Business Integrity and Corporate Compliance

Business integrity and sustainable growth: making the intelligent connection

Fraud Investigation & Dispute Services
We make the connection between integrity, compliance and business performance

We can 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.

Providing 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 can 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 reduce 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 can review your existing framework and help you to reduce 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.

EY’s EMEIA Fraud Survey 2015

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<th>Percentage</th>
<th>Description</th>
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<tr>
<td>44%</td>
<td>of senior management respondents said they frequently communicate the importance of high ethical standards, but only 30% of other employees agree.</td>
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<td>42%</td>
<td>of respondents say that their company does not have an anti-bribery and anti-corruption policy, or are unaware of one.</td>
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<td>37%</td>
<td>of respondents have not had training on anti-bribery and anti-corruption policies</td>
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<td>24%</td>
<td>of respondents say their company does not have a whistle-blowing hotline</td>
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Fraud and corruption – the easy option for growth?
It is vital to build your **internal capabilities** and embed a management-led ethos of **integrity, transparency and accountability**. We can work with you to develop the skills of your employees in specific areas of your organization, through training, monitoring and performance development. We can help you to devise 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 can also help 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.

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<th>You need to ...</th>
<th>We can help you by ...</th>
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| Identify and understand integrity and corporate compliance risks and programs | • 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 |
| Assess the strengths and weaknesses of your compliance management and culture | • 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 (e.g., FCPA/UK Bribery Act guidance or compliance-related ISO standards) |
| Implement an aligned and integrated Business Integrity and Corporate Compliance framework | • 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 most suited to reducing risk and enhancing performance in your business |
| Identify gaps in your Business Integrity and Corporate Compliance framework, detect potential risks and improve monitoring capabilities | • 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 |
| Reduce integrity and compliance risks associated with business partners | • 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.

Global assessment of anti-bribery/anti-corruption (ABAC) and anti-trust compliance program.
A global telecommunications company was seeking to design and implement a new anti-bribery/corruption and anti-trust compliance program. EY assisted in reviewing the design of both compliance programs and provided recommendation and operational effectiveness reviews in over 30 subsidiaries across the globe. We supported the client in improving the performance and design of its program whilst raising awareness of ABAC and anti-trust compliance.

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.

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 experience, local knowledge, relevant skills

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

Multidisciplinary professionals
- Over 4,500 professionals in member firms worldwide
- Integrity and compliance advisors, forensics accountants and intelligence agency professionals
- Working in 73 countries
- Across 27 industries

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

Cross-sector professionals including:
- Anti-bribery and corruption
- Anti-trust and competition
- General corporate fraud
- Data privacy and cybersecurity
- Export control and sanctions
- Anti-money laundering

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

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

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Thought leadership

ISO 19600
The implementation of a robust compliance and ethics program on the basis of values and appropriate risk has helped companies to maintain integrity and, essentially, reduce non-compliance issues.

ISO 37001
The first international standard on anti-bribery management systems is a significant development for organizations seeking to better manage bribery and corruption risks.

Sustainable investment management
Fraud and non-compliance continue to be a challenge for the private equity sector, with the US Securities and Exchange Commission (SEC) recently warning private equity firms to expect an increase in penalties and enforcement action.

Spotlight on the CCO
In a time when compliance programs are relentlessly under attack from regulators and heavily scrutinized for effectiveness, chief compliance officers (CCO) are increasingly seeking innovative ways to improve the compliance perception.

Business integrity and corporate compliance
Organizations realize the need to establish and embed principles of effective global integrity compliance management into the fabric of their day-to-day business – to keep them out of trouble, integrate sustainable approaches and drive better business performance.
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 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 the size or industry sector. With over 4,500 fraud investigation and dispute professionals around the world, we will 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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