



SAN FRANCISCO STATE UNIVERSITY
AUDIT, RISK AND COMPLIANCE COMMITTEE
MEETING MINUTES

Date: August 11, 2016

Attendees: Grace Crickette, Michael Beatty, Helen Storrs, Julianne Tolson, Luoluo Hong, Nish Malik, Aimee Arica, Susan Pelton, Frank Fasano, Michael Scott, Solinna Kim, Andrea Whipple, Ellen Rayz

Agenda: Introductions, Brief Update on Meeting Minutes, Audit and Advisory Services Update, Discussion Topic: SFSU Cyan Report Card, Introduction of Policy & Public Records Coordinator, Risk Dashboards, Business Continuity, Lunch and Learns, Wrap Up

The meeting was called to order at 1:35 p.m.

Agenda Item: Brief Update on Meeting Minutes

Michael Beatty discussed the new format for the ARC Committee meeting minutes. The new format will allow the administration team to formalize the activities and discussions of the ARC Committee.

Agenda Item: Audit and Advisory Services Update

Helen Storrs emphasized the fact that the current audit team (1 director, 2 auditors, 2 quality assurance professionals) was built from the ground up and gave a detailed description of their accomplishments (even designated hours worked to each project) and initiatives. The current team has been able to verify 85 of the 109 management agreed upon responses from the 2012 – 2014 audits and will continue this work into 16/17. Helen also introduced a self-assessment program to be rolled out to the campus departments. Luoluo Hong commented that an automated workflow system would greatly benefit the rest of the campus. Helen is going to set up a demonstration and meet with Luoluo in the near future.

Agenda Item: Discussion Topic: SFSU Cyan Report Card

Grace Crickette opened the discussion with the fact that SFSU received a D on the Smoke/Tobacco-Free Policy Report Card because we have designated smoking areas. The D grade is surprising and rather disheartening because SFSU was the campus that



started with smoke-free campus initiative. Luoluo voiced concern with removing designated smoking areas on campus. If this were to happen, then the smoke problem would simply be pushed out to our surrounding neighbors and we would get a lot of push back from disgruntled neighbors.

Grace then brought up a report titled “Evaluation of the Implementation of the University of California Tobacco-free Policy” which discusses barriers of policy adoption, implementation, and compliance. The report gives real-world examples of how to break down those barriers. This report is saved in the box drive for everyone to access.

Agenda Item: Risk Dashboards – Office of Research and Sponsored Programs & Athletics Program

Michael Beatty discussed the risk dashboards for ORSP and Athletics. Grace pointed out that the Athletics Department has a \$500,000 budget which was primarily due to athletic scholarships. The Budget Department was able to offer some guidance to Athletics and help put controls and procedures in place that should help Athletics budget better in the future.

As respects the ORSP dashboard data, ORSP was able to work with the Property Department to obtain some more current data resulting in ORSP’s “unfound property” data improving from nine missing items to two.

Susan Pelton and Michael Scott were able to give context to several of the metrics listed in the dashboards. Michael encouraged more meaningful discussion like this with the departments moving forward. ERM will continue to work on refining the dashboards.

Agenda Item: Business Continuity

Michael and Solinna Kim discussed the plan to update all Business Continuity plans on campus. Michael gave a brief history of this initiative at SFSU. Solinna focused on ways ERM will act as guides and offer support around this initiative and the progress made so far in the A&F departments.

Agenda Item: Upcoming Trainings and Lunch & Learns



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Michael advised the Committee of the tentative schedule for Risk Lunch and Learn series to be scheduled over the next several months and announced the following on-campus trainings:

1. First Aid, CPR, and AED Certification Training for Building Emergency Response Coordinators – August 26, 2016
2. American Heart Association (AHA) Hands-Only CPR Demonstration – September 28, 2016

The meeting was adjourned at 2:15 p.m.