Managing Policies and Procedures for Staff in a Regulated Environment

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6th May 2014
Why Me?
Does it Work?
Increasing regulation – a prime example

Policies and procedures must be embedded and understood throughout the organisation:
through effective communication

UK Bribery Act - Principle 5
Effective communication is key

These methods of communication are no longer considered ‘Best Practice’
So much to communicate...

- Rules and regulations
  - Operating procedures, Process Maps
  - Employee handbook, Corporate Documents

- IT, HR etc policies & procedures
  - UK Bribery Act, Health & Safety
  - Internet & Email Usage, BYOD

- 3rd Parties?
  - Brokers / TOBAs
  - Remote Workers
Lifecycle of a Policy

Creating & Updating Policies: prone to duplication and versioning issues

Review process: provide commented evidence

Publish the right policies to the right people: target your employees, do not swamp them

Affirmation for key policies: prove that employees have acknowledged them

Audit every action, but more importantly every in-action

Ensure employee understanding of your key policies
Native languages

Do you have a global presence?
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Satisfying your auditor & regulator

- Minimise risk, ensure that key policies and procedures get to the right people
- Evidence that they have been read and understood
- Affirmation of policies must be in the correct language per jurisdiction
- Provide a complete audit of the entire process, not just the affirmation
- Ensures policies are regularly reviewed and kept ‘fit for purpose’
Hitec Expertise

- Specialise in the development, implementation and support of Enterprise Content, Risk and Compliance management solutions
- Over 250 financial services customers in more than 40 Countries
- Deployed or hosted solutions available
Demonstration

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