

THE **Audit Report**

AN INTERNAL AUDIT NEWSLETTER.

ISSUE

07

March 2023

Meet the COO

Learn about the COO, the new organizational structure, and his role in implementing changes

Meet the Interim Provost

FAMU's new Interim Provost discusses plans to improve efficiency, integrity, and accountability

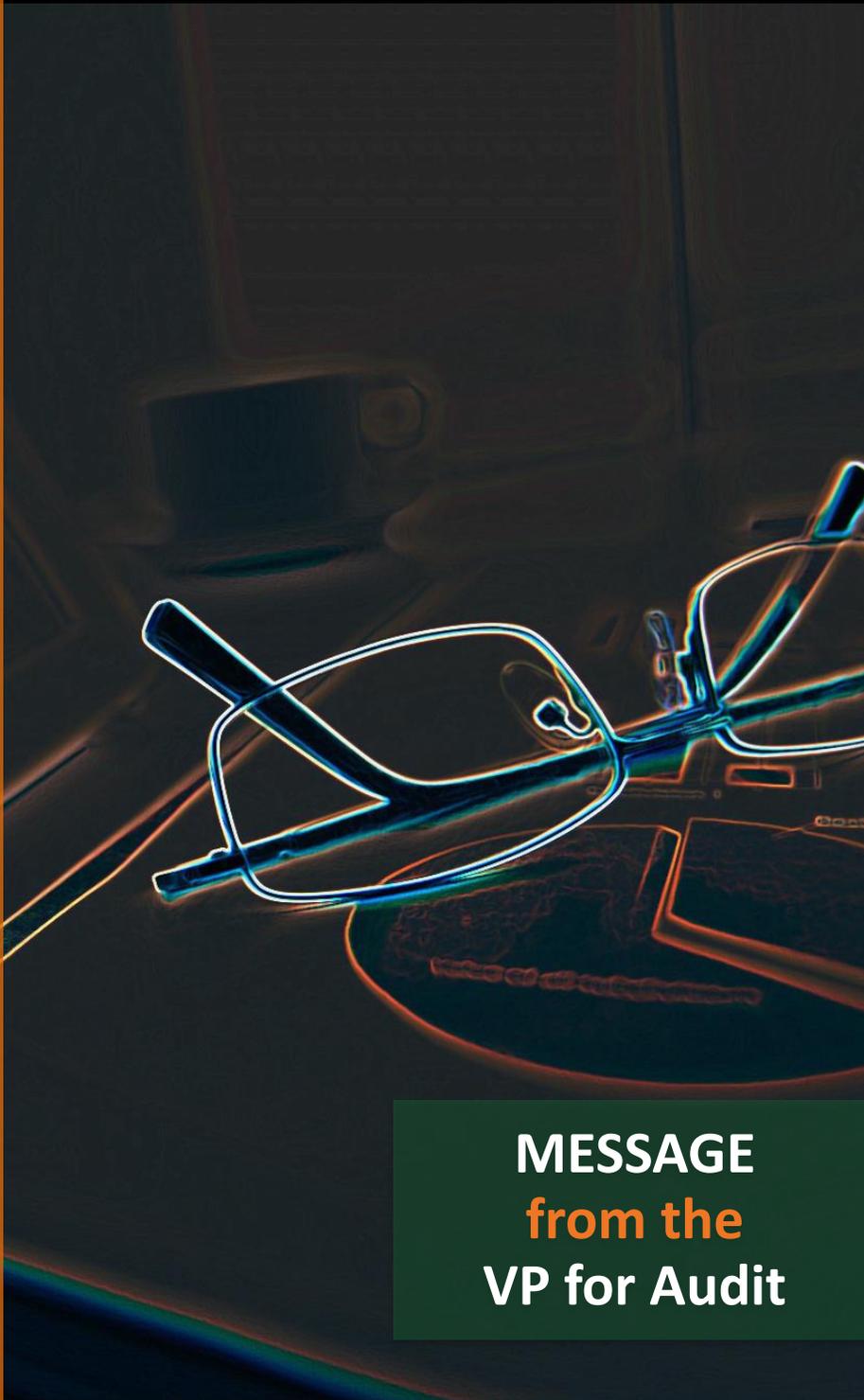
A Partnership in Cybersecurity Preparation

Read how CISA can help FAMU with cybersecurity

Strategic Priority 5

Understand how DoA contributes to Organizational Effectiveness and Transformation

MESSAGE
from the
VP for Audit



Contents

2. Message from the
VP for Audit

9. A Partnership in
Cybersecurity
Preparation

3. Meet the COO

10. Leveraging the Brand

4. Meet the Interim
Provost

11. FAMUly Brand
Word Search

6. DoA Employee
Spotlights

12. Organizational
Effectiveness &
Transformation

7. Power Skills Lab:
The Art of Public
Speaking

14. Audit Workplan
Update &
Investigations Data

8. How to Fix the Fear

15. Resources



Message from the VP for Audit

JOSEPH K. MALESZEWSKI

MBA, CIA, CISA, CIG, CIGA, CIGI, CGAP, CCEP, CCA, CFE

This edition of The Audit Report is focused on recent organizational changes and strategies. We look forward to working with each of these leaders who are taking on new roles and helping them be successful in promoting the strategies recently adopted by our Board of Trustees in Boldly Striking: Strategic Plan 2022-2027.

I am excited about the establishment of a Chief Operating Officer role at FAMU. I believe this function and, in particular the incumbent Dr. Maurice Edington, will bring enhanced focus to strategies which will enhance university operations. Some of those areas of focus were highlighted in our Risk Assessment published in May 2022. In that assessment we noted that the University can enhance operations and risk management practices in FY 2022-2023 by:

- Identifying a person responsible for assessing and leading privacy efforts across the university;
- Enhancing the policy and procedure governance framework to ensure up-to-date and aligned guidance;
- Continuing efforts to align resource allocation with strategic priorities;
- Enhancing all areas of the employee life cycle to increase the University's ability to recruit and retain high performing individuals;
- Enhancing financial and operational controls within the Department of Athletics;
- Continuing efforts to enhance and expand emergency preparedness and response activities;
- Continuing efforts to build a comprehensive enterprise risk management function; and
- Continuing to cultivate a culture of transparency and accountability.

These areas, along with others identified by the President and COO will serve as a road map to enhance University operations and bring us closer to our goals to:

1. Perpetuate Performance-based funding by earning excellence and improvement points;
2. Rise in the U.S. News and World Report Best Colleges Rankings for Top Public Schools – Currently ranked #103; and
3. Achieve classification of “R1” or “very high research activity” by the Carnegie Classification of Institutions of Higher Education.



Meet COO

Dr. Maurice Edington

By Trystal Wright, Senior Auditor

Background: Dr. Edington is a physical chemist by training, who received his B.A. degree in chemistry from Fisk University, a Ph.D. degree in physical chemistry from Vanderbilt University, and he completed postdoctoral studies at Duke University, where he was a National Institutes of Health (NIH), National Research Service Award Postdoctoral Fellow. Dr. Edington arrived at FAMU as a faculty member in the Department of Chemistry in 1998.

In 2002, Dr. Edington was promoted to his first administrative role as Department Chair of the FAMU's Department of Chemistry. Since, he has served as the Director of the FAMU Quality Enhancement Program (QEP), Chair of the FAMU Department of Chemistry, and Director of the FAMU Office of Engineering and Science Support. Additionally, he has served as Vice President for Strategic Planning, Analysis, and Institutional Effectiveness at Florida A&M University and FAMU's Southern Association of Colleges and Schools Commission on Colleges Accreditation Liaison since 2010.

Implementing Change: The University's new organizational structure and the implementation of the role of Chief Operating Officer (COO) derived from discussions between the President and Board of Trustees during a business retreat that took place in August 2022. During this retreat, there were conversations about the need for more operational controls to resolve some of the gaps and challenges. The purposes for implementing organizational changes include, accelerating progress, enhancing operational efficiency and fostering service excellence, aligning talent with priorities and critical needs, and supporting the new 2022-2027 Strategic Plan, "Boldly Striking."

The new role will provide direction and oversight for university leadership to implement strategies and systems that improve the quality, efficiency, and responsiveness of services and operations. The COO will provide senior leadership with analyses of institutional and other data to support effective decision-making and ensure that the university has effective systems and internal controls.

Receiving Feedback: The most effective way to give and receive feedback is through customer service. We will implement a process to gather real-time feedback from stakeholders after interactions with other Departments and processes. This method holds everyone accountable and provides data in real-time, which will be a big difference maker. We plan to evaluate, assess, and share the feedback we receive and then track and monitor the changes. The key focuses will be on assessing feedback evaluations and ongoing monitoring.

Onward & Upward: For the upcoming year we are excited about placing the highest priority on customer service and student experience. We are placing a critical focus on these items in efforts to improve these areas consistently across the university.



Meet Interim Provost Dr. Allyson Watson

By Arriet Foster,
Lead Senior Auditor/Investigator

President Larry Robinson announced in early November 2022, the formal restructuring of Florida A&M University to incorporate the Chief Operating Officer position. Former Provost, Dr. Maurice Edington, assumed the COO role and passed the baton to Dr. Allyson Watson, former Dean of the College of Education. DoA reached out to Interim Provost Watson to get to know more about her vision and goals for the future.

Q: What is an interesting fact about yourself that your colleagues would be surprised to know?

A: I'm an avid Kindle and Audible book reader. I enjoy reading electronically or on an audio device because I can be anywhere and sometimes even multi-task while learning new information. I've read several in the last month that have been helpful in this remarkable transition. I read motivational texts, informational texts, biographies, everything I can get my eyes and ears on, I try to enjoy. Some titles I have enjoyed are Better Homes and Gardens' monthly issues, The Provost's Handbook: The Role of The Chief Academic Officer by James Martin and James Samuels, A Toolkit for Provosts by Patricia Mosto, Gail Simmons, Brian McGee, and Dianne Dorland, and You Were Made for This Moment by Max Lucado. I've learned that reading often alleviates the pressure that we are faced with in our daily tasks. I encourage others to find a great book and dive in. One additional tip I'd give for those who download the Audible app, is to find an Audible with a narration voice that you enjoy listening to.

Q: How do you see FAMU evolving over the next few years as we continue the march toward becoming a top 100 national public school? What is your vision for the future?

A: I'd like to see FAMU become a preeminent institution, with nationally recognized academic programs and excellence in student learning experiences, internship placement, employment outcomes, and time to degree. I believe we can and will be one of the top institutions in the nation. I believe we will be an institution that recruits and retains the very best talent in our faculty, leadership, and support staff, and we will be a place where our students thrive. Many of these things are already happening, we are just waiting to share the good news with the world.

Q: What are some changes you'd like to implement specifically regarding Academic processes, controls, communication, and workflows?

A: I inherited a great system with excellent leaders in place. We are working together to ensure our processes are in place and working efficiently. We'll be relaunching communications from the academic affairs perspective. We encourage our FAMUans to look for the "Great Things Are Happening at FAMU" newsletter upon the hire of a Director of Communications for the Office of the Provost. When we relaunch the newsletter and re-engage our social media platform, we will continue to engage our stakeholders and share the excellence we are doing daily across the institution.

Dr. Watson's Plans to Improve Efficiency, Integrity, and Accountability Related to Academic Affairs

By Arriet Foster, Lead Senior Auditor/Investigator



To improve efficiency, integrity, and accountability related to Academic Affairs, Dr. Watson developed a S.T.R.I.K.E. vision that is complementary to our Boldly Striking Strategic Plan, the Florida Performance-Based Metrics, and President Robinson's goals provided by the Board of Trustees. The S.T.R.I.K.E vision that she set forth encompasses the following:

S - Strategic Priorities - Creating a laser-like focus on strategic priorities as a unit and uplifting the Boldly Striking Strategic Plan, U.S. News and World Report rankings, Florida SUS Performance Based Funding Metrics, Student Success Directives, and Academic Prioritization;

T - Trust - Building and navigating trust through internal and external partnerships, transparency, and shared governance;

R - Responsibility - Creating a culture of accountability in adherence to best practices;

I - Innovation - Increasing the number of research dollars, undergirding undergraduate and graduate research and, graduating students in Programs of Strategic Emphasis (PSE), and graduate and professional degree programs, and updating curricula to address the needs of the current marketplace;

K - Knowledge - Enhancing professional development opportunities and collaborative knowledge exchanges and supporting the Teaching and Learning Center; and,

E - Excellence in Engagement - Engaging in the community through ongoing discipline-based partnerships that add value to our local, regional, national, and global community.



FLORIDA A&M UNIVERSITY
DIVISION OF AUDIT

EMPLOYEE SPOTLIGHTS



Welcome New Auditor CRISENCIA "CRISSY" BROWN

Crissy comes to us with a Master in Business Administration from FAMU School of Business and Industry and a background in financial aid and auditing. Crissy gained auditing and compliance experience working in higher education with FSU Office of Financial Aid as an Audits/Compliance Analyst. She is excited to bring her skillset to her alma mater, FAMU and looks forward to the opportunity add value in her new role.



Welcome New Senior Auditor ERICA THAMES

Erica came to us in October 2022 with a Master's degree in Public Administration and a Bachelor's degree in Sociology. Erica is a Certified Inspector General Auditor and a certified Lean Six Sigma Advanced Yellow Belt. Prior to joining DoA, she worked for the state of Florida for over twenty years, with four years-experience in audit. Erica is inquisitive and embraces learning new things. When not at work, she enjoys spending time with her family and traveling.



Congratulations New Audit Advisory Committee Chair for The Leon County Board of County Commissioners DEIDRE MELTON

Deidre has been appointed the Chair of the Audit Advisory Committee for the Leon County Board of County Commissioners. The Committee promotes, maintains, and enhances the independence and objectivity of the internal audit function. As Chair, Deidre will preside over Committee meetings and represent the Committee before the Board of County Commissioners.

Power Skills Lab: The Art of Public Speaking

By Bill Knight, ERM Coordinator



“According to most studies, people’s number one fear is public speaking. Number two is death. Death is number two. Does that sound right? This means to the average person, if you go to a funeral, you’re better off in the casket than doing the eulogy.” - Jerry Seinfeld

The Division of Audit (DoA) has been engaging in Power Skills Labs for our personal development and job growth. At least once a month, we hold internal training sessions or invite external professionals to come speak to our staff about a variety of topics. One of the best labs we’ve had so far was on Public Speaking, presented by Rob Clark, the Chief Audit & Compliance Officer at Howard University.

Rob joined us via Zoom during one of our staff meetings this past October. The presentation started with a discussion of the seven seconds rule, which suggests that we formulate opinions about others within the first seven seconds of meeting them. That means we have seven seconds to make a good first impression. With Rob’s help, our team discussed ways to improve first impressions via a smile, eye contact, greeting, body language, and a positive attitude.

Next, Rob engaged us in a discussion about glossophobia. Most of us had no idea what this was, but glossophobia is the fear of public speaking. Rob was very forthcoming about his experiences navigating and overcoming this phobia and helped us to accept that the fear of public speaking is a normal part of being human.

In teaching us how to conquer our glossophobia, Rob introduced us to Toastmasters, a non-profit educational organization that teaches public speaking and leadership skills through a worldwide network of clubs. Rob walked us through his beginnings with Toastmasters and the positive impacts it had on his personal and professional life.

As a final takeaway, Rob gave us a homework assignment to develop a 30-second “Elevator Speech” for meeting and networking with the larger University population outside the Division of Audit. This included being prepared to present our names, titles, responsibilities, and something fun about ourselves. We then got back together with Rob a couple of weeks later to give our speeches. We offered honest and positive feedback to our teammates and learned much about ourselves and each other.

Some of us have even taken the initial steps of joining one of the Tallahassee chapters of Toastmasters. We are excited about improving our collective skills in speaking and communicating more effectively. Good things are happening every day in the Division of Audit! We’d love to see some of you at Toastmasters one day. See the next page for Rob’s tips for tackling glossophobia:



HOW TO FIX THE FEAR OF PUBLIC SPEAKING

Tips by Rob Clark, Chief Audit &
Compliance Officer at Howard
University

- Know your topic – YOU are the world’s foremost expert on what YOU are going to say!
- Get organized:
 - Have a compelling opening
 - Tell your audience what you’re going to share with them
 - Deliver the subject
 - Summarize what you told them
- Practice, get feedback, and then practice some more (video yourself)
- Challenge your specific worries
- S-L-O-W D-O-W-N
- Visualize your success
- Do some deep breathing
- SMILE!
- DON’T APOLOGIZE
- Incorporate appropriate humor (self-deprecating is always safest)
- Focus on your material, not on your audience
- Don't fear a moment of silence
- Have a compelling closing

A Partnership in Cybersecurity Preparation

By William Thomson,
Senior IT Auditor

Critical infrastructure, which includes FAMU, is classified as essential services and institutions that underpin American society and serve as the backbone of the nation's economy, security, and health. Cybersecurity is a very important topic for institutions of critical infrastructure. To support this infrastructure, the Cybersecurity and Infrastructure Security Agency (CISA) was established in November 2018, to act as the quarterback for federal cybersecurity by providing advisory and coordinated actionable information across federal and non-federal partners. FAMU was recently visited by Yolanda Williams, a Cybersecurity State Coordinator and Advisor and a regional representative from CISA, who spoke about the mission, services, and impact a partnership with CISA could bring to FAMU's cybersecurity posture.

CISA's mission is to lead the national effort in understanding, managing, and reducing risk related to cyber infrastructure. Yolanda Williams, State Coordinator, is charged with bringing people together to discuss cybersecurity threats and raise awareness of federal aid available to institutions, such as FAMU, to help mitigate cyber dangers. CISA also offers various services that could be used by FAMU, free or at no cost, including periodic assessments based on the NIST 800-53 cybersecurity framework to help identify areas of cyber strength and weakness for future improvement. In addition, CISA will also be a vital point of contact for FAMU's cyber security preparedness and response activities.

To best prepare FAMU against cyber threats, CISA is looking to actively share information with the University regarding those threats and also share cyber exercises and playbooks to guide FAMU in responding to potential attacks. Cybersecurity awareness training is another thing that CISA offers as well, to help ensure that FAMU is as prepared as can be from a cybersecurity perspective. However, in the unfortunate event that the University experiences a cyber-attack, similar to firefighters mitigating damage and CISA is there to help respond and identify root causes.

Cybersecurity becomes a growing concern with each passing year. Unfortunately, critical infrastructure institutions, such as the University, can become a target due to their essential nature. CISA offers cyber awareness and security advisory and has partners and options for creating a more secure and resilient infrastructure for the University.



Strategic Priority 3: Leveraging the Brand

By Erica Thames, Senior Auditor

Merriam-Webster dictionary defines a ‘brand’ as a public image, reputation, or identity conceived as something to be marketed or promoted. FAMU practices leveraging its brand through academic excellence, student success, social movements, and a rich history of traditions, culture, fellowship, and contributions. The Division of Audit adds value to the leveraging process by engaging stakeholders and obtaining their input, identifying best practices, opportunities for improvement, and risks to University objectives, and appropriate recommendations.

When thinking of FAMU’s brand, the following accomplishments come to mind:



The Director of the Office of Communications, Mr. Keith Miles, says, “The current status of the FAMU brand is highly respected in higher education, including academics, recruitment, research, fundraising, media coverage, etc.” Mr. Miles goes on to say, “The FAMU brand is ‘hot’ right now. There are ‘great things happening every day at FAMU,’ to borrow a line from Dr. Robinson, and our job in the Office of Communications is to showcase them, as much as we can, across multiple platforms.”

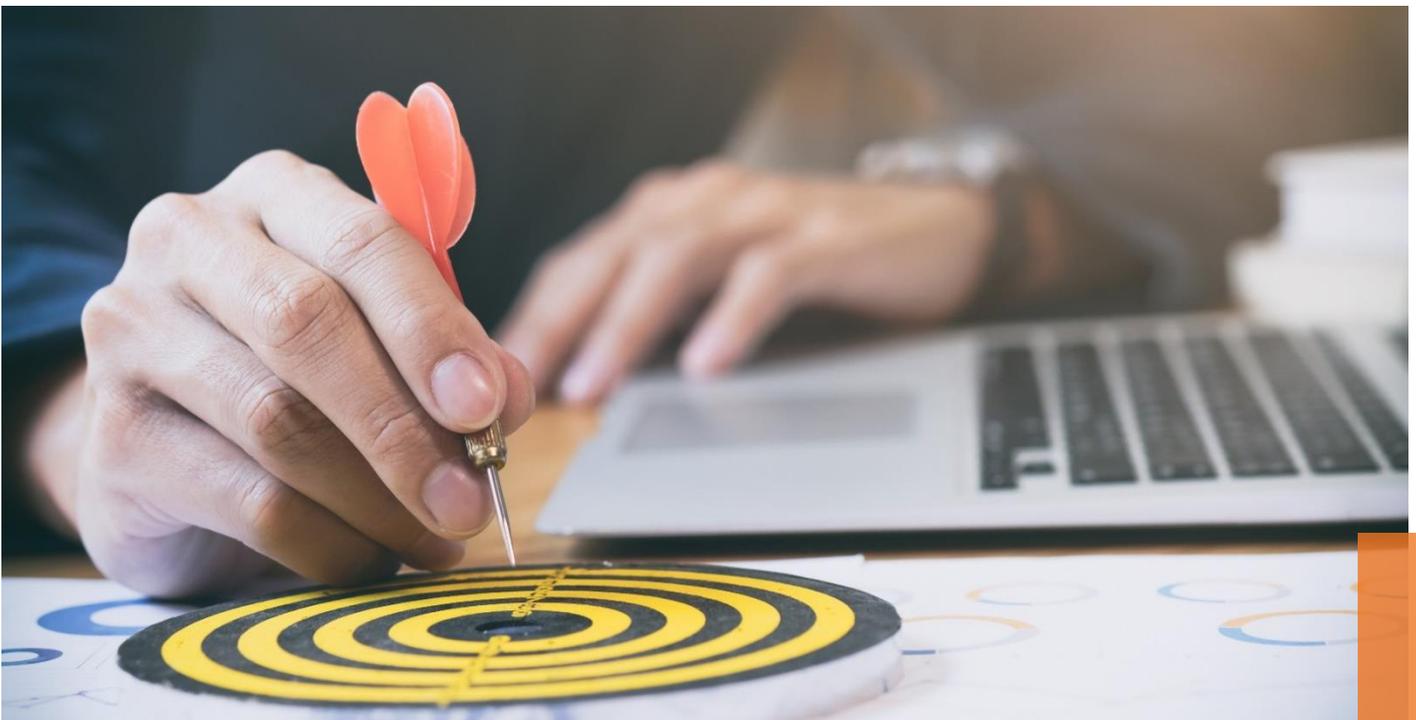
When describing his thoughts on the future of the FAMU brand, Mr. Miles says, “We like to say, ‘you can get anywhere from FAMU,’ and that message is resonating as the University has received more than 20-thousand applications for the fall 2023 semester. Students not only want to come to FAMU, but they are in fact coming. The University’s focus on student success and the professional accomplishments of our alumni tells the story and sets the stage for an even brighter future. Under Dr. Robinson’s leadership it’s a good time to be a Rattler.”

Find all the words on the list. Words can go in any directions. The first two respondents with all correct answers win a prize. Deadline to respond is March 31, 2023. Submit responses to: DivisionofAudit@famu.edu.

The FAMULY Brand

QTRKKKQVGVZHRRELATIONSHIPSYDZWOO
 SOZCGGJSQTORNBHCCXWYLTTCNCFBH
 TLXFPEATDQKBBRQQRWGDYCBMQUCNZE
 RESWPVIIMUZKJENGAGEPHVEXAWWIZL
 AIELUNFNFGDOJELMCEWCJSOOHJEVCO
 TNYQQHFNICJRMDCGCBORBVSUMHBCPKT
 ENZAPNDQMTAHDRTIYDBUKTEGMTLOJ
 GOYDCWNMVTIMIAMHIMOQJJRSYHACNU
 IVEHBCKMOOVAPOYOSVOLQYESZPRWSI
 CAJPQAOJEYHGTADIPCEZJLAAZRGZHP
 FTPBFPRUYGPWSIILNEUSLNCGATEHJE
 UIEXWHETNKXWATVGETRLBXHRHPTQIO
 DVXGCTCQUTZTPAAENVEATZMNEBJTCO
 SECUOPVXELABS DHNSSERTIEGAJWRAH
 UUEBLRAYPEDBWN YUDNMRNIVXQKKXP
 WKLDLIFRAEJOIUHMA LUAAOAPAAFNS
 AALXAOFSCFAEYLSEOTRGGGTNTZAYWS
 OGEABRUHAAMZHIIVJICDCGEIAEJQPS
 NHNPOIUCDMOVVRMTMOUASJNTOLPKWJ
 RBCHR TYQE UQWFTIWYNSET SXLNNC SOV
 HREIAYYFMLRADXTQWATKWZTBROAPGA
 ZANKTTORIMZKWBMC ELOS RWYYGTALMV
 YNLUIMFLCQSHOWCA SEMGULRSQXFFIU
 XDDDDOPROMOTELJPYIYESGOALS SPQOXU
 XAGNNQYFOHHOMXHXGSRIZVOSXFUSZV

- | | | |
|----------------|---------------|---------------|
| Accountability | Relationships | International |
| Collaboration | Operational | Initiatives |
| Objectives | Excellence | Standards |
| Messaging | Cultivate | Innovative |
| National | Campaigns | Priority |
| Strategic | Showcase | Academic |
| Outreach | Promote | Customer |
| Leverage | Engage | Goals |
| Target | Brand | FAMU |



Strategic Priority 5: Organizational Effectiveness and Transformation

By Crissy Brown, Auditor

DoA contributes to FAMU's Strategic Priority 5, Organizational Effectiveness and Transformation, in numerous ways. One goal of Strategic Priority 5 is to enhance a culture that intentionally fosters building and engaging a high performing workforce and fortifies FAMU's status as an employer of choice. DoA helps to ensure a healthy work environment for all staff and continuously offers informative training events to further enhance a high performing workforce. DoA also helps to cultivate an environment of consistency by performing consulting services and determining best practices.

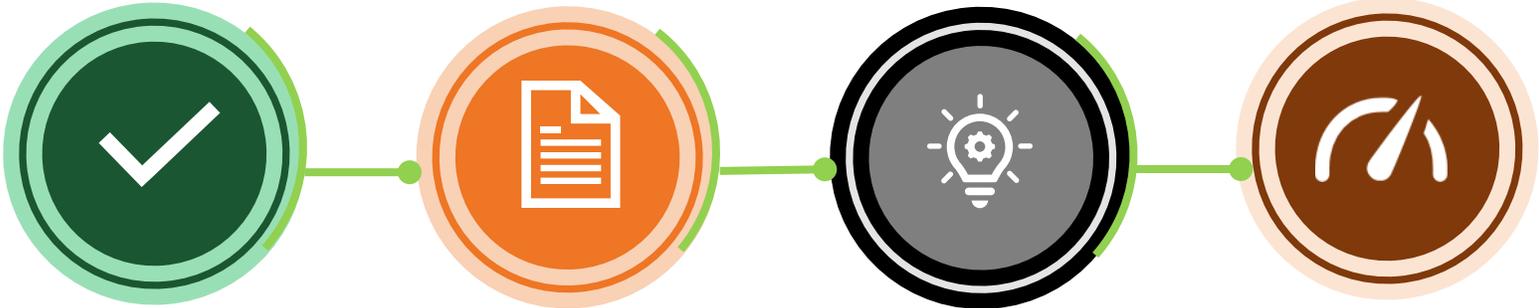
DoA assists with the enhancement of processes and innovation through independent, objective assurance and consulting services designed to add value and improve the University's operations. DoA helps the University accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control, and governance processes.

DoA specializes in processes that strengthen the University's culture of strategic decision-making through promotion and enhancement of compliance, internal controls, and enterprise risk management practices, with an emphasis on engagement, education, reporting, and accountability. DoA helps to ensure FAMU's processes have adequate internal controls in place to reduce existing and emerging risks to goals and objectives. DoA's Enterprise Risk Management program provides meaningful, actionable, and timely strategic performance risk intelligence to our stakeholders to enhance decision making and resource alignment while appropriately balancing risk and opportunity. Learn more about ERM during FAMU Fundamentals.

2022 Fraud Awareness Month and the President's Christmas Toy Drive



FY JULY 2022 – JUNE 2023: Audit Workplan Status



Complete

- Procurement Services Advisory
- Title IX Advisory Service
- Remote Work Advisory
- Auxiliary – Athletics Transfer Audit
- Performance Based Funding Audit
- Security Plan Audit

In-Progress

- Ticket Office Advisory Service
- Athletics Advisory Service
- Financial Aid Audit
- Controller’s Office Advisory
- DAVID Audit
- College of Pharmacy Advisory

Planned

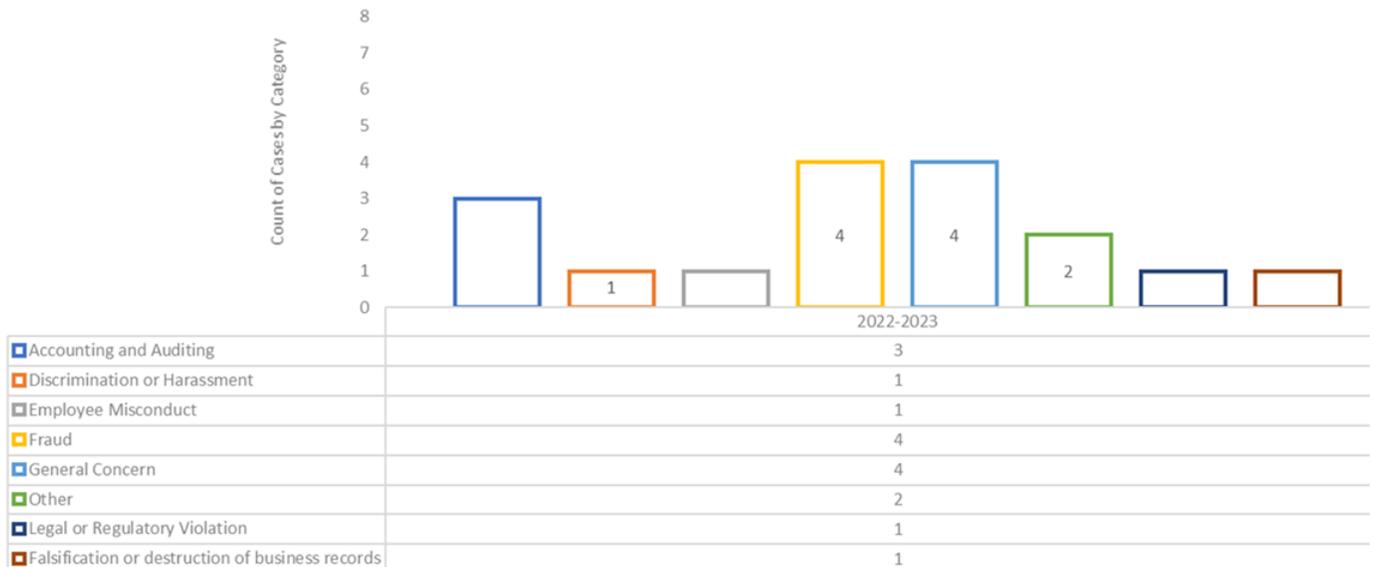
- Student Government Association Audit
- Auxiliary Services Audit
- HEERF Funding Audit
- HR Onboarding & Exit Process Review (Advisory)

Deferred

- Culture Assessment
- Online Education and Support Advisory Service
- IT Governance and Structure Advisory

JULY 2022 – Present: Investigations Data

17 Complaints Logged Since July 1, 2022*



*This chart represents cases in which DoA was involved, including investigations referred out to other units or split between University investigative units.

RESOURCES

Need to file a complaint or make a report to the DoA?

You can reach DOA by emailing us at DivisionofAudit@famu.edu or by phone at 850-412-5479.

Complaints can also be submitted via the University's Compliance and Ethics website which allows anonymous reporting.

[Click on this link to file an Ethics Report.](#)



We look forward to hearing from you.

Did you enjoy reading...

The Division of Audit's The Audit Report Magazine? [Click here](#) to find previous issues on the Division of Audit's website.



Fraud Education and Resources

Want to know more about how to prevent, detect and address fraud within the University or in your day to day life?

Check out some of the resources listed below:

[Association of Certified Fraud Examiners](#)

[AGA Fraud Resources](#)

[FAMU Division of Audit](#)

[FRAUD Magazine](#)

[Institute of Internal Auditors Fraud Resources](#)

Additional DoA Resources

[The Audit Charter](#)

[Audit Reports](#)

[ERM, Training, & Other Resources](#)

ACCOUNTABILITY • INTEGRITY • EFFICIENCY
FAIRNESS • OBJECTIVITY • PROFESSIONALISM

FAMU

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"At FAMU, Great Things are Happening Every Day!"