

Charley B. Clark

Associate Vice President, University Risk and Compliance, Texas A&M University, (979) 845-0977

CERTIFICATIONS:

Certified Public Accountant
Certified Fraud Examiner

EDUCATION:

MBA (Computer Science), Texas A&M University
BBA (Accounting), Texas A&M University

PROFESSIONAL EXPERIENCE:

Associate Vice President, University Risk and Compliance, Texas A&M University, June 2005 to present; performed concurrently with **Senior Lecturer** in the Department of Accounting.

Lead University Risk and Compliance (URC), a division of the Vice President for Administration. URC includes 194 budgeted employees and 21 student workers with a total budget of approximately \$11,200,000. URC encompasses the following functions.

- Safety and Security
 - Emergency Planning
 - Environmental Health and Safety
 - University Police
- University-wide Enterprise Risk Management
- Compliance (excluding research compliance and athletic compliance)
- Rules and Standard Administrative Procedures
- Management Advisory Services and University-wide Monitoring Function
- Audit Liaison and Fraud Contact

Oversee Safety and Security (consisting of Emergency Planning, Environmental Health and Safety Department, and the University Police Department) that is working to heighten the safety culture and awareness at Texas A&M University. Examples include:

- Reviewing and promptly issuing timely warnings as required by the Clery Act
- Developing and testing plans for pandemic flu, hurricanes, and other disasters
- Providing appropriate response and support related to emergencies
- Continuing to successfully police the campus and provide patrols in the Northgate area
- Continuing to develop the Emergency Management System
- Developing and implementing an Environmental Management System

Foster effective community relations (i.e., College Station and Bryan police and fire departments and Brazos County Emergency Management and Health Departments) by working to establish the community emergency operations center and re-band radios for mutual communications of emergency responders within a multicounty area. Also, to provide the community better organized and accessible information, the Safety and Security web pages were enhanced.

Oversee the development and implementation of the Enterprise Risk Management (ERM) program including the identification and assessment of risks and mitigating activities. The ERM program encompasses performing university-wide risk assessments, reviewing the effectiveness of significant university-wide mitigating activities, and facilitating risk assessments of individual units throughout campus. TAMU's ERM program has been identified as a model and requests are received from other universities for ERM implementation advice and information.

Lead the Compliance Program that continues to develop and emphasize accountability and personal integrity in the workplace, heighten awareness of compliance issues, and clarify understanding of policies and regulatory requirements. Areas of focus include on-going updates of University rules and standard administrative procedures, ADA, Clery Act, FERPA, and HIPAA. Compliance expertise is leveraged through interaction with groups and individuals with compliance roles in various operational areas.

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Oversee Management Advisory Services and the University-wide Monitoring Function. Management Advisory Services projects benefit and assist departments in achieving objectives, improving efficiency and effectiveness, enhancing communications, streamlining operations, increasing accuracy of financial records, enhancing compliance and controls, improving segregation of duties, improving safeguard procedures, etc. The Monitoring Function reviews the implementation status of audit recommendations and includes consultative and advisory services that provide an objective view of each recommendation's implementation status and advice and options for effectively addressing entire audit issues. These reviews assist management in avoiding repeat audit findings.

Enhance accountability and communication with management by preparing and distributing information used for the Board of Regents' Audit Committee meetings. Coordinating and distributing information is achieved by working with the University community regarding responses to audit reports, tracking forms, and other audit correspondence and activities (i.e., providing representation during audit meetings, assisting with comments and revisions to draft reports and managements' responses, tracking external entities' recommendations, assisting with allegations, and other reviews). Significant improvement continues to be gained in the area of auditor relations. Monthly meetings are held with the System Chief Auditor and Audit Director. By facilitating communications and information flow with and between university personnel and System auditors, Texas A&M management has the opportunity for valuable input on the audit areas of concern (those with high risk and significance). Those high risk areas are considered when the auditors develop their annual audit plan.

Chair (or co-chaired) several university-wide task forces and committees that support the university's mission, functions, and organizational frameworks such as:

Chair, Task Force for Campus Emergencies (TFCE), March 2008 to present (co-chaired April 2007 to February 2008)

In response to the tragedy that occurred at Virginia Tech and at the request of the Interim President, the TFCE was formed to explore best practice examples at other institutions nationwide and monitor and evaluate all appropriate current and emerging technologies that have possible campus security applications. Due to the complexity of the issue, a large number of members (presently 53) were appointed to the TFCE to obtain representation of the many areas of the campus community (including System Offices and the local police and fire departments).

The TFCE's first priority was to improve TAMU's specific quick response communications technologies. As a result, the Code Maroon notification system (tested monthly) has been implemented and is in its second generation of technology to provide alerts to the campus population through several notification methods including SMS text, email, FM radio and cable television, desktop popups, RSS feed, and Twitter. Speakers are being installed in over 200 classrooms, and other delivery methods are being considered.

Chair, Reporting Compliance Committee, July 2010 to present

At the request of the Interim Provost and Executive Vice President for Academic Affairs, the Oversight Committee was formed to oversee the timely reporting of incidents, accidents, and complaints as required by federal and state laws and regulations or other binding obligations. The committee is establishing a process, including internal notifications and timelines, to demonstrate the university's responsiveness to reporting obligations and reduce risk. The committee includes representatives from the Office of the Dean of Faculties, Research, Information Technology, Health and Safety, Athletic Compliance, Operations, Finance/Human Resources, Student Affairs, the System Office of General Council, TAMUG, and TAMUQ.

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Chair, ADA Compliance Committee, April 2004 to present

As ADA Coordinator (appointed by the Executive Vice President and Provost), chair the ADA Compliance Committee and provide leadership in coordinating services for ADA accommodations, accessibility, and grievance process for students, faculty, staff, and visitors. Responsibilities for specific services are distributed to various offices that include Disability Services, Office of the Dean of Faculties, Human Resources, Facilities Services, Environmental Health and Safety, etc. Also facilitate communication among the ADA service providers and other members of the university community regarding current ADA issues, regulatory changes, training, and enforcement trends.

Chair, H1N1 Operations Planning Team, April 2009 to present

At the request of the Executive Vice President for Operations, a cross-functional team was formed in response to the H1N1 flu pandemic. The team was charged with monitoring the H1N1 flu outbreak and coordinating appropriate responses to the threat of the disease on campus in accordance with guidance from the Centers for Disease Control, the Texas Department of State Health Services, and the Brazos County Health Department. During the height of the outbreak, the team met frequently to discuss current events, the impact on the campus, and how the university should respond. Team members represented Academic Affairs, Student Health Services, Student Affairs, Human Resources, Marketing and Communications, Athletics, Facilities, Finance, Computing and Information Services, TAMUG, System Risk Management, the Texas A&M Foundation, and the Federation of A&M Mothers' Clubs

Co-Chair, University Apartments Gas to Electric Conversion Task Force, June 2009 to August 2010

At the request of the President, in an effort to enhance safety and reduce risk, co-chaired a Task Force formed to initiate the evaluation and ultimate replacement of the natural gas system in the University Apartments. The Task Force consisted of collaborative partners including University Risk and Compliance, Environmental Health and Safety, Residence Life, Facilities Services, System Office of General Council, and the Office of the Vice President for Student Affairs. Outcomes included the decision to convert to electricity and the timelines associated with the conversion.

Senior Lecturer (Accounting), Mays Business School, Texas A&M University, September 1983 to present; performed concurrently with **Associate Vice President for University Risk and Compliance**.

Teach one course each fall and spring semester:

Internal Auditing (Accounting 408), a course that includes an introduction to the profession of internal auditing; the *International Standards for the Professional Practice of Internal Auditing*; professional ethics; auditing techniques; reporting; administration; and relationships with management, external auditors, and boards of directors.

Fraud Examination (Accounting 410), a course that includes the principles and methodology of fraud detection and deterrence, skimming, cash larceny, check tampering, register disbursement schemes, billing schemes, payroll and expense reimbursement schemes, non-cash misappropriations, corruption, accounting principles and fraud, and fraudulent financial statements.

In previous years, taught two sections each semester of Principles of Financial Accounting (Accounting 229) that included the analysis, recording, and reporting business transactions; partnership and corporation accounting; and analysis and use of financial statements.

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Assistant Vice President, University Risk and Compliance, Texas A&M University, April 2004 to June 2005.

Lead the newly established office of University Risk and Compliance. Responsibilities included the following:

- Overseeing and coordinating environmental health and safety programs that span the University and local community and are integral to effective University risk management and compliance
- Providing management advisory services to support management through process design, control, and improvement
- Performing special projects, analyses, benchmarking, consulting, designing organizational structures, etc.
- Overseeing the implementation of a University-wide enterprise risk management program designed to identify and rank University risks, mitigating activities, and other monitoring and reporting processes
- Overseeing the University compliance program that involves development and review of University rules and standard operating procedures and communicates compliance information
- Serving as the University's audit liaison and fraud contact
- Participating on special projects, committees, and task forces

Director, Management Advisory Services, Texas A&M University, September 1999 to April 2004.

Provided guidance and direction for the University's management advisory function that reviewed University activities, control procedures, operational effectiveness and efficiency, and complex organizational issues, identified opportunities for improvement; and facilitated problem resolution and implementation of viable business solutions.

Lead cross-functional problem solving teams; communicated and assisted in training faculty, staff, administrators, and others in the concepts of risk-based management and controls; developed and coordinated the overall Customer Relations Representative function for the University; coordinated the University Customer Service objectives, assessments, and reporting responsibilities according to legislative requirements; served as a liaison for customer concerns; and facilitated communication and successful resolution of customer comments.

Director of Internal Audit, Texas A&M University, February 1985 through August 1999

Guided and directed the audit function for the College Station and Galveston campuses; improved the communication of audit issues and risk areas with university administrators, managers, faculty, and staff through presentations, consultations, meetings, and informational discussions; communicated issues to stakeholders; developed and educated employees at all levels regarding controls, compliance with laws and rules, and other issues; further improved the consultation function to address the needs of the members of the university community.

Associate Director of Accounting Services, Fiscal Department, Texas A&M University, September 1984 through January 1985

Supervised the general accounting, grants and contracts, accounts payable, and sales and receivable functions of the Fiscal Department and supervised preparation of the University's annual financial report.

Manager of Internal Audit, Texas A&M University, August 1982 through August 1984

Supervised the audit function for the College Station campus; improved the communication of audit issues and risk areas with university administrators, managers, faculty, and staff through

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presentations, consultations, meetings, and informational discussions; increased the value of the audit function by soliciting the input of the deans and administrators regarding the development of annual audit plans; and developed an effective consultation service that addressed the needs of university management.

Partner, Durst, Wood, Milberger and Associates, Certified Public Accountants, Bryan, Texas, December 1978 through July 1982

Supervised and performed numerous audits of cities and corporations; prepared federal and state tax returns for corporate, partnership, and individual clients; and performed management consulting and client relations/development activities.

Controller, Lindy Dennis Company, Bryan, Texas, July 1977 through November 1978

Directed all accounting functions of the corporation (an air conditioning, insulation, and plumbing construction company); supervised preparation of the general ledger, inventory, job cost, payroll, accounts receivable, and accounts payable activities; and the debt management function.

Auditor/Tax Accountant, Durst, Wood, Milberger and Associates, Certified Public Accountants, Bryan, Texas, March 1974 through June 1977

Performed audits of cities and corporations and prepared federal and state tax returns for corporate, partnership, and individual clients.

Management Services Consultant/Staff Auditor, Arthur Andersen & Company, Certified Public Accountants, December 1972 through February 1974

Worked as a team member upgrading the computer system of a large corporation (Management Services) and participated in audits of several oil and gas companies/joint ventures (Auditing).

MILITARY SERVICE:

Officer, United States Air Force, October 1968 through November 1972

- Lead systems analyst in charge of the computerized flight simulation system for the Headquarters, Tactical Air Command, United States Air Force, September 1971 through November 1972
- Performed planning services for the command and control function of the Headquarters, United States Air Force in Europe, November 1969 through August 1971
- Briefed air operations and force readiness to the Commander and Headquarters Staff, Third Air Force, United States Air Force in Europe, November 1968 through October 1969

PROFESSIONAL MEMBERSHIPS:

Texas Society of Certified Public Accountants
Brazos Valley Chapter of Certified Public Accountants
Association of Certified Fraud Examiners
Institute of Internal Auditors