

Compliance Risk Mitigation Suite

From Automated Assessment to Education... Make Risk Assessment More Manageable

Today's Chief Compliance Officers (CCO) are challenged to manage more than the preparation of policies, procedures, and standards of conduct for their organizations.

They are also being held responsible for enforcing these standards through well-communicated disciplinary guidelines, and to conduct periodic risk assessments and response plans.

Only through proper assessments can a CCO conduct internal monitoring and auditing, develop the necessary corrective action, and report these findings to the appropriate regulatory body or audit team.

Kaplan EduNeering's **Compliance Risk Mitigation Suite** enables CCO's to identify which specific employees and agents within the organization are in need of training or corrective action on several issues.

The solution helps mitigate risk by automating both the delivery of targeted communication and education to each individual. Our SmartForms technology pinpoints the employees or external partners who pose risks to the organization and automatically triggers the optimal response, such as learner-specific training or e-mail notification that aligns with the organization's reporting policies.

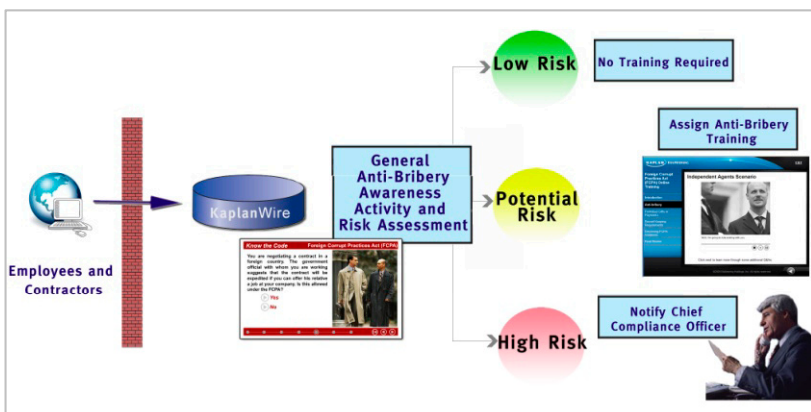
After you subscribe to a single solution, you can conveniently add additional **Compliance Risk Mitigation Suite** packages as needed:

- Conflicts of Interest
- Anti-bribery
- Confidential Information
- Supplier Compliance
- Fair Competition
- Privacy & Data Protection



Key Features and Benefits

- Automated, built-in compliance workflow identifies and mitigates risk and targets the appropriate action based on assessments, so compliance officers can focus on high-risk areas
- Web-based, Software-as-a-Service (SaaS) platform streamlines implementation, reduces IT costs, and simplifies record-keeping & administrative tasks
- Unimpeachable and secure electronic signatures streamline training, record-keeping, disclosure reporting & administrative tasks
- Robust management reports and dashboards provide visibility into the types and levels of risk identified, while capturing proper audit trails
- Online self-assessments automatically alert Chief Compliance Officer of risk areas, ensuring rapid response to critical issues
- Eliminates paper forms and manual processes
- Unifies record-keeping in a single repository (storing unimpeachable digital signatures)
- Multi-language interface and content supports a global workforce
- Promotes ongoing behavior change with integrated communications/messaging materials



Overview of the Anti-Bribery Solution

Turnkey Compliance Solutions that Target High-Risk Areas

Kaplan EduNeering's **Compliance Risk Mitigation Suite** includes all of the tools you need to automate a program that assigns online computer courses, distributes individual assessments and initiates remedial action:



Communication Package

To introduce the specific compliance program, Kaplan EduNeering provides a comprehensive Communications Package. Materials include user friendly tools designed to raise awareness of COI, FCPA, Fair Competition and other issues. This content can serve as part of a program launch, your ethics hotline, as education for managers, and as content for your intranet, newsletter, etc.



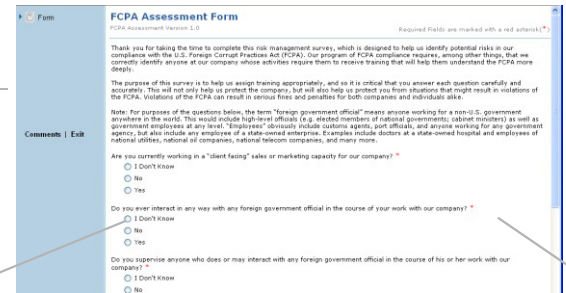
General Awareness Education Modules

Our engaging learning modules include real-life scenarios and help employees and non-employees gain the knowledge they need to gain deeper understanding of the policies and their impact on their daily business activities.



Online Risk Assessment Tools

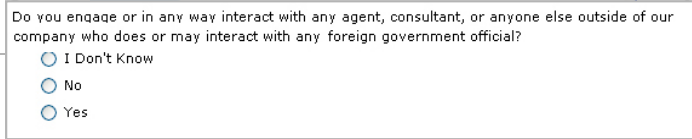
Our in-depth self-assessment forms identify the respondent's potential risk related to the program at-hand. As the respondent completes each question, a risk profile is generated within the system.



Automatic Compliance Triggers

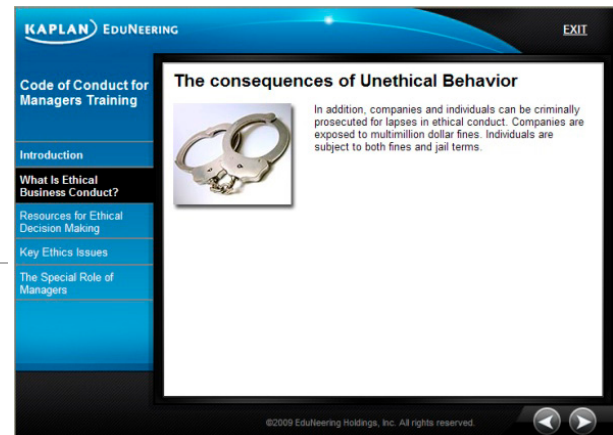
Our Self-Assessment Tools automatically identify learning and compliance needs for each individual. Based on answers provided, the system initiates further action, including:

- 1) Mitigation interventions must be taken and documented;
- 2) Additional training is required;
- 3) Chief Compliance Officer is notified of potential issues, based on significant risks identified or uncertainty on the part of the respondent.



Targeted & Detailed Training Modules

Within each Compliance Risk Mitigation Suite package are training courses designed to address the specific knowledge and behavior-based risks reflected in the assessment tool. Courses are interactive and include question and answer sets that promote deeper comprehensive and retention 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 ethics solutions, visit www.kaplaneduneering.com/ethics or speak to your Kaplan EduNeering Account Director; or contact us at 1-609-627-5300.