



Business Integrity and
Corporate Compliance

**Business integrity
and sustainable
growth: making the
intelligent connection**

Fraud Investigation & Dispute Services



EY

Building a better
working world

We make the connection between integrity, compliance and business performance

We will work with you to build and operate a proactive integrity and compliance culture in your organization. This includes applying our global experience and understanding of integrity and compliance risks to help you assess and reduce the incidence of compliance and regulatory breaches. Our aim is to help you improve your business performance and protect your brand, your financial stability and corporate values of honesty, integrity and transparency, through sustainable integrity management.

Delivering profitable growth ethically

A robust compliance program is essential for maintaining and enhancing your culture of integrity and protecting shareholder value.

Such a culture ultimately depends on businesses applying the right values to daily decisions. Driving these values through your business requires the critical support of relevant and proportionate policies, procedures and controls. We are experienced in providing this support for our clients by developing and enhancing the right compliance framework tailored to the needs of their businesses.

Our **Business Integrity and Corporate Compliance** professionals will help you understand, manage and reduce your risk exposure and make your compliance program more sustainable. Our professionals possess extensive sector and regulatory knowledge, as well as forensic data analytics capabilities. They use these multidisciplinary skills to help you identify and mitigate fraud and compliance risks, and respond robustly if aberrational conduct occurs.

Strengthening your compliance culture

We start by analyzing your compliance program and the corporate culture to understand how current procedures and processes, but especially stakeholder behavior, affects your risk exposure. Our Integrity and Compliance Assessments take account of the specific regulatory, operational, geographic and cultural risks relating to your organization. They also look at these risks in the context of your vision and strategy.

We will review your existing framework and help you to mitigate key risks by focusing on areas such as policies and standards, governance and procedures, monitoring and third-party relationships. Our forensic data analytics will help us identify potential weaknesses in your compliance and integrity program by leveraging structured and unstructured data, as well as control environment testing.



of senior management respondents said they frequently communicate the importance of high ethical standards, but only 30% of other employees agree



of respondents say that their company does not have an anti-bribery and anti-corruption policy, or are unaware of one



of respondents have not had training on anti-bribery and anti-corruption policies



of respondents say their company does not have a whistle-blowing hotline

It is vital to build your **internal capabilities** and embed a management-led ethos of **integrity, transparency and accountability**. We will work with you to develop the skills of your employees in specific areas of your organization, through

training, monitoring and performance development. We will help to ensure your program aligns across key risk areas, has sufficient resources to be sustainable and is effective in its implementation. Not only can we help to strengthen your defenses, we will

also enable you to respond in a timely and proportionate way to any issues or allegations of impropriety. This can include supporting you in responding to regulatory investigations and the provision of **eDiscovery** services.

You need to...	We will help you by...
<p>Identify and understand integrity and corporate compliance</p>	<ul style="list-style-type: none"> ▶ Identifying integrity and compliance risks closely related to your organization, taking account of international laws, regulations and business practices ▶ Using our professionals' insights into the expectations of regulators to inform the development of your Business Integrity and Corporate Compliance strategy and framework ▶ Understanding how corporate culture, geographical risks and business operations affect your ability to sustain an effective compliance and ethics program
<p>Assess the strengths and weaknesses of your compliance risk management and culture</p>	<ul style="list-style-type: none"> ▶ Using our proprietary tools, industry experts and behavior analysts to conduct a comprehensive compliance program assessment and evaluation of the corporate culture, and to help you understand and steer employee behavior ▶ Conducting a critical assessment of the design and operation of your current Business Integrity and Corporate Compliance framework ▶ Using our EY Business Integrity and Corporate Compliance Maturity model to benchmark your compliance program against leading practice and predefined standards
<p>Implement an aligned and integrated Business Integrity and Corporate Compliance framework</p>	<ul style="list-style-type: none"> ▶ Using our insights to recommend framework enhancements, taking account of your culture, vision, and operations, as well as any relevant risks to your organization ▶ Working with your management and compliance teams to help put in place the people, policies and practices best suited to reducing risk and enhancing performance in your business
<p>Identify gaps in your Business Integrity and Corporate Compliance framework, detect potential risks and improve monitoring capabilities</p>	<ul style="list-style-type: none"> ▶ Using forensic data analytics to interrogate and analyze complex and large data sets, to help you clarify the threats to your business and prioritize your risk management strategies ▶ Using our forensic accounting and eDiscovery skills to detect and recover admissible evidence of non-compliance or unethical business conduct ▶ Working with you to create continuous oversight on the performance of your Business Integrity and Corporate Compliance Program
<p>Reduce integrity and compliance risks associated with business partners</p>	<ul style="list-style-type: none"> ▶ Providing Integrity Diligence to help you understand and reduce the potential risks of impropriety by third parties ▶ Drawing on our global network of professionals for country and sector-specific insights into potential third-party compliance risks and accessing market-leading databases, covering over 30,000 information sources, to support your decision-making ▶ Providing technology to manage the process around third-party risks, so enabling a consistent approach across business units and jurisdictions

Intelligent thinking applied

Advice on integrated compliance framework

The board of a leading global pharmaceutical company asked us to advise on the redesign of its global compliance framework to address specific risks. After assessing the design of its programs at company headquarters, we reviewed functions, policies, procedures and controls in over 30 entities worldwide. We then reviewed the operational effectiveness of the global integrity and compliance program. Following the redesign of the framework, we helped the organization embed compliance in its business operations using innovative communication and training approaches.

Advice on managing third-party compliance risks

Following changes to anti-corruption regulations, a major industrial company asked us to help it design a robust framework to manage third-party risks. Working closely with the client, we developed a risk-tailored background research methodology, covering adverse media reports, conflict of interest questions and other matters, such as sustainability. We developed a case management system and provided integrated reporting of in-country research. We also trained the client's core team to conduct third-party screening themselves.

Support for anti-money laundering transaction monitoring

A major financial institution engaged us to review alerts generated by its anti-money laundering (AML) transaction monitoring system, which indicated possible instances of money laundering or terrorist financing. We provided the client with an international team of investigative, AML and banking subject matter specialists from our global network. Our activities enabled us to provide the client with insights on the risks relating to the transactions, as well as recommendations for how it could improve policies and processes to strengthen its integrity and compliance framework.

Conducting an integrity risk analysis

An international financial institution asked us to help it conduct an integrity risk analysis, focusing on risks related to financial sanctions, money laundering and corruption. We conducted interviews with key members of staff, including board members, heads of business, compliance and risk management. Based on the information obtained, combined with our knowledge and experience, we provided the organization with a systematic description of inherent risks and an overview of existing measures to mitigate risks. We were also able to advise the organization on how to enhance its compliance framework.

Global expertise, local knowledge, relevant skills

The EY Fraud Investigation & Dispute Services practice brings you the people, tools and insights you need to protect your business from financial and reputational risks.

Multidisciplinary professionals

- ▶ Over 3,800 professionals worldwide
- ▶ Forensic accountants, technologists, former law enforcement and intelligence agency professionals
- ▶ Working in 70 countries
- ▶ Across 27 industries

Understanding how regulations, laws and compliance issues vary by country and region

Cross-sector specialists - including:

- ▶ Financial Services
- ▶ Life Sciences
- ▶ Extractive Industries
- ▶ Government & Public Sector
- ▶ Construction & Infrastructure

Market-leading breadth and depth of insight into complex, international business processes

Thought leadership



Europe Middle East, India and Africa Fraud Survey

Offering powerful insights into perceived levels of fraud, bribery and corruption risks across 38 countries



Corporate Fraud - The Human Factor

Providing new perspectives on the many different types of "fraud trail" and where "following the money" might lead in future



Managing Bribery and Corruption Risk - Sector Analysis

Managing bribery and corruption risk across life sciences, oil and gas, extractive industries, and construction and infrastructure sectors

Talk to us

Find out how we can help you protect the financial and reputational value of your business. We will react quickly and efficiently to prevent, detect and resolve any threats you face, however complex.

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About EY

EY is a global leader in assurance, tax, transaction and advisory services. The insights and quality of services we deliver help build trust and confidence in the capital markets and in economies the world over. We develop outstanding leaders who team to deliver on our promises to all of our stakeholders. In so doing, we play a critical role in building a better working world for our people, for our clients and for our communities.

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About EY's Fraud Investigation & Dispute Services

Dealing with complex issues of fraud, regulatory compliance and business disputes can detract from efforts to succeed. Better management of fraud risk and compliance exposure is a critical business priority – no matter what the industry sector is. With over 3,800 fraud investigation and dispute professionals around the world, we can assemble the right multidisciplinary and culturally aligned team to work with you and your legal advisors. We work to give you the benefit of our broad sector experience, our deep subject matter knowledge and the latest insights from our work worldwide.

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ED None.

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