**MINUTES**

Members in Attendance: Paul McElroy (Chair), Sharon Wamble-King, Doug Burnett,

Tom Bryan, Jill Davis, Nik Patel, Kevin Hyde (ex officio)

## Item 1 Call to Order and Roll Call of Committee Members

Chair Paul McElroy recognized a quorum and called the Committee to order at 9:30 am.

## Item 2 Public Comments

Chair McElroy offered those in attendance the opportunity for public comment. There no public comments.

## Item 3 Consent Agenda

Chair McElroy asked for a motion to approve the January 15, 2021 Audit and Compliance Minutes as presented. Trustee Burnett made a Motion to approve the minutes. Trustee Hyde SECONDED the motion. The minutes were APPOVED.

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

Ms. Julia Hann provided updates and audits conducted since her previous update to the Board. The FL Board of Governors is proposing a fraud prevention and detection regulation with the suggestion that each university board of trustees adopt a regulation, which should include a zero-tolerance policy and a process for prevention, detection and reporting. The current UNF fraud policy, which was approved in 2006, has been overhauled for this purpose. UNF also has an anti-fraud framework in place including an ethics hotline, compliance and ethics trainings such as an ethics training for aspiring leaders, best business practices trainings for all staff and a Compliance, Ethics and Risk Oversight Committee (CEROC). A draft is currently in review and will be presented in the next few months for review.

An additional item highlighted was the audit regarding university-wide conflicts of interest procedures. Several recommendations were made, and the department collaborated with Human Resources on areas such as the policy, the form, training and

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supplemental guidance. They also collaborated with Procurement Services on what happens when a conflict is disclosed, how they are monitored and the vendor registration protocols.

The department is routinely following up on prior audit recommendations and a few new audits will be out soon (CCB Dean’s Departmental Checkup, Housing, Scholarships and the p-card audit program).

## Item 5 Compliance Officer Quarterly Update

Dr. Joann Campbell, Associate Vice President and Compliance, provided a quarterly update.

Assistant Vice President Carrie Guth gave a presentation regarding the University’s Conflict of Interest Workgroup and its progress in updating COI policies, procedures, and processes. The workgroup was formed in 2019 and the current members are Dr. Karen Patterson, Joann Campbell, John Kantner, Carrie Guth, Justin Sorrell and Marianne Jaffee. She provided a few of the changes being made for the proposed regulation;

* Adding a reference to the state of Florida Code of Ethics for Public Officers and Employees
* Expanding the definitions to conflicts of interests
* Incorporating conflicts that could arise that are referenced in other university policies
* Expanding the disclosure obligation
* Incorporating the language from FL Statute 1012.977 (disclosure of activities regarding research and those that have the potential to affect the integrity of state universities or entities.
* Replacing the intellectual property language referencing the current university policy on patents and policies.
* Adding a section on penalties for failure to disclose

Significant work has also been completed regarding the existing online form that employees use to report outside activity. The system has been re-configured to pre-

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populate employee information using Banner information; automations have been added for earlier screening of disclosures indicating partial or full ownership of the outside entity; and the order of approvers has been modified to facilitate a more robust review of the activity or potential conflict earlier in the process.

Associate Vice President Campbell shared the university’s activity related to foreign conflicts of interest activity. Regarding export controls, the university vets all foreign nationals when they come to campus to include new hires and exchange visitors. All export control issues are discussed with the chairs before new hires start on payroll. The exchange visitor program is coordinated through the International Center. They work closely with the departments before visitors can work on research with the university. Any travel that is categorized as a closed conference or research travel is separated out for review from an export control or conflicts of interest standpoint.  C-techs also review these requests as far as devices and phones that will be used.   UNF spends much of its time with fundamental research exclusions and educational exclusions which are exempt from export control requirements.

## Item 6 Adjournment

With no further business for discussion, Chair McElroy adjourned the meeting at 10:34 am.