



Compliance Master Class Training

Affiliated Monitors, Inc.
85 Devonshire St, Boston, MA 02109

DAY 1

Tuesday, September 25, 2018

- 8:30 – 9:00 **Coffee, Registration & Breakfast**
- 9:00 – 9:30 **Welcome and Introduction**
Course Objectives and Overview
- 9:30 – 10:30 **Master Class-*Doing Compliance***
FCPA Enforcement Review
Global Anti-Corruption Enforcement Trends
- 10:30 – 10:45 **Snack Break**
- 10:45 – 12:00 **Effective Anti-Corruption Ethics and Compliance Program**
Benefits of Ethics and Compliance Program
Anti-Corruption Compliance Program Requirements
- 12:00 – 1:00 **Networking Lunch**
- 1:00 – 2:00 **Risk Assessments**
Purpose of Risk Assessment
Types of Risk Assessments
Continuous Risk Assessment Strategies
Tailoring Compliance Program to Risk Assessment
- 2:00 – 2:15 **Snack Break**
- 2:15 – 3:15 **Due Diligence**
Risk-Based Third-Party Risk Management System
Joint Venture Partners
Mergers and Acquisitions
- 3:15 – 3:30 **Snack Break**
- 3:30 – 4:30 **The Regulators View of the Importance of an Ethical Culture**
Building, Maintaining and Measuring Culture

DAY 2

Wednesday, September 26, 2018

8:00 – 8:30 **Coffee & Breakfast**

8:30 – 10:00 **Root Cause Analysis and Internal Investigations**

How a Root Cause Analysis Differs from an Investigation
Types of Investigations
Privilege, Documents and Interviews
Reports

10:00 – 10:30 **Legal Ethics for the Compliance Practitioners**

What is a lawyer's duty?
Legal Obligations-Miranda and Upjohn
Investigations
Self-Reporting?

10:30 – 10:45 **Snack Break**

10:45 – 12:00 **Internal Controls**

What are Internal Controls?
Internal Control Enforcement
Mapping of Internal Controls to Compliance Program
COSO 2013 Internal Controls Framework and COSO 2017 ERM
Framework

12:00 – 1:00 **Networking Lunch**

1:00 – 2:00 **Gifts, Meals, Entertainment and Travel**

Intent
Procedures for Review
Safe Harbor

2:00 – 3:00 **FCPA Problems and Discussion**

Interactive Case Discussions
Practical Problems from Enforcement Actions
Wrap Up and Summary