

Board of Trustees  
**Human Resources / Labor Relations Committee**

March 7, 2022  
2:00 PM to 4:00 PM  
ZOOM - No Physical Location

The public is invited to view the meeting on YouTube. The link to the Board of Trustees YouTube page can be found on the Board website: <https://www.maine.edu/board-of-trustees/>

**AGENDA**

**Executive Session**

The Human Resources & Labor Relations Committee will enter Executive Session under the provisions of: 1 MRS-A Section 405 6-A & 6-D.

Following the executive session the committee will reconvene to discuss the following items:

- TAB 1**      [Approval of Collective Bargaining Agreement, PATFA](#)
- TAB 2**      [Enterprise Risk Management Update – Human Resources](#)

Action items within the Committee purview are noted in green.

Items for Committee decisions and recommendations are noted in red.

*Note: Times are estimated based upon the anticipated length for presentation or discussion of a particular topic. An item may be brought up earlier or the order of items changed for effective deliberation of matters before the Committee.*

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Approval of Collective Bargaining Agreement, PATFA

**INITIATED BY:** Sven P. Bartholomew, Chair

**BOARD INFORMATION:** **BOARD ACTION:** X

**BOARD POLICY:**  
Section 407 Labor Relations

**UNIFIED ACCREDITATION CONNECTION:** N/A

**BACKGROUND:**  
The Board of Trustees delegates responsibility for negotiating collective bargaining agreements to the Chancellor. The Chancellor reports tentative agreements to the Board for approval prior to executing the agreements.

The University has reached a tentative agreement with the Maine Part-Time Faculty Association (PATFA). The Human Resources and Labor Relations Committee will be briefed on the terms of the Agreement at the meeting.

**TEXT OF PROPOSED RESOLUTION:**  
That the Human Resources and Labor Relations Committee approves the following resolution to be forwarded to the Board of Trustees for approval at the March 27-28, 2022 Board meeting:

That the Board of Trustees accepts the recommendation of the Human Resources and Labor Relations Committee and authorizes the Chancellor to execute the collective bargaining agreement with the Maine Part-Time Faculty Association (PATFA) upon notice that the agreement has been ratified.

University of Maine System  
Board of Trustees

**AGENDA ITEM SUMMARY**

**NAME OF ITEM:** Enterprise Risk Management Update - Human Resources

**INITIATED BY:** Sven P. Bartholomew, Chair

**BOARD INFORMATION:** X

**BOARD ACTION:**

**BOARD POLICY:**

N/A

**UNIFIED ACCREDITATION CONNECTION:**

N/A

**BACKGROUND:**

Gretchen Catlin, Director of Risk Management and Real Estate, will provide an update to the Human Resources & Labor Relations Committee regarding Enterprise Risk Management (ERM) and the five risks assigned to this Committee for oversight. Overall, Risk Management is monitoring 19 enterprise-level risks.



# Enterprise Risk Management

Human Resources & Labor Relations Committee—  
March, 2022

Gretchen Catlin, BS, CHC  
System Risk Manager

# Executive Summary

- Each enterprise risk has a designated Trustee Committee of oversight, as suggested by Trustees.
- The University of Maine System is monitoring 19 enterprise level risks. Five of those risks have been assigned to the Human Resources & Labor Relations Committee for oversight.
- Gretchen Catlin will provide an update on risks assigned to this committee and next steps for enterprise risk management.



Enterprise Risk Matrix

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control
		Materiality	Frequency (Scope)	Measur				
R1	Personal injury or death of students, employees or guests	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Safety Program	HR and Labor Relations	Chief Facilities Management & General Services Officer
R2	Infrastructure loss threatening to continuity of operations	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Preventative Maintenance	FFT	Chief Facilities Management & General Services Officer
R3	Loss of state or public confidence in the value & merit of higher education	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Strategic	Focus on Strategic Planning Effective communications Public and Gov't Relations	Executive	Director of Community & Government Relations
R4	Data breach or cyber incident	4 (High) \$>\$10M	4 (Likely >65%)	16	Insurable	Limitation of PHI on computers, training, risk	FFT	Chief Information Officer
R5	Title IX complaints/lawsuits	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Training & Communication	HR and Labor Relations	Chief Human Resources Officer
R6	Radical or long-term enrollment change	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Strategic	Strategic Actions and Tracking Enrollment (Facilitation)	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R7	Loss of state appropriation funding or other state policy threatening solvency or the ability to operate	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Financial	Continued Lobbying effort with State	Executive	Director of Community & Government Relations
R8	Product Liability lawsuit	4 (High) \$>\$10M	1 (Remote 0-10%)	4	Insurable	Monitoring of Patent and Licensing with Counsel	Executive	General Counsel
R9	Investment Decline	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Financial	Diversification	Investment	Vice President Finance &

Enterprise Risk Matrix

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control
		Materiality	Frequency (Scope)	Measure				
R10	Natural disaster threatening to life or property	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Business Continuity Planning	FFT	Chief Facilities Management & General Services Officer
R11	Credit rating downgrade resulting in increased cost of capital and hitting state debt cap	3 (Medium) \$1.1M- \$ 10M	2 (Unlikely 11-25%)	6	Strategic	Routine budget review	Audit	Vice President Finance & Controller & Vice President Budgeting and Financial Analysis
R12	Inability to obtain a quorum of Trustees to take action necessary for continuity of operations	1 (Negligible) <\$400K	1 (Remote 0-10%)	1	Strategic	Pending	Executive	General Counsel
R13	Loss of key officer(s)/staff threatening continuity of operations	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Human Capital	Cross-Training, leadership training	HR and Labor Relations	Chief Human Resources Officer
R14	Event or events threatening to the reputation of a school or schools	4 (High) \$>\$10M	2 (Unlikely 11-25%)	8	Insurable	Effective Public Communications, engagement with all campuses, crisis communication experience	Executive	Executive Director of Public Affairs
R15	Student Retention Decline	4 (High) \$>\$10M	4 (Likely >65%)	16	Strategic	Strategic Actions & Planning	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R16	Minors on campus	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Liability insurance	HR and Labor Relations	Chief Human Resources Officer
R17	Improper foreign influence & trade secrets relative to research	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Operational	Background screening and licensure requirement review	Academic & Student Affairs	Vice-Chancellor for Academic Affairs
R18	Conflicts of interest	1 (Negligible) <\$400K	3 (Possible 26-65%)	3	Human Capital	Policy, annual training, GC reviews questions - people need to identify and disclose. Self-Identify,	HR and Labor Relations	General Counsel
R19	Export control compliance	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Operational	Screening, policies & procedures	Academic & Student Affairs	Vice-Chancellor for Academic Affairs

## Summary of Control Strategies

The following slide provide a summary of control strategies implemented for each identified risk.

The enterprise risk matrix is actively worked. Therefore, control strategies are in various stages of implementation. The color coded chart below explains what phase of implementation the control strategies are currently in.

Control Strategy Status Matrix	
	Control strategies are fully implemented
	Strategies are pending
	Strategies are in-progress, not yet fully implemented



Human Resources & Labor Relations Committee

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control	Summary of Control Strategies
		Materiality	Frequency (Scope)	Measure					
R1	Personal injury or death of students, employees or guests	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Safety Program Training	HR and Labor Relations	Chief Facilities Management & General Services Officer	<ul style="list-style-type: none"> <li>- Occupational safety audits</li> <li>- Safety management training: annual, proactive and in response to identified risks</li> <li>- Workers Compensation SWAT team</li> <li>- Property audits</li> <li>- General Liability insurance</li> <li>- Workers Compensation insurance</li> </ul>
R5	Title IX complaints/lawsuits	3 (Medium) \$1.1M- \$ 10M	4 (Likely >65%)	12	Insurable	Training & Communication	HR and Labor Relations	Chief Human Resources Officer	<ul style="list-style-type: none"> <li>- Sex offender registry screening upon hire</li> <li>- Annual training</li> <li>- Communication strategy to address how Title IX applies to both students &amp; employees</li> <li>- Investigation standard procedures</li> <li>- Bringing in a Title IX Auditor to assess current procedures and make recommendations</li> </ul>
R13	Loss of key officer(s)/staff threatening continuity of operations	3 (Medium) \$1.1M- \$ 10M	3 (Possible 26-65%)	9	Human Capital	Planning & training	HR and Labor Relations	Chief Human Resources Officer	<ul style="list-style-type: none"> <li>- Succession planning</li> <li>- Leadership training</li> <li>- Employee development plans</li> <li>- Cross training opportunities</li> <li>- New onboarding program implemented</li> <li>- Developing Talent Acquisition Division</li> </ul>

Control Strategy Status Matrix	
	Control strategies are fully implemented
	Strategies are pending
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Human Resources & Labor Relations Committee

ID	Risk Description	Risk Assessment			Type	Control/Mitigation Description	BOT Committee	Management locus of control	Summary of Control Strategies
		Materiality	Frequency [Scope]	Measure					
R16	Minors on campus	4 (High) \$>\$10M	3 (Possible 26-65%)	12	Insurable	Liability insurance Screening	HR and Labor Relations	Chief Human Resources Officer	<ul style="list-style-type: none"> <li>- Liability insurance including excess coverage is in place.</li> <li>- Background check screening for employees, including the sex offender registry</li> <li>- Safety, compliance and State required trainings</li> <li>- Waivers of Liability implemented when</li> </ul>
R18	Conflicts of interest	1 (Negligible) <\$400K	3 (Possible 26-65%)	3	Human Capital	Policy & Training	HR and Labor Relations	General Counsel	<ul style="list-style-type: none"> <li>- Conflict of interest policy</li> <li>- Annual Training (new in 2019)</li> <li>- General Counsel reviews questions</li> <li>- Self disclosure required</li> </ul>

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	Control strategies are fully implemented
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## Next Steps

Risk Management is committed to providing regular updates to each Board Committee.

Board Committee	Date
Academic & Student Affairs	May 2, 2022
Finance, Facilities & Technology	May 4, 2022
Investment	May 19, 2022
Executive	TBD
Audit	October, 2022