

**LEARN THE ESSENTIALS
OF EFFECTIVE
COMPLIANCE & ETHICS
MANAGEMENT**

BASIC COMPLIANCE & ETHICS ACADEMIES

CCEP EXAM OFFERED

Our Academies provide you with the continuing education units (CEUs) needed to sit for the optional CCEP certification exam offered on the last day.

ACADEMIES OFFERED IN 2021

August 2-5 • Seattle, WA

August 9-12 • New Orleans, LA

October 4-7 • Washington, DC

November 15-18 • Fort Lauderdale, FL

Register
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 comprehensive 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)[®] exam.

Participation is limited, 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 2021*

*Products given away are subject to change.

CCEP Exam Offered

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

To see if you qualify and have the practical work experience that's required for certification visit corporatecompliance.org/certifications/become-certified

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



Urton Anderson, CCEP,
Director and EY Professor,
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



Jeffrey Driver, JD, CHC, CHRC, CCEP-I,
Principal & Chief Consultant,
Soteria Risk Works, 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



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



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



Debbie Troklus, CCEP-F, CCEP-I,
CHC-F, CHRC, CHPC,
President, Troklus Compliance
Consulting, SCCE & HCCA Board
Member



Sheryl Vacca, CHC-F, CHPC, CHRC,
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,
SCCE & HCCA President



Christian Whicker, CCEP,
Director, Corporate Compliance,
Duke Energy Corporation

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 12,250 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[®]



Monday

8:00 – 8:30 AM	Registration and Continental Breakfast <i>(provided)</i>
8:30 – 8:35 AM	Welcome/Introduction
8:35 – 10:20 AM	Organizational Ethics <ul style="list-style-type: none">• What it is• Legal and business value• Practice steps to create and maintain
10:20 – 10:50 AM	Break
10:50 AM – 12:20 PM	Introduction to Compliance <ul style="list-style-type: none">• High level overview of the seven elements of a compliance program• Practice and problems for the compliance professional are discussed• Highlight of areas of key importance to compliance programs
12:20 – 1:20 PM	Lunch <i>(provided)</i>
1:20 – 3:05 PM	Compliance Infrastructure <ul style="list-style-type: none">• An understanding of what is included in the CP infrastructure• Positions vital to the CP's infrastructure• Staffing the compliance program and reporting structures
3:05 – 3:35 PM	Break
3:35 – 5:20 PM	Creating and Reviewing Compliance Policies and Procedures <ul style="list-style-type: none">• Definitions of standards of conduct, policies, procedures, guidelines• Elements of policies and procedures• Ownership and reviewing policies and procedures

Tuesday

7:30 – 8:00 AM	Continental Breakfast <i>(provided)</i>
8:00 – 9:45 AM	Compliance Risk Assessment <ul style="list-style-type: none">• Define compliance risk and how to assist with role clarity• Discuss the rationale and key cultural and management variables important to conducting a risk assessment• Identify common methodologies and processes for conducting a risk assessment
9:45 – 10:15 AM	Break
10:15 – 10:30 AM	CCEP Exam Discussion
10:30 AM – 12:15 PM	Privacy and Information Security <ul style="list-style-type: none">• Overview of US Privacy Law• Overview of key cybersecurity issues• Privacy and cybersecurity standards and industry practices/benchmarking
12:15 – 1:15 PM	Lunch <i>(provided)</i>
1:15 – 2:30 PM	Discipline and Program Improvement <ul style="list-style-type: none">• Importance of discipline• Responsibilities in discipline process• Elements of program improvement
2:30 – 3:30 PM	Legal Issues, Risk Factors, and Disclosure Issues <ul style="list-style-type: none">• Lessons learned; the red flags• Overlooked; the need to identify red flags• Dangers hidden in investigations, our own policies, and how we react• We created it; now it's coming back to hurt us• Disclosure to regulators and law enforcement
3:30 – 4:00 PM	Break

4:00–5:30 PM

Ethics & Compliance Programs: Best Practices and Perspectives

- Interactive session that explores core considerations for establishing a best practices program, to include strategies and insights on the path to get you there
- Explore the value and importance of benchmarking, and discuss opportunities to leverage this essential information to take your program to the next level
- Engage and collaborate with colleagues as part of an interactive networking opportunity, and learn about available resources that help support effective practice

Wednesday

7:30–8:00 AM

Continental Breakfast *(provided)*

8:00–9:45 AM

Education and Training

- The need for compliance and ethics training
- The difference between training and education
- Different types and methods of training
- Targeted training
- Demonstrating training effectiveness

9:45–10:15 AM

Break

10:15 AM–12:00 PM

Auditing and Monitoring

- Role of auditing and monitoring in the compliance program
- Development of monitoring/auditing plans for effective assurance
- The future of compliance program auditing and monitoring

12:00–1:00 PM

Lunch *(provided)*

1:00–2:45 PM

Investigations

- Understand the investigations management process
- Learn important investigation techniques
- Know the key steps of every workplace investigation

2:45–3:15 PM

Break

3:15–5:00 PM

Ethics & Compliance Programs: Evaluation and Effectiveness

- Overview of essential components of E&C program effectiveness to include core elements of program design, implementation, and effective management, among other key areas
- Explore effectiveness considerations across program elements to include value proposition, organizational impact, global standards, stakeholder expectations, and best practices
- Consider methods, tools, and resources for evaluating effectiveness, and suggested steps for managing program risks and taking your program to the next level

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
- This session is designed to assist compliance professionals in understanding ethical and organizational risks that result from conflicts of interest
- This session will review the many kinds of conflicts of interest and how they occur; case studies; and best practices

9:45–10:15 AM

Break

10:15 AM–12:00 PM

FCPA Anti-Corruption and Bribery

- Global law enforcement efforts
- Practical hands-on approach
- Effective compliance remediation approaches

12:00 PM

Boxed Lunch *(provided)*

12:45 PM

Exam Check-In Time

1:00–4:00 PM

Exam Time – Certified Compliance & Ethics Professional (CCEP)[®] 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 _____

Emergency Cell Phone Number (optional)*

Provide your cell phone number so that in case of an onsite emergency we can keep you informed. _____

*This will only be used in cases of emergency and not used for marketing.

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 of your information 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

- August 2-5, 2021 • Seattle, WA
- August 9-12, 2021 • New Orleans, LA
- October 4-7, 2021 • Washington, DC
- November 15-18, 2021 • Fort Lauderdale, FL

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

Mail this form to Society of Corporate Compliance and Ethics, 6462 City West Parkway, Eden Prairie, MN 55344 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

Hotel 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.

August 2-5, 2021 • Seattle, WA The Westin Seattle

1900 5th Avenue, Seattle, WA 98101

A reduced rate of \$239.00 single/double occupancy per night plus applicable taxes (currently 15.6%, subject to change plus a \$2.00 Tourism Assessment Fee per night) have been arranged for this program. To make reservations online [click here](#) or call 800.937.8461 and ask for the SCCE and HCCA Basic Compliance Academy group rate.

All reservations must be accompanied by a first night room deposit or guaranteed with a valid major credit card. You may cancel your reservation for no charge three days prior to arrival. Please note the hotel will assess a fee of one night's room and tax if you must cancel after this deadline.

The cutoff date to receive this discounted rate is **Sunday, July 11, 2021** or once the group block is full, whichever comes first. After the cut-off date, it is at Hotel's discretion whether to accept additional reservations, which will be subject to prevailing rates and availability.

For those who wish to extend their stay, sleeping room rates are available three days before and three days after the academy based on availability.

August 9-12, 2021 • New Orleans, LA Windsor Court Hotel

300 Gravier Street, New Orleans, LA 70130
855.264.1283

A reduced rate of \$195.00 single/double occupancy per night plus applicable taxes (currently 16.2%, subject to change, plus a 1.75% assessment fee and an occupancy tax of \$2.00 per night) have been arranged for this program. To obtain the special discounted group rate enter 4166136 online at windsorcourthotel.com. Click "Reservations", Choose Dates on calendar, Click the arrow underneath "Codes", Enter the code 4166136 provided in the "Group Code" field, Click "Check Availability".

Direct Booking Link: [click here](#)

If you prefer to make your reservation via phone, the Reservations Department can be reached at 800.262.2662 Monday-Friday between 7am-9pm and Saturday-Sunday between 8am-8pm Central Time. Ask for the SCCE and HCCA discounted rate.

All reservations must be guaranteed and accompanied by a first night room deposit or guaranteed with a valid credit card. Cancellations must be received within seventy-two (72) hours prior to the arrival date, at which point a one night room and tax will be assessed to the credit card on file.

The cutoff date to receive this discounted rate is **July 18, 2021** or once the group block is full, whichever comes first. After the cut-off date, it is at Hotel's discretion whether to accept additional reservations, which will be subject to prevailing rates and availability.

For those who wish to extend their stay, sleeping room rates are available three days before and three days after the academy based on availability.

October 4-7, 2021 • Washington, DC Washington Marriott at Metro Center

775 12th Street NW, Washington, DC

20005-3901

A reduced rate of \$289.00 single/double occupancy per night plus applicable taxes (currently 14.95%, subject to change) have been arranged for this program. To make reservations online [click here](#) or call 800.228.9290 or 202.737.2200 and ask for the HCCA & SCCE Basic Compliance Academy group rate.

All reservations must be guaranteed and accompanied by a first night room deposit or guaranteed with a valid credit card. Cancellations must be received by 3:00pm Eastern Time two days prior to arrival, at which point a one night room and tax will be assessed to the credit card on file.

The cutoff date to receive this discounted rate is 6:00pm Eastern Time **Tuesday, September 7, 2021** or once the group block is full, whichever comes first. After the cut-off date, it is at Hotel's discretion whether to accept additional reservations, which will be subject to prevailing rates and availability.

For those who wish to extend their stay, sleeping room rates are available three days before and three days after the academy based on availability.

November 15-18, 2021 • Fort Lauderdale, FL Hilton Fort Lauderdale Marina

1881 SE 17th Street Causeway,
Fort Lauderdale, FL 33316
954.463.4000

A reduced rate of \$185.00 single/double occupancy per night plus applicable taxes (currently 13%, subject to change) have been arranged for this program.

All reservations must be guaranteed and accompanied by a first night room deposit or guaranteed with a valid credit card. Cancellation policies may vary depending on the rate or dates of your reservation. Please refer to your reservation confirmation to verify your cancellation policy.

The cutoff date to receive this discounted rate is **October 22, 2021** or once the group block is full, whichever comes first. After the cut-off date, it is at Hotel's discretion whether to accept additional reservations, which will be subject to prevailing rates and availability.

Continuing Education

Credits are assessed based on actual attendance and credit type requested. Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly.

Compliance Certification Board (CCB)®: CCB has approved 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)®.

Daily Breakdown:

Monday: 6.75 HR | 8.1 CCB

Tuesday: 7.25 HR | 8.7 CCB

Wednesday: 7.0 HR | 8.4 CCB

Thursday: 3.5 HR | 4.2 CCB

*Hours are subject to change

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 29.4 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.

SCCE is in the process of applying for additional external continuing education units (CEUs). 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. Select your conference, and then select the "Continuing Education" option on the left hand menu.