



5<sup>th</sup> annual practical conference

# COMPLIANCE & ANTICORRUPTION IN RUSSIA AND CIS

June 28-29, 2018, Moscow, Marriott Moscow Grand Hotel

## Speakers:

**X5 RETAIL GROUP**  
**VIMPELCOM**  
**MTS**  
**RUSAL**  
**TELE2**  
**RUSHYDRO**  
**ROSSETI**  
**MEGAPOLIS GROUP**  
**PETROPAVLOVSK PLC**  
**ASTRAZENECA**  
**BECTON DICKINSON**  
**DANONE**  
**HEINEKEN**  
**IKEA**  
**METRO CASH & CARRY**  
**NOVO NORDISK**  
**SCHNEIDER ELECTRIC**  
**SUEK**  
**TAKEDA**  
**UNILEVER**  
**MICROSOFT**

## COMPLIANCE & ANTICORRUPTION in RUSSIA and CIS: STATUS 2018

- Practical experience in creation the efficient compliance department in **X5 Retail Group**
- Practical example of identification, assessment and prevention of possible corruption violations in the company's activities
- Compliance culture in **En+**: implementation, promotion and development
- Key qualities of an effective compliance officer and his place in company
- Compliance risk related control and monitoring systems in **Heineken**
- Experience in conflict of interests identification system automation, **RusHydro**
- Compliance control system as a part of the legal department in **Novo Nordisk**
- HR Compliance: minimization of risks in labor relations regulation
- Anticorruption Hotline issues - practical issues of operation
- Corporate Ethics Commission as part of compliance system: practical aspects of creation and functioning
- Practical application of the compliance system in corporate governance at **MEGAPOLIS Trading Company**

## PLUS!

Separate registration for an Interactive Master Class

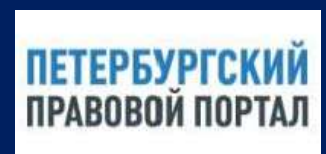
Why Ethics & Compliance? Corporate Ethical Program as the Basis of Anti-Corruption Compliance

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**08.30 Registration and morning coffee**

**09.00 Compliance and Anticorruption in Russian and CIS: 2018**

**Alexey Kolotvin**, Business Ethics and Compliance Director, CIS

**Takeda**

- Russian and international anti-corruption legislation Regulatory enforcement
- Compliance track in Russia; Western trends and the effect
- Adaptation of universal approach to anti-corruption compliance program efficiency assessment to corporate specifics and needs

**09.30 Practical experience in creation the efficient compliance department in X5 Retail Group**

**Margarita Khomenko**, Head of Compliance, Risk and Control Directorate

**X5 Retail Group**

- Key compliance-defining regulations
- Preventive control and corporate compliance procedure automation goals
- Creating compliance service from “scratch” and main challenges
- Compliance service place in the company structure; the service interaction with other departments and business units
- Compliance role in Company: From consultancy to “Veto”

**10.00 Compliance culture in "En+": Experience in implementation, promotion and development**

**Igor Lerner**, Director for Control, Internal Audit and Business Coordination

**UC Rusal**

- What to consider when building a compliance culture in the organization?
- Institute of Ethics Commissioners as a method of involving a wider audience in the development of compliance culture
- Main difficulties in promoting the compliance culture
- Key indicators of the compliance culture implementation project efficiency

**10.30 Coffee break and networking**

**11.00 Compliance control risks and monitoring system in Heineken**

**Tatiana Smirnova**, Senior Legal and Compliance Advisor

**Heineken**

- What do we mean by "compliance"? Implementation experience
- Compliance automation
- Legal compliance system Responsibility matrix, risk assessment and control

**11.30 Experience in conflict of interests identification system automation, RusHydro**

**Oleg Azhimov**, Head of Internal Audit Service

**RusHydro**

- Conflict of interest detection system automation prerequisites and tasks
- Conflict of interest detection with the help of IP "Client of affiliated persons" PJSC "RusHydro"
- Basic features, capabilities and results of automation

**12.00 Compliance control system as a part of the legal department in Novo Nordisk**

**Sergey Viktorov**, Director of Legal Affairs and Compliance

**Novo Nordisk**

- What is compliance program? - lawyer’s view
- Methodological basis and content of compliance program from the point of legal risks
- To what extent should lawyers supervise compliance procedures?
- Combining the legal and compliance Company departments: pros, cons, consequences

**12.30 Anti-corruption due diligence of contractors: Issues relevant to Russian reality**

- Analyzing contractor’s business and company type; assessing compliance risks, commercial, and tax risks manageability
- Anti-corruption monitoring of existing contractors; factors affecting the due diligence extent
- Resolving conflicts of different legal frameworks; stipulation of contractual rights and obligations.
- Valuation of company solvency and ability to fully execute all contractual obligations and liabilities

**13.00 Networking lunch for speakers and attendees**

**14.00 Practical examples of identification, assessment and prevention of possible corruption violations in the company's activities**

**Alexander Batalov**, Economic Security and Anti-Corruption Department Head

**ROSSETI**

- Effective fraud and corruption risk management strategies, distribution of authority for case prevention
- The corporate business processes most subjected to corruption risks
- The most common types and new schemes of theft and abuse, and practical recommendations for their identification and prevention: review of the latest developments and methods
- Actions to take in case of revealing a suspicious corrupt transaction with no legal offenses?
- Building transparent business processes as a basis for minimizing risks of fraud and corruption

#### 14.30 **Monitoring the corporate corruption management system efficiency**

- Monitoring types: Role distribution within the Company
- Independent control over anti-corruption standards and procedures implementation
- Systematic anti-corruption program efficiency analysis to ensure its ongoing improvement
- Specific verification of anti-corruption program requirements fulfillment
- Testing operational efficiency of the controlled anti-corruption procedures

#### 15.00 **HR Compliance: minimization of risks in labor relations regulation**

**Dmitry Nikitin**, Director of Internal Control and Compliance

**Tatiana Balabueva**, Head of Compliance  
**Tele2**

- HR Compliance and its relevance in working with staff
- HR Compliance function tasks, implementation challenges
- Variety of personnel risks and specifics
- HR Compliance role in resolving labor disagreements, disputes, conflicts

#### 15.30 **Anti-corruption tools and compliance control in procurement**

- Fulfilling anti-corruption standards in procurement when disclosing chain of ownership, beneficiaries, and contractors.
- Compliance control at initial, current, and post procurement stage
- Compliance procedures to generate fair competition, public and transparent procurement, and prevent corruption
- Restrictions to internal and external contractors
- Corporate procurement centralization and decentralization: Benefits and risks
- Agreed trades: competition law vs. procurement legislation

#### 16.00 **Coffee break and networking**

#### 16.30 **Commission on Corporate Ethics as part of compliance system: practical aspects of creation and functioning**

**Yuliya Nikolaeva**, Head of Legal Service and Compliance

**Sergey Khripyakov**, Head of Corporate Compliance

**METRO Cash & Carry**

#### 17.00 **Practice of compliance construction and implementation with the commercial policy of the company in Schneider Electric Russia**

**Ksenia Tylik**, Head of the Legal Compliance Group, Russia and CIS

**Schneider Electric**

- Commercial policy and business ethics, compliance of tasks in commercial policy
- Anti-corruption and antitrust elements of commercial policy
- Principles (tools) of unification/structure construction with legal and compliance aspects
- "Gray areas" and risks not subject to unification

#### 17.30 **Anticorruption Compliance in the area of organization and management of document flow**

**Yevgenia Ozerova**, Control over observance of normative-legal norms (compliance) Head

**IKEA**

- Building internal financial control systems to protect against unregistered accounts and illegal payments
- Features of the internal control application in mutual settlements
- Practical issues of document flow

#### 18.00 **Co-chairs closing remarks and 1st conference day concludes**

**DAY 2: FRIDAY, 29 JUNE 2018**

#### 08.30 **Registration and morning coffee**

#### 09.00 **INTERACTIVE MASTER CLASS**

##### **Why Ethics & Compliance? Corporate Ethical Program as the Basis of Anti-Corruption Compliance**

**Ilsur Akhmetshin**, Vice-President for Compliance  
**Alexander Salomatin**, Deputy Director for Compliance

**Petr Androsenko**, Deputy Director for Compliance  
**Yuliya Glubokaya**, Deputy Director for Compliance

**VimpelCom**

- Hotline as a feedback system on issues on ethical values:
  - ✓ Promoting hotline in internal communications
  - ✓ Verifying messages on staff interaction violations
  - ✓ Questions asked through the Hot Line
- Ensuring the anti-corruption compliance function independence.
  - ✓ Basic principles of compliance function independence
  - ✓ A set of measures ensuring independence of compliance functions in PJSC VimpelCom
- Areas of anticorruption compliance:
  - ✓ Principles for constructing an effective compliance program
  - ✓ Experience of PJSC VimpelCom in 10 areas of compliance: Best practices

#### 10.30 **Coffee break and networking**

## 10.45 Implementation of activities to train employees in the policies and procedures of the anti-corruption compliance program

Elena Zheltovskaya, Compliance Director

**Astrazeneca**

- Ensuring the compliance efficiency by informing the employees on the department role in the company life
- Perception by the employees of compliance function and its role in the company
- Motivating employees and assessing their efficiency
- Ways of making employees loyal.
- Technologies for creating training system
- Training efficiency assessment criteria; using feedback from the employees

## 11.15 Compliance risks assessment: prevent, find and fix the problem

Dmitry Kanterov, Deputy Director for Legal Affairs, Compliance Officer

**SUEK**

- Prior to the assessment: methodology, training, regulatory environment overview
- Stages and tools for compliance risks identification and analysis
- How it may help business in real life

## 11.45 Development and inclusion of an anti-corruption clause when concluding agreements with counterparties. "Modern slavery" clause

Anna Mahina, Legal Department Head

**Group of companies "Petropavlovsk"**

- What items should be included for "reasonable preventive measures" to prevent bribery in accordance with Russian anti-corruption legislation, FCPA and UK Bribery Act, Modern Slavery Act 2015
- List of issues of the anti-corruption clause and the clause "on modern slavery". The mechanism of their application in contract work
- Practical difficulties in using the anti-corruption clause and the clause "on modern slavery", ways to resolve them in the process of concluding contracts and in relations with counterparties

## 12.15 The topic is under negotiation

Peter Kuznetsov, compliance officer

**Danone**

## 12.45 Networking lunch for speakers and attendees

## 14.00 Antimonopoly compliance as a way to decrease the responsibility of executives and organizations

Anna Kalacheva, Head of Legal Department

**Zeppelin**

- Analysis of antimonopoly compliance organizational structure in the Company
- Possible forms of antimonopoly compliance system organization
- Ways to identify the risks and create risk map
- Required documents, procedures, and activities to create, implement, and deploy antimonopoly compliance system
- Efficiency indicators and efficiency assessment

## 14.30 Key qualities of an effective compliance officer and his place in the organization

Julia Romashkina, Compliance Director

**MTS**

- Professional profile of the compliance officer - does organization need compliance office and what knowledge should he/she possess?
- Role of the compliance officer in the corporate security system
- Specificity of rights and obligations - from consultation to "Veto"
- Compliance Officer reporting and pitfalls in activities

## 15.00 Practical application of the compliance system in corporate governance, MEGAPOLIS Trading Company

Dmitry Gorbatov, Head of Corporate Regulation and Control Department

**Trading company "Megapolis"**

- The role of compliance in identifying cases of corporate fraud
- Investigation: Independent measures and interaction with other control functions
- Conclusions and recommendations based on investigation results

## 15.30 Coffee break and networking

## 16.00 Code of Business Ethics as an element of anti-corruption program

Arina Sergievskaya, Head of Business Ethics

Compliance Unilever Russia, Ukraine, Belarus

**Unilever**

- Code of Business Ethics as a way of expressing a company's position towards the norms of business ethics
- Anti-corruption Code of Conduct
- How to make the code of ethics work?

## 16.30 Hotline on anti-corruption issues - practical issues of operation

Olga Nikitina, Head of Internal Control and Audit Service for Russia, CIS, and Turkey

**Becton Dickinson**

- The positioning of hotlines and notification mechanisms within the compliance program
- Ensuring the reception, accounting and processing of corruptive information and its objective evaluation
- Analysis of information for significant violations
- Stimulating employees to use hotlines and notification mechanisms

## 17.00 The topic is under negotiation

Tatiana Ignatova, controls&compliance lead

**Microsoft**

## 17.30 The specificity of conducting due diligence procedures in relation to third parties: What to focus on – types, risks, specialities, methods and practice

## 18.00 Co-chair's closing remarks and conference concludes



# Conference participant registration form



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## Conference details

Date: 28-29 June 2018. Time: 9:00 - 18:00.

Venue: **Marriott Moscow Grand Hotel**

Address: 6/1 Tverskaya Street, Moscow  
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