

**VIRTUAL
CONFERENCE**

19th Annual

CEI

**Compliance & Ethics Institute
September 14-16, 2020**

The first ever virtual Compliance & Ethics Institute will have the great speakers and contents you've come to expect at the in-person event and features 11 subject areas, 100+ educational sessions, multiple activities and networking opportunities.

Topics Include:

- Operationalizing ethics and compliance
- Risk management
- Building a culture of integrity
- Polishing Your Investigation Skills
- Cybersecurity
- And much more

Register today

corporatecompliance.org/2020CEI



ABOUT

Join us for the first ever *virtual* Compliance & Ethics Institute. Though we are disappointed we will not be together in person, we remain dedicated to providing first-class professional development led by industry experts. Gain insights, skills, and practical solutions to strengthen your organization's compliance and ethics program.

Sessions will be categorized by knowledge level. Choose from basic, intermediate, or advanced for the best educational fit for your needs.

New lower pricing is now available! Additional registration discounts apply for SCCE & HCCA members. Group discounts are also available.

How does this virtual conference work?

This virtual conference is a live conference hosted on SCCE's Virtual Compliance & Ethics Institute platform. You can access scheduled sessions through a computer, tablet or mobile device with internet access. Attendees can ask questions live and chat both publicly and privately with other conference participants.

Benefits of a virtual conference

Participating in the virtual conference will provide you with a great educational experience, the opportunity to earn "live" Continuing Education CCB CEUs at an affordable price and from the convenience of your home or office. Attendees will also have many opportunities to network virtually with other attendees.

Attendance monitoring

Participating in active attendance monitoring is only required if you will be requesting external Continuing Education Units. We will be actively monitoring attendance for the purposes of continuing education throughout each session and to offer various external credit types. Approximately every 13–15 minutes you will be given an on-screen prompt asking you to confirm that you are still actively participating in this virtual conference. Following the event, you will be provided the Application for Continuing Education Units (CEUs) to request your earned CEUs.

SCCE's mission

The Society of Corporate Compliance and Ethics exists to champion ethical practice and compliance standards and to provide the necessary resources for ethics and compliance professionals and others who share these principles.

NETWORKING OPPORTUNITIES

Rock out with Rock It Man Entertainment Social Hour

Interact and engage with your fellow CEI attendees at this request-driven piano show! Bring your song requests and a favorite beverage for this musical variety show with thousands of songs spanning many decades and genres to close out Tuesday at the Conference.

Networking groups

Tuesday: 12:45 – 1:15 PM CDT

Compliance focused networking groups include:

- Business to business
- Energy
- Early career professionals

Wednesday: 8:30 – 9:00 AM CDT

Compliance focused networking groups include:

- Business to consumer
- International
- Financial services and insurance

CONTINUING EDUCATION

NOTE: Only registered attendees are eligible to request CEUs for participation. Attendees must participate in the virtual conference using the online virtual conference format (not just using the dial in) for attendance-monitoring purposes.

Compliance Certification Board (CCB)[®]:

CCB has awarded a maximum of **23.4** CEUs for these certifications: Certified Compliance & Ethics Professional (CCEP)[®], Certified Compliance & Ethics Professional–International (CCEP-I)[®], Certified Compliance & Ethics Professional–Fellow (CCEP-F)[®], Certified in Healthcare Compliance (CHC)[®], Certified in Healthcare Compliance–Fellow (CHC-F)[®], Certified in Healthcare Privacy Compliance (CHPC)[®], Certified in Healthcare Research Compliance (CHRC)[®].

Daily Breakdown:

Monday | **8.4** CCB CEUs

Tuesday | **7.2** CCB CEUs

Wednesday | **7.8** CCB CEUs

Totals subject to change.

If you only need CCB CEUs - (CCEP, CCEP-I, CCEP-F, CHC, CHPC, CHRC, CHC-F), it is not required to participate in the active monitoring.

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, corporatecompliance.org/all-conferences. Select your conference, and then select the "Continuing Education" option on the left-hand menu.

SCHEDULE AT A GLANCE

ALL TIMES LISTED ARE IN CENTRAL DAYLIGHT TIME (CDT)

Monday, September 14

8:50–9:00 AM CDT	Opening Remarks								
9:00–10:00 AM CDT	GENERAL SESSION: Lessons Learned from the COVID-19 Pandemic								
10:00-10:15 AM CDT	Coffee Break								
10:15–11:15 AM CDT	101 The Landscape of Fraud in 2020	102 The Ups and Downs of Social Media Compliance	103 The Compliance Olympics: What were the Gold Medal Performances of the Last 12 Months?	104 Privacy Compliance 101	105 Highly Regulated and Limited Resources Doesn't Have to Mean Boring	DG 106* Cultivation of Culture and Compliance Partnerships <small>*Preregistration required.</small>	107 Calling all Champions! Best Practices for Expanding Your Ethics Programs Footprint by Establishing and Promoting an Ethics Champions Network	108 Beyond Awareness - Build A Compliance Program That Will Leave Your Employees Cheering	109 New Tone at the Very Top: CECOs on Boards, Why it Matters, How to Get There
11:15–11:30 AM CDT	Coffee Break								
11:30 AM–12:30 PM CDT	201 Creating Great Compliance Training in a Digital World	202 Antitrust Compliance 2.0: Tackling the Toughest Parts of the DOJ Compliance Program Guidance	203 Asia, State of the Union - Compliance Relations in Asia	204 California Consumer Privacy Act Enforcement Update	205 Investigating and Communicating Compliance in Far-Flung Places: Challenges with a Distributed Workforce	DG 206* Cultures of Integrity - We Know What They Are and What They Should Look Like, But How Do We Get There? <small>*Preregistration required.</small>	207 TBA	208 Boeing's 737 MAX: A Trifecta of Ethics & Compliance Failures	209 Keep Calm and Compliance On – 2.0 Edition
12:30–1:15 PM CDT	Mid-Conference Break								
1:15–2:15 PM CDT	GENERAL SESSION: Fraud is Not a Trade Secret: A Conversation with Tyler Shultz								
2:15–2:30 PM CDT	Coffee Break								
2:30–3:30 PM CDT	301 Unconscious Bias, Cognitive Errors, and the Compliance Professional	302 From Data to Insights: Managing Risk using Continuous Monitoring Analytics	303 How to Conduct Independent Investigations on Foreign Operations	304 Learn More from Your Data While Improving Data Security	305 Leveraging Culture at Utility and Energy Companies	DG 306* Identifying Personnel Needs and Leveraging Varied Skill Sets to Staff an Effective Compliance Department <small>*Preregistration required.</small>	307 Talent Management and Ethics Outreach: How Lockheed Martin Reaches out to Future Engineers	308 Building a Culture of Compliance	309 60 Minute Compliance Coach: Solutions to your Sleepless Nights
3:30–3:45 PM CDT	Coffee Break								
3:45–4:45 PM CDT	401 Building an Effective Policy Management and Governance Program with Intention	402 The Use of Big Data to Reduce Risk	403 Building Organizational Trust and Trust in the Compliance Team	404 What Red Adair Teaches us About Cybersecurity	405 Making Compliance and Ethics Relevant: Perspectives from the Utilities Industry	DG 406* "This is Not the Hill I'm Going to Die On" and Other Rationalizations Used by Even the Very Best Compliance Professionals. (This session Should Make You Uncomfortable) <small>*Preregistration required.</small>	407 Ethics and Compliance: Same or Different?	408 Case Study: Involving Employees to Bring your Ethics & Compliance Communication Campaigns to Life	409 Considering Consulting or Starting Your Own Compliance Business? What to do NOW to Prepare for Success
4:45–5:00 PM CDT	Coffee Break								
5:00–6:00 PM CDT	501 Recession-proof Your Career Today!	502 Third-Party Risk Management	503 Operationalizing a Global Compliance & Ethics Program: Fundamentals to Drive Functionality	504 Two Idiots and Chad: The Breach Response That Goes Wrong	505 SEC Disclosure Rule for Resource Extractors	DG 506* The Trouble with Moral Relativism <small>*Preregistration required.</small>	507 Hotline Reporting in the Time of COVID-19	508 3... 2... 1... Liftoff! Operationalizing Ethics and Compliance	509 Clear, Concise, and Captivating: Tips on How to Communicate with the C-Suite and Board of Directors

Subject Area Key:

GENERAL COMPLIANCE/ HOT TOPICS	RISK	MULTI-NATIONAL/ INTERNATIONAL	PRIVACY & DATA SECURITY	UTILITIES & ENERGY	COMPLIANCE LAWYER
DISCUSSION GROUP*	ETHICS	CASE STUDIES	PROFESSIONAL SKILLS	INVESTIGATIONS	

*Due to the interactive nature of the Discussion Groups, these sessions will be limited to 40 attendees and will require preregistration. Instructions on how to preregister will be sent out to all registered attendees on August 31. Registration will close on Wednesday, September 9th or once a session has reached maximum participants.

Agenda subject to change.

SCHEDULE AT A GLANCE

ALL TIMES LISTED ARE IN CENTRAL DAYLIGHT TIME (CDT)

Tuesday, September 15

8:55–9:00 AM CDT	Opening Remarks								
9:00–10:00 AM CDT	GENERAL SESSION: Why We Act: Turning Bystanders into Moral Rebels								
10:00-10:15 AM CDT	Coffee Break								
10:15–11:15 AM CDT	601 Your Acquisition Has Closed - Now What? New Frontiers in Post-Close Compliance Diligence and Integration	602 Sexual Harassment and Abuse: From Awakening to Organizational Response – Experience from within the United Nations System	603 State of the Union: Compliance Risk in Africa and the Middle East	604 Cybersecurity and Incident Response in the Energy and Utilities Sector: How Your Peer Companies Are or Should be Preparing	605 Compliance in the Crosshairs: What the Courts Are Saying About Effective Compliance Practices in Compliance Officer Liability Cases	DG 606* Public Agency Ethics and Compliance Programs – Challenges and Solutions for Government Professionals <i>*Preregistration required.</i>	607 Speak-Up Success: Training and Communications to Truly Encourage Reporting and Reduce Retaliation	608 Transform Your Policies: A (Relatively) Pain-Free Guide	609 The 7 Habits of an Effective Compliance & Ethics Professional
11:15–11:30 AM CDT	Coffee Break								
11:30 AM–12:30 PM CDT	701 Avoid a Compliance Hangover: Maintain Momentum in Your Compliance Program After the Regulators Have Left	702 Anti-Bribery Risk Assessments: Measuring Business Bribery Risk, Updating Procedures and Making Program Modifications	703 The Challenges of Data Protection and Privacy – GDPR, Brazil DP Law, Japan DP Law	704 Challenges of Implementing a Risk-Based Third-Party Due Diligence Program	705 Leverage Legal Developments to Assess and Advance Your Program	DG 706* June 2020 DOJ Guidance and Cross-Functional Cooperation <i>*Preregistration required.</i>	707 Current Developments in Compliance Programs Ethics Considerations for Compliance Officers and Attorneys	708 How to Conduct a Compliance Program Self-Assessment	709 Change Management: Transforming a Long-Established Compliance Program
12:30–1:15 PM CDT	Mid-Conference Break								
12:45–1:15 PM CDT	Networking Group								
1:15–2:15 PM CDT	GENERAL SESSION: Fostering a Culture of Compliance								
2:15–2:30 PM CDT	Coffee Break								
2:30–3:30 PM CDT	801 Building Best-in-Class Compliance Programs in Small Organizations	802 The Dreaded “F” Word - “Fraud” - What Can You Do About This Risk? - Assessment and Mitigation	803 Leap-Frogging in Latin America: How New Compliance Programs for Latin America can Leapfrog Traditional Approaches to Compliance	804 International / Cross Border Investigation Strategies	805 The Ethical, Professional and Personal Challenges of Being Both a Company’s Lawyer and its Compliance and Ethics Professional	DG 806* Doing a Lot with a Little: How to Get the Most Out of a Small Ethics Program <i>*Preregistration required.</i>	807 The Ethical Leadership Model - How to Turn Tone at the Top into a Measurable Program Element	808 Current Pressures in Whistleblower Retaliation, and the Effect on Compliance Program Effectiveness	809 Warnings, PIPs, and Terminations: Developing a Consistent Approach to Discipline for Compliance Shortcomings
3:30–3:45 PM CDT	Coffee Break								
3:45–4:45 PM CDT	901 Responsible Use of Emerging Technology	902 Internal Accounting Controls and Internal Compliance Controls: What Public Companies Need to Know for Anti-Corruption, Sanctions, and Anti-Money Laundering Compliance Programs	903 Third-Party Due Diligence: How Much Diligence is Enough?	904 What Will Your Employees Say? The Importance of Cultural Assessments	905 Antitrust Compliance: What Does the Government Really Want?	DG 906* Engaging your Board Relevance in 2021 <i>(Preregistration required.)</i>	907 How to Reinvigorate a Global Code of Conduct - The Sony Way	908 Ethics & Compliance Training is the Worst! Two Creative Agencies Share Some Different Ideas and Options	909 Taking Your Code Digital: Here’s How to Do It Right
5:00–6:00 PM CDT	Rock out with Rock It Man Entertainment Social Hour								

Subject Area Key:

GENERAL COMPLIANCE/ HOT TOPICS	RISK	MULTI-NATIONAL/ INTERNATIONAL	PRIVACY & DATA SECURITY	UTILITIES & ENERGY	COMPLIANCE LAWYER
DISCUSSION GROUP*	ETHICS	CASE STUDIES	PROFESSIONAL SKILLS	INVESTIGATIONS	

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SCHEDULE AT A GLANCE

ALL TIMES LISTED ARE IN CENTRAL DAYLIGHT TIME (CDT)

Wednesday, September 16

8:30–9:00 AM CDT	Networking Group					
9:00–10:30 AM CDT	W1 Website Accessibility: Practical Steps to Reduce Risk, Promote Compliance, and Understand the Laws that Apply to Devices, Websites and Apps	W2 Managing an Effective Export Compliance Program in a Global Market, Because Nobody Looks Good in Day Glow Orange	W3 Europe, Balkans and the Americas: Dealing with Compliance in Our New Reality – Why Should You Care?	W4 What Compliance Professionals Need to Know about Immigration Law	W5 Polishing Your Investigation Skills, Part I	W6 Expanding into the Federal Marketplace – Compliance Issues to Consider When Doing Business with the Government
10:30–10:45 AM CDT	Coffee Break					
10:45 AM–12:15 PM CDT	W7 Effective Partnership Strategies with Your Board of Directors	W8 Effective E&C Risk Management Practice: Program Essentials and Core Practice Considerations	W9 5 Steps to Ethical Problem Solving	W10 What Compliance Professionals Need to Know about Employment Law	W11 Polishing Your Investigation Skills, Part II	W12 From Paper to Practice: Best Practices for Compliance Professionals to Collaborate with Tech Teams and Monitor Data Regulatory Compliance
12:15–1:00 PM CDT	Mid-Conference Break					
1:00–2:30 PM CDT	W13 Weaving Compliance into the Operations of Your Organization	W14 Blending with the Federal Workforce: What Ethics & Compliance Officers Need to Know When Providing Services to the Federal Government	W15 How to Promote and Reinforce Your Company's Values Through an Ambassador Program	W16 What Compliance Professionals Need to Know about Privacy & Cybersecurity Law	W17 Conducting Thorough Corporate Investigations: Don't Get Lost in the Data	W18 Crystal Gazer, Magical Man: Tell the Future of Compliance, If You Can
2:30–2:45 PM CDT	Coffee Break					
2:45–3:45 PM CDT	W19 TBA	W20 Measuring and Maintaining Culture: Benchmarking, Surveys, and Operational Best Practices	W21 Crisis and Compliance: Maintaining Oversight and Corporate Culture During the Pandemic	W22 What Compliance Professionals Need to Know about Environmental Law	W23 Managing Investigations Before They Start Organizing an Effective Investigation Process through Thoughtful Preparation	W24 Coming into a Crisis Situation – Surviving, Transforming, and Finding the Opportunities
3:45–4:00 PM CDT	Coffee Break					
4:00–5:00 PM CDT	W25 Bringing Effective Ethics and Compliance Training to a Multi-generational Workforce	W26 Whistleblowers, Incident Management & Training: The Trifecta for Creating an Effective Speak-Up Culture	W27 How to Reach Your Global Workforce	W28 Individual Accountability for Corporate Wrongdoing	W29 Large-Scale Investigations in Multinational Companies	W30 ERM and Compliance: A Preview of Soon-to-be Released Guidance from SCCE and COSO

Subject Area Key:

GENERAL COMPLIANCE/ HOT TOPICS	RISK	MULTI-NATIONAL/ INTERNATIONAL	PRIVACY & DATA SECURITY	UTILITIES & ENERGY	COMPLIANCE LAWYER
DISCUSSION GROUP*	ETHICS	CASE STUDIES	PROFESSIONAL SKILLS	INVESTIGATIONS	

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Agenda subject to change.

8:50–9:00 AM CDT

Opening Remarks

9:00–10:00 AM CDT

**GENERAL SESSION:
Lessons Learned from the
COVID-19 Pandemic**

ADAM TURTELTAUB, Vice President,
Strategic Initiatives and International
Programs, SCCE & HCCA (Moderator)

JUSTIN ROSS, Staff Vice President,
Chief Compliance Officer, FedEx

BLAIR MARKS, Vice President, Ethics and
Business Conduct, Lockheed Martin

ART R. WEISS, Chief Compliance & Ethics
Officer, TAMKO Building Products LLC;
SCCE & HCCA President

- Working with distributed workforces, including the compliance team itself.
- Adjusting to rapidly changing situations and risk profiles: how to stay compliant while the ground is still shifting.
- Implications for post-pandemic compliance programs and looking to the new normal.

10:00–10:15 AM CDT
COFFEE BREAK

10:15–11:15 AM CDT BREAKOUTS

**101 The Landscape
of Fraud in 2020***Level: Intermediate**Subject Area: General Compliance/Hot Topics*

BRUCE DORRIS, President & CEO, the
Association of Certified Fraud Examiners

- The latest ACFE research into how fraud is perpetrated, how it is detected, and who the perpetrators are.
- Trends in what organizations are doing to protect themselves from would-be fraudsters, including how they employ various anti-fraud technologies.
- What anti-fraud controls have the greatest impact, and variations in how the fraud investigation function is positioned and approached.

**102 The Ups and Downs of
Social Media Compliance***Level: Intermediate**Subject Area: Risk*

KORTNEY Q. NORDRUM, Regulatory
Counsel & Chief Compliance Officer,
Deluxe Corporation

- Examine the risks of employee and company use of social media.
- Learn where the risks hide and how to find them, identify them, and fix them.
- Leave with a sample social media policy and tips on how to implement best practices.

**103 The Compliance
Olympics: What were the
Gold Medal Performances
of the Last 12 Months?***Level: Intermediate**Subject Area: Multi-national/International*

JONATHAN P. ARMSTRONG, Partner,
Cordery (UK)

MARY SHIRLEY, Senior Director, Ethics
and Compliance, Fresenius Medical Care
North America

- By popular demand, the speakers are returning with a comprehensive look at some of the main issues affecting compliance globally. We'll contrast and compare between the main theatres of operation – the Americas, EMEA and Asia-Pacific in a truly international and diverse panel.
- Top-rated speakers discuss a wide range of issues, including how regulators are adapting to the “new normal,” cyberthreats, bribery and corruption, workforce compliance issues (like modern slavery and immigration), privacy, the increasingly global nature of the media and whether “legal” is ever enough.
- Common threads running across borders will help you manage your global operations effectively whilst staying sensitive to local cultures.

104 Privacy Compliance 101*Level: Basic**Subject Area: Privacy & Data Security*

BRAD HAMMER, Attorney - Founder,
Vakaris

ROBERT BOND, Partner & Notary Public,
Bristows, SCCE & HCCA Vice President

- While questions abound as to the impact of current and forthcoming data privacy regulations around the world, compliance programs must be responsive to current regulatory frameworks and business needs as well as adaptable to the changing landscape.
- This session starts by providing tools to understand how to evaluate the privacy risk and regulatory impact of your business: What data do you have? What laws are you subject to? How do you determine risk? How do you talk to the business about privacy?
- Once we go through evaluating your compliance needs, we will discuss basic strategies for putting together a compliance plan and program that is effective at mitigating current risk and adaptable to changes in the law and business.

**105 Highly Regulated and
Limited Resources Doesn't
Have to Mean Boring***Level: Intermediate**Subject Area: Utilities & Energy*

DANA GILLETT, Manager, Corporate
Compliance OGE Energy Corporation

DAVID DOUGLASS, FERC
Compliance, Evergy

- Learn about implementing a Compliance and Ethics Week and other training opportunities on a budget.
- Discover how to develop communications, use blogs and company apps, and develop awareness tools like video shorts.
- Explore entertaining ways to effectively promote your compliance program.

DG 106* Cultivation of Culture and Compliance Partnerships

Level: Basic

Subject Area: Discussion Group

JACLYN BADEAU, President, Badeau Consulting

ASHLEY LEWIS, Senior Compliance Manager, McAfee

- Cross-functional partnerships: who to connect with how often and why.
- Engaging employees: why engagement is key to proving ethics and compliance is not the enemy.
- Rebranding your hotline solution: why words matter and how you can use words to connect with your employees.

107 Calling all Champions! Best Practices for Expanding Your Ethics Programs Footprint by Establishing and Promoting an Ethics Champions Network

Level: Intermediate

Subject Area: Ethics

CRISTINA M. POTTER, Chief Ethics & Privacy Officer, SAIC

SHAUNA BROOKSHIER, Sr. Ethics Analyst, SAIC

CHELSEA DUNKLE, Ethics Analyst, SAIC

- In a time when cost cutting and shrinking resources are commonplace, how do you "sell" an Ethics Champions program to your board and leadership?
- So you have buy-in, what steps can you take to make your Ethics Champions program rollout a success?
- Maybe you've successfully launched an Ethics Champions program, now how do you prove its impact?

108 Beyond Awareness - Build A Compliance Program That Will Leave Your Employees Cheering

Level: Intermediate

Subject Area: Case Studies

ADAM D. BALFOUR, Vice President and General Counsel for Compliance and Latin America, Bridgestone

- Too many companies make the mistake of focusing on raising awareness about their compliance programs.
- Brand experts look past brand awareness to measure brand relevance and resonance. Compliance must do the same in order to engage your employees and get their buy-in.
- Hear practical and cost-effective ideas that have worked and left employees cheering and punching the air in celebration during compliance trainings (including Bridgestone's Compliance Battle Royale).

109 New Tone at the Very Top: CECOs on Boards, Why it Matters, How to Get There

Level: Advanced

Subject Area: Professional Skills

ELLEN M. HUNT, SVP, Audit, Ethics & Compliance Officer, AARP

DAVID GREENBERG, Special Advisor, LRN

BEN DIPIETRO, Thought Leadership, LRN Corp

- How boards are looking for skills possessed by many chief ethics and compliance officers, but often don't think of CECOs as board candidates, and what CECOs can do to market their skills, build their networks, and enlist support.
- What CECO board members contribute to public and private companies.
- How serving on a board makes one a better CECO and executive.

11:15–11:30 AM CDT
COFFEE BREAK

11:30 AM–12:30 PM CDT BREAKOUTS

201 Creating Great Compliance Training in a Digital World

Level: Intermediate

Subject Area: General Compliance/Hot Topics

KIRSTEN E. LISTON, Principal, Rethink Compliance

TRICIA CORNELL, Head of Creative Services, Rethink Compliance

RACHEL BATYKEFER, Senior Director, Global Compliance, Teva Pharmaceuticals

- Reach and persuade your workforce through outstanding training.
- Focus on the needs and attitudes of a 21st-century audience.
- Train yourself and your staff to think like a lawyer, talk like a human.

202 Antitrust Compliance 2.0: Tackling the Toughest Parts of the DOJ Compliance Program Guidance

Level: Intermediate

Subject Area: Risk

PEDRO DE LA TORRE, Global Compliance Officer & Corporate Counsel, The Chemours Company

TIM BRIDGEFORD, Senior Director Antitrust Compliance, Walmart

DOUGLAS M. TWEEN, Partner, Linklaters LLP

MARVIN PRICE, Director of Criminal Enforcement, U.S. Department of Justice Antitrust Division

- Examine in detail the latest U.S. Department of Justice Antitrust Division compliance guidance.
- Understand the DOJ's expectations with respect to risk assessments, auditing and monitoring, information exchange, and tracking competitor contacts.
- Learn evolving competition compliance best practices, as well as tips and tools from in-house experts and former enforcers to manage risk.

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203 Asia, State of the Union – Compliance Relations in Asia

Level: Intermediate

Subject Area: Multi-national/International

MARK STANLEY, SVP and General Counsel Asia Pacific, Fresenius Medical Care Asia Pacific

JASON CHANG, Of Counsel, DLA Piper LLP (US)

JIMMY CHATSUTHPIHAN, Director, Compliance & Ethics APAC, Uber Technologies

This intermediate-level presentation will discuss the business and practical challenges for doing business in Asia, including:

- Recent regulatory enforcement activity affecting the region.
- Its vast and diverse geopolitical, business, and compliance challenges.
- Practical tips and solutions for compliance professionals.

204 California Consumer Privacy Act Enforcement Update

Level: Intermediate

Subject Area: Privacy & Data Security

JANA TERRY, Attorney, Beckstead Terry PLLC

- The final CCPA regulations (published in summer 2020) contain requirements that go beyond the CCPA itself. We will cover the highlights and provide action items for ensuring that your CCPA program complies with both the law and the regulations.
- July 2020 was the first month that the California attorney general could enforce the CCPA. This session will provide information regarding the AG's enforcement actions and how they reveal enforcement priorities.
- How have plaintiff's lawyers reacted to the CCPA's private right of action? This session will update you on the individual and class-action lawsuits filed to date and identify ways that you can shore up your CCPA program to reduce the risk of litigation.

205 Investigating and Communicating Compliance in Far-Flung Places: Challenges with a Distributed Workforce

Level: Intermediate

Subject Area: Utilities & Energy

TAMEKA RAMSEY, Manager of Global Compliance & Ethics, ConocoPhillips

ERIC O. MOREHEAD, Principal Consultant, Morehead Compliance Consulting

- How to build trust with employees in remote and unique work locations and how to keep them engaged in building a culture of ethics and compliance.
- Barriers to expect when investigating concerns or trying to communicate compliance expectations in a remote location or to a distributed workforce.
- Strategies to overcome impediments to successful investigations or compliance communication plans.

DG 206* Cultures of Integrity - We Know What They Are and What They Should Look Like, But How Do We Get There?

Level: Advanced

Subject Area: Discussion Group

JONATHAN TURNER, VP, Compliance, Smith & Nephew

JULIE BASHA, Associate Compliance Specialist, Fresenius Medical Care NA

- Discussion of the elements of behaviors that define a good culture. Your Compliance Week is not enough to shape culture. Join us for initiatives that have long-term positive effects to embed a culture of integrity into the DNA of your business.
- Mood in the Middle: learn about data points that will get middle management to buy in to demonstrating a culture of compliance and integrity.
- Examples of what other companies just like yours are doing to build and establish a strong culture. These are cost-effective and immediately actionable takeaways for you to apply as soon as you get back from the conference!

207 TBA

208 Boeing's 737 MAX: A Trifecta of Ethics & Compliance Failures

Level: Basic

Subject Area: Case Studies

MICHAEL R. FRICKE, Associate Director, Center for Leadership Ethics, & Sr. Lecturer, Department of Management & Organizations, University of Arizona Eller College of Management

- How Boeing's organizational culture stifled concerns about safety and ethical behavior, and how your organization can steer clear of this type of culture.
- How regulatory and compliance failures turned a surmountable challenge into a global disaster, and what we can learn when it comes to our own compliance efforts.
- How ethical leaders take ownership of challenges and use moral imagination to come through them even stronger, and how Boeing's leadership failed the test.

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Agenda subject to change.

209 Keep Calm and Compliance On – 2.0 Edition

Level: Basic

Subject Area: Professional Skills

LISA BETH LENTINI WALKER, CEO and Founder, Lumen Worldwide Endeavors

DIANA TREVLEY, Senior Compliance Counsel, CyberArk

- This session is full of fun and hands-on activities exploring practical ways to implement growth mindset, mindfulness and gratitude practices into your daily life.
- Discover more scientific-backed strategies to deal with burnout and crises and learn about happiness traditions and practices from around the world, from hygge in Scandinavia to ho'oponopono in Hawaii.
- Leave with your own customized game plan for Keeping Calm and Compliance On, designed to transform you from stressed-out compliance professional to effective and energetic leader.

12:30–1:15 PM CDT
MID-CONFERENCE BREAK

1:15–2:15 PM CDT

GENERAL SESSION: Fraud Is Not a Trade Secret: A Conversation with Tyler Shultz

TYLER SHULTZ, Theranos Whistleblower & Entrepreneur

REBECCA JARVIS, Emmy Award-Winning Journalist

- How can a company acquire a \$10 billion valuation built on fraud? How does a 20-something Stanford dropout deceive esteemed statesmen and titans of the industry? What leads someone to defraud hundreds of employees, thousands of investors, and millions of patients on an unprecedented scale?
- Tyler Shultz, the man most responsible for bringing down Theranos, answers these questions and more. In a compelling conversation, Shultz takes audiences through his time as an employee at Theranos, discussing everything from his relationship with Elizabeth Holmes, to the faulty blood testing technology, to his efforts to expose the truth about Theranos.
- With humility and candor, Shultz addresses the importance of corporate governance, modern-day business ethics, Silicon Valley culture, and the lessons the corporate world can learn from Theranos' historic fraud.

2:15–2:30 PM CDT
COFFEE BREAK

2:30–3:30 PM CDT BREAKOUTS

301 Unconscious Bias, Cognitive Errors, and the Compliance Professional

Level: Basic

Subject Area: General Compliance/Hot topics

MICHAEL W. JOHNSON, CEO, Clear Law Institute, LLC

- Strategies for compliance professionals to avoid and reduce the impact of unconscious bias and cognitive errors in their work.
- Cognitive errors that can impact compliance officers during investigations, including affinity bias, confirmation bias, expectancy effects, investigator bias, lie bias, priming, trustworthiness bias, and Dangerous Decisions Theory.
- Unconscious bias towards social groups, including how to assess bias using the Implicit Association Test.

302 From Data to Insights: Managing Risk using Continuous Monitoring Analytics

Level: Intermediate

Subject Area: Risk

KARA BONITATIBUS, Head of Product, Lextegriy

JOHN RAH, DLA Piper

ANDY MILLER, Chief Analytics Officer, Lextegriy

- Understand the current analytics landscape for both compliance and audit disciplines.
- Learn how to leverage the massive enterprise data stores to generate insights and expose spend risk from all areas of your business.
- See why visual analytics are the secret weapon to investigating issues in real-time and collaborating across disciplines in your organization.

303 How to Conduct Independent Investigations on Foreign Operations

Level: Intermediate

Subject Area: Multi-national/International

SHIN JAE KIM, Partner, TozziniFreire Advogados; SCCE & HCCA Board Member

RENATA MUZZI, Partner, TozziniFreire Advogados

GEERT AALBERS, Partner, Control Risks

- Cross-border investigations often add a layer of complexity beyond the issues seen in domestic work.
- In this session we will discuss how to better handle multijurisdictional internal investigations, especially in times of a growing number of cross boarder government investigations.
- Do's and Don'ts when conducting a cross-border internal investigation.

304 Learn More from Your Data While Improving Data Security

Level: Intermediate

Subject Area: Privacy & Data Security

JOSH CLEMENS, Director of Compliance & Compliance Officer, Boys & Girls Village, Inc.

DUSAN VELICKOVIC, Director of Business Intelligence, Boys & Girls Village, Inc.

- Lessons learned from shifting a mid-sized non-profit smoothly from various unique practices and processes to an organized electronic data-driven operational management culture.
- Overview of easy-to-implement free or inexpensive tools and best practices for secure collection and organization of data from staff and clients to improve staff ownership and management reporting.
- How Boys & Girls Village makes the most of our data for compliance, inventory management, staffing optimization, and effective forecasting.

305 Leveraging Culture at Utility and Energy Companies

Level: Advanced

Subject Area: Utilities & Energy

ALISTAIR RAYMOND, Vice President & Chief Compliance Officer, Avangrid

ALEX TAIT, Chief Compliance Officer, Avangrid Renewables

ANDREW JACOBS, Chief Compliance Officer, Avangrid Networks

- Stakeholders are demanding that companies change the way they behave as a result of scandals and evolving values.
- Energy companies, and in particular utilities, face cultural challenges in areas such as aging workforce demographics, embedded labor practices, increased diversity across service geographies, and a traditional risk aversion to change.
- Learn about the formal and informal systems that shape culture and conduct, including industry trends, recent behavioral science research, and practical solutions.

DG 306* Identifying Personnel Needs and Leveraging Varied Skill Sets to Staff an Effective Compliance Department

Level: Intermediate

Subject Area: Discussion Group

MARTHA RADO CY, Manager, Ethics & Compliance, Diaego

FELIPE MALDONADO GARCIA, Ethics and Compliance Director, Americas, Stericycle, Inc.

GREGORY BATES, Counsel, Miller & Chevalier

- Align the compliance programs staffing needs with the organization's commercial strategy and risk assessment.
- Evaluate the compliance programs personnel needs versus existing resources to identify strengths, weaknesses, opportunities, and threats.
- Consider various ways to fill resource gaps, including providing employee growth opportunities, repurposing team members, and leveraging employees outside the core compliance department to achieve program effectiveness.

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Agenda subject to change.

307 Talent Management and Ethics Outreach: How Lockheed Martin Reaches out to Future Engineers

Level: Advanced

Subject Area: Ethics

DAVID GEBLER, Senior Manager, Ethics Engagement, Lockheed Martin

BLAIR C. MARKS, Vice President, Ethics and Business Conduct, Lockheed Martin

- Participants will explore the importance and benefits of a defined academic engagement program
- The discussion will include a review of academic outreach programs, such as case competitions and on-campus speaking engagements.
- We will examine ways to partner with professionals in the talent management and university relations organizations.

308 Building a Culture of Compliance

Level: Intermediate

Subject Area: Case Studies

KATHLEEN O'TOOLE, Senior Counsel, Global Compliance and Safety, McDonald's

ELIZABETH S. BROWN, Assistant General Counsel, Global Compliance & Risk, Groupon, Inc.

- Learn strategies for building and/or enhancing a culture of compliance within organizations, including leveraging internal resources and tailoring approaches based on company profile, discussed in relation to the recent government guidance documents.
- Discuss specific employee compliance engagement methods, such as activities and events, communications, and training initiatives, based on real-world examples and case studies from McDonald's and Groupon.
- Review innovative and cutting-edge training and involvement strategies, including AI and predictive modeling.

309 60 Minute Compliance Coach: Solutions to your Sleepless Nights

Level: Advanced

Subject Area: Professional Skills

AMII L. BARNARD-BAHN, Managing Principal, Barnard-Bahn Coaching & Consulting

MARY SHIRLEY, Senior Director, Ethics and Compliance, Fresenius Medical Care North America

- To be an effective compliance officer, you need to be a high performer not just technically but also by navigating office politics and tricky soft skills issues. This session will impart actionable takeaways from a qualified and experienced executive coach.
- Sit down with Amii and Mary to hear about approaches for dealing with some of the most common and complex professional problems for compliance officers including difficult stakeholders, championing yourself to promotions and negotiating pay increases.
- In addition to hearing about solutions for managing upwards when you have an incapable or difficult boss, rising above malicious colleagues and getting yourself a seat on the board, you'll have an opportunity to have your own quandaries coached to success.

3:30–3:45 PM CDT
COFFEE BREAK

3:45 –4:45 PM CDT BREAKOUTS

401 Building an Effective Policy Management and Governance Program with Intention

Level: Basic

Subject Area: General Compliance/Hot Topics

JAMI BAILEY, Lead Compliance Analyst – Policy Governance, Chief Compliance Office, AT&T

- Scoping the policy opportunity, understanding the state of your policies.
- Gathering stakeholders and building the case for change.
- Evolving beyond policy as just a document, making policy matter.

402 The Use of Big Data to Reduce Risk

Level: Intermediate

Subject Area: Risk

DOUGLAS J. DUNHAM, Dir, Ethics & Business Conduct, Lockheed Martin

ELLEN DALY, Ethics Analysis Senior Manager, Lockheed Martin

- Use data analytics to evaluate worksite ethics risk.
- Identify factors that may contribute to increased risk and potential need for enhanced engagement.
- Develop a database and algorithmically assign a risk score for each worksite to prioritize outreach efforts and maximize risk mitigation.

403 Building Organizational Trust and Trust in the Compliance Team

Level: Advanced

Subject Area: Multi-national/International

ANA-PAOLA CAPALDO AOUN, Director, Ethics & Compliance Officer, Tech Data (Moderator)

JACKI CHESLOW, Global Compliance Program Leader, IEEE

RAYMOND JUSTICE, Managing Director, Justice Development Solutions, LLC

- How do you keep the company focused on enhancing and enforcing a culture of compliance during a crisis?
- Are you measuring the impact of the pandemic on your compliance program and incident reporting?
- What steps have you taken to ensure that your employees around the world continue to trust you and the process? How do you keep the momentum going as we begin to resume in-person work?

404 What Red Adair Teaches us About Cybersecurity

Level: Intermediate

Subject Area: Privacy & Data Security

JONATHAN P. ARMSTRONG, Partner, Cordery (UK)

- Advanced learning from the latest data breach incidents.
- How to reassess your current practices & raise your risk level calculations.
- Glean insights from enforcement actions and regulatory comments.

405 Making Compliance and Ethics Relevant: Perspectives from the Utilities Industry

Level: Basic

Subject Area: Utilities & Energy

NATALIE WALKER, Chief Compliance and Ethics Officer, Washington Gas

ANGELIQUE P. DORSEY, Ethics Officer, Washington Suburban Sanitary Commission

- Successful compliance program tips for organizations where the risks are localized, but significant; there is exposure from state and local regulators and elected officials; and there is direct impact from customer complaints.
- Practical and effective ways to demonstrate the importance of compliance and ethics to all employees, especially those who do not have office jobs.
- Ways to leverage the utilities industry's safety-oriented culture to heighten the prominence of organizational core values and the Code of Conduct.

DG 406* “This is Not the Hill I’m Going to Die On” and Other Rationalizations Used by Even the Very Best Compliance Professionals. (This session Should Make You Uncomfortable)

Level: Intermediate

Subject Area: Discussion Group

STEVEN PRIEST, President, Integrity Insight International

- SCCE sessions focus a lot on shaping the behavior of employees, managers and leaders in an organization. This is right and good. However, what about you? As a compliance professional, you are faced with special challenges. This session focuses on you.
- We will explore common and not so common situations that compliance professionals face. The session will articulate the main issues, personal and professional challenges, and how to overcome them with integrity and—hopefully—a job.
- The session will use real-world cases as the foundation. Self-reflection and discussion with your peers in small groups will unpack the cases.

407 Ethics and Compliance: Same or Different?

Level: Basic

Subject Area: Ethics

GRACE C. WU DE PLAZA, Group Head of Ethics, Ferguson

KRISTA JONES MCANINLEY, Senior Director & Deputy General Counsel, Ferguson

- Some companies bifurcate the ethics and compliance functions. This session will explore the benefits and challenges to this approach.
- Discussion will focus on the similarities and differences between the two functions, using approaches to training and policy creation as examples.
- Attendees will leave with a better understanding of how both the ethics and compliance functions are essential in demonstrating an effective ethics and compliance program pursuant to the 2019 Department of Justice guidance.

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Agenda subject to change.

408 Case Study: Involving Employees to Bring your Ethics & Compliance Communication Campaigns to Life

Level: Intermediate

Subject Area: Case Studies

RONALD FELDMAN, President & Creative Director, Learnings & Entertainments

ULA UBANI, Chief Ethics Officer, BMO Financial Group

BRENDAN MILLER, Compliance Associate, The Federal Reserve Bank of New York

- Discuss the organizational benefits of involving your employees in communicating and promoting ethics, compliance and the importance of speaking up.
- Case Study: Review BMO's BMO-on-the-Street with Actions Matterly™ speak-up communications campaign. Discuss rationale, obstacles, logistics, and results.
- Case Study: Review the NYC Fed's "In-Fed-Stigate" compliance and risk awareness campaign. Discuss rationale, obstacles, logistics, and results.

409 Considering Consulting or Starting Your Own Compliance Business? What to do NOW to Prepare for Success

Level: Advanced

Subject Area: Professional Skills

JOSEPH E. MURPHY, Senior Advisor, Compliance Strategists

KIRSTEN LISTON, Founder & Principal, Rethink Compliance

KRISTY GRANT-HART, Founder & CEO, Spark Compliance Consulting

- Ever considered going into consulting or starting your own company? Learn the steps you can take NOW to prepare.
- Use writing, speaking, and networking to raise your profile, advance your career, or launch your business.
- Learn how to master the business fundamentals (e.g., sales, finance, company structure) and how to choose the right mentors, partners, and champions (because going out on your own doesn't mean "alone").

4:45–5:00 PM CDT
COFFEE BREAK

5:00–6:00 PM CDT BREAKOUTS

501 Recession-proof Your Career TODAY!

Level: Basic

Subject Area: General Compliance/Hot Topics

SAMANTHA KELEN, Chief Ethics and Compliance Officer, Cardinal Innovations Healthcare; SCCE & HCCA Board Treasurer

LISA BETH LENTINI WALKER, CEO and Founder, Lumen Worldwide Endeavors

- 2020 has been more challenging than most would have imagined, but there are key techniques available to you right now to make yourself more marketable, less dispensable, and more resilient.
- Join us to learn the tips and techniques that can make your career soar—in good times and the rest of the time.
- You will learn habits that will serve you for a lifetime, actionable insights to guide you, and how to fill the gaps.

502 Third-Party Risk Management

Level: Intermediate

Subject Area: Risk

JOHN BRUNS, Assistant Vice President, Chief Compliance Office, AT&T

JOSEPH DORSEY, Assistant Vice President – Tech. Program Mgmt, AT&T

- Proven key principles for improving the effectiveness of a third-party risk management programs. Discuss principles based on current third-party risk management program and the partnership between business units and compliance.
- We will address several critical areas such as senior leadership support, proactive risk identification, risk-based program structure, business partnership and ownership, and the use of Key Risk Indicators and technology.
- We will provide the audience with some practical actions they can take back to their companies to immediately start to elevate their third-party risk management game regardless of the level of maturity of their current program.

503 Operationalizing a Global Compliance & Ethics Program: Fundamentals to Drive Functionality

Level: Intermediate

Subject Area: Multi-national/International

MARC FERZAN, Senior Managing Director, Ankura

ADAM BALFOUR, Vice President and General Counsel for Compliance and Latin America, Bridgestone

- Understand why you should develop an integrated global compliance and ethics program.
- Hear about the key elements of a global program, including culture, communications, leadership, and risk assessment and prioritization.
- Other practical tips and lessons learned from the field in building and sustaining a global program.

504 Two Idiots and Chad: The Breach Response That Goes Wrong

Level: Basic

Subject Area: Privacy & Data Security

JAY JOHNSON, Partner, Jones Day

SHAMOIL SHIPCHANDLER, Partner, Jones Day

CHAD PINSON, President of Engagement Management, Stroz Friedberg

- Through role playing and heavy audience involvement, the panel will provide a lighthearted look at common mistakes and misunderstandings by a hypothetical company in responding to a security incident, through the eyes of the CEO, GC, and CISO.
- The presentation will review best practices for conducting an investigation; internal and external PR issues; preservation, privilege and other litigation issues; and effectively interfacing with external constituents
- The panelists will recap each poor decision made by the "three idiots" and outline a better course.

505 SEC Disclosure Rule for Resource Extractors

Level: Advanced

Subject Area: Utilities & Energy

MICHAEL HAZEL, Counsel, WilmerHale

- Learn about what these rules, nearly a decade in the making, are and how they could impact your company
- Discuss how relevant companies can prepare for the rules
- Practical tips on complying with the new rules

DG 506* The Trouble with Moral Relativism

Level: Advanced

Subject Area: Discussion Group

JASON B. MEYER, President, LeadGood, LLC

- In an environment of self-confirming information bubbles, finger-pointing and hyper-partisanship, is there a risk of erosion of the bedrock upon which we work: shared core values?
- While research says some younger people are more likely to greet moral issues with an attitude of "Who am I to judge?", others may indulge in the "cancel culture." What does this mean for compliance?
- How does the language of ethics and compliance training, communications, and leadership need to adjust to tribalism and decreased engagement with any ethical polestar?

507 Hotline Reporting in the Time of COVID-19

Level: Intermediate

Subject Area: Risk

CARRIE PENMAN, NAVEX Global

KYLE WELCH, Professor, GWU

- Ms. Penman will review hotline reporting data from the first half of 2020, pre- and post-COVID lockdowns; highlighting changes in report volume and type starting in mid-March.
- Prof. Welch and Penman will share insights about these data and the spikes seen in March, and again in May, 2020.
- Both Penman and Welch will also share their thoughts about the predictive value of hotline report data, and the insights these data may provide Compliance officers in a time of extreme disruption.

508 3... 2... 1... Liftoff! Operationalizing Ethics and Compliance

Level: Intermediate

Subject Area: Case Studies

JUNE LASSITER, Sr Global Compliance Manager, Ferguson Enterprises

HILLAH O. CULMAN, Sr. Risk Analyst - Enterprise Risk Management Dept, Farmer Mac

- Launching a new compliance initiative could be daunting. This session will provide attendees practical steps in assuring a successful launch.
- Presenters will work with participants on defining a path to full adoption through milestones.
- The discussion will also include measurable results through metrics.

509 Clear, Concise, and Captivating: Tips on How to Communicate with the C-Suite and Board of Directors

Level: Intermediate

Subject Area: Professional Skills

AUGUST IMMEL, Deputy Ethics Counselor, Department of the Interior

- Briefing the organization's senior leadership is the opportunity you want - all eyes on you to present compliance issues as the expert in the room. Learn how to own that role with excellent oral and written skills. Seize the opportunity; do not fear it.
- Rhetoric is a mandatory topic in classical education for a reason. By knowing what your audience needs to hear, reading their body language, and focusing your presentation on key elements, your point will not only be made, it will be remembered.
- The key to presenting your material is knowing what must be said, what can be omitted, and how to manage time, especially when speaking with senior leadership. Learn tips on how to craft your presentation in a way that works for everyone.

8:55–9:00 AM CDT

Opening Remarks

9:00–10:00 AM CDT

GENERAL SESSION: Why We Act: Turning Bystanders into Moral Rebels

CATHERINE SANDERSON, Professor of Psychology and Department Chair, Amherst College

- Learn why most people are hesitant to step forward when they see wrongdoing.
- Understand why some people are moral rebels and are much less likely to hold back when they see something wrong.
- Learn techniques for encouraging your workforce to step up in the face of bad actions.

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10:00–10:15 AM CDT
COFFEE BREAK

10:15–11:15 AM CDT BREAKOUTS

601 Your Acquisition Has Closed - Now What? New Frontiers in Post-Close Compliance Diligence and Integration

Level: Intermediate

Subject Area: General Compliance/Hot Topics

IRINA DRAGULEV, Assistant General Counsel, Pfizer Inc.

PARTH CHANDA, CEO, Lextegrity

GARY DIBIANCO, Partner, Skadden, Arps, Slate, Meagher & Flom LLP

- What are regulator expectations globally on post-close diligence and integration, and how do you coordinate and prioritize diligence and integration work across multiple risk domains in line with those expectations?
- How can you leverage data analytics to accelerate post-closing compliance diligence to uncover and remediate problem areas as soon as possible?
- How do you leverage scalable technologies to incorporate effective internal controls into the acquired entity as quickly and cost-effectively as possible?

602 Sexual Harassment and Abuse: From Awakening to Organizational Response – Experience from within the United Nations System

Level: Intermediate

Subject Area: Risk

KATRINA CAMPBELL, Consultant, Campbell Ethics Consulting

CEDRIC BOURGEOIS, Principal Investigator, UNESCO

- The global awakening led to strengthening the organizational responses, from more robust policies and prevention to investigation of incidents.
- This session will explore through real-life examples how organizations can live up to the expectations of stake holders in the post-#MeToo era.
- UNESCO, as part of the United Nations system and the development community, is particularly exposed to sexual harassment and abuses in its operations, and therefore it developed policies and practices that the #MeToo movement tested and eventually strengthened.

603 State of the Union: Compliance Risk in Africa and the Middle East

Level: Intermediate

Subject Area: Multi-national/International

STEPHAN LUTZ, Compliance Officer, Daimler Commercial Vehicle MENA and Africa

LETITIA ADU-AMPOMA, Director, Peverett Maxwell (Africa)

Through the stories, analysis and shared experiences of compliance professionals on the ground and on location:

- Learn how the long-standing regional foci on the single dimension of bribery risk can jeopardise your compliance program through “tunnel vision.” There are multiple evolving and linked compliance risks in sanctions, data, digital, supply chain, human rights, ethical labor and third parties.
- Recognise how the force of transparency and more effective investigations by regulatory authorities are exposing the compliance risk posed by professional firms traditionally considered reputable.
- Grasp the nuances of the relationship between compliance risk and Corporate Social Responsibility, bribery as a human rights violation and the concept of ‘victim status’.

604 Cybersecurity and Incident Response in the Energy and Utilities Sector: How Your Peer Companies Are or Should Be Preparing

Level: Intermediate

Subject Area: Utilities & Energy

MELANIE PHILLIPS, Associate, Orrick

JOSEPH SANTIESTEBAN, Managing Associate, Orrick

- Overview of the unique and evolving threat landscape.
- Discussion of regulatory and enforcement developments.
- Practical compliance and risk mitigation strategies.

605 Compliance in the Crosshairs: What the Courts Are Saying About Effective Compliance Practices in Compliance Officer Liability Cases

Level: Intermediate

Subject Area: Compliance Lawyer

DAVID APPLEBAUM, Partner, Jones Day

ARIELLE S. TOBIN, Associate, Jones Day

MICHAEL HENRY, Senior Compliance Counsel, Boston Energy Trading and Marketing

- Presentation from litigation and enforcement attorneys, and a senior in-house compliance counsel, on judicial decisions holding corporate compliance officers liable.
- When and why do courts hold compliance officers liable – and what steps to take to reduce risk and avoid liability.
- Other lessons from recent court and agency decisions on how to make your compliance program more effective.

DG 606* Public Agency Ethics and Compliance Programs – Challenges and Solutions for Government Professionals

Level: Intermediate

Subject Area: Discussion Group

ANGELIQUE P. DORSEY, Ethics Officer, Washington Suburban Sanitary Commission

JABU M. SENGOVA, Ethics Officer, City of Atlanta Ethics Office

JAN K. YAMANE, Executive Director and Legal Counsel, Honolulu Ethics

- How do you address operational process issues revealed through ethics violations?
- What do you do if an ethics issue hits the media?
- How do you give information to legislators on proposed changes to ethics laws?

607 Speak-Up Success: Training and Communications to Truly Encourage Reporting and Reduce Retaliation

Level: Intermediate

Subject Area: Ethics

AMY E. MCDUGAL, President, CLEAResources, LLC

JASON B. MEYER, President, LeadGood, LLC

CHRIS COOK, Vice President, Corporate Compliance, OSI Systems, Inc.

- Multiple major research projects have proven that getting a workforce to report routine issues is the key not only to reducing harassment, but to a more compliant organization overall.
- But how? Training and communication can foster culture and move the needle on reporting (but not if its only that 2-hour mandatory e-learning).
- Based on research and our collective experience, we'll share different approaches and language that work, with the rank and file, middle management and C-suite.

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608 Transform Your Policies: A (Relatively) Pain-Free Guide

Level: Intermediate

Subject Area: Case Studies

ANDREA M. FALCIONE, Principal & Head of Advisory Services, Rethink Compliance

DESIREE RAMIREZ, Chief Compliance & Integrity Officer, UNT Health Science Center

- Building on momentum from its digital Code of Culture initiative, University of North Texas Health Science Center (UNTHSC) embarked upon a policy transformation journey to fundamentally change its approach to policy management.
- Learn about UNTHSC's mandate to decrease the number of its policies from 425 to a more manageable 90 (or so!).
- Hear how UNTHSC evaluated its existing policy inventory and policy management process and then crafted and executed on a massive policy transformation plan.

609 The 7 Habits of an Effective Compliance & Ethics Professional

Level: Basic

Subject Area: Professional Skills

DANIEL ROACH, Chief Compliance Officer; SCCE & HCCA Board Member

- Understanding the compliance and ethics challenge.
- Positioning yourself for success as a compliance and ethics professional.
- Key drivers of effectiveness.

11:15–11:30 AM CDT
COFFEE BREAK

11:30 AM–12:30 PM CDT BREAKOUTS

701 Avoid a Compliance Hangover: Maintain Momentum in Your Compliance Program After the Regulators Have Left

Level: Advanced

Subject Area: General Compliance/Hot Topics

GREGORY BATES, Counsel, Miller & Chevalier

RICHARD P. DAVIES, Global Chief Compliance Officer, Avon Products, Inc.

HARVARD B. SMITH, Chief Compliance Officer, Universal Corporation

- Provide practical tactics to resist calls from management and the board of directors to undo compliance enhancements after settlements with regulators and external monitors.
- Address your organization's realities, such as compliance fatigue at a sensitive time, while maintaining an effective program and demonstrating the program's value to stakeholders.
- Learn to identify and protect what's important, prudently adjust to changing realities, and be a good corporate teammate while shielding your company from recidivism.

702 Anti-Bribery Risk Assessments: Measuring Business Bribery Risk, Updating Procedures and Making Program Modifications

Level: Intermediate

Subject Area: Risk

ALEXANDRA WRAGE, President, TRACE

DANIEL SELTZER, Sr Dir of Anti-Corruption & Government Compliance, Accenture

- How to scope a global risk assessment and identify your most significant risk areas.
- Developing an effective workplan for conducting risk assessments, mapping risks and updating procedures to detect new vulnerabilities.
- Executing on plan to mitigate issues identified via risk assessment and updating procedures.

703 The Challenges of Data Protection and Privacy – GDPR, Brazil DP Law, Japan DP Law

Level: Intermediate

Subject Area: Multi-national/International

SCOTT GIORDANO, V.P. and Sr. Counsel, Privacy and Compliance, Spirion

MARCIA MUNIZ, Legal Director, Compliance and DPO, Cisco Brazil

- Since enforcement of the EU GDPR began in May of 2018, authorities have levied nearly 350 fines against organizations with poor data protection practices, making the law a global benchmark for data protection.
- Other countries, notably Brazil and Japan, have issued their own data protection laws that contain many of the same provisions as that of the GDPR.
- This presentation will compare and contrast those laws and offer ideas for developing a data protection program that meets the requirements of all three.

704 Challenges of Implementing a Risk-Based Third-Party Due Diligence Program

Level: Intermediate

Subject Area: General Compliance/Hot Topics

ANSIE DELPORT, Head of ABC Compliance Operations, Rolls-Royce

LILA ACHARYA, Partner, Crawford & Acharya PLLC

SONAL SHAH, Former Sr. Vice President, Compliance and Risk Officer

- Do you know who your third parties are and what they do for you? Many companies struggle with this as they seek to formalize their third-party due diligence procedures. We will discuss strategies for tackling this challenge.
- Technology and third-party due diligence - friend or foe? The market is now flooded with automated due diligence platforms and screening tools for conducting third party due diligence. How do you determine what is best for your company?
- What constitutes a “risk-based” approach to third-party due diligence? The DOJ, SFO, and AFA all advise taking one, but devising a strategy can be challenging. We will discuss best practices in developing procedures appropriate for your company.

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705 Leverage Legal Developments to Assess and Advance Your Program

Level: Intermediate

Subject Area: Compliance Lawyer

REBECCA S. WALKER, Partner, Kaplan & Walker LLP

JOSEPH E. MURPHY, Senior Advisor, Compliance Strategists

- Review recent developments in the law related to compliance and ethics, including case law, enforcement agreements, and government pronouncements.
- Examine the impact of recent legal developments on compliance and ethics program design and implementation.
- Consider strategies for using compliance and ethics-related legal developments to assess and enhance your program.

DG 706* June 2020 DOJ Guidance and Cross-Functional Cooperation

Level: Intermediate

Subject Area: Discussion Group

SHON RAMEY, General Counsel, NAVEX Global

- Ramey will lead a discussion of compliance officers' new need for greater visibility into other departments reporting mechanisms, especially legal and audit.
- Start with the end in mind. Have the right cross-functional team evaluate whether a proposed action and initiative is a good idea first. Then confirm that it is both legal and ethical.
- The new and changing skillset needed to work in this cross-functional, collaborative way.

707 Current Developments in Compliance Programs Ethics Considerations for Compliance Officers and Attorneys

Level: Basic

Subject Area: Ethics

THEODORE L. BANKS, Partner, Scharf Banks Marmor LLC

- What are the ethical considerations that face anyone involved in compliance activities, whether or not they are attorneys?
- What are some of the recent developments over the last year, including situations where compliance officers have become personally liable for failures in the compliance programs they were directing?
- How do developments in other areas, such as technology, pose ethical obligations that might surprise a compliance officer?

708 How to Conduct a Compliance Program Self-Assessment

Level: Intermediate

Subject Area: Case Studies

DANIELLE E. HERRICK, Vice President, Compliance & Privacy, EMPLOYERS

- What is a compliance program self-assessment, why is it important, and how can it be used?
- How do you develop and conduct a compliance program self-assessment?
- How do you measure your program's progress over time?

709 Change Management: Transforming a Long-Established Compliance Program

Level: Advanced

Subject Area: General Compliance/Hot Topics

CHRISTOPHER ANNAND, Director of Operations – Ethics & Compliance, Cargill Inc.

NEHA GUPTA, Chief Executive Officer, True Office Learning

TANNIE MARSH, Senior Compliance Manager, 3M

- Revisit your compliance risks to refine your training curriculum.
- Enlist change champions to deliver messaging and promote engagement across the firm.
- Deploy a plan to rebrand and relaunch your program to achieve maximum impact (and enjoyment!) with employees.

12:30–1:15 PM CDT
MID-CONFERENCE BREAK

12:45–1:15 PM CDT
NETWORKING GROUP

Compliance focused networking groups include: business to business, energy, and early career professionals.

1:15–2:15 PM CDT

General Session: Fostering a Culture of Compliance

TIFFANY ARCHER, Regional Ethics & Compliance Officer, Panasonic Avionics Corporation

SUSAN ROBERTS, Chief Compliance Officer, Hollister, Inc.

ADELLE ELIA, Ethics and Compliance Officer, WSP

JACKI CHESLOW, Global Compliance Program Leader, IEEE

- What do we mean by a culture of compliance?
- What are the techniques that are truly effective for building the right culture?
- How do you keep a culture on track when there are forces seeking to derail it?

2:15–2:30 PM CDT
COFFEE BREAK

2:30–3:30 PM CDT BREAKOUTS

801 Building Best-in-Class Compliance Programs in Small Organizations

Level: Basic

Subject Area: General Compliance/Hot Topics

TRACY E. TRACY, VP- Compliance and Legal, CCPO, NovuHealth

- Small organizations can be viewed as big sources of risk, especially if you are a vendor to large organizations. Let's make sure you have the right pieces in place to ensure you are a credible partner for your clients.
- This session will share helpful strategies for managing big compliance obligations with small teams.
- You CAN manage the audits you have to respond to, as well as the audits you should be performing. Let's talk about ways to tell your highly effective compliance program story through your audit processes.

802 The Dreaded “F” Word - “Fraud” - What Can You Do About This Risk? - Assessment and Mitigation

Level: Intermediate

Subject Area: Risk

SONAL J. SHAH, Former Sr. Vice President, Compliance and Risk Officer

- Preparing for fraud - have you done a fraud risk assessment? What are your internal controls and monitoring mechanisms? Do you run data analytics?
- Mitigation of assessed risk - preventive and detective controls. Collaboration between operations, legal, compliance, ethics, internal audit, privacy and enterprise risk management (ERM).
- Three recent case studies - enforcement actions.

803 Leap-Frogging in Latin America: How New Compliance Programs for Latin America can Leapfrog Traditional Approaches to Compliance

Level: Intermediate

Subject Area: Multi-national/International

PARTH CHANDA, CEO, Lextegrity

PATRICIA COLOMBO, Director of Legal and Compliance, FUJIFILM

- Learn from experts with on-the-ground experience building compliance programs in Latin America about how recent enforcement and legal changes in the region provide an opportunity to implement best-in-class compliance programs.
- Learn how leading companies in the region are harmonizing controls and processes across markets in the region and localizing compliance to make it more effective.

804 International / Cross Border Investigation Strategies

Level: Basic

Subject Area: General Compliance/Hot Topics

LEAH D LANE, Director, Global Investigations, Texas Instruments

This session will:

- Provide hints and tips to protect yourself and your company prior to engaging in international investigations.
- Provide items to consider during an investigation while onsite in a foreign country.
- Discuss legal challenges of investigations outside your home country.

805 The Ethical, Professional and Personal Challenges of Being Both a Company's Lawyer and its Compliance and Ethics Professional

Level: Intermediate

Subject Area: Compliance Lawyer

KASEY T. INGRAM, General Counsel & Chief Compliance Officer, ISK Americas Incorporated

ANDREW PRICE, Senior Counsel, Google Inc.

GRACIE RENBARGER, Chief Compliance Officer and General Counsel, Bazaarvoice

- Many company lawyers also serve as the chief compliance officer or compliance director. Hear practical guidance and strategies from experienced C&E lawyers who have navigated the dual roles successfully.
- What to do when professional obligations collide and perception problems arise.
- Practical tips on how to respond when your JD didn't prepare you for this!

DG 806* Doing a Lot with a Little: How to Get the Most Out of a Small Ethics Program

Level: Basic

Subject Area: Discussion Group

KEVIN M. ROBERTSON, Valiant Integrated Services

- Much of the best practices we learn about for E&C programs seem designed for established, mature programs with significant resources.
- What about companies where the program is just a person or two, or the program is just getting started? If you don't have the time, money, or people power to do it all, how do you decide what really matters?
- The session will focus on smaller or newer programs that are trying to go from good to great. Key discussion will be about how these programs can determine which elements are essential given limited resources.

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Agenda subject to change.

807 The Ethical Leadership Model - How to Turn Tone at the Top into a Measurable Program Element

Level: Intermediate

Subject Area: Ethics

BRIAN W. BEEGLY, Former Fortune 75 Compliance and Risk Management Executive

- Many companies today take "Tone at the Top" for granted. So long as the CEO appears on the Code of Conduct and talks about "integrity" at the annual town hall meeting, an ethical culture is assumed to be present.
- In fact, an "ethical culture" takes more than just "Tone at the Top." It takes an understanding of behavioral psychology and the explicit qualities of an "ethical leader."
- The Ethical Leadership Model provides compliance teams with the framework to hold leaders accountable for an ethical culture. What is an Ethical Leader and how can companies assess a leader's ethical performance?

808 Current Pressures in Whistleblower Retaliation and the Effect on Compliance Program Effectiveness

Level: Intermediate

Subject Area: General Compliance/Hot Topics

MATT KELLY, Editor & CEO, Radical Compliance

LISA R. FINE, Dir, Compliance for the Americas, Pearson Education

- Review of recent whistleblower cases, both in corporate and government proceedings, and how they may impact reporting and implications of these cases on day-to-day reporters.
- Hear about best practices for encouraging reporting of wrongdoing and for protecting reporters from retaliation from a practitioner with experience in two different industries, and bring your experiences, questions, and pressure points to the discussion.
- We will also discuss situations where compliance officers have raised concerns and have to escalate them to leadership.

809 Warnings, PIPs, and Terminations: Developing a Consistent Approach to Discipline for Compliance Shortcomings

Level: Intermediate

Subject Area: General Compliance/Hot Topics

TODD BRAUNSTEIN, Head of Legal Investigations, Willis Towers Watson

ANN SULTAN, Counsel, Miller and Chevalier

- How does a company balance sometimes competing interests of (various) key regulators and the needs of the business in determining appropriate approaches to discipline across the organization?
- We will walk through examples to discuss how variations in individual jurisdictions in culture and employment law can impact, and complicate, substantive outcomes.
- Discuss common approaches and tips for navigating the most difficult disciplinary situations and developing a robust global discipline program.

3:30–3:45 PM CDT
COFFEE BREAK

3:45 –4:45 PM CDT BREAKOUTS

901 Responsible Use of Emerging Technology

Level: Intermediate

Subject Area: General Compliance/Hot Topics

SRIVIDHYA THIAGARAJAN, Customer Experience and Digital Compliance Lead, MassMutual

ALETHEA O'DONNELL, Head of Corporate Compliance, MassMutual

- Customer expectations have shifted with companies growing use of data and technology. Our presentation focuses on how to help business partners with the implementation of emerging technology and digital solutions in an ethical way.
- How to encourage business partners to ensure digital and data strategies work for all consumers. Special consideration given to maintaining a humanistic perspective so that humans and machines collaborate to benefit customers.
- How to develop a Digital and Data Compliance Program, including development of Data Ethics Principles and a Digital Upskilling Curriculum.

902 Internal Accounting Controls and Internal Compliance Controls: What Public Companies Need to Know for Anti-Corruption, Sanctions, and Anti-Money Laundering Compliance Programs

Level: Intermediate

Subject Area: General Compliance/Hot Topics

DANIEL WENDT, Member, Miller & Chevalier

- Background on the FCPA's accounting provisions, including the requirement for public companies to maintain internal accounting controls.
- A review of the internal accounting control failures noted in recent DOJ and SEC resolutions, including FCPA issues, but also sanctions, commercial bribery, and money laundering.
- Practical guidance for compliance and legal professionals at public companies for working across functions to establish functioning internal controls that implement compliance programs and minimize risk of SEC enforcement.

903 Third-Party Due Diligence: How Much Diligence is Enough?

Level: Intermediate

Subject Area: Multi-national/International

SARAH POWELL, Global Compliance Counsel and Director of Third-Party Anti-Bribery and Corruption Compliance, Pearson

DOUGLAS HUBERTS, Ethics and Compliance Consultant, Eli Lilly & Company

TONY CHARLES, Chief Client Officer, Steele Compliance Solutions Inc.

- While many companies have become serious about adopting a compliance program, enforcement agencies have repeatedly stated that the efficacy of an anti-bribery and anti-corruption program is linked with ongoing efforts to continually monitor risk. So, what elements must be in place.
- The scope of due diligence to perform for an ongoing, existing third-party relationship, when and how to re-evaluate your risk ranking approach, and associated costs of a robust program.
- Understanding the local business environment, customs, and practices; how to incorporate effective front-end vetting and screening protocols based on the type of relationship and interests represented by the third party.

904 What Will Your Employees Say? The Importance of Cultural Assessments

Level: Intermediate

Subject Area: General Compliance/Hot Topics

ART R. WEISS, Chief Compliance & Ethics Officer, TAMKO Building Products LLC; SCCE & HCCA President

- Why a Cultural Assessment? One of the first things government agencies do after targeting an organization is to survey its employees. You need to know what your employees will tell the government before it happens.
- How are they used? Government agents and lawyers will interview your employees to get an idea of your culture. Does senior management really practice what it preaches? Do they have integrity? Do they behave ethically?
- How can you use your assessment to take corrective action. Is it too late? Are your employees going to help or hurt you?

905 Antitrust Compliance: What Does the Government Really Want?

Level: Intermediate

Subject Area: Compliance Lawyer

CHRISTIAN E. LIPIFERT, Counsel, Scharf Banks Marmor LLC

THEODORE L. BANKS, Partner, Scharf Banks Marmor LLC

- What are some of the surprising requirements/hidden traps in the Antitrust Division's Evaluation of Corporate Compliance Programs, and how will government enforcers/compliance monitors respond to programs that purport to follow that guide and the Federal Sentencing Guidelines.
- While checking all the boxes of the government guidelines, what techniques are most likely to actually work in your corporate setting.
- What are some of the requirements in the two dozen other countries that have published antitrust or general compliance guidelines?

DG 906* Engaging your Board Relevance in 2021

Level: Advanced

Subject Area: Discussion Group

PAIGE SHANNON, Compliance Officer and Corporate Counsel, ATI

ADELLE ELIA, Ethics and Compliance Officer, WSP

- How do you as a compliance officer tap into your board's current priorities to engage them?
- How do ethics and compliance programs connect to the hot topics for board members in 2021?
- Focus areas: the board's role in crisis management; stronger demand for oversight of company culture; and the increasing importance of Environmental, Social and Governance (ESG) in M&A and other contexts.

907 How to Reinvalidate a Global Code of Conduct - The Sony Way

Level: Intermediate

Subject Area: Ethics

PRIETTA BOOKER, Global Ethics & Compliance Associate, Sony Corporation of America

SARAH STANTON, Sales Manager, DeltaNet International

- Sony needed an online Global Code of Conduct training course that explained the company values and outlined the ethical responsibilities of their employees to replace their previous paper-based version.
- Follow their journey as they developed and embraced engaging online training that was applicable and appropriate to the entire Sony Group, which reflected the Sony brand; innovative, inspiring and dynamic.
- Learn from Sony's experiences of the project, identify lessons learned and the successes achieved.

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908 Ethics & Compliance Training is the Worst! Two Creative Agencies Share Some Different Ideas and Options

Level: Advanced

Subject Area: General Compliance/Hot Topics

RICARDO P. PELLAFONE,
Founder, Broadcat

RONALD FELDMAN, President & Creative Director, Learnings & Entertainments

- Why check-the-box Ethics & Compliance training is terrible...and why this is okay.
- We will review alternative creative programming options that may be a better, more efficient use of your time and money.
- Use the right tool for the job. We'll review different types of E&C programming and discuss which creative techniques work best for which functions.

909 Taking Your Code Digital: Here's How to Do It Right

Level: Intermediate

Subject Area: General Compliance/Hot Topics

TRICIA CORNELL, Head of Creative Services, Rethink Compliance

ANDREA M. FALCIONE, Principal & Head of Advisory Services, Rethink Compliance

KELLEEN BRENNAN, Associate General Counsel, Carvana

RITU NARULA, Counsel, Schiff & Hardin

- Optimize your Code for your 21st-century, always-online audience.
- Make the most of available technology, while avoiding tech hassles.
- Learn where to start, five features your Code must have, and three things you don't need

5:00–6:00 PM CDT

ROCK OUT WITH ROCK IT MAN
ENTERTAINMENT SOCIAL HOUR

Interact and engage with your fellow CEI attendees at this request-driven piano show! Bring your song requests and a favorite beverage for this musical variety show with thousands of songs spanning many decades and genres to close out Tuesday at the Conference.

Wednesday, September 16

8:30–9:00 PM CDT
NETWORKING GROUP

Compliance focused networking groups include: business to consumer, international, financial services and insurance.

9:00–10:30 AM CDT BREAKOUTS

W1 Website Accessibility: Practical Steps to Reduce Risk, Promote Compliance, and Understand the Laws that Apply to Devices, Websites and Apps

Level: Intermediate

Subject Area: General Compliance/Hot Topics

ROBERT BOND, Partner & Notary Public, Bristows LLP; SCCE & HCCA Vice President

MICHELLE LANDIS, Co-Founder, Accessible360, LLC

STEVE HELLAND, Partner, Fredrikson & Byron

SUDHA RAJAN, Digital Accessibility Director, UnitedHealthcare

- Business and technical context: Explanation of what "accessibility" means for websites, apps, and digital tools. Litigation explosion.
- Action items to increase accessibility. Demo of screen-reading tool JAWS.
- Legal: Highlights of the Americans with Disabilities Act and other laws. Top recent cases.

W2 Managing an Effective Export Compliance Program in a Global Market, Because Nobody Looks Good in Day Glow Orange

Level: Intermediate

Subject Area: Risk

LINDSAY C. CLOONAN, Sr Principal Int Trade Compliance Analyst, Northrop Grumman Corporation

SALVATORE J. CERAOLO, Senior Manager Export Licensing & Compliance, Northrop Grumman

- We will examine the licensing and compliance requirements for exporting under the EAR and ITAR, beginning with proper product classification.
- We will examine various internal compliance controls to mitigate risk once Export Authorizations have been approved by the US government.
- We will examine some compliance monitoring processes to mitigate risk that can be performed on an annual basis.

W3 Europe, Balkans and the Americas: Dealing with Compliance in Our New Reality – Why Should You Care?

Level: Intermediate

Subject Area: Multi-national/International

SUSAN DU BECKER, Global Compliance Enablement, Cisco Systems BV

MARIA LANCRI, Attorney, Partner, Squair

YULIA ELISEEVA, Managing Partner, Ru Compliance LLC

- Using the law as an excuse; emergency laws, Brexit, Europe and the Balkans. Do they exist, what are they and, how do we work together?
- Using the economy as an excuse; Now we have new laws, force majeure and our new reality. What is the cause and effect with our compliance programs, anti-trust, privacy and corruption. How do we steer and guide our people?
- Relationships between you, me and others and the necessity of ethical relationships in the aftermath of COVID-19; new bonds, new opportunities, new behaviors, new ways of thinking in our new world.

W4 What Compliance Professionals Need to Know about Immigration Law

Level: Basic

Subject Area: Compliance Lawyer

ANGELO A. PAPARELLI,
Certified Immigration Specialist,
Seyfarth Shaw LLP

NICOLE A. KERSEY, Managing Director,
Kersey Immigration Compliance, LLC

BRENDAN RYAN, Manager, Field
Compliance, Dycom Industries, Inc.

- Provide a general overview of the various immigration laws that may impact ethics and compliance.
- Discuss how to interact with internal stakeholders to address the ethics and compliance risks that may arise under immigration laws.
- Provide guidance regarding how to interact with the federal agencies overseeing immigration laws and respond to audits and investigations.

W5 Polishing Your Investigation Skills, Part I

Level: Basic

Subject Area: Investigations

ALBERT GAGNE, Former Director Ethics & Compliance, Retired

- Discuss common investigation scenarios you are likely to encounter and how to respond correctly.
- Sharpen some important investigation skills that are key to your success as an investigator.
- Learn how to avoid some pitfalls that can jeopardize your success.
- Focus your investigations on business insights, as well as misconduct, to contribute to the success of your organization.

W6 Expanding into the Federal Marketplace – Compliance Issues to Consider When Doing Business with the Government

Level: Intermediate

Subject Area: General Compliance/Hot Topics

ROBERT J. WAGMAN, Partner, Bracewell

MATTHEW NEILSEN, Partner, Bracewell

- Through this session, attendees will gain a deeper understanding of the compliance requirements for doing business with the government, including the mandatory disclosure obligations in the Federal Acquisition Regulation (FAR).
- We will discuss the unique risks that primarily commercial companies face -- and the best ways those risks can be addressed -- when doing business with the government while expanding into the federal marketplace.
- The session will also cover recent developments, best practices and practical steps for structuring and maintaining an effective compliance program that complies with the FAR.

10:30–10:45 AM CDT
COFFEE BREAK

10:45 AM–12:15 PM CDT BREAKOUTS

W7 Effective Partnership Strategies with Your Board of Directors

Level: Intermediate

Subject Area: General Compliance/Hot Topics

JOHN FONS, Former Director,
Global Compliance, Modine
Manufacturing Company

MICHAEL L. VOLKOV, CEO,
Volkov Law Group LLC

- Chief compliance officers must develop an effective working relationship with their board of directors to ensure that the company's compliance program has adequate authority, resources and independence.
- Recent court decisions—*Marchand v. Barnhill* and *Clovis Oncology, Inc. Derivative Litigation*—have increased risks for individual board member liability; as a result, CCOs must train board members on proper oversight and monitoring functions.
- Given this new environment, this session will identify positive strategies to increase board engagement, ensure effective reporting, and increase overall board support of the compliance function.

W8 Effective E&C Risk Management Practice: Program Essentials and Core Practice Considerations

Level: Basic

Subject Area: Risk

GREG TRIGUBA, Principal, Compliance Integrity Solutions, SCCE & HCCA Board Member

VIRGINIA MACSUIBHNE, VP Chief Compliance Officer, Roche Molecular Solutions

- Gain a deeper understanding of the basic roles, resources, and fundamentals necessary to facilitate and manage an effective ethics and compliance risk management program.
- Explore the challenges, planning considerations, and strategic solutions for implementing and leading effective ethics and compliance risk assessment processes.
- Consider outcomes derived from basic risk assessment findings and explore opportunities to use this valuable information to prioritize and build strategic plans for effective management and mitigation.

W9 5 Steps to Ethical Problem Solving

Level: Intermediate

Subject Area: Ethics

MARCY J. MASLOV, Chief Integrity Builder, e-Factor!®- the educational board game for business ethics

- We assume everyone has the same definition of ethics as we do ... until there's a problem. Every business issue we face has an ethical dilemma at its core. Do you know how to recognize the ethical dilemma?
- Employers of new graduates are complaining their new hires are not Job Ready in one critical area: ethics. So where do we learn how to solve ethical dilemmas? Who taught you, and how do you know if you've made the right decision?
- It's important to provide a framework for ethical problem solving. This program offers a 5-step framework and a gamified approach to teaching not only decision-making but critical thinking, leadership and team-building skills.

W10 What Compliance Professionals Need to Know about Employment Law

Level: Intermediate

Subject Area: Compliance Lawyer

LOUIS SAPIRMAN, VP and Chief Ethics & Compliance Officer, Panasonic Corporation of North America

JAMES OH, Member, Epstein, Becker & Green, P.C.

- Provide a general overview of the various employment laws that may impact ethics and compliance
- Discuss trending compliance-related employment issues, including #MeToo, cannabis legalization, and government agency initiatives focusing on the workplace, such as the NLRB's position that social media can be used to engage in protected concerted activity and the EEOC's Equal Pay Act focus, including the requirement that employers submit pay data to the EEOC.
- Provide guidance regarding how to leverage HR to drive success in your ethics and compliance program

W11 Polishing Your Investigation Skills, Part II

Level: Basic

Subject Area: Investigations

MERIC BLOCH, Vice President, Global Investigations, Booking Holdings, Inc.

- Discuss common investigation scenarios you are likely to encounter and how to respond correctly.
- Sharpen some important investigation skills that are key to your success as an investigator.
- Learn how to avoid some pitfalls that can jeopardize your success.
- Focus your investigations on business insights, as well as misconduct, to contribute to the success of your organization.

W12 From Paper to Practice: Best Practices for Compliance Professionals to Collaborate with Tech Teams and Monitor Data Regulatory Compliance

Level: Intermediate

Subject Area: General Compliance/Hot Topics

MARTHA LACKRITZ-PELTIER, General Counsel, TechSoup Global

WHITTNEY TOM, Contractor, TechSoup

- As the compliance/legal focal point responsible for monitoring your company's data regulatory compliance, learn best practices when working with your tech team on data management. Come away with a foundational glossary of terms for you to use.
- Recent legal cases studies in the U.S., as well as outside the U.S., in countries with new and emerging data privacy laws, and lessons learned.
- Peer-to-peer knowledge sharing on how companies work to comply with ever-evolving privacy and data security regulations. Come ready to participate in small group discussions and activities!

12:15–1:00 PM CDT
MID-CONFERENCE BREAK

1:00–2:30 PM CDT

W13 Weaving Compliance into the Operations of Your Organization

Level: Intermediate

Subject Area: General Compliance/Hot Topics

JOSEPH AGINS, Compliance Officer, Sam Houston State University

DEENA KING, Chief Compliance Officer, The University of Texas at Tyler

- According to one source, in 1993 there were 4,369 final rules in the *Federal Register*. Over the years that number has expanded exponentially. In 2017, there were 101,380 final rules. How can compliance leaders keep up?
- One strategy is to strengthen the compliance front lines in your organization by identifying existing compliance subject-matter experts, building a compliance network, and leveraging that expertise for the good of the entire organization.
- This session will discuss how to weave compliance into the operations of your organization. This approach can result in stronger and more effective compliance function.

W14 Blending with the Federal Workforce: What Ethics & Compliance Officers Need to Know When Providing Services to the Federal Government

Level: Basic

Subject Area: Risk

DANICA IRVINE, Senior Attorney, DoD Office of General Counsel

GERARD F. AMANN, General Counsel, North America, Accenture

- This session will address unique compliance challenges inherent in a blended contractor/government employee workforce, including conflicts of interest, gifts, social interactions, post-employment restrictions, and protection of data.
- This is a continuously evolving landscape, and we will identify current and developing issues while discussing best practices for risk management.
- This is a "must attend" session for companies who provide services to the U.S. government.

W15 How to Promote and Reinforce Your Company's Values Through an Ambassador Program

Level: Intermediate

Subject Area: Case Studies

JP SHOTWELL, Director, Corporate Compliance and Information Governance, Southern California Edison

MICHAEL CHINN, Senior Advisor, Corporate Compliance, Southern California Edison

TONI-LYNNE LANGEVELD, Senior Advisor, Corporate Compliance, Southern California Edison

- Want to start an ambassador program at your company, but don't know where to start? In this session, learn how to garner leadership support for your program, select the right ambassadors, and engage them through meaningful dialogue, tools and resources.
- How can you promote an ethical and compliant culture? Start an ambassador program! In this session, learn what it takes to start a program from the ground up and sustain it with the right people to reinforce behaviors you want your employees to embody.
- Want to reinvent your ambassador program to promote a values-based culture? Learn how SCE transformed its Ethics Ambassador Program to its current Values Ambassador Program and the impact its ambassadors have had on fostering a positive work environment.

W16 What Compliance Professionals Need to Know about Privacy & Cybersecurity Law

Level: Intermediate

Subject Area: Compliance Lawyer

ELLIOTT SIEBERS, Associate, Privacy & Data Security Group at Frankfurt Kurnit Klein & Selz

LAUREL BURKE, Director and Associate General Counsel – Compliance & Data Privacy, Peabody Energy

LEONA LEWIS, Privacy Program Manager, Shutterstock

- Provide a general overview of the various privacy and cybersecurity laws that may impact ethics and compliance.
- Discuss how to interact with internal personnel to address the ethics and compliance risks that may arise under various laws.
- Provide guidance on managing security incidents and interacting with regulatory agencies that enforce privacy and cybersecurity laws.

W17 Conducting Thorough Corporate Investigations: Don't Get Lost in the Data

Level: Intermediate

Subject Area: Investigations

BRIAN J. MICH, Partner, Control Risks

MICHAEL JOUDEH, Director, Control Risks

- What does a strategic investigative framework look like? We'll discuss key considerations for establishing a strong investigation and right-sizing your response to maximize effort and resources.
- How to focus your resources on what matters most: Navigating privacy considerations, preserving evidence and accounting for regional nuance.
- Leverage data analytics to help focus and streamline your investigation - eliminate irrelevant documents and false positives while clustering and visualizing evidence of interest.

W18 Crystal Gazer, Magical Man: Tell the Future of Compliance, If You Can

Level: Intermediate

Subject Area: General Compliance/Hot Topic

LOUIS PEROLD, Compliance Professional, SCCE & HCCA Non-Officer of the Executive Committee

PAUL ZIETSMAN, Global Compliance Officer, SAP MENA

DENIS JACOB, VP, Deputy Chief Compliance Officer, Orthofix

- Compliance by Design: Utilizing strategic thinking to position compliance as an integral part of the business from the very beginning or conception phase of projects/products/services, instead of an afterthought.
- Technology: Understanding the different emerging technologies (e.g. block chain, machine learning) and how it can be applied to avoid the trap of mere incremental improvements.
- Positioning: Where and how should the compliance function be positioned in the future? What's the profile of the compliance professional for those future needs?

2:30–2:45 PM CDT
COFFEE BREAK

2:45–3:45 PM CDT BREAKOUTS

W19 TBA

Level: TBA

Subject Area: TBA

W20 Measuring and Maintaining Culture: Benchmarking, Surveys, and Operational Best Practices

Level: TBA

Subject Area: Risk Track

CAROLINE MCMICHEN, Former CCO Molson-Coors, Strategic Advisor to SAI Global

JUNNA RO, VP, Chief Ethics & Compliance Officer, Associate General Counsel, CSAA Insurance Group, a AAA Insurer

LUIS CANUTO, Deputy Group Compliance Officer, Schindler Elevator

- Practical strategies and real-world examples of how to measure culture, ethical behavior, and compliance program effectiveness.
- How to use benchmarking to gather actionable insights into compliance program strengths and weaknesses, make improvements, and identify potential risks.
- Operationalizing ethics and compliance in your organization by making it more accessible, relatable, and real.

W21 Crisis and Compliance: Maintaining Oversight and Corporate Culture During the Pandemic

Level: Intermediate

Subject Area: General Compliance/Hot Topics

ERIC R. FELDMAN, Senior Vice President and Managing Director, Corporate Ethics and Compliance Programs, Affiliated Monitors, Inc.

- Identify current challenges and practical responses to help organizations maintain the effectiveness of their ethics and compliance programs during the current pandemic crisis.
- Explore the challenges and risks facing companies as they try to maintain a strong corporate culture in a remote working environment.
- Discover some of the key compliance program elements described in the revised DOJ program evaluation guidance that require additional attention as we navigate through "the new normal".

W22 What Compliance Professionals Need to Know about Environmental Law

Level: Intermediate

Subject Area: Compliance Lawyer

JOSHUA H. VAN EATON, Principal, Beveridge & Diamond, P.C.

CRAIG STURTZ, Associate General Counsel, EH&S, Hexion Inc.

PETER C. ANDERSON, Chief Ethics and Compliance Officer, Carnival Corporation

- Provide a general overview of the various environmental laws that may impact ethics and compliance.
- Discuss how to interact with internal environmental professionals to address the ethics and compliance risks that may arise under environmental laws.
- Provide guidance regarding how to interact with environmental regulators and other stakeholders to drive success in your ethics and compliance program.

W23 Managing Investigations Before They Start Organizing an Effective Investigation Process through Thoughtful Preparation

Level: Intermediate

Subject Area: General Compliance/Hot Topics

MICHAEL ORTWEIN, Lead Counsel - Special Investigations & Compliance, General Motors

MARIANNE IBRAHIM, Director, Global Compliance, Baker Hughes, a GE Company

DANIEL WENDT, Member, Miller & Chevalier

- Key investments to make when starting or revamping an investigation process for multinational companies.
- Improving investigation policies and procedures during quiet times, including guidelines for preparing reports, reviewing findings across functions, and deciding on remediation and discipline.
- Managing external counsel, forensic accountants, ediscovery vendors, and other providers across multiple jurisdictions before issues arise.

W24 Coming into a Crisis Situation – Surviving, Transforming, and Finding the Opportunities

Level: Advanced

Subject Area: General Compliance/Hot Topic

MARTHA CUMMINGS, Managing Partner, NT Unlimited

- Evaluating the crisis – root causes, current impacts, potential further impacts – and is there anything good here?
- Getting buy-in and changing people or changing (out) people
- Moving forward (and on the to the next crisis!)

3:45–4:00 PM CDT
COFFEE BREAK

4:00–5:00 PM CDT BREAKOUTS

W25 Bringing Effective Ethics and Compliance Training to a Multi-Generational Workforce

Level: Intermediate

Subject Area: Compliance Lawyer

LEA WILLIAMS, Attorney, Entrepreneur, and Law Professor, Leading Employment Actions, LLC

- How to share a consistent message with a diverse multi-generational workforce. Adult learners require training that is tailored to the adult learner.
- Why using multiple training platforms is more effective than trying to shoehorn your workforce into a one-size-fits-all training. Different generations require an approach that reaches out to them.
- Learn from my mistakes and successes. There is no perfect solution, but follow along and avoid reinventing the wheel.

W26 Whistleblowers, Incident Management & Training: The Trifecta for Creating an Effective Speak-Up Culture

Level: Intermediate

Subject Area: General Compliance/Hot Topics

JOHN WERNIKOWSKI, Client Development Director, Steele Compliance Solutions, Inc.

JOSHUA TOAS, Chief Compliance Officer, The Research Foundation for SUNY

JENEETA O'CONNOR, Compliance Program Manager, Memorial Sloan Kettering Cancer Center

- This panel will present some case studies/ best practices from clients on what elements companies are using in their arsenal for helping to promote a speak-up culture within their organizations.
- How is training and attestation used as support? What role does a strong incident management program have?
- Why is just providing a hotline not enough? And what impacts have these changes had on their compliance efforts?

W27 How to Reach Your Global Workforce

Level: Intermediate

Subject Area: Multi-national/International

RACHEL BATYKEFER, Senior Director, Global Compliance, Teva Pharmaceuticals

SUZAN MCGINNIS, Senior Director, Advisory Services, Rethink Compliance

- Hear from practitioners at global corporations about their challenges and solutions.
- Learn how and when to develop a single messaging solution – and when to differentiate.
- See examples of creativity that reach workforces around the globe.

W28 Individual Accountability for Corporate Wrongdoing

Level: Basic

Subject Area: Compliance Lawyer

JOEL-LYN A. MCCORMICK, Assistant United States Attorney, Department of Justice

- A discussion of what prosecutor's review and consider when determining whether to charge a corporate entity. The presentation will discuss the federal principles of prosecution of business organizations and corporate management.
- Application of sentencing guidelines will focus on what features within a compliance program are most favorable to the corporation under the advisory sentencing guidelines.
- Building a prosecution-proof compliance program: This part of the presentation will provide an interactive exercise for participants to outline and develop a model compliance program.

W29 Large-Scale Investigations in Multinational Companies

Level: Advanced

Subject Area: Investigations

KATARZYNA GOLONKA, Regional Compliance Manager, Tech Data Corporation

JANNICA HOUBEN, Director, Ethics & Compliance, Tech Data Europe

- Discuss various aspects of internal investigations; from planning through assembling the investigative team and designing investigative steps to interviews, reporting and discipline.
- A comprehensive analysis of the investigation process, offering the perspectives of both a lawyer/compliance officer and an external forensic expert/fraud investigator.
- Practical examples and mini case studies, including for areas such as interviews, data capture and analysis and the investigative team.

W30 ERM and Compliance: A Preview of Soon-to-be Released Guidance from SCCE and COSO

Level: TBA

Subject Area: General Compliance/Hot Topics

DANIEL ROACH, Chief Compliance Officer, Optum360, SCCE & HCCA Board Member

URTON ANDERSON, Director and Professor, Von Allmen School of Accountancy

GERRY ZACK, CEO, SCCE & HCCA

- Apply the COSO Enterprise Risk Management framework to the management of compliance risk.
- Map the elements of an effective compliance and ethics program to ERM.
- Understand how to apply the soon-to-be-published guidance from COSO authored by SCCE.

Compliance & Ethics Institute

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