



Board of Visitors
Audit, Compliance, and Risk Committee
September 15 , 2022

September 2022
Audit,
Compliance, and
Risk Committee
Meeting Agenda

- Remarks by Committee Chair
- Introduction of Interim Compliance and Privacy Officer for UVA Health
- Institutional Compliance Annual Report
- Follow Up on Implementation of 2017 Margolis Healy Safety and Security Assessment Recommendations
- Written Reports
- Motion to Move to Closed Session

Gary Nimax, AVP
for Compliance

Introduction of Annette Norton,
Interim Chief Compliance and Privacy Officer
for UVA Health

Gary Nimax,
Assistant Vice
President for
Compliance

Institutional Compliance Annual Report

Seven Elements of an Effective Compliance Program

The compliance function's objective is to establish and promote standards that meet the U.S. Federal Sentencing Guidelines' seven elements of an effective compliance program.

1. Standards and procedures to prevent/detect criminal activity
2. Oversight by high-level personnel, with periodic reporting to the board from individuals with operational responsibility
3. Due care in delegating substantial discretionary authority
4. Effective communication and training
5. Systems for monitoring, auditing and reporting suspected wrong-doing without fear of reprisal
6. Consistent enforcement of compliance standards
7. Reasonable steps to respond to and prevent offenses

SafeGrounds Community

Compliance Helpline Optimization



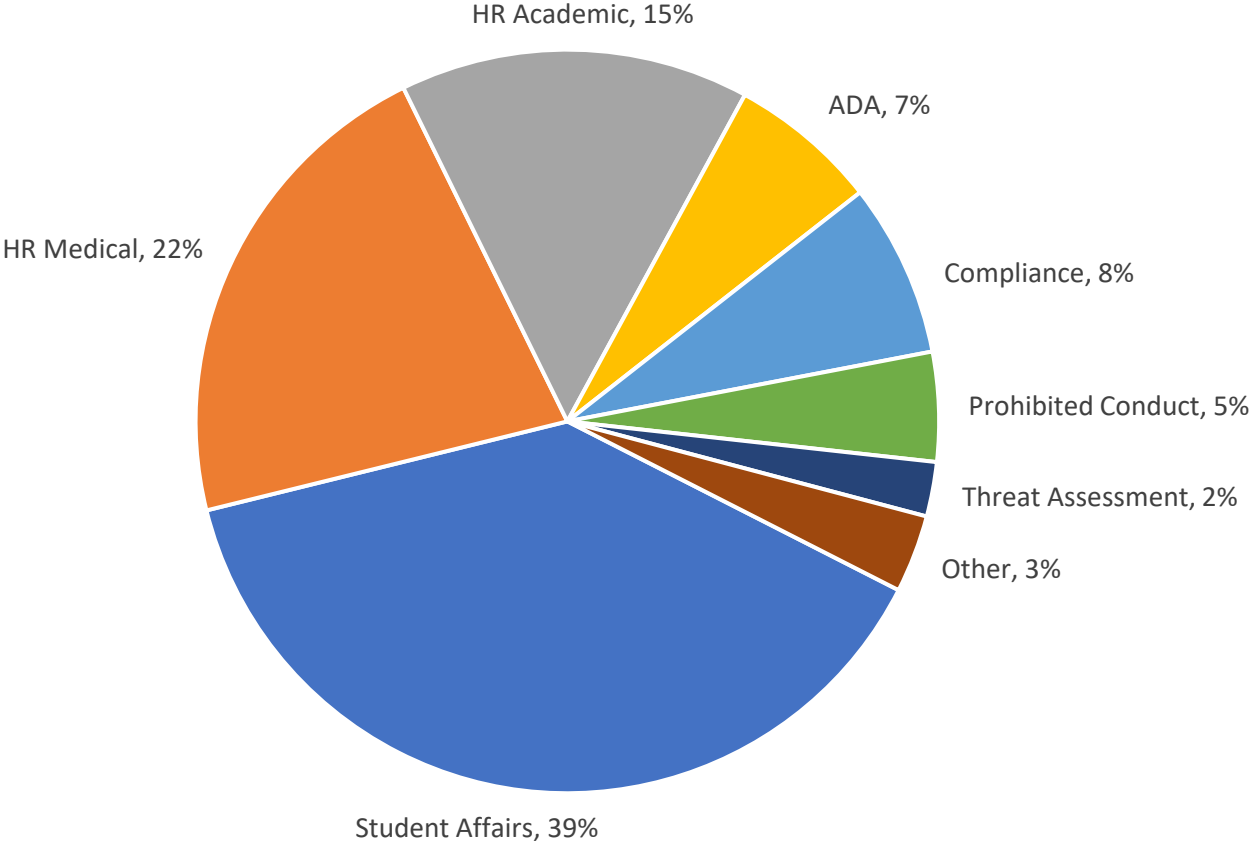
Incident Management in SafeGrounds

- Leverages the investment in SafeGrounds to standardize complaint management in one in-house system
- Tracks 800 number calls, webform reports, and direct contacts in a single system
- Simplifies process for our faculty, staff, and students
- Improves capabilities for trend and data analysis
- Enhances workflow: ability to share or reassign cases
- Integrates with Workday and SIS to intake contact info
- Improves digital accessibility compliance

Enterprise-wide Compliance Reporting

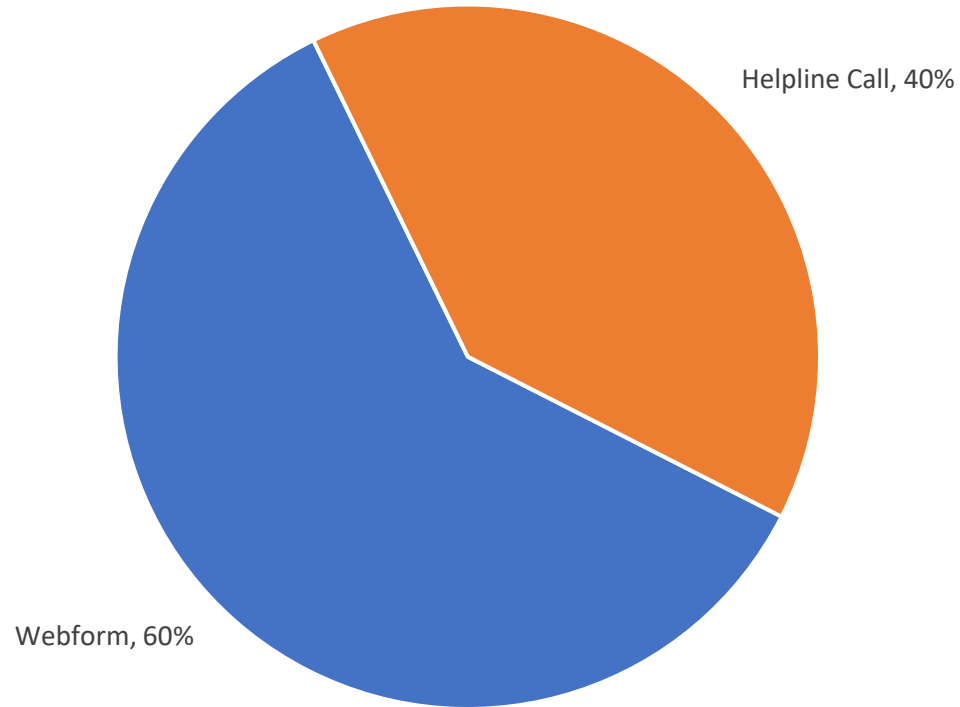
- Summarize all SafeGrounds cases at a high level
- Analyze data to monitor trends
- Identify training needs
- Provide information to schools and departments
- Report to senior leadership and the board as needed

SafeGrounds Usage Fiscal Year 2021-2022



Total number of cases (FY22) = 6,687

Compliance Helpline Reporting Method Fiscal Year 2021-2022



Total number of Compliance Helpline reports (FY22) = 73