

# Compliance Auditing & Monitoring Workshop

VIRTUAL

Go deep into the auditing and monitoring process and come away armed with best practices to implement within your organization.

## 2024 Workshops

January 11–12

August 1–2

November 21–22

*Workshops are held in Central Time (CT)*

Register at least **28** days before the workshop for early bird savings!

Learn more  
[corporatecompliance.org/auditing](https://corporatecompliance.org/auditing)



# Agenda Compliance Auditing & Monitoring Workshop

## DAY ONE

9:00 – 10:00 AM

### Introduction and Expectations for Compliance Auditing & Monitoring

James Rose, Managing Director, SunHawk Consulting, LLC

- Understand where auditing & monitoring fit within an effective compliance & ethics program
- Identify legal and regulatory expectations for auditing and monitoring
- Identify and apply useful frameworks for auditing and monitoring

10:00 – 10:15 AM

### Break

10:15 – 11:15 AM

### Planning Considerations: Part 1

Jim Passey, Senior Vice President Corporate Responsibility | Chief Corporate Responsibility Officer, AdventHealth

- Design of a risk-based auditing and monitoring plan
- Scope and frequency considerations
- Understand documentation considerations

11:15 – 11:30 AM

### Break

11:30 AM – 12:45 PM

### Planning Considerations: Part 2

James Rose, Managing Director, SunHawk Consulting, LLC

- Understand the types of procedures and approaches to auditing and monitoring
- Differentiate and design tests of controls and substantive tests
- Sampling considerations

12:45 – 1:30 PM

### Lunch Break

1:30 – 2:45 PM

### Use of Data and Analytics in Compliance Auditing & Monitoring

Elizabeth Simon, Vice President, Compliance, Property Management

- Design of effective compliance data analytics targeting specific risks
- Detecting red flags of compliance or internal control failures
- Following up on the results of analytics

2:45 – 3:00 PM

### Break

3:00 – 4:00 PM

### Dealing with Modifications to the Audit Plan

Jim Passey, Senior Vice President Corporate Responsibility | Chief Corporate Responsibility Officer, AdventHealth

- Scope limitations and other difficulties encountered
- Understanding when to expand the scope and how to avoid scope creep
- Handling surprise findings, including understanding when to escalate to an investigation

# Agenda Compliance Auditing & Monitoring Workshop

## DAY TWO

9:00–10:00 AM

### Audits of Third Parties

Miaja Cassidy, U.S. Compliance Officer, Cassidy Compliance, LLC

- Audits rights clauses in contracts and access to information
- Methods and planning considerations
- Dealing with findings and other problems

10:00–10:15 AM

### Break

10:15–11:30 AM

### Reporting and Corrective Action Plans

Elizabeth Simon, Vice President, Compliance, Property Management

- Format and key elements to include in a report
- Reaching agreement and following up on corrective action
- Following up on findings and results of auditing and monitoring

11:30 AM–12:15 PM

### Lunch Break

12:15–1:30 PM

### Subjective Considerations in Auditing and Monitoring

Jim Passey, Senior Vice President Corporate Responsibility | Chief Corporate Responsibility Officer, AdventHealth

- Dealing with resistance to scope, findings, and outcomes
- Collaboration and negotiation on audit process and outcomes
- Communicating auditing & monitoring activities to process owners and other stakeholders

1:30–1:45 PM

### Break

1:45–3:00 PM

### Final Considerations

Miaja Cassidy, U.S. Compliance Officer, Cassidy Compliance, LLC

- Assessing the effectiveness of the compliance and ethics program
- Assessing organizational culture, culture audits, etc.
- Focus on continuous improvement

## 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 Auditing & Monitoring Workshops

<input type="checkbox"/>	January 11–12 • Virtual • Central Time (CT)	Price increase 12/15/23
<input type="checkbox"/>	August 1–2 • Virtual • Central Time (CT)	Price increase 7/4/24
<input type="checkbox"/>	November 21–22 • Virtual • Central Time (CT)	Price increase 10/24/24

**Registration FAQs:** Visit [corporatecompliance.org/faqs-essentials-workshops](http://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](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

	Early Bird*	Regular Price
<input type="checkbox"/> Member	\$499	\$549
<input type="checkbox"/> Registration + First-Time Membership**	\$724	\$774
<input type="checkbox"/> Non-Member	\$629	\$679

\*Early Bird: pricing increases 28 days prior to the start of the event. See dates of price increases at left.  
\*\*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

**Register online** with credit card payment at [corporatecompliance.org/auditing](http://corporatecompliance.org/auditing)

**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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