

## **Catus Service Description in Detail**

### **Compliance & Corporate Criminal Law**

Development and implementation of Compliance Management Systems (CMS) according to current auditing standards (IDW PS 980, ISO 19600, ISO 37001, ISO 3701, U.S. Foreign Corrupt Practices Act, UK Bribery Act)

Implementation of compliance risk analyses (risk evaluation, action plan development)

Implementation of compliance 'health checks' (overall analysis and evaluation of a compliance program)

Acting as ombudsperson for companies

Evaluation of allegations of misconduct in the company and consulting on how to proceed in the event of compliance violations (suspicion management)

Review of the existing whistleblower process for changes required in connection with the EU Whistleblower Directive (guidelines, company agreement, differentiation from other reporting channels, responsibilities, etc.)

Consulting companies on compliance, whistleblower protection and data protection

Consulting on current legislative and regulatory projects: German Corporate Liability Act (Verbandssanktionengesetz, VerSanG), Act on Corporate Due Diligence Obligations in Supply Chains (Lieferkettensorgfaltspflichtengesetz, LkSG), EU Whistleblower Directive and Whistleblower Protection Act (Hinweisgeberschutzgesetz, HinSchG), etc.

Development of processes for third party management (business partner compliance)

Analysis of compliance risks in the supply chain (including preparation for German Corporate Due Diligence Obligations in Supply Chains Act)

Consulting on money laundering prevention

Conducting internal investigations

'Country visits' to foreign companies to assess compliance program and risks (e.g. in subsidiaries)

Implementation of compliance due diligence projects (compliance consulting in the corporate acquisition and integration process)

Development and implementation of a compliance monitoring system

Development of compliance training and communication concepts, implementation of training courses (management, employees, business partners, etc.), compliance surveys

External compliance officer or interim compliance manager to support compliance and legal departments

Consulting on human rights compliance, corporate social responsibility (UK Modern Slavery Act, CSR reporting obligations, etc.)

Project Management Compliance

Training courses in compliance (for Compliance Officers, Management, Employees, Business Partners)

Anti-corruption consulting for companies

Consulting on issues pertaining to corporate criminal law

Consulting on liability risks of senior management

Consulting foreign companies on German criminal law (e.g., to assess possible misconduct in German subsidiaries or investigations by German authorities)

Consulting on how to prepare for official investigation measures (search and seizure, 'dawn raids')

## **Healthcare Compliance**

Development and implementation of healthcare compliance programs pursuant to criminal and competition law (taking into account the codes of associations for self-

regulation such as the association “Freiwillige Selbstkontrolle für die Arzneimittelindustrie e. V.” (voluntary self-regulation for the pharmaceutical industry, FSA), the association “Arzneimittel und Kooperation im Gesundheitswesen” (pharmaceuticals and collaboration in the healthcare sector, AKG) or the Bundesverband Medizintechnologie e. V. (German Medical Technology Association, BVMed))

Consulting on the implementation of interactions between the pharmaceutical industry, healthcare professionals, and patient organizations (contract preparation, documentation requirements, etc.)

Development of internal compliance guidelines and standard processes for the pharmaceutical industry (for example, approval and documentation processes for interactions with healthcare professionals and patient organizations)

External Healthcare Compliance Officer

Healthcare Compliance Project Management

Training courses for compliance officers, the company’s management, employees, including sales representatives, in healthcare compliance topics

Consulting on compliance with transparency requirements in accordance with the FSA and AKG codes

## **Data Protection**

Development and implementation of data protection programs in accordance with the requirements of the EU GDPR and the German Federal Data Protection Act

Implementation of compliance ‘health checks’ on data protection (overall analysis and evaluation of a data protection program)

Consulting on the issues pertaining to data protection

Data Protection Project Management

Data protection training courses

External Data Protection Officer



## Contact

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