



**Compliance, Audit, Risk Management and Legal Affairs (CARL) Committee**  
**October 10, 2023**  
**10:15 a.m. – 11:30 a.m.**  
**AGENDA**

**CARL Committee Members**

Anita Bachmann, Chair  
Margaret S. Benjamin  
George Hoyle  
Dale Phipps  
Dean Priddy

Jerry Blakemore, Vice Chancellor for Institutional Integrity and General Counsel, Liaison  
Bob Shea, Vice Chancellor for Finance and Administration, Liaison  
Katherine Skinner, Director of Internal Audit, Liaison

**Call to Order**

**Action Items**

- CARL-1      Consent Agenda
- 1.1      Minutes of the August 15, 2023, Meeting
  - 1.2      Minutes of the September 12, 2023, Special Meeting
  - 1.3      Revised Internal Audit Charter

**Discussion Items**

- CARL-2      Internal Audit Report (*Skinner*)
- 2.1      Weatherspoon Art Museum Inventory Internal Audit Report
- CARL-3      Enterprise Risk Management Update (*Z. Smith*)
- 3.1      Enterprise Risk Management Update
- CARL-4      Policy and Compliance Updates (*Bonatz, Williams*)
- 4.1      University-wide Policy and Compliance Program Update

- CARL-5 Information Technology Services (ITS) Update (*Heath, Forrest*)  
5.1 ITS Overview

**Information Items**

- CARL-6 The Institute of Internal Auditors' (IIA) Three Lines of Defense (*Skinner*)  
6.1 Three Lines of Defense Overview  
6.2 The IIA's Three Lines Model
- CARL-7 Athletics Compliance Update (*Mackin, J. Smith*)  
7.1 Memorandum regarding Athletics Compliance

**Adjourn**