



Audit and Compliance Committee
November 20, 2025
FIU, Modesto A. Maidique Campus, Graham Center Ballrooms

MINUTES

1. Call to Order and Chair's Remarks

The Florida International University Board of Trustees' Audit and Compliance Committee meeting was called to order by Committee Chair Alan Gonzalez at 9:04 AM on Thursday, November 20, 2025.

General Counsel Carlos B. Castillo conducted roll call of the Audit and Compliance Committee members and verified a quorum. Present were Trustees Alan Gonzalez, *Chair*; Yaffa Popack, *Vice Chair*; Noël C. Barengo; Carlos A. Duarte, *Board Chair*; George Heisel; and Jesus Lebeña.

Trustee Chanel T. Rowe was excused.

The following Board members were also in attendance: Trustees Francesca Casanova; Dean C. Colson; Alexander M. Peraza; Albert R. Taño; and Fred Voccola (*Zoom*).

Committee Chair Gonzalez welcomed all Trustees, members of the University administration, and the University community. He provided an update regarding the search for the University's next Chief Audit Executive. He added that the Search Committee held its first meeting on November 19, 2025, officially beginning the search process and that President Jeanette M. Nuñez gave the Committee its formal charge.

2. Approval of Minutes

Committee Chair Gonzalez asked if there were any additions or corrections to the minutes of the Audit and Compliance Committee meeting held on September 18, 2025. Hearing none, a motion was made and unanimously passed to approve the minutes of the Audit and Compliance Committee meeting held on September 18, 2025.

3. Discussion Items: No Action Required

3.1 Office of University Compliance and Integrity Quarterly Report

Chief Compliance and Privacy Officer Ms. Jennifer LaPorta commented on working closely with the Office of the General Counsel and affected stakeholders to understand and implement controls to address changes in areas such as H-1B visas, new guidance from the Attorney General on unlawful discrimination, and certification requirements for federally sponsored research. She noted that the University's federal and state foreign gifts and agreements reports were filed in July and that FIU's 2024–2025 Foreign Countries of Concern Report to the Florida Board of Governors (BOG) was submitted in September. Ms. LaPorta added FIU had no gifts or agreements with countries of

concern and had no compliance exceptions or follow-up inquiries from the Office of the Inspector General for the reporting period. She stated that the Compliance Office launched six (6) compliance campaigns during the reporting period, updated the compliance communications plan for 2025–2026 fiscal year, and developed a new Youth Protection Training, which is currently under review by stakeholders. She commented on compliance notifications/communications.

Ms. LaPorta pointed out that the Compliance Office ushered 12 new/substantively updated policies, is in the process of transitioning to a new Policy Library platform, and launched an automated endorsement process for leadership review and approval. She stated that the Compliance Office verified submissions for compliance-related filings and activities across the University. Ms. LaPorta commented on the onboarding and transitioning of the University's new hotline provider and coordinating data migration with the current vendor, including developing detailed investigator guidelines and internal operating procedures. She indicated that all members of the Compliance team completed the Administrative Assessment Micro-Credential developed by FIU's Office of Institutional Effectiveness and subsequently enhanced its compliance culture and effectiveness survey, which will be issued in spring 2026.

3.2 Office of Internal Audit Status Report

Interim Chief Audit Executive Ms. Vivian F. Gonzalez presented the Office of Internal Audit Status Report, reporting on the following recently completed projects: two (2) reports on continuous auditing of selected processes for the periods ending March 31, 2025, and June 30, 2025 and the review of the Master Affiliation Agreement between FIU and Baptist Health of South Florida. She commented that the continuous auditing reports identified exceptions related to three (3) of the 10 processes tested. Ms. Gonzalez added that exceptions pertained to the areas of human resources, travel, and credit card processes and were distributed across six (6) business units, totaling approximately \$5,500 in transactions. She stated that the review of the University's agreement with Baptist Health confirmed that the agreement was properly reviewed and approved by the Office of the General Counsel in accordance with University Policy and while some controls and resources are still being developed, the Office of Internal Audit found that plans and initiatives have been established and are expected to support the partnership's success.

Ms. Gonzalez commented on work in progress, which includes continuous auditing and follow-up of prior audit recommendations. She indicated that the Office of Internal Audit continues to receive and review complaints related to alleged fraud, waste, abuse, and mismanagement. She added that since the last update to the Audit and Compliance Committee, the Office of Internal Audit received six (6) new complaints and closed nine (9) investigations, four (4) of which were carried over from the prior update.

4. New Business

4.1 Office of Internal Audit Discussion of Audit Processes

Committee Chair Gonzalez noted that, prior to today's meeting and as is the practice prior to every meeting of the Audit and Compliance Committee, he met with Ms. LaPorta, Ms. Gonzalez, and the University's liaison to the Committee, Senior Vice President for Operations and Safety and Chief of Staff Javier I. Marques regarding matters to be brought before and actions to be taken by the Committee. Committee Chair Gonzalez added that he also met separately with Ms. Gonzalez.

Committee Chair Gonzalez indicated that Ms. Gonzalez had no concerns to report. Responding to Committee Chair Gonzalez, Ms. Gonzalez indicated that she had nothing further to bring to the Committee's attention regarding the audit process.

5. Concluding Remarks and Adjournment

With no other business, Committee Chair Alan Gonzalez adjourned the meeting of the Florida International University Board of Trustees Audit and Compliance Committee on Thursday, November 20, 2025 at 9:15 AM.

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