# - MINUTES-

Members Present: Paul McElroy (Chair), Jill Davis, Tom Bryan, John Gol, Nik Patel, Kevin Hyde (ex officio)

## Item 1 Call to Order

Chair McElroy recognized a quorum and called the meeting to order at 10:30 a.m.

## Item 2 Public Comments

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

## Item 3 Consent Agenda

Chair McElroy asked for a motion to approve the consent agenda with the following items:

Draft October 8, 2021 Audit and Compliance Committee Meeting Minutes

Annual approval of Audit and Compliance committee Charter

Annual approval of Office of Internal Auditing Charter

Annual approval of Office of Compliance Charter.

Trustee Patel made a MOTION to approve the consent agenda. Trustee Bryan SECONDED the motion and the motion was APPROVED by the committee.

## Item 4 Compliance Officer Quarterly Update

Dr. Joann Campbell, Associate Vice President, Chief Compliance and Ethics Officer, commented that while the Charter was included on the consent agenda, she wanted to acknowledge it as part of her comments including the priority she places on the mission, vision, values and operating principles for the compliance office.

Dr. Joann Campbell, Associate Vice President, Chief Compliance and Ethics Officer, presented the Compliance officer’s quarterly update. It was hoped to have the 5-year review report ready for the meeting but unfortunately due to unforeseen circumstances, the report wasn’t ready and will be presented at the March meeting. However, there are no areas of non-compliance, just a couple of recommendations.

In 2017 the Board of Governors asked each university to introduce a Compliance and Ethics program developed with the State Code of Ethics and incorporating federal sentencing guidelines. These are the foundation documents under which compliance operates.

Other items which are being discussed with compliance partners around the university are updates on data with CIO Brian Verkamp and updating the compensation policy to be consistent to state requirements with CHRO Carrie Guth. Foreign Influence legislation for screening and travel and outside employment under Associate Provost John Kantner and Asst VP for Student Affairs, Ruth Lopez’s leadership. We have a checklist in place to ensure we meet legislative requirements.

We are considering re-engaging tailgating on campus but with improved alcohol guidelines and a coordinated safety and security plan thanks to Trustee Besirevic suggestions. Representatives from the Police Department, Environmental Health and Safety, and Athletics are working on a safety and security plan for future events.

ASUN Athletics program is implementing a requirement to document any ~~function of~~ Title IX complaints from other universities when athletes transfers into the institution. The application form has questions about criminal acts and ASUN has taken the lead to enable universities to identify Title IX cases (active or closed) already on record at previous universities. Working to address at the time of admission and annually thereafter.

## Item 5 Office of Internal Auditing (OIA) Quarterly Update

Ms. Julia Hann, Chief Audit Executive, presented the office’s quarterly update. Since the last meeting, two audits were finalized, the Scholarship Administration audit and the Security of Data audit. The Scholarship audit had six recommendations. Audit staff worked with the offices of Financial Aid, Enrollment Services, individual Colleges and the UNF Foundation to get an overall understanding. There were a couple of moderate risks identified, the aim moving forward is to work closer to 2.047R Financial Aid Regulation with Enrollment Services taking the lead.

With regard to the Security of Data audit, audit staff worked closely with ITS security team with reference to BOG regulation 3.0075 (Security of Data and Related Information Technology). Two minor opportunities were identified to clarify language.

Other work included follow up on outstanding reports, and there were no concerns observed. Also work on IT in view of athletics, nursing, p-cards. Discussion on updating the audit plan, strategic to meet university goals.

External audits will look at DSO’s. Working with IT to track and follow up with focus on IT security issues in the School of Engineering and CCEC. Planning to close those issues soon.

Chair McElroy extended thanks to Julia and her team for good work.

## Item 6 Chief Information Officer Introduction and Update

Mr. Brian Verkamp, Vice President and Chief Information Officer, gave a brief overview of the work of the ITS department since his recent arrival.  Information Technology Services (ITS) are following up on audit recommendations with CCEC, particularly with regard to research and matching needs with available technology.  There is a plan in place to integrate and resolve server problems, onboarding Research Technical Services (RTS) into ITS to elevate research technology support throughout all colleges across UNF, integrating IT and tailoring support for researchers.  Previously RTS only supported one college.  Other audit recommendations have been implemented and future collaboration on risks and risk management are planned.  A more in-depth overview is planned for the full BOT meeting next week.  The interim President and trustee Patel have had meetings to discuss details on security threats and ransomware in particular.

Chair McElroy commented we have to be careful on what and how much information is distributed in a public setting regarding our systems and plans.  He also encouraged learning more on best practices we can introduce as digitization evolves, to enable students to be successful when some infrastructures are old and outdated.

## Item 7 Performance-based Funding Data Integrity Audit

Ms. Julia Hann, Chief Audit Executive, explained the BOG requires CAE’s to perform a data integrity audit annually, this year’s report is similar to previous reports. The aim of the audit is to ensure we have good controls on the data files. The office works with Abby Willcox, Director of Institutional Research. The report shows there is low risk, controls over day to day governance is good. Certification form will be submitted after signature at the full Board of Trustees meeting next week.

Trustee Patel made a MOTION to approve the Performance Based Funding Data Integrity Audit. Trustee Bryan SECONDED the motion. The committee APPROVED the motion.

## Item 8 Independent Accountant’s report on agreed upon Procedures – Intercollegiate Athletics Program

Vice President Scott Bennett presented the Athletics Program Agreed Upon Procedures

Report for the year ending June 30, 2021, in accordance with guidelines set forward by

the National Collegiate Athletic Association, for the committee’s information. An

external firm, James Moore performed the audit which looked at agreed upon procedures. The report was clean with no significant issues, a testament to the hard work of the staff involved.

## Item 9 Update on Board of Governors Request of DSO Review of Financial Internal Controls.

Vice President Scott Bennett confirmed no update to report at present, the external auditors (Crowe) are scheduled to visit UNF at the end of January for a couple of weeks. The audit will look at internal controls with DSO’s. A lot of information already submitted by Valerie Stevenson and her team.

## Item 10 Adjournment

With no further discussion, Chair McElroy adjourned the meeting at 11:10a.m.

Interim President Chally expressed her thanks for everyone’s hard work.