



**COMMITTEE ON AUDIT AND COMPLIANCE**

**Pre-Meeting Minutes**

**Virtual Meeting**

**October 14, 2021**

**University of Florida, Gainesville, FL**

**Time Convened: 2:00 p.m.**

**Time Adjourned: 2:27 p.m.**

**Committee and Board members present:**

Marsha D. Powers (Chair), David C. Bloom, Cooper L. Brown, Richard P. Cole, Thomas G. Kuntz (Board Vice Chair), Rahul Patel, Daniel T. O’Keefe and Fred S. Ridley.

**Others present:**

Amy Hass, Vice President and General Counsel; Charlie Lane, Senior Vice President and Chief Operating Officer; Mark Kaplan, Vice President for Government and Community Relations; Terra DuBois, Chief Compliance, Ethics, and Privacy Officer; Dhanesh Raniga, Chief Audit Executive; Joe Cannella, Audit Director; Olga Weider, Assistant Vice President and University Controller; Kate Moore, Assistant Director, Office of Clery Act Compliance; other members of the University of Florida community and public.

**1.0 Call to Order and Welcome**

Committee Chair Powers welcomed everyone in attendance and called the meeting to order at 2:00 p.m.

**2.0 Roll Call**

Chief Compliance, Ethics and Privacy Officer Terra DuBois conducted a roll call of Committee members present and verified a quorum. Meeting apologies were noted for committee members David L. Brandon and Morteza “Mori” Hosseini.

**3.0 Review Agenda for October 14, 2021 Meeting**

The following items were addressed by the Committee:

**3.1 Review Draft Minutes**

- **June 10, 2021 Meeting**

**3.2 Review Discussion Items**

- **BOG’s Request – Review of Financial Internal Controls at University Support**

Chief Audit Executive Dhanesh Raniga and Assistant Vice President and University Controller Olga Weider explained the upcoming BOG-initiated review of financial controls of the University’s 27 financial support organizations (DSOs) by Crowe, and advised that they will be the key contacts to assist Crowe in facilitating the review. Mr. Raniga and Ms.

Weider have initiated a project management structure to include logistical and administrative matters and will regularly exchange data with Crowe through a secure portal. A report by Crowe is expected in late Spring. Chair Powers raised the question if UF Health would be reviewed last. Mr. Raniga and Ms. Weider will follow up with an answer after their initial meeting with Crowe, which is scheduled for October 21, 2021.

- **Internal Audit Activity**

Chief Audit Executive Dhanesh Raniga gave an overview of the current status of the 2021-22 work plan, which was approved at the June 2021 meeting. Three confidential audit reports have been distributed since June 2021: Research Shield Computing Environment, Business Continuity and Disaster Recovery Planning, and IT Security-Selected Colleges. The following projects are in progress: College/Unit-Level Assessments – Select Colleges, Minor Construction, Performance-Based Funding and Preeminence – Data Integrity, UAA Assurance Map, and External Review of University Direct Support Organizations. In the planning stages are Lab Safety Compliance Program. IT Project Management and Major Construction which will require contracting with outside subject matter experts.

Mr. Raniga also discussed that there had been staff turnover within the Office of Internal Audit (OIA). Job descriptions are being updated and a market assessment will be undertaken, after which he plans to initiate the hiring process. The current staffing level and involvement with the DSO review may cause delays in completing the approved work plan. However, it is planned that the approved work plan will be completed either through use of subject matter resources or upon hire of internal audit staff. Mr. Raniga will provide status updates, as appropriate, to the Committee.

- **Overview – 2021 Annual Security and Fire Safety Reports**

Chief Compliance, Ethics, and Privacy Officer Terra DuBois introduced Katherine Moore, Assistant Director of the Office of Clery Act Compliance. Ms. Moore provided the committee a high-level overview of the Annual Security and Fire Safety Reports. Trustee Cole asked about safety on campus, especially as compared to last year. Dr. Lane reported having met with University Police Chief Linda Stump and discussed that the Annual Reports did not indicate a specific pattern in terms of crime on this campus. Dr. Lane stated that he and Chief Stump, among others, are continuing to address additional campus safety measures such as increased lighting and surveillance cameras. Trustee Cole asked how all the safety efforts were communicated to parents and students. Dr. Lane and Tera DuBois will follow up with UF Communications to explore additional outreach efforts.

Committee Chair Powers concluded the discussion by stressing that it was important for the Committee to be aware of the Annual Security and Fire Safety Reports findings and which areas may need addressing. She also reminded all participants that there would be another pre-meeting on November 10, where the compliance annual report will be reviewed along with the new Florida foreign influence statute.

#### **4.0 New Business**

There was no new business to come before the committee.

#### **5.0 Adjourn**

There being no further discussion, Committee Chair Powers adjourned the meeting at 2:27 p.m.