

SCCE 19th Annual Compliance & Ethics Institute

09.14.2020

Ann Sultan, Dan Wendt, and Greg Bates will speak at the Society of Corporate Compliance and Ethics' (SCCE) Virtual 19th Annual Compliance & Ethics Institute on September 14-16, 2020.

Bates, as part of a panel, will present "Identifying Personnel Needs and Leveraging Varied Skill Sets to Staff an Effective Compliance Department," on September 14. This presentation will focus on how companies can:

- Align the compliance programs staffing needs with the organization's commercial strategy and risk assessment.
- Evaluate the compliance programs personnel needs versus existing resources to identify strengths, weaknesses, opportunities, and threats.
- Consider various ways to fill resource gaps, including providing employee growth opportunities, repurposing team members, and leveraging employees outside the core compliance department to achieve program effectiveness.

Bates will participate in the panel discussion, "Avoid a Compliance Hangover: Maintain Momentum in Your Compliance Program After the Regulators Have Left," on September 15. Topics featured during this discussion will include:

- Practical tactics to resist calls from management and the board of directors to undo compliance enhancements after settlements with regulators and external monitors.
- Addressing organization realities, such as compliance fatigue at a sensitive time, while maintaining an effective program and demonstrating the program's value to stakeholders.
- Learn to identify and protect what's important, prudently adjust to changing realities, and be a good corporate teammate while shielding your company from recidivism.

Sultan will present, "Warnings, PIPs, and Terminations: Developing a Consistent Approach to Discipline for Compliance Shortcomings," a panel discussion on September 15. This presentation will examine:

- How a company can balance competing interests of (various) key regulators and the needs of the business in determining appropriate approaches to discipline across the organization
- Examples on how variations in individual jurisdictions in culture and employment law can impact, and complicate, substantive outcomes.
- Common approaches and tips for navigating the most difficult disciplinary situations and developing a robust global discipline program.

Wendt will present, "Internal Accounting Controls and Internal Compliance Controls: What Public Companies Need to Know for Anti-Corruption, Sanctions, and Anti-Money Laundering Compliance Programs," on September 15. Topics of discussion include:

- A background on the FCPA's accounting provisions, including the requirement for public companies to maintain internal accounting controls.
- A review of the internal accounting control failures noted in recent DOJ and SEC resolutions, including FCPA issues, but also sanctions, commercial bribery, and money laundering.

- Practical guidance for compliance and legal professionals at public companies for working across functions to establish functioning internal controls that implement compliance programs and minimize risk of SEC enforcement.

Wendt, as part of a panel, will present, "Managing Investigations Before They Start Organizing an Effective Investigation Process through Thoughtful Preparation," on September 16. This panel will focus on:

- Key investments to make when starting or revamping an investigation process for multinational companies.
- Improving investigation policies and procedures during quiet times, including guidelines for preparing reports, reviewing findings across functions, and deciding on remediation and discipline.
- Managing external counsel, forensic accountants, ediscovery vendors, and other providers across multiple jurisdictions before issues arise.

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