

BOARD OF VISITORS
AUDIT, RISK, AND COMPLIANCE COMMITTEE INFORMATION SESSION
April 11, 2023

1. Welcome

Bishop Kim Brown, Chair, commenced the Audit, Risk, and Compliance Committee information session approximately 8:40 a.m. A quorum was not established.

Committee Members Present

Bishop Kim W. Brown, Chair
Ms. Heidi W. Abbott (Virtual)
Dr. Katrina Chase
Mr. Conrad Hall
Mr. Delbert Parks (Virtual)

Committee Members Absent

Mr. Gilbert Bland

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
Mrs. Derika L. Burgess, Chief Audit Executive
Dr. Dawn Hess, Chief Compliance Officer
Mr. Christopher Stancil, Office of Information Technology
Dr. Leonard E. Brown, Vice President for Student Affairs
Dr. DoVeanna S. Fulton, Provost and Vice President for Academic Affairs
Dr. Gerald Ellsworth Hunter, Vice President/Chief Financial Officer, Finance and Administration
Dr. Justin L. Moses, Vice President for Operations and Institutional Effectiveness
Mr. Clifford Porter, Vice President for University Advancement
Chief Brian K. Covington, NSU Police Department
Deputy Chief DeAndre' L. Hyman, NSU Police Department
Dr. Aurelia Williams, Vice Provost for Academic Administration
Ms. Phillita Peoples, Audit and Compliance Administrative Assistant
Ms. Inda Walker, Clerk to the University President and Liaison to the Board of Visitors

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2. Discussion Items

University Compliance

Dr. Hess collaborated with Chief Covington to address identified findings from the Clery Act internal audit conducted in August 2021. The Clery Act requires all colleges and universities that participate in federal financial aid programs to keep and disclose information about crime on and near their respective campuses. Dr. Hess introduced Chief Covington to present updates on compliance gap closures and progress toward implementation:

- **Clery Geography Mapping**
 - Campus map was revised to include Clery Geography and was made available online June 2022
- **Governance and Management Oversight**
 - Created a functioning Clery Compliance Team
- **Compiling Data – Daily Crime and Fire Logs**
 - Supervisor report and daily bulletin are no longer used as daily crime logs. Clery officer updates bulletin to resolve conflicting data.
- **Compiling Data – Hierarchy Rules**
 - Trained all current officers and working on a process to train all incoming officers on Hierarchy Rules
- **Collecting Data – Campus Security Authorities (CSA)**
 - Developed and implemented Campus Security Authority policy (will soon be published on the NSU Policy Webpage)
- **Training, Education and Awareness**
 - Trained all officers on new CSA policy and working on a process to training incoming officers
 - Partnered with Human Resources
 - Incorporated into new employee on-boarding UPD presentation including Campus Security Authority information.
 - Posting links to Clery report on HR webpage
 - Revisiting Violence Prevention Committee and Threat Assessment Team policies
 - Currently the University is in compliance with our policy on Violence Prevention and Threat Assessment. Forthcoming, the Department of Education will be releasing new Virginia codes that become effective July 1.

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An Environmental Health and Safety Compliance Assessment was conducted and led into research areas. The interconnection has resulted in some compliance gaps and audit challenges. Dr. Hess introduced Dr. Williams to speak about Compliance Interconnectedness via Research and a plan of action.

- **Designated Interim Vice Provost of Research and Innovation**
 - Dr. Aurelia Williams is currently the Interim Vice Provost for Research and Innovation. The permanent position is currently being advertised.
- **Development of a Communication and Procedural plan for the acquisition of new chemicals, hazardous materials and equipment used in research (including EHSRM and Export Control)**
 - Developing a communication and procedural plan for initiatives particularly as it relates to the acquisition of new chemicals, hazardous materials, etc.
- **Connected with Academic Affairs**
 - Developing a position for Laboratory Safety to ensure that Principal Investigators are compliant with their documentation and ensure that all of the faculty and students are aware of the procedures when handling chemicals, hazardous materials and hazardous equipment.
 - Developing educational training for the Principal Investigators as well as utilizing MOAT training module system for annual certification of faculty and students.
 - Cynthia Duhe'-Harris is currently Interim Export Control Compliance officer.
 - An Export Control policy has been developed and reviewed by the Attorney General's office. Dr. Williams has collaborated with Chris Skinner, who was authorized by the Office of the Attorney General, to assist in developing the Export Control program.
 - Interim Export Control Compliance officer, Cynthia Duhe'-Harris will be helping to develop the Export Control program at Norfolk State University.

Dr. Hess presented an update on Compliance Assessments for 2023-2024

- **Environmental Health and Safety & Risk Management and Buildings Services and Grounds**
 - Gap closures in progress
- **Researcher Compensation and Misconduct**
 - Gap closures in progress
- **Americans with Disabilities**
 - Assessment to commence Fall 2023 with planning and scoping currently in progress

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Internal Audit

Mrs. Burgess presented an updated 2023 chart that reflects the current audit plan. The audit plan is used to identify areas of potential risk. The Office of Internal Audit performs a risk assessment around established priorities and goals annually. These are collected from various departments and units across campus including the institution's strategic plan.

- As of April, 3 audits have been performed.
 - The process to develop and submit research proposals,
 - Compliance with federal export control regulations
 - Controls over confiscated property and evidence.

- Next, review processes used to perform employment verifications, drivers' licenses, and backgrounds checks. The Internal Audit department will review how we identify and maintain physically safe grounds and workspaces by winter.

- The updated audit plan reflects proposed auditable areas:
 - gas and maintenance
 - purchase cards
 - recycling program
 - physical therapy
 - recovery programs

3. Adjournment

Chairman Bishop Brown adjourned the meeting at 9:26 a.m.

Respectfully submitted,

Inda Walker, Board Liaison

Bishop Kim W. Brown, Chair
Audit, Risk and Compliance Committee