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2



Your Hosts Today



KRISTY GRANT-HART

CEO, Spark Compliance
 Former Chief Compliance Officer
 Author
 Speaker
 Creator of the Compliance
 Competitor Software/Game

MARTIN LØNSTRUP

VP, Head of Group Compliance

- + 15 years of int. experience
- Lived and worked in 5 countries, including the US, India and China
- Frontier within Compliance Tech and challenging status quo



3

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- Sandvik's Transformation
- How to do it
- Dealing with Fear and Objections
- What's next in the digital space?
- Questions and Answers



4

4



SANDVIK'S TRANSFORMATION

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COMPLIANCE. SIMPLIFIED

ADVANCING OUR FOUNDATION TO THE NEXT LEVEL

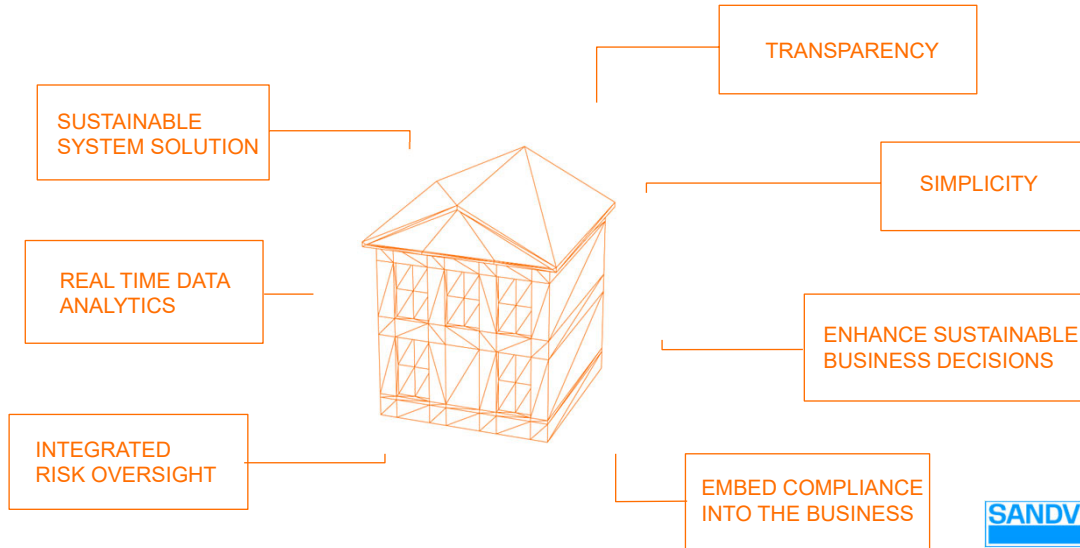
Group Compliance will conceptualise our offerings through simplification, automation and data driven execution becoming a strategic partner to the business – providing competitive edge

With global economy shifts, political trends and the regulatory landscape constantly evolving, we serve as a strategic partner preparing for the future marketplace, today



6

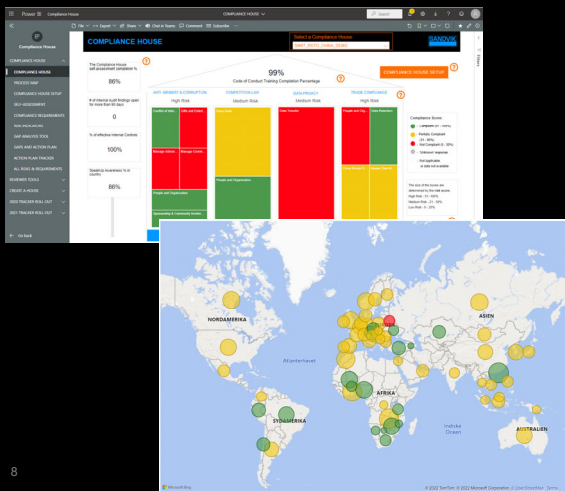
THE SANDVIK COMPLIANCE HOUSE



7

WELCOME TO THE COMPLIANCE HOUSE

BACKGROUND



- Global Compliance Program monitoring tool across +350 legal entities globally.
- A dashboard, self-assessment and remediation plan tool created on the Microsoft Power BI platform.
- Connects the 4 compliance programs in one place and contains all key elements required for each.
- Provides an overview and insight into the compliance activities.
 - Collected and presented in a smart way using data and analytics
 - Rolled up through reporting lines
- Provides insight for management, internal audit, external audit and Board reporting.



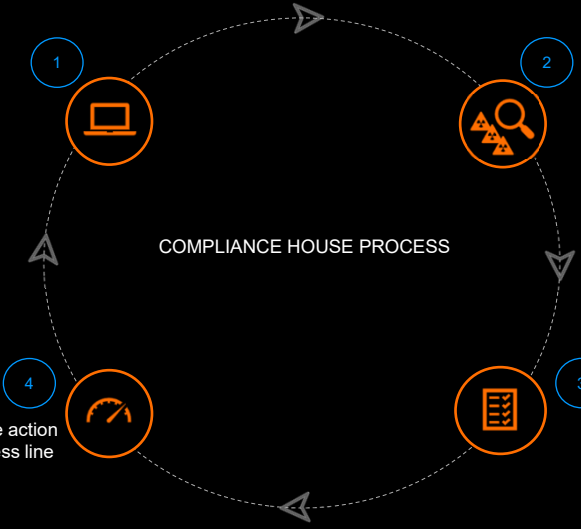
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HOW DOES THE COMPLIANCE HOUSE WORK?

STEP ONE
Fill in the self-assessment questionnaire in the tool



STEP TWO
View and analyze:
1. Which compliance areas are applicable to your entity
2. Risk levels of each compliance area
3. Current status of your entity's compliance work

STEP THREE
Create a 12 month action plan setting out the details of how and when the prioritized gaps will be closed and who is responsible

STEP FOUR
Agreed on follow-up on the action plan with appointed business line reviewer

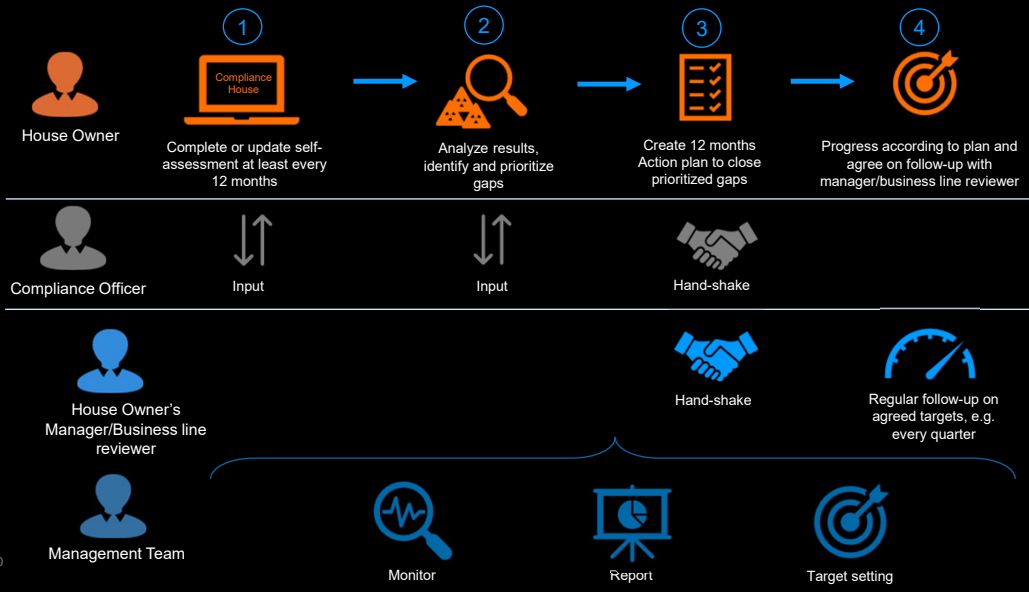


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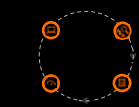
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COMPLIANCE HOUSE PROCESS IN DETAIL



The Compliance House should be reviewed every quarter, as a suggestion as it is an ongoing 12 month process



10

10

COMPLIANCE HOUSE GUIDING PRINCIPLES

WHAT



Smart home - proactively keep up to date



Quarterly check-in



Annual review to feed yearly objectives



Timely completion of actions



Part of Operational Business Reviews



Use insights from analytics

HOW



Cross-team dialogue



Scratch the surface

11



11

DIGITAL TOOL FOR MANAGING DECLARATIONS

WORKFLOW BASED – PUSHING A CASE TO THE NEXT ROLE WITH A RESPONSIBILITY

1. Disclosure (Employee)
2. Review and assessment (Line Manager)
3. Advice (HR or Compliance function)
4. Agreement about assessment and mitigation actions (Employee and Line Manager)
5. Execution and follow-up of risk mitigation actions (Employee and Line Manager)

ADVANTAGES OF DIGITAL TOOL (COMPARED WITH MANUAL)

- Data privacy assurance
- Auditability
- Process more robust (workflows) and efficient (reminders)



- Enhanced protection of employees
- Enhanced protection of line managers

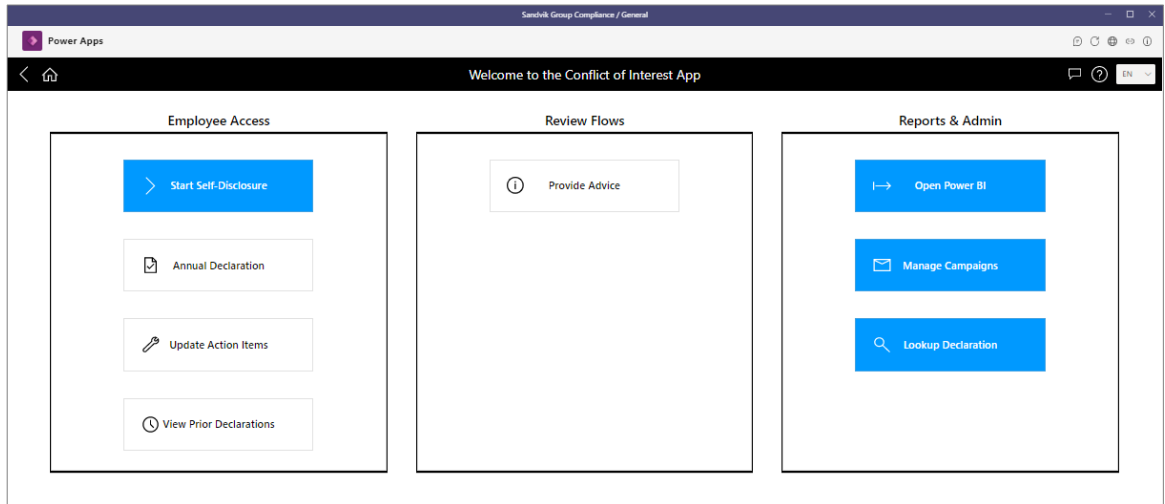
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12

COI APP IN TEAMS

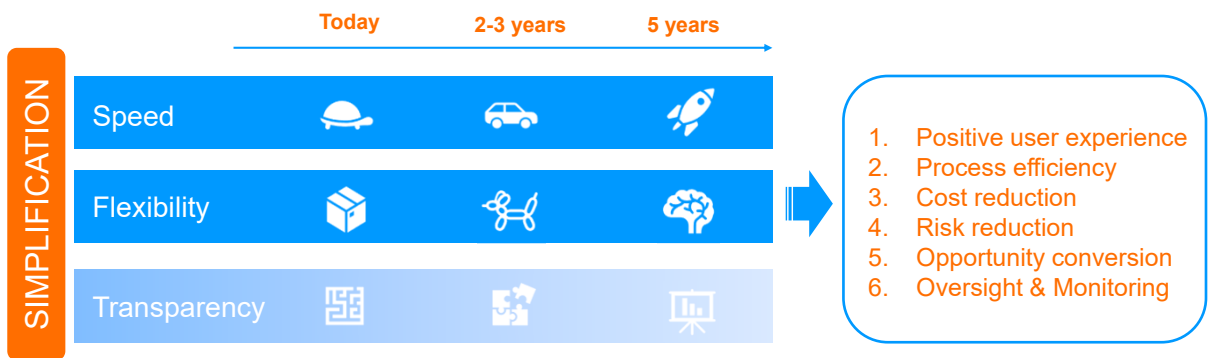
CAMPAIGN ADMINISTRATOR VIEW @ COI APP HOME SCREEN



13

INTELLIGENT AUTOMATION JOURNEY

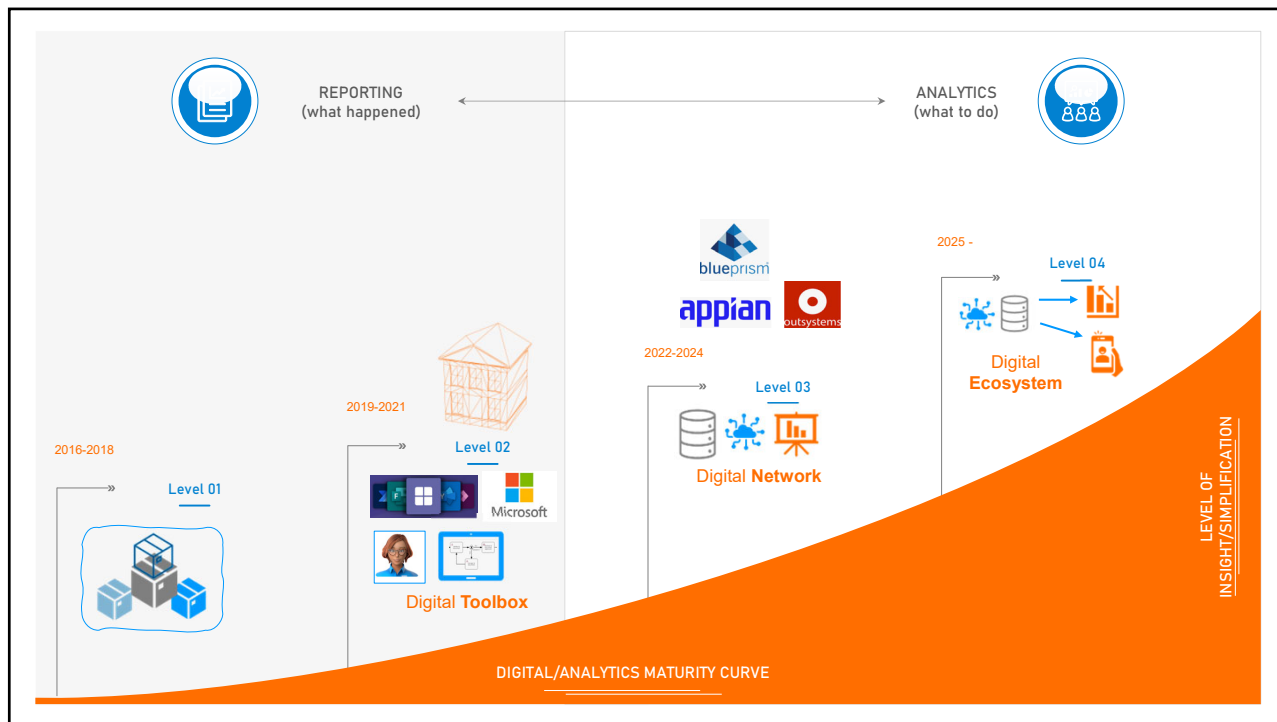
SPEED, FLEXIBILITY AND TRANSPARENCY IN COMPLIANCE MANAGEMENT



14



14



15

WE ARE BUILDING FOR TOMORROW

COMPLIANCE & ETHICS ANYWHERE

INDUSTRY 4.0

DIGITAL BUSINESS USER EXPERIENCE

SANDVIK

- FIND THE RIGHT INFO IN A CLICK
- LEARN WHAT YOU NEED WHEN YOU NEED IT
- TAKE ACTION SEAMLESSLY
- CONTRIBUTE & CONNECT

16

WE ARE BUILDING TRANSPARENCY

TRANSPARENT COMPLIANCE & ETHICS

INDUSTRY 4.0

DIGITAL GOVERNANCE EXPERIENCE

DATA DRIVEN DECISION MAKING

CROSS-ASSURANCE CONNECTIONS

FORWARD LOOKING

CONTINUOUS IMPROVEMENTS

SANDVIK

17

BEST PRACTICES AND HOW-TO

SPARK COMPLIANCE CONSULTING

18

18

IT DOESN'T HAVE TO BE HARD



HOW DO YOU FIND OUT WHAT YOU'VE ALREADY GOT?



HOW DO YOU FIND A DEVELOPER?



HOW MUCH DOES IT COST?

19

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- Asking forgiveness versus permission
- Quantifying the savings
 - Time is money
 - System redundancies
 - Comparing what you *could* have with what you're proposing
- Proof of Concept



20

DEALING WITH FEAR AND OBJECTIONS

- I don't know how to code
- I don't know how to talk to a developer
- I don't know to work with IT on this kind of project
- I'm afraid I'll look stupid
- I'm afraid it won't work



21

WHAT'S COMING UP NEXT?

Martin:

Monitoring tools
2025 Digital roadmap
Chat bot project



Kristy:

Expansion of Compliance
Competitor

Helping clients with technology
audits and digitization plans



22

QUESTIONS AND ANSWERS

23



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24

Let's Stay in Touch!



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