Responding with Poll Everywhere

Web voting

Text voting

From Board Reports to Staff Education:
Effective Compliance Communication
“Effectiveness” seems to be everywhere...

What does it mean to be effective?

ef·fec·tive

Definition: successful in producing a desired or intended result.

synonyms: successful, effectual, potent, powerful;
Not just in Compliance

So the Question is.. How Do We?
The Many Ways Humans Communicate

• Written Communication
• Verbal Communication
• Non-Verbal Communication

‘It is not what you say, but how you say it’

‘Actions speak louder than words.’
The 7-38-55 Rule – Myth or Legend…

Experts on communication teach us that the three main ways human communicate are: words, voice tone and body language.

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Bringing it All Together – Three C’s

- Context
- Congruence
- Clusters
More than talking…

IF YOU DON'T MIND, I'D LIKE TO STOP LISTENING TO YOU AND START TALKING.

— DR. SHELDON COOPER, THE BIG BANG THEORY

The 4th “C” - Consistency

SUCCESS
Branding your Compliance Program

“Branding iron’s in the shop.”

Iconic…
Logos are only symbols

A brand is a name, term, design, symbol, or other feature that distinguishes an organization or product ... in the eyes of the customer.

- Wikipedia
What is a Brand… Really?

- A brand is a promise.
- A symbol of consistency.
- A signal for what to expect.
Brand = Culture

MISSION

CULTURE

VISION
VALUES

Can You Fake It?

"If you can fake sincerity, you can fake pretty much anything."
Someone is Always Watching…

Challenge of Multiple Brands

• Corporate Brand

• Compliance Program Brand

• Personal Brand
Up, Down & Sideways – Shaping the Message for Your Audience

As a Compliance Professional, who is your audience?
Always Keep the Audience in Mind

Communicating Up
The Board

- Set the Perspective
- Context & Landscape
- What is the Risk

- Charts & Summaries
- Death by Detail
- Blizzard of Acronyms & Jargon

Your Boss/Senior Management

LIKE A BOSS
Communicating Sideways

Engagement…..

Enable and Support Your Colleagues

Create strong ties with other departments and peers to build a sense of community
Communicating to Staff

Traditional ways we communicate as Compliance Professionals

- Training
- Posters
- Compliance Week
- Reminders
- Road Shows & Town Halls

Critical Compliance Skills

- Consistent messaging
- Walking the Walk
- Accessibility and Availability
- Building Trust and Confidence
Communicating Out

• Attorneys
• Consultants/Vendors
• Auditors/Regulators
• Competitors and Collaborators

Q & C Words

Questions
Queries
Quibbles
Comments
Concerns