

Notice of Meeting

UNIVERSITY OF HAWAI'I BOARD OF REGENTS COMMITTEE ON INDEPENDENT AUDIT

Members: Regents Higaki (Vice Chair), Acoba, McEnerney, Portnoy, and Shinsato

Date: Thursday, August 2, 2018

Time: 9:00 a.m.

Place: University of Hawai'i at Mānoa
Information Technology Building
1st Floor Conference Room 105A/B
2520 Correa Road
Honolulu, Hawai'i 96822

AGENDA

- I. **Call Meeting to Order**
- II. **Election of Committee Chairperson**
- III. **Approval of Minutes of the May 18, 2018 Meeting**
- IV. **Public Comment Period for Agenda Items:** All written testimony on agenda items received after posting of this agenda and up to 24 hours in advance of the meeting will be distributed to the board. Late testimony on agenda items will be distributed to the board within 24 hours of receipt. Written testimony may be submitted via US mail, email at bor@hawaii.edu, or facsimile at 956-5156. Individuals submitting written testimony are not automatically signed up for oral testimony. Registration for oral testimony on agenda items will be provided at the meeting location 15 minutes prior to the meeting and closed once the meeting begins. Oral testimony is limited to three (3) minutes. All written testimony submitted are public documents. Therefore, any testimony that is submitted verbally or in writing, electronically or in person, for use in the public meeting process is public information and will be posted on the board's website.
- V. **Agenda Items**
 - A. For Approval:
 1. Committee Goals & Objectives
 - B. For Information & Discussion:
 1. Whistleblower Report
 2. Enterprise Risk Management Report
 3. Committee Annual Review

VI. Executive Session (closed to the public):

A. Personnel: *(To consider the hire, evaluation, dismissal, or discipline of an officer or employee, where consideration of matters affecting privacy will be involved, pursuant to Section 92-5(a)(2), Hawai'i Revised Statutes (HRS))*

1. Evaluation of the Internal Auditor

VII. Adjournment

Item IV.A.1.
Committee Goals &
Objectives

**ITEM TO BE
DISCUSSED AT
MEETING**

University of Hawaii
Whistleblower Tracking Report
June 15, 2016 - July 27, 2018

Case #	Campus	Classification	Submitted by	Date Opened	Status		Description
					In process	Closed	
277	UH - Manoa	Violation of University policy	Employee	07/24/18	x		HR matter under investigation
276	UH - Manoa	Employee misconduct	Employee	07/23/18	x		Poor treatment of service providers.
275	UH - Manoa	Employee misconduct	Employee	07/21/18	x		HR matter under investigation
274	UH - Manoa	Violation of University policy	Employee	07/21/18	x		Conflict of interest.
273	UH - Manoa	Employee misconduct	Employee	07/20/18	x		Staff not working 8 hr days.
272	UH - Manoa	No violation alleged	Employee	07/18/18	x		Inappropriate and untimely vacuuming at Campus Center Dining.
271	UH - Hilo	No violation alleged	Employee	07/13/18	x		Identical to case #263.
270	Hawaii CC	Violation of University policy	Employee	06/22/18	x		Title IX
269	Hawaii CC	Violation of University policy	Employee	06/22/18		x	HR matter investigated. No violation.
268	UH - Hilo	No violation alleged	Non-employee	06/19/18	x		Signage not displayed.
267	UH - Hilo	Violation of University policy	Employee	06/12/18		x	Inappropriate travel investigated and resolved.
266	System	Violation of University policy	Employee	06/08/18	x		HR matter under investigation
265	UH - Hilo	Employee misconduct	Non-employee	06/05/18	x		HR matter under investigation
264	UH - Manoa	No violation alleged	Employee	05/22/18		x	Employees working inefficiently reviewed and resolved.
263	UH - Hilo	No violation alleged	Non-employee	05/21/18	x		Office periodically opens late.
262	UH - Hilo	No violation alleged	Non-employee	05/19/18		x	HR matter reviewed and resolved.
261	Leeward CC	Violation of University policy	Employee	05/18/18		x	HR matter reviewed and resolved.
260	UH - Manoa	Student misconduct	Non-employee	05/17/18		x	Social media postings. Alleged student no longer a student at UH.
259	UH - Manoa	Violation of University policy	Non-employee	05/15/18		x	HR matter reviewed and resolved.
258	UH - Hilo	No violation alleged	Employee	05/14/18		x	Untimely e-mail responses reviewed and resolved.
257	Windward CC	Employee misconduct	Employee	05/09/18	x		HR matter under investigation
256	UH - Hilo	Violation of University policy	Employee	05/02/18		x	HR matter reviewed and resolved.
255	Kapiolani CC	Violation of University policy	Employee	04/30/18		x	HR matter investigated. No violation.
254	Kapiolani CC	No violation alleged	Employee	04/30/18		x	Staff competency reviewed and resolved.
253	System	Hazardous condition	Non-employee	04/29/18		x	Soil issue. No violation.
252	UH - Hilo	Employee misconduct	Non-employee	04/26/18		x	HR matter investigated. No violation.
251	System	Employee misconduct	Employee	04/24/18	x		HR matter under investigation
250	Hawaii CC	Violation of University policy	Employee	04/20/18		x	Alcohol complaint investigated and resolved.
249	UH - Manoa	Employee misconduct	Employee	04/19/18		x	HR matter. Addtl info. requested but not provided.
248	UH - Manoa	Employee misconduct	Employee	04/18/18		x	HR matter reviewed and resolved.
247	System	Violation of University policy	Non-employee	04/16/18		x	Inappropriate use of UH network investigated. No violation.
246	UH - Manoa	Violation of University policy	Employee	04/08/18		x	HR matter reviewed and resolved.
245	UH - Manoa	No violation alleged	Employee	04/02/18		x	Employee service awards complaint reviewed and resolved.
244	UH - Manoa	Violation of University policy	Employee	03/31/18		x	Alcohol complaint investigated and resolved.
243	System	Violation of University policy	Employee	03/22/18		x	HR matter. Addtl info. requested but not provided.
242	UH - Manoa	No violation alleged	Non-employee	03/21/18		x	Complaint against volunteer investigated. No violation.
241	Kapiolani CC	Violation of University policy	Employee	03/20/18		x	HR matter investigated. No violation.
240	Windward CC	Violation of University policy	Employee	03/18/18		x	HR matter investigated. No violation.
239	UH - West Oahu	Employee misconduct	Employee	03/16/18		x	HR matter reviewed and resolved.
238	UH - Hilo	No violation alleged	Non-employee	03/16/18		x	Faculty living off island.

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Case #	Campus	Classification	Submitted by	Date Opened	Status		Description
					In process	Closed	
237	UH - Hilo	No violation alleged	Non-employee	03/16/18		x	Faculty competency.
236	UH - Manoa	Employee misconduct	Employee	03/14/18		x	Faculty complaint. Addtl info. requested but not provided.
235	UH - Hilo	No violation alleged	Employee	03/09/18		x	Against the appointment of an interim dean.
234	UH - Manoa	Employee misconduct	Non-employee	03/02/18		x	HR matter reviewed and resolved.
233	UH - Manoa	Violation of University policy	Employee	03/02/18		x	Hiring practice. Addtl info. requested but not provided.
232	UH - Manoa	No violation alleged	Employee	03/01/18		x	Process to distribute documents.
231	UH - Manoa	Violation of University policy	Employee	02/23/18		x	Identical to case 230.
230	UH - Manoa	Violation of University policy	Employee	02/23/18		x	Individual smoking on campus. Forwarded to Public Safety.
229	Hawaii CC	Violation of University policy	Employee	02/22/18	x		HR matter under investigation
228	UH - Manoa	No violation alleged	Employee	02/22/18		x	Flag presentation at facility.
227	UH - Manoa	No violation alleged	Employee	02/20/18		x	No report submitted.
226	UH - Manoa	No violation alleged	Employee	02/14/18		x	Protocol non-compliance at the Warrior Rec Center.
225	UH - Manoa	Violation of University policy	Employee	02/10/18		x	HR matter reviewed and resolved.
224	UH - Hilo	No violation alleged	Non-employee	02/01/18		x	Untimely meeting notification.
223	UH - Hilo	No violation alleged	Non-employee	01/31/18		x	Identical to case 221.
222	UH - Hilo	No violation alleged	Non-employee	01/30/18		x	Identical to case 221.
221	UH - Hilo	No violation alleged	Non-employee	01/30/18		x	Guinea pig in dorm room reviewed and resolved.
220	UH - Manoa	Employee misconduct	Non-employee	01/29/18		x	HR matter reviewed and resolved.
219	UH - Manoa	Student misconduct	Employee	01/29/18		x	Non-compliance with policies and regulations reviewed and resolved.
218	UH - Manoa	Violation of University policy	Employee	01/23/18		x	Non-compliance with policies and regulations reviewed and resolved.
217	Hawaii CC	Violation of University policy	Employee	01/20/18		x	Conflict of interest reviewed. No violation.
216	System	Violation of University policy	Employee	01/17/18		x	HR matter reviewed and resolved.
215	UH - Manoa	No violation alleged	Non-employee	01/17/18		x	Identical to case #213.
214	UH - Manoa	No violation alleged	Non-employee	01/16/18		x	Identical to case #213.
213	UH - Manoa	No violation alleged	Non-employee	01/16/18		x	Crowded classroom resolved by moving to a larger class.
212	UH - Manoa	Violation of University policy	Employee	01/15/18		x	HR matter. Addtl info. requested but not provided.
211	UH - Hilo	Employee misconduct	Employee	01/13/18		x	HR matter reviewed and resolved.
210	Windward CC	No violation alleged	Non-employee	01/13/18		x	Inappropriate Facebook post.
209	UH - Manoa	Student misconduct	Non-employee	01/13/18		x	Alcohol and drug complaint. Investigated and resolved.
208	UH - Hilo	Employee misconduct	Non-employee	01/12/18		x	HR matter reviewed and resolved.
207	UH - Manoa	Violation of University policy	Non-employee	01/12/18		x	Non-compliance with policies, laws and regulations.
206	UH - Manoa	Violation of University policy	Employee	01/12/18		x	Individuals smoking on campus. Forwarded to Public Safety.
205	UH - West Oahu	Violation of University policy	Non-employee	01/12/18		x	Individuals not smoking in designated areas. No violation.
204	UH - Hilo	No violation alleged	Employee	01/10/18		x	HR matter reviewed and resolved.
203	Hawaii CC	Violation of University policy	Non-employee	01/08/18		x	Title IX. Addtl info. requested but not provided.
202	Kapiolani CC	Hazardous condition	Employee	01/02/18		x	Caution tape blocking flooded stairwell. Campus addressed matter
201	Hawaii CC	Violation of University policy	Employee	12/27/17	x		HR matter under investigation
200	UH - Hilo	Violation of University policy	Employee	12/20/17		x	HR matter under investigation. Addtl info requested from reporter.
199	UH - Manoa	Student misconduct	Non-employee	12/14/17		x	Student cheated on exam. Forwarded to Office of Judicial Affairs.
198	Honolulu CC	No violation alleged	Non-employee	12/12/17		x	Inappropriate Facebook post.
197	Kapiolani CC	Hazardous condition	Employee	12/04/17		x	Equipment stored in hallways. Reviewed and resolved.

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196	Kapiolani CC	Violation of University policy	Employee	12/04/17		x	HR matter reviewed and resolved.
195	UH - Manoa	Violation of University policy	Employee	12/03/17		x	Addtl info. requested from reporter. Addtl info not provided.
194	Hawaii CC	No violation alleged	Employee	11/27/17		x	Identical to case #190.
193	UH - Hilo	No violation alleged	Employee	11/26/17		x	Competency of staff personnel.
192	Windward CC	Violation of University policy	Non-employee	11/23/17	x		Title IX. Investigation ongoing.
191	System	Employee misconduct	Non-employee	11/19/17		x	Addtl info. requested from reporter. Addtl info not provided.
190	Hawaii CC	No violation alleged	Employee	11/18/17		x	Inequitable work shifts. Reviewed and resolved.
189	Kapiolani CC	Violation of University policy	Employee	11/01/17		x	Policy violation allegation investigated. No violation.
188	UH - Hilo	No violation alleged	Non-employee	10/31/17		x	Identical to case #185.
187	UH - Hilo	No violation alleged	Non-employee	10/31/17		x	Identical to case #185.
186	UH - Hilo	No violation alleged	Non-employee	10/31/17		x	Identical to case #185.
185	UH - Hilo	No violation alleged	Non-employee	10/31/17		x	Competency of staff personnel.
184	UH - Hilo	Employee misconduct	Non-employee	10/23/17		x	HR matter reviewed and resolved.
183	System	Violation of University policy	Employee	10/18/17		x	Non-compliance with laws/regs. Addtl info requested not provided.
182	UH - Manoa	Violation of University policy	Employee	10/17/17	x		Non-compliance with University policies
181	Windward CC	Violation of University policy	Employee	10/12/17		x	Title IX. Addtl info. requested. Addtl info not provided.
180	UH - Manoa	No violation alleged	Non-employee	10/11/17		x	Academic grievance forwarded to departmental personnel.
179	UH - Hilo	Employee misconduct	Non-employee	10/10/17		x	HR allegation reviewed and resolved
178	UH - Manoa	Employee misconduct	Non-employee	10/09/17		x	Identical to case #177.
177	UH - Manoa	Employee misconduct	Non-employee	10/09/17		x	Academic grievance forwarded to departmental personnel.
176	Honolulu CC	Violation of University policy	Employee	10/09/17		x	Addtl info. requested from reporter. Addtl info not provided.
175	UH - Manoa	No violation alleged	Employee	10/03/17		x	Service animal.
174	Kapiolani CC	Violation of University policy	Employee	09/14/17		x	Conflict of interest reviewed. No violation.
173	UH - Manoa	Violation of University policy	Employee	09/13/17		x	Addtl info. requested from reporter. Addtl info not provided.
172	Kapiolani CC	Violation of University policy	Employee	09/13/17		x	Conflict of interest reviewed. No violation.
171	System	Violation of University policy	Employee	09/11/17		x	Conflict of interest reviewed and resolved.
170	UH - Manoa	Employee misconduct	Non-employee	09/09/17		x	Addtl info. requested from reporter. Addtl info not provided.
169	Honolulu CC	Violation of University policy	Employee	09/05/17		x	Addtl info. requested from reporter. Addtl info not provided.
168	UH - Manoa	Violation of University policy	Non-employee	09/03/17		x	HR matter reviewed and resolved.
167	Kapiolani CC	Student misconduct	Non-employee	09/01/17		x	Free speech. Forwarded to departmental personnel.
166	UH - Manoa	Employee misconduct	Employee	09/01/17		x	Smoking allegation forwarded to departmental personnel.
165	UH - Manoa	Violation of University policy	Employee	09/01/17		x	HR allegation reviewed and resolved
164	Windward CC	Violation of University policy	Employee	08/25/17		x	HR matter investigated. No violation.
163	UH - Manoa	No violation alleged	Employee	08/23/17		x	Academic grievance reviewed and resolved.
162	UH - Hilo	Violation of University policy	Non-employee	08/21/17		x	HR allegation reviewed and resolved
161	UH - Manoa	No violation alleged	Non-employee	08/19/17		x	No violation.
160	Maui College	No violation alleged	Non-employee	08/18/17		x	HR allegation reviewed and resolved
159	UH - Hilo	Violation of University policy	Employee	08/18/17		x	HR allegation reviewed and resolved
158	System	Violation of University policy	Employee	08/16/17		x	HR allegation reviewed and resolved
157	UH - Manoa	No violation alleged	Non-employee	08/16/17		x	Academic grievance forwarded to departmental personnel.
156	Windward CC	Violation of University policy	Employee	08/15/17		x	Conflict of interest. No violation.

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155	Windward CC	No violation alleged	Employee	08/15/17		x	HR matter investigated. No violation.
154	UH - Manoa	Violation of University policy	Employee	08/08/17		x	Addtl info. requested from reporter. Addtl info not provided.
153	System	Violation of University policy	Employee	08/07/17		x	Conflict of interest reviewed and resolved.
152	System	No violation alleged	Employee	07/28/17		x	Expense reimbursement policy investigated. No violation.
151	UH - Manoa	No violation alleged	Non-employee	07/28/17		x	Argument at faculty housing
150	UH - Manoa	Violation of University policy	Employee	07/05/17		x	HR allegation reviewed and resolved
149	Hawaii CC	Violation of University policy	Employee	07/03/17		x	HR allegation reviewed and resolved
148	UH - Manoa	Student misconduct	Non-employee	07/03/17		x	Academic dishonesty. Forwarded to Office of Judicial Affairs.
147	UH - Manoa	No violation alleged	Employee	07/01/17		x	Addtl info. requested from reporter. Addtl info not provided.
146	Kapiolani CC	Violation of University policy	Employee	06/20/17		x	Misuse of facilities. Matter resolved.
145	Kapiolani CC	Violation of University policy	Employee	06/13/17		x	HR matter investigated. No violation.
144	Kapiolani CC	Violation of University policy	Employee	06/09/17		x	HR matter investigated. No violation.
143	UH - Manoa	Violation of University policy	Employee	06/09/17		x	HR allegation reviewed and resolved
142	Kapiolani CC	No violation alleged	Non-employee	05/23/17		x	Academic grievance. Reviewed with action taken.
141	UH - Manoa	Violation of University policy	Non-employee	05/23/17		x	Allegation is identical to #133.
140	UH - Manoa	Violation of University policy	Employee	05/22/17		x	Hiring policy investigated with appropriate action taken.
139	System	Violation of University policy	Non-employee	05/21/17		x	Allegation is identical to #133.
138	UH - Hilo	Violation of University policy	Non-employee	05/21/17		x	Allegation is identical to #133.
137	UH - Manoa	Violation of University policy	Non-employee	05/20/17		x	Allegation is identical to #133.
136	UH - Manoa	Violation of University policy	Non-employee	05/20/17		x	Allegation is identical to #133.
135	System	Violation of University policy	Non-employee	05/19/17		x	Allegation is identical to #133.
134	UH - Manoa	Violation of University policy	Non-employee	05/19/17		x	Allegation is identical to #133.
133	System	Violation of University policy	Non-employee	05/18/17		x	Free speech. Reviewed by administration and resolved.
132	Kapiolani CC	Violation of University policy	Employee	05/17/17		x	HR allegation reviewed and resolved
131	UH - Manoa	No violation alleged	Non-employee	05/15/17		x	Professor misrepresentation. Forwarded to appropriate office.
130	System	Violation of University policy	Non-employee	05/12/17		x	Improper use of University vehicle. Investigated and determined that vehicle is not owned by the University.
129	Honolulu CC	Violation of University policy	Employee	05/10/17		x	Conflict of interest. No violation.
128	Kapiolani CC	Violation of University policy	Non-employee	05/03/17		x	HR allegation reviewed and resolved
127	UH - Manoa	Violation of University policy	Non-employee	05/02/17		x	Hiring policy investigated. No violation.
126	UH - Manoa	Violation of University policy	Non-employee	05/02/17		x	Hiring policy investigated. No violation.
125	Honolulu CC	Violation of University policy	Employee	05/01/17		x	HR matter. Addtl info. requested from reporter but not provided.
124	UH - Manoa	Violation of University policy	Employee	04/27/17		x	HR allegation reviewed and resolved
123	UH - Hilo	Violation of University policy	Employee	04/20/17		x	Procurement of goods/services reviewed and resolved.
122	UH - Manoa	No violation alleged	Non-employee	04/14/17		x	Bird in dorm room investigated and resolved.
121	UH - Manoa	Violation of University policy	Non-employee	04/13/17		x	Title IX
120	UH - Manoa	Violation of University policy	Non-employee	04/12/17		x	Title IX
119	Kapiolani CC	Violation of University policy	Employee	04/11/17		x	Former employee has campus keys. Reviewed by admin and resolved
118	Kapiolani CC	Violation of University policy	Employee	04/11/17		x	Former employee on campus. Reviewed by admin and resolved.
117	UH - Manoa	Violation of University policy	Employee	04/05/17		x	HR matter. Addtl info. requested from reporter but not provided.
116	Kapiolani CC	No violation alleged	Non-employee	03/24/17		x	Culinary operations. Matter resolved.

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115	Kapiolani CC	Violation of University policy	Employee	03/21/17		x	Casual hiring policy. No violation.
114	Kapiolani CC	Violation of University policy	Employee	03/20/17		x	Hiring policy investigated. No violation.
113	Kapiolani CC	Violation of University policy	Employee	03/20/17		x	HR matter investigated. No violation.
112	Kapiolani CC	No violation alleged	Non-employee	03/15/17		x	Academic grievance. Investigation completed and resolved.
111	UH - Manoa	No violation alleged	Employee	03/14/17		x	Vague allegation. Addtl info. requested. None rec'd.
110	UH - Manoa	No violation alleged	Non-employee	03/11/17		x	Academic grievance.
109	UH - Hilo	Violation of University policy	Employee	03/10/17		x	Casual hiring policy. Addtl info. requested. None rec'd.
108	Kapiolani CC	Violation of University policy	Employee	03/09/17		x	HR matter investigated. No violation.
107	UH - West Oahu	No violation alleged	Non-employee	03/03/17		x	Health center hours of operation. Signage at health center updated.
106	Kapiolani CC	Violation of University policy	Employee	03/02/17		x	Former empl loitering on campus. Reviewed by admin and resolved
105	System	Violation of University policy	Employee	03/01/17		x	Employee grievance investigated. No violation.
104	UH - Manoa	Violation of University policy	Employee	02/28/17		x	HR allegation reviewed and resolved
103	UH - Manoa	Violation of University policy	Non-employee	02/17/17		x	Free speech. Reviewed by administration and resolved.
102	UH - Hilo	Violation of University policy	Employee	02/17/17		x	HR allegation reviewed and resolved
101	Kapiolani CC	Violation of University policy	Employee	02/16/17		x	HR allegation reviewed and resolved
100	Kapiolani CC	Violation of University policy	Employee	02/16/17		x	Policy violation allegation investigated. No violation.
99	Kapiolani CC	Violation of University policy	Employee	02/16/17		x	HR allegation reviewed and resolved
98	UH - Manoa	No violation alleged	Employee	02/15/17		x	Inappropriate use of e-mail allegation investigated. No violation.
97	Hawaii CC	No violation alleged	Employee	02/15/17		x	Improper paint disposal allegation investigated. No violation.
96	Kauai CC	Violation of University policy	Employee	02/13/17		x	HR allegation reviewed and resolved
95	UH - Manoa	No violation alleged	Employee	02/10/17		x	Inappropriate use of parking pass. Forwarded to appropriate dept.
94	Kapiolani CC	Violation of University policy	Employee	02/10/17		x	Addtl info. requested from reporter. Addtl info not provided.
93	Kapiolani CC	Violation of University policy	Employee	02/10/17		x	HR matter investigated. No violation.
92	Kauai CC	No violation alleged	Employee	02/10/17		x	Service animals. Investigated and resolved.
91	Kapiolani CC	Violation of University policy	Employee	02/10/17		x	Outdated policies allegation reviewed and resolved.
90	Kapiolani CC	Violation of University policy	Employee	02/09/17		x	HR allegation reviewed and resolved
89	UH - Manoa	No violation alleged	Non-employee	02/08/17		x	Academic grievance.
88	Leeward CC	Violation of University policy	Employee	02/06/17		x	HR allegation reviewed and resolved
87	UH - Hilo	No violation alleged	Non-employee	02/05/17		x	Academic grievance
86	Kapiolani CC	Violation of University policy	Non-employee	01/26/17		x	HR matter investigated. No violation.
85	Kapiolani CC	Campus maintenance	Non-employee	01/20/17		x	Poor classroom condition resolved to complainant satisfaction.
84	UH - Manoa	Violation of University policy	Employee	01/17/17		x	HR allegation forwarded to departmental personnel.
83	Hawaii CC	Violation of University policy	Employee	01/17/17		x	Free speech. Reviewed by administration and resolved.
82	Mauai College	Violation of University policy	Non-employee	01/15/17		x	Financial aid. Reviewed by administration and resolved.
81	UH - Hilo	No violation alleged	Non-employee	01/11/17		x	HR allegation reviewed and resolved
80	UH - Manoa	No violation alleged	Non-employee	01/11/17		x	Academic grievance
79	Kauai CC	No violation alleged	Non-employee	01/10/17		x	HR allegation reviewed and resolved
78	UH - Manoa	No violation alleged	Non-employee	01/09/17		x	Loud music
77	Kapiolani CC	Violation of University policy	Employee	01/09/17		x	HR matter under investigation
76	UH - Hilo	Violation of University policy	Employee	01/08/17		x	HR allegation reviewed and resolved
75	UH - Hilo	Violation of University policy	Non-employee	01/08/17		x	Federal reg. non-compliance. Reviewed by admin and resolved

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74	Kapiolani CC	No violation alleged	Employee	01/06/17		x	Former empl loitering on campus. Reviewed by admin and resolved
73	Kapiolani CC	Violation of University policy	Employee	01/05/17		x	HR allegation reviewed and resolved
72	UH - Hilo	Violation of University policy	Employee	12/26/16		x	HR allegation reviewed and resolved
71	UH - Hilo	Employee misconduct	Employee	12/26/16		x	Compliance with UHF policies. Reviewed by admin and resolved.
70	UH - Manoa	Violation of University	Non-employee	12/25/16		x	Addtl info. requested from reporter. Addtl info not provided.
69	UH - Manoa	Violation of University policy	Employee	12/23/16		x	HR allegation reviewed and resolved
68	UH - Manoa	Violation of University policy	Non-employee	12/15/16		x	Allegation withdrawn by reporter
67	UH - Manoa	No violation alleged	Employee	12/08/16		x	Use of handicap parking pass
66	UH - Manoa	Violation of University policy	Employee	11/17/16		x	Addtl info. requested from reporter. Addtl info not provided.
65	UH - Hilo	No violation alleged	Employee	11/09/16		x	HR allegation reviewed and resolved
64	UH - Manoa	No violation alleged	Employee	11/09/16		x	No-smoking policy
63	Hawaii CC	Violation of University policy	Non-employee	10/30/16		x	Addtl info. requested from reporter. Addtl info not provided.
62	UH - Hilo	Violation of University policy	Employee	10/28/16		x	HR allegation reviewed and resolved
61	Honolulu CC	No violation alleged	Non-employee	10/26/16		x	HR allegation reviewed and resolved
60	Hawaii CC	No violation alleged	Non-employee	10/24/16		x	Addtl info. requested from reporter. Addtl info not provided.
59	Maui College	Employee misconduct	Employee	10/24/16		x	HR allegation reviewed and resolved
58	Honolulu CC	No violation alleged	Employee	10/21/16		x	HR allegation reviewed and resolved
57	Maui College	Violation of University policy	Employee	10/21/16		x	HR allegation reviewed and resolved
56	Maui College	No violation alleged	Employee	10/21/16		x	HR allegation reviewed and resolved
55	Maui College	No violation alleged	Employee	10/21/16		x	HR allegation reviewed and resolved
54	UH - Hilo	Violation of University policy	Employee	10/20/16		x	HR allegation reviewed and resolved
53	Honolulu CC	Violation of University policy	Employee	10/19/16		x	Health insurance. Reviewed by administration and resolved.
52	UH - Manoa	Violation of University policy	Non-employee	10/18/16		x	Unreconciled account balances. Reviewed and resolved by admin.
51	UH - Manoa	Violation of University policy	Employee	10/16/16		x	Addtl info. requested from reporter. Addtl info not provided.
50	UH - Hilo	Employee misconduct	Non-employee	10/12/16		x	HR allegation reviewed and resolved
49	UH - Manoa	Hazardous condition	Employee	09/20/16		x	Cluttered stairwell
48	UH - Manoa	Violation of University policy	Employee	09/20/16		x	HR allegation reviewed and resolved
47	Windward CC	No violation alleged	Non-employee	09/01/16		x	Addtl info. requested from reporter. Addtl info not provided.
46	UH - Hilo	Violation of University policy	Non-employee	08/29/16		x	Free speech. Reviewed by administration and resolved.
45	UH - Hilo	Violation of University policy	Employee	08/27/16		x	HR allegation reviewed and resolved
44	UH - Manoa	Student misconduct.	Non-employee	08/24/16		x	Alcohol complaint
43	Hawaii CC	Employee misconduct	Employee	08/24/16		x	HR allegation reviewed and resolved
42	UH - Manoa	Violation of University policy	Employee	08/22/16		x	HR allegation reviewed and resolved
41	UH - Manoa	Employee misconduct	Employee	08/19/16		x	Addtl info. requested from reporter. Addtl info not provided.
40	UH - Manoa	Violation of University policy	Non-employee	08/18/16		x	HR allegation reviewed and resolved
39	UH - Manoa	Violation of University policy	Employee	08/17/16		x	HR allegation reviewed and resolved
38	UH - Manoa	Employee misconduct	Non-employee	08/16/16		x	HR allegation reviewed and resolved
37	UH - Manoa	Violation of University policy.	Non-employee	08/08/16		x	Allegation withdrawn by reporter
36	System	Violation of University policy	Employee	08/04/16		x	Addtl info. requested from reporter. Addtl info not provided.

University of Hawaii
Whistleblower Tracking Report
June 15, 2016 - July 27, 2018

Case #	Campus	Classification	Submitted by	Date Opened	Status		Description
					In process	Closed	
35	System	Violation of University policy.	Employee	07/27/16		x	HR allegation reviewed and resolved
34	UH - Manoa	Violation of University policy.	Employee	07/19/16		x	Use of general funds. Reviewed by administration and resolved.
33	Honolulu CC	Campus maintenance	Employee	07/14/16		x	Addtl info. requested from reporter. Addtl info not provided.
32	UH - Manoa	Violation of University policy	Non-employee	07/14/16		x	Parking safety allegation reviewed by administration. No violation.
31	System	Violation of University policy	Employee	07/12/16		x	HR allegation reviewed and resolved
30	UH - Manoa	Violation of University policy	Non-employee	07/11/16		x	HR allegation reviewed and resolved
29	UH - Manoa	Student misconduct	Non-employee	07/11/16		x	Title IX
28	UH - Hilo	Violation of University policy	Non-employee	07/05/16		x	HR allegation reviewed and resolved
27	UH - Hilo	Violation of University policy	Non-employee	07/01/16		x	HR allegation reviewed and resolved
26	UH - Manoa	Campus maintenance	Employee	06/30/16		x	Dirty parking facility
25	Kapiolani CC	Violation of University policy	Employee	06/27/16		x	HR allegation reviewed and resolved
24	UH - West Oahu	Violation of University policy	Employee	06/21/16		x	HR allegation reviewed and resolved
23	Kapiolani CC	Violation of University policy	Employee	06/19/16		x	HR allegation reviewed and resolved
22	Kapiolani CC	Violation of University policy	Employee	06/17/16		x	HR allegation reviewed and resolved
21	Kapiolani CC	Violation of University policy	Employee	06/16/16		x	HR allegation reviewed and resolved
20	UH - Manoa	Hazardous condition	Employee	06/16/16		x	HR allegation reviewed and resolved
19	UH - Manoa	Violation of University policy	Employee	06/16/16		x	Allegation does not involve the University
18	UH - Hilo	Violation of University policy	Non-employee	06/16/16		x	HR allegation reviewed and resolved
17	System	Violation of University policy	Employee	06/16/16		x	Addtl info. requested from reporter. Addtl info not provided.
16	UH - Manoa	Violation of University policy	Employee	06/15/16		x	HR allegation reviewed and resolved
15	Leeward CC	Employee misconduct	Employee	06/15/16		x	HR allegation reviewed and resolved
14	Kapiolani CC	Violation of University policy	Employee	06/15/16		x	Allegation was previously reported, resolved and closed.
13	Kapiolani CC	No violation alleged	Employee	06/15/16		x	Information request.
12	UH - Manoa	No violation alleged	Employee	06/15/16		x	Addtl info. requested from reporter. Addtl info not provided.
11	Hawaii CC	Violation of University policy	Non-employee	06/15/16		x	HR allegation reviewed and resolved
10	UH - Manoa	Hazardous condition	Employee	06/15/16		x	Mold. Resolved by Work Coord Ctr and Envir Hlth & Safety Office

Cases #1 - #9 were test/pilot cases entered by administrators to familiarize themselves with the system.

UNIVERSITY OF HAWAI'I OFFICE OF RISK MANAGEMENT FY 2018 ANNUAL REPORT

Independent Audit Committee Meeting
August 2, 2018



UNIVERSITY
of HAWAI'I®
SYSTEM

I. INTRODUCTION

The University of Hawai‘i (“University”) Office of Risk Management (“ORM”) provides advice on risk-related matters, assists in the development of programs, policies and best practices to reduce the University’s total cost of risk, and establishes the University’s risk financing and insurance strategy. It also administers the enterprise-wide workers’ compensation program for the University. Our vision is to promote a culture of risk awareness and advance an enterprise risk management process that embeds risk ownership into management activities and decisions at all levels of the institution.

II. UNIVERSITY PROFILE

The University of Hawai‘i System was founded in 1907 and has experienced steady development over the past century. In fiscal year 2017, the University issued over 11,000 degrees or certificates and supported over 51,000 students. It also managed an employee base of over 8,500 FTE and possessed over 800 motor vehicles in its fleet.

The University offers multiple points of access through distance learning as well as traditional instruction through its 3 baccalaureate universities, 7 community colleges, and 9 educational centers. Currently, the University is responsible for maintaining over 16,800 acres of land and nearly 14 million gross square feet of physical assets in all counties. Campus facilities include housing for over 4,600 students in 17 residence halls, 4 stadiums and 5 theaters with seating capacities of over 22,000, and 2 recreation centers.

The University also maintains numerous off-campus facilities and oversees research programs in all counties. In fiscal year 2017, the University received over \$380 million in extramural research funds. Programs and facilities range from marine biology research conducted at the Waikīkī Aquarium and Coconut Island in Kāne‘ohe Bay, to astronomical research conducted at the summits of Mauna Kea and Haleakalā.

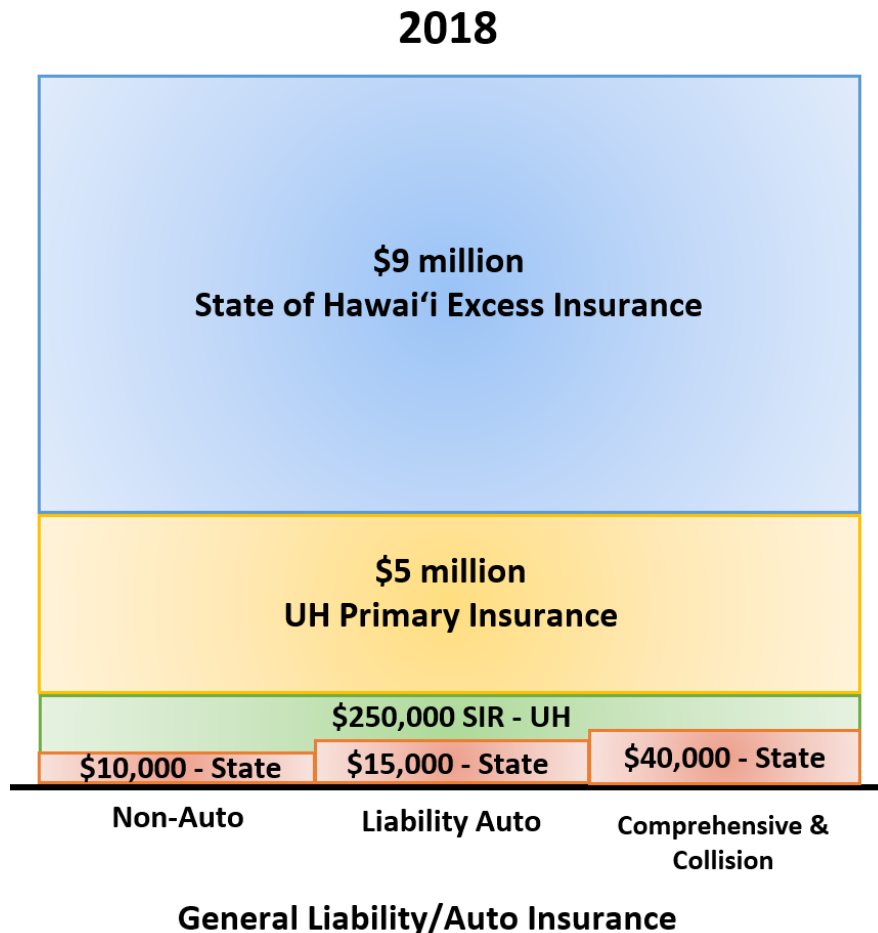
III. RISK FINANCING PROGRAM

Generally speaking, the University has a combined program of self-insurance and excess insurance to cover its losses and liabilities in the areas of general liability (including automobile insurance), property coverage, employment practices and management liability, crime liability and cyber liability. This report presents the various coverages and loss experience for the last five fiscal years within the University’s risk financing structure, based on the date of loss and reflects only payments made as of June 30, 2018.



A. General Liability Program

Overall, the University's general liability program covers claims made by third parties for various exposures, including: bodily injury, property damage, products and completed operations, personal and advertising injury, incidental medical malpractice injury, and automobile accidents. The University has combined coverage of up to \$14 million through various platforms, including participation in the Department of Accounting and General Services, State of Hawai'i's (DAGS), general liability program, as illustrated below:



The majority of general liability claims fall within the DAGS policy limits, the bulk of which are automobile-related claims. Over the last five fiscal years from FY 2014 through FY 2018, DAGS processed and approved 31% of 89 tort claims and 54% of 292 auto claims.



Auto Claims Summary

	FY14	FY15	FY16	FY17	FY18
Total Paid by State of Hawai'i	\$51,202	\$54,220	\$103,078	\$79,193	\$44,901
Total Paid by UH – SIR	\$0	\$0	\$0	\$0	\$0
Total Paid by UH Primary Insurance	\$0	\$0	\$0	\$0	\$0
Total Paid by State of HI Excess	\$0	\$0	\$0	\$0	\$0
Number of Claims (1st Party / 3rd Party)	4/23	23/14	29/15	19/20	13/6

For auto claims, payments ranged from \$63 to \$14,774 for a straight average amount of \$2,004 per approved claim. Auto claims include first party claims for collision or property damage and third party claims for property damage and bodily injury. From FY 2014 to 2018, no claims exceeded the State's primary coverage.

Tort Claims Summary

	FY14	FY15	FY16	FY17	FY18
Total Paid by State of Hawai'i	\$2,594	\$6,073	\$15,083	\$8,288	\$0
Total Paid by UH – SIR	\$143,995	\$74,921	\$134,355	\$0	\$0
Total Paid by UH Primary Insurance	\$0	\$0	\$0	\$0	\$0
Total Paid by State of HI Excess	\$0	\$0	\$0	\$0	\$0
Number of Claims	7	9	10	6	0

For tort claims processed by DAGS, payments ranged from \$7 to \$10,000, for a straight average amount of \$1,232 per approved claim. The University also processed six tort claims, which ranged in cost from \$6 to \$143,990, for a straight average amount of \$58,879 per claim. In total, settlements and judgments comprised 18% of the payments made by the University, with legal fees and other costs comprising 82%.



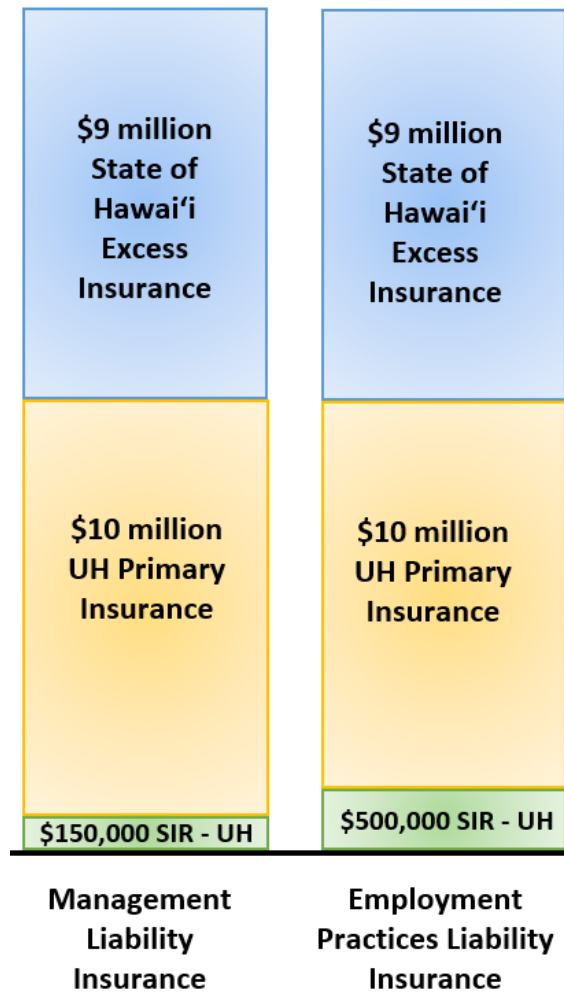
2018

B. Management Liability Program

Overall, the University's management liability program, there are two areas of coverage: (1) Employment Practices Liability (EPL) covers claims made by third parties for various exposures, including: employment related misrepresentation, discrimination, sexual harassment, retaliation, and education-related claims; and (2) Management Liability, also referred to as Directors and Officers (D&O), covers claims of breach of duty by officers or directors.

The University has total combined coverage up to \$19 million through various platforms, as illustrated to the right: \$150,000 self-insured retention, the University's own primary insurance policy through ACE/Chubb with limits up to \$10 million, and an additional \$9 million through participation in the State of Hawai'i's excess insurance program.

From FY 2014 through FY 2018, no funds were expended from the RMSF on D&O claims. However, in those same years, RMSF expenditures were made on eleven (11) EPL claims, as detailed in the table below.

**Employment Practices Claims Summary**

	FY14	FY15	FY16	FY17	FY18
Total Paid by UH – SIR	\$167,784	\$364,131	\$79	\$15,000	\$0
Total Paid by UH Primary Insurance	\$0	\$100,000	\$0	\$0	\$0
Total Paid by State of HI Excess	\$0	\$0	\$0	\$0	\$0

These claims ranged in cost from \$79 to \$189,763, for a straight average amount of \$49,727. Of these claims, all except one were within the University's self-insurance retention. In total, settlements and judgments comprised 78% of the payments made by the University, with legal fees and other costs comprising 22% of all claim costs.



C. Property Coverage

The University’s property program covers damage to its own assets, primarily buildings and equipment. As a participant in the State of Hawai‘i’s property insurance program, the University is afforded coverage up to \$200 million, as illustrated to the right. DAGS is also responsible for the self-insurance retention of \$1 million. All property claims are processed by DAGS and the University is reimbursed subject to a \$5,000 deductible for preventable losses.

Over the last five fiscal years from FY 2014 through FY 2018, the University made a total of 49 claims for property damage and 33% of the claims were approved. Payments ranged from \$89 to \$1,000,000 for a straight average amount of \$76,224 per claim.

Property Claims Summary

	FY14	FY15	FY16	FY17	FY18
Total Paid by State of HI - SIR	\$16,401	\$19,918	\$1,016,210	\$9,723	\$115
Total Paid by State of HI Insurance	\$0	\$0	\$0	\$0	\$0
Number of Claims	3	5	2	4	1



D. Crime Liability

Overall, the University’s crime liability program covers first party claims for various exposures, including employee theft and embezzlement. The University is covered up to \$10 million as a participant of the State of Hawai‘i’s insurance program, as illustrated to the right. Over the last five fiscal years, the University has not made any claims under this policy.



E. Cyber Liability

Effective December 1, 2017, the University is covered up to \$50 million as a participant in the State of Hawai'i's cyber liability program, as illustrated to the right. The program covers claims made against the University by third parties for damages resulting from data breach, such as reimbursement of funds lost due to a financial information hack or reimbursements to credit reporting services due to a breach. It also covers claims made by the University for damage to its systems caused by hacking. Currently, the University has not made any claims under this policy.

F. Excluded Liability

The University also self-insures claims for various exposures that are excluded from coverage by the University's and the State of Hawai'i's insurance policies, including breach of contract, wrongful discharge and collective bargaining matters (including grievances). From FY 2014 through FY 2018, the University processed a total of 9 excluded claims. These claims ranged in cost from \$8,000 to \$785,123, for a straight average amount of \$116,249. In total, settlements and judgments comprised 69% of the payments made by the University, with legal fees and other costs comprising 31%.



Excluded Claims Summary

	FY14	FY15	FY16	FY17	FY18
Total Paid by UH	\$109,043	\$859,899	\$69,300	\$8,000	\$0
Number of Claims	3	4	1	1	0

G. Other Expenditures

The Office of Risk Management also covers obtaining legal advice and other expert services on non-claim-related matters.

Other Expenditures Summary

	FY14	FY15	FY16	FY17	FY18
Total Paid by UH	\$245,593	\$0	\$509,241	\$0	\$22,811
Number of Expenditures	2	0	5	0	2

IV. Conclusion

Consistent with our vision to promote a culture of risk awareness and advance an enterprise risk management process, the University has established a risk financing and insurance strategy that effectively addresses the risks and claims that arise across its 10 campus system. The University will continue to report annually on its risk financing and insurance strategy.



**Item IV.B.3.
Committee Annual
Review**

**ITEM TO BE
DISCUSSED AT
MEETING**

Item VI.A.1.
Executive Session
Evaluation of the Internal
Auditor

**ITEM TO BE
DISCUSSED IN
EXECUTIVE
SESSION**