

## Practical Strategies for Conducting Effective and Ethical Anti-Corruption Risk Assessments in High Risk Jurisdictions

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## Q & A with Industry Leaders

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- Mark Morrison, Partner, Blake, Cassels & Graydon LLP
- Jonathan Drimmer, Partner, Paul Hastings LLP, and former Deputy General Counsel and Chief Compliance Officer, Barrick Gold Corporation
- John Vanderbeek, Vice-President Compliance, Kinross Gold Corporation
- Kristine Robidoux, Senior Compliance and Regulatory Counsel, Gran Tierra Energy Inc.

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## Risk Assessments Introduction

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Can you describe your company's (or former company's) approach to risk assessments?

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## Risk Assessments Introduction

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What are some of the biggest challenges you face when conducting risk assessments and how do you overcome those challenges?

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## Risk Assessments Introduction

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Why do you engage external counsel to conduct a risk assessment

What are your general practices for engaging external counsel?

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## Securing buy-in from the Company

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What strategies do you have to secure buy-in from the top?

What do you do if you encounter business executives who don't necessarily understand the importance of risk assessments, or why they are necessary?

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## Securing buy-in from the Company

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Do you have tips for achieving buy in from lower level personnel, who are often the ones on the front lines and in the roles that carry the most risk?

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## Securing buy-in from the Company

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Have you experienced any particular cultural issues with getting buy-in from overseas employees?

What strategies have you used to address these challenges?

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## Conducting Risk Assessments

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What are some of your recommended best practices for approaching interviews?

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## Conducting Risk Assessments

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What strategies do you have for dealing with personnel who you suspect are not being fully candid because of their lack of familiarity with you?

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## Conducting Risk Assessments

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Do acute issues arise during risk assessments that require attention prior to the reporting stage? Can you provide some examples, as well as how they were addressed?

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## Conducting Risk Assessments

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After the risk assessment has been completed, what are some of the biggest challenges you have faced with implementing the findings?

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## Conducting Risk Assessments

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How often should a risk assessment be completed and when are some key times to conduct one?

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## Whistleblowing and Risk Assessments

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When conducting a risk assessment, what do you look for in a whistleblower program?

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## Whistleblowing and Risk Assessments

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How has the rise in whistleblowing affected risk assessments and how they are carried out?

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## Dealing with the Authorities

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When dealing with the authorities in your jurisdiction (DOJ or RCMP), what are the top questions they have about risk assessments?

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## Dealing with the Authorities

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When the DOJ or RCMP are assessing the strength of a compliance program, how do they view risk assessments?

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## Conclusion

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Any other advice?

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# Conclusion

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Questions?

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