



**Global Compact**  
Network Slovenia

## **THE 3rd ANNUAL CONFERENCE ON COMPLIANCE AND ETHICS**

**Bled, Slovenia at IEDC-Bled School of Management, October 3, 2017**

### **PRELIMINARY AGENDA**

**08:30 – 09:00 Welcome**

**09:00 – 09:25 Opening Address by Prof. Danica Purg, President of UN**

*Global Compact Local Network, UNGC Slovenia, and President and Dean of IEDC-Bled School of Management / Andrijana Bergant, President of EICE (European Institute for Compliance and Ethics)*

### **I. Governance**

**09:25 – 09:55 Enterprise Risk Management (ERM) and Compliance Risks**

- The system and good practices of ERM; methods and tools for managing risks
- The integration of compliance risk management into overall ERM
- The value adding of ERM for business – practice and case based

*Ksenija Butenko Černe, Sandoz Head Legal CEE, Legal & Compliance Head Slovenia,  
Member of the Board of Management Lek d.d. & Sandoz d.d*

### **II. Compliance Management**

**09:55 – 10:30 How to Conduct a (Self) Assessment of Compliance and Ethics Program**

- The framework for compliance management system assessment and the ISO 19600 and other standards and best practices
- Compliance program assessment guidelines for (internal) audit
- The value of outside independent review of the compliance management system (the advantages and methods used)

*Guillermo Iribarren, Senior Compliance Manager, Impact on Integrity*

**10:30 - 10:50 Discussion**

**10:50 – 11:10 Refreshment Break**

**11:10 – 11:35 How to Manage Compliance with New EU Regulation in Financial Markets and What's in It for Clients**

- Implementing MiFID2/ MIFIR compliance requirements from practice; opportunities and challenges
- Removing cross-border barriers, more transparent financial markets, more transparent trading and investment costs, orderly trading behaviour and other benefits for clients

*Gregor Strehovec, Compliance Officer, SKB d.d.*



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**11:35 – 11:45 Discussion**

### **III. Business Ethics**

#### **11:45 – 12:45 Ethics Panel: Why People Abuse Given Trust**

- Human factors for trust abuse and fraud; human behaviour and organizational ethics
- Circumstances that drive or allow fraud and abuse to happen in an organization
- Good practice in preventing, detecting and investigating fraud and abuse

*Sally March, Drummond March Ltd.*

*Rok Praprotnik, Director of Compliance and Integrity, NLB d.d.*

**12:45 – 13:35 Lunch break**

### **IV. Data Protection and Compliance Risks**

#### **13:35 – 14:15 Impact of the New EU General Data Protection Regulation (GDPR) on**

##### **Business Practices**

- Quick overview of new requirements of the new regulation, compared to current requirements for EU countries
- Effect of the GDPR on non-EU countries
- Practices of organizations in Europe and elsewhere in preparation for GDPR – major challenges, questions, solutions and maybe opportunities
- Impact of GDPR on marketing and CRM – how to assure that data collection and processing for marketing purposes is compliant with the new regulation in 2018 onwards

*Robert J. Bond, Solicitor & Notary Public, Partner at Bristows LLP*

#### **14:15 - 14:40 Regulator's View on Challenges, Implementation and Enforcement of GDPR in 2018**

**14:40 – 15:10 Discussion**

**15:10 – 15:30 Refreshment Break**

#### **15:30 – 17:00 ROUND TABLE DISCUSSION: How Do Scandals Influence an Organization and Individuals, How to Survive and Avoid Them?**

*Panelists: Ksenija Butenko Černe (Lek d.d.), Guillermo Iribarren (Impact on Integrity), Sally March (Drummond March LTD), Robert J. Bond (Bristows LLP), Tomaž Vesel (President of the Court of Audit of the Republic of Slovenia and Independent Chairperson of FIFA's Audit and Compliance Committee)*



*Moderator: Annie Wartanian Reisinger*



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Key highlights for the round table discussion:

- discussing cases where organizations suffered major incidents of corruption, consumer or other kind of fraud or other compliance / ethics major issues; presenting root causes, how it happened
- sharing insights on what it's like in such organizations when the investigation starts and beyond
- sharing ideas on how it could be prevented and lessons learned; how to avoid such scenarios – experts' and practitioners' views.

**17:10 Conference Conclusions**

**NOTE:** The conference will be conducted in English with no interpreting services. The organizer reserves the right to alter the program.