

STRATEGIES FOR BUILDING AN INSTITUTION-WIDE COMPLIANCE AND ETHICS PROGRAM

November 21 - 22, 2019 | San Antonio, TX



Learn to apply the seven elements of compliance and ethics to your current campus compliance program.

OVERVIEW

A thorough understanding of the **Federal Sentencing Guidelines** is essential for institutions looking to build comprehensive, accessible, and supported compliance and ethics programs. To improve compliance-related resources and significantly mitigate ethical, financial and legal risks, administrators must stay abreast of current practices and adopt innovative strategies to design and implement a sustainable compliance and ethics program.

Join us for this highly practical and interactive workshop, where you will learn and apply the seven elements of compliance to your own, unique institutional context. With the support of our expert speaker, you will outline a plan for building or refining a campus-wide compliance infrastructure.

This intimate program is designed to bring together compliance, ethics, and risk management leaders in a shared learning space and to provide them with tangible tools and strategies that they can implement on their campuses right away.

We will cover several components of an effective compliance program including:

- Dissemination of comprehensive written policies and procedures
- Guidelines for proper staffing, resources, and oversight
- Effective and accessible training programs
- Establishing and publicizing a system for reporting violations
- Implementing an employee enforcement or discipline process
- Developing a continuous risk assessment process and internal audit systems

WHO SHOULD ATTEND

This conference will benefit leaders or administrators who have direct oversight over a compliance and ethics program for their campuses, regardless of their assigned department or position or the level of structure in their current programs.

General counsels, internal audit committee members, as well as professionals in risk management, financial aid, compliance, athletics, Title IX, and ADA will find the content of this training valuable.

BRING YOUR TEAM AND SAVE!

Save over 15% when you register three or more colleagues.

FOLLOW THROUGH WITH SUCCESS COACHING

Have you ever gone to a training only to find that you came back with great ideas but don't have the time, support, or skills needed to make the changes?

Academic Impressions has produced thousands of trainings and we have learned that utilizing a coach after attending a conference helps provide accountability and bridges the training with the on-the-ground work of getting the job done.

As a result, **we are now offering success coaching** on select conferences.

- Purchase this training + 3 one hour follow up success coaching calls
- Work with an assigned coach who has extensive experience in higher ed.
- Get individualized support to help you follow through on what you've learned.
- Workshop your plans, run your ideas by someone and get additional help/practice.

To learn more, contact Patricia Sandler at patricia@academicimpressions.com or purchase the [Premium Pass with success coaching](#).

AGENDA

Day 1

Conference Registration and Continental Breakfast (included in registration fee)

8:30 – 9:00 a.m.

Welcome and Introductions

9:00 – 9:30 a.m.

Understanding the History and Landscape of Compliance in Higher Education

9:30 – 10:30 a.m.

Our expert speaker will provide a brief historical overview of corporate compliance and ethics and how these practices translated to higher education. You will begin to understand and analyze the financial risk and liability factors by reviewing real examples of compliance and ethics scandals in higher education. After understanding the bigger picture of compliance in higher education, you will use the rest of the conference to focus on your campus' most pressing compliance issue.

Morning Break

10:30 – 10:45 a.m.

Introduction to the Federal Sentencing Guidelines: The Seven Elements of Compliance

10:45 a.m. – 12:00 p.m.

You will be introduced to the framework for a campus-wide compliance program based on the federal sentencing guidelines. You will explore how to structure and staff a compliance office and build the appropriate campus-wide infrastructure to enhance the success of the program. Through a ranking exercise, you will distinguish your top compliance priorities using the seven elements of compliance.

Also, you will receive an additional resource in your conference binder: *Implementation of Effective Compliance and Ethics Programs and the Federal Sentencing Guidelines* by Steven D. Gordon.

Lunch (included in registration fee)

12:00 – 1:00 p.m.

AGENDA

Day 2 (CONTINUED)

Customizing Your Compliance Efforts

1:00 – 2:30 p.m.

It is important to recognize that a “one-size-fits-all” compliance program will not work across all campuses. We will explore a variety of important considerations such as:

- Identifying the necessary traits of a compliance officer
- Setting and managing realistic expectations
- Knowing how to define your institution’s culture
- Navigating the political landscape
- Setting proper boundaries
- Identifying compliance partners
- Understanding the institution’s positioning as it relates to compliance efforts

You will find ways to create a compliance and ethics program that fits your unique campus culture and dynamics.

Afternoon Break

2:30 – 2:45 p.m.

Prioritizing and Organizing Compliance Efforts in a Shifting Environment

2:45 – 4:00 p.m.

Various challenges related to compliance (such as building a code of conduct / designing or refining a compliance program while also managing compliance emergencies) can become a real complication for many administrators. This session is designed to help administrators prioritize unexpected issues while building a risk-based approach. Our expert speaker will share tools and strategies to rank risks while conserving resources and time. You will have the opportunity to test out one of these tools and apply it to a recent campus emergency.

Networking Reception (included in registration fee)

4:00 – 5:00 p.m.

AGENDA

Day 2

Continental Breakfast (included in registration fee)

8:30 – 9:00 a.m.

Applying the Seven Elements to Individual Compliance Programs: A Case Study

9:00 – 10:00 a.m.

The seven elements of compliance are not only useful when building a campus-wide compliance and ethics program. When applied at the subject matter level, the seven elements can serve as a regulation-specific guide to be dispersed amongst compliance partners across campus. You will have the opportunity to read and discuss a case study in small groups and explore how the seven elements of compliance may be utilized to create a best practice and an effective compliance program on campus.

Morning Break

10:00 – 10:15 a.m.

Developing Your Compliance Roadmap

10:15 – 11:30 a.m.

In this closing session, you will explore practical tips to build a compliance and ethics program from scratch with minimal resources. Through careful risk assessment and prioritization, you will be able to outline a plan to build or refine a campus-wide compliance infrastructure following the seven elements of compliance process. You will develop your compliance roadmap by identifying your next steps in 30, 60, and 90 days from this conference and have the opportunity to share your ideas in small groups while soliciting our expert's feedback on your plan.

Final Q&A and Evaluations

11:30 a.m. – 12:00 p.m.

INSTRUCTORS

Lorna Fink, J.D.

University Compliance Officer/Title IX Coordinator, Lynn University

Lorna Laney Fink is a graduate of Furman University, where she earned a Bachelor of Arts degree in Political Science with a concentration in Women and Gender Studies. Fink speaks at national and international conferences on issues related to higher education compliance, including the design and delivery of a full-day Title IX Investigator Training and later a Chief Compliance Officers Certification Course for the National Conference on Law and Higher Education. Additionally, she designed and hosted a two-day Higher Education Compliance Bootcamp for ICUF Institutions with sponsorship from Fisher & Phillips. She has addressed audiences at NASPA, NACUBO, SACUBO, NASPA, WACUBO, ACUPA, and ICUF.

In 2017, Fink created the Independent Colleges and Universities Compliance and Ethics Consortium (ICUCEC), a group of independent institutions focused on sharing resources and best practices in compliance, risk management, equity, ethics, and policy and procedure management. In under one year, Fink was responsible for increasing ICUCEC membership to over 30 institutions nation-wide, raising over \$20,000 in sponsorships, and hosting the first Annual Conference and Meeting with attendance of over 175 individuals and featuring over 15 presentations from nationally and internationally recognized speakers and experts in the field of higher education.

Fink is a Certified Civil Rights Investigator and a Certified Compliance and Ethics Professional. She is an URMIA Scholarship Winner and a graduate of the Harvard Graduate School of Education Management Development Program and the Council of Independent Colleges Senior Leadership Academy.

ACADEMIC IMPRESSIONS STAFF

Rabia Khan Harvey

Senior Program Manager, Academic Impressions

Rabia is a Senior Program Manager for our Institutional Compliance and Co-curricular Student Success. Rabia has also served as a Speaker/Educator for AI since 2013 specifically for Title IX conferences and webcasts. Prior to joining AI, Rabia worked for Columbia College Chicago as the Director of Equity Issues & Title IX Coordinator and Loyola University Chicago as the Assistant Dean of Students/Deputy Title IX Coordinator. She obtained her Bachelor's degree from Elmhurst College and is a double-alum of Loyola University Chicago with a Master's in both Higher Education and Human Resources. Rabia enjoys running and proudly ran her first Chicago Marathon in October 2017 and she is running it again in 2018. Rabia is happily married and loves spending time with her husband, Tony, and their two children, Kai and Ava. As a family, they enjoy traveling, playing sports, watching movies, and spending time with their family.

LOCATION

November 21 - 22, 2019 | San Antonio, TX

Hotel:

Westin Riverwalk

420 W Market St.

San Antonio, TX 78205

210-224-6500

Room rate:

\$189 + tax

Room block dates:

The nights of November 20 and 21, 2019.

Room block cutoff date:

October 30, 2019.

Reserve Your Room: Please call 210-224-6500 and indicate that you are with the Academic Impressions group to receive the group rate. Please book early - rooms are limited and subject to availability.

The Academic Impressions Experience



Intimate, workshop-style trainings with personalized attention



Trainings are practical and action oriented so you can hit the ground running



Carefully vetted expert instructors who are also practitioners in the field



Learner-centric and designed for interaction and collaboration



Highly recommended:
9 out of 10 participants recommend our trainings to colleagues