



New England Healthcare  
Internal Auditors Inc.



Massachusetts-Rhode  
Island Chapter

# 2021 In-Person Compliance & Internal Audit Conference

WEDNESDAY, DECEMBER 1 - FRIDAY, DECEMBER 3, 2021  
MYSTIC MARRIOTT, GROTON, CT

The New England Healthcare Internal Auditors (NEHIA) and the Healthcare Financial Management Association (HFMA) MA-RI Chapter are excited to host a 3-day educational conference bringing expert presenters from healthcare compliance, privacy, security, and of course, internal auditing. Each presentation is an opportunity for presenters to share their knowledge with all levels of conference attendees and for conference attendees to listen and learn best practices from some of the industry's best experts. In addition to providing low cost, high quality educational sessions, NEHIA and HFMA MA-RI will work diligently to connect conference members with each other to create a strong community of healthcare professionals in New England.

## Sessions-at-a-Glance

### Wednesday, December 1, 2021

8:00 am	Welcome & Introduction
8:15 am to 9:45 pm	Keynote: Cyberattacks, Ransomware and the Current State of Cyber Risks What to Do if Your Vendor has a Security Incident
9:45 am to 10:45 am	Hot Topics in Compliance – Enforcement Focus and Regulatory Agenda
11:00 am to 12:00 pm	Auditing an ACO
1:00 pm to 2:00 pm	The HIPAA Privacy Rule: Topics and Enforcement
2:00 pm to 3:00 pm	How to Transform Your Internal Audit Function from Assurance Provider to Strategic Partner
3:15 pm to 4:15 pm	What to Do When the Government Comes Calling
4:15 pm to 5:15 pm	FBI Health Care Fraud Investigations

### Thursday, December 2, 2021

8:15 am to 9:45 pm	The Power of a Positive Team
9:45 am to 10:45 am	2021 E/M Changes: Strategies for Tackling and Mitigating Risks
11:00 am to 12:00 pm	One goal, two teams – How to align to manage risk and perform audits.
1:00 pm to 2:00 pm	Clinical Research Billing
2:00 pm to 3:00 pm	Real World Conflict of Interest
3:15 pm to 4:15 pm	Diversity, Equity, & Inclusion and Internal Audit's Role
4:15 pm to 5:15 pm	Final Rule >> Starting Whistle – Information Blocking & Tackling

### Friday, December 3, 2021

8:30 am to 10:00 am	Compliance Programs in Organizations outside of Healthcare
10:15 am to 11:45 am	Telehealth Compliance Amidst COVID-19

# Full Conference Agenda

## Wednesday, December 1, 2021

### 8:00 am Welcome & Introduction

*Patricia Ariel, President, New England Healthcare Internal Auditors (NEHIA)*  
*Annamarie Monks, CHPF, President, HFMA, Massachusetts-Rhode Island Chapter*

### 8:15 – 9:45 am KEYNOTE: Cyberattacks, Ransomware and the Current State of Cyber Attacks

**Linn Freedman, CIPP/US**, Partner / Chair Data Privacy & Cybersecurity, Robinson + Cole

Ms. Freedman will provide an overview of recent cyberattacks affecting health care entities, including ransomware, how the attacks are happening, how health care entities are responding and recovering from the attacks. She will provide a current assessment of the most pressing cyber risks affecting health care organizations and provide tips to prevent, mitigate and respond to a cyber-attack.

### What to Do if Your Vendor Has a Security Incident

Ms. Freedman will walk attendees through an example of a security incident that affects a health care organization, the issues that must be confronted by the organization, including notification and reporting obligations, and how to manage the risk of a security incident caused by a vendor.

#### Learning Objectives:

Attendees will be able to:

- Identify cyber risks
- Mitigate cyber risks
- Identify vendor risks and mitigate them

**Field of Study:** Information Technology - Technical

### 9:45 – 10:45 am Hot Topics in Compliance – Enforcement Focus and Regulatory Agenda

**Heather Hagan, CHC, CRMA, CIA**, Senior Manager, Deloitte & Touche LLP  
**Kelly Sauders, CPA**, Partner, Deloitte & Touche LLP

This session will provide a debrief to participants on current hot topics in regulatory compliance for health care organizations. We will review areas of active federal and state enforcement and focus, as well as look out at the regulatory agenda and landscape in the common year. Topics will include COVID-19-related risk areas, the transparency agenda and coding and billing topics. We will also review methods and examples for incorporating these topics into our risk assessment and internal audit workplan development activities.

#### Learning Objectives

- Understand a snapshot of the current regulatory environment, including fraud, waste and abuse efforts and the current landscape for federal and state monitoring programs
- Explore areas of current and changing regulatory risk and focus, including but not limited to COVID-related initiatives, coding and billing and other hot topic areas
- Discuss approaches for incorporating emerging risks into risk assessment activities and audit workplan development, including example approaches for addressing select risk areas

**Field of Study:** Specialized Knowledge – Technical

10:45 – 11:00 am BREAK

11:00 – 12:00 pm Auditing an ACO

**Sam Cunningham, RHIA, CCS**, Manager Forensics and Integrity Services, Ernst & Young LLP

**Donna Schneider, RN, MBA, CPHQ, CPC-P, CHC, CPCO, CHPC, CCEP**, Vice President, Corporate Compliance and Internal Audit, Lifespan Compliance & Privacy Officer, Lifespan

This presentation provides insights and real-world examples and key considerations on conducting an Internal Audit (IA) of an Affordable Care Organization (ACO). The take-aways and topics will include the following:

- Deciding on an ACO IA. ACOs do not run themselves and require auditing and monitoring
- Every ACO is different. Answer the question of “What kind of governance is in place?”
- How to start an IA of an ACO. Though, all ACOs are different the IA objectives, approach/methodology, and risk and controls are consistent
- Understand and appreciate the organization’s *interests dynamic* (*i.e.*, Board, CFO/CEO, Compliance, Internal Audit, Providers/Practices, Coding, HIM, Technology, *etc.*) to achieve the IA objectives
- Understand the organizational impact of conducting an ACO IA assessment
- Understand how an ACO IA assessment can accomplish its objectives and how it can fail

#### Learning Objectives

- Understand the Risks
- Key considerations to conduct an audit of and ACO
- Understand the dynamic of key personnel to maximize recommended changes

**Field of Study:** Auditing - Technical

12:00 – 1:00 pm LUNCH

1:00 – 2:00 pm The HIPAA Privacy Rule: Topics and Enforcement

#### Invited Speakers:

**Timothy Stark, JD**, Investigator, Office for Civil Rights, U.S. Department of Health & Human Services

**Michael Caminiti**, Investigator, Office for Civil Rights, U.S. Department of Health & Human Services

The Office for Civil Rights will provide an informational overview on areas of emphasis for the Privacy Rule Right of Access, access to medical records, uses and disclosures of health information, enforcement trends, and recent enforcement actions and discussion.

#### Learning Objectives

- Understanding the HIPAA Privacy, Security and Breach Notification Rules
- Understanding that HIPAA Privacy Rule Right of Access
- Recent OCR Enforcement actions and compliance trends

**Field of Study:** Specialized Knowledge - Technical

**2:00 – 3:00 pm      How to Transform Your Internal Audit Function from Assurance Provider to Strategic Partner**

**Ryan DeMerlis, PMP**, Senior Manager, Deloitte & Touche LLP

Internal audit has long been the backbone of an organization’s risk architecture. However, these functions are increasingly becoming strategic partners that can not only assess pertinent risk areas, but also drive opportunity and improvement across enterprises.

**Learning Objectives:**

- Structuring an Internal Audit Team for Strategic Partnerships
- Creating an Internal Audit Plan/Approach to create enterprise value
- Cultivating an Internal Audit Team focused on both enterprise risk and strategic enablement

**Field of Study:** Auditing - Technical

**3:00 – 3:15 pm      BREAK**

**3:15 – 4:15 pm      What to Do When the Government Comes Calling**

**David Tolley**, Partner, Latham & Watkins LLP

In this presentation, we will discuss the primary governmental bodies charged with overseeing the healthcare industry and the types of investigations that healthcare organization can face. We will talk about how to respond to investigations and how to make important strategic decisions about the best ways to calibrate your response.

**Learning Objectives**

- Understand the major government bodies who undertake investigations involving healthcare entities
- Understand the risks to your organization in government investigations
- Understand how to respond as an organization to a government investigation

**Field of Study:** Regulatory Ethics - Technical

**4:15 – 5:15 pm      FBI Health Care Fraud Investigations**

**Jeffrey Waterman, JD**, Supervisory Special Agent, Federal Bureau of Investigation

A priority program of the FBI, health care fraud poses a serious financial threat to both public and private insurers as well as to the safety of patients. The FBI partners with HHS, the CT Attorney General’s Office, the CT Medicaid Fraud Task Force, and private sector stakeholders to aggressively pursue the most egregious instances of fraud.

**Learning Objectives**

- Learn what information is most helpful to the FBI for initiating and advancing HCF investigations
- Learn about current HCF trends and schemes
- Learn through discussion of an actual investigation how the FBI works with investigative partners to disrupt and dismantle HCF schemes

**Field of Study:** Specialized Knowledge - Technical

## Thursday, December 2, 2021

8:15 am Welcome to Day 2

8:15 - 9:45 am The Power of a Positive Team

**Amy Kelly, GPHR, SPHR, SHRM-SCP**, Vice President, Consulting, The Jon Gordon Companies

**Julie Nee**, Vice President of Training, The Jon Gordon Companies

**Thomas Williams**, Speaker/Author/NFL Player/Engagement Ambassador/CEO/Founder, Thomas Williams, Inc.

It takes a lot of work to create a world-class organization and team. It is not easy to build a great culture or stay positive in the midst of adversity. The truth is that we are not positive because life is easy. We are positive because life can be hard. Positive leaders and teams overcome challenges and make a better world. How can you bring more authentic positivity to your life and work? How can you forge ahead in a productive and healthy way when things seem to get tougher all the time? This panel will discuss proven principles and practices for leaders and their teams to address, transform and remove negativity.

### Learning Objectives

- Bringing lessons learned from the applications of positivity shared by Jon Gordon in his books/research into your life and work
- Real life stories and practical applications you can take with you apply both personally and professionally
- Using positivity to enhance your personal and professional goals

**Field of Study:** Personnel/Human Resources – Non-technical

9:45 – 10:45 am 2021 E/M Changes: Strategies for Tackling and Mitigating Risks

**Pam D'Apuzzo, CPC, ACS-EM, ACS-MS, CPMA**, Managing Director, VMG Health

The session will provide strategies for mitigating risks and highlight the following areas:

- Data Analytics
- Education and Training
- Monitoring and Auditing
- Policy and Procedure Updates
- Workflow Assessment

### Learning Objectives

- Identify 2021 E/M risk areas
- Audit and monitoring strategies
- 2022 Compliance planning

**Field of Study:** Specialized Knowledge - Technical

10:45 – 11:00 am BREAK

## 11:00 – 12:00 pm One Goal, Two Teams – How to Align to Manage Risk and Perform Audits

**Destin Marcus, CPA, PMP**, Executive Director of Internal Audit, AdventHealth  
**Dhara Satija, CHC, CFE**, Director, Paul Hastings

You have probably heard of the three lines of defense model. It is part of how professionals like us understand and manage risk. But is having the three lines of defense in place enough? In this presentation, we'll review how Internal Audit and Compliance can collaborate to strengthen the 2<sup>nd</sup> and 3<sup>rd</sup> line of defense to better manage risks, perform audits, and deploy limited resources. We'll share examples of what we've done wrong, what we've done right, and key considerations for effective coordination.

### Learning Objectives

- Deepening understanding on the three lines model
- Discuss leading practices to strengthen and sustain collaboration across lines of model
- Learn from practical examples with key takeaways

**Field of Study:** Auditing - Technical

## 12:00 – 1:00 pm LUNCH

## 1:00 – 2:00 pm Clinic Research Billing

**Salman Shah**, Partner, EY Research & Development Consulting

Boosted by COVID-19, clinical research is poised to continue to grow significantly (double digit growth is anticipated) and given this growth the current Academic Health System clinical research strategy, operational processes, and associate systems need to be able to handle that growth. In addition, along with growth, comes increases compliance and regulatory risks. Specifically, clinical research billing continues to be complex and operationally challenging.

### Learning Objectives

- Trends in Clinical Research Billing
- Key processes and controls
- Key improvement opportunities

**Field of Study:** Specialized Knowledge - Technical

## 2:00 – 3:00 pm Real World of Conflict of Interest

**Elizabeth Valentino**, Compliance & Privacy Specialist, Yale New Haven Health System  
**Tanya White, MBA, CHC**, System Compliance Operations Officer, Yale New Haven Health System

We will discuss conflicts of interest, conflict of commitment, and confidentiality. Our presentation will be focused on real world COI scenarios and how to handle these COIs in order to manage risk. We will discuss CMS open payments and what 2022 data will look like.

### Learning Objectives

- Real life examples of COI
- How to manage the risk
- Vendor relationships

**Field of Study:** Specialized Knowledge – Technical

3:00 – 3:15 pm

BREAK

3:15 – 4:15 pm

Diversity, Equity, Inclusion, and Internal Audit's Role

**Melissa Jolly-Sprague, CIA, PMP, CRMA**, Managing Director, Deloitte & Touche LLP

Health equity is the fair and just opportunity for every individual to achieve their full potential in all aspects of health and well-being. Advancing equitable outcomes requires direct action to address structural, social, economic, and cultural barriers to health. To accelerate equity at scale organizations should consider how diversity, inclusion, and belonging factor into their culture, policies, and operations – this is where Internal Audit can help.

With risk insights and the ability to access various functions and leadership throughout an organization, Internal Audit can be a catalyst to drive discussions and awareness around Diversity, Equity, and Inclusion (DEI). No matter how mature an organization may be in embedding DEI initiatives into their culture and practices, Internal Audit can add value. This presentation will cover the role Internal Audit can play, including driving education and awareness, embedding DEI throughout the IA lifecycle, performing current state assessments, and developing DEI-related Key Performance Indicators (KPIs) and analytics.

#### Learning Objectives

- Describe the role Internal Audit can play in driving discussions and awareness around DEI and supporting leaders to take action to activate equity
- List DEI-related risks and opportunities across the eight risk domains
- Embed DEI throughout the IA lifecycle from risk assessment, scoping and planning, through reporting to encourage stakeholder focus on advancing equity among the workforce, customers, and community

**Field of Study:** Personnel/Human Resources – Non-technical

4:15 – 5:15 pm

Final Rule >> Starting Whistle – Information Blocking & Tackling

**Daniel Cummins**, Director - Information Systems, WMCHHealth

Buckle your chinstraps: Information Blocking will challenge thinking and might even disrupt more than 20 years of operationalizing patient privacy and IT security lockdown.

Steady and smooth compliance with Information Blocking, among the most significant challenges of the 21<sup>st</sup> Century Cures Act, is expected by healthcare industry experts to remain a so-called “heavy lift”, and at enterprise levels. Our efforts at WMCHHealth should seem familiar, with significant resources committed and progress to date. Nevertheless, leaders’ and workforce attention and resource commitments to comply could be more than incremental, and especially to mitigate impact of potential enforcement actions yet ahead. This presentation will address key areas of need for intensified organizational focus and capability, such as patient engagement workflow, staff awareness and education, and highly available expert resources to review and support case-by-case exception logic.

#### Learning Objectives

- Prepare broadly, well beyond IT, for go-live regarding enforcement sanctions
- Consider all-hands training and education for exception rules
- Save/show your work! Information Blocking working committee notes and drafts will alleviate time and resources needed to craft detailed procedures

**Field of Study:** Information Technology – Technical

## Friday, December 3, 2021

8:30 am Welcome to Day 3

8:30 – 10:00 am Compliance Programs in Organizations Outside of Healthcare

**Mary Shirley**, Head of Culture of Integrity and Compliance Education, Fresenius Medical Care

Discussion around differences and similarities between international Compliance programs and United States-centric programs, the life of an international practitioner from a day-to-day agenda and culture standpoint, the future of the profession for international and domestic Compliance teams.

### Learning Objectives

- Understanding and appreciation of the role and responsibilities of an international Compliance practitioner
- Understanding of key concepts of Foreign Corrupt Practices Act and key local law considerations
- Consideration of the continuous evolution of the role of Compliance function from regulatory compliance to ethical and moral guardians and what this means for the profession moving forward.

**Field of Study:** Specialized Knowledge - Technical

10:15 – 11:45 am Telehealth Compliance Amidst COVID-19

**Connor Duffy, JD**, Attorney, Robinson + Cole

**Nathaniel Arden, JD**, Attorney, Robinson + Cole

This presentation will review the regulatory landscape for the provision of telehealth services and how it was rapidly expanded in response to the COVID-19 pandemic. The presentation will analyze the regulatory challenges posed by the various regulatory changes made at the federal and state levels to encourage telehealth, how providers responded, and the corresponding compliance challenges faced by providers as these waivers end or are phased out. The presentation will also review initial federal and state audits of telehealth services and the types of arrangements facing scrutiny.

### Learning Objectives

- Telehealth regulation
- Important points for telehealth compliance
- Telehealth audit scrutiny

**Field of Study:** Information Technology - Technical

11:45 – 12:00 pm Wrap up discussion and Adjourn



## Registration:

Registration is Available Online at [www.MA-RI-HFMA.org/Event-Registration](http://www.MA-RI-HFMA.org/Event-Registration). Whether paying by check or credit card, enter your information and registration online. For those paying by check, the system will automatically generate an invoice link which can be found on your confirmation email.

### Registration Fees:

**Early-Bird – Prior to October 30<sup>th</sup> at 5:00 pm**

\$430 Full Conference

\$225 One Day Registration

**Registration after October 30<sup>th</sup>**

\$450 Full Conference

\$225 One Day Registration

### Cancellations or Substitutions:

No refunds will be given for “no shows.” Cancellations processed within the registration system by November 17, 2021 will be issued a refund less a \$50 cancellation fee. NO REFUNDS FOR CANCELLATIONS AFTER November 17, 2021. NEHIA/HFMA reserves the right to cancel any event due to insufficient registration or any unforeseen circumstances. In the unlikely event of cancellation, NEHIA/HFMA are not responsible for any costs, damages, or other expenses of any kind, including, without limitation, transportation and/or hotel costs incurred by registrant. Speakers are subject to change without notice. You may send a substitute if you are unable to attend yourself.

## Continuing Educational Credits:

**This program qualifies for 21.6 live Compliance Certification Board (CCB)<sup>®</sup> credits and 18 American Academy of Professional Coders (AAPC)<sup>®</sup> CEUs.**

<b>NASBA Continuing Education Credits – Up to 21.6 Group Internet Based Presentation</b>	
<b>Category</b>	<b>CPEs</b>
Auditing – Technical	3.6
Information Technology - Technical	4.8
Personnel/Human Resources – Non-technical	3.0
Regulatory Ethics - Technical	1.2
Specialized Knowledge - Technical	9.0
<b>Program Level:</b> Intermediate	
<b>Pre-requisite Requirements:</b> No advanced preparation necessary	
To obtain CPE Credits, attendees must attend the live webinar session and answer all polling questions. Some attendees are having trouble answering polling questions on a Mac computer. In order to view polling questions, you must use the downloaded version of Zoom and not view directly in an internet browser.	

### **HFMA MA-RI National Sponsor Registry Number: 129053**

HFMA Massachusetts-Rhode Island 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. State Boards of Accountancy have the final authority on the acceptance of individual course for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: <http://www.nasbaregistry.org>.

### **Contacting the Office:**

Any questions, concerns, or complaints can be addressed to [admin@ma-ri-hfma.org](mailto:admin@ma-ri-hfma.org) or 781-647-4422