Virtual Compliance & Ethics Essentials Workshop

This four-day virtual workshop is dedicated to helping you develop and improve your compliance management skills. Attendees will have the opportunity to earn live Compliance Certification Board (CCB)® continuing education units (CEUs) from the convenience of their own home or office.

2023 Workshops

February 6–9

May 15–18

September 18–21

December 4–7

All workshops are held in Central Time (CT)

Register online
corporatecompliance.org/essentials

About the Compliance & Ethics Essentials Workshop

SCCE's Compliance & Ethics Essentials Workshop is a four-day virtual conference dedicated to helping you develop and improve your compliance skills. Our instructors are industry leaders that will guide you through core subject areas and help you build a foundation for your compliance career.

Learning objectives

- Introduction and background to compliance and ethics programs
- Standards and procedures
- Governance, oversights, and authority
- Risk assessment
- Due diligence in delegation of authority
- Communication and training
- Incentives and enforcement
- Monitoring, auditing, and reporting systems
- Investigations
- Response to wrongdoing
- Program improvement
- Overview of FCPA, UK bribery, conflict of interest, and privacy and data security
- Key skills necessary for compliance professionals

Who should attend?

- Compliance officers
- Internal auditors
- Data privacy personnel
- Regulatory compliance specialists
- In-house or external compliance lawyers
- Compliance students
- Compliance analysts
- Compliance assistants
- Compliance specialists
- Compliance coordinators
- Compliance administrators

Our instructors

Tiffany Archer, JD
Global Head of Compliance,
Risk & Privacy
Pall Corporation

Jeffrey Driver, CHC, CHRC,
CCEP-I, JD
Professor of Regulatory
& Innovation Sciences
Arizona State University

Wendy Evans, CCEP, CFE
Senior Manager Ethics
Core Programs
Lockheed Martin

Andrea Falcione, CCEP, JD
Chief Ethics and
Compliance Officer &
Head of Advisory Services
Rethink Compliance

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

Rebecca Walker, JD
Partner
Kaplan & Walker LLP

Christian Whicker, CCEP
Director, Corporate Compliance
Duke Energy

Gerry Zack, CCEP, CFE, CIA, CPA
CEO
SCCE & HCCA
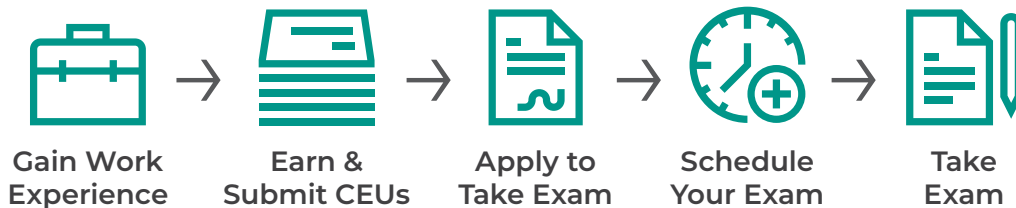
Instructors subject to change

Become certified

Demonstrate your knowledge, gain credibility, and enhance your career with a Compliance Certification Board (CCB)® certification.

While there is no substitute for experience, this course covers compliance and ethics essentials and the continuing education units (CEUs) needed to help you prepare for your certification exam.

CCEP®
CERTIFIED COMPLIANCE & ETHICS PROFESSIONAL

CCEP-I®
CERTIFIED COMPLIANCE & ETHICS PROFESSIONAL-INTERNATIONAL

Follow these 5 steps to certification

Gain Work Experience → Earn & Submit CEUs → Apply to Take Exam → Schedule Your Exam → Take Exam

Take your exam online!

CCB now offers a remote proctored exam option.
For more information, visit corporatecompliance.org/exam-info.

Learn more
corporatecompliance.org/certification

CCB✓®
COMPLIANCE
CERTIFICATION BOARD

Agenda Compliance & Ethics Essentials Workshop

All sessions listed are basic education level. Agenda times are listed in Central Time (CT). Agenda and instructors are subject to change.

MONDAY / DAY ONE

8:55 – 9:00 AM CT — **Welcome and Introduction**

9:00 – 10:15 AM CT — **Intro and Background to Compliance and Ethics Programs**
- History and evolution of compliance and ethics programs
- Introduction to the required elements of a compliance and ethics program
- Expectations of enforcement and regulators

10:15 – 10:30 AM CT — **Conference Break**

10:30 AM – 12:00 PM CT — **Standards and Procedures**
- Understanding the importance of written standards including policies, procedures, and the Code of Conduct
- Form, function, and maintenance of written standards of conduct to support the compliance program
- Types and purposes of written standards and procedures

12:00 – 12:45 PM CT — **Mid-Conference Break**

12:45 – 2:15 PM CT — **Governance, Oversight, and Authority**
- Compliance responsibilities at each level of an organization
- Positioning and structure of the compliance function
- Relationship with the board of directors

TUESDAY / DAY TWO

9:00 – 9:50 AM CT — **Risk Assessment: Part 1**
- Performing compliance risk assessments
- Risk criteria to consider
- Design and implementation of risk responses

9:50 – 10:00 AM CT — **Conference Break**

10:00 – 11:00 AM CT — **Risk Assessment: Part 2**
- Performing compliance risk assessments
- Risk criteria to consider
- Design and implementation of risk responses

11:00 – 11:15 AM CT — **Conference Break**

11:15 AM – 12:30 PM CT — **Due Diligence in Delegation of Authority**
- Identifying who has important compliance responsibilities
- Issues with employee background checks
- Due diligence for vendors and other third parties

12:30 – 1:15 PM CT — **Mid-Conference Break**

1:15 – 2:30 PM CT — **Communication and Training**
- Risk-based identification of training needs
- Development and delivery of compliance training
- Compliance and ethics-related communications

2:30 – 3:30 PM CT — **Optional Networking Hour**
Use this hour to interact and engage with fellow attendees and instructors.
Recap the last two days, ask questions, and make connections.

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WEDNESDAY / DAY THREE

9:00 – 10:15 AM CT

Incentives and Enforcement
- Active promotion of the compliance and ethics program
- Use of incentives to encourage compliance
- Discipline for identified wrongdoing

10:15 – 10:30 AM CT

Conference Break

10:30 – 11:30 AM CT

Monitoring, Auditing, and Reporting Systems: Part 1
- Understanding the essential aspects of auditing and monitoring
- Developing the compliance auditing and monitoring plan
- Techniques and approaches to auditing and monitoring

11:30 – 11:45 AM CT

Conference Break

11:45 AM – 12:45 PM CT

Monitoring, Auditing, and Reporting Systems: Part 2
- Understanding the essential aspects of auditing and monitoring
- Developing the compliance auditing and monitoring plan
- Techniques and approaches to auditing and monitoring

12:45 – 1:30 PM CT

Mid-Conference Break

1:30 – 2:45 PM CT

Investigations
- Key steps in performing compliance investigations
- Conducting effective interviews and gathering evidence
- Concluding and reporting on investigations

THURSDAY / DAY FOUR

9:00 – 10:15 AM CT

Response to Wrongdoing
- Actions to take when wrongdoing is discovered
- Performing root cause analysis
- Designing and implementing remediation actions

10:15 – 10:30 AM CT

Conference Break

10:30 – 11:30 AM CT

Program Improvement
- Methods of assessing performance of the compliance and ethics program
- Focus on continuous improvement of the program
- Internal vs. third party assessments

11:30 AM – 12:00 PM CT

Mid-Conference Break

12:00 – 1:15 PM CT

Hot/Common Compliance Issues
- Overview of FCPA, UK Bribery, and other anticorruption laws
- Privacy and data security issues, including cybersecurity
- Conflicts of interest

1:15 – 1:30 PM CT

Conference Break

1:30 – 2:30 PM CT

What Is Next for Me and My Program?
- Key skills necessary for compliance professionals
- Taking action to have a successful career in compliance
- Applying what you have learned to your compliance program

2:30 – 3:30 PM CT

Optional Networking Hour
Use this hour to interact and engage with fellow attendees and instructors.
Recap the last two days, ask questions, and make connections.

Compliance & Ethics Essentials Workshop

 SCCE

SECTION 1 Attendee Information

○ Mr ○ Mrs ○ Ms ○ Dr ○ Other _____

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

Compliance & Ethics Essentials Workshops

☐	February 6–9, 2023 • Virtual • Central Time (CT)
☐	May 15–18, 2023 • Virtual • Central Time (CT)
☐	September 18–21, 2023 • Virtual • Central Time (CT)
☐	December 4–7, 2023 • Virtual • Central Time (CT)

Registration FAQs: Visit corporatecompliance.org/faqs-essentials-workshops for answers to frequently asked questions (FAQs) about your registration.

SCCE Membership: By selecting Registration + First-Time Membership, you agree to the full membership terms and conditions, including the use of your information, viewable at corporatecompliance.org/membership-terms-and-conditions. Visit corporatecompliance.org/privacy to see the full use of your information or to opt out.

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

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

Options

☐	Member	$915
☐	Non-Member	$1,215
☐	Registration + First-Time Membership*	$1,140

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

Group Discount

☐	Group Discount for 3–9**	($50)
☐	Group Discount for 10 or More**	($100)

**Subtract the discount amount from your registration price.

TOTAL (BEFORE ANY APPLICABLE TAXES) $ _____

Group Discount: Registration for group discounts should be submitted online in one transaction. If your registrations include a Registration + First-Time Membership, please contact Member Services for assistance. 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. If submitting via email or mail, registration forms (one for each participant) must be sent together to ensure the discount is applied.

SECTION 3 Payment

Register online with credit card payment at corporatecompliance.org/essentials

Mail a check to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA (contact SCCE for applicable tax and total)

☐ Invoice me   Purchase Order Number (attach PO) _____

☐ Wire transfer requested

To register with a check, wire transfer, or purchase order, or to pay with a credit card over the phone, please contact SCCE for an invoice with applicable taxes. Due to PCI compliance, do not provide credit card information via email.

Registration is not complete until full payment is received. Tax may apply. Access to the event will not be allowed until all fees have been paid. SCCE reserves the right to cancel your registration if we do not receive payment by the start date of the event. Payments received with incorrect amounts will be returned.

Email helpteam@corporatecompliance.org or call SCCE at +1 952.933.4977 or 888.277.4977.

SECTION 4 Acknowledgements

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

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.