UW Health Audit Committee

May 26, 2022, 8:30 - 10:00 AM

WebEx: https://uwhealth.webex.com/uwhealth/j.php?MTID=m42e4ec2198940f6ff787d3a1db1e9f7a
Meeting number: 2621 398 6078 // Password: 052622

**ADVANCE MEETING MATERIALS ARE POSTED FOR REFERENCE. OCCASIONALLY, THE POSTED MATERIALS DO NOT REFLECT CHANGES MADE SHORTLY BEFORE OR DURING COMMITTEE MEETINGS. THE FULL COMMITTEE MINUTES ARE THE OFFICIAL RECORD OF FINAL COMMITTEE ACTION**
# UW Health Audit Committee - May 26, 2022 - Public Meeting Notice

## Agenda

<table>
<thead>
<tr>
<th>Time</th>
<th>Item</th>
<th>Speaker</th>
<th>Type</th>
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<tbody>
<tr>
<td>8:30 AM</td>
<td>I. Call to Order</td>
<td>Mr. Ronald Anderson</td>
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<td>8:30 AM</td>
<td>II. Meeting Minutes - Open Session</td>
<td>Mr. Ronald Anderson</td>
<td>Approval</td>
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<td>8:31 AM</td>
<td>III. UW Health Compliance Committee Overview</td>
<td>Mr. Troy Lepien</td>
<td>Informational</td>
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<td>Presentation - UW Health Compliance Committee Overview</td>
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<td>8:41 AM</td>
<td>IV. Closed Session</td>
<td>Mr. Ronald Anderson</td>
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<td>Motion to enter into closed session pursuant to Wisconsin Statutes sections 19.85(1)(e) and 146.38 for the review and evaluation of health care services and the discussion of the following confidential strategic matters, which for competitive reasons require a closed session: review and approval of closed session minutes, discuss UW Health’s Enterprise Risk Management - Human Capital, and internal audit update, including review of high risk and completed internal audits; and, pursuant to Wisconsin Statutes section 19.85(1)(g) to confer with legal counsel regarding these and other matters.</td>
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<td>10:00 AM</td>
<td>V. Adjourn</td>
<td>Mr. Ronald Anderson</td>
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Compliance Committee Overview

- Charter
- External Sources
- Internal Compliance Documents
Compliance Committee Charter

- **Membership**
  - Chair – Regent Jones
  - Seven Members
    - Independent Majority
    - Two Physicians

- **Competencies/Expertise**
  - Cybersecurity
  - Risk
  - Physician/Patient Care (Ambulatory)
  - Privacy
  - Policies/Procedures
  - Human Resources
Responsibilities/Oversight

- Compliance Programs
- Privacy Program
- Documentation, Coding and Billing Compliance for Federal Payers (Facility, Professional, and Research Billing)
- Pharmacy Compliance including 340b and Drug Diversion
- Controls Sentencing of Organizations for Federal Crimes
- Sentencing Credit for Effective Compliance Programs
- Established Elements of Compliance Program

- Programs Designed by Size and Need
- Benefit to Organization & Federal Government
- Established Program Elements
7 Elements of an Effective Compliance Program

• 1. Standards, Policies, and Procedures
• 2. Compliance Program Administration
• 3. Screening and Evaluation of Employees, Physicians, Vendors and other Agents
• 4. Communication, Education, and Training on Compliance Issues
• 5. Monitoring, Auditing, and Internal Reporting Systems
• 6. Discipline for Non-Compliance
• 7. Investigations and Remedial Measures
Compliance Plan

- Approved by Board Directors
- Creates Compliance Program Structure
- Compliance Committee Responsibilities
  - Review and Ensure Enforcement of Compliance Program
  - Review Compliance Office Report to CEO and Board of Directors
  - Review & Approval of Work Plan & Annual Report
  - Review of External Investigations
  - Review Education, Auditing, and Monitoring
  - Promote Ethical Behavior
  - Review Material Concerns
  - Obtain Outside Counsel as Necessary
6 Divisions

• Corporate Compliance
• Hospital Compliance
• Professional Services Compliance
• Research Billing Compliance
• Pharmacy & Drug Diversion Compliance
• Privacy
Questions?