

**THE FLORIDA INTERNATIONAL UNIVERSITY**  
**BOARD OF TRUSTEES**  
**FINANCE AND AUDIT COMMITTEE**

TUESDAY, 24 APRIL 2007  
3:30 P.M.  
VIA CONFERENCE CALL

**MEMBERSHIP**

KIRK LANDON, *CHAIR*  
MIRIAM LÓPEZ, *VICE CHAIR*  
ALBERT DOTSON  
ARMANDO GUERRA  
BRUCE HAUPTLI

*T. GENE PRESCOTT, FOUNDATION BOARD OF DIRECTORS*

**AGENDA**

- |  |                       |
|--|-----------------------|
| <b>I. CALL TO ORDER</b>  | <b>KIRK LANDON</b>    |
| <b>II. APPROVAL OF MINUTES</b>                                 | <b>KIRK LANDON</b>    |
| <b>III. CHAIR'S REMARKS</b>                                    | <b>KIRK LANDON</b>    |
| <b>IV. FOLLOW-UP TO ITEMS FROM PREVIOUS MEETINGS</b>           | <b>KIRK LANDON</b>    |
| <b>V. ITEMS FOR COMMITTEE REVIEW</b>                           | <b>KIRK LANDON</b>    |
| <b>A. ACTION ITEMS</b>   |                       |
| 1. RE-ADOPTION OF UNIVERSITY TRAFFIC AND PARKING REGULATIONS   | <b>VIVIAN SANCHEZ</b> |
| 2. ATHLETIC FEE  | <b>PETE GARCIA</b>    |
| <b>B. REPORTS (<i>FOR DISCUSSION - NO ACTION REQUIRED</i>)</b> |                       |
| 3. SPONSORED RESEARCH REPORT                                   | <b>GEORGE WALKER</b>  |
| 4. CFO UPDATE  | <b>VIVIAN SANCHEZ</b> |
| 5. OFFICE OF INTERNAL AUDIT REPORT                             | <b>TED GUBA</b>       |
| <b>B. REPORTS (<i>FOR INFORMATION ONLY</i>)</b>                |                       |
| 6. FOUNDATION REPORT   | <b>RUSSELL DENTON</b> |

**7. TREASURY REPORT**

**RUSSELL DENTON**

**a. UNIVERSITY INVESTMENT COMMITTEE**

**8. ENVIRONMENTAL – REGULATORY & COMPLIANCE**

**JENNIFER MWASELA**

**9. UNIVERSITY COMPLIANCE REPORT**

**LEYDA BENITEZ**

**VI. OTHER BUSINESS**

**KIRK LANDON**

**VII. ADJOURNMENT**

**KIRK LANDON**

**Conference Call information:**

- Please call (888) 343-7144, promptly at 3:30 pm on Tuesday, 24 April 2007.
- If you are disconnected, please redial the conference call number.
- If you have any problems with the above, contact the BOT office at 305.348.6495

**NEXT FINANCE AND AUDIT COMMITTEE MEETING  
IS SCHEDULED FOR  
19 JUNE 2007**

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: FINANCE AND AUDIT COMMITTEE MEETING MINUTES, 15 FEBRUARY 2007**

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**PROPOSED COMMITTEE ACTION:**

Adopt the following Resolution:

RESOLVED that the minutes of the meeting of the Florida International University Board of Trustees' Finance and Audit Committee held on 15 February 2007, attached to this Resolution as Exhibit "A," are hereby approved.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT "A": 15 FEBRUARY 2007  
FINANCE AND AUDIT COMMITTEE  
MEETING MINUTES.

**FACILITATOR/PRESENTER:**

- COMMITTEE CHAIR KIRK LANDON

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES**



**FINANCE AND AUDIT COMMITTEE  
MINUTES  
15 FEBRUARY 2007**

**I. Call to Order**

The Florida International University Board of Trustees' Finance and Audit Committee meeting was called to order by Chairman Kirk Landon on Thursday, 15 February 2007, at 8:31 a.m., in the University Park Graham Center Conference Room 243, Miami, Florida.

The following attendance was recorded:

***Present***

Kirk Landon, *Chair*  
Armando Guerra  
Bruce Hauptli

***Excused***

Miriam López, *Vice Chair*  
Albert Dotson

Trustee Alfonso Leon was also in attendance.

**II. Approval of Minutes**

Committee Chair Kirk Landon asked if there were any additions or corrections to the minutes of the 4 December 2006, Finance and Audit Committee meeting. Hearing none, the Committee adopted the following:

RESOLVED that the minutes of the meeting of the Finance and Audit Committee, held on 4 December 2006, and attached to this Resolution as Exhibit "A," are hereby approved.

Committee Chair Landon directed the Committee's attention to the action items before delivering his remarks.

FIU Board of Trustees  
Finance and Audit Committee Minutes  
15 February 2007  
Page 2

#### **IV. Items for Committee Review**

##### **A. Action Item**

##### **1. Changes to University Internal Audit Plan, 2006-2007**

University Internal Audit Director Ted Guba presented the changes to University Internal Audit Plan, 2006-2007.

After discussion, the Committee adopted the following Resolution:

WHEREAS the Operating Procedures of the Florida International University Board of Trustees' Finance and Audit Committee (the Committee) Charter provides that the Committee shall review and approve the Office of Internal Audit's annual audit plan;

WHEREAS the Committee approved the University Internal Audit Plan, 2006-2007 on September 28, 2006;

WHEREAS subsequent revisions to the plan have been proposed and are attached to this Resolution as Exhibit "B";

THEREFORE BE IT RESOLVED that the Florida International University Board of Trustees' Finance and Audit Committee adopts the revisions to the University Internal Audit Plan for the fiscal year ending June 30, 2007, as attached to this Resolution as Exhibit "B".

#### **III. Chair's Remarks**

Committee Chair Landon welcomed Trustees and staff to the meeting. Committee Chair Landon welcomed new Vice President and Chief Information Officer, Dr. Min Yao, noting that he joined the University in January. He also welcomed new University Treasurer, Mr. Russel Denton, noting that he also joined the University in January. Committee Chair Landon recognized Coordinator of Computer Applications in the Office of Sponsored Research Administration (OSRA) Mirtha Alberto and thanked her for her work in assisting OSRA in implementing best business practices for a growing research portfolio.

#### **V. Follow-up to Items from Previous Meetings**

Committee Chair Landon reported that since the last Committee meeting he had met with University staff to review pending issues in Athletics, Insurance and the Wolfsonian Museum Facilities. He reported that good progress was being made in each area.

##### **B. Reports**

##### **2. Sponsored Research Report**

Vice President for Research George Walker presented the Sponsored Research Report, reporting on grants administration, research integrity and customer satisfaction. He noted that significant progress was made on the collection of grant receivables and the closing of expired projects.

FIU Board of Trustees  
Finance and Audit Committee Minutes  
15 February 2007  
Page 3

### **3. CFO Update**

CFO and Senior Vice President for Administration Vivian Sanchez presented the CFO Update. She reported on the Budget Variance Analysis for the second quarter of FY06-07. She also reported on the University's (excluding component units) statement of net assets.

### **4. Office of Internal Audit Report**

University Internal Audit Director Ted Guba presented the Office of Internal Audit Report, providing updates on ongoing audits.

### **5. Foundation Report**

University Treasurer Alex Zyne presented the FIU Foundation, Inc. Preliminary Financial Statements Recap and Investment Summary through the period ended December 31, 2006, noting the investments' strong performance.

### **6. Treasury Report: University Investment Committee**

University Treasurer Alex Zyne presented the Treasury Report, noting that the University Investment Committee met in November 2006 to review the quarterly performance for the operating fund as of September 30, 2006. He also reported on the Asset Allocation Target Policy by Pool and on the Investment Return Performance as of December 31, 2006.

Committee Chair Landon requested that the Environmental – Regulatory and Compliance reports provided in the agendas be accepted as written. There were no objections.

## **VII. Adjournment**

With no other business, Committee Chair Landon adjourned the meeting at 9:43 am.

### ***Trustee Requests***

*There were no Trustee Requests.*

*Exhibits attached: "A" and "B"*

*MEB/mb  
2.23.07*

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: RE-ADOPTION OF REVISED UNIVERSITY TRAFFIC AND PARKING  
REGULATIONS**

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**PROPOSED COMMITTEE ACTION:**

Recommend Board Adoption of the following Resolution:

WHEREAS, the Florida International University Board of Trustees (the BOT) is authorized to establish Traffic and Parking fees and regulations within the limits provided by law; and

WHEREAS, the proposed University Traffic and Parking Regulation FIU-1105 is revised primarily to reflect changes in the decal registration fees and is being presented for adoption;

THEREFORE, BE IT RESOLVED THAT, the BOT adopts the following University Regulation, which is attached hereto as Exhibit "B":

- FIU-1105 – University Traffic and Parking Regulations

BE IT FURTHER RESOLVED, that, as the Regulation includes information on fees, the University Administration will submit the University Traffic and Parking Regulations FIU-1105 to the Florida Board of Governors for approval, as is required by the Florida Board of Governors Regulation Development Procedure for State University Boards of Trustees.

**BACKGROUND INFORMATION:**

**A. LEGAL AUTHORITY**

1. Board of Governor's Resolution delegating and delineating powers of local boards of trustees adopted January 7, 2003, more specifically:
  - citing to Florida Statutes 1009.24; wherein subsection (19)(p) authorizes the Board to establish traffic and parking fines, charges for parking decals and transportation access fees.
  - citing to Florida Statutes section 1006.66 regarding the regulation of traffic at universities.

2. Board of Governor's Regulation Development Procedure for State University Boards of Trustees adopted July 21, 2005.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT "B": NOTICE OF REGULATION MAKING; PROPOSED REGULATION

**FACILITATOR/PRESENTER:**

- VIVIAN A. SANCHEZ

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
FLORIDA BOARD OF GOVERNORS**

**NOTICE OF REGULATION MAKING  
PROPOSED REGULATION**

**REGULATION NO.:** **FIU-1105**

**REGULATION TITLE:** University Traffic and Parking Rules

**SUMMARY:** This Regulation is a revised version to reflect changes in eligibility for the different decals, increases in the amounts charged for original decals, temporary permits and vendors and contractors fees, and availability of paying fines on the website.

**TEXT OF REGULATION:** The full text of the Proposed Regulation is provided below.

**AUTHORITY:** Resolution of the Florida Board of Governors dated January 7, 2003, 1001.74(35), 1006.66 FS.

**NAME OF PERSON INITIATING PROPOSED REGULATION:** Vivian Sanchez, CFO and Sr.Vice President.

ANY PERSON SEEKING TO COMMENT ON THE PROPOSED REGULATION MUST SUBMIT COMMENTS IN WRITING TO THE CONTACT PERSON LISTED BELOW. ALL WRITTEN COMMENTS MUST BE RECEIVED BY THE CONTACT PERSON WITHIN 14 CALENDAR DAYS OF THE DATE OF PUBLICATION OF THIS NOTICE.

**CONTACT PERSON REGARDING THE PROPOSED REGULATION:** Lourdes Palomares, Administrative Assistant, Office of the General Counsel, Florida International University, 11200 SW 8<sup>th</sup> Street, PC 511, Miami, FL 33199. Email: [palomare@fiu.edu](mailto:palomare@fiu.edu). Fax: (305) 348-3272. Phone: 305-348-2103.

**DATE OF PUBLICATION:** March 19, 2007

**THE FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES  
BOARD OF GOVERNORS**

**FIU-1105      University Traffic and Parking Rules.**

(1) General. This rule is applicable to all persons who operate or park a motor vehicle on the campuses of Florida International University. All Miami-Dade County traffic and parking ordinances which are not in conflict or inconsistent with University

regulations and all provisions of Chapter 316, Florida Statutes, shall extend and be applicable to the University's campuses. The Department of Parking and Transportation is authorized and empowered to enforce all University parking and traffic regulations. The University Public Safety Department is authorized and empowered to enforce University regulations, all county ordinances and state laws. Copies of the University parking and traffic regulations are available from the Department of Parking and Transportation, the Department of Public Safety, the Visitor Information Center and through the Florida International University web site URL <http://parking.fiu.edu>. The University assumes no liability for vehicles parked or operated on University property. The issuance of a decal or permit does not guarantee a place to park.

(2) Registration of Motor Vehicles. Vehicles used by members of the faculty, staff, students, (full or part-time), concessionaire employees and others who regularly operate a vehicle on campus must be registered with the Department of Parking and Transportation during the first day the vehicle is on campus. Vehicle registrations expire on the expiration date indicated on decal or permit. All visitors must use parking meters unless a parking permit has been provided by a University representative. Any motor vehicle parked on University property must display a valid University parking decal or parking permit. Use of a motor vehicle on University property is a privilege, not a right and is made available only under this rule.

## Exhibit "B"

### (a) Decals.

1. Faculty/Staff: A Faculty/Staff parking decal must be obtained for each vehicle which is, or may be, parked on the University's campuses. Decals are issued according to the classifications contained in these regulations. A decal will be issued by the Department of Parking and Transportation, upon the following conditions:

- a. The owner or driver registers the vehicle with the Department of Parking and Transportation.
- b. The owner or driver, unless otherwise exempt, pays the appropriate fee and provides proof of the decal classification to which he or she is entitled.
- c. The owner or driver settles all outstanding parking and traffic fines and fees before a current decal or permit will be issued.
- d. When two or more persons who are employed by the University reside in the same household and register more than one vehicle, each is required to purchase a separate original decal; duplicate decals will not be issued for either person except upon proof of replacement of the originally registered vehicle. If two or more persons travel together in one vehicle, only one decal is required but a duplicate decal cannot be purchased except upon proof of replacement of the originally registered vehicle.

2. Students: Students will pay a Transportation Access Fee per semester. A student decal will be issued by the Department of Parking and Transportation to each student under the following conditions, and it is the students' responsibility to properly display the current decal in accordance with this rule.

- a. The student must be currently enrolled at the University.

## Exhibit "B"

b. The student must provide a valid vehicle registration for the vehicle on which the decal will be placed.

c. The student must settle all outstanding parking and traffic fines and fees.

3. Decal Classifications: The issuance of decals is restricted to the classifications specified in these rules. The following decal classifications are in effect:

a. Faculty/Staff -- An "F/S" decal is available only to persons currently employed as regular or adjunct faculty; Administrative and Professional staff; University Support Personnel System employees and as Other Personal Services employees. Individuals who are currently employed by vendors or contractors with the University, or who are otherwise required by contract to obtain a decal, are also entitled to obtain a decal in this classification. A semester decal is available to faculty/staff persons who wish to purchase a decal on a semester only basis.

b. Student -- An "S" decal will be issued to those persons who are currently enrolled as students. For purposes of this rule, a person shall be considered a student regardless of the number of hours or courses for which he or she is enrolled at the University. Students residing in the University's housing complexes are required to display a current semester housing sticker in addition to the current student decal or hang-tag. ~~Students employed at the University at least thirty five (35) hours a week may elect to purchase a faculty/staff decal.~~

c. Alumni -- An "ALUM" decal is available to FIU graduates who are not currently enrolled at the University and entitles the holder to park in spaces designated for student parking.

## Exhibit "B"

d. Administrative -- An "A" decal is available ~~only to those employees~~ persons who desire a higher level of parking service or have special parking needs based upon work requirements.

e. Executive -- An "E" decal is available ~~only to those employees who are given written authorization by the President~~ persons who desire the highest level of parking service or convenience.

f. Duplicate/Replacement Decal -- A Duplicate/Replacement decal is available to ~~faculty/staff~~ persons who have purchased an original decal for that semester or ~~the current~~ academic year. This category is for additionally owned vehicles used alternately and for situations where the original decal must be replaced due to an accident, the re-painting of the vehicle, stolen vehicles, etc. The address on the vehicle registration for the second vehicle must be the same as that on the registration of the vehicle listed on the original decal application. A vehicle with a duplicate decal is not permitted on campus at the same time as the vehicle with the original decal.

g. Duplicate Hang-tag -- A Duplicate hang-tag is available to students who have been issued an original decal for the current year. This hang-tag must be displayed on the vehicle that the hang-tag is registered for. This category is for additionally owned vehicles used alternately and for situations where the original decal must be replaced due to an accident, the re-painting of the vehicle, stolen vehicles, etc. The address on the vehicle registration for the second vehicle must be the same as that on the registration of the vehicle listed on the original decal application. A vehicle with a duplicate hang-tag is not permitted on campus at the same time as the vehicle with the original decal.

## Exhibit "B"

h. Validity of Duplicate Hang-Tags -- Duplicate hang-tags are valid for one academic school year, unless the student purchases a two-year duplicate hang-tag. The fee for the two-year duplicate hang-tag is \$25.00 **exclusive of sales tax**.

### 4. Decal Registration Fees:

a. Decals must be purchased and affixed each year. Annual executive, administrative, faculty/staff, and corresponding duplicate decals expire October 31st of each year. Faculty/Staff semester decals expire at the end of each semester for which they are issued. Alumni decals and duplicate hang-tags expire August 31st of each year. The following are the annual registration fees, exclusive of sales tax, for each decal classification:

	Original	Duplicate /Replacement
Executive	<del>\$738.00</del> <u>812.00</u>	\$30.00
Administrative	<del>\$334.00</del> <u>367.00</u>	\$20.00
Faculty/Staff		
(Annual base pay over \$45,000)	<del>\$191.00</del> <u>210.00</u>	\$15.00
Faculty/Staff		
(Annual base pay over \$35,000)	<del>\$169.00</del> <u>186.00</u>	\$15.00
Faculty/Staff		
(Annual base pay over \$25,000)	<del>\$113.00</del> <u>124.00</u>	\$15.00
Faculty/Staff		
(Annual base pay \$25,000 and under)	<del>\$100.00</del> <u>110.00</u>	\$15.00
Alumni	<del>\$175.00</del> <u>193.00</u>	\$15.00



## Exhibit "B"

Student	Fall -	N/A	\$15.00
	Spring -	N/A	\$15.00
	Summer A, B, or C -	N/A	\$15.00

(The fee for a student duplicate hang-tag listed above is for a hang-tag that is valid for only one academic school year. The fee for a two-year student hang- tag is \$25.00 **exclusive of sales tax.**)

b. The following are the semester registration fees, **exclusive of sales tax**, for each decal classification:

Executive	N/A	N/A
Administrative	N/A	N/A
Faculty/Staff		
(Annual base pay over \$45,000)	<del>\$101.00</del> <u>111.00</u>	\$15.00
Faculty/Staff		
(Annual base pay over \$35,000)	\$ <del>89.00</del> <u>98.00</u>	\$15.00
Faculty/Staff		
(Annual base pay over \$25,000)	\$ <del>70.00</del> <u>77.00</u>	\$15.00
Faculty/Staff		
(Annual base pay \$25,000 and under)	\$ <del>61.00</del> <u>67.00</u>	\$15.00
Alumni	N/A	N/A
Student	Fall -	\$ <del>61.00</del> <u>67.00</u> N/A
	Spring -	\$ <del>61.00</del> <u>67.00</u> N/A

Summer A, B, or C -                      \$ ~~55.00~~ 61.00                      N/A

c. Duplicate/Replacement Decals. If a decal or hang-tag has been lost or stolen, the incident shall be reported to the Department of Parking and Transportation, and a replacement decal or hang tag shall be purchased. A Parking and Transportation Lost or Stolen Decal Affidavit, Form PT #11, effective 5/97, which is incorporated by reference into this rule, must be filled out.

d. Change in Status. Any individual requesting a change in decal classification ~~due to a change in status~~ shall pay the difference between the fee appropriate to the classification currently in effect and that being requested. The old decal or identifiable parts, including numbers, must be returned to the Department of Parking and Transportation for auditing purposes.

e. Non-Refundable Fees. All fees paid for decal registration ~~by faculty/staff persons~~ shall be non-refundable except for instances where a person has mistakenly made a double payment and the request for refund is made within the same academic year in which the payment was made. The Transportation Access Fee paid by the students shall be refunded in the same manner as other student fees are refunded.

(b) Permits and Permit Fees.

1. Temporary permits are issued only by the Department of Parking and Transportation to those persons who require temporary parking authorization and who are not otherwise required by these rules or contract to obtain a decal. Permits must be applied for and are issued for durations that are commensurate with their purposes. Permits may or may not include the payment of parking fees as provided below.

2. The circumstances under which a permit rather than a decal shall be issued include but are not limited to use of a temporary vehicle; parking on the University's campuses for occasional business-related purposes; parking on the University's campuses for attendance at conferences and meetings; and visitors who are not otherwise required to obtain a decal. Any person who has a current decal and needs to use temporary transportation must obtain a temporary parking permit. Temporary parking permits are issued, free of charge, for a maximum of thirty (30) consecutive days.

3. Temporary 30, 60, and 90-day permits are available to persons not otherwise required by these rules or contract to obtain a parking decal. The following are the permit fees, **exclusive of sales tax**:

30-day permit ~~\$20.00~~ 22.00

60-day permit ~~\$36.00~~ 40.00

90-day permit ~~\$54.00~~ 60.00

4. Specific visitor, vendor and contractor, and volunteer permits will be issued by the Department of Parking and Transportation upon payment of a fee as follows:

a. Visitor fees. Metered parking is available throughout the University at a cost of 25 cents per 15 minutes except in PC Loading which are 50 cents per 15 minutes. Visitors can also park at the multi-space meters for \$1.00 per hour with a maximum of \$ 6.00 per day. University departments hosting an event can purchase garage visitor permits in advance.

b. Vendors and Contractors fees. All vendors and contractors conducting business on campus are required to purchase a contractor permit. The following are the

permit fees, **exclusive of sales taxes:**

30-day permit ~~\$20.00~~ 22.00

60-day permit ~~\$36.00~~ 40.00

90-day permit ~~\$54.00~~ 60.00

c. Volunteers' fees. Individuals outside the University who volunteer their time at either campus can purchase a volunteer permit for the following fees **exclusive of sales tax:**

30-day permit \$ 5.00

60-day permit \$10.00

90-day permit \$15.00

(c) Vehicle Registration Exemptions. The following persons shall not be required to register their vehicles with the Department of Parking & Transportation:

1. Representatives of news media on official business.

2. Members of the Florida International University Board of Trustees who are on campus to attend meetings and functions of the Board of Trustees. Trustees shall be issued identification which shall be prominently displayed in their vehicles.

3. Members of the FIU Foundation Board of Directors who are on campus to attend meetings and functions of the Foundation. Directors shall be issued identification which shall be prominently displayed in their vehicles.

(3) Decal, Traffic and Parking Regulations, Golf Cart and Garage Parking.

(a) Decal Regulations.

1. Display of Decal. Each driver who regularly parks a vehicle on campus shall display a valid decal, hang-tag, or permit. It is the responsibility of the driver to properly

display a hang-tag, decal or permit so it is easily visible and readable. Failure to display it correctly may result in a violation for not having a valid decal, hang-tag or permit.

2. Decals shall be permanently affixed to the outside of the vehicle on the left side either on the rear bumper, or the outside of the window. Decals must be permanently affixed and not altered. For unusually constructed vehicles, decals shall also be permanently affixed in the manner directed by the Department of Parking and Transportation. Housing stickers shall be permanently affixed adjacent to the current student decal or on the bottom square of the hang-tag.

3. The entire decal, hang-tag, or permit must be displayed unaltered.

4. It is a violation of these rules to transfer a decal, hang-tag or permit from one vehicle to another; alter a decal, hang-tag or permit, falsify documents to obtain a decal, hang-tag or permit or otherwise obtain or display a decal, hang-tag or permit in violation of the University rules and regulations. Any such act shall constitute decal fraud and will cause the decal, hang-tag or permit to be revoked.

(b) Traffic Regulations:

1. Speed Limit. The speed limit on University property is 25 miles per hour on main roads unless otherwise posted. The speed limit inside the garage is 5 mph. Speed limit inside surface lots is as posted.

2. Right-of-Way. Pedestrians and wildlife have the right-of-way over motor vehicles, including golf-carts. Pedestrians must use crosswalks when crossing a roadway.

3. Barriers. Barriers may be placed by the University at any point deemed necessary for specific temporary use. Except as required for the passage of emergency vehicles, removal of any such barrier without permission is prohibited.

4. Enforcement Directives. A directive given by a police officer or parking patroller or designee supersedes the regulations posted by sign or signal.

(c) Golf-Carts:

1. Golf-carts are restricted by the Florida Department of Highway Safety and Motor Vehicles and Florida International University for use on facility premises only. Golf-carts are used primarily for the Transportation of persons or cargo, are designed and regulated to be operated at speeds of less than 25 miles per hour, and are generally recognizable as a passenger or utility type cart, vehicle, club car or conveyance.

2. Any person who operates a golf-cart on University premises is deemed, by so doing, to have the knowledge, training and skill to safely operate this vehicle and shall be fully accountable for their actions and the consequences thereof.

3. Golf-cart Enforcement. Golf-carts shall be operated in accordance with the following specific rules:

a. Golf-carts shall not be parked within 6-8 feet of the entrance or exit of any building, except at loading docks or approved designated golf-cart parking spaces.

b. Operators shall stop golf-carts at all blind intersections and sound their horns before proceeding.

c. Golf-carts shall not be parked or operated in any manner likely to obstruct or interfere with the flow of pedestrian or vehicular traffic in heavily traveled areas.

d. Operators shall not stop for any extended period of time in the middle of roads and walkways. Golf-carts shall not be parked on pedestrian crosswalks.

e. Safety precautions shall be taken while driving golf-carts through parking lots.

f. Golf-carts shall not be driven through buildings except: 1) under circumstances of police or medical emergency, 2) in order to service that specific building wherein equipment and supplies, but not people, are being transported to the work site, or 3) in order to make a delivery of materials which cannot be otherwise transported to a specific location in a building.

g. Where circumstances warrant operation of a golf-cart in or through any University building, as described in "f." above, operators shall take the most unobtrusive route and shall follow all other operating requirements.

(d) Parking Regulations for Surface and Garage Parking.

1. Posted signs, bumper blocks, and other markings designate the various parking areas on campus. Parking areas may be restricted by classification, time or purpose. Parking areas restricted by classification, time or purpose shall be considered no parking zones to those individuals who do not fall within the restriction of the classification. Individuals parking in areas so restricted require a decal, hang tag, or permit. The following parking restrictions are found in areas on the University's campuses:

- |                               |                         |
|-------------------------------|-------------------------|
| a. Executive                  | h. State Vehicles       |
| b. Administrative             | i. Time Limit Parking   |
| c. Faculty/Staff              | j. Housing Parking      |
| d. Student                    | k. Loading Zone         |
| e. Meters                     | l. Garage Visitors      |
| f. Disabled                   | m. Head-In Parking Only |
| g. Motorcycle/Motorbike/Moped | n. Golf-Cart            |

## Exhibit "B"

2. Metered parking is for visitors and is enforced daily, from 7:00 a.m. to 10:00 p.m. including weekends and holidays. If a meter is malfunctioning, parking in that space is prohibited. A current decal, hang-tag or permit does not entitle the driver to park in a metered parking space without paying the appropriate fee.

3. Use of parking areas designated as Faculty/Staff shall be enforced between the hours of 6:00 a.m. to 7:00 p.m., Monday through Friday, unless otherwise indicated by signage. Parking in all other areas, including Executive and Administrative, shall be observed and enforced at all times.

4. Changes in designated parking areas shall become effective at such time as signage or other identifying markings are posted.

5. No motor vehicles, other than police, emergency, or golf-carts may be operated or parked at any time on the walkways, grass, service areas, driveways or other prohibited zones, except where specifically permitted by signage. No motor vehicle, motorcycle or other type of vehicle, including a bicycle, shall be parked in such a way as to create a hazard or obstruction to traffic or access. Temporary parking areas may be designated in grass areas by the placement of delineating signs, bumper blocks or other identifying marks. Parking adjacent to any University building shall be prohibited except as identified by authorized signs.

6. No person, other than a current housing resident whose vehicle is left in a housing lot, shall leave a vehicle overnight on University property without notifying the Public Safety Department. Vehicles that are inoperable shall be reported immediately to the Public Safety Department. Vehicles left for more than three (3) consecutive days and nights, without prior approval, or which are apparently abandoned shall be subject to



## Exhibit "B"

towing, impoundment, and disposal at the owner's expense. The University does not assume any responsibility for motor vehicles or their contents while they are parked on campus. Vehicles registered to current housing residents may be left in housing lots during session breaks but in no event for more than three weeks, except with permission from University housing.

7. Major repairs to vehicles shall not be performed on either campus.

8. Double-parking is not allowed at any time.

9. The fact that a person may park or observe others parked in violation of the regulations without receiving a citation does not mean that the regulation is no longer in effect. Observing others illegally parked is not a valid excuse.

10. Parking on lawns, landscaped areas, sidewalks, or other areas not specifically designated by signs or curb markings as parking areas is a violation. The absence of a "No Parking" sign does not mean parking is permissible in an area.

11. Residents of housing shall abide by the parking regulations contained in the housing agreement in addition to the requirements of this rule.

12. Parking a vehicle on campus following failure to pay or appeal any citation for a university traffic infraction within the time provided, or parking on campus with a revoked decal shall be considered illegal parking and is subject to towing.

13. Parking areas designated as disabled are enforced at all times and a current state issued disabled placard/hang-tag must be visible and properly displayed.

### (e) Garage Parking:

1. A current FIU parking decal is required to park in the garages at no additional cost.

## Exhibit "B"

2. Current FIU decal holders cannot park in a visitor space without paying the additional fee.

3. Garage hours: Gold Garage

6:00 a.m. - 2:00 a.m. Mondays–Saturdays

Closed Sundays and holidays except for Special  
Events

Blue, Red and Panther Garages

6:00 a.m. - 2:00 a.m. Mondays – Fridays

Closed weekends and holidays except for Special  
Events

4. No overnight parking. Vehicles must be removed prior to posted closing hours. Any vehicle left in the garage will be ticketed and is subject to towing at vehicle owner's expense.

5. Head-in parking only.

6. Garage speed limit is 5 mph. Garage speed is radar-enforced.

(4) Enforcement.

(a) Violations. Failure to abide by any of the provisions of these rules shall be considered a university parking infraction. The University may enforce university parking infractions through use of warnings, citations and fines, vehicle immobilization, towing and any other means authorized by statute.

(b) Citations. The Public Safety Department and the Department of Parking and Transportation are authorized to issue written citations to persons who violate university

## Exhibit "B"

parking and transportation regulations. The Public Safety Department is also empowered to issue citations for violation of Chapter 316, Florida Statutes, and county ordinances. Only one citation will be issued for each violation.

1. Schedule of Fines. The schedule below establishes fines for the various categories of violations which are considered to be university parking infractions:

No Decal	\$ 20.00
Parking on the Grass	\$ 20.00
Hazardous Parking	\$ 25.00
Overtime Parking (meter)	\$ 20.00
All Moving Violations	\$ 25.00
Restricted/Improper Parking	\$ 25.00
Overtime Parking (garage)	\$ 25.00
Unlawfully Parked in Disabled Space	\$250.00
Decal Fraud	\$100.00
Head-In Parking Only	\$ 15.00
Radar/Speeding Violation	\$ 25.00
Restricted "E" or "A"	\$ 30.00
Golf-Cart	\$ 25.00
Decal/Permit-Improper Display	\$ 20.00

a. Impoundment and vehicle immobilization charges vary according to type of vehicle, type of tow needed and cost of contract with current towing company.

b. Any vehicle which remains in violation of the same regulation for twenty-four (24) hours is subject to additional citations. Violations of Chapter 316, Florida Statutes,

and county ordinances are returnable to the Miami-Dade County Court and may carry higher fines or other penalties.

2. Late Charges. If a university citation is not paid or appealed in the time provided by this rule, a \$5.00 late charge shall be assessed in addition to the fine established for the violation. The assessment of the late charge shall not preclude the University from enforcing these rules through alternative means such as preventing registration, withholding transcripts, receiving your diploma and/or towing, or immobilizing the vehicle.

3. Remedies for Failure to Pay Fines. In addition to the assessment of a late charge fee, and other penalties as provided in this rule, the following remedies are available to the University:

a. Revoke parking and driving privileges on University property. A person whose parking privileges are revoked may not be issued a new parking decal until all prior outstanding citations are satisfied.

b. Prevent the person from registering as a student.

c. Withhold issuance of transcripts or degrees.

d. Use vehicle immobilizer.

e. Tow and impound the person's car.

f. Take other action as necessary to collect the outstanding fines as delinquent accounts owed to the University.

4. Responsibility for Citations. The person who registers a motor vehicle with the Department of Parking and Transportation assumes responsibility for all citations issued to that vehicle. If the motor vehicle has not been registered with the Department

of Parking and Transportation then the person(s) in whose name the motor vehicle is registered with the State Department of Highway Safety and Motor Vehicles shall be held responsible for citations issued to the vehicle. The presumption of responsibility may be overcome by furnishing the Department of Parking and Transportation with a sworn statement identifying the person who had custody of the vehicle at the time the citation was issued. Employees of FIU operating state university vehicles and golf-carts shall be responsible for citations issued to such vehicle(s).

(c) Procedures for Payment of Fines and Appeals. A person to whom a citation has been issued shall have ten (10) business days from the date of issuance to respond to the citation either by paying the fine or by filing an appeal. If payment or request for an appeal is not received within the allotted time, a late fee shall be assessed, and the University may take any authorized action to enforce the penalty.

1. Payment of Fines. Fines may be paid by credit card through the Florida International University web site URL <http://parking.fiu.edu> or in person at the Department of Parking and Transportation by check, money order, cash payment, the FIU Panther debit card, or credit card. Alternatively, payments may be mailed to the Department of Parking and Transportation located on University Park Campus; however, late fees shall be applied in the event payment is not received by the Department of Parking and Transportation within the time provided by these rules. ~~Fines may also be paid at the Cashier's Office during its regular hours of operation.~~ All payments sent by mail should include the payee's ~~social security number~~ Panther ID number and citation number. ~~It is the responsibility of a person who pays cash at the Cashier's Office to~~

~~notify the Department of Parking and Transportation that the citation has been paid in order to assure that his or her account is properly credited.~~

2. Appeals Process and Procedures. Appeals of citations for university parking infractions and towing/vehicle immobilization procedures and charges may be instituted by filing a written appeal through the Florida International University web site URL <http://parking.fiu.edu> or ~~with~~ at the Department of Parking and Transportation on Form PT #4, 'Parking Citation Appeal,' (effective date 6/96) according to the instructions provided on the form. This form is hereby incorporated by reference into this rule. County citations are not open to appeal through the University appeal process. County citations must be processed through the Miami-Dade County Court system. Appeal form PT #4 may be obtained at the Department of Parking and Transportation, the web site and at other locations throughout the University, such as the Visitor Information Center, and Public Safety Department at both campuses. Inability to locate parking spaces or the failure of others to observe these rules shall not be considered to be valid defenses. The appeal shall include a current and accurate mailing address or email address where notices can be sent and received. Complete appeal forms will be forwarded by the Department of Parking and Transportation to an Appeal Hearing Officer for review and decision. Appellants do not have the option to appear in person.

(a) Appeal Hearing Officers. There shall be appointed on each campus a University Appeal Hearing Officer or Officers who shall be responsible to resolve appeals of citations for university parking infractions and/or towed or immobilized vehicles. The Appeal Hearing Officer(s) of each campus shall be appointed, by the appropriate vice president, to serve a two-year term, and may be appointed for additional

terms. It is intended that Appeal Hearing Officers will be members of the University Community.

(b) Appeal Hearing Officer Procedures. Appeal Hearing Officers will receive and evaluate written appeals. They will be guided by the Parking Rules and shall consider any relevant circumstances, as articulated in the written appeal, in making their decision(s). Appeal Hearing Officers may request further information or interview the appellant, witnesses or the citing officer. Appeals will be reviewed and appellants notified by mail.

(c) Appeal Hearing Officer Decisions. Following consideration of the grounds for an appeal, the Appeal Hearing Officer shall decide on the appeal. The Appeal Hearing Officer's decision shall contain findings of fact and be reduced to writing and a copy shall be furnished to the appellant by the Department of Parking and Transportation. The decision of the Appeal Hearing Officer is final without further right of review. Upon denial of an appeal, the fine assessed shall be paid within ten (10) business days of the date of notification to the appellant or a late fee will be assessed.

(d) Immobilization, Towing and Impoundment-Appeals. The University may immobilize, tow and/or impound any vehicle which is found to be parked illegally or in violation of these rules. Parking after failing to pay a parking citation(s) within the allotted time constitutes illegal parking. ~~Cash payment for tows shall be accepted at the Department of Parking and Transportation.~~ A person whose vehicle has been immobilized, towed and/or impounded may appeal the tow or immobilization by filing a written appeal within ten (10) business days from the date of the impoundment. An Appeal Hearing Officer shall review the appeal within seventy-two (72) hours of receipt

of the written appeal. The appellant shall receive notification of the appeal decision through the mail. If the immobilization or tow appeal is granted, the University shall refund the amount charged for the immobilization or tow. In lieu of the appeal, or pending such appeal, or if the appeal is denied, the owner of the vehicle or his/her authorized agent may obtain release of the vehicle by paying the citation(s), the immobilization and/or towing charges and any applicable delinquent fines.

(e) University Departmental Events. All departments hosting an event, which will require additional visitor parking for guests, will require visitor permits for each vehicle per day. Pre-purchased parking spaces are available by contacting the Department of Parking and Transportation no later than three (3) business days, but preferably five (5) business days before the date of the event. Departments are encouraged to post directional signs for each event.

Specific Authority 1001.74(35), 1006.66 FS. Law Implemented 1001.74(35), 1006.66 FS. History--Formerly 6P-5.06, 10-1-75, Repromulgated 12-23-76, Amended 1-15-80, 8-20-81, 4-24-83, 8-12-85, Formerly 6C8-5.06, Amended 7-6-86, 8-31-89, 7-17-90, 7-21-91, 8-25-93, 10-26-93, 8-17-94, 8-20-95, 8-11-96, 6-12-97, 7-08-99, 5-16-00, 5-24-01, 7-25-02, 12-2-02, 8-11-03, 6-1-04, 6-1-05 Formerly 6C8-5.006, Amended 6-2 06, \_\_\_\_\_.



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

24 APRIL 2007

**SUBJECT: ATHLETIC FEE INCREASE**

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**PROPOSED COMMITTEE ACTION:**

Recommend Board Adoption of the following Resolution:

WHEREAS, the Florida International University Board of Trustees (the BOT) has the power to establish an Athletic Fee for the University pursuant to Board of Governor's Resolution adopted January 7, 2003, which references **Section 1009.24(8) and (11)**, Florida Statutes;

WHEREAS, the Athletic Fee Committee has approved, in the form attached as Exhibit "C" hereto, an increase in the Athletic Fee in the amount of \$1.39 per credit hour effective Fall 2007;

WHEREAS, the President has approved the fee increase after consultation with the Student Government president;

THEREFORE BE IT RESOLVED that the BOT approve an Athletic Fee increase.

**BACKGROUND INFORMATION:**

**A. LEGAL AUTHORITY**

1. Board of Governor's Resolution delegating and delineating powers of local boards of trustees adopted January 7, 2003, more specifically:
  - citing to Florida Statute 1009.24, State University Student Fees; and
2. Board of Governors Regulation Development Procedure for State University Boards of Trustees adopted July 21, 2005.

**B. EXPLANATION FOR PROPOSED BOARD ACTION:**

The request is for board approval of an athletic fee increase. The proposed increase will raise the athletic fee from \$11.66 to \$13.05 per credit hour. The increase will be used to help fund stadium expenses and high priority needs in the Department of Intercollegiate Athletics. The revenues from the fee increase will be

used primarily in the areas of Marketing, Ticket Sales and Sponsorships associated with football and other sports. This increase will be reflected, along with any other changes, in a revised FIU-1101 Tuition Fees Schedule regulation which will be presented to the Board of Trustees for approval after the Legislature has acted with regard to the authority of the boards of trustees to increase tuition and other fees. The approved regulation will then be forwarded to the Board of Governors for its approval.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- EXHIBIT “C”:
  - FEE COMMITTEE RESULTS:  
LETTER TO PRESIDENT  
MAIDIQUE
  - FEE COMMITTEE MEETING  
MINUTES, WINTER 2007
  - CALCULATION OF FEE CAP AND  
ALLOWABLE 5% INCREASE

**FACILITATOR/PRESENTER:**

- PETE GARCIA

February 21, 2007

MEMORANDUM

TO: Mitch Maidique  
FROM: Chuck Tinder  
SUBJECT: University Fee Committee Recommendations

The University Fee Committee has completed its work for 2007 and is recommending an increase in the Athletics per-credit hour fee of \$1.39 per student credit hour. The vote of the eight member Committee was 7-1 in favor of the increase. The fee will increase from the current level of \$11.66 to \$13.05 per credit hour, and will become effective in the Fall term of 2007. No increase is proposed for 2007 in the Athletics headcount fee, Activity and Service or Health fees.

The fee increase is needed to help fund the football stadium renovation project and other high priority needs in the Department of Intercollegiate Athletics. Estimated proceeds from the fee increase for Fall 2007 and Spring 2008 will provide additional funding in the amount of \$1.1 million.

A large share of the revenues from the fee increase are needed to retire a portion of the bond debt (\$655,000) issued to secure the cash for the stadium renovation. The remainder of the \$1.1 million will be dedicated to three critical areas in Athletics: Marketing, ticket sales and sponsorships.

I have attached a listing of the 2007 Fee Committee membership, a three page summary of the meetings held including public hearings on each campus, the 2006 Florida Statutes dealing with fees, the calculation of the allowable fee increase according to statute including the projected amount of funding available from the increase, a ten year fee history for FIU, and a summary of local fees in the SUS for 2006. Please let me know if you have any questions regarding fees.

Attachments

cc: Dr. Rosa Jones  
Matilda Gramling  
Fee Committee Members

**University Fee Committee, 2006-07  
Summary of Meetings and Activities  
February 21, 2007**

The University Fee Committee was appointed by Vice President Rosa Jones in December of 2006. The four student voting members were Alfie Leon, SGA President UP and Camilo Silva, SGA President BBC, Nancy Cadavid, Comptroller UP and Zach Trautenberg, Comptroller BBC. The four Faculty/staff voting members were Bob Coatie, Greg Olsen, Art Herriott, and Lynda Raheem. Chairperson was Chuck Tinder, who would vote only in the case of a 4-4 tie. Other interested parties attending meetings included Pete Garcia, Julie Berg, Joe Velasco. Matilde Gramling and Danielle Miller.

Two meetings were held by the committee, plus two public hearings:

January 23, 2007 – Committee Meeting

Rather than hold a separate meeting just for the dissemination of information, the Chair sent to the Committee via email attachment all of the documents relevant to the fee process including the roster of Committee members for 2007, Florida Statue 1009.24 (2006) relating to increasing local fees (Athletics fee, A&S fee and Health fee), a 10 year history of State and local fees at FIU, a comparison of FIU local fees to the other State universities, and a worksheet showing the calculation of the fee cap and 5% limit which are prescribed in law. The sum of the local fees at FIU when put on a per credit hour basis (we have both credit hour fees and per student or headcount fees) is \$29.81. Included in that amount is a \$2.00 per credit hour increase passed by the Legislature in 2004 for moving from Div. IIA to Div. IA in football. This special \$2 increase is, by law, excluded from the fee cap calculation and therefore for comparison purposes the amount representing the FIU total local fees on a credit hour basis is \$27.81. The cap, which is 40% of the undergraduate matriculation fee is \$29.48 ( $\$73.71 \times 40\%$ ), which provides \$1.67 of leeway to reach the cap. The allowable increase, however, is only \$1.39 per credit hour or \$14.06 per head count student since we are limited to the lesser of 5% of the existing fees or the cap, whichever is lower.

The Athletic Director, Pete Garcia, presented his case for increasing the fee by the maximum allowed, or \$1.39 per credit hour. He was assisted by Associate A.D. Julie Berg and Joe Velasco. Of the approximate \$1.1 million that would come from the proposed fee increase, Mr. Garcia explained that \$655,000 would be dedicated to "paying the mortgage" on part of the stadium renovation project. He explained that football is critical to the ongoing success of the Athletics program at FIU, and the new stadium is critical to the success of the football program. The remaining \$445,000 of new fee revenue from the Fall and Spring terms of 2007-08 would be used for starting up a marketing program in Athletics, enhancing the effort to sell tickets, club seats and sky boxes at the new stadium, and support to go out and get sponsorships. The marketing and ticket initiatives,

**University Fee Committee, 2006-07  
Summary of Meetings and Activities  
February 21, 2007**

Page 2

while focusing on football and the new stadium initially, would help promote and sell the other men's and women's sports programs currently in Athletics.

The Chair explained that the process going forward would include two public hearings on the proposed fee increase, one at UP and another at BBC, and a final meeting where the vote would be recorded.

February 7, 2007, Public Hearings:

University Park Public Hearing

The first public hearing was held at University Park in GC 140. There were only 6-8 students present during the hearing, which commenced at 1:00 pm and ended around 1:30 pm. The turnout was disappointing, given that the hearing had been publicized in the Beacon, announced on the web and advertised via placards placed at strategic points in the Graham Center.

The chairperson opened the hearing, introduced the committee members present and introduced the request for an increase of \$1.39 per-student credit hour, to be effective in Fall of 2007. He first explained the process and explained how the proposed increase in revenues was to be used and then turned the podium over to Pete Garcia to explain his rationale for the increase and answer any questions that might arise.

Biscayne Bay Public Hearing

At 3:30 pm on the same day, a public hearing was held at Biscayne Bay in WUC 155. The turnout at BBC was better than the one at UP, with about 15-20 students in attendance. The hearing was conducted from 3:30 pm to 4:30 pm. The chairperson opened the hearing, introduced the committee members present and introduced the request for an increase of \$1.39 per-student credit hour, to be effective in Fall of 2007. The chairperson explained the process and explained how the proposed increase in revenues was to be used. He then turned the meeting over to Pete Garcia to present his rationale for the increase. The students asked a number of good questions.

February 13, 2007 – Committee Meeting

During a special meeting called for this purpose, the committee convened to vote on the proposed increase. Prior to the vote, the floor was opened for any remaining questions. It was asked when the marketing program would begin and Pete Garcia replied that it would begin as soon as funding is made available, there is little time to spare. Another questioner asked when Athletics might be back for another increase before the fee committee. Mr. Garcia indicated that it

**University Fee Committee, 2006-07**  
**Summary of Meetings and Activities**  
**February 21, 2007**

Page 3

is his desire that the stadium and the football program become successful, as football is the only sport that has the capability to bring in substantial outside revenues, which can be used in the department to help fund the other sports.

The Chairman called the question, and the vote was recorded with seven (7) in favor with one (1) opposed. The individual who voted to oppose the increase stated that the reason had to do with the fact that the stadium proposal, approved last Fall by the FIU Board of Trustees and later by the Florida Board of Governors, included the \$655,000 of revenue from the fee increase, months before the University Fee Committee had held the first meeting and that he had heard this complaint from a number of students.

The Chairperson thanked the committee for their hard work and indicated that they would receive copies of the committee activities as it is forwarded to the President for approval and recommendation to the Board of Trustees.

Exhibit "C"

FLORIDA INTERNATIONAL UNIVERSITY  
CALCULATION OF FEE CAP AND ALLOWABLE 5% INCREASE

**STEP 1: Put all local fees on a per credit hour basis for Fall and Spring:**

December 21, 2006

2006-07

PER STUDENT CR. HR.:	<u>Fees</u>	<u>SCH</u>	<u>Revenues</u>
<u>FALL 06</u>			
Athletics	\$11.66	392,944	\$4,581,727
Activity and Service Fee	\$10.52	392,944	\$4,133,771
<u>SPRING 07</u>			
Athletics	\$11.66	367,498	\$4,285,027
Activity and Service Fee	\$10.52	<u>367,498</u>	<u>\$3,866,079</u>
		760,442	\$16,866,604

**PER STUDENT HEADCOUNT**

HEADCOUNT

<u>FALL 06</u>			
Athletics	\$10.00	38,097	\$380,970
Health Fee	\$67.20	38,097	\$2,560,118
<u>SPRING 07</u>			
Athletics	\$10.00	37,067	\$370,670
Health Fee	\$67.20	<u>37,067</u>	<u>\$2,490,902</u>
		75,164	\$5,802,661

TOTAL REVENUES (Fall:Spring) \$22,669,264  
TOTAL STUDENT CREDIT HOURS (Fall:Spring) 760,442

TOTAL CREDIT HOUR EQUIVALENT FEE \$29.81  
*Adjust for \$2.00 Legislative Increase not part of Cap* -\$2.00  
ADJ. TOTAL CREDIT HOUR EQUIVALENT FEE \$27.81

**STEP 2: The CAP** 2006-07 Undergraduate Matriculation \$73.71 per student credit hour  
**40% of Adjusted(1) Undergraduate Matriculation** \$29.48 per student credit hour  
**Room under the 40% Cap** \$1.67

**STEP 3: The 5%** Allowable Increase per Credit Hour \$1.39 << 5% Maximum  
Allowable Increase per Headcount \$14.06

(1) Matriculation Cap is adjusted by the \$2 increase instituted in the '04 Legislative session since that adjustment for migrating to Div. IA was to be removed in calculating the cap

Exhibit "C"

**FLORIDA INTERNATIONAL UNIVERSITY**  
**REVENUE ESTIMATE USING ALLOWABLE INCREASE OF \$1.39/Cr Hr or \$14.06 Flat Fee**

December 21, 2006

		<b>ATHLETICS</b>			<b>A&amp;S</b>	<b>HEALTH</b>
		<b>Cr Hr Fee</b>	<b>Flat Fee</b>	<b>Total</b>	<b>Cr Hr Fee</b>	<b>Flat Fee</b>
FEE INCOME 06-07	Summer	\$2,079,456	\$270,790	\$2,350,246	\$1,876,147	\$1,462,266
	Fall/Spr	<u>\$8,866,754</u>	<u>\$751,640</u>	<u>\$9,618,394</u>	<u>\$7,999,850</u>	<u>\$5,051,021</u>
	Total	\$10,946,210	\$1,022,430	\$11,968,640	\$9,875,997	\$6,513,287
FEE INCOME 07-08	Summer	\$2,141,840	\$276,200	\$2,418,040	\$1,932,432	\$1,856,064
	Fall/Spr	<u>\$10,221,481</u>	<u>\$766,500</u>	<u>\$10,987,981</u>	<u>\$9,328,570</u>	<u>\$6,228,579</u>
	Total	\$12,363,321	\$1,042,700	\$13,406,021	\$11,261,002	\$8,084,643
PROJECTED INCR	Summer	\$62,384	\$5,410	\$67,794	\$56,284	\$393,798
	Fall/Spr	<u>\$1,354,727</u>	<u>\$14,860</u>	<u>\$1,369,587</u>	<u>\$1,328,720</u>	<u>\$1,177,558</u>
	Total	\$1,417,111	\$20,270	\$1,437,381	\$1,385,005	\$1,571,356
% INCREASE	Summer	3.0%	2.0%	2.9%	3.0%	26.9%
	Fall/Spr	15.3%	2.0%	14.2%	16.6%	23.3%
	Total	12.9%	2.0%	12.0%	14.0%	24.1%
<u>SOURCE OF INCREASE:</u>						
ENROLLMENT		\$328,386	\$20,270	\$348,656	\$296,280	\$129,073
INCREASE IN FEE:						
SUMMER (PRIOR YR FEE INCR)		\$0	\$0	\$0	\$0	\$364,584
FALL/SPRING		\$1,088,725	\$0	\$1,088,725	\$1,088,725	\$1,077,699



**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: OFFICE OF SPONSORED RESEARCH REPORT**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion Item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- SPONSORED RESEARCH REPORT

**FACILITATOR/PRESENTER:**

- GEORGE WALKER

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# **FLORIDA INTERNATIONAL UNIVERSITY BOARD OF TRUSTEES**

## **FINANCE AND AUDIT COMMITTEE**

### **OFFICE OF SPONSORED RESEARCH REPORT (OSRA)**

#### **APRIL 24, 2007**

#### **Pre-Award**

A summary of application and award activity by school/center is presented in tables 1 and 2. A comparison of application and award activity for the period of July 2005 through February 2006 to the activity for the period of July 2006 through February 2007 is also included in tables 1 and 2. Application dollars have increased by 20% in comparison to the dollar amount requested for the previous year. Award dollars have decreased by 6% in comparison to awards received the previous year. The decrease in award activity this year is partially due to the delayed receipt of awards for continuing grants. Research funding awarded by the Federal Government has increased to 76 percent of the total funds received. The US Agency for International Development (USAID) and the National Science Foundation (NSF) are the major contributors to the increased Federal research funding.

OSRA continues the roll out of InfoEd—the web-based software that provides FIU with the ability to submit grant applications electronically. The training of administrative staff in the use of the system began in April 2007 with sessions scheduled until the end of June 2007. The training sessions are being conducted at the colleges in an effort to provide increased administrative support in the submission of grant applications.

#### **Post Award**

Research expenditures for the period of July to February 2007 are summarized in table 4, and the facility and administrative (F & A) costs generated by these expenditures along with the return to the departments are given in table 5. Research expenditures continue to keep pace with the budgeted amounts for fiscal year 2007. An F & A cost proposal was submitted on March 30, 2007 to the Division of Cost Allocation (DCA). The proposal presented to DCA will be utilized to establish future F & A rates for the University

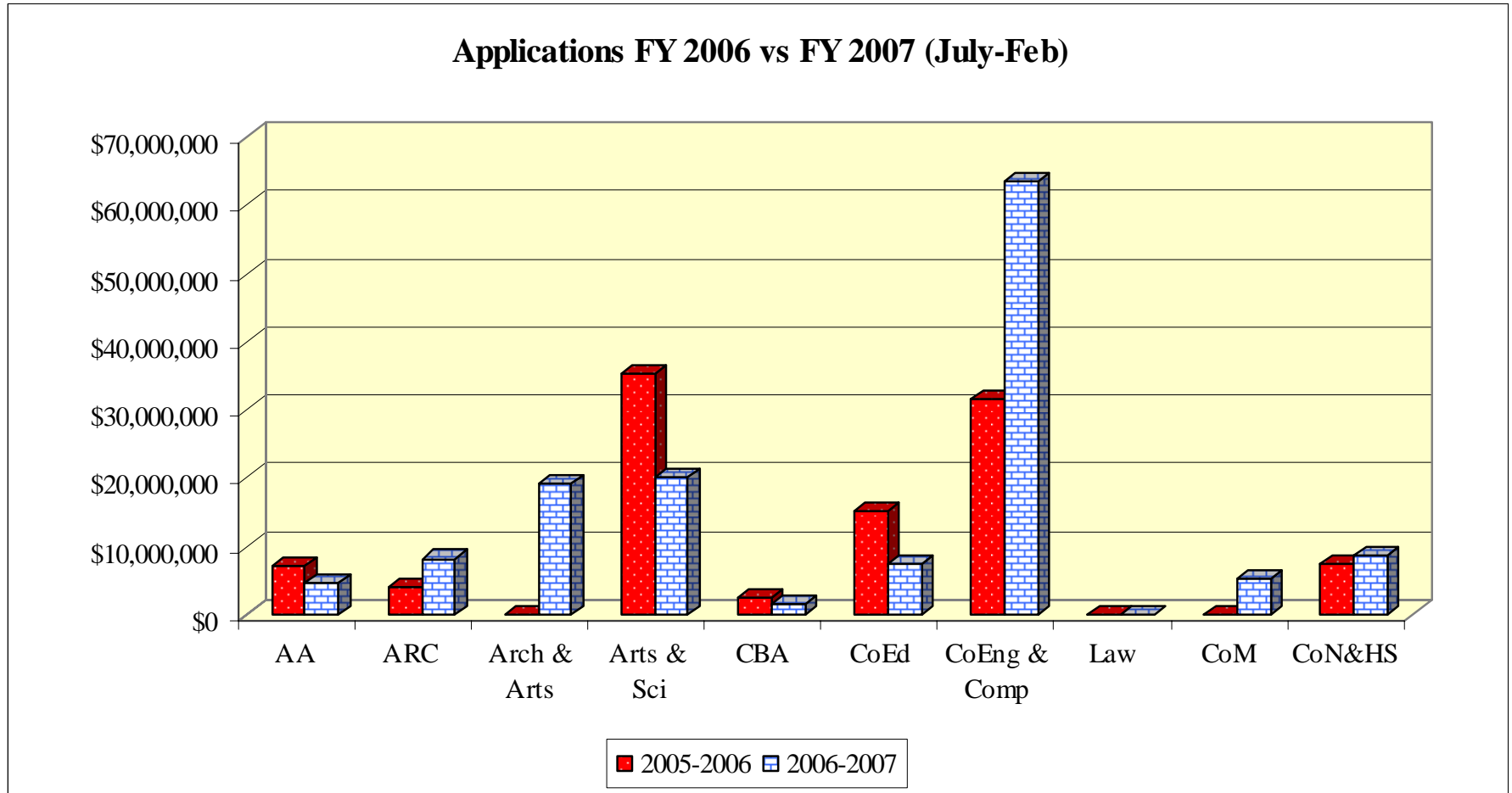
#### **Audit**

All recommendations from audit reports issued in 2006 were implemented.

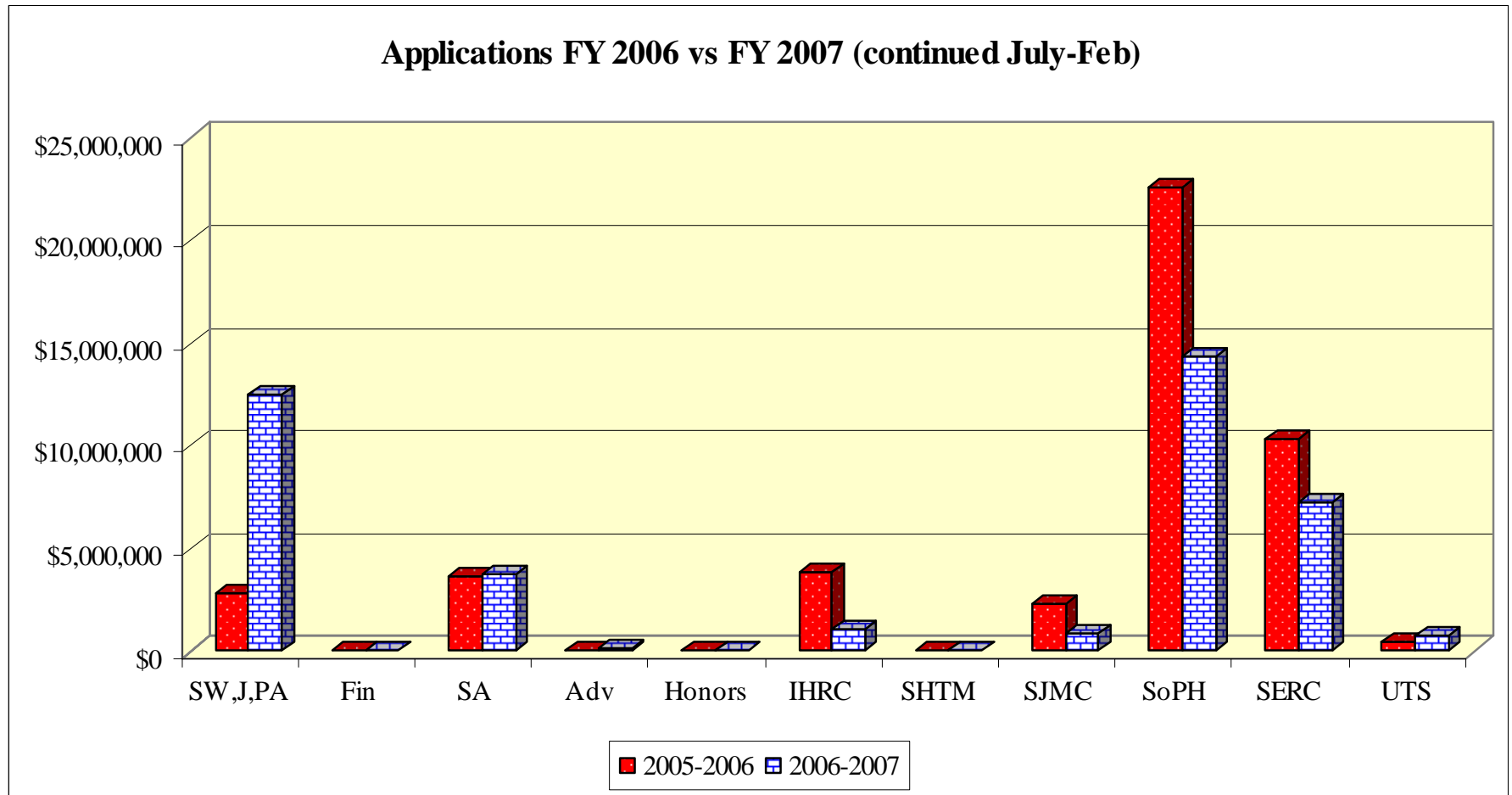
**Table 1—Applications Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**

School/College/ Center/Division	July 05 – Feb 06			July 06 –Feb 07			Percent Change
	Direct	Indirect	Total	Direct	Indirect	Total	
Academic Affairs	\$6,281,859	\$728,825	\$7,010,684	\$3,895,549	\$ 654,262	\$4,549,811	-35%
ARC	\$3,219,145	\$922,350	\$4,141,495	\$6,422,211	\$1,761,571	\$ 8,183,782	98%
College of Architecture & the Arts	\$49,569	\$0	\$49,569	\$19,255,361	\$0	\$19,255,361	38746%
College of Arts & Sciences	\$27,656,604	\$7,633,503	\$35,290,107	\$15,535,029	\$ 4,691,403	\$ 20,226,432	-43%
College of Business Administration	\$2,130,699	\$224,667	\$2,355,366	\$1,216,655	\$254,127	\$ 1,470,782	-38%
College of Education	\$13,707,159	\$1,358,793	\$15,065,952	\$ 6,797,752	\$ 612,352	\$ 7,410,104	-51%
College of Engineering & Computing	\$25,786,815	\$5,890,140	\$31,676,955	\$54,195,360	\$ 9,312,829	\$ 63,508,189	100%
College of Law	\$0	\$0	\$0	\$103,516	\$0	\$ 103,516	N/A
College of Medicine	\$0	\$0	\$0	\$ 3,886,452	\$ 1,379,746	\$5,266,198	N/A
College of Nursing & Health Sciences	\$6,686,548	\$764,805	\$7,451,353	\$ 6,901,175	\$ 1,627,570	\$ 8,528,745	14%
College of Social Work, Justice & Public Affairs	\$2,566,062	\$231,219	\$2,797,281	\$ 9,703,141	\$ 2,757,130	\$12,460,271	345%
Division of Finance & Administration	\$11,482	0	\$11,482	\$0	\$0	\$0	N/A
Division of Student Affairs	\$3,398,058	\$264,760	\$3,662,818	\$ 3,527,037	\$ 267,613	\$3,794,650	4%
Division of University Advancement	\$50,000	0	\$50,000	\$125,000	\$0	\$125,000	150%
Honors College	\$0	\$0	\$0	\$ 50,000	\$0	\$ 50,000	N/A
IHRC	\$3,718,969	\$127,809	\$3,846,778	\$951,427	\$145,237	\$1,096,664	-71%
School of Hospitality and Tourism Management	\$0	\$0	\$0	\$38,665	\$1,162	\$ 39,827	N/A
School of Journalism & Mass Communication	\$1,623,526	\$637,410	\$2,260,936	\$742,027	\$146,328	\$ 888,355	-61%
Stempel School of Public Health	\$17,949,035	\$4,645,812	\$22,594,847	\$10,629,400	\$ 3,707,372	\$14,336,772	-37%
SERC	\$7,975,394	\$2,368,159	\$10,343,553	\$5,828,769	\$ 1,407,359	\$ 7,236,128	-30%
University Technology Services	\$392,684	\$58,056	\$450,740	\$761,781	\$25,725	\$ 787,506	75%
<b>TOTAL</b>	<b>123,203,608</b>	<b>25,856,308</b>	<b>149,059,916</b>	<b>150,566,307</b>	<b>28,751,786</b>	<b>179,318,093</b>	<b>20%</b>

**Figure 1—Applications Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**



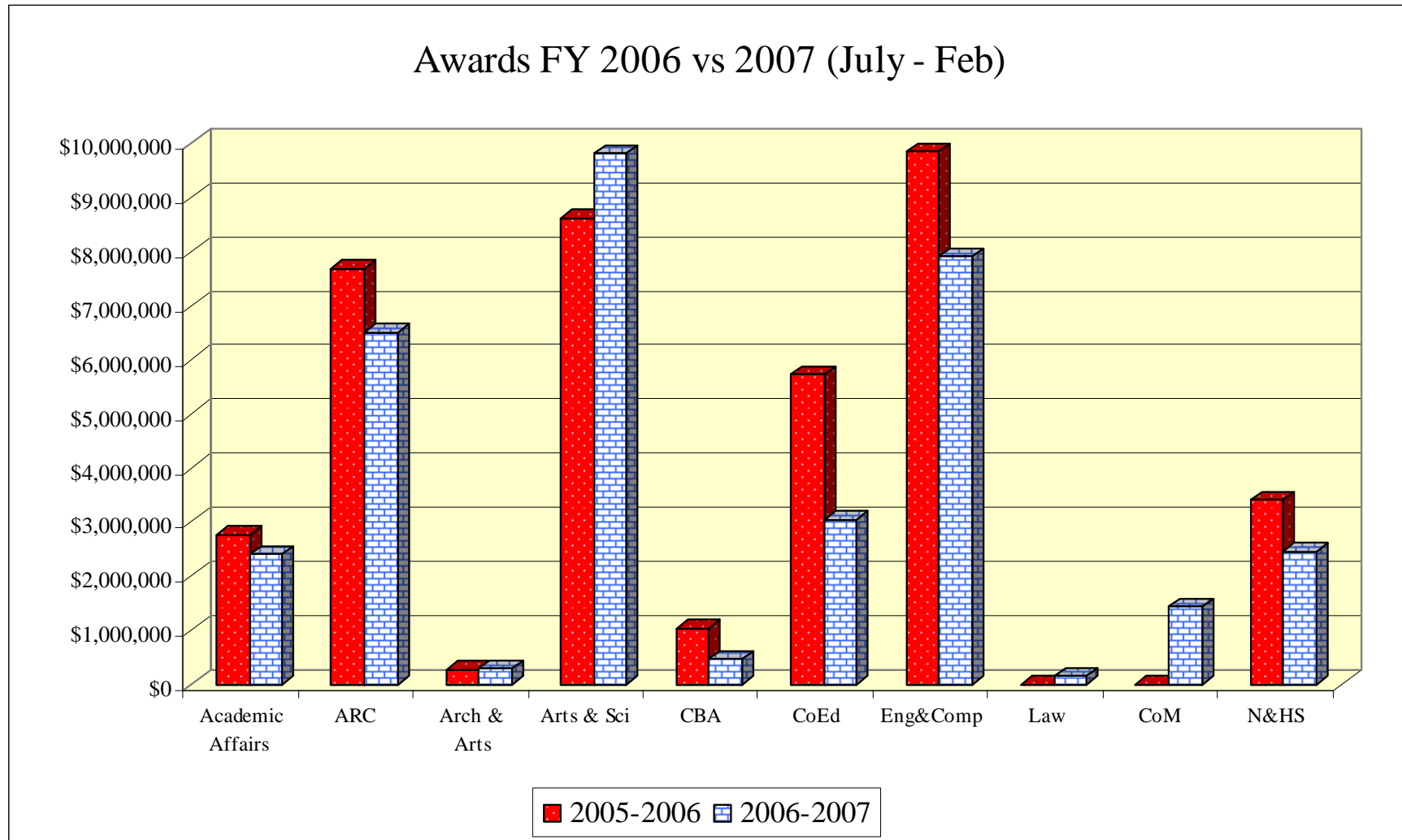
**Figure 1—Applications Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**



**Table 2 — Awards Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**

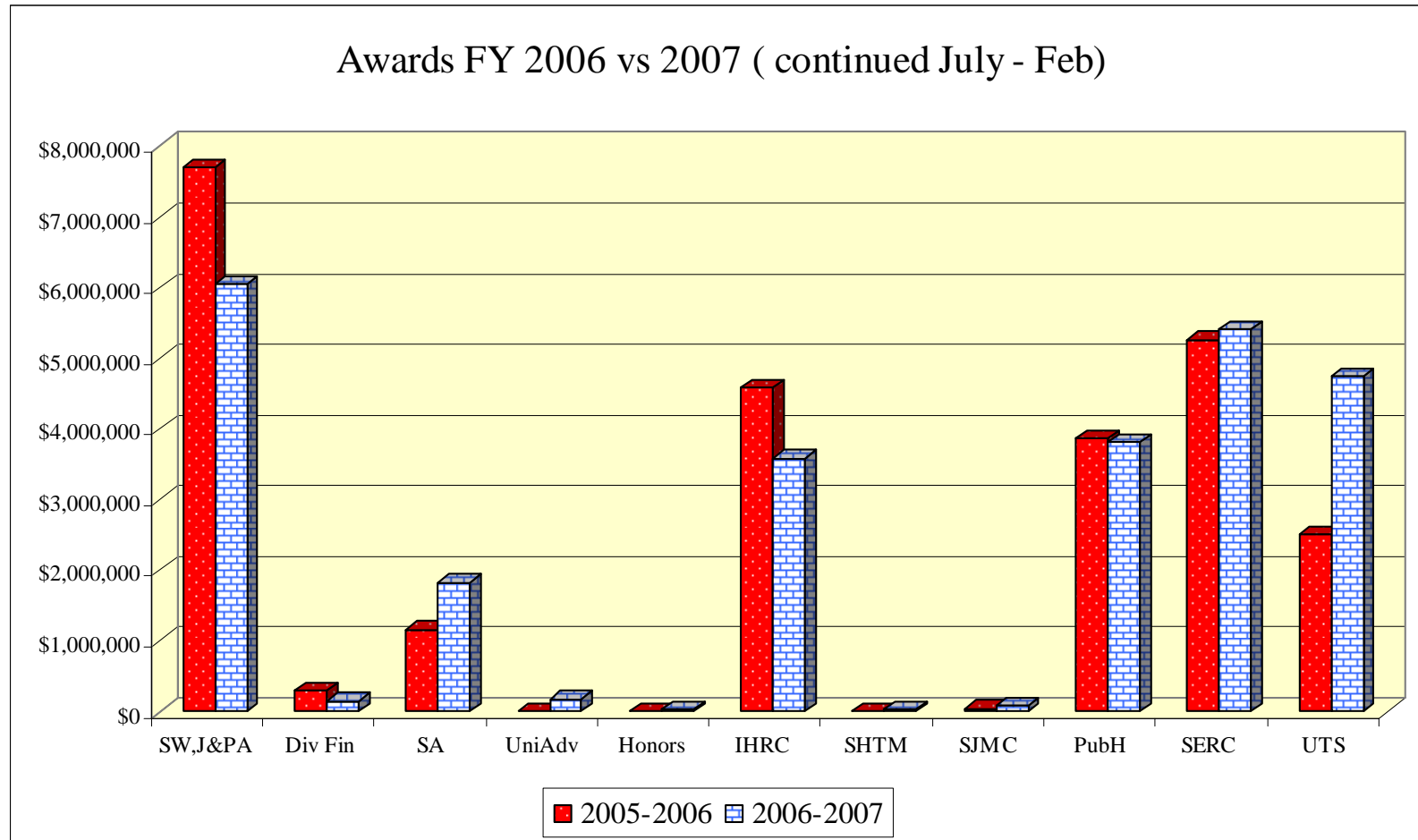
School/College/ Center/Division	July 05-Feb 06			July 06 – Feb 07			Percent Change
	Direct	Indirect	Total	Direct	Indirect	Total	
Academic Affairs	\$2,620,704	\$151,556	\$2,772,260	\$2,143,988	\$252,810	\$2,396,798	-13.54%
ARC	\$5,941,533	\$1,741,897	\$7,683,430	\$4,739,985	\$1,760,148	\$6,500,133	-15.40%
College of Architecture & the Arts	\$271,957	\$0	\$271,957	\$292,599	\$909	\$293,508	7.92%
College of Arts & Sciences	\$7,173,626	\$1,454,581	\$8,628,207	\$8,080,703	\$1,741,134	\$9,821,837	13.83%
College of Business Administration	\$926,026	\$99,819	\$1,025,845	\$413,455	\$41,700	\$455,155	-55.63%
College of Education	\$5,485,165	\$236,967	\$5,722,132	\$2,853,352	\$187,055	\$3,040,407	-46.87%
College of Engineering & Computing	\$8,523,992	\$1,322,935	\$9,846,927	\$6,783,871	\$1,123,884	\$7,907,755	-19.69%
College of Law	\$0	\$0	\$0	\$151,669	\$0	\$151,669	N/A
College of Medicine	\$0	\$0	\$0	\$1,038,641	\$396,656	\$1,435,297	N/A
College of Nursing & Health Sciences	\$3,241,094	\$168,855	\$3,409,949	\$2,087,387	\$359,633	\$2,447,020	-28.24%
College of Social Work, Justice & Public Affairs	\$6,717,932	\$993,138	\$7,711,070	\$5,317,984	\$737,872	\$6,055,856	-21.47%
Division of Finance & Administration	\$300,644	\$0	\$300,644	\$144,146	\$0	\$144,146	-52.05%
Division of Student Affairs	\$1,135,716	\$20,321	\$1,156,037	\$1,746,024	\$76,614	\$1,822,638	57.66%
Division of University Advancement	\$4,500	\$0	\$4,500	\$174,937	\$0	\$174,937	3787.49%
Honors College	\$0	\$0	\$0	\$25,000	\$0	\$25,000	N/A
IHRC	\$4,165,806	\$416,011	\$4,581,817	\$3,313,861	\$272,419	\$3,586,280	-21.73%
School of Hospitality & Tourism Management	\$0	\$0	\$0	\$25,000	\$0	\$25,000	N/A
School of Journalism & Mass Communication	\$36,000	\$1,800	\$37,800	\$75,000	\$0	\$75,000	98.41%
Stempel School of Public Health	\$3,020,921	\$850,570	\$3,871,491	\$2,919,532	\$895,656	\$3,815,188	-1.45%
SERC	\$4,437,820	\$825,072	\$5,262,892	\$4,486,015	\$923,539	\$5,409,554	2.79%
University Technology Services	\$2,332,143	\$167,580	\$2,499,723	\$3,820,913	\$920,764	\$4,741,677	89.69%
<b>TOTAL</b>	<b>\$56,335,579</b>	<b>\$8,451,102</b>	<b>\$64,786,681</b>	<b>\$50,634,062</b>	<b>\$9,690,793</b>	<b>\$60,324,855</b>	<b>-6.89%</b>

**Figure 2 — Awards Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**





**Figure 2 — Awards Comparison FY 2006 vs. FY 2007 by School/College/Center/Division**



**Table 3 — Major Funding Sources**

<b>Contracts and Grants Awarded by Major Funding Sources for Research, Service, and Training</b>				
<b>Source</b>	<b>Award Increment Direct Costs</b>	<b>Award Increment F&amp;A</b>	<b>Amount</b>	<b>Percent</b>
<b>July 2005 — Feb 2006</b>				
Federal Government	\$37,119,403	\$7,258,319	\$44,377,722	68%
State & Local Government	\$11,481,151	\$793,431	\$12,274,582	19%
Private/Other Sources	\$7,735,025	\$399,352	\$8,134,377	13%
<b>Total</b>	<b>\$56,335,579</b>	<b>\$8,451,102</b>	<b>\$64,786,681</b>	<b>100%</b>
<b>July 2006 — Feb 2007</b>				
Federal Government	\$37,400,246	\$8,666,724	\$46,066,970	76%
State & Local Government	\$8,074,080	\$711,357	\$8,785,437	15%
Private/Other Sources	\$5,159,736	\$312,712	\$5,472,448	9%
<b>Total</b>	<b>\$50,634,062</b>	<b>\$9,690,793</b>	<b>\$60,324,855</b>	<b>100%</b>

**Table 4—July 2006 – January 2007 Expenses by School/College/Center/Division**

<b>School/College/Center/Division</b>	<b>YTD Total Direct Costs</b>	<b>YTD F&amp;A</b>	<b>YTD Total Expenses</b>
ABR/MBRS	\$1,658,583	\$510,402	\$2,168,985
Academic Affairs	\$1,379,973	\$311,120	\$1,691,093
ARC	\$3,702,445	\$1,245,033	\$4,947,478
College of Architecture & Arts	\$676,810	\$1,940	\$678,750
College of Arts & Sciences	\$5,858,977	\$1,330,907	\$7,189,884
College of Business Administration	\$437,725	\$61,047	\$498,772
College of Education	\$2,951,244	\$157,953	\$3,109,197
College of Engineering & Computing	\$5,562,938	\$1,580,072	\$7,143,010
College of Medicine	\$23,007	\$9,203	\$32,210
College of Nursing & Health Sciences	\$2,640,419	\$89,558	\$2,729,977
College of Social Work, Justice & Public Affairs	\$3,350,935	\$598,280	\$3,949,215
Division of Finance & Administration	\$87,471	\$0	\$87,471
Division of Student Affairs	\$843,679	\$44,558	\$888,237
Division of University Advancement	\$34,896	\$0	\$34,896
IHRC	\$1,840,583	\$197,501	\$2,038,084
School of Journalism & Mass Comm.	\$156,211	\$27,596	\$183,807
SERC	\$3,318,646	\$927,007	\$4,245,653
Stempel School of Public Health	\$2,182,680	\$1,150,994	\$3,333,674
UTS	\$2,632,130	\$117,515	\$2,749,645
<b>TOTAL</b>	<b>\$39,339,352</b>	<b>\$8,360,686</b>	<b>\$47,700,038</b>

**Table 5—July 2006 to January 2007 F&A Expensed & Returned**

<b>F&amp;A Expensed/Returned July 2006 through January 2007</b>		
<b>School/College/Center/Division</b>	<b>Total Expensed</b>	<b>Total Returned</b>
ABR/MBRS	\$510,402	\$153,122
Academic Affairs	\$311,120	\$128,254
ARC	\$1,245,033	\$622,516
College of Architecture & the Arts	\$1,940	\$582
College of Arts & Sciences	\$1,330,907	\$399,272
College of Business	\$61,047	\$18,314
College of Education	\$157,953	\$47,386
College of Engineering & Computing	\$1,580,072	\$474,022
College of Medicine	\$9,203	\$2,761
College of Nursing & Health Sciences	\$89,558	\$26,868
College of Social Work, Justice & Public Affairs	\$598,280	\$173,070
Division of Student Affairs	\$44,558	\$13,368
IHRC	\$197,501	\$59,250
School of Journalism & Mass Communication	\$27,596	\$8,279
SERC	\$927,007	\$278,102
Stempel School of Public Health	\$1,150,994	\$347,946
UTS	\$117,515	\$35,254
<b>GRAND TOTAL</b>	<b>\$8,360,686</b>	<b>\$2,788,366</b>

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: CFO UPDATE**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- CFO UPDATE

**FACILITATOR/PRESENTER:**

- VIVIAN SANCHEZ

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# CFO Update

## **EXTERNAL AUDIT UPDATE**

The State Financial Audit for fiscal year 05/06 is under audit management review in Tallahassee with no significant findings.

The State Auditor General's Office has concluded the Federal Awards and the Bright Futures audits at FIU. However, as the report is issued for all State entities, the final copy will not be available until all audits of the other State entities are concluded.

As reported in the February 15<sup>th</sup> BOT Committee Meeting, the State Auditor General's Office is currently conducting the Operational audit. An entrance conference was held to discuss the scope of the audit on March 9<sup>th</sup>, whereby the auditors communicated their expected completion date of August 2007. To date, no findings have been communicated to management.

## **FINANCIAL STATEMENTS**

Based on the timing of this Board of Trustees session, Quarterly Financial Statements will not be presented at the April meeting. Financial Statements for the quarter ending March 31<sup>st</sup> will be available on May 15<sup>th</sup>. Therefore, we will provide these statements for your review in the Board Books prepared for the June 19<sup>th</sup> BOT Meeting.

## **BUDGET VARIANCE ANALYSIS – YTD as of January 31, 2007**

As part of the Administration's plan to provide the FIU Board of Trustees with greater financial transparency, at the previous Finance & Audit Committee meeting we provided the budget versus actual management report for the quarter ending December 31, 2006. This packet contains financial results for the period ending January 31, 2007.

**Florida International University  
Budget vs. Actual  
All Funds  
For the period ended 2007-01-31**

YTD - Jan. 31, 2007				
Budget	Current Year Actual	Variance Fav / (Unfav)		
		\$	%	
Revenues				
E&G (net revenues)	\$201.6	\$204.8 <sup>1</sup>	\$3.2	2%
Auxiliary Enterprises	77.3	82.9 <sup>2</sup>	5.6	7%
Sponsored Research	48.6	50.8	2.2	4%
Student Scholarships	69.1	61.5	(7.6)	-11%
Concessions	0.3	0.3	0.0	12%
Intercollegiate Athletics	11.6	11.5	(0.1)	-1%
Activities and Service	8.3	8.5	0.2	2%
FIU Foundation	37.8	22.8	(15.0)	-40%
FIU Research Foundation	1.0	1.1	0.0	1%
Interfund Adjustments	(4.2)	(4.2)	0.0	0%
Total Revenues	\$451.5	\$439.9	(\$11.5)	-3%
Expenses				
E&G	\$172.2	\$152.1	\$20.1	12%
Auxiliary Enterprises	50.2	45.7	4.5	9%
Sponsored Research	48.6	47.5	1.1	2%
Student Scholarships	73.3	60.2	13.1	18%
Concessions	0.2	0.2	0.1	35%
Intercollegiate Athletics	10.9	11.3	(0.4)	-3%
Activities and Service	7.4	7.2	0.2	2%
FIU Foundation	7.6	7.9	(0.3)	-4%
FIU Research Foundation	1.0	1.1	(0.0)	-1%
Interfund Adjustments	(4.2)	(4.2)	0.0	0%
Total Expenses	\$367.2	\$328.8	\$38.4	10%
Change in Net Assets				
	\$84.2	\$111.1	\$26.9	32%

**General Notes**

The financials presented above reflects the state budgeting methodology which differs from full accrual Financial Statements. The following have the most significant impact:

- **Depreciation of Assets:** For budgeting purposes equipment purchases are fully expensed in their acquisition year, therefore depreciation is not included in the budget.
- **Salaries:** The budget assumes no partial pay periods which are accrued at the end of the year in Financial Statements.
- **Payables:** The E&G budget expenses include year end commitments (encumbrances) even though they have not yet been invoiced (payables).
- **Unrealized gains and losses:** The investment results are recognized as revenues in the budget however GASB accounting principles require that it be recorded as an expense.
- **Auxiliary interfund eliminations:** Auxiliary revenues and expenses are higher in the budget than in Financial Statements because interfund transactions have not been eliminated.

**Notes to FY2006-07 YTD**

<sup>1</sup> E&G revenues are net of waivers and uncollectible amounts .

<sup>2</sup> Interfund transfers have been included in each fund resulting in higher revenue and expenses by fund. This reporting allows for an individual fund performance analysis. For consolidation purposes, A&S interfund transfers are eliminated in one line item.



## COLLEGE OF MEDICINE

The formal request for evaluation of the new College of Medicine (COM), along with the application, was submitted to the Liaison Committee on Medical Education (LCME) in January 2007. Since then, FIU has been preparing the documents which will be submitted to the LCME for preliminary accreditation. In developing this extensive documentation, FIU has formed 17 committees, as outlined by the LCME's components of the planning self-study report, made up of staff, BOD, BOT and external members of the community. FIU expects to have the initial draft of this self-study documentation by April 2007.

<u>LCME Committees</u>	<u>Chair</u>
Governance & Administration	John Rock
Academic Environment	George Walker
Educational Objectives	Joe Leigh Simpson
Structure of the Educational Program	Joe Leigh Simpson
Teaching & Evaluation	Joe Leigh Simpson
Curriculum Management	Joe Leigh Simpson
Evaluation of Program Effectiveness	Joe Leigh Simpson
Admissions	Sanford Markham
Student Services	Sanford Markham
The Learning Environment	Sanford Markham
Faculty Numbers, Qualifications and Functions	Joe Leigh Simpson
Personnel Policies	Joe Leigh Simpson
Faculty Governance	Joe Leigh Simpson
Finances	Liane Martinez
General Facilities	Alex Zyne
Clinical Teaching Facilities	Patrick O'Leary
Information Resources & Library Resources	Joe Leigh Simpson

FIU expects to adhere to the timeline that introduces the initial class in the Fall of 2009. In addition, the College of Medicine will reach its full capacity of 480 students by year 2015-16, one year earlier than originally planned.

FIU is currently addressing the integration of the university infrastructure, establishing the medical school administration and developing the student curriculum. Thus far, the founding Dean and Associate Deans for student affairs, clinical affairs and academic affairs have been hired or selected. We have now identified Jackson Health Systems as our primary public affiliate. An affiliation agreement was developed with The Public Health Trust (Jackson) and presented at their Public Health Trust Committee meeting on March 14<sup>th</sup>. This agreement will also be presented at their full Board meeting in late April. In addition, we continue to have discussions with a number of private partners referenced in the original proposal. We anticipate to complete affiliation agreements by late fall 2007.

With respect to facilities, FIU has received all PECO funding (\$20M) for the new Nursing and Health Sciences building. The programming for this building has begun and it is expected to be ready for occupancy by December 2009. The current Health Life Sciences (HLS) complex will be retrofitted for use as the initial College of Medicine (COM) instructional facility. Additionally, FIU has designated the northeast corner of the University Park Campus for its Health Sciences Complex. This area, which will include the current HLS buildings, the new Nursing and Health Sciences building, and several other facilities, will be used for multidisciplinary health sciences instruction, clinical and research space. FIU is currently in the process of selecting a firm to provide an in-depth master plan for this area.

## **INFORMATION TECHNOLOGY**

Information Technology is currently working on various projects to address and improve security as follows:

### **Enterprise Active Directory**

We are expediting the implementation of an enterprise Active Directory which will be used to automatically install security patches on Windows desktop computers and remotely upgrade software programs, thereby saving time and cost for maintaining desktop computers and implementing security policies. The Active Directory is the foundation that provides a single-point of management of Windows desktop computers. It stores information about resources on the network and provides a means of centrally organizing, managing, and controlling access to the resources. Furthermore, in conjunction with Microsoft System Management Server (SMS), the enterprise Active Directory will also be used to monitor digital copyright compliance. We expect that the Active Directory will be ready for production use in May 2007.

### **Information Security on Data Encryption**

Along with the deployment of the Active Directory, we are implementing a data encryption solution. At present, our data stored on desktop computers or on servers are not encrypted, leaving us vulnerable to cyber attacks. On March 15<sup>th</sup>, we began implementing data encryption for Windows, Mac and Unix computers. In addition, data in transit on our network will be protected by using a combination of data securing techniques, such as Virtual Private Network (VPN) and Internet Protocol Security (IPSEC) solutions. We will complete the implementation for those administrative areas deemed most critical based on the level of confidential information stored (e.g., student financial aid) by Fiscal Year end and continue with the subsequent expansion of the data encryption service to the remainder of the university.

### **Secure Wireless Access and Wireless Network Expansion**

We are rolling out a new user-friendly and secure authentication method for our wireless network. Any FIU student, faculty or staff can use their email ID and passwords to logon to our wireless network. The logon screen is Web-based and is very user-friendly. After the user logs onto our wireless network, the logon process automatically checks if the user's computer is secure to connect to our network. If the user's computer needs security patches or anti-virus protection, the authentication process will ask the user to update the computer's security. The new authentication method is also flexible and smart. It can permit different types of users with different levels of access rights. For example, when a guest user is using our wireless network with a temporary logon ID, the authentication process will direct the user out to the Internet without giving the guest the access to our internal network. In contrast, when a student logs onto our wireless network, the student will be granted to access student information on our network.

We are installing 200 additional wireless points in our classrooms that will use this new wireless authentication method. In addition, we are working with the staff and management in Student Housing with respect to installation of wireless networks in selected housing areas. This new authentication method will be used on the Student Housing wireless network. By using the same authentication method for Student Housing on both BBC and UP campuses, our students will be able to use this wireless network from building to building without having to re-log onto the system each time providing a welcome convenience for our students. We plan to complete the deployment of the 200 wireless access points in classrooms and complete the wireless network in Student Housing before the Fall semester begins. With the additional 200 wireless access points, the total number of wireless access points on BBC and UP campuses will total over 400.

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: OFFICE OF INTERNAL AUDIT REPORT**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- INTERNAL AUDIT REPORT

**FACILITATOR/PRESENTER:**

- TED GUBA

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# **Meeting of the Finance and Audit Committee**

**BOARD OF TRUSTEES**

**Office of Internal Audit**

April 24, 2007

# **Audit Committee Meeting**

## **March 16, 2007**

### **TABLE OF CONTENTS**

<b>Executive Summary .....</b>	
<b>Standing Agenda .....</b>	
<b>Mission Statement &amp; Values .....</b>	
<b>Office of Internal Audit Policy and Charter .....</b>	
<b>Special Projects/Investigations .....</b>	
<b>2006 – 2007 Revised Work Plan .....</b>	
<b>Training and Seminars Update.....</b>	
<b>Follow-up Status Report .....</b>	
<b>Management Responses to Outstanding Audit Issues .....</b>	





## **Executive Summary – Office of Internal Audit Status Report**

**Board of Trustees**

**Finance and Audit Committee**

**March 16, 2007**

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This report details the current status of the Office of Internal Audit. During this reporting period, we issued **Report No. 06/07-04**, Audit of the University Health Services-Patient Information Systems, and **Report No. 06/07-05**, Audit of Contracts and Grants Expenditures. The audits of the Victim Advocacy Center, Counseling & Psychological Services Center, Change Orders for Major Construction Projects, and the University Foundation are currently in progress or in the final stages of completion. In terms of investigations, we completed the College of Education EMBERS Grant, Business Services Meal Card and Purchasing Department complaints. The UTS Purchases, Facilities, and the College of Business complaints are in progress. All reports were previously provided to Finance and Audit Committee members.

We are preparing for a Quality Assurance Review for our office operations that will be conducted by independent auditors during April. The purpose of the review is to assess our adherence to the International Standards for the Professional Practice of Internal Auditing and to identify opportunities to enhance management and work processes. This final report will be provided to each Audit Committee member. I recently conducted a similar review with other Audit Directors at Florida State University.

Our new staff auditor, Tenaye Arneson, started in March. She has five years of audit experience, most recently with the Miami-Dade County Public Schools. Our new audit manager, Albert Mayungbe is a CPA and also started in March. He has 19 years of audit and financial management experience, most recently with HEICO Corporation. We are still one auditor short and plan to fill this position as soon as possible.

Finally, attached is a summary on the current status of management's implementation of prior recommendations from internal audits and the State Auditor's PeopleSoft Financial System Audit.

I look forward to see you on April 19, and if you have any questions prior to the meeting, please feel free to contact me at (305) 348-2465.

Ted Guba  
Audit Director

## **STANDING AGENDA**

The Standing Agenda is included for reference by the Committee to matters that should be addressed at various times during the year. Those items that are dated and italicized were either previously discussed during a prior committee meeting or will be discussed during this meeting.

### **I. INDEPENDENT AUDITOR (STATE AUDITOR) MATTERS**

- (a) Review of qualifications, performance and independence of the State Auditors.
- (b) Review of State Auditors' activities and findings since last update – *Every Meeting*
- (c) Meeting with representative from the Auditor General (State Auditors).

### **II. INTERNAL AUDIT MATTERS**

- (a) Review of Internal Audit Department activities and findings since last update – *Every Meeting*
- (b) Review of organization, plan, scope and results of Internal Audit Function – *2006-2007 University Internal Audit Plan – 09/28/06; Office of Internal Audit Annual Report 2005-2006–09/28/06, Revision to 2006-2007 Work Plan-2/15/07.*
- (c) Periodic review of the performance of the Director of Internal Audit.

### **III. ACCOUNTING AND REPORTING PROCESS**

- (a) Review key critical accounting policies and judgments made by management in connection with these accounting policies – *Accounts Receivable write offs – 09/28/06*
- (b) Review adequacy of the University's internal controls over financial reporting and address issues that have or may develop into significant deficiencies or material weaknesses.
- (c) Audited Financial Statements
- (d) Foundation Financial Statements – *Every Meeting*
- (e) Budgets
- (f) Information Technology – *Every Meeting*

### **IV. LEGAL, REGULATORY AND COMPLIANCE OVERSIGHT**

- (a) Review risk assessment and risk management policies and procedures – *2006-2007 Risk Assessment and Work Plan – 09/28/06*
- (b) Review environmental related matters, both in terms of regulatory and compliance issues and in terms of forward-looking policy. – *Environmental-Regulatory & Compliance – Every Meeting*
- (c) Review of legal and other regulatory and compliance issues – *University Compliance Program Report 2005-2006 – Every Meeting*
- (d) Review of associate or other comments relating to accounting, internal control or audit matters- *CFO Update – Every Meeting*
- (e) Review of Audit Committee Charter.
- (f) Sponsored Research Report – *Every Meeting*
- (g) Treasury Update – *Every Meeting*

### **V. EXECUTIVE SESSION OF THE AUDIT COMMITTEE**

**FLORIDA INTERNATIONAL UNIVERSITY  
OFFICE OF INTERNAL AUDIT**

**MISSION STATEMENT**

The mission of the Office of Internal Audit (OIA) at Florida International University is to provide audits, audit related services and non-criminal investigative services to the University departments and academic units in order to promote accountability, integrity and efficiency in the use of resources. To effectively accomplish this mission, the OIA strives to deliver its services in a competent and professional manner while maintaining the organizational independence necessary to provide objectivity in fact and appearance. The activities of the OIA shall be conducted in accordance with the International Standards for the Professional Practice of Internal Auditing.

**VALUES**

The staff of the OIA shall comply with the **State of Florida's Code of Ethics**, as well as the **Code of Ethics established by the Institute of Internal Auditors** for its members. In addition, the following values will be upheld by all OIA staff at all times.

- **Integrity** – Be honest, objective, diligent and credible in all relationships, both as individuals and as a representative of the OIA.
- **Excellence** – Uphold a high standard of service and commitment to quality in performing all projects.
- **Service** – Maintain a commitment to carry out all responsibilities with an attitude of service toward University management.
- **Leadership** – Provide noteworthy examples which emphasize high ethical and moral standards.
- **Sensitivity** – Maintain a sincere, dignified and caring attitude, and treat all University personnel in a professional manner.

# FLORIDA INTERNATIONAL UNIVERSITY

## OFFICIAL UNIVERSITY POLICY

### *University Community (faculty, staff and students)*

SUBJECT (R*)	EFFECTIVE DATE (R)	POLICY NUMBER
OFFICE OF INTERNAL AUDIT POLICY & CHARTER	March, 2006	
RESPONSIBLE UNIVERSITY DIVISION/DEPARTMENT (R)	RESPONSIBLE UNIVERSITY OFFICER (R)	
Office of the General Counsel Florida International University	Cristina L. Mendoza Vice President and University General Counsel	

### POLICY STATEMENT (R)

#### Reporting, Independence and Authority

The Director of Internal Audit has direct reporting responsibilities to the Board of Trustee's Finance and Audit Committee. The OIA has unrestricted access to all records, data, information and personnel of the University deemed necessary to carry out its duties and responsibilities; however, the OIA has no direct responsibility or authority over the activities it reviews.

#### Professional Standards

The activities of the OIA shall be conducted in accordance with the standards for the Professional Practice of Internal Auditing. Staff members should demonstrate qualities of integrity, honesty, loyalty, morality, dignity and confidentiality, consistent with the Institute of Internal Auditors Code of Ethics.

#### Duties and Responsibilities

- Provide independent and objective appraisals regarding risk management and controls on financial matters. The yearly work plan that is derived from a comprehensive risk assessment is recommended by the Audit Director and approved by the Finance and Audit Committee.
- Periodically follow-up and report on the status of managements' implementation of recommendations resulting from these activities. Significant observations that are not implemented will be highlighted and closely monitored.
- Investigate allegations of financial fraud, waste, abuse, wrongdoing, and any whistleblower complaints.
- Ensure effective coordination and cooperation with external auditors.

### REASON FOR POLICY (O\*)

The purpose of Florida International University's Office of Internal Audit (OIA) is to provide independent and objective appraisals regarding risk management and controls on financial matters within the University.

### CONTACTS (R)

#### Administrative Office's Address

Ted Guba  
Audit Director  
Office of Internal Audit  
Florida International University  
11200 S.W. Eighth Street  
Miami, Florida 33199

#### Telephone Number

305-348-2465

#### Fax Number

305-348-6421

\*R = Required \*O = Optional

**FLORIDA INTERNATIONAL UNIVERSITY**  
**OFFICE OF INTERNAL AUDIT**  
Special Projects/Investigations  
March 16, 2007

<b><u>INVESTIGATION/RESPONSIBLE EXECUTIVE</u></b>	<b><u>Target Date to Complete</u></b>	<b><u>Assigned Auditor</u></b>
<b><u>Original Plan</u></b>		
1. <i>UTS-referred by State Attorney-former CIO, John McGowan</i>	<i>Complete</i>	<i>Cho</i>
2. <i>College of Education EMBERS Grant -Interim Dean Judy Blucker</i>	<i>Complete</i>	<i>Sanchez</i>
3. <i>College of Arts &amp; Sciences-Dean Mark Szuchman</i>	<i>Complete</i>	<i>Sanchez</i>
4. <i>College of Engineering-Dean Viswanath Prasad</i>	<i>Complete</i>	<i>Cho</i>
5. <i>School of Hospitality &amp; Tourism Management-Dean Joseph West</i>	<i>Complete</i>	<i>Sanchez</i>
6. <i>Additional Financial Aid Complaints-VP Corinne Webb</i>	<i>Complete</i>	<i>Cho</i>
7. <i>UTS –Purchases Complaint- CFO &amp; Senior VP Vivian Sanchez</i>	<i>April</i>	<i>Cho</i>
<b><u>Additional Investigations Since Plan Approved</u></b>		
8. <i>Business Services Meal Card Complaint- CFO &amp; Senior VP Vivian Sanchez</i>	<i>Complete</i>	<i>Sanchez</i>
9. <i>Facilities Complaint- CFO &amp; Senior VP Vivian Sanchez</i>	<i>April</i>	<i>Sanchez</i>
10. <i>Purchasing Department Complaint- CFO &amp; Senior VP Vivian Sanchez</i>	<i>Complete</i>	<i>Guba</i>
11. <i>College of Business Complaint-Dean Joyce Elam</i>	<i>April</i>	<i>Sanchez</i>

**FLORIDA INTERNATIONAL UNIVERSITY  
OFFICE OF INTERNAL AUDIT  
2006 – 2007 Revised Work Plan**

**AUDIT & REVIEW ACTIVITIES**

	<b>Original Plan – Approved 09/28/07</b>	<b>Target Date</b>		<b>Revised Plan/Comments – Approved 02/15/07</b>
1	Payroll Certification for the Dept. of Financial Services	June 2007	1	Payroll Certification for the Dept. of Financial Services/Dependent on management's implementation date which is currently scheduled for July 2007
2	Contracts & Grants – Compensation for Personal Services/Time & Effort Reporting	Complete	2	Contracts & Grants – Compensation for Personal Services/Time & Effort Reporting
3	Contracts & Grants – Allowable Expenditures	Complete	3	Contracts & Grants – Allowable Expenditures/ Completion date pushed back since assigned auditor terminated prior to completion
4	Oracle Database Security – Student Administration	Complete	4	Oracle Database Security – Student Administration
5	Oracle Database Security – Tidal Enterprise Scheduler	May 2007	5	Oracle Database Security – Tidal Enterprise Scheduler
6	Oracle Database Security – Touch Net	May 2007	6	Oracle Database Security – Touch Net
7	Oracle Database Security – All Fusion Harvest	June 2007	7	Oracle Database Security – All Fusion Harvest
8	Quality Assurance Review of the Office of Internal Audit	May 2007	8	Quality Assurance Review of the Office of Internal Audit
9	Foundation – Travel & Expense Reports	May 2007	9	Foundation – Travel & Expense Reports
10	Construction – Process & Controls	Defer 2007-2008		Will substitute Construction – Change Orders/ due to Board Concerns
		June 2007	10	Construction – Change Orders
11	University Health Services – Patient Information Systems	Complete	11	University Health Services – Patient Information Systems/Identified potential security access concerns during audit in related departments (See #12 & #13)
		April 2007	12	Counseling & Psychological Services Center – Patient Information Systems
		April 2007	13	Victim Advocacy Center – Patient Information Systems
12	Housing	Defer to 2007-2008		We are substituting two audits and will perform preliminary work on Housing (See #12 & #13 above)
13	Purchasing Card Controls	Defer to 2007-2008		The Controller's Office will audit departmental Purchasing Card recordkeeping; we plan to review their work
14	Follow-up Audit on Implemented Recommendations	Defer to 2007-2008		The State Auditor General will audit the status of their recommendations; we will compare their work to management's reported status
		Complete	14	Review of Security Over Conference Calls/ Review completed due to need for immediate corrective action

## INVESTIGATIONS

	<b>Original Plan – Approved 09/28/07</b>	<b>Target Date</b>		<b>Revised Plan/Comments – Approved 02/15/07</b>
1	Allegations Against the Director of Enterprise Technology Support Services	Complete	1	Allegations Against the Director of Enterprise Technology Support Services
2	College of Education EMBERS Grant	Complete	2	College of Education EMBERS Grant
3	College of Arts & Sciences	Complete	3	College of Arts & Sciences
4	College of Engineering	Complete	4	College of Engineering
5	School of Hospitality & Tourism Management	Complete	5	School of Hospitality & Tourism Management
6	Additional Financial Aid Complaints	Complete	6	Additional Financial Aid Complaints
7	UTS – Purchases Complaint	April 2007	7	UTS – Purchases Complaint
				<b>Additional Complaints Since Plan Approved</b>
		Complete	8	Business Services Meal Card Review
		April 2007	9	Facilities Complaint
		Complete	10	Purchasing Department Complaint
		April 2007	11	College of Business Complaint

## FOLLOW-UP ACTIVITIES

We will follow-up on the current status of the implementation of recommendations prior to each Finance and Audit Committee Meeting.

## AUDIT RELATED SERVICES

1. Minimum of Two Surprise Cash Counts
2. Risk Assessment and Work Plan – Finance and Audit Committee Meeting scheduled on 09/10/07
3. Audit Committee Reports – five per fiscal year
4. Annual Report – by September 30, 2007

**FLORIDA INTERNATIONAL UNIVERSITY  
OFFICE OF INTERNAL AUDIT**

**Training and Seminars Update**

The following is an update on both attended and planned seminars through the middle of March 2007. All seminar topics are directly related to critical functions of our office.

Below is a recap of completed training hours for the current and prior fiscal years by auditor.

	<b><u>2006-2007</u></b>	<b><u>2005-2006</u></b>
Ted Guba	14 hours	42 hours
Pyong Cho	49 hours	47 hours
Manny Sanchez	22 hours	22 hours
Phillip Maddux	43 hours	37 hours
*Tenaye Arneson	16 hours	

<b>DATE</b>	<b>ATTENDED SEMINARS</b>	<b>HOURS</b>	<b>AUDITOR</b>
7/24-28/06	Institute of Internal Auditors	35	Pyong Cho
9/9-15/06	ACUA 50 <sup>th</sup> Annual Conference	22	Manny Sanchez
9/25-10/1/06	MIS Training Institute	43	Phillip Maddux
12/7-8/06	Construction Activity Audit Seminar	14	Ted Guba
12/7-8/06	Construction Activity Audit Seminar	14	Pyong Cho
02/14/07	ACUA – Web Seminar	1	Manny Sanchez
	<b>PLANNED SEMINARS</b>		
04/02/07	SUAC Spring Conference	20	Ted Guba
04/02/07	SUAC Spring Conference	20	Manuel Sanchez
04/02/07	SUAC Spring Conference	20	Tenaye Arneson
04/02/07	SUAC Spring Conference	20	Albert Mayungbe

\* Obtained training at previous employment.



## FOLLOW-UP STATUS REPORT – OFFICE OF INTERNAL AUDIT

The following summarizes the current status of audit issues from prior internal audit reports as of February, 2007.

*Note: Items bolded are due for implementation this period.*

Report	Audit Issue(s)	Responsible Executive/Director	Status	Revised Due Date	Original Due Date
<b>Computer Network Security</b> Report Issued: May 4, 2001	1. Security Risk Analysis 2. Firewall Protection 3. Security Training 4. Information Technology Resources	Sanchez/Yao/Foster Sanchez/Yao/Foster Sanchez/Yao/Foster Sanchez/Yao/Grillo	<b>No</b> No <b>Yes</b> No	06/07 05/07  12/07	Pending Funding Pending Funding Pending Policy Pending Funding
<b>Data Center Operations &amp; IT Contingency Plan</b> Report Issued: June 29, 2001	Disaster Recovery Plan	Sanchez/Yao/Foster	<b>Yes</b>		08/01
<b>Frost Art Museum</b> Report Issued: Jan. 28, 2005	1. Art Collection Records 1.1 Inventory 1.2 Fair Market Value 1.3 Insurance 1.4 Assignment of Accession Numbers 2. Capitalization of Art Work	Berkman/Bueno/ De la Torre	No No No No No	12/07 11/08 11/08 12/07 12/08	04/06 04/06 04/06 04/06 07/05
<b>Wolfsonian-FIU</b> Report Issued: June 17, 2005	1. Repairs and Upgrades to Annex Building	Berkman/Wartzok/ Leff	No	Pending Funding	Pending Funding
<b>Wolfsonian-FIU Physical Security of Museum &amp; Annex</b> Report Issued: June 17, 2005	Confidential and exempt from public records by Florida Statutes For 5 recommendations, 4 implemented and 1 outstanding	Berkman/Wartzok/ Leff	No	Pending Funding	Various
<b>Access Controls Over PS Student Records Module</b> Report Issued: Feb. 23, 2006	Confidential and exempt from public records by Florida Statutes For 29 recommendations, 28 implemented and 1 outstanding (Not Due)	Sanchez/Yao/Grillo	No	03/07	12/06
<b>Access Controls Over PS Financial Aid Module</b> Report Issued: May 5, 2006	Confidential and exempt from public records by Florida Statutes For 19 recommendations, 18 implemented and 1 outstanding (Not Due)	Sanchez/Yao/Foster	No	03/07	Various
<b>OSRA Close Out Controls</b> Report Issued: May 19, 2006	1. System providing accountability of files 2. Excess of Expenses over Revenues	Walker/Barabino	No <b>Yes</b>	04/07	09/06 08/06
<b>Access Controls Over PS Admissions Module *</b> Report Issued: June 20, 2006	Confidential and exempt from public records by Florida Statutes For 24 recommendations, 23 implemented, 1 outstanding (Due)	Sanchez/Yao/Foster	<b>No</b>	03/07	Various
<b>OSRA Billings &amp; Collections</b> Report Issued: June 29, 2006	1. Policies & Procedures	Walker/Barabino	<b>Yes</b>		10/06
<b>Access Controls Over PS Student Financials Module*</b> Report Issued : June 30, 2006	Confidential and exempt from public records by Florida Statutes For 22 recommendations, 9 implemented, 13 outstanding. (13 Due)	Sanchez/Yao/Grillo	<b>No</b> (13)	03/07 (12) 10/07 ( 1)	Various
<b>Allegations Against the Director of Enterprise Technology Support Services</b> Report Issued: July 7, 2006	1. Conflict of Interest – Gift (Rec. #3.2) 2. Purchasing Rule – Gift (Rec.#3.3) 3. Timely Payment Process (Rec. #4.4) 4. Review of Equipment List (Rec. #4.5)	Sanchez/Yao/Foster Sanchez/Millsbaugh Sanchez/Yao/Foster	<b>No</b> No <b>Yes</b> <b>Yes</b>	04/07 04/07	09/06 09/06 09/06 09/06

<b>Report</b>	<b>Audit Issue(s)</b>	<b>Responsible Executive/Director</b>	<b>Status</b>	<b>Revised Due Date</b>	<b>Original Due Date</b>
<b>University's Time &amp; Effort Certification Systems</b> Report Issued: Nov. 3, 2006	1. Time Card Certifications	Walker/Barabino	No	04/07	04/07
<b>University's Time &amp; Effort Certification Systems</b> (System Security) Report Issued: Nov. 15, 2006	Confidential and exempt from public records by Florida Statutes For 2 recommendations, 1 implemented, 1 outstanding. (Not Due)	Walker/Barabino	No	03/07	11/06
<b>Review of Security Over Conference Calls*</b> Report Issued: Dec. 1, 2006	Confidential and exempt from public records by Florida Statutes For 2 recommendations, 1 implemented, 1 outstanding. (Due)	Sanchez/Yao/Foster	No	07/07	02/07
<b>Student Administration (SA) Oracle Databases*</b> Report Issued: Dec. 19, 2006	Confidential and exempt from public records by Florida Statutes For 35 recommendations, 28 implemented, 7 outstanding. (19 Due)	Sanchez/Yao/Foster	Yes (12) No (7)	03/07 (5) 04/07 (2)	Various
<b>Allegations Against The Executive Dean of the College of Engineering &amp; Computing</b> Report Issued: Jan 17, 2007	1. Expense Approval (Rec. #1.1) 2. Written Policies (Rec. #1.2) 3 Disbursement Policies & Procedures (Rec. #1.3) 4 Guidelines (Rec. #1.4) 5. TAR Approval (Rec. #2.1) 6. TAR Close-out (Rec. #2.2) 7. Use of Concession Fund (Rec. #3.1) 8. Allowable Expenditures (Rec. #3.2)	Berkman/Wartzok Sanchez/Denton/ Elkin  Berkman/Wartzok/ Prasad  Sanchez/Bond	Yes No No  No Yes Yes Yes Yes	 04/07 04/07  04/07    	01/07 02/07 02/07  02/07 01/07 01/07 01/07 01/07

## FOLLOW-UP STATUS REPORT – PEOPLESOFT FINANCIALS SYSTEM AUDIT

The following summarizes the current status of audit issues from the State Auditor’s PeopleSoft Financials System Audit report as of Feb. 2007.

*Note: Items bolded are due for implementation this period.*

Report	Audit Issue	Responsible Executive/Director	Status	Revised Due Date	Original Due Date
<b>Finding No. 1: University Governance of IT</b>	There was a need for improved University-level governance of the PeopleSoft financials system and the enterprise data contained therein.	Sanchez/Yao	No		Various
<b>Finding No. 2: Application Environment and Support Function</b>	Improvements were needed in certain security controls within the overall operations of the application and the supporting network environment at the University.	Sanchez/Yao	No		07/01/07
<b>Finding No. 3: Access Authorization**</b>	Deficiencies were noted in the University’s procedures for restricting access to appropriate users. (3 Due)	Sanchez/Yao	<b>Yes (2)</b> <b>No (1)</b>	04/07	12/31/06
<b>Finding No. 4: Change Management Process</b>	Improvements were needed in the change management process.	Sanchez/Yao	<b>Yes</b>		11/30/06
<b>Finding No. 5: Disaster Recovery Plan</b>	Deficiencies were noted in the disaster recovery management process.	Sanchez/Yao	No		04/30/07
<b>Finding No. 6: Environmental Controls</b>	Environmental control improvements were needed at the University’s Data Center.	Sanchez/Yao	No		06/01/07

### Explanatory Notes

- Explanation of Status in chart – Yes = implemented; No = not implemented; bolded items were due for implementation this period.
- \*– Means that Management’s responses on outstanding audit issues due by February 2007 were reported separately to the Finance and Audit Committee, since they were confidential and exempt from public records by Florida Statutes.
- \*\*– Means that Management’s responses on outstanding audit issues due by February 2007 were reported separately to the Finance and Audit Committee, since they were related to Information Technology, a sensitive area. However, these findings were reported by the State Auditor to the public.
- For those recommendation noted in bold as **No** (not implemented) in this schedule, the “Management Responses to Outstanding Audits Issues” section (following page) details management’s current action plan.

### Follow-up Status Report Summary

Total number of audit issues due for implementation as of February 2007: 54

Total number of audit issues completed as of February 2007: 26 (48% implementation rate)

Total number of audit issues outstanding as of February 2007: 47

**FLORIDA INTERNATIONAL UNIVERSITY**  
**Management Responses to Outstanding Audit Issues**  
**March 16, 2007**

<b>Computer Network Security</b>
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1. Audit Issue: **Security Risk Analysis**  
Status: Partially Implemented

Action Plan to Complete:

The web-based Risk assessment is complete and ready to use. The next phase of the project is a communication plan and training session for those that will need to complete the survey. The target date to have all data submitted is May 31, 2007. Once the data is collected it will take approximately 1 month to identify and categorize the risk. New target date: 06/30/07.

<b>Frost Art Museum</b>
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1. Audit Issue: **Art Collection Records** – *Although not due for implementation this period, management provided us with the current status of their action plan.*  
Status: Not Implemented

An overall timeline for addressing the audit issues is attached to this response. Moving into the new building has been incorporated into the process. December 2007 is the earliest the move process for the art can begin. The timeline is dependant on meeting construction deadlines.

Marta de la Torre, Director of Museum Studies has agreed to advise the staff on the move process and its timing. Her experience as a member of the team that moved the J. Paul Getty Institute in Los Angeles will provide substantial insight and guidance to the process. She has reviewed and provided input to this timeline.

Marta de la Torre has become the Interim Director of the Museum and the search for a new Director has been launched. Juan Martinez, Director of the School of Art and Art History is the chair of the search committee.

By combining the inventory process, accession number checking and the move preparation, many individual items in storage will be handled once and the process will be more efficient. This will be done in two phases. Items located in flat files or open storage units that can be accessed without substantial unpacking will be processed first. This phase should be completed by July 2007. In the second phase items that are in boxes and need substantial unpacking will be inventoried, have accession numbers checked and then be repacked and organized for the move. This phase will be completed by the move date, December 2007.

### **1.1 Inventory**

Action Plan to Complete:

The inventory process continues. Approval to hire an Assistant Registrar has been received and a new person should be in place by December 2006. This will provide the assistance needed to speed up the process. A limited number of graduate students can be hired and trained to assist with these processes. As explained above, the process will be done in two phases and completed by December 2007.

An Assistant Registrar has been hired. The Inventory process is moving forward with the Registrar and team spending 2 to 3 days per week at the storage facility in Davie.

## **1.2 Fair Market Value**

### Action Plan to Complete:

Fair market value needs to be determined in order to insure the collection and to properly capitalize the works with property control. An outside appraisal could be done by Sotheby's or Christy's for insurance purposes. However, it would be most useful to wait until the artworks are moved, unpacked, and stored in the new museum to allow for easy access and visibility. The target date for completing this would be November 2008.

## **1.3 Insurance**

### Action Plan to Complete:

The final insurance value of the artwork will be contingent upon the fair market valuation of the collection and will need to be updated on a regular schedule. Interim updates of the estimated value can be provided to Environmental Health and Safety as they are developed and as new acquisitions are received. The process should be up to date when the fair market value is developed. This should be completed by November 2008.

## **1.4 Assignment of Accession Numbers**

### Action Plan to Complete:

The assignment of accession numbers is being done in conjunction with the inventory and will be completed when the inventory is completed by December 2007. This includes correction of incorrectly numbered items.

The Accession numbering process is moving forward with the Registrar and team spending 2 to 3 days per week at the storage facility in Davie.

## **2. Audit Issue: Capitalization of Art Work**

Status: Not Implemented

### Action Plan to Complete:

Capitalization of the artwork in cooperation with Property Control is an ongoing process which requires valuation of each individual item in the collection. Unlike the insurance valuation, this process requires a determination of whether the value of each item is in excess of \$1,000. During the inventory process, items that do not have proper valuation will be identified. As a part of the unpacking and storage process in the new building, the pieces in the collection that can be capitalized will be properly tagged. The process to research and determine the value of other items in the collection will be ongoing and should be up to date by December 2008.

<b>Wolfsonian-FIU</b>
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## **1. Audit Issue: Repairs and Upgrades to Annex Building and Security System**

Status: Partially Implemented

### Action Plan to Complete:

We have completed the analysis and the executive leadership has reviewed several options as submitted by Cathy Leff, Director. We are actively exploring these options at this time.

<b>Allegation Against the Director of Enterprise Technology Support Services</b>
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1. Audit Issue: **Conflict of Interest – Gift** (Recommendation #3.2)

Status: Not Implemented

Action Plan to Complete:

Due to the complexity of this item, and the far reaching implications of the yet to be determined policy, it has been decided that a memorandum will not be sent to the Division of IT employees until a clear University policy applying to all employees has been approved. Responsible party beyond Division of IT. New target date: April 2007

<b>Allegation Against the Executive Dean of the College of Engineering</b>
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1. Audit Issue: **Foundation Policies/Procedures/Guidelines** (Recommendations #1.2 - #1.4)

Status: Not Implemented

Action Plan to Complete:

The Foundation has prepared three guidelines dealing with the audit recommendations. Those guidelines are being reviewed by University management. New target date: April 30, 2007

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: FIU FOUNDATION REPORT**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion Item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- FIU FOUNDATION, INC. - PRELIMINARY  
FINANCIAL STATEMENTS RECAP &  
GENERAL RESERVE ANALYSIS,  
JANUARY 31, 2007

**FACILITATOR/PRESENTER:**

- RUSSELL DENTON

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**FIU FOUNDATION, INC.**

**PRELIMINARY  
FINANCIAL STATEMENTS RECAP  
& GENERAL RESERVE ANALYSIS**

**January 31, 2007**

# Florida International University Foundation, Inc.

## Preliminary Financial Statements Recap Through Period Ended January 31, 2007

(In Thousands of Dollars)

	2006-07 7-month <u>Actuals</u>	2006-07 7-month <u>Budget</u>	<u>Variance</u>		2006-07 Annual <u>Budget</u>	2005-06 7-month <u>Actuals</u>	2005-06 Total Year <u>Actuals</u>
<b>RECEIPTS:</b>							
<u>Contributions:</u>							
University-Wide Scholarships/Programs	\$416	\$148	\$268	[1]	\$200	\$198	\$331
Endowments	\$4,446	\$17,909	(\$13,463)	[2]	\$18,440	\$2,836	\$4,417
Building Funds	\$2,032	\$11,251	(\$9,219)	[3]	\$11,350	\$3,587	\$3,817
Colleges, Schools, Centers	\$2,434	\$2,100	\$334		\$3,700	\$2,295	\$4,026
Athletics Operations	\$218	\$342	(\$124)	[4]	\$670	\$330	\$632
Alumni Membership	\$85	\$73	\$12		\$140	\$68	\$158
Annual Fund	\$523	\$252	\$271	[5]	\$445	\$174	\$319
<b>TOTAL CONTRIBUTIONS</b> .....	<b>\$10,154</b>	<b>\$32,075</b>	<b>(\$21,921)</b>		<b>\$34,945</b>	<b>\$9,488</b>	<b>\$13,700</b>
<u>Other Revenues:</u>							
MARC Building - Rental Income	\$1,184	\$1,181	\$3		\$1,575	\$1,183	\$1,584
Estimated Investment Returns	\$11,502	\$4,560	\$6,942	[6]	\$8,050	\$8,070	\$8,825
Administrative Fee	\$0	\$0	\$0		\$0	\$0	\$1,815
<b>TOTAL RECEIPTS</b> .....	<b>\$22,840</b>	<b>\$37,816</b>	<b>(\$14,976)</b>		<b>\$44,570</b>	<b>\$18,741</b>	<b>\$25,924</b>
<b>EXPENSES:</b>							
<u>Operational</u>							
Annual Fund	\$176	\$215	\$39		\$320	\$219	\$351
Administrative Operating Fund	\$880	\$993	\$113		\$1,565	\$580	\$1,038
<b>Total Operational Expenses</b> .....	<b>\$1,056</b>	<b>\$1,208</b>	<b>\$152</b>		<b>\$1,885</b>	<b>\$799</b>	<b>\$1,389</b>
<u>University Programs</u>							
University-Wide Scholarships/Programs	\$836	\$330	(\$506)	[7]	\$350	\$328	\$380
Building Funds	\$3,546	\$3,545	(\$1)		\$3,545	\$50	\$3,373
Colleges, Schools, Centers	\$2,866	\$2,900	\$34		\$5,700	\$2,852	\$5,369
MARC Building	\$425	\$555	\$130	[8]	\$840	\$288	\$872
Athletics	\$132	\$167	\$35		\$315	\$184	\$934
Alumni Programs	\$47	\$84	\$37	[9]	\$140	\$83	\$183
General Reserve	\$11	\$15	\$4		\$40	\$11	\$19
Administrative Fee	\$0	\$0	\$0		\$0	\$0	\$1,815
<b>Total University Program Expenses</b> ...	<b>\$7,863</b>	<b>\$7,596</b>	<b>(\$267)</b>		<b>\$10,930</b>	<b>\$3,796</b>	<b>\$12,945</b>
<b>TOTAL EXPENSES</b> .....	<b>\$8,919</b>	<b>\$8,804</b>	<b>(\$115)</b>		<b>\$12,815</b>	<b>\$4,595</b>	<b>\$14,334</b>
<b>Excess of Receipts over Expenses</b> .....	<b>\$13,921</b>	<b>\$29,012</b>	<b>(\$15,091)</b>		<b>\$31,755</b>	<b>\$14,146</b>	<b>\$11,590</b>

### NOTES:

- [1] New fund raising efforts for the First Generation Scholarships have generated approximately \$240,000 in donations.
- [2] A \$10 million pledge expected in January in support of endowed scholarships in the College of Medicine has been withdrawn. A \$5 million pledge payment also in support of endowed scholarships in the College of Medicine expected in January has not yet been received. In October, a \$400,000 pledge payment expected last fiscal year was received in support of the Pino Global Entrepreneurship Center. In addition, several new endowed gifts totaling approximately \$1 million have been received for various new programs.
- [3] A \$10 million pledge expected in January in support of the College of Medicine building has been withdrawn. In addition, three unbudgeted cash gifts totaling \$200,000 were received for the Business Building, and a new gift for \$270,000 was received in support of the Hurricane Center. Finally, almost \$300,000 more than expected have been received in support of the Frost Art Museum.
- [4] Athletics board dues in the amount of \$48,000 were budgeted for receipt in the current fiscal year but were received and posted on June 30, 2006. In addition, revenues associated with merchandise royalties in excess of \$80,000 have not yet been received but are expected on or before June 30, 2007. Note that current year revenues do not include sponsorship revenues whereas 2005-06 revenues include \$220,000 in sponsorship revenues.
- [5] Unrestricted funds from the university were received in support of administrative operations. This was an unbudgeted receipt. In addition, annual giving revenues are under budget by \$75,000, and there is an additional \$29,000 of uncollected board and council dues.
- [6] Upon the recommendation of Consulting Services Group, a 7% investment gain was budgeted for fiscal year 2006-07.
- [7] An unbudgeted payment in excess of \$529,000 was made to the university in December for the First Generation Scholarships.
- [8] The university has not yet billed the Foundation for maintenance, utility and custodial expenses related to the MARC building.
- [9] Expenses associated with membership direct mail solicitations, special events and chapter funding have not yet been incurred.

**FIU FOUNDATION, INC.**

**INVESTMENT SUMMARY**

**January 31, 2007**

**Florida International University Foundation, Inc.**  
**Preliminary Performance Summary as of**  
**January 31, 2007**

<u><i>Fund/Manager/Inception Date</i></u>	<u>Market Value</u>	<u>% Allocation</u>	<u>Target Allocation</u>	<u>Current Month (12/06-01/07)</u>	<u>Calendar YTD 2007 (12/06-01/07)</u>	<u>Fiscal YTD (06/06-01/07)</u>	<u>Trailing 1 Year (01/06-01/07)</u>	<u>Trailing 3 Year (01/04-01/07)</u>	<u>Trailing 5 Year (01/02-01/07)</u>	<u>Since Investment Inception</u>
<b>Total Fund (6/30/00)</b>	<b>\$125,104,047</b>	<b>100.0%</b>	<b>100.0%</b>	<b>1.3%</b>	<b>1.3%</b>	<b>10.4%</b>	<b>11.1%</b>	<b>10.2%</b>	<b>8.4%</b>	<b>4.4%</b>
Total Fund Composite				0.9%	0.9%	10.0%	10.8%	9.2%	7.9%	3.0%
+/- Benchmark				0.5%	0.5%	0.4%	0.3%	1.0%	0.5%	1.3%
<b>Total Equity Accounts (6/30/00)</b>	<b>\$63,812,108</b>	<b>51.0%</b>	<b>50.0%</b>	<b>2.1%</b>	<b>2.1%</b>	<b>15.2%</b>	<b>15.5%</b>	<b>14.8%</b>	<b>10.8%</b>	<b>4.0%</b>
Total Equity Composite				1.5%	1.5%	14.1%	15.5%	13.9%	10.3%	1.3%
+/- Benchmark				0.6%	0.6%	1.1%	0.0%	0.9%	0.5%	2.7%
<b>Total Fixed Income Accounts (6/30/00)</b>	<b>\$39,926,059</b>	<b>31.9%</b>	<b>25.0%</b>	<b>0.1%</b>	<b>0.1%</b>	<b>4.0%</b>	<b>4.2%</b>	<b>3.7%</b>	<b>5.4%</b>	<b>6.0%</b>
Total Fixed Income Composite				0.2%	0.2%	4.0%	4.7%	3.5%	4.6%	5.7%
+/- Benchmark				-0.1%	-0.1%	0.0%	-0.4%	0.2%	0.8%	0.3%
<b>Total Alternative Investments (3/1/02)</b>	<b>\$21,365,879</b>	<b>17.1%</b>	<b>25.0%</b>	<b>1.2%</b>	<b>1.2%</b>	<b>7.3%</b>	<b>9.1%</b>	<b>8.5%</b>	<b>N/A</b>	<b>8.5%</b>
Total Alternative Composite				0.3%	0.3%	7.5%	7.0%	5.3%	N/A	5.5%
+/- Benchmark				1.0%	1.0%	-0.2%	2.1%	3.2%	n/a	3.1%

Florida International University Foundation, Inc.  
Preliminary Performance Summary as of  
January 31, 2007

<u>Fund/Manager/Inception Date</u>	<u>Market Value</u>	<u>% Alloc.</u>	<u>Target Alloc.</u>	<u>Current Month (12/06-01/07)</u>	<u>Trailing 3 Months 10/06 - 1/07</u>	<u>Fiscal YTD (06/06-01/07)</u>	<u>Trailing 1 Year (01/06-01/07)</u>	<u>Trailing 3 Year (01/04-01/07)</u>	<u>Trailing 5 Year (01/02-01/07)</u>	<u>Since Investment Inception</u>
<u><b>Domestic Equity Managed Accounts</b></u>										
<b>Atalanta Sosnoff Large Cap Growth (3/1/06)</b>	<b>\$12,185,088</b>	<b>9.7%</b>	<b>12.5%</b>	<b>2.8%</b>	<b>7.3%</b>	<b>16.5%</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>14.0%</b>
Russell 1000 Growth Index				2.6%	5.0%	12.9%	10.0%	7.1%	3.6%	10.1%
<b>Armstrong Shaw Large Cap Value (6/1/01)</b>	<b>\$5,423</b>	<b>0.0%</b>		<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
<b>Wedge Capital Large Cap Value QVM (12/29/06)</b>	<b>\$15,162,464</b>	<b>12.1%</b>	<b>12.5%</b>	<b>2.4%</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
Russell 1000 Value Index				1.3%	5.9%	16.2%	19.2%	14.9%	11.3%	N/A
<b>Advisory Research Small Cap Value (6/1/01)</b>	<b>\$12,406,010</b>	<b>9.9%</b>	<b>7.5%</b>	<b>1.5%</b>	<b>6.6%</b>	<b>11.4%</b>	<b>14.5%</b>	<b>20.7%</b>	<b>18.9%</b>	<b>17.5%</b>
Russell 2000 Value				1.5%	5.3%	13.5%	15.8%	15.7%	15.4%	14.8%
<b>IronBridge Small Cap Core Equity (12/2/03)</b>	<b>\$8,586,653</b>	<b>6.9%</b>	<b>7.5%</b>	<b>2.8%</b>	<b>5.2%</b>	<b>11.8%</b>	<b>9.8%</b>	<b>11.5%</b>	<b>N/A</b>	<b>12.9%</b>
Russell 2000 Small Cap Index				1.7%	4.7%	11.2%	10.4%	12.6%	12.0%	13.7%
<u><b>International Equity Managed Accounts</b></u>										
<b>Julius Baer International Equity Fund (12/2/03)</b>	<b>\$8,261,758</b>	<b>6.6%</b>	<b>5.0%</b>	<b>1.8%</b>	<b>10.3%</b>	<b>20.3%</b>	<b>23.7%</b>	<b>24.1%</b>	<b>N/A</b>	<b>25.8%</b>
MSCI EAFE Index				0.7%	7.0%	15.6%	20.3%	20.1%	16.9%	21.6%
<b>ING International Value A (6/1/01)</b>	<b>\$7,204,712</b>	<b>5.8%</b>	<b>5.0%</b>	<b>0.5%</b>	<b>7.1%</b>	<b>16.4%</b>	<b>23.2%</b>	<b>19.4%</b>	<b>17.0%</b>	<b>12.4%</b>
MSCI EAFE Index				0.7%	7.0%	15.6%	20.3%	20.1%	16.9%	11.2%
<u><b>Core Fixed Income Managed Accounts</b></u>										
<b>Seneca Enhanced Core Fixed (6/1/01)</b>	<b>\$9,276,665</b>	<b>7.4%</b>	<b>10.0%</b>	<b>0.0%</b>	<b>0.7%</b>	<b>4.9%</b>	<b>4.3%</b>	<b>3.4%</b>	<b>5.4%</b>	<b>5.5%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	5.1%	4.3%	3.4%	4.9%	5.4%
<b>Hillswick Asset Management (6/1/01)</b>	<b>\$4,929,738</b>	<b>3.9%</b>	<b>10.0%</b>	<b>-0.6%</b>	<b>-0.5%</b>	<b>5.4%</b>	<b>2.4%</b>	<b>3.3%</b>	<b>5.6%</b>	<b>5.8%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	5.1%	4.3%	3.4%	4.9%	5.4%
<u><b>Alternative Investments</b></u>										
<b>Austin Capital All Seasons Fund (3/1/02)</b>	<b>\$412,811</b>	<b>0.3%</b>	<b>7.5%</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>	<b>N/A</b>
S&P 500 Index				1.5%	4.9%	14.5%	14.5%	10.3%	6.8%	7.4%
<b>Crystal Associates Topaz Fund (3/1/02)</b>	<b>\$10,886,042</b>	<b>8.7%</b>	<b>10.0%</b>	<b>1.2%</b>	<b>5.0%</b>	<b>8.6%</b>	<b>10.1%</b>	<b>8.9%</b>	<b>N/A</b>	<b>10.2%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	5.1%	4.3%	3.4%	4.9%	4.8%
<b>Ironwood Partners (03/01/04)</b>	<b>\$8,311,258</b>	<b>6.6%</b>	<b>7.5%</b>	<b>1.4%</b>	<b>4.8%</b>	<b>5.9%</b>	<b>10.0%</b>	<b>N/A</b>	<b>N/A</b>	<b>8.7%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	5.1%	4.3%	3.4%	4.9%	0.8%
<b>Ironwood Partners (NDM Gift) (08/01/05)</b>	<b>\$1,455,768</b>	<b>1.2%</b>	<b>N/A</b>	<b>1.4%</b>	<b>4.8%</b>	<b>5.9%</b>	<b>10.0%</b>	<b>N/A</b>	<b>N/A</b>	<b>10.7%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	5.1%	4.3%	3.4%	4.9%	3.4%
<b>DTC Private Equity (\$5 Million Commitment)</b>	<b>\$300,000</b>	<b>0.2%</b>	<b>N/A</b>							
<u><b>Common Fund &amp; Gift Annuity Accounts</b></u>										
<b>Common Fund Short Term Bond (6/1/85)</b>	<b>\$1,317,777</b>	<b>1.1%</b>	<b>N/A</b>	<b>0.2%</b>	<b>1.0%</b>	<b>3.0%</b>	<b>5.3%</b>	<b>3.6%</b>	<b>2.9%</b>	<b>5.4%</b>
90 Day T-Bills				0.4%	1.3%	3.0%	4.9%	3.1%	2.4%	4.8%
<b>SunTrust Balanced Annuity Account (10/22/03)</b>	<b>\$629,254</b>	<b>0.5%</b>	<b>N/A</b>	<b>0.0%</b>	<b>0.0%</b>	<b>5.2%</b>	<b>4.0%</b>	<b>5.2%</b>	<b>N/A</b>	<b>6.4%</b>
70% Lehman Aggregate / 30% S&P 500				0.4%	1.8%	7.8%	7.3%	5.5%	N/A	6.5%
<b>State of Florida Treasurer Fund (4/1/03)</b>	<b>\$23,772,626</b>	<b>19.0%</b>	<b>5.0%</b>	<b>0.4%</b>	<b>1.3%</b>	<b>3.0%</b>	<b>4.5%</b>	<b>3.8%</b>	<b>N/A</b>	<b>3.7%</b>
90 day T-bill				0.4%	1.3%	3.0%	4.9%	3.1%	2.4%	2.7%
<b>Total Common Fund &amp; Annuity</b>	<b>\$25,719,657</b>									

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: TREASURY REPORT**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion Item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- TREASURY REPORT
  - UNIVERSITY INVESTMENT COMMITTEE

**FACILITATOR/PRESENTER:**

- RUSSELL DENTON

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**BOARD OF TRUSTEES**  
**TREASURY REPORT**  
 APRIL 24 & 26, 2007

**University Investment Committee Meeting**

The University Investment Committee meeting was held on February 8, 2007 to evaluate the quarterly performance for the university operating fund as of December 31, 2006. The meeting topics included manager performance results for the second quarter, State Treasury and SBA – LGIP investment yields, review of underperforming managers, and rebalancing. Lotsoff Capital Management, the Small Cap Equity manager, has been underperforming against its benchmark. The committee will closely monitor this manager's performance and will make a subsequent recommendation during the next committee meeting. In regards to the quarterly rebalancing of the portfolio, the committee voted to remain status quo. During the next meeting, a revised cash flow forecast will be presented to the committee to determine if rebalancing will be necessary.

Exhibit A, outlines the asset allocation target policy by pool as defined in the Board approved Investment Policy Statement. The university operating fund is in full compliance with the guidelines set forth by this policy.

**Asset Allocation Target Policy by Pool**

***Exhibit A***

	<b>Working Capital Pool</b>	<b>Strategic Capital Pool</b>	<b>Reserve Pool</b>	<b>Total Combined Pool</b>
<b>% of Total</b>	<b>40%</b>	<b>50%</b>	<b>10%</b>	<b>100%</b>
Cash Equivalents (SBA)	40%	0%	0%	16%
Short - Fixed Income (SPIA)	60%	0%	0%	24%
Fixed Income (Inv. Grade)	0%	40%	40%	24%
TIPS	0%	10%	10%	6%
High Yield	0%	10%	10%	6%
<b><u>Total Fixed Income</u></b>	<b>100%</b>	<b>60%</b>	<b>60%</b>	<b>76%</b>
<b><u>Hedge Fund</u></b>	<b>0%</b>	<b>10%</b>	<b>10%</b>	<b>6%</b>
<b><u>REITS</u></b>	<b>0%</b>	<b>10%</b>	<b>10%</b>	<b>6%</b>
U.S. Equity	0%	15%	15%	9%
International Equity	0%	5%	5%	3%
<b><u>Total Equity</u></b>	<b>0%</b>	<b>20%</b>	<b>20%</b>	<b>12%</b>
<b><u>Total Allocation.....</u></b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

## Investment Return Performance

The following table (*Exhibit B*) depicts the performance as of January 31, 2007.

*Exhibit B (see below)*

### Florida International University Performance Summary as of January 31, 2007

<i>Fund/Manager</i>	Market Value	% Allocation	Target Allocation	Current Month (12/06-1/07)	Trailing 3 Months (10/06-1/07)	Calendar YTD 2006 (12/06-1/07)	Fiscal YTD (06/06-1/07)	Since Investment Inception
<b>Total Combined Pool</b>	<b>\$186,322,249</b>	<b>100.0%</b>	<b>100.0%</b>	<b>0.9%</b>	<b>2.2%</b>	<b>0.9%</b>	<b>5.6%</b>	<b>6.6%</b>
Benchmark Index				1.0%	2.3%	1.0%	6.6%	7.5%
+/- Benchmark				-0.1%	-0.1%	--	-1.0%	-0.9%
<b><u>Cash Equivalents &amp; Short - Int. Fixed Income</u></b>	<b>\$104,335,028</b>	<b>56.0%</b>	<b>40.0%</b>	<b>0.3%</b>	<b>1.4%</b>	<b>0.3%</b>	<b>3.2%</b>	<b>4.2%</b>
91-Day Treasury Bill				0.4%	1.3%	0.4%	3.0%	4.2%
+/- Benchmark				-0.1%	0.2%	--	0.2%	0.0%
<b>Total Combined Pool less Cash Equivalents</b>	<b>\$81,987,221</b>	<b>44.0%</b>	<b>60.0%</b>	<b>1.6%</b>	<b>3.5%</b>	<b>1.6%</b>	<b>9.6%</b>	<b>9.4%</b>
Benchmark Index				1.3%	2.9%	1.3%	9.0%	8.9%
+/- Benchmark				0.3%	0.6%	--	0.6%	0.5%

Florida International University  
Performance Summary as of  
January 31, 2007

<i>Fund/Manager/Inception Date</i>	Market Value	% Allocation	Target Allocation	Current Month (12/06-1/07)	Trailing 3 Months (10/06-1/07)	Calendar YTD 2006 (12/06-1/07)	Fiscal YTD (06/06-1/07)	Since Investment Inception
<b><u>CASH EQUIVALENTS / SHORT FIXED INC</u></b>	<b>\$104,335,028</b>	<b>56.0%</b>	<b>40.0%</b>	<b>0.3%</b>	<b>1.4%</b>	<b>0.3%</b>	<b>3.2%</b>	<b>4.2%</b>
91-Day Treasury Bill				0.4%	1.3%	0.4%	3.0%	4.2%
+/- Benchmark				-0.1%	0.2%	--	0.2%	0.0%
<b>SBA-LGIP Account</b>	<b>\$20,383,572</b>	<b>10.9%</b>	<b>--</b>	<b>0.5%</b>	<b>1.4%</b>	<b>0.5%</b>	<b>--</b>	<b>2.3%</b>
91-Day Treasury Bill				0.4%	1.3%	0.4%	--	2.1%
+/- Benchmark				0.0%	0.1%	--	--	0.2%
<b>SPIA Account</b>	<b>\$83,951,456</b>	<b>45.1%</b>	<b>--</b>	<b>0.3%</b>	<b>1.5%</b>	<b>0.3%</b>	<b>3.2%</b>	<b>4.3%</b>
91-Day Treasury Bill				0.4%	1.3%	0.4%	3.0%	4.2%
+/- Benchmark				-0.1%	0.2%	--	0.2%	0.1%
<b><u>DIVERSIFIED FIXED INCOME COMPOSITE</u></b>	<b>\$47,285,428</b>	<b>25.4%</b>	<b>36.0%</b>	<b>0.3%</b>	<b>1.0%</b>	<b>0.3%</b>	<b>5.2%</b>	<b>5.1%</b>
Benchmark Index				0.2%	0.8%	0.2%	5.4%	5.4%
+/- Benchmark				0.1%	0.2%	--	-0.1%	-0.3%
<b>Weiss, Peck &amp; Greer (3/31/06)</b>	<b>\$31,285,665</b>	<b>16.8%</b>	<b>24.0%</b>	<b>0.1%</b>	<b>0.5%</b>	<b>0.1%</b>	<b>4.7%</b>	<b>4.5%</b>
Lehman Brothers Aggregate Index				0.0%	0.5%	0.0%	5.1%	5.0%
+/- Benchmark				0.1%	-0.1%	--	-0.3%	-0.5%
<b>Northern Trust TIPS (6/30/06)</b>	<b>\$7,712,178</b>	<b>4.1%</b>	<b>6.0%</b>	<b>0.1%</b>	<b>-1.0%</b>	<b>0.1%</b>	<b>2.3%</b>	<b>2.3%</b>
Lehman U.S. TIPS Index				0.1%	-1.0%	0.1%	2.4%	2.4%
+/- Benchmark				-0.1%	0.0%	--	0.0%	0.0%
<b>BlackRock HY Bond (3/31/06)</b>	<b>\$8,287,585</b>	<b>4.4%</b>	<b>6.0%</b>	<b>1.5%</b>	<b>4.9%</b>	<b>1.5%</b>	<b>10.1%</b>	<b>10.5%</b>
ML High Yield Master II				1.1%	3.8%	1.1%	9.6%	9.8%
+/- Benchmark				0.3%	1.1%	--	0.5%	0.7%
<b><u>TOTAL FIXED INCOME</u></b>	<b>\$151,620,456</b>	<b>81.4%</b>	<b>76.0%</b>					
<b><u>HEDGE FUND (3/31/06)</u></b>				<b>1.6%</b>	<b>4.4%</b>	<b>1.6%</b>	<b>6.7%</b>	<b>6.1%</b>
<b>Aetos Alternatives Mgmt. (3/31/06)</b>	<b>\$8,216,099</b>	<b>4.4%</b>	<b>6.0%</b>	<b>1.6%</b>	<b>4.4%</b>	<b>1.6%</b>	<b>6.7%</b>	<b>6.1%</b>
CPI + 3.25%				0.6%	1.1%	0.6%	1.7%	2.9%
+/- Benchmark				1.0%	3.3%	--	5.0%	3.1%
<b><u>REITs (6/30/06)</u></b>				<b>9.8%</b>	<b>13.4%</b>	<b>9.8%</b>	<b>31.4%</b>	<b>31.4%</b>
<b>Urdang REIT (6/30/06)</b>	<b>\$9,391,184</b>	<b>5.0%</b>	<b>6.0%</b>	<b>9.8%</b>	<b>13.4%</b>	<b>9.8%</b>	<b>31.4%</b>	<b>31.4%</b>
NAREIT Equity				8.4%	11.7%	8.4%	29.7%	29.7%
+/- Benchmark				1.4%	1.7%	--	1.7%	1.7%
<b><u>DOMESTIC EQUITY COMPOSITE</u></b>	<b>\$12,732,411</b>	<b>6.8%</b>	<b>9.0%</b>	<b>1.4%</b>	<b>4.4%</b>	<b>1.4%</b>	<b>12.5%</b>	<b>4.4%</b>
DJ Wilshire 5000				1.9%	5.4%	1.9%	14.1%	11.9%
+/- Benchmark				-0.5%	-1.0%	--	-1.6%	-7.5%
<b>Northern Trust S&amp;P 500 (6/30/06)</b>	<b>\$9,918,937</b>	<b>5.3%</b>	<b>--</b>	<b>1.5%</b>	<b>4.9%</b>	<b>1.5%</b>	<b>14.5%</b>	<b>14.5%</b>
S&P 500				1.5%	4.9%	1.5%	14.5%	14.5%
+/- Benchmark				0.0%	0.0%	--	0.0%	0.0%
<b>Lotsoff Small Cap (3/31/06)</b>	<b>\$2,813,474</b>	<b>1.5%</b>	<b>--</b>	<b>0.8%</b>	<b>2.7%</b>	<b>0.8%</b>	<b>5.1%</b>	<b>-4.6%</b>
Russell 2000				1.7%	4.7%	1.7%	11.2%	5.6%
+/- Benchmark				-0.9%	-2.0%	--	-6.1%	-10.2%
<b><u>INTERNATIONAL EQUITY COMPOSITE</u></b>				<b>0.7%</b>	<b>8.5%</b>	<b>0.7%</b>	<b>17.3%</b>	<b>18.0%</b>
<b>The Boston Company Intl Core (3/31/06)</b>	<b>\$4,362,099</b>	<b>2.3%</b>	<b>3.0%</b>	<b>0.7%</b>	<b>8.5%</b>	<b>0.7%</b>	<b>17.3%</b>	<b>18.0%</b>
MSCI EAFE Index (N)				0.7%	6.9%	0.7%	15.5%	16.3%
+/- Benchmark				0.0%	1.6%	--	1.9%	1.8%
<b><u>TOTAL COMBINED POOL</u></b>	<b>\$186,322,249</b>	<b>100.0%</b>	<b>100.0%</b>	<b>0.9%</b>	<b>2.2%</b>	<b>0.9%</b>	<b>5.6%</b>	<b>6.6%</b>
Benchmark Index				1.0%	2.3%	1.0%	6.6%	7.5%
+/- Benchmark				-0.1%	-0.1%	--	-1.0%	-0.9%

The next meeting of the University Investment Committee will be held in late April 2007 to review investment performance for the third quarter (ending March 31) of the fiscal year.

**MEMBERSHIP**

RUSSELL DENTON, UNIVERSITY TREASURER, UIC CHAIR  
KIRK LONDON, CHAIR FOR THE BOT FINANCE & AUDIT COMMITTEE.  
VIVIAN A. SANCHEZ, CFO AND VICE PRESIDENT FOR HUMAN RESOURCES  
DR. WILLIAM WELCH, DEPARTMENT CHAIR AND PROFESSOR FOR FINANCE,  
COLLEGE OF BUSINESS ADMINISTRATION

**CONSULTANT**

MARC FRIEDBERG, VICE PRESIDENT FOR WILSHIRE CONSULTING GROUP

**OTHER STAFF**

BRIAN WSZOLEK, TREASURY MANAGER

Russell Denton  
University Treasurer

**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: ENVIRONMENTAL – REGULATORY AND COMPLIANCE**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion Item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- ENVIRONMENTAL STATUS REPORT:  
APRIL 2007
- SAFETY COMPLIANCE STATUS REPORT:  
APRIL 2007
- INSURANCE STATUS REPORT: APRIL 2007

**FACILITATOR/PRESENTER:**

- JENNIFER MWAISELA

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Florida International University  
Board of Trustees Environmental Status Report  
April 24, 2007

STRATEGY	GOAL	OBJECTIVE	TASKS	STATUS
ESTABLISH AN ENVIRONMENTAL MANAGEMENT SYSTEM	Realize organizational commitment to the environment and fulfill FIU Master Plan policy conditions with respect to the environment	<p>Establish Environmental Policy and facilitate periodic Management Review of EMS</p> <p>Provide a staff person to serve as Environmental Coordinator to manage the activities of the Natural Resources and Management Committee (<i>FIU Campus Master Plan</i>)</p>	<p>Prepare quarterly status report for BOT Audit Committee identifying compliance concerns and forward looking initiatives</p> <p>In lieu of a permanent hire, partner with academic units to provide two "internships" each fiscal year for graduate students with expertise in specific aspects of environmental compliance/resources management</p> <p>Due Date: July 30,2007</p>	Ongoing
	Avoid fines and expensive corrective actions	Maintain all environmental permit conditions as required	<p>Ongoing: DERM inspection of January 18, 2007 identified the following:</p> <p>The vapor recovery cover at W2 (Motor Pool) must be painted orange for identification</p>	Corrective actions completed within 30 days and no violations were issued.

			<p>purposes.</p> <p>Electronic leak detection system for 3 buildings were past due for annual recertification</p>	
		Achieve consistent compliance with environmental regulations	<p>Annually review all rules, regulations and policies governing environmental compliance</p> <p>Due Date: December 31, 2006</p>	Internal EH&S program management review completed.
		Conduct Comprehensive Compliance Assessment	<p>In lieu of participating in the <i>EPA Region 4 College and University Compliance Incentive Initiative</i>, which requires submitting findings from a comprehensive self-audit and in so doing become eligible to <u>negotiate</u> fines, EH&amp;S will conduct self-audit and submit findings to FIU Executive Operations Committee to determine most appropriate response.</p> <p>Due Date: December 31, 2007</p>	Plans to conduct comprehensive self-audit, in accordance with EPA Region 4 standards have been made and will be budgeted for in fiscal year 2007-2008.
		Conduct Environmental Aspects/Impact Analysis	<p>Update and publicize guidelines</p> <p>Due Date: December 31, 2007</p>	



	<p>Lower day-to-day impact on environment.</p> <p>Realize efficiencies through environmental initiatives</p>	<p>Standardize Environmental Operational Controls</p> <p>Establish Natural</p>	<p>Establish written procedures for all aspects of environmental program management.</p> <p>Revise and update procedures to address conservation and responsible environmental practices</p> <p>Due Date: December 31, 2007</p> <p>Coordinate with pre-existing</p>	<p>Completed draft of environmental guidelines for contractors working on campus.</p> <p>Completed draft guidelines for use of pesticides on campus.</p> <p>Business Services is conducting a pilot test to determine which brand/content recycled paper consistently works well with copy machines on campus</p> <p>As part of the contract review process Purchasing Services notifies EH&amp;S of all RFP's and Bids such that appropriate language related to environmental responsibility can be incorporated, to the extent that the exercise of such responsibility is not burdensome to the University.</p>
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	<p>Create opportunities for academic and operations partnerships</p> <p>Improve relations with regulatory agencies</p> <p>Enhance image and reputation of institution</p> <p>Establish positive community relationships</p>	<p>Resources Management/Environmental Sustainability Committee with broad representation from University community and from DERM</p> <p>Develop "Environmental Respect" Communication plan</p>	<p>committees on campus with similar focus to determine best structure for such a committee</p> <p>Identify representatives from operations</p> <p>Due Date: April 16, 2007</p> <p>Publish quarterly newsletter/article in Beacon</p> <p>Establish Environmental Sustainability website</p> <p>Due Date: April 16, 2007</p>	<p>Newsletter distributed University-wide</p> <p>Stormwater pollution prevention tips published in The Beacon March 1, 2007</p> <p>Draft of web-site completed and distributed for comments</p> <p>Water conservation tip sheet for residential students completed and provided to Housing</p> <p>"Exercising our respect for the Environment" slide included in New Employee Orientation Presentation delivered by EH&amp;S</p>
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				<p>Student Orientation Guide for 2007 will include information on recycling and conservation on campus</p> <p>PowerPoint presentation developed and made available to Freshman Experience Instructors</p>
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**Florida International University**  
**Board of Trustees Safety Compliance Status Report**  
**April 24, 2007**

On February 27, 2007, a Corrective Action Plan was negotiated with the Florida Department of Health, Bureau of Radiation Control, in response to notification (as required) that a sealed radioactive source was missing and untraceable. Indications are that the source was lost during the post-hurricane reconstruction and repair of the Center for Engineering and Applied Sciences (CEAS) building. The University Radiation Safety Officer (RSO) is Dr. S.K. Dua.

<b>Action Items</b>	<b>Due Date</b>	<b>Status</b>
Each lab (Authorized User) will be required to conduct a monthly inventory of all radioactive sealed sources in their possession. The RSO will audit this log at random and during scheduled inspections.	February 28, 2007	Monthly inventory form prepared and distributed to Authorized Users. <u>Completed</u>
A "License Conditions Fact Sheet" will be distributed to the users of devices containing sealed sources.	February 28, 2007	Fact Sheet completed and distributed. <u>Completed</u>
A policy on security in laboratory with special hazards will be prepared by the RSO and submitted to the University Compliance Office for approval and adoption as a University policy.	March 09, 2007	Submitted on March 14. <u>Note:</u> Delay due to employee illness and absence from work. <u>Completed</u>
The RSO will prepare a guidance document on how to coordinate the movement and relocation of specialized scientific research equipment containing radiation sources. FIU Facilities Management Department project managers will be required to follow the guidance document during any renovation or repair in research labs.	March 30, 2007	Discussed Action Item with Associate Director FM on February 27, 2007. Document outline Completed.  On Target
The RSO will prepare a 15-minute awareness presentation for Facilities Management project managers to assure they have full understanding and appreciation of the concerns and regulations that apply to management and control of radioactive material, while managing repair and renovation work in and around radioactive materials and sources.	April 15, 2007	Draft completed and submitted for internal review.  On Target
The RSO will conduct a point-by-point compliance audit pertaining to radioactive materials acquired, used and disposed of by the institution.	April 15, 2007	Audit of all sealed sources in instruments completed.  On Target.
The RSO will post DOH correspondence Control Number: INS-07-0202-069, which will remain posted until all action items have been completed.	April 15, 2007	Control Number: INS-07-0202-069 remains posted at CEAS

**Florida International University**  
**Board of Trustees Insurance Status Report**  
**April 24, 2007**

The following action items resulted from a review of the FIU insurance program by the Chair of the FIU BOT Audit & Finance Committee, Mr. Kirk Landon.

Action Item	Status	Comments
Identify best practice loss control practices and initiatives to benchmark and emulate.	<p>Identified) the Campus Safety Health &amp; Environmental Management Association (CHSEMA ) as resource. CHSEMA is an arm of the National Safety Council.</p> <p>Determined that four members of the State University System and the University of Miami are members of CHSEMA.</p> <p>CHSEMA compiles information on best practice loss control initiatives. In addition, it issues best in class program awards annually.</p> <p>Membership required. Membership scheduled for July 1, 2007.</p>	With membership, FIU will be able to access five years of information on best practice university loss control programs.
Given that the University self-insures for physical damage to automobiles - Determine the collision damage exposure / frequency for University vehicles and determine if viable to contract with a body shop in order to obtain favorable repair rates.	<p>EH&amp;S has made preliminary contact with Vehicle Services Supervisor to determine whether such an agreement already exists.</p> <p>Preliminary evaluation of records on collision damage to FIU vehicles revealed that there were less than 20 automobile collision incidents within the last three years.</p>	Each department that owns university vehicles is responsible to pay the costs for any physical damage to the vehicle.
Increase deductibles on commercial policies.	EH&S' Internal insurance placement request forms have been updated to permit departments requesting insurance to identify the deductibles they are willing to accept in order to keep premiums as low as possible.	The department that pays the premium is responsible to pay the deductible if there is a loss.
Eliminate laptop insurance as a coverage option.	This coverage expires on 5/31/07. All departments that own laptops have been notified that this policy will not be renewed.	
Evaluate BOT bylaws to determine need for Directors & Officers insurance.	General Counsel Mendoza has scheduled April 16, 2007 as the completion date for this item.	The premium for the existing policy is "fully earned" – in that, there is no prorated reimbursement of premium paid, if the policy is canceled before the expiration date of 12/15/07.

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**THE FLORIDA INTERNATIONAL UNIVERSITY  
BOARD OF TRUSTEES  
FINANCE AND AUDIT COMMITTEE**

**24 APRIL 2007**

**SUBJECT: UNIVERSITY COMPLIANCE PROGRAM REPORT**

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**PROPOSED COMMITTEE ACTION:**

None. Discussion Item.

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**EXHIBITS/SUPPORTING DOCUMENTS:**

- UNIVERSITY COMPLIANCE OFFICE  
PROGRAM REPORT
- UNDERSTANDING COMPLIANCE: ODL  
NEW EMPLOYEE EXPERIENCE
- COMPLIANCE BROCHURE

**FACILITATOR/PRESENTER:**

- LEYDA BENITEZ

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## MEMORANDUM

University Compliance Office

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**To:** The Florida International University  
Board of Trustees Finance and Audit Committee

**From:** Leyda Benitez  
University Compliance Officer

**Subject:** University Compliance Program Report

**Date:** March 23, 2007

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The University Compliance Office continues to focus on strengthening the infrastructure that is in place to support regulatory compliance at Florida International University, while at the same time maintaining an institutional compliance program that is in accord with federal guidelines and best practices for such programs. The Program has been in existence shy of three (3) years and, as it evolves, aims at raising awareness, and providing education and training, regarding our obligations under federal and state laws for both our administrative and academic endeavors and operations.

### I. Executive Summary:

1. The University Compliance Program continues to evolve by providing awareness, education and training to new employees during orientation.
2. As facilitator of compliance initiatives that cut across University departments and are process-oriented, the University Compliance Officer meets on a regular or frequent basis with individuals who have significant compliance responsibilities over high risk areas in the institution: research, information technology security, purchasing, environmental health and safety and human resources.
3. There are, at present, various working groups that have been convened through the University Compliance Office as follows: 1) to address legal requirements in the hiring of College of Medicine physicians; 2) to study, draft and implement an Ethics in Purchasing policy; 3) to implement the HIPAA requirements at the University; and 4) to create awareness, education and training regarding U.S. copyright laws.

4. Various compliance initiatives have begun with University Compliance Officer involvement since the last report to this Committee. These are summarized in Section III below. Status of previously reported compliance initiatives is summarized in Section IV below.

## II. Status of Institutional Compliance Program at Florida International University:

1. Compliance education begins at new employee orientation. Since November of 2006, new employees at Florida International University learn of the existence of the institutional compliance program and the institution's commitment to a culture that encourages ethical conduct and compliance with the laws during their orientation. This presentation has been well received by new employees and has served to generate questions in the areas of institutional governance, conflicts of interest, the State of Florida's Code of Ethics for Public Officers and Employees, policies and procedures, among others. A copy of this presentation is included in your materials.
2. Senior leadership is kept apprised of the status of compliance issues, concerns and initiatives.
3. An integral part of the University Compliance Program at Florida International University is that of facilitator of compliance initiatives that take place in high risk areas and cut across university departments and functions. In furtherance of this role, the University Compliance Officer meets on a regular or frequent basis with key officers of the Office of Sponsored Research Administration, Information Technology Security, Purchasing, Human Resources and Risk Management and Environmental Health and Safety. These meetings provide the opportunity for frank discussion regarding compliance questions or concerns, as well as progress achieved on various compliance initiative fronts.
4. A brochure explaining the University's commitment to compliance and ethics in the conduct of the University's academic, research, and business endeavors has been approved by the University General Counsel and the Office of the Provost. This brochure is ready for printing and distribution to new employees, and throughout key offices at University Park, Biscayne Bay Campus and the College of Engineering Campus. A copy of this brochure is included in your materials.
5. A departmental e-mail account, [compliance@fiu.edu](mailto:compliance@fiu.edu) has been set up in order to allow an individual to report any perceived lapse in compliance or violation of law. Reference to this departmental e-mail account is prominently featured in the University Compliance Office brochure.

6. No inquiry has yet been received through the departmental e-mail account. However, the University Compliance Officer has been contacted both by phone and via her individual FIU e-mail on several occasions by faculty and staff members as well as, at least on one occasion, by an outsider, a prospective student, regarding University policy and compliance matters.
7. The University's Policies and Procedures Library continues to grow. There are now 318 policies and 72 procedures set forth in the Library.
8. Knowledge regarding the University Policies and Procedures Library also continues to grow. At a recent workshop offered by the Office of Sponsored Research Administration, investigators were asked how many knew or had used this tool and approximately 70% answered affirmatively.

III. Status of specific compliance initiatives not previously reported: Since my last report to this Committee, the University Compliance Office has been involved in a number of compliance related matters and initiatives that are hereby described in summary fashion. They are captured, to the extent possible, by University area:

1. College of Medicine: With the expected increase in College of Medicine faculty hires, a working group comprised of representatives of Academic Affairs, Environmental Health and Safety, Human Resources and Research has been convened in order to ensure that processes to capture specific legal requirements pertinent to the hiring of this group of faculty members are in place and work in as seamless a fashion as possible. A new policy, necessary for disclosure of conflicts of interest in the context of Continuing Medical Education, has been drafted, and is undergoing internal review.
2. Purchasing: A working group consisting of representatives from Purchasing, Office of the General Counsel and Compliance met to discuss and draft a policy addressing the solicitation and receipt of gifts by Florida International University employees. This policy, titled Ethics in Purchasing, has been drafted and is undergoing internal review. It will then be presented to the Operations Committee and the President's Staff for final approval.
3. Sponsored Research: The University's Conflicts of Interest in Research policy was revised and updated in order to more specifically address compliance requirements for federally funded research. This revised policy is now undergoing internal review. Also, since the last report, there has been a review and update of additional Office of Sponsored Research Administration policies and procedures consisting of:
  - Sponsor Invoicing and Payment Processing
  - Tracking Cost Share on Sponsored Project Award

- Subaward Preparation and Payment to Subrecipients on Sponsored Projects
  - No Cost Extensions of Sponsored Projects
  - Close Out of Sponsored Projects
  - Human Subjects Approval Prior to Award Processing
  - Effort Reporting and Certification
  - Export Controls
  - Animal Subjects Approval Prior to Award Processing
  - Transfer of Residual Balances to Miscellaneous Accounts
  - Payroll Clearing Accounts
4. Radiation Control: The University Compliance Officer is assisting Environmental Health and Safety in the review of a new policy titled Security in Laboratories with Special Hazards. This policy is one of several affirmative steps the University is taking in order to strengthen its radiation safety program, and it is part of the University's formal response in order to address recent citations issued by the Florida Department of Health, Bureau of Radiation Control, Radioactive Materials License Program.

IV. Status of previously reported compliance initiatives:

1. Conflict of interest disclosure process via a centralized database: Once the revised Conflicts of Interest in Research policy is finalized, the centralized database project will continue to move forward. The framework for the database already exists and consistent data elements from all forms (academic affairs, research and human resources) are being inputted for testing. This project should be completed within the next academic year cycle for use by the custodians of this information.
2. Development of IT security policies and procedures: With the Gramm-Leach Bliley Act ("GLBA") policy and written information security plan, the University regulation requiring the confidentiality of student education records under the Family Educational Rights and Privacy Act ("FERPA"), and the nearing completion of the implementation of the requirements under the Health Insurance Portability and Accountability Act ("HIPAA"), the University must implement the procedures that allow it to enforce the necessary safeguards which consist of technical standards. Pursuant to these laws and University policies, the following procedures have been drafted and are undergoing internal review:
  - Data Stewardship – this procedure defines the criteria for the use, disclosure, alteration, storage and destruction of Highly Sensitive Data. *Highly Sensitive Data* is defined as information which must be protected from disclosure by state or federal law, or by binding contractual arrangement. Among the types of data included in this category are individually identifiable financial or

health information, social security numbers, credit card information, student education records and proprietary data protected by law or agreement.

- Sharing Access to IT Resources; Password Management – This procedure will define the parameters for password development for individual work stations and servers. While the Active Directory implementation will eventually enable automatic password management, some systems as well as servers will require manual password management.
- System and Application Management – This procedure defines the criteria for ensuring that systems are maintained with regards to Operating System Updates and Anti-virus.

The following IT security policies are undergoing minor revisions and will be presented soon by the IT Security Officer for approval:

- Responsibilities for FIU IT Administrators
- Application Software Purchasing, Licensing and Use
- Acceptable Use Policy
- Electronic Mail
- Revocation of Student Networking Privileges

In order to continue with education and training and due to the overwhelming positive response received to the IT Security Awareness Conference presented by the IT Security Office in early February, the IT Security Officer will be posting video coverage of the conference at [security.fiu.edu](http://security.fiu.edu).

3. Implementation of the Health Insurance Portability and Accountability Act and related Privacy and Security regulations (“HIPAA”) is under way. A HIPAA Committee has been constituted which is meeting on a regular basis with a projected time line for implementation of August 1, 2007. The University’s HIPAA umbrella policy covering all administrative requirements and the Notice of Privacy Practices have been presented to Dr. Rosa Jones for approval and, upon her approval, will be presented to the Operations Committee. As part of the implementation process, the HIPAA Committee must address the audit findings regarding security within University Health Services systems. This project is fairly significant in scope because the University will be able to add to its health care components all other units that become a covered entity as a health care provider. One such covered entity will be the College of Medicine once its physicians start conducting electronic (standard) transactions.
4. Policies and procedures for Governmental Relations are being developed. An initial set of policies, forms and guidance to address state and federal laws

regarding lobbying has been drafted by Associate Director of the Office of Sponsored Research Administration Diana Oliva. These documents are still in their initial phase of review. Completion of these policies should take place within the next ninety (90) days.

5. The framework for compliance with the Digital Millenium Copyright Act of 1998 (DMCA) has been developed. Framework documentation consisting of notice to be placed on the University's web site, agency designation and policy have been reviewed and approved by Executive Vice Provost Douglas Wartzok, Chief Information Officer Min Yao, FIU Online Learning Vice Provost Joyce Elam and University General Counsel Cristina Mendoza. This documentation is ready to be presented to the Operations Committee and the President's Staff for final approval. In addition, the University should give to copyright laws greater visibility by providing awareness, education and training opportunities to its faculty, staff and students. In order to develop these materials, the University Compliance Office is convening a task force that will include representatives from Academic Affairs, FIU Online Learning, Information Technology Security and Student Affairs. This awareness, education and training task force should convene within the next 30 days and develop a time line for launch of awareness and education campaign.
6. Development of a whistleblower protection regulation is in progress. Initial meeting to discuss the content of this regulation has taken place and decision to study models from other institutions followed. Task force to come up with this regulation consists of representatives from Internal Audit, General Counsel and Compliance. This regulation should be completed within the next sixty (60) days.
7. Policies in the areas of Enrollment Management, Intercollegiate Athletics, Environmental Health and Safety, University Foundation and Business and Finance are in various stages of development, revision and review. University Compliance Officer works with representatives from these areas in order to complete this process. It is expected that the policies and procedures presented to date shall be disposed of within the next ninety (90) days.

I respectfully submit this report to the Finance and Audit Committee of the Florida International University Board of Trustees in anticipation of the meeting scheduled to take place on April 19, 2007. I welcome your questions, comments and concerns. Thank you.



# Florida International University Compliance 101

**Presentation to  
New University Employees**

Leyda Benitez  
University Compliance Officer  
March 2007

# Welcome to the University

- Understanding the “Compliance Basics”
- Why should you care?
- Where can you go for help?



The University Compliance Program is a means to an end:

To demonstrate the University's commitment to a culture that encourages ethical conduct and commitment to compliance with laws

# ★ RULES OF THE GAME ★ FEDERAL AND STATE LAWS, REGULATIONS AND

FIU is committed to:

- Freedom of thought and expression
- Excellence in teaching and in the pursuit, generation, dissemination, and application of knowledge
- Respect for the dignity of the individual
- Respect for the environment
- Honesty, integrity, and truth
- Diversity
- Strategic, operational, and service excellence

- FIU's institutional values do not exist in a vacuum
- For each value there are laws, rules, regulations the University must follow as:
  - A single legal entity,
  - Public,
  - Employer,
  - Recipient/Steward of federal and state funds

# Basic Areas of Compliance Concerns

Anything that could adversely impact:

- Academic/Research Integrity
  - Examples:
    - Plagiarism
    - Falsification of Data
    - Conflicts of Interest



## (Compliance Concerns.... cont'd)

Anything that could adversely impact:

- The University as steward of state and federal resources and funds
  - Examples:
    - Misuse of public position or funds
    - Misappropriation
    - Failure to follow budgetary guidelines (University's, sponsor's, donor's, *etc.*)

## **(Compliance Concerns.... cont'd)**

Anything that could adversely impact:

- The University's reputation for how it respects the dignity of the individual
  - Examples:
    - Discrimination
    - Sexual Harassment
    - Privacy
    - Retaliation

## NO SURPRISE THEN...

- There are laws, regulations, University policies addressing each of these compliance concerns, including a State of Florida “Code of Ethics” that applies to FIU employees
- Not everyone is expected to be a subject matter “expert”
- BUT DO ask questions and raise concerns

# Why should you care?

- Care about advancing the University's Mission, Vision and Values Statement
- Care about the University's reputation in academics, research, community service, athletics
- Care about the stature of the University vis-à-vis its governing board (Board of Trustees) and your community



- Care about yourself individually
  - Many laws carry possibility of individual liability

*BUT*

- As a State of Florida employee,
  - If acting within the scope and course of your employment
  - In good faith
  - Not with malicious purpose or willful disregard
- The State may step into your shoes and protect you from liability

# Where can you go for help?

- Your immediate supervisor
- His/her supervisor
- Point person with compliance responsibility for the area

- Please refer to University Compliance Directory

[www.compliance.fiu.edu](http://www.compliance.fiu.edu)





FLORIDA INTERNATIONAL UNIVERSITY

## UNIVERSITY COMPLIANCE OFFICE



ABOUT THE OFFICE

STAFF

COMPLIANCE PROGRAM  
INITIATIVE

ETHICS

COMPLIANCE DIRECTORY

UNIVERSITY  
REGULATIONS

UNIVERSITY RULES

UNIVERSITY POLICIES  
& PROCEDURESCOMPLIANCE TOOLS  
& LINKSCOMPLIANCE EDUCATION  
& TRAINING

## Compliance Directory

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z

## A

TOPIC	CONTACT PERSON	TELEPHONE
Academic Misconduct	Kenneth Johnson, Vice Provost, Academic Affairs	305-348-2168
	Rosa L. Jones, Vice President, Student Affairs and Undergraduate Education	305-348-2797
Americans With Disabilities Act	Staff:	
	Maria Alam, Assistant Vice President, Human Resources	305-348-2190
	Students:	
	Julio Cesar Garcia, Director, Office Of Disability Services	305-348-3532
Athletics	Pete Garcia , Director of Athletics, Intercollegiate Athletics	305-348-2756
	Julie Berg, Senior Associate Athletic Director and Senior Woman Administrator, Intercollegiate	305-348-2352
	Jody Smith, Associate Athletic Director, Athletics Compliance, Intercollegiate Athletics	305-348-2843
	Stephen M. Fain, Faculty Athletic Representative, Professor Emeritus, Honors College Fellow	305-348-8320

## B

TOPIC	CONTACT PERSON	TELEPHONE
Biohazardous Waste Generation and Disposal	Jennifer Mwaisela, Assistant Vice President, Environmental Health and Safety Health	305-348-2621
Biosafety	Tamece Knowles, Biosafety Officer, Environmental Health and Safety Health	305-348-3387
Bloodborne Pathogens	Jennifer Mwaisela, Assistant Vice President, Environmental Health and Safety	305-348-2621
Booster Clubs	Joe Velasco, Executive Director, Athletic Association, Intercollegiate Athletics	305-348-0504
Building Codes	Victor Citarella, Associate Vice President, Facilities Management	305-348-4000

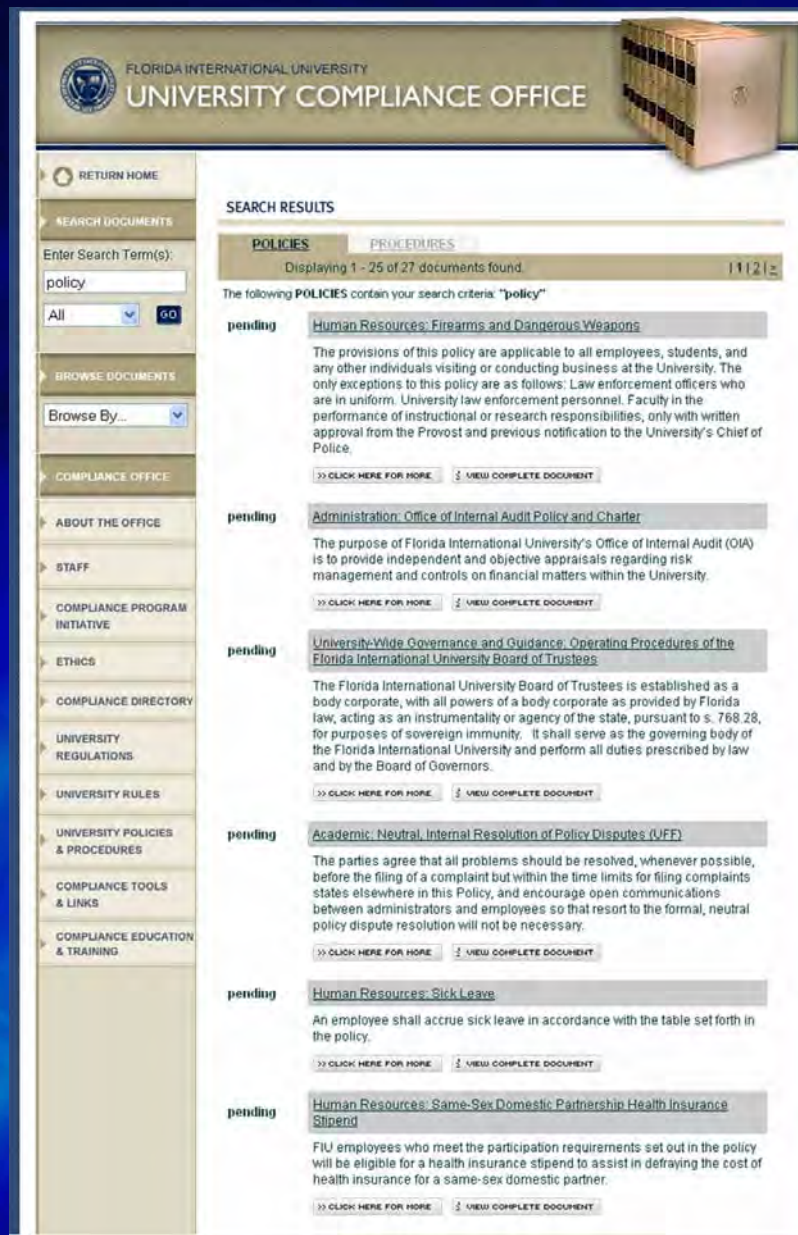
## C

TOPIC	CONTACT PERSON	TELEPHONE
Career Services (Internships)	Ivette Duarte, Career Consultant, Internships	305-348-4067
Chemical Hygiene	Tamece Knowles, Biosafety Officer, Environmental Health and Safety	305-348-3387

- And the University's Policies and Procedures Library

[www.policies.fiu.edu](http://www.policies.fiu.edu)

Search by  
Key Word



The screenshot displays the Florida International University Compliance Office website. A large blue arrow points from the text 'Search by Key Word' to the search bar on the left. The search bar contains the text 'policy'. Below the search bar, there are links for 'RETURN HOME', 'SEARCH DOCUMENTS', 'BROWSE DOCUMENTS', 'COMPLIANCE OFFICE', 'ABOUT THE OFFICE', 'STAFF', 'COMPLIANCE PROGRAM INITIATIVE', 'ETHICS', 'COMPLIANCE DIRECTORY', 'UNIVERSITY REGULATIONS', 'UNIVERSITY RULES', 'UNIVERSITY POLICIES & PROCEDURES', 'COMPLIANCE TOOLS & LINKS', and 'COMPLIANCE EDUCATION & TRAINING'. The main content area shows 'SEARCH RESULTS' for 'POLICIES' and 'PROCEDURES'. It indicates that 1 - 25 of 27 documents were found. The results are listed under the heading 'The following POLICIES contain your search criteria "policy"'. The results are as follows:

STATUS	POLICY TITLE	SUMMARY	ACTIONS
pending	<a href="#">Human Resources: Firearms and Dangerous Weapons</a>	The provisions of this policy are applicable to all employees, students, and any other individuals visiting or conducting business at the University. The only exceptions to this policy are as follows: Law enforcement officers who are in uniform, University law enforcement personnel. Faculty in the performance of instructional or research responsibilities, only with written approval from the Provost and previous notification to the University's Chief of Police.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>
pending	<a href="#">Administration: Office of Internal Audit Policy and Charter</a>	The purpose of Florida International University's Office of Internal Audit (OIA) is to provide independent and objective appraisals regarding risk management and controls on financial matters within the University.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>
pending	<a href="#">University-Wide Governance and Guidance: Operating Procedures of the Florida International University Board of Trustees</a>	The Florida International University Board of Trustees is established as a body corporate, with all powers of a body corporate as provided by Florida law, acting as an instrumentality or agency of the state, pursuant to s. 768.28, for purposes of sovereign immunity. It shall serve as the governing body of the Florida International University and perform all duties prescribed by law and by the Board of Governors.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>
pending	<a href="#">Academic: Neutral, Internal Resolution of Policy Disputes (UFR)</a>	The parties agree that all problems should be resolved, whenever possible, before the filing of a complaint but within the time limits for filing complaints states elsewhere in this Policy, and encourage open communications between administrators and employees so that resort to the formal, neutral policy dispute resolution will not be necessary.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>
pending	<a href="#">Human Resources: Sick Leave</a>	An employee shall accrue sick leave in accordance with the table set forth in the policy.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>
pending	<a href="#">Human Resources: Same-Sex Domestic Partnership Health Insurance Stipend</a>	FIU employees who meet the participation requirements set out in the policy will be eligible for a health insurance stipend to assist in defraying the cost of health insurance for a same-sex domestic partner.	<a href="#">CLICK HERE FOR MORE</a> <a href="#">VIEW COMPLETE DOCUMENT</a>



Search by  
Subject  
Category



FLORIDA INTERNATIONAL UNIVERSITY  
UNIVERSITY COMPLIANCE OFFICE

RETURN HOME

SEARCH DOCUMENTS

Enter Search Term(s):

All

BROWSE DOCUMENTS

Subject Category

COMPLIANCE OFFICE

ABOUT THE OFFICE

STAFF

COMPLIANCE PROGRAM INITIATIVE

ETHICS

COMPLIANCE DIRECTORY

UNIVERSITY REGULATIONS

UNIVERSITY RULES

UNIVERSITY POLICIES & PROCEDURES

COMPLIANCE TOOLS & LINKS

COMPLIANCE EDUCATION & TRAINING

BROWSE BY SUBJECT CATEGORY

A B C D E F G H I J K L M N O P Q R S T U V W X Y Z ALL

**POLICIES** PROCEDURES

Displaying 1 - 25 of 88 item(s) found.

1 2 3 4 5

**A**

**Administration**

- [Business Services Scope of Services](#)
- [Facilities Management Scope of Services](#)
- [Investment Policy Statement \(IPS\)](#)
- [Neutral Internal Resolution of Policy Disputes \(UFF\)](#)
- [Presidential Signing Authority](#)
- [University Building Code Enforcement Regulations](#)

**Admissions**

- [Admissions Application File](#)
- [International Admissions](#)
- [Official Transcripts and Credentials](#)

**Americans With Disabilities Act**

- [Access Services for Persons With Disabilities at University Libraries](#)
- [Animals in the Workplace](#)
- [Animals in the Workplace \(SEIU\)](#)
- [Qualifying for Services From the Disability Resource Center](#)
- [Severe Weather/Emergency Closing](#)
- [Severe Weather/Emergency Closing \(SEIU\)](#)

**Athletics**

**B**

**Biohazardous Waste Generation and Disposal**

**Biosafety**

- [Export Controls](#)
- [Identification of Special Handling Requirements for Proposal](#)
- [Purchase or Receipt of Items Requiring EH&S Prior Approval](#)

**Bloodborne Pathogens**

- [Purchase or Receipt of Items Requiring EH&S Prior Approval](#)

**Board of Trustees**

- [Investment Policy Statement \(IPS\)](#)
- [Presidential Signing Authority](#)
- [Trustee Correspondence Policy](#)

**Booster Clubs**

**Building Codes**

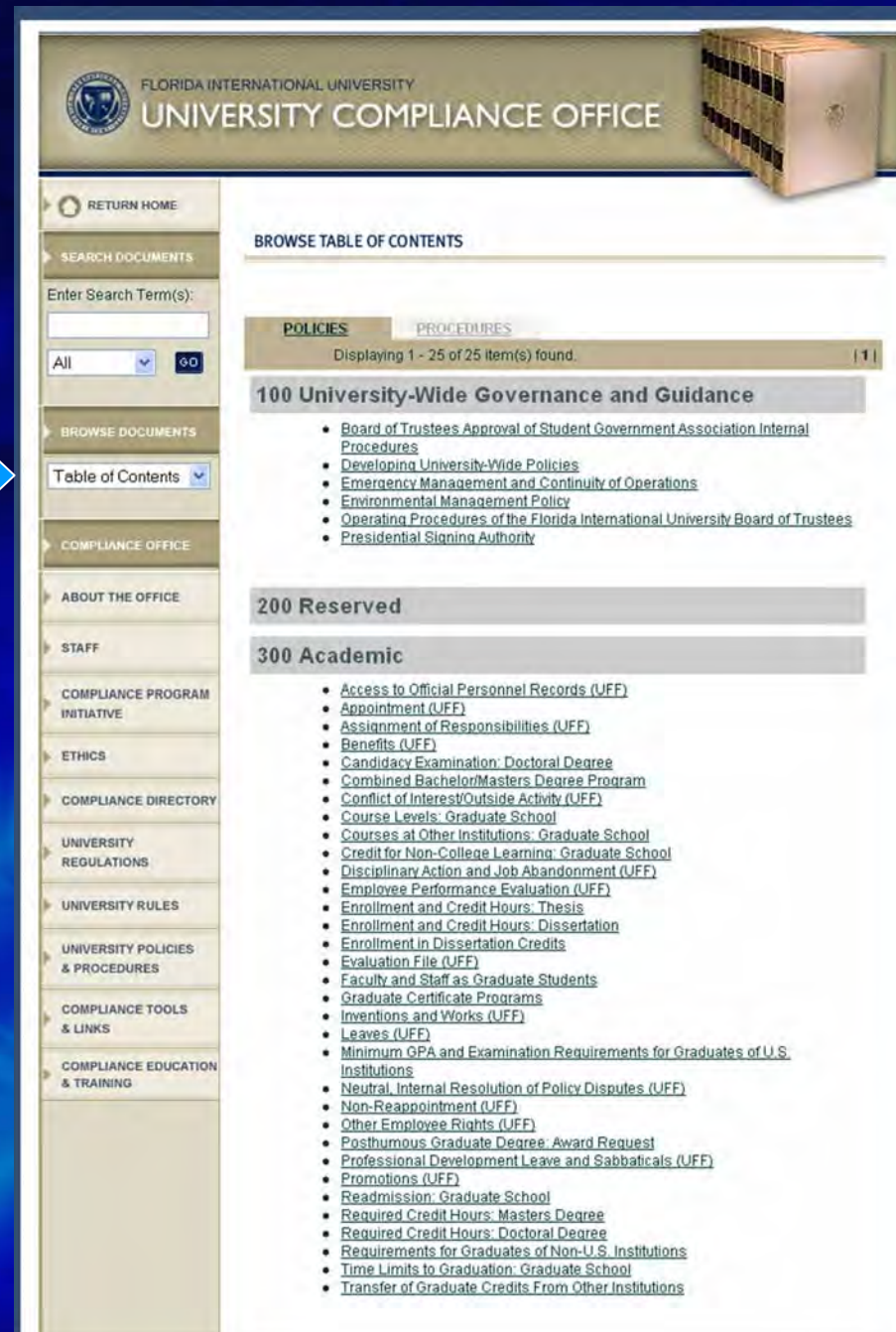
**C**

**Career Services**

- [Career Services](#)
- [Career Services Internships](#)

**Chemical Hygiene**

Search by  
Table of  
Contents



FLORIDA INTERNATIONAL UNIVERSITY  
UNIVERSITY COMPLIANCE OFFICE

RETURN HOME

SEARCH DOCUMENTS

Enter Search Term(s):

All

BROWSE DOCUMENTS

Table of Contents

COMPLIANCE OFFICE

ABOUT THE OFFICE

STAFF

COMPLIANCE PROGRAM INITIATIVE

ETHICS

COMPLIANCE DIRECTORY

UNIVERSITY REGULATIONS

UNIVERSITY RULES

UNIVERSITY POLICIES & PROCEDURES

COMPLIANCE TOOLS & LINKS

COMPLIANCE EDUCATION & TRAINING

BROWSE TABLE OF CONTENTS

POLICIES PROCEDURES

Displaying 1 - 25 of 25 item(s) found.

100 University-Wide Governance and Guidance

- Board of Trustees Approval of Student Government Association Internal Procedures
- Developing University-Wide Policies
- Emergency Management and Continuity of Operations
- Environmental Management Policy
- Operating Procedures of the Florida International University Board of Trustees
- Presidential Signing Authority

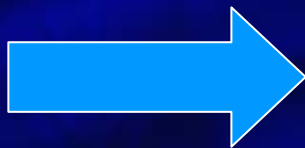
200 Reserved

300 Academic

- Access to Official Personnel Records (UFF)
- Appointment (UFF)
- Assignment of Responsibilities (UFF)
- Benefits (UFF)
- Candidacy Examination: Doctoral Degree
- Combined Bachelor/Masters Degree Program
- Conflict of Interest/Outside Activity (UFF)
- Course Levels: Graduate School
- Courses at Other Institutions: Graduate School
- Credit for Non-College Learning: Graduate School
- Disciplinary Action and Job Abandonment (UFF)
- Employee Performance Evaluation (UFF)
- Enrollment and Credit Hours: Thesis
- Enrollment and Credit Hours: Dissertation
- Enrollment in Dissertation Credits
- Evaluation File (UFF)
- Faculty and Staff as Graduate Students
- Graduate Certificate Programs
- Inventions and Works (UFF)
- Leaves (UFF)
- Minimum GPA and Examination Requirements for Graduates of U.S. Institutions
- Neutral, Internal Resolution of Policy Disputes (UFF)
- Non-Reappointment (UFF)
- Other Employee Rights (UFF)
- Posthumous Graduate Degree Award Request
- Professional Development Leave and Sabbaticals (UFF)
- Promotions (UFF)
- Readmission: Graduate School
- Required Credit Hours: Masters Degree
- Required Credit Hours: Doctoral Degree
- Requirements for Graduates of Non-U.S. Institutions
- Time Limits to Graduation: Graduate School
- Transfer of Graduate Credits From Other Institutions



Search by  
Titles A-Z



FLORIDA INTERNATIONAL UNIVERSITY  
UNIVERSITY COMPLIANCE OFFICE

RETURN HOME

SEARCH DOCUMENTS

Enter Search Term(s):

All

BROWSE DOCUMENTS

Titles A-Z

COMPLIANCE OFFICE

ABOUT THE OFFICE

STAFF

COMPLIANCE PROGRAM INITIATIVE

ETHICS

COMPLIANCE DIRECTORY

UNIVERSITY REGULATIONS

UNIVERSITY RULES

UNIVERSITY POLICIES & PROCEDURES

COMPLIANCE TOOLS & LINKS

COMPLIANCE EDUCATION & TRAINING

BROWSE BY DOCUMENT TITLE

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 ALL

POLICIES PROCEDURES

Displaying 1 - 25 of 255 item(s) found.

A

- [Academic Tuition Waivers](#)
- [Access Services for Persons With Disabilities at University Libraries](#)
- [Access to Official Personnel Records](#)
- [Access to Official Personnel Records \(SEIU\)](#)
- [Access to Official Personnel Records \(UFF\)](#)
- [Adding and Dropping of Courses](#)
- [Admissions Application File](#)
- [Advertising](#)
- [Advertising \(SEIU\)](#)
- [Alternative Work Site \(Flex Place\)](#)
- [Animal Subjects Approval Prior to Award Processing](#)
- [Animals in the Workplace](#)
- [Animals in the Workplace \(SEIU\)](#)
- [Anonymous Complaints](#)
- [Anonymous Complaints \(SEIU\)](#)
- [Appointment \(UFF\)](#)
- [Approval of Perquisites](#)
- [Approval of Perquisites \(SEIU\)](#)
- [Approvals Required on Internal Clearance Form Prior to Proposal Submission to OSRA](#)
- [Assignment of Responsibilities \(UFF\)](#)
- [Auditing Courses](#)

B

- [Benefits \(UFF\)](#)
- [Bereavement Leave](#)
- [Bereavement Leave \(SEIU\)](#)
- [Board of Trustees Approval of Student Government Association Internal Procedures](#)

Displaying 1 - 25 of 255 item(s) found.

1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 ALL

Search by  
University  
Areas



FLORIDA INTERNATIONAL UNIVERSITY  
UNIVERSITY COMPLIANCE OFFICE

RETURN HOME

SEARCH DOCUMENTS

Enter Search Term(s):

All

BROWSE DOCUMENTS

University Areas

COMPLIANCE OFFICE

ABOUT THE OFFICE

STAFF

COMPLIANCE PROGRAM INITIATIVE

ETHICS

COMPLIANCE DIRECTORY

UNIVERSITY REGULATIONS

UNIVERSITY RULES

UNIVERSITY POLICIES & PROCEDURES

COMPLIANCE TOOLS & LINKS

COMPLIANCE EDUCATION & TRAINING

BROWSE BY UNIVERSITY AREA

[Academic Affairs](#) | [Administration](#) | [Board of Trustees](#) | [Business and Finance](#) | [Enrollment Services](#) | [FIU Foundation, Inc.](#) | [FIU Libraries](#) | [Human Resources](#) | [Information Technology](#) | [Office of Sponsored Research Administration](#) | [Office of the General Counsel](#) | [Office of the President](#) | [Other Areas](#) | [Student Affairs](#) | [University Graduate School](#) | [ALL](#)

POLICIES PROCEDURES

Displaying 1 - 25 of 255 item(s) found. 1 2 3 4 5 6 7 8 9 10 11 12

### Academic Affairs

Division of Academic Affairs

- [Access to Official Personnel Records \(UFF\)](#)
- [Appointment \(UFF\)](#)
- [Assignment of Responsibilities \(UFF\)](#)
- [Benefits \(UFF\)](#)
- [Conflict of Interest/Outside Activity \(UFF\)](#)
- [Disciplinary Action and Job Abandonment \(UFF\)](#)
- [Employee Performance Evaluation \(UFF\)](#)
- [Evaluation File \(UFF\)](#)
- [Inventions and Works \(UFF\)](#)
- [Leaves \(UFF\)](#)
- [Neutral Internal Resolution of Policy Disputes \(UFF\)](#)
- [Non-Reappointment \(UFF\)](#)
- [Other Employee Rights \(UFF\)](#)
- [Professional Development Leave and Sabbaticals \(UFF\)](#)
- [Promotions \(UFF\)](#)

### Administration

Department of Facilities Management

- [Facilities Management Scope of Services](#)
- [University Building Code Enforcement Regulations](#)

Office of Business Services

- [Business Services Scope of Services](#)

### Board of Trustees

Board of Trustees

- [Board of Trustees Approval of Student Government Association Internal Procedures](#)
- [Operating Procedures of the Florida International University Board of Trustees](#)
- [Trustee Correspondence Policy](#)

### Business and Finance

Office of the Controller

- [Sales Tax](#)
- [Tax - Unrelated Business Income](#)

- And you can always go to the University Compliance Office for assistance

Leyda Benitez  
University Compliance Officer  
[benitezl@fiu.edu](mailto:benitezl@fiu.edu)

Telephone: (305) 348-2216  
Facsimile: (305) 348-7657



University Compliance Office  
University Park, PC 520  
11200 S.W. Eighth Street  
Miami, Florida 33199

[compliance@fiu.edu](mailto:compliance@fiu.edu)

Telephone: (305) 348-2216  
Facsimile: (305) 348-7657

Do you have a  
concern about non-  
compliance?

## University Compliance Office



University Compliance Office  
Florida International University  
University Park, PC 520  
11200 S.W. Eighth Street  
Miami, Florida 33199

Phone: 305-348-2216  
Fax: 305-348-7657  
E-mail: [compliance@fiu.edu](mailto:compliance@fiu.edu)

What is the University  
Compliance Office?

*The University Compliance Office is responsible for the design, implementation and maintenance of an Institutional Compliance Program that promotes a culture of ethics and compliance within the University community. Faculty, staff and students who work on behalf of Florida International University assume responsibility for conducting themselves within the law and in keeping with the ethical standards of the University, the Board of Governors and the State of Florida.*

*The University Compliance Office seeks to assist the University community by strengthening the infrastructure that is already in place to support compliance.*

*Please visit the University Compliance Office's website at [compliance.fiu.edu](http://compliance.fiu.edu) for additional tools and resources that you may find useful.*

What should I do?

*If you have a concern about an activity at Florida International University that you think is not in compliance with laws, regulations or University policy, you can always go to your immediate supervisor, instructor, or adviser and address your concerns directly with him or her. If for any reason you are uncomfortable, you may always address your concern directly with the University Compliance Office.*

*Florida International University employees are strongly encouraged to ask questions and raise concerns. Remember, by helping to identify problems early, you not only keep them from getting bigger, you also help advance FIU's vision as a Top, Urban, Public, Research University.*

## Florida International University's Institutional Mission

Florida International University is an urban, multi-campus, research university serving southeast Florida, the state, the nation, and the international community. Our mission is to impart knowledge through excellent teaching, promote public service, discover new knowledge, solve problems through research, and foster creativity.

When should I call?

*Does it just feel like the right thing to do?*

*Does it impact academic or research integrity?*

*Does it involve the misuse of state or federal resources or funds?*

*Does it compromise respect for the dignity of the individual?*

*Do my actions comply with applicable restrictions (FIU, sponsor, etc.)?*

*Is this something that my colleagues, friends, and family would see as appropriate, or would they appreciate it?*

*Would I be concerned about seeing a report about this on television, or reading about it in the newspaper?*

How do I reach the Compliance Office?

*The University Compliance Office is located on the University Park Campus in PC 520.*

*You may e-mail the Office at [compliance@fiu.edu](mailto:compliance@fiu.edu).*

*You may also reach Leyda Benitez, University Compliance Officer, by telephone at (305) 348-2216, or by facsimile at (305) 348-7657.*

### For guidance contact:

Leyda Benitez  
University Compliance Officer

University Compliance Office  
Florida International University  
University Park, PC 520  
11200 S.W. Eighth Street  
Miami, Florida 33199

Telephone: (305) 348-2216  
Facsimile: (305) 348-7657

E-mail: [compliance@fiu.edu](mailto:compliance@fiu.edu)

## Florida International University's Institutional Values

As an institution of higher learning, Florida International University is committed to:

- Freedom of thought and expression
- Excellence in teaching and in the pursuit, generation, dissemination, and application of knowledge
- Respect for the dignity of the individual
- Respect for the environment
- Honesty, integrity, and truth
- Diversity
- Strategic, operational, and service excellence