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The group rate is $199 Friday, $259 Saturday, $199 Sunday–Tuesday, and $159 Wednesday; plus tax (currently at 12% per room per night and subject to change). Rates quoted are for regular Deluxe guest rooms and single/double occupancy.

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When making your reservation via telephone, please reference the group Health Care Compliance Association – Annual Compliance Institute 2018 to receive the special rate. These rates are good until Friday, March 23, 2018, or until the group room block is full (whichever comes first). Reservation requests received after this cut-off date or after the group block is filled (whichever comes first) will be accepted on a space and rate availability basis only. Hotel accommodations are not included in your conference registration fee.

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by Adam Turteltaub

Welcome to the CI Special Edition of Compliance Today

In these pages you’ll find reports from HCCA staff members and attendees of the program sharing their experiences and giving you a sense of both the learning and what it was like to be there. If you joined us for the program, we hope that it brings back positive memories and helps fill you in on some of the sessions you might not have been able to attend.

If you weren’t able to join us, turn to these pages to gather some insights into how to improve the effectiveness of compliance programs—but also to get a little taste of what was a very dynamic and fascinating four days.

A wide range of ongoing compliance challenges for the healthcare community were discussed, and solutions were proposed based on the real-world experiences of compliance professionals.

Also on the agenda were new and emerging challenges, including modern slavery and human trafficking. As more and more laws are put on the books regarding this horrifying issue, healthcare compliance professionals were made aware of both the legal requirements and the moral obligations of the healthcare community. One study found that 88% of trafficking victims had at least some contact with the healthcare community.

And, on the brighter side, there were sessions to help expand thinking, including what we can learn from the successes and fatal failures of the space program.

We hope you find this special edition of Compliance Today to be of value, and we hope to see you at the Aria Hotel in Las Vegas from April 15–18, 2018 for the next Compliance Institute.
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The world becomes a smaller place when you house over 2,500 compliance professionals in one conference.

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Compliance Today (CT) (ISSN 1523-8466) is published by the Health Care Compliance Association (HCCA), 6500 Barrie Road, Suite 250, Minneapolis, MN 55435. Subscription rate is $295 a year for nonmembers. Periodicals postage paid at Minneapolis, MN 55435. Postmaster: Send address changes to Compliance Today, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435. Copyright © 2017 Health Care Compliance Association. All rights reserved. Printed in the USA. Except where specifically encouraged, no part of this publication may be reproduced, in any form or by any means without prior written consent of HCCA. Mention of products and services does not constitute endorsement. Neither HCCA nor CT is engaged in rendering legal or other professional services. If such assistance is needed, readers should consult professional counsel or other professional advisors for specific legal or ethical questions.
General sessions—Down to earth and out in space

This year’s Compliance Institute was fortunate to have keynote, general sessions that offered down to earth insights, as well as remarkably valuable insights from a former NASA astronaut.

Dan Levinson, the Inspector General (IG) at the Department of Health and Human Services opened up the proceedings on Monday, as is traditional. His talk focused on the newly-released Measuring Compliance Program Effectiveness: A Resource Guide. The document, which is available at http://bit.ly/2mTr8ow, was developed with the HCCA.

The Resource Guide is not a standard. Instead it is filled with insights into how to measure the effectiveness of compliance programs.

In his remarks the IG made it clear that compliance programs would not be expected to do everything they read in the document. Instead, he encouraged compliance teams to “observe, measure, and assess” and recognize that incremental gains are valuable. The Guide provides hundreds of suggestions for how to make that invaluable, steady progress.

Inspector Levinson was followed by veteran compliance officer Kristy Grant-Hart, the owner of Spark Compliance Consulting. Her talk on how to be a wildly effective compliance officer was rich in thought-provoking ideas into how to do the job of compliance officer more effectively.

She spoke specifically to the challenges of motivating people and the need to understand that not everyone is motivated by the same things. For some it may be fear of getting into trouble, while others may be motivated if they see compliance as a competitive advantage.

Tuesday saw two very different sessions. The morning began with a look at the issue of modern slavery and human trafficking. The HCCA’s Adam Turteltaub moderated a discussion with Margaret Hambleton, the Vice President of Corporate Compliance at Dignity Health, and William Shepherd, a former prosecutor and a partner with Holland & Knight.

The conversation covered the growing Federal and state requirements to ensure that there is no human trafficking in the supply chain, and that employees can spot it when they see it.

The issue was brought vividly to life as Margaret shared her own experience dealing with this issue.

The bottom line: it’s not a horrible, but distant problem. It’s one that hits close to home, especially since a survey of trafficking survivors revealed that 88% had some contact with the healthcare system.

The second part of the morning featured Garrett Reisman, who spent more than 100 days in space while serving as an astronaut at NASA. His presentation began with a fascinating and fun look at the life of an astronaut, but then drilled down to the very substantial risks involved. Going into space, he explained, is about as dangerous as climbing Mount Everest.

He shared the lessons from the Apollo 1, Challenger, and Columbia disasters. They illuminated problems that can be found in the healthcare setting, as well. One area he
focused on is what he described as “the normalization of deviance.” When something shouldn’t happen but does, and nothing bad seems to happen, people get used to it and it starts to feel normal, and then something terrible happens.

In the case of the space program, that was the loss of insulation from the fuel tanks, a loss which ultimately led to the Columbia disaster. In a healthcare setting it could be something as simple as employees getting out of the habit of locking computers when they leave their desk.

He closed by discussing the need to ensure that the risks and controls are properly aligned.

In sum, the general sessions at the Compliance Institute showed both how much more that compliance professionals need to do and also that the sky is the limit.
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Annually, compliance and ethics practitioners attend the Health Care Compliance Association’s Compliance Institute (CI). The CI is ideal for hearing presentations from regulators, generating new ideas for program effectiveness and benchmarking strategies, and connecting with peers committed to a similar mission.

This year, compliance and ethics practitioners heard from Dr. Garrett Reisman, Director of Space Operations for SpaceX. As a former astronaut of the NASA Space Shuttle program, Dr. Reisman shared lessons learned from the Apollo 1, Challenger, and Columbia tragedies. Although each tragedy was different and occurred over a span of 20 years, there were similarities among them. Some may argue that traveling to space has greater risks than many of us experience at our organizations. After listening to Dr. Reisman’s comparison of each tragedy, attendees have tangible information to reference when observing behavior, reviewing communications, and participating in organizational initiatives.

Here are a few points from the presentation:

1. **Schedule pressure**
   Each of the space missions was under a tremendous amount of pressure to complete all tasks within a short deadline. Short deadlines lead to reduction or eliminated time to address specific tasks. Dr. Reisman states, “All projects need healthy pressure from management to control cost and schedule, but when schedule pressure becomes too high—watch out.”

2. **Normalization of deviance**
   Each of the space missions identified a problem that required a resolution. After repeated positive outcomes, such as with testing or actual flights, resolution was no longer a high priority because desired results were achieved. Dr. Reisman states, “Just because you can get away with something over and over again, doesn’t mean it is not a danger.”

3. **Importance of free and open communication**
   Similar to many organizations, the reporting structure within the space shuttle program included many layers. For example, engineers reporting concerns could have their communication filtered by their supervisors before reaching the program decision makers. In the example provided, the astronauts were told that there was nothing to worry about.

   Schedule pressure, normalization of deviance, and open communication are topics that organizations face daily. Dr. Reisman provided practical information to assist compliance and ethics practitioners with fulfilling our obligations to our employing organizations, the profession, and our society. ☞

**Walter E. Johnson** is the Director of Compliance and Ethics for a federal government contractor in Fairfax, VA.
Cherry blossoms and the Compliance Institute

Cherry blossoms are a symbolic flower of spring, representing both a time of renewal and the fleeting nature of life. Right before the 21st Annual HCCA Compliance Institute (CI), held this year in National Harbor, Maryland, my husband and I were lucky enough to check off another item on our bucket lists—seeing the cherry blossoms in Washington, DC. They were spectacular and a great way to kick off the CI, which is a time of learning, renewal and reflection; a time to re-connect with colleagues; and a time to remind ourselves of the important work we do all year long.

The CI included many fantastic presentations that appealed to all aspects of healthcare compliance, from government enforcement trends/updates to best practices to professional development and more. I especially enjoyed Kim Brandt’s “What’s Next in Washington?” presentation, as she added humor to a complex moving target. Many presentations left me with a sense of awe for how complex healthcare compliance can be, but also with a sense of renewal regarding the importance of our work.

There were two presentations that both fed and challenged my soul both as a compliance professional and as a human being. The “Wonders of Spaceflight and Its Risks: Lessons from the Space Shuttle Program” presentation by Garrett Reisman reminded us all of the lessons that can be learned from tragedies. The talk also illustrated how, when you manage risk properly, you can do some incredible things! The most sobering presentation was “Human Trafficking and Modern Slavery: The Next Compliance Challenge” with Margaret Hambleton and William Shephard, who recounted harrowing real world events of slavery in healthcare including professional staff. I encourage all compliance professionals to educate themselves and their organizations about human trafficking and slavery, which can occur in front of our eyes unnoticed by those without proper training. The Coalition to Abolish Slavery & Trafficking (www.castla.org) and Verite (www.verite.org) were both highlighted as resources for education and training.

After several years’ absence from the CI, I was reminded why attending the CI is so important for healthcare compliance professionals. I’ve met colleagues and made life-long friends that I can count on at past CIs, and I always enjoy meeting new people. I found a renewed appreciation for all of the different healthcare compliance perspectives—from payers to providers to researchers to industry to enforcement agencies and more. The CI helps not only with connecting with other compliance professionals, but also helps to connect the dots!

Just as the cherry blossoms represent renewal, I left the CI feeling invigorated and with a deeper appreciation for the compliance profession! I hope to see y’all at the 22nd CI in Las Vegas in 2018! 🌸

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Adjacent to our nation’s capital, Washington, DC, National Harbor was the perfect location to hear from regulators such as the Office of Inspector General (OIG) during this year’s Compliance Institute. Although healthcare exclusions are nothing new for compliance officers, it’s always a good idea to review how your organization handles exclusions as part of your annual compliance program review. With PreCheck being a provider of exclusion screening services, I always make it a priority to attend any exclusion-related sessions at each CI to ensure we stay ahead of the latest trends, especially when the OIG is presenting.

“One thing to keep in mind is that a simple background check will not necessarily determine whether a person could be excluded,” Lauren Marziani, Senior Counsel at the OIG, stated during a conference session on this topic.

If you are reviewing your organization’s exclusion screening practices, the following are my top takeaways from Marziani’s session:

- **Review the OIG’s guidance on exclusions:** The OIG published a Special Advisory Bulletin on “The Effect of Exclusion from Participation in Federal Health Care Programs” in 2013. The brief document should serve as a guide for your organization’s exclusion screening processes and is the latest advisory bulletin published by the OIG on this topic.

- **Reinstatement is not automatic:** Although an exclusion term may have expired, keep in mind that reinstatement into federal healthcare programs is not automatic. Excluded individuals will continue to appear on the OIG’s List of Excluded Individuals and Entities (LEIE) unless they follow the proper steps to apply for reinstatement.

- **Follow best practices for exclusion screening:** Make sure you screen for exclusions at the time of hire and ask for the employee or contractor to certify that they are not excluded. For ongoing exclusion screening, the OIG recommends monthly screening as the best practice in the industry, as established in the 2013 special advisory bulletin.

Exclusion screening is only a fraction of your organization’s compliance program. I hope these takeaways will help you strengthen your initiatives for 2017 and beyond. 🌟

*Bryan Barajas* (bryanbarajas@precheck.com) is the Marketing Director at PreCheck in Houston, TX.
As first-time attendees at the annual Compliance Institute, we were impressed by the variety of sessions offered and the relevance of current healthcare topics.

One topic that was the highlight of the conference for us was mergers and acquisitions (M&A) and the importance of compliance due diligence when considering such transactions. The healthcare industry has seen a steady stream of M&A activity since 2009, and this trend is expected to continue in 2017 and beyond. Over the past few years, we have seen headlines such as “HCA Acquires 14 Urgent Care Centers in Las Vegas” and “Ventas Sells 36 Skilled Nursing Facilities to Kindred for $700 Million” and “Barnabas Health, Robert Wood Johnson Health System Complete Merger.” When one thinks of due diligence related to these events, financial due diligence and tax due diligence are the first to come to mind. However, it is essential that companies also consider the compliance risks they may inherit when making a deal. The best way companies can assess and prepare for such risks is by giving compliance a seat at the due diligence table.

As M&A activity continues to reshape the healthcare industry, compliance due diligence should be considered an integral part of a company’s approach to transactions. The compliance component of the deal compels companies to assess the target company’s compliance program, including the compliance culture and tone at the top, as well as elements such as policies and procedures, training and education, lines of communication, auditing and monitoring, and reporting and responding to compliance issues. Compliance due diligence can also help evaluate risks related to other aspects of the company, such as coding and billing processes and controls, and privacy and security protocols.

The annual Compliance Institute did a wonderful job of highlighting the important role compliance can play in M&A due diligence and provided a great platform for us, as compliance professionals, to discuss the many ways Compliance departments can help companies make better and more informed decisions when it comes to M&A opportunities. The insight gained from the valuable conversations we had throughout the week, both in the classroom and Exhibit Hall, will serve as a foundation for discussing healthcare M&A with our colleagues and clients alike.

Thank you for a great conference! We look forward to next year! 

Patricia Wylie (pwylie@kpmg.com) is a Director and Marissa Fremont (mfremont@kpmg.com) is a Manager of KPMG’s Advisory Risk Consulting group in New York, NY.
Attending and speaking at the annual HCCA Compliance Institute has become a tradition for me. It provides a great forum for education, regulatory updates, and sharing best practices. This year, I was joined by three great panelists: Laura Merten, CPO, Advocate Health Care; Patricia Shea, Partner, K&L Gates; and Asra Ali, Compliance and Risk Manager, Healthscape Advisors. We discussed data breach response and compliance during a 3-hour panel discussion (Session P18).

Patricia described the HIPAA regulatory landscape and how to navigate it—as opposed to being tormented by it. She reminded everyone of the Golden Rule: “You may not use or disclose PHI unless HIPAA permits or requires you to do so.”

Laura provided an in-depth perspective from her perch as the CPO of an integrated delivery system with 13 hospitals and more than 300 locations. She discussed Advocate’s privacy compliance framework, cross functional support, policies, internal controls, and tools for incident reporting and response. It was gratifying to hear Laura discuss Advocate’s use of our incident response platform and how it’s helping Advocate operationalize an incident response framework.

Asra covered a number of real-world examples of PHI incident investigations and breach determinations, along with trends to watch out for, noting that automation in incident response management is helpful in the breach determination process by providing an objective multi-factor risk assessment. I highly recommend reviewing the recording of this session and getting the updated slide deck.

I always find the OCR Enforcement Update session useful in keeping up with OCR’s focus and priorities (Session 104). Some highlights:

- Audits are part of Compliance, as opposed to the Enforcement function.
- Desk audits are underway, with 166 covered entities and 43 business associates undergoing evaluation.
- We can soon expect additional guidance on text messaging and social media.

On the OCR enforcement front, Presence Health’s $475,000 settlement fine due to untimely breach reporting was highlighted. This is noteworthy because it shows that OCR expects entities to comply with notification timelines in the event of a breach. OCR stated that individuals need to know that their information is at risk so they can take steps to protect themselves. This seems consistent with the focus on breach notification rules in Phase 2 of the HIPAA Audit Program.

I highly recommend listening to Cleveland Clinic’s organizational structure (Session 402) by Donald Sinko, Chief Integrity Officer. It speaks volumes to their culture of compliance!
I have attended several conferences sponsored by different healthcare associations over the years. However, none have been as informative and transformative as the HCCA Compliance Institute’s conferences. This year’s program agenda was especially engaging in every aspect.

The General Sessions were very well planned and offered different perspectives in Compliance. For example, in the Tuesday General Session, Dr. Reisman’s presentation on lessons learned from the space shuttle program was captivating. At first glance, I wondered, how in the world could the risk in a space program compare to what we encounter as compliance professionals in the healthcare industry? I was amazed to discover that not only are the risks the same, but the challenges that these two very different compliance teams manage mirror each other. The comparative analysis of the failures that resulted in catastrophic outcomes for NASA resembled the root cause analyses that we conduct for our failed processes in the hospital setting. I left this session charged and empowered more than ever not to “conform to group think,” “to encourage dissent,” and not to allow “normalization of deviance” to influence the decision to communicate concerns.

The breakout sessions were very organized and offered relevant topics. It is greatly appreciated how HCCA stays in touch with the industry trends to keep our profession connected to changes in regulatory and quality environments. For example, our institution assigned responsibility for the medication diversion prevention and detection program to the Compliance department. This is uncharted territory for Compliance, because medication management processes have traditionally been managed by physician, pharmacy, or nursing staff. Imagine how amazing it was to discover that there were not only two different breakout sessions covering medication diversion, but the dialogue was transparent, the tools were useful, and the discussion validated that our implementation plans were on track. HCCA’s foresight, as well as insight, promote the Compliance profession and positions compliance professionals to be pioneers and trendsetters in non-traditional areas of compliance.

I am excited to be a member of HCCA and a Compliance Institute attendee. Each year, essential information has been exchanged and valuable relationships established that have been used as blueprints for building, validating, or improving our Compliance operations. I look forward to participating in the CI scheduled to be in Las Vegas next year. However, there will be a twist—what happens in Vegas will not stay in Vegas! ☮

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The first Compliance Institute (CI) that I attended was in Chicago in 2007. I don’t recall many details about that, but I do know that much had changed by the time my second CI came around eight years later. The number of attendees at CI Orlando in 2015 was almost overwhelming. The General Sessions were in huge ballrooms with big screen displays, and the number of session tracks available was mind-numbing! I did manage to find some Compliance acquaintances and do some catching up, and the sessions were definitely informative and engaging, but I did spend quite a bit of time on my own, just figuring out how to handle all of the input.

This year, I was better prepared and able to fully engage, starting with Saturday evening dinner at the National Pastime Sports Bar and Grill with other members of what Frank Ruelas has named “The Crew”—a group of very dedicated compliance professionals who have connected through HCCAnet. We compared strategies on getting the most from the selection of sessions available, but we also arranged for other opportunities to get together over the next four days, which included early morning walks (5:30 AM—I made it to only one of those; I am a chlorine junky and hit the pool on the other days) and a “vendor safari” where we helped each other navigate to locations needed to complete our Bingo cards. Of course, there was some time spent at the Pose Lounge, which was available to registered guests at the Gaylord National Resort. I found that these “extracurricular” activities were actually very helpful in processing the information from the sessions, in that there was much discussion in compare-and-contrast fashion that helped me solidify my understanding and develop “next steps” for when I returned home.

I am grateful to HCCA for putting on such a wonderful conference, to all the speakers, and for the colleagues that I got to spend quality time with. What a valuable experience, and a whole lot of FUN to boot! Until we meet again… 😊

Marie Wagner (mwagner@queens.org) is the Senior Corporate Compliance Coordinator for The Queen’s Health Systems in Honolulu, HI.
W
ell another HCCA CI has come and gone and, as always, it was a great event. For someone who has attended the Institutes every year since I got my first compliance job in 1998, I continue to be amazed at the growth of the event and the profession every year. However, it was a different experience this year, because for the past Institutes I attended as an in-house person running a compliance program. This year I attended as an exhibitor with CynergisTek. It was a great experience being on the other side of the line, but also interesting because I could remember how it felt to walk past all the vendors and review all the great products knowing that it was unlikely I would get a budget for any of them. One thing that remained the same is that there are still plenty of quality products and consultants ready to serve the needs of the Compliance community.

I still found time to attend sessions. As always, the DHHS OIG Dan Levinson was great. I also noted the discussions this year continued some long-standing themes as well as some newer areas of focus. For example, there was more focus on assuring that the governing body understood its role in oversight of the compliance program. One area was the cybersecurity threats and how you assure the board (not generally made up of individuals with strong technical backgrounds) understands presentations by the CIO and/or CISO. Another area was the increased focus by enforcement agencies on the potential personal liability of the board members and the senior executives. I think this is helping compliance professionals finally recognize they are not ultimately responsible for ensuring their organization has an effective compliance program, but rather, senior leadership and the board of directors are.

Finally, I was struck by the number of individuals who were first-time attendees at the 2017 CI. For a seasoned veteran like me, it was refreshing to see the new influx of individuals to the profession. Some of these individuals brought experience and expertise from other fields, but others were just starting their careers. Either way, it is great to see the profession growing and thriving as we all struggle to ensure the organizations we work for have effective compliance programs.

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Another year, another Compliance Institute. HCCA seems to outdo itself every year by having another spectacular event, highlighted by OIG Inspector General Daniel J. Levinson’s keynote remarks. From the HCCA Volunteer Project that commenced the CI on Saturday, to the aspiring certification test takers who closed out the conference on Wednesday, everything was top notch. The sights and sounds of National Harbor, Maryland were amazing. And, all the dining options would make any foodie critic salivate.

In a world full of stress from work, politics, and even family, it is always nice to get away from it all for about four days. It was nice to reunite with old acquaintances and to meet new ones; to reinforce old laws and regulations and to learn new ones; and to be a mentee for a few, as well as to be a mentor for others. Ultimately, we were all there, united as one, to share our collective wisdom, knowledge, and expertise, so we can all celebrate our current and past successes, as well as learn from our failures and mistakes.

I found the experience to be like the bar from the TV show Cheers, “Where Everybody Knows Your Name.”

Bill Wong (william.wong@providence.org) is Senior Coding & Compliance Educator/Auditor at Providence Health & Services in Renton, WA.
Did you know that there are 46 million slaves in the world today and slavery is a $150 billion business worldwide? And that 88% of the victims have been touched by a health system? These appalling stats were shared during the “Human Trafficking and Modern Slavery: The Next Compliance Challenge” session hosted by Dignity Health and Holland & Knight. It became apparent that I am an extremely naive individual, as I had no idea that modern slavery is such a prevalent issue. However, as William Shepherd, a Partner at Holland & Knight explained, “It’s everywhere.” This insightful keynote showcased how Dignity Health’s compliance team took action to resolve a modern day slavery issue within their facility relating to underpaid highly skilled, experienced nurses from the Philippines retained through a staffing agency.

In another session, I found Kristy Grant-Hart of Spark Compliance Consulting said it best as she described the audience as “Compliance Superheroes.” Being a Compliance Officer is no easy task. Juggling internal investigations, protecting the organization from monetary and brand risk, managing regulatory requirements are just a few of the many hats worn on a daily basis. What’s more, as growth in cybercrime-as-a-service and ransomware attackers continue to be successful in targeting healthcare organizations, compliance will only continue to grow in importance and take on a higher priority.

As a newbie, I found lots of learning opportunities during the conference sessions, through networking, and through visiting the many vendors showcasing various technologies in the exhibit hall. Below are 10 newbie lessons I learned:

- Compliance is a high stress, time challenged, critical role
- Compliance professionals like to have a good time
- Paper-based policy and procedures management is prevalent, although other verticals have embraced SaaS based everything
- The HCCA knows how to organize a very well run educational conference
- Risks continue to increase within healthcare internally and externally
- 41% of healthcare breaches are caused by business associates
- Healthcare data commands a higher black market value
- People are being hit with 11,000 pieces of content a second
- People are attracted to passionate people
- The Irish Whisper in National Harbor serves great fish & chips!

I had an awesome three days attending the 21st Annual Compliance Institute and would highly recommend the conference to compliance professionals who want to network with their peers, hear about the latest industry risks, see what new technologies can help them mitigate risk, and learn how to develop a corrective action plan after an audit.

Tracy Staniland (tracy@policymedical.com) is Director of Marketing at PolicyMedical in Richmond Hill, ON.
I just attended my first HCCA Compliance Institute and, wow, what an eye opener. The energy was palpable, and the diversity of attendees in terms of roles, responsibilities, and organizational size was more than I had expected.

I decided to attend because of the breadth of breakout sessions on topics related to vendor management. My firm, which provides vendor management consulting, is experiencing a growing interest in vendor management from health plans and healthcare organizations. The Compliance Institute provided an excellent opportunity to hear perspectives on a variety of topics that are unique to the industry.

As I reflected on what practical insights to share about my experience, I identified two themes that stood out to me and that I think are applicable to all healthcare organizations.

1. **Vendor management is an evolving discipline.** Vendors were an important topic across several sessions I attended, including those on Health Resources and Services Administration (HRSA) audits, business associate agreements, and first-tier, downstream, and related entity (FDR) vendors. It is clear that vendors permeate the ecosystem of every healthcare organization.

   So it’s only natural, then, that vendor management is evolving from a pure “compliance issue” to an actual “business discipline” that focuses on cost control, risk mitigation, performance management and, of course, compliance. Healthcare organizations are rethinking how vendor management is approached, and where it should live on the org chart. They are also discussing how to bring all of the stakeholders together to tackle vendors in a more holistic way.

2. **Cybersecurity is driving the current conversation.** Cyber is a growing area of risk in every healthcare organization, and vendors are an integral part of the risk discussion. As I learned in the breakout session “Study of 1000 Vendor Practices,” a 2016 Data Security Incident Response Report showed that roughly 15% of all data incidents were caused by third party vendors. And with cybercrime on the rise, it’s reasonable to think this number will only increase over time.

   Covered Entities can’t pass the buck when problems happen. HIPAA requires organizations to assess the risk to a breach of PHI wherever it is created, received, maintained, or transmitted, and to put measures in place to safeguard the information. Integrating vendor oversight into this process was a theme across many conversations.

   Informative sessions, new learnings, and a well-organized conference. Thanks to HCCA for a great first experience! 🙌

Tom Rogers (trogers@vendorcentric.com) is Founder and CEO of Vendor Centric in Gaithersburg, MD.
HCCA recorded more than 100 sessions, complete with speaker handouts, at the 2017 Compliance Institute. Here’s your opportunity to catch up on all the sessions you wished you could attend, and take your time absorbing the valuable knowledge presented.

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Session Recordings
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FULL NAME ____________________________________________________________________________

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**PRE-CONFERENCE**

☐ P1 Large Hospital Systems
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☐ P3 Keep Them Talking to You: A Culture of Trust & Integrity Improves Quality, Safety, and Organizational Outcomes!
☐ P4 HIPAA Compliance That Addresses the Risks of Today and Will Grow with You in the Future
☐ P5 Navigating the Physician Acquisition Experience
☐ P6 False Claims Act Developments
☐ P7 Immediately Address IT Access Compliance Challenges with These Techniques, Using Tools You Already Have
☐ P8 EMR, CTMS and Clinical Trial Billing Audits: How These Tools Can Help You As An Internal Auditor
☐ P9 Strategies to Build An Effective Compliance and Ethics Program
☐ P10 Drug Diversion Enforcement Trends, Investigation, and Prevention
☐ P11 Minimizing Stark Law Execution Risks
☐ P12 A Case Study: How to Conduct an Effective and Compliant Internal Investigation
☐ P13 Laboratory Compliance: Maintaining Compliance in an Uncertain and Changing Environment
☐ P14 Discover How Managed Care Plans are Responding to Their Obligation in Detecting, Investigating, and Preventing Fraud and Abuse in the Health Care System
☐ P15 Leveraging DMAIC and Active Management for Sustainable Quality Improvements
☐ P16 Compliance Investigations 101: CO Toolbox Essentials
☐ P17 CMS Final Rule: Reform of Requirements for Long Term Care Facilities
☐ P18 Is Your Security Incident a Data Breach? Uncle Sam Wants to Know
☐ P19 Compliant Physician Documentation and Coding in an Electronic Medical Record
☐ P20 Anatomy of a False Claims Act Case: Investigation, Litigation, Negotiation, Resolution
☐ P21 Achieving 340B Program Integrity
☐ P22 Auditing Emerging Compliance Risk Areas
☐ P23 Enabling Compliance Across the Organization: Toolkits for Operational Compliance
☐ P24 Swords into Plowshares: Leveraging Clinical Data Quality Excellence and Data Mining Tools for Promoting Quality of Care
☐ P25 Whistle While You Work: How to Prevent Activity Leading to Whistleblower Actions and Protect Health Organizations and Medical Practices from Whistleblower Threats
☐ P26 Fighting for Survival: DMEPOS
☐ P27 Academic Medical Center Compliance: Tips, Traps, and Emerging Best Practices
☐ P28 Research Law and Compliance: 2016-2017 Year In Review

**CONFERENCE**

☐ 101 340B Compliance: Life after a HRSA Audit and Implementing a Corrective Action Plan
☐ 102 Latest Policy & Regulatory Changes to the Medicare Appeals Process
☐ 103 Highlights of the CMS Final Rule: Reform of Requirements for Long Term Care Facilities—The Impact on Compliance
☐ 104 OCR Enforcement Update
☐ 105 The Best Approach to Design Effective Corrective Action Plans (CAP)
☐ 106 Telehealth: Legal and Compliance Issues
☐ 107 Elements of a Successful Corporate Integrity Agreement
☐ 108 Leveraging Internal Audit to Improve Quality of Care Metrics
☐ 109 Top 10 Things a Compliance Professional Needs to Know About Coding
☐ 110 Behavioral Health Compliance: It Doesn’t Need to be a Mystery
☐ 111 The Former Ameritox Whistleblower and the Ameritox Compliance Officer, Together

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☐ 201 Compliance Today, Effectiveness Tomorrow: The Necessary Steps to Success
☐ 202 The OIG’s New CIA Form: How Your Compliance Program Can Benefit
☐ 203 Dealing with a Worthless Services Allegation
☐ 204 Successfully Resolving a Multi-Year OCR Investigation
☐ 205 Cleaning Up the Low Hanging Fruit to Protect Your Physician Practices
☐ 206 “Random” is Not Necessarily “Valid”: Managing and Defending Against Statistics in Audits and FCA Claims
☐ 207 Implementing Drug Diversion Risk Rounds
☐ 208 Sampling 101: A Primer for Conducting Self Disclosure and Internal Audits
☐ 209 Yeah, but What’s in It for Me? Making Training and Communications Impactful, Relevant, and Fun!
☐ 210 Conflicts of Interest and Big Data: What Can We Learn from Large Databases of Provider Disclosures?
☐ 211 Audit Log Demands During Litigation: Response Conundrums from a Compliance Perspective

☐ 301 Compliance Challenges in the Yates Memo Era
☐ 302 The Blame Game: Accountability in Healthcare Compliance
☐ 303 Making the Most of a CIA
☐ 304 Managing the Business Associate Relationship: From Onboarding to Breaches
☐ 305 Split Shared/Consulting Services…to Split Share or Consult Is the Question
☐ 306 Advice of Counsel and Good Faith Reliance: Best Practices in a Risky Environment
☐ 307 Physician Arrangements: Conducting the Audit & Ensuring a Resolution
☐ 308 Auditing Compliance for Clinical Documentation and Coding: Collaboration Is Key!
☐ 309 Risk: A Fundamental 4-Letter Word for Compliance Professionals
☐ 310 You Don’t Need to Be a Wizard to Solve Today’s Compliance Challenges: Seven Steps to Ensure Your Compliance Program Follows the Yellow Brick Road

☐ 401 Down the Rabbit Hole: Compliance Investigations, Corrective Action Planning, and Self-Disclosure
☐ 402 Congratulations on that New Hospital/Provider Practice Acquisition! Compliance Lessons Learned the Hard Way
☐ 403 Mitigating Hot Button Risk Areas in Home Health & Hospice
☐ 404 Mobile Health (mHealth) Applications in a Healthcare Environment
☐ 405 Making Compliance Work in Physician Practices
☐ 406 Federal Administrative Sanctions: Exclusion and Civil Money Penalties
☐ 407 Research Risks Assessments: What Must be Considered and Why
☐ 408 Dynamic Board Reports: What Do They Really Want to Know?
☐ 409 How to Get More LinkedIn Views than Roy: Practical Tips for Improving Your LinkedIn Profile & Getting Employers to Seek You Out
☐ 410 Medicare FDRs and Compliance Programs: What the Feds Expect and Tips for Ensuring Your Organization Satisfies the Requirements
☐ 411 The Business of Health Care Fraud Enforcement: A Pragmatic Discussion and Assessment

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☐ 501 Data Dashboards: What Should You be Tracking
☐ 502 Navigating Medical Necessity Denials Management for All Payers
☐ 503 Bundled Payments and Other Risk Arrangements for Post-Acute Care Providers
☐ 504 Physician Engagement in the Compliance Process
☐ 505 Managed Care Fraud: Enforcement and Compliance
☐ 506 Sampling and Statistical Methods for Compliance Professionals
☐ 507 The How and When of Leveraging Internal Audit
☐ 508 How to Keep Your Head Above Water in a Sea of Change
☐ 509 Join the JV (Joint Venture) Team! Best Practices for Providers, Payers and Vendors to Align Business Development, Legal Affairs and Corporate Compliance and Control Compliance Risk Before and After a Joint Venture Go-Live
☐ 510 Compliance, The C-Suite, and The Board Of Directors: What To Report And How?
☐ 511 Are You Billing the New PT and OT Evaluation Codes Properly?
☐ 503 Study of 1000 Vendor Security Practices
☐ 504 How to Develop Benchmarking Scorecards to Transition to Risk-Based Physician Auditing/Monitoring
☐ 506 Self-Disclosure: Obligations, Options, Outcomes
☐ 507 CMS Provider Network Accuracy: Risk Assessment and Monitoring Strategies for Medicare Advantage Plans
☐ 508 How to Get Audit-Ready in 7 Steps
☐ 509 Building Your Healthcare Compliance Resume
☐ 510 What’s Next in Washington?
☐ 511 Compliance Is Ruff: A Dog’s Approach

☐ 701 Helpful Tips for Value Based Payment (VBP) Compliance Programs
☐ 702 Strategic Considerations in Resolving Voluntary Disclosures to CMS, OIG, and DOJ
☐ 703 Cybersecurity in the Post-Acute Arena
☐ 704 Bored with Your Board’s Lack of Interest?
☐ 705 Physician Training on Medical Necessity: What Is Important for Clinical Trials and How Does It Impact Revenue Integrity?
☐ 706 Kickback and Stark Law Developments
☐ 707 Risk Assessments and Work Plans: Key Spokes in the Circle of Compliance
☐ 708 Conducting an Internal Compliance Investigation When the Government Claims You Have False Claims
☐ 709 Strategies for Professionalism When Tantrums Aren’t an Option
☐ 710 Challenges for Academic Medical Centers
☐ 711 OIG Panel

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POST-CONFERENCE

☐ W1 Decrypting a Ransomware Strategy
☐ W2 How the “Three Amigos” of a Compliance Program—Compliance Officer, Legal, and Human Resources—Can Work Together to Support and Advance an Effective Compliance Program
☐ W3 340B Drug Pricing Self-Disclosures and Repayments: Success Stories and Lessons Learned
☐ W4 How to Navigate and Survive a Mega Breach
☐ W5 Lessons Learned: How Recent Enforcement Cases Provide Insight into Effective Compliance Programs for FMV and Commercial Reasonableness
☐ W6 Government Investigations and Compliance Matters: Roadmap for In-House Counsel and Compliance Professionals
☐ W7 Designing a Successful Analytics-Based Hospital Compliance Program and Securing Cross-Department Endorsement
☐ W8 Monitoring and Auditing HIPAA Compliance
☐ W9 STRESS Makes You Distracted, Distraught, Dumb & Dead!
☐ W10 Driving Quality of Care Through Culture Change Strategies: Identifying Culture Challenges, Collecting Data to Show Value for Change, and Creating Culture Change by Demonstrating What’s in it for Me?
☐ W11 Building Your Toolbox to Manage Conflict of Interest: Sunshine, Open Payments, and Investigations
☐ W12 Criminal and Civil Enforcement Trends: Focus on Federal Enforcement of Fraud and Abuse Involving Hospice Programs and Opioid Abuse
☐ W13 Medicare Overpayment 60-Day Rule: What Your Compliance and Auditing Departments Need to Know
☐ W14 How to Overcome Growing Pains by Maturing your Compliance Program from the Wonder Years to the Golden Years: Physician-Hospital Arrangements
☐ W15 Privacy Officer Roundtable
☐ W16 Effective Auditing Program for Managed Care Plans
☐ W19 MIPS, APMS, QRUR, and CMS Data: How Do Your Physicians Compare?
☐ W20 Mergers and Acquisitions for Compliance Professionals
☐ W21 Don’t Let Your Quality Program Face the Risk Apocalypse: Practical Approaches to Implementing and Integrating ERM and Compliance with Quality
☐ W22 Do You Know What Your Business Associates’ Subcontractors & Vendors are Doing with Your PHI & ePHI?
by Susan Garrison Frazier

A view from a CI “newbie”

As I walked through the doors on that sunny Sunday morning, March 26, 2017, I was so excited to enhance the knowledge of compliance that I thought I possessed. I marched up to the registration desk and the HCCA staffers were so quick and efficient. I had my badge, lanyard, and goodies within minutes. Then I was off...

Reflecting on my journey of learning during the 2017 HCCA Compliance Institute, I am not sure where to begin. The information in each session I attended was so educational that I tried to soak up each word like a sponge in a large bucket of water.

Many speakers provided beneficial compliance “meat” and tools that could be used by all in their presentations. Opening sessions were mixed with valuable information and humor, keeping us fully engaged. During the 3 days, I had in-depth conversations with colleagues and developed new relationships. I enjoyed the plethora of great vendors, all of which offered resources to assist in moving organizations forward in the world of compliance.

I have had the pleasure to witness the changes and turmoil of the healthcare industry over the past 20 years. From what some would call the “simple” life to an ocean of rules, regulations, policies, procedures, and revenue reductions. I thought I knew more about compliance; however, my eyes were opened to another realm of complexity.

I learned so much and am very grateful to be a part of this continuously growing profession. As I expand my understanding of compliance, my desire is not only to know why we do or don’t do things certain ways, but to learn what the benefits and long-term outcomes are and what I can do to help make positive changes.

I am appreciative of HCCA’s support and guidance. I thoroughly loved every minute of the 2017 HCCA Compliance Institute. This was an experience that I can’t wait to enjoy again next year in Vegas!

I thoroughly loved every minute of the 2017 HCCA Compliance Institute. This was an experience that I can’t wait to enjoy again next year in Vegas!

See you there! ☺

Susan Frazier (sfrazier@diamondhealth.com) is Director, Compliance, at Diamond Healthcare Corporation in Richmond, VA.
I had the privilege to attend the 2017 Compliance Institute. This was my first time attending HCCA’s conference—though others from FairWarning® have attended many years.

It was inspiring to see the robust number of healthcare and compliance professionals at the event who are taking privacy and security in healthcare very seriously—it is explicit that the stakes have never been higher. The challenges have become very complex for these healthcare professionals, from the recent Office for Civil Rights (OCR) enforcement on audit controls, to security issues disrupting healthcare services, eDiscovery of wrongful termination, and law enforcement involvement for medical identity theft. It’s an honor to be a part of an organization that has a proven track record for leading health systems through these challenges. The institute provides a place to strengthen the bond between healthcare compliance professionals and vendors, so they can work together to create trust between patient and provider.

Hobie M. Long (Hobie@FairWarning.com) is Lead Social Media Ambassador with FairWarning Inc in Clearwater, FL.
CI Attendee: Where are you from?
Me: Washington.
CI Attendee: Oh, so you didn’t have to travel at all for this?!
Me: No, sorry, Washington State. I travelled quite a bit for this, and so far it has been worth every mile.

I was so excited when my supervisor asked if I was interested in attending the HCCA Compliance Institute in 2017. I had been trying to get myself to an HCCA event for nearly three years. I first set my sights on achieving the CHC certification while working for a small rural critical access hospital. Unfortunately, the money was never there to attend a conference. After transitioning to a large hospital system that operates in seven states, I finally got my chance.

Sitting through each session I found myself considering what my former CEO would think of this, or what my former CFO would have liked to know. During the networking events, I thought about what my former Risk Manager would appreciate knowing… and through the general sessions, I wished that my former Board could see just how large the compliance industry is….

Here’s a list of what I wish everyone could know about compliance:

1. Compliance is more than just HIPAA.
2. Involving compliance from the beginning is always a good idea.
3. Compliance professionals may use the word “no” a lot, but we do know other words.
4. A variety of backgrounds can add dimension to a compliance team: clinical staff, CPAs, lawyers, coders—all can be successful compliance professionals.
5. You don’t have to work for a large health system to get huge value out of the Compliance Institute—the size of your health facility is not a function of how much you can get from this conference.

Other key things I learned:

- It takes some time for ideas to make their way across the country. For instance, through discussions with East Coast compliance professionals I learned that ACOs have been up and running for years, while many critical access hospital networks out west are still struggling to find their structure.
- Those of us on the West Coast can often benefit from close observation of healthcare enforcement trends that begin on the East Coast. Learning from each other is another prime objective for national conferences like the Institute.
- We all must use education and awareness to fight against stigmas and stereotypes in our industry. Compliance is not just a box to check. Compliance is not faceless regulators sitting at dusty desks waiting to catch errors. Compliance professionals are people who believe in safety, privacy, and the well-being of patients and employees.

So while it may be a stretch financially for some at small hospitals to attend, it is worth the money. The networking, the knowledge gained, and the sense of knowing that you are not alone in your compliance struggles are the best and biggest take-aways from this conference. Everyone is facing challenges, and it is only through collaboration that we will all succeed.

TraciLee McCall (Traci.Mccall2@providence.org) is Compliance Specialist II for Risk and Integrity Services at Providence St. Joseph Health in Spokane, WA.
This year, the HCCA Booth was host to a number of activities. Everyone had the chance to purchase a product, talk to the Certification staff, relax, charge up their phone, blog, play Plinko, and get a caricature drawn.

The caricature artist was new to the Booth this year and, although she had a never-ending line, she was able to create caricatures for more than 150 people.

Attendees had a chance to win sweatshirts, books, Bluetooth speakers, and even a light-up luggage tag by playing Plinko.

Overall, the HCCA Booth was a fun, interactive way for attendees to connect, learn, and have fun. 😊
by Doug Stupca

Social at the CI

This year’s Compliance Institute attendees lit up social media! Whether it was Twitter, Facebook or elsewhere, compliance professionals were building excitement before, showing their experiences during, and sharing their favorite parts and memories after! 😄

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Nurul Acorn @n破门 Mar 26
@walter_johnson Thanks for the SBAR (Situation-Background-Assessment-Recommendation) tool for investigations. #HCCA21 #HCCAct

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Adam Turkelzub @AdamTurkelzub Mar 27
#HCCAct #theHCCA #KrislyGrantHall 4 motivators: fear of self, fear for biz, noble cause & competitive edge.

---

Colin @colinard Mar 27
At the Healthcare Compliance Conference, I added my 🌈 to the map! #HCCAct

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John Ford @JohnFordCBO Mar 26
Great healthcare compliance program at #GW17 #HCCAct #217
@DFrithWeiss @GHCIGN

---

James Jungar @James_Jungar Mar 27
Getting ready for Day 2 of HCCAct. Excited to hear @GLGath @B speak on current issues in healthcare compliance.
Attendees of this year’s Compliance Institute were spreading their wings and tweeting throughout the conference, posting tweets with the official #HCCAci hashtag over 1,400 times!

There were plenty of social media-savvy compliance professionals that used Twitter as an opportunity to socialize and network, share their excitement, post their personal favorite quotes from speakers, snap a few selfies, and much more!

Tomi Hagan
@thorhagan

One of my favorite speakers - @Frank__Ruelas breaking down “RISK”. #HCCAci #CI17 #BlueMonday

James L. Swann @JamesLSwann Mar 27
Peters says if you don’t patch your organization’s software, you’re leaving the door open #HCCAci
TWEETING AT THE MEETING

Karen Snyder @KarenSnyder2 · Mar 27
A compliance program is like a Swiss watch - lots of moving pieces working together #HCCAci

Kathryn Wickenhauser @KAWickenhauser · Mar 27
“Breaches can happen to good companies. Breaches don’t necessarily indicate a bad company” - Managing the BA Relationship #HCCAci

Melissa Mitchell @melissajmitch · Mar 27
Great tips for trainings from @KristyGrantHart: take your own pics for your slides and tailor your trainings to your risk profiles #HCCAci

Opsticio @opsticio · Mar 27
The Annual #Compliance Institute is #HCCAci’s largest event eventsinamerica.com/events/2017-hc… @eventsinamerica

Keisha Pinnock @Sunshin · Mar 27
How Inspirational that Inspector General, Daniel Levinson, expressed his gratitude to compliance professionals @OIGallHHS @theHCCA #HCCAci
#CI17 from L to R: Tomi, Donna, and Jackie ready to hit the AM Netwalking trail. Excellent weather and now ready to start the day! #HCCAci

Ross Burnis @ATLHealthLawyer · Mar 27
Bewley: Some providers are now budgeting for potential FCA investigations. Are you? #HCCAci

Drew Stevens @DrewStevensEsq · Mar 27
Has your entity designated a #Section1557 coordinator; adopted a grievance procedure; and posted the nondiscrimination notices? #HCCAci

Alicia Shickle @procoles · Mar 27
Finally got our selfie with Dan! #HCCAci

Tracey Page @tracey_page · Mar 26
#HCCAci SpeedMentoring, who can talk the fastest?

Valerie Rock @Vrockpyapc · Mar 27
Dan Levinson, IG- shares OIG focus on Opioid Epidemic- 30k+ deaths “unacceptable” Time to help. Be part of the solution. #HCCAci
by Tracey Page

HCCA Mobile app

Our Compliance Institute conference app is a benefit for CI attendees. It was downloaded to 2,265 devices during the conference. It’s nice to be able to see the session slide close up and take your notes right on the slide during the session. You don’t have to worry about losing your notepad or having to transport all the printouts home.

The app has many other features that the attendees used during the conference, as well as messaging and evaluations. Attendees can text message each other right in the app, no need to share phone numbers. They can also do all their session evaluations right inside the app, no need to wait till you get back in the office and forget or get too busy.

Accessing your app notes and handouts

Conference attendees may access the notes they took on the mobile app by following these steps.

1. Open the mobile app.
2. Click on “Email My Notes”.
3. Here you will see a list of all of the notes you took with an image of the slide you took them on. Click the “Email” link in the top right, type your email address in the “To” field, and click Send.

The email sends copies of the slides, but they are very small and it’s not easy to see the whole presentation, so if you want a copy of the presentations on PDF, go to this link: www.hcca-info.org/Clhandouts. You can get a copy of the presentation with two slides per page or three slides per page. (The handouts will stay on the HCCA website indefinitely).
At this year’s Compliance Institute, HCCA organized a Social Media Lounge in the Exhibit Hall. Attendees were able to come and inquire about all things social media, contribute a guest blog to The Compliance & Ethics Blog, and even get a digital caricature created for them. Several people waited with anticipation for an opportunity to see themselves caricaturized.

The Social Media Lounge was an entertaining stop for everyone to learn, gather together, and (most important of all) get social!
by Doug Stupca

Blogging at the Compliance Institute

Participants of this year’s Compliance Institute, came together to give their first-hand experiences of the conference on The Compliance & Ethics Blog (www.complianceandethics.org).

Guest-bloggers varied from first-time Institute attendees to long-time Institute goers. Each person shared their thoughts and views for an opportunity to receive a “World’s Best Blogger” mug! 🌟
by Doug Stupca

Show us your selfie!

This year, several Compliance Institute attendees gave a personal view of their conference experiences by showing their selfies on Twitter! It was great to see so many compliance professionals sharing their adventures up close! 😊

Cousins reunited at HCCAci ci17
@theHCCA

IntegrityM @integritym Mar 25
Sarah is enjoying today’s volunteer project with @HCCACIA at ci17 HCCAci @GynonNational @AmHCCA #IntegrityMCAncss

Ryan Whitney @whitney130 Mar 26
After session drinks with the Southern CA gals Compliance HCCAci @JoyYukalCompliance

Nancy Beckley @NancyGbeckley
Catching up w/ @RoySnellSCCE. Check out the caricature. Don’t forget to get your in HCCAcI exhibit hall.

Health Care Compliance Institute

www.hcca-info.org  888-580-8373
If we needed more proof that we all need to spend more time NOT looking at our phones, the networking receptions at the Compliance Institute provided it all.

Attendees who resisted the siren call of email weren’t just treated to great food. They had an opportunity to reacquaint themselves with old friends and make new connections.

The conversations were great for bonding, but also were ideal for establishing relationships that could continue all year and create the opportunity to benchmark, seek and give advice, or just provide reassurance that you’re not alone out there.

And if that wasn’t enough, there were free caricatures available at the HCCA booth!

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SpeedNetworking and SpeedMentoring returned to the Compliance Institute again in 2017. As in past years they were fun and loud events filled with compliance professionals looking to quickly expand their network of contacts.

Attendees were matched with other compliance professionals who shared similar interests for a series of short, one-on-conversations lasting about 6 minutes each. By the end of each session, they had typically chatted with seven other compliance professionals.

Now the challenge falls on them to follow up and stay in touch with each other.

Of course, if they don’t, there’s always the chance to start over next April at the 2018 Compliance Institute in Las Vegas.
Keeping the CI spirit alive all year

There’s no doubt that during the Compliance Institute (CI) most compliance professionals are in a very positive and optimistic mood. Having the opportunity to see old friends and meet new ones, while also comparing experiences from the past year with colleagues, can be a rejuvenating experience. I strongly encourage CI attendees to consider easy and convenient options to stay in touch with others throughout the year.

What are some of the advantages of staying connected? For starters, being a “department of one” does not mean that you are operating in a vacuum or in isolation. The connections made during the CI are opportunities to establish communication channels with colleagues that can prove useful when you need some feedback or input on a particular issue or situation. One thing people quickly learn at the CI is that sooner or later, we share many of the same challenges that others have already faced and dealt with. It only makes sense to not only learn from others, but also for those who have learned to share their experiences with those coming up the ranks. In the end, it only strengthens our collective effectiveness as compliance professionals.

Communication channels can be as easy as setting up a contact on your device, inputting an email address in your contact manager, or maybe taking it up a few notches. A few of us who call ourselves “The Crew” have met over the past few years and have intentions of meeting again at future CIs. We are using freely available and effective tools and applications to maintain a high level of networking throughout the year. We are very excited to see how this works out and realize that trying to stay connected by email or even blog postings is very burdensome and time consuming compared to other options.

Whatever you do to stay connected with whomever you met at the CI, don’t make the mistake of ending the connection at the CI. Consider the connection you made the beginning of a year-long collaborative experience, rather than a connection that ended on the last day of the CI.

Frank Ruelas (Francisco.Ruelas@DignityHealth.org) is Facility Compliance Professional at Dignity Health, Phoenix, AZ.
I left New York as a one-person Compliance department and I returned with an Army. As a first-time attendee to the HCCA Compliance Institute (CI) this year, I had a short list of what I hoped to achieve by attending the event. I am sure many attendees are familiar with this list, which usually goes something the likes of:

- Sharpen your area of expertise,
- Network,
- Hear about current topics,
- Connect with vendors.

I am certain that most people familiar with the CI would attest to the fact that it is worth attending, for the above-mentioned benefits if not more. However, the most important takeaway that I believe the CI helped to shine some light on was that as compliance professionals—we are not alone. As I picked up my registration packet I noticed a table filled with all sorts of ribbons that can adhere to the conference badges. One ribbon that caught my eye read, “Army of One.” It made me ask the question, how many of us feel as though we are an army of one in the compliance field or within our organizations?

As most people will agree, working in the field of compliance is challenging. Compliance professionals must adhere to the highest level of legal and ethical conduct and can often be viewed as the one person in the room who is “blocking the business deal,” “hindering profits” or “agreeing to disagree.” This can feel at times like we are fighting a battle saving our organizations from one risk or bad idea at a time. A lone crusader, an army of one—a superhero!

However, if we stop and think about it—in almost every superhero story you will find that the hero of the story has a support system. Through networking at events like the Compliance Institute, we have an entire network of peers who share the same common struggles, find answers to the same difficult questions, and carry the same passion to see their organization succeed through an effective compliance program. We should start considering these individuals our army. Through our peers, we can run recon on a particular topic, arm ourselves with an arsenal of knowledge, and even just relate to where we all have been and where we want to be. I personally cannot think of a better way to equip myself as a compliance officer the next time I am called into the front-lines to discuss a topic.

What we do matters!

We all may still have to walk into our next board meeting to discuss a compliance topic or issue that no one else in the room is very excited about, but you can consider that you truly do have an army behind you.

What we do matters! ☝️

Janine S. Fadul (jfadul@eastriverimaging.com) is Director of Compliance & Quality Initiatives for East River Medical Imaging, PC in New York, NY.
The Compliance Institute (CI) is a wonderful experience for anyone in the compliance and privacy realm, and over the last three years that I have attended, I have walked away with so much valuable information.

However, something was different this year... “The Crew.” What a phenomenal group of individuals. I took the opportunity this year to network with my fellow HCCA.net peers and it was hands down the right decision. Over time I had interacted with individuals over the phone or online and they started to become my friends and support me when I needed assistance in getting through daily situations. I knew it was time to meet them face to face.

This year not only did I attend the CI to gain valuable knowledge from sessions and speakers, but also to gain resources, friendships, and memories. When not in sessions, The Crew would meet for dinner, breakfast, some even power walked in the morning before the sessions. The last night of the CI some of us even did a tour of D.C. together.

We started to get to know each other on a whole new level, and that is so important both professionally and personally. On top of being compliance professionals, we’re moms, dads, brothers, sisters, daughters, and sons. Getting to know The Crew on that level was a wonderful experience. We talked through different scenarios at our facilities, talked about work/life balance challenges, and offered to share resources, policies, and ideas.

Attending the CI, the amount of information you gain in the networking alone is beyond valuable. Even afterwards, we have kept in touch through chat groups, text messages, and more. We bounce ideas off one another regularly and we help encourage each other when we’re facing a tough situation or having a rough day.

We bounce ideas off one another regularly and we help encourage each other when we’re facing a tough situation or having a rough day. Knowledge of rules, regulations, and laws is important, no doubt about it—but having the support and encouragement that you can deal with those rules and regulations is priceless.

Erin Jack (ejack@excelahealth.org) is Corporate Compliance Officer at Excela Health in Greensburg, PA.
Networking and more at the CI 2017

This was my third year participating in the SpeedNetworking and SpeedMentoring events. Every year they just get better. I was connected with some pretty amazing people. We shared the same compliance interests and those commonalities made it so much easier to spark a conversation.

This year I decided to take an HCCA CI newbie under my wing. I introduced him to a group of fellow HCCA HIPAA Privacy bloggers. We all went to dinner together and he was able to provide his business cards to start a networking process. He was very appreciative and we will definitely be staying in touch.

Networking is another great reason to attend the HCCA CI, of which this is my sixth year attending. On the HCCA blogs you can find professionals of whom you can ask questions, bounce off ideas and/or share best practices; however, it’s all without personal contact. It was wonderful being able to connect and actually shake hands with compliance professionals that I have either connected with via LinkedIn or the HCCA blogs. We shared case stories and we also found time to talk about our personal lives. We realized that as compliance professionals we had many of the same character traits, such as: being detail oriented, multi-tasking capable, hard-working, trustworthy, and reliable.

The world becomes a smaller place when you house over 2500 compliance professionals in one conference. If you didn’t attend this year, I encourage you to start saving and do so next year. The sessions are beneficial, especially when you’re hearing directly from the OIG, HHS, and DOJ. Besides I got my picture taken with OIG Inspector General Dan Levinson this year, and that just made my day. LasVegas 2018!

Michelle A. Richards is Director of Engagement, Compliance Services at Healthicity in Amherst, OH.
A bout one year ago, I was a health law and compliance analyst attending the HCCA Compliance Institute in Las Vegas. I am an attorney by background and was looking to transition into a compliance role for a healthcare system. While attending an HCCA CI networking event, I met the newly-hired Chief Integrity Officer of Sinai Health System. I asked him if I could pick his brain about being an attorney (which he also was) in the compliance world and learn about how he got to where he was in his career. Not only did he agree, he also mentioned he was hiring for his compliance department at Sinai.

Fast forward to this year’s CI: I attended as the Audit and Compliance Manager for Sinai Health System. Following last year’s event, I was offered a job by that same Chief Integrity Officer and have been given a large amount of responsibility in directing the progression of the health system’s compliance program. Further, I have put a lot of thought into the direction of not only my own compliance career, but also the direction of our program at Sinai and the direction of the field of compliance in general. So for someone like me, the annual Compliance Institute was chock full of sessions that can act as food for thought for the rest of my year.

Not only were the sessions informative and incredibly relevant to the issues we have identified and are planning on tackling in our system (tone at the top, physician engagement, the elimination of siloes, etc.), I found that when I spoke to the other attendees around me in those sessions, so many of us were experiencing the same problems or had the same burning questions. As Oprah would say, this was my “aha moment.” In other words, this is when I realized what true value the annual CI has to a compliance professional. This is not only where you can come and learn at the sessions but also where you can network your way to a new job, find an answer to a problem you have been experiencing, get a great idea for a new compliance program initiative, or even recognize a whole new area of compliance (shout out to the human trafficking presenters). Last year, I got that new role. This year, I got clarification and direction. Next year? The sky’s the limit.

Melissa Mitchell (Melissa.mitchell@sinai.org) is Audit and Compliance Manager at Sinai Health System in Chicago, IL.
On Saturday, March 25, 2017, CI volunteers gathered in the Potomac Ballroom of the Gaylord Hotel to assemble some toiletry kits for people with developmental disabilities. Before we began, we conducted an exercise to demonstrate and experience visual impairment and other disabilities. To do this, some volunteers were asked to wear blindfolds and then pick the bottles and soaps that were part of each kit. Other volunteers had to open bags for the product to go into with socks on their hands.

The kits we assembled are distributed by Volunteers of America (VOA) Chesapeake. We assembled more than 500 kits for use by a variety of VOA clients who are experiencing homelessness, mental illness, developmental disabilities, or substance abuse.

VOA is a faith-based, non-profit organization whose mission is to inspire self-reliance, dignity, and hope through health and human services.
For our third year, the 2017 CI Silent Auction raised money for America’s Fund, a program created to direct urgently needed resources and financial support to injured and critically ill members of the U.S. Armed Forces and their families. As in the past, donors and attendees deserve the credit for making the auction a success.

This year’s auction raised nearly $14,000 for America’s Fund. There were some very active bidders, and many gathered around the bidding tables sneaking in bids in the last few minutes. Our most popular item was a YETI cooler, which drew a crowd of bidders right up until the end.

If you’d like to be part of the 2018 Compliance Institute Silent Auction to Benefit America’s Fund, contribute a donation, or help in any way, please contact Jill Burke at 952-405-7900 or Jill.Burke@corporatecompliance.org.
Exhibit Hall

The Exhibit Hall was the place for:

C – Connecting with friends old and new over food & beverage
O – Outstanding networking
L – Locating solution providers for compliance issues from the 127 exhibiting companies
O – Opportunities to join us next year in Las Vegas — come back as an attendee, exhibitor, and/or sponsor
R – Relaxing in the social media lounge — another networking opportunity

HCCA records podcast onsite at the CI

For the first time ever, HCCA brought our podcast, Compliance Perspectives, onsite to gain access and insight to the top minds in healthcare compliance. While onsite, we recorded 14 full podcast episodes, including an OCR Update, lessons learned from whistleblowing, and an in-depth discussion of telehealth legal and compliance issues.

Episodes will be released over the coming weeks. To hear the podcasts, please visit The Compliance & Ethics Blog at www.complianceandethics.org/podcasts.

Make sure you don’t miss an episode by subscribing to Compliance Perspectives on iTunes or your preferred podcast app.
On Monday and Tuesday morning, many CI attendees braved the early morning hours and took advantage of the Yoga and Zumba sessions. From beginner to advanced, everyone enjoyed the early morning exercise and made new CI friends while gearing up for a full day of learning and networking.
HCCA booth activity

A wealth of HCCA publications displayed in the HCCA booth gave attendees the chance to spend quality time with a wide range of expert guidance. Some visitors chose to stock up on the latest tools, while others just enjoyed the time to read and reflect. This year’s top sellers (beyond perennial best seller, Compliance 101) included the Health Care Privacy Compliance Handbook, Second Edition and Workplace Investigations.

Registration at CI 2017

The rush is over! The weeks leading up to the CI are amazingly fast-paced with many moving pieces. We are packing, registering attendees, and doing any last-minute tasks before we all leave for the CI. As soon as we get on site, there is a flurry of unpacking and preparing the Registration Booth for the impending flood of attendees soon to come. What makes all of this hard work throughout the year so rewarding is seeing it all play out with attendees, exhibitors, students, and press, who came to the CI 2017 (over 2,800 in total).
T he 2017 CI Exhibit Hall was a place for serious activity—professional headshots, learning about products and services offered by vendors, and networking. It was also a place for fun activity—caricatures, games, and networking. Yes, networking is both serious and fun! One of the most popular spots in the 2017 CI Exhibit Hall was the caricature line. The talented artist rendered image after image, depicting fun portrayals of attendees that were well worth the wait. Many new connections were made and interesting conversations were had in that long line. The location of the artist within the HCCA booth had the added bonus of providing opportunities to interact with HCCA staff.

For attendees who needed a more professional image, a photographer was on hand to take free headshots. These digital photos make great pictures on LinkedIn and other profiles. Lesson learned: Do this activity early in the conference, before early mornings, late nights, and poor nutritional choices take effect!

Vendor Bingo was an adventure that provided attendees an opportunity to win a 2018 CI registration by seeking out vendors and fellow attendees who met specific criteria. Filling the boxes was not nearly as simple as one would think. Name badge ribbons were especially helpful in identifying first-timers and other attendees to sign the bingo card. Lesson learned here as well: Wear your glasses if you need them, or risk becoming dependent upon friends to read your card and point you in the right direction!

This year, many vendors were especially creative and the Exhibit Hall was filled with fun and games. HCCA’s always popular “Plinko,” a golfing tee, the surprisingly strenuous “Whac-a-Shark,” and other games provided a nice diversion from learning and serious topic discussions. The atmosphere in the Exhibit Hall was light-hearted, and attendees seemed to appreciate the chance to play a little.

Networking receptions began and ended conference days with delicious food, beverages, and ample opportunities to network. Meeting new people and reconnecting with old friends is definitely fun, but this activity nearly always also leads to serious discussions around sessions attended and industry hot topics.

My first year at CI, I avoided the Exhibit Hall because I feared it would be full of high-pressure sales tactics. Over the years, I have learned that the Exhibit Hall has become one of my favorite aspects of the conference.

Tomi Hagan (Tomi_Hagan@QHR.com) is Senior Consultant in Compliance for Quorum Health Resources in Brentwood, TN.
Registration

HCCA’s 22nd Annual Compliance Institute • April 15–18, 2018 • ARIA • Las Vegas, NV

1 Contact Information
☐ Mr  ☐ Mrs  ☐ Ms  ☐ Dr

Member ID (if applicable)

First Name   MI

Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Name of Employer

Registration fees are as listed and considered net of any local sales tax. Fees and credits are assessed per registrant. New members only. Due regularly $259 annually. No refunds. Registration fees are nontransferable and nonrefundable. Due to PCI Compliance, please do not provide any credit card information via email. You may email this form to helpteam@hcca-info.org (without credit card information).

Ways to register

MAIL: Include registration form with check payable to: HCCA, 6500 Barrie Rd, Suite 250, Minneapolis, MN 55435
ONLINE: compliance-institute.org
FAX 952-988-0146 (include billing info)
EMAIL: helpteam@hcca-info.org (do not email credit card details)

Questions? Call 888-580-8373 or email helpteam@hcca-info.org

2 Registration Options

☐ HCCA Members: MONDAY & TUESDAY .................................................................. $1,299 ........................$1,349 ..........................$1,399
☐ Non-Members: MONDAY & TUESDAY .....................................................$1,349 ........................$1,399 ..........................$1,449
☐ New Membership & Registration: MONDAY & TUESDAY .................. $1,299 ........................$1,349 ..........................$1,399

Pre-Conference: SUNDAY MORNING .................................................. FREE* ............................$175 ............................. $175
Pre-Conference: SUNDAY AFTERNOON .................................................. FREE* ............................$175 ............................. $175
Post-Conference: WEDNESDAY ............................................................... FREE* ............................$175 ............................. $175
Discount for 5 or more from same org .................................................. ($100) ........................................ ($100)
Discount for 10 or more from same org .................................................. ($150) ........................................ ($150)

TOTAL $ ..........................

3 Payment Options

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☐ Invoice me

I authorize HCCA to charge my credit card (choose card below):

CREDIT CARD:  American Express  Discover  MasterCard  Visa

Credit Card Account Number

Credit Card Expiration Date

Cardholder’s Name

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TERMS AND CONDITIONS

REGISTRATION PAYMENT TERMS. Checks are payable to HCCA. Credit cards accepted: American Express, MasterCard, Visa, 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. You may send a substitute in your place or request a conference credit. Refunds will not be issued. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original, cancelled event. Conference credits may be used toward any HCCA service or product, except The Health Care Compliance Professional’s Manual. If a credit is applied toward 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, sent to 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.

GROUP DISCOUNTS. 5 or more: $100 discount for each registrant. Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. The group discount is NOT available through online registration. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

USE OF INFORMATION. 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.

AGREEMENTS & ACKNOWLEDGMENTS. 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 Compliance Institute 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 Compliance Institute, I grant HCCA the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, your 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.

HOTEL & CONFERENCE LOCATION
ARIA Las Vegas, 3730 Las Vegas Boulevard, South Las Vegas, NV 89158
866-359-7757 | arialasvegas.com

View hotel options & make reservations online: compliance-institute.org/hotel

PLEASE NOTE: Neither HCCA nor 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 provided by HCCA. If you have concerns or questions, please contact 888-580-8373.
Join us in 2018

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