

# Basic Compliance & Ethics Academies

LAST CHANCE  
TO ATTEND IN  
**2019**



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**Houston, TX**  
December 2-5

**Nashville, TN**  
December 16-19

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**Join the  
12,000+  
Compliance  
Professionals**

who hold a Compliance  
Certification Board  
(CCB)<sup>®</sup> credential

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**Training more than 7,600  
compliance and ethics  
professionals around the world**

## **Get Certified!**

Plan now to take the optional Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> certification exam offered at the conclusion of the Academy.

**Register Early  
to Reserve  
Your Space**

Academies Limited to  
75 Participants

**Register online**  
[corporatecompliance.org/academies](http://corporatecompliance.org/academies)



# About our Academies

## Basic Compliance & Ethics Academies

Learn to effectively manage a compliance and ethics program and mitigate risk at your organization. Join the 7,600+ professionals who have turned to SCCE's Basic Compliance & Ethics Academies for in-depth education.

### Who should attend?

Our Academies are ideal for professionals with some compliance knowledge and experience who are ready to support, enhance, and manage a comprehensive compliance program. This includes:

- Compliance officers
- Compliance and risk program managers
- Audit managers
- Data privacy specialists
- Compliance lawyers

### Why should you attend?

Get to the heart of compliance and ethics practice with help from our Academies. Receive in-depth education designed to help you kick-start your compliance program.

- Gain core compliance and ethics knowledge
- Learn from faculty hand-selected for their expertise
- Network with other compliance professionals
- Earn live continuing education units (CEUs)
- Take the optional Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> exam.

Enrollment for each Academy is limited to 75 participants, ensuring personal interaction with our expert faculty and peers.

### Course materials and takeaways

In addition to the knowledge you gain by attending, you also receive:

- A binder containing all course materials
- One-year online access to *The Complete Compliance and Ethics Manual*

### Become certified!

Certification matters. It can enhance your career and give you credibility with your organization and peers. Immediately following each Academy, we offer an optional Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> exam. A separate application and fee submitted directly to the Compliance Certification Board (CCB)<sup>®</sup> is required.

Please note: Although the Academies can provide the CEUs you need to qualify, they are not a preparation class for the exam itself.

### SCCE's mission

SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.

### Contact Us

Please visit us online at [corporatecompliance.org](http://corporatecompliance.org) to learn more about the Academies and SCCE's other programs.

### Our faculty



**Urton Anderson**, CCEP, Director, Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky



**Martin T. Biegelman**, CFE, CCEP-F, Managing Director, Forensic Investigations, Deloitte Financial Advisory Services LLP



**Meric Bloch**, CCEP-F, JD, CFE, PCI, Vice President, Global Investigations for Booking Holdings Inc.



**Marjorie W. Doyle**, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC



**Odell Guyton**, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc.



**David J. Heller**, CCEP, VP Enterprise Risk Management and General Auditor, Edison International



**Greg Triguba**, JD, CCEP, CCEP-I, Principal, Compliance Integrity Solutions



**Debbie Troklus**, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Managing Director, Ankura Consulting



**Sheryl Vacca**, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F, Chief Risk Officer, Providence St Joseph Health



**Art Weiss**, JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products LLC

Faculty subject to change.



*Debbie Troklus, Chair of the  
Compliance Certification Board  
(CCB)<sup>®</sup> on getting certified*

“As our profession has grown, so has the need for professional certifications and education that focus on a variety of compliance industries such as general healthcare, privacy, research, and corporate compliance, as well as international. We see individuals not only seeking education or certification in one area, but in many and have in response to this expanded and increased our educational offerings for Academies, and for those who qualify, given the option to sit for a certification exam at the end of the Academy.

“I always had high hopes for these certifications, but the numbers of certified individuals and organizations recognizing these certifications far outweigh my expectations. The CCB certifications have really become the gold standard. With more than 12,300 individuals actively holding a CCB credential(s), the increase in organizations preferring individuals hold a CCB credential for hiring and the more than \$4,000,000 invested in the development of the Compliance Certification Board credentials, the numbers go to prove that there is now a compliance profession established. We don’t get asked, ‘What is compliance?’ anymore, everyone knows.”

**CCEP**<sup>™</sup>



## Monday

|                     |   |
|---------------------|---|
| 8:00 – 8:30 AM      | Registration and Continental Breakfast <i>(provided)</i>  |
| 8:30 – 8:45 AM      | Welcome/Introduction  |
| 8:45 – 10:30 AM     | <b>Organizational Ethics</b><br>This session focuses on what an ethical culture is and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirement of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.  |
| 10:30 – 10:45 AM    | Break   |
| 10:45 AM – 12:15 PM | <b>Introduction to Compliance Practice: Abbreviated Compliance 101</b><br>This course provides a basic introduction to compliance and compliance programs. It covers the seven essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program. The laws, rules, and regulations pertinent to compliance programs are introduced. Challenges confronting compliance officers are discussed.  |
| 12:15 – 1:15 PM     | Lunch <i>(provided)</i>   |
| 1:15 – 3:00 PM      | <b>Compliance Infrastructure</b><br>This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Implementation of a compliance program, selection of qualified staff, budgeting for compliance, and the overall structure of the office are discussed. Time is spent discussing the various positions needed and the qualifications for each. The auditing position along with qualifications (coding credentials) is discussed. A compliance professional should be able to use what is taught in this course to design an adequate structure to facilitate an effective compliance program. |
| 3:00 – 3:15 PM      | Break   |
| 3:15 – 5:00 PM      | <b>Creating and Reviewing Compliance Policies and Procedures</b><br>This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance program. It covers the legal, cultural, and efficiency reasons for having policies and procedures. The main purpose of the course is to clearly define policies, procedures, and guidelines, their specific elements, and how to create effective policies and procedures. It covers an updated view of best practices on codes of conduct. Finally, it covers the ways to review and update policies and procedures.   |

## Tuesday

|                     |  |
|---------------------|--|
| 7:30 – 8:00 AM      | Continental Breakfast <i>(provided)</i>  |
| 8:00 – 9:45 AM      | <b>Ethics and Compliance Risk Assessment</b><br>If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.  |
| 9:45 – 10:00 AM     | Break  |
| 10:00 – 10:15 AM    | CCEP Exam Discussion   |
| 10:15 AM – 12:00 PM | <b>Privacy and Information Security</b><br>This session provides an overview of key data privacy laws, regulations, and guidelines that could impact a US or global company with US operations. It also touches on corresponding data protection standards. The privacy session provides a basic high level introduction to new and emerging law, regulations, and standards in many segments of industry. It covers laws and regulations applicable to both private industry and government. Laws and regulations for activities in Europe, Asia, and other areas of the world are also briefly touched on in this session. |
| 12:00 – 1:00 PM     | Lunch <i>(provided)</i>  |
| 1:00 – 2:15 PM      | <b>Discipline and Program Improvement</b><br>This session focuses on two of the most important elements of a program. When a failure is detected, discipline shows the culture that enforcement of the organization's standards is serious. Discipline not only affects the individuals involved but is a message to the culture. Program improvement is an analysis after every failure to see what can be done to which elements of the program to prevent the same failure in the future. The program is always a work in progress.   |
| 2:15 – 3:15 PM      | <b>Legal Issues, Risk Factors, and Disclosure Issues</b><br>This session will cover the need to identify legal risks, the need to investigate those risks, disclosure of wrongdoing, and the prevention of damage arising from both risks and non-disclosure.  |
| 3:15 – 3:30 PM      | Break  |

3:30–5:00 PM

## Ethics and Compliance Programs: Best Practices and Perspectives

This interactive session provides a comprehensive overview of ethics, compliance, and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges, and opportunities; resources available for developing and enhancing your programs; and an interactive networking and information sharing opportunity.

5:30 PM

## Networking Dinner *(optional)*

## Wednesday

8:00–8:30 AM

## Continental Breakfast *(provided)*

8:30–10:15 AM

## Education and Training

This session will cover the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training, and the use of data to help prove “effectiveness”.

10:15–10:30 AM

## Break

10:30 AM–12:15 PM

## Auditing and Monitoring

The goal for this session is to provide compliance professionals with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with determining the role of auditing and monitoring in the organizational governance process—specifically what assurances the board and management need to meet their responsibilities. Next the session explores the relationship between monitoring activities and internal control. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance program. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization’s monitoring activities.

12:15–1:15 PM

## Lunch *(provided)*

1:15–3:00 PM

## Investigations

This session provides an overview of the workplace investigation process and the key steps in conducting a workplace investigation. Session content is presented for compliance officers who conduct investigations regularly as well as those who incorporate investigation findings in their other compliance work. The structure of an investigations process within the compliance program is discussed. The session proceeds through the investigation process and includes examples from actual investigations.

3:00–3:15 PM

## Break

3:15–5:00 PM

## E&C Programs: Effectiveness and Evaluation

This session focuses on ethics & compliance program effectiveness and evaluation to include core components of program design, implementation, and management, among other key areas. Effectiveness considerations are explored to include strategies and approaches across program elements, organizational impact, global standards, stakeholder expectations, and best practices. The course will also consider methods, tools, and resources for evaluating effectiveness and suggested steps for managing program risks, reporting, and opportunities to take the ethics & compliance program to the next level. Overall, this course provides valuable insight and reinforcement of fundamental program requirements, needs, and objectives.

## Thursday

7:30–8:00 AM

## Continental Breakfast *(provided)*

8:00–9:45 AM

## Conflicts of Interest

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment unclouded by personal interest or divided loyalties, but that does not always occur. This session is designed to assist compliance professionals in understanding ethical and organizational risks that result from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

9:45–10:00 AM

## Break

10:00–11:45 AM

## FCPA Anti-Corruption and Bribery

This course explores the domestic and global administrative and law enforcement efforts surrounding anti-corruption enforcement principles, and provides a practical (hands-on) approach for dealing with these and other organizational compliance and ethics risks.

11:45 AM

## Boxed Lunch *(provided)*

12:45 PM

## Exam Check-In Time *(optional)*

1:15–4:00 PM

## Exam Time – Certified Compliance and Ethics Professional (CCEP)<sup>®</sup> Exam *(optional)*

The exam is optional. You must apply and be approved to sit for the CCEP exam by CCB, separately from your academy registration. To apply online, go to: <http://bit.ly/CCEP-reg>. Academy and certification exams offered are only in English at this time.

**PLEASE NOTE:** If you are not present at the specified ‘Exam Time’ as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 120 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.



# Registration

## Contact Information

Mr  Mrs  Ms  Dr

Member/Account ID (if known)

First Name MI Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town State/Province

Zip/Postal Code Country

Work Phone

Email (required)

## Dietary Needs Request

Dairy Free  Gluten Free  Kosher  Vegetarian  Vegan  
 Other \_\_\_\_\_

## Acknowledgements

By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/academies](http://corporatecompliance.org/academies).

Your information (postal address) may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for marketing and/or networking purposes. To see the full use or if you wish to opt-out, visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

By participating in an SCCE conference, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic medium any photograph or video containing your image or likeness for educational, news, or promotional purposes without compensation.

**Cancellation fee:** A \$250 fee will be charged for any registration changed within seven days of the start of an academy.

## Registration Options

- December 2-5 | Houston, TX  
 December 16-19 | Nashville, TN

## Registration Fees

|  |         |
|--|---------|
| <input type="checkbox"/> Member                                | \$2,750 |
| <input type="checkbox"/> Non-Member                            | \$3,250 |
| <input type="checkbox"/> Registration + First-Time Membership* | \$2,970 |
| <input type="checkbox"/> Group Discount for 5-9 Attendees      | (\$200) |
| <input type="checkbox"/> Group Discount for 10 or More         | (\$400) |

\*Save by joining today (first-time members only). Dues renew at \$325.

TOTAL \$ \_\_\_\_\_

## Payment

Online registration at [corporatecompliance.org/academies](http://corporatecompliance.org/academies)

Mail this form to SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435-2358, USA

Fax this form to +1 952.988.0146

Email this form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) — Due to PCI compliance, do not provide credit card information via email. You may email this form (without credit card information), then call SCCE at +1 952.933.4977 or 888.277.4977 with payment information.

- Invoice me  
 Check enclosed (payable to SCCE)  
 Wire transfer requested  
 Credit card: I authorize SCCE to charge my:  
 Visa  MasterCard  Discover  American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

## Academy Locations

**NOTICE:** Neither SCCE 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 SCCE 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. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

### December 2-5 | Houston, TX

Hilton Houston Post Oak by the Galleria,  
2001 Post Oak Boulevard,  
Houston, TX 77056

A reduced rate of \$159 per night for single occupancy plus taxes and state fees (currently 17%, subject to change) has been arranged for this program. Call 1-800-HILTONS and ask for the SCCE Basic Compliance Academy group rate at the Hilton Houston Post Oak by the Galleria. All reservations must be guaranteed with a major credit card. The cutoff date for the group rate is Thursday, November 7 or once the group room block is full, whichever comes first.

### December 16-19 | Nashville, TN

Hilton Nashville Downtown,  
121 4th Avenue South,  
Nashville, TN 37201

A reduced rate of \$239 per night for single/double occupancy plus taxes and state fees (currently 15.25% plus \$2.50 occupancy tax per night, subject to change) has been arranged for this program. Call 1-615-620-1000 (Monday through Friday from 8:00am – 5:00pm Central Time or 1-800-HILTONS and ask for the SCCE Basic Compliance Academy group rate. All reservations must be accompanied by a first night room deposit. Reservations must be cancelled not later than 48 hours prior to intended arrival in order to avoid a cancellation charge of 1 night's room and tax. The cutoff date for the group rate is Friday, October 25, 2019 or once the group room block is full, whichever comes first.

## Continuing Education

SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. **CEU totals are subject to change.**

Upon request, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration. **Only requests from registered attendees will be considered.** If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). To see the most up-to-date CEU information go to SCCE's website, [corporatecompliance.org/all-conferences-home-page](http://corporatecompliance.org/all-conferences-home-page). Select your conference, and then select the "Continuing Education" option on the left hand menu.

**Compliance Certification Board (CCB)®:** CCB has awarded a maximum of **29.4** CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance–Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC®), Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional–Fellow (CCEP-F)®, Certified Compliance & Ethics Professional–International (CCEP-I)®.

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