Strategic Enterprise Risk Management and Compliance Committee Report

University of Oregon Board of Trustees

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Developed by:

Safety and Risk Services

Overview

The Strategic Enterprise Risk Management and Compliance (SERMC) committee is charged by the President of the University to:

1. Develop tools and processes to actively identify, evaluate, and manage university risks

2. Ensure that systems and processes are in place to provide accountability for compliance with the University's legal and policy obligations

3. Encourage communications, problem-solving, and collaboration across divisions, units, and departments

The committee is chaired by the Chief Resilience Officer and Associate Vice President for Safety and Risk Services.

Membership includes:
- Vice President for Finance and Administration and Chief Financial Officer
- Vice President for Research and Innovation
- Vice President and General Counsel to the University
- Vice President for Equity and Inclusion
- Vice President for Student Life
- Vice President for Student Services and Enrollment Management
- Vice President for University Communications
- Vice President for University Advancement
- Executive Vice Provost for Operations
- Vice Provost for Information Services and Chief Information Officer
- Chief Human Resources Officer and Associate Vice President for Human Resources
- Chief Auditor
- Associate Vice President for Business Affairs and University Controller
- Senior Associate Vice President for Research and Innovation
- Director of Intercollegiate Athletics

Committee members serve as risk area leads or "risk owners" over the potential risk exposure areas, conditions or events that exist in their portfolios.

In 2017-2018 the committee asked risk owners and subject matter experts within their portfolios to review and provide feedback on their areas within the University of Oregon Risk Exposure Matrix and to identify existing controls and mitigation strategies.

The Risk Exposure Matrix is the tool the university developed to actively identify, evaluate, and manage high-level risk exposures. It is a dynamic tool designed to keep leadership informed of potential risk exposures and assist the risk owners in documenting mitigation and controls used to navigate risk exposures as the university advances its mission.

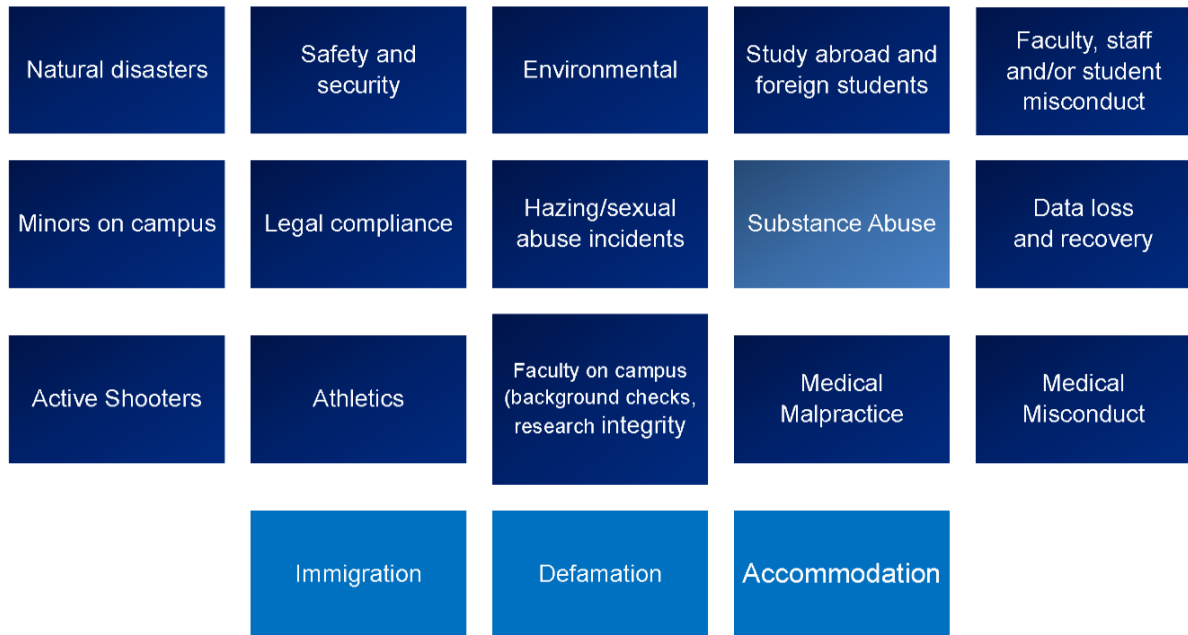# Summary of Emerging Risks by Marsh - UO Insurance Broker

Below is a brief summary by the university insurance broker highlighting national trends and potential risks colleges and universities face.

US Colleges and Universities Challenges

- Experiencing an unprecedented level of *uncertainty* as a result of actions taken by the current U.S. Administration.

- Immigration Ban creating perception of US as hostile bureaucracy with downturn in foreign students attending

- Facing financial challenges.

    – Changing business model to diversify revenue streams

    – Decrease in funding from State/Federal Government

    – Impact on staff, tenure track and program modifications

- Delivering education through innovation.

    – Online learning increase to augment traditional learning, reach to adult learners

    – Increased focus on research for revenue and entrepreneurial opportunities

- More focused on Mergers and Acquisitions than ever before.

    – Increasing amount of consolidation within large public systems

- Under increasing scrutiny to ensure they take precautions to protect their students from discrimination.

Potential Institutional Risks – A Sampling from Higher Education

Natural disasters	Safety and security	Environmental	Study abroad and foreign students	Faculty, staff and/or student misconduct
Minors on campus	Legal compliance	Hazing/sexual abuse incidents	Substance Abuse	Data loss and recovery
Active Shooters	Athletics	Faculty on campus (background checks, research integrity)	Medical Malpractice	Medical Misconduct
	Immigration	Defamation	Accommodation	

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SERMC Work Groups

When SERMC identifies potential gaps or risk exposures that do not have a risk owner or that require additional in-depth analysis the committee establishes inter-departmental and cross-disciplinary work groups to explore the concern. The groups primarily focus on topics that require special attention for purposes of compliance, planning response, or risk management. SERMC provides the work group with a clearly defined charge, a set of expected outcomes, and a timeline for the work group to return to the committee with recommendations. The work groups utilize a planning model called Strategic Doing.

Work Group Process*: from risk identification to action*

The work group approach allows SERMC to bring campus partners to the table to better understand specific risk exposures, and to develop actionable recommendations to mitigate those risks. The work group structure also encourages trust, information sharing, problem-solving, and collaboration across divisions, units and departments.

Nighttime Safety Campus and Near Campus Lighting Work Group

SERMC charged the campus and near campus lighting sub-work group to:
- Explore opportunities to expand the current night campus safety route map such that it connects users with near off-campus buildings, Greek Life housing, and other sites off campus
- Reach out to the City of Eugene, near campus neighborhood associations and nearby businesses to explore collaborative efforts and projects to increase lighting near campus
- Develop recommendations for SERMC to review

Membership:
- *Safety and Risk Services*
  - *Campus GIS and Mapping*
  - *UO Police Department*
- *Dean of Students*
- *Campus Planning and Facilities Management*
- *Government and Community Relations*
- *Eugene Police Department*
- *Fraternity and Sorority Life*
- *City of Eugene*

Findings:
- *Both UO and the City of Eugene have explored improving lighting both on and near campus.*
- *UO has developed an app within the UO Map app that allows anyone to "drop a pin" in areas the user feels have insufficient lighting. The app automatically sends a message to Campus Planning and Facilities Management identifying the location and need for follow-up.*
- *Dimly lit and poorly lit areas exist near campus in the south university neighborhood, west university neighborhood and north of campus.*

Actions / Recommendations

- The Work Group cataloged locations in need of lighting improvements during three nighttime observation walks conducted in the South University, Fairmount and West University neighborhoods. Geographic Information Systems converted the lighting data into a map.

- The Work Group ranked the areas of concern by level of importance using criteria such as proximity to existing lighted paths, student foot traffic observed during the walks and feedback from law enforcement.

- UO and the City of Eugene calculated estimated costs for lighting improvements on campus and off campus respectively.

- The Provost's Office approved funding for the work group's recommendations in January 2019. Government and Community Relations and Safety and Risk Services are working with the City of Eugene to nail down cost and timeline of suggested improvements.

University Reporting Channels Work Group

SERMC charged the University Reporting Channels Work Group to:
- Catalog current reporting channels on campus, e.g., Fraud Hotline, behavioral health concerns, accessibility, violation of academic integrity, etc.
- Explore alternative, more holistic reporting system for the University; establish roles and responsibilities for the investigation of allegations reported through the decided upon channel
- Develop recommendations for SERMC as to next steps

Membership:
- *VPFA*
- *Internal Audit*
- *General Counsel*
- *University Communications*
- *Office of the Provost*
- *HR Employment and Labor Relations*
- *Research & Innovation*
- *Safety and Risk Services*
- *AAEO and Title IX*
- *Student Life*
- *Business Affairs*
- *Athletics*
- *Information Services*
- *Purchasing and Contracting Services*

Findings:
- *Student related concerns, behavioral evaluation and threat assessment (BETA) and Title IX concerns are cataloged using Maxient, an incident reporting and recordkeeping software program. Student Life procured Maxient in 2017 for student discipline, conduct and well-being case management.*
- *Concerns around unethical actions such as financial fraud, academic integrity, and employee related concerns are reported through EthicsPoint software. Internal Audit adopted EthicsPoint in 2014 after the university's separation from OUS.*
- *Some reporting channels on campus are not easily accessible to all campus constituencies. Current reporting channels in EthicsPoint are being triaged by Internal Audit. Defined workflow processes need to be established.*

Actions / Recommendations

- The Work Group recommended that UO utilize a single system, specifically Maxient, for all reporting needs. All existing reporting channels should be transferred over to Maxient.

- Work flows for each reporting channel should be established and documented in a central database maintained by Safety and Risk Services.

- A single centralized reporting website should be developed that would include instructions and links to all ethics and compliance reporting channels for both internal and external audiences.

- The Work Group is exploring options to permanently fund a position to administer and support the Maxient system. Of note, components of this position directly correlate with Clery Act compliance. Clery reporting and analytics will go through Maxient.

Enterprise Training Coordination and Systems Work Group

SERMC charged the Enterprise Training Coordination and Systems Work Group to:
- Identify and catalog all training systems currently used on campus by cost, system owner, target audience, etc.
- Explore strategic cost savings (both operational and direct costs) of moving to a comprehensive and managed enterprise training system, and
- Develop recommendations for the Strategic Enterprise Risk Management Committee.

Membership:
- *Human Resources*
- *University Communications*
- *Purchasing and Contracting Services*
- *Office of General Counsel*
- *Office of Research and Innovation*
- *Office of Investigations & Civil Rights Compliance*
- *Safety and Risk Services*
  - *Environmental Health & Safety*
  - *HIPAA Privacy Office*
- *Student Life*
- *Business Affairs*
- *Office of the Provost*
- *Information Services*
- *Office of the Registrar*

Findings:
- *There are four intended audiences for all mandatory and activity based trainings at the university: students, student employees, faculty /staff and volunteers.*
- *The current software used for employee training, MyTrack, can't deliver, track or collect data for reports on trainings for students and student employees.*
- *The university currently uses a different platform, Canvas, for delivering course content to students.*
- *There is no central training database or central website for training course content.*
- *The university is financially invested in MyTrack. Due to the level of investment procuring a more robust comprehensive training software program is not feasible at this time.*

Actions / Recommendations

- The Work Group recommended that the university continue to use MyTrack for delivering, tracking, and capturing data on faculty and staff employee trainings.

- The Work Group recommended that the university utilize Canvas to track trainings available to students, student employees and volunteers.

- The Work Group recommended that campus partners create a central website that would direct all audiences to one training portal where anyone can identify their affiliation with the university, and have access to all available trainings based on their affiliation.

Clery Act Compliance Work Group

SERMC charged this Work Group to:
- Review all Clery-related workflows and systems at the university as required by the federal Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act statute
- Document Clery-related workflows and existing systems in written procedures
- Identify potential opportunities to enhance or streamline systems to ease the administrative burden while ensuring compliance with the Clery Act, and
- Review and compare UO's Annual Campus Security and Fire Safety Report to other universities' reports for purposes of assessing how UO presents its data.

Membership:
- *University Communications*
- *Office of the General Counsel*
- *Internal Audit*
- *Fire Marshal*
- *Dean of Students*
- *Student Life*
- *University Housing*
- *Office of Financial Aid*
- *Business Affairs*
- *Safety and Risk Services*
- *Parking and Transportation*
- *UO Police Department*
- *Campus GIS and Mapping*

Findings:
- *The work group reviewed and assessed the following: Clery geographic boundaries, Campus Security Authorities (individuals who by virtue of their university responsibilities and under the Clery Act, are designated to receive and report criminal incidents), crime statistics collection on campus, UO's daily crime log, emergency response practices, and the mandated Annual Campus Security and Fire Safety Report*
- *The current report and process meets the federal requirements.*
- *Opportunities exist to improve upon current practices for efficiency and transparency.*

Actions / Recommendations

- The Work Group recommended that Safety and Risk Services adopt the following: procedures for collecting, classifying, counting and publishing Clery Act data; procedures for fire safety disclosures and the fire list notification process, and a campus crime alert protocol.

- The Clery Act Work Group in conjunction with the University Reporting Channels Work Group, recommended that a campus-wide Maxient program manager be hired to back up the Clery Coordinator.

- The Work Group recommended that the university maintain a list of all Campus Security Authorities and make sure they receive ongoing annual training.

- The Work Group also recommended that Clery Act compliance be included in the Annual Audit Plan conducted by the Office of Internal Audit.

- The Work Group recommended the creation of a central Clery website to provide information and resources to all campus constituencies regarding Clery Act compliance.