LexisNexis®
Regulatory Compliance

Regulatory Compliance Online Portal User Manual

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Contents

Welcome

Welcome to the LexisNexis® Regulatory Compliance Online Portal ("the online portal"), the secure online compliance register and alerting solution that is designed to help you forge a clear path to compliance.

This user guide will show you how to:

- Log in to the online portal
- Review your obligations
- Assign authorities and responsibilities
- Access 'point in time' snapshots of your register
- Respond to alerts and updates
- Search and filter obligations and alerts
- Download .csv files of obligations and alerts
- Print documents as .pdf's

If you have any queries about the online portal, or about other LexisNexis products and services, please:

- contact your Business Development Manager; or
- email **RegulatoryComplianceUK@lexisnexis.co.uk**

The online portal is hosted by an ISO 27001 certified provider, disaster recovery is in United Kingdom and is active/active within an RTO of less than 24 hours.

Customer data can only be accessed by authorised users and each user can set or reset their password. LexisNexis can only make subscription changes, at your request, and at no time access your organisation's data.

Log into the online portal

Logging in

To log into the online portal, open a browser and go to: **https://compliance.portal.lexisnexis.co.uk/login**

You will then see a screen like this →

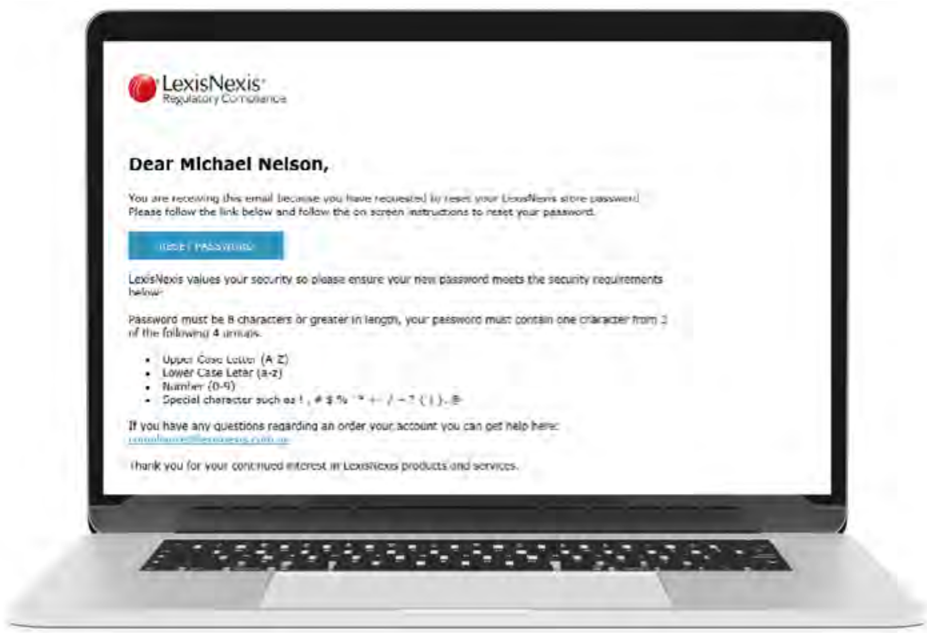
Enter your email and password and click '**Login**'. You now have access to the online portal.

After three attempts using an incorrect password, your account will be locked. To unlock your account, please contact your Relationship Manager.

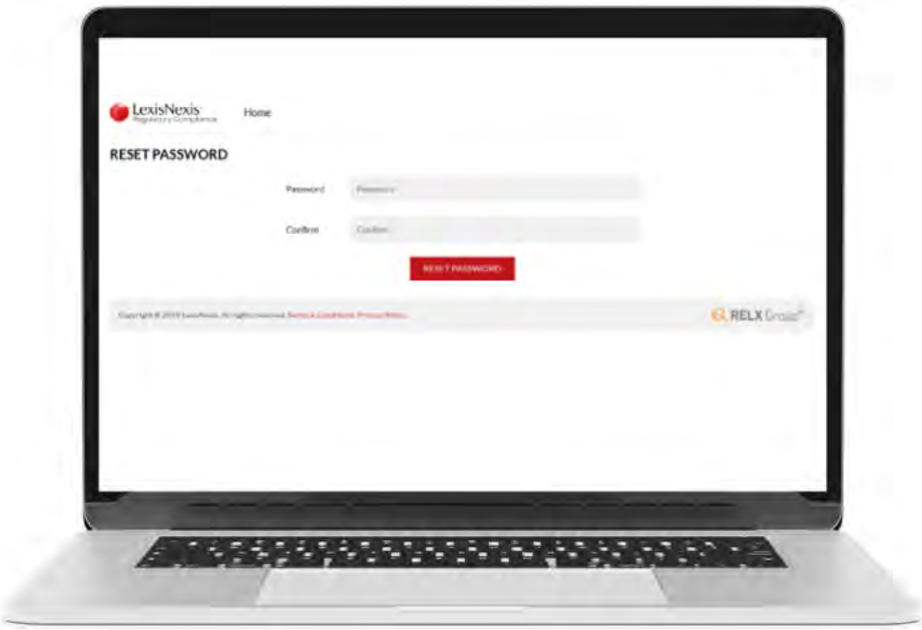
Forgotten password

If you have forgotten your password, click on the 'Forgot password?' link, and then enter your email address into the text box.

You will receive an email that contains a link to the 'reset password' page, and instructions on how to construct a secure password. If you have not received this email within 5 minutes, please ensure to check your Spam/Junk folder.



Enter your new password into the ‘Password’ and ‘Confirm’ text boxes.



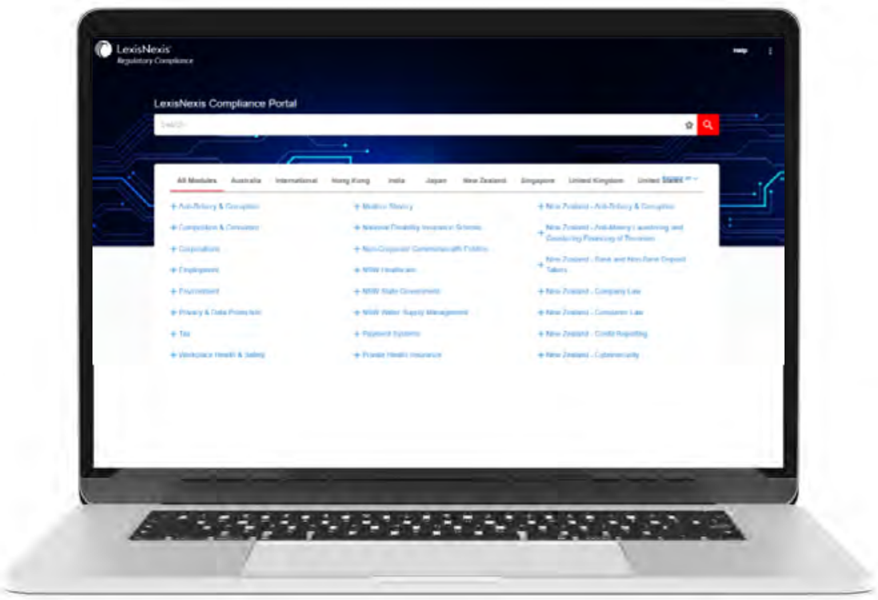
If you have entered a compliant password, a message will appear in the bottom right of the screen advising you have updated your password and you will also receive an email confirming this.

If you have NOT entered a secure password, a message will appear in the bottom right of the screen setting out the problem.

In certain instances, if a password reset fails it’s because the browser is defaulting to a cached password. To avoid this, either clear your cache or log in via incognito mode.

Review your obligations

Upon logging into the portal, you will be taken to the online portal home page.

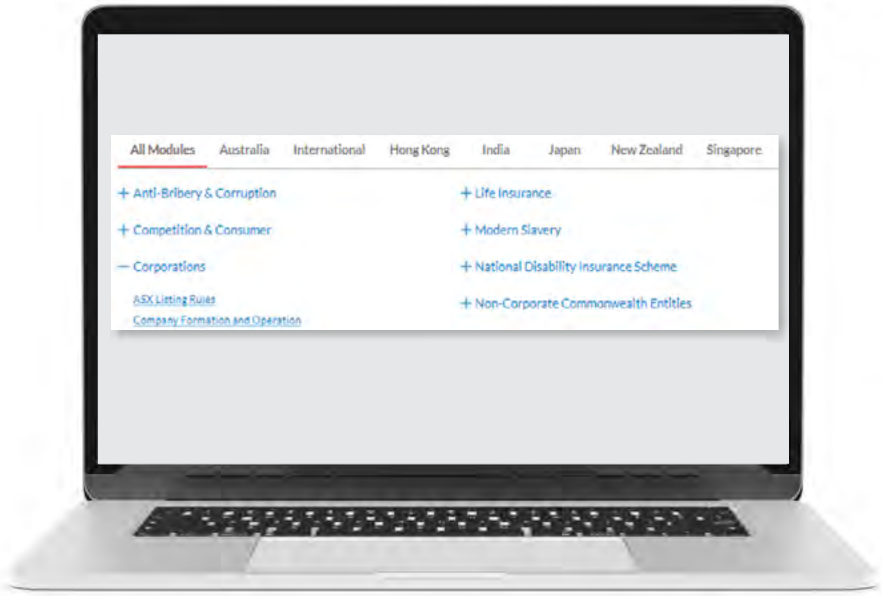


The Profile button, appearing in the top righthand corner as three vertical dots, includes options to logout or update your password.

The Help button takes you to the LexisNexis Community Portal. For more information about the Community Portal refer to the Help section below on page 15.

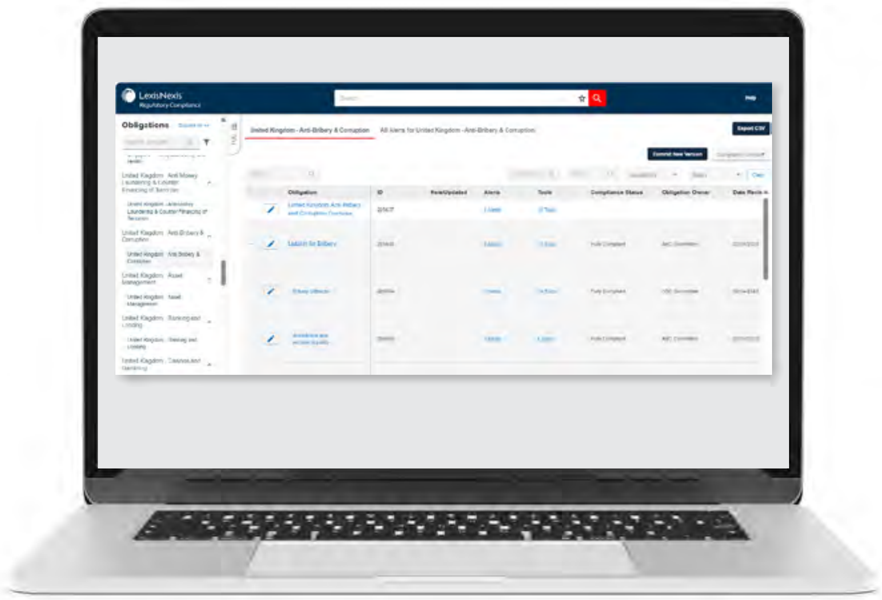
Modules within your subscription are grouped by country and then alphabetically within the country, with the exception of Australian content where the Core Modules (Anti-Bribery and Corruption, Corporations, Privacy and Data Protection etc.) are shown first.

By clicking on the selected module you can then expand to see the topics within the module. If there isn't more than one topic, then it will just show the name of the module again.



Module content

You will then see the contents of the module, including core obligations, sub obligations, alerts and tools set out as follows:



On the left is a menu that allows you to toggle between the various modules within your subscription. This menu can be hidden by clicking on the TOC tab.

Under the title of the selected module, in this case Anti-Bribery and Corruption, you will find all of the obligations and related sub obligations, together with their related alerts and tools.

Each module is re-published on the third Tuesday of each month to reflect changes we make to the obligation content. These changes can include updates due to regulatory reform, minor grammatical or other amendments, new tools contained within the module, and changes made at the suggestion of customers as part of our continuous improvement processes.

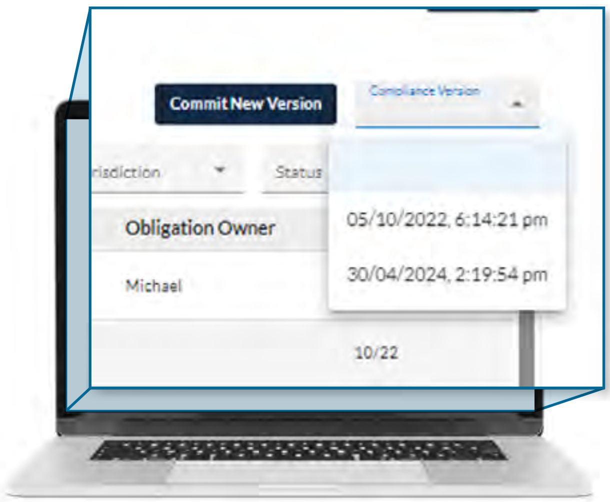
Where obligations have been added or updated this status change will be reflected in the 'New/Updated' column.

Where obligations have been archived, they can be filtered through the Status drop down on the obligation menu bar.

Access 'point in time' snapshots of a module

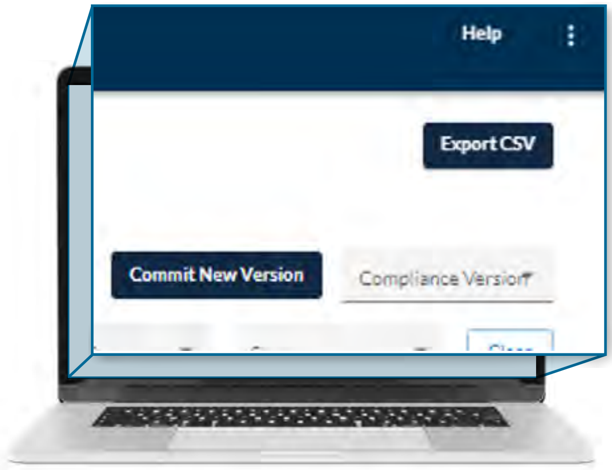
Users can lock down the whole register by clicking on 'Commit as a new version'. This creates a timestamped, archived version, which can then be referred to by clicking on the 'Compliance version' drop down.

NB Only users given SuperUser capability are able to undertake this action.

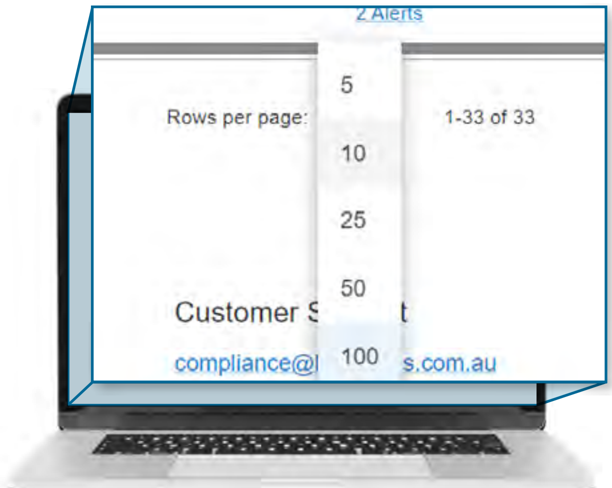


Export as .csv file

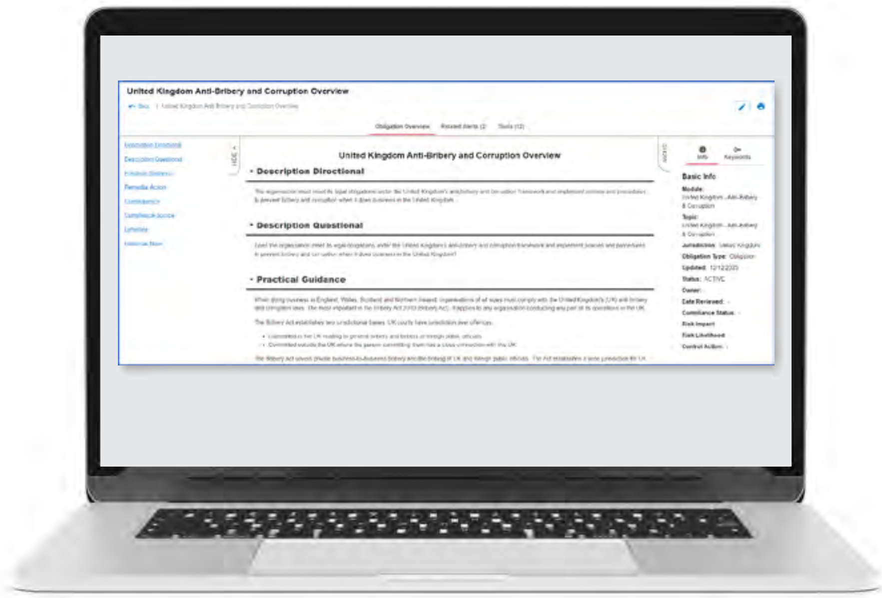
Users can export the whole register by clicking on 'Export CSV'. This exports a complete version of the module, including all of the data fields populated by LexisNexis and the data fields populated by users.



NB The exported data only extends as far as rows per page. The default rows per page is 100, though the number of visible rows can be toggled through a dropdown menu at the bottom of the page:



Obligation content



If you have selected an obligation, it will take you to the following view:

As you can see, the obligation has three tabs: the obligation itself, related alerts and tools.

Each obligation contains the following fields:

- **Sub Obligations:** each Core obligation also has a list of its related sub obligations. This field doesn't appear in Sub Obligations.
- **Description Directional:** the short description of the obligation posed as a statement
- **Description Questional:** the short description of the obligation posed as a question;
- **Practical Guidance:** what an organisation should do in order to be compliant with this obligation;
- **Remediation:** how the organisation is required to behave in order to remain compliant with this obligation;
- **Consequence:** the potential consequences of being found to be in breach of an obligation;
- **Compliance Source**: the range of legislation and ancillary materials from which the practical guidance, remediation and consequences are drawn;
- **Definition:** where, in specific instances, particular words or expressions are required to be more closely defined; and
- **Historical Notes:** where changes made to a particular obligation are summarised. Each note is retained on the system for twelve months.

On the right hand side of the page are the obligation's page anchors.

If the selected obligation is a core obligation then its sub obligation/s will be listed

The Info Tab contains meta data related to the selected obligation:

- Jurisdiction
- Obligation Type [Core Obligation | Sub Obligation]
- Latest publication date
- Obligation Status [Active | Archived]
- Owner (carried over from the editable fields on the module page)
- Compliance Status (carried over from the editable fields on the module page)
- Risk Impact (carried over from the editable fields on the module page)
- Risk Likelihood (carried over from the editable fields on the module page)
- Control Action (carried over from the editable fields on the module page)

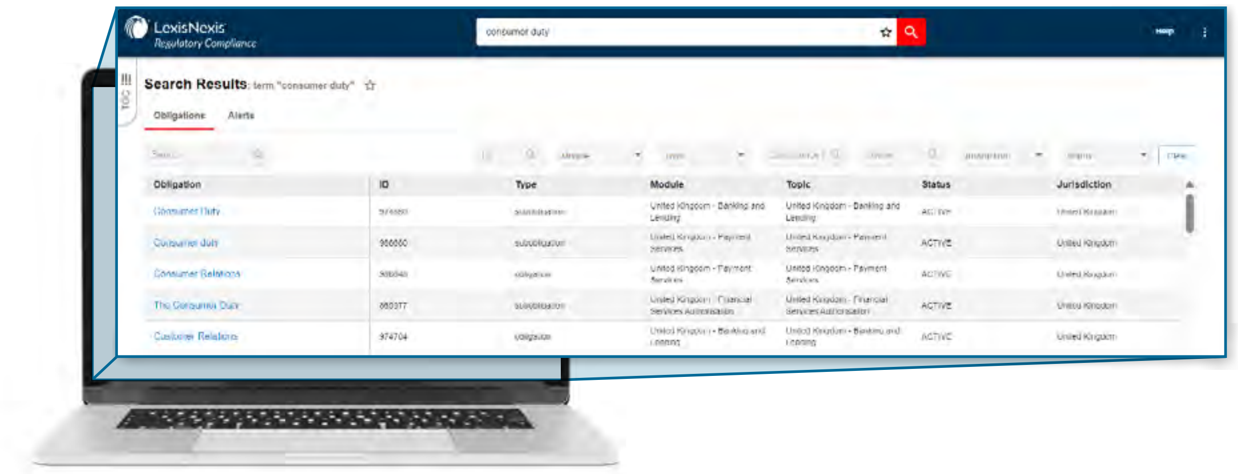
A blue printer icon that allows you to print the obligation to .pdf also appears above the Info Tab.

To access the Alerts, or Tools related to this obligation, click over to the 'Related Alerts' or 'Tools' tab next to the 'Obligation Overview'.

Global search bar

The Global Search bar will search the fields in all of the obligations within your subscription and return a list of relevant obligations and alerts based on the search term used. Users can further refine their search by filtering on the obligation title, obligation and alert ID, module, topic etc within the initial search result set.

You can create 'favourite' searches by clicking on the star icon next to the search term in the Search Results window.



Extended search

The Global Search bar can also be used for extended searches. By clicking the red magnifying glass while the search box is empty, then clicking on the Alerts tab, you can search all of the alerts you have received from us, which can then be filtered by date range, jurisdiction, module, topic and type, obligation and alert ID etc.

Related alerts

Alerts keep you up to date with the latest changes that are occurring, linking advice regarding changes to the obligations in your subscription. Subscription to any module provides access to the alerts relevant to that module and the alerts are deployed within the online portal and, should you request it, via email.

Our alerts contain all the essential information you need to know, including:

- the module to which the update relates;
- which obligations may be impacted; and
- which compliance source/s has changed or added.

There are three types of alert:

FYI Alerts

Advance notice of changes as part of the legislative process – received at 5 stages:

- Consultation Paper or Exposure Draft released;
- Bill/Amendment introduced;
- Bill/Amendment passed;
- Upon Royal Assent (if commencing at a future date); and/or
- Upon proclamation (if commencing at a future date).

They also may relate to general regulatory developments – includes relevant regulatory announcements, guidance/ information material etc. that may be relevant to the organisation's compliance requirements.

Action required alerts

Each time regulatory compliance requirements have changed or legislative changes have commenced and you must take action in response.

News alerts

Reserved for monthly module summaries as well as regular penalty unit updates.

Alert fields

Each FYI, Action Required and News alert contains the following fields:

Title: Details the subject matter being alerted on, and contains a unique alpha-numeric code for subject matter. This Used for further updates e.g. Bill later passes parliament.

Related Obligation: Obligations relevant to the content of the alert. Most alerts linked to at least one core and related sub obligation/s.

Effective Date: The date/s the change/s is set to commence (if known). May be single date or staggered.

Compliance Source: Link provided to the primary source/s that inform the change.

Description: A summary of the content of the compliance source, setting out the details of the change

Impact on Obligation: A call to action on how to properly respond to the changes flagged in the alert.

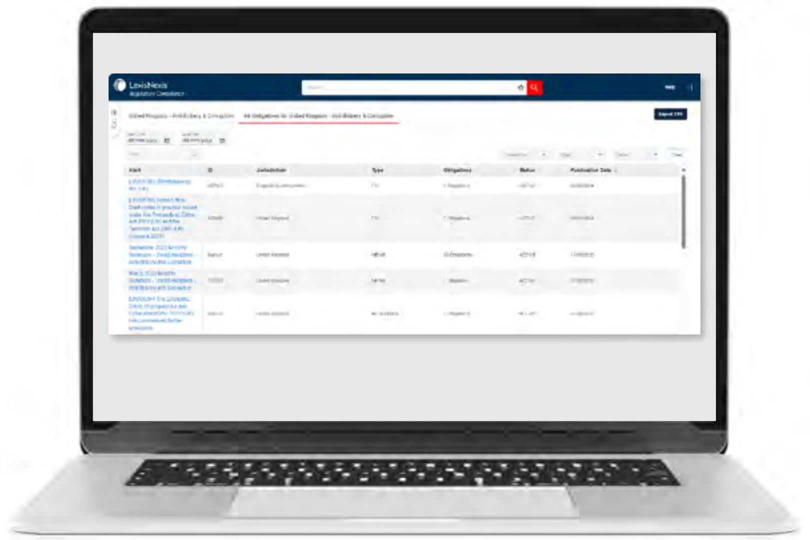
The Info tab contains meta data related to the selected alert:

- Status
- Jurisdiction:
- Alert Type:
- Updated:

See Filter obligations and alerts on page 14 for information about how to filter alerts

The Info Tab contains meta data related to the obligation that the alerts relate to:

- Jurisdiction
- Obligation Type [Core Obligation | Sub Obligation]
- Latest publication date
- Obligation Status [Active | Archived]
- Owner (carried over from the editable fields on the module page)
- Compliance Status (carried over from the editable fields on the module page)
- Risk Impact (carried over from the editable fields on the module page)
- Risk Likelihood (carried over from the editable fields on the module page)
- Control Action (carried over from the editable fields on the module page)



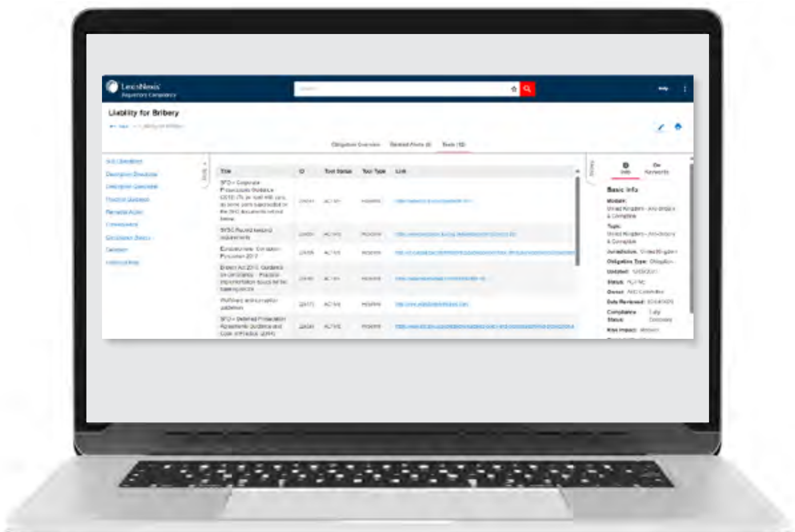
The fields from Owner through to Control Action are editable from this view by clicking on the blue edit pencil icon (see Assigning Responsibilities etc. below). The page can be printed by clicking on the blue printer icon.

Related tools

Tools in the online portal are a set of external links to a range of material, including checklists, reference materials, forms, etc. either hosted by LexisNexis, if we have created the document, or by a range of government departments, agencies, peak bodies or regulators. They are included to assist you in better actioning the information we provide in the obligation registers.

The Info tab contains meta data related to the obligation that relates to the tools:

- Jurisdiction
- Obligation Type [Core Obligation | Sub Obligation]
- Latest publication date
- Obligation Status [Active | Archived]
- Owner (carried over from the editable fields on the module page)
- Compliance Status (carried over from the editable fields on the module page)
- Risk Impact (carried over from the editable fields on the module page)
- Risk Likelihood (carried over from the editable fields on the module page)
- Control Action (carried over from the editable fields on the module page)



Assigning responsibilities, compliance status et al.

On the left of each obligation is a 'pen' icon that allows you to edit certain fields found to the right of the obligation to reflect:

- Who is responsible for obligation;
- Compliance status;
- Date reviewed;
- Risk impact;
- Risk likelihood; and
- Control action.

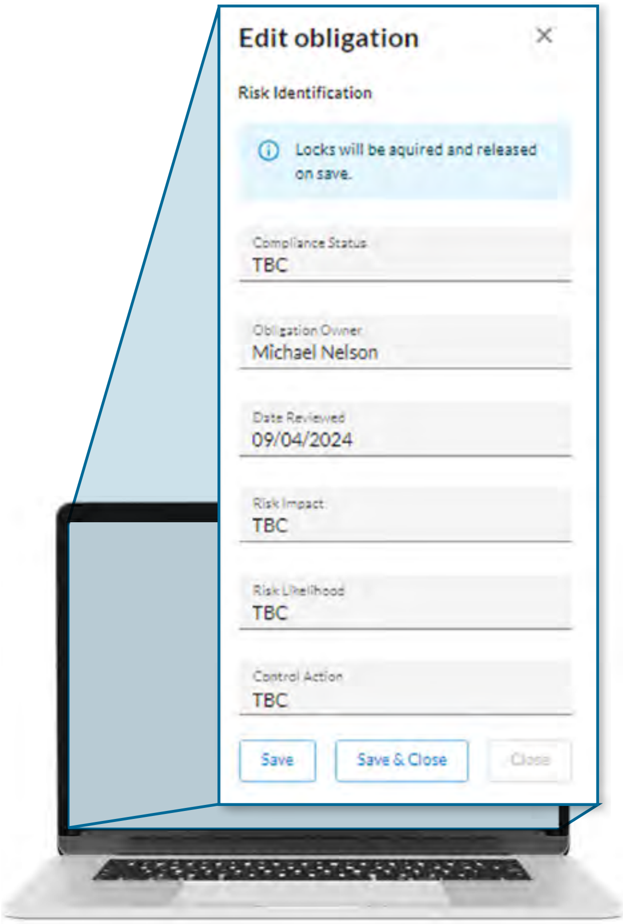
To edit an obligation, first select it by clicking on 'pen' icon next to the obligation's name. The 'Edit Obligation' tab will appear on the right of the screen: →

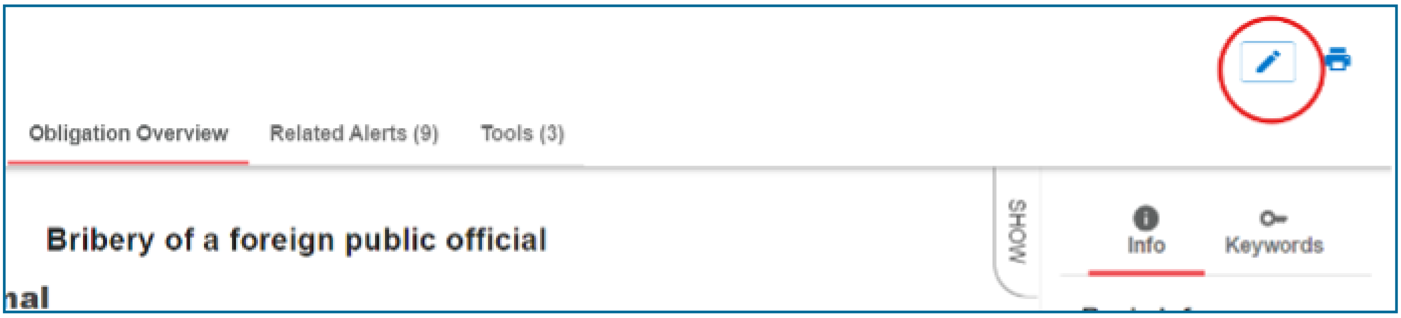
Once you've added the data you need to, you can either 'Save' and continue editing or 'Save & Close' to conclude the editing process.

If the additions have been successfully added, a green confirmation bar will appear briefly at the bottom of the page.

If the additions have NOT been successfully added, a red error bar will appear briefly at the bottom of the page.

You can also access the editable fields of an obligation within the obligation.





The whole register, including the additions you have created in the editable fields, can be exported as a .csv file (see 'Download .csv files of obligations and alerts' below). The csv file will also contain the obligation details i.e. Practical Guidance, Consequences, etc. as well as a number of other potentially relevant fields not available in the standard portal view.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R
1	id	title	date_crea	date_char	lineage	archived	keywords	type	practical_	remedial_	conseque	due_date	frequency	descriptio	descriptio	complianc	definition	exerpt
2	8190	Anti-Bribe	2016-03-2	2023-07-1	7146|8782	FALSE		obligatior	There are	Put in	Breachin			An	Does an	Corporati		
3	8193	Risk Ident	2016-03-2	2021-10-0	7146|8782	FALSE		obligatior	For an	Impleme	Breachin			An	Has the	Criminal		
4	8205	Foreign pu	2016-03-2	2020-09-0	7146|8782	FALSE		subobliga	An	Ensure	Breachin			An	Are there	Crimes		
5	8208	Commonv	2016-03-2	2020-09-0	7146|8782	FALSE		subobliga	An	Ensure	Breachin			An	Are there	Criminal		
6	8217	State and	2016-03-2	2021-10-0	7146|8782	FALSE		subobliga	An	When	Penalties			An	Are there	Criminal		
7	8226	Private br	2016-03-2	2021-10-0	7146|8782	FALSE		subobliga	While	Ensure	Penalties			An	Are	Criminal		
8	8232	Overseas_	2016-03-2	2021-02-0	7146|8782	FALSE		subobliga	When	Conduct	Bribery			An	If the	Bribery		

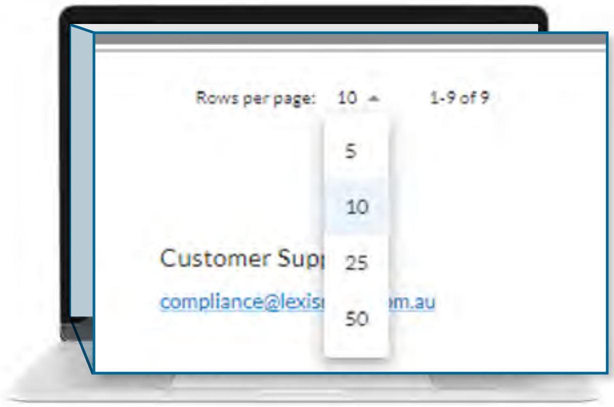
Filter obligations and alerts

Filtering obligation registers

The content of the register can be filtered by:

- Compliance Status
- Obligation Owner
- Jurisdiction
- Obligation Status [Active | Archived]
- The number of Tool(s) associated with the Obligation, if none, then it will be blank
- The number of Alert(s) associated with the Obligation, if none, then it will be blank
- Asset Version – navigating to a previous version of a register, only available if:
    - o The user has first navigated to the Register Page for a particular module
    - o The user's organisation has previously locked in versions (see Access 'point in time' snapshots below)

Depending on the number of search result(s) it would flow through multiple pages. The number of visible rows can be toggled through a dropdown menu at the bottom of the page: →



Filtering alerts related to an obligation

When looking at alerts related to a particular obligation you will be able to toggle the alerts in ascending / descending order by:

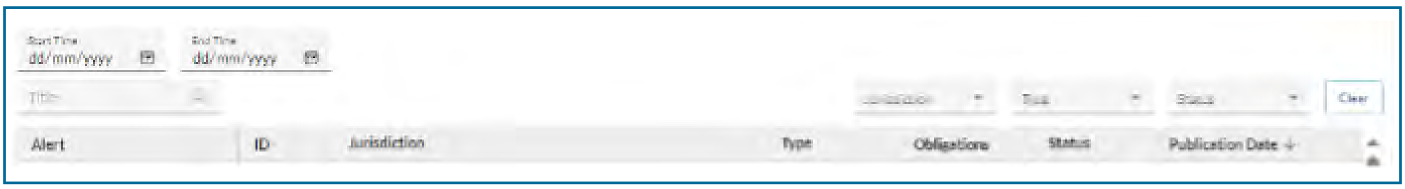
- ID number;
- Jurisdiction;
- Type;
- Status; and
- Published Date.

Filtering all alerts for a module

You can access all of the alerts sent out to a given module by clicking on the 'All alerts for …' link at the top left of portal window, under the module name.

Once there you will be able to see the alerts relevant to the module and will be able to filter by

- Start time;
- End time;
- Title;
- Jurisdiction;
- Type; and
- Status.



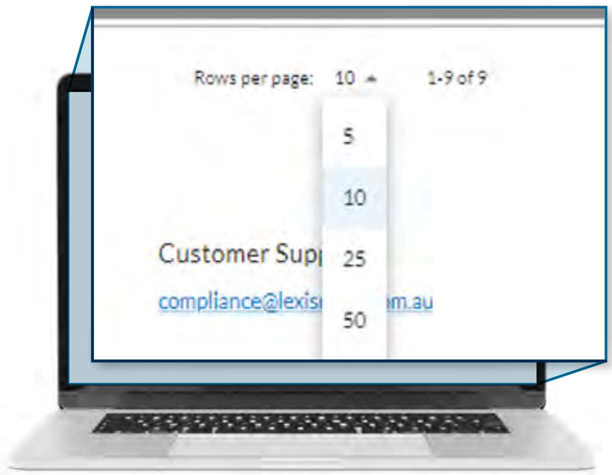
You can add multiple filters at once, so, for example you can search for all the alerts sent from 1 March 2024, that relate to United Kingdom and are Action Required.

Export as .csv file

Users can export the alerts associated with a module by clicking on 'Export CSV'. This exports a complete version of the alerts, including all of the data fields populated by LexisNexis and the data fields populated by users.

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	id	title	date_crea	date_char	lineage	archived	keywords	type	status	descriptio	effective_	complianc	submissio	author	impact_or
2	986103	[ABC85] Attorney-Ge		2024-05-02T02:22:02.		FALSE		FYI	ACTIVE	The	Deadline i	Attorney-	#########	Esther Rut	The
3	973195	[ABC81] Independer		2024-04-09T20:24:50.		FALSE		ACTIONRE	ACTIVE	The	3-Apr-24	Indepen	#########	Esther Rut	Organisat
4	959261	[New update Availal		2024-04-08T06:05:25.		TRUE		FYI	ARCHIVED	The	Upon Roy:	Indepen	#########	Mark Greg	Upon
5	971756	[ABC83] Electoral Le		2024-04-02T03:35:00.		FALSE		FYI	ACTIVE	The	If passed,	Electoral	#########	Jonathan .	There is
6	971521	[ABC84] Electoral Le		2024-04-01T23:51:17.		FALSE		FYI	ACTIVE	The	If passed,	Electoral	#########	Esther Rut	There is
7	959950	[ABC82] Police Powe		2024-03-27T04:03:07.		FALSE		FYI	ACTIVE	The	If passed,	Police	#########	Julian Pau	There is

NB The exported data only extends as far as a rows per page. The number of visible rows can be toggled through a dropdown menu at the bottom of the page:



Help

As noted above, the Help button on the top menu takes you to the LexisNexis Community Portal.

There you will be able to review a variety of resources around the LexisNexis Regulatory Compliance, including training videos, FAQs, checklists, whitepapers etc. If you have any queries around content or our product delivery, you will also be able to lodge a ticket using the 'submit a request' feature.

To arrange a log into the Community Portal please contact your Business Development Manager.

Further queries

If you have any queries about the Regulatory Compliance Online Portal, or about other LexisNexis products and services, please contact your Business Development Manager or email RegulatoryComplianceUK@lexisnexis.co.uk.

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.

- Find relevant obligations faster with jargon-free registers that are aligned to 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.

Authored by leading legal 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

LexisNexis is part of RELX Group, a world-leading provider of information and analytics for professional and business customers across industries. LexisNexis helps customers to achieve their goals in more than 175 countries, across six continents, with over 10,000 employees.

LexisNexis® | *Regulatory Compliance*

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

lexisnexis.co.uk/regulatorycompliance

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