



Global Compliance Gap Assessment and Documentation

ComplianceXL provides Compliance
Gap Analysis, Training and Compliance
documentation solution to a Musical
Instruments manufacturer

About the Client

The client is a world leader in the manufacturing of percussion instruments made with the best quality wood. Designed and built in the US, their instruments are handcrafted and known for its patented musicianship and the perfect sound.

The instruments are made of high-quality wood, richly colored and added subtle aroma, looks beautiful, stays durable, and amazing sound quality.



Business Need

The uniqueness of products and the specialized nature of business called for sourcing high quality parts and materials from different suppliers across geographies. The ambition to create a global footprint for their products, made the Client liable to product compliance regulations as well. The challenge was to fully understand the implications of market regulations and ensure timely compliance, so they could tap into global market opportunities.

The lack of knowledge in the global compliance landscape and the absence of a dedicated internal compliance team posed challenges for the Client. There were no pre-defined systems in place to manage and monitor compliance, and the lack of a documentation added to the overall compliance challenge.



Why ComplianceXL?

The Client recognized that it would be unviable to run the compliance program internally, due to a likely learning curve, as well as high costs of onboarding the required skills internally. The Client decided to identify an external compliance service provider, who could meet the business needs efficiently. After having discussions with multiple providers, the Client determined that ComplianceXL would be the best fit for their needs.

With over two decades of compliance knowledge, ComplianceXL clearly had a solution that provided them a comprehensive solution, covering gap assessment, risk analysis, compliance training, supplier engagement, compliance documentation and reporting. This agile strategy proposed set apart ComplianceXL from other competitors, leading the Client to award the contract to ComplianceXL.

The Solution

ComplianceXL assigned a Compliance Subject Matter Expert to the project, who was supported by a team of Compliance Analysts and a multilingual Supplier Engagement Team.

The scope of this engagement was phased into - risk analysis, training to internal stakeholders, compliance documentation, supplier engagement, and training.

- **Gap Assessment** – A Senior Compliance Consultant from ComplianceXL assessed the existing compliance practices, analyze gaps in the processes and established a detailed roadmap with recommendations to implement a risk-based compliance program, defining supplier obligations and identifying a roadmap for compliance management.
- **Training for internal stakeholders** – Conducted training sessions on RoHS, REACH and Prop 65 for internal stakeholders, covering key regulatory requirements, their role in compliance at the functional level, risks of non-compliance and how compliance enables them to expand their market footprint globally.
- **Supplier Training and Engagement** – A customized training program was conducted for their suppliers, due to the specialized nature of commodities being supplied by a niche supplier base. The training provided Suppliers an overview of the regulations and documentation requirements, to align them with the Client requirements. This helped create a good foundation for the supplier engagement program, as it ensured suppliers were clear about the Client’s expectations.
- **Compliance Documentation and Reporting** – ComplianceXL deployed a cloud-based compliance platform, and delivered a Fully Managed Solution for the compliance documentation and reporting, The managed services wrapped around the compliance software platform took care of collecting declarations & Certificates of Compliance from suppliers, validating the declarations, exemption clauses & expirations, and generating the required compliance reports in the platform, for easy access by the Client.

Conclusion

The initial engagement was run in phases to maximize effectiveness and reduce the overall schedule, by optimizing the sequence of activities. Since then, the engagement was set up as a long-term support system, enabling the Client to efficiently manage compliance, meet new and evolving regulations around the world, ensure compliance for New Product Introduction (NPI) and periodically refresh supplier compliance documentation.



Key outcomes that benefited the Client:

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| <ul style="list-style-type: none"> • Identified critical gaps in compliance • Developed a comprehensive compliance roadmap and strategy • Improved compliance knowledge internally and among supply base • Implemented a comprehensive and sustainable compliance program | <ul style="list-style-type: none"> • Deployed centralized compliance system, as a system of record and for reporting • Generated comprehensive compliance reports for all products • Ongoing support system deployed, to ensure compliance is maintained. |
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