

### **Managing Third-Party Risk**

#### **Objective:**

Inform attendees about:

- Third-Party Vendor Management Current Trends and Program Management
- Why Organizations Leverage External Resources
- Phases of Each Relationship
  - Evaluate Options
  - Negotiate Agreement
  - Monitor Service Level Performance
- Case Study Examples
- Internal Audit Focal Points How to Add Value to Your Organization

#### Who Should Attend

Personnel from State Agencies, Universities, and Community Colleges

#### **CPE Logistics**

CPE Credit: 1.0 hours

Materials: Will be provided before webinar

Teaching Method: Live Webinar

Prerequisites: None

Advance Preparation: None

Level: Basic

Webinar Developer: Experis

Webinar Sponsor: NC Office of the State Controller

**NOTE:** There will be NO site administrator or group registrations for this webinar. During the webinar, participants are required to be individually logged on for no less than 50 minutes of the webinar and respond to three polling questions to receive CPE credit. Your time will be tracked to accurately award 1 hour of CPE credit.

**IMPORTANT:** There will be NO partial credit given. If you watch this as a group, there will be NO CPE credit awarded.

## **Speaker - Tim Lietz, Experis Finance Regional Practice Leader, Risk Advisory Services**



Tim is a Regional Practice Leader for Risk Advisory Services. He has over 25 years of experience working both in industry as a Chief Audit Executive and providing professional services relating to Internal Audit, Compliance, Enterprise Risk Management and Corporate Governance. He has expertise in successfully aligning internal audit, enterprise risk management, compliance functions and business operations for Fortune 500, as well as small to midsize companies.

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internal audit function. He has worked with internal audit functions to implement new risk assessment and strategic planning frameworks in order to enhance the effectiveness of the function.

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Tim is a CIA, CRMA, MBA and a member of the IIA. He has his undergraduate degree from Northern Illinois University and his MBA from Wake Forest University.



# Internal Audit and Managing Third Party Risk

**Presented By:** 

Tim Lietz - Regional Practice Director - Risk Advisory Services

Monday, October 08, 2018

#### Our Time Today

Managing Third Party Relationships

 Third Party Vendor Management – Current Trends

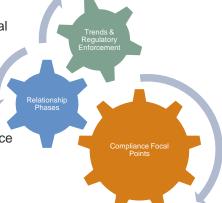
 Why Organizations Leverage External Resources



- Evaluate Options
- Negotiate Agreement
- Monitor Service Level Performance

Case Study Examples

Focal Points for Your Organization



# Third Party Relationships – Current Trends

Managing Third Party Relationships

#### What we're seeing from the regulators

- OCC's Semiannual Risk Perspective
  - Elevated Operational Risk Level is expected to continue; with Reliance on Third Party Service Providers increasing
  - Concentration areas of reliance on third parties could lead to single points of failure without effective oversight
- OCC Bulletin 2017-7: Third-Party Relationships: Supplemental Examination Procedures
  - Assess the institution's Quantity of Risk
  - Assess the institution's Quality of Risk Management

#### Our Unique Perspective

#### Kaleidoscope of clients

- Industry: Financial Services, Manufacturing, Government, Notfor-Profit, Insurance, Healthcare, SaaS, Automotive
- · Size: Revenues to Head-Count
- Internal Audit Department Footprints
- · Regulatory Requirements



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#### What We Are Seeing – 2018

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- OCC & Fed Increased focal points
- CEB Top 10 Audit Plan Hot Spots of 2018
- Large Carolinas financial services client 4 people on site performing vendor audits
- Large regulated client assistance in developing vendor management program and completion of annual audits
- FSI Exchange Conference hot topic of 2 day event Sept 2018

#### What We Are Seeing

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#### **Recent Trends**

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- 42% of companies now describe themselves as highly vulnerable to vendor, supplier, or procurement fraud
  - Kroll Global Fraud Survey
- A current survey indicates that 85% of companies recently suffered at least one supply chain disruption

   Zurich Financial Survey
- 90% of all FCPA cases involved third-party intermediaries – organizations need to evaluate their understanding of and compliance with statutes such as the FCPA and UK Bribery Act.

- Corporate Executive Board

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#### Recent Trends - continued

- Facilitation Payments 3<sup>rd</sup> parties must follow your company's policy – The Biebs Example
- 3<sup>rd</sup> party service providers handling customer credit card data – storing, processing and transmitting, customer card data
- COSO 2013 Compliance controls over outsourced service providers are a big focal point today. In the past, SOC reviews seemed sufficient, but now more in depth review of controls and monitoring activities are required. Formal, documented controls are being implemented.

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#### Recent Trends - continued

- Controls over information going to/from third parties. More formalization required.
- Increased complexity of supply chains and "opacity" of individual links. Cumulative risk of multiple weaknesses.



- Increased business leader accountability for thirdparty relationships and risks to business.
- Russia Sanction
   Compliance most
   complex sanctions ever for
   businesses, especially in
   energy. OFAC compliance
   – are your business
   partners compliant?

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#### Recent Trends - continued

- Vendor Risk Management is definitely getting more attention and demanding maturity
- Executive Boards and Audit Committees regard cybersecurity as a key risk, but maybe not as it relates to VRM!
- Metrics matter how does your company measure, monitor and report on its vendor footprint?
- VRM There's always room for improvement

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#### Polling Question

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#### **Polling Question 1:**

What percentage of companies with FCPA violations are related to 3<sup>rd</sup> Party activities/transactions?

- A. 30%
- B. 48%
- C. 70%
- D. 90%

# Why Organizations Leverage External Resources

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#### Duke University/CFO Magazine Outlook Survey



#### **Top 10 Concerns for U.S. Businesses**

- 1. Economic Uncertainty
- 2. Cost of benefits
- 3. Attracting and retaining qualified employees
- 4. Regulatory requirements
- 5. Government policy
- 6. Weak demand for product/services
- 7. Data Security
- 8. Employee productivity
- 9. Employee morale
- 10. Access to capital



By 2020, there will be

#### 123 million

high-skill, high-pay jobs available in the U.S., but only

#### 50 million

Americans with the right education to fill them.

Economist Intelligence Unit

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#### Workplace "Out of" Balance



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#### **Top 5 Reasons Organizations Outsource**



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#### **Top 5 Functions Outsourced**



#### Reliance on Vendors and the Regulatory Impact

Regulators acknowledge the risks associated with vendor relationships and have demanded that leaders monitor and take responsibility for the actions of their vendors through various laws and standards:

- Sarbanes Oxley Act
- · Gramm-Leach-Bliley Act
- FCPA
- · Health Insurance Portability and Accountability Act,
- Payment Card Industry Data Security Standard (PCI DSS)
- · CFPB guidance

Consequently, vendor management is currently at the forefront of organizational risk management priorities.

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#### **Polling Question**

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#### **Polling Question 2:**

What is the number 1 function outsourced by organizations today?

- A. Finance
- B. Human Resources
- C. IT
- D. Legal

# Phases of the Vendor Relationship

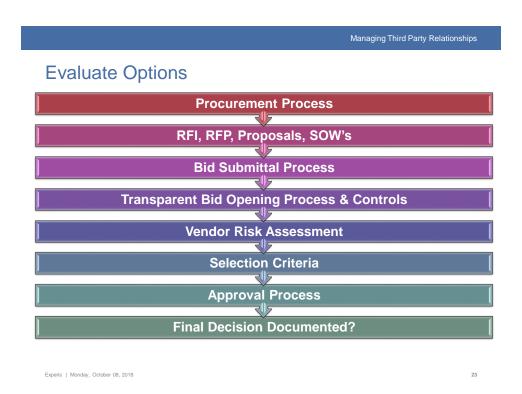
#### Phases of the Relationship

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- Evaluate Options / Vendor Risk Assessment
- Negotiate, Contract & Onboard
- Service Level Monitoring

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#### Contract Structuring & Review – The Obvious

- Management should ensure that the specific expectations and obligations of both parties are outlined in a written contract prior to entering into the arrangement.
- Board approval should be obtained prior to entering into any significant third-party arrangements.
- Legal counsel should review significant contracts prior to finalization.

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#### Oversight of Third-Party Activities

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- Management should periodically review the Third party's operations to verify that they are consistent with the terms of the written agreement and that risks are being controlled.
- Management should consider designating a specific officer to coordinate the oversight activities with respect to significant relationships and, as necessary, involve other operational areas (audit, IT) in the monitoring process.
- An effective oversight program will generally include the monitoring of the third party's quality of service, risk management practices, applicable internal controls and reports.

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#### Monitor Performance – Questions to Ask

- Monitoring adherence to the agreement Who performs?
- Annual scoring of performance Are there documented performance statistics for each vendor where appropriate? Who/How scores? Are performance scores shared internally?
- Renewal process How is it coordinated between procurement and process or business owners?

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#### Polling Question

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#### **Polling Question 3:**

What wording should always be included in executed contracts?

- A. Indemnification
- B. Right to Audit
- C. Dispute Resolution
- D. Business Reputation

#### **Case Studies**

#### Regulatory Enforcements

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Cadbury Limited/Mondelez International - The global snacking business agreed to pay a \$13 million penalty for FCPA violations occurring after Mondelez (then Kraft Foods Inc.) acquired Cadbury and its subsidiaries, including one in India that proceeded to make illicit payments to obtain government licenses and approvals for a chocolate factory in Baddi.



 Anheuser-Busch - The Belgium-based global brewery agreed to pay \$6 million to settle charges that it violated the FCPA by using third-party sales promoters to make improper payments to government officials in India and chilled a whistleblower who reported the misconduct.

#### Regulatory Enforcements

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- Consulting Firm Edward Snowden Incident (Booze Allen) released top secret info to Wikileaks
- Layne Christensen
  - o \$5.1 million dollar FCPA fine for paying bribes in Africa during the 2000's.
  - o Improper payments to government officials over a 5 year period.
  - Series of payments, often made by third parties, made under the guise of "cost of doing business".

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#### **Lessons Learned**

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- Vendor management has become a core competency
- Increased need for Vendor Risk Management program beginning with an inventory and risk assessment –
- Companies need monitoring processes for on going vendor performance as part of the overall VRM program
- Be Proactive!

# Focal Points – Managing Increased Oversight of Vendors and Adding Value

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#### Vendor Management - A Growing Trend

- Issued guidance has been around for years, yet implementation and impact on operations continue to grow.
- Some vendors have indicated that since 2012, the number of audits of their operations have quadrupled.
- Companies have reported growing areas of inquiry & oversight (i.e. PCI, SOC).
- Increased regulatory focus on a vendor's operational compliance.
- Primary responsibility lies with the organization managing the vendor relationship.

#### **Coping with the Onslaught of Review Requirements**

The increased frequency of audits, together with the rise in scope, can be daunting for both risk managers and their vendors.



Do you have Right to Audit Vendors? Do Vendors have the right to audit you?

#### **Solution** – Vendor Risk Management Program!

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#### Pre-2013 Areas of Audit of a Vendor

Sampling of vendor questionnaires from pre-2013. Typical areas of inquiry included:

- Basic vendor information
  - Tax identification number
  - State of Organization
  - o Business Type
- Financial Information
- Professional licenses
- Insurance Coverage
- Privacy policy/confidentiality of data
- Business continuity

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#### 2018 Areas of Audit

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#### Business information

- Licensing
- Financial
- Management
- Employee qualifications
- Litigation
- Regulatory actions
- o Ownership of products
- System development lifecycles

#### Security

- Network
- Physical
- Application
- Hardware
- Access control
- o Identity access management

#### Privacy/GLBA/PCI

#### Operations

- o Polices and procedures
- o Change management
- o Consumer complaints

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#### Risk Management

- Enterprise risk management program
- Insurance risk management
- Information risk management
- Vendor risk management

#### **▶** Compliance

- Policies mine and yours
- Procedures mine and yours
- Applicable laws
- Records retention
- Training
- SOC Attestation

#### Business Continuity Planning

- Disaster recovery
- Pandemic plan

#### Diversity, Environment, Reputation – Corporate Culture

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#### Compliance Management: Planning

- · Be educated. Whether you are the reviewer or the subject, you must:
  - Know your client/vendor
  - Understand the services
  - Understand your business, including the regulatory oversight
  - Understand your contract
    - Scope of audit provisions
    - Compliance obligations

#### · Plan in advance:

- Are the limits to the disclosure of my information? Why?
- Are there materials available only for onsite review? Why?
- Are there materials that can be provided in advance?
- Who grants exceptions?

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#### **Audit Preparation**

- Create a library of commonly asked questions (data room)
  - Collect data on commonly asked questions and create acceptable answers in advance
- Set review periods of library to prevent stale answers
  - Employee Handbook annual
  - Litigation monthly or quarterly
- · Create collateral that can be provided on predictable topics
  - Privacy policy
  - Disaster recovery
  - Records retention

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#### **Audit: Execution**

#### **Examiners/Auditors**

- Set expectations of team members
- Appoint a team lead/project manager
- Define roles
- Require remediation plans

#### **Vendors**

- Dedicate a team for managing inquiries
- Centralize communication
- Use standard responses
- Manage timeline
- Build client trust and relationships
- Gather data and spot trends

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#### Audit: Post Mortem

- Save your work!
  - Identify focus areas for next review
  - Reduce time needed to respond to ongoing requests
  - Create collateral for regulatory compliance exam
- · Track and communicate results internally
- Act on noted issues
  - Terminate or reduce use of problem vendors
- Test remediation efforts
  - Follow up and request proof of completed remediation
  - Test

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#### VRM is no longer just nice to have.... Managing Third Party Relationships **Ancillary** Consent Orders / Findings operating Number & Regulatory Focus Areas of Amount of costs for Inquiry **Fines** vendor management They're asking questions...so should you! Experis | Monday, October 08, 2018

#### **Lessons Learned**

- **Transparency** a must from start to finish with each vendor!
  - December 2015 IIA Magazine "The Importance of Auditing for Conflicts of Interest"
  - · Hotline Reporting Number on RFP's?
- Consistency centralized or decentralized environment?
- Control Environment strong or weak?
  - Evaluate the process of monitoring vendor performance

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#### **Gaming the System, Ethical Dilemmas or Fraud?**

- Inflated "Rack Rates" vs. final "Negotiated Rates" increased annual bonus tied to cost savings
- CFO Request split into separate SOW's to prevent Board Approval
- Inappropriate Relationships -- \$25 million telecomm cabling contract & dual invoicing
- International Locations further from the Corporate Office, the likelihood for fraud increases.

Theme: One person was involved..no VRM process!

#### **Lessons Learned**

- FCPA & UK Bribery Act Compliance
  - payments made through 3<sup>rd</sup> Parties
  - FCPA fines related to bribes made through third parties
- Right to Audit Clause
- Financial Stability
- Sole Source Providers
- SOC Report Availability

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- Background and Drug Screening
- PC & Internet access start
   & finish of project (ours vs theirs)
- Equipment and Badges monitoring them
- Building Access too liberal? Audit visitor badges!
- Data Access and Retention Policies – do vendors comply?

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#### **Polling Question**

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#### **Polling Question 4:**

What is a certain red flag/high risk situation while negotiating, executing and renewing large dollar contracts?

- A. No Review by Legal
- B. Single Individual Involved
- C. Negotiation Not Done
- D. Vendor Performance Not Monitored
- E. All of the Above

#### **Control Focal Points**

#### **Third-Party Governance Review**

Ensure internal procedures regarding the use of third parties are comprehensive and consistently applied. These should cover processes, such as due diligence, contract management, and relationship termination.

#### **Audit Rights Review**

Look through contracts to see whether audit rights are included over third-party vendors. As contracts are renegotiated and new relationships are formed, ensure a right to audit clause is included.

- CEB 2016 Audit Plan Hot Spots

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#### Control Focal Points - cont'd

#### **Due Diligence in Selecting Third-Party Relationships:**

Assess due diligence process used to select vendors and other partners, including an examination of the third parties' internal control environment, security history, legal compliance (including complaints, litigation, and regulatory actions), and financial status.

#### **Supply Chain Management Health Check:**

Review whether risk management is appropriately integrated into supply chain management—cutting across individual parts, such as procurement, logistics and distribution—and includes a focus on lower likelihood but higher impact risks, such as business continuity, currency crises, and commodity volatility.

- CEB 2016 Audit Plan Hot Spots

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#### Resources

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## Supply Chain [QUARTERLY]

## **CEB Procurement Strategy Council®**





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#### Tim Lietz Regional Practice Leader, Risk Advisory Services, Experis Finance

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#### 2018 OSC Webinar Third Party Risk October 2, 2018

#### Attendee by Last Name (154)

Alisha Adams-Health & Human Services

Robert Allen-NCSSM

Lisa Allnutt-Health & Human Services

Derek Allred-Agriculture

Gregory Alvord-Health & Human Services

Lamees Asad-UNC-Chapel Hill

Steve Ayers-East Carolina University

Barbara Baldwin-OSBM

Matt Banko-Alamance CC

Jeannie Betts-Health & Human Services

Krista Bigelow-Department of Public Instruction

Jennifer Blair-UNC Chapel Hill Leslie Blankenship-Isothermal CC

Judy Blount-Department of Public Instruction

Joyce Boni-UNC System Office

Cory Bowen-Southwestern Community College

Desiree Bowling-East Carolina University

Suzanne Bryson-UNC Ashville

Victor Bullock-Health & Human Services

Samantha Burcher-Health & Human Services

Michelle Burks-Health & Human Services

Terrie Butts-Agriculture

Wynona Cash-Office of the State Controller

Angelika Chafalovitch-Administration

Sherry Chance-UNC Pembroke

Susan Charlton-Public Safety

Dan Chen-Unknown

Stacy Cobb-Commerce

Christin Connor-NC Courts

Adrienne Covington-Nash CC

Marie Daniel-Sivels-Halifax CC

Amanda Danielson-East Carolina University

Angela Davis-UNC-Chapel Hill

Deborah DeBourg-Brown-Health & Human Services

Dawn Drew-NC DHHS Office of the Controller

Ryan Dupree-Department of Public Instruction

Angela Ealey-NC A&T University

Wendy Emerson-Forsyth Technical CC

Megan Fees-UNC Pembroke

Elisa Fernbach-Forsyth Technical CC

AJ Fluker-Health & Human Services

Joan Fontes-Treasurer

Patricia Fritz-ECU Foundation

Chris Garriss-UNC

Derek Gee-Cultural Resources

Tami George-Robeson CC

Kristi Gragg-Appalachian State University

Charles Gullette-East Carolina University

Carol Harris-UNC System Office

Debra Haynes-Treasurer

Elizabeth Haynes-Cultural Resources

Joy Height-Health & Human Services

Simuel Hodges-NC Housing Finance Agency

David Holman-Caldwell CC

Jim Horne-General Assembly

**Heather Horton-Commerce** 

willie Hucks-Revenue

Larry Huffman-Health & Human Services

John Hulmes-Health & Human Services

Michael Jackson-NC A&T University

Corby Johnson-UNC Wilmington

Mary Johnson-Health & Human Services

Christine Jumalon-Fayetteville State University

Sue Kearney-Agriculture

Caroline Kimani-Commerce

Ginger King-UNC Pembroke

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Tracey Lemming-UNC Chapel Hill

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David Steinbicker-Western Carolina University

Gina Steinbicker-Western Carolina University

Joel Stocks-East Carolina University

Shirley Swanson-Catawba Valley CC

Michele Sykes-OSBM

Dawei Tang-UNC at Chapel Hill

Marla Tart-Wake Tech CC

Kathy Tolbert-Office of the State Controller

Prabhavathi Vijayaraghavan-Administrative

Hearings

Sarah Von Stein-East Carolina University

Kyle Watson-Mitchell CC

David Webb-Johnston CC

Keith Westcott-UNC Wilmington

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Susan Williams-UNC System Office
Sharnita Wilson-Parker-Elizabeth City State University
Theresa Wright-Bryant-Military & Veteran Affairs

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Derek Allred-Agriculture Terrie Butts-Agriculture Sue Kearney-Agriculture Heather McLean-Agriculture

Lori Pfister-Agriculture Brandy Rodgers-Agriculture Matt Banko-Alamance CC

Kristi Gragg-Appalachian State University

Karen Main-Appalachian State University Jay Stanley-Bladen CC

David Holman-Caldwell CC Alicia McMillan-Carteret CC

Shirley Swanson-Catawba Valley CC

Phillip Price-Central Carolina CC

Stacy Cobb-Commerce

Heather Horton-Commerce

Caroline Kimani-Commerce Cindy Patterson-Craven CC

Derek Gee-Cultural Resources

Elizabeth Haynes-Cultural Resources

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Cathy Lively-DIT Padma Paluri-DIT

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Desiree Bowling-East Carolina University
Amanda Danielson-East Carolina University
Charles Gullette-East Carolina University
Cynthia Modlin-East Carolina University
Tim Morris-East Carolina University
Kevin Newman-East Carolina University
Wayne Poole-East Carolina University
Stephanie Quist-East Carolina University
Kathryn Scarabelli-East Carolina University
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University

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John Hulmes-Health & Human Services
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Brandon Kornegay-Health & Human Services
Felecia Lucas-Health & Human Services

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Laketha Miller-Health & Human Services
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Kim Mitchell-Military & Veteran Affairs

Theresa Wright-Bryant-Military & Veteran Affairs

Kyle Watson-Mitchell CC Adrienne Covington-Nash CC Angela Ealey-NC A&T University Michael Jackson-NC A&T University

Kent McLamb-NC Auditor Ashley Price-NC Auditor Christin Connor-NC Courts Jordan Samuel-NC Courts

Dawn Drew-NC DHHS Office of the Controller Simuel Hodges-NC Housing Finance Agency

Robert Allen-NCSSM

Wynona Cash-Office of the State Controller Courtney Michelle-Office of the State Controller Jennifer Pacheco-Office of the State Controller Troy Scoggins-Office of the State Controller Kathy Tolbert-Office of the State Controller

Barbara Baldwin-OSBM Chavon Robbins-OSBM Tarveras Rogers-OSBM Michele Sykes-OSBM

Jeani Rousseau-Public Instruction Susan Charlton-Public Safety Darlene Langston-Public Safety

willie Hucks-Revenue

Jackie McKoy-Revenue

Tami George-Robeson CC

Alison Soles-Southeastern CC

Cory Bowen-Southwestern Community College

Joan Fontes-Treasurer

Debra Haynes-Treasurer

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Matthew Rish-Treasurer

Laura Rowe-Treasurer

Brenda Williams-Treasurer

Chris Garriss-UNC

Rodney Smith-UNC

Suzanne Bryson-UNC Ashville

Dawei Tang-UNC at Chapel Hill

Jennifer Blair-UNC Chapel Hill

Tracey Lemming-UNC Chapel Hill

Charlene Ryan-UNC Chapel Hill

Kathy Qualls-UNC Greensboro

Sherry Chance-UNC Pembroke

Megan Fees-UNC Pembroke

Ginger King-UNC Pembroke

Joyce Boni-UNC System Office

Carol Harris-UNC System Office

Susan Williams-UNC System Office

Corby Johnson-UNC Wilmington

Keith Westcott-UNC Wilmington

Lamees Asad-UNC-Chapel Hill

Angela Davis-UNC-Chapel Hill

Dan Chen-Unknown

Linda Lejnar-Wake Tech CC

Marla Tart-Wake Tech CC

David Steinbicker-Western Carolina University

Gina Steinbicker-Western Carolina University

Frank Lord-Winston-Salem State University

Carla Reaves-Winston-Salem State University

Kam So-Winston-Salem State University