San Francisco State University
Audit, Risk and Compliance (ARC)

Working Session
August 11th, 2016
Agenda

• Introductions
• Brief Update on Meeting Minutes – Michael Beatty
• Audit and Advisory Services Update – Helen Storrs
• Discussion Topic: SFSU CYAN Report Card – Grace Crickete
• Introduction of Policy & Public Records Coordinator: Andrea Whipple
• Risk Dashboards – Michael Beatty
  – Office of Research and Sponsored Programs
  – Athletics Program
• Business Continuity – Michael Beatty / Solinna Kim
• Upcoming Training & Lunch-and-Learns
• Wrap Up
The Audit Team has been built from the ground up, with a Director, 2 auditors and 2 Quality Assurance Professionals.

Audits from 2012-2014 had management agreed upon responses numbering 109, that had not been verified. The Team has been able to focus the campus on ensuring that the corrections in controls are being addressed. The Team has verified completion of 85 improvement controls and will continue this work for 15/16 into 16/17.

The Team are also getting ready to roll out a self-assessment program that will allow leadership to be proactive in making ongoing corrections and improvements in controls.

The Quality Assurance program is only 2 months in play, and is meeting regularly with Business Managers from all of the Colleges and working as a team to make processes lean.
Audit and Advisory Services
FY 15/16 Annual Report (Cont’d)

The Team has also:

• Coordinated seven CO related audits/advisory projects and associated activities (408 hours)
• Completed ten of twelve special projects (709 hours)
• Completed nine of thirteen internal reviews (2,051 hours)
• Facilitated eight projects performed by external firms (236 hours)
• Participated in five activities related to CSU compliance and A&F process improvement (320 hours)
• Investigated or coordinated investigations for fifteen whistleblower complaints (259 hours)
• Implemented an electronic workpapers system (284 hours)
Andrea Whipple
whipplea@sfsu.edu
CALIFORNIA PUBLIC COLLEGE & UNIVERSITY SMOKE/TOBACCO-FREE POLICY REPORT CARD

June 2016

Presented by:

Cough
Campuses
Organized
& United for
Good Health

California Youth Advocacy Network

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<th>California State University</th>
<th>100% Smoke/tobacco-Free including e-cigarettes</th>
<th>Parking Lots</th>
<th>Perimeter (25-ft or more)</th>
<th>No policy/less than state law</th>
<th>E-cigarettes included</th>
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HEY SMOKERS!

WE WANT YOUR BUTTS!

COME TO THE UNVEILING OF NEW CAMPGUS RECEPTACLES

MARCH 17
12 PM
BETWEEN HUMANITIES AND CREATIVE ARTS
<table>
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<th>CUSTOMER</th>
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<td>Property Claims 0 claims</td>
<td>Unfound Inventory 15.38%</td>
<td>Conflict of Interest Compliance Training Completion 100%</td>
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<td>Harassment Prevention Training Completion 100%</td>
<td>Whistleblower Claims 2</td>
<td>Worker’s Comp Claims 111 EEs; 1 Claim; $128.03</td>
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<td>EPL Claims 0 claims</td>
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<td>EPL Claims 8 (4% of Univ. EEs; 4% of Incidents)</td>
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<td>Ergo Evaluations 3 of 111 EEs</td>
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**Training mitigates risk**

**Claims can be an indicator of a need for improved management and controls**

**Weak Controls + Lack of Accountability lead to inefficiency and financial loss and compliance risk**
<table>
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<tr>
<th>Category</th>
<th>Data Security Training Completion 56.18%</th>
<th>Audit Observations 7</th>
<th>Ergo Evaluations 0 of 28 EEs</th>
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<td>Customer</td>
<td>Training mitigates risk</td>
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<tr>
<td>Financial</td>
<td>Unfound Inventory 4.65%</td>
<td>Property Claims 2 claims; $2,170</td>
<td>$500,000 deficit</td>
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<td>Conflict of Interest Compliance Training Completion 100%</td>
<td>Whistleblower Claims 0</td>
<td>Data Security Training Completion 56.18%</td>
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<td>People</td>
<td>Harassment Prevention Training Completion 100%</td>
<td>Worker’s Comp Claims 28 EEs; 0 Claims</td>
<td>Compromised E-mail Account Incidents 3 (1% of Univ. EEs; 1% of Incidents)</td>
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<td>Whistleblower Claims 0</td>
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Claims can be an indicator of a need for improved management and controls.

Weak Controls + Lack of Accountability lead to inefficiency and financial loss and compliance risk.

Training mitigates risk.

Claims can be an indicator of a need for improved management and controls.

Weak Controls + Lack of Accountability lead to inefficiency and financial loss and compliance risk.

Training mitigates risk.
Business Continuity at SFSU

- **2007**: Chancellor’s Office Executive Order 1014: California State University Business Continuity Program

- **2008-2009 Planning Efforts**:
  - Some plans were originally created during this time, and were linked largely to IT Disaster Recovery readiness

- **2011 Audit and SF Ready Continuity Effort**:
  - New business continuity plans were created for many academic and administrative departments using a new tool called SF Ready

- **2014 SF Ready Assessment**:
  - Findings indicate SF Ready is the most economically sustainable medium for continuity planning

- **2016 SF Ready Business Continuity Initiative**:
  - Business Continuity planning is being undertaken to update strategies and plans, and to reflect organizational and other changes on campus
  - Phase 1 focused on Admin & Finance Departments
• A&F Plan Update
  – ERM has met with most A&F departments to discuss:
    • How to think about BC planning
    • SF Ready system and how to access
    • Timeline for completion of plans
  – ERM will review first drafts of plans and advise on changes if necessary and ask for feedback
A&F Departments Planning Timeline

Action Steps

- Webinars conducted, information sessions held to achieve consistency and provide direction
- Met and decided on Department’s Plan(s)
- Assigning plan ownership/responsibility in Departments
- Assembling appropriate staff for planning and continuity strategy discussions
- Provide ITS with DR requirements and align overall planning efforts

Timeline

- July-August—complete initial plan and solutions draft, meet with BC Program Management team, apply resources
- September-October—complete final draft plan in SF Ready
- Ongoing—continue addressing open items for continuity plans, brief/train department staff on their role and the plans,
- Annual—update plans as needed and participate in exercises/tests of the plans
Upcoming Trainings

• First Aid, CPR, and AED Certification Training for Building Emergency Response Coordinators
  – Friday August 26, 2016, 8 am – 4 pm
  – First Come, First Serve Basis

• American Heart Association (AHA) Hands-Only CPR Demonstration
  – Wednesday September 28, 2016, 11 am – 2 pm
  – No reservation required; Bring your lunch to the Quad for a demonstration
Risk Lunch and Learns

- September – Special Events: Insurance Requirements and Best Practices
- October – Property Risk: Protecting Fine Arts
- November – Praesidium: Protecting Minors on Campus
2016 ARC Meeting Schedule

• October 12, 2016
• December 4, 2016