



Board of Trustees Meeting – CARL Committee UNC Greensboro

Division of Business Affairs –
Office of Institutional Risk Management
Director Mark McKinney
September 24, 2019



UNCG's Submission of Top 5 Risks

Top Tier I Risk Areas containing risks with potential to affect the university's mission, strategies, and goals as of November 5, 2018

Your Institutional Top 5 Risks (Required):

Risk Title	Description	Major Risk Category	Is this risk sensitive or confidential?
Interaction with Minors	Threats to the safe environment for minors on campus causing physical injury or other harm to minors, reputational risks to the institution, risk to donor relations and community relations (University sponsored camps, research, day care, Middle College, etc.)	Reputational	No
Data Security/Cyber Threats	Current state includes but is not limited to the following mitigations: University policies addressing the access and security of IT resources; physical and logical access controls for all ITS managed services; installation of an Intrusion Prevention System and firewalls to protect servers and applications; implementation of formal change management processes to control all changes to the university's production environment; segregation of duties of ITS staff to reduce the possibility of deliberate sabotage; and implementation of secure data protocols for transmitting data over the Internet; the hiring of a Chief Information Security Officer. However despite these efforts, threats to our data security continue to increase at an alarmingly high rate and the financial impacts can be significant. We must be nimble enough and have the resources to address new threats on short notice to ensure operational continuity and reputational integrity.	Operational	No



UNCG Submission of Top 5 Risks (continued)

Risk Title	Description	Major Risk Category	Is this risk sensitive or confidential?
Overall University Regulatory Compliance	Many departments on campus are responsible for compliance with applicable regulations. These exist in silos and there is no formal mechanism at this point for developing an inventory of regulatory compliance areas, or any mechanism for auditing these areas. In addition, there is no mechanism in place to ensure the quality of our compliance responses.	Compliance	No
Financial Resource Security and Stability	Even in a relatively strong economic environment, as budgets continue to be cut, financial demands continue to rise. How do we do a better job of relating the importance of Higher Education on our Federal, State and County mindset? How can we make better use of our resources so the needs of the institution are being met? When the market performs very poorly such as a recession or depression, philanthropic investments in the institution could be affected along with earnings on existing endowments. A general economic downturn would likely compromise existing revenue sources, possibly change enrollment patterns, and could even compromise the availability of some academic programs and research funding.	Financial	No
Campus Safety	The vulnerability of students, faculty, and staff from potential threats and hazards on campus and in the community. Threats and hazards include, but are not limited to, violent crimes, theft, assault, severe weather, hazardous materials, fire, and pedestrian safety.	Reputational	No



Working Towards Mitigation: IRMC Work Groups

From UNCG's Risk Management Policy: "Through various work groups, committee members and other relevant stakeholders and subject matter experts throughout the university actively work on Tier I risks as well as associated risk treatments."

- Work groups will most often begin at an extraction point where our exposure is greatest.
- The ultimate deliverable of precise identification, thorough analysis and evaluation, and risk mitigation recommendations to IRMSC remains constant
- End results will vary with the risk. Some will always remain as Tier I with lower risk score; others will move to lower risk tiers
- UNCG Summer Camps
 - Work group formed November 2018; First meeting December 2018
 - Expected outcome – university policy, consistent procedures, champion identified, continued access and community engagement



Find your way here

UNC System Policy 1300.10 – Policy of Protection of Minors on Campus

- 2nd meeting of work group January 18; Received policy draft for comment January 22
- Core tenets of Policy 1300.10:
 - ...constituent institutions shall adopt policies with minimum standards applicable to their Covered Programs...
 - ...policies shall address screening requirements for employees and contractors who interact with minors in Covered Programs, including:
 - background checks;
 - advance registration and approval requirements for proposed Covered Programs;
 - training requirements for employees and contractors regarding the mandatory reporting of suspected abuse;
 - additional training expectations for Covered Individuals regarding policies and issues relevant to working with minors.



Status Update – Interaction with Minors

- University Youth Programs Policy to be presented to Chancellor's Council Fall 2019
- Recommendation from work group to IRMSC to create new full-time position for Youth Programs Protection Coordinator, accepted and approved by Chancellor Gilliam August 2019; Provost Dunn as Executive Sponsor
- Position will report through VC Student Affairs



Status Update – Interaction with Minors

- Interim actions led by University Compliance Director:
 - Creation of a UNC Greensboro Guide for Operating Youth Programs – includes procedures and guidelines
 - The “Guide” includes but is not limited to requirements for annual registration, background checks, annual training, sponsorship for internal and external entities, and data collection standards
 - Building of infrastructure for the newly created position including but not limited to new standardized forms regarding Program Registration, Youth Programs Checklist, Liability Waivers, Medical Information, Background Check Acknowledgment, Standards of Conduct, Program Emergency Planning Template
- Next steps: fill YPPC position and operationalize Youth Protection Program



Data Security/Cyber Threats – Core Issues across the UNC System

- Service interruption
- Data security breaches
- Phishing, ransomware, and cyber threats
- Privacy protection
- Unauthorized access
- Hacking
- Reliability of current systems
- Acceptable use
- Response to breaches/preparedness/response



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Status Update – Data Security/Cyber Threats: UNCG Information Security Initiatives and Improvements

Resourcing for the Future

- Bryce Porter hired as CISO July 2018
- Three additional FTE approved for Information Security Operations, Systems Engineer, Risk Manager; onboarding Fall 2019. Will align UNCG with IT Security resources at similarly sized sister institutions

IT Governance, Risk Assessments & Control Frameworks

- ITS is uplifting its IT Governance framework to implement information security risk assessments and control frameworks in order to align with UNC System Policies (2018)
- New committee-led governance of information security (2019-20); key stakeholders across UNCG to prioritize items, and coordinate supporting activities throughout the University



Status Update – Data Security/Cyber Threats: UNCG Information Security Initiatives and Improvements

Foundational IT Improvements – current efforts to transform several key foundational technology management areas affecting the Information Security posture of the UNCG, including:

- Identity & Access Management (IAM)
- IT Asset Management
- IT Service Management
- IT Portfolio & Project Management



Status Update – Data Security/Cyber Threats: UNCG Information Security Initiatives and Improvements

Program Transformation focused on Policy, Risk, Operations, Resources, and Regulatory success.

- 2019-20, the Information Security team embarking upon efforts aimed at achieving new, sustainable operating models in these areas:
 - 24x7 support for Security Operations leveraging automated tools and key partnerships to detect and thwart attacks on University information resources around the clock
 - Modern, sustainable Information Security and IT policies and supporting documentation, in alignment with UNCG's revised Policy on Policies
 - Implementation of IT Risk Management controls, methods, and practices, including regular, and periodic risk assessments reported to leadership
 - Tools, methods, and practices for provable regulatory compliance, including automated IT compliance management with regular assessments and attestations



Status Update – Data Security/Cyber Threats: UNCG Information Security Initiatives and Improvements

The Human Element: Security Awareness Training and Strong Partnerships

- **Training:** ITS is improving its efforts to deliver high-quality information security awareness training to the University community, especially in relation to phishing as a primary threat
- **Partnerships:** The Information Security team is continuing to build and improve its partnerships with University stakeholders and industry groups, including 3rd party vendors with strong track records of success supporting higher educational institutions
- **Response:** Leveraging our partnership with Beazley Breach Response Services, which provides cyber liability insurance along with key tools, information, and services for informing our user community about emerging security concerns, and improving our defensive posture against new and evolving attacks



Status Update – Emergency Management

- Updating the University's Hazard Mitigation Plan
 - Process will include hazard identification and risk assessment process
 - Development of mitigation actions for each hazard identified by the Hazard Planning Mitigation Team
 - At the conclusion of the plan update, UNC Greensboro will have a FEMA compliant plan that will allow UNC Greensboro to be eligible for federal mitigation grant funding
- Replacing University's Emergency Notification System to provide automatic tornado warning notifications
- Rewriting University's Emergency Operations Plan and associated procedures based on lessons learned from UNC Wilmington and UNC Charlotte

Status Update – Pedestrian Safety

What We're Doing Around Campus:

- UNCG PD, in coordination with University Communications, produced new video 'Staying Safe at the G' for overall student safety includes pedestrian safety section: <https://police.uncg.edu/community-relations/>
- Look Up' Campaign will place 16 large sidewalk decals around campus on sidewalks at crosswalks





Status Update – Pedestrian Safety

- We continue to monitor reported incidents involving pedestrian, automobiles and personal mobility vehicles (e.g. – scooters)
- Tested new speed limit **radar** sign at high-incident location on campus
 - Five more to be placed, including both directions on Gate City and Josephine Boyd, based on successful test





Status Update – Pedestrian Safety

Working with City on Gate City Boulevard:

- All crosswalks repainted from Josephine Boyd to Tate in order to increase visibility for drivers
- Reviewing the timing of traffic lights and ensuring crossing signals are working properly
- Study is in progress for next phase of Gateway Corridor Plan to make GCB more pedestrian friendly
- Exploring a shared pathway (pedestrian, bicycle, etc.) from UNCG to downtown area
- Continue to work towards ‘Vision Zero Greensboro’



Status Update – Pedestrian Safety

Working with City on Josephine Boyd Street and Walker Avenue:

- A City project that will include widening sidewalks, bulb out curbs further into the street at intersection and create a virtual median to slow automotive traffic
 - construction contract to be awarded November 2019
- Lighting already increased at Walker-Boyd intersection
- City has agreed to adjust timing of traffic lights to allow a pedestrian “head start” to make them more visible to drivers turning left



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Financial Resource Security and Stability – Core Issues across UNC System

- Uncertainty of state or federal funding
- Declining tuition and fee revenue due to enrollment flattening/decrease
 - Traditional demographic of NC resident ages 18 to 25
 - Decline in international enrollment
 - Decline in out-of-state enrollment
- Lack of discretionary/reserve funds
- Unanticipated lawsuits or other losses
- Lack of financial aid to recruit the best students



Status Update – Financial Resource Security and Stability

How do we address a flat General Fund operating budget over the biennium?

- 4-year budgeting process helps in aligning funding with objectives tied to UNCG's Strategic Plan and Performance objectives; enables UNCG to determine the best combination of funding sources usage
- Implement divisional budget strategies that focus on resource reallocation versus new funding
 - Schools and Divisions to lean more heavily on available restricted and unrestricted funds, utilizing more restrictive funds first and preserving the flexibility of unrestricted funds
 - University community encouraged to review current programs and resource requirements to transform programs
- Investment of university funds prioritized on programs generating new revenue



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UNC System ERM Topics (6)

Directly cited on UNCG's Top 5 submission

- Cybersecurity/IT Governance/Data Security
- Financial Stability/Funding Model Issues
- Campus Safety and Security

Embedded within broader category AND listed as a separate item on UNCG's Tier I Risk Register

- Enrollment

Cited on UNCG's Risk Register as Tier II risks

- HR – Recruitment, Retention, Compensation
- Deferred Maintenance



2019 Request from UNC System Office

- Request from 2018 to be repeated; submit institution's top 5 risks to UNC System Office by 12/31/2019
- Same format - Risk, Brief Description, Category, Confidential-Sensitive Y/N; contact information required for any follow-up discussion
- Intent of request is to continue the dialogue started with the 2018 submission to give CARMC a more clear picture of risk priorities across the UNC System



Discussion



Mission: to provide *reasonable* assurance regarding the achievement of UNCG objectives; specifically by enhancing risk response decisions and working to identify and manage risk across the UNCG community.