



The Napkin Guys: Culture of Compliance

Tim Hanson: Hey!

Both: Cheers!

Tim: Sprecher's patio....

Bryan Bechtoldt: Beautiful isn't it?

Tim: Yeah, I've gotta say of all the happy hour places in Madison, this has probably got to be one of the best.

Bryan: I know. You've got the waterfall. You've got fire pits out here. Great outdoor bar.

Tim: That's beautiful.

Bryan: Spectacular.

Tim: Yeah. Hey mind if I take you away from the ambiance for a business question real quick?

Bryan: Well if you must.

Tim: Yeah, so I've heard you guys talk about this and when we talk about our risk management in our GRC practice area, you've talked about the culture of compliance. Explain it a little bit more for me though

Bryan: Yeah, it's interesting. Compliance is something that really has to be, I think, led top-down in the organization. You really got to have a commitment to it and you really almost have to commit daily to it. It's something that we like to say in business, it requires continual vigilance. What that means is that every day we've got to take a look at how our organization is dealing with our compliancy and the things that regulate our industry. And this is not, I think, a lot of people view that as something that's sort of an arduous task and something that's sort of being done to their business or their organization. In reality Tim, compliances are just a large set of best practices that when organizations that really embrace it, they can see that as almost a pathway to grow and to be able to grow in a controlled and scalable sustainable way. And so it's an interesting thing. It's complicated. And because it's complicated, if it gets away from you, it takes a little time to get it back. So one of the things we always like to say is we



think people should inspect what they expect daily around compliance controls and compliance management. And it goes beyond just security and it really goes down to the way that people kind of think about their daily activities and are they acting in a compliant manner in their business.

Tim: You know that was interesting because I heard you say a couple of things and the irony of what you said is many of the organizations we work with talk about creating cultures in their business. Mostly around customer service.

Bryan: Correct.

Tim: You know how you think about customer service and how ingrained that is in the business practices of the organization.

Bryan: Yeah, correct. And that's a daily thing.

Tim: Well it's top-down. So I heard you say top-down led.

Bryan: Correct.

Tim: And a daily commitment.

Bryan: Yeah.

Tim: So when we think about customer service, we always think about that every time we pick up the phone, are we smiling? But when we talk about government and regulatory compliance, are we making the daily commitment to think of are we in compliance?

Bryan: And even from inspecting what you expect, I mean I love the customer service reference because people do things like they monitor people's talk-timing cue and how people are talking about emotions with clients and that are you always smiling thing is are we always going to be compliant? Same kind of thing. We have to monitor that activity on a daily basis.

Tim: Great. I like the term "inspect what you expect".

Bryan: It's a good business practice generally.

Tim: And then continual vigilance.

Bryan: Yeah, absolutely.



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Tim: So let me recap. Top-down - It's got to be led, committed from the top. And then daily, so a daily commitment to that continual vigilance.

Bryan: Yep, got to always be prepared.

Tim: And "inspect what you expect".

Bryan: Yeah that's how you take a culture in and move it forward.

Tim: All those are great talking points.

Bryan: Right. Well, what a fantastic day. Can we get back to this Sprecher?

Tim: Yeah, let's get back to this Sprecher.