

COMPLIANCE AND ETHICS COMMITTEE
Immediately Following
Governance Committee Meeting
June 25, 2019

1. NOTICE

Notice of this meeting is attached to the official Minutes as EXHIBIT I. The official Agenda for this meeting, as presented for the consideration of the Committee, is attached to the official Minutes as EXHIBIT II.

2. CALL TO ORDER 1:26 pm

3. COMMITTEE MEMBERS

- Commissioner Nancy W. Gregoire, Chair
- Commissioner Andrew M. Klein
- Commissioner Christopher T. Ure (WebEx)
- Commissioner Ray T. Berry
- Commissioner Stacy L. Angier
- Commissioner Marie C. Waugh (absent)

ADDITIONALLY PRESENT Gino Santorio/President/CEO, Alan Goldsmith/CAO, Alex Fernandez/CFO, Brian Kozik/CCO, Steve Forman/Compliance Consultant, Linda Epstein/General Counsel, Brett Bauman/Assistant GC, Nigel Crooks/Chief Internal Auditor

4. PUBLIC COMMENTS None

5. APPROVAL OF MINUTES

Approval of the Compliance and Ethics Committee meeting minutes, dated May 22, 2019

MOTION It was *moved* by Commissioner Klein, *seconded* by Commissioner Angier, to:

**APPROVE THE COMPLIANCE AND ETHICS COMMITTEE MEETING
MINUTES DATED MAY 22, 2019.**

Motion *carried* unanimously

6. TOPIC OF DISCUSSION

6.1. Chief Compliance Officer Report – Brian Kozik

Mr. Kozik shared brief updates on the activity listed below.

MINUTES

- Automated annual conflict of interest survey
- Schedule for regional compliance committee meetings (invitation extended to Board Members)
- Draft of compliance subcommittee charter
- Creation of scorecard for regional compliance committees
- Weekly compliance staff meetings to include leaders from legal, audit, claims and insurance services
- Two-day training given by the Association of Certified Fraud Examiners
- Next Generation Compliance Track platform
- Schedule for first Ambulatory Compliance Committee meeting
- Focus arrangement quarterly audits
- Tracking remuneration audits for leases, call coverage, and medical directorships
- Condition Code 44, audit observation stay
- Engagement of vendor to review Broward Health's information system related to security and privacy
- Management engagement plan to comply with annual CIA compliance training
- Department of Health and Human Services' recommendation on noticing physicians of Broward Health's laboratory compliance program
- December 2018, Office of Inspector General's audit of Broward Health's Medicare regional administrative contractor, First Coast Services
- Update to stipulated penalties received for failure to comply with specific sections of the Corporate Integrity Agreement. Mr. Kozik clarified that the issues occurred in 2017-2018, prior to his arrival and the formation of the new compliance program

MOTION It was *moved* by Commissioner Klein, *seconded* by Commissioner Angier, that:

THE COMPLIANCE AND ETHICS COMMITTEE RECOMMEND THAT THE BOARD OF COMMISSIONERS OF THE NORTH BROWARD HOSPITAL DISTRICT AUTHORIZE THE PRESIDENT/CEO TO RESOLVE ANY CONCERNS OR PENALTIES WITH THE OFFICE OF INSPECTOR GENERAL THAT WOULD INCLUDE PAYMENT FOR STIPULATED PENALTIES.

MINUTES

Motion *carried* unanimously

Commissioner Berry recommended the organization request the amount paid in stipulated penalties be waived or returned as indigent care funds. He also requested that all future stipulated penalties be reported to the Board.

Commissioner Angier requested that the savings received by changing Broward Health's Independent Review Organization firm be used to pay the stipulated penalties.

*Continuation of Mr. Kozik's report below.

- Permanent General Counsel position reported to the Office of Inspector General
- HIPAA breaches reported to the Office of Inspector General
- Blanket and individual waivers requested from the Office of Inspector General
- Internal interviews scheduled with Independent Review Organization

6.2 GA-004-001 Compliance Department and Human Resource Protocol

MOTION It was *moved* by Commissioner Angier, *seconded* by Commissioner Berry, to:

APPROVE THE GA-004-001 COMPLIANCE DEPARTMENT AND HUMAN RESOURCE PROTOCOL POLICY.

Motion *carried* unanimously

6.3 GA-004-004 Duty to Report

MOTION It was *moved* by Commissioner Berry, *seconded* by Commissioner Angier, to:

APPROVE THE GA-004-004 DUTY TO REPORT POLICY.

Motion *carried* unanimously

6.4 GA-004-305 Non-Retaliation or Retribution

MOTION It was *moved* by Commissioner Berry, *seconded* by Commissioner Angier, to:

APPROVE THE GA-004-305 NON-RETALIATION OR RETRIBUTION POLICY.

Motion *carried* unanimously

MINUTES

7. **ADJOURNMENT** 1:53 pm

MOTION It was *moved* by Commissioner Berry, *seconded* by Commissioner Angier, to:

ADJOURN THE COMPLIANCE AND ETHICS COMMITTEE MEETING.

Motion *carried* unanimously.

Respectfully submitted,
Commissioner Ray T. Berry, Secretary/Treasurer

APPROVED