



**DEVELOP AND
IMPROVE YOUR
COMPLIANCE &
ETHICS PROGRAM**

BASIC COMPLIANCE & ETHICS ACADEMY

9-12 February | **Dubai, UAE**



EDUCATIONAL TRAINING



EXPERT SPEAKERS



NETWORKING OPPORTUNITIES



CCEP-I® EXAM OFFERED

Get Certified!

Take the optional Compliance & Ethics Professional - International (CCEP-I)® exam at the conclusion of the Academy. Academies limited to 75 participants.

Register today

corporatecompliance.org/2020dubaiacademy

About our 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)[®] 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)[®] exam. A separate application and fee submitted directly to the Compliance Certification Board (CCB)[®] 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 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



Jeffrey Driver, JD, CHC, Managing Director, Arete Compliance Solutions, LLC



Al Gagne, MBA, CCEP, Former Director Ethics & Compliance, Textron Systems Corp. (retired)



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



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, SCCE & HCCA Board Member



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



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



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)[®] 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[™]



Sunday

8:30 – 9:00	Registration and Welcome Coffee <i>(provided)</i>
9:00 – 9:15	Welcome and Introduction
9:15 – 10:30	Introduction to Compliance 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	Organizational Ethics 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	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.”
15:15 – 15:30	Break
15:30 – 17:15	Compliance Infrastructure 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.

Monday

8:30 – 9:00	Welcome Coffee <i>(provided)</i>
9:00 – 10:45	Creating and Reviewing Compliance Policies and Procedures 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	Compliance and Ethics Risk Assessment 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	Discipline and Program Improvement 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	Investigations 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

Tuesday

8:30 – 9:00	Welcome Coffee <i>(provided)</i>
9:00 – 10:45	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 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.
10:45 – 11:00	Break
11:00 – 12:45	Privacy This session is an overview of key privacy laws and regulations that could impact a US or global organization. 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.
12:45 – 13:45	Lunch <i>(provided)</i>
13:45 – 15:00	Obtaining Buy In and Commitment 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.
15:00 – 15:15	Break
15:15 – 17:00	E and C Programs: Effectiveness and Evaluation This session focuses on ethics and 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 and compliance program to the next level. Overall, this course provides valuable insight and reinforcement of fundamental program requirements, needs and objectives.

Wednesday

8:00 – 8:30	Welcome Coffee <i>(provided)</i>
8:30 – 9:30	Using Incentives in the Compliance Program The incentives 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.
9:30 – 9:45	Break
9:45 – 11:30	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 and how they occur; gifts, gratuities and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.
11:30 – 11:45	Break
11:45 – 13:15	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.
13:15 – 14:15	Lunch <i>(provided)</i>
14:15 – 14:45	Exam Check-In Time <i>(optional)</i>
14:45 – 18:15	Exam Time – Certified Compliance & Ethics Professional-International (CCEP-I) Exam <i>(optional)</i> 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: 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 150 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.

2020 Dubai Basic Compliance & Ethics Academy

9-12 February • The Address Dubai Mall • Dubai, UAE

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.

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.

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 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/2020dubaiacademy

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 — 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

Conference location and hotel reservations

Hotel Information

The Address Dubai Mall
Sheikh Mohammed Bin Radhed Boulevard
Dubai, United Arab Emirates

Online Reservations: bit.ly/2020-Dubai

A reduced rate of 813 AED per night for single / 1,118.75 AED per double occupancy plus taxes (currently 10% service charge, 7% municipality fee and a 20 AED Tourism Dirham fee) has been arranged for this program. These rates are inclusive of breakfast). Make reservations online using this booking link: bit.ly/2020-Dubai
All reservations must be guaranteed with a major credit card. No-shows will be charged all nights booked. Early Departure Policy – 100% of the pre-booked period will be charged should guest depart ahead of booked date of departure. The rooms can be cancelled 29 days prior to the arrival date with no penalty.

The cutoff date for the group rate is **07 January 2020** 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.

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. To see the most up-to-date CEU information go to SCCE's website, 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 **28.5** 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)[®].

Continuing Legal Education (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the Alabama State Bar, the State Bar of California, the Pennsylvania Bar Association, the Rhode Island MCLE Commission, and the State Bar of Texas. An approximate maximum of **10.25** clock hours of CLE credit will be available to attendees of this conference licensed in these states. SCCE's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, SCCE may submit this course to additional states for consideration. **Only requests from registered attendees will be considered.** All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of **28.5** credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.