



New England Healthcare
Internal Auditors Inc.



Massachusetts-Rhode
Island Chapter

2023 In-Person Compliance & Internal Audit Conference

WEDNESDAY, NOVEMBER 29 - FRIDAY, DECEMBER 1, 2023
MYSTIC MARRIOTT, GROTON, CT



The New England Healthcare Internal Auditors (NEHIA) and the Healthcare Financial Management Association (HFMA) MA-RI Chapter are excited to again 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, November 29, 2023

7:15 am to 8:15 am	Breakfast
8:15 am to 8:30 am	Welcome & Introduction
8:30 am to 9:30 am	Regulatory Compliance Hot Topics
9:30 am to 10:30 am	HIPAA Enforcement
10:45 am to 11:45 am	Construction Contract Auditing: Lessons from the Field
11:45 am to 12:45 pm	Lunch
12:45 pm to 1:45 pm	Controlled Substance Diversion Auditing
1:45 pm to 2:45 pm	Difficult to Discharge Patients and Compliance Issues
3:00 pm to 4:00 pm	How to enhance your Professional Presence and Communication Style
4:00 pm to 5:00 pm	Better Together: Compliance, Internal Audit and the Case for Independently Collaborative Work Plan Development

Thursday, November 30, 2023

7:30 am to 8:15 am	Breakfast
8:15 am to 8:30 am	Welcome Day 2
8:30 am to 9:30 am	Post-Pandemic Compliance - Best Practices and Areas of Regulatory Scrutiny
9:30 am to 10:30 am	Phishing Campaigns and IT Security
10:45 am to 11:45 am	Navigating HRSA 340B Audits: Best Practice for Healthcare Compliance
11:45 am to 12:45 pm	Lunch
12:45 pm to 1:45 pm	Mitigating Risk Across the Three Lines of Defense – A collaborative look at risk mitigation for top industry risks
1:45 pm to 2:45 pm	Post-Acquisition Integration: The Real Focus and Challenge for Compliance
3:00 pm to 4:00 pm	That Never Happened – A Psychotherapy Fraud Case Study – U.S. vs. Dunlap
4:00 pm to 5:00 pm	Healthcare Internal Audit Data Analytics
5:15 pm to 6:15 pm	Networking Reception

Friday, December 1, 2023

7:30 am to 8:15 am	Breakfast
8:15 am to 8:30 am	Welcome Day 3
8:30 am to 9:30 am	2024 Coding Updates and Audit Risk Areas
9:30 am to 10:30 am	Healthcare Privacy Awareness: Being Prepared to Implement Regulatory & Industry Changes
10:45 am to 11:45 am	Follow the money: Physician Contracting and Compensation – Key Trends and Risk Areas
11:45 am to 12:45 pm	How to Stand Up an ACO Compliance Program with Auditing Metrics
12:45 pm to 1:00 pm	Box Lunch

Full Conference Agenda

Wednesday, November 29, 2023

7:15 - 8:15 am BREAKFAST

8:15 - 3:30 am Welcome & Introduction

Donna Schneider, *President, New England Healthcare Internal Auditors (NEHIA)*
Kimberly Carlozzi, *President, HFMA, Massachusetts-Rhode Island Chapter*

8:30 - 9:30 am Regulatory Compliance Hot Topics

Heather Hagan, CHC, CRMA, CIA Principal, Deloitte & Touche LLP
Kelly Saunders, 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 updates on information privacy, transparency and interoperability, and billing and coding. 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 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 information privacy, coding and billing, transparency 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

9:30 - 10:30 am HIPAA Enforcement

Erin Walker, *Supervisory Equal Opportunity Specialist, US Department of Health & Services, Office for Civil Rights*

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

10:45 - 11:45 am Construction Contract Auditing: Lessons from the Field

Tony Ollmann, CPA, CCA, Partner, Baker Tilly, US LLP

Fieldwork is where overcharges are discovered, observations are made and practical lessons learned. This case study analysis will demonstrate overcharging schemes, abusive behaviors, and techniques to overcome uncooperative contractors. Additionally, we will discuss how internal audit can collaborate with Facilities

Development and Legal Counsel to affect project controls and minimize construction project risk. Participants can expect to see case studies highlighting:

- Patient tower audit uncovering change order price inflation.
- Contract terms enabling the contractor to bill for excessive overtime.
- Contractor billings for donated materials and services.
- Consequences for failing to manage local building code compliance.

Learning Objectives

- Detect and prevent construction fraud
- Differentiate between fraud, negligence and carelessness
- Identify and compensate for weak construction project controls
- Collaborate with facility professionals to mitigate construction risk

Field of Study: Auditing – Technical

11:45 - 12:45 pm LUNCH

12:45 - 1:45 pm Controlled Substance Diversion Auditing

Tom Gregory, MBA, CPA, CFA, Partner, Ernst & Young LLP

Jacqui Stout, MSN, RN, Director, Drug Diversion Prevention Program, Dartmouth Health

This session will provide participants with an update on key regulatory enforcement trends and risks related to controlled substance management and diversion in the health industry. The speakers will discuss business processes and functional areas most at risk for diversion along with important controls and compliance tools. The session will also cover audit approaches and methodologies to assess the effectiveness of an organization's diversion prevention efforts, and to identify and implement control improvements. The speakers will share their experiences and industry insights as well as address questions from participants.

Learning Objectives

- Gain an understanding of key regulations and enforcement trends related to controlled substances
- Identify key areas and activities particularly at risk for diversion along with associated controls
- Share approaches, tools and methodologies to effectively audit an organization's controlled substances management program

Field of Study: Auditing – Technical

1:45 - 2:45 pm Difficult to Discharge Patients and Compliance Issues

Larry Vernaglia, Partner, Foley & Lardner LLP

With thousands of “stuck” patients in hospitals throughout New England (including as many as 15% inappropriately occupying a med/surg bed in Massachusetts according to data from the MHA), and some minimal state-level solutions, hospitals are seeking their own arrangements to address this crisis. This presentation will address the legal and regulatory barriers to building contractual arrangements between hospitals and post-acute care providers and provide a potential pathway forward using a value-based arrangement as a model.

Learning Objectives:

- Understand current state of “Difficult To Discharge Patients”
- Understand legal and regulatory challenges
- Evaluation potential solutions.

Field of Study: Specialized Knowledge – Technical

2:45 - 3:00 pm BREAK

3:00 - 4:00 pm How to enhance your Professional Presence and Communication Style

Danielle Fagan, MSW, LICSW, Director-Adult Psychiatry & Behavioral Health, Lifespan

How we are perceived impacts our career path. This workshop will explore ways to enhance our professional presence by building confidence in our ability to communicate effectively. Participants will explore how they may be perceived and how perception impacts our ability to effectively communicate. We will learn about other communication styles differ or even conflict with our own style and strategies to adapt for successful communication.

Learning Objectives

- Recognize the positive impact of enhancing their professional presence and learn practical strategies to build relationships
- Examine intention vs perception and the impact on our professional relationships
- Explore communication styles, identify dominant style, and adapt to other styles for successful communication
- Build confidence and competence in communicating with others

Field of Study: Personal Development – Non-technical

4:00 - 5:00 pm Better Together: Compliance, Internal Audit and the Case for Independently Collaborative Work Plan Development

Regina Alexander, FACHE, CHC, Principal, BerryDunn

Yoko McCarthy, MBA, CFE, CISA, CGFM, Principal, BerryDunn

Collaboration between any healthcare organization's internal audit and compliance functions is possible without infringing on either function's independence or unique responsibilities. This session will explore the opportunities for improved efficiency and program effectiveness through coordinated development of annual work plans. Presenters will lead attendees through an exploration of the potential barriers, leveraging data and shared risk assessment definitions, as well as practical tips for engaging stakeholders.

Learning Objectives

- Recognize common elements of compliance work plans presenting an opportunity for plan collaboration and ongoing coordination between the compliance and internal audit functions.
- Identify stakeholders and develop a business case for collaboration.
- Differentiate between potential real versus perceived barriers to maintaining independence, as well as strategies to mitigate risks without abandoning collaborative efforts.

Field of Study: Specialized Knowledge – Technical

Thursday, November 30, 2023

7:30 - 8:15 am BREAKFAST

8:15 - 8:30 am Welcome to Day 2

8:30 - 9:30 am Post-Pandemic Compliance - Best Practices and Areas of Regulatory Scrutiny

Nathaniel Arden, Esq., *Partner, Robinson + Cole LLP*

Connor Duffy, Esq., *Partner, Robinson + Cole LLP*

We will provide a high-level overview of the myriad legal and operational compliance changes implemented in connection with the end of the COVID-19 public health emergency on May 11, 2023, and provide guidance on best practices for health care organizations to “re-align” with certain pre-pandemic requirements, to update processes for the post-pandemic legal environment, and to monitor post-pandemic compliance regulatory enforcement activity to avoid scrutiny.

Learning Objectives

- Review of PHE waivers which ended at or prior to the end of the declared PHE in May 2023
- Review statutory changes post-pandemic which impact health care compliance
- Review areas of regulatory enforcement and audit and the implications for health care organizations

Field of Study: Auditing – Technical

9:30 - 10:30 am Phishing Campaigns and IT Security

Anthony Siravo, MBA, MSIS, *Chief Information Security Officer, Lifespan*

In this presentation, I will delve into the critical topic of phishing and its implications in today's digital world. I will begin by defining what phishing is and explore recent healthcare breaches that have exposed the vulnerabilities of sensitive information. I will then analyze the anatomy of a phishing attack, uncovering the techniques employed by cybercriminals to deceive unsuspecting individuals. I will highlight the risks posed by spear phishing, a targeted form of phishing.

Learning Objectives

- Understand the concept of phishing
- Identify the anatomy of a phishing attack
- Recognize spear phishing as a targeted threat
- Develop strategies to protect against phishing

Field of Study: Information Technology – Technical

10:30 - 10:45 am BREAK

10:45 - 11:45 am Navigating HRSA 340B Audits: Best Practice for Healthcare Compliance

Kristin Chupka, RPh, PharmD, BCACP, 340B ACE, *System Director, 340B Program, Dartmouth Health*

Rob Nahoopii, PharmD, MS, 340B ACE, *SVP Pharmacy Services, Spendmend LLC*

Based on recent HRSA 340B audit experience, Rob will share where and what HRSA has been focusing on during 340B audits. Focusing on what covered entities can do to prevent findings during a HRSA audit. In addition, current 340B hot topics such as 340B patient definition and manufacturer restrictions in contract pharmacy shall be discussed.

Kristin will share the compliance plan and operational activities undertaken by Dartmouth Health to stay in compliance and to maintain HRSA Audit Ready status. This will include an overview of tracking compliance measures and escalation pathways and review of how the Dartmouth Health 340B Team builds a standard audit.

Learning Objectives

- Describe best practices in setting up a 340B Yearly Compliance Plan
- List the crucial components to review during a Self Audit
- Identify operational activities that supplement a compliant 340B Program

Field of Study: Auditing – Technical

11:45 - 12:45 pm LUNCH

12:45 - 1:45 pm Mitigating Risk Across the Three Lines of Defense – A collaborative look at risk mitigation for top industry risks

Audra Hulme, CISA, Director, Cyber, Risk and Regulatory, PwC

Kaitlin McCarthy, CHC, Associate Deputy Compliance Office, Beth Israel Lahey Health

The healthcare industry has experienced a significant amount of change, disruption, and risk driven by a multitude of factors over the last several years. Despite this tricky macroenvironment, health care providers continue to forage ahead with significant strategic initiatives aimed at putting themselves on better footing to meet these evolving risks and dynamics. Compliance and Internal Audit teams are transforming as well, leaning in as strategic business partners to the c-suite and helping to mitigate risk in new and emerging risk areas. This presentation will explore top industry risks facing health care providers and the ways in which Compliance and Internal Audit teams are actioning risk mitigation tactics with the business.

Learning Objectives

- Examine the top risk trends in the healthcare provider industry
- Learn risk mitigation tactics that can be leveraged to support addressing top risks
- Understand the roles that Compliance and Internal Auditors play in supporting the organization’s strategic objectives through risk mitigation

Field of Study: Specialized Knowledge – Technical

1:45 - 2:45 pm Post-Acquisition Integration: The Real Focus and Challenge for Compliance

Patti Ariel, Interim Chief Compliance Officer, WMC Health Network

Dhara Satija, CHC, CRCR, Director, Paul Hastings LLP

Post-acquisition integrations challenges have greatly impacted the organization especially since the pandemic. During this session, we will discuss the current and emerging regulatory trends and provide practical takeaways for our compliance professionals as they focus on providing an oversight with post-acquisition integration activities.

Learning Objectives:

- Overview of regulatory and enforcement trends impacting healthcare due diligence activities
- Imperative for enhanced compliance oversight of post-acquisition integration activities
- Best practices and practical considerations for managing compliance risks and program requirements in acquisitions
- How to prepare, how to respond, and what possible outcomes to expect in managing compliance investigations post-acquisition integration

Field of Study: Specialized Knowledge – Technical

2:45 - 3:00 pm BREAK

Janet Ambrisco, *Special Agent, Federal Bureau of Investigation*

Presentation will illustrate the use of data mining to generate leads and an investigate approach to assessing fraudulent activities and unusual trends. By focusing work in those areas, investigations will identify not only the extent of fraud but also identify the perpetrators.

This case study will follow the investigation into Cortney Dunlap who became one of the largest billers of psychotherapy services in CT. A proactive search of Medicaid claims data identified unusual claim activity from Dunlap. The investigators developed an approach to gathering evidence that not only obtained proof of a traditional “services not rendered” fraud, but also identified stolen identities used to further Dunlap’s profits. Had unusual activity not been fully investigated by the agents, the full extent of the crimes would not have been discovered.

Learning Objectives

- How delving deep into data can bring to light additional frauds that a surface analysis would not uncover.
- How understanding the whole picture of the company owner is important to understanding the depth of a fraud.
- Maintaining a watchful eye during the review of banking information it is important to identifying potential fraud areas.

Field of Study: Regulatory Ethics – Technical

Tom Kancyan, CPA, *Manager, Deloitte & Touche LLP*

Neil White, CIA, CSA, PMP, *Partner, Deloitte & Touche LLP*

An overview of how analytics, automation, and AI are being utilized in Internal Audit and how that is driving value back to the business. How we see Internal Audit departments best structure their people, processes, and technology to achieve their vision. Where we see analytics being used most often in the audit lifecycle and how to expand beyond fieldwork analytics. Discussion of specific Health Care analytics and industry agnostic use cases.

Learning Objectives

- Analytics
- Automation
- AI
- Strategy

Field of Study: Information Technology – Technical

Friday, December 1, 2023

8:30 - 9:30 am 2024 Coding Updates and Audit Risk Areas

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

This presentation will cover the 2024 cpt coding updates, including an overview of the specialties most impacted and upcoming regulatory changes. The session will also address top audit risk areas for your organization including medical necessity, shared/split visit documentation, telehealth, critical care, modifier -25 and the impact of the 2023 e/m guideline changes, etc.

Learning Objectives

- 2024 CPT updates
- Regulatory updates
- Audit risk areas

Field of Study: Specialized Knowledge – Technical

9:30 - 10:30am Healthcare Privacy Awareness: Being Prepared to Implement Regulatory and Industry Changes

Jennifer Cox, JD, Attorney, Cox & Osowiecki LLC

The program will explore key developments in patient and consumer privacy that will significantly impact the healthcare industry. Major shifts in patient care rights particularly for reproductive healthcare, a renewed focus on consumer data privacy, and next level deployment of recent technologies (such as artificial intelligent) have converged to create a challenging roadmap for healthcare providers. Further, the COVID-19 pandemic raised awareness about the fragility of the public health system resulting in a push for more robust, and routine, data collection and standardization by public health authorities. The program will review the anticipated trajectory of these issues and discuss operational tips that may help providers plan for what's next.

Learning Objectives

- Identify pressing privacy challenges facing healthcare providers
- Classify state versus federal regulatory privacy expectations affecting healthcare
- Outline priorities for internal policy review and reaction

Field of Study: Specialized Knowledge – Technical

10:30 - 10:45 am BREAK

10:45 - 11:45 am Follow the money: Physician Contracting and Compensation. Key Trends and Risk Areas

Kendall Ford, CPA, Senior Manager, Enterprise Risk, Ernst & Young LLP
David Tolley, Partner, Litigation Department Chair, Boston Office, Latham & Watkins LLP

Compliance with Provider contracting requirements has become more challenging. Modern technologies, emerging risks, and complex provider compensation programs. Internal Audit is often called upon to review a Health System's Provider Contracting governance, processes and controls. IA professionals can benefit from understanding how technology, analytics and AI may be leveraged to improve the performance of the Provider Contracting program and our IA procedures. In this presentation, we will also discuss emerging risks, including enforcement trends, related to non-monetary compensation. Finally, we will address the importance and application of Attorney-Client privileging protocols.

Learning Objectives

- Opportunities to leverage technology, including analytic and AI tools, to perform Provider contracting and compensation internal audit reviews
- Hear about emerging risks related to trends in non-monetary compensation
- Application and importance of attorney client privilege in internal audit and other assessments

Field of Study: Specialized Knowledge – Technical

11:45 - 12:45 pm How to Stand Up an ACO Compliance Program with Auditing Metrics

Laura McNamara, MBA, MS, CHC, CHPC, Compliance and Privacy Officer, Stony Brook Medicine Clinical Practice
Alex Wright, MHA, CRC, CEMC, Associate Director, Compliance, Stony Brook Medicine Clinical Practice

Stony Brook Medicine became a clinically integrated network (CIN) and an Accountable Care Organization (ACO) on January 1st, 2020. The ACO requires a stand-alone compliance function with all the elements of an effective program. The CPMP Compliance Department was tasked with the development of the program and elements and got to work drafting an education/training and auditing/monitoring workplan to support its compliance efforts. This discussion will cover how the program evolved in its first few years and the lessons learned, with a specific focus on the auditing approach and disseminating the audit results to key stakeholders to maximize opportunities for early success for the ACO.

Learning Objectives

- Appreciate how an organization's growth can result in a new compliance segment.
- Understand the foundational elements needed to implement new workplan items and goals.
- Identify key stakeholders to synthesize engagement across the enterprise to gain buy-in and support.
- Using audit results to create KPIs and Performance Metrics.

Field of Study: Business Management & Organization – Non-technical

12:45 – 1:00 pm BOX LUNCH

Registration:

Registration is Available Online at <https://www.hfma.org/massachusetts-rhode-island>. Whether paying by check or with 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 September 28th at 5:00 pm
\$430 Full Conference

Registration after September 28th
\$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 20, 2023 will be issued a refund less a \$50 cancellation fee. NO REFUNDS FOR CANCELLATIONS AFTER November 20, 2023. 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 NASBA Credits. This program has been approved for 21.6 live Compliance Certification Board (CCB)[®] credits and 18 American Academy of Professional Coders (AAPC)[®] CEUs.

NASBA Continuing Education Credits – Up to 21.6 Group Internet Based Presentation	
Category	CPEs
Auditing – Technical	4.8
Business Management & Organization – Non-technical	1.2
Information Technology – Technical	2.4
Personal Development – Non-technical	1.2
Regulatory Ethics - Technical	1.2
Specialized Knowledge - Technical	10.8
Program Level: Intermediate	
Pre-requisite Requirements: No advanced preparation necessary	
To obtain CPE Credits, attendees must sign-in and out-off the conference each day.	

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 or 781-647-4422