



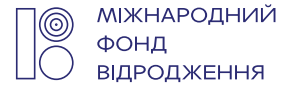
ANTI-CORRUPTION STUDIES

THE MASTER'S PROGRAM

COURSE

**ANTI-CORRUPTION
COMPLIANCE**

2019/20



Lecturers:

Ario Deghani, Counsel, Sayenko Kharenko law firm.

Room: 4-100

SCHEDULE

| Nº | Topic | Date | Time | Type of class | Room | Lecturer |
|-----|--|----------|-------------|---------------------|-------|-----------------|
| 1. | What is compliance and what is it good for? | 15.02.20 | 10:00-11:20 | Lecture workshop | 4-100 | Ario Deghani |
| 2. | How to build up a robust and tailored internal compliance system | | 11:30-12:50 | Lecture workshop | | |
| 3. | How to conduct an internal compliance investigation | | 13:30-14:50 | Lecture | | |
| 4. | Practical experience for internal compliance investigations (Study cases) | | 10:00-11:20 | Workshop | | |
| 5. | Potential liability issues in connection with the FCPA, the UKBA and other foreign laws | 22.02.20 | 11:30-12:50 | Lecture Workshop | | |
| 6. | Ukraine anti-corruption legislation: effect on compliance systems | | 13:30-14:50 | Lecture Workshop | | |
| 7. | Compliance systems in Governmental authorities in Ukraine | | 10:00-11:20 | Lecture Workshop | | |
| 8. | Compliance systems in high-risk professions in Ukraine (legal, healthcare, construction & development) | 29.02.20 | 11:30-12:50 | Lecture Workshop | | |
| 9. | Broader perspective: tax and labor compliance, professionals ethics standards | | 13:30-14:50 | Lecture Workshop | | |
| 10. | Compliance monitoring, compliance culture and the new ISO standard 37001 | | 10:00-11:20 | Lecture Workshop | | |
| 11. | Data Protection: a growing issue of compliance | 7.03.20 | 11:30-12:50 | Lecture Workshop | | |
| 12. | Review and final control | | 13:30-14:50 | Lecture | | |

Course rules and requirements: Grade for the course:

| ECTS Grade | Scores (Points) | Signification |
|------------|-----------------|---------------|
| A | 91-100 | Excellent |
| B | 81-90 | Very Good |
| C | 71-80 | Good |
| D | 66-70 | Satisfactory |
| E | 60-65 | Sufficient |
| F | 30-59 | Insufficient |
| F | 0-29 | Failed |

Grade for the course consists of two parts

| One part 60 % | | | Second part 40 % | |
|----------------|--------------------|-----------------------------------|---------------------------|---|
| Tests | Attending classes | Participating in class discussion | Final exam (Writing task) | |
| 1 to 20 points | 20 points | 20 points | | |
| | 2 points per class | 2 points per class | 40 | A |
| | | | 32 | B |
| | | | 24 | C |
| | | | 16 | D |
| | | | 8 | E |

All the works should be send through the electronic platform.

Course website

Program, announcements and study materials will be on the website of ACREC: <https://acrec.org.ua/>

Plan and description of the Course

Anti-Corruption Compliance

TOPIC 1.

WHAT IS COMPLIANCE AND WHAT IS IT GOOD FOR?



Agenda

- ▶ What is the definition of compliance?
- ▶ What is the role for compliance for the private and public sector?
- ▶ Why do we need compliance to be successful?

Brief description:

What is meant with the term “compliance”? Many people understand something differently. It depends if they are active in the public sector or in the private sector. It depends if they live and work in Ukraine or e.g. , in German or the U.S. The reception of the term is so different as cultures among mankind. The role of compliance is getting more and more important, not only in western hemispheres. The private and the public sector understand compliance differently, but should approach this topic based on the same principles.

Lecturer:

Ario Dehghani

- 👁️ OECD online platform (<http://www.oecd.org/general/searchresults/?q=compliance>);
- 👁️ Compliance in the public sector (<https://www.oag.govt.nz/reports/docs/compliance-in-public-sector.pdf/view>)
- 👁️ Compliance in the private sector

TOPIC 2.

HOW TO BUILD UP A ROBUST AND TAILORED INTERNAL COMPLIANCE SYSTEM

Agenda

- ▶ The need for a tailored compliance system
- ▶ What are the most relevant requirements for a good running compliance system?
- ▶ What is a risk assessment?
- ▶ The importance of a good compliance function
- ▶ The importance of communication and compliance culture
- ▶ The importance of monitoring and investigating

Brief description:

A compliance system does not consist only of policies and one employee who calls himself/herself a Compliance Officer. It is not even close to start from that point. Not every company or private sector office has the need for the same compliance system. We will talk about the way to receive a good understanding of the compliance needs of every company or public office. We will talk about the role of a compliance function and the importance of some minimum requirements of every compliance system.

Lecturer:

Ario Deghani.

Materials

- 👁 The FCPA guide (<https://www.justice.gov/criminal/fraud/fcpa/guidance/guide.pdf>);
- 👁 The UKBA guide (<https://www.justice.gov.uk/downloads/legislation/bribery-act-2010-guidance.pdf>).

TOPIC 3. HOW TO CONDUCT AN INTERNAL COMPLIANCE INVESTIGATION

Materials

- 👁️ Guide on internal investigations (<http://www.jonesday.com/files/upload/CII%20Best%20Practices%20Pitfalls%20to%20Avoid2.pdf>)

Agenda

- 🕒 What is an internal investigation?
- 🕒 When is an internal investigation necessary?
- 🕒 What should be key elements of an internal investigation?
- 🕒 Internal investigation - a monitoring instrument!

Brief description:

Each company and public office should have some specialists who know how, when and why to conduct an internal compliance investigation. We will address the key elements of internal investigations and will talk about the necessity of each one of them. We will discuss when an internal investigation should be conducted and if a hotline is enough investigation for each company/office.

Lecturer:

Ario Dehghani.

TOPIC 4. PRACTICAL EXPERIENCE FOR INTERNAL COMPLI- ANCE INVESTIGATIONS (STUDY CASES)

 **Brief description:**

Workshop

 **Lecturer:**

Ario Dehghani.



TOPIC 5: POTENTIAL LIABILITY IS- SUES IN CONNECTION WITH THE FCPA, THE UKBA AND OTHER FOREIGN LAWS

Agenda

- ▶ Potential liability issues under the FCPA
- ▶ Potential liability issues under the UKBA
- ▶ Relevance for Ukraine
- ▶ Case law

Brief description:

Several extraterritorial law regimes from other countries have a long arm enforcement. The FCPA and the UKBA are the most prominent ones for anti-corruption in cases of a link to the U.S. and the UK. This link can exist very easily and can hit private and public sectors also in Ukraine. The trend to establish law regimes which can reach into the law regimes of other countries is still intact and well used. We will talk about the main risks and how to protect a company or public office against those risks.

Lecturer:

Ario Dehghani.

Materials

- 👁 FCPA <https://www.sec.gov/spotlight/fcpa/fcpa-cases.shtml>
- 👁 UKBA <https://www.legislation.gov.uk/ukpga/2010/23/contents>
- 👁 <https://www.justice.gov.uk/downloads/legislation/bribery-act-2010-guidance.pdf>
- 👁 <https://www.sfo.gov.uk/>
- 👁 <https://www.sfo.gov.uk/our-cases/>

TOPIC 6: UKRAINE ANTI-CORRUPTION LEGISLATION: EFFECT ON COMPLIANCE SYSTEMS

Agenda

- 🕒 Sanctions for corruption offences for individuals and entities
- 🕒 Compliance requirements for public sector
- 🕒 Compliance requirements for private sector

Brief description:

These days Ukrainian legislation on prevention of corruption looks really good and up-to-date. The issue of poor enforcement does not change this fact. So what are the risks for individuals and legal entities engaged in corruption in Ukraine? How much the legislative restrictions and requirements change the public sector? May implementation of obligatory compliance requirements serve as a safeguard for business and non-business entities operating in the unsafe environment?

 **Lecturer:**
Ario Dehghani

Materials

- 👁️ Law on Prevention of Corruption № 1700-VII dated 14.10.2014 (<http://zakon0.rada.gov.ua/laws/show/1700-18>);
- 👁️ Law on State Anticorruption Strategy for 2014-2017 (<http://zakon0.rada.gov.ua/laws/show/1699-18/paran16#n16>);;
- 👁️ State Program of the State Anticorruption Strategy for 2015-2017 Implementation (<http://zakon0.rada.gov.ua/laws/show/265-2015-%D0%BF>).

TOPIC 7. COMPLIANCE SYSTEMS IN GOVERNMENTAL AUTHORITIES IN UKRAINE

Agenda

- 🕒 Nationwide instruments
- 🕒 Central Governmental Bodies
- 🕒 Local Governmental Bodies
- 🕒 Outstanding issues and room for improvement

Brief description:

There are a number of corruption prevention and compliance instruments implemented in the recent years in Government and broadly in public sector. Strategies, programs, policies, compliance officers, transparency requirements and monitoring, ethics rules and many others. How does it work and what shall be improved?

 **Lecturer:**
Ario Dehghani

Materials

- 👁️ Law on Prevention of Corruption # № 1700-VII dated 14.10.2014 (<http://zakon0.rada.gov.ua/laws/show/1700-18>);
- 👁️ Alternative Assessment Report on Efficiency of State Anticorruption Policy 2015 (https://nazk.gov.ua/sites/default/files/docs/nazk_files/doslidzhennya/44.pdf).
- 👁️ Report on Corruption in Ukraine 2017 (https://nazk.gov.ua/sites/default/files/docs/2017/міжнародні%20програми/рівень%20корупції_дослідження.pdf)

TOPIC 8: COMPLIANCE SYSTEMS IN HIGH-RISK PROFES- SIONS IN UKRAINE (LEGAL, HEALTHCARE, CONSTRUC- TION & DEVELOPMENT)

Agenda

- 🕒 Issues in high-risk professions/industries
- 🕒 Ways to address the issues by means of compliance
- 🕒 Share of compliant businesses in currently non-compliant professions/industries: how to change the proportion?

Brief description:

In many countries worldwide there are rankings of the most corrupted professions or industries. In Ukraine there is hardly any not affected by corruption. However, some professions and industries are often considered as corrupt per se. Right values, risk assessment and implementation and enforcement of compliance programs shall change the perception.

Lecturer:

Ario Dehghani

Materials

- 👁 International Bar Association Report on Anti-Corruption Strategy for the Legal Profession: The client perspective (2013) - <https://www.ibanet.org/Article/NewDetail.aspx?ArticleUid=B0F3961A-8928-40BF-97EC-48B74392CEA1>;
- 👁 Corruption in the pharmaceutical sector. Diagnosing the challenges (2016) <http://apps.who.int/medicinedocs/documents/s22500en/s22500en.pdf>;
- 👁 Managing bribery and corruption risks. The real estate, construction and infrastructure industry (2017) [http://www.ey.com/Publication/vwLUAssets/Managing_bribery_and_corruption_risks_in_the_construction_and_infrastructure_industry/\\$FILE/Assurance_%20FIDS_sector_paper_Construction.pdf](http://www.ey.com/Publication/vwLUAssets/Managing_bribery_and_corruption_risks_in_the_construction_and_infrastructure_industry/$FILE/Assurance_%20FIDS_sector_paper_Construction.pdf)

TOPIC 9.

BROADER PERSPECTIVE: TAX AND LABOR COMPLI- ANCE, PROFESSIONALS ETHICS STANDARDS

Agenda

- ▶ Ukrainian reality
- ▶ Ways of transformation for private sector
- ▶ Ways of transformation for public sector

Brief description:

Compliance is far beyond staying away from corruption per se. Compliance is the system of conducting any activity in line with all applicable relevant legal requirements and ethical standards. These include tax, labor, competition, data protection, environmental compliance, as well as compliance with applicable ethical standards. Endemic Ukrainian corruption affected all these areas a lot, thus public and private sectors are in need of mindset change, as well as change of practices and adaptation to the new reality.

Lecturer:

Ario Dehghani

TOPIC 10: COMPLIANCE MONITORING, COMPLIANCE CULTURE AND THE NEW ISO STANDARD 37001

Agenda

- ▶ What are good monitoring tools?
- ▶ How to build up a robust compliance structure?

Brief description:

In my everyday work, I am always asked by clients, how to monitor compliance internally and how to build up a good compliance culture. Both are one of the most challenging things to accomplish in practice, where you need to show deeds and where just words are not enough. We will discuss how to approach these challenges, also in Ukraine.

Lecturer:

Ario Dehghani.

Materials

- 👁 The FCPA guide (<https://www.justice.gov/criminal/fraud/fcpa/guidance/guide.pdf>)

TOPIC 11: DATA PROTECTION: A GROWING ISSUE OF COM- PLIANCE

Agenda

- ① What importance has data protection worldwide and in Ukraine?
- ② The Ukrainian data protection obligations.
- ③ Other law regimes influencing Ukrainian data protection approach (e.g., the GDPR).

Brief description:

Within the last 2-3 years, data protection became a hot topic for business and the public sector, especially in Europe. The Ukrainian data protection law is mainly based on the current applicable EU Directive for Data Protection. Based on its more less copy-paste implementation into Ukrainian law, not many understand in our country the importance of this law and to comply with it.

Lecturer:

Ario Deghani.



Materials

- 👁 Ukrainian law on Data Protection (<https://cedem.org.ua/en/library/law-on-protection-of-personal-data/>)
- 👁 EU Directive (<https://eur-lex.europa.eu/LexUriServ/LexUriServ.do?uri=CELEX:31995L0046:en:HTML>)
- 👁 The GDPR (<http://eur-lex.europa.eu/legal-content/EN/TXT/PDF/?uri=CELEX:32016R0679&from=de>)

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LECTURER



Ario Dehghani

Practices

- compliance
- data protection and privacy
- EU law
- German desk

Industries

- FMCG and retail
- food and beverage
- pharmaceuticals and medical devices

Ario Dehghani has over 10 years of professional experience in the fields of compliance, data protection and privacy, white collar investigations and EU law. Ario worked for more than seven years at the Hogan Lovells' Munich office, where he focused on white collar, compliance and internal investigations. Ario Dehghani is one of the most experienced experts in Ukraine in preventing, identifying, eliminating and mitigating compliance risks at both national and global levels. He advises clients on all types of compliance matters and regularly handles sophisticated internal investigations related to, amongst others, FCPA and UK Bribery Act issues. His areas of expertise cover anti-bribery, anti-corruption, anti-money laundering, sanctions, data protection, regulatory and product compliance matters. Ario is also adept at performing compliance due diligence, implementing and auditing internal compliance systems, conducting compliance investigations and delivering customised training for in-house compliance officers. He has extensive experience across a variety of sectors, including the chemical, life science, electronic, IT, automotive, consumer goods and energy sectors.

Ario provides courses on German private and public law and holds open lectures on Compliance and EU law topics. He is a Co-Director of the Institute of German Law at the National University Kyiv-Mohyla Academy (NaUKMA), an interdisciplinary institution of comparative research with a focus on German and Ukrainian law..

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