

University of North Florida
Audit and Compliance Committee
January 11, 2018
Minutes

Members Present Paul McElroy (Chair), Thomas Beaucham and Doug Burnett

Members Absent (excused) Stephen Joost and Oscar Munoz

Item 1 Call to Order

Chair McElroy recognized a quorum and called the meeting to order at 11:18 am.

Item 2 Approval of Minutes, October 24, 2017

Chair McElroy asked for a motion to approve the minutes for the October 24, 2017 meeting.

Trustee Burnett made a MOTION to approve the minutes of the October 24, 2017 meeting as presented. Trustee Beaucham SECONDED the motion and the motion was APPROVED unanimously.

Item 3 Public Comments

Chair McElroy offered the opportunity for public comments on the 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, in accordance with guidelines set forward by the National Collegiate Athletic Association, for the committee's information. The report was clean with no significant issues.

Item 5 Office of Internal Auditing Quarterly Update

Julia Hann, Director of the Office of Internal Auditing, provided the quarterly report for the Office of Internal Auditing. She presented the status of the audit work plan noting that the Personal Identifiable Information (PII) Audit, COAS Dean's Office Audit, and the Performance Based Funding Data Integrity Audit are in progress. Outstanding audit recommendations remain with the Florida Department of Law Enforcement (FDLE) Audit and the Brooks College of Health Dean's Office Audit.

The department has also initiated an internship program.

Item 6 Compliance Update

Joann Campbell, Associate Vice President and Compliance Officer, provided a Compliance Update. She gave an overview of the purpose of the newly formed Compliance, Ethics, Risk Oversight Committee (CEROC) and shared the names of those on the committee and her co-chair, Julia Hann. She also noted that UNF has a relationship with five of the World's Most Ethical Companies – Starbucks, PepsiCo, Dell, Microsoft, and TIAA, as rated by Ethisphere.

Currently the department is working with General Counsel on updating the Code of Conduct and Ethics. Together they are also initiating a comprehensive review of policies. Dr. Campbell introduced her current graduate student, Taylor Hoffman, who is assisting in developing a Compliance Program Inventory.

The department will be concentrating on several items in the coming months –

- a. Web accessibility in response to an Office of Civil Rights complaint
- b. Enhanced data information and security standards (specifically regarding the federal government NIST 800-171 and the European Union General Data Protection Regulation (GDPR))
- c. Uniform guidance regarding federal awards
- d. Title IX – Sexual Misconduct Training
- e. Systems Upgrades (Concur Travel System which will help with Clery Act reporting and Maxient Student Incident Reporting which will provide record-keeping for Clery Act reporting)

The Enterprise Risk Management (ERM) is a proactive strategy to managing risks used by the department. Ms. Hann explained the steps involved in using the system and the plan for FY18.

Item 7 Florida Department of Law Enforcement Audit on Background Checks

Jeff Durfee, Director of Networking, Systems and Security, provided an update regarding the outstanding recommendations of the FDLE audit. The records management system replacement should be completed by June 2018. He also shared that the review of internal policies from the audit on background checks was completed in December 2017 and we are currently waiting for the final report. We do not anticipate any findings.

Item 8 IT Security Update

Jeff Durfee, Director of Networking, Systems and Security, provided an overview of the General Data Protection Regulation (GDPR), which takes effect on May 25, 2018. This regulation provides protections for EU citizens regarding data protection, portability and breaches. One significant requirement is that data breaches must be reported to the Supervisory Authority within 72 hours after having become aware of the breach.

The federal Office of Management and Budget is requiring federal agencies to implement NIST 800-171 standards to protect all Controlled Unclassified Information (CUI). It only applies to the information the federal government provides to others, but includes a growing body of CUI elements which will likely encompass much of what the federal government produces. The university will most likely be impacted first in research grants (through the Federal Acquisition Regulations (FARs)) and potentially Financial Aid. A proposed ruling for the FARs is expected to be published in early 2018, with final comments and subsequent implementation expected sometime in 2019. UNF is conducting a gap analysis for the NIST 800-171 standards in late January, 2018, with a final report sometime in March, 2018.

Item 9 OCR Complaint Regarding Web Accessibility

Vice President Shuman shared with the committee the recent Office of Civil Rights complaint. The complaint is based on the lack of web accessibility on eight sites within the university website. A voluntary resolution agreement is currently being negotiated. Additional staff in ADA Compliance, Public Relations and IT will be needed.

Item 10 Florida Department of Education Audit

Scott Bennett, Associate Vice President, reported to the committee that there will be an audit by the Florida Department of Education which will focus on the four distance learning programs associated with Academic Partnerships. A site visit is scheduled for January 28th.

Item 10 Adjournment

Chair McElroy adjourned the meeting at 12:16 pm.