



UNIVERSITY  
*of* ALASKA

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*Many Traditions One Alaska*

# **Risk Management Report**

April 11, 2017



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## **Team Charge, Scope and Goal, Members and Stakeholders**

### **Charge**

Develop and review options for organizational restructuring including but not limited to further decentralization, consolidation at one campus, or consolidation at SW of functions that support improvements in service and cost effectiveness through outsourcing, automation, intercampus collaboration, process standardization, and other means TBD by the team.

### **Scope**

All Risk Management functions.

### **Goal**

Optimize resources and align with UA priorities.

### **Team Members**

- ▶ Sheri Billiot
- ▶ Tim Edwards
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## Key Stakeholders

- ▶ Students/ student employees
- ▶ Faculty
- ▶ Staff
- ▶ Executive leadership
- ▶ Community
- ▶ Employers and industries that hire students
- ▶ Parents and family members
- ▶ Programs providing services to minors
- ▶ Alumni
- ▶ Legislators
- ▶ Visitors
- ▶ Outside researchers
- ▶ Potential students
- ▶ K-12
- ▶ Hospitals
- ▶ Internship programs
- ▶ Insurance carriers
- ▶ State of Alaska- Risk Management (joint coverage)
- ▶ Other in-state risk association
- ▶ Tribal organizations
- ▶ Military
- ▶ ADA accessibility
- ▶ Media
- ▶ Facilities (on and off campus) - Rentals and events
- ▶ IT
- ▶ Industries (Collaboration with private sector)
- ▶ Federal and state agencies - OSHA, BLM, NPS, AFS, NOAA, USFS, ADEC, AKDNR, AKOSHA etc.
- ▶ Funding agencies

## Process Overview

The Risk Management Team is one of seven teams in Phase 3 of Strategic Pathways. Phase 3 began in January. During our first meeting, Session 1, which was in person, there was a thorough orientation to the overall effort, and the charge, scope, and goal were refined. Most teams also identified the first iteration of potential options.

In the weeks between Session 1 and the second meeting, Session 2, the Risk Management Team continued to define the options with weekly teleconferences and virtual collaboration. The pros and cons for each option were developed in Session 2 in February. Since then, the Risk Management Team refined the options, opportunities, pros and cons. This report serves as the main source of information for the presentation to the Summit Team on April 11<sup>th</sup>.

During the process, Statewide administration confirmed that our Risk Management discussion should not include police and fire department functions. We also decided that Title IX was outside of our purview.

One item that is critical to the success of any of the proposed options is a change in reporting structure. The team believed it to be integral that Statewide Risk Management report directly to the president and that each of the campus risk departments report directly to the Chancellor. Risk has the potential of affecting the bottom line for each of the campuses and the university as a whole. The change in reporting structure will ensure that issues that are of strategic or high concern will be reported to the top without filters or interpretation providing the ability for top management to see and understand the risks. This helps support leadership make efficient and well-informed decisions in high-stakes areas.

At our second in-person meeting we spent considerable time learning about the current risk functions and discussed reporting chains (see attached org charts). During our discussion, it was clear that the scope of risk functions is complex and encompasses several areas (see attached Areas of Practice). The areas discussed in the bullets below provide examples that are pertinent in understanding the breadth and depth of the risk management responsibilities

- ▶ Although the number of claims has decreased, the claim handling requirements (e.g. state reporting changes, bill coding, fee schedule updates) are increasing, as are the cost of claims, especially workers' compensation.
- ▶ Complexity of insurance is increasing. Prior to the year 2000, UA had 19 lines of insurance coverage outside of its self-insurance, we now have 29 lines that include cyber liability, drones, and Sikuliaq.

## *Process Overview continued*

- ▶ There are 157 urban and remote campuses, research facilities, and property locations across university system.
  - UAS has 15 sites that include campuses in Juneau, Sitka and Ketchikan. UAS serves approximately 250 minors annually in UAS and non-UAS sponsored activities.
  - UAF has 111 sites that include three campuses in Fairbanks, four rural campuses, 10 College of Rural and Community Development (CRCD) learning centers in various rural communities, seven research sites across Alaska, and 14 Cooperative Extension sites. In addition, UAF Cooperative Extension manages the 4-H program for the entire state of Alaska serving approximately 15,000 minors annually using volunteers and paid personnel.
  - UAA has 29 sites that include campuses at Juneau, Sitka, and Ketchikan.
- ▶ Some risk departments have sustained staffing reductions since 2011 with no reduction in workload. UA Statewide Risk personnel have been reduced 28% and UAF is currently at a 36% reduction.
- ▶ Demographics of risk coverage
  - Responsibility for coverage for \$4 billion in building values, vehicle fleet of over 800, and special risks such as aircraft, vessels, and equipment.
  - Safety, health and security of approximately 8,000 employees system-wide
  - Agencies with regulations and compliance requirements: Alaska Department of Labor Workers' Compensation Division, Alaska Division of Insurance, Alaska Department of Environmental Conservation; Environmental Protection Agency; Nuclear Regulatory Commission; Occupational Safety and Health Administration (OSHA); AK Department of Natural Resources; AK Fish and Game; UA Fish and Wildlife; Corps of Engineers; AK OSHA; US Geological Survey, Alaska Railroad.
  - Environmental Permits: 11 permits across the university with one air quality permit has approximately 500 compliance conditions.
  - Environmental Plans: 2 stormwater plans, 19 spill prevention, compliance, and countermeasure plans requiring monthly inspection of 134 tanks containing over 390,000 gallons of oil
  - Contaminated sites: 10 open sites 3 sites closed with institutional controls
  - Hazardous and Regulated Waste: Over 87,000 pounds of waste disposed of annually
  - Hearing protection program: 108 employees
  - Respiratory protection program: 129 employees and 27 students
  - Total cost in FY2016 of risk management per \$1,000 of operational expense: \$8.50

## **Option 1 – Process Improvement Across the University System in Risk Management**

### **Narrative Description**

A complete, holistic evaluation of all Risk Management functions at all campuses with the end product being a recreation of the Risk Management structure and mission. The option needs to be facilitated by third parties that involve content and process experts. The process should have heavy involvement from front line leadership.

### **Key Change Elements**

The intent of the is option is that it would include the defining of the key change elements. The team does intend that this option will generate great change in the elements listed below if this option is moved forward. The team also discussed that for any of the following options to move forward in any strategic manner process improvement will need to part of that option. We expect this option to promote change not only in Risk Management but throughout the campuses.

- ▶ Program/Offering Changes
- ▶ Staffing Changes
- ▶ Use of Facilities/Technology
- ▶ Access for Students
- ▶ Administration
- ▶ Front-End Investment
- ▶ Community (external) Engagement
- ▶ Access for Faculty and Staff



*Option 1 continued – Process Improvement Across the University System in Risk Management*

**Pros and Cons**

**Pros**

- ▶ Prospect for future savings through system improvement, efficiency, and eliminated functions
- ▶ Strengthen relationships between Risk and stakeholders
- ▶ Better able to address the complexity
- ▶ Potential reduction workload
- ▶ Collaboration among 4 university units
- ▶ May require Board of Regents regulation changes
- ▶ Will address the mission of Risk Management
- ▶ Allows for evaluation of function placement

**Cons**

- ▶ Will take investment of time, money, and staff
- ▶ May be lengthy implementation
- ▶ May require board regulation changes
- ▶ ROI is not immediate

**Further Analysis Needed**

- ▶ Could this be implemented with other options?
- ▶ What Board of Regents' policy and regulations would need to change?
- ▶ Will there be adequate resources and executive support to be successful?

## Option 2 – Consolidation at One Campus/Statewide

### Narrative Description

Currently, risk management functions are performed separately at each MAU with the exceptions of claims and insurance which are performed at Statewide. General oversight is provided by Statewide Risk Services. This option proposes to move all risk management functions either to one campus or to statewide under a single, consolidated organization.

### Key Change Elements

- ▶ Program/Offering Changes
  - Programs would merge to be one entity creating a change in reporting structure which would create a direct line from President to Risk
- ▶ Staffing Changes
  - Could include significant staffing reductions and/or relocation, as well as outsourcing some current functions, staff will need to be located at Universities to provide direct support
- ▶ Use of Facilities/Technology
  - Increased reliance on automated Risk Management. tools (e.g. Origami) and on distance-delivered trainings, and meetings
  - Some office space requirements at central location and increased reliance on facilities services
  - Access for Students
- ▶ Administration
  - Standardize the reporting of emergency and risk information in order to ensure the timely and consistent notification of executive leadership
- ▶ Front-End Investment
  - Office reconfigurations, relocation costs, moving travel budget to Risk Management. to handle on-site coordination across MAUs
- ▶ Community (external) Engagement
  - Potential for increased reliance on city, state, and federal agencies for risk management functions
- ▶ Access for Faculty and Staff
  - Diminished access to safety and risk management personnel at campuses without centralized service

## *Option 2 continued – Consolidation at One Campus/Statewide*

### **Pros and Cons**

#### **Pros**

- ▶ Increased consistency between MAUs
- ▶ One voice on policy, procedures, forms, etc.
- ▶ Elevation of common needs between 3 universities
- ▶ Reduction of staff, which will lead to reduction of costs
- ▶ Centralized logistics
- ▶ Purchasing power
- ▶ Conforms to the legislative intent
- ▶ Opportunity for personal touch for departments and individual staff at campuses would be increased if routine functions were removed

#### **Cons**

- ▶ Culture of safety at the campuses would be diminished, programs to support safety at the sites could be lost
- ▶ Reduction of staff may lessen on-site support students, researchers, staff, and faculty
- ▶ Increased travel costs
- ▶ Increased response time to individual instances
- ▶ Risk appetite at each campus will not be recognized
- ▶ Regulators would not have on-site contacts which could result in fines
- ▶ Research could lose on-site support
- ▶ Funding by campuses for staffing would result in loss of ownership of programs by vice chancellors
- ▶ Personal touch for departments and individual staff at campuses would be lost
- ▶ Lead campus or Statewide would need to be experts in diverse needs of each campus
- ▶ Hazardous waste disposal and management would be by contract and limited
- ▶ On-site support for insurance inspection could be limited or costly
- ▶ Increased contracting management

### **Further Analysis Needed**

- ▶ Does a centralized campus affect our insurability? Costs?
- ▶ How will this impact research funding?
- ▶ How does this impact rural campuses?
- ▶ Do the communities have capacity for university outsourcing needs?

## Option 3 – Single Functional Experts to Support Whole System

### Narrative Description

Identify an expert in each functional area (experts may be housed in different universities). Use categories of diverse functions (Environmental, Safety, Industrial Hygiene, Insurance, Claims, Risk, Business Continuity, and Emergency Management). This option supports expertise sharing, for example; UAF may have the functional expert in Environmental, UAA Emergency Management, UAS Safety, UA Statewide Business Continuity.

### Key Change Elements

- ▶ Program/Offering Changes
  - No changes
- ▶ Staffing Changes
  - No increase or reduction in staff needed. Possible reduction of emergency manager at Statewide
- ▶ Use of Facilities/Technology
  - Potential additional software for compliance database for environmental requirements; tracking software for requirements under the hearing and respiratory protection programs; certificate of insurance and waiver database
- ▶ Access for Students
  - No changes
- ▶ Administration
  - Less training investment footprint for staff, more specialized for individuals
  - Direct reports to chancellors except for functions located at Statewide (insurance & claims)
- ▶ Front-End Investment
  - Advanced training investment (all five functions)
  - Software as described in “Use of Facilities/Technology” bullet
- ▶ Community (external) Engagement
  - Opportunities for local specialized training, consultations, and exercises with community partners
- ▶ Access for Faculty and Staff
  - Team of University Experts

## *Option 3 continued – Single Functional Experts to Support Whole System*

### **Pros and Cons**

#### **Pros**

- ▶ Increases consistency between programs
- ▶ Valuable use of expertise across campus
- ▶ Increases collaboration
- ▶ Provides expertise when there may have been none or little
- ▶ Eliminates redundancies
- ▶ Reduces funding with one dedicated SME (subject matter expert)
- ▶ Having an on-call SME
- ▶ Positive impact on compliance having one expert
- ▶ Creates a career path and supports succession planning
- ▶ Provides support across campuses
- ▶ Requires each person to carry less expertise in every area
- ▶ Cost savings in training
- ▶ Cost reductions would be seen in the management of data and requirements

#### **Cons**

- ▶ One person having the expertise may not provide any backups for the programs should they be not available or leave the system
- ▶ Potential for competing priorities
- ▶ Potential issues with perception and perceived preferences
- ▶ Requires single person to have understanding of each campus
- ▶ Not a good opportunity for overall cost reduction
- ▶ Option is in jeopardy without communication and agreement at senior leadership level
- ▶ Requires that the person who is the expert would share everything and be available
- ▶ Matrix reporting is utilized causing potential issues

### **Further Analysis Needed**

- ▶ How would reporting work?
- ▶ With experts in each functional area, would we need Statewide Health, Safety and Environment (HSE) director?
- ▶ What are the measures for success for this option?
- ▶ How will the expert be chosen and will there be compensation for that expertise?

## Option 4 – Centralized Strategic Issues, Decentralize Operations

### Narrative Description

Strategic issues would be standardized for policy, procedure, software programs, and centralized documentation would be managed by Statewide. Operations would be decentralized for face-to-face services or when on-site interaction is required. This option is most like the current setup. This would include a change in reporting structure that would support campus reporting directly to the chancellor. Does not require colocation.

### Key Change Elements

- ▶ Program/Offering Changes
  - STRATEGIC
    - Use of centralized software programs for various standard forms (waivers, insurance) would require online access
    - Centralized documentation would allow access to faculty, staff, and administration
- ▶ Staffing Changes
  - STRATEGIC
    - Potential for centralized software programs could free up time for staff
  - OPERATIONS
    - Continues to support campus personnel to manage immediate response to incidents, regulator site visits, spills, support, compliance, safety issues and continues to provide a personal touch with real people on-site
- ▶ Use of Facilities/Technology
  - STRATEGIC
    - Centralized software, data collection, and reporting allows sharing throughout the UA system
    - Centralized documents on policy and procedures would allow review, comparison, and ability to use already adopted documents for creation of campus requirements
- ▶ Access for Students
  - n/a
- ▶ Administration
  - Remove paper from the system with centralized software and online access
  - Allow access to campus administrators regarding students engaged in activities/classes requiring insurance or waivers
- ▶ Front-End Investment
  - Costs of software and training; maybe economies of scale
  - Staff time to determine which areas need to be addressed by software, review of software options and training to utilize the systems
- ▶ Community (external) Engagement
  - n/a

## *Option 4 continued – Centralized Strategic Issues, Decentralize Operations*

- ▶ Access for Faculty and Staff
  - No change

### **Pros and Cons**

#### **Pros**

- ▶ Standardizes unified strategic issues for the University, allows MAUs to receive guidance then continue with specific concerns based on needs
- ▶ Allows campus Risk Management staff to connect with individual users - face with a name
- ▶ This is a realistic approach to the diverse functions within Risk Management
- ▶ Provides immediate support to campus specific issues
- ▶ Cost savings through economies of scale
- ▶ Aligns with national best practices and industry standards
- ▶ Allows for improved response time to incidents by senior leadership
- ▶ Standardizes communication when done appropriately

#### **Cons**

- ▶ Very similar to the status quo
- ▶ Continued campus costs associated with supporting additional Statewide functions
- ▶ Potential for direction from Statewide that disagrees with campus administration
- ▶ May result in personnel movement from one site to another, for example claim and insurance
- ▶ Matrix reporting is utilized causing potential issues

### **Further Analysis Needed**

- ▶ What will process be to reassess and realign functions ongoing between Statewide and campuses as changes are made?
- ▶ How would targets or goals be developed to reduce errors and increase efficiencies?

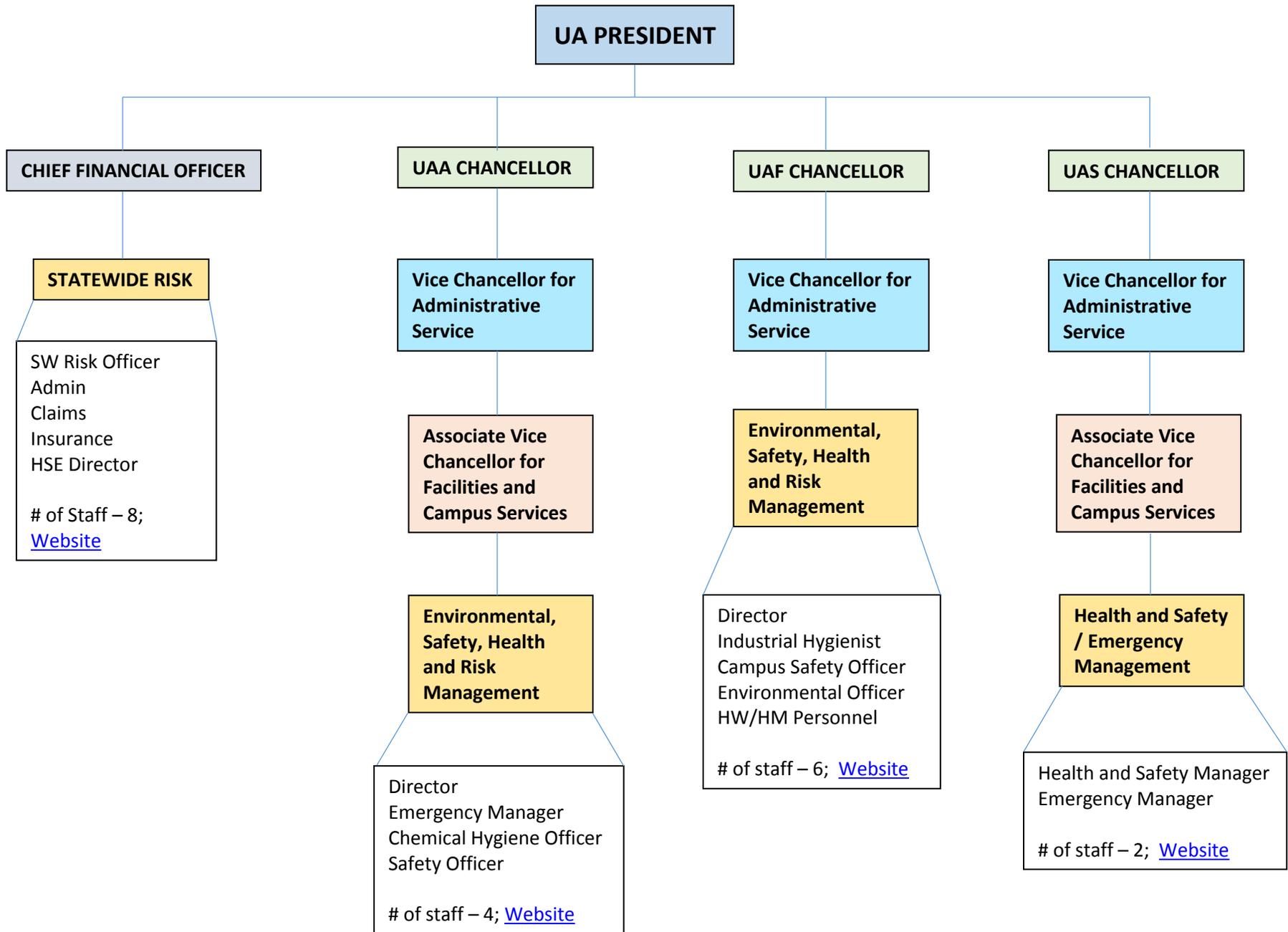
## Other Opportunities for Change

- ▶ All System Risk Council: Formalized Workgroup (council) that helps to gather data and create action involving overarching risk issues. Creation of strategic operational risk team (Finance, Facilities, and Risk). They would exercise group purchasing, establish priorities, and identify opportunities to standardize practices.
- ▶ Process improvement across the university system of Risk Management: A holistic look at all functions in risk management.
- ▶ Standardized field research guidelines for UA system.
- ▶ Risk Claims Unit: provide claim reviews to senior management at the universities to understand cost and impact.
- ▶ Consolidating programs/databases that are statewide.
  - Compliance database
  - Safety survey
  - Electronic waivers
  - COI database
- ▶ Master hazard abatement priority program: System to support covering hazards that weren't able to be funded by individual MAUs.
- ▶ Business continuity plan: if it hasn't already been completed, finalize the emergency disaster recovery system for the Banner Database at the off-site Oregon facility. OIT has taken the lead and are key players.
- ▶ Utilize cameras for infrastructure inspection in remote campuses.
- ▶ Increase website support.



## **Addendum**

- ▶ Risk Management Organizational Chart
- ▶ Risk Management Division of Responsibilities
- ▶ Risk Management Areas of Practice





## Risk Services Division of Responsibility Between System Office and Campuses

Formalized by President Gamble and Chancellors Case, Pugh, and Rogers September, 2011

<b>Health, Safety, and Environmental Management</b>	
<b>Campuses</b>	<b>System Office</b>
<ul style="list-style-type: none"> <li>• Administer, manage and direct campus compliance programs for federal, state environmental, health and safety regulations.</li> <li>• Provide or arrange environmental and occupational safety training for employees and students.</li> <li>• Monitor, disseminate, and implement new and changing regulatory requirements as they specifically pertain to campus operations.</li> <li>• Conduct assessments of new programs, operations, or facilities to identify exposures, applicable regulatory requirements, training needs, infrastructure needs (ventilation, etc.).</li> <li>• Provide routine work site, classroom, lab, project area, and premise inspections and evaluate for hazards and adherence to applicable federal, state, and university requirements as well as generally accepted safe work practices.</li> <li>• Ensure proper licenses, permits, and other permissions required by law and/or internal procedures are secured well in advance of the commencement of a project. (This not only includes requirements in research areas, but capital improvement and facility renovations.)</li> <li>• Serve as the point of contact to federal, state and local regulatory authorities to protect the campus interest in assigned areas.</li> <li>• Serve on local emergency planning committee to assure campus representation.</li> <li>• Manage campus Loss Prevention and cost containment programs.</li> <li>• Analyze and interpret Loss Reports for campus and determine opportunities for Loss Prevention Program development. Track outcomes and publish results to campus community.</li> <li>• Negotiate regulatory citation settlements.</li> </ul>	<ul style="list-style-type: none"> <li>• Provide leadership and guidance with the development and implementation of safety and environmental standards at the University of Alaska</li> <li>• Develop and conduct annual compliance reviews with campuses (one per MAU per year).</li> <li>• Maintain centralized database for collection and reporting of incidents and recordable injuries.</li> <li>• Monitor and disseminate new and changing regulatory requirements as they specifically pertain to UA's operations.</li> <li>• Act as a resource, consultant and/or investigator for the legal office.</li> <li>• Assist in the development of standard contract language to minimize UA's liability for contractor actions in regards to health and safety and environment.</li> <li>• Analyze and interpret Loss Reports for each of the MAUs and determine opportunities for Loss Prevention Program development.</li> <li>• Assist the MAUs in regulatory enforcement matters</li> <li>• Provide environmental expertise for UA Land Management transactions</li> <li>• Compile and produce required annual reports to regulatory authorities.</li> <li>• Provide regular reports to executive staff and annual report to the Board of Regents.</li> </ul>



## Risk Services Division of Responsibility Between System Office and Campuses

Formalized by President Gamble and Chancellors Case, Pugh, and Rogers September, 2011

<b>Emergency Management</b>	
<b>Campuses</b>	<b>System Office</b>
<ul style="list-style-type: none"> <li>• Maintain sound Emergency Management Programs (EMP) at each campus and SW, to include extended campuses. EMP will include the following components to help build an ongoing systematic approach to public safety for our students, staff, and facilities:               <ul style="list-style-type: none"> <li>○ Adopt and use Incident Command System (ICS)</li> <li>○ Community collaborated preparedness-capability based planning</li> <li>○ Establish Campus Incident Management Teams (IMT)</li> <li>○ Establish SW Communication capability, plans, and protocols</li> <li>○ Implement Campus Community Emergency Response Team (CCERT) program</li> <li>○ Establish and maintain effective Exercise Program to validate EMP</li> </ul> </li> <li>• Local EMP advocate (leadership buy-in and support)               <ul style="list-style-type: none"> <li>○ Establish EMP organizational structure</li> <li>○ Establish EMP as stakeholder within community (Local Emergency Preparedness Committee)</li> <li>○ Identify IMT personnel and roles/responsibilities</li> </ul> </li> <li>• Conduct ongoing EMP risk assessment, gap analysis, identify and manage preparedness capabilities (more importantly - deficiencies).</li> <li>• Train campus leadership and IMT to required ICS level</li> <li>• Incorporate new EMP culture into FY, CY, and AY goals/objectives</li> <li>• Provide training to employees and students on disaster response and recovery.</li> <li>• Develop emergency operations plans for each campus location.</li> <li>• Facilitate regular drills and exercises.</li> <li>• Facilitate business/academic continuity of operations plan development.</li> </ul>	<ul style="list-style-type: none"> <li>• Manage SW Incident Management Team: Serve as Deputy IC to President and Policy Group</li> <li>• Maintain and manage standardized system-wide policies and procedures developed in conjunction with Dept of Education and other applicable Federal standards</li> <li>• Monitor and disseminate new and changing regulatory requirements as they specifically pertain to UA's operations system wide.</li> <li>• Act as a resource and consultant to strengthen any EMP component and other potential preparedness initiative area for system wide issues.</li> <li>• Participate in development of annual exercise program (one per MAU per year) and serve as exercise controller/evaluator. Serve as the point of contact to federal, state and local preparedness stakeholders to maintain readiness level for UA's public safety interests for system-wide issues.</li> <li>• Assist the MAUs in regulatory enforcement matters</li> <li>• Fiscal Management of SW EMP operating budget as to prioritize fiscal needs to maximize impact on UA System</li> <li>• Facilitate and maintain centralized alert notification system.</li> <li>• Assist with the compilation and production of required annual reports to regulatory authorities.</li> <li>• Provide regular reports to executive staff and annual report to the Board of Regents.</li> </ul>



## Risk Services Division of Responsibility Between System Office and Campuses

Formalized by President Gamble and Chancellors Case, Pugh, and Rogers September, 2011

<b>Risk Management &amp; Insurance</b>	
<b>Campuses</b>	<b>System Office</b>
<ul style="list-style-type: none"> <li>• Conduct regular risk analyses for campus operations and programs. Some of the areas where university risk management efforts are typically focused include academic program reviews, employee/student/public health and safety, premises use by outside entities, university sponsored clubs/events/activities, sports and sports related activities, contracts and agreements, transportation issues (owned/leased vehicles), off premises risk issues (field research, field trips, outdoor adventure programs, practicum, internships, foreign travel, study abroad, and community outreach programs), emergency response and disaster planning, business continuity, insurance programs, claims programs, litigation management, and loss prevention programs.</li> <li>• Provide contract review to ensure compliance with established requirements.</li> <li>• Provide info to SW on new operations or programs that may affect existing insurance programs or require development of new insurance programs.</li> <li>• Disseminate risk management, insurance, policies, procedures, and other info to campus community.</li> <li>• Provide underwriting info to SW for insurance procurement.</li> <li>• Communicate scope, cost, exclusions of insurance to programs to campus officials to enable improved decision making and strategic planning.</li> </ul>	<ul style="list-style-type: none"> <li>• Establish guidelines and standards for campuses.</li> <li>• Assist in development of and on-going efforts for Enterprise Risk Management</li> <li>• Serve as a resource/consultant to campuses for risk management issues. Research, develop, and implement new insurance programs as campus needs arise.</li> <li>• Participate with the State of Alaska in joint broker selection and insurance placement.</li> <li>• Procure Insurance</li> <li>• Establish insurance requirements for system operations.</li> <li>• Develop and allocate cost of risk to MAUs</li> <li>• Communicate scope, cost, exclusions of insurance programs to University officials to enable improved decision making and strategic planning.</li> <li>• Monitor and respond programmatically to industry trends and legal developments.</li> <li>• Comply with state self-insurance requirements.</li> <li>• Ensure compliance with mandatory reporting to state and federal agencies and prompt reporting to brokers and excess insurance carriers.</li> <li>• Design and develop reports on losses/costs, show trends, produce cost allocations, and benchmark with other entities.</li> <li>• Provide regular reports to executive staff and annual report to the Board of Regents.</li> </ul>



## Risk Services Division of Responsibility Between System Office and Campuses

Formalized by President Gamble and Chancellors Case, Pugh, and Rogers September, 2011

<b>Claims</b>	
<b>Campuses</b>	<b>System Office</b>
<ul style="list-style-type: none"> <li>• Ensure all incidents and claims are reported in a timely manner to SW.</li> <li>• Investigate accidents involving employee injury for work safety issues (versus liability or compensability).</li> <li>• Upon request of claims adjusters, investigate other incidents involving the students or the community that arise out of potential safety deficiencies.</li> <li>• Provide MAU/campus support (administrative and human resources) for the UA Return to Work Program (modified duty).</li> </ul>	<ul style="list-style-type: none"> <li>• Structure and manage in-house claims program (Claims program consists of all liability, workers' compensation, auto, aviation, marine, and property claims system-wide.)</li> <li>• Claims investigation and determination of liability</li> <li>• Claims negotiation and settlement</li> <li>• Work closely with legal counsel on litigation cases managed by that office, but funded by Risk Management.</li> <li>• Provide regular and special reporting to Director, MAU's, brokers, &amp; excess insurance carriers.</li> <li>• Ensure accurate production of required reports to Department of Labor.</li> <li>• Provide accurate claims data base for underwriting, reporting, and financial purposes.</li> <li>• Develop &amp; establish process for interaction with and training of departments as regards various benefits due injured employees.</li> <li>• Establish &amp; maintain communications network within UA system for prompt efficient claims management.</li> <li>• Monitor legal &amp; insurance environment at national &amp; state level for developments affecting claims program.</li> <li>• Assess operations, identify program criteria, improvements, &amp; enhancements and develop &amp; recommend appropriate approach to management of claims.</li> <li>• Work with campuses on modified duty return to work program.</li> </ul>

<b>Claims (Lead: SW)</b>
2 adjustors and claims assistant
Type of Claims: <ul style="list-style-type: none"> <li>▪ Auto liability</li> <li>▪ Auto Physical Damage</li> <li>▪ Aviation Hull</li> <li>▪ Boiler and Machinery</li> <li>▪ General Liability</li> <li>▪ Management Liability</li> <li>▪ Professional Liability</li> <li>▪ Property</li> <li>▪ Workers Compensation</li> </ul>
Provides review, adjustment and settlement of all incidents/claims
Reporting to outside agencies
Represent UA w/insurance carriers, adjusters, and outside counsel.
Largest number of claims: workers' compensation (WC)
50% of time spent on WC
Works with DA to obtain restitution
<b>Emergency Management (Lead: Campus)</b>
Develops emergency action plans for all building and critical systems
Protects research, large animals, equipment, people and facilities
Conducts exercise planning workshops <ul style="list-style-type: none"> <li>▪ bimonthly table top</li> <li>▪ Annually a functional analysis</li> </ul>

<ul style="list-style-type: none"> <li>▪ biennial full scale exercise</li> </ul>
Provides training - CPR, ICS, CERT (Citizen Responder)
<b>Environmental Compliance (Lead: Campus)</b>
All media areas: Water, Air, Land
Water areas responsibility <ul style="list-style-type: none"> <li>▪ Drinking Water reporting, public notices, certifications, annual consumer report</li> <li>▪ Stormwater – permit compliance, non-compliance and annual reporting, inspections and sampling, community education and outreach, management of snow and ice materials laydown (gravel, salts)</li> <li>▪ Oil Spill Plans – tanks inspections, spill reporting and response (UA and contractors), plan updates and reviews</li> <li>▪ Wastewater – contained water discharge, industrial wastewater permitting compliance and sampling</li> <li>▪ Well – drinking water/ underground injection control wells</li> <li>▪ Wetlands – permitting</li> </ul>
Air quality (AQ) areas of responsibility <ul style="list-style-type: none"> <li>▪ Applicability studies on campus emission units (stationary air</li> <li>▪ Permitting new stationary emission sources (i.e. boilers, generators, furnaces, rock/coal crushers)</li> </ul>

<ul style="list-style-type: none"> <li>▪ Compliance monitoring and recordkeeping (daily)</li> <li>▪ Reporting                             <ul style="list-style-type: none"> <li>○ non-compliance w/permit conditions (emission exceedances or permit deviations)</li> <li>○ Semi-annual facility operating reports, EPA regulations</li> <li>○ Annual greenhouse gas and compliance certifications</li> </ul> </li> <li>▪ Permit renewals</li> </ul>
Land areas of responsibility <ul style="list-style-type: none"> <li>▪ Contaminated sites cleanup, monitoring plans, closure and closure with institutional controls</li> <li>▪ Solid waste disposal or beneficial use sites – permitting</li> </ul>
Visible Emissions certifications every 6 months
Notices of Violation – work with owner to determine fix to violation, report to agency
Compliance Orders by Consent – negotiate terms and fines with regulators; handle compliance with consent order
Settlement agreements – negotiation terms and fines with regulators, propose potential projects in-lieu of fines, manage settlement terms
Regulatory inspections – campus representative; coordinator for up the chain information

<b>Hazardous/Regulated Waste (Lead: campus)</b>
Manage 90 day facility including weekly inspections, waste consolidation, and materials purchases
Hazardous waste pickups from all campus sites including labs and facilities services
Manage medical waste collection
Waste pickups required by regulation every 90 days <ul style="list-style-type: none"> <li>▪ Requires accurate preparation of a disposal record (manifest)</li> <li>▪ Preparation of all waste for pick-up by the contractor</li> </ul>
Biennial inspections by regulator <ul style="list-style-type: none"> <li>▪ Information requests after inspection</li> <li>▪ Resolution of any non-compliance items</li> <li>▪ Due to detailed nature of regulations, easy to receive a notice of violations</li> </ul>
Reporting <ul style="list-style-type: none"> <li>▪ Biennial Waste Report to EPA</li> <li>▪ EPCRA Tier II reporting annually</li> </ul>
Lamp Management (universal waste) Lamps need to be specifically packaged to be accepted, no broken or crushed lamps – time consuming process
Annual certification to manage HW
Inspections of satellite accumulation points to address compliance

<b>Hazardous Materials (HM) (Lead: Campus)</b>
Management of HM inventories across campus (electronic)
Management of safety data sheets (SDSs) for all campuses (electronic – new; paper – old) must be kept in perpetuity
Training of personnel on use of electronic databases
Inspection of labs for proper storage and management
Shipping HM by researchers <ul style="list-style-type: none"> <li>▪ Develop and provide training to representatives of research department</li> <li>▪ Pack, certify and sometime ship HM shipments</li> <li>▪ Train researcher by phone for HM and sample shipments back to UA</li> <li>▪ Representative for FAA regulator inspections and NOV's</li> </ul>
<b>Industrial Hygiene (Lead Campus)</b>
Indoor air quality <ul style="list-style-type: none"> <li>▪ Responds to unknown odors in buildings</li> <li>▪ Works with facilities, design and construction ventilation issues</li> <li>▪ Performs air flow studies</li> <li>▪ Performs exposure sampling during an employee's work schedule</li> <li>▪ Performs air quality sampling in buildings to determine any air pollution issues</li> </ul>

<ul style="list-style-type: none"> <li>▪ Develops solutions and writes reports on investigations and sampling</li> </ul>
Noise <ul style="list-style-type: none"> <li>▪ Performs noise analysis during employees work schedule to determine the need for hearing protection</li> <li>▪ Develops solutions and writes reports on investigations and determinations</li> <li>▪ Manages the hearing protection program which includes annual surveys and hearing tests</li> <li>▪ Designates hazardous noise areas</li> <li>▪ Hearing conservation training and assistance with selecting hearing protection devices</li> </ul>
Works with departments to determine proper personal protective equipment for various work <ul style="list-style-type: none"> <li>▪ Determines the need for respirators</li> <li>▪ Manages the respiratory protection program which includes annual surveys, respirator fit test requirements, and potential physicals</li> </ul>
Responsible for developing training <ul style="list-style-type: none"> <li>▪ Lab Safety</li> <li>▪ Chemical hygiene</li> <li>▪ Specific Chemical Safety</li> <li>▪ Sharps</li> </ul>
Ergonomic assessments
Lab Inspections
Annual Lab Hood Inspections
Biosafety

<ul style="list-style-type: none"> <li>▪ Supports research working with infectious agents, recombinant DNA, human/animal cell lines or tissues, bio toxins</li> <li>▪ Certification of bio safety cabinets annually</li> <li>▪ Bloodborne pathogens training and assistance</li> </ul>
Occupational Health <ul style="list-style-type: none"> <li>▪ liaison between occupational medicine provider and UAF employees</li> <li>▪ manages database of occupational physicals;</li> <li>▪ submits authorizations for employees to have medical services related to their job;</li> <li>▪ ensures that medical surveillance requirements of various OSHA and industry standards are met (e.g., asbestos, hearing conservation, diving, silica, firefighter, respiratory protection)</li> </ul>
Food Service compliance management
<b>Insurance (Lead: SW)</b>
Administers and places all self-insurance for UA
Lines of insurance include property, boiler and machinery, marine liabilities, fine arts, medical professional, casualty
Provides self-insurance and policies to campuses

Works with insurance brokers to administer policies
Maintains self-insurance and actuarial requirements
Administers loss prevention program
<b>Protection of Minors (Lead: Campus)</b>
Member of the Protection of Minors (POM) Committee (statewide and campus)
Develops, updates, and implements campus policy with POM committee
Reviews POM activities/events/programs and addresses issues
Works with departments to apply policy
Manages audits of various activities/events/programs
Coordinates campus wide trainings
Works with outside entities having programs with minors using campus facilities to get certification that they meet campus POM requirements
<b>Radiation Safety (Lead: Campus Level)</b>
Applies for and manages licensing of nuclear material used in research
Radiation Safety Officer for the campus
Monitors and develops site closure plans for approval through the Nuclear Regulatory Commission

Develops/provides radiation safety training
Participates with NRC inspections
Inspects material on-site and verifies it is in accordance with licensing
Responsible for proper disposal of radioactive materials
<b>Risk Management – Campus Level</b>
Supports the development of strategic risks at the cabinet level, supplies risk register annually to SW Risk
Requests or supplies self-insurance certificates to departments as needed
Reviews contracts for risk, insurance and liability issues
Prepares risk waivers for activities involving students, faculty, staff and camps/activities/programs
Provides waivers for non-employee driving
Reviews volunteer checklists and approves
Completes risk assessments for various activities
Develops risk matrices
Supports departments needing additional insurance coverage
Supports insurance renewals annually
Reviews programs, activities and events for risk, works with the event committee to mitigate
Manages loss preventions program

Reviews historic loss/claims information to determine areas of highest loss; helps develop mitigation programs
<b>Risk Management – SW Level CRO</b>
Provides consultation on risk management (risk planning and risk issues).
Provides strategic and operational risk planning
Report to senior management on risk, quarterly and annually
Interact with State of Alaska on combined insurance placement
Develops overarching regulations, policies, and guidance for all campuses
Provide guidance on high value system wide initiatives to reduce cost of risk (i.e., protection of minors, earthquake underwriting).
<b>Safety (Lead: Campus)</b>
Ensures campus compliance with state and federal OSHA, ANSI, MSHA
Review accident/injury reports and completes investigations
Supports departments in development of job hazard analysis to determine procedural, mechanical, and physical changes, personnel protective equipment, and best work

Determines and prepares required safety training for campus; prepares and manages training reports
Develops safety policy
Develops plans for confined space safety, site safety,
Review of contractor safety plans
Addresses unsafe conditions
Supports field research safety with guides, field emergency plans, general information (weather, river, avalanche sites) and training availability
Provides equipment such as sat phones, SPOTs, bear fencing and spray for field work
Member of the campus safety committee
Works to develop good culture of safety at campuses using various tools
Reviews events on campus
Member of the emergency management team
Employee safety and onboarding
Outreach to rural campuses and sites regarding safety
Fall protection reviews and management of roof access
Manages ice cleat program
Workplace safety surveys, building walkthroughs, machine guarding audits