STRATEGIC MONITORING AND ANALYTICS FOR MEANINGFUL METRICS

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AGENDA

- Introduction
- Data Analytics Overview
- Monitoring Data & Analytics
- Example: Monitoring Data & Analytics
- Meaningful Metrics
- Q & A
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- Compliance and Privacy Officer
- Expertise in anti-bribery, anti-corruption, and building practical compliance processes within business operations
- Interactive training
- GDPR and CCPA experience
- Compliance & privacy consulting

DATA & ANALYTICS OVERVIEW

Data analytics that is processed correctly can highlight meaningful information and support the compliance decision-making process.

Gathering the right information will improve your program.
It is not just about the **DATA** but what it **MEANS** and how it is **RELATED** to the **OUTCOMES**

**DATA & ANALYTICS OVERVIEW**

**Meaningful Metrics**

- Allows you to direct limited resources to higher priority areas
- Provide valuable insight to Executive Leadership and the BOD
- Assess your program – is it effective, adding value, improving over time
DATA & ANALYTICS OVERVIEW

Basic Metrics
- How many employees completed training
- How many hotline calls received
- How many reports were validated
- How many people have spoken up to Compliance, Line Manager or HR

Meaningful Metrics
- Measure effectiveness of your compliance program (training scores)
- Leverage information collected from reporting mechanisms
- Structure process for response to infractions and proactive initiatives to increase prevention

DATA & ANALYTICS OVERVIEW

VS.
DATA & ANALYTICS OVERVIEW

Compliance Violations vs. Systemic Compliance Issues

• A **systemic issue** is a problem due to issues inherent in the overall system, rather than due to a specific, individual, isolated factor.

• A **compliance violation** is uniquely identified by the combination of the user, policy name, and rule name.

Root cause analysis (RCA) is a systematic process for identifying “root causes” of problems or events and an approach for responding to them.

MONITORING: PRIORITIZING ANALYSIS

**Build a Strategy**

• Identifying key goal(s)
• Partner with stakeholders
• Construct guidelines
MONITORING: ASSESS THE DATA

Construct Efficiencies
- Data quality
- Gain insight
- Where to focus

MONITORING: GOOD DATA

Validate information
- Factual reporting / assessments
- Determine adequacy of resource
- Operational alignment
MONITORING: STREAMLINE PROCESSES

Build Consistency
- Document work processes
- Solicit feedback
- Automate your workflow
- Refine and enhance

MONITORING: UNDERSTAND THE FLOW OF INFORMATION

Data Analytics
- Measure, quantify & show value
- Strategic monitoring & auditing
- Simplify the data for your audience
EXAMPLE - MONITORING DATA & ANALYTICS

MEANINGFUL METRICS

DEVELOPMENT OF IMPROVED POLICIES AND PROCEDURES

- Use analytics to validate policies & procedures or show that the policy may need to be updated / revised
- Partner with departments to show them how to build in compliance controls
- Improve processes and procedures that can positively impact sales, operations, etc.
MEANINGFUL METRICS
ENHANCE COMMUNICATIONS AND TRAINING

• Collaborate with department heads to share their teams results
• Customize training for different departments that suits their needs
• Leverage metrics to contribute to strategic goals of the organization
Q&A

THANK YOU

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