FLORIDA A & M UNIVERSITY
BOARD OF TRUSTEES

IN RE: AUDIT AND COMPLIANCE COMMITTEE MEETING.
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COMMITTEE MEMBERS:	KARL WHITE, CHAIR TOREY ALSTON ROBERT WOODY
DATE:	TUESDAY, JULY 21, 2015
TIME:	COMMENCED AT: 5:15 P.M. CONCLUDED AT: 5:45 P.M.
LOCATION:	BAND REHEARSAL HALL FAMU CAMPUS TALLAHASSEE, FLORIDA
REPORTED BY:	NANCY S. METZKE, RPR, FPR COURT REPORTER

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ALSO PRESENT:

Tonnette Graham
Lucas Boyce
Kimberly Moore
Rufus Montgomery
Bettye Grable

* * * *

AUDIT AND COMPLIANCE COMMITTEE

TRUSTEE WHITE: At this point, we will call the Audit Committee meeting to order.

Ms. Barrington, can you please call the roll.

MS. BARRINGTON: Thank you. Good evening.

Trustee White.

TRUSTEE WHITE: Present.

MS. BARRINGTON: Trustee Alston.

TRUSTEE ALSTON: Here.

MS. BARRINGTON: Trustee McWilliams.

(NO RESPONSE).

MS. BARRINGTON: Trustee McWilliams.

(NO RESPONSE).

MS. BARRINGTON: Trustee Shannon.

(NO RESPONSE).

MS. BARRINGTON: Trustee Wood.

(NO RESPONSE).

TRUSTEE WHITE: We do not have a quorum.

Why don't we go ahead and go through the informational items, and then I guess we will schedule a called -- or deal with it in two weeks because we have to -- we have to approve the risk assessment.

So, Vice President Givens, why don't you take

us through the informational items, please.

VICE PRESIDENT GIVENS: Sure. All right. Then let's go to -- in your materials, it would be the dashboard information. Yes, that looks like it, what we have up there now.

This just summarizes our activities that we have going. You will see that we've completed the grade-change audit follow-up that we had. It was completed in June. There was one finding. We also had suspended two projects. Those have been started again relating to the IT functions and the financial aid process review.

We also finished our audit of the P Card and travel follow-up process. The findings in those were distributed to the appropriate parties, and we are awaiting management response on that before we actually release the report, and we'll have a follow-up on that at our next meeting.

We have also in process an investigation for Pharmacy Phase 2 which has been contracted out to an outside firm. They have drafted a report, and we have reviewed that and we're going through the process of getting some questions answered on that. And, hopefully, we'll have that report released in the next couple of weeks.

We also completed a band eligibility and travel review, and there were no findings in that audit. And we have started an audit of the accounts payable process.

Just if we can move on, the grade change had one finding. It was rated a yellow finding, which is a moderate risk. Even though this was a follow-up finding, or a follow-up audit -- well, if you'll move on to the -- we'll get onto the detail on that where it says grade change process.

You'll see that the audit was completed in June. The one finding had to do with adding an additional layer of security before the grades are changed. There had been a process in place that had been lost with the computer upgrade. The University was looking at implementing that process again, but it proved too costly to implement, so the IT has developed a different approach to add some additional of security. That process is currently being tested and should be put in place.

As I mentioned, the band eligibility review disclosed no findings, so that meant that the process that had been put in place to ensure that band members are eligible, that they remain

eligible before they can participate in travel is working, has been effective.

Also, if we move on to the best the --

TRUSTEE WHITE: Question from Trustee Grable.

TRUSTEE GRABLE: Thank you, Trustee White.

Vice President Givens, regarding that investigation on grade changes, your recommendations, did they include that this may be helpful if we consider something online so we're not dealing with that -- what is it? It's a triple kind of form where one copy goes here, a copy goes there. I have had some experience with that grade-change form so I just wondered if that is one of the things that you suggested.

VICE PRESIDENT GIVENS: We primarily were looking just to see that there are controls in place that would ensure that grades are not changed without proper authorization.

TRUSTEE GRABLE: Okay.

VICE PRESIDENT GIVENS: We did not look at, is this a good suggestion to follow up with.

TRUSTEE GRABLE: Okay. All right, and I can follow-up with the Provost. Thank you.

VICE PRESIDENT GIVENS: Yes, ma'am.

And as far as the investigations that we have

going, for the year, we received 63 allegations. Of those, we had issued 19 reports. We closed eight with no investigation in that we felt like there was not sufficient documentation provided to us that we could investigate, or it just wasn't specific enough.

We have 17 projects in process, and we referred 11 to other departments within the University, and we had eight that were pending investigation.

And just to give you an idea, we estimated there were about 80 different issues involved in the allegations that we investigated. And we did have a couple of very large investigations this last year.

This table just gives you an idea of the classifications of the issues that we investigated. In the diversity equal opportunity and work place respect, we had 22 allegations, which was 34 percent of the total, and you compare that to 38 percent in the prior year.

Environmental health and safety, we had one, which was 2 percent compared to seven percent in the prior year. For financial and business integrity, we had 27 allegations. That was

44 percent of what we looked into in the investigations, as compared to 31 percent last year.

And then just for misuse or misappropriation of assets, we had 13, which was 20 percent compared to 24 percent in the prior year.

And we continue to spend a significant part of our time in the investigation area at the expense of doing some audits, but we do feel like it's beneficial that we do this because these are very specific areas where people have raised concerns.

As far as upcoming projects that we have, we have started the accounts payable audit. We expect to have that released sometime around October. And we also have scheduled the audit of the performance funding metrics. The Board of Governors has, again, directed that this be done by all Universities.

And I'd also like to talk about a proposed Board of Governors' regulation that will require some Board attention. It will necessitate that we do some things differently as it relates to the compliance area. This was, again, proposed; the Board of Governors plans to take some action at their next meeting in September. And my

understanding is it's very important to the Board of Governors' Audit Committee Chairman.

The regulation itself requires that the Board implement a comprehensive University compliance and ethics program, and this is to promote compliance with applicable laws, rules, and regulations. The regulation prescribes that the program be developed and implemented to address a number of areas that includes the infrastructure policies and procedures.

And this relates to providing that the Board of Trustees has a certain amount of leeway in how this is implemented, what policies and procedures are developed to implement it. In other words, the Board of Governors is not requiring any particular structure for the compliance function, just that the Board address it and maintain it.

The regulation also provides for some effective oversight. It mandates that the program avoid delegation of authority to unethical individuals; requires a certain amount of communication and education; and it requires monitoring and auditing of the compliance activities; and then lastly, it requires responses to incidents and some preventive measures be

maintained.

The University -- I mean if we have implemented the compliance function very similar to most other SUS universities, in that we have staff throughout the University who are responsible for certain compliance areas such as the NCAA compliance, ethics, ADA, EEO, research, Title 9. The audit function generally has been restricted to auditing the compliance activities.

We do a number of audits where we look at compliance. It's incorporated in our audits, as well as many of the investigations that we do address compliance areas. But there has been no comprehensive monitoring of the program other than just the audits that have been done. So the changes that are going to be required by the regulation, if it's passed, will be that the University does need a compliance officer that will manage and oversee the compliance program.

Now the way that we have ours structured now is the Vice President of Audit and Compliance is the University's compliance officer, but with the Board of Governors' proposed regulation and some of the requirements to implement that causes some conflict of interest issues, that must be

addressed.

Now the Board of Governors is not requiring any particular structure, but they do require that in cases where there are conflicts of interest, that there be ways to mitigate that and remedy that, and then there are some ways.

TRUSTEE WHITE: So let me just make a comment there and just go back to an issue from this morning. So you can see here that it's the Board of Governors that is putting forth these changes that will affect how we do audit and how we do compliance.

VICE PRESIDENT GIVENS: That's correct.

TRUSTEE WHITE: That will almost, by definition, mean that we are going to have to add staff in the area of compliance. So to the point that Trustee Grable raised this morning about where there were additional positions in the equity report, this is something that is just a direct -- will be a direct result of a change in the Board of Governors' regulations about how we go about -- how we go about doing both audit and compliance.

VICE PRESIDENT GIVENS: And it will require some additional resources, in all likelihood, to be able to implement the regulation as it's written

now.

TRUSTEE GRABLE: Thank you, Trustee White.

So that would indicate that that executive and managerial -- okay, I got it.

TRUSTEE WHITE: Yeah, that's clearly non-instructional.

TRUSTEE GRABLE: I'm happy to know that in advance.

TRUSTEE WHITE: Yes, non-instructional.

TRUSTEE GRABLE: Okay. I got it.

TRUSTEE WHITE: Let me interrupt you for a second. So I'm told that Trustee Woody may be joining. So if we can move on to the NCAA, and then we'll figure out since -- I'm on one of those short leashes as well.

VICE PRESIDENT GIVENS: All right. And I will just conclude that just by saying, we do have a project in the audit plan that's in the risk assessment that would address this compliance issue.

Just a quick update on the NCAA investigation that was conducted. The NCAA has completed its investigation. They've issued a report that identified three violations, and then also included a finding for lack of monitoring the three

violations.

But the violations were that the University didn't have the drug testing consent forms on file for student athletes, there were some physical forms that were not on file, and then also that the University had not notified student athletes of reductions or cancellations in the scholarships.

The NCAA proposed and the University has agreed to process these violations through the summary disposition process, which it was beneficial to the University in that it let us close this down fairly quickly. The time frame to finish it out and have it completely behind us would be sometime around the end of August. It keeps the NCAA from looking any further at some of the other issues.

And, really, with where we started with the number of allegations that were made that started this investigation, to come down to these three we feel like is good for the University to go ahead and close it out as is.

Now we did have the violations, and there will be some penalties imposed. Part of the process is that the University gets to recommend some of the penalties, and because these are

administrative-type violations, the nature of the penalties will be along the lines of possibly probation, maybe two to three years; and possibly a monetary fine. But it should not involve penalties that would restrict recruiting or scholarship reductions, penalties along those lines.

Are there any questions on that?

TRUSTEE WHITE: Trustee Woody, have you joined us?

TRUSTEE WOODY: Yes, I am, I'm on.

TRUSTEE WHITE: Okay. So now we actually have a quorum and we can -- let's deal with the risk assessment since that is the most pressing issue.

VICE PRESIDENT GIVENS: All right. Every year we do a risk assessment that helps us to develop the Audit Plan. And the risk assessment comes to the Audit Committee to be approved, along with the Audit Plan, and the Audit Plan gives us the direction for this upcoming year.

And the objective is just to align the resources with the processes that pose the highest risk. And the process we used this year was very similar to what's been used in the past. It would involve interviews with senior management staff; it involved some surveys of senior management staff.

And also, this year we added focus groups where we were able to meet with a number of individuals in their area to get their input, and the focus group participants also were asked to complete the surveys.

The surveys classified risk is to the likelihood of occurrence; and then, if the event occurred, the impact. We also factored in our experience and knowledge that we had in our division for the different issues that come through our office during the year. And using all of the information that we had, we then developed a risk assessment matrix which helped us quantify the risk. And if we could go to that, just I'll make a few comments on the risk assessment matrix.

The matrix identified 19 high-risk areas, and this is compared with 31 high-risk areas that we identified in the prior year. And the reason for the decrease had to do with I think just improved controls as well as I think a little bit more understanding this year of what risks were and how we should get those classified.

So to come up with the high-risk areas, we considered anything that had a score of 15 or higher, based on the scoring, for whether the

impact and then the likelihood of occurrence; so for something to be considered a high risk, it had to have received at least a three and a five to get those areas multiplied together to get the 15. So a three to five, four and four, five and five would have put an area in the high risk. And those are the numbers that you see in the risk assessment matrix.

You see -- and we also link the risk with the areas that we have coverage for, are proposing coverage for for this year. You see in the governance area we had three high-risk areas, and we had some coverage in the '15 and '16; and then also we're looking out to how we might cover the -- provide some coverage in the next couple of years.

Now you will see from the risk matrix that there are some areas that -- high-risk areas that don't have coverage. This results from some factors that include just the resources to audit the areas. There are some areas that other University departments are covering and monitoring, so we are getting some coverage there as well as just -- but, primarily, it's just the lack of resources.

So we go through, we look at the risk matrix. It's divided into the areas: We have strategic risk, operational risk, compliance risk, and finance risk. And we tried to get some type of coverage in all of the various risk areas.

The numbers that you see in the column relate to the -- that's how we developed the score. Now, are there any questions anybody has on anything that they see in the risk matrix?

TRUSTEE WHITE: So, again, just so everyone, you know, is sort of -- we go through this process every year; and so, again, there's a series of questions that are out there that identify both whether people think it's a high impact and a high likelihood.

And so, again, we look at the -- basically the factor of those two numbers to come up with an overall rating; and then based upon that, our work plan or the work that's assigned to the Division of Audit and Compliance then follows that fairly closely except in a few glaring cases. And you can also see that ends up turning into what's in the final pages of the document works out to be just about 15,000 audit hours of work to be done, you know, in this academic year.

But this is a process that we go through every year. As Rick articulated, there were some focus groups this year that might have been in addition to how we go through it, but this -- you know, so our work of what we do in the Division of Audit and Compliance follow the feedback that people gave us about what they were concerned about from a risk standpoint, so those are the areas that -- and so, quite honestly, you just do it over and over again each year.

So as a result, then we -- this Committee needs to approve both the risk, you know, the risk assessment and then the work plan; and then that will be the work that the Division does throughout the year.

VICE PRESIDENT GIVENS: All right. And so based on the risk matrix, we developed some risk themes to help us develop audit topics; and I'll just move through the risk themes very quickly.

In governance we noted that there were some policies and procedures that were not followed, and that inadequate process for adopting and reviewing and changing the University policies. Some challenges were noted in the funding, as VP Cotton just described a few minutes ago.

We also noted that there were some issues in student recruitment and retention. This related to the admission of the access opportunity students that continues to have an impact on the University. We noted a theme related to financial aid, simply because of some of the problems that have been had in the past, and also that the IT system is not being used to its full functionality.

A risk theme also related to the athletics and NCAA compliance about the possibility for violations, as well as the issues around the operating deficit that we also talked about earlier. A risk theme was developed around human resources, primarily recruiting and retaining faculty and staff; low faculty salaries; and an inadequate evaluation process that is being looked at now.

Also, information technology was a risk theme, that the ERP system is not configured to provide maximum functionality; a lot of use of manual processes rather than automated processes; and then just the cost of IT in keeping qualified staff, as well as keeping the system updated is a resource issue.

Physical security and public safety was also

noted as a risk, and this is just an inherent high-risk area, just because of the impact. And in the write-up, I did note a number of areas that have been approved over the last year that will reduce the impact that included the security cameras. The officers walk the campus, we see them out, we know that they're -- at least may have a physical presence.

Some training was provided in the areas and emergency notification system that's in place. But so a lot of improvements have been made, but just because of the nature of that, we still consider that a high risk.

A risk theme was also developed for media relations and crisis communication. It had to do with communicating results to -- for crises, as well as the impact to the University if negative information is presented. And also, we had a risk theme for the procurement and accounts payable and also for construction management, as well as budget and cash management.

And then, lastly, this year was a new area that related to high risk for the regulatory and compliance, and that's why we are trying to move towards a more formal compliance function.

So using the risk themes, then we developed some audit topics. And you can see in your materials that's on Page 13, and just take a quick look at those. This is our proposed work plan for the year.

TRUSTEE WHITE: Are there questions for Vice President Givens?

(NO RESPONSE).

TRUSTEE WHITE: Hearing none, I would entertain a motion to approve the risk assessment and work plan for the 2015/2016 academic year. Alston or Woody, one of you needs to make the motion, and the other one needs --

TRUSTEE WOODY: I move the motion.

TRUSTEE ALSTON: Yes, Alston makes the second.

TRUSTEE WHITE: Thank you.

It's been moved and properly seconded that we approve the risk assessment and work plan for 2015/16. Any other discussion?

(NO RESPONSE).

TRUSTEE WHITE: All in favor.

(AFFIRMATIVE INDICATIONS).

TRUSTEE WHITE: The motion is approved.

The only other action item I believe had to do with the minutes from the June 1st meeting. Those

were distributed.

Is there a motion to approve?

TRUSTEE WOODY: So moved.

TRUSTEE ALSTON: Second.

TRUSTEE WHITE: It's been moved and properly seconded. Any discussion?

(NO RESPONSE).

TRUSTEE WHITE: All in favor.

(AFFIRMATIVE INDICATIONS).

TRUSTEE WHITE: Thank you very much.

Vice President Givens, is there any other business to come before the Audit Committee?

VICE PRESIDENT GIVENS: I have nothing else.

TRUSTEE WHITE: Thank you very much. We are adjourned.

(WHEREUPON, THE AUDIT AND COMPLIANCE COMMITTEE WAS ADJOURNED).

* * * *

CERTIFICATE

STATE OF FLORIDA)
COUNTY OF LEON)

I, NANCY S. METZKE, RPR, FPR, certify that I was authorized to and did stenographically report the foregoing proceedings and that the transcript is a true and complete record of my stenographic notes.

DATED this 25th day of July, 2015.

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NANCY S. METZKE, RPR, FPR
Court Reporter

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