



SOCIETY OF CORPORATE
COMPLIANCE AND ETHICS

COMPLIANCE & ETHICS ACADEMY

17–20 May 2010

LONDON, ENGLAND



BECOME A CERTIFIED
Compliance & Ethics Professional
following this four-day
intensive training session

CCEP
Certified Compliance & Ethics Professional

**SPACE IS
LIMITED—
REGISTER
EARLY**

www.corporatecompliance.org

+1 952 933 4977 or 888 277 4977



COMPLIANCE & ETHICS ACADEMIES



Who Should Attend

- Academic/Professor
- Analyst
- Attorney
- Corporate Counsel
- Audit Manager/Officer
- Compliance Officer
- Compliance Fraud Examiner
- Consultant
- Corporate Responsibility and Performance
- Ethics & Integrity Officer
- Human Resources
- Privacy Officer
- Quality Assurance
- Regulatory Affairs
- Risk Management
- Sarbanes-Oxley Program Management
- Security/Services Technology

Why You Should Attend

Compliance and ethics represent one of the fastest growing professions. Almost every company has implemented a compliance and ethics program or is in the process of doing so. One expert recently estimated that there are approximately 250,000 professionals in the field. Given the fast pace of change, this new profession is facing major challenges in providing the resources companies need to develop and manage effective compliance and ethics programs.

About the Academy

The SCCE Academy is a four-day intensive training program with an optional CCEP exam on the fifth day. The session will give you comprehensive knowledge of the following:

- Standards, Policies, and Procedures
- Compliance and Ethics Program Administration
- Communications, Education, and Training
- Monitoring, Auditing, and Internal Reporting Systems
- Response and Investigation, Discipline and Incentives
- Risk Assessment

The Academy will address methods for implementing and managing compliance programs based on the Seven Element Approach. Courses will address subject matter in each of these areas and better prepare interested parties for the CCEP exam. The Academy is designed for participants with a general knowledge of compliance concepts and anyone working in a compliance function.

Course materials are provided and include SCCE's *The Complete Compliance and Ethics Manual* (normally \$349) and SCCE's training video for board members, *Guidance for Engaging Your Board* (normally \$395).*

An integral feature of the SCCE Academy is the ability to meet industry peers. During the course of the Academy, SCCE will provide a networking event that will give participants the opportunity to meet with each other in an informal environment.

Becoming Certified

The Certified Compliance and Ethics Professional (CCEP) program promotes a standard of requisite knowledge for compliance and ethics, encourages continued personal and professional growth, and enhances the credibility of both certified professionals and the compliance programs that they staff. SCCE credits earned at the Academy will count toward the credits required to sit for the certification exam.

Professionals who earn the CCEP designation demonstrate sufficient knowledge of government regulations and compliance processes to understand and address legal obligations and promote organizational integrity through the operation of effective compliance programs.

REGISTER ONLINE AT
www.corporatecompliance.org

QUESTIONS? CALL
+1 952 933 4977 or 888 277 4977

The Society of Corporate Compliance & Ethics (SCCE) is the only international, nonprofit organization solely dedicated to improving the quality of corporate governance, compliance, and ethics. It 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.

Become a Certified Compliance & Ethics Professional

Broaden your professional qualifications

Increase your value to your employer

Gain expertise in the fast-evolving compliance field

There's never been a tougher or better time to be a part of the compliance and ethics profession. Budgets are tight, Washington is looking to add new regulations, public trust in business is low, and employees are tempted to cut corners.

As a Certified Compliance and Ethics Professional (CCEP) you'll be able to demonstrate your ability to meet the challenges of these times and have the knowledge you need to help move your program and your career forward.

To learn more about what it takes to earn the CCEP designation, visit www.corporatecompliance.org/ccep. There you'll also see the many benefits of joining more than 600 compliance professionals who have already taken this critical career step.

CCEP
Certified Compliance & Ethics Professional



MONDAY 17 MAY

7:30–8:30

Registration and Continental Breakfast

8:30–10:00

Compliance Fundamentals: The Basics



*Debbie Troklus, CCEP-F, CHC-F, CHRC
Assistant VP for Health Affairs/Compliance
University of Louisville*

Compliance Fundamentals will focus on the basics of a compliance program. We will discuss implementation through to a thriving compliance program. Attendees will understand the framework of an effective compliance program and issues currently facing organizations today and how to manage these issues. This course will give the fundamentals that other courses during the week will build on.

10:00–10:15

Networking Break

10:15–NOON

Organizational Ethics

*Sally March
Director of Compliance
Nortel Networks Corporation, EMEA*

NOON–13:00

Lunch (provided)

13:00–14:45

Creation and Maintenance of Compliance Policies and Procedures



*Marjorie Doyle, CCEP
Ethics and Compliance Advisor
Marjorie Doyle & Associates LLC*

This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance program. It covers the legal, cultural, and efficiency reasons for having policies and procedures. The main purpose of the course is to clearly define what policies, procedures and guidelines are, what their specific elements are, and how to create effective policies and procedures. It covers an updated view of best practices on codes of conducts. Finally, it covers the ways to review and update policies and procedures.

14:45–15:00

Networking Break

15:00–16:45

Training and Communication



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

The participant will:

- Identify key points as to the necessity of Compliance and Ethics training,
- Define the applicability and content to the different levels of employees, and
- Discuss related potential program effectiveness measures

TUESDAY 18 MAY

7:30–8:30

Continental Breakfast (provided)

8:30–10:15

Compliance Program Effectiveness (invited)

*Keith Read, C. Eng., MIET
Group Compliance Director
British Telecom (BT)*

10:15–10:30

Networking Break

10:30–NOON

Risk Assessments with an Enterprise Risk Approach



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

If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.

NOON–13:00

Lunch (provided)

13:00–14:45

Auditing and Monitoring

*David Morris
Former International Ethics &
Compliance Director
Textron Inc.*

14:45–15:00

Networking Break

15:00–16:45

Anti-Competition



*Marjorie Doyle, CCEP
Ethics and Compliance Advisor
Marjorie Doyle & Associates LLC*

WEDNESDAY 19 MAY

7:30–8:30

**Continental Breakfast
(provided)**

8:30–10:15

**Conducting Investigations
(invited)**

*Stuart Sturm, CPA, CFE
Senior Investigations Manager, Financial
Integrity Unit
Microsoft, EMEA*

10:15–10:30

Networking Break

10:30–NOON

Conflicts of Interest



*Joe Murphy, CCEP
Of Counsel, CSLG
Co-Founder & Senior Advisor,
Integrity Interactive
Co-Editor, ethikos*

NOON–13:00

Lunch (provided)

13:00–15:00

Anti-Corruption & Bribery



*Odell Guyton, CCEP
Co-Chair, SCCE
Director of Compliance
Microsoft Corporation*

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 risk.

15:00–15:15

Networking Break

15:15–16:30

A Compliance Journey (invited)

*Keith Read, C. Eng., MIET
Group Compliance Director
British Telecom (BT)*

THURSDAY 20 MAY

7:30–8:30

**Continental Breakfast
(provided)**

8:30–10:30

Data Protection and Privacy

*Veronique Grouard
Privacy and Compliance Attorney
Microsoft EMEA*

10:30–10:45

Networking Break

10:45–12:15

**International Compliance
Issues**



*Gabe Shawn Vargès
Head of Governance
Swiss Financial Markets
Supervisory Authority*

- International governance and compliance developments affecting all industries
- Managing compliance across borders and cultures
- Global risk aggregation, risk correlation, and stress testing in compliance: options and tools

FRIDAY 21 MAY

7:30–8:30

**Continental Breakfast
(provided)**

9:00–11:00

CCEP Examination

The exam is optional. You must pre-register for the CCEP exam separately from the Academy.

CCEP

Certified Compliance & Ethics Professional

NOTE: Agenda is subject to change. All rates listed in British pounds unless otherwise noted. All sessions will be conducted in English. Exam offered only in English at this time.

Continuing Education Credits

SCCE is in the process of applying for additional CE 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.

Hotel Accommodations

Hotel information will be announced. Please visit www.corporatecompliance.org for updates.

Cancellations/Substitutions

No refunds will be given for “no-shows” or cancellations. You may receive a conference credit or send a substitute. 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. Questions? Please call 888 277 4977 or +1 952 933 4977. Breakfast and lunch are included in the tuition amount. Breakfast will also be served before the CCEP exam.

CCEP Exam Information

To register, click on the CCEP Examination Application link on the SCCE Academy Events page at www.corporatecompliance.org. Please note that you must register for the CCEP exam separately from the Academy. Submit the application and fee (\$250 SCCE members or \$350 non-members) to the testing agency in advance.

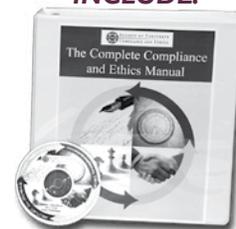


Questions?

Contact Liz Hergert, SCCE Certification Coordinator, at +1 952 405 7905 or liz.bergert@corporatecompliance.org

If you do not see your desired CEU listed, please call our office at +1 952 933 4977 or 888 277 4977.

SCCE'S COMPLIANCE & ETHICS ACADEMY COURSE MATERIALS INCLUDE:



The Complete Compliance and Ethics Manual (normally \$349)



SCCE's board training video, Guidance for Engaging Your Board (normally \$395)

SCCE'S COMPLIANCE & ETHICS PROFESSIONAL Social Network

<http://community.corporatecompliance.org>

Attendee Information please type or print

Mr. Mrs. Ms. Dr.

SCCE Member ID

First Name MI Last Name

Credentials

Title

Place of Employment

Street Address (NO PO BOXES)

City State/Province Postal/Zip Code

Country

Phone

Fax

E-mail (required for registration confirmation)

GROUP DISCOUNTS

First attendee pays full price.

2-4: All attendees save £100 on registration

5-9: All attendees save £200 on registration

10 or more: All attendees save £400 on registration

Registrations must be mailed or faxed in together.

Please submit a separate form for each attendee.

Online registration is not available with this offer.

**SPACE FOR THE ACADEMY IS LIMITED,
SO PLEASE REGISTER EARLY!**

CONTACT SCCE

Society of Corporate Compliance and Ethics
6500 Barrie Road, Suite 250, Minneapolis, MN 55435, USA
www.corporatecompliance.org
helpteam@corporatecompliance.org
+1 952 933 4977 or 888 277 4977 (p) | +1 952 988 0146 (f)

Choose your registration fee:

- SCCE Member**.....£2,000
- Non-Member**£2,500
- Registration plus SCCE membership**.....£2,120
Save by joining SCCE today (new members only)
- Registration and membership renewal**.....£2,175
Current members, register and renew your membership today
- Group Discount:** subtract £.....
from my registration fee (see details in box at left)

TOTAL _____

See the CCEP examination information on www.corporatecompliance.org/academies to register for the CCEP exam. Note that you must register separately for the CCEP exam. All rates listed in British pounds.

Post check to:

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

Fax to: +1 952 988 0146

- Check enclosed (*payable to SCCE: funds must be in U.S. dollars*)
- Wire transfer (*for information, please e-mail service@corporatecompliance.org*)
- Invoice me PO # _____

Charge my: Visa MasterCard American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder's Name

Cardholder's Signature

No refunds will be given for "no-shows" or cancellations. You may send a substitute or receive a conference credit. Please call +1 952 933 4977 or 888 277 4977 with questions. 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. 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. Breakfast and lunch are included in the tuition amount. Breakfast will also be served before the CCEP exam. Federal Tax ID: 23-2882664.

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Minneapolis, MN 55435, USA
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“This four-day course was the most robust theoretical support on the compliance & ethics discipline I could ever attend. And the caliber of the invited speakers was impressive, as well. The feedback to my colleagues was very short: a first-class course. I strongly recommend this course.” — *Zaur Ahmadov, Compliance & Ethics Advisor, Group Compliance & Ethics, BP (British Petroleum)*

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