

# Risk & Compliance Advisory

*Risk & Compliance Advisory that equips you with the right foresight, specialist knowledge and processes to manage your exposure to risk while positioning for growth.*

Today's businesses are expected to operate within a legal framework and social license to pursue growth and manage risk. Regulators and stakeholders are increasingly scrutinising conduct and behaviour – organisations' reputations and business relationships are on the line.

## **We know what works, we've seen it in action**

Assess and control risks with greater certainty by adopting frameworks shaped by what sticks (and what doesn't!) when under regulatory scrutiny. Our frameworks empower your team to reduce risk frequency, understand risk trends and capitalise on lessons learned across the investigations and disputes landscape globally.

## **We scale our methodologies to fit your need**

Reset your organisation-wide compliance risk management approach or address only a specific area with greater confidence and certainty. We have the expertise and capacity to augment your current team and thinking to help you manage compliance risk in this changing landscape using custom frameworks that stick across the entire organisation. In particular, managing and mitigating transnational regulatory action calls for a global track-record, with Allens and Linklaters applying methodologies shaped through this lens.

## **We leverage technology to deliver with efficiency and precision**

Achieve your compliance outcomes efficiently using our suite of tools which draw on the expertise of our specialists across a range of areas, including business crime, competition, privacy, corporate governance, employment, technology and investigations. We help you leverage technology and training, backed by deep legal insights and best practice.

# RISK LANDSCAPE



## RISK AND COMPLIANCE FRAMEWORKS AND REVIEWS

*Helping you identify, assess, control and respond to emerging risks and compliance challenges.*

We are experienced in establishing and developing risk frameworks and related compliance systems, across a wide range of areas – and these have stood the test of investigative authorities and regulators. Our multidisciplinary team includes technology, legal process and project management experts who work alongside our compliance subject matter experts, to deliver:

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### Group-wide compliance risk assessment

Understand your inherent risks and see recommendations for addressing higher risk areas across geographies and business lines.

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### Compliance control design and implementation

Policies, procedures and governance frameworks that meet industry and regulatory expectations.

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### Business partner and third party due diligence

Understand where current business partners expose you to risk and screen future business partners before establishing ties.

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### Compliance program reviews

Holistic review including governance structures, frameworks, reporting, team structure.

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### Risk register reviews

Helping you escalate higher risks appropriately.

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### Policy & procedure reviews

Helping you ensure policies are appropriate and implemented, for example easy to understand, share and translate and known about by the people who need to use them.

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### Country entry risk assessment

Best practice methodologies, independent assessments, and internal messaging support to smooth the path to entering new markets.

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### Culture risk assessment

Understand if the ‘tone from the top’ aligns with how your policies and procedures are used on the ground.

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### Whistle blower investigations design

Reviewing and drafting policies and procedures, testing the effectiveness of the policies on the ground.

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### Investigations

Conduct of legal or policy misconduct investigation.

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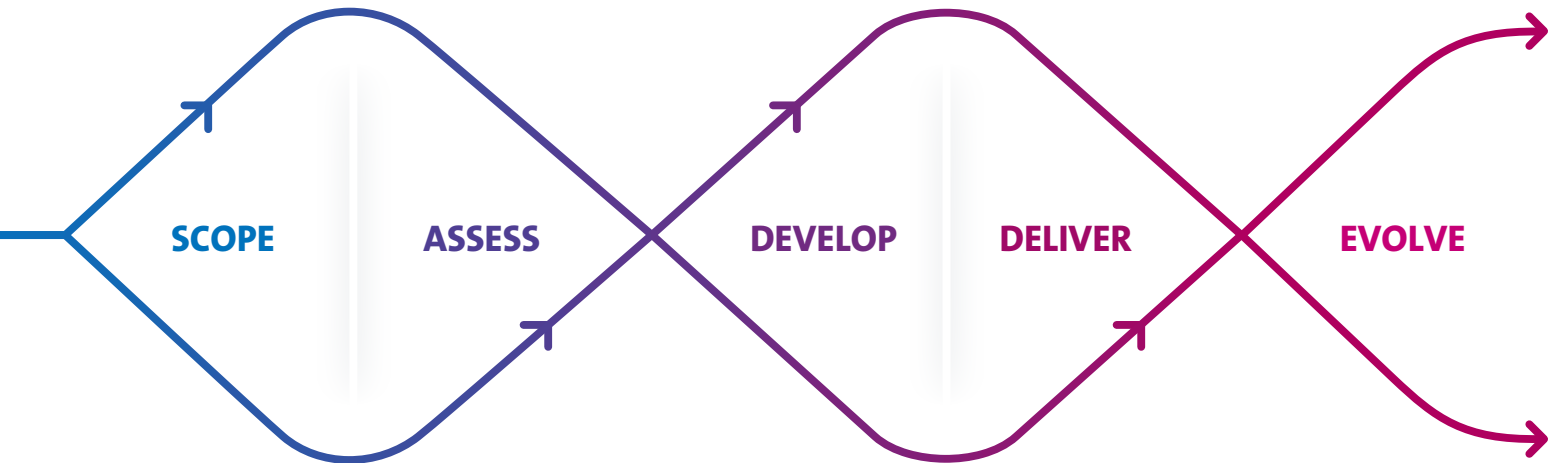
### Crisis response

Helping you prevent, prepare for, respond to and recover from crises in particular via systemic reviews, creating and testing crisis readiness plans and crisis response training.

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## OUR METHODOLOGY

From a one-off risk assessment for a new product to a much broader risk management or compliance review, we adapt this methodology to suit your needs.



Needs and objectives	Legal and Compliance Risks	Governance frameworks	Bespoke training	Future roadmap
Current approach and resources	Policies and controls	Policies	Communications plan	Ongoing risk assessment and review
Regulatory compliance requirements	Culture	Procedures	Monitor and review plan	
Stakeholder expectations	Governance framework	Plans	Ongoing risk assessments	
Business and operational considerations	Root causes	Review methods	Technology solutions	
Previous work	Future roadmap		Secondment arrangements	

## CONTACTS



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