

COMPLIANCE COMMITTEE MINUTES
Tuesday, January 14, 2020

PRESENT	Daron Korte Bruce DuPlanty Teresa Ferenczhalmy Davina French Misty Nissen	Minnesota Commissioner Arizona Commissioner New Mexico Commissioner North Dakota Commissioner Iowa Commissioner	Chair
STAFF	Lindsey Dablow Beth Workman	Training and Operations Associate Communications Associate	Secretary
EXCUSED	Terry Ryals Shelley Joan Weiss Cherise Imai	Alaska Commissioner Wisconsin Commissioner MIC3 Executive Director	

ITEM 1 – CALL TO ORDER

1. The meeting was called to order at 2:00 PM EST by Committee Chair and Minnesota Commissioner Daron Korte. Roll call was conducted by Beth Workman, Communications Associate. A quorum was established and Chair Korte welcomed the new commissioners to the committee.

ITEM 2 – AGENDA AND MINUTES

2. Commissioner Davina French (ND) motioned to approve the agenda. The motion was seconded by Commissioner Misty Nissen (IA). Motion carried.
3. Commissioner French requested the September 10, 2019 minutes be amended to reflect her from absent to excused. She followed with a motion to approve the minutes as amended. The motion was seconded by Commissioner Teresa Ferenczhalmy (NM). Motion carried.

ITEM 3 – REPORTS

4. **Executive Committee (EXCOM)** – Chair Korte reported the standing committee chairs remained the same, with the exception of the newly elected Treasurer, Commissioner Craig Neuenswander (KS), who will serve as the Finance Chair. Chair Korte reminded members the Commission voted at the Annual Business Meeting (ABM) to revise the Compact By-laws to make permanent the Leadership Nomination Committee (LNC). He added Commissioners may serve on both the LNC and another standing committee, as the LNC seat is in addition to their appointment to a standing committee. Chair Korte concluded with a summary of the 2019 ABM survey results.

ITEM 4 – OLD BUSINESS

5. **Vacant Commissioners Update** – Chair Korte yielded the floor to Training and Operations Associate Lindsey Dablow who provided an update on the vacancies for California, Mississippi, Pennsylvania, Indiana, and Michigan. The request to appoint letters will be sent the week of January

12. Additionally, Chair Korte reported Commissioner Russ Gullett (MI) resigned in December and recognized him for his service on the commission. Chair Korte stated his presence would be missed.

6. **Conflict of Interest (COI) and Code of Conduct (COC) Forms** – Chair Korte reported both forms were distributed and collected at the ABM. Ms. Workman added one commissioner is outstanding and she has followed up with him by email. Forms are due by January 31.

7. **State Council Meetings** – Chair Korte reminded members state councils are required to meet annually once a year. He reported most states are in compliance with zero states above a level one concern, therefore no committee action is required at this time. Chair Korte continued the Texas Commissioner needs to provide a meeting report to the National Office. Committee members did not have comments regarding compliance updates.

8. **State Commissioner as State Council Chair/Ex-Officio Member** – Chair Korte updated the Committee on Commissioner Gullett's request for clarification. General Counsel Rick Masters was consulted and said Commissioners can serve on the state council as a chair or, at minimum, as an ex-officio member. Based on this ruling, the matter was considered closed.

ITEM 5 – NEW BUSINESS

9. **Strategic Plan – Review and Discuss Timeline** – Chair Korte requested members review the document provided. He noted the timeline is a work in progress, which is adaptable and asked committee members for feedback.

10. Commissioner Ferenczhalmy supported the proposed timeline as it allows new commissioners to settle into the role. Chair Korte reminded members the Compliance Committee serves as a supportive resource to Commissioners.

11. Commissioner French also supported the timeline and suggested the committee utilize the Tier Groups as a resource. Chair Korte stated that he would take this comment to the EXCOM, which has also been discussing meaningful ways to engage the Tier Groups.

12. Chair Korte yielded the floor to Ms. Workman who explained the committee would discuss Strategic Plan Action Items at the March meeting as the only the timeline would be discussed today. Chair Korte asked members email himself and/or Ms. Workman thoughts and feedback prior to the March meeting. **[OPEN ITEM]**

ITEM 6 – OTHER BUSINESS AND ANNOUNCEMENTS

13. **Items for the Executive Committee** – Chair Korte asked if committee members had items for him to take to the EXCOM, other than the Tier Group comment. He reminded members issues, questions, and concerns for the EXCOM can always be discussed with him outside of the committee meeting. No other comments were offered.

ITEM 7 – ADJOURNMENT

14. There being no further business, Chair Korte adjourned the meeting at 2:25 PM EST.



Respectfully submitted by,
Beth Workman
Communications Associate