In November of 2011, Enterprise Risk Services (ERS) was formed by combining the offices of Emergency Management and Continuity, Environmental Health and Safety, and Risk Management into one administrative unit. ERS provides a variety of risk services throughout the University of Oregon. While each ERS office fills a distinct role, the unit’s shared mission is to collaborate with the campus community to safeguard life and human health and reduce the university’s vulnerability to conditions adversely affecting its ability to achieve the core mission of instruction, research, and public service.

Over the past five years the University of Oregon has seen significant change. We have added nearly 1 million square feet to bring total managed (owned and leased) square footage to 6.3 million. Our student enrollment has increased nearly 20 percent during the same period, with resulting employee increases as well. This time of growth is both exciting and challenging for the university and administrative units that support the university’s mission. It requires innovative and collaborative problem solving.

This five-year strategic plan provides a framework for ERS to establish a coordinated, collaborative approach to assess campus vulnerabilities and develop holistic solutions to make the university more resilient. A resilient university is one that is able to achieve its mission in the face of adversity. Although it is not possible to predict exactly when a crisis or emergency will occur or the extent to which it may affect the university, we can minimize losses through deliberate planning, training, and mitigation. We accomplish this by employing an interdisciplinary approach to campus risk management, safety, and emergency preparedness—one that leverages our key asset, our people, by providing them with the knowledge, skills, and technical assistance to address the ever-changing vulnerabilities our institution continues to face.

This approach helps make the University of Oregon more resilient and sustainable while providing the highest quality education and professional training to students and faculty and staff members. We believe our integrated enterprise risk management approach can serve as a national model of how to efficiently and effectively turn one of the campus’ greatest concerns, the safety and wellbeing of our people, into our strongest asset for building a resilient university.

Sincerely,
André Le Duc, Executive Director
University of Oregon Enterprise Risk Services
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The University of Oregon—A Major Asset

The University of Oregon is a critical institution for the city of Eugene, Lane County, the state of Oregon, and the entire Pacific Northwest region. It is a workplace for 4,700 instructors, researchers, and other employees; a place of learning for nearly 25,000 students; and a hub of activity for thousands of cultural and community events each year. Recent estimates show that direct spending by the university, its students, and visitors total more than $1.1 billion annually—part of a larger economic impact that exceeds more than $2 billion each year. The University of Oregon is also a major physical asset. The main campus in Eugene contains ninety major buildings across 300 acres, totaling more than six million square feet of floor space. Its facilities range from the newly built Lewis Integrative Science Building, which brings world-class researchers together under one roof, to historic nineteenth-century academic buildings.

The University of Oregon is a comprehensive research university that serves its students, the people of Oregon, the nation, and the world through the creation and transfer of knowledge in the liberal arts, natural and social sciences, and professional fields.

The University of Oregon is a member of the Association of American Universities, only one of two such institutions in the Pacific Northwest. In recent years, external grant funding has exceeded $135 million, reinforcing the University of Oregon's status as a center of research.
Plan Purpose

Enterprise Risk Services (ERS) provides a variety of professional services throughout the University of Oregon, including the main campus in Eugene, the UO in Portland, the Oregon Institute of Marine Biology in Charleston, and the Pine Mountain Observatory in central Oregon. While each ERS office fills a distinct role, the unit has an overarching and unifying mission: To collaborate with the campus community to safeguard life and human health and reduce the university’s vulnerability to conditions adversely affecting its ability to achieve the core mission of instruction, research, and public service.

The ERS Strategic Plan provides an overview of the unit and our role on campus. It also defines the unit’s vision, mission, and goals, and lays the foundation for individual work plans from each of the three ERS offices. The plan is a broad framework used to both guide the development of ERS and communicate our vision with our campus and community partners. The plan is intended to function as a living document that will be revised to reflect new and evolving institutional goals, as well as external circumstances, such as new risk sources or policy changes within the university.
Section 2: Unit Overview

Enterprise Risk Services is a unit within the University of Oregon’s Finance and Administration division. ERS is divided into three offices: Emergency Management and Continuity (EMC), Environmental Health and Safety (EHS), and the Office of Risk Management (ORM).
ERS and Organizational Resilience

What is risk? Risk can be defined as issues that impact the university’s ability to meet its objectives. The ERS Unit’s approach to risk and risk reduction is founded on the philosophy of organizational resilience.

“A resilient organization is one that is still able to achieve its core objectives in the face of adversity. This means not only reducing the size and frequency of crises (vulnerability), but also improving the ability and speed of the organization to manage crises effectively (adaptive capacity). To effectively manage crises, organizations also need to recognize and evolve in response to the complex system within which the organization operates (situation awareness) and to seek out new opportunities even in times of crisis.”

– Building Organizational Resilience: A Summary of Key Research Findings, Resilient Organizations Program, New Zealand 2006

Enterprise Risk Services employs an integrated systems approach to organizational resilience that provides numerous benefits, such as:

• Enhanced awareness and understanding of critical dependencies, functions, exposures, and vulnerabilities within the university;
• Increased cooperation and communication within the community through the planning process, training, and exercising;
• Improved adaptive capacity of the university through experience in working together during times of stress to solve problems;
• Increased protection of life, property, the environment, essential services, and critical facilities;
• Maintained continuity and quicker resumption of university functions, including education, research, and business systems; and
• Reduced short-term and long-term recovery and reconstruction costs.
Enterprise Risk Services’s Roles on Campus

One factor that makes Enterprise Risk Services a distinct unit on campus is the diverse number of services it fulfills, including:

- Professional Services
- Coordination and Facilitation
- Analysis and Planning Services
- Compliance Oversight
- Crisis Response Leadership
Professional Services

The staff of ERS provides a wide range of in-person professional services to the University of Oregon, covering a spectrum that includes cardiopulmonary resuscitation (CPR), automatic external defibrillator (AED), and first aid training; assistance with insurance forms; fire safety at events; hazardous material disposal; and many other services.

Below are some of the primary services provided by ERS (with estimated annual workloads):

- Asbestos abatement (55 projects)
- Automated external defibrillator (AED) program (73 AEDs)
- Business continuity planning
- Biosafety program (45 protocols)
- Safety Training (4,300 plus trainees)
  - Bloodborne pathogens
  - CPR and first aid
  - Confined space entry
  - Emergency preparedness
  - Fire extinguisher
  - Lockout and tagout
  - Respiratory protection
  - Van, forklift, golf cart driver
- Hazardous chemical waste disposal (20 tons)
- Chemical recycling program (513 chemicals)
- Employer at injury program
- Environmental monitoring
- Ergonomic assessments (238)
- Fire safety
  - Building inspections (150)
    - System testing (135)
    - Drills and training (60)
    - Hydrant/extinguisher inspection (2,765)
    - Campus events (more than 1,200 hours)
  - Incident management team leadership and training
  - Indoor air quality investigations
  - Pest management program
  - Insurance and claims management
  - Laboratory safety services
  - Lead exposure protection
  - Radiation safety services
  - Workers’ compensation claims management (191)
  - Fume hood certification (458)
  - Occupational health (194)
  - Others
Facilitated Committees and Teams

Campus Vulnerability Assessment Team (CVAT): EMC’s comprehensive planning process begins with an all-hazards risk assessment conducted by the interdisciplinary Campus Vulnerability Assessment Team (CVAT).

Emergency Management Advisory Committee (EMAC): The EMAC is responsible for oversight, guidance, development, and implementation of all emergency management plans.

Institutional Biosafety Committee: The IBC is delegated primary responsibility for the safe use of biohazardous agents in accordance with National Institutes of Health (NIH) Guidelines for Research Involving rDNA Molecules and Select Agents as defined by the Centers for Disease Control and Prevention. Compliance is reviewed for all aspects of the university including—but not limited to—instructional, research, and support functions.

Laboratory Safety Committee: The Laboratory Safety Committee is established by the authority of the president of the University of Oregon. The committee is delegated primary responsibility for safety in laboratories, including instructional, research, and support workers in laboratories. The committee oversees the development and implementation of the university’s Chemical Hygiene Plan.

Laser Safety Committee: The Laser Safety Committee is established by the authority of the president of the University of Oregon. The committee is delegated primary responsibility for the safe use of lasers in research and teaching environments. The program follows the guidelines of the ANSI Z 136.1 standard.

Radiation Safety Committee: The Radiation Safety Committee is established by the authority of the president of the University of Oregon and is delegated primary responsibility for the safe use of ionizing radiation, including but not limited to instructional, research, and support functions. The committee serves as the administrative body required by state rules and under the conditions of the university’s license for radioactive materials.

Safety Advisory Committee: In compliance with OAR 437-001-0765, the UO Safety Advisory Committee is a standing administrative committee appointed by the president and reporting directly to the vice president for finance and administration. The Safety Advisory Committee assists the university administration in providing a safe and healthy workplace for faculty, staff, and student workers by making recommendations on health and safety issues.

Strategic Enterprise Risk Management and Compliance (SERMC) Committee: The intent of the SERMC Committee is to build a process to both inform and share information across all reporting lines around risk identification and also provide guidance on mitigation and resolution.

UO Incident Management Team (UO-IMT): The UO Incident Management Team provides the command and control infrastructure required to manage the logistical, fiscal, planning, operational, and safety issues related to all incidents and emergencies. The UO-IMT follows the National Incident Management System and Incident Command System (NIMS ICS) to manage response to emergencies and disaster events. UO-IMT command staff members are trained to Type 3 IMT standards through Federal Emergency Management Agency all-hazard training.
Compliance Oversight

The University of Oregon must maintain compliance with numerous laws, regulations, rules, and policies affecting the research enterprise, facilities and infrastructure, operations, and employment. These compliance functions vary widely and impact nearly every aspect of campus life.

Below are a few examples:

- Clery Act reporting—Fire
- Department of Homeland Security - Chemicals of interest
- Environmental Protection Agency and State of Oregon Dept.
  Environmental Quality
  Wastewater discharge
  Hazardous waste disposal
  Air discharge
- Higher Education Opportunity Act reporting—Emergency notification
- National Institutes of Health
  Recombinant DNA
- Nuclear Regulatory Commission
  Radioactive materials
- Occupational Health and Safety Administration
  Laboratory standard
  Bloodborne pathogens
  Confined space entry
  Hazard communication
  Respiratory protection
  Hearing conservation
  Hazardous energy control
- Uniform Fire Code
Analysis and Planning Services

ERS is responsible for a significant amount of behind-the-scenes work. In many cases, this work involves long-term and big-picture analysis—identifying issues, gathering data, and offering solutions that improve the resilience of the university. ERS oversees the development, maintenance, and exercising of more than fifty plans and procedures to address occupational health and safety, environmental, and emergency response.

Risk Assessment

ERS provides various risk and vulnerability assessment services, including site-specific, event, and operational services.

- Event risk assessments (five to twenty five per week)
- Contract reviews (two to nine per week)
- Partial site or program assessments (five to ten annually)
- Full site or program vulnerability assessments (two annually)
- Preconstruction review

Planning

ERS maintains a number of emergency management and response plans.

- Emergency Operations Plans
  - Infectious diseases
  - Pandemic flu
  - Twelve hazard annexes
  - Six functional annexes
- Accidental Spill Prevention Plan
- Hazardous Materials Emergency Procedures and Contingency Plan
- Predisaster Mitigation Plan
- Preincident Response Plan
- Integrated Pest Management Plan
- Storm Water Pollution Control Plan
- Toxics Use Reduction Plan
Crisis Response Leadership

The ERS offices provide twenty four hour on-call response to support the campus first responders in managing and resolving emergency and crisis situations. ERS leads an all-hazard multidisciplinary Incident Management Team (IMT). The UO-IMT provides the command and control infrastructure required to manage the logistical, fiscal, planning, operational, and safety issues related to all incidents and emergencies. The UO-IMT follows the National Incident Management System and Incident Command System (NIMS ICS) to manage response to emergencies and disaster events. UO-IMT command staff members are trained to Type 3 IMT standards. The UO-IMT responded to and managed five significant incidents last year. EHS staff members also provide spill response in the science complex, maintain and test the UO Alert! emergency communication system, and conduct emergency exercises and fire drills.

Incident Response

Over the past three years the all-hazard UO Incident Management Team (UO-IMT) has been activated more than twenty times to address a broad range of incidents:

- Fire / explosions
- Bomb threats
- Winter / wind storms
- Power failures
- Pandemic flu
- Infectious diseases
- Protests
- Occupy movements

Special Event Planning

UO-IMT also provides preplanning for large-scale campus events having the potential to impact university operations. Below are examples:

- Olympic Track and Field Trials
- Regular-season football games and PAC 12 Championship game
- Commencement
- Willamette Valley Music Festival and ASUO Street Fair
- Ringling Brothers Circus
- ESPN Game Day
Section 3: Offices of Enterprise Risk Services

Emergency Management and Continuity
Environmental Health and Safety
Office of Risk Management
Emergency Management and Continuity (EMC)

EMC manages, coordinates, and supports a variety of planning, training, and exercising functions at the University of Oregon. Together, these functions ensure the university can protect against, respond to, recover from, and continue after natural and human-caused emergencies. EMC employs a coordinated and collaborative approach to systematically assess campus vulnerabilities and develop integrated solutions that support disaster resilience.

In addition, EMC communicates and collaborates, on the university's behalf, with a broad and diverse group of emergency management partners including the city of Eugene, Lane County, the state of Oregon, federal agencies, the Pac-12, and other higher education institutions, both nationally and internationally.

The work performed by EMC crosses functional lines and requires interaction with most units and departments on campus. In addition to coordinating campus response to incidents and emergencies, Emergency Management and Continuity staff members also perform risk assessments, plan for natural disasters, plan for special events, facilitate trainings and exercises, manage emergency communications such as the UO Alert! system, and manage the campus CPR, AED, and first aid training program.
Environmental Health and Safety (EHS)

EHS helps maintain a healthy and safe environment for the University of Oregon’s students, faculty, staff, and visitors. EHS staff members support this core purpose by providing technical assistance and specialized knowledge, leading trainings, overseeing compliance with applicable laws and rules, and working with the campus community to identify and resolve issues.

Due to the complexity of the work it performs, EHS is divided into three functional groups:

- **Environmental Management**, which conducts environmental monitoring, chemical and hazardous waste reduction and disposal, asbestos management, and integrated pest management, among other responsibilities.

- **Occupational Health and Safety**, which focuses on fire prevention and suppression, occupational health and safety, driver and vehicle safety, and construction safety.

- **Research Safety**, which has primary responsibility for laboratory safety, radiation safety, and biological safety.
Office of Risk Management (ORM)

ORM provides a variety of services to the University of Oregon that address risk, both proactively and in response to losses. The Office of Risk Management leads efforts to protect the University of Oregon’s assets by identifying, analyzing, and controlling exposures; mitigating risks; financing losses; and implementing and monitoring the risk management process. Specific functions handled by the Office of Risk Management include claims processing, workers’ compensation administration, and management of insurance policies.

The Office of Risk Management recently underwent a series of organizational and staffing changes that served to formalize and focus its role within the university and improve its ability to serve on-campus partners and clients. In addition, ORM’s role as coordinator and administrator of insurance coverage and claims management became even more critical following legislative changes in 2012 and 2013. Effective July 1, 2012, Oregon University System (OUS) was recognized as a system of public universities rather than a state agency and authorized OUS to procure its own insurance. Subsequent legal changes allowed for the University of Oregon to have its own Board with options to establish its own insurance program beginning in July 1, 2015.
The diagram below illustrates the relationship between the Unit Strategic Plan and the Annual Work Plans. The strategic plan is a guiding document intended to serve approximately a five-year period. By contrast, work plans are designed to implement the strategic plan each year. As such, they change annually to reflect work that has been accomplished and new objectives for the coming year.

**Section 4: Strategic and Work Planning Framework**

The diagram below illustrates the relationship between the Unit Strategic Plan and the Annual Work Plans. The strategic plan is a guiding document intended to serve approximately a five-year period. By contrast, work plans are designed to implement the strategic plan each year. As such, they change annually to reflect work that has been accomplished and new objectives for the coming year.

**Strategic Plan**

- **Vision**: An aspirational statement of what ERS strives to achieve in the long-term.
- **Mission**: Why ERS exists now and what we do.
- **Guiding Principles**: A set of unchanging values that inform all of the work ERS performs.

**Goals**: What ERS wants to achieve during a three to five year time horizon. The goals are common across all three ERS offices.

**Objectives**

Objectives are SMARTER:
- **Specific**
- **Measurable**
- **Achievable**
- **Relevant**
- **Timeframed**
- **Evaluated**
- **Re-Evaluated**

**Annual Work Plans**

- **Actions**: The elements used to measure and evaluate not only if an objective has been achieved, but also how well it was achieved.
- **Benchmarks**
- **Targets**
- **Data Sources**
Section 5: Strategic Plan Elements

Vision

The vision is a statement of what ERS aspires to achieve in the long term. It describes an ideal outcome to strive toward. The vision for ERS is

“To ensure that students, employees, facilities, and the core mission at the University of Oregon are resilient to disruptions, regardless of their size, type, source, or complexity.”

Guiding Principles

Guiding principles are basic values that guide all of the work an organization performs. They reflect fundamental beliefs shared by a group of people, and as such, they should change very little over time. The guiding principles of ERS are as follows:

Integrated: Ensure unity of effort among all levels of administration and all elements of the campus community.

Collaborative: Create and sustain broad and sincere relationships among individuals and organizations to encourage trust, advocate a team atmosphere, build consensus, and facilitate communication.

Coordinated: Synchronize the activities of all relevant stakeholders to achieve a common purpose.

Productive: Generate results, benefits, and products to protect the mission of the university.

Flexible: Use creative and innovative approaches to problem solving.

Comprehensive: Consider and take into account all hazards, all phases (e.g. mitigation, loss prevention, response, continuity of operations, and recovery), all stakeholders, and all impacts relevant to crises and disasters.

Progressive: Anticipate future risks and vulnerability and take preventive and preparatory measures to build a disaster-resilient and sustainable campus.

Risk and Data Driven: Use sound risk management principles (hazard identification, risk analysis, and impact analysis) and data in assigning priorities and resources.
Mission

The mission of ERS is:

“To collaborate with the campus community to safeguard life & human health and reduce the university’s vulnerability to conditions adversely affecting its ability to achieve the core mission of instruction, research, and public service.”
## Section 6: 2013-18 Strategic Plan Goals and Objectives

<table>
<thead>
<tr>
<th>Goals</th>
<th>Objectives</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>1</strong> Create a culture around enterprise risk management.</td>
<td>1A Integrate risk awareness and reduction into existing trainings, processes, and programs (e.g., new employee training, and student orientation).</td>
</tr>
<tr>
<td>Promote a risk-aware culture without creating a risk-averse climate.</td>
<td>1B Engage campus clients or partners to help them understand their risks (e.g., operational, strategic, financial, compliance, and reputational).</td>
</tr>
<tr>
<td></td>
<td>1C Provide guidance, technical assistance, training, and direction to campus clients or partners on risk mitigation solutions.</td>
</tr>
<tr>
<td><strong>2</strong> Assess risk and reduce losses.</td>
<td>2A Develop and maintain a comprehensive and coordinated threat hazard identification and risk-vulnerability assessment.</td>
</tr>
<tr>
<td>Assess vulnerability and exposure and proactively reduce losses.</td>
<td>2B Determine the appropriate or required level of controls to better manage risks (e.g., integrated all-hazards risk-based approach for mitigation, response, and continuity of operations, recovery, insurance, and preparedness planning for campus).</td>
</tr>
<tr>
<td></td>
<td>2C Work with campus leadership to identify high risk and reward areas and acceptable risk tolerance for the campus.</td>
</tr>
<tr>
<td><strong>3</strong> Protect the university.</td>
<td>3A Perform inspections, testing, exercising of systems, equipment, resources, and protocols for emergency response and life safety.</td>
</tr>
<tr>
<td>Protect life, property, the environment, essential services, and mission critical facilities.</td>
<td>3B Support utilization of the National Incident Management System and Incident Command System principles through the UO-Incident Management Team.</td>
</tr>
<tr>
<td></td>
<td>3C Perform a resource review and inventory to ensure adequate equipment and materials for emergency response.</td>
</tr>
<tr>
<td><strong>4</strong> Ensure continuity.</td>
<td>4A Maintain a planning process to develop pre-event, incident action, emergency operations and response, mitigation, and continuity plans.</td>
</tr>
<tr>
<td>Support quick resumption of university core mission and business systems.</td>
<td>4B Support proactive training and exercising efforts for preparedness, response, and continuity.</td>
</tr>
<tr>
<td><strong>5</strong> Provide outreach and cooperation within and outside the campus.</td>
<td>5A Increase campus awareness of ERS, its mission, and its capabilities.</td>
</tr>
<tr>
<td>Increase cooperation and communication within the community through the planning process, training, and exercising.</td>
<td>5B Continue to build and maintain campus, local, state, higher education, and national partnerships and coalitions.</td>
</tr>
<tr>
<td></td>
<td>5C Identify opportunities for institutionalizing and formalizing ERS involvement with the activity of other campus divisions or units to proactively mitigate or reduce losses.</td>
</tr>
</tbody>
</table>
The intent of this strategic plan is to provide the ERS Unit a shared vision, mission, goals and objectives to guide the development of both individual office annual workplans and unit / campus-wide strategic initiatives. ERS is using a Continual Improvement Process (CIP) to gauge how we are doing in achieving our goals and objectives. Core to the CIP is the reflection on process and procedures and actively seeking feedback to look for efficiencies, and incrementally evolving to meet new demands and needs. The steps that follow are some of the ways ERS will continue to evaluate, measure and adapt our plans to meet the needs of the University.

- Solicit feedback from campus partners on ERS committees, teams, programs, initiatives, and trainings.
- Review plan goals and objectives annually to determine appropriateness.
- Identify issues that may not have been identified when the plan was developed.
- Examine best practices from other universities for innovative ways to achieve defined goals.
- Develop annual work plans, budgets, and strategic initiatives based upon defined goals and objectives.
- Identify specific indicators that are appropriate measures for gauging our progress toward our goals and objectives.
- Document progress in the ERS annual report.
- Seek additional funding opportunities (e.g. grants and gifts) to advance the ERS mission.
Conclusion

The ERS 2013-18 Strategic Plan expresses the unit’s continued commitment to provide the highest level of professionalism, best customer service, and prudent stewardship of University of Oregon resources. We are proud to present this plan, yet it is only that — a plan. The plan will not achieve success unless we widely communicate our vision, mission, and strategic goals and incorporate them into the day-to-day business activities of the unit. We are committed to monitoring our performance throughout the year and making adjustments as needed to achieve the desired results our campus customers need and deserve.

To find more detailed information about the services and programs within the ERS offices please visit our website at: http://ers.uoregon.edu - OR - contact us at 541-346-9211.