



## Our Perspective

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How do we motivate people to comply with compliance?

It's every senior manager's nightmare - to be responsible for staff or suppliers who just won't comply. The more regulated your industry, the greater the concern. Some view compliance procedures as bureaucracy, others see them as a waste of time when they could be fee-earning. You can take a horse to water, but you can't make it drink - so how do we encourage people to learn and obey the rules?

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- Liking - people are more likely to do as they are asked if they like the person doing the asking.
- Scarcity - perceived short supply of something generates demand for it. Make it a badge of honour among peers.

There are various techniques for applying these principles of influence, depending on what you are trying to achieve.

### Basic principles

There is no getting away from the background work that has to go into a compliance programme. The basic building blocks are procedures, checks, audits and documenting your results. These all have to be in place, so that the rules are clear, before you can encourage staff to take heed of them - and satisfy your regulator that your company is doing the right thing.

Human nature is such that we become more likely to rebel if we see others doing the same and getting away with it. Once the processes are in place, the key is to communicate them clearly, and often, to those who need to follow them through. And to make sure that transgressions don't go unpunished, "*pour encourager les autres*".

### The psychology of compliance

It is well documented in history that people comply, even when they disagree with what they are being asked to do. The secret is to allow people to think it was their decision by making them want to do it. This is based around six principles of influence (Robert Cialdini, 1984). These are:

- Reciprocity - people tend to return a favour.
- Commitment and consistency - once people have committed to something, they are more likely to stick to that decision, even if their motivation is removed and the goal posts change.
- Social proof - people will do things that they see other people doing, and conform to cultural norms in their environment.
- Authority - people tend to obey authority even if they are being asked to break moral codes.

### Examples of compliance techniques

One such technique is the 'foot-in-the-door' (FITD) technique. Start with the bare bones of your compliance programme - what you absolutely *have* to achieve to satisfy your regulator - then get the processes in place and working smoothly. Once that is done, you can expand your programme.

This works on the principle of commitment and consistency. People perceive themselves as helpful for committing to the programme initially, and will want to continue to be seen in that light so are more likely to embrace the expansion.

Another technique is to embed the programme in the culture of the organisation. Using the basic principles you applied at the beginning, train new staff with compliance techniques included in their daily routine. As the team develops and these staff progress, they will disseminate this culture throughout the organisation. Reward compliance with promotion and responsibility, and the principle of social proof will apply.

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## Why we do what we do

At Kasalana we have a client-centric approach to intelligence and believe in giving our clients what they need. The information we supply is openly asked for and freely given. With an ethical approach to investigation, we support improvements in global business practices and security.

All our intelligence is individually sourced and produced at the time of commissioning to answer the specific needs of our clients. We work honestly and transparently using a global network of resources to provide timely and accurate information to international clients.

### Case studies

To read case studies, please go to [www.kasalana.com](http://www.kasalana.com).

### Consultation meetings

If you would like a free consultation with Kasalana, please email [info@kasalana.com](mailto:info@kasalana.com) quoting reference OP4C.

## Who we are

Formed in 2005, Kasalana is a specialist corporate intelligence company that conducts investigations globally on behalf of clients from industries including automotive, aviation, construction, consumer products, defence, energy, engineering, financial services, insurance, legal, manufacturing, media, medical, mining, retail, services, technology and telecommunications. We are experts in enhanced due diligence, background checks and legal support services including asset tracing & litigation support, corporate fraud investigations, merger & acquisition support and strategic & market intelligence. Our clients include FTSE-100, FTSE-250 and Fortune 500 corporations, global financial institutions, major law firms and leading private equity houses.

Prior to forming Kasalana Sam Pope was Head of Business Intelligence, Deputy Director of Corporate Investigations and EMEA Director of Fraud & Forensic Services for a leading global security risk management company, where he led a team of 40+ investigators. A former defence journalist, Sam has extensive experience of investigating fraudulent activity including asset misappropriation, bribery and corruption, intellectual property fraud, false accounting, securities and investment fraud, regulatory and anti-trust violations. He frequently works in close collaboration with clients' other professional advisers. He is a member of the *American Society for Industrial Security* and the *Association of Certified Fraud Examiners*.

Gareth Crooker joined Kasalana in 2010 after working as Director of Corporate Investigations, South-East Asia, for a leading global security risk management company. He has been a business risk consultant for more than 20 years and specialises in pre-investment and compliance-driven due diligence and business intelligence. Gareth has also conducted bespoke strategic research and analysis into the political, commercial and security risk environment in Europe and the Former Soviet Union. As well as his native English, Gareth has near-fluent French and Spanish, together with basic Italian and Dutch.

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