

# BASIC COMPLIANCE & ETHICS ACADEMY

from the Society of Corporate Compliance and Ethics®

11-14 November | **Buenos Aires**



## Elevate Your Compliance Knowledge

Budgets are tight, governments around the world are looking to add new regulations, public trust in business is low, and employees are tempted to cut corners. Get the tools you need to face these challenges, and manage an effective compliance program, by attending the International Basic Compliance & Ethics Academy. Our Academies are ideal for compliance professionals who are looking to elevate their skills and knowledge.

SCCE's academies provide in-depth, classroom-style training in compliance and ethics. You will gain insight into topics that are at the heart of compliance practice.

Learn the essentials of managing compliance & ethics programs

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**Register Early to Reserve Your Space**

ACADEMIES LIMITED TO 75 PARTICIPANTS

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

who hold a Compliance Certification Board (CCB)® credential

[corporatecompliance.org/academies](https://corporatecompliance.org/academies)



Learn to effectively manage a compliance and ethics program and mitigate risk at your global organization. Join the 7,600+ professionals who have turned to SCCE's Basic Compliance & Ethics Academies for a comprehensive 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. Gain an 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 - International (CCEP-I)<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:

- All course materials (A binder will be provided on the first day of the Academy)
- One-year online access to *The Complete Compliance and Ethics Manual 2020*

### 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 - International (CCEP-I)<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



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



**Lea Fourkiller**, CHC, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc.



**Al Gagne**, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc.



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



**Louis Perold**, CCEP, CCEP-I, Global Compliance Manager, Jabil Circuit, Inc., SCCE & HCCA Non-Officer of the Executive Committee



**Greg Triguba**, JD, CCEP, CCEP-I, Principal, Compliance Integrity Solutions, Board Member, SCCE & HCCA



**Debbie Troklus**, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Managing Director, Ankura Consulting, Board Member, SCCE & HCCA



**Sheryl Vacca**, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F, Chief Risk Officer, Providence St Joseph Health, Board Member, SCCE & HCCA



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

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 12,200 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-I<sup>™</sup>**



## Monday

8:30–9:00	Registration & Welcome Coffee <i>(provided)</i>
9:00–9:15	Welcome & Introduction
9:15–10:30	<b>Introduction to Compliance</b> This session provides a basic introduction to compliance and the compliance program. It covers the essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program.
10:30–10:45	Break
10:45–12:30	<b>Organizational Ethics</b> 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.
12:30–13:30	Lunch <i>(provided)</i>
13:30–15:15	<b>Education and Training</b> 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."
15:15–15:30	Break
15:30–17:15	<b>Compliance Infrastructure</b> This course is designed to help compliance professionals understand the basic framework needed to establish a successful compliance program infrastructure. Program governance, selection of a qualified staff, management considerations, budgeting for compliance, and the overall structure of the office are discussed. Time is spent exploring the various compliance roles and positions needed and qualifications for each. The auditing role along with qualifications is also explored. A compliance professional should be able to use what is taught in this course to establish an adequate structure from the onset that will help to facilitate a successful and effective compliance program for the long-term.

## Tuesday

8:30–9:00	Welcome Coffee <i>(provided)</i>
9:00–10:45	<b>Creating and Reviewing Compliance Policies and Procedures</b> 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.
10:45–11:00	Break
11:00–12:45	<b>Compliance and Ethics Risk Assessment</b> 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.
12:45–13:45	Lunch <i>(provided)</i>
13:45–14:00	Test Question and Answer
14:00–15:15	<b>Discipline and Program Improvement</b> This session focuses on two of the most important elements of a program. When a failure is detected, discipline demonstrates a culture in which enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the overall culture. Program improvement is an analysis after every failure to see what can be done in various elements of the program to prevent the same failure in the future. The program is always a work in progress.
15:15–15:30	Break
15:30–17:15	<b>Investigations</b> This session is focused on the aspects of a compliance investigation. The session overviews the considerations for who should conduct such investigations based on the nature of the investigations as well as considerations for determining whether the investigations should be conducted under attorney-client privilege. The session also addresses considerations for what information to provide to the workforce during an investigation and how to report the investigation findings. The duties and obligations of the board of directors and key leaders in the organization are also addressed in this session.
17:15–18:15	Networking Reception

## Wednesday

8:30 – 9:00	Welcome Coffee <i>(provided)</i>
9:00 – 10:45	<b>Auditing and Monitoring</b> <p>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 assurance 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.</p>
10:45 – 11:00	Break
11:00 – 12:45	<b>Privacy</b> <p>This session is an overview of key privacy laws and regulations that could impact a US or global company. The privacy session provides a basic high level introduction to law and regulations in all segments of industry. It covers laws and regulations from both the private and governmental industry segments. Law and regulations for activities in the US, Europe, Asia, and other areas of the world are touched on in this session.</p>
12:45 – 13:45	Lunch <i>(provided)</i>
13:45 – 15:00	<b>Obtaining Buy-In and Commitment</b> <p>Obtaining buy-in and commitment from leadership is still the number one obstacle to compliance. This session will focus on understanding management/leadership styles and developing methods to help in getting the buy-in that is needed for an effective compliance program.</p>
15:00 – 15:15	Break
15:15 – 17:00	<b>E&amp;C Programs: Effectiveness &amp; Evaluation</b> <p>This session focuses on Ethics &amp; 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 &amp; Compliance Program to the next level. Overall, this course provides valuable insight and reinforcement of fundamental program requirements, needs, and objectives.</p>

## Thursday

8:30 – 9:00	Welcome Coffee <i>(provided)</i>
9:00 – 10:00	<b>Using Incentives in the Compliance Program</b> <p>This session will explain why it is so important to include incentives in the scope of a compliance program. The session reviews the different ways to do this, including personnel evaluations, rewards and awards, and giving compliance a role in promotion decisions. The coverage also includes the importance of company incentive programs in general and why the compliance officer needs a seat at the table when any corporate incentive system is being developed. We ask the difficult question whether those who report fellow employees should get rewards for doing so.</p>
10:00 – 10:15	Break
10:15 – 11:30	<b>Conflicts of Interest</b> <p>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 and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies, and best practices.</p>
11:30 – 11:45	Break
11:45 – 13:15	<b>Anti-Corruption and Bribery</b> <p>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.</p>
13:15 – 14:15	Lunch <i>(provided)</i>
14:15 – 14:45	Exam Check-In Time <i>(optional)</i>
14:45 – 18:15	<b>Exam Time – Certified Compliance &amp; Ethics Professional-International (CCEP-I) Exam <i>(optional)</i></b> <p>The exam is optional. You must apply and be approved to sit for the CCEP-I exam by CCB, separately from your academy registration. To apply online, go to: <a href="https://www.corporatecompliance.org/apply-exam">https://www.corporatecompliance.org/apply-exam</a>. Academy and certification exams offered are only in English at this time.</p> <p><b>PLEASE NOTE:</b> 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 150 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.</p>

## CONTACT INFORMATION

Mr.  Mrs.  Ms.  Dr.

Member/Account Number (If applicable/known)

First Name

MI

Last Name

Credentials (CCEP, CCEP-F, CHC, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town

State/Province/Country

Zip/Postal Code

Phone

Fax

Email (required for registration confirmation and conference information)

## 11-14 November | Buenos Aires

### CHOOSE YOUR REGISTRATION FEE

Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)

SCCE Member ..... \$2,750 USD

NON-MEMBER ..... \$3,250 USD

REGISTRATION PLUS SCCE MEMBERSHIP ..... \$2,970 USD

Save by joining SCCE today (First-time members only; dues regularly \$325 annually.)

GROUP DISCOUNT: subtract \$ \_\_\_\_\_ from my registration fee (see box at left)

**NOTE:** As of 1/1/2019 a \$250 fee will be charged for any registration changes within 7 days of the first day of an Academy.

TOTAL \_\_\_\_\_

All rates listed in US dollars unless otherwise noted.

Any additional fees and/or reservations for hotel, airfare, certification exam must be made separately. Please see page 7 for details and information.

### DIETARY NEEDS REQUEST

Gluten Free  Vegetarian  Vegan  Kosher  Dairy Free

Other (write in): \_\_\_\_\_

### PAYMENT OPTIONS AND REGISTRATION OPTION

If you wish to pay using wire transfer, please email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) for instructions

Fax to: +1 952.988.0146

Mail check: SCCE, 6500 Barrie Road, Ste 250, Minneapolis, MN 55435, United States

Check enclosed  Invoice me

I authorize SCCE to charge my credit card (choose below)

**Due to PCI Compliance, please do not provide any credit card information via email.** You may email the application (without credit card information) and call SCCE at 952.933.4977 or 888.277.4977 with your credit card information.

Credit Card:  American Express  MasterCard  Visa  Discover

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

### GROUP DISCOUNTS

5 or more: \$200 discount for each registrant

10 or more: \$400 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 your information** – To find out how we may use your information please read our Privacy Statement at [corporatecompliance.org/privacy.aspx](http://corporatecompliance.org/privacy.aspx).

**By submitting this registration form you agree to the terms and conditions**, including the use of your information as stated on page 7, and our Privacy Statement located at [corporatecompliance.org/privacy.aspx](http://corporatecompliance.org/privacy.aspx).

**SOCIETY OF CORPORATE COMPLIANCE AND ETHICS**  
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PHONE +1 952.933.4977 or 888.277.4977 | FAX +1 952.988.0146  
[corporatecompliance.org](http://corporatecompliance.org) | [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

## CONFERENCE LOCATION AND HOTEL RESERVATIONS

### Hotel Information

#### Sheraton Libertador Hotel

AV. Cordoba 690,  
Ciudad de Buenos Aires,  
C1054AAS

#### Online Reservations: [bit.ly/Argentina19](http://bit.ly/Argentina19)

A reduced rate of 165 USD single/ 175 USD double occupancy per night plus 21% VAT per room per night.

Guestroom rates include:

- American buffet breakfast served in La Pérgola Restaurant
- Free access to the Fitness, located on the 22nd floor
- Free Basic WIFI in rooms and lobby

Please book your reservations directly through the specialized booking site: [bit.ly/Argentina19](http://bit.ly/Argentina19). The cutoff date for the group rate is **19 October 2019** or once the group room block is full, whichever comes first.

**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 or web link in this brochure. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

## TERMS AND CONDITIONS

### Use of Information

Your information may be received by exhibitors at our conference as well as our affiliates and partners, who we may share it with for marketing purposes. Please note that only postal address information is shared. If you wish to opt out please follow the process described in our Privacy Statement. The full terms as to how we may use your information are also found in our Privacy Statement. Visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

### Registration Payment Terms

Please make your check payable to SCCE. Enclose payment with your registration and return it to the SCCE office, or fax your credit card payment to +1 .952.988.0146. If your total is miscalculated, SCCE will charge your card the correct amount. For information on group discounts, please see the box on the registration form.

The cost of any exams and the hotel accommodations are not included in the registration fee. Breakfast and lunch are included in the tuition amount as indicated on the agenda.

### Cancellations/Substitutions

No refunds will be given for cancellations. If you need to cancel your participation, your request must be submitted by email to [service@corporatecompliance.org](mailto:service@corporatecompliance.org). Cancellation requests received within 7 days of the event start date will be assessed a \$250 cancellation fee. A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original, canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. Conference credits may be applied toward any SCCE event, service, or product. If a conference credit is applied toward an event, the event must take place prior to the credit's expiration date. Alternatively, you may choose to send a substitute attendee in your place. An additional fee may apply depending upon the membership status of the substitute. Substitution requests must be submitted by email to [service@corporatecompliance.org](mailto:service@corporatecompliance.org).

### Agreements & Acknowledgements

I agree and acknowledge that I am undertaking participation in SCCE 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 acknowledgment freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs and/or video at the SCCE Compliance & Ethics Institute and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in the SCCE Compliance & Ethics Institute, I grant SCCE 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.

**RECORDING/ELECTRONICS:** No audio or video recording of SCCE conferences is allowed. No personal laptops may be used during conference sessions.

**PREREQUISITES/ADVANCED PREPARATION:** None.

### Ways to register

**MAIL:** Include registration form with check payable to: SCCE, 6500 Barrie Road, Suite 250 Minneapolis, MN 55435, United States

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

**FAX:** +1 952.988.0146 (including billing information)

### Questions?

Call +1 952.933.4977 or 888.277.4977 or e-mail [beckie.smith@corporatecompliance.org](mailto:beckie.smith@corporatecompliance.org)

### CCEP-I EXAM

The cost of the CCEP-I exam is not included in the Academy registration fee. To apply for the CCEP-I exam, download the PDF application form for the exam offered at your Academy from [corporatecompliance.org/academies](http://corporatecompliance.org/academies).

Please note that you must apply for the CCEP-I exam separately from the Academy. Submit the exam application and application fee in advance as directed on the application form.

### QUESTIONS ABOUT THE EXAM?

Contact the certification team at [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) or +1 952.933.4977.

### Continuing Education Units

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, SCCE may submit this course to additional states or entities for consideration. 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). Visit SCCE's website, [corporatecompliance.org](http://corporatecompliance.org), for up-to-date information.

### COMPLIANCE CERTIFICATION BOARD (CCB):

CCB has awarded a maximum of **27.9** CCB 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)

### U.S. LEGAL EDUCATION CLE:

**CONTINUING LEGAL EDUCATION (CLE):** The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of **23.25** clock hours of CLE credit will be available to attendees of this conference licensed in these states. Upon request SCCE may submit this course to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.