BRINGING YOUR COMPLIANCE BRAND TO LIFE

Brand compliance appropriately and you change the perception of it completely.

A convercent resource
INTRODUCTION

Whether you are new in your role as compliance officer, a seasoned professional or coming into an organization to help strengthen a compliance program, establishing a brand identity and sound campaign strategy around your compliance program should be high on your priority list. Understanding how your program is positioned and aligned to the company, refreshing your Code of Conduct and telling that story of change can provide your employees, executive leadership and key stakeholders with a new way to think about the why behind compliance and its purpose.

This all begins with branding and marketing your compliance and ethics program. This short guide will help you understand the value branding, marketing, communication and campaigns can bring to your program. Inside you will find story telling techniques, reasons to brand your program, the steps to take in order to market your program and a planning checklist to begin the process.

But as a compliance professional, marketing may not be second nature to you. Where to begin? How to get started?

Companies big and small, young and mature are beginning to see the incredible return on investment when they brand their program even in the simplest of ways. From creating a logo to using a regular communication cadence, it’s time to bring life to your program. Together, we will lay out the steps you can take to get your program to be highly recognizable to increase engagement, awareness and effectiveness.

Branding your program and telling an effective story around it can be one of the most energizing and exciting things for you as a compliance professional because it asks foundational questions and helps define your roles and the company’s program as a business enabler, protector and safeguard to your organization and its employees.

Let’s get started...
**MARKETING**

*noun* | *mahr-ki-ting*

The action or business of promotion and selling products or services, including market research and advertising.

**STORYTELLER**

*noun* | *stawr-ee-tel-er*

A person who tells or writes stories or anecdotes.

**CAMPAIGN**

*noun* | *kam-peyn*

A systematic course of aggressive activities for some specific purpose

**LOGO**

*noun* | *loh-goh*

A graphic representation or symbol of a company name, trademark, abbreviation, etc., often uniquely designed for ready recognition.

**BRAND**

*noun* | *brand*

Name, term, design, symbol, or other feature that distinguishes one seller’s product from those of others.
WHAT IS YOUR COMPLIANCE STORY?

Three basic elements of any story are conflict, plot and character. What will set your compliance story apart from any other is telling the story well. This story isn’t just what you tell people, it’s what your company and employees believe about you and compliance based on the signals your compliance brand sends. To do this, follow these easy steps:

Ask yourself why. By asking yourself why you do what you do and why compliance is part of your company, it will set the stage for your story while also clearly explaining to your company and employees why they should care about compliance. Connect this why with your passion.

Who are your characters? Consider your employees, stakeholders, board members and other executive staff.

What is the problem or conflict? Is there a new regulation or law that came out? Do you have an increase in helpline reports? The problem or conflict is usually identified in the beginning of the story so the majority of the story revolves around your solution.

Story arc: Every good story has a beginning, middle and end. Characters undergo a transformation, or something that changes that supports the story’s core, and creates a sense of being. For example, a major success, breakthrough, partnership, new business.

Be genuine and authentic. Lose the compliance jargon and be real with your employees. At the end of the day, we are all humans helping humans. The more relatable you are with your employees, the higher the chance of resonation and connection and influence of the compliance story’s impact on behavior.
REASONS TO BRAND YOUR COMPLIANCE PROGRAM

1. Builds credibility
2. Makes compliance and ethics programs memorable
3. Attracts employees
4. Builds trust

BUILDING YOUR BRAND STARTS WITH TWO SIMPLE STEPS:

01 Define your target audience
   *For example: department, employee level or status, roles, responsibilities, age, gender or location of employment.*

02 Determine a psychographic profile of your employees
   *Think about the state of mind your employees may be in and the current office climate. For example: How is their job impacted by recent changes in the Code of Conduct, federal or state regulation, industry disruption or office restructuring.*

What you’re really doing is building a compliance program that protects everybody — the board of directors, senior management, all the employees, the stakeholders. If you talk about it from that way, that “This is going to be a good thing for all of us. We can reduce risk, maximize profitability,” you get the buy-in from the corporate side.

- Stephen Martin
  Partner, Arnold & Porter, LLP
  [Read the full interview here](#)
PLANNING CHECKLIST – BRANDING YOUR PROGRAM STARTS HERE

01 Unique value proposition
   a. Differentiate the compliance and ethics brand from any other function in the office. Ask yourself what are the ways your brand stands out from all the other corporate noise and departments? What stories are uniquely yours?
   b. Key values. List any and all values and/or benefits that compliance and ethics can bring to your employees, company and key stakeholders.

02 How will employees feel after interacting with compliance?
   For example, how will employees feel after a new training course, seeing a new poster in the hallway or reading the latest compliance communication in their inbox?

Considerations:
   • Do the training materials answer their questions?
   • Do they help the employee feel more confident?
   • Does it relieve a pain point or frustration?
   • Do they know the appropriate steps to take in the event of misconduct, raising a concern, asking a question, etc.

Tip: If the communication and brand doesn’t help solve a problem, issue, frustration or pain point, consider if it is worth committing time, energy and money into the campaign.

I’ve learned that people will forget what you said, people will forget what you did, but people will never forget how you made them feel.

- Maya Angelou
EMPLOYEE PERCEPTION

How would you like your employees to think about the compliance and ethics program?

For example: How should you position yourself to your employees if you want employees to perceive the function as a safe guard or business enabler versus a business blocker or nay-sayer?

Briefly summarize the following key attributes of your compliance program through the eyes of your employees to get a better understanding of your current perception:

FORM
Generally describe the style of your compliance program in terms of personality traits such as friendly, fun, safe and professional.

FUNCTION
Describe how compliance and ethics plays into an employee’s day-to-day and its core objective using words such as fast, unbiased, secure and trusting.

BENEFITS
How does compliance add to your employees’ at-work experience using words such as empowering, motivating, in good faith and fair?
FEELINGS
After engaging with compliance and ethics, how do employees feel using words such as safe, confident and proud?

VALUES
What does compliance and ethics represent to your employees using words such as easy-to-use, open, transparent and honest?

METAPHORS
What is the bigger problem your compliance and ethics program is trying to solve or prevent such as industry challenges, aspirations or lessons learned that may be connected to the product or service your company offers? Think bigger picture. For example, building a comfortable nest, providing a safe haven for a family, connecting to family, contributing to feeling stable and secure.

EXTENSIONS
Describe unexpected or illogical feelings compliance may inspire such as “Because I feel safe, I can take more risks” or “Because this is cool-looking, it is fun to use.”
DISTRIBUTION PLAN

01 Methods of distribution
   a. Communications
   b. Policies
   c. Training
   d. Awareness

02 Materials to distribute
   a. Company website
   b. Internal messaging forum
   c. Videos
   d. Posters
   e. Digital e-books
   f. A compliance-focused blog
   g. Internal newsletter
   h. Internal social media
   i. Infographics

OFFERS AND INCENTIVES

• Connect completion of all compliance requests such as training, policy attestations, disclosures to employee bonuses or perks.

• Create a friendly competition. For example, the first five teams to complete the new training win. You can reward the team by giving them a day off or a lunch off-site paid for by the company -- ensuring this type of incentive is aligned with the company’s gifts and entertainment policies. This gives employees more skin in the game, allows for individualized recognition and something that is sought after time and time again.
EMPLOYEE RETENTION – HOW TO KEEP YOUR EMPLOYEES COMING BACK

• **Ongoing communication**
  Run regular awareness campaigns. For example, use live video technology (Facebook Live or Twitter’s Periscope) to host weekly compliance updates. Treat it just like a TV show cadence and use a call to action to tune in every Monday at 10 a.m. for a two-minute compliance update on Facebook, for example.

• **Loyalty programs**
  Create a program to encourage your employees to complete each task. For example, create a “Compliance Passport.” Employees receive a printed passport and receive a stamp from around the world for every completed training or policy update. After they receive a certain amount of stamps, tie this back into your offers or incentives program (see above).

**EXPERT INSIGHT**

On the employee side, we live in a YouTube society and a quick-hitting technology [world where] everybody’s paying attention in 15-second increments, so that becomes a big challenge. The days of hour-long training doesn’t really work so you’ve got to figure out how can you communicate with a generation now — and all of us, frankly — that have smartphones, that are always looking at things instantaneously. You’ve got to make it interesting. Get witty. Make key points in very short amounts of time, but also relate to them “Why is this going to help you perform better?” If it’s the manager, “How’s it going to help your team perform better? How’s it going to help you and your team get your bonuses at year-end?” That’s a good way to talk about it.

- Stephen Martin
  Partner, Arnold & Porter, LLP

[Read the full interview here](#)
PARTNERSHIPS

• **Mutually beneficial relationships**
  Think of other departments that may help cross-promote compliance. Team up with Loss Prevention, HR, Marketing, Audit, IT, or Engineering to run a cross-departmental campaign that is mutually beneficial. For example, compliance and ethics can partner with HR. When HR sends out the Annual Benefits notification to all employees, Compliance and Ethics can include a link to the latest version of the Conflicts of Interest form.

• Test it out each time HR sends communication by sending different important compliance documents or assets such as your Code of Conduct, the latest training video or a new policy that impacts everyone at your company.
MARKETING CHECKLIST - HOW TO REACH EVERY EMPLOYEE

List all of the ways in which you can promote your compliance and ethics brand. Include programs that may be offered by partners such as HR or Corporate Social Responsibility (CSR). Potential ways in which you can market and promote your brand are:

- Including your logo on the back of business cards or employee badges
- Email Signatures
- Posters, wallet/purse cards, break room banners, refrigerator magnets
- Brochures, flyers, newsletters
- Promotional giveaways such as pens, USB drives, t-shirts, notepads, water bottles, coffee or tea mugs, keychains, stickers, etc.
- Direct mail, postcards and emails
- Live or pre-recorded videos, blogs and podcasts
- Social media networks such as Facebook, Twitter, LinkedIn or YouTube
- Sharing real-life scenarios and situations that have occurred in your company in the form of a case study
- Speaking opportunities: any time management or leadership speak in front of your employees such as at an All-Employee meeting. Provide talking points to help promote and drive awareness for compliance in general or a special compliance program aspect.
TIPS ON DESIGNING A LOGO

Unless you have a graphic design department, marketing liaison or an outside agency to help with this type of skilled work, designing a logo may sound extremely difficult. Keep it simple, easy to convey and easy-to-read. Here are some simple tips you can use to help create a logo:

Be unique and create a distinguishing factor that represents your compliance program.

Do the training materials answer employee questions?

Convey your understanding of the compliance brand so others can, too.

While a logo is an image, it is often the first impression someone has with your brand and we all know that first introductions are important. The symbolic nature and iconography you choose should speak toward your target audience. Creating a mood board with imagery that comes to mind when you think about the compliance program is a great start to get inspiration. Remember, keep it simple and to the point.

Color is crucial.

Think about the impact of a bright red logo versus a cool blue logo. Red may come off at harsh and aggressive where blue can be passive and welcoming. Here is a quick break-down on the psychology of color:

- **Red**: energetic, provocative, bold
- **Orange**: creative, friendly, youthful
- **Yellow**: sunny, inventive, optimistic
- **Green**: growth, organic, instructional
- **Blue**: professional, medical, tranquil, trustworthy
- **Purple**: spiritual, wise, evocative
- **Pink**: fun and flirty
- **White**: simple, clean, pure
- **Brown**: rural, historical, steady
- **Black**: credible and powerful

Key logo elements.

- **Wordmark** | Examples include Coca-Cola, IBM or Ray-Ban.
- **Symbol** | Examples include Apple, Adidas, Mercedes.
- **Readability** | Avoid script fonts or fonts such as Comic Sans that are difficult to read or unprofessional. When all else fails, the best in the design business would say to use Helvetica, a font used wisely by Target, Crate & Barrel and JCPenney.
Leverage online design tools.

Below is a list of a few online tools that can help create your compliance and ethics logo without the need for supplemental technology or dependency on other company resources. These tools are affiliated with a fee.

- Logo store
- Shutterstock
- Logomaker
- LogoYes

Be patient.

Adoption to your logo and brand will not happen overnight. It takes time for these aspects to take effect, but staying consistent, smart and exercising patience will pay off as your compliance brand matures.

Examples:
IN SHORT

Branding and marketing your compliance program can seem like a daunting task, especially with the multiple hats compliance and ethics professionals wear every day. Take this guide and look at this process as iterative and something you can lean back on as time allows. Take it in steps and always feel free to reach out to your trusted team here at Convercent for real-time advice from our roster of in-house expertise.

Together, we will modernize compliance and take your program to the next level.

Yours in Compliance,

The Convercent Team

For more resources like this, visit our extensive Resource Center:
https://www.convercent.com/resources

Take your compliance brand and integrate it across a single platform for easy accessibility and proactive leadership. Learn more about Convercent’s integrated products. https://www.convercent.com/products
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