

CONNECTING THE DOTS:

COMPLIANCE COCKPIT ROADMAP & UPDATES



SASHA MEIER

COUNTRY MANAGER SWITZERLAND
EQS GROUP

Our Mission

Creating Trusted Companies



Review: H1 2024

01

Amazing things came to COCKPIT in H1 2024

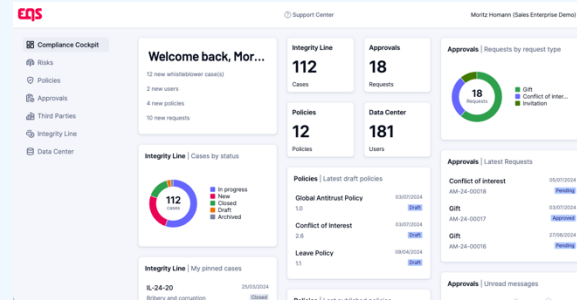
AI functionality in Integrity Line

What is your suspicion?

Feeling uneasy, I decided to dig a bit deeper. I spoke to Sarah Brown, another Sales Executive ##### in our department. Sarah #####, who works at the same office address as Richard ##### and me at 1234 Compliance St. #####, Munich, Germany, and can be contacted at sarahbrown@example.com #####, revealed even more disturbing information. She mentioned overhearing a conversation between Richard ##### and Tom ##### where Richard ##### explicitly mentioned "sweetening the deal" for

Auto Title, Auto Classification, Auto Transcription, Auto Anonymization

New COCKPIT Design

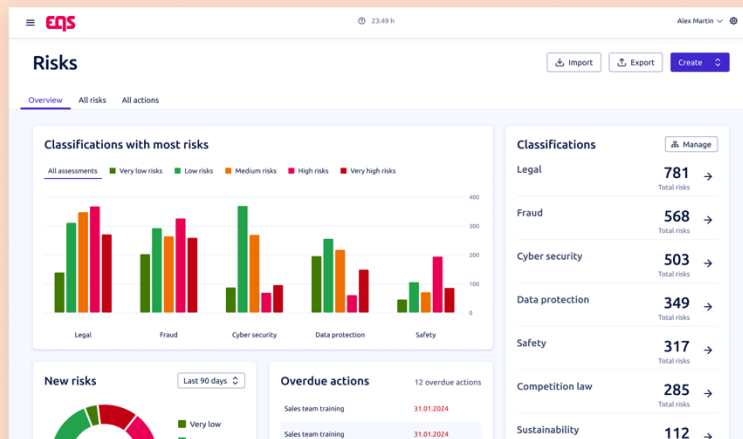


Policy Buddy

Can I accept this invitation from our supplier?

According to the Gifts & Hospitality policy of the company, ...

New module in COCKPIT: Risks



Helps you assess and manage Compliance risks more efficiently

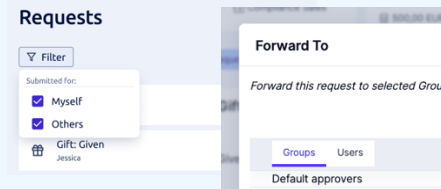
H1 Highlights

Policies

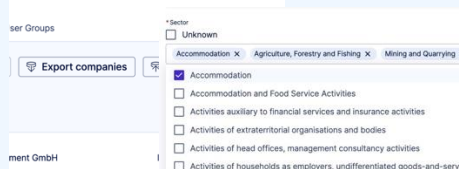
Improved approvals, better reminders



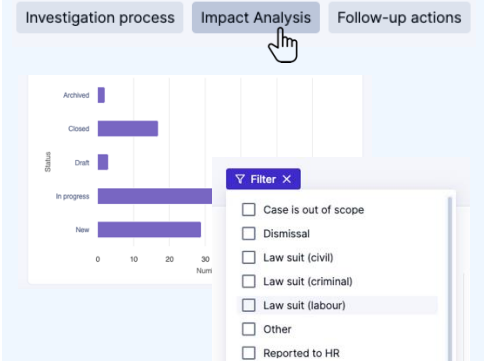
Approvals Submitting for others, Forwarding to groups



Third Parties Advanced company handling



Integrity Line More advanced Case Management & Reporting



Custom Case Tabs, Folder Groups, Reporting

 Compliance Cockpit Risks Policies Approvals Third Parties Integrity Line Users & Organizations

Welcome back Alex Martin

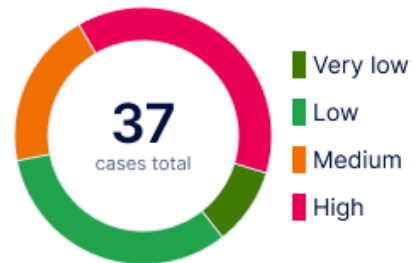
No new approval requests

No new users

No new policies

No new whistleblower cases

Risks | Risk assessments



Integrity Line | Pinned cases

2022-3 Crime financier	03.01.2022 Pending
2021-5 Loi sur la concurrence	02.01.2021 Active

Integrity Line

42

Cases

Policies

45

Policies

Approvals

12

Requests

Users & Organizations

12,345

Users

Approvals | Requests



Approvals | Latest requests



You have no requests at the moment!

Compliance blogs

7 tips for great compliance website



Grâce à ces règles, vous réduisez le sentiment d'incertitude chez vos employés et vous agissez contre la corruption dans votre entreprise

Compliance webinars

- Oct 30 2023
EQS Compliance tuesdays
- June 30 2023
EQS Compliance hub
- Oct 30
Market abuse regulation - Ask the experts

Integrity line

Overview Cases Audit Customization

Filter

Export audit report

Cases assigned to me

2022-3 Crime financier	03.01.2022 In progress
2021-5 Loi sur la concurrence	02.01.2021 In progress

Last view cases

IL-24-35	03.01.2022 In progress
IL-24-34	02.01.2021 Draft

Avg. time case completion

Latest cases

2022-3 Austria	03.01.2022 New
2021-5 Afganistan	02.01.2021 New
2021-5 Germany	02.01.2021 New

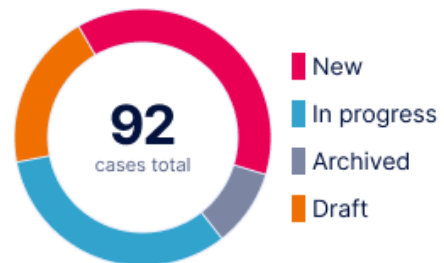
Cases with messages



No unread messages

Cases with new notes

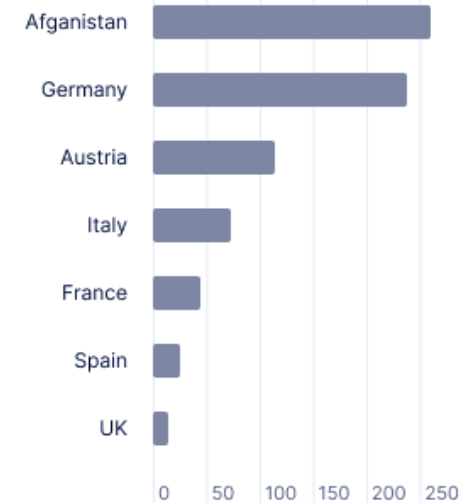
Cases by status



Cases by classification



Cases by country



Number of cases



Integrity line

Overview **Cases** Audit Customization

< **In progress** Close case Anonymize

Search Reminders User access ☆ ↓ ⋮

Case 2021-54

Add a short description here

Case manager : No Owner defined yet
Classification : Financial
 Crime
Country : Germany

Folder : Inbox
Linked cases : —

Report Secure Inbox Notes Mechanisms Custom tabs

Initial case Case manager

What is your suspicion?

Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est Lorem ipsum dolor sit amet. Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata

In which company did the incident take place?

BMW AG

Do you work in the organization? yes

English (original)

Created on : 19.04.2021, 13:22
First accessed on : 19.04.2021, 13:22
External case ID : 12ab46-123
Channel : reported through the app

Compliance Cockpit

- Risks
- Policies Free
- Approvals
- Third Parties
- Integrity Line
- Data Center

Complement your Cockpit with these applications:

Integrity Line

Welcome back Alex

- No new approval requests
- No new users
- No new policies
- No new whistleblower cases



Integrity line | Pinned cases

2022-3	03.01.2022	Pending
Financial crime		
2021-5	02.01.2021	Active
Competition law		

Integrity line

37
New cases

Approvals

2
Requests

Policies

45
Company policies

Data center

12,345
Total users



Integrity line | Cases assigned to me

2022-3	03.01.2022	Pending
Financial crime		
2021-5	02.01.2021	Active
Competition law		
2021-4	02.01.2021	

Compliance blog | Recent article

7 tips for a great compliance website

With these rules, you reduce the feeling of uncertainty among your employees and you act against corruption in your company.

Compliance webinars | Upcoming events

- May 5, 2024
EQS compliance Tuesdays
- Aug 16, 2024
Market abuse regulation - Ask the experts

[See more >](#)

Outlook: H2 2024

02

Compliance COCKPIT: Roadmap 2024



Refined policy lifecycle management and communication accessibility

- Include blue-collar workers and external stakeholders without user accounts in your policy communication
- Refine your creation workflow for new and updated policies with more advanced approval steps

Q3



Improved data insights to uncover trends and blind spots

- Understand trends and blind spots in your Gifts, Hospitality and Conflicts of Interest program
- Configure your own dashboards and KPI charts to suit your organization's reporting needs

Q3



More precise and automated risk assessment of Third Parties

- Leverage automated notifications about new risks, changed evaluation results, action updates and more
- Access external screening data for abstract risks and sanction list information

Q3



More powerful case management for Enterprise requirements

- Use conditional fields, workflows and enhanced auto-reminders to streamline your investigation process
- Leverage integrations with HR systems to get additional context on employees involved in a case

Q4



Enhanced Conflict of Interest management

- Enable companies to manage their Conflicts of Interests in a more streamlined way
- Improve the traceability of Conflict of Interest decisions

Q4



Improved accountability (logs, measures, reminders)

- Expanded Audit Trail covering more COCKPIT areas (e.g. Approvals)
- Additional reminders, notifications and measure management to improve follow-ups and accountability

Q4



Additional insights through Artificial Intelligence

- Leverage automated context for decision-making in internal investigations or Conflicts of Interest
- Gain insights into your policy landscape through automated cross-references

H1



Advanced organization management across Compliance COCKPIT

- Map your organizational structure to COCKPIT to simplify permission and data management
- Gain insights about trends and blind spots in specific areas of your organization

H1



Increased connectivity around business partner data

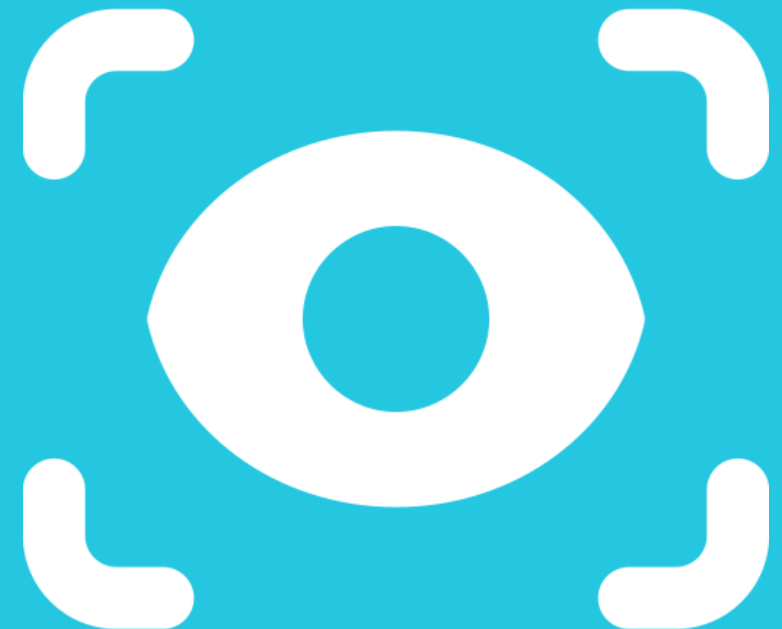
- Synchronize business partner data from existing company systems
- Connect business partner information from approval workflows to your central business partner database

H1

➤ Note: The items on this roadmap reflect the assumptions at a given point in time, but may change based on new information and/or priorities. This roadmap is updated quarterly, this version reflects the status of Q3 2024.

Feature Preview: Multi-step approval processes in Approvals

The designs shown represent the current concept version and might be subject to change.



Approvals

Requests Content Rules

Approval groups

Delete rules

Save rules

Request Inbox



Request Type

- Gift
- Invitation
- Conflict of Interest

Decision



Subtypes

- Given
- Decision



Default Approval



Default Approval

Requires Approvals

Type of approval

Requires Approval

Approval Group

Select approval group(s)

Compliance Officer France

Delete

+ Add more approvers

Approvals

Requests Content Rules

Approval groups

Delete rules

Save rules

Request Inbox



Request Type

- Gift
- Invitation
- Conflict of Interest

Decision



Subtypes

- Given
- Decision



Default Approval



Default Approval

Requires Approvals

Type of approval

Requires Approval

1st Approval Group

Select approval group(s)

Compliance Officer France

Delete

2nd Approval Group

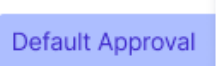
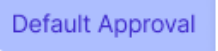
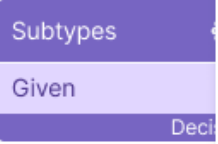
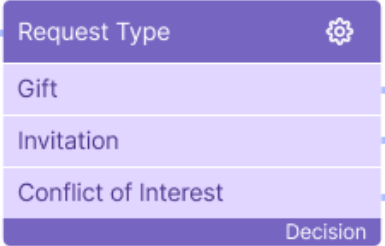
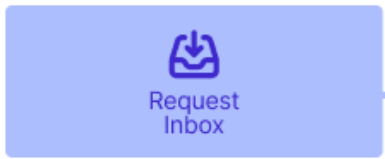
Select approval group(s)

Team Lead

Delete

Approval groups

Delete rules Save rules



Requires Approvals ✕

3rd Approval Group

Select approval group(s)

Team Lead ▼

Delete

4th Approval Group

Select approval group(s)

Procurement Officer France ▼

Delete

5th Approval Group

Select approval group(s)

Compliance Officer EU ▼

Delete

Cancel

Save decision

Pending

Gift : AM-24-00246

Created by Jane Doe

Requests Related Messages 3

Employee

Max Mustermann

Team lead

22.04.2024

Received

55 EUR

Business Partner

John Doe

Albania

Request details

Give your gift a short name

Wine

The gift is or was...

Received

Type of gift

Charitable donation

Estimated monetary value of the gift

55,00 EUR

Business Partner

Progress Notes History

✓ Approval: Approved

Approval group A ⓘ

2 Approval: Reviewing Action

Compliance Office EU ⓘ

Compliance Office EU
Max Mustermann, Jane Doe, John Doe.

3 Approval: To be Reviewed by

Compliance Office France ⓘ

4 Approval: To be Reviewed by

Procurement team EU ⓘ

5 Approval: To be Reviewed by

Procurement team France ⓘ

Approve

Decline

See more ▼

Pending

Gift : AM-24-00246

Created by Jane Doe

Requests Related Messages 3

Employee

Max Mustermann

Team lead

22.04.2024

Received

55 EUR

Business Partner

John Doe

Albania

Request details

Give your gift a short name

Wine

The gift is or was...

Received

Type of gift

Charitable donation

Estimated monetary value of the gift

55,00 EUR

Business Partner

Progress Notes History

- ✓ Approval: Approved
Approval group A
- ✓ Approval: Approved
Compliance Office EU
- 3 Approval: Reviewing Action required
Compliance Office France
- 4 Approval: To be Reviewed by
Procurement team EU
- 5 Approval: To be Reviewed by
Procurement team France

Approve

Decline

See more ▼

Declined

Gift : AM-24-00246

Created by Jane Doe

Requests

Related

Messages 3

Employee

Max Mustermann

Team lead

22.04.2024

Received

55 EUR

Business Partner

John Doe

Albania

Request details

Give your gift a short name

Wine

The gift is or was...

Received

Type of gift

Charitable donation

Estimated monetary value of the gift

55,00 EUR

Business Partner

Progress

Notes

History

Approval: Approved

Approval group A

Approval: Approved

Compliance Office EU

Approval: Declined

Compliance Office France

4 Approval

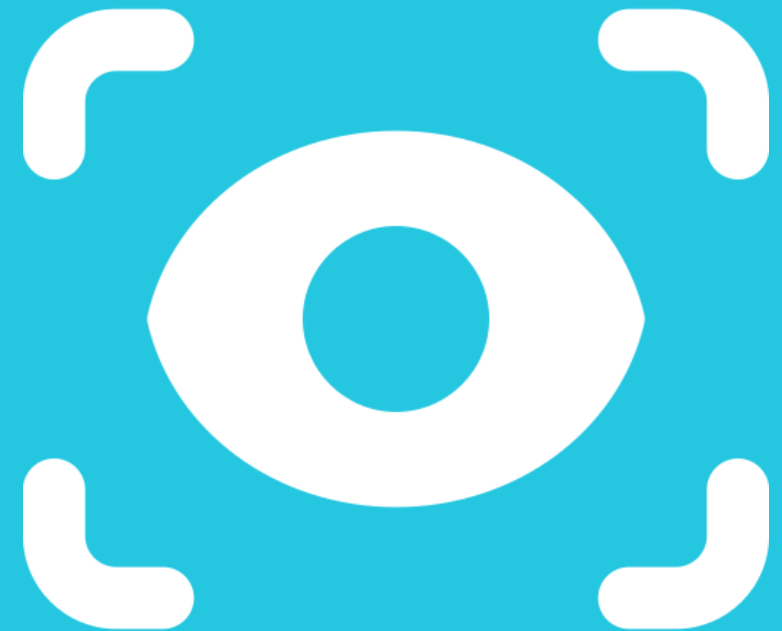
Procurement team EU

5 Approval

Procurement team France

Feature Preview: Tagging involved persons in Integrity Line

The designs shown represent the current concept version and might be subject to change.



[Back to cases](#)

AGI-2021-54 : Allianz global invest

In progress Close case

Anonymize

Reminders

User access

Something went definitely wrong here. And this is a short description.

Owner: Josephine Baker

Folder: HR Team

Classification: Corruption

Linked Cases: --

Country: Germany

Report

Secure inbox

Notes 3

Mechanisms

Custom tabs

Report Case manager

What is your suspicion?

Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est Lorem ipsum dolor sit amet. Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata

In which company did the incident take place?

BMW AG

English original

Date of Creation: 19.04.2021 13:22

Seen first: 19.04.2021 13:22

Reporter ID: 12ab46-123

Source: reported through the app

Person linked to the case

Jacob Schultz Accused

Jackie Kub Reporter

Barbara Hammes Witness

Candice Goodwin Witness

Link person

[Back to cases](#)

AGI-2021-54 : Allianz global invest

In progress Close caseAnonymizeRemindersUser accessStar Download More

Something went definitely wrong here. And this is a short description.

Owner: Josephine Baker

Folder: HR Team

Classification: Corruption

Linked Cases: --

Country: Germany

ReportSecure inboxNotes 3MechanismsCustom tabs

Report Case manager

What is your suspicion?

Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata sanctus est Lorem ipsum dolor sit amet. Lorem ipsum dolor sit amet, consetetur sadipscing elitr, sed diam nonumy eirmod tempor invidunt ut labore et dolore magna aliquyam erat, sed diam voluptua. At vero eos et accusam et justo duo dolores et ea rebum. Stet clita kasd gubergren, no sea takimata

In which company did the incident take place?

BMW AG

CG Candice Goodwin Internal employee
candice.goodwin@global-invest.com

Company Global Invest AG

Job title Procurement Manager

Department Purchasing Department

Roles Admin Approver
Data upload employee +2

Policies [Global Code of Conduct](#)

[Health & Safety policy Spain](#)

Read more

Candice Goodwin Witness

Link person



Link person



To link a person to a case, search for him from the list of existing list and give his status on the case.

Person



Role



The person must be available in the [Data Center](#).

Cancel

Link employee

[< Back to {1st level}](#)[Delete user](#)[Resend activation email](#)

Barbara Hammes

[Compliance Cockpit](#)[Internal employee](#)[Personal data](#)[Roles](#)[Policies](#)[Linked cases](#)

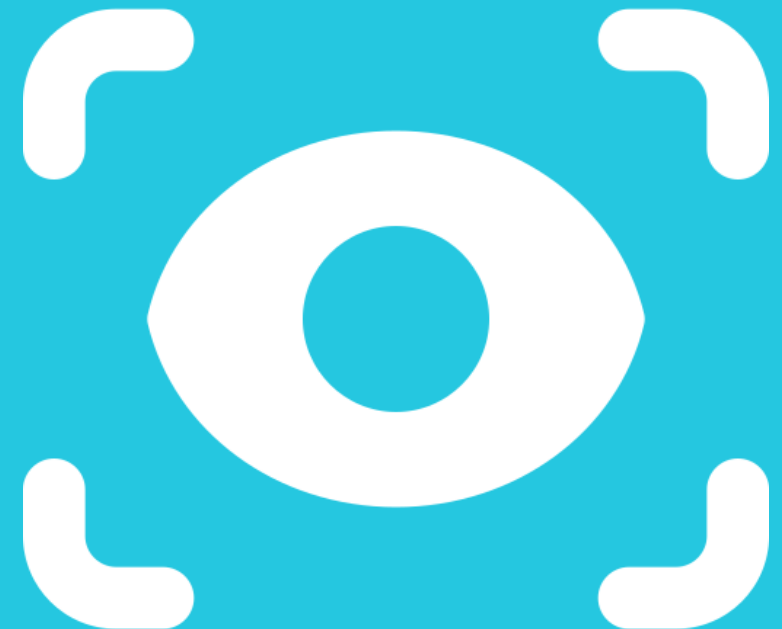
Linked cases

Here you will find a list of cases with which the person is linked to. You can find all cases at [Integrity Line](#).

Case	Case status	Classification:	Case manager	Role of the person	
AGI-2021-54	In progress	Corruption	Josephine Baker	Witness	→
AGI-2024-12	Closed	Conflict of Interest	Josephine Baker	Reporter	→

Feature Preview: Notifications in COCKPIT

The designs shown represent the current concept version and might be subject to change.



Compliance Cockpit

- Risks
- Policies
- Approvals
- Third Parties
- Integrity Line
- Data Center

Welcome back Alex Martin

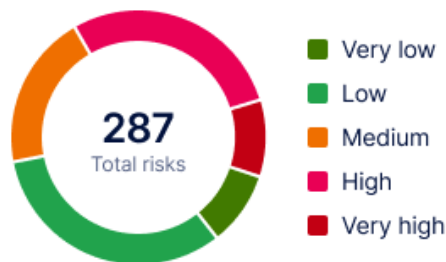
No new approval requests

No new users

No new policies

No new whistleblower cases

Integrity Line | Case by status



Integrity Line | Pinned cases

2022-3 Crime financier	03.01.2022 Pending
2021-5 Loi sur la concurrence	02.01.2021 Active

Integrity Line | Latest cases

Integrity Line

37

New cases

Policies

45

Company policies

Approvals

2

Requests

Data Center

12,34

Total users

Approvals | Requests by type



Approvals | Latest requests

2022-3 Crime financier	03.01.2022 Pending
2021-5 Loi sur la concurrence	02.01.2021 Active

Notifications 6

Show unread

- New case submitted** 1:37 pm
 Corruption in the sales department 31.05.2024
- Case status update for IL-02-2024** 1:37 pm
 Case has been updated to in progress 31.05.2024
- New message on case IL-02-2449** 1:37 pm
 Comment added by John Smith 31.05.2024
- Risk 01-34-2004 assigned to you** 1:37 pm
 Abdul has assigned you as risk owner 31.05.2024
- New approval request** 1:37 pm
 New request submitted for your approval 31.05.2024
- New message on case IL-02-2449** 1:37 pm
 Comment added by John Smith 31.05.2024
- New webinar for compliance** 1:37 pm
 Exciting compliance workshop for professionals. Join ... 31.05.2024

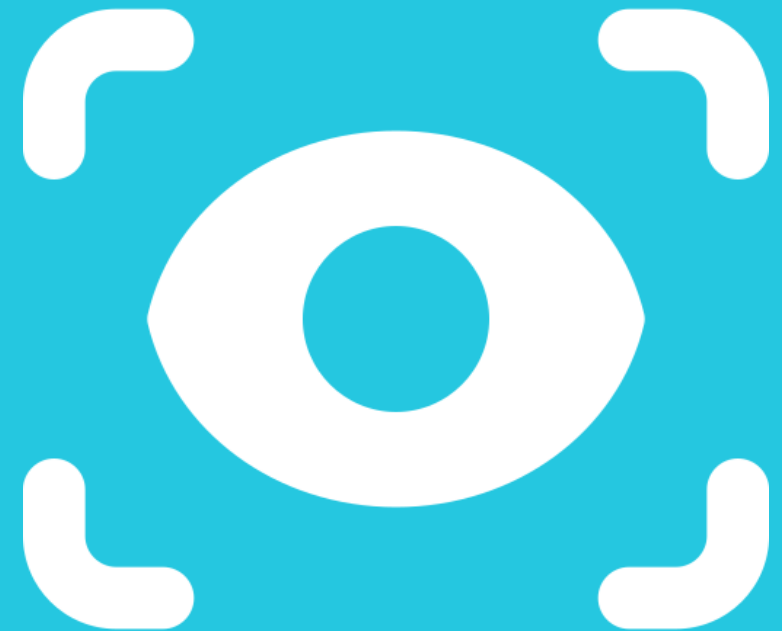
Experience Days 2024

Save Your Seat!

Register now and secure one of the limited

Feature Preview: Dashboards

The designs shown represent the current concept version and might be subject to change.





Approvals dashboard

Welcome back, Alex!



Overview

Requests

Content

Rules

Total Pending Requests



124

1.8% Up from yesterday

Total Approved Requests



124

2% Up from last week

Gifts per year



124

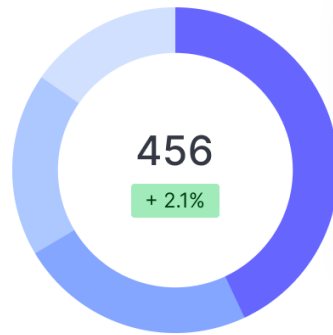
0.3% Down from 2022

Total Requests



Cases per country

Last quarter



● Germany	50 ↓	● France	96 ↑
● China	126 ↓	● USA	184 ↑

Cases per country

Last quarter



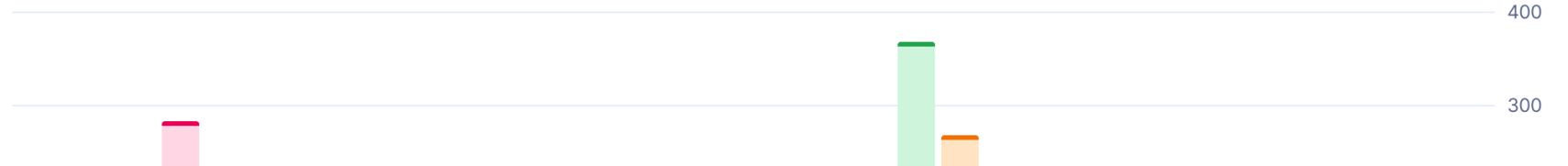
● Germany	50 ↓	● France	96 ↑
● China	126 ↓	● USA	184 ↑

- Download Excel
- Download PNG
- Download CSV

Requests by status

June

All Classifications ■ Approved ■ Forwarded ■ Pending ■ Declined ■ Acknowledged



THANK YOU!



Sascha Meier

Country Manager Switzerland
EQS Group

+41(0)43 883 44 78

sascha.meier@eqs.com

EQS CREATING TRUSTED
COMPANIES »



www.eqs.com