

Termo de Referência 76/2023

Informações Básicas

Número do TR	UASG	Editado por	Atualizado em
76/2023	370003-COORD. GERAL, DE LIC. CONT. E DOC/DGI /SE/CGU	FERNANDA PEDREIRA NUNES	19/07/2023 08:46 (v 3.0)
Status	CONCLUÍDO		

Outras informações

Categoria	Número da Contratação	Processo Administrativo
V - prestação de serviços, inclusive os técnico-profissionais especializados;	00190.104465/2023-43	

1. CONDIÇÕES GERAIS DA CONTRATAÇÃO

1.1. Contratação de 04 (quatro) vagas, visando à inscrição de servidores da CONTROLADORIA-GERAL DA UNIÃO (CGU), sendo dois lotados na DAL/SIPRI e dois lotados na DPI/SIPRI, no evento Basic Compliance & Ethics Academy, nos termos da tabela abaixo, conforme condições e exigências estabelecidas neste instrumento destinada à CGU (CONTRATANTE):

ITEM	ESPECIFICAÇÃO	CATSER	UNIDADE DE MEDIDA	QUANTIDADE	VALOR UNITÁRIO	VALOR TOTAL
1	Inscrição no evento Basic Compliance & Ethics Academies	929 - Código 25232	participante	4	\$ 1625 USD	R\$ 6500 USD

1.2. A modalidade da ação de capacitação será presencial.

1.3. O local da realização será no Renaissance São Paulo Hotel, Alameda Santos, 2233 – Jardim Paulista, São Paulo/SP.

1.4. 1.4. A carga horária é de **29.4 CEUs** (unidades de educação continuada) e está distribuída em 4 dias de atividades.. (vide Anexo1 deste Termo de Referência) (SEI 2801257)

1.5. O período de realização é de **28/08/2023 e 31/08/2023**, contados de 06/08/2023, na forma do artigo 105 da Lei no 14.133 /2021.

1.6. O custo estimado total da contratação é de US\$ 6,500 (seis mil e quinhentos dólares), com taxa de conversão em R\$ 4,8186, totalizando **R\$ 31.320,90 (trinta e um mil, trezentos e vinte reais e noventa centavos)**, conforme custos unitários em dólares apostos na tabela acima. A data da cotação do dólar é de 30/06/2023 (data de elaboração do presente TR). Tendo em vista a possibilidade de variação na taxa de conversão do Dólar para o Real até a data da emissão do empenho estimativo, e considerando as taxas transacionais aplicadas à operação, a taxa de câmbio obtida junto ao Banco Central, no valor de R\$ 4,8186 Real/BRL, será acrescida em 10% (dez por cento), resultando em uma taxa de R\$ 5,3004 (cinco reais e trinta centavos). Assim, o valor de cada inscrição é de US\$ 1,625 (mil seiscentos e vinte e cinco dólares) ou R\$8.613,15 (oito mil seiscentos e treze reais e quinze centavos), em valores convertidos, **totalizando o valor estimado de R\$ 34.452,60 (trinta e quatro mil quatrocentos e cinquenta e dois reais e sessenta centavos)**.

1.7.1.7. Os dados bancários da empresa certificadora são:
Bank Name: WELLS FARGO BANK, N.A.
Bank Address: 420 Montgomery San Francisco, CA 94104

Wire Routing Transit Number: (RTN/ABA) 121000248
SCCE Bank Account Number: 3778982219
Account Name: Society of Corporate Compliance & Ethics &
Health Care Compliance Association
DBA Society of Corporate Compliance & Ethics
SWIFT BIC: WFBIUS6S
ABA: 0407

2. FUNDAMENTAÇÃO/DESCRIÇÃO CONTRATAÇÃO

2.1. Oportunidade e utilidade da capacitação em relação às atividades desempenhadas pelo(s) servidor(es):

2.1.1. O evento representa a oportunidade de aprofundar os conhecimentos em matéria de compliance e ética organizacional e se atualizar sobre as melhores práticas aplicadas no meio empresarial em termos internacionais. O estudo a respeito dos melhores fundamentos e práticas de compliance busca dotar o servidor de conhecimentos específicos para a adequada análise das informações sobre os procedimentos e documentação de compliance adotados por empresas proponentes de acordos de leniência, de modo a avaliar a relevância e confiabilidade de informações fornecidas pelas empresas durante a fase de negociação e de monitoramento desses acordos.

2.1.2. Além disso, de modo mais geral, o aprofundamento dos conhecimentos acerca do tema é importante para a formação de senso crítico, com a técnica adequada, de modo a contribuir com o aprimoramento dos parâmetros e normativos internos utilizados pela CGU para avaliação dos programas de integridade das pessoas jurídicas que celebraram acordos de leniência.

2.1.3. O quantitativo contratado se refere a quatro inscrições para participação no evento e realização do exame de certificação de dois servidores da Diretoria de Acordos de Leniência (DAL) e dois servidores da Diretoria de Promoção e Avaliação de Integridade Privada (DPI).

2.1.4. A DAL possui em sua estrutura administrativa duas Coordenações-Gerais, que desenvolvem atividades relacionadas a negociação, celebração e monitoramento de acordos de leniência. As inscrições/certificações serão destinadas a um servidor da Coordenação-Geral de Leniência e Processos Advogados e a um servidor da Coordenação-Geral de Leniência e Suborno Transnacional, a fim de que o conhecimento adquirido possa ser igualmente aplicado em ambas as unidades da Diretoria.

2.1.5. A DPI, dentre suas competências, realiza a avaliação de programas de integridade, por meio do Pró-Ética, e o monitoramento dos programas de integridade das empresas signatárias de acordos de leniência, atividade que demanda compreensão e atualização quanto às discussões internacionais relacionadas ao compliance e à integridade. Além disso passará a avaliar programas de integridade das contratações de grande vulto, avaliação prevista na Lei nº 14.133/2021.

2.1.6. O evento é realizado pela Society of Corporate Compliance and Ethics (SCCE), uma das mais prestigiadas organizações de compliance com atuação internacional nas áreas de compliance e programas de integridade e habilita os seus participantes a fazerem a prova de certificação Certified Compliance & Ethics Professional International (CCEP-I).

2.1.7. Os servidores que atuam na área de Acordos de Leniência e Promoção da Integridade Privada realizam interações com profissionais da área de compliance de empresas privadas, inclusive internacionais, no âmbito das propostas de acordo e de seu monitoramento. Assim, é necessário que os servidores da DAL e da DPI tenham conhecimento das melhores práticas adotadas em âmbito internacional para que possam balizar seus posicionamentos junto às empresas proponentes, de modo a avaliar a relevância e confiabilidade de informações fornecidas pelas empresas durante as fases de negociação e monitoramento desses acordos.

2.1.8. Saliente-se que, atualmente, a estrutura da Diretoria de Acordos de Leniência inclui duas Coordenações-gerais cujas competências englobam negociações e monitoramento de acordos de leniência e matérias relacionadas a suborno transnacional, o que envolve relacionamento com empresas multinacionais e estrangeiras. O conhecimento adquirido no curso permitirá aos servidores da DAL e da DPI uma melhor análise do conteúdo dos programas de integridade dessas empresas, adequada às melhores práticas internacionais.

2.2. Número do projeto de capacitação do e-Aud:

A capacitação está registrada no e-Aud da seguinte forma:

Projeto de capacitação DAL: ID #1372458;
Solicitação de orçamento servidores DIE: ID #1372474- (quatro inscrições)

2.3. Número do item do Documento de Formalização da Demanda – DFD:

Documento de Formalização da Demanda Nº 394/2023

2.4. Explicitar a notória especialização e a inviabilidade de competição (para os casos de inexigibilidade):

2.4.1. A base legal da contratação direta para a participação de servidores no evento em tela é a alínea “f”, do inciso III, do art. 74, da Lei nº 14.133/2021.

2.4.2. A referida norma dispõe:

“Art. 74”. É inexigível a licitação quando inviável a competição, em especial nos casos de:

(...)

III - contratação dos seguintes serviços técnicos especializados de natureza predominantemente intelectual com profissionais ou empresas de notória especialização, vedada a inexigibilidade para serviços de publicidade e divulgação:

(...)

f) treinamento e aperfeiçoamento de pessoal;

(...)

§ 3º Para fins do disposto no inciso III do caput deste artigo, considera-se de notória especialização o profissional ou a empresa cujo conceito no campo de sua especialidade, decorrente de desempenho anterior, estudos, experiência, publicações, organização, aparelhamento, equipe técnica ou outros requisitos relacionados com suas atividades, permita inferir que o seu trabalho é essencial e reconhecidamente adequado à plena satisfação do objeto do contrato.

2.4.3. Neste sentido, para caracterizar a inviabilidade de competição de que trata o caput do art. 74, da Lei 14.133/2021, e assim, ser possível a contratação via inexigibilidade de licitação, é necessário preencher os requisitos previstos no próprio inciso III, do referido artigo, quais sejam, a demonstração de que (a) se trata de um serviço técnico especializado, (b) que tenha natureza predominantemente intelectual, (c) seja prestado por empresa ou profissional com notória especialização, (d) não envolva contratação de serviço de divulgação ou publicidade.

2.4.4. Em relação aos requisitos (a) e (b) a jurisprudência do próprio Tribunal de Contas da União - TCU tem entendido que cursos de treinamento e aperfeiçoamento de pessoal enquadram-se como serviço técnico especializado de natureza predominantemente intelectual (Súmula TCU nº 252; Acórdão 654/2004 - Segunda Câmara; Acórdão 1886/2007 - Segunda Câmara; Acórdão 1247/2008 – Plenário; Acórdão 1762/2011 - Segunda Câmara).

2.4.5. Em relação ao requisito (c), no tocante à notória especialização, entende-se que a empresa demonstra o preenchimento deste requisito em razão dos fundamentos apresentados a seguir:

2.4.5.1. Trata-se de um evento próprio promovido pela entidade Society of Corporate Compliance and Ethics (SCCE), que é realizado em diversas cidades do mundo ao longo do ano. Este evento especificamente será realizado no Brasil. Denominado de "Academy" pela instituição promotora, o evento reúne diversos profissionais de alto nível da área de compliance, o que permite uma oportunidade de conhecimento das melhores práticas adotadas pelas empresas neste tema.

2.4.5.2. Os dados cadastrais da empresa promotora são:

Razão Social: Society of Corporate Compliance and Ethics & Health Care Compliance Association

Nome Fantasia: (DBA) Society of Corporate Compliance and Ethics

Endereço: 6462 City, West Parkway, Eden Prairie, MN 55344, USA

Telefone: +1.952.933.4977

Email: helpteam@corporatecompliance.org

2.4.5.3. A Society of Corporate Compliance and Ethics foi fundada em 2004 e é baseada em Minneapolis, nos Estados Unidos. Além de promover o Academy e outras conferências internacionais sobre o tema (<https://www.corporatecompliance.org/all-conferences>), é uma instituição certificadora internacional de profissionais da área de compliance e autora de importantes publicações na área, como é o caso do conhecido *The Complete Compliance and Ethics Manual/SCCE*. A relação das publicações da SCCE do ano de 2023 encontram-se juntadas no Anexo II deste Termo de Referência e a dos livros publicados Anexo III deste Termo de Referência. Outras publicações da SCCE podem ser consultadas em seu sítio eletrônico no endereço <https://www.corporatecompliance.org/all-publications> - All Publications | SCCE Official Site ([corporatecompliance.org](https://www.corporatecompliance.org)).

2.4.5.4. A instituição ministra mais de 45 conferências globais e locais por ano e as publicações educacionais referidas incluem livros, manuais, newsletter, disponíveis online ou impressos.

2.4.5.5. Os currículos de alguns dos conferencistas do Basic Compliance & Ethics Academy encontram-se juntados no Anexo IV deste Termo de Referência.

2.6. Em relação ao requisito (d) é sabido que cursos de treinamento e aperfeiçoamento de pessoal não se confundem com a contratação de serviços de publicidade e de divulgação, razão pela qual, entende-se devidamente atendido o parâmetro estabelecido pelo legislador.

2.5. Justificativa do preço:

2.5.1. Os custos do Evento de capacitação constam nos documentos da entidade promotora, especificamente na página 6 do Folder (Anexo 2 deste Termo de Referência) e na página 2 do Cartaz (Anexo 4 deste Termo de Referência), considerando que os servidores não são membros da SCCE ou da HCCA. Os valores são universais, direcionados a qualquer interessado e se distinguem apenas pelo fato de o aluno ser ou não membro da SCCE ou da HCCA.

2.5.2. Não obstante o folder do evento mencione que seria concedido desconto de \$200,00 USD apenas para grupos a partir de 3 pessoas e a fim de pleitear preço semelhante ou desconto para a presente contratação, foi realizado contato com a entidade certificadora, no qual se pleiteou concessão do mesmo desconto concedido à CGU no ano de 2016. Em resposta ao pedido, a SCCE declarou não ser possível ofertar o preço especial de \$ 500,00 USD, mas concordou em oferecer um desconto de 50% para cada uma das inscrições pedidas pela CGU, como demonstra a troca de e-mails constante dos Anexos 3 e 7 a este TR.

2.5.3. A CGU contratou tal capacitação em novembro de 2019, processo SEI 00190.109582/2019-17, e, na oportunidade, a contratação foi realizada pelo valor de \$3.250,00 USD.

2.5.4. Em 2016, processo 00190.105520/2016, verifica-se que o valor inicial do evento era de \$2700,00 USD por inscrição. Entretanto, na ocasião a SCCE concedeu descontos para inscrições de servidores da CGU, ofertando o valor de \$ 500,00 USD (Anexo 6).

2.5.5. Assim, analisando o histórico de preços de tabela para a mesma contratação, verifica-se que de 2019 para 2023 o valor de tabela da inscrição manteve-se inalterado e, se compararmos ao ano de 2016 houve acréscimo de cerca de 20% no valor de tabela cobrado pela SCCE. Por oportuno saliente-se que, em pesquisa realizada no site da certificadora (<https://assets.corporatecompliance.org/Portals/1/PDF/events/Brochures/scce-2022-int-acad-sao-paulo-brochure.pdf>) - Anexo 8, identificou-se que o mesmo evento estava sendo comercializado ao preço de U\$ 3.295. Não obstante naquele ano a CGU não tenha realizado a contratação, verifica-se que o valor presentemente contratado encontra-se mais barato e, portanto, dentro da razoabilidade.

2.5.6. Entretanto, considerando o valor do desconto concedido a servidor da CGU, verifica-se que o preço final da contratação será 50% inferior ao cobrado para o mesmo evento realizado há três anos, e também com desconto ainda maior do que o ofertado em seu site para grupo a partir de três pessoas (desconto de \$200,00 USD por inscrição), o que denota razoabilidade no valor cobrado pela empresa.

2.5.7. Salienta-se que os valores de 2023 foram estimados com base na cotação do dólar de 30/06/2023, data da elaboração do presente termo de referência.

2.5.8. Em resumo, sobre o valor final das inscrições tem-se que:

1. Valor da inscrição para não membro, conforme folder do evento: U\$ 3250
2. Valor da inscrição com desconto de 50% concedido pela entidade promotora do evento: U\$1625
3. Valor total das quatro inscrições (com desconto de 50%): U\$ 6500
4. Ressalte-se que a inscrição efetivada foi a de não membro, pois os servidores da CGU que se inscreveram não são membros da SCCE;

3. OBJETO

3.1. O objeto desta ação é a contratação de quatro vagas, visando à inscrição de servidores da CONTROLADORIA-GERAL DA UNIÃO, lotados na Diretoria de Acordos de Leniência e na Diretoria de Promoção e Avaliação de Integridade Privada, no evento Basic Compliance & Ethics Academy promovido pela Society of Corporate Compliance and Ethics.

3.2. O evento ocorrerá entre os dias 28 e 31 de agosto de 2023, na cidade de São Paulo/SP. De acordo com informações contidas no Folder do evento (Anexo V deste Termo de Referência) (SEI 2787083) todos os participantes terão direito a todos os materiais do curso, o que inclui um fichário fornecido no primeiro dia do evento e uma assinatura on-line de um ano para o "The Complete Compliance and Ethics Manual 2023" (produtos que estão sujeitos a alterações, conforme observação da página 2 do documento).

3.3. O corpo docente encontra-se indicado à fl. 2, com a ressalva de que ele está sujeito a alterações.

3.4. O conteúdo das aulas a serem ministradas no evento encontra-se discriminado nas fls. 4 e 5 do Folder do Evento (Anexo V deste Termo de Referência) (SEI 2787083), com a ressalva de que está sujeito a alterações. Dentre os conteúdos abordados no evento encontram-se: Introduction do Compliance", "Compliance Infrastructure", "Creating and Reviewing Compliance Policies and Procedures", "Compliance and Ethics Risk Assessment", "E&C Programmes: Effectiveness and Evaluation", "Anti-Corruption and Bribery", etc.

3.6. As demais obrigações da contratada, com detalhes sobre o evento, encontram-se discriminadas no folder (Anexo V deste Termo de Referência) juntado em SEI 2787083.

4. REQUISITOS DA CONTRATAÇÃO

4.1. Além dos critérios de sustentabilidade eventualmente inseridos na descrição do objeto, devem ser atendidos os seguintes requisitos, que se baseiam no Guia Nacional de Contratações Sustentáveis:

4.1.1. Os eventuais materiais impressos utilizados e disponibilizados, devem ser passíveis de reciclagem, visando a preservação do meio ambiente e a sustentabilidade ambiental.

4.2. Não será admitida a subcontratação do objeto contratual.

4.3. Não haverá exigência da garantia da contratação dos arts. 96 e seguintes da Lei no 14.133/21, pelas razões abaixo justificadas:

4.3.1. Ação de desenvolvimento e capacitação de curta duração, com 40 horas de duração em empresa reconhecida em sua área de atuação.

5. OBRIGAÇÕES DA CONTRATADA

5.1. Tomar todas as providências necessárias para a execução do objeto desta contratação, dentro dos parâmetros estabelecidos neste Termo de Referência e na proposta apresentada pela instituição promotora do evento, em observância às normas legais e regulamentares aplicáveis;

5.2. Executar os serviços contratados tempestivamente, dentro do prazo negociado, atendendo aos requisitos de qualidade exigidos;

5.3. Manter, durante o período de prestação dos serviços, todas as condições de habilitação e qualificação exigidas;

5.4. Prestar todos os esclarecimentos que lhe forem solicitados pela Contratante, atendendo prontamente a quaisquer reclamações;

5.5. Assumir a responsabilidade por todos os encargos previdenciários e obrigações sociais previstos na legislação social e trabalhista em vigor, obrigando-se a saldá-los na época própria, uma vez que seus empregados não manterão nenhum vínculo empregatício com a Contratante;

5.6. Assumir todos os encargos de possível demanda trabalhista, cível ou penal, relacionados à execução do objeto, originariamente ou vinculada por prevenção, conexão ou contingência;

5.7. Encaminhar a documentação de conclusão dos participantes à Contratante no prazo máximo de 10 (dez) dias úteis após o final da ação de desenvolvimento e capacitação.

6. OBRIGAÇÕES DO CONTRATANTE

6.1. Acompanhar e fiscalizar a execução do objeto;

6.2. Prestar à Contratada, em tempo hábil, as informações e os esclarecimentos eventualmente necessários à prestação dos serviços;

6.3. Notificar a Contratada sobre qualquer irregularidade encontrada na execução do objeto;

6.4. Efetuar o pagamento devido pela prestação dos serviços, no prazo estabelecido, desde que cumpridas todas as formalidades e exigências previstas;

6.5. Aplicar à Contratada as penalidades cabíveis.

7. ROTINAS DE FISCALIZAÇÃO CONTRATUAL

7.1. O objeto desta contratação deverá ser executado fielmente pelas partes, de acordo com as cláusulas avençadas e as normas da Lei no 14.133, de 2021, e cada parte responderá pelas consequências de sua inexecução total ou parcial (Lei no 14.133/2021, art. 115, caput).

7.2. Em caso de impedimento, ordem de paralisação ou suspensão da contratação, o cronograma de execução será prorrogado automaticamente pelo tempo correspondente ou outra data a ser acordada pelas partes.

7.3. O contratado será obrigado a reparar, corrigir, remover, reconstruir ou substituir, a suas expensas, no total ou em parte, as partes do objeto da contratação em que se verificarem vícios, defeitos ou incorreções resultantes de sua execução ou de materiais nela empregados (Lei nº 14.133/2021, art. 119).

7.4. O contratado será responsável pelos danos causados diretamente à Administração ou a terceiros em razão da execução da contratação, e não excluirá nem reduzirá essa responsabilidade a fiscalização ou o acompanhamento pelo contratante (Lei no 14.133/2021, art. 120).

7.5. Somente o contratado será responsável pelos encargos trabalhistas, previdenciários, fiscais e comerciais resultantes da execução do objeto desta contratação (Lei nº 14.133/2021, art. 121, caput).

7.5.1. A inadimplência do contratado em relação aos encargos trabalhistas, fiscais e comerciais não transferirá à Administração a responsabilidade pelo seu pagamento e não poderá onerar o objeto desta contratação (Lei no 14.133/2021, art. 121, §1o).

7.6. As comunicações entre a CGU e a contratada devem ser realizadas por escrito sempre que o ato exigir tal formalidade, admitindo-se, excepcionalmente, o uso de mensagem eletrônica para esse fim (IN 5/2017, art. 44, §2o).

7.7. A CGU poderá convocar representante da empresa para adoção de providências que devam ser cumpridas de imediato (IN 5 /2017, art. 44, §3o).

7.8. Antes do pagamento da nota fiscal ou da fatura, deverá ser consultada a situação da empresa junto ao SICAF.

8. DA ADEQUAÇÃO DOS SERVIÇOS CONTRATADOS

8.1. Os serviços poderão ser rejeitados, no todo ou em parte, quando em desacordo com as especificações constantes neste Termo de Referência e na proposta, devendo ser corrigidos/refeitos/substituídos no prazo de 30 (trinta) dias, a contar da notificação da contratada, às suas custas, sem prejuízo da aplicação das penalidades.

8.1.1. A avaliação da execução do objeto utilizará o disposto neste item, devendo haver o redimensionamento no pagamento, sempre que a contratada:

8.1.1.1. não produzir os resultados, deixar de executar, ou não executar com a qualidade mínima exigida as atividades contratadas; ou

8.1.1.2. deixar de utilizar materiais e recursos humanos exigidos para a execução do serviço, ou utilizá-los com qualidade ou quantidade inferior à demandada.

9. DO PAGAMENTO

9.1. O pagamento será realizado, **excepcionalmente**, de forma antecipada, com fundamento no § 1º do art. 145 da Lei n.º 14.133 /2021, tendo em vista a exigência de inscrição prévia para participação no evento, contida na troca de e-mails com a certificadora (Anexo 7 a este TR), juntado aos autos sob o número SUPER: 2862609.

9.1.1. A efetivação do pagamento antecipado observará as instruções de transferência internacional, constantes no documento **SUPER 2870077**, bem como do prazo exigido nos **INVOICES** (ou documento fiscal correspondente), emitidos pela contratada, juntados aos autos sob o números **SUPER: 2870077, 2870074, 2870064, 2885206 e 2885210**.

9.1.2. 5.5.5. Os dados bancários da empresa certificadora são:

Bank Name: WELLS FARGO BANK, N.A.

Bank Address: 420 Montgomery San Francisco, CA 94104
Wire Routing Transit Number: (RTN/ABA) 121000248
SCCE Bank Account Number: 3778982219
Account Name: Society of Corporate Compliance & Ethics & Health Care Compliance Association
DBA Society of Corporate Compliance & Ethics

9.2. Caso o objeto não seja executado na data prevista, o valor antecipado deverá ser devolvido pela CONTRATANTE, conforme § 3º do art. 145 da Lei n.º 14.133/2021, sem prejuízo das sanções previstas no item 10 deste Termo de Referência.

10. SANÇÕES CABÍVEIS

10.1. Comete infração administrativa o fornecedor que cometer quaisquer das infrações previstas no art. 155 da Lei nº 14.133, de 2021, quais sejam:

10.1.1. dar causa à inexecução parcial do objeto;

10.1.2. dar causa à inexecução parcial do objeto que cause grave dano à Administração, ao funcionamento dos serviços públicos ou ao interesse coletivo;

10.1.3. dar causa à inexecução total do objeto;

10.1.4. deixar de entregar a documentação exigida para o certame;

10.1.5. não manter a proposta, salvo em decorrência de fato superveniente devidamente justificado;

10.1.6. não celebrar o objeto ou não entregar a documentação exigida para a contratação, quando convocado dentro do prazo de validade de sua proposta;

10.1.7. ensejar o retardamento da execução ou da entrega do objeto da licitação sem motivo justificado;

10.1.8. apresentar declaração ou documentação falsa exigida para o certame ou prestar declaração falsa durante a contratação ou a execução do objeto;

10.1.9. fraudar a contratação ou praticar ato fraudulento na execução do objeto;

10.1.10. comportar-se de modo inidôneo ou cometer fraude de qualquer natureza;

10.1.10.1. Considera-se comportamento inidôneo, entre outros, a declaração falsa quanto às condições de participação, quanto ao enquadramento como ME/EPP ou o conluio entre os fornecedores.

10.1.11. praticar atos ilícitos com vistas a frustrar os objetivos da contratação;

10.1.12. praticar ato lesivo previsto no art. 5º da Lei nº 12.846, de 1º de agosto de 2013.

10.2. O fornecedor que cometer qualquer das infrações discriminadas nos subitens anteriores ficará sujeito, sem prejuízo da responsabilidade civil e criminal, às seguintes sanções:

10.2.1. Advertência pelo cometimento da infração do subitem 10.1.1, quando não se justificar a imposição de penalidade mais grave;

10.2.2. Multa de 30% (trinta por cento) sobre o valor estimado do(s) item(s) prejudicado(s) pela conduta do fornecedor, por qualquer das infrações administrativas previstas nos subitens 10.1.1 a 10.1.12 deste Termo de Referência;

10.2.3. Impedimento de licitar e contratar no âmbito da Administração Pública direta e indireta do ente federativo que tiver aplicado a sanção, pelo prazo máximo de 3 (três) anos, nos casos dos subitens 10.1.2 a 10.1.7 deste Termo de Referência, quando não se justificar a imposição de penalidade mais grave;

10.2.4. Declaração de inidoneidade para licitar ou contratar, que impedirá o responsável de licitar ou contratar no âmbito da Administração Pública direta e indireta de todos os entes federativos, pelo prazo mínimo de 3 (três) anos e máximo de 6 (seis) anos, nos casos dos subitens 10.1.8 a 10.1.12 deste Termo de Referência, bem como nos demais casos que justifiquem a imposição da penalidade mais grave;

10.3. Na aplicação das sanções serão considerados:

10.3.1. a natureza e a gravidade da infração cometida;

10.3.2. as peculiaridades do caso concreto;

10.3.3. as circunstâncias agravantes ou atenuantes;

10.3.4. os danos que dela provierem para a Administração Pública;

10.3.5. a implantação ou o aperfeiçoamento de programa de integridade, conforme normas e orientações dos órgãos de controle.

10.4. Se a multa aplicada e as indenizações cabíveis forem superiores ao valor de pagamento eventualmente devido pela Administração ao contratado, além da perda desse valor, a diferença será descontada da garantia prestada (quando houver) ou será cobrada judicialmente.

10.5. A aplicação das sanções previstas neste Termo de Referência, em hipótese alguma, prejudica a obrigação de reparação integral do dano causado à Administração Pública.

10.6. A penalidade de multa pode ser aplicada cumulativamente com as demais sanções.

10.7. Se, durante o processo de aplicação de penalidade, houver indícios de prática de infração administrativa tipificada pela Lei no 12.846, de 1o de agosto de 2013, como ato lesivo à administração pública nacional ou estrangeira, cópias do processo administrativo necessárias à apuração da responsabilidade da empresa deverão ser remetidas à autoridade competente, com despacho fundamentado, para ciência e decisão sobre a eventual instauração de investigação preliminar ou Processo Administrativo de Responsabilização – PAR.

10.8. A apuração e o julgamento das demais infrações administrativas não consideradas como ato lesivo à Administração Pública nacional ou estrangeira nos termos da Lei nº 12.846, de 1o de agosto de 2013, seguirão seu rito normal na unidade administrativa.

10.9. O processamento do PAR não interfere no seguimento regular dos processos administrativos específicos para apuração da ocorrência de danos e prejuízos à Administração Pública Federal resultantes de ato lesivo cometido por pessoa jurídica, com ou sem a participação de agente público.

10.10. A aplicação de qualquer das penalidades previstas realizar-se-á em processo administrativo que assegurará o contraditório e a ampla defesa ao fornecedor/adjudicatário, observando-se o procedimento previsto na Lei nº 14.133, de 2021, e subsidiariamente na Lei nº 9.784, de 1999.

11. FORMA/CRITÉRIOS SELEÇÃO FORNECEDOR

11.1. O fornecedor será selecionado por meio da realização de procedimento de **inexigibilidade** de licitação, com fundamento na hipótese do art. 74, inciso III, f, da Lei nº 14.133/2021, junto entidade organizadora do evento, **Society of Corporate Compliance and Ethics (SCCE)**, com base nos números dos comprovantes de inscrição na conferência acostados ao processo sob os números **SUPER: 2862611, 2862614, 2862617 e 2862621**.

11.2. Habilitação Jurídica:

11.2.1. Previamente à celebração da contratação, a Administração verificará o eventual descumprimento das condições para contratação, especialmente quanto à existência de sanção que a impeça, mediante a consulta a cadastros informativos oficiais, as quais pode ser feitas por meio dos links na internet, tais como:

a) Cadastro Nacional de Empresas Inidôneas e Suspensas - CEIS, mantido pela Controladoria-Geral da União (www.portaldatransparencia.gov.br/ceis); e

b) Cadastro Nacional de Empresas Punidas – CNEP, mantido pela Controladoria-Geral da União (<https://www.portaltransparencia.gov.br/sancoes/cnep>)

11.2.2 A consulta aos cadastros será realizada em nome da empresa prestadora do serviço e código a seguir: **Society of Corporate Compliance and Ethics (SCCE)**.

12. ADEQUAÇÃO ORÇAMENTÁRIA

12.1. As despesas decorrentes da presente contratação correrão à conta de recursos específicos consignados no Orçamento Geral da União.

12.1.1. Sugere-se que a contratação seja atendida pela seguinte dotação:

Gestão/Unidade: 37001 Diretoria de Gestão Corporativa da CGU;

Fonte de Recursos: 1.000.000.000;

Programa de Trabalho: 173735;

Elemento de Despesa: 33.90.39 - serviços pessoa jurídica;

Plano Interno: 200105;

12.2. A dotação relativa aos exercícios financeiros subsequentes será indicada após aprovação da Lei Orçamentária respectiva e liberação dos créditos correspondentes, mediante apostilamento.

13. DISPOSIÇÕES GERAIS

13.1. Depois de efetuada a inscrição em ação de desenvolvimento e capacitação, o cancelamento da participação do servidor deverá ser comunicado à CDCAP, por escrito, pelo dirigente da unidade organizacional, visando à possível substituição por outro servidor, nos termos do art. 67 da Portaria Normativa CGU no 11, de 03 de junho de 2022.

13.2. Para dirimir questões judiciais relacionadas à execução do ajuste, fica fixada a Seção Judiciária Federal do Distrito Federal.

13.3. Dos atos praticados pela CONTRATANTE cabem recursos na forma prevista no art. 165, da Lei n.o 14.133 /2021.

13.4. A Nota de Empenho terá força de contrato, conforme prevê o art. 95, da Lei n.o 14.133/2021.

14. Responsáveis

Todas as assinaturas eletrônicas seguem o horário oficial de Brasília e fundamentam-se no §3º do Art. 4º do [Decreto nº 10.543, de 13 de novembro de 2020](#).

Despacho: De acordo com os termos do TR.

FERNANDA PEDREIRA NUNES

Agente de capacitação



Assinou eletronicamente em 18/07/2023 às 17:12:52.

Despacho: De acordo com o TR.

LUCAS DE PAULA SILVA

Servidor da área técnica requisitante



Assinou eletronicamente em 19/07/2023 às 09:52:52.

Lista de Anexos

Atenção: Apenas arquivos nos formatos ".pdf", ".txt", ".jpg", ".jpeg", ".gif" e ".png" enumerados abaixo são anexados diretamente a este documento.

- Anexo I - Anexo 1 - e-mail SCCE - carga horária.pdf (750.46 KB)
- Anexo II - Anexo 2 Folder.pdf (3.02 MB)
- Anexo III - Anexo 3 - e-mail SCCE - desconto 50_.pdf (287.86 KB)
- Anexo IV - Anexo 4 - Folder-custo exame certificação.pdf (263.53 KB)
- Anexo V - Anexo 5 - Notória especialização - catálogo de publicações 2023.pdf (2.41 MB)
- Anexo VI - Anexo 6- preço cobrado em 2016.pdf (187.59 KB)
- Anexo VII - Anexo 7 - e-mail SCCE confirma desconto 4 inscrições e pagamento antecipado.pdf (1.04 MB)
- Anexo VIII - Anexo 8 - Folder do Evento 2022_ preço maior.pdf (3.1 MB)

Anexo I - Anexo 1 - e-mail SCCE - carga horária.pdf

Fernanda Pedreira Nunes

De: Burke, Jill <Jill.Burke@corporatecompliance.org>
Enviado em: sexta-feira, 28 de abril de 2023 16:26
Para: Fernanda Pedreira Nunes
Assunto: SCCE Basic Compliance & Ethics Academies

Você não costuma receber emails de jill.burke@corporatecompliance.org. [Saiba por que isso é importante](#)

Hi Fernanda!

I am responding to your question below. I believe you are looking for the total number of Continuing Education Units (CEUs). If that's the case, you are eligible to earn 29.4 CEUs for completing the entire course. If that's not what you were looking for, please let me know. Thanks!

Considering the curriculum of the course "Basic Compliance & Ethics Academy" attached, I would like to know if you could provide us the total net workload of the course, in other words, the workload that will be indicated in given the certificate?

Best regards,

Jill E. Burke | Conference Planner
Society of Corporate Compliance and Ethics
Health Care Compliance Association

Office: 952.405.7928
6462 City West Parkway | Eden Prairie, MN 55344



SCCE'S 22ND ANNUAL
COMPLIANCE & ETHICS INSTITUTE [Learn more](#)
OCTOBER 2-5, 2023 - CHICAGO, IL | OCTOBER 3-5, 2023 - VIRTUAL

 **HCCA's Healthcare Enforcement Compliance Conference**
November 5-7, 2023 • Washington, DC [Learn more](#)

Anexo II - Anexo 2 Folder.pdf

BASIC COMPLIANCE & ETHICS ACADEMY

TAKE THE NEXT STEP: ELEVATE YOUR KNOWLEDGE

28–31 August 2023
São Paulo, Brazil



Become certified

Our Academies provide you with the continuing education units

(CEUs) needed to sit for the optional Certified Compliance & Ethics Professional–International (CCEP-I)[®] certification exam offered on the last day.

Register

corporatecompliance.org/2023saopauloacademy



SCCE
Society of Corporate
Compliance and Ethics

About our Academies

Learn to effectively manage a compliance and ethics programme and mitigate risk at your global organisation. Join the 8,500+ professionals who have turned to SCCE's Basic Compliance & Ethics Academies for in-depth education.

Who should attend?

Our Academies are ideal for professionals with some compliance knowledge and experience who are ready to support, enhance, and manage a comprehensive compliance programme. This includes:

- Compliance officers
- Compliance and risk program managers
- Audit managers
- Data privacy specialists
- Compliance lawyers

Why should you attend?

You'll gain an in-depth education designed to help you kick-start your compliance programme.

- Gain core compliance and ethics knowledge
- Learn from faculty hand-selected for their expertise
- Network with other compliance professionals
- Earn live continuing education units (CEUs)
- Take the optional Certified Compliance & Ethics Professional—International (CCEP-I)[®] exam

Participation is limited, ensuring personal interaction with our expert faculty and peers.

Course materials and takeaways

All attendees receive:

- All course materials (a binder will be provided on the first day of the Academy)
- A one-year online subscription to *The Complete Compliance and Ethics Manual 2023*

*Products given away are subject to change.

CCEP-I Exam Offered

Certification matters. It can enhance your career and give you credibility with your organisation and peers. Immediately following each Academy, we offer an optional CCEP-I exam. A separate application and fee submitted directly to the Compliance Certification Board (CCB)[®] is required.

Please note: Although the Academies can provide the CEUs you need to qualify, they are not a preparation class for the exam itself.

SCCE's mission

SCCE exists to champion ethical practices and compliance standards in all organisations and to provide the necessary resources for compliance professionals and others who share these principles.

Basic Compliance & Ethics Academy

Our faculty



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



Jeffrey Driver, JD, CHC, CHRC, CCEP-I, Principal & Chief Consultant, Soteria Risk Works, LLC



Odell Guyton, CCEP, CCEP-I, Co-Founder SCCE, Managing Director, Klink & Co., Inc., SCCE & HCCA Board Member



Louis Perold, CCEP, CCEP-I, Global Compliance Manager, Jabil Circuit, Inc., SCCE & HCCA Non-Officer of the Executive Committee



Greg A. Triguba, CCEP, CCEP-I, JD, Principal, Compliance Integrity Solutions, SCCE & HCCA Board Member



Debbie Troklus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, President, Troklus Compliance Consulting, SCCE & HCCA Board Member



Sheryl Vacca, CHC-F, CHPC, CHRC, CCEP-I, CCEP-F, Chief Risk Officer, Providence St Joseph Health, SCCE & HCCA Board Member



Art Weiss, JD, CCEP-F, CCEP-I, Principal, Strategic Compliance & Ethics Advisors, Immediate Past Board President SCCE & HCCA

Faculty subject to change.



*Debbie Troklus, Chair of the
Compliance Certification Board
(CCB)[®] on getting certified*

“As our profession has grown, so has the need for professional certifications and education that focus on a variety of compliance industries such as general healthcare, privacy, research, and corporate compliance, as well as international. We see individuals not only seeking education or certification in one area, but in many and have in response to this expanded and increased our educational offerings for Academies, and for those who qualify, given the option to sit for a certification exam at the end of the Academy.

“I always had high hopes for these certifications, but the numbers of certified individuals and organizations recognizing these certifications far outweigh my expectations. The CCB certifications have really become the gold standard. With more than 11,300 individuals actively holding a CCB credential(s), the increase in organizations preferring individuals hold a CCB credential for hiring and the more than \$4,000,000 invested in the development of the Compliance Certification Board credentials, the numbers go to prove that there is now a compliance profession established. We don’t get asked, ‘What is compliance?’ anymore, everyone knows.”

CCEP-I[™]



Monday

08:00–09:00	Registration and Welcome Coffee <i>(provided)</i>
09:00–09:15	Welcome and Introduction
09:15–10:30	Introduction to Compliance <ul style="list-style-type: none"> • High level overview of the seven elements of a compliance programme • Practice and problems for the compliance professional • Highlight of areas of key importance to compliance programme
10:30–10:45	Break
10:45–12:30	Organisational Ethics <ul style="list-style-type: none"> • What it is • Legal and business value • Practice steps to create and maintain
12:30–13:30	Lunch <i>(provided)</i>
13:30–15:15	Education and Training <ul style="list-style-type: none"> • The need for compliance and ethics training • The difference between training and education • Different types and methods of training; targeted training • Demonstrating training effectiveness
15:15–15:30	Break
15:30–17:15	Compliance Infrastructure <ul style="list-style-type: none"> • An understanding of what is included in the CP infrastructure • Positions vital to the CP's infrastructure • Staffing and reporting structures

Tuesday

08:30–09:00	Welcome Coffee <i>(provided)</i>
09:00–10:45	Creating and Reviewing Compliance Policies and Procedures <ul style="list-style-type: none"> • Definitions of standards of conduct, policies, procedures, guidelines • Elements of policies and procedures • Ownership and reviewing policies and procedures
10:45–11:00	Break
11:00–12:45	Compliance and Ethics Risk Assessment <ul style="list-style-type: none"> • Define compliance risk and how to assist with role clarity • Discuss the rationale and key cultural and management variables important to conducting a risk assessment • Identify common methodologies and process for conducting a risk assessment
12:45–13:45	Lunch <i>(provided)</i>
13:45–14:00	Test Question and Answer
14:00–15:15	Discipline and Programme Improvement <ul style="list-style-type: none"> • Importance of discipline • Responsibilities in discipline process • Elements of programme improvement
15:15–15:30	Break
15:30–17:15	Investigations <ul style="list-style-type: none"> • Understand the investigations management process • Learn important investigation techniques • Know the key steps of every workplace investigation
17:15–18:15	Networking Reception

Wednesday

08:30–09:00	Welcome Coffee <i>(provided)</i>
09:00–10:45	Auditing and Monitoring <ul style="list-style-type: none"> • Role of auditing and monitoring in the compliance programme • Development of monitoring/auditing plans for effective assurance • The future of compliance programme auditing and monitoring
10:45–11:00	Break
11:00–12:45	Privacy <ul style="list-style-type: none"> • Overview of key privacy laws and regulations that could impact a US or global organization • Basic high-level introduction to law and regulations in all segments of industry • Laws and regulations from both the private and governmental industry segments • Law and regulations for activities in the US, Europe, Asia, and other areas of the world
12:45–13:45	Lunch <i>(provided)</i>
13:45–15:00	Obtaining Buy-in and Commitment <ul style="list-style-type: none"> • Understanding management/leadership styles • Developing methods to help in getting the buy-in that is needed for an effective compliance programme
15:00–15:15	Break
15:15–17:00	E&C Programmes: Effectiveness and Evaluation <ul style="list-style-type: none"> • Overview of essential components of E&C program effectiveness to include core elements of program design, implementation, and effective management, among other key areas • Explore effectiveness considerations across program elements to include value proposition, organization impact, global standards, stakeholder expectations, and best practices • Consider methods, tools, and resources for evaluation effectiveness, and suggested steps for managing program risks and taking your program to the next level

Thursday

08:30 –09:00	Welcome Coffee <i>(provided)</i>
09:00–10:00	Using Incentives in the Compliance Programme <ul style="list-style-type: none"> • Explore the different ways to use incentives, including personnel evaluations, rewards and awards, and giving compliance a role in promotion decisions • Understanding importance of company incentive programmes in general and why the compliance officer needs a seat at the table when any corporate incentive system is being developed • Understanding the difficult question “Should those who report fellow employees get rewards for doing so?”
10:00–10:15	Break
10:15–11:30	Conflicts of Interest <ul style="list-style-type: none"> • Conflicts of interest are some of the most common and challenging issues for compliance and ethics programmes • This session is designed to assist compliance professionals in understanding ethical and organization risks that result from conflicts of interest • This session will review the many kinds of conflicts of interest and how they occur, case studies, and best practices
11:30–11:45	Break
11:45–13:15	Anti-Corruption and Bribery <ul style="list-style-type: none"> • Global law enforcement efforts • Practical hands-on approach • Effective compliance remediation approaches
13:15–14:15	Lunch <i>(provided)</i>
14:15–14:45	Exam Check-In Time <i>(optional)</i>
14:45 – 18:15	Exam Time – Certified Compliance & Ethics Professional-International (CCEP-I)[®] Exam <i>(optional)</i>

The exam is optional. You must apply and be approved to sit for the CCEP-I exam by CCB, separately from your academy registration. To apply visit our online store at my.corporatecompliance.org. Academy and certification exams offered are only in English at this time.

PLEASE NOTE: If you are not present at the specified “Exam Time” as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 150 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.

SECTION 1 Attendee Information

Mr Mrs Ms Dr Other _____ Member/Account ID (if known/applicable) _____

First Name _____ MI _____ Last Name _____

Credentials (CHC, CCEP, etc.) _____ Job Title _____

Organization (name of employer) _____

Street Address _____ City/Town _____

State/Province _____ Zip/Postal Code _____ Country _____

Work Phone _____ Email (required) _____

SECTION 2 Registration

Basic Compliance & Ethics Academies

For additional international locations, visit corporatecompliance.org/academies

28–31 August 2023 • São Paulo, Brazil

SCCE Membership: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Opt-Out: Select if you would like to opt-out of the following:

Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

Dietary Needs Request (for in-person attendees only)

Gluten Free Kosher Certified Lactose Intolerant No Red Meat/Pork Nut Allergy
 Shellfish/Seafood Allergy Vegan Vegetarian Other _____

On-Site Cell Phone (for emergency on-site use only) _____

Pricing

<input type="checkbox"/> Member	\$2750 USD
<input type="checkbox"/> Non-Member	\$3250 USD
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$2975 USD

*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

Group Discount

<input type="checkbox"/> Group Discount for 3–9 Attendees**	(\$200 USD)
<input type="checkbox"/> Group Discount for 10 or More**	(\$400 USD)

**Subtract the discount amount from your registration price. See "Group Discount Policy" under "Acknowledgements" below for details.

TOTAL (TAX MAY APPLY) \$ _____

SECTION 3 Payment

Online registration with credit card payment at corporatecompliance.org/2023saopauloacademy

Mail a check to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA (contact SCCE for applicable tax and total)

To register with a check, wire transfer, or purchase order, or to pay with a credit card over the phone, please contact SCCE for an invoice with applicable taxes. Registration is not complete until full payment is received. Payments received with incorrect amounts will be returned. Due to PCI compliance, do not provide credit card information via email.

Email helpteam@corporatecompliance.org or call SCCE at +1 952.933.4977 or 888.277.4977.

Invoice me Purchase Order Number (attach PO) _____
 Wire transfer requested

SECTION 4 Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at corporatecompliance.org/conference/tandc, including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable at corporatecompliance.org/conference/tandc.

Registration Payment Terms: Tax may apply. Your registration is not complete until the full registration payment is received. Access to the event will not be allowed until all fees have been paid. SCCE reserves the right to cancel your registration if we do not receive payment by the start date of the event.

Cancellation Fee: A \$250 fee will be charged for any registration changed within 14 days of the start of an Academy.

Group Discount Policy: Registration for group discounts should be submitted online in one transaction. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount. If submitting via email or mail, registration forms (one for each participant) must be sent together to ensure the discount is applied.

New Members: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc.

Photo/Video Release: By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

Hotel and Academy Location

The Basic Compliance & Ethics Academy and optional CCEP-I exam are held at the location listed below. The cost of hotel accommodations are not included in your conference registration fee. The hotel room rate listed for the Academy is good until the cutoff date indicated or until the room block is full, whichever comes first. Reservations received after the cutoff date or after the room block is full will be accepted based on space and rate availability. Please note that parking and internet service charges are set by the hotel and may be subject to change.

PLEASE NOTE: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

28–31 August 2023 • São Paulo, Brazil

Renaissance São Paulo Hotel
Alameda Santos, 2233 – Jardim Paulista
São Paulo, Brazil 01419

Frequently Asked Questions

Where will my Academy take place?

Please see the hotel location above.

What is included in the cost of my attendance?

Access to the sessions, supplemental conference materials, and networking opportunities. You will also enjoy complimentary continental breakfasts, lunches, and snacks with the other attendees.

As an attendee you will also receive a 1-year online subscription to *The Complete Compliance & Ethics Manual* via COSMOS[®], available for access on the first day of the Academy.

What COVID-19 safety precautions will be implemented?

SCCE considers the health and safety of all those at in-person programs a top priority. Although participants should recognize that there is risk involved in attending, SCCE will follow the safety recommendations/guidelines provided by the CDC and other state and local government agencies in place at the time of the event. Additionally, SCCE will follow the venue requirements and work with the venue to provide a safe and enjoyable environment for all participants.

Can I see what sessions will be presented before I arrive on-site?

Yes, program information is posted on the conference website.

Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

Is there a group discount, and if so, what is it?

Yes, we offer discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars).

Registration for group discounts should be submitted online in one transaction. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount. If submitting via email or mail, registration forms (one for each participant) must be sent together to ensure the discount is applied.

For groups of 20 or more, please call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org.

What do I get with “Registration + First Time Membership?”

If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*[®] (CEP) monthly magazine, *Ethikos*[®] digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?

You can complete the registration online and select the “Invoice Me” payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an SCCE member instead of HCCA or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' events, but this cannot be done online. Please send your registration form via email to helpteam@corporatecompliance.org to complete your registration.

How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to helpteam@corporatecompliance.org. Cancellations received less than 14 calendar days prior to an event start date are subject to a \$250 cancellation fee for Academies. No refunds will be given for cancellations received on or after the start date of the event. Alternatively, you may choose to send a substitute attendee in your place up to two business days prior to the event date. An additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or concerns prior to the conference?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require accommodation to participate.

Continuing Education

Can I earn continuing education units (CEUs) for attending this Academy?

Yes. This Academy offers live Compliance Certification Board (CCB)[®] continuing education units (CEUs) for participation as well as other external credit types.

To see the most up-to-date CEU approval information, go to SCCE's website, corporatecompliance.org/conferences/academies, and choose this Academy, and then click on Continuing Education on the top navigation bar.

How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the Academy offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

How do I request CEUs following this Academy?

Following the Academy, you will receive an email with a link and instructions on how to submit your earned continuing education. You must complete this form in order to receive CEUs. Only registered attendees are eligible to request CEUs for participation.

When will I receive my CEU certificate for participation?

Once you have submitted your request for continuing education from this event, your CEU account will be automatically updated. To view your CCB CEUs and access your certificate, log into your account and select My CEUs.

I would like to sit for one of the Compliance Certification Board (CCB)[®] exams following this Academy; will I qualify?

While this Academy, if attended in full, can provide you with all of the CEUs you need to meet the continuing education requirement, you will need to also review the applicable Candidate Handbook found at corporatecompliance.org/candidate-handbooks to ensure you meet the work experience requirement.

I have reviewed the Candidate Handbook and want to apply for the exam as soon as the Academy concludes; what's next?

If you want to sit for the exam offered on the last day of the Academy and have reviewed your Candidate Handbook, you can apply online for your exam at my.corporatecompliance.org. You must be registered for the Academy first before you can apply to sit for the exam offered on-site.

I would like to sit for the exam, but not onsite at the Academy.

Can I take my exam remotely at another time?

Yes. CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, corporatecompliance.org/exam-information.

I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org.

Anexo III - Anexo 3 - e-mail SCCE - desconto 50_.pdf

Re: Ticket Updated - [#251518] 2023 - SCCE São Paulo Basic Compliance & Ethics Academy

April Kiel <helpteam@corporatecompliance.org>

Qui, 11/05/2023 15:41

Para: Lucas de Paula Silva <lucas.paula@cgu.gov.br>

Cc: Leandro da Silva Pacheco <leandro.pacheco@cgu.gov.br>

Thank you for reaching out. I've connected with Adam, and we would like to continue to support the **Office of the Comptroller General in Brazil (CGU)**. We are unable to extend a conference registration rate of \$500 US dollars, however, we would happy to to extend a 50% discount of the conference rate you qualify for. If you would still like to continue with the registration for yourself and your colleague, please let us know.

Regards,

April Kiel
Chief Operating Officer
SCCE & HCCA
Direct 952.405.7912

On Wed, May 10 at 7:42 AM , Lucas de Paula Silva <lucas.paula@cgu.gov.br> wrote:
Dear Sirs,

I work at the Office of the Comptroller General in Brazil (CGU), a Federal Anti-Corruption Agency, and we intend to apply for the SCCE São Paulo Basic Compliance & Ethics Academy on August 28 – 31, 2023 and for the exam at the end of the event to become certified.

In another years, some CGU controllers applied for this same academy and granted discount for each participant, so the CGU paid only USD 500.00 for the event.

I also would like to receive further information on how my agency could pay for the Course and Certification Fees (please send me detail on how to pay): it will be two applicants (I myself and another colleague, Leandro Pacheco, copied in this e-mail).

Thank you

**Anexo IV - Anexo 4 - Folder-custo exame certificação.
pdf**



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◀ Results

Store > Certifications

CCEP-I Exam



CCEP-I[®]

EXAM

\$375.00

Quantity

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Apply Now

Sharing

Description

The corporate world can be a high-risk and challenging environment that demands a proactive compliance approach. Being certified in this dynamic, changing profession can help mitigate compliance-related risks.

The Certified Compliance & Ethics Professional - International (CCEP-I)[®] is someone with knowledge of relevant regulations and expertise in compliance processes sufficient to assist organizations in understanding and addressing legal obligations, and promote organizational integrity through the operation of effective compliance programs.

Certification Highlights

An SCCE membership is not necessary to attain, maintain, or renew this certification

Certification is valid for two years, and expires the month a candidate originally passed the certification exam

Are you ready to be certified?

Make sure you meet:

CCB CEU requirements

Work Experience Requirements or Equivalent Student Experience

Contact

Privacy Policy

(<https://www.corporatecompliance.org/contact>)(<https://www.corporatecompliance.org/privacy>)

Once you've completed the Steps to Certification you can apply to take the CCEP-I exam.

(<https://www.corporatecompliance.org>)

**Anexo V - Anexo 5 - Notória especialização - catálogo
de publicações 2023.pdf**

— 2023 —
**PRODUCT
CATALOG**



As the compliance and risk landscape changes, compliance professionals are tasked with keeping up with shifting laws, regulations, and public expectations. The Society of Corporate Compliance and Ethics® & Health Care Compliance Association® (SCCE & HCCA) provide the resources necessary for compliance and ethics professionals to become educated, get involved, and stay informed. SCCE & HCCA publications provide critical analysis and industry-leading insights, helping you stay up to date with the evolving landscape.

In this catalog, you'll find offerings for:

- Corporate compliance resources and publications offered by SCCE (pp. 3 – 14)
- Healthcare compliance resources and publications offered by HCCA (pp. 16 – 25)

Prices indicated are subject to change

COSMOS®

Navigate the Compliance Universe

Whether you are looking for analysis of the latest regulatory updates, or guidance on how to improve your compliance program, our COSMOS online content platform can help. Search across our growing archives of member magazines, newsletters, books, conference presentations, and session recordings to provide the trusted answers you need—when you need them most. Learn more at compliancecosmos.org



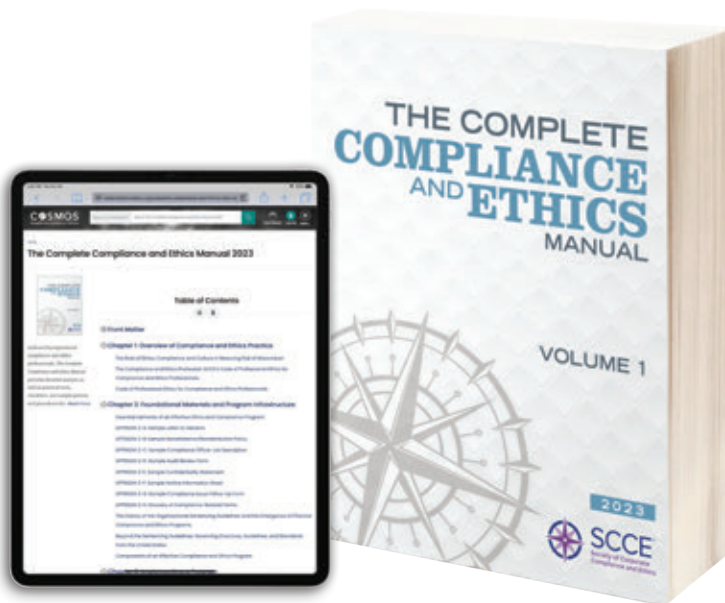
Join SCCE or HCCA and stay at the forefront of the ever-changing compliance industry. Membership includes a subscription to *Compliance & Ethics Professional (CEP) Magazine* or *Compliance Today*, which cover the latest news, developments, and practical tips, and *Ethikos*, the quarterly online newsletter focusing on business ethics issues. Members also receive discounts on SCCE & HCCA's educational events and publications.



Become a member today!

Learn more about SCCE membership
corporatecompliance.org/membership

Learn more about HCCA membership
hcca-info.org/membership



NEW

The Complete Compliance and Ethics Manual

As your go-to compliance resource, *The Complete Compliance and Ethics Manual* has the information you need to build and maintain a successful compliance and ethics program. More than 40 appendices have been updated in the 2023 edition.

New articles in the 2023 manual include:

- U.S. Antiboycott Laws: Understanding the Impact and Ensuring Compliance
- ESG, Cyber, and Privacy: Bridging the Divide
- EU Whistleblower Directive
- Creating Effective Compliance Training
- Creating an Effective Code of Conduct and Code Program

Upgraded content areas includes:

- Board Engagement, Training, and Reporting
- Creating an Organizational Investigations Program and Conducting Effective Workplace Investigations
- Independent Investigations Overseen by Audit Committee: Procedures and Guidance
- Anti-Money Laundering Compliance Programs for Financial Institutions and Other Businesses
- Government Agencies: Effective Compliance and Ethics Programs Are Necessary for Public Trust
- Harassment in the Workplace: Leadership Impact and the Role of the Compliance and Ethics Practitioner
- Data Mapping: A Necessary Risk Management Tool
- Creating an Effective Data and Information Governance Program
- Social Media Compliance

Readers can earn up to 10 non-live Compliance Certification Board (CCB)[®] continuing education units (CEUs) by passing the quiz associated with this manual.

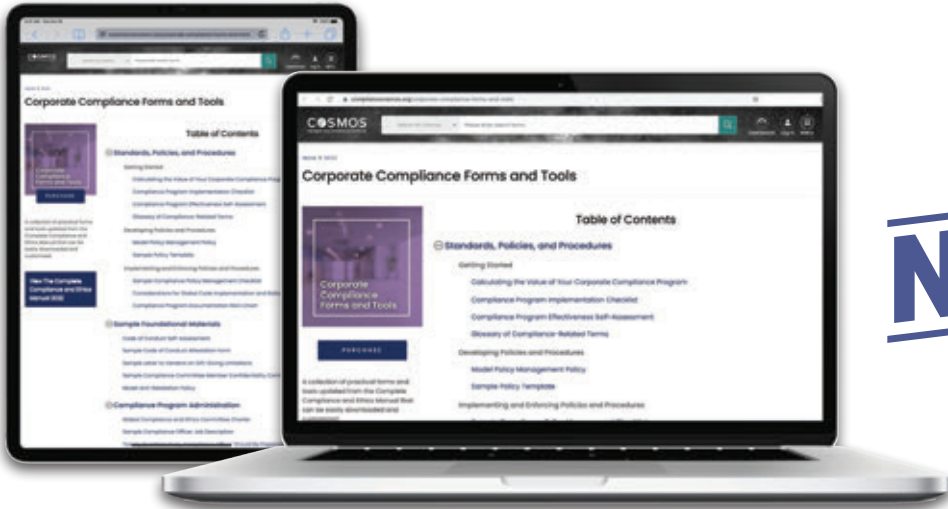
Online and bundle subscriptions now include access to the United States Code (USC) and Code of Federal Regulations (CFR) databases, as well as our Corporate Compliance Forms and Tools library available in downloadable Word document format.

PURCHASING OPTIONS:

Two-volume softcover book set: Members: \$279 / Non-members: \$379

Online access: Members \$239 / Non-members: \$319

Softcover book set + Online access: Members \$399 / Non-members: \$539



Corporate Compliance Forms and Tools

This collection of sample policies, procedures, checklists, and other tools can be downloaded as Word documents and easily edited or customized for your organization. Content includes forms and tools on topic areas featured in *The Complete Compliance and Ethics Manual*.

Now you can quickly and easily search COSMOS® for the resources that you need to complete your compliance program project.

Find practical forms and tools in the following subject areas:

- Standards, policies, and procedures
- Compliance program administration
- Communication, education, and training
- Auditing and monitoring
- Internal reporting systems
- Employee discipline and incentives
- Investigation and response
- Risk assessment and management
- Specific compliance and ethics risks

A subscription is included with your purchase of a one-year online subscription or bundle purchase of *The Complete Compliance and Ethics Manual* or can be purchased as a stand-alone subscription.

PURCHASING OPTION:

One-year online subscription: Members \$239/ Non-members \$319

DEVELOPING AND IMPLEMENTING COMPLIANCE PROGRAMS



International Compliance 101, 2nd Edition

by Debbie Troklus, Sheryl Vacca, and Louis Perold

This book provides the basic information you need to establish a global compliance and ethics program and keep it active and growing. Written by compliance and ethics experts in the field, it is an ideal resource for a range of professionals, from those who are new to the field to senior leadership.

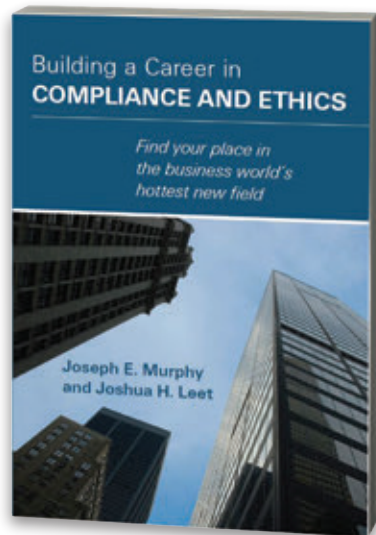
This edition covers the seven essential elements of a compliance program, the steps needed to implement an effective one, and more.

PURCHASING OPTIONS:

Softcover book: Members \$55 / Non-members \$80

Online access: Members \$55 / Non-members \$80

Softcover book + Online access: Members \$85 / Non-members \$115



Building a Career in Compliance and Ethics

by Joseph E. Murphy and Joshua H. Leet

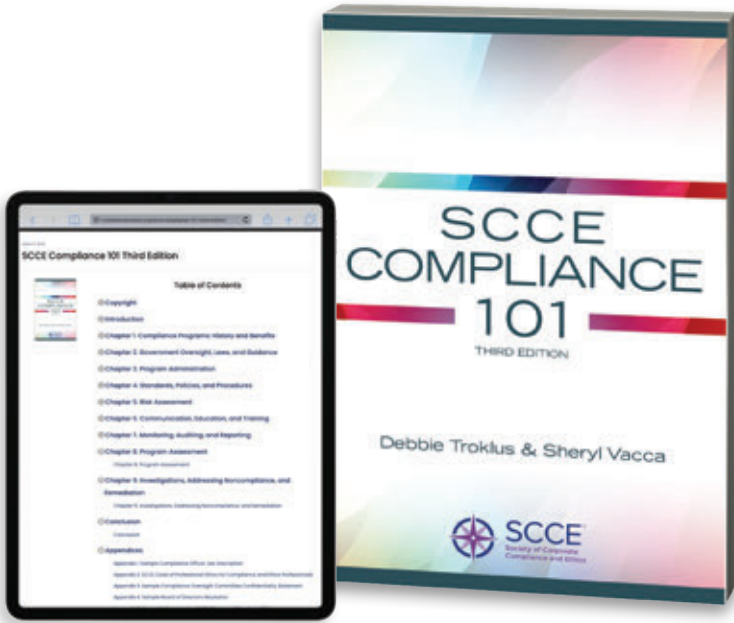
This book features step-by-step instructions on how to establish a career making powerful organizations safer and more ethical.

You'll learn:

- The wide range of compliance and ethics jobs
- The skills and temperament needed for this field
- Practical ways to prepare for and get ahead in your career
- Steps for conducting an effective job search
- Advice from seasoned compliance and ethics professionals in the field
- Tips for "selling" your compliance and ethics program to upper management

PURCHASING OPTION:

Softcover book: Members \$55 / Non-members \$80



NEW

SCCE Compliance 101, Third Edition

by Debbie Troklus and Sheryl Vacca

SCCE Compliance 101, Third Edition offers a concise overview of compliance programs, how they operate, and the compliance officer's role. Written by authors Debbie Troklus and Sheryl Vacca, it contains insight into best practices for building or maintaining an effective compliance program and is ideal for new practitioners, board members, or staff education.

Get guidance and insight on:

- Benefits and administration of a compliance program
- Government guidance and laws
- Risk assessment, monitoring, and auditing
- Measuring program effectiveness

Readers can earn up to 2 non-live Compliance Certification Board (CCB)[®] continuing education units (CEUs) by passing the quiz associated with this book.

Released December 2021, the updated *SCCE Compliance 101, Third Edition* provides insights and tips on running an effective compliance program and includes new chapters, sample policies, forms, and further resources to explore.

PURCHASING OPTIONS:

Softcover book: Members \$55 / Non-members \$80

Online access: Members \$55 / Non-members \$80

Softcover book + Online access: Members \$85 / Non-members \$115



Compliance Risk Assessments: An Introduction

by Judith W. Spain

This book includes a sample compliance risk assessment survey and will walk you through the compliance risk assessment process step by step. Learn how to build a robust process, avoid common pitfalls, and work toward continuous improvement.

Topics include:

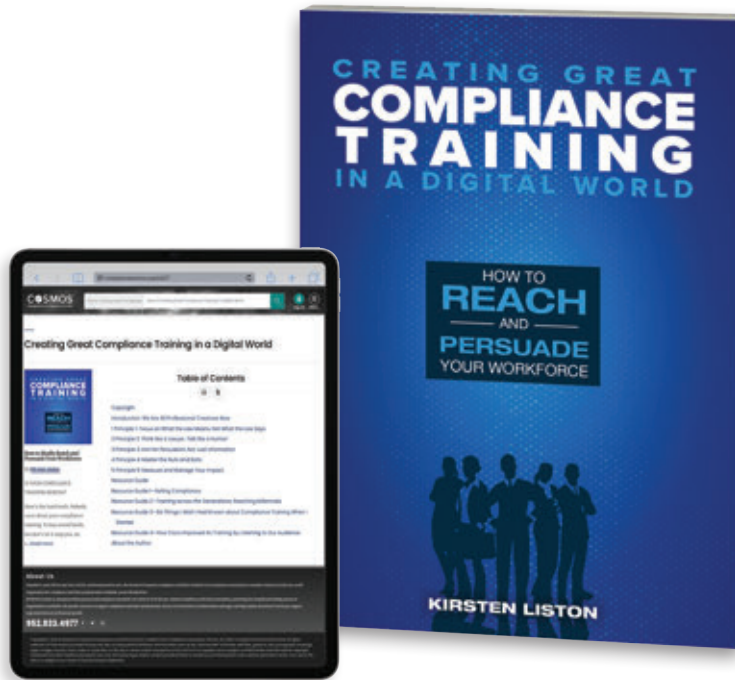
- Understanding the nature of risk and importance of risk management
- Defining the compliance risk universe
- Determining the likelihood and impact of a risk's occurrence
- Creating and conducting the risk assessment survey
- Compiling and evaluating results
- And more

PURCHASING OPTIONS:

Softcover book: Members: \$55 / Non-members: \$80

Online access: Members: \$55 / Non-members: \$80

Softcover book + Online access: Members: \$85 / Non-members: \$115



Creating Great Compliance Training in a Digital World

by Kirsten Liston

This book can help you to “sell compliance” to your workforce through proven strategies and tactics. In these pages, compliance meets content marketing, journalism, and advertising.

Learn the five key principles behind great compliance training:

- Focus on what the law means, not what the law says
- Think like a lawyer, talk like a human
- Aim for persuasion, not just information
- Master the nuts and bolts
- Measure and manage your impact

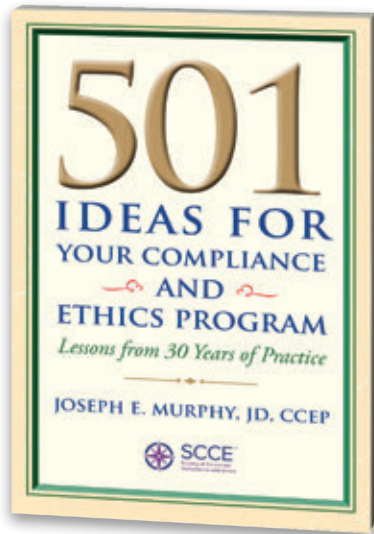
PURCHASING OPTIONS:

Softcover book: Members \$55 / Non-members \$80

Online access: Members \$55 / Non-members \$80

Softcover book + Online access: Members \$85 / \$115

RUNNING EFFECTIVE COMPLIANCE & ETHICS PROGRAMS



501 Ideas for Your Compliance and Ethics Program: Lessons from 30 Years of Practice

by Joseph E. Murphy, JD, CCEP

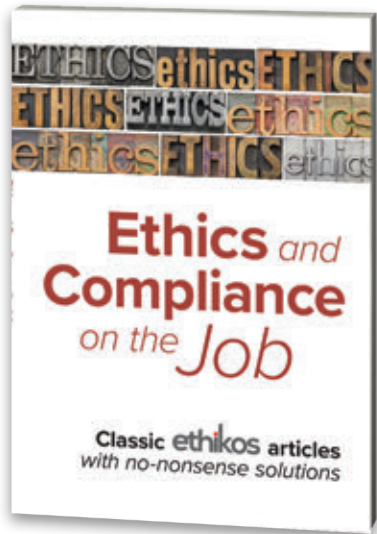
Author Joseph Murphy has spent his career collecting great ideas for building an effective compliance and ethics program. He shares 501 of them here to help others find new ways to improve their programs. Print and web citations are included next to each idea.

Topics covered in this collection include:

- Identifying compliance and ethics risks
- Preparing for investigations
- Establishing and enforcing a program
- Evaluating effectiveness
- Conducting audits
- Benchmarking against industry practices
- And much more!

PURCHASING OPTION:

Softcover book: Members: \$55 / Non-members: \$80



Ethics and Compliance on the Job

As the beacon of business ethics publications, *Ethikos* has shined a spotlight on ethics and compliance for more than 25 years. This anthology of articles brings together highly relevant and practical ideas, insights, and advice for today’s practitioners.

Articles for this collection were selected to cover five key subject areas:

- Establishing/promoting an ethical and compliant culture
- Implementing effective programs
- Communicating ethics and compliance
- Training and education for ethics and compliance
- Assessing and measuring program effectiveness

PURCHASING OPTION:

Softcover book: Members: \$75 / Non-members: \$100

INVESTIGATIONS AND AUDITS

“ **#63:**
What didn't happen is as important as what did....Your investigation findings must tell a story. ”



The First Information Is Almost Always Wrong: 150 Things to Know About Workplace Investigations

by Meric Craig Bloch, Esq., CCEP, PCI, CFE

In this book, Meric Craig Bloch details the strategies and tactics he knows work best. His practical guidance will help readers learn to plan and conduct thorough investigations and turn the results into valuable knowledge for their organizations. His insightful approach is mapped out in three sections:

- Protect your career — How to think like a workplace investigator
- Protect your company — How to integrate your investigations into your company's operations
- Protect your case — How to conduct an effective workplace investigation

PURCHASING OPTIONS:

Softcover book: Members: \$90 / Non-members: \$120

Online access: Members: \$90 / Non-members: \$120

Softcover book + Online access: Members: \$120 / Non-members: \$160

Three-book set: Members: \$220 / Non-members: \$295

Three-book set + Online access: Members: \$320 / Non-members: \$435

SAVE WHEN YOU BUY ALL THREE OF MERIC BLOCH'S BOOKS AS A SET:



Workplace Investigations: Techniques and Strategies for Investigators and Compliance Officers

by Meric Craig Bloch, Esq., CCEP, PCI, CFE

Let this book be your guide, and you will learn how to effectively handle the entire investigations process.

This book walks you through every step of an internal investigation and covers how to:

- Structure the process
- Select an investigations team
- Plan the investigation
- Interview reporters and witnesses
- Interview implicated employees
- Secure relevant documents
- Evaluate evidence
- Reach conclusions
- Write a final report and move forward

PURCHASING OPTIONS:

Softcover book: Members: \$100 / Non-members: \$135
Online access: Members: \$100 / Non-members: \$135
Softcover book + Online access: Members: \$130 / Non-members: \$175
Three-book set: Members: \$220 / Non-members: \$295
Three-book set + Online access: Members: \$320 / Non-members: \$435

Investigative Interviewing: It's Not Just What You Ask, But How You Ask It—A Q&A Guide

by Meric Craig Bloch, Esq., CCEP, PCI, CFE

In this book, Meric Craig Bloch has gathered the most useful questions posed to him and provided his expert answers.

This book offers effective strategies and tactics that can help you become a better workplace investigator and covers the seven key areas of investigative interviewing:

- Preliminary considerations
- Fine-tuning your approach
- The interview process
- Interviewing the reporter
- Interviewing the subject
- Assessing credibility and detecting deception
- Writing the interview memo

PURCHASING OPTIONS:

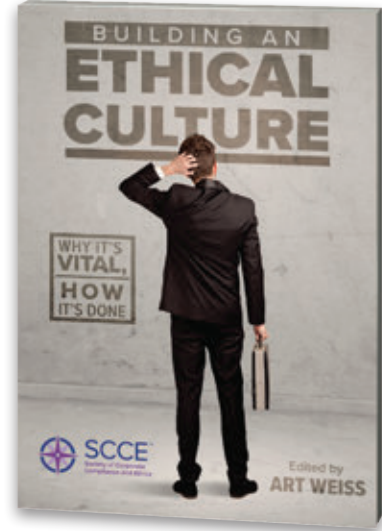
Softcover book: Members: \$55 / Non-members: \$80
Online access: Members: \$55 / Non-members: \$80
Softcover book + Online access: Members: \$85 / Non-members: \$115
Three-book set: Members: \$220 / Non-members: \$295
Three-book set + Online access: Members: \$320 / Non-members: \$435

Three-book set: Members \$220 / Non-members \$295 Three-book set + Online access: Members: \$320 / Non-members: \$435

ETHICS & INTEGRITY IN THE COMPLIANCE PROFESSION

“ **A company’s ethical culture is formed and sustained...by appealing to each employee’s personal integrity and inspiring a commitment to the company’s mission and core values.** ”

—Ted Nuñez,
contributing author



Building an Ethical Culture

edited by Art Weiss

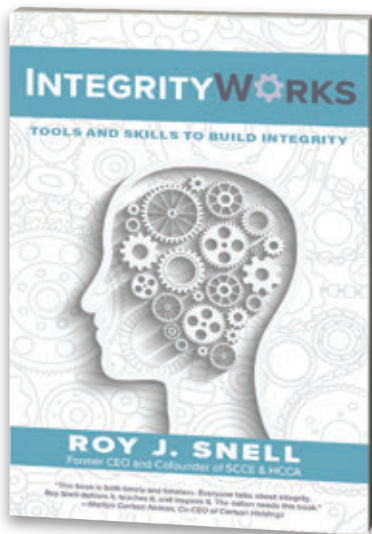
This book is for compliance and ethics professionals who want to understand what fuels unethical behavior in the workplace and how to build a culture that prevents it.

This step-by-step guide shows you how to embrace shared core values to create lasting change. You’ll learn:

- What it means to have an ethical culture and why it’s critical to your organization’s survival,
- How to build a solid foundation for a compliance and ethics program that thrives,
- And more!

PURCHASING OPTION:

Softcover book: Members: \$55 / Non-members: \$80



IntegrityWorks: Tools and Skills to Build Integrity

by Roy J. Snell

In this book, author Roy J. Snell describes four areas we can all work on to act with more integrity:

- Being honest with ourselves about our core beliefs
- Recognizing cognitive biases and how they affect our decision-making abilities
- Having respectful, civil debates and listening to all sides of an issue
- Going through a critical thinking process when solving problems and making important decisions

Through practical tips and helpful exercises, interviews with ethical leaders, and personal stories, Snell challenges readers to change their thinking and do the work it takes to build one's integrity in their professional and personal lives.

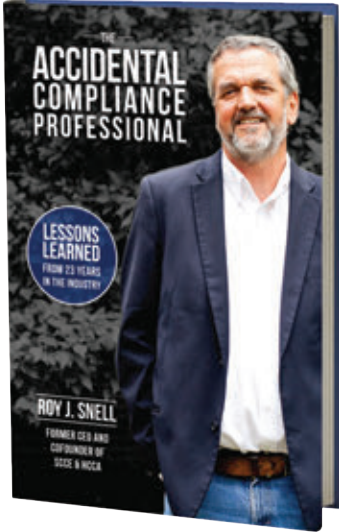
PURCHASING OPTION:

Softcover book + Online access: Members \$12.95 / Non-members \$17.95

“ This is a profoundly readable, practical, empowering, and enabling book for all of us who would like to bring our whole and best selves to our professional endeavors. ”

—Mary C. Gentile, PhD, Author of *Giving Voice to Values: How to Speak Your Mind When You Know What's Right*

INDUSTRY INSIGHTS



The Accidental Compliance Professional: Lessons Learned from 23 Years in the Industry

by Roy J. Snell

What does 23 years in the compliance and ethics industry teach you? In this book, former CEO and cofounder of SCCE & HCCA Roy J. Snell tells his personal and compliance war stories, and how they can help any compliance professional succeed.

In an entertaining yet practical way, you'll learn:

- The emotional intelligence and interpersonal skills needed to succeed.
- The tools needed to fully attack and fix a compliance problem.
- Many more lessons that you can use in your career!

PURCHASING OPTIONS:

Hardcover book + Online access: Members: \$39.95 / Non-members: \$54.95

Softcover book + Online access: Members: \$29.95 / Non-members: \$39.95



“A thoroughly enjoyable must-read for every compliance professional. The book is a wonderful combination of all of Roy’s best qualities: wisdom, passion, experience, humor, and just the right amount of wise cracker. I’ve known Roy for almost 20 years and still found I had more to learn from him.”

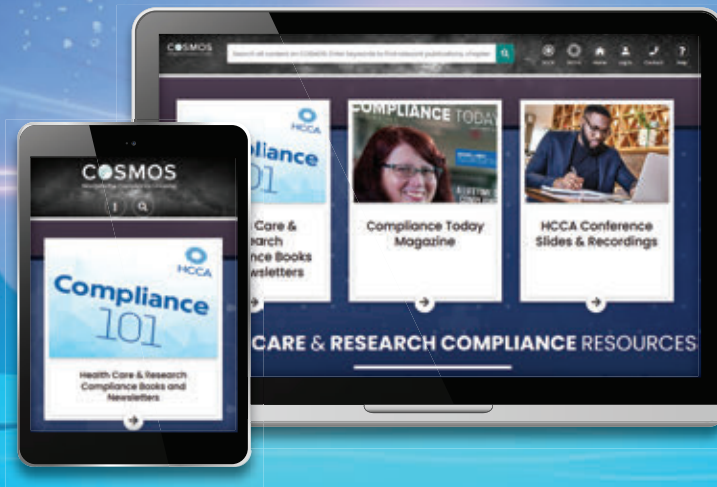
*—Margaret Hambleton, CHC, CHPC,
President, Hambleton Compliance*

Compliance resources at your fingertips

Get the trusted answers you need, when you need them most, on COSMOS®, HCCA's online content platform. Access proven, practical compliance content on your phone, computer, or table—anytime, anywhere.

COSMOS houses a growing collection of compliance resources, including:

- Member magazines
- Newsletters
- Books
- Conference presentations and session recordings
- And more!





NEW

Complete Healthcare Compliance Manual

Newly updated in 2023, this two-volume manual provides new and experienced practitioners with first-class guidance and insights on the fundamentals of program management, risk assessment, compliance training, auditing and monitoring, and much more.

With over 80+ actionable program-related resources including sample board reports, checklists, forms, surveys, and policy templates, practitioners will be able to download and edit tools they can use to develop and maintain an effective healthcare compliance program.

This annually updated manual is the comprehensive, practical, and authoritative resource every healthcare compliance professional needs. Learn how to:

- Raise awareness of your organization’s compliance program
- Use best practices during internal investigations and in response to government investigations
- Create policies and procedures for managing high-risk areas
- Develop and improve educational and compliance training materials
- Successfully navigate a CIA or IA
- Create impactful board reports and communicate effectively with the board
- Understand and plan for developing risk areas
- Maintain, monitor, and evaluate program effectiveness

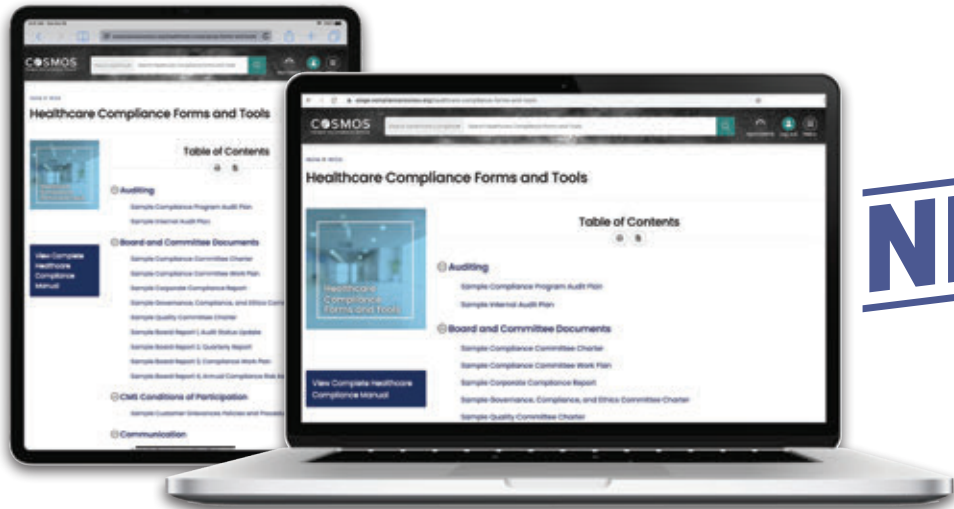
Online and bundle subscriptions include access to the United States Code (USC) and Code of Federal Regulations (CFR) databases as well as a one-year online subscription to Healthcare Forms and Tools with documentation templates you can download and customize for your program.

PURCHASING OPTIONS:

Softcover manual: Members: \$279 / Non-members: \$379

Online access: Members: \$239 / Non-members: \$319

Softcover manual + Online access: Members: \$399 / Non-members: \$539



Healthcare Compliance Forms and Tools

This collection of sample policies, procedures, checklists, and forms can be downloaded as Word documents and easily edited or customized for your organization. Content includes forms and tools for topic areas featured in the *Complete Healthcare Compliance Manual*.

Now you can quickly and easily search COSMOS® for the resources that you need to complete your healthcare compliance program project.

Find practical forms and tools, such as:

- Sample board reports
- Sample compliance risk assessment questionnaire
- Sample compliance monitoring plan
- List of compliance policies
- Provider-based compliance audit checklist
- Sample internal audit plan
- And more

A subscription to *Healthcare Compliance Forms and Tools* is included with your purchase of a one-year online subscription or bundle purchase of the *Complete Healthcare Compliance Manual* or can be purchased as a stand-alone subscription.

PURCHASING OPTION:

One-year online subscription: Members \$239/ Non-members \$319



Health Care Privacy Compliance Handbook, Third Edition

As our nation continues to move toward the expanded sharing of electronic healthcare records, and with the increasing use of cloud databases, HCCA recognizes that healthcare privacy professionals need help keeping up with health information regulations.

Get the tools you need with the third edition of *Health Care Privacy Compliance Handbook*. The newly updated handbook will help you navigate the legal and regulatory framework that governs protected health information. Written by faculty of HCCA's Healthcare Privacy Compliance Academy, this vital resource offers up-to-date guidance on:

- HIPAA Privacy and Security rules
- Breach Notification rule
- Vendor relations
- Human research privacy
- Payer privacy issues
- Privacy Act
- Family Educational Rights and Privacy Act
- 42 C.F.R., Part 2
- Privacy risk assessments
- Auditing and monitoring for privacy

PURCHASING OPTIONS:

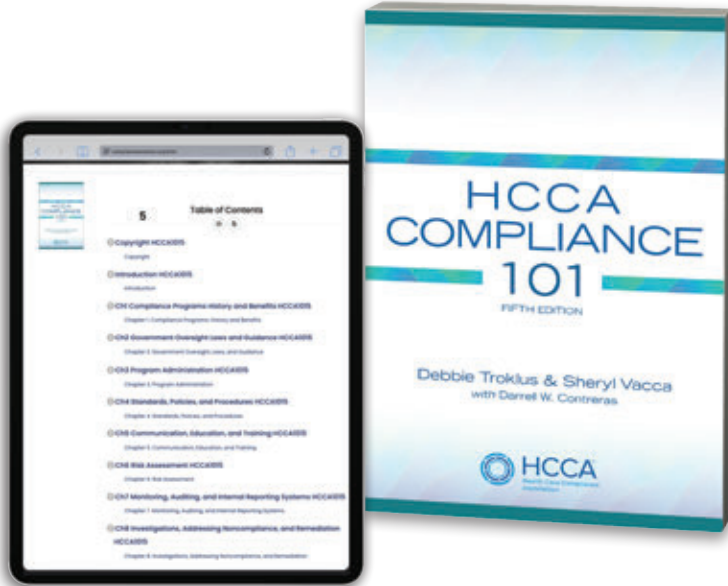
Softcover book: Member \$195/ Non-member \$265

Online access: Member \$165 / Non-member \$225

Softcover book + Online access: Member \$265 / Non-member \$355

“Data privacy and security are significant issues in virtually every deal or decision made by large and small healthcare companies.”

DEVELOPING & IMPLEMENTING COMPLIANCE PROGRAMS



NEW

Compliance 101, Fifth Edition

by Debbie Troklus and Sheryl Vacca, with contributing author Darrell W. Contreras

HCCA Compliance 101, Fifth Edition, is a concise overview of healthcare compliance programs, how they operate, and the role of the compliance officer. It addresses best practices and strategies for both new and established healthcare compliance programs.

Content includes:

- Benefits and administration of a compliance program following the seven essential elements
- Government guidance and laws
- Patient privacy and security
- Risk assessment, monitoring, and auditing
- Program assessment and measuring effectiveness

Readers can earn up to 2 non-live Compliance Certification Board (CCB)[®] continuing education units (CEUs) by passing the quiz associated with this book.

This concise handbook is perfect for new compliance professionals, board members, staff, and others who need a foundation in compliance principles and an understanding of what’s needed to run an effective program.

PURCHASING OPTIONS:

Softcover book: Members \$55 / Non-members \$80

Online access: Members \$55 / Non-members \$80

Softcover book + Online access: Members \$85/ Non-members \$115

RESEARCH COMPLIANCE



Research Compliance Professional's Handbook, 3rd Edition

To be successful in research compliance, it is vital to play by the rules. If not, it can result in misconduct accusations and harsh consequences for researchers and institutions. Get comprehensive, up-to-date guidance to meet the demands of governing entities. Written by clinical research experts, this handbook can help you cultivate an effective research compliance program.

Subjects include:

- Human subject protections
- Biosafety and biosecurity
- Conflicts of interest
- Scientific misconduct
- And more

PURCHASING OPTIONS:

Softcover book: Members \$195/ Non-members \$265

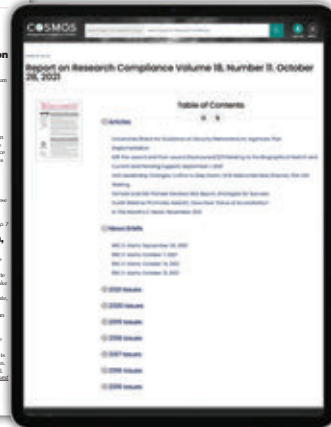
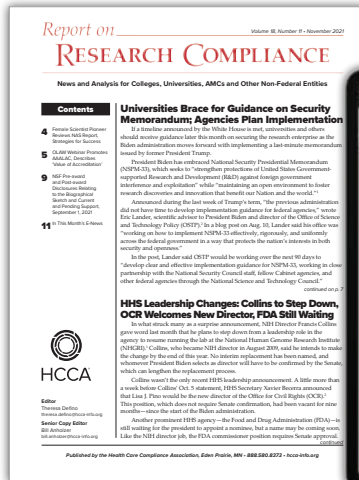
Online access: Members \$165/ Non-members \$225

Softcover book + Online access: Members \$265/ Non-members \$355

RESEARCH COMPLIANCE

MONTHLY NEWSLETTER

Report on RESEARCH COMPLIANCE



Report on Research Compliance

Report on Research Compliance provides unique and timely content and actionable business strategies to safeguard your organization from costly research compliance mistakes.

Some of the topics you can read about each month are:

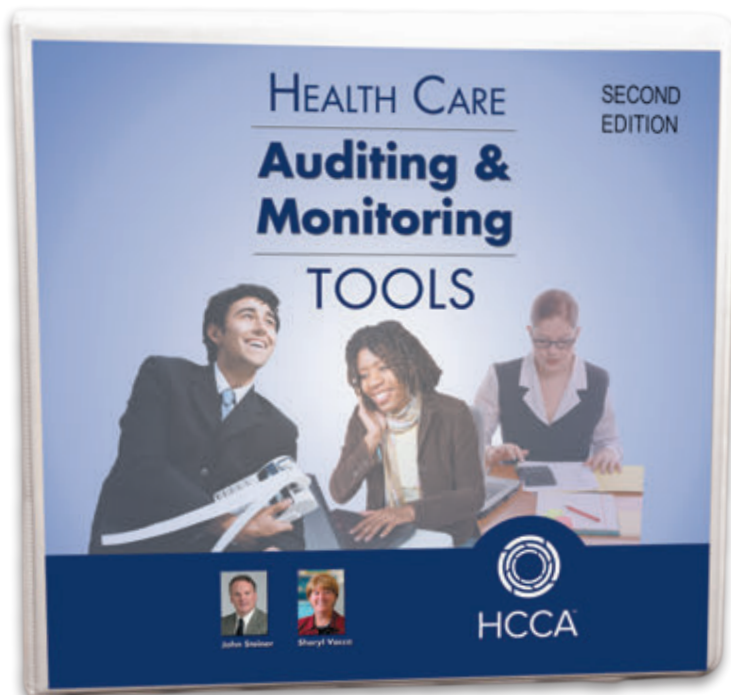
- False Claims Act settlements and misconduct findings
- Audits and enforcement actions
- Regulations governing biomedical, animal, and other types of research

Earn 1 non-live Compliance Certification Board (CCB)[®] continuing education unit (CEU) per each issue read.

Subscriptions include 12 issues delivered by First-Class mail, weekly e-news delivered to your inbox, and digital access to our online compliance portal, COSMOS.

ANNUAL SUBSCRIPTION (12 MONTHLY ISSUES):

Print newsletter + Online access: Members \$425 / Non-members \$575



Health Care Auditing & Monitoring Tools, Second Edition

This toolkit provides templates, sample reports, model policies and procedures, and more to help improve your program.

This toolkit covers:

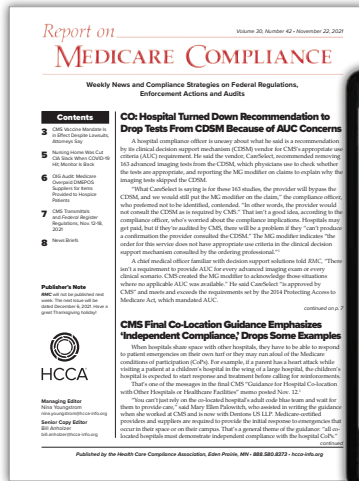
- Building a compliance program
- Risk assessment and plan development
- Policies and procedures
- Tools for specific program audits
- Program effectiveness reviews

The print book also comes with a PDF version of the book to provide easy access to documents created and implemented by your professional peers.

PURCHASING OPTION:

Binder book and PDF: Members: \$259 / Non-members \$349

Report on MEDICARE COMPLIANCE



Report on Medicare Compliance

Report on Medicare Compliance includes effective, practical strategies and checklists you can immediately implement into your compliance program. You will stay up to date on the ever-changing world of Medicare and get expert insights and guidance on what these developments mean for your organization.

Below are some of the topics covered each month:

- Medicare and commercial audits
- False Claims Act settlements and misconduct findings
- Stark Law and the Anti-Kickback Statute
- Inpatient and outpatient billing

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Subscriptions include 45 issues, a searchable library of past issues, and digital access to our online compliance platform, COSMOS.

ANNUAL SUBSCRIPTION (45 WEEKLY ISSUES):

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NEW

False Claims in Healthcare

False Claims in Healthcare is an essential guidebook to the False Claims Act and how it applies to healthcare compliance issues. It examines various aspects of the False Claims Act and qui tam actions, enforcement actions, common FCA issues, and state false claims laws; and also contains insights and strategies for compliance professionals looking to protect their organizations and build effective compliance programs.

You'll learn more about:

- History of the False Claims Act and qui tam actions
- The role of compliance officers and programs in the fight against fraud
- Unique issues in FCA investigations
- How the Stark Law and Anti-Kickback Statute are FCA risks
- Common and cutting-edge FCA issues
- Government investigations
- Medicare and Medicaid overpayment 60-day report and return statute
- State false claims acts and related statutes

PURCHASING OPTIONS:

Softcover book: Members \$74.95 / Non-members \$99.95

Online access: Members \$74.95 / Non-members \$99.95

Softcover book + Online access: Members \$99.95 / Non-members: \$133.95



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Society of Corporate Compliance and Ethics
& Health Care Compliance Association
6462 City West Parkway
Eden Prairie, MN 55344 USA

Anexo VI - Anexo 6- preço cobrado em 2016.pdf

Milena Luz Barbosa

De: Clark, Cheryl <Cheryl.Clark@corporatecompliance.org>
Enviado em: sexta-feira, 8 de julho de 2016 13:19
Para: Wagner Rosa da Silva
Cc: Milena Luz Barbosa; Joao Carlos Figueiredo Cardoso
Assunto: RE: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM
Anexos: Silva_Wagner 657164 rev.PDF; Cardoso_Joao Carlos 657189 rev.PDF

Wagner,

I have cancelled the two registrations/memberships processed online at the \$2700 rate. I have processed two registrations as non-members at the \$500 special rate and the new invoices are attached.

Please let me know if you have any questions.

Thank you,

Cheryl Clark

Member Services

HCCA/SCCE

6500 Barrie Road, Suite 250

Minneapolis, MN, 55435

888-580-8373/888-277-4977

Direct Phone Number 952-567-6209

FAX 952-988-0146

Cheryl.clark@corporatecompliance.org

Health Care Compliance Association | www.hcca-info.org



Society of Corporate Compliance & Ethics | www.corporatecompliance.org



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[HCCA 2015 Chief Compliance Officer & Staff Salary Survey | Get your copy today](#)

 *Please consider the environment before printing this e-mail*

From: Wagner Rosa da Silva [mailto:wagner.silva@cgu.gov.br]
Sent: Friday, July 08, 2016 8:15 AM
To: Clark, Cheryl
Cc: Milena Luz Barbosa; Joao Carlos Figueiredo Cardoso
Subject: ENC: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM

Dear Cheryl Clark,

Would you please cancel the previous invoices and send us the new invoices only with the event fee (\$500 each)? Hope hearing from you soon.

Sincerely,

Wagner Rosa da Silva

De: Bauer, Stephanie [mailto:Stephanie.Bauer@corporatecompliance.org]
Enviada em: quarta-feira, 6 de julho de 2016 16:14
Para: Wagner Rosa da Silva <wagner.silva@cgu.gov.br>
Cc: Joao Carlos Figueiredo Cardoso <joao.f.cardoso@cgu.gov.br>; Milena Luz Barbosa <milena.luz@cgu.gov.br>
Assunto: RE: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM

Hello Wagner,

I have Cheryl Clark, copied on this email assisting with the invoice adjustments. The invoices will include your membership fee and event fee. Once updated, a new invoice will be emailed out.

You can use the credits earned at the academy to sit for the exam. If you would like to sit at the end of the event please fill out the attached application and submit payment. Please note, with exam applications, we do not invoice and payment is needed to process the application.

Please let me know if you have any questions.

Thank you,

Stephanie Bauer

Certification Customer Service Representative
Compliance Certification Board (CCB)®
6500 Barrie Road, Suite 250, Minneapolis, MN 55435
Direct: 952 405 7926 | Fax: 952 988 0146
HCCA: 888.580.8373 | SCCE: 888.277.4977



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From: Wagner Rosa da Silva [mailto:wagner.silva@cgu.gov.br]
Sent: Wednesday, July 06, 2016 2:06 PM
To: Bauer, Stephanie
Cc: Joao Carlos Figueiredo Cardoso; Milena Luz Barbosa
Subject: RES: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM

Dear Stephanie,

First of all, thank you a lot for your positive answer to my previous question.

By now, considering that we (João Carlos and I) have already completed previous registration (Order Number 657164 and 657189) and when we login and try to register again, we receive a message that your records indicate that the applicant has already registered for this event, I ask if it is necessary that you cancel the previous registrations in order to apply again.

Another doubt is: If I want to become a SCCE member, the corresponding membership fee (\$200) could be included in the same invoice?

Furthermore, I would like to know whether the application for CCEP-I Examination could be done also by this time or only after attending the Academy. In the case it is possible to apply now, would it be included on the same invoice (of course, adding the correspondent value)?

Regarding the necessary credits to apply to CCEP-I Examination, recently (June 13, 2016, please see attached file) I have been certified as TRACE Anti-Bribery Specialist (TASA Accredited). Could these credits be considered? How many?

Additionally, since Law 12.846/2013 entered into force, we (João Carlos and I) have been working with it, including the analysis of compliance systems of private enterprises.

Sincerely,

Wagner Rosa da Silva

De: Bauer, Stephanie [<mailto:Stephanie.Bauer@corporatecompliance.org>]

Enviada em: quarta-feira, 6 de julho de 2016 11:46

Para: Wagner Rosa da Silva <wagner.silva@cgu.gov.br>

Cc: Milena Luz Barbosa <milena.luz@cgu.gov.br>; Clark, Cheryl <Cheryl.Clark@corporatecompliance.org>

Assunto: RE: 2016 Basic Compliance & Ethics Academies - São Paulo, Brazil - and CCEP-I EXAM

Hello Wagner,

We can honor the \$500 rate for up to a total of 5 individuals from your agency. You have used 1 last year, so that leaves 4 remaining. Please note, however that the \$500 registration rate only covers the cost of the conference. If either you or your colleague wish to become a member, there would be an additional \$200 fee to activate membership.

Please complete a registration form you and your colleague and indicate \$500 per April on the form. Once we have received them, we will forward you invoices.

Please let me know if you have any questions.

Thank you,

Stephanie Bauer

Certification Customer Service Representative

Compliance Certification Board (CCB)®

6500 Barrie Road, Suite 250, Minneapolis, MN 55435

Direct: 952 405 7926 | Fax: 952 988 0146

HCCA: 888.580.8373 | SCCE: 888.277.4977



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From: Wagner Rosa da Silva [<mailto:wagner.silva@cgu.gov.br>]

Sent: Tuesday, July 05, 2016 4:01 PM

To: Bauer, Stephanie

Cc: Milena Luz Barbosa

Subject: RES: 2016 Basic Compliance & Ethics Academies - São Paulo, Brazil - and CCEP-I EXAM

Dear Stephanie,

Last year, another Director from the CGU, Sergio Nogueira Seabra, applied for this same academy and, instead of paying USD 2,700.00, the CGU paid only USD 500.00 for it (see file attached).

This year, while analyzing the process here at CGU , this difference was questioned. Considering that now there are two would-be participants from CGU (Wagner Rosa da Silva and João Carlos Figueiredo Cardoso), I ask whether it would be possible to grant the same discount to each of the CGU's participant of 2016, otherwise it will be very hard to justify such a difference which probably would make unfeasible these applications.

Sincerely,

Wagner Rosa da Silva
Audit Director of Infrastructure
Office of the Comptroller General
Ministry of Transparency, Monitoring and Control

De: Bauer, Stephanie [<mailto:Stephanie.Bauer@corporatecompliance.org>]

Enviada em: quinta-feira, 16 de junho de 2016 12:12

Para: Wagner Rosa da Silva <wagner.silva@cgu.gov.br>

Assunto: RE: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM

Hello Wagner,

Individuals can pay for the exam application by either check written in USD funds, credit card, or wire transfer. I have attached the wire transfer details for your convenience. Please note, payment must be received in order to process the applications.

Please let me know if you have any questions.

Thank you,

Stephanie Bauer

Certification Customer Service Representative
Compliance Certification Board (CCB)®
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[Attend SCCE's Compliance & Ethics Institute September 25-28 in Chicago | Learn More](#)

From: Wagner Rosa da Silva [<mailto:wagner.silva@cgu.gov.br>]

Sent: Wednesday, June 15, 2016 10:55 AM

To: CCB

Subject: ENC: 2016 Basic Compliance & Ethcis Academies - São Paulo, Brazil - and CCEP-I EXAM

Importance: High

Dear Sirs,

I work at the Office of the Comptroller General in Brazil (CGU), a Federal Anti-Corruption Agency, and we intend to apply for the Course in São Paulo and also enroll to the CCEP-I Certification.

I would like to receive further information on how my agency could pay for the Course and Certification Fees (please send me detail on how to pay): it will be two applicants (I myself and another colleague, João Carlos, copied in this e-mail).

Hope hearing from you soon,

Sincerely,

Wagner Rosa da Silva
Auditing Infrastructure Director
Office of the Comptroller General in Brazil

Esta mensagem, incluindo quaisquer anexos, é de acesso restrito e destina-se, exclusivamente, à pessoa ou entidade para a qual foi endereçada. Se você a recebeu indevidamente, por favor, elimine-a e informe o equívoco ao emitente imediatamente. O uso não autorizado do conteúdo da mensagem ou anexos é proibido e sujeita o infrator às penalidades cabíveis.

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**Anexo VII - Anexo 7 - e-mail SCCE confirma desconto
4 inscrições e pagamento antecipado.pdf**

Fernanda Pedreira Nunes

De: Leandro da Silva Pacheco
Enviado em: quarta-feira, 21 de junho de 2023 11:41
Para: Fernanda Pedreira Nunes
Assunto: ENC: Ticket Updated - [#253904] 2023 - SCCE São Paulo Basic Compliance & Ethics Academy for CGU members
Anexos: scce-2023 Lucas.pdf; scce-2023-Leandro.pdf; scce-2023-Aerton.pdf; SCCE 2023_Alexandre Constantino.pdf

Att.,

Leandro Pacheco

Coordenador-Geral

Diretoria de Acordos de Leniência

Secretaria de Combate à Corrupção



De: Leandro da Silva Pacheco <leandro.pacheco@cgu.gov.br>
Enviada em: segunda-feira, 19 de junho de 2023 17:42
Para: Cheryl Clark <helpteam@corporatecompliance.org>
Cc: Aerton Zambelli Loyola de Oliveira Costa <aerton.costa@cgu.gov.br>; Alexandre Krugner Constantino <alexandre.constantino@cgu.gov.br>; Lucas de Paula Silva <lucas.paula@cgu.gov.br>
Assunto: Re: Ticket Updated - [#253904] 2023 - SCCE São Paulo Basic Compliance & Ethics Academy for CGU members

Dear Cheryl,

There is no problem. I'm sending attached the PDF registration for each of us. We request the non-member rate.

We will be waiting for the invoice, remembering that it should be issued in the name of the CGU.

Thanks in advance.

Att,

Leandro Pacheco

Coordenador-Geral

Diretoria de Acordos de Leniência

Secretaria de Integridade Privada

+55 (61) 2020-7234



De: Cheryl Clark <helpteam@corporatecompliance.org> em nome de Cheryl Clark <helpteam@corporatecompliance.org>

Responder para: Cheryl Clark <helpteam@corporatecompliance.org>

Data: segunda-feira, 19 de junho de 2023 13:55

Para: Lucas de Paula Silva <lucas.paula@cgu.gov.br>

Cc: Leandro da Silva Pacheco <leandro.pacheco@cgu.gov.br>, Aerton Zambelli Loyola de Oliveira Costa <aerton.costa@cgu.gov.br>, Alexandre Krugner Constantino <alexandre.constantino@cgu.gov.br>

Assunto: Re: Ticket Updated - [#253904] 2023 - SCCE São Paulo Basic Compliance & Ethics Academy for CGU members

You don't often get email from helpteam@corporatecompliance.org. [Learn why this is important](#)

The fillable PDF registration form is located on page six of the [Academy brochure](#).

If you choose the non-member rate your registration fee will be \$3,250 - 50% = \$1,625

If you choose the Registration + First-Time Membership rate your registration fee will be \$2,750 - 50% = \$1,375 + \$225 for first-time membership = \$1,600.

The membership fee and exam fee will not be discounted.

Exam fee is \$275 for members, \$375 for non-members and requires a separate application and the fee to be processed online.

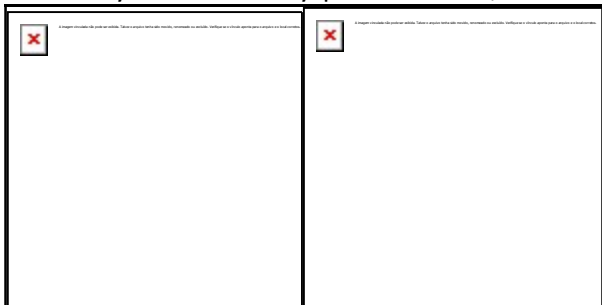
Once I receive your registration forms, I can enter the registrations and email an invoice for payment.

The registration is not complete until the full registration payment is received. Access to the event will not be allowed until all fees have been paid. SCCE reserves the right to cancel the registration if we do not receive payment by the start date of the event.

Thank you,

Cheryl Clark | Member Services Representative
Society of Corporate Compliance and Ethics
Health Care Compliance Association

SCCE: +1 952.933.4977 | HCCA: +1 888.580.8373
6462 City West Parkway | Eden Prairie, MN 55344



SCCE, HCCA and CCB's new Account Management System migration is now complete. Our new registration, application and purchasing systems now provide new tools to streamline and support your professional development needs [Click here to Learn more!](#)

On Wed, May 31 at 3:02 PM , Leandro da Silva Pacheco <leandro.pacheco@cgu.gov.br> wrote:
Dear,

As mentioned below, we are a group of four Officers from the Office of the Comptroller General (CGU), a Brazilian Government Institution, who has interest in registering on the conference hold by your institution that will take place at São Paulo, on August, 2023.

To fulfill the payment procedures due by our institution, we need confirmation (i) on the 50% discount for the four of us (Leandro, Lucas, Aerton and Alexandre); (ii) if the payment must be made before the event; and (iii) in case the payment needs to be made before the event, an invoice on the name of CGU with a date of payment as close as possible of the event date.

We need those information as soon as possible because our bureaucrat proceedings requires some time to be concluded.

Thank you

Att.,

Leandro Pacheco

Coordenador-Geral

Diretoria de Acordos de Leniência

Secretaria de Combate à Corrupção



De: Lucas de Paula Silva <lucas.paula@cgu.gov.br>

Enviada em: sexta-feira, 26 de maio de 2023 11:20

Para: SCCE - HCCA - CCB <helpteam@corporatecompliance.org>; Compliance Certification Board <ccb@compliancecertification.org>

Cc: Leandro da Silva Pacheco <leandro.pacheco@cgu.gov.br>; Aerton Zambelli Loyola de Oliveira Costa <aerton.costa@cgu.gov.br>; Alexandre Krugner Constantino <alexandre.constantino@cgu.gov.br>

Assunto: 2023 - SCCE São Paulo Basic Compliance & Ethics Academy for CGU members

Hello,

We are proceeding with our budget process for your Academy for four CGU members.

Once me (Lucas) and Leandro have already filled the forms you sent us, we also need your confirmation for the 50% discount for Aerton and Alexandre (they are copied on this message).

About the payment, we need to know if it must be concluded before de event or could you provide an invoice and CGU pays you after the Academy.

If you need the payment be done before the event, could you provide the invoice with the payment due date as close as possible to the event date?

About the payment method, we informed you that we would need the invoice directed to CGU because our budget pceedings, could you confirm if it's ok for you?

We wait your answer to conclude our contracting process

Thank you

Lucas de Paula Silva

Diretoria de Acordos de Leniência

Secretaria de Integridade Privada

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Anexo VIII - Anexo 8 - Folder do Evento 2022_ preço maior.pdf

Basic Compliance & Ethics Academy

29 August – 1 September 2022

São Paulo, Brazil

Develop and improve your compliance and ethics programme with our in-depth educational training



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Our Academies provide you with the continuing education units (CEUs) needed to sit for the optional Certified Compliance & Ethics Professional–International (CCEP-I)[®] certification exam offered on the last day.

Register

corporatecompliance.org/2022saopauloacademy



SCCE
Society of Corporate
Compliance and Ethics

About our Academies

Basic Compliance & Ethics Academy

Learn to effectively manage a compliance and ethics programme and mitigate risk at your global organisation. Join the 8,000+ professionals who have turned to SCCE's Basic Compliance & Ethics Academies for in-depth education.

Who should attend?

Our Academies are ideal for professionals with some compliance knowledge and experience who are ready to support, enhance, and manage a comprehensive compliance programme. This includes:

- Compliance officers
- Compliance and risk programme managers
- Audit managers
- Data privacy specialists
- Compliance lawyers

Why should you attend?

You'll gain an in-depth education designed to help you kick-start your compliance programme.

- Gain core compliance and ethics knowledge
- Learn from faculty hand-selected for their expertise
- Network with other compliance professionals
- Earn live continuing education units (CEUs)
- Take the optional Certified Compliance & Ethics Professional—International (CCEP-I)[®] exam

Participation is limited, ensuring personal interaction with our expert faculty and peers.

Course materials and takeaways

All attendees receive:

- All course materials (a binder will be provided on the first day of the Academy)
- One-year online access to *The Complete Compliance and Ethics Manual 2022*

*Products given away are subject to change.

CCEP-I Exam Offered

Certification matters. It can enhance your career and give you credibility with your organisation and peers. Immediately following each Academy, we offer an optional CCEP-I exam. A separate application and fee submitted directly to the Compliance Certification Board (CCB)[®] is required.

Please note: Although the Academies can provide the CEUs you need to qualify, they are not a preparation class for the exam itself.

SCCE's mission

SCCE exists to champion ethical practices and compliance standards in all organisations and to provide the necessary resources for compliance professionals and others who share these principles.

Our faculty



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



Jeffrey Driver, JD, CHC, CHPC, CHRC, CCEP-I, Principal & Chief Consultant, Soteria Risk Works, LLC



Shin Kim, CCEP, CCEP-I, Partner, TozziniFreire Advogados; SCCE & HCCA Board Member



Louis Perold, CCEP, CCEP-I, Principal, Citadel Compliance, SCCE & HCCA Non-Officer of the Executive Committee



Greg Triguba, CCEP, CCEP-I, JD, Principal, Compliance Integrity Solutions, SCCE & HCCA Board Member



Debbie Troklus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, President, Troklus Compliance Consulting, SCCE & HCCA Board Member



Sheryl Vacca, CHC-F, CHPC, CHRC, CCEP-I, CCEP-F, Chief Risk Officer, Providence St Joseph Health, SCCE & HCCA Board Member



Art Weiss, JD, CCEP-F, CCEP-I, Principal, Strategic Compliance & Ethics Advisors, Immediate Past Board President SCCE & HCCA

Faculty subject to change.



*Debbie Troklus, Chair of the
Compliance Certification Board
(CCB)[®] on getting certified*

“As our profession has grown, so has the need for professional certifications and education that focus on a variety of compliance industries such as general healthcare, privacy, research, and corporate compliance, as well as international. We see individuals not only seeking education or certification in one area, but in many. In response to this demand, we have expanded and increased our educational offerings for Academies, and for those who qualify, given the option to sit for a certification exam at the end of the Academy.

“I always had high hopes for these certifications, but the numbers of certified individuals and organizations recognizing these certifications far outweigh my expectations. The CCB certifications have really become the gold standard. With more than 11,100 individuals actively holding one or more CCB credentials, the increase in organizations preferring individuals hold a CCB credential for hiring, and the more than \$4,000,000 invested in the development of the Compliance Certification Board credentials, the numbers prove that there is now a compliance profession established. We don’t get asked, ‘What is compliance?’ anymore: everyone knows.”

CCEP-I[®]



Monday

08:30–09:00	Registration and Welcome Coffee <i>(provided)</i>
09:00–09:15	Welcome and Introduction
09:15–10:30	Introduction to Compliance <ul style="list-style-type: none"> • High level overview of the seven elements of a compliance programme • Practice and problems for the compliance professional • Highlight of areas of key importance to compliance programme
10:30–10:45	Break
10:45–12:30	Organisational Ethics <ul style="list-style-type: none"> • What it is • Legal and business value • Practice steps to create and maintain
12:30–13:30	Lunch <i>(provided)</i>
13:30–15:15	Education and Training <ul style="list-style-type: none"> • The need for compliance and ethics training • The difference between training and education • Different types and methods of training; targeted training • Demonstrating training effectiveness
15:15–15:30	Break
15:30–17:15	Compliance Infrastructure <ul style="list-style-type: none"> • An understanding of what is included in the CP infrastructure • Positions vital to the CP's infrastructure • Staffing and reporting structures

Tuesday

08:30–09:00	Welcome Coffee <i>(provided)</i>
09:00–10:45	Creating and Reviewing Compliance Policies and Procedures <ul style="list-style-type: none"> • Definitions of standards of conduct, policies, procedures, guidelines • Elements of policies and procedures • Ownership and reviewing policies and procedures
10:45–11:00	Break
11:00–12:45	Compliance and Ethics Risk Assessment <ul style="list-style-type: none"> • Define compliance risk and how to assist with role clarity • Discuss the rationale and key cultural and management variables important to conducting a risk assessment • Identify common methodologies and process for conducting a risk assessment
12:45–13:45	Lunch <i>(provided)</i>
13:45–14:00	Test Question and Answer
14:00–15:15	Discipline and Programme Improvement <ul style="list-style-type: none"> • Importance of discipline • Responsibilities in discipline process • Elements of programme improvement
15:15–15:30	Break
15:30–17:15	Investigations <ul style="list-style-type: none"> • Understand the investigations management process • Learn important investigation techniques • Know the key steps of every workplace investigation
17:15–18:15	Networking Reception

Wednesday

08:30–09:00	Welcome Coffee <i>(provided)</i>
09:00–10:45	Auditing and Monitoring <ul style="list-style-type: none"> • Role of auditing and monitoring in the compliance programme • Development of monitoring/auditing plans for effective assurance • The future of compliance programme auditing and monitoring
10:45–11:00	Break
11:00–12:45	Privacy <ul style="list-style-type: none"> • Overview of key privacy laws and regulations that could impact a US or global organization • High-level introduction to law and regulations in all segments of industry • Laws and regulations from both the private and governmental industry segments • Law and regulations for activities in the US, Europe, Asia, and other areas of the world
12:45–13:45	Lunch <i>(provided)</i>
13:45–15:00	Obtaining Buy-in and Commitment <ul style="list-style-type: none"> • Understanding management/leadership styles • Getting the buy-in that is needed for an effective compliance programme
15:00–15:15	Break
15:15–17:00	E&C Programmes: Effectiveness and Evaluation <ul style="list-style-type: none"> • Essential components of E&C programme effectiveness to include core elements of programme design, implementation, and effective management • Effectiveness considerations across programme elements to include value proposition, organization impact, global standards, stakeholder expectations, and best practices • Methods, tools, and resources for evaluation effectiveness, suggested steps for managing programme risks and taking your programme to the next level

Thursday

08:30 –09:00	Welcome Coffee <i>(provided)</i>
09:00–10:00	Using Incentives in the Compliance Programme <ul style="list-style-type: none"> • Explore the different ways to use incentives, including personnel evaluations, rewards and awards, and giving compliance a role in promotion decisions • Understanding importance of company incentive programmes in general and why the compliance officer needs a seat at the table when any corporate incentive system is being developed • Understanding the difficult question “Should those who report fellow employees get rewards for doing so?”
10:00–10:15	Break
10:15–11:30	Conflicts of Interest <ul style="list-style-type: none"> • Conflicts of interest are some of the most common and challenging issues for compliance and ethics programmes • Understanding ethical and organization risks that result from conflicts of interest • The many kinds of conflicts of interest and how they occur, case studies, and best practices
11:30–11:45	Break
11:45–13:15	Anti-Corruption and Bribery <ul style="list-style-type: none"> • Global law enforcement efforts • Practical hands-on approach • Effective compliance remediation approaches
13:15–14:15	Lunch <i>(provided)</i>
14:15–14:45	Exam Check-In Time <i>(optional)</i>
14:45 – 18:15	Exam Time – Certified Compliance & Ethics Professional-International (CCEP-I)[®] Exam <i>(optional)</i> <p>The exam is optional. You must apply and be approved to sit for the CCEP-I exam by CCB, separately from your academy registration. To apply online, go to: corporatecompliance.org/apply-exam. Academy and certification exams offered are only in English at this time.</p> <p>PLEASE NOTE: If you are not present at the specified “Exam Time” as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 150 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.</p>

SECTION 1 Attendee Information

Mr Mrs Ms Dr Other _____ Member/Account ID (if known/applicable) _____

First Name _____ MI _____ Last Name _____

Credentials (CHC, CCEP, etc.) _____ Job Title _____

Organization (name of employer) _____

Street Address _____ City/Town _____

State/Province _____ Zip/Postal Code _____ Country _____

Work Phone _____ Email (required) _____

SECTION 2 Registration

Basic Compliance & Ethics Academies

For additional international locations, visit corporatecompliance.org/academies

29 August–1 September, 2022 • São Paulo, Brazil

Dietary Needs Request

Dairy Free Gluten Free Kosher Vegetarian Vegan Other _____

On-Site Cell Phone (for emergency on-site use only) _____

SCCE Membership: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

Opt-Out: Select if you would like to opt-out of the following:

Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

Pricing

<input type="checkbox"/> Member	\$2625 USD
<input type="checkbox"/> Non-Member	\$3295 USD
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$2845 USD

*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

Group Discount

<input type="checkbox"/> Group Discount for 3–9 Attendees**	(\$200 USD)
<input type="checkbox"/> Group Discount for 10 or More**	(\$400 USD)

**See "Group Discount Policy" under "Acknowledgements" below for details.

TOTAL \$ _____

SECTION 3 Payment

Online registration at corporatecompliance.org/2022saopauloacademy

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

Email to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. Email this form without credit card information, then call SCCE at +1 952.933.4977 or 888.277.4977 with your payment.

Invoice me
 Check enclosed (payable to SCCE)
 Wire transfer requested
 I authorize SCCE to charge my credit card: Visa MasterCard Discover American Express

Credit Card Account Number _____ Expiration Date _____

Cardholder Name _____ Cardholder Signature _____

Billing Address _____ Billing Zip/Postal Code _____

SECTION 4 Acknowledgements

By submitting this registration, you agree to the full event Terms and Conditions, viewable at corporatecompliance.org/conference/tandc, including the use of your information that may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

By registering for this event, you also agree that you have read and agree to the Personal Accountability Commitment, the Assumption of Risk, and the Liability Waiver and Release viewable at corporatecompliance.org/conference/tandc.

Cancellation Fee: A \$250 fee will be charged for any registration changed within seven days of the start of an Academy.

Group Discount Policy: Registration forms must be sent together to ensure that the discount is applied. The group discount is not available through online registration. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

New Members: By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/membership/tandc.

Photo/Video Release: By registering for this event, you grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing your image or likeness for educational, news, or promotional purposes, without compensation.

Hotel and Academy Location

The Basic Compliance & Ethics Academy and optional CCEP-I exam are held at the location listed below. The cost of hotel accommodations are not included in your conference registration fee. The hotel room rate listed for the Academy is good until the cutoff date indicated or until the room block is full, whichever comes first. Reservations received after the cutoff date or after the room block is full will be accepted based on space and rate availability. Please note that parking and internet service charges are set by the hotel and may be subject to change.

PLEASE NOTE: Neither SCCE nor any hotel it is affiliated with will ever contact you to make a hotel reservation. If you receive a call soliciting reservations on behalf of SCCE or the event, it is likely from a room poacher and may be fraudulent. We recommend you make reservations directly with the hotel using the phone number. If you have concerns or questions, please contact +1 952.933.4977 or 888.277.4977.

29 August–1 September, 2022 • São Paulo, Brazil

Renaissance São Paulo Hotel
Alameda Santos, 2233 – Jardim Paulista
São Paulo, Brazil 01419-002

A reduced rate has been arranged for the conference. The deluxe reduced rate is \$215 single/\$234 double occupancy per night plus applicable taxes (currently 5% ISS per day/per room, subject to change). The group rate includes internet and breakfast, served in the Terraco Jardins Restaurant. To make your reservation, book online with this booking link: marriott.com/event-reservations/reservation-link.mi?id=1651252781350&key=GRP&app=resvlink. Or, call +5511 3069-2821 or email reservas.brasil@marriott.com and ask for the SCCE group rate. All reservations must be made with a valid major credit card. The cutoff date to receive this discounted rate is **Wednesday, July 27, 2022**. After the cutoff date, it is at the hotel's discretion whether to accept additional reservations, which will be subject to prevailing rates and availability. Individual reservations cancelled less than 24 hours prior to arrival will be billed a cancellation fee of one night's room rate and applicable taxes for each room cancelled.

Frequently Asked Questions

Where will my Academy take place?

Please see the hotel location above.

What is included in the cost of my attendance?

Access to the sessions, supplemental conference materials, and networking opportunities. You will also enjoy complimentary continental breakfasts, lunches, and snacks with the other attendees.

As an attendee you will also receive a 1-year online subscription to *The Complete Compliance & Ethics Manual* via COSMOS®, available for access on the first day of the Academy.

What COVID-19 safety precautions will be implemented?

SCCE considers the health and safety of all those at in-person programs a top priority. Although participants should recognize that there is risk involved in attending, SCCE will follow the safety recommendations/guidelines provided by the CDC and other state and local government agencies in place at the time of the event. Additionally, SCCE will follow the venue requirements and work with the venue to provide a safe and enjoyable environment for all participants.

Can I see what sessions will be presented before I arrive on-site?

Yes, program information is posted on the conference website.

Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

Is there a group discount—if so, what is it?

Yes, we offer group discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to helpteam@corporatecompliance.org for processing. A separate registration form is required for each registrant. The group discount is NOT available through online registration. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org.

What do I get with “Registration + First Time Membership?”

If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*™ (CEP) monthly magazine, *Ethikos*™ digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at corporatecompliance.org/membership. Your membership will begin once payment is received.

How do I use the credit on my account for this event?

You can complete the registration online and select the “Invoice Me” payment option at checkout. Once you receive your confirmation, email helpteam@corporatecompliance.org or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

Can I get the member rate if I am an SCCE member instead of HCCA or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' events, but this cannot be done online. Please send your registration form via email to helpteam@corporatecompliance.org to complete your registration.

How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to helpteam@corporatecompliance.org. A conference credit will be issued for all registration fees paid (minus a \$250 cancellation fee if cancelled within 7 days of the start of the Academy) and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. If sending a substitute, an additional fee may apply depending upon the membership status of the substitute.

Who can I notify of special needs or concerns prior to the conference?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email helpteam@corporatecompliance.org if you have a special need and/or require accommodation to participate.

Continuing Education

Can I earn continuing education units (CEUs) for attending this Academy?

Yes. This Academy offers live Compliance Certification Board (CCB)® continuing education units (CEUs) for participation as well as other external credit types.

To see the most up-to-date CEU approval information, go to SCCE's website, corporatecompliance.org/conferences/academies. Select your Academy and choose the Continuing Education option on the left-hand menu.

How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the Academy offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

How do I request CEUs following this Academy?

While on-site at this Academy, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the conference to ccb@compliancecertification.org. Only registered attendees are eligible to request CEUs for participation.

When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your corporatecompliance.org account, go to your Account Dashboard, and scroll down to View My CEUs.

I would like to sit for one of the Compliance Certification Board (CCB)® exams following this Academy; will I qualify?

While this Academy, if attended in full, can provide you with all of the CEUs you need to meet the continuing education requirement, you will need to also review the applicable Candidate Handbook found at corporatecompliance.org/candidate-handbooks to ensure you meet the work experience requirement.

I have reviewed the Candidate Handbook and want to apply for the exam as soon as the Academy concludes; what's next?

If you want to sit for the exam offered on the last day of the Academy and have reviewed your Candidate Handbook, you can go ahead and apply online for your exam at corporatecompliance.org/apply-exam. You must be registered for the Academy first before you can apply to sit for the exam offered on-site.

I would like to sit for the exam, but not onsite at the Academy.

Can I take my exam remotely at another time?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, corporatecompliance.org/exam-information.

I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org.