



Our compliance journey



Code of conduct policy and training

Launched annually beginning in *[insert timing]. [Insert any milestones.]*

Due diligence

Rolled out *[insert timing]. [Insert actions taken—e.g., conducting due diligence on a broader range of third parties, held costs down, etc.]*

Awareness materials

[List something done to enhance Communications & Awareness program—e.g., leadership messages from more leaders/middle managers, articles/videos.]

Vendor code of conduct

Launched vendor code in *[insert timing]. [Insert any milestones.]*

Hotline

[List something new/updated in hotline/reporting processes/metrics from this year.]

[Insert other compliance areas company is focusing on if needed]

Establishing effectiveness

Our program incorporates many key pieces of ethics and compliance. But to ensure we meet ongoing leading practices, we must focus on more than check list items. A strong program improves culture, protects reputation, enhances employee engagement, and ties monitoring, assessment, and collaboration together.

Key topic for discussion: [Insert topic you want to address first]

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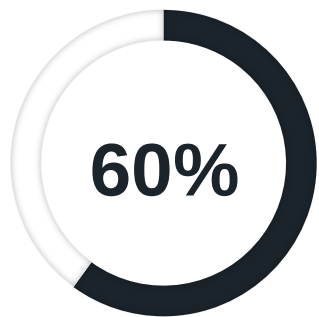
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Ethical culture trends

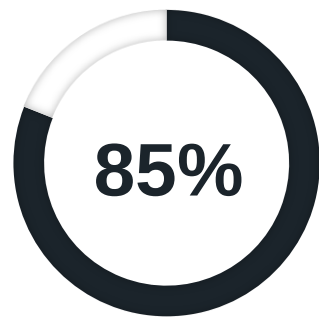


- This is placeholder text. *[Insert trends, observations, action items, YOY data and survey results, employee quotes from open-ended survey responses, etc.]*
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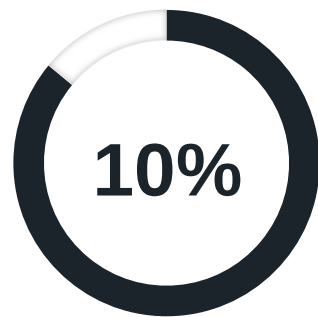
Third party management – Trends & Q4 2021



Vendors training %



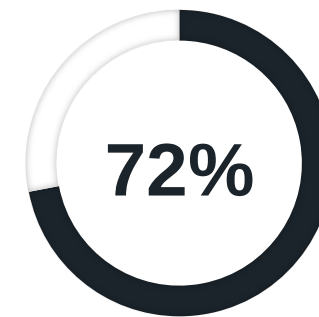
Vendors
acknowledge code



Enhanced due diligence
conducted

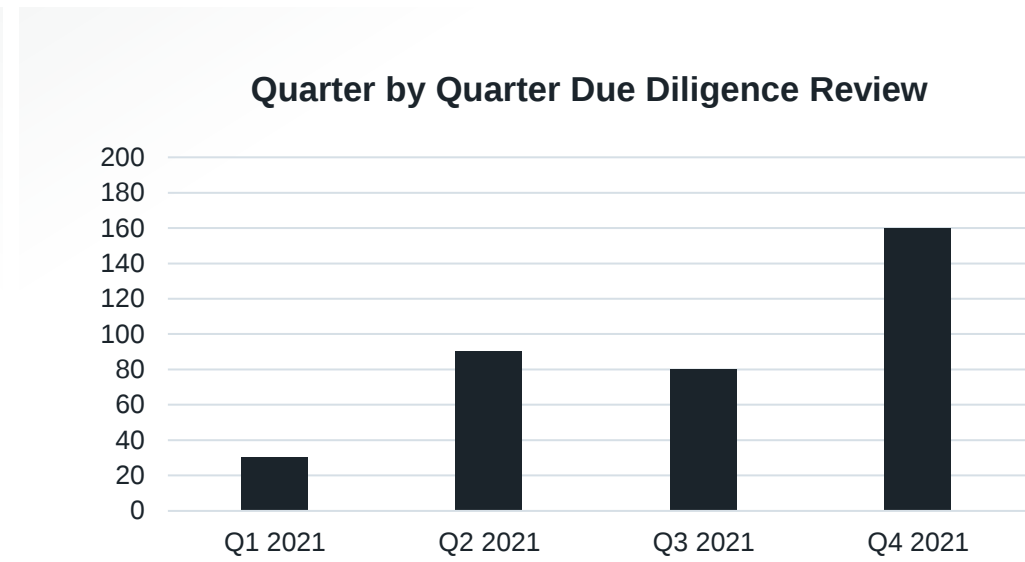


of high-risk countries
doing business in

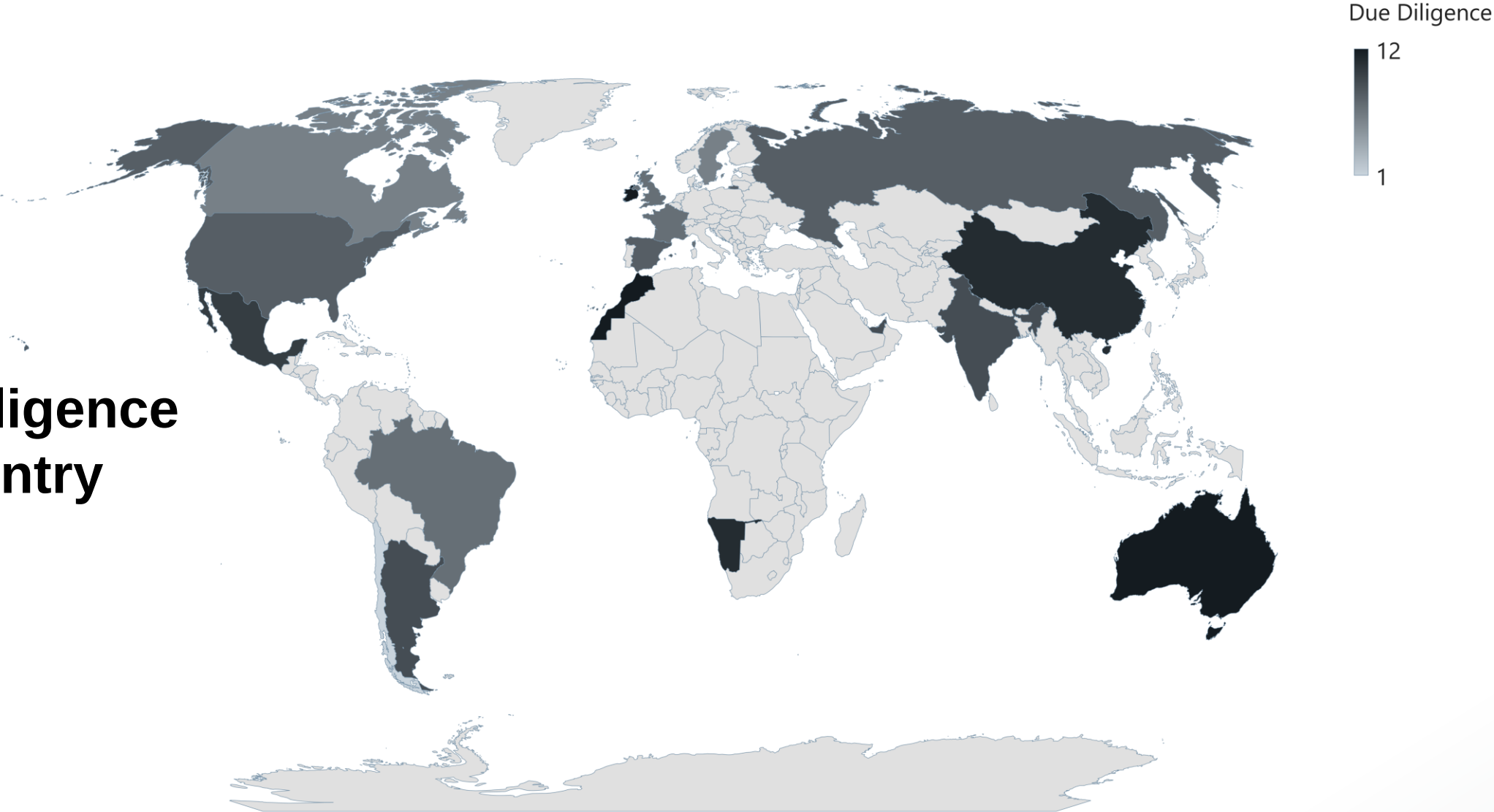


*Percentage of budgeted
costs

Q3 Review Type	Approved	Approved with condition	Declined
Owner	# etc		
Customer			
Vendor			
Agents with govt. interactions			
TOTAL in Q3			



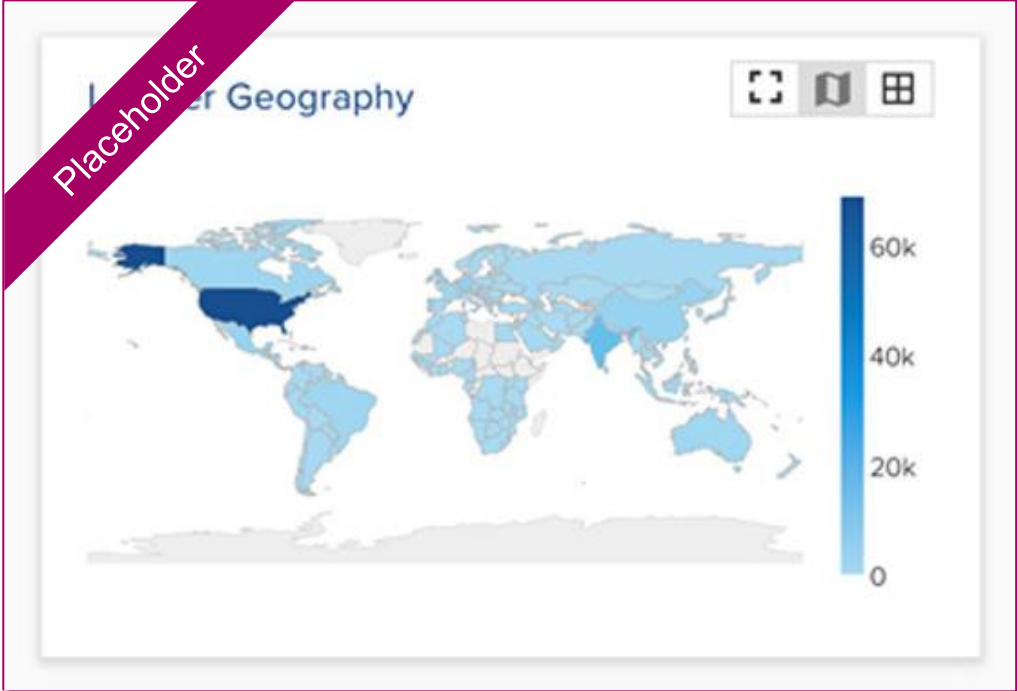
Due diligence by country



Training program – Q3 2021

Mandatory training	Training completion %
Code of conduct	
Corporate	XX%
Field employees	XX%
Anti-bribery & Corruption	
Corporate	XX%
Field employees	

Time frame for completion is [insert time] days. Completion percentages reflect original roll-out campaign population. [If percentages reflect something different—like new employees added in—make a note of that.]

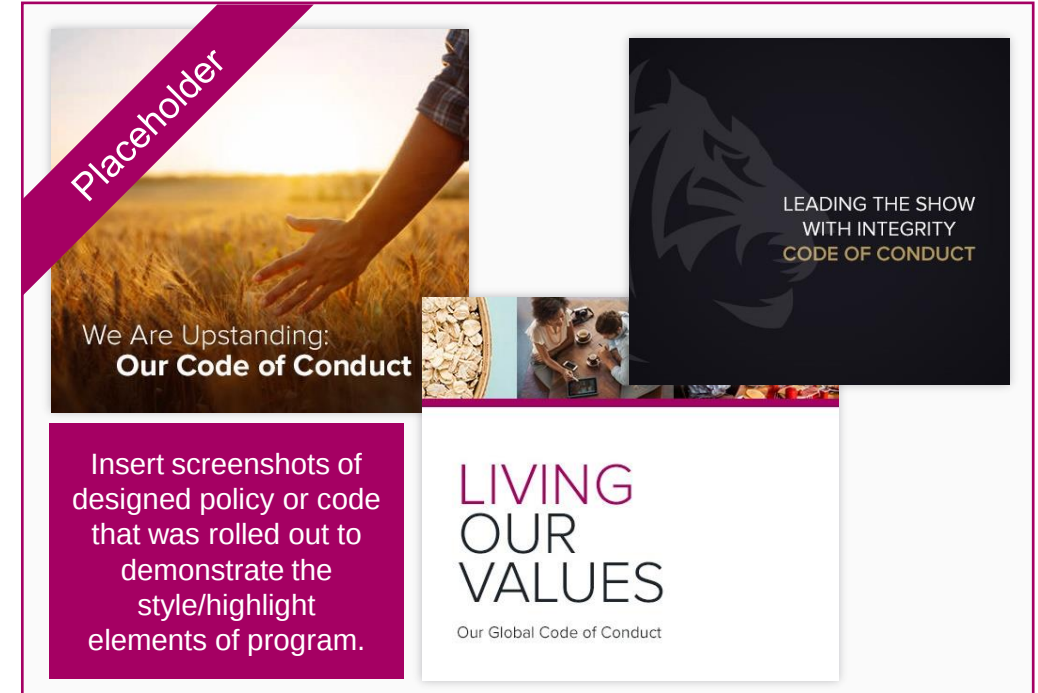


[Insert call-out about other large or significant in-person training that isn’t always tracked.] [Insert details—e.g., Legal/Compliance department attended regional/departamental meetings to train on XYZ topics. About X attendees learning about X topics.]



Policy program – Q3 2021

Policy roll out and path	Acknowledgement % (Corp/Field)
Code of conduct	XX%/XX%
Privacy	XX%/XX%
Anti-bribery & Corruption	XX%/XX%
Insider trading	XX%/XX%
Anti-money laundering	XX%/XX%
Gifts & Entertainment	XX%/XX%
Anti-trust & Competition	XX%/XX%
Conflicts of interest	XX%/XX%



The Policy committee continues to review language usage data from our training campaigns. [Insert details—e.g., Policies are being translated into the top X languages based upon usage. This reflects X% of employee population.]

Communication & Awareness program – Q3 2021

Communication awareness*	Leadership messaging	Completion**
Compliance Topic - Date	Name of Leader	XX%
Compliance Topic - Date	Name of Leader	XX%
Compliance Topic - Date	Name of Leader	XX%
Compliance Topic - Date	Name of Leader	
Compliance Topic - Date	Name of Leader	

***Audience:** *[Describe employee population that received messaging here]*

Side note: [Insert explanatory element of the program here.]

Placeholder

Insert screenshots of program materials that demonstrate the style and elements of your program you especially want to highlight—e.g., articles, messages videos, FAQs

Reporting & Incident management – Trends & Q3 2021

1,216

Reports managed through Hotline in 2021 YTD

50

Reports that raised compliance issues 2021 YTD

206

Compliance reports made anonymously in 2021

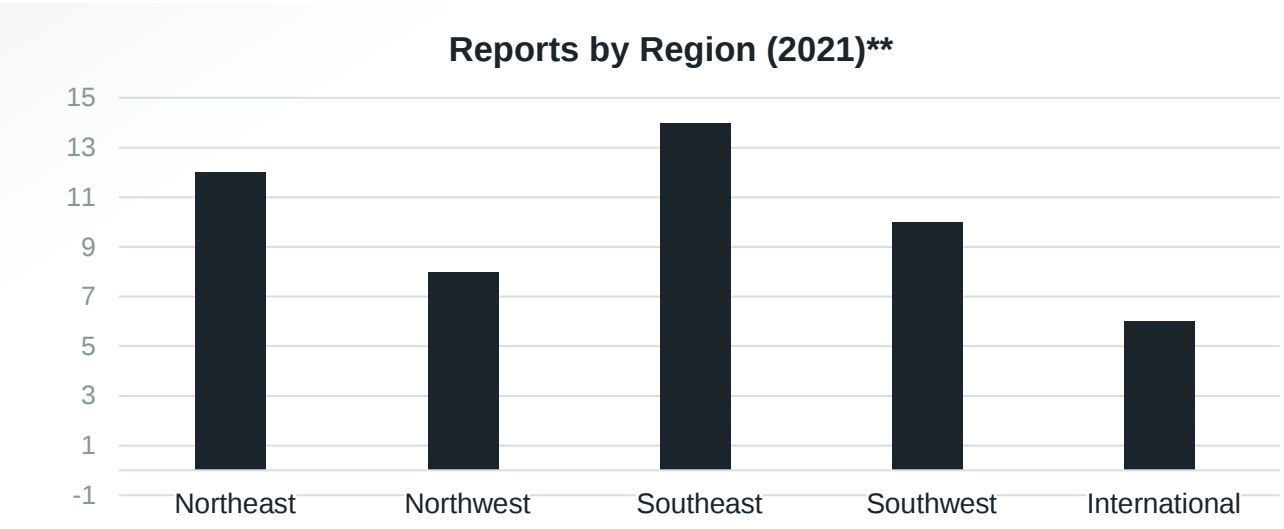
11%

Increase in # of compliance reports YOY

X#

Customer or other type of complaint line data reflection

Q3 2021 Compliance issues*	#
Conflict of interest	XX%
Gifts, bribes, kickbacks	XX%
Privacy	XX%
Accounting/Auditing practices	
Confidential information	
Antitrust issues	
TOTAL in Q3	



Increase in communications campaign could see an uptick in awareness and reporting.

Looking ahead

[This is a space for miscellaneous discussion prompts. Below are sample points.]

- Placeholder text on regulations. *[Insert regulatory changes that could impact the business.]*
- Placeholder text on competitive intel. *[Highlight a competitor that made the headlines due to an E&C violation—discuss how something like that could happen here, and what can be done to mitigate that]*
- Placeholder text on geopolitical updates. *[Insert geopolitical factors that could expose the business to greater risk]*
- Placeholder text on E&C trends. *[Insert recent, noteworthy trends in E&C—e.g., increasing use of mobile]*





Next steps



2022 big impact goals:

1

Conduct an Ethical Culture Survey and incorporate results into compliance program.

2

Conduct a Strategic Program Evaluation and incorporate results into strengthening compliance program.

3

[Insert third goal—e.g., budget, E&C Ambassador program launch, Compliance committee launch, etc.]

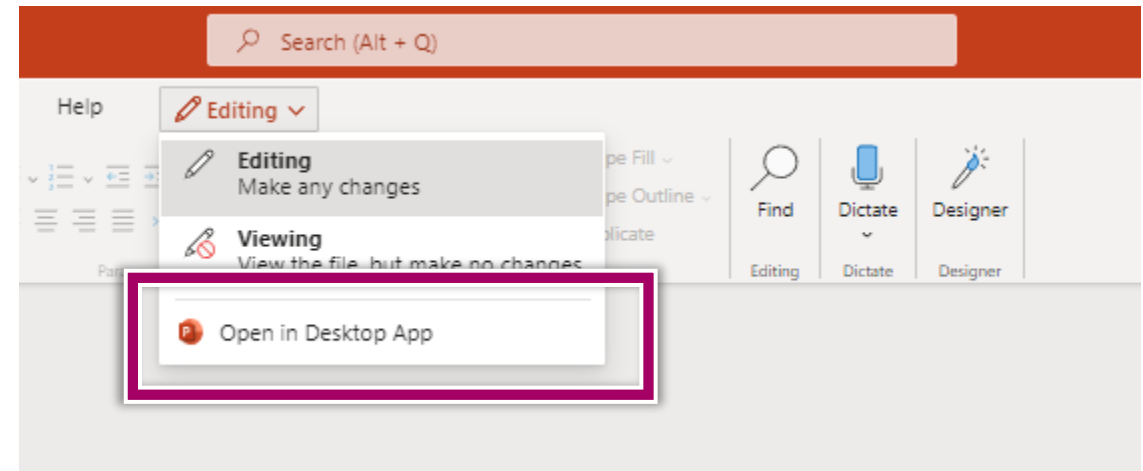


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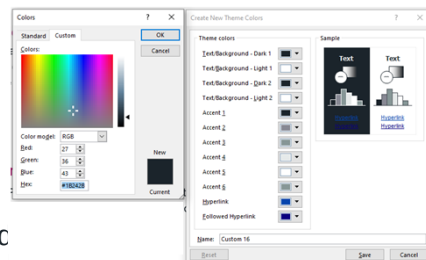
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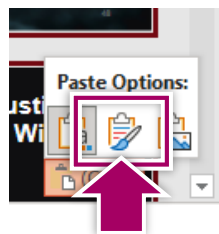


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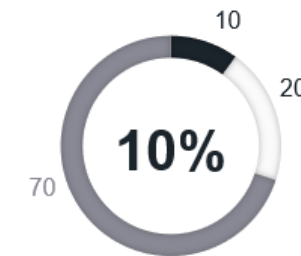


Edit data

This short video shows how to edit the data in the pie charts.

***Please note the values combined must not exceed 100 when added together.**

<https://www.screencast.com/t/fOk6hbtvpt>



	A	B	nal Justice
1			
2	1st Qtr	30	
3	2nd Qtr	10	
4	3rd Qtr	60	
5			

Edit Map Data (slide X)

Important! The data map only works in PowerPoint **Desktop App**. It will not be visible in the Web App.

This short video shows how to edit the countries and values of the global map.

***Please note you must insert a new country in between the first and last country for it to be displayed on the map.**

<https://www.screencast.com/t/3gNcBJPe>

	A	B	C	D
1		Sales		
2	United States	8		
3	Chile	6		
4	Spain	8		
5	United Kingdom	7		
6	Mexico	10		
7	Brazil	7		
8	Argentina	9		
9	Australia	12		
10	China	11		
11	Russia	8		
12	India	9		
13	Sweden	6		
14	France	7		
15	United Arab Emirates	9		
16	Ireland	12		
17	Canada	6		
18	Morocco	1		
19	Namibia	11		
20				

Establishing effectiveness

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