RelianSys® Compliance

Transforming Compliance

Planning your Compliance System Implementation

Compliance Module

Things to Consider when Planning your Compliance System Implementation

ReliantSys® Compliance automates the ISO 19600 Compliance Management approach. This takes each Obligation, allocates a Responsible Person, who ensures processes are in place to deliver the compliance outcomes required. By 'signing off' that this is all working, your organisation build real-time reports that provide compliance assurance to the governance functions in your organisation.

Organisations that are used to deploying new software perceive this as largely a process of execution: automating processes and getting everyone trained and using it. They often make the mistake of thinking about the ReliantSys® Governance Suite in this way: that it's simply a process of delegation to an Administrator, and getting people using it.

The deployment is only one part of the process. For compliance management to be effective, three conditions must be met:

1. A strategic approach within senior management;
2. Development of an active culture of compliance, that's aligned and responsive to strategy;
3. Effective processes, backed by automation. This is where the ReliantSys® Governance Suite fits.

If any one of these three aspects is weak, the program will struggle. If any are missing, the program will fail.

That's not a software issue!

Before you start

Regarding the implementation, unlike other kinds of transactional software, broad deployment isn't normally the challenge with Compliance. What we find is that organisations need to <u>learn</u> compliance management. This normally follows the process:

- Understand the purpose and intended outcomes;
- Develop the scope of the execution, in terms of legislation and engagement;
- Create the appropriate policy;
- Tailor the software and content to suit your context and compliance management & reporting approach;

The engagement strategy

Develop the engagement strategy at the beginning, before you start. Obviously, with the level of EMG buy-in that a project like this requires, it won't be a surprise. They will be getting updates as the process unfolds, so that they'll be anticipating the engagement phase. As user training typically only takes 15 minutes, most of the work is a change management exercise, where the objective isn't learning to use the software, but rather to operate at a higher level of compliance assurance, where the software is the facilitating technology.

You can spend time working that out. One good way to approach this is to consider the outputs, and work backwards.

Answer the question: "What reporting outcomes are required?"

i. Who requires reports?
ii. What frequency?
iii. On an annual basis or some other timeframe?
iv. Feedback on the whole organisational compliance profile, and to what extent by individual etc?
v. To what extent are reports for individual departments/sites required?

When you've done this, you'll have thought about the overall governance of the compliance management program, and WHY you are doing this. You'll also have considered the instruments (legislation, standards, codes, contract, policies etc.) that you want to demonstrate compliance to. Finally you'll have thought about who needs to be part of this whole program.

You can then construct your implementation plan for the compliance management program. This won't be a detailed Gantt chart detailing step by step how the RelianSys® Governance Suite will be rolled out. It will be a strategic initiative of cultural change and deployment, within which there is a place for the RelianSys® Governance Suite automation.

Decide what you're going to manage

Develop the compliance context and framework first. If you are receiving the RelianSys® subscription services, you'll need to both adopt is and adapt it.

The first task is to 'tailor' the system of Subscribed Obligations. *(Refer to the FAQ - How to Tailor Your Subscribed Registers)*

This may involve 'hiding' Obligations that have no application to your organisation, classifying obligations that you want to be able to search but don't want to report on, duplicating Obligations that apply to more than one person or site etc.

Together with the Registers you create yourself, you'll now have the compendium of Obligations that you're going to deploy, manage and report on.

Next step: Deployment

1. Allocate Responsibility

Decide how you will allocate the Responsibility for each Obligation. Will it be done as a staged/incremental approach? Or will it be done all at once? (Note that it is possible to allocate Responsibility as whole Registers or by individual Obligations.) This is the first main resourcing issue, usually handled centrally. As a 'rule of thumb', if you have say 3000 Obligations, and you can allocate one each 30 seconds, it will take 25 hours to complete the deployment. However, in practice you can do this faster because RelianSys® Compliance allows for bulk allocation, provided you can think of suitable grouping mechanisms. Budget a week for this, to include discussions with relevant people.

2. Set up the reminder system

What reminders will be required? Some organisations like to set an annual reminder so the whole system is reviewed at a set time, and then reported on. Others like to stage the reminder system so that it is regularly reviewed over an annual period or even linger. Still others set reminders for some more critical Obligations only.

3. Escalations

Will you escalate unactioned reminders to the next level of management? If you've set reminders, and entered a "Direct Manager" in the Setting>>Positions menu, it will happen automatically.

4. Signing off Obligations

At this stage, you now consider deployment, engagement and training. *(Refer to the FAQ - How to sign off an Obligation.)*

For regular Users, it only takes 15-30 minuted to train them, because it only takes 3 mouse clicks to sign off an Obligation.

What approach is to be used to work through the process of signing off compliance status? Again, will it be a staged approach, working Department by Department? Over what timeframe? For example, if a person has 500 Obligations to sign off, and each one takes on average 3 minutes, that is 25 hours of work. Users advise that once this is done (i.e. they are over the 'hill of implementation'), the maintenance of the system is not an impost and tends to become a background activity to their regular role.

That's what ReliansSys® Compliance is intended to achieve, and one of the key benefits areas.

5. Keeping your ReliansSys® Compliance system up to date

Remember that as updates to the system are provided, normally each quarter, this needs to be considered as well. This is part of the process of regular maintenance, which includes:

- Allocating new Obligations to appropriate people;
- Monitoring changes, advising management on these, and ensuring people across the organisation are acting on them;
- Purging 'Deleted' Obligations from ReliansSys® Compliance;
- Keeping your Users list current: engaging and training new people, and inactivating people who leave.

6. Document your compliance management system

One common feature of a struggling or failed compliance management implementation is the lack of a documented policy, and clearly documented procedures. Don't forget this important step.