Look inside for

- Educational opportunities
- Books and other resources
- Solution providers
- SCCE membership application

2018
COMPLIANCE & ETHICS
Resource Guide

corporatecompliance.org
Welcome to SCCE’s 2018 Resource Guide.

Maximize and grow the effectiveness of your compliance and ethics program.

This guide is designed to quickly take you to the products, solutions, and educational opportunities you need to keep your compliance and ethics career and program moving forward.

- **Educational Opportunities:** Choose from one-day regional events, live webinars at your desk, or a four-day comprehensive conference to help you expand your compliance and ethics program and network.

- **Continuing Education Credits:** Our educational events offer Compliance Certification Board (CCB)® continuing education units (CEUs) to help you maintain or earn the necessary CEUs needed to be eligible to sit for your CCB certification: Certified Compliance & Ethics Professional (CCEP)® or Certified Compliance & Ethics Professional-International (CCEP-I)®.

- **Books and Training Materials:** SCCE has developed a wide range of books and other tools for helping you efficiently and effectively improve your program.

- **Online Resources:** Connect with us on LinkedIn, Facebook, and Twitter to stay informed on current events and compliance news. Visit the Compliance & Ethics Blog, SCCEnet®, or listen to our podcast to get insights, tips, and tools from your compliance peers.

- **Solution Providers Listings:** Find management consulting, software interfaces, research tools, employment screening, and education.

SCCE’s Mission

SCCE exists to champion ethical practice and compliance standards in all organizations and to provide the necessary resources for compliance professionals and others who share these principles.
Utilities & Energy Compliance & Ethics Conference
February 4–7 • Washington, DC

European Compliance & Ethics Institute
March 25–28 • Frankfurt, Germany

SCCE/FBI Corporate Compliance Officer Outreach Event
May 21–22, 2018 • Washington, DC

Higher Education Compliance Conference
June 3–6 • Austin, TX

Internal Investigations Compliance Conference
June 7–8 • Orlando, FL

Board Audit Committee Compliance Conference
September 24–25 • Scottsdale, AZ

Compliance & Ethics Institute
October 21–24 • Las Vegas, NV

Basic Compliance & Ethics Academies
February 5–8 • San Francisco, CA
March 5–8 • New York, NY
April 9–12 • Chicago, IL
June 11–14 • Scottsdale, AZ
August 6–9 • Washington, DC
September 10–13 • Las Vegas, NV
October 1–4 • Dallas, TX
November 5–8 • Minneapolis, MN
November 12–15 • San Diego, CA
December 10–13 • Orlando, FL

INTERNATIONAL
January 7–10 • Dubai, UAE
April 23–26 • Amsterdam, Netherlands
July 9–12 • Singapore
August 20–23 • São Paulo, Brazil
September 24–27 • Madrid, Spain
November 26–29 • Rio de Janeiro, Brazil

Regional Compliance & Ethics Conferences
January 26 • Southern California
March 2 • Minneapolis, MN
March 9 • New York, NY
March 23 • Boston, MA
April 13 • Scottsdale, AZ
April 27 • Tampa, FL
May 4 • Chicago, IL
May 18 • San Francisco, CA
June 8 • Atlanta, GA
June 21–22 • Anchorage, AK
August 17 • Columbus, OH
September 21 • Washington, DC
September 28 • Dallas, TX
November 16 • Seattle, WA
December 7 • Philadelphia, PA

INTERNATIONAL
July 13 • Singapore
August 24 • São Paulo, Brazil
October 4 • Sarajevo, Bosnia

Conference dates and locations are subject to change.
TAKE CHARGE OF YOUR COMPLIANCE CAREER

Stay informed on changes affecting the compliance world. Learn from industry experts about emerging best practices for effective compliance and ethics programs.

Join the Society of Corporate Compliance and Ethics

MEMBERSHIP BENEFITS

- **Compliance & Ethics Professional** magazine, 12 issues exclusively for SCCE members plus full access to the magazine archives
- Be a part of a community of 6,000+ Compliance and Ethics Professionals in more than 95 countries
- Member-only discounts on conferences, manuals, and books
- Network locally and globally with 30+ conferences a year at special member rates
- Save on weekly Web conferences for live learning at your desk
- Receive a discount on Compliance Certification Board (CCB)® exam pricing for CCEP and CCEP-I

Additional resources

- Weekly newsletters and blog posts from industry experts
- SCCEnet® provides access to an online Resource Library and networking

LEARN MORE AND JOIN TODAY

corporatecompliance.org/join
SCCE Membership Application

CONTACT INFORMATION (PLEASE TYPE OR PRINT)

☑ Mr ☑ Mrs ☑ Ms ☑ Dr

First Name     Mi     Last Name

Credential(s)     Job Title(s)

Name of Employer

Street Address

City      State/Province   Zip/Postal Code    Country

Telephone       Email

MEMBERSHIP OPTIONS

☐ Individual Membership ................................... $295
$295 per individual annually.

☐ Group Employee Membership ...................... $250
$250 per employee annually. Must have four or more applicants from the same organization to qualify. Please fill out one form for each applicant.

☐ Student Membership ................................... $150
$150 annually. To qualify you must be a full-time or part-time student and unemployed.

TOTAL $ ____________________

PAYMENT OPTIONS

☐ Check enclosed (payable to SCCE)

☐ Invoice me

☐ I authorize SCCE to charge my credit card (choose card below)

CREDIT CARD: ☐ American Express ☐ Discover ☐ MasterCard ☐ Visa

Due to PCI Compliance, please do not provide any credit card information via email.
You may email the application to helpteam@corporatecompliance.org (without credit card information) and call SCCE at +1 952.933.4977 or 888.277.4977 with your credit card.

Credit Card Number

Credit Card Expiration Date

Cardholder’s Name

Cardholder’s Signature

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Learn more and join online at CORPORATECOMPLIANCE.ORG/JOIN

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We do not offer refunds for our membership fees. If applicable you may transfer your membership to another member of your organization at no charge. A transferred membership will use the remainder of the original membership term.

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Apply online at corporatecompliance.org/join
Fax application to +1 952.988.0146
Mail application to
Society of Corporate Compliance and Ethics
6500 Barrie Road, Suite 250
Minneapolis, MN 55435, United States
Join SCCE in 2018 to learn and share compliance successes and challenges in your region. Take advantage of this opportunity to learn from your peers, network, and earn CEUs—all in your area.

**Southern California** • Friday, January 26
**Minneapolis, MN** • Friday, March 2
**New York, NY** • Friday, March 9
**Boston, MA** • Friday, March 23
**Scottsdale, AZ** • Friday, April 13
**Tampa, FL** • Friday, April 27
**Chicago, IL** • Friday, May 4
**San Francisco, CA** • Friday, May 18
**Atlanta, GA** • Friday, June 8
**Anchorage, AK** • Thu & Fri, June 21–22

**Columbus, OH** • Friday, August 17
**Washington, DC** • Friday, September 21
**Dallas, TX** • Friday, September 28
**Seattle, WA** • Friday, November 16
**Philadelphia, PA** • Friday, December 7

**INTERNATIONAL**
**Singapore** • Friday, July 13
**São Paulo, Brazil** • Friday, August 24
**Sarajevo, Bosnia** • Thursday, October 4

corporatecompliance.org/regionals

Questions? katie.burk@corporatecompliance.org
2018 BASIC COMPLIANCE & ETHICS ACADEMIES
FROM THE SOCIETY OF CORPORATE COMPLIANCE & ETHICS

10,300+ COMPLIANCE PROFESSIONALS
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APPLY NOW.

APPLY NOW TO TAKE THE OPTIONAL CERTIFIED COMPLIANCE & ETHICS PROFESSIONAL (CCEP)® CERTIFICATION EXAM ON THE LAST DAY OF THE ACADEMY.

REGISTER EARLY TO RESERVE YOUR SPACE
ACADEMIES LIMITED TO 75 PARTICIPANTS

corporatecompliance.org/academies
Questions: jill.burke@corporatecompliance.org
MONDAY
8:00–8:30 AM Registration and Continental Breakfast (provided)
8:30–8:45 AM Welcome and Introduction
8:45–10:30 AM Organizational Ethics

Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC

This is a focus on what an ethical culture is and its importance as the underlying basis for a strong culture of compliance and ethics. It focuses on the legal requirement of an ethical culture and the business value of one. The course also covers the current ethical landscape and the practical steps to creating and maintaining a strong ethical corporate culture.

10:45 AM–12:15 PM Introduction to Compliance Practice: Abbreviated Compliance 101

Sheryl Vacca, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F
Chief Risk Officer
Providence St. Joseph Health

This course provides a basic introduction to compliance and compliance programs. It covers the seven essential elements of a compliance program and reviews the organizational steps necessary to implement a successful compliance program. The laws, rules and regulations pertinent to compliance programs are introduced. Challenges confronting compliance officers are discussed.

12:15–1:15 PM Lunch (provided)

TUESDAY
7:30–8:00 AM Continental Breakfast (provided)
8:00–9:45 AM Ethics & Compliance Risk Assessment

Sheryl Vacca, CHC, CHC-F, CHPC, CHRC, CCEP, CCEP-I, CCEP-F
Chief Risk Officer
Providence St. Joseph Health

If there were an eighth key element of compliance program guidance, risk assessment would be it. In this session, participants will learn what risk is and how it can be assessed, who should be involved in risk assessments, ways to identify risk areas, and what to do with the results of a risk assessment.

1:15–3:00 PM Compliance Infrastructure

Debbie Troklaus, CCEP-F, CCEP-I, CHC-F, CHRC, CHPC, Managing Director,
Aegis Compliance and Ethics Center

This course is designed to help compliance professionals understand the components of an effective compliance infrastructure. Implementation of a compliance program, selection of qualified staff, budgeting for compliance and the overall structure of the office are discussed. Time is spent discussing the various positions needed and the qualifications for each. The auditing position along with qualifications (coding credentials) is discussed. A compliance professional should be able to use what is taught in this course to design an adequate structure to facilitate an effective compliance program.

3:15–5:00 PM Creating and Reviewing Compliance Policies and Procedures

Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC

This course focuses on the importance of policies and procedures as the foundation for any strong ethics and compliance program. It covers the legal, cultural, and efficiency reasons for having policies and procedures. The main purpose of the course is to clearly define what policies, procedures and guidelines are, what their specific elements are, and how to create effective policies and procedures. It covers an updated view of best practices on codes of conduct. Finally, it covers the ways to review and update policies and procedures.

10:00–10:15 AM CCEP Exam Discussion

10:15–12:00 PM Privacy and Information Security

David J. Heller, CCEP, VP Enterprise Risk Management and General Auditor, Edison International

This session provides an overview of key data privacy laws, regulations and guidelines that could impact a U.S. or global company with U.S. operations. It also touches on corresponding data protection standards. The Privacy session provides a basic high level introduction to new and emerging law, regulations and standards in many segments of industry. It covers laws and regulations applicable to both private industry and government. Laws and regulations for activities in Europe, Asia and other areas of the world are also briefly touched on in this session.

12:00–1:00 PM Lunch (provided)

1:00–2:15 PM Discipline and Program Improvement

Marjorie W. Doyle, JD, CCEP-F, CCEP-I, Marjorie Doyle & Associates, LLC

This session focuses on two of the most important elements of a program. When a failure is detected, discipline shows the culture that enforcement of the standards of the organization is serious. Discipline not only affects the individuals involved but is a message to the culture. Program improvement is an analysis after every failure to see what can be done to which elements of the program to prevent the same failure in the future. The program is always a work in progress.

2:15–3:15 PM Legal Issues, Risk Factors, and Disclosure Issues

Art Weiss, JD, CCEP-F, CCEP-I, Chief Compliance & Ethics Officer, TAMKO Building Products

This session will cover the need to identify legal risks, the need to investigate those risks, disclosure of wrongdoing, and the prevention of damage arising from both risks and non-disclosure.
This interactive session provides a comprehensive overview of ethics, compliance, and risk management best practices, including strategies and insights for taking your program to the next level. Highlights of this session include considerations and first steps to best practices programs; highlights and metrics on industry trends and perspectives; exploration of program successes, challenges, and opportunities; resources available for developing and enhancing your programs; and an interactive networking and information sharing opportunity.

5:30 PM
Networking Dinner

WEDNESDAY
8:00–8:30 AM
Continental Breakfast (provided)

8:30–10:15 AM
Education and Training

Art Weiss, JD, CCEP-F, CCEP-I
Chief Compliance & Ethics Officer, TAMKO Building Products

This session will cover the need for compliance and ethics training, the different types of training, targeted training, the dangers of ineffective training, and the use of data to help prove “effectiveness.”

10:30 AM–12:15 PM
Lunch (provided)

1:15–3:00 PM
Investigations

Meric Bloch, CCEP-F, JD, CFE, PCI
Corporate Director, Investigations
Shriners Hospitals for Children

This session provides an overview of the workplace investigation process and the key steps in conducting a workplace investigation. Session content is presented for compliance officers who conduct investigations regularly as well as those who incorporate investigation findings in their other compliance work. The structure of an investigations process within the compliance program is discussed. The session proceeds through the investigation process and includes examples from actual investigations.

3:15–5:00 PM
E&C Programs: Effectiveness and Evaluation

Greg Triguba, JD, CCEP, CCEP-I
Senior Practice Leader, Ethics, Compliance and Risk, Affiliated Monitors, Inc.

This session focuses on Ethics & Compliance Program effectiveness and evaluation to include core components of program design, implementation, and management, among other key areas. Effectiveness considerations are explored to include strategies and approaches across program elements, organizational impact, global standards, stakeholder expectations, and best practices. The course will also consider methods, tools and resources for evaluating effectiveness and suggested steps for managing program risks, reporting, and opportunities to take the Ethics & Compliance Program to the next level. Overall, this course provides valuable insight and reinforcement of fundamental program requirements, needs and objectives.

8:00–9:45 AM
Conflicts of Interest

Martin T. Biegelman, CFE, CCEP-F
Managing Director, Forensic Investigations, Deloitte Financial Advisory Services LLP

Conflicts of interest are some of the most common and challenging issues for compliance and ethics programs. Employees are expected to act in the best interests of their organizations and exercise sound judgment unclouded by personal interest or divided loyalties, but that does not always occur. This session is designed to assist compliance professionals in understanding ethical and organizational risks that result from conflicts of interest. It will review the many kinds of conflicts of interest and how they occur; gifts, gratuities, and kickbacks; policy development; disclosure programs; detection and auditing for compliance; training; case studies; and best practices.

11:45 AM
Boxed Lunch (provided)

1:15–4:30 PM
CCEP Exam Check-In

1:15–4:30 PM
CCEP Exam

The exam is optional. You must pre-register for the CCEP exam separately from the Academy. To apply online, go to: https://www.corporatecompliance.org/Certification/ApplyforCCEPCertification.aspx

Academy and certification exams are offered only in English at this time.

PLEASE NOTE: If you are not present at the specified “Exam Time” as listed above, and as determined by the exam proctor, you will not be allowed to sit for the exam. Actual exam duration is 120 minutes per the Candidate Handbook. Time range above includes mandatory exam procedures and proctor instructions.

AGENDA IS SUBJECT TO CHANGE
2018 INTERNATIONAL BASIC COMPLIANCE & ETHICS ACADEMIES
FROM THE SOCIETY OF CORPORATE COMPLIANCE & ETHICS

INTERNATIONAL ACADEMIES OFFERED IN 2018

DUBAI, UAE
7–10 JANUARY

AMSTERDAM, NETHERLANDS
23–26 APRIL

SINGAPORE
9–12 JULY

SÃO PAULO, BRAZIL
20–23 AUGUST

MADRID, SPAIN
24–27 SEPTEMBER

RIO DE JANEIRO, BRAZIL
26–29 NOVEMBER

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questions: lizza.catalano@corporatecompliance.org
The utilities and energy industries are highly regulated. Take advantage of the opportunity to discuss your concerns and enjoy exchanging ideas with others facing the same regulations.

Enjoy great education and networking at the Society of Corporate Compliance and Ethics Utilities & Energy Compliance & Ethics Conference.

Learn more and register at corporatecompliance.org/utilities

Questions: katie.burk@corporatecompliance.org
European Compliance & Ethics Institute
25–28 March 2018 | Frankfurt, Germany

- Hear from top compliance & ethics professionals from Europe and around the world
- Learn the latest and best solutions for compliance & ethics challenges, including anti-corruption, data protection, and risk management
- Build your professional network
- Earn the continuing education units you need to apply for the optional Certified Compliance & Ethics Professional - International (CCEP-I)® exam

europeancomplianceethicsinstitute.org | lizza.catalano@corporatecompliance.org
Gather with your peers and the Society of Corporate Compliance and Ethics for the primary education and networking event for compliance and ethics professionals in higher education.

Want to become a Certified Compliance & Ethics Professional (CCEP)? Apply to take the optional CCEP exam on the last day of the conference.

corporatecompliance.org/highered

Questions? catherine.stollenwerk@corporatecompliance.org
Internal Investigations Compliance Conference

JUNE 7–8, 2018 | ORLANDO, FL

corporatecompliance.org/investigations
Questions? Email lizza.catalano@corporatecompliance.org

- Two days of focused training on conducting compliance-related internal investigations
- Led by two experienced compliance professionals, Meric Bloch and Al Gagne
- For compliance professionals charged with conducting investigations or those supervising them
- Understand and assess the initial allegation of wrongdoing
- Create an investigation plan
- Discuss the steps: gathering evidence, conducting interviews, conclusions and root-cause analysis, and writing your report

Meric Bloch, JD, CFE, CCEP-F
Corporate Director, Investigations
Shriners Hospitals for Children

Albert G. Gagne, CCEP
Former Director, Ethics & Compliance, Textron Systems Corporation (retired)
The Compliance & Ethics Institute is the primary education and networking event for those working in the Compliance and Ethics profession, across all industries around the world. Offering more than 115 sessions that cover practical applications, emerging trends, and state-of-the-art techniques.

Learn More & Register at COMPLIANCEETHICSINSTITUTE.ORG

Compliance & Ethics Institute
17th Annual Society of Corporate Compliance & Ethics
OCTOBER 21-24, 2018 | LAS VEGAS, NV

corporatecompliance.org/audit

The Society of Corporate Compliance and Ethics Board Audit Committee Compliance Conference is designed for board members and members of an audit and/or compliance committee. Compliance officers and other senior organizational leaders are welcome to attend.

September 24–25, 2018
Scottsdale, AZ | The Scott Resort & Spa

Join us and learn:
• The latest on regulatory risk and compliance obligations
• How to fulfill your fiduciary obligations as a board member
• How to help improve your board performance

BUY 1 registration for $895 and GET 1 for $595

Questions: jill.burke@corporatecompliance.org
Save the Date

OCTOBER 21-24, 2018 | LAS VEGAS, NV

The Compliance & Ethics Institute is the primary education and networking event for those working in the Compliance and Ethics profession, across all industries around the world. Offering more than 115 sessions that cover practical applications, emerging trends, and state-of-the-art techniques.

Learn More & Register at
COMPLIANCEETHICSINSTITUTE.ORG
Set a higher bar for yourself.

Become a CCEP-Fellow.

Do you have 5 or more years of experience in the compliance field? Have you held the CCEP certification for at least 3 years?

You could qualify for the Certified Compliance & Ethics Professional-Fellow (CCEP-F)® and showcase your compliance expertise and commitment to the profession by building on your CCEP certification.

Set the bar higher and demonstrate you have what it takes to become a leader in this important and ever-changing field.

To learn more about this certification and how you can set yourself apart, visit us online at compliancecertification.org.
Products
The Complete Compliance and Ethics Manual
Written by experienced compliance and ethics professionals, this annually updated resource offers assistance for every area of the compliance and ethics world.

New in the 2017 edition:
- Components of an effective Compliance & Ethics program
- Ways the Board of Directors can have a positive influence on culture
- Coordinating with Personnel to reach new employees with the C&E message
- Navigating the legal haze of marijuana laws pertaining to employees
- New data protection laws in the EU
- Data Protection Officers in the EU
- Updates to 5 topic areas

MEMBERS $375 / NON-MEMBERS $419

SPECIAL PRICING FOR CURRENT MANUAL OWNERS:
$250 for SCCE members / $300 for non-members

International Compliance 101
While laws and regulatory authorities may vary nation to nation, the basic job of compliance and ethics professionals remains the same—to prevent, detect, and respond to misconduct. What’s more, no matter where your organization is based, the steps required to build and maintain an effective program are essentially the same.

International Compliance 101 provides the basic information you need to build and maintain an effective compliance and ethics program. Similar to the original Compliance 101, this version widens the focus to major governing directives that exist in other regions of the world. This book is ideal for compliance professionals new to the field, compliance liaisons, board members, and others with compliance duties.

MEMBERS $50 / NON-MEMBERS $60

Compliance 101, Second Edition: How to Build and Maintain an Effective Compliance and Ethics Program
As SCCE moves into its second decade of supporting the compliance and ethics profession, authors Debbie Troklaus and Sheryl Vacca have updated this classic text with new insights and more tips on how to build an effective program that meets federal standards. Its coverage includes:
- The Importance of Compliance and Ethics
- The Seven Essential Elements of a Compliance Program
- Organizational Steps for an Effective Program
- Tips for Tailoring Your Compliance Plan
- Sample Compliance Materials

This book is ideal for compliance professionals new to the field, compliance committee members, compliance liaisons, board members, and others tasked with compliance and ethics duties.

MEMBERS $50 / NON-MEMBERS $60

Building a Career in Compliance and Ethics: Find Your Place in the Business World’s Hottest New Field
Authors Joseph E. Murphy and Joshua H. Leet have condensed their original book, Working for Integrity, to offer guidance on how to establish a career in compliance and ethics. You’ll discover:
- The wide range of compliance and ethics jobs
- The skills and temperament needed for this field
- Practical ways to prepare for and get ahead in your career
- Steps for conducting an effective job search
- Advice from seasoned compliance and ethics professionals
- Tips for selling your compliance and ethics program to upper management

SOFTCOVER: MEMBERS $50 / NON-MEMBERS $60
HARDCOVER: MEMBERS $50 / NON-MEMBERS $60

Available in electronic format for ereaders and tablets
Visit Amazon.com or Kobobooks.com

“This book is an immensely valuable contribution to the field. It will not only help guide a new generation of compliance and ethics officers through the many professional challenges that await them, but will also provide considerable useful insight and know-how to their experienced counterparts.”

Jeffrey M. Kaplan, Partner, Kaplan & Walker LLP; former Program Director of the Conference Board’s Business Ethics Conference
The First Information Is Almost Always Wrong: 150 Things to Know About Workplace Investigations

Effective workplace investigations are equal parts art and science. Author Meric Bloch has mastered both aspects through years of hard-earned experience. In this book, he details the strategies and tactics he knows work best. His approach is mapped out in three sections:

- Protect Your Career—How to Think Like a Workplace Investigator
- Protect Your Company—How to Integrate Your Investigations into Your Company’s Operations
- Protect Your Case—How to Conduct an Effective Workplace Investigation

MEMBERS $80 / NON-MEMBERS $90

Investigative Interviewing: It’s Not Just What You Ask, But How You Ask It—A Q&A Guide

Author Meric Bloch has been training workplace investigators for years—as a faculty member at SCCE’s Basic Compliance and Ethics Academies, and as a trainer at countless other conferences. In this book, Meric has gathered the most useful questions posed to him and provided his expert answers. He covers seven key areas of investigative interviewing:

- Preliminary considerations
- Fine-tuning your approach
- The interview process
- Interviewing the reporter
- Interviewing the subject
- Assessing credibility and detecting deception
- Writing the interview memo

This book offers effective strategies and tactics that can help you become a better workplace investigator.

MEMBERS $50 / NON-MEMBERS $60

Workplace Investigations: Techniques and Strategies for Investigators and Compliance Officers

Author Meric Bloch is back with more expert guidance! His book offers step-by-step guidance on internal investigations, covering how to:

- Structure the process
- Select an investigations team
- Plan the investigation
- Interview reporters and witnesses
- Interview implicated employees
- Secure relevant documents
- Evaluate evidence
- Reach conclusions
- Write a final report and move forward

MEMBERS $90 / NON-MEMBERS $100

Ethics and Compliance on the Job

This book takes the approach that ethics and compliance are two halves of the same whole and must be joined together for the best results. This anthology of articles from Ethikos magazine brings together highly relevant and practical ideas, insights, and advice for today’s practitioners. Articles for this collection were selected to cover five key subject areas:

- Establishing/Promoting an Ethical & Compliant Culture
- Program Implementation Details
- Communicating Ethics & Compliance
- Ethics & Compliance Education & Training
- Assessing & Measuring Program Effectiveness

MEMBERS $75 / NON-MEMBERS $85

SAVE WHEN YOU BUY ALL THREE OF MERIC BLOCH’S BOOKS

- The First Information Is Almost Always Wrong: MEMBERS $80 / NON-MEMBERS $90
- Workplace Investigations: MEMBERS $90 / NON-MEMBERS $100
- Investigative Interviewing: MEMBERS $50 / NON-MEMBERS $60

ALL THREE BOOKS AS A SET: Members $200 / Non-members $230
Compliance Is Just the Beginning

Video training produced by QMR—The Respectful Workplace Company

How do you make better ethical decisions at work? Just because a particular choice is legal does not make it right. This two-program video series introduces a three-step process for handling tough ethical decisions. The first program, “3 Steps to Ethical Decisions,” introduces the three steps we can take when faced with a tough ethical choice. The second program, “Ethical Situations to Consider,” presents eight dramatized scenarios to spark discussion about familiar ethical issues.

PROGRAM ONE: 3 Steps to Ethical Decisions (24 min.)
MEMBERS $625 / NON-MEMBERS $720

PROGRAM TWO: Ethical Situations to Consider (32 min.)
MEMBERS $625 / NON-MEMBERS $720

TWO-PROGRAM PACKAGE: Compliance Is Just the Beginning
MEMBERS $1,062 / NON-MEMBERS $1,224

FULL ONLINE PREVIEW! corporatecompliance.org/CompJustBegin

You Can STOP Harassment

Video training produced by QMR—The Respectful Workplace Company

Harassment goes beyond gender issues. Racial, religious, ethnic, and other forms of workplace harassment are equally dangerous to an organization and its employees. This two-program series (one for all employees, the other for managers) looks at all forms of illegal work-related harassment. Each program is composed of short dramatizations that explore harassment issues that are common within organizations. Each scenario is then analyzed by a diverse group of legal, human resources, and communications experts.

PROGRAM ONE: Taking Responsibility (26 min.)
MEMBERS $625 / NON-MEMBERS $720

PROGRAM TWO: The Responsible Leader (25 min.)
MEMBERS $625 / NON-MEMBERS $720

TWO-PROGRAM PACKAGE: You Can STOP Harassment
MEMBERS $1,062 / NON-MEMBERS $1,224

FULL ONLINE PREVIEW! corporatecompliance.org/StopHarass

The Ethics Series with Dr. Marianne Jennings

Produced by DuPont Sustainable Solutions

“Ethics Is a Competitive Advantage” lists five key reasons why ethics matter. This program explores why working in the gray areas is risky and a recipe for non-sustainable business. (20 min.)

“Speaking Up Without Fear” discusses work environments where employees keep silent and fear retaliation if ethical concerns are reported. This program explores how organizations can draw out wrongdoing and help create a culture where employees feel empowered. (15 min.)

“Ethical Leadership: Tone at All Levels” explores how employees can handle the tension between increasing an organization’s bottom line and protecting its good reputation. This program discusses what every employee can do to help build and sustain an ethical culture. (20 min.)

Each segment is available individually, or all together on one DVD.

MEMBERS $450 PER SEGMENT OR $1,175 FOR THE SERIES
NON-MEMBERS $495 PER SEGMENT OR $1,295 FOR THE SERIES

Corporate Compliance & Ethics: Guidance for Engaging Your Board

This video training kit serves as a call to action for board members. In this 12-minute video, your board of directors will learn their responsibilities in identifying compliance risks, engaging in compliance program oversight, ensuring needed resources for program monitoring, and assessing the effectiveness of the whistleblowing detection system. With this valuable training kit, you receive the DVD as well as key support materials.

MEMBERS $345 / NON-MEMBERS $395

FULL ONLINE PREVIEW!
corporatecompliance.org/CompJustBegin

“The Board’s role in corporate compliance is a critical one. This video calls attention to the need for board action in this area.”
John F. Morrow, CPA, Vice President, American Institute of Certified Public Accountants
501 Ideas for Your Compliance and Ethics Program: Lessons from 30 Years of Practice

Author Joseph Murphy has spent his career collecting great ideas for building an effective compliance and ethics program. He shares 501 of them here—ideas big and small—to help others find new ways to improve their programs. All are practical and ready to use. For those who want more background on the ideas, Murphy has included print and Web citations right next to each idea. Topics covered in this collection include:

- Identifying compliance & ethics risks
- Preparing for investigations
- Establishing and enforcing a program
- Evaluating effectiveness
- Conducting audits
- Benchmarking against industry practices
- And much more!

MEMBERS $50 / NON-MEMBERS $60

Sample ideas from the book:

#12: Online comment period. Put the draft code of conduct online and invite all employees to provide input and comments.

#66: Field participation. Invite field managers to participate in compliance committee meetings to bring fresh perspectives, and to spread understanding about the compliance and ethics program.

#283: Employee surveys. Use employee surveys to gauge employee awareness of the compliance and ethics program and their views of its effectiveness.

#470: Bribery red flag lists. Provide a list of corruption red flags to all those who are at risk for bribery opportunities. This list can include things like agents with no offices, and consultants requiring payment to third parties outside of the country.

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Founded in 2001, Klink & Co., Inc. is a leading international risk consulting/investigative firm specializing in Foreign Corrupt Practices Act (FCPA), UK Anti-Bribery Act, and Anti-Corruption Compliance; Transactional and FCPA Due Diligence; Internal Misconduct/Fraud Investigations; Litigation Support; Forensic Accounting; and Computer Forensics. Klink’s team has worked in over 100 countries on thousands of due diligence projects, FCPA/ fraud investigations, and billion dollar fraud/litigation support projects. Offices in New York, Pittsburgh, Hong Kong and London serve clients, including Fortune 500 companies, banks, private equity firms, law firms and universities.

KPMG

kpmg.com/us/ccosurvey

KPMG helps organizations in their efforts to achieve highest levels of business integrity and manage the costs and risks of complying with new regulations and enforcement. The Forensic practice is distinguished by a global network of 3500 professionals in 50 countries who help with third party risk management, investigations, anti-bribery and corruption, data analytics, eDiscovery, cyber intrusions, and prevention, detection and deterrence of fraud and misconduct. We also have a distinguished team of compliance transformation professionals to help go beyond just meeting the next requirement and instead, fundamentally retool compliance governance, culture, and business and risk operations.

Kreller Group

www.kreller.com

Kreller Group provides comprehensive international due diligence services to help clients mitigate risk as well as maintain their stock value and corporate reputation. International investigations must go beyond database inquiries. Kreller incorporates the latest technology with a boots-on-the-ground investigative process, completed in real time and utilizing direct source verification. We investigate every finite detail to ensure your company’s business endeavors, associations and resources are ethical and secure.

Kroll

www.kroll.com

Kroll is the market leader for due diligence and compliance solutions. Legal and compliance professionals in the world’s top companies and financial institutions count on us to deliver high-quality services that enable them to focus on their most important and immediate challenges. With an unmatched global footprint, robust in-house language capabilities and flexible technology tools, Kroll calls on over 40 years of experience to provide clients with the confidence to make informed decisions and seize rewarding opportunities.

Learnings & Entertainments

www.learningsentertainments.com/suites

L&E is all about employee engagement and providing short, creative, entertaining assets for ongoing communication and education. We are a creative services and content provider that uses a network of comedians, musicians, and writers to help simplify messaging, socialize learning and improve communication in corporate environments. The L&E Suites are customizable music, video and multimedia employee awareness communication campaigns that help promote integrity and compliance and help to rebrand the ethics and compliance office as a positive, helpful resource. We build custom creative educational content and campaigns as well!

LexisNexis Risk Solutions

www.lexisnexis.com/risk/compliance

LexisNexis Risk Solutions is a leader in providing essential information that helps customers across all industries and governments to predict, assess, and manage risk by combining cutting edge technology, unique data and advanced scoring analytics. As an expert in 3rd party risk management, we offer a multifaceted solution that allows companies to screen all parties against global watch lists and recognize when any of their business partners (vendors, resellers, customers and prospective customers) represent a risk. We also have one of the largest databases in the industry of persons and companies being investigated for corruption.

LockPath

www.lockpath.com

LockPath is a market leader in corporate governance, risk management, regulatory compliance (GRC) and information security (InfoSec) software. LockPath’s platform automates business processes to reduce enterprise risk, demonstrate compliance and achieve audit-ready status. LockPath serves small and midsize companies and Fortune 10 enterprises in more than 15 industries. Visit lockpath.com.

LogicGate

www.logicgate.com

LogicGate is a powerful GRC process and workflow management platform that transforms mission-critical activities to reduce risk and improve compliance. LogicGate helps organizations enhance controls, increase process flexibility, and improve collaboration. Customers are delighted by LogicGate’s ease of use, total customizability, unlimited process applications, and four-week implementation period. LogicGate has a track record of successfully managing customer relationships with high-growth organizations and Fortune 500 companies in financial services, healthcare, energy, retail, and high-tech sectors.
Opus
www.opus.com
Opus was founded on a simple premise: that faster, better decisions in compliance and risk management could give businesses an extraordinary advantage in the marketplace. Today, the world’s most respected, global corporations rely on Opus to free their business from the complexity and uncertainty of managing customer, vendor, and third-party risks. By combining the most innovative SaaS platforms with unparalleled data solutions, Opus turns information into action so your business thrives.

Osprey Compliance Software
www.ospreycompliancesoftware.com
COI RiskManager™—The leader in Conflict of Interest Software: COI RiskManager™—(a powerful web-based solution) efficiently captures disclosures, automatically identifies potential conflicts and provides reviewer workflows to quickly mitigate issues for any size organization, across many industries. By using COI RiskManager™, organizations obtain the highest compliance levels from their users while fulfilling industry regulations through auditable best practices. COI RiskManager™ includes everything you need to get started quickly and execute your compliance campaigns successfully. Visit ospreycompliancesoftware.com for more information.

Oversight
Oversight Systems
www.oversightsystems.com
Oversight Insights On Demand™ is a web-based artificial intelligence solution that automates spending program compliance by comprehensively analyzing expense report, purchase card, and accounts payable transactions to identify fraud, non-compliant purchases, and wasteful spending. Through visibility into the interaction between policy and behavior, Oversight offers opportunities for ongoing improvement, and helps organizations transform how they are managing risks in their spending programs. Oversight’s solution is strengthened by partnerships with Concur, Mastercard, Oracle, SAP, and TSYS. For more information visit www.oversightsystems.com.

Palmtree by Guidant Technology LLC
www.getpalmtree.com
Guidant Technology is pleased to announce the launch of Palmtree—a revolutionary app created to place compliance in the palm of your hand; and the hands of your entire workforce wherever they may be, 24 hrs a day. In today’s fast-paced business world, your employees find themselves in countless situations everyday needing guidance or simply reassurance they’re making the right decisions aligned to their company’s compliance program. Let Palmtree guide them through company policies, trade compliance rules, FCPA situations and so much more. Palmtree removes the uncertainty for the employee and mitigates compliance risk for the company. Please visit getpalmtree.com for more details.

Resonate Pictures Inc
www.resonatepictures.com
For 10 years, we’ve moved employees to tears (the good kind) with award-winning ethics and compliance training films created by our network of Hollywood professionals (Disney, Universal, SONY, FOX, etc.). By utilizing the neurobiology of story, we’ve helped Altria, Anheuser-Busch, JE Dunn, M&M’s and more instruct, spark discussion and inspire their employees. Our custom content mirrors your culture and shifts behavior while our off-the-shelf animations serve as hilarious compliance commercials. Let us transform your training videos from a four letter word into must see TV with messaging that sticks.

Rethink Compliance
www.rethinkcomplianceco.com
Ever wonder if your compliance program is going in one ear and out the other? At Rethink Compliance, we help clients create messages that stand out from the noise. We draw on brain science to create content that is easier to absorb and remember, and we borrow influence and persuasion tactics to change employees’ choices and behavior. Visit us at www.rethinkcomplianceco.com to see how we combine compliance and ethics expertise with the skills and creativity of a boutique design studio.
Skillsoft Compliance Solutions

Skillsoft Compliance Solutions provides risk mitigation and safety training for a wide range of customers including global enterprises, government and educational institutions, and small and mid-sized businesses. Today we serve over 1,500 organizations worldwide, of which many of the leading Fortune 500 companies. With over 475 risk topics, in 30 languages, Skillsoft provides one of the largest selections of compliance training to ensure organizations effectively meet regulatory requirements.

SnapComms

Get Employee Attention! SnapComms delivers and measures your compliance campaigns. Our visual messaging software places your compliance messages directly on employee screens without the need for email. Target the messages to mobiles, PCs, users, shared logins, groups or the entire organisation. Build a campaign to raise awareness of compliance topics, drive behavior change and measure compliance rates! Campaigns consist of nurture communications delivered as pop-up alerts, digital newsletters, videos, scrolling tickers, quizzes, surveys, invitations or wallpaper and culminate in individual tracked employee commitment. For more information visit www.snapcomms.com

Steele Compliance Solutions Inc

Steele Compliance Solutions, Inc. is a global compliance intelligence firm offering comprehensive third-party due diligence and software-as-a-service (SaaS) solutions that help organizations comply with regulatory third-party compliance requirements. With more than 26 years of experience, due diligence engagements in more than 190 countries, covering more than 40 languages, Steele provides Fortune 1000 companies with pragmatic solutions. Our suite of products and services include regulatory due diligence, third-party program advisory services, program management services, and a secure, automated third-party management software platform.

Second City Works

Second City Works (SCW) is the innovative business solutions arm of the world-renowned improvisational comedy institution, The Second City. We focus on creative approaches to talent development and workplace effectiveness. Our RealBiz Shorts videos (realbizshorts.com) help improve communication and compliance culture around these key topics. RealBiz Shorts is a series of more than 150 short, witty, and engaging videos, focused on ethics and compliance and other GRC related problems; designed to get attention, improve subject matter retention, and change perceptions for how these important subjects are received. After all, you can’t bore people into changing behavior.

Syntrio Inc

Syntrio is a leader in the Ethics and compliance industry, focused on making compliance engaging and effective for its clients. Syntrio provides cutting edge e-learning solutions with over 100 courses and 600 modules written by industry experts and delivered via an industrial strength state of the art LMS. Syntrio embraces a holistic approach to corporate compliance including Compliance Moments short video primers followed by full-scale training using real life scenarios and customization options. After adding an Anonymous Hotline Service and a Legal Advisory Board, Syntrio is well equipped as an innovative force in compliance now and into the future.

Reference herein to any specific commercial product, process, or service by trade name, trademark, service mark, manufacturer, or otherwise does not constitute or imply endorsement, recommendation, or favoring by the Society of Corporate Compliance and Ethics and Health Care Compliance Association.
TeachPrivacy LLC
www.teachprivacy.com
Founded by the leading privacy law expert Professor Daniel Solove, TeachPrivacy provides customized computer-based training specializing in FERPA and HIPAA. We also have extensive material on phishing, social engineering, portable devices, encryption, passwords, websites and software, privacy awareness, and many more topics. Our training is customizable and flexible, incorporating videos, quizzes and interactive elements to make it highly engaging.

The Red Flag Group
www.redflaggroup.com
The Red Flag Group® is a global integrity and compliance firm. We apply our unique set of advice, technology and business intelligence applications to help our clients manage their integrity and compliance risks. We focus on managing four major risk areas of customers, sales, suppliers and human capital amid the ever-changing regulatory landscape. Our suite of services comprises tailored project advisory, due diligence covering more than 194 countries, and technology solutions. For more information visit www.redflaggroup.com.

True Office Learning
www.trueoffice.com
True Office Learning is a software company that connects e-learning to advanced behavioral data through an adaptive technology platform. True Office Learning empowers organizations to build a culture of compliance by combining dynamic, adaptive learning experiences with quantitative behavioral analytics to increase performance, enhance accountability and mitigate risk.

TRACE
Anti-Bribery Compliance Solutions
www.traceinternational.org
TRACE International and TRACE Incorporated are two distinct entities with a common mission to advance commercial transparency worldwide by supporting the compliance efforts of multinational companies and their third party intermediaries. TRACE International is a non-profit business association that pools resources to provide members with anti-bribery compliance support while TRACE Incorporated offers both members and non-members customizable risk-based due diligence, anti-bribery training and advisory services. Working alongside one another, TRACE International and TRACE Incorporated offer an end-to-end, cost-effective and innovative solution for anti-bribery and third party compliance.

Traliant
www.traliant.com
Traliant is changing how compliance training is created, customized, and experienced. Our completely modular Code of Conduct training is built on a foundation of interactive videos where users get to view and choose alternate endings. We cover virtually every core topic found in Code of Conduct training. We combine this with a scoring system where people earn Engagement Points and compete with colleagues for the top spot on the leaderboard. We even provide crystal trophies so you can reward top performers. Compliance training has never been more modern or effective…. Come see why we say, “We take compliance training from boring to brilliant.”

VComply Inc.
www.v-comply.com
V-Comply.com is a SaaS designed for a single purpose—SIMPLIFY Governance and Management of Risk and Compliance. It is an omnibus software with one of the largest Compliance Libraries in the world with elaborate instances of Regulations, Standards and Internal Controls. The unique CAL-Repository helps organizations to hold, monitor or renew Certification, Agreements and Licenses. The software itself is a digitally functional embodiment of three pathbreaking management theories—Theory of Responsibility in Organizations (Prendergast), Management by Exception (Taylor) and Management by Objectives (Drucker).

Reference herein to any specific commercial product, process, or service by trade name, trademark, service mark, manufacturer, or otherwise does not constitute or imply endorsement, recommendation, or favoring by the Society of Corporate Compliance and Ethics and Health Care Compliance Association.
VITAL FOR
www.vitalfor.com
VITAL FOR is a SaaS platform provider that aggregates global anti-bribery, anti-corruption, KYC, AML & Anti-Terrorism data. VITAL FOR SEARCH technology allows organizations to perform cost-effective due diligence while focusing on best practice compliance with the ability to duplicate data in any geographical location, almost instantaneously, as mandated by given compliance regulations. Our technology utilizes proprietary indexing algorithms which drive the most rapid search experience available in the industry. VITAL FOR SEARCH allows your organization to screen and monitor entities from over 8,000 global watch lists, sanctions, adverse global media and politically exposed persons.

WhistleBlower Security
www.whistleblowersecurity.com
WhistleBlower Security is solely focused on providing our clients with premier Ethics Reporting Services. Our Global 24/7/365 Ethics Reporting and Case Management Services offer the most human whistleblower experience in the market, a smarter process with faster response times while maintaining anonymity for whistleblowers, leading to better, more effective investigations and resolutions. WhistleBlower Security’s reporting and analytic solutions are combined with advanced security and data management, providing organizations with tools that deter and prevent ongoing ethical concerns.

Workplace Answers
www.workplaceanswers.com
Since 1997, Workplace Answers has been serving companies with online compliance training that tackles critical issues, such as unlawful harassment, discrimination and diversity. In 2015, Workplace Answers acquired Click 4 Compliance—the leader in anti-corruption and bribery compliance training—in order to better serve the needs of today’s increasingly global marketplace. Now, with a full-range of courses translated in over 30 languages, we have a complete online training library that solves the compliance challenges across organizations. We bring cutting-edge courseware ready for international deployment and the latest training techniques together with a dedicated professional services team to transform the way you educate your workforce.

Widener University Delaware Law School
www.delawarelaw.widener.edu/compliance
Delaware Law offers legal education for compliance professionals with award-winning, graduate-level compliance degrees. Studies are completed entirely online. For most programs, students can choose from a two-year Master of Jurisprudence (MJ) degree, a one year certificate, or an LLM. Degree tracks include Corporate, Healthcare, and Higher Education Compliance, as well as a corporate MJ/MBA dual degree.

WorldWatch Plus
www.worldwatchplus.com
WorldWatchPlus® from International Screening Solutions is a self-service global due diligence tool to instantly screen and monitor global sanctions, PEP, and media risk data for employees, contractors, vendors, suppliers and customers. WorldWatch Plus is the first global sanctions, watch list, black list search engine to refresh data daily from thousands of sources. This innovative software combines the tools most desired for corporate risk management, compliance and AML programs.
Socialize!
Connect with us and your compliance colleagues on all of your favorite social media platforms.
Join the compliance conversation and help grow the compliance community.

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- bit.ly/1JGroupSCCE
- bit.ly/LinkedInSCCE
- youtube.com/compliancevideos
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