Minutes of the Audit, Risk and Compliance Committee
Board of Trustees
The University of North Carolina Wilmington
October 14, 2021, 8:30 a.m.

The Audit, Risk and Compliance Committee held its regular quarterly meeting on October 14, 2021. Interim Chair Miller, filling in for Chair Coley, called the meeting to order and read the required ethics statement. No conflicts were identified. Other committee members in attendance were Mr. Fensom, Mr. Fisher, Ms. Grange, Mr. Rippy and Dr. Sayed.

The meeting began with review and approval of minutes from the meeting of July 15, 2021.

Chief Audit Officer Kelly Mintern presented the Audit, Risk and Compliance Committee Charter for approval. The annual review and approval of the charter is required by the Standards of the Institute of Internal Auditors. She provided an overview of the committee’s responsibilities as outlined in the charter and noted a minor change to add consultation with the Chancellor for the CAO’s performance evaluation due to the functional reporting relationship of the CAO to the committee. After the overview and presentation of the Charter, the committee approved the Audit, Risk and Compliance Committee Charter.

Ms. Mintern then presented the Internal Audit Charter for review and approval, and its review and approval is also required annually by the Institute of Internal Auditors. Ms. Mintern provided an overview of the information included in the charter and Internal Audit’s responsibilities as defined by the charter. Minor updates were made to the charter to reference the NC Internal Audit Act and enhance language around independence and objectivity. After the overview and presentation of the Charter, the committee approved the Internal Audit Charter.

Finally, Ms. Mintern provided an update on the Office of Internal Audit. She first shared Internal Audit’s annual report for fiscal year 2021, sharing an overview of the office’s work and metrics relating to the office’s productivity and budget. There was some discussion on the office’s staffing levels and context was provided on staffing growth and how staffing needs are evaluated. Ms. Mintern also provided an overview of the work completed by the office for the quarter ending September 30, 2021. Internal Audit completed reviews of Sponsored Programs and Research Compliance, IT Resource Management, and an investigation from an OSA referral. Progress was also made on audit findings follow up and all findings related to the UNCW One Card Office were closed. At the end of the quarter, pending engagements include audits of Human Resources, CARES Act HEERF relief funds, and the Friends of UNCW financial audit. Ms. Mintern ended her presentation with information on the required and completed annual internal audit self-assessment and maturity model. Discussion followed on the use and review of the results of the self-assessment.
The last presenter was Ms. Amber Grove who presented on UNCW’s 2021 Annual Security and Fire Safety Reports. She first provided a summary of the annual fire safety report. Ms. Grove discussed the drills and educational programs related to fire safety and presented information that from 2018 to 2020 there were a total of three fires on campus, none of which resulted in injuries.

Ms. Grove then provided an overview of the Clery Act. She discussed how it intersects with reporting for Title IX and the training and programming UNCW has in place in accordance with the Clery Act. She shared information related to Clery Act reportable crimes, the definition of Clery Act geography, and the crime statistics for 2018 to 2020. Ms. Grove noted that the aggregate numbers are lower in many offenses from prior years. Discussion followed on how UNCW numbers may compare to other schools, and it was noted that geography can play a part in the reported numbers, however UNCW is in line or lower than national benchmarking. It was also discussed that increased reporting can be due to additional education and outreach on campus. The statistics for UNCW’s Center for Marine Science and D.C. Virgo are separately reported because they are located outside of UNCW’s main campus. There was only one offense reported in these locations in 2020.

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