A. Calling of the Roll

B. Declaration of Conflicts

C. Approval of the Minutes of the August 18, 2022 Meeting of the Audit Committee

D. Video: UW-Eau Claire Land Recognition Statement and Student Welcome

E. Internal Audit
   1. Fiscal Year 2023 Audit Plan Progress Report
   2. Summarized Results of Audits Recently Issued
   3. Report of Chief Audit Executive

F. Enterprise Risk Management Update
   1. Information Technology Security Program Update

G. Host Campus Presentation: The CARE Model for Compliance, Audit, Risk and Ethics
FISCAL YEAR 2023 AUDIT PLAN PROGRESS REPORT

REQUESTED ACTION

For information and discussion only.

SUMMARY

One of the responsibilities of the Audit Committee, as outlined in the committee charter, is to review and approve the annual internal audit plan and receive interim progress reports at least quarterly.

The attached chart provides a summary of audit progress for the Fiscal Year 2023 Audit Plan.

Presenter(s)

- Lori Stortz, Chief Audit Executive

ATTACHMENTS

A) UW System Administration Office of Internal Audit Fiscal Year 2023 Audit Plan Progress Chart.
### UW SYSTEM ADMINISTRATION

#### OFFICE OF INTERNAL AUDIT

**FISCAL YEAR 2023**

**AUDIT PLAN PROGRESS**

<table>
<thead>
<tr>
<th>Title</th>
<th>Risks</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Payroll (Bi-Annual Auditing)</td>
<td>Fraud, Data Accuracy, Compliance with Policy</td>
</tr>
<tr>
<td>2. Purchasing Cards (Bi-Annual Auditing)</td>
<td>Fraud, Embezzlement, Compliance with Policy</td>
</tr>
<tr>
<td>3. Criminal Background Checks</td>
<td>Reputational, Conflicts of Interest, Regulatory Compliance, Compliance with Policy</td>
</tr>
<tr>
<td>5. Behavioral Health</td>
<td>Student Health and Safety, Compliance</td>
</tr>
<tr>
<td>6. Child Care Centers</td>
<td>Compliance with Policy, Financial, Operational</td>
</tr>
<tr>
<td>7. Controlled Substances in Research</td>
<td>Compliance, Fraud, Reputation, Public Safety</td>
</tr>
<tr>
<td>8. Export Controls</td>
<td>Compliance with Laws, Reputational</td>
</tr>
<tr>
<td>9. General Ledger Clearing Accounts</td>
<td>Fraud, Financial</td>
</tr>
<tr>
<td>10. Information Technology Asset Management</td>
<td>Compliance with Policy, Data Security, Data Availability, Operational, Financial, Fraud</td>
</tr>
<tr>
<td>11. Information Technology Bi-Monthly Compliance Reports</td>
<td>Compliance with Policy</td>
</tr>
<tr>
<td>12. Internal Assessment</td>
<td>Conformance with IIA Standards and Code of Ethics</td>
</tr>
<tr>
<td>13. Madison NCAA Athletics Compliance Audit</td>
<td>Compliance</td>
</tr>
<tr>
<td>14. NCAA Athletics Division I Consulting Engagements</td>
<td>Data Accuracy</td>
</tr>
<tr>
<td>15. Nepotism and Conflicts of Interest</td>
<td>Conflicts of Interest, Fraud, Financial</td>
</tr>
<tr>
<td>16. Recruitment and Admission of International Students</td>
<td>Fraud, Compliance with Laws and Policy, Reputational</td>
</tr>
<tr>
<td>17. Research Integrity</td>
<td>Compliance, Fraud, Reputation</td>
</tr>
<tr>
<td>18. ShopUW+ Internal Controls</td>
<td>Fraud, Financial, Operational</td>
</tr>
<tr>
<td>19. Working in Isolation</td>
<td>Human Safety, Regulatory Compliance</td>
</tr>
</tbody>
</table>

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**Number of Audits**

- **Not Started**
- **Planning Has Begun**
- **Fieldwork/Reporting in Progress**
- **Bi-Annual Auditing**
- **Completed**
- **Deferred**

![Graph showing the distribution of audit statuses](graph.png)
SUMMARIZED RESULTS OF AUDITS RECENTLY ISSUED

REQUESTED ACTION

For information and discussion only.

SUMMARY

Since the August 18, 2022 meeting of the Audit Committee, the Office of Internal Audit has issued the following reports:

- Criminal Background Checks - Executive Summary
- Student Behavioral Health – Executive Summary

Presenter(s)

- Lori Stortz, Chief Audit Executive

BACKGROUND

One of the responsibilities of the Audit Committee, as outlined in the committee charter, is to summarize results of audits recently issued.
Information Technology Security Program Update

REQUESTED ACTION

For information and discussion only.

SUMMARY

The University of Wisconsin System technology environment is a complex mix of modern and legacy systems. Major initiatives are underway to migrate vital systems to the cloud. While these important projects are being implemented, we are being attacked hundreds of times a day. From K-12 to higher education, the education sector continues to be a favorite target of cyber criminals who seek to disrupt operations, steal our information, and attempt to profit through extortion. While progress has been made in improving our defenses and operational resiliency, much more should be done to reduce our cyber risks to an acceptable level.

A brief status report will be provided on information security highlighting the following elements:

- Enterprise Risk Management Alignment
- Top Challenges
- Information Security Roadmap – Progress Report
- Top Priorities

Presenter

- Edward Murphy, Associate Vice President, Information Security, UW System
HOST CAMPUS PRESENTATION:
THE CARE MODEL FOR COMPLIANCE, Audit, RISK AND ETHICS

REQUESTED ACTION

Item for information and discussion only.

SUMMARY

The purpose of establishing UW-Eau Claire's Compliance, Audit, Risk and Ethics (CARE) Committee is to systematically share risk and internal control data, information, knowledge and solutions across all colleges and departments, and achieve optimal and best practice driven results in support of the University's mission. Vice Chancellor Grace Crickette will explain the framework and tools that are leveraged to understand and communicate our effectiveness in the areas of Compliance, Audit, Risk Management and Ethics.

Presenter(s)

- Grace Crickette, Vice Chancellor for Finance and Administration, UW-Eau Claire
- Nicole Andrews, Executive Director of Enrollment Management - Admin and Recruiting
- Jay Dobson, Chief of Police
- Allison Hannah, Dean's Assistant, College of Nursing & Health Sciences
- Members of the CARE Committee will be present for questions