



NC STATE

THINK AND DO
THE EXTRAORDINARY

Administrative Leadership Meeting

Randy Woodson
Chancellor

Tuesday, May 14, 2024

Upcoming ALMs

Next Meeting

July 9

Extension and University
Engagement Overview

Titmus

2024-25 Meeting Dates

- September 10, 2024
- November 12, 2024
- January 7, 2025
- March 4, 2025
- May 13, 2025

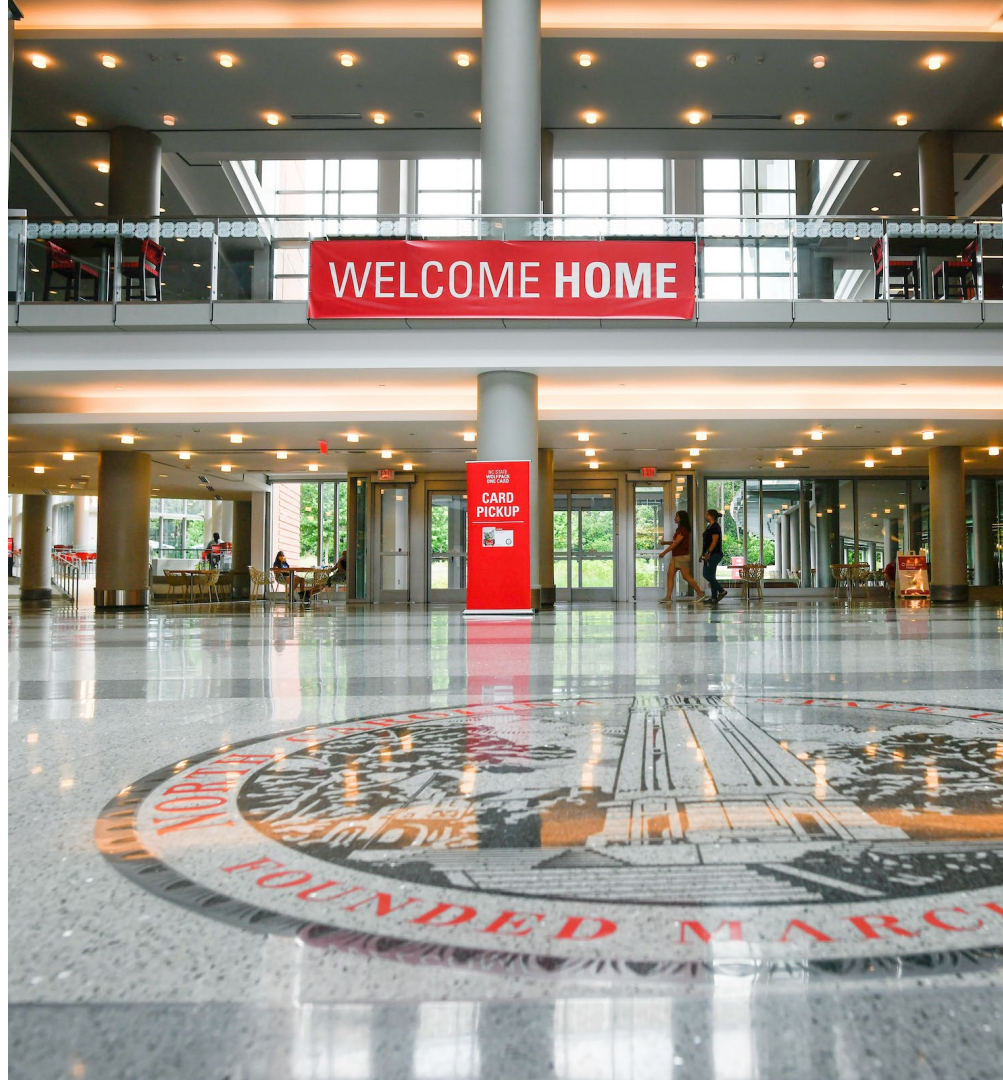


Commencement

- Almost 7,000 degrees were conferred
- Dr. Jim Owens received an Honorary Doctor of Humane Letters
- Dr. David MacMillan received an Honorary Doctor of Sciences and served as commencement speaker

Undergraduate Enrollment Update

- More than 5,600 students in the incoming undergraduate class
- Over 1,400 new transfer students in fall 2025



2024 Enterprise Risk Management (ERM) and Institutional Compliance Update

ALM

May 14, 2024

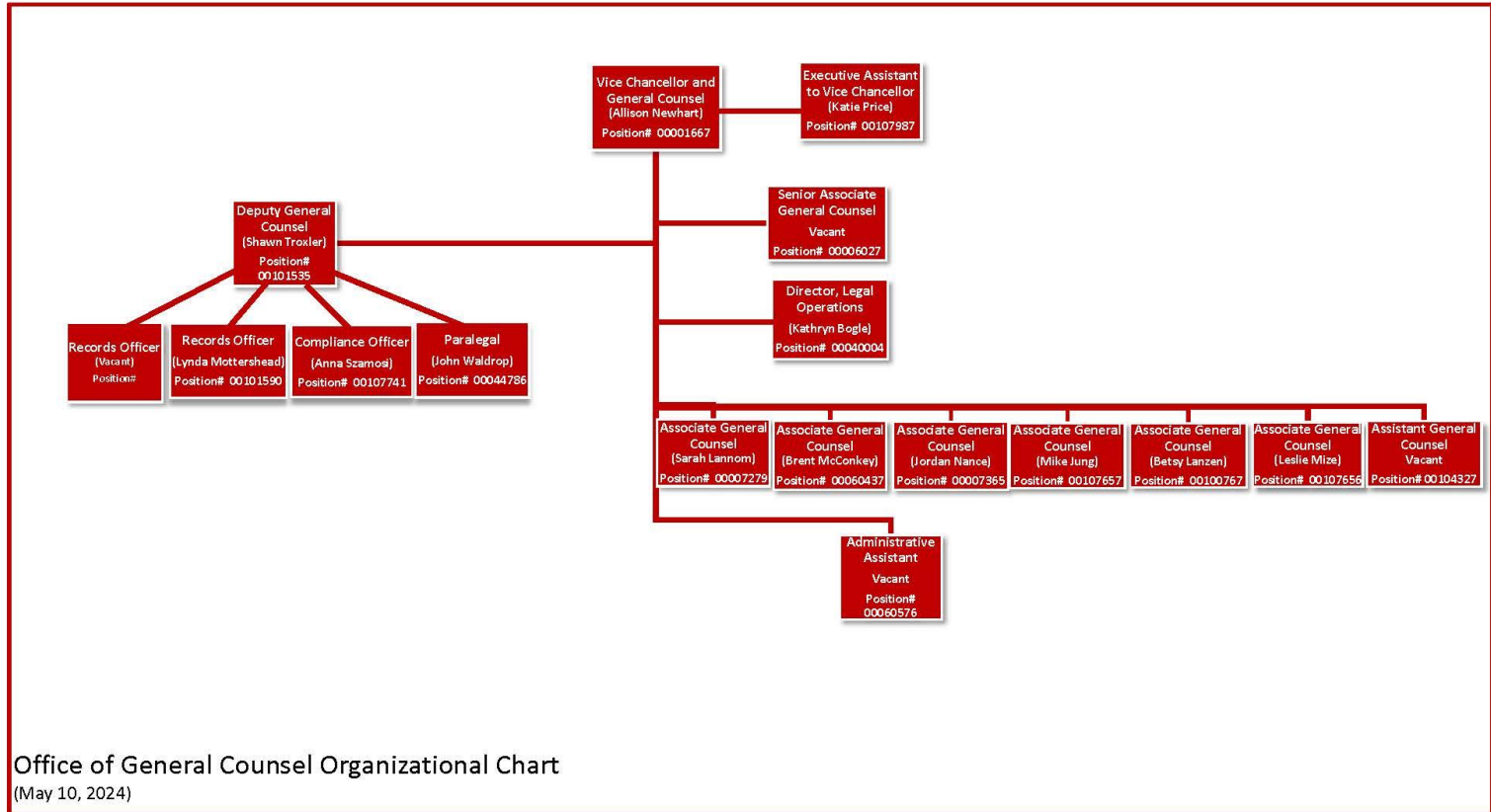
Allison B. Newhart, Vice Chancellor and General Counsel

NC State Office of General Counsel

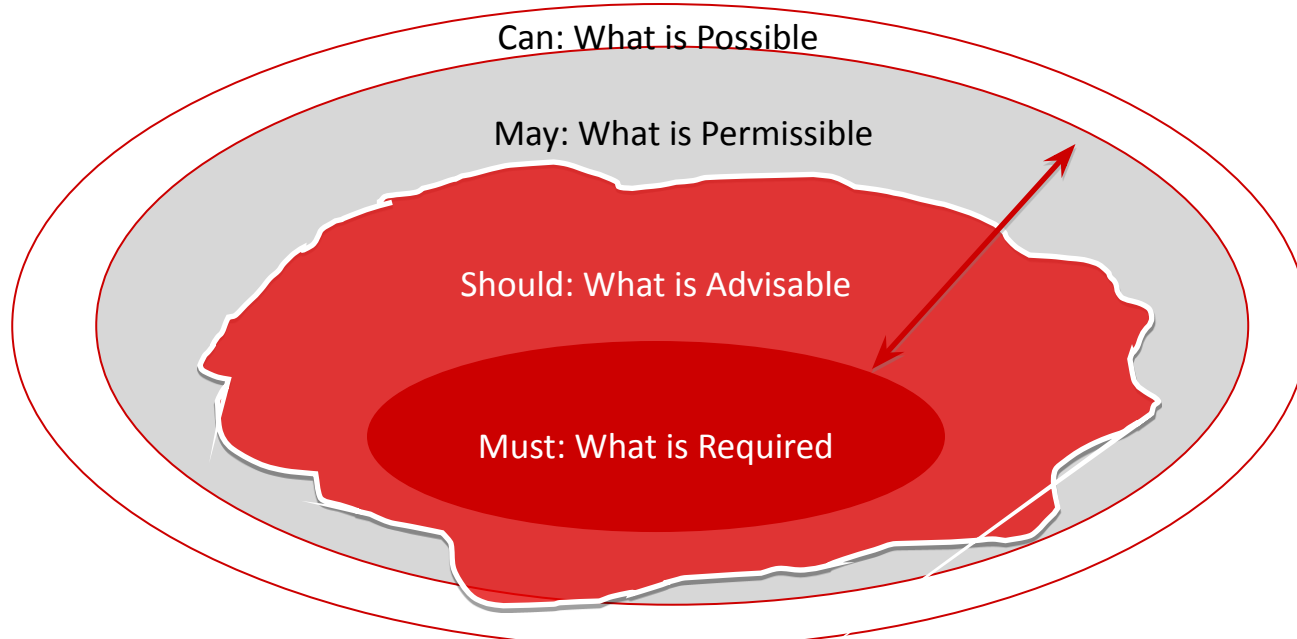


- Mission-oriented legal advice and strategic counsel
- University's legal representative
- Oversee, coordinate, and facilitate compliance
- Enterprise risk management
- Advisors, not decision-makers
- Work with all colleges and units
- Coordinators/collaborators/mediators
- We make house (and zoom) calls

OGC Organizational Chart



How OGC Helps in Decision-Making



UNC Policy 1300.7: Institutions required to establish an enterprise risk management process that aligns with the institution's strategic and other goals.

Enterprise Risk Management at NC State

Risk = The effect of uncertainty on objectives (ISO 31000). ERM focuses on strategic risks.

- Chancellor's Cabinet is responsible for the oversight of the ERM process.
 - Information gathered from university leaders and units about existing and emerging risks
 - Risk Register: Key themes and summary
 - List of top 10 enterprise risks and rating of risks
 - Cabinet members are assigned as the "owners" of the identified top risks.
- The list of top risks is shared with the Board of Trustees and Board of Governors.
- For each risk: Monitor, mitigate, and follow up (ongoing)

Top 10 Risks for 2024

Rank #	Risk Area	Risk Description
1	Student Well-Being	Insufficient resources to entirely address the volume and severity of increasingly prevalent student wellbeing and mental health concerns may adversely impact student success.
2	Enrollment	Limited available resources (human, financial, and space) necessary to support enrollment growth and expansion may adversely impact key performance metrics designed to measure student success. Potential for impact on attainment of strategic direction and planning (i.e., engineering expansion) and potential financial impact. Declining enrollment for underrepresented and international students, and increased competition from online and corporate providers may result in a decline in tuition receipts and diverse student demographic.
3	Financial Resources	Inadequate financial resources, and/or failure to strategically apply available financial resources, may hinder ability to advance and realize goals outlined in the strategic plan.
4	Succession Planning	Succession planning to manage potential transitions in leadership and key faculty/staff positions, need to maintain knowledge and minimize impact to critical processes, compliance, and attainment of strategic objectives; limitations on hiring and promoting from within and career/promotion tracks adversely impact attainment of strategic objectives, critical processes, and compliance.
5	Mission Continuity	Disruptions caused by unforeseen internal or external forces may negatively impact institutional operations and/or the ability to implement the objectives in the strategic plan.
6	Facilities Maintenance & Environmental Health	Insufficient funding to invest in maintenance and repair of core facilities may impact safety and competitive position. Challenges impacting environmental health and safety.
7	Research	Disruption in F&A growth, flexibility, and use; insufficient growth in research talent; inadequate growth/maintenance of core research facilities; and increasing compliance obligations all challenge strategic directions of the university's research enterprise.
8	IT Infrastructure and Security	Inability to maintain and enhance IT infrastructure and IT security resources will hinder organizational effectiveness, efficiency, and opportunities for innovation, and may also result in failure to meet strategic directions and compliance obligations.
9	Faculty and Staff Support	Labor shortages, limitations on hiring, compensation, and benefits, competition for talent, and the growth in local industry has led to unprecedented challenges in hiring and retaining exceptional and diverse faculty and staff. Support of faculty and staff to accomplish their job (increased complexity, need for uniform automation, etc.).
10	Campus Unrest/Controversial Events	Large scale protest or civil disobedience may result in campus disruption, violent confrontations and perception of free speech restrictions.

Differences between 2023 & 2024

2023 Top 10 Risks	
1	Student Well-Being
2	Faculty and Staff Recruitment and Retention
3	Enrollment Growth and Expansion
4	Diversity, Equity and inclusion
5	IT Infrastructure and Security
6	Research
7	Regulatory Compliance
8	Succession Management
9	Financial Resources
10	Mission Continuity

Top 10 Risks from 2024 ERM Survey	
1	Student Wellbeing
2	Enrollment*
3	Financial Resources
4	Succession Planning
5	Mission Continuity
6	Facilities Maintenance & Environmental Health*
7	Research
8	IT Infrastructure & Security
9	Faculty and Staff Support*
10	Campus Unrest/ Controversial Events
...	
12	Diversity, Equity, & Inclusion
...	
16	Regulatory Compliance

Next Steps

- Risk owners: Continue to focus on plans to monitor, manage, mitigate, and follow up on each risk.
 - Ongoing actions, initiatives, and focus areas
- Report top 5 risks to the BOG in June 2024
 - Categorize into one of the following categories:
 - Financial
 - Health & Safety
 - Legal
 - Regulatory & Compliance
 - Operational, Reputational, Strategic
 - Other
 - Score the top 5 risks using the metrics of Probability, Impact, and Urgency.
- Unit risk assessments ongoing and underway; data will feed into management of enterprise risks

Monitor, Mitigate, and Follow up

Regulatory Compliance

Ongoing actions:

- Comprehensive review of Compliance Program, including revision of charter, review of governance structure, and annual goal setting and reporting;
- Compliance area risk assessments;
- Overall university legal risk assessment and prioritization exercise;
- Comprehensive compliance risk assessment and prioritization exercise; and
- PRR Review Project

Top Legal Issues

Rank #	Risk Area	Risk Description
1	Regulatory Compliance	Federal regulatory compliance, FERPA, Research compliance, Dept of Ed/Title IV, VI, etc., Immigration
2	Title IX	Lawsuits, Pregnancy, State laws, LGBTQ, Athletics, Conduct/Disciplinary process
3	Privacy/Data Security	Public records, GDPR, PIPL, HIPAA, State law
4	Real Estate and Transactions	Private use/research contracts,Tax risk, Authority to sign, Decentralization, Contract administration
5	HR/Employment	Litigation,Remote work location – out of state and global work, Volunteers, Hiring/retention/recruitment –people aren't filling positions; not enough people to do the work; knowledge gaps
6	First Amendment	All 5 Freedoms (religion, speech, assembly, expression, petition the govt, press), Lawsuits
7	Associated Entities	Operation, Use, Records
8	Campus Health and Safety	Threat Assessment – mental health , litigation, etc.; Student org, Student Athlete Health and Safety – Injuries; Workers Comp/Lab Safety/Third Parties
9	Athletics	NIL, NCAA compliance, litigation, coaches, student athlete status
10	DEI	Admissions, Intersection Between Goals and Compliance, State laws, Antidiscrimination Laws/Precedent

Compliance and Integrity Program

<https://compliance.ncsu.edu/>

Compliance and Integrity Program

[Home](#)[Compliance](#)[Integrity](#)[Reporting](#)[Training](#)[Toolkit](#)[Resources](#)[Newsletter](#)[Contact](#)

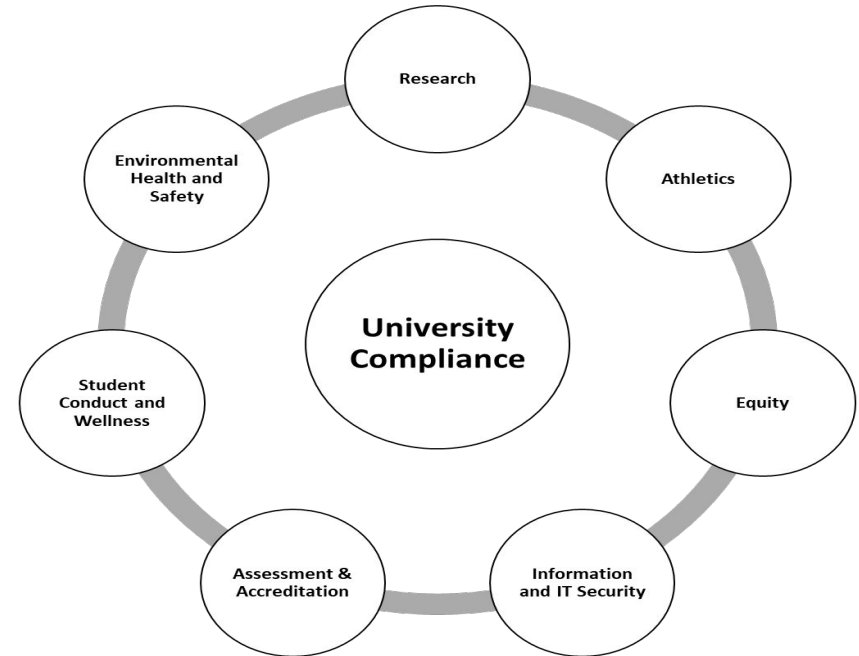
Compliance and Integrity

NC State University's Compliance and Integrity Program is designed to promote the University's values and strives to integrate these values into its daily and long-term decisions and actions related to its educational, research, and business practices.

and business practices' decisions and actions related to its educational, research, to integrate these values into its daily and long-term is designed to promote the University's values and strives NC State University's compliance and integrity program

Compliance & Integrity Program: Governance Structure

Role	Function
Audit, Risk Management, and Finance Committee*	Board Oversight
University Compliance Steering Committee	Executive Leadership and Oversight
Compliance Officials Working Group	Unit Leadership and Communication
Unit Compliance Officials (<u>Three tiers</u>)	Implementation, Leadership, and Communication for Unit-based Compliance Programs
*Committee Liaison: Vice Chancellor and General Counsel	



I love it when a plan comes together . . .



go.ncsu.edu/complianceplan



Compliance Responsibilities

The Responsibility Matrix provides a listing of key compliance areas and the responsible senior leaders and primary operational units.

<https://compliance.ncsu.edu/compliance/matrix/>



Show	<div>15</div>	entries	Search:	<div></div>
Topic	Compliance Areas	Responsible Office		
Accounting and Financial Reporting	Financial regulations and compliance; internal control and financial reporting; tax and payroll compliance	University Controller's Office Office of Finance & Administration		
Accreditation	SACSCOC Accreditation	Office of Assessment and Accreditation Office of the Provost		
Admissions	Undergraduate admissions	Undergraduate Admissions Enrollment Management and Services		
Athletics	NCAA and ACC Compliance	NC State Athletics Compliance Office University Athletics		
Campus Safety	Compliance requirements for police operations	University Police Department Environmental Health & Public Safety Office of Finance and Public Safety Environmental Health & Department		
Campus Safety	Compliance requirements for police operations	University Police University Athletics Compliance Office		

Compliance & Integrity Program Focus Areas

Program Focus Areas

- Compliance Risk Assessments
 - UCEO developed and is overseeing the performance of compliance risk assessments by Compliance Official Working Group (COWG) members
 - Includes detailed guidance for the performance of the assessment and a matrix and heat map with risk scores
- Program website & materials updates
- Section 117 Foreign Financial Transaction Reporting

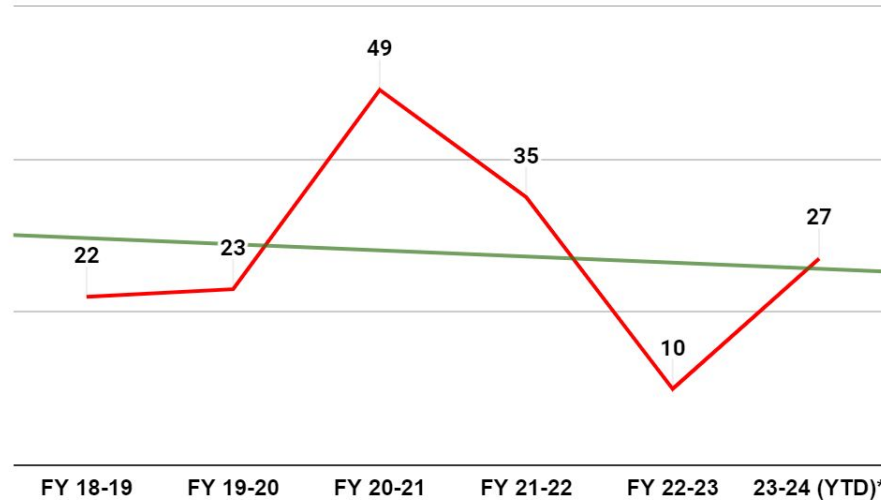
Issue Focus Areas

- Civil Rights compliance review by the USDA
- New gainful employment & financial value transparency requirements
- Guests and Affiliates System
- Updating PRRs and campus program materials, including the use of IT resources, HIPAA compliance, digital education requirements, the Red Flag Identity Theft rule, etc.
- SACSCOC re-accreditation

EthicsPoint

NC State's anonymous whistleblower hotline

EthicsPoint: Total Reported Concerns by FY

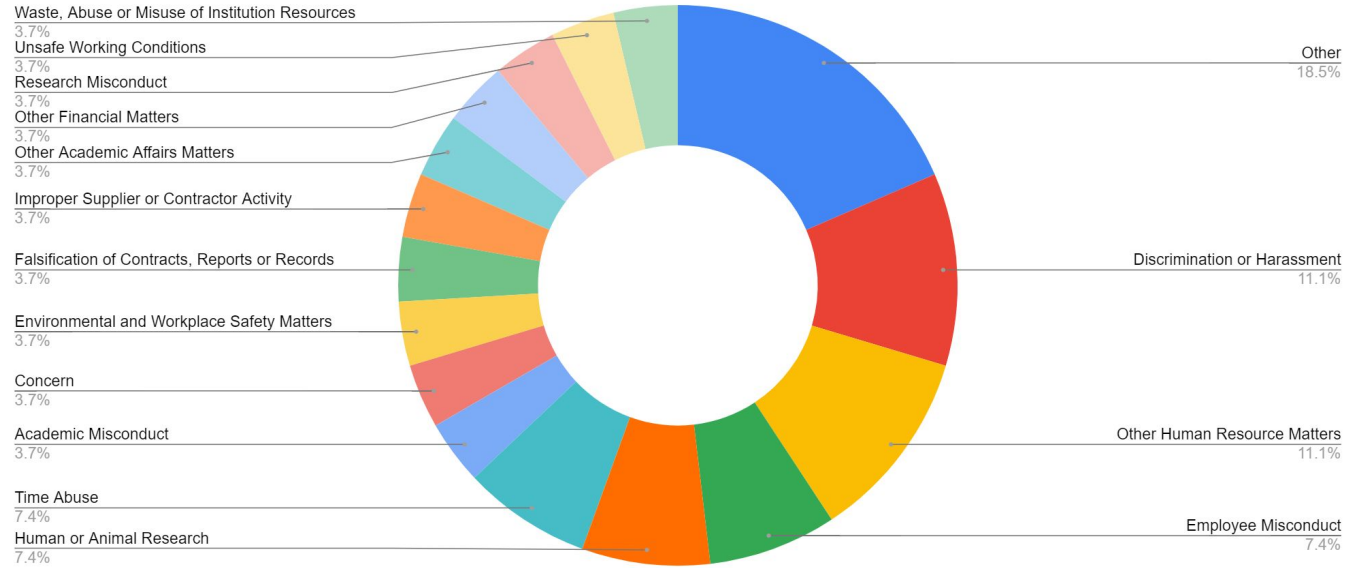


*As of March 31, 2024

EthicsPoint

NC State's anonymous whistleblower hotline

EthicsPoint: Reported Concerns by Category



Annual Notices

The Chancellor's message with a link to the University's updated Annual Notices page was sent to all students, faculty, and staff on September 20, 2023

Recently updated annual notices, reports, and resources available on the Compliance & Integrity website include:

- Annual Security & Fire Safety Report (Clery)
- Drug Free Workplace & Campus
- FERPA
- Human Trafficking
- Illegal P2P File Sharing
- Title IX/Sexual Harassment & Interpersonal Violence
- Voting in NC
- Whistleblower Protections

Compliance and Integrity

[Home](#) [Compliance](#) [Integrity](#) [Reporting](#) [Training](#) [Policies, Regulations and Rules](#) [Resources](#) [Contact](#)

Annual Notices

See required notices, reports, and additional resources for the topic areas below.

-  [Clery Compliance](#)
-  [Drug Free Workplace and Campus](#)
-  [Employee Excess Liability Insurance](#)
-  [Equal Opportunity and Non-Discrimination](#)
-  [Family Educational Rights and Privacy Act \(FERPA\)](#)
-  [Free Speech](#)

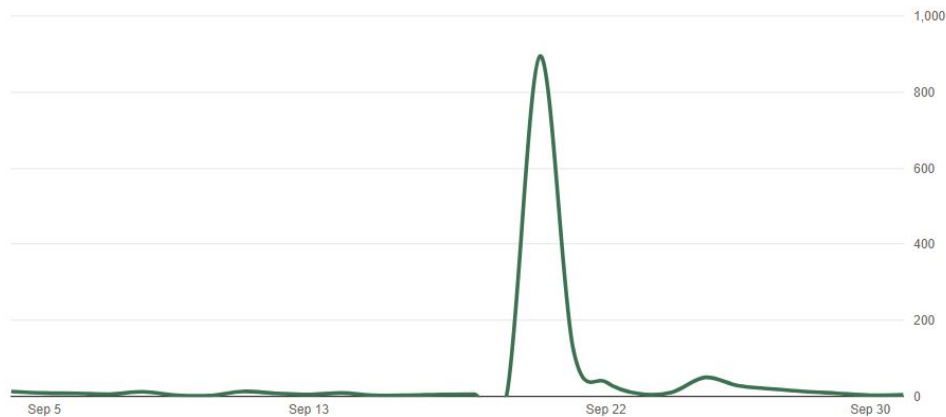
<https://compliance.ncsu.edu/annual-notices/>

Website Engagement

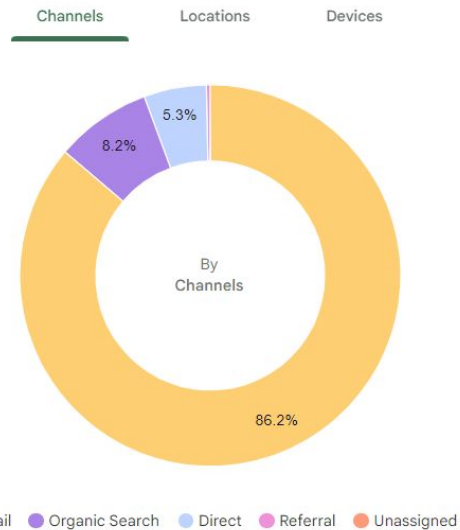
All Users

1.2K

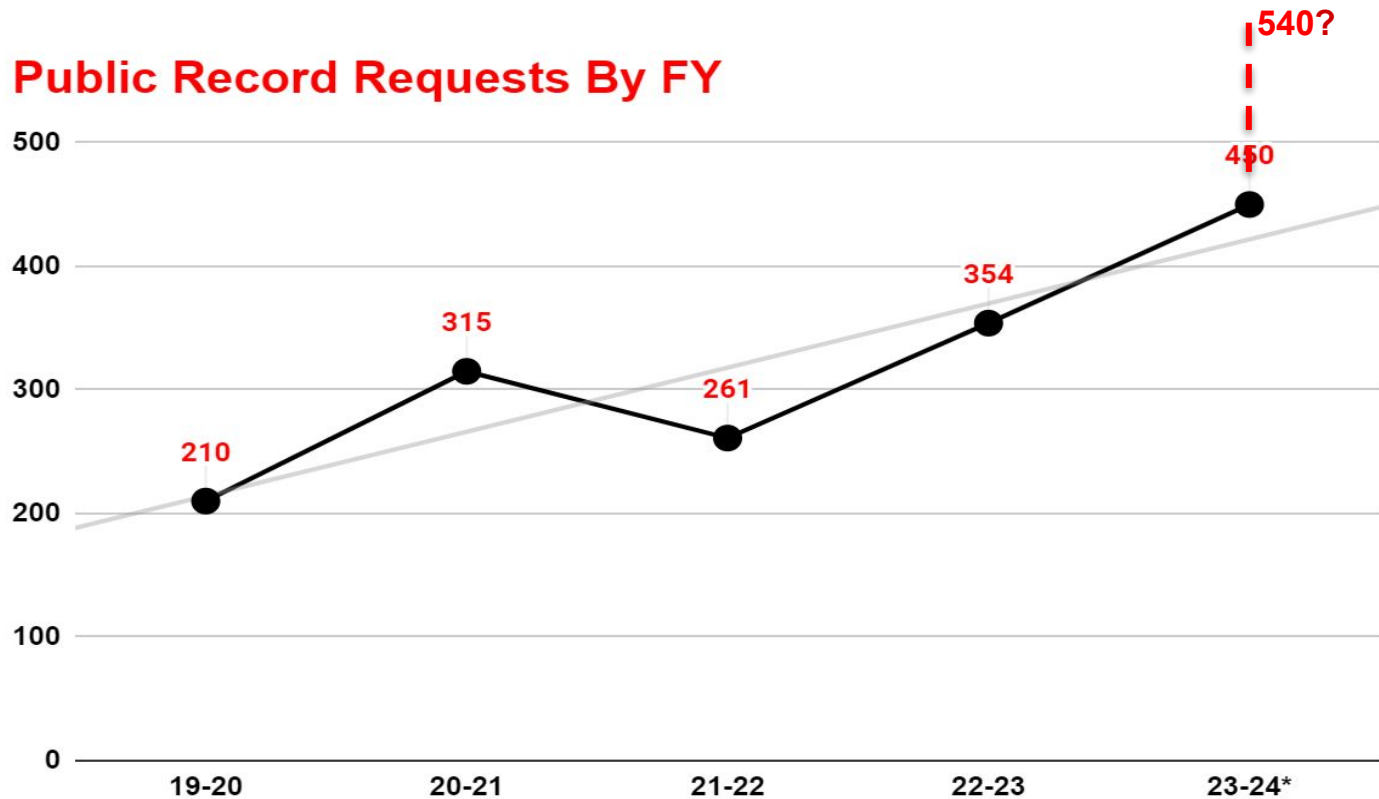
↑ 346.9% compared to the previous 28 days



As of October 3, 2023



Public Record Requests By FY



*As of May 9, 2024

Questions??

End Credits

