

# 2013 UC Compliance & Audit Symposium

## Pre Conference – North (January 28)

8:00 - 9:00 AM	REGISTRATION		
9:00 – 10:00 AM	Investigations - Forensics w/ D Vilfer (Califorensics)		Research Compliance Advisory Committee In-Person Meeting [Only open to RCAC members]
10:00 – 11:00 AM			
11:00 AM - Noon			
Noon – 1:00 PM	LUNCH		
1:00 – 2:00 PM	Investigations UC Panel including Police, Audit & Compliance w/ P Berlin & R Catalano (UCSF), L Kraus (UCD), J Lohse (UCOP)	Export Control Compliance Tools (and Screening/Classification Techniques) w/ B Warshawsky (UCOP)	Research Compliance Advisory Committee In-Person Meeting (Continued)
2:00 – 3:00 PM			
3:00 – 4:00 PM		International Travel – Tools and Case Study w/ C Lloyd & B Warshawsky (UCOP)	
4:00 – 5:00 PM			

**(Location) – Campus Location or Business Affiliation**

**(N) – Northern Symposium**

**(S) – Southern Symposium**

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## Pre Conference – South (February 11)

8:00 - 9:00 AM	REGISTRATION		
9:00 – 10:00 AM	Investigations - Forensics w/ D Vilfer (Califorensics)	Systemwide MDAudit Users In-Person Meeting	Communicating Policies – Best Practices w/ N Capell (UCOP) & Campus Policy Managers
10:00 – 11:00 AM			
11:00 AM - Noon			
Noon – 1:00 PM	LUNCH		
1:00 – 2:00 PM	Investigations UC Panel including Police, Audit & Compliance w/ M Bathke (UCI), E Fischer & J Young (UCLA), J Lohse (UCOP)	Export Control Compliance Tools (and Screening/Classification Techniques) w/ B Warshawsky (UCOP)	Communicating Policies – Best Practices (Continued)
2:00 – 3:00 PM			
3:00 – 4:00 PM		International Travel – Tools and Case Study w/ C Lloyd & B Warshawsky (UCOP)	
4:00 – 5:00 PM			

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## Tuesday – North (January 29) & South (February 12)

<b>COMPLIANCE</b>	7:00 - 8:00 AM	REGISTRATION & BREAKFAST			
	8:00 – 9:00 AM	General Session: <i>Higher Education: Our Future Challenges and Opportunities</i> C Zettel (Regent), S Vacca (UCOP), N Brostrom (UCOP)(N)			
	9:00 – 10:15 AM	General Session: <i>Organizational Misconduct...A New Perspective</i> Donald Palmer (UCD)			
	10:15 – 10:30 AM	BREAK			
	10:30 – 11:45 AM	Clery Act Compliance Challenges – Panel w/ P Roskowski (UCSF), D Zuidema (UCSC)	HealthCare Compliance: Government Views w/ C Castles (Jones Day)	Making Ethical Decisions: Considering UC Values, Standards & Other Factors w/ T Bertram-Gallant (UCSD)	Export Control and the Nuances of FRE w/P Schlesinger (UCB), B Warshawsky (UCOP)
	11:45 AM – 1:00 PM	LUNCH AND SPEAKER Peter Taylor (UCOP)(N), TBD (S)			
	1:00 PM – 2:15 PM	Investigation Report Writing w/ J Lohse (UCOP), W Delmendo (UCD), B Cormier (UCLA)	What You Don't Know About the COI Code May Hurt You w/ K Quenneville (S), S Ngai (N) & D Scannell (UCOP), V Dixon (UCSD)	Fraud Risk Management w/ M Jenson (UCR), S Vacca (UCOP)	Registration and Results Reporting on ClinicalTrials.gov: The UCSF and UC Davis Experience w/ M Berro (UCSF), D Owensby (UCD)(N)
	2:20 – 3:30 PM	Animal Care and Use Regulations: Responding to the Challenges w/ M Fabian & J Goodwin, V Caiozzo (UCI)(S), A Ekstrand & V Lukas (UCD)(N)	Electronic Medical Records (EMR): New Age Freedom - Panel w/ M Arvin (UCLA), M Mallory (UCI) (S), E Kahaner (UCSF) (N)	Navigating International Partnerships in the UC System: A Compliance Roadmap w/ G Schnetzler, G Lopez, M Berro & B Flynn (UCSF)(N), C Fan, K Atchison, D Malilay, D Squire (UCLA)(S)	Laboratory Safety at UC: Past, Present and Future w/ E Young & K Smith (UCOP)

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**COMPLIANCE**

3:30 – 3:45 PM	BREAK
3:45 – 5:00 PM	General Session: <i>Compliance, Ethics &amp; the Legal Requirements for Plain Language: How the Right Words Really Matter</i> w/ D Bosley (Plain Language Group)

## Wednesday Morning – North (January 30) & South (February 13)

7:00 - 8:00 AM	REGISTRATION AND BREAKFAST			
8:00 – 9:15 AM	Billing and Coding Roundtable - Advanced Topics Facilitator: R Meade (Meade Roach)	Campus Auditors and Policy Officers - Reducing Campus Risks through Collaborative Partnerships w/ M Hicks (UCOP), R Catalano, (UCSF), M Clow (UCSB), W Riley (UCB), M Theodossy (UCD)	Research Misconduct: Case Study w/ M Generales (UCSD)	Equal Employment Opportunity Commission (EEOC) & Office of Federal Contract Compliance Programs (OFCCP) w/ M Belk (UCOP)
9:20 – 10:30 AM		UC Response to Protests & Recommendations of the Robinson/Edley Report w/ L Tierney (UCOP)	PHS COI and UC Compliance: How Are We Doing Now? w/ J Hall (UCOP), G Park (UCI)(S), E Boyd (UCSF)(N)	Violence Prevention w/ R Spaur (UCM)
10:30 – 10:45 AM	BREAK			
10:45 AM – Noon	UC Records Management Compliance Concerns w/ L Sletten (UCOP)	Now You See It, Now You Don't: Response to a Data Breach w/C Washington (UCOP), M Arvin (UCLA)(S), D Yano-Fong (UCSF)(N)	<i>"Can they do that?"</i> - The Social Media Challenge w/ M Clow (UCSB)	Recordkeeping Matters: FDA Part 11 Compliance w/ R Nosowsky (UCOP)

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Wednesday Afternoon – North (January 30) & South (February 13)

AUDIT	Noon – 1:00 PM	<b>LUNCH AND SPEAKER</b> John Stobo (UCOP)(N), TBD (S)	
	1:10 – 2:00 PM	Export Controls I - Overview of Risks w/ B Warshawsky (UCOP), M Copeland (UCI)(S), L DeMattos (UCOP)(N)	How to Kick Start Your Audit Planning and Risk Assessment w/ J Jue (UCB), D Meier (UCSD),
	2:00 – 2:15 PM	<b>BREAK</b>	
	2:15 – 3:05 PM	Export Controls II -Auditing Export Controls w/ T Hamilton (LBL), B Long (UCSC), R Tarsia (UCSB), H Templin (UCI), B Warshawsky (UCOP)	Performance Management: Theories, Realities & Approaches to Auditing w/ J Jones (UCB), T Kucker (UCM)
	3:10 – 4:00 PM	P200 Plan - Improving & Sustaining the Procurement Process w/ H Hisgilov (UCOP)	Memorandums of Understanding & Special Agreements: Understanding the Risks w/ G Crickette & N Hamill (UCOP)
	4:10 – 8:30 PM	<b>Dinner &amp; Group Activity:</b> <i>Developing A Consultative Approach to Audits and Special Projects</i> w/ J Pastor (JPA International, Inc.)	

# 2013 UC Compliance & Audit Symposium

Thursday – North (January 31) & South (February 14)

AUDIT

7:30 - 8:30 AM	BREAKFAST	
8:30 – 9:20 AM	Navigating Thunderstorms: Managing Risks in the Cloud w/ D Kinser & J McDonald (UCSD)	Emerging Healthcare Issues: How Will They Impact Hospital Reimbursement? w/ L Laubach & S Hartzel (Moss Adams)
9:25 – 10:15 AM	Visa Regulations: What Auditors Need to Know w/ L Yorita (UCLA)	Tips for Success: Outpatient Treatment Site Audits w/ S Mancera (UCLA)
10:15 – 10:30 AM	BREAK	
10:30 – 11:20 AM	Keeping the Aid Office OFF the Front Page: Financial Aid, Regulations and Audits w/ S Dimotakis (UCLA)	Mobile Device Security - Is There an App for That? w/ D Curry (UCLA), G Loge (UCD)
11:25 AM – 12:15 PM	Research: Risks and Hot Topics w/ K Allen, B Morgan & N Lewis (UCI)	Epic Revenue Cycle Auditing – Where Do I Start? w/ H Collins (UCSF)
12:15 – 1:15 PM	LUNCH AND SPEAKER Joe Ford (Bank of the West) (N), TBD (S)	
1:15 – 2:05 PM	International Activities I – Panel w/ R Manlapaz, E Auriti & M Hicks (UCOP), B Bock (UCOP)(N), D Pichla (UCOP)(S)	Accuracy in Research Billing w/ R Meade (Meade Roach)
2:10 – 3:00 PM	International Activities II - Emerging Risks & Audit Involvement with International Activities w/ W Riley & J Jue (UCB)	
3:00 – 3:15 PM	BREAK	
3:15 – 4:05 PM	How to Add Value in a Construction Audit w/ G Buchanan & J Gillie (UCSD)	Getting Started with Data Analytics w/ J Oringel (Visual Risk IQ)
4:10 – 5:00 PM	Online Education: Addressing Emerging Trends and Risks in Higher Education w/ W Riley & J Jue (UCB)	Effective Use of Data Mining Tools in Audits w/ T Poon & M Lee (UCSF), L Bishin (UCR)