

The clear path to compliance

Credentials Document



LexisNexis® Regulatory Compliance
Multi-award winning solution
helping you on your path to compliance



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1 Overview

1.1 About LexisNexis®

LexisNexis is a leading global provider of legal, regulatory and business information and analytics that help professional customers make more informed decisions, increase productivity and serve their clients better.

We help lawyers win cases for their clients, manage their work more efficiently and productively, and grow their practices. We assist corporations to better understand their markets and prevent bribery and corruption within their supply chains.

We aid universities in their efforts to help students become successful legal professionals, and we support governments and courts by making laws accessible and strengthening legal infrastructures.

LexisNexis serves customers in more than 175 countries with 10,000 employees worldwide, and is part of RELX Group, a global provider of information and analytics for professional and business customers across industries.

1.2 About LexisNexis Regulatory Compliance

LexisNexis Regulatory Compliance® helps you forge a clear path to compliance.

With LexisNexis content know-how at the core, our compliance registers, alerts, and information-driven solutions make compliance uncomplicated for GRC professionals across the globe.

1 Overview

1.3 Purposefully Disrupting The Industry

We understand that achieving compliance requires certainty in a landscape that is often complex and fast moving. That's why our products are designed to make compliance uncomplicated.

LexisNexis Regulatory Compliance products are designed with Risk, Governance, and Compliance professionals in mind. We understand that while compliance is deeply intertwined with the law, often the people tasked with ensuring it are not legal professionals. We ensure that our information is clear, and makes sense in the context of business – so you know what you need to do fast, and don't have to spend time translating.

By drawing on the knowledge of some of the foremost legal experts in each compliance area, and presenting their interpretations in clear, actionable language that makes sense, we help you find clarity on your path to compliance.

- Find relevant obligations faster with jargon-free registers that are aligned with your business processes.
- Stay up to date with near real-time alerts delivered straight to your inbox when you may be impacted by regulatory change.
- Explore your compliance obligations under a particular regulator, or a particular compliance source, with SourceData.
- Engage with the wider compliance community and LexisNexis experts through the Community Portal, our self-support platform.
- Access comprehensive, current LexisNexis content that meets your unique needs, with key core modules relevant to all businesses, and a rapid accelerating roadmap of industry-specific modules that guide your path to compliance.

1.4 Flexible Technology Options

We understand that the path to compliance is different for every business, which is why we created a solution that can be tailored to meet your individual requirements. This starts with flexible technology options to suit any way of working:

- **Enterprise solution:** Our API allows you to pull content from us, directly into your existing GRC/ERM system. We also work alongside a panel of carefully selected software partners that can help you meet your end-to-end compliance needs.
- **Online portal solution:** If you're not ready to implement a GRC / ERM system yet, you can utilise our secure web-based compliance registers, available at the click of a button.

1 Overview

1.5 Solutions for Any Role or Industry

Across our eight core modules, and more than 12 New Zealand specific industry modules, we're able to help you find compliance clarity, no matter your industry. Our products are designed to work seamlessly together, and we work closely with our customers to find the right content at the right price.

We work with customers across a range of industries and activities, including but not limited to:

Core Modules

- Anti-Bribery & Corruption
- Company Law
- Consumer Law
- Employment
- Environment
- Privacy & Data Protection
- Tax
- Workplace Health & Safety

Industry Modules

- Anti-Money Laundering & Counter Financing Terrorism
- Bank & Non-Bank Deposit Takers
- Credit Reporting
- Cybersecurity
- Facilities Management
- Financial Services for Corporate & Institutional Clients
- Financial Services for Retail Clients
- General Insurance
- KiwiSaver
- Life Insurance
- New Zealand Listing Rules
- New Zealand Sanctions

Hot Topic Modules

- New Zealand Biosecurity and Infectious Disease
- Social Media

LexisNexis Regulatory Compliance content is designed to be useful for business owners and other functional managers, not just those who specialise in compliance. So no matter who you are, or what your industry, we can help you uncomplicate your compliance responsibilities.

2 Content Principles

Our content is set apart from the competition by two key principles:

1. It is authored by experts to provide the best interpretations of compliance sources.
2. It is structured for practicality across all modules.

2.1 The Process of Expert Authorship



2 Content Principles

2.2 Designed for Practicality

Every obligation in our compliance registers is structured the same way so you can quickly locate the information you need.

- **Practical guidance** notes explains what it means to be compliant and how to get there
- **Remedial actions** let you know some possible steps to take if you're not currently, or at risk of not being, compliant
- **Consequences** explain the potential penalties for non-compliance
- **Sources** are included as reference points.

Data Protection

Description questionnal

Does the organisation implement security measures designed to protect the confidentiality, integrity and availability (CIA) of data, digital services, and information systems?

Practical guidance

Maintaining the confidentiality of sensitive electronic information, protecting digital assets from inappropriate change and ensuring availability of mission critical digital services should be forefront of all digital security efforts.

The threats faced by Australian organisations are numerous.

Organisations should assess these threats and select appropriate countermeasures during risk management processes. Each organisation must take the precautions necessary to meet its digital security objectives.

Organisations should consider implementing security controls designed to:

- Protect data at rest
- Protect data in transit
- Sanitise digital assets
- Mitigate denial of service attacks
- Prevent data leakage
- Verify the integrity of software and stored data
- Separate network environments, and
- Verify the integrity of hardware

Having selected a security control, the organisation should incorporate the control into a risk management strategy. Not all data and services require the same level of security. To improve the efficiency of controls, the organisation should consider classifying and valuing digital assets according to their value, considering the likelihood and impact of a range of potential incidents when preparing a risk management strategy.

Protecting Data at Rest

Data at rest consists of all of the information located on an organisation's storage devices. This stored data includes user information and system information.

The organisation should consider deploying both technological and physical controls to protect data at rest. Appropriate technological controls may include:

- Minimum wages, bonuses, overtime and penalty rates
- Leave and flexible working arrangements
- Types of worker (e.g. full-time, part-time, casual, etc.)
- Work arrangements

Physical controls can protect the most valuable and sensitive data to a degree that is unachievable through technology alone. Physical controls include:

3 Product Features

LexisNexis Regulatory Compliance is made up of three key components:

1. Modules and Registers
2. Alerts
3. Applications

3.1 Modules and Registers

Our content is grouped into modules. Each module can be thought of as a content set (i.e. the registers and alerts) that contains all the information you need to become compliant within a particular area. We offer three types of module:

- Core Modules – these are a series of registers that cover obligations that are applicable to all Australian organisations.
- Industry Modules – these are registers that are specific to an industry.
- Hot Topic Modules – these are free registers that cover topical areas of law such as Modern Slavery and Biosecurity.

You have the option to purchase individual modules to address specific areas of compliance, but in order to fully forge your path to compliance, we recommend purchasing both core and industry modules together. Furthermore, preferential pricing is offered based on multi modules and multi users chosen.

3.2 Alerts

We know the world of compliance is fast moving, and regulatory changes that affect businesses can occur in short spaces of time. That's why we deliver alerts to our customers' inboxes whenever changes occur. Our alerts contain all the essential information you need to know, including:

- which of our compliance modules the notification relates to
- which obligations have been impacted
- which compliance source has changed
- the date the change takes effect

Alerts are categorised by relevance

News: General information about changes to our content that are occurring

FYI: A change that you should be aware of, but does not require immediate action

Action Required: A change that could directly impact your business in the short term, and requires immediate review

3 Product Features

3.3 Applications

Our flexible technology options mean that LexisNexis Regulatory Compliance comes in two platforms: enterprise and online portal.

Enterprise

The enterprise solution is tailored towards larger businesses that require a full scale, integrated content and software-driven legal obligations register. Typically, these organisations manage regulatory compliance as part of an overall Governance, Risk & Compliance (GRC) Program that includes a dedicated compliance team.

We can provide content in Excel format, or we can input our content directly into your existing ERM software via our API. If you're looking for an integrated software solution, we work with our panel of partners to provide a package of content and software.

Panel of Partners

Certified Integration Partner

When you see this badge, it means the GRC partner has completed our certification assessment and have fully integrated our solution on their platform.

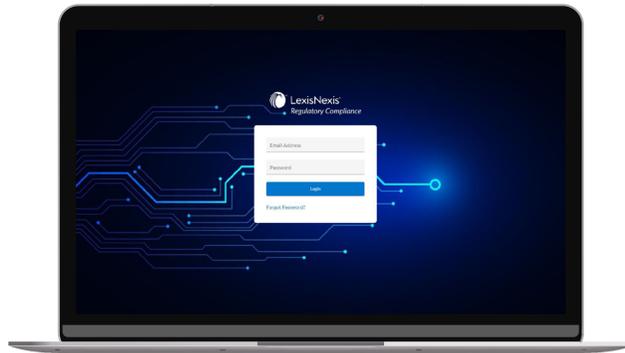


3 Product Features

Online Access

If you do not currently have, and are not looking to implement a GRC / ERM system, we can provide secure, easy online access. Access all your content at the click of a button from anywhere with an internet connection.

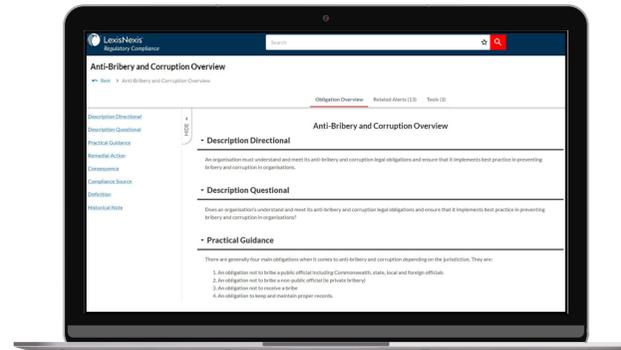
Secure Log In



Access Core and Sub Obligations

Obligation	ID	New/Updated	Alerts	Tools	Compliance Status	Obligation Owner	Date Review
Anti-Bribery and Corruption Overview	0190		10 Alerts	3 Tools			
Block Identification	0193		6 Alerts	4 Tools	Non-Compliant	Blake Tucker	
Foreign public officials	0205		6 Alerts	1 Tool	Non-Compliant	Mary	1/1/24
Commonwealth public officials	0208		3 Alerts				
State and local authority public officials	0217			1 Tool			
Private bribery	0224			2 Tools			
Overseas jurisdictions	0222			2 Tools			
Industry specific	0245			4 Tools	Completed	Compliance officer	
Business specific	0253			2 Tools		Head of Risk Management	
Organisational culture	0264			2 Tools			

Find Content Easily



3 Product Features

Comparing Traditional Compliance Register Against LexisNexis Regulatory Compliance

	Traditional Compliance Register	LexisNexis Regulatory Compliance
ERM	✓	✓
Online	✗	✓
Areas Of Law Covered	Covers specific areas of compliance (e.g. Work Health and Safety)	Eight core modules and industry-specific content
Legislative Provision(s) Noted	✓	✓
Identify Who Is Responsible	✓	✓
Content Language	Legalese	Plain Business English
Content Updated As Legislation Changes	✗	✓
Proactive Alerts	✗	✓
Obligations Identified and Listed In Business Processes	✗	✓
Practical Guidance On How To Ensure Compliance	✗	✓
Control Actions Highlighted	✗	✓
Consequences Of Non-Compliance Explained	✗	✓
Obligations Are Drawn From All Relevant Compliance Sources	✗	✓
Tools and Checklists Provided	✗	✓

4 List of Available Modules

Core Module	Global	Industry Module
Anti-Bribery and Corruption	Environmental, Social and Corporate Governance Module	Anti-Money Laundering & Counter-Terrorism Financing Module
Company Law	Global AML/CFT Module	Asset Management Module
Consumer Law	Global Banking Module	Bank and Non-Bank Deposit Takers Module
Employment	Global Cybersecurity Module	Credit Reporting Module
Privacy	International Infection Control, Disease management and Biosecurity Module	Cybersecurity Module
Work Health and Safety	Risk and Compliance Module	Financial Services for Corporate and Institutional Clients Module
NZ Tax Module	Hot Topics	Financial Services for Retail Clients Module
NZ Environment Module	NZ Infection Control, Disease Management and Biosecurity Module	General Insurance Module
Core Compliance Module Package	NZ Social Media Module	Institutional Investment Module
Core (Industry Edition) Module Package	Product	Kiwisaver Module
	SourceData - New Zealand	Life Insurance Module
		Listing Rules Module
		NZ Facilities Management Module
		NZ Sanctions Module

5 FAQs

Q. Who is LexisNexis?

A: LexisNexis is a leading global provider of legal, regulatory and business information and analytics that help professional customers make more informed decisions, increase productivity and serve their clients better.

We help lawyers win cases for their clients, manage their work more efficiently and productively, and grow their practices. We assist corporations to better understand their markets and prevent bribery and corruption within their supply chains. We aid universities in their efforts to help students become successful legal professionals, and we support governments and courts by making laws accessible and strengthening legal infrastructures.

LexisNexis serves customers in more than 175 countries with 10,000 employees worldwide, and is part of RELX Group, a global provider of information and analytics for professional and business customers across industries.

Q: How do you remain on top of all the content, given that regulations are updated all the time?

A: We have a broad network of content specialists and legal experts who stay across the regulatory changes within their areas of specialisation. When things change, they will break down what the changes are and what they mean (or could mean) for businesses. We then send these updates out as alerts to ensure you're always aware of changes ahead of time.

Q: I've found other compliance solutions to be complex. How is your solution different?

A: Our focus is on making compliance uncomplicated to save you time, money, and resources on your path to compliance. We do this through content that is designed to be easily understood, and readily actionable. Specifically, we provide:

- Topics that are organised by business processes
- Practical tools to help you meet your compliance obligations (checklists, templates, links to resources).
- Dynamic content that is updated regularly to reflect the most current legislation.
- Expert translations that explain your legal responsibilities in easy-to-apply business language.
- Core and specialist modules matched to your industry.
- Alerts when changes to regulations are made.

5 FAQs

Q: This looks complex to set up and we don't have IT support readily available. How can I access the content?

A: If you don't already have existing software, we can work with one of our partners to provide a full package of content and workflow software to meet your existing and future needs. Alternatively, we can provide you with content via our Online Portal.

Q: I have existing Compliance software. How do you input your content into my system?

A: We do this through an API (application programming interface). An API allows two different applications to “shake hands” with each other. In our case, an API allows the Content Management System (CMS) we use to store our content to talk with your existing software, and therefore allows the transfer of content accordingly.

Q: What is the difference between core modules and industry modules?

A: Core Modules cover legal obligations and actions required of most Australian organisations. These include: Anti-Bribery and Corruption; Competition and Consumer; Corporations; Data Protection & Privacy; Employment; Environment; Tax; WHS.

Industry modules include Compliance modules that are industry-specific, including Aged Care; General Insurance and Asset Management.

5 FAQs

Q. How is each register structured?

A. The content in registers is structured to make it easy to find what you're looking for, and work out what you need to do.

Overview – This defines the scope of the module and lists the core obligations.

Core Obligations – Identifies a high-level view of the organisation's legal obligations for the area covered by the module. This is the basis for navigating efficiently through the module.

Sub Obligations – The sub-obligations are the individual operational obligations required to meet the core obligation.

Tools – The tools include checklists, policy templates, precedents, process flowcharts and links (usually hyperlinks to web pages). Alerts – There are 3 forms of alert being information only, action required and news.

Q. There are many people within our business that manage different compliance obligations. How can we ensure they all have access to the content they need?

A. Utilising our multi-user licenses, our solution can be used by many people across the business. We can help reduce the burden of meeting your compliance obligations by using your software assets to gain attestations across the organisation.

Plus, with our use of plain language and practical directions, we provide non-lawyers with clear guidance on control actions within an operational framework.

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- Access comprehensive, current LexisNexis content that meets your unique needs, with key core modules relevant to all businesses, and a rapid accelerating roadmap of industry-specific modules that guide your path to compliance.

Authored by leading legal, attorney and industry experts, and supported by flexible technology that works the way you do, LexisNexis Regulatory Compliance gives you peace of mind while saving time and money.

About LexisNexis®

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