Fostering a Culture of Compliance

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Fostering a Culture of Compliance

Key Points:

- Engaging associates in compliance in an interesting way helps to reinforce the culture of compliance

- Offering supplemental training opportunities to facilitate additional development and national certification helps to build compliance infrastructure

- Incorporating compliance into core business fundamentals, such as goals and/or vision, creates a solid foundation for a culture of compliance

Branding Compliance

If I were to describe a very well-known company using the following description:

> **This is a multinational company that designs, develops, manufactures, markets and sells footwear, apparel, accessories and services.**

Would you be able to tell me the name of this company?

Branding Compliance

Now what if I told you the company is:
○ **Headquartered in Oregon.**
○ **A sports equipment manufacturer.**
○ **Was formerly known as "Blue Ribbon Sports."**

Do you know what company I'm describing now?

Branding Compliance

But what if I said – **"Just do it!"**

Or better yet, what if I showed you this image?

Branding

With a simple image, you knew exactly what company I was describing. Why?

Branding.

Think how long it took to understand the company I was talking about with the descriptions versus that three-word phrase or that single image.

Branding

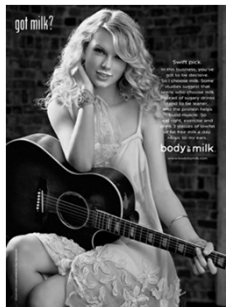Branding makes an item or a concept immediately recognizable.

It makes it memorable, and depending on the situation, it generates activity, either through sales or increased awareness for the concept in question.

Branding

Let's look at a different branding concept.

Do you recognize this campaign?

Branding

Many people associate branding with a commodity. Branding is something that is designed to generate sales.

In fact, each of the examples we've used so far has been a branding concept that either directly or indirectly generates a sale.

However, branding is much more than that.

Branding

Branding can also include a concept.

Let's look at some different branding concepts.

Branding

Branding

Branding

Branding

Merriam-Webster defines branding as:

The promotion of a product or service by identifying it with a particular brand.

Branding

Merriam-Webster defines compliance as:

The act or process of doing what you have been asked or ordered to do; the act or process of complying.

Culture of Compliance

Developing a culture of compliance is a lot like branding. It is the promotion of a service or a concept – which happens to be doing the right thing.

Just like developing a brand, it takes a lot of effort and care to establish and nurture a culture of compliance, but once it's embedded, it becomes part of the fabric of your organization.

Associate Engagement

Key Point:

Engaging your associates in compliance in an interesting way helps to reinforce the culture of compliance.

Associate Engagement

A culture of compliance starts with the core of your organization – your management and your employees.

The Seven Elements of an Effective Compliance Program focuses on open communication and reporting within an organization.

It is the cornerstone of any successful compliance program.

Associate Engagement

The only way to guarantee effective open communication and reporting is through associate engagement.

Individuals need to feel that their voices are heard and their opinions count.

So how do we do this?

Associate Engagement

1. **Start from the top.** Senior leadership must demonstrate a culture of compliance and set the standard for the organization.
2. **Think through the Medium.** Sending a training or a memo defining a culture of compliance won't achieve the intended goal. Workforce members have multiple priorities and competing interests.
3. **Refine the Message.** Create strategies that are interesting and engaging, or risk losing the message in the midst of multi-tasking.

Associate Engagement

That's not all.

Associates need to be able to remember and relate to the message.

As compliance professionals, we need to come up with strategies that are interesting and engaging, or risk that our message gets lost in the midst of other employee work priorities.

Branding can help with this.

Associate Engagement

As you develop your brand and key messages, you drive the point, and the more you use this branding, the more comfortable and recognizable the point becomes.

Associate Engagement

Consider this.

Your organization has a strong disclosure program a robust policy on non-retaliation which includes mechanisms that offer anonymity and confidentiality.

You can communicate this message in a number of ways and demonstrate this, but have you engaged the average associate?

Associate Engagement

Now, look at this same example and use some branding and marketing.

Consider the slogan:

The 3 S's of Compliance Reporting:

Simple! Safe! Secure!

You've gotten the same point across in 3 words.

Associate Engagement

Now develop some branding concept around the 3 S's.

For instance, create a key chain or luggage tag with your hotline number on it and the key components.

Now you have a memorable concept that has engaged your employees in your core message

Compliance Infrastructure

Key Point:

Offering supplemental training opportunities to facilitate additional development and national certification help to build a compliance infrastructure.

Compliance Infrastructure

Compliance training is a mainstay of any compliance program, but these trainings are usually regulatory in nature and designed to achieve a specific goal.

Thinking outside the box of training and establishing an external program, designed to educate for the sake of learning allows flexibility.

Compliance Infrastructure

In today's digital age, there are many opportunities for creative messaging. For example, some recent examples of ethical behavior that make great case studies for compliance discussions:

Compliance Infrastructure

The adult workforce is very interested in development opportunities. Just look at the number of online universities you see advertised on TV with flexible and convenient options for completing education offered around the adult learners responsibilities.

Work with professional entities such as academic and university systems and/or professional organizations to obtain continuing education units for your supplemental training.

Compliance Infrastructure

Creating a supplemental training opportunity develops internal ambassadors and gets the overall message about compliance discussed in alternate forms.

This also makes associates more likely to spot nuances that might be areas of concern or potential misconduct.

If you are also able to obtain Continuing Education units, then you satisfy an employee's need for development at the same time. You're creating a Win-Win situation for everyone.

Compliance Infrastructure

One key point to making supplemental training programs more engaging and productive and eligible for credit opportunities: focus on core concepts and not on company policy.

This avoids the perception of supplemental training as work-related and heightens the engagement factor for employees.

Fundamental

Key Point:

Incorporating compliance into core business fundamentals such as goals and/or vision statements creates a solid foundation for a culture of compliance.

Fundamental

You can talk the talk – but can you walk the walk?

As mentioned earlier, compliance starts at the top.

Are the executives and the board engaged and do they set the example?

Fundamental

Consider building compliance into your company's vision or mission statement.

Add in a goal around compliance that must be adhered to at every level within an organization.

Include compliance in annual performance discussions and individual one-on-one sessions.

Fundamental

These mechanisms continue to reinforce the compliance message and set the tone for the organization.

Summary

When an organization changes its focus and truly embraces a "culture of compliance," then compliance becomes more than just a responsibility and an obligation.

It becomes part of our very nature.

Branding, marketing, supplemental learning opportunities and compliance goals are tools that any organization can implement to help drive the "culture of compliance."

Questions?