

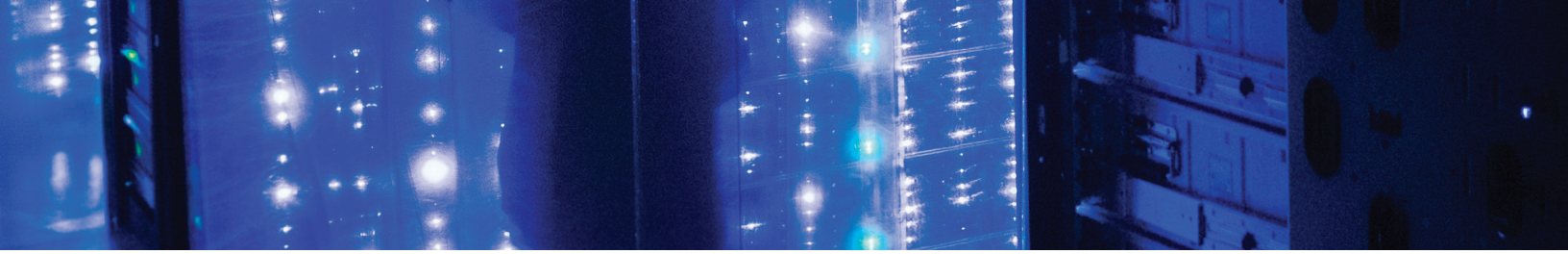
A man and a woman in professional attire are in a server room. The woman is holding a laptop and pointing at the screen, while the man looks on. The background shows server racks with a blue glow.

EY Virtual Ethics and Compliance Manager

Your world, running on ours,
better.



Building a better
working world



Overview

Compliance, litigation and ethics functions are under pressure to transform their operating models and achieve greater efficiency. Even in a post-pandemic world, many businesses continue to use manual processes to meet their reporting requirements, adding time, resources and expense.

These gaps became more apparent with the acceleration of digitalization across most parts of organizations and an increased reliance on digital operations during the COVID-19 outbreak. As a result, many firms are leveraging managed services to help bridge gaps in their internal capabilities. For many businesses it is a cost-effective, value-added way of running a business to drive operational transformation and achieve better returns and long-term growth.

A managed services model has several advantages. It provides firms with special skills, processes and technology that easily integrate with the business and can scale quickly. It also allows firms to optimize resources. By using the global delivery centers of an outsourcing advisor to manage routine tasks and operations, companies can free up their management teams to focus on more strategic priorities.

EY Forensic & Integrity Services' Virtual Ethics and Compliance Manager helps compliance and litigation professionals accelerate the digitization journey. With innovative technology and access to domain resources, EY teams quickly transform your business operations. Key benefits include the following:

- ▶ Access to subject-matter resources with extensive industry knowledge
- ▶ Deep technology competencies without the heavy up-front investment or cybersecurity concerns
- ▶ The agility to rapidly build a scalable model with well-managed transitions and strong governance structures





Solutions

EY Virtual Ethics and Compliance Manager helps companies improve their operations and strengthen resilience by digitalizing compliance, legal and ethics functions. EY delivery models are agile and customizable to best address our clients' needs. Other benefits include the following:

Flexible talent models

Managed services teams can be deployed nearshore, offshore or a combination of the two.

Multilingual teams

EY global professionals have deep knowledge in technology and enabling applications and serve clients in multiple languages.

Secure and accessible platform models

By using a subscription-based service model, EY teams offer a secure, cost-effective and reliable platform that scales with your business.

Hybrid and custom models

EY teams are made up of professional skills and customize technology to fit your current and future business needs, combining people or assets, or a combination of the two.

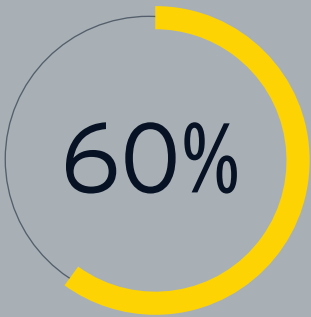
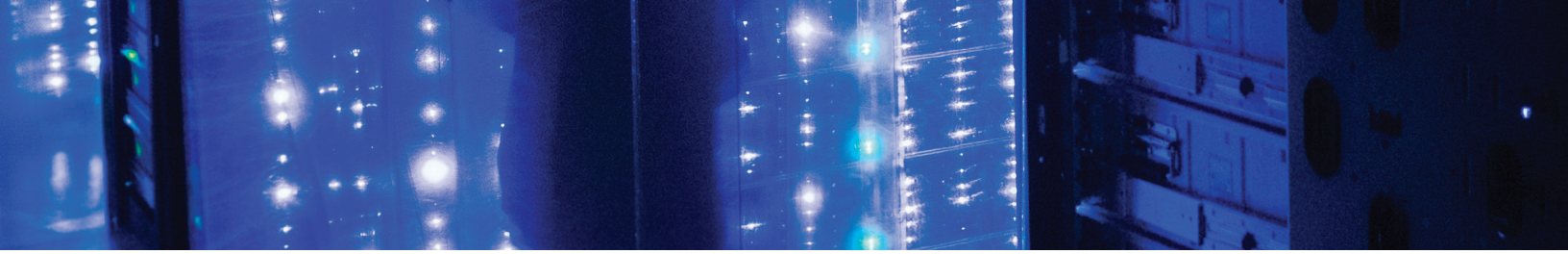
Resource optimization

Leveraging the breadth of EY teams' collective experience, EY professionals teams quickly assess your needs and align the right talent and investment model to achieve the desired results.

Representative services under EY Virtual Ethics and Compliance Manager

- ▶ Ethics and compliance operations
- ▶ Investigative outsourcing and fraud data analytics
- ▶ Litigation management - eDiscovery and managed document review
- ▶ Third-party due diligence
- ▶ Data privacy and information governance
- ▶ Cyber forensics: incident response, computer, mobile and network forensics
- ▶ Financial crime and anti-money laundering (AML) compliance





60% of companies plan to increase investments in forensic technology for compliance and integrity frameworks.¹

¹ Reshaping the future of compliance with emerging technologies July 2021

EY Virtual: the EY Forensics technology platform

EY Virtual is a modular management and monitoring platform and is the backbone of EY Virtual Ethics and Compliance Manager. It allows you to accelerate the digital transformation of your legal and compliance program, and scale and adapt in response to events or as your business grows.

Hosted on the Microsoft Azure cloud environment, the platform allows for both cloud and on-premises deployment in a secure environment. It provides prepackaged or client tailored applications, client workspaces, connection to third-party applications – at speed and scale in one location.

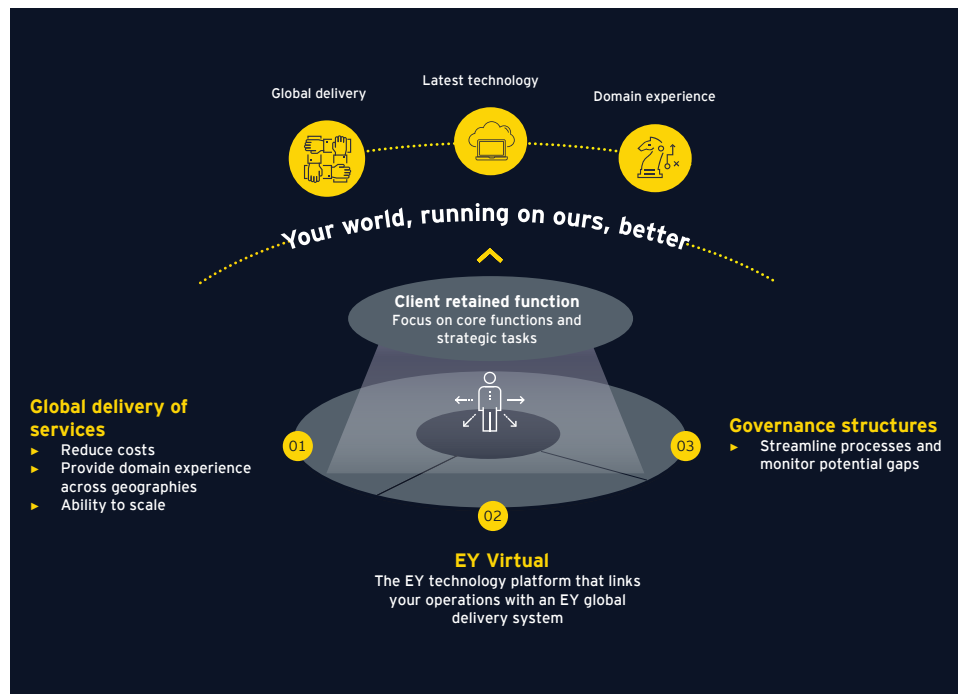
EY Virtual offers the ability to consolidate a wide range of data sources with multiple deployment and data-hosting options. It has the capacity to integrate with legacy systems and new technologies alike. With EY Virtual, your business gains a unified data and technology platform to serve enterprise-wide compliance and investigative needs.

Businesses are adopting managed services

- ▶ 91% are open to implementing managed services
- ▶ 81% are very positive about changing to a managed services arrangement
- ▶ 56% would shift some of their consulting work to a managed service model if offered such an arrangement

Managed Services.
Source Global Research, 2019

EY Virtual Ethics and Compliance Manager





EY Virtual Ethics and Compliance Manager – client stories

Centralized global ethics and compliance operations

A global pharmaceutical company sought to streamline its risk function and global compliance operations by centralizing resources in one location. This involved handling over 200 activities that fell under the compliance function – a very labor-intensive process.

EY professionals supported the client with a Build Operate Transfer Model where the team provided staff from a centrally located office to run these activities. The firm continued to support the client by introducing process optimization and new governance structures. The transition is being managed in waves. Once operations are stable, the client can opt to transfer management of these services to its internal teams with an anticipated 20% operating expense reduction.

Designing a compliance analytics program

A US industrial conglomerate wanted to monitor compliance and business risk across various areas. This involved collecting 300+ datapoints, from multiple markets and divisions with robust audit trails required for regulatory reporting purposes.

EY Virtual was used to create a compliance analytics program based on automated collection and tagging of data and automated tracking/recording of exceptions. The client was able to establish an industry-leading risk management program enabled by data, analytics and technology, as mandated by the federal regulatory authority.

Automated data protection and privacy compliance

A large European automotive manufacturer wanted to automate the process of managing 300+ suppliers' data protection and privacy compliance according to the General Data Protection Regulation (GDPR) guidelines. The client looked to the EY team for an asset-based managed service.

EY professionals developed and deployed a broad solution for the entire due diligence process, along with continuous monitoring to achieve operational efficiencies of 25%. Additionally, the EY team replaced the client's SharePoint solution with a data-driven, workflow-centric managed service solution that has led to more effective regulatory compliance.



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EY | Building a better working world

EY exists to build a better working world, helping to create long-term value for clients, people and society and build trust in the capital markets.

Enabled by data and technology, diverse EY teams in over 150 countries provide trust through assurance and help clients grow, transform and operate.

Working across assurance, consulting, law, strategy, tax and transactions, EY teams ask better questions to find new answers for the complex issues facing our world today.

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About EY Forensic & Integrity Services

Embedding integrity into an organization's strategic vision and day-to-day operations is critical when managing complex issues of fraud, regulatory compliance, investigations and business disputes. Our international team of more than 4,000 forensic and technology professionals helps leaders balance business objectives and risks, build data-centric ethics and compliance programs, and ultimately develop a culture of integrity. We consider your distinct circumstances and needs to assemble the right multidisciplinary and culturally aligned team for you and your legal advisors. We strive to bring you the benefits of our leading technology, deep subject-matter knowledge and broad global sector experience.

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