



Board of Visitors
Audit, Compliance, and Risk Committee
March 5, 2021

March 2021
Audit,
Compliance, and
Risk Committee
Meeting Agenda

Remarks by Dr. Lateef, Committee Chair

Written Reports (Audit, ERM)

Report on Incident Management in SafeGrounds
and Plans for Enterprise-Wide Reporting

Motion to move to Closed Session

Gary Nimax, AVP
for Compliance

Report on Incident Management in SafeGrounds
and Plans for Enterprise-Wide Reporting

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

Progress on Compliance's Hotline Rationalization Goal



Incident Management in SafeGrounds

- Leverages the investment in SafeGrounds to standardize complaint management in one in-house 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

Web Intake Form

COMPLIANCE HELP LINE

Logged in as: Gary Nimax (gsn6x)

IF THIS IS AN EMERGENCY OR SOMEONE IS IN DANGER, CALL 911

The University of Virginia's Academic Division and Health System have provided this website for you to securely and confidentially report unethical behavior and policy violations. Thank you for taking the time to report your concern.

Instead of submitting a concern through this website, you may call (800) 235-8700 to submit a report either anonymously or using your name. Calls are answered 24/7 by a third-party vendor and your report will be routed to the appropriate office.

Please indicate your affiliation with UVA: *

Division where incident occurred: *

Example SafeGrounds Case Management

Gary Nimax

Compliance

Development

Case #21-0009 (32721)

Overview

Compliance Academic

Evaluation

Edit

Actions

Email

Subscriptions

Involved Parties

Attachments

Merge

Export

Audit

Dashboard

☰

Filter Classifications



? Help

Log out

Case Overview

Dashboard / Case #21-0009 (32721) / Overview

Case Tools ▾

Case #21-0009 (32721) Active

Case Types

- Conflict of Interest (ComplianceAcademic)

Attributes

- None

Linked Cases

- None

Incident Description

THIS IS A TEST CASE ONLY

Report Information

Received:	Reporter
Reported On:	2/17/2021 6:13:00 PM
Created By:	Gary Nimax
Method of Contact:	Form

Steps To Complete

Compliance Academic

Pre Eval

Closed

Evaluation Panel Completed

Considered Other Classifications

Consider

Involved Parties

+ Add

	Role	Name	Relationship	Actions
▶	Reporter/Complai...	Unknown	Employee	View Profile
▶	Respondent	Steven Sherman (srs8n)	Employee	View Profile

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

Motion for Closed Session

Mr. Chair, I move the Audit, Compliance, and Risk Committee into closed meeting to proprietary information of the UVA Medical Center, the release of which would put the Medical Center at a competitive disadvantage; and information technology security-related matters for the Academic Division and UVA Health as provided for in Section 2.2-3711(A)(22) and (19) of the Code of Virginia .

Committee Vote on Closed Session

I move that we vote on and record our certification that, to the best of each Board member's knowledge, only public business matters lawfully exempted from open meeting requirements and which were identified in the motion authorizing the closed session, were heard, discussed or considered in closed session.