October 20, 2023

To: UC Santa Cruz Local Audit, Compliance, Ethics and Risk Workgroup

Chair: Anna Finn, Associate Chancellor and Chief of Staff and CECO

Ex-Officio: Alexander Bustamante, Chief Compliance and Audit Officer (UC System)
James Dougherty, Audit, Management and Advisory Services Director

Members: Assistant Executive Vice Chancellor and Chief of Staff, Ann Pham
Assistant Vice Chancellor for Research Administration, Csilla M. Csaplár
Assistant Vice Provost of Academic Personnel, Grace McClintock
Associate Vice Chancellor and Dean of Students, Garrett Naiman
Associate Vice Chancellor for Student Health and Wellness, John Bollard
Interim Associate Vice Chancellor of Colleges, Housing and Educational Services, Dave Keller
Associate Vice Chancellor of Information Security, Brian Hall
Campus Safety Compliance & Accreditation Manager, TBD
Director of Accounting Services, Ed Moran
Director of Audit & Management Advisory Services, James Dougherty
Director of Employee and Labor Relations, Andrew Slobodien
Director of Environmental Health and Safety, TBD
Director of Operations & Strategic Initiatives, TBD
Director of Privacy & Information Practices, Tyler Burke
Director of Real Estate Services, Nikki Vamosi
Director of Research Integrity, Lisa Coscarelli
Director of Sustainability, Elida Erickson
Director of University Business Services, Emerson Murray
Executive Director of the Academic Senate, Matthew Mednick
Police Chief, Kevin Domby

Re: Charge letter for Audit, Compliance, Ethics and Risk (ACER) Workgroup

Thank you for your service on the UC Santa Cruz Audit, Compliance, Ethics and Risk Workgroup (ACER). This committee helps generate ideas for developing goals on a range of compliance and accountability efforts on our campus in support of the ACER Oversight Committee. As a combined audit and risk intelligence committee, this group offers advice and input on our risk intelligence cycle.

Purpose
The UC Santa Cruz Audit, Compliance, Ethics and Risk (ACER) Workgroup assists the ACER Oversight Committee and Audit and Management Advisory Services by helping to ensure that its objectives and goals support those of UC Santa Cruz and the University of California.

ACER Composition and Chair
ACER Workgroup is chaired by the UC Santa Cruz Chief Ethics and Compliance Officer (CECO) and includes the UC system Chief Compliance and Audit Officer (CCAO) and Director of Audit and Management Advisory Services as ex officio members. A member of the chancellor's office provides staff support for the committee, including preparation of meeting agendas and coordinating meeting schedules.

The membership of ACER Workgroup includes leaders in the following roles:

Ex Officio
> Audit, Management and Advisory Services Director, ex officio member

Chair
> Associate Chancellor and Chief of Staff and CECO, chair

Members
> Assistant Executive Vice Chancellor and Chief of Staff
> Assistant Vice Chancellor for Research Administration
> Assistant Vice Provost of Academic Personnel
> Associate Vice Chancellor and Dean of Students
> Associate Vice Chancellor for Student Health and Wellness
> Associate Vice Chancellor of Colleges, Housing and Educational Services
> Associate Vice Chancellor of Information Security
> Campus Safety Compliance & Accreditation Manager
> Director of Accounting Services
> Director of Audit & Management Advisory Services
> Director of Employee and Labor Relations
> Director of Environmental Health and Safety
> Director of Operations & Strategic Initiatives
> Director of Privacy & Information Practices
> Director of Real Estate Services
> Director of Research Integrity
> Director of Sustainability
> Director of University Business Services
> Executive Director of the Academic Senate
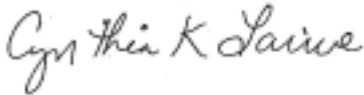> Police Chief

Meeting Frequency
ACER Workgroup meets quarterly (or no less frequently than three times a year) and at least two weeks prior to ACER Oversight meetings.

Scope of Responsibilities
For ACER Workgroup to assist ACER Oversight in carrying out its mission and maintaining its objectivity and independence, ACER Workgroup's purview includes:
- Current project-specific summaries of significant reports issued and their observations
- Identification and assessment of emerging risks for consideration in future audit plans
- Proposal and identification of new and ongoing risk mitigation measures
- Open recommendations and/or management corrective actions from previously issued audit reports, especially for situations where senior management awareness could lead to more rapid action or the removal of barriers to action to improve controls
- Regularly review campus training compliance statistics and propose enhancements to improve compliance

Sincerely,

Cynthia K. Larive
Chancellor

cc: Alexander Bustamante, Senior Vice President and Chief Compliance and Audit Officer
    James Dougherty, Audit, Management and Advisory Services Director