



Enterprise Risk Management Governance Structure

I. Governance Structure

- **Role of Risk Owner**
 - Responsible for Risk Mitigation and Management (RMM) Plans
 - Monitor current mitigation activities
 - Update RMM Plans for review by the Enterprise Risk Management (ERM) Implementation Committee
- **Role of ERM Implementation Committee Chairman**
 - Maintain the ERM framework
 - Transition information from risk owners
 - Lead implementation committee activities
 - Serve as the primary ERM program presenter (assisted by the CARCO as needed)
- **Role of ERM Implementation Committee**
 - Members of the committee (see below)
 - Implement the ERM framework in alignment with the university's strategic plan
 - Develop risk assessment and mitigation activities
 - Identify, analyze, evaluate and treat strategic, operational, reporting and compliance risks across campus
 - Review status of RMM Plans and monitor mitigation activities and accompanying support provided by Risk Owners
- **Role of Chief Audit, Risk and Compliance Officer (CARCO)**
 - Champion the establishment of ERM
 - Advise, challenge, coach, and support management's decisions on risk, as opposed to making risk management decisions.
 - Coordinate ERM activities
 - Serve as chairperson to the ERM Steering Committee and facilitate ERM program presentations to the Chancellor and the Audit, Risk, and Compliance Committee (ARCC) of the university's Board of Trustees
 - Information liaison between the ERM Implementation Committee and the ERM Steering Committee; facilitate reports of ERM status, emerging risks, obstacles, etc.
- **Role of ERM Steering Committee**
 - Members of the committee (see below)

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- Develop risk appetite and ERM policy statements for review and approval by the Chancellor and the Audit, Risk, and Compliance Committee of the Board of Trustees (ARCC)
- Align ERM goals and objectives with strategic plan
- Oversee efforts to identify, assess, measure, respond, monitor, and report risks
- Define and communicate expected results with Risk Owners and ERM Implementation Committee
- Identify top tier (tier 1) risk areas
- Evaluate and approve reporting format
- Provide discussion opportunities for RMM Plans and ERM updates
- Review and approve ERM Implementation Committee recommendations
- Facilitate RMM Plan discussions concerning tier 1 risks with the ARCC and other Board Committees as considered necessary
- **Role of Chancellor and ARCC**
 - Set the risk appetite and give final approval on ERM policies (recommended by the Steering Committee)
 - Provide continued ERM support and focus
 - Make final decisions on risk responses
 - Support Steering Committee's implementation of risk responses and provide guidance
 - Establish accountability for risk management

II. Assurance Services and ERM

- The Internal Audit Manager (Mr. Rod Isom) will have an ex officio seat as an ERM Implementation Committee member. The responsibilities include:
 - Providing assurance for risk management processes
 - Provide consulting role as long as safeguards are established to ensure that risk ownership is maintained by non-Assurance Services positions

III. ERM Implementation Committee Members

- Audit, Risk and Compliance – Shannon Henry, Chief Audit Risk and Compliance Officer
- Audit, Risk and Compliance – Risk and Compliance Program Specialist (VACANT)
- Chancellor – Corlis Sellers, Special Assistant to the Chancellor
- Chancellor – Cornelius Graves, Director of Government and Community Relations
- Finance – Constance Mallette, Associate Vice Chancellor for Finance and Administration
- Finance – Wilbourne Rusere, Director of Budget and Analysis
- Finance – Jesse Batten, Assistant Vice Chancellor Business and Auxiliary Services
- Finance – Aaron Leftwich, Director of Environmental Health and Safety
- Finance – Frank Lord, Controller
- Finance – Barbara Waller, Director of Contracts and Grants

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- Finance/Facilities – Rosalba Ledezma, Associate Vice Chancellor, Facilities
- EEO/AA & Diversity – Silvia Ramos, Equal Employment Opportunity & Affirmative Action Officer
- Human Resources – Lester Arnold, Associate Vice Chancellor for Human Resources
- Police and Public Safety – Patricia Norris, Chief of Police/Director of Public Safety
- Police and Public Safety – Darrell Jeter, Emergency Management Director
- Legal Affairs – Venus Boston, Assistant Legal Counsel
- Academics – Dr. Corey Walker, Dean of the College of Arts, Sciences, Business and Education
- Academics – Dr. Peggy Valentine, Dean of the School of Health Sciences
- Academics – Dr. Doria Stitts, Associate Provost and Dean, University College and Lifelong Learning
- Academics – Letitia Wall, Assistant Provost for Planning and Administration
- Academic Affairs/Financial Aid – Robert Muhammad, Director of Financial Aid
- Academic Affairs/Enrollment Management – Joel Lee, Assistant Vice Chancellor for Enrollment Management
- Academic Affairs/Office of Sponsored Programs – Stephanie Evans, Compliance Officer for Research
- Information Technology – Derrick Murray, Chief Information Officer
- Information Technology – Raisha Cobb, Director of Communication Technology & Information Security Officer
- Student Affairs – Jamar Banks, Interim Dean of Students
- Student Affairs – LaMonica Sloan, Interim Associate Dean
- Student Affairs – Chantal Bouchereau, Director of Housing and Residence Life
- Athletics – George Knox, NCAA Compliance Officer
- University Relations – Jaime Hunt, CCO and Director of Public and Media Relations
- University Advancement/Foundation – Michelle Cook, Vice Chancellor for University Advancement

IV. ERM Steering Committee Members

- Academic Affairs – Dr. Brenda Allen, Provost and Vice Chancellor (voting member)
- Finance – Dr. Randy Mills, Vice Chancellor (voting member)
- Student Affairs – Dr. Trae Cotton, Vice Chancellor (voting member)
- Chancellor's Office – Ms. Camille Kluttz-Leach, Chief of Staff and Vice Chancellor (voting member)
- Legal Affairs – Mr. Ivey Brown, Interim General Counsel (voting member)
- Audit, Risk and Compliance – Ms. Shannon Henry, Chief Audit Risk and Compliance Officer (chairperson, non-voting ex-officio member)

V. Update Charters

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ERM roles and responsibilities should be reflected in the ARCC, the Steering Committee and Implementation Committee Charters. Consider whether a formalized administrative policy should be developed.