How you can achieve Comprehensive Compliance
Agenda

1. Why compliance matters
2. How to get there
3. Product demonstration
Agenda

1. Why compliance matters
2. How to get there
3. Product demonstration
Minimal Management

Supervisor led

Systems are in place and training is mandated. Most of the issues are pushed by supervisors and reports identify problematic areas. General staff do not feel a strong responsibility for compliance.

Integrated

Team based compliance

All members of the organization believe that compliance to standards and regulations is good business. Strong comprehension by all of policies and procedures. Easy access to data and software that empowers teams.

Reactive

Focus on putting out fires

Organization reacts to EHS, Quality and Compliance issues as they arise. People and teams respond only when there is a immediate problem.

Inconsistent

Piecemeal approach

Some process and systems are in place. Most facilities or business units are independent and do not share best practices or systems.

ProActive

Forward Thinking

Meet with stakeholders and regulators. Conduct continuous improvement of compliance program.
Most organisations do not know **all** of their obligations, leading to “surprises”...

A typical Facility has **3,000 Compliance Obligations** and **200 new ones per year**.
Modern organisations operate efficiently and satisfy their customers without violations, spills, product recalls or worker injuries.
Modern organisations eliminate surprises with Comprehensive Compliance
A Comprehensive Compliance program captures all of your **Obligations** across your **Issues**: environmental, safety, hr, ohs, product,...

and **Sources**

regulatory, standards, contracts, permits, stakeholders, customers,...

and enables timely management of **Actions** and **Audits**.
Compliance helps prevent problems before they occur

01. Obligations

02. Actions

- Actions taken?
- Actions effective?

03. Audits
Comprehensive Compliance Platform

01 Comprehensive Obligations

- 360° Coverage
- Mandatory and Voluntary
- Obligations Mapping

02 Comprehensive Assurance

- Always Audit Ready
- Comprehensive Audit
- Performance Assessments

03 Comprehensive Outcomes

- Increased Trust
- Reduced Risk
- Fewer Incidents
Agenda

1. Why compliance matters
2. How to get there
3. Product demonstration
Traditional Compliance Approaches

**In-house**
- Inconsistency
- Loss of institutional knowledge
- Time consuming

**Consultants**
- Compliance gaps
- Variability in work
- Expensive

**Software + content + consultants**
- Integration is complex
- Expensive to build & maintain
Nimonik Solution Architecture

Obligations

Document Level Compliance Obligations
- 400,000 Laws, Regulations and Standards
- Your internal documents

Clause Level Compliance Obligations
- 150,000 specific Obligations
- Extracted obligations from your documents

Actions

Actions Dashboard
- Actions when obligations change
- Actions you create
- Actions from your documents

Audits

Web & Mobile Audits
- Inspect & collect evidence
- Actions taken?
- Actions effective?
Continuous **Comprehensive Compliance - Nimonik Implementation**

- **Plan**
  - Identify Obligations with Questionnaire & Workshop

- **Act**
  - Follow-up on Non-Compliance and OFI

- **Check**
  - Audit compliance on a regular basis

- **Do**
  - Select obligations & personalize the system
  - Map responsible people
  - Monitor for changes
  - Establish your process

**Continuous Improvement**
Four Key Benefits of Compliance with Nimonik

- **Create essential compliance records to prove Due Care Process**
- **Rapidly report to management and colleagues**
- **Centralize your internal & external compliance obligations and personalize the system**
- **Facilitate collaboration across the business**
Facilities

Identify your physical operations and outline Obligations, Actions and Audits for each location.

Control access by business unit, region or facility.
Library

Search for applicable documents in our comprehensive database of 400,000 + laws, regulations, standards and guidelines

Organized by topic, industry, and jurisdiction
Document Level Compliance Obligations

Add applicable documents to your Compliance Obligations

Assess your compliance, leave notes and create Actions

Receive alerts when applicable documents change or new ones are published
Select specific Obligations from Laws, Regulations, Guidelines and Standards

Receive alerts when obligations change or new are introduced.

Link Obligations to Audit Templates

### Clause Level Compliance Obligations

<table>
<thead>
<tr>
<th>Legislation</th>
<th>Document</th>
<th>Published Date</th>
<th>Effective Date</th>
<th>Modified Date</th>
<th>Selected Clauses</th>
<th>CLOD</th>
<th>Status</th>
<th>Responsible Party</th>
<th>Review History</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>125 (1) (a) ensure that all permanent and temporary buildings and structures meet the pre...</td>
<td>Applicable</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>125 (1) (b) install guards, guard-rails, barricades and fences in accordance with prescri...</td>
<td>Complying</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>125 (1) (c) investigate, record and report in the manner and to the authorities as prescri...</td>
<td>Complying</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td>Canada Shipping Act</td>
<td>2001-01-01</td>
<td>2019-07-10</td>
<td>Selected Clauses</td>
<td>Select Clauses</td>
<td>Not complying</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>82 (1) Presentation of documents The master of a Canadian vessel shall ensure that e...</td>
<td>Complying</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>82 (2) Sufficient and competent staff No master of a Canadian vessel shall operate...</td>
<td>Complying</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>82 (3) Obstruction prohibited No crew member shall willfully obstruct a master’s oper...</td>
<td>Applicable</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
<tr>
<td></td>
<td>Canadian Transportation Accident Investigation and Safety Board Act</td>
<td>1989-01-01</td>
<td>2019-08-21</td>
<td>Selected Clauses</td>
<td>Select Clauses</td>
<td>Applicable</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>35 (1) Offences Every person who</td>
<td>Applicable</td>
<td></td>
<td></td>
<td></td>
<td>Review History</td>
</tr>
</tbody>
</table>
Extract Compliance Obligations from Internal Documents

Use Nimonik’s AI system to extract obligations from your Internal Documents:

Permits, Stakeholder Engagement, Contracts and more

<table>
<thead>
<tr>
<th>Country</th>
<th>Document Description</th>
<th>Published Date</th>
<th>Effective Date</th>
<th>Modified Date</th>
<th>CLCO</th>
<th>Status</th>
<th>Review History</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Germany</td>
<td>Act on Occupational Physicians, Safety Engineers and Other Occupational Safety Specialists</td>
<td>1973-12-12</td>
<td>2015-09-10</td>
<td></td>
<td>Select Clauses</td>
<td>Complied</td>
<td>Review History</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Safety and Health at Work Act</td>
<td>1996-06-07</td>
<td>2017-01-24</td>
<td></td>
<td>Select Clauses</td>
<td>Not complying</td>
<td>Review History</td>
<td></td>
</tr>
<tr>
<td>India</td>
<td>The Ozone Depleting Substances (Regulation and Control) Rules, 2000</td>
<td>2016-10-11</td>
<td></td>
<td></td>
<td>Select Clauses</td>
<td>Applicable</td>
<td>Review History</td>
<td></td>
</tr>
<tr>
<td>United Kingdom</td>
<td>The Building Regulations 2010</td>
<td>2019-02-07</td>
<td></td>
<td></td>
<td>Select Clauses</td>
<td>Applicable</td>
<td>Review History</td>
<td></td>
</tr>
</tbody>
</table>

Legislation

<table>
<thead>
<tr>
<th>Document Description</th>
<th>Published Date</th>
<th>Effective Date</th>
<th>Modified Date</th>
<th>CLCO</th>
<th>Status</th>
<th>Review History</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Canadian Environmental Protection Act, 1999</td>
<td>1999-01-01</td>
<td>2019-06-26</td>
<td>Select Clauses</td>
<td>Applicable</td>
<td>Review History</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**Actions**

Receive action items when Documents and Obligations change

Issue Actions to your team, prioritize in line with budget cycles, correct non-compliance and assess effectiveness

Create Actions for internal obligations
Audit on the go

Rapidly build your Audit Templates & attach reference documents

Schedule and conduct audits on the web and on Apple and Android devices

Synchronize Audit results and issue reports
Compliance Reports

Generate reports to benchmark your compliance status

Compare facilities, teams and track down problematic items across your organisation
Data Security

Data security is a top priority at Nimonik. Nimonik has a robust information security management system based on ISO 27001.

Penetration Tests  |  Single Sign On  |  Encrypted data
Thank you!

Our offices
Montréal (HQ)  Paris  Shanghai

Our partners

Nimonik.com - info@nimonik.com - 1-888-608-7511 - +86 021 51720468
Appendix

Additional Features

Regulatory Compliance
Nimonik Solution Features

- Up-to-date and comprehensive regulatory documents
- Action items are issued to your team when new or changed regulations are issued
- Receive easy to understand summaries of changes
- Access regulatory documents at all times
- Issue action items to your colleagues and partners
- Complete log of compliance efforts
- Powerful reports for management
- Audit protocols for over 200 jurisdictions
- Mobile and web based audit tools
3 % of laws and regulations are updated every year
The regulatory body tends to grow by 2% a year.
**Unique Compliance Obligations**

1. Unique Compliance Obligations
2. Duplicate of applicable documents
3. Each Facility analyze obligations separately, creating unique records

**Shared Compliance Obligations**

1. One Compliance Obligations
2. Changes by one Facility affects other Facilities
3. One record of compliance assessments shared across Facilities

**Connected Compliance Obligations**

1. Parent - Child Relationships
2. Parent selects applicable documents first and sends specific documents to specific Facilities
3. Each Facility analyzes obligations separately, creating unique records
Nimonik Implementation

1 - Obligations

A Comprehensive Compliance Workshop to map your operations develop a compliance framework

Use our Comprehensive EHS Audit Template to assess your current compliance status and identify your regulatory obligations

Actions

Determine your change management workflow

Identify responsibilities in your organisation and issue Action items to close non-compliance issues

Issue actions for internal documents and schedule Audits

Audits

Audit your facilities against regulatory obligations and your other obligations.

Generate short and long term compliance actions

Generate reports for your management and colleagues
The Demands of Regulatory Compliance

- An average facility has over 1500 compliance obligations in laws, regulations and standards
- Thousands of laws and regulations are changed around the world every day
- It can be difficult to know what a law’s intent is or when it may come into force
- Laws and regulations are in local languages
- Regulations often depend on guidelines and other documents
- Many jurisdictions do not consolidate laws and regulations
- Not all regulations are available online or easy to find
Implementation Costs

- People who know the facility respond to Questionnaire (5-10 hours per Type of Facility)
- Identification of internal obligations (varies a great deal)
- People work to filter lists (5 hours per jurisdiction)
- SME review legislation (5-10 hours per jurisdiction)
- Updates (2-8 hours per month per jurisdiction)
Compliance Topics

➔ Environmental
➔ Occupational Safety
➔ Public Safety
➔ Finance
➔ CyberSecurity
➔ Privacy
➔ Bribery
➔ Other...
A software solution is critical to a successful compliance program

- 75% of all operations still monitor regulatory obligations manually with minimal staff
- 80% of the 43 countries Nimonik monitors are planning to issue new EHS regulations this year
- 65% of an organization's costs for monitoring regulations can be reduced with a software solution