



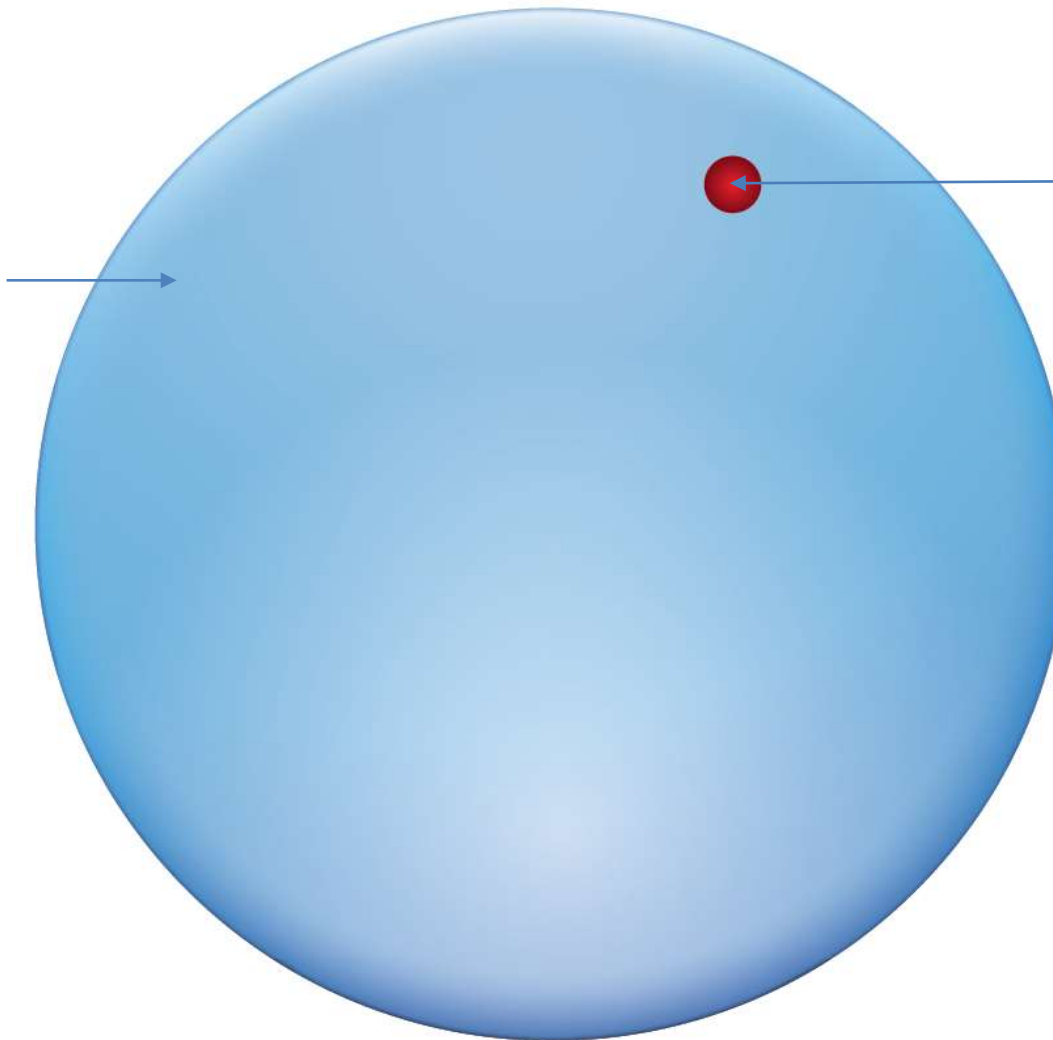
STRATEGIC COMPLIANCE PLANNING



Traditional Enforcement Model

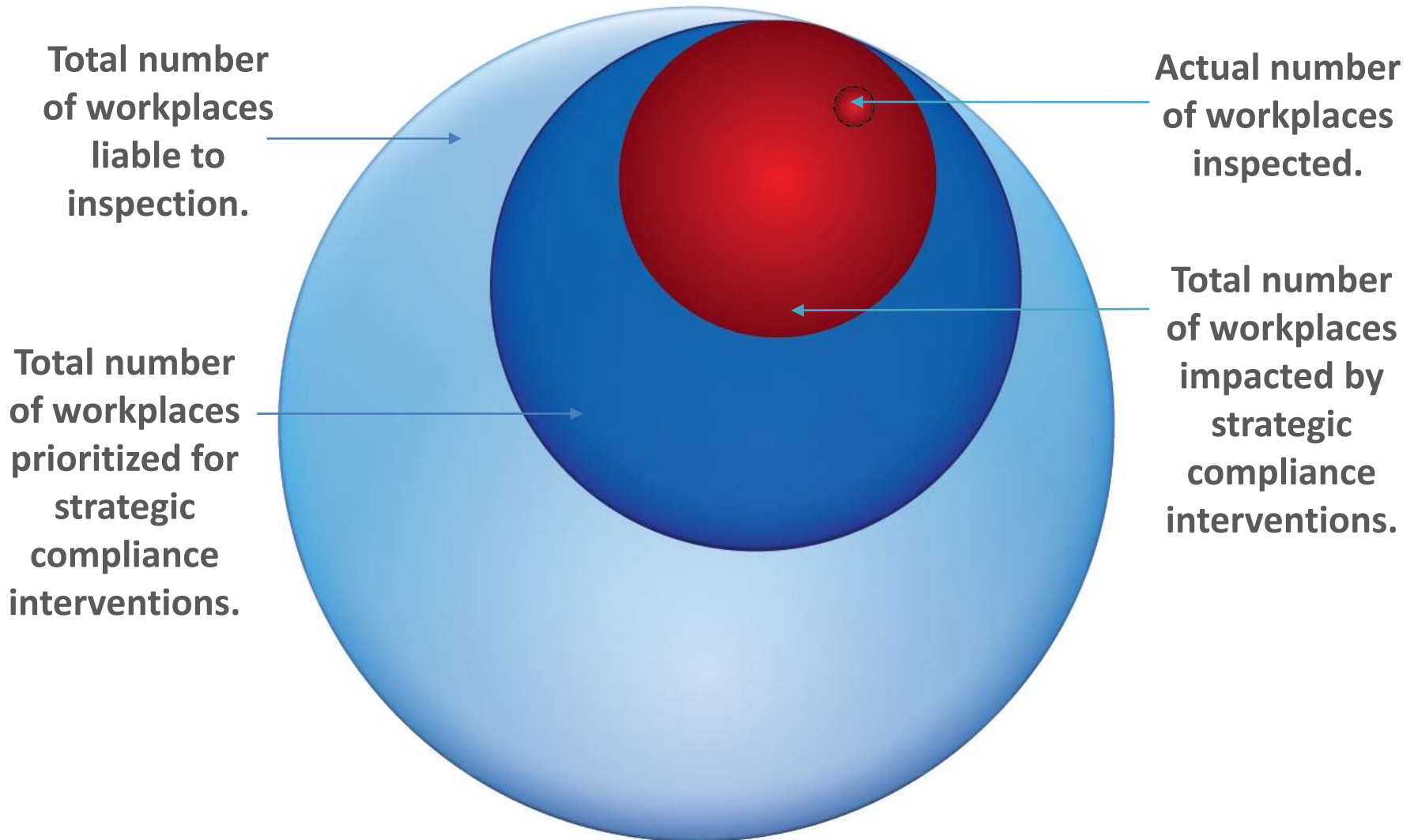


**Total number
of workplaces
liable to
inspection.**



**Actual number
of workplaces
inspected.**

Strategic Compliance Model



Traditional Enforcement Model vs Strategic Compliance Model



	Traditional Enforcement Model	Strategic Compliance Model
Aim	Enforcement	Enforcement + Compliance
Approach	Reactive (often complaint driven) and routine	Proactive, targeted (labour inspectorate driven) and tailored based on a diagnosis of the causes of non-compliance
Interventions	Enforcement Education Communication	Enforcement Education Communication Political Systemic
Stakeholders	Workers and their organizations Employers and their organizations	Workers and their organizations Employers and their organizations Government entities Non-governmental entities Media (...) Any and all others who can influence compliance
Implementer(s)	Labour Inspectorate	Labour Inspectorate + Stakeholders
Performance Measure(s)	Effective and efficient enforcement	Effective and efficient enforcement and sustained compliance

Strategic Compliance – Examples



Australia



Strategic Compliance – Examples



New Zealand



Strategic Compliance – Examples



Colombia



Strategic Compliance – Examples



Strategic Compliance – Examples



Thailand



Strategic Compliance – Examples



USA



The
Cheesecake
Factory.

Strategic Compliance – Examples



Jordan



Strategic Compliance – Examples



USA



Strategic Compliance – Examples

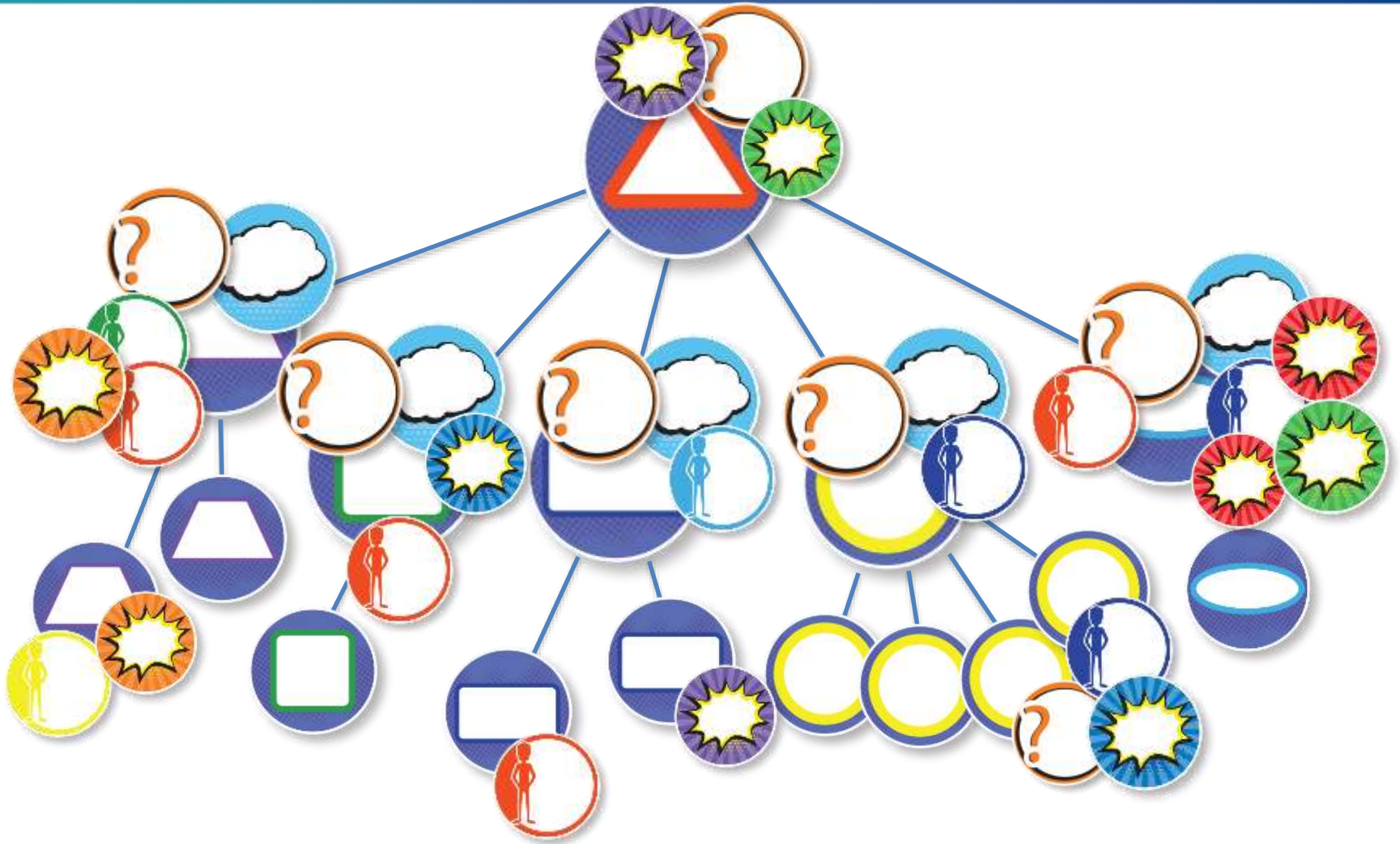


Singapore



Strategic COMPLIANCE Planning





1.1 Brainstorm
Mandates

1.2 Brainstorm
Resources

1.3 Brainstorm
Enforcement &
Compliance Data

01 Explore
the Labour
Inspectorate

**Explore
Labour Inspectorate**

Step One – Key Terms



Mandate

- Formal and informal “musts” of the labour inspectorate such as legal obligations and political expectations.

Resources

- Human, financial, technological, physical, and informational resources deployable under the discretion of the labour inspectorate.

Enforcement & Compliance Data

- Qualitative and quantitative information about enforcement activities of the labour inspectorate and compliance rates of a given issue or target.



Legal:

- Obligations derived from laws, regulations, and case law.

Policy (Internal):

- Expectations derived from work plans, goals, and performance indicators.

Political (External):

- Expectations derived from public agendas of the administration/government and political asks of stakeholders.

1.2 Brainstorm Resources



Operational:

- Powers held by the labour inspectorate, such as administrative/criminal penalties, workplace closures, suspension/revocation of licenses, verbal/written improvement notices with force of law.

Human:

- Number of labour inspectors, existence of inspectors with specialized skills (specialists in OSH, industrial relations, gender, HIV/AIDS), and the existence of support, communication, and education staff.

Financial:

- Available budget to transport inspectors for worksite visits, to develop communication campaigns, to conduct internal or external training.

Technological:

- Systematized enforcement data, knowledge management information systems, internet, computers, printers, copiers, scanners, and specialized equipment for OSH (noise meters).

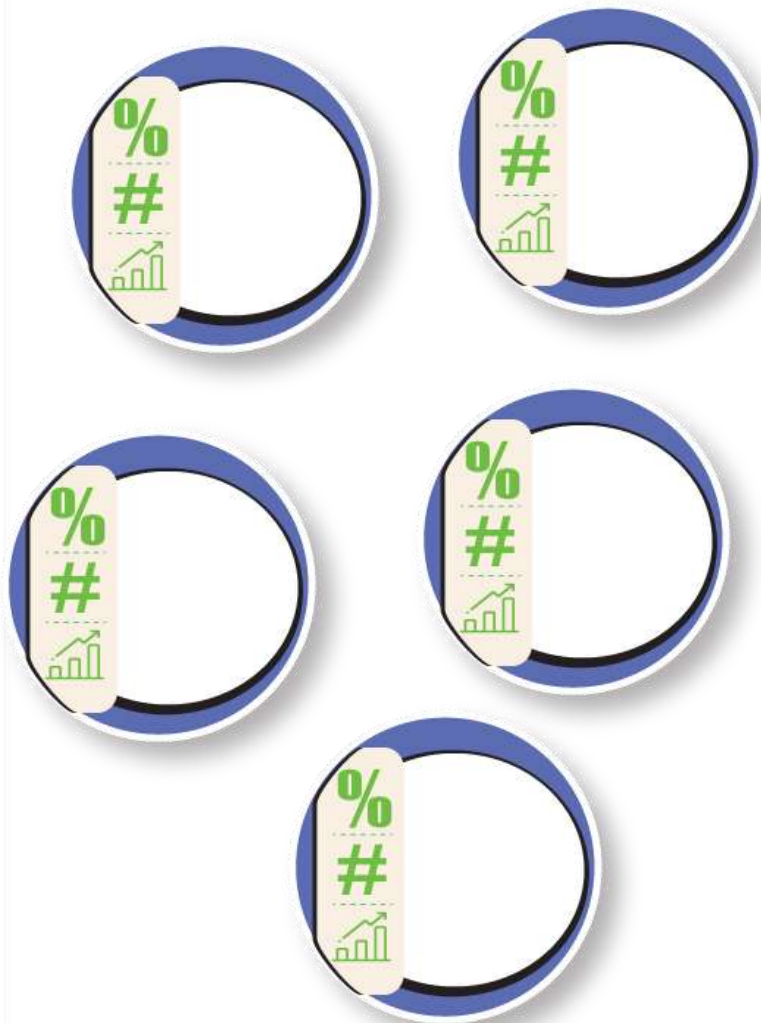
Physical:

- Meeting rooms, vehicles, office supplies, call/reception centres, personal protective equipment.

Informational:

- Information centres, private labour/employment attorneys, translators, contact lists for stakeholders (media, non-governmental entities, workers' and employers organizations, and counterparts in other government entities).

1.3 Brainstorm Enforcement & Compliance Data



Enforcement Data:

- Qualitative or quantitative information about enforcement (#/types of complaints; #/types of inspections, infractions, sanctions) derived from internal complaint and enforcement information.

Compliance Data:

- Qualitative or quantitative information about compliance derived from internal (complaint and enforcement information) and external sources (studies/reports by third-parties such as the media, academics, and workers'/employers' groups).

Explore Targets

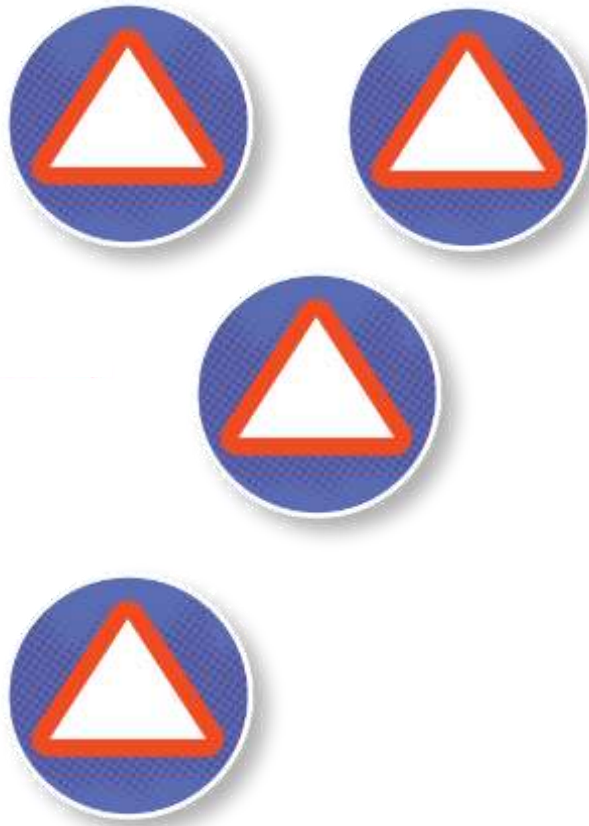
2.1 Brainstorm
Issues
& Targets

2.2 Prioritize
Issues
& Targets

2.3 Map
Issues
& Targets

02 Explore
Issues &
Targets

2.1 Brainstorm Target



Targets:

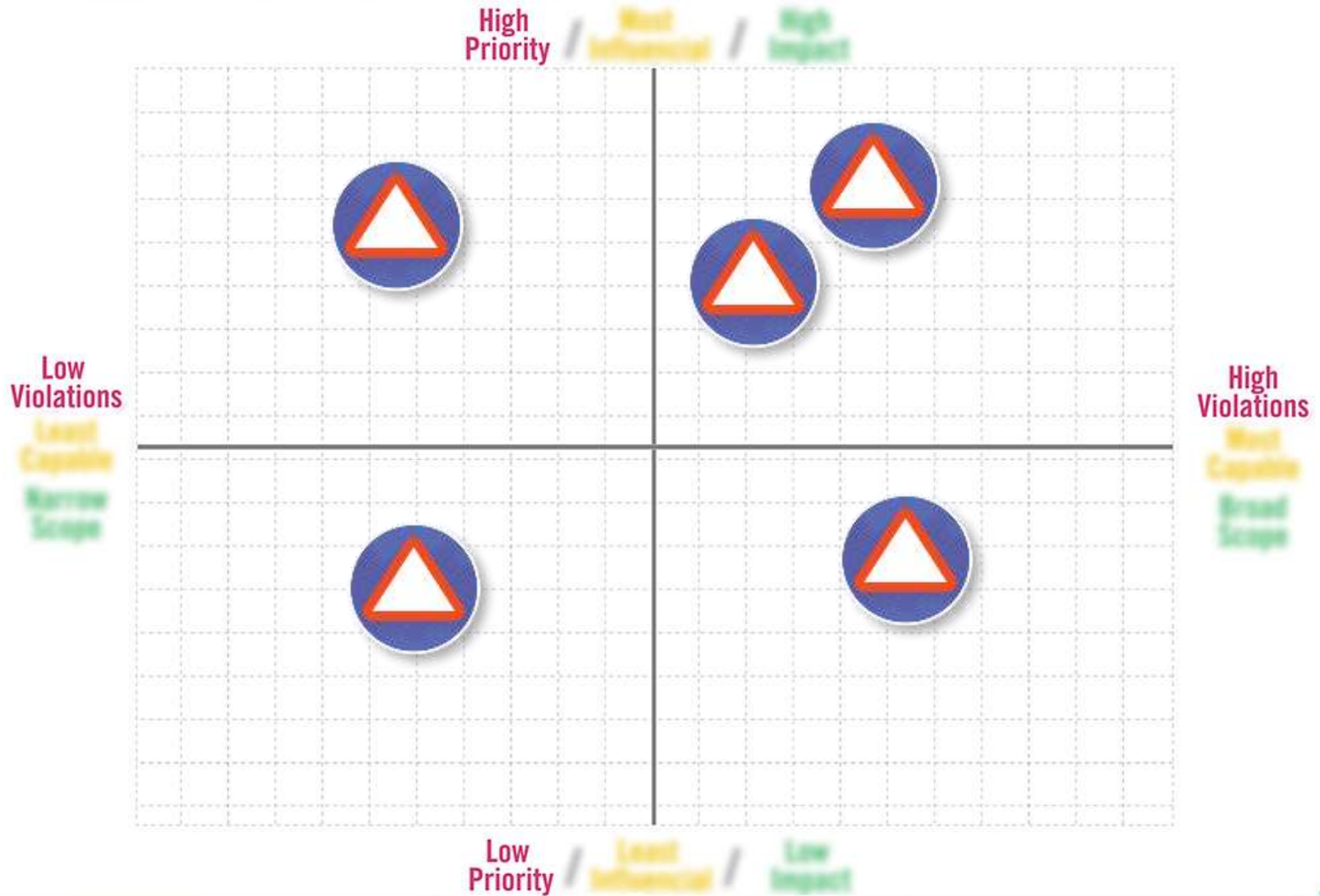
- Employers and worksites in priority regions, sectors, or business models (areas of greatest concern based on mandate and compliance data).

Compliance Hub:

- Central point (Issue and Target) around which the labour inspectorate will build a Strategic Compliance Plan.

Prioritize Targets

2.2 Priority / Compliance Matrix



2.1 Brainstorm Issues



Issues:

- Priority legal provisions (areas of greatest concern based on mandate and compliance data) relating to conditions of work and protection of workers while engaged in their work, enforceable by the labour inspectorate.

Compliance Hub:

- Central point (Issue and Target) around which the labour inspectorate will build a Strategic Compliance Plan.

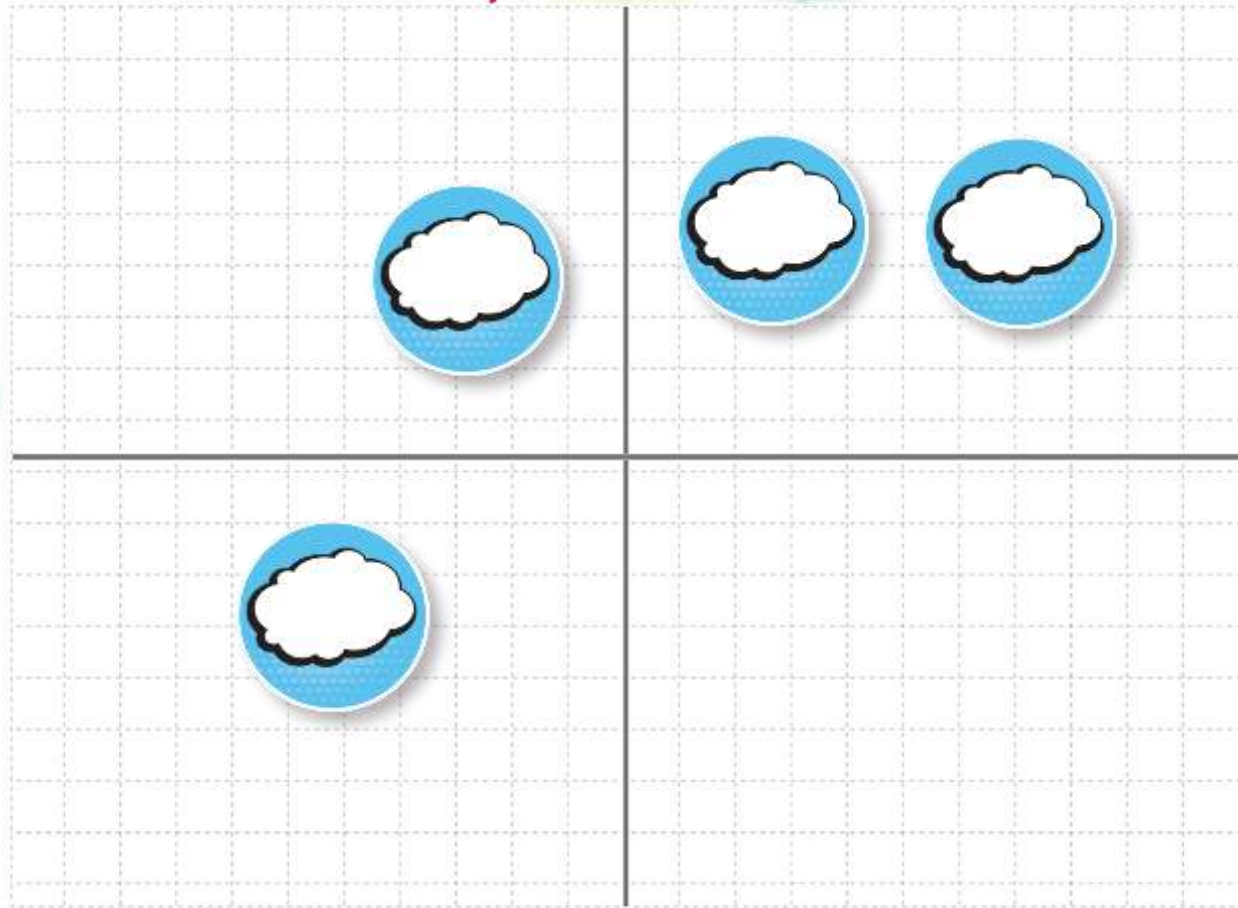
Prioritize Issues

2.2 Priority / Compliance Matrix

High Priority / High Influence / High Impact

Low Violations

High Violations



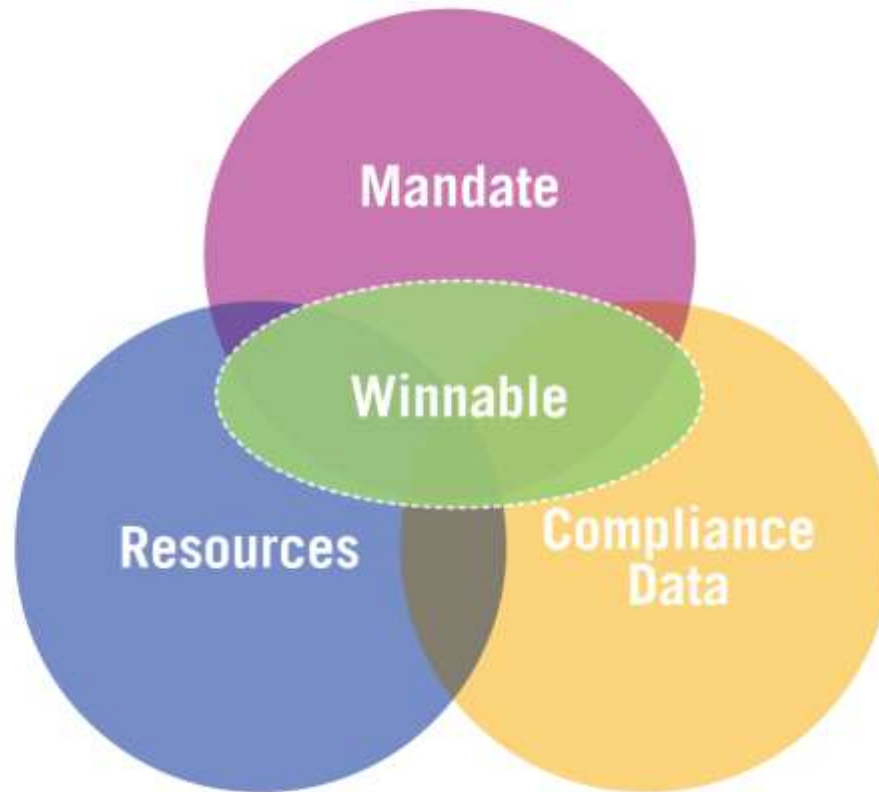
Low Priority / Low Influence / Low Impact

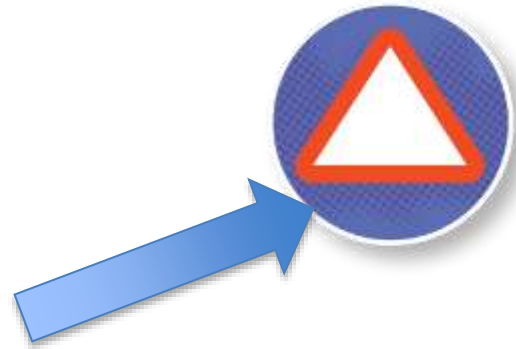
Prioritize Issues & Targets

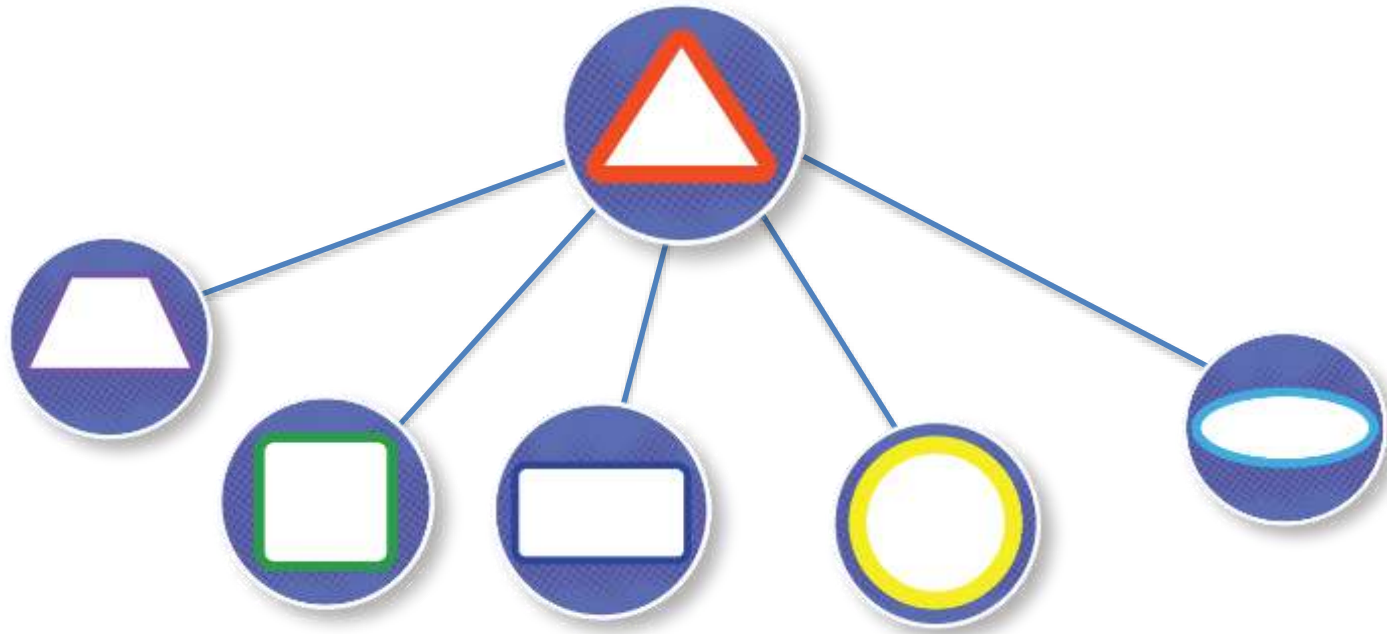


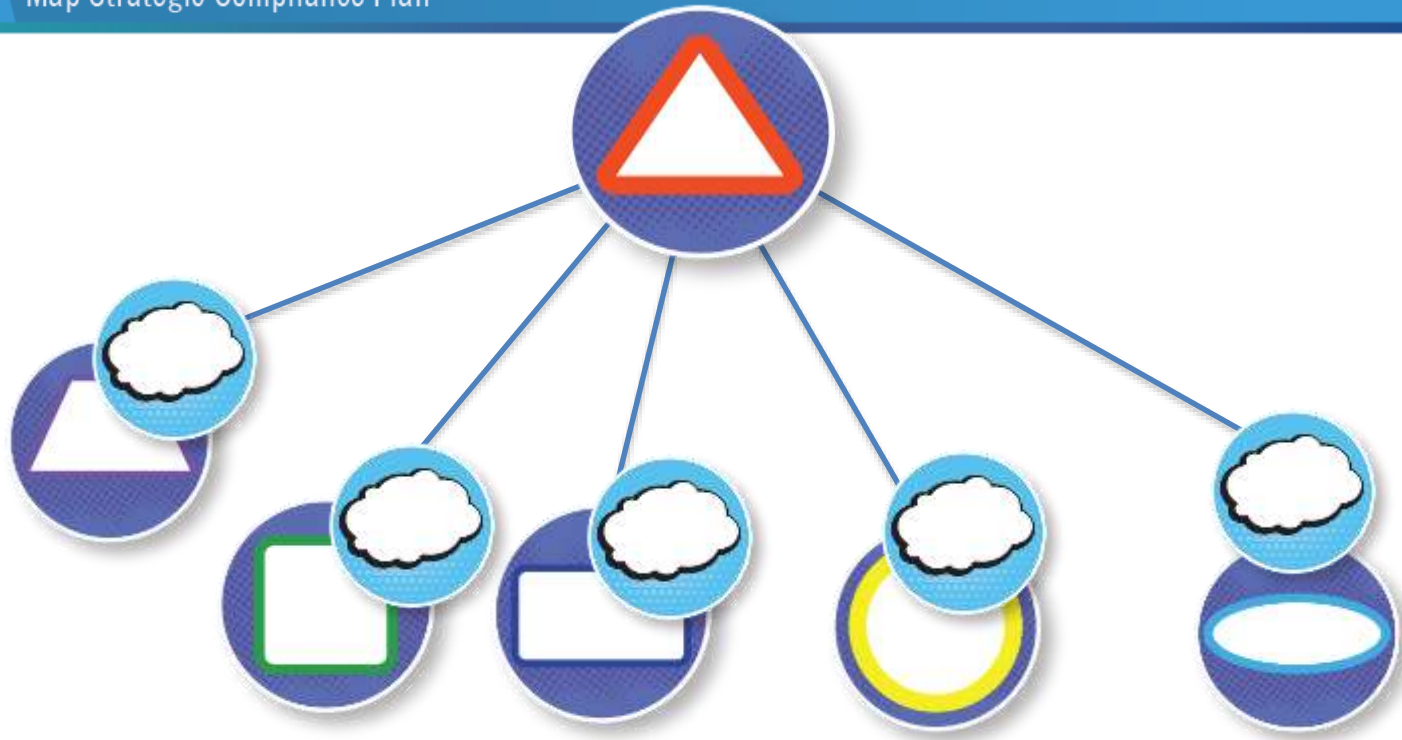
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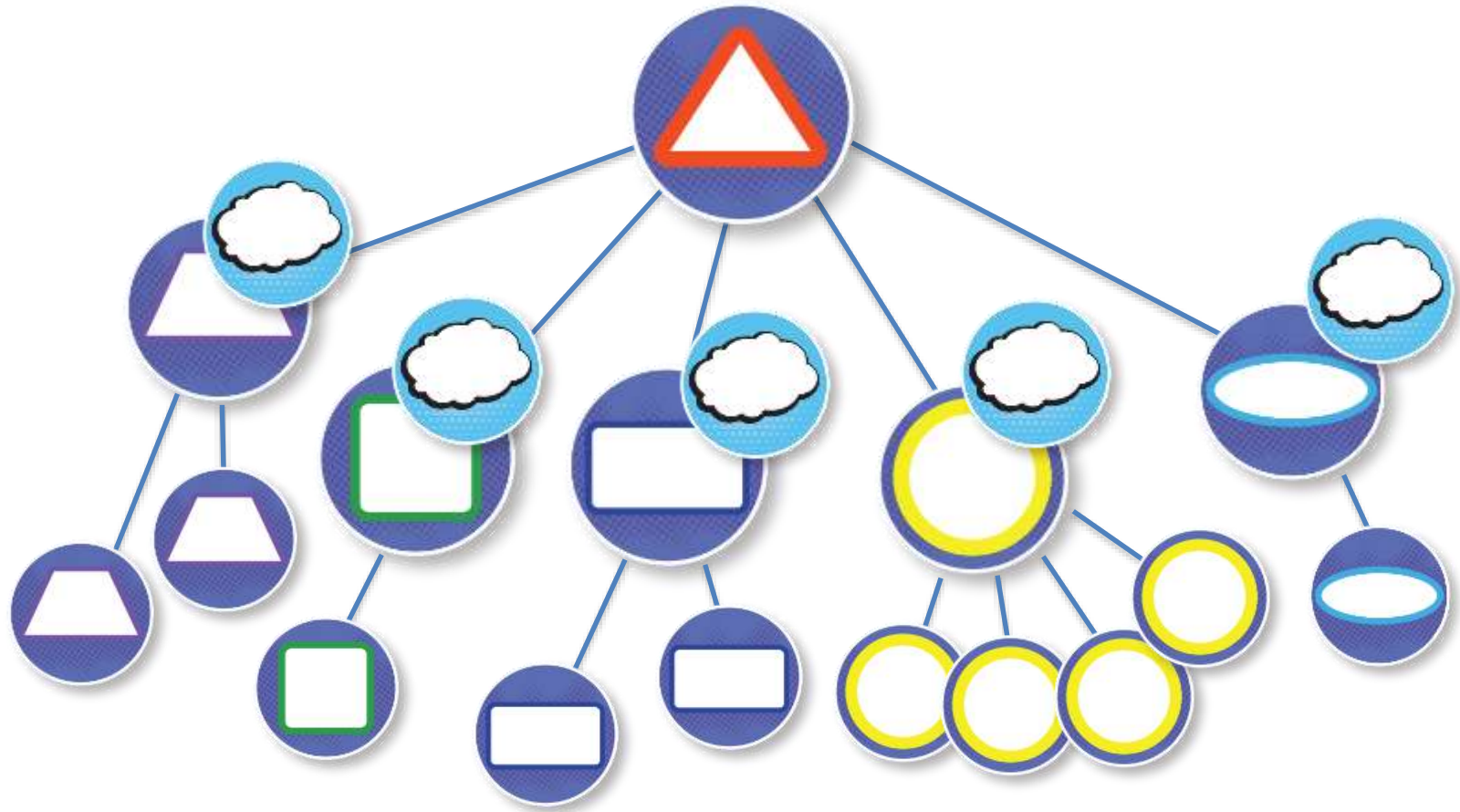
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3.1 Brainstorm
Underlying
Causes

3.2 Identify Positive
& Negative
Influences

03 Explore
Influences

Explore Influences

Just as a doctor must **diagnose** the **cause** or **causes** of an **illness** before prescribing a **cure ...**

... the Labour Inspectorate must **diagnose** **influences** of **compliance** and **non-compliance** before prescribing a compliance intervention.

Why do enterprises comply?

- What influences have a positive impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can positive influences be enhanced?
- What positive influences could be added?

Why don't enterprises comply?

- What influences have a negative impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can negative influences be diminished or eliminated?

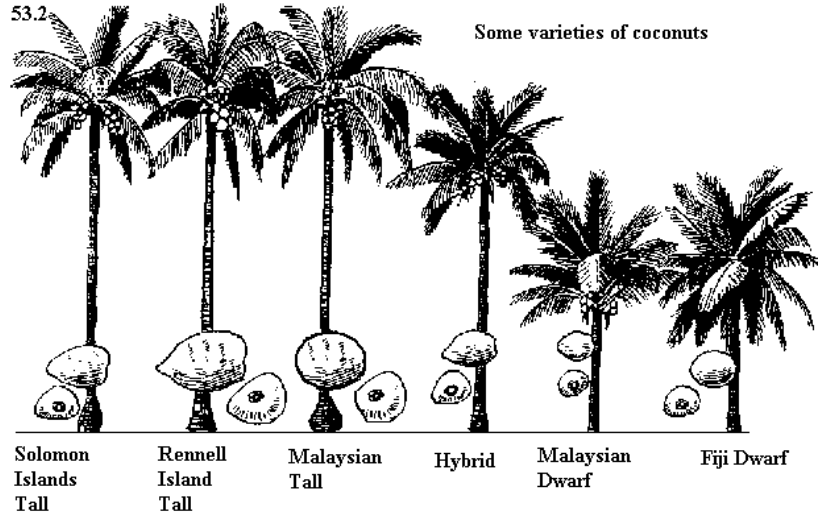
Compliance Influences – Examples



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Compliance Influences – Examples



Keep Asking Why

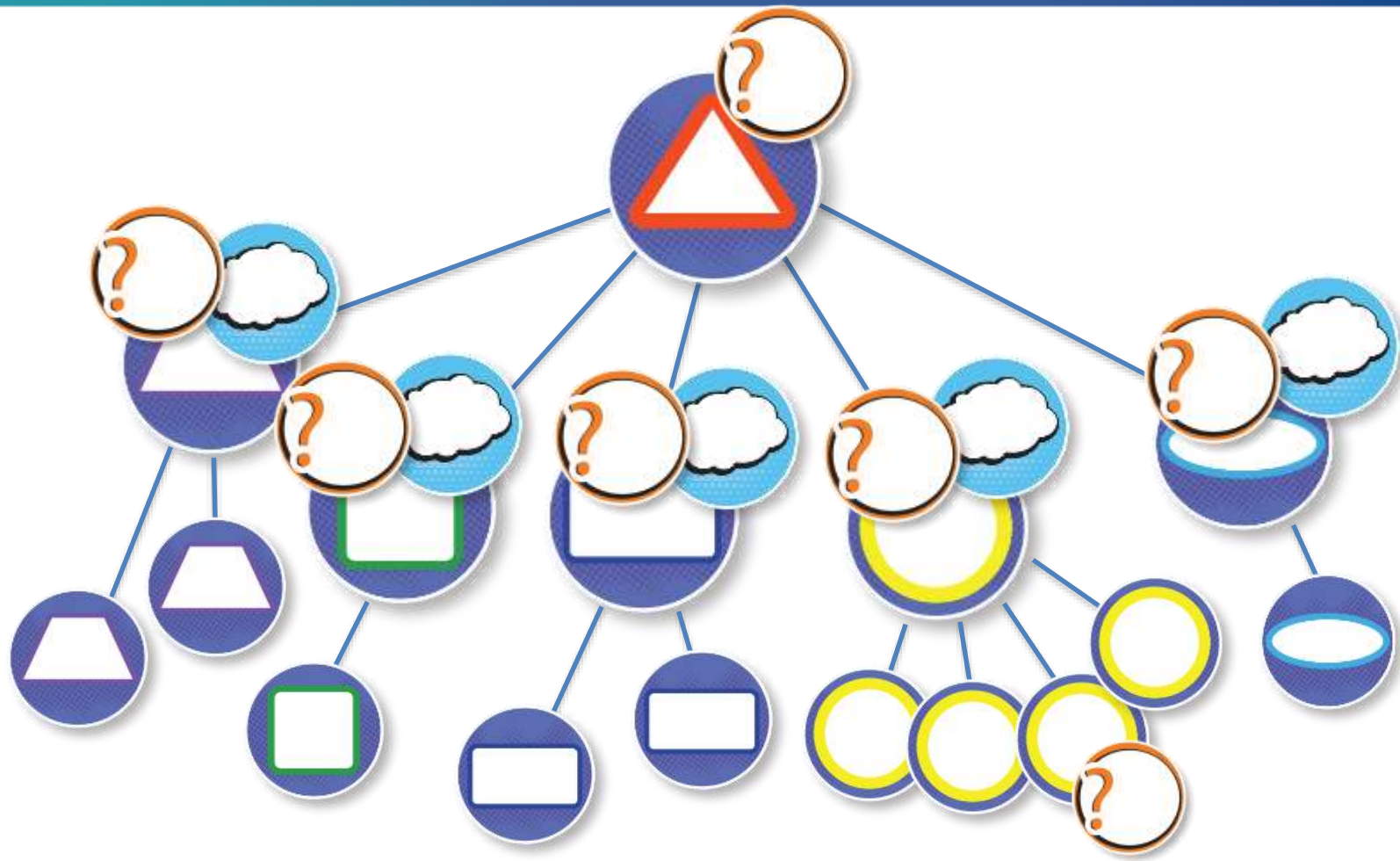


3.1 Keep Asking Why



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A vertical column of eight circular icons, each containing a question mark, positioned on the right side of the page. To the right of each icon is a horizontal line, and below each line is a dotted line, creating a series of eight writing spaces for notes.



Explore Stakeholders



Why do enterprises comply?

- What influences have a positive impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can positive influences be enhanced?
- What positive influences could be added?

Why don't enterprises comply?

- What influences have a negative impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can negative influences be diminished or eliminated?

Stakeholders

- Person, group, or entity that does or can positively or negatively influence compliance.

4.1 Brainstorm Stakeholders



Workers and their Organizations:

- Enterprise unions, sectoral unions, federations, confederations, guilds.

Employers and their Organizations:

- Enterprises, chamber of commerce, national or international sectoral/industry groups, owners, key management personal.

Non Governmental Organizations:

- Community groups, women's groups, issue specific group (environment, vulnerable populations, rights based).

Government Entities:

- Tax, export, environmental protection, licensing authorities, and social protection.

Media:

- Traditional media (radio, TV, internet) and social media (Facebook, Twitter).

(...):

- International organizations (WTO, World Bank, ILO, OECD), private compliance initiatives, certifiers, sources of raw materials, providers of services, buyers of end products, stockholders, investors, lenders, political/community connections, and any other entity that does not fit in the other categories.

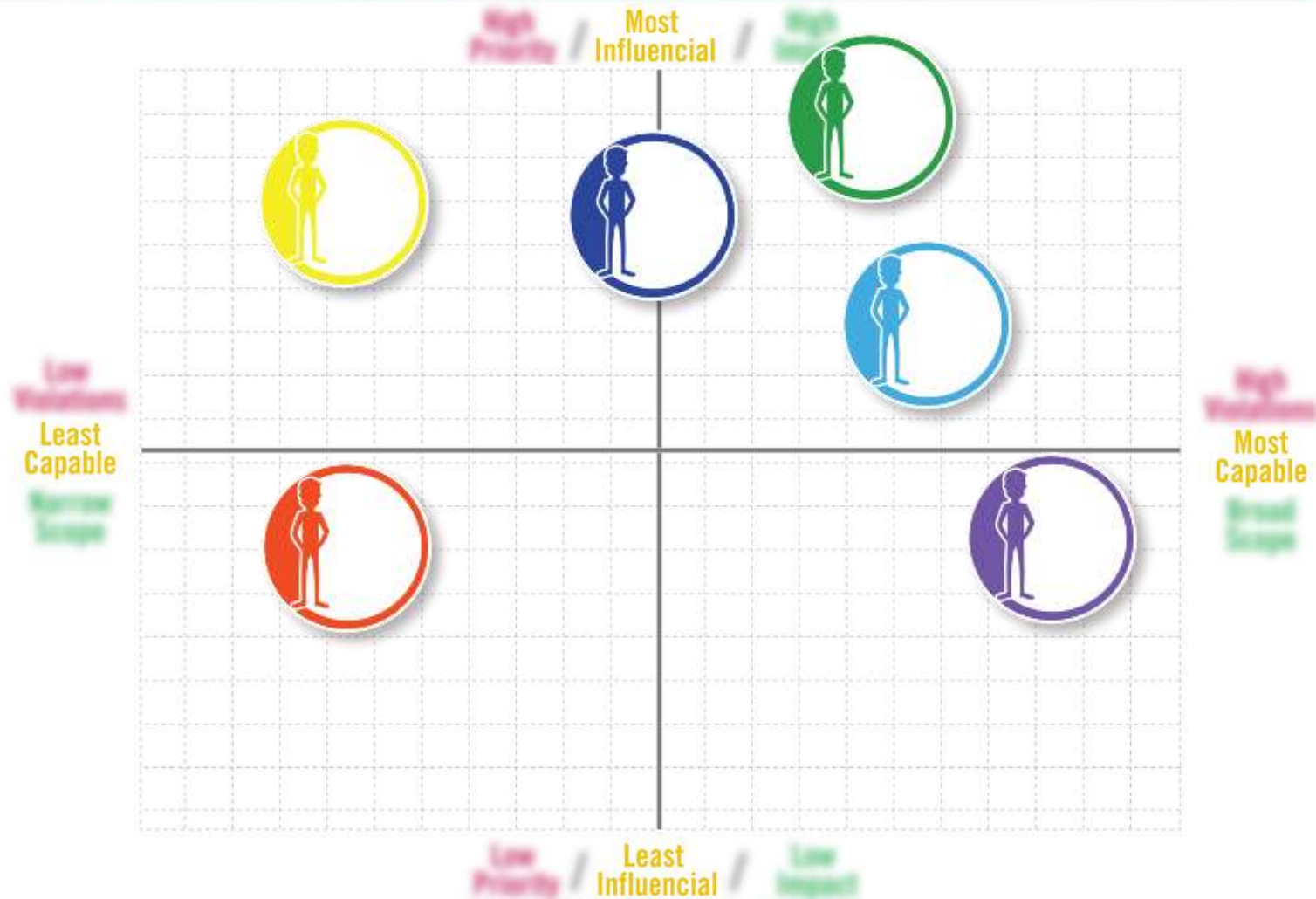
Prioritize Compliance Interventions



2.2 Priority Compliance Matrix

4.2 Influential / Capable Matrix

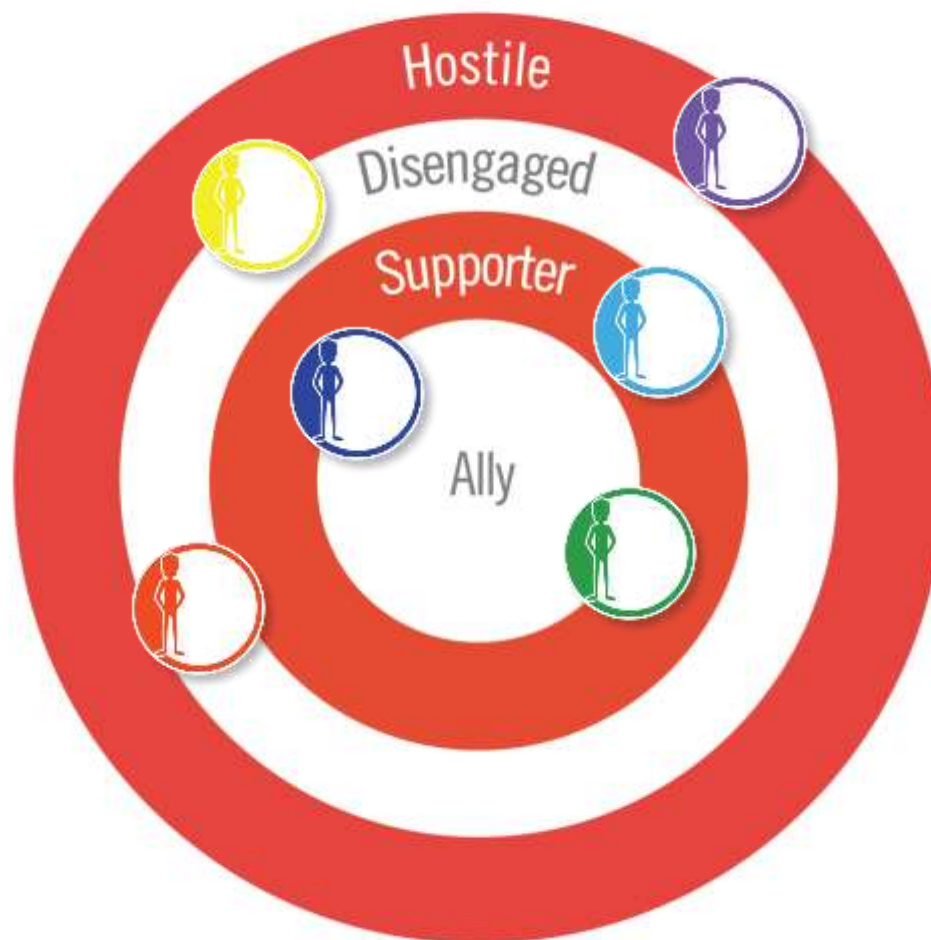
5.2 Priority Compliance Matrix



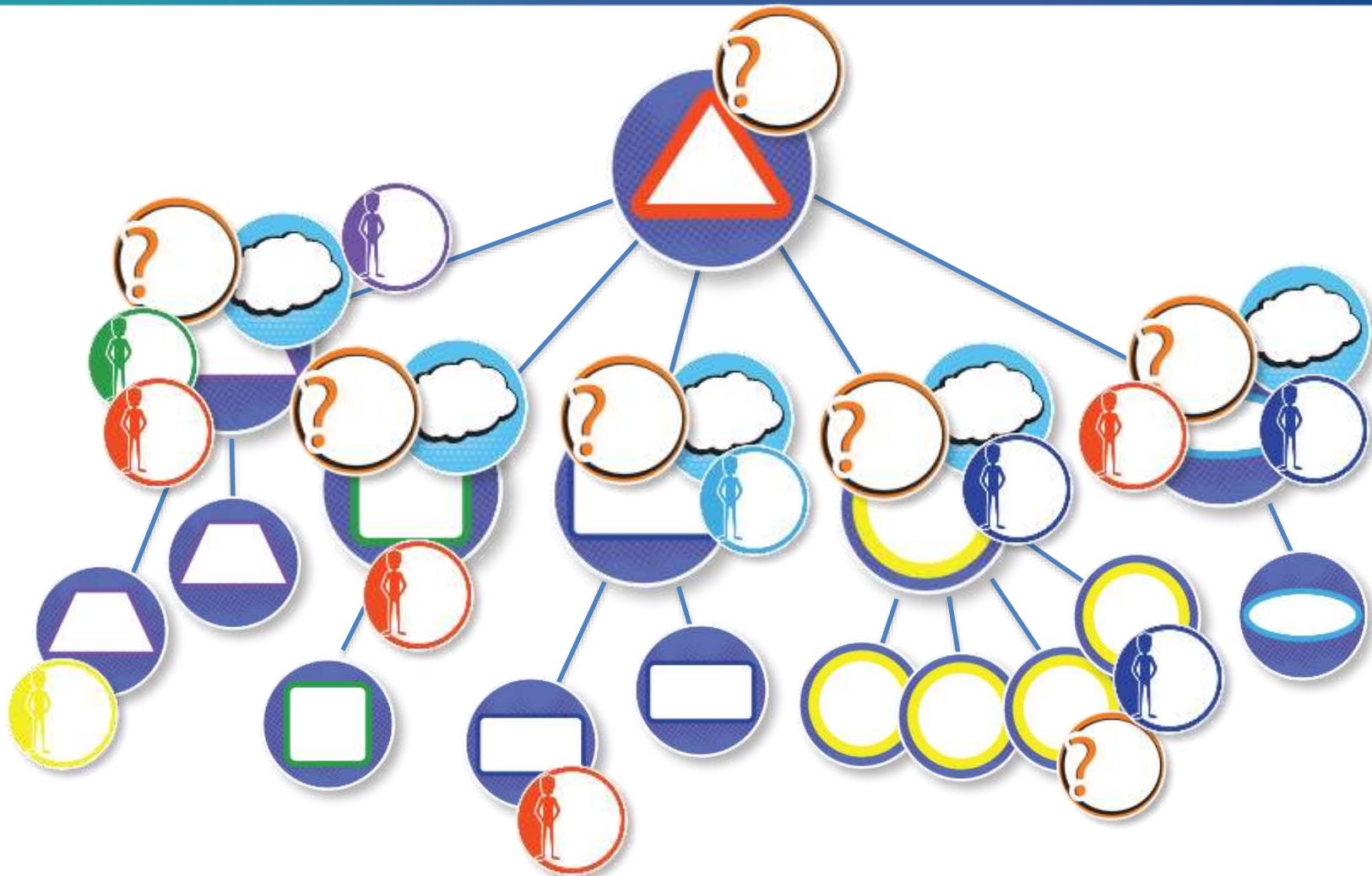
Prioritize Compliance Interventions



4.2 Commitment Bullseye*



* Adapted from Aim For the Bullseye, Secrets of a Successful Organizer



Explore Interventions **05**

5.1 Brainstorm Interventions

5.2 Prioritize Interventions

5.3 Map Interventions

Explore Interventions

Why do enterprises comply?

- What influences have a positive impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can positive influences be enhanced?
- What positive influences could be added?

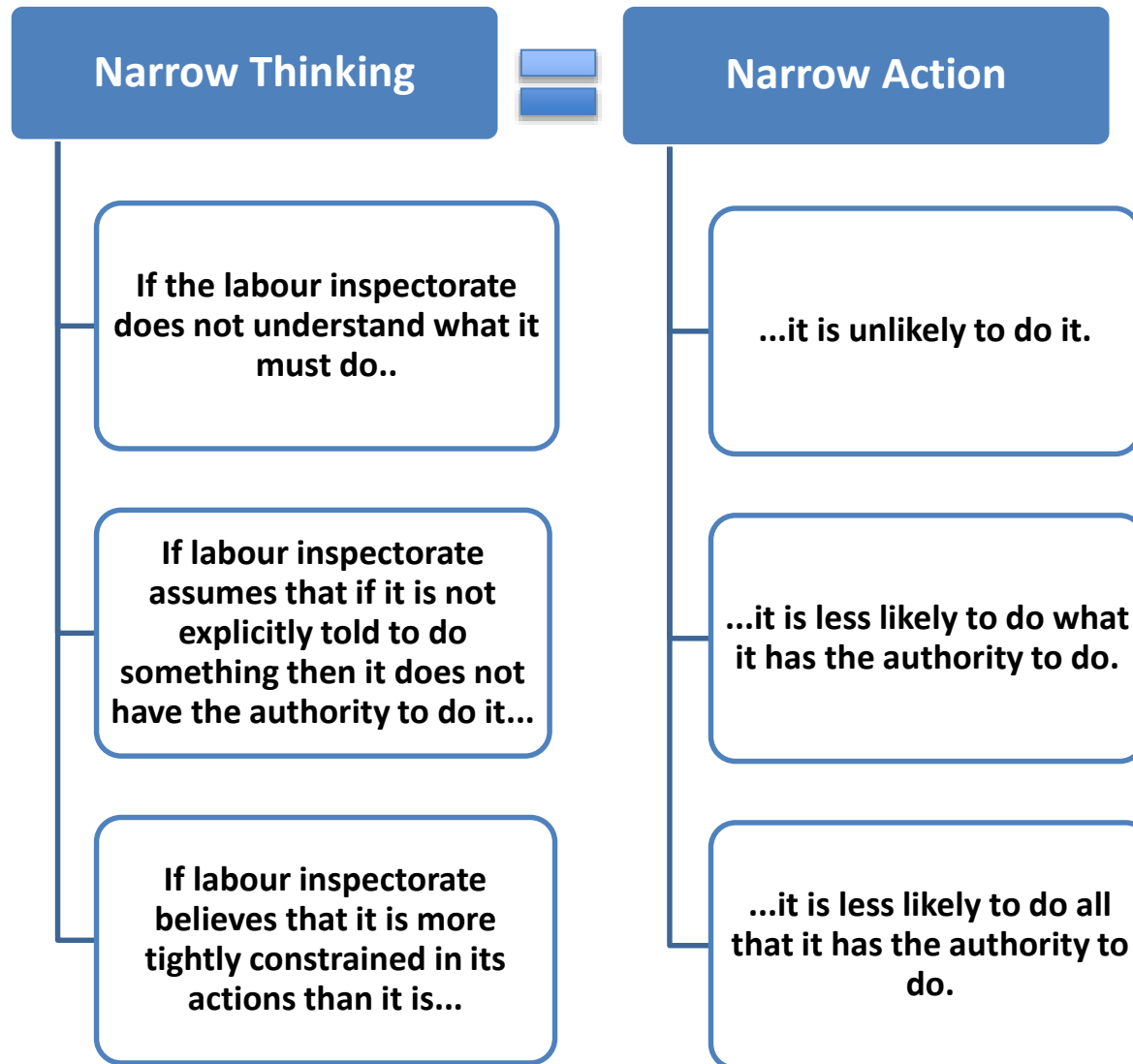
Why don't enterprises comply?

- What influences have a negative impact on compliance?
- How does the influence work?
- Who wields or could wield the influence?
- How can negative influences be diminished or eliminated?

Compliance Interventions

- Activity, task, action, campaign, or tactic available to the labour inspectorate, or stakeholders engaged by the labour inspectorate, to achieve effective and efficient enforcement and sustained compliance.

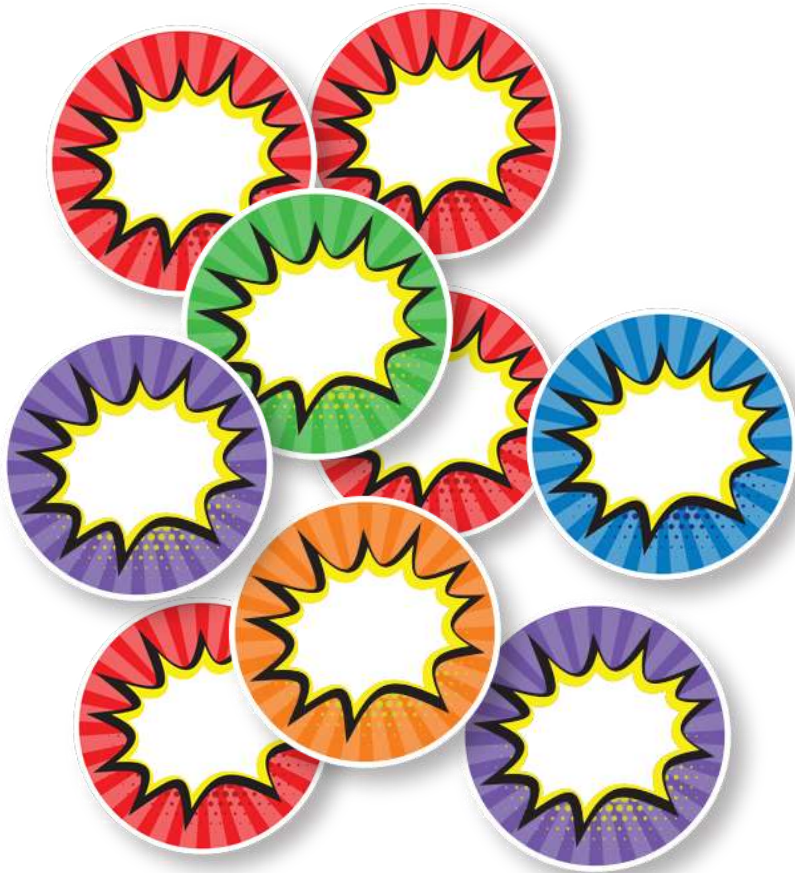
Brainstorm Compliance Interventions



Brainstorm Compliance Interventions



5.1 Brainstorm Interventions



Enforcements:

- Interventions, including those of other government enforcement agencies, that primarily seek to punish noncompliance such as administrative/criminal penalties, workplace closures, suspension/revocation of licenses, verbal/written improvement notices with force of law.

Education:

- Interventions that primarily seek to correct and prevent non-compliance such as trainings, assessments and recommendations, guidance and legal interpretations

Communication:

- Interventions that primarily seek to prevent non-compliance and promote compliance and/or the demand for compliance such as awareness raising campaigns delivered by and directed at workers, employers and/or citizens in general, and name and shame or name and acclaim campaigns.

Government Entities:

- Tax, export, environmental protection, licensing authorities, and social protection.

Political:

- Interventions that primarily seek to promote compliance through political pressure points such as in relation to entry into force of a trade agreements, accession into the OECD, ratification and/or compliance with ILO Conventions, and loan approval process of the World Bank.

Systemic:

- Interventions that primarily seek to promote compliance through the creation/expansion of barriers or access to entry, including leveraging certifications, permits and license and creation/expansion of access to benefits and privileges, including government contracts, grants and loans, and the identification and remedying of gaps in law or practice.

Prioritize Compliance Interventions



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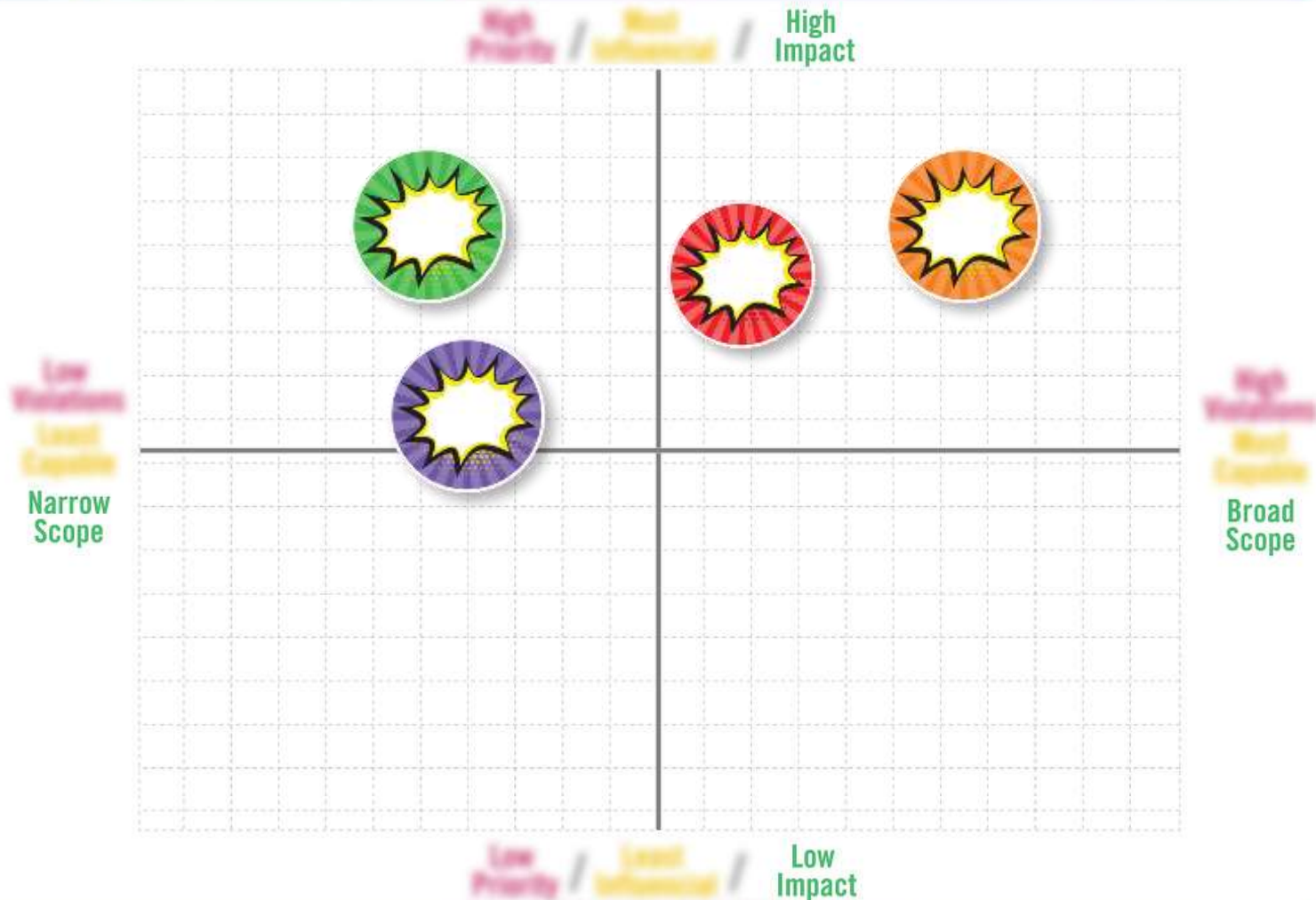
Priority Compliance Items

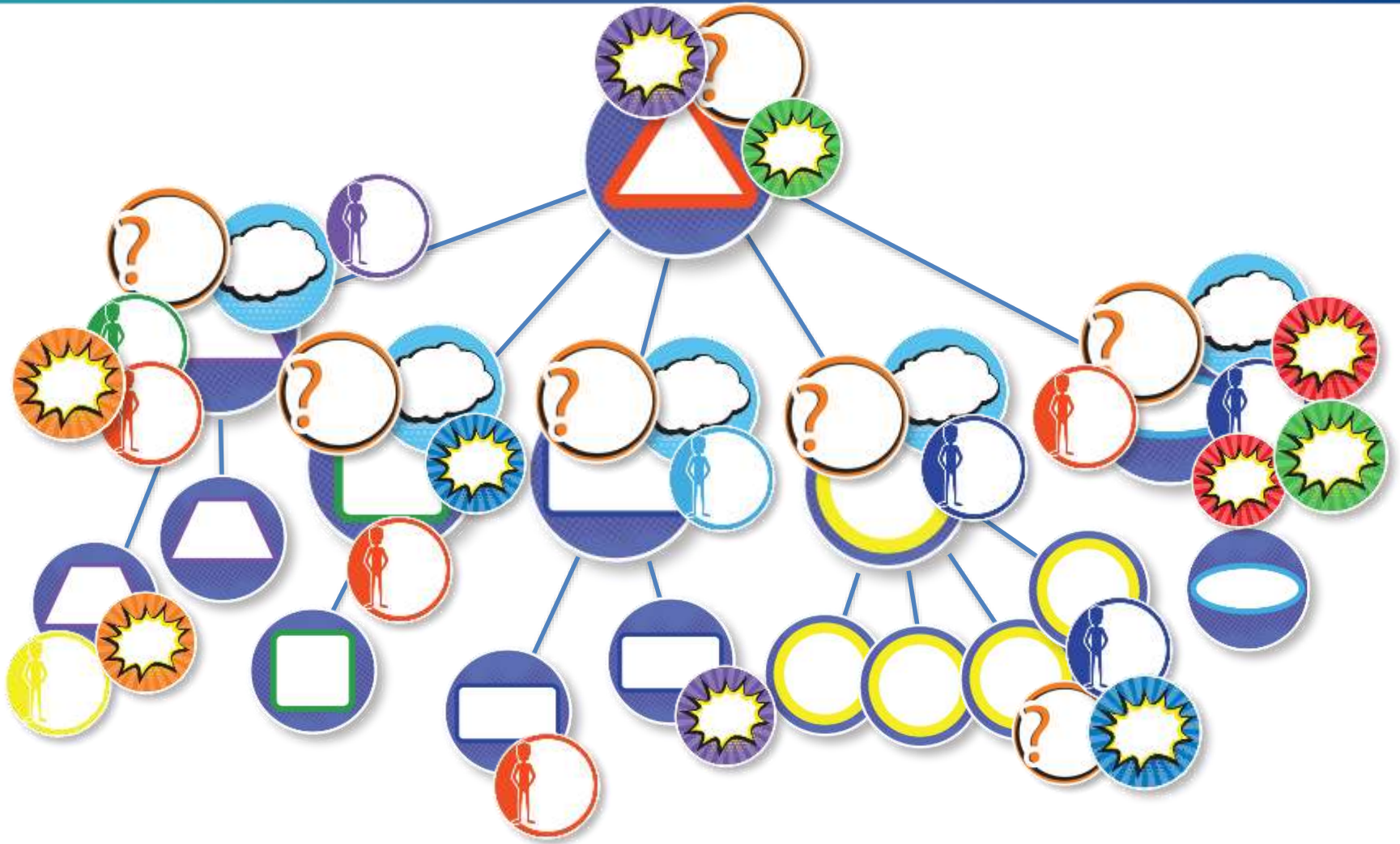
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Compliance Items

5.2

Impact / Scope Matrix



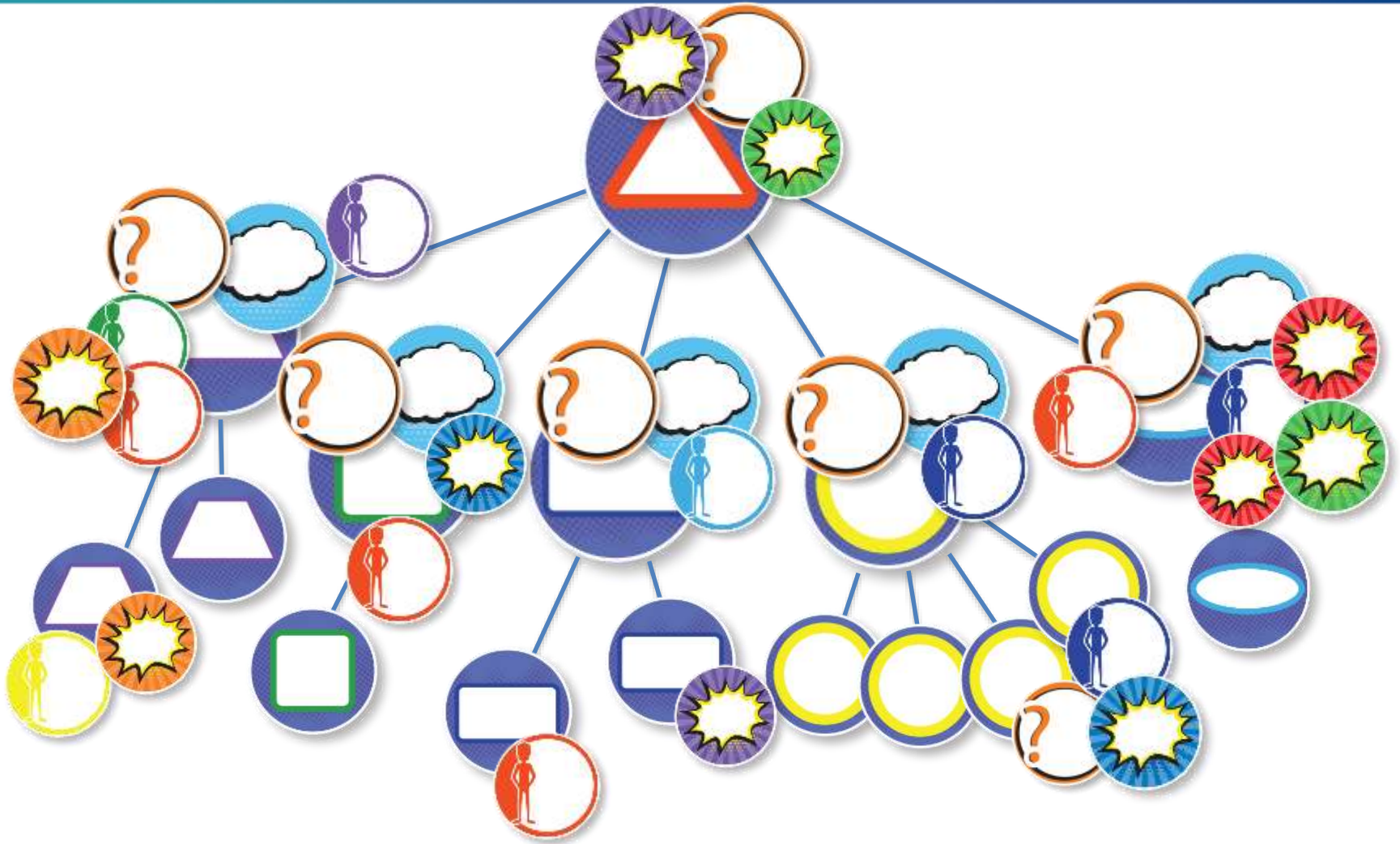


Operationalize Strategic Compliance Plan

Operationalize
Strategic
Compliance
Plan **06**

6.1 Map Strategic
Compliance Plan

6.2 Chart Strategic
Compliance Plan



Target

Issue

Influences

Intervention

Stakeholders

Resources



Thank you!