

**AGENDA**  
**BOARD OF VISITORS**  
**AUDIT, RISK AND COMPLIANCE COMMITTEE MEETING**

Bishop Kim W. Brown, Chair  
Tuesday, November 16, 2021  
Time: 10:00 am

Campus Location:                      Zoom Webinar Participation  
Norfolk State University            [https://nsu-edu.zoom.us/webinar/register/WN\\_gcKSnYiMQiu6o7X2fMB1TQ](https://nsu-edu.zoom.us/webinar/register/WN_gcKSnYiMQiu6o7X2fMB1TQ)  
700 Park Avenue, Norfolk, VA 23504  
Student Center, Board Room, 3<sup>rd</sup> Fl., Suite 301

- I. Call to Order/Establish Quorum
- II. Recommend Approval of Electronic Participation
- III. Recommend Approval of the April 27, 2021, Committee Minutes
- IV. Discussion Items
  - a. University Compliance Program Development
    - 1. Timeline (10 min)
    - 2. Calendar and Inventory (10 min)
    - 3. Compliance Alliance (10 min)
    - 4. Compliance Assessment Process (10 min)
- V. Closed Meeting – Pursuant to §2.2-3711A.1, 4, 7 and 8, Code of Virginia**
- VI. Open Meeting (10 Minutes)
  - Closed Meeting Certification
  - Actions/Motions
- VII. Public Comment
- VIII. Adjournment

**All times are approximate and the Board reserves the right to adjust its schedule as necessary.**  
**In compliance with the Virginia Freedom of Information Act, please be advised that during the course of this meeting**  
**there will be no opportunity for public comment.**

**Audit, Risk and Compliance Committee**

*Bishop Kim W. Brown, Chair*

Heidi W. Abbott

Dr. Terri L. Best

Dr. Deborah M. DiCroce

Delbert Parks

Joan G. Wilmer

*Staff:*

*Derika Burgess, Chief Audit Executive*

*Dr. Dawn M. Hess, Chief Compliance Officer*

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*The President participates in all Committee meetings.*

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# NORFOLK STATE UNIVERSITY

Audit, Risk, and Compliance Committee  
November 16, 2021

# Agenda

- I. Call to Order/Establish Quorum
- II. Recommend Approval of the August 27, 2021 Committee Minutes
- III. Discussion Items
  - a. University Compliance Program Development
    - a. Timeline (10 min)
    - b. Calendar and Inventory (10 min)
    - c. Compliance Alliance (10 min)
    - d. Compliance Assessment Process (10 min)
- IV. ***Closed Meeting – Pursuant to §2.2-3711A.1, 4, 7 and 8, Code of Virginia (45 min)***
- V. Open Meeting (10 min)
  - Closed Meeting Certification
  - Actions/Motions
- VI. Public Comment
- VII. Adjournment

# University Compliance Program Development



= Integrated  
& On-Going



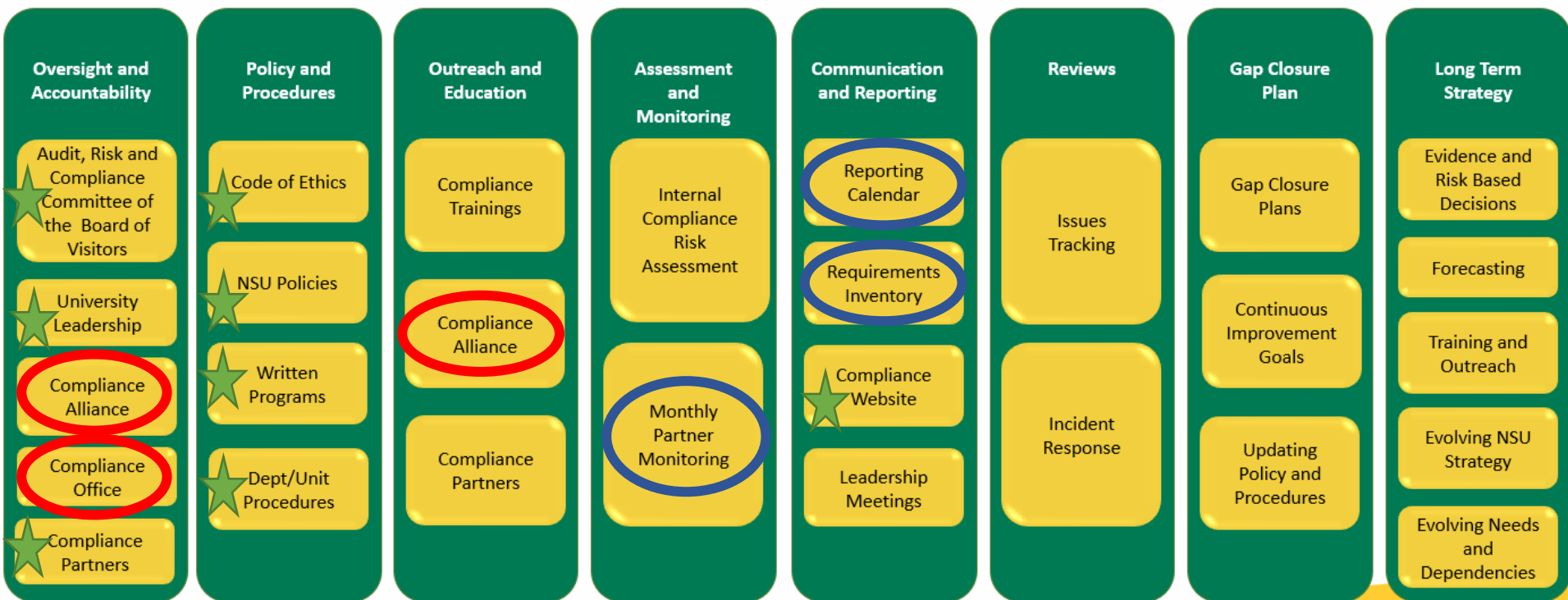
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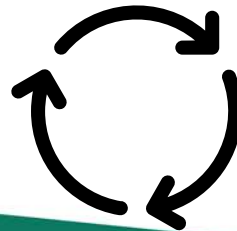


## NSU Compliance Ecosystem



# University Compliance Program Development: Timeline

	Prior to March 2021	Summer/Fall 2021	Winter 2021/Spring 2022	Beyond Spring 2022 - 2024
<b>Oversight and Accountability</b>	<ul style="list-style-type: none"> <li>Audit, Risk and Compliance Committee of the Board of Visitors</li> <li>University Leadership</li> </ul>	<ul style="list-style-type: none"> <li>Compliance Partners</li> </ul>	<ul style="list-style-type: none"> <li>Compliance Alliance</li> <li>Compliance Office</li> </ul>	
<b>Policy and Procedures</b>	<ul style="list-style-type: none"> <li>Code of Ethics</li> <li>NSU Policies</li> <li>Written Programs</li> <li>Department/Unit Procedures</li> </ul>			
<b>Outreach and Education</b>			<ul style="list-style-type: none"> <li>Compliance Alliance</li> </ul>	<ul style="list-style-type: none"> <li>Compliance Partners Education/Outreach</li> <li>Compliance Trainings</li> </ul>
<b>Assessment and Monitoring</b>		<ul style="list-style-type: none"> <li>Monthly Partner Monitoring</li> </ul>		<ul style="list-style-type: none"> <li>Internal Compliance Risk Assessment</li> </ul>
<b>Communication and Reporting</b>		<ul style="list-style-type: none"> <li>Compliance Website</li> </ul>	<ul style="list-style-type: none"> <li>Reporting Calendar</li> <li>Requirements Inventory</li> </ul>	<ul style="list-style-type: none"> <li>Leadership Meetings</li> </ul>
			<b>Reviews</b>	<ul style="list-style-type: none"> <li>Issues Tracking</li> <li>Incident Response</li> </ul>
			<b>Gap Closure Plans</b>	<ul style="list-style-type: none"> <li>Gap Closure Plans</li> <li>Continuous Improvement Goals</li> <li>Updating Policy and Procedures</li> </ul>
			<b>Long Term Strategy</b>	<ul style="list-style-type: none"> <li>Evidence and Decision Making</li> <li>Forecasting</li> <li>Evolving NSU Strategy, Needs &amp; Dependencies</li> </ul>



# University Compliance Program

## Implementing



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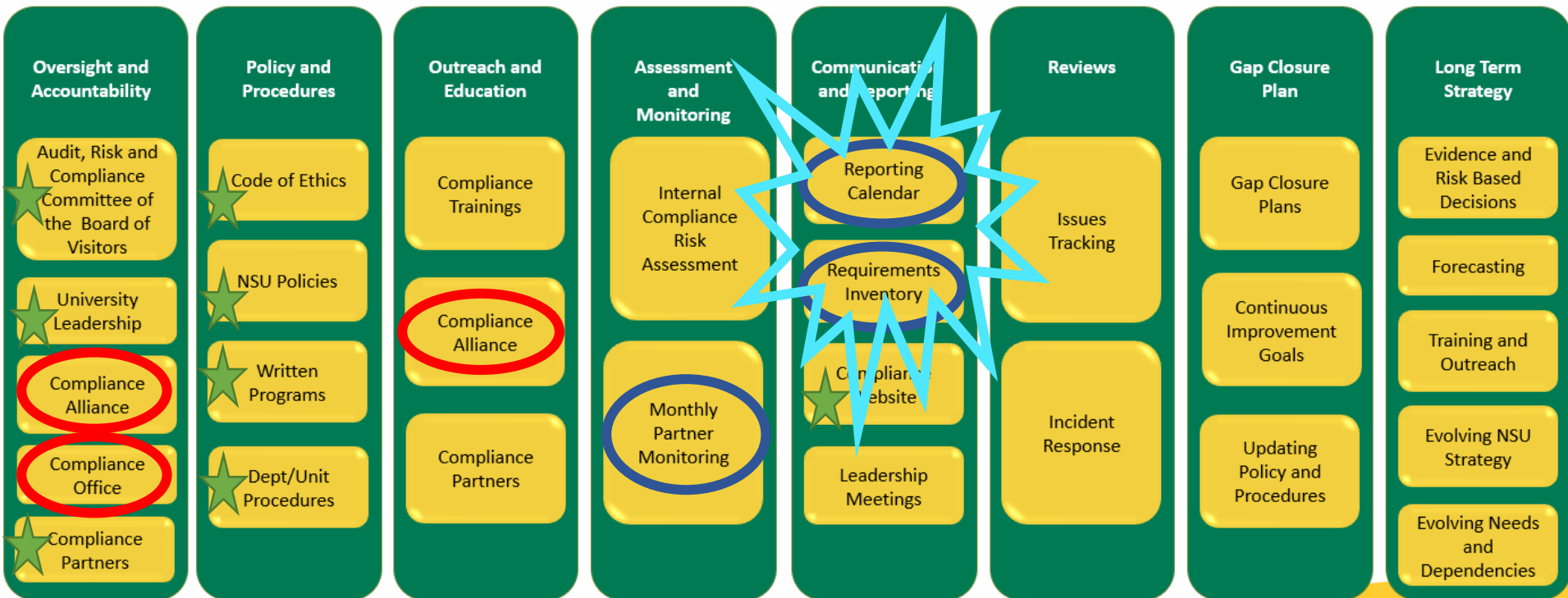
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## NSU Compliance Ecosystem



# Implementing: Compliance Reporting Calendar and Requirements Inventory

Title or Compliance Activity	Statute(s)/ Other Authority/Regulation/Guidance	Statute(s)/ Other Authority/Regulation/Guidance 2	Statutory Summary/Description	Frequency
Virginia Freedom of Information Act (FOIA) Board Minutes	<a href="#">Code of Virginia §2.2-3708(F)</a>	<a href="#">Code of Virginia §2.2-3707.1</a>	If the Board of Visitors (a public body as defined in the Act) meets by electronic communication means, at any time during the calendar year, under the requirements of the Act, a report must be submitted to the Virginia Freedom of Information Advisory Council and the Joint Commission on Technology and Science by December 15th of that year. Details of what must be included in the report are included in the statute.	Annually

Executive	Accountable (AVP, Executive Director or Equivalent Title)	Responsible Operational Office	Responsible Individual Accountable for Compliance Oversight	Successor for Responsible Individual
President's Office	President's Office	Chief of Staff	Ms. Inda Walker, Board Liaison	

Routine Regulatory Reports, Registrations, and Applications	Requesting Agency	Routine Due Dates	Exact Due Dates
Electronic Communication Meetings Report	Virginia Freedom of Information Advisory Council	December	12/15/2021

## 593 Compliance Related Activities

- Identified
  - Inventoried
    - Calendarized
      - Linked Responsibility
        - Determined Due Dates
        - Documented Last Submission



# University Compliance Office Program

## Developing

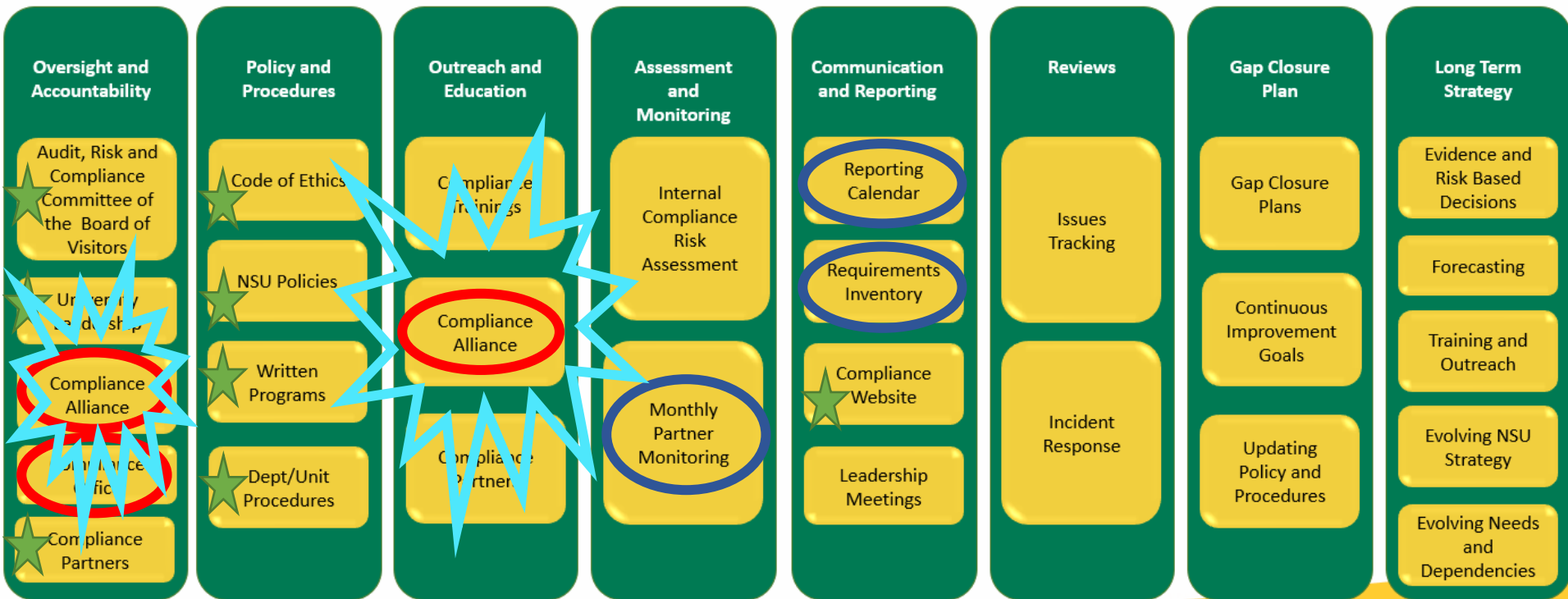
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Implementing

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## NSU Compliance Ecosystem



Compliance Program



- Oversight and Accountability
- Policy and Procedures
- Outreach and Education
- Assessment and Monitoring
- Communication and Reporting
- Reviews
- Gap Closure Plans
- Long Term Strategy

# Compliance Alliance

***Summary Mission Statement: Understand and effectively manage compliance risks to align with NSU's strategy, seek to protect its reputation and sustain its mission***



- Identify current and emerging compliance risks
- Assist in designing and maintaining programs
- Assist with development/review of policies/procedures
- Assist with gap closure plan monitoring
- Share best practices
- Coordinate across functions
- Review proposed HE legislation
- Discuss HE enforcement actions

# University Compliance Program

## Near Future



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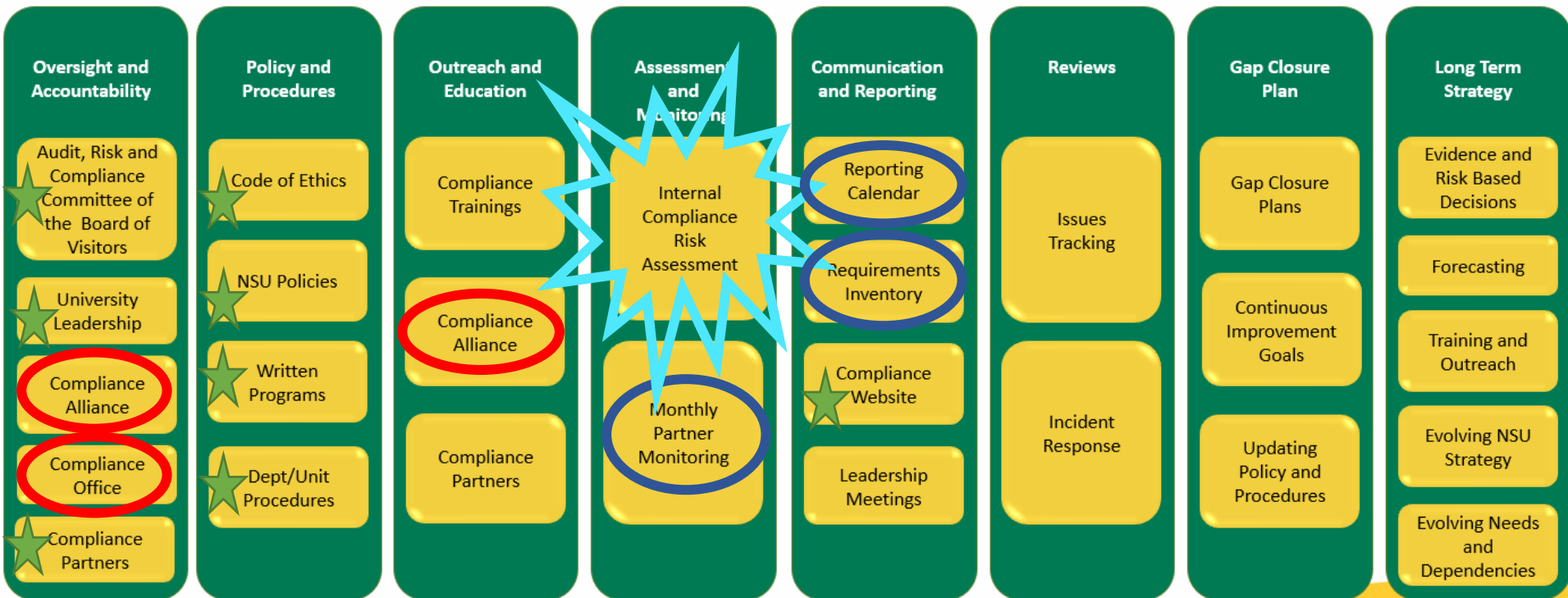
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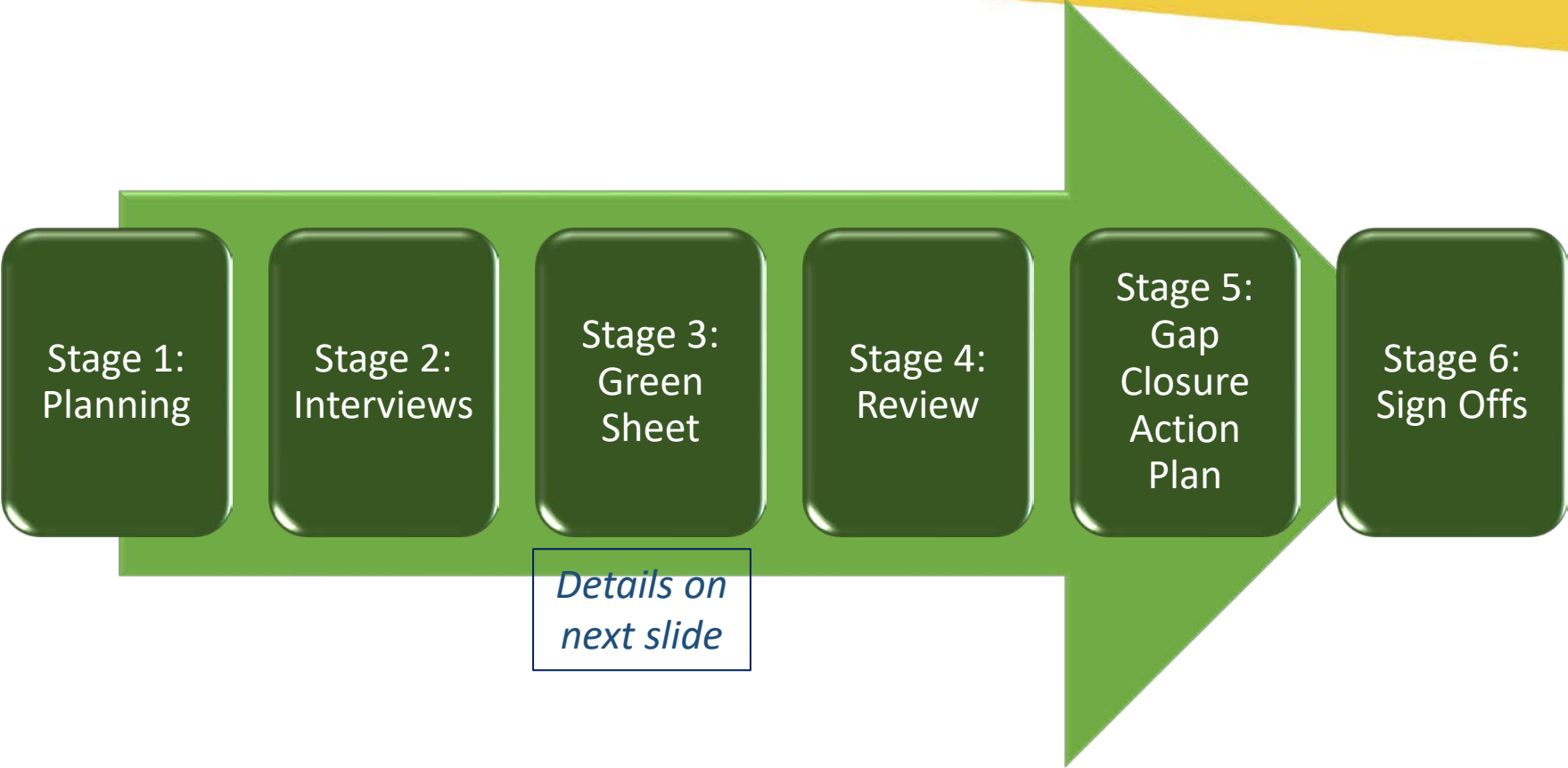
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## NSU Compliance Ecosystem



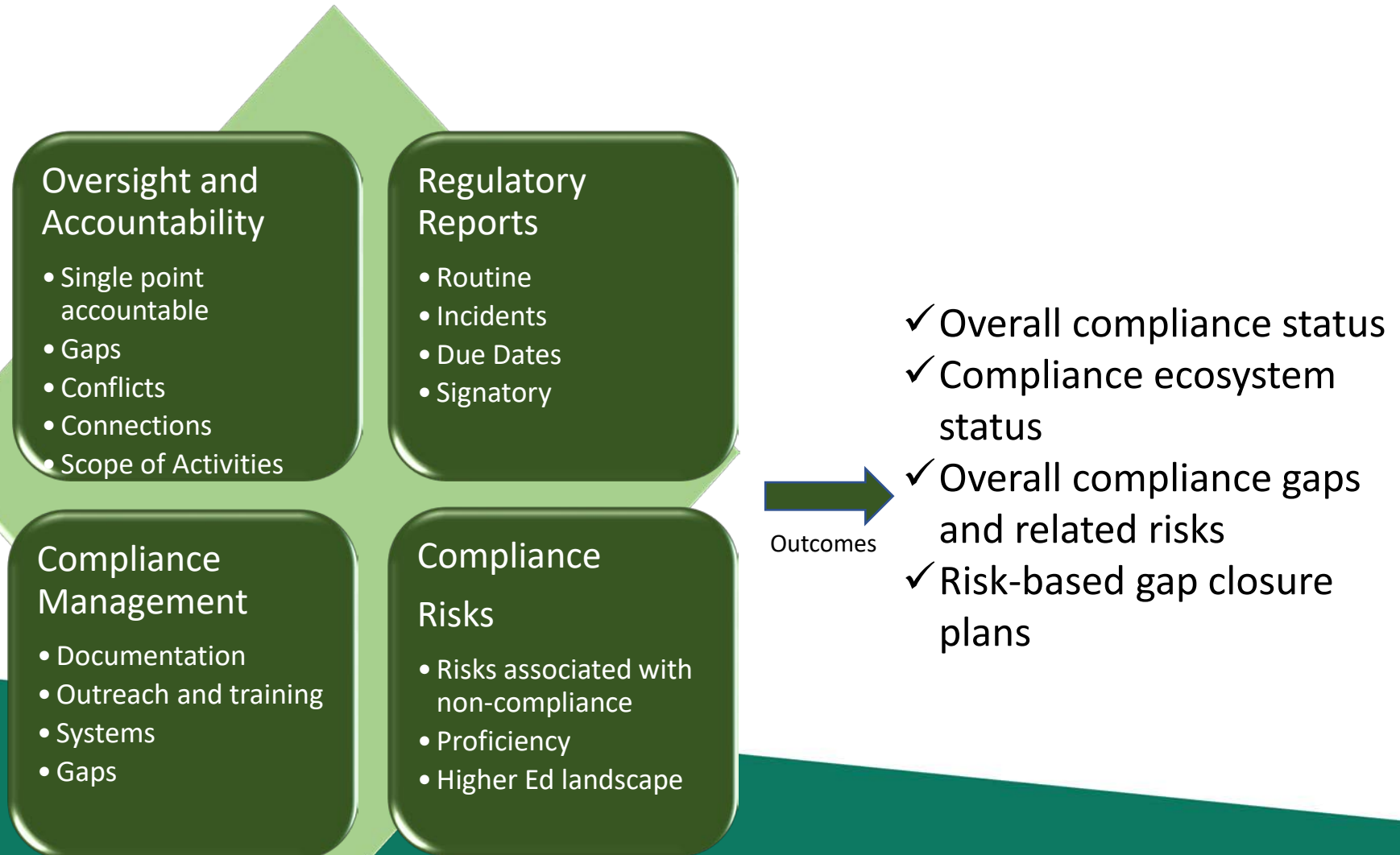
# Future: Compliance Assessment Process Overview



Overview of Compliance Assessment Process		
Stage #	Stage Title	Description
1	Planning	Consult with University Compliance and the lead Compliance Partner to plan a specific compliance assessment
2	Interviews	Compliance Partner and University Compliance coordinate any key interviews to understand the compliance topic
3	Green Sheet	Compliance Partner and University Compliance collaborate complete the green sheet
4	Review	Compliance Partner and University Compliance review the completed green sheet and conduct a gap analysis
5	Gap Closure	Compliance Partner develops a gap closure plan with support from University Compliance
6	Sign Offs	Responsible Executive and Chief Compliance Officer review and sign off on assessment findings and gap closure plan

# Future: Compliance Assessment Focus Areas

## “The Green Sheet”



# University Compliance Program

## Near Future



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= Currently  
Implementing



= Developing



## NSU Compliance Ecosystem

