

AGENDA
Audit, Risk Management, Compliance, and Ethics Committee
April 2, 2020

- I. Approval of Minutes – February 6, 2020
- II. Review of Operational Metrics
- III. Action Items
 - A. Review Changes to Annual Audit Plan – presented by Wayne Poole
 - B. Review Changes to the *Notice of Nondiscrimination and Affirmative Action Policy* – presented by LaKesha Forbes
- IV. Informational Items
 - A. Information on OSA IT Controls Audit – Mr. Wayne Poole
 - B. Review of Recent Audit Reports – Mr. Wayne Poole
 - C. Equal Opportunity and Title IX Compliance – Ms. LaKesha Forbes and Ms. Malorie Yeaman
- V. Other



Audit, Risk Management, Compliance, and Ethics Committee
April 2, 2020

Agenda Item: I. Approval of Minutes – February 6, 2020

Responsible Person: Vince Smith
Committee Chair

Action Requested: Action

Notes:

**Minutes from ECU BOT Audit, Risk Management, Compliance, and Ethics Committee
February 6, 2020
Main Campus Student Center – ECU Campus**

The Audit, Risk Management, Compliance, and Ethics Committee of the ECU Board of Trustees met in the Main Campus Student Center on the campus of ECU on February 6, 2020.

Committee members present: Vince Smith (Chair), Jason Poole (Vice Chair), Bob Plybon, Max Joyner, Leigh Fanning, Jim Segrave, and Tom Furr.

Other board members present: BOT Vice Chair Fielding Miller, Angela Moss, and Colin Johnson.

Vince Smith, Vice Chair of the Committee, convened the meeting at 9:30 AM. Mr. Smith read the conflict of interest provisions as required by the State Government Ethics Act. Mr. Smith asked if anyone would like to declare or report an actual or perceived conflict of interest. None were reported.

Mr. Smith asked for the approval of the minutes of the November 21, 2019 committee meeting.

Action Item: The minutes of the November 21, 2019 committee meeting were approved with no changes.

Review of Operational Metrics

The committee reviewed the operational metrics related to Internal Audit, Healthcare Compliance, and Athletics Compliance. Through December 31, Internal Audit is on pace for completion of the annual audit plan and auditor productivity. The dip in productivity rate for the month of December was expected due to the holiday break. University management had completed over 95% of the corrective actions that Internal Audit has followed up on since July 1. Athletics Compliance is exceeding the KPI for providing Rules Education sessions. Healthcare Compliance exceeded the KPIs for the number of billing education sessions and provider documentation reviews in November and December.

State Auditor, the Honorable Beth Wood, provided a briefing on the Financial Statement Audit

State Auditor Wood briefed the committee on the University's annual financial statement audit for the fiscal year that ended on June 30, 2019. Auditor Wood explained that the University's financial statements were given a "clean opinion", which means that they are fairly stated and materially correct. She also reported that the audit revealed no internal control weaknesses that would have a material effect on the financial statements. Auditor Wood stressed the important role that the University's Internal Audit function serves in evaluating controls and detecting fraud. Ms. Wood stated that the University was not asked to make any corrections as a result of the state's audit. Kudos were given to the team in Administration and Finance for their great work.

Mr. Wayne Poole provided the Internal Audit update.

Mr. Poole updated the committee on the staffing in the Office of Internal Audit. The team currently has a vacant Audit Supervisor position which should be filled within the next month.

Based on Chairman Smith's previous request, Mr. Poole briefed the committee on the results of two recently completed internal audits. Mr. Poole discussed the Investment Performance audit and the follow-up audit of Student Transit recommendations. Mr. Smith advised that he intends to ask for a briefing on selected internal audits at each committee meeting moving forward.

Vice Chancellor Sara Thorndike provided the Enterprise Risk Management (ERM) update.

Dr. Thorndike shared the University's top risks matrix which details the University's top risks, the risk management process owner, and details on how and when each of the risk areas has been shared with this Board. We also received information on one of the top risk areas in Closed Session during yesterday's meeting.

Mr. Wayne Poole briefed the committee on an ERM Maturity Assessment that the Office of Internal Audit is currently engaged in with Dr. Thorndike and her team. The objectives of this engagement are to assess the maturity of the University's ERM program against an industry model, and to collect feedback from senior

**Minutes from ECU BOT Audit, Risk Management, Compliance, and Ethics Committee
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management, mid-level management, and Board of Trustees members on their perceptions of the ERM process and how it might be strengthened.

Closed Session

At 10:05AM, Mr. Joyner made a motion to enter closed session to discuss confidential information as allowed by applicable NC General Statutes. The motion was seconded by Mr. Furr and approved unanimously.

At 10:25AM, the committee returned to open session.

Other Business

There being no further business, the Committee meeting was adjourned at 10:27 AM.

Respectfully submitted,
Wayne Poole
ECU Office of Internal Audit and Management Advisory Services



Audit, Risk Management, Compliance, and Ethics Committee

April 2, 2020

Agenda Item:

II. Review of Operational Metrics

Responsible Person:

Wayne Poole
Director of Internal Audit

Action Requested:

Information

Notes:



Audit, Risk Management, Compliance, and Ethics Committee
April 2, 2020

Agenda Item: III. A. Review Changes to Annual Audit Plan

Responsible Person: Wayne Poole
Director of Internal Audit

Action Requested: Action

Notes:

**East Carolina University
Office of Internal Audit
Annual Engagement Plan
By Type
FY 2019-2020**

Project Description		Budgeted Hours	% of Total	Risk Ranking
Integrated/Operational Audits:				
Kronos and Timekeeping (F18032/A16038) (Data Analytics)	OP	931	5.5%	High
PeopleAdmin Position Approval Processes	OP	300	1.8%	High
SoDM Revenue Cycle (Data Analytics)	OP	300	1.8%	High
ERM Maturity Assessment	OP	260	1.5%	High
University Advancement (Gift Valuation and Accounting)	OP	300	1.8%	High
Sponsored Programs Time and Effort Reporting	OP	550	3.2%	High
Data Analytics Review of Financial Aid (bulk of work will occur in FY21)	OP	100	0.6%	High
Unpaid Adjunct Faculty Members	OP	340	2.0%	High
Research Compliance Staffing and Funding Model (cancelled Nov 2019)	CX	0	0.0%	High
Automated Journal Vouchers Process (postponed to FY 21, Nov 2019)	PPD	0	0.0%	High
Endowment Performance Review (added Nov 2019)	ADD	120	0.7%	Med
Total Integrated/Operational Audit Hours		3201	18.8%	
Compliance Audits:				
Third Party Service Provider Controls	OP	100	0.6%	High
ADA/504 Compliance	OP	300	1.8%	High
Enterprise Car Rental Contract and Expenses (added Nov 2019)	ADD	250	1.5%	High
Total Compliance Audit Hours		650	3.8%	
Information Technology Audits:				
Technology Security Assessment Process	OP	300	1.8%	High
IT/Data Incident Response Process (added Apr 2020)	ADD	300	1.8%	High
IT Asset Management (cancelled, covered by OSA Apr 2020)	CX	0	0.0%	High
Controls over Privileged Accounts (postponed to FY 21, Apr 2020)	PPD	0	0.0%	High
Total Information Technology Audit Hours		600	3.5%	
Investigative Reviews:				
Hotline Allegations Triage	OP	120	1%	NA
Investigative Reviews - Already In Progress	OP	200	1%	NA
Investigative Reviews - Not Yet Received/Started	OP	2200	13%	NA
Total Investigative Audit Hours		2520	15%	
Follow-Up Reviews:				
Action Plan Tracking and Follow-Up	OP	240	1.4%	High
University Youth Programs (A18008)	OP	150	0.9%	High
Student Transit (L18021)	OP	150	0.9%	High
Americorps Grant (2nd Follow-Up) (F19022)	OP	120	0.7%	High
Security Camera Controls (A18017)	OP	120	0.7%	High
Student Conduct Process (A19021)	OP	80	0.5%	High
SoDM CSLCs (A18024)	OP	90	0.5%	High
Grants and Contracts (AICFR) (added Nov 2019)	ADD	295	1.7%	High
CRW Club Sports Drivers (added Nov 2019)	ADD	30	0.2%	High
Total Follow-Up Review Audit Hours		1275	7.5%	
Consultations/Management Advisory Services				
Routine Consultations	OP	490	2.9%	
Routine Data Analytics Support for Clients	OP	200	1.2%	
University Committees Participation	OP	500	2.9%	
ProCard Analytics for Chrome River	OP	250	1.5%	
Assist with AICFR	OP	90	0.5%	

OP=Original Plan
ADD=Added since July 1
CX=Cancelled
PPD=Postponed

**East Carolina University
Office of Internal Audit
Annual Engagement Plan
By Type
FY 2019-2020**

Project Description		Budgeted Hours	% of Total	Risk Ranking
Student Athlete Course Clustering	OP	60	0.4%	
University Orientation Materials	OP	100	0.6%	
BSOM/ECUP Admin Staffing and Processes (added Nov 2019)	ADD	40	0.2%	
Darden Child Development Center Pricing (added Nov 2019)	ADD	100	0.6%	
Banner Grants Module User Access (added Nov 2019)	ADD	40	0.2%	
Friends of UNCW Review (added Nov 2019)	ADD	30	0.2%	
QAR Team for OSBM (added Nov 2019)	ADD	60	0.4%	
AP Analytics Tool Revisions (added Nov 2019)	ADD	40	0.2%	
Total Consultation Hours		2000	11.7%	
Other/Special Projects:				
Coordinate and Assist with External Audits, SBI Reports, Routine Tasks	OP	800	4.7%	NA
Audit Software Admin and Maintenance	OP	300	1.8%	High
Student Intern Program	OP	300	1.8%	High
Required IIA QAIP/Self-Assessment	OP	30	0.2%	High
Develop Assurance Map	OP	100	0.6%	High
Unplanned Special Projects as Assigned (replaced Nov 2019)	OP	0	0.0%	High
Risk Assessment/Audit Planning 2020-2021	OP	80	0.5%	High
Risk Assessment/Audit Planning 2019-2020	OP	20	0.1%	High
Coordinate OSA IT Controls Audit (added Apr 2020)	ADD	120	0.7%	High
Office Relocation (added Nov 2019)	ADD	200	1.2%	N/A
Total Other/Special Project Hours		1950	11.4%	
Total Direct Audit Hours		12196	72%	
Administration		1800	11%	NA
Leave/Holiday		2300	13%	NA
Professional Development		750	4%	NA
Total Indirect Audit Hours:		4850	28%	
Grand Total Audit Hours		17046	100%	

Original Plan Approved by Chancellor Dan Gerlach in face to face meeting on June 10, 2019

Original Plan Approved by ECU Board of Trustees at regular meeting on July 12, 2019

Changes approved by ECU BOT ARMCE Committee on November 21, 2019

Changes approved by ECU BOT ARMCE Committee on April 2, 2020

OP=Original Plan
ADD=Added since July 1
CX=Cancelled
PPD=Postponed



Audit, Risk Management, Compliance, and Ethics Committee

April 2, 2020

Agenda Item:

III. B. Review Changes to the *Notice of Nondiscrimination and Affirmative Action Policy*

Responsible Person:

LaKesha Forbes
Assoc. Provost for Equity & Diversity

Action Requested:

Action

Notes:

Notice of Nondiscrimination and Affirmative Action Policy

Version 1 (Current Version)

Policy	POL05.25.02
Title	Notice of Nondiscrimination and Affirmative Action Policy
Category	Campus Environment
Sub-category	Non-Discrimination
Authority	Board of Trustees
History	Approved November 20, 2015 to be Effective January 1, 2016.
Contact	Associate Provost for Equity and Diversity Office for Equity and Diversity, Old Cafeteria Building, Suite G-406 (252) 328 - 6804 oed@ecu.edu

Related Policies [ECU Equal Employment Opportunity Plan](#)

[Regulation on Responding to Complaints of Prohibited Discrimination, Harassment and/or Related Retaliation](#)

[Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence](#)

[Policy of the Board of Governors of the University of North Carolina: 300.4.1 Improper Relationships between Students and Employees](#)

[REG06.35.02 Mediation and Grievance Procedure for SPA Employees](#)

[Grievance Procedures for Complaints of Unlawful or Prohibited Harassment, Discrimination or Improper Relationships Brought Against East Carolina University Faculty Members or Administrators Holding Faculty Status \(ECU Faculty Manual, Part XII, Section IV\)](#)

**Additional
References**

[Title VI](#) and [Title VII](#) of the Civil Rights Act of 1964, as amended

[Title IX of the Education Amendments of 1972](#)

[Section 799A and 845 of the Public Health Service Act](#)

[Equal Pay Act of 1963, as amended](#)

[Age Discrimination in Employment Act of 1967, as amended](#)

[Rehabilitation Act of 1973, as amended](#)

[Pregnancy Discrimination Act of 1978](#)

[Civil Rights Restoration Act of 1988](#)

[Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended](#)

[Civil Rights Act of 1991](#)

[Americans with Disabilities Act of 1990, as amended](#)

[Title II of the Genetic Information Non-discrimination Act of 2008](#)

[Executive Order 11246 of 1965, as amended](#)

[N.C. General Statutes Section 126-16, as amended](#)

[N.C. General Statutes Section 116-11\(3a\)](#)

[The Code of the University of North Carolina, Section 103](#)

Other applicable Federal and state laws.

1. Introduction

1.1. East Carolina University ("ECU") is committed to equality of opportunity and prohibits unlawful discrimination based on the following protected classes: race/ethnicity, color, genetic information, national origin, religion, sex (including pregnancy and pregnancy related conditions), sexual orientation, gender identity, age, disability, political affiliation, and veteran status [\(including relationship or association with a protected veteran; or Active Duty or National Guard service\)](#) ("Protected Class").

1.2. This policy also prohibits retaliation, as defined below, against an individual for using applicable policies responsibly. Retaliation interferes with free expression, inhibits openness that is important to the University, and violates University policy.

1.3. Pay Transparency

1.3.1. Consistent with Executive Order 11246, as amended, ECU will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as a part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by ECU, or (c) consistent with the ECU's legal duty to furnish information.

1.4. This policy supersedes all other expressions of nondiscrimination provisions pertaining to all University programs and activities and the Office for Equity and Diversity complaint resolution procedures published in any other documents, handbooks, or manuals except those outlined in University regulations (specifically, the Regulation on Responding to Complaints of Prohibited Discrimination, Harassment and/or Related Retaliation and the Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence).

1.5. When an individual is found to have violated this policy, sanctions up to and including termination of employment, expulsion, and/or the issuance of a ban from University property will be imposed in an attempt to ensure that such actions are not repeated by the individual within the University community. In determining whether conduct violates these provisions, all relevant facts and circumstances shall be considered. Care will be exercised in order to preserve freedoms of speech and expression, as articulated in current legal standards.

2. Coverage

2.1. This policy covers admission, readmission, access to, treatment and employment in university programs and activities, including, but not limited to, academic admissions, financial aid, any services, and employment. This policy applies to students, applicants, employees, visitors, volunteers and other third parties under circumstances within the University's control.

2.2. This policy applies to all discrimination and related retaliation that occurs either on ECU property or off ECU property if (1) the misconduct occurred in the context of an ECU program or activity or (2) if the misconduct creates or contributes to, for a member of the University community, a learning or working environment that is hostile, as defined in 4.2.2.

3. Affirmative Action Obligations

3.1. Pursuant to its obligation under applicable federal law, the University will take affirmative action to ensure that applicants are employed and that employees are treated during employment without regard to their race, color, religion, sex, sexual orientation, gender identity, or national origin and to employ and advance in employment qualified employees and applicants who are protected veterans and individuals with disabilities at all levels of employment.

3.2. The University will recruit, hire, train and promote persons in all job titles and ensure that all other personnel matters and any other term, condition, or privilege of employment will continue to be administered in accordance with this policy and without regard to University Protected Classes listed in Section 1.1 above. The University will ensure that all employment decisions are based only on valid job requirements.

3.3. The Chancellor of ECU fully endorses and supports this policy.

3.4. The monitorial and evaluative aspects of the Equal Employment Opportunity Plan, including analysis and reporting, are the responsibilities of the Office for Equity and Diversity. The Chancellor has appointed the Associate Provost for Equity and Diversity to coordinate all aspects of the ECU Equal Employment Opportunity Plan and Program.

4. Definitions

4.1. Discrimination - actions that subject individuals to unfavorable or unequal treatment based on a Protected Class.

4.2. Harassment - a form of discrimination. Harassment is unwelcome conduct based on a Protected Class, as defined in Section 1.1 above, which creates either quid pro quo harassment or a hostile environment, as defined in Section 4.2.1 and Section 4.2.2, below. It also includes Sexual Harassment and Gender-Based Harassment as those terms are defined in University Regulations (specifically, the Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence).

4.2.1. Quid Pro Quo Harassment - submission to or rejection of such conduct is made, either explicitly or implicitly, a term or condition of a person's employment, academic standing, or participation in any University programs and/or activities or is used as the basis for University decisions affecting the individual.

4.2.2. Hostile Environment Harassment - A "hostile environment" exists when the conduct is sufficiently severe, persistent, or pervasive that it unreasonably interferes with, limits, or deprives an individual from participating in or benefitting from the University's education or employment programs and/or activities. Conduct must be deemed severe, persistent, or pervasive from both a subjective and an objective perspective.

A hostile environment can be created by persistent or pervasive conduct or by a single or isolated incident, if sufficiently severe. The perceived offensiveness of a single verbal or written expression, standing alone, is typically not sufficient to constitute a hostile environment.

4.3. Retaliation - any act of interference, restraint, penalty, discrimination, coercion, reprisal, intimidation, threats, or harassment against an individual for using applicable policies responsibly (including making a charge of discrimination protected by this policy; testifying, assisting, or participating in a hearing, proceeding, review process or investigation of discrimination; opposing an illegal act; requesting a reasonable disability or religious accommodation; or exercising any other right protected by this policy).

5. Obligation to Provide Reasonable Accommodations

5.1. Disability Accommodations

5.1.1. In compliance with Section 503 of the Rehabilitation Act of 1973, as amended; Section 504 of the Rehabilitation Act of 1973; the Americans with Disabilities Act of 1990, as amended; and the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended (VEVRAA), accommodations for individuals with disabilities extend to student programs, employment practices, elimination of physical barriers, and special assistance to students and employees within the university who are individuals with disabilities.

5.1.2. To request disability accommodations, please contact the Department for Disability Support Services, 138 Slay Building Greenville, NC 27858-4353 or phone (252)737-1016 voice/TTY.

5.2. Religious Accommodations

5.2.1. The University accommodates the religious observances and practices of students and employees except where such accommodation causes undue hardship for the University. The extent of the University's obligation is determined initially by considering statutory requirements; and any obligation of accommodation beyond that shall be determined with consideration of business necessity, financial costs and expenses, and resulting personnel and/or academic problems.

5.2.1.1. Accommodations for Students:

5.2.1.1.1. Students shall be allowed a minimum of two excused absences each academic year for religious observances required by the faith of the student.

5.2.1.1.2. Students shall provide written notice to the faculty member for the affected class of their request for an excused absence for a religious observance in a reasonable time prior to the date of the observance. If a faculty member determines a specific minimum period of prior notice to be reasonable with regard to a class for purposes of complying with this requirement, he or she should communicate that to the students in the class.

5.2.1.1.3. Students shall be given the opportunity to make up tests and other work missed due to such an excused absence for a religious observance.

5.2.1.2. Accommodations for Employees:

5.2.1.2.1. Employees shall request religious accommodations from their supervisor in writing at least, if possible, 30 days in advance of the desired accommodation. The employee and supervisor should cooperate to determine whether a reasonable accommodation can be granted. If requested, the employee should provide documentation to support the request.

5.2.1.2.2. Supervisors may contact Human Resources Employee Relations or the Office for Equity and Diversity for assistance with employee requests for religious accommodations.

5.3. Complaints Relative to Accommodations

5.3.1. Members of the University community who have concerns about the adequacy of accommodations or wishing to file a complaint, may follow the resolution procedures outlined in University regulations (specifically, the Regulation on Responding to Complaints of Prohibited Discrimination, Harassment and/or Related Retaliation). Information about filing a complaint may be obtained from the Office for Equity and Diversity.

6. Sex Discrimination Prohibited

6.1. ECU is required by Title IX of the Education Amendments of 1972 not to discriminate on the basis of sex in its education programs and activities.

6.2. Sexual and Gender-Based Harassment, as defined in section 4.2, above, Sexual Violence, including sexual assault and sexual battery, and Sexual Exploitation as those terms are defined in University Regulations (specifically, the Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence) are all forms of sex discrimination.

6.3. Questions regarding Title IX may be addressed to Ms. LaKesha Alston Forbes, Title IX Coordinator, in the Office for Equity and Diversity; the Dean of Students Office; the Office of Student Rights and Responsibilities; the ECU Police Department; and/or to the U.S. Department of Education's Office for Civil Rights.

6.4. The Title IX Coordinator may be reached in the Office for Equity and Diversity, Old Cafeteria Building Suite G-406, phone (252) 328-6804, or email oed@ecu.edu.

6.5. Additional information regarding the University's obligations and procedures for responding to conduct prohibited by Title IX may be found in University regulations (specifically, the Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence).

7. Obligation to Review or Investigate Prohibited Conduct

7.1. If the Office for Equity and Diversity becomes aware of any information or concerns related to prohibited discrimination, harassment, and/or related retaliation, the Office for Equity and Diversity will address with an informal review or formal investigation of those concerns.

8. Office for Equity and Diversity Complaint Resolution Procedures for Formal Complaints of University Prohibited Harassment or Discrimination and/or Related Retaliation

8.1. An individual should follow the complaint/resolution procedures outlined in University regulations (specifically, the Regulation on Responding to Complaints of Prohibited Discrimination, Harassment and/or Related Retaliation) if he or she is alleging discrimination, harassment and/or related retaliation, as defined in this policy, based on any of the following protected classes: race/ethnicity, color, genetic information, national origin, religion, sex (*including* pregnancy and pregnancy related conditions and sexual harassment and sexual violence), gender identity, sexual orientation, age, disability, political affiliation, or veteran status. Additional investigation principles will be applied for complaints of sexual harassment and sexual violence and are outlined in University regulations (specifically, the Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence).

8.2. The Office for Equity and Diversity will consult with and answer questions from individuals about specific procedural matters upon request.

9. East Carolina University Statement of Nondiscrimination

9.1. The following statement should be used in the University's academic catalogues, contracts, and applications for admission and employment:

9.1.1. East Carolina University prohibits unlawful discrimination based on the following protected classes: race/ethnicity, color, genetic information, national origin, religion, sex (including pregnancy and pregnancy related conditions), sexual orientation, gender identity, age, disability, political affiliation, and veteran status.

9.2. Any flyers, brochures, posters, or advertisements concerning a University activity or event that is open to the public must include the following statement:

9.2.1. Individuals requesting accommodation under the Americans with Disabilities Act (ADA) should contact the Department for Disability Support Services at least 48 hours prior to the event at (252) 737-1016 (voice/TTY).



Audit, Risk Management, Compliance, and Ethics Committee

April 2, 2020

Agenda Item: IV. A. Information on OSA IT Controls Audit

Responsible Person: Wayne Poole
Director of Internal Audit

Action Requested: Information

Notes:



Audit, Risk Management, Compliance, and Ethics Committee

April 2, 2020

Agenda Item: IV. B. Review of Recent Audit Reports

Responsible Person: Wayne Poole
Director of Internal Audit

Action Requested: Information

Notes:



Audit, Risk Management, Compliance, and Ethics Committee

April 2, 2020

Agenda Item: IV. C. Equal Opportunity & Title IX Compliance

Responsible Person: LaKesha Forbes
Assoc. Provost for Equity & Diversity

Malorie Yeaman
Director of Equal Opportunity & Title IX

Action Requested: Information

Notes:



ECU[®]

2019 Equal Opportunity and Title IX Data

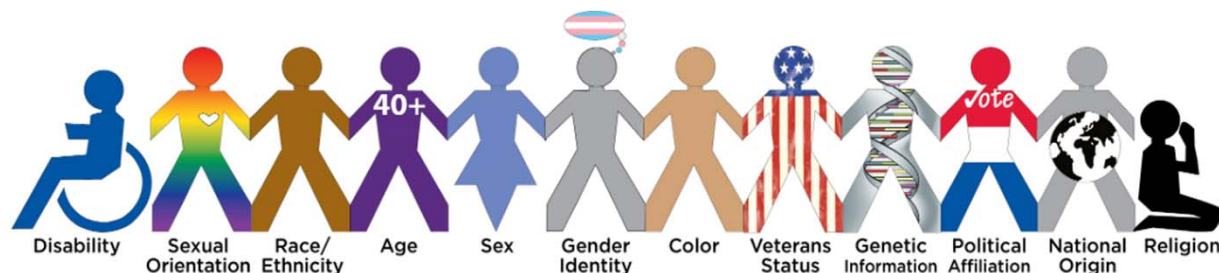
Office for Equity and Diversity

April 2, 2020



The Office for Equity and Diversity

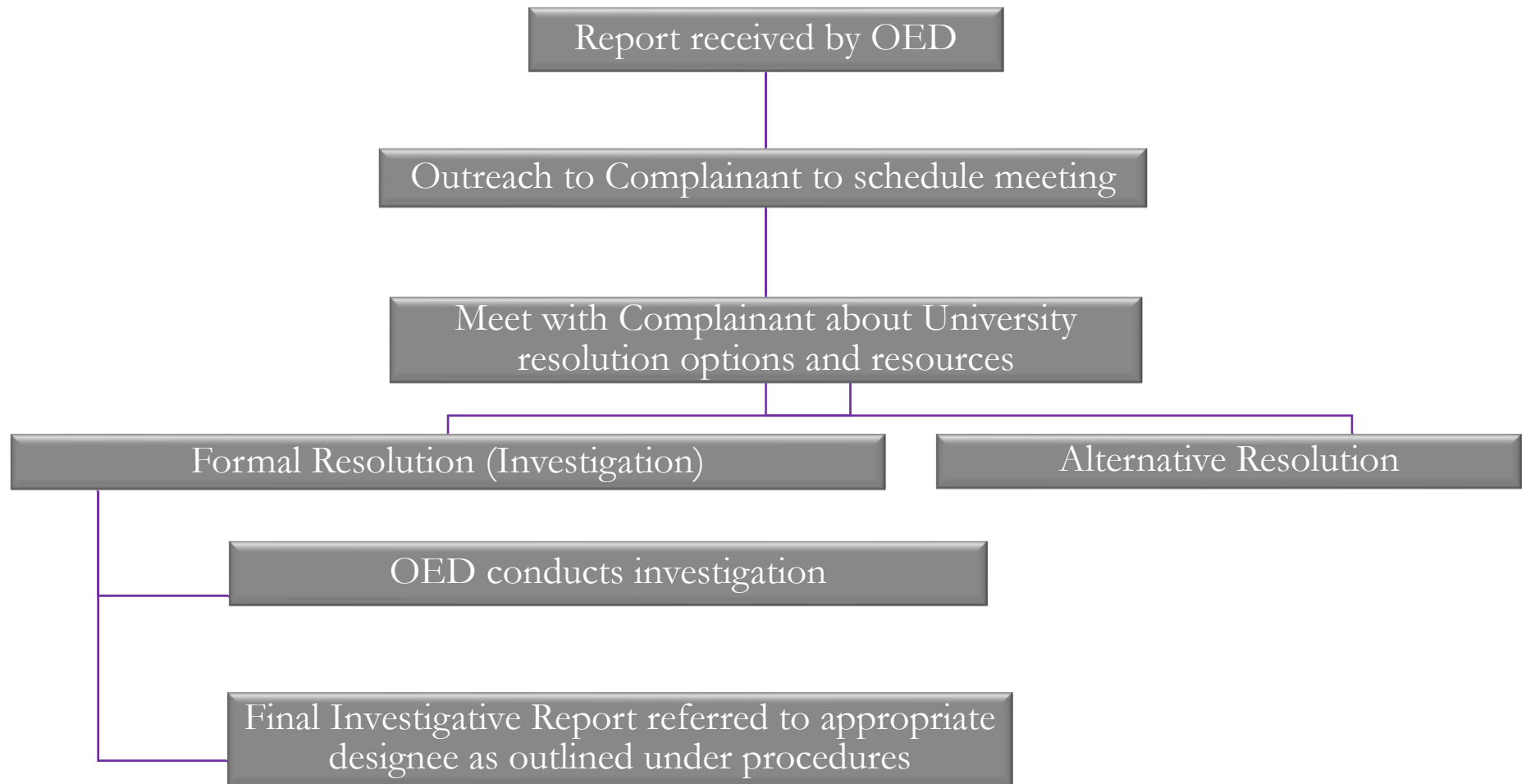
- The Office for Equity and Diversity (OED) provides leadership in the university's efforts to foster a welcoming and inclusive environment for all.
- The scope of the Office for Equity and Diversity encompasses institutional equity and diversity functions involving:
 - education,
 - intervention,
 - compliance,
 - consulting,
 - programming,
 - outreach, and
 - assessment.



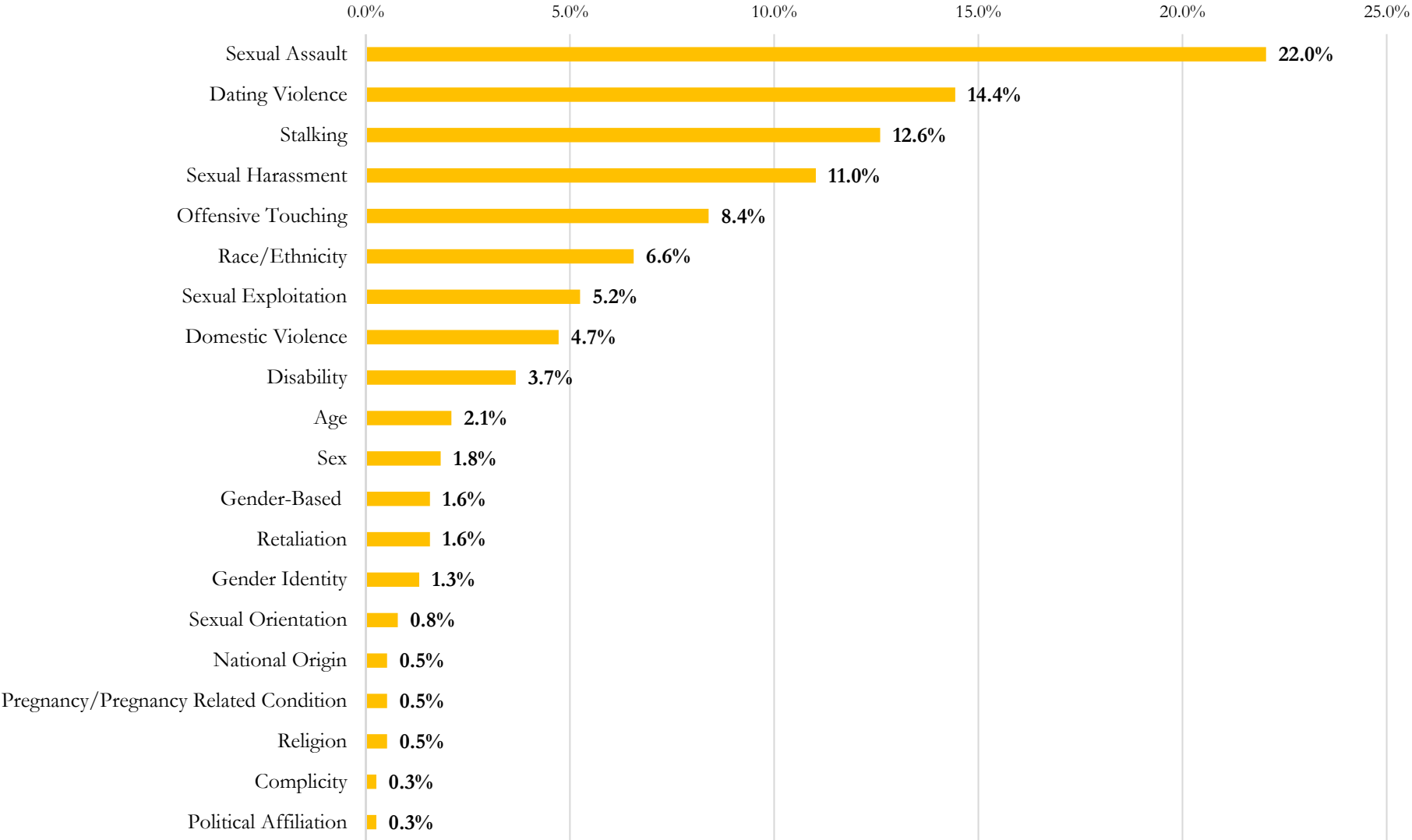
Policies and Regulations

- OED is responsible for the University's *Notice of Nondiscrimination and Affirmative Action Policy* which prohibits discrimination, harassment and related retaliation based on a protected class.
- The University's Protected Classes are:
 - Age
 - Color
 - Disability
 - Genetic Information
 - National Origin
 - Political Affiliation
 - Race/Ethnicity
 - Religion
 - Sex
 - Sexual Orientation
 - Gender Identity
 - Veteran Status
- OED is also responsible for the University's *Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence* which covers "Prohibited Conduct".
- Prohibited Conduct includes:
 - Sexual Assault
 - Offensive Touching
 - Sexual Exploitation
 - Stalking
 - Dating Violence
 - Domestic Violence
 - Sexual Harassment
 - Gender-Based Harassment
 - Complicity
 - Related Retaliation

OED Process

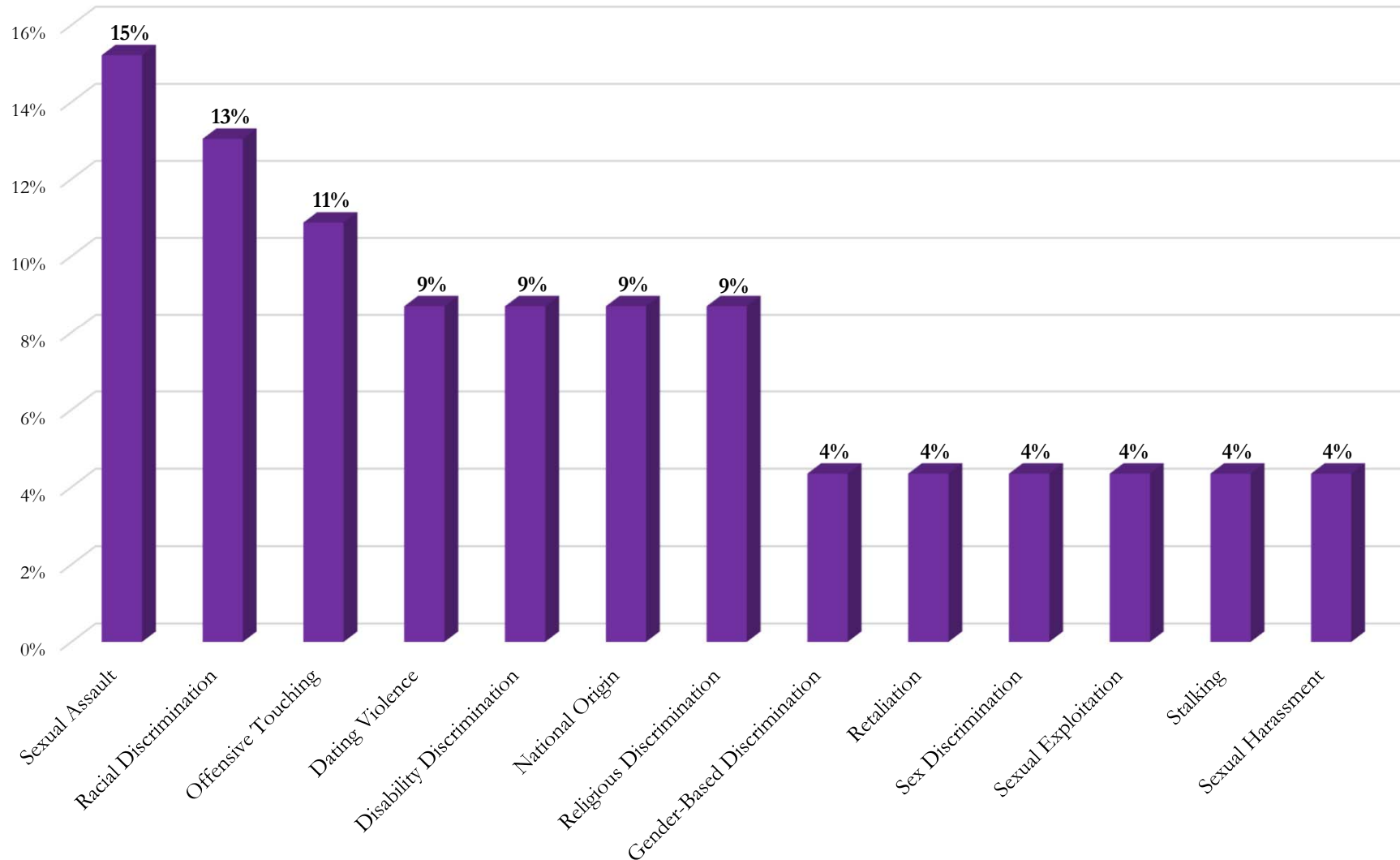


Protected Class & Prohibited Conduct Reported January 1, 2019 – December 31, 2019



*This graph represents all OED reports and includes both student and employee reports.

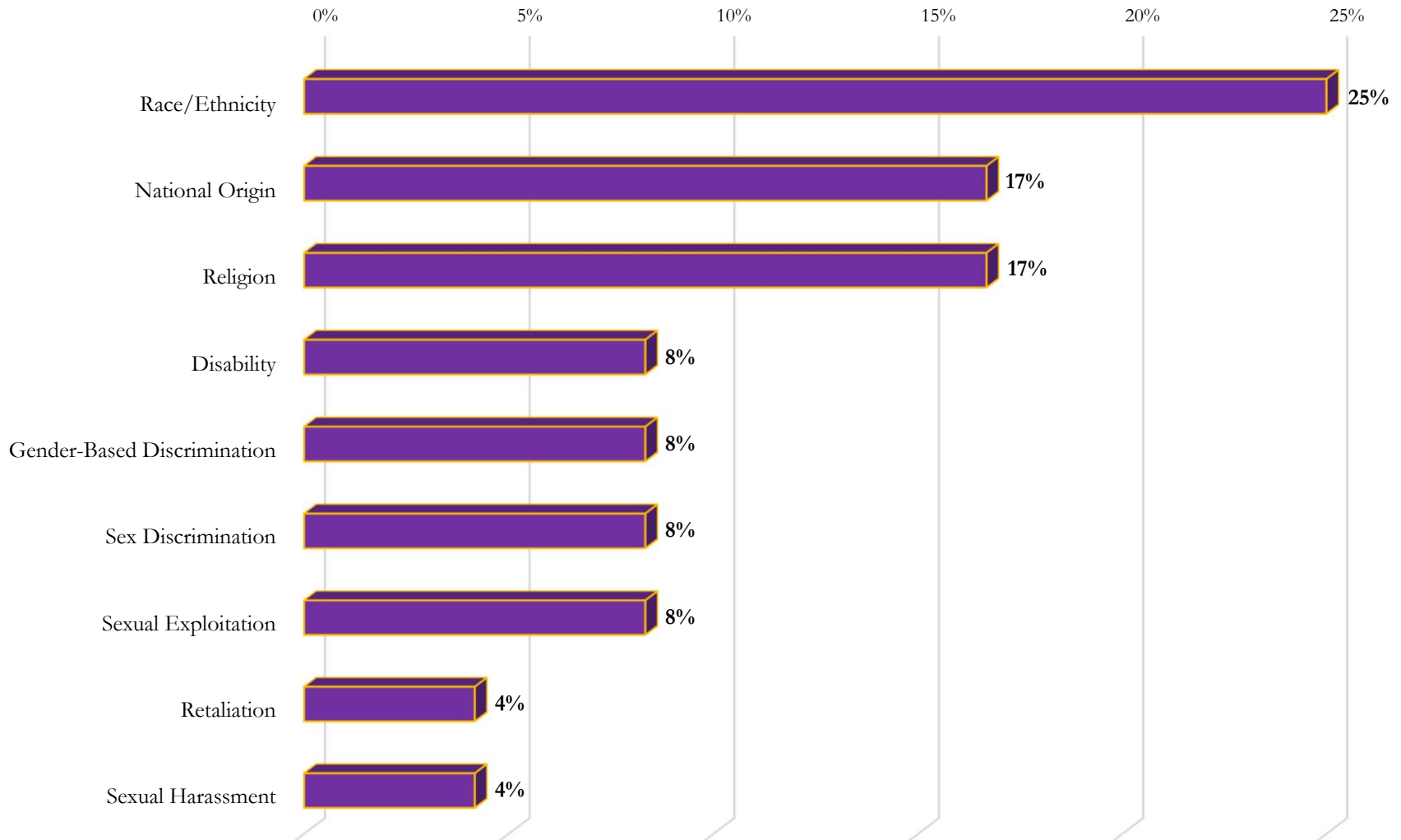
Prohibited Conduct Investigated January 1, 2019 – December 31, 2019



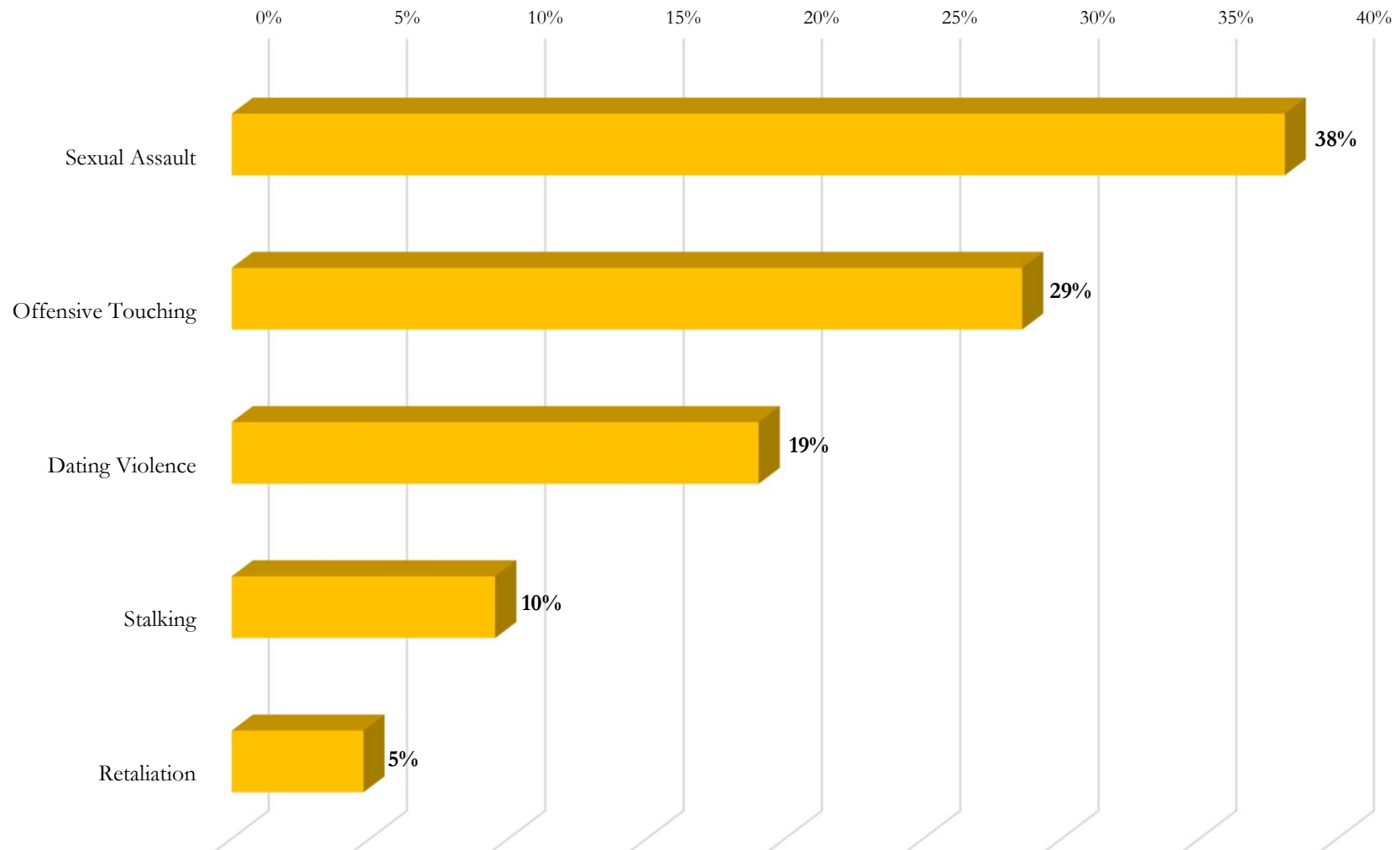
*Investigation Data includes prohibited conduct that was reported in 2018 and investigations commenced in 2019.

**This graph represents all OED reports and includes both student and employee reports.

Prohibited Conduct Investigated - Employee Respondents January 1, 2019 – December 31, 2019

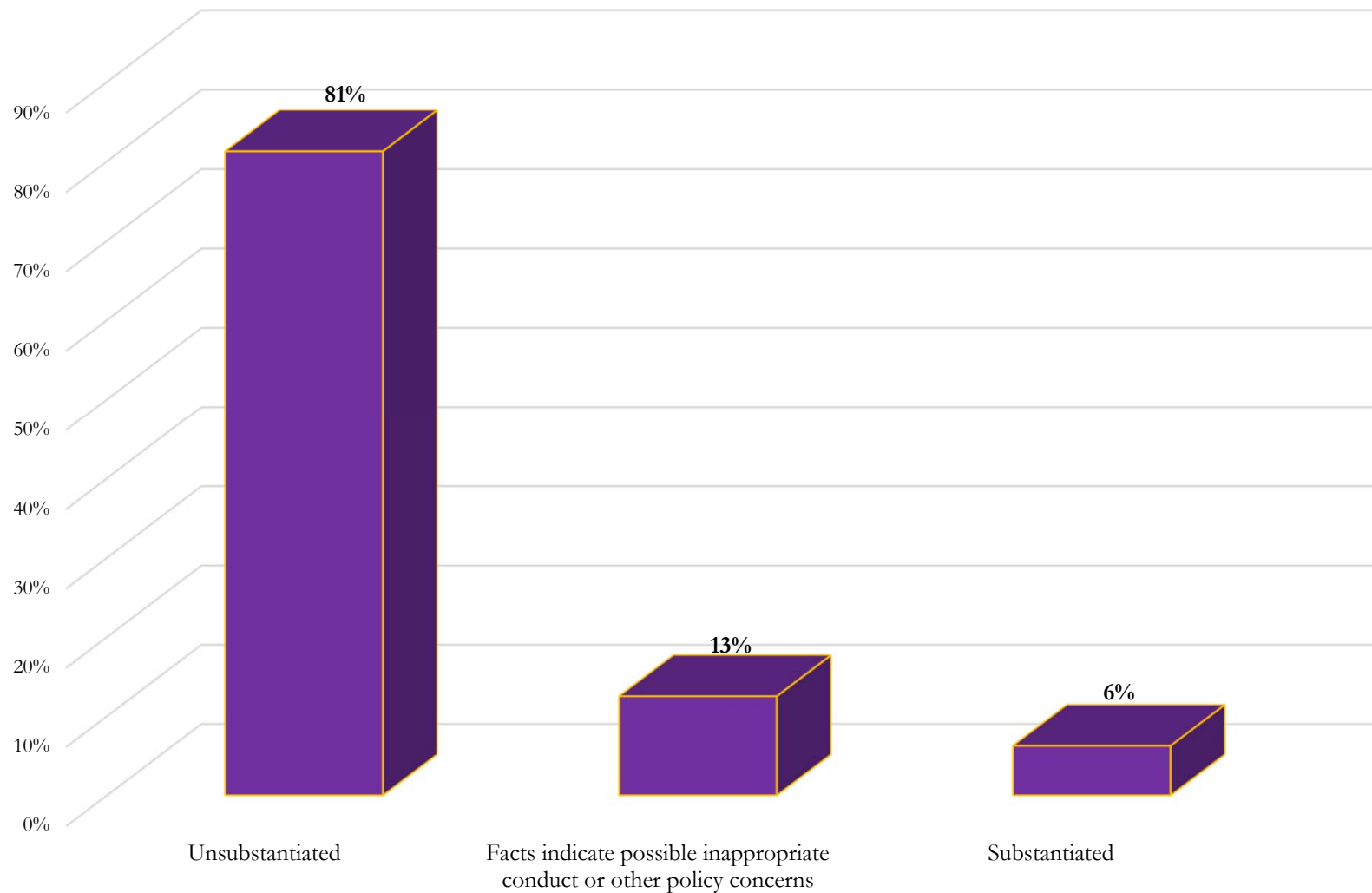


Prohibited Conduct Investigated - Student Respondents January 1, 2019 - December 31, 2019



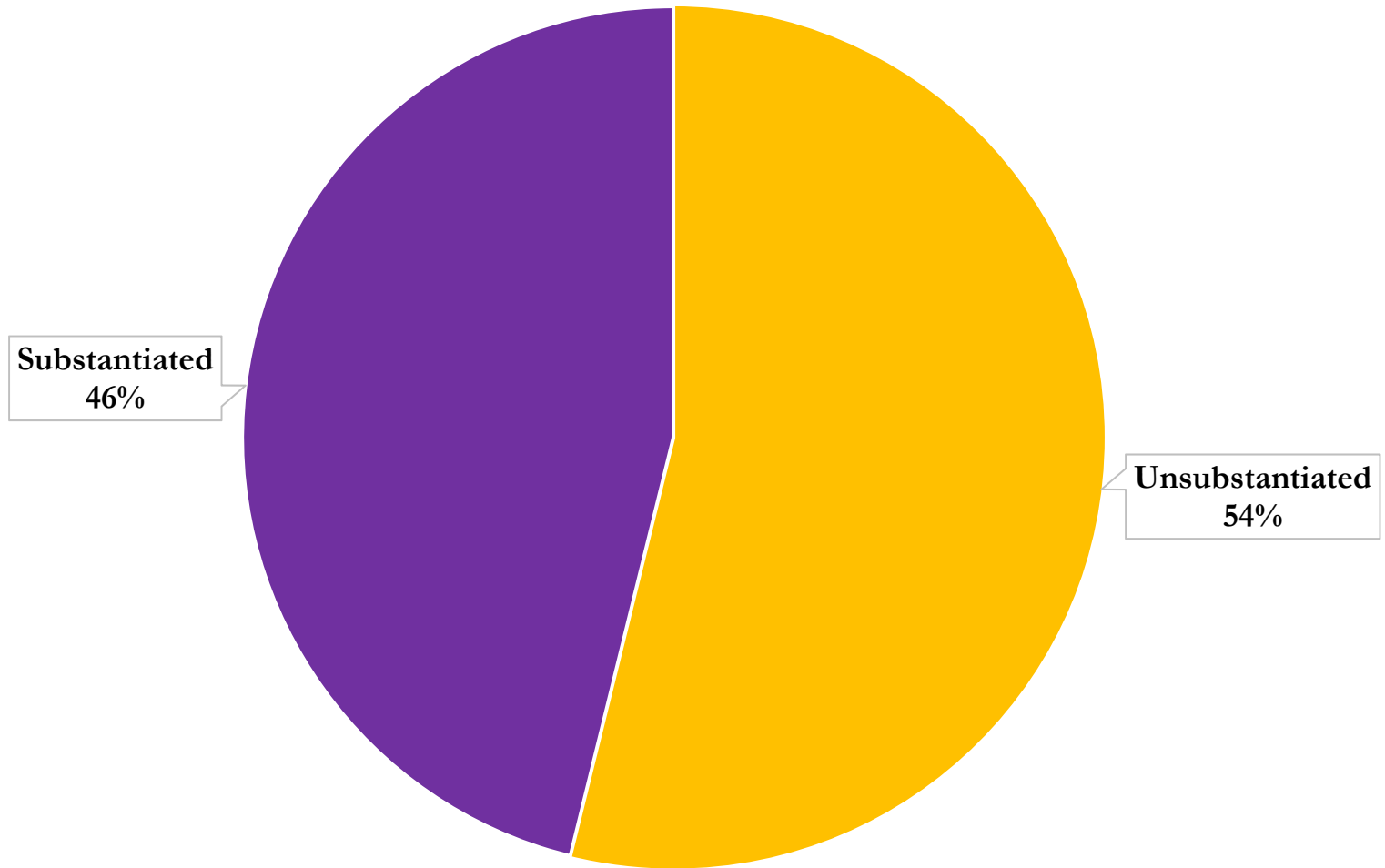
*OED is responsible for investigating allegations against student respondents under the *Regulation on Sexual and Gender-Based Harassment and Other Forms of Interpersonal Violence*; however, the Office for Student Rights and Responsibilities handles allegations against student respondents under the *Notice of Nondiscrimination and Affirmative Action Policy*.

Internal Investigation Findings - Employee Respondents January 1, 2019 – December 31, 2019

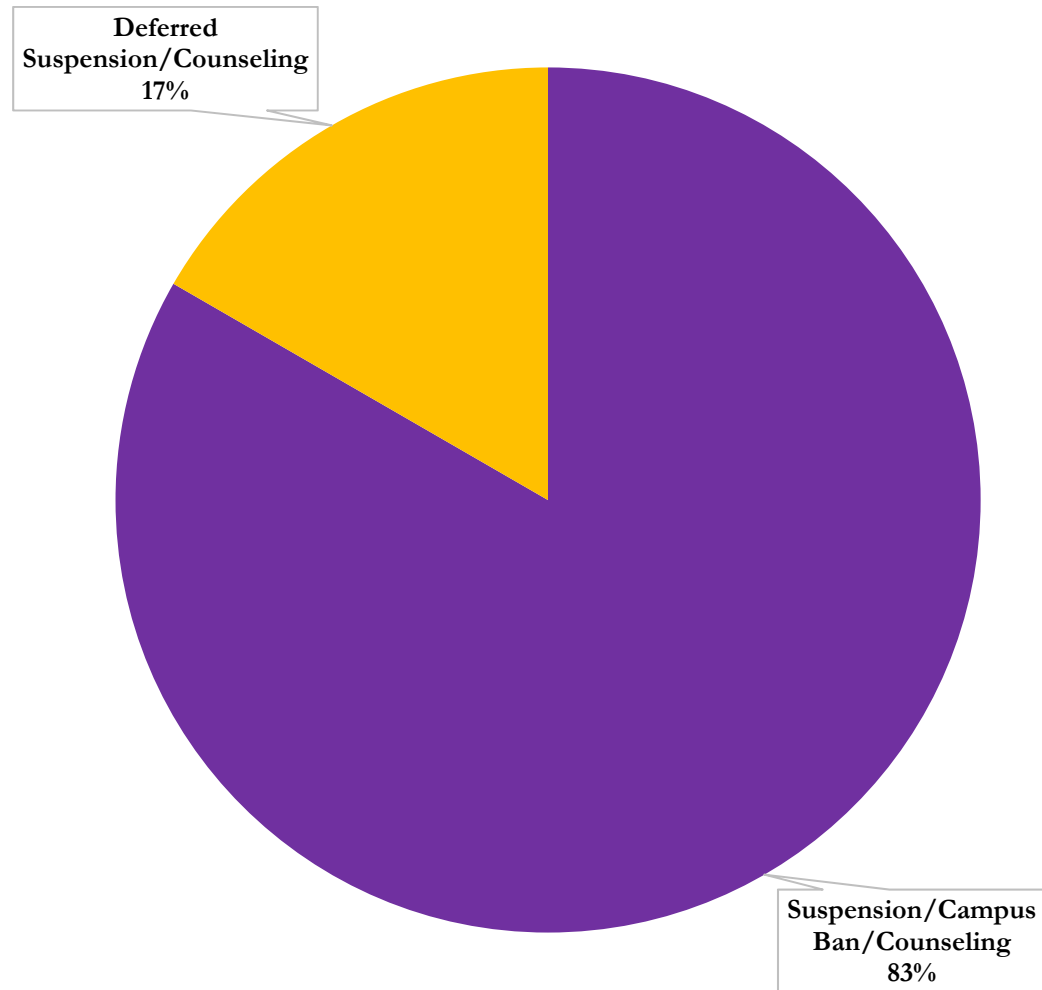


*OED conducts an impartial investigation by conducting interviews and reviewing materials gathered during the investigative process, then makes a finding as to whether or not University policy(cies) have been violated. OED does not determine sanctions.

Internal Investigation Findings - Student Respondents
January 1, 2019 – December 31, 2019



Sanctions - Student Respondents January 1, 2019 – December 31, 2019



*When a student respondent receives a suspension, they are subsequently banned from campus for the duration of the suspension and are also required to complete counseling.

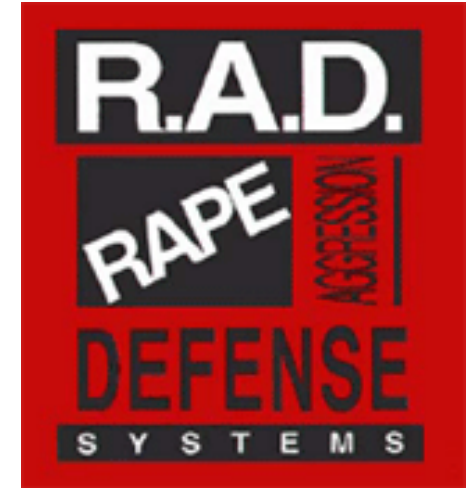
Recent Education Efforts

- OED has partnered across campus to improve education and awareness on reporting incidents of Prohibited Conduct including:
 - Working with Career Services to develop a module for student interns about reporting sexual harassment;
 - Partnering with Global Affairs to educate faculty leading study abroad trips about reporting prohibited conduct while overseas; and
 - Collaborating with Human Resources to inform new employees individually about their Responsible Employee obligations.

Title IX Guidance Update

- At this time, the Department of Education (“DOE”) has not released the new guidance that was proposed in September 2017 which is specific to colleges and universities.
- The DOE did release a new initiative to combat sexual assault in the K-12 setting on February 26, 2020.

ECU Prevention Efforts





Audit, Risk Management, Compliance, and Ethics Committee
April 2, 2020

Agenda Item: V. Other

Responsible Person: Wayne Poole
Director of Internal Audit

Action Requested: Information

Notes:

ERMC Advisory Group and Risk Management Process Owner Matrix
as of May 2019, Updated October 2019
 (Coordination through February 2020)

Risk Area	ERMC Advisory Team	Risk Management Process Owner/Exec	Coordination/Updates with BOT
1. Fiscal Challenges	Chancellor, VCs and Finance	Dr. Thorndike	VC Thorndike briefing at BOT Finance and Facilities, Nov 2019 (and recurring updates at each meeting via KPI tracking and briefings)
2. Declining Undergraduate and Graduate Enrollment in Competitive Market	Strategic Enrollment Plan Implementation Team	Academic Council	Briefings from UG Admissions and Marketing at BOT University Affairs, Nov 2019, Feb 2020 (and recurring via KPI tracking)
3. Athletics Department Financial Challenges, Reputation, and Direction	Chancellor, AD, CFO, Trustees	Mr. Gilbert & Dr. Thorndike	Recurring updates from AD Gilbert at BOT Athletics & Advancement (and recurring via KPI tracking)
4. Retaining and Recruiting Qualified Faculty, Administrators and Staff	Employee Engagement Working Group	Dr. Mitchelson, Dr. Thorndike & Dr. Stacy	Briefing/update from HR, BOT ARMCE, Nov 2019
5. Future of ECU Physicians	Chancellor, Dean of Brody, CFO	Dr. Stacy	Recurring updates from VC Stacy at BOT Health Sciences Committee
6. ECU's Reputation in Large Urban Areas/Competitive Markets	Strategic Enrollment Plan Implementation Team	Academic Council	Briefing from UG Admissions and Marketing at BOT University Affairs, Nov 2019
7. Current and Future Political Environment and Uncertainty	Chancellor, Trustees	Chancellor	BOT Advocacy Committee area of focus
8. Ability to Improve and Sustain BOG and BOT Relations – Leadership Effectiveness/Communication	Chancellor, Trustees	Chancellor	BOT Advocacy Committee area of focus
9. Workforce Succession Planning Adequacy	Employee Engagement Working Group	Dr. Mitchelson, Dr. Thorndike & Dr. Stacy	Briefing/update from HR at BOT ARMCE, Nov 2019
10. Cyber Threats and Cyber Security – Data Systems Exploitation	Don Sweet , Mark Webster, Michelle DeVille, ITCS	Dr. Thorndike & Dr. Stacy	Updates from ITCS at BOT ARMCE, Sept 2019, Nov 2019, Feb 2020

Advisory Groups/Teams may add additional ERMC members or consult with/include subject matter experts from elsewhere on campus outside of the ERMC as needed in order to ensure all relevant information related to a risk area is understood/covered in risk management plans.