

Compliance to Generate Value

The stages and phases of an ethics and compliance program

Ethics and compliance program

- Ethical and compliance culture
- Corporate governance and leadership
- Technology
- Continuous improvement

Prevention

- Evaluation of risks and due diligence
- Policies and procedures
- Training programs
- Communication protocols
- Compliance with third parties (suppliers and representatives)

Detection

- Employee reports (i.e., denunciation channel)
- Compliance tests and internal audit
- Continuous monitoring (key performance and result indicators and compliance analytics)

Response

- Exceptions management
- Forensic investigations

