



GARY S. MAY
Chancellor

OFFICE OF THE CHANCELLOR
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August 23, 2022

Alexander Bustamante, SVP and Chief Compliance and Audit Officer, UCOP
Mary Croughan, Provost and Executive Vice Chancellor
Wendi Delmendo, Chief Compliance Officer
Rocko DeLuca, Athletic Director
Ryan Dickson, Manager, Audit and Management Advisory Services
Karl Engelbach, Chancellor's Chief of Staff
Tony Firpo, Associate Director, Audit and Management Advisory Services
Renetta Garrison-Tull, Vice Chancellor, Diversity, Equity and Inclusion
Philip Kass, Vice Provost, Academic Affairs
Leslyn Kraus, Director, Audit and Management Advisory Services
David Lubarsky, CEO and Vice Chancellor, UC Davis Health
Melinda Mendoza, Chief Compliance and Privacy Officer, UC Davis Health
Prasant Mohapatra, Vice Chancellor, Research
Viji Murali, CIO and Vice Provost Information and Educational Technology
Ahmet Palazoglu, Incoming Chair, Academic Senate
Pablo Guillermo Reguerin, Vice Chancellor, Student Affairs
Gabriella Renteria, Risk Manager, Risk Management Services
Cheryl Sadro, Chief Financial Officer, UC Davis Health
Clare Shinnerl, Vice Chancellor, Finance, Operations and Administration
Brad Simmons, Chief Operating Officer, UC Davis Health
Michael Sweeney, Chief Campus Counsel
Dana Topousis, Chief Marketing and Communications Officer, Strategic Communications
Rao Unnava, Dean, Graduate School of Management

Dear Colleagues:

Beginning in September 2019, the Audit and Management Advisory Services Work Group and Ethics, Compliance and Risk Council were combined into the Audit, Compliance, Ethics and Risk Committee (ACERC). I ask that you accept this appointment to join me in serving on the ACERC for fiscal year 2023.

The ACERC functions as a coordinating and decision-making body responsible to the chancellor, and is charged to:

Audit and Management Advisory Services:

- Assist in ensuring Audit and Management Advisory Services is carrying out its mission and maintaining its objectivity and independence;

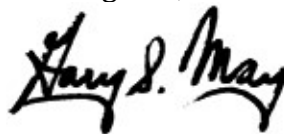
- Review audit results (external and internal), activity reports, status of corrective actions, and areas of concern;
- Approve changes to the annual audit plan;
- Make recommendations to the chancellor and provost to strengthen internal control systems on campus and at UC Davis Health;
- Evaluate the adequacy of resources of the Audit and Management Advisory Services department; and
- Review and approve the annual audit plan prior to submission to the UC Regents for approval.

Ethics, Compliance and Risk:

- Promote a culture that encourages all employees to conduct university business ethically and with a commitment to legal compliance;
- Provide executive-level oversight of university programs to ensure that they comprehensively address high priority risks as identified by the Compliance and Risk Council and the ACERC;
- Review and approve the annual compliance plan;
- Bring forward for discussion and coordination such high priority compliance and risk issues as may have university-wide implications or may require collaboration among several vice chancellor or vice provost units to resolve; and
- Make recommendations to the chancellor and provost to strengthen the compliance and risk programs on the Davis campus and at UC Davis Health.

The ACERC will meet three times a year. The complete meeting schedule is being distributed under separate cover. If you have any questions concerning this committee, please contact Audit and Management Advisory Services Director Leslyn Kraus at 530-752-9168 or lkraus@ucdavis.edu, or Chief Compliance Officer Wendi Delmendo at 530-752-9466 or wjdelmendo@ucdavis.edu.

Best regards,

A handwritten signature in black ink that reads "Gary S. May". The signature is stylized with a large, looped "G" and a cursive "May".

Gary S. May
Chancellor

/am

c: Chief Compliance Officer Delmendo
Director Kraus