The Audit, Risk, and Compliance Committee held its regular quarterly meeting on April 20, 2017. Chair Ronnie McNeill called the meeting to order and read the required ethics statement. Members of the committee in attendance were: Mr. McNeill, Ms. Beane, Mr. Drummond, Mr. Kitchin, and Mr. Miller.

The meeting began with the review and approval of minutes from the meeting that occurred on January 19, 2017.

Next, Mr. Koebel provided the annual compliance update. The compliance program has three primary areas including compliance, policy, and ethics. Mr. Koebel provided updates in each area.

Several vendor compliance projects were completed including vendors hosting UNCW’s data off campus, vendors receiving identifying information regarding UNCW staff and students, and updating the vendor contract template for Kenan Auditorium regarding ADA compliance. Mr. Koebel also noted ongoing compliance initiatives including the development of a compliance calendar, the establishment and ongoing meetings of a compliance committee, and a compliance presence on numerous UNCW committees.

Regarding policy, two new policies were created relating to service animals and unlawful discrimination, harassment, and sexual misconduct. Numerous policies were reviewed and updated including equal opportunity and affirmative action, student records, student gender-based/sexual misconduct, and various human resources policies. Several policy projects are ongoing including a review of the approval process for IT policies, a policy on athletic investigations to ensure it incorporates best practices, and a policy related to tracking out-of-state student internships for distance education purposes. There are also numerous policies currently undergoing review or development.

Mr. Koebel concluded by noting his office has received no reports of issues relating to ethics and that he is working with UNCW’s research compliance function to update the university’s conflict of interest policy.

Ms. Powell then provided an update on the Office of Internal Audit. She began with an overview of Internal Audit’s strategic plan which was initially shared at the October 2016 meeting. The strategic plan includes goals relating to audit or assurance
services, advisory services, and investigative services. Ms. Powell talked about ongoing initiatives in each area designed to help Internal Audit reach its strategic goals.

Ms. Powell then provided an overview of Internal Audit engagements completed since the January Audit, Risk, and Compliance Committee meeting. An audit of UNCW’s contract with Aramark to provide food services for campus was completed. This contract is managed by Auxiliary Services within Business Affairs, and there was discussion around the contract and contract management.

Internal Audit also completed reviews of a purchasing matter related to the Aramark contract, reviewed the Banner system to ensure data is adequately backed up and available, and completed an investigation related to a complaint received by Human Resources.

Internal Audit completed numerous audit follow ups and noted that all findings were closed relating to recent audits of Student Accounts, departments that receive cash, and Distance Education. Other departments have also made progress toward resolving open audit findings.

On motion by Mr. McNeill, the Audit, Risk and Compliance Committee voted to convene in closed session, as allowed under the Open Meetings Act, to consider the qualifications, competence, performance, condition of appointment of a public officer or employee or prospective public officer or employee and to consult with the attorney to protect the attorney-client privilege.

The Audit, Risk and Compliance Committee reconvened in open session. There being no further business, the meeting was duly adjourned.