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

LIMITED SEATS

SOLD OUT WAITING LIST AVAILABLE

October 4-7 • Washington, DC

November 15-18 • Fort Lauderdale, FL

Register
corporatecompliance.org/academies

SCCE®
Society of Corporate Compliance and Ethics

About our 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 and Investigations Practice Leader, SunHawk Consulting LLC

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."

Agenda

Monday

8:00 – 8:30 AM	**Registration and Continental Breakfast** *(provided)*
8:30 – 8:35 AM	**Welcome/Introduction**
8:35 – 10:20 AM	**Organizational Ethics** • 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** • 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** *(provided)*
1:20 – 3:05 PM	**Compliance Infrastructure** • 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** • 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** *(provided)*
8:00 – 9:45 AM	**Compliance Risk Assessment** • 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** • Overview of US Privacy Law • Overview of key cybersecurity issues • Privacy and cybersecurity standards and industry practices/benchmarking
12:15 – 1:15 PM	**Lunch** *(provided)*
1:15 – 2:30 PM	**Discipline and Program Improvement** • Importance of discipline • Responsibilities in discipline process • Elements of program improvement
2:30 – 3:30 PM	**Legal Issues, Risk Factors, and Disclosure Issues** • 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**

PLEASE NOTE: Agenda is subject to change.

Agenda

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.

Basic Compliance & Ethics Academies

⊛ SCCE

SECTION 1   Attendee Information

○ Mr ○ Mrs ○ Ms ○ Dr ○ Other _____   Member / Account ID (if known/applicable) _____

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) _____

SECTION 2   Registration

Basic Compliance & Ethics Academies

For additional international locations, visit corporatecompliance.org/academies

☐	October 4-7, 2021 • Washington, DC
☐	November 15-18, 2021 • Fort Lauderdale, FL

LIMITED SEATS

SOLD OUT WAITING LIST AVAILABLE

SCCE Membership: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Opt-Out: Select if you would like to opt-out of the following:

☐ Member Magazine Listing: SCCE lists all new members (first and last name, organization, and state or country) in our monthly magazine, *Compliance & Ethics Professional (CEP)*.

☐ Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

Options

☐	Member	$2,750
☐	Non-Member	$3,250
☐	Registration + First-Time Membership Offer*	$2,970

*Save by joining today (first-time members only). Dues renew at $325. See "Acknowledgements" below for details.

Group Discount

☐	Group Discount for 3–9 Attendees**	($200)
☐	Group Discount for 10 or More**	($400)

**See "Group Discount Policy" under "Acknowledgments" below for details.

TOTAL $ _____

Dietary Needs Request

☐ Dairy Free ☐ Gluten Free ☐ Kosher ☐ Vegetarian ☐ Vegan ☐ Other _____

On-Site Cell Phone (for emergency on-site use only) _____

SECTION 3   Payment

Online registration at corporatecompliance.org/academies

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA   **Fax** to +1 952.988.0146

Email to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. Email this form without credit card information, then call SCCE at +1 952.933.4977 or 888.277.4977 with your payment.

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

Credit Card Account Number _____   Expiration Date _____

Cardholder Name _____   Cardholder Signature _____

SECTION 4   Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at corporatecompliance.org/conference/tandc, including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable at corporatecompliance.org/conference/tandc.

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

Group Discount Policy: Registration forms must be sent together to ensure that the discount is applied. 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.

New Members: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc.

Photo/Video Release: By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

Basic Compliance & Ethics Academies

SCCE®

Frequently Asked Questions

Where will my Academy take place?
Please see hotel locations on the next page.

What is included in the cost of my attendance?
Access to the sessions, supplemental conference materials, and networking opportunities. You will also enjoy complimentary continental breakfasts, lunches, and snacks with the other attendees.

As an attendee you will also receive a 1-year online subscription to *The Complete Compliance & Ethics Manual* via COSMOS®, available for access on the first day of the Academy.

What COVID-19 safety precautions will be implemented?
SCCE considers the health and safety of all those at in-person programs a top priority. Although participants should recognize that there is risk involved in attending, SCCE will follow the safety recommendations/guidelines provided by the CDC and other state and local government agencies in place at the time of the event. Additionally, SCCE will follow the venue requirements and work with the venue to provide a safe and enjoyable environment for all participants.

Can I see what sessions will be presented before I arrive on-site?
Yes, program information is posted on the conference website.

Will I receive a recording of this conference?
No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

Is there a group discount—if so, what is it?
Yes, we offer group discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to helpteam@corporatecompliance.org for processing. 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. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org.

What do I get with "Registration + First Time Membership?"
If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*® *(CEP)* monthly magazine, *Ethikos*® digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?
You can complete the registration online and select the "Invoice Me" payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an SCCE member instead of HCCA or vice versa?
Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' events, but this cannot be done online. Please send your registration form via email to helpteam@corporatecompliance.org to complete your registration.

How can I cancel my registration?
If you need to cancel your participation (or send a substitute), your request must be submitted by email to helpteam@corporatecompliance.org. A conference credit will be issued for all registration fees paid (minus a $250 cancellation fee if cancelled within 7 days of the start of the Academy) 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. If sending a substitute, an additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or concerns prior to the conference?
Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require accommodation to participate.

Continuing Education

Can I earn continuing education units (CEUs) for attending this Academy?
Yes. This Academy offers live Compliance Certification Board (CCB)® continuing education units (CEUs) for participation as well as other external credit types.

To see the most up-to-date CEU approval information, go to SCCE's website, corporatecompliance.org/conferences/academies. Select your Academy and choose the Continuing Education option on the left-hand menu.

How many CEUs will I earn from attending?
CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the Academy offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

How do I request CEUs following this Academy?
While on-site at this Academy, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the conference to ccb@compliancecertification.org. Only registered attendees are eligible to request CEUs for participation.

When will I receive my CEU certificate for participation?
Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your corporatecompliance.org account, go to your Account Dashboard, and scroll down to View My CEUs.

I would like to sit for one of the Compliance Certification Board (CCB)® exams following this Academy; will I qualify?
While this Academy, if attended in full, can provide you with all of the CEUs you need to meet the continuing education requirement, you will need to also review the applicable Candidate Handbook found at corporatecompliance.org/candidate-handbooks to ensure you meet the work experience requirement.

I have reviewed the Candidate Handbook and want to apply for the exam as soon as the Academy concludes; what's next?
If you want to sit for the exam offered on the last day of the Academy and have reviewed your Candidate Handbook, you can go ahead and apply online for your exam at corporatecompliance.org/apply-exam. You must be registered for the Academy first before you can apply to sit for the exam offered on-site.

I would like to sit for the exam, but not onsite at the Academy. Can I take my exam remotely at another time?
Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, corporatecompliance.org/exam-information.

I have more questions about exams and seeking certification; who can help me?
For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org.

Basic Compliance & Ethics Academies

Hotel and Academy Locations

Basic Compliance & Ethics Academies and optional CCEP exams are held at the locations listed below. The costs of hotel accommodations are not included in your conference registration fee. The hotel room rate listed for each Academy is good until the cutoff date indicated or until the room block is full, whichever comes first. Reservations received after the cutoff date or after the room block is full will be accepted based on space and rate availability. Please note that parking and internet service charges are set by the hotel and may be subject to change.

PLEASE NOTE: 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.

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.