



# FLORIDA STATE UNIVERSITY

## BOARD OF TRUSTEES

### *Audit and Compliance Committee*

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#### MEETING MINUTES (DRAFT)

Thursday, June 15, 2023  
11:00 a.m. – 12:00 p.m.

Virtual Meeting via Zoom

**Attended via Zoom:** Jim Henderson (*chaired the meeting in Trustee Alvarez's absence*), BOT Chair Peter Collins, BOT Vice-Chair Bob Sasser, Kathryn Ballard, Vivian de las Cuevas-Diaz, Jorge Gonzalez, Jack Hitchcock, Justin Roth, Deborah Sargeant, Drew Weatherford.

**Trustees absent:** Trustee Max Alvarez (committee chair), John Thiel.

**Staff:** Undra Baldwin, Chief Audit Officer and Interim Chief Compliance and Ethics Officer, and other university staff.

#### **I. Call to Order and Welcome**

Trustee Henderson called the meeting to order at 11:02 a.m. There was a quorum.

#### **II. Approval of Minutes**

*Chairman Collins moved to approve the committee meeting minutes from February 23, 2023. Trustee Henderson seconded the motion, and the minutes were approved unanimously by all committee members present on the call.*

#### **III. Office of Compliance and Ethics**

##### **a. F.S. 1010.35, Screening of Foreign Researchers**

Mr. Baldwin explained the Office has been very active over the last several months processing foreign candidates as it has touched over 130 applications since he has taken over as Interim Chief Compliance and Ethics Officer. The process consists of reviewing 12 pieces of information as required by the Statute.

b. **F.S. 1010.36, International Travel (July 31, 2022, Report)**

Mr. Baldwin explained that the Office has also been busy approving several International Travel Attestation Forms for international travelers. As a reminder, the biannual report will be issued in July 2023. This is our 2nd year of reporting for this Statute.

c. **Foreign Gift Reporting (July 31, 2022, Report)**

Mr. Baldwin reminded the Committee that the biannual report for contracts and agreements of \$50,000 or more will be issued to the BOG and of \$250,000 or more for the DOE in July 2023.

d. **Form 1 Filing**

Mr. Baldwin explained that Form 1 letters from the Florida Commission on Ethics should have been mailed out and are due by July 3, 2023.

**IV. Office of Inspector General Services**

a. **Action Item I: Request for Approval of the FSUMRD Contract**

Mr. Baldwin explained that the FSU Magnet Research and Development, Inc. (FSUMRD) is requesting approval of a 5-year contract with James Moore & Co. for their annual audit. The cost of the contract will be \$75,000, or an average of \$15,000 over 5-years. The FSUMRD Board of Directors approved the contract proposal on May 31, 2023. The final audit is due on October 16, 2023.

*Trustee Henderson moved to approve Action Item I. The motion was seconded by Chairman Collins and the motion was approved unanimously by all committee members present on the call.*

b. **Action Item II: Request for Approval of the FY 2023-24 OIGS Audit Plan**

Mr. Baldwin requested approval of the FY 2023-24 OIGS Audit Plan. Included in the audit plan are 20 operational projects, and 6 information technology projects.

*Trustee Henderson moved to approve Action Item II. The motion was seconded by Chairman Collins and the motion was approved unanimously by all committee members present on the call.*

c. **Status Update – OIGS Audits**

Mr. Baldwin explained that as of May 22, 2023, OIGS has issued 15 audit reports and 4 additional reports will be issued by June 30, 2023.

d. **Department Rebranding**

Mr. Baldwin explained that the Department will change its name from the Office of Inspector General Services (OIGS) to the Office of Audit and Advisory Services (OAAS) effective July 1, 2023. The goal for rebranding is to more closely relate to audit and advisory services provided by the department.

*Chairman Collins moved to approve the Department Rebranding. The motion was seconded by Trustee Henderson and the motion was approved unanimously by all committee members present on the call.*

e. **Commission for Florida Law Enforcement Update – Reaccreditation**

Mr. Baldwin explained that OIGS passed the reaccreditation review and is in compliance with all 39 standards. OIGS' previous accreditation dates were June 2017 and July 2020. The awards ceremony for the 2023 reaccreditation will be held on June 29, 2023.

**V. Open Forum for Trustees**

Trustee Henderson opened the floor for any additional items that needed to be discussed. There were no items presented for discussion.

**VI. Adjournment**

*Chairman Collins moved to adjourn the meeting. Trustee Henderson seconded the motion, and the meeting was adjourned at 11:25 a.m.*

DRAFT