

Cait's Exam Resource Index
CCEP-I/CCEP - Updated May 2019

Compliance Program Podcasts

<http://adventuresincompliance.com/podcasts/>

Compliance Program Effectiveness

<https://oig.hhs.gov/compliance/101/files/hcca-oig-resource-guide.pdf>

SCCE Code of Ethics (pg 27)

<https://www.compliancecertification.org/Portals/2/PDF/CCEP/ccb-ccep-handbook.pdf>

US Sentencing Guidelines Ch 8

Sentencing of Organizations - United States Sentencing Guidelines ("U.S.S.G."),

<https://www.ussc.gov/guidelines/2018-guidelines-manual/2018-chapter-8#NaN>

CareMark Case - Fiduciary Duty

<https://oig.hhs.gov/fraud/docs/complianceguidance/040203corpresprsceguide.pdf>

SOX

<http://www.utdallas.edu/~tabortz/3334-Summer%2003/Summary%20of%20Sarbanes-Oxley%20Act%20of%202002.htm> (Focus on whistleblower provisions, conflict of interest and

independence of audits)

DOJ

<https://www.justice.gov/criminal-fraud/page/file/937501/download> (updated April 2019)

Memorandum entitled "Selection of Monitors in Criminal Division Matters," issued by Assistant Attorney General Brian Benczkowski on October 11, 2018, available at

<https://www.justice.gov/criminal-fraud/file/1100366/download>

Criminal Division corporate resolution agreements, available at <https://www.justice.gov/news> (DOJ's Public Affairs website contains press releases for all Criminal Division corporate resolutions which contain links to charging documents and agreements)

FCPA

A Resource Guide to the U.S. Foreign Corrupt Practices Act ("FCPA Guide") published in November 2012 by the Department of Justice (DOJ) and the Securities and Exchange Commission (SEC) available at

<https://www.justice.gov/sites/default/files/criminalfraud/legacy/2015/01/16/guide.pdf>

Good Practice Guidance on Internal Controls, Ethics, and Compliance adopted by the Organization for Economic Co-operation and Development (“OECD”) Council on February 18, 2010 available at <https://www.oecd.org/daf/anti-bribery/44884389.pdf>

Anti-Corruption Ethics and Compliance Handbook for Business (“OECD Handbook”) published in 2013 by OECD, United Nations Office on Drugs and Crime, and the World Bank available at <https://www.oecd.org/corruption/AntiCorruptionEthicsComplianceHandbook.pdf>