

Index

ACCIDENT REPORTS

Self-evaluative privilege, **10:9**

ACCOUNTING

Campaign activities, provision of services, **15:22**

Foreign Corrupt Practices Act (this index)

ACQUISITIONS

Antitrust audits, audits in other portions of company, **16:20**

ADVANCE PLANNING

Generally, **1:3**

ADVERTISING

Antitrust audits, audits in other portions of company, **16:18**

Internet records, retention of, **13:8**

Trademarks and tradenames, **28:16**

AFFIRMATIVE ACTION

Self-evaluative privilege, **10:10**

AFFIRMATIVE DEFENSES

Foreign Corrupt Practices Act, bribery provisions, **30:16**

AGENCY CONTACTS

Environmental audits, **11:32**

AGENTS

Attorney-client privilege, **5:18**

Foreign Corrupt Practices Act, compliance programs, **3:39**

AIDING AND ABETTING

Generally, **4:38 to 4:42**

Knowledge of aider/abettor, **4:41**

Parameters of aiding and abetting, **4:42**

Relationship between principal and aider/abettor, **4:40**

AIRPLANES

Campaign activities, use of airplane owned by company, **15:19**

ALCOHOL ABUSE

Substance Abuse Policies (this index)

ALTERATION

Change or Modification (this index)

ALTERNATIVE DISPUTE RESOLUTION

Handbooks and policies, **19:6**

Intellectual property, **28:37**

AMERICANS WITH

DISABILITIES ACT

Generally, **24:1 to 24:28**

Accommodations, employment practices, **24:12**

Applications for employment, **24:6**

Auxiliary aids and services, places of public accommodation, **24:23**

Barriers that must be removed, evaluation of facility or building for, **24:24**

Benefit plans, review of, **24:13**

Change or modification

existing buildings, places of public accommodation, **24:25**

policies, places of public accommodation, **24:22**

Confidentiality policies and practices, employment practices, **24:17**

Eligibility criteria, places of public accommodation, **24:21**

Employment practices

generally, **24:2 to 24:17**

accommodations, handling of, **24:12**

application forms, **24:6**

benefit plans, review of, **24:13**

confidentiality policies and practices, **24:17**

**AMERICANS WITH
DISABILITIES ACT—Cont'd**

Employment practices—Cont'd
 Genetic Information Nondiscrimination Act, **24:14**
 handbooks and policies, review of, **24:3**
 hiring process, **24:5 to 24:9**
 interview methods, **24:7**
 job descriptions, review of, **24:4**
 medical examinations, **24:9**
 posting and notice requirement, adherence to, **24:10**
 previous lawsuits, **24:16**
 tests and qualification standards, **24:8**
 training regarding act, evaluation of, **24:11**
 Genetic Information Nondiscrimination Act, **24:14**
 Handbooks and policies, employment practices, **24:3**
 Hiring process, **24:5 to 24:9**
 Infractions, evaluation of actions taken for compliance, **24:15**
 Interview methods, employment practices, **24:7**
 Medical examinations, employment practices, **24:9**
 Modification. Change or modification, above
 New facilities, construction of, **24:27**
 Notice requirement, employment practices, **24:10**
 Posting requirement, employment practices, **24:10**
 Public accommodation, places of generally, **24:18 to 24:28**
 alterations to existing buildings, procedures followed for, **24:25**
 auxiliary aids and services, handling of, **24:23**
 barriers that must be removed, evaluation of facility or building for, **24:24**
 eligibility criteria, evaluation of, **24:21**

**AMERICANS WITH
DISABILITIES ACT—Cont'd**

Public accommodation, places of—Cont'd
 entities that are public accommodations, determination of, **24:19, 24:20**
 modification of policies, review of process for, **24:22**
 new facilities, construction of, **24:27**
 types of alterations that can be made, evaluation of, **24:26**
 websites, **24:20**
 Qualification standards, employment practices, **24:8**
 Tests, employment practices, **24:8**
 Training regarding act, employment practices, **24:11**
 Websites, **24:20**

ANTIBOYCOTT LAWS

Generally, **29:1 to 29:17**
 Arab boycott checklist, **29:12**
 Assessment of problem, **29:9**
 Compliance program, **29:8 to 29:11, 29:15**
 Letters of credit, **29:7**
 Office of Foreign Assets Control compliance commitments, **App. 29A**
 Penalties, **29:6**
 Policy of company, **29:10**
 Procedures, **29:4, 29:11, 29:13 to 29:17**
 Questionnaire, **29:5**
 Reporting, **29:16**
 Shipping documents, **29:7**
 Understanding of law, **29:14**

ANTI-KICKBACK ACT OF 1986

Generally, **27:3**

ANTITRUST

Generally, **16:1 to 16:21, App. 16A to 16D**
 Acquisitions, audits in other portions of company, **16:20**
 Advertising, audits in other portions of company, **16:18**

INDEX

ANTITRUST—Cont'd

- Antitrust Guidance for Human Resource Professionals, **App. 16F**
- Antitrust Red Flags for Employment Practices, **App. 16E**
- Assessment of effect of consolidation, **16:7**
- Attendance at compliance programs, **16:10**
- Compliance manual, receipt of, **16:12**
- Compliance programs, attendance at, **16:10**
- Corporate and personal records, distinguished, **16:6**
- Cybersecurity, **16:9**, **App. 16C**
- Department of Justice
 - antitrust policy statement on sharing of cybersecurity information, **App. 16C**
 - corporate compliance evaluation, **App. 16D**
- Distinction between corporate and personal records, **16:6**
- Effect of consolidation, assessment of, **16:7**
- Engineering, audits in other portions of company, **16:19**
- Files relating to competitors, **16:3**
- Frequency of audits, **16:13**
- FTC
 - cybersecurity, antitrust policy statement on sharing of cybersecurity information, **App. 16C**
 - model antitrust compliance audit program, **App. 16B**
- Intellectual property, **28:40**
- Joint activity, **16:8**, **16:9**
- Mergers, audits in other portions of company, **16:20**
- Preparation for audit, **16:14**
- Protocol for audits, **App. 16A**
- Purchasing, audits in other portions of company, **16:17**
- Receipt of compliance manual, **16:12**
- Records retention program, **16:5**
- Results, actions based on, **16:11**
- Sales reports, **16:4**

ANTITRUST—Cont'd

- Technology, audits in other portions of company, **16:19**
- Trade association attendees, **16:15**
- Voluntary Disclosure Programs**
(this index)

APPEALS

- Attorney-client privilege, **5:48**
- Whistleblowers, Sarbanes-Oxley Act, **8:6**

ARABS

- Antiboycott laws, **29:12**

ARMS EXPORT CONTROL ACT

- Record-keeping, **31:15**

ASSESSMENT TEAMS

- Environmental audits, **11:43**

ASSIGNMENT OF RESPONSIBILITY

- Foreign Corrupt Practices Act, **30:28**

ASSISTANCE

- Environmental audits, **11:53**

ATTENDANCE

- Antitrust audits, compliance programs, **16:10**

ATTORNEY-CLIENT PRIVILEGE

- Generally, **1:6**, **5:1 to 5:68**
- Advice from attorney to client, **5:25**
- Agents of attorney, **5:18**
- Appeals, assertion of privilege, **5:48**
- Assertion of privilege
 - generally, **5:43 to 5:48**
 - appeals, **5:48**
 - entity to determine validity of claim, **5:44**
 - in camera inspections, **5:46**
 - privilege log, **5:45**
 - protective orders, **5:47**
- Auditor, communications with, **5:27**
- Bar membership, **5:16**
- Change of corporate control, waiver, **5:60**
- Common-interest theory, implied waiver, **5:56**

ATTORNEY-CLIENT PRIVILEGE

—Cont'd

Communications vs. information, **5:24**
 Confidentiality of communications
 generally, **5:34 to 5:37**
 dual representation, **5:37**
 expectation of confidentiality, **5:34**
 physical maintenance of
 confidentiality, **5:35**
 third parties, presence of, **5:36**
 Corporate responsibilities of attorney,
 5:21
 Corporations
 generally, **5:5 to 5:8**
 access to privileged corporate
 materials, **5:23**
 application to corporate client, **5:3**
 change of corporate control,
 waiver, **5:60**
 dissolved corporations, **5:8**
 representatives of corporations,
 waiver, **5:64**
 subsidiaries, **5:14**
 waiver, **5:60 to 5:64**
 Crime-fraud exception, **5:33, 5:41**
 De facto attorney, **5:17**
 Dissolved corporations, **5:8**
 Dual representation, **5:37**
 Electronic records, format of, **5:68**
 E-mail, **5:66**
 Ex parte communications, **5:26**
 Exceptions
 generally, **5:38 to 5:42**
 crime-fraud exception, **5:33**
 joint-client exception, **5:39**
 “last-link” exception, **5:38**
 self-protection exception, **5:40**
 whistleblower statutes, **5:42**
 Expectation of confidentiality, **5:34**
 Express waiver, **5:50 to 5:52**
 Foreign Corrupt Practices Act, **3:19**
 Former officers and directors, **5:12**
 Fraudulent conduct, **5:33**
 Functional equivalents, parties to
 privilege, **5:13**
 General reports, **5:29**
 Illegal conduct, **5:33**

ATTORNEY-CLIENT PRIVILEGE

—Cont'd

Implied waiver
 generally, **5:53 to 5:57**
 common-interest theory, **5:56**
 development of adversarial rela-
 tionship, **5:54**
 offensive-use waiver, **5:55**
 testimonial review, **5:57**
 In camera inspections, **5:46**
 Inadvertent waiver, **5:52**
 Individual employees, **5:11**
 Insurers, **5:15**
 Intellectual property, **28:39**
 Intentional waiver, **5:51**
 Investigative reports, **5:30**
 Joint-client exception, **5:39**
 Keyword search protocol, **5:67**
 “Last-link” exception, **5:38**
 Limited involvement of attorney,
 5:20
 Limited liability companies, **5:9**
 Manuals, **5:32**
 Offensive-use waiver, **5:55**
 Partial waiver, **5:58, 5:59**
 Parties to privilege
 generally, **5:4 to 5:22**
 acting in capacity as attorney, **5:19**
 to **5:21**
 agents of attorney, **5:18**
 attorneys, **5:16 to 5:21**
 clients, **5:5 to 5:15**
 corporate responsibilities of
 attorney, **5:21**
 corporations, **5:5 to 5:8**
 dissolved corporations, **5:8**
 former officers and directors, **5:12**
 functional equivalents, **5:13**
 individual employees, **5:11**
 insurers, **5:15**
 limited involvement of attorney,
 5:20
 limited liability companies, **5:9**
 patent agents, **5:22**
 subsidiaries, **5:14**
 successor, **5:10**
 Patent agents, **5:22**

INDEX

ATTORNEY-CLIENT PRIVILEGE

—Cont'd

Physical maintenance of confidentiality, **5:35**
Privilege log, **5:45**
Protective orders, **5:47**
Records kept outside counsel's office, **5:65**
Self-protection exception, **5:40**
Settlement records, **5:31**
Shareholder, waiver by, **5:61**
Subsidiaries, **5:14**
Successor, **5:10**
Technology
 electronic records, format of, **5:68**
 e-mail, **5:66**
 keyword search protocol, **5:67**
Testimonial review, **5:57**
Third parties, presence of, **5:36**
Types of communications covered generally, **5:24 to 5:33**
 advice from attorney to client, **5:25**
 auditor, communications with, **5:27**
 billing statements, **5:28**
 communications vs. information, **5:24**
 ex parte communications, **5:26**
 general reports, **5:29**
 illegal or fraudulent conduct, **5:33**
 investigative reports, **5:30**
 manuals, **5:32**
 settlement records, **5:31**
Waiver
 generally, **5:49 to 5:64**
 change of corporate control, **5:60**
 corporate organization, waiver by, **5:62**
 express waiver, **5:50 to 5:52**
 implied waiver, above
 inadvertent waiver, **5:52**
 intentional waiver, **5:51**
 partial waiver, **5:58, 5:59**
 personal vs. corporate assertions of privilege, **5:63**
 persons or entities who may waive privilege, **5:60 to 5:64**

ATTORNEY-CLIENT PRIVILEGE

—Cont'd

Waiver—Cont'd
 representatives of corporations, waiver by, **5:64**
 shareholder, waiver by, **5:61**
Whistleblower statutes, **5:42**

ATTORNEYS

Generally, **1:6 to 1:10**
Attorney-Client Privilege (this index)
Campaign activities, provision of legal services, **15:22**
Common law duties, conduct of internal investigations, **7:9**
Conduct of attorney in internal investigation, **1:8**
Foreign Corrupt Practices Act, foreign government official on leave from firm, **30:10**
Interviews, conduct of, **1:9**
Sarbanes-Oxley Act, **33:9**
Sentencing guidelines for organizations, **1:7**

AT-WILL EMPLOYMENT

Employee Misconduct (this index)
Handbooks and policies, **19:5**

AUDITING ASSISTANCE

Environmental audits, **11:53**

AUDITORS

Attorney-client privilege, **5:27**

BACKGROUND CHECKS

Records retention, **App. 21A**

BAR MEMBERSHIP

Attorney-client privilege, **5:16**

BENEFITS

Employee Benefit Plans (this index)
Veterans' reemployment policies, **22:4 to 22:6**

BILLING STATEMENTS

Attorney-client privilege, statements covered by, **5:28**

BOOKS AND RECORDS PROVISIONS

Foreign Corrupt Practices Act, **30:25**

BOYCOTTS

Antiboycott Laws (this index)

BRIBERY

Foreign Corrupt Practices Act (this index)

BURDEN OF PROOF

Environmental audits, **11:21**

CAMPAIGN ACTIVITIES

Generally, **15:1 to 15:39**

Accounting services, provision of, **15:22**

Airplane owned by company, use of, **15:19**

Candidate visits, **15:17**

Communications by corporation, **15:15**

Convention-related activity, participation in, **15:21**

Executive employees, defined, **15:38**

Facilities of corporation, use of, **15:18**

Get-out-the-vote drives, **15:16**

Illegal corporate actions, memorandum explaining election laws to employees, **15:35**

Individual political activity, memorandum explaining election laws to employees, **15:39**

Leaves of absences for employees, **15:20**

Legal services, provision of, **15:22**

Management employees, defined, **15:38**

Memorandum explaining election laws to employees

generally, **15:34 to 15:39**

illegal corporate actions, **15:35**

individual political activity, **15:39**

management and executive employees, defined, **15:38**

political action committees, actions relating to, **15:37**

restricted corporate actions, **15:36**

CAMPAIGN ACTIVITIES—Cont'd Political Action Committees (this index)

Registration of voters, **15:16**

Restricted corporate actions, memorandum explaining election laws to employees, **15:36**

State political activity, **15:23**

Trustee accounts, **15:14**

CAN-SPAM ACT

Privacy, **App. 32A**

CASE LAW

Foreign Corrupt Practices Act, director and officer liability, **30:35**

Whistleblowers, Sarbanes-Oxley Act, **8:9 to 8:24**

CATASTROPHIC EVENTS

Occupational Safety and Health Act, record-keeping rules, **12:39**

Records Retention (this index)

CENTRALIZATION

Occupational Safety and Health Act, record-keeping rules, **12:38**

CERTIFICATION

Family and Medical Leave Act, **23:6**

Financial reports, criminal liability for fraud, **4:48**

CHANGE OR MODIFICATION

Americans with Disabilities Act (this index)

Attorney-client privilege, change of control, **5:60**

CHILDREN'S ONLINE PRIVACY PROTECTION

Generally, **App. 32D**

CLASSIFIED INFORMATION

Records retention, security of records, **13:22**

CLERICAL EMPLOYEES

Foreign Corrupt Practices Act, **30:8**

COBRA

Employee benefit plans, **25:8**

INDEX

COLLECTIVE BARGAINING AGREEMENTS

Employee misconduct, preemption of state tort law claims arising from internal investigations, **9:22**

COMMERCE CONTROL LIST

Export controls, **31:4**

COMMERCE COUNTRY CHART

Export controls, **31:4**

COMMON LAW

Duty and incentives to conduct internal investigations, **7:8, 7:9**

COMMON-INTEREST THEORY

Attorney-client privilege, implied waiver, **5:56**

COMPLIANCE CULTURE

Foreign Corrupt Practices Act, **30:27**

COMPLIANCE MANUALS

Antitrust audits, receipt of manual, **16:12**

COMPLIANCE PROGRAMS

Antiboycott laws, **29:8 to 29:11, 29:15**

Antitrust audits, attendance at program, **16:10**

Children's online privacy protection, **App. 32D**

Export Controls (this index)

Foreign Corrupt Practices Act (this index)

Insider Trading Compliance Programs (this index)

Legal audits, **2:3**

Occupational Safety and Health Act (this index)

COMPUTERIZATION

Occupational Safety and Health Act, record-keeping rules, **12:38**

CONFIDENTIALITY

Americans with Disabilities Act, employment practices, **24:17**

Attorney-Client Privilege (this index)

Purchasing function, **26:10**

CONFIDENTIALITY—Cont'd

Records retention, employment records, **21:11**

Self-evaluative privilege, **10:6**

CONFLICTS OF INTEREST

Fraud, government contracts, **27:19**

CONSPIRACY

Generally, **4:16 to 4:22**

Agreement, **4:18**

Criminal liability, generally, **4:16 to 4:22**

Defined, **4:17**

Employees, liability for own conduct, **4:4**

Government, conspiracy to defraud, **4:21**

Intent, **4:19**

Intracorporate conspiracies, **4:22**

Knowledge, **4:19**

Overt act, **4:20**

Participation, **4:19**

CONSULATE EMPLOYEES

Foreign Corrupt Practices Act, **30:8**

CONSULTANTS

Environmental audits, **11:42, 11:44**

Foreign Corrupt Practices Act, **30:7**

Occupational Safety and Health Act, **12:19**

Patents, **28:8**

Purchasing function, **26:9**

Technical consultants, environmental audits, **11:42**

CONSUMER PRODUCT SAFETY ACT

Whistleblowers, **8:32**

CONTRACTS

Consultants, environmental audits, **11:44**

COOPERATION

Credit for corporate cooperation in federal criminal investigation, **4:9**

COPYRIGHTS

See also **Intellectual Property** (this index)

COPYRIGHTS—Cont'd

Generally, **28:20 to 28:29**
 External software audits, **28:24**
 Internal software audits, **28:25**
 Multimedia issues, **28:26**
 Registrations, **28:21**
 Reverse engineering, **28:29**
 Scope of licenses, **28:27**
 Security interests in copyrights,
 28:28
 Software, **28:23 to 28:25**
 Works made for hire, **28:22**

CORPORATE INVESTIGATIONS

Whistleblower liability, protection
 against, **33:4**

COSTS AND EXPENSES

Duty and incentives to conduct
 internal investigations, **7:3**
 Foreign Corrupt Practices Act, brib-
 ery provisions, **30:6**
 Political action committees, **15:6**

COUNSEL

Attorneys (this index)

COVENANTS

Foreign Corrupt Practices Act,
 compliance programs, **30:31**

CRIME-FRAUD EXCEPTION

Attorney-client privilege, **5:33, 5:41**

CRIMINAL ENFORCEMENT

Foreign Corrupt Practices Act, **30:25**

CRIMINAL LIABILITY

Generally, **4:1 to 4:50**
Aiding and Abetting (this index)
Conspiracy (this index)
 Corporate liability, generally, **4:6 et**
 seq.
 Credit for corporate cooperation in
 federal criminal investigation,
 4:9
 Crime reporting requirements for
 government contractors, **4:11**
 Employees, corporate liability for
 conduct of, **4:7**
 Employees, liability of
 generally, **4:2 to 4:5**

CRIMINAL LIABILITY—Cont'd

Employees, liability of—Cont'd
 conspiracy, liability for own
 conduct, **4:4**
 corporation's conduct, liability for,
 4:5
 credit for corporate cooperation in
 federal criminal investigation,
 4:9
 own conduct, liability for, **4:3, 4:4**
 Environmental audits, **11:24**
False Statements (this index)
 Fraud reporting requirements for
 government contractors, **4:11**
Fraud (this index)
 Liability of the corporation, Credit
 for corporate cooperation in
 criminal investigation
 corporate mergers, **4:10**
Mail and Wire Fraud (this index)
 Nonemployees, corporate liability for
 conduct of, **4:8**
Obstruction of Justice (this index)
 Records retention, destruction of
 records, **13:41**
 Statutes of limitation, **4:50**

CULPABILITY SCORES

Foreign Corrupt Practices Act,
 sentencing of organizations,
 3:33

CYBERSECURITY

Antitrust audit, **App. 16C**

**DANGER, IMMINENT AND
 SUBSTANTIAL**

Environmental audits, state's self-
 audit privilege, **11:19**

DATA BREACHES

Privacy, **32:8, App. 32C**

DE FACTO ATTORNEY

Attorney-client privilege, **5:17**

DECEIT

Fraud (this index)

DEEMED EXPORT RULE

Export Controls (this index)

INDEX

DEFAMATION

Employee misconduct, **9:14**

DEFENSE CONTRACTORS

Voluntary Disclosure Programs
(this index)

DEFERRED COMPENSATION

Employee benefit plans, **25:4**

DEFERRED PROSECUTION AGREEMENTS

Foreign Corrupt Practices Act, DOJ
enforcement of bribery provisions, **30:18**

DEPARTMENT OF JUSTICE

Antitrust
corporate compliance evaluation,
App. 16D
policy statement on sharing of
cybersecurity information,
App. 16C
Foreign Corrupt Practices Act (this
index)
Implementation and strategies, **3:3**,
App. 3A

DESTRUCTION OF RECORDS

Records Retention (this index)

DIRECTOR AND OFFICER LIABILITY

Foreign Corrupt Practices Act (this
index)

DIRECTORS

Attorney-client privilege, parties to
privilege, **5:12**
Foreign Corrupt Practices Act (this
index)
Implementation and strategies,
responsibilities of directors, **3:11**
to **3:14**

DISABLED PERSONS

Americans with Disabilities Act
(this index)

DISCLAIMERS

Employee misconduct, disclaimers of
at-will employment in
handbooks and manuals, **9:8**

DISCLOSURE

eDisclosure system, self-audit privilege, **11:8**
Employee benefit plans, **25:13**, **25:15**

DISCRIMINATION

Veterans' reemployment policies,
22:7

DISGRUNTLED BAD ACTORS

Duty and incentives to conduct
internal investigations, **7:5**

DISTRIBUTORS

Foreign Corrupt Practices Act,
compliance programs, **3:40**

"DO NO HARM"

Avoidance of problems, **1:4**

DODD-FRANK WALL STREET REFORM AND CONSUMER PROTECTION ACT OF 2010

Whistleblowers, **8:25**

DOJ

Foreign Corrupt Practices Act (this
index)

DOMAIN NAMES

Trademarks and tradenames, **28:18**

DRUG ABUSE

Substance Abuse Policies (this
index)

DUAL REPRESENTATION

Attorney-client privilege, **5:37**

DUE DILIGENCE

Foreign Corrupt Practices Act,
compliance programs, **30:29**,
30:30

DUPLICATES

Records retention, destruction of
records, **13:39**

DUTY AND INCENTIVES TO CONDUCT INTERNAL INVESTIGATIONS

Generally, **7:1** to **7:13**
Attorneys, common law duties of, **7:9**
Common law duties, **7:8**, **7:9**
Costs, **7:3**

**DUTY AND INCENTIVES TO
CONDUCT INTERNAL
INVESTIGATIONS—Cont'd**

Disgruntled bad actors, **7:5**
Exposure to liability, **7:4**
Government incentive programs,
7:11
Managers, common law duties of, **7:8**
Officers, common law duties of, **7:8**
Practical incentives, **7:12**
Regulatory duties, **7:7**
Statutory duties, **7:7**

**EARLY RETIREMENT
INCENTIVES**

Workforce reduction policies, **20:4**

EARMARKED CONTRIBUTIONS

Political action committees, **15:9**

E-COMMERCE

Privacy issues, **32:3**

eDISCLOSURE SYSTEM

Self-audit privilege, **11:8**

EDUCATION

Training and Education (this index)

ELECTIONS

Campaign Activities (this index)

ELECTRONIC PURCHASING

Generally, **26:12**

ELECTRONIC RECORDS

Attorney-client privilege, **5:68**
Records retention, **13:6, 13:24, App.
13A**

E-MAIL

Attorney-client privilege, **5:66**
CAN-SPAM Act, **App. 32A**

**EMPLOYEE ASSISTANCE
PROGRAMS**

Substance abuse policies, **18:6**

EMPLOYEE BENEFIT PLANS

Generally, **25:1 to 25:21**
Accruals, plan design issues, **25:6**
Association health plans, ERISA
Compliance Assistance, **App.
25B**

**EMPLOYEE BENEFIT PLANS
—Cont'd**

Audit considerations, **25:20**
COBRA, **25:8**
Correction of plan defects, **25:19**
Deferred compensation plans, **25:4**
Definitions under ERISA, **25:2**
Design of plan, issues related to,
25:5, 25:6
Disclosure requirements, **25:13,
25:15**
Duties of ERISA fiduciaries, **25:17**
Fact Sheet
delinquent Filer Voluntary Compli-
ance Program, **App. 25C**
Fiduciaries under ERISA, **25:16 to
25:18**
HIPAA, **25:10 to 25:12, App. 25A**
Medical benefits for retirees, **25:9**
Portability, HIPAA, **25:10**
Primary parties, ERISA fiduciaries,
25:16
Privacy, HIPAA, **25:11**
Prohibited transactions, ERISA
fiduciaries, **25:18**
Reporting requirements, **25:13, 25:14**
Security, HIPAA, **25:12**
Service, plan design issues, **25:5**
Vesting, plan design issues, **25:6**
Welfare benefit plans, **25:7 to 25:12**

EMPLOYEE MISCONDUCT

Generally, **9:1 to 9:23**
At-will or contractual
generally, **9:2 to 9:9**
bona fide reason for termination,
investigation that reveals, **9:3**
disclaimers of at-will employment
in handbooks and manuals,
9:8
erosion of employment-at-will
doctrine, **9:2**
exceptions to employment-at-will
doctrine, **9:4 to 9:9**
handbooks and manuals, **9:5 to 9:8**
implied contract theories,
discharges based on, **9:5 to
9:8**
oral implied-in-fact contracts, **9:9**

INDEX

EMPLOYEE MISCONDUCT

—Cont'd

- At-will or contractual—Cont'd
 - public policy exception to employment-at-will doctrine, **9:4**
- Bona fide reason for termination, investigation that reveals, **9:3**
- Collective bargaining agreements and preemption of state tort law claims arising from internal investigations, **9:22**
- Conduct of investigations, **9:15 et seq.**
- Defamation, **9:14**
- Disclaimers of at-will employment in handbooks and manuals, **9:8**
- Duty to investigate, **9:18**
- Effective investigations, **9:16**
- Erosion of employment-at-will doctrine, **9:2**
- Exceptions to employment-at-will doctrine, **9:4 to 9:9**
- Failure to follow investigation procedures, **9:19**
- False imprisonment, **9:13**
- Handbooks and manuals, at-will or contractual, **9:5 to 9:8**
- Implied contract theories, discharges based on, **9:5 to 9:8**
- Intentional infliction of emotional distress, **9:11**
- Negligent investigation, **9:20**
- Oral implied-in-fact contracts, **9:9**
- Preemption of state tort law claims arising from internal investigations, **9:22**
- Privacy, invasion of, **9:12**
- Process of investigation, generally, **9:15 to 9:21**
- Public policy exception to employment-at-will doctrine, **9:4**
- Retaliation claims, **9:21**
- Tort causes of action
 - generally, **9:10 to 9:14**
 - collective bargaining agreements and preemption of state tort law claims arising from internal investigations, **9:22**
 - defamation, **9:14**

EMPLOYEE MISCONDUCT

—Cont'd

- Tort causes of action—Cont'd
 - false imprisonment, **9:13**
 - intentional infliction of emotional distress, **9:11**
 - privacy, invasion of, **9:12**

EMPLOYMENT

Americans with Disabilities Act

(this index)

Benefit plans. **Employee Benefit Plans** (this index)

Foreign Corrupt Practices Act, temporary consulate employees, **30:8**

Misconduct. **Employee Misconduct** (this index)

Records Retention (this index)

Self-evaluative privilege, employment discrimination claims, **10:11**

Substance abuse policies, employee assistance programs, **18:6**

ENFORCEMENT

Fraud, government contracts, **27:13**

Implementation and strategies, **3:2**

Trademarks and tradenames, **28:19**

ENGINEERING

Antitrust audits, audits in other portions of company, **16:19**

Consultants, environmental audits, **11:37**

ENVIRONMENTAL AUDITS

Generally, **11:1 to 11:54**

Acting on the report/conclusion

- auditing assistance, available EPA resources, **11:53**

frequency of site assessments, **11:52**

initial considerations, **11:51**

Advantages and disadvantages, **11:4**

Agency contacts, **11:32**

Assembling an audit team, **11:40 to 11:43**

Assessment teams, staffing the audit team, **11:43**

ENVIRONMENTAL AUDITS

—Cont'd

Auditing assistance, available EPA resources, **11:53**
 Burden of proof, self-audit privilege, **11:21**
 Components
 agency contacts, **11:32**
 assembling an audit team, **11:40 to 11:43**
 assessment team, assembling an audit team, **11:43**
 common elements, **11:28**
 contracts with consultants, **11:44**
 determining the purpose and scope of the audit, **11:45**
 engineering consultants, staffing the audit team, **11:37**
 identifying applicable environmental laws, **11:30**
 identifying past uses of property and past environmental audits, **11:31**
 information manager, staffing the audit team, **11:38**
 ingredients, **11:27**
 inspection of property, **11:48**
 legal counsel
 assembling an audit team, **11:41**
 staffing suggestions, **11:36**
 planning, **11:29**
 questionnaire, **11:46**
 sampling, **11:49**
 specialists, staffing the audit team, **11:39**
 staffing the audit team
 generally, **11:33 to 11:43**
 assembling an audit team, **11:40 to 11:43**
 assessment team, assembling an audit team, **11:43**
 engineering consultants, staffing suggestions, **11:37**
 information manager, staffing suggestions, **11:38**
 legal counsel, assembling an audit team, **11:41**
 legal counsel, staffing suggestions, **11:36**

ENVIRONMENTAL AUDITS

—Cont'd

Components—Cont'd
 staffing the audit team—Cont'd
 specialists, staffing suggestions, **11:39**
 team leader, staffing suggestions, **11:35**
 technical consultants, assembling an audit team, **11:42**
 team leader, staffing the audit team, **11:35**
 technical consultants, staffing the audit team, **11:42**
 visit, **11:47**
 Conditions precedent to getting the self-audit privilege, **11:20**
 Consultants, contracts with, **11:44**
 Contracts with consultants, **11:44**
 Correction of violations, Incentives for Self-Policing, **App. 11B**
 Coverage, state's self-audit privilege, **11:11**
 Criminal violations, self-audit privilege, **11:24**
 Determining the purpose and scope of the audit, **11:45**
 Disclosure
 eDisclosure system, self-audit privilege, **11:8**
 Incentives for Self-Policing, **App. 11B**
 Discovery, Incentives for Self-Policing, **App. 11B**
 eDisclosure system, self-audit privilege, **11:8**
 Effect on other privileges, self-audit privilege, **11:23**
 Engineering consultants, staffing the audit team, **11:37**
 Environmental laws, identifying applicable, **11:30**
 EPA corporate-wide audit agreements, self-audit privilege, **11:25**
 EPA Environmental Auditing Policy Statement, **App. 11A**

INDEX

ENVIRONMENTAL AUDITS

—Cont'd

EPA self-policing incentive policy,
11:7 to 11:9

Evidence of noncompliance without
reasonable diligence, excep-
tions, state's self-audit privilege,
11:18

Exceptions, state's self-audit privi-
lege, **11:12 to 11:19**

Fraudulent purpose, exceptions,
state's self-audit privilege, **11:16**

Frequency of site assessments, **11:52**

Identifying applicable environmental
laws, **11:30**

Identifying past uses of property and
past environmental audits, **11:31**

Imminent and substantial danger,
exceptions, state's self-audit
privilege, **11:19**

Immunity for voluntary disclosure,
self-audit privilege, **11:22**

Incentives for Self-Policing, **App. 11B**

Information manager, staffing the
audit team, **11:38**

Information obtained by observation,
exceptions, state's self-audit
privilege, **11:15**

Ingredients, **11:27**

Initial considerations, **11:51**

Inspection of property, **11:48**

Legal counsel, staffing the audit
team, **11:36, 11:41**

Legally required information, excep-
tions, state's self-audit privilege,
11:14

Necessity, **11:3**

New owners, self-audit privilege,
11:9

Planning, **11:29**

Policy: Frequently Asked Questions,
App. 11C

Preparing the report/conclusion,
11:50

Prevention of violations, Incentives
for Self-Policing, **App. 11B**

Property
inspection of, **11:48**

ENVIRONMENTAL AUDITS

—Cont'd

Property—Cont'd
past uses of, and environmental
audits, past, identifying, **11:31**

Purpose and scope of the audit,
determining, **11:45**

Questionnaire, **11:46**

Reasons, **11:3**

Report/conclusion
acting on
auditing assistance, available
EPA resources, **11:53**
frequency of site assessments,
11:52
initial considerations, **11:51**
preparing, **11:50**

Sampling, **11:49**

Self-audit privilege
generally, **11:5, 11:6, 11:26**
burden of proof, **11:21**
conditions precedent to getting the
privilege, **11:20**
coverage, state's privileges, **11:11**
criminal violations, **11:24**
eDisclosure system, self-audit
privilege, **11:8**
EPA corporate-wide audit agree-
ments, **11:25**
EPA self-policing incentive policy,
11:7 to 11:9
evidence of noncompliance
without reasonable diligence,
exceptions, state's privileges,
11:18
exceptions, state's privileges,
11:12 to 11:19
fraudulent purpose, exceptions,
state's privileges, **11:16**
imminent and substantial danger,
exceptions, state's privileges,
11:19
immunity for voluntary disclosure,
11:22
information obtained by observa-
tion, exceptions, state's privi-
leges, **11:15**
legally required information,
exceptions, state's privileges,
11:14

ENVIRONMENTAL AUDITS

—Cont'd

Self-audit privilege—Cont'd
 new owners, **11:9**
 no effect on other privileges, **11:23**
 noncompliance without reasonable diligence, exceptions, evidence of, state's privileges, **11:18**
 state's privileges
 generally, **11:10**
 coverage, **11:11**
 evidence of noncompliance without reasonable diligence, exceptions, **11:18**
 exceptions, **11:12 to 11:19**
 fraudulent purpose, exceptions, **11:16**
 imminent and substantial danger, exceptions, **11:19**
 information obtained by observation, exceptions, **11:15**
 legally required information, exceptions, **11:14**
 stipulation, exceptions, **11:17**
 waivers, exceptions, **11:13**
 stipulation, exceptions, state's privileges, **11:17**
 waivers, exceptions, state's privileges, **11:13**
 Specialists, staffing the audit team, **11:39**
 Staffing the audit team
 generally, **11:33 to 11:43**
 assembling an audit team, **11:40 to 11:43**
 assessment team, **11:43**
 engineering consultants, **11:37**
 information manager, **11:38**
 legal counsel, **11:36, 11:41**
 specialists, **11:39**
 team leader, **11:35**
 technical consultants, **11:42**
 State's self-audit privileges
 generally, **11:10 to 11:23**
 coverage, **11:11**
 evidence of noncompliance without reasonable diligence,

ENVIRONMENTAL AUDITS

—Cont'd

State's self-audit privileges—Cont'd
 exceptions, **11:18**
 exceptions, **11:12 to 11:19**
 fraudulent purpose, exceptions, **11:16**
 imminent and substantial danger, exceptions, **11:19**
 information obtained by observation, exceptions, **11:15**
 legally required information, exceptions, **11:14**
 stipulation, exceptions, **11:17**
 waivers, exceptions, **11:13**
 Stipulation, exceptions, state's self-audit privilege, **11:17**
 Team leader, staffing the audit team, **11:35**
 Technical consultants, staffing the audit team, **11:42**
 Types, **11:2**
 Visits, **11:47**
 Waivers, exceptions, state's self-audit privilege, **11:13**

ENVIRONMENTAL LAWS

Identifying applicable, environmental audits, **11:30**

ENVIRONMENTAL MATTERS

Environmental Audits (this index)
 Purchasing function, **26:7**
 Records retention, storage facilities, **13:32**
 Voluntary disclosure programs, **6:5**
 Whistleblowers, **8:33**

ENVIRONMENTAL PROTECTION AGENCY

Environmental Audits (this index)
 EPA8217s Audit Policy Program:
 Frequently Asked Questions, **App. 11C**

EPA

Environmental Audits (this index)

EQUAL EMPLOYMENT OPPORTUNITY PROVISIONS

Whistleblowers, **8:29**

INDEX

ERISA

Employee Benefit Plans (this index)

EVIDENCE

Environmental audits, state's self-audit privileges, **11:18**

EX PARTE COMMUNICATIONS

Attorney-client privilege, **5:26**

EXCEPTIONS

Attorney-Client Privilege (this index)

Employee misconduct, employment-at-will doctrine, **9:4 to 9:9**

Environmental audits, state's self-audit privilege, **11:12 to 11:19**

EXCULPATORY NO EXCEPTION

False statements, **4:46**

EXPENSES

Costs and Expenses (this index)

EXPORT CONTROLS

Generally, **31:1 to 31:17, App. 31A, App. 31B**

Arms Export Control Act, record-keeping, **31:15**

Audit procedures, **31:17**

Commerce control list, **31:4**

Commerce country chart, **31:4**

Compliance programs

generally, **31:12 to 31:16**

Arms Export Control Act, record-keeping, **31:15**

Export Administration Regulations, record-keeping, **31:13**

International Emergency Economic Powers Act, record-keeping, **31:14**

original records and reproductions of original records, **31:16**

record-keeping requirements, **31:13 to 31:16**

Trading with the Enemy Act, record-keeping, **31:14**

Deemed export rule

generally, **31:9 to 31:11**

foreign nationals, defined, **31:11**

technology, defined, **31:10**

EXPORT CONTROLS—Cont'd

Export Administration Act, **31:2 et seq.**

Export Administration Regulations, **31:2 et seq., 31:13**

Guidelines, **App. 31B**

International Emergency Economic Powers Act, **31:7, 31:14**

Jurisdiction, **31:3**

Licenses and license exceptions, **31:5**

Original records, **31:16**

Record-keeping requirements, **31:13 to 31:16**

Reproductions of original records, **31:16**

State Department controls, **31:8**

Trading with the Enemy Act, **31:6, 31:14**

Treasury Department controls, **31:6, 31:7**

Types of export controls, **31:2**

FACILITATING-PAYMENTS

EXCEPTION

Foreign Corrupt Practices Act, bribery provisions, **30:15**

FAIR AND ACCURATE CREDIT TRANSACTIONS ACT

Whistleblowers, **8:31**

FAIR LABOR STANDARDS ACT

Whistleblowers, **8:28**

FALSE CLAIMS ACT

Generally, **27:4**

Whistleblowers, **8:30**

FALSE IMPRISONMENT

Employee misconduct, **9:13**

FALSE STATEMENTS

Generally, **4:43 to 4:46**

Criminal liability, generally, **4:43 to 4:46**

Exculpatory no exception, **4:46**

Materiality, **4:45**

Willful and knowing, **4:44**

FAMILY AND MEDICAL LEAVE ACT

Generally, **23:1 to 23:15, App. 23A**

**FAMILY AND MEDICAL LEAVE
ACT—Cont'd**

Applicability, determination of, **23:2**
Benefits, policies and practices relating to, **23:10, 23:12**
Certification, **23:6**
Designation of leave, **23:8**
Evaluation of process, **23:4 to 23:8**
Handbook provisions, examination of, **23:3**
Medical information, handling of, **23:9**
Notification of eligibility, **23:7**
Past lawsuits, review of, **23:14**
Posting requirements, **23:13**
Record-keeping requirements, **23:13**
Requests for leaves, handling of, **23:5**
Restoration of job, policies and practices relating to, **23:10, 23:11**

FATALITY INCIDENTS

Occupational Safety and Health Act, record-keeping rules, **12:39**

FCPA

Foreign Corrupt Practices Act (this index)

**FEDERAL ACQUISITION
REGULATIONS**

Implementation and strategies, **3:4**

FEES

Foreign Corrupt Practices Act, bribery provisions, **30:6**

FIDUCIARIES

Employee benefit plans, **25:16 to 25:18**

FILES AND FILING

Antitrust audits, files relating to competitors, **16:3**

**FINANCIAL EXPERTS AND
CODES OF ETHICS**

Sarbanes-Oxley Act, **33:11**

FINES AND PENALTIES

Antiboycott laws, **29:6**
Foreign Corrupt Practices Act, sentencing of organizations, **3:29**

FINES AND PENALTIES—Cont'd

Lobbying activities, **15:31**
Occupational Safety and Health Act, **12:13**

FIRST AID

Occupational Safety and Health Act, record-keeping rules, **12:30**

FLAGGING DOCUMENTS

Records retention, destruction of records, **13:45**

FLOW DOWN OBLIGATIONS

Fraud, government contracts, **27:24**
LPFIFT, statutes and regulations, **27:25**

**FOREIGN CORRUPT PRACTICES
ACT**

Generally, **3:15 to 3:48, 30:1 to 30:38**

Accounting provisions and record-keeping

generally, **30:21 to 30:25**

background, **30:21**

elements of violation, **30:22**

jurisdiction, **30:23**

SEC enforcement, **30:24**

Affirmative defenses, bribery provisions, **30:16**

Agents, compliance programs, **3:39**

Agreements, deferred prosecution, **30:18**

Assignment of responsibility, compliance programs, **30:28**

Attorney-client privilege, **3:19**

Audit programs, **3:23**

Board resolution, **3:22**

Books and records provisions, criminal enforcement, **30:25**

Bribery, international efforts to curb, **30:38**

Bribery provisions

generally, **30:2 to 30:20**

affirmative defenses, **30:16**

clerical capacity, temporary

consulate employee, **30:8**

consulate employee in clerical capacity, temporary, **30:8**

INDEX

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

Bribery provisions—Cont'd
consulting arrangement with
parastatal's general director,
30:7
director, consulting arrangement
with parastatal's general, **30:7**
director of government
instrumentality, outside, **30:5**
directors' fees, parastatal, **30:6**
DOJ enforcement, **30:17 to 30:19**
elements of violation, **30:2 to**
30:14
facilitating-payments exception,
30:15
fees for parastatal directors, **30:6**
foreign government official on
leave from law firm, **30:10**
"foreign officials"
generally, **30:4 to 30:10**
clerical capacity, temporary
consulate employee, **30:8**
consulate employee in clerical
capacity, temporary, **30:8**
consulting arrangement with
parastatal's general direc-
tor, **30:7**
director, consulting arrangement
with parastatal's general,
30:7
director of government
instrumentality, outside,
30:5
directors' fees, parastatal, **30:6**
fees for parastatal directors',
30:6
foreign government official on
leave from law firm, **30:10**
general director, consulting
arrangement with
parastatal's, **30:7**
government instrumentality,
outside director, **30:5**
law firm, foreign government
official on leave from,
30:10
leave from law firm, foreign
government official on,
30:10

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

Bribery provisions—Cont'd
"foreign officials"—Cont'd
members of parliament, **30:9**
outside director of government
instrumentality, **30:5**
parastatal directors' fees, **30:6**
parastatal's general director,
consulting arrangement
with, **30:7**
parliament, members, **30:9**
temporary consulate employee
in clerical capacity, **30:8**
general director, consulting
arrangement with parastatal's,
30:7
government instrumentality,
outside director, **30:5**
intent requirement, **30:11**
interstate instrumentality require-
ment, **30:13**
jurisdiction, **30:3**
knowledge, **30:12**
law firm, foreign government
official on leave from, **30:10**
leave from law firm, foreign
government official on, **30:10**
members of parliament, **30:9**
obtaining or retaining business,
30:14
officials of foreign countries.
"Foreign officials," above
this group
outside director of government
instrumentality, **30:5**
parastatals
directors' fees, **30:6**
general director, consulting
arrangement with, **30:7**
parliament, members, **30:9**
SEC enforcement, **30:20**
temporary consulate employee in
clerical capacity, **30:8**
Case law, director and officer
liability, **30:35**
Clerical capacity, temporary consul-
ate employee functioning in,
30:8

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

Compliance culture, **30:27**
 Compliance programs
 generally, **3:36 to 3:41, 30:26 to 30:33**
 agents, **3:39**
 assignment of responsibility, **30:28**
 compliance culture, **30:27**
 contractual terms, **30:31, 30:32**
 covenants, contractual terms, **30:31**
 detection of FCPA problems, **30:26**
 distributors, **3:40**
 due diligence investigations, **30:29, 30:30**
 government negotiated integrity agreements, **3:37**
 implementation, **3:38 to 3:41**
 joint venture partners, **3:41**
 problem detection, **30:26**
 representations and warranties, contractual terms, **30:32**
 responsibility, assignment of, **30:28**
 Sarbanes-Oxley, effect of, **30:33**
 sentencing guidelines standards, **3:36**
 Conduct of investigation, **3:18 et seq.**
 Consulate employee in clerical capacity, temporary, **30:8**
 Consulting arrangement with parastatal's general director, **30:7**
 Covenants, compliance programs, **30:31**
 Criminal enforcement of books and records provisions, **30:25**
 Culpability scores, sentencing of organizations, **3:33**
 Decision to investigate, **3:17**
 Deferred prosecution agreements, DOJ enforcement of bribery provisions, **30:18**
 Department of Justice enforcement of bribery provisions
 generally, **30:17 to 30:19**
 Corporate Enforcement Policy, **App. 30B**

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

Department of Justice enforcement of bribery provisions—Cont'd
 deferred prosecution agreements, **30:18**
 voluntary self-disclosure, **30:19**
 Detection of FCPA problems, compliance programs, **30:26**
 Director and officer liability
 generally, **30:34 to 30:37**
 case law, **30:35**
 illustrative cases, **30:35**
 limitation of actions, **30:37**
 private right of action, **30:36**
 statute of limitations, **30:37**
 Directors
 consulting arrangement with parastatal's general, **30:7**
 fees, parastatal, **30:6**
 government instrumentality, outside director of, **30:5**
 liability. Director and Officer Liability, above
 Distributors, compliance programs, **3:40**
 Document review, legal audits, **3:43**
 DOJ. Department of Justice enforcement of bribery provisions, above
 Due diligence investigations, compliance programs, **30:29, 30:30**
 Evaluation of FCPA written program, **3:44**
 Facilitating-payments exception, bribery provisions, **30:15**
 Fees for parastatal directors, **30:6**
 Fines, sentencing of organizations, **3:29**
 Foreign government official on leave from law firm, **30:10**
 "Foreign officials." Bribery provisions, above
 General director, consulting arrangement with parastatal's, **30:7**
 Government instrumentality, outside director, **30:5**
 Government negotiated integrity agreements, compliance programs, **3:37**

INDEX

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

History, **3:16**
Illustrative cases, director and officer liability, **30:35**
Implementation of compliance programs, **3:38 to 3:41, 3:45**
Integrity of management, reporting of corporate misconduct, **3:27**
Intent, bribery provisions, **30:11**
International efforts to curb bribery, **30:38**
Interstate instrumentality, bribery provisions, **30:13**
Interviews, legal audits, **3:46**
Joint venture partners, compliance programs, **3:41**
Jurisdiction
 accounting provisions and record-keeping, **30:23**
 bribery provisions, **30:3**
Knowledge, bribery provisions, **30:12**
Law firm, foreign government official on leave from, **30:10**
Leave from law firm, foreign government official on, **30:10**
Legal audits
 generally, **3:42 to 3:47**
 document review, **3:43**
 evaluation of FCPA written program, **3:44**
 implementation of FCPA written program, **3:45**
 interviews, **3:46**
 report, **3:47**
Letter of instruction, **3:24**
Limitation of actions, director and officer liability, **30:37**
Members of parliament, **30:9**
Multipliers range, sentencing of organizations, **3:34**
Officials of foreign countries. Bribery provisions, above
Outside director of government instrumentality, **30:5**
Parastatals. Bribery provisions, above
Parliament, members, **30:9**

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

Private right of action, director and officer liability, **30:36**
Privileges, **3:19 to 3:21**
Problem detection, compliance programs, **30:26**
Prosecution agreements, deferred, DOJ enforcement of bribery provisions, **30:18**
Quantitative materiality, reporting of corporate misconduct, **3:26**
Record-keeping. Accounting provisions and record-keeping, above
Records provisions, criminal enforcement, **30:25**
Reporting of corporate misconduct
 generally, **3:25 to 3:28**
 integrity of management, **3:27**
 mandatory reporting, **3:25 to 3:27**
 quantitative materiality, **3:26**
 voluntary reporting, **3:28**
Reports, legal audits, **3:47**
Representations, compliance programs, **30:32**
Resource guide, **App. 30A**
Responsibility, assignment of, compliance programs, **30:28**
Sarbanes-Oxley, effect of, compliance programs, **30:33**
SEC. Securities Exchange Commission enforcement, below
Securities and Exchange Commission enforcement
 accounting and record-keeping provisions, **30:24**
 bribery provisions, **30:20**
Self-evaluation privilege, **3:21**
Sentencing of organizations
 generally, **3:29 to 3:35**
 base fines, **3:32**
 compliance program, **3:36**
 culpability scores, **3:33**
 fines, **3:29**
 guidelines, **3:30 et seq.**
 multiple counts, **3:35**
 multipliers range, **3:34**
 offense level, **3:31**

FOREIGN CORRUPT PRACTICES

ACT—Cont'd

- Statute of limitations, director and officer liability, **30:37**
- Temporary consulate employee in clerical capacity, **30:8**
- Voluntary reporting of corporate misconduct, **3:28**
- Voluntary self-disclosure, Department of Justice enforcement of bribery provisions, **30:19**
- Warranties, compliance programs, **30:32**
- Work-product immunity, **3:20**

“FOREIGN OFFICIALS”

- Foreign Corrupt Practices Act** (this index)

FOREIGN PATENTS

- Generally, **28:10**

FOREIGN REGISTRATIONS

- Trademarks and tradenames, **28:17**

FORMS

- List of useful forms, **1:12**

FRAUD

- Generally, **4:47 to 4:49, 27:1 to 27:27**
- Anti-Kickback Act of 1986, **27:3**
- Attorney-client privilege, types of communications covered, **5:33, 5:41**
- Auditing, government contracts, **27:11**
- Certification of financial reports, criminal liability, **4:48**
- Clauses in government contracts, **27:22**
- Conflicts of interest, government contracts, **27:19**
- Criminal liability
 - generally, **4:47 to 4:49**
 - certification of financial reports, **4:48**
 - effect on other statutes, **4:49**
- Mail and Wire Fraud** (this index)
 - reporting requirements for government contractors, **4:11**

FRAUD—Cont'd

- Education of employees, government contracts, **27:16**
- Employees, government contracts, **27:15 to 27:19**
- Enforcement, government contracts, **27:13**
- False Claims Act, **27:4**
- False Statements** (this index)
- Flow down obligations, government contracts, **27:24**
- Government contracts, generally, **27:1 to 27:27**
- Influence over federal transactions, limitations on payment of funds for, **27:6**
- Investigations, government contracts, **27:14**
- Lines of communication, government contracts, **27:18, 27:26**
- Mail and Wire Fraud** (this index)
- Management approval, government contracts, **27:10**
- Medicare/Medicaid fraud, voluntary disclosure programs, **6:9**
- Procedures relating to government contracts, generally, **27:8 to 27:14**
- Program Fraud Civil Remedies Act, **27:5**
- Reporting, government contracts, **27:9**
- Size of government contracts, **27:21**
- Subcontractors, government contracts, **27:23 to 27:26**
- Supervision, government contracts, **27:12**
- Termination of employees, government contracts, **27:17**
- Training of employees, government contracts, **27:16**

FRAUDULENT PURPOSE EXCEPTIONS

- Environmental audits, state's self-audit privilege, **11:16**

FUNCTIONAL EQUIVALENTS

- Attorney-client privilege, parties to privilege, **5:13**

INDEX

GENERAL DATA PROTECTION REGULATION

Seven steps for businesses, **32:7**,
App. 32E

GENERAL DIRECTORS

Foreign Corrupt Practices Act, **30:7**

GENETIC INFORMATION NONDISCRIMINATION ACT

Employment practices, **24:14**

GET-OUT-THE-VOTE DRIVES

Campaign activities, **15:16**

GOVERNMENT CONTRACTORS

Crime reporting requirements, **4:11**

Lobbying activities, **15:32**

GOVERNMENT INSTRUMENTALITIES

Foreign Corrupt Practices Act, **30:5**

HANDBOOKS AND POLICIES

Generally, **19:1 to 19:11**

Alternative dispute resolution, **19:6**

Americans with Disabilities Act,
employment practices, **24:3**

At-will language, **19:5**

Comparison of existing policies with
legally required policies, **19:3**

Content of company handbooks,
review of, **19:2 to 19:7**

Dissemination of policies, **19:10**

Employee misconduct, at-will or
contractual employment, **9:5 to
9:8**

Family and Medical Leave Act, **23:3**

Harassment policies, **19:4**

Internet usage, **19:7**

Policies not included in handbook,
identification of, **19:8**

Practices of company and policies of
company, comparison, **19:9**

Review of content of company
handbooks, **19:2 to 19:7**

Workforce reduction policies, **20:3**

HANDICAPPED PERSONS

Americans with Disabilities Act
(this index)

HARASSMENT

Handbooks and policies, **19:4**

HAZARD COMMUNICATION RULE

**Occupational Safety and Health
Act** (this index)

HEARING LOSS

Occupational Safety and Health Act,
record-keeping rules, **12:32**

HEARINGS

Whistleblowers, Sarbanes-Oxley Act,
8:6

HIPAA

Employee benefit plans, **25:10 to
25:12, App. 25A**

ILLUSTRATIVE CASES

Case Law (this index)

IMMINENT DANGER EXCEPTIONS

Environmental audits, state's self-
audit privilege, **11:19**

IMMUNITY

Voluntary disclosure, environmental
audits, self-audit privilege,
11:22

IMPLEMENTATION AND STRATEGIES

Generally, **3:1 to 3:48**

Auditor reports of illegal acts,
responsibilities of directors of
corporations, **3:14**

Department of Justice, **3:3, App. 3A**

Directors of corporations, responsi-
bilities of, **3:11 to 3:14**

Enforcement authorities, **3:2**

Evaluation of Corporate Compliance
Programs, **App. 3A**

Federal Acquisition Regulations, **3:4**

Foreign Corrupt Practices Act,
compliance programs, **3:38 to
3:41, 3:45**

Securities and Exchange Commis-
sion, **3:5**

Senior management, responsibilities
of, **3:8 to 3:10**

IMPLEMENTATION AND STRATEGIES—Cont'd

Sentencing guidelines, **3:6**

IMPLIED CONTRACT

Employee misconduct, discharges based on implied contract theories, **9:5 to 9:8**

IMPLIED WAIVER

Attorney-Client Privilege (this index)

IN CAMERA INSPECTIONS

Attorney-client privilege, **5:46**
Self-evaluative privilege, **10:5**

INADVERTENT WAIVER

Attorney-client privilege, **5:52**

INCENTIVE PROGRAMS

Conduct of internal investigations, **7:11**

INDEPENDENT CONTRACTORS

Generally, **17:1 to 17:12**
Behavioral control of contractors, **17:8**
Contract, drafting of, **17:4**
Financial control of contractors, **17:9**
IRS publications, **App. 17A, App. 17B, App. 17C**
Present classification of existing workers, identification of, **17:3**
Purchasing function, **26:9**
Retention documents, examination of, **17:5**
Status, illustrative cases, **17:2**
Third-party contracts and arrangements, review of, **17:11**
Type of relationship with contractor, assessment of, **17:10**
Voluntary Classification Settlement Program, **17:12**
Work situation of contractors, assessment of, **17:7 to 17:10**

INFORMATION, LEGALLY REQUIRED, EXCEPTIONS

Environmental audits, state's self-audit privilege, **11:14**

INFORMATION MANAGERS

Environmental audits, staffing the audit team, **11:38**

INFORMATION OBTAINED BY OBSERVATION EXCEPTIONS

Environmental audits, state's self-audit privilege, **11:15**

INSIDER TRADING

COMPLIANCE PROGRAMS

Generally, **14:1 to 14:10**
Checklist of possible compliance procedures, **14:9**
Legislative history, **14:2**
Policies, section 10(b) and SEC regulations, **14:6**
Section 10(b) and SEC regulations, **14:4 to 14:6**
Short-swing trading restrictions, **14:8**
Tender offers, **14:7**
Theories of liability, **14:3**
Trading plan, section 10(b) and SEC regulations, **14:6**

INSPECTION OF PROPERTY

Environmental audits, **11:48**

INSURERS

Attorney-client privilege, **5:15**

INTANGIBLE RIGHTS

Mail and wire fraud, **4:14**

INTELLECTUAL PROPERTY

Generally, **28:1 to 28:46**
Administrative hassle, **28:38**
Alternative dispute resolution, **28:37**
Antitrust, **28:40**
Attorney-client privilege, **28:39**
Checklist for IP Audits, **App. 28A**
Copyrights (this index)
Distribution agreements, **28:41**
Forms, **28:38**
Imaging of records, **28:42**
Interaction of patents, copyrights and trade secrets, **28:36**
Internet and websites generally, **28:43 to 28:45**
delivering content to customers, **28:45**

INDEX

INTELLECTUAL PROPERTY

—Cont'd

- Internet and websites—Cont'd
 - linking, **28:44**
- Linking, Internet and websites, **28:44**
- Patents** (this index)
- Records retention, **28:42**
- Trademarks and Trade Names** (this index)
- Websites. Internet and websites, above

INTENT

- Attorney-client privilege, waiver, **5:51**
- Conspiracy, **4:19**
- Foreign Corrupt Practices Act, bribery provisions, **30:11**
- Obstruction of justice, **4:25, 4:33**

INTENTIONAL INFLICTION OF EMOTIONAL DISTRESS

- Employee misconduct, **9:11**

INTERNATIONAL EFFORTS TO CURB BRIBERY

- Foreign Corrupt Practices Act, **30:38**

INTERNATIONAL EMERGENCY ECONOMIC POWERS ACT

- Export controls, **31:7, 31:14**

INTERNATIONAL MATTERS

- Privacy, **32:6, 32:7, App. 32E**
- Trade secrets, **28:35**

INTERNET AND WEBSITES

- Americans with Disabilities Act, places of public accommodation, **24:20**
- Handbooks and policies, internet usage, **19:7**
- Intellectual Property** (this index)
- Privacy, **32:3**
- Records Retention** (this index)
- Trademarks and tradenames, **28:18**

INTERSTATE

INSTRUMENTALITY

- Foreign Corrupt Practices Act, bribery provisions, **30:13**

INTERVIEWS

- Americans with Disabilities Act, employment practices, **24:7**
- Attorneys, **1:9**
- Foreign Corrupt Practices Act, legal audits, **3:46**

INVASION OF PRIVACY

- Employee misconduct, **9:12**

INVESTIGATIONS

- Fraud, government contracts, **27:14**
- Reports, attorney-client privilege, **5:30**

INVESTIGATIVE MATERIALS

- Self-evaluative privilege, employment discrimination claims, **10:11**

JOINT ACTIVITY

- Antitrust audits, **16:8, 16:9**

JOINT VENTURES

- Foreign Corrupt Practices Act, compliance programs, **3:41**

JOINT-CLIENT EXCEPTION

- Attorney-client privilege, **5:39**

JURISDICTION

- Export controls, **31:3**
- Foreign Corrupt Practices Act** (this index)
- Mail and wire fraud, **4:13**

JUST IN TIME PURCHASING

- Generally, **26:16**

KEYWORD SEARCH PROTOCOL

- Attorney-client privilege, **5:67**

KNOWLEDGE

- Notice or Knowledge** (this index)

LABELING

- Occupational Safety and Health Act, hazard communication rule, **12:8**

LAST CHANCE AGREEMENTS

- Substance abuse policies, **18:6**

“LAST-LINK” EXCEPTION

- Attorney-client privilege, **5:38**

LAW FIRMS

Foreign Corrupt Practices Act,
foreign government official on
leave from firm, **30:10**

LAWYERS

Attorneys (this index)

LEAVES OF ABSENCE

Campaign activities, **15:20**
Foreign Corrupt Practices Act,
foreign government official on
leave from law firm, **30:10**

LEGAL AUDITS

See also more specific topics
throughout this index
Generally, **2:1 to 2:6**
Caremark case, **2:5**
Compliance programs, **2:3**
Financial audit, compared, **2:2**
Foreign Corrupt Practices Act (this
index)
Preventative law legal audits, **2:4**

LEGAL COUNSEL

Environmental audits, staffing the
audit team, **11:36, 11:41**

**LEGALLY REQUIRED
INFORMATION EXCEPTIONS**

Environmental audits, state's self-
audit privilege, **11:14**

LETTERS OF CREDIT

Antiboycott laws, **29:7**

LIBEL

Employee misconduct, **9:14**

LICENSES AND LICENSING

Export controls, **31:5**
Patents, **28:11**

LIMITATION OF ACTION

Statutes of Limitation (this index)

**LIMITED LIABILITY
COMPANIES**

Attorney-client privilege, **5:9**

LINKING

Intellectual property, Internet and
websites, **28:44**

LOBBYING ACTIVITIES

Generally, **15:1 to 15:39**
Compliance counseling advice, **15:33**
Definitions, **15:27**
Government contractors, **15:32**
Lobbying activity, defined, **15:27**
Lobbying contact, defined, **15:27**
Lobbying Disclosure Act of 1995,
generally, **15:25 to 15:31**
Penalties, **15:31**
Persons who are lobbyists, **15:26**
Record-keeping requirements, **15:30**
Registration requirements, **15:28**
Reporting requirements, **15:29**

LOGS

Attorney-client privilege, **5:45**

MAIL

E-Mail (this index)
Fraud. **Mail and Wire Fraud** (this
index)

MAIL AND WIRE FRAUD

Generally, **4:12 to 4:15**
False representations, **4:15**
Intangible rights, **4:14**
Jurisdiction, **4:13**

MANAGERS

Common law duties, conduct of
internal investigations, **7:8**

**MANDATORY GOVERNMENT
REPORTS**

Self-evaluative privilege, **10:8 to
10:10**

MANUALS

Attorney-client privilege, **5:32**
Handbooks and Policies (this index)

MASTER AGREEMENTS

Purchasing function, **26:11**

MATERIALITY

False statements, **4:45**

**MEDICAL CARE AND
TREATMENT**

Americans with Disabilities Act,
examinations, **24:9**

INDEX

MEDICAL CARE AND

TREATMENT—Cont'd

- Occupational Safety and Health Act, record-keeping rules, **12:30**
- Retirees, employee benefit plans, **25:9**
- Veterans' reemployment policies, health plans, **22:4**
- Workforce reduction policies, continuation policy, **20:6**

MEDICAL LEAVES

- Family and Medical Leave Act** (this index)

MEDICAL PEER REVIEWS

- Federal labor laws, **10:14**
- Self-evaluative privilege, **10:13, 10:14**

MEDICARE/MEDICAID FRAUD

- Voluntary disclosure programs, **6:9**

MEMBERS OF PARLIAMENT

- Foreign Corrupt Practices Act, **30:9**

MERGERS

- Antitrust audits, audits in other portions of company, **16:20**

MIGRATION

- Records retention, obsolescence of records, **13:28**

MISCONDUCT

- Employee Misconduct** (this index)

MISREPRESENTATION

- Fraud** (this index)

MODIFICATION

- Change or Modification** (this index)

MONOPOLIES

- Antitrust** (this index)

MULTIMEDIA

- Copyrights, **28:26**

MULTIPLIERS RANGE

- Foreign Corrupt Practices Act, sentencing of organizations, **3:34**

MUSCULOSKELETAL DISORDERS

- Occupational Safety and Health Act, record-keeping rules, **12:34**

NEEDLESTICK INJURIES

- Occupational Safety and Health Act, record-keeping rules, **12:31**

NEGLIGENCE

- Employee misconduct, negligent investigation, **9:20**

NEW FACILITIES

- Americans with Disabilities Act, construction, **24:27**

NONCOMPLIANCE

- Environmental audits, state's self-audit privilege, **11:18**

NOTICE OR KNOWLEDGE

- Aiding and abetting, **4:41**
- Americans with Disabilities Act, employment practices, **24:10**
- Conspiracy, **4:19**
- False statements, **4:44**
- Family and Medical Leave Act, eligibility, **23:7**
- Foreign Corrupt Practices Act, bribery provisions, **30:12**
- Obstruction of justice, **4:27**
- Worker Adjustment and Retraining Notification Act, **20:7**

OBSOLESCENCE

- Records Retention** (this index)

OBSTRUCTION OF JUSTICE

- Generally, **4:23 to 4:37**
- Audit records, retention of, **4:37**
- Corrupt intent, **4:25, 4:33**
- Criminal investigations, **4:34**
- Document destruction or alteration, **4:36**
- Government proceedings
 - generally, **4:30 to 4:33**
 - corrupt intent, **4:33**
 - pending proceeding, **4:31**
 - prohibited conduct, **4:32**
- Knowledge requirement, **4:27**
- Pending proceedings, **4:26, 4:31**

**OBSTRUCTION OF JUSTICE
—Cont'd**

- Persons protected, **4:29**
- Prohibited conduct, government proceedings, **4:32**
- Tampering with witnesses, **4:35**
- Types of conduct prohibited, **4:28**

**OCCUPATIONAL SAFETY AND
HEALTH ACT**

- Generally, **12:1 to 12:42**
- Business ownership changes, record-keeping rules, **12:35**
- Catastrophic incidents, record-keeping rules, **12:39**
- Centralization, record-keeping rules, **12:38**
- Changes to record-keeping forms, **12:25 to 12:30**
- Compliance programs
 - generally, **12:14 to 12:18**
 - management commitment and employee involvement, **12:15**
 - prevention and control of hazards, **12:17**
 - training related to safety and health, **12:18**
 - work site analysis, **12:16**
- Computerization, record-keeping rules, **12:38**
- Consultation service, **12:19**
- Control of hazards, compliance programs, **12:17**
- Coverage, **12:3**
- Elimination of different recording criteria for injuries and illnesses, **12:28**
- Employee involvement
 - compliance programs, **12:15**
 - record-keeping, **12:36**
- Fatality incidents, record-keeping rules, **12:39**
- First aid, record-keeping rules, **12:30**
- General duty clause, **12:5**
- Hazard communication rule
 - generally, **12:7 to 12:13**
 - compliance assistance, **12:12**
 - information and training, **12:10**
 - labeling, **12:8**

**OCCUPATIONAL SAFETY AND
HEALTH ACT—Cont'd**

- Hazard communication rule—Cont'd
 - safety data sheets, **12:9**
 - written program, **12:11**
- Hearing loss, record-keeping rules, **12:32**
- Information, hazard communication rule, **12:10**
- Labeling, hazard communication rule, **12:8**
- Management commitment, compliance programs, **12:15**
- Musculoskeletal disorders, record-keeping rules, **12:34**
- Needlestick injuries, record-keeping rules, **12:31**
- Penalties, **12:13**
- Prevention of hazards, compliance programs, **12:17**
- Privacy protections, record-keeping rules, **12:37**
- Privileges, protection of audit documents under, **12:40**
- Record-keeping rules
 - generally, **12:23 to 12:39**
 - business ownership changes, **12:35**
 - changes to record-keeping forms, **12:25 to 12:30**
 - computerization and centralization, **12:38**
 - days away and job restriction/transfer, **12:29**
 - determination of work relationship, **12:27**
 - elimination of different recording criteria for injuries and illnesses, **12:28**
 - employee involvement with record-keeping, **12:36**
 - employers covered by rule, **12:24**
 - fatality and catastrophic incidents, **12:39**
 - first aid and medical treatment, revised definitions, **12:30**
 - hearing loss, **12:32**
 - injuries and illnesses, changes to record-keeping forms, **12:26**
 - musculoskeletal disorders, **12:34**

INDEX

OCCUPATIONAL SAFETY AND HEALTH ACT—Cont'd

- Record-keeping rules—Cont'd
 - needlestick injuries, **12:31**
 - privacy protections, **12:37**
 - tuberculosis, **12:33**
- Safety data sheets, hazard communication rule, **12:9**
- Standards, **12:6**
- Targeted inspections, **12:21**
- Trade secrets, protection of, **12:41**
- Training
 - generally, **12:18**
 - hazard communication rule, **12:10**
- Tuberculosis, record-keeping rules, **12:33**
- Voluntary protection programs, **12:20**
- Web site information on frequently cited standards, **12:22**
- Whistleblowers, **8:27**
- Work site analysis, compliance programs, **12:16**

OFFENSIVE-USE WAIVER

- Attorney-client privilege, **5:55**

OFFICE OF FOREIGN ASSETS CONTROL

- Compliance commitments, antiboycott laws, **App. 29A**

OFFICERS

- Attorney-client privilege, parties to privilege, **5:12**
- Common law duties, conduct of internal investigations, **7:8**

OFFICIALS OF FOREIGN COUNTRIES

- Foreign Corrupt Practices Act** (this index)

OSHA

- Occupational Safety and Health Act** (this index)

OUTSIDE DIRECTORS OF GOVERNMENT INSTRUMENTALITIES

- Foreign Corrupt Practices Act**, **30:5**

OVERRIDE AGREEMENTS

- Purchasing function, **26:11**

OVERT ACTS

- Conspiracy, **4:20**

PARASTATALS

- Foreign Corrupt Practices Act** (this index)

PARLIAMENT

- Foreign Corrupt Practices Act**, **30:9**

PARTIAL WAIVER

- Attorney-client privilege, **5:58, 5:59**

PARTIES

- Attorney-Client Privilege** (this index)

PATENTS

- See also **Intellectual Property** (this index)
- Generally, **28:3 to 28:12**
- Attorney-client privilege, patent agents as party to privilege, **5:22**
- Consultants, **28:8**
- Development records, maintenance of, **28:5**
- Employees, right of company to inventions of, **28:7**
- Foreign patents, **28:10**
- Government, **28:12**
- Licensing of patents, **28:11**
- Provisional applications, **28:6**
- Purchase and sale forms, **28:9**
- Recording of patents, **28:4**
- Registration of patents, **28:4**
- Universities, **28:12**

PENALTIES

- Fines and Penalties** (this index)

POLITICAL ACTION COMMITTEES

- Generally, **15:3 to 15:13**
- Cash contributions, **15:10**
- Costs of PAC, payment of, **15:6**
- Earmarked contributions, **15:9**
- Limits on contributions, **15:5**
- Manner of solicitation, **15:8**

POLITICAL ACTION

COMMITTEES—Cont'd

Memorandum explaining election laws to employees, **15:37**
 Organization of PAC, **15:4**
 Persons who may be solicited, **15:7**
 State vs. federal PACs, **15:13**
 Tax considerations, **15:12**
 Use of PAC funds, **15:11**

PORTABILITY

HIPAA, employee benefit plans, **25:10**

POSTING

Americans with Disabilities Act, employment practices, **24:10**
 Family and Medical Leave Act, **23:13**
 Records retention, employment records, **21:12**

PREEMPTION

Employee misconduct, state tort law claims arising from internal investigations, **9:22**

PRELIMINARY ASSESSMENTS

Generally, **1:5**

PRELIMINARY ORDERS

Whistleblowers, Sarbanes-Oxley Act, **8:5**

PRIMA FACIE CASE

Whistleblowers, Sarbanes-Oxley Act, **8:8**

PRIVACY

Generally, **32:1 to 32:8**
 CAN-SPAM Act, **App. 32A**
 Children's online privacy protection, **App. 32D**
 Data breaches, **32:8, App. 32C**
 E-commerce, issues related to, **32:3**
 Employee misconduct, **9:12**
 Federal statutes, **32:4**
 Federal Trade Commission, **App. 32A to 32C**
 General Data Protection Regulation, **32:7, App. 32E**

PRIVACY—Cont'd

HIPAA, employee benefit plans, **25:11**
 International issues, **32:6, 32:7, App. 32E**
 Internet, issues related to, **32:3**
 Occupational Safety and Health Act, record-keeping rules, **12:37**
 Self-evaluative privilege, **10:17**
 State issues, **32:5**
 Workplace, issues in, **32:2**

PRIVATE RIGHTS OF ACTION

Foreign Corrupt Practices Act, director and officer liability, **30:36**

PRIVILEGES

Attorney-Client Privilege (this index)
 Foreign Corrupt Practices Act, **3:19 to 3:21**
 Occupational Safety and Health Act, protection of audit documents, **12:40**
Self-Evaluative Privilege (this index)

PROBLEM DETECTION

Foreign Corrupt Practices Act, compliance programs, **30:26**

PRODUCT SAFETY REPORTS

Self-evaluative privilege, **10:8**

PROGRAM FRAUD CIVIL REMEDIES ACT

Generally, **27:5**

PROPERTY

Past uses of, identifying, environmental audits, **11:31**

PROPERTY INSPECTION

Environmental audits, **11:48**

PROPRIETARY INFORMATION

Records retention, security, **13:21**

PROSECUTION AGREEMENTS

Foreign Corrupt Practices Act, DOJ enforcement of bribery provisions, **30:18**

INDEX

PROTECTIVE ORDERS

Attorney-client privilege, **5:47**

PROTOCOL

Antitrust audits, **App. 16A**

PUBLIC ACCOMMODATIONS

Americans with Disabilities Act
(this index)

PUBLIC POLICY EXCEPTION

Employee misconduct, employment-at-will doctrine, **9:4**

PURCHASING FUNCTION

Generally, **26:1 to 26:17**

Antitrust audits, audits in other portions of company, **16:17**

Confidential information, **26:10**

Consultants, **26:9**

Corporate agreements, **26:11**

Disposal of used or excess equipment or supplies, **26:13**

Electronic purchasing, **26:12**

Environmental issues, **26:7**

Excess equipment or supplies, disposal of, **26:13**

Independent contractors, **26:9**

Just in time purchasing, **26:16**

Master agreements, **26:11**

Override agreements, **26:11**

Policies, **26:3**

Premises of company, work to be done on, **26:6**

Purchase order terms and conditions, **26:5**

Purpose of audit, **26:2**

Requests for proposal, **26:14**

Safety issues, **26:7**

Security issues, **26:7**

Software licenses, **26:8**

Used equipment or supplies, disposal of, **26:13**

QUALIFICATIONS

Americans with Disabilities Act, employment practices, **24:8**

QUALIFIED PRIVILEGE

Self-evaluative privilege, **10:3**

QUESTIONNAIRES

Antiboycott laws, **29:5**

Environmental audits, **11:46**

RECEIPT

Antitrust audits, compliance manual, **16:12**

RECORDS RETENTION

Generally, **13:1 to 13:50, 21:1 to 21:13**

Advertising, Internet records, **13:8**

Antitrust audits, **16:5**

Applicant recordkeeping requirements, **App. 21B**

Background checks, **App. 21A**

Catastrophic events

generally, **13:35 to 13:37**

procedures, **13:37**

scope, **13:36**

Classified information, security of records, **13:22**

Communications, Internet records, **13:9**

Confidentiality, employment records, **21:11**

Criminal statutes, destruction of records, **13:41**

Destruction of records

generally, **13:38 to 13:49**

civil statutes, suspension, **13:42**

criminal statutes, suspension, **13:41**

documenting the program, suspension, **13:40**

duplicates, **13:39**

employment records, **21:10**

flagging documents, suspension, **13:45**

method of destruction, **13:49**

obstruction of justice, **4:36**

program procedures, suspension, **13:43 to 13:48**

statutory provisions, suspension, **13:40**

suspension, **13:40 to 13:48**

timing, suspension, **13:44**

Duplicates, destruction of records, **13:39**

RECORDS RETENTION—Cont'd

Electronic records, **13:6, 13:24, App. 13A**

Employment records

generally, **21:1 to 21:13**

adverse impact, records concerning, **21:6**

background checks, **App. 21A**

confidentiality, **21:11**

destruction of records, **21:10**

impact, records concerning, **21:5**

Internet applications, **21:7**

period of retention, **21:9**

personnel documents, **21:3**

posting requirements, compliance with, **21:12**

regulatory reports, **21:8**

selection of employees, procedures for, **21:4 to 21:7**

types of records, **21:2 to 21:8**

Environment controls, storage facilities, **13:32**

Export controls, **31:13 to 31:16**

Facility Standards for Records Storage Facilities Inspection Checklist, **App. 13C**

Family and Medical Leave Act, **23:13**

Flagging documents, destruction of records, **13:45**

Foreign Corrupt Practices Act (this index)

Intellectual property, **28:42**

Internet records

generally, **13:7 to 13:11**

advertising, **13:8**

communications, **13:9**

employment records, **21:7**

information, **13:10**

privacy, corporations, **13:7 to 13:11**

Lobbying activities, **15:30**

Location of storage facilities, **13:31**

Maintenance of systems, obsolescence of records, **13:26**

Migration, obsolescence of records, **13:28**

Obsolescence of records

generally, **13:25 to 13:28**

RECORDS RETENTION—Cont'd

Obsolescence of records—Cont'd

maintain systems, **13:26**

migration, **13:28**

standardize format, **13:27**

Obstruction of justice, **4:37**

Occupational Safety and Health Act (this index)

Period of retention, **13:12 to 13:14**

Personal records, **13:3**

Posting requirements, employment records, **21:12**

Private corporate records, security of, **13:11**

Private records, security of, **13:23**

Proprietary information, security of, **13:21**

Regulations, retention period, **13:13**

Regulatory reports, employment records, **21:8**

Retrieval of records from storage generally, **13:17 to 13:19**

organization, **13:18**

standards, **13:19**

Sanctions, dismissal, **13:43**

Security of records

generally, **13:20 to 13:24**

classified information, **13:22**

electronic records, **13:24**

private records, **13:23**

proprietary information, **13:21**

Selection of employees, **21:4 to 21:7**

Standardization of format, obsolescence of records, **13:27**

Standards for records storage facilities, **App. 13B**

Statutes, retention period, **13:13**

Statutes of limitation, retention period, **13:14**

Storage facilities

generally, **13:30 to 13:34**

environment controls, **13:32**

handling, **13:34**

location, **13:31**

standards for records storage facilities, **App. 13B**

supplies and products, **13:33**

INDEX

RECORDS RETENTION—Cont'd

- Storage of records
 - generally, **13:15 to 13:37**
 - catastrophic events, above
 - obsolescence of records, above
 - retrieval of records from storage, above
 - security of records, above
 - storage facilities, above
- Suspension, destruction of records, **13:40 to 13:48**
- Third-party records, **13:5**
- Types of records, **13:2 to 13:11**
- Vital records, **13:4**

REGISTRATION

- Campaign activities, **15:16**
- Copyrights, **28:21**
- Lobbying activities, **15:28**
- Patents, **28:4**
- Trademarks and tradenames, **28:14**

REPORTS AND REPORTING

- Antiboycott laws, **29:16**
- Antitrust audits, sales reports, **16:4**
- Corporate fraud, certification of financial reports, **4:48**
- Crime reporting requirements for government contractors, criminal liability, **4:11**
- Employee benefit plans, **25:13, 25:14**
- Environmental Audits** (this index)
- Foreign Corrupt Practices Act** (this index)
- Fraud
 - corporate financial reports, **4:48**
 - government contracts, **27:9**
- Lobbying activities, **15:29**
- Self-evaluative privilege, mandatory government reports, **10:8 to 10:10**

REQUESTS FOR PROPOSAL

- Purchasing function, **26:14**

RESPONSIBILITY, ASSIGNMENT OF

- Foreign Corrupt Practices Act, compliance programs, **30:28**

RESTRAINT OF TRADE

- Antitrust** (this index)

RETALIATION

- Employee misconduct, **9:21**
- Sarbanes-Oxley Act, attorney conduct, **33:9**

RETIREMENT

- Veterans' reemployment policies, **22:5**
- Workforce reduction policies, early retirement incentives, **20:4**

RETRIEVAL

- Records Retention** (this index)

REVERSE ENGINEERING

- Copyrights, **28:29**

RIGHTS OF ACTION

- Foreign Corrupt Practices Act, director and officer liability, **30:36**

SAFETY

- Occupational Safety and Health Act** (this index)
- Purchasing function, **26:7**

SAFETY DATA SHEETS

- Occupational Safety and Health Act, hazard communication rule, **12:9**

SALES REPORTS

- Antitrust audits, **16:4**

SAMPLING

- Environmental audits, **11:49**

SARBANES-OXLEY ACT

- Generally, **33:1 to 33:13**
- Attorney conduct rules, **33:9**
- Checklist of legal issues, **33:3**
- Financial experts and codes of ethics, **33:11**
- Foreign Corrupt Practices Act, effect on, **30:33**
- Retaliation claims, **33:10**
- Standards of professional conduct, **33:8 to 33:12**
- Whistleblowers** (this index)

**SECURITIES AND EXCHANGE
COMMISSION**

Foreign Corrupt Practices Act (this index)

Implementation and strategies, **3:5**

SECURITY

HIPAA, employee benefit plans, **25:12**

Purchasing function, **26:7**

Records Retention (this index)

SECURITY INTERESTS

Copyrights, **28:28**

SELF-AUDIT PRIVILEGE

Environmental Audits (this index)

SELF-EVALUATIVE PRIVILEGE

Generally, **10:1 to 10:18**

Accident reports, materials prepared for, **10:9**

Affirmative action plans, materials prepared for, **10:10**

Confidential treatment of information, **10:6**

Disclosure to government, **10:7**

Distinction between evaluative and factual, **10:4**

Elements, **10:2**

Employment discrimination claims, investigative materials, **10:11**

EPA8217s Audit Policy Program: Frequently Asked Questions, **App. 11C**

Federal labor laws, **10:14**

Foreign Corrupt Practices Act, **3:21**

Government, disclosure to, **10:7**

In camera inspection, **10:5**

Investigative materials, employment discrimination claims, **10:11**

Mandatory government reports, materials prepared for, **10:8 to 10:10**

Medical peer reviews, **10:13, 10:14**

Privacy audits, **10:17**

Product safety reports, materials prepared for, **10:8**

Qualified privilege, **10:3**

Statutory protection, **10:16**

Title VII cases, **10:15**

**SELF-EVALUATIVE PRIVILEGE
—Cont'd**

Voluntary internal reviews, **10:12 to 10:14**

SELF-PROTECTION EXCEPTION

Attorney-client privilege, **5:40**

SENTENCES

Attorneys, **1:7**

Foreign Corrupt Practices Act (this index)

Implementation and strategies, **3:6**

SETTLEMENT RECORDS

Attorney-client privilege, **5:31**

**SEVERANCE AGREEMENTS AND
RELEASES**

Workforce reduction policies, **20:5**

SHIPPING DOCUMENTS

Antiboycott laws, **29:7**

**SHORT-SWING TRADING
RESTRICTIONS**

Insider trading compliance programs, **14:8**

SITE ASSESSMENTS

Frequency, environmental audits, **11:52**

SLANDER

Employee misconduct, **9:14**

SOFTWARE

Copyrights, **28:23 to 28:25**

Purchasing function, licenses, **26:8**

SPECIALISTS

Environmental audits, staffing the audit team, **11:39**

STAFFING

Environmental Audits (this index)

STATE DEPARTMENT

Export controls, **31:8**

**STATE'S SELF-AUDIT
PRIVILEGES**

Environmental Audits (this index)

INDEX

STATUTES OF LIMITATION

- Criminal liability, **4:50**
- Foreign Corrupt Practices Act, director and officer liability, **30:37**
- Records, retention period, **13:14**

STATUTORY PROTECTION

- Self-evaluative privilege, **10:16**

STIPULATION EXCEPTIONS

- Environmental audits, state's self-audit privilege, **11:17**

STORAGE

- Records Retention** (this index)

STRATEGIES

- Implementation and Strategies** (this index)

SUBCONTRACTORS

- Fraud, government contracts, **27:23 to 27:26**

SUBSIDIARIES

- Attorney-client privilege, **5:14**

SUBSTANCE ABUSE POLICIES

- Generally, **18:1 to 18:7**
- Employee assistance programs, **18:6**
- Last chance agreements, **18:6**
- Performance problems, **18:5**
- Testing, **18:4**
- Training, **18:3**
- Written policy provisions, **18:2**

SUBSTANTIAL DANGER EXCEPTIONS

- Environmental audits, state's self-audit privilege, **11:19**

SUCCESSORS

- Attorney-client privilege, **5:10**

SUPERVISION

- Fraud, government contracts, **27:12**

SUSPENSION

- Records retention, destruction of records, **13:40 to 13:48**

TAMPERING WITH WITNESSES

- Generally, **4:35**

TARGETED INSPECTIONS

- Occupational Safety and Health Act, **12:21**

TAXATION

- Independent contractors, documentation, **17:6**
- Political action committees, **15:12**

TEAM LEADER

- Environmental audits, staffing the audit team, **11:35**

TECHNICAL CONSULTANTS

- Environmental audits, staffing the audit team, **11:42**

TECHNOLOGY

- Antitrust audits, audits in other portions of company, **16:19**

TEMPORARY CONSULATE EMPLOYEES

- Foreign Corrupt Practices Act, **30:8**

TENDER OFFERS

- Insider trading compliance programs, **14:7**

TERMINATION OF EMPLOYMENT

- Fraud, government contracts, **27:17**

TESTS AND TESTING

- Americans with Disabilities Act, employment practices, **24:8**
- Substance abuse policies, **18:4**

THIRD PARTIES

- Attorney-client privilege, **5:36**
- Independent contractors, **17:11**

TITLE VII CASES

- Self-evaluative privilege, **10:15**

TORTS

- Employee Misconduct** (this index)

TRADE ASSOCIATIONS

- Antitrust audits, **16:15**

TRADE SECRETS

- Generally, **28:30 to 28:35**
- Customers, relations with, **28:34**
- Defined, **28:31**

TRADE SECRETS—Cont'd

- International operations, **28:35**
- Occupational Safety and Health Act, **12:41**
- Protection against loss of trade secrets, **28:32**
- Suppliers, relations with, **28:34**
- Use of others' trade secrets, **28:33**

**TRADEMARKS AND
TRADENAMES**

- See also **Intellectual Property** (this index)
- Generally, **28:13 to 28:19**
- Advertising, **28:16**
- Domain names, **28:18**
- Enforcement, **28:19**
- Foreign registrations, **28:17**
- Internet and websites, **28:18**
- Registration requirements, **28:14**
- Use of trademarks, **28:15**

**TRADING WITH THE ENEMY
ACT**

- Export controls, **31:6, 31:14**

TRAINING AND EDUCATION

- Americans with Disabilities Act, employment practices, **24:11**
- Fraud, government contracts, **27:16**
- Occupational Safety and Health Act** (this index)
- Patents, universities, **28:12**
- Substance abuse policies, **18:3**

TREASURY DEPARTMENT

- Export controls, **31:6, 31:7**

TRUSTEE ACCOUNTS

- Campaign activities, **15:14**

TUBERCULOSIS

- Occupational Safety and Health Act, record-keeping rules, **12:33**

**TYPES OF ENVIRONMENTAL
AUDITS**

- Generally, **11:2**

**TYPES OF INTERNAL
INVESTIGATIONS**

- Generally, **1:2**

UNIVERSITIES

- Patents, **28:12**

USED EQUIPMENT OR SUPPLIES

- Disposal, **26:13**

VACATIONS

- Veterans' reemployment policies, **22:6**

VESTING

- Employee benefit plans, design issues, **25:6**

**VETERANS' REEMPLOYMENT
POLICIES**

- Generally, **22:1 to 22:10**
- Areas to examine when auditing for Uniformed Services Employment and Reemployment Rights Act compliance, **22:9**
- Benefits, **22:4 to 22:6**
- Covered employers, **22:2**
- Discrimination, **22:7**
- Health plan continuation, **22:4**
- Retirement benefits, **22:5**
- Rights to employment and reemployment, **22:3**
- State law, **22:8**
- Vacation and compensation, **22:6**

VISITS

- Environmental audits, **11:47**

VITAL RECORDS

- Records retention, **13:4**

**VOLUNTARY CLASSIFICATION
SETTLEMENT PROGRAM**

- Generally, **17:12**

**VOLUNTARY DISCLOSURE
PROGRAMS**

- Corporate Leniency Policy, **App. 6A**
- Generally, **6:1 to 6:12**
- Advantages to voluntary disclosure, **6:11**
- Antitrust
 - generally, **6:6 to 6:8**
 - corporate leniency policy, **6:7**
 - individual leniency policy, **6:8**

INDEX

VOLUNTARY DISCLOSURE PROGRAMS—Cont'd

- Defense contractors
 - generally, **6:2 to 6:4**
 - agency responsibilities, **6:3**
 - procedure, **6:4**
- Disadvantages to voluntary disclosure, **6:12**
- Environmental violations, **6:5**
- Foreign Corrupt Practices Act, enforcement of bribery provisions, **30:19**
- Medicare/Medicaid fraud, **6:9**

VOLUNTARY INTERNAL REVIEWS

- Federal labor laws, **10:14**
- Self-evaluative privilege, **10:12 to 10:14**

WAIVER

- Attorney-Client Privilege** (this index)
- Environmental audits, state's self-audit privileges, **11:13**

WARRANTIES

- Foreign Corrupt Practices Act, compliance programs, **30:32**

WEBSITES

- Internet and Websites** (this index)

WELFARE BENEFIT PLANS

- Employee benefit plans, **25:7 to 25:12**

WHISTLEBLOWERS

- Generally, **8:1 to 8:36**
- Appeals, Sarbanes-Oxley Act, **8:6**
- Attorney-client privilege, **5:42**
- Case law, Sarbanes-Oxley Act, **8:9 to 8:24**
- Compliance issues, Sarbanes-Oxley Act, **33:7**
- Consumer Product Safety Act, **8:32**
- Corporate investigations and protection against whistleblower liability, **33:4**
- Determination letter, Sarbanes-Oxley Act, **8:4**

WHISTLEBLOWERS—Cont'd

- Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010, **8:25**
- Enforcement agency, Sarbanes-Oxley Act, **8:2**
- Environmental laws, **8:33**
- Equal employment opportunity provisions, **8:29**
- Fair and Accurate Credit Transactions Act, **8:31**
- Fair Labor Standards Act, **8:28**
- False Claims Act, **8:30**
- Federal employment laws, **8:26 to 8:29**
- Hearings, Sarbanes-Oxley Act, **8:6**
- Occupational Safety and Health Act, **8:27**
- Preliminary orders, Sarbanes-Oxley Act, **8:5**
- Prima facie case, Sarbanes-Oxley Act, **8:8**
- Protected persons, **33:5**
- Reasonable belief, **33:6**
- Rules, Sarbanes-Oxley Act, **8:3**
- Sarbanes-Oxley Act
 - generally, **8:2 to 8:24, 33:4**
 - case law, **8:9 to 8:24**
 - compliance issues, **33:7**
 - corporate investigations and protection against whistleblower liability, **33:4**
 - determination letter, **8:4**
 - enforcement agency, **8:2**
 - hearing and appeal, **8:6**
 - preliminary order, **8:5**
 - prima facie case, **8:8**
 - procedures, **8:4 to 8:6**
 - prohibited acts, **8:7**
 - protected persons, **33:5**
 - reasonable belief, **33:6**
 - rules, **8:3**
- State laws, **8:34**

WILLFULNESS

- False statements, **4:44**

WIRE FRAUD

- Mail and Wire Fraud** (this index)

LEGAL AUDITS AND INVESTIGATIONS

WORK SITE ANALYSIS

Occupational Safety and Health Act, compliance programs, **12:16**

WORKER ADJUSTMENT AND RETRAINING NOTIFICATION (WARN) ACT

Generally, **App. 20A**

WORKFORCE REDUCTION POLICIES

Generally, **20:1 to 20:9**

Actual terminations, policies for, **20:8**

Early retirement incentives, **20:4**

Employer's Guide to Advance Notice of Closings and Layoffs

Worker Adjustment and Retraining Notification (WARN) Act, **App. 20A**

Health care continuation policy, **20:6**
Manuals and handbooks, examination of, **20:3**

WORKFORCE REDUCTION POLICIES—Cont'd

Notices under Worker Adjustment and Retraining Notification Act, **20:7**

Planning, **20:2**

Severance agreements and releases, **20:5**

Worker Adjustment and Retraining Notification Act, notices under, **20:7**

Worker Adjustment and Retraining Notification (WARN) Act
employer's guide to advance notice of closings and layoffs, **App. 20A**

WORK-PRODUCT IMMUNITY

Foreign Corrupt Practices Act, **3:20**

WORKS MADE FOR HIRE

Copyrights, **28:22**