



Transparency & Compliance Practices in MNEs and *Multilatinas*.

**Country Managers. Latin America.
2011**

**Center for Governance and Transparency
IAE Business School**

**Director:
Prof. Matthias Kleinhempel**

July 2011 - Buenos Aires

Methodology

Specifications

- **Unit of analysis:**
MNE's subsidiaries in Latin America
- **Respondents:**
Country Managers
- **Methodology:** Quantitative Research
- **Data recollection:** self-administered survey
- **Instrument:** electronic structured questionnaire
- **Sample:** Discretionary.
- **Sample size:** 121 cases
- **Date:** September 2010 – Mayo 2011

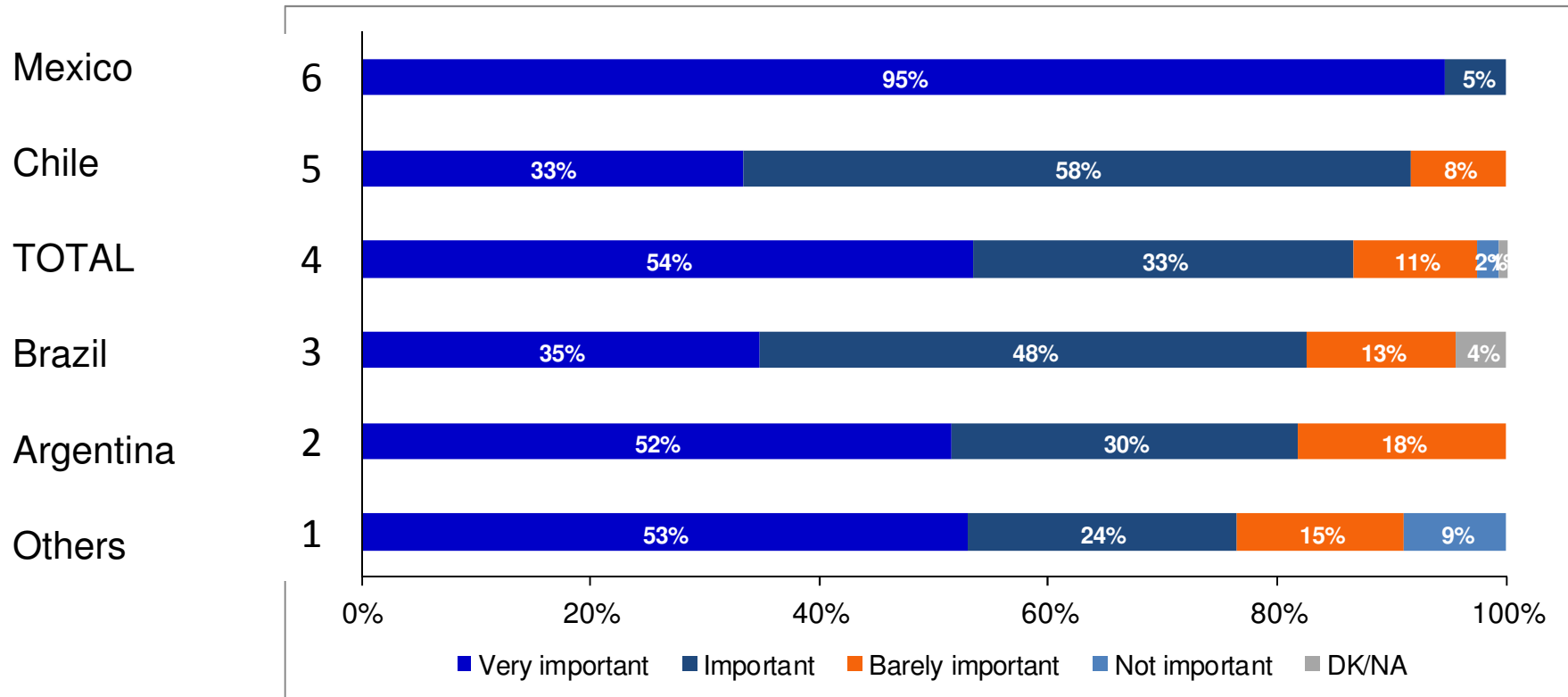


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Highlights

Importance of compliance

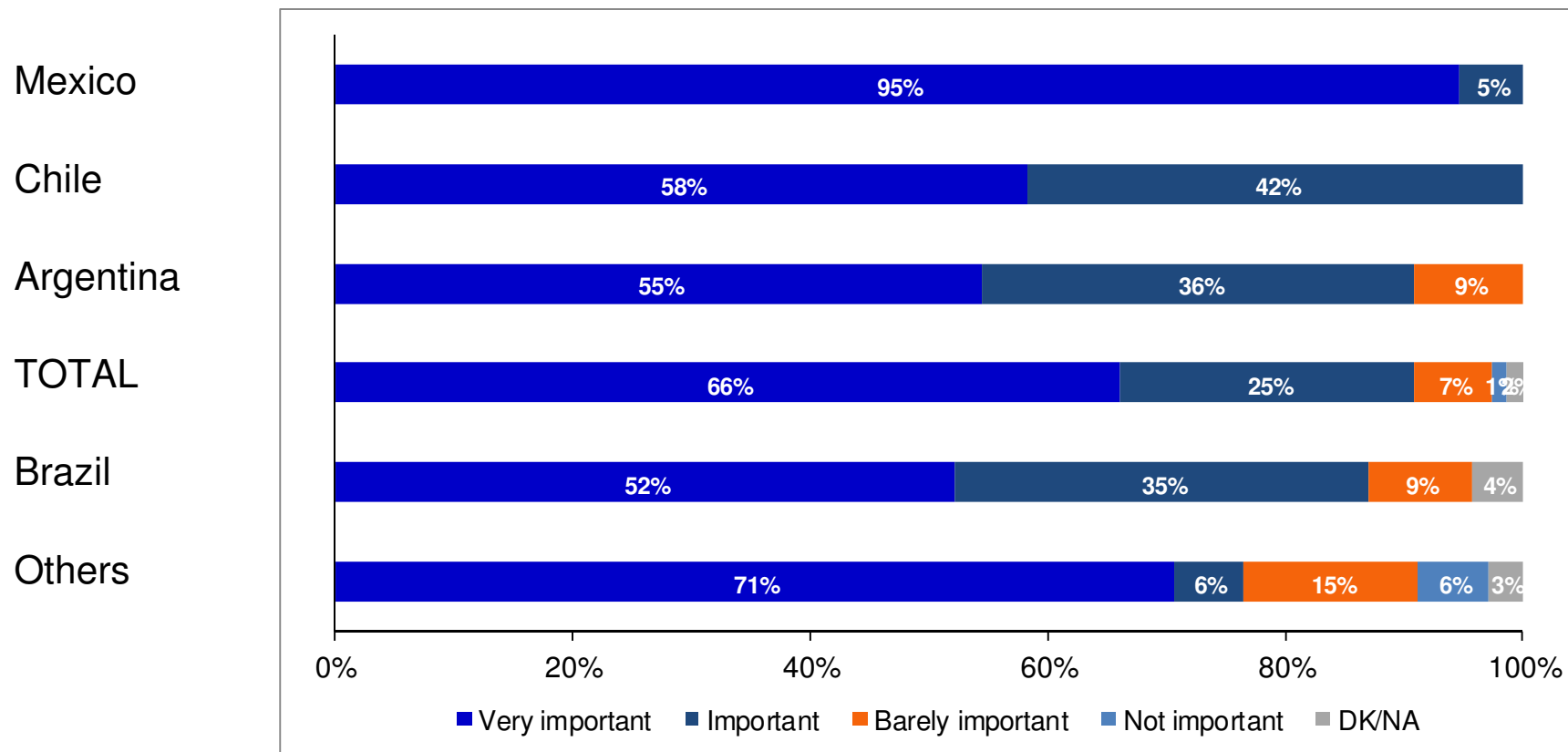
In your opinion, how important is compliance for competing in your industry? (in %)



Base: all country managers

Importance of compliance (cont.)

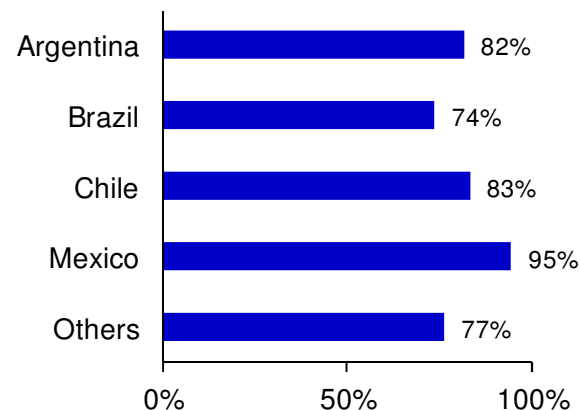
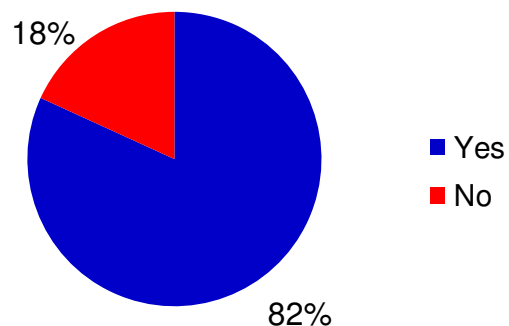
In your opinion, how important is the role of compliance in your company? (in %)



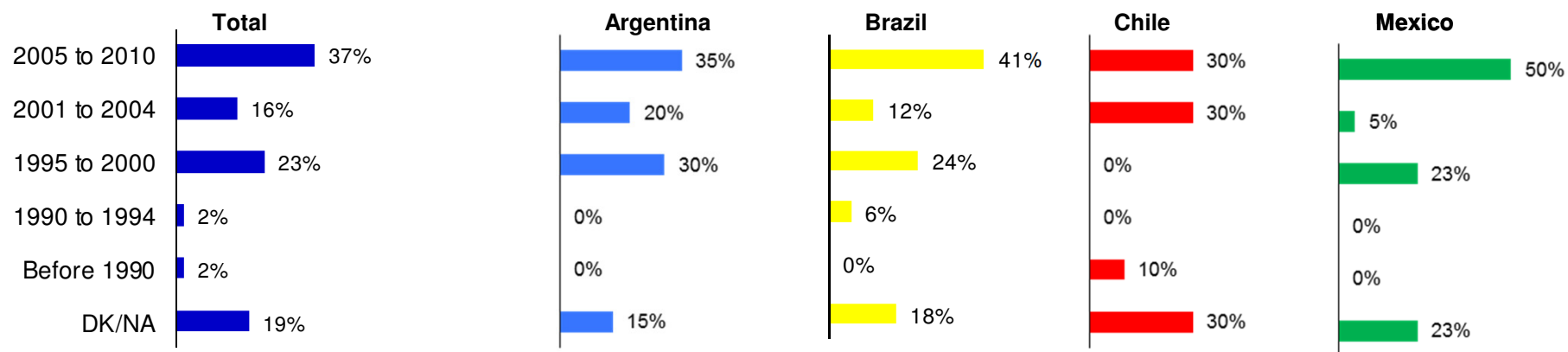
Base: all country managers

Existence of a formal compliance/ethics program

Does your company have a formal compliance/ethics program?



In which year was the program implemented?



Base: all cases by country

Main aspects of the formal compliance/ethics program

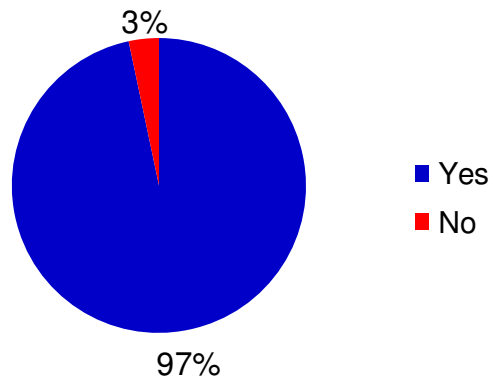
Which are the main aspects of your company's formal compliance/ethics program? (open, multiple answer)



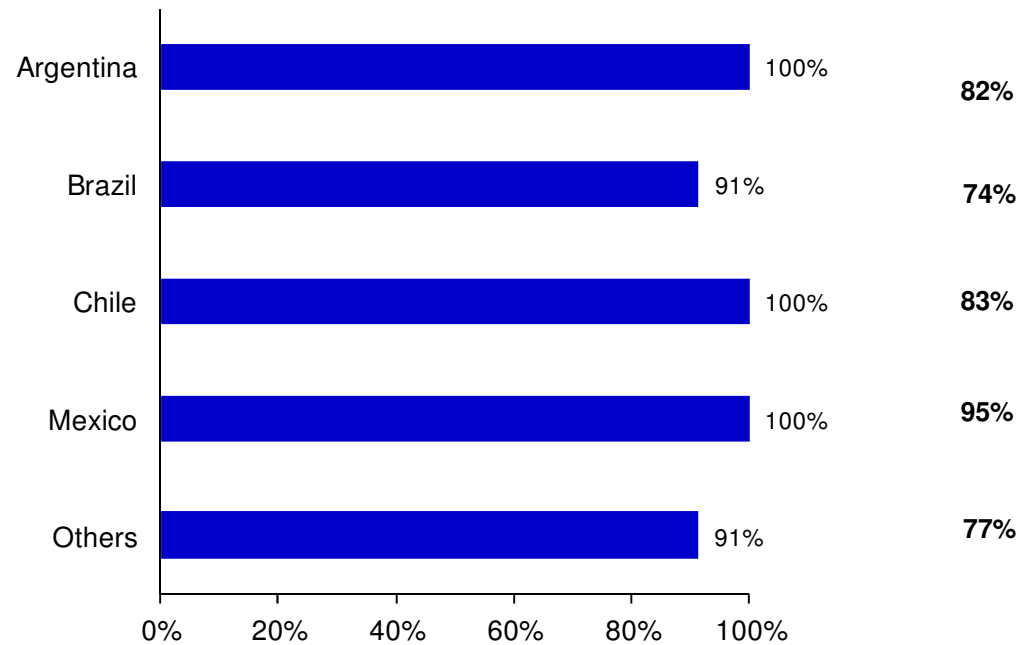
Base: all respondents who acknowledge the existence of a formal compliance program in their companies (99 cases)

Existence of code of conduct

Does your company have a Code of Conduct?



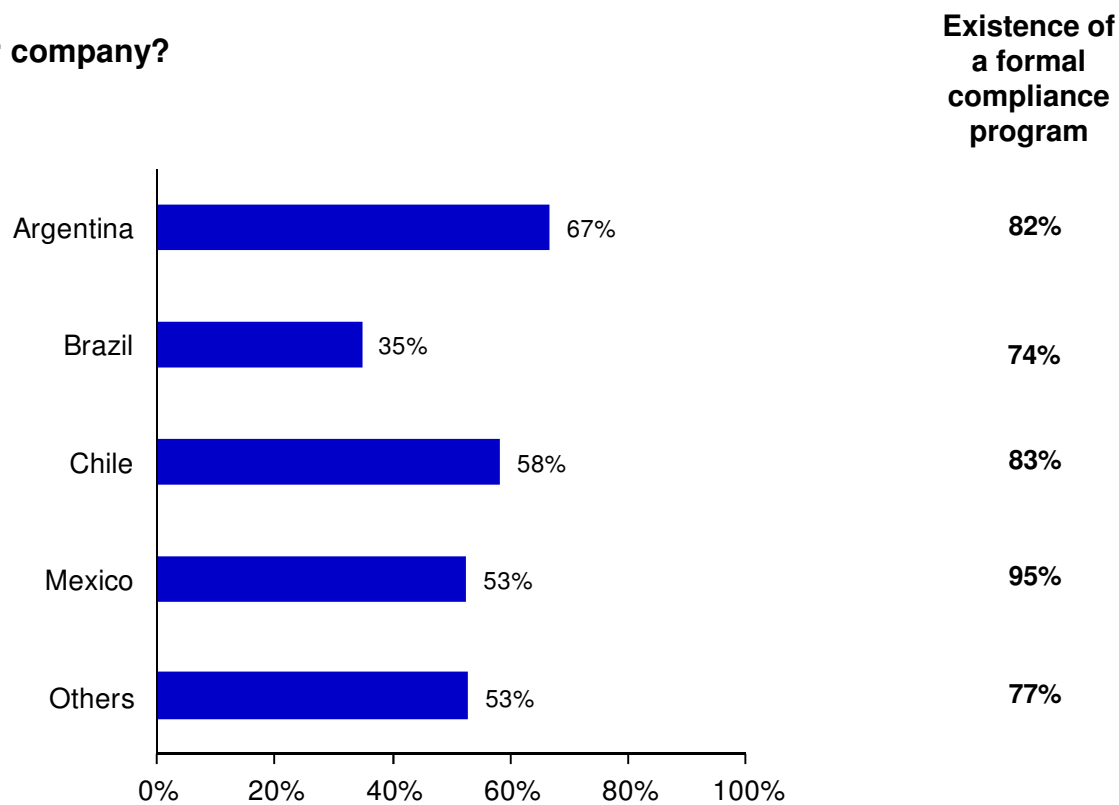
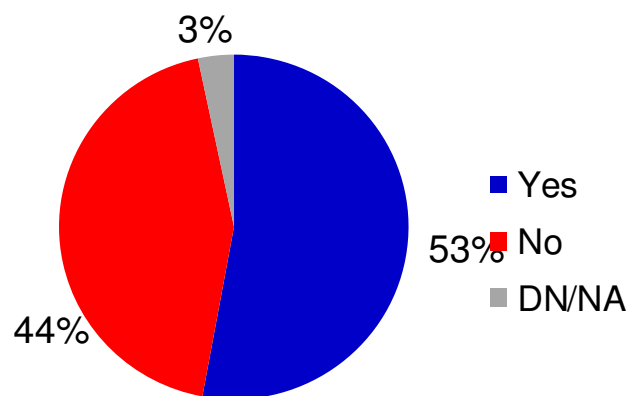
Existence of a formal compliance program



Base: total and by country

Existence of a compliance officer

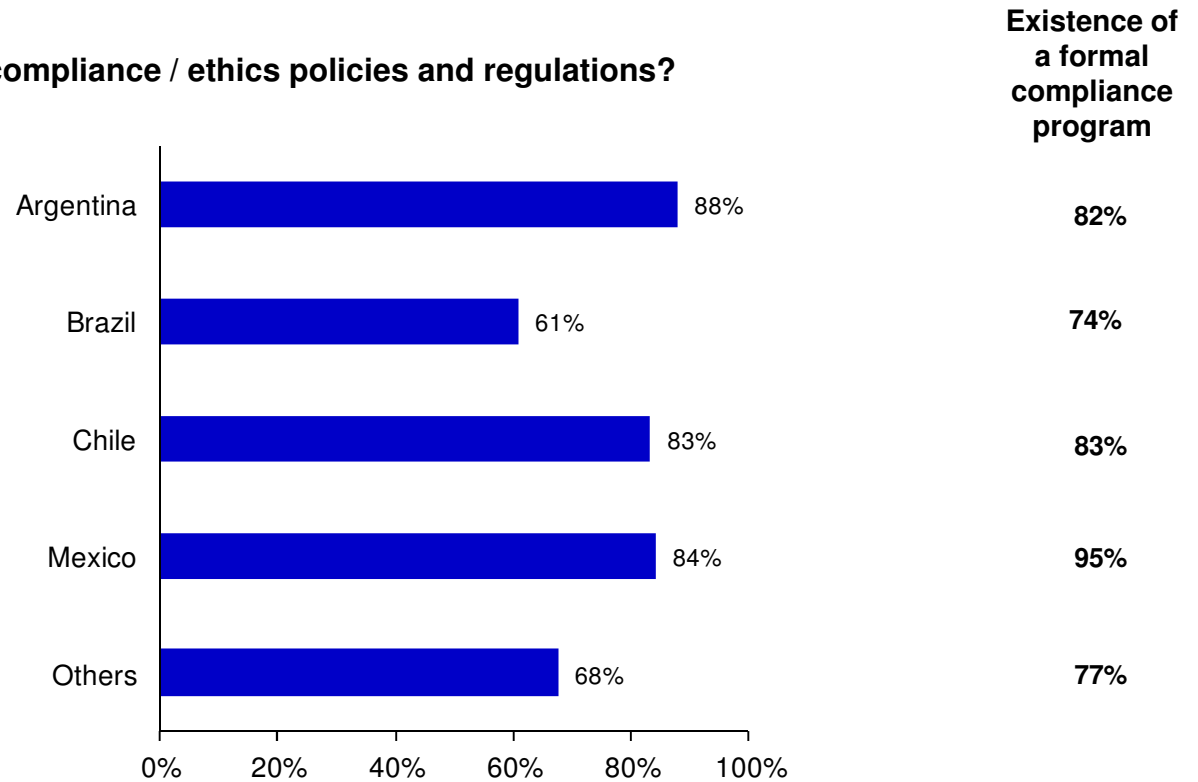
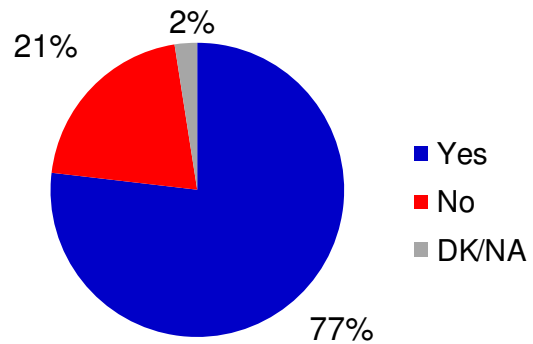
Do you have a compliance officer in your company?



Base: total and by country

Training in compliance/ethics policies

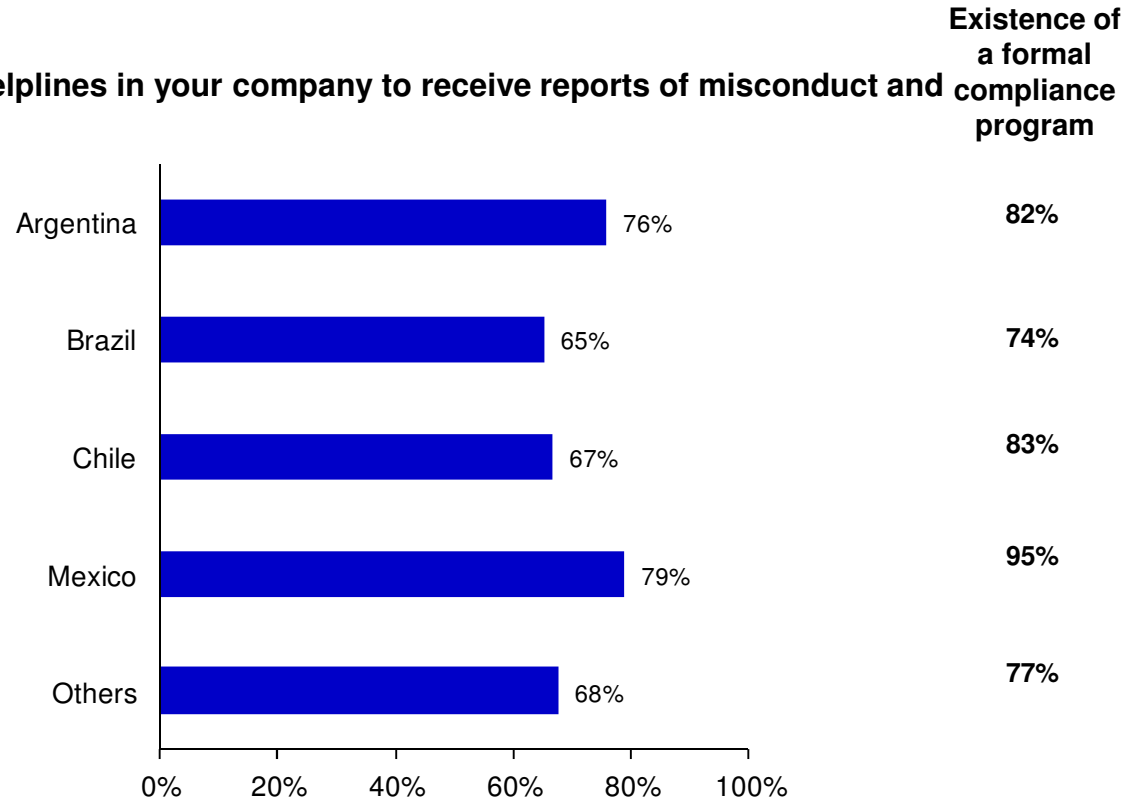
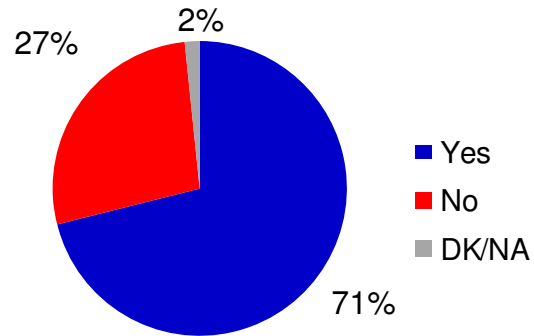
Does your company train employees in compliance / ethics policies and regulations?



Base: total and by country

Other control mechanisms

Are there Whistleblower lines and/or helplines in your company to receive reports of misconduct and doubts regarding compliance issues?



Base: total and by country

Opportunities for improvements in compliance practices

In your opinion, which of the following topics are the most important ones in order to improve compliance practices in your country?

