

# RISK + COMPLIANCE

We believe that ethical crises and similar problems can be successfully managed by including a forward-looking compliance review as part of the response to the crisis. Unlike other approaches, this is not “just another investigation,” nor is it a search to pin blame. It is instead a constructive effort to address culture, processes and procedures implicated in the crisis and to avoid the same and other problems in the future.

Our team understands that a moment of crisis can be an opportunity for a company to recommit itself to a compliant culture, and we will work to make sure that your company does not miss this opportunity by relying solely on ongoing investigations to provide guidance for the company’s future. In our years of experience, we have come to realize that ongoing investigations are narrow, often defensive and almost always seeking to identify wrongdoers instead of identifying systematic problems which may lead to new crises. It is unrealistic to expect that company employees, vendors and others will see a sudden crisis as an opportunity to reveal weaknesses in the systems, volunteer helpful information and be an asset in the process.

Our experience both in a crisis and before one strikes is unmatched, and we will make sure that your company is in a position to proudly present its new compliance framework (and those who contributed in constructing it) to regulators and law enforcement as part of the solution to the problem.

Our expertise will help your company learn from its past conduct and apply this knowledge to make your company more compliant, ethical and prepared in the future.

## SERVICES INCLUDE:

- Acting as independent experts
- Identifying vulnerable business areas
- Creating and modifying company codes of conduct
- Building an infrastructure to address and maintain compliance, including monitoring and auditing procedures
- Identifying compliance processes or software to help implement a compliance program
- Developing and managing an RFP process for compliance software
- Evaluating compliance software and providing options
- Developing employee education and training programs
- Risk assessments