

ADMINISTRATIVE COUNCIL MINUTES

June 16, 2021

The Administrative Council met on Wednesday, June 16, 2021 at 9:00 a.m. in the Ballroom. Present were Dr. Rick Barth; Ms. Pam Clark, Recorder; Dr. Joe Delap; Mr. Andrew Dollar; Ms. Jackie Gooch; Mr. Jeffrey Guenther; Dr. Jim Kerner; Ms. Belinda Krigel; Dr. Kim LaFevor; Mr. Chris Latham, Ms. Sarah McAbee; Mr. Derrek Smith; Dr. Jackie Smith; Dr. Stephen Spencer; Dr. Lee Vartanian; Ms. Debra Vaughn; Dr. Philip Way; Dr. Catherine Wehlburg; and Dr. Lionel Wright. Ms. Laken Cleveland, SGA President; Mr. Richard Collie; Mr. Jonathan Craft; Dr. Keith Ferguson; and Mr. Mike McCoy were absent. Special guests were Mr. Jerry Crabtree, Ms. Barbara Ferguson, Ms. Julie Martin, Mr. Jeff Powers, Ms. Jerrie Smith, and Mr. Kerry Warren.

Dr. Way convened the meeting at 9:00 a.m. and welcomed everyone. He asked for any corrections to the May minutes. There were no corrections to the minutes and they were approved on a voice vote.

Dr. Way stated the focus of the meeting is Enterprise Risk Management. Dr. Way turned the meeting over to Ms. Ferguson, who presented a PowerPoint presentation on the topic (Handout). Members were divided into five groups for discussions.

A. Student/Academic Affairs Group – Barth, Guenther, McAbee, Jackie Smith, Way and Wehlburg

Admissions/Retention/Enrollment Trends

Risk Treatment: falls primarily in the mitigate category

- Ways to mitigate:
 - Expand recruiting territory to place more emphasis on colleges in the middle of the state.
 - Focus on retention across the campus.
 - Archer’s marketing of online programs is already showing promise of mitigating enrollment deficit at community colleges.
 - Continued focus on recruiting for existing graduate programs and creation of new graduate programs will help mitigate.
 - Remove policy barriers that prevent more students transferring into Athens State – Dr. Way gave an example of the “upside down” model in Wisconsin, which allows students with A.A.S. degree the opportunity to enroll in a bachelor’s degree program. For this to work, students would need to ability to complete general education requirements at Athens State.
 - Continue to implement new programs that have a high demand.
 - As we bring on new degree programs, make sure they are efficient and that we are not turning a four-year degree into a 5-year degree – meaning we create programs students can finish in two years, not three, at Athens State.

Student Internships/Experiential Learning

- Student internships/experiential learning should be publicized more, especially when the internships lead to jobs/careers. We need to determine a pathway for consistency, to capitalize on the student's success, and capture the information.

Risk Treatment: Transfer

- EL legal disclaimers – when our students participate in intern or co-op opportunities, some of the accountability is transferred to the sponsor (e.g., FBI). Sponsors must adhere to our Title IV policy. We can model the College of Education's MOUs between the schools for off-campus experiential learning activities for other colleges.
- Policies/Procedures/Processes – think about what our students can do and the policies we need in place (e.g., Study Abroad, NSEE, NAFSA, Handshake, Service Learning, and Title IX).
- Training/Job Responsibilities – we have an open position for an Experiential Learning Coordinator who would work with Career Services to develop a clearinghouse for the internships/co-ops. Training modules for experiential learning will fall under the new coordinator.

B. Finance Group – Dollar, B. Ferguson, Gooch, D. Smith and Vaughn

Avoid:

- Avoid future expenses that do not meet a specific, set, forecasted return on investment.
- Through increased legislative funding appropriations, specifically, tie increased funding to the needs of North Alabama's growth and the region quickly becoming the most populated part of the state.

Transfer:

- Third-party contract(s) to support student growth from diversified streams (international, other regions). Do not be dependent on one type of student.

Mitigate:

- Increase supplemental grants.
- Grow revenue from other sources noncredit related:
 - Leverage university's assets such as rentable facilities
 - Engage in other strategic university functions/activities that generate revenue

Accept:

- The university is an institution of higher education with a mission that is not specific to engage in only activities that can create the most profit, but we must realize that healthy revenue streams are needed to operate effectively.

Exploit:

- Second Fiddler's-style event for the university that creates revenue (not necessarily tied to fiddle music, rather a large, profit-generating event).
- The university offers the lowest tuition cost.
- University-owned property/investments tied to the regional growth and its needs:
 - Not specifically the only idea, but an example includes a need for hotels in Athens, partner to build one on university property, and connect with a new degree program in hospitality.

C. Human Resources Group – Latham, Powers, Jerrie Smith and Spencer

Recruitment and retention/competition –We might transfer the risk for certain high level searches by employing a third party search firm, but mostly we will mitigate internally. We have already implemented:

- Exit interviews – to identify why people are leaving
- Branding – Chris Latham's department puts together a package for new employees to make them feel welcome and a part of the TEAM.

We need to work on implementing the following:

- Turnover analysis – who left and why? Retirement, another job, etc.
- Succession planning – what is our plan when key employees leave?
- Stay interviews – why are you here at Athens State?
- Improve our Onboarding process – have things ready for the employee when they come to work, make them feel welcome, streamline paperwork processes.
- Make search committees less task burdensome for employees. Human Resources will be more involved to identify qualified candidates.
- Report metrics – collect and report why candidates are not accepting jobs, why they are leaving.

Performance Evaluations - We need to look at getting a committee for a thorough review of our evaluation process. Evaluations should reflect our end goals, and be employee friendly, be used to develop our employees. Do we have the correct evaluation tool?

We need to do a better job along the way, throughout the year, to document employee performance.

Evaluations should be ongoing, to help an employee reach goals. What are your goals? How do we help you reach them?

The tool used to evaluate faculty and staff should not be the same.

D. Information Technology Group – Delap, Krigel, Vartanian and Wright

Risk Treatment:

Cannot avoid because we use technology. Transfer by having cybersecurity insurance, offering training, requiring strong passwords, and having dedicated employees who monitor security. Third party – purchase resources that will help us monitor and guide us.

Mitigation – embrace making employees aware – annual training. Accept that we have risks but we have to have mitigation and avoidance to help reduce risk.

Exploit – point out weaknesses by phishing. Risk mitigation options – have to have policies, procedures and processes. Needs a dedicated person devoted to cybersecurity. Facility upgrades, maintenance, patches, upgrades, and modernize. Testing, drills we can do takes money skills 3rd party to do. We have a disaster recovery plan, but we need to update it. Drilling through and going through tests to find out our vulnerability.

E. Security/Facilities Group – Crabtree, Kerner, LaFavor, Martin and Warren

Disaster Preparedness:

Discussion led to the Emergency Management Plan that is posted on our website in the Policy Library. This is a comprehensive document, however, there should be a gap analysis done to see where we may be insufficient in our current policy (plan).

Athens State should *mitigate* our current Disaster Preparedness procedures. The Emergency Management Plan is a living document, so it is ever changing. Concerning this plan and our current policies/procedures/processes, Athens State should:

- Always look for ways to improve
- Look for ways to raise employee awareness of these policies/procedures/processes
- Increase training opportunities
- Conduct testing/drills more frequently

Business Continuity:

Policies/Procedures/Processes:

- We need to have a ‘systems view’.
- We need to take holistic view. It needs to be preventative, repressive, and corrective.
- We need to review our present policies. Is our Emergency Management Plan (EMP) addressing both a Disaster Response Plan (DRP) and a Business Continuity Management Plan (BCMP)?
- Do we need to expand our Emergency Management Plan policy framework or develop a separate policy?
- Should we develop a comprehensive Business Continuity Management Plan (BCMP)?
 - Ensure continuity of the organization with processes which are key to the core of the business are controlled for risks.
 - Address the full period of time of any crisis: before, during and after a disaster.
 - Employ a permanent and interactive management system
 - Analysis Phase
 - Goals of the Plan
 - Budget
 - ID Principle Classes of Threats
 - Personnel (Key Stakeholders)
 - Conducting a business impact analysis
 - Creating impact scenarios
 - Gap Analysis: comparing results against the aggregate crisis preparedness of the organization

- Identify core team of leaders' response for management and deployment of a plan
 - Develop short and long-term strategies
- Could we use ISO 22301 standard as a guide to develop a BCMP? Could we utilize resources to develop a BCMP from the Department of Homeland Security through their Business Continuity Planning Suite: <http://www.ready.gov/business-continuity-plan> or <http://www.ready.gov/business-continuity-planning-suite>?

Training/Job Responsibilities:

- In the absence of a Business Continuity Management Plan (BCMP), can we identify employees who have cross-functional expertise to assist in the development of a plan? Should this be a role of the Risk Management Committee?
- Can we identify within the developed or modified plans specific stakeholder responsibilities?
- Have we considered mitigation or risks for both internal and external stakeholders?
- Can we ensure our developed plan balances the welfare of employees with the business?
- With DRPs and BCMP in place, can we develop a training and communication plan to ensure all employees know the plans?

Facilities Upgrade/Maintenance:

- Gap Analysis is needed
- Identification of modifications that are needed to facilities to accommodate DRPs and BCMP

Testing/Drills:

For long-term sustainability, can we regularly audit (at least once per year) our existing business continuity management system and make needed changes?

Crisis Response/Crisis Communication Plan:

This plan is located within the Emergency Management Plan and is an in-house plan for Security. Athens State should *mitigate* this topic. There are numerous ways that we can improve on this.

- Develop a new policy (or expand our current policy) that gives more definitive instructions on what areas are responsible for what jobs.
- Our current mass notification system includes text, email, PA announcements and computer screen pop-ups. We are implementing a new system this fall that will contain these features as well as lock-down ability, geo-fencing, visitor QR code opt-in and many more.
- Continue to test campus communication and improve our technology.

Dr. Way thanked everyone for their feedback. The meeting adjourned at 10:35 a.m.

Respectfully submitted by: Pamela Clark

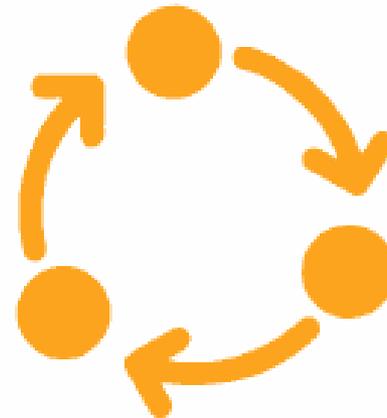
Handout: "Enterprise Risk Management" PowerPoint Presentation



What is Enterprise Risk Management?

Goal: Reduce uncertainty inherent in pursuing organizational objectives

- Proactive
- Focus on institutional risk
- Tied to strategic planning and objectives
- Collaborative process and co-owned by all
- Reframes risk as uncertainty





ERM Participants





ERM Process for Education





Treatment Approaches



Avoid

Reject the risk entirely



Transfer

Shift responsibility to another party



Mitigate

Implement measures to reduce risk



Accept

Treatment not required



Exploit

Pursue opportunities



Five P's of Risk Mitigation



Policies & Procedures

Student discipline, grievance complaints, investigations



People

Training, job roles and responsibilities, personnel experience and expertise



Property

Facility upgrades, new equipment, maintenance schedule



Processes

Incident reporting and tracking, reference checks, contracting, IT



Practice

Lockdown testing, evacuation drills, crisis response

Worksheet for Oversight of Systematic Risk Assessment

Developed by UE/AGB

Academic Affairs	Urgency Rating				Person/Dept./Com. to Assess
	HIGH 1	2	LOW 3	N/A	
Academic freedom					
Academic quality					
Accreditation					
Joint programs					
Education technologies					
Faculty conflict of interest					
Graduation rates/student learning outcomes					
Grievance procedures					
Promotion and tenure					
Recruitment/competition					
Study Abroad Program/Experiential Learning					
Academic program portfolio					

Also Categories for:

- External Relations
- Facilities & Security
- Human Resources
- Information Technology
- Research
- Student Affairs
- Financial Affairs
- Compliance
- Board Governance
- Strategic/Shared Risks

RISK ASSESSMENT RESULTS SUMMARY

2017

Disaster preparedness	1.181818
Emergency Communication Plan	1.230769
High risk investments	1.25
Insurance	1.333333
Security	1.375
Accessibility	1.454545
Communications systems	1.5
Tuition dependency	1.5
Crisis communications plan	1.545455
Back-up procedures	1.555556
Data protection	1.555556
Accessible technology	1.555556
Cyber-liability	1.571429
Accounting (Grants)	1.571429
Academic standards	1.571429
President compensation and assessment	1.571429
Network integrity	1.625
Privacy	1.625
Grants	1.666667
Workplace safety	1.7
Academic quality	1.714286
Benefits	1.714286

2021

Cybersecurity	1.4
Admission/retention/enrollment trends	1.5
Data protection	1.6
Cyber liability	1.714286
Security (IT)	1.733333
Board participation	1.769231
Disaster preparedness	1.785714
Recruitment and retention	1.785714
Business Continuity	1.785714
Crisis response	1.785714
Crisis communication plan	1.8
Recruitment/competition	1.8125
Budget	1.857143
Technology strategy	1.866667
Student internship/experiential learning	1.916667
Tuition dependency	1.923077
Performance evaluation	1.933333
Academic quality	2
Promotion and tenure	2
Institutional safety	2
Incident response (IT)	2
Data governance	2

BREAKOUT GROUPS FOR TODAY'S DISCUSSION

IT

Cyber security/liability

Data protection

Security (IT)

Technology strategy

SECURITY/FACILITIES

Disaster preparedness

Business continuity

Crisis response/Crisis Communication plan

HR

Recruitment & retention/competition

Performance evaluation

FINANCE

Budget

Tuition dependency

STUDENT & ACADEMIC AFFAIRS

Admissions/Retention/Enrollment trends

Student internships/Experiential learning