



Guide to Using the UC ERM Maturity Levels Framework and Sample Enterprise Risk Management Work Plan June 2, 2010

As part the University's greater Enterprise Risk Management (ERM) effort we have developed an ERM Maturity Level framework by which we can measure and monitor progress in using ERM tools and techniques to better identify, manage and monitor risks. In conjunction with the ERM Maturity Model, we have developed an ERM Work Plan that can be used to document the various ERM activities and initiatives at your location. A Sample ERM Work Plan is also provided.

How to use the ERM Maturity Level Framework and ERM Work Plan:

Using the ERM Work Plan Form, document the objectives, focus areas, project description, and deliverables that you or your workgroup have developed as part of your ERM program to identify, manage, and monitor your risks. Indicate who is the lead for the deliverables and set a timetable for completion. The Sample ERM Work Plan will provide you with ideas about what types of activities and programs support the management of risk. Many of these programs and referenced documents are available in the ERM Toolkit: <http://www.ucop.edu/riskmgt/erm/tools.html>. Scroll to the bottom of the page to ERM Maturity Levels Framework.

Next, looking at the ERM Maturity Level document, assess the maturity of your ERM Program as stated in your Work Plan. Maturity levels should be assessed both at the level of the Initiative Goals (stated in each section header) and within the body of the Work Plan under the "Maturity Level" heading. Please use the UC ERM Maturity Level Framework at http://www.ucop.edu/riskmgt/erm/documents/mat_level_frmwrk062609.pdf as a guide for determining the maturity of all efforts to achieve the initiative goals and the effectiveness of your activities at achieving your program objectives. The scale ranges from Non-existent (level 0) up through Leadership (level 5).

We recommend that you complete an ERM Work Plan at least once a year and that your goal be to aim for continuous improvement – improving the maturity level of the Initiative Goals. You may also want to use the ERM Work Plan at your ERM work group meetings to discuss the progress made in your ERM program.

Need Assistance?

Webinar training on the use of these documents continues to be offered periodically. Prior sessions have been recorded and are available at <http://www.ucop.edu/riskmgt/erm/webinars.html>. If you would like to be on the invitation list, please e-mail emily.breed@ucop.edu. In the meantime if you would like to comment or discuss how to use these new tools please email grace.crickette@ucop.edu.