The Audit, Risk and Compliance Committee held its regular quarterly meeting on April 21, 2022. Acting Chair Kidd, 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. Fisher, Ms. Grange, Ms. Horowitz, Mr. Rippy and Dr. Sayed.

The meeting began with review and approval of minutes from the meeting of January 27, 2022.

Chief Audit Officer Kelly Mintern provided an overview of the work completed by the Office of Internal Audit for the quarter ending March 31, 2022. Completed engagements included the Human Resources review, Student Affairs spending review, and a consultation regarding the lifecycle computer process. Follow up work was also completed for open findings for Sponsored Programs and Research Compliance and IT Resource Management. At the end of the quarter, pending engagements include reviews of Title IX compliance and the Office of Institutional Diversity & Inclusion. Ms. Mintern also shared updates on other activities including education and outreach, annual risk assessment planning, and staff transitions.

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 involving privacy in data requests; process for data security and privacy in contracts; HIPAA manual and resources; NCAA Title IX disclosure process; and phone system review for 911 dispatch. In-progress projects included a review of D.C. Virgo contract terms. Ongoing compliance activities include maintenance of the compliance calendar and committee service. In the area of policy review, various human resources policies were reviewed and updated, including policies related to recruitment and background checks. Regarding ethics, no issues have been reported.

Next, Ms. Elaine Doell 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, 58.82% were women and 20.95% were minorities. There was discussion on how this data was analyzed among faculty and staff categories and on hiring practices to recruit women and diverse candidates. Ms. Doell then discussed the information in the Human Resources compliance report, which includes information on numerous human resources-related activities covered by the 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 12 cases in Academic Affairs and 2 cases in Business Affairs in the preceding year in which the policy was invoked.

Next, Dr. Sharyne Miller presented the annual update on Information Technology Services. She provided background information on some of the EDUCAUSE higher education top risks and information on the topical areas addressed in the System Office 1400 series policies, including information technology governance, information security governance, and user identity and access control. For information technology governance, the presentation focused on the redesigned IT governance model that was developed following review and campus feedback. For information security, information was provided on efforts to ensure the security of information resources and recent audits and assessments in this area. For user identity and access control, background was provided on how this is to be managed on campus and related efforts. The presentation also provided information on top critical IT risks and related mitigation efforts. There was discussion on the challenges for recruitment/retention of IT staff. Dr. Miller and Vice Chancellor Lackey advised that this is a challenge across the UNC System and that a committee has been formed to evaluate options, including third party outsourcing for specific services.

Lastly, the meeting moved into closed session to prevent the disclosure of privileged information under North Carolina General Statute 132-6.1(c). The closed session participants discussed the relevant information.

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