Higher Education Compliance Conference

June 9–12, 2019 • Orlando, FL

Gain the knowledge and insights you need to create and support an effective compliance and ethics program at your institution.

Get two conferences for the price of one: Complimentary access to HCCA's Research Compliance Conference is included with your registration.



corporatecompliance.org/highered



About

Higher education has a unique set of compliance challenges. Find out how to meet them at the Higher Education Compliance Conference. Find out about emerging risks, share best practices, and make valuable industry connections.

With your registration you will also gain admittance to the HCCA Research Compliance Conference, held at the same time in the same location.

Who Should Attend?

Past attendees have included all types of compliance professionals who work in higher education, including:

- Compliance & ethics officers
- Academic compliance managers
- Title IX compliance officers
- IT compliance directors and managers
- CFOs, accountants, and others in finance
- Internal auditors
- University privacy officers
- General counsel

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.

Why You Should Attend?

This yearly conference offers ample opportunities for attendees to:

- Learn how to increase the effectiveness of your institution's compliance program.
- Discuss emerging risks and issues with your colleagues.
- Share best practices for compliance in higher education.
- Build valuable relationships with other compliance professionals.

Contact Us

Please visit us online at **corporatecompliance.org** to learn more about the Conference and SCCE's other programs.

Conference questions? catherine. stollenwerk@corporatecompliance.org

EARN YOUR CERTIFICATION

Certified Compliance & Ethics Professional (CCEP)®

Learn more about the CCEP certification at corporatecompliance.org/certifications/become-certified

Take the CCEP Certification Exam on-site after the conference

Wednesday, June 12 | 12:30 PM

\$275 SCCE MEMBERS OR \$375 NON-MEMBERS

To apply, complete the online application or download the CHRC exam application from corporatecompliance.org/highered. Questions? Email ccb@compliancecertification.org. Twenty CCB CEUS are required to sit for the exam. For Higher Education Compliance Conference sessions, one clock hour equals 1.2 CCB/CEUs.

Program at a Glance

Sunday, June 9 / Pre-Conference

12:00 – 5:30 PM	Registration Open				
1:00 – 2:30 PM BREAKOUT SESSIONS PRE-CONFERENCE	P1 Title IX Compliance Strategies for Smaller Institutions — Elaine M. Kneebone, General Counsel, Henderson State University; Allison Vetter, Title IX Investigator & Education Coordinator, Hendrix College	P2 University Student Health Centers: Where They Fit Into Your Compliance Program – C.J. Wolf, Senior Compliance Executive, Healthicity; Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California, Merced			
2:30 – 2:45 PM	Networking Break				
2:45 – 4:15 PM BREAKOUT SESSIONS PRE-CONFERENCE	P3 Drones: Up, Up, and Away – Marcy R. Huey, Executive Director of Institutional Compliance, The University of Alabama; Katy Galloway, Compliance Coordinator, The University of Alabama	P4 Before ICE Comes Knocking - Strategies to Address the Delicate Intersection of Increased Enforcement and SEVP Compliance – Julie Myers Wood, CEO, Guidepost Solution LLC; Dawn Lurie, Senior Counsel, Seyfarth Shaw LLP			
4:15 – 5:30 PM	Welcome Reception				

Monday, June 10 / Conference

7:00 AM - 6:00 PM	Registration Open				
7:00 – 8:00 AM	Breakfast				
8:00 – 8:15 AM	Opening Remarks				
8:15 – 9:15 AM	General Compliance Session: Higher Education Compliance: 2018-19 Year in Review — Marisa Zuskar, Higher Ed Consulting Sr. Director, Huron Consulting Group; Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California, Merced				
9:15 – 9:45 AM	Networking Break with Exhibitors				
9:45 – 10:45 AM BREAKOUT SESSIONS	ONS		103 Human Resources Compliance - An uncommon approach at the University of California — Jennifer Damico Murphy, Director - HR Compliance, Reporting & Analytics, University of California		
10:45 – 11:00 AM	Networking Break				
11:00 AM – 12:00 PM BREAKOUT SESSIONS	201 We Supercharged Our Compliance Learning and Development Program, YOU CAN TOO – Jeneeta C. O'Connor, Deputy Compliance Officer, The Research Foundation for SUNY; Joshua B. Toas, Chief Compliance Officer, The Research Foundation for SUNY	202 Getting the most from your Hotline Program: Leveraging the Data to Gain Key Insights into Your Institutional Culture – Joseph Agins, Compliance Officer, Sam Houston State University	DISCUSSION GROUP* DG203 The US News & World Report Effect – John Powers, Director, PwC		
12:00 – 1:00 PM	Lunch				
1:00 – 2:00 PM BREAKOUT SESSIONS	301 Think Outside the Box: Compliance Collaborative for Multiple Private Colleges and Universities — Judith W. Spain, Professor, Business Law, Eastern Kentucky University; Lisa Macke, Vice President, Member Services, Georgia Independent College Association	302 An Ethical Journey — Deborah A. O'Connor, Director Campus Compliance/Privacy Officer, University of Colorado - Colorado Springs; Kathleen A. Sutherland, Audit Manager-Compliance, Department of Internal Audit, University of Colorado	303 Developing a Program for Controlled Unclassified Information (CUI) – Kenneth J. Liddle, Chief Compliance Officer, Rice University; Kevin Gamache, Chief Research Security Officer, Texas A&M System; Justin Williams, Senior Manager, Deloitte Advisory Cyber Risk		
2:00 – 2:30 PM	Networking Break with Exhibitors				
2:30 – 3:30 PM BREAKOUT SESSIONS	401 Minors on Campus: It's More than Child's Play — Alysa C. Rollock, VP for Ethics and Compliance, Purdue University; Deborah B. Trice, Director of Compliance & Associate Counsel, Student Affairs, Purdue University; Gina Maisto Smith, Partner, Cozen O'Connor	402 Leveraging Partnerships and Technology to Enhance Your Institution's Compliance Program – Dorinda Tucker, Assistant Vice President for Ethics, Compliance and Risk and the Data Privacy Officer, George Washington University; Kimberly Macedo, Senior Manager, Baker Tilly	403 'Seriously, again already?' – Donna McNeely, University Ethics Officer, University of Illinois; Traci Rolf, Associate Director of University Ethics, University of Illinois		
3:30 – 3:45 PM	Networking Break				
3:45 – 4:45 PM	General Compliance Session: Civil Rights Enforcement at the U.S. Department of Education – Kenneth L. Marcus, Assistant Secretary for Civil Rights				
4:45 – 6:00 PM	School Spirit Networking Reception				

Program at a Glance

Tuesday, June 11 / Conference

7:00 AM – 4:30 PM	Registration Open					
7:00 – 8:00 AM	Breakfast					
8:00 – 8:15 AM	Opening Remarks					
8:15 – 9:15 AM	General Compliance Session: Compliance as a Change Agent – John Powers, Director, PwC; Jeffrey I. Chasen, Associate Vice Provost, The University of Kansas					
9:15 – 9:45 AM	Networking Break with Exhibitors					
9:45 – 10:45 AM BREAKOUT SESSIONS	501 Campus Wide Policy Management System: Lessons from the Trenches – Marcy R. Huey, Executive Director of Institutional Compliance, The University of Alabama; Jennifer Clark, Institutional Compliance Coordinator, The University of Alabama	502 Gift Acceptance: Balancing University Priorities with Donor Intent — Julian Williams, Vice President for Compliance, Diversity and Ethics for George Mason University; Colleen Lewis, Manager, Baker Tilly	DISCUSSION GROUP* DG503 Saying No to Power: A Must-Have Skill for a Compliance Officer – Joshua B. Toas, Chief Compliance Officer, The Research Foundation for SUNY			
10:45 – 11:00 AM	Networking Break					
11:00 am – 12:00 pm	601 Teamwork: The Relationship Between Compliance Officers, In-House Counsel, and Outside Counsel during Internal Investigations – Laurel Gift, Chair and Partner, Schnader Harrison Segal & Lewis LLP, Criminal Defense and Internal Investigations Practice; Dustin Gray, Senior Associate Athletics Director for Administration, University of Pittsburgh; Richard Holmes, Senior Associate Legal Counsel, University of Pittsburgh	602 Fighting Fraud and Corruption in Higher Education – MaryJo Kranacher, ACFE Endowed Professor of Fraud Examination, York College, City University of New York	603 International Programs and the FCPA Survival Guide - Anywhere We Can Fly, We Can Comply – Kenneth J. Liddle, Chief Compliance Officer, Rice University; Alexander (Sandy) R. Bilus, Partner, Saul Ewing Arnstein & Lehr LLP; Justin C. Danilewitz, Partner, Saul Ewing Arnstein & Lehr LLP			
12:00 – 1:00 PM	Lunch					
1:00 – 2:00 pm BREAKOUT SESSIONS	701 Concern Reporting: Leveraging Reporting to Drive Integrity Culture – Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University	702 Unique Challenges for HIPAA Compliance Within a University Hybrid Entity: How to Manage Privacy Requirements if You Do Not Have an AMC – Hila Berger, Compliance Officer, Montclair State University	703 Get the PCI DSS Compliance Program You Need – Carolann G. Lazarus, IT Audit Manager, University at Buffalo			
2:00 – 2:15 PM	Networking Break					
2:15 – 3:15 PM BREAKOUT SESSIONS	801 Creating a Successful Title IX Compliance Program — Thomas Shanahan, General Counsel, University of North Carolina System; Josh Whitlock, Partner, Parker Poe; Mary Gower, Chief Title IX Officer, University of Alaska System	802 Compliance By Wandering Around (CBWA): Simple Solutions to Improving the Value and Effectiveness of Your Compliance Program – Joseph Agins, Compliance Officer, Sam Houston State University	803 Re-inventing a Code of Conduct: A Case In Civility – Susan C. Buskirk, Associate Vice President Deputy Accountability Officer, University of Maryland, Baltimore Office of Accountability and Compliance; Stephanie N. Suerth, Education & Outreach Program Manager University of Maryland, Baltimore			
3:15 – 3:30 PM	Networking Break					
3:30 – 4:30 PM		nnce Session: From the Big Easy to the Big Ten and Universities — Jonathan Aronie, Partner, Shepp				

Wednesday, June 12 / Post-Conference

0.00 44.45					
8:00 – 11:45 AM	Registration Open				
8:30 – 10:00 AM BREAKOUT SESSIONS POST-CONFERENCE	W1 Commercialization and Conflicts: How Values Can Drive Simplification – Jessica Tobias, Ethics Director and Compliance Investigator, The Ohio State University; Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University	W2 Trends and Updates in Federal Student Loan Fraud Investigations – Scott Grubman, Partner, Chilivis Cochran			
10:00 – 10:15 AM	Networking Break				
10:15 – 11:45 AM BREAKOUT SESSIONS POST-CONFERENCE	W3 The Office of the Chief Privacy Officer: Leading Practices from Research Universities – Holly B. Benton, Duke Privacy, Duke University Office of Audit, Risk and Compliance; Ben Wright, Director, PricewaterhouseCoopers	W4 How to Take an Integrated Approach to Compliance in a World of Uncertainty – Steven Minsky, CEO and Founder, LogicManager; Sheryl A. Ireland, Director, Ethics and Compliance Program Office, University of California, Merced; Jody Gonzalez, Compliance Analyst, University of California, Merced			
12:30 РМ	CCEP Exam Check-in				
12:45 – 3:15 PM	Certified Compliance & Ethics Professional (CCEP)® exam (optional)				

Sunday, June 9

Pre-Conference

12:00 - 5:30 PM Registration Open

1:00-2:30 PM **Breakout Sessions**

P1 Title IX Compliance Strategies for Smaller Institutions



Elaine M. Kneebone, General Counsel, Henderson State University



Allison Vetter, Title IX Investigator & Education Coordinator, Hendrix College

- Compliance with Title IX and VAWA poses extra challenges for smaller institutions to manage the multitude of obligations on smaller budgets and with less staff.
- Learn how one institution built a Title IX and VAWA compliance program from the ground up.
- Take away ideas for maximizing limited resources. Hear about an innovative institutional framework that simplifies processes and enhances compliance.

P2 University Student Health Centers: Where They Fit Into Your Compliance Program



Senior Compliance Executive, Healthicity



Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California, Merced

- · What can traditional healthcare compliance programs offer university student health centers' compliance programs.
- · How can the student health center fit into the overall university compliance program?
- · FERPA, HIPAA, Drug Diversion, Coding, Billing, Reimbursement and other possible risk areas found in the student health center.

2:30 - 2:45 PM **Networking Break**

2:45-4:15 PM **Breakout Sessions**

P3 Drones: Up, Up, and Away



Marcy R. Huey, **Executive Director of** Institutional Compliance, The University of Alabama



Katy Galloway, Compliance Coordinator, The University of Alabama

- · Managing drones can be more complicated than most people expect.
- · It is important to meet the needs of faculty and students while also mitigating the risks to the institution and reconciling safety concerns.
- The changing regulatory climate means a one size fits all approach won't work. You must have adaptive policies and procedures to meet campus needs.

P4 Before ICE Comes **Knocking - Strategies** to Address the Delicate Intersection of Increased **Enforcement and SEVP** Compliance



Julie Myers Wood, CEO. **Guidepost Solution LLC**



Dawn Lurie, Senior Counsel. Seyfarth Shaw LLP

- · Understanding the changing regulations, increasing scrutiny-and why higher education institutions need to be more vigilant than ever before in tracking their foreign students and employees.
- Hear best practices and creative strategies on pain points including electronic I-9 compliance, recording auto extensions and conducting productive I-9 audits.
- · Learn proactive tactics to ensure ongoing compliance and to prepare for school and visa related site visits.

4:15 - 5:30 PM Welcome Reception

Monday, June 10

Conference

7:00 AM - 6:00 PMRegistration Open

7:00 - 8:00 AMBreakfast

8:00 - 8:15 AM **Opening Remarks**

8:15 - 9:15 AM

General Compliance Session: **Higher Education Compliance:** 2018-19 Year in Review



Marisa Zuskar, Higher Ed Consulting Sr. Director, Huron Consulting Group



Luanna Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of California, Merced

- · Provide a Year-In-Review perspective of Higher Education Compliance, as well as what the current environment and the past year suggest for the changes to come in 2020 and beyond.
- Recap major changes in the regulations impacting higher education and significant 'current events' impacting higher education, with a focus on the response of the impacted institution, the industry and the community at large.
- Cover the broad spectrum of higher education compliance areas including student administration, research and federal contracting, the First Amendment and controversial speakers on campus, Title IX, immigration, technology and data protection, etc. as well as compliance program models for higher education.

9:15 - 9:45 AM

Networking Break with **Exhibitors**

9:45-10:45 AM

Breakout Sessions

101 Don't Let Your Pull Push You Off the Rails



Stephanie N. Suerth, Education & Outreach Program Manager, University of Maryland, Baltimore



Susan C. Buskirk, Associate Vice President Deputy Accountability Officer, University of Maryland, Baltimore Office of Accountability and Compliance

- As part of an open and accessible compliance program, communication is key. Capitalize on two-way communication without letting feedback derail your messaging. Discuss how thoughtful planning allows for timely and adaptive versus reactive communication.
- Compliance addresses a wide range of issues. Despite the disparate audiences and topics, communication needs to be consistent and accessible to achieve a multiplier effect of overall compliance awareness and specific messaging.
- Learn how to promote your mission: establish compliance as an effective, collaborative, and valued partner for organizational success.

102 Don't Bite Off More Than You Can Chew: Taking a Risk-Based Approach to GDPR Compliance and Key Tools to Help You Get There



David E. Grogan, Associate Director of University Compliance, University of Illinois



Megan Stoll, Assistant University Counsel, University of Illinois

- Why do we care about a European regulation? We'll discuss the GDPR and its innovative privacy provisions, and how they might affect you.
- We'll share the risk-based approach we used to tackle GDPR compliance: develop assumptions, identify stakeholders and impacted areas, and formulate a game plan.
- Need tools to kick-start your efforts? We'll share our tools (e.g., sponsored research workflows/decision trees, GDPR privacy notice, notice/consent templates) and discuss implementation.

103 Human Resources Compliance - An uncommon approach at the University of California



Jennifer Damico Murphy, Director - HR Compliance, Reporting & Analytics, University of California

- The University of California has a Compliance office embedded within the Systemwide Human Resources leadership team in order to promote a culture of greater accountability, manage risks, and build trust across the HR organization.
- This approach has advantages for collaboration when implementing important compliance efforts. It also creates challenges as the scope of responsibilities of the unit can blur across the HR and Compliance functions.
- In this presentation we will review the scope of our efforts, some achievements to date, discuss some of the challenges, and talk about how we leverage data to support our role within the organization.

10:45 – 11:00 AM Networking Break

11:00 – 12:00 PM Breakout Sessions

201 We Supercharged Our Compliance Learning and Development Program, YOU CAN TOO



Jeneeta C. O'Connor, Deputy Compliance Officer, The Research Foundation for SUNY



Joshua B. Toas, Chief Compliance Officer, Research Foundation for SUNY

- Placing greater emphasis on education and training in order to maintain an effective compliance & ethics program.
- Operating a learning and development program in a decentralized environment: Leveraging your compliance champions across the system to eliminate the one size fits all approach.
- Delivering multifaceted training on a shoestring budget: Using tech to bring your training to life and tips for delivering engaging presentations.

202 Getting the most from your Hotline Program: Leveraging the Data to Gain Key Insights into Your Institutional Culture



Joseph Agins, Compliance Officer, Sam Houston State University

- How your hotline program data can help you to understand the ethical culture of your institution.
- Using the data to zero-in on hotspots and stamp out fires before they get too big.
- Benchmarking your results against the industry to measure success and identify areas for improvement.

DISCUSSION GROUPS

Discussion Groups are limited to 50 attendees and open on a first-come, first-served basis.

DG203 The US News & World Report Effect



John Powers, Director, PwC

- An in-depth look at the submission and reporting processes for institutional statistics and data and its relationship with compliance.
- Identify key compliance risks and issues that should be addressed when distributing or publishing institutional statistics.
- Define best practices for managing the collection and distribution of this information for both strategic and compliance purposes.

12:00 – 1:00 PM Lunch

1:00- 2:00 PM Breakout Sessions

Agenda

301 Think Outside the Box: Compliance Collaborative for Multiple Private Colleges and Universities



Judith W. Spain, Professor, Business Law, Eastern Kentucky University



Lisa Macke, Vice President, Member Services, Georgia Independent College Association

- · Learn how the Georgia Independent College Association developed, launched, and sustained a Compliance Collaborative for multiple private colleges and universities.
- Explore how the Compliance Collaborative expanded from hiring a Compliance Coordinator to initially focus on Title IX, ADA, and VAWA to presently addressing a wide variety of compliance issues encountered on the campuses.
- With the Compliance Collaborative in its third year discuss the lessons learned and identify how you could develop a compliance collaborative with similarly situated campuses.

302 An Ethical Journey



Deborah A. O'Connor, Director Campus Compliance/ Privacy Officer, University of Colorado - Colorado Springs



Kathleen A. Sutherland, Audit Manager-Compliance, Department of Internal Audit, University of Colorado

- · How one university is developing and implementing an Ethical Program.
- Challenges faced within the University setting
- · Share tools developed.

303 Developing a Program for Controlled Unclassified Information (CUI)



Kenneth J. Liddle, Chief Compliance Officer, Rice University

Kevin Gamache, Chief Research Security Officer, Texas A&M System

Justin Williams, Senior Manager, Deloitte Advisory Cyber Risky

- · Practical steps to comply with NIST 800-171 and requirements for Controlled Unclassified Information (CUI).
- · Understanding the requirements, and what they mean in practice.
- Using your CUI program to take your campus to the next level on data security.

2:00-2:30 PM

Networking Break with **Exhibitors**

2:30-3:30 PM

Breakout Sessions

401 Minors on Campus: It's More than Child's Play



Alysa C. Rollock, VP for Ethics and Compliance, Purdue University



Deborah B. Trice, Director of Compliance & Associate Counsel, Student Affairs, Purdue University

Gina Maisto Smith, Partner, Cozen O'Connor

- Colleges and universities are realizing that they may not be fully aware of the varied circumstances under which minors are present on campus. This session will identify risks associated with minors on campus, and policies and procedures to mitigate those risks.
- Learn to identify and manage unique risks associated with research programs, residential programs and sports camps.
- · Define roles and responsibilities among sponsors, residence halls, public safety. compliance offices and risk management.

402 Leveraging Partnerships and Technology to **Enhance Your Institution's Compliance Program**



Dorinda Tucker, Assistant Vice President for Ethics, Compliance and Risk and the Data Privacy Officer, George Washington University

Kimberly Macedo, Senior Manager, **Baker Tilly**

- · Learn how institutions leverage technology to enhance compliance and create efficiencies in their compliance and riskmonitoring activities.
- · Offer ideas for increasing the effectiveness of your current compliance monitoring systems and limited resources.
- · Discuss opportunities for collaboration with other institutional partners to innovate for improved compliance in their areas.

403 'Seriously, again already?'



Donna McNeely, University Ethics Officer, University of Illinois

Traci Rolf, Associate Director of University Ethics, University of Illinois

- · Keeping annual training fresh and engaging interactivity.
- Personalizing shelf training products for relatability and applicability.
- Topic specific training snippets to reduce training fatigue.

3:30-3:45 PM

Networking Break

3:45-4:45 PM

General Session 2: Civil Rights Enforcement at the U.S. Department of Education



Kenneth L. Marcus, Assistant Secretary for Civil Rights

- · Approaches to enforcement.
- · Current trends.
- New case resolution methods.

4:45-6:00 PM

School Spirit Networking Reception

Tuesday, June 11

Conference

7:00 AM – 4:30 PM Registration Open

7:00 – 8:00 AM Breakfast

8:00 – 8:15 AM
Opening Remarks

8:15 - 9:15 AM

General Compliance Session: Compliance as a Change Agent



John Powers, Director, PwC



Jeffrey I. Chasen, Associate Vice Provost, The University of Kansas

- Develop a deeper understanding of how compliance functions drive change within their organizations.
- Learn how to combat resistance to change within your organization.
- Discuss current change management trends and tools that will highlight compliance functions and professionals as positive change agents.

9:15 - 9:45 AM

Networking Break with Exhibitors

9:45-10:45 AM

Breakout Sessions

501 Campus Wide Policy Management System: Lessons from the Trenches



Marcy R. Huey, Executive Director of Institutional Compliance, The University of Alabama



Jennifer Clark, Institutional Compliance Coordinator, The University of Alabama

- Everything doesn't always work like you expect, including managing policies.
 Sometimes it's the low-tech approach that can lead to unexpected successes.
- You have to focus on solving the problem.
 You can't lead with the solution until fully understand the needs of the group as a whole.
- Don't discount brainstorming! Sometimes, bad ideas lead to good ideas.

502 Gift Acceptance: Balancing University Priorities with Donor Intent



Julian Williams, Vice President for Compliance, Diversity and Ethics for George Mason University



Colleen Lewis, Manager, Baker Tilly

- Learn how to develop gift acceptance policies and procedures to ensure a balance between academic enterprise and donor engagement.
- Share leading practices related to policy principles and potential escalation criteria that would lead to additional review of gift agreements based on specific flags and thresholds.
- Offer ideas for how to establish ongoing analysis and assessment of gift acceptance policies and procedures.

DISCUSSION GROUPS

Discussion Groups are limited to 50 attendees and open on a first-come, first-served basis. No pre-registration is available.

DG503 Saying No to Power: A Must-Have Skill for a Compliance Officer



Joshua B. Toas, Chief Compliance Officer, Research Foundation for SUNY

- Dynamic, visionary, and innovative leaders often take short cuts that can lead to ethical lapse saying no and helping find a different path are skills that are vital to your success.
- An interactive discussion to help you identify when to engage with your organizational leaders and how to work through difficult conversations.
- Review of real life situations and scandals that could have been managed differently.

10:45 – 11:00 AM Networking Break

11:00 – 12:00 PM Breakout Sessions

601 Teamwork: The Relationship Between Compliance Officers, In-House Counsel, and Outside Counsel during Internal Investigations



Laurel Gift, Chair and Partner, Schnader Harrison Segal & Lewis LLP, Criminal Defense and Internal Investigations Practice



Dustin Gray, Senior Associate Athletics Director for Administration, University of Pittsburgh



Richard Holmes, Senior Associate Legal Counsel, University of Pittsburgh

- Understanding and navigating the internal relationship between compliance officers and in-house counsel;
- Understanding the investigation process, identifying the client and scope, gathering evidence, role of compliance and audit department, and preventing common pitfalls; and
- Navigating the investigation's aftermath - reporting findings, contemplating disclosure of the report, and the organizational response to recommendations and outcomes.

Agenda

602 Fighting Fraud and Corruption in Higher Education



MaryJo Kranacher. ACFE Endowed Professor of Fraud Examination, York College, City University of New York

- · Is the intellectual environment in higher education antithetical to fraudulent behavior? Learn how the structure and environment in which universities operate can facilitate fraud and corruption.
- Who perpetrates fraud in academe? Learn of the various constituencies that commit fraud and the weaknesses in the system that allow their schemes to succeed.
- Learn to identify red flags and ways to mitigate the risk of fraud in higher education.

603 International Programs and the FCPA Survival Guide - Anywhere We Can Fly, We Can Comply



Kenneth J. Liddle, Chief Compliance Officer, Rice University



Alexander (Sandy) R. Bilus, Partner, Saul Ewing Arnstein & Lehr LLP



Justin C. Danilewitz, Partner, Saul Ewing Arnstein & Lehr LLP

- · Higher education focused overview of the Foreign Corrupt Practices Act (FCPA), including recent developments in enforcement.
- How to create and manage a centralized international compliance program that can adapt to new countries or programming.
- The FCPA Survival Guide: What to do when you discover a problem.

12:00 - 1:00 PM Lunch

1:00-2:00 PM

Breakout Sessions

701 Concern Reporting: Leveraging Reporting to Drive Integrity Culture



Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University

- · Concern reporting provides the critical metric of integrity culture: comfort raising questions drives research, advances learning, and reinforces compliance.
- · Concern reporting can be measured and improved: using surveys to measure and improve culture.
- · Channels for concern reporting provide essential information for proactive risk mitigation.

702 Unique Challenges for HIPAA Compliance Within a University Hybrid Entity: How to Manage Privacy Requirements if You Do Not Have an AMC



Hila Berger, Compliance Officer, Montclair State University

- Privacy Officers within Hybrid Entities have unique challenges in ensuring privacy when the culture of an organization is not healthcare based. We will discuss techniques for shifting privacy culture.
- · Practical solutions for education and maintaining privacy are key to compliance within hybrid settings. We will explore those solutions as successfully applied in a hybrid setting.
- Hybrid entities must properly designate their healthcare component(s). Failure to do so can result in HIPAA violations - we will explore a case studies where hybrid status ended in an OCR settlement.

703 Get the PCI DSS Compliance Program You Need



Carolann G. Lazarus, IT Audit Manager, University at Buffalo

- Recognize when your PCI compliance program needs to be reinvigorated.
- · Identify the key components of a successful PCI program.
- · Learn some of the common hurdles and solutions

2:00-2:15 PM **Networking Break**

2:15 - 3:15 PM

Breakout Sessions

801 Creating a Successful Title IX Compliance Program



Thomas Shanahan, General Counsel. University of North Carolina System



Josh Whitlock, Partner. Parker Poe



Mary Gower, Chief Title IX Officer, University of Alaska System

- Title IX and related regulations impose multiple requirements that institutions must incorporate into effective policies, processes, training, and compliance programs.
- At this session, learn about how two large public university systems developed risk-based Title IX compliance programs as part of their overall strategies to respond promptly and equitably to sexual misconduct and discrimination, and meet the needs of their university communities. Examples from one institution will focus on the development of Title IX program standards, regular risk assessments, and self-monitoring processes to promote continuous improvement in campus Title IX programs. The examples from another institution include new policies and procedures, mandatory training for students and employees, collaboration of university Title IX stakeholders, annual climate surveys, and annual case audits.
- Issues to be addressed in the session will include annual risk assessments; components/elements of the plan; policy development and review; mandatory training; climate surveys; program metrics; governance; collaboration with internal audit and legal; and use of technology.

802 Compliance By Wandering Around (CBWA): Simple Solutions to Improving the Value and Effectiveness of Your Compliance Program



Joseph Agins, Compliance Officer, Sam Houston State University

- · Building trust and gaining buy-in.
- Why waiting for compliance concerns to come to you in not an option.
- · Compliance programs are all about relationships and without them, you don't have a program.

803 Re-inventing a Code of Conduct: A Case In Civility



Susan C. Buskirk, Associate Vice President Deputy Accountability Officer, University of Maryland, Baltimore Office of Accountability and Compliance



Stephanie N. Suerth, Education & Outreach Program Manager, University of Maryland, Baltimore

- Real life lessons from experience in re-inventing a university-wide code of conduct. A key focus is to provide organization - and programmatic level advice to help you align your own code of conduct to desired culture.
- When responses do not reflect the organization's vision and values: Addressing the challenges of unexpected reactions from all levels.
- Learn how scholarship and evidence provided the foundation for implementing a civilized response.

3:15 – 3:30 PM

Networking Break

3:30-4:30 PM

General Compliance Session: From the Big Easy to the Big Ten and Beyond: Lessons from the Reform of the New Orleans Police Department for Colleges and Universities

> Jonathan Aronie, Partner, Sheppard Mullin



Joseph Jay, Partner, Sheppard Mullin

- Identify and explore fundamental change management concepts that apply to organizational integrity reform efforts including, the ongoing reform of the New Orleans Police Department (NOPD).
- Apply lessons learned from ongoing public organizational reform efforts, including the NOPD reform effort, to reallife college and university events.
- Evaluate how these reform strategies can be applied to evolving issues on campus and in society.

Wednesday, June 12

Post-Conference

8:00 – 11:45 AM Registration Open

8:30 – 10:00 AM Breakout Sessions

W1 Commercialization and Conflicts: How Values Can Drive Simplification



Jessica Tobias, Ethics Director and Compliance Investigator, The Ohio State University



Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University

- Training: Early integration of training and guidance regarding research conflicts of interest, fiduciary requirements, and state ethics laws promotes efficiency and collaboration.
- Conflicts Disclosure Process: Back end coordination supports front end simplification.
- Metrics: What should we measure and what can be learned from combined metrics?

W2 Trends and Updates in Federal Student Loan Fraud Investigations



Scott Grubman, Partner, Chilivis Cochran

- Overview of federal government investigations related to student loan fraud in the higher education space, including both criminal and affirmative civil enforcement actions.
- Recent examples of such investigations and a discussion of how to properly respond to such an investigation.
- Proactive compliance tips to help keep you and your organization off of the government's radar.

10:00 – 10:15 AM Networking Break

10:15 - 11:45 AM

Breakout Sessions

W3 The Office of the Chief Privacy Officer: Leading Practices from Research Universities



Holly B. Benton,
Duke Privacy,
Duke University Office of
Audit, Risk and Compliance



Ben Wright, Director, PricewaterhouseCoopers

- Governance, common reporting structures, and staffing.
- · Scope of duties, mission.
- Top risks CPOs are concerned about at their Institutions.

W4 How to Take an Integrated Approach to Compliance in a World of Uncertainty



Steven Minsky, CEO and Founder, LogicManager



Sheryl A. Ireland, Director, Ethics and Compliance Program Office, University of California, Merced



Jody Gonzalez, Compliance Analyst, University of California, Merced

- Dive into the challenges of managing compliance in a world where institutions are held to more than 265 federal statutes that change every year.
- Demonstrate how to take an integrated approach and communicate across the organization when identifying necessary resources, engaging subject matter experts, and closing potential gaps.
- Examine the benefits of a consolidated reporting structure, as well as some key metrics universities and colleges should collect to prove compliance and garner support.

12:30 PM CCEP Exam Check-in

12:45 - 3:15 PM

Certified Compliance & Ethics Professional (CCEP)® exam (optional)

Continuing Education

SCCE is in the process of applying for additional external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

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, corporate compliance.org/all-conferenceshome-page. Select your conference, and then select the "Continuing Education" option on the left hand menu.

Compliance Certification Board

(CCB)®: CCB has awarded a maximum of 21.6 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)®.

Continuing Legal Education (CLE):

The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/ accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of 17.0 clock hours of CLE credit will be available to attendees of this conference licensed in these states. SCCE's practice is to apply for CLE credits to the state in which the event is being held, if that state has a CLE approval process for sponsors. Upon request, if there is sufficient time and if we are able to meet their CLE requirements, SCCE may submit this course to additional states for consideration. Only requests from registered attendees will be considered.

All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

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 21.5 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 grouplive 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.

THANK YOU TO OUR 2019 SPONSOR

SILVER

SAUL EWING

ARNSTEIN

& LEHR LLP



GROW YOUR COMPLIANCE AND ETHICS PROGRAM

Stay informed of changes affecting the compliance world, and learn from industry experts about emerging best practices for effective compliance and ethics programs.

Join the Society of Corporate Compliance and Ethics



MEMBERSHIP BENEFITS

- Compliance & Ethics Professional magazine, 12 issues exclusively for SCCE members plus full access to the magazine archives
- Be a part of a community of 7,400+ Compliance and Ethics Professionals in more than 100 countries



- Network locally and globally with 40+ conferences a year at special member rates
- Save on weekly Web Conferences for live learning at your desk
- Receive a discount on Compliance Certification Board (CCB)[®] exam pricing for CCEP



Additional resources

- Weekly newsletters and blog posts from industry experts
- SCCEnet® provides access to an online Resource Library and networking



LEARN MORE AND JOIN TODAY corporate compliance.org/join

Full na	me						
					please	type or print	
0,	our demogra I for taking a	•				etter networking opportunities for you.	
What is your functional job title? Please select one.					What best describes the industry you work for? Please select one.		
☐ Academic/Professor ☐ Compliance Officer			☐ Accounting/Auditing	☐ Hospitality/Tourism			
□Administr	ration		Compliance	Specialist		☐ Administrative and Support Services	☐ Human Resources/Recruiting
☐Analyst			$\square {\rm Consultant}$			☐ Advertising/Marketing/Public Relations	☐ Information Technology
☐ Asst Com	pliance Officer		\square Controller			☐ Aerospace/Aviation/Defense	☐ Installation/Maintenance/Repair
	(In-House Coun		☐ Corporate R			☐ Agriculture	☐ Insurance
	(Outside Couns	el)	& Performar			Airlines	☐ Internet/E-Commerce
☐ Audit Ana	-		☐ Ethics & Inte			☐ Architectural Services	☐ Law Enforcement/Security Services
	nager/Officer		☐ Executive D			Arts/Entertainment/Media	☐ Legal
	anager/Officer		General Co		el .	☐ Automotive/Motor Vehicles/Parts	☐ Manufacturing and Production
☐ Charger N			☐ Human Res			Banking	Military
	npliance Office	ſ	Nurse	recillology		☐ Biotechnical and Pharmaceutical	Mining
	cutive Officer		☐ Privacy Offi	cor		☐ Chemical/Polymers/Fibers	Operations Management
	ancial Officer ormation Officer		President	CCI		☐ Computer Hardware ☐ Computer Services	☐ Personal Care and Service
☐ Chief Med			Quality Assi	irance		☐ Computer Software	☐ Publishing/Printing ☐ Purchasing
	erating Officer		Regulatory			☐ Construction	☐ Real Estate/Mortgage
Clinical	crating officer		Reimbursen		or	☐ Consulting Services	☐ Research & Development
Coder			☐ Risk Manag			☐ Consumer Products	Restaurant and Food Service
☐ Complian	ice Analyst		☐ Security/Se		ogy	☐ Customer Service/Call Center	☐ Retail/Wholesale
	ice Coordinator		\square Trainer/Edu	cator		☐ Education/Training/Library	☐ Science
☐ Complian			☐ Vice Preside	ent		□ Electronics	☐ Sports and Recreation/Fitness
☐ Complian	ice Fraud Exam	iner	Other (pleas	se indicate belo	ow)	☐ Energy	☐ Supply Chain/Logistics
						☐ Engineering	☐ Telecommunications
List others	not listed her	e:				☐ Environmental Services	☐ Textiles
						☐ Finance/Economics	□Tobacco
						☐ Financial Services	☐ Transportation/Warehousing
						Forest Products	☐ Veterinary Services
						☐ Government/Policy	Utilities
						Healthcare	☐ Waste Management Services
What cred	entials do you	hold? Select	all that apply			☐ Higher Education	☐ Other (please indicate below)
□ACHE □CCEP-I □CHPC □DDS □MHA □PhD						List others not listed here:	
□AIC	□ ccs	☐ CHRC	□ESQ	\square MPA	\square PMP		
\square APA	☐ CCS-P	☐ CIA	□FCA	\square MPH	RHIA		
□BA	CEM	CIP	☐ FHFMA	☐ MS	RHIT		
□BBA	□ CFE	CIPP	□ISS	☐ MSHA	□RN		
□BS	□ CGMS	□ CPA		☐ MSN	□SADR		
□BSN	□ CHC	□ CPC	LLM	□ MT	□SCLA	Are you a first-time attendee of the Hig	her Education Compliance Conference
□ CAMS □ CCEP	□ CHE □ CHP	□ CPHQ □ CUSECO	□ MA □ MBA	□ NHA □ PCI		□YES □NO	
List others not listed here:				REGISTRATION CONTINUES OF	N NEXT PAGE (OVER)		

Registration

Contact Information	
OMr OMrs OMs ODr	
Member ID/Account Number	
First Name MI	
Last Name	
Credentials (CHC, CCEP, etc.)	
lob Title	
Organization (Name of Employer)	
Street Address	
City/Town	
State/Province Zip/Postal Code	
Country	
Phone Fax	
Email (Required for registration confirmation and conference information)	
Payment Options	
O Check enclosed (payable to SCCE)	
O Invoice me	
O I authorize SCCE to charge my credit card (choose card below):	
CREDIT CARD: O American Express O Discover O MasterCard C) Visa
Due to PCI Compliance, please do not provide any credit card information via em You may email this form to helpteam@corporatecompliance.org (without credit card information) and call SCCE at +1 952.933.4977 or 888.277.4977 with your credit card	d b
Credit Card Account Number	
Credit Card Account Number	
Credit Card Expiration Date	
Cardholder's Name	

Registration Options		
Registration Options	On or before 4.11.19	After 4.11.19
☐ SCCE/HCCA Members: MONDAY & TUESDAY.	\$825	\$875
□ Non-Members: MONDAY & TUESDAY	\$995	\$1045
☐ New Membership & Registration: MON/TUE	\$1025	\$1095
First time members only. Dues regularly \$325 annually.		
☐ Pre-Conference: SUNDAY	FREE*	\$140
☐ Post-Conference: WEDNESDAY	FREE*	\$140
☐ Discount for 5 or more from same org	(\$50)	(\$50)
☐ Discount for 10 or more from same org	(\$100)	(\$100)
*Free only with paid Monday & Tuesday conference registration by 4/11/19. All registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.	OTAL \$ _	

Registering for SCCE's Higher Education Compliance Conference automatically registers you for HCCA's Research Compliance Conference at no additional cost.

Special Request: Dietary Needs

O Gluten Free	Vegetarian
Kosher-Style (NO SHELLFISH, PORK, OR MEAT/DAIRY MIXED)	○ Vegan
OR MEAT/DAIRY MIXED)	Other (WRITE BELOW):
○ Kosher (HECHSHER CERTIFIED)	

Use of your information – To find out how we may use your information please read our Privacy Statement at corporatecompliance.org/privacy.aspx.

By submitting this registration form you agree to the terms and conditions, including the use of your information as stated in our Privacy Statement located at corporatecompliance.org/privacy.aspx.

Register Online corporatecompliance.org/highered

EMAIL your completed form (do not include credit card) o helpteam@corporatecompliance.org

MAIL your registration form with check enclosed:

SCCE, 6500 Barrie Road, Suite 250 Minneapolis, MN 55435, USA

EAX your completed form to +1 952.988.0146 include all billing information)

QUESTIONS? Call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org

Society of Corporate Compliance and Ethics®

6500 Barrie Road, Suite 250, Minneapolis, MN 55435, USA PHONE +1 952.933.4977 or 888.277.4977 | FAX +1 952.988.0146 EMAIL helpteam@corporatecompliance.org WEB corporatecompliance.org

Terms and Conditions

Registration payment terms

Checks are payable to SCCE. Credit cards accepted include American Express, Discover, MasterCard, or Visa. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@corporatecompliance.org for instructions.

Tax deductibility

All expenses incurred to maintain or improve skills in your profession may be tax deductible, including tuition, travel, lodging, and meals. Please consult your tax advisor.

Cancellations/substitutions

You may send a substitute in your place or request a conference credit. Refunds will not be issued. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original, cancelled event. Conference credits may be used toward any SCCE service or product. If a credit is applied toward an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email, sent to helpteam@ corporate compliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

Group discounts

5 or more. \$50 discount for each registrant 10 or more. \$100 discount for each registrant

Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. 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.

Agreements & acknowledgments

I agree and acknowledge that I am undertaking participation in Society of Corporate Compliance & Ethics events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgment freely and knowingly, and I assert that I am, as a result, able to participate in SCCE events, and I do hereby assume

responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs and/or video at this conference and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in this SCCE conference, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, I understand that my name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees and speakers of this event.

By submitting this registration form, I agree to the Terms & Conditions including the Use of Information—as well as SCCE's Privacy Statement, located at corporate compliance.org/privacy.aspx.

Prerequisites/advanced preparation. None.

Special needs/concerns

Prior to your arrival, please call SCCE at +1 952.933.4977 or 888.277.4977 if you have a special need and require accommodation to participate in the Higher Education Compliance Conference. See the registration form to indicate any special requests for dietary accommodations you may require.

Dress code. Business casual dress is appropriate for conference attendees.

Recording. No unauthorized audio or video recording of SCCE conferences is allowed.

Continuing education units

See page 11 for more information.

Hotel & conference location

Loews Royal Pacific 6300 Hollywood Way Orlando, FL 32819 loewshotels.com/royal-pacific-resort

A reduced rate of \$235 per night for single/double occupancy plus applicable state and local taxes has been arranged for this conference. This rate is good through Monday, May 20, 2019 or until the group room block is full, whichever comes first. Reservation must be accompanied by a first night room deposit which is refundable five days prior to arrival.

Online Reservations: bit.ly/Loews-Royal

Telephone reservations: 866-360-7395 (Indicate that you are affiliated with the SCCE Higher Education Compliance Conference)

Group Rate includes complimentary internet in sleeping room and complimentary fitness access. Guests receive exclusive theme park benefits including: Universal Express Unlimited™ ride access, Early Park Admission (valid theme park admission required), complimentary water taxis, shuttle buses or walking paths to the theme parks and Universal CityWalk™.

Additional Room Block:

Loews Sapphire Falls 6601 Adventure Way Orlando, FL 32819 loewshotels.com/sapphire-falls-resort

An additional block of rooms have been arranged at a reduced rate of \$219 for single/double occupancy plus applicable state and local taxes. This rate is good through Monday, May 20, 2019 or until the group room block is full, whichever comes first. Reservation must be accompanied by a first night room deposit which is refundable five days prior to arrival.

Online Reservations: bit.ly/Loews-Sapphire

Telephone reservations: 866-360-7395 (Indicate that you are affiliated with the SCCE Higher Education Compliance Conference)

Group Rate includes complimentary internet in sleeping room and complimentary fitness access. Guests receive exclusive theme park benefits including: Universal Express Unlimited™ ride access, Early Park Admission (valid theme park admission required), complimentary water taxis, shuttle buses or walking paths to the theme parks and Universal CityWalk™.

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 or web link in this brochure. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

Agenda Inside

Higher EducationCompliance Conference

June 9-12, 2019 • Orlando, FL

Higher Education Compliance Conference

June 9-12, 2019 • Orlando, FL



Register today and enjoy the flexibility of two conferences for the price of one!

Complimentary access to HCCA's Research Compliance Conference is included with your registration. Build your own schedule and attend sessions at both conferences!

corporatecompliance.org/highered

