

# DRAFT



STATE UNIVERSITY SYSTEM of FLORIDA  
Board of Governors

## FAMU Corrective Action Plan 2013

### (A) Audit and Compliance Issues

**FAMU Staff Contact:** Rick Givens, VP of Audit and Compliance  
**BOG Staff Contact:** Derry Harper, Inspector General

**BOT Cmte Chair:** Karl White  
**BOG Cmte Chair:** Alan Levine

- ✓ Completed
- Good Progress
- Slow Progress
- Poor Progress

Issue	Update	Progress Indicator
<b><u>Compliance with Institute of Internal Auditors Standards (IIA)</u></b>		
<b>(A1)</b> Adopt new Audit Committee and Division of Audit and Compliance (DAC) Charters that conform to IIA Standards.		●
<b>(A2)</b> Revise operating procedures manual so that it complies with IIA Standards and take all necessary steps to train staff for implementation.		●
<b>(A3)</b> Establish a quality assurance and improvement program as required by IIA Standards and conduct a self-assessment following first year of operations in compliance with IIA Standards. Schedule a quality assurance review (QAR) conducted by an external auditing firm one year later.		●
<b>(A4)</b> Conduct all internal audits and risk assessments in conformance with IIA Standards.		●
<b><u>Reporting to Audit Committee and President</u></b>		
<b>(A5)</b> Ensure that annual performance reports are presented to the Audit Committee and President on the DAC's effectiveness, staff proficiency and productivity, including results of self-assessment referenced above and results of subsequent QAR.		●
<b>(A6)</b> Submit annual audit plan based on risk assessment results to Audit Committee and President, together with a budget that provides sufficient resources to address high risk areas in a timely manner.		●
<b>(A7)</b> Implement a project timekeeping system and ensure that DAC staff receives appropriate training.		●

(A8) Increase level of involvement with the Enterprise Information Technology function and review external assessments of EIT function to better identify risks, and to keep Audit Committee and President informed of risks and actions being taken to reduce risk.		●
<b>Investigations</b>		
(A9) Establish procedures for conducting internal investigations and train staff on new procedures. Include a mechanism for centralized tracking of complaints.		●
(A10) Conduct a self-assessment of DAC's compliance with the new procedures and report results to Audit Committee and President after the first year of conducting investigations under the new procedures.		●

## **(B) Finance**

**FAMU Contact:** Joe Bakker, Interim CFO  
**BOG Contact:** Tim Jones, CFO

**BOT Cmte Chair:** Rufus Montgomery  
**BOG Cmte Chair:** Tom Kuntz

<b>Issue</b>	<b>Update</b>	<b>Status</b>
<b>Banking</b>		
(B1) Reconcile bank accounts by the 20 <sup>th</sup> of each month, and reconciliations need to be reviewed and certified by the FAMU Comptroller and sent electronically to the Board General Office.		●
(B2) Review accounting regulations and procedures over bank deposits and outstanding checks and provide proposed enhancements to the Board Office for review. Such review should include consideration of best practices at other SUS institutions.		●
<b>Revenue Collection/Athletic Department</b>		
(B3) Maintain adequate documentation to verify revenues collected for football games and ensure segregation of duties as between collection, deposits, journal entries, and reconciliations.		●
(B4) Reconcile revenues recorded on the General Ledger by the Cashier's office to the revenue journal entries prepared by the Athletics Department.		●
(B5) Review Sodexo concessions contract and determine reason for lack of revenue generation. Take all reasonable steps to increase revenue generation under the contract.		●
(B6) Prepare report of operating expenses of Athletics Department and cost-saving mechanisms that can be used to reduce deficit in the auxiliary enterprise account for intercollegiate athletics. Present report to the Board of Trustees and President for consideration. Amend Five-Year Deficit Reduction Plan to implement appropriate cost-saving mechanisms.		●

<b><u>Travel Reimbursement</u></b>		
(B7) Review internal controls relating to travel reimbursement.		●
<b><u>Expenditure of Student Fees</u></b>		
(B8) Establish procedures to ensure that tuition differential fees are expended in accordance with law, Board regulations, and plans as presented to the Board of Governors.		●
(B9) Establish procedures to ensure that projects being financed by the technology fee are monitored and compared to the project budgets.		●

## **(C) Academics and Accreditation**

**FAMU Contact:** Dr. Rodner Wright, Interim Provost  
**BOG Contact:** Dr. Jan Ignash, Vice Chancellor

**BOT Cmte Chair:** Marjorie Turnbull  
**BOG Cmte Chair:** Norm Tripp

<b>Issue</b>	<b>Update</b>	<b>Status</b>
<b><u>Compliance with SACS Standards</u></b>		
(C1) Provide SACS with evidence of compliance with the standards identified in SACS letter dated January 15, 2013.		●
(C2) Provide a report to the Board of Trustees and the Board Office regarding implementation of academic goals established in FAMU's revised work plan.		●
(C3) Provide to the Board Office a copy of all university correspondence with SACS.		●
(C4) Provide a plan to the Board of Trustees and the Board Office regarding how the university will address Law School accreditation concerns raised by the ABA.		●
(C5) Provide a plan to the Board of Trustees and the Board Office regarding how the university will address IT and data management findings in the AG report.		●

## (D) Facilities and Construction

**FAMU Contact:** Joseph Bakker, Assoc. VP. Construction  
**BOG Contact:** Chris Kinsley, Director of Finance and Facilities  
 Ken Ogletree, Board Architect

**BOT Cmte Chair:** Spurgeon McWilliams  
**BOG Cmte Chair:** Dick Beard

Issue	Update	Status
<b><u>Procurement Process &amp; Contract Negotiations</u></b>		
(D1) Prohibit the use of design-build contracts.		●
(D2) Provide a report to the Board of Trustees and the Board Office regarding implementation of facilities-related goals established in FAMU's revised work plan.		●
<b><u>Monitoring Construction Projects</u></b>		
(D4) Enhance procedures for monitoring construction payment requests, insurance requirements for design professionals, and for verifying contractor and subcontractor licensure status.	<i>Until such time as FAMU can enhance its procedures, and adequately staff the appropriate control positions, it should utilize the services of Duane Jackson to monitor all major construction projects— reporting directly to the President.</i>	●

## (E) Hazing and Student Code of Conduct

**FAMU Contact:** Dr. William Hudson, VP for Student Affairs  
 Bryan Smith, Special Assistant to the President  
**BOG Contact:** Dr. Jan Ignash, Vice Chancellor

**BOT Cmte Chair:** Torey Alston  
**BOG Cmte Chair:** Norm Tripp

Issue	Update	Status
<b><u>Anti-Hazing Program</u></b>		
(E1) Implement the anti-hazing program to ensure: (i) communication of anti-hazing policy to students and staff once per semester, and execution of anti-hazing agreements by students; (ii) continuation of anti-hazing prevention week events and anti-hazing website; (iii) completion of re-certification of all student organizations, including review of new intake procedures for members; (iv) continuation of anti-hazing instruction in the freshman studies course; (v) updating of the handbook and published anti-hazing policies to incorporate new procedures; (vi) implementation of System Anti-Hazing Best Practices, as appropriate; and (vii) maintenance of 24/7 hazing reporting hotline.		●

<p><b>(E2)</b> Implement an operational plan for the Office of Judicial Affairs and Department of Public Safety to ensure:</p> <ul style="list-style-type: none"> <li>(i) timely referral of all alleged conduct violations to Judicial Affairs by the Department of Public Safety per new Department of Public Safety policy (Departmental General Order 2, Chapter 11);</li> <li>(ii) timely investigation and adjudication of all alleged conduct violations by Judicial Affairs and timely investigation of hazing allegations by Department of Public Safety;</li> <li>(iii) adequate staffing and training of Judicial Affairs personnel;</li> <li>(iv) development of a centralized data base for tracking conduct code complaints.</li> </ul>		●
<p><b>(E3)</b> Present an annual update on the Anti-Hazing Program to the FAMU Board of Trustees and Board of Governors Academic and Student Affairs Committee.</p>		●
<p><b><u>Student Conduct Code</u></b></p>		
<p><b>(E4)</b> Revise the Student Conduct Code to allow for university disciplinary action concurrent with or subsequent to other criminal or civil proceedings.</p>		●