Minutes of the Audit, Risk and Compliance Committee
Board of Trustees
The University of North Carolina at Wilmington
April 29, 2021, 8:30 a.m.

The Audit, Risk and Compliance Committee held its regular quarterly meeting on April 29, 2021. Chair Kidd called the meeting to order and read the required ethics statement. No conflicts were identified. Other committee members in attendance were Mr. Drummond, Mr. Fisher, Mr. Miller, and Mr. Rippy.

The meeting began with review and approval of minutes from the meeting of January 28, 2021.

Chief Audit Officer Kelly Mintern provided general updates including office staff recruitment and an overview of the work completed by the Office of Internal Audit for the quarter ending March 31, 2021. Completed engagements included consultations for the Department of Educational Leadership and Facilities and an investigation for the University Police Department. Limited follow up work was completed due to schedule limitations and other priorities of the office. At the end of the quarter, the Sponsored Programs and Research Compliance review and IT Resource Management review were in process. Additionally, pending projects include the office’s annual risk assessment process and a quality assurance peer review through the NC Council of Internal Auditing’s quality assurance review program.

The next presenter was Mr. Jim Koebel who provided an annual update of UNCW’s coordinated compliance, policy, and ethics program. He began by discussing compliance efforts, noting completed projects regarding Professional licensure disclosures, Student emotional support animal accommodations processes, and Faculty clinical assignment requirements, and in-progress projects on privacy in data requests and NCAA Title IX disclosure process. Ongoing compliance activities include maintenance of the compliance calendar and committee service. In the area of policy review and creation, a policy was created for Disability Accommodations for Staff, and two policies were reviewed and revised, including Freedom of Expression policies and Social Media Guidelines. Other policies are currently undergoing review, and they include topics related to drones, sponsored research, and recruitment and selection of EHRA positions. Regarding ethics, no issues have been reported.

Next, Mr. William Wetherill presented the annual information technology services (ITS) update. He provided information on the pandemic impacts to ITS, current national threats, and risk and threat assessment information for UNCW. An update was also provided on IT policies, including UNCW’s compliance with the UNC System Office IT Policies, UNCW IT policies that have been updated and revised, and UNCW’s IT Security Programs, Policies and Standards where a 3rd Party review is occurring. William also gave an overview of UNCW’s approaches and mitigations to risk, noting that this is an ongoing process. Lastly, he provided an overview of upcoming audits and assessments, with specific mention of an audit of IT controls by the Office of the State
Auditor, and an assessment of ISO 27002 standards. There was discussion around IT services in comparison to other universities, focusing on UNCW IT efforts to enhance infrastructure and provide the best cutting-edge options in new campus buildings.

The last presenter was Ms. Liz Grimes who presented on UNCW’s EEO/AA plan, the Human Resources compliance report, and the annual employment of related persons report. She began by discussing the EEO/AA plan which involves the annual evaluation of the representation of women and racial/ethnic minorities among employees. For this last reporting period, of the total employee count, 58.4% were women and 20.6% were racial/ethnic minorities. Ms. Grimes then discussed the information in the Human Resources compliance report, which includes information on numerous human resources-related activities covered by our institutional management flexibility agreement with the System Office including salary ranges, conferral of tenure, and affirmation of compliance with policies. She concluded by discussing the employment of related persons, noting that there were 3 situations in the preceding year in which the policy was invoked.

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