



**Compliance, Audit, Risk Management and Legal Affairs (CARL) Committee  
February 20, 2024  
10:15 a.m.**

**DRAFT MINUTES**

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**COMMITTEE MEMBERS PRESENT:** Anita Bachmann (Committee Chair), Margaret Benjamin, Dale Phipps, Dean Priddy

**COMMITTEE MEMBERS ABSENT:** George Hoyle

**OTHERS PRESENT:** Mae Douglas, Vice Chair of the Board of Trustees; Chancellor Franklin Gilliam; Jerry Blakemore, Vice Chancellor for Institutional Integrity and General Counsel; Kristen Bonatz, Deputy General Counsel; Casey Forrest, Chief Information Security Officer; Donna Heath, Vice Chancellor for Information Technology Services; Brian Mackin, Director of Athletics; Jeanne Madorin, Associate Vice Chancellor for Human Resources; Bob Shea, Vice Chancellor for Finance and Administration; Katherine Skinner, Director of Internal Audit; Jody Smith, Executive Associate Athletics Director and Senior Woman Administrator; Debbie Storrs, Provost and Executive Vice Chancellor; Waiyi Tse, Chief of Staff; Kelly Harris, Associate Chief of Staff and Assistant Secretary to the Board of Trustees; and other members of the administration and staff.

**PROCEEDINGS:**

Chair Bachmann called the meeting to order at 10:15 a.m. She reminded the Committee members of their duty under the State Government Ethics Act to avoid conflicts of interest and advised that any conflict of interest or appearance thereof with respect to any matter before the Board of Trustees or the Committee needed to be raised at that time. None were identified.

Quorum was confirmed through roll call.

Before proceeding with the agenda, the Chair introduced the Committee members to Dr. Tina Chestnut, the new University's new Title IX Coordinator.

**Approval of the Minutes of the October 10, 2023 Meeting**

Chair Bachmann called for a motion to approve the minutes of the October 10, 2023, meeting as presented. Margaret Benjamin made the motion, which was seconded by Dale Phipps. The motion carried unanimously.

## **Discussion Items:**

### **CARL-1 Internal Audit Report**

Director of Internal Audit Katherine Skinner reported on the results of a follow up internal audit of the University's employee eligibility verification process. She began by reviewing the objective and scope of the audit. She explained that the internal auditors looked at whether Form I-9, which is the federal form used to verify the identity and employment authorization of individuals hired for employment in the United States, was completed within three days of each new employee's start date, as required by federal law and University policy. Skinner then reviewed the audit findings and the recommendations with respect to those findings. The Human Resources Department has implemented changes to its procedures to address the audit findings, and a follow-up engagement will be added to the next fiscal year audit plan.

Skinner also reviewed with the Committee the University's financial statement audit for fiscal year ended June 30, 2023, conducted by the Office of the State Auditor. There were no findings, and it is the State Auditor's opinion that the financial statements are presented fairly, in all material respects.

Skinner concluded her report with an update on the status of the Internal Audit Quality Assurance and Improvement Program. She discussed the Internal Audit department's use of the Self-Assessment Maturity Model ("SAMM") to perform the annual self-assessment for conformance with Internal Audit Standards that is required by the Council of Internal Auditing, as well as ongoing efforts to perform internal assessments for each of the department's engagements. The Internal Audit department's SAMM rating has improved to 3.1, and Skinner expects the next external Quality Assurance Review will result in a rating of "generally conforms" to Standards, which is considered a favorable rating. The next external Quality Assurance Review is scheduled for March of this year.

### **CARL-2 Information Technology Services Updates**

Chief Information Security Office Casey Forrest provided an update on the University's cybersecurity program, and Vice Chancellor Donna Heath updated the Committee on information technology services strategic planning, including the development of a 5-year plan for fiscal years 2024-2029, the major programs in that plan, and the timeline for finalizing the plan. The Committee asked several questions related to the cybersecurity data presented and the University's ability to protect itself from cyber-attacks. Both Heath and Forrest responded to questions and provided their perspectives on the cyber challenges that universities face throughout the country. They indicated that the University's efforts to protect itself to date have been successful and will continue to be updated moving forward.

### CARL-3 Athletics Compliance Update

Director of Athletics Brian Mackin provided an overview of the University's Athletics department, noting that the Fall 2023 average department GPA for UNC Greensboro student-athletes was 3.4. Executive Associate Athletics Director and Senior Woman Administrator Jody Smith then reviewed the University's athletics compliance program.

Mackin and Smith also discussed with the Committee certain challenges, including new rules that make it easier for student-athletes to transfer schools and compete immediately and the continuing developments around Name, Image, and Likeness. A robust discussion occurred regarding what is happening nationally, within the Southern Conference, and particulars regarding the University's student-athletes.

### **Information Item:**

#### CARL-4 Internal Audit Quality Assurance and Improvement Program

As an information item, the Committee was provided with copies of the Internal Audit Annual Attestations regarding objectivity, independence, and code of ethics.

With no further business before the Committee, the meeting was adjourned at 11:48 a.m.

Respectfully submitted,

Kelly Harris  
Assistant Secretary to the Board of Trustees