



20. Stimulate bottom-up improvement initiatives

Challenge

When it comes to behaviour and culture, the challenge is to make use of the knowledge of all employees within your organisation. Everyone has an opinion on what could be improved in this area. The challenge is make maximum use of the relevant knowledge that exists.

Solution

Employees know very well when something is not right within the organization. From Compliance we can support them in doing something about this, to address this and to ensure that it is resolved.

A concrete tool that can be used for this is to organize a workshop to discuss requests for support or advice, or to discuss dilemmas. What we are curious; what do you think are good ways to stimulate bottom-up initiatives? If you have good experiences, please leave them in the comments.

The workshop can consist of the following parts:

1. Start with a request for support from a manager

The workshop could start by having a manager give an introduction about his or her own request for support or dilemma. This requires courage from the manager, because by doing so she / he indicates that there are uncertainties or doubts. At the same time, this provides an opening for people to bring up their own questions and struggles. Having a manager sharing a dilemma is crucial because by doing so a safe environment is created.

2. Framework for desired behaviour

After that, attention is paid to the desired behaviour within the organization based on the Code of Conduct. Give examples of behaviours described within the code of conduct from your organization. Discuss whether there are clear and specific enough. Also take a look at tool 4. "Make Compliance Personal" for inspiration.

3. Discuss impediments

Depending on the size of the group, create smaller sub-groups to work in. What behaviour do people experience in their daily work? What prevents them in their daily work to behave in line with the Code of Conduct and to do the right thing? Are the interests of all relevant



stakeholders taken into account when making a decision, putting the customers interests first? What to do in case of impediments, such as rules that are not clear or contradict each other? What if managers do not comply with the rules or that a critical sound is not tolerated? Impediments can originate from both the structure and the culture within the organization. Both create the context and environment in which people operate. Ask participants in the sub-groups to write down examples of impediments from their own practice.

4. Define solutions

Then ask the sub-teams to come up with possible solutions for the impediments discussed. Afterwards, ask the subteams to present the results of their discussion to the rest of the group during a plenary session.

To keep the participants involved going forward, please discuss what next steps are needed to give proper follow-up on the results of the workshop. What is needed to keep the topic on the agenda? For example, Compliance could monitor progress and communicate about this. However, but more effective is to have the manager involved to take on this role. Also, the workshop can be repeated periodically or discussing dilemma's can be added as an agendapoint to the regular team meetings. People from other departments or senior management can be invited to join the discussions. This could provide relevant new insights.

Actors

- Compliance
- Manager(s)
- Those involved

Techniques

Workshop with preparation of a difficult decision or dilemma by a manager and introduction of the code of conduct.

Role Compliance Professional

Facilitating, possibly advisory