

An aerial photograph of a university campus, showing various brick buildings, green spaces, and walkways. The image is semi-transparent, allowing the text to be overlaid clearly.

University Risk Map

High-Level Overview of Key Risks

UNIVERSITY RISK MAP

Strategic

Operational

- S1. Governance**
 - a. Board Structure and Performance
 - b. Tone at the Top
 - c. Technology Governance
 - d. Control Environment
 - e. Environmental, Social, and Governance
 - a. Oversight
 - b. Decision-making
 - c. Organizational Structure
 - d. Accountability
 - e. Continuity
- S2. Planning/Allocation**
 - a. Organization Structure
 - b. Strategic Planning
 - c. Annual Budgeting
 - d. Forecasting
 - e. Technology Enablement
 - f. Business Continuity
- S3. Market Dynamics**
 - a. Competition
 - b. Macroeconomic Factors
 - c. Lifestyle/Business Trends
 - d. Sociopolitical

- S4. Major Initiatives**
 - a. Vision and Direction
 - b. Process Improvement
 - c. Planning and Execution
 - d. Measurement and Monitoring
 - e. Technology Implementation
 - f. Business Acceptance
 - g. Valuation and Pricing
 - h. Targeting and Due Diligence
 - i. Execution and Integration
- S5. Brand and Communication**
 - a. Branding Policy
 - b. Customer Relations
 - c. Stakeholder Relations
 - d. Reputation and Image
 - e. Media Coverage
 - f. Stakeholder Relations
 - g. Social Media
- S6. Key Relationship Management**
 - a. Stakeholders
 - b. Strategic Suppliers
 - c. Students
 - d. Employees
 - e. Joint Ventures/Consortiums
 - f. Government Authorities

- O1. Marketing and Communications**
 - a. Marketing
 - b. Tuition and Fees
 - c. Advertising and Promotion
 - d. Product Development
 - e. Pipeline Management
 - f. Customer Services
 - g. Handbooks/Policies
 - h. Service Delivery
 - i. Copyright
 - j. Trademark
 - k. Social Media
 - l. Crisis Communication Plan
- O2. Supply Chain Management**
 - a. Planning/Forecasting/Capacity
 - b. Vendor Management
 - c. Plant Operations
 - d. Cost Control and Efficiencies
 - e. Transportation and Logistics
 - f. Contracting
 - g. Risk Sharing

- O4. Hazards**
 - a. Natural Events
 - b. Labor Strike/Organized Campaign
 - c. Political Unrest
 - d. Terror and Malicious Acts
 - e. Workplace Accidents
 - f. Disaster Recovery and Continuity
- O5. Physical Assets**
 - a. Real Estate
 - b. Property and Equipment Inventory
 - c. Physical Security of Confidential and Sensitive Information Devices and Documents
 - d. Handbooks/Policies
 - e. ADA
 - f. Building Maintenance
 - g. Collections-Library/Art/Corporate Documents
 - h. Motor Pool
 - i. Facilities Management
 - j. Historical Preservation

UNIVERSITY RISK MAP

Information Technology

Finance

- T1. IT Governance**
 - a. Mission and Business Alignment
 - b. Technology Policy
 - c. SDLC and Project Management
 - d. Steering Committee
- T2. IT Strategy and Planning**
 - a. Planning
 - b. IT Organization
 - c. Asset Management
- T3. Architecture**
 - a. Technology Planning
 - b. Architecture Design
 - c. Vendor/Product Selection
 - d. Standards
- T4. Enterprise Security**
 - a. Security Strategy
 - b. Identity and Access Management
 - c. Threat and Vulnerability
 - d. Security Configuration
 - e. Privacy/Student Records
 - f. Data Loss or Corruption
 - g. Confidential/Sensitive Data
- T5. Application and Databases**
 - a. Change Management
 - b. Patch Management
 - c. Data Quality
 - d. Interface Validation and Integrity
- T6. Operations**
 - a. Data Processing
 - b. Application/Database
 - c. Facilities Management
 - d. Date Retention/Backup
 - e. Disaster Recovery
- T7. Support**
 - a. Problem Management
 - b. Vendor/Third Party
 - c. End-User Computing
 - d. Software Licensing
 - e. Reliability of Essential Technology, Business Continuity/Disaster Recovery
 - f. Tech Transfer
- T8. Infrastructure**
 - a. Operating Systems
 - b. Databases
 - c. Networks
 - d. Hardware

- F1. Accounting and Reporting**
 - a. Financial Reporting
 - b. Qualified Staff
 - c. Disclosure and Data Integrity
 - d. Internal Control Requirements
 - e. Regulatory Change
 - f. Fraud
 - g. Enterprise Resource Planning Platform
 - h. Budget Alignment with Strategic Priorities
 - i. State Prompt Payment Laws
- F2. Procurement Services**
 - a. P-Cards
 - b. Contract Life Cycle Management
 - c. Vendor Management and Diversity
 - d. Fraud and Data Analytics
 - e. Economy
- F3. Capital Structure**
 - a. Debt
 - b. Equity
 - c. Pension Funds
 - d. State Treasury and Investment
 - e. Carry-forward Funding
- F4. Market**
 - a. Interest Rates
 - b. Foreign Currency
 - c. Financial Instruments
 - d. Credit Ratings
- F5. Liquidity Management**
 - a. Cash Management
 - b. Funding and Investment
 - c. Credit and Collection
 - d. Insurance
 - e. Access to Capital
 - f. Adequacy of Reserves
 - g. Cash Flow
 - h. Dependency of Limited Income Source

UNIVERSITY RISK MAP

Compliance		Athletics	Student Affairs
C1. Standards and Business Conduct a. Ethics b. Fraud a. Codes of Conduct c. Conflicts of Interest d. Internal Controls e. Enterprise Risk Management	C3. Regulatory a. Trade b. Customs c. Labor d. Environmental e. Data Protection f. and Privacy g. Product h. Health and Safety i. Competitive Practices/ j. Taxation a. Reporting Requirements b. Accreditation c. Privacy/Student Records d. Minors on UNIVERSITY e. Alcohol Policies f. Premises Liability g. Codes of Conduct h. ADA i. Title IX j. Clery Act k. Violence Against Women Act l. Sunshine Laws	A1. Health and Safety a. Safe Venues and Facilities for Students, Staff, and Fans b. Travel, Lodging, and Food c. Event Security d. Mental Health and Medical Services Available A2. Operations a. Financial Stewardship b. Vendor Management c. Donor Relations d. Public Relations e. Sponsors and Vendors f. Training g. Trademark/Licensing A3. Compliance a. Title IX b. NCAA Rules c. SWAC Rules d. Sports Camps/Minors on UNIVERSITY e. Name, Image, Likeness f. Boosters g. Contracts	SA1. Health and Safety a. Greek Life b. Alcohol Policies c. Hazing d. Mental Health Services e. Dobbs v. Jackson SA2. Operations a. Privacy/Student Records b. Student Organizations c. Disaster Recovery and Continuity d. Enrollment Management e. Housing f. UNIVERSITY Recreation g. Career and Professional Development h. Diversity and Inclusion i. Academic Advising and Coaching j. Social Media k. Available Resources l. Living and Learning Community SA3. Financial Assistance a. Student Code of Conduct b. Student Loans c. Student Debt/Financial Aid

UNIVERSITY RISK MAP

Security/Safety	Human Resources	Academic	
SS1. Health a. Accident or Illness b. Healthcare/Clinical Trials c. Adequate Funding d. Communication e. Pandemic SS2. Safety and Emergency Management a. Violence or Crime on UNIVERSITY b. Sexual Assault c. Civil Unrest d. Minors on UNIVERSITY e. Alcohol Policies f. Hazing g. Premises Liability h. Student Death i. Background Checks j. Weapons on UNIVERSITY k. Emergency Plans l. Fire Hazards m. Laboratory Safety n. Personnel Training o. Transportation p. Open UNIVERSITY q. Environment Health and Safety	H1. Faculty a. Privacy/Student Records b. Discrimination c. Employee Benefits d. Recruitment and Retention e. Retirement f. Handbooks/Policies g. Diversity h. Pay Equity i. Tenure and Promotion j. Collective Bargaining k. Succession Planning H2. Staff and Administration a. Culture and Change Management b. Recruiting and Retention c. Development and Performance d. Retirement e. Succession Planning f. Compensation and Benefits g. Employee and Labor Relations h. Employee Handbook i. Policy Management j. Employee Privacy k. Collective Bargaining l. Onboarding/Offboarding	AC1. Students a. Admission Standards b. Privacy/Student Records c. Online Course Availability d. Course Sequencing/Class Size e. Licensure Pass Rate f. Plagiarism g. Code of Conduct h. Retention and Graduation Rates i. Special Needs Students j. Internships and Career Planning k. Judicial Affairs l. Ombudsman AC2. Faculty a. Handbooks/Policies/Constitutions b. Academic Advising and Tutoring c. Poor Instruction and Performance Evaluation System d. Curriculum Management e. Sabbaticals and Professional Development f. HB7 – Individual Freedom g. Inappropriate/Inequitable Workload Definition h. Inadequate Teaching Assistant Support i. National and International Recognition (Research, Publications, SME)	AC3. Resources a. Financial System Does Not Provide the Level of Management Reporting Needed for Deans and Department Chairs to Manage Their Financial Information b. Fund Allocation and Use Not Aligned With Institutional Goals and Objectives c. Performance-Based Funding AC4. Operations a. Failure to Communicate Effectively b. Failure to Include Faculty in the Development of Priorities and Policies c. Failure to Train Faculty and Staff for Academic Administration d. Programs Not Developed and Evaluated for Effectiveness, Continued Demand, and Institutional Priorities e. Textbook Best Practices (Selection and Affordability) f. Ability to Maintain Program Accreditation g. Program Marketing

UNIVERSITY RISK MAP

Reputational

Research

R1. Academic Programs

- a. Quality and Integrity of Academic Programs
- b. Quality of Students and Faculty
- c. Faculty Conduct
- d. Integrity of Researchers and Federal Grant Administration

R2. Accreditation

- a. Actions Accreditors Take Relating to Accreditation Status
- b. Failure or Poor Scores on Licensing Exams

R3. Athletics

- a. NCAA Compliance
- b. Athlete Conduct
- c. Coach Behavior
- d. Athletic Conference
- e. Name, Image, Likeness

R4. Business Model

- a. Enrollment Trends
- b. Fiscal Management
- c. Staffing Levels
- d. Tuition Management

R5. UNIVERSITY Climate

- a. Diversity and Inclusion of Student Body
- b. Diversity and Inclusion of Senior Administration
- c. Controversial Speakers

R6. Cybersecurity and Technology

- a. Loss of Data Due to Technology Breach
- b. Phishing, Ransomware, and Other Cyber Events
- c. Technology Integration into Facilities and Curriculum

R7. Leadership Behavior and Talent Retention

- a. Quality of Leadership
- b. Leadership Changes
- c. Talent Acquisition and Retention
- d. Fiscal Responsibility
- e. Ethics
- f. Experience and Expertise

R8. Sexual Assault/Title IX

- a. Prevention and Response to student-On-Student Sexual Assault
- b. Title IX Compliance

R9. Student Behaviors

- a. Greek Organizations
- b. UNIVERSITY Safety
- c. Student Mental Health
- d. Inclusion of international Students

R10. Alumni

- a. Job Placement
- b. National and International Recognition
- c. Communication Channels with University

RS1. Administration

- a. Unallowable and Indirect Costs
- b. Monitoring
- c. Effort Reporting
- d. Verifiable Cost Sharing Contributions
- e. Cost Transfer Benefits
- f. Research Security Requirements (People and Technology)
- g. Project Commitment Exceed 100%
- h. Compliance with Sponsor Funding Agreements
- i. Partnerships
- j. Carnegie Ranking

RS2. Compliance

- a. Cost Accounting Standards
- b. Intellectual Property
- c. Copyrights and Patents
- d. Salary Cap Limitations
- e. Untimely Deliverables
- f. Non-Compliance with Federal Guidance

RS3. Special Areas/Activities

- a. Controlled Technologies
- b. Animal Research
- c. Human Subjects Research
- d. Biosafety