






AUDIT AND COMPLIANCE COMMITTEE				2015-16	2016-17	Current Status
<b>A. Strategic Risk Mitigation Effectiveness</b>						
1. <b>Education</b> (risks related to decrease in academic standing; harm in ability to attract faculty/students)				↔	↑	↑
2. <b>Scholarship</b> (challenges to ability to perform significant academic or scientific research)				↓	↑	↔
3. <b>Information Technology</b> (inability to store, develop, transmit, or protect data)				↔	↔	↔
4. <b>Student Life</b> (inability to maintain an environment conducive to student life)				↔	↔	↔
5. <b>Athletics</b> (risk of disruption to Athletics operations, including significant NCAA violation)				↔	↔	↔
6. <b>Medical</b> (significant reduction in performance of the health system and related colleges)				↑	↔	↔
7. <b>Financial</b> (inability to reach capital, revenue, or cost containment objectives)				↔	↔	↔
8. <b>Physical Environment</b> (loss of infrastructure; major event impacting ongoing operations, including campus safety)				↔	↔	↔
9. <b>Government, Community and Affiliates</b> (failure to monitor and develop government, community, or affiliate relationships)				↓	↑	↑
10. <b>Talent and Culture</b> (failure to attract, develop, or retain talent)				↔	↔	↔
11. <b>Advancement</b> (events impacting OSU brand, alumni relationships, or Advancement objectives)				↓	↔	↔
12. <b>Compliance</b> (failure to meet regulatory, legal, or policy requirements not captured in above categories)				↔	↑	↑
		2013-14	2014-15	2015-16	2016-17	2017-18 <sup>1</sup>
<b>B. Public Records<sup>2</sup></b>						
1. Number of records requests closed		576	769	842	959	384
2. Average days to fill all records requests		14	21	15	16	17
<b>C. Internal Investigations (rated 4 or 5)</b>						
1. Number of investigations opened in the fiscal year		17	20	17	17	12
2. Number of investigations closed in the fiscal year		16	16	19	15	9
3. Percent of closed investigations with findings		56%	31%	52%	27%	23%
<b>D. Regulatory Actions<sup>3</sup> (rated 4 or 5)</b>						
1. Number of current regulatory actions			7	10	12	13
<b>E. Internal Audit</b>						
1. Number of audits cleared at second follow-up during the fiscal year				11	9	3
2. Number of audits open after second follow-up or cleared at third follow-up or later during the fiscal year				4	4	3

**COMMENTS & FOOTNOTES**
<sup>1</sup>Includes data from 7/1/17 through 1/1/18

<sup>2</sup>Processed by Public Records Office only

<sup>3</sup>Includes audits, fines, probations, sanctions, warnings, or other similar actions

**Mitigation Effectiveness Rating**

	Meets or Exceeds Goal
	
	Caution
	
	Below Goal - Action Needed

**Trend**

↑	Environment/Performance Improving
↔	No Significant Change/On Track
↓	Environment/Performance Worsening