# MINUTES

**Members Present:** Stephen Joost, Kevin Hyde, Joy Korman

## Item 1 Call to Order

Trustee Joost (acting as Chair for Paul McElroy) recognized a quorum and called the Audit & Compliance Committee meeting to order at 9:35 AM.

## Item 2 Approval of Minutes

Trustee Joost asked for a MOTION to approve the Audit & Compliance Committee minutes from October 25, 2016 meeting. Trustee Hollingsworth made a MOTION to approve the minutes and the motion was SECONDED by Trustee Hyde. The committee APPROVED the minutes.

## Item 3 Public Comments

Trustee Joost offered those in attendance the opportunity to comment on items on the Audit and Compliance Committee agenda. There were no public comments.

## Item 4 Independent Accountant’s Report on Applying Agreed-Upon Procedures – Intercollegiate Athletics Program

Vice President Shuman presented the independent accountant’s report on the financial statements for Athletics. The report is required annually in accordance with guidelines set forward by the National Collegiate Athletic Association. The auditors, Dixon Hughes, LLC, reported no management comments or issues.

## Item 5 Update FDLE Audit

Mr. Jeff Durfee, Director of IT Networking, Systems and Security, presented an update to the technical audit conducted by FDLE in compliance with the Criminal Justice User Agreement and the FBI Criminal Justice Information Services Security Policy. He provided the response status and target dates for completion for each of the thirteen findings, noting that several are already completed and ready for deployment.

## Item 6 Direct Support Organizations (DSOs) Form 990’s, (1) UNF Foundation, Inc., (2) UNF Training & Services Institute, Inc., (3) UNF Financing Corporation, Inc., and (4) MOCA, Jacksonville

Vice President Shuman presented the Form 990’s for each of the four DSOs. These have been approved by their respective boards.

## Item 7 Compliance Update

Joann Campbell, Associate Vice President and Compliance Officer, presented a Compliance update which focused on the implementation of a university-wide compliance and ethics program, required by the Board of Governors. The draft of the program is in progress and should be ready for approval by the Board at the start of the new fiscal year. Also in process are the new charter for the Compliance Office which will mirror the Office of Internal Auditing charter, planning the compliance and ethics training for university employees and Board of Trustee members, development of a hotline marketing plan and revisions of the current fraud, waste and abuse polices. Some of the completed projects include the approval of the charter for the newly formed BOT Audit and Compliance Committee, appointment of the chief compliance officer and the new reporting structure for the chief compliance officer.

## Item 8 Office of Internal Auditing (OIA) Quarterly Update

Julia Hann, Director of the Office of Internal Auditing, presented a quarterly update for her office. Audits currently in progress are the Distance Learning Fee, Quality Assurance Review, Performance Based Funding Data Integrity and the Driver and Vehicle Information Database. She provided a list of outstanding recommendations for audits going forward to be completed by the end of the fiscal year to include IT Access Controls, Security Controls - User Authentication and User Access Controls.

## Item 9 Office of Internal Auditing (OIA) Audit Plan

Julia Hann, Director of the Office of Internal Auditing, requested approval for the departments two year audit plan. The proposed plan includes implementing departmental check-ups. It is requested that two audits previously approved by the committee, Library and Firewall, not be carried forward at this time to focus on higher priority items. Trustee Hyde made a MOTION to approve the FY17-FY18 Audit Plan for the Office of Internal Auditing. Trustee Korman SECONDED the motion. The motion was APPROVED.

## Item 10 IT Security Report

Mr. Jeff Durfee, director of IT Networking, Systems and Security, provided an IT security report. The overview included items such as the number of users, computers and applications. He also provided statistics such as the number of service tickets closed, projects completed, spam messages blocked and virus detections. The department is currently focusing on several priorities including the Windows 10 rollout, server hardening, new firewall/IPSD solution and password management in several areas.

## Item 11 Adjournment

Trustee Joost adjourned the meeting at 10:55 am.