



Corporate Governance & Compliance | Competitive Advantage®



# Advisory

## 2011 Project Brief

### Anti-Corruption Compliance and Investigations

- ✓ Conducting corruption and compliance investigations in over 140 countries including China, India, Bangladesh, Philippines, Russia and Brazil
- ✓ Developing various policies and procedures for anti-corruption compliance and associated training materials
- ✓ Designing and conducting a series of multi-jurisdictional anti-corruption health checks in diverse industries to understand and respond to increased focus and activity by regulators, industry and principals on FCPA/anti-corruption compliance programmes, thus enabling the company to better assess its risk and develop a practical and relevant anti-corruption compliance programme
- ✓ Designing and developing a practical FCPA/anti-corruption compliance programme for third parties including policies relating to anti-corruption; gifts, entertainment and other benefits; conflicts of interest; selection, due diligence and engagement of third parties; speaking up and a response protocol to principal requests

### Anti-Trust and Competition Compliance

- ✓ Developing a suite of anti-trust policies, procedures and red flags for global organisations along with conducting train the trainer sessions on the practical implications of anti-trust legislation in emerging markets

### General Compliance

- ✓ Reviewing and redesigning an existing code of conduct of the company including ongoing advice about the implementation of global codes of conduct
- ✓ Developing and implementing a comprehensive corporate compliance programme for investment companies operating in the emerging economies and compliance high-risk countries. This involves conducting an initial risk assessment, developing a business focused code of conduct and related policies and procedures as well as creating targeted training and communication tools
- ✓ Developing comprehensive policy lifecycle management solutions for Fortune 500 companies including the development of policy development, management education, renewal and expiration of corporate policies, procedures and guidelines

### Third Party Due Diligence and Audits

- ✓ Conducting asset-tracing investigations in over 120 countries
- ✓ Developing comprehensive third party compliance programmes for global companies to manage >10,000 international sales agents, partners and resellers
- ✓ Developing and rolling out a third party audit programme and conducting audits of various resellers/distributors in emerging markets

### Pre-Investment Due Diligence

- ✓ Designing and developing an appropriate FCPA defence strategy and associated supporting documentation for US investment firms in relation to their investments in retail targets in emerging markets
- ✓ Conducting various reviews of potential investments at the due diligence stage for private equity investors
- ✓ Secondments to newly acquired organisations to integrate a compliance culture and systems
- ✓ Analysing corporate governance standards of a public company pre-investment in various countries, including China, Korea and Qatar

### Training and Teaching Engagements

- ✓ Conducting workshops and presentations to sales teams, sales management and boards on conducting business ethically, responsibly and meeting compliance needs. These projects have ranged from small groups to "theatre style" groups involving 800 to 1000 people
- ✓ Conducting benchmarking exercises with sales and sales management to benchmark practices against competitors
- ✓ Advising on the development of training programmes for clients around anti-trust, anti-corruption and general compliance
- ✓ Providing leadership development training to members of compliance teams in the insurance and banking sectors around business partnering, client focused compliance and using compliance as a competitive advantage
- ✓ Developing and conducting a full day "train the trainer" workshop as part of the overall implementation of a corporate compliance programme for a pharmaceutical company including customised training on the compliance programme, a facilitated session on the implementation of the compliance programme and advice on the expected challenges and issues