# Minutes

**Members Present:** Paul McElroy (Chair), Tom Bryan, Sharon Wamble-King and Kevin Hyde (ex officio)

**Excused Members:** Hans Tanzler, Doug Burnett and Oscar Munoz

## Item 1 Call to Order

Chair McElroy recognized a quorum and called the Audit and Compliance Committee to order at 10:18 am.

## Item 2 Public Comments

Chair McElroy will offer those in attendance the opportunity to comment on items on the Audit and Compliance Committee agenda. There were no public comments.

## Item 3 Consent Agenda

Chair McElroy asked for a motion to consider the approval of three items on the consent agenda.

* Approval of Draft minutes, October 11, 2018
* Approval of Performance Based Funding Data Integrity Audit and Certification
* Approval to Revise Internal Audit Plan

Trustee Hyde made a MOTION to approve the consent agenda. Trustee Joost SECONDED the motion and the motion was APPROVED unanimously.

One additional item on the consent agenda not requiring approval was -

* Independent Accountant’s Report on Applying Agreed-Upon Procedures – Intercollegiate Athletics Program

## Item 4 Office of Internal Auditing (OIA) Quarterly Update

Julia Hann, Director of Internal Auditing, provided the quarterly update for the Office of Internal Auditing. The Performance Based Funding Data Integrity Audit was issued after the last update. The audit report has been completed and is included. Ms. Hann shared the list of outstanding audit issues in progress by management noting that all are minor issues near closure. Internal audits in progress include the Department of Music, Faculty-Led Study Abroad and the Quality Assurance Review (QAR). The QAR field work was completed in December and a report should be out in the next quarter. She added that departments have expressed more interest in the OIA performing audits for them. The Florida Department of Highway & Safety has also asked UNF to complete a Driver and Vehicle Information Database (DAVID) internal audit before UNF’s next MOU renewal date due to guideline changes. Two areas of the university use the database regularly; Parking &

## Item 4 Office of Internal Auditing (OIA) Quarterly Update (Continued)

Transportation and Admissions. She also shared that the Ethics Hotline will be publicized again.

## Item 5 Compliance Update

Joann Campbell, Chief Compliance Officer presented a Compliance Update. She provided the first steps of the Enterprise Risk Management team on campus (Compliance, Ethics and Risk Oversight Committee) to better focus compliance initiatives moving forward and to set compliance priorities. Through a qualtrics survey and CEROC meeting discussions, the list of risk items for discussion was narrowed from about 60 to 5. Discussions to date have included FERPA compliance (educating faculty and staff in academics regarding the privacy rights of students), data privacy and protection (the university has hired a data privacy officer to review data/records [electronic and physical] involving Students, Employees, Alumni, Donors, Minors, Finance, Medical – policies, procedures and training), ADA website accessibility (a web re-design of all UNF websites with a target completion date of 2020), student activism (promulgation of a new Campus Free Speech Regulation and updates to our signage and distribution of printed materials regulations.) and alcohol, underage drinking and drug abuse. The President and VPs engaged in the conversation and developed a plan for action items, our Continuous Improvement Initiatives, to move forward with respect to the 5 topic areas. Compliance partners related to these topics were invited to educate the committee.

Ashley Ballard, Senior Director of the Department of Recreation and Wellness, was introduced and gave an update of Alcohol, Underage Drinking and Drug Abuse. The Drug Free Schools and Community Act, created by the U.S. Department of Education, was enacted to recognize the serious effects of alcohol and other drugs on academic performance and general well-being and implement and enforce drug prevention programs and policies. A yearly review of guidelines and a biennial review of policy are required. Ms. Ballard shared that a nationally recognized 50 question survey that collects data on students’ health habits, behaviors and perceptions will be launched randomly to approximately 10,000 students on January 28th. Incentives to complete the survey will be advertised. Data will be collected to develop best practices and then UNF will host a State of Health address.

Trustee Egan suggested providing a shorter survey in the future and looking at multiple methods of delivering it to capture more responses.

## Item 6 Update on IT Security

Associate Vice President Scott Bennett gave an update on IT Security, regarding the various initiatives from an IT perspective with regard to various regulatory and compliance matters, as well as, other audit concerns. Some initiatives discussed were encryption of all data sitting on all devices, using multi-factor authentication, masking social security numbers, implementing software that identifies private information, white-listing faculty/staff/students while travelling and upgrading guest Wi-Fi from public to secure.

Additional concerns will be addressed as they are identified.

## Item 7 Preview of FY2018 Financial Statements

Associate Vice President Bennett presented a draft of the unaudited 2018 financial statements for the Board’s information for the purpose of discussing the resulting changes due to the new GASB 75 requirements.

## Item 8 Adjournment

Chair McElroy adjourned the meeting at 11:54 am.