



COMPLIANCE MANAGEMENT SOLUTION

Managing Global Compliances
Seamlessly

BDO India
2025

BDO

The increase in regulatory enforcement in India has catapulted risk compliance on top of board, management and audit committee agendas, e.g. ICAI's Code of Ethics for professional obligations and ethical responsibilities introduced NOCLAR requirements (Section 260 and 360 in Volume I) for members in practice or service, effective from 1 October 2022 for listed companies. Accountants may encounter NOCLAR instances while providing services to clients (audit engagements for listed companies with net worth > INR 250 crores) or working for employers (accountants of all listed companies).

With changing regulatory requirements and increasing costs of legal suits and fines & penalties, successfully managing compliance is increasingly gaining importance to enable businesses to reduce the risk of fines, penalties, litigations, formal enforcement actions and work stoppages/ shutdowns of business.

IMPACT ON BUSINESS DUE TO NON-COMPLIANCE TO LAWS



- License revocation
- Heavy penalties
- Imprisonment of KMP
- Reputation losses
- Employee attrition

WHY BDO INDIA'S COMPLIANCE MANAGEMENT SOLUTION



Identifies the regulatory universe and creates central monitoring of all regulatory obligations



Establishes an authority & responsibility matrix



Easy to implement, user friendly, Based on cloud (no IT infrastructure required from company)



Reduces risks with proactive monitoring

FEATURES	
Legal know how	<ul style="list-style-type: none"> ▪ Converting laws to actionable compliance ▪ Comprehensive coverage, no language constraints, interpretation available ▪ Availability of expert legal advisor with knowledge of local laws
Multiplicity of laws	<ul style="list-style-type: none"> ▪ Basis geographies, jurisdictions, regulators, locations, industry, nature of business, etc.
Increasing legal complexities	<ul style="list-style-type: none"> ▪ Frequent changes in laws ▪ Introduction of new regulations ▪ Availability of information
Data consolidation & management	<ul style="list-style-type: none"> ▪ Tracking applicability and reporting of compliance entity, business, location, department wise while ensuring secure and audit-able data
Reporting requirements	<ul style="list-style-type: none"> ▪ Generating multiple compliance reports for AGM & board meetings, audits, M&A, loans, due diligence, etc. ▪ Pivot reporting / user need based reporting option
Compliance coordination and advisory	<ul style="list-style-type: none"> ▪ Internal - Within teams, departments, geographies, group companies, etc. ▪ External - Clients, vendors, service providers, auditors, etc.

COMPLIANCE MODULES

Basis the nature of action, compliances can be bifurcated into four categories:

ONE TIME Licenses, Approvals, Registrations, etc.	RECURRING Monthly, Quarterly, Bi-Annual, Annual Filings	EVENT BASED Secretarial & Non-Secretarial Corporate Actions	ONGOING Registers, Procedures, Displays, Provisions, etc.
<ul style="list-style-type: none"> Licenses, Approvals, Registrations & Certifications required during commencement of business, office, service, product line etc. The solution enables the requirements to appear in a loop basis the date and duration of approval granted. 	<ul style="list-style-type: none"> Filings under various laws remain a key concern for any CXO. Further, not having a consolidated and vetted calendar covering all obligations adds to the concern. The solution is designed to auto-trigger on a particular due date in the calendar. 	<ul style="list-style-type: none"> Intelligently identifies and assigns obligations from applicable laws for 500+ corporate events and auto assigns them to relevant users. The solution provides descriptive notes, events and procedures on 130+ Companies Act Events. 	<ul style="list-style-type: none"> It is imperative for SMEs to comply with all laws throughout their operations. The solution provisions for self-assessment surveys triggered on a pre-set frequency.

COMPREHENSIVE APPROACH

LEGAL COVERAGE IN INDIA

The solution provide holistic coverage across all laws applicable to businesses:

50+ Acts	100+ Acts	400+ Acts	100+ Acts
Corporate & Secretarial	Finance & Taxation	HR, Labour & Employment	Commercial & Admin
40+ Acts	50+ Acts	10+ Acts	300+ Acts
IT, Data & Others	Health & Safety (EHS)	Anti Trust, Corruption++	Industry Specific

SUPPORT COVERAGE

 Technical & legal support	 Trainings & hand holdings
 Application reconfiguration	 Legal cum technical R&D
 Legal consulting	 Compliance audits

COVERAGE FOR ALL AREAS OF LAW

Federal	Immigration	Health & safety
State	Data protection	Industry specific
Labour & Employment	Taxation	Foreign investments
Finance	Commercial	Intellectual property
Local / municipal	Trade laws	
Corporate Laws	Environment	

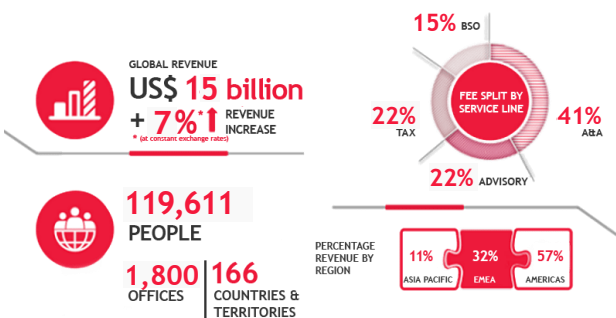
*The solution is provided by BDO India in collaboration with a technology partner

KEY FUNCTIONALITIES & ADD ON MODULES

Compliance Certificate (HODs>>CCO>>BODs)
Companies Act Procedures (Updated with recent changes)
Legal Articles & Research Papers (New laws, legal challenges)
Internal Compliance Module (Flexible & agile) Customised forms & templates - Add new columns, drop downs create, edit, duplicate & allocate compliance Create multiple Use Cases & Custom Templates to manage Litigations - Notices - Agreements - Internal Tasks - Loan Covenants - Controls - Documents - Others

ABOUT BDO GLOBAL

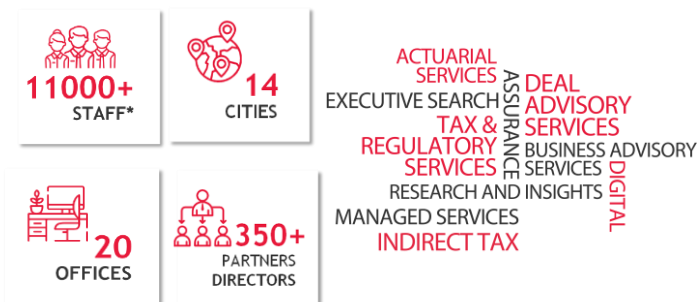
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*As of September 2024

ABOUT BDO INDIA

BDO India offers Assurance, Tax, Advisory, Technology Products & Solutions, Digital Transformation, and Managed Services & Outsourcing to domestic and international clients across various industries. Bringing together expertise, innovatively driven and delivered through technology, we empower businesses to navigate their unique challenges with transformative, impactful, client-centric solutions. The team in India comprises over 11,000* professionals, led by more than 350 Partners and Directors, operating out of 20 offices across 14 key cities.



*Includes employees from BDO RISE and BDO EDGE

OUR SERVICES

ASSURANCE

- Financial Statement Audit and Attestation Services

MANAGED SERVICES

- Accounting Advisory
- Compliance Management
- Finance & Accounting
- Human Resource Outsourcing (HRO) and Payroll
- Tax Compliance

BDO EXECUTIVE SEARCH

- Board Services
- Executive Assessments
- Executive Search
- Forensic Talent Diligence
- HR Advisory

TAX

- Customs & International Trade
- Goods & Services Tax (GST)
- Indirect Tax Assessment & Litigation Assistance
- Incentives & ESG
- Tax Technology
- Corporate Tax Services
- Financial Services Tax
- Global Employer Services
- International Tax Services
- Private Client Services
- Tax Outsourcing
- Transfer Pricing

BDO DIGITAL

- Digital Services
- Technology Products and Solutions

ADVISORY

- Actuarial Services
- Forensics
- Government Advisory
- IT Risk Advisory & Assurance
- Management Consulting
- Risk Advisory Services
- Sustainability & ESG
- Business Restructuring Services
- Corporate Finance and Investment Banking
- Deal Value Creation Services
- Financial Due Diligence
- M&A Tax and Regulatory
- Strategy & Commercial Due Diligence
- Valuations
- Research & Insights

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