact the Carleton contract manager. The complaint will be investigated using the process outlined in Section XII.
XII. Complaint Process Informal and Formal Investigation Procedure

Confidentiality

- All reports made in the course of action taken pursuant to these procedures shall be considered to be confidential to the parties involved and to those responsible for the investigation and resolution of the incident.
- The identities of all Complainants, Respondents and witnesses and the nature of the complaint itself will be kept confidential and only persons with a need to know will be informed.
- The Worker may request union representation throughout the complaint process.

Reporting

- All Workers have the obligation under the Act to report incidents of Workplace Violence that are experienced or witnessed to their Manager.
- If the Worker’s Manager is involved in the Workplace Violence, the Worker shall contact the next level Manager. In all cases, the Worker shall follow the reporting procedures as outlined below.

Complaints that Pose an Immediate Risk of Physical Injury

- The Worker or the Manager shall immediately call University Safety at extension 4444. If a Worker initiates contact with University Safety, the Worker shall notify his or her Manager.
- If required, the Manager shall arrange for a safe place to work that is as near as reasonably possible to the Worker’s usual work site. The affected Worker(s) must continue to work in the safe place and be available for the investigation until there is no further risk of Violence.
- In a situation where University Safety is contacted, no other investigation should proceed until University Safety completes its investigation.

Complaints that do not pose an Immediate Risk of Physical Injury:

- A Worker who experiences Workplace Violence or who has concerns regarding possible incidents of Workplace Violence (the Complainant) shall report the incident to his or her Manager.
- The Manager shall review the complaint and consider whether an informal resolution to the complaint is possible.
- The Manager must complete Appendix C – Violence Incident Reporting Form within two days of the incident/concern being reported to them.

Informal Resolution
A Manager who receives a complaint of Workplace Violence which appears to be capable of resolution informally shall use reasonable efforts to assist the Complainant in effecting informal resolution within ten days of receiving the complaint.

- The Manager assesses the immediate risk, gathers information and documents the concern within two days of receiving the complaint. The parties should receive a copy of the complaint and have the opportunity to respond in writing.
- If the complaint involves a student and the incident involves student misconduct, the concern is then referred to the Office of Student Affairs.
- Efforts at informal resolution should include individual meetings with the parties as appropriate. The Worker/s may request union representation at the meeting. The parties may decide to meet as a group to resolve the issue.
- The Manager may request assistance from the AVP Human Resources.
- If informal resolution is not possible then the Manager shall forward the complaint, in Appendix C format to the AVP Human Resources for action.
- The Complainant and/or the Respondent may request union representation.

The Manager in consultation with AVP Human Resources will make a decision as to what remedial action, if any, should take place in the Workplace while the investigation is taking place.

**Formal Investigation**

- The AVP Human Resources shall appoint an investigator within ten days of receiving a request for a Workplace Violence investigation and the investigation shall proceed expeditiously and on a confidential basis.
- One of three types of investigators may be appointed:
  - internal investigator (i.e. senior management or trained investigator)
  - third-party investigator
  - referral to University Safety
- The investigator will be responsible for establishing the facts, including interviews with the Complainant, Respondent and any witnesses.
- The Complainant, Respondent and witnesses may be called upon with minimal advance notice to ensure the confidentiality and timeliness of the investigation process.
- The investigation will include interviews of the Complainant, the Respondent and any witnesses.
- The Complainant, Respondent and witnesses will be provided a copy of the information they provided during the course of the investigation.
- Any of the parties may request union representation during the investigation process.

**Investigative Process**

- The AVP Human Resources appoints an investigator within ten days of receiving the request for an investigation
• The investigator interviews the Complainant
• The investigator interviews any witnesses identified as having knowledge of the incident
• The investigator interviews the Respondent to obtain the Respondent’s response to the allegations in the complaint
• It may be necessary for the investigator to re-interview the Complainant, Respondent or witnesses
• The investigator will prepare and submit a report summarizing the facts and findings within 30 days of initiating the investigation and conclude whether there is:
  • sufficient evidence to substantiate a finding of violation of the policy/program
  • insufficient or lack of credible evidence to substantiate a finding of violation of the policy, or
  • no credible evidence to substantiate a violation of the policy.
• Copies of the investigator’s report will be distributed to the following recipients:
  • the AVP Human Resources
  • the Department Head or delegate
  • the Complainant
  • the Respondent
  • representatives of the union(s) of which the Complainant and/or Respondent are members
• Based on the investigator’s findings, the Department Head or delegate in consultation with the AVP Human Resources and/or other university officials as relevant shall determine whether further action is warranted (i.e. initiate corrective action) and advise the Complainant and Respondent in writing of the outcome within 10 days of receiving the investigator’s report.
• As applicable, a copy of the outcome will be provided to the union(s) of which the Complainant and Respondent are members.
• Where a complaint is lodged by more than one Complainant or is against more than one Respondent, the Complainant or Respondent, as the case may be, shall receive only the portions of findings applicable to their specific complaint/response.
• Any of the parties may request a formal review of the decision of the investigator by submitting additional evidence in writing to the University Secretary within 30 days of receiving the findings of the investigator.

XIII. Incident Follow-up

Worker Support
• Workers who experience an incident of Workplace Violence that is a traumatic incident may require emotional support from a professional. Support services are available through the Employee and Family Assistance Program, Health Services or other community support services.
• Co-Workers should be encouraged to talk about problems they may be experiencing and to be supportive of the affected Worker. In some situations, a group debriefing, utilizing external qualified professionals, may be appropriate. These sessions can be arranged by contacting Human Resources.

Remedial Action and Prevention Plan
When a violent incident occurs it is important to review the safety protocols in place to ensure their effectiveness. The Manager, in consultation with the appropriate senior Manager shall:
• review the incident
• outline what corrective or remedial actions are necessary to prevent or minimize the impact of repeat occurrences
• identify new or previously undefined risks and reassess the Risk Assessment Form
• review employee training and education programs and determine if they are adequate or if additional training should be provided.

Notice of an Injury as a Result of Workplace Violence
The Manager must inform University Safety (extension 4444) immediately in the event of an incident of Workplace Violence that results in injury or death.

In addition, the Manager must:
• Complete the WSIB Form 7 - Employers Report of Injury/Disease, and submit to Human Resources within 24 hours.
• Complete the Carleton University Supervisors Incident Investigation Report Form and submit to Environmental Health and Safety within 2 days.

Further information on injury reporting and investigation is available on the Environmental Health and Safety website at http://www.carleton.ca/ehs/ehsprograms/injuryreporting.htm.

XIV. Domestic Violence
The Act requires employers take every precaution reasonable in the circumstances to protect a Worker from domestic Violence that may occur in the Workplace and expose co-Workers to a risk of physical injury.

Although the University respects a Worker’s need for confidentiality and self-determination, a Worker is responsible for disclosing the following situations to his or her Manager:
• threats to the safety of the Workplace
• threats an intimate partner or ex-partner has made towards the Worker

Both parties must report to his or her Manager:
• if the Worker has applied for or obtained a restraining order, or is the subject of a restraining order that lists a University location as being a protected area
• a restraining order that requires a person to remain a certain distance away from the Worker at all times including during the work day.
When the Manager is notified of the potential of a domestic violent situation in the Workplace, he or she shall take specific steps to protect the individual Worker and co-Workers:

- request assistance from University Safety in developing a personal safety plan for the Worker
- accommodate the Worker in alternative work arrangements (schedule flexibility, changes in hours, transfer of location, etc.)
- provide information on available counseling resources (i.e. Employee and Family Assistance Program or other community services)

The obligation to take every precaution reasonable in the circumstances to protect a Worker from domestic Violence may outweigh an individual's expectation of privacy. The privacy of the Worker must be balanced with ensuring the safety of others.

- The Manager should treat the situation with the utmost confidentiality and communicate only to those who are required to know in protecting Workers from potential physical injury.
- A Manager may seek assistance from University Safety and the AVP Human Resources in developing a response to a situation of domestic Violence that may risk the safety of Workers in the Workplace.

XV. Disclosure of Persons with a Violent History

Managers are required to provide information, including personal information, to a Worker about a person with “a history of violent behaviour” if the Worker could be expected to encounter the person in the course of his/her work and there is a risk of Workplace Violence that may expose the Worker to physical injury.

- Personal information shall only be disclosed as is reasonably necessary to protect the Worker from physical injury.
- A Manager must seek assistance from the AVP, Human Resources, before disclosing any information.
Appendix A - Workplace Violence Risk Assessment

PURPOSE:
This Workplace Violence Risk Assessment is designed to assist the University in assessing the hazard of Workplace Violence and identifying possible measures, procedures and controls that can be implemented to control the risk of Violence in the Workplace.
“Workplace Violence” is defined as (Occupational Health and Safety Act, sec. 1 (1)):
- the exercise of physical force by a person against a Worker, in a Workplace, that causes or could cause physical injury to the Worker,
- an attempt to exercise physical force against a Worker, in a Workplace, that could cause physical injury to the Worker,
- a statement or behavior that it is reasonable for a Worker to interpret as a threat to exercise physical force against the Worker, in a Workplace, that could cause physical injury to the Worker.

INSTRUCTION:
The Manager shall:
- Hold meetings with Workers to seek their input. This will assist to:
  - identify risks that Workers perceive and their sense of personal safety in Workplace
  - consider Workers’ experience of Violence and whether the situation involved strangers, clients, co-Workers, students, estranged partners or family members
  - identify jobs or locations in which Workplace Violence is a concern; and
  - gather opinions about the effectiveness of the controls currently in place.

The Department Head shall:
- Determine if there will be one set of assessments filled out for the entire department/faculty, or whether there will be separate assessments for different jobs, tasks, or locations with similar risks of Violence. For a large Workplace, the department head may wish to divide the department/faculty into Workplaces or tasks that have similar risks of Violence. For example, a fee collection office may divide its staff into those that deal with customers personally and those who work in the office with no customer contact.
- Complete or arrange to have Managers complete the Risk Assessment (attached to this document).
- Send the original Risk Assessment to the Manager Risk and Insurance, Room 603 Robertson Hall by the specified date.
- Keep a copy of the Risk Assessment in the department/faculty for future reference.

The Manager Risk and Insurance shall:
- Prepare an Assessment Report that identifies areas of risk of Workplace Violence with recommendations for necessary risk control measures.
- Send the Assessment Report to the Working Group on Workplace Harassment and Violence, as well as the Joint Occupation Health and Safety Committee.
- Send the necessary risk control measures to the Department Head for implementation.

Reference:
Part I - General Assessment

1. Physical Environment
Do you or your Workers have any concerns about risk of Workplace Violence pertaining to the physical environment? (e.g., lighting, entry control and security system, public counters, interior design and hidden areas, workplace location (e.g. neighbourhood).

Yes ☐  No ☐

If yes, please indicate areas of concern:
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

For the areas of concern identified, please recommend any specific controls to mitigate concerns. (e.g., install access card entry, increase lighting, rearrange work station, place service request to install locks on doors etc.).
____________________________________________________________________________
____________________________________________________________________________
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____________________________________________________________________________
## Part II - Assessment of Current Safety Programs

After consulting with Workers in the area, complete the following questionnaire on safety programs now in place on campus.

<table>
<thead>
<tr>
<th>Program</th>
<th>Are Workers in your area aware of this program?</th>
<th>Have Workers in your area used this program?</th>
<th>If employees have used the program how often have they use it?</th>
<th>Other Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Safewalk</strong> - provides a safewalk escort to your vehicle, bus stop or residence on request</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
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<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
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<tr>
<td><strong>Working After Hours Program</strong> - University Safety will check in on you by phone or in person at pre-arranged intervals</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<tr>
<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
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<tr>
<td><strong>RAD</strong> - free self defense program for women – teaches risk awareness, hand-on instruction of physical defense training</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<tr>
<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
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<tr>
<td><strong>Panic Pendant Personal Alarm</strong> - pendant worn around the neck and works with intrusion alarm system. Activation of alarm sends signal to University Safety</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
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<td></td>
<td></td>
<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
</tr>
<tr>
<td><strong>Personal Safety and Crime Prevention Brochures</strong> - topics include harassment, personal safety, theft reduction</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
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<td></td>
<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
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<tr>
<td><strong>Safety Audit</strong> - University Safety personnel can conduct a safety audit of your work area on request</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
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<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
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<td></td>
<td>Seldom (once every 3 months)</td>
<td></td>
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<tr>
<td><strong>Safety Presentations</strong> - University Safety will attend your staff meeting on request and provide presentations on a variety of personal safety topics</td>
<td>Yes</td>
<td>Yes</td>
<td>Frequently (once a week)</td>
<td></td>
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<td></td>
<td>No</td>
<td>No</td>
<td>Often (once a month)</td>
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<td>Seldom (once every 3 months)</td>
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</tbody>
</table>
Part III - Identification and Assessment of Specific Risks Factors

Certain types of work or conditions can put Workers at higher risk from Workplace Violence. Review the list of specific risks associated with the type of work or conditions of work included in the table below. If the risk exists, rate the risk using the guideline on the next page. Ranking or prioritizing the risk factors is one way to help determine which are the most serious safety hazards and therefore need to be addressed first (i.e. by implementing controls) and the level of training required.

Managers may complete a separate sheet for each group of Workers with similar tasks. (i.e. Administrative Assistants, Advisors, etc.).

<table>
<thead>
<tr>
<th>Faculty/Department:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Job/position (e.g., office administrative staff, advisors etc.):</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Does Work Include:</th>
<th>Examples of Activities or Situations</th>
<th>Risk Exists?</th>
<th>Level of Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Direct contact with the public including students, Workers or customers with likelihood of dealing with irate persons</td>
<td>Working at complaint centre, appeals office</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Involved in mediation</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Carrying out legislative or policy enforcement duties</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Service counter staff</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Handling money or valuables</td>
<td>Working at cashier station in a fixed location</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Transporting cash to remote or isolated locations or at night</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working with unstable or volatile persons</td>
<td>Providing a service to persons with physiological, psychological, or psychiatric conditions and substance abuse issues</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in premises where alcohol is served</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Working alone</td>
<td>Working in a fixed location where there is limited or no access to communication tools (Research Lab)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in a fixed location where there is a high potential of assault or robbery (i.e. safety officer)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in isolated areas within a worksite, away from other Workers (i.e. CCS or Maintenance)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in a remote worksite where public may have access</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working during late evening hours or early morning hours (i.e. Maintenance, CCS or Research Lab)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mobile Workplace or transporting passengers as part of your job</td>
<td>Transporting student/staff to locations on or off campus (public has physical access to driver/staff)</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in remote unknown areas</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in areas where there is limited or no access to communication tools</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Working in situations where fare collection and enforcement of fares is required</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## Risk Assessment Method

### Category of Risk* = Severity + Frequency**

<table>
<thead>
<tr>
<th>Frequency</th>
<th>Severity</th>
<th>Category of Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>“Regularly”</td>
<td>“High”</td>
<td>“High”</td>
</tr>
<tr>
<td>Score = 3</td>
<td>Score = 3</td>
<td>Total score = 6</td>
</tr>
</tbody>
</table>
| Exposure may be part of the normal work routine or assignment | - potential for fatal or critical injury  
|                 | - may be exposed to physical injury from physical assault, punching, kicking, hitting, weapons | |
| “Occasionally”  | “Moderate”     | “Moderate”       |
| Score = 2       | Score = 2      | Total score = 4 - 5 |
| Exposure is infrequent | - potential for lost time or health care  
|                 | - may be exposed to threatening behaviour such as hostile, intimidating, frightening etc. (e.g., shouting, pushing a table etc.) | |
| “Rarely”        | “Low”          | “Low”            |
| Score = 1       | Score = 1      | Total score= 1 - 3 |
| Not a normal part of the work routine or employees are exposed to risk. | - potential for first aid  
|                 | - may be exposed to behaviours that are disruptive and aggressive (e.g., slamming the door, walking out etc.) | |

### Example:
A student advisor who works at a service counter responding to enquiries from students in the day time.

### Specific risk:
Dealing with irate customer with potential of Workplace Violence.

### Frequency of risk:
“Moderate”, since the Worker may occasionally deal with an irate customer. **Score = 2**

### Severity of risk:
“Low”, Worker may be shouted at by the customer demanding to see the Manager. **Score = 1**

### Risk category: 2+1= 3 (“Low”)

Enter “L” in “Level of Risk” column on previous page
Appendix B - Safety Tips for Specific Risks Factors of Workplace Violence

These safety tips include examples of control measures that protect Workers from the potential hazard of violence. These tips can be used as resource or training materials by posting or distributing and reviewing with workers at staff meetings.

Dealing with Irate Persons

- Know how to summon immediate assistance when an emergency occurs or is likely to occur
- Be familiar with warning signs of potentially violent behavior
- If you feel you are being harassed, threatened or intimidated:
  - tell the person to stop
  - document the incident (e.g. the nature of the incident, time, place, witnesses)
  - inform your Manager

Verbal Communication

- Focus your attention on the person to let them know you are interested in what they have to say
- Remain calm
- Speak slowly, quietly and confidently
- Speak simply – do not rely on official language or complex terminology
- Listen carefully – do not interrupt or offer unsolicited advice or criticism
- Encourage the person to talk- do not tell the person to relax or calm down
- Try to understand - ask questions like “Help me understand why you are upset.”
- Once you think you understand, repeat it back to the person so they know you understand
- Remain open-minded and objective
- Use delaying tactics to give the person time to calm down (e.g. offer a drink of water)
- Acknowledge the person’s feelings - indicate that you can see he or she is upset

Non-Verbal Behaviour and Communication

- Use calm body language – relaxed posture with hands unclenched, attentive expression
- Arrange yourself so that your exit is not blocked
- Position yourself at a right angle rather than directly in front of the other person
- Give the person enough physical space; this varies by culture, but normally 2-4 feet is considered an adequate distance
- Get on the other person’s physical level; if they are seated try kneeling or bending over, rather than standing over them
- Do not pose a challenging stance, such as standing directly opposite, putting your hands on your hips, pointing your finger, crossing your arms

Problem-Solving

- Try to put yourself in the other person’s shoes, so that you can better understand how to solve the problem
- Ask for his or her recommendations
- Accept criticism in a positive way, when a complaint might be true, use statements like “You are probably right” or “It was my fault.” If the criticism seems unwarranted, ask clarifying questions
- Be honest – do not make false statements or promises you cannot keep
- Remain professional and take the person seriously
- Be respectful
Break the issue down into smaller units and offer step-by-step solutions so that the person is not overwhelmed by the situation, issue or solution
Be reassuring and point out choices
Try to keep the person’s attention on the issue at hand
Do not take sides or agree with distortions
Do not reject the person’s demands or position from the start
Find ways to help the person save face
Establish ground rules if unreasonable behaviour persists
In a calm and non-threatening manner, clearly state that violence is unacceptable and will not be tolerated
Avoid issuing commands and making conditional statements
If the nature of the situation involves punishment or sanctions: delay the punitive action until you have backup or the situation is safe
If you feel threatened try to politely and calmly terminate the interaction in a non-threatening manner

Handling Money and/or Valuables
Know how to summon immediate assistance when an emergency occurs or is likely to occur (dial University Safety at ext. 4444 on any internal phone)
Keep cash register funds to a minimum
Use electronic payment systems if possible - for example: automatic ticket dispensers or collectors, debit cards, credit cards, cheques
Vary the time of day that you empty or reduce funds in the cash register
Remove all large bills ($50, $100) from the register frequently
Install and use a locked safe with a drop slot
Change the combination of the safe at frequent intervals
Post visible signs which indicate that minimum cash (state amount, e.g. less than $50) is kept on the premises
Ask customers for exact change or the smallest bills possible
Do not handle large amounts of cash or count money in public view
Use cash drawer covers
Install security screens in high-risk areas

Banking Money
Deposit money to bank on a frequent basis
Use an unmarked bag or container to carry cash and/or securities
Vary the route taken to the bank or financial institution
Vary times of deposit
Avoid making night deposits
Observe your surroundings before making your transaction
Rotate the task so that it isn’t always the same person making the deposit if possible
Avoid making deposits alone especially if employees work in remote and isolated areas.
Have one person face the other way to act as a lookout while the other makes the deposit
Arrange for regular cash collection by a licensed security firm

Working with Unstable or Volatile Persons who may be Potentially Violent
Know how to summon immediate assistance when an emergency occurs or is likely to occur
Store away objects or equipment (e.g., sharp objects) that could be used to hurt people
Use special rooms for meeting (e.g., rooms with windows in the door, rooms close to other employees, rooms with easy exit in case of emergency)
• Be familiar with warning signs of a potentially violent person (refer to e-course on Violence in the Workplace: Awareness)

Working Alone
• Know how to summon immediate assistance when an emergency occurs or is likely to occur
• Carry a communication device (cell phone, radio etc.)
• Know your environment (location of exits, neighbours etc.)
• Make sure someone knows where you are and your plans (when you plan to leave etc.)

Workers who work alone on a regular basis
Refer to the University Safety website at: http://www2.carleton.ca/community-safety/safety-tips/working-late/

Mobile Workplace or Transporting Passengers as Part of Your Job
• Know how to summon immediate assistance when an emergency occurs or is likely to occur
• Carry a communication device (cell phone, radio etc.)
• Keep your vehicle in good repair - perform circle check regularly (daily or weekly)
• Always lock your vehicle, even when you are in it
• Stay cool - do not react to provocation
• Do not open your vehicle’s window more than one inch to speak to someone you are not familiar
• If you suspect another car is following your vehicle:
  • Note the license plate no. of the other vehicle
  • Drive to a service, police or fire station
  • Stay in your vehicle
  • Honk the horn in short repeated blasts until someone helps you
• If you think you have been intentionally bumped from behind:
  • Do not leave your vehicle
  • Motion to the other driver to follow you to the nearest police station or open service station
• Make sure someone knows your plans, your route and your estimated arrival time
• Reduce amount of cash
• Consider a buddy system if you are transporting people or goods in remote and isolated areas
Appendix C - Workplace Violence Reporting Form

This form assists the Manager in documenting a complaint reported by a Worker. If informal resolution is not possible, the Manager shall forward the completed form to the AVP Human Resources to initiate a formal investigation.

Report Initiation Date: _________________________________

Has University Safety Been Contacted?  □ Yes  □ No

Worker/Complainant Information:

Reported by (last name, first name):___________________________________________

Reported Date/Time: _______________________________________________________

Department: ______________________________________________________________

Job/Position: ______________________________________________________________

Telephone No.:________________________

Incident Occurrence Date/s:

Incident date(s) (Can be specific date or set of dates or over a certain period of time, e.g., three times in the last month.):
___________________________________________________________________________
___________________________________________________________________________

Description of Incident:

Exact date and time of incident: ______________________________

Exact location of incident: _____________________________________________

Exact location of Complainant, Respondent and witness: ________________
___________________________________________________________________________

Activities of Complainant, Respondent and witness/participant before, during and after incident:
___________________________________________________________________________
___________________________________________________________________________
___________________________________________________________________________
Workplace Violence Reporting Form (cont’d)

Complainant’s detailed explanation of events in order of sequence of occurrence:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Respondent’s physical and mental state prior to and at the time of the incident:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Unusual activity or behavior that may have contributed to the incident:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Relationship between Complainant and Respondent, if any:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Witness(es) (if any):

1. Name: ___________________________ Dept:____________________   Phone :_______

2. Name: ___________________________ Dept:____________________   Phone :_______

3. Name: ___________________________ Dept:____________________   Phone :_______
Workplace Violence Reporting Form (cont’d)

Action Taken by Manager: 1\textsuperscript{st} Incident:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Resolutions Discussed:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Action Taken by Manager: 2\textsuperscript{nd} Incident:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Next Steps:

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________

Support Services Recommended (Performance Management, EAP, Training, and Professional Support):

____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
____________________________________________________________________________
Workplace Violence Reporting Form (cont’d)

Report completed by: ___________________________________________  ____________________________
Manager’s Name (please print)                         Signature

Department: ___________________________________________  ____________________________
Telephone

Submit to:  Assistant Vice-President (Human Resources) if formal resolution is required

Date of submission: ____________________________