Parkland

Governance, Compliance and Ethics

Agenda

Committee Members
Chair: Reina Gonzalez, JD
Eric G. Bing, MD, PhD
Byron Cryer, MD
Ramon Miguez, PE
Lisa Sutter

Agenda for the ***Governance, Compliance and Ethics Committee Meeting of the Board of Managers*** meeting of the Dallas County Hospital District is scheduled for ***Wednesday, February 7, 2024, at 10:30 AM***, at 5200 Harry Hines Blvd (WISH Building) Dallas, TX 75235, Executive Conference Room 02-175. (If assistance is needed in locating the room, please see the Administration receptionist on the 4th floor, 04-131.) A quorum will be physically present at the location of the meeting. Videoconferencing access is also possible via WebEx. That application is available at https://www.webex.com/downloads.html. Teleconferencing access is possible by calling +1-415-655-0001. Both virtual access forms require inputting (meeting number: 2632 865 7314; meeting password: 1234) to join the meeting. The ***Governance, Compliance and Ethics Committee*** reserves the right to exercise discretion and may convene in Executive Session as permitted by Texas Government Code §§551.071 (consultation with attorney), 551.072 (deliberations regarding real estate), 551.074 (personnel matters), 551.076 (deliberations regarding security devices or security audits), 551.078 and/or 551.0785 (deliberations by medical committee or by governmental body that administers a public insurance, health or retirement plan regarding individuals' medical or psychiatric records), 551.087 (deliberation regarding economic development negotiations), 551.088 (deliberation regarding test item); Texas Government Code §418.183 (deliberation of information under §§418.175 – 418.182 for purposes of disaster management or disaster planning); Texas Health & Safety Code §161.032 (medical committee or medical peer review committee records, information or reports; and/or medical committee or medical peer review committee proceedings under Tex. Health & Safety Code Chapter 161 and/or Tex. Occ. Code Chapters 151 and 160); and/or as otherwise authorized by law on any item listed below. The ***Governance, Compliance and Ethics Committee*** may consider any of the agenda items in open or executive session and may continue the meeting as necessary to accomplish the business at the time and place designated by the Chair to reconvene.

	PAGE	TIME (MIN)	PRESENTER(S)
I. Declare a Quorum Present/Call to Order/Mission Statement ***Advance Wellness | Relieve Suffering | Develop and Educate*** **I CARE** **I**ntegrity **C**ompassion and Collaboration **A**ccountability **R**espect **E**quity			Chair
II. Public Comments Regarding Agenda Items *See public comment registration information and rules at https://www.parklandhospital.com/board-of-managers*			

	PAGE	TIME (MIN)	PRESENTER(S)
III. Reports Requiring Deliberation(s) or Approval			
A. Recognition & Discussion with Compliance & Ethics Department Staff	1	5	Chair Melanie Roberts
B. Policies and Procedures	2	10	Melanie Roberts
i. SYS.LEAD.009 Event Reporting to the BOM	3-5		Steven Roth, JD
ii. SYS.LEG.005 Authorization to Settle Liability Claims	6-8		
C. Discuss Board Reimbursement Process	9-11	15	Chair
IV. Executive Session Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007; Tex. Gov't Code §§551.071, §§551.074, & 551.085			
A. Institutional Ethics Committee Report	12-21	10	Jennifer Wimberly, MD
B. Compliance and Ethics Report	23	20	Melanie Roberts
i. Annual Compliance Program Review	24		
ii. Electronic Health Record Monitoring	25-28		
iii. Regulatory Update			
C. Quarterly Report of Open Compliance Reviews Attorney-Client Privileged & Confidential	30	10	Roshan Thayil Steven Roth, JD
D. Chief Compliance & Ethics Officer One-on-One with Committee	31	15	Chair
V. Action Item			
A. The Board may take action on any agenda item(s) above	32		Chair
VI. Executive Session Reference Documents Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007; Tex. Gov't Code §§551.071, & 551.085			
A. Department Objectives Dashboard	34		
B. Key Performance Indicators Report	35-41		
C. Investigations Unit Report	42-46		
D. Revenue Cycle Audit Report	47		
E. Conflicts of Interest Campaign Overview	48		
F. Conflicts of Interest Report	49-53		
G. Sanction Screening Report	54-57		

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VII. Closing Remarks	58		Chair
VIII. Adjourn	59		Chair

III. REPORTS REQUIRING DELIBERATION(S) AND APPROVAL(S)

III (A). Recognition & Discussion with Compliance & Ethics Department Staff

Parkland

Fun Facts about the Compliance & Ethics Team*

- 192 combined years of **Parkland** experience
- 245 combined years of healthcare-specific **compliance & ethics experience**
- 35 **licenses and certifications** in healthcare-specific professional disciplines

*Updated Jan 2024

III. REPORTS REQUIRING DELIBERATION(S) AND APPROVAL(S)

III (B). Approve Policies and Procedures

i. SYS.LEAD.009 Event Reporting to the BOM

ii. SYS.LEG.005 Authorization to Settle Liability Claims

SYS.LEAD.009 Crisis Information Reporting to the Board of Managers

Background:

- Last published 2/25/21.
- Reviewed every three years.

Updates:

- Updated to “Parkland Health” throughout.
- Updated Scope.
- Added "Workforce Member” to Definitions section.

Reviews and approvals of this version:

- Ciel Murphy, Director of Legal Operations
- Steven Roth, Chief Legal Officer
- Executive Compliance Committee (scheduled for 12/17/23)
- Board Governance Compliance and Ethics Committee (scheduled for 2/7/24)
- Board of Managers (scheduled for 2/28/24)

PURPOSE:

The Board of Managers (the Board) of the Dallas County Hospital District d/b/a Parkland Health ~~& Hospital System~~ (Parkland) has established the following policy and procedures (Policy) to ensure that as set forth herein operational, compliance, financial, legal and regulatory, patient care and safety, and reputational concerns and developments are timely reported to the Chair of the Board and/or the appropriate Board Committee Chair. This Policy is intended to operate consistently with and to utilize the reporting lines and processes that have been established between senior management and the Board for reporting information.

This Policy does not affect the right of all personnel to report concerns or matters directly to the Board.

SCOPE:

All Parkland Health ~~& Hospital System~~\ ("Parkland") ~~employees, contract employees, physicians, and students.~~Workforce members.

POLICY:

1. Reporting

   A. The Chief Executive Officer ("CEO") shall be responsible for timely reporting the Crisis Information to the Board as required under this Policy. The CEO will notify the Board Chair and appropriate Committee Chair(s) as required by this Policy or direct another member of senior management to make the notification. The Board Chair may disclose, or direct the appropriate member of senior management to disclose, the Crisis Information to other members of the Board, as appropriate. Upon being notified of Crisis Information, the Board or appropriate Committee Chair(s) shall decide whether to notify the other members of the Board or Committees before the next regularly scheduled meeting.

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B. If the CEO is unavailable then senior management shall be responsible for reporting Crisis Information as required by this Policy.

C. All verbal and written communications regarding Crisis Information shall be treated as highly confidential.

2. Interaction with Other Policies

A. Any communications falling within the scope of Parkland's procedures for handling existing accounting, compliance, quality and patient safety, or auditing communications shall also be handled in accordance with those policies.

DEFINITIONS:

Crisis Information means any conduct, development, event, matter or proceeding that in the judgment of the CEO is of sufficient importance to warrant disclosure to the Board and/or appropriate Committee Chair(s) because it involves a probable, material, and significant financial, operational, compliance, legal or regulatory, quality or patient safety, or reputational risk. When making this determination, the CEO will also take into consideration special concerns of the Board.

Workforce Member: An Officer, board member, employee, volunteer, contractor, vendor, trainee, or other person whose conduct, in the performance of work for Parkland, is under the direct control of Parkland or a Parkland Affiliate, whether or not he or she is paid by Parkland or a Parkland Affiliate. "Workforce member" also includes all physicians, other members of the medical staff, and non-physician clinical providers, whether or not employed by Parkland.

REFERENCES:

N/A

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SYS.LEG.005 Authorization to Settle Liability Claims

Requirements regarding this document are found in:

- Texas Civil Practices and Remedies Code

Background:

- Last published 2/25/21.
- Management has no recommended changes.

Approvals:

- Director of Policies and Procedures
- Steve Roth, EVP and CLO
- Executive Compliance Committee (scheduled for 1/17/24)
- Board of Managers Governance, Compliance, and Ethics Committee (scheduled 2/7/24)
- Board of Managers (scheduled 2/28/24)

PURPOSE:

The Dallas County Hospital District is a political sub-division of the State of Texas and has limited liability for personal injuries or property damage to the extent allowed under the Texas Tort Claims Act, Texas Civil Practice and Remedies Code Chapter 101, et seq.

SCOPE:

Parkland's Chief Executive Officer, Parkland's Chief Legal Officer, and the Board of Managers.

PROCEDURE:

1. Settlements and Claims That Do Not Exceed $100,000:

    A. The Chief Executive Officer, acting in consultation with and through the Chief Legal Officer, shall have the authority to settle any claim that does not exceed $100,000.

2. Settlements and Claims over $100,000:

    A. Settlement of claims over $100,000 will be referred to the Board of Managers for approval.

3. All claims for bodily injury, death, or injury to, or destruction of property shall be made by the claimant or an authorized representative of the claimant in writing, shall be signed, and shall be made within the period prescribed by law.

4. Claims shall be investigated by the Institutional Risk Manager or designee, who shall report the results of the investigation and make recommendations to the Chief Legal Officer and the Chief Executive Officer as necessary for action.

EQUIPMENT:

N/A

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DEFINITIONS:

N/A

REFERENCES:

Tex. Civ. Prac. & Rem. Code Ann. §74.001 et. seq. (2003)

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III (C). Discuss Board Reimbursement Process

VII. Closing Remarks

VIII. Adjourn