

Updated: 09/07/2021

Audit and Compliance Committee

Calendar Year 2021

	February	April	June	July	September	October	November
Major Topic	Audit and Compliance Committee	BOT Retreat	Audit and Compliance Committee	Full Board Meeting	Audit and Compliance Committee	BOT Retreat	Audit and Compliance 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	X	N/A	X	N/A	X
IV. External Audit Reporting (Moss Adams)							
<i>Annual Financial Audit Plan</i>	N/A	N/A	X	N/A	N/A	N/A	N/A
<i>Quarterly Update</i>	N/A	N/A	N/A	N/A	X	N/A	N/A
<i>Final Audit Report</i>	N/A	N/A	N/A	N/A	N/A	N/A	X *
<i>Summary and/or Updates to the Full Board</i>				X			
V. Internal Audit Reporting							
<i>Annual Audit Plan</i>	N/A	N/A	X	N/A	N/A	N/A	N/A
<i>Audit Reports</i>	X	N/A	X	N/A	X	N/A	X
VI. Compliance Update							
<i>Compliance Program Updates</i>	X	N/A	X	N/A	X	N/A	X
<i>Privacy Compliance Report Summary</i>	N/A	N/A	N/A	N/A	X	N/A	X
<i>Information Security Report Summary</i>	N/A	N/A	X	N/A	X	N/A	X
<i>Compliance Dashboard</i>	X	N/A	X	N/A	X	N/A	X
VII. Education Session							
<i>Compliance Education</i>	X	N/A	X	N/A	X	N/A	
<i>Privacy Education</i>							X
<i>Information Security Education</i>							

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

Compliance Dashboard

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

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

Issue Type	Open Cases: Pending Resolution
HR (79)	<ul style="list-style-type: none"> Employee Relations incidents Hostile Work environment allegations Harassment allegations
Risk/Safety (4)	<ul style="list-style-type: none"> Non Consenting medical test performed Quality of care complaints
Regulatory (3)	<ul style="list-style-type: none"> Employee working unlicensed Improper billing Patient identity theft allegation
Privacy (2)	<ul style="list-style-type: none"> Misdirected PHI Unauthorized access/snooping

Q1 Reported Cases

