



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

In the US

Orlando, FL 
November 11–14, 2013

San Diego, CA 
December 2–5, 2013

***More than 5,500
compliance professionals***

hold a Compliance Certification Board (CCB)[®] credential

International

Dubai, UAE
December 15–18, 2013

Basic Compliance & Ethics Academies

*Take the CCEP exam and get certified after you complete
this intensive training session*



SCCE's Basic Compliance & Ethics Academies

Why you should attend

Compliance and ethics represents one of the fastest growing professions. Almost every company has implemented a compliance and ethics program or is in the process of doing so. One expert recently estimated that there are approximately 250,000 professionals in the field. Given the fast pace of change, this new profession is facing major challenges in providing the resources companies need to develop and manage effective compliance and ethics programs.



Who should attend

- Academic/Professor
- Analyst
- Attorney
- Corporate Counsel
- Audit Manager/Officer
- Compliance Officer
- Compliance Fraud Examiner
- Consultant
- Corporate Responsibility and Performance
- Ethics & Integrity Officer
- Human Resources
- Privacy Officer
- Quality Assurance
- Regulatory Affairs
- Risk Management
- Sarbanes-Oxley Program Management
- Security/Services Technology

About the Academy

SCCE's Basic Compliance & Ethics Academy® is a three-and-a-half-day intensive training program with an optional CCEP exam on the last day. Its faculty is made up of compliance and ethics experts with deep experience in the topics they teach. Be a part of the Academy and gain comprehensive knowledge of:

- Standards, policies, and procedures
- Compliance and ethics program administration
- Communications, education, and training
- Monitoring, auditing, and internal reporting systems
- Response and investigation, discipline and incentives
- Risk assessment

The Academy addresses methods for implementing and managing compliance programs based on the Seven Element Approach. Courses cover subject matter in each of these areas and better prepare interested parties for the CCEP exam. The Academy is designed for participants with a general knowledge of compliance concepts and anyone working in a compliance function.

SCCE's Basic Compliance & Ethics Academy course materials include:



The Complete Compliance and Ethics Manual
(normally \$349)



SCCE's board training video, *Guidance for Engaging Your Board*
(normally \$395)

An integral feature of the SCCE Academy is the ability to meet industry peers. During the course of the Academy, SCCE provides a networking event that gives participants the opportunity to meet with each other in an informal environment.

Becoming certified

The Certified Compliance & Ethics Professional (CCEP)® program promotes a standard of requisite knowledge for compliance and ethics, encourages continued personal and professional growth, and enhances the credibility of both certified professionals and the compliance programs that they staff. SCCE credits earned at the Academy will count toward the credits required to sit for the certification exam. Academy attendees have the option of sitting for the exam on the fourth day of the Academy.

Professionals who earn the CCEP designation demonstrate sufficient knowledge of government regulations and compliance processes to understand and address legal obligations and promote organizational integrity through the operation of effective compliance programs.

Contact us

Please call SCCE at +1 952 933 4977 or 888 277 4977 or visit us online at www.corporatecompliance.org to learn more about the Academies and SCCE's other programs.

SCCE'S MISSION:

SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.



Roy Snell, CCEP-F, CEO of SCCE, on the CCEP certification

“Debbie Troklus, Chair of the Compliance Certification Board, and her faculty have been conducting and improving our Academies for over ten years. Debbie has based the selection of her faculty on their extensive experience in the compliance and ethics profession. Her faculty have a common-sense approach to compliance and ethics programs and tremendous teaching expertise. Those who qualify can sit for the CCEP exam at the end of the SCCE Academy.

“The credibility of the compliance and ethics profession has been positively affected by the development of the CCEP credential. Job websites such as higher.com, monster.com, careerbuilder.com, indeed.com and others list several jobs that prefer the CCEP credential for hiring. Over \$2,000,000 has been invested in the development of the Compliance Certification Board’s compliance credentials. Over 5,500 people currently hold one of the Compliance Certification Board’s credentials. The Society of Corporate Compliance and Ethics could not be more appreciative of the work of Debbie, her faculty, and the Compliance Certification Board.”



MONDAY

8:00 – 8:30 AM

Registration and Continental Breakfast (provided)

8:30 – 8:45 AM

Welcome and Introduction

8:45 – 10:30 AM

Organizational Ethics



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I,
Marjorie Doyle & Associates, LLC*

This is a focus on what is an ethical culture and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirement of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.

10:45 AM – 12:15 PM

Introduction to Compliance Practice: Abbreviated Compliance 101



*Sheryl Vacca, CCEP-F, CCEP-I, CHC-F,
CHRC, CHPC, Senior Vice President/
Chief Compliance & Audit Officer,
University of California*

Introduction to Compliance Practice provides a basic introduction to compliance and compliance programs. It covers the seven essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program. The laws, rules and regulations pertinent to compliance programs are introduced. Challenges confronting compliance officers are discussed.

12:15 – 1:15 PM

Lunch (provided)

1:15 – 3:00 PM

Compliance Infrastructure



*Debbie Troklus, CCEP-F, CCEP-I, CHC-F,
CHRC, CHPC, Managing Director,
Aegis Compliance and Ethics Center*

This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Discussed is implementation of a compliance program, selection of qualified staff, budgeting for compliance and the overall structure of the office. Time is spent discussing the various positions needed and the qualifications for each. The auditing position along with qualifications (coding credentials) is discussed. A compliance professional should be able to use what is taught in this course to design an adequate structure to facilitate an effective compliance program.

3:15 – 5:00 PM

Creating & Reviewing Compliance Policies and Procedures



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I,
Marjorie Doyle & Associates, LLC*

This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance program. It covers the legal, cultural, and efficiency reasons for having policies and procedures. The main purpose of the course is to clearly define what policies, procedures and guidelines are, what their specific elements are, and how to create effective policies and procedures. It covers an updated view of best practices on codes of conducts. Finally, it covers the ways to review and update policies and procedures.

TUESDAY

7:30 – 8:00 AM

Continental Breakfast (provided)

8:00 – 9:45 AM

Enterprise-Wide Risk Assessment



*Sheryl Vacca, CCEP-F, CCEP-I, CHC-F,
CHRC, CHPC, Senior Vice President/
Chief Compliance & Audit Officer,
University of California*

If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.

10:00 – 10:15 AM

CCEP Exam Discussion

10:15 – 11:45 AM

Privacy



*David J. Heller, CCEP,
VP and Chief Ethics and Compliance
Officer, Edison International*

The Privacy session is an overview of key privacy laws and regulations that could impact a US or global company. The Privacy session provides a basic high level introduction to law and regulations in all segments of industry. It covers laws and regulations from both the private and governmental industry segments. Laws and regulations for activities in the US, Europe, Asia and other areas of the world are touched on in this session.

11:45 AM – 12:45 PM

Lunch (provided)

12:45 – 2:30 PM

Regulatory Update



*Marjorie W. Doyle, JD, CCEP-F, CCEP-I,
Marjorie Doyle & Associates, LLC*

This session is intended to provide an update on recent trends include new and proposed laws and regulations that could impact a corporate compliance program. The session will help compliance professionals stay informed on emerging issues and trends in compliance. There will be a discussion of select regulatory trends.

2:45 – 3:45 PM

Legal Issues, Risk Factors, and Disclosure Issues



*Art Weiss, JD, CCEP, CCEP-F, CCEP-I,
Chief Compliance & Ethics Officer,
TAMKO Building Products*

This session will discuss the need to identify legal risks, the need to investigate those risks, disclosure of wrongdoing, and the prevention of damage arising from both risks and non-disclosure.

3:45 – 5:00 PM

Ethics & Compliance Programs: Best Practices and Perspectives



*Greg Triguba, JD, CCEP, CCEP-I
Principal,
Compliance Integrity Solutions, LLC*

This interactive session provides a comprehensive overview of ethic, compliance and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include: considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges and opportunities; resources available for developing and enhancing your programs; and an interactive networking and information sharing opportunity.

6:00 PM

Networking Dinner

WEDNESDAY

8:00 – 8:30 AM

Continental Breakfast (provided)

8:30 – 10:15 AM

Education and Training



*Art Weiss, JD, CCEP, CCEP-F, CCEP-I,
Chief Compliance & Ethics Officer,
TAMKO Building Products*

This session will discuss the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training and the use of data to help prove 'effectiveness'.

10:30 AM – 12:15 PM

Auditing & Monitoring



*Urton Anderson, CCEP,
Department of Accounting,
McCombs School of Business,
University of Texas at Austin*

The goal for this session is to provide the compliance profession with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with the determining the role of auditing and monitoring in the organizational governance process—specifically what assurances the Board and Management need to meet their responsibilities. Next the session explores the relationship between monitoring activities and internal control. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance program. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization's monitoring activities.

12:15 – 1:15 PM

Lunch (provided)

1:15 – 3:00 PM

Investigations



*Meric Bloch, Esq., CCEP, CCEP-F, PCI, CFE,
Compliance Officer,
Adecco*

This session is focused on the aspects of a compliance investigation. The session overviews the considerations for who should conduct such investigations based on the nature of the investigation as well as considerations for determining if the investigation should be conducted under attorney client privilege. The session also addresses considerations for what information to provide to the workforce during an investigation and how to report the investigation findings. The duties and obligations of the board of directors and key leaders in the organization are also addressed in this session.

3:15 – 5:00 PM

Conflicts of Interest



*Martin T. Biegelman, CFE, CCEP-F
Executive Vice President
IPSA International*

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment unclouded by personal interest or divided loyalties but that does not always occur. This session is designed to assist compliance professionals understand ethical and organizational risks resulting from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

THURSDAY

7:30 – 8:00 AM

Continental Breakfast (provided)

8:00 – 9:00 AM

Using Incentives in the Compliance Program



*Joseph Murphy, CCEP, CCEP-I,
Of Counsel, Compliance Systems Legal Group;
Director of Public Policy, Society of
Corporate Compliance and Ethics*

The incentives session will explain why it is so important to include incentives in the scope of a compliance program. The session reviews the different ways to do this, including personnel evaluations, rewards and awards, and giving compliance a role in promotion decisions. The coverage also includes the importance of company incentive programs in general, and why the compliance officer needs a seat at the table when any corporate incentive system is being developed. We ask the difficult question whether those who report fellow employees should get rewards for doing so.

9:15 – 11:00 AM

Effectiveness and Evaluation



*Joseph Murphy, CCEP, CCEP-I,
Of Counsel, Compliance Systems Legal Group;
Director of Public Policy, Society of
Corporate Compliance and Ethics*

This session looks at the evaluation of compliance program effectiveness. What are the things that can be measured, what are the tools for doing this measurement, and what else do you need to know to avoid pitfalls and get valid results? We consider why it is not enough simply to do surveys, and how different tools work best for measuring effectiveness in addressing different compliance risks. We also consider who should do the evaluations and who should get the results.

11:00 – 11:15 AM

Break

11:15 AM – 12:45 PM

FCPA Anti-Corruption & Bribery



*Odell Guyton, CCEP, CCEP-I,
SCCE Co-Chair; Vice President,
Global Compliance, Jabil*

This course explores the domestic and global administrative and law enforcement efforts surrounding anti-corruption enforcement principles, and provides a practical (hands-on) approach for dealing with these and other organizational compliance and ethics risk.

12:45 PM

Boxed Lunch (provided)

2:15 – 3:00 PM

CCEP Exam Check-In

3:00 – 5:00 PM

CCEP Exam

The exam is optional. You must pre-register for the CCEP exam separately from the Academy. To register for the exam, download the PDF application for your Academy from www.corporatecompliance.org/academies

International agendas will vary. Please visit www.corporatecompliance.org/academies for full details.

Contact Information

Mr. Mrs. Ms. Dr.

SCCE Member ID _____

First Name _____ MI _____

Last Name _____

Credentials (CCEP, CCEP-F, CHC, etc.) _____

Job Title _____

Name of Employer _____

Street Address _____

City/Town _____

State/Province _____ Zip/Postal Code _____

Phone _____

Fax _____

Email (required for registration confirmation & conference information) _____

HOW TO REGISTER

MAIL: Include registration form with check payable to:
SCCE, 6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States

ONLINE: www.corporatecompliance.org/academies

FAX: +1 952 988 0146 (including billing information)

QUESTIONS? Call +1 952 933 4977 or 888 277 4977
or e-mail helpteam@corporatecompliance.org

GROUP DISCOUNTS

5 or more: \$200 discount for each registrant

10 or more: \$400 discount for each registrant

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. 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.

SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

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PHONE +1 952 933 4977 or 888 277 4977 | FAX +1 952 988 0146
www.corporatecompliance.org | helpteam@corporatecompliance.org

I plan to attend (please check)

In the US

- Orlando, FL | November 11-14, 2013 **SOLD OUT**
 San Diego, CA | December 2-5, 2013 **SOLD OUT**

International

- Dubai, UAE | December 15-18, 2013

Choose your registration fee

- SCCE Member** \$2,500
 Non-Member \$3,000
 Registration plus SCCE membership \$2,700
Save by joining SCCE today (new members only; dues regularly \$295 annually)
 Registration and membership renewal \$2,795
Current members, register and renew your membership today
 Group Discount: subtract \$ _____ from my registration fee
(see box at left)

TOTAL _____

PAYMENT OPTIONS

Mail check: SCCE, 6500 Barrie Road, Ste 250, Minneapolis, MN 55435, United States

Fax to: +1 952 988 0146

- Invoice me
 Check enclosed
 I authorize SCCE to charge my credit card (choose below)
Credit Card: American Express MasterCard Visa

Credit Card Account Number _____

Credit Card Expiration Date _____

Cardholder's Name _____

Cardholder's Signature _____

All rates listed in US dollars unless otherwise noted.

CA0813 / CA0913 / CA1013 / CA1113 / CA1213 / CA0214 / CA0314 / CA0414 / CA0614 / CA0814 /
CA0914 / CA1014 / CA1114 / CA1214 / CAISH0713 / CAI0813 / CAID1213 / CAIBR0514 / CAISH0714 /
CAIC0714 / CAI0814 / CAID1214

Academy Locations

For international locations and hotels, visit www.corporatecompliance.org/academies

Orlando, FL | November 11–14, 2013

Loews Portofino Bay Hotel at Universal Orlando
5601 Universal Blvd, Orlando, Florida 32819
www.loewshotels.com/portofino-bay-hotel

A reduced rate of \$199 per night single/double occupancy, plus applicable state and local taxes (currently 12.5%) has been arranged for this program. To make reservations please call the Loews reservation center at +1 866 360 7395 and ask for the group rate for SCCE's Compliance & Ethics Academy. This rate is good through Monday, October 21, 2013, or until the group room block is full, whichever comes first. A deposit equal to one night's stay is required at the time of making your reservation. Complimentary in-room Internet and self-parking is available for SCCE guests booked within the group block; valet parking is available for \$24 per day.

San Diego, CA | December 2–5, 2013

The Westin Gaslamp Quarter
910 Broadway Circle, San Diego, CA 92101
www.westingaslamp.com

A reduced rate of \$209 single/double occupancy per night plus applicable state and local taxes has been arranged for this program. This rate is good through Friday, November 8, 2013, or until the group block is full, whichever comes first. To make reservations please call 800 WESTIN 1. Discounted valet parking rates of \$28 for all overnight guests or \$14 for day parking is available for SCCE Academy attendees.

Registration Terms

Please make your check payable to SCCE. Enclose payment with your registration and return it to the SCCE office, or fax your credit card payment to +1 952 988 0146. Payment must be sent in at least two weeks prior to the start date or your space may be released. If your total is miscalculated, SCCE will charge your card the correct amount. For information on group discounts, please see the box on the registration form. The cost of any exams and the hotel accommodations are not included in the registration fee. Breakfast and lunch are included in the tuition amount. Breakfast will also be served on the morning before an exam.

CCEP Exam: The cost of the CCEP exam is not included in the Academy registration fee. To register for the exam, complete the date-specific exam application and send to the address indicated on the application. Attendees can find a link to the exam application at www.corporatecompliance.org under the information for each Academy. Questions? Contact CCB at +1 952 405 7935 or ccb@compliancercertification.org.

Cancellations/Substitutions: 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 are good for 12 months from the date of the cancelled event. Conference credits may be used toward any SCCE service. If you need to cancel your participation, notify us prior to the start date of the event by email at helpteam@corporatecompliance.org or by fax at +1 952 988 0146. Please note that if you are sending a substitute, an additional fee may apply.

Prerequisites/Advanced Preparation: None.

Recording/Electronics: No audio or video recording of SCCE conferences is allowed. No personal laptops may be used during conference sessions.



Continuing Education Units

SCCE is in the process of applying for additional credits. If you do not see information on your specific accreditation and would like to make a request, please contact us at +1 952 933 4977 or 888 277 4977. Visit SCCE's website, www.corporatecompliance.org, for updates.

Compliance Certification Board (CCB):

Certified Compliance & Ethics Professional (CCEP)[®], Certified Compliance & Ethics Professional-Fellow (CCEP-F), Certified Compliance & Ethics Professional-International (CCEP-I): CCB has awarded a maximum of 31.5 CEUs for these accreditations in the following subject areas: Application of Management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; HIPAA Privacy Implementation and/or Complying with Government Regulations.

CLE: The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 26.25 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

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, Sponsor Identification No: 105638. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit and may not accept one-half credits. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN 37219-2417. Website: www.nasba.org. A recommended maximum of 31.5 credits based on a 50-minute hour will be granted for the entire learning activity. This program addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call SCCE at +1 952 933 4977 or 888 277 4977.



Plan now to attend an SCCE Basic Compliance & Ethics Academy®

**More than 5,500
compliance
professionals**

currently hold a Compliance Certification
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WHAT YOUR PEERS SAY

SCCE's Basic Compliance & Ethics Academies

"I left the Academy with confidence, conviction, and clarity about what needed to be done to make our program more robust."

– Michael Miller, CCEP, Executive Director for Ethics and Compliance, Aerojet

"The SCCE Compliance and Ethics Academy is excellent preparation for the CCEP examination, but it is so much more than that. The Academy is packed full of useful information from practitioners who have 'been there, done that.' It was well worth the time and budget invested!"

– Ann Hastings Kafer, CCEP, Director, HR Administration and Compliance, GROWMARK, Inc.

"Other Ethics Managers told me the SCCE Academy was industry best. SCCE certainly lived up to its reputation of first-class training. The Academy was phenomenal!"

– Sherida Feazell, Manager, Ethics and Compliance, Night Vision and Tactical Communications Systems

"I had heard rave reviews about the SCCE Academy from my colleagues and even with my already high expectations I was impressed with the experience. Everything was organized and timely and featured exceptional instructors who draw on their real-world experience and facilitate an environment of sharing."

– Marisa Montoya, Sr. Quality Assurance Manager, Apollo Group, Inc.

"The instructors were gracious with their time during the Academy and have become terrific members of my network after the Academy. The SCCE Academy provides a terrific opportunity to network with peers and share best practices that you can't get from a study guide."

– Jason Porter, Vice President, Compli

"I was very pleasantly surprised that SCCE was able to capture the essence of all that 'compliance' really entails in such a broad way that made it quite useful for any company in any industry. I found the information very relevant and timely for us...It would certainly make a favorable impression upon me during the hiring process to see a candidate with these credentials."

– Diane Boyette, VP, Chief Compliance Officer, Southern Farm Bureau Life Insurance Company

Employers look for CCEP certification

"Law degree and/or CCEP certification preferred"
Chief School Compliance Officer
(Vice President)

"Certified Compliance and Ethics Professional (CCEP) certification preferred."
Sr. Manager, Compliance-Policy Procedures & Communication

"Certified Compliance and Ethics Professional (CCEP) certification is a plus."
Senior Director, Compliance

"Basic/Required: Certified Compliance and Ethics Professional (CCEP Certification)."
Manager, Global Ethics

"Maintain CCEP certification through the Society of Corporate Compliance and Ethics."
Corporate Compliance Specialist

"Certified Compliance and Ethics Professional (CCEP) or equivalent certification or other compliance certification preferred."
Compliance Analyst

"CCEP, CFE, CIA, CFI, or similar."
Principal Manager Ethics and Compliance

"Certified Compliance and Ethics Professional (CCEP) or other relevant professional certification preferred."
Director Compliance Monitoring

"Ability to secure a Certified Compliance and Ethics Professional (CCEP) or comparable certification within two years in this position."
Senior Analyst Ethics & Employee Issues

"Willingness to sit for CHC and/or CCEP exams preferred."
Senior Auditor