

Creating better board reports

David Woodnorth

Feedback from directors

First up – “Remind me why I am reading this?”

Up front – give me context & the key information
– don’t make me read pages to find these!

Make it engaging & easy, please!

Tell me:

- How material is this information?
- Why it is important?
- What is being done about it

Highlight trends

Help me to ask the right questions

Feedback from ComplyWith community

Better presentation

Better trend analysis

Overview of relevant law changes

A heat map for non-compliances
& more...

A new ComplyWith reporting module

A templated report (1 document!)

- Front page overview infographics +
- 4 (max) pages of key information (mix of infographics & words) +
- Required detail in appendices

Aim is for initial release by mid-August '18

Author:
Jennifer Smith,
Risk Manager

To:
Audit & Risk
Committee

Purpose:
to Review the results of the legislative compliance
survey and confirm recommendations

Date:
29 May
2018

Period covered

01 Nov 2017 –
30 Apr 2018

People finished

38 / 42

Obligations completed

304 / 320

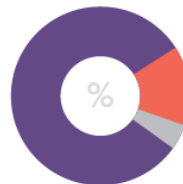
Acts & Regs

27

Results:



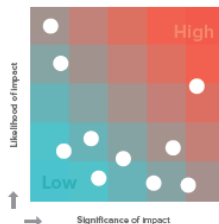
For details, go to [page XX](#) →



Non-compliances:

- 7 Are resolved.
- 3 Have an action plan in place.
- 3 Have no action plan in place.

Non-compliance hotspots

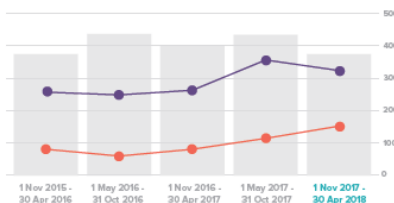


| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | % of Non-compliance | No of non-compl obligations |
|--|---------------------|-----------------------------|
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 40% | 2/5 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 20% | 10/50 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 10% | 2/20 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 5% | 1/20 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 4% | 1/25 |

For details, go to [page XX](#) →

Compliance trends

● Full Compl. ● Non Compl.



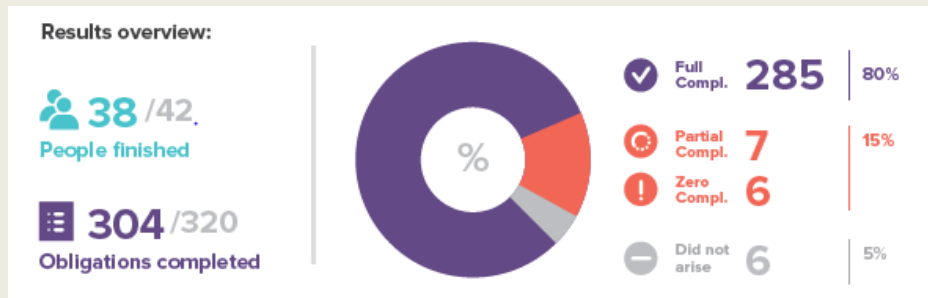
Impact of recent law changes



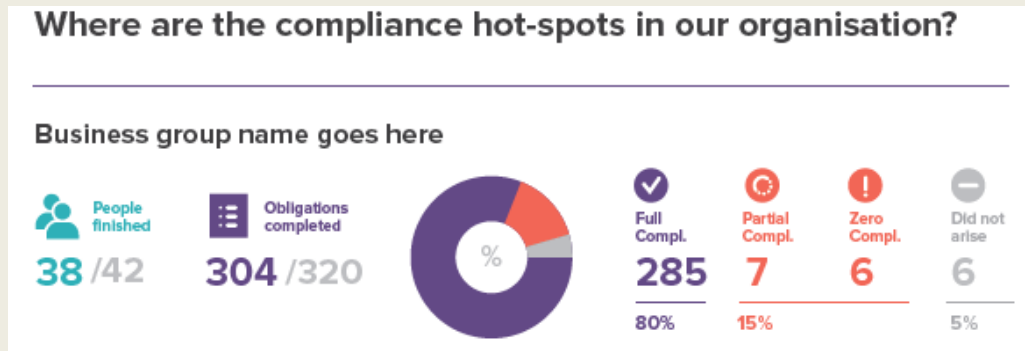
For details, go to [page XX](#) →

New front page –
engaging
useful
overview

Body of report - Overview of results



Can be segmented out into business groups



Legal areas with the most non-compliances?

Highlight what legislation (or category) has the most issues

What are our significant areas of non-compliance?

| | % of Non-compliance | No of non-compl. obligations |
|--|---------------------|------------------------------|
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 40% | 2/5 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur | 20% | 10/50 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 10% | 2/20 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet. | 5% | 1/20 |
| Legislation area or category goes here, Lorem ipsum dolor sit amet, consectetur adipiscing elit. | 2.5% | 1/25 |

Conclusion goes here.

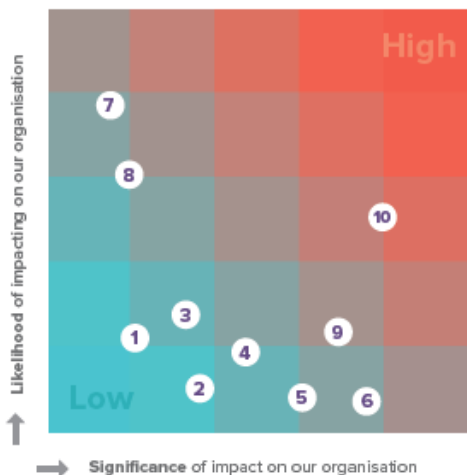
Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Heat map the most significant issues

1. Identify
2. Assess
3. Present

What is the risk-rating of our significant non-compliances?



Top 10 significant obligations:

1. Lorem ipsum dolor sit amet, consectetur adipiscing elit.
2. Nullam in mi semper est pulvinar fringilla. Aliquam ligula lorem, venenatis ut turpis nec.
3. Lorem ipsum dolor sit amet, consectetur adipiscing elit.
4. Nullam in mi semper est pulvinar fringilla. Aliquam ligula lorem, venenatis ut turpis nec, rhoncus scelerisque libero.
5. Lorem ipsum dolor sit amet, consectetur adipiscing elit.
6. Lorem ipsum dolor sit amet, consectetur adipiscing elit.
7. Nullam in mi semper est pulvinar fringilla. Aliquam ligula lorem, venenatis ut turpis nec.
8. Lorem ipsum dolor sit amet, consectetur adipiscing elit.
9. Nullam in mi semper est pulvinar fringilla. Aliquam ligula lorem, venenatis ut turpis nec.
10. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Corrective actions – (more work to do here!)

14/25

56%

Are resolved.

6/25

24%

Have an action
plan in place.

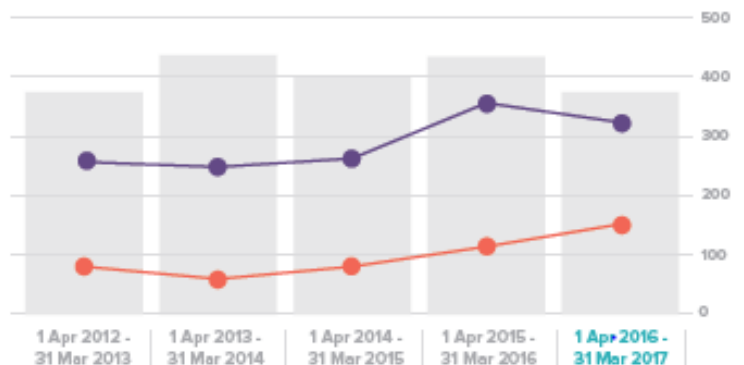
5/25

20%

Have no action
plan in place.

Trend analysis

How does our compliance compare to previous periods?



| | | | | | |
|-----|-----|-----|-----|-----|-------|
| 382 | 362 | 402 | 422 | 382 | Total |
| 302 | 300 | 304 | 340 | 292 | Full |
| 76 | 70 | 75 | 82 | 90 | Non |

- Full Compliance
- Non Compliance

Conclusion goes here.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit.

Providing more information that is useful to directors & senior management

What's the impact of recent law changes on Ravensdown?



The top 3 law changes:

1. Employment Law.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet, consectetur adipiscing elit.



2. Employment Law.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh.



3. Health & Safety Law.

Lorem ipsum dolor sit amet, consectetur adipiscing elit. Morbi sit amet tristique nibh. Lorem ipsum dolor sit amet.



Thank you.