



Board of Trustees
Audit, Operations Review, Compliance, and Ethics Committee Meeting
June 21, 2013
Millican Hall, Room 243

MINUTES

CALL TO ORDER

Trustee Jim Atchison, chair of the Audit, Operations Review, Compliance, and Ethics Committee, called the meeting to order at 1:00 p.m. via teleconference. Committee members Alan Florez and Beverly Seay were present via telephone. Board of Trustee member Melissa Westbrook was present.

OLD BUSINESS

Minutes

Atchison called for approval of the December 17, 2012, Audit, Operations Review, Compliance, and Ethics Committee meeting minutes, which were approved as written.

NEW BUSINESS

Chief Audit Executive Search

Vice President and Chief of Staff Rick Schell provided an update of the search that is in progress for the chief audit executive. Opus Search Partners has been retained to conduct the search, the search is going smoothly, and it will close in approximately four weeks. The firm has several qualified candidates. The search committee has met, and Opus is communicating via mail and email regarding the status of the search.

2012-13 Work Plan Update

Amy Voelker, Chief Audit Executive, outlined the risk-based work plan that University Audit conducts every year and provided an update to the 2012-13 work plan. There were 15 internal audits planned for the year; six were completed, two are in progress, one was eliminated due to Student Development and Enrollment Services retaining an external firm to provide a similar review, and six were delayed. The delays were due to staff turnover, increased leave usage, and an increase in college audits, which are very comprehensive.

Voelker recommends that, as the new chief audit executive will need time to adjust and learn the university, it would be beneficial for the current risk-based work plan to remain in place. It

would allow the new chief audit executive to develop his or her own annual risk based work plan for 2014-15.

Florida Statutes Update

Voelker explained the statutes governing the Auditor General, who performs three or four audits at the university each year. Last year the state university system and state colleges were added to an existing statute, resulting in potential communication from the Auditor General directly to the audit committee chair about repeat audit findings. This could affect the university in future years.

University Compliance, Ethics, and Risk Management Program update

Rhonda Bishop, Chief Compliance and Ethics Officer, provided an update on the search for a director of compliance and ethics. The four final candidates are scheduled for on campus interviews July 2nd and 3rd. Bishop invited the committee members to attend the open interview sessions.

Bishop reported the search for a director for compliance and risk management will reopen. The current director's last day is July 23, 2013.

Department of Education Review update

Bishop updated the committee on the off-site review by the U.S. Department of Education, targeting the university's compliance with the Clery Act. Following the Tower 1 incident on March 18, 2013, the U.S. Department of Education made two additional requests for information regarding the university's response.

Bishop outlined continued efforts to enhance Clery compliance, including training for campus security authorities, reviewing of the university's annual security report conducted by D. Stafford and Associates, and hosting a webinar covering new reporting requirements for 2014.

Athletic Compliance Program


As part of the university's corrective actions in response to the NCAA infractions case, The Compliance Group was retained to conduct an annual review of the athletics compliance program. The first of the annual reviews began in October 2012, and the final report will be forwarded to the committee as soon as it is available.


Bishop reported on new NCAA regulations going into effect August 1, 2013, and the efforts of the athletics compliance program to provide training and support to the coaches and athletics staff.

Florida State University System Compliance Consortium

Bishop reported on an effort led by her office to bring together Florida State University System compliance officers and staff to discuss compliance topics, new regulatory requirements, and best practices. The group will meet four times a year, and the first conference call is scheduled for June 27, 2013.

Chair Atchison adjourned the Audit, Operations Review, Compliance, and Ethics Committee meeting at 1:25 p.m.

Respectfully submitted:  8/5/2013
Amy Voelker Date
Chief Audit Executive

Respectfully submitted:  8/5/2013
Rhonda L. Bishop Date
Chief Compliance and Ethics Officer