



Item: AC: A-M

Audit and Compliance COMMITTEE
Tuesday, November 17, 2020

SUBJECT: ROLL CALL AND APPROVAL OF THE June 2, 2020 MINUTES

PROPOSED COMMITTEE ACTION

Initiate roll call to document member participation, ensure quorum, and approve the Minutes of June 2, 2020 meeting.

COMMITTEE MEMBERS

Mr. Shaun Davis, Chair	_____
Mr. Robert Stilley, Vice Chair	_____
Mr. Brent Burns (ex-officio)	_____
Dr. Jeffrey Feingold	_____
Mr. Abdol Moabery (ex-officio)	_____
Ms. Elycia Morris	_____
Ms. Celine Persaud	_____
Dr. Kevin Wagner	_____

PARTICIPATING BOT MEMBERS

Dr. Malcolm Dorman	_____
Mr. Brad Levine	_____
Mrs. Mary Beth McDonald	_____
Mr. Robert Rubin	_____

Audit & Compliance Committee

Draft Minutes

June 2, 2020

AC: A-M. Roll Call and Approval of the April 21, 2020 Meeting Minutes

Mr. Shaun Davis, Chair of the Board of Trustees Audit and Compliance Committee, convened the meeting. Roll call commenced with the following committee members, in addition to Mr. Davis, participating: Mr. Robert Stilley, Vice Chair; Mr. Brent Burns, Dr. Jeffrey Feingold, Mr. Abdol Moabery (ex-officio), Ms. Elycia Morris, Ms. Celine Persaud and Mr. Kevin Wagner.

Other Trustees attending the meeting included: Dr. Malcolm Dorman, Mr. Brad Levine, Ms. Mary Beth McDonald, and Mr. Robert Rubin.

Chair Davis asked for approval of the April 21, 2020 meeting minutes. **A motion was made and seconded to approve the April 21, 2020 Audit and Compliance meeting minutes. With no further discussion, the motion passed unanimously.**

AC: A-1. Review and Recommend Approval of the FY 20-21 Compliance and Ethics Work Plan

Ms. Elizabeth Rubin, Chief Compliance Office, presented the item. Ms. Rubin first went over the five common themes: Conflicts of Interest, Foreign Influence, Data Privacy, USDOE Regulations, and Pandemic Review. The areas in the work plan are executive oversight, standards of conduct, regulations and policies, effective lines of communication, education and training, audit and monitoring, enforcement and discipline, and response and prevention.

Trustee Moabery asked if there was a reporting requirement for our grad students or professors if they consult for a foreign entity. Ms. Rubin said she didn't think so, but those are the types of questions we need to look at in regards to our conflict of interest disclosures. Trustee Moabery asked what would be the plan to get that in place. Ms. Rubin replied that is why we have a conflict of interest task force. One of the things they are looking at is who needs to report. She doesn't know if they can bring in every affiliate faculty member because you have many on the medical side. In regards to graduate students, its critical we capture those as well. Trustee Moabery asked about when students are doing high-level research, are students required to sign non-disclosure agreements. Mr. David Kian, VP, Legal Affairs, said regarding faculty disclosure on outside activities, FAU does require outside activities disclosures including but not limited to foreign governments or entities. There are certain exemptions to that. On a task force basis, FAU

is enhancing our enforcement of that. Trustee Moabery asked who will monitor those disclosures. Mr. Kian replied that currently tracked as part of the annual review and appointment process at the department level. Dr. Feingold asked about the review for faculty, if FAU is getting their 1099s or W-2s. Mr. Kian said yes, we do require a fair amount of detailed information. The process is under review to expand that. Trustee Feingold gave an example of a tenured professor who fails to fully disclose all that information. Does the university have the ability to fire the professor? Mr. Kian said, yes, FAU won a case in the district court of Palm Beach County, for failure to submit his outside activities. Dr. Daniel Flynn, VP, Research, replied when a graduate student works on a project with a faculty member, they can fill out a non-disclosure. The entity can request the non-disclosure agreement. FAU offers them a 30- to 60-day embargo agreement. They can publish any findings after the embargo.

The meeting was adjourned.

DRAFT