

Our Ref: 2019-008

Date: January 2019

Subject: Monitorships

This request asked:

Please could you provide details of all of the monitorships which have been entered into by persons within the United Kingdom between January 2008 and January 2019, including a year on year breakdown of monitorships imposed and the sector in which the monitored company primarily operates.

Our Response:

Please note that we do not hold figures for the whole of the UK. We can only provide figures for the Serious Fraud Office (SFO). The request has been answered below.

The SFO has no power to require an entity to take remedial action to address compliance deficiencies by appointing an independent third party to monitor compliance functions. However, monitorships can feature as part of a Deferred Prosecution Agreement (DPA). To date the SFO has entered into four DPAs, the details of which are published on our website at the following web page and through the links contained therein

- <https://www.sfo.gov.uk/publications/guidance-policy-and-protocols/deferred-prosecution-agreements/>. A brief description of each DPA has been included below:

- Standard Bank was required to commission PWC to review its corporate compliance programme.
 - There was no form of monitorship within the XYZ DPA.
 - Rolls Royce was required to retain Lord Gold in respect of their approach to anti bribery and corruption compliance.
 - Tesco Stores Ltd. was required to commission Deloitte to produce a report commentating on and making recommendations in relation to various issues concerning the recognition of commercial income
- <https://www.sfo.gov.uk/cases/tesco-plc/>.
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