

# SCCE REGIONAL Compliance & Ethics Conference



*Mountain* | October 23, 2009 | Denver, Colorado

## *Purpose*

SCCE regional conferences provide a forum to interact with local compliance professionals, share information about our compliance successes and challenges, and create educational opportunities for compliance professionals to strengthen the industry.

## *Who should attend?*

Compliance officers, in-house and outside general counsels, privacy and security officers, regulatory affairs, VPs and directors, billing and coding professionals, government agency staff.

## *Learning Objectives*

Attendees learn about current regulatory requirements, government enforcement initiatives, and the management of effective compliance programs, and meet and network with other compliance professionals locally.

## *Sponsors*



“With the field of compliance being so new to most industries, I find it is especially important to meet and exchange ideas with fellow colleagues. We are all looking for ideas to continuously improve our compliance programs and explore solutions to common situations. The one-day SCCE conference in Chicago afforded that opportunity with a concise agenda that touched on many key issues we all face in our changing world of compliance.”

*Anne Elfred, Regional Compliance Officer, Aggregate Industries Management, Inc.*



[www.corporatecompliance.org](http://www.corporatecompliance.org)  
+1 952 933 4977 or 888 277 4977



**8:15 – 8:30 AM**

**Opening Remarks by the Program Committee**

**8:30 – 9:30 AM**

**Effective Ethical Governance, Monitoring and Awareness**



Kimberly Perry, Compliance Audit Executive, Newmont Mining Corporation

- Roles & responsibilities: cross-functional collaboration is crucial
- Leverage points & critical weaknesses
- Pervasive impact on the organization and the communities in which we operate
- When is it effective and what are the benefits?

**9:30 – 9:45 AM**

**Networking Break**

**9:45 – 10:45 AM**

**Engaging with the Government: Contract, Relationships & The New Regulatory Environment**



John Carlson, CIA, Deputy Director, Office of the Auditor, City and County of Denver

**10:45 – 11:00 AM**

**Networking Break**

**11:00 AM – 12:00 PM**

**Ethical Leadership: Business Impact**



Peter Swinburn, CEO, Molson Coors Brewing Company



Caroline McMichen, Global Director, Ethics & Business Conduct, Molson Coors Brewing Company

**12:00 – 1:00 PM**

**Networking Lunch (provided)**

**1:00 – 2:15 PM**

**Interactive Workgroup: The Next Major Compliance Issue**



Adam Turteltaub, CCEP, Vice President of Membership Development, Society of Corporate Compliance & Ethics

- Collaborate with your peers in an interactive workshop to determine what the next big compliance and ethics issue will be
- Develop plans for managing the risk

**2:15 – 3:15 PM**

**Lessening the Unknowns: Using Due Diligence to Reduce Risk in Partnering with Third Parties**



Dave Heller, Director, Ethics, Boeing Government and International Operations



James M. Lord, Coordinator, Corporate Fraud Task Force, United States Attorney's Office, Seattle, Washington



Diana Lutz, Senior Practice Leader, LRN

In this session, we will explore:

- Regulations and enforcement actions that may create risk for your company based upon how your company interacts with third parties
- Circumstances, transactions and events in your third party relationships that may be red flags for existence of heightened risk
- Practical approaches to mitigating the risk of transacting business with third parties, including a look at due diligence and other Ethics and Compliance initiatives

**3:15 – 3:30 PM**

**Networking Break**

**3:30 – 4:30 PM**

**How Do Humans Make Ethical Decisions?**



Professor Sam Cassidy, University of Denver, Daniels College of Business, Department of Business Ethics and Legal Studies and Former Lt. Gov. of Colorado

Ethical decisions are among the most difficult we make in both our professional and personal lives. These decisions involve conflict between two or more positive values at times. Do we lay off 1000 employees to enhance short term profitability for shareholders (a positive value) even though it causes hardship to employees who might have been spared (treating employees well is also a positive value) Do I risk a marriage for personal growth? (both positive values)

Another reason these decisions are so complex is because deeply held values are not just a rational thought process. Basic values such as personal freedom, justice, and competition have a strong emotional component. Our rational mind may know the right thing to do but we succumb to the subconscious emotional need triggered by the situation. The more important is the decision the higher is the emotional impact. Some of these deeper emotional needs demand that we conform to group consensus even when we know the group is acting unethically.

We have long taught ethics as though rational thought processes held all of the keys to human behavior. New psychological studies tell us that motivation, leadership and ethical decision making are very strongly impacted by emotions and to be effective at these critical skills we must understand human behavior at a much deeper level. In this talk we will explore the wealth of new science on these issues and begin a learning process essential to human interaction.

SCCE'S COMPLIANCE & ETHICS PROFESSIONAL Social Network

<http://community.corporatecompliance.org>

### Choose your registration fees:

- SCCE Member** .....\$175
- Non-Member** .....\$220
- Conference Binder** (for registered conference attendees only).....\$25
- Registration & SCCE membership**.....\$375  
*Save by joining SCCE today (new members only). Annual dues regularly \$295.*
- Registration & membership renewal**.....\$470  
*Current members, register & renew your membership.*

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

### Please type or print:

- Mr.  Mrs.  Ms.  Dr.

SCCE Member Number \_\_\_\_\_

First Name \_\_\_\_\_ M.I. \_\_\_\_\_ Last Name \_\_\_\_\_

Credentials (CCEP, CPA, CFE, etc.) \_\_\_\_\_

Title \_\_\_\_\_

Place of Employment \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone \_\_\_\_\_

Fax \_\_\_\_\_

E-mail (required for confirmation and conference information) \_\_\_\_\_

### Mail check (including registration form) to:

SCCE, 6500 Barrie Road, Suite 250, Minneapolis, MN 55435

**Fax to:** +1 952 988 0146

Check enclosed  Invoice me PO # \_\_\_\_\_

Charge my:  Visa  MasterCard  AmericanExpress

Credit Card Account Number \_\_\_\_\_

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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. Please note hotel accommodations are not included in the registration fee, but continental breakfast and lunch are provided. Federal Tax ID: 23-2882664 / Code: LCC009.

**Register online at [www.corporatecompliance.org](http://www.corporatecompliance.org)  
Questions? Call +1 952 933 4977 or 888 277 4977**

### Hotel/Conference Location:

**Grand Hyatt Denver | 1750 Welton Street | Denver, CO 80202**

No reserved block of sleeping rooms has been set aside for this conference. However, Grand Hyatt Denver does have sleeping room accommodations currently available. You can make reservations online at [www.GrandDenver.Hyatt.com](http://www.GrandDenver.Hyatt.com) or by calling +1 303 295 1234.

**Tax Deductibility:** Expenses of training (including tuition, travel, lodging and meals) incurred to maintain or improve skills in your profession may be tax deductible. Consult your tax advisor (Federal Tax ID: 23-2882664).

**Cancellations/Substitutions:** No refunds will be given for "no-shows" or cancellations. You may send a substitute or receive a conference credit. Additional charges may apply. Cancellation by telephone is NOT valid. Please fax written cancellations to +1 952 988 0146 or e-mail [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org). Questions? Please call 888 277 4977 or +1 952 933 4977.

### Continuing Education Credits

SCCE is in the process of applying for continuing education credits from outside organizations. If you do not see information on your specific accreditation listed three months prior to the date of the event, please contact us at +1 952 933 4977 or 888 277 4977, as we would like the opportunity to offer it.

**Compliance Certification Board (CCB):** Certified in Healthcare Compliance (CHC), Certified Compliance & Ethics Professional (CCEP), Certified in Healthcare Research Compliance (CHRC): CCB has awarded a maximum of 7.5 CEUs for these accreditations in the following subject areas: Application of Management Practices for the Compliance Professional; Application of Personal and Business Ethics in Compliance; Written Compliance Policies and Procedures; Designation of Compliance Officers and Committees; Compliance Training and Education; Communication and Reporting Mechanisms in Compliance; Enforcement of Compliance Standards and Discipline; Auditing and Monitoring for Compliance; Response to Compliance Violations and Corrective Actions; and HIPAA Privacy Implementation and/or Complying with Government Regulations.

**MCLE/CLE:** The Health Care Compliance Association, a co-sponsor of the Society of Corporate Compliance & Ethics, is a State Bar of California approved MCLE provider and a Rhode Island Accredited Provider.

**NASBA/CPE:** The Health Care Compliance Association, a co-sponsor of 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. To verify if your state board of accountancy has adopted one-half credits, please visit our website at [www.corporatecompliance.org/accountancycredits](http://www.corporatecompliance.org/accountancycredits). 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 7.5 cpe 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. An understanding of the USSG's Seven Elements of an Effective Compliance Program and compliance terminology and acronyms are pre-requisites of this learning activity. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call the SCCE at +1 952 933 4977 or 888 277 4977.

Please note that agenda and times are subject to change.

### SCCE is going green

SCCE conference attendees will NOT automatically receive conference binders. Attendees will receive electronic access to course materials prior to the conference and a CD on-site with all the conference materials. If you would like to purchase the binder for \$25, please check "Conference Binder" above.



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS

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"Attending this seminar was very valuable for me because it touched on all areas of the field of Compliance and Ethics. I have already begun to utilize the information and suggestions I took away from the seminar in my position as Compliance Specialist."

*Monique Lamirault, SCCE Member, Schnitzer Steel Industries Inc.*

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