

Higher Education Compliance Conference

JUNE 14-16 | VIRTUAL

Learn how to address emerging risks, share best practices to deal with unique compliance challenges, and make valuable industry connections.

Topics include:

- Title IX
- Clery Act
- Privacy and Security
- NCAA Enforcement Trends
- Institutional Data
- Compliance Training
- Section 117 Compliance
- Code of Conduct
- Conflicts of Interest

Receive complimentary access to HCCA's Research Compliance Conference.

Learn more and register
corporatecompliance.org/2021highered



ABOUT

Higher education has a unique set of compliance challenges. Find out how to meet them at the virtual Higher Education Compliance Conference, as you learn about emerging risks and solutions in higher learning institutions, share best practices, and make valuable industry connections.

Higher Education Compliance Conference educational sessions will provide you with the opportunity to earn live CCB CEUs from the convenience of your home or office. Sessions are led by industry professionals and are organized by knowledge level: basic, intermediate, and advanced.

With registration, attendees also gain admittance to the HCCA Research Compliance Conference held at the same time.

All breakout sessions have a knowledge level associated with them, these levels are just guidelines and you are free to attend sessions of any level.

Basic: Program knowledge level most beneficial to Compliance Professionals new to a skill or an attribute. These individuals are often at the staff or entry level in organizations, although such programs may also benefit a seasoned professional with limited exposure to the area.

Intermediate: Program knowledge level that builds on a basic program, most appropriate for Compliance Professionals with detailed knowledge in an area. Such persons are often at a mid-level within the organization, with operational or supervisory responsibilities, or both.

Advanced: This level focuses on the development of in-depth knowledge, a variety of skills, or a broader range of applications. Advanced level programs are often appropriate for seasoned professionals within organizations, and professionals with specialized knowledge in a subject area.

Session topics:

- Title IX
- Clery Act
- Privacy and Security
- NCAA Enforcement Trends
- Institutional Data
- Compliance Training
- Section 117 Compliance
- Code of Conduct
- Conflicts of Interest

Who Should Attend?

- Compliance and Ethics Officers
- Academic Compliance Managers
- Title IX Compliance Officers
- IT Compliance Directors and Managers
- CFOs, Accountants, and Others in Finance
- Internal Auditors
- University Privacy Officers
- General Counsel

SCCE's Mission

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.

CONTINUING EDUCATION

Credits are assessed based on actual attendance and credit type requested. Should the overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. 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 **20.4** CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance–Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC)®, Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional–Fellow (CCEP-F)®, Certified Compliance & Ethics Professional–International (CCEP-I)®.

Daily Breakdown:

Monday 6 HR | **7.2** CCB CEUs
Tuesday 5 HR | **6.0** CCB CEUs
Wednesday 6 HR | **7.2** CCB CEUs

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor

of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Live. Advanced Preparation: None. A recommended maximum of **20.4** credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1.952.933.4977.

Continuing Legal Education (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of **8.0** clock hours of CLE credit for qualifying sessions will be available to attendees of this conference licensed in these states. Upon request, if there is sufficient time and if there are sessions that meet their CLE requirements, SCCE may submit qualifying sessions to additional state CLE

authorities for consideration. This includes meeting state CLE authorities' requirements for sessions being offered live and virtually. **Only written requests from registered attendees will be considered.** All CLE credits will be assessed based on actual attendance and in accordance with each state CLE authority's requirements.

SCCE is in the process of applying for additional external continuing education units (CEUs). 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.

ACTIVITIES

Trivia

Monday, June 14, 1:00 pm CDT during the Mid-Conference Break. Join in on an interactive, live trivia game to test your knowledge. See live player rankings and win prizes!

Live Piano Show

Tuesday, June 15, 3:45–4:45 pm CDT. Interact and engage with your fellow attendees at this request-driven, family friendly, piano show. Bring your song requests and favorite beverage for this musical variety show with thousands of songs to choose from, spanning many decades and genres.

Networking

Wednesday, June 16, 12:45 pm CDT during the Mid-Conference Break. Connect and engage with fellow attendees over Zoom to collaborate and discuss relevant topics.

Platinum Sponsors



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SCHEDULE AT A GLANCE

ALL TIMES LISTED ARE IN CENTRAL DAYLIGHT TIME (CDT)

MONDAY, JUNE 14

9:00–9:10 AM CDT	Opening Remarks	
9:10–10:10 AM CDT	GENERAL SESSION 1: Higher Education Compliance: 2020 – 2021 Year in Review	
10:10–10:30 AM CDT	Coffee Break	
10:30–11:30 AM CDT	HE1A Is Your Compliance and Ethics Program Effective? Conducting a Self-Assessment Using Maturity Models	HE1B The Bicoastal Journey: Building Sustainable and Effective Institutional Compliance Models
11:30–11:45 AM CDT	Coffee Break	
11:45 AM–12:45 PM CDT	HE2A Starting a Privacy Compliance Program at Your Institution	HE2B The Goldilocks Approach to Compliance Training
12:45–1:45 PM CDT	Mid-Conference Break	
1:00 PM CDT	Trivia	
1:45–2:45 PM CDT	HE3A Conducting Effective Title IX Investigations and Hearings under the Final Regulations: Achieving Compliance with Compassion and Competency	HE3B Labor and Social Responsibility in Higher Education
2:45–3:00 PM CDT	Coffee Break	
3:00–4:00 PM CDT	HE4A It's Time to Update Your Code of Conduct: Here's How!	HE4B The Future of Foreign Influence: Strategies to Proactively Manage Risk and Prepare for Regulatory Changes
4:00–4:15 PM CDT	Coffee Break	
4:15–5:15 PM CDT	HE5A Data, Data, Everywhere: Strategies for Using Institutional Data to Create Strategic and Effective Reporting for Oversight Boards and Institutional Leadership to Demonstrate the Value-Add of the University Ethics & Compliance Program	HE5B Youth Program Compliance in a Virtual World

TUESDAY, JUNE 15

9:00–10:00 AM CDT	HE6A Speaking Truth to Power: A Must Have Skill for Everyone!	HE6B Immigration Policy and Enforcement Changes under the Biden Administration
10:00–10:15 AM CDT	Coffee Break	
10:15–11:15 AM CDT	HE7A Cybersecurity Compliance in Research Activities: New and Growing Challenges for Higher Education	HE7B Inject Adult Learning Theory into Your Compliance Training
11:15–11:30 AM CDT	Coffee Break	
11:30 AM–12:30 PM CDT	GENERAL SESSION 2: Choreograph Your Life: One Choice at a Time	
12:30–1:30 PM CDT	Mid-Conference Break	
1:30–2:30 PM CDT	HE8A Data Analytics in Audits and Investigative Red Flags: An OIG Perspective	HE8B The Impacts of Compliance in Diversity, Equity, and Inclusion at Higher Education Institutions
2:30–2:45 PM CDT	Coffee Break	
2:45–3:45 PM CDT	HE9A Compliance Dream Teams: Hiring or Enlisting the Help We Need to Make Our Programs More Effective and Successful	HE9B NCAA Enforcement Decisions and Enforcement Trends: What Your Institution Needs to Know to Comply
3:45–4:45 PM CDT	Conference Social Event – Live Piano Show	

WEDNESDAY, JUNE 16

9:00–10:00 AM CDT	HE10A Guidance from DOJ in 2020: Use Hindsight – Continue Evolving Your Compliance Programs	HE10B Compliance Career Development: Practical and Team Approaches
10:00–10:15 AM CDT	Coffee Break	
10:15–11:15 AM CDT	HE11A Privacy and Security as Partners in Protection of Data	HE11B Revisiting Your Code of Ethical Conduct: Does it Effectively Promote Your Organization's Commitment to the Cultural Values of Integrity, Ethics, Equity, and Inclusion?
11:15–11:30 AM CDT	Coffee Break	
11:30 AM–12:30 PM CDT	HE12A Lessons Learned at the Intersection of Compliance and Enterprise Risk Management	HE12B Section 117: Operational Leading Practices
12:30–1:30 PM CDT	Mid-Conference Break	
12:45 PM CDT	Networking	
1:30–2:30 PM CDT	HE13A Connecting the Conflict Dots: Getting the Full Picture for Conflicts of Interest and Conflicts of Commitment	HE13B Managing a Document-Heavy Investigation: Five Strategies to Make Voluminous Evidence an Ally Instead of a Burden
2:30–2:45 PM CDT	Coffee Break	
2:45–3:45 PM CDT	HE14A Compliance Officers Roundtable	HE14B How to Meet Regulatory Requirements for Plain Language in Higher Ed
3:45–4:00 PM CDT	Coffee Break	
4:00–5:00 PM CDT	GENERAL SESSION 3: Lessons Learned from COVID-19	

Monday, June 15

9:00 – 9:10 AM CDT

Opening Remarks

9:10 – 10:10 AM CDT

General Session 1: Higher Education Compliance: 2020 – 2021 Year in Review

MARISA ZUSKAR, Senior Director, Huron Consulting Group

- Provide a year-in-review perspective of major events and the impacts on higher education compliance
- Recap significant changes in regulations with a focus on the institutional compliance response
- Cover the broad spectrum of higher education compliance areas such as Title IX, COVID-19, NCAA, etc.

10:10 – 10:30 AM CDT

Coffee Break

10:30 – 11:30 AM CDT

HE1A Is Your Compliance and Ethics Program Effective? Conducting a Self-Assessment Using Maturity Models

Level: Intermediate

KENNETH J. LIDDLE, Assistant General Counsel - Compliance, Northeastern University

ROBERT ROACH, Senior Advisor, Guidepost Solutions LLC, Guidepost Solutions LLC

TRACY ARWOOD, Chief Ethics & Compliance Officer, Clemson University

- Learn how to assess your compliance and ethics program's effectiveness using maturity models
- Use maturity models to set achievable goals for improving your program within available resources
- Develop a process for assessing and improving specific components of your compliance program

HE1B The Bicoastal Journey: Building Sustainable and Effective Institutional Compliance Models

Level: Basic

TYE WELCH, Director of Compliance, CA Institute of Technology

PAMELA D. KOYZIS, Associate Vice President, Audit & Compliance, California Institute of Technology

NILUFER K. SHROFF, Vice President, Chief Audit and Compliance Officer, Princeton University

HOPE CALDWELL, Associate Director, Compliance, Princeton University

- Understanding how compliance models work at two research universities
- Harnessing joint accountability and identification of responsibility throughout the institution
- Assuring and involving the board of trustees on university-wide compliance

11:30 – 11:45 AM CDT

Coffee Break

11:45 AM – 12:45 PM CDT

HE2A Starting a Privacy Compliance Program at Your Institution

Level: Basic

DOUG WELCH, Associate General Counsel, Chief Privacy Officer and HIPAA Privacy Officer, Baylor University

- Understand what a privacy compliance program is and why your institution needs one
- Learn the initial steps to establishing a privacy compliance program on your campus
- Discover the top privacy issues your college or university should be watching now

HE2B The Goldilocks Approach to Compliance Training

Level: Intermediate

MARCY R. HUEY, Executive Director of Institutional Compliance, The University of Alabama

JENNIFER CLARK, Institutional Compliance Coordinator, The University of Alabama

- Invite and incorporate input from your target audience
- Streamline the content to only include what the learner needs to know
- Customize the content to fit standards at your organization

12:45 – 1:45 PM CDT

Mid-Conference Break

1:00 PM CDT

Trivia

1:45 – 2:45 PM CDT

HE3A Conducting Effective Title IX Investigations and Hearings under the Final Regulations: Achieving Compliance with Compassion and Competency

Level: Intermediate

GINA MAISTO SMITH, Chair of the Institutional Response Group, Cozen O'Connor

LESLIE GOMEZ, Vice Chair, Institutional Response Group, Cozen O'Connor

- Identify the core elements of an effective Title IX investigation from notice through report
- Implement effective practices and common models for facilitating live hearings and cross-examination
- Master evidentiary issues, including relevance, directly related, and privilege considerations

HE3B Labor and Social Responsibility in Higher Education

Level: Intermediate

CHETNA G. KOSHY, Chief Compliance Officer, New York Univ Abu Dhabi

ERUM RAZA, Acting Chief Global Compliance Officer, New York University

- Explore the emerging university compliance risk area of international fair labor practices and social responsibility issues
- Understand your university's ethical and legal obligations and reputational risks arising in global supply chains
- Using case studies, learn how to implement effective labor standards and monitor techniques to ensure compliance

2:45 – 3:00 PM CDT

Coffee Break

3:00 – 4:00 PM CDT

HE4A It's Time to Update Your Code of Conduct: Here's How!

Level: Intermediate

ELIZABETH LEWIS, Content Director, NAVEX Global

MICHELLE PIRANIO, Chief Audit and Compliance Officer, University of Missouri System

RACHEL ROLLS, Content Writer, NAVEX Global

- Discover compelling findings from a recent benchmarking review of higher ed codes of conduct
- Learn about regulatory and social imperatives driving universities/colleges to update their codes
- Explore best practices and the experience of universities that have recently created new codes

HE4B The Future of Foreign Influence: Strategies to Proactively Manage Risk and Prepare for Regulatory Changes

Level: Intermediate

AMANDA HUMPHREY, Director of Research Integrity and Export Controls, Northeastern University

AMANDA FERGUSON, Director, Huron Consulting Group

MICHELLE STICKLER, Assistant Vice President, University of Texas at Austin – Office of Research Support and Compliance

- Understand the regulatory and enforcement climate by reviewing major activity in the last year, including proposed legislation, funding agency guidance, indictments, and key messages from federal panel discussions
- Develop strategies to manage risk based on risk tolerance, including discussing the relationship of institutional risk tolerance to institution funding portfolios, potential compliance controls, and available resources
- Plan for anticipated regulatory changes, including engaging with institutional stakeholders and preparing to communicate infrastructure needs and potential policy changes while federal regulation and guidance is in flux

4:00 – 4:15 PM CDT

Coffee Break

4:15 – 5:15 PM CDT

HE5A Data, Data, Everywhere: Strategies for Using Institutional Data to Create Strategic and Effective Reporting for Oversight Boards and Institutional Leadership to Demonstrate the Value-Add of the University Ethics & Compliance Program

Level: Intermediate

JACQUELINE KNISKA, Ethics and Compliance Officer, Virginia Commonwealth University

NEDRA D. ABBRUZZESE-WERLING, Assoc VP for Compliance Services, Boston University

- Using data to develop board reporting that demonstrates the worth of a compliance office, provides oversight assurance necessary for proper oversight, and helps change cultural strong holds, resulting in demonstrated effectiveness and program entrenchment
- Establishing and communicating internal benchmarking for a year-over-year reporting with a focus on value of identifying patterns and practices and messaging to the audience, including deliberate messaging for the oversight body and what they need to know
- Presenters cover lessons learned in their experience in creating and delivering board messages; including strategies for working within allotted time, and addressing the broader compliance micro-cultures; presenters plan to provide samples and examples

HE5B Youth Program Compliance in a Virtual World

Level: Basic

LINDSAY BOND, Executive Director, Higher Education Protection Network

SANDRA WEAVER, Youth Programs Compliance Specialist, Penn State University

- Identify risks associated with delivering virtual youth programs
- Develop additional processes standards to apply when delivering virtual youth programs
- Modify strategies when monitoring virtual youth programs

Tuesday, June 15

9:00 – 10:00 AM CDT

HE6A Speaking Truth to Power: A Must Have Skill for Everyone!

Level: Intermediate

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

- Learn the importance of speaking truth or saying no to your supervisor and colleagues
- Develop the skills necessary for successfully managing difficult discussions
- Discuss real-world scenarios and share your successes and failures

HE6B Immigration Policy and Enforcement Changes under the Biden Administration

Level: Advanced

JULIE MYERS WOOD, Chief Executive Officer, Guidepost Solutions

- Improvements in the COVID situation and its effects on F and J visa applications and extensions.
- Reassessment of visa compliance requirements and its impact on SEVIS (i.e., virtual class limitations)
- Handling international student entry-ensure vaccinations or don't pose a threat of spreading COVID

10:00 – 10:15 AM CDT

Coffee Break

10:15 – 11:15 AM CDT

HE7A Cybersecurity Compliance in Research Activities: New and Growing Challenges for Higher Education

Level: Intermediate

JUSTIN NOBLE, Director of Internal Audit, Virginia Tech

MIKE CULLEN, Director, Baker Tilly Beers and Cutler

- Learn the specialized cybersecurity and IT risks and challenges associated with research activities
- Define the various new and growing cybersecurity and IT requirements impacting your institution
- Apply specific practices to your institution's cybersecurity risks mitigation activities

HE7B Inject Adult Learning Theory into Your Compliance Training

Level: Intermediate

CJ WOLF, Faculty, BYU

- Go beyond "check the box" training and move to educating for a meaningful change of behavior
- Learn what educational psychologists have shown to be best practices for adult learners
- Learn about tools and resources for compliance professionals tasked with training duties

11:15 – 11:30 AM CDT

Coffee Break

11:30 AM – 12:30 PM CDT

General Session 2: Choreograph Your Life: One Choice at a Time

VALORIE KONDOS FIELD, legendary retired Head Coach, UCLA Women's Gymnastics Team

- Determining who you are and your true leadership style
- Bringing out the best in your team
- Being inspired by personal adversity

12:30 – 1:30 PM CDT

Mid-Conference Break

1:30 – 2:30 PM CDT

HE8A Data Analytics in Audits and Investigative Red Flags: An OIG Perspective

Level: Intermediate

BRITTANY MOON, Data Analytics Audit Manager, National Science Foundation Office of Inspector General

MAUREEN WEIR, Senior Special Agent, National Science Foundation, Office of Inspector General

- Understand the NSF audit process and how data analytics is used in oversight of NSF sponsored research
- Understand the investigative process and recognize potential fraud indicators in federal research
- Understand potential outcomes of OIG audits and investigations

HE8B The Impacts of Compliance in Diversity, Equity, and Inclusion at Higher Education Institutions

Level: Basic

MARGO FOREMAN, Assistant Vice President for Diversity and Inclusion and Equal Opportunity, Iowa State University

KERRI THOMPSON TILLET, Director of Compliance & EEO, The College of New Jersey

AMINAH MASSENBURG, Director of Compliance & Privacy Officer, The College of New Jersey

- Areas of compliance regulations, standards, and guidelines that effect DEI programs
- Implications on how non-compliance with the changes in DEI will affect campus communities
- Ways in which institutional management can be empowered to create more dialogue and awareness

2:30 – 2:45 PM CDT

Coffee Break

2:45 – 3:45 PM CDT

HE9A Compliance Dream Teams: Hiring or Enlisting the Help We Need to Make Our Programs More Effective and Successful

Level: Intermediate

SARAH L. CAMPBELL, Chief Integrity & Compliance Officer, Brigham Young University

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

- Compliance leaders wear many hats and many of us have discovered we cannot do this alone. Who should we hire or enlist to help us?
- Some of us work for organizations that can support us financially and some of us do not. In either case, what are some of the strategies we can use to get the help we need?
- In the real world, we rarely get everything we want or need. But what if we could? What might an “ideal” compliance dream team look like?

HE9B NCAA Enforcement Decisions and Enforcement Trends: What Your Institution Needs to Know to Comply

Level: Basic

AMY L. PICCOLA, Partner, Saul Ewing Arnstein & Lehr, LLP

ALEXANDER R. BILUS, Business Development Manager, Saul Ewing Arnstein & Lehr

- This presentation will provide attendees with an overview of 2020 and 2021 NCAA enforcement decisions
- It will include a thorough breakdown of recent cases, as well as enforcement trends based on our presenters’ research
- It will conclude with best practices that attendees can enact quickly in their institutions’ athletic departments

3:45 – 4:45 PM CDT

Conference Social Event – Live Piano Show

Wednesday, June 16

9:00 – 10:00 AM CDT

HE10A Guidance from DOJ in 2020: Use Hindsight – Continue Evolving Your Compliance Programs

Level: Intermediate

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

- Learn about the updates issued by the DOJ in June 2020 and key expectations of compliance programs
- Understand the Emphasis on Evolution and 7 Themes, and apply to current compliance program
- Hear about the gradual development of compliance programs from risk officers at three universities

HE10B Compliance Career Development: Practical and Team Approaches

Level: Intermediate

KATHLEEN OJALA, Compliance Director and Privacy Officer, The Ohio State Univ Wexner Medical Ctr

GATES GARRITY-ROKOUS, Vice President and Chief Compliance Officer, The Ohio State University

- Deliver practical career framework and tools for those working in all areas of compliance
- Illustrate career development with case studies
- Distinguish career development for compliance as a profession

10:00 – 10:15 AM CDT

Coffee Break

10:15 – 11:15 AM CDT

HE11A Privacy and Security as Partners in Protection of Data

Level: Intermediate

HEATHER ROSZKOWSKI, AVP & CISO, Augusta University

MICKI R. JERNIGAN, Enterprise Privacy Officer, Augusta University and Augusta University Health

- Discover how Privacy and Security collaborate during incident investigations
- See how Privacy and Security coordinate policy development and implementation for success
- Learn key ways that Privacy and Security teams can advocate for the other’s program

HE11B Revisiting Your Code of Ethical Conduct: Does it Effectively Promote Your Organization's Commitment to the Cultural Values of Integrity, Ethics, Equity, and Inclusion?

Level: Intermediate

STACY GIWA, Vice President Ethics and Compliance, University of Southern California

MARCY HUEY, Executive Director of Institutional Compliance, University of Alabama

ROBERT ROACH, Senior Advisor, Guidepost Solutions LLC, Guidepost Solutions LLC

KENNETH J. LIDDLE, Assistant General Counsel - Compliance, Northeastern University

- Assess your code: Does it reflect your organization's commitment to integrity, compliance, equity, and inclusion?
- Understand the elements of a good code, themes to improve it, and make it a resource to enhance culture
- Learn practical steps for building consensus for a revised code and addressing challenges you may face along the way

11:15 – 11:30 AM CDT

Coffee Break

11:30 AM – 12:30 PM CDT

HE12A Lessons Learned at the Intersection of Compliance and Enterprise Risk Management

Level: Intermediate

KATE MILLER, Institute Compliance Officer, Massachusetts Institute of Technology

TINA HUA, Chief Ethics and Compliance Officer, Stanford University

MEGHAN ST. GEORGE, Manager, Baker Tilly

- Gain an understanding of key interdependencies between compliance and enterprise risk management
- Discuss how compliance and ERM can successfully collaborate to build a culture of compliance
- Share lessons learned from leveraging the relationship between compliance and other risk partners

HE12B Section 117: Operational Leading Practices

Level: Intermediate

JOHN POWERS, Director, PwC

- Considerations on structure, governance, policies, and procedures for Section 117 compliance
- Considerations on completeness of disclosures, engaging stakeholders, and data compilation
- Reviewing systems and technology to enhance sustainable, repeatable processes

12:30 – 1:30 PM CDT

Mid-Conference Break

12:45 PM CDT

Networking

1:30 – 2:30 PM CDT

HE13A Connecting the Conflict Dots: Getting the Full Picture for Conflicts of Interest and Conflicts of Commitment

Level: Intermediate

AUTUMN SMALLWOOD, Director, Compliance, Moffitt Cancer Center

NICOLE JACOBS, Higher Ed Consulting Associate, Huron Consulting Group

- Defining, collecting, managing, and complying with research conflicts of interest regulations
- Defining, collecting, managing, and complying with conflicts of commitment guidance, including collecting and disclosing activities relevant to foreign influence management
- Strategies for working with institutional stakeholders to use COI and COC information to support grants management, including engaging with academic affairs, faculty leadership, central and department research administrators, and compliance offices

HE13B Managing a Document-Heavy Investigation: Five Strategies to Make Voluminous Evidence an Ally Instead of a Burden

Level: Intermediate

WENDY LILLIEDOLL, Director of Investigations, Office of Compliance and Policy, University of California, Davis

- Take early steps to safeguard quality documentary evidence.
- Determine appropriate document scope and frame targeted questions about documents
- Analyze document reliability and relevance, including with complex materials like past investigation reports

2:30 – 2:45 PM CDT

Coffee Break

2:45 – 3:45 PM CDT

HE14A Compliance Officers Roundtable

Level: Intermediate

JACQUELINE KNISKA, Ethics and Compliance Officer, Virginia Commonwealth University

NEDRA D. ABBRUZZESE-WERLING, Assoc VP for Compliance Services, Boston University

- The opportunity to understand the issues and challenges that face other similarly-situated compliance officers
- Strategies for strengthening compliance programs and providing adequate responses to emerging issues and trends
- Program success in a shifting landscape, and maintaining focus and integrity in the face of truly unprecedented regulatory, political, and media scrutiny

HE14B How to Meet Regulatory Requirements for Plain Language in Higher Ed

Level: Advanced

DEBORAH BOSLEY, Owner Principal, The Plain Language Group

- Learn the problems of complex language and not meeting regulatory requirements
- Understand which regulations require plain language
- Understand the concepts and strategies of plain language to meet requirements

3:45 – 4:00 PM CDT

Coffee Break

4:00 – 5:00 PM CDT

General Session 3: Lessons Learned from COVID-19

KATIE IGNATOWSKI, Chief Compliance Officer, University of Wisconsin System

ALYSA ROLLOCK, VP for Ethics and Compliance, Purdue

KEITH HENDERSON, Chief Compliance Officer, Syracuse University

WENDI DELMENDO, Chief Compliance Officer, University of California, Davis

- Managing through the communications and culture challenges
- The role of compliance in promoting and enforcing student safety
- Functioning effectively as a team and with the campus as a whole

Higher Education Compliance Conference

JUNE 14-16, 2021 | VIRTUAL

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

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