



CSR and Compliance

Seminar Topic: This material will discuss the intersection between legal compliance issues and corporate responsibility.

This material is intended to be a guide in general and is not legal advice. If you have any specific question regarding the state of the law in any particular jurisdiction, we recommend that you seek legal guidance relating to your particular fact situation.

The course materials will provide the attendee with the knowledge and tools necessary to identify the current legal trends with respect to these issues. The course materials are designed to provide the attendee with current law, impending issues and future trends that can be applied in practical situations.



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Disclaimer: The views expressed herein are not a legal opinion. Every fact situation is different and the reader is encouraged to seek legal advice for their particular situation.

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CSR and Compliance

Discussion

1. Definitions
2. Overview and Considerations
3. Sectoral Review
4. Summary and Resources

Objectives

1. Understand the intersection of compliance and CSR
2. Develop an approach framework for regulatory compliance

Definitions

1. **CSR** - is a form of corporate self-regulation integrated into a business model. CSR policy functions as a self-regulatory mechanism whereby a business monitors and ensures its active compliance with the spirit of the law, ethical standards and national or international norms
2. **ESG** (Environment, Social, and Governance) - three central factors in measuring the sustainability and ethical impact of an investment in a company or business

Definitions continued

1. **Compliance** - acting in accordance with a request or a command, rule or instruction
2. **Legal Compliance** - the process by which an organization ensures that it observes and complies with the external statutory laws and regulations
3. **Regulatory Compliance** - the goal that corporations or public agencies aspire to in their efforts to ensure that personnel are aware of and take steps to comply with relevant laws and regulations
4. **Broad Compliance** - the process by which organizations identify and meet their strategic obligations whether arising in law, standards, and codes or from stakeholder expectations

Overview

- Extend your question on the what of compliance to the how of compliance
- Seeing compliance as part of your overall advisory support to your client's business strategy
- How to align compliance requirements with socially responsible principles
- How to align them in a way that forestalls future compliance requirements

Key Considerations

- Existing regulatory requirements
- Internal Policies
- Audit & Reporting
- Assess and How

Three Sector View

- Food and Agriculture
- Financial Services
- Health Care

Food & Agriculture

- Production
- Labor and Employment
- Distribution

Financial Services

- Lending
- Transparency/corruption
- Advisory Services
- Technology and Access

Healthcare

- Operational
- Provision of Care
- Privacy