

Office of the President

TO MEMBERS OF THE COMPLIANCE AND AUDIT COMMITTEE:

DISCUSSION ITEM

For Meeting of May 17, 2017

COMPLIANCE RISK ASSESSMENT PROCESS UPDATE

The University of California's ethics and compliance program requires an annual risk assessment process that leads to the Annual Compliance Work Plan that is reviewed and approved by the Regents. This update highlights how the work of the Office of Ethics, Compliance and Audit Services (ECAS), the campus compliance programs, and the medical center compliance programs are implementing the "risk intelligence" approach for a more collaborative, comprehensive process for risk sensing, identification, and mitigation. Specifically, this update will include presentations by the Chief Compliance Officers from UC San Diego and UC Merced.