

**UW System Board of Regents**  
**Audit Committee**  
Union South, Varsity Hall II  
1308 W. Dayton Street  
Madison, Wisconsin  
**February 6, 2020**

**MEETING OF THE AUDIT COMMITTEE**

The meeting of the Audit Committee was called to order at 10:59 a.m. by Committee Chair Edmund Manydeeds. Roll call was taken. Regents Mueller, Delgado, Manydeeds, and Walsh were in attendance. Regent Manydeeds asked if anyone had a conflict of interest for the items on the agenda: none were stated.

**A. Approval of the minutes of the December 5, 2019 meeting of the Audit Committee**

Regent Walsh made a motion to approve the minutes of the December 5, 2019 Audit Committee meeting; seconded by Regent Delgado. The minutes were approved unanimously.

**B. Internal Audit**

**1. Fiscal Year 2020 Audit Plan Progress Report**

Lori Stortz, Chief Audit Executive, stated the Office of Internal Audit is making solid progress on completing the 2020 Audit Plan. She expects to bring additional audit reports before the committee in April, including the *Human Resources System (HRS) Segregation of Duties at UW-Madison*, *Student Information Systems Database Security*, and *Off Boarding of Employees*.

Regent Manydeeds summarized by stating that they are making progress, but, they just have to keep up the work. Ms. Stortz agreed and indicated that planning for the 2021 audit plan will begin this month.

**2. Summarized Results of Audits Recently Issued**

Ms. Stortz reviewed at a high-level the results of audits recently issued. This included the *Business Operations in Auxiliaries (Housing)*, *IT Procurement*, *DoIT Enterprise Business Services (EBS)*, and the *NCAA Agreed-Upon Procedures* audits. For the *Business Operations in Auxiliaries (Housing)* audit, Ms. Stortz stated that management has been responsive to their recommendations. For the *IT Procurement* audit, there is no policy for IT asset management, so her office recommended management adopt a policy and track purchases. Regent Mueller responded by saying this was troubling, and thanked Ms. Stortz for her work.

Work in the area of *DoIT Enterprise Business Services (EBS)* was found to be well done, with no comments. And the audit of *NCAA Agreed-Upon Procedures* had no significant findings. Overall, Ms. Stortz indicated she was comfortable with managements' responses.

## **C. Internal Controls and Enterprise Risk Management**

### **1. Emergency Management Planning Update**

Next the Audit Committee received an update regarding Internal Controls and Enterprise Risk Management from Ruth Anderson, Associate Vice President for Administrative Services; and Kristen Roman, Chief, UW-Madison Police Department -outlining their collaborative partnership. They discussed Emergency Management Planning and the steps being taken across the UW System to create safer, less vulnerable campuses. Chief Roman discussed the Emergency Management Standards set for all UW System campuses, and said she was pleased with the progress being made. Currently 7 of the 13 institutions have met with the Emergency Management Team – to gather baseline data, and she expects near 100% completion by the end of 2020. This will be used to help ensure uniformity within the UW System.

Basic Emergency Operations Plans (EOPs) have been written for a wide-range of emergencies/disasters, and Chief Roman said institutions are sharing lessons learned for emergency management collaboration, and implementing ‘active shooter’ training to help prepare our students and campus communities. Regent Delgado inquired as to what roll their expertise plays across the state in helping schools K-12, to which Ms. Anderson stated that she did not know and could follow-up and get back to the committee. Chief Roman replied that they would be open for deeper engagement. The committee then discussed the emergency notification system in place, and the categories of situations that warrant different kinds of notification.

### **2. Management’s Progress in Response to Plante Moran’s Finding Regarding Vendor Management**

Ms. Anderson, and Katherine Mayer, Associate Vice President for Information Security discussed management’s progress in response to Plante Moran’s finding regarding vendor management. Ms. Anderson outlined for the committee, the steps of the procurement process, and Ms. Mayer discussed the vendor risk assessment process she and her team have undertaken.

Regent Mueller inquired about working in partnership with other campuses on vendor management, to which Ms. Mayer and Ms. Anderson discussed the challenges faced when trying to ‘score’ or rank 25,000 vendors.

## **D. Compliance**

### **1. Public Records Compliance Update**

Katie Ignatowski, Director of Compliance and Integrity and Katie Patten, UW System Records Officer provided information on public records compliance. They have created a new website as a resource for UW employees to utilize regarding records management and public records requests – which provides more transparency. Ms. Patten stated that public records and records management training for staff is in the process of being updated, and she plans to provide later this year.

The committee discussed the records request process and Regent Manydeeds thanked Ms. Patten and Ms. Ignatowski for their work in keeping this transparent – especially helpful for complying with open records laws.

## **2. UW System Compliance Matrix Tool Update and Demonstration**

Ms. Ignatowski gave an update to the committee and demonstrated the UW System compliance matrix tool; the purpose of which is to house and track obligations across the System. She stated that UW-Madison had started this effort, and allowed it to be shared as a template for the rest of the UW institutions to follow as a guide. The matrix is linked to HR, so that nothing falls through the cracks when an employee leaves the UW System, or changes rolls of responsibility. Ms. Ignatowski hopes to have the matrix fully functional by June 2020.

Regent Manydeeds thanked UW-Madison for their assistance in helping the other campuses with this tremendous aide, and commended Chancellor Leavitt for all the work that UW-Oshkosh has put forth to be the first institution to completely identify their obligations and those who are responsible. The regents discussed the potential for collaboration among the institutions.

## **3. Management’s Progress on Improving the Management and Consistency of Title IX Cases**

Due to time constraints, this topic was deferred to the next AC meeting in April.

Regent Manydeeds closed the meeting by thanking the speakers for their ongoing work.

The meeting was adjourned at 12:11 p.m.

Respectfully submitted,

Erika Laabs  
Recording Secretary