How you can achieve Comprehensive Compliance
Agenda

1. Why compliance matters
2. How to get there
3. Product demonstration
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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.
When do you discover surprises?

Solve early!
Adjust plans well before you invest money and time!

Repurchase materials and support
Even higher cost to purchase new materials and make changes to equipment and systems.

Ouch!
Rework projects, materials and people. Major cost overruns and lost revenues.

Deadline
Rework projects, materials and people. Major cost overruns and lost revenues.

When do you discover surprises?

Project Planning
Re-Engineering
Higher costs to re-train and redesign system

Implementation
Product Testing
Disruption to production
Interrupt regular production, replace staff, equipment or systems, potentially halt production or slow it down.

Production

Deadline
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 **compliance areas**: quality, environmental, safety, hr, ohs, product,...

and **Sources**

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

and enables timely management of **Actions** and **Audits**.
Obligations

External obligations from regulations & standards

Internal obligations from your files, permits and procedures.

Actions

External actions when regulations & standards change.

Internal actions issued by your team to come into compliance.

Audits

Inspect your facilities based on your Obligations.

Verify for action completion and effectiveness of those actions.

The Three Pillars of Nimonik's Comprehensive Compliance

Together, this methodical approach to compliance will help you avoid problems before they occur.
Path to Resilience

**01**
Comprehensive Obligations
- 360° Coverage
- Mandatory and Voluntary
- Obligations Mapping

**02**
Comprehensive Assurance
- Always Audit Ready
- Comprehensive Audit
- Performance Assessments

**03**
Business Outcomes
- Increased Trust
- Reduced Risk
- Less Surprises
Agenda

1. Why compliance matters
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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 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
- Establish your process
- Monitor for changes
- Map responsible people
- Select obligations & personalize the system

**Check**
- Audit compliance on a regular basis
- Follow-up on Non-Compliance and OFI

**Act**
- Continuous Improvement
- Do

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**Continuous Improvement**

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**Continuous Improvement**

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Elements for Success - Nimonik Implementation

Management
Understands proactive compliance is an investment

Project Lead
Can prioritise implementation and has the necessary support

Team
Recognizes the benefit of a compliance system and has time for training

Comprehensive Compliance with Nimonik
Four Key Benefits of Compliance with Nimonik

Create essential compliance records to prove Due Care Process

Centralize your internal & external compliance obligations and personalize the system

Rapidly report to management and colleagues

Facilitate collaboration across the business
Agenda

1. Why compliance matters
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Nimonik App Outline

1. Facilities
2. Topics & Library - External Obligations
3. Document Level - External Obligations
4. Document Level - Internal Obligations
5. Clause Level Obligations
6. Actions
7. Audits & Inspections
8. Reports
Facilities

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

Control access by business unit, region or facility
Library of External Obligations

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

Organized by Topic, industry, equipment and jurisdiction
### External Obligations

#### Document Level

**Compliance Obligations**

Add applicable documents to your Compliance Obligations

Assess your compliance, leave notes and create Actions

| Germany |
|-------------------------------|-------------|-------------|---------|---------|-------------------|-----------------|
| **Document** | **Published Date** | **Effective Date** | **Modified Date** | **CLCO** | **Status** | **Review History** | **Notes** |
| Act on Occupational Physicians, Safety Engineers and Other Occupational Safety Specialists | 1973-12-12 | 2015-09-10 | Select Clauses | Completed | Review History |
| Safety and Health at Work Act | 1996-06-07 | 2017-01-24 | Select Clauses | Not compliant | Review History |

| India |
|-------------------------------|-------------|-------------|---------|---------|-------------------|-----------------|
| **Document** | **Published Date** | **Effective Date** | **Modified Date** | **CLCO** | **Status** | **Review History** | **Notes** |
| The Ozone Depleting Substances (Regulation and Control) Rules, 2000 | 2016-10-11 | Select Clauses | Applicable | Review History |

| United Kingdom |
|-------------------------------|-------------|-------------|---------|---------|-------------------|-----------------|
| **Document** | **Published Date** | **Effective Date** | **Modified Date** | **CLCO** | **Status** | **Review History** | **Notes** |
| The Building Regulations 2010 | 2019-02-07 | Select Clauses | Applicable | Review History |

| Legislation |
|-------------------------------|-------------|-------------|---------|---------|-------------------|-----------------|
| **Document** | **Published Date** | **Effective Date** | **Modified Date** | **CLCO** | **Status** | **Review History** | **Notes** |
| Canadian Environmental Protection Act, 1999 | 1999-01-01 | 2019-06-26 | Select Clauses | Recomended | Review History |
Internal Obligations

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

Permits, Stakeholder Engagement, Contracts and more
**Clause Level Compliance Obligations**

Select specific Obligations from Laws, Regulations, Guidelines and Standards

Receive alerts when obligations change or new are introduced.

Link Obligations to Audit Templates
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
Customers

- Coca-Cola
- Nestle
- Mars
- TÜVRheinland
- SAINT-GOBAIN
- BOEING
- thyssenkrupp
- KOHLER
- Panasonic
- Colgate
- Schlumberger
- Eaton
- Amway
- DNV-GL
- Santen
- Schneider Electric
- Cargill
- AIRBUS
- ALSTOM
- Abbott
- Lloyd's Register
- PHILIPS
- SONY
Thank you!
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.
225,000 documents

Filters
- 173 EHS Topics
- Industry
- Document Status
- Document Type
- Equipment

Implementation
- Compliance Workshop
- Screening Questionnaire
- Full EHS Audit

Obligations
- Documents
- Clauses

Reports
- Obligations
- Actions
- Audits

Audits
- Regulatory
- Safety
- Quality...

Audit Templates

Actions
- Assessment
- SOPs
- Controls...
**Unique Compliance Obligations**

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

**Facility 1**
- Environmental 1
- Health and Safety

**Facility 2**
- Environmental 2

**Shared Compliance Obligations**

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

**Facility 1**
- Environmental 1

**Facility 2**

**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

**Facility 1**
- Environmental 1

**Facility 2**
- Environmental 1 + Facility Specific Data
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