

2019 INTERNATIONAL BASIC COMPLIANCE & ETHICS ACADEMY

from the Society of Corporate Compliance and Ethics®

11-14 February | **Hong Kong**



ELEVATE YOUR COMPLIANCE KNOWLEDGE

Budgets are tight, governments around the world are looking to add new regulations, public trust in business is low, and employees are tempted to cut corners. Get the tools you need to face these challenges, and manage an effective compliance program, by attending the International Basic Compliance & Ethics Academy, 11-14 February in Hong Kong. Our Academies are ideal for compliance professionals who are looking to elevate their skills and knowledge.

SCCE's academies are not conferences, but instead provide in-depth, classroom-style training in compliance and ethics. You will gain insight into topics that are at the heart of compliance practice.

11,100+
Compliance
Professionals

hold a Compliance
Certification Board
(CCB)® credential

Learn the
essentials of
managing
compliance
& ethics
programs

**Register
Early to
Reserve
Your Space**

ACADEMIES
LIMITED TO
75 PARTICIPANTS

corporatecompliance.org/academies

Questions? beckie.smith@corporatecompliance.org



About the Academies

Are you prepared to effectively implement and manage a compliance program at your global organization? Get to the heart of compliance practice with help from our International Basic Compliance & Ethics Academies.

Who Should Attend?

Our academy training sessions are ideal for professionals with some compliance knowledge and experience who are ready to support, enhance and manage a comprehensive compliance program. This includes compliance officers, compliance and risk program managers, audit managers, data privacy specialists, and compliance lawyers.

Why You Should Attend

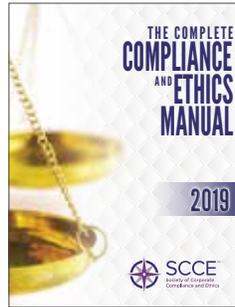
More than 7,500 compliance & ethics professionals have turned to our Academies to learn the best and leading practices in compliance and ethics management. Our Academies are not conferences. Instead, they provide in-depth, classroom-style training in compliance and ethics.

The Academies also:

- Cover the core compliance training you need, including compliance policies and procedures, education and training, risk assessment, auditing and monitoring, conflicts of interest, and anti-corruption and bribery.
- Are taught by compliance professionals, hand-selected for their experience and teaching skills.
- Allow you to earn up to 28.5 CCB CEUs or 23.75 CLEs for attending.
- Limit enrollment to 75 participants per academy, ensuring personal interaction with our expert faculty.
- Provide opportunities to network with both faculty and peers, including a networking dinner and other opportunities during training breaks.

What You Will Receive

Course materials are provided onsite on the first day of the academy. This includes a binder containing all course materials, a one-year access to the online version of *The Complete Compliance and Ethics Manual* and a copy of *International Compliance 101*.



Get Certified

Why do people add JD, MBA, or CPA after their name? Because they know those initials add credibility. Become a Certified Compliance and Ethics Professional-International (CCEP-I)[®] by taking the exam on the last day of the Academy.

More than 11,100 compliance professionals around the world have earned a Compliance Certification Board (CCB)[®] designation. 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.

In addition to passing the exam, you will need:

- At least one year of full-time experience in the profession or 1,500 hours within the past two years
- 20 hours of continuing education units (CEUs) in compliance within the 12 months prior to your exam date. The International Basic Compliance & Ethics Academy can provide all the CEUs you need, although it is not a preparation class for the exam itself.

The exam is optional and a separate application and fee is required. For more information, visit compliancecertification.org and click on the "CCEP-I" tab.

Faculty



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



Lea Fourkiller, CHC, CCEP, CCEP-I,
Co-Founder SCCE, Managing Director,
Klink & Co., Inc.



Al Gagne, CCEP, CCEP-I,
Co-Founder SCCE, Managing Director,
Klink & Co., Inc.



Odell Guyton, CCEP, CCEP-I,
Co-Founder SCCE, Managing Director,
Klink & Co., Inc.



Louis Perold, CCEP, CCEP-I,
Global Compliance Manager,
Jabil Circuit, Inc.



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



Debbie Troklus, CCEP-F, CCEP-I,
CHC-F, CHRC, CHPC, Senior
Managing Director, Ankura Consulting



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



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

Faculty subject to change.

Contact Us

Please visit us online at corporatecompliance.org to learn more about the Academies and SCCE's other programs.

Academy questions?
beckie.smith@corporatecompliance.org

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.

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*

“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.”

CCEP-I[™]



Monday

8:30–9:00	Registration & Welcome Coffee <i>(provided)</i>
9:00–9:15	Welcome/Introduction
9:15–10:30	Introduction to Compliance This session provides a basic introduction to compliance and the compliance program. It covers the essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program.
10:30–10:45	Break
10:45–12:30	Organizational Ethics 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.
12:30–13:30	Lunch <i>(provided)</i>
13:30–15:15	Education & Training 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.”
15:15–15:30	Break
15:30–17:15	Compliance Infrastructure This course is designed to help compliance professionals understand the basic framework needed to establish a successful compliance program infrastructure. Program governance, selection of a qualified staff, management considerations, budgeting for compliance and the overall structure of the office are discussed. Time is spent exploring the various compliance roles and positions needed and qualifications for each. The auditing role along with qualifications is also explored. A compliance professional should be able to use what is taught in this course to establish an adequate structure from the onset that will help to facilitate a successful and effective compliance program for the long-term.

Tuesday

8:30–9:00	Welcome Coffee <i>(provided)</i>
9:00–10:45	Creating & Reviewing Compliance Policies and Procedures 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.
10:45–11:00	Break
11:00–12:45	Compliance & Ethics Risk Assessment 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.
12:45–13:45	Lunch <i>(provided)</i>
13:45–14:00	Test Question & Answer
14:00–15:15	Discipline & Program Improvement This session focuses on two of the most important elements of a program. When a failure is detected, discipline demonstrates a culture in which enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the overall culture. Program improvement is an analysis after every failure to see what can be done in various elements of the program to prevent the same failure in the future. The program is always a work in progress.
15:15–15:30	Break
15:30–17:15	Investigations 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 investigations as well as considerations for determining whether the investigations 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.
17:15–18:15	Networking Reception

Wednesday

8:30 – 9:00	Welcome Coffee <i>(provided)</i>
9:00 – 10:45	Auditing & Monitoring <p>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 assurance 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.</p>
10:45 – 11:00	Break
11:00 – 12:45	Privacy <p>This 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. Law and regulations for activities in the US, Europe, Asia and other areas of the world are touched on in this session.</p>
12:45 – 13:45	Lunch <i>(provided)</i>
13:45 – 15:00	Obtaining Buy In & Commitment <p>Obtaining buy in and commitment from leadership is still the number one obstacle to compliance. This session will focus on understanding management/leadership styles and developing methods to help in getting the buy- in that is needed for an effective compliance program.</p>
15:00 – 15:15	Break
15:15 – 17:00	E&C Programs: Effectiveness and Evaluation <p>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..</p>

Thursday

8:00 – 8:30	Welcome Coffee <i>(provided)</i>
8:30 – 9:30	Using Incentives in the Compliance Program <p>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.</p>
9:30 – 9:45	Break
9:45 – 11:30	Conflicts of Interest <p>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 and how they occur; gifts, gratuities and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies and best practices.</p>
11:30 – 11:45	Break
11:45 – 13:15	Anti-Corruption & Bribery <p>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.</p>
13:15 – 14:15	Lunch <i>(provided)</i>
14:15 – 14:45	Exam Check-In Time <i>(optional)</i>
14:45 – 18:15	Exam Time – Certified Compliance and Ethics Professional-International (CCEP-I)® Exam <i>(optional)</i> <p>The exam is optional. You must apply and be approved to sit for the CCEP-I exam by CCB, separately from your academy registration. To apply online, go to: http://bit.ly/CCEP-reg. Academy and certification exams offered are only in English at this time.</p> <p>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 150 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.</p>

CONTACT INFORMATION

Mr. Mrs. Ms. Dr.

SCCE Member/Account Number

First Name

MI

Last Name

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

Job Title

Organization (Name of Employer)

Street Address

City/Town

State/Province/Country

Zip/Postal Code

Phone

Fax

Email (required for registration confirmation and conference information)

11-14 February | Hong Kong

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.....\$2,750 USD

NON-MEMBER.....\$3,250 USD

REGISTRATION PLUS SCCE MEMBERSHIP.....\$2,970 USD

Save by joining SCCE today (First-time members only; dues regularly \$295 annually, \$325 annually after 1/1/19)

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

NOTE: As of 1/1/2019 a \$250 fee will be charged for any registration changes within 7 days of the first day of an Academy.

TOTAL _____

All rates listed in US dollars unless otherwise noted.

Any additional fees and/or reservations for hotel, airfare, certification exam must be made separately. Please see page 7 for details and information.

SPECIAL REQUEST FOR DIETARY ACCOMMODATION

- Gluten Free Kosher (Hechsher certified)
 Kosher-Style (no shellfish, pork or meat/dairy mixed)
 Vegetarian Vegan Other _____

PAYMENT OPTIONS AND REGISTRATION OPTION

If you wish to pay using wire transfer, please email help@corporatecompliance.org for instructions

Fax to: +1 952.988.0146

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

- 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

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 | help@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.

Use of your information – To find out how we may use your information please read our Privacy Statement at corporatecompliance.org/privacy.aspx.

By submitting this registration form you agree to the terms and conditions, including the use of your information as stated on page 7, and our Privacy Statement located at corporatecompliance.org/privacy.aspx.

CONFERENCE LOCATION AND HOTEL RESERVATIONS

Hotel Information

HYATT REGENCY HONG KONG
 TSIM SHA TSUI
 18 Hanoi Road
 Tsim Sha Tsui
 Kowloon, Hong Kong
 T: +852 2311 1234

Online Reservations:

www.hyatt.com/en-US/hotel/china/hyatt-regency-hong-kong-tsim-sha-tsui/honhr?&corp_id=G-I2PG

A reduced rate of HK \$1550.00 per single occupancy per room per night subject to 10% service charge has been arranged for participants. Taxes and government fees are subject to adjustment with prior notice in line with any changes in government policy which may affect the official rate of exchange and/or tax levels. Rates are inclusive of high speed wired and wireless internet access in guestrooms.

Reservations must be booked directly through this hotel website:

www.hyatt.com/en-US/hotel/china/hyatt-regency-hong-kong-tsim-sha-tsui/honhr?&corp_id=G-I2PG using group code:

G-I2PG (should populate automatically if group dates are selected using this link) to achieve the discounted rate and must be guaranteed by a valid credit card. The cutoff date for the group rate is **27 January 2019** or once the group block is full. Thereafter rooms and rates are only offered based on availability.

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 or web link in this brochure. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

TERMS AND CONDITIONS

Use of Information

Your information may be received by other participants as well as our affiliates and partners who we may share it with for marketing purposes. If you wish to opt-out, please follow the process set out in the Privacy Statement.

Registration Payment 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 as indicated on the agenda.

Cancellations/Substitutions

No refunds will be given for cancellations. If you need to cancel your participation, your request must be submitted by email to service@corporatecompliance.org. Cancellation requests received within 7 days of the event start date will be assessed a \$250 cancellation fee. A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original, canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. Conference credits may be applied toward any SCCE event, service, or product. If a conference credit is applied toward an event, the event must take place prior to the credit's expiration date. Alternatively, you may choose to send a substitute attendee in your place. An additional fee may apply depending upon the membership status of the substitute. Substitution requests must be submitted by email to service@corporatecompliance.org.

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 and/or video at the SCCE Basic Compliance & Ethics Academy 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 Basic Compliance & Ethics Academy®, I grant SCCE the right to use my name, photograph, video and biography for such purposes.

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

PREREQUISITES/ADVANCED PREPARATION: None.

Ways 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 beckie.smith@corporatecompliance.org

CCEP-I EXAM

The cost of the CCEP-I exam is not included in the Academy registration fee. To apply for the CCEP-I exam, download the PDF application form for the exam offered at your Academy from corporatecompliance.org/academies.

Please note that you must apply for the CCEP-I exam separately from the Academy. Submit the exam application and application fee in advance as directed on the application form.

QUESTIONS ABOUT THE EXAM?

Contact the certification team at ccb@compliancecertification.org or +1 952.933.4977.

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 **28.5** CCB 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)*

U.S. LEGAL EDUCATION CLE:

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 **23.75** clock hours of CLE credit will be available to attendees of this conference licensed in these states. 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.

Plan now to attend a 2019 International Basic Compliance & Ethics Academy

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



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Questions? beckie.smith@corporatecompliance.org

ACADEMIES OFFERED IN 2019

Dubai, UAE
13-16 January

Amsterdam
6-9 May

Singapore
15-18 July

São Paulo
26-29 August

Madrid
23-26 September