



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AUDIT AND COMPLIANCE COMMITTEE	
Tuesday, June 25, 2024	UT Knoxville
10:15 am (EDT)/9:15 am (CDT)	Agriculture and Natural Resources Building

AGENDA

Public Session

- I. Call to Order and Roll Call
- II. Opening Remarks of the Committee Chair
- III. [Approval of Minutes from Last Meeting - Action](#)..... Tab 1
- IV. [Public Safety Update](#) Tab 2
- V. [NCAA Compliance Update](#) Tab 3
- VI. [Title IX - Update](#) Tab 4
- VII. [Internal Audit Standards Update](#) Tab 5
 - A. [Revisions to Internal Audit Charter and University Bylaws - Action](#) Tab 5.1
- VIII. [Consent Agenda](#)..... Tab 6
 - Information Items
 - A. [2024 Audit Plan Update](#)..... Tab 6.1
 - B. [Outstanding Audit Issues](#)..... Tab 6.2
 - C. [Institutional Compliance Update](#) Tab 6.3
 - D. [Travel Exception Report](#) Tab 6.4
- IX. Other Business

[Note: Under the Bylaws, items not appearing on the agenda may be considered only upon an affirmative vote representing a majority of the total voting membership of the Committee. Other business necessary to come before the Committee at this meeting should be brought to the attention of the Committee or Board Secretary before the meeting.]
- X. Closing Remarks and Adjournment



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

Nonpublic, Executive Session

Following the public session, the Committee will convene in a nonpublic, executive session pursuant to Tennessee Code Annotated § 4-35-108 to review:

- Audits
- Investigations
- Litigation



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

MINUTES OF THE AUDIT AND COMPLIANCE COMMITTEE February 29, 2024

The Audit and Compliance Committee of The University of Tennessee Board of Trustees met at 4:00 p.m. (CT) on Thursday, February 29, 2024. The meeting was held in the Warren-Wilson Hall Room in Martin Hall, located at the University of Tennessee Southern, in Pulaski, Tennessee.

Committee Members Present: Decosta E. Jenkins, Committee Chair; John C. Compton, Board Chair; Bradford D. Box; and T. Lang Wiseman.

Others in Attendance:

Trustees: Shanea A. McKinney; Christopher L. Patterson; William (Bill) C. Rhodes III; Donald J. Smith; David N. Watson; Woodi H. Woodland (Student Trustee); and Jamie R. Woodson.

University Administration: President Randy Boyd; Brian Daniels, Chief Audit and Compliance Officer; David Miller, Senior Vice President and Chief Financial Officer; Cynthia Moore, Board Secretary and Special Counsel; C. Ryan Stinnett, General Counsel; Chancellor Steven R. Angle (UT Chattanooga); Chancellor Peter Buckley (UT Health Science Center); Chancellor Yancy E. Freeman (UT Martin); Interim Chancellor Linda C. Martin (UT Southern); and Chancellor Donde Plowman (UT Knoxville). In addition, other members of the University staff were present.

Ms. Moore announced the presence of a quorum. The meeting was webcast for the convenience of the University community, the general public, and the media.

Opening Remarks of the Chairperson

Committee Chair Jenkins welcomed everyone to the meeting.

Approval of the Minutes

Committee Chair Jenkins noted that the minutes of the October 13, 2023, meeting were included in the meeting materials (Tab 1). He asked for any corrections to the minutes. Hearing none, the minutes were approved.

2024 Internal Audit Plan

Prior to the presentation on the 2024 Internal Audit Plan, Brian Daniels, Chief Audit and Compliance Officer, directed the attention of the Committee members to the UT System Environmental Health & Safety/Emergency Management Annual Report, which was distributed at the meeting. A copy of the report is filed with the minutes of the meeting.

Amy Wilegus, Executive Director of Internal Audit, informed the Committee members that over the coming year, the office will be focused on developing and assigning subject matter experts aligned with management-identified risks, as well as those identified in the recent risk assessment. The office will also be introducing a data analytics program to automate testing procedures to increase efficiency, expand testing, and audit coverage. She reported that new Global Internal Audit Standards were released (January 2024) that will go into effect in early 2025. The new standards formalize and now require many former recommended processes. The office has initiated a review of the new standards. Certain updates to the internal audit charter are anticipated, which will be brought back to the Committee for its consideration.

Ms. Wilegus provided an overview of the proposed 2024 Internal Audit Plan (the “Plan”), as required by the Committee’s charter. She explained that the Plan includes: (i) risk-based audits (planned engagements based on evaluation of risk exposures); (ii) annual audits required by statute, administrative policy, or management agreements; and (iii) advisory services (consulting projects meant to add value to and improve the University's operations, without assuming management responsibility). Ms. Wilegus also indicated that new audit software has assisted in improving efficiency and streamlining processes and reporting.

In response to questions raised by Committee Chair Jenkins, Ms. Wilegus stated that the office is reviewing whether additional staff may need to be hired to manage the contemplated number of planned audits, along with the increasing demand for advisory services.

Upon motion duly made and seconded, the Committee approved the 2024 Internal Audit Plan (as set forth in Tab 2 of the meeting materials).

2024 Institutional Compliance Plan

Dr. Sarah Pruett, Executive Director of Institutional Compliance, introduced the 2024 Institutional Compliance Plan (the “Plan”). She advised the Committee that over the coming year, the office will focus its efforts on: (i) improving communication; (ii) streamlining risk assessment processes; (iii) developing ethics and compliance training; and (iv) employing additional software tools to assist in meeting its goals.

Dr. Pruett highlighted certain activities, as well as plans for the coming year:

- Special Projects and Investigations. During 2023, 46 allegations were reported, all of which were addressed, with 20 warranting investigation.
- Research Compliance. The University is continuing its efforts to improve research compliance and will be working with campuses to review and update research policies. Additionally, the University is working on the design and implementation of Huron’s Research Suite, a cloud-based software solution, comprised of individual modules designed to serve various aspects of the research enterprise.

- Environmental Health and Safety/Emergency Management (EHS/EM). In 2023, the EHS/EM function for the UT System was merged into the Office of Audit and Compliance. EHS/EM will be focusing its attention on identifying additional ways to serve the entire UT System through developing emergency response training, refining internal emergency communications protocols, and initiating a systemwide review of EHS policies and procedures.

Upon motion duly made and seconded, the Committee approved the 2024 Institutional Compliance Plan (as set forth in Tab 3 of the meeting materials).

Campus Safety

Mr. Daniels explained that the campuses are required to provide statistical reporting on certain types of crimes under multiple regulations at the federal and state level, including the Jeanne Clery Disclosure of Campus Security Policy and Campus Crime Statistics Act (Clery Act) and the Tennessee College and University Security Information Act.

Mr. Daniels introduced Kelly Mihalik, Special Projects Investigator and Public Safety Coordinator, who provided the annual public safety update. Ms. Mihalik began her remarks by reporting on changes in law enforcement leadership at three of the University's campuses:

- UT Chattanooga – Matt Holzmacher has been appointed to serve as Interim Chief of Police;
- UT Knoxville – Sean Patterson has been promoted to serve as Chief of the Police Department; and
- UT Martin: Michael O'Neill has been named Director of the Department of Public Safety.

Ms. Mihalik provided an overview of the requirements of the Clery Act. She explained that an incident does not need to be investigated or reported to police to be included in the Clery Act data figures. Further, incidents must be disclosed regardless of investigation status, and with or without a finding of guilt or responsibility. Additionally, institutions must include statistics for all Clery Act crimes occurring on or within its Clery defined geography (on-campus property, non-campus properties, and public property). She also reviewed the crime categories as defined under the Clery Act.

Each year, by October 1, the campuses must publish an Annual Security Report (ASR) that includes crime data for the past three years. Each spring, the Tennessee Bureau of Investigation (TBI) publishes an annual Crime on Campus Report from data collected as required under the Tennessee College and University Security Information Act. TBI does not provide year-to-year analysis of the data submitted by Tennessee educational institutions.

Ms. Mihalik reviewed the Clery Act criminal and Violence Against Women Act (VAWA) offenses for each campus. She then explained some of the differences between the statistical data included in the TBI report as compared to the campuses' ASR reports. Ms. Mihalik advised that, among other things, the TBI report only reflects incidents reported to law enforcement and incidents are categorized based on definitions used by the Federal Bureau of Investigation. Ms. Mihalik concluded her remarks by reviewing a few trends identified by TBI, based on all crimes reported by higher education institutions across the state.

Responding to a question raised by Board Chair Compton, Mr. Daniels indicated that the information presented to the Board is meant to provide a greater level of detail and clarity as to safety/security on the UT campuses consistent with the recommendation provided by the Comptroller as part of the 2019 Sunset Audit. Mr. Compton asked that, for future reports to the Committee, the data include not only the actual number of incidents, but also be measured in terms of the size and growth of the student population at the respective campuses.

President Boyd reminded members of the Committee that he completed a second tour of each campus, where he was joined by Mr. Daniels, Mike Gregory (UT System EHS/EM), as well as several Trustees and state legislators. He affirmed the University's ongoing commitment to finding new opportunities to advance safety and security on its campuses. At a Special Legislative Session on public safety held in the fall, the legislature approved \$30 million in funding for safety and security enhancements at the State's higher education institutions, of which \$6 million was allocated to the University. President Boyd expressed his gratitude for the state funding, and he stated that the University will continue to advocate for additional state financial support for campus safety and security measures.

Consent Agenda

Committee Chair Jenkins called the attention of the Committee members to the information items included in the Consent Agenda (Tabs 5.1 through 5.5). No items were removed from the Consent Agenda for discussion. A complete list of the informational items included on the Consent Agenda appears at the end of these minutes.

Other Business and Adjournment

With no further business to come before the Committee, the Committee Chair adjourned the meeting.

Respectfully Submitted,

/s/ Cynthia C. Moore
Cynthia C. Moore
Secretary and Special Counsel

Consent Agenda Items

- 2023 Audit Plan Update
- Outstanding Audit Issues
- Travel Exception Report
- NCAA Agreed Upon Procedures Report
- External Audit Management Letter

Attachment(s)

Copies of the following materials were shown or distributed at the meeting and are filed with the official minutes of this meeting.

- 2022-2023 UT System Environmental Health & Safety/Emergency Management Annual Report

Public Safety Update

Crime on Campus Statistics



THE UNIVERSITY OF
TENNESSEE
SYSTEM

College & University Security Information Act

- TBI compiled report
- Tennessee Incident Based Reporting System
- FBI definitions
- Numbers reflect incidents reported to police
- Crime rate based on **total campus population**

UT Knoxville

	2023	Rate Per 1000	2022	Rate Per 1000	2021	Rate Per 1000
Homicide Offenses	0	0	0	0	0	0
Kidnapping/Abduction	0	0	2	0.1	1	0
Sex Offenses (Forcible)	6	0.1	6	0.2	9	0.2
Robbery	0	0	3	0.1	1	0
Assaultive Offenses	26	0.6	53	1.4	34	0.9
Arson	0	0	0	0	0	0
Extortion/Blackmail	3	0.1	1	0	2	0.1
Burglary	14	0.3	11	0.3	7	0.2
Larceny/Theft Offenses	71	1.7	138	3.7	97	2.4
Motor Vehicle Theft	11	0.3	6	0.2	11	0.3
Counterfeiting/Forgery	1	0	4	0.1	2	0.1
Fraud Offenses	5	0.1	8	0.2	5	0.1
Embezzlement	1	0	0	0	0	0
Stolen Property Offenses	2	0	3	0.1	5	0.1
Destruction/Damage/Vandalism	31	0.7	51	1.4	36	0.9
Drug/Narcotic Violations	188	4.5	282	7.6	162	4.1
Weapon Law Violations	14	0.3	24	0.6	25	0.6

UT Chattanooga

	2023	Rate Per 1000	2022	Rate Per 1000	2021	Rate Per 1000
Homicide Offenses	0	0	0	0	0	0
Kidnapping/Abduction	0	0	0	0	0	0
Sex Offenses (Forcible)	1	0.1	3	0.2	4	0.3
Robbery	1	0.1	2	0.2	0	0
Assaultive Offenses	28	2.2	32	2.6	33	2.7
Arson	1	0.1	0	0	0	0
Extortion/Blackmail	4	0.3	1	0.1	1	0.1
Burglary	6	0.5	13	1.1	15	1.2
Larceny/Theft Offenses	93	7.2	93	7.7	169	13.6
Motor Vehicle Theft	3	0.2	6	5	6	0.5
Counterfeiting/Forgery	0	0	0	0	2	0.2
Fraud Offenses	8	0.6	0	0	2	0.2
Embezzlement	0	0	0	0	0	0
Stolen Property Offenses	0	0	0	0	0	0
Destruction/Damage/Vandalism	30	2.3	23	1.9	32	2.6
Drug/Narcotic Violations	36	2.8	23	1.9	28	2.6
Weapon Law Violations	0	0	1	0.1	1	0.1

UT Southern

	2023	Rate Per 1000	2022	Rate Per 1000	2021	Rate Per 1000
Homicide Offenses	0	0	0	0	0	0
Kidnapping/Abduction	0	0	0	0	0	0
Sex Offenses (Forcible)	0	0	0	0	0	0
Robbery	0	0	0	0	0	0
Assaultive Offenses	0	0	1	1	0	0
Arson	1	1	0	0	0	0
Extortion/Blackmail	0	0	0	0	0	0
Burglary	0	0	0	0	0	0
Larceny/Theft Offenses	4	3.9	1	1	3	3.2
Motor Vehicle Theft	0	0	0	0	0	0
Counterfeiting/Forgery	0	0	0	0	0	0
Fraud Offenses	0	0	0	0	0	0
Embezzlement	0	0	0	0	0	0
Stolen Property Offenses	0	0	0	0	0	0
Destruction/Damage/Vandalism	0	0	0	0	0	0
Drug/Narcotic Violations	1	1	2	2	0	0
Weapon Law Violations	0	0	0	0	0	0

UT Martin

	2023	Rate Per 1000	2022	Rate Per 1000	2021	Rate Per 1000
Homicide Offenses	0	0	0	0	0	0
Kidnapping/Abduction	0	0	0	0	0	0
Sex Offenses (Forcible)	3	0.5	0	0	4	0.6
Robbery	0	0	0	0	0	0
Assaultive Offenses	21	3.5	28	4.6	9	1.5
Arson	0	0	0	0	0	0
Extortion/Blackmail	0	0	0	0	0	0
Burglary	1	0.2	0	0	1	0.2
Larceny/Theft Offenses	20	3.3	15	2.4	10	1.6
Motor Vehicle Theft	1	0.2	1	0.2	0	0
Counterfeiting/Forgery	0	0	0	0	0	0
Fraud Offenses	2	0.3	0	0	0	0
Embezzlement	0	0	0	0	0	0
Stolen Property Offenses	0	0	0	0	0	0
Destruction/Damage/Vandalism	4	0.7	4	0.7	3	0.5
Drug/Narcotic Violations	8	1.3	18	2.9	10	1.6
Weapon Law Violations	1	0.2	3	0.5	0	0

UT Health Science Center

	2023	Rate Per 1000	2022	Rate Per 1000	2021	Rate Per 1000
Homicide Offenses	0	0	0	0	0	0
Kidnapping/Abduction	0	0	0	0	0	0
Sex Offenses (Forcible)	0	0	0	0	0	0
Robbery	0	0	0	0	1	0.2
Assaultive Offenses	13	1.7	4	0.5	10	1.6
Arson	0	0	0	0	0	0
Extortion/Blackmail	0	0	0	0	0	0
Burglary	0	0	4	0.5	2	0.3
Larceny/Theft Offenses	19	2.5	29	3.8	11	1.8
Motor Vehicle Theft	14	1.8	4	0.5	2	0.3
Counterfeiting/Forgery	0	0	0	0	2	0.3
Fraud Offenses	0	0	0	0	0	0
Embezzlement	0	0	0	0	0	0
Stolen Property Offenses	0	0	0	0	0	0
Destruction/Damage/Vandalism	19	2.5	14	1.8	5	0.8
Drug/Narcotic Violations	10	1.3	3	0.4	8	1.3
Weapon Law Violations	2	0.3	6	0.8	3	0.5

2023 Statewide Overview

- Assault offenses increased
 - Stalking offenses increased
- Drug/Narcotic offenses decreased

Three Year UT System Trends

- 2022 showed a marked increase in most offenses from 2021
- 2023 shows downward trend in offense frequency
- Theft, Vandalism, Drug Offenses most prevalent
 - Some campuses report decreases

THANK YOU

2023

CRIME ON CAMPUS IN TENNESSEE

- *ON-CAMPUS INSTITUTIONS*
- *OFF-CAMPUS INSTITUTIONS*
- *INDEPENDENT-REPORTING COLLEGES*



A PUBLICATION OF THE TENNESSEE BUREAU OF INVESTIGATION
STATISTICAL ANALYSIS CENTER | CJIS SUPPORT UNIT

University of Tennessee at Knoxville - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	6	0.1	0	0.0
Forcible Rape	2	0.0	0	0.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	4	0.1	0	0.0
Robbery	0	0.0	0	0.0
Assault Offenses (Total)	26	0.6	7	26.9
Aggravated Assault	2	0.0	0	0.0
Simple Assault	19	0.5	7	36.8
Intimidation	2	0.0	0	0.0
Stalking	3	0.1	0	0.0
Arson	0	0.0	0	0.0
Extortion/Blackmail	3	0.1	0	0.0
Burglary	14	0.3	2	14.3
Larceny/Theft Offenses (Total)	71	1.7	5	7.0
Theft - Pocket-picking	0	0.0	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	1	0.0	0	0.0
Theft From Building	11	0.3	0	0.0
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	10	0.2	1	10.0
Theft of Motor Vehicle Parts	5	0.1	0	0.0
Theft - All Other Larceny	44	1.1	4	9.1
Motor Vehicle Theft	11	0.3	0	0.0
Counterfeiting/Forgery	1	0.0	0	0.0
Fraud Offenses (Total)	5	0.1	1	20.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	3	0.1	0	0.0
Fraud - False Pretenses	0	0.0	0	0.0
Fraud - Identity Theft	0	0.0	0	0.0
Fraud - Impersonation	2	0.0	1	50.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	0	0.0	0	0.0
Embezzlement	1	0.0	0	0.0
Stolen Property Offenses	2	0.0	2	100.0
Destruction/Damage/Vandalism	31	0.7	5	16.1
Drug/Narcotic Violations (Total)	188	4.5	162	86.2
Drug/Narcotic Violations	123	3.0	107	87.0
Drug/Narcotic Equipment Violations	65	1.6	55	84.6

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	14	0.3	13	92.9
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	2	0.0
Disorderly Conduct	29	0.7
DUI	120	2.9
Drunkenness	152	3.7
Family-Non Violent	0	0.0
Liquor Law Violations	64	1.5
Peeping Tom	0	0.0
Trespass	47	1.1
All Other Offenses	47	1.1

2023 Fall Term Campus Population	
Undergraduate Enrollment	27,039
Graduate Enrollment	6,766
Staff Personnel	5,511
Faculty Personnel	2,071
Security Personnel	95
Total Campus Population	41,482



Crime on Campus 2023

University of Tennessee Space Institute - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	0	0.0	0	0.0
Forcible Rape	0	0.0	0	0.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	0	0.0	0	0.0
Robbery	0	0.0	0	0.0
Assault Offenses (Total)	0	0.0	0	0.0
Aggravated Assault	0	0.0	0	0.0
Simple Assault	0	0.0	0	0.0
Intimidation	0	0.0	0	0.0
Stalking	0	0.0	0	0.0
Arson	0	0.0	0	0.0
Extortion/Blackmail	0	0.0	0	0.0
Burglary	0	0.0	0	0.0
Larceny/Theft Offenses (Total)	0	0.0	0	0.0
Theft - Pocket-picking	0	0.0	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	0	0.0	0	0.0
Theft From Building	0	0.0	0	0.0
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	0	0.0	0	0.0
Theft of Motor Vehicle Parts	0	0.0	0	0.0
Theft - All Other Larceny	0	0.0	0	0.0
Motor Vehicle Theft	0	0.0	0	0.0
Counterfeiting/Forgery	0	0.0	0	0.0
Fraud Offenses (Total)	0	0.0	0	0.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	0	0.0	0	0.0
Fraud - False Pretenses	0	0.0	0	0.0
Fraud - Identity Theft	0	0.0	0	0.0
Fraud - Impersonation	0	0.0	0	0.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	0	0.0	0	0.0
Embezzlement	0	0.0	0	0.0
Stolen Property Offenses	0	0.0	0	0.0
Destruction/Damage/Vandalism	0	0.0	0	0.0
Drug/Narcotic Violations (Total)	0	0.0	0	0.0
Drug/Narcotic Violations	0	0.0	0	0.0
Drug/Narcotic Equipment Violations	0	0.0	0	0.0

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	0	0.0	0	0.0
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	0	0.0
Disorderly Conduct	0	0.0
DUI	0	0.0
Drunkness	0	0.0
Family-Non Violent	0	0.0
Liquor Law Violations	0	0.0
Peeping Tom	0	0.0
Trespass	0	0.0
All Other Offenses	0	0.0

2023 Fall Term Campus Population	
Undergraduate Enrollment	0
Graduate Enrollment	62
Staff Personnel	96
Faculty Personnel	20
Security Personnel	3
Total Campus Population	181



University of Tennessee at Chattanooga - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	1	0.1	1	100.0
Forcible Rape	0	0.0	0	0.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	1	0.1	1	100.0
Robbery	1	0.1	1	100.0
Assault Offenses (Total)	28	2.2	9	32.1
Aggravated Assault	0	0.0	0	0.0
Simple Assault	11	0.9	3	27.3
Intimidation	16	1.2	6	37.5
Stalking	1	0.1	0	0.0
Arson	1	0.1	1	100.0
Extortion/Blackmail	4	0.3	0	0.0
Burglary	6	0.5	1	16.7
Larceny/Theft Offenses (Total)	93	7.2	14	15.1
Theft - Pocket-picking	2	0.2	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	0	0.0	0	0.0
Theft From Building	24	1.9	2	8.3
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	30	2.3	8	26.7
Theft of Motor Vehicle Parts	6	0.5	0	0.0
Theft - All Other Larceny	31	2.4	4	12.9
Motor Vehicle Theft	3	0.2	0	0.0
Counterfeiting/Forgery	0	0.0	0	0.0
Fraud Offenses (Total)	8	0.6	0	0.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	1	0.1	0	0.0
Fraud - False Pretenses	1	0.1	0	0.0
Fraud - Identity Theft	1	0.1	0	0.0
Fraud - Impersonation	2	0.2	0	0.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	3	0.2	0	0.0
Embezzlement	0	0.0	0	0.0
Stolen Property Offenses	0	0.0	0	0.0
Destruction/Damage/Vandalism	30	2.3	0	0.0
Drug/Narcotic Violations (Total)	36	2.8	11	30.6
Drug/Narcotic Violations	21	1.6	7	33.3
Drug/Narcotic Equipment Violations	15	1.2	4	26.7

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	0	0.0	0	0.0
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	0	0.0
Disorderly Conduct	3	0.2
DUI	0	0.0
Drunkenness	0	0.0
Family-Non Violent	1	0.1
Liquor Law Violations	0	0.0
Peeping Tom	0	0.0
Trespass	26	2.0
All Other Offenses	5	0.4

2023 Fall Term Campus Population	
Undergraduate Enrollment	9,647
Graduate Enrollment	1,176
Staff Personnel	1,232
Faculty Personnel	811
Security Personnel	31
Total Campus Population	12,897



Crime on Campus 2023

University of Tennessee Southern - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	0	0.0	0	0.0
Forcible Rape	0	0.0	0	0.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	0	0.0	0	0.0
Robbery	0	0.0	0	0.0
Assault Offenses (Total)	0	0.0	0	0.0
Aggravated Assault	0	0.0	0	0.0
Simple Assault	0	0.0	0	0.0
Intimidation	0	0.0	0	0.0
Stalking	0	0.0	0	0.0
Arson	1	1.0	1	100.0
Extortion/Blackmail	0	0.0	0	0.0
Burglary	0	0.0	0	0.0
Larceny/Theft Offenses (Total)	4	3.9	0	0.0
Theft - Pocket-picking	0	0.0	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	0	0.0	0	0.0
Theft From Building	2	1.9	0	0.0
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	1	1.0	0	0.0
Theft of Motor Vehicle Parts	1	1.0	0	0.0
Theft - All Other Larceny	0	0.0	0	0.0
Motor Vehicle Theft	0	0.0	0	0.0
Counterfeiting/Forgery	0	0.0	0	0.0
Fraud Offenses (Total)	0	0.0	0	0.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	0	0.0	0	0.0
Fraud - False Pretenses	0	0.0	0	0.0
Fraud - Identity Theft	0	0.0	0	0.0
Fraud - Impersonation	0	0.0	0	0.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	0	0.0	0	0.0
Embezzlement	0	0.0	0	0.0
Stolen Property Offenses	0	0.0	0	0.0
Destruction/Damage/Vandalism	0	0.0	0	0.0
Drug/Narcotic Violations (Total)	1	1.0	1	100.0
Drug/Narcotic Violations	1	1.0	1	100.0
Drug/Narcotic Equipment Violations	0	0.0	0	0.0

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	0	0.0	0	0.0
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	0	0.0
Disorderly Conduct	0	0.0
DUI	0	0.0
Drunkenness	0	0.0
Family-Non Violent	0	0.0
Liquor Law Violations	0	0.0
Peeping Tom	0	0.0
Trespass	0	0.0
All Other Offenses	0	0.0

2023 Fall Term Campus Population	
Undergraduate Enrollment	807
Graduate Enrollment	20
Staff Personnel	101
Faculty Personnel	91
Security Personnel	9
Total Campus Population	1,028



Crime on Campus 2023

University of Tennessee at Martin - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	3	0.5	2	66.7
Forcible Rape	2	0.3	1	50.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	1	0.2	1	100.0
Robbery	0	0.0	0	0.0
Assault Offenses (Total)	21	3.5	16	76.2
Aggravated Assault	1	0.2	0	0.0
Simple Assault	5	0.8	5	100.0
Intimidation	15	2.5	11	73.3
Stalking	0	0.0	0	0.0
Arson	0	0.0	0	0.0
Extortion/Blackmail	0	0.0	0	0.0
Burglary	1	0.2	0	0.0
Larceny/Theft Offenses (Total)	20	3.3	4	20.0
Theft - Pocket-picking	0	0.0	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	1	0.2	1	100.0
Theft From Building	10	1.7	3	30.0
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	4	0.7	0	0.0
Theft of Motor Vehicle Parts	2	0.3	0	0.0
Theft - All Other Larceny	3	0.5	0	0.0
Motor Vehicle Theft	1	0.2	0	0.0
Counterfeiting/Forgery	0	0.0	0	0.0
Fraud Offenses (Total)	2	0.3	1	50.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	1	0.2	0	0.0
Fraud - False Pretenses	1	0.2	1	100.0
Fraud - Identity Theft	0	0.0	0	0.0
Fraud - Impersonation	0	0.0	0	0.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	0	0.0	0	0.0
Embezzlement	0	0.0	0	0.0
Stolen Property Offenses	0	0.0	0	0.0
Destruction/Damage/Vandalism	4	0.7	0	0.0
Drug/Narcotic Violations (Total)	8	1.3	8	100.0
Drug/Narcotic Violations	6	1.0	6	100.0
Drug/Narcotic Equipment Violations	2	0.3	2	100.0

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	1	0.2	1	100.0
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	0	0.0
Disorderly Conduct	0	0.0
DUI	0	0.0
Drunkenness	0	0.0
Family-Non Violent	0	0.0
Liquor Law Violations	11	1.8
Peeping Tom	0	0.0
Trespass	0	0.0
All Other Offenses	0	0.0

2023 Fall Term Campus Population	
Undergraduate Enrollment	4,823
Graduate Enrollment	392
Staff Personnel	530
Faculty Personnel	289
Security Personnel	12
Total Campus Population	6,046



Crime on Campus 2023

University of Tennessee Health Sciences Center - 2023

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Homicide Offenses (Total)	0	0.0	0	0.0
Murder	0	0.0	0	0.0
Negligent Manslaughter	0	0.0	0	0.0
Negligent Vehicular Manslaughter	0	0.0	0	0.0
Kidnapping/Abduction	0	0.0	0	0.0
Sex Offenses (Forcible) (Total)	0	0.0	0	0.0
Forcible Rape	0	0.0	0	0.0
Forcible Sodomy	0	0.0	0	0.0
Sexual Assault W/Object	0	0.0	0	0.0
Forcible Fondling	0	0.0	0	0.0
Robbery	0	0.0	0	0.0
Assault Offenses (Total)	13	1.7	3	23.1
Aggravated Assault	0	0.0	0	0.0
Simple Assault	9	1.2	3	33.3
Intimidation	4	0.5	0	0.0
Stalking	0	0.0	0	0.0
Arson	0	0.0	0	0.0
Extortion/Blackmail	0	0.0	0	0.0
Burglary	0	0.0	0	0.0
Larceny/Theft Offenses (Total)	19	2.5	4	21.1
Theft - Pocket-picking	0	0.0	0	0.0
Theft - Purse Snatching	0	0.0	0	0.0
Theft - Shoplifting	0	0.0	0	0.0
Theft From Building	0	0.0	0	0.0
Theft From Coin Machine	0	0.0	0	0.0
Theft From Motor Vehicle	7	0.9	1	14.3
Theft of Motor Vehicle Parts	5	0.7	0	0.0
Theft - All Other Larceny	7	0.9	3	42.9
Motor Vehicle Theft	14	1.8	1	7.1
Counterfeiting/Forgery	0	0.0	0	0.0
Fraud Offenses (Total)	0	0.0	0	0.0
Fraud - Computer Hacking/Invasion	0	0.0	0	0.0
Fraud - Credit Card/ATM	0	0.0	0	0.0
Fraud - False Pretenses	0	0.0	0	0.0
Fraud - Identity Theft	0	0.0	0	0.0
Fraud - Impersonation	0	0.0	0	0.0
Fraud - Welfare	0	0.0	0	0.0
Fraud - Wire	0	0.0	0	0.0
Embezzlement	0	0.0	0	0.0
Stolen Property Offenses	0	0.0	0	0.0
Destruction/Damage/Vandalism	19	2.5	2	10.5
Drug/Narcotic Violations (Total)	10	1.3	10	100.0
Drug/Narcotic Violations	8	1.1	8	100.0
Drug/Narcotic Equipment Violations	2	0.3	2	100.0

GROUP A OFFENSES	Offense	Rate per 1,000	Cleared	% Cleared
Sex Offenses (Nonforcible) (Total)	0	0.0	0	0.0
Incest	0	0.0	0	0.0
Statutory Rape	0	0.0	0	0.0
Pornography/Obscene Material	0	0.0	0	0.0
Gambling Offenses (Total)	0	0.0	0	0.0
Gambling - Betting/Wagering	0	0.0	0	0.0
Gambling - Operating/Promoting	0	0.0	0	0.0
Gambling - Equipment Violations	0	0.0	0	0.0
Gambling - Sports Tampering	0	0.0	0	0.0
Prostitution Offenses (Total)	0	0.0	0	0.0
Prostitution	0	0.0	0	0.0
Prostitution Assisting/Promoting	0	0.0	0	0.0
Purchasing Prostitution	0	0.0	0	0.0
Human Trafficking Offenses (Total)	0	0.0	0	0.0
Commercial Sex Acts	0	0.0	0	0.0
Involuntary Servitude	0	0.0	0	0.0
Bribery	0	0.0	0	0.0
Weapon Law Violations	2	0.3	2	100.0
Animal Cruelty	0	0.0	0	0.0

GROUP B OFFENSES	Offenses	Rate per 1,000
Bad Checks	0	0.0
Curfew/Vagrancy	0	0.0
Disorderly Conduct	0	0.0
DUI	2	0.3
Drunkenness	0	0.0
Family-Non Violent	0	0.0
Liquor Law Violations	0	0.0
Peeping Tom	0	0.0
Trespass	5	0.7
All Other Offenses	2	0.3

2023 Fall Term Campus Population	
Undergraduate Enrollment	368
Graduate Enrollment	2,694
Staff Personnel	3,104
Faculty Personnel	1,368
Security Personnel	50
Total Campus Population	7,584



Athletics Compliance Reports - Summary



THE UNIVERSITY OF
TENNESSEE
SYSTEM

Annual Campus Reports on Athletics Compliance Function

- The compliance reporting **structure is appropriate** in each campus athletics department.
- The **process for reporting and investigating** alleged NCAA rules violations **is appropriate** in each campus athletics department.
- The number of **full-time athletics compliance employees** at **UTC** and **UTK** is **above peer averages**. **UTM** has one less than the peer average.
- **Each campus** reported **some Level III NCAA rules infractions** since the last annual report. **UTK also reported Level I violations.**

QUESTIONS?



THANK YOU



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AGENDA ITEM SUMMARY

Meeting Date:	June 24, 2024
Committee:	Audit and Compliance
Item:	<u>Annual Reports on Intercollegiate Athletics Compliance Programs</u>
Type:	Information
Presenter:	Ryan Stinnett, General Counsel

Board of Trustees Policy BT0015 (Policy on Oversight of Intercollegiate Athletics) requires the Chancellor of each campus with an intercollegiate athletics program to provide a written annual report to the Audit and Compliance Committee, through the General Counsel, to ensure that the Board receives information sufficient to understand and monitor the institution's compliance with the rules and regulations of the National Collegiate Athletic Association (NCAA) and determine the adequacy of the institution's athletics compliance function.

The written annual report from each campus must contain the following information, in addition to any other information provided at the discretion of the Chancellor:

1. An explanation of the institution's reporting structure for the intercollegiate athletics compliance office and whether and to whom the intercollegiate athletics compliance office reports outside of the athletics department;
2. Description of the process for reporting and investigating alleged violations of NCAA rules;
3. The number of full-time employees in the athletics compliance office and comparison of that number with the institution's athletics peers; and
4. A description of all NCAA rules infractions since the last annual report.

The written annual reports on athletics compliance from UT Chattanooga, UT Knoxville, and UT Martin are attached. General Counsel Ryan Stinnett will present the Committee with an oral summary of the reports for each of these campuses and highlight the most critical information the Committee needs to know to ensure the Board carries out its oversight role of ensuring that the institutions are controlling their intercollegiate athletics programs in compliance with NCAA rules and regulations and adequately staffing their athletics compliance functions.



THE UNIVERSITY OF
TENNESSEE
CHATTANOOGA



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MEMORANDUM

TO: C. Ryan Stinnett, General Counsel
FROM: Steven R. Angle, Chancellor *Steven R. Angle*
RE: Annual Report to the UT Audit and Compliance Committee
DATE: May 24, 2024

The University of Tennessee at Chattanooga is committed to integrity, transparency and maintaining high ethical standards. We are also committed to the principle of institutional control and maintaining all aspects of our intercollegiate athletics program in full accordance with all NCAA, Southern Conference and University rules and regulations.

UTC’s Athletics Compliance office is comprised of two full-time experienced professionals and a compliance intern dedicated to the day-to-day compliance process that assists the University in complying with all University, Conference, and NCAA rules and regulations governing the intercollegiate athletics operations as outlined in the slides provided. The Compliance Office is supervised by the Executive Associate Athletic Director/Senior Woman Administrator (a former Compliance Director) and the Vice Chancellor and Director of Athletics. The Chancellor is immediately notified and involved with any major Compliance improprieties. Additionally, the Chancellor meets annually with members of the Compliance Staff to discuss the University Compliance process that is outlined in the PowerPoint slides accompanying this report.

In 2023-24, UTC discovered and reported four minor (secondary or level III) violations to the NCAA. These violations were isolated and inadvertent in nature and did not result in any reprimands or fines from the NCAA.

A summary of the violations include:

1. **Men’s Golf**

Violation of NCAA Bylaw 13.6.3 (c) – A high school or preparatory school prospective student-athlete must be placed on the institution's institutional request list (IRL) with the NCAA Eligibility Center before an institution can provide an official visit.

A prospective student-athlete must be added to the IRL through the steps included in the official visit form. However, the prospective student-athlete visited campus before being placed on the IRL because an official visit form was never submitted due to miscommunication between the men’s golf head coach and assistant coach. The violation is limited in nature and does not affect eligibility.

2. **Volleyball**

Violation of NCAA Bylaw 13.6.3 (c) – A high school or preparatory school prospective student-athlete must be placed on the institution's institutional request list (IRL) with the NCAA Eligibility Center before an institution can provide an official visit.

C. Ryan Stinnett, General Counsel

May 24, 2024

Page 2

A prospective student-athlete must be added to the IRL through the steps included in the official visit form. However, the prospective student-athlete visited campus before being placed on the IRL because an official visit form was never submitted due to miscommunication between the two volleyball assistant coaches. The violation is limited in nature and does not affect eligibility.

3. **Softball**

Violation of NCAA Bylaw 13.7.3.1 – During an unofficial visit, the institution may not pay any expenses or provide any entertainment except a maximum of three complimentary admissions (issued through digital ticketing or a pass list) to a home athletics event at any facility within a 30-mile radius of a member institution's main campus in which the institution's intercollegiate team practices or competes.

The softball head coach took a prospective student-athlete and her father to the UTC food court for a sit-down meal during an unofficial visit. The father of the prospective student-athlete was not aware that cash is not accepted at the UTC food court and had no other method of payment to cover the expense of his and his daughter's meal. The head coach paid for the meals and reported the violation immediately. The violation is limited in nature and does not affect eligibility.

4. **Administrative**

Violation of NCAA Bylaw 12.10.2 - The institution shall compile on a form approved by the Legislative Committee a list of the squad members in each sport on the first day of competition and shall indicate there on the status of each member in the designated categories. A student-athlete's name must be on the official institutional form in order for the student to be eligible to represent the institution in intercollegiate competitions.

Miscommunication between the men's golf coaching staff and the assistant director of compliance resulted in the removal of the wrong student-athlete from the roster. As a result, a student-athlete participated in a competition prior to being added to the squad list form. The violation occurred due to an administrative error and does not affect the student-athlete's eligibility.

UTC and its Athletics Department have developed and adopted process and procedures that provide guidance to our staff, students, and supporters regarding how to work within the rules and to discover, report and, where possible, correct any violations of the rules that might occur. The commitment to the principle of institutional control is both organizational and individual. In response to my review of the Annual Compliance Report and consultations with staff members, I hereby confirm all information provided is sufficient and consistent with UTC's commitment to maintaining control of its athletics programs.

cc: Brian Daniels, UT System Chief Audit and Compliance Officer
Mark Wharton, UTC Vice Chancellor and Director of Athletics

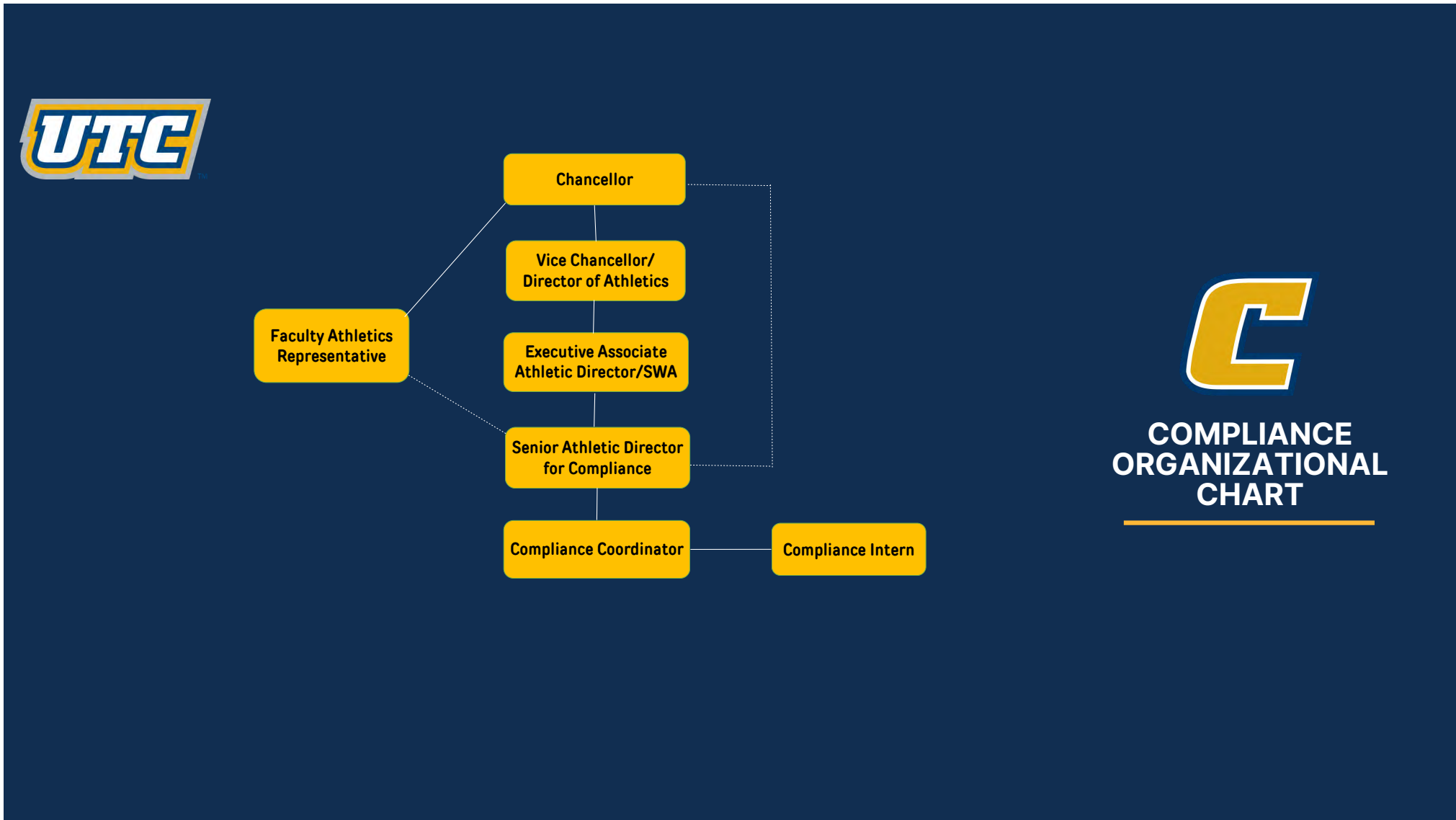


UNIVERSITY OF TENNESSEE CHATTANOOGA

COMPLIANCE ANNUAL REPORT

DEPARTMENT OF ATHLETICS





Full Time Staff Comparison

Institution	Full Time Staff
Mercer	2
Western Carolina	1
Wofford	1
North Carolina at Greensboro	2
Furman	2
Virginia Military Institute	1
Citadel	2
Samford	3
East Tennessee	1
UT Chattanooga	2



REPORTING OPTIONS

- 01 Compliance Staff**
- 02 Athletic Director**
- 03 Senior Woman Administrator**
- 04 [Gomocs.Com/Compliance Violation Reporting](https://gomocs.com/compliance)**

REPORTING VIOLATIONS

If an alleged or rumored violation is communicated to any athletic department staff member, or individual other than an athletic department staff member, the individual has an obligation to report the alleged violation in a timely manner.

Conducting Investigation

Step 1- Develop Case Strategy:

1. Identify potential NCAA violations
2. Identify prospective interviewees
3. Establish order in which individuals will be interviewed
4. Identify documents to be collected
5. Create a timeline for completing investigation



Conducting Investigation

Step 2 - Who should be interviewed:

- Institution should interview any individual with potential knowledge of and/or involvement in potential NCAA violations (e.g., Staff members, student-athletes, former student-athletes).



Conducting Investigation

Step 3 - Interview Logistics:

1. Identify who is responsible for conducting interviews.
2. Who may be present during interview.
3. Where the interview will be conducted.
4. Who may know about the interview.
5. How the interview will be performed (e.g., in person, videoconference).



Conducting Investigation

Step 4 - Document Collection Consideration:

- A timeline for production of the requested documents.
- What format the requested documents should be produced (native format, Word, .pdf, Excel, photocopies, etc.) and what information may be embedded in electronic materials.
- Consequences for failure or refusal to produce requested documents.
- How a request for documents from a third party might compromise the investigation.



Conducting Investigation

Step 5 - Analysis of Information:

- Review and analyze all information collected to determine whether additional interviews or documents are necessary.
- Review entire file and determine whether the factual information and relevant bylaws indicate that violations likely occurred.
- Identify the institutional staff responsible for analyzing the information and arriving at its findings.



Conducting Investigation

Step 6- Reporting Institutional Findings to NCAA:

- Report using NCAA guidelines through Request/Self-Reports Online.





VIOLATIONS



MEN'S GOLF

Violations Committed: 1
Bylaw #: 13
Level III

VOLLEYBALL

Violations Committed: 1
Bylaw #: 13
Level III

SOFTBALL

Violations Committed: 1
Bylaw #: 13
Level III

ADMINISTRATIVE

Violations Committed: 1
Bylaw #: 12
Level III



THE UNIVERSITY OF
TENNESSEE
KNOXVILLE



June 3, 2024

University of Tennessee Board of Trustees
Audit and Compliance Committee
c/o C. Ryan Stinnett, General Counsel
719 Andy Holt Tower
Knoxville, TN 37996-0170

Re: Annual Report to the Audit and Compliance Committee (BT0033 – Policy on Oversight of Intercollegiate Athletics)

Dear Members of the Audit and Compliance Committee:

I am pleased to submit this annual written report to the Audit and Compliance Committee to ensure that the Board of Trustees has information sufficient to understand and monitor the university's compliance with the rules and regulations of the National Collegiate Athletic Association (NCAA) and determine the adequacy of the university's athletics compliance function.

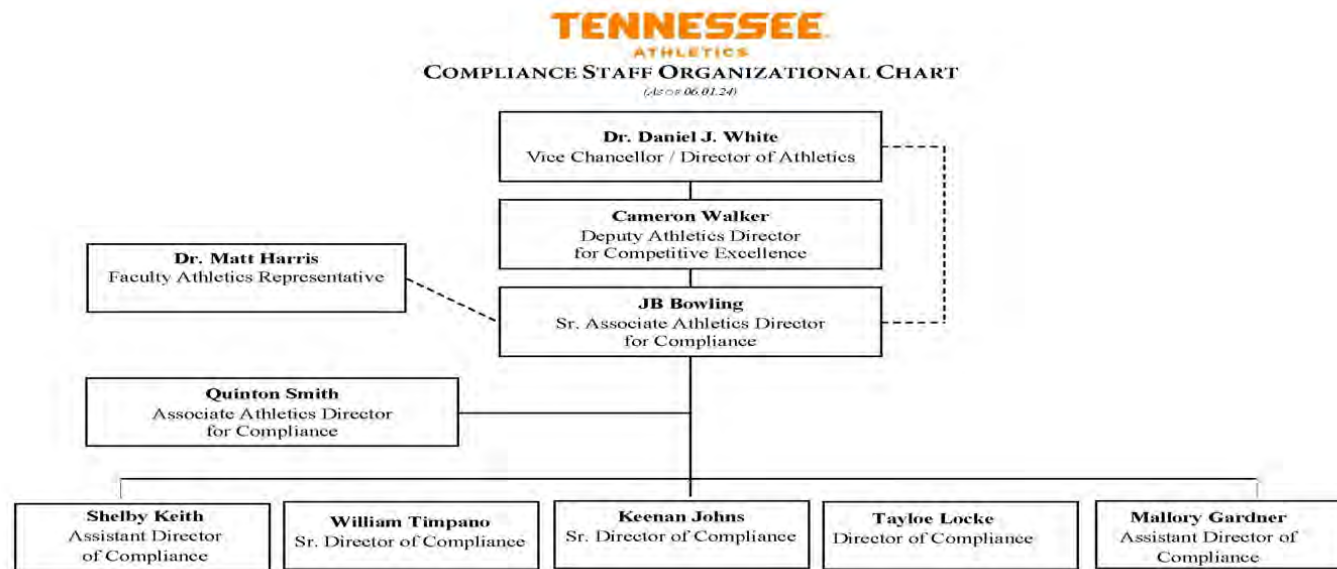
Sincerely,

A handwritten signature in black ink that reads 'Donde Plowman'.

Donde Plowman
Chancellor

Office of the Chancellor
800 Andy Holt Tower 1331 Circle Park Drive Knoxville, TN 37996-0180
865-974-2444 chancellor.utk.edu

ATHLETICS COMPLIANCE STRUCTURE



SEC PEER COMPARISON OF COMPLIANCE STAFFING

AS OF MAY 2024		
Rank	School	Full-Time Staff
1	Georgia	9
2	Texas A&M	8
T-3	Ole Miss	7
T-3	Arkansas	7
T-3	Tennessee	7
T-3	Alabama	7
T-7	Auburn	6
T-7	Florida	6
T-7	Kentucky	6
T-7	Missouri	6
T-7	South Carolina	6
T-12	LSU	4
T-12	Mississippi State	4
T-12	Vanderbilt	4



PROCESS FOR REPORTING A VIOLATION

Any coach, employee, student-athlete, or other individual associated with the UT athletics department or an employee of UT who has NCAA compliance responsibilities (including UT employees who work outside of the athletics department) must notify appropriate institutional officials immediately of any suspected or known violation(s) of NCAA legislation or UT or SEC policies or procedures. Notification must take place by contacting (in-person or by telephone or electronic transmission) an Athletics Compliance Office staff member, the AD or FAR. Reporting this information to the head coach of an involved sport does not meet this requirement.



INVESTIGATING A VIOLATION

- Upon being informed of a possible violation, the compliance office will conduct a preliminary investigation to ascertain the general facts surrounding the incident. The parties involved in the incident may be contacted directly and asked about the matter. The compliance office will communicate the preliminary findings to the AD and FAR. The compliance office, AD and FAR jointly shall have initial responsibility for determining whether the information indicates a possible violation.
- If the information indicates further investigation is warranted, depending on the level (I-IV) of the possible violation, the compliance office will notify the Chancellor, OGC, FAR, AD, Sport Administrator and head coach if applicable.
- For potential level III & IV violations, the compliance office in coordination with the FAR will investigate all facts and apply the appropriate governing rules. If a violation is determined to have occurred, the compliance office will submit a written report to the NCAA and SEC detailing the violation and any penalties that will be self-imposed.



INVESTIGATING A VIOLATION CONT'D

- For potential level I & II violations, the compliance office, in conjunction with the FAR, shall forward the information to the OGC and that office shall be responsible for directing the investigation. During the course of the investigation, the Chancellor shall receive regular reports regarding its progress. The compliance office shall inform the SEC of the inquiry. OGC will review and approve a final written report to be submitted to the NCAA at the conclusion of the investigation.
- The institution will not permit retaliatory actions against athletics staff or student-athletes who submit or are involved in a complaint or allegation concerning NCAA rules violations. Additionally, the institution will act in accordance with institutional procedures for alleged misconduct by an employee and applicable provisions of state legislation.



LEVEL III VIOLATIONS 2023-24

PER SPORT	
Baseball	1
Men's Basketball	1
Women's Basketball	1
Cross Country	0
Football	0
Men's Golf	0
Women's Golf	2
Rowing	0
Soccer	1
Softball	0
Swimming & Diving	0
Men's Tennis	0
Women's Tennis	0
Track & Field	1
Volleyball	0
	7

PER BYLAW	
Bylaw 5	0
Bylaw 10	0
Bylaw 11	0
Bylaw 12	0
Bylaw 13	6
Bylaw 14	0
Bylaw 15	0
Bylaw 16	0
Bylaw 17	1
Bylaw 18	0
Bylaw 20	0
Bylaw 31	0
	0



LEVEL I & II VIOLATIONS 2023-24

- Over the course of three seasons (2018-2020), the Tennessee football program committed 18 Level I violations — encompassing more than 200 individual infractions — most of which involved Bylaw 13 recruiting rules violations and Bylaw 16 extra benefit violations. Included were direct payments to prospects, current student-athletes and their families. An additional four Level I unethical conduct violations occurred involving former university employees. The violations resulted in impermissible inducements and benefits totaling approximately \$60,000. As a result, Tennessee failed to monitor its football program. Additionally, due to his personal involvement in the violations, the former football head coach violated head coach responsibility rules.
- While the actions that resulted in these violations occurred over 3 years ago, the NCAA Committee on Infractions (COI) ultimately informed Tennessee of their findings of the violations on July 14, 2023. The violations in this case came to light when an athletics department staff member informed the office of the chancellor about a conversation the staff member overheard in the football program about student-athletes being "paid." The school immediately retained outside counsel and began an investigation. The NCAA enforcement staff stated during the hearing that the fully formed record in this case would not have been possible without Tennessee's significant efforts to secure and develop information. The COI awarded Tennessee with exemplary cooperation and stated in their decision that, "Under the strong leadership of its chancellor, Tennessee acted swiftly, thoroughly and decisively," and that, "(Tennessee's) response to that conduct is the model all institutions should strive to follow."







Office of the Chancellor
325 Administration Building
554 University Street
Martin, TN 38238
office: (731) 881-7500
fax: (731) 881-7019

May 21, 2024

University of Tennessee Board of Trustees
Audit and Compliance Committee
c/o Ryan Stinnett, General Counsel
1169 UT Tower
505 Summer Place
Knoxville, TN 37902

RE: Annual Report to the Audit and Compliance Committee (BT0033 - Policy on Oversight of Intercollegiate Athletics)

Dear Members of the Audit and Compliance Committee:


I am pleased to provide this written statement outlining UT Martin's commitment to athletics compliance from a larger campus perspective and providing an overview of the information contained in UT Martin's annual report.

May this letter serve as my request for the Office of General Counsel to submit this annual report to the Audit and Compliance Committee of the UT Board of Trustees. Athletics compliance is considered of utmost importance at the University of Tennessee at Martin. The Athletics department devotes a significant amount of time to ensuring that all employees and constituents are educated on NCAA, OVC, and institutional regulations that could impact the institution, and specifically, our compliance within athletics.

While the institution employs a single full-time employee in the office of compliance, the Athletic academic staff and other members of Athletics administration are responsible for compliance duties to help facilitate monitoring of activities on campus and the actions of campus members that could impact compliance. Cross training is both intentional and vital to maintaining compliance on campus due to the limited full-time staff members devoted solely to compliance. However, the reporting of violations is handled by the compliance officer to ensure that the party most well-versed in legislation is responsible for reporting off-campus. These reports are also provided to the Athletics Director, Faculty Athletics Representative, and the Chancellor, in the event that the report is serious enough to warrant such reporting.

The Chancellor's oversight and support of the compliance office's efforts helps stress the importance to the rest of the campus. This statement and my corroborating actions shall serve as my attestation of commitment to athletics compliance on UT Martin's campus, and I will continue to act in a way that will further campus compliance.

Sincerely,

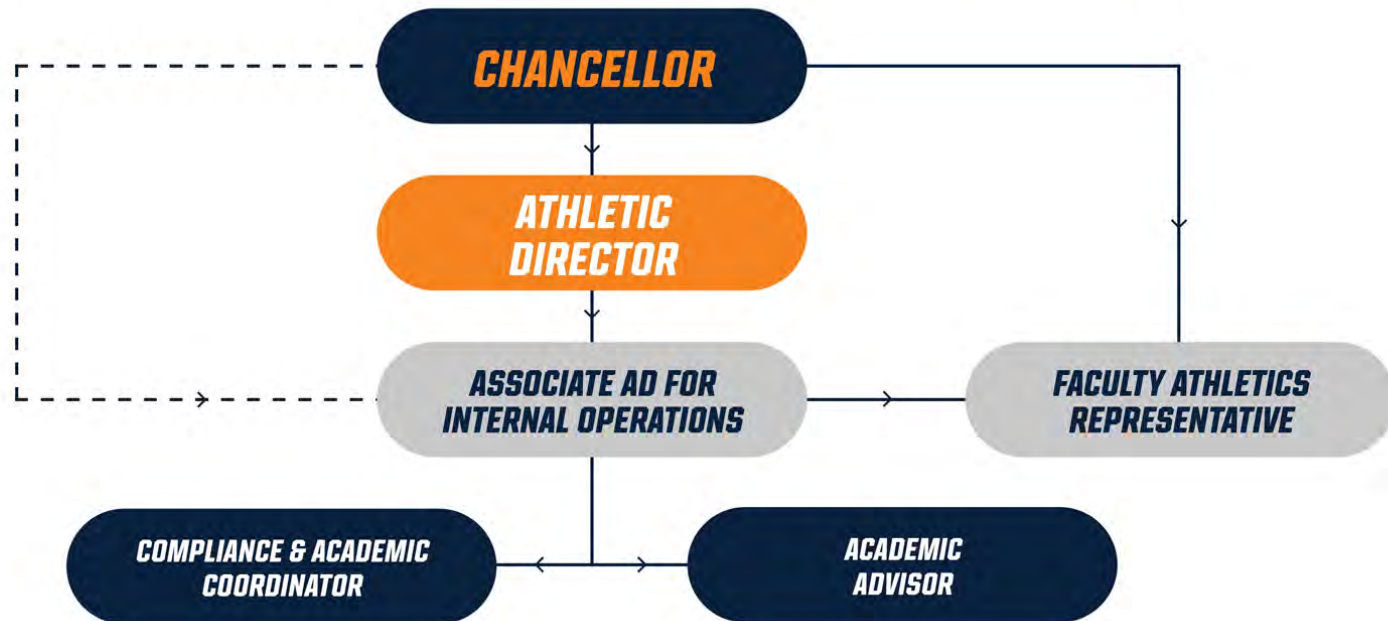

Dr. Yancy E. Freeman, Sr.
Chancellor



UT MARTIN SKYHAWKS
DEPARTMENT OF INTERCOLLEGIATE ATHLETICS

COMPLIANCE STAFF ORGANIZATIONAL CHART

(as of 5/23/2024)





Violations

Bylaw	Sport	Case Type	Date
13.02.5.5	Softball	Recruiting; Recruiting Period	July 2023
13.02.5.5	Baseball	Recruiting; Recruiting Period	November 2023
12.5.1.6	Men's Basketball	Camps	May 2024



OVC Peer Comparison for Compliance Staff

School	Full-Time Positions
Eastern Illinois University	2
Lindenwood University	2
University of Arkansas Little Rock	2
Morehead State University	2
Southeast Missouri State University	1
Southern Illinois University-Edwardsville	3
University of Southern Indiana	1
Tennessee State University	2
Tennessee Tech University	2
University of Tennessee at Martin	1
Western Illinois University	1



UT MARTIN SKYHAWKS
DEPARTMENT OF INTERCOLLEGIATE ATHLETICS

Process of Violation Investigations

- The process of taking reports of violations and investigating potential NCAA violations starts with a report to the Associate AD for Internal Operations. All staff members within the athletics department know that if there is a report made to them, that the information should be relayed to the compliance office.
- Rules education is a key tool in this process, as keeping staff informed on the regulations is necessary in order for them to identify a possible violation in their respective area.
- Once the information is initially obtained, the compliance office will write up a report and begin an investigation if appropriate. The UT Office of General Counsel and/or the UT System Office of Audit & Compliance may become involved in the investigation if the suspected violation is more serious in nature, could expose the university to legal or compliance risk, or could constitute fraud, waste or abuse of university resources.
- Depending on the level of the violation, the compliance office will also notify the Athletic Director, the Faculty Athletics Representative, and, if necessary, the Office of General Counsel & Chancellor's Office. The majority of violations are Level III violations that are reported to the Athletic Director and the Faculty Athletics Representative upon intake of the report. Level I/II violations will be reported to the Athletic Director, the Faculty Athletics Representative, the Office of General Counsel, and the Chancellor. Additional parties that may be notified can depend on the nature of the violation (i.e. notification to the Title IX Coordinator if it involves gender inequity or assault).



UT MARTIN SKYHAWKS
DEPARTMENT OF INTERCOLLEGIATE ATHLETICS

Process of Violation Investigations cont.

- Once the initial report is taken and the proper parties are notified, the compliance office will begin interviewing any parties that were possibly involved in the violation. Upon completion of the interview process, the compliance office will confer with the Athletic Director on the plan of action for the particular situation. If the alleged violation is more serious in nature and requires involvement of the Office of General Counsel and/or the Office of Audit & Compliance, the investigative process will be led by those parties, with the compliance office serving as the main point of contact within the department.
- In the event of a Level III violation to be handled strictly by the compliance office, the conclusion of the investigation will then result in a determination of appropriate action. This can range from a determination that no violation occurred, to the requirement that the report be forwarded to the conference office and the NCAA.
- Regardless of the actions taken after the initial investigation, additional rules education will be provided to the staff members in question. Even if there is no violation, the education provides a preventative measure that allows for the parties in question to avoid any future reports of possible violations in the same realm.
- Once a decision is handed down from the NCAA, if reported, the compliance office will ensure that the staff complies with any punishment that is assessed.

UT SYSTEM TITLE IX UPDATE

Ashley Blamey, DSW
UT System Title IX Compliance Coordinator

UT TITLE IX MODEL

Policy. Our foundation is in the policy and procedures we follow.

Prevention and Education. Our goal is to prevent Sexual Harassment (including Sexual Assault, Dating Violence, Domestic Violence, and Stalking), Sexual Exploitation, and Retaliation before they happen.

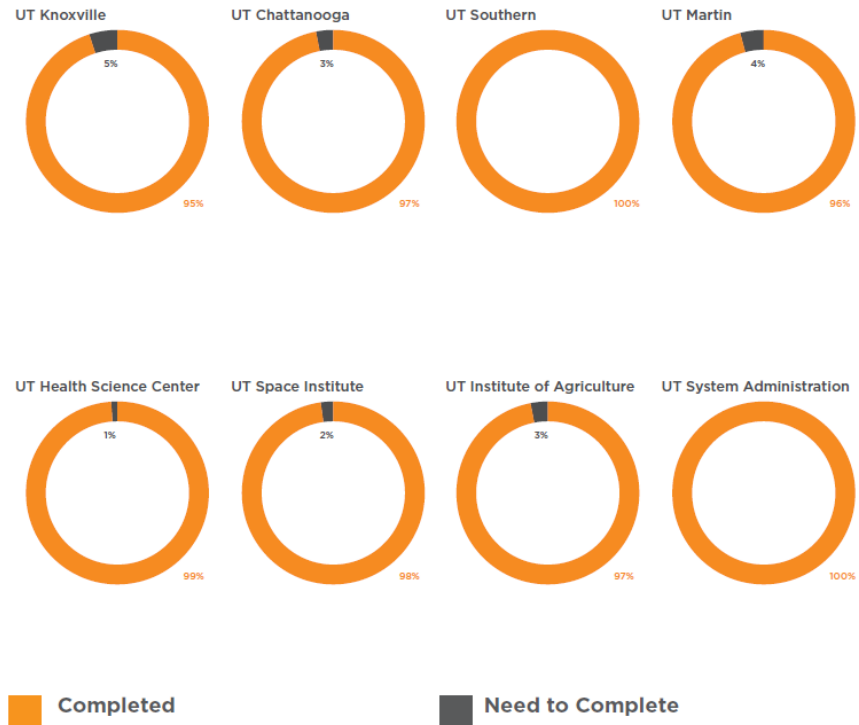
Supportive Measures. Our promise is to provide support and appropriate supportive measures to individuals involved in the Title IX process.

Investigation and Resolution. Our commitments to due process, campus safety, and encouraging reporting guide how we investigate and resolve reports.

Patterns and Trends. Our responsibility is to utilize the best available research, evidence-based practice, and our own campus trends in our prevention and response efforts.



University of Tennessee Mandatory Reporter Training



Federal Title IX Landscape

Campus Response/Grievance Process



Draft posted July 12, 2022 - September 12, 2022, for public comment.



The Department of Education (DOE) is required to read all comments before making final edits and publishing a final rule.



The DOE reviewed more than 120,000 comments for the 2020 Title IX rule. For the 2024 rule the DOE reviewed **240,085** comments.



The final rule was released on April 19, 2024, the implementation deadline is August 1, 2024. Federal Court granted a preliminary injunction on June 17, 2024.



The UT System and system campuses/institutes will continue compliance with the 2020 regulation and continue monitoring the legal landscape.

Questions

Ashley Blamey, DSW
UT System Title IX Compliance Coordinator



2024 REPORT



TITLE IX



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Our Work

 Compliance and Evaluation 6

 Mandatory Reporter Training 9

Title IX Team 11

An electronic version of this report
can be accessed online:

titleix.tennessee.edu

INTRODUCTION

“No person in the United States shall, on the basis of sex, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any education program or activity receiving federal financial assistance.”

Title IX of the Education Amendments of 1972

The University of Tennessee System’s Office of Title IX is committed to supporting and enhancing Title IX compliance on all UT campuses and institutes. The Office of Title IX works in partnership with the Title IX Coordinators and Title IX-affiliated staff across the system to promote campus Title IX processes that are comprehensive, fair-minded, and well-informed.

The Office of Title IX publishes this annual report each year to provide a transparent summary of our work, increase awareness of education, prevention, and support initiatives, highlight the dedicated work of our campus staff members and their community partners, and ensure ongoing accountability to those we serve. This year, the practice continues, with the added goal of sharing an anticipated federal update that will impact our work.

On June 23, 2022, the U.S. Department of Education’s Office for Civil Rights (OCR) issued new proposed Title IX regulations. A three-month public comment period followed the release of the draft regulations. On April 19 the Department of Education’s Office for Civil Rights issued new regulations mandating how the University of Tennessee, Knoxville, and all other colleges

and universities address cases under Title IX, a federal statute that prohibits discrimination on the basis of sex in any federally funded education program and activity.

The regulations received more than 240,000 comments during the notice and comment period. The final rule including the preamble is over 1500 pages long and will become effective on August 1. We have closely followed the development of the proposed regulation, but there are significant and meaningful changes to the final rule. Our UT System is working collaboratively to review the regulation and draft updated policy and procedure, while monitoring the legal landscape.



While the new regulations will require revisions to current Title IX policies and practices across the UT System, the Office of Title IX previously oversaw the timely implementation of the current Title IX regulations after OCR released them in May of 2020 (with an August 2020 implementation deadline). We will once again utilize the benefits of a state-wide system and work closely with our campus Title IX Coordinators to identify and update all relevant policies, practices, communications, and websites. We are hosting a UT Systemwide Roundtable this summer to ensure the system's compliance.

As the regulatory landscape evolves, the ongoing work of cultivating a safe and nondiscriminatory learning, living, and working environment belongs to us all.

Respectfully,
Ashley Blamey, Title IX Coordinator

OUR WORK

Compliance and Evaluation

The University is engaged in an ongoing effort to improve its Title IX compliance activities. The Title IX coordinator implements and uses a collaborative and proactive approach to seeking continuous improvement and supports the utilization of best practices throughout the UT system. This past year, the Office of Title IX primarily focused on continued support for compliance under the 2020 Title IX regulation. In the coming year, the Office of Title IX will support the system to move into compliance with the 2024 Title IX regulation by the implementation deadline with respect to any judicial intervention.

The Office of Title IX supported system-wide Title IX compliance through the following ongoing and completed objectives:

- i. Developed and facilitated the Campus Title IX Compliance Self-Assessment Tool completed by each campus and institute.

The self-assessment tool was designed to empower and guide campuses in:

- (1) Navigating complex federal Title IX regulatory requirements;
- (2) Conducting routine and active inspections of campus compliance with federal Title IX requirements for campus grievance procedures;
- (3) Conducting routine and active inspections of campus compliance with federal Title IX requirements for campus athletics programs;
- (4) Performing routine and active reviews of campus Title IX compliance efforts to identify a variety of miscellaneous risks of noncompliance, including areas of regulatory overlap or any organizational, legislative, or other changes. Campus coordinators reported increased awareness of their own policies, clarification on procedures, and opportunities for future consideration regarding policy.

-
- ii. Continued support for campus and institute structures through routine meetings, case consultation, ongoing legal updates, and up-to-date guidance documents.
 - iii. Supported campus level investigations and adjudications with coordination of Hearing Officers.
 - iv. Hosted the annual system-wide training required by the Title IX regulations with to ensure system wide compliance without cost to campuses. Recorded and made available through K@TE for ongoing use and resource to campus and institute coordinators, investigators, hearing officers, and decision makers.

In the spring of 2019, UT developed a standard format for reporting and tracking Title IX-related data across the System. The University updated its recordkeeping systems to comply with the terms and definitions under revised Title IX policies. The information collected by each campus is published in a campus Annual Title IX Report. Campus Title IX annual reports can be accessed online via the following campus links:

UT KNOXVILLE

titleix.utk.edu/wp-content/uploads/sites/96/2023/03/2022-Title-IX-Annual-Report_Accessible.pdf

UT CHATTANOOGA

utc.edu/enrollment-management-and-student-affairs/title-ix/get-informed/campus-report

UT MARTIN

utm.edu/offices-and-services/office-of-equity-and-diversity/titleix/_media/2022-2023%20Title%20IX%20Policy.pdf

UT SOUTHERN

utsouthern.edu/wp-content/uploads/2023/03/2022-TIX-Annual-Report.pdf

UT HEALTH SCIENCE CENTER

uthsc.edu/oied/titleix.php

OUR WORK

Campus policies and procedures can be accessed via the following links:

[University of Tennessee, Knoxville / Institute of Agriculture / Institute for Public Service / UT System](#)

titleix.utk.edu/wp-content/uploads/sites/96/2022/08/Accessible-2022-2023-UT-Title-IX-Policy.pdf

[University of Tennessee at Chattanooga](#)

utc.edu/sites/default/files/2022-08/SHSADDVS%20Policy%2008122022.pdf

[University of Tennessee at Martin](#)

utm.edu/offices-and-services/office-of-equity-and-diversity/titleix/_media/2022-2023%20Title%20IX%20Policy.pdf

[University of Tennessee Southern](#)

utsouthern.edu/wp-content/uploads/2022/08/Title-IX-Policy-2022-2023.pdf

[University of Tennessee Health Science Center](#)

uthsc.edu/oied/documents/title-ix-policy-update.pdf

[University of Tennessee Space Institute](#)

utsi.edu/wp-content/uploads/2022/08/2022-2023-UTSI-Full-Policy-Final_.pdf

In addition to the policies referenced above, the University's Chattanooga and Knoxville campuses have dedicated Student Pregnancy Accommodations policies. The policies can be found online:

[UTK - Student Pregnancy Accommodations](#)

titleix.utk.edu/students/resources-for-pregnant-students

[UTC - Student Pregnancy Accommodations](#)

utc.edu/academic-affairs/policies-and-procedures/educational-accommodations-for-pregnant-students

Mandatory Reporter Training

Federal law requires UT System campuses to designate at least some employees as officials with the authority to respond to known reports of sexual harassment. UT policy refers to such officials as “Mandatory Reporters,” and nearly all campus employees (generally only excluding employees deemed confidential by licensure) serve as Mandatory Reporters when reports concern students. The policy requires Mandatory Reporters to forward reports or information about alleged sexual harassment or sexual violence under the policy to the campus’ Title IX Coordinator for review. Such referrals provide the Title IX Coordinators the ability to contact alleged complainants with care and support resources, safety information, and options for reporting to police or a university investigator, and ensure our ability to monitor patterns and trends. Providing annual training to Mandatory Reporters is critical, as referrals from Mandatory Reporters to campus Title IX Coordinators account for a large number of campus reports. It also provides a foundation of the campus and community expectations.

You are not alone.
 If you have experienced sexual harassment, sexual assault, dating or domestic violence, stalking, sexual exploitation, or retaliation, we encourage you to seek **medical care** and **support**, and to **report** the incident.

titleix.utk.edu

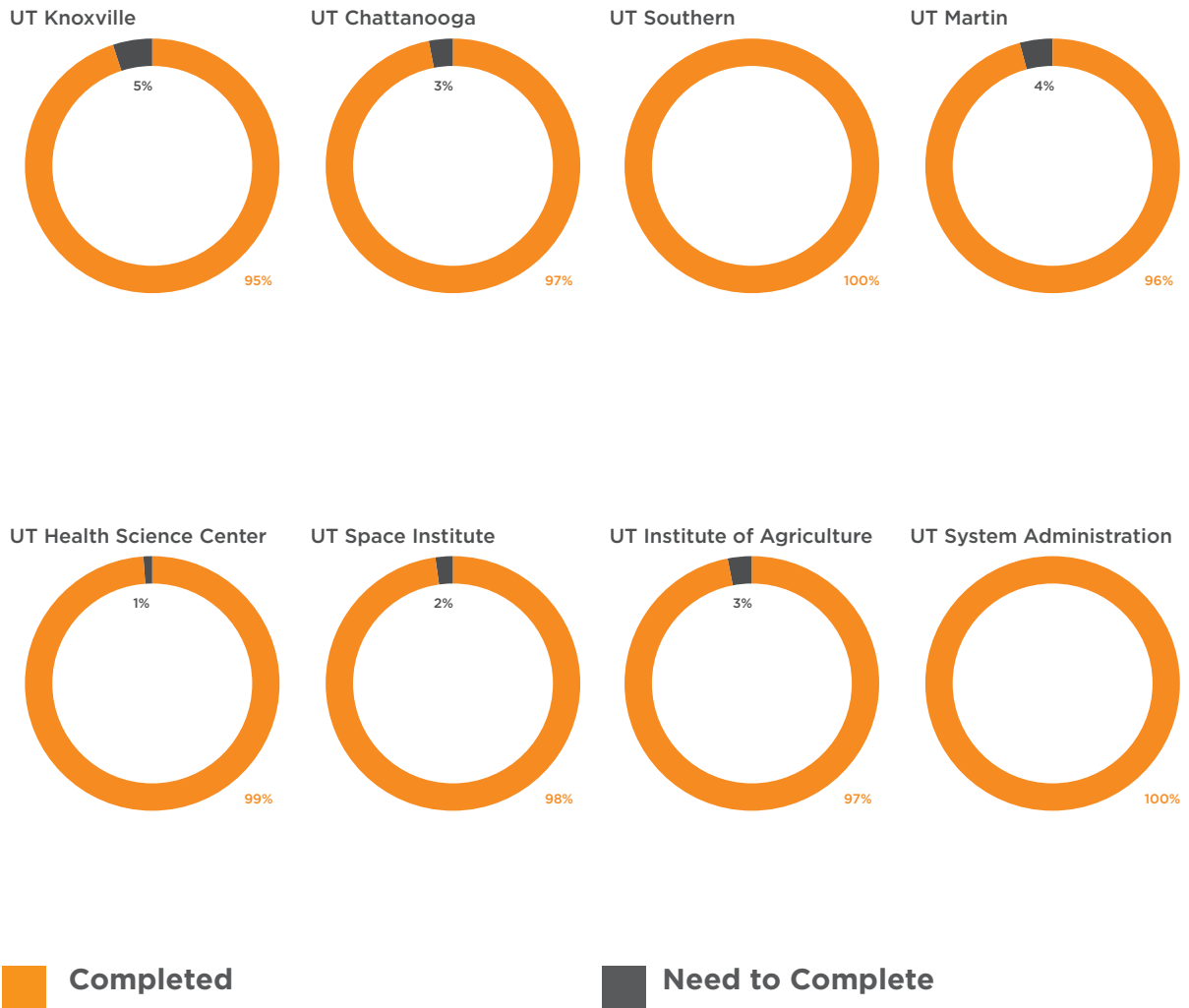
<p>MEDICAL CARE Emergency 911 Sexual Assault Center of East Tennessee 24/7 crisis line* 865-522-7273 Student Health Center* 865-974-5080</p> <p>REPORTING Emergency/UT Police 911 865-974-5114 Office of Title IX 865-974-8600 Student Conduct & Community Standards 865-974-5171</p>	<p>SUPPORT RESOURCES Student Counseling Center* 865-974-2090 865-974-4357 (after hours) Sexual Assault Center of East Tennessee 24/7 crisis line* 865-522-7273 Office of Title IX 865-974-9600 865-974-4357 (after hours) Office of Ombuds Services* 865-974-6273 UT Psychological Clinic* 865-974-2961 UT Sexual Assault Survivor Support Group* 865-974-9291 ctc@utk.edu Family Justice Center* 865-521-6336</p> <p>*Confidential resource</p>
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OFFICE OF TITLE IX

UTK Mandatory Resource Card

OUR WORK

UT campuses clearly communicated training requirements for the 2023 - 2024 academic year and routinely encouraged employees to complete the training. Such efforts resulted in the following strong training completion rates for fulltime staff and faculty as well as members of the UT System:





To learn more or become involved with our work visit:
titleix.tennessee.edu or contact Title IX Coordinator
Ashley Blamey at ashleyblamey@utk.edu.

Campus Title IX annual reports can be accessed
online via the following campus links:

University of Tennessee, Knoxville

University of Tennessee at Chattanooga

University of Tennessee at Martin

University of Tennessee Southern

University of Tennessee Health Science Center

University of Tennessee Space Institute



THE UNIVERSITY OF
TENNESSEE
SYSTEM

<https://titleix.tennessee.edu>

Internal Audit Standards Update



THE UNIVERSITY OF
TENNESSEE
SYSTEM



Overview

- The Institute of Internal Auditors (IIA)
- Statutes and Standards
- Action Items

The IIA is the internal audit profession's global leader in standards, certifications, education, research, and technical guidance.

245K

Global IIA members

150

North American chapters

70K

North American members

Source: [The Institute of Internal Auditors](#)



Statutes & Standards

State of Tennessee Audit Committee Act of 2005 § 4-35-101

no change

Tenn. Code Ann. § 4-3-304 (9)

no change

IIA Standards changes required

2017



International Professional Practices Framework



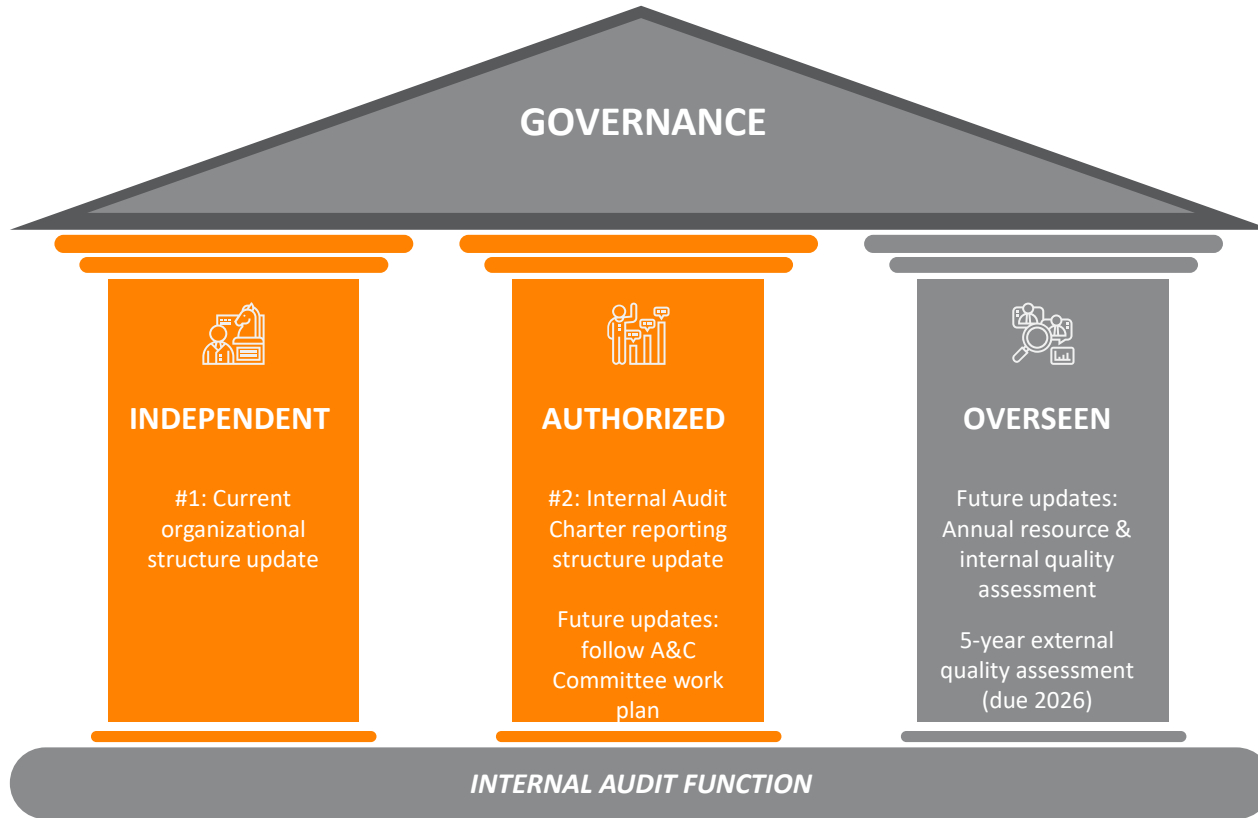
2024

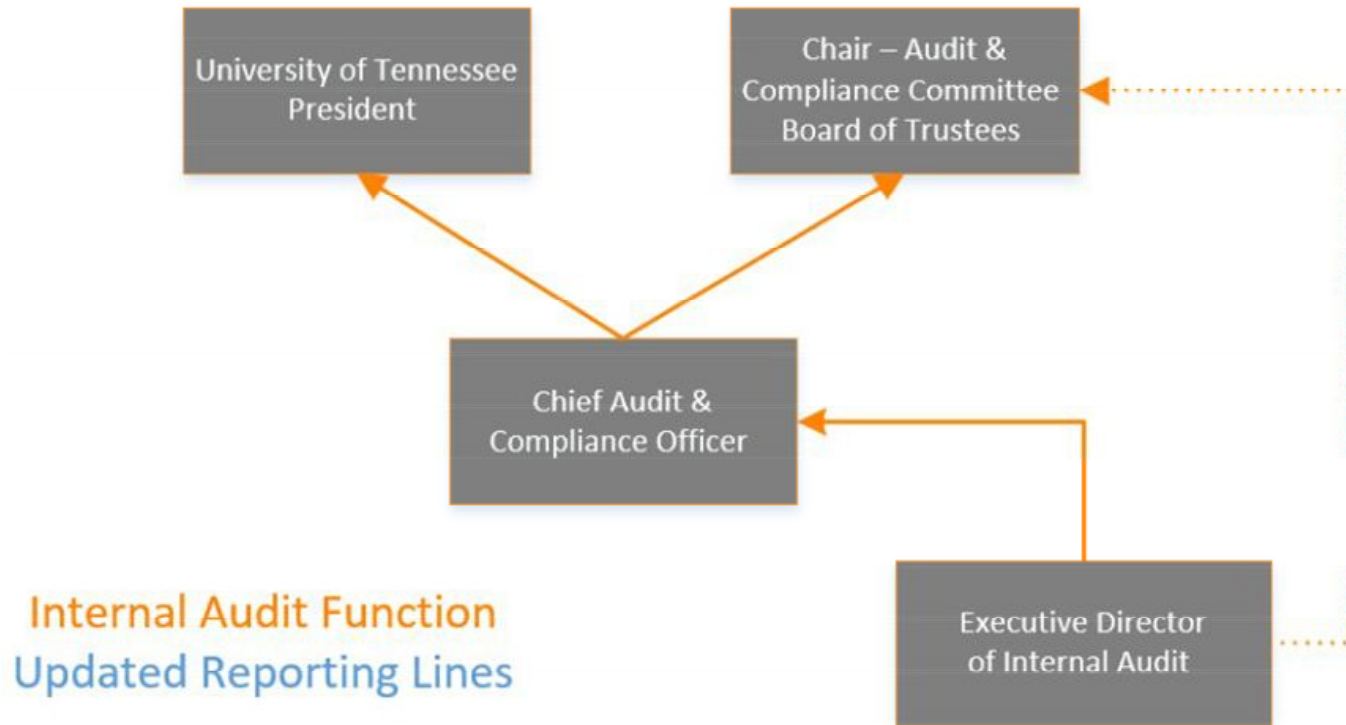


International Professional Practices Framework® (IPPF)

Source: [2024 Global Internal Audit Standards](https://theiia.org) (theiia.org)

Action needed to implement revised governance standards.





QUESTIONS?



THANK YOU



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

5.1

AGENDA ITEM SUMMARY

Meeting Date: June 25, 2024

Committee: Audit and Compliance

Item: **Internal Audit Charter**

Type: Action

Presenter(s): Brian Daniels, Chief Audit and Compliance Officer
Amy Wilegit, Executive Director of Internal Audit

Background Information

Pursuant to the Committee Charter for the Audit and Compliance Committee, the Committee is charged with reviewing and approving the charter for the internal audit function (“Internal Audit Charter”). Additionally, the Committee shall also review the Chief Audit and Compliance Officer’s administrative reporting relationship to assure not only that independence is fostered, but adequate resources in terms of staff and budget are provided to enable the Office of Audit and Compliance to perform its responsibilities effectively. The Internal Audit Charter was last reviewed in 2022 and formally updated in 2021.

Tennessee Code Annotated § 4-3-304(9) requires the Department of Audit, Tennessee Comptroller of the Treasury, to establish minimum standards for the performance of audits by internal audit staffs of entities of the state. These standards shall include “Standards for the Professional Practice of Internal Auditing” published by the Institute of Internal Auditors, Inc. (“IIA”), or such other standards as may be approved by the Tennessee Comptroller of the Treasury. All audit reports issued by such internal audit staffs shall include a statement that the audit was conducted pursuant to such standards.

In January 2024, the IIA published “Global Internal Audit Standards” that become effective on January 9, 2025 (the “2025 Standards”), but early adoption is encouraged. The previous version of the standards remains approved for use during the transition period. Under the 2025 Standards, Standard 7.1 Organizational Independence provides, among other things, the following considerations:

“When the chief audit executive has one or more ongoing roles beyond internal auditing, the responsibilities, nature of work, and established safeguards must be documented in the internal audit charter. If those areas of responsibility are subject to internal auditing, alternative processes to obtain assurance must be established ...”



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

5.1

“Position the internal audit function at a level within the organization that enables it to perform its services and responsibilities without interference, as directed by the board. ”

In connection with the periodic review of the Internal Audit Charter and the forthcoming 2025 Standards, certain revisions to the reporting structure for the Chief Audit and Compliance Officer and the Executive Director of Internal Audit, who provides operational leadership to the audit department, are being recommended for the Committee’s consideration.

- The administrative reporting line from the Chief Audit and Compliance Officer would be to the President of the University.
- As the Chief Audit and Compliance Officer has ongoing roles beyond internal auditing, the Executive Director of Internal Audit would have a dotted reporting line to the Chair of the Audit and Compliance Committee.

The proposed revisions to the Internal Audit Charter and a resulting revision to the University’s Bylaws are attached hereto as Appendix 1 and 2.

Committee Action

The Committee Chair will call for a motion to recommend adoption of the following resolution by the Board of Trustees.

Resolved:

The Board of Trustees hereby approves:

- (i) the revisions to the Internal Audit Charter; and
- (ii) the revision to Section 6.7(2) of the University’s Bylaws;

as presented in the meeting materials, which revisions shall be attached to this Resolution after adoption.



Internal Audit Charter

(Statement of Purpose, Authority, and Responsibility)

Purpose and Scope

The Office of Audit and Compliance at the University of Tennessee includes three functions: Internal Audit, Institutional Compliance, and Title IX coordination. Internal Audit helps the university achieve its mission by providing objective and independent assurance to add value, reduce risk, and improve operations as a service to management and the University of Tennessee Board of Trustees. Internal auditors assist management in effectively carrying out their duties and responsibilities by reviewing and advising management on financial and operational internal controls, information technology controls, and compliance with university policies, procedures, and applicable laws and regulations. Additionally, the Office of Audit and Compliance administers the UT Compliance Hotline and Internal Audit, in conjunction with Institutional Compliance, perform independent investigations of fraud, waste, and abuse allegations. Internal Audit and investigation work is discussed and coordinated with the State of Tennessee Comptroller's Office.

Institutional Compliance provides independent oversight of the University of Tennessee's compliance programs to assure that the University is compliant with federal, state, and local laws and regulations as well as University policies. The office was established in 2008 to continue the University's commitment to meeting the highest standards of ethics, integrity, and responsibility.

The University of Tennessee systemwide Title IX Office, established in 2017, collaborates with UT campus Title IX officials in developing and evaluating policy, measuring program effectiveness, and identifying optimal training, prevention, and awareness-building efforts and resources for their implementation. The office is also responsible for tracking best practices and legal developments and for annual reporting on the frequency and nature of incidents and complaints.

Internal Audit Standards

In accordance with *Tennessee Code Annotated* section 4-3-304 (9), internal audit adheres to mandatory guidance prescribed by The Institute of Internal Auditors (IIA), including the Definition of Internal Auditing, the Code of Ethics, the Core Principles for the Professional Practice of Internal Auditing, and the *International Standards for the Professional Practice of Internal Auditing (Standards)*. This mandatory guidance constitutes principles of the fundamental requirements for the professional practice of internal auditing and for evaluating the effectiveness of the internal audit activity's performance.

The IIA defines internal auditing as an independent, objective assurance and consulting activity designed to add value and improve an organization's operations. This function helps an organization accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.



Authority and Responsibility

Internal auditors are authorized full and complete access to all university records (either manual or electronic), physical properties, and personnel relevant to a review. Correspondingly, internal auditors must handle documents and information obtained during an engagement in the same prudent manner as by those employees normally responsible for them.

Internal auditing provides assurance, consulting, and management advisory services. Assurance services include reviewing the adequacy or effectiveness of governance, risk management, and controls. Consulting services include reviewing for efficiency or effectiveness to assist management with improvements to operations or advising management on a variety of topics, such as implementation of procedures to comply with policies or best business practices. The internal audit activity also provides management advisory services, e.g., providing training, participating in committees, and coordinating projects.

In fulfilling their responsibilities, internal auditors:

- Develop and implement risk-based internal audit plans and programs;
- Make recommendations regarding policies and procedures where appropriate;
- Provide internal audit reports that identify observations for improvements in internal controls, policies, and/or procedures and also make recommendations to mitigate identified risks;
- Follow up with management to facilitate the resolution of audit observations with administrators who have direct involvement and accountability;
- Maintain a quality and assurance improvement program, consistent with the *Standards* promulgated by The Institute of Internal Auditors to ensure the effectiveness and quality of the internal audit effort; and
- Investigate allegations involving fraud, waste, or abuse of University assets or resources.

In their staff functions, internal auditors have no direct responsibility or authority over any of the operating activities examined, and their review shall not relieve others of their responsibilities. Furthermore, the independence of the internal auditors should not be compromised by their implementing procedures, preparing records, or engaging in activities that internal auditors would normally review.

When requested, internal auditors may attend senior-level staff meetings and serve on various university committees. Their role at such meetings should be limited to rendering advice and staying abreast of strategic, governance, and risk issues.

Reporting Structure

The Chief Audit and Compliance Officer (CACO) oversees the internal audit function and reports directly to the Chair of the Audit and Compliance Committee of the University of Tennessee Board of Trustees with administrative responsibilities to the UT System ~~president-chief financial officer~~. To safeguard independence for nonaudit responsibilities of the CACO, the executive director of internal audit provides operational leadership to the audit department reporting directly to the CACO with a dotted line to the Chair of the Audit and Compliance Committee. All internal auditors, including auditors located at campuses or institutes, are members of the Internal Audit Department within the UT System Office of Audit and Compliance.



Reporting

At the conclusion of each audit, the Office of Audit and Compliance issues timely reports to audited parties, senior management, the State of Tennessee Division of Internal Audit, and the Audit and Compliance Committee of the University of Tennessee Board of Trustees.

Approval

Initially approved by the Audit Committee on March 3, 2004.

Current revision approved by the Audit and Compliance Committee on December 15, 2016.

Proposed revision presented for approval on February 25, 2021.

Initially approved by the Audit Committee on March 3, 2004.

Revised and approved by the Audit and Compliance Committee:

- December 15, 2016
- February 25, 2021

[Proposed revision presented for approval on June 25, 2024.](#)

**BYLAWS
OF
THE UNIVERSITY OF TENNESSEE
BOARD OF TRUSTEES**



Adopted August 1, 2018, as amended
and restated on ~~As of June 30, 2023~~ June 25, 2024

shall recommend the candidate to the Board of Trustees for approval of the appointment and initial compensation and other terms of employment.

Section 6.6(c) Process for Appointment of the Treasurer. When a vacancy or notice of an impending vacancy occurs in the office of Treasurer when held by an individual other than the Chief Financial Officer, the President, in accordance with Section 6.3 of these Bylaws, may recommend that the Board approve the Chief Financial Officer to serve concurrently as Treasurer. Alternatively, if the office is to be held by an individual other than the Chief Financial Officer, the Chief Financial Officer may appoint an individual to serve as Treasurer in an interim or acting capacity. When the Chief Financial Officer deems it appropriate to proceed to fill the vacancy, the Chief Financial Officer shall identify a candidate to be recommended to the Board. The Chief Financial Officer may appoint an advisory committee to advise and assist the Chief Financial Officer, and members of the Board of Trustees may serve on the advisory committee. Appointment of an advisory committee shall not diminish the Chief Financial Officer's ultimate authority and responsibility for recommending a candidate to the Board of Trustees for approval of the appointment and initial compensation and other terms of employment.

Section 6.6(d) Process for Appointment of Other Officers. When a vacancy or notice of an impending vacancy occurs in an officer position other than Chancellor, Chief Audit and Compliance Officer, Secretary, or Treasurer, the President may appoint an individual to serve in an interim or acting capacity. When the President deems it appropriate to proceed to fill the vacancy, the President shall identify a candidate to be recommended to the Board. The President may appoint an advisory committee to advise and assist the President, and members of the Board of Trustees may serve on the advisory committee. Appointment of an advisory committee shall not diminish the President's ultimate authority and responsibility for recommending a candidate to the Board of Trustees.

Section 6.7 Removal of Officers. The President serves at the pleasure of the Board, which has power to remove the President at any time, subject to the terms of any written employment agreement approved by the Board. The Chancellors and other officers of the University report directly and solely to the President and serve at the pleasure of the President with the following exceptions:

- (1) The Vice President for Development and Alumni Affairs reports jointly to the President and the Board of Directors of The University of Tennessee Foundation, Inc., but serves at the pleasure of the President;
- (2) The Chief Audit and Compliance Officer reports to the Audit and Compliance Committee and the Board with respect to all audit activities and findings but reports administratively to the ~~Chief Financial Officer~~ President;
- (3) If the office of Treasurer is held by an individual other than the Chief Financial Officer, the Treasurer reports directly to and serves at the pleasure of the Chief Financial Officer;



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AGENDA ITEM SUMMARY

Meeting Date: June 25, 2024
Committee: Audit and Compliance
Item: **Consent Agenda**
Type: Information

Background Information

There are no action items on the Committee Consent Agenda for approval; however, certain information items have been placed on the Committee Consent Agenda. These items will not be presented or discussed in the Committee unless a Committee member requests removal of an item from the Consent Agenda. The Bylaws provide that an item will not be removed from the Consent Agenda solely for the purpose of asking questions for clarification. Those questions should be presented to the Chief Audit and Compliance Officer before the meeting. Unless there is a request to remove an information item for review or discussion, the information items will be deemed to be accepted.

**The University of Tennessee
Audit Plan Status - April
For the Year Ending December 31, 2024**

Audit Engagements	Campus	Status
Capital Construction - Outsourced	UTSA/UTK/UTIA	Complete
Contracts Management	System-Wide	In-Progress
Extension Eastern Region - Policy Compliance	UTK/UTIA	In-Progress
Building Access Security	UTC	Complete
College of Engineering & Computer Science - Policy Compliance	UTC	In-Progress
Lab Safety	UTC	In-Progress
College of Engineering & Natural Sciences - Policy Compliance	UTM	In-Progress
Deferred Maintenance	System-wide	Planned
CCTA (Annual)	System-wide	Planned
Department Head Training	System-wide	Planned
ADA Compliance	System-wide	Planned
Facilities - 3rd Party Use	System-wide	Planned
Cash Controls	System-wide	Planned
Employee Retention & Succession Planning	UTSA	Planned
Office of the President (Annual)	UTSA	Planned
Capital Construction - Outsourced	UTSA/UTC	Planned
Research Compliance -NSPM 33	UTK	Planned
College of Social Work - Cash and Gift Card Controls	UTK	Planned
IT: Asset Management	UTK	Planned
4-H Event Planning and Security	UTK/UTIA	Planned
IT: HIPAA Compliance	UTHSC	Planned
Facilities - Policy Compliance	UTHSC	Planned
Office of the Chancellor (Annual)	UTC	Planned
OVC Athletics Special Assistance Funds (Annual)	UTM	Planned
Facilities - Policy Compliance	UTM	Planned
Office of the Chancellor (Annual)	UTS	Planned
Added - College of Communication & Info - Policy Compliance	UTK	In-Progress
Removed - Institute of Public Service - Policy Compliance	IPS	Replaced

Consulting Engagements	Campus	Status
NIL Policy & Procedure Review	System-Wide	Complete
Sponsored Research Programs - Pre-Award Process	System-Wide	Complete
GLBA Compliance	System-Wide	In-Progress
DASH System Implementation (Co-Sourced)	System-Wide	In-Progress
IT: Third Party Risk Management	System-Wide	In-Progress
Policy Development - Benchmarking	UTSA	In-Progress
Financial Assessment - Auxiliary Ops	UTHSC	In-Progress
Lab Safety	UTS	In-Progress
Policy Development	UTS	In-Progress
Self-Assessment of Controls (Annual)	System-wide	Planned
Sponsored Programs - Post-Award Process	System-wide	Planned
AI- Policies and Procedures	System-wide	Planned
IT: Incident Response	UTHSC	Planned
Safety & Security Review	UTC	Planned
IT: Incident Response	UTS	Planned
Added - Sensitive Minor Equipment Policy	UTSA	In-Progress
Added - UTHSC Office of Finance & Operations Benchmarking	UTHSC	Complete
Added - UT Chattanooga Peer Benchmarking	UTC	In-Progress

6.1



Outstanding High-Priority Audit Issues

As of May 15, 2024

6.2

**Internal Audit will follow up with management to confirm remediation status when due.*

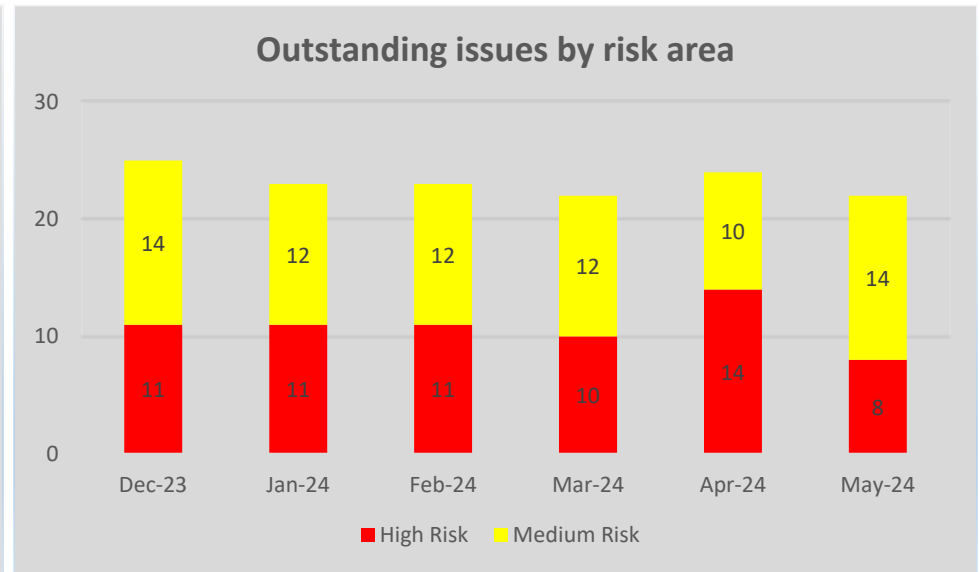
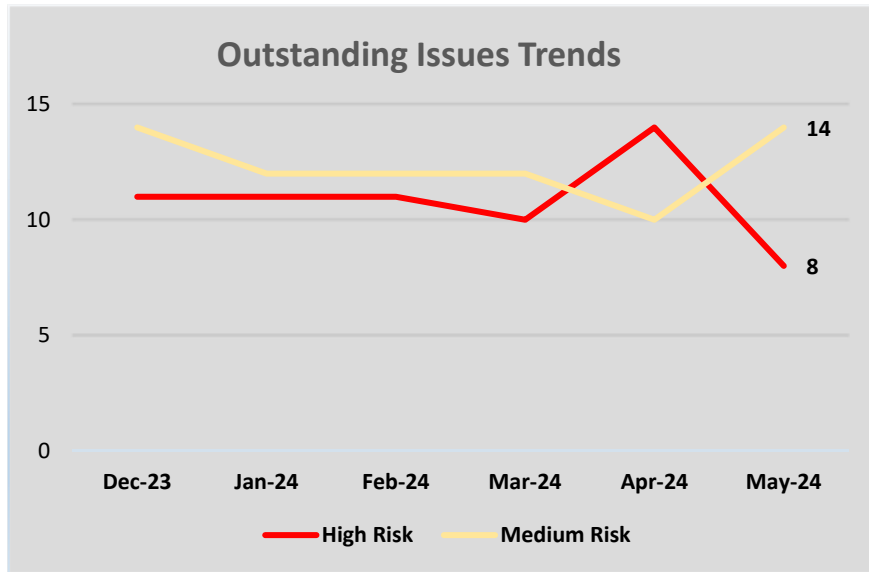
Campus	Audit	Issue	Report Date	Expected Remediation Date*	Revised Remediation Date*	
1	UTHSC	Dentistry – AR & Controlled Substances	Annual Review of Accounts Receivable	10/31/2023	12/31/2023	6/30/2024
2	UTHSC	Dentistry – AR & Controlled Substances	Unclaimed Property	10/31/2023	12/31/2023	6/30/2024
3	UTHSC	Dentistry – AR & Controlled Substances	Controlled Substances Inventory	10/31/2023	12/31/2023	6/30/2024
4	UTSA	EESRB Capital Construction Audit	Contractor Billing Variances	3/27/2024	9/30/2024	N/A
5	UTC	Building Access Security	Lack of Oversight for Department Managed Physical Access Controls	4/19/2024	7/31/2024	N/A
6	UTC	Building Access Security	Insufficient Building Access Processes	4/19/2024	9/30/2024	N/A
7	UTC	Building Access Security	Lack of Comprehensive Building Risk Assessment and Defined Security Standards	4/19/2024	9/30/2024	N/A
8	UTC	Building Access Security	Physical Key Access Controls	4/19/2024	9/30/2024	N/A



Issues by Priority Rating

As of May 15, 2024

6.2



Institutional Compliance Plan Update



6.3

2024 Institutional Compliance Plan Updates

AuditBoard for Institutional Compliance

- Design and testing for AuditBoard GRC management software complete June 2024.
- Training on AuditBoard software for GRC management processes begins with system go-live June 2024.
- Committee and user training are to be coordinated with DTS, Institutional Compliance, Privacy and Enterprise Risk Management groups.
- All historical Institutional Compliance data is imported or archived within AuditBoard effective June 2024.
- Risk assessments within AuditBoard will be scheduled to begin July 2024 for UTS, IPS and UTM.

Environmental Health and Safety and Emergency Management

- Assessment of applicable regulations and policies for compliance monitoring are in progress.
- Policy revisions and updates are ongoing with a completion goal of December 2024.

Research Compliance

DASH-Research timeline has been adjusted to align with DASH timeline for 2025 implementation. Wave One modules, Conflict of Interest and Effort Certification, are on schedule.

Research policy review and drafting is anticipated to begin in Summer 2024 under the procedures outlined with GE0001-University Policy & Related Procedure Development.



Special Projects & Investigations

6.3

The Maxient software for case management and electronic filing is fully implemented.

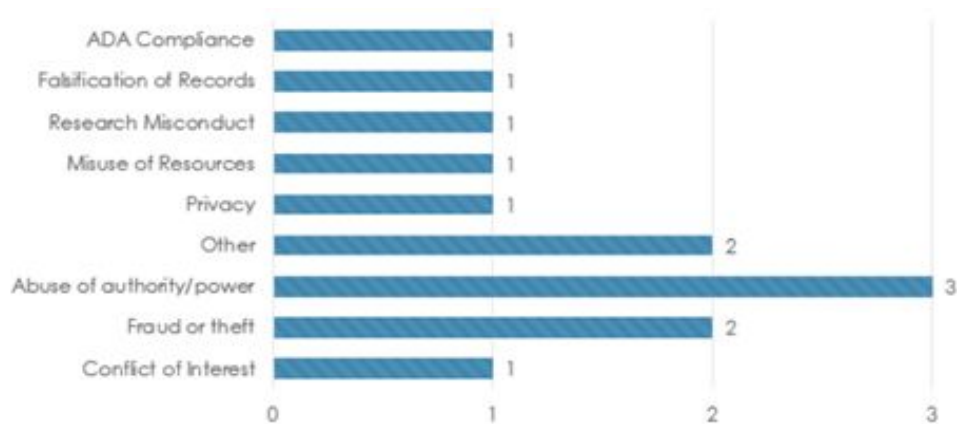
Standardization of internal processes to streamline cycle time and increase process transparency are underway.

- Operations manual is in progress with estimated completion in Fall 2024.
- Report templates will be incorporated into operations manual.
- Recording and record keeping have been updated to utilize Maxient.

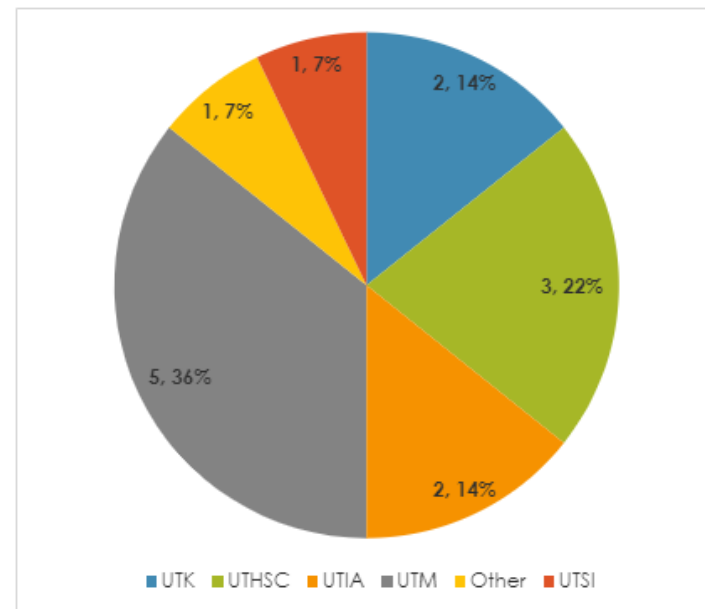
Provide proactive fraud and hotline training based on hotline reporting trends has been provided on request during Spring 2024 and will continue as part of larger compliance program outreach efforts from July 2024 onward.

Special Projects & Investigations

Investigated Cases by Issue



Open Cases by Location





THE UNIVERSITY OF TENNESSEE SYSTEM

TREASURER

MEMORANDUM

6.4

TO: Audit and Compliance Committee
Mr. John Compton, Chair of the Board of Trustees
Mr. Decosta Jenkins, Chair, Audit and Compliance Committee
Mr. Bill Rhodes, Chair, Finance and Administration Committee

FROM: Mr. Luke Lybrand *LL*

DATE: May 29, 2024

SUBJECT: Travel Exception Report

The Board of Trustee’s policy on travel requires the university to report to the Audit and Compliance Committee any travel exceptions approved on behalf of the President, employees in the President’s Office, senior-level administrators, or the Sr. Vice President and Chief Financial Officer. For the quarter ending March 31, 2024, there were no exceptions requested or approved in accordance with the Board’s policy.

If you have any questions, please let me know.

- c: Mr. Randy Boyd
- Mr. David Miller
- Mr. Brian Daniels
- Ms. Cindy Moore