

**VIRTUAL**

# Compliance Risk Assessment and Management

June 26-27, 2023

September 27-28, 2023 CT

December 12-13, 2023 CT

Get guidance and insights from experienced compliance professionals on how to conduct more effective risk assessments. You'll explore global regulatory expectations, risk identification strategies, and how to design.

**Register**  
[corporatecompliance.org/cram](https://corporatecompliance.org/cram)



**SCCE**<sup>®</sup>  
Society of Corporate  
Compliance and Ethics



**HCCA**<sup>®</sup>  
Health Care Compliance  
Association

# About

SCCE's Compliance Risk Assessment and Management is a virtual workshop designed to help you perform more thorough and effective risk assessments—an essential element of any compliance and ethics program. Whether your organization already has a mature model in place or is just beginning its journey, you'll explore strategies for identifying inherent risks to your organization and evaluating issues within your system of processes and procedures.

Speakers will offer guidance and insights on a variety of risk-based topics and will utilize numerous examples to illustrate key principles. You'll even get the opportunity to work through exercises and examples from an industry of your choice, such as healthcare, manufacturing, sales, and more.

*This workshop is open to all but is best suited for intermediate professionals with some compliance experience.*

## Key topics

- Risk assessment: introduction, definitions, and objectives
- Identification of compliance risks
- Assessing the severity of compliance risks
- The roles of risk appetite and tolerance
- Reviewing the effectiveness of internal controls over compliance
- Design and implementation of risk response/ remediation plans
- Completing the compliance risk management cycle
- Final considerations, integration with organizational risk management, etc.

# Compliance Risk Assessment and Management



## Who should attend?

- Compliance professionals
- Risk professionals
- Internal auditors
- External compliance advisors

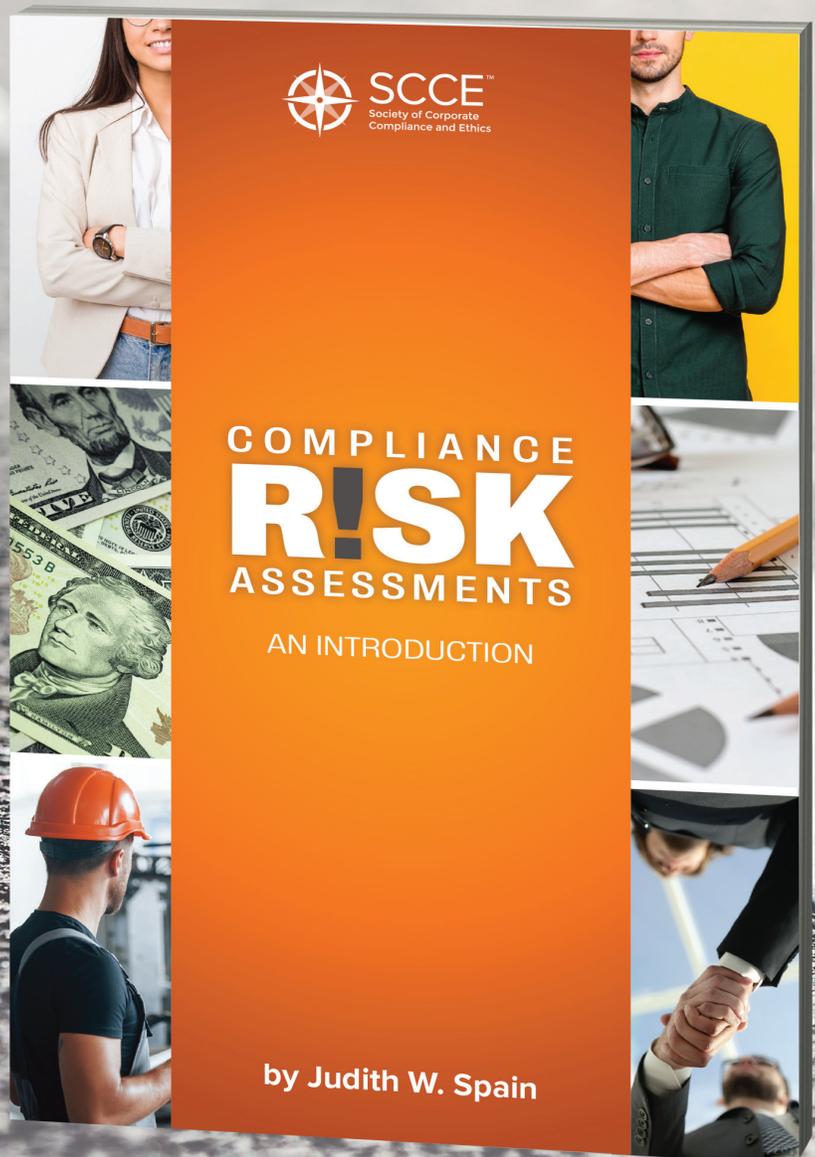
## SCCE's mission

SCCE exists to champion ethical practices and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.

# Your guide to defining, assessing, and addressing risk

This book walks you through the compliance risk assessment process step by step.

Learn how to build a robust process, avoid common pitfalls, and work towards continuous improvement.



Learn more  
[corporatecompliance.org/risk-intro](https://corporatecompliance.org/risk-intro)



### Day 1

9:00–10:15 AM (CT)

#### Introduction

Level: Basic

Greg Triguba, Principal, Compliance Integrity Solutions, LLC

- Identify the expectations for and value of compliance risk assessments
- Define key terms and concepts associated with compliance risk management
- Identify the key elements of a compliance risk management cycle
- Identify key practice objectives, relationships, and frameworks that can be applied to the management of compliance risks

10:15–10:30 AM (CT)

#### Break

10:30–11:45 AM (CT)

#### Identification of Compliance Risks

Level: Intermediate

Greg Triguba, Principal, Compliance Integrity Solutions, LLC

- Identify compliance risks and define a risk universe
- Classify and group identified compliance risks and create a risk inventory
- Leverage risk identification methodologies to effectively identify and manage risk

11:45 AM–12:45 PM (CT)

#### Mid-Conference Break

12:45–2:00 PM (CT)

#### Risk Appetite and Tolerance

Level: Intermediate

Caroline McMichen, Strategic Advisor, SAI360 and Principal, McMichen Consulting LLC

- Define risk appetite and tolerance
- Understand how they are established by an organization and how they inform business strategy and objective-setting
- Apply these concepts to compliance and ethics risks, risk management, and mitigation

2:00–2:15 PM (CT)

#### Break

2:15–3:45 PM (CT)

#### Assessing Severity

Level: Intermediate

Robin Moreno, Director of Compliance and Privacy, Texas Health Resources

- Identify and define the factors that comprise risk severity
- Identify and implement different methods for assessing risk severity
- Apply techniques for assessing the severity of compliance risks to real-world scenarios
- Identify techniques for enhancing your risk assessment process using more advanced techniques

### Day 2

9:00–10:30 AM (CT)

#### Assessing Internal Controls over Compliance

Level: Intermediate

Caroline McMichen, Strategic Advisor, SAI360 and Principal, McMichen Consulting LLC

- Differentiate between the different types of internal controls
- Differentiate between design and operating effectiveness of internal controls
- Design and develop tests to measure the design and effectiveness of internal controls over compliance
- Differentiate between monitoring and auditing of internal controls

10:30–10:45 AM (CT)

#### Break

10:45 AM–12:00 PM (CT)

#### Risk Response and Mitigation

Level: Intermediate

Robin Moreno, Director of Compliance and Privacy, Texas Health Resources

- Assess whether a response is necessary based on target and actual risk
- Differentiate between preventive and detective controls over compliance
- Design an appropriate response based on the results of a compliance risk assessment
- Implement and follow up on a risk response plan

12:00–1:00 PM (CT)

#### Mid-Conference Break

1:00–2:00 PM (CT)

#### Supporting COSO ERM Principles with Best Practices in C & E Programs

Level: Intermediate

Caroline McMichen, Strategic Advisor, SAI360 and Principal, McMichen Consulting LLC

- Discuss the principles of ERM as defined by COSO and their relationship to the requirements for an effective Compliance and Ethics program
- Identify compliance and ethics program activities and best practices that help an organization meet those objectives

2:00–2:15 PM (CT)

#### Break

2:15–3:15 PM (CT)

#### Continuous Improvement and Best Practices

Level: Intermediate

Robin Moreno, Director of Compliance and Privacy, Texas Health Resources

- Identify drivers of compliance risk in your organization
- Identify and apply techniques for creating a risk-aware culture
- Apply the concepts covered in this workshop to improve the compliance risk assessment and management processes in your organization

# Compliance Risk Assessment and Management

June 26-27, 2023, September 27-28, and December 12-13, 2023 • CT • Virtual



## 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 Risk Assessment and Management

<input type="checkbox"/>	June 26-27, 2023 • Virtual • Central Time (CT)
<input type="checkbox"/>	September 27-28, 2023 • Virtual • Central Time (CT)
<input type="checkbox"/>	December 12-13, 2023 • Virtual • Central Time (CT)

**Registration FAQs:** Visit [corporatecompliance.org/faqs-virtual](http://corporatecompliance.org/faqs-virtual) 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](http://corporatecompliance.org/membership-terms-and-conditions). Visit [corporatecompliance.org/privacy](http://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

<input type="checkbox"/>	Member	\$489
<input type="checkbox"/>	Non-Member	\$609
<input type="checkbox"/>	Registration + First-Time Membership*	\$714

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

### Group Discount

<input type="checkbox"/>	Group Discount for 3-9**	(\$25)
<input type="checkbox"/>	Group Discount for 10 or More**	(\$40)

\*\*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

Online registration with credit card payment at [corporatecompliance.org/cram](http://corporatecompliance.org/cram)

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](mailto: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](http://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](http://corporatecompliance.org/privacy) to see the full use of your information or to opt out.

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