

# FCPA Risk Mitigation Solution

## Identify Anti-Bribery and Anti-Fraud Risk

Both the US Department of Justice (DOJ) and the US Securities and Exchange Commission (SEC) are targeting global companies that — intentionally or unintentionally — violate the Foreign Corrupt Practices Act (FCPA).

The challenge for many companies is how to identify and reduce the FCPA risks posed by employees and non-employees who may not understand the many nuances of anti-corruption and anti-bribery laws and policies.

Kaplan EduNeering’s *FCPA Risk Mitigation Solution* identifies which specific employees and agents are in need of FCPA training or corrective action, then automates both the delivery of targeted communication and education to each individual, as well as the instantaneous delivery of information on critical risk activities to your Chief Compliance Officer.

**“Justice Department officials say enforcement of the FCPA is second only to fighting terrorism in terms of priority.”**

Los Angeles Times, January 12, 2009 (italics added)

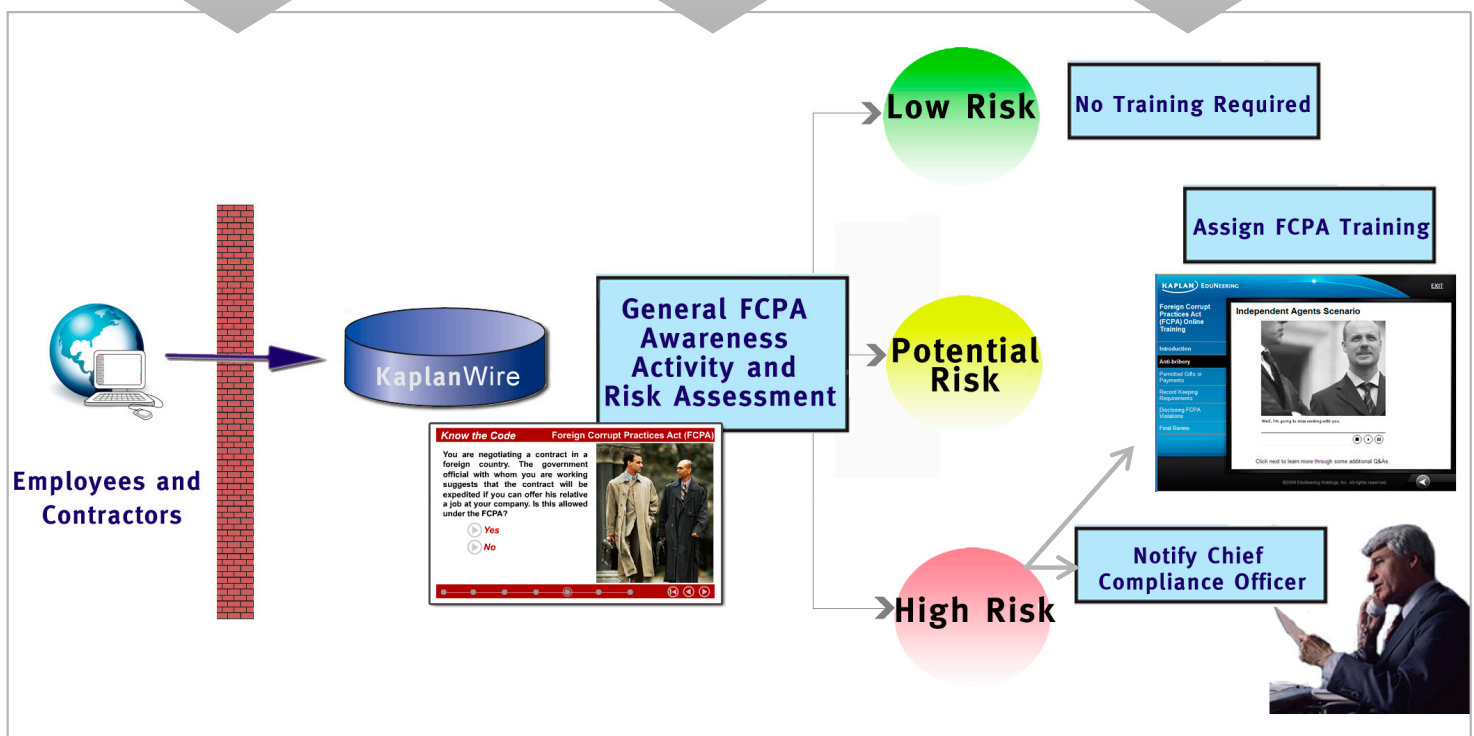
## Key Features

- Automated, built-in compliance workflow identifies and mitigates risk and targets the appropriate action based on assessments
- Authoritative course content uses realistic anti-bribery and anti-fraud cases, which individuals can apply in their business engagements
- Multi-language interface and content supports a global workforce
- Automatic e-mail notification tools alert Chief Compliance Officer of risk areas, ensuring rapid response to critical issues
- Web-based, Software-as-a-Service (SaaS) model streamlines implementation, reduces IT costs, and simplifies record-keeping & administrative tasks associated with other compliance programs

### Convenient Access

### Self-Assessment

### Risk Mitigation



## A Turnkey Compliance Solution

Kaplan EduNeering's **FCPA Risk Mitigation Solution** includes all of the tools you need to automate a program that assigns FCPA anti-bribery & corruption education, distributes individual assessments and initiates remedial action:

**1**

### FCPA Communication Package

To introduce the FCPA compliance program, Kaplan EduNeering provides a comprehensive FCPA Communications Package. Materials include user friendly tools designed to raise awareness of FCPA issues. Use this content as part of a program launch, as support for your ethics hotline, as talking points for managers, and as content for multiple communication channels.



**2**

### General FCPA Awareness Activity

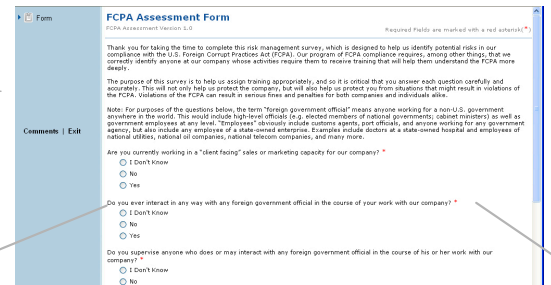
This five-minute learning module, which delivers real-life scenarios and core anti-bribery and anti-fraud content, is delivered to all employees and non-employees via our Web-based learning platform, used by leading organizations, including the US FDA.



**3**

### Online FCPA Risk Assessment Tool

This in-depth self-assessment form fully identifies each respondent's potential FCPA risk. As the respondent completes each question, a risk profile is generated within the system.

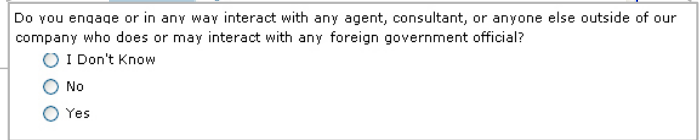


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### Automatic Compliance Triggers

The FCPA Self-Assessment Tool automatically identifies learning and compliance needs for each individual. Based on answers provided, the system initiates further action, including:

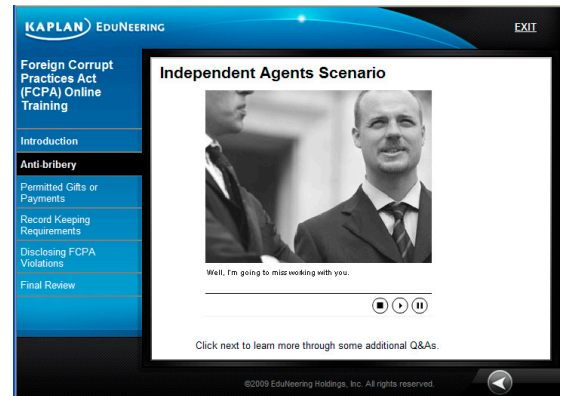
- 1) No additional training is required;
- 2) Additional FCPA training is required;
- 3) Notify the Chief Compliance Officer of potential issues, based on significant risks identified or uncertainty on the part of the respondent.



**5**

### Targeted & Engaging FCPA Training

Our FCPA courses are designed to address the specific risks reflected in the FCPA Self-Assessment Tool, based on the tasks and activities in which respondents are engaged. Courses have are visually dynamic, interactive, and include question and answer sets that promote deeper retention and comprehension of the material.



### About Kaplan EduNeering

Kaplan EduNeering develops technology-enabled knowledge solutions for improving business performance and assuring regulatory compliance. Kaplan EduNeering is headquartered in Princeton, NJ, and has offices in Houston, TX, Bloomsburg, PA, and London, UK.

To learn more about our FCPA solution, visit [www.kaplaneduneering.com/fcpa-risk-mitigation-solution](http://www.kaplaneduneering.com/fcpa-risk-mitigation-solution)

Or speak to a Kaplan EduNeering Account Director; contact us at 1-609-627-5300.