Risk Management Steering Committee

MINUTES OF THE MEETING of October 24, 2016
3:30 – 5:00 pm, ASB Boardroom 120

Attendees: Gayle Gorrill (Chair), Kristi Simpson, Garry Sagert (for Wency Lum), Kane Kilbey, Jim Dunsdon, Andrew Coward, Tom Downie, Kelly Dorin, Ron Proulx, Rob Johns, Murray Griffith, Ben McAllister, Andy Mavretic, Maureen McDonald, Julia Eastman, Rhonda Ljunggren (recorder)

Regrets: Adrian Round, Rachael Scarth, Nancy Wright, Bruce Kilpatrick

1. Approval of Agenda

The meeting agenda was approved as circulated.

2. Chair’s Remarks

Rob Johns offered thanks to Maureen McDonald for her contributions on the occasion of her stepping down from the EOC and RMSC.

3. Adoption of minutes of the meeting held April 26th, 2016

The minutes of the meeting held April 26th, 2016 were approved as circulated.

4. Business Arising:

4.1 Business Continuity Update (B. McAllister)

The committee will recall from a few meetings ago that Internal Audit looked at some of University Systems’ disaster recovery planning and also at business continuity planning. Internal Audit had some recommendations put forward to mature the program, with the primary area of focus being rolling up institutional priorities and identifying interdependencies between departments. A project planning group was assembled and around 40 interviews have been conducted in administrative, academic and ancillary units. These were informational interviews asking the question: what critical functions do you perform in this department, and how long can this function stop for before there is an institutional impact, and what is the nature of that impact?

Data collection is essentially complete and the project is now in the early stages of data analysis. There are approximately 183 administrative/ancillary items on the list with around 100 of them having been identified by the department as having to restart within a week, with varying degrees of impact to the campus.
The data analysis will be reviewed by the planning group prior to being put forward to Integrated Planning and Executive Council, with a final report going to the Board of Governors in 2017. When this is complete, the next step will be to start considering how to best ensure that these priority activities can continue in the event of some kind of disruption.

The committee questioned whether there was any role for the RMSC, and Mr. McAllister responded that a fair number of committee members are participating on the project planning committee.

4.2 Enterprise Risk Management Audit (K. Dorin)

Mr. Dorin advised the committee that the RFP for a contractor to provide a risk management maturity assessment of UVic’s risk management program has been completed, with MNP selected as the successful vendor. MNP is the fifth largest business consultancy firm in Canada, and is the third largest firm in BC. Maggie Kiel will lead the project team on this assignment; she is a partner with MNP and a former risk management partner with Deloitte, where she managed their risk management practice in a number of countries. MNP has established a national post-secondary education centre of excellence and have provided risk management services to 21 Canadian post-secondary institutions, including University of Alberta, Athabasca University, University of Calgary, University of Saskatchewan, University of Manitoba, University of the Fraser Valley, York University and Kwantlen.

MNP’s approach is based on the ISO 31000 risk management framework and their assessment will focus on eight specific areas:

1. Do senior management support and promote risk management?
2. Has the organization defined its risk appetite and its risk tolerances?
3. Are there clear risk strategy and risk policies?
4. Are people equipped and supported to manage risk well?
5. Is there a framework and tools in place to support the effective implementation of risk management?
6. Do UVic processes incorporate effective risk management?
7. Are risks being monitored and reported on effectively?
8. Are risks being managed effectively and does risk management contribute to achieving outcomes?

The assessment will include a maturity rating in each of these areas and also include a desired risk maturity level based on a 5 level maturity scale:

- Level 1 – Awareness and understanding – the lowest level of maturity
- Level 2 – Implementation planned and in progress.
- Level 3 – Implemented in all key area.
- Level 4 – Embedded & improving.
- Level 5 – Excellent capability established – The highest level of maturity
The Risk Assessment Maturity Report will include an Executive Summary, and a current state assessment, including recommendations for improvement, in each of the risk management areas mentioned above.

Benchmark ratings will be provided on how our maturity ratings compare to other post-secondary institutions that MNP have assessed, and how UVic compares to ratings of the average of all risk management assessments that they have completed.

Timing:
1. Phase 1 Project Planning will begin in early November
   - Kick off meeting & detailed work plan.
2. Phase 2 – ERM Fieldwork – late Nov to Jan
   - Interviews
   - Maturity and capability assessment
   - Identifying opportunities for improvement
   - Assessment of current & desired future state.
3. Review & Reporting – Jan – March

The results of this audit will be presented to the Board Audit Committee in May, and should come to the April RMSC meeting.

4.3 International Risk Management Policy

Mr. McAllister advised the committee that the international risk management policy has been re-drafted, along with procedures, and the new draft policy adds tools and formality. This is now a cross-institutional project, headed up by Nancy Wright/VPAC. Things should start moving forward on this in the next couple of months.

5. New Business


Mr. Coward reviewed the annual process for updating the university strategic risk register for the committee: meetings with Deans and department heads over the summer, followed by a meeting of the AVPs, who:

- Review the risk register, discuss each risk/risk mitigation strategy to determine if the ratings are still appropriate given the current environment; review whether the previously assigned risk owners are still appropriate; consider new risks for inclusion if needed, as well as identifying current/future mitigation strategies; and consider the downgrading of any current medium risks, or removal from the register.

At the October meeting, the RMSC reviews the risks rated as “medium,” to ensure the ratings, risks trends and risk mitigation owners are appropriate. These owners are then responsible for bringing detailed summaries of the respective risks to the April meeting of the RMSC. Mr. Coward also noted that the high and very high risks will first go to Integrated Planning to be ranked.
Mr. Coward led a review of the medium risks with the committee. There were no additions to the medium risk register. Mr. Coward will connect with risk owners in March for any updates.

5.2 Emergency Planning Update (R. Johns)

Mr. Johns updated the committee on the following emergency planning initiatives:

- Great BC Shakeout: there was widespread participation on campus from faculty, staff and students. Over 9000 views of the shakeout video took place across social media platforms.
- Emergency alerts – in conjunction with the shakeout, over 11,000 emergency text messages and 30,000 emergency emails were sent out.
- EOC – goal of two exercises per year; fall exercise coming up with three different opportunities to participate. There are plans to do an exercise with the executive in January and a Board presentation in November.
- Critical Issue Response Protocol for Executive – document will be circulated to the committee.
- Fire drills – emergency planning is also now responsible for fire drills and fire safety in campus buildings. To date, 83 drills have been conducted, with 10 to go.
- Active shooter video – Purchased video from University of Alberta and have put a Uvic introduction at the front of it. This video should be ready for distribution in January 2017.

5.3 Hiking Accident October 2015 (B. McAllister)

At the October 2015 meeting there was a brief mention regarding a student who passed away from a fall in Strathcona Park during a Uvic Athletics Club hiking activity. At the time there was a significant response to support the hike participants and the student’s family.

Over the last year, there have been several meetings between the coroner, Mr. McAllister, Vikes Athletics and Campus Security to understand the processes and procedures that Vikes has in place when reviewing and approving trips. A number of students were met with as well, looking for opportunities to improve the university’s processes. The coroner’s report is expected to be released late this year or early in the new year.

Based on conversations with the coroner and students, some themes have been identified:

- Empowerment for club participants to speak up if they are uncomfortable
- Empowerment to club leaders to ensure participants are properly equipped and competent – and to turn them away if not
- Vikes already had robust processes in place but have now moved to a model where collective planning is employed opposed to “single leaders.”
6. Reports

6.1 Due Diligence Reports

- FMGT (R. Proulx)

Mr. Proulx noted that some equipment has been upgraded but there are no substantial changes to the report.

Roundtable:

- Mr. Mavretic noted that bullying/harassment material will be pushed out by the end of November.
- Ms. Gorrill offered kudos to Mr. McAllister for being recognized for his contribution to CURIE.
- Mr. Dunsdon re sexualized violence project: commented on risk of mental health issues on campus.

There being no further discussion, the meeting was adjourned at 4:50 pm.

Next meeting: April 25th, 2016 - ASB Boardroom 120, 2:30 – 4:00 pm