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Don't miss
your chance
to attend

Higher Education Compliance Conference

June 3–6, 2018 | Austin, TX

Gather with your peers and the Society of Corporate Compliance and Ethics for the primary education and networking event for compliance and ethics professionals in higher education.

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Questions? catherine.stollenwerk@corporatecompliance.org



Program at a Glance

SUNDAY, JUNE 3 / PRE-CONFERENCE

12:00–5:30 PM	Registration Open	
1:00–2:30 PM BREAKOUT SESSIONS PRE-CONFERENCE	P1 Privacy Boot Camp: A Pragmatic Approach to Surviving the Regulatory Wilderness – <i>Kathleen A. Sutherland, Audit Manager-Compliance, Department of Internal Audit, University of Colorado; Deborah A. O'Connor, Director Campus Compliance/Privacy Officer, University of CO Colorado Springs; Holly B. Benton, University Privacy Officer, Office of Audit, Risk & Compliance, Duke University</i>	P2 Participating, Developing, Leading, and Nurturing Lean-In Circles for Fellow Compliance Officers and Members of Your Organization – <i>Judith W. Spain, Professor, Business Law, Eastern Kentucky University</i>
2:30–2:45 PM	Networking Break	
2:45–4:15 PM BREAKOUT SESSIONS PRE-CONFERENCE	P3 Monitoring Mentor: The Workshop – <i>Jessica Wasserman, Assistant Compliance Officer, New York University</i>	P4 Title IX: The Changing Landscape – <i>James C. Dockery, Director, Accessibility Operations, USAA</i>
4:15–5:30 PM	Welcome Reception	

MONDAY, JUNE 4 / CONFERENCE

7:00 AM–6:00 PM	Registration Open		
7:00–8:00 AM	Breakfast (provided)		
8:00–8:15 AM	Opening Remarks		
8:15–9:15 AM	GENERAL SESSION 1: Higher Education Year in Review – <i>Marisa Zuskar, Higher Ed Consulting Director, Huron Consulting Group; Matthew Staman, Managing Director, Huron Consulting Group</i>		
9:15–9:45 AM	Networking Break with Exhibitors		
9:45–10:45 AM BREAKOUT SESSIONS	101 Overcoming the Challenges and Silos with Title IX, Clery Act, FERPA, OSHA, State Laws, and More! – <i>Rick Shaw, President, Awareity</i>	102 Don't Let Your Conflict of Interest Make You a Person of Interest: Perspectives from a University and Academic Medical Center – <i>Julia A. Hamilton, Director, Vanderbilt University Medical Center; Christy Hooper, Assistant Vice Chancellor, Vanderbilt University</i>	103 Viewing Policy Development Through an Equity Lens – <i>Boyd Kumher, Chief Compliance Officer, University of Minnesota; Michele Gross, Director of Policy, University of Minnesota</i>
10:45–11:00 AM	Networking Break		
11:00 AM–12:00 PM BREAKOUT SESSIONS	201 Auditing at the Speed of Risk: Georgia Tech's Data-Driven Fraud Risk Assessment – <i>Joe Oringel, Managing Director, Visual Risk IQ; Melissa Hall, Associate Director Forensic Audits, Georgia Institute of Technology</i>	202 Promoting the Pull: Wouldn't You Rather They Ask? – <i>Stephanie N. Suerth, Program Director, University of Maryland Baltimore; Susan C. Buskirk, Deputy Chief Accountability Officer, Asst. Vice President, Office of Accountability and Compliance, University of Maryland, Baltimore</i>	ADVANCED DISCUSSION* AD203 Saying No to Power: A Must-Have Skill for a Compliance Officer – <i>Joshua B. Toas, Chief Compliance Officer, Research Foundation for SUNY</i>
12:00–1:00 PM	Lunch		
1:00–2:00 PM BREAKOUT SESSIONS	301 All In for Camps: Centralizing Youth Program Review on an Decentralized Campus – <i>Marcy R. Huey, Executive Director of Institutional Compliance, The University of Alabama</i>	302 New Perspectives in Compliance Awareness and Training – <i>Jennifer Weddle, Compliance Consultant, Indiana University; Marcia N. Gonzales, Chief Compliance Officer, Indiana University</i>	303 Doing More with Less: Coordinating a Decentralized Compliance Function with Limited Central Resources – <i>Jessica Wasserman, Assistant Compliance Officer, New York University; John Powers, Manager, PwC</i>
2:00–2:30 PM	Networking Break with Exhibitors		
2:30–3:30 PM BREAKOUT SESSIONS	401 Crisis Management for Compliance Officers: Who's In Your Foxhole? – <i>Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University; Chris Glaros, Assistant Vice President for Compliance Operations & Investigations, The Ohio State University</i>	402 You'll Thank Me for This One Day (Just Maybe Not Today): Measuring Compliance & Ethics Program Effectiveness and Improvement Efforts in a Decentralized Campus Environment – <i>Brad C. Trahan, Compliance, NC State University; Rob Hoon, NC State University</i>	403 Encryption Fails and Other Tales of International Travel, Borders, and Mobile Devices – <i>Brian M. Warshawsky, Systemwide Manager of Export Control Compliance and Empowered Official, University of CA Office of the President</i>
3:30–3:45 PM	Networking Break		
3:45–4:45 PM	GENERAL COMPLIANCE SESSION 2: Higher Education and Evolving Technologies: Strategies for Cybersecurity – <i>Kyle Loven, CCEP, National Director, Computer Forensic Services</i>		
4:45–6:00 PM	School Spirit Networking Reception		

Program at a Glance

TUESDAY, JUNE 5 / CONFERENCE

7:00 AM – 4:30 PM	Registration Open		
7:00 – 8:00 AM	Breakfast (provided)		
8:00 – 8:15 AM	Opening Remarks		
8:15 – 9:15 AM	GENERAL SESSION 3: Ready or Not, GDPR Is Here! – <i>Kenneth J. Liddle, Chief Compliance Officer, Rice University; Robert Bond, Partner & Notary Public, Bristows LLP</i>		
9:15 – 9:45 AM	Networking Break with Exhibitors		
9:45 – 10:45 AM BREAKOUT SESSIONS	501 Positive Campus Climate: A Missing Ingredient in Your Compliance Program? – <i>Sheryl A. Ireland, Director, Ethics and Compliance Program Office, University of CA Merced; Luanna K. Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of CA Merced</i>	502 Modern Slavery: A Practical Perspective for Higher Education Institutions – <i>Sarah Carpenter, Senior Business & Human Rights Analyst, Assent Compliance; Kirill Boychenko, CCEP-I, Campaign Coordinator, International Labor Rights Forum</i>	ADVANCED DISCUSSION* AD503 New Approaches Towards Assessing Compliance Effectiveness of Internal Programs – <i>Marcia N. Gonzales, Chief Compliance Officer, Indiana University</i>
10:45 – 11:00 AM	Networking Break		
11:00 AM – 12:00 PM	601 Effective Communication – <i>Kyle Zamcheck, COO, Jackrabbit</i>	602 Can I Be the Good Cop this Time? Building Trust without Sacrificing Compliance – <i>John B. Hughes, Director Ethics/Ethics Liaison Officer, Rutgers, The State University of New Jersey; Casey Woods, Ethics Training Officer, Rutgers, The State University of New Jersey</i>	603 Championing a System-wide Approach to Compliance and Ethics Programs: Challenges and Successes – <i>Joseph K. Maleszewski, Inspector General, Board of Governors, State University System of Florida; Lori Clark, Compliance & Audit Specialist, State University System of Florida</i>
12:00 – 1:00 PM	Lunch		
1:00 – 2:00 PM BREAKOUT SESSIONS	701 A Collusion Case Study on Embezzlement, Travel Fraud, and Misappropriation at the University: How Collusion Evaded Detection and Rendered the Control Environment Ineffective for Six Years – <i>Amy Block Joy, Faculty/Specialist Emeritus, University of California, Davis</i>	702 Building a Culture of Compliance: Two Years into the Journey – <i>Cathy Smock, Chief Compliance Officer, Prairie View A&M University; Whitney Glenz, Compliance Officer II, Prairie View A&M University</i>	703 Rethinking Organizational Relationships to Strategically Align Compliance, Audit, Risk, Ethics, and ERM Functions – <i>Cassandra Walsh, Director, Baker Tilly; Vicki Duggan, Chief Compliance, Risk and Ethics Officer, Montgomery College</i>
2:00 – 2:15 PM	Networking Break		
2:15 – 3:15 PM BREAKOUT SESSIONS	801 Service Animals and Emotional Support Animals (ESAs): Increasing Complexities in Developing an Effective Policy and Process to Withstand Legal and Public Relations Scrutiny – <i>Judith W. Spain, Professor, Business Law, Eastern Kentucky University; April Barnes, Executive Director, Housing and Residence Life, Eastern Kentucky University</i>	802 Minding the Gaps: Undertaking a Large Scale Compliance Gap Analysis in Higher Education – <i>John D. Lawley, Deputy Chief Compliance Officer, Emory University; Scotty Jenkins, Compliance Manager, Emory University</i>	803 Immigration: Paying Fines Is the Easy Part: Are Institutions Prepared for the Increase in Immigration Enforcement? – <i>Tracy Schauf, Senior Attorney, Fakhoury Law Group; Brooke Stokdyk, Assistant Director, Michigan State University</i>
3:15 – 3:30 PM	Networking Break		
3:30 – 4:30 PM	GENERAL COMPLIANCE SESSION 4: Compliance and Greek Life: Tools for Oversight and Collaboration – <i>Gates Garrity-Rokous, Vice President and Chief Compliance Officer, The Ohio State University; Regis Becker, Chief Ethics & Compliance Officer, Penn State University</i>		

WEDNESDAY, JUNE 6 / POST-CONFERENCE

8:00 – 11:45 AM	Registration Open	
8:30 – 10:00 AM BREAKOUT SESSIONS POST-CONFERENCE	W1 Panel Discussion: Tools, Strategies, and Lessons Learned to Address Unique HIPAA Issues for Universities and AMCS – <i>Marti Arvin, Vice President, Audit Strategy, CynergisTek, Inc.; Kristin H. West, Chief Compliance Officer, Emory University, Office of Compliance; Tanisha Raiford, Compliance & Privacy Officer, Weill Cornell Medicine; Karen Pagliaro-Meyer, Privacy Officer, Columbia University Medical Center</i>	W2 Conducting Coordinated Compliance Investigations – <i>Vincent A. Lacovara, Chief Ethics and Compliance Officer, Catholic University; Corey Parker, Manager, Baker Tilly</i>
10:00 – 10:15 AM	Networking Break	
10:15 – 11:45 AM BREAKOUT SESSIONS POST-CONFERENCE	W3 Compliance Officer’s Roundtable– <i>Joel Mayer, Managing Director and Heald of Government Investigations, Navient</i>	W4 Say What? Your Policy on Free Speech – <i>Kenneth J. Liddle, Chief Compliance Officer, Rice University; Dan Sharphorn, Vice Chancellor and General Counsel, The University of Texas System</i>
12:30 PM	CCEP Exam Check-in	
12:45 – 3:15 PM	Certified Compliance & Ethics Professional (CCEP)® exam (<i>optional</i>)	

*Advanced Discussions are interactive sessions geared toward more experienced compliance and ethics professionals. They are limited to 50 attendees and open on a first-come, first-served basis. No pre-registration is available.

Agenda

SUNDAY, JUNE 3

PRE-CONFERENCE

12:00 – 5:30 PM

Registration Open

1:00 – 2:30 PM

BREAKOUT SESSIONS

P1 Privacy Boot Camp: A Pragmatic Approach to Surviving the Regulatory Wilderness



*Kathleen A. Sutherland,
Audit Manager-Compliance,
Department of Internal Audit,
University of Colorado*



*Deborah A. O'Connor, Director
Campus Compliance/Privacy
Officer, University of CO Colorado
Springs*



*Holly B. Benton, University Privacy
Officer, Office of Audit, Risk &
Compliance, Duke University*

- Get out of the weeds! Explore how application of fundamental privacy principles and promotion of “privacy by design” across the spectrum of institutional operations can mitigate compliance risk, result in more resilient data governance processes, and inform audit and compliance work plans.
- Get up to speed! Identify opportunities across the regulatory landscape to (re) assess your institution’s highest risk exposures and leverage organizational privacy partnerships, in light of expanding operations, changing technologies, and enforcement trends.
- Get real! Participate in lively interaction with your peers, and take away practical tips and tools to conduct “spot checks” of your privacy program. (This is not an IT/security-focused session – but be sure to bring your phone or laptop!)

P2 Participating, Developing, Leading, and Nurturing Lean-In Circles for Fellow Compliance Officers and Members of Your Organization



*Judith W. Spain, Professor, Business
Law, Eastern Kentucky University*

- Develop a more robust relationships with your co-workers and fellow compliance officers
- Seek a personal growth goal—be an active participant in a nurturing and supportive group of higher education compliance officers discussing the Lean-In Circle themes at this session
- Develop a train the trainer goal—use techniques and study guides discussed in this session to contemporaneously or subsequently develop, lead, and nurture a Lean-In Circle for your organization

2:30 – 2:45 PM

Networking Break

2:45 – 4:15 PM

BREAKOUT SESSIONS

P3 Monitoring Mentor: The Workshop



*Jessica Wasserman, Assistant
Compliance Officer, New York
University*

- Explore best practices for monitoring of compliance risks, activities, and projects
- Identify key compliance monitoring activities and controls for top higher education compliance risks and requirements
- Develop a compliance monitoring methodology and work plan

P4 Title IX: The Changing Landscape

*James C. Dockery, Director,
Accessibility Operations, USAA*

- Beyond sexual assaults
- Consent
- Trauma informed investigations

MONDAY, JUNE 4

CONFERENCE

7:00 AM – 6:00 PM

Registration Open

7:00 – 8:00 AM

Breakfast

8:00 – 8:15 AM

Opening Remarks

8:15 – 9:15 AM

GENERAL SESSION 1:

Higher Education Year in Review



*Marisa Zuskar, Higher Ed Consulting
Director, Huron Consulting Group*



*Matthew Staman, Managing
Director, Huron Consulting Group*

- Provide a Year-In-Review perspective of Higher Education Compliance, as well as what the current environment and the past year suggest for the changes to come in 2019 and beyond
- Recap major changes in the regulations impacting higher education and significant ‘current events’ impacting higher education, with a focus on the response of the impacted institution, the industry and the community at large
- Cover the broad spectrum of higher education compliance areas including student administration, research and federal contracting, the Bill of Rights on campus, Title IX, NCAA, etc. as well as compliance program models for higher education

9:15 – 9:45 AM

Networking Break with Exhibitors

9:45 – 10:45 AM

BREAKOUT SESSIONS

101 Overcoming the Challenges and Silos with Title IX, Clery Act, FERPA, OSHA, State Laws, and More!



*Rick Shaw, President,
Awareity*

- Understand how conventional approaches (case/conduct management systems, spreadsheets, emails, meetings, paper, etc.) lead to disconnected silos with lots of gaps for compliance failures and expensive liabilities
- Learn how to tap into and collect important information from the community, including organizations [employees, HR, legal, etc.], local community, friends & family, and social media communities where most of your vital information resides
- Understand and harness community-wide strategies to meet compliance obligations and prevent more incidents and tragedies from happening in order to avoid compliance, reputational, and bottom-line nightmares

Agenda

102 Don't Let Your Conflict of Interest Make You a Person of Interest: Perspectives from a University and Academic Medical Center



*Julia A. Hamilton, Director,
Vanderbilt University Medical Center*



*Christy Hooper, Assistant Vice
Chancellor, Vanderbilt University*

- Creating a Comprehensive COI Policy
- COI Red Flags
- Industry Funded Speaking; Attending industry sponsored lectures and meetings; Vendors on Campus

103 Viewing Policy Development Through an Equity Lens



*Boyd Kumher, Chief Compliance
Officer, University of Minnesota*



*Michele Gross, Director of Policy,
University of Minnesota*

- Do your policies have a disparate impact on diverse audiences (e.g., people of color, gender, ethnicity)? The University of Minnesota undertook an effort to explore the potential for applying an equity lens to administrative policy development
- Ten process and tool improvements we identified to support the addition of an equity lens
- Sharing our post-implementation successes and challenges, including "quick hits" that were tackled

10:45 – 11:00 AM Networking Break

11:00 – 12:00 PM BREAKOUT SESSIONS

201 Auditing at the Speed of Risk: Georgia Tech's Data-Driven Fraud Risk Assessment



*Joe Oringel, Managing Director,
Visual Risk IQ*

*Melissa Hall, Associate Director
Forensic Audits, Georgia Institute of
Technology*

- Understand why your fraud risk assessment should be updated more than once a year, and how to make that happen in a data-driven way
- Understand visual reporting basics, and how Georgia Tech is using these principles in its data-driven risk assessment
- How to link fraud and other risk assessments to institutional data sources

202 Promoting the Pull: Wouldn't You Rather They Ask?



*Stephanie N. Suerth,
Program Director, University of
Maryland Baltimore*



*Susan C. Buskirk, Deputy
Chief Accountability Officer,
Asst. Vice President, Office of
Accountability and Compliance,
University of Maryland, Baltimore*

- You've been to every conference, read all the literature; you know the importance of embedding a culture of compliance, getting people to report misconduct, and having an anonymous Hotline. Now what?
- In this session, we go beyond the Hotline to mechanisms that allow your community to seek guidance and support before ethical violations occur. Two-way communication builds trust, promotes personal accountability, and empowers your community
- Two-way communication promotes collaboration, bringing you and your campus community together as partners in accountability. Open communication and trust help create a culture that goes beyond compliance to commitment

ADVANCED DISCUSSION

These interactive sessions are geared toward more experienced compliance and ethics professionals. Limited to 50 attendees and open on a first-come, first-served basis. No pre-registration is available.

AD203 Saying No to Power: A Must-Have Skill for a Compliance Officer



*Joshua B. Toas,
Chief Compliance Officer,
Research Foundation for SUNY*

- Dynamic, visionary, and innovative leaders often take short cuts that can lead to ethical lapse saying no and helping find a different path are skills that are vital to your success
- An interactive discussion to help you identify when to engage with your organizational leaders and how to work through difficult conversations
- Review of real life situations and scandals that could have been managed differently

12:00 – 1:00 PM Lunch

1:00- 2:00 PM

BREAKOUT SESSIONS

301 All In for Camps: Centralizing Youth Program Review on an Decentralized Campus



*Marcy R. Huey, Executive Director
of Institutional Compliance,
The University of Alabama*

- Providing programs and activities for youth participants is an exciting outreach opportunity for colleges and universities, but the related concerns are diverse and significant
- A key focus of Compliance at The University of Alabama is to simplify and streamline the processes related to risk assessment and control, including the risks associated with youth programs
- Explore the steps we have taken to bring together decentralized campus departments to create a cohesive, centralized approach to youth program support

302 New Perspectives in Compliance Awareness and Training



*Jennifer Weddle,
Compliance Consultant,
Indiana University*



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

- Traditional views on compliance training requirements and sources of authority
- Awareness vs. Training- a risk based approach: addressing the challenges of attendance, engagement, and relevance
- The benefits of a tailored and matrixed approach

303 Doing More with Less: Coordinating a Decentralized Compliance Function with Limited Central Resources



*Jessica Wasserman,
Assistant Compliance Officer,
New York University*



*John Powers,
Manager, PwC*

- Understand how to better identify and leverage sponsors and supporters throughout your institution
- Learn ways to streamline your compliance processes and activities across business and academic units
- Identify alternative traditional and non-traditional resources to improve your compliance program

Agenda

2:00–2:30 PM

Networking Break with Exhibitors

2:30–3:30 PM

BREAKOUT SESSIONS

401 Crisis Management for Compliance Officers: Who's In Your Foxhole?



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



*Chris Glaros, Assistant Vice
President for Compliance
Operations & Investigations,
The Ohio State University*

- Any crisis reveals the strengths—and weaknesses—of an institution's decisional culture. This session will identify and apply decisional tools to be tested and used in periods of calm, and deployed in a crisis
- No crisis should be wasted. Using specific examples, this session will deliver lessons learned on managing a crisis as well as leveraging the opportunities a crisis presents
- All institutions experience crises, and the role of Compliance extends beyond any given event. Participants will be provided tools to develop team operating principles, to improve both individual officers' effectiveness and organizational resiliency

402 You'll Thank Me for This One Day (Just Maybe Not Today): Measuring Compliance & Ethics Program Effectiveness and Improvement Efforts in a Decentralized Campus Environment

*Brad C. Trahan, Compliance,
NC State University*

*Rob Hoon,
NC State University*

- Overview of NC State's approach to measuring campus-wide compliance effectiveness and developing improvement strategies with campus units
- Open Discussion: Appropriate reporting and documenting results—Employee Evaluations, Governing Boards, Open Records Acts, Accreditation, External Agency Reviews, Audits, etc
- Provide examples and templates for other universities, including key lessons learned

403 Encryption Fails and Other Tales of International Travel, Borders, and Mobile Devices



*Brian M. Warshawsky,
Systemwide Manager of Export
Control Compliance and Empowered
Official, University of CA Office of
the President*

- Why current best-in class information security solutions such as encryption fail at international borders and may itself constitute a violation
- Why suffering a breach makes the organization the offender—not the victim
- Mitigation challenges, tactics, strategies and actual solutions designed around the 7 Elements of an Effective Compliance Program

3:30–3:45 PM

Networking Break

3:45–4:45 PM

GENERAL SESSION 2: Higher Education and Evolving Technologies: Strategies for Cybersecurity



*Kyle Loven, CCEP, National Director,
Computer Forensic Services*

- Where evolving technologies provide convenience, they also present serious risks to our security and privacy. In higher education institutions, protecting user data needs to be balanced with managing user expectations and providing the most effective services
- If an institution is faced with a cybercrime event, the outcome represents a great expense either way. However, the prioritization of cybersecurity poses a financial cost, while the effects of its lack also harm an institution's reputation
- Higher education institutions face an ever-increasing number and type of devices connected to their networks. With this multitude, many devices become "low-priority" in the cybersecurity strategies, and vulnerabilities go unnoticed until an attack occurs. Proper prioritization and understanding the risks posed by the IoT is imperative in higher education setting. User education and access management is critical in mitigating these problems

4:45–6:00 PM

School Spirit Networking Reception

TUESDAY, JUNE 5

CONFERENCE

7:00 AM–4:30 PM

Registration Open

7:00–8:00 AM

Breakfast

8:00–8:15 AM

Opening Remarks

8:15–9:15 AM

GENERAL SESSION 3: Ready or Not, GDPR Is Here!



*Kenneth J. Liddle, Chief Compliance
Officer, Rice University*



*Robert Bond, Partner & Notary
Public, Bristows LLP*

- The application of the new EU data privacy to higher education including admissions, HR, research, and IT
- Working with third party applications and software providers to ensure coverage
- Other implementation issues and emerging best practices

9:15–9:45 AM

Networking Break with Exhibitors

Agenda

9:45 – 10:45 AM

BREAKOUT SESSIONS

501 Positive Campus Climate: A Missing Ingredient in Your Compliance Program?



Sheryl A. Ireland, Director, Ethics and Compliance Program Office, University of CA Merced



Luanna K. Putney, Associate Chancellor and Senior Advisor to the Chancellor, University of CA Merced

- Identify strategies used in a rapidly growing campus to build an ethical and conflict-competent environment that drives compliant behavior, reporting of noncompliance and overall wellbeing
- Learn how strong leadership commitment to structure, communication and resources can aid students, staff and faculty to navigate through change and conflict, and can help identify and mitigate compliance issues
- Understand how perception workshops and discussion groups may be used to effectively drive awareness, identify compliance and ethical issues and control environment risks, and solicit potential improvement opportunities from all levels of the workforce

502 Modern Slavery: A Practical Perspective for Higher Education Institutions



Sarah Carpenter, Senior Business & Human Rights Analyst, Assent Compliance



Kirill Boychenko, CCEP-I, Campaign Coordinator, International Labor Rights Forum

- Emerging Risks: Why identifying and addressing issues of slavery and human trafficking in your supply chain is crucial to the success of your institution's compliance program. Special focus on legal requirements and reputational liabilities
- Risking It All: How a risk based approach to due diligence can help your institution meet compliance expectations and future proof its supply chain.
- Best Practice & Practical Tools: Learn from the successes and failures of other institutions of higher education to inform your own compliance program. Includes open source tools to help you collect vital data on risk and support your reporting effort

ADVANCED DISCUSSION

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AD503 New Approaches Towards Assessing Compliance Effectiveness of Internal Programs



Marcia N. Gonzales, Chief Compliance Officer, Indiana University

- The evolving seven elements—a review of new and updates sources of guidance from federal agencies, professional societies and private organizations
- Assessment approaches—based on the available guidances, determining which approach best addresses the needs of your organization
- An example of the approach taken by Indiana University which is a decentralized and matrix organization

10:45 – 11:00 AM

Networking Break

11:00 – 12:00 PM

BREAKOUT SESSIONS

601 Effective Communication



Kyle Zamcheck, COO, Jackrabbitt

- Build leadership tools that move motivation to action
- Develop a core communication toolkit to support you in every environment
- Learn how to communicate in challenging situations with difficult people

602 Can I Be the Good Cop this Time? Building Trust without Sacrificing Compliance



John B. Hughes, Director Ethics/Ethics Liaison Officer, Rutgers, The State University of New Jersey



Casey Woods, Ethics Training Officer, Rutgers, The State University of New Jersey

- This program will explore the natural conflicts that occur at a major research university and creative ways to deal with those conflicts
- Examples from around the country will be used to demonstrate the eternal struggle that all Compliance Officers face
- Some best practices will be presented in a audience interactive manner

603 Championing a System-wide Approach to Compliance and Ethics Programs: Challenges and Successes



Joseph K. Maleszewski, Inspector General, Board of Governors, State University System of Florida



Lori Clark, Compliance & Audit Specialist, State University System of Florida

- This case study will review the successes and challenges in championing the development of effective compliance and ethics programs across the State University System of Florida. Absent this effort, such programs varied in formality and centralization
- How to educate governing boards, collaborate with university compliance counterparts, set common expectations, and monitor implementation for accountability at the university and system level
- Case examples will illustrate that compliance and ethics programs are not one-size-fits-all and will highlight some of the unique challenges for both larger and smaller institutions

12:00 – 1:00 PM

Lunch

Agenda

1:00 – 2:00 PM

BREAKOUT SESSIONS

701 A Collusion Case Study on Embezzlement, Travel Fraud, and Misappropriation at the University: How Collusion Evaded Detection and Rendered the Control Environment Ineffective for Six Years



*Amy Block Joy,
Faculty/Specialist Emeritus,
University of California, Davis*

- Collusion Case Study: How collusion between a university employee and a high level supervisor rendered the control environment ineffective for six years leading to a university loss of \$2.3 million and a media scandal
- Analysis: A number of behavioral indicators from this case have been identified which could be used to detect collusive activities before reputations are tarnished
- Discussion: How the university's prompt action lead to improvements in both the financial control environment and the ethical culture of the university

702 Building a Culture of Compliance: Two Years into the Journey



*Cathy Smock, Chief Compliance
Officer, Prairie View A&M University*



*Whitney Glenz,
Compliance Officer II,
Prairie View A&M University*

- Discuss why "building a culture of compliance" was the approach taken to change and improve the university's overall compliance environment
- Learn about factors throughout the university that assisted in successes towards changing the compliance culture and those that distracted from the university making progress
- Discuss what the Office of University Compliance learned during these first two years to help it continue on its journey of "building a culture of compliance"

703 Rethinking Organizational Relationships to Strategically Align Compliance, Audit, Risk, Ethics, and ERM Functions



*Cassandra Walsh,
Director, Baker Tilly*



*Vicki Duggan, Chief Compliance,
Risk and Ethics Officer,
Montgomery College*

- Discuss how institutions identify & leverage opportunities to combine valuable resources & organizational relationships within their institutions. What are the important distinctions between these relationships & their responsibilities to the institution
- Provide Ideas for utilizing limited resources to better position your institution for improvement opportunities and efficiencies, while maintaining the necessary lines of separation
- Learn about effective and interesting ways to communicate compliance to educate and build awareness across your institution. Creative and easy ways to inform the university community i.e. Faculty, Staff and Administrators, Students, others

2:00 – 2:15 PM

Networking Break

2:15 – 3:15 PM

BREAKOUT SESSIONS

801 Service Animals and Emotional Support Animals (ESAs): Increasing Complexities in Developing an Effective Policy and Process to Withstand Legal and Public Relations Scrutiny



*Judith W. Spain,
Professor, Business Law,
Eastern Kentucky University*



*April Barnes, Executive Director,
Housing and Residence Life,
Eastern Kentucky University*

- Be prepared; be proactive. Know what constitutes disability discrimination under ADA, ADAAA, and the Fair Housing Act to develop an effective institutional policy and definitions using statutory language, case law, and evidenced-based best practices
- Using policies submitted by attendees as examples, attendees will learn how to design processes to be in compliance with the law, to be fair for the student/employee and the institution, and to be manageable to implement
- Attendee may submit their institutional service/ESA policy before the seminar to be individually reviewed by the presenters and discussed with attendee during pre-arranged times during the conference

802 Minding the Gaps: Undertaking a Large Scale Compliance Gap Analysis in Higher Education



*John D. Lawley, Deputy
Chief Compliance Officer,
Emory University*



*Scotty Jenkins, Compliance
Manager, Emory University*

- Practical tips on how to approach an institution-wide gap analysis to assess your university's compliance with federal regulations
- Getting beyond the who to understanding the how: why knowing more than just the operational owner of a compliance requirement is critical
- The array of benefits conducting a thorough gap analysis can have for your organization

Agenda

803 Immigration: Paying Fines Is the Easy Part: Are Institutions Prepared for the Increase in Immigration Enforcement?



Tracy Schauf, Senior Attorney,
Fakhoury Law Group

Brooke Stokdyk, Assistant Director,
Michigan State University

- Learn how current and proposed changes to immigration rules can effect the institution, its student body and its bottom line
- Understand the liability incurred by universities when immigration compliance processes are not established and maintained
- Discuss best practices and hot topics in order to develop successful immigration compliance programs

3:15 – 3:30 PM

Networking Break

3:30 – 4:30 PM

GENERAL SESSION 4: Compliance and Greek Life: Tools for Oversight and Collaboration



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



Regis Becker, Chief Ethics &
Compliance Officer,
Penn State University

- Define causes and potential mitigation underlying the existing crisis in university Greek programs
- Define applicable compliance tools useful in addressing risks in Greek organizations
- Describe different approaches used in universities that either provide direct compliance oversight, or that seek to assist other university departments

WEDNESDAY, JUNE 6 POST-CONFERENCE

8:00 – 11:45 AM

Registration Open

8:30 – 10:00 AM

BREAKOUT SESSIONS

W1 Panel Discussion: Tools, Strategies, and Lessons Learned to Address Unique HIPAA Issues for Universities and AMCS



Marti Arvin, Vice President,
Audit Strategy, CynergisTek, Inc.



Kristin H. West, Chief Compliance
Officer, Emory University,
Office of Compliance



Tanisha Raiford,
Compliance & Privacy Officer,
Weill Cornell Medicine



Karen Pagliaro-Meyer,
Privacy Officer, Columbia University
Medical Center

- Discussion of how to evaluate the different HIPAA legal structures, how to assess and re-assess
- Ongoing assessment of privacy program needs: doing more with less, buy-in, annual workplan development, etc.
- Sharing of tools to help perform assessments

W2 Conducting Coordinated Compliance Investigations



Vincent A. Lacovara, Chief Ethics
and Compliance Officer,
Catholic University



Corey Parker,
Manager, Baker Tilly

- Learn how institutions conduct coordinated compliance investigations by leveraging resources that may already be available to a compliance function
- Discuss the roles of key stakeholders in the investigation process. Who are they & how can each add value in this critical process. How to leverage Compliance, General Counsel, Internal Audit, and other key departments and partners throughout the process
- Review investigatory guidelines, leading practices for conducting successful investigations, and what is meant by a standard of proof. Discuss how to issue findings and recommendations to support the investigations conclusion

10:00 – 10:15 AM

Networking Break

10:15 – 11:45 AM

BREAKOUT SESSIONS

W3 Compliance Officer's Roundtable



Joel Mayer, Managing Director and
Head of Government Investigations,
Navient

- In-depth, detailed discussion of real-time and emerging challenges faced by compliance and ethics officers on campuses of varied sizes and within compliance programs at every stage of maturity
- Strategies for strengthening compliance programs surrounding campus-affiliated entities—including fraternities, sororities, and athletic associations—and events on and off campus property
- Balance and program success in a shifting landscape: Maintaining focus and integrity in the face of unprecedented regulatory, political, and media scrutiny

W4 Say What? Your Policy on Free Speech



Kenneth J. Liddle, Chief Compliance
Officer, Rice University



Dan Sharporn, Vice Chancellor and
General Counsel, The University of
Texas System

- A discussion of free speech, both from a legal and philosophical viewpoint
- How to draft and implement a policy on speech, protests and demonstrations that will satisfy (almost) everyone

12:30 PM

CCEP Exam Check-in

12:45 – 3:15 PM

Certified Compliance & Ethics Professional (CCEP)[®] exam (optional)

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 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 21.6 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 18.0 clock hours of CLE credit will be available to attendees of this conference from 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.

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 21.5 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 952.988.0141.

EARN YOUR CERTIFICATION

Certified Compliance & Ethics Professional (CCEP)®

Learn more about the CCEP certification at compliancecertification.org/ccep

Take the CCEP Certification Exam on-site after the conference

Wednesday, June 6 | 12:30 PM

\$250 SCCE MEMBERS OR \$350 NON-MEMBERS

You must be pre-registered to sit for the exam. To apply, download the CCEP exam application from corporatecompliance.org/highered. Questions? Email ccb@compliancecertification.org. Twenty CCB CEUs are required to sit for the exam. For Higher Education Compliance Conference sessions, one clock hour equals 1.2 CCB/CCEP hours. Attending the entire Higher Education Compliance Conference will provide sufficient CEUs to qualify to sit for the exam.



Become Certified

A few letters after your name can make a big difference.

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Stay informed on changes affecting the compliance world, and learn from industry experts about emerging best practices for effective compliance and ethics programs.

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MEMBERSHIP BENEFITS

- *Compliance & Ethics Professional* magazine, 12 issues exclusively for SCCE members plus full access to the magazine archives
- Be a part of a community of 6,500+ Compliance and Ethics Professionals in more than 95 countries
- Member-only discounts on conferences, manuals, and books
- Network locally and globally with 30+ conferences a year at special member rates
- Save on weekly Web conferences for live learning at your desk
- Receive a discount on Compliance Certification Board (CCB)[®] exam pricing for CCEP and CCEP-I



Additional resources

- Weekly newsletters and blog posts from industry experts
- SCCEnet[®] provides access to an online Resource Library and networking



LEARN MORE AND JOIN TODAY
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Full name _____
please type or print

Sharing your demographic information with SCCE will help us create better networking opportunities for you. Thank you for taking a moment to fill out the following information.

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 credentials 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"/> Hospitality/Tourism |
| <input type="checkbox"/> Administrative and Support Services | <input type="checkbox"/> Human Resources/Recruiting |
| <input type="checkbox"/> Advertising/Marketing/Public Relations | <input type="checkbox"/> Information Technology |
| <input type="checkbox"/> Aerospace/Aviation/Defense | <input type="checkbox"/> Installation/Maintenance/Repair |
| <input type="checkbox"/> Agriculture | <input type="checkbox"/> Insurance |
| <input type="checkbox"/> Airlines | <input type="checkbox"/> Internet/E-Commerce |
| <input type="checkbox"/> Architectural Services | <input type="checkbox"/> Law Enforcement/Security Services |
| <input type="checkbox"/> Arts/Entertainment/Media | <input type="checkbox"/> Legal |
| <input type="checkbox"/> Automotive/Motor Vehicles/Parts | <input type="checkbox"/> Manufacturing and Production |
| <input type="checkbox"/> Banking | <input type="checkbox"/> Military |
| <input type="checkbox"/> Biotechnical and Pharmaceutical | <input type="checkbox"/> Mining |
| <input type="checkbox"/> Chemical/Polymers/Fibers | <input type="checkbox"/> Operations Management |
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| <input type="checkbox"/> Finance/Economics | <input type="checkbox"/> Tobacco |
| <input type="checkbox"/> Financial Services | <input type="checkbox"/> Transportation/Warehousing |
| <input type="checkbox"/> Forest Products | <input type="checkbox"/> Veterinary Services |
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| <input type="checkbox"/> Healthcare | <input type="checkbox"/> Waste Management Services |
| <input type="checkbox"/> Higher Education | <input type="checkbox"/> Other (please indicate below) |

List others not listed here: _____

Are you a first-time attendee of the Higher Education Compliance Conference?

☐ YES ☐ NO

REGISTRATION CONTINUES ON NEXT PAGE (OVER)

Contact Information

☐ Mr ☐ Mrs ☐ Ms ☐ Dr

Member ID (if applicable)

First Name MI

Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Name of Employer

Street Address

City/Town

State/Province

Zip/Postal Code

Country

Phone

Fax

Email (required for registration confirmation and conference info)

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☐ Check enclosed (payable to SCCE)

☐ Invoice me

☐ I authorize SCCE to charge my credit card (choose card 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 (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

HE0618

Registration Options

☐ SCCE Members: MONDAY & TUESDAY \$799

☐ Non-Members: MONDAY & TUESDAY \$949

☐ New Membership & Registration: MON/TUE \$999
NEW MEMBERS ONLY. DUES REGULARLY \$295 ANNUALLY.

☐ Pre-Conference: SUNDAY \$125

☐ Post-Conference: WEDNESDAY \$125

☐ Discount for 5 or more from same org..... (\$50)

☐ Discount for 10 or more from same org..... (\$100)

All registration fees are as listed and considered net of any local withholding taxes applicable in your country of residence.

TOTAL \$ _____

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

Special Request: Dietary Needs

☐ Gluten Free

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OR MEAT/DAIRY MIXED)

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QUESTIONS? Call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org

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Terms and Conditions

Registration payment terms.

Checks are payable to SCCE. Credit cards accepted include American Express, Discover, MasterCard, or Visa. SCCE will charge your credit card the correct amount should your total be miscalculated. If you wish to pay using wire transfer funds, please email helpteam@corporatecompliance.org for instructions.

Tax deductibility. 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. 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 toward any SCCE service or product. If a credit is applied toward 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, sent to helpteam@corporatecompliance.org, prior to the start date of the event. Please note that if you are sending a substitute, an additional fee may apply.

Group discounts.

5 or more. \$50 discount for each registrant

10 or more. \$100 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.

Agreements & acknowledgments.

I agree and acknowledge that I am undertaking participation in Society of Corporate Compliance & Ethics 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 acknowledgment freely and knowingly, and I 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 this 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 this SCCE conference, I grant SCCE the right to use my name, photograph, video, and biography for such purposes. As a participant of this event, I understand that my name, job title, organization, city, state, and country will be listed on the attendee list that will be distributed to attendees and speakers of this event.

By submitting this registration form, I agree to the Terms & Conditions—including the Use of Information—as well as SCCE's Privacy Statement, located at corporatecompliance.org/privacy.aspx.

Prerequisites/advanced preparation. None.

Special needs/concerns.

Prior to your arrival, please call SCCE at +1 952.933.4977 or 888.277.4977 if you have a special need and require accommodation to participate in the Higher Education Compliance Conference. See the registration form to indicate any special requests for dietary accommodations you may require.

Dress code. Business casual dress is appropriate for conference attendees.

Recording. No unauthorized audio or video recording of SCCE conferences is allowed.

Continuing education units. See page 10 for more information.

Hotel & conference location.

Hilton Austin
500 East 4th Street
Austin, TX 78701

PHONE RESERVATIONS: Call the hotel directly at 512.482.8000 and ask for the SCCE Higher Education Compliance Conference rate.

ONLINE RESERVATIONS:
<https://aws.passkey.com/go/HCCASCCCE>

A reduced rate of \$239 per night for single/double occupancy plus applicable state and local taxes has been arranged for this conference. This rate is good through May 11, 2018, or until the group room block is full, whichever comes first. All reservations must be secured with a valid credit card, along with a first night's deposit, refundable up to three days in advance of your arrival date.

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.

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Higher Education Compliance Conference

June 3–6, 2018 | Austin, TX

Higher Education Compliance Conference

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