

SOLANO COUNTY HEALTH AND SOCIAL SERVICES EXECUTIVE COMPLIANCE COMMITTEE CHARTER

I. Introduction and Purpose

The Solano County Health and Social Services Executive Compliance Committee (“Committee”) is an oversight group for compliance issues related to Solano County Health and Social Services (H&SS). Solano County (“County”) H&SS operates in a complex, dynamic, highly competitive, and regulated environment. The County’s H&SS business involves an environment that is highly regulated at both the federal and state levels. To assist the County’s H&SS executive leadership in its responsibilities relating to the Health and Social Services’ operational compliance with applicable legal requirements and sound ethical standards, H&SS has established a multi-disciplinary H&SS Executive Compliance Committee, which will provide oversight of and direction to the Compliance Officer and receive a report from the Compliance Officer no less frequently than every quarter. The County’s Compliance and Quality Assurance Manager is designated as the Compliance Officer.

The term “compliance” used in this charter refers to adhering to federal, state, and local laws and regulations, industry standards; and County policy to include activity regarding the programs operating within the Health and Social Services department; any good or service procured by the Health and Social Services department; and all other contractors involved in the delivery of services.

II. Composition

The County H&SS Executive Compliance Committee is composed of the following positions:

- Assistant County Administrator or designee
- Assistant Director, Health and Social Services or designee
- County Counsel or designee
- Auditor-Controller, or designee
- Director, Human Resources
- Risk Manager/Privacy Officer
- Chief Information Officer
- Director, General Services
- Compliance Officer as an officio member and recording secretary

III. Meetings

The County H&SS Executive Compliance Committee shall meet at least four times annually, or more frequently as circumstances dictate, and report outcomes or observations to the County Administrator. A majority of the Committee constitutes a quorum for the transaction of business. The Committee shall have an appointed Chair for meeting leadership and facilitation. For continuity and consistency, the Chair shall be the Assistant Director of Health and Social Services. The Committee shall take action by the affirmative vote of a majority of the Committee members present at a duly held meeting. Committee members will be free from any

relationship that would interfere with the exercise of his or her independent judgment. The Committee shall maintain minutes of all its meetings to document its activities and recommendations. The primary goals of the Committee are to undertake the following responsibilities and duties and any other activities related to the Health and Social Services' Compliance Program.

Committee Chair will be responsible for scheduling, creating agenda, and facilitating each meeting. Chair will also be responsible for assuring reporting occurs between internal H&SS Compliance Committee and H&SS Executive Committee on a regular basis as determined by this committee.

IV. Role and Authority

The role of the H&SS Executive Compliance Committee is to assist the County Administrator and Board of Supervisors by:

1. Overseeing and advising on H&SS department wide risk management (i.e. privacy, malpractice, etc.), compliance with laws and regulations and policies.
2. Overseeing compliance program, reporting, the work of compliance division and departmental administration.

The authority of the H&SS Executive Compliance Committee:

- The Committee has no executive powers or supervisory functions. Rather, it functions in a review, consultative and recommendation role to the County Administrator's Office and H&SS Departmental Leadership.
- The Committee will be represented by delegates of the major operational functional partners and assure that decisions are aligned with Board direction, made on an informed basis and communicated across the County.
- The Committee shall authorize (recommend) audits and risk reviews into any matters within the Committee's responsibilities and, in doing so, have full access to the County's records to the extent the records are required for purposes of this committee's charge.
- The Committee shall also have access to those employees of the County who provide services to the department to seek clarification or additional information in relation to the committee's charge.

The Committee may sponsor standing work groups to collaborate on projects and programs that have benefits to H&SS and/or County. This structure will allow for expansion and contraction of groups as needed and reduce the number of groups and meetings required to address the wide variety of risks that the Department must address. The workgroups will not be formed without clear written process and expectations for these work groups. The goals of any workgroup formed will include:

- Produce work products that improve effectiveness of the Department or County in delivering services;
- Provide a forum for exchange of professional ideas;
- Allow participants to share common experiences and solutions related to a particular focus specialty, for example, safety, compliance, etc.
- Act as subject matter expert advisor to the Committee;
- Review reported challenges and recommend a course of action;
- Review new or updated regulatory and compliance requirement and recommend action plans;
- Review new and emerging technologies.

V. Responsibilities and Duties

Compliance Standards and Policies

- Assist the Solano County Board of Supervisors and County Administrator in fulfilling its governance responsibilities relating to Solano County H&SS's compliance with applicable laws, regulatory requirements, industry guidelines, and policies.
- Oversee the development or modification, issuance, distribution and review of the H&SS Professional Conduct and Employee Ethics policy and appropriate Compliance policies.
- Provide a vehicle for communication between the Committee and the Solano County leadership and the Solano County Board of Supervisors.
- Review the effectiveness of the system for monitoring compliance with laws and regulations and the results of management's investigation and follow up of any instances of noncompliance.

Employee and Contractor Training

- Provide oversight of an educational program" for staff of Health and Social Services that will provide for proper documentation, billing, and collection processes and accurately reflect the services performed and billed by H&SS activities.
- Oversee the development and implementation of appropriate and adequate training regarding the Solano County Code of Conduct, policies, administrative processes and Compliance Program.

Reporting and Complaints Processes

- Review and oversee H&SS's processes, including a toll-free telephone number, through which employees may seek advice on application of the Health and Social Services' Code of Conduct and policies and report potential Code, policy, and legal violations. Notify and collaborate with Auditor Controller on reports of fraud, waste and/or abuse of County resources.
- Oversee, via the basis of quarterly reports from the Compliance Officer, the investigations of reported compliance violations.
- Provide the Board of Supervisors a summary report of Committee activities on an annual basis.

Monitoring and Reviewing Compliance With Code of Conduct, Policies and Legal Requirements

- Ensure appropriate and regular internal and/or external audits and surveys are conducted to verify adherence to the Code of Conduct, policies and applicable legal requirements.

- Review periodic employee surveys to test awareness of the Department's compliance guidelines and procedures.
- Direct the Compliance Officer to commission special audits and reviews as necessary to verify adherence to the Code of Conduct, policies and/or legal requirements.
- Review material findings and management responses to audits and reviews. Facilitate development and approve H&SS's corrective action plans in consultation with departmental leadership.

Enforcement and Discipline

- Ensure appropriate and consistent discipline is imposed for violations of the Code of Conduct, policies, and legal requirements.
- Receive quarterly reports from the H&SS Director regarding reported disciplinary action taken during the prior quarter for violations of Code of Conduct and legal requirements. This report will summarize action types for the department and will not delve into specific disciplinary occurrences.

Response and Prevention

- Review the action taken by the Department to ensure violations of the Code of Conduct, policies and/or legal requirements are remedied.
- Review steps taken to prevent similar violations from occurring in the future and provide report of findings and recommendations.