

addressees.

2. Incident/Accident Investigation. When the University Counsel receives a report or other notice of an incident/accident, he/she shall, if necessary or appropriate, further investigate the pertinent facts and circumstances. The Office of Public Safety and/or any other office involved shall be available to assist in this investigation. All information, documents, and other such evidence collected shall be maintained in a case file in the Office of University Counsel. After the investigation is completed, the University Counsel shall determine whether there exists a potential of loss to the University or any employee. If none is found, no further claims management action need be taken in regard to the matter. If the loss potential is insubstantial in terms of either amount or likelihood of liability, the matter may be handled by the University Counsel without the necessity for further claims processing under these procedures. If the loss potential is more than insubstantial, the University Counsel shall prepare a legal assessment of the incident/accident, including an estimation of the level of potential loss and the anticipated cost of defending against any resulting claim; shall determine whether or not the claim would be within the coverage of the CGL Plan; and shall develop recommendations concerning the handling thereof.
3. Claims Processing. Upon a determination that an incident/accident

efforts or defense against a lawsuit, shall be determined at the outset and thereafter by consultation between the University Counsel and the

developed and implemented. This program shall involve a preventive approach to claims and losses and shall require that risks of liability facing the University and its employees be identified, evaluated, and then managed through minimization, elimination, avoidance, transferal, or some other satisfactory means of resolution. To that end, the following activities are recognized as appropriate elements of a risk management program:

Analysis of reported incidents, through maintenance and use of a historical and statistical data base, and survey of campus operations activities, facilities, etc. so as to identify significant risks of liability exposure for the University and its employees.

Monitoring and tracking claims generated by incidents and the resolution thereof.

Development of safety and accident-prevention programs, employee training programs, improved policies and procedures, etc. as a means of reducing the likelihood and severity of loss from known risks.

Development of recommendations concerning feasible ways of minimizing the financial impact of such risks.

Provision of information and advice to all levels of management within the University concerning the objectives and operation of the

2. Risk Management Committee. A Risk Management Committee shall be created with the following membership: the Associate Vice President, Finance and Business Services (as chair); the Associate Vice President, Facilities and Operations; the Associate Vice President, Human Resources; the Director, Environmental Safety and Health; the University Counsel/Risk Manager; and one appointee each of the Vice President for Student Affairs, the Provost and Executive Vice President for Academic Affairs, and the Vice President for Research. The Committee shall carry out the risk management functions identified above and any others required by the Board of Trustees, and it shall report to the President through the Senior Vice President for Finance and Administration.

Review

The UAH Risk Management Committee and Office of Counsel is responsible for the review of this policy every five years (or whenever circumstances require).

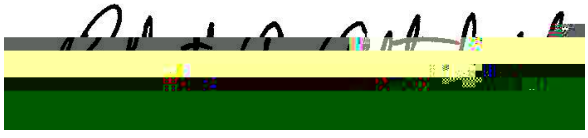
Approval



Chief University Counsel

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Senior Vice President

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