

WILLIAM & MARY

BOARD OF VISITORS
COMMITTEE ON AUDIT, RISK AND COMPLIANCE
DRAFT MINUTES
SEPTEMBER 28, 2023
3RD FLOOR BOARD ROOM – BLOW HALL

COMMITTEE MEMBERS PRESENT

Mr. John P. Rathbone, Vice Chair
Mr. C. Michael Petters
Ms. Laura Keehner Rigas

Mr. J.E. Lincoln Saunders
Ms. Ardine Williams

COMMITTEE MEMBERS ABSENT

Ms. Cynthia E. Hudson, Chair

OTHERS PRESENT

Mr. Kent Erdahl, Director of Internal Audit
Ms. Pamela Mason, Chief Compliance Officer/FOIA Officer
Dr. Virginia M. Ambler, Vice President for Student Affairs
Mr. Donald Butler, Interim AVP for Public Safety and W&M Chief of Police
Dr. Taylor Locks, Staff Liaison to the Board of Visitors
Ms. Sarah Melchior, Associate University Counsel
Ms. Melanie T. O’Dell, Chief Financial Officer
Ms. Stacey Sokol, RBC Chief Business Officer
Ms. Eric Kondzielawa, RBC Chief Operating Officer
Ms. Jessica Walton, Deputy Secretary to the Board of Visitors

INTRODUCTORY REMARKS

Mr. John P. Rathbone, Vice Chair, called the meeting to order at 8:01 a.m.

APPROVAL OF MINUTES

Recognizing that a quorum was present, Mr. Rathbone made a motion to approve the minutes of the April 20, 2023, meeting. Motion was seconded by Mr. C. Michael Petters and approved by voice vote.

REPORT FROM CHIEF COMPLIANCE OFFICER

Ms. Pamela Mason, Chief Compliance Officer/FOIA Officer, presented annual data on volume of reports, types of discrimination reported and disposition of reports and comparisons with the three previous fiscal years. Mr. Petters inquired about the university’s reporting mechanisms, and there was discussion about the possible need for an anonymous reporting hotline. Ms. Mason also presented Title IX data and investigation outcomes. Ms. Mason updated the Committee members on the Department of Education final rule making regulations relative to Title IX, including pregnancy rights and transgender participation in athletics. Additionally, Ms. Mason highlighted actions that the university has taken in the past six months to reinforce effectiveness in its compliance program.

REPORT FROM DIRECTOR OF INTERNAL AUDIT

Mr. Kent Erdahl, Director of Internal Audit, presented updates on recent audit activity. An IT Security audit at Richard Bland College (RBC) revealed a 61% compliance rate when testing against an IT control framework. A RBC Procurement audit tested for compliance with Commonwealth procurement and purchasing card requirements. The audit revealed gaps in compliance with state requirements. RBC recently hired a Senior Buyer, and the audit report and recommendations provide a roadmap for the new procurement officer. A discussion ensued regarding RBC’s compliance toward IT and Procurement requirements.

An audit of the William & Mary Student Health Center resulted in recommendations related to enhancing pharmacy inventory controls and providing a greater level of oversight. The audit also made recommendations for billing and reimbursement reconciliation and identified improvement areas for Health Center management to monitor business operations more closely.

Information Technology personnel and Internal Audit have been conducting data security meetings with large units on campus. Five departments are complete, and Mr. Erdahl reported he has received positive feedback about this initiative. This project originated from the annual work plan development process in collaboration with the Chief Information Officer. At year end, Internal Audit will produce a summary report of key takeaways and findings to enable university wide enhancements.

Mr. Erdahl presented the 2023 Audit plan status update. Two planned audits were deferred due to staffing issues. In place of deferred projects, an audit of the Protection of Minors on Campus policy is now underway. The focus of the audit is testing compliance with university requirements with a focus on overnight programs. A discussion ensued regarding the definition of a minor.

Mr. Erdahl provided an update on audit department staffing. A Senior Auditor with Certified Information Systems Auditor credentials announced his planned retirement in January 2024. While Mr. Erdahl is hopeful of finding a candidate with a similar skill set, the IT audit component may need to be outsourced. IT auditors are expensive and hard to recruit. Outsourcing of IT has become common with other public universities in the Commonwealth.

Mr. Erdahl concluded with a report on the audit score card, which tracks remediation of past audits and the completion of corrective action.

VIOLENCE PREVENTION PRESENTATION

Dr. Virginia M. Ambler, Vice President for Student Affairs, introduced Mr. Donald Butler, Interim AVP for Public Safety and Chief of Police who provided an overview of William & Mary's Threat Assessment Teams (TAT) Approach, New Legislation effecting the approach, State-wide Task Force, Threat Assessment Trends and General Crime Trends.

Mr. Butler provided a brief overview of the FBI model and noted that this is the model TAT has always implemented. He highlighted legislation that went into effect this past year and how it affects the makeup of TAT, access to medical records, notification to other agencies, disclosures to employers, and training mandates. Lastly, Mr. Butler noted that William & Mary is the only institution to have three members on the Statewide Task Force.

ADJOURNMENT

There being no further business, Mr. Rathbone adjourned the meeting at 9:08 a.m.