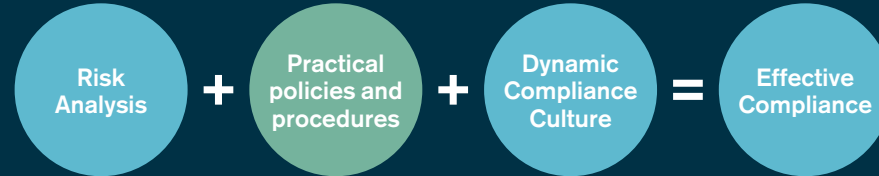


Introduction

Introduction



How do you ensure your business meets its compliance obligations and minimises its compliance risks?

Prioritising and managing compliance risks across your business requires efficient, practical systems and a strong compliance culture. **There is no “one size fits all” solution.** Some risks will be more pressing, some will be better understood by the business than others, and many will overlap.

We can help you improve compliance and reduce your risks.

We work with you to develop a holistic approach to your compliance systems, based upon our deep understanding of regulatory regimes and our experience assessing regulatory risk.

As an international legal practice, we see first hand how compliance systems actually play out in practice. We have lived through the investigations and court hearings. We know what works and what does not, and can help contain the damage when things have gone wrong.

A dynamic system with a proactive culture is at the core of good compliance.

Compliance is never achieved through systems alone. It requires a willingness by everyone in the business to want to comply. We work with you to develop a collaborative approach and a committed leadership.

In a global economy you need a global approach to compliance. Our international team will make sure that your system works locally and across all of the markets you operate in.

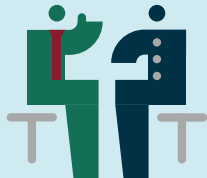


Our Four Step Approach

Our Four Step Approach

Risk Identification & Prioritisation

Our team of specialists work with you to identify the most prescient risks for your business, applying our legal knowledge combined with our understanding of what really matters to the regulators and prosecuting authorities. This can build on existing risk registers or start from a blank canvas, but will result in you knowing what risks you need to focus on now and what can be addressed over the longer term.



Status Review & Gap Analysis

Once you know what your risks are you need to understand how far away you are from addressing them. Through analysis of your corporate structure, document reviews, employee interviews and desktop and on-site audits, we can help you understand where your business is currently and what gaps need to be addressed. Importantly we also put the gaps into context based on our understanding of regulator and market expectations, and we help to benchmark you against your peers and others in your sector.



Recommendations & Planning

We will produce a practical and evidence-based report giving you a clear action plan and timeframe to address your compliance issues. Unlike reports produced by a consultancy, our report will be legally privileged, meaning in most jurisdictions a regulatory authority cannot compel disclosure. Our holistic approach to compliance using a combined team of compliance experts, means that our recommendations consider all aspects of your business rather than isolated teams.



Implementation & Tools

Once you know what you need to do, we can help you make long-lasting changes and improve your compliance systems and culture. Our Global Compliance service will help you structure a suitable training and development programme, keep your policies and procedures up-to date and make you aware of emerging issues and trends that you will need to address.



Our Global Compliance service

Our approach is to address compliance risk holistically and bring all aspects of your business together. We work with you to create a bespoke compliance service that flexes with your business needs, resources and challenges:

Corporate structure and reporting lines

We assess how compliance reporting is shared within a global business, between reporting levels and across subsidiaries, and whether the Board receives the right compliance information.

Policies and procedures

Policies and procedures should be practical and user-friendly. Our understanding of what actually works, rather than ticking boxes, will provide you with a compliance system that is useful.

Proactive updates on emerging and changing risks

Compliance risks evolve. Our horizon scanning service will keep you one step ahead of forthcoming risks and changes.

Training programmes

Our training programmes cover everything from regular bite-size training to the Board to comprehensive training to employees. The training is interactive, impactful and measures comprehension of the topic.

War Gaming

Simulating a regulatory breach and seeing how the business reacts is often the best way to test your systems and identify improvements. Be it a simple 2-hour session or a full day conducting a mock dawn raid, war gaming has proved to be an effective way of improving compliance.

Specific tools

- GDPR Health check app
- Privacy Impact Assessment tool
- Future of work risk tool and log
- GDPR for HR service
- Gender Paygap assessments
- Meeting #metoo expectations and protecting reputation
- Failure to prevent facilitation of tax evasion health check
- Anti-trust 365 tool
- Ethical sourcing Hot Spot list
- Personal liability training for directors

Using tech as an enabler of a robust compliance culture

Technology can play a significant role in helping businesses achieve compliance. We have seen the benefits it can bring but also the pitfalls to avoid.

We can assess the compliance value of your existing systems and also help you select the right technology to address your specific compliance problems.

Osborne Clarke Solutions develops bespoke cloud-based, secure, configurable technology to enable our team to work with you to build your own platform to meet your needs, or to address areas of pain you're experiencing in relation to compliance.

The key intention of our Solutions is to place you in control of your documentation and data, allowing you to manage your compliance processes in a more consistent, predictable, and visible way. We can build in data visualisation, including interactive maps and charts, to enable you to interpret your data, and share it with your business, in a clear and effective manner. This is all about enabling people through technology. In that order.

Our expertise and experience

We combine expertise and experience

We have the expertise to assess and prioritise your compliance risks and the experience to look across risk areas and identify holistic solutions which are effective, efficient and practical. We can also help you meet the external contractual and regulatory standards which you need to satisfy to do business.

Our experience:

- Advising a leading international design, engineering, science and risk management company in the energy, ports, mining, defence and transport sectors, on its approach to compliance across six risk areas, with particular focus on bribery, data privacy, modern slavery, and failure to prevent facilitation of tax evasion.
- Undertaking a strategic review of the compliance approach and resourcing of a major international drinks company, with specific focus on compliance structures, information flows and responsibility.
- Advising a client in the energy sector on compliance with OfGem licence conditions, including an assessment of the client's compliance culture.

- Advising a healthcare client on compliance with the NHS Labour Standards Assurance Scheme.
- Advising a digital client on the scope of its current and future risks across 5 compliance areas including recommendations for proactive action as the business grows.
- As certified Global Network Initiative (GNI) assessors, we undertook an independent assessment of a global telecoms company's progress against the GNI principles.
- Advising a digital client on post-acquisition compliance actions in relation to health & safety and bribery.

Our expertise and experience



Our Global Compliance team

Team leaders



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Our Global Compliance team is supported by specialists covering a range of legal and compliance issues across our network, including:

- Competition Law
- Data Protection & Privacy
- Health, Safety & Environment
- Cyber security
- Whistleblowing
- Gender Pay Gap
- Fraud & Bribery
- Sanctions
- Money Laundering
- Failure to prevent facilitation of tax evasion
- Due diligence in the supply chain
- Modern slavery
- Consumer and trading law requirements
- Public procurement
- Operating in regulated industries
- Compliance with industry-specific codes and standards
- Protection of brand and reputation

Our Global Compliance team