

BOARD OF VISITORS
AUDIT, RISK, AND COMPLIANCE COMMITTEE MEETING MINUTES
November 16, 2022

1. Call to Order/Establish Quorum

Bishop Kim Brown, Chair, called the Audit, Risk, and Compliance Committee meeting to order at approximately 2:04 p.m. A quorum was established with a 4-0 roll call.

Committee Members

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

Committee Members Absent

Mr. Gilbert Bland

NSU Administrators and Staff

Dr. Javaune Adams-Gaston, President
Mrs. Derika L. Burgess, Chief Audit Executive
Dr. Dawn Hess, Chief Compliance Officer
Dr. Gerald Ellsworth Hunter, Vice President/Chief Financial Officer, Finance and Administration
Dr. Justin Moses, Vice President for Operations and Chief Strategist for Institutional Effectiveness
Ms. Tanya S. White, Chief of Staff
Mr. Michael Carpenter, University Registrar
Mrs. Sandra Faye Monroe-Davis, Chief Information Officer, Office of Information Technology
Chief Brian K. Covington, NSUPD
Deputy Chief DeAndre' L. Hyman, NSUPD
Mr. Christopher Gregory, Office of Information Technology
Mr. Christopher Nelson, Office of Information Technology
Mrs. Phillita Peeples, Audit and Compliance Administrative Assistant
Ms. Inda Walker, Clerk to the University President and Liaison to the Board of Visitors
Mr. Jaylin Drewry, Former SGA President

Counsel Present

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

2. Approval of the Minutes

Bishop Brown motioned, Ms. Abbott seconded, and the Committee unanimously approved the Audit, Risk, and Compliance Committee minutes for August 31, 2022.

3. Discussion Items

University Compliance

Dr. Hess presented an update to the NSU Compliance Ecosystem and the Compliance Assessment plan for the academic year 2022-2023. She provided an update on the Data Security and Privacy Compliance Assessment, compliance activities, and Gap Closure Plans. Dr. Hess introduced Chief Information Officer, Mrs. Sandra Faye Monroe-Davis to assist in responding to questions about the Data, Security, and Privacy assessment.

- Dr. Hess gave an update on NSU's Compliance Ecosystem. She shared a visual that exhibited the 8 pillars and various subcategories of the ecosystem. All except three (3) subcategories of the ecosystem have been integrated at NSU. The final subcategories - Forecasting, Evolving NSU Strategy, and Evolving Needs & Dependencies are currently under development.
- The Environmental Health and Safety Compliance Assessment has concluded with anticipating full gap closure by February 2023. The Privacy and Data Security Compliance Assessment has begun and is in the data collection stage. The Researcher Compensation and Conduct Compliance Assessment is being developed and University Compliance is currently establishing protocols for this assessment.
- The Data Security and Privacy Compliance Assessment for Family Educational Rights and Privacy Act (FERPA)-HB1 not included, and American with Disabilities Act (ADA)-web content accessibility have been completed with no current gaps.
- The Gramm Leach Bliley Act (GLBA) and the Information Security Standard Compliance Assessment are currently under development. Currently policies, procedures, and processes are being reviewed and revised as necessary.
- General Data Protection Regulation (GDPR) and the Payment Card Industry Data Security Standard (PCI DSS): Currently NSU does not have any policies, processes, or procedures in place for GDPR or PCI. It is unclear if a policy is necessary. It is possible that NSU may be able to meet the requirements of these compliance obligations by meeting the requirements of some of the other data security and privacy compliance activities that were already in the pipeline.
- The Federal Information Security Management Act (FISMA) and FERPA HB-1 – Virginia House Bill 1 2018 assessment has not officially begun. However, research began 2 weeks ago, and it is believed that NSU will meet the FISMA requirement by

meeting all the VITA Information Security Standard requirements. University Compliance is currently collaborating with appropriate departments to identify ownership and processes for HB-1.

Internal Audit

Mrs. Burgess provided an overview of the NSU Degree Clearance Audit performed in the Registrar Department. She introduced Mr. Michael Carpenter, University Registrar, to present updates on the implemented corrective actions for the findings of the Summer 2020 Internal Audit.

- When a student applies for graduation, they go through a final set of degree audits in order to ensure they have met all the requirements for graduation at NSU. This process is called the Degree Clearance Audit. The degree clearance audits are conducted internally every semester by special teams in the University Registrar's office.
- Mr. Michael Carpenter, University Registrar, provided updates on the finding details of the Summer 2020 Clearance Audit and how he has implemented corrective actions.
- Mrs. Burgess announced that on November 29, 2022 the Norfolk Department of Emergency Management will be on campus to provide hands-on training for students on emergency preparedness and response.

4. Closed Meeting.

Motion was read by Dr. Chase and seconded by Conrad Hall.

Section 2.2-3711.A. 1 and 4 to discuss (1) personnel matters regarding the 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 in personnel matters not related to public business; and

Section 2.2-3711.A. 7 and 8 Consultation with legal counsel employed or retained by NSU regarding specific legal matters requiring the provision of legal advice by such 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, and/or such consultation with legal counsel and briefings by staff members or consultants; and further, that the following remain for or attend, when called, the Closed Meeting: The President, University Counsel, Auditor, Vice President for Finance and Administration. And that any member of the NSU BOV be permitted to attend or listen by phone.

5. Recommend Approval of Electronic Participation

The Committee unanimously approved the electronic participation for Mr. Delbert Parks with a 4-0 roll call vote. Motion was made by Bishop Kim Brown and seconded by Ms. Heidi Abbott.

6. Open Meeting

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. 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. The motion was unanimously approved with a 5-0 roll call vote.

7. Adjournment

There being no further business, the meeting was adjourned with a motion made by Heidi Abbott, seconded by Dr. Chase, and was unanimously approved with a 5-0 roll call vote. Chairman Bishop Brown adjourned the meeting at 2:42 p.m.

Respectfully submitted,

Inda Walker, Board Liaison

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

**NSU BOV AUDIT, RISK, AND COMPLIANCE COMMITTEE MEETING
ROLL CALL VOTE NOVEMBER 16, 2022**

Item	Bishop Brown	Ms. Abbott	Mr. Bland	Dr. Chase	Mr. Hall	Mr. Parks	Totals
Quorum	Present	Present	Absent	Present	Present	N/A	4-0
Ratify approval of August 31, 2022 minutes	Yes	Yes	N/A	Yes	Yes	N/A	4-0
Closed Meeting Motion	Yes	Yes	N/A	Yes	Yes	N/A	4-0
Approve virtual participation of Mr. Delbert Parks	Yes	Yes	N/A	Yes	Yes	N/A	4-0
Open Session Approval	Yes	Yes	N/A	Yes	Yes	Yes	5-0
Motion to adjourn	Yes	Yes	N/A	Yes	Yes	Yes	5-0