

BOARD OF VISITORS
AUDIT, RISK AND COMPLIANCE COMMITTEE MEETING MINUTES
October 1, 2024

1. Call to Order/Establish Quorum

Dr. Harold L. Watkins II, Chair, called the Audit, Risk and Compliance Committee meeting to order at approximately 11:03 a.m. A quorum was established with a 5-0 roll call.

Committee Members

Dr. Harold L. Watkins II, Chair
Mr. Gilbert T. Bland
Mr. Dwayne B. Blake
Mr. Conrad Mercer Hall
Mr. Edward Sanders

Committee Members Virtual

The Honorable James W. Dyke, Jr.

Counsel Present

Ms. Pamela F. Boston, University Counsel and Senior Assistant Attorney General

NSU Administrators and Staff

Dr. Javaune Adams-Gaston, President
Dr. Tanya S. White, Chief of Staff
Ms. Derika L. Burgess, Chief Audit Executive
Dr. Dawn Hess, Chief Compliance Officer
Dr. Leonard E. Brown Jr., Vice President for Student Affairs
Dr. DoVeanna S. Fulton, Provost and Vice President for Academic Affairs
Dr. Justin L. Moses, VP Operations and Chief Strategist for Institutional Effectiveness
Mr. Clifford Porter, Vice President for University Advancement
Dr. Aurelia Williams, Senior Vice Provost for Academic & Faculty Affairs
Ms. Melody Webb, Athletics Director
Mr. Peter Glanville, Director of Technical Services/Office of Information Technology
Mr. Dennis Jones, Executive Budget Director
Mr. Ronald King, Chief Information Security Officer/Director, OIT Security
Ms. Brianna Williams, AVP Access and Equal Opportunity/Title IX Coordinator
Dr. Aixi Zhou, Vice Provost for Research & Innovation
Ms. Sher're S. Dozier, Clerk to the University President/Liaison to the Board of Visitors
Ms. Phillita Peoples, Executive Assistant to Internal Audit and Compliance

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2. Recommend Approval of Electronic Participation

The Committee unanimously approved the electronic participation for The Honorable James W. Dyke, Jr. with a 5-0 roll call vote. The motion was made by Mr. Dwayne B. Blake and seconded by Mr. Edward Sanders.

3. Approval of the Minutes

Mr. Blake motioned, Mr. Mercer seconded, and the Committee unanimously approved the Audit, Risk and Compliance Committee meeting minutes for April 3, 2024.

4. Discussion Items

University Compliance

Chief Compliance Officer Dr. Hess delivered updates on University Compliance including 2024 Priority Areas, Policy Program, University Required Employee Training, Compliance Assessments, and the ADA Compliance Assessment.

Policy Management

- Institutional Effectiveness is taking a major technological step forward by acquiring and implementing Softdocs, a policy management system.
- Softdocs will be designed to merge our public-facing library with tracking, editing, and will provide support for reviewing and maintaining University policies. Tracking data will be stored securely and centrally.
- Institutional Effectiveness is redesigning our policy format for consistency and modernization.

Required Employee Training

- Data collection is on-going for employee compliance-related and required training.
- Currently, 55 compliance-related trainings, managed by 10 different areas across the University, have been identified and documented.
- The compliance-related elements under review include identifying the compliance requirement, related NSU policy, required frequency, area responsible, target audience, length and mode of delivery, and required record keeping practices.

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Assessments

- The data collection for the student-focused ADA Compliance Assessment has concluded and is currently in the gap closure phase.
- The division of Student Affairs is revising and updating the gap closure plan in the areas of organizational structure, policies and procedures, documentation and record retention, housing, and animals in housing.

Existing Gap Closure Plans – Open Issues

- The Vice Provost for Research and Innovation is currently seeking a full-time Research Operations Coordinator. This role will include laser and radiation safety, programs, documentation, and training.
- Environmental, Health and Safety and Risk Management is drafting a Hazardous Commodities Disclosure policy to address campus-wide inventories and related information for MSDS/chemicals/hazardous materials & equipment.

Internal Audit

Chief Audit Executive Burgess shared a progress report on the NSU 2024-2025 Audit Plan.

Audit Plan

- The most recent audit on Sensitive IT Systems, conducted by Impact Makers, evaluated key processes related to information security compliance.
- Audits of Sensitive IT Systems are mandated by VITA at minimum, once every 3 years.
- Various measures are being implemented to enhance IT governance throughout the enterprise and to improve critical processes for managing IT service delivery in compliance with VITA standard SEC530 and NIST SP 800-53.

5. Closed Meeting – Pursuant to Section 2.2-3711 – A - 1, 4, 7, 8, and 19 of the Code of Virginia

Mr. Gilbert Bland read the following motion, seconded by Mr. Dwayne B. Blake, and with a 5-0 Roll Call Vote the Board unanimously approved.

Motion by Mr. Conrad Hall

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Pursuant to Section 2.2-3711 – A - 1, 4, 7, 8, and 19 of the Code of Virginia, for the following purposes, pursuant to the noted subsections:

(1) personnel matters regarding evaluation of performance of specific university departments where such evaluation will necessarily involve discussion of the performance of specific individuals and certain university employees; and

(4) The protection of the privacy of individuals and personnel matters not related to public business; and

(19) and per section 2.2-3711(19) for discussion of certain matters relating to cybersecurity pursuant to 2.2-3711(19), allowing discussion in closed meeting of plans to protect public safety as it relates to terrorist activity or specific cybersecurity threats and vulnerabilities where discussions in public would jeopardize the safety of persons or the security of any facility, building, or structure, or the safety of persons using those facilities, buildings, or structures."

(7) and (8) Consultation with legal counsel and briefing by staff members or consultants regarding specific legal matters requiring the provision of legal advice, where such consultation or briefing in open meeting would adversely affect the negotiating or litigating posture of the university;

and that any non-committee member of the NSU Board of Visitors be permitted to attend virtually, in person or by phone, to listen in the Closed Meeting; but not participate or vote;

and further, that the following remain for or attend when called the Closed Meeting.

the President

University Council

Vice President for Operations and Chief Strategist for Institutional Effectiveness

Chief Information Officer, and the

Chief Information Security Officer/Director of IT Security

6. Reconvene Open Meeting

Dr. Watkins II read the following motion, and with a 5-0 Roll Call Vote the Board unanimously approved.

Motion by Dr. Harold Watkins II

Having reconvened in open session, we will now take a roll call vote on certification that (1) only public business matters lawfully exempted from open meeting requirements, and (2) only such public business matters as were identified in the motion by which the closed meeting was convened were heard, discussed or considered in the meeting by the Board.

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Any member of the Board who believes that there was a departure from the requirements as stated above, shall so state prior to the vote, indicating the substance of the departure that in his, or her judgment, has taken place.

7. Adjournment

There being no further business, Chairman Dr. Harold L. Watkins II adjourned the meeting at 12:14 p.m.

Respectfully submitted,

Dr. Harold L. Watkins II, Chair
Audit, Risk and Compliance Committee

Ms. Phillita M. Peeples, Executive
Assistant to Audit and Compliance

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NSU BOV AUDIT, RISK AND COMPLIANCE COMMITTEE

ROLL CALL VOTE

OCTOBER 1, 2024

Item	Dr. Harold Watkins, II (Chair)	The Honorable James Dyke, Jr.	Mr. Gilbert Bland	Mr. Dwayne B. Blake	Mr. Edward Sanders	Mr. Conrad Hall	Totals
Quorum	Yes	Virtual	Yes	Yes	Yes	Yes	5-0
Recommend Approval of Electronic Participation	Yes	-	Yes	Yes	Yes	Yes	5-0
Approval of the Minutes	Yes	-	Yes	Yes	Yes	Yes	5-0
Motion to go into Closed Meeting Pursuant to 2.2- 3711. A. 1, 4, 7, 8 and 19 of the Code of Virginia	Yes	-	Yes	Yes	Yes	Yes	5-0
Motion for Open Meeting	Yes	-	Yes	Yes	Yes	Yes	5-0
Adjourned	Yes	-	Yes	Yes	Yes	Yes	5-0