

# Complete Healthcare Compliance Manual

## Resource: Sample Compliance Committee Meeting Minutes

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By Cornelia Dorfschmid

### [NAME] Health System

Regular Meeting of the

Corporate Compliance Committee (CCC)

<b>Time:</b> [TIME] [A.M./P.M.] – [TIME] [A.M./P.M.] [TIME ZONE]	<b>Date:</b> [MM/DD/YYYY]
<b>Location:</b> [ROOM NAME], [BUILDING NAME]]	<b>Remote Access:</b> via [TEAMS, ZOOM, or Webex]

Members	Guests
<ul style="list-style-type: none"><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li></ul>	<ul style="list-style-type: none"><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li><li>• _____ [NAME], [JOB TITLE]</li></ul>

MINUTES			
#	Agenda Item	Meeting Note	Action Item

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	<b>Record of Attendance/Start Time:</b> Compliance officer (CO) [NAME]		
		<i>[Response examples follow]</i>  All but one member attended in person. [NAME] was excused and out of town. Quorum.	
	<b>Approval of Minutes:</b> CO [NAME]		
		Upon review, members approved minutes of the [XX/XX/XXXX] meeting	
	<b>Compliance Program Update:</b> CO [NAME]		
	New hire, hybrid work	<ul style="list-style-type: none"> <li>Human Resource (HR) director reported an update on candidates for new compliance manager position.</li> <li>Several department heads reported challenges their staffs had with timely completion of the specialized compliance training in the LMS due to technical issues and network access for remote workers.</li> <li>A lengthy discussion ensued on hybrid work environments and efficiencies in compliance training. CIO wanted to follow up with senior system admin on access issues.</li> </ul>	

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	<b>Policies, Procedures, and Code of Conduct Update:</b> <i>Presenter(s)</i> <i>[NAMES]</i>		
	Code of Conduct: revisions status	<ul style="list-style-type: none"> <li>Code of Conduct draft version 2/2022 was presented by CO and discussed members' requested edits to intro letter and Attestation Statement.</li> <li>CO brought back Exclusion Screening Policy, draft version 2a, after incorporating requested edits in prior meeting. Members approved the revised version.</li> <li>To ensure procedure matches process, CO emphasized importance of getting the COI policy revised and finalized prior to the upcoming annual COI survey.</li> </ul>	CO to revisit policy comments, edit suggestions with policy committee and compliance team, then bring back to next meeting.
	Exclusion Screening Policy: update		
	Conflict of Interest (COI) Policy: draft		
	Arrangements with Providers Policy: update		
	Billing Monitoring Policy: draft		
	Corporate Compliance Committee Charter: update		
	False Claims Act Policy: revision		
	<b>Risk Areas, Auditing, and Monitoring:</b> CO, <i>Presenter(s)</i> <i>[NAMES]</i>		

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	HHS OIG Work Plan: risk areas follow-up		
	Annual Risk Assessment: status		
	Annual Compliance Work Plan: progress report		
	Compliance score review/metrics: update		
	Regulatory update: <ul style="list-style-type: none"> <li>• Sunshine Act reporting requirements</li> <li>• 21st Century Cures Act final rule (information blocking)</li> <li>• COVID-19 blanket waivers</li> <li>• Telemedicine</li> </ul>		

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	External government audits update: <ul style="list-style-type: none"> <li>• RAC</li> <li>• ZPIC</li> <li>• TPE</li> <li>• OIG</li> </ul>		
	Annual Compliance Program Assessment: schedule and planning status		
	External audit: outsourced coding – audit status		
	Regulatory update: <ul style="list-style-type: none"> <li>• Sunshine Act reporting requirements</li> <li>• 21st Century Cures Act Final Rule (information blocking)</li> <li>• COVID-19 blanket waivers</li> </ul>		
	<b>Compliance Training and Education Update:</b> <i>Presenter(s) [NAMES]</i>		

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	Board compliance training presentation: schedule and content		
	New employee orientation/HR meeting		
	General compliance training [YEAR]: vendor proposal for LMS/content		
	General compliance training: statistics		
	Coding compliance training: schedule and content		
	<b>Exclusion Screening/Enforcement:</b> <i>Presenter(s) [NAMES]</i>		
	LEIE screening: update on monthly [YEAR] results		

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	Screening vendor: contract status		
	<b>Effective Communication (Hotline/Disclosures):</b> Presenter(s) [NAMES]		
	Hotline summary report: Q3/[YEAR]		
	Quarterly Compliance Newsletter: Q4/[YEAR] draft		
	<b>HIPAA:</b> Presenter(s) (e.g., Privacy Officer [PO]), Security Officer [SO]) [NAMES]		
	OCR disclosure/incident		
	Upcoming HIPAA security assessment		
	<b>Open Forum:</b> All		

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	<b>Adjournment/End Time</b> <u>[TIME] [A.M./P.M.]</u> <u>[TIME ZONE]</u>	Meeting concluded at [TIME] [AM/PM] [TIME ZONE]	Next meeting scheduled [MM/DD/YYYY]

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