

VIRTUAL CONFERENCE

Applying the COSO ERM Framework to Compliance Risk Management

April 28, 2021

SCCE & HCCA partnered with Committee of Sponsoring Organizations of the Treadway Commission (COSO) to create a guidance on the application of COSO's Enterprise Risk Management framework to the management of compliance risk. Published in November 2020, the guidance is based on current practices and expectations for effective compliance and ethics programs.

To assist in understanding and applying the guidance found in the publication, SCCE & HCCA has developed a one-day virtual conference.



Register online
corporatecompliance.org/2021coso



Speakers



Urton Anderson,
CIA, CRMA, CCEP,
Director and EY Professor,
Von Allmen School of Accountancy



Daniel R. Roach,
Chief Compliance Officer,
Optum 360



Paul J. Sobel,
CIA, QIAL, CRMA,
COSO Chairman, Committee
of Sponsoring Organizations
of the Treadway Commission



Greg A. Triguba,
CCEP, CCEP-I, JD,
Principal, Compliance
Integrity Solutions



Gerry Zack,
CCEP, CFE, CIA, CPA,
CEO, SCCE & HCCA

8:55–9:00 AM CDT

Welcome and Introduction

9:00–10:00 AM CDT

The Relationship Between Enterprise Risk Management, Internal Controls, and Compliance and Ethics Programs

LEVEL: INTERMEDIATE

- Understand the relationship between ERM and compliance programs
- Clarify differences and relationships between ERM and compliance related internal controls
- View the compliance risk management process through the lens of the COSO ERM framework

10:00–10:15 AM CDT

Coffee Break

10:15–11:30 AM CDT

Characteristics of Compliance Programs Applicable to the Governance and Strategy Components of ERM

LEVEL: INTERMEDIATE

- Understand how the governance and culture component and the strategy and objective-setting component of the COSO ERM framework relate to compliance risk management
- Identify key characteristics of effective compliance programs applicable to the ERM principles underlying governance and culture component and the strategy and objective-setting components
- Consider how to apply these characteristics to potential compliance risks

11:30 –11:45 AM CDT

Coffee Break

11:45 AM – 12:45 PM CDT

Characteristics of Compliance Programs Applicable to the Performance Component of ERM

LEVEL: INTERMEDIATE

- Understand how the performance component of the COSO ERM framework relates to compliance risk management
 - Identify key characteristics of effective compliance programs applicable to the ERM principles underlying the performance component
 - Consider how to apply these characteristics to potential compliance risks
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12:45 – 1:00 PM CDT

Coffee Break

1:00 – 2:15 PM CDT

Characteristics of Compliance Programs Applicable to the Review and Revision Component and the Information, Communication, and Reporting component of ERM

LEVEL: INTERMEDIATE

- Understand how the review and revision component and the information, communication, and reporting components of the COSO ERM framework relate to compliance risk management
 - Identify key characteristics of effective compliance programs applicable to the ERM principles underlying the review and revision component and the information, communication, and reporting components
 - Consider how to apply these characteristics to potential compliance risks
-

2:15 – 2:30 PM CDT

Coffee Break

2:30 – 3:30 PM CDT

Practical Applications of ERM to Compliance Risk Management

LEVEL: INTERMEDIATE

- Hear practical tips for applying the ERM framework to compliance risks
 - Integrate compliance risk management using the compliance and ethics program methodology with the ERM framework
 - Identify and overcome potential obstacles to the integration of the ERM framework with compliance and ethics programs
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Contact Information

Mr Mrs Ms Dr

Member/Account ID (if known)

First Name MI Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town State/Province

Zip/Postal Code Country

Work Phone

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Continuing Education

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