

**AUDIT AND COMPLIANCE COMMITTEE**  
**11<sup>th</sup> Floor, Waitzer Hall Boardroom**  
**December 15, 2020**  
**11:00 AM**

**BOARD MEMBERS PRESENT VIA ZOOM VIDEOCONFERENCING**

Dr. Alan Wagner, Chair  
Robert Bianchi, Rear Adm. (USN) Ret.  
Sarah Bishop  
Dr. Theresa Emory  
Chester Hart, Jr.  
Dr. Marcus Martin  
Dr. Bruce Waldholtz

**BOARD MEMBERS ABSENT**

Sharon Goodwyn  
W. Ashton Lewis, Sr.

**OTHERS PRESENT IN BOARDROOM**

Dr. Richard Homan  
Brant Cox  
Helen Heselius  
Stacy Purcell  
Josephine Wiley  
Heidi Smith

**OTHERS PRESENT VIA ZOOM VIDEOCONFERENCING OR TELEPHONE**

Camille Endres *(via Zoom Videoconferencing)*  
Barrett Wood *(via Zoom Videoconferencing)*  
Jennifer Williams *(via Zoom Videoconferencing)*  
Trey Oglesby *(via telephone)*  
Nick Strong *(via Zoom Videoconferencing)*

**CALL TO ORDER**

Dr. Alan Wagner, Chair, called the meeting to order at 11:03 AM.

**APPROVAL OF MINUTES**

Upon a motion made and seconded, the minutes of the Audit and Compliance Committee meetings held on September 15, 2020 and October 30, 2020 were unanimously approved by roll call vote as distributed. Wagner- yes; Bianchi- yes; Bishop- yes; Emory-yes; Hart- yes; Martin- yes; Waldholtz- yes

### **EXTERNAL AUDIT UPDATE**

Mr. Trey Oglesby and Mr. Nicholas Strong of KPMG provided an update on the status of the external audit. Since issuing the FY2020 audit report on October 30, they have shifted focus to the Uniform Guidance Audit. The major program selected this year for audit is Student Financial Assistance. To date, there are no issues or findings to bring to the attention of the Board.

### **INTERNAL AUDIT UPDATE**

Mr. Barrett Wood, Executive Director of Internal Audit, presented the Internal Audit update including the status, findings, and pending or completed corrective actions of risk based and annual audits that are in progress, completed, or planned.

The FY19 Facilities Management audit has been completed and a report has been issued with one low priority finding. Corrective action is in progress. Fieldwork is in progress on the FY2021 Student Financial Assistance audit. Mr. Wood noted that due to COVID-19, progress on is moving slightly slower than in a typical year, but anticipate concluding their work in early January.

The annual Indigent Care audit is in the planning stages. The annual Procurement Card audit is approximately 80% complete.

### **COMPLIANCE UPDATE**

Ms. Stacy Purcell, Vice President and General Counsel, updated the committee on the upcoming Annual Training, which will open in January for faculty, staff, and residents. The EVMS Infectious Disease Preparedness and Response Plan, as required by the Virginia Department of Labor and Industry, has been finalized and faculty, staff, residents, and student employees currently are being trained.

Ms. Purcell reported 13 new complaints filed on the hotline, noting that there has been an increase in patients using the hotline, as well as reports concerning masking and social distancing.

### **POLICIES FOR ACTION**

Ms. Purcell presented the Criminal Background Check Policy for approval by the Board. The Policy was updated to require criminal background checks for all employees, not just those requested by departments.

**ACTION:** Upon a motion made and seconded, the policy was unanimously approved by roll call vote as distributed. Wagner- yes; Bianchi- yes; Bishop- yes; Emory-yes; Hart- yes; Martin- yes; Waldholtz- yes

There being no further business to discuss, the meeting adjourned at 11:11 AM.

*Heidi G. Smith*

Heidi G. Smith  
Recording Secretary