

Audit, Risk and Compliance Committee Meeting August 31, 2022

Agenda

- I. University Compliance
 - A. NSU Compliance Ecosystem Update
 - B. Compliance Assessment Plan Update 2022-2023
 - C. EHSRM Compliance Assessment Overview
 - D. EHSRM Gap Closure Plan
 - E. EHSRM Training Plan
 - F. Data Security and Privacy Assessment Topics
- II. Internal Audit
 - A. Closed Session

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BOARD OF VISITORS AUDIT, RISK AND COMPLIANCE COMMITTEE MEETING MINUTES

April 13, 2022

1. Call to Order/Establish Quorum

Bishop Kim Brown, Chair, called the Audit, Risk, and Compliance Committee meeting to order at approximately 12:41 p.m. and a quorum was established with a 4-0 roll call.

Committee Members

Bishop Kim W. Brown, Chair

Ms. Heidi W. Abbott

Dr. Terri L. Best

Dr. Deborah M. DiCroce (Virtual participation)

Mr. Delbert Parks

Dr. Harold Watkins

Committee Members Absent

Ms. Joan G. Wilmer

NSU Administrators and Staff

Dr. Javaune Adams-Gaston, President

Ms. Tanya S. White, Chief of Staff

Mrs. Derika L. Burgess, Chief Audit Executive

Dr. Dawn Hess, Chief Compliance Officer

Ms. Inda Walker, Clerk to the University President and Liaison to the Board of Visitors

Mr. Christopher Gregory, Office of Information Technology

Mr. Obie Smith, Operations Manager, Office of Information Technology

<u>Participant – Student Representative to the Board</u>

Mr. Jaylin Drewry, SGA President*

Counsel Present

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

Mr. James Wright (virtual)

2. Recommend Approval of Electronic Participation

The Committee unanimously approved the electronic participation for Dr. DiCroce.

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BOARD OF VISITORS

Audit, Risk and Compliance Committee Meeting April 13, 2022 Page 2

3. Approval of the Minutes

The Committee unanimously approved the Audit, Risk and Compliance Committee minutes for February 17, 2022.

4. Discussion Items

University Compliance

Summary: Dr. Hess presented a year-end 2021 Compliance Matters summary and recommended an annual year-end summary review. For calendar year 2021, there was a total of twenty compliance items reviewed. It is likely that the number and scope of compliance matters for year-end 2021 may not be a solid baseline for next year's comparison as 2021 was a year of Compliance Program development.

Maturity: Dr. Hess suggested that we measure the maturity of our Compliance System annually or at least every two years. To do so, NSU has adopted the Compliance Capability Maturity Model developed by Clemson and Northeastern Universities which allows organizations to self-assess their Compliance Program against recognized standards. By adopting this model and measuring progress in our overall Compliance Program, focusing on integration of the Compliance Program into organization processes, NSU we will be able to measure system maturity and readily identify next steps to advance our Compliance Program.

Areas assessed:

- Governance and Structure
- Policies
- Training and Communication
- Compliance Assessments
- Monitoring

Compliance Assessments for 2022-2023 were identified based on the area's potential impact to the institution, likelihood of a compliance concern, and current management capability in the area:

- Environmental Health and Safety & Risk Management, and Buildings Services and Grounds
- Researcher Compensation and Misconduct
- Privacy & Data Security (Cyber)

Assessment focus areas are:

- Oversight and Accountability
- Regulatory Reports
- Compliance Management
- Key Concerns

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

The following Closed Meeting Motion was read by Mr. Delbert Parks and seconded by Mrs. Heidi Abbot, with a majority 5-0 roll call vote.

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BOARD OF VISITORS

Audit, Risk and Compliance Committee Meeting April 13, 2022 Page 3

(1) and (4): To discuss personnel matters, including more specifically, appointment, promotion, performance, salaries, of specific employees, and evaluation of performance of departments or schools where such evaluation will necessarily involve discussion of the performance of specific individuals and certain university employees; and

(7) and (8): Consultation with legal counsel regarding specific matters requiring the provision of legal advice 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, including more specifically for legal counsel to give a status update on pending and potential litigation of which the Board should be made aware; along with any necessary consultation with legal counsel regarding matters noted in this motion; and further that the following remain for or attend, when called, the Closed Meeting: President, University Counsel, and Chief Audit Executive.

6. Open Meeting

The Committee having reconvened in open session took a 5-0 Roll Call vote on certification that having reconvened in Open Meeting, 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. 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 Bishop Brown adjourned the meeting at 2:07 p.m. with a 5-0 Roll Call Vote and the Committee unanimously agreed.

Respectfully submitted,
Inda Walker, Board Liaison
Bishop Kim W. Brown, Chair Audit, Risk and Compliance Committee

University Compliance Office Program Development



IntegratedOn-Going



= CurrentlyImplementing



= Developing



NORFOLK STATE
UNIVERSITY

Details on additional slides

NSU Compliance Ecosystem













Compliance Assessment Plan 2022-2023

- ✓ Environmental, Health & Safety began April, gap closure plan developed July 2022
- Privacy and Data Security (Cyber Security) began July 2022
- Researcher Compensation and Misconduct to be scheduled

CONTROLS ASSESSED

Oversight and Accountability

Regulatory Reports

Compliance Management Other Key Concerns

OUTCOMES

- ✓ Compliance status by title
- ✓ **Overall** compliance status of area/department
- ✓ NSU compliance **ecosystem** status
- ✓ **Title** compliance gaps and related concerns
- ✓ Overall department compliance gaps and related concerns
- ✓ Title compliance-related risk assessment
- ✓ Overall **department compliancerelated risk** assessment
- ✓ Gap closure plans

EHSRM Compliance Assessment (49 Titles)

NA to

EHSRM

(4)

MORE DATA NEEDED (3)

- Public Health Security and Bioterrorism Preparedness and Response Act
- Radiation Safety
- Laser Safety

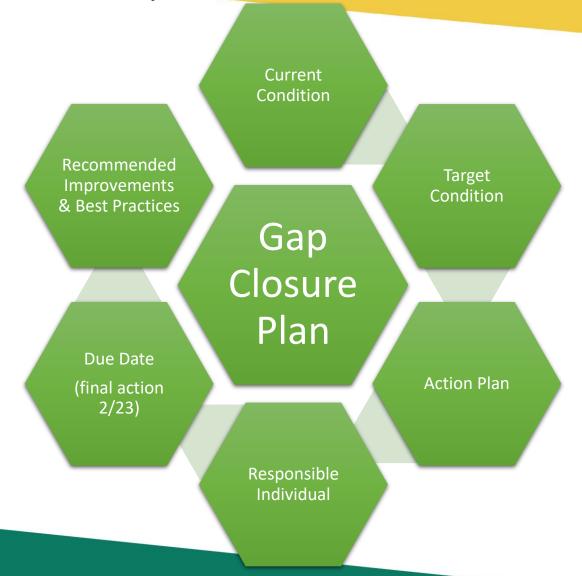
GAPS (18)

- Methylene Chloride
- Formaldehyde Standard
- Bloodborne Pathogens Standard
- Noise Hearing Protection
- Oil Pollution Act
- Chemical Hygiene and Laboratory Safety Plan –
 Occupational exposure to hazardous chemicals in laboratories
- Stormwater Discharge MS4 General Permit
- Clean Air Act
- Asbestos in General Industry Standard
- Respiratory Protection
- Hazardous Waste Operations and Emergency Response
- Hazard Communication Standard
- Medical Waste Tracking Act
- Storage of Flammable and Combustible Liquids
- Ladder Safety
- Universal Waste (solely operational gaps)
- Hazardous and Solid Waste Amendments of 1984 (solely operational gaps)
- Standards For the Management of Used Oil (solely operational gaps)

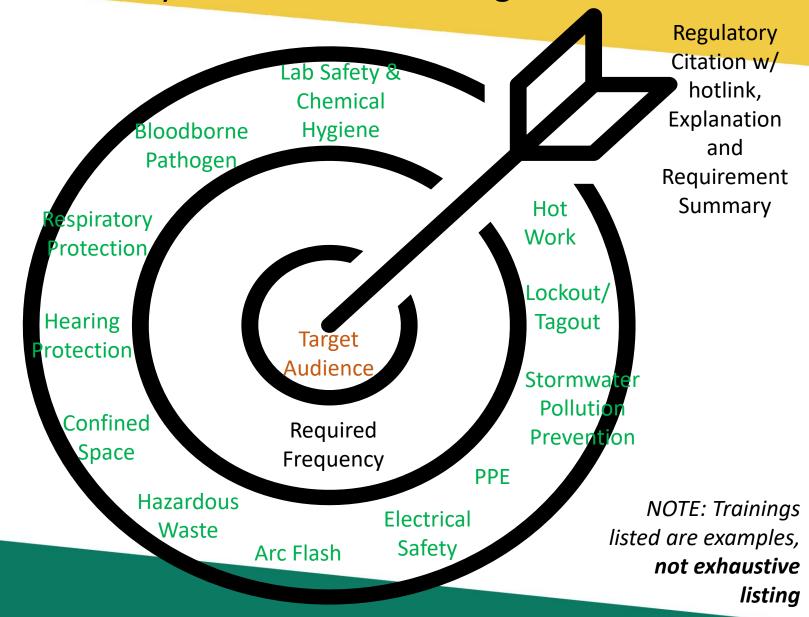
NO GAPS (24)

- General Duty Clause OSHA
- Personal Protective Equipment (PPE) in General Industry
- Control of Hazardous Energy Lockout/Tagout
- Electrical Safety
- Hazardous Materials Transportation Act
- Pesticide Federal Insecticide, Fungicide and Rodenticide Act
- Fall Protection
- Pesticide: Virginia Pesticide Control Act
- Asbestos in Construction Standard
- Toxic and Hazardous Substances
- Confined Space
- Silica
- Welding, Cutting, and Brazing (Hot Work)
- Motor Carrier Act of 1980 (for transport of hazardous materials)
- Elevators
- OSHA 300 Federal Report (Workplace Injuries) Recording and Reporting Occupational Injuries and Illnesses
- Guarding and Use of Hand & Portable Powered Tools
- Resource Conservation and Recovery Act
- Compressed Gases
- Powered Industrial Truck (Forklift)
- Lead in Construction Standard
- Lead in General Industry Standard
- Golf Carts

EHSRM: EHSRM Gap Closure Plan



EHSRM: University Wide EHSRM Training Plan



Privacy and Data Security (Cyber Security) – Compliance Assessment began July 2022

- Gramm Leach Bliley Act (GLBA)
 - Privacy Rule
 - Safeguards Rule
- General Data Protection Regulation (GDPR)
- Payment Card Industry Data Security Standard (PCI DSS)
- Information Security Standard (All subparts)
- Federal Information Security Management Act (FISMA)

Thank You