



**LAST  
CHANCE:  
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# Higher Education

## COMPLIANCE CONFERENCE



**May 31–June 3, 2015 | Austin, TX**

**QUESTIONS** [catherine.stollenwerk@corporatecompliance.org](mailto:catherine.stollenwerk@corporatecompliance.org)

Gather with your peers for the primary networking and learning event for compliance and ethics professionals in higher education.

Learn how to increase the effectiveness of your institution's compliance program, discuss emerging risks and issues with your colleagues, share best practices, and build valuable relationships.

[corporatecompliance.org/highered](http://corporatecompliance.org/highered)



**TWO CONFERENCES  
FOR THE PRICE OF ONE**

Complimentary access to HCCA's Research Compliance Conference is included with your registration. Build your own schedule and attend sessions at both conferences!

## SUNDAY, MAY 31: PRE-CONFERENCE

12:00–6:00 PM	Registration Open	
1:00–2:30 PM CONCURRENT SESSIONS PRE-CONFERENCE 1	<b>P1 Building an Institution-Focused Testing and Monitoring Program</b> – <i>Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University</i>	<b>P2 Challenging! Exciting? Reestablishing the Compliance and Ethics Program</b> – <i>Sonal J. Shah, Senior Director, Compliance and Ethics, Stanford University</i>
2:30–3:00 PM	Networking Break	
3:00–5:00 PM CONCURRENT SESSIONS PRE-CONFERENCE 2	<b>P3 How to Identify Risks that Could Adversely Affect Your Operations</b> – <i>Len Ohnstad, Associate Director Internal Audit, Kennesaw State University</i>	<b>P4 Improving the Effectiveness of Your Institutional Compliance Program</b> – <i>William A. Moles, Director of Compliance, University of Tennessee; Dr. Robert Nobles, Assistant Vice Chancellor for Research, Responsible Conduct of Research &amp; Research Integrity Office, University of Tennessee at Knoxville</i>
5:00–6:00 PM	"Wear Your School Colors" Welcome Reception	

## MONDAY, JUNE 1: CONFERENCE

7:00 AM – 6:00 PM	Registration Open		
7:15 – 8:15 AM	Breakfast (provided)		
8:15 – 8:30 AM	Opening Remarks		
8:30 – 9:30 AM	<b>GENERAL SESSION 1: Sexual Violence and Sexual Assault in Higher Education: University of California's Approach</b> – <i>Sheryl Vacca, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President/Chief Compliance &amp; Audit Officer, University of California</i>		
9:30 – 10:00 AM	Networking Break		
10:00 – 11:30 AM CONCURRENT SESSIONS	<b>101 A Practical Guide to Addressing Conflicts of Interest</b> – <i>Madonna Dougherty, Principal Compliance Officer, Johns Hopkins University, Applied Physics Laboratory</i>	<b>102 A Team of One: Implementing an Enterprise Compliance Program</b> – <i>Marcia N. Gonzales, Chief Compliance Officer, Indiana University</i>	<b>103 Auditing IT Contracts from Afar: Ensuring Compliance</b> – <i>Michael G. Carr, Chief Information Security Officer, University of Kentucky</i>
11:30 AM – 12:30 PM	Networking Lunch		
12:30 – 2:00 PM CONCURRENT SESSIONS	<b>201 Benchmarking Compliance Effectiveness: Developing a Maturity Model to Measure Your Compliance Program and Report to the Board/Audit Committee</b> – <i>Robert Roach, University Compliance Officer, New York University</i>	<b>202 Building a University Privacy Program: It's Not Just for Your Health System</b> – <i>Roslyn F. Martorano, Privacy Manager, University of California, Office of the President; Deborah Motton, PhD, Assistant Vice Chancellor for Research and Director of Research Compliance, University of California, Merced</i>	<b>203 Clearly Navigating the Ever-Changing Waters: Complying with the Clery Act, Title IX, and Campus SaVE/VAWA in the Wake of the National Focus and Regulatory Overhaul of Campus Sexual Violence</b> – <i>Nedra D. Abbruzzese-Werling, Director of Compliance, State University of New York-SUNY; Joseph Storch, Associate Counsel, State University of NY; John McDonald, JD, CCEP, Assistant Director, Institutional Compliance, Boise State University</i>
2:00 – 2:30 PM	Networking Break		
2:30 – 4:00 PM CONCURRENT SESSIONS	<b>301 The Program Participation Agreement: A Work Plan for Compliance Officers</b> – <i>David Galloway, Chief Audit, Compliance and Ethics Officer, University of Connecticut; Kimberly Fearney, Director of Compliance and Ethics Liaison, University of Connecticut</i>	<b>302 Is Your Vision 2020? Is Your Compliance Program Prepared for the Next Five Years?</b> – <i>Tina R. Tyson, Chief Ethics &amp; Compliance Officer, Duke University; Michael L. Somich, Executive Director of Internal Audits, Duke University</i>	<b>303 Mobile Technology and Its Role in Creating a Culture of Compliance</b> – <i>Samantha Hand, Global Training Manager, Johnson &amp; Johnson; Greg Molyneux, Global Training Lead Analyst, Johnson &amp; Johnson</i>
4:00 – 4:15 PM	Networking Break		
4:15 – 5:15 PM	<b>GENERAL SESSION 2: Live, Real-Time Benchmarking</b> – <i>Moderator: Adam Turteltaub, VP of Membership Development, Society of Corporate Compliance &amp; Ethics; Sarah L. Campbell, Interim University Compliance Officer and Associate University Counsel, Brigham Young University; Leyda L. Benitez, JD, University Compliance Officer, Villanova University; Joel Mayer, Managing Director and Associate General Counsel, Navient</i>		
5:15 – 6:30 PM	Networking Reception		

## TUESDAY, JUNE 2: CONFERENCE

7:30 AM – 4:00 PM	Registration Open		
7:30 – 8:30 AM	Breakfast (provided)		
8:15 – 8:30 AM	Opening Remarks		
8:30 – 10:00 AM	GENERAL SESSION 3: Investigating Academic Integrity Issues: What Every University Counsel Needs to Know – <i>Adam Lurie, Partner, Cadwalader, Wickersham &amp; Taft, LLP; Johnny Sutton, Partner, Ashcroft Group</i>		
10:00 – 10:30 AM	Networking Break		
10:30 AM – 12:00 PM CONCURRENT SESSIONS	401 Doing More with Less: How to Prioritize a Small Compliance Office in the Era of Dwindling Higher Education Funds – <i>Gary Nimax, Assistant Vice President for Compliance and Enterprise Risk Management, University of Virginia; Nedra D. Abuzzese-Werling, Director of Compliance, State University of New York-SUNY; Chad Tindol, Director of Risk Management, University of Alabama System</i>	402 How to Achieve a Zero-Deficiency Audit – <i>Mary Bennett, R.Ph, Vice President, Advisory Services, NAVEX Global; Lauren E. Chesnut, Quality Assurance Manager, Department of Pathology, University of Texas Health Science Center at San Antonio</i>	403 Distance Education: Common Compliance Risks and Practical Considerations – <i>Greg Ferenbach, Special Counsel, Cooley LLP; Todd Glassman, General Counsel, 2U, Inc.</i>
12:00 – 1:00 PM	Networking Lunch		
1:00 – 2:30 PM CONCURRENT SESSIONS	501 10 Things to Know about Conflict of Interests and Gifts to Hi-Ed Officials and Employees – <i>Darrin Lim, Partner, Political Law Compliance Counsel, Nielsen Merksamer LLP; Tina R. Tyson, Chief Ethics &amp; Compliance Officer, Duke University; Ericka F. Kranitz, Director, Ethics &amp; Compliance Monitoring, Duke University</i>	502 Conducting Lawful Internal Investigations – <i>Chip Jones, Shareholder, Littler Mendelson, P.C.; Kathy Cooper Franklin, Shareholder, Littler Mendelson P.C.; Phil Storm, Shareholder, Littler Mendelson, P.C.</i>	503 Have Risk, Will Travel: Compliance Issues in International Programs – <i>Seth F. Gilbertson, Associate Counsel, State University of New York</i>
2:30 – 2:45 PM	Networking Break		
2:45 – 4:00 PM	GENERAL SESSION 4: Crossing the Morass: Solving the Compliance Role Puzzle in Higher Education Organizations – <i>Moderator: Urton Anderson, PhD, CCEP, Director-Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky; Rick Moyer, Associate Vice President for Audit, Compliance and Privacy Stanford University; Joe Maleszewski, Inspector General and Director of Compliance, State University System of Florida Board of Governors; Sheryl Vacca, SVP/Chief Compliance &amp; Audit Officer, University of California</i>		

## WEDNESDAY, JUNE 3: POST-CONFERENCE

7:30 – 11:30 AM	Registration Open	
8:30 – 11:30 AM POST-CONFERENCE (INCLUDES 15-MIN BREAK)	W1 Compliance Officers Roundtable – <i>F. Lisa Murtha, Senior Managing Director, FTI Consulting; Joel Mayer, Managing Director and Associate General Counsel, Navient</i>	W2 Lessons Learned in Managing the Risk of Minors on Campus – <i>Richard F. Dangel, PhD, President and CEO, Praesidium, Inc.</i>
11:30 AM – 12:30 PM	Lunch (on your own)	
12:30 PM	CCEP Exam Check-in	
1:00 – 3:30 PM	Certified Compliance & Ethics Professional (CCEP) <sup>®</sup> exam (optional)	

# EARN YOUR CERTIFICATION

## Certified Compliance & Ethics Professional (CCEP)<sup>®</sup>

Plan now to take the exam after the conference and earn your certification.

Learn more about the CCEP certification at [compliancecertification.org/ccep](http://compliancecertification.org/ccep)

See page 8 for CCEP exam registration details

Broaden your professional qualifications

Increase your value to your employer

Gain expertise in the fast-evolving compliance field

## SUNDAY, MAY 31

### PRE-CONFERENCE

**12:00 – 6:00 PM**

Registration Open

**1:00 – 2:30 PM**

### P1 Building an Institution-Focused Testing and Monitoring Program



*Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University*

- Keys to efficient integration of testing and audit into compliance program
- How best to leverage and engage disparate and embedded resources
- Developing a risk-based testing plan

### P2 Challenging! Exciting? Reestablishing the Compliance and Ethics Program

*Sonal J. Shah, Senior Director, Compliance and Ethics, Stanford University*

- Strengthening the Foundation - The 7 Elements
- Reinforcing the Pillars - The 4 Committees
- Reconditioning the Roof - The Tone at the Top and 5 Values

**3:00 – 5:00 PM**

### P3 How to Identify Risks that Could Adversely Affect Your Operations



*Len Ohnstad, Associate Director Internal Audit, Kennesaw State University*

- Innovative methods to identify departmental risks and improve your chances of a successful audit
- Developing internal controls to reduce the department's risks and help managers accomplish their goals and objectives
- Increasing ongoing awareness of risks and internal controls in employees

### P4 Improving the Effectiveness of Your Institutional Compliance Program



*William A. Moles, Director of Compliance, University of Tennessee*



*Dr. Robert Nobles, Assistant Vice Chancellor for Research, Responsible Conduct of Research & Research Integrity Officer, University of Tennessee at Knoxville*

- Developing an organizational infrastructure for compliance that satisfies the Federal Sentencing Guidelines
- Overcoming communication obstacles so that multiple university audiences and stakeholders embrace a culture of compliance
- Strategies for empowering compliance officers

**5:00 – 6:00 PM**

“Wear Your School Colors”  
Welcome Reception

## MONDAY, JUNE 1

**7:00 AM – 6:00 PM**

Registration Open

**7:00 – 8:15 AM**

Breakfast (provided)

**8:15 – 8:30 AM**

Opening Remarks

**8:30 – 9:30 AM**

### General Session 1: Sexual Violence and Sexual Assault in Higher Education: University of California's Approach



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

**9:30 – 10:00 AM**

Networking Break

**10:00 – 11:30 AM**

### BREAKOUT SESSIONS

#### 101 A Practical Guide to Addressing Conflicts of Interest



*Madonna Dougherty, Principal Compliance Officer, Johns Hopkins University, Applied Physics Laboratory*

- Potential conflicts of interest in the higher educational community; identifying and investigating conflicts; mitigating conflicts
- Current environment and trends/regulations and related case law
- Managing and auditing compliance/discipline violations

#### 102 A Team of One: Implementing an Enterprise Compliance Program



*Marcia N. Gonzales, Chief Compliance Officer, Indiana University*

- Establishing an enterprise presence and authority- 1) get buy-in; 2) be viewed as a resource; 3) become part of the enterprise planning process;
- Risk based Compliance Planning using metrics and other resources
- Leveraging existing compliance subject matters experts

#### 103 Auditing IT Contracts from Afar: Ensuring Compliance



*Michael G. Carr, Chief Information Security Officer, University of Kentucky*

- Learn more about the growing strategy of moving IT systems and services off campus and to 3rd party vendors
- Review some of the more important security and privacy-related provisions in these contracts
- Learn how to remotely audit these provisions to ensure compliance without breaking your travel budget

**11:30 AM – 12:30 PM**

Networking Lunch (provided)

**12:30 – 2:00 PM**

## BREAKOUT SESSIONS

### 201 Benchmarking Compliance Effectiveness: Developing a Maturity Model to Measure Your Compliance Program and Report to the Board/Audit Committee



*Robert Roach, University Compliance Officer, New York University*

- Possible approaches to measuring the effectiveness of your compliance program
- Possible approaches to reporting to the Board / Audit Committee on your compliance program
- Sharing “lessons learned” concerning using the compliance “maturity model” as a benchmarking tool

### 202 Building a University Privacy Program: It’s Not Just for Your Health System



*Roslyn F. Martorano, Privacy Manager, University of California, Office of the President*



*Deborah Motton, PhD, Assistant Vice Chancellor for Research and Director of Research Compliance, University of California, Merced*

- University of California is the first university to take a multi-year, tiered approach to build a systemwide campus privacy program that embeds privacy as not only a compliance element, but also as an integral community value
- Learn how to launch a university privacy program in one of the most complex regulatory environments, while balancing student and faculty constituencies who care deeply about privacy and how it contributes to research, teaching, and public service
- Key takeaways will include tips, tricks, timelines, and strategies to launch a scalable privacy program whether for a single campus or a multi-campus system in this new era of social networking, cloud computing, and evolving electronic technologies

### 203 Clearly Navigating the Ever-Changing Waters: Complying with the Clery Act, Title IX, and Campus SaVE/VAWA in the Wake of the National Focus and Regulatory Overhaul of Campus Sexual Violence



*Nedra D. Abbruzzese-Werling, Director of Compliance, State University of New York–SUNY*



*Joseph Storch, Associate Counsel, State University of NY*

*John McDonald, JD, CCEP, Assistant Director, Institutional Compliance, Boise State University*

- Learn the many changes that campuses must institute to be compliant with the new requirements of the Clery Act and Title IX in the wake of the Campus SaVE Provisions of the Violence Against Women Act
- Clery Act and Title IX compliance have always been complex, the recent changes have left campuses struggling to determine what action is required. the requirements of the final regulations, and specific action items institutions to ensure compliance
- We’ll discuss the four major components: policy statement reporting, counting and classification of crimes and certain arrests/referrals, and action in response to certain crimes, and training obligations

**2:00 – 2:30 PM**

## Networking Break



**2:30 – 4:00 PM**

## BREAKOUT SESSIONS

### 301 The Program Participation Agreement: A Work Plan for Compliance Officers



*David Galloway, Chief Audit, Compliance and Ethics Officer, University of Connecticut*



*Kimberly Fearney, Director of Compliance and Ethics Liaison, University of Connecticut*

- Understand what the Department of Education Program Participation Agreement is and why you should care
- Learn how to make the Program Participation Agreement a Useful guide for your compliance work plan
- Learn how universities have used the Program Participation Agreement to Coordinate their compliance program

### 302 Is Your Vision 2020? Is Your Compliance Program Prepared for the Next Five Years?



*Tina R. Tyson, Chief Ethics & Compliance Officer, Duke University*



*Michael L. Somich, Executive Director of Internal Audits, Duke University*

- Quality Assessment Review: What are the requirements of The Institute of Internal Auditors and how does your compliance program rank?
- How to conduct a self-assessment which includes the Board and senior leadership to enhance your organization’s processes and regulatory compliance
- Discuss examples of significant risk areas that are points of prioritization and methodologies for evaluating best practices and goal setting for the next five years

### 303 Mobile Technology and Its Role in Creating a Culture of Compliance



*Samantha Hand, Global Training Manager, Johnson & Johnson*



*Greg Molyneux, Global Training Lead Analyst, Johnson & Johnson*

- Provide relevant, timely information to enable complaint business decisions
- Leverage current business behaviors to pull through compliance concepts
- Leverage the power of technology for compliance training, through an internal mobile site or app

**4:00 – 4:15 PM**

## Networking Break

**4:15 – 5:15 PM**

## General Session 2: Live, Real-Time Benchmarking



*Moderator: Adam Turteltaub, VP of Membership Development, Society of Corporate Compliance & Ethics*



*Sarah L. Campbell, Interim University Compliance Officer and Associate University Counsel, Brigham Young University*



*Leyda L. Benitez, JD, University Compliance Officer, Villanova University*



*Joel Mayer, Managing Director and Associate General Counsel, Navient*

- Participate in a live benchmarking session using real-time interactive polling
- See how your program compares
- Hear advice from leading compliance professionals based on the polling data

**5:15 – 6:30 PM**

## Networking Reception

# TUESDAY, JUNE 2

**7:30 – 4:00 PM**

## Registration Open

**7:30 – 8:30 AM**

## Breakfast (provided)

**8:15 – 8:30 AM**

## Opening Remarks

**8:30 – 10:00**

## General Session 3: Investigating Academic Integrity Issues: What Every University Counsel Needs to Know



*Adam Lurie, Partner, Cadwalader, Wickersham & Taft, LLP*

*Johnny Sutton, Partner, Ashcroft Group*

- Review recent academic integrity cases and discuss related issues, including the implications for accreditation, institutional reputation, and NCAA sanctions
- Discuss how university counsel should respond to institutional whistleblowers and best practices for initiating and conducting internal investigations in academic settings
- Explore what oversight mechanisms are effective and appropriate for monitoring academic curricula in order to prevent and detect academic integrity concerns

**10:00 – 10:30**

## Networking Break

**10:30 – 12:00 PM**

## BREAKOUT SESSIONS

### 401 Doing More with Less: How to Prioritize a Small Compliance Office in the Era of Dwindling Higher Education Funds



*Gary Nimax, Assistant Vice President for Compliance and Enterprise Risk Management, University of Virginia*



*Nedra D. Abbruzzese-Werling, Director of Compliance, State University of New York-SUNY*



*Chad Tindol, Director of Risk Management, University of Alabama System*

- Learn from a panel of “solo” or small compliance offices how they established, maintain, and continue to juggle a one-person compliance function. They will discuss varying approaches, including a system-wide perspective and an individual campus model
- Hear from each panelist about the origin and evolution of their position, how they interact with others throughout their institution, whether at a system or at a campus, and what lessons have been learned from their structure

- Discuss ways in which compliance managers handle reporting and communications to the board and university leadership to highlight the key compliance issues they face today. We will share ideas for how to effectively manage compliance as a one-person shop

### 402 How to Achieve a Zero Deficiency Audit



*Mary Bennett, R.Ph, Vice President, Advisory Services, NAVEX Global*



*Lauren E. Chesnut, Quality Assurance Manager, Department of Pathology, University of Texas Health Science Center at San Antonio*

- Learn the consistent deficiencies seen when conducting audits
- Discover simple steps that can be taken to combat those deficiencies during the audit process
- Form a quick and simple process for getting your entire team involved in and accountable for their role in preparing for an audit

### 403 Distance Education: Common Compliance Risks and Practical Considerations



*Greg Ferenbach, Special Counsel, Cooley LLP*



*Todd Glassman, General Counsel, 2U, Inc.*

- Key areas of compliance risk and impact of Title IV regulations
- Major considerations in contract negotiations and allocation of responsibilities between the parties
- Structuring effective monitoring mechanisms: lessons learned and anticipated future challenges

**12:00 – 1:00 PM**

## Networking Lunch (provided)

**1:00 – 2:30 PM**

## BREAKOUT SESSIONS

### 501 10 Things to Know about Conflict of Interests and Gifts to Hi-Ed Officials and Employees



*Darrin Lim, Partner, Political Law Compliance Counsel, Nielsen Merksamer LLP*



*Tina R. Tyson, Chief Ethics & Compliance Officer, Duke University*

*Ericka F. Kranitz, Director, Ethics & Compliance Monitoring, Duke University*

- Could a dinner at a nice restaurant erupt into a viral ethics scandal?
- Many universities and colleges have Conflict of Interest policies or a Code of Conduct that are filled with ambiguities, gaps and pitfalls
- Don't get caught off guard! Join a lively and interactive discussion. Learn 10 important things to know involving gifts to university officials or employees

### 502 Conducting Lawful Internal Investigations



*Chip Jones, Shareholder, Littler Mendelson, P.C.*



*Kathy Cooper Franklin, Shareholder, Littler Mendelson P.C.*



*Phil Storm, Shareholder, Littler Mendelson, P.C.*

- Important considerations for compliance professionals undertaking a workplace investigation
- Develop effective compliant procedures
- Prepare an investigation report

### 503 Have Risk, Will Travel: Compliance Issues in International Programs



*Seth F. Gilbertson, Associate Counsel, State University of New York*

- Drafting and applying policies for overseas operations
- Foreign employment and property issues
- Managing emergencies and incidents abroad

**2:30 – 2:45 PM**

## Networking Break

**2:45 – 4:00 PM**

## General Session 4:

### Crossing the Morass: Solving the Compliance Role Puzzle in Higher Education Organizations



*Moderator: Urton Anderson, PhD, CCEP, Director-Von Allmen School of Accountancy, Gatton College of Business and Economics, University of Kentucky*



*Rick Moyer, Associate Vice President for Audit, Compliance and Privacy Stanford University*



*Joe Maleszewski, Inspector General and Director of Compliance, State University System of Florida Board of Governors*



*Sheryl Vacca, SVP/Chief Compliance & Audit Officer, University of California*

Our panel of experts will discuss

- Compliance, risk management and internal audit: Role ambiguity in higher educational organization—impact and issues
- Alternative structures—debate on the pros and cons
- Solutions—success and failures

## WEDNESDAY, JUNE 3

### POST-CONFERENCE

*(Sessions include one 15-minute break)*

**7:30 – 11:30 AM**

## Registration Open

**8:30 – 11:30 AM**

## W1 Compliance Officers Roundtable



*F. Lisa Murtha, Senior Managing Director, FTI Consulting*



*Joel Mayer, Managing Director and Associate General Counsel, Navient*

## W2 Lessons Learned in Managing the Risk of Minors on Campus



*Richard F. Dangel, PhD, President and CEO, Praesidium, Inc.*

- Higher education institutions across the nation have begun to realize they are not fully aware of just how big and dangerous a risk they are embracing in offering programs for minors
- This informative presentation will discuss the unique dynamics of sexual abuse of minors within university programs and they key lessons universities have learned during the implementation of their abuse prevention programs
- Lessons include internal committee dynamics, the pitfalls in policy development, and management of screening and training resources, relationships with vendors, and international programs

**11:30 AM – 12:30 PM**

## Lunch (on your own)

**12:30 PM**

## CCEP Exam Check-in

**1:00 – 3:30 PM**

## Certified Compliance & Ethics Professional (CCEP)<sup>®</sup> exam (optional)

## Take the CCEP Certification Exam on-site after the conference

Wednesday, June 3 | 1:00–3:30 PM  
\$250 SCCE Members | \$350 Non-Members

You must be pre-registered to sit for the exam. To apply, download the application at [corporatecompliance.org](http://corporatecompliance.org). Questions? Email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Twenty CEUs are required to sit for the exam. Higher Education Compliance Conference sessions qualify: each hour attended equals 1.2 CEUs (one clock hour equals 1.2 CCB hours). Attending the entire Higher Education Compliance Conference will provide a maximum of 22.2 CEUs to qualify to sit for the exam.

## SCCE thanks our 2015 Higher Education Compliance Conference Committee



**Urton Anderson**  
Director, Von Allmen  
School of Accountancy  
University of Kentucky



**Joel Mayer, Esq., CCEP**  
Managing Director and  
Associate General Counsel  
Navient



**F. Lisa Murtha, CHC, CHRC**  
Senior Managing Director  
FTI Consulting



**Larry Plutko**  
L.A. Plutko and  
Associates, LLC



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

## 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 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Visit SCCE's website, [corporatecompliance.org](http://corporatecompliance.org) for up-to-date information.

### Compliance Certification Board (CCB):

Compliance Certification Board (CCB): CCB has awarded a maximum of 22.2 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)™.

**Nursing Credit:** The Health Care Compliance Association is preapproved by the California Board of Registered Nursing, Provider Number CEP 12990, for a maximum of 22.2 contact hour(s). The following states will not accept CA Board of Nursing contact hours: Delaware, Florida, New Jersey and Utah. Massachusetts and Mississippi nurses may submit CA Board of Nursing contact hours to their state board, but approval will depend on review by the board. Please contact the Accreditation Department at [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) with any questions you may have. Oncology Nurses who are certified by ONCC may request CA Nursing Credit (check box or indicate "Nursing" on the CEU form).

**CLE:** The Society of Corporate Compliance & Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 18.5 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 & 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](http://www.nasba.org). A recommended maximum of 22.0 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 (888) 580-8373 or (952) 988-0141.

**(ISC)2:** The (ISC)2 does not endorse or "approve" any events or education in advance, however any curriculum that falls within at least one of the 10 domains of knowledge for the CISSP can be used by participants in continuing education activities to satisfy their CPE credit needs. Portions of this event may qualify for CPE credits. All (ISC)2 members are responsible for validating CPE credit worthiness no matter what the circumstances. SCCE will provide all supporting documentation required for members to submit to (ISC)2 for credit approval. To view the (ISC)2 10 domains of knowledge visit <https://www.isc2.org/sscp/default.aspx> and view the links within the Certifications tab drop-down menu.

**PRIM&R:** Some portions of this program may meet the requirements for CPIA continuing education. The CPIA Council accepts documentation of continuing education hours when the topics fall within the CPIA Body of Knowledge. If you are unsure about whether a specific session meets these requirements you should consult with PRIM&R.

Some portions of this program may meet the requirements for CIP continuing education. CCIP accepts documentation of continuing education hours when the topics fall within the CIP Body of Knowledge and the education is intended to be beyond initial, basic or fundamental level education. If you are unsure about whether a specific session meets these requirements you should consult with PRIM&R.

**RACC:** Attendees seeking CRA credits through the Research Administrators Certification Council (RACC) may request a certificate of attendance from HCCA by completing an Application for Continuing Education and indicating RACC/CRA on the form. A certificate of attendance along with a complete brochure should be submitted to RACC at the end of each individual's RACC renewal period. The Research Administrators Certification Council (RACC) promotes the concept of voluntary certification by examination for all research and sponsored programs administrators. Certification in research and sponsored programs administration is highly valued and provides formal recognition of basic knowledge in the field.

**SoCRA:** The Society of Clinical Research Associates (SoCRA - [www.SoCRA.org](http://www.SoCRA.org)) accepts documentation of candidate participation in continuing education programs for recertification if the program is applicable to clinical research regulations, operations or management, or to the candidate's clinical research therapeutic area. This program offers 18.5 hours of CE credit.

SoCRA's requirements for recertification Continuing Education credit are quite general, as they pertain to clinical research regulations, operations and management, and to the therapeutic area of the clinical research in which the candidate participates. We therefore leave it to the candidate to determine whether a course or program would be acceptable for SoCRA's CE requirement. SoCRA does not "validate" individual training courses/workshops.



**FULL NAME** \_\_\_\_\_

*please type or print*

Please fill out the following information. Sharing your demographic information will help us create better networking opportunities for you.

**What is your functional job title? Please select one.**

- |  |   |
|--|---|
| <input type="checkbox"/> Academic/Professor          | <input type="checkbox"/> Compliance Officer                     |
| <input type="checkbox"/> Administration              | <input type="checkbox"/> Compliance Specialist                  |
| <input type="checkbox"/> Analyst                     | <input type="checkbox"/> Consultant                             |
| <input type="checkbox"/> Asst Compliance Officer     | <input type="checkbox"/> Controller                             |
| <input type="checkbox"/> Attorney (In-House Counsel) | <input type="checkbox"/> Corporate Responsibility & Performance |
| <input type="checkbox"/> Attorney (Outside Counsel)  | <input type="checkbox"/> Ethics & Integrity Officer             |
| <input type="checkbox"/> Audit Analyst               | <input type="checkbox"/> Executive Director                     |
| <input type="checkbox"/> Audit Manager/Officer       | <input type="checkbox"/> General Corporate Counsel              |
| <input type="checkbox"/> Billing Manager/Officer     | <input type="checkbox"/> Human Resources                        |
| <input type="checkbox"/> Charger Master              | <input type="checkbox"/> Information Technology                 |
| <input type="checkbox"/> Chief Compliance Officer    | <input type="checkbox"/> Nurse                                  |
| <input type="checkbox"/> Chief Executive Officer     | <input type="checkbox"/> Privacy Officer                        |
| <input type="checkbox"/> Chief Financial Officer     | <input type="checkbox"/> President                              |
| <input type="checkbox"/> Chief Information Officer   | <input type="checkbox"/> Quality Assurance                      |
| <input type="checkbox"/> Chief Medical Officer       | <input type="checkbox"/> Regulatory Affairs                     |
| <input type="checkbox"/> Chief Operating Officer     | <input type="checkbox"/> Reimbursement Coordinator              |
| <input type="checkbox"/> Clinical                    | <input type="checkbox"/> Risk Management                        |
| <input type="checkbox"/> Coder                       | <input type="checkbox"/> Security/Services Technology           |
| <input type="checkbox"/> Compliance Analyst          | <input type="checkbox"/> Trainer/Educator                       |
| <input type="checkbox"/> Compliance Coordinator      | <input type="checkbox"/> Vice President                         |
| <input type="checkbox"/> Compliance Director         | <input type="checkbox"/> Other (please indicate below)          |
| <input type="checkbox"/> Compliance Fraud Examiner   |   |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**What certifications do you hold? Select all that apply.**

- |                               |                                 |                                 |                                |                               |                               |
|-------------------------------|---------------------------------|---------------------------------|--------------------------------|-------------------------------|-------------------------------|
| <input type="checkbox"/> ACHE | <input type="checkbox"/> CCEP-I | <input type="checkbox"/> CHPC   | <input type="checkbox"/> DDS   | <input type="checkbox"/> MHA  | <input type="checkbox"/> PhD  |
| <input type="checkbox"/> AIC  | <input type="checkbox"/> CCS    | <input type="checkbox"/> CHRC   | <input type="checkbox"/> ESQ   | <input type="checkbox"/> MPA  | <input type="checkbox"/> PMP  |
| <input type="checkbox"/> APA  | <input type="checkbox"/> CCS-P  | <input type="checkbox"/> CIA    | <input type="checkbox"/> FCA   | <input type="checkbox"/> MPH  | <input type="checkbox"/> RHIA |
| <input type="checkbox"/> BA   | <input type="checkbox"/> CEM    | <input type="checkbox"/> CIP    | <input type="checkbox"/> FHFMA | <input type="checkbox"/> MS   | <input type="checkbox"/> RHIT |
| <input type="checkbox"/> BBA  | <input type="checkbox"/> CFE    | <input type="checkbox"/> CIPP   | <input type="checkbox"/> ISS   | <input type="checkbox"/> MSHA | <input type="checkbox"/> RN   |
| <input type="checkbox"/> BS   | <input type="checkbox"/> CGMS   | <input type="checkbox"/> CPA    | <input type="checkbox"/> JD    | <input type="checkbox"/> MSN  | <input type="checkbox"/> SADR |
| <input type="checkbox"/> BSN  | <input type="checkbox"/> CHC    | <input type="checkbox"/> CPC    | <input type="checkbox"/> LLM   | <input type="checkbox"/> MT   | <input type="checkbox"/> SCLA |
| <input type="checkbox"/> CAMS | <input type="checkbox"/> CHE    | <input type="checkbox"/> CPHQ   | <input type="checkbox"/> MA    | <input type="checkbox"/> NHA  |                               |
| <input type="checkbox"/> CCEP | <input type="checkbox"/> CHP    | <input type="checkbox"/> CUSECO | <input type="checkbox"/> MBA   | <input type="checkbox"/> PCI  |                               |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**What best describes the industry you work for? Please select one.**

- |   |  |
|---|--|
| <input type="checkbox"/> Accounting/Auditing                    | <input type="checkbox"/> Human Resources/Recruiting        |
| <input type="checkbox"/> Administrative and Support Services    | <input type="checkbox"/> Information Technology            |
| <input type="checkbox"/> Advertising/Marketing/Public Relations | <input type="checkbox"/> Installation/Maintenance/Repair   |
| <input type="checkbox"/> Aerospace/Aviation/Defense             | <input type="checkbox"/> Insurance                         |
| <input type="checkbox"/> Agriculture                            | <input type="checkbox"/> Internet/E-Commerce               |
| <input type="checkbox"/> Airlines                               | <input type="checkbox"/> Law Enforcement/Security Services |
| <input type="checkbox"/> Architectural Services                 | <input type="checkbox"/> Legal                             |
| <input type="checkbox"/> Arts/Entertainment/Media               | <input type="checkbox"/> Manufacturing and Production      |
| <input type="checkbox"/> Automotive/Motor Vehicles/Parts        | <input type="checkbox"/> Military                          |
| <input type="checkbox"/> Banking                                | <input type="checkbox"/> Mining                            |
| <input type="checkbox"/> Biotechnical and Pharmaceutical        | <input type="checkbox"/> Operations Management             |
| <input type="checkbox"/> Chemical/Polymers/Fibers               | <input type="checkbox"/> Personal Care and Service         |
| <input type="checkbox"/> Computer Hardware                      | <input type="checkbox"/> Publishing/Printing               |
| <input type="checkbox"/> Computer Services                      | <input type="checkbox"/> Purchasing                        |
| <input type="checkbox"/> Computer Software                      | <input type="checkbox"/> Real Estate/Mortgage              |
| <input type="checkbox"/> Construction                           | <input type="checkbox"/> Research & Development            |
| <input type="checkbox"/> Consulting Services                    | <input type="checkbox"/> Restaurant and Food Service       |
| <input type="checkbox"/> Consumer Products                      | <input type="checkbox"/> Retail/Wholesale                  |
| <input type="checkbox"/> Customer Service/Call Center           | <input type="checkbox"/> Science                           |
| <input type="checkbox"/> Education/Training/Library             | <input type="checkbox"/> Sports and Recreation/Fitness     |
| <input type="checkbox"/> Electronics                            | <input type="checkbox"/> Supply Chain/Logistics            |
| <input type="checkbox"/> Energy                                 | <input type="checkbox"/> Telecommunications                |
| <input type="checkbox"/> Engineering                            | <input type="checkbox"/> Textiles                          |
| <input type="checkbox"/> Environmental Services                 | <input type="checkbox"/> Tobacco                           |
| <input type="checkbox"/> Finance/Economics                      | <input type="checkbox"/> Transportation/Warehousing        |
| <input type="checkbox"/> Financial Services                     | <input type="checkbox"/> Veterinary Services               |
| <input type="checkbox"/> Forest Products                        | <input type="checkbox"/> Utilities                         |
| <input type="checkbox"/> Government/Policy                      | <input type="checkbox"/> Waste Management Services         |
| <input type="checkbox"/> Healthcare                             | <input type="checkbox"/> Other (please indicate below)     |
| <input type="checkbox"/> Higher Education                       |  |
| <input type="checkbox"/> Hospitality/Tourism                    |  |

List others not listed here: \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

**Are you a first-time attendee of this conference?**

- YES  NO

**REGISTRATION CONTINUES ON NEXT PAGE  
(TURN OVER)**

## CONTACT INFORMATION

Mr  Mrs  Ms  Dr

SCCE Member ID (if applicable)

First Name MI

Last Name

Credentials (CCEP, CHC, etc.)

Job Title

Name of Employer

Street Address

City/Town State/Province

Country Zip/Postal Code

Phone

Email (required for registration confirmation & conference information)

## SESSION SELECTION

Please select your sessions to assist us in room planning.  
Select only ONE session per time slot.

<b>SUN, MAY 31</b> <b>PRE-CONFERENCE</b>	<b>MON, JUNE 1</b> <b>BREAKOUTS</b>	<b>TUE, JUNE 2</b> <b>BREAKOUTS</b>	<b>WED, JUNE 3</b> <b>POST-CONFERENCE</b>
<b>1:00 – 2:30 PM</b>	<b>10:00 – 11:30 AM</b>	<b>10:30 AM – 12 PM</b>	<b>8:30 – 11:30 AM</b>
<input type="radio"/> P1	<input type="radio"/> 101	<input type="radio"/> 401	<input type="radio"/> W1
<input type="radio"/> P2	<input type="radio"/> 102	<input type="radio"/> 402	<input type="radio"/> W2
<b>3:00 – 5:00 PM</b>	<input type="radio"/> 103	<input type="radio"/> 403	
<input type="radio"/> P3	<b>12:30 – 2:00 PM</b>	<b>1:00 – 2:30 PM</b>	
<input type="radio"/> P4	<input type="radio"/> 201	<input type="radio"/> 501	
	<input type="radio"/> 202	<input type="radio"/> 502	
	<input type="radio"/> 203	<input type="radio"/> 503	
	<b>2:30 – 4:00 PM</b>		
	<input type="radio"/> 301		
	<input type="radio"/> 302		
	<input type="radio"/> 303		

I'm interested in selecting sessions from HCCA's Research Compliance Conference. Please send me more information.

## REGISTRATION OPTIONS (Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)

- SCCE/HCCA Members.....\$799
- Non-Members .....\$899
- SCCE Membership & Registration .....\$999  
NEW MEMBERS ONLY / DUES REGULARLY \$295 ANNUALLY
- Pre-Conference Registration .....\$125
- Post-Conference Registration.....\$125
- Group Discount: subtract \$\_\_\_\_\_ from my total (SEE DETAILS AT LEFT)

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

Registering for SCCE's Higher Education Compliance Conference automatically registers you for HCCA's Research Compliance Conference at no additional cost.

### Special Request for Dietary Accommodation

Gluten Free  Kosher  Vegetarian  Vegan  Other \_\_\_\_\_

## PAYMENT OPTIONS

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

Due to PCI Compliance, please **do not provide any credit card information via email.** You may email this form to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) (without credit card information) and call SCCE at +1 952 933 4977 or 888 277 4977 with your credit card.

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

HE0615

## WAYS TO REGISTER

**MAIL** to SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435-2358, United States

**ONLINE** at [corporatecompliance.org/highered](http://corporatecompliance.org/highered)

**Fax** to +1 952 988 0146 (with completed form and payment info)

**EMAIL** [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) (without credit card info)

**Hotel & conference location:**

**Austin Renaissance**  
**9721 Arboretum Blvd**  
**Austin, TX 78759**

A rate of \$179 (single/double) plus applicable state & local taxes (currently 15%) has been arranged for this program. To make your reservation, please call the hotel reservations department (800 468 3571) and request the rate for the HCCA/SCCE Compliance Conference, or visit the booking website: [https://resweb.passkey.com/Resweb.do?mode=welcome\\_ei\\_new&eventID=12480814](https://resweb.passkey.com/Resweb.do?mode=welcome_ei_new&eventID=12480814) (under 'guest type', select ATTENDEE). This rate is good through Monday, May 18, or when the group block is full, whichever comes first. The rate includes complimentary parking and complimentary entry to the health/fitness club over the meeting period. SCCE recommends booking early to ensure you receive the group rate.

**Registration Terms & Conditions:** 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. If your total is miscalculated, SCCE will charge your card the correct amount. 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.

**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](mailto: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.

**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. 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.

**5 or more:** \$50 discount for each registrant  
**10 or more:** \$100 discount for each registrant

**Special Needs/Concerns:** Prior to your arrival, please call SCCE at +1 952 933 4977 or +1 888 277 4977 if you have a special need and require accommodation to participate.

**Dress Code:** Business casual dress is appropriate.

**Recording:** No unauthorized audio or video recording of SCCE Conferences is allowed.

**Continuing Education Units:** SCCE is in the process of applying for credits. Visit SCCE's website, [corporatecompliance.org](http://corporatecompliance.org), for up-to-date information.

**Agreements & Acknowledgements:** I agree and acknowledge that I am undertaking participation in SCCE events and activities as my own free and intentional act, and I am fully aware that possible physical injury might occur to me as a result of my participation in these events. I give this acknowledgement freely and knowingly and assert that I am, as a result, able to participate in SCCE events, and I do hereby assume responsibility for my own well-being. I agree and acknowledge that SCCE plans to take photographs at the SCCE Higher Education Compliance Conference and reproduce them in SCCE educational, news, or promotional material, whether in print, electronic, or other media, including the SCCE website. By participating in the SCCE Higher Education Compliance Conference, I grant SCCE the right to use my name, photograph, and biography for such purposes.



**SOCIETY OF CORPORATE COMPLIANCE AND ETHICS**  
 6500 Barrie Road, Suite 250, Minneapolis, MN 55435 United States  
 PHONE +1 952 933 4977 or 888 277 4977 | FAX +1 952 988 0146  
[corporatecompliance.org](http://corporatecompliance.org) | [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)





Join us for the 12<sup>th</sup> Annual

# Higher Education

COMPLIANCE CONFERENCE

May 31–June 3, 2015 | Austin, TX



# Higher Education

COMPLIANCE CONFERENCE

May 31–June 3, 2015 | Austin, TX



**Register today and enjoy the flexibility of two conferences**

**for the price of one!** Complimentary access to HCCA's Research Compliance Conference is included with your Higher Education Compliance Conference registration. The parallel schedule gives you the freedom to attend sessions at either conference—two for the price of one.

[corporatecompliance.org/highered](http://corporatecompliance.org/highered)

