



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AUDIT AND COMPLIANCE COMMITTEE	
Thursday, October 15, 2026	Student Union Ballroom
3:45 p.m. (EDT)/ 2:45 p.m. (CDT)	The University of Tennessee, Knoxville, TN

AGENDA

Public Session

- I. Call to Order and Roll Call
- II. Opening Remarks of the Committee Chair
- III. Requests to Address the Board (if appropriate for the Committee)
- IV. [Approval of Minutes from Last Meeting](#) - Action.....Tab 1
- V. [Consent Agenda](#) Tab 2

Information Items

- A. [2026 Audit Plan Update](#) Tab 2.1
- B. [2026 Institutional Compliance Update](#) Tab 2.2
- C. [Travel Exception Report](#) Tab 2.3

- VI. 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 Chair or Board Secretary before the meeting.]

- VII. Closing Remarks and Adjournment

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; and/or
- Items not subject to public inspection or other matters, as may be permitted under state law.



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

MINUTES OF THE AUDIT AND COMPLIANCE COMMITTEE

June 29, 2026

The Audit and Compliance Committee of The University of Tennessee Board of Trustees met at 3:30 p.m. (CDT) on Monday, June 29, 2026. The meeting was held in the Gault Fine Arts Building 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.

Other Trustees Present: Hon. William E. Haslam; Christopher L. Patterson; William C. (Bill) Rhodes III; David Wade; David N. Watson; 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 C. Moore, Board Secretary and Special Counsel; C. Ryan Stinnett, General Counsel; Chancellor Melinda Arnold (UT Southern); Chancellor Lori Mann Bruce (UT Chattanooga); Chancellor Peter Buckley (UT Health Science Center); Chancellor Yancy Freeman (UT Martin); and Chancellor Donde Plowman (UT Knoxville). Additional members of the UT senior leadership and staff were also in attendance.

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 Committee Chair

Committee Chair Jenkins called the meeting to order and welcomed those in attendance. He noted that the Committee had a substantial agenda and advised that, in the interest of managing the meeting efficiently, he intended to take the Consent Agenda before consideration of the proposed litigation settlement.

Approval of Minutes

Committee Chair Jenkins called for any changes to the minutes of the prior meeting. Hearing none, the minutes were accepted as presented (Tab 1 of the meeting materials).

Public Safety Statistics Update

Mr. Daniels introduced the annual public safety statistics update, developed in response to recommendations from the University's 2019 sunset audit. Kelly Mihalik, Special Projects Investigator and Public Safety Manager for the UT System, reviewed crime data

submitted to the Tennessee Bureau of Investigation (TBI). She explained that the College and University Security Information Act requires Tennessee colleges and universities to report annual statistics directly to the TBI for crimes occurring on campus and in student housing.

Ms. Mihalik reported that campus crime statewide declined approximately 9% in 2025, including decreases of approximately 4% in drug and narcotics offenses, 7% in assaults, and 24% in aggravated assaults.

She reviewed three-year trends across University campuses for theft, vandalism, drug and narcotics offenses, assaultive offenses, and weapons violations. She noted that the data includes offenses involving nonaffiliated individuals and, in some cases, reflect proactive law-enforcement activity beyond the immediate campus population.

At UT Knoxville, for example, Ms. Mihalik reported that 48 aggravated assaultive offenses involved nonaffiliated individuals. Of the 315 reported drug and narcotics violations, 280—approximately 89%—involved individuals outside the UT campus community. She explained that these violations arose from 229 separate incidents because TBI reporting requires each applicable offense within an incident to be counted separately. Administration also discussed proactive policing by the UT Knoxville Police Department, including activity beyond the immediate campus boundaries, and reported a 94% clearance rate for drug and narcotics violations.

The Committee compared UT campus crime rates with those of Tennessee's Locally Governed Institutions and statewide rates. Administration noted that the statewide comparison provides useful context because rates for the reported categories were substantially lower on UT campuses than among Tennessee's general population.

The Committee emphasized the value of distinguishing incidents involving members of the University community from those involving nonaffiliated individuals to provide clearer insight into campus safety trends and inform continued safety efforts.

UT Southern Public Safety Update

Ms. Mihalik presented an update on safety and security at UT Southern. She reviewed the use of approximately \$4.2 million in state higher education safety grant funds for improvements including lighting, electronic access controls and locks, cameras, backup power, fiber infrastructure, and other safety equipment. Ms. Mihalik reported that the grant project was substantially complete and that the investments had significantly strengthened UT Southern's safety infrastructure.

Chancellor Arnold described UT Southern's broader safety strategy. She also discussed the planned closure and transfer of a portion of Madison Street to the University

beginning in fall 2026. She explained that the change is expected to reduce vehicle traffic through the center of campus, improve pedestrian safety, and strengthen the University's ability to manage access, events, and emergency response.

Internal Audit AI Update

Mr. Daniels introduced the artificial intelligence (AI) update in response to discussion at the Committee's prior meeting regarding how the University is using AI and how Internal Audit may leverage the technology to improve its work. Dan Harder, Chief Academic Technology Officer and Deputy Chief Information Officer, provided an overview of the University's approach to AI, including emerging cybersecurity risks, governance, and efforts to prepare students, faculty, and staff to use AI effectively.

Mr. Harder explained that the increasing capabilities and availability of AI tools have heightened cybersecurity risks, including the ability of threat actors to identify and exploit vulnerabilities more rapidly. He described the University's efforts to address these risks through its security operations center, collaboration among campus information technology leaders, enhanced vendor risk assessments, and the use of AI-enabled cybersecurity tools. At the same time, the University is seeking to promote responsible use of AI and strengthen AI literacy and proficiency among students, faculty, and staff.

As part of these efforts, the University has deployed the UT AI Hub, an enterprise platform through which authorized users can access approved AI models using their University credentials. Mr. Harder described the platform as a private, protected environment intended to permit appropriate use of University data without that information being used to train the underlying AI models. He emphasized that AI governance will require continued attention and adaptation as the technology develops rapidly.

Mr. Daniels then discussed AI from the Internal Audit perspective. He identified two primary areas of focus: using AI to increase the efficiency and reach of audit activities and providing assurance regarding the University's governance and use of AI. He emphasized that, while AI may enable auditors to analyze more information and perform work more efficiently, professional judgment and human review remain essential.

Committee discussion included the potential for AI to expand audit testing beyond traditional sampling and assist with activities such as contract review and analysis of larger populations of transactions. Mr. Daniels indicated that Internal Audit would continue evaluating these applications in collaboration with University information technology leadership.

NCAA Compliance Update

Mr. Daniels introduced the annual athletics compliance report. General Counsel Ryan Stinnett explained that Board policy requires each chancellor with a National Collegiate Athletic Association (NCAA) athletics program to report annually to the Committee, through the General Counsel, regarding the adequacy of the institution's athletics compliance function.

Mr. Stinnett reviewed the four areas required by Board policy: athletics compliance reporting structures; processes for reporting and investigating alleged NCAA violations; compliance staffing relative to peer institutions; and NCAA violations during the prior year. He reported that the compliance reporting structures and investigative processes at the University's NCAA campuses are appropriate and consistent with best practices, including reporting avenues outside the athletics chain of command. He also reported that compliance staffing is consistent with peers and noted that UT Martin added a second full-time compliance employee.

Mr. Stinnett further reported that the violations identified during the prior year were Level III violations, the NCAA's lowest tier, and that the campuses' processes had functioned as intended through self-identification, self-reporting, and appropriate corrective action. He noted the close working relationship between campus athletics compliance personnel and the Office of General Counsel.

Brandie Paul, Vice Chancellor and Director of Athletics for UT Southern, provided a brief overview of UT Southern's membership in the National Association of Intercollegiate Athletics (NAIA) and compared selected aspects of the NAIA model with the NCAA model, including governance, recruiting, scholarships, compliance staffing, institutional size, and student-athlete participation. She also described planned organizational changes intended to strengthen athletics operations and compliance at UT Southern.

Consent Agenda

At the discretion of Committee Chair Jenkins, the Committee then considered the Consent Agenda before the proposed litigation settlement. The Consent Agenda consisted of informational items included in Tab 7 of the meeting materials: Research Security - Implementation Report; Internal Audit - Quality Assessment Review - Self-Assessment; 2026 System Title IX Report; 2026 Audit Plan Update; Outstanding Audit Issues; Institutional Compliance Update; and Travel Exception Report.

At the Chair's request, Mr. Daniels commented on the Internal Audit Quality Assessment Review. He explained that an external assessment of the internal audit function is required every five years and that the department had completed its self-assessment. An independent validation by representatives from peer higher education internal audit

functions is expected in the fall, after which the results will be brought back to the Committee. No other Consent Agenda item was removed for discussion, and no vote was required on the informational items.

Proposed Litigation Settlement

Committee Chair Jenkins stated that one proposed litigation settlement had been referred to the Committee and listed on the agenda and that a second proposed settlement had subsequently been referred to the Committee for consideration.

Executive Session

The Committee recessed into a nonpublic executive session pursuant to Tennessee Code Annotated § 4-35-108 to review audits, investigations, litigation, items not subject to public inspection under state law, and other matters designated confidential or privileged by law. The Chair announced that the Committee would reconvene in public session to consider any matter requiring action.

Upon reconvening in public session, the Secretary and Special Counsel called the roll and confirmed the presence of a quorum.

Michael Fitzgerald, Deputy General Counsel – Litigation and Employment, requested Committee approval of a proposed settlement of a lawsuit between the University and Pharma Conference Education, Inc. He explained that the parties entered into a written agreement in July 2016, under which the company would produce pharmaceutical-related conferences for the University. The agreement had a five-year term with an automatic five-year renewal unless either party gave one year's notice of termination. A dispute arose concerning the parties' respective responsibilities, and the University terminated the agreement in January 2017. The company subsequently asserted a breach of contract claim seeking approximately \$2.4 million in damages.

Mr. Fitzgerald reported that, after years of litigation and mediation in December 2025, the parties reached a tentative settlement in the amount of \$700,000. He reviewed Board of Trustees Policy BT0031 - Policy on Settlement of Claims and Litigation, explaining that settlements exceeding \$250,000 require approval by the applicable campus chancellor, the Chief Financial Officer, the President, and either the Executive Committee or the Audit and Compliance Committee, as determined by the Board Chair. He stated that the proposed settlement had been approved by UT Health Science Center Chancellor Peter Buckley, Senior Vice President and Chief Financial Officer David Miller, and President Randy Boyd. He further stated that the Office of General Counsel had approved the settlement agreement as to form and legality, subject to the required University approval, and that approval by state officials, including the Attorney General and Governor, would also be required.

Mr. Fitzgerald recommended approval of the proposed settlement and requested authorization for the appropriate University officials to execute the settlement agreement and any additional documents necessary to effectuate the settlement. Upon motion duly made and seconded, the Committee approved the proposed settlement with Pharma Conference Education, Inc. in the amount of \$700,000, as set forth in the resolution included at Tab 6 of the meeting materials.

Other Business

Committee Chair Jenkins advised that an additional proposed settlement involving a former UT Knoxville faculty member had not appeared on the published agenda. In accordance with the Bylaws, the Committee considered whether to take up the item as other business. Board Chair Compton recused himself from the vote. Upon motion duly made and seconded, the Committee, by the required affirmative vote, agreed to consider the additional settlement proposal.

Mr. Fitzgerald requested that the Committee authorize the appropriate University officials to approve and effectuate the proposed settlement of litigation filed by Tamar Shirinian against the University, Chancellor Donde Plowman, President Randy Boyd, and Dr. Charles Noble. He reported that the parties had negotiated a tentative settlement providing for no reinstatement and payment of \$1.9 million, subject to approval by the Board of Trustees and required state officials, including the Attorney General and Governor. Mr. Fitzgerald requested authorization for the appropriate University officials to execute all documents needed to finalize the settlement.

In response to a question raised by Committee Chair Jenkins, Mr. Fitzgerald confirmed for the record that the Office of General Counsel recommended approval of both proposed settlements. The Secretary and Special Counsel noted that the resolution for the proposed Shirinian settlement, although not included in the published meeting materials, had been provided in writing to Committee members before the vote.

Upon motion duly made and seconded, the Committee, acting pursuant to authority granted by Board of Trustees Policy BT0031 - Policy on Settlement of Claims and Litigation, approved the recommended resolution of the litigation with Tamar Shirinian in the amount of \$1,900,000, subject to the execution of a written and executed settlement agreement and mutual release (the "Settlement Agreement") as approved by the Office of General Counsel and state approving authorities. As a condition of the Settlement Agreement, Dr. Shirinian will agree that she will not return to employment with the University at any time in the future. The Committee authorized the Senior Vice President and Chief Financial Officer to execute the Settlement Agreement and any ancillary documents necessary to effectuate the Settlement Agreement. Board Chair Compton abstained from the vote.

Closing Remarks and Adjournment

Before adjournment, Board Chair Compton stated that continued litigation would require significant time, attention, and financial resources that would be better directed toward advancing the University's mission, vision, and values. On behalf of the Board of Trustees, he also expressed confidence in and support for President Boyd and Chancellor Plowman and thanked them for their leadership of the UT System and UT Knoxville, respectively.

There being no further business to come before the Committee, Committee Chair Jenkins adjourned the meeting.

Respectfully Submitted,

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



THE UNIVERSITY OF TENNESSEE BOARD OF TRUSTEES

AGENDA ITEM SUMMARY

Meeting Date: October 15, 2026

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.

List of Information Items

- A. 2026 Audit Plan Update
- B. 2026 Institutional Compliance Update
- C. Travel Exception Report

The University of Tennessee
Audit Plan Status - As of September 14, 2026
For the Year Ending December 31, 2026

Audit Engagements	Campus	Status
IT: Windows Administration (Carryover)	UTK	Complete
Grant Compliance Audit (Carryover)	UTK/UTIA	In-Progress
PCA - Administrative Division (Carryover)	UTC	Complete
PCA - Academic Division (Carryover)	UTK	Complete
PCA - Academic Division (Carryover)	UTM	Complete
PCA - Academic Division (Carryover)	UTHS	In-Progress
PCA - Administrative Division (Carryover)	UTS	Complete
PCA - IT Policy (Carryover)	UTHS	Complete
Research Freezers	System-wide	In-Progress
Background Checks	System-wide	In-Progress
Effort Certification	System-wide	Planned
Off-campus Buildings Maintenance	System-wide	Planned
Third-Party Risk Management	UTSA	In-Progress
Radiation Safety	UTK	Planned
Building Access Controls	UTK	Planned
VolShop	UTK	Deferred
Anatomical Gifts Compliance	UTK	Planned
Camps and Clinics	UTC	In-Progress
Student Fees	UTC	Planned
Controlled Substances	UTHS	In-Progress
HIPAA Data Security	UTHS	Planned
Camps and Clinics	UTM	In-Progress
2026 Complete College Tennessee Act	System-wide	In-Progress
Student Organization Bank Accounts	System-wide	In-Progress
Office of the President	UTSA	In-Progress
Office of the Chancellor	UTC	In-Progress
Office of the Chancellor	UTM	In-Progress
Office of the Chancellor	UTS	In-Progress
PCA - IT Policy	UTM	In-Progress
College of Veterinary Medicine Petty Cash Accounts	UTIA	In-Progress
UTHS Lockout and Tagout Processes	UTHS	In-Progress

Consulting Engagements	Campus	Status
Internal Controls Mapping - Procurement - Marketplace (Carryover)	System-Wide	In-Progress
Construction Costs - UTK Nursing Building (outsourced) (Carryover)	UTSA/UTK	In-Progress
Construction Costs - UTK Neyland Renovations (outsourced) (Carryover)	UTSA/UTK	In-Progress
Security Camera Systems Access and Controls (Carryover)	UTM	Complete
Student Mental Health Services (Carryover)	System-Wide	Complete
Cybersecurity Governance, Risk, and Controls Consultation (Carryover)	UTSA/System-Wide	Complete
International Travel (Carryover)	UTK	In-Progress
TRIO	UTK	In-Progress
Internal Controls - Departmental General Ledgers	System-Wide	Planned
Internal Controls - Payroll	System-Wide	Planned
Internal Controls -Accounts Payable	System-Wide	Planned
Internal Controls - P Cards	System-Wide	Planned
Internal Controls - Terminations	System-Wide	Planned
DASH Risk Management Cloud	UTSA	In-Progress
Construction Costs - Lindsey Nelson Stadium (Co-sourced)	UTK	Planned
Campus Project Funding Authority	UTSA	Planned
UTIA International Travel	UTK(UTIA)	In-Progress
Facilities Maintenance and Repair Business Process	UTK	Planned
Controlled Substances - College of Veterinary Medicine	UTK/UTIA	In-Progress
International Travel	UTC	Deferred



Fall 2026 Institutional Compliance Update



INTRODUCTION

The 2026 Institutional Compliance plan focused on ethics and outreach through communication and training, policy development through collaborative efforts across university areas, risk assessment and monitoring of regulatory requirements, and team development.

Monitoring the regulatory landscape has shown a continuation of impactful changes in 2026 with new state laws and federal regulation changes. Federal expectations for higher education have continued to expand including new requirements for Department of Education reporting (Integrated Postsecondary Education Data System, IPEDS), changes in federal financial aid, and changes for international learners related to discontinuation of the duration of status and a transition to fixed admission periods. There was also a Notice of Proposed Rulemaking from the Office of Management and Budget in the Federal Register that, if implemented, will have significant changes for allowable expenses on research grants. Final rulemaking, however, is paused through December 11, 2026, by the Continuing Appropriations and Extension Act. And, as of September 28, 2026, the US Senate has passed the Protect College Sports Act moving closer to regulation of college athletics.

Campus committee education in preparation for fall risk assessments is underway and aligns the evolving regulatory environment described above with identified enterprise risks.

STATUS UPDATES FOR COMPLIANCE INITIATIVES AND ACTIVITIES

Systemwide compliance training is an annual activity where, in addition to a subset of systemwide content, each campus has determined the content and timing of completion for all employees. This year, UT is moving to systemwide mandatory IT compliance training and has added a course on Data Privacy in the Age of AI for all employees. Data below is representative of the content and timing for 2025-2026 for all regular employees and the content launched for 2026-2027 training.

Annual Compliance Training Content

Compliance Courses	UTC	UTHS	UT IPS	UTK	UTM	UTS	UTSA	UTFI
Code of Conduct	X	X	X	X	X	X	X	X
Cybersecurity	X	X	X	X	X	X	X	X
FERPA	X	X		X	X	X		X
Title IX	X	X	X	X	X	X	X	X
Title VI	X	X	X	X	X	X	X	X
Hazard Awareness & Emergency Response	*	X						*



HIPAA	*	X		*				*
Emergency Preparedness				X				
Safety Awareness					X			
Campus Security Authority	**	**		**	**	**		**
Data Privacy in the Age of AI +	X	X	X	X	X	X	X	X
Research Security +				X				

* Employees related to Health Sciences, Erlanger or Vine Street Clinic

** A subset of employees identified as CSA mandatory reporters

+ Data Privacy and Research Security are new for 2026.

Annual Compliance Training Timelines

Campus	Launch Date	Due Date	New Hire Assignments Through
2025-2026 UT Chattanooga	9/9/2025	9/19/2025	7/31/2026
2025-2026 UT Foundation	4/1/2025	5/29/2025	7/31/2026
2025-2026 UT Health Sciences	4/1/2025	5/29/2025	7/31/2026
2025-2026 UT Institute for Public Service	10/13/2025	12/12/2025	7/31/2026
2025-2026 UT Knoxville	8/12/2025	12/31/2025	7/31/2026
2025-2026 UT Martin	4/1/2025	5/29/2025	7/31/2026
2025-2026 UT Southern	10/14/2025	12/31/2025	7/31/2026
2025-2026 UT System Administration	9/18/2025	12/19/2025	7/31/2026
2026-2027 UT Chattanooga (as of 9/28/2026)	9/1/2026	12/31/2026	7/31/2027
2026-2027 UT Institute for Public Service (as of 9/28/2026)	9/1/2026	12/31/2026	7/31/2027
2026-2027 UT Knoxville (as of 9/28/2026)	8/18/2026	12/31/2026	7/31/2027



Campus	Launch Date	Due Date	New Hire Assignments Through
2026-2027 UT Southern (as of 9/28/2026)	9/23/2026	12/31/2026	7/31/2027
2026-2027 UT System Administration (as of 9/28/2026)	9/1/2026	12/31/2026	7/31/2027

2026 TENNESSEE FINANCIAL INTEGRITY ACT

The self-assessment of controls is a questionnaire-based activity supporting annually required Tennessee Financial Integrity Act (TFIA). TFIA compliance requires:

(a) By December 31, 2008, initially, and then by December 31 of every year thereafter, the head of each state agency and higher education institution shall, on the basis of the evaluations conducted in accordance with guidelines prescribed under § 9-18-103, prepare and transmit to the commissioner of finance and administration and the comptroller of the treasury a report that states that:

- (1)** The agency or institution acknowledges its management's responsibility for establishing, implementing and maintaining an adequate system of internal control; and
- (2)** A management assessment of risk performed by the agency or institution provides or does not provide reasonable assurance of compliance with the objectives of the assessment as specified in this chapter.

The process for evaluating internal controls was expanded this year. Historically, questionnaires were sent to stakeholders cover approximately 190 key internal controls in a cyclical process to address information technology, money handling, human resources, payroll, movable equipment, accounts receivable, procurement of goods and services, and sponsored projects. Approximately 600 departments were surveyed annually.

In 2026, the expanded assessment includes entity level controls to cover all business operation topical areas for assurance that departments are complying with University policy and following good business practices. Additionally, internal control questionnaires for specific key stakeholder groups were added to ensure management oversight and strategic internal control risks monitoring. Questionnaires now include approximately 650 departmental business offices and 70 key stakeholder groups. This effort launched September 2026. A report of results shall be issued no later than December 2026.

CONFLICT OF INTEREST DISCLOSURES

The annual conflict of interest disclosure process began September 2026 in DASH Research. Notifications were sent to 30,083 employees and the disclosure process is underway with greater than 50% completion to date.



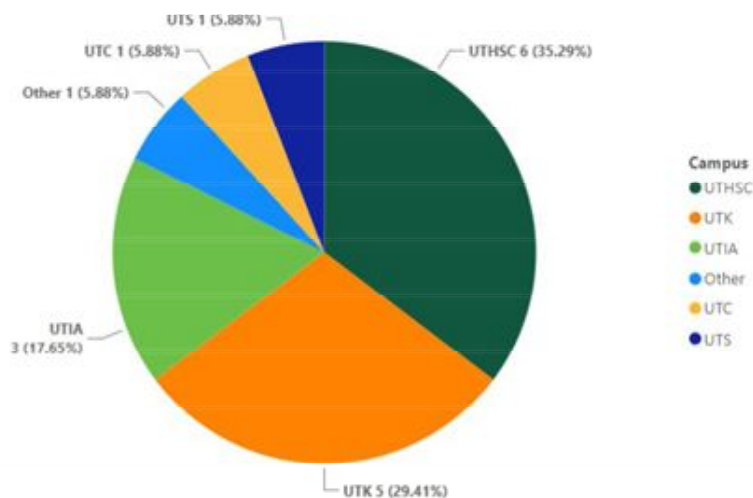
AMERICANS WITH DISABILITIES ACT WEB COMPLIANCE

Enhanced requirements related to web and mobile app accessibility were noted in the 2026 Institutional Compliance plan. The federal compliance date has been extended to April 26, 2027. However, UT has implemented electronic tools to proactively assess and address accessibility concerns online and within the Canvas environment for students.

SPECIAL PROJECTS AND INVESTIGATIONS ACTIVITY

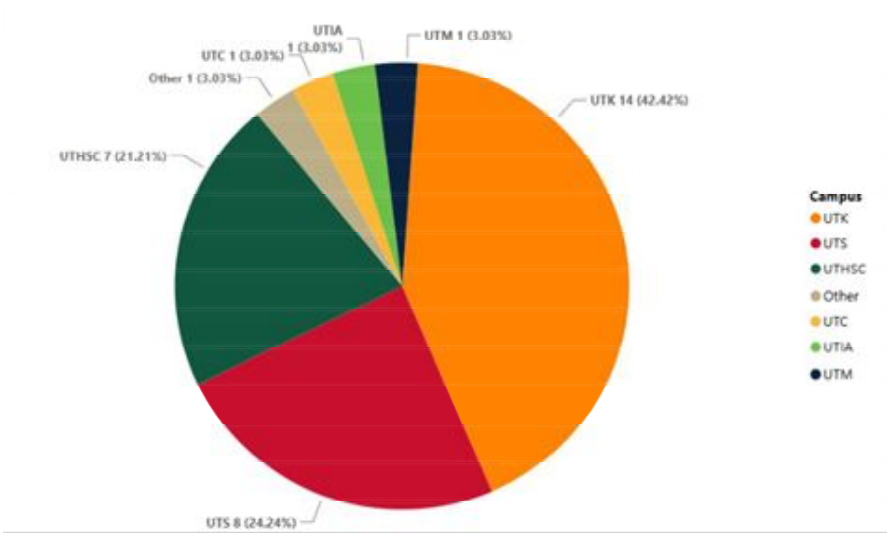
Hotline and Investigations activity: 38 allegations were received (June-September 2026) plus 12 additional open cases from the previous period. 33 allegations were either investigated or referred to campus (June-September 2026).

OPEN CASES BY CAMPUS AT SEPT. 18, 2026





COMPLETED CASES BY CAMPUS AT SEPT. 18, 2026





SUMMARY OF RESEARCH COMPLIANCE INITIATIVES

Topic	Objective	Status
Research Security Program	Per the Board of Trustees Policy on Research Security (BT0033), the Research Security Council (RSC) is responsible for evaluating the University's research security posture and for developing an integrated and comprehensive research security program for the University including policies, procedures, guidance, and training to ensure compliance, educate researchers, and mitigate risk.	Drafting and implementing policies supporting the research security program as recommended by an external consultant. <i>Visiting Scholars, International Engagement and International Travel</i> policies and supporting baseline procedures were approved by RSC. <i>Next steps: Final approvals and implementation, additional policy and procedure drafting.</i>
Research Security Program	As described in BT0033, the CRSO is responsible for oversight and implementation of research security program(s), compliance assessments, assurance and reporting.	Candidate interview scheduled for October 2026.
Hiring	Add dedicated expertise to Compliance staffing for Research	Complete. New hire brings expertise in research fiscal requirements, experience in training researchers, policy development, and strong knowledge of the DASH Research platform.
Pilot monitoring program	Research funding is awarded to the university. Assurances and progress reports during the lifespan of funded projects provided to the sponsor by either the university or the researcher.	Developing a pilot framework with UT Martin to prompt and collect researcher certifications that sponsoring agency expectations are addressed timely and in accordance with sponsor expectations.



SUMMARY OF ENVIRONMENTAL HEALTH AND SAFETY (EHS) AND EMERGENCY MANAGEMENT INITIATIVES

Topic	Objective	Status
Continuity Testing	Develop materials for continuity testing. Testing is required by UT System Policy SA0200 – Emergency Management	Testing Scenario presentation materials, facilitator script, and explanation of requirement provided to campuses 9/2026.
EHS Peer Review	Cross training of EHS staff through mock inspections	EHS representatives from all campuses participated in reviews at UTC, UTK, UTIA, UTS, UTSI, UTM. All site visits are complete as of 9/30/2026. Site reports have been shared with each campus.
Key Performance Indicators	Losses, Compliance Requirement Completion, Stakeholder Engagements	Ongoing data compilation
Drone Policy	Update existing policy based on new procurement, use, and safety requirements (state and federal)	With General Counsel for legal sufficiency review prior to adoption by Senior Policy Group.

**MEMORANDUM**

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

FROM: Ms. Andrea Addis *aa*

DATE: September 22, 2026

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 June 30, 2026, 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