Audit and Compliance Committee

Calendar Year 2021

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	February	April	June	July	September	October	November
	Audit and Compliance		Audit and Compliance		Audit and Compliance		Audit and Compliance
Major Topic	Committee	BOT Retreat	Committee	Full Board Meeting	Committee	BOT Retreat	Committee
Meeting Dates	2/17/2021	4/30/2021	6/16/2021	7/12/2021	9/15/2021	10/15/2021	11/17/2021
III. Old Business	.,			***	.,		
	X	N/A	Х	N/A	Х	N/A	X
IV. External Audit Reporting (Moss Adams)		<u> </u>					
Annual Financial Audit Plan	N/A	N/A	X	N/A	N/A	N/A	N/A
Quarterly Update		N/A	N/A	N/A	X	N/A	N/A
Final Audit Report	N/A	N/A	N/A	N/A	N/A	N/A	X *
Summary and/or Updates to the Full Board				X			
V. Internal Audit Reporting							
Annual Audit Plan	N/A	N/A	X	N/A	N/A	N/A	N/A
Audit Reports	X	N/A	X	N/A	Х	N/A	Х
VI. Compliance Update							
Compliance Program Updates	Х	N/A	Х	N/A	Х	N/A	Х
Privacy Compliance Report Summary	N/A	N/A	N/A	N/A	Х	N/A	Х
Information Security Report Summary	N/A	N/A	Х	N/A	Х	N/A	Х
Compliance Dashboard	X	N/A	Х	N/A	Х	N/A	Х
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VII. Education Session							
Compliance Education	Х	N/A	Х	N/A	Х	N/A	
Privacy Education							Х
Information Security Education							
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^{*} Calendar assumes that the annual audit will be completed on time and the final audit report will be presented in November.

Alameda Health System Board of Trustees Issue Tracking

Committee: Audit & Compliance

Version: September 7, 2021

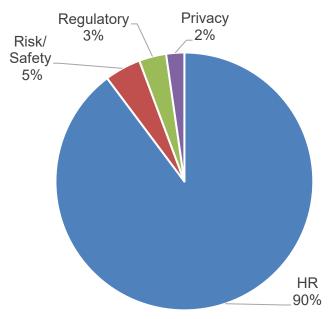
CURRENT ISSUES				
Topic: Question to Address	Date Raised	Assigned To	Progress	Target Date
Moss Adams Summary Report to the Full Board	6/16/2012	Moss Adams	On Target	11/17/2021
Cybersecurity	8/23/2021	E'Jaaz Ali	On Target	9/15/2021
Statistics of the Volume and Type of Information Security Threats	6/16/2012	E'Jaaz Ali	On Target	11/17/2021
	С	LOSED ISSUES		
Topic: Question to Address	Date Raised	Assigned To	Progress	Target Date
340B Update for next Committee Meeting	2/17/2021	Akemi Renn	Completed.	6/16/2021

Compliance Dashboard

1st Quarter FY2022: July 1, 2021 – September 30, 2021

Compliance Reported Issues	1 st QTR	2 nd QTR	3 rd QTR	4 th QTR
New this period	76			
Closed this period	96			
Pending resolution	88			
Reported to government agency	TBD			

Q1 Reported Cases



Issue Type	Open Cases: Pending Resolution
HR (79)	Employee Relations incidentsHostile Work environment allegationsHarassment allegations
Risk/Safety (4)	Non Consenting medical test performedQuality of care complaints
Regulatory (3)	Employee working unlicensedImproper billingPatient identity theft allegation
Privacy (2)	Misdirected PHIUnauthorized access/snooping

