

*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)<sup>®</sup> 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!

*UPCOMING 2021 VIRTUAL WORKSHOPS*

October 18–21 • December 6–9

**Register online**  
[corporatecompliance.org/essentialworkshops](https://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  
Global Head of Compliance,  
Risk & Privacy  
Pall 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)<sup>®</sup> certification.

## CCEP<sup>®</sup>

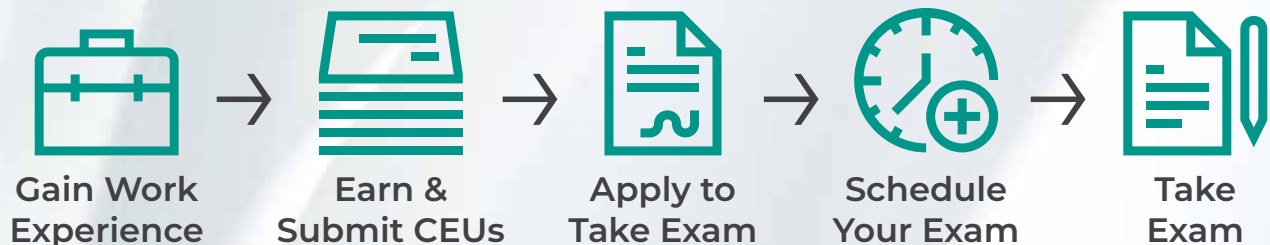
CERTIFIED COMPLIANCE &  
ETHICS PROFESSIONAL

## CCEP-I<sup>®</sup>

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](https://corporatecompliance.org/certification)



# Agenda Compliance & Ethics Essentials Workshop

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

## MONDAY / DAY ONE

8:55–9:00 AM CT

### Welcome and Introduction

9:00–10:15 AM CT

### 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 CT

### Conference Break

10:30 AM–12:00 PM CT

### 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

12:00–12:45 PM CT

### Mid-Conference Break

12:45–2:15 PM CT

### 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

9:00–9:50 AM CT

### Risk Assessment: Part 1

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

9:50–10:00 AM CT

### Conference Break

10:00–11:00 AM CT

### Risk Assessment: Part 2

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

11:00–11:15 AM CT

### Conference Break

11:15 AM–12:30 PM CT

### 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

12:30–1:15 PM CT

### Mid-Conference Break

1:15–2:30 PM CT

### Communication and Training

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

2:30–3:30 PM CT

### 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.

# Agenda Compliance & Ethics Essentials Workshop

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

## WEDNESDAY / DAY THREE

9:00–10:15 AM CT

### 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 CT

### Conference Break

10:30–11:30 AM CT

### Monitoring, Auditing, and Reporting Systems: Part 1

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

11:30–11:45 AM CT

### Conference Break

11:45 AM–12:45 PM CT

### Monitoring, Auditing, and Reporting Systems: Part 2

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

12:45–1:30 PM CT

### Mid-Conference Break

1:30–2:45 PM CT

### 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 CT

### Response to Wrongdoing

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

10:15–10:30 AM CT

### Conference Break

10:30–11:30 AM CT

### 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 AM–12:00 PM CT

### Mid-Conference Break

12:00–1:15 PM CT

### Hot/Common Compliance Issues

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

1:15–1:30 PM CT

### Conference Break

1:30–2:30 PM CT

### 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

2:30–3:30 PM CT

### 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.

## SECTION 1 Attendee Information

Mr  Mrs  Ms  Dr  Other \_\_\_\_\_ Member/Account ID (if known/applicable) \_\_\_\_\_

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) \_\_\_\_\_

## SECTION 2 Registration

### Compliance & Ethics Essentials Workshops

<input type="checkbox"/>	January 11–14, 2021 • Virtual • Central Standard Time (CST)
<input type="checkbox"/>	March 1–4, 2021 • Virtual • Central Standard Time (CST)
<input type="checkbox"/>	May 10–13, 2021 • Virtual • Central Daylight Time (CDT)
<input type="checkbox"/>	October 18–21, 2021 • Virtual • Central Daylight Time (CDT)
<input type="checkbox"/>	December 6–9, 2021 • Virtual • Central Standard Time (CST)

**SCCE Membership:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc). To see the full use of your information or if you wish to opt-out, visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

**Opt-Out:** Select if you would like to opt-out of the following:

- Member Magazine Listing: SCCE lists all new members (first and last name, organization, and state or country) in our monthly magazine, *Compliance & Ethics Professional*® (CEP).
- Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

### Options

<input type="checkbox"/>	Member	\$895
<input type="checkbox"/>	Non-Member	\$1,145
<input type="checkbox"/>	Registration + First-Time Membership Offer*	\$1,115

\*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

### Group Discount

<input type="checkbox"/>	Group Discount for 3 or More**	(\$100)
--------------------------	--------------------------------	---------

\*\*See "Group Discount Policy" under "Acknowledgments" below for details.

**TOTAL \$** \_\_\_\_\_

## SECTION 3 Payment

Online registration at [corporatecompliance.org/essentialworkshops](http://corporatecompliance.org/essentialworkshops)

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

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

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

Credit Card Account Number \_\_\_\_\_ Expiration Date \_\_\_\_\_

Cardholder Name \_\_\_\_\_ Cardholder Signature \_\_\_\_\_

## SECTION 4 Acknowledgements

By registering for this event, you agree to the full event Terms and Conditions, viewable at [corporatecompliance.org/conference/tandc](http://corporatecompliance.org/conference/tandc), including the use of your information that 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](http://corporatecompliance.org/privacy).

This virtual event registration form allows only the registered attendee to stream, participate, and earn CEUs for the event. If a second person would like to join, they must register themselves and have their own unique login to participate. Registered attendees must participate in this event in real time as recordings will not be available for any missed sessions. No audio or video recording by attendees is allowed.

**Group Discount Policy:** Registration forms must be sent together to ensure that the discount is applied. 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.

**New Members:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc).

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

## Frequently Asked Questions

### How will I access this event the day of the conference?

Before the event starts, you will receive an access email with links to the virtual platform and additional conference information such as the presentations. The email goes out 1–3 days prior to the event start date and is sent to the primary email address on your account. Please be sure to check your spam folder.

### What is included in the cost of my attendance?

Virtual access to the sessions, access to any supplemental conference materials, and networking opportunities.

### What software is required to attend this event?

We use a variety of platforms based on the needs of each conference, but they are all web-based platforms and require a strong and stable internet connection. We highly recommend testing the platform once the access email is received to confirm you can access the platform, view the video player, and utilize the chat feature. Occasionally, those who access these digital platforms over a VPN can experience technical difficulties. Zoom will be utilized for small group discussions at applicable events, but downloading Zoom is not necessary, as they have a web-based version as well.

### Can my co-workers listen in with me using screensharing or sitting together in the same room?

No, each individual who would like to participate in the conference needs to complete and submit an individual registration form. We do offer group discounts; please see our group discount options below.

### Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

### Is there a group discount—if so, what is it?

Yes, we offer discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) for processing. 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. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

### What do I get with “Registration + First Time Membership?”

If you’ve never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional® (CEP)* monthly magazine, *Ethikos®* digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at [corporatecompliance.org/membership](http://corporatecompliance.org/membership). Your membership will begin once payment is received.

### How do I use the credit on my account for this event?

You can complete the registration online and select the “Invoice Me” payment option at checkout. Once you receive your confirmation, email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

### Can I get the member rate if I am an HCCA member instead of SCCE or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations’ conferences; however, this cannot be done online. Please send your registration form via email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) to complete your registration.

### How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org). A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. If sending a substitute, an additional fee may apply depending upon the membership status of the substitute.

### Who can I notify of special needs or concerns prior to the conference?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) if you have a special need and/or require an accommodation to participate.

## Continuing Education

### Can I earn continuing education units (CEUs) for attending this workshop?

Yes. This conference offers live Compliance Certification Board (CCB)<sup>®</sup> continuing education units (CEUs) for participation as well as other external credit types. For those attendees seeking external credit types, you must participate in the conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

To see the most up-to-date CEU approval information go to SCCE’s website, [corporatecompliance.org/conferences/compliance-ethics-essentials-workshop](http://corporatecompliance.org/conferences/compliance-ethics-essentials-workshop). Select your workshop and choose the Continuing Education option on the left-hand menu.

### How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the workshop offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

### How do I request CEUs following this workshop?

Following this workshop, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the workshop to [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Only registered attendees are eligible to request CEUs for participation.

### When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your [corporatecompliance.org](http://corporatecompliance.org) account, go to your Account Dashboard, and scroll down to View My CEUs.

### I would like to sit for one of the Compliance Certification Board (CCB)<sup>®</sup> exams following this workshop; will I qualify?

While this workshop, if attended in full, can provide you with all of the CEUs you need to meet the continuing education requirement, you will need to also review the applicable Candidate Handbook found at [corporatecompliance.org/candidate-handbooks](http://corporatecompliance.org/candidate-handbooks) to ensure you meet the work experience requirement.

### I have reviewed the Candidate Handbook and want to apply for the exam as soon as the workshop concludes; what’s next?

Immediately following the conclusion of the workshop, if you have reviewed your Candidate Handbook and submitted your Application for Continuing Education Units (CEUs), you can go ahead and apply online for your exam at [corporatecompliance.org/apply-exam](http://corporatecompliance.org/apply-exam).

### Can I take my exam remotely?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE’s website, [corporatecompliance.org/exam-information](http://corporatecompliance.org/exam-information).

### I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org).