



January 25, 2021

Dear Colleagues,

I am writing to you today to share information regarding the operating structure for the Emory University Office of Compliance. The university's Office of Compliance provides leadership and oversight for all university compliance activities.

We recently retained Baker Tilly (a leading advisory, tax and assurance firm) to perform an external review of the Office of Compliance after the retirement of the former leader, Kris West. They delivered a formal report to leadership, which illuminated the need for the Office of Compliance to oversee the university's compliance efforts more holistically, in terms of compliance coordination, oversight and monitoring. Therefore, realigning research-related compliance functions under Emory's Office of Research Administration.

Some of the current central compliance responsibilities, such as management of research integrity investigations and research compliance-related responsibilities will transition to the Office of Research Administration organization, under Robert Nobles, Vice President of Research Administration. This move will enable the Office of Research Administration to sustain and support our growing research portfolio. While some roles and responsibilities may shift, there are no staff reductions planned at this time. The Office of Compliance will continue to have accountability for university compliance oversight and will work closely with the Office of Research Administration and Emory Healthcare compliance offices.

To begin, the university has retained Isaacson-Miller, executive search firm, to commence a national search for the Chief Compliance Officer who will implement and execute our vision for this office. I will oversee the search committee and have asked Robert Nobles, Vice President for Research Administration, and Diana Carter, Assistant Vice President and Chief of Staff to the EVPBA to serve as co-chairs. The search committee will comprise of: Lanny Liebeskind, Vice Provost Strategic Research Initiatives, Gary Teal, Vice President Woodruff Health Sciences Center, Del King, Vice President Human Resources, Mina Rhee, Associate General Counsel and Khalid Salaita, Professor of Chemistry. The search will be launched later this month and will commence with a community engagement phase. If you have potential candidate recommendations please contact the search committee co-chairs or Pat Hastings with Isaacson Miller (phastie@IMSearch.com).

Transition highlights (effective January 26, 2021):

- Commence Chief Compliance Officer search;
 - John Lawley will continue to serve as interim Chief Compliance Officer until the position is hired.
- Commence Assistant VP for Research Compliance and Regulatory Affairs search;
 - Robert Nobles, Vice President for Research Administration, will oversee the new functions for the Office of Research Administration while launching a search for the new Assistant VP for Research Compliance and Regulatory Affairs until the position is hired.

- Administration of research integrity investigations will transition to the Office of Research Administration in conjunction with appropriate university officials. Issues focused on research-related regulatory compliance will be handled within the Office of Research Administration.
- The Office of Compliance will assume expanded responsibilities in the areas of compliance risk assessment, oversight and monitoring; non-research conflicts of interest program development; and compliance ethics program development.
- The Office of Compliance will continue to oversee university privacy issues and the university policy management system and approval process.

I would also like to share that at the end of February, Shulamith Klein, Chief Risk Officer, will transition from overseeing University Enterprise Risk Management program (ERM) to focus solely on her risk financing responsibilities for the Emory Enterprise. Shulamith was instrumental in building Emory's ERM program, and we are grateful for her leadership during her over 20 years at Emory. Upon Shulamith's transition, Diana Carter will lead the university ERM program, building upon the already strong ERM program. Additionally, Diana will coordinate the work of university compliance, enterprise risk management and internal audit to ensure alignment among these risk mitigation functions as well as alignment in reporting to leadership and the board of trustees.

I am looking forward to this realignment and support of our research efforts and I am confident it will make for a stronger Emory. Should you have any questions, please contact me at evpba@emory.edu.



Christopher L. Augostini
Executive Vice President Business and Administration, Chief Financial Officer