

## **Risk Management Report – Critical Employee Training**

### **BACKGROUND**

In March 2016, the Executive & Audit Committee approved a model for developing action plans to mitigate the top risks that may hinder OSU's ability to achieve the objectives outlined in Strategic Plan 3.0. Each of the identified top risks was assigned to the various Board Committees based on alignment with each committee's charter and workload. In December 2016, the Academic Strategies Committee reviewed an initial risk action plan for critical employee training, one of the risks assigned to the committee.

### **NEXT STEPS**

At the March 2017 meeting, staff will provide the annual progress report on efforts to address critical employee training (Attachment 1). This progress report was also recently reviewed with the Campus Compliance Executive Committee, Provost's Council and President's Cabinet.

Attachment 1

**Oregon State University  
University Risk Management 2016-17 Priorities  
Critical Employee Training**

Board Oversight Committee	Risk Topic	University Goal	Type(s) of Risks to be Prevented	Risk Owner(s)	Primary Risk Mitigation Strategy(ies) <sup>1</sup>	Risk Mitigation Team
Academic Strategies Committee	Critical Employee Training	Well-trained, effective and competent staff and faculty to ensure the safety of employees/students and the understanding of compliance regulations and to reduce OSU's exposure to fines and violations	Operational, Compliance, Financial, Reputational	Provost, VP for Finance and Administration	Reduce	Senior Vice Provost for Academic Affairs, Chief Human Resource (HR) Officer, Chief Compliance Officer
<b>Mitigation Plan</b>						
Objectives to Achieve	Actions to Satisfy Objectives			Status Report		
1. Develop comprehensive training courses	<ul style="list-style-type: none"> <li>a. Hire critical HR and compliance (Title IX) leadership positions.</li> <li>b. Convene workgroup on critical training to identify and prioritize critical training needs and resources.</li> <li>c. Hold regular meetings of the Critical Training Workgroup.</li> <li>d. Workgroup to review and identify additional training needs.</li> <li>e. Develop training modules for each critical area identified by the Critical Training Workgroup,</li> </ul>			<p><b>Feb 2017:</b> National search for HR Director began.</p> <p><b>Feb 2017:</b> Executive Director for Equal Opportunity and Access (Title IX, VII, ADA, etc.) started work.</p> <p><b>Oct 2016:</b> Workgroup convened.</p> <p><b>Winter Term 2017:</b> Completion of gap analysis; identification of needs by themes: Compliance/Regulatory/Ethics, HR, Safety/Risk, etc.; prioritized needs; reviewed/developed budgetary requirements.</p>		

	<p>incorporating and expanding the best current practices.</p>	<p><b>Quarterly:</b> Workgroup meets to review training needs and effectiveness.</p> <p><b>Winter-Spring 2017:</b> Evaluation of modules/training for purchase vs. development; initiation of development and/or improvement of current trainings; prioritization of trainings; development of request for proposals to purchase, if applicable.</p> <p><b>Fall 2017:</b> High-risk trainings finalized and implemented.</p> <p><b>2017-2018:</b> Continued development of critical trainings identified by themes.</p>
<p>2. Monitor participation in training</p>	<p>a. Convene a workgroup to research, evaluate and select a Learning/Talent Management System (LMS/TMS) () as a delivery and tracking system for critical trainings. Evaluation includes consideration of the development of tracking tool using existing technology.</p> <p>b. Until LMS/TMS implemented, develop temporary measures to ensure supervisors and managers are monitoring the completion of high-priority training by their employees.</p> <p>c. Develop or implement the selected LMS/TMS system or tracking tool.</p>	<p><b>Oct 2016:</b> Workgroup convened.</p> <p><b>Fall/Winter 2017:</b> Identify and prioritize system needs and requirements.</p> <p><b>Winter/Spring 2017:</b> Review software options (in-house and for purchase); determine software integration capabilities; determine programming needs and support; review ongoing maintenance needs; develop budgetary requirements.</p> <p><b>Winter/Fall 2017:</b> Complete development and implementation of temporary measures.</p> <p><b>2017-2018</b></p>
<p>3. Assess training effectiveness and continuously improve.</p>	<p>a. Critical Training Workgroup to develop assessment tools for continually improving training effectiveness.</p>	<p><b>2017-2018</b></p>

Performance Metrics			
Metric	Current Measure	Goal	Comments
1. Percentage of employees trained based upon position requirements.			To be developed as part of LMS/TMS system.
Plan Review and Report Schedule			
Action	Oversight Group	Completion Date or Frequency of Action	Comments
1. Approve training plans, followed by semi-annual status reports.	Campus Compliance Executive Committee	Complete spring 2017; Semi-annually afterwards	<b>May 2017:</b> Complete training plan for critical compliance, regulatory, and ethics trainings. Begin development of training plans for other themes.  <b>Fall 2017:</b> Complete training plans for other themes.
2. Discuss annual progress report.	Provost's Council and Cabinet	Annually	<b>Feb 2017,</b> in advance of annual report to Academic Strategies Committee.
3. Review annual progress report; schedule educational and discussion items as identified in the committee's annual work plan.	Academic Strategies Committee	Annually	<b>Mar 2017:</b> Progress report.