

Members

Chairperson:
Kyle Knoll, Budget Officer
& Risk Manager
PERS

Vice-Chairperson:
Marc Williams, Director of
Administrative Services
Department of Justice

Vacant,
Department of
Corrections

Vacant,
Department of Human
Services

Todd Brown, Manager of
Health & Safety
Department of
Environmental Quality

Nancy Cody,
Safety & Facilities
Manager
Department of Consumer
& Business Services

Julie Davie, Safety and
Risk Manager
Oregon Department of
Transportation

Joyce Fred, Risk Officer
Oregon University
System
Oregon State University

Lee Hullinger, CFO
Department of Human
Services

Vena McCoy, Internal
Auditor & Risk Manager
Department of State
Lands

Sandy McDonnell,
Administrative Services
Manager
Oregon Housing &
Community Services

Leonard Williamson,
Attorney-In-Charge, Torts
and Employment
Litigation
Department of Justice

Ex-Officio:
Pamela Stroebel
Valencia, Chief Audit
Executive
Department of
Administrative Services

AGENDA

Risk Management Advisory Council (RMAC)

Meeting Date: April 8, 2011

Time: 9:00 am – 11:00 am

Location: General Services Building, Mt. Mazama Conference Room (basement)
1225 Ferry Street, SE
Salem OR 97301

Operating Principles:

Be guided by the Risk Management Advisory Council Charter and Operating Guidelines; open, honest, direct conversation.

ITEM	DESIRED OUTCOME	TIME	PRESENTER
1. Welcome/Introductions		9:00 am	Kyle Knoll
2. Approval of February 1, 2010 Meeting Recap	Approval	9:05 am	Marc Williams
3. DAS Risk Management Update ✓ Strategic Direction ✓ Legislative Update	Discussion/Shared Understanding	9:10 am	Jen Coney
4. RMAC: Retrospective Look and Strategic Planning Review ✓ Next Steps	Discussion/ Shared Understanding	9:30 am	Kyle Knoll Marc Williams
5. Enterprise Risk Management (ERM) ✓ Brochure ✓ Website ✓ Assessment Tool Pilot ✓ ERM Talking Points Document ✓ Standards	Update	10:15 am	Jen Coney Kyle Knoll
6. 2011 Legislative Session ✓ Bills of Interest	Update	10:30 am	Leonard Williamson
7. Round Table	Update	10:45 am	All
Adjournment			
8. Adjournment	Kyle Knoll	11:00 am	

Next Meeting Dates:

May 31, 2011

August 10, 2011

September 21, 2011

November 2, 2011

Time:

9:00 am – 11:00 am

9:00 am – 11:00 am

9:00 am – 11:00 am

9:00 am – 11:00 am

Location:

1225 Ferry St. SE, Mt. Mazama

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ERM: Identifying, evaluating and effectively managing real or perceived barriers to achieving our mission and strategic goals.

RECAP

Risk Management Advisory Council Meeting (RMAC)



Meeting Date: April 8, 2011

Time: 9:00 a.m. – 11:00 a.m.

Location: General Services Building
Mt. Mazama Conference Room (Basement)
1225 Ferry Street SE
Salem, OR 97301

Present:

Council Members	Kyle Knoll, Marc Williams, Julie Davie, Joyce Fred (teleconference), Sandy McDonnell, Leonard Williamson
Department of Administrative Services	Sue Praegitzer, Jen Coney, Teresa Boes, Deb Bogart
Guests	Eunice Hunt, Penny Repine

Excused:

Council Members	Todd Brown, Pam Stroebel-Valencia, Lee Hullinger, Vena McCoy, Nancy Cody
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Recap:

ITEM	ACTION, DISCUSSION
1. Welcome/Introductions	Chairperson Kyle Knoll called the meeting to order at 9:00 a.m. Council members and guests were asked to introduce themselves and share their tools for resiliency in the current environment. Tools (not all inclusive) were humor, team sharing, thinking in context, perspective, assuming good intent, work/life balance, family support, creativity, and plenty of sleep.
2. Approval of February 1, 2011 Meeting Recap	Approved. The action Items were reviewed. The February 1, 2011 meeting recap was approved as written.
3. DAS Risk Management Update ✓ Strategic Direction	<p>The Department of Administrative Services (DAS) is moving toward an Entrepreneurial Management (EM) format model of conducting business. The Entrepreneurial Management Advisory Council (EMAC) was formed and charged to determine the general services DAS provides and slot those services into the appropriate category described below:</p> <p><u>Leadership</u> (e.g. Budget and Management). Statewide policy, direction and leadership.</p> <p><u>Utility</u> (e.g. DOJ): Compelled customer. A utility board would be formed to set rates and advise on utility services.</p> <p><u>Marketplace</u> (e.g. Fleet Services): Competing customer in the marketplace. This is evolving and there is no definite plan to date.</p> <p>DAS is moving toward being a data driven decision-making organization. Jen Coney, State Risk Manager, presented a document (DAS 2011 Governor's Transition) which tells the story of what DAS Risk Management does. Measurements include liability claims, property claims, and workers' compensation claims. These measurements will be captured and reported at the end of each fiscal year.</p>

Risk Management Advisory Council Meeting: April 8, 2011

<p>4. RMAC: Retrospective Look and Strategic Planning Review (continued) ✓ Next Steps</p>	<p>The council reviewed and brainstormed the Agency Roles/Responsibilities (ERM focused) document, which reflects levels of expertise and accountability.</p> <p><u>Use:</u> Networking tool to identify expertise in certain area, include as part of safety coordinator training.</p> <p><u>Improvements:</u> Background of each participant, additional contacts and information, functions/meetings of interest, include phone numbers. Sort list by agency so functional areas are easily identified.</p> <p><u>Sharing:</u> Post on the web, GovSpace. GovSpace creates a forum that would allow agencies to communicate.</p> <p><u>Updating:</u> What is the most effective way to keep the document current and up-to-date (especially if not limited to RMAC members)? GovSpace?</p> <p>Action: (Kyle) Update document based on discussion during meeting, and email to participants for final review and input. Those currently not on the list were encouraged to add themselves and their pertinent information to the list.</p> <p>Action: (Jen) Invite Wally Rogers to present overview of GovSpace at the next meeting.</p> <p>Members were asked to share initial input and reflect on the following: Is the council supporting DAS RM as much as possible? Is the council receiving the same level of support from DAS RM? Is the council meeting the goals and objectives of identifying and supporting stakeholder's priorities and needs?</p> <p>This initial discussion indicated stakeholders' mutual interest in and commitment to understanding and maximizing our ability to identify and strategically address risk-related needs and support risk management programs at agency and statewide levels. Ongoing discussion will determine next steps.</p>
<p>5. Enterprise Risk Management (ERM) ✓ Brochure</p> <p>✓ Website</p> <p>✓ Assessment Tool Pilot</p>	<p>Brochure is published and available on the DAS ERM website by clicking on 'ERM tools'. Copies can also be requested by contacting the number on the back of the brochure.</p> <p>Action: (Sue) Post finalized brochure on the ERM website.</p> <p>The ERM website is up and running.</p> <p>DAS is piloting a statewide Assessment Tool focused on enterprise security. Two workshops were held the week of April 4, 2011. Tool targets business functions at a high level (agency head involvement). The desired outcome is to determine whether DAS-RM needs to purchase cyber liability insurance. DAS Director Michael Jordan will get a comprehensive view of the organization. Forums and workshops for agencies will be held in the late summer or early fall.</p>

Risk Management Advisory Council Meeting: April 8, 2011

<ul style="list-style-type: none"> ✓ ERM Talking Points Document ✓ Standards 	<p>On hold (see Action Dashboard, 3rd item under Workgroups).</p> <p>State Risk Manager, Jen Coney, is working with Pam Stroebel-Valencia on a draft standards document to include ERM definitions and language.</p> <p>Action: (Jen/Pam) Provide draft document for the May 31 meeting.</p> <p>Action: (Sue) Change ERM definition on agenda to be consistent with the brochure.</p>
<p>2011 Legislative Session</p> <ul style="list-style-type: none"> ✓ Bills of Interest 	<p>SB397A: Allows action based on tort to be brought against officer, employee or agent of public body if complaint alleges that plaintiff is entitled to damages in excess of limitations imposed by Oregon Torts Claims Act. The bill was amended to provide one single recovery. Third reading will be April 11 on the Senate floor.</p> <p>SB734: Prohibits state from indemnifying person in exempt service, unclassified service or management service position for costs of counsel and other costs of defense when judgment is entered against person based on determination that person has engaged in civil rights violation or other unlawful employment practice. Sponsored by Senator Winters. Interpretation: If you are named as defendant in a claim and there is a judgment against you, you would need to repay any defense costs. This would result in significant personal exposure. Work sessions for this bill are scheduled on April 14 and April 18.</p> <p>Action: (Jen) DAS-RM will send council & guests of this (April 8) meeting the bill analysis and testimony.</p> <p>SB422: Prohibits contracting agency from requiring contractor in contract for architectural, engineering and land surveying services or related services to obtain and maintain in force liability insurance with combined single limit that exceed \$1 million unless contracting agency makes determination after considering certain factors or unless contracting agency pays portion of premium cost that is attributable to increased combined single limit. A public hearing was held on February 21. No additional hearings are scheduled at this time.</p>
<p>Round Table</p>	<p>Council member Leonard Williamson is working on the following three projects:</p> <p>Leonard and Deb Bogart, DAS-RM Risk Analyst will co-present risk exposure trends and litigation to the Department of Corrections (DOC) management team on April 27. An earlier conversation between Leonard and the DOC Director resulted in a referral for the DOC Director to meet with Pam Stroebel-Valencia (DAS Chief Audit Executive) to discuss ERM tools in managing risks.</p> <p>Leonard working with Penny Evans, DAS-RM Claims Manager & Caroline Burnell (Department of Human Services) to identify high risk exposure cases where kids are injured while in state custody. Preliminary research indicates a</p>

Risk Management Advisory Council Meeting: April 8, 2011

	statute where a guardian could be appointed while the claim is being settled. Presentation to all DOC physicians in May about managing their risk exposures.
Adjournment	There being no further business, the meeting was adjourned at 11:00 a.m.

Next meeting: May 31, 2011

**RISK MANAGEMENT ADVISORY COUNCIL
ACTION DASHBOARD**

Revised 04/01/2011

Charter Goals & Objectives				
1: Strengthen relationships between DAS Risk Management and its stakeholders.				
2: Identify and support stakeholder's priorities and needs that DAS Risk Management should strive to meet.				
3: Influence the development of DAS Risk Management's service models to ensure its customers are well-served.				
4: Provide organization perspectives to DAS Risk Management on its policy decisions that impact some or all stakeholders.				
5: Provide a forum for stakeholders, to exchange information, generate ideas and make recommendations to DAS Risk Management in accordance with the Advisory Council Operating Guidelines.				
6: Reduce the Direct Total Cost of Risk for the State.				
Topic	Project/Task	Alignment with Charter, Goals & Objectives	Status	Notes/Comments
ERM	Brochure is approved and will be published by the end of February.	1,2,4,6	Complete	Pam Valencia
	Review ERM website and provide feedback to Ex-Officio Pam Stroebel Valencia. (Council members)	1,2,4,6	Complete	Pam Valencia
Event Mgmt	Council members contact Jen Coney, Penny Evans or Teresa Boes if they are interested in being part of the customer group to provide feedback as Risk takes a closer look at the program as a whole in the coming months. There will be opportunities for customers to be involved with the Lean process and also to provide feedback/perspective on the services Risk Management provides.	1,2,4,6	Ongoing	Councilpersons interested are Leonard Williamson and Joyce Fred. There is stated interest from OSU and DHS-CAF. Guest Eunice Hunt has a representative in mind for Department of Corrections and Guest Angel Hale would like to be on the team. Status Update (12/1/2010): Will make a recommendation after the DAS-RM Claims Lean process regarding tools to provide to state agencies.
	Legislative Update	Council member Leonard Williamson will report bills of interest to the Council.	Ongoing	
	Council members should forward information/emails of interest related to potential legislation to Council member Leonard Williamson.		Ongoing	
Outreach	Workgroup documents posted to website	1,3	Ongoing	Need decision/direction from Council
	Develop and communicate training opportunities to Risk Coordinators	5	Ongoing	Last activity 8/19/10: Claims 101 training. 8/18/10: sent out training opportunity list on two listserves. Status update (12/1/2010): Three trainings have been provided. Next training will most likely be in March 2011.

**RISK MANAGEMENT ADVISORY COUNCIL
ACTION DASHBOARD**

Revised 04/01/2011

	Edit and develop Risk Coordinator/Safety Manager list.	1,2,3,4,5,6	Ongoing	Last activity 8/24/10
Planning	Individual Contributions	1,2,4,5	Action Needed	Recap of risk management experience and expertise (from attendees of 2/1/11 RMAC meeting). Kyle Knoll will compile lists and send out to members. List will be reviewed at 4/8/11 RMAC meeting and next steps determined.
	Council self-assessment.	1,2,5	Ongoing	Occurs every Council meeting - regular agenda item
	The Operating Guidelines and Charter will be revised to include succession plans, voting protocol, leadership roles/duties to reflect actual performance standards.	1,2,3,4,5,6	Complete	Members to send any comments/feedback to DAS Risk Management, Risk Control Consultant, Deb Bogart by February 10, 2011. The documents will be revised to include comments received and sent out with the April 8, 2011 meeting packet.
Workgroups	Employee injury data collection	1,2,3	On Hold	Last activity 11/16/09
	Claim Cost Reduction workgroup: address statutory or rule change requirements.	1,6	On Hold	Last activity 6/3/09
	Develop an ERM talking point document/memorandum for review and input by DAS and then submittal to Ken Rocco (BAM/LFO) for consideration as a decision making tool during the Legislative Session review and approval of the 11-13 Agency Budget Requests. The document will be sent to Council members by December 7 for comments.	1,2,4,6	On Hold	Council Chairperson Kyle Knoll

RMAC - Agency Roles Responsibilities

<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Pam Strobel Valencia	DAS/IA	Audit	Assess risk for audit planning purposes; audit high-risk areas
Andrea Peters	DAS/RM	Audit	General consulting
Ellen Hewitt	DAS/RM	Audit	Communicate issues for agencies; risk with loss control; training needs; investigate fraudulent claims
Teresa Boles	DAS/RM	Audit	Risk Control Mgr
Nancy Cody	DCBS	Audit	Safety & Facilities; Process Risk
Eunice Hunt	DOC	Audit	Inspections, Wellness survey
Marc Williams	DOJ	Audit	Primary Responsibility
Vera McCoy	DSL	Audit	Includes: legal, financial, operational
Sandy McDonnell	OHCS	Audit	Fraud; Employee Dishonesty
<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Pam Strobel Valencia	DAS/IA	Business/Strategic	Champion ERM best practices; assist mgt in ERM definition of strategic direction
Andrea Peters	DAS/RM	Business/Strategic	General consulting
Deb Bogart	DAS/RM	Business/Strategic	Data development & analysis
Ellen Hewitt	DAS/RM	Business/Strategic	Claims 101; training for agencies, mentor-assist others in unit
Jen Coney	DAS/RM	Business/Strategic	Address Risk: Partnership w/RMAC & agencies to identify & mitigate exposure
Teresa Boles	DAS/RM	Business/Strategic	Risk Control Mgr
Nancy Cody	DCBS	Business/Strategic	Safety & Facilities; Reputation; Service; Partnerships
Eunice Hunt	DOC	Business/Strategic	SHARP process for all facilities
Marc Williams	DOJ	Business/Strategic	Limited Influence
Vera McCoy	DSL	Business/Strategic	Exec Team
Sandy McDonnell	OHCS	Business/Strategic	Conference planning; strategic plan
Joyce Fred	OSU	Business/Strategic	Risk Officer; develop & implement risk programs via providing risk services to the campus community to control risk exposures to control (prevent & reduce) losses
Kyle Knoll	PERS	Business/Strategic	Budget Officer - strategic planning; Risk Officer - ERM development & implementation

RMAC - Agency Roles Responsibilities

<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Andrea Peters	DAS/RM	Financial	Purchase insurance
Deb Bogart	DAS/RM	Financial	Risk Mitigation
Ellen Hewitt	DAS/RM	Financial	Manage claims Payments for agency & 3rd party claims
Jen Coney	DAS/RM	Financial	Address Risk; protect/serve in the interest of self insurance risk fund
Teresa Boles	DAS/RM	Financial	Risk Control Mgr
Nancy Cody	DCBS	Financial	Safety & Facilities; insurance
Todd Brown	DEQ	Financial	Environmental Quality, management of worker's comp claims
Eunice Hunt	DOC	Financial	Worker's comp data, safety budget
Marc Williams	DOJ	Financial	Educating Sr Mgt. Performing Brand Mgt & Education, Agency Budget
Pat Bouchie	Lottery	Financial	HR; Manage Worker's Comp Claims, EAIP
Julie Davies	ODOT	Financial	S&R Mgr; worker's comp, property damage
Joyce Fred	OSU	Financial	Risk Officer; research & implement risk transfer via contracts/waivers/insurance, legal defense
Kyle Knoll	PERS	Financial	Budget Officer - Budget Development & Administration
<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Andrea Peters	DAS/RM	Legal	Contract Reviews
Deb Bogart	DAS/RM	Legal	Bill Analysis
Ellen Hewitt	DAS/RM	Legal	Claims: Investigate, evaluate, negotiate, resolution of claims submitted against a State agency
Jen Coney	DAS/RM	Legal	Address Risk; work with DOJ to defend agencies w/legal exposures
Teresa Boles	DAS/RM	Legal	Risk Control Mgr
Nancy Cody	DCBS	Legal	Safety & Facilities, Tort Manager, Regulatory, Contractual
Todd Brown	DEQ	Legal	Contract Risk Analysis
Eunice Hunt	DOC	Legal	Tell Executive Management standards, rules, policies, procedures
Leonard Williamson	DOJ	Legal	Advise agencies on their litigation risk exposure - daily
Marc Williams	DOJ	Legal	Limited Influence, Primary Contract Responsibility
Jan Lemke	Energy	Legal	Procurements - DPO
Julie Davies	ODOT	Legal	S&R Mgr; tort/ lawsuits; Mitigation/Consultation
Bonnie Krieger	PERS	Legal	Claims review / processing
Kyle Knoll	PERS	Legal	Risk Officer - procurement & claims management

RMAC - Agency Roles Responsibilities

<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Andrea Peters	DAS/RM	Operational	White paper/SBAR; general consulting, policy writing/editing; risk assessments
Deb Bogart	DAS/RM	Operational	Risk consultation
Ellen Hewitt	DAS/RM	Operational	Storing & securing claim info
Jen Coney	DAS/RM	Operational	Address Risk: Operational risks relating to procurement of commercial liability insurance
Teresa Boles	DAS/RM	Operational	Risk Control Mgr
Nancy Cody	DCBS	Operational	Safety & Facilities; Infuse, BCP
Todd Brown	DEQ	Operational	Facility Risk; landlord/tenant relationship;; construction, leases; BCP team member
Eunice Hunt	DOC	Operational	Policies, Procedures, Processes
Marc Williams	DOJ	Operational	Primary Responsibility
Pat Bouchie	Lottery	Operational	HR; Data classification, internet audits, BCP member, material mgt
Sandy McDonnell	OHCS	Operational	InfoSec; Continuity; Technology
Joyce Fred	OSU	Operational	Risk Officer; OUS Facilitates the exchange of info on risk-related topics from 7 universities to DAS RM (Liaison), restore the university to its operations post claims (BCP)
Bonnie Krieger	PERS	Operational	BCP; InfoSec
Kyle Knoll	PERS	Operational	Risk Officer - BCP
<u>NAME</u>	<u>AGENCY</u>	<u>RISK TYPE</u>	<u>POSITION/FUNCTION</u>
Andrea Peters	DAS/RM	Safety/Security	General consulting; environmental risks
Deb Bogart	DAS/RM	Safety/Security	Emergency coordination center rep; bcp; Worker's comp claim mgt; hazard identification
Jen Coney	DAS/RM	Safety/Security	Address Risk: Security of confidential information - OEM
Teresa Boles	DAS/RM	Safety/Security	Risk Control Mgr
Nancy Cody	DCBS	Safety/Security	Safety & Facilities; Safety; Environmental; Security
Todd Brown	DEQ	Safety/Security	Development & implementation of safety programs; citizen's complaints; physical security considerations suspicious mail, intruders, etc.
Eunice Hunt	DOC	Safety/Security	Keep staff & inmates safe. Safety Committee, Wellness Committee
Marc Williams	DOJ	Safety/Security	Primary Responsibility
Jan Lemke	Energy	Safety/Security	Environment - Facilities Mgr; Safety Officer
Pat Bouchie	Lottery	Safety/Security	HR; Safety Committee planning; prevention; Accident investigations & training
Julie Davies	ODOT	Safety/Security	Safety & Risk Mgr; employee safety - in-house consulting, training; strategic planning
Sandy McDonnell	OHCS	Safety/Security	Safety Program; Security
Kyle Knoll	PERS	Safety/Security	Risk Officer - Safety Committee (environmental risks)

Enterprise Approach

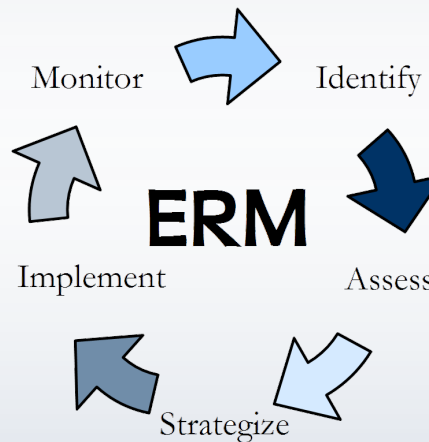
Taking a statewide enterprise approach to ERM may provide a platform for success through a shared understanding and vocabulary; ultimately easing the communication of its benefits.

The following groups support the ERM initiative. They have a vested interest in seeing state agency management teams successfully implement ERM principles.

- Risk Management Advisory Council
- Risk Management | Department of Administrative Services
- Statewide Audit Advisory Committee
- Statewide Internal Audit Community
- Enterprise Information Security Advisory Board
- Information Security Council
- Enterprise Security Office | Department of Administrative Services
- Department of Justice
- Human Resource Services Division | Department of Administrative Services
- Committee on Performance Excellence

If you've 'Got Risk,' visit the following site for more information, resources and help:

<http://oregon.gov/DAS/ERM>



For copies of this publication contact:



State of Oregon
Department of Administrative Services
Director's Office
155 Cottage St. NE
Salem, OR 97301
503-378-4037

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Safety

Storm

Vehicle Accidents

Revenue

Flood

Server Crash

Discrimination

Employee Theft

Outdated Systems

Fire

Succession Planning

Retaliation

Economy

Inefficiency

Power Outage

Downtime

Stolen Property

Identity Theft

Information Loss

Contractors

Information Security

Got
Risk?

What is Enterprise Risk Management (ERM)?

Enterprise Risk Management is a systematic approach throughout all functional levels of an organization to continually identify, evaluate and effectively manage real or perceived barriers to the achievement of the organization's mission (purpose) and strategic goals (objectives).

Potential Benefits of ERM

- Reduce costs due to increased preparedness when adverse events occur.
- Create a clear and common understanding of organizational goals and objectives.
- Increase productivity and revenues and enhance service delivery.
- Enhance communication across an organization.
- Inform strategic choices based on a consideration of risks and rewards.
- Re-allocate resources through scrutiny of process controls based on risk and tolerance levels.
- Define success criteria, increase accountability, make performance measurement clearer and improve performance reporting.
- Enhance staff morale and teamwork.
- Increase risk intelligence and reduce the risk aversion traditionally attributed to uncertainty.

What kind of investment is needed?

Whether or not you think of it as ERM, you are probably already using its principles in some form. ERM starts where you happen to be, with existing resources, and aims to support your current business model. Each agency has the freedom to invest in, develop and implement an ERM program that makes the most sense. It is important to make informed decisions about the appropriate levels of risk to accept and take.



Photo courtesy of the Department of Forestry.



How ERM can help you

Process Efficiencies:

- Unnecessary steps in a process could cause inefficiencies and result in higher costs and delayed services to the public. Reviewing the process using ERM principles can help uncover areas of low or tolerable risk where controls can be lessened, and resources can be removed and re-allocated.

Risk Awareness:

- Identifying a large risk that could impede an agency from meeting a major business objective can help management address the risk and avoid an adverse occurrence or prepare the agency to overcome adverse effects when or if the event should occur.



Risk Management Advisory Council

Charter

Revised March 30, 2011

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CONTEXT

Oregon State agencies are committed to a strong partnership with Department of Administrative Services (DAS) Risk Management and more involvement in the determination of how their budget contributions are spent. DAS Risk Management desires a multi-faceted forum for garnering understanding, acceptance and support of DAS Risk Management strategies, policies and practices. The purpose of the Risk Management Advisory Council (Council) is outreach to all Oregon State agencies, to provide a forum for stakeholders to exchange information, generate ideas, and make recommendations to DAS Risk Management in accordance with the Advisory Council Operating Guidelines.

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PURPOSE AND AUTHORITY

The Risk Management Advisory Council is formed by authority and approval of the DAS State Services Division Administrator. The purpose of the Council is outreach to all Oregon State agencies, and to provide a forum for stakeholders to exchange information, generate ideas, and make recommendations to DAS Risk Management in accordance with the Advisory Council Operating Guidelines.

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DAS Risk Management's costs are the highest percentage of charges in many state agency budgets for administrative costs and services rendered. That cost is expected to increase due to many influencing factors including rising medical costs associated with workers' compensation medical services and a recent court ruling challenging tort liability caps. ¶

ALIGNMENT AND GUIDELINES

The recommendations of the Risk Management Advisory Council must be in alignment with:

1. The statutory authority granted to the Department of Administrative Services and delegated to DAS Risk Management in the areas of providing property and tort liability insurance coverage, workers' compensation insurance coverage, claims management and risk management consultation;
2. Other applicable statutes; and
3. The DAS Risk Management strategic plan.

GOALS AND OBJECTIVES

The goals and objectives of the Risk Management Advisory Council are to:

1. Strengthen relationships between DAS Risk Management and its stakeholders.
2. Identify and support stakeholder's priorities and needs that DAS Risk Management should strive to meet.
3. Influence the development of DAS Risk Management's service models to ensure its customers are well-served.
4. Provide organization perspectives to DAS Risk Management on its policy decisions that impact some or all stakeholders.
5. Provide a forum for stakeholders, to exchange information, generate ideas and make recommendations to DAS Risk Management in accordance with the Advisory Council Operating Guidelines.
6. Reduce the Direct Total Cost of Risk for the State.

COUNCIL COMPOSITION

The composition of the Council will be no less than seven and no more than fourteen members including one or more of the following:

1. Persons with responsibility for oversight of the Risk/Safety Management function, or
2. Persons with responsibility for budget development and implementation, or
3. Persons who perform Risk/Safety Management duties.

Council member terms will be two years. Council members may be considered for contiguous terms by the DAS State Services Division Administrator.

RESPONSIBILITIES OF THE COUNCIL

1. Consider the perspectives of all state agencies, boards and commissions.
2. Have delegated authority to represent their state agencies, boards or commissions.
3. Participate in Council discussions and provide the perspective of the organization they represent.
4. Engage in consensus decision-making.
5. Make recommendations that are considerate of global impacts.
6. Develop an Action Plan that addresses issues of strategic importance and utilizes the SMART principles:
 - a. Specific
 - b. Measurable
 - c. Achievable
 - d. Reliable
 - e. Timely
7. Determine resources needed to meet Action Plan objectives.
8. Adopt Operating Guidelines.

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COUNCIL MEMBER REVIEW/APPROVAL

DATE

Kyle Knoll, PERS

Marc Williams, DOJ

Gayla Andresen, DHS

Todd Brown, DEQ

Nancy Cody, DCBS

Julie Davie, ODOT

Joyce Fred, OUS/OSU

Lee Hullinger, DHS

Vena McCoy, Dept. of State Lands

Sandy McDonnell, OR Housing &
Community Services

Leonard Williamson, DOJ



Risk Management Advisory Council

Operating Guidelines
Revised 03/30/2011

Deleted: Risk Management Advisory Council Operating Guidelines

MEMBERSHIP COMPOSITION

The composition of the Council will be no less than seven and no more than fourteen members including one or more of the following:

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- Persons with responsibility for oversight of the Risk/Safety Management function, or
- Persons with responsibility for budget development and implementation, or
- Persons who perform Risk/Safety Management duties.

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Membership Composition

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Council members will be selected by the State Services Division (SSD) Administrator based on diversity in representation of:

Deleted: Council members may be nominated by agency heads or administrators of agency divisions.

- Type of agency
- Mission
- Business and services provided
- Size
- Types of exposure
- Loss history
- Geographic location

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The Council Chairperson and Vice-Chairperson will be elected by Council members. Nominations will be:

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- Solicited by the State Risk Manager through the state's electronic mail system prior to the last Council meeting of the calendar year.
- Provided to the State Risk Manager with the consent of the nominee.
- Supported by a statement to the State Risk Manager from the nominee about why they wish to serve in the nominated role.
- Announced and voted on as an agenda item at the last calendar meeting of the year in accordance with the Robert's Rule of Order.

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The Council Chairperson and the Vice-Chairperson will serve one-year terms in these positions. The terms will begin with the first meeting of the year. The Vice-Chairperson will be the successor to the Council Chairperson. In the event of a mid-term chair or vice-chair vacancy, elections will be held as soon as possible following the vacancy in general accordance with the above nomination procedures.

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Desirable attributes that will be considered during the nomination process are that the individual is:

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- Ethical
- Strategic
- Effective Communicators
- Responsive
- Inclusive
- Respectful
- Cost conscious

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Risk Management Advisory Council

Operating Guidelines
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- a. Each member shares equally in the responsibility of the Council to act in the best interests of the State.
- b. Each member is expected to exercise his or her independent and informed judgment on all risk management recommendations.
- c. Members may reasonably rely on information and reports received from regular sources (i.e., support staff and service providers) that the member reasonably regards as trustworthy, reliable and competent.
- d. Members should seek and obtain additional information as needed regarding all matters for review and recommendation.

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3. Additional Responsibilities

Members may volunteer or be asked to participate in relevant teams, committees or initiatives.

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COUNCIL CHAIRPERSON AND VICE-CHAIRPERSON PARTICIPATION

1. Council Membership

The Chairperson and Vice-Chairperson must be actively participating Council members.

2. Leadership

- a. The Chairperson leads meetings of the Council.
- b. The Vice-Chairperson leads meetings of the Council in the absence of the Chairperson.
- c. The other leadership roles of the Chairperson and Vice-Chairperson are to:
 - i. Support and encourage the Council's role.
 - ii. Focus the Council's attention on governance.
 - iii. Assist the State Risk Manager in the development of the Council's meeting agenda.
 - iv. Review meeting recaps.
 - v. Track Council action items.
 - vi. Troubleshoot issues that occasionally arise.

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ISSUE SUBMISSION

Council members, agencies and other stakeholders may submit issues. These issues may be submitted in the form of an issue paper that addresses background, assessment and recommendation of issues to be addressed by the Advisory Council. An issue may also be submitted for review when substantial losses occur as a result of agency policies, litigation, defense practices, or other management practices.

DAS Risk Management is responsible for distributing and maintaining issue papers, action plans and position papers.

ACTIONS

The Council is responsible for determining an Action Plan that represents the list of issues it chooses to address. The Council may utilize speakers, technical experts, working groups and sub-committees to



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inform, collect information and draft recommendations in the form of a position paper. The Council is responsible for forwarding recommendations for action to DAS Risk Management when consensus has been reached on an issue being reviewed. Risk Management is responsible for carrying forward all position papers to DAS executive management for consideration. The State Risk Manager is responsible for communicating back to the Council the decisions of DAS executive management in regard to the recommendations the Council submits.

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