

Program Schedule:

Each course will run from 9am-5pm on Friday and 9am-1pm on the subsequent Saturday, as follows:**

- October 5-6
- October 19-20
- November 2-3
- November 30-December 1
- January 18-19
- February 1-2
- March 1-2
- April 5-6

** See our website for specific course topics and content.

Registration opens September 1, 2018.
Each course is limited to 20 participants.

To register:
<https://mainelaw.maine.edu/compliance-certificate/>

Attendees may register for any number of courses, which cost \$1,000 each. Completion of at least five courses (including the introductory course) is required for the certificate.

Each course will be presented live. The final two courses will also be offered online.

For more information, contact:

University of Maine School of Law
246 Deering Avenue
Portland, ME 04102
207.780.4355
mainelaw@maine.edu

Who should participate:

- Executives and managers overseeing compliance and risk management functions
- Personnel responsible for exercising compliance functions in their organizations
- Personnel looking to enter the compliance field or to increase their understanding of the compliance risks and opportunities for their enterprises
- Policy professionals seeking a comprehensive understanding of the compliance process

What they will learn:

- The foundations, principles, and language of compliance
- The structure and operation of an effective compliance program
- Many of the skills expected of compliance professionals
- The role of compliance programs and principles in overall enterprise risk management
- How to align a compliance program with the overall vision, mission, and goals of an organization



A MaineHealth Member



2018-2019

Compliance Certificate Program

Training to navigate today's complex compliance landscape



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Compliance Program Overview

Why compliance matters:

Compliance requirements continue to proliferate in volume and complexity and come from a variety of sources. These include new laws and governmental regulations, contractual undertakings, societal expectations, and evolving industry customs, norms and “best practices.” There is virtually no organization or enterprise, whether in the public or private sector, that is immune. Non-compliance can threaten the success and even the very survival of an organization and put it and its personnel at risk for civil and even criminal sanctions.

Intimidating? Absolutely!

However, with proper education, training, orientation and commitment, organizations can develop compliance programs that allow them to navigate these minefields and actually enhance their prospects for success.

Our program:

Compliance personnel face three principal challenges. First, what are the rules, norms and policies with which the organization is trying to comply? Second, what behavior constitutes “compliance?” And third, how do they motivate compliant behavior throughout the organization?

To prepare compliance personnel for these challenges, **Maine Law’s Compliance Certificate Program**, designed for non-lawyers, stresses skill building for compliance professionals: what do compliance professionals do, and why and how do they do what they do? These skills include, but are not limited to, the following:

- **Locating and interpreting applicable regulations, standards and requirements;**
- **Structuring and writing compliance policies and programs;**
- **Administering compliance-related processes and procedures;**
- **Mapping regulations and other compliance-related requirements;**
- **Identifying and managing conflicts of interest;**
- **Coordinating employee training;**
- **Administering internal gatekeeping and complaint procedures;**
- **Dealing with ambiguous regulations, standards and requirements;**
- **Dealing with unanticipated situations; and**
- **Dealing with internal investigations.**

To earn the certificate, students must complete at least five courses (including the introductory course, Compliance: An Introduction and Overview).

The introductory course will be presented twice (once in the fall and again in the winter) to give cohort members greater flexibility in planning their schedules.

The individual courses will provide “envelopes” for delivering the skill building and development components and will be designed to give participants hands-on experience in the various tasks expected of compliance professionals. In addition to the introductory course and a course addressing Enterprise Risk Management, other courses will address a variety of topics relevant to important sectors of Maine’s business, not-for-profit and government communities. These will be selected by Maine Law based on the composition of the cohort and may include Import/Export Regulation; Medical and University Research; Employment and Human Resources (including Sexual Harassment); Information Governance, Data Security and Privacy; State and Local Government Procurement; and Financial Institutions and Banking.*

Courses will be presented by instructors drawn from the faculties of the University of Maine School of Law and the University of Southern Maine.

*Final selection of specific topics will be posted on our website: <https://mainelaw.maine.edu/compliance-certificate/>

