

BOARD OF VISITORS
AUDIT, RISK, AND COMPLIANCE COMMITTEE MEETING MINUTES
September 12, 2023

1. Call to Order/Establish Quorum

Dr. Harold L. Watkins II, Chair, called the Audit, Risk, and Compliance Committee meeting to order at approximately 8:32 a.m. A quorum was established with a 4-0 roll call.

Committee Members

Dr. Harold L. Watkins II, Chair
Mr. Dwayne B. Blake
Mr. BK Fulton

Committee Members Absent

Mr. Gilbert T. Bland
The Honorable James W. Dyke, Jr.
Mr. Conrad Hall

Additional Board Members Present

Mr. Delbert Parks (Completed Quorum)

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
Ms. She're S. Dozier, Clerk to the University President/Liaison to the Board of Visitors
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, Vice President for Operations and Institutional Effectiveness
Mr. Clifford Porter, Vice President for University Advancement
Ms. Melody Webb, Athletics Director
Dr. Aurelia T. Williams, Vice Provost for Academic Administration
Mr. Christopher Stancil, Office of Information Technology
Ms. Phillita Peoples, Audit and Compliance Administrative Assistant

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2. Approval of the Minutes

Mr. Blake motioned, Mr. Fulton seconded, and the Committee unanimously approved the Audit, Risk, and Compliance Committee information session minutes for April 11, 2023.

3. Discussion Items

University Compliance

- Dr. Hess presented an overview of the NSU Compliance Ecosystem. The University Compliance program provides support in meeting compliance obligations and identifying and responding to compliance related risks for the University. The functions of the ecosystem are Oversight and Accountability, Policy and Procedures, Outreach and Education, Assessment and Monitoring, Communication and Reporting, Reviews, Gap Closure Plan, and Long-Term Strategy.
- Prior compliance assessments determined that some policies and programs were not up to date. As a result, Dr. Hess provided an update on compliance monitoring for Violence Prevention Committee and Threat Assessment Team, Clery Act Compliance Policy, and Civility in the Workplace.
 - Violence Prevention Committee and Threat Assessment Team Policy
 - Policy Type: Board of Visitors Policy
 - Status: Draft
 - Clery Act Compliance Policy
 - Includes Timely Warning and Campus Security Authorities SOP's
 - Policy Type: Administrative Policy
 - Status: Available for public comment beginning 8/29/23.
 - Civility in the Workplace
 - Policy Type: Administrative Policy
 - Status: Draft
- Compliance assessment and monitoring for Environmental, Health and Safety began March 2022. Plans, programs, and procedures have been created to remedy gaps in compliance.
 - Environmental, Health and Safety Policy
 - Policy Type: Administrative Policy
 - Status: Available for public comment beginning 8/29/23.
 - 12 EHS programs/plans are in draft.
 - Spill Prevention, Control and Countermeasures (SPCC) plan

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- Status: Environmental, Health and Safety department is currently working with consultant to draft this plan.
- In the Summer of 2023 University Compliance partnered with the Department of Transportation and Fleet Services to review and update current policies.
 - Driver Authorization Policy
 - Includes Driver Authorization and Driver Record Authorization forms
 - Policy Type: Administrative Policy
 - Status: Draft
- Utility Vehicle Golf Cart Policy
 - Includes Utility Vehicle Golf Cart Request form
 - Policy Type: Administrative Policy
 - Status: Draft
- Compliance Assessment 2023-2024: Americans with Disabilities (ADA) and section 504

Internal Audit

In the Summer of 2023, an internal audit review was conducted on the NSU Grant Pre-Awards Process. Compliance is integral to the success of any research project and requires researchers to coordinate and rely on the Office of Sponsored Programs to align with university policies, state and federal laws, and funding agency requirements throughout the life of the grant.

- The grant life follows a linear cycle that is broken down into phases: pre-award and post-award.
 - Pre-Award: finding funding, proposal development, and award setup and start
 - Post-Award: Award management and award
- In the pre-award phase, the grantor and applicant each have specified roles in the lifecycle steps
 - Finding Funding
 - Grantor Role-Agency formally advertises funding opportunity and publishes details
 - Applicant Role-Researcher will search and find opportunity
 - Proposal Development
 - Grantor Role-Grantor receives application
 - Applicant Role-Proposal and related documents are developed, internal approval form, and QSP forwards proposal to grantor

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- Award Setup and Start
 - Grantor Role-Selects awardee
 - QSP parameters of the grant with PI and grants and contract
 - Research begins
- The Office of Sponsored Programs continues to work in the background to ensure research and the researcher are successful.
 - Funding
 - Identifies potential sponsors.
 - Acts as official negotiator and contact with sponsoring agencies
 - Documentation
 - Prepares transmittal letters,
 - Copies, packages, and mails proposals
 - Compiles electronic submission of proposals
 - Reviews format and content
 - Agreements
 - Reviews and approves budgets, proposals, internal forms, external partnerships, and contract
 - Training
 - Provide online training and instructions and assistance thru the entire grant cycle
- Because there are instances of non-compliance with organizational and federal requirements, the audit is rated as unsatisfactory. Internal Audit concurs with Office that the personnel shortage in the department has 1. moved sole focus to submitting proposals 2. impeded their ability to provide customers with prompt service. 3. contributed to a lack of departmental oversight and accountability. If the practices noted in the audit are not corrected it can result in decreased funding, and performance and compliance issues.
- Upon notification, management several steps to address findings:
 1. Policies: Draft policies and procedures concerning Proposal Submissions, Animal Care, Research Misconduct and Research Compensation
 2. Equipment: Updated form to include grant construction costs and facility usage. We are still working to determine the best option to determine senior management involvement to including a report by the Deans and Chairs on status of federally funded research equipment.

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3. Training: A list of topics has been submitted. A formal schedule and materials are still in development.
4. Process: A single set of standards and timelines have been developed that will be enforced thru the Proposal Submission Policy
5. Performance: Development of a monitoring activity or tracker is being discussed

4. Adjournment

There being no further business, Chairman Dr. Harold L. Watkins II adjourned the meeting at 9:10 a.m.

Respectfully submitted,

Ms. She're S. Dozier, Board Liason

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

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**NSU BOV AUDIT, RISK, AND COMPLIANCE COMMITTEE MEETING
ROLL CALL VOTE SEPTEMBER 12, 2023**

Item	Dr. Watkins	Honorable Dyke	Mr. Blake	Mr. Bland	Mr. Fulton	Mr. Hall	Mr. Parks	Totals
Quorum	Present	Absent	Present	Absent	Present	Absent	Present	4-0
Ratify April 11, 2023 info session	Yes	NA	Yes	NA	Yes	NA	Yes	4-0
Motion to adjourn	Yes	NA	Yes	NA	Yes	NA	Yes	4-0