



**Minutes of the Open Session of the
Compliance and Audit Committee
Wednesday, August 22, 2018
El Camino Hospital | Conference Room E
2500 Grant Road, Mountain View, CA 94040**

Members Present

Sharon Anolik Shakked, Chair
(via teleconference)
Neysa Fligor, Vice Chair
Lica Hartman
Julia Miller
Christine Sublett

Members Absent


Bob Rebitzer

Agenda Item	Comments/Discussion	Approvals/ Action
1. CALL TO ORDER/ ROLL CALL	The open session meeting of the Compliance and Audit Committee of El Camino Hospital (the "Committee") was called to order at 5:01pm by Chair Anolik Shakked, who participated via teleconference. A verbal roll call was taken. Mr. Rebitzer was absent. All other Committee members were present at roll call.	
2. POTENTIAL CONFLICT OF INTEREST	Chair Anolik Shakked asked if any Committee members had a conflict of interest with any of the items on the agenda. No conflicts were reported.	
3. PUBLIC COMMUNICATION	None.	
4. CONSENT CALENDAR	<p>Chair Anolik Shakked asked if any member of the Committee or the public wished to remove an item from the consent calendar. No items were removed.</p> <p>Motion: To approve the consent calendar: Minutes of the Open Session of the Corporate Compliance/Privacy and Internal Audit Committee Meeting (May 17, 2018); Minutes of the Open Session of the Joint Meeting of the Corporate Compliance/Privacy and Internal Audit Committee and the El Camino Hospital Board of Directors (May 9, 2018); and for information: Status of FY19 Committee Goals.</p> <p>Movant: Fligor Second: Hartman Ayes: Anolik Shakked, Fligor, Hartman, Miller, Sublett Noes: None Abstentions: None Absent: Rebitzer Recused: None</p>	<i>Consent Calendar approved</i>
5. REPORT ON BOARD ACTIONS	<p>Ms. Fligor referred to the recent Board actions as further detailed in the packet. She described the upcoming election in November 2018 and its effect on District Board membership.</p> <p>Chair Anolik Shakked requested a copy of the Board goals for all Committee members' information.</p>	<i>Staff to provide copies of the FY19 Board Goals</i>
6. POLICIES FOR APPROVAL	<p>Diane Wigglesworth, Sr. Director, Corporate Compliance, outlined the policies as further detailed in the packet.</p> <p>In response to Ms. Miller's and Ms. Fligor's questions, Ms. Wigglesworth described the process for internal policy drafting and review by outside counsel, the review and approval process, and the alignment of policies and</p>	<i>Policies recommen- ed for approval</i>

	<p>procedures by the business owners.</p> <p>Ms. Fligor requested that the language regarding conflicts and order of precedence be further refined.</p> <p>Motion: To recommend that the Board approve the policies with the edit noted above regarding conflicts.</p> <p>Movant: Sublett</p> <p>Second: Fligor</p> <p>Ayes: Anolik Shakked, Fligor, Hartman, Miller, Sublett</p> <p>Noes: None</p> <p>Abstentions: None</p> <p>Absent: Rebitzer</p> <p>Recused: None</p>	
<p>7. COMMITTEE AGENDA ITEMS AND MATERIALS DISCUSSION</p>	<p>Ms. Wigglesworth noted that the Committee's self-assessment included a recommendation to evaluate agenda items and review materials and asked the Committee for feedback.</p> <p>Ms. Fligor requested that Ms. Wigglesworth continue to highlight important items for the Committee's attention. The Committee noted that there are no revisions to agendas or materials at this time. Ms. Sublett commented that issues, questions, and requests for information are resolved in a timely manner.</p> <p>Ms. Wigglesworth suggested and the Committee agreed that Articles of Interest in future packets would be useful and educational.</p>	
<p>8. KPIs, SCORECARD, AND TRENDS</p>	<p>Ms. Wigglesworth reported that the number of issues brought to and investigated by Compliance is consistent with the previous year. She commended staff, patients, and community members for reaching out to Compliance in response to incidents and praised the overall reporting culture. She noted that there has been an increase in the number of reportable privacy breaches.</p> <p>Ms. Hartman suggested developing an acceptable range of key risk indicators, where trending outside of the range would require notification/escalation. Alex Robison from Protiviti noted that there are no CMS guidelines in this area and management would need to develop the guardrails. The Committee requested a recommendation from staff regarding an updated KPI/trend summary, including escalation thresholds, and whether or not this could or should be a closed session topic.</p>	<p><i>Staff to provide an updated KPI/trend summary</i></p>
<p>9. ADJOURN TO CLOSED SESSION</p>	<p>Motion: To adjourn to closed session at 5:29pm pursuant to <i>Gov't Code Section 54957.2</i> for approval of Minutes of the Closed Session of the Corporate Compliance/Privacy and Internal Audit Committee Meeting (May 17, 2018) and Minutes of the Closed Session of the Joint Meeting of the Corporate Compliance/Privacy and Internal Audit Committee and the El Camino Hospital Board of Directors (May 9, 2018); pursuant to <i>Gov't Code Section 54956.9(d)(2)</i> – conference with legal counsel – pending or threatened litigation: for information (Compliance Log, Privacy Log, Internal Audit Follow Up, Internal Audit Work Plan, Committee Pacing Plan); pursuant to <i>Gov't Code Section 54956.9(d)(2)</i> – conference with legal counsel – pending or threatened litigation: Report on Internal Audit Activity; pursuant to <i>Gov't Code Section 54956.9(d)(2)</i> – conference with legal counsel – pending or threatened litigation: FY18 Patient Safety Report; pursuant to <i>Gov't Code Section 54956.9(d)(2)</i> – conference with legal counsel – pending or threatened litigation: FY18 Annual Compliance and Privacy Report; pursuant to <i>Gov't Code Section 54956.9(d)(2)</i> – conference</p>	<p><i>Adjourned to closed session at 5:29pm.</i></p>

	<p>with legal counsel – pending or threatened litigation: IT Security Discussion; pursuant to <i>Gov't Code Section 54957</i> for discussion and report on personnel matters: Executive Session – Senior Management.</p> <p>Movant: Sublett Second: Hartman Ayes: Anolik Shakked, Fligor, Hartman, Miller, Sublett Noes: None Abstentions: None Absent: None Recused: None</p>	
<p>10. AGENDA ITEM 18: RECONVENE OPEN SESSION/ REPORT OUT</p>	<p>Open session was reconvened at 7:18pm. Agenda Items 10-17 were covered in closed session.</p> <p>During the closed session, the Committee approved the Minutes of the Closed Session of the Corporate Compliance/Privacy and Internal Audit Committee Meeting (May 17, 2018) and the Minutes of the Closed Session of the Joint Meeting of the Corporate Compliance/Privacy and Internal Audit Committee and the El Camino Hospital Board of Directors (May 9, 2018) by a unanimous vote of all members present (Anolik Shakked (via teleconference), Fligor, Hartman, Miller, Sublett). Mr. Rebitzer was absent.</p>	
<p>11. AGENDA ITEM 19: ADJOURNMENT</p>	<p>Motion: To adjourn at 7:19pm.</p> <p>Movant: Sublett Second: Hartman Ayes: Anolik Shakked, Fligor, Hartman, Sublett Noes: None Abstentions: None Absent: Miller, Rebitzer Recused: None</p>	<p><i>Meeting adjourned at 7:19pm.</i></p>

Attest as to the approval of the foregoing minutes by the Compliance and Audit Committee of El Camino Hospital:


 Sharon Anolik Shakked
 Chair, Compliance and Audit Committee