TRANSFORMING COMPLIANCE

skillcast®
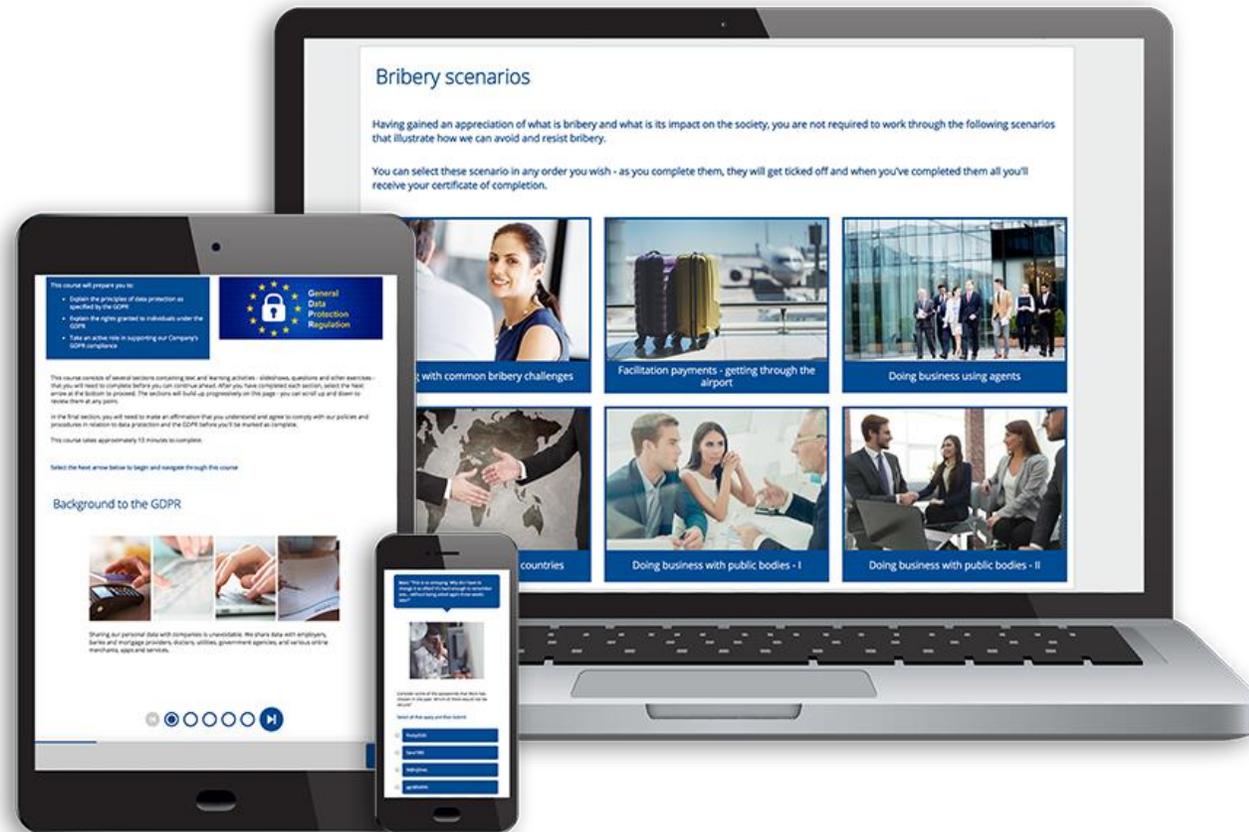
The Swiss Cheese Model

- Analysing and Managing Risk – Simon Truckle

The Scenario

- Let's imagine we have a new starter, I'll call her Joanna. She has been with the company about a month and works in the procurement department.

- Today, she is meeting several suppliers to discuss a new project

- One of the suppliers is familiar - Joanna's brother-in-law runs it!

- Another supplier hands out goody bags containing a pen, a stress ball, and an iPad worth £400.

- The pitch by the supplier run by her brother-in-law is the best. She votes in their favour, and they win the contract.

- Any issues?

- An audit later on in the year finds Joanna to be in breach of anti-bribery procedures. She and her manager are reprimanded.

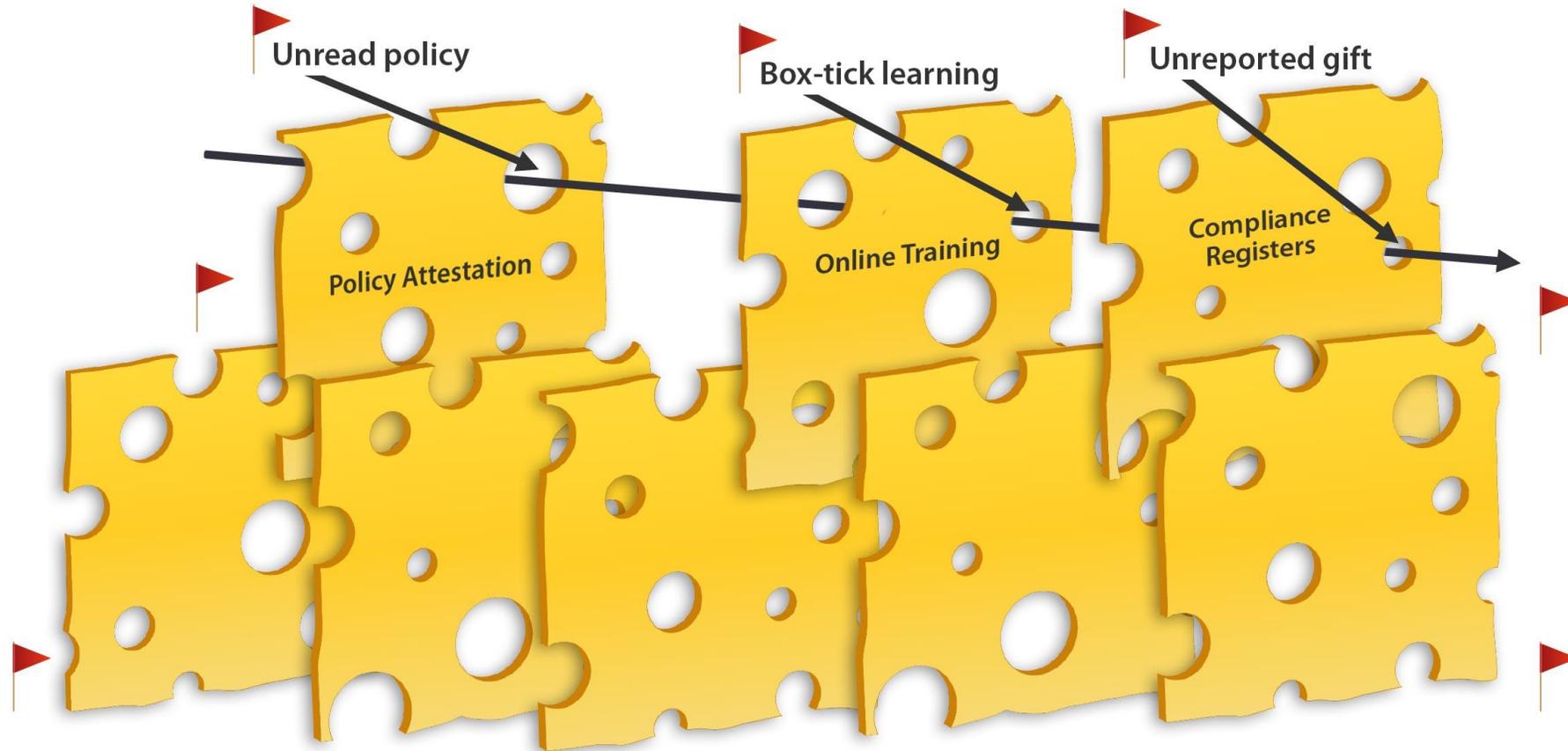# How could things have gone better?

James Reason

- A Cognitive psychologist from the University of Manchester

- Developed the Swiss Cheese model for analysing risk

- His model has been used to analyse safety in the aviation industry, hospitals, and most recently to fight Covid-19.
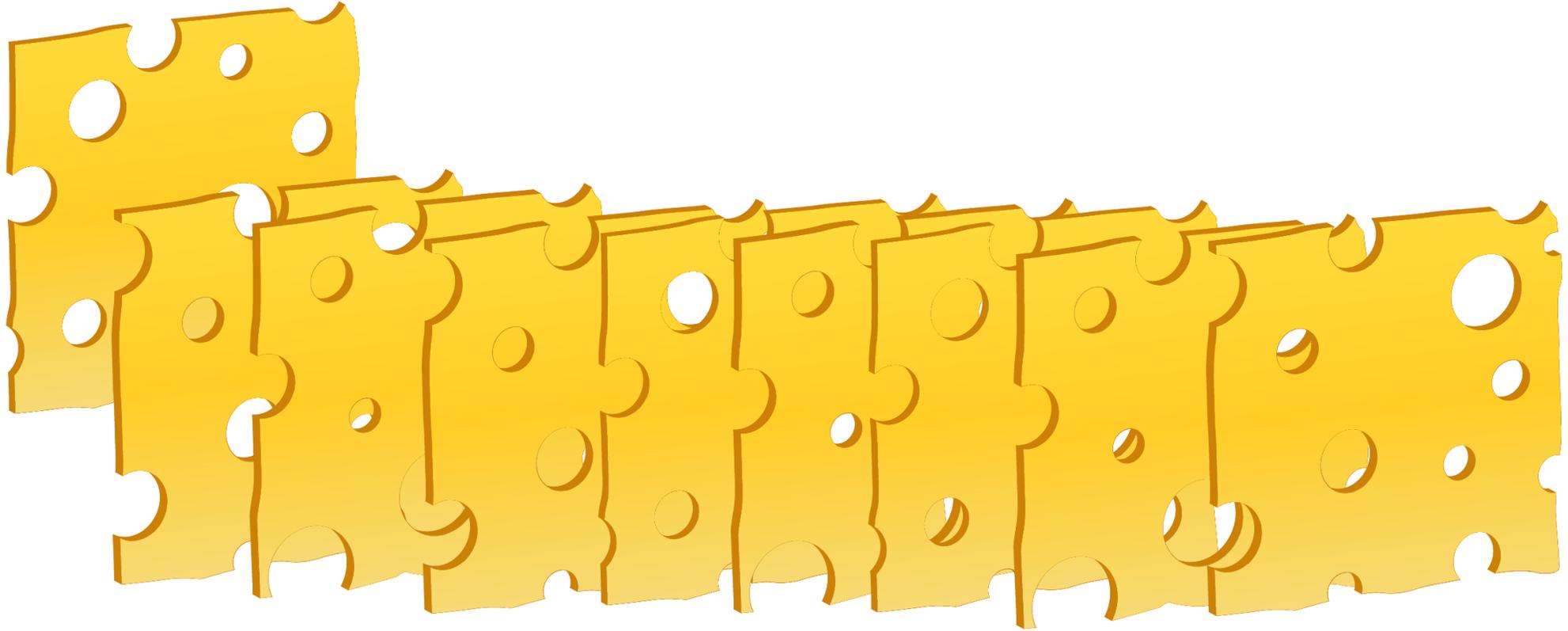
The Swiss Cheese Model

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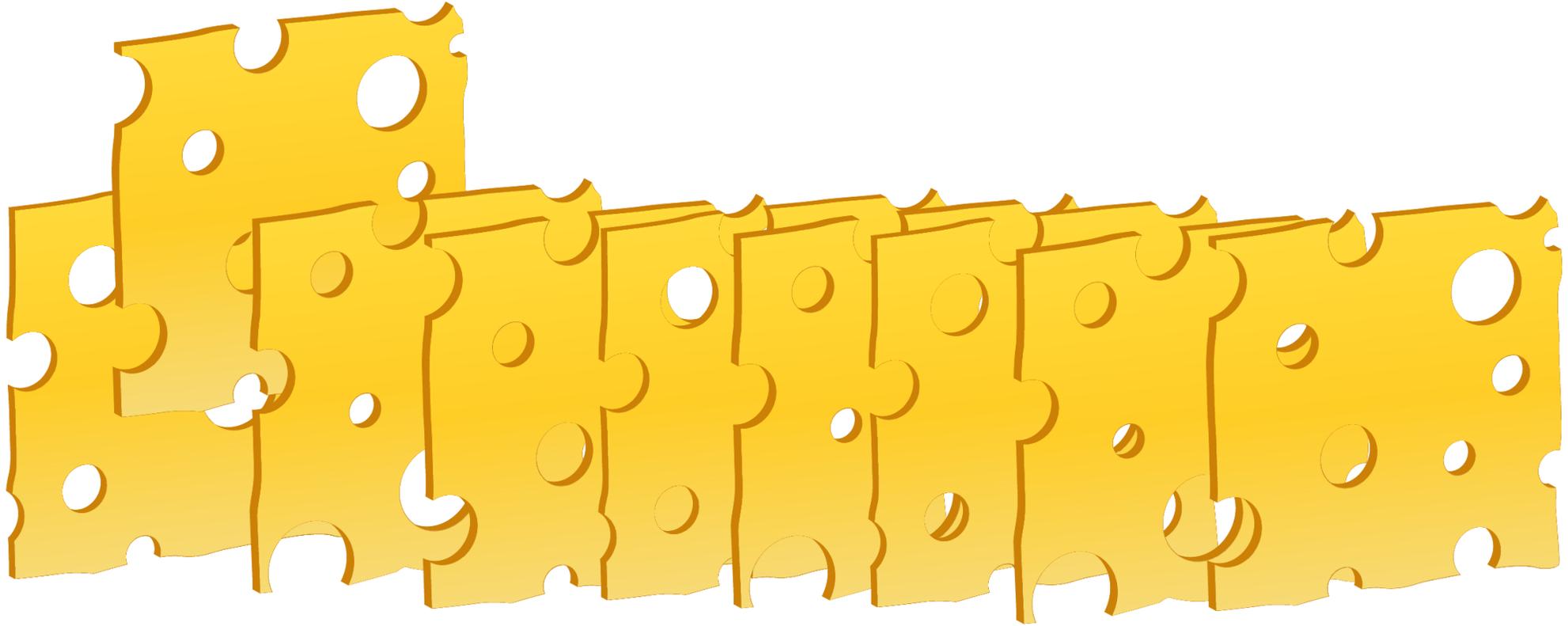
The Swiss Cheese Model

Policy Management

Policy Management
You may have all the right policies, but you need to be sure your employees read them, understand them and commit to complying with them to make them effective.
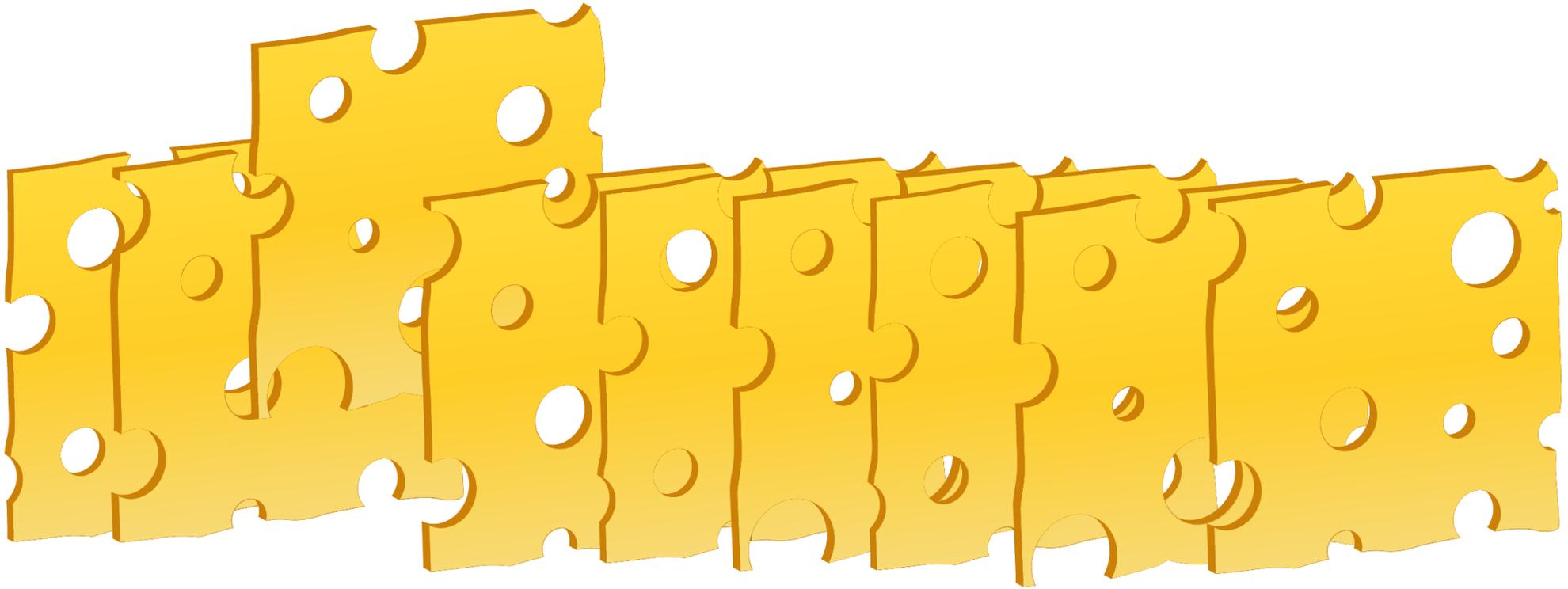
Relevant Learning

Relevant Learning.
Provide targeted training to your employees, especially
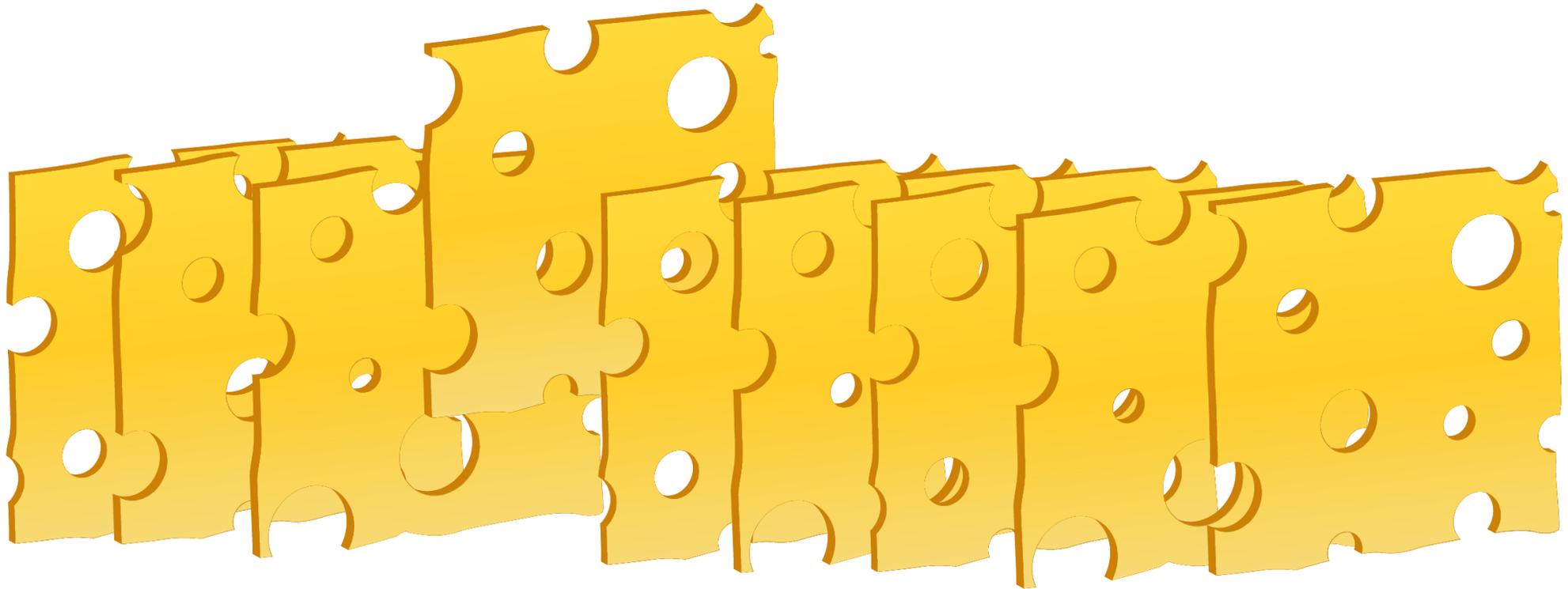new hires and those in high-risk functions.
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Compliance Declarations

Declarations or disclosures
Financial firms use them frequently to ask employees
for their conflicts of interest, but companies of all types
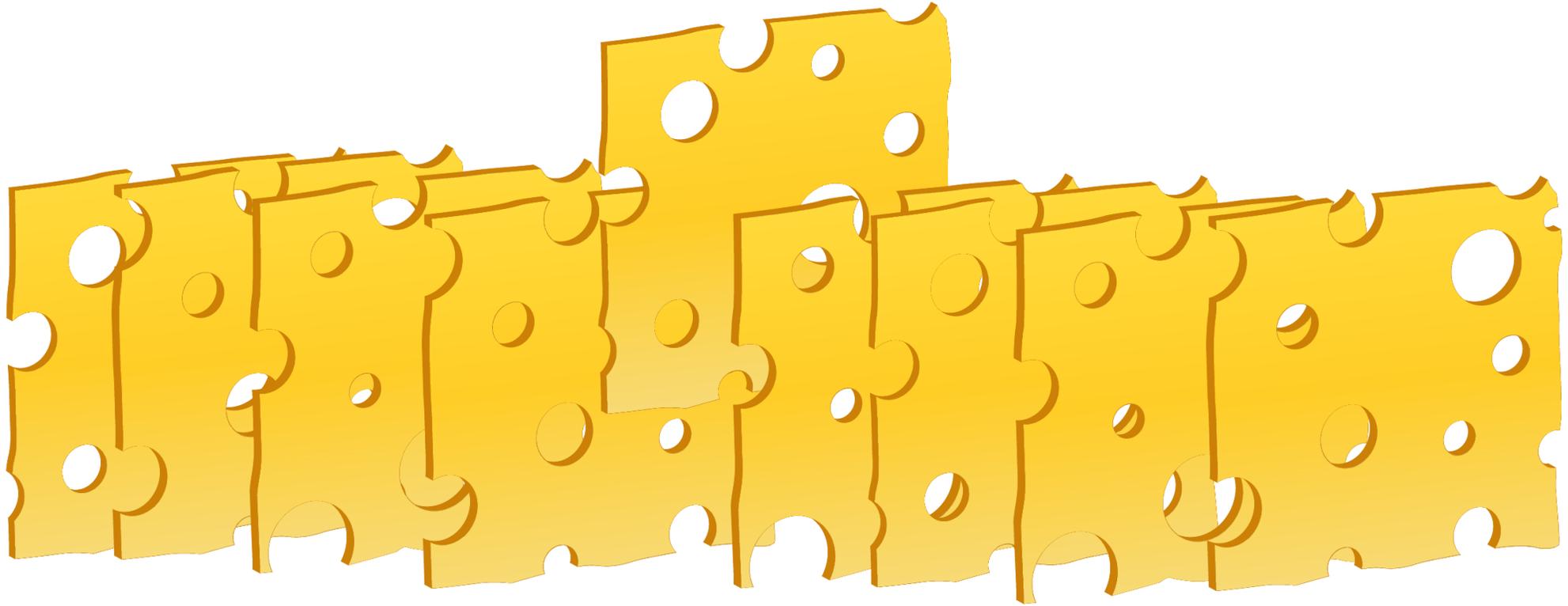can use them to prevent breaches.

Compliance Registers

Registers
Registers to approve and record gifts, hospitality, donations, outside business interest and personal account dealing.
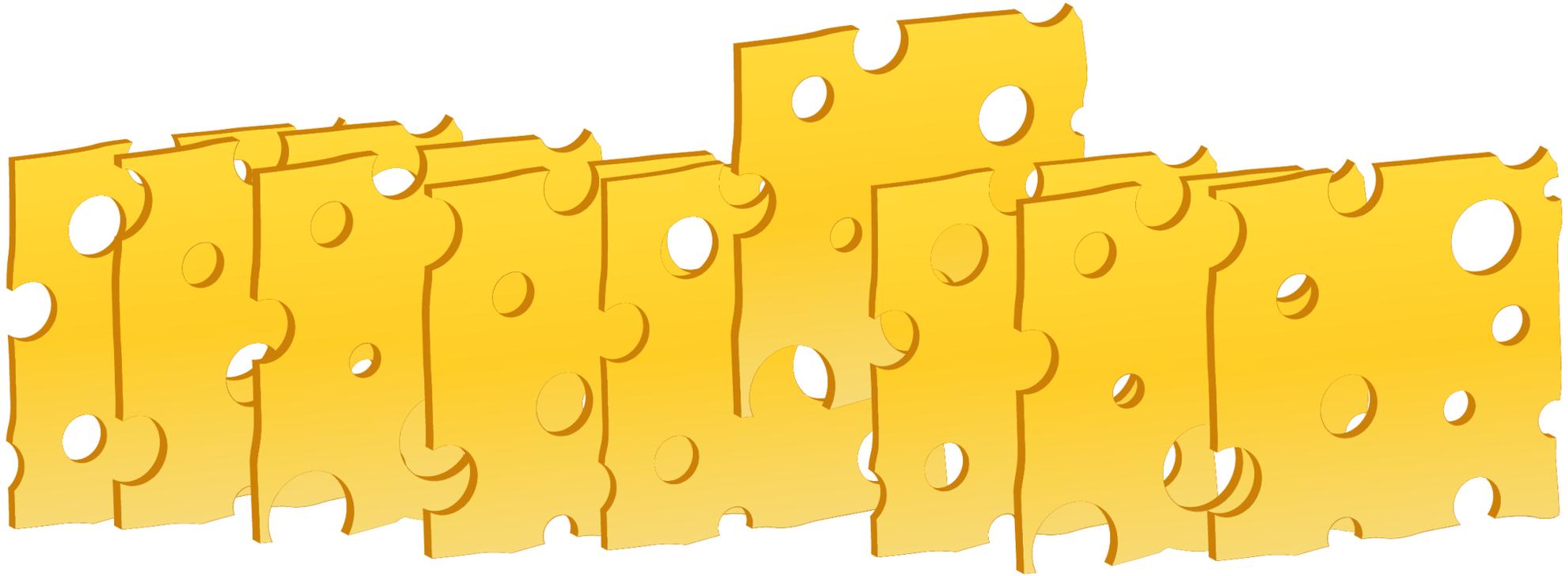
Offline Training

Offline activities
As a significant percentage of learning in the corporate
workplace happens it is crucial that you capture this
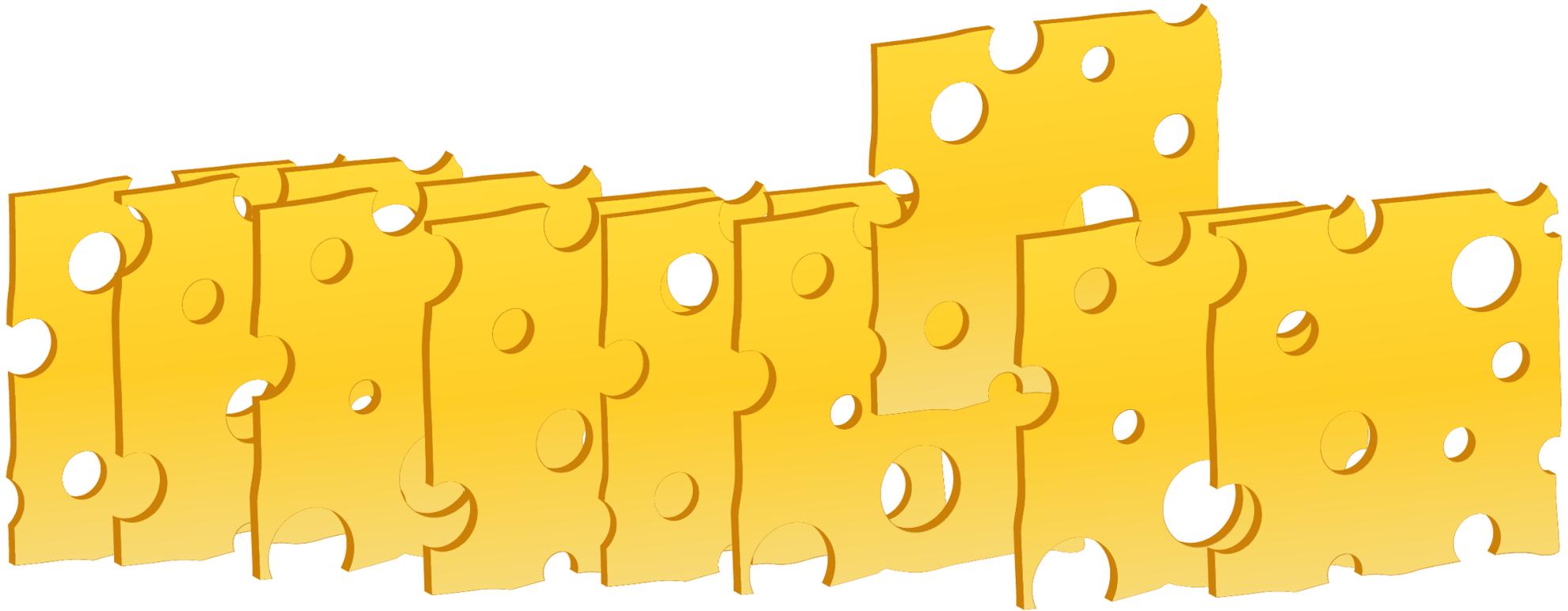activity

Intelligent Learning

Intelligent learning
Online learning that used AI to adapt the content to the
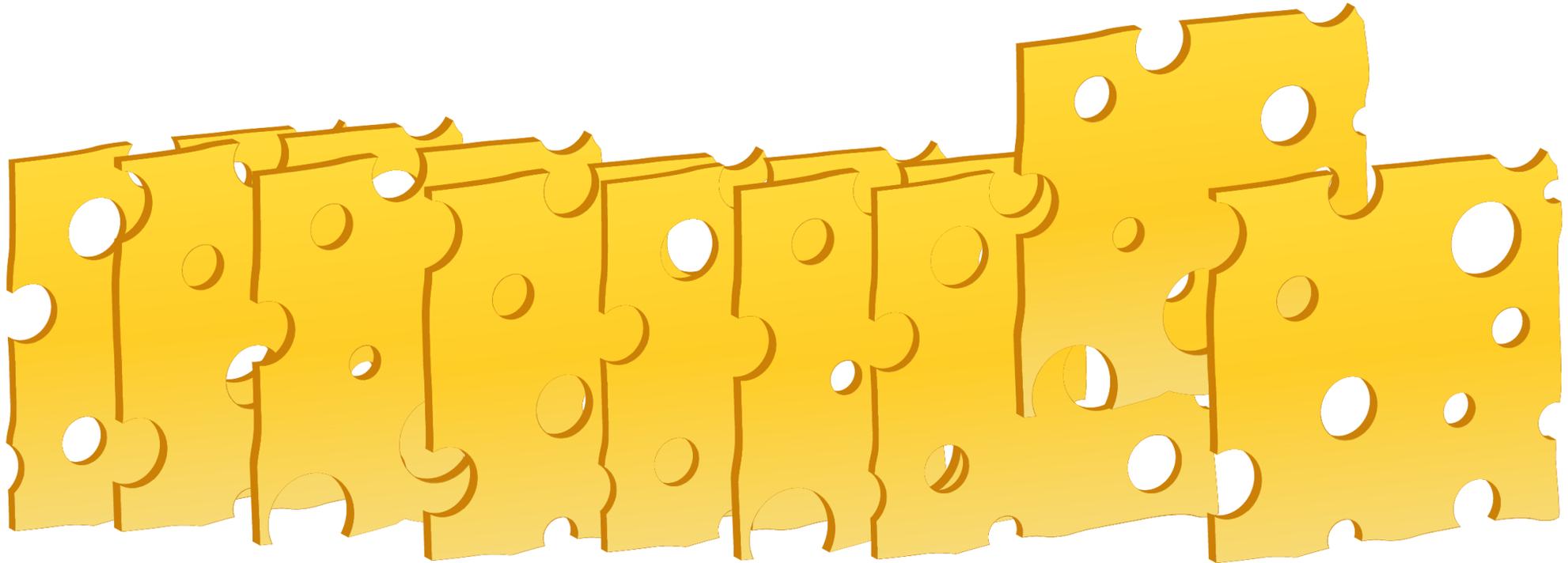specific role and knowledge level of the learner.

Analytical Assessment

Analytical assessment
Assessments that provide a granular breakdown of scores against competencies and reveal knowledge gaps across your business.
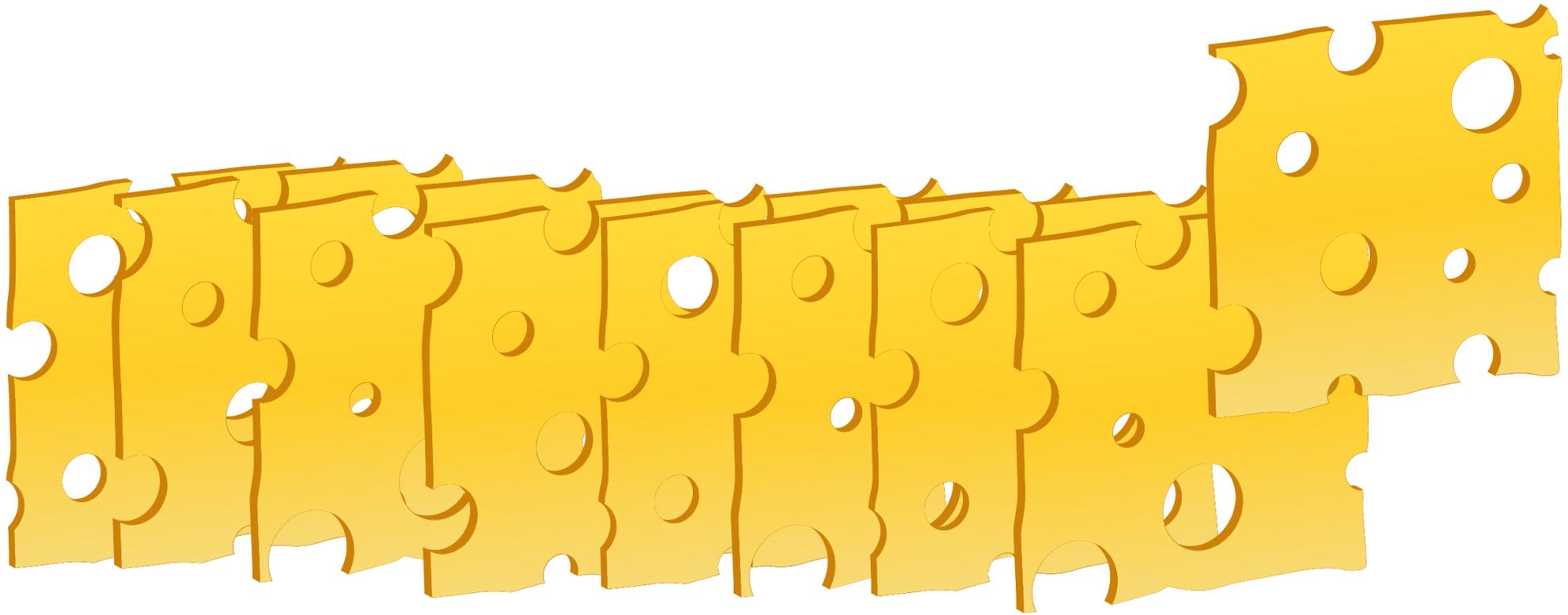
Compliance Surveys

Surveys
You can further strengthen your compliance programme
with better information management.

Integration

Finally, all of the protective layers can share data via APIs and integrations with each other and any internal systems you currently have in place.

Integrated Compliance Portal

LMS	Policy Hub	Compliance Declarations	Compliance Surveys	Compliance Registers	Training 360	Relevant Learning	Analytical Assessments
Courses Games	Attestations	DSE FPQ CMQ	Ethics Diversity	GHR Conflicts/OBI Breaches Donations	F2F training Webinars Zoom	Branching Adaptive Personalised	Granular reporting

COMPLIANCE PORTAL