



TO: The Chair and Members
Compliance, Audit, Risk Management and Legal Affairs Committee

Chancellor Franklin D. Gilliam, Jr.

FROM: Office of General Counsel

DATE: September 25, 2018

RE: Proposed CARL Committee Work Plan for 2018-19

CC: Dr. Dana Dunn, Provost and Executive Vice Chancellor
Charles Maimone, Vice Chancellor for Business Affairs
Dr. Julia Jackson-Newsom, Associate Vice Chancellor for Strategy and Policy
Waiyi Tse, Chief of Staff
Don Skeen, Director of Internal Audit
Kelly Harris, Associate Chief of Staff and Assistant Secretary to the Board of Trustees

I. Purpose

The Purpose of this memorandum is twofold: First, to provide you with the Proposed Compliance, Audit, Risk Management and Legal Affairs Committee (CARL) Work Plan for 2018-2019. Second, to summarize the work of the CARL Committee from the 2017-2018 academic year.

A. 2018-2019 Work Plan

This year represents the second year of the Compliance, Audit, Risk Management and Legal Affairs Committee (CARL) and as such the second Proposed CARL Work Plan. The CARL Committee Liaisons, in collaboration with the Chancellor's Office, have developed a proposed Work Plan for the Committee's review and approval. Attached is the "UNCG Board of Trustees CARL Committee Work Plan 2018 – 2019," which outlines the proposed topics for each of the BOT meetings. The proposed Work Plan is not intended to prohibit action on other items that the Chancellor or Committee members wish for consideration, but to establish priorities and plans for the academic year.

Generally, the proposed CARL Committee 2018-19 Work Plan establishes the following priorities for the current academic year:

1. Actions related to the audit function of the University.

2. Information Technology Security Plan
3. Oversight of the compliance and risk management functions of the University.
4. NCAA Compliance: An Overview and Update

Specifically, this year's proposed Work Plan will review the following:

1. At the September meeting we will review the Work Plan, the regular audit review, and you will receive an Information Technology Report, to include Information Technology Security Plan. In addition, Dr. Julia Jackson-Newsom will update you on the search for the Compliance Director.
2. At the November meeting, in addition to the Audit Review, and the annual briefing on Risk Management, we will provide you with a presentation regarding public records, present the Director of Compliance, and present on an overview of the changing scope of NCAA Compliance. This presentation will also be presented to the Athletics Committee of the Board unless the committees determine that they wish to have a joint presentation.
3. At the April meeting, we will provide the audit review, as well as provide you with a compliance update and work plan. We will also propose the 2019-2020 Internal Audit Plan at this meeting.

B. Summary of 2017-2018 CARL Committee Work

The CARL Committee completed 100% of its 2017-18 Work Plan. The 2017-18 Work Plan included: (1) an update of BOT Conflict of Interest and Commitment Policy, (2) an update of the Delegation of Authority Policy, (3) the approval of the 2018-19 Audit Work Plan (4) the review and acceptance of the annual audit and (5) the adoption of the CARL Committee Charter. All of these activities have been accomplished.

Accordingly, attached please find for your convenience and review, the document entitled "UNCG Board of Trustees CARL Committee Work Plan 2018 - 2019" that outlines the proposed topics for each of the BOT meetings and serves as the proposed Work Plan for this academic year.

Attachment

September	November	April
<p>Discussion Items:</p>	<p>Discussion Items:</p>	<p>Discussion Items:</p>
<ul style="list-style-type: none"> ● CARL-2018-19 Committee Work Plan ● CARL-Audit Review ● CARL-Information Technology Security Plan 	<ul style="list-style-type: none"> ● CARL-Audit Review ● CARL-Institutional Risk Management Annual Briefing ● CARL-Compliance Review – OGC and Athletics (joint presentation to Athletics Committee) ● CARL-Public Records Presentation ● CARL-Director of Compliance 	<ul style="list-style-type: none"> ● CARL-Audit Review ● CARL-Compliance Update & Work Plan
<p>Action Items:</p>	<p>Action Items:</p>	<p>Action Items:</p>
<ul style="list-style-type: none"> ● CARL- Adoption of 2018-19 CARL Committee Work Plan 	<ul style="list-style-type: none"> ● CARL-Chair Meeting with State Auditor 	<ul style="list-style-type: none"> ● CARL-Internal Audit Plans for 2019-2020
<p>Information Items:</p> <ul style="list-style-type: none"> ● CARL-Update on Compliance Director Search 	<p>Information Items:</p>	<p>Information Items:</p>

Closed Session Items:	Closed Session Items:	Closed Session Items: