

Get insight from case studies of major institutions!

Enterprise Risk Management in Higher Education

Proven Strategies for Managing Enterprise Risk
in Higher Learning Institutions

Our Faculty

**Get Practical Advice from
Leading Industry Experts**

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CALIFORNIA STATE UNIVERSITY
SAN MARCOS

December 7 and 8, 2010

Optional Workshops: December 9, 2010

SAN FRANCISCO, CALIFORNIA

Meet the Challenges of Enterprise Risk at Your Institution

- Get institution-wide engagement to ERM
- Mitigate college-specific risks
- Create a culture of safety
- Move beyond implementation to reassessment
- Determine the effectiveness of your ERM program
- Align your ERM approach with other organizational efficiency efforts
- Develop end-user awareness and training
- Learn to use proven, effective risk assessment workbooks
- Create a program with no increase in budget or change in workflow

PLUS! Take advantage of our in-depth
optional half-day workshops!

Get detailed advice on ERM implementation
for smaller colleges and learn how to use the
University of California's ERM Tool Box and
Risk Services resources.

Event sponsored by:



Academic Risk Resources & Insurance, LLC
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Enterprise Risk Management in Higher Education

DECEMBER 7 – 8, 2010 • OPTIONAL WORKSHOPS: DECEMBER 9, 2010 • SAN FRANCISCO

DAY ONE PROGRAM AGENDA: TUESDAY, DECEMBER 7, 2010

8:00 – 9:00 Registration and Continental Breakfast

9:00 – 9:10

Welcome and Opening Remarks from the Chair
Grace Crickette, Chief Risk Officer, University of California

9:10 – 10:10

Selling ERM: Pitching the Endgame Successfully
Grace Crickette, Chief Risk Officer, University of California

- Placing value on enterprise risk management (ERM): understanding what enterprise risk management offers
- Proving that effective enterprise risk management improves performance institution-wide
- Persuasive arguments, and understanding the governance model in public and private institutions

10:10 – 10:30

Networking Break



10:30 – 11:30

Aligning Your ERM implementation with Other Organizational Efficiency Efforts

Tim Wiseman, Assistant Vice-Chancellor Enterprise Risk Management, East Carolina University

- Merging ERM onto a VBH (very busy highway)
- Leveraging organizational energy deposits
- Risk driver pruning and getting to the risk mega-roots
- Business process review, accreditation, and ERM program synergy

11:30 – 12:30

CASE STUDY

Creating a Culture of Safety in the Context of ERM

Dr. Christine Eick, Executive Director, Risk Management and Safety, Auburn University

The fundamental principal of enterprise risk management is incorporating good risk management practices throughout the organization so that ERM is incorporated into the culture, operations, and strategic planning. Auburn University has had a great deal of success in developing a safety culture that is embraced by all employee groups from deans and scientists to maintenance and operations personnel.

- Learn how to create a positive safety culture in which employees outside the safety department become safety advocates
- Discover the key attributes of successful safety professionals that encourage collaboration
- Hear tips and suggestions for working with faculty and academic administration on safety initiatives in the sciences
- Learn how to communicate the safety message in a way that garners support from senior administration

12:30 – 1:45

Luncheon

1:45 – 2:45

Building Bridges across Campus Silos: The Power of ERM

Tom Sonnleitner, Vice-Chancellor Administrative Services, University of Wisconsin Oshkosh

- Enterprise risk management (ERM) is a process that manages an institution's material strategic, operational, financial, and insurable risks on which an institution's reputation rests
- Practical lessons learned from developing, implementing, and embedding an ERM program on two diverse campuses in a statewide university system
- How a major university system and two of its institutions partnered with a risk management consulting firm to develop a process for introducing enterprise risk management practices into the day-to-day operations of higher education
- Planning process for early buy-in: lessons learned in the launch phase, challenges and successes during the first two years of implementation, and future plans for embedding ERM on other campuses

2:45 – 3:00

Networking Break



3:00 – 5:00

EXTENDED POWER SESSION

Assessing Risks to Reassess the Problems: Moving Beyond Implementation

David Merriam, Senior Manager, PricewaterhouseCoopers LLP

How can the ERM model be enhanced to serve the unique needs of higher education? How can you ensure the sustainability of ERM in a culture of silos?

Drawing upon 12 years of experience in advising higher education clients, David will demystify traditional concerns about managing risk in higher education. Analyzing traditional risk management strategies to engage structures already in place, this session will evaluate best practices in navigating avenues of risk from original assessment to implementation and reassessment. This extended session will provide guidance across the risk implementation spectrum, from new adopters to those with mature ERM programs.

- Define the problems
- Expand risk to include strategies for the future
- Develop an entity-level portfolio view of risk
- Develop appropriate risk responses in your environment
- Reassess initial risk and work on gauge successes
- Respond to successes and problems within the current ERM structure
- Understand ERM limitations and best practices for moving forward
- Determine the effectiveness of the ERM program and developing further strategies for the future

5:00

End of Day One

SPONSORSHIP AND EXHIBITION OPPORTUNITIES

If you would like to increase your visibility with risk and compliance professionals from institutions of higher learning, you need to be at *Enterprise Risk Management in Higher Education*. A limited number of sponsorship options are available: exhibit space, cocktail reception, luncheon, breakfast, conference documentation, and more. For more information, contact our sponsorship department at 1.800.474.4829, ext. 244, or email sponsorship@infonex.ca.

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Enterprise Risk Management in Higher Education

DECEMBER 7 – 8, 2010 • OPTIONAL WORKSHOPS: DECEMBER 9, 2010 • SAN FRANCISCO

DAY TWO PROGRAM AGENDA: WEDNESDAY, DECEMBER 8, 2010

8:00 – 9:00

Continental Breakfast

9:00 – 9:10

Opening Remarks from the Chair

Grace Crickette, Chief Risk Officer, University of California

9:10 – 10:10

From Risk and Control Self-Assessment to Enterprise Risk Management: Fourteen Years at Stanford

Frank Topper, Past ERM Facilitator at Stanford, President, Topper Facilitation

Examining the changes from the beginning of Stanford's risk management program, to the enterprise risk management in place now, Frank Topper will discuss the key processes involved in Stanford University's process.

- 1996: Piloting five approaches to risk and control self-assessment
- 1997: Enterprise risk assessment — the Stanford hospitals are thrilled; 1,000 hours of auditor risk assessment reduced to 100 hours
- 1999: Winning a national higher education business officer award for RCSA innovation - \$7,500 and a new color printer
- 2000: Enterprise risk assessment; involving multiple layers of management; "Hey, this is pretty cool"
- 2004: Board of Trustees Audit Committee likes this process
- 2005: Didn't we talk about these risks last year? What happened?
- 2006: Involving top management in ERM: they are our risks
- 2007: Rethinking the approach to identifying, assessing, mitigating, and monitoring enterprise-wide risks
- 2008: Streamlining the process and getting better information and ownership
- 2010: Making it better

10:10 – 10:30

Networking Break



10:30 – 11:30

Applying Enterprise Risk Assessment to Study Abroad Programs

Bonney J. Hebert, President, Academic Risk Resources & Insurance

ERM touches all areas of the university. For example, most colleges and universities have been increasing international student experiences as part of their strategic plans.

- Introduction to practical approaches to applying ERM assessment and measurement tools in study abroad programs.
- Incorporating ERM from the strategic perspective: how the elements of good risk management support the university's strategic plan
- Building understanding among administrators and faculty leaders to demonstrate risk management supports the strategic objective, and creating buy-in and cooperation

11:30 – 12:30

End-User Awareness and Training: Realizing the Benefits of a Mature Risk Culture

Ruth Unks, Risk Manager, Maricopa County Community College District

- Creating the right architecture for ERM internally
- Evolving to address the needs of all stakeholders

- Seizing opportunities to meet objectives
- Strategic planning to develop stronger internal control within complex organizations

12:30 – 1:45

Luncheon

1:45 – 2:45

ISO 31000: The New Standard on Risk Management—Implications for Your ERM Program

Dorothy M. Gjerdrum, Executive Director, Public Entity & Scholastic Division, Arthur J. Gallagher Risk Management Services; Chair of the U.S. Technical Advisory Group to ISO 31000

There are two new ISO standards on the practice of risk management and risk assessment techniques that will affect how risk is managed all around the globe. This session will answer the following questions:

- Why are the new ISO standards important to higher education?
- What will motivate institutions to implement ISO?
- How will ISO 31000 change the way we manage risk? What does it mean for an institution that has an ERM program?
- What would I need to do to get started? Are there resources for implementation?

2:45 – 3:00

Networking Break



3:00 – 4:00

CASE STUDY

Grassroots ERM: Initiating ERM from the Ground Up

Bill Thomas, Risk Manager, Risk Management and Safety, California State University San Marcos

- Where to begin: identifying a model program and initiating ERM support
- Creating a strategic timeline
- Facilitating a dynamic risk assessment
- Next steps: replicating your model program through university-approved governance

4:00 – 5:00

CASE STUDY

A Practical Implementation of the ERM Model: Emory University-Emory Healthcare

Shulamith Klein, Chief Risk Officer, Office of Quality and Risk, Emory University-Emory Healthcare

- Maximizing front-line engagement in a top-down ERM model
- Creating a program with no increase in budget and no change in workflow
- Using ERM to tackle exposures related to research, campus safety, academic affairs, and student life
- Take-away templates for calculating risk factors, tracking key risks and creating risk management plans

5:00

End of Day Two

PLUS! Take advantage of our  optional post-conference workshops

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Enterprise Risk Management in Higher Education

DECEMBER 7 – 8, 2010 • OPTIONAL WORKSHOPS: DECEMBER 9, 2010 • SAN FRANCISCO

OPTIONAL POST-CONFERENCE WORKSHOPS: THURSDAY, DECEMBER 9, 2010

WORKSHOP ONE: 9:00 – 12:00

ERM for the Smaller College: Workshop for Implementation

Marianne Cwalina, Executive Director of Financial Operations, Bentley University
Bonney J. Hebert, President, Academic Risk Resources & Insurance

Smaller colleges share the same risk challenges as schools with more resources. Further, a crisis at a smaller institution can have an even deeper impact on continuity and ability to effectively respond. If risk is part of your responsibility, this is a must-attend session that will provide you with hands-on consulting and answers to your specific requests.

- Case studies of smaller institutions' ERM implementation processes will be reviewed to illustrate what works and what doesn't
- Smaller institutions seeking a model that will work best for them will benefit from experiences of other smaller institutions trials and efforts with enterprise risk management
- "Smaller institution" often means smaller budgets or fewer resources to draw on for new strategies: what approach can fit your resources?
- Where does buy-in begin? And how can the smaller institution cultivate buy-in on multiple levels?

WORKSHOP TWO: 1:00 – 4:00

Manage Higher Education Risks: UC ERM Tool Box and Website

John W. Gregg, Director Controls and Accountability, Risk Services ERM Team, University of California

- Introduction to the free resources available on the UC Risk Services ERM Website (www.ucop.edu/riskmgmt/erm/)
- Learn how to use a COSO-based framework to plan your ERM program and assess its maturity level over time
- Learn to use free, ready-to-deploy risk assessment workbooks:
 - *Higher Education*: assess risks across the campus, medical center or university system; includes list of risks
 - *Budget Changes*: assess risks associated with option to respond to budget changes
 - *Unit Risk*: consider factors affecting the risks faced by your campus or medical center unit or location
 - *New Initiative Risk*: consider risks associated with a new initiative or program
 - *Program Risk*: consider risks associated with existing programs or projects and estimate residual risk
 - *Library Collections*: evaluate the risk to collections spanning a wide variety of library media

BUILDING ON A TRADITION OF SUCCESS

Celebrating almost two decades of high-caliber events

“Practical, hands on brainstorming of how to go about ERM—what I was looking for!”

— Director of Risk Management and Insurance, PACE UNIVERSITY

“Helped with planning implementation of ERM...excellent resource materials... excellent examples from various higher ed institutions.”

— Executive Director, Business Continuity, CUYAHOGA COMMUNITY COLLEGE

“Provided a good basis for evaluating where our ERM efforts are at and where they are going”

— Chief Internal Auditor, UNIVERSITY OF NORTH TEXAS

“I was looking for practical, tested ways of creating a culture of risk management. The ideas and information shared was exceptional with several key take-aways.”

— Associate Vice President, Risk Management Services, UNIVERSITY OF ALBERTA

“All topics were timely for an ERM process development.”

— Assistant Director Enterprise Risk Management, UNIVERSITY OF ILLINOIS

“Broadened my knowledge of effectively integrating ERM and internal audit risk assessment.”

— Associate Vice-President, Office of Internal Audit, COLUMBIA UNIVERSITY

Join Your Peers

WHO SHOULD ATTEND

Officers, Vice-Presidents, Directors, and Managers responsible for:

- Enterprise Risk
- Risk
- Compliance
- Health and Safety
- Insurance
- Business Operations
- Business Continuity and Planning

INFONEX Inc. is a recognized name in courses, training seminars, and conferences on business and market trends, and regulations that directly impact the performance and profitability of the private and public sectors in North America.

Since 1991, INFONEX has grown into an industry leader in tax, finance, professional regulation, and governance, risk, and compliance conferences.

INFONEX's *Enterprise Risk Management for Higher Education* will show you how best to approach and succeed with an ERM program in your institution. Learn how to align your ERM implementation with other organizational efficiency efforts, and apply ERM to continuing operations. Register today!

Register Now! Call 1.800.474.4829 Fax 1.800.558.6520 www.infonexconferences.com

Enterprise Risk Management in Higher Education

December 7-8, 2010 • Workshops: December 9, 2010
SAN FRANCISCO, CALIFORNIA

FOUR KEY BENEFITS OF ATTENDING THIS EVENT

- 1) Learn practical, ready to deploy tactics that enable your organization for ERM
- 2) Gain insight that is tailored to the unique risk profiles of higher education institutions
- 3) Hear case studies from organizations with mature risk cultures
- 4) Compare current opportunities and challenges with your peers

REGISTER BY PHONE, ON-LINE, OR IN THESE 3 EASY STEPS!

1 PRINT YOUR NAME AND CONTACT INFORMATION

Mr./Ms./Mrs. _____ Title _____

Organization _____

Name of Approving Manager _____ Title _____

Address _____

City _____ State/Province _____ ZIP/Postal Code _____

Telephone () _____ Ext _____ Fax () _____

Email address _____

Company's main line of business _____ Number of Employees: _____

2 SELECT YOUR OPTION(S) AND PREFERRED METHOD OF PAYMENT

All prices in U.S. Dollars	Register by OCTOBER 8	Register by NOVEMBER 5	FULL PRICE
Conference: Groups of 3 or More	\$1,199 each	\$1,399 each	\$1,699 each
Conference: Groups of 2	\$1,299 each	\$1,499 each	\$1,799 each
Conference: One Registrant	\$1,399	\$1,599	\$1,899
Optional Workshops	\$500 each		

*Groups must register together at the same time to be eligible for group rates.

SELECT YOUR OPTION(S): Conference Workshop One Workshop Two

Please charge to my credit card: VISA MasterCard

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Card Number: _____ Exp. Date: _____ / _____

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LOCATION: Enterprise Risk Management in Higher Education will be held at a convenient location in San Francisco, CA Detailed venue information will be provided with your registration confirmation.

YOUR REGISTRATION INCLUDES: Registration fees include all course materials, continental breakfast, lunch, and refreshments. **Parking and accommodation are not included.**

SPONSORSHIP & EXHIBITION

Increase your visibility with risk professionals, you need to be at Enterprise Risk Management in Higher Education. A limited number of sponsorship options are available. For more information, call our sponsorship department at 1.800.474.4829, ext. 244, or email sponsorship@infonex.ca.

GROUP DISCOUNTS: Send your team to this event! If two or three people register together at the same time, you are eligible for group savings. For groups of four or more, please contact us.

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3 SEND US YOUR REGISTRATION

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- WEBSITE:** www.infonexconferences.com
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67 Richmond St. W., 7th Floor
Toronto, Ontario M5H 1Z5

CANCELLATION POLICY:

Substitutions may be made at any time. If you are unable to attend, please make cancellations in writing and fax to 1-800-558-6520 **no later than November 23, 2010**. A credit voucher will be issued to you for the full amount, redeemable against any other INFONEX course and which is valid for twelve months (one year) from the date of issue. If you prefer, you may request a refund of fees paid, less a 15% administration fee.

Registrants who cancel after **November 23, 2010**, will not be eligible to receive any credits or refunds and are liable for the entire registration fee.

Confirmed registrants who do not cancel **by November 23, 2010** and fail to attend will be liable for the entire registration fee.