

**AUDIT AND COMPLIANCE COMMITTEE  
ELECTRONIC MEETING VIA BLUEJEANS  
VIDEOCONFERENCING PLATFORM  
September 15, 2020  
11:00 AM**

*Due to the COVID-19 pandemic, the meeting was held by electronic communication means in accordance with Va. Code § 2.2-3708.2, Chapter 1283 of the 2020 Acts of the Virginia General Assembly, and Governor Northam's Executive Order 51 dated March 12, 2020.*

**BOARD MEMBERS PRESENT- participating via Bluejeans**

Alan Wagner, MD (Chair)  
Robert Bianchi, Rear Adm. (USN) Ret.  
Sarah Bishop  
Theresa Emory, MD  
Sharon Goodwyn  
Chester Hart  
W. Ashton Lewis  
Marcus Martin, MD  
Brice Waldholtz, MD

**OTHERS PRESENT- via Bluejeans**

Mark Babashanian  
Vickie Dean  
Camille Endres  
Helen Heselius  
Trey Oglesby  
Nicholas Strong  
Jennifer Williams  
Barrett Wood

**OTHERS PRESENT- Burroughs Boardroom, EVMS**

Brant Cox  
Richard Homan, MD  
Stacy Purcell  
Heidi Smith  
Josephine Wiley

**CALL TO ORDER**

Dr. Alan Wagner, Chair, called the meeting to order at 11:02 AM.

**APPROVAL OF MINUTES**

The minutes of the Audit and Compliance Committee meeting held on June 9, 2020, were unanimously approved by roll call vote as distributed. Wagner- yes; Bianchi- yes; Bishop- yes; Emory-yes; Goodwyn-yes; Hart- yes; Lewis- yes; Martin- yes; Waldholtz- yes

### **KPMG EXTERNAL AUDIT UPDATE**

Mr. Trey Oglesby discussed the progress of the external audit. The 2020 Financial Statement audit and the Uniform Guidance audits are underway. Fieldwork has been underway for three weeks and all audit areas are in review or completed. To date, KPMG has not identified any audit misstatements or control deficiencies. KPMG plans to issue the results of the audit at the October meeting.

### **FY21 INTERNAL AUDIT PLAN**

Mr. Barrett Wood, Executive Director of Internal Audit, presented the proposed Internal Audit Plan for FY 2021. The risk-based audits include two audits which were deferred from the FY20 audit plan due to the COVID-19 pandemic: the New Academic Program Development Process audit and the Financial Aid audit. The Research and Development audit is also planned for FY21. Annual audits will include Indigent Care, Procurement Card Program, Petty Cash Funds, and VA post-911 GI benefits. The plan includes time for risk assessment, fraud investigation, and other special investigations requested by management.

**ACTION:** Upon a motion made and seconded, the committee voted by roll call vote to accept the FY21 Internal Audit Plan as proposed. Wagner- yes; Bianchi- yes; Bishop- yes; Emory-yes; Goodwyn-yes; Hart- yes; Lewis- yes; Martin- yes; Waldholtz- yes

### **INTERNAL AUDIT UPDATE**

Mr. Wood reviewed the Internal Audit Update including the status, findings, and pending or completed corrective action of the risk-based and annual audits that are currently in progress, completed, or planned. All FY20 annual audits have been completed. For FY21, the annual procurement card audits are in progress. The Facilities Management risk-based audit reporting is in progress, and is anticipated to be completed by December. For FY21, preliminary planning has begun for the Financial Aid audit, which is anticipated to begin in November or December.

### **COMPLIANCE REPORT**

Ms. Stacy Purcell, Vice President and General Counsel and Compliance Officer updated the Committee on the ongoing COVID-19 training required for all faculty and staff. The Office of the General Counsel is working with Human Resources and Occupational Health to finalize the Infectious Disease Preparedness and Response Plan as required by the Virginia Department of Labor and Industry Emergency Temporary Standards. As the required EVMS COVID training began prior to these new regulations, mandatory supplemental training has been created and will be available this week for all faculty and staff.

## **POLICIES FOR ACTION**

Ms. Purcell presented eight policies for action.

- Non-Discrimination and Anti-Harassment Policy\*\*
- Policy on Resolution of Allegations of Sexual Harassment\*\*
- Compensation Policy\*\*
- Telework Policy\*\*
- Securing Employment Policy\*\*
- Influenza Vaccine Policy\*\*
- Commercial Presentations During CME Activities Policy\*\*
- Business Related Expenses and Reimbursement Policy\*\*

Ms. Goodwyn requested two typographical corrections to the Policy on Resolution of Allegations of Sexual Harassment, as well as clarification of the term “supportive and remedial response.” Ms. Josephine Wiley, Executive Director of Legal and Compliance and Institutional Title IX Coordinator, explained that a supportive response would be any measure employed to allow students or employees to remain in their educational program or job position while working through the Title IX process. This can include things such as schedule changes or referrals to outside support services like the YWCA.

In response to a question from Dr. Marcus Martin, Ms. Purcell summarized the review process for policies.

Dr. Wagner inquired as to the financial impact of maintaining compliance with regulations like Title IX and whether EVMS budgets accordingly. Ms. Purcell confirmed that the creation of additional positions necessitated by new state or federal regulations go through the normal budget review process.

Mr. Wood asked for clarification of a deletion in the Business Expense policy. This deletion was determined to be inadvertent and was added back into the final policy for approval.

**ACTION:** Upon a motion made and seconded, the committee unanimously voted by roll call vote to approve the policies as presented, including the edits to the Policy on Resolution of Allegations of Sexual Harassment and the Business Related Expenses and Reimbursement Policy. Wagner- yes; Bianchi- yes; Bishop- yes; Emory-yes; Goodwyn-yes; Hart- yes; Lewis- yes; Martin- yes; Waldholtz- yes

There being no further business to discuss, the meeting adjourned at 11:26 AM.

Heidi G. Smith  
Recording Secretary