

25. Discuss the rules of conduct interactively with new employees one-on-one

Challenge

It can be a challenge for organizations to ensure new employees understand and act accordingly to the code of conduct i.e. what values do we find important as an organization. Only communicating the code of conduct to employees at the start of their employment often proves ineffective. In practice, the code of conduct is hardly read, let alone that people consciously act accordingly.

To ensure that awareness of the code of conduct is as high as possible and the chance of violations as small as possible, the tools described below can be useful.

Solution

The Compliance department together with the manager should have a conversation with new employees about the code of conduct as soon as possible after the start of the employment. This applies to both permanent and temporary employees. In this way, awareness of the code of conduct can be increased and the chance that violations of the rules of conduct occur diminishes. Employees also see that the organization finds the code of conduct important and they understand where they can go to in the future.

The Compliance department needs to agree with HR to receive a notification when new employees start. Going through the rules of conduct one-on-one with new employees requires a time investment from both Compliance, managers and new employees. The agreements regarding the freeing up of time for this can be recorded in the Compliance Charter, so that it is clear that this is required from the top.

It is important that Compliance is aware of the content of the code of conduct and can explain how it translates into daily practice within the company. In addition, it is useful to ask open questions of the new employee, to stimulate them to think about the code of conduct themselves. It can also be discussed whether the new employee has ever encountered situations in which codes of conduct led to dilemmas and how they dealt with them at the time.

This tool works especially well if there are enough Compliance Professionals available compared to the number of employees, and the branches advised by the Compliance Professional(s) are geographically close. If not, then management or HR can play a role. For example, plenary sessions can be held with the participation of a board member, whereby



the group size remains as limited as possible. If necessary, the direct supervisor will go through the rules of conduct with the new employee. A Compliance Professional is on standby for any deepening.

Actors

- Compliance
- Hr
- (Direct) Manager new employee
- New employee themselves
- Other management

Techniques

Conversation and presentation techniques

Role Compliance Professional

The Compliance Professional ensures that all mentioned actors are aligned and has the conversation with the new employee. In larger organizations the direct manager can do this. In those cases the Compliance Professional monitors.