SCCE™
Society of Corporate
Compliance and Ethics

2018 BASIC COMPLIANCE & ETHICS ACADEMIES

- Whistleblowers tend to [...]
  hard times
- Move to mitigate risk and [...]
  reputation

Training more than 7,500 compliance and ethics professionals around the world

LIMITED TO 75 ATTENDEES PER ACADEMY:

Dallas, TX   *SOLD OUT*
October 1–4

Bloomington, MN   *SOLD OUT*
November 5–8

San Diego, CA   *SOLD OUT*
November 12–15

Orlando, FL   *LIMITED SEATS*
December 10–13

Questions: jill.burke@corporatecompliance.org

We also offer International Academies in Singapore, São Paulo, Madrid, and Rio de Janeiro. Visit corporatecompliance.org/academies for details.

GET CERTIFIED. APPLY NOW.
PLAN NOW TO TAKE A CCEP CERTIFICATION EXAM
AFTER YOU COMPLETE THIS INTENSIVE TRAINING.

CCEP™
CERTIFIED COMPLIANCE &
ETHICS PROFESSIONAL

ABOUT SCCE'S BASIC COMPLIANCE & ETHICS ACADEMY®

WHY YOU SHOULD ATTEND

More than 7,500 compliance & ethics professionals have turned to SCCE Basic Compliance & Ethics Academies to learn best and leading practices in compliance and ethics management.

SCCE Academies are not conferences. Instead, they provide in-depth, classroom-style training in the essential elements of an effective compliance and ethics program. Class size is limited to facilitate interaction both with the faculty and the other participants.

Topics addressed in the Academy include:

- Compliance Infrastructure
- Creating and Reviewing Compliance Policies and Procedures
- Education and Training
- Risk Assessments
- Investigations
- Obtaining Buy In and Commitment
- Auditing & Monitoring
- Conflicts of Interest
- Anti-Corruption and Bribery

Course materials are provided and include an electronic version of SCCE's **The Complete Compliance and Ethics Manual** (normally $419) and SCCE's training video for board members, **Guidance for Engaging Your Board** (normally $395).

An integral feature of the SCCE Academy is the ability to meet industry peers. Because class size is limited, you will have the opportunity to get to know the other Academy attendees well. In addition, 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

Currently over 11,100 Compliance Professionals around the world have earned a Compliance Certification Board designation. These individuals have all demonstrated sufficient knowledge of government regulations and compliance processes to understand and address legal obligations and promote organizational integrity through the operation of effective compliance and ethics programs.

By taking and passing the certification exam, you will both join this distinguished group and help further the development of the compliance and ethics profession.

Earning the CCEP requires passing the requisite examination, which is offered after the conclusion of the Academy. In addition you will need at least one year of full-time experience in the profession or 1,500 hours within the recent 2 years and to complete 20 hours of continuing education in compliance within the 12 months prior to your exam date. There are a number of ways to obtain those credits, but the Basic Compliance & Ethics Academy can provide all the continuing education credits you need. For further information for this certification and its requirements please go to **compliancecertification.org** and click on the "CCEP" tab. Exam is optional and requires an additional applicant fee.

SCCE'S BASIC COMPLIANCE & ETHICS ACADEMY COURSE MATERIALS INCLUDE:
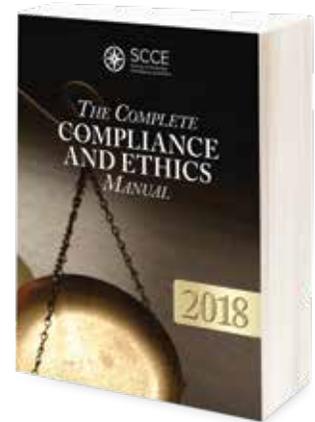
An electronic version of The Complete Compliance and Ethics Manual (normally $419)
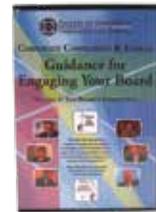
Guidance for Engaging Your Board, SCCE's board training video (normally $395)

CONTACT US

Please call SCCE at +1 952.933.4977 or 888.277.4977 or visit us online at **corporatecompliance.org** to learn more about the Academies and SCCE's other programs.

Rates are listed in U.S. dollars. Academies and certification exams will be conducted in English.

Debbie Troklus, Chair of the Compliance Certification Board (CCB)® on getting certified **with the CCEP certification**

"As our profession has grown, so has the need for professional certifications and education that focus on a variety of compliance industries such as general healthcare, privacy, research, and corporate compliance, as well as international. We see individuals not only seeking education or certification in one area, but in many and have in response to this expanded and increased our educational offerings for Academies, and for those who qualify, given the option to sit for a certification exam at the end of the Academy.

"I always had high hopes for these certifications, but the numbers of certified individuals and organizations recognizing these certifications far outweigh my expectations. The CCB certifications have really become the gold standard. With more than 11,100 individuals actively holding a CCB credential(s), the increase in organizations preferring individuals hold a CCB credential for hiring and the more than $4,000,000 invested in the development of the Compliance Certification Board credentials, the numbers go to prove that there is now a compliance profession established. We don't get asked, 'What is compliance?' anymore, everyone knows."

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 an ethical culture is 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, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F
Chief Risk Officer
Providence St Joseph Health*

This course 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, Senior Managing Director, Ankura Consulting

This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Implementation of a compliance program, selection of qualified staff, budgeting for compliance and the overall structure of the office are discussed. 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 and 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 conduct. 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
Ethics & Compliance Risk Assessment

*Sheryl Vacca, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F
Chief Risk Officer
Providence St Joseph Health*

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

10:15–12:00 PM
Privacy and Information Security

*David J. Heller, CCEP,
VP Enterprise Risk Management and General Auditor, Edison International*

This session provides an overview of key data privacy laws, regulations and guidelines that could impact a U.S. or global company with U.S. operations. It also touches on corresponding data protection standards. The Privacy session provides a basic high level introduction to new and emerging law, regulations and standards in many segments of industry. It covers laws and regulations applicable to both private industry and government. Laws and regulations for activities in Europe, Asia and other areas of the world are also briefly touched on in this session.

12:00–1:00 PM
Lunch
(provided)

1:00–2:15 PM
Discipline and Program Improvement

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

This session focuses on two of the most important elements of a program. When a failure is detected, discipline shows the culture that enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the culture. Program improvement is an analysis after every failure to see what can be done to which elements of the program to prevent the same failure in the future. The program is always a work in progress.

2:15–3:15 PM
Legal Issues, Risk Factors, and Disclosure Issues

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

This session will cover 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.

3:30–5:00 PM
Ethics & Compliance Programs: Best Practices and Perspectives

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

This interactive session provides a comprehensive overview of ethics, 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.

5:30 PM
Networking Dinner

WEDNESDAY

8:00–8:30 AM
Continental Breakfast *(provided)*

8:30–10:15 AM
Education and Training

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

This session will cover 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 and Monitoring

Urton Anderson, CCEP,
Director, Von Allmen School of Accountancy,
Gatton College of Business and Economics,
University of Kentucky

The goal for this session is to provide compliance professionals with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with 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, CCEP-F, JD, CFE, PCI,
Vice President,
Global Investigations for Booking Holdings Inc.

This session provides an overview of the workplace investigation process and the key steps in conducting a workplace investigation. Session content is presented for compliance officers who conduct investigations regularly as well as those who incorporate investigation findings in their other compliance work. The structure of an investigations process within the compliance program is discussed. The session proceeds through the investigation process and includes examples from actual investigations.

3:15–5:00 PM
E&C Programs: Effectiveness and Evaluation

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

This session focuses on Ethics & Compliance Program effectiveness and evaluation to include core components of program design, implementation, and management, among other key areas. Effectiveness considerations are explored to include strategies and approaches across program elements, organizational impact, global standards, stakeholder expectations, and best practices. The course will also consider methods, tools and resources for evaluating effectiveness and suggested steps for managing program risks, reporting, and opportunities to take the Ethics & Compliance Program to the next level. Overall, this course provides valuable insight and reinforcement of fundamental program requirements, needs and objectives.

THURSDAY

7:30–8:00 AM
Continental Breakfast *(provided)*

8:00–9:45 AM
Conflicts of Interest

Martin T. Biegelman, CFE, CCEP-F
Managing Director, Forensic Investigations,
Deloitte Financial Advisory Services LLP

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 in understanding ethical and organizational risks that result 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.

10:00 AM–11:45 AM
FCPA Anti-Corruption and Bribery

Odell Guyton, CCEP, CCEP-I,
Co-Founder SCCE,
Compliance and Ethics Professional

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 risks.

11:45 AM
Boxed Lunch *(provided)*

12:45 PM
CCEP Exam Check-In

1:15–4:30 PM
CCEP Exam

The exam is optional. *You must pre-register for the CCEP exam separately from the Academy. To apply online, go to: http://bit.ly/CCEP-reg*

Academy and certification exams offered are only in English at this time.

PLEASE NOTE: If you are not present at the specified 'Exam Time' as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 120 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.

AGENDA IS SUBJECT TO CHANGE

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 and 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: 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. 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.

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 | helpteam@corporatecompliance.org

I PLAN TO ATTEND (PLEASE CHECK)

~~OCTOBER 1-4, 2018~~ | ~~DALLAS, TX~~ - *SOLD OUT*

~~NOVEMBER 5-8, 2018~~ | ~~BLOOMINGTON, MN~~ - *SOLD OUT*

~~NOVEMBER 12-15, 2018~~ | ~~SAN DIEGO, CA~~ - *SOLD OUT*

☐ DECEMBER 10-13, 2018 | ORLANDO, FL - *LIMITED SEATS*

CHOOSE YOUR REGISTRATION FEE *(Registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.)*

☐ **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)

☐ **GROUP DISCOUNT:** subtract $_____ from my registration fee
   (see box at left)

TOTAL _____

SPECIAL REQUEST FOR DIETARY ACCOMMODATION

○ Gluten Free ○ Kosher (Hechsher certified)

○ Kosher-Style (no shellfish, pork or meat/dairy mixed)

○ Vegetarian ○ Vegan ○ Other _____

PAYMENT OPTIONS

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

Fax to: +1 952.988.0146

○ Check enclosed   ○ Invoice me

○ I authorize SCCE to charge my credit card (choose below)

> Due to PCI Compliance, **please do not provide any credit card information via email**. You may email the application (without credit card information) and call SCCE at 952.933.4977 or 888.277.4977 with your credit card information.

Credit Card: ○ American Express ○ MasterCard ○ Visa ○ Discover

_____
Credit Card Account Number

_____
Credit Card Expiration Date

_____
Cardholder's Name

_____
Cardholder's Signature

All rates listed in US dollars unless otherwise noted.

CA0918 / CA1018B / CA1018S / CA1118 / CA1218

Academy Locations

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

NOTICE:

Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number. If you have concerns or questions, please contact +1 952-933-4977 or 888-277-4977.

November 5-8, 2018 | Bloomington, MN
Hyatt Regency by Mall of America
3200 East 81st Street, Bloomington, MN 55425

A reduced rate of $155.00 per night plus taxes and state fees (currently 14.525%, subject to change) for single occupancy has been arranged. The following services are provided complimentary: On-Site Parking, Shuttle to/from the Minneapolis/St. Paul Airport, Shuttle to/from the Mall of America, and Guestroom Internet Access. To book your reservations, call (800) 233-1234 and request the SCCE Compliance Academy Rate. The cutoff date for the group rate is Sunday, October 21, 2018 or once the group room block is full, whichever comes first. Guestrooms booked after the cut-off date will be extended the best available rate. A credit card number or 1 night's advance deposit will be required to secure a room. Cancellations must be received 72 hours prior to arrival or 1 night's room and tax will be assessed.

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. 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 corporatecompliance.org under the information for each Academy. Questions? Contact CCB at +1 952.405.7935 or *ccb@compliancecertification.org.*

Cancellations/Substitutions: You may send a substitute in your place or request a conference credit. Refunds will not be issued. Conference credits are issued in the full amount of the registration fees paid, and will expire 12 months from the date of the original cancelled event. Conference credits may be used towards any SCCE service or product. If a credit is applied towards an event, the event must take place prior to the credit's expiration date. If you need to cancel your participation, notification is required by email at service@corporatecompliance.org, prior to the start date of the event. 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 external continuing education units (CEUs). Should overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Credits are assessed based on actual attendance and credit type requested.

Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. CEU totals are subject to change.

Upon request, SCCE may submit this course to additional states or entities for consideration. If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email CCB@ComplianceCertification.org. Visit SCCE's website, corporatecompliance.org, for up-to-date information

Compliance Certification Board (CCB)®: CCB has awarded a maximum of **29.4** 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)®.

Continuing Legal Education (CLE): The Society of Corporate Compliance and Ethics is a provider/sponsor, approved/accredited by the State Bar of California, the Pennsylvania Bar Association, and the State Bar of Texas. An approximate maximum of **24.5** clock hours of CLE credit will be available to attendees of this conference from these states, along with Alabama, Florida, Georgia, Illinois, Louisiana, Ohio, and Rhode Island. Upon request SCCE may submit this course to additional states for consideration. All CLE credits will be assessed based on actual attendance and in accordance with each state's requirements.

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. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: learningmarket.org. A recommended maximum of **29.0** credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a group-live activity in the recommended field of study of Specialized Knowledge and Application. For more information regarding administrative policies such as complaints or refunds, call 888.580.8373 or +1 952.988.0141.

SCCE™

PLAN NOW TO ATTEND A 2018 BASIC COMPLIANCE & ETHICS ACADEMY

Training more than 7,500 compliance and ethics professionals around the world

corporatecompliance.org/academies
Questions: jill.burke@corporatecompliance.org

WHAT YOUR PEERS SAY
SCCE'S BASIC COMPLIANCE & ETHICS ACADEMIES

"The instructors were the most enlightening group I have ever had the pleasure of listening to. They not only taught everything you need to know about compliance, they also shared their individual experiences which truly made the training and overall conference engrossing. It was very notable that each of the trainers made themselves available to speak with the attendees after each session."

– Teresa Whitt, Ethics & Compliance,
   Harris Corporation

"I have attended two Basic Compliance and Ethics Academies over the past four years, and each of them has provided unique learning and networking opportunities. Attending the academies has served as a refresher course on Compliance and Ethics basics, while providing the opportunity to share "real world experiences". The academies have proven to be one of the best investments I have made in my professional career. Thank you SCCE!"

– Scheretta Wilson, CCEP, Manager, Ethics and
   Compliance, Sysco Corporation

"I feel far more competent and confident in my ability to deliver a world class program for my company."

– Eileen Krouse, Ethics & Compliance Office,
   Staples Inc

"Attending the SCCE Basic Compliance and Ethics Academy gave me the confidence that we in our company have a best-practice compliance program in place as well as required knowledge to pass the CCEP exam. It also gave me the opportunity to meet and share experience with a number of people in different roles within the ethics and compliance professional area."

– Mikael Eliasson, Ethics & Compliance Officer,
   Telia Company

"I found the SCCE Basic Compliance and Ethics Academy very informative, as an individual who was entirely new to the Compliance and Ethics world, the academy pulled my thinking out of the box and helped me realize that there is so much more to Compliance and Ethics than just good behavior."

– Frances Castro Silva, MEd, CCEP, Specialist
   Compliance, Tyson Foods, Inc