

Welcome and thank you for attending!

Cailie Currin's Interview with Kristy Grant-Hart

How to Be a Wildly Effective Compliance Officer

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How to Be a **Wildly Effective** Compliance Officer

Learn the Secrets of
Influence, Motivation and Persuasion
to become an
In-Demand Business Asset

Kristy Grant-Hart

Foreword by Joseph E. Murphy

SELF



DOING
GOOD
DOES YOU
GOOD

NOBLE CAUSE

PRIMARY MOTIVATORS

BUSINESS



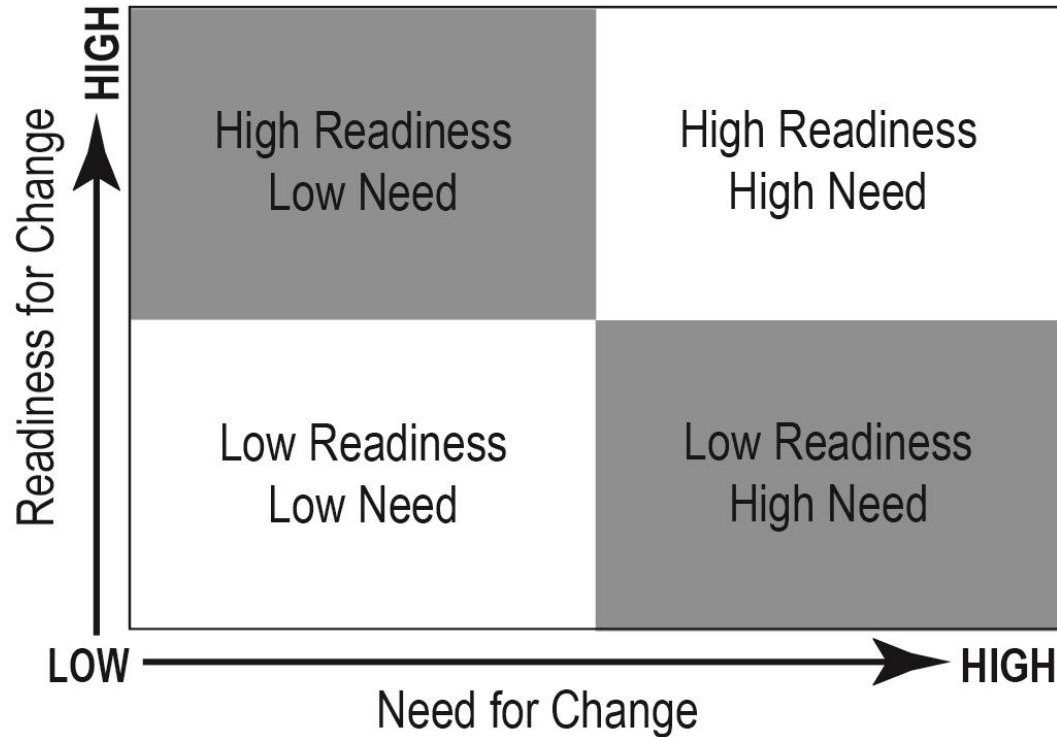
COMPETITIVE EDGE

Putting it Together for Training

- Statement of the Law
 - Storytelling – Fear for Self story
- Statement of Policy
 - Storytelling – Fear for Business Story
- Statement Regarding the Importance of Ethics
 - Storytelling – Noble Cause Vision
- Statement of Intent that the Law and Policies don't Impede Business if Possible
 - Storytelling – Competitive Edge



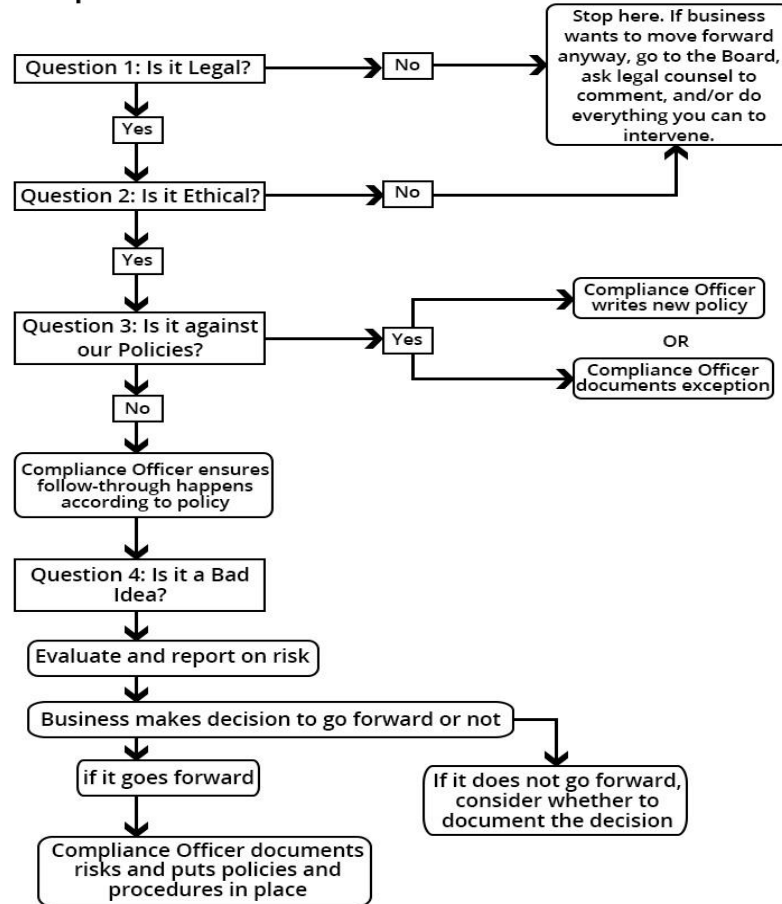
Wildly Effective Compliance Officer Risk Matrix



Compliance and Law Department?



Compliance Officer Decision Tree



Compliance Dashboard – [Month and Year]		
Big Seven	Annual Goals	Progress Update
(1) Policies and Procedures	<ul style="list-style-type: none"> Re-draft Anti-Bribery Policy 	<ul style="list-style-type: none"> New policy has been drafted, approved and implemented throughout the company.
(2) Training	<ul style="list-style-type: none"> Perform in-person training in nine countries, including two in Europe and four in Asia based on the risk assessment 	<ul style="list-style-type: none"> Training completed in France and Germany. Scheduled trips include Vietnam in October and Laos in November.
(3) Monitoring	<ul style="list-style-type: none"> Launch Ethics Helpline throughout Europe 	<ul style="list-style-type: none"> Launch of Ethics Helpline complete in eighteen countries. Launch awaited in seven others because we need European data protection authorities' approval before launching.
(4) Messaging	<ul style="list-style-type: none"> Launch new Compliance section of the public-facing website 	<ul style="list-style-type: none"> Draft Compliance section of the public-facing website created. Awaiting final approval and roll-out globally.
(5) Due Diligence	<ul style="list-style-type: none"> Implement Intermediary Management System Draft procedures for risk analysis and due diligence 	<ul style="list-style-type: none"> Intermediary Management Contract signed and implementation complete. Roll-out ready to begin.
(6) Risk Assessment	<ul style="list-style-type: none"> Complete annual risk assessment Bring in outside consulting firm to review program and benchmark program against similarly sized companies in our industry 	<ul style="list-style-type: none"> Contacted Spark Compliance Consulting to request initial meeting regarding reviewing the program and benchmarking it against other similarly sized companies in our industry.
(7) Governance	<ul style="list-style-type: none"> Create every-other-month calls with mini-committee 	<ul style="list-style-type: none"> Call scheduled for [Date] Next full meeting [Date]

Many Levels of Compliance Professionals





Stay in touch with Kristy!



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How to Be a Wildly Effective Compliance Officer, available at
<http://amzn.to/1VP64pZ>

*Thank you
for joining us!*