Risk Management Steering Committee

MINUTES OF THE MEETING of April 26, 2010
9:30 – 11:00 am, ASB Boardroom 120

Attendees: Gayle Gorrill (Chair), Kristi Simpson, Andrew Coward, Kane Kilbey, Mark Roman, Andrew Cartwright, Katy Mateer, Jim Dunsdon, Melanie Groves, Kane Kilbey, Murray Griffith, Peter Zacour, Richard Piskor, Daphne Donaldson, Ben McAllister, Andrew Rippin, Peter Keller, Rhonda Ljunggren (recorder)

Regrets: Bruce Kilpatrick, Afzal Suleman, Julia Eastman, Don Barnhardt

1. Approval of Agenda

The meeting agenda was approved as circulated, with the addition of a rabbit update from Tom Smith under Business Arising, as requested by Ms. Gorrill.

2. Chair’s Remarks

Ms. Gorrill welcomed the RMSC membership to the committee’s twice-yearly meeting. She thanked Dr. Rippin who is leaving both the RMSC and EOC. Ms. Gorrill worked with Dr. Rippin on the EOC and thanked him for the fantastic job as EOC head during the H1N1 situation. Ms. Gorrill also noted that Mr. Sanderson has retired, and welcomed Mr. Kilbey to his first RMSC meeting.

Ms. Gorrill commented on the recent havoc on campus resulting from unplanned gardening activities in the quad, and complimented the commitment of those involved in quickly pulling together people from a variety of areas, including Student Affairs, FMGT and UCOMM for a good team effort in limiting what could have escalated into a nasty situation.

3. Adoption of minutes of the meeting held October 26, 2009

The minutes of the meeting held October 26, 2009 were approved as circulated, with the following changes:

- Remove Melanie Groves from the regrets list as she was in attendance;
- Remove phrase “threatening to leave” from 4.2
4. Business Arising:

4.1 Strategic Risk Register Review – Mr. Coward

Mr. Coward presented an overview of the oversight and stakeholders regarding medium risks. A summary of high and very high risks was reviewed with the committee that went to the Audit Committee in January. Feedback from the membership is welcome. Mr. Coward noted that some risks become dated quickly and this will provide good reference material for when the risk register is to be updated in the summer.

Mr. Coward summarized the medium risks and noted that these will be updated by those identified at this committee’s October 2009 meeting. Mr. Cartwright noted two potential additions to the medium list (discussion around GRE, and PCI-DSS contractual requirements) and asked when the list would be updated. Mr. Coward responded that he will be sending out emails at the end of June, and will have an operational document by the end of September.

Dr. Keller raised the issue of the impact on research as a result of break-ins and thefts from faculty and research offices as another potential addition to the medium risk register. Ms. Gorrill responded that discussion is needed around securing personal assets and security in buildings that are open to the public 24 hours a day. Mr. Dunsdon responded that building security and room security in residences has resulted in lawsuits filed across Canada. Ms. Gorrill commented that a conversation is needed regarding cultural expectations around where we want to be as a university in terms of individual responsibilities, technology, video surveillance, in the privacy versus security question, and that long range planning is needed. Dr. Keller asked if there could be some sort of communication to let faculty and researchers know that the university is doing something around the theft situation.

4.2 Cell Phone Usage Update – Mr. McAllister

At the October 26/09 meeting, Mr. McAllister was asked by the committee to conduct a consultation around informing drivers of UVic vehicles of the Motor Vehicle Amendment Act 2009 prohibiting the use of cell phones while driving. As a result, a memo was sent out to FMGT, CSEC, CanAssist, Biology, Environmental Studies, and Engineering outlining the amendments to the Act.

Discussion is currently in the preliminary stages with HR.

**Action:** Mr. McAllister will provide an update at the next meeting.

4.5 Rabbit Update – Mr. Smith

Mr. Smith updated the membership on the rabbit issue and stated that he is working with FMGT and Janice Johnson. There is a lot of interest in the community, from every position. The
present goal is to develop long range planning, and establish rabbit control zones and rabbit free zones, with the rabbit population reduced to sustainable numbers. He stated that a partial cull will be required to reduce the population to the target number – from around 1200 to 400 rabbits. FMGT and CSEC are not revealing their timeline for security reasons. External contractors will be employed to do the work. Mr. Smith stated that he has advised the media of a multi-faceted management plan to be ready by the end of June.

Mr. Smith noted that the push now is to assemble evidence supporting the need to proceed, and that this issue will form a heated debate on campus. The mass opinion of the public is to move on and proceed, but a very vocal minority is opposed. Public groups are welcome to come forward and assist by trapping and relocating rabbits.

5. New Business

5.1. Business Continuity Planning Update – Mr. McAllister

Mr. McAllister commented that business continuity planning (BCP) is an opportunity for UVic departments to identify critical business functions, critical assets, staffing needs, back up of data, and computing infrastructure necessary in the case of a disruption to business functions.

The BCP went online last year with 72 plans, and by the end of the capture period had 84 plans online. Software changes are to be completed by July; emails will go out to update plans by August. The goal is to bring more departments onboard. By the fall, Mr. McAllister will be looking for volunteers to test the plan.

Mr. Cartwright questioned which groups/departments are not participating presently, and emphasized the need for faculty and researchers to be aware of ways to back up their research. Mr. McAllister responded that there is a “Back it Up” brochure online which can be sent out to departments, and that USYS can assist departments in this regard.

Mr. Cartwright queried RMSC’s role in this as a committee. Dr. Keller commented that the information should be on the web along with info regarding backing up research. Ms. Gorrill asked if the BCP information is going out to department deans and will include information to distribute to their departments as well as online links.

6. Reports

6.1 Due Diligence Reports

a) Finance

Ms. Gorrill noted that the due diligence reports are included for reasons of accountability. There were no questions from the committee regarding the Finance report.

b) Student Affairs

Mr. Dunsdon noted that the primary liquor licence control officers are himself and Joel Lynn.
c) OHSE

Mr. Piskor noted that the chemical and biological waste disposal figure is correct – 92,840 kg. Mr. Cartwright queried hazardous chemical and biological waste venting into the atmosphere from lab fume hoods, etc. Mr. Piskor responded that while it is presently culturally and morally unacceptable to put chemical/biological waste down the drain or in the garbage, the biggest waste disposal is the “air shed,” and that the next generation/iteration of technology going into new science buildings will result in zero release into the air shed.

7. Informational Reports

7.1 Campus Security Report – Mr. Zacour

Mr. Zacour presented the first portion of the campus security report under Strategic Risk Register review, in response to Dr. Keller’s concerns expressed over the disruption to research endeavors resulting from break-ins/theft of computers and equipment from faculty and research offices. Discussion ensued regarding the seriousness of the risk posed and the potential impact on research.

Mr. Zacour reported that an arrest had been made following a wave of Cornett building break-ins, with a notorious criminal being charged with a variety of offenses, and who remains in custody. Mr. Zacour’s feeling was that in the short-term the immediate risk posed by this individual has been nullified by his arrest and incarceration. According to forensic evidence gathered at the various theft scenes, this individual was responsible for approximately 45 of the last 50 thefts.

Mr. Zacour commented that the student residences have had a better year overall, including the year end. The incidences of vandalism are around the same number as last year, but for whatever reason the resulting damage is significantly decreased. He reported that the illegal use of drugs and alcohol on campus is the same as last year, but that the numbers of false fire alarms from pull stations has increased. This item is high on the priority list, with a proactive approach being taken by Mr. Dunsdon, Mr. Lynn, and the local police and fire departments. Mr. Dunsdon and Mr. Lynn are also credited with introducing significant proactive measures which have helped to control incidents such as the “food fight.”

7.2 Occupational Health, Safety and Environment Report – Mr. Piskor

Mr. Piskor opened his report by expressing his thanks to Mr. Smith and Ms. Gorrill for an exit strategy following the rabbit pilot project.

Mr. Piskor reported a quiet spring in terms of H1N1 on campus, along with an observation of significantly changed behavior in terms of hand-washing, and a cultural shift regarding staying home while sick. He also reported great success working with the AVP advisory group, and will meet with them in May for a final de-brief. A number of universities will be making presentations on the H1N1 issue at CAUBO this year.
Mr. Piskor also noted that he is currently engaged in policy review with Janice Johnson, updating outdated policies, such as the Health & Safety policy from 1979. He commented that the Canadian Standards Association (CSA) has formalized a new standard for Environmental Health & Safety Management System (EHSMS), with other universities across Canada coming on board, including Guelph, Ottawa and SFU. This new system integrates health, safety and environmental best practices into the way universities do business.

Mr. Piskor reported that he is very active and engaged with local safety and residence safety committees. The feeling is that these committees have lost their focus somewhat over the last 10 years and need to be re-engaged again and focus their strengths on what they do well, such as building evacuations, with health and safety issues being shifted to the departmental level. Mr. Piskor stated that he will continue to report back to this committee as this item unfolds. Ms. Gorrill asked if the RMSC was the appropriate committee to act as a sounding board for this. Mr. Piskor replied in the affirmative and stated that he will bring a policy draft back to the October 2010 RMSC meeting. He and Mr. Kilbey are working on issues that HR can help to spearhead.

**Action:** Mr. Piskor will bring a policy draft regarding local safety committees to the October 2010 RMSC meeting.

### 7.3 Emergency Planner Report – Ms. Donaldson

Ms. Donaldson reported that next week (first week of May) is emergency preparedness week, with a variety of promotional events planned. UVic will be utilizing their Facebook site in order to promote this event.

Ms. Donaldson noted that there was a test of the emergency alert system last November, with another scheduled for mid-May. UVic will be leveraging social media (Twitter) in this test.

The EOC will be offering section-specific training in mid-May, with a large exercise scheduled for June. There will be a transition in EOC leadership, with the retirement of Mr. Sanderson, and Mr. Rippin stepping down. Mr. Kilbey has agreed to replace Mr. Sanderson. Others approached regarding the leadership role include Mr. Dunsdon and Dean Sarah Blackstone. The EOC has invited discussion by the RMSC, and discussion ensued around formalizing the process and developing a skills matrix to identify the requisite skills, balance, depth and representation needed for effective functioning of the EOC. Ms. Gorrill asked if a checklist or framework around skill set complement and commitments would be helpful. Ms. Mateer commented that representation from FMGT and CSEC was critical. At the end of the discussion it was decided that the current EOC directors would work to assist in identifying membership needs, and that a recommendation from Ms. Donaldson to the RMSC would be sufficient.

### 7.4 Risk Management Report – Mr. Coward

Mr. Coward gave a brief insurance summary to the membership. Property premiums are increasing due to claims, while liability premiums are staying relatively stable. UVic’s premiums exceeded $1M per year, with the breakdown as follows: 45% property, 36% liability, 9% marine, and 3% auto premiums.
Mr. Coward reviewed the claims history, with 19 property claims totaling around $250K (including a $50K claim for the Cornett flood last year), up from the previous year’s figure of $150K. There have been multiple incidences of theft totaling $24K, and a marine loss of $20K. An investigation is ongoing regarding employee theft at the computer store. There have been eight liability claims to date, including five auto claims (one is rabbit related).

Ms. Gorrill commented that Mr. Coward presented on Risk Management to the Audit Committee for the first time, and that it was very well done and well received. Mr. Coward will do a summary for this group at the next meeting.

**Action:** Mr. Coward will present a summary at the next RMSC meeting.

### 7.5 Internal Audit Report - Mr. Cartwright

Mr. Cartwright reported on Internal Audit issues. IA has been looking at a variety of forms (including BFRFs), processes, and U.S. and Canadian compliance (CFI, NSERC, SSHRC). Fifty percent of research money is coming to UVic through contracts. IA is also looking at the CLASS system for athletics and recreation, KIP expenditures, revenue contracts and “completeness of revenue” regarding disclosure, processes in place and insurance issues. Disclosure around university and personal service contracts and level of compliance is another issue IA is looking at.

Mr. Cartwright also discussed the general protocol developed around employee theft, including termination of employment, seeking of restitution, and a statement of complaint to the police.

Major themes currently being looked at by IA include: supervision or lack thereof and due diligence; communication across the university; and asset management.

Mr. Cartwright closed by informing the membership that there is a “safe disclosure”/whistle blower feature on the IA website, in order for members of the university community to make anonymous observations to IA. This has been in place for 5 years but has previously been a “well kept secret.”

### 7.6 General Counsel Report – Mr. Barnhardt

Ms. Gorrill reported in place of Mr. Barnhardt, who was absent. The General Counsel office is working to develop a contracts database for capture and tracking of university contracts. There will still be other places were contracts are kept separate, including Research and FMGT. The purpose of the database is to understand risks, track termination dates, and make scanned copies. The database will capture all new contracts, but will not be retrospective. Mr. Griffith commented on the importance of such a database, with reference to a recent request from the provincial government to the Finance office, with only two weeks notice. There was simply no way to capture everything without a proper contracts database.

Discussion ensued regarding the different types of review – legal, technical, etc., and a standard contract with clauses for Purchasing.

**There being no further discussion, the meeting was adjourned at 10:55 a.m.**

**Next meeting: October 26th, 2010, ASB Boardroom 120, 10:00 – 11:30 a.m.**