



FLORIDA STATE
UNIVERSITY

OFFICE OF
COMPLIANCE AND ETHICS

Audit & Compliance Committee Meeting

September 7, 2023

Agenda

Informational Items

1. 1010.35, Screening of Foreign Researchers
2. 1010.36, International Travel
3. Foreign Gift Reporting
4. Form 1



Q&A





FLORIDA STATE
UNIVERSITY

OFFICE OF AUDIT AND
ADVISORY SERVICES

Audit & Compliance Committee Meeting

September 7, 2023

Agenda

Action Items

1. Request for Approval: OAAS Charter and A&C Committee Charter – Consent
2. Request for Approval: FSU International Programs Association, Inc. (FSUIPA) is requesting a 5-year contract renewal with James Moore & Co. – Consent
3. Request for Approval: FSU Collegiate School's request to enter into a 3-year contract with BKHM CPA with an option to renew for two (2) one-year audit periods – Consent

Informational Items

1. Status Update – OAAS Audits
2. Board of Governors (BOG) Regulation 4.002(8) – Annual Report



Action Item #1

OAAS Charter

1. Rebranding from OIGS to OAAS
2. Added new sections: purpose, core values, types of audits, advisory and consulting services, quality assurance and improvement program, and investigations
3. Updated the wording

A&C Committee Charter

1. Rebranding from OIGS to OAAS



Request for Approval – Action Item #1

- Approval of the OAAS Charter and A&C Committee Charter



Action Item #2

1. The FSU International Programs Association, Inc. (FSUIPA) is requesting a 5-year contract renewal with James Moore & Co.
2. The FSUIPA Audit Committee approved the contract proposal on August 1, 2023, and the Board of Directors approved the contract proposal on August 22, 2023.



Request for Approval – Action Item #2

- Approval for FSUIPA's 5-year contract renewal with James Moore & Co.



Action Item #3

1. FSU Collegiate School's (Collegiate) request to enter into a 3-year contract with BKHM CPA with an option to renew for two (2) one-year audit periods.
2. Collegiate's Board of Directors approved the contract proposal on June 27, 2023.



Request for Approval – Action Item #3

- Approval for Collegiate’s 3-year contract with BKHM CPA firm with an option to renew for 2 one-year audit periods.



Informational Items

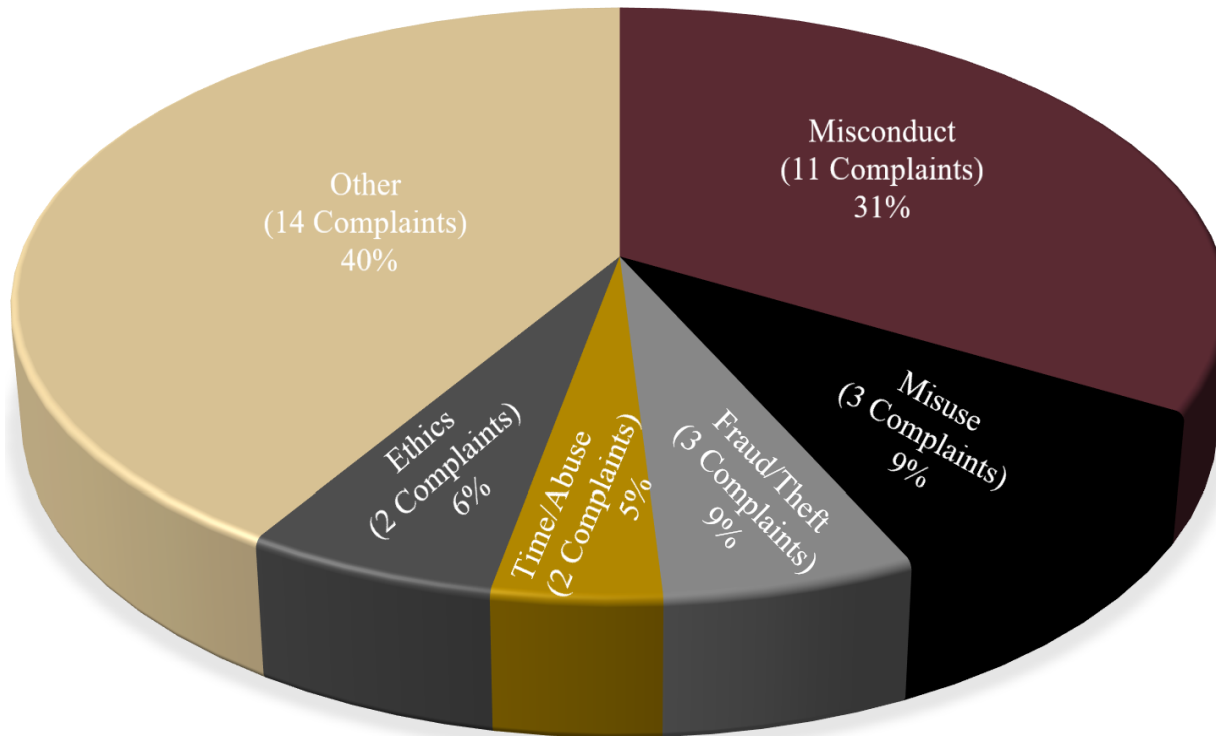
1. Status Update – OAAS Audits
2. Board of Governors (BOG) Regulation 4.002(8) – “By September 30th of each year, the chief audit executive shall prepare a report summarizing the activities of the office for the preceding fiscal year. The report shall be provided to the president, board of trustees, and the Board of Governors”.



Informational Item #2 – Annual Report

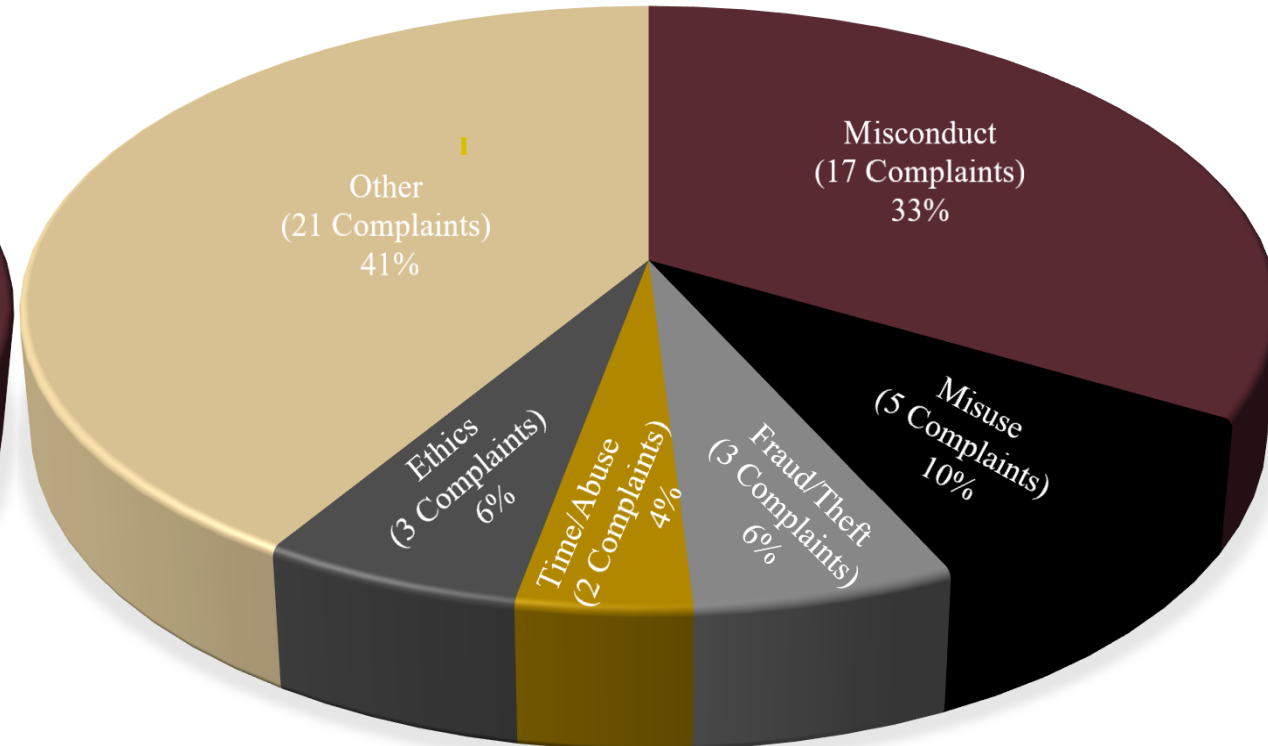
FY 21-22

35 Total Complaints/Intakes



FY 22-23

51 Total Complaints/Intakes



Informational Item #2 – Annual Report

FY 21-22

35 Total Complaints/Intakes

Sources

Employees	47%
External	22%
Anonymous	19%
Students	6%
Management	6%

FY 22-23

51 Total Complaints/Intakes

Sources

Employees	33%
External	35%
Anonymous	10%
Students	20%
Management	2%



Informational Item #2 – Annual Report

FY 22-23 Customer Feedback Survey Results	
Category	Average Rating
Audit Process	4.39
Technical Knowledge	4.32
Reporting	4.56
Communications	4.55
Professionalism	4.60
Added Value	4.30
Overall Average Rating	4.43



Informational Item #2 – Annual Report

Positive Feedback

- *“The feedback solicited from the team during the report finalization phase was extremely impressive.”*
- *“Heather sought over several cycles of communication to understand our unique operating environment and how best to convey the findings to a diverse set of readers.”*
- *“Communication, fairness, professionalism, and positivity were all exceptional.”*
- *“Thank you for you and your team's collaborative approach. I appreciated the professional and collaborative efforts by this team.”*



Informational Item #2 – Annual Report Improvement Feedback

- *“I would recommend there be content experts assigned to units on at least a limited basis.”*
- *“We were given questions and were requested to provide information on 2 separate occasions. We provided information but did not receive any feedback for several months.”*
- *“Questions and information being requested demonstrated a lack of understanding of the IT environment and its complexity at Florida State University.”*



Q&A

