

ORIGINATOR'S SECTION:

1. College: CHABSS CoBA
 CoEHHS CSM

Desired Term and Year of Implementation (e.g., Fall 2008):
 Spring 2019

2. Course is to be considered for G.E.? (If yes, also fill out appropriate GE form*) Yes No

3. Course will be a variable-topics (generic) course? Yes No
 ("generic" is a placeholder for topics)

4. Course abbreviation and Number:* OM 636

5. Title: *(Titles using jargon, slang, copyrighted names, trade names, or any non-essential punctuation may not be used.)*
Governance, Risk Management, and Compliance

6. Abbreviated Title for PeopleSoft:
(no more than 25 characters, including spaces)
 Risk Management

7. Number of Units: 2

8. Catalog Description: *(Not to exceed 80 words; language should conform to catalog copy. Please consult the catalog for models of style and format; include all necessary information regarding consent for enrollment, pre- and/or corequisites, repeated enrollment, crosslisting, as detailed below. Such information does not count toward the 80-word limit.)*

Focuses on what and how effective governance systems are designed, implemented, operated, and monitored within all forms of organizations: public, private, and not-for-profit. Thus, this course is designed to enable students to understand both the theoretical and practical aspects of risk management, compliance, and regulation as it relates to the linkage between the capital markets and the governance of an organization. Discussion Forums, company assessments, and case studies will be used.

Course Prerequisite: MGMT 606

9. Why is this course being proposed?

This course fits within the Supply Chain Management Specialization of SAMBA. Supply chain disruption is identified as the biggest risk in terms of revenue disruption. The beginning of managing supply chain risk is to design a supply chain which has several options for operation when disrupted. With increasing supply chain complexity with thousands of stakeholders and players, risk management is more than just identifying alternate suppliers and contract planning. To approach this problem, supply chain professionals need to have the skill to build a model of the supply chain that includes capacities, costs and revenues.

10. Mode of Instruction*

*For definitions of the Course Classification Numbers:
http://www.csusm.edu/academic_programs/curriculumsheduling/catalogcurricula/DOCUMENTS/Curricular_Forms_Tab/Instructional%20Mode%20Conventions.pdf*

Type of Instruction	Number of Credit Units	Instructional Mode (Course Classification Number)
Lecture	2	C2
Activity		
Lab		

11. Grading Method:*

Normal (N) *(Allows Letter Grade +/-, and Credit/No Credit)*
 Normal Plus Report-in-Progress (NP) *(Allows Letter Grade +/-, Credit/No Credit, and Report-in-Progress)*
 Credit/No Credit Only (C)
 Credit/No Credit or Report-in-Progress Only (CP)

12. If the (NP) or (CP) grading system was selected, please explain the need for this grade option.

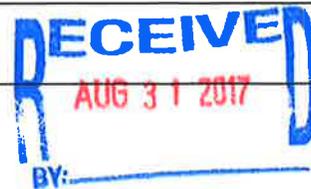
13. Course Requires Consent for Enrollment? Yes No

Faculty Credential Analyst Dean Program/Department - Director/Chair

14. Course Can be Taken for Credit More than Once? Yes No
 If yes, how many times? (including first offering)

* If Originator is uncertain of this entry, please consult with Program/Department Director/Chair.

Tracker ✓
 RP ✓
 PS ✓



15. Is Course Crosslisted: Yes No
 If yes, indicate which course _____ and check "yes" in item #22 below.

16. Prerequisite(s): Yes No MGMT 606

17. Corequisite(s): Yes No

18. Documentation attached: Syllabus Detailed Course Outline

19. If this course has been offered as a topic, please enter topic abbreviation, number, and suffix:* OM 632

20. How often will this course be offered once established?* Once a year

PROGRAM DIRECTOR/CHAIR - COLLEGE CURRICULUM COMMITTEE SECTION:
(Mandatory information – all items in this section must be completed.)

21. Does this course fulfill a requirement for any major (i.e., core course or elective for a major, majors in other departments, minors in other departments)? Yes No

If yes, please specify:
 Supply Chain Management Specialization for MBA, Specialized Accelerated option.

22. Does this course impact other discipline(s)? *(If there is any uncertainty as to whether a particular discipline is affected, check "yes" and obtain signature.)* Yes No

If yes, obtain signature(s). Any objections should be stated in writing and attached to this form.

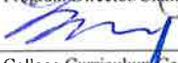
Discipline _____	Signature _____	Date _____	_____ Support _____ Oppose
Discipline _____	Signature _____	Date _____	_____ Support _____ Oppose

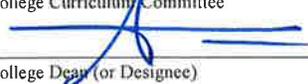
SIGNATURES : (COLLEGE LEVEL) :

(UNIVERSITY LEVEL)

1. Originator (please print or type name) Annie Ngo 4/20/17
 Date

2. Program Director/Chair  5/11/17
 Date

3. College Curriculum Committee  8/28/17
 Date

4. College Dean (or Designee)  8.31.17
 Date

5. UCC Committee Chair _____ Date

6. Vice President for Academic Affairs (or Designee) _____ Date

7. President (or Designee) _____ Date

* If Originator is uncertain of this entry, please consult with Program/Department Director/Chair.

Supply Chain Governance, Risk Management, and Compliance
[Semester], 2 units

Instructor: Annie Ngo, Ph.D., M.B.A.
Office: MARK 441
Telephone: 858-232-6217
Email: ango@csusm.edu

Course Description

With increasing outsourcing, organizations' supply chains have become a complex labyrinth of multiple suppliers, subcontractors, distributors, and factories. Supply chain governance, risk management, and compliance (GRC) has emerged as an area to pay attention to as procurement and finance executives realize that supply disruptions, non-compliance, and a host of potential problems lurking in the supply chain can have serious consequences. To address the complex and evolving legal, regulatory, and corporate compliance requirements, today's organizations need to streamline and integrate supply chain GRC and audit management programs. This course will focus on the tools, techniques and best practices to effectively identify and mitigate supply risks. Thus, this course is designed to enable students to understand both the theoretical and practical aspects of risk management, compliance, and regulation as it relates to supply chain management within organizations. Discussions, guest speakers, and case studies will be used.

Course Prerequisites

TBD

Student Learning Outcomes

Upon successful completion of this course, students will be able:

1. Apply ethical principles of socially responsible procurement, or corporate social responsibility (CSR) in a supply chain context, using the triple bottom line approach.
2. Demonstrate knowledge of intellectual property indemnification and its implications.
3. Identify and assess the potential liabilities of outsourcing related to human rights violations under international and national laws.
4. Identify and interpret international trade compliance regulations and international product compliance regulations.
5. Explain the Supply Chain Risk Management Process, including identifying, analyzing, evaluating, treating, monitoring, and reporting risk.
6. Describe the different kinds of software licensing agreements and technology solutions needed to assess, monitor, and report GRC activities.

Required textbook: *Supply Chain Risk Management: An Emerging Discipline* (1st edition) by Schlegel and Trent. ISBN: 978-1482205978

Supplemental Materials to be provided by instructor:

Websites: Institute for Supply Chain Management (ISM) and the Chartered Institute of Procurement & Supply (CIPS)

Additional readings, articles, and resources are available via Cougar Courses.

Course Policies

Academic Honesty

Students will be expected to adhere to standards of academic honesty and integrity, as outlined in the Student Academic Honesty Policy. All assignments must be original work, clear and error-free. All ideas/material that are borrowed from other sources must have appropriate references to the original sources. Any quoted material should give credit to the source and cite accordingly.

Academic Honesty and Integrity: Students are responsible for honest completion and representation of their work. Your course catalog details the ethical standards and penalties for infractions. There will be zero tolerance for infractions. If you believe there has been an infraction by someone in the class, please bring it to the instructor's attention. The instructor reserves the right to discipline any student for academic dishonesty, in accordance with the general rules and regulations of the university. Disciplinary action may include the lowering of grades and/or the assignment of a failing grade for an exam, assignment, or the class as a whole. It is recommended that students be referred to the full Academic Honesty Policy at https://www.csusm.edu/policies/active/documents/Academic_Honesty_Policy.html

Accommodations

Students with disabilities who require academic accommodations must be approved for services by providing appropriate and recent documentation to the Office of Disability Support Services (DSS). This office is located in Craven Hall 4300, and can be contacted by phone at (760) 750-4905, or TDD (760) 750-4909. Students authorized by DSS to receive accommodations should meet with me during my office hours or in a more private setting in order to ensure your confidentiality.

Assignment Deadlines and Late Work

Assignments are considered late if submitted after the due dates and times listed in the course schedule. Technological issues are not considered valid grounds for late assignment submission. **Late assignments will not be accepted or graded.** Please contact the instructor **BEFORE** the assignment due date if you have extenuating circumstances.

Class Participation & Attendance

Attendance is required and expected for this course. Your attendance will contribute to both your learning and the learning of your peers. Students who are absent from a class meeting are still responsible for the materials and assignments in accordance with the due dates listed in the syllabus. Similar to attending class, arrival to class on time is expected. Students are expected to participate in all activities, exercises, and discussions. Your comments should be focused on and relevant to the topic being discussed.

Respect for Diversity

The diversity of backgrounds, thoughts, beliefs that students bring to this class should be viewed as a resource, strength, and benefit, and should be respected. It is expected that each member of the class treat the other members with dignity and respect. Individuals' opinions should be respected and valued, even if they are not in line with your own opinions.

Course Evaluation

<i>Activity</i>	<i>Points</i>
Class Participation (Discussions, Interactive Exercises, Cases, and Quizzes)	15 pts
Triple Bottom Line Case Analysis: Nike and REI	20 pts
Forum Discussion Question(s): Human Trafficking & Conflict Minerals	10 pts
Team Project: SCM Risk Register and Presentation	30 pts
Team Project Reflection	5 pts
Final	20 pts
Total Points	100

Grading Scale

100-93	92-90	89-87	86-83	82-80	79-77	76-73	72-70	60-69	59-0
A	A-	B+	B	B-	C+	C	C-	D	F

Graded Components

Class Participation (15 points): The final grade in this class will be affected by active participation, including attendance, as follows: 1) In accordance with the course policy regarding attendance and participation. 2) In class activities during each course session will be used to grade your participation for that day. Activities may include interactive exercises, case analyses, group discussions, and quizzes.

Triple Bottom Line Case Analysis (20 points): Students will analyze the Nike and REI cases separately and then compare and contrast the two organizations' approach to the triple bottom line. The written analysis should be uploaded into Cougar Courses by Noon on the due dates listed on the course schedule. Bring a copy for class discussion.

Forum Discussion (10 points): Students will participate in a forum to discuss the implications of human trafficking and conflict minerals. Students are expected to be prepared to engage in a discussion in class during that week as well. The discussion question(s) will be posted to the forum at the start of the week. Students are required to submit two (2) substantial postings. A **"quality" original posting** will be several full paragraphs in length and will specifically respond to the question posed. Levels of complexity and sophistication of your original posting will be enhanced by reference to both readings and lecture content. A **"quality" responsive posting** will reflect thoughtful engagement in response to another student's original posting. This means doing more than merely agreeing or disagreeing with another student's posting.

Team Project: SCM Risk Register and Presentation (30 points): Students will be put in teams of four to prepare a SCM risk register and presentation. Teams are to choose an organization to create a risk register for its supply chain and present to the class, who will act as executive leadership of the organization. Groups should select a company they currently work at, have previously worked at, or are familiar with.

Team Project Reflection (5 points): In addition to the group project, each group member is to submit a one-page single spaced reflection explaining how your group project connects to at least two student learning outcomes.

Final Exam (20 points): covers course content and is comprised of multiple choice, true/false, short answer, and essay questions.

Course Schedule

Note: Readings are posted in Cougar Courses (CC)

Week	Topics in Class	Assignments Due
1	Ethics and Corporate Social Responsibility in Supply Chain Management	
2	Supply Chain Risk Management Process (Risk Register); Mitigating Risk through Contracts (IP Indemnification)	Triple Bottom Line Case Analysis
3	Human Rights Under International and National Laws: Alien Tort Claims Act (Bowoto v. Chevron Corp and Doe v. Unocal)	Forum Discussion on Human Trafficking and Conflict Minerals
4	International Product Regulatory Compliance and International Trade Regulatory Compliance: Impact on Total Cost of Ownership (TCO)	
5	Technology Solutions and Software Licensing Agreements for Supply Chain GRC activities	Team Presentations Team Project Reflection

*****The instructor reserves the right to change or modify the syllabus at any time*****