

*Learn the essentials of managing  
compliance & ethics programmes*



# 2015 Basic Compliance & Ethics Academy

**Brussels, Belgium ■ 13–16 April**

*SCCE Academies. Training more than 2,500 compliance  
and ethics professionals around the world.*



**7,100+ compliance professionals**

*hold a Compliance Certification Board (CCB)<sup>®</sup> credential*

*Plan now to take a CCEP-I<sup>®</sup> certification exam after  
you complete this intensive training*



**[www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)**

*Questions: [lizza.catalano@corporatecompliance.org](mailto:lizza.catalano@corporatecompliance.org)*

# About SCCE's Basic Compliance & Ethics Academy®

## Why you should attend

More than 2,500 compliance professionals have turned to SCCE Basic Compliance & Ethics Academies to learn best and leading practices in compliance and ethics management.

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

Topics addressed include:

- Standards, Policies, and Procedures
- Compliance and Ethics Programme Administration
- Communications, Education, and Training
- Monitoring, Auditing, and Internal Reporting Systems
- Response and Investigation, Discipline and Incentives
- Anti-Corruption and Bribery
- Risk Assessment
- Compliance across borders

The Academies are also excellent preparation for the Certified Compliance and Ethics Professional-International (CCEP-I)® examination.

Course materials are provided and include SCCE's The Complete Compliance and Ethics Manual (normally \$419) and International Compliance 101 (normally \$60)

An integral feature of the SCCE Academy is the ability to meet industry peers. Because class size is limited you will have the opportunity to get to know the other Academy attendees well. In addition, during the course of the Academy, SCCE provides a networking event that gives participants the opportunity to meet with each other in an informal environment.

## Becoming certified

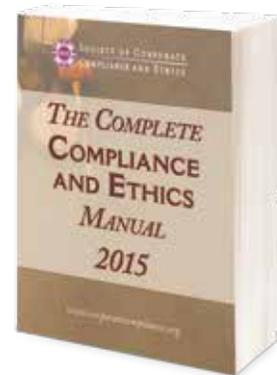
Currently over 6,500 Compliance Professionals around the world have earned a Compliance Certification Board designation. These individuals have all demonstrated sufficient knowledge of government regulations and compliance processes to understand and address legal obligations and promote organizational integrity through the operation of effective compliance and ethics programmes.



By taking and passing the Certified Compliance and Ethics Professional-International (CCEP-I)® certification exam, you will both join this distinguished group and help further the development of the compliance and ethics profession.

Earning the CCEP-I requires passing the CCEP-I examination, which, is offered after the conclusion of the Academy. Eligibility to sit for the examination requires the completion of 20 hours of continuing education in compliance within the 12 months prior to your exam date. There are a number of ways to obtain those credits, but the Basic Compliance & Ethics Academy can provide all the continuing education credits you need and also provides excellent preparation for the certification exam. Additional eligibility requirements and more detailed information about the exam can be found in the CCEP Candidate Handbook or at [compliancecertification.org](http://compliancecertification.org).

## SCCE's Basic Compliance & Ethics Academy course materials include:



*The Complete Compliance and Ethics Manual, (normally \$419)*



*International Compliance 101, (normally \$60)*

## Contact us

Please call SCCE at +1 952 933 4977 or 888 277 4977 or visit us online at [corporatecompliance.org](http://corporatecompliance.org) to learn more about the Academies and SCCE's other programmes.

### 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.*

# Become a Certified Compliance & Ethics Professional–International

As a Certified Compliance and Ethics Professional–International (CCEP-I)<sup>®</sup> 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 programme and your career forward. You'll join more than 6,500 people around the world who have already earned a Compliance Certification Board (CCB) designation. CCEP-I certification is not tied to the laws of one country, but reflects the knowledge needs of compliance professionals globally. It draws upon international frameworks for effective compliance programmes.

There's never been a better time to be a part of the ever more demanding compliance and ethics profession. 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.

To learn more about what it takes to earn the CCEP-I designation and demonstrate your expertise, visit [compliancecertification.org](http://compliancecertification.org).

Broaden your professional qualifications

Increase your value to your employer

Gain expertise in the fast-evolving compliance field

**CCEP-I**<sup>®</sup>  
**INTERNATIONAL**  
Certified Compliance & Ethics Professional



## MONDAY 13 APRIL

8:00 – 8:30

Registration and Continental Breakfast (provided)

8:30 – 8:45

Welcome and Introduction

8:45–10:00

Compliance Fundamentals:  
The Basics



Debbie Troklus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director, Aegis Compliance and Ethics Center

Compliance Fundamentals provides a basic introduction to compliance and the compliance programmes. It covers the essential elements of a compliance programme and reviews the organizational steps necessary to implement a successful compliance programme.

10:15–12:00

Organizational Ethics



Sally March, CCEP, CCEP-I, Director, Drummond March Ltd

This is a focus on what an ethical culture is and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirements of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.

12:00–13:00

Lunch (provided)

13:00–14:45

Creation and Maintenance  
of Compliance Policies and  
Procedures



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

This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance programme. 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.

15:00–16:45

Ethics & Compliance  
Risk Assessments



Sheryl Vacca, CCEP, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President and Chief Compliance & Audit Officer, University of California

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.

## TUESDAY 14 APRIL

8:30–10:15

Compliance Programme  
Effectiveness



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

This session looks at the evaluation of compliance programme effectiveness. What are the things that can be measured, what are the tools for doing this measurement, and what else do you need to know to avoid pitfalls and get valid results? We consider why it is not enough to simply do surveys, and how different tools work best for measuring effectiveness in addressing different compliance risks. We also consider who should do the evaluations and who should get the results.

10:30–12:00

Education & Training



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

This session will cover the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training, and the use of data to help prove "effectiveness."

12:00–13:00

Lunch (provided)

13:00–14:45

Auditing & Monitoring



Sheryl Vacca, CCEP, CCEP-I, CHC-F, CHRC, CHPC, Senior Vice President and Chief Compliance & Audit Officer, University of California

The goal for this session is to provide compliance professionals with a solid understanding of the role of auditing and monitoring in the compliance system. It begins with determining the role of auditing and monitoring in the organizational governance process – specifically what assurances the board and management need to meet their responsibilities. Next the session explores the relationship between monitoring activities and internal control. A practical process for developing effective monitoring plans and strategies is then presented along with attributes needed for these plans to provide assurance on the effectiveness of the compliance programme. Finally, the session ends with a discussion of internal reporting systems as a key part of an organization's monitoring activities.

15:00–16:45

Anti-Competition



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

This competition session provides an overview of global competition/antitrust concepts, current enforcement trends, and compliance and ethics program tools to address this risk. It provides a practical, organizational program approach to realistically mitigating this risk.

19:00

Networking Dinner

## WEDNESDAY 15 APRIL

8:30–10:15

### Conducting Investigations



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

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 investigation as well as considerations for determining whether the investigation 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.

10:30–12:00

### Conflicts of Interest



Sheryl Vacca, CCEP, CCEP-I, CHC-F,  
CHRC, CHPC, Senior Vice President  
and Chief Compliance & Audit Officer,  
University of California

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programmes. 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 programmes; detection and auditing for compliance; training; case studies and best practices.

12:00–13:00

### Lunch (provided)

13:00–15:00

### Anti-Corruption & Bribery



Odell Guyton, CCEP, CCEP-I,  
SCCE Co-Chair; Vice President,  
Global Compliance, Jabil

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.

15:15–16:30

### Using Incentives in the Compliance Programme



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

The incentives session will explain why it is so important to include incentives in the scope of a compliance programme. 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 programmes 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.

## THURSDAY 16 APRIL

8:30–10:00

### International Compliance Issues



Gabe Shawn Varges,  
Swiss Financial, Banking, Insurance, and  
Securities Regulator

This session sensitizes the compliance officer to the challenges that arise in a cross-border and global context. It encourages participants to think about what adjustments and what additional considerations are needed when a company does business in more than one jurisdiction, is subject to more than one national regulator, or has cross-border connections through clients, suppliers, agents, or outsourcing partners. It will touch upon international developments affecting compliance functions and probe into the additional competencies that are increasingly called for in pursuing an international compliance career

10:15–12:15

### Data Protection and Privacy



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

The privacy session is an overview of key privacy laws and regulations that could impact a global company. The privacy session provides a basic high level introduction to laws and regulations in the main segments of private and governmental industry. Whilst the main focus of the session is on the European regulations, the relevant laws and regulations for activities in the US, Asia and other areas of the world are also touched on in this session.

12:15

### Take Away Lunch (provided)

13:45 – 14:30

### CCEP-I® Exam Check-In

14:30 – 18:15

### CCEP-I Exam Time®

Certified Compliance & Ethics Professional – International Exam (CCEP-I)® The CCEP-I exam is optional. You must pre-register for the CCEP-I exam separately from the Academy. To register for the exam, download the PDF application for your Academy from [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)

\*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.

**CCEP-I®**  
**INTERNATIONAL**  
Certified Compliance & Ethics Professional

Academy and CCEP-I exam are conducted in English at this time.

Agenda is subject to change.

## CONTACT INFORMATION

Mr.  Mrs.  Ms.  Dr.

SCCE Member ID (if applicable)

First Name

MI

Last Name

Credentials (CCEP-I, etc.)

Job Title

Name of Employer

Street Address

City/Town

State/Province

Zip/Postal Code

Country

Phone

Fax

Email (required for registration confirmation & conference information)

### 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. 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.

### Ways to register

**MAIL:** Include registration form with check payable to: SCCE, 6500 Barrie Road, Suite 250  
Minneapolis, MN 55435, United States

**ONLINE:** [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)

**FAX:** +1 952 988 0146 (including billing information)

**QUESTIONS?** Call +1 952 933 4977 or 888 277 4977  
or e-mail [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)



## SCCE's Basic Compliance & Ethics Academy® BRUSSELS, BELGIUM ■ 13–16 APRIL 2015

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

Registration fees include VAT tax at a rate of 21%.

**SCCE Member** ..... \$2,500 USD  
VAT Tax ..... \$525 USD  
**TOTAL ..... \$3,025 USD**

**Non-Member** ..... \$3,000 USD  
VAT Tax ..... \$630 USD  
**TOTAL ..... \$3,630 USD**

**New Member (\$3,025) Registration Plus SCCE Membership (\$200)** ..... \$2,500 USD  
VAT Tax ..... \$525 USD  
**SCCE Membership ..... \$200 USD**  
**TOTAL ..... \$3,225 USD**

**SAVE BY JOINING SCCE TODAY.**  
First-time members only.  
Dues regularly \$295 annually  
and will be invoiced separately.

**Group Discount** (Please contact SCCE for the total amount due based on the number of participants.)

**TOTAL \$ \_\_\_\_\_ USD**

**Employer's VAT No.** \_\_\_\_\_

## PAYMENT OPTIONS

If you wish to pay using wire transfer, please email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) for instructions.

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

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

- Check enclosed (payable to SCCE)     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 +1 952 933 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

CAIBR0415

**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  
[www.corporatecompliance.org](http://www.corporatecompliance.org) | [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org)

Rates are listed in U.S. dollars. Academy and certification exam will be conducted in English.

## Conference location and hotel reservations

### Sheraton Brussels Hotel

Place Charles Rogier, 3  
Brussels, 1210  
Belgium

T: +32 2 224 3111

<https://www.starwoodmeeting.com/StarGroupsWeb/res?id=1410209185&key=3AC86114>

SCCE has arranged a reduced rate of €189,00 per night (net) and includes all taxes. Room rate is also inclusive of breakfast (supplement for a second breakfast is €20). The cutoff date for the group rate is Thursday 12 March 2015 or once the group block is full. Booking can be cancelled up to 72 hours before arrival.

## Registration terms

Please make your check payable to SCCE. Enclose payment with your registration and return it to the SCCE office, or fax your credit card payment to +1 952 988 0146. Payment must be sent in at least two weeks prior to the start date or your space may be released. 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:** You may send a substitute in your place or request a conference credit. Conference credits are issued in the full amount of the registration fees paid and are good for 12 months from the date of the cancelled event. Conference credits may be used towards any SCCE service. If you need to cancel your participation, notify us prior to the start date of the event by email at [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) or by fax at +1 952 988 0146. Please note that if you are sending a substitute, an additional fee may apply.

**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.

## VAT Recovery

Participants to the SCCE Basic Compliance & Ethics Academy, 12-15 May 2014, Brussels, Belgium may be entitled to reclaim the VAT incurred under certain conditions.

**For the companies based outside the European Union,** the following documents will be required by the Belgian Administration:

- VAT Request Form 821;
- Original invoices;
- Copy of the status and the last balance of your company;
- Proof that you are taxpayer from the Tax Administration of the home country

## The VAT application refund must be sent to the Belgian Central Office for Foreign Taxpayers:

AFER - BUREAU CENTRAL DE TVA  
POUR ASSUJETTIS ETRANGERS  
- REMBOURSEMENT (2340000)  
BRUXELLES

Address: Bld. du Jardin Botanique,  
50 – 18ème étage R, BTE  
3626, 1000 BRUXELLES /  
BELGIUM

Tel: +32 2 57 740 40

Fax +32 2 57 963 58

Email: [vat.refund.ckbb@minfin.fed.be](mailto:vat.refund.ckbb@minfin.fed.be)

**For the companies based within the European Union:** according to the new VAT Refund procedure, the application for refund of VAT charged by the Member State of refund must be submitted by the taxable person or its representative:

- to the authorities of their own Member State;
- by electronic means – not on paper form
- via the electronic portal made available to the applicants of that Member State

## CCEP-I exam

The cost of the CCEP-I exam is not included in the Academy registration fee. To register for the CCEP-I exam, download the PDF application form for the exam offered at your Academy from [www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies).

Please note that you must register for the CCEP-I exam separately from the Academy. Submit the application and fee (\$250 SCCE members or \$350 non-members) in advance as directed on the application form.

**Questions?** Contact the certification team at [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org) or +1 952 933 4977.

## Continuing Education Units

If you have questions about CEUs, please contact CCB at +19524057935 or [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Visit [corporatecompliance.org/academies](http://corporatecompliance.org/academies) for the most up-to-date CEUs.

## Compliance Certification Board

**(CCB):** Certified in Healthcare Compliance (CHC)<sup>®</sup>, Certified in Healthcare Compliance–Fellow (CHC-F), Certified in Healthcare Privacy Compliance (CHPC)<sup>®</sup>, Certified in Healthcare Research Compliance (CHRC)<sup>®</sup>, Certified Compliance & Ethics Professional (CCEP)<sup>®</sup>, Certified Compliance & Ethics Professional–Fellow (CCEP-F), Certified Compliance & Ethics Professional–International (CCEP-I); CCB has awarded a maximum of 28.2 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; HIPAA Privacy Implementation and/or Complying with Government Regulations.

**US Legal Education CLE:** The Society of Corporate Compliance and Ethics is a State Bar of California Approved MCLE provider, a Pennsylvania Accredited Provider, a Rhode Island Accredited Provider, and a Texas Accredited Sponsor. An approximate maximum of 23.5 clock hours of CLE credit will be available to attendees of this conference. All CLE credits will be awarded based on individual attendance.

**US Accounting 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 and may not accept one-half credits. 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 28.0 credits based on a 50-minute hour will be granted for the entire learning activity. This programme addresses topics that are of a current concern in the compliance environment. This is an update, group-live activity. For more information regarding administrative policies such as complaints or refunds, call SCCE at +1 952 933 4977 or 888 277 4977.

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# 2015 Basic Compliance & Ethics Academies

from the Society of Corporate Compliance and Ethics<sup>®</sup>

**San Francisco, CA**

February 9–12, 2015

**Las Vegas, NV**

March 9–12, 2015

**Orlando, FL**

April 27–30, 2015

**Scottsdale, AZ**

June 8–11, 2015

**New York, NY**

August 10–13, 2015

**Chicago, IL**

September 14–17, 2015

**Las Vegas, NV**

October 19–22, 2015

**Orlando, FL**

November 16–19, 2015

**San Diego, CA**

Nov 30–Dec 3, 2015



[www.corporatecompliance.org/academies](http://www.corporatecompliance.org/academies)

Questions: [katie.burk@corporatecompliance.org](mailto:katie.burk@corporatecompliance.org)

# 2015 Basic Compliance & Ethics Academy

Brussels, Belgium ■ 13–16 April

*"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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Register today:  
**CLASS SIZE  
IS LIMITED**