

**AGENDA**  
**Audit, Risk Management, Compliance, and Ethics Committee**  
**February 12, 2026**

- I. Approval of Minutes – November 13, 2025
- II. Action Items – Changes to Annual Audit Plan (Mr. Wayne Poole)
- III. Informational Items
  - A. Academic Advising Update (prior audit) (Dr. Allen Guidry)
  - B. Internal Audit Update and Recent Internal Audits (Mr. Wayne Poole)
- IV. Closed Session
- V. Other Business



## AGENDA ITEM

- I. Approval of Minutes ..... Vanessa Workman, Committee Chair

**Situation:** Approval of the minutes from the most recent committee meeting.

**Background:** N/A

**Assessment:** N/A

**Action:** This item requires a vote by the committee.

## DRAFT MINUTES

Thursday, November 13, 2025, at 10:00 a.m.  
Via Videoconference and Panopto Livestream  
ECU Main Campus Student Center, Room 249  
501 E. 10<sup>th</sup> St.  
Greenville, NC 27858

This meeting of the Audit, Risk Management, Compliance, and Ethics Committee was presided over by Committee Chair Vanessa Workman. The following committee members, constituting a quorum, were also present in person: Daniel Walker, Rich Balot, Matt Crisp, Jim Segrave, and Curtis Struyk.

Other Board members present included Chair Cassie Burt, Van Isley, Scott Shook, and Carl Rogers.

ECU leadership present included Chancellor Rogers, Chris Locklear, Stephanie Coleman, Chris Buddo, Brandon Frye, Meagan Kiser, Chris Dyba, and Sharon Paynter.

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### I. Call to Order and Approval of the Open Minutes

Committee Chair Workman called the meeting to order at 10:30am on November 13, 2025. The open session minutes from the October 2, 2025 committee meeting were approved by unanimous consent.

### II. Action Items

The committee had no formal action items at this meeting.

### III.A Research Compliance Update

Ms. Becky Welch, Assistant Vice Chancellor for Research Administration and Compliance, provided an overview of the University's research compliance responsibilities. She shared information about two high-risk compliance areas – the protection of human research subjects, and research security. She shared that the topic of research security and protecting research from foreign influence is currently an area of strong emphasis from federal research sponsors.

### III.B IT and Cybersecurity Update

Chief Information Officer Mr. Zach Loch and Chief Information Security Officer Dr. Mark Webster provided an overview of ECU's Information Security program. They shared that cybersecurity is a top risk across all of higher education and reminded us that UNC System policy requires the Board to receive periodic updates on the topic. Chair Workman requested a briefing on the external consultant security reviews at the February 2026 meeting.

### **III.C External Audit Update**

Chief Audit Officer Mr. Wayne Poole briefed the committee on the status of the annual external audits, including the audits of the financial statements for the University and its affiliated entities. Mr. Poole advised that so far, the financial audits have all resulted in clean opinions and that the external reports are expected to be received in the next few weeks. Mr. Poole briefed the committee on ECU's involvement in the ongoing review of the state's use of federal funds, which includes a review of federal financial aid administered by ECU.

### **III.D Recent Internal Audits**

Mr. Wayne Poole told the committee that the internal audit key performance indicators (audit plan completion, auditor productivity, and management's resolution of audit findings) are all on track for the year to date. Mr. Poole provided a brief overview of three recent internal audit engagements, including a consultation on the University's Research Hubs, the review of Emergency Communications, and the review of Student Athlete Course Clustering for the 2024-25 academic year.

There being no further business and without objection, the meeting was adjourned at 11:17 am.

Submitted by:

Wayne Poole  
Office of Internal Audit and Management Advisory Services



## AGENDA ITEM

- II. Changes to FY 2026 Annual Audit Plan ..... Wayne Poole  
Chief Audit Officer

**Situation:** The University’s annual audit plan, and any significant changes to it, must be approved by this committee.

**Background:** Internal Audit is proposing one removal from the audit plan.

**Assessment:** Earlier this fiscal year, the committee approved adding three engagements to the plan. The proposed removal of one engagement will offset those. Mr. Poole will explain the rationale for choosing the engagement to remove.

**Action:** This item requires a vote by the committee.

East Carolina University  
Office of Internal Audit  
Annual Engagement Plan  
By Type  
FY 2026

Project Description		Budgeted Hours	% of Total	Key Risk	Strategy/Mission	Division
<b>Integrated / Internal Controls / Operational / Performance Audits:</b>						
Travel Expense Analytics Review	WIP	200	1.2%	X		ALL
Web Accessibility Controls	OP	300	1.8%	X		AF, CH
Accounts Payable	OP	400	2.3%	X		AF
Gift Card Purchases and Controls	OP	300	1.8%	X		ALL
Aramark Contract Monitoring	OP	200	1.2%	X		SA
Club Sports	OP	300	1.8%	X	X	SA
Employee Separation Process	OP	300	1.8%	X		AF
SGA Funds Allocation Process	OP	120	0.7%		X	SA
		<b>2120</b>	<b>12.4%</b>			
<b>Compliance Audits:</b>						
Admissions Process Compliance	WIP	40	0.2%	X	X	AA
ProCard Program Compliance (UNC Regulation 1300.7.2)	OP	160	0.9%	X		AF
Emergency Communications (UNC Regulation 1300.7.3)	OP	300	1.8%	X	X	AF, CH
Expense Review for External Sponsor - Climate Grant	OP	300	1.8%	X		AA
Research Security	OP	300	1.8%	X	X	AA
		<b>1100</b>	<b>6.5%</b>			
<b>Information Technology / Data Protection Audits:</b>						
Finance Data and User Access	WIP	200	1.2%	X		AF
Enterprise Apps and Storage Activity Logging	WIP	205	1.2%	X		AF
Teams, OneDrive, Sharepoint Config and Processes	WIP	40	0.2%	X		AF
Copier and Scanner Controls and Contract	OP	300	1.8%	X		AF
Sponsored Programs Data Management Plans	OP	300	1.8%	X	X	AA
End User Data Collection and Signature Applications	OP	300	1.8%	X		ALL
		<b>1345</b>	<b>7.9%</b>			
<b>Investigative Reviews:</b>						
<a href="#">Triage of Allegations, Complaints, Concerns</a>	OP	200	1.2%			ALL
Investigative Reviews - Details not included	OP	1500	8.8%			ALL
		<b>1700</b>	<b>10.0%</b>			
<b>Follow-Up Reviews:</b>						
<a href="#">Action Plan Tracking and Follow-Up</a>	OP	600	3.5%			ALL
Follow-up on Office Space Utilization	OP	120	0.7%	X		AA
Follow-up on Admissions Process Compliance	ADD	100	0.6%	X		AA
Follow-up on Central Reservations Office	ADD	100	0.6%	X		SA
		<b>920</b>	<b>5.4%</b>			
<b>Consultations / Advisory Services</b>						
<a href="#">Routine and Unplanned Consultations</a>	OP	600	3.5%			ALL
<a href="#">Routine Analytics - Accounts Payable Transactions</a>	OP	160	0.9%			ALL
<a href="#">Routine Analytics - ProCard Transactions</a>	OP	160	0.9%			ALL
<a href="#">Routine Analytics - Other</a>	OP	80	0.5%			ALL
<a href="#">University Committees, Workgroups, Education, and Client Relations</a>	OP	400	2.3%			ALL
<a href="#">Regulatory Compliance Committee Support</a>	OP	160	0.9%			ALL
Student Athlete Course Clustering	OP	40	0.2%			AA, AT
Minors on Campus	OP	100	0.6%			AF
Employee Eligibility Processes	CX	100	0.6%			AF
Research Hub Operations	OP	200	1.2%			AA
Athletic Team Policies	OP	200	1.2%			AT
Equality Policy Review of Positions	ADD	100	0.6%			ALL
Personnel Records Practices <i>(changed from Operational audit)</i>	OP	200	1.2%			ALL

OP=Original Plan  
WIP=Work in Progress from prior year  
ADD=Added since July 1  
CX=Cancelled  
PPD=Postponed

East Carolina University  
Office of Internal Audit  
Annual Engagement Plan  
By Type  
FY 2026

Project Description		Budgeted Hours	% of Total	Key Risk	Strategy/Mission	Division
		2500	14.7%			
<b>Special Projects / Risk Assessments / Other:</b>						
External Audits, SBI Reports, Routine Mtgs, BOT Comm	OP	1600	9.4%			ALL
Audit Software Admin and Maintenance	OP	100	0.6%			CH
Annual QAIP Activities	OP	100	0.6%			CH
Risk Assessment/Audit Planning 2026-2027	OP	160	0.9%			ALL
Required IIA External Quality Review (due Mar 2026)	OP	300	1.8%			CH
Fraud Risk Assessment	OP	300	1.8%			ALL
		<b>2560</b>	<b>15.0%</b>			
<b>Total Direct/Chargeable Hours</b>		<b>12245</b>	<b>72%</b>			
Administration		1600	9.4%			NA
Leave/Holiday		2400	14.1%			NA
Professional Development		800	4.7%			NA
<b>Total Indirect Hours:</b>		<b>4800</b>	<b>28%</b>			
<b>Grand Total Hours</b>		<b>17045</b>	<b>100%</b>			

Original Plan Approved by Chancellor Rogers on 04/03/2025

Original Plan Approved by ECU Board of Trustees Audit, Risk Management, Compliance, and Ethics Committee on 04/25/2025

Revisions Approved by ECU Board of Trustees Audit, Risk Management, Compliance, and Ethics Committee on 10/2/2025

Revisions presented to ECU Board of Trustees Audit, Risk Management, Compliance, and Ethics Committee on 2/12/2026

OP=Original Plan  
WIP=Work in Progress from prior year  
ADD=Added since July 1  
CX=Cancelled  
PPD=Postponed

**AGENDA ITEM**

III.A. Academic Advising Update ..... Dr. Allen Guidry  
Associate Provost for Learner Operations

**Situation:** In FY 2024, ECU Internal Audit completed a review of the University’s Academic Advising operations, and its report included several recommendations which University leadership accepted. The Division of Academic Affairs is charged with executing the changes to advising practices to improve service to our students, to implement standardized tools, and share best practices across colleges.

**Background:** This committee periodically receives updates on management’s progress towards implementing significant audit recommendations. Since the original audit, numerous steps have been taken to standardize the advising experience for students across the various colleges and schools. Most recently, the Customer Relationship Management (CRM) system was piloted in three colleges and is being rolled out to others.

**Assessment:** Dr. Guidry and his team will update the committee on the recent improvements to the Academic Advising processes and infrastructure and the next steps in this journey.

**Action:** This item is for information only.

# UPDATE: Advising Audit Progress

Allen Guidry, EdD - Associate Provost for Learner Operations






Angela Anderson - Associate Vice Chancellor of Student Academic Success

Julie Evans – ECU Salesforce Product Owner

February 2026



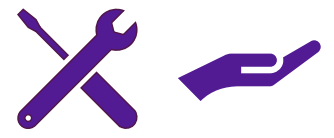
# The recommendations of the audit...

- Consider establishing a centralized office or person to oversee academic advising and/or establish standard procedures and expectations. 
- Develop a clear role and document responsibilities for academic advisors. These expectations should be consistent among all advisors within each of the colleges and communicated with administrators, faculty, advisors, and students. 
- Determine the feasibility of moving towards the use of common systems, tools, and communication methods by advising centers. This could potentially result in cost savings and a more consistent experience for students in the various colleges and schools. 
- Work with college deans and advising directors to evaluate advising loads and the roles and responsibilities of academic advisors to determine whether their advising loads are reasonable to provide adequate advising and attention to their students. This includes revisiting appropriate mix of telework. 
- Determine the criteria for identifying “at-risk” student behaviors and what data is available to identify them in a timely manner. Determine who is responsible for identifying and communicating with these students to determine how the University can support them and encourage their success. 

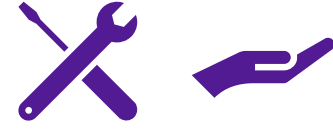
UG Student  
Success Steering  
Committee



Learner 360  
Advising 360



Degree Works  
Planner



Operational

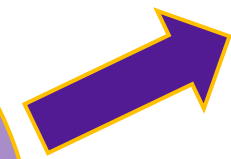
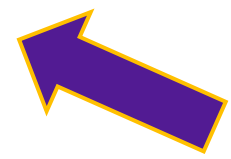
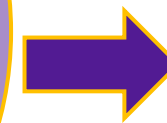
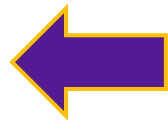
Professional

Relational

Advising Load  
analysis



Advising  
syllabus



# Advising syllabus – launched

- Launched for UG students at start of Fall 2025
  - Deployed to around 25,000 UG students
  - Around 17,000 read
  - Around 3000 acknowledged reading
- Shared at advisor trainings
  - Embedded in orientation presentations by some advising centers
  - Shared by individual advisors
- Next steps
  - Embed link directly in Learner 360 portal
  - Campaign to drive up number acknowledging reading

# Academic Advising Standard Operating Procedures (SOP) - implemented

- Purpose: To develop a standard set of procedures for academic advising functions across campus, regardless of the student's academic pathway
  - SOP version 1.0 – approved by the Advising Standardization Commission and implemented December 2025, following socialization and receipt of feedback from Academic Advising Directors via their November meeting.
  - Academic Advising Directors shared the SOP with the advisors within their group.

# Advising SOP 1.0

- Referring to the SOP as version 1.0 as this is a living document, that will be revised to add additional function standardizations and as new systems are implemented, the need to expand and enhance these will continue
- Items included in version 1.0
  - Date of and the process of assignment of incoming students' academic advisors to ensure consistent message and connection with an advisor
  - Procedures to assign and remove advisors based on change of major, graduation or non-enrollment
  - Usage of Degree Works plans for First-Year, New Transfer and Continuing Students
  - Advising Syllabus
  - Pirate360 – appointments, notes and tasks

# Advising SOP (Future versions)

- Items already identified to be added to the next version of the SOP include:
  - Workforce related items (Advising enterprise wide):
    - Timing of appointments to facilitate occurrence prior to when a student can register for future terms
    - Walk In Advising Appointments
    - Advisee to Advisor Ratios
    - Director Advising loads
    - Titles and career progression ladder
    - Faculty advising roles
  - Support requests within Advising360 (SOP developed January 2026)
  - PIER information for incoming first-year students and major exploration prior to Pirates Aboard
  - Centralized and center-specific communications plans within Pirate360, with calendars for messages from advising.

# Degree Works Plans - implementing

- The Degree Works Plan is a tool that students and advisors can use to map out a clear pathway for timely degree completion. Plans show students the required courses within their program(s) and a recommended timeline of when they should be completed. It is also a valuable tool for institutional course planning.
- SOP: By completion of a student's first semester at ECU, each student will have a Degree Works plan for at least two academic years or to graduation, whichever occurs first and more closely aligns with the student's situation. Each student will have their forthcoming two years planned in Degree Works at the conclusion of each semester.
- SOP: Academic advisors will update the degree works plan each semester, as part of the academic advising meeting/interactions with a student, and will have each student's forthcoming two years (or the plan to graduation) planned in Degree Works at the conclusion of each semester.

# DW Plans comparative usage since adoption of SOP

## Fall 2024 cohort plans in place

- Spring 2026 - 899
- Summer 2026 - 207
- Fall 2026 - 586
- Spring 2027 - 468

## Fall 2025 cohort plans in place

- Spring 2026 - 2369
- Summer 2026 - 348
- Fall 2026 - 1758
- Spring 2027 - 1632



# PIRATE

## 360

ECU's Customer Relations  
Management Solution for  
Student Success

# Reminder: Platform & Interface Overview

**Pirate360** – ECU’s CRM platform supporting the learner journey, integrating interfaces for advising, experiential learning, and the student-facing learner portal.

**Advising360** – Advisor-facing interface for student records, scheduling, appointment management, documentation, tasks, deep-linked resources, and more.

**Experiential Learning360** – Coordinator-facing interface for managing experiential learning activities, supporting documentation, tracking, approvals, and compliance reporting for institutional requirements.

**Learner360** – Student-facing portal for scheduling, submitting support requests, and accessing key academic resources.

# Pirate360 Implementation Timeline



2025 Q1      2025 Q2      2025 Q3      2025 Q4      2026 Q1

Feb    March    April    May    June    July    August    Sept    Oct    Nov    Dec    Jan    Feb    March



2/12 Project Kick-off



9/3 Advisor Soft Launch    9/10 Learner Soft Launch



2/3 Advisor Campus-Wide Go-Live    2/10 Learner Campus-Wide Go-Live & Support Requests

**Discovery**

- Design, Build, QA  
- Banner Integration (MuleSoft)  
Build & QA

User Acceptance Testing and Deployment

Training

**Extension Phase**

- Enhancements
- Support Requests Build
- User Acceptance Testing
- Regular releases to PROD

# Success Stories - Advising360

In their own words....Testimonials/quotes from Soft Launch participants

- “Having deep links, being able to document notes and see other notes advisors have written.”
- “Notes after student interactions and not sifting through emails looking for information”
- “1. Having access to Degree Works and Student Information from one place.”
- “2. Being able to see previous programs without searching for it”
- “3. The ability to be able to see holds on the account that prevent registration”
- “All in one place accessibility”
- “What’s nice is... I like the efficiency... I was able to see what they talked about... It made for a better experience for the student and for the advisors.”
- “I love covering my bases... one thing [in Pirate360] gets it to them multiple ways... a notification, in their email, and in Learner360.”
- “I like that... if I put a note on their case, then another advisor will be able to see [it] later on.”

# Foundational Benefits

## Advising 360 and Learner 360

- It finally gives us a way to **see and track advising touchpoints**, creating a clear picture of how, when, and where learners are engaging with support—something we haven't been able to quantify before.
- It establishes the foundation for a **system that can grow with us**, offering the flexibility and capacity to support richer features, smarter workflows, and expanded capabilities as our needs evolve.
- It introduces a standardized way to capture, organize, and compare advising activity, helping us **move from fragmented processes to consistent, campus-wide practices** that support better decision-making.
- It provides a **single, reliable place for learners to ask questions and request help**, reducing confusion, improving response quality, and helping teams work more efficiently together.
- It builds a **holistic hub for learner engagement and support**, adaptable to departments and functional areas, and designed to scale as we deepen our understanding of how to monitor, predict, and respond to student needs over time.

# Advising360 - Initial KPIs ecuBIC Dashboards

## **Dashboard:** Student Active/Engaged Usage

- Student Feature Usage
- Student Appointment Behavior
- Advising Modality vs Program Type

## **Dashboard:** Advisor Active/Engaged Usage

- Advisor Feature Usage
- Advisor Under-Utilization
- Advisor Behavioral Patterns
- Advisor Responsiveness
- Advisor Modality Preference

**AGENDA ITEM**

III.B. Recent Internal Audits ..... Wayne Poole  
Chief Audit Officer

**Situation:** The committee receives a briefing at each meeting on selected internal audit engagements that have been closed and on overall internal audit activity for the year to date.

**Background:** Committee Chair Workman selected the engagements to be discussed at this meeting.

**Assessment:** Mr. Poole will present background and results of the selected engagements. Members of University management will also be present to answer questions about the status of resolving any audit recommendations.

**Action:** This item is for information only.

# **Board of Trustees**

**Audit, Risk Management, Compliance, and  
Ethics Committee**

**Internal Audit Update**

**February 2026**

# Audit-Related KPIs

## Audit Plan Completion

Annual Target:  $\geq 80\%$

YTD as of Jan 31: Target 46.5%; Actual: **50.6%**

## Auditor Productivity

Target  $\geq 75\%$

YTD as of Jan 31: **73.8%**

## Management's Resolution of Recommendations

Target  $\geq 95\%$

YTD as of Jan 31: **100%** (40 action plans closed this FY)

**AGENDA ITEM**

IV. Closed Session ..... Vanessa Workman  
Committee Chair

**Situation:** This committee receives updates on specific audits, compliance, and other related topics that are not a matter of public record in accordance with applicable North Carolina General Statutes.

**Background:** The committee does need to receive updates on some non-public matters at this meeting.

**Assessment:** The committee will move into closed session

1. To prevent the disclosure of confidential information under NCGS:
  - §126-22 to §126-30 (personnel information);
  - §116-40.7 (UNC Internal Audit information);
  - §132 – 1.7 (Sensitive public security information);
  - §143-748 (Internal Audit work papers for state agencies); and
2. To consult with an attorney to preserve the attorney-client privilege between the attorney and the Committee.

**Action:** This item is for discussion only.



**AGENDA ITEM**

V. Other Business..... Vanessa Workman  
Committee Chair

**Situation:** This agenda item is for any other business deemed necessary by the committee.

**Background:** This committee members will suggest any other items needing discussion.

**Assessment:** The committee will discuss the relevant issues.

**Action:** This item is for discussion only.