

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

February 18, 2021

**MINUTES**

**1. Call to Order**

Ms. Blunt, Chair, called the Audit, Risk and Compliance Committee meeting to order at approximately 9:00 a.m. A quorum was established. Listed below are the individuals that joined the webinar meeting.

Participants - Committee Members

Ms. Mary L. Blunt, Chair

Mr. Dwayne B. Blake

Bishop Kim W. Brown

Dr. Deborah M. DiCroce, Vice Rector

Mr. BK Fulton

Non-Participants – Absent Committee Members

Mr. Michael J. Helpinstill

Participants – NSU Administrators and Staff

Dr. Javaune Adams-Gaston, President

Dr. Justin L. Moses, VP for Operations & Chief Strategist for Institutional Effectiveness

Mr. Gerald E. Hunter, Vice President for Finance and Administration

Ms. Derika Burgess, Interim Chief Audit Executive

Dr. Karen Pruden, Assistant Vice President for Human Resources

Ms. Karla J. Amaya Gordon, Assistant VP for Finance and Administration/Controller

Dr. Juan M. Alexander, Associate Vice President for Enrollment Management

Mr. Vincent M. Moore, Chief of Police

Ms. Tanya S. White, Special Assistant to the President

Mrs. April T. Allbritton, Office Manager/Board Liaison

Mr. Rasool A. Shabazz, Project Engineer, Office of Information Technology

Participant - Counsel

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

Observer

Mr. Ericke S. Cage, Executive Advisor to the President and Board of Visitors for Policy, Compliance and University Ombudsman

**2. Approval of the Minutes**

Mr. Blake motioned, seconded by Mr. Fulton, the Committee unanimously voted to approve the Audit, Risk and Compliance Committee minutes for December 3, 2020.

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### **3. Update on Action Plan for Enrollment Management** – Dr. Juan Alexander reported the following:

- The recruitment schedule is available in Outlook and by hardcopy via Excel. The updated recruitment plan drills down into geo markets.
- The application process is paperless.
- Enrollment Fuel hired to improve the level and timing of contact with prospective students. Also, using a student search tool and reaching out to juniors.
- Campus virtual tour created.
- NSU is now one of the eleven HBCUs using the common application.
- Presented to and working with alumni chapters to assist with recruitment. Updated the Alumni Admissions Recruitment Training Manual and reaching more chapters.

The Committee recommended that new processes be adaptable into the future as reinvention for the long-term. For audit purposes, implement traceability (trust and verification) for paperless processes.

Dr. Alexander reported that the tools and mechanisms that are in place would help the university remain viable and sustainable into the future. Up 25% and 27%, respectfully, in freshmen and transfer applications for the fall. Data imported from university systems into Excel is for viewing only (not the storage database).

### **4. Update on Action Plan for Building Access** – Chief Moore reported the following:

- A new security system installed for the entire campus.
- A list of authorized users identified for the clean room and server room in the McDemmond Center for Applied Research (MCAR). Fourth floor MCAR construction is complete.
- Bridge fire doors between the Student Center and Student Services Center scheduled for repair. *Estimated completion date: Magnets designed to hold doors in an open position to be installed no later than April 1, 2021.*
- The fire marshal conducts safety inspections as prescribed every three to six months.
- The Visitor and Contractor Policy has been updated.
- Rekeying and key inventory compliance are complete.
- There are two key systems: 1) swipe access for all exterior doors and 2) key access for some internal office doors. *Estimated completion date: A new key machine to be purchased by June 30, 2021.*
- Within a couple of weeks, an outside contractor will refocus and/or reposition security cameras that are offline.

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The university does not use any drone technology.

- Hire a Technology Security Officer to report directly to the Police Chief. Individual will work collaboratively with OIT on building access, cameras, etc.

There is a brief conversation regarding a recent cyber-attack on a university and the need for NSU to have comprehensive cyber insurance.

**5. Update on Action Plan for Grants and Contract** –Ms. Karla Amaya-Gordon provided the following update:

- The four open grant items are now closed. Procedures are in place to closeout grants. PIs receive 90-day, 60-day and 30-day notices.
- PIs are certifying and reviewing monthly reports. Management reviews drawdowns and this information is included in the general ledger with monthly budget to actual to support all expenditures.
- An online training module will be available no later than May 15.
- The university has a federally negotiated overhead rate of 43%, based off a formula. Some grants limit the amount of overhead, which the university must adhere too.

**6. Ticket Center Audit Findings** – Ms. Burgess reported the results of the audit for the Ticket Center conducted by Internal Audit. There were a number of observations relating to ticketing authority, training, safeguarding of assets, consignment tickets, complimentary tickets, event pricing, and the need for policies to address these items.

As the first action response, Finance and Administration sent an announcement to the campus community, which stated, “All ticketed events must be generated and sold through the University’s Ticket Center and via the internet.” This establishes the protocol and initiates subsequent follow up.

Note: NCAA rules govern the distribution of athletic tickets and the Audit of Public Accounts audits this area.

#### ***Action Items:***

- 1) All meeting materials are to be forward two weeks in advance of a meeting.***
- 2) Provide action plan updates for the Provost’s Office, Financial Aid and IT at the next meeting.***
- 3) All action plans should include estimated date of completion for outstanding items. For the minutes, include the estimated date for the items that are not complete.***

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- 4) *The Committee asked the President to speak to the Council of Presidents regarding Cyber Security insurance. Mr. Hunter to review the protections provided by the state's Cyber Security insurance. Insurance should cover negotiation, marketing, forensic team and lawyers.*
- 5) *Mr. Hunter to provide a status report on the removal of swipe card access. This is part of the current FY21 audit.*
- 6) *Establish two to three data points for each action plan as a comparison. Examples:*
  - *Grants (How many dollars are returned? Is there a standardized way to measure overhead?)*
  - *IT (Access termination percentage within the 24-hour guideline compared to acceptable standard).*
  - *Admissions (Triggers and other data points).*
7. **Public Comment** – There being no public comment, the Committee proceeded with a motion to go into Closed Meeting.
8. **Closed Meeting**

Bishop Brown motioned, seconded by Dr. DiCroce, the Committee unanimously voted to adjourn and reconvene in Closed Meeting pursuant to Section 2.2-3711(A) 1, 4, 7 and 8 of the Code of Virginia, for the following purposes, pursuant to the noted subsections:

(1) and (4) to discuss personnel matters, including more specifically, discussion of assignment, appointment, promotion, salaries, performance evaluations as well as the promotion of, specific individuals and certain university employees; and to discuss or evaluate performance of departments of the University that necessarily involve discussion regarding performance of individual employees, more specifically related to reports, investigative notes, correspondence and information furnished in confidence and records otherwise exempted, of the university Internal Audit Office and the Office of the State Inspector General; and

(7) and (8) consultation with legal counsel pertaining to actual or probable litigation, where such consultation or briefing in open meeting would adversely affect the negotiating or litigating posture of the university, along with any necessary consultation with legal counsel regarding matters noted in this motion.

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### 9. Open Meeting

The Committee having reconvened in open session, took 5-0 Roll Call vote on certification that 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. 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.

#### Closed Session Certification

Ms. Blunt.....yes  
Mr. Blake .....yes  
Bishop Brown .....yes  
Dr. DiCroce .....yes  
Mr. Fulton .....yes  
Mr. Helpinstill.....absent

Bishop Brown motioned, seconded by Mr. Fulton, it was unanimously approved by the Committee that the Audit, Risk, and Compliance Committee recommend to the Full Board of Visitors at its next meeting the selection and approval for appointment of the Committee's recommended candidate for each of the positions discussed in the Closed Meeting.

Bishop Brown will be chair, effective with the next meeting.

### 10. Adjournment

There being no further business, Mr. Fulton motioned, seconded by Bishop Brown, the Committee unanimously approved to adjourn at approximately 11:37 a.m.

Respectfully submitted,

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April T. Allbritton, Board Liaison

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Ms. Mary L. Blunt, Chair  
Audit, Risk and Compliance Committee