

# 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

## VALORIE CIECHANOWSKI, MA, CCEP, CIPP

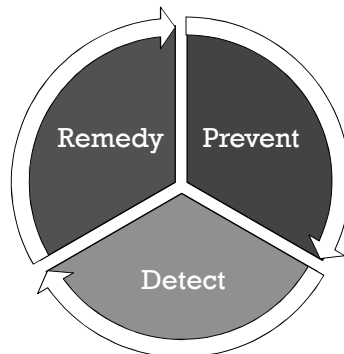
- ❑ Compliance and Privacy Officer
- ❑ Expertise in anti-bribery, anti-corruption, and building practical compliance processes within business operations
- ❑ Interactive training
- ❑ GDPR and CCPA experience
- ❑ Compliance & privacy consulting



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## DATA & ANALYTICS OVERVIEW

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



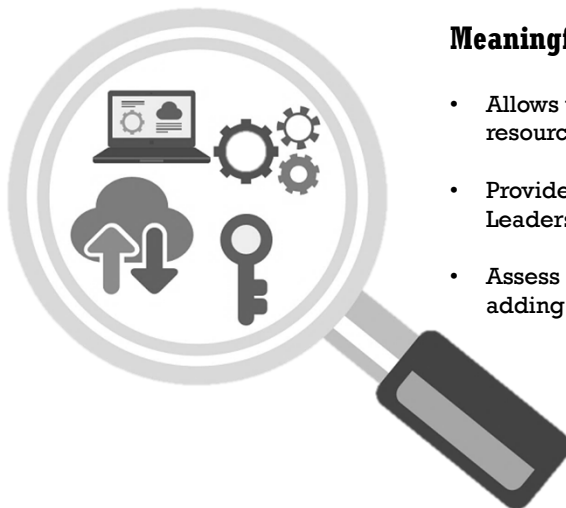
**Gathering the right information will improve your program.**

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It is not just  
about the DATA but  
what it MEANS and  
how it is RELATED  
to the OUTCOMES

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## 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

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## DATA & ANALYTICS OVERVIEW



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## 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

**VS.**

### 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

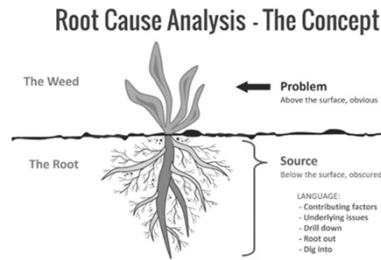
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# DATA & ANALYTICS OVERVIEW

## 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

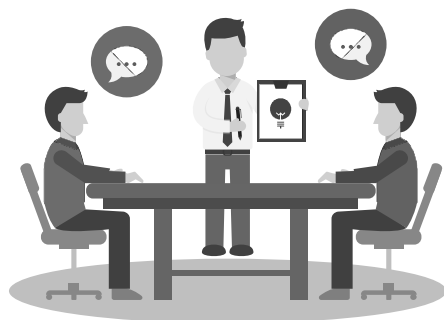
## MONITORING: ASSESS THE DATA



### Construct Efficiencies

- Data quality
- Gain insight
- Where to focus

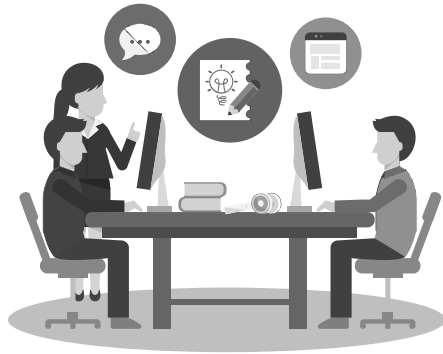
## MONITORING: GOOD DATA



### 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

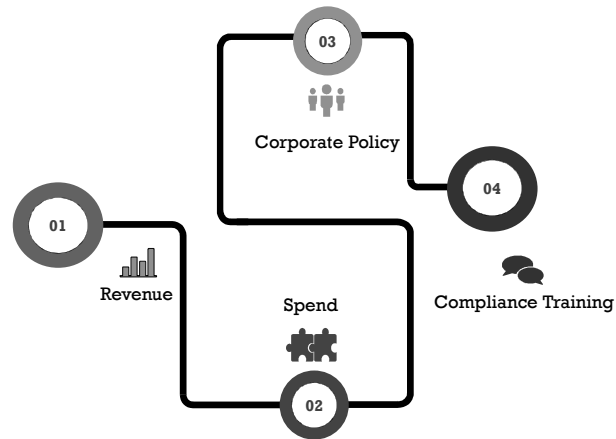
## MONITORING: UNDERSTAND THE FLOW OF INFORMATION



### 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

## UTILIZE MONITORING DATA & ANALYTICS– MEANINGFUL METRICS



