The Audit, Risk, and Compliance Committee held its regular quarterly meeting on July 18, 2019. Chair Rippy called the meeting to order and read the required ethics statement. No conflicts were identified. Other trustees in attendance were Ms. Kidd, Mr. Kitchin, Mr. Smith, and Mr. Pianovich.

The meeting began with the review and approval of minutes from the meeting that occurred on April 25, 2019.

Dr. Brian Victor then provided the annual ADA/504 compliance update. He provided an overview of applicable Federal regulations, UNCW’s compliance committee, ADA/504 risks identified by the compliance committee, and related accomplishments. Over the past year a new student grievance procedure was established. Dr. Victor also provided an update on complaints handled over the past year and two pending investigations by the Office of Civil Rights within the Federal Department of Education. There was discussion relating to the differences between service animals and comfort animals, the history of grievances on campus, and the length of the investigations by the Office of Civil Rights.

Next, Ms. Sharyne Miller presented the annual information security update. She provided an overview of the volume of activity managed by the Office of Information Security, common misconceptions relating to IT security, and the IT security staff and their professional certifications. She noted the biggest information security threats to UNCW are phishing attacks, denial of service attacks, and ransomware. The Office of Information Security takes a proactive approach to information security risks and monitors security incidents and events on an ongoing basis and provides information security awareness training to campus. There are also multiple other initiatives to proactively address information security risks. During her presentation there were questions on training for security awareness, the level of collaboration and interaction with other UNC institutions and the UNC System Office, and UNCW’s ransomware strategy.

Ms. Kristy Burnette then gave an enterprise risk management update. She provided an overview of actions taken related to each of UNCW’s current Tier 1 risks which include attracting and retaining quality and diverse faculty and staff, attracting and retaining diverse and high quality students, deferred maintenance and swing space for specialized facilities, information security, safety and security relating to critical incidents, revenue sufficiency to meet strategic goals, and minors on campus. There were discussions around monitoring the risk of UNCW’s revenue strategy as the UNC System adopts a new funding model, student diversity, and funding for staff positions.
Lastly, Ms. Stefanie Powell provided an update on the Office of Internal Audit. Ms. Powell noted that the office is currently fully staffed and then discussed the office’s requirements relating to independence and objectivity under the *Standards* of the Institute of Internal Auditors. She also noted that the office’s annual audit plan, or work plan, will be presented to the committee in October this year rather than in July due to recent transitions in Internal Audit leadership. For the quarter ending June 30, Internal Audit completed an audit of parking services and three investigations. The first two investigations related to allegations of non-compliance with procedures relating to an alleged sexual assault and allegations of an employee using state funds to attend courses that benefit him in his secondary employment. It was determined that the allegations in both investigations did not have merit. The third investigation related to an allegation that an employee inappropriately used state time in conjunction with personal recovery efforts following Hurricane Florence, and it was determined that this allegation had merit. It was noted that it appeared to be an isolated incident, and not indicative of departmental procedures. Ms. Powell also provided a brief overview of open audit findings and audit engagements currently in process.

There being no further business, the meeting was duly adjourned.