

# Board Audit Committee Compliance Conference

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February 26–27, 2018  
Scottsdale, AZ

*The Health Care Compliance Association's Board Audit Committee Compliance Conference is designed for healthcare organization board members, compliance officers, and senior leaders.*

[hcca-info.org/audit](http://hcca-info.org/audit)

Questions? [jill.burke@corporatecompliance.org](mailto:jill.burke@corporatecompliance.org)

Buy one  
registration  
for \$895  
and get one  
for \$595



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# Agenda

Agenda and speakers are subject to change.

## MONDAY, FEBRUARY 26

7:15 AM – 5:45 PM

Registration

7:15 – 8:00 AM

Continental Breakfast (provided)

8:00 – 8:15 AM

Welcome & Opening Remarks



**GABRIEL IMPERATO**  
Managing Partner  
Broad and Cassel



**JAMES ROUGH**  
President - Disputes, Investigations and  
Compliance Expert  
SunHawk Consulting, LLC

8:15 – 9:45 AM

Introduction to Healthcare  
Risk Areas & Compliance



**DANIEL R. ROACH**  
General Counsel &  
Chief Compliance Officer  
Optum360

- Key healthcare risks
- The case for compliance & ethics programs
- Compliance fundamentals
- The board's role in compliance & ethics programs

9:45 – 10:00 AM Networking Break

10:00 – 11:00 AM

Board and Management  
Responsibilities for  
Compliance Oversight

MODERATOR:



**JAMES SHEEHAN**  
Chief, Charities Bureau  
NY Attorney General

PANELISTS:



**SHANNON SUMNER**  
Principal and Shareholder  
PYA



**KIMBERLY OTTE**  
Chief Compliance Officer  
Mayo Clinic

- What is reasonable oversight of a compliance and ethics program?
- What are the ideal qualifications and characteristics of a Board member for compliance oversight?
- How do you know if compliance matters are getting sufficient attention by the Board and the C-suite?

11:00 – 12:15 PM

Compliance and the Stark and  
Anti-Kickback Law: Hospital/  
Physician Arrangements



**CRAIG HOLDEN**  
Shareholder  
Baker Donelson



**AMY EASTON**  
Partner  
Phillips and Cohen



**PATRICK BRALEY**  
Partner  
Bennett Thrasher LLP

- Provide an overview of each law and discuss similarities and differences
- Discussion of recent enforcement actions involving non-compliant hospital-physician arrangements
- Discuss strategies that can be implemented to promote compliance

12:15 – 1:15 PM

Lunch (provided)

1:15 – 2:15 PM

Communicating with  
Regulators and Enforcement  
Representatives

MODERATOR:



**JAMES ROUGH**  
President - Disputes, Investigations and  
Compliance Expert  
SunHawk Consulting, LLC

PANELISTS:

**CHRISTIAN SCHRANK**  
Special Agent in Charge, Los Angeles  
Regional Office, Health & Human  
Services, Office of Inspector General

**LON LEAVITT**  
Assistant United States Attorney  
Civil Health Care Fraud Coordinator,  
District of Arizona

2:15 – 2:30 PM

Networking Break

2:30 – 3:30 PM

Corporate Integrity Agreements  
and What it Means for Health  
Care Organizations



**NICOLE CAUCCI**  
Deputy Branch Chief  
OIG HHS



**MATT GROSVENOR**  
Partner  
Bennett Thrasher LLP



**JUDY WALTZ**  
Partner  
Foley & Lardner

- What is the basis for a Corporate Integrity Agreement?
- What are the main characterizations and obligations of Corporate Integrity Agreements?
- What is their impact on health care organizations?

3:30 – 3:45 PM

Networking Break

3:45 – 4:45 PM

Privacy and Security of  
Healthcare Information



**DARRELL CONTRERAS**  
Chief Compliance Officer  
Millennium Health

- The basics of HIPAA Privacy and Security
- Board responsibilities for the Privacy and Security program
- What to expect when something goes wrong

4:45 – 5:15 PM

Q&A Session

ALL SPEAKERS

5:30 – 6:30 PM

Networking Reception

## TUESDAY, FEBRUARY 27

7:30 – 11:30 AM

Registration

7:30 – 8:00 AM

Continental Breakfast (provided)

8:00 – 9:00 AM

Compliance & Quality of  
Care



**JEFFREY DICKSTEIN**  
Partner  
Phillips and Cohen



**DANIEL R. ROACH**  
General Counsel &  
Chief Compliance Officer  
Optum360



**RICHARD WESTLING**  
Member  
Epstein Becker Green

- Quality of care and compliance: What is non-compliant quality of care?
- Criminal and civil enforcement actions and quality of care
- Compliance strategies for quality of care in health care organizations

9:00 – 9:15 AM

Networking Break

9:15 – 10:15 AM

Whistleblower Case Study



**GABRIEL IMPERATO**  
Managing Partner  
Broad and Cassel



**AMY EASTON**  
Partner  
Phillips and Cohen

- Whistleblowers: Who are they and why do they file Qui Tam cases under the False Claims Act?
- Can Health Care Organizations Manage this Risk?
- Tips for Compliance Program Effectiveness

10:15 – 10:30 AM

Networking Break

10:30 – 11:30 AM

Fraud & Abuse and  
Compliance 2018



**GABRIEL IMPERATO**  
Managing Partner  
Broad and Cassel

- Recent Developments in Enforcement and Compliance
- Individual Accountability for Organizational Health Care Fraud
- Department of Justice Compliance Counsel and Enforcement and Compliance in the New Administration

11:30 AM

Boxed Lunches to Go (provided)

## CONTACT INFORMATION

Mr.  Mrs.  Ms.  Dr.

HCCA Member ID (if applicable)

First Name MI

Last Name

Credentials (CHRC, CHC, etc.)

Job Title

Name of Employer

Street Address

City State Zip Code

Phone

Email (required for registration confirmation & conference information)

## REGISTRATION OPTIONS

(Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)

- Conference Registration ..... \$895
- Conference Registration & HCCA Membership ..... \$1095  
Join HCCA and SAVE \$95 off your first year! Annual dues \$295. New members only.
- Conference Registration: Second Attendee ..... \$595
- Conference Registration & HCCA Membership: Second Attendee ..... \$795

TOTAL \$ \_\_\_\_\_

2nd Attendee: \_\_\_\_\_

Organizations may receive one registration at \$595 for every one registration purchased at \$895. To receive this offer, write the name of the person with whom you are attending. Offers may not be combined. Both attendees must complete separate registration forms.

## SPECIAL REQUEST FOR DIETARY ACCOMMODATION

- Gluten Free
- Kosher
- Vegetarian
- Vegan
- Other \_\_\_\_\_

## PAYMENT OPTIONS

- Check (mail to HCCA, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435)
- Invoice me
- I authorize HCCA to charge my credit card (choose below)

Due to PCI Compliance, please **do not provide any credit card information via email**. You may email this form to [help@hcca-info.org](mailto:help@hcca-info.org) (without credit card) and call HCCA at 888-580-8373 or 952-988-0141 with your credit card.

CREDIT CARD:  American Express  Discover  MasterCard  Visa

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name (please print)

Cardholder's Signature

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**Payment:** Please make your check payable to HCCA. Enclose payment with your registration and return it to HCCA's office, or fax your credit card payment to 952-988-0146. If your total is miscalculated, HCCA will charge your card the correct amount.

**Cancellations and substitutions:** You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid and are good for 12 months from the date of the cancelled event. Conference credits may be used towards any HCCA service. If you need to cancel your participation, notify us prior to the start date of the event by email at [help@hcca-info.org](mailto:help@hcca-info.org) or by fax at 952-988-0146. Please note that if you are sending a substitute, an additional fee may apply.

**Tax deductibility:** All expenses incurred to maintain or improve skills in your profession may be tax deductible, including tuition, travel, lodging and meals. Please consult your tax advisor.

**Recording:** No unauthorized audio or video recording of HCCA conferences is allowed.

**Special needs/concerns:** Prior to your arrival, please call HCCA at 888-580-8373 if you have a special need and require accommodation.

## HOTEL & CONFERENCE LOCATION

### The Scott Resort & Spa

4925 North Scottsdale Road, Scottsdale, AZ 85251  
[www.thescottresort.com](http://www.thescottresort.com)

Rooms are available at a reduced rate of \$279.00 per night plus applicable occupancy and sales taxes (currently 13.92%, subject to change) for single/double occupancy. The hotel resort fee is included in your room rate and includes self and valet parking, round-trip portage, daily maid gratuity, Wi-Fi in guest rooms and public spaces, 24 hour fitness center and business center access and daily newspaper upon request. To book your reservations, call the hotel directly at 866-267-1321 or 800-528-7867 and request the HCCA Board Audit Committee Compliance Conference rate. The cutoff date for the group rate is Monday, February 5, 2018 or once the group room block is full, whichever comes first.

## CONTINUING EDUCATION UNITS

HCCA is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. **CEU totals are subject to change.**

Upon request, HCCA may submit this course to additional states or entities for consideration. If you would like to make a request, please contact us at 952-988-0141 or 888-580-8373 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Visit HCCA's website, [www.hcca-info.org](http://www.hcca-info.org), for up-to-date information.

**ACHE:** The Health Care Compliance Association is authorized to award 9.0 clock hours of pre-approved ACHE Qualified Education credit for this program toward advancement, or recertification, in the American College of Healthcare Executives. Participants in this program who wish to have the continuing education hours applied toward ACHE Qualified Education credit must self-report their participation. To self-report, participants must log into their MyACHE account and select ACHE Qualified Education Credit.

**Compliance Certification Board (CCB):** CCB has awarded a maximum of 11.7 CEUs for these certifications: Certified in Healthcare Compliance (CHC), Certified in Healthcare Compliance—Fellow (CHC-F), Certified in Healthcare Privacy Compliance (CHPC), Certified in Healthcare Research Compliance (CHRC), Certified Compliance & Ethics Professional (CCEP), Certified Compliance & Ethics Professional—Fellow (CCEP-F), Certified Compliance & Ethics Professional—International (CCEP-I).

**CLE:** The Health Care Compliance Association is a State Bar of California approved MCLE provider. An approximate maximum of 9.75 clock hours of CLE credit will be available to attendees of this conference who are licensed in California. Upon request HCCA may submit this conference to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

**NASBA/CPE:** The Health Care Compliance Association is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: [www.learningmarket.org](http://www.learningmarket.org). A recommended maximum of 11.5 credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge and Application. For more information regarding administrative policies such as complaints or refunds, call (888) 580-8373 or (952) 988-0141.

**Nursing Credit:** The Health Care Compliance Association is preapproved by the California Board of Registered Nursing, Provider Number CPE 14593, for a maximum of 11.7 contact hour(s). The following states will not accept California Board of Nursing contact hours: Delaware, Florida, New Jersey, and Utah. Massachusetts and Mississippi nurses may submit California Board of Nursing contact hours to their state board, but approval will depend on review by the board. Please contact the Accreditation Department at [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) with any questions you may have. Oncology Nurses who are certified by ONCC may request California Nursing Credit (check box or indicate "Nursing" on the CEU application).

## HEALTH CARE COMPLIANCE ASSOCIATION

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