

Corporate Compliance Resources on Practical Law

Below is a list of essential Practical Law resources to help you get up to speed on the basics. These helpful resources include:

- [Practice Notes](#): Plain language, how-to-guides.
- [Standard Documents](#): Sample templates of pleadings, motions, and other documents that include helpful drafting notes which provide guidance and direction.
- [Checklists and Flowcharts](#): Process oriented guides to give you a quick overview of required steps for various issues.

[Advantages of Implementing a Legal Compliance Program – Practice Note](#)

Learn the key advantages of implementing an effective legal compliance program. Topics addressed include preventing violations of law and the potential consequences of violations, reducing liability for misconduct, improving company operations, building stakeholder trust, and positioning compliance as a strategic partner.

[Antitrust Compliance Programs – Practice Note](#)

We have outlined the key issues related to creating and maintaining an antitrust compliance program, including the chief objectives and essential features of an effective program. This Note also discusses the role of compliance programs in prevention, detection, and mitigation of potential antitrust violations, as well as in potential leniency applications and fine reductions for detected offenses.

[Core Elements of an Export Compliance Program – Practice Note](#)

Learn more about the processes that companies should implement to ensure that they are in compliance with US export laws and regulations, including a brief overview of export control laws, outlines export compliance activities, and describes the steps that an organization should take as it develops a compliance program. Those steps include communicating management commitment, establishing an export compliance team, developing policies and procedures that fit the needs of the organization, and ongoing auditing and risk assessment.

[Developing a CSR Supply Chain Compliance Program – Practice Note](#)

Know more about what key points to consider when developing and implementing a corporate social responsibility (CSR) supply chain compliance program, including preliminary steps a company should take before drafting CSR policies and procedures, such as assessing relevant CSR laws and other supply chain risks and assembling a CSR program design and compliance team.

[Developing a Legal Compliance Program – Practice Note](#)

Learn the key points to consider when developing, implementing, and maintaining a legal compliance program, including tone from the top, the role of chief compliance officer, coordination of internal resources, geographic and cultural challenges, risk assessment, hallmarks of an effective program, integration of mergers and acquisitions, program documentation, and risk-based due diligence.

[Developing a Legal Compliance Program - Checklist](#)

This Checklist outlines the key steps to take and the principal issues to consider when developing, implementing, and maintaining a legal compliance program. It addresses program benefits, tone from the top, the role of chief compliance officer, coordination of internal resources, geographic and cultural challenges, risk assessment, hallmarks of an effective program, integration of mergers and acquisitions, program documentation, and compliance as a strategic partner.

[Developing a Privacy Compliance Program – Practice Note](#)

Learn how to develop a privacy compliance program, including the key drivers for developing a privacy compliance program, options for structuring the privacy office, and developing a privacy compliance framework. In addition, get information around privacy by design and key resources that businesses may consult in developing their privacy compliance programs, such as the fair information practices principles and privacy guidance issued by the Federal Trade Commission (FTC).

[The Foreign Corrupt Practices Act: Overview – Practice Note](#)

Understand the anti-bribery provisions of the Foreign Corrupt Practices Act (FCPA) and outlines how companies can avoid enforcement actions under the law.

[OFAC, USA PATRIOT Act and other Anti-Terrorism Regulations Relevant for Lenders – Practice Note](#)

This helpful guidance discusses anti-terrorism and other requirements under the USA PATRIOT Act, the rules of the Office of Foreign Assets Control and other federal legislation that lenders should be aware of when negotiating representations and covenants in loan agreements.

[US Anti-Money Laundering and Trade Sanctions Rules for Financial Institutions – Practice Note](#)

Learn more about the US anti-money laundering (AML) and trade restriction rules applicable to banks. Topics include both the Bank Secrecy Act (BSA) requirements and the Office of Foreign Assets Control (OFAC) trade sanctions requirements.

[Conflict Minerals Diligence – Practice Note](#)

Gain information and guidance on the diligence required by the conflict minerals rule, Rule 13p-1 under the Exchange Act and Form SD.

[Criminal and Civil Liability for Corporations, Officers, and Directors – Practice Note](#)

An overview of the potential criminal and civil liability that corporations, officers, and directors may face resulting from actions taken by corporate personnel. In addition, this guide offers practical advice to mitigate the risk of criminal and civil liability for corporations, officers, and directors.

[Corporate Governance Standards: Code of Ethics or Conduct – Practice Note](#)

A discussion of the corporate governance standards relating specifically to a company's code of ethics or business conduct as established by the SEC, the NYSE and NASDAQ, including the Sarbanes-Oxley requirement that public companies disclose and describe their code of ethics for senior officers.

[Environmental Law: Overview – Practice Note](#)

An overview of the environmental regulatory framework and the major environmental statutes that impact businesses, as well as the types of liability imposed on violators of these laws and regulations.

[Handling Employment-Related Internal Investigations – Practice Note](#)

Learn more about the internal investigations of employee misconduct, including the types of workplace issues warranting an investigation, legal risks associated with conducting an investigation, and best practices for conducting an investigation. This guide outlines the steps to take when conducting an internal investigation and post-interview activities, and addresses federal law.

[Internal Investigations: US Privilege and Work Product Protection – Practice Note](#)

Gain guidance for in-house lawyers involved in internal corporate investigations to ensure the proper creation and maintenance of the attorney-client privilege and work product protection over communications made or documents created during the investigation.

[M&A Due Diligence: Assessing Compliance and Corruption Risk – Practice Note](#)

Learn more about the need for, and methods of, assessing corruption risk in the context of mergers and acquisitions.

["Up-the-Ladder" Reporting Obligations for Attorneys Appearing and Practicing Before the SEC – Practice Note](#)

An overview of the "up-the-ladder" reporting rules adopted under the Sarbanes-Oxley Act for attorneys appearing and practicing before the SEC. This guide explains who is subject to the rules, what types of conduct trigger a reporting obligation, the responsibilities of supervisory and subordinate attorneys and potential sanctions.

[Whistleblower Protections Under Sarbanes-Oxley and the Dodd-Frank Act – Practice Note](#)

Gain a description and understanding of the whistleblower provisions of the Sarbanes-Oxley Act of 2002 (SOX) as modified in 2010 by the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act) and the whistleblower provisions set forth in the Dodd-Frank Act.