

UW System Board of Regents
Audit Committee
Via WebEx Videoconference
1511 Van Hise Hall
1220 Linden Drive
Madison, Wisconsin
February 4, 2021

MEETING OF THE AUDIT COMMITTEE

The meeting of the Audit Committee was called to order at 8:53 a.m. by Committee Chair Karen Walsh. We began by taking a moment to pay our respects to Regent Jose Delgado – who was a valuable member of our committee and made significant contributions to the University of Wisconsin System. His presence on this committee will be greatly missed.

A. Calling of the Roll

Roll call was taken. Regents Bogost, Colón, Walsh, and Woodmansee were present.

B. Declaration of Conflicts

Regent Walsh asked if anyone had a conflict of interest for the items on the agenda: none were stated.

C. Approval of the minutes of the December 10, 2020 meeting of the Audit Committee

Regent Woodmansee made a motion to approve the minutes of the December 10, 2020 Audit Committee meeting; seconded by Regent Bogost. The minutes were approved unanimously.

D. Internal Audit

1. Fiscal Year 2021 Audit Plan Progress Report

Lori Stortz, Chief Audit Executive, reviewed the progress to date on the fiscal year 2021 audit plan. She stated that her office continues to make excellent progress and she expects to bring more audit reports before the committee in April and June. She expects to complete each of the audits within this fiscal year, with the exception of the NCAA Division III athletics. Ms. Stortz plans to present the fiscal year 2022 audit plan in June.

Regent Walsh asked about the two audits that were approved for deferral at the December Audit Committee meeting: *Payroll Continuous Monitoring* and *Security Awareness*. Ms. Stortz explained that the new single payroll process that is currently underway will impact how they approach the *Payroll Continuous Monitoring* audit going forward, and they plan to restart it once the new process is complete. Furthermore, due to the issues presented by the pandemic, a change in software, and implementing better systems to track our employees and faculty take the training, the *Security Awareness* audit was deferred until early calendar year 2022.

Regent Woodmansee asked about a second-round audit of *Emergency Grant Aids to Students* following the next release of Federal funding, to which Regent Walsh agreed was important. Ms. Stortz responded that she will add that to their plan in order to get that accomplished in a timely basis.

2. Summarized Results of Audits Recently Issued

Ms. Stortz then provided a high-level summary of the results of audits recently issued by the Office of Internal Audit. This included an executive summary for the *NCAA Agreed-Upon Procedures* audit, as well as individual management letters for *NCAA Agreed-Upon Procedures at UW-Green Bay and UW-Milwaukee*. Overall, she was comfortable with the responses from management and felt these report provide useful information to the Regents, System leadership, and the institutions about the financial activities connected with the athletic programs. The athletic directors from both UW-Green Bay, Charles Guthrie and UW-Milwaukee, Amanda Braun spoke to the committee and discussed the results of their audits, confirming they are on the right track.

E. Compliance

1. Title IX Update

Title IX and Clery Administrator, Sarah Harebo gave an update to the committee about the progress being made toward compliance with the new Title IX requirements and the guidance documents they are creating in collaboration with the campuses. She stated they requested a second extension to comply with the permanent rules and expect completion in April-May 2021. Furthermore, guidance documents related to the Title IX rules are being worked on, in collaboration with the Office of General Counsel, and Title IX coordinators to gather feedback, in order to make usable documents for everyone. Campuses continue to reach out to the Office of Compliance, and they encourage them to do so.

Regent Bogost asked for an update on the status of training for advisors. Ms. Harebo stated she was not involved with UW-Madison's advisor training but has been involved elsewhere and there is a trained pool of advisors ready to go.

Chief Compliance Officer, Katie Ignatowski added that the Office of Compliance is getting good visibility and will continue resource development for the University of Wisconsin System. Regent Walsh noted it is helpful to have a designated point person (Ms. Harebo) for campuses to better know who to go to with questions.

2. Youth Protection and Compliance Update

Director of Youth Protection and Compliance, Prenicia Clifton provided an update to the committee regarding Youth Protection and Compliance at the University of Wisconsin System. She stated they just held their first professional development webinar and it went very well. They addressed the needs of campuses looking at hosting in-person events for pre-college students this summer and offered robust resources from the CDC. Ms. Clifton wants to create a return-minors-to-campus plan for each campus that does decide to reopen. They will be continuing monthly professional development trainings on various topics to support Youth Protection and Compliance. She hopes to bring a policy rollout to the Board in the fall and working on interim guidance.

Regent Walsh asked how these campuses who plan to hold in-person events for minors will be tracked, and Ms. Clifton replied that each campus has designated pre-college liaisons, and they will report to her. Ms. Clifton will then go over a checklist to ensure they have completed everything that is required to bring minors back safely. Ms. Ignatowski added that in the future, the database will help with that tracking as well.

Regent Walsh closed the meeting and thanked her colleagues.

The meeting was adjourned at 9:29 a.m.

Respectfully submitted,

Erika Laabs
Recording Secretary