



Office of the Inspector General and Director of Compliance 2018-2019 Work Plan

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Inspector General and Director of Compliance**



INTRODUCTION

The Office of Inspector General and Director of Compliance (OIGC) was established within the Board Office to provide a central point of coordination and responsibility for activities that promote accountability, integrity and efficiency. The duties, functions, and activities of the OIGC are prescribed pursuant to Sections 20.155, and 20.055, Florida Statutes.

Our work plan for fiscal year 2018-2019 is based on our 2018 risk assessment as well as prior audit and investigative coverage. Important to this work plan development process was consideration of audit topics included in the Auditor General's operational audit of the Board Office, prior OIGC audits, and legislative updates.

OIGC WORK PLAN - FISCAL YEAR 2018-2019

Section 20.055, Florida Statutes, specifies that the Inspector General develop long-term and annual audit plans based on the findings of periodic risk assessments and that the plan show the individual audits to be conducted during each year and related resources to be devoted to the respective audits. This year's assessment included consideration of management controls; communications; staffing and resources; data systems and information; reporting; degree of change; performance measures; fraud, waste, and abuse; and general risks.

Using assumptions regarding leave usage, professional development, indirect time, and anticipated vacancies, we computed the OIGC staff hours available for projects. In total, the OIGC will have 4,650 hours available for projects including audit, investigative, compliance, operational, and follow-up activities. We estimated that it would take 540 of these hours to complete four OIGC projects currently in progress. We also set aside 500 hours for special projects to meet management's and the Board's needs as priorities are identified.

The long-term and annual audit plan is statutorily required to be submitted to the Audit and Compliance Committee, the Board of Governors, and the Chancellor for approval. A copy of the approved plan is also submitted to the Auditor General.

The following areas were identified as priorities for fiscal year 2018-2019.



Annual Work Plan - FY 2018-2019


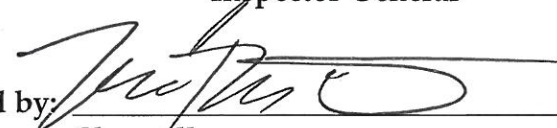


Project Title	Estimated Hours
AUDIT ACTIVITIES - ASSURANCE AND CONSULTING	
Board Office Data Security	300
Board Office Contract Procurement and Management	350
Board Office Travel	250
Performance-based Funding Model, University Data Integrity Coordination	150
INVESTIGATIVE ACTIVITIES	
Complaint Intake and Triage	500
Preliminary Inquiries	100
Investigations	300
Investigative Monitoring	100
COMPLIANCE ACTIVITIES	
Board Office Compliance Program Plan Development	200
Board of Governors Regulations, Compliance	200
OIGC OPERATIONAL ACTIVITIES	
Risk Assessment and Audit Plan, 2019-2020	150
OIGC Annual Report, 2017-2018	100
Audit-related Data Collection	200
Committee and Board Meeting Preparations	320
FOLLOW-UP ACTIVITIES	
Information Resource Management, IT Governance and Management	70
State University System of Florida Board of Governors Foundation	50
Board Office Operational Audit	50
FAMU Athletics Cash Deficit	80
Board Office Performance-based Funding Process and Controls	100
Rule 74-1 Compliance Assessment, IT Project Management	40
<i>Special Request Hours (Approximately 10%)</i>	<i>500</i>
<i>Carry Forward Hours</i>	<i>540</i>
Total	4,650



Additionally, the following audit topics have been scheduled as part of the OIGC's long-term work plan.

Long-Term Work Plan - FY 2018-2019	
OIGC-related Regulations Development	200
Board Office and Board of Governors Communications	300
Legislative Program Appropriations	300
Public Private Partnership	350
Compliance Review - Articulation	200
Compliance Review - Waivers	200

The OIGC work plans are subject to change based on the results of the periodic risk assessments and requests made by the Board of Governors or the Chancellor to evaluate particular activities or programs.

Respectfully Submitted:		Date: <u>6-28-18</u>
	Inspector General	
Approved by:		Date: <u>6/28/2018</u>
	Chancellor	
Approved by:		Date: <u>6-28-18</u>
	Chair, Audit and Compliance Committee	
Reviewed by:		Date: <u>6-28-18</u>
	Chair, State University System of Florida Board of Governors	