

# Compliance & Ethics *Professional*

Special Edition  
2014



A PUBLICATION OF THE SOCIETY OF CORPORATE COMPLIANCE AND ETHICS

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



SPECIAL EDITION

**Highlights** from the  
**2014 Compliance  
& Ethics Institute**

**LOOK INSIDE** for highlights from the 2014 Compliance & Ethics Institute  
—and learn how you can be a part of the 2015 Institute,  
October 4–7 in Las Vegas.

14th Annual

# Compliance & Ethics Institute

October 4-7, 2015  
ARIA in Las Vegas  
Las Vegas, NV



SAVE THE DATE

# VEGAS 2015

by Adam Turteltaub

# Welcome to our inaugural CEI Special Edition

Welcome to the inaugural Compliance & Ethics Institute (CEI) special edition of *Compliance & Ethics Professional* magazine.

This publication is designed to provide some of the flavor of the Compliance and Ethics Institute, albeit without the calories that come from the actual breaks and meals.



Turteltaub

Inside you'll find stories from individual attendees, a recap of some of the key events, and dozens and dozens of photographs.

We hope that it gives those who attended the program a nice reminder of all that they experienced. And for those who did not attend, we hope you'll gain an understanding of what the meeting is all about.

You could feel the growth and the vibrancy of the Compliance and Ethics community throughout the CEI. The Exhibit Hall was packed with both attendees and 57 different exhibitors. The sheer number of vendors present speaks to the importance of compliance and the needs of fast-developing compliance and ethics programs.

And the decibel level of the voices in the rooms and in the hall was testimony to the volume of networking that was also underway. The networking breaks came in-between well over 100 sessions. And the caliber of the speakers throughout was remarkably high.

But perhaps the most memorable part of the program was our International Awards Dinner, which took place on September 15. It was a night in which we recognized individuals and

organizations that have played an extraordinary role in furthering compliance and ethics. This year we honored:

- ▶ **Donna C. Boehme**, Principal, Compliance Strategists LLC, for her tireless dedication and unwavering support for the independence of the compliance and ethics profession.
- ▶ **Daniel R. Levinson**, Inspector General, U.S. Department of Health and Human Services, for his belief in and support of compliance programs to help reduce healthcare fraud as well as his willingness to reach out to the compliance community.

The networking breaks came in-between well over 100 sessions. And the caliber of the speakers throughout was remarkably high.

- ▶ **Smith Debnam LLP**, a law firm located in Raleigh, North Carolina, the first law firm to have a compliance program of its own.
- ▶ *The WSJ's Risk and Compliance Journal* for its comprehensive coverage of the compliance profession.

We hope the pages of this publication capture the spirit of the 2014 Compliance and Ethics Institute, and we also hope to see you in Las Vegas, October 4-7 for the 2015 Compliance and Ethics Institute. \*

Thank You  
for 10 Great Years



by Odell Guyton and Daniel R. Roach

# Dear SCCE members

As we celebrate the 10<sup>th</sup> anniversary of the Society of Corporate Compliance and Ethics (SCCE), the two of us can't help but marvel at the evolution, not just of this organization, but also of the compliance profession as a whole.

Organizations with strong compliance programs used to be the exception. Now they are the rule, and SCCE has played a significant role in helping to improve the quality of compliance programs by providing training and networking opportunities for compliance and ethics professionals.

Fittingly, the SCCE's anniversary was marked by two milestones that demonstrate the vibrancy of the Compliance and Ethics community.

- ▶ Membership has now increased to over 4,600 individuals, a far cry from the approximately 1,700 members we had just five years ago and the handful we had at the start.
- ▶ The Compliance and Ethics Institute reached the 1,500 participant mark.

As we look to future milestones, the SCCE continues to expand the resources it provides.

Our Academies are now offered nine times a year in the United States. In addition, we offer Academies in Brussels, Sao Paulo, Dubai, and next year (for the first time) in Singapore and Sydney. And this year, Brazil saw our first sold out international SCCE Academy.

*Compliance & Ethics Professional*, our member magazine, has expanded this year to twelve issues, and done so at no additional costs to our members.

SCCEnet, the social networking site of the SCCE, now counts 13,500 registered participants. It gives our members an opportunity to turn to each other to get their questions answered, share policies and procedures, and to access hundreds of compliance-related documents.

Joining SCCEnet as online resources are our considerable LinkedIn and Facebook presences, along with a blog and our Twitter feed.

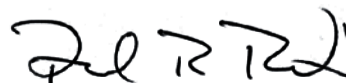
In 2015 SCCE will offer a new conference, one designed to improve the compliance expertise of audit committee members and to forge a stronger relationship with the compliance team. And we are expanding our European Compliance and Ethics Institute to three tracks of concurrent sessions. That meeting nearly doubled in size from 2013 to 2014.

In sum, SCCE has accomplished much in the past ten years and looks forward to continuing to innovate and serve the compliance and ethics community for many decades to come.

Sincerely,




Odell Guyton  
Vice President,  
Global Compliance  
Jabil Circuits, Inc.




Daniel R. Roach  
General Counsel &  
Chief Compliance Officer  
Optum 360



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VOLUME 11, SPECIAL EDITION

by Paul Zietsman

# Celebrating the past and looking toward the future

In preparation for this year's Compliance and Ethics Institute (CEI), I at some stage misplaced my program and decided to Google "compliance conference" in the hope of finding the program online. I somehow deleted the first word before I hit "Enter" and was surprised with the search results. One of these search results took me to a website on the weirdest conferences in the world. These conferences ranged from strange ones, like the one dedicated to the year 1968, to the more morally obscure ones, like the one aimed at justifying pedophilia.

At this year's CEI, one of the keynote speakers, James B. Comey, from the FBI, mentioned in his address that there is apparently an annual conference held for hackers. After reading about the pedophilia conference and then hearing that even hackers have a conference of their own now, I came to the conclusion that one does not need anything special in order to have a conference. In fact, it seems like some conferences might even be held for all the wrong reasons nowadays.

The CEI, however, is not just a conference. For me the CEI is the showpiece of the SCCE, at which the SCCE not only brings its members together as members of a society, but at which it also bolsters the knowledge, professionalism, and ethics of the Compliance profession as a whole. It is the very focus on professionalism and ethics that places the SCCE in the same league as some of the professional bodies that formed the basis for compliance as a new profession. In this regard, I think of professional bodies like the

various law societies and Bar associations across the world. I also think of the accounting institutions, all well-established professional bodies with great reputations, which they will protect and defend at all costs. One difference between the SCCE and these other professional bodies is that the SCCE is



a mere 10 years old this year, while most of the other modern professional bodies have long standing and proud histories dating back for more than a century. In this regard I think of the Law Society of England and Wales, founded in 1825, and the Association of Chartered Certified Accountants (ACCA), founded in 1904. In the U.S. we have the American Bar Association, which was founded on August 21, 1878, when 75 lawyers from 20 states and the District of Columbia met in Saratoga Springs, New York. All these bodies played a formative role in the development of the legal and accounting professions in Britain and the USA and, ultimately, the world.



The fact that the SCCE is only 10 years old this year should, however, not distract from its importance and stature. It should rather be seen as an opportunity for its existing members, as well as future members, to create history. Just as we are now looking back at the proud histories of our law societies, Bar associations and accounting institutions, people will one day also look back at the history of the Compliance profession. The view that they will have of the Compliance profession, and the SCCE in particular, will depend on what we, as members of the SCCE, do today and what we will do tomorrow. It was therefore a great privilege for me to not only attend the CEI this year, but to also

facilitate a session, and by doing so, making my small contribution to something that the generations to come will one day look on and be proud of.

I therefore trust and hope that the CEI will go from strength to strength and that we will soon double the record number of people that we had at the CEI this year. I trust that we will have more and more of our members contributing in whatever way they can in support of our collective endeavor to expand and strengthen our professional body and, by doing so, creating history. \*

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## OVERVIEW

by Chris Caron, CCEP

# A “firstie’s” view of the CEI

“**T**his is the one organization that I encourage all compliance professionals to join.” Although I said that myself a number of times, it was also the unofficial catchphrase of the conference. The number of (previously) strangers that I met over the past two days who said virtually the same words doesn’t surprise me anymore.

From the opening remarks by Roy Snell, the conference set a tone of positive action. Each session included valuable and actionable material that will keep me busy implementing for weeks.

As a “firstie” at the CEI, I really did come with high expectations based on my experience from attending an Academy and two regional events. But, I didn’t come

prepared to absorb the incredible volume and quality of information, exhibitor support, and overall community involvement that this conference provides.

Looking at the next year of enhancements to my company’s compliance program, I know many will be a result of the conversations and presentations from this week. And I look forward to participating in regional events to keep me connected to the dedicated professionals in our evolving and growing industry.

Next year... More advance planning and more luggage space for take home conference material! \*

*Chris Caron, Compliance Director, Infrastructure Group, Kiewit Plaza, Omaha, NE*

by Scott Killingsworth

# The CEI: A compliance professional's dream!

**"J**ust one thing." Roy's voice was kindly, but there was steel in his eyes. "But which one?" I replied. "That's what you have to find out," was the enigmatic response, and suddenly he seemed to look a lot like Jack Palance in *City Slickers*. I was at the SCCE CEI and the iPad Wall had just asked me, "What are you doing for the next hour?"

My mind reeled. Then it boggled. Behind me, I thought I heard Nowhere Man muttering, "So little time, so much to know." There was a ringing in my ears. I shook my head and fired up the conference app to check the schedule. Good grief, look at these options. I hadn't had to choose between eight tracks since the sound system broke in my TR4!

What to do? Commit to a track or go à la carte? Pursue favorite topics that I already know well, or shore up a weakness by exploring something new? Prepare for my own presentation or support a friend who's giving one now? Check out the vendors while things are quiet? Coffee with a mentor?

So many choices and all of them good... I saw myself at a desk choosing between competing positive values, an advanced ethics

test, or was it the CCEP exam? High anxiety: I didn't know there'd be a test today. And what is that ringing sound?

Back at the iPad Wall, it seemed all the faces were talking to each other: a networked networking break, photobombs optional. Suddenly Donna's image did a slow dissolve into Lauren Bacall as she turned and spoke, it seemed, directly to me: "You know how to whistle, don't you? Just pick up the phone and call the hotline."



My mind was made up. The whistleblowing session!

The ringing sound grew louder, insistent. The phone! I awoke with a start.

The Compliance & Ethics Institute offers more than you can use of everything you want at a conference. Except *just one thing*: sleep. \*

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by Tracey Page

# SCCE Mobile app

The mobile app offered attendees the chance to have their own personalized schedule throughout the conference. By logging into the app, each attendee's pre-selected educational sessions and networking events were automatically populated in the app's calendar. During the sessions, attendees were able to follow along with the presentations in the app and take their own notes, which they were then able to email to themselves. An additional helpful feature this year was the pop-up alerts for room changes. The job board went completely digital this year, as it was added to the mobile app. Overall, SCCE Mobile is a great way to have all the information you need at your fingertips without having to carry anything extra. \*



by Shawn DeGroot

# Thoughts on general session keynote speakers

**I**nvigorating, thought-provoking, and challenging are just a few words to describe the keynote presentations by James Comey of the FBI, and Professor MaryAnn Jennings with Arizona State University. The framework of cyber security threats presented by Director Comey was somewhat chilling and a rude awakening for me, professionally and personally. I better understand and appreciate the sense of urgency for partnership and collaboration with the FBI, at the state and federal level, regarding cyber security.

Organized cyber-groups and botnets require worldwide attention by all of us. Director Comey provided advice on steps we can take now:

1. Mark all sensitive materials;
2. Require all employees sign a non-disclosure document;
3. Train employees on recognizing authentic email vs. opening infected email;
4. Develop “need to know” compartments; and
5. Institute a culture of care regarding your company (see something, say something).

The last point is probably the one that is the most challenging. While no one wants to report a co-worker’s unusual and changed behavior, there are many examples of devastating events recently in the news that may have had a different outcome *if* a question had been raised.

Professor Jennings balanced the compliance topic of cyber security by

discussing ethics in the world today. The first topic pertained to incentives and bonuses that are misaligned to promote numbers and statistics vs. quality and transparency. The examples Professor Jennings provided were stunning, “hard to swallow” so-to-speak. Knowing that there are managers who require injured workers to present to work on a gurney, simply to keep the safety numbers high for a bonus, was appalling to say the least.

“Pressure causes irrational decisions” was a quote Professor Jennings referenced in her presentation. She elaborated on behavioral layers that impact education, sports, manufacturing, essentially any line of business. The layers begin with the individual making a decision, the company creating incentives, industry competition in gray areas, and last, but not least, culture. There was brief commentary on “tone at the top,” which is something that we reference often in compliance. I was most intrigued with her point that leadership is not static. A leader with a humble past and strong skills co-mingled with a dramatic rise to power, may create isolation (e.g., B. Ebberts, B. Madoff, D. Petraeus).

While the CEI was inspiring on so many levels, Director Comey and Professor Jennings have reinforced the need for all of us to think differently about cyber security and ethics, if we see something—say something. \*

*Shawn DeGroot (shawn.degroot@navigant.com) is Associate Director at Navigant in Fort Collins, CO*

by Sam Keshavarz

# Persuasion and influence: Your greatest tools

**Y**our ability to persuade and influence people is the number one skill you can have as a compliance officer (valuable insight I gained from Roy Snell, the CEO of SCCE).

So, how does a compliance officer persuade and influence?

- ▶ Directly engage your audience
- ▶ Provide them with value

How do you engage your audience? Stop using “corporate speak” with people. Bring your tone down to a human and

relatable level. You’ll be surprised how much more engagement you’ll get.

How do you provide them with value? Show the “what’s in it for me?” (WIIFM) in every communication. If you focus on the underlying issue rather than the details of the compliance rule, you’ll end up conveying the WIIFM and provide value.

When you’re positively engaging and providing value to your audience, you’re persuading and influencing them to make the right decisions within your organization. \*

*Sam Keshavarz (skeshavarz@emtrain.com) is Marketing Manager for Emtrain in Sacramento, CA.*

## OVERVIEW

by Art Weiss

# 2014 CEI: Biggest and best yet

**W**ithout question, the 2014 SCCE Compliance and Ethics Institute was the biggest and best yet. I have attended every one since 2006. I’d be hard pressed to name my favorite part. With SpeedMentoring, general sessions featuring nationally known experts in their field, multiple tracks running concurrently, networking events for attendees, receptions for Academy alumni and contributors to our great assortment of publications, the Awards Dinner, and the Herculean effort put forth

by the SCCE staff in organizing and running (smoothly) the best event of its kind on the planet, I am at a loss to pick my favorite part. I guess I’ll just have to mark my calendar for next year’s Institute so that I can try out some more sessions and get back to you.

Where else can you find the most knowledgeable—and most friendly—compliance and ethics professionals in the world? \*

*Art Weiss (art\_weiss@tamko.com) is Chief Compliance & Ethics Officer at TAMKO Building Products in Joplin, MO.*

by Charlotte Young

# Influence is a key to success

I didn't plan to be an ethics and compliance officer; I wanted to work for a nonprofit and that was the job that fit a recovered lawyer. After six years in the job, I know I made the right choice. I work for the best conservation organization in the world in a field that is growing, challenging, and a Goldilocks Just Right. But after listening to Roy Snell and Jennifer O'Brien Tuesday morning and hearing about the Seven Elements of Influence, I also realized that success in our field comes from many sources, including what you might call "ethics and compliance emotional intelligence."

Jenny and Roy outlined the basic skill set for a compliance officer, based on the grounding concept that having organizational and personal *influence* brings results. I am a student of a development course at my organization entitled "Influencing without Authority," and couldn't agree more that influence is a key to success for ethics and compliance programs.

The seven elements (Credibility, Collaboration, Communication, Negotiation, Humility, "Triple C," and Relationships) are intuitive, but bear thought and practice for all of us in our profession. One of my brightest moments as the CECO is my predecessor telling me she appreciated the "soft yet firm touch" I have maintained for

our program—essentially an approach that combines Humility, Credibility, and Collaboration. A hammer won't work. People are led, not pushed, to do the right thing.

At The Nature Conservancy, the CECO conducts the internal investigations, and that "soft touch" can come in handy when trying to get to the truth. When managing an internal investigation, I always ensure that management sees me as part of their



team, as support; investigations bring value—Collaboration, Relationships. After a recent investigation, I admitted to the managers that my recommendation for a disciplinary action had changed, and I might have misperceived the dynamics—I hope this helped my Credibility. As they struggled with a difficult disciplinary decision, I stepped back (with Humility), listened to the various viewpoints, and then suggested

next steps that combined the various suggestions in a cohesive package—Negotiation. I volunteered to write it all up (P.S.—not my job) so we could all be on the same page—for consistent Communications and to show Collaboration.

One of the seven elements that most resonated with me was the Triple C: calm, cool, and collected. This particular investigation was filled with rumors, finger pointing, and distracted employees. I was cautious to keep my head down, listen and not assume, and tried to “stop the swirl” (as Jenny so aptly put it), applying one of my office’s principles of investigating—“minimize the harm.”

Jenny and Roy’s seven elements are, at bottom, basic and useful guides for succeeding



in most jobs. But in our profession they are especially useful. Influence is a great tool. \*

*Charlotte Young (cdyoung@tnc.org) is Chief Ethics and Compliance Officer at The Nature Conservancy in Arlington, VA.*

## OVERVIEW

by Daniel R. Roach

# The premier education and networking opportunity

**A**s the Co-Chair of the SCCE, I was grateful to see the overwhelming turnout for the CEI this year. I was particularly happy to see and meet so many first-time attendees and to hear their positive feedback about the program. Our goal each year is to make the CEI the premier education and networking opportunity for compliance

and ethics programs. While we are not yet perfect, we will continue to work to improve the CEI each year. I look forward to seeing all of you (as well as 200–300 additional attendees) in Las Vegas next fall. \*

*Daniel R. Roach is General Counsel and Chief Compliance Officer for Optum360 in Eden Prairie, MN.*

by David Birk and Sepideh Moghadam

# FBI Director gave advice on cyber security and creating a culture of care

James Comey, Director of the FBI and former General Counsel for Lockheed Martin, focused his opening address on the problems of cyber security and of sharing information among investigative agencies and the private sector. He implored general counsels (GCs) and compliance professionals to have their companies share pertinent information related to threats and suspicions with the FBI and to create a “culture of care.”

Director Comey challenged the attendees to encourage their companies to work with the FBI to share information about cyber-threats and other matters that threaten the wellbeing of the U.S. and its people. According to Comey, the only way the government can successfully defend against the hackers, and others with harmful intentions, is with the full cooperation of private enterprise.

## Creating a culture of care

What is a culture of care? According to Comey, it is a culture where employees who see something will say something. It is a culture

where an employee will notice that someone has suddenly come into some money or is acting strangely, and will report it to company officials. The company will, in turn, share the information promptly with the government.



What is the role of the GC and compliance officer in all of this? Is company information not to be protected even from government intrusion? When should the GC or compliance officer yield to the insistence of government officials that all information, no matter how sensitive or contrary to the company's best interests, be shared with the government if it relates to threats and possible criminal behavior?



## Conclusions

Director Comey's comments raise difficult questions for the GC and compliance officer, who must walk a fine line between anticipating risks and threats while also protecting the company's interests in its own sensitive information and the privacy that the company owes to its stakeholders.

The challenges for these officials include the weighing of "going public" against protecting the company's sensitive information from scrutiny by the media and government officials, the outcomes from creating a company culture where sharing of information may trump personal privacy and protection of delicate individual rights, and the possibility of compromising company pride and identity by adopting a somewhat paranoid view of the threats of the marketplace.



The time may have indeed arrived for the GC and the compliance officer to heed Director Comey's advice, but they should give careful thought to what may result from doing so. \*

*David Birk* ([dbirk@blackbelt-compliance.com](mailto:dbirk@blackbelt-compliance.com)) and *Sepideh Moghadam* ([smoghadam@blackbelt-compliance.com](mailto:smoghadam@blackbelt-compliance.com)) are Managing Directors, Black Belt Compliance, LLC in Tempe, AZ.

## OVERVIEW

by Charlie Voelker

# Summary from the CEI

**A**t the 2014 Compliance & Ethics Institute, I had the pleasure of attending a break-out session entitled "Lie Detection for Compliance and Ethics Professionals." Hosted by Michael W. Johnson, a former DOJ attorney and now the CEO of the Clear Law Institute, the presentation offered practical advice for recognizing signs of deception and truthfulness in investigative interviews. Through video case studies, which were both harrowing and humorous,

Michael debunked many of the commonly held beliefs about spotting lies and, in their place, offered scientifically valid strategies for getting to the truth. This session stood out as a prime example of the kind of informative, entertaining, and useful experiences I have enjoyed at the Institute and which leave me already looking forward to next year's event. \*

*Charlie Voelker* ([Charlie\\_voelker@skillsoft.com](mailto:Charlie_voelker@skillsoft.com)) is Legal Compliance Solution Manager at Skillsoft in Nashua, NH.

by Stacy Tjossem

# Cyber security and corporate compliance: An enterprise architect's view

**F**BI Director James B. Comey addressed the general session on security threats and advances in cyber security. Director Comey described past law enforcement efforts like “a soccer team of four year olds” following threats; by breaking down stovepipes and working across organizations, significant progress has been made.

Reflecting on Director Comey's remarks, and considering additional sessions related to Information Technology (IT), I heard corporate compliance and ethics professionals struggle with IT departments to express their requirements and obtain the results they seek. This is common, but from an IT professional's perspective, I identified an over reliance on the IT security function to achieve compliance and ethics objectives. The security officer has become a Batman-type superhero protecting Gotham City.

In Robert Bond's excellent presentation “Global Privacy and Data Protection Risk,” we learned how international laws concerning personally identifiable information (PII) are being enacted

and the penalties for non-compliance severe. Mr. Bond described how the internal processes of a software product might be expected to work in order to comply with these new mandates. Achieving these objectives goes well beyond the scope of the security officer's role. But, if the security officer is Batman, the IT department has a Commissioner Gordon: the enterprise architect.



The enterprise architect typically sets the long term IT strategy and codifies the rules and standards (IT governance) concerning which technologies to use, how products are

made, how they will be tested and approved, and which languages and tools are authorized. Integrating corporate compliance and ethics into the IT governance and strategy would encourage greater sensitivity across all of IT as to how information is collected, used, and stored; and the burden of being the only superhero will be lifted from Security's shoulders. Strategically, communicating the changes in international laws to enterprise architects and keeping them informed will make for improved recommendations in technology direction to meet both the business

demands of the organization as well as emerging legal requirements.

The time is now, if not past, to engage the enterprise architect in the compliance and ethics discussion. Perhaps this has already been done in some organizations, but if not yours, why not? And not only should the enterprise architect be engaged in the dialogue, these individuals should be encouraged to join SCCE and become CCEP or CCEP-I certified and be part of a superhero team. \*

*Stacy Tjossem (stjossem@att.net) is Director at Ethos LLC in Arlington, VA.*

## OVERVIEW

by Steve Priest

# A culture of care, competence, and courage

Research tells us that within several months of attending training or a conference, we will be lucky to remember two things. Below are the two I will remember from the 2014 CEI in beautiful downtown Chicago.

The first was James Comey, the Director of the FBI, talking about the importance of a culture of care in reducing the likelihood of wrongdoing. Care! To many of us, care is such a soft word, while compliance is so tough. But Comey was spot on. It takes a culture of care—of diligence and caring for employees, customers, and shareholders—for compliance to have a chance. Organizations that know they are running a marathon, not a sprint,

will actively seek to create cultures of care, competence, and courage.

The other memory will be the energy of the CEI itself, and the SCCE. In the next decade or so, some wise person will write about our field “Ethics and Compliance became a profession in 2014.” OK, so maybe they will say 2011 or 2016, but through vision, leadership, and execution (care, competence, courage?) the SCCE has formed a profession. And its hallmark will be conferences like this one, where over 1,400 intelligent, dedicated, energetic professionals come to improve their competence. And perhaps be inspired to greater levels of care and courage as well. \*

*Steve Priest (ethical@aol.com) is President of Integrity Insight International in Evanston, IL.*

by Lori Dahmes

# Exhibit Hall

The Exhibit Hall was *the* place to be and be seen this year! With a record number of exhibiting companies (57), the attendees had a great selection of solution providers to get to know. For a fun break from talking business, they lined up to win a prize by spinning the wheel.

Thank you to all of the exhibitors and sponsors, and to the attendees for coming to the Exhibit Hall to connect with them. \*



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## Contact Information (please print)

Company name \_\_\_\_\_

Address \_\_\_\_\_

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

Phone \_\_\_\_\_

Fax \_\_\_\_\_

Contact person \_\_\_\_\_

Contact person's title \_\_\_\_\_

Contact person's email \_\_\_\_\_

Authorized signature \_\_\_\_\_

*This agreement shall not be binding unless it is signed by an authorized representative of the applicant's firm and is accepted and signed by SCCE. By signing above, I hereby certify that I have read and will abide by the "Terms and conditions" in this prospectus.*

## Logistics Coordinator (please print)

Full name \_\_\_\_\_

Email \_\_\_\_\_

Phone \_\_\_\_\_

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- Tweet wall and TweetUp.....\$10,000
- Highlighters.....\$10,000
- Conference wireless Internet.....\$10,000
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- Networking reception: Monday.....\$10,000
- Water bottles.....\$10,000

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- Continental breakfast: Monday.....\$8,000
- Continental breakfast: Tuesday.....\$8,000
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- Badge holder lanyards.....\$8,000
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- Session room signage.....\$8,000
- Flat flashlights.....\$8,000
- Hotel room keys.....\$8,000
- Notepads.....\$8,000

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- Luggage ID grip.....\$6,000
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TOTAL \$ \_\_\_\_\_

## Advertising Opportunities

### ATTENDEE TOTE BAG INSERT

- Company-provided marketing material in all attendee tote bags: \$1,500

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- Pre-registration list (postal address only): \$500

### CONFERENCE GUIDE ADS

- Full-page full-color ad: \$1,500
- Half-page full-color ad: \$1,000

TOTAL \$ \_\_\_\_\_

## Booth Rental (includes two Exhibit Hall badges per 10 x 10 space)

10 x 10 Booth Rental \_\_\_\_\_ @ \$2,895 \$ \_\_\_\_\_

10 x 10 Corner Booth \_\_\_\_\_ @ \$3,295 \$ \_\_\_\_\_

Additional personnel \_\_\_\_\_ @ \$375 \$ \_\_\_\_\_

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Booth choice (see floor plan for location numbers):

1st choice: \_\_\_\_\_ 2nd choice: \_\_\_\_\_ 3rd choice: \_\_\_\_\_

4th choice: \_\_\_\_\_ 5th choice: \_\_\_\_\_ 6th choice: \_\_\_\_\_

Please list any companies you would rather not be near.

Check [www.complianceethicsinstitute.org](http://www.complianceethicsinstitute.org) for a list of current exhibitors:

\_\_\_\_\_  
\_\_\_\_\_

## Billing Information

TODAY'S DEPOSIT \$ \_\_\_\_\_ (out of TOTAL \$ \_\_\_\_\_)

BY MAIL: Enclose application and check payable to SCCE:  
SCCE 6500 Barrie Road, Suite 250, Minneapolis, MN 55435

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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 or 888 277 4977 with the credit card information.

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**50% deposit is required for all booth rentals. Balance must be paid in full and received by SCCE by October 3 2015. Exhibitor/sponsorship fees are non-refundable.**

Upon completion of this form, please email your 75-word company description and your company logo (preferably as two separate files: one web-ready JPEG or GIF and one print-ready Illustrator-compatible AI or EPS vector file) to Lori Dahmes at [lori.dahmes@corporatecompliance.org](mailto:lori.dahmes@corporatecompliance.org).

**Questions? Email Lori Dahmes:**

[lori.dahmes@corporatecompliance.org](mailto:lori.dahmes@corporatecompliance.org)

CEI15

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by Anne Marie Logarta

# Social media @SCCEcei

I've attended three annual Compliance & Ethics Institutes (CEI) and always look forward to the new and interesting things the SCCE has in store for attendees.

I'm an avid social media user and the 2014 CEI did not disappoint. Some of the things I did:

1. **iPad Wall:** Several tens of iPads were mounted on a wall by the Registration Desk. An attendee could participate—press the button to begin recording, answer a few questions (name, job title), take a selfie, and answer a compliance question of the day (“A compliance officer should always...”; “A compliance officer should never...”; “My favorite thing about the CEI is...”). I did not hesitate to participate each day. I loved it! The 2014 CEI is the first time ever that an iPad Wall has been used in this way at a conference in the U.S.A. A conference attendee named the iPad Wall as the *Hollywood Squares* of Compliance.
2. **Instagram Scavenger Hunt:** Post at least five pictures of conference activities, such as a new friend, a speaker, my lunch, selfie in the Social Media Lounge, or something funny, to win an SCCE sweatshirt. I won!
3. **Twitter Walls:** Attendees (myself included @ethicsgeek) were heavily tweeting throughout the 2014 CEI using #SCCEcei and #SCCE2014 for a chance to win an iPad. Friends tell me they saw me all over the conference through the Twitter Walls which were strategically located in the

open spaces outside the Grand Ballroom, conference rooms, and in the Exhibit Hall.

4. **Social Media Lounge:** I like to call this the “Social Media Sofa” too. This was the area located beside the Registration Desk and the iPad Wall. Simply, it was a place to rest one’s weary feet in between sessions or hang out with new friends.
5. **Video Recording:** Live interviews of attendees by SCCE staff were held onsite for up-to-the-minute candid thoughts about the 2014 CEI, and for later posting on YouTube. Of course, I participated!

I truly enjoyed the 2014 CEI; the sessions were interesting and relevant. Complimentary access to Wi-Fi was a plus for social media users like me.

Each of my days was full—what with attending the sessions, networking, visiting the exhibits, and social media, and not to mention post-conference, walking the Magnificent Mile, joining the Chicago Architecture Foundation River Tour, and tasting deep-dish pizza—all iconic Chicago.

I learned a lot, made new friends, and laughed. Someone on the iPad Wall aptly stated: “A Compliance Officer should always have a sense of humor.” That is what it is all about anyway, loving one’s job and having fun too.

A big thank you to the SCCE staff for all your creativity and hard work. See you @ the 2015 CEI in Las Vegas! \*

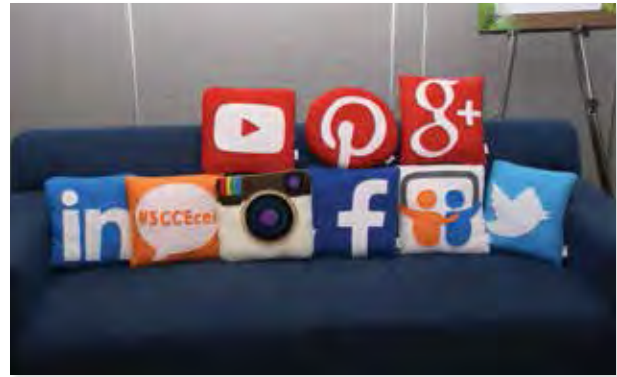
*Anne Marie Logarta (amlogarta@yahoo.com) is Global Compliance Manager at UPS in Atlanta, GA.*

by Kortney Nordrum

# Social media and tweeting

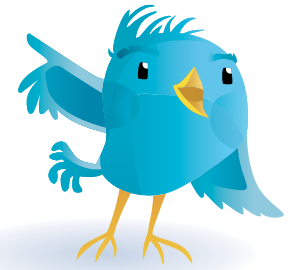
**S**ocial Media went crazy this year! With more than 300 tweeters sending 2,000+ tweets, attendees were able to keep in touch and learn best practices in 140-character snippets. Combined, users tweeting with the #SCCEci hashtag generated 1.5 tweets/minute and reached more than 4.5 million timelines.


SCCE jumped headfirst into the world of Instagram this year! We ran an Instagram Scavenger Hunt, with more than 60 participants earning SCCE sweatshirts by uploading five pictures from the conference. Attendees also had fun taking selfies and meeting new friends in the Social Media Lounge.







Compliance & Ethics Institute  
**Tweeting**  
 at the meeting!




 **Jason B. Meyer** @MeyerJasonB · Sep 17  
 In line to take the CCEP certification exam. So are many others! #SCCEcei  
[ow.ly/i/6V5oi](http://ow.ly/i/6V5oi)


 **Ellen Hunt** @ethicsintegrity · Sep 17  
 @scce corporate scandal calendar is a great tool to remind ppl about the risks of non-compliance. Mentoring Panel #SCCE2014 #SCCEcei

 **Betseyk** @Betseyk · Sep 17  
 Great session on technology use by Coors this am. Lots to take home and apply. Paid for entire conference. #SCCEcei

 **Nancy Doan** @nkdoan916 · Sep 16  
 #SCCEcei The CEI has rejuvenated my belief in the profession 🙌👍  
 Expand ★ Favorited

 **Cris Mattoon** @crismattoon · Sep 17  
 While Compliance, Internal Audit, Legal must be separate & independent, they must collaborate to manage risk, educate the Board. #SCCEcei

 **Compliance Insider** @complyinsider · Sep 17  
 Empowering employees creates ethical employees #SCCEcei  
 Expand

 **Fran Norris** @franbnorris · Sep 16  
 I don't want it to be over yet 😞 #SCCEcei oh wait! More tomorrow!  
 Expand ↩ Reply ↻ Retweet ★ Favorite ⋮ More



**Lizza Catalano** @confplannerscce · 22h  
 #SCCEcei #favmoments pic.twitter.com/wpFv1BDPs6



**Joy Cipperly** @CipperlyJoy · Sep 15  
 Great time dancing the night away with my new SCCE friends - great band!  
 #SCCEcei



**NYSE Gov Services** @NYSEGov · Sep 16  
 Excited for Ethics! at #SCCEcei pic.twitter.com/mYI39Rt4mH  
 View Reply Retweet Favored Pocket More



**Barbara H** @AKHumbird · Sep 15  
 #SCCEcei Best attendance in a long time at the annual Awards Dinner. Standing ovation for Donna Boehme - well deserved!!



**Alejandro Cardona** @alejocardona10 · Sep 15  
 Such a great dinner! @SCCE #SCCEcei pic.twitter.com/7GbUiSHRG6  
 Chicago, IL



**Erica Salmon Byrne** @ESalmonByrne · Sep 15  
 Congrats @WSJRisk great speech but Dan Levinson had better jokes #sccceci  
 pic.twitter.com/vhwsod54w6



**Ben DiPietro** @BenDiPietro1 · Sep 16  
 never left the hotel but had a great time in chicago. kudos to SCCE for a great conference. #SCCEcei

by Marcy J. Maslov

# “First timer” and the power of social media

**E**thical Scenario: *You’re a long-time attendee of SCCE and HCCA events. You meet a “first timer” at registration and she asks you what to expect from the conference. All your experiences have been wonderful, but you only have time to share one insight. What do you say to this first timer?*

Well, I was the first timer, and I had no idea what to expect of the SCCE CEI. I knew nobody; it must have shown on my face. The greeters on Green Level took one look at me and asked if I was looking for the SCCE registration. I wonder how they knew? As I checked in, I promptly met a long-time member of HCCA who was expanding to SCCE. She generously shared things to watch for, and I relaxed. I was in the right place, with people who are actually *interested* in compliance and ethics, just like me! What a novel experience!

I was introduced to SCCE via a friend who saw the call-for-speakers announcement on social media and sent me the link. Neither of us were members of SCCE at the time. The power of social media was working, and it continued throughout the conference. Hats off to Kortney, Taci, and all the wonderful folks who made the iPad Wall, Twitter, and Instagram fun to explore. Maybe next year there can be an award for most Tweets?

Everything was so well-organized that I had very few “uh-oh, what do I do next” moments. The communication was fantastic, from the moment of my speaker proposal

acceptance to the very last session I attended. Jeff and the IT folks were amazing, patiently helping me through the steps for getting the SCCE Mobile app to work. And everyone was so open! Board members, Roy, and members alike were so willing to sit down and talk!



Thank you to all who attended my presentation on Unlocking Positive Value of Ethics and Using Games. You were an amazing group of people, and I learned as much from you as I hope you did from me. Afterwards someone said that only one person left the room during the program. That’s highly unusual, so I applaud all of you for staying! Ten personal ethics points for every participant in the room!

I’m now a new SCCE member, and I look forward to seeing everyone again next year! \*

*Marcy J. Maslov (Marcy@e-Factorgame.com) is Chief Integrity Builder at e-Factor! in Phoenix, AZ.*

by Seth Cohen

# “#ConfessionsofaTweeter”

I'll admit it—this was not only my first SCCE conference, but my first attempt at “live tweeting” an event. Yes, we (PwC) sponsored the Tweet Walls (those screens you may have seen broadcasting tweets to the #SCCEci hashtag), and I was one of the people asked to cover the sessions via Twitter.

With that disclosure out of the way, here are some observations about my Twitter experience:

- ▶ **Everyone loves a tweeted pic.** From pictures of the iPad Wall to Adam Turteltaub's red staff shirt, these tend to garner the most attention. Confession—on the last full conference day I tweeted a commonly-used pic approach—the wide shot of the general session with the speaker looming on the two giant screens above. Standard stuff, but makes an impression, particularly 50+ tables from the front.
- ▶ **Exhibit Hall fun.** Who didn't love picking up freebies and other goodies from exhibitors downstairs? Those nice marketing and sales folks love giving things away—otherwise they have to pack it back up and send it back to HQ. Well, they also tweeted up a storm (like our PwC team, tweeting PwC State of Compliance survey data points like the percentage of companies who now have social media policies... Anyone? OK, it's 88%.) Yes, the exhibitors know how to use social media to attract attention,

posting pictures of their staff, claiming the best freebie, etc.

- ▶ **Missed a session? Catch up on Twitter.** The coverage of the breakout sessions on Twitter was pretty robust, IMO (that's “in my opinion” in social media/text lingo.) Confession—I missed one session because of a conference call, yet still retweeted during that time...

We looked up  
from our devices  
to actually meet  
and say hello!  
How very  
20<sup>th</sup> century  
of us.

- ▶ **Tweeting can lead to real social interaction.**


There were quite a few regular tweeters, some of whom wound up in the same sessions on occasion. And guess what? We looked up from our devices to actually meet and say hello! How very 20<sup>th</sup> century of us.

- ▶ **It's not all about Twitter.**

There are many more social media fish in the proverbial sea. LinkedIn lit up with conference participants making new and interesting connections. A few people even posted SCCE-related LinkedIn updates. (OK, it may not be as exciting as tweeting an update, but having 1,000+ connections gets you a bit more reach than 53 Twitter followers.)


All in all, live tweeting the conference was a real blast. You can do it too—whether at SCCE or at your next conference. One piece of advice: bring your charger! \*


*Seth Cohen (seth.m.cohen@us.pwc.com) is Director at PricewaterhouseCoopers in West Orange, NJ.*


 **fostergrant1** @fostergrant1 · Sep 15  
Three words to describe **#sccecei** -  
Energizing, Exciting, and Educational!!!!





 **fostergrant1** @fostergrant1 · Sep 16  
If you are in the Compliance profession you need to be at **#sccecei**. It is the ultimate source of info for all things compliance.

 **Cassandra Wilson** @ctaylorwilson1 · Sep 16  
Kudos to the SCCE IT HelpDesk. I hope this becomes an industry standard! **#SCCEcei** **#SCCE2014** @RoySnellSCCE

 **Compliance Insider** @complyinsider · Sep 17  
**#scce2014** set the benchmark for successful events. Many thanks to @RoySnellSCCE & staff for making @complyinsider feel so welcome **#SCCEcei**

 **CarrieOn** @BlogCarrieOn · Sep 15  
As a new professional so excited for all the @SCCE is doing! **#SCCEcei**  
**#SCCE2014**

 **Fran Norris** @franbnorris · 1h  
Any one else going through SCCE conference withdrawal ?**#SCCEcei**

 **Adam Turteltaub** @AdamTurteltaub · Sep 16  
2 kinds of influence says @RoySnellSCCE @SCCE **#SCCEcei** : The influence you have & influence you leverage through others.

 **Thomas Seymour** @Fletsey · Sep 16  
**#SCCEcei** the conference is fantastic  
Chicago, IL



**May Jane Coulson W.** @MayJaneCoulson · Sep 16  
 #SCCEcei Congrats to the organizers! Well done! A High-level event for Compliance & Ethics Professionals!



**Cheyenne Laschell** @lalioness76 · Sep 16  
 At the 2014 SCCE Annual Compliance & Ethics Institute in Chi. 1st year attending so good ready to register for 2015 in Las Vegas! #SCCEcei



**fostergrant1** @fostergrant1 · Sep 16  
 If you rely on hotlines to learn about unethical conduct, you won't know the full picture. #sccceci



**DeAnna Nwankwo** @dnwankwo1 · Sep 16  
 #SCCEcei the iPad wall was innovative and interactive. It made our CEI experience FUN [instagram.com/p/tBZx8FB9eS/](http://instagram.com/p/tBZx8FB9eS/)



**Anne Marie Logarta** @ethicsgeek · Sep 16  
 #SCCE2014 #SCCEcei If you didn't document, the compliance activity didn't happen - Gov't C'tracts [pic.twitter.com/E8WVqgAMaz](http://pic.twitter.com/E8WVqgAMaz)



**Jabu Sengova** @Jabs1116 · Sep 16  
 Great panel discussion on anti-corruption compliance challenges related to high risk regions of the world. #SCCE2014 #SCCEcei



**Jane L Mitchell** @JMitchComms · Sep 16  
 #SCCEcei if you think your company is ethical - Great! Just don't get complacent and be mindful of quiet signals



**The FCPA Report** @TheFCPARreport · Sep 16  
 Having a great time at #SCCEcei - keep an eye out for upcoming articles discussing key conference takeaways.

by Kortney Nordrum

# TweetUp & “Appy” Hour

This year’s TweetUp & “Appy” Hour was a huge success! Attendees learned about SCCE’s mobile app, Twitter, and Instagram, with more than 125 attendees networking, socializing, and sending their first tweets. Since more than 75% of CEI attendees used their mobile devices for social networking, it was a great opportunity to connect with other tech-savvy compliance professionals and have some fun. \*





**May Jane Coulson W.** @MayJaneCoulson · Sep 16  
 #SCCEcei Always do your job with commitment, passion, responsibility and integrity.



**Jason B. Meyer** @MeyerJasonB · Sep 17  
 Quote of day from Katherine Franklin: "No one is allowed to be a five-year-old in the workplace!" #SCCEcei cc @LittlerNews



**Al Gagne** @algagne53 · 22h  
 Another great #SCCEcei Conference! They just get better and better each year! Well done everyone!



**Cris Mattoon** @crismattoon · 22h  
 The kind, committed & knowledgeable Compliance & Ethics professionals I've spent this week with underscore the great value of #SCCEcei



**Betseyk** @Betseyk · 23h  
 On shuttle back to reality. Now the work starts. Thank you #SCCEcei and staff and presenters and fellow participants. Regains my #hope



**Jabu Sengova** @Jabs1116 · Sep 17  
 One of the best conferences I've been to. Wealth of information in my field. Thanks to all the organizers!! #SCCEcei



**Andrea Mogab** @amm24601 · Sep 17  
 Conf was a super grand time. learned so much, it felt good to know I have so many committed and inspired colleagues in this field. #SCCEcei



**Janine Yancey** @jyancey · Sep 16  
 "When creating a compliance program, you need to build in a vehicle for people to feel heard." Fantastic tips at #SCCEcei



**Courtney** @courtneyasander · Sep 16  
 Enjoyed #CEIvolunteer project and introducing session speakers #SCCEcei I love getting involved w/ this fab org! Thx @SCCE



**Margaret Hambleton** @mhambleton1 · Sep 16  
 I learn so much going to the sessions, but the networking is the best. Thanks to all my new friends who shared lunch with me. #SCCEcei





**Kasey Ingram** @KTI44139 · Sep 15

@SCCE #SCCEcei Just learned that key to lie detection is letting people talk and asking for lots of detail



**Kym Creekmore** @kymmiej123 · Sep 17

Wish you all could be here. Inspired #SCCEcei

Expand



**Amy Hutchens** @EthiVenger · 21h

#SCCEcei @SCCE another FANTASTIC conference with superb sessions and even better people. #lovethisprofession



**Anne Marie Logarta** @ethicsgeek · Sep 17

@RoySnellSCCE CEO - Congratulations #SCCEcei #SCCE2014 for a great conference in Chicago! pic.twitter.com/E0QvHZg6JM



**Jeff Thinnes** @JeffThinnes · Sep 17

1500 people gathered at #SCCEcei committed to promoting Ethics & Compliance now returning to jobs more informed, energized and networked!



**Leigh Adams** @phloxi · Sep 16

#SCCEcei ready set measure. Created my own metrics track here from the diverse offerings at the excellent SCCE CEI.



**Francesca Lulgjuraj** @cescalul · Sep 16

Going to write an article on my excellent experience at the annual conference #SCCEcei



**Courtney** @courtnejasander · Sep 14

iPad wall at #SCCE2014 is the Hollywood Squares of E&C.

Expand

★ Favorited



**i-Sight Software** @isightsoftware · Sep 16

Internal whistleblowers still entitled to anti-retaliation protection even if they don't report to SEC: Sean McKessy, SEC #SCCEcei

by Taci Tolzman

# iPad Wall a “huge” success

**F**or the first time ever used in this capacity, the iPad Wall came to the USA and was showcased at the 2014 Compliance & Ethics Institute. The community wall inspired attendee participation and engagement at the conference. Attendees answered a few quick questions and took a selfie. Check out the fun selfies (and photobombs) along with some of the most popular answers from the SCCE iPad wall.



## A compliance professional should always...

- ▶ Make ethical decisions in all aspects of their life.
- ▶ Listen.
- ▶ Have a sense of humor!
- ▶ Educate.
- ▶ Know what is right.
- ▶ Lead by example.
- ▶ Smile.
- ▶ Be a partner to management.
- ▶ Do the right thing.
- ▶ Come to the CEI.
- ▶ Be approachable.
- ▶ Be interested in current regulations.
- ▶ Be ready with an open mind.
- ▶ Be authentic.
- ▶ Keep the health of the company in mind.
- ▶ Act with integrity.
- ▶ Stay true to oneself.
- ▶ Be the “go to” person.
- ▶ Use their resources.
- ▶ Talk and train.
- ▶ Find truth.
- ▶ Be ethical.
- ▶ Keep up with current trends.
- ▶ Be ethical in their own activities and do their part to set the tone for the company.
- ▶ Be flexible and creative.
- ▶ Listen before deciding.
- ▶ Avoid saying “always.”
- ▶ Be observant.
- ▶ Be ethical and adhere to relevant guiding principles.
- ▶ Be proactive.
- ▶ Be patient and enthusiastic.
- ▶ Be firm, but fair and ethical.
- ▶ Love challenge!
- ▶ Be able to adapt to different environments, while maintaining purposeful organizational objectives.
- ▶ Educate themselves.

### A compliance professional should never...

- ▶ Assume.
- ▶ Stop working hard.
- ▶ Feel intimidated.
- ▶ Ignore your gut.
- ▶ Be deceptive.
- ▶ Lie.
- ▶ Say no without an explanation.
- ▶ Underestimate our combined power and influence.
- ▶ Stop learning.
- ▶ Be a bad example.
- ▶ Miss the CEI!
- ▶ Stop trying.
- ▶ Set a poor example for their company employees.
- ▶ Never think they're finished.
- ▶ Compromise.
- ▶ Think they know everything.
- ▶ Lose their sense of humor.
- ▶ Give up!
- ▶ Be inflexible.
- ▶ Mislead others.
- ▶ Overlook misconduct.
- ▶ Do it alone.
- ▶ Be closed-minded.
- ▶ Judge.
- ▶ Fail to look at overall risks and rank them.
- ▶ Be unapproachable.
- ▶ Take anything for granted.
- ▶ Make up answers. Just ask.
- ▶ Act unethically.
- ▶ Stop training.
- ▶ Compromise their independence.
- ▶ Be arrogant.
- ▶ Be dishonest.
- ▶ Violate their own policies.
- ▶ Support unethical activity.
- ▶ Say yes when they should say no.
- ▶ Forget what a positive force they can be!



### One tip I think every compliance professional should know is...

- ▶ Make yourself accessible.
- ▶ Never let your guard down.
- ▶ Be a communicator!
- ▶ Ethics goes as far as the horizon.
- ▶ Be humble and caring.
- ▶ Listen first.
- ▶ How to collaborate with the business areas.
- ▶ Be credible.
- ▶ Never stop learning or trying.
  - ▶ Be authentic.
  - ▶ Love what you do and it will make even the hard work fun!
  - ▶ Be true to yourself.
  - ▶ Passion is okay.
  - ▶ A problem could be solved in many different ways.
  - ▶ Don't take it personally.
  - ▶ Interpersonal relationships are important.
- ▶ Understand what business folks objective is and show them how they can get there doing the right thing or better yet be part of their solution. Also keep local culture at the forefront of everything you do.
- ▶ Work with your team.
- ▶ Build relationships with the business leaders.
- ▶ You just have to start somewhere, but start.
- ▶ Keep calm and carry on.
- ▶ Have patience.
- ▶ Take tasks in pieces. Progress toward perfection.
- ▶ Keep it fun! \*



**Jonathan Armstrong** @armstrongjp · Sep 15  
 Another good FBI briefing at @scee #**SCCEcei** - having a CISO/CPO in place saves an avg of \$13 per record in event of #databreach #infosec



**Barb Stockman** @MrsBarbStockman · Sep 15  
 Loved the COI session. Identified many process improvements for my organization, #**SCCEcei**



**Christine W.** @cjehawks · Sep 15  
 @SCCE Excited that I keep running into compliance colleagues whom I met at previous CEIs. #**SCCEcei**



**Fran Norris** @franbnorris · 1h  
 Any one else going through SCCE conference withdrawal ?#**SCCEcei**



**Aaron** @KenoAaron · Sep 16  
 Smiley faces can help change and reinforce behavior #**SCCEcei**  
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**Sophie Marlange** @LaborSophie · Sep 16  
 Companies are always afraid of new stuff (printers, computers, emails) and they got use to it. Will be the same for social media #**SCCEcei**



**Cris Mattoon** @crismattoon · Sep 16  
 @AdamTurteltaub brings great humor and useful information to Social Media session. #**SCCEcei**



**Chris Caron** @chriscaron · Sep 16  
 Deep detail on conducting interviews by Michele Yaroma of the FBI! Lot of great advice. #**SCCEcei**



**Mike Brown** @DMBROWNINFORTAL · Sep 16  
 #SCCEcei Small company, Big shoes: terrific stories- real world size!  
 Expand



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**Angela Giroux** @ADGiroux · Sep 16  
 James Comey was fantastic yesterday. As was Michael Johnson! @SCCE  
 #SCCEcei



**Betseyk** @Betseyk · Sep 15  
 Marjorie Doyle reminds us that compliance professionals need to have FUN.  
 #succeeding #SCCEcei



**Cheyenne Laschell** @lalioness76 · Sep 16  
 This general session on "Influence" alone worth the price of admission! SCCE  
 2014 Annual Conference #SCCEcei



**Andrea Mogab** @amm24601 · Sep 16  
 Great pig story!!! #SCCEcei  
 Chicago, IL



**Rochelle Merino** @roemerino · Sep 16  
 Had a wonderful experience at my first SCCE conference. #SCCEcei  
 @JAFConsulting @jocolantonio



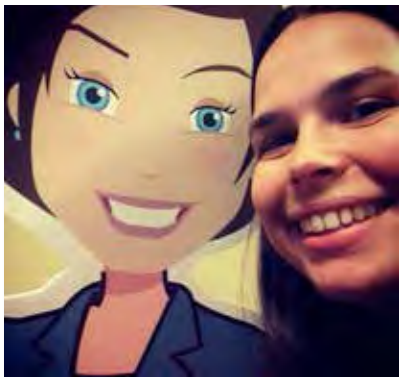
**Janine Yancey** @jyancey · Sep 16  
 Great quotes from #SCCEcei "Primary motivation of whistleblowers is not money.  
 It's frustration of not being heard."

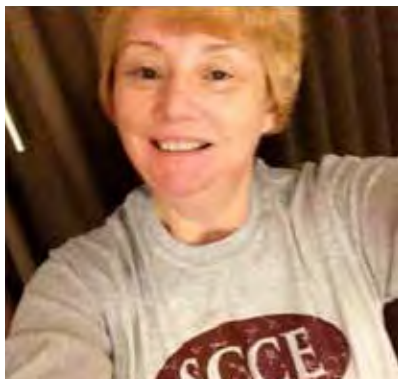


**Scott Thomas-Forss** @sfforss · Sep 16  
 I want to "stop the swirl". Great session on influence @RoySnellSCCE and Jenni  
 O'Brien. #SCCEcei

# 2014 Compliance & Ethics Institute

# Instagram Selfies





by Lizza Catalono

# Ribbons are a great icebreaker

Each year CEI attendees get excited to share and network with one another. One icebreaker is the ribbons we allow you to affix to your name badge. You select ribbons and wear as many as you like! We have the usual Speaker, Member, Board, and designation ribbons, but in addition, we offer what our staff calls “fun” ribbons. These ribbons really get people laughing and talking with one another quite easily. Some of the many choices include:

- ▶ Trouble Maker
- ▶ Comply or Die
- ▶ Roy’s Favorite
- ▶ Courage
- ▶ I Color Outside the Lines
- ▶ Stressed
- ▶ Been There, Done That
- ▶ Happy to Be Here
- ▶ Big Cheese

We even collected your ideas on a clipboard for next year! Come to the 2015 CEI in Las Vegas and find out if your suggestion made the cut! \*





by Kasey T. Ingram, JD, CCEP

# The Compliance & Ethics Institute—It's about building relationships

**A**s a first-time attendee to SCCE's Compliance & Ethics Institute, I initially focused on what technical information I could obtain by attending. What I learned, however, is that the relationships formed by interacting with my fellow compliance professionals created a greater impact on my personal and professional life than I ever could have received from the substantive materials alone.

As soon as I arrived on Sunday, there was a networking reception. I had difficulty getting through the crowd, but not for the reason you would expect. What held me up was the fact that everyone was so friendly. Regardless of whether I knew the person or not, everyone I met had an open, warm smile and spoke to me like a colleague, not a stranger. This experience was repeated during the multiple networking breaks and lunches.

Even the general sessions focused on the importance of relationships. FBI Director Comey reiterated the need for a strong working relationship between the private sector and the FBI. Marianne Jennings discussed the need to connect with the younger generation to correct some of the misconceptions that exist regarding ethical behavior. Finally, Roy Snell and Jenny O'Brien explained that being a successful compliance officer requires influence. Their tips on building influence through relationships and personal interactions proved invaluable.

Those same tips continued throughout the individual sessions. Virginia MacSuibhne outlined daily actions each of us can take to increase our influence. Many of those tips emphasized the importance of making others feel special, which increases both relationship and influence. Even in a technical area like conflicts of interest, Rebecca Walker reminded us that all of our decisions must be made with the knowledge that we are intruding on people's personal lives. Keeping in mind the personal impact of our decisions will make us more effective compliance leaders.

For me, however, the International Compliance & Ethics Awards Dinner truly illustrated the importance of relationships. There were several hundred people in the room, but the atmosphere seemed very intimate. The setting resembled more of a family meal than an institutional dinner. That feeling became even more pronounced with the last award of the evening. Hearing Donna Boehme describe how her desire to be at this year's Compliance & Ethics Institute led her to fight back from a stroke showed me the true significance of the relationships that exist within the Compliance profession.

I am proud to be part of this organization, and I cannot wait to attend next year's event in Las Vegas, just so I can see all my new friends again. Hopefully you will join us. \*

*Kasey Ingram (ingramk@iskamericas.com) is General Counsel of ISK Americas Incorporated in Concord, OH.*

by Gwendolyn Hassan

# Finding my “tribe”

Although I attended many wonderful sessions at this year’s CEI (I especially enjoyed learning about the investigation process Dell uses!), I thought I would share a more personal perspective on the CEI.

This was the third SCCE Compliance & Ethics Institute I have attended. I vividly remember walking into my first CEI a couple of years ago and being a bit overwhelmed by how many people there were and how they all seemed to know each other. It was terribly impressive, but also just the slightest bit intimidating.

It reminded me vaguely of the feeling I had on the first day of middle school. My family moved the summer between 5<sup>th</sup> and 6<sup>th</sup> grade for me, so I started middle school quite literally without knowing a soul. I remember that nervous dread of walking into a school with hundreds of kids who already knew each other and already had long-standing friendships. I felt like an outsider; like they were all looking at me wondering who the “new girl” was. It didn’t take long though, and soon, just as my mother had promised, I found my middle school “tribe”—a group of friends who loved music, David Cassidy, and Nancy Drew mysteries just as much as I did.

I reflected on that feeling just after this year’s opening session of the CEI as I waited in the hallway to meet up with my lunch companions for that day. We had chosen a meeting spot to ensure we could all sit at the same table together. I realized how



much had changed over my two years as an SCCE member how quickly I had found another “tribe.”

Although I started out in compliance knowing “no one,” I have now found a group of professionals just as interested in talking about corruption prevention, investigation plans, and trade compliance as I am—a group of people just as passionate about choosing the right third party diligence tool and benchmarking training metrics as I am. I found them through SCCE and the annual CEI. I went from knowing “no one” in compliance to walking between sessions at the SCCE CEI with regular stops for hugs and greetings from people across the country, indeed the world, who I now count as both colleagues and friends. What an invaluable experience, a wonderful conference, and a wonderful organization! \*

*Gwendolyn Hassan (gwenhassan@yahoo.com) is Managing Attorney, Compliance & Regulatory for Liat Industrial, CNH in Oak Park, IL.*

by Edina Robinson

# Five friends reunite at the CEI

*"It takes a long time to grow an old friend."*

— John Leonard

The Compliance & Ethics Institute was not only a conference full of dynamic speakers, vendor resources, and a wealth of invaluable information, but it provided the backdrop for an Academy Reunion three years in the making. Five CCEP individuals who met and became fast friends during the 2011 Scottsdale, Arizona Basic Compliance & Ethics Academy were able to reunite during the CEI. What a time the five of us had reconnecting and sharing stories of family, work, and reminiscing about Scottsdale and the Academy.

The CEI was the first time the five had seen each other since Scottsdale, but it was not the

first time many of us had spoken. The Scottsdale group kept in touch over the years and was often called upon by one of the group members to provide input on a process, benchmarking data, or even complete a survey on a conflicts-of-interest process. These five professionals and friends can be counted on to weigh in on how to conduct a risk assessment, give advice on building a training matrix, develop a policy, and even share their company's code of conduct.

The Academy provided the venue but Amy, Anne, Edina, Jacki, and Linda made an intentional effort to keep the ties. We will forever be fellow compliance professionals, but better than that, we will always be friends. \*

*Edina Robinson (edina.robinson@kcpl.com) is Corporate Compliance Manager for KCP&L in Kansas City, MO.*



by Adam Turteltaub

# Tailgating at the CEI

The annual Tailgate Reception, sponsored by NAVEX Global, kicked off the Compliance & Ethics Institute on Sunday night, September 14. Team colors and logos were all on display, whether for a favorite college, professional, or kid's softball team. Each year, it's a fun event that helps break the ice and gets the conversation started. And, to make sure the conversations don't go out of bounds, the SCCE staff is there wearing referee shirts. \*



With 1,500 people, including exhibitors, in attendance, the business cards were going back and forth like crazy. The SpeedNetworking event was well attended, and both mentors and mentees made valuable connections at the SpeedMentoring opportunity. Other highlights included a tailgate-themed reception to kick off the CEI, and numerous breaks throughout the day. Monday night saw back-to-back opportunities with a reception followed by the International Awards Dinner and 10<sup>th</sup> Anniversary celebration.

— Adam Turteltaub



by Charles L. Pourciau, Jr.

# My SpeedNetworking & SpeedMentoring experiences

As I headed down to the SCCE SpeedNetworking event at 7:15 a.m., I prayed that they would have coffee. With my prayers answered and a cup of coffee in hand, I checked in and found my first table. After reading the listing of who I would meet in the next hour, I was excited about the new people I would meet from international and US companies. What problems could they have that I could help them solve? The answers came fast and furious. With only six minutes for both of us to speak, each of us said a lot in three minutes. That time flew by fast. Then it was off to find the next table in 60 seconds. Some of the topics covered in these brief meetings were how to prepare for the CCEP exam, how to setup a new program, and justifying SCCE dues and attendance at the CEI. When the facilitator tolled the hour, the number of meetings I had conducted and the hoarseness of my voice both surprised me. Once I re-hydrated with the available water, I was ready to meet more people.

At the end of the SpeedNetworking sessions, the facilitator announced that they needed mentors to volunteer for the SpeedMentoring. I volunteered. Having an opportunity to listen to the mentees talk about their issues and be able to provide advice or an insight from my career was rewarding. The mentees seemed grateful to hear about an idea or perspective that was new to them. Again, meeting people from different disciplines,

companies, and government made this event most interesting. Since mentors did not have to change tables, I had a few seconds to make follow-up notes before the next mentee sat down. A surprise occurred when two mentees from the same company appeared at my table at the same time. It was interesting to listen to two people at the same time. Thankfully, they coordinated their communication efforts well and we had a good, but too brief, session.



Both events remind me that many of the problems we face as ethics and compliance professionals, other ethics and compliance professionals have already solved. Both SpeedNetworking and SpeedMentoring foster the knowledge sharing that SCCE promotes in so many other ways. Thank you SCCE. \*

*Charles L. Pourciau, Jr. (cpourciau@pallc.biz) is Chief Ethics Compliance Officer at Pourciau & Associates LLC in Lititz, PA.*

SpeedNetworking is a highlight of the Compliance & Ethics Institute each year. First, participants identified their compliance-related interests online. A special matching engine then matched them with other participants. SpeedNetworkers moved around the room every few minutes for a series of introductions with their matches. It's a fun, fast way to build out your network with not just compliance and ethics officers, but with people who share your compliance risks and experiences.

— Adam Turteltaub



by Stephanie Tipton

# SpeedMentoring

I was a newbie. Yes, a newbie in all senses of the word: New to ethics and compliance, new to the SCCE, new to the Compliance & Ethics Institute, and new to SpeedMentoring. For these reasons, as well as a desire to connect with experienced ethics and compliance practitioners, I enthusiastically signed-up for SpeedMentoring, which was held during the pre-conference activities on Sunday, September 14, 2014.

After perusing the schedule of mentors I was to meet over the next five, 12-minute rounds, I anxiously awaited the arrival of my first mentor—Dan Roach. Wait, *the* Dan Roach? The Dan Roach who is co-chair of the SCCE Advisory Board? Wow. The event organizers were *really* throwing the best of the best my way. I felt slightly intimidated, but by the time Dan arrived, he put me at ease and I launched into my battery of questions. I say launched because within 12 minutes, I had to ensure I got most of my key questions answered and had begun to forge a relationship that would continue past these 12 minutes.

I realized quickly that to use those 12 minutes most effectively, I had to focus on one area to spur conversation. The materials provided for the event to all participants, in particular, the “Ask Me About?” topics accompanying each mentor’s bio, were excellent tools to get the conversation started. The event staff kept us focused on the time at hand, adeptly moving the mentees through their rotations of mentors. The pace was frenetic but

lent itself to quick connection and a sense of shared experience amongst all participants.

While I was not paired with a mentor for each round, I still had the opportunity to network, during my “off” rounds, with peers who were each equally accomplished in their own right. As someone focused on government ethics and compliance, I was able to learn from individuals in such varied sectors as healthcare and manufacturing.



The value of SpeedMentoring lies not in those 12 minutes with your assigned mentor, but beyond. I know there are multiple ethics and compliance professionals that I am now able to look to for advice and guidance. The mentors gave us mentees an hour, and now the ball is in our court. It is now our opportunity to continue the conversation and learning. And, who knows? Maybe this newbie will be a mentor soon enough. \*

*Stephanie Tipton* ([stephanie.tipton@phila.gov](mailto:stephanie.tipton@phila.gov)) is Deputy Chief Integrity Officer at City of Philadelphia, PA.



One of the most common requests the SCCE receives is for mentoring opportunities. The SpeedMentoring program helps meet this need, and does so in a fun, fast-paced way. Participants sign up in advance to be either mentors or mentees. Then, at the live event, they are paired for a series of short, introductory discussions with people with matching profiles. Each mentee met with a minimum of two potential mentors and had the opportunity to lay the groundwork for future opportunities to learn from more experienced compliance pros. And, for the mentors, it's a great opportunity to contribute to the growth of the next generation of compliance and ethics leaders.

— Adam Turteltaub



by Al Gagne

# Advice from a SpeedMentor

Recently I had the pleasure to participate in this year's SpeedMentoring session as a mentor. The buzz in the room was awesome. It was amazing how quickly the hour flew by, meeting six new colleagues, each eager to obtain some advice to help them improve their ethics and compliance programs.

Many of the mentees who met with me were fairly new to their positions as compliance officers and were looking for suggestions to help them in meeting and influencing the senior management team in their respective organizations. My advice was simple and very similar to the process used for the SpeedMentoring session.

I asked them to consider scheduling brief 15-minute meetings with each member of the senior management team to help them break the ice. Then prepare two or three questions for the senior manager that focus on the ethics, legal, and compliance risks associated with their respective area of responsibility. Ask them specifically, "What keeps you up a night when it comes to your job responsibilities?" Also ask them, "What can I do to help mitigate those compliance risks in your organization?"

With the new information in hand, prepare a brief compliance action plan to address the concerns raised by the senior manager. Schedule a follow-up meeting with him or her to discuss the action plan, and seek additional input and support for its implementation. Going forward, communicate progress to the plan either by phone, email, or brief meetings. Over time you

will gain their trust and build support for other ethics and compliance initiatives that end up on your plate.



Basically, it's all about focusing on the internal customer and getting them to recognize those compliance risks which you can help them mitigate. After all, they own Compliance, and you are there to help them assure they and the people who report to them are doing their jobs ethically and in compliance with the law and company policy and procedures.

The SpeedMentoring session was truly time well spent. Having worked almost 40 years in ethics and compliance-related positions for the same company, it felt good being able to share some of my experiences with my new friends and colleagues. I am already looking forward to next year's SCCE CEI and participating once again in the SpeedMentoring session. \*

*Al Gagne (Algagne53@gmail.com) is Former Director Ethics & Compliance from Salem, NH.*

# Become a mentor. Find a mentor. Connect with your peers.

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**Want to give back to the profession by sharing your expertise?** Sign up to be a mentor. When you come to the SpeedMentoring session you'll be connected face-to-face with compliance professionals looking for an experienced practitioner to guide them.



**Looking for a mentor?** The SpeedMentoring session is the place to meet one-on-one with potential mentors.

Whichever option you choose, you are in control of the people you will connect with! Both events offer seven individual one-on-one meetings and provide an excellent opportunity to learn from one another and initiate long-lasting professional relationships.



Learn more at  
[www.complianceethicsinstitute.org/speedmentors](http://www.complianceethicsinstitute.org/speedmentors)

We welcome all attendees of the 14<sup>th</sup> Annual Compliance & Ethics Institute to participate. The events are specifically focused on sharing knowledge and information relating to compliance and ethics. We respectfully request no solicitation of services or products during these sessions.

\*A maximum of 1.5 CCB credits for networking may be awarded per year

by Paula Saddler

# Yoga sessions were excellent

**B**ill, who owns the company that provides the instructors, explained that taking a yoga class is a comfortable way to connect with other attendees throughout the day, especially if one is shy.

The instructors, Maria and Rosemary, were excellent. On Monday, upon hearing that Maria's nickname was "the pretzel," I decided that if I could not follow Maria, I would adjust the poses as demonstrated by Rosemary. Maria, as the lead instructor, began in easy seated pose with crossed legs. Then we rose to our knees and did cats and cows. Next, we began a sequence with downward facing dog that progressed to standing on one leg while raising the other one. Then Maria bent her knee on the lifted leg and assumed a posture most of us could not attain. After Maria untwisted her body and resumed the regular downward facing dog; I rejoined the flow of postures. Finally, we stretched out for a soothing deep relaxation.

For Tuesday, the instructors modified the routines and most of us did them easily. Rosemary was now the lead instructor with Maria assisting. We did mountain and chair poses and the sun salutation series coordinated with our breath.

Overall the experience was wonderful. The SCCE also arranged for breakfast for us right outside the room, and we even got to keep the yoga mats at the end. Thank you to the SCCE staff for giving us the yoga classes at the CEI!

Here is what some of the attendees said about the yoga classes:

*"I regularly practice yoga four times each week. I was delighted to be able to practice during the CEI with such wonderful teachers and connect with other yoginis and a few brave yogis."* — Sharon Anderson from Montana



*"This was the first time that I had done yoga and I loved it. It was a nice way to get my body moving and I felt throughout the rest of the day that I was wide awake and ready to go. I also loved that they had breakfast for us after the sessions. The instructors were excellent."* — Amy Lilly

*"I liked the yoga class. At the end one of the instructors gave me a head and temple massage that was very nice."* — Stephanie Wemer

*"This was my first time doing yoga. I liked the meditation at the end with the white light, so now I am going to start taking yoga."* — Suzette from Philadelphia \*

**Paula Saddler** (info@hudson-ethicsconsulting.com) is Principal at Hudson-Ethics Consulting in Bronx, NY.

The 13<sup>th</sup> Annual Compliance & Ethics Institute attendees exercised their bodies with morning yoga before exercising their minds during educational sessions. This year marked the second year that SCCE offered yoga before sessions at the annual meeting, and more and more people showed up to take advantage of yet another networking opportunity.

— Katie Burk



by Liz Hergert

# Academies Reunion and Authors' Reception

**A**s we celebrated the 10<sup>th</sup> Anniversary of SCCE, the annual Compliance & Ethics Institute was a place to reunite! At our annual Academies Reunion, attendees of our past Compliance & Ethics Academies were able to catch up over appetizers and drinks. We also held our Authors' Reception during this time. People who have contributed articles to SCCE's publication, *Compliance & Ethics Professional*, and those interested in getting started, gathered to brainstorm ideas. Some of our most regular contributors, such as our columnists, helped our newcomers feel welcome and get acquainted with the process. \*



# 2014

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# SESSION AUDIO RECORDINGS ORDER FORM

Compliance & Ethics Institute | September 14–17, 2014 | Hyatt Regency Chicago | Chicago, IL

NAME \_\_\_\_\_  
*(please type or print)*

If you are ordering individual sessions, please check the box by each session you wish to purchase.

## Pre-Conference

- P1** Ethics & Compliance Risk Management 101: Program Essentials and Effective Practice
- P2** Don't Let Culture Happen to You: Understanding and Leveraging Your Culture for Ethics & Compliance Effectiveness
- P3** Seven Years of Intimidation and Fraud... Aftermath of a Rogue Leader
- P4** Emerging Markets and Integrity Risk Management
- P6** Compliance 101
- P7: Part I** Investigations Workshop – Beginning the Investigation and Interviewing the Reporter
- P7: Part II** Investigations Workshop – Planning the Investigation
- P7: Part III** Investigations Workshop – Taking Effective Interviews
- P8** Effectively Managing Corruption and Bribery Risk in Leading Global Markets: Advanced Practice Workshop
- P10** Fostering a Speak Up Culture: An Orbital Sciences Corporation Case Study
- P11** When Cultures Collide
- P12** New Mandate, New Mindset: Making a Successful Transition Into a Compliance & Ethics Career (What Lawyers, In-House Counsel & Others in Transition Need To Know)
- P14: Part IV (continued from P7)** Investigations Workshop – Revealing and Analyzing Documents
- P14: Part V (continued from P7)** Investigations Workshop – Preparing the Investigation Report
- P14: Part VI (continued from P7)** Investigations Workshop – Q&A Panel

## Conference

- 101** Conflicts of Interest: Identifying Risks and Mitigating Harm without Unnecessary Restrictions
- 102** How to Conduct a Successful, Educational and Entertaining Ethics Day Program
- 103** Driving Business Accountability: Leveraging Investigation Learnings to Improve Compliance Programs
- 104** Preventing Misconduct through Proper Due Diligence in Asia
- 105** This House Believes that Lawyers Make Excellent Compliance Officers: Oxford Union-Style Interactive Debate.
- 106** Proactively Detect Identity Theft and Privacy Breaches by Insiders
- 107** How To Identify Risky Behaviors that are Predictive of Ethical Misconduct
- 108** Justifying a Compliance Budget Increase in a Time of Scarcity
- 201** Cyber-Security Risk in the Global Organization: Trends, Challenges and Strategies for Effective Management
- 202** Accountability - If Everyone Wants It, Why is It So Hard to Get?
- 203** Strengthening an Ethics & Compliance Program While Under a Government Investigation: A Gallup case study.
- 204** Case Study: Building an International Compliance Programme
- 205** Three Things You Need to Know About M&A Ethics Integration
- 206** How to Measure the Effectiveness of Your Ethics and Compliance Program
- 207** Hot Off the Presses: 2014 RAND Symposium Report: Compliance 3.0 - Shaping a New Paradigm for Boards, Management, CCOs and Government

- 301** Global Antitrust Compliance and Risk—Creating an Effective Program
- 302** Culture Shift: Moving From a Check-the-Box Mentality to One of Ethical Performance
- 303** The Compliance “Speed Trap”
- 304** Anticorruption at the Crossroads in Europe
- 305** Legal Ethics for Compliance Lawyers
- 306** Nudge-using latest findings from behavioral economics, choice, and framing work to encourage and support compliance programs and compliant behavior
- 307** Managing the Costs of Misconduct: The New Normal of Investigations, Voluntary Disclosures and Enforcement
- 308** Strengthening Your Ethics & Compliance Program with Tone from the Middle
- 401** Global Privacy and Data Protection Risk: Implementing Best Practices Now to Comply with Impending Regulatory Changes
- 402** Ethical Decision-Making: Managing the Grey Area Between “Legal” and “Right”
- 403** Training and Communicating With a Global Workforce
- 404** Minimizing Bribery Risks in Brazil: A Complete Review of the Legislative Landscape and How to Address Corruption Risks in Your Operations in Brazil
- 405** Implementing Compliance Programs in a Consensus Culture
- 407** Pay-to-Play Pitfalls: A Rising Threat to Your Business Plan
- 408** Nuts and Bolts of Creating Effective Video for Ethics Training

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**SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS**



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## Conference Continued

- General Session** – Influencing Decision-Making
- 501** Government Contracting and Relationships: Challenges, Opportunities and Effective Management of Risk
- 502** How to Build a Corporate Ethical Culture to Improve Compliance and Prevent Fraud
- 504** Anti-Corruption Compliance Challenges—the Cost of Doing Business in High Risk Regions of the World
- 505** Are Your Corporate Contract Clauses Running Offense and Defense for Your Compliance Program?
- 506** Bring Your Own Device (BYOD) - They are here and they are not going away. Understanding the benefits, risks and establishing a commonsense strategy for Personally Owned Devices (PODs) in the workplace
- 507** The Five Essential Elements of Corporate Compliance: A Practical Guide to an Effective Compliance Program As Seen Through the Eyes of a Compliance Officer, the DOJ and the SEC
- 508** What has the DOJ Communicated About Best Practices in 2014?
- 601** Global Records and Information Management Risk: Proactive and Practical Approaches to Effective Management
- 602** Creating and Sustaining a Values Based Organization: Key Factors Important to Embedding and Embodying Organizational Values
- 603** Managing Compliance Across an Outsourced Talent Supply Chain
- 604** Developing a Systemic Approach to Integrating Compliance in BRIC Countries
- 605** Compliance Program Officers and Counsel: How to Respond to Organizational Compliance Matters

- 606** From Shelfware to Software: Compliance Standards in the Era of 'Big Data'
- 607** What Compliance Professionals Can Learn From Behavioral Psychology: How To Get People to Do What You Want!
- 701** Managing Social Media Risk: Challenges and Opportunities
- 702** Unlocking the Positive Value of Ethical Behavior - a Practical Approach to Ethical Leadership
- 703** Small Company, Big Shoes
- 704** International Data Protection/Cybercrime: Conflict of Laws and Overlapping Sanctions in Different Jurisdictions
- 705** The Role of Legal in Compliance
- 706** Getting the Most out of Compliance Committees
- 707** Views from the Bench on Compliance & Ethics Programs
- 801** Strategies for Managing and Mitigating Global Trade Compliance Risk
- 802** The Alchemy of Ethics: Is Organizational Development (OD) the Catalyst That Will Enable You to Achieve the Gold Standard of Cultural Change in your Organization?
- 803** Making it Real – Tying Compensation to Compliance Using a Compliance Scorecard
- 804** Building an Effective Ethics & Compliance Training Program for a Diverse Multi-National Workforce
- 805** Cyber-Security Risk – IP Theft and Data Breaches: Protecting Your Crown Jewels Internally and with Key Third Parties
- 806** U.S. Immigration Law Compliance – Understanding and Minimizing Liability Risks
- 807** Connecting to the Remote and Transitional Workforce

## Post-Conference

- W1** Integrating Technology to Enhance Your E&C Program and Mitigate Risk: Finding the Right Fit
- W3** BP and the Deepwater Horizon Spill – Why BP Carried the Blame
- W5** Board Training: Ten Things to Ensure your Board Knows about Ethics & Compliance
- W6** Developing and Implementing a Thriving Compliance Program: Bird's Eye View vs. Fish Eye View
- W7** Advanced Risk Management Workshop: Tackling and Effectively Managing Your Top Ethics and Compliance Risks
- W8** Attract, Empower and Retain Ethical Employees
- W9** Employee Behavior Change Management Strategies: Case Studies on Getting Employees to Follow Compliance Programs
- W10** Practices & Pitfalls: The Global Investigation Of A U.S.-based Multinational
- W11** Professional Mentoring Panel
- W12** Building a Scalable Compliance Infrastructure: Leveraging A Liaison Network

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SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS

by Julie Pallozzi-Ruhm

# The British Invasion

If you missed “The British Invasion,” you missed my favorite SCCE CEI session ever. Chicago was my third SCCE CEI, but there I experienced my very first Oxford Union-style debate.

On Sunday evening at the Opening Reception in the Exhibit Hall, Debate Chair (and timekeeper) Jane Mitchell drummed up interest in the debate by passing out red, yellow, and green buttons.

The question: *This House Believes that Lawyers Make Excellent Compliance Officers.*

What do you think? Whether you already had an opinion or not, Jane encouraged you to attend the debate and see if you could be persuaded otherwise. Intrigued and with a strong opinion, I attended Monday’s debate.

The opening argument in favor of the question was masterfully presented with wit, humor, and, needless to say, a lovely British accent by Murray Grainger. Murray stepped the audience through seven key traits common—necessary even—to both the Legal and Compliance professions. He listed, for example, an understanding of the law, confidence, and the ability to articulate arguments.

Then Amii Barnard-Bahn eloquently argued against the question with the simple explanation that in order to be an effective compliance officer, one must overcome certain traits engrained in lawyers as part of their professional and educational training. Lawyers are trained to be adversarial and win arguments, whereas compliance officers must be influential and persuasive team builders.

Once the short opening arguments were presented, both sides were subjected to comments and questions. There were many



thoughtful and impassioned remarks on both sides of the question. Perhaps most memorable was the suggestion, after rattling off a long list of prominent female members of the Compliance profession, who also happen to be lawyers, that the question be modified to read:

*This House Believes that **Female** Lawyers Make Excellent Compliance Officers.*

This suggestion drew much cheering, but then it was time for closing arguments. Murray resorted to an emotional plea to all to please vote In Favor since, after all, it was his birthday. Amii took her argument Against to the next level by comparing the transformation a lawyer must undergo to be an excellent compliance officer to the metamorphosis of a caterpillar into a butterfly—not all caterpillars survive the process and in the end, a butterfly isn’t a caterpillar at all!

I proudly retained my yellow “I’m Voting Against” button, but what a fun way to exchange views! \*

*The views and opinions expressed are those of the author and do not reflect those of NSA/CSS.*

**Julie Pallozzi-Ruhm** ([ummfamily@hotmail.com](mailto:ummfamily@hotmail.com)) is Deputy Director of Compliance National Security Agency for the US Government in Ellicott City, MD.

by Ann Dunham, Margaret Steenrod, and Paula Saddler

# Hot topic: “How to Get the Most Out of Compliance Committees”

**W**e were pleased to have our proposal accepted to speak at this year’s Compliance & Ethics Institute in Chicago. We had volumes of material, but only an hour in which to present “How to Get the Most Out of Compliance Committees.” So we had to be concise and limit details in order to provide adequate time for questions at the end of the videotaped session.

It was rewarding to know that our efforts will help compliance professionals do a better job.

After speaking to the attentive audience of approximately 200 compliance professionals, we were gratified to learn from the positive feedback that our recommendations helped some to rethink their approach toward compliance committees. One attendee said that his company is in the planning stages and the information was incredibly timely. Another said she was pleased to learn that her organization’s approach coincided with our recommendations, and she planned to bring that message back to her company after the seminar. Another attendee spoke about her experience living through the industrial accident that we presented as a case study. It was rewarding to know that our efforts will help compliance professionals do a better job.

We are impressed with the opportunities SCCE provides participants to mingle and network, both in person at conferences and online through social media. Paula and Margaret met at the SCCE SpeedNetworking session a few years ago, then connected with Ann through *SCCEnet*. Paula lives in New York, Margaret in Seattle, and Ann in Hannibal, Missouri. Despite being on opposite ends of the country, we met frequently all year (via Skype and teleconferencing) to research, review, and analyze materials that went into our presentation. Our collaboration on this project is an excellent example of how SCCE is helping the Compliance profession evolve and improve, through synergy at the grassroots level.

Ann and Margaret, as HR professionals, wish to commend SCCE for excellence in its personnel management practices. The staff at SCCE exudes enthusiasm, helpfulness, and good humor, even in trying situations (Luan Brady, you were an angel for helping with the broken suitcase, and Lizza and Taci, you rock!). We thank ALL the staff for their support and guidance, not just at the conference but throughout the year. And we thank the SCCE for allowing us this wonderful opportunity to give back to the organization and to the Compliance and Ethics profession. \*

*Paula Saddler* (info@hudson-ethicsconsulting.com) is Principal at Hudson-Ethics Consulting in Bronx, NY. *Ann Dunham* (ann.dunham@hrhonline.org) is Compliance Officer at Hannibal Regional Healthcare System in Hannibal, MO. *Margaret Steenrod* (masteenrod@gmail.com) is Manager at Pacific Financial in Des Moines, WA.

by Michael Greenberg

# Hot off the press: Transforming Compliance— *The 2014 RAND Symposium Report*

**F**rom time to time, it's helpful for the Compliance and Ethics (C&E) field to engage in forward-looking, critical self-reflection. How and why might C&E practice look very different a decade from now than it does today? And how can compliance professionals contribute to shaping the field in a positive way?

These were questions addressed in a recent panel discussion at the 2014 Compliance and Ethics Institute, led by Michael Greenberg (RAND), Scott Killingsworth (Bryan Cave), and Michael Volkov (Volkov Law Group). The panel heralded the release of a 2014 RAND symposium report entitled "Transforming Compliance: Emerging Paradigms for Boards, Management, Compliance Officers, and Government."

Michael Greenberg gave a brief overview at CEI about the RAND C&E symposium series. In a sentence, the RAND series is designed to elicit path-breaking dialog on emerging topics in C&E, by bringing C&E experts together with prominent government officials, corporate directors, and executives. In the past, the series

has tackled issues ranging from whistleblower protection to C-suite-level compliance risk. Greenberg summarized the 2014 symposium as involving a critical look at vectors of transformational change now impacting on the Compliance field. He particularly spotlighted the emerging prominence of corporate reputational

risk as a problem for boards and top executives, and the potential for compliance officers to cast themselves as a solution to that problem.

Scott Killingsworth addressed private-to-private (P2P) compliance, as an example of a transformational trend in C&E that is already well underway. Killingsworth observed that P2P contrac-

tual obligations are proliferating through the supply chain with exponential growth, and thereby shifting the ecology of compliance within large organizations. He suggested several dimensions of impact, including an increasingly complex web of P2P obligations for firms, and also a shift in the operational role that compliance officers may be called upon to play. Killingsworth concluded with suggestions for shaping the P2P trend, in order

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to maximize positive impact while holding burden to a minimum.

Michael Volkov concluded with a discussion of the impact of the recent *Barko* case on evidentiary privilege, and the potential for impact on the relationship between the Compliance function and General Counsel. Volkov touched on technical questions about privilege, but then redirected focus to the importance of an independent compliance officer and the unique institutional contribution of that person, as contrasted with the role of General Counsel. Ultimately, Volkov

observed that effective compliance depends on achieving a balance between confidentiality and transparency—a balance that may be fundamentally threatened by an overly broad claim of privilege.

More details concerning this discussion can be found in the symposium report “Transforming Compliance: Emerging Paradigms for Boards, Management, Compliance Officers, and Government,” available for download at <http://bit.ly/1CYFZwr>. \*

*Michael Greenberg* ([michaelg@rand.org](mailto:michaelg@rand.org)) is Director, Center for Corporate Ethics And Governance at RAND Corporation in Pittsburgh, PA.

## ACTIVITIES

by Susan M. Korbal

# Desperately seeking certification

The last 14 months have brought me a new field of employment (Regulatory Compliance & Ethics), a new professional membership organization (SCCE), and a new methodology to assess and test my business understanding and knowledge (CCEP examination). Needless to say, it was with mixed emotions that I attended my first Compliance & Ethics Institute conference in Chicago last week.

From Monday’s “Cyber Security” general session conducted by James B. Comey, Director, FBI, through the “Preventing Retaliation: Ten Solid Steps to Create a Solid Speak-Up Culture” ethics track session on Wednesday, I was astounded at the top-notch presentations and the in-depth knowledge disseminated to attendees. Throughout this colorful montage

of education, the upcoming CCEP examination still caused a niggling nervousness that no well-intentioned colleagues or exciting presentations could calm.

Upon completing the CCEP examination, however, it is clear that what I retain from this conference is something invaluable and not measurable by mere exam results. In three weeks I will receive my certification results. Although I will be disappointed if I do not pass, I will not see it as a failure or shortcoming, but rather as an opportunity to continue to grow in an exciting field that, although challenging and demanding, provides individuals an ever changing view of the business environment. \*

*Susan Korbal* ([smkorb@aaamichigan.com](mailto:smkorb@aaamichigan.com)) is Ethics Program Manager at the Auto Club Group in Dearborn, MI.

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by Gary Devaan

# The Battle of Hope Manor One

 **Hope Manor  
Apartments**  
Provided by Volunteers of America

**O**n September 13, 2014, 34 dedicated SCCE compliance professionals gathered in an underground bunker to begin their battle against homelessness among United States veterans. At eleven-hundred hours, they boarded transport to Hope Manor One (HP1) where the struggle was to begin. Marine Captain Lucas Waldron, manager of HP1, issued orders and offered vital intelligence.

Hope Manor One is a two-year-old facility funded by the Veterans Administration and the Chicago Housing Authority (CHA). HP1 provides housing for 80 homeless veterans and assists with nutrition, medical, mental health, job placement, and other support services for veterans in need. Veterans can be referred by the VA or other local agencies or can apply for assistance directly. The only requirement is that they have served in the military.

The first mission was to maintain the landscaping around the perimeter of the building and to literally weed out the enemy.



Compliance officers crawled on their knees to find and eliminate weeds one by one, depositing their lifeless remains into plastic bags. It was ugly. "I love the smell of herbicide in the morning," was heard as veterans began to spray the ground to keep the enemy away for good. Then wheelbarrows and shovels began to move out and spread the mountain of mulch onto the beds the weeds had previously occupied, and new shrubs were planted. We all smelled like manure, but it felt good.







Another patrol was deployed inside the building to maintain doors in the common areas. Tape was applied to window frames, and battleship grey paint was applied liberally. When we were done, the mess area and latrine doors looked shipshape.

Our final mission was to clean the windows on the first floor. Crews were dispatched with buckets, sponges, and squeegees to clean the more than 20 glass surfaces with soapy water. Dirt from the street

was scraped from the windows one by one until the job was done.

At the end of the 3-hour mission, we had completed 90% of all the objectives, leaving only a small pile of mulch remaining to be deployed. We posed for memorial photos and received a hearty thank you from Capitan Lucas. On the truck back to the barracks, the mood was silent, shoulders and backs were sore, but no compliance professional should forget The Battle of Hope Manor One. \*

by Tedra Foster, JD, CCEP

# Volunteer project was “an amazing event”

**S**CCE's volunteer project was an amazing event, well organized from beginning to end, and had many parallels to what it often feels like to effectively navigate the ethics and compliance world. Thirty-four individuals arrived in a room eager to make a difference, and effectively contribute to something bigger than themselves. None of us had any idea of what we were going to do or how, but we knew we would figure it out as we go, by sharing information and partnering with one another.

The day was cool with a brisk wind that worked in our favor, since the manual labor would have many of us sweating in a few minutes. We were transported to a beautiful

facility named Hope Manor Apartments, which provides services to veterans. The facility handles every aspect of assistance, from counseling to clothes. It was very well maintained, and everyone living and working there was happy to have us.

Once there, we were given our mission—to help spruce up the exterior landscaping. In partnership with another group, Volunteers of America, we were given the tools (gloves, rakes, shovels, and wheelbarrows) needed to accomplish our mission. We broke down the work into smaller components (weed

removal, fertilizing, shoveling of mulch, planting of shrubs and roses, painting, and cleaning of windows) and divided our large group into teams, much like how compliance has many functions (auditing, monitoring, investigations, etc.).

While removing weeds, the correlation to compliance struck me. Compliance issues involve getting to the root cause, much like

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removing weeds. To be truly effective, you can't just treat what you see. You must address the root cause to eradicate it. Some of those weeds had very long roots and required extra time and strength to remove, much like some issues require more diligence. Everyone truly enjoyed the work they did and relished in the fact that

they contributed to making the outside of the facility as beautiful as the inside. Veteran Lucas Waldon, Manager of Resident Support Services, said, “You guys worked your butt off ...thank you from the bottom of our hearts.” D'Sean Harden, Assistant Property Manager, noted, “I love each and every one of you for coming out and helping our vets, because it starts with what they see visually coming in the door.”

Thanks SCCE for helping us to help others. That is what compliance is all about. \*

*Tedra Foster (tedraf@amgen.com) is Compliance Manager at Amgen in Newbury Park, CA.*

by Virna Di Palma

# Fighting the good fight: My journey from idealism to compliance

**A**lmost a decade ago I graduated from King's College London with a Master of Arts in International Peace and Security (IPS). To this day, it still gives me great pleasure to say that I earned an advanced degree in this field. Most people, however, wonder what in the world I actually studied and how it applies to the contemporary world. Indeed, IPS is unique and attracts individuals who are eager to make their mark socially, politically, or economically. Why did I choose this course of study over something more practical, like law for example? In short, I wanted to fight the good fight. Whatever that meant, which at the time was not very clear to me.

While I was completing my studies, I worked as a global security researcher for the London-based think tank Demos, where I focused on counter-radicalization (i.e., counter-terrorism). In a post-9/11 and -7/7 world, the work was fascinating and very rewarding, but I soon found myself yearning to return to New York, where I stumbled serendipitously on anti-corruption/FCPA compliance work. I had the good fortune of stepping into the industry in its infancy and of having the opportunity to develop the first international anti-bribery conferences in countries such as Russia, India,

Brazil, and the UAE. My international law and international relations background served my work well, and I was excited by the tangible impact I was having on the evolving field of Compliance. Interestingly enough, I was also able to draw on my counter-terrorism experience by applying counter-radicalization strategies to anti-bribery compliance.

[The CEI] remind[s] me that by working with companies to raise their compliance standards, I am making my mark...

Where am I going with all this? It's only in hindsight, and at events like the annual meeting of the Society of Corporate Compliance and Ethics (SCCE), that I am able to clearly see how connected compliance is to my seemingly obscure area of study. Conferences like this one remind me that by working with companies to raise their compliance standards, I am making my mark socially, politically, and economically. I hope my journey will inspire others who have a non-legal, less traditional background to pursue a career in the field of Compliance and to bring more idealism to this growing discipline.

I finally know what fighting the good fight means to me. \*

*Virna Di Palma* ([dipalma@traceinternational.org](mailto:dipalma@traceinternational.org)) is the Director of the TRACE Anti-Bribery Specialist Accreditation and Senior Director of Global Strategy and Communications at TRACE International, an anti-bribery business organization.

10<sup>th</sup> Annual International Compliance & Ethics Awards Dinner

# Congratulations to the 2014 award recipients

- ▶ **Donna C. Boehme**, Principal, Compliance Strategists LLC, for her tireless dedication and unwavering support for the independence of the Compliance & Ethics profession.
- ▶ **Daniel R. Levinson**, Inspector General, U.S. Department of Health and Human Services, for his belief in and support of compliance programs to help reduce health care fraud, as well as his willingness to reach out to the Compliance community.
- ▶ **Smith Debnam LLP**, a law firm located in Raleigh, NC, the first law firm to have a compliance program of its own.
- ▶ *The Wall Street Journal's Risk and Compliance Journal* for its comprehensive coverage of the Compliance profession. \*



by Judith Nocito

# A well-deserved award for Donna Boehme

Sometimes one has the opportunity to experience a really special and meaningful event. The annual Society of Corporate Compliance and Ethics Awards Dinner, held on Monday, September 15 in the Windy City, provided such an opportunity. Long recognized as an outstanding contributor to the Ethics and Compliance profession, Donna Boehme, Principal of Compliance Strategists LLC, received well-deserved cheers and a standing ovation from her peers.

Donna's accolades are many: first global compliance and ethics officer for two leading multinationals (BP plc. and BOC Group, now part of Linde Group); board member of the RAND Center of Corporate Ethics and Governance, the Rutgers Center for Government Compliance & Ethics, and the SCCE; an Emeritus Member and past board member of the Ethics and Compliance Officer Association and past board member of the Association of Corporate Counsel—Europe; a charter member of the Conference Board Council on Corporate Compliance & Ethics, The Compliance and Ethics Leadership Council of the Corporate Executive Board, and a past member of the Ethics Resource Center (Fellows Program). Donna is recognized internationally as an authority in the Ethics and Compliance profession—she is a thought leader in the field who shares her views through extensive writing and speaking. She has long championed the cause of the empowered, independent, adequately resourced chief ethics and compliance officer, who has a seat at the table and line of sight throughout the organization.

Donna is a friend and mentor to many, who generously shares her experiences and insights.



Those of us who have benefitted so much over the years from both our professional and personal ties to Donna were truly ecstatic as she appeared on stage to graciously accept her award. Over the last few months, since suffering a stroke impacting particularly her left side, Donna has been fighting bravely and determinedly to overcome its effects. From the beginning of her journey, she made clear to all that the ultimate goal of her “break-out” plan was attending the SCCE Conference and celebrating with her peers. We all knew, once she put her mind to it, success was a given, but seeing Donna's smiling determination and experiencing so poignantly her dedication to our common cause last week was really an inspiration.

Donna, congratulations again!  
And thank you! \*

*Judith Nocito (jnocito@compliancestrategists.com) is Senior Advisor at Compliance Strategists in Sewickley, PA.*

by Jason Meyer

# “Blurred Lines” at the CEI

Of the many terrific moments at the 2014 Compliance & Ethics Institute, one in particular that brings me a smile came at the Annual Compliance and Ethics Awards Dinner.

First, we cheered for the benefits of solid journalism from *WSJ’s Risk and Compliance Journal*; we admired the HHS IG Daniel Levinson; we felt professional pride in the law firm Smith Debnam, the first to have a full-time CCO. And we stood and basked in the warmth of Donna Boehme.

And so we work to make the gray areas more definable, as we studied in so many sessions.

Then Odell Guyton gave the band its cue, and the dance music began. And the very first song was last summer’s ubiquitous hit by Robin Thicke, “Blurred Lines.”

“Blurred Lines,” with its infectious hooks and offensive lyrics.

“Blurred Lines,” at the largest-ever meeting of ethics and compliance professionals.

Hysterically ironic. Hilariously misplaced. And on reflection, almost perfect.

After all, as C&E leaders, isn’t it our job to deal with the blurred lines? To bring them more in focus? And to help people who want to do the right thing, face the temptations that come with the allure of a profitably cut corner?

I know you want it.

I know you want it.

I know you want it.

But you’re a good girl.

And so we work to make the gray areas more definable, as we studied in so many sessions. Using contracts to play offense. Using behavioral economics to our advantage. Identifying lies and risky behaviors. Incenting whistleblowers and influencing decision-making. Assessing risk. Leading and educating. Managing “the grey area between ‘legal’ and ‘right.’”

All because we, to quote the song, “hate these blurred lines.”

But we have at least one more ally in our work—our expectations—and that’s where C&E professionals and Mr. Thicke have to part company. The song expects “the good girl” to fall to her baser instincts faster than a sales agent can ignore our policies and take a foreign Minister to Monaco...

OK now he was close,  
tried to domesticate you  
But you’re an animal,  
baby it’s in your nature.

Our expectation is exactly the opposite, and was summed up by Marianne Jennings in the Monday general session: “I continue to believe in our inherent goodness.”

I felt that belief, and that goodness, flowing through the annual dinner, and through colleagues at every day at the CEI. For that, thanks.

And everybody get up. \*

*Jason Meyer (jasonbmeyerseq@me.com) is President at LeadGood LLC in Pennington, NJ.*

by Adam Turteltaub

# The food was excellent

Everything counts when it comes to compliance... except the calories in the food at the CEI. There was plenty to eat, from the continental breakfast, to the lunches, and the International Awards Dinner. And, of course, in between there were plenty of snacks to keep the energy up for both learning and networking, including special 10<sup>th</sup> Anniversary cupcakes. Plus, is it really a complete trip to the Compliance & Ethics Institute if you don't eat at least one giant-sized cookie? \*



by Robert E. Connolly

# Impressions from my first SCCE conference: Sharing on antitrust compliance

**T**his was my first SCCE Compliance and Ethics Institute conference, and it was a great experience. I was excited to be on a panel “Global Antitrust Compliance and Risk—Creating an Effective Program.”

My fellow panelists, Tim Bridgeford and Doug Tween were former colleagues of mine when we all worked at the Antitrust Division, U.S. Department of Justice. I think we had a wealth of knowledge to share and we had a great deal of audience participation. I

also learned quite a bit at the conference. As a prosecutor, it always seemed obvious to me that a company would have a strong antitrust compliance program. It was good for me to get a further appreciation for the challenges compliance professionals face—the internal fight for compliance dollars, the feeling that collusion couldn’t happen here, the lack of understanding of how devastating antitrust enforcement actions can be, and just getting the attention of the right people in the C-suite.

I was impressed to see attendees and speakers from many countries. Antitrust is truly international in scope. While there was plenty of opportunity for networking, it was clear to me that the attendees were very dedicated and intent on increasing

their knowledge and effectiveness. This is an organization passionate about ethics and compliance. I hope to contribute occasionally to the SCCE magazine to provide insights and facts that will help compliance officers

in their efforts. I also think it is important that organizations understand what they *can* do. Competition is a great thing.

I was also able to participate in the SpeedMentoring. I was a mentor to some folks looking to develop

expertise in white-collar crime compliance matters. Lastly, I am the antitrust advisor for Emtrain, a provider of on-line training material. Emtrain had a booth in the Exhibit Hall, and that was another way to meet many people.

The breadth of the SCCE program and the commitment to a culture of ethics was impressive. I love Chicago, but I have relatives that live in Las Vegas, so I really look forward to next year’s conference. And, if you have an interest in antitrust/competition law, please check out my blog, <http://cartelcapers.com>. Thanks! \*

I was impressed to see attendees and speakers from many countries. Antitrust is truly international in scope.

*Robert Connolly (robert.connolly@geyergorey.com) is Partner at GeyerGorey LLP in Washington DC.*



by Ann B. Dunham, MBA, SPHR

# I no longer feel alone

I have been in the Compliance field for several years, and this is the first Compliance-focused meeting I have attended. I am very glad this SCCE Compliance and Ethics Institute was my first one! I learned so much, even though my job deals with the healthcare industry. There was a good mix of both in the information I received. It never hurts to be aware of what is happening in the world of Compliance for other industries as well. I appreciated the numerous sessions to pick from, in order to get the most information I need to do my job effectively.

I appreciate all the work of the SCCE to create a fun environment and the social media opportunities. I can honestly say I did have fun at the CEI!

As a speaker of one of the breakout sessions, I hope I (along with my co-presenters) fulfilled the expectations of the group. It felt good to share my experiences with others.

What I enjoyed the most is meeting other compliance professionals. I no longer feel alone in my efforts to create a culture of compliance. \*

*Ann B. Dunham is a Compliance Officer with Hannibal Regional Healthcare Systems in Hannibal, MO.*

by Virginia MacSuibhne

# Why the CEI is awesome

There are a million things to like about the SCCE annual conference, including great sessions, great networking, practical advice, moral support, and fun. Beyond that, however, the SCCE Compliance & Ethics Institute does a few things better than any other conference I attend.

First, I love the signage and red-shirted staff posted in hallways and other locations helping to ensure we can find the rooms we are looking for in giant hotels. Seriously, the gang in the red shirts and the large print posters helped make sure I was on time and in the right place for my sessions. Even when a flood caused a room change, there were red shirts there directing the crowd and ensuring a new room could be set up for attendees in record time. Beyond this,

the SCCE mobile application was a great tool to ensure information was available, up to date, and accessible at my fingertips.

Second, the SCCE always has fresh and interesting concepts, like the iPad Wall, free professional headshots, cute badge flags, Twitter and social media contests, and the like. In addition, the Tech Support desk was particularly helpful with my user errors related to the technology available at the conference; they were fast, helpful, and kind.

Thank you for everything the SCCE staff does to make the conference valuable, interesting, and easy. It was a great conference and I look forward to returning next year in Vegas. \*

*Virginia MacSuibhne (virginia.macsuibhne@roche.com) is Chief Compliance Officer at Roche Molecular Systems, Inc. in Pleasanton, CA.*

by Jane Mitchell, Amii Barnard-Bahn, and Murray Grainger

# Reflections on an Oxford Union-style debate

Just one week ago, we were in Chicago leading a debate on whether lawyers make excellent compliance officers.

With a sell-out session and in spite of the fact that as with turkeys at Thanksgiving, our largely-lawyer audience was unlikely to vote against themselves, we had a lively debate and differing views.

Murray Grainger opened the discussion in favour of the motion. His reasoning was met with great applause, although primarily to do with his pronouncement that it was his birthday.

His arguments *FOR* the motion were:

1. **Lawyers are not risk-taking managerial types:** They should be separate to operations and, with less of an appetite for risk, they do have highly functioning business antennae.
2. **Lawyers thrive on complexity and make great problem solvers:** They are skilled at wading through ethical and regulatory swampland, simplifying and advising the business on practical solutions.
3. **Lawyers can handle the truth...and will speak truth to power:** Unafraid to ask the question "Are we doing the right thing?"
4. **Lawyers bring gravitas:** Faced with a regulator seeking blood, you need gravitas in copious quantities.
5. **Lawyers are driven by a higher calling:** Their duties are to their professional body and to society in general. This provides a degree of independence and autonomy and strong personal integrity.

Amii Barnard-Bahn followed close on Murray's heels with a spirited defense AGAINST the motion, which included:

1. **Lawyers lack the proper "state of mind":** Lawyers are "hired and wired" to defend and zealously advocate, which prevents objectivity or escaping their defensive mindset.
2. **Lawyers may be skilled as police, but we need mayors:** Effective CECOs must have a broad skillset, inspirational leadership, project execution, and change management, which drive ethical cultures.
3. **Excellent compliance officers are no longer simply "lawyers":** They must cultivate a neutral, independent mindset, and evolve into a higher state of being.

Our audience was challenged to be an executive team who had to agree on whether to take on a lawyer as compliance officer. In spite of a vain attempt at trying to debate the motion itself, they did resolve by a slim margin that the lawyer had the job. Everyone agreed, however, that the individuals themselves are key to making this a success. In truth, that alone will determine whether a lawyer makes an excellent compliance officer or not! \*

*Jane Mitchell* (jane@jlmitchell.co.uk) is Director at JL&M in Weybridge, UK.

*Amii Barnard-Bahn* (alb92@georgetown.edu) is Former Chief Compliance & Ethics Officer at McKesson Corp in Kensington, CA.

*Murray Grainger* (murray@impactonintegrity.com) is Founder of Impact on Integrity in Madrid, Spain.

by Leah Fitzgerald

# Perspective from a law student —and CHC candidate

I am a third-year law student at Hamline University School of Law in St. Paul, Minnesota. As a part of the legal education at Hamline University, students have the opportunity to complete the coursework that allows you to sit for the Certification in Healthcare Compliance (CHC) exam through the Health Law Institute (HLI). I recently completed the necessary coursework to sit for the certification exam.

The SCCE graciously offered free registration to the Compliance & Ethics Institute to a limited number of HLI compliance students. Honestly, I was a bit daunted by the opportunity to sit amongst the leading compliance professionals, and apprehensive that the information may be over my head, but I quickly learned it was the perfect environment to be in as I prepare to take the CHC exam in the near future. The sessions were not only relevant, but also practical in application. It is good to know that the seven elements are alive and well, and remain the focus of an effective compliance program, because the elements were the basis of all of our coursework! Even though I am currently focusing on attaining the CHC, I believe the Institute instilled compliance principles that will be vital to utilize in a compliance position, as I will be graduating this coming May.

The compliance community is rather small and has a wealth of knowledge that is applicable to a wide array of organizations.

But let's be honest, the best part of the Institute was tweeting about it! The #SCCEci made it easy to follow other attendees and broaden the networking connections you were able to make with other compliance professionals. Through the #SCCEci tweets I was able to start following other compliance professionals and now can utilize Twitter to ascertain real concerns the profession is facing on a daily basis.

The compliance community is rather small and has a wealth of knowledge that is applicable to wide array of organizations. While a compliance program needs to be unique to the organization, this does not mean that you cannot expand on what other organizations are doing, and adapt the idea to your own organization. As we have learned, it is not enough to have a program in place to be considered effective; the program needs constant attention and to be modified to meet the currency of the organization, paying attention specifically to the culture. While core compliance principles can be spread through Twitter, it is more important to implement these principles within your own organization. \*

*Leah Fitzgerald (lfitzgerald04@hamline.edu) is a law student at Hamline University in St. Paul, MN. [@leleftzgerald](#)*

by Jodie Sullivan

# Perspective on the 2014 CEI

**F**UN—From the moment we arrived in Chicago, I had the sense that this training conference would be fun, and I was on target. Wanting to avoid any lines at registration check-in, I arrived before 7:30 a.m. The cheerful faces and eager staff of the SCCE greeted me warmly and made me feel right at home. After checking in, I wandered over to a blue couch where I spotted several adorable pillows; one I recognized immediately from my daughter's cell phone—Instagram. Making myself comfortable, I met Kortney, the SCCE social media guru. Kortney's enthusiasm radiated positive energy, and people were just drawn to the Social Media Lounge and iPad Wall. The iPad Wall was a great icebreaker of sorts and generated the opportunity for networking with a focus on fun. While Kortney and I chatted, she asked me if I had downloaded the app. When I explained that I had not and wasn't sure how, she offered to assist me and made me aware of the IT staff on hand. What a benefit to attendees! I relished the idea of my CEI schedule being on my phone for me to consult to make sure I wasn't missing any of the important events that I needed to attend. Some of these courses were central to the work I do as a compliance officer,

and the training, breakout sessions, advanced discussion groups, and activities really helped me to remove my blinders and see things from various perspectives.

The speakers scheduled during the working lunches included people in key positions at government agencies where compliance is a central focus. I was pleased to hear James B. Comey, Director of the FBI, and his specific comments about those who would seek to do us harm and how the FBI is working to combat the cyber threat and address the risks that have arisen concerning terrorism. Additionally, I found Marianne Jennings' remarks, about the slippery slope of decisions that regular people are confronted

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had downloaded the app.  
...[S]he offered to assist me  
and made me aware of  
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What a benefit  
to attendees!

with, to be profound. I bought her book, because I wanted to read more of her research and thoughts on ethics and the impact of making the right—and sometimes wrong—decisions. At the end of the conference, I reflected on the excellent content and fun experiences. \*

*The views and opinions expressed are those of the author and do not reflect those of the National Security Agency/Central Security Services (NSA/CSS).*

*Jodie Sullivan (jodiesullivan@verizon.net) is Compliance Officer with the Department of Defense in Odenton, MD.*

by Pamela Kroh

# Another success!

**T**his year's CEI was another success! The Tweet-Up Appy Hour was particularly helpful to get me off the ground with learning how to tweet. It was fun to share thoughts about the conference and read the other posts. Then there was the Awards Dinner, filled with fabulous individuals who were recognized for their excellence in the Compliance profession and who are role models for the rest of us. I work at Widener Law School, where we offer educational programs in corporate and business law with a concentration in compliance. Coming from an academic view of compliance and as a Compliance Certification Board-accredited university, it is reassuring to see our collaboration benefit our students as they aspire to become compliance professionals and an active part of the SCCE. The Compliance field is booming, and the SCCE is a respected organization leading the charge in supporting the profession.

It was thrilling to have seven of our students, a recent graduate, and a faculty member present at the CEI. In fact, I first met this particular faculty member at last year's CEI, where common interests forged a relationship between our educational program and his compliance expertise. Our programs are delivered entirely online, so we often only meet students via web conferencing—but the CEI provided us with the opportunity

to spend time together! It was exciting to hear about the experience our students had in being exposed to so much talent and knowledge. What a fabulous way for everyone to network with others in this field! This would not be possible without the CEI. As if all of this was not enough, the CEI is not only collegial, but incredibly informative.

There were sessions that dealt with how to build a compliance program internationally.

These sessions were of particular interest to me because we have a global compliance track in our programs. It can be overwhelming to consider all of the different laws, cultures, and behaviors that need to be taken into consideration in doing business abroad, but the presenters were excellent in conveying the

necessary information to the audience. This was my third CEI and I have noticed that no matter what level your experience, there are topics for everyone.

And last, but certainly not least, I had a booth in the Exhibit Hall, which provided me with an opportunity to speak to many other vendors. It just amazes me the number of companies and individuals fully invested in preventing fraud and abuse in business. The CEI provides around-the-clock immersion in all things compliance! \*

*Pamela Kroh (pjkroh@mail.widener.edu) is Director, Graduate & Compliance Programs at Widener University School of Law in Wilmington, DE.*

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in business.**

by Nancy Duncan

# BP session ends a great conference

The Chicago conference did not lack for interesting, engaging topics this past week. The last session I attended, “BP and the Deepwater Horizon Spill—Why BP Carried the Blame,” was the perfect endnote to my experience. Presenter Michele Jurgens, Program Chair, Masters of Business Ethics & Compliance, New England College of Business and Finance, explained why BP took the lion’s share of the blame, although others involved (Transocean and Haliburton) did not have clean hands either.

The number of times BP and the other entities appear to have had an opportunity to stop and mitigate risk before moving forward really struck me. The situation brought home, in full force, the importance of strong company values engrained at all levels of an organization. At every twist and turn on their journey toward pumping oil, no one slowed down to look carefully at red flags. Potential problems identified along the way were largely ignored.

At the end of the day, BP lost substantially more than it would have spent addressing the red flags. In addition to civil claims, the company also faced criminal charges. Settlement of claims and litigation over the spill has cost BP billions.

Instead of a mentality in which the compliance boxes were just checked, what if the company had instilled into every employee the need to ask: “Is this the right thing to do?”

Of the three companies ultimately found with some responsibility for the spill, none appear to have considered stopping to ask the question. Just as a series of failures can have a cascading effect, a series of successes (mitigation in this case) can have the same. As I reflected on the presentation on my way home, I couldn’t help but daydream about an outcome where a few people (maybe even just one,) by asking themselves about the right thing to do and doing it, saved our Gulf Coast, its people, and its wildlife. And, BP and its investors had a happily ever after too, all the way to the bank.

...an underlying theme pointing to the importance of strong values inspired the listeners to continue their dogged pursuit of them.

The group discussion put a satisfying knot at the end of a string of great presentations attended since Sunday. Although the subject matter and focus differed from talk to talk, an underlying theme pointing to the importance of strong values inspired the listeners to continue their dogged pursuit of them. Thank you SCCE for sponsoring a great week! \*

*Nancy Duncan (nancy.duncan@ic.fbi.gov) is Supervisory Special Agent with the FBI in Washington DC.*

Thank you SCCE for sponsoring a great week!

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