



SOCIETY OF CORPORATE  
COMPLIANCE AND ETHICS

# Managing Third-Party Compliance and Ethics Risk



**LONDON, ENGLAND**  
**20–21 May 2010**

As global supply chains grow larger and more interconnected, no company can survive, let alone thrive, without depending upon a network of third parties and contractors. But with this interconnectedness comes great compliance and ethics risk. Anti-corruption issues grab the headlines, but risk abounds in areas such as data collection as well. Plus, there is a great reputational risk when an outside sales agent, for example, acts in your company's name. This conference will examine the challenges business faces in managing third party compliance and ethics risks and the strategies companies are embracing to help manage it.

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## Selecting Third Parties

When searching for third parties to work with, businesses tend to assess them solely from a business perspective—can this company do what it says it can at a reasonable price. While that's important, a company that fails to also assess the compliance risk going in may be making its third party contracting decisions on an incomplete data set. This session will discuss how businesses can add the compliance factors into the business equation when assessing and hiring third parties.

## Due Diligence

An effective due diligence process is essential. It begins with desktop work but more companies are learning that on the ground research is essential. This session will review what makes for effective due diligence that can protect your organization.

## Dawn Raids & Third Parties

It's dawn and the enforcement authorities are at the door...not of your firm but of a third party which you rely on. How do you find out if the raid is about the work that they are doing for you? How do you protect your company's data and manage the risk of its exposure? We'll discuss what you should do ahead of time, and how you should respond when the government is on the doorstep.

## Code of Conduct & Third Parties

The corporate code of conduct has grown ubiquitous in the business world. Many companies have now taken the added step of extending it to their vendors and contractors to ensure that everyone is on the same page both legally and ethically. Yet, this can pose problems, ranging from questions of co-employment to how can a vendor possibly adhere to all the policies of potentially hundreds or thousands of customers. Here we'll explore the opportunity and how to untangle the risks.

## BT and Its Suppliers: Third-Party Risk Case Study

Operating in more than 170 countries, BT is one of the world's leading providers of communications solutions and services. Their principal activities include networked IT services, local, national and international telecommunications services, and higher value broadband and internet products and services. BT and members of its supply chain will share how they were able to develop a constructive relationship that supports the business, and manages the risks, of all parties.



## Anti-Corruption-Specific Risk

Anti-Corruption is the headline grabber of third party risks. Company after company has had to manage FCPA enforcement actions because of actions of their third parties. In this session we will review the risks, lessons learned from FCPA and other anti-corruption legislation violations, and outline steps companies should take to manage this very dangerous risk area.

## Writing a Contract that Reflects Risks

You know what potential risk areas that your third party agreement can expose you to, but does your contract reflect those risks? Learn how to put the risk controls you need right into the agreement with your vendor.

## Extending Your Reporting Mechanisms

Helplines, whether anonymous or not, can be an invaluable resource for compliance and ethics programs. They enable employees to come forward and identify potential wrongdoing and ensure that their issues are heard. But what about an employee at a vendor with an issue? Where does he or she go? And if you're a US government contractor, your contract could be put at risk by wrongdoing at that vendor. This session will explore what you can do to extend your helpline to your vendors, and what you need to plan for once you do.

## Auditing & Monitoring

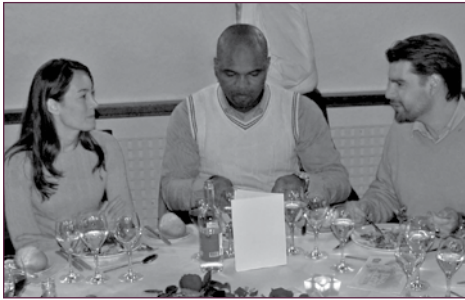
The business unit is closely watching its suppliers to ensure that they are meeting their business objectives. The question is whether they are also monitoring to ensure that they are hitting those goals lawfully and ethically. Here we will share strategies for ensuring that suppliers and contractors are living up to the compliance standards that you set.

## Extending the Line on Training

A few years ago compliance and ethics training was reserved for select, high risk employees. Now, enterprise-wide compliance and ethics training has quickly become common practice in business. The next trend may well be extending this training to contractors and other third parties. It can be an effective way to ensure that everyone who represent the company act appropriately, but it also brings with it significant issues. Learn what the risks are, how to navigate them, and the opportunity created when you extend your compliance training outside of your company.

## The Business Impact of Anti-Corruption Enforcement

A recent PWC report vividly outlined the myriad of effects anti-corruption enforcement has had on business, as well as what the future may hold. PWC will present the findings from the report and implications for compliance professionals.



## M&A Activity

The due diligence process of mergers and acquisitions is critical for ensuring a successful transaction but can also open up a Pandora's box of issues both present and past. In this session you'll learn what to watch for to ensure the due diligence process is an effective one.

## Data Protection & Privacy

Companies regularly contract out operations that can involve the transfer of data about their employees and customers. In so doing it is critical that they ensure that the data is treated properly, both to ensure compliance with all regulations but also to avoid the embarrassment that comes with a breach. Two companies will share what they have done to ensure that all parties are safeguarding data properly.

## Severing a Third-Party Relationship

It's time to end a relationship with a supplier or contractor for any one of a number of reasons. Just because the relationship is ending doesn't mean that the risk is. For example, how does any data that the vendor has about your companies or its customers get handled? In this session we will discuss how to ensure that the third party relationship ends well from a compliance standpoint.

## Joint Ventures

Joint ventures often suffer from being neither fish nor fowl. While treated as a separate entity, they aren't one completely and can often expose the parent companies to risk. More, there can be a tendency to think that the joint venture has compliance issues covered when it doesn't. In this session we will share what you need to watch for, and how to make sure that the joint venture doesn't unnecessarily increase the risk to your company.

## Social Networks

Facebook, LinkedIn and Twitter connect your employees and those of other companies in a web of connectedness that can lead to helpful connections, or seemingly boundless risks. To date few companies have policies in place for employee usage of social networks. This session will share the results of the SCCE's survey of current corporate practices, explore the risk areas and avenues to explore to mitigate this risk.

## Policy Development Workshop

What are the key risks companies face and what policies should they have? In this workshop you won't be posing the question but working with your peers to find the answers. Participants will brainstorm risk areas, identify the most pressing and then work together to craft a model policy to manage the risk.



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To learn more about the SCCE and how we can help, visit us online at [www.corporatecompliance.org](http://www.corporatecompliance.org), and join more than 1,500 other professionals who already call themselves members of the Society of Corporate Compliance and Ethics.



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## Attendee Information please type or print

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First Name \_\_\_\_\_ MI \_\_\_\_\_ Last Name \_\_\_\_\_

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## CONTACT SCCE

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