

BOSTON

Regional Compliance & Ethics Conference

March 24, 2017



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katie.burk@corporatecompliance.org

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7:00 – 8:25 AM

Registration & Breakfast

8:25 – 8:30 AM

Opening Remarks

8:30 – 9:30 AM

OODA and ERM: The cycles of Data and Enterprise Risk Management

 Matt Kelly
Editor & CEO
Radical Compliance

- The history of the OODA Loop and how it is being applied to Big Data;
- How OODA principles can fit with the goals of ERM frameworks;
- How compliance, audit, risk, and business-unit leaders should work together to refine your business processes and produce better results.

9:30 – 9:45 AM

Break

9:45 – 10:45 AM

How Do You Measure the Effectiveness of Your Compliance Program?

 Andrea Falcione, CCEP
Managing Director
PricewaterhouseCoopers

 Lauren Mottley
Manager – Advanced Risk &
Compliance Analytics
PricewaterhouseCoopers

 Stephen Gillis, Dir Compliance
Coding Billing & Audit, Partners
HealthCare

- Elements of program effectiveness – what should you measure and how?
- Proactive, ongoing compliance monitoring – how can data analytics and dashboarding drive program effectiveness?
- Characteristics of an effective program – what are the indicators of an effective program and effective compliance leadership?

10:45 – 11:00 AM

Break

11:00 AM – 12:00 PM

Testing and Monitoring Vendors

 Pascal Marat, CPA, CISA, CIPT
Security Compliance and Assurance
Director
BT Global Services

 Wilfred (Bill) Cameron, CIPM,
Security Risk and Compliance
Assurance Manager
BT Global Services

 Vin Scimeca, CCEP, Security Risk
and Compliance Assurance Manager
BT Global Services

- Separate the facts from fiction – how to find out more about your vendors and the impact they have on your operations
- Learn the benefits of a centralized risk-based assurance program
- Understand the other side of the table – how a vendor may prepare for assessments
- Next step – how to leverage vendor assurance information for the best business outcomes

12:00 – 1:00 PM

Lunch

1:00 – 2:00 PM

FCPA Due Diligence: One size fits all?

 Jeffrey Klink
CEO
Klink & Co

- The FCPA due diligence process is not a case of one size fits all, especially with third parties located around the globe. Identifying and plugging the holes in your process will limit your exposure to regulatory risks, reduce fraud, and minimize cost.
- Regulatory guidelines and objectives for conducting due diligence are to determine if the third party is qualified, reputable, politically exposed, and verified. Third parties include suppliers, independent sales agents, brokers, and consultants.
- The level of risk the third party may present should be identified so that reasonable due diligence is performed. The session will cover how to define risks, identify levels, and implement research tools to improve your compliance process.

2:00 – 2:15 PM

Break

2:15 – 3:15 PM

Tone at the Middle: What should be expected of middle management?

 Kristen Dygon, CCEP
Compliance Consultant
MassMutual Financial Group

Pete Rock, CLU, FLMI
Deputy Chief Compliance Officer
Knights of Columbus

- Who is the middle?
- Why are they so important?
- What are the expectations?
- What are some tools for success?
- Is it working?

3:15 – 3:30 PM

Break

3:30 – 4:30 PM

Expectations of the DOJ

 Eric O. Morehead
Principal Consultant
Morehead Compliance Consulting

Laura M. Kidd Cordova
Partner
Crowell & Moring LLP

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60 School St.
 Boston, MA 02108
<http://bit.ly/boston17>

A special rate of \$209 (plus tax) per night has been arranged for this conference. Reservations can be made by calling 1-800-THE-OMNI (1-800-843-6664) and mentioning "SCCE Boston Regional" or by visiting the online reservation link. The cut-off date is Monday, February 23rd, 2017. Please note that the room block may sell out prior to the hotel cut-off date.

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