

VIRTUAL

Compliance & Ethics Essentials Workshop

This four-day virtual workshop is dedicated to helping you develop and improve your compliance management skills.

Attendees will have the opportunity to earn live Compliance Certification Board (CCB)[®] continuing education units (CEUs) from the convenience of their own home or office.

These workshops are limited to 150 participants.
Register early to reserve your spot!

VIRTUAL

December 14–17, 2020 • January 11–14, 2021 • March 1–4, 2021

Register online
corporatecompliance.org/essentialworkshops



About the Compliance & Ethics Essentials Workshop

SCCE's Compliance & Ethics Essentials Workshop is a four-day virtual conference dedicated to helping you develop and improve your compliance skills. Our instructors are industry leaders that will guide you through core subject areas and help you build a foundation for your compliance career.

These workshops are limited to 150 participants. Register early to reserve your spot!

Learning objectives

- Introduction and background to compliance and ethics programs
- Standards and procedures
- Governance, oversights, and authority
- Risk assessment
- Due diligence in delegation of authority
- Communication and training
- Incentives and enforcement
- Monitoring, auditing, and reporting systems
- Investigations
- Response to wrongdoing
- Program improvement
- Overview of FCPA, UK bribery, conflict of interest, and privacy and data security
- Key skills necessary for compliance professionals

Who should attend?

- Compliance officers
- Internal auditors
- Data privacy personnel
- Regulatory compliance specialists
- In-house or external compliance lawyers
- Compliance students
- Compliance analysts
- Compliance assistants
- Compliance specialists
- Compliance coordinators
- Compliance administrators

Our instructors



Tiffany Archer, JD
Regional Compliance
Officer, Americas & Europe;
Corporate Counsel
Panasonic Avionics Corporation



Maurice Crescenzi, CCEP
Managing Director, Ethics and
Compliance Practice Leader
FTI Consulting



Jeffrey Driver, CHC, CHRC,
CCEP-I, JD
Principal & Chief Consultant
Soteria Risk Works, LLC



Wendy Evans, CCEP, CFE
Senior Manager Ethics
Core Programs
Lockheed Martin



Andrea Falcione, CCEP, JD
Principal & Head of
Advisory Services
Rethink Compliance



Greg Triguba, CCEP-I, CCEP, JD
Principal, Compliance Integrity
Solutions
Board Member, SCCE & HCCA



Rebecca Walker, JD
Partner
Kaplan & Walker LLP



Christian Whicker, CCEP
Director, Corporate Compliance
Duke Energy



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

Instructors subject to change.

BECOME CERTIFIED

Demonstrate your knowledge, gain credibility, and enhance your career with a Compliance Certification Board (CCB)[®] certification.

CCEP[®]

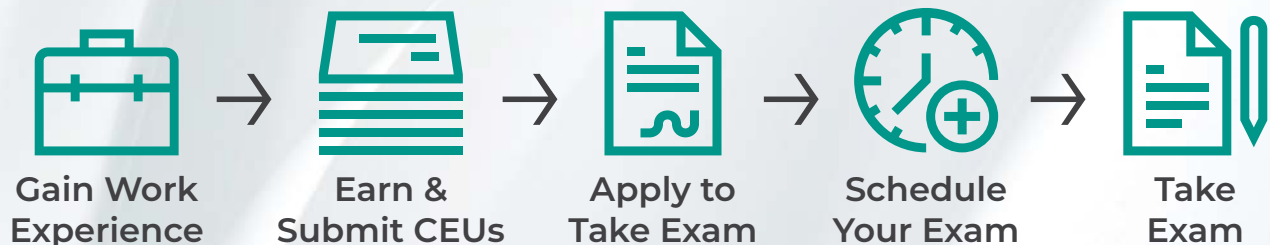
CERTIFIED COMPLIANCE &
ETHICS PROFESSIONAL

CCEP-I[®]

CERTIFIED COMPLIANCE & ETHICS
PROFESSIONAL-INTERNATIONAL

While there is no substitute for experience, this course covers compliance and ethics essentials and the continuing education units (CEUs) needed to help you prepare for your certification exam.

Follow these 5 steps to certification:



Learn more

corporatecompliance.org/certification



Agenda Compliance & Ethics Essentials Workshop

All sessions listed are basic education level. Agenda times are listed in Central Standard Time (CST). Agenda and instructors are subject to change.

MONDAY / DAY ONE

8:55–9:00 AM CST **Welcome & Introduction**

9:00–10:15 AM CST **Intro and Background to Compliance and Ethics Programs**

- History and evolution of compliance and ethics programs
- Introduction to the required elements of a compliance and ethics program
- Expectations of enforcement and regulators

10:15–10:30 AM CST **Coffee Break**

10:30 AM–12:00 PM CST **Standards and Procedures**

- Understanding the importance of written standards including policies, procedures, and the Code of Conduct
- Form, function, and maintenance of written standards of conduct to support the compliance program
- Types and purposes of written standards and procedures

12:00–12:30 PM CST **Mid-Conference Break**

12:30–2:00 PM CST **Governance, Oversight, and Authority**

- Compliance responsibilities at each level of an organization
- Positioning and structure of the compliance function
- Relationship with the board of directors

TUESDAY / DAY TWO

9:00–10:45 AM CST **Risk Assessment**

- Performing compliance risk assessments
- Risk criteria to consider
- Design and implementation of risk responses

10:45–11:00 AM CST **Coffee Break**

11:00 AM–12:15 PM CST **Due Diligence in Delegation of Authority**

- Identifying who has important compliance responsibilities
- Issues with employee background checks
- Due diligence for vendors and other third parties

12:15–12:45 PM CST **Mid-Conference Break**

12:45–2:00 PM CST **Communication & Training**

- Risk-based identification of training needs
- Development and delivery of compliance training
- Compliance and ethics-related communications

2:00–3:00 PM CST **Optional Networking Hour**

Use this hour to interact and engage with fellow attendees and instructors. Recap the last two days, ask questions, and make connections.

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WEDNESDAY / DAY THREE

9:00- 10:15 AM CST

Incentives and Enforcement

- Active promotion of the compliance and ethics program
- Use of incentives to encourage compliance
- Discipline for identified wrongdoing

10:15–10:30 AM CST

Coffee Break

10:30 AM–12:30 PM CST

Monitoring, Auditing, and Reporting Systems

- Understanding the essential aspects of auditing and monitoring
- Developing the compliance auditing and monitoring plan
- Techniques and approaches to auditing and monitoring

12:30–1:00 PM CST

Mid-Conference Break

1:00–2:15 PM CST

Investigations

- Key steps in performing compliance investigations
- Conducting effective interviews and gathering evidence
- Concluding and reporting on investigations

THURSDAY / DAY FOUR

9:00–10:15 AM CST

Response to Wrongdoing

- Actions to take when wrongdoing is discovered
- Performing root cause analysis
- Designing and implementing remediation actions

10:15–10:30 AM CST

Coffee Break

10:30–11:30 AM CST

Program Improvement

- Methods of assessing performance of the compliance and ethics program
- Focus on continuous improvement of the program
- Internal vs. third party assessments

11:30–11:45 AM CST

Coffee Break

11:45 AM–1:00 PM CST

Hot/Common Compliance Issues

- Overview of FCPA, UK Bribery, and other anticorruption laws
- Privacy and data security issues, including cybersecurity
- Conflicts of interest

1:00–1:15 PM CST

Coffee Break

1:15–2:15 PM CST

What Is Next for Me and My Program?

- Key skills necessary for compliance professionals
- Taking action to have a successful career in compliance
- Applying what you have learned to your compliance program

2:15–3:15 PM CST

Optional Networking Hour

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Compliance & Ethics Essentials Workshop

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

Email (required)

Acknowledgements

By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/essentialsworkshops.

Your information (postal address) may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

This virtual conference registration form allows only the registered attendee to stream, participate, and earn CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

Photo/Video Release: By registering for this event, I grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing my image or likeness for educational, news, or promotional purposes, without compensation.

Workshop Options

<input type="checkbox"/>	December 14–17, 2020 • Virtual
<input type="checkbox"/>	January 11–14, 2021 • Virtual
<input type="checkbox"/>	March 1–4, 2021 • Virtual

Registration Fees

SINGLE ATTENDEE	
<input type="checkbox"/>	Member \$895
<input type="checkbox"/>	Non-Member \$1,145
<input type="checkbox"/>	Registration + First-Time Membership* \$1,115
<input type="checkbox"/>	Group Registration Discount for 3 or More** (\$100)

TOTAL \$ _____

**Save by joining today (first-time members only). Dues renew at \$325.*

*** See Group Discounts in Terms and Conditions.*

Payment

Online registration at corporatecompliance.org/essentialsworkshops

Mail form to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA

Fax form to +1 952.988.0146

Email form to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. You may email this form (without credit card information), then call SCCE at +1 952.933.4977 or 888.277.4977 with payment information.

- Invoice me
- Check enclosed (payable to SCCE)
- Wire transfer requested
- Credit card: I authorize SCCE to charge my:
- Visa
 - MasterCard
 - Discover
 - American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

Event Terms and Conditions

Terms of Use: Your mailing address may be disseminated to sponsors, exhibitors, affiliates, and partners for promotional purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Pre-Attendee Listing: A listing with your name, title, company, city, state, and country will be provided to attendees and instructors for networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Registration: This virtual conference registration form allows only the registered attendee to stream, participate, and earn CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

Payment: If your total is miscalculated, SCCE will charge your card the correct amount.

Group Discounts: Discounts take effect the day a group reaches the discount number of registrants. Please send registration forms together to ensure that the discount is applied. A separate registration form is required for each registrant. The group discount is NOT available through online registration. Note that discounts will NOT be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

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

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

Photo/Video Release: By registering for this event, I grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing my image or likeness for educational, news, or promotional purposes, without compensation.

Sessions and Instructors: SCCE reserves the right to make changes to the program at any time as circumstances dictate. Every effort will be made to ensure a program of equivalent standard and value should unavoidable changes occur. SCCE does not accept liability for advice given, or views expressed, by any speaker at the conference or in any material provided to attendees.

Special Needs/Concerns: Prior to the conference, please call SCCE at +1 952.933.4977 or 888.277.4977 if you have a special need and require accommodation to participate in the conference.

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 approved a maximum of 21.0 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: 4.25 HRI 5.1 CCB CEU

Tuesday: 4.25 HR | 5.1 CCB CEU

Wednesday: 4.5 HR | 5.4 CCB CEU

Thursday: 4.5 HRI 5.4 CCB CEU

**Totals subject to change*

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org. Sponsor Identification No: 143451. The education level for this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Internet Based. Advanced Preparation: None. A recommended maximum of 21.0 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 Internet Based 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.

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.