

# Bartlett Regional Hospital

3260 Hospital Drive, Juneau, Alaska 99801 907.796.8900 [www.bartletthospital.org](http://www.bartletthospital.org)

## Board Compliance & Audit Committee Meeting

### Minutes

July 21, 2020

**Called to order at 7:00 AM., by Board Compliance Committee Chair, Marshal Kendziorek**

#### **Compliance Committee and Board Members:**

**Board Members:** Marshal Kendziorek, Committee Chair; Deborah Johnston; Iola Young; Kenny Solomon-Gross; Rosemary Hagevig

**Staff/Other:** Chuck Bill, CEO; Nathan Overson, Compliance Officer; Megan Costello, CLO; Dallas Hargrave, Human Resources Director

**Previous Board Compliance Meeting Minutes Approval:** *Ms. Young made a MOTION to approve the December 18<sup>th</sup> 2019 and the June 16<sup>th</sup> 2020 Board Compliance and Audit Committee Meeting minutes as submitted (The 03/31/2020 meeting was canceled due to COVID-19 considerations). Hearing no objection, Mr. Kendziorek approved both sets of minutes from the two prior meetings without change.*

#### **Education and Training:**

In the meeting packet, Mr. Overson provided a copy of the “Evaluation of Corporate Compliance Programs” written by the U.S. Department of Justice – (June 2020 update). This was an informational document, however Mr. Overson did comment on the significance of the document in determining how the federal government evaluates Compliance Programs in organizations, and gave a brief summary of some of the recent updates. Mr. Kendziorek emphasized the seriousness referenced in the document, of the need for a Compliance Program, and for the Board to be trained and involved in oversight of the Compliance Program of the hospital. He also encouraged everyone who may not have read it yet to do so.

#### **Compliance Work Plan Review:**

Mr. Overson talked about the different sections of the Work Plan, and spoke to a “red-lined” version highlighting the changes in the document since the last time the work plan was presented to the committee. Of note, the “completed” column was changed to “last performed” in keeping with the government’s expectation of continual vigilance to identified risk areas through monitoring and auditing, and process improvement. Ms. Johnston was interested in seeing timelines and risk ratings on the items that were more project oriented; the committee agreed. Ms. Hagevig wanted clarification on whether the auditing mentioned in the work plan included the annual financial audit. Mr. Overson stated that they were separate operational functions, however the Compliance Program would be interested in the outcome of the financial audit if there were findings that would be considered regulatory risk to the organization. Mr. Solomon-Gross was interested in seeing results from prior Compliance Program audits.

#### **Compliance Program Evaluation – 3<sup>rd</sup> Party Review:**

The committee talked through the most recent draft of the Request for Proposal (RFP) for a 3<sup>rd</sup> party evaluation of BRH’s Compliance Program. The discussion focused on section 2; Project Information. Mr. Kendziorek questioned whether it was necessary for the contractor to be on-site to perform the evaluation. Mr. Bill agreed that the on-site requirement be left open due to current travel uncertainty.

#### **Compliance Officer Report:**

In the Compliance Officer’s report, Mr. Overson talked through the Compliance Log Dashboard and some of the requests that came from the committee in the last meeting. Compliance incidents from CY 2019, YTD 2020 and a rolling 12-month view were discussed. There was some discussion regarding the

numbers of incidents that seemed to be trending closely year over year; which was not necessarily expected since COVID-19 was such an interruption to normal business operations.

**Update on education training for all board members:**

Mr. Kendziorek lead the discussion stating that compliance education and training should be made a priority for the Board of Directors as a whole, and was interested in making sure it got done as soon as possible, but surely in this calendar year. There was some discussion about who, how and when the training should take place. The committee agreed that by Mr. Overson performing the education, the in-house approach would offer scheduling flexibility. The committee discussed that this education session should be a standalone meeting for the Board, and should also be offered via Zoom. Ms. Johnston suggested that the compliance education, and training be calendared annually along with the rest of the regularly scheduled Board meetings.

**Executive session:** This meeting did not go into executive session.

**Meeting Adjourned** 8:10 am

**Next Meeting** September 15, 2020 at 7:00 am