Parkland

Governance, Compliance and Ethics

Agenda

Committee Members
Chair: Reina Gonzalez, JD
Byron Cryer, MD
Ramon Miguez, PE
Yasim Simon, JD
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, August 6, 2025, at 12:30 PM***, or directly following the Talent, Development and Executive Compensation Committee Meeting, 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: 2305 619 9607; 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 Possible Action			
A. Presentation of the Fiscal Year 2026 Compliance and Ethics Department Budget	*4-6*	5	Chair
B. Presentation of the 2025 Compliance and Ethics Program Auditing Assessment by Forvis Mazars	*7-9*	10	W. Charles Johnson, Jr. Forvis Mazars
IV. Executive Session Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007; Tex. Gov't Code §§551.071			
A. Receive Report from Chief Compliance and Ethics Officer regarding the 2025 Compliance and Ethics Program Auditing Assessment Conducted by Forvis Mazars (Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occ. Code §160.007)	*10-29*	20	W. Charles Johnson, Jr. Melanie Roberts
B. Receive Report from Chief Compliance and Ethics Officer regarding the 2025 Compliance and Ethics Program Functions Assessment Conducted by Ankura (Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occ. Code §160.007)	*30-57*	5	Melanie Roberts
C. Review and Potential Discussion on the Following Compliance and Ethics Reports (Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007) i. FY25 Compliance Risk Assessment & Enterprise Risk Management Survey ii. Compliance Committee Structure Revisions iii. FY26 Compliance Work Plan Focus Areas	*58-65*	15	Chair
D. Institutional Ethics Committee Report (Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007)	*66-85*	15	Jennifer Wimberly, MD

	PAGE	TIME (MIN)	PRESENTER(S)
E. Attorney-Client Privileged & Confidential Review and Discussion of Quarterly Report of Open Compliance Reviews and Audit Reports (Tex. Gov't Code §551.071)	*86-87*	5	Steven Roth, JD Roshan Thayil
F. Consultation with Attorney Regarding Pending Litigation Pertaining to a Retaliation Claim (Tex. Gov't Code §551.071)	*88*	5	Steven Roth, JD
G. Discussion Regarding Report and/or Information Provided by the Chief Compliance & Ethics Officer and Related Items on this Agenda (Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007)	*89*	10	Chair
V. Executive Session – Possible Deliberation Regarding Documents Received by the Committee Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007; Tex. Gov't Code §§551.071			
A. Fiscal Year Quarter Three (FY Q3) and Year-to-Date (YTD) Compliance Department Reports: i. Sanction Screening Results ii. Conflicts of Interest Program Activities and Dashboard iii. Audit Activities Dashboard iv. Investigations Unit Dashboard with Description of Industry Benchmark Categories v. Work Plan, Departmental Goals and/or Objectives Dashboard vi. Key Performance Indicators vii. Information Privacy – Notice of Privacy Practices Enhancements	90-118		Chair
VI. Action Item A. The Board may take action on any agenda item(s) above			Chair
VII. Closing Remarks			
VIII. Adjourn			

III. Reports Requiring Deliberation(s) or Possible Action

III. Reports Requiring Deliberation(s) or Approval

III (A). Presentation of the Fiscal Year 2026 Compliance and Ethics Department Budget

FY26 Budget Review
Compliance and Ethics Department (Cost Center 87150 – Corporate Compliance)

	FY25 Budget	FY26 Budget
Salaries (inclusive of Employee Benefits and Contract Labor)	$3,572,050	$3,704,339
Professional Fees	$127,419	$365,949
Supplies	$16,515	$35,964
Other Expense	$61,496	$97,404
Total Expenses (inclusive of depreciation)	$3,889,419	$4,314,368

Increased budget due to market & staffing adjustments and vendor contract increases.

III. Reports Requiring Deliberation(s) or Approval

III (B). Presentation of the 2025 Compliance and Ethics Program Auditing Assessment by Forvis Mazars

Parkland Health Compliance and Ethics Program Auditing Assessment

Preliminary Observations – For Discussion Purposes Only

W. Charles Johnson, Jr., CIA, QIAL, CRMA, CFSA, CGAP
Director

Forvis Mazars
Internal Audit & Enterprise Risk Management

forvis mazars

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Compliance and Ethics Program Auditing Assessment

Summary of Recommendations

Preliminary Observations – For Discussion Purposes Only

Assessment Area	Recommendations
1. Structure of Compliance Function	None noted; revisit structure if FTEs change.
2. Audit Focus	Consider sharing workplan updates with Leadership Compliance & Ethics Committee and Sub-committees.
3. Number of Audits	No recommendations required.
4. Efficiency	No recommendations required.
5. Department Size and Qualifications	Consider functional reporting relationship to Board. Reassess staffing as automation increases.
6. Operational Overlap	Provide refresher training on workplan development and coordination processes.
7. Best Practices	None to make.

Note: Table contains an abbreviated summary of recommendations.

IV. Executive Session

Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007; Tex. Gov't Code §551.071

IV. Executive Session

IV (A). Receive Report from Chief Compliance and Ethics Officer regarding the 2025 Compliance and Ethics Program Auditing Assessment conducted by Forvis Mazars
(Tex. Health & Safety Code §§161.032 & 161.0315 and Tex. Occup. Code §160.007)

VI. Action Item

VI (A). The Board may take action on any agenda item(s) above.

VII. Closing Remarks

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VIII. Adjourn

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