

Compliance by Wandering Around

Simple solutions to improving the value and effectiveness of your compliance program

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Learning Objectives

- ✓ Building trust and gaining buy-in
- ✓ Why waiting for compliance concerns to come to you is not an option
- ✓ Compliance programs are all about relationships and without them, you don't have a program
- ✓ Management by Wandering Around

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- ✓ They were not getting an accurate picture of problems their employees an organization truly faced.
- ✓ Information was heavily filtered and diluted by the time it reached them.
- ✓ Direct reports were simply telling them what they wanted to hear.
- ✓ Minimizing and leaving out details was simply an unfortunate fact of chain of command.
- ✓ This was happening all down the management chain.

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- ✓ The learned a lot from these employees!
- ✓ By wandering around, talking with employees, asking questions and listening they had a better understanding of the concerns and were better able to fix them.
- ✓ The realized that for managers to truly have their fingers on the pulse of their organizations, they needed to wander around and talk to employees.

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- ✓Trust
- ✓Accountability
- ✓Morale
- ✓Productivity
- ✓Approachability
- ✓Business knowledge
- ✓Culture

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- ✓ Hands on, direct participation by managers
- ✓ Informal visits to work area
- ✓ Talking and listening to employees
- ✓ Involves managers spending the majority of their time in face-face interactions with their employees building cooperative relationships
- ✓ In contrast to rigid and distant management

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“Putting aside emails, meetings and spreadsheets to get out of your offices and engage employees by talking with them, asking questions and listening.”

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- ✓ Getting out of the office
- ✓ Listening to employees
- ✓ Emphasizing institutional values
- ✓ Providing assistance

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- ✓ Changing perceptions
- ✓ Building trust
- ✓ Creating relationships
- ✓ Demonstrating the value proposition for compliance
- ✓ Finding concerns that may have not have made it to you otherwise

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Listening

- ✓ Don't try to fake it
- ✓ We need open and honest communication and listening is key to this
- ✓ When people see that you're interested in what they have to say, they become more open and receptive, and you'll build rapport.
- ✓ Listening allows us to understand where others are coming from and what their motivations are
- ✓ Sometimes people just want to be heard
- ✓ We must have trust and respect to be successful, to earn trust and respect we have to be good listeners.

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Emphasizing Institutional Values

- ✓ Employees do not turn to written statements for cues about how to behave – they look to one another.
- ✓ Employees and managers will behave the way they see others behaving
- ✓ Employees don't trust we are exhibiting the values until they see it
- ✓ CBWA creates opportunities for employees to witness our values in action.
- ✓ When employees realize our values comport with their own, the more likely they will bring concerns forward

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Providing Assistance

- ✓ Being on-site and willing to provide assistance gives employees a stronger appreciation for our role and they will be that much more apt to reach out.
- ✓ Whether we assist immediately or have to get back to them later, the on-the-ground support helps build trust and relationships.
- ✓ "If you wait for people to come to you, you'll only get the small problems. You must go and find them. The big problems are where people don't realize they have one in the 1st place."
- ✓ Waiting for issue to bubble up to the compliance office may never happen.

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Perceptions(



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Building Trust

- ✓ Without it we are done
- ✓ When employees see us in action this helps build trust
- ✓ When they trust us they are more apt to bring concerns as well as ideas forward
- ✓ Trust builds relationships

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Creating Relationships

- ✓ Relationships are key to successful compliance programs.
- ✓ Without relationships, even the absolute best, most highly educated, trained and experienced compliance professional will find limited success
- ✓ Compliance programs are all about relationships and without them, you don't have a program
- ✓ Each relationship creates a Compliance Ambassador or Champion out in the field
- ✓ These employees are more likely to watch out and reach out

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Value Proposition

- ✓ Employees have to understand why compliance matters
 - What's in it for me?
 - Why does compliance matter?
 - What are the consequences of non-compliance?
 - How will this add to my success and/or that of the institution?
- ✓ We have to be able to articulate the value proposition to answer these questions and obtain their buy-in
- ✓ Without their buy-in, even the most competent and passionate compliance officer will realize limited success

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Finding Compliance Concerns

- ✓ As compliance officers we want to know about concerns and problems
- ✓ We have to know about them in order to fix them
- ✓ The longer the issues go unaddressed the larger they become and the more they can impact morale, productivity, etc.
- ✓ The more we build trust, create relationships and provide assistance, the more likely issues will be brought forward.

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“The more we are out from behind our desks, engaging, learning and listening, the more trust we build.”

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Tips for CBWA

- ✓ Relax
- ✓ Listen and observe more than you talk
- ✓ Provide assistance
- ✓ Emphasize the institutional values
- ✓ Hold meetings "out and about"
- ✓ Don't use this time to judge or critique
- ✓ Answer questions openly and honestly
- ✓ Ask for feedback and ideas
- ✓ Chat
- ✓ Don't overdo it

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Resources

- ✓ "Compliance by wandering around." *Compliance & Ethics Professional Magazine*. 16(1), pp. 48-50. January 2019

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Questions? Thoughts? Ideas?

Thank You!



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