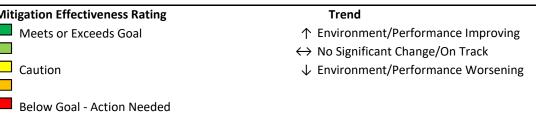


AUDIT AND COMPLIANCE COMMITTEE			2015-16	2016-17	Current Status	
A. Strategic Risk Mitigation Effectiveness						
1. Education (risks related to decrease in academic standing; harm in ability to attract faculty/students)				$\leftrightarrow$	<b>↑</b>	<b>↑</b>
2. Scholarship (challenges to ability to perform significant academic or scientific research)				<b>→</b>	<b>1</b>	$\leftrightarrow$
3. Information Technology (inability to store, develop, transmit, or protect data)				$\leftrightarrow$	$\leftrightarrow$	$\leftrightarrow$
4. Student Life (inability to maintain an environment conducive to student life)			$\leftrightarrow$	$\leftrightarrow$	$\leftrightarrow$	
5. Athletics (risk of disruption to Athletics operations, including significant NCAA violation)			<b></b>	$\leftrightarrow$	$\leftrightarrow$	
6. Medical (significant reduction in performance of the health system and related colleges)			<b>^</b>	$\leftrightarrow$	$\leftrightarrow$	
7. Financial (inability to reach capital, revenue, or cost containment objectives)			<b></b>	$\leftrightarrow$	$\leftrightarrow$	
8. Physical Environment (loss of infrastructure; major event impacting ongoing operations, including campus safety)			<b></b>	$\leftrightarrow$	$\leftrightarrow$	
9. Government, Community and Affiliates (failure to monitor and develop government, community, or affiliate relationships)			<b>→</b>	<b>1</b>	个	
10. Talent and Culture (failure to attract, develop, or retain talent)			<b></b>	$\leftrightarrow$	$\leftrightarrow$	
11. Advancement (events impacting OSU brand, alumni relationships, or Advancement objectives)			$\rightarrow$	$\leftrightarrow$	$\leftrightarrow$	
12. Compliance (failure to meet regulatory, legal, or policy requirements not captured in above categories)			$\leftrightarrow$	<b>1</b>	<b>1</b>	
		2013-14	2014-15	2015-16	2016-17	2017-18 <sup>1</sup>
B. Public Records <sup>2</sup>						
1. Number of records requests closed		576	769	842	959	384
2. Average days to fill all records requests		14	21	15	16	17
C. Internal Investigations (rated 4 or 5)						
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%
D. Regulatory Actions <sup>3</sup> (rated 4 or 5)						
1. Number of current regulatory actions			7	10	12	13
E. Internal Audit						
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	Mitigation Effectiveness Rating		Trend			
<sup>1</sup> Includes data from 7/1/17 through 1/1/18	Meets or Exceeds Goal	↑ Environment/Performance Improving				



<sup>&</sup>lt;sup>2</sup>Processed by Public Records Office only

 $<sup>^{\</sup>rm 3}$  Includes audits, fines, probations, sanctions, warnings, or other similar actions