

OPEN ENROLMENT
PROGRAM



Idcif Executive Education Center

HOW TO MANAGE COMPLIANCE AND ETHICS IN A CHANGING WORLD?

Faculty
Gabe Shawn Varges



2 March 2023
9.00AM – 5.00PM



RM2,500 before SST
For every 2 pax who register from same organization, there will be a 40% discount for the second participant i.e. fee will be RM1,500.



Program Overview

Ethics and compliance are among the areas under the most tension today.

On the one hand, society, investors, and regulators have heightened considerably what they expect of companies, and this increasingly has ethics and compliance dimensions.

On the other hand, the cost and complexity of compliance has been increasing dramatically, creating budgetary, talent, and other challenges for organizations. Even the question of what profile will be needed in the future for those in ethics and compliance functions is undergoing major rethinking.

This program offers participants the opportunity, in a time efficient manner, to deepen their understanding of key trends and practices in the area of ethics and compliance. This includes the latest learnings on how to increase the effectiveness of the Compliance Officer personally and of Compliance as a function, including through the use of behavioral science and the notion of the Return on Compliance.

The program also touches on the intersect of compliance and risk management, including in terms of operational risk and emerging risk methodologies. Also covered is the governance of compliance, including the Compliance Officer's relationship to the CEO and the Board of Directors. An important new dimension will also be explored: what demands on compliance will come from the ESG area? And vice-versa?

The program is interactive and uses simulations, case studies, and other techniques to re-enforce learning.

Who Should Attend?

- Cross-industry compliance officers
- Those involved in ethics, compliance and related areas.
- Those who supervise ethics, compliance and related areas such as regulators, board members and executive managers.

Program Outline

Session 1: The larger context – the evolution of how we think about compliance

- How is what regulators expect of compliance changing?
- Role of international standard setters and influence from compliance practices in major jurisdictions.
- Impact on compliance functions arising from the growing pressures on Boards of Directors.
- Relationship to operational risk.

Session 2: Models and options for organizing, managing, and governing compliance, beyond the Three Lines of Defense

- How to cope with headcount and cost pressures?
- What compliance officers need to understand about the notion of the Return on Compliance and strategic compliance budgeting?
- Reporting to the Board.

Session 3: What is CVE and how it is affecting traditional compliance tools such as codes of conduct, compliance training, and whistleblowing?

- Emerging learning on conduct risk, third party risk, disciplinary measures, and the use of incentives.
- ESG: a fad or a transformational phenomenon?
- Relevance of ESG for compliance officers and functions.
- Introduction to case study.

Section 4: Case study presentations and learnings

- Becoming more personally effective as a compliance officer.
- Skills and sensitivities future compliance officers will need.
- Overall take-aways and “my-to-do-list”.

Faculty



Gabe Shawn Varges is Senior Partner at HCM International and Chairman of the GECN Group, Switzerland. He is also an adjunct faculty at the Iclif Executive Education Center under the Asia School of Business.

Mr. Varges has extensive international experience as an executive, regulator, academic and advisor. He works with companies and authorities around the world on the interconnection of strategy, corporate governance, board effectiveness, leadership, culture, ethics, compliance, ESG, performance management, compensation and regulation.

In addition to his private sector and academic work, Mr. Varges' experience includes serving as Head of Governance of the Swiss combined banking, securities, and insurance regulator. There, among other things, he supervised financial institutions and represented the authority on various international bodies, including the OECD, BCBS, IAIS, and the Financial Stability Board, leading or contributing to various cross-border expert taskforces among regulators. Earlier, he served in senior executive positions with major multinationals.

Mr. Varges has served on various boards and is currently Chairman of Ethics & Compliance Switzerland. An author of multiple publications, Mr. Varges has taught at several universities. He is a Juris Doctor graduate of Harvard and holds B.A. and MALD degrees. At Harvard, he served as Teaching Fellow and Tutor, and was part of the Harvard Negotiation Project.

REGISTRATION FORM

How to Manage Compliance and Ethics in a Changing World?

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Contact Tel (Mobile):

(mobile no of participant is mandatory to gain access to ASB Mobile App)

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(email address of participant and not a representative)

Meal Preference:

Vegetarian

Non-Vegetarian

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Contact Tel & Email Address:

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