



Society of Corporate Compliance & Ethics

*Compliance
and Ethics
Magazine*

Volume Five
Number One
February 2008
Bimonthly

**Freedom of
Information and
Compliance
Investigations**

Page 4

**Professional Liability
Insurance for Ethics
and Compliance
Professionals**

Page 6

**Meet
Patricia J. Harned,
PhD President, Ethics
Resource Center**

Page 20

**Protecting
Attorney-Client and
Attorney Work-
Product Privileges**

Page 24

Letter from the CEO

Ideas for your Compliance and Ethics Program

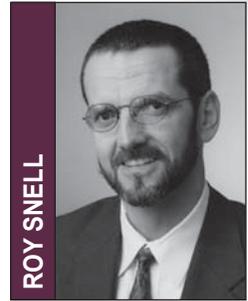
Joe Murphy is writing a book that I think is quite interesting and effective. The title of his book will be 310, no, it's 345, no, wait, it's 368, no make that, "401 Ideas for your Compliance and Ethics Program." Actually we don't know how many ideas there will be when this is final, because Joe is increasing the count on an hourly basis. I will be a co-author on the book, but I have to admit Joe is very hard to keep up with. Not only is he developing these short pearls of wisdom, but he is referencing the ideas to the document, article, book, etc. that generated the idea. That way, readers can follow up and get more information. Joe is already planning on following up with a second edition as soon as the first one comes out. Some of the compliance ideas will be accompanied by photos or illustrations.

The book is intended to be an easy read, inexpensive, and a refreshing way to get ideas for your compliance program. No analysis, no ponderous opinions, no rules you have to follow – just ideas and tips you can use or toss. It will surely be a much appreciated break from the arduous, lengthy, and sometimes dry compliance publications and regulations we all must sift through. It will be helpful to everyone in the Compliance department because it will cover all elements of compliance, such as education, auditing, monitoring, codes of conduct, discipline, etc.

Win a free registration to a Compliance Academy

If you are interested in sending Joe an idea for the book, please forward it to him for his consideration (jemurphy@cslg.com). He is very interested in your ideas, and if he uses them, he will include your name along with your compliance idea in the book (unless you want to remain anonymous). Be sure to add a reference if you have one, such as an article or page in a book where the idea was explained or applied. We will take all of the ideas Joe gets prior to publication and randomly select one. That person will receive a complimentary registration to one of SCCE's or HCCA's Compliance Academies. (All other expenses must be covered by the recipient.) If you send 10 ideas, you will have 10 chances to win.

If you would like to be notified when the publication is available, please send an e-mail asking to be notified about the release of the Compliance Ideas book to nancy.gordon@corporatecompliance.org. Here are a few examples from this upcoming book.



ROY SNELL

11. Focus group reviews.

Have focus groups throughout the company review and comment on the code.



32. CCEP certification.

Have the compliance officer and staff achieve

Compliance and Ethics Professional's (CCEP) certification. [Leet, "A New Compliance Certification Program," 20 *ethikos* 15 (Jan/Feb 2007)]



33. Compliance program lawyer.

Have a senior-level lawyer designated as the lawyer for the compliance program, to develop expertise in the compliance and ethics area and provide support to the compliance officer. [See Murphy, "Protections For Compliance People," 19 *ethikos* 1, 5 (Jan/Feb. 2006).]



35. C&E training for HR.

Provide specially focused training about the compliance and ethics program for HR people, explaining what the program is, how it relates to HR, and the importance of HR's role in making the program effective. This is important because so many HR functions affect the compliance and ethics program. ■

