

Board & Audit Committee Compliance Conference

February 18-19, 2019 | Scottsdale, AZ



AGENDA

New for 2019:

- Two full days of education and networking
- Two learning tracks: General Organizational Compliance and Healthcare Compliance
- New location at The Scottsdale Resort at McCormick Ranch

Buy one
registration for
\$995
and get one
for \$695

hcca-info.org/audit

Questions: jill.burke@corporatecompliance.org



The Department of Justice and the Office of Inspector General of Health and Human Services expect board members and senior level leaders of organizations to be experienced in compliance oversight. The Board & Audit Committee Compliance Conference can help you and your board meet this expectation.

Our 2019 conference combines the efforts of the Health Care Compliance Association (HCCA) and the Society of Corporate Compliance and Ethics (SCCE) and features two session tracks: General Organizational Compliance and Healthcare Compliance. As an attendee you may choose to attend sessions from either track.

Who Should Attend?

Past attendees have included:

- Board chairs
- Board officers
- Board members
- Trustees
- Audit & compliance committee members
- Presidents/CEOs
- Chief compliance officers
- Healthcare senior internal auditors
- Senior directors of finance
- General counsel

Why Should You Attend?

Attendees will learn:

- How to fulfill fiduciary obligations as board/committee members and senior-level leaders
- How to help improve board performance for compliance oversight
- The latest on regulatory risk and compliance obligations
- Tips for successful oversight of financial reporting
- How to conduct internal audits and investigations
- How to improve overall compliance program performance at their organizations

Speakers



Martin Biegelman, CFE, CCEP-F
Managing Director, Regulatory, Forensics & Compliance
Deloitte Financial Advisory Services LLP



Eric Cannon,
Director
KONE Americas



Darrell Contreras, CHC-F, CHPC, CHRC
Chief Compliance Officer
Millennium Health



Shawn DeGroot, CCEP, CHPC, CHRC,
President
Compliance Vitals



Lisa Gressel,
General Counsel
PF Chang's



Juliette Gust, CFE
Founder & President
Ethics Suite



Odell Guyton, CCEP, CCEP-I
Co-founder SCCE, Managing Director
Klink & Co. Inc.



Martin Hellmer,
Supervisory Special Agent
FBI



Gabriel Imperato, CHC
Managing Partner
Nelson Mullins Broad and Cassel



Marianne Jennings, JD
Emeritus Professor
Arizona State University



Michael Morse, CHC
Partner
Pietragallo Gordon Alfano Bosick & Raspanti, LLP



Jacqueline Nash Blook,



Steve Ortquist, Esq., CCEP, CHC-F, CHRC
Senior Managing Director
Ankura Consulting



Dan Oseran, CIPP, JD, MBA
Senior Director and Counsel Global Privacy, Business Ethics and Compliance
eBay Inc.



Judy Ringholz, JD, RN, CHC
Vice President of Compliance and Ethics & Chief Compliance Officer, Jackson Health System



Dan Roach,
Chief Compliance Officer
Optum 360



Gerry Roy, CHC, CHRC
VP, Chief Compliance & Privacy Officer,
Phoenix Children's Hospital



James Rough, CCEP, CFE, CHC
Founder and President
SunHawk Consulting, LLC



Christian Schrank,
Special Agent in Charge, US DHHS OIG OI,
LA Regional Office



Frank Sheeder, Esq., JD
Partner
Alston & Bird LLP



James Sheehan
Chief, Charities Bureau at New York State
Department of Law (Attorney General)



Mia Singer,
Principal and Owner
Singer Consulting, LLC



Roy Wyman,
Attorney
Nelson Mullins Broad and Cassel

Speakers are subject to change

Hotel & conference location

The Scottsdale Resort at McCormick Ranch

7700 E McCormick Parkway, Scottsdale, AZ 85258

Reservations: 800.540.0727

Main: 480.991.9000

Fax: 480.596.7422

<https://www.destinationhotels.com/scottsdale-resort>

A reduced rate of \$235.00 per night plus taxes (currently 13.92%, subject to change) for single/double occupancy has been arranged for this program. This rate includes wireless internet in guest rooms and meeting space, access to fitness center, daily USA Today, and Valet & Self-Parking. To book your reservation, call 1 800.540.0727 and request the HCCA group rate.

The cutoff date for the group rate is Friday, January 25, 2019 or once the group room block is full, whichever comes first. The group rate is available 3 days pre and post conference. All reservations must be guaranteed by a major credit card.

NOTICE: Neither HCCA or any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of HCCA or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number or web link on the conference website. If you have concerns or questions, please contact 888.580.8373.

MONDAY, FEBRUARY 18

8:00 AM–5:30 PM	Registration	
8:00–8:45 AM	Continental Breakfast (provided)	
8:45–9:00 AM	Welcome & Opening Remarks <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC</i>	
9:00–10:00 AM	Introduction to Risk and Compliance <i>Shawn DeGroot, CCEP, CHPC, CHRC, President, Compliance Vitals</i> <ul style="list-style-type: none">• Key areas of consideration in developing and implementing a compliance program• Risk areas for consideration by the board• Steps a board may take in considering management accountability related to compliance risks	
10:00–10:15 AM	Networking Break	
10:15–11:15 AM	Introduction to Board and Management Responsibilities for Compliance Oversight <i>Dan Roach, Chief Compliance Officer, Optum 360</i> <ul style="list-style-type: none">• 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?	
11:15–11:30 AM	Networking Break	
11:30 –12:30 PM	Cyber Security and Privacy <i>Martin Hellmer, Supervisory Special Agent, FBI; Roy Wyman, Attorney, Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none">• Cybercrime, hacking, and ransomware• Risks to privacy• How to become and remain compliant	
12:30–1:30 PM	Lunch (provided) Compliance Keynote Session <i>Jim Sheehan, Chief, Charities Bureau at New York State Department of Law (Attorney General)</i>	
1:30–2:30 PM	Healthcare Compliance Track	General Compliance Track
	Healthcare Fraud and Compliance Update <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none">• 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	Anti-Corruption and Anti-Bribery—Foreign Corruption Practices Act <i>Odell Guyton, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc.</i> <ul style="list-style-type: none">• FCPA basics• Recent trends and enforcement actions• Observations and lessons learned
2:30–2:45 PM	Networking Break	
2:45–3:45 PM	Healthcare Compliance Track	General Compliance Track
	Stark and Anti-Kickback Compliance <i>Frank Sheeder, Esq., JD, Partner, Alston & Bird LLP; Steve Ortquist, Esq. CCEP, CHC-F, CHRC, Senior Managing Director, Ankura Consulting</i> <ul style="list-style-type: none">• An overview of both laws and how they intersect• The False Claims Act overlay• Recent enforcement actions• Practical approaches to mitigating risk	GDPR 1 Year Later – What’s Next? <i>Mia Singer, Principal and Owner, Singer Consulting, LLC; Dan Oseran, CIPP, JD, MBA, Senior Director and Counsel, Global Privacy, Business Ethics and Compliance, eBay Inc.</i> <ul style="list-style-type: none">• General scope and breadth of the GDPR• Major challenges and potential solutions to compliance with the law• GDPR became effective May 25, 2018 – what does ongoing compliance look like?
3:45–4:00 PM	Networking Break	
4:00–5:00 PM	Conflicts of Interest <i>Martin Biegelman, CFE, CCEP-F, Managing Director, Regulatory, Forensics & Compliance, Deloitte Financial Advisory Services LLP</i> <ul style="list-style-type: none">• Why conflicts of interest matter for organizations• Key conflicts of interest for board members, compliance professionals and other employees• Case studies, best practices and effective mitigation strategies	
5:00–5:30 PM	Q&A Session <i>All Speakers</i>	
5:45 – 7:00 PM	Networking Reception	

TUESDAY, FEBRUARY 19

8:00 AM–4:30 PM	Registration	
7:30–8:00 AM	Continental Breakfast (provided)	
8:00–9:15 AM	Whistleblowers: Who Are They, Why Do They Blow the Whistle, and What Makes a Good Whistleblower Case? <i>Michael Morse, CHC, Partner, Pietragallo Gordon Alfano Bosick & Raspanti, LLP; Jacqueline Nash Bloink</i> <ul style="list-style-type: none"> Whistleblowers: Who are they and why do they file Qui Tam cases under the False Claims Act? What are typical organization responses to reports of non-compliance and the whistleblower threat? What are the most important features of compliance programs that are useful in managing compliance deficiencies and the whistleblower threat? How important is minimizing “retaliation” against a reporter and how does an organization achieve this goal? 	
9:15–9:30 AM	Networking Break	
9:30–10:30 AM	Healthcare Compliance Track	General Compliance Track
	Healthcare Privacy & Security and Responsibility to Breaches <i>Shawn DeGroot, CCEP, CHPC, CHRC, President, Compliance Vitals; Darrell Contreras, CHC-F, CHPC, CHRC Chief Compliance Officer, Millennium Health</i> <ul style="list-style-type: none"> The basics of HIPAA Privacy and Security Board responsibilities for the Privacy and Security program What to expect when something goes wrong 	Communicating with Enforcement and Regulatory Representatives <i>James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC; Christian Schrank, Special Agent in Charge, US DHHS OIG OI – Los Angeles Regional Office</i> <ul style="list-style-type: none"> Management knows all too well the consequences of receiving regulatory inquiries, or worse, a subpoena can have on their reputation, bottom line, and their time. Learn the importance of building a good working relationship with government representatives Learn the importance of accurate, timely, and complete disclosure when reporting or self-disclosing to government representatives
10:30–10:45 AM	Networking Break	
10:45–11:45 AM	Internal Investigations 101 <i>Lisa Gressel, General Counsel, PF Chang’s; Eric Cannon, Director, KONE Americas; Juliette Gust, CFE, Founder & President, Ethics Suite</i> <ul style="list-style-type: none"> Leveraging Resources Control and Track Prevent Retaliation Effects of poor investigation/lessons learned 	
11:45–12:45 PM	Lunch (provided) Showtime: The Critical Component of Organizational Culture <i>Keynote Speaker: Gerry Roy, CHC, CHRC, VP, Chief Compliance & Privacy Officer, Phoenix Children’s Hospital</i>	
12:45–1:45 PM	Ethical Culture and Compliance Effectiveness <i>Steve Ortquist, Esq., CCEP, CHC-F, CHRC, Senior Managing Director, Ankura Consulting; Marianne Jennings, JD, Emeritus Professor, Arizona State University; Judy Ringholz, JD, RN, CHC, Vice President of Compliance and Ethics & Chief Compliance Officer, Jackson Health System</i> <ul style="list-style-type: none"> The Effects of Organizational Ethics and Culture on Compliance Detecting the Faint Signals in Your Organization’s Culture Establishing an Ethical Foundation: The Role of Boards and Executives 	
1:45–2:00 PM	Networking Break	
2:00 – 3:00 PM	What It Takes To Be a Good Board Member <i>Dan Roach, Chief Compliance Officer, Optum 360; Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Sheehan, Chief, Charities Bureau at New York State Department of Law (Attorney General)</i> <ul style="list-style-type: none"> Compliance and board member duties in compliance investigations Board member oversight of mergers and acquisitions The relationship between the board and the C-suite 	
3:00 – 3:15 PM	Networking Break	
3:15 – 4:15 PM	False Claims Act Practices and Procedures, and Halifax Case Study <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel</i> <ul style="list-style-type: none"> Whistleblowers and Compliance Risk and the False Claims Act Best Practices for Compliance Professionals and False Claims Act Liability Anatomy of a False Claims Act Case and Compliance Case Study 	
4:15 – 4:30 PM	Wrap Up <i>Gabriel Imperato, CHC, Managing Partner at Nelson Mullins Broad and Cassel; James Rough, CCEP, CFE, CHC, Founder and President of SunHawk Consulting, LLC</i>	
4:30 PM	Adjourn	

CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

Member/Account Number (if applicable/known)

First Name MI

Last Name

Credentials (CHC, JD, etc.)

Job Title

Organization (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.)

- Registration \$995
- Registration plus HCCA Membership* \$1195
- 2nd Attendee Registration \$695
- 2nd Attendee Registration plus HCCA Membership* \$895

* Save by joining HCCA today (first-time members only) Dues regularly \$325

TOTAL \$ _____

Code: _____ 2nd Attendee: _____

Organizations may receive one registration at \$695 for each registration purchased at \$995. To receive this offer, write **2AACSO219** in the space for the code above and write the name of the person with whom you are attending. Offers may not be combined. Both attendees must complete separate registration forms.

PAYMENT OPTIONS

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

CREDIT CARD: American Express Visa MasterCard Discover

Due to PCI Compliance, please do not provide any credit card information via email. Email this form to helpteam@hcca-info.org (without credit card information) and call SCCE at +1 952.988.0141 or 888.580.8373 with your credit card information.

Credit Card Account Number Expiration Date

Cardholder's Name (please print)

Cardholder's Signature AAC0219

WAYS TO REGISTER

- MAIL HCCA
6500 Barrie Road, Suite 250
Minneapolis, MN 55435-2358
- WEB hcca-info.org/audit
- FAX +1 952.988.0146
(include completed registration form with payment)
- EMAIL helpteam@hcca-info.org
(do not provide credit card information via email)

TERMS & CONDITIONS

REGISTRATION PAYMENT TERMS: Checks are payable to HCCA. Credit cards accepted: American Express, Visa, MasterCard, or Discover. HCCA will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@hcca-info.org for instructions.

CANCELLATIONS/SUBSTITUTIONS: Refunds will not be issued. 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 will expire 12 months from the date of the original canceled event. Conference credits may be used towards any HCCA service or product. If a credit is applied towards an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email at helpteam@hcca-info.org, prior to the start date of the event. 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.

SPECIAL NEEDS/CONCERNS: Prior to your arrival, please call HCCA at +1 952.933.4977 or 888.277.4977 if you have a special need and require accommodation.

RECORDING: Unauthorized audio or video recording of HCCA conferences is not allowed.

USE OF INFORMATION: To find out how we may use your information, please read our Privacy Statement at hcca-info.org/privacy.aspx. By submitting this registration form you agree to the use of your information as stated in the privacy policy.

AGREEMENTS & ACKNOWLEDGEMENTS: I agree and acknowledge that I am undertaking participation in HCCA events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in HCCA events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that HCCA plans to take photographs and/or video at the Board & Audit Committee Compliance Conference and reproduce them in HCCA educational, news, or promotional material, whether in print, electronic, or other media, including the HCCA website. By participating in the Board & Audit Committee Compliance Conference, I grant HCCA the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, my name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees, speakers, and exhibitors of this event.

CONTINUING EDUCATION

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 +1 952.933.4977 or 888.580.8373 or email ccb@compliancecertification.org. Visit HCCA's website hcca-info.org for up-to-date information.

ACHE: The Health Care Compliance Association is authorized to award 12.0 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 14.7 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)[®].

CONTINUING LEGAL EDUCATION (CLE): The Health Care Compliance Association is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of 11.25 clock hours of CLE credit will be available to attendees of this conference licensed in these states. HCCA's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, HCCA may submit this course to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

NURSING CREDIT: The Health Care Compliance Association is preapproved by the California Board of Registered Nursing, Provider Number CEP 14593, for a maximum of 14.7 contact hour(s). The following states will not accept California Board of Registered Nursing contact hours: Delaware, Florida, New Jersey and Utah. Massachusetts and Mississippi nurses may submit California Board of Registered 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 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 form).

By submitting this registration form, you agree to the use of your information and the terms and conditions stated on this form. To view our Privacy Statement, visit hcca-info.org/privacy.aspx.

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