



UNIVERSITY OF CALIFORNIA

First Annual Compliance and Audit Symposium

February 3 – 5, 2009

San Francisco, California

PROGRAM

Tuesday, February 3

7:00 – 8:00 am Registration Desk	Registration
7:00 – 8:00 am Salon F	CONTINENTAL BREAKFAST
8:00 – 8:30 am Salon E	Welcome & Introductions Sheryl Vacca, Senior Vice President and Chief Compliance & Audit Officer of the University of California
8:30 – 9:00 am	Opening Remarks Fred Ruiz, Chair of Compliance and Audit Committee of The Board of Regents of the University of California
9:00 – 10:30 am Salon E	General Session: The WorldCom Story Cynthia Cooper, President of The CooperSaxton Group, LLC and author of <i>Extraordinary Circumstances</i> (February 2008, John Wiley & Sons)
10:30 – 11:00 am Salon E Foyer	BREAK Book Signing by Cynthia Cooper
11:00 – 12:00 noon Salon E	Plenary Session: How to Build and Sustain a Strong Ethical Organization Cynthia Cooper & Elaine Saxton, Co-founder & Principal of The CooperSaxton Group LLC
12:00 – 12:30 pm Salon E	General Session: Mark Yudof, President of the University of California
12:30 – 1:30 pm Salon F	LUNCH

NOTE: All meeting/event locations are on the 2nd Floor of Marriott Hotel, San Francisco Airport.

Break-Out Sessions – Tuesday, February 3

	COMPLIANCE	HEALTHCARE	RESEARCH	INVESTIGATIONS	AUDIT	CIA REVIEW
1:45-2:45 pm	Hot Topics in Compliance <i>Sheryl Vacca & Lynda Hilliard (UCOP)</i>	Disclosure of Outside Professional Income by UC Health Sciences Faculty: A Proposal for Reform <i>Tony Perez (UCSD)/ Max Reynolds (UCOP)</i>	Export Controls: Enforcement Update & Strategies for Staying Out of Trouble <i>Don Fischer (Fischer & Associates)/Patrick Schlesinger (UCB)</i>	Computer Forensics: How to Determine When to Use <i>Robert Ono & Tye Stallard (UCD)</i>	Construction Audits: Critical for Maximum Capital Program Success <i>Doug Creech (Doug Creech Audits, LLC)</i>	CIA Part 1 Review <i>Dave Curry (UCLA)</i>
Location:	Salons A & B	Salons C & D	Salons G & H	Salons I & J	Santa Clara	Santa Barbara
2:45-3:00 pm Salon E Foyer	BREAK					
3:00-4:00 pm	Monitoring for Legal & Regulatory Compliance to the Higher Education Opportunity Act <i>Lynda Hilliard, Kate Jeffery, Heather Kopeck & Fred Takemiya, (UCOP)</i>		Stem Cell Research: Regulatory Requirements & CIRP Site Visit Case Study <i>Ellen Auriti (UCOP)/ Eugene Lau (UCSF)</i>	Fraud and Conflict of Interest Investigations Part 1 <i>Geri Gail (UCSC)</i>	Tools & Techniques for the Beginning Auditor Part 1 <i>Susana Atwood (UCOP)/Ravi Ravindran (UCSF)</i>	CIA Part 1 Review <i>Dave Curry (UCLA)</i>
Location:	Salons A & B		Salons G & H	Salons I & J	Santa Clara	Santa Barbara
4:00-5:30 pm	Combined Session: Public Records Act Requests Panel Discussion <i>Marie Felde & Alan Kolling (UCB)/Stella Ngai, Maria Shanle & Paul Schwartz (UCOP)</i>			Fraud and Conflict of Interest Investigations Part 2 <i>Geri Gail (UCSC)</i>	Tools & Techniques for the Beginning Auditor Part 2 <i>Susana Atwood (UCOP)/Ravi Ravindran (UCSF)</i>	CIA Part 1 Review <i>Dave Curry, (UCLA)</i>
Location:	Salon E			Salon I & J	Santa Clara	Santa Barbara
5:30-7:30 pm Salon F	WELCOME/NETWORKING DINNER					

Wednesday, February 4

7:00 – 8:00 am
Salon F

CONTINENTAL BREAKFAST

Break-Out Sessions

	COMPLIANCE	HEALTHCARE	RESEARCH	INVESTIGATIONS	AUDIT	CIA REVIEW
8:00-9:00 am	Enterprise Risk Management & Compliance: Working Together <i>Grace Crickette (UCOP)</i>	Conflict of Interest in Medical Enterprise: Challenges & Opportunity <i>Neal Cohen (UCSF)</i>	ADDITIONAL AUDIT FOCUS: Physician Clinical Revenue Cycle <i>Clifford Skinner (UCSF)</i>	Part 1: Who's Lying? Detection Techniques <i>Margo Bennett (UCB)</i>	Audit Update <i>Patrick Reed (UCOP)/Gregory Buchanan, David Meier & Stephanie Burke (UCSD)/ Michael Jenson (UCR)/ Abby Zubov (UCSF)</i>	CIA Part 2 Review <i>Terry Hamilton & Harry Lorschach (LBNL)</i>
Location:	<i>Salons A & B</i>	<i>Salons C & D</i>	<i>Salons G & H</i>	<i>Salons I & J</i>	<i>Santa Clara</i>	<i>Santa Barbara</i>
9:00-10:00 am	Maximizing Outcomes with Limited Resources Panel <i>Gretchen Bolar (UCR)/ Donna Carpenter (UCSB)/ Wendi Delmendo & Bob Loessberg-Zahl (UCD)</i>	Privacy—The Rules & Process Needed for Successful Compliance <i>Carole Klove (UCLA)/ Deborah Yano-Fong (UCSF)</i>	International Activities: Keeping Researchers Safe Abroad <i>Scott Abrams & Cheryl Lloyd (UCOP)</i>	Part 2: Who's Lying? Detection Techniques. <i>Margo Bennett (UCB)</i>	Audit Best Practices – Audit Results and Methods including CAATS <i>Sherrill Jenkins & Leslyn Kraus (UCD)/ Laura Bishin (UCR)</i>	CIA Part 2 Review <i>Terry Hamilton & Harry Lorschach (LBNL)</i>
Location:	<i>Salons A & B</i>	<i>Salons C & D</i>	<i>Salons G & H</i>	<i>Salons I & J</i>	<i>Santa Clara</i>	<i>Santa Barbara</i>
10:00-10:15 am Salon E Foyer	BREAK					
10:15-11:15 am	Creating Effective Training Programs for Your Staff <i>Jessica Drew de Paz (UCI)</i>	Medicare Recovery Audit Contracts—Where Do Organizations Go From Here? <i>John Dugan (Pricewaterhouse Coopers)</i>	Federal Research Grants: Enforcement & Compliance <i>Robert Kenney (Hogan & Hartson)</i>	Part 3: Who's Lying? Detection Techniques. <i>Margo Bennett (UCB)</i>	IT Security Compliance Auditing <i>Greg Loge (UCD)</i>	CIA Part 2 Review <i>Terry Hamilton & Harry Lorschach (LBNL)</i>
Location:	<i>Salons A & B</i>	<i>Salons C & D</i>	<i>Salons G & H</i>	<i>Salons I & J</i>	<i>Santa Clara</i>	<i>Santa Barbara</i>

Break-Out Sessions – Wednesday, February 4

	COMPLIANCE	HEALTHCARE	RESEARCH	INVESTIGATIONS	AUDIT	CIA REVIEW
11:15 am-12:15 pm	Identity Theft Prevention & The Red Flags Rule <i>Scott Abrams & Luanna Putney (UCOP)</i>	Vendor Relations – History & Implementation of UC Davis Vendor Relations Policy <i>Dr. Garen Wintemute (UCD)</i>	Hot Topics in Research Compliance: Report from NACUA Research Workshop <i>Patrick Schlesinger (UCB)</i>	What You Have Always Wanted to Know About Investigations <i>John Lohse (UCOP)</i>	Contracts & Grants: Regulatory Requirements, Award Administration & Compliance Monitoring <i>Kathleen Hass (UCD)/Jorge Ohy (UCOP)</i>	CIA Part 2 Review <i>Terry Hamilton & Harry Lorsbach (LBNL)</i>
Location:	<i>Salons A & B</i>	<i>Salons C & D</i>	<i>Salons G & H</i>	<i>Salons I & J</i>	<i>Santa Clara</i>	<i>Santa Barbara</i>
12:15-1:15 pm Salon F	LUNCH					
1:15-3:15 pm	COMBINED SESSION: Compelling Display of Data to Achieve Desired Decision Making <i>Robert Emery (The University of Texas Health Science Center at Houston)</i>			ADDITIONAL AUDIT FOCUS: TeamMate Update <i>Michael Gowell (CCH TeamMate)</i>	UC Sustainability Program & Sustainability Audits: Good Business, Not Just a Recycling Program <i>Susana Atwood & Matthew St. Clair (UCOP)</i>	CIA Part 2 Review <i>Terry Hamilton & Harry Lorsbach (LBNL)</i>
	<i>Salon E</i>			<i>Salons I & J</i>	<i>Santa Clara</i>	<i>Santa Barbara</i>
3:15-3:30 pm Salon E Foyer	BREAK					
3:30-4:30 pm Salon E	CLOSING SESSION: Internal Audit and Compliance: The Importance of Collaboration & Skill Development <i>Odell Guyton (Microsoft Corporation)</i>					
4:30-5:00 pm Salon E	CLOSING REMARKS <i>Sheryl Vacca, Senior Vice President and Chief Compliance & Audit Officer, University of California</i>					

Thursday, February 5

NOTE: These meetings are attended by invitation only.

	<i>Business Meetings for Internal Audit Directors, Health Sciences Compliance Officers, and Research Compliance Advisory Committee</i>		
	RESEARCH COMPLIANCE BUSINESS MEETING	HEALTH SCIENCES COMPLIANCE BUSINESS MEETING	INTERNAL AUDIT DIRECTORS MEETING
8:00 am – 12:00 pm	<i>Salon B</i>	<i>Salon C</i>	<i>Salon A</i>
8:00 5:00 pm Santa Barbara	<i>CIA Part 3 Review Session Tracie Kraftenberg, CIA Review Course Instructor</i>		
Noon Salons A-C Foyer	LUNCH		