

# Risk Category Listing

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### Human Resources

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64. Athletic Programs
65. Administrative Services
66. Concessions (Retail / Food Services)
67. Alumni Affairs
68. Wellness Center

## University Foundation

69. Endowments

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
1	Strategic Planning	Development of a viable long term strategy and resource allocation which adequately contemplates and is responsive to all significant market dynamics.
2	Fiscal Management	Ability to project, manage and report performance of the revenues and costs of the University in order to achieve near-term and longer-term financial viability.
3	JV's / Alliances and Partnerships	Identification, design, and operation of joint ventures, partnerships, or outsourcing arrangements to produce the intended benefits.
4	Major Initiatives	Comprehensive identification and management of the risks associated with expanding University offerings into new areas or techniques in order to grow enrollment and/or revenue.
5	Organizational Change Management	Ability to effectively implement change within the existing University culture. Includes preparing, equipping and supporting individuals to successfully adopt change in order to drive organizational success and outcomes.
6	Technology Strategy	Ability to identify and prioritize technology initiatives and effectively allocate resources in order to achieve strategic goals and objectives. Ability to effectively contemplate and enable data and reporting needs for internal and external reporting purposes, service delivery, and regulatory requirements.
7	Competition	Ability to identify and react to actions of competing institutions (including new entrants to the education market) that negatively affect the University's competitive advantage, growth objectives, or long-term survival. Includes adjusting pricing (tuition, fees and charges).
8	Social and Political Factors	Social (e.g. demographic) factors and political factors (e.g. government budget constraints) that negatively affect the University's ability to achieve its strategic objectives.
9	Economic Factors	Ability to identify and react to macroeconomic conditions and industry trends that could impact achievement of strategic goals.

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Risk Universe No.	Risk Category	Definition
10	University Positioning / Image	Management of the University's image externally and internally. Includes managing market communications in a fashion that provides a clear picture of the University's operations, capabilities, and strategic vision.
11	Government & Community Relations	Maintain effective relationships and communications with government officials to encourage understanding and support for University priorities. Maintain effective relationships with community representatives to partner with and understand community needs.
12	Institutional Culture	Defining, driving and holding accountable all to a University Culture reflective of the University's values. Includes the "Tone at the top" by senior management through its actions reflecting University's values.
13	Organizational structure	The organization structure of the University optimally supports the achievement of strategic and business objectives in an efficient manner. Roles and responsibilities are clear about authorities and ownership. Decision making authority rests in a sufficient number of hands given the size and span of operations. Organizational goals and objectives are developed, communicated, and monitored for achievement
14	Control Environment	Senior management establishes and maintains an internal control environment that fosters control consciousness and compliance in process design and operation, and conducts sufficient monitoring activities to ensure that operations are aligned with stakeholder and regulatory expectations.
15	Policies & Procedures	Documented and updated policies and procedures are in place to define key authorities, responsibilities, and business requirements and properly guide employees on the execution of business processes and controls. Includes policy & procedures defined throughout the University.
16	Audit and Risk Management	Internal Audit exists to provide an independent, objective assurance and consulting activity designed to add value and improve the organization's operations. Risk Management includes loss prevention and avoidance activities, the purchase of insurance coverage, and self insurance to provide protection and conservation of University resources (people, property, and money).

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17	Recruiting / Admissions	Recruiting and admissions activities (including web access) are effectively designed, operated, and staffed to achieve University goals. Funds allocated for recruitment activities are optimally deployed and controlled. New students are effectively screened to meet admission requirements. Data and trends are effectively analyzed to determine adjustments to strategies and processes. Areas include: enrollments, transfers, target students, diversity.
18	Student Retention	Students are effectively counseled and supported to maximize prospects for success. Data and trends are effectively analyzed to determine adjustments to strategies and processes to minimize student withdrawals and defections.
19	Student Financial Aid	Students are properly supported in the identification and utilization of financial aid vehicles. Includes execution of underlying processes for: Map Awards, Pell Grants, Perkins Loans, Tuition Wavers, Scholarships/Awards. Includes ensuring satisfactory academic progress.
20	Registrar	Effectively providing: <ul style="list-style-type: none"> <li>- Evaluations (includes the transfer credit evaluation and awarding of all undergraduate degrees),</li> <li>- Course Scheduling (includes catalog/schedule maintenance), and</li> <li>- Records and Registration (includes course registration, issuance of official transcripts, enrollment/degree verifications, grade changes, reinstatement and readmission processes). Ensures data and documents are safely and securely stored and can be efficiently and effectively accessed or retrieved.</li> </ul>
21	Academic Offerings	Ability to develop and deliver academic offerings that meet the needs of students, degree programs, the hiring market, and the community. Includes distance learning, extension courses, laboratories and other delivery methods. Includes considering and minimizing incomplete grades.
22	Innovation	Ability to identify, develop, and deliver new or expanded academic offerings that meet the needs of students, the hiring market, and the community. People, process, technology, and other aspects of successfully launching and stabilizing new programs are anticipated and carried out effectively. Includes distance learning, extension courses, laboratories and other delivery methods.
23	Scheduling / Resource Allocation	Instructional resources are allocated / hired to meet program needs and consider faculty course load. Resource needs estimates are sufficient to avoid significant underutilization of staff or inability to meet delivery commitments.

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
24	Quality Control	Proactive measures are taken to self-assess quality of programs and instructors and remediate issues. Quality results are reliable and issues and action plans are reviewed with and monitored by appropriate senior management. Considers student academic performance and student tenure.
25	Student Affairs	Includes student activities outside curriculum including but not limited to: Student Housing, Student Union, Special Events (JCC), Recreational facilities and Library. Considers students with special needs.
26	Research	The definition, focus and undertaking of graduate and faculty research. Includes institutional research & planning, quality control, enhancement of the university's research capability, protection of intellectual property arising from research activities, financial control over research activities and recruitment of research students and faculty. Includes all regulatory compliance on research activities.
27	Judicial Affairs	Ability to effectively address student and employee violations of CSU policies, follow student disciplinary procedures and address student grievances.
28	Accounting & Reporting	Ability to effectively operate accounting, financial close and reporting processes to meet external and internal reporting requirements. Includes consideration of tax reporting requirements and other liabilities.
29	Budgeting & Forecasting	Ability to accurately budget and forecast financial information.
30	Cash Management	Effective cash forecasting, positioning and short term investment strategies. Includes effective management of Banking Operations, Cashier Operations, Student Accounts and unclaimed property. Includes Bursar's office/Cashier's operations.
31	Tuition / Fees / Receivables	Tuition billings are produced timely, accurately, and efficiently and capture all billable activities and expenses and financial aid. Adequate authorizations, processes and controls are in place over credits provided to students. Collection processes are effective and balance write-offs are subject to appropriate review and approval. Includes other accounts receivable activities not listed elsewhere (e.g., accurate and timely bill, bad debt write-off / allowances, unrecorded receivables, credit card processing, etc.).

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
32	Procurement / Purchases	Effective and efficient policies, processes and controls for procurement and purchasing processes. Includes areas such as vendor selection, vendor master file, negotiating most favorable prices, authorizations of purchases, accurate processing, and control over purchasing cards. Includes consideration of processes and controls over third party service providers such as selection, contracting, and performance monitoring.
33	Payables / Payments	Effective and efficient policies, processes and controls across payables and payments processes. Includes areas such as authorizations for payments, accurate processing, taking advantage of discounts, and the management of 1099 reportable payments such as stipends/scholarships.
34	Employee Expenses	Effective policies, processes and controls around employee expenses including travel and entertainment.
35	Payroll & Benefits Processing	Effective and efficient policies, processes and controls across payroll and benefits processing. Includes areas such as time keeping & time reporting, payroll processing, payroll tax compliance, employee recordkeeping, benefits plan administration including meeting associated regulatory requirements.
36	Capital Investments & Financing	Processes and controls around approvals for capital investments and associated financing
37	Fixed Assets	Effective policies, processes and controls surrounding acquisition, recording, depreciation, disposal, valuation and inventorying of fixed assets as well as processes to periodically verify existence.
38	Diversity	The promotion of an academically enriching and supportive climate that allows all members of its community to thrive and succeed. Includes collaboration with units on campus to provide a comprehensive, university-wide approach to diversity and inclusivity, access, and equity. See Recruiting/Admissions for the inclusion of diversity in student recruitment.
39	Grants Administration	Effective grants management, fiscal administration and program management. Includes subsequent procurement and property management using grant monies, OMB Circular A-21 and regulatory compliance including Title IV, student loan administration, etc.

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
40	IT Infrastructure / Operations	Effective IT infrastructure resulting in ability to support the business and reporting needs in a reliable and cost effective manner. Includes: ERP Systems (Banner), IT Systems Maintenance, Network Management & Administration, Software Assessment & Purchasing, Software Certificate & Licensing, Data Center / Physical Assets, IT records management, telecommunications hardware/software and Help Desk & Support.
41	Technology Implementations	Effective, controlled, and cost-efficient implementation of new technology following a defined System Development Lifecycle and program management framework. Effective leverage of efficiencies inherent in new technologies through elimination of redundant manual controls. Includes associated change management.
42	IT Security / Access	Design and operation of information systems to adequately protect the critical data and infrastructure from internal or external theft, corruption, unauthorized usage, viruses, or sabotage. Ability to prevent unauthorized parties from obtaining confidential employee, customer/student or operations data, thereby exposing the University to legal liability and damage to its public image. Includes Cybersecurity.
43	IT Availability / Continuity	Effective proactive planning and testing to manage the risk of unacceptable interruptions in IT operations which could result in significant disruption to University processes and/or client service. Includes data backup and data center recovery planning and testing.
44	Business Continuity Planning	University-wide preparedness to ensure the ability to recover and maintain operations in the event of a disruption due to physical or natural circumstances, such as terrorist activities, malicious acts or natural disasters.
45	Insurance	Ability to effectively take actions to safeguard against insurable risks. Periodic analysis / rebidding of insurance coverage to obtain favorable rates.
46	Code of Conduct	Success creating and instilling accepted norms of behavior that promote a culture of ethical behavior by University employees and students, and open communication without fear of retaliation (whistleblower protections). Includes matters such as discrimination, harassment, conflict of interest, disclosures, ethics, gifts and pledges
47	Fraud / Anti-Corruption	Effective policies, processes, and controls to prevent or detect fraud or conflicts of interest by University employees or agents. Success creating a University environment , policies, processes, and controls that discourage fraud and abuse practices in third-party dealings such as improper political donations, lobbying, bribes / kickbacks, gifts or entertainment. Particular focus with regard to relationships and transactions involving government officials. Includes institutional investigation activities.

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
48	Litigation and Liability	Capability to adequately anticipate and manage legal risks, lawsuits, licensing requirements and contracting risks. Includes contract review and management as well as lease and real estate contractual oversight. Includes Board advisement and strategic consultation.
49	Intellectual Property	Effective processes and controls to capture and protect University patents, copyrights, and other intellectual property such as proprietary technology, software, data, process models, and operating techniques. Processes and controls to prevent infringement of the intellectual property and copyrights of third parties.
50	Record Retention	Provides for the systematic review, retention, and destruction of documents received or created in the course of business.
51	Regulatory Compliance	Processes to comply with federal, state and local regulations. Includes FOIA.
52	Accreditation	Effective processes to maintain accreditation including jurisdictional authority.
53	Labor Rules and Relations	Capability to identify and manage risks posed by labor rules and regulations, Examples include taxes, wages, anti-discrimination, the Family and Medical Leave Act, severance and separation requirements and worker's compensation. Processes to maintain effective working relationships with labor unions.
54	Data Protection and Privacy	Effective policies, processes and controls to identify and comply with privacy rules and regulations such as HIPPA. Includes advisement/support of (but excludes ownership of) Wellness Center HIPPA compliance.
55	Environmental, Health and Safety	Effective processes and controls to comply with environmental health and safety regulations including jurisdictional reporting requirements such as OSHA. Includes biomaterials & biosafety.
56	Sustainability	Effective development, communication and operation of a strategy that demonstrates the University's concern for the environment. Includes appropriate controls over data on sustainability efforts reported outside of the University.



# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
57	Talent Acquisition & Training	Ability to attract qualified faculty and employees to effectively fill leadership and service delivery positions of the University. Includes civil service processing, temporary help, termination and employee onboarding/orientation and the retention of postgraduates in the University's workforce.
58	Development & Performance	Ability to train, develop and enhance faculty and employee skills as well as drive and evaluate individual performance. Ensures proper alignment of performance goals and objectives with University goals and objectives.
59	Compensation & Benefits	Ability to develop and administer a market competitive package of compensation and benefits that enables the University to attract and retain appropriate talent. Includes accurate HRIS management (e.g., leave & vacation balances, eligibility, service dates, etc.)
60	Retention / Succession Planning	Ability to design and operate proactive processes and programs to optimize retention rates for qualified faculty and employees. Ability to plan effectively to groom and fill the strategically important leadership positions of the University.
61	Facilities Management	Capability to effectively and cost efficiently manage the University's facilities. Includes management of facilities costs such as utilities, maintenance and upkeep of facilities and equipment,
62	Physical Safety & Security	Ability to ensure and respond to issues regarding the physical safety of students, university employees and visitors as well as physical protection of the University's property (other than IT Operations). Includes University Police Services.
63	Construction Activities	Effective processes and controls over bidding, contracting, construction activities, and contractor performance as applicable.
64	Athletic Programs	Effective and efficient administration of all aspects of the University Athletics Programs. Includes but not limited to: Academic Review, Scholarships, Travel & Expenditures and Ticket Sales.

# Risk Categories Listing Definitions

Risk Universe No.	Risk Category	Definition
65	Administrative Services	Effective and efficient administration of: Parking Services, Physical Access & Key Management, Receiving and University Vehicles.
66	Concessions (Retail / Food Services)	Effective and efficient administration of: Bookstore, Cafeteria and Concession Stand operations.
67	Alumni Affairs	All aspects of alumni relations and engagement including: alumni donations, alumni registration & commitment and programming of alumni events.
68	Wellness Center	The Wellness/Health Center provides primary health services for CSU students and is a comprehensive health and educational resource for the entire campus community. This includes: Managed Care, Patient Scheduling & Registration, Physician Contracting, Performance Metrics and Management, Billing & Collections, Medical Records and Regulatory Compliance (FERPA, HIPAA).
69	Endowments	Effective and efficient administration of the CSU Foundation. Includes appropriate policies, processes and controls to ensure that endowments are managed and controlled in a fiduciary manner, that investment strategies are operated in accordance with established guidelines, and that investment performance is critically evaluated on a regular basis.