



Association of Dealership Compliance Officers Dealership Compliance Officer Seminar & Certification October 6-9, 2019 | Agenda

SUNDAY, OCTOBER 6, 2019

**Welcome Reception
6:30 pm – 8:00 pm**

MONDAY, OCTOBER 7 - 9, 2019

COMPLIANCE MANAGEMENT SYSTEM

Why a Culture of Compliance?

- Present Environment
- Internal and External Perception of a Culture of Compliance
- Benefits
- Infrastructure of a Compliance Program

High Level Oversight & Compliance Officer Responsibilities

- Board of Directors / CEO / Dealer Principal Oversight
- Adequate Funding, Resources and Backing
- Corporate Compliance Officer
- Risk or Compliance Committee
- Delegating Authority / Controls of Authority

Standards of Conduct / Culture of Compliance / Policies and Procedures

- Code of Business Conduct, Values & Ethics
- Compliance Policies & Procedures
- How to Create Policy & Procedures
- Employee Handbook

Risk Assessment, Monitoring & Auditing Identification of Compliance Risks and Infractions

- Monitoring & Auditing / Identification of Compliance Risks
- Review Internal Compliance
- Reporting Venues (Hotline, Email, Dropbox)
- Risk Assessment and Prioritization (Periodic)
- Internal Audit and Gap Analysis

Communication & Education

- Employee Orientation and Staff Training
- Leadership Education
- Communication Plan

Reporting and Investigation

- Review Internal Compliance Reporting Venues (Hotline, Email, Dropbox)
- Reporting
- Investigation and Documentation
- How to Document a Compliance Breach

Enforcement Discipline

- Review HR Policies, Procedures for Consistent Enforcement and Discipline for Violations
- Consistent reinforcement ("Tone in the Middle")
- Management to Address Discipline and Enforcement Actions
- 3D: Document, Document, Document

Response and Prevention

- Complete a New Risk Assessment
- Prioritize Risks
- Create a Risk Prevention or Mitigation Plan
- Communicate to the Employees
- Be Cognizant of any Retaliation or Perceived Retaliatory Behavior
- Periodic Monitoring / Audit

FEDERAL LAWS AND REGULATIONS THAT IMPACT THE DEALERSHIP

General Human Resources

Employee Relations

- Americans with Disabilities Act (ADA)
- Employee Discrimination
- Employment Verification Rules
- Federal Wage-Hour and Child Labor Laws
- IRS/DOL Worker Classification
- National Labor Relations Board (NLRB)

Employee Benefits

- Affordable Care Act
- Consolidated Omnibus Budget Reconciliation Act (COBRA)
- Employee Retirement Income Security Act (ERISA)
- Family and Medical Leave Act (FMLA)
- Health Insurance Portability and Accountability Act
- Uniformed Services Employment and Reemployment Rights Act (USERRA)
- Mandatory Workplace Posters

Payroll

- General Corporate and Payroll Tax Compliance
- Federal Child-Support Enforcement Regulations

Marketing, Vehicle Financing, Sales, Customer Notices & Communication

Administrative

- Dodd-Frank Financial Reform Law
- Equal Credit Opportunity Act (ECOA)
- Fair Credit Reporting Act (FCRA)

Customer Communication

- CAN-SPAM (Controlling the Assault of Non-Solicited Pornography and Marketing) Act
- FTC Door-to-Door Sales Rules
- FTC Privacy Rule (Gramm-Leach-Bliley Act)
- FTC Prohibition Against Deceptive and Unfair Trade Practices
- FTC Telemarketing Sales Rule (TSR)
- Junk Fax Prevention Act
- Telephone Consumer Protection Act (TCPA)

Business Operations and Accounting

- FTC Safeguards Rule
- IRS Cash Reporting Rule
- Office of Foreign Assets Control (OFAC) Restrictions
- Repossession Rule
- Miscellaneous Recordkeeping Requirements and Issues
- Crime and Punishment

OSHA / EPA / DOT

Emergency Planning

- OSHA Blood-Borne Pathogens Rule
- Emergency-Response Planning

Service & Body Shop

Environmental / Hazardous Waste Disposal (EPA)

- Clean Air Act
- Clean Water Act
- Resource Conservation and Recovery Act (RCRA)
- Comprehensive Environment Response, Compensation, and Liability Act (CERCLA)

Employee Health and Safety

- Department of Transportation (DOT) Hazardous-Materials Handling Procedures
- OSHA (Occupational Safety and Health Administration) Asbestos Standards
- OSHA Hazard Communication Standard (Right-to-Know Laws)
- OSHA Eye Wash Stations
- OSHA Respiratory Protection Standard
- OSHA Workplace Health and Safety Standards

Effective Compliance Leadership Workshop

Dealership Compliance Officer Certification (DCOP) Examination

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