# ORGANIZATIONAL BEHAVIOURAL CHANGE:

## Principles and Practice

BCKC Training Material

With support from MacArthur Foundation

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**TRAINING RESOURCE MATERIALS**


**CAPACITY BUILDING PROGRAM**

on

**ORGANIZATIONAL BEHAVIOUR CHANGE: PRINCIPLES & PRACTICE**


**ORGANIZED BY**


**BEHAVIOUR CHANGE KNOWLEDGE CENTRE [BCKC], NISER**


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### Module outline

1) Organizational Behaviour Analysis
2) Stakeholder mapping and analysis in behavioural reform contexts
3) Ethical Standards in Exam Management
4) Designing Processes and Working with Checklists
5) Documentation and Reporting
6) Building collaborations for sustainable reforms
7) System Thinking and Learning
8) Behavioural Models in Compliance
9) Tracking Compliant Behaviour
10) Psychological Resilience for Regulators in the Exam Sector

# MODULE 1
## ORGANIZATIONAL BEHAVIOUR ANALYSIS

## COURSE OBJECTIVE

The course will help workshop participants to appreciate and understand individual behaviour in organization setting; group and group dynamics in organizational context, organizational structure and culture, leadership styles and rewards and punishment in driving organizational change. Principally, the understanding of organizational behaviour will equip compliance officers with knowledge of individual behaviour, group behaviour and how they influence or impede compliance in an organization. By exploring topics such as individual behaviour and group dynamics, the course will equip individuals and groups with the knowledge and tools to enhance their productivity and effectiveness at JAMB.

## OUTLINE

**1. Introduction to Organizational Behaviour**
- Introduction to Behaviour
- Definition and scope of Organizational Behaviour (OB)
- Importance and benefits of studying OB
- Steps in analysing Organisational Behaviour

**2. Individual Behaviour in Organizations:** Examine the individual factors influencing behaviour, including personality traits, attitudes, motivation, and decision-making processes
- Personality, Attitudes and its impact on organizational behaviour
- Models of Individual Behaviour
- Learning and decision-making processes

**3. Group Dynamics and Teamwork:** Analyze group dynamics, roles, communication patterns, and conflict management strategies within the organization
- Importance of groups and teams in organizations
- Group Behaviour and Compliance

**4. Organizational Culture and Change**: Assess the organizational structure and design and its influence on behavior, communication, and decision-making processes
- Organizational culture: definition and components
- The role of culture in shaping behaviour and performance
- Organizational socialization and employee onboarding
- Rewards and Punishment in managing organizational change
- Organizational development interventions

# INTRODUCTION TO ORGANIZATIONAL BEHAVIOUR

The study of Organizational Behavior (OB) holds immense importance in today's dynamic and complex business environment. As organizations strive to achieve their goals and maintain a competitive edge, understanding the behaviour of individuals, groups, and teams within the organizational context becomes crucial. Organizational Behavior offers valuable insights into the intricacies of human behaviour, motivation, and interactions within the workplace. By understanding how individuals and groups behave within an organization, these institutions can improve productivity, increase employee satisfaction, reduce staff turnover, and ultimately lead to positive behavioural change.

From a psychological perspective, there are various approaches to understanding human behaviour in terms of the underlying factors behind their action and inactions. Constructs such as motivation and classical, operant, social and cognitive schools of learning are useful for understanding the underlying causes of corruption. Cognitive psychology reiterates that to understand individual decision-making processes (including decisions about acting corruptly) we must look at factors that influence information processing (such as life experiences, social norms, mental capacity, and motivation). Various psychological processes, like the need to comply, self-serving biases, commitment etc. that operate to determine corrupt behaviour are vital psychological constructs in this context.

Individual-level mental processes that guides decision-making and information processing such as power, risk perception, rationalization, personal gain, emotion and self-control that drive choices to act unethically, as well as the psychological determinants of group unethical behaviour are paramount to investigating or understanding an effort to develop effective intervention programmes.

Several theories have proposed suggestions on how individuals could be induced, coerced or motivated to engage in certain behaviour. These factors have been described as impetus and drivers of behavioural tendencies and could also serve as push factors to maintain new positive behavioural change after interventions have been implemented.

Given the above, this session will deliver in-depth exposition on the basics of attitude and behaviour as well as the nexus between the 2 constructs. Understanding human behaviour, that is how and why people act the way they do is one of the most strategic ways to design and execute more emotionally engaging interventions. In the quest for a change from an undesirable behaviour to a desirable one, it is imperative we appreciate the underlying factors that drive, sustain, and serve as a barrier to actions or inactions in a social system. Furthermore, individual and collective behaviour, as well as social patterns of behaviour respectively, will be clarified in the context of the study at hand.

**Table 1: A Practical Approach to Organizational Behavior Analysis**

| Steps of Organizational Behaviour Analysis | Description |
|---|---|
| Step 1: Identify the Issue or Problem | Clearly define the specific issue or problem to be analyzed |
| Step 2: Gather Relevant Data | Collect qualitative and quantitative data related to the issue, such as surveys, interviews, observations, and organizational documents |
| Step 3: Analyze Individual Behavior | Examine the individual factors influencing behavior, including personality traits, attitudes, motivation, and decision-making processes |
| Step 4: Assess Group Dynamics | Analyze group dynamics, roles, communication patterns, and conflict management strategies within the organization |
| Step 5: Evaluate Leadership and Management | Evaluate the leadership styles, effectiveness, and impact on employee behavior and performance |
| Step 6: Examine Organizational Culture | Explore the values, beliefs, and norms shaping behavior and performance within the organization |
| Step 7: Study Organizational Structure | Assess the organizational structure and design and its influence on behavior, communication, and decision-making processes |
| Step 8: Assess Communication Channels | Analyze communication processes, channels, and barriers within the organization |
| Step 9: Identify Change Management Strategies | Identify the need for change, evaluate the readiness for change, and propose appropriate change management strategies |
| Step 10: Apply Ethical Considerations | Evaluate the ethical implications of behavior and decisions within the organization |
| Step 11: Develop Recommendations | Based on the analysis, propose practical recommendations to address the identified issues or problems |
| Step 12: Monitor and Evaluate | Continuously monitor the implementation of recommendations and evaluate their effectiveness |

# MODULE 2
# STAKEHOLDER MAPPING AND ANALYSIS IN REFORM CONTEXT

## COURSE OBJECTIVE

This is a module is part of the NISER/MacArthur Foundation developed intervention around course titled "Behavioural Change in Complex Systems". It is aimed at imparting interested participants with basic, but relevant, skills and knowledge of stakeholder analysis in reform and general contexts (public or private sector).

The objective of this module is to provide participants with basic knowledge and skills to conduct stakeholder analysis in relevant contexts in Nigeria. The focus will be on understanding applicable stakeholders, their interests, power dynamics, and relationships within Nigeria's public service context. The goal is to improve participants' ability to understand peculiar characteristics of personality, groups and influencers whose actions and decisions impact on reform agenda and initiatives.

In the final analysis, participants will be able to provide an overview of the nature and forms of stakeholders within public service reform contexts; understand how these stakeholders interact to enable or disable new interventions; and explore methods and techniques of stakeholder analysis. The course offers opportunities for individual, and team learning and fosters an environment for sharing feedback.

## LEARNING OUTCOME

At the end of this module, participants should be able to:

- Define Stakeholder Analysis: Understand the concept of stakeholder analysis and its significance in identifying key actors within the educational ecosystem in Nigeria.
- Identify Stakeholders in Corruption: Recognize the diverse range of stakeholders involved in corrupt practices, including government officials, private entities, civil society organizations, and citizens and how their activities impact on the integrity of examinations.
- Analyse Stakeholder Interests: Evaluate the different interests and motivations that drive stakeholders' acceptance or rejection of reform interventions, taking into account economic, political, and social factors.
- Assess Stakeholder Power Dynamics: Analyse the distribution of power among various stakeholders and how it influences sustainability of practices, decision-making, and resource allocation.
- Map Stakeholder Relationships: Create stakeholder mapping to visualize and understand the interconnections between different actors within JAMP operational network, revealing potential areas of collaboration or conflict.

**INTRODUCTION TO STAKEHOLDER ANALYSIS**

Stakeholder analysis is the process of identifying stakeholders, establishing their characteristics, investigating their relationships, and understanding their involvement. Stakeholders are individuals, groups or organizations who impact or may be impacted by the outcomes of a decision, action or issue making them the most important factor in any policy intervention[1].

Stakeholder analysis is a crucial process used in business, project management, and policy development to identify, assess, and understand the various individuals, groups, or organizations that have an interest or 'stake' in a particular project, decision, or initiative. These stakeholders can be individuals, teams, departments, communities, or any other entities affected by or affecting the project's outcome. Stakeholder analysis is first step to tackle these dynamics by gathering information and an adequate understanding of interests and powers/influences.

**STEPS IN STAKEHOLDER ANALYSIS**

Stakeholder analysis is an iterative process that needs to adapt as stakeholders' characteristics and interactions evolve over time, policy and political changes. Conducting a stakeholder analysis involves the following steps:

I.    Identification of key Stakeholders: To conduct a stakeholder analysis, the first step is to identify the main stakeholders involved in policy and governance environment and understand their interests, whether they are positive or negative. This identification process relies on comprehending the roles and characteristics of each stakeholder. Interacting with them and asking semi-structured questions can help gather this information. It is important to note that the list of stakeholders may evolve as we gain a better understanding of each group involved. The outcome of this process is a stakeholder analysis matrix, which includes essential details about the stakeholders, such as their names, roles, potential contributions to the project, and whether they belong to any marginalized groups.

II.   Assessing the influence and importance of each stakeholder: After identifying the key stakeholders, the next step is to evaluate how much influence and importance each of them holds regarding the project. This assessment involves ranking stakeholders with either a "low" or "high" score for both "influence" and "importance." Once this is done, the stakeholders can be plotted on a stakeholder analysis grid based on their level of interest, influence, and the type of engagement they have with the project. It is essential to consider their relationships, including support, rights, and the level of conflict or collaboration that exists among all the mapped stakeholders, both within and across the groups.

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[1]https://iwrmactionhub.org/learn/iwrm-tools/stakeholder-analysis

III.    Identifying how best to engage stakeholders: The final step involves determining the appropriate type of stakeholder engagement based on their position on the stakeholder analysis grid. This leads to four distinct stakeholder groups, each requiring a specific engagement strategy, such as 'keep informed', 'engage', 'consult', and 'monitor and satisfy' Logically, the stakeholders falling into the category of 'high influence and high interest' are the ones you should focus on 'monitoring and keeping satisfied'.
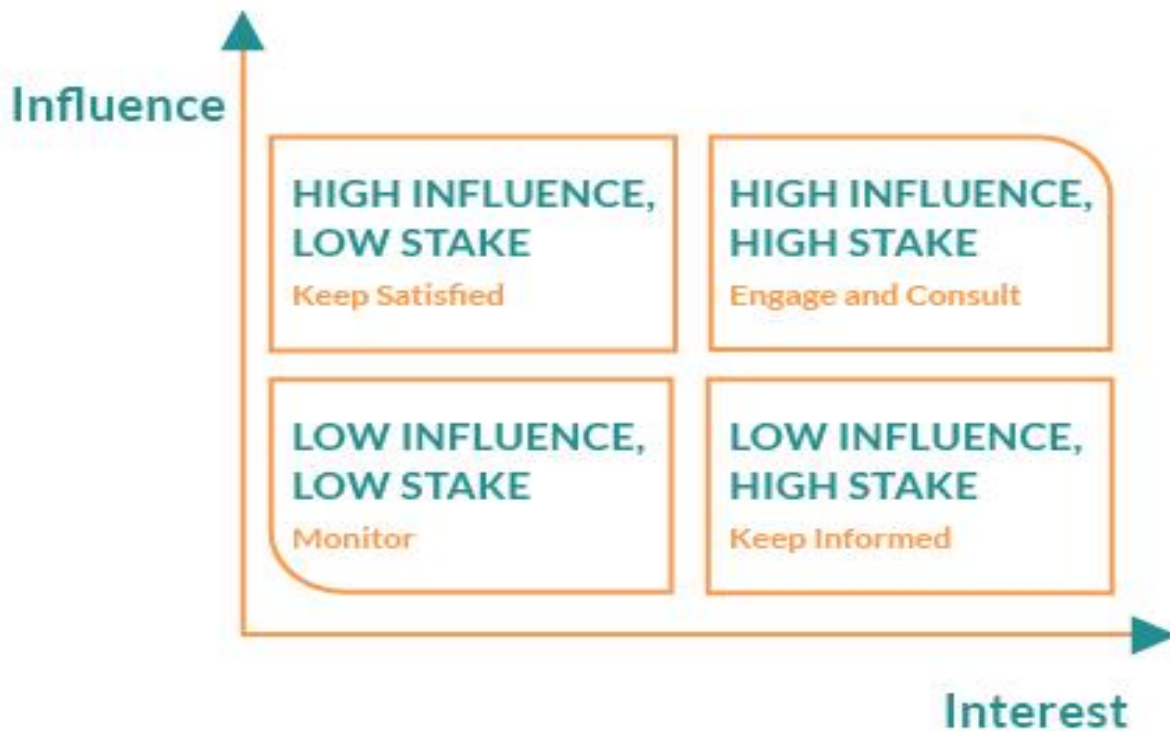


**Figure 1. Influence vs Interest Grid used for stakeholder mapping[2]**

**STAKEHOLDER MAPPING**

Stakeholder mapping is the perfect tool for analysing stakeholders in a project. It gives us a clear picture of who the stakeholders are and how they are related to the planned reform. By using this technique, we can identify both individuals and organizations that are likely to have an impact on the project. Additionally, it helps us understand the different types of stakeholders involved and how they interact with one another. In short, stakeholder mapping provides a comprehensive view of the stakeholder landscape, making it an essential tool for successful project planning and execution.

**Steps in Stakeholder Mapping**

[2] Kanchana Ginige, Dilanthi Amaratunga, Richard Haigh, Mapping stakeholders associated with societal challenges: A Methodological Framework, Procedia Engineering,2018, 212, 1195-1202. https://doi.org/10.1016/j.proeng.2018.01.154.

a) Be clear about the issue of the mapping

To reduce the number of actors shown on the map, there is the need to make the map about specific policy objective. To do this, there is the need to ask a guiding question like: What is the main problem we are trying to solve, and what do we want to achieve with our plan?

b) Define time and periodicity

Actors, which are the people or entities involved, create a constantly changing and connected web of relationships. Because of this, the timing of analysing these relationships is crucial. Therefore, it's essential to ask two important questions: When should we create the stakeholder map, and when should we update it?

c) Consider different perspectives and perceptions

Every actor sees things differently because everyone has their own thoughts and ideas. So, each actor acts based on how they understand other actors and what they think their behaviour is like. When we create a stakeholder map, it only shows the viewpoint of the people making the map. To make a good stakeholder map, ask the question: Who should be included in creating it? And which other stakeholder maps should we look at and compare?

| Actor Name, function | Agenda Mandate / mission, strategic objectives | Arena Field of action, outreach | Alliances Relations with other actors |
|---|---|---|---|
| Actor 1 | | | |
| Actor 2 | | | |
| Actor 3 | | | |

**Figure 2: Stakeholder Mapping Table**

| Potential key stakeholders | Legitimacy Does the actor hold an influential institutional position with strong legitimacy? | Resources Does the actor dispose of specific material and immaterial resources that allow him to shape the issue at stake? | Network Is the actor well interconnected with other influential actors. | Key stakeholder, yes or no? |
|---|---|---|---|---|
| Actor 1 | | | | |
| Actor 2 | | | | |
| Acto3 3 | | | | |

**Figure 3: Stakeholder Power Dynamics**

## KEY STAKEHOLDER IDENTIFICATION

The actors listed should be categorized into three groups: key stakeholders, primary stakeholders, and secondary stakeholders. To determine the key stakeholders more precisely, three essential attributes need to be considered:

a. **Legitimacy:** This refers to the institutional position of the key stakeholder, including their rights, which may be ascribed or acquired, and are supported by the law, institutional mandate, public approval, and loyalty of other social groups. Key stakeholders with explicit approval are vital, as the proposed reform would be inconceivable without them. Additionally, some key stakeholders can exert significant influence and create momentum for the reform, while others may obstruct it.

b. **Resources:** This attribute involves the knowledge, expertise, skills, and material resources that empower the key stakeholder to have a substantial impact on the issues at hand and the desired change objective. It also includes the ability to control access to these resources. The key question here is whether the stakeholder possesses the necessary resources.

c. **Networks:** This aspect considers the number and strength of relationships that the key stakeholder has with other actors who are either obliged to or dependent on them. Key stakeholders are typically well-connected, with both formal and informal relationships with other actors. As a result, they wield significant influence over the participation of these other actors, and they may determine whether certain actors will be included or excluded from decisions.

## Group Activity

1. Using figure 2, identify one of JAMB's most recent reform intervention, map the relevant stakeholders with impact on the intervention
2. Based on Figure 3: Stakeholder Power Dynamics, populate the columns with appropriate complete the column with actor evaluation

# MODULE 3
# ETHICAL STANDARDS IN EXAM MANAGEMENT

## COURSE OBJECTIVE

To introduce participants to the practical nuances of the standard concept of ethics in exam management and to lead participants through a participatory process of engagement in understanding the role of culture and social norms in shaping JAMB operating environment and shared understanding of the concept of integrity in action and in process. Specific objectives are to:

- Identify and analyse ethical issues relevant to JAMB's activities;
- Discuss best practices for promoting transparency, fairness, and legal compliance in all JAMB activities;
- Jointly Develop strategies for identifying and mitigating potential risks associated with JAMB's operations; and
- Apply ethical decision-making frameworks to real-world scenarios relevant to JAMB's activities.

## LEARNING OUTCOMES

- Navigate and apply the principles of ethical conduct within the specific context of JAMB's exam management processes;
- Demonstrate an improved understanding of how cultural and social norms influence the JAMB operating environment and its stakeholders; and
- Articulate and exemplify the concept of integrity in both action and decision-making processes within the JAMB framework.

## INTRODUCTION TO KEY CONCEPTS

In general, many organizations create specific ethical standards that guide their operations and how their processes impact stakeholders overall. These ethics may help organizations maintain specific standards of accountability, responsibility, professionalism and more as they navigate challenges and different day-to-day circumstances. By maintaining these guidelines in their work, organizations often experience a variety of significant benefits that can improve the lives of employees, customers, leaders, and the public. Here, we will discuss what ethics in the workplace are especially as it operates in JAMB, by the compliance officers, why they' are important to establish and what specific benefits organizations and stakeholders may enjoy from initiating an ethical code of conduct.

When organization  create explicit ethical codes or standards, they may design their process and procedures to support such initiatives in most cases, organisations employee workplace ethics to improve the lives and productivity of stakeholders specifically. In most situations, though, organizations may create ethical codes that simultaneously benefit the public's perception of their operations. Here are few examples of common ethic organisations may establish in the workplace. These are accountability, responsibility, equality, transparency, trust, fulfilling promise, loyalty, fairness, cooperation, dedication, discipline, professionalism, sustainability, legality among others.

Workplace ethics are an incredibly important part of forming a successful organisation with satisfied and loyal team members. High ethical standards help stakeholder, like employees, investors, customers, and otter individuals involved with workplace operators feel that the organisation is safe guiding their interests. We can now zero this down specifically to Joint Admission and Matriculation Board (JAMB) as examined below in terms of concepts, ethics, and dilemmas.

## ETHICS AND ITS DILEMMAS

In a study on business ethics by the renowned sociologist and a Jesuit priest, Raymond Baumhart, the question was asked business-people: - What does ethics mean to you? - and among their replies were the following:

- o "Ethics has to do with what my feelings of right or wrong."
- o "Ethics has to do with my religious beliefs."
- o "Being ethical is doing what the law requires."
- o "Ethics consists of the standards of behaviour our society accepts."
- o "I don't know what the word means".

These responses highlight the much confusion around the subject of ethics, the hard to pin down concept that means different things to different people. Can ethics be equated with feelings? No, being ethical is definitely not a matter of following ones feelings and in fact feeling often from what is ethical.

Is ethics also about my religion? While most religions promote high ethical standards, but even at that if we ascribe ethics to religion, what happens to irreligious people and in our

diverse society, which of the many often divergent religious believes would supersede? Ethics cannot be limited to religion.

Being ethical is also not the same as following the law. Laws have at its core ethical standards that reflect most citizens' views. But at some point, laws empowered some of the most atrocious historical injustices- Genocide by Nazis, slavery, human sacrifice, etc. Laws like feelings can deviate from what is ethical.

Lastly, ethics is not what the society accepts as normal. While most times, most people align with dominant social standards but standards of behaviour in society can deviate from what is ethical. And for a widely diverse country like Nigeria, how do we situate social consensus to make it a foundation of ethics? Moreover, some Nigerians expect public office holders to use public for personal and group benefits, how can such opinion be the foundation of ethics?

## <u>WHAT IS ETHICS?</u>

The Nigerian National Ethics and Integrity Policy does not defined what national ethics is in Nigeria, but it provides that **'all Nigerians, and everyone who resides within the borders of Nigeria or who relates with the country in one form or the other, to commit to uphold the following core values of Human Dignity, Voice and Participation, Patriotism, Personal Responsibility, Integrity, National Unity and Professionalism.'[3],** in essence, Nigeria's national ethics is the synthesis of these values.

Markkula Center for Applied Ethics of Santa Clara University defines ethics as **'well-founded standards of right and wrong that prescribe what humans ought to do, usually in terms of rights, obligations, benefits to society, fairness, or specific virtues. Ethics, for example, refers to those standards that impose the reasonable obligations to refrain from rape, stealing, murder, assault, slander, and fraud. Ethical standards also include those that enjoin virtues of honesty, compassion, and loyalty. And, ethical standards include standards relating to rights, such as the right to life, the right to freedom from injury, and the right to privacy. Such standards are adequate standards of ethics because they are supported by consistent and well-founded reasons.'**

**Odumosu in his paper presentation in Abuja believes that:**

- o Ethics is about the principles relating to right and wrong conduct; morality; the standards that govern the conduct of a person, especially a member of a profession.

- o Ethical conduct refers to conforming to accepted standards of social or professional behaviour

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[3] ICPC, National Ethics and Integrity Policy, 2020. https://www.noa.gov.ng/national-ethics-and-integrity-policy-neip-document-can-be-downloaded-via-the-links-below/ Odumosu , Olakunle ((2012) Ethical Responsibilities of professional Trainers

- o With regards to professions, there usually exists a ode of professional standards, containing aspects of fairness and duty to the profession and the general public

- o The ethical code is the moral code which guides the members of the profession in proper conduct of their duties and obligations.

## ETHICS SITUATION REVIEW

**Dilemma 1**: Should spouses/ retired Jamb workers /close acquittances of JAMB officials be allowed to setup and operate CBT centres?

**Potential Ethical issues:** *How could allowing spouses/retired Jamb workers/close acquittances to operate CBT centres create a conflict of interest for JAMB officials? What potential biases might a JAMB official have when evaluating the CBT centre application of a spouse/retired worker/close acquaintance? How can JAMB ensure a fair and transparent process for selecting CBT centres if officials have personal connections to some applicants? How does allowing personal connections to influence CBT centre selection impact the fairness of the process for other potential operators?*

**Dilemma 2:** You were informally told a day before scheduled examination about the possibility of collusion in a CBT centre where candidates score averagely higher than others and your ward has been assigned to the centre for her exam, what would your response be as an ethical officer in JAMB?

**Potential Ethical issues:** *Is this just a rumour, or is there more concrete evidence suggesting collusion? If collusion is happening, how many students are potentially affected? What are the risks for my ward if she takes the exam at this centre, even if she's not involved? Am I obligated to report this information to a higher authority within JAMB? Can I ethically request a transfer to a different centre for my ward?*

**Dilemma 3:** *What specifics sections of the JAMB code of conduct is impracticable in our social context as Nigerians?*

## DETAILED EXPLANATION OF CORE PRINCIPLES

## KEY COMPONENTS

The Association of Certified Fraud Examiners, the world's largest anti-fraud organization and premier provider of anti-fraud training and education, has a robust Code of Professional Ethics that outlines the standards and principles that ethics-related professionals are expected to uphold. This code serves as a guide for ethical conduct and integrity in action.

The key components of the Code include the following:

- **INTEGRITY:** Integrity for Compliance Officers refers to adherence to high moral and ethical principles in carrying out their duties related to ensuring compliance with rules, regulations, and standards set forth by JAMB. Integrity in this context

means that Officers act with honesty and impartiality, without bias or favouritism, in their interactions with stakeholders, including JAMB staff, candidates, educational institutions, and the public.

- **OBJECTIVITY:** For JAMB compliance officers, objectivity means making decisions and judgments based solely on facts and evidence, without personal biases or influences. This is crucial to ensure fairness and consistency in upholding all applicable rules and regulations.

  How can compliance officers maintain objectivity?

  i. **Follow established procedures**: Relying on clear guidelines reduces room for personal interpretation.

  ii. **Gather all relevant information:** Consider all sides of an issue before reaching a conclusion.

  iii. **Be mindful of personal biases:** Recognize and actively counter any preconceived notions that might influence decision-making.

  iv. **Document your reasoning:** Clearly explain the basis for your decisions, demonstrating impartiality.

  v. **Taking adequate measures:** Taking adequate measures to discourage, prevent, expose, and correct the unethical conduct of colleagues

- **CONFIDENTIALITY:** Explained simply refers to the ethical and legal obligation to keep information shared in trust secret and protected from unauthorized disclosure. As a JAMB compliance officer, this principle is critical to maintaining the integrity of the examination process and protecting sensitive data about:

  o Candidates: Personal details, examination scores, and application information.

  o JAMB operations: Interna l procedures, security measures, and confidential communications.

  o Stakeholders: Information shared in trust institutions, ministries, or other partners

- **COMPETENCE:** Competence for compliance officers for JAMB (Joint Admissions and Matriculation Board) refers to the essential skills, knowledge, and abilities required for individuals to effectively carry out their responsibilities in ensuring compliance with JAMB regulations, policies, and procedures. In the context of compliance officers, competence entails several key aspects:

- **REGULATORY KNOWLEDGE:** Compliance officers must have a deep understanding of the regulatory framework governing JAMB operations, including laws, rules, and guidelines relevant to education, admissions, and examinations.

  In the context of compliance officers, competence entails several key aspects:

  o **Analytical Skills:** Competent compliance officers need to be able to analyse complex information, identify potential compliance risks or issues, and develop

strategies to address them effectively. This involves critical thinking, problem-solving, and attention to detail.

- o **Communication Skills:** Effective communication is crucial for compliance officers to convey regulatory requirements, policies, and procedures to relevant stakeholders within JAMB, as well as to provide guidance and support on compliance matters. This includes both verbal and written communication skills.

- o **Risk Management:** Competence in risk management involves the ability to assess, prioritize, and mitigate compliance risks facing JAMB. Compliance officers should be proactive in identifying emerging risks and implementing measures to prevent non-compliance.

- o **Training and Education:** They should be committed to ongoing learning and professional development, staying abreast of changes in regulations and best practices in compliance management. This may involve participating in training programs, attending conferences, or pursuing relevant certifications.

- o **Collaboration and Relationship Building:** Competent compliance officers foster positive relationships with internal and external stakeholders. Collaboration is essential for promoting a culture of compliance and achieving organizational goals.

- o **Emotional Intelligence** compliance officers should abreast themselves with these four competencies of emotional intelligence skills such as self-awareness, social awareness, self-management, and relationship management. These are very crucial because emotional intelligence skills can help them to create a positive environment by improving communication, motivating their teams, delegating tasks, and remaining flexible under pressure.

- ▪ **PROFESSIONALISM:** Compliance officers are required to always conduct themselves in a professional manner. This includes treating clients, colleagues, and other stakeholders with respect and courtesy, as well as adhering to professional standards and guidelines.

- ▪ **DILIGENCE:** For Compliance Officers, diligence refers to the constant and conscientious exercise of careful judgment, skill, and effort in carrying out their duties. It encompasses several key aspects:

  1. Thoroughness: Compliance officers must be meticulous in reviewing applications, documents, and procedures to ensure they meet all necessary standards and regulations set by JAMB.

  2. Attention to detail: No detail should be overlooked, as even minor discrepancies could indicate potential non-compliance issues.

  3. Proactive approach: Don't wait for issues to arise. Proactive compliance officers anticipate potential problems and take steps to prevent them.

4. Following due process: All procedures and regulations established by JAMB must be followed strictly to ensure fair and consistent application of the rules.
5. Maintaining accurate records: Detailed and accurate records of all compliance activities and decisions are crucial for maintaining transparency and accountability.

- **FAIRNESS**: in the context of compliance officers for the Joint Admissions and Matriculation Board (JAMB), pertains to ensuring equitable treatment and adherence to established rules, regulations, and procedures in all aspects of their operations. This encompasses several key principles, equality, transparency, impartiality, consistency, due process, accountability.
- Lawfulness: Lawfulness refers to acting in accordance with established rules, regulations, and legal frameworks in all their duties related to the admission process.

## SESSION 3: PRACTICAL ETHICAL DECISION-MAKING FRAMEWORK

### Scenario 1: The "Compassionate Case"

A student pleads with the exam officer, claiming that the name differential between his NIN particulars and exam registration details was due to error at registration point and presented documented proof. There is a strict instruction against such allowing candidate with such discrepancies, and waiving it could set a precedent for future cases.

Ethical Dilemma: The officer must weigh the student's genuine situation against the need to uphold the examination's fairness and consistency.

### Considerations:

**Following the rules:** Enforcing the deadline ensures fairness for all students who adhered to it.

**Compassion:** Recognizing the student's extenuating circumstances and allowing them to write could be seen as the humane choice.

**Transparency:** The officer should explain the situation to their superiors and seek guidance to ensure a transparent decision-making process.

### Scenario 2: The "Suspicious Activity"

During an examination, the compliance officer observes a student engaging in suspicious behaviour, possibly indicating cheating. However, they lack concrete evidence to take immediate action.

**Ethical Dilemma:** The officer needs to decide how to proceed without jeopardizing the student's rights or compromising the examination's integrity.

**Considerations**

**Gathering evidence:** Discreetly observing the student and collecting further proof, like witness testimonies or CCTV footage, could strengthen the case.

**Due process:** The officer should follow established procedures for handling suspected cheating, ensuring the student has a chance to defend themselves.

**Protecting confidentiality:** Maintaining the student's privacy throughout the investigation is crucial.

**Scenario 3: The "External Pressure"**

A powerful individual, like a politician or influential figure, contacts the compliance officer, pressuring them to overlook a case of examination malpractice involving a student they know.

Ethical Dilemma: The officer faces the challenge of upholding their professional integrity against external pressure and potential threats.

**Considerations:**

**Reporting the pressure:** The officer should report the attempt to influence their decision to their superiors or relevant authorities.

**Refusing to compromise:** The officer must prioritize their ethical obligations and stand firm against any attempt to manipulate the examination process.

**Seeking support:** Discussing the situation with trusted colleagues or superiors can help the officer navigate the pressure and make an informed decision.

### 3.1.2. Ethical Risk Computation and Mitigation

Based on prior exercises undertaken by participates, this section encourages the joint identification of operational and environmental ethical risks associated with JAMB.

| S/N | Operational and Environmental Risks | Mitigating Strategies |
|-----|-------------------------------------|-----------------------|
|     |                                     |                       |
|     |                                     |                       |

# MODULE 4
## DESIGNING PROCESSES AND WORKING WITH CHECKLISTS

## COURSE OBJECTIVES

- To teach participants the importance of process design
- To illustrate effective uses of checklists in process design

## INTRODUCTION TO KEY CONCEPTS

Process Design is a concept in Operations Management, and is a critical element of success in an organization. It is the sequencing of units in the work process for a product or activity. It can involve the use of checklists, flow charts. It is a technique used for evaluating a process in terms of the sequence of steps from inputs to outputs with the goal of improving its design.

Process Design is the art of creating and improving systems that convert inputs into outputs. It involves understanding how work is done within an organisation, designing the pathway of activity, and then designing and implementing ways of improvement (Edureka HigherEd, 2022). It was defined in the Harvard Business Review as, "...the specification of which people must perform what tasks, in what order, in what location, under what circumstances, with what information, and to what degree of precision." (Hammer, 2007)

## DEFINITION OF TERMS

Some terms to note are defined as follows:

1. ***Process:*** A Process is a set of activities which are initiated by a trigger and end with an output.
2. ***Triggers:*** A trigger is an inciting event or directive that instigates a process. These may be of 3 types:
   a. External triggers: these originate from outside an organization, e.g. a prospective candidate making an application for the UTME examination begins the process of JAMB potentially putting their name up in the consideration list for examination and possibly admission, upon passing the exam. Another example of a trigger may be a national holiday, which may necessitate a previously planned examination day to be postponed.
   b. Internal triggers: these originate from within an organization, e.g. A unit head giving a member of their unit a task to complete
   c. Time-based triggers: These occur routinely at regular points in time, e.g. wages may be paid at a particular date every month
3. ***Task:*** A task is an activity that can only be done by one person, in one place, at one time, within the processes of an organization.

4. ***Steps:*** These are individual acts which are carried out in sequence in performing a task.
5. ***Checklists:*** A Process Checklist is a tool used to ensure that all necessary steps are completed in a particular process or task. Tasks can be itemized on a checklist for efficient audit, referencing and identification.

## HISTORICAL CONTEXT

The original system for documenting process flow was the flow process chart, and this was introduced by Frank Gilbreth in 1921 in his presentation to the American Society of Mechanical Engineers (ASME), titled, 'Process Charts - First Steps in Finding the One Best Way.' It has been used in a variety of contexts from engineering to business and while the nature of implementation is variable, it has proven to be a very vital tool in ensuring the flow of activities in organizations.

## IMPORTANCE OF PROCESS DESIGN

The advantages of designing processes are as follows:

1. They aid in understanding how roles in an organization feed into each other.
2. It ensures the documentation of activities, and this is helpful for audit and accountability.
3. It ensures standardization and sustainability of processes, as a process design can be communicated to new staff, and productivity is not tied to an individual.
4. It helps in identifying key performance indicators, as bottlenecks in an organization can more easily be identified
5. It aids in the identification of redundant activities/duplication of labour.
6. It aids in the identification of opportunities for automation towards more efficiency.
7. It aids in the identification of activities that can be combined or modified, to avoid the replication of efforts.

## CORE PRINCIPLES

### Levels of Documentation in Designing Processes

In process design, any given task can be understood and documented in three major levels, to different degrees of detail and emphasis (University of Leeds, 2024):

1. Organizational Context
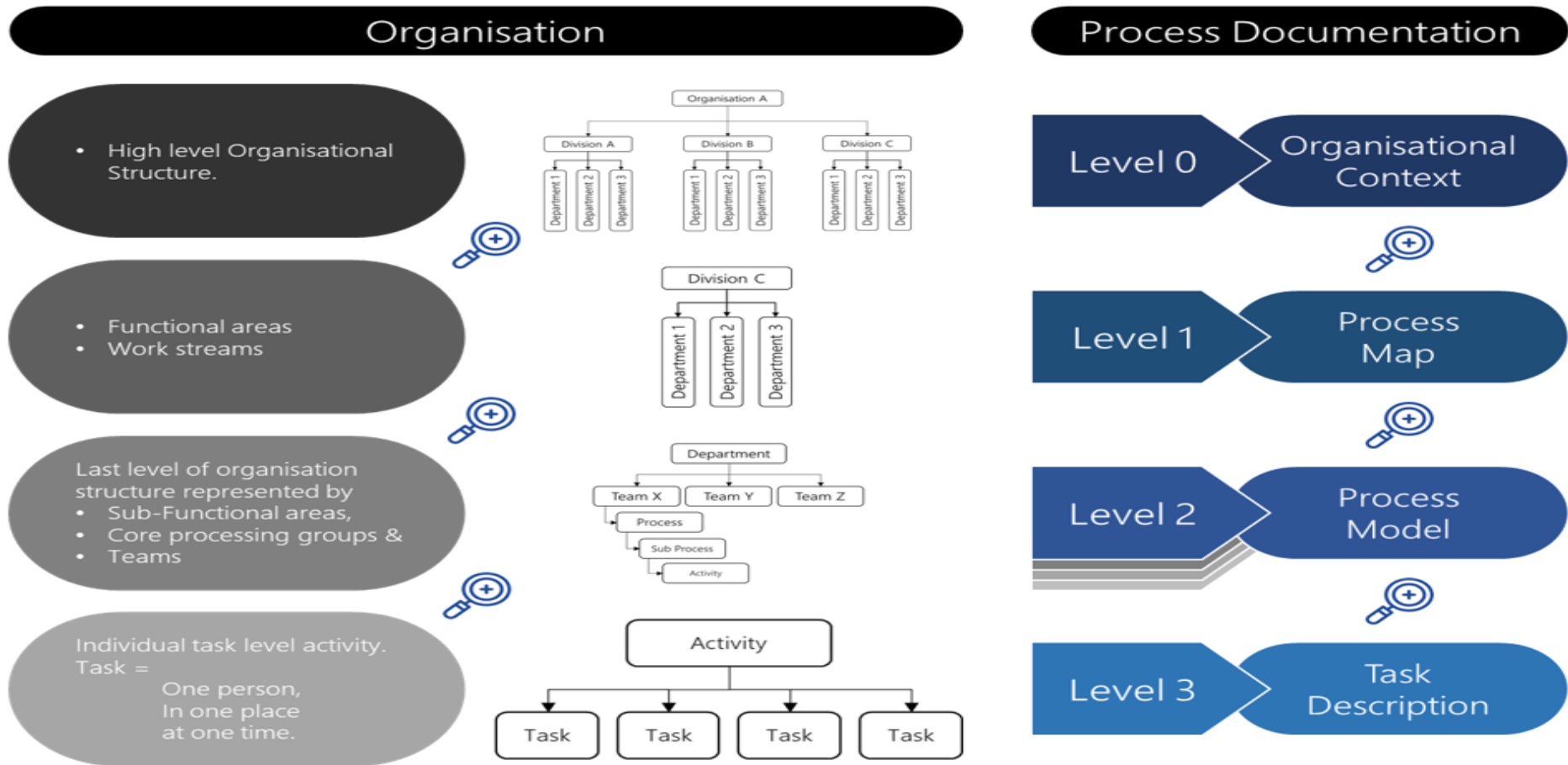2. Process Model
3. Task Description

**Figure 1: Sample image illustrating the levels of process documentation in an organization**

*Source:* University of Leeds, 2024

### Organizational Context

The organizational context derives from the overall goal and aim of the organization. Any organization can be summarized in the sum of its processes, as every task adds up to a whole that makes up the output in goods or services in the institution. Its vision and goals can determine what priorities or processes to emphasize. An Organizational Context of process design helps to see where each task is domiciled in an organization, and what divisions or sub-units are responsible for them.

### Process Model

At this level, the various processes and their dependencies upon each other are illustrated in a Process Map. Process Maps however are not created to highlight flows primarily, but to compartmentalize the organizational context into its component organs and illustrate dependencies.

At this level, the different departments or units, functional areas or work streams in the organization, involved in the fulfilment of a particular task are identified.

There may be more than one Process Model Level, dependent on the complexity and detail of the task.

### Tasks

This is the base level, where tasks are identified with an individual. By definition, a task can only be done by one person, in one place, at one time. Here, every step of every specific task is captured in detail.
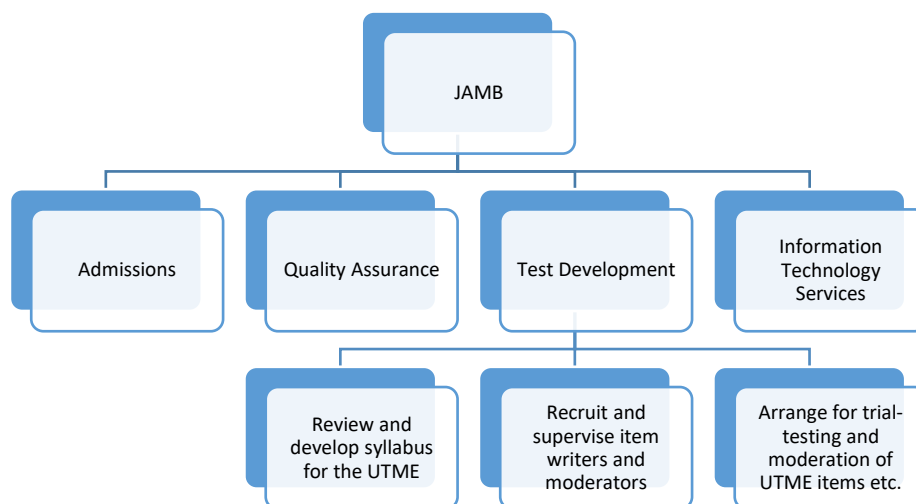
Example: The JAMB Syllabus



**Figure 2: Organizational Context of Some Departments in JAMB**

*Source: JAMB, 2024*

The diagram above illustrates a Process Map of some departments in JAMB, based on information on the <u>Departments</u> page on the Board's website (JAMB, 2024). The first two layers illustrate the Organizational Context. Each of the Activities noted above can be further distributed into compartment Tasks.

At the Process Model level of documentation, we are interested in the units/departments involved in executing the task. For example, the activity labelled 'Review and Develop Syllabus for the UTME' may be made up of individual tasks between departments and agents, illustrated in Figure 3 below:
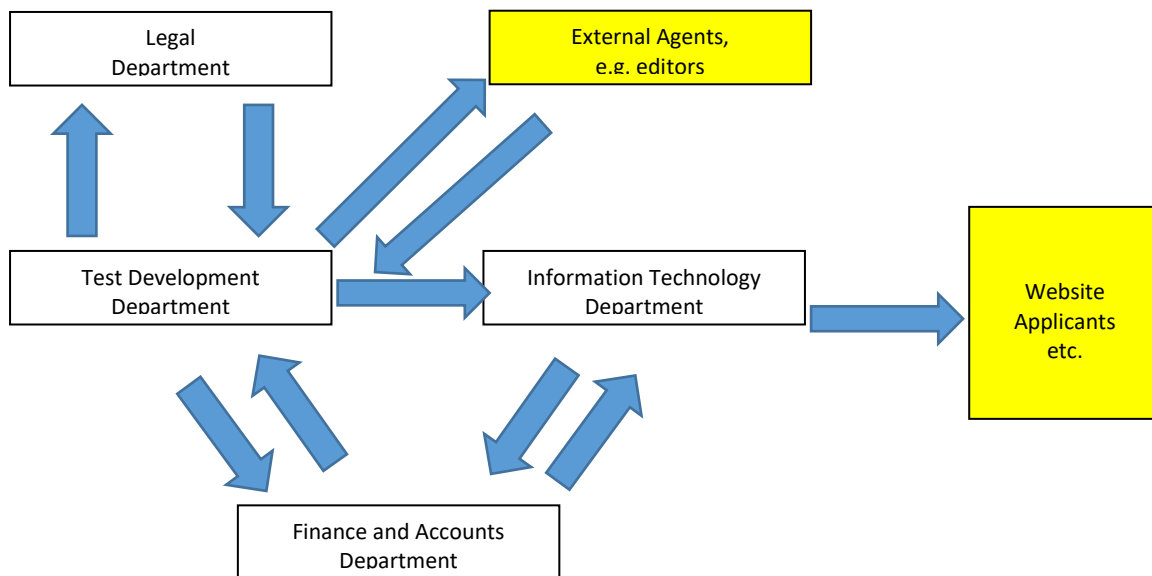


**Figure 3: Sample Process Map for the Activity: Review and Develop Syllabus for the UTME**

Figure 3 illustrates the diverse departments and possible external agents involved in the review of syllabus. It does not illustrate the order, but the dependencies. A review of the process may derive the following run-down of steps:

**<u>TASK: REVIEW AND DEVELOP SYLLABUS FOR UTME SUBJECTS</u>**

- Contact reviewers to review current syllabus (this is dependent on whether reviewers are internal staff or external contract staff)
  - o Confirm availability and assent of reviewers to review syllabus
  - o Determine deadline of submission of reviewed syllabus with reviewers
  - o Determine payment for reviewers
    - ▪ Submit budget for reviewers' payment to Finance Department
- Send syllabus to reviewers
- Review of current syllabus by reviewers
  - o Errors noted

- o Modifications/Revisions identified
  - o Changes made to Syllabus
- Receive reviewed syllabus from reviewers
  - o <mark>Finance Department processes payment of Reviewers</mark>
- Reviewed Syllabus undergoes Editing and Quality Assurance
  - o Send syllabus to editor(s)
  - o Receive syllabus from editor(s)
  - o <mark>Finance Department processes payment of Editors</mark>
- Send syllabus to IT department for design, formatting and publishing.
  - o <mark>Finance Department processes payment of designer(s), printer, publisher, etc.</mark>
- Published syllabus is made available to applicants
  - o Syllabus made available on website
  - o Syllabus included in materials provided to registered applicants

For efficient tracking and audit, especially with the complexity of the tasks, each of these steps can be highlighted and noted on a Process Checklist, to identify the Actors, when they begin, and when they are completed. There could also be a column to indicate progress before completion.

**NOTE:** One of the advantages of a Process Checklist is that it helps us discover redundancies, and determine how to more effectively address them. For instance, in the example above, interactions with the Finance Department occur at least four times (as highlighted). A second iteration of the process could be done more efficiently if all budgets are gathered and submitted to the Finance Department simultaneously, rather than sequentially.

## PRINCIPLES OF CHECKLIST DESIGN

Designing effective checklists for specific tasks in an organization requires careful consideration of various factors to ensure they are clear, concise, and actionable. The two major principles for thus are:

1. Know the Task

2. Know the Users/Staff

More specifically, here are some principles to keep in mind:

1. **Task Understanding:** Fully understand the task before designing the checklist. This may involve consulting with subject matter experts or observing the task being performed.

2. **Simplicity:** Keep the checklist simple and easy to understand. Use clear language and avoid jargon or technical terms that may not be universally understood within the unit.

3. **Sequential Order:** Organize the checklist in a logical, sequential order that follows the natural flow of the task being performed. This helps users navigate through the checklist efficiently.

4. **Specificity:** Be specific about each item on the checklist. Avoid vague instructions that could lead to misinterpretation. Each item should be actionable and clearly defined.

5. **Clarity:** Use clear and unambiguous language. Ensure that each item on the checklist is easily understandable by all users.

6. **Consistency:** Maintain consistency in the format, structure, and language used throughout the checklist. This helps users become familiar with the checklist and reduces the likelihood of errors.

7. **Brevity:** Keep the checklist concise by including only essential items. Long checklists can be overwhelming and may decrease user compliance.

8. **Visual Aids:** Incorporate visual aids such as diagrams, illustrations, or icons where appropriate to enhance understanding and reinforce key points.

9. **User Feedback:** Seek feedback from users who will be using the checklist to perform the task. This can help identify areas for improvement and ensure that the checklist meets their needs.

10. **Testing and Iteration:** Test the checklist in real-world scenarios and be prepared to iterate based on feedback and observations. Continuous improvement is essential for ensuring the effectiveness of the checklist over time.

11. **Training and Familiarization:** Provide training and opportunities for users to familiarize themselves with the checklist before using it independently. This can help ensure that users understand how to effectively use the checklist to perform the task.

12. **Regular Review:** Regularly review and update the checklist to reflect any changes in processes, procedures, or best practices. Keeping the checklist up-to-date ensures its continued relevance and effectiveness.

By adhering to these principles, you can design checklists that are effective tools for guiding staff through specific tasks in your organization.

## DESIGNING A PROCESS CHECKLIST

Having established that Tasks should be understood within their organizational context, a Checklist helps in illustrating the logical flow of implementation of each Task. Different organizations have diverse templates for their activities, dependent on the nature of the task and responsibility of the actors. A Task Supervisor may have the following checklist illustrated in Table 1.

**Table 1: A Sample Checklist for the Task of Reviewing and Developing a Syllabus**

| TASK: | | | | |
|---|---|---|---|---|
| AGENT | TASK | DATE ASSIGNED | DATE COMPLETED | REMARKS |
| Secretary | **CONTACT REVIEWERS TO REVIEW CURRENT SYLLABUS** | | | |
| | Contact reviewers | | | |
| | Determine Reviewers' budget | | | |
| | Send syllabus to reviewers | | | |
| | Receive syllabus from reviewers | | | |
| Reviewer A | **REVIEW OF SYLLABUS** | | | |
| Reviewer B | **REVIEW OF SYLLABUS** | | | |
| Secretary | **SEND REVIEWED SYLLABUS FOR EDITING** | | | |
| | Contact editors | | | |
| | Determine Editors' budget | | | |
| | Send syllabus to Editors | | | |
| | Receive syllabus from Editors | | | |

Etc.

With every iteration of a process model, challenges may be discovered that can be improved upon in further iterations. Tacit Information that would take the process further can be extracted by questioning the current model.

**<u>Further Reading</u>**

Edureka HigherEd. (2022, 11 18). *What is Process design in Operations Management?* Retrieved from Edureka!: https://www.edureka.co/blog/process-design-in-operations-management/

Hammer, M. (2007, April). *The Process Audit.* Retrieved from Harvard Business Review: https://hbr.org/2007/04/the-process-audit

JAMB. (2024). *JAMB Departments.* Retrieved from Joint Admissions and Matriculation Board: https://www.jamb.gov.ng/Departments

University of Leeds. (2024). *Process Documentation Principles.* (University of Leeds) Retrieved from A Practical Guide to Delivering Results: https://deliveringresults.leeds.ac.uk/a-practical-guide-toa-documenting-and-designing-processes/process-documentation/process-documentation-principles/

# MODULE 5
## DOCUMENTATION AND REPORTING

## COURSE OBJECTIVE

Provide tangible evidence to standards rules and regulations governing documentation and reporting

## OUTLINE

- Description of concepts and explanations of elements and characteristics of documentation and reporting in compliance management
- Best practices for documentation and reporting in compliance management
- Importance of documentation and Reporting in compliance management
- Strategies for optimizing documentation and reporting workflows

## LEARNING OUTCOME

A clearer understanding of standard procedures guiding documentation and reporting based on international best practice

## DOCUMENTATION IN COMPLIANCE MANAGEMENT

Documentation refers to the systematic process of creating, maintaining, and managing records, files, or written evidence to capture information related to various aspects of an organization's activities, processes, and transactions.

However, Documentation in compliance management refers to the systematic recording, creation, and maintenance of records, documents, and information that demonstrate an organization's adherence to regulatory requirements, policies, and standards.

In the context of compliance management, documentation involves the systematic recording, creation, and maintenance of policies, procedures, actions, decisions, and other relevant information to demonstrate adherence to regulatory requirements, standards, and internal policies. Documentation serves as a tangible record that can be used for reference, accountability, and verification purposes.

## ELEMENTS OF DOCUMENTATION

i.    **Record Keeping:** Documenting processes, procedures, decisions, and actions related to compliance activities.

ii.   **Policies and Procedures:** Developing and maintaining written policies and procedures that guide employees in complying with regulations.

iii. **Evidence of Compliance:** Collecting and retaining evidence, such as reports, checklists, and audit trails, to demonstrate compliance with specific requirements.

iv. **Version Control:** Managing versions of documents to ensure that the most current and applicable versions are in use.

v. **Accessibility:** Ensuring that relevant documentation is easily accessible to authorized personnel, auditors, and regulatory bodies.

vi. **Retention Policies:** Establishing guidelines for the retention and disposal of documents in accordance with legal and regulatory requirements.


## REPORTING IN COMPLIANCE MANAGEMENT

Reporting is the process of generating, analysing, and presenting information in a structured format to convey insights, findings, or updates about a particular subject. In a broader sense, reporting involves collecting and organizing data, summarizing key points, and communicating the information to relevant stakeholders. Reporting can take various forms, such as written documents, visual presentations, dashboards, or verbal updates.

Reporting in compliance management involves the generation, analysis, and communication of information that provides insights into an organization's compliance status, risks, and performance. Reports may be internal or external and are used to inform decision-making and demonstrate accountability.

## ELEMENTS OF REPORTING

i. **Compliance Metrics:** Measuring and reporting key performance indicators (KPIs) related to compliance activities.

ii. **Internal Reporting:** Communicating compliance information within the organization to relevant stakeholders, including management and employees.

iii. **External Reporting:** Sharing compliance information with external entities, such as regulatory authorities, through required reports, submissions, or disclosures.

iv. **Auditing and Monitoring Reports:** Summarizing findings from compliance audits, monitoring activities, and assessments.

v. **Trend Analysis:** Analysing historical data to identify patterns, trends, and areas for improvement in compliance performance.

vi. **Management Dashboards:** Presenting compliance-related information in a visual format to facilitate quick understanding and decision-making.

vii. **Alerts and Notifications:** Communicating real-time information about potential compliance issues, deviations, or risks.

Basically, documentation involves the creation and maintenance of records, while reporting involves the analysis and communication of information derived from those records. Together, documentation and reporting form the backbone of a robust compliance management system, ensuring that an organization can demonstrate its commitment to compliance, monitor its performance, and take corrective actions as needed.

## CHARACTERISTICS OF A GOOD COMPLIANCE REPORT

i. **Clarity and Transparency:**

- o Clearly communicates the organization's compliance status, activities, and outcomes in a transparent manner
- o Avoids jargon and ensures that the information is accessible to a broad audience

ii. **Alignment with Objectives:**

Clearly states the objectives of the compliance report, outlining what aspects of compliance are being assessed and reported. This ensures that the report is focused and relevant to its purpose.

iii. **Structured Format:**

A well-organized and structured format with a clear introduction, main body, and conclusion. Each section should flow logically, making it easy for the reader to follow the content.

iv. **Comprehensive Coverage:**

Provides a comprehensive overview of compliance activities, addressing all relevant aspects of regulatory requirements, policies, and standards that are applicable to the organization.

v. **Evidence-Based:**

Presents evidence, data, and documentation to support compliance claims. It should include details of implemented processes, controls, and activities that demonstrate adherence to requirements.

vi. **Risk Identification and Mitigation:**

Identifies compliance risks and outlines the organization's strategies for mitigating and managing these risks. This demonstrates a proactive approach to compliance management.

vii. **Regular Monitoring and Reporting:**

Describes the organization's system for regular monitoring of compliance activities and provides information on ongoing reporting mechanisms. This reflects a commitment to continuous improvement and accountability.

viii. **Benchmarking Against Standards:**

Benchmarks the organization's compliance performance against relevant industry standards, legal requirements, and internal policies. This helps in assessing the organization's standing in comparison to established norms.

ix. **Clear Presentation of Metrics:**

Presents compliance metrics and key performance indicators (KPIs) in a clear and understandable manner. Visual aids such as charts and graphs can enhance the presentation of quantitative data.

x. **Identification of Non-Compliance:**

Clearly identifies instances of non-compliance, if any, and provides details on corrective actions taken or planned to address these issues.

xi. **Timely Reporting:**

Submits compliance reports in a timely manner, ensuring that information is current and relevant. Timeliness is crucial for decision-making and regulatory purposes.

xii. **Executive Summary:**

Provides a concise executive summary that encapsulates the main findings, highlights critical areas, and outlines key recommendations. This allows busy senior management to quickly grasp the report's significance.

xiii. **Legal and Regulatory Compliance:**

Ensures that the compliance report explicitly addresses legal and regulatory requirements specific to the organization's industry and jurisdiction.

xiv. **Flexibility for Different Audiences:**

Adapts the reporting style and content to suit different audiences, ensuring that both technical and non-technical stakeholders can understand and benefit from the report.

# BEST PRACTICES FOR DOCUMENTATION AND REPORTING IN COMPLIANCE MANAGEMENT

## Best Practices for Documentation

i. **Clear and Concise Language:**

Use clear and simple language to ensure that documents are easily understood by all stakeholders, including those who may not have a deep understanding of the subject matter.

ii. **Consistency and Standardization:**

Establish standardized formats and templates for documentation to maintain consistency across different processes and activities. This facilitates easier comprehension and ensures a uniform approach.

iii. **Version Control:**

Implement version control to track changes and updates to documents. Clearly indicate the document's version number, date of revision, and details of changes made. This helps prevent confusion and ensures that users refer to the latest information.

iv. **Document Ownership and Responsibility:**

Clearly assign ownership and responsibility for each document. Designate individuals or departments responsible for creating, updating, and maintaining specific documents to ensure accountability.

v. **Access Controls:**

Implement access controls to restrict document access to authorized personnel. This helps protect sensitive information and ensures that only individuals with the appropriate permissions can view or modify documents.

vi. **Comprehensive Record-Keeping:**

Maintain comprehensive records of compliance activities, decisions, and processes. Include details such as dates, participants, and outcomes. Thorough record-keeping provides a historical reference and supports accountability.

vii. **Cross-Referencing and Hyperlinking:**

Cross-reference related documents and use hyperlinks to connect relevant information. This allows users to navigate seamlessly between different documents and ensures that information is interconnected.

viii. **Regular Review and Update:**

Establish a schedule for regular reviews and updates of documentation. Ensure that documents reflect current regulations, organizational practices, and industry standards.

ix. **Training and Awareness:**

Provide training to relevant personnel on the importance of proper documentation. Ensure that employees understand the purpose of documentation, how to use it, and how to contribute to the documentation process.

x. **Documentation of Changes and Rationale:**

Document any changes made to compliance processes or activities. Include the rationale behind the changes to provide context for future reference and to ensure transparency.

xi. **Thorough Documentation of Exceptions:**

If exceptions or deviations from standard procedures occur, thoroughly document the circumstances, approvals obtained, and any mitigating actions taken. This helps in understanding and addressing non-standard situations.

xii. **Alignment with Policies and Procedures:**

Ensure that documented compliance activities align with established policies and procedures. This promotes consistency and helps employees understand the expected behaviors and practices.

xiii. **Audit Trails:**

Incorporate audit trails where appropriate. This involves documenting a chronological record of activities, changes, or access to specific information, which is valuable for audits and investigations.

xiv. **Documentation Repository:**

Establish a centralized and organized repository for storing compliance documentation. This ensures easy access, retrieval, and management of relevant documents.

xv. **Regular Communication:**

Facilitate regular communication regarding updates, changes, or important information related to compliance documentation. This ensures that all stakeholders are informed and aware of relevant developments.

## Best Practices for Reporting

i. **Clearly Define Reporting Objectives:**

Clearly outline the objectives of the compliance report. Understand the purpose, audience, and specific information that stakeholders need to know. Align reporting goals with organizational and regulatory requirements.

ii. **Use Key Performance Indicators (KPIs):**

Identify and incorporate relevant KPIs that measure compliance performance. Focus on key metrics that provide insights into the effectiveness of compliance activities.

iii. **Standardize Reporting Formats:**

Standardize the format and structure of compliance reports to ensure consistency. This facilitates easy understanding and comparison over time. Include sections for key areas such as policies, training, incidents, and audits.

iv. **Utilize Data Visualization:**

Present data using charts, graphs, and visualizations to make complex information more accessible. Visual representations can enhance comprehension and highlight trends or outliers.

v. **Contextualize Data:**

Provide context to the data presented in the report. Explain the significance of metrics, trends, and deviations. Help stakeholders understand the implications of the information presented.

vi. **Include Historical Data:**

Incorporate historical data to show trends and changes over time. Comparative analysis can reveal patterns and help stakeholders assess the effectiveness of compliance initiatives.

vii. **Segmentation and Drill-Down Capabilities:**

Allow for segmentation of data based on different criteria. Provide drill-down capabilities so that stakeholders can explore specific details or subsets of information for a more granular understanding.

viii. **Narrative Descriptions:**

Complement quantitative data with qualitative information. Include narrative descriptions that explain the context, challenges faced, and actions taken. Tell a coherent story that goes beyond the numbers.

ix. **Highlight Achievements and Success Stories:**

Showcase achievements and success stories related to compliance efforts. Celebrate milestones and improvements, fostering a positive narrative around compliance initiatives.

x. **Risk Assessment and Mitigation Strategies:**

Include a thorough assessment of compliance risks and the strategies employed to mitigate them. Demonstrate proactive measures to address potential issues.

xi. **Alignment with Regulatory Changes:**

Discuss how compliance efforts align with changes in regulations. Highlight steps taken to stay abreast of evolving requirements and how the organization adapts to maintain compliance.

xii. **Stakeholder Engagement:**

Involve stakeholders in the reporting process. Seek feedback, understand their informational needs, and tailor reports to address their concerns. Ensure that the report meets the expectations of various stakeholders.

xiii. **Regular Review and Continuous Improvement:**

Establish a regular review process for compliance reports. Use feedback and insights gained from each reporting cycle to improve the content, structure, and overall quality of subsequent reports.

xiv. **Transparency and Accountability:**

Emphasize transparency in reporting. Acknowledge areas of non-compliance, and outline action plans for improvement. Promote accountability by clearly identifying responsible parties for corrective actions.

xv. **Automate Data Collection and Reporting:**

Implement automated systems for data collection and reporting. This reduces manual errors, enhances efficiency, and allows for real-time reporting, especially for critical compliance metrics.

xvi. **Training and Awareness Programs:**

Integrate information about compliance reporting into training programs. Ensure that employees and stakeholders understand the significance of the reported metrics and their role in compliance efforts.

xvii. **Legal and Ethical Considerations:**

Ensure that compliance reports adhere to legal and ethical standards. Avoid misrepresentation of data and provide accurate, truthful, and unbiased information.

## IMPORTANCE OF DOCUMENTATION AND REPORTING

Documentation and reporting are essential for establishing, maintaining, and improving a robust compliance management system. They provide the necessary tools to meet regulatory requirements, manage risks, and foster a culture of accountability and transparency within an organization. The importance of documentation and reporting in compliance management are summarized along:

i. **Legal Compliance:**

o Documentation provides evidence of adherence to legal requirements, regulatory standards and internal principles.

o Reporting facilitates the communication of compliance status to regulatory authorities, demonstrating the organization's commitment to legal obligations.

ii. **Risk Mitigation:**

o Thorough documentation helps to identify potential compliance risks within the organization.

o Reporting on these risks enables proactive measures to mitigate and manage compliance-related issues, reducing the likelihood of non-compliance.

iii. **Accountability and Transparency:**

o Documentation establishes a clear record of decisions, actions, and processes, promoting accountability among employees.

o Reporting ensures transparency by communicating compliance information to internal and external stakeholders, fostering trust and credibility.

iv. **Audits and Inspections:**

o Well-documented processes and records facilitate smooth audits and inspections by regulatory bodies.

o Reporting provides a structured way to present compliance-related information during audits, demonstrating compliance effectiveness.

v. **Efficient Monitoring and Oversight:**

o Regular documentation allows for continuous monitoring of compliance activities.

o Reporting on compliance metrics enables management to oversee performance, identify trends, and make informed decisions for improvement.

vi. **Operational Efficiency:**

o Well-documented procedures streamline day-to-day operations.

o Reporting on compliance-related metrics helps identify opportunities for operational improvements and resource optimization.

vii. **Data Integrity and Accuracy:**

o Proper documentation ensures the accuracy and integrity of data related to compliance.

o Reporting on accurate data enhances decision-making and strategic planning.

viii. **Crisis Management:**

o Comprehensive documentation is vital in the event of a compliance breach or crisis.

o Reporting allows for quick and effective communication of the situation, supporting crisis management efforts.

ix. **Employee Training and Awareness:**

o Documentation serves as a valuable resource for training employees on compliance requirements.

o Reporting on training effectiveness helps organizations ensure that their workforce is well-informed and compliant.

x. **Continuous Improvement:**

o Documented processes and reports contribute to a culture of continuous improvement.

o Organizations can analyze historical data, identify areas for enhancement, and implement improvements in compliance practices.

xi. **Stakeholder Confidence:**

o Stakeholders, including customers, investors, and partners, gain confidence when an organization demonstrates a commitment to compliance through documentation and transparent reporting.

# STRATEGIES FOR OPTIMIZING DOCUMENTATION AND REPORTING WORKFLOWS

i. **Automation of Routine Tasks:**

Identify repetitive and routine tasks within the documentation and reporting process. Implement automation tools and software to streamline these tasks, reducing manual effort and the potential for errors.

ii. **Standardized Templates and Formats:**

Develop standardized templates and formats for documentation and reporting. This ensures consistency, simplifies the creation process, and makes it easier for users to understand and follow guidelines.

iii. **Centralized Document Repository:**

Establish a centralized and organized repository for storing documentation. This facilitates easy access, version control, and collaboration among team members. Cloud-based solutions can enhance accessibility and collaboration.

iv. **Collaborative Work Environments:**

Foster a collaborative work environment that allows multiple stakeholders to contribute to documentation and reporting processes simultaneously. Utilize collaboration tools and platforms to enhance communication and teamwork.

v. **Document Lifecycle Management:**

Implement a document lifecycle management system that covers creation, review, approval, distribution, and archiving. Clearly define roles and responsibilities at each stage to maintain accountability.

vi. **Version Control Systems:**

Utilize version control systems to manage document versions and changes effectively. This prevents confusion over the latest version and allows for tracking modifications made by different contributors.

vii. **Real-Time Editing and Feedback:**

Enable real-time editing and feedback features to allow multiple users to collaborate on a document simultaneously. This promotes efficient teamwork and accelerates the review process.

viii. **Mobile Accessibility:**

Ensure that documentation and reporting tools are accessible via mobile devices. This allows users to work on tasks, review documents, and provide feedback on the go, increasing flexibility and responsiveness.

ix.   **Streamlined Approval Processes:**

Streamline approval processes by establishing clear workflows. Clearly define the steps involved in document review and approval, and use automated notifications to keep stakeholders informed of pending tasks.

x.   **Integration with Other Systems:**

Integrate documentation and reporting systems with other relevant business systems, such as CRM or ERP software. This integration minimizes duplicate data entry and enhances the accuracy of information.

xi.   **Training Programs for Users:**

Provide training programs to users on the proper use of documentation and reporting tools. Ensure that employees are proficient in using the software to maximize efficiency.

xii.   **Regular Audits and Assessments:**

Conduct regular audits and assessments of documentation and reporting workflows. Identify bottlenecks, inefficiencies, or areas for improvement and implement corrective measures.

xiii.   **Data Validation Checks:**

Implement data validation checks to ensure the accuracy and completeness of information entered into documents. This helps prevent errors and ensures the reliability of reported data.

xiv.   **Performance Metrics and Continuous Improvement:**

Define key performance metrics for documentation and reporting workflows. Regularly evaluate these metrics and use the insights gained to implement continuous improvement measures.

xv.   **Security Measures:**

Implement robust security measures to safeguard sensitive information. Ensure that access controls are in place, and sensitive documents are protected against unauthorized access.

xvi.   **Regular Updates and Training:**

Stay updated on the latest tools and technologies related to documentation and reporting. Provide regular training sessions to employees to ensure they are proficient in using new features and functionalities.

**Assessment and Evaluation**

At the end of the lecture session, participants will be asked to;

1. Describe the current operational framework for documentation and reporting for compliance management in JAMB.
2. Explain how the content of this module can benefit documentation and reporting for effective compliance management in JAMB.

# MODULE 6
## BUILDING COLLABORATIONS TO IMPROVE COMPLIANCE

## COURSE OBJECTIVE

This course is designed to equip compliance officers in JAMB with the necessary skills and knowledge to build effective collaborations within their organizations and with external stakeholders. By fostering strong collaborations, compliance officers can enhance their ability to ensure adherence to regulations, standards, and ethical practices within the examination process. Through interactive sessions, case studies, and practical exercises, participants will learn strategies for fostering collaborations, establishing effective communication channels, and leveraging partnerships to strengthen compliance efforts. The following outline is set to achieve this;

## OUTLINE

### 1. Fundamentals of Collaboration

- Definition and importance of collaboration

- Types of collaborations: internal and external

- Benefits and challenges of collaboration in compliance management

### 2. Building Internal Collaboration

- Identifying key stakeholders within the institution
- Strategies for fostering collaboration among different departments
- Establishing cross-functional teams for compliance initiatives

### 3. Effective Communication for Collaboration

- Communication fundamentals for compliance officers

- Techniques for clear and concise communication

- Overcoming communication barriers in collaboration efforts

### 4. Leveraging External Partnerships

- Identifying external stakeholders relevant to compliance efforts

- Approaches to building partnerships with regulatory bodies, educational institutions, and other stakeholders

- Best practices for maintaining productive relationships with external partners

- Monitoring and evaluating collaborative projects for effectiveness

**5. Case Studies and Practical Exercises**

- Analysis of real-life collaboration in compliance management with JAMB and relevant stakeholders

- Role-playing exercises to simulate collaboration scenarios and practice skills

- Group discussions on challenges and opportunities in building collaborations

## <u>OUTCOME</u>

By the end of this course, it is expected that participants will have developed a comprehensive understanding of the importance of collaboration in compliance management within an examination board. They will have gained practical skills and strategies for building effective internal and external collaborations, enhancing communication, resolving conflicts, and fostering a culture of collaboration. Armed with these tools, compliance officers will be better equipped to ensure regulatory compliance, uphold ethical standards, and contribute to the overall integrity of the examination process within JAMB.

**INTRODUCTION TO COLLABORATION**

Collaboration lies at the heart of effective compliance management within examination board institutions. This module delves into the fundamentals of collaboration, exploring its definition, importance, and various types. Participants will gain insight into the benefits collaboration brings to compliance efforts, as well as the challenges they may encounter along the way.

Collaboration refers to the act of working together towards a common goal or objective. In the context of compliance management, it involves individuals or departments within an institution pooling their resources, expertise, and efforts to ensure adherence to regulations, standards, and ethical practices.

- Collaboration is essential for maximizing the effectiveness of compliance initiatives. By bringing together diverse perspectives, knowledge, and skills, collaboration enables institutions to address complex compliance challenges more comprehensively and proactively.

**TYPES OF COLLABORATIONS: INTERNAL AND EXTERNAL**

Internal Collaboration: This involves cooperation among individuals or departments within the same institution. Internal collaboration fosters alignment of goals, streamlines processes, and enhances communication, ultimately strengthening the institution's overall compliance framework.

External Collaboration: External collaboration entails partnerships with entities outside the institution, such as regulatory bodies (NUC), educational institutions (Universities, Polytechnic and Colleges of Education), industries (bank, associations, Media, and other stakeholders. External collaborations provide access to resources, expertise, and best practices beyond the institution's immediate scope, enriching compliance efforts and promoting industry-wide standards.

**IMPORTANCE OF BUILDING COLLABORATIONS WITHIN AN ORGANIZATION**

- **Access to Expertise**: Collaborating with internal departments or external partners, such as legal advisors or industry associations, provides access to specialized knowledge and expertise in regulatory requirements and best practices. This ensures that compliance efforts are well-informed and effective.

- **Holistic Approach**: Compliance is often interdisciplinary, involving legal, financial, operational, and technological aspects. By fostering collaborations across different departments and functions, organizations can take a holistic approach to compliance, addressing diverse risks and vulnerabilities comprehensively.

- **Risk Identification and Mitigation:** Collaborative efforts facilitate the identification and mitigation of compliance risks by leveraging the collective insights and perspectives of stakeholders. Cross-functional teams can identify potential compliance gaps or weaknesses that may not be apparent when working in silos, enabling proactive risk management.

- **Resource Sharing:** Compliance initiatives often require significant resources, including financial investment, manpower, and technology infrastructure. Collaborations allow organizations to pool resources, share costs, and avoid duplication of efforts, maximizing efficiency and cost-effectiveness in compliance activities.

- **Cultural Integration**: Collaboration promotes a culture of compliance throughout the organization by fostering teamwork, communication, and shared accountability for regulatory adherence. When employees from different departments collaborate on compliance initiatives, they develop a collective commitment to upholding standards of integrity and ethics.

- **Stakeholder Engagement**: Collaborating with external stakeholders, such as regulators, industry peers, and community organizations, enhances transparency and trust in the organization's compliance efforts. Engaging with regulators proactively demonstrates a commitment to regulatory compliance and may result in favorable treatment during audits or investigations.

- **Continuous Improvement**: Collaboration fosters a culture of continuous improvement in compliance practices by encouraging feedback, sharing lessons learned, and adapting to evolving regulatory requirements. Cross-functional collaboration enables organizations to stay agile and responsive to changes in the regulatory landscape or emerging compliance risks.

Overall, building collaborations is crucial for improving compliance as it facilitates access to expertise, promotes a holistic approach to risk management, optimizes resource utilization, fosters a culture of compliance, enhances stakeholder engagement, and supports continuous improvement efforts. By working together internally and externally, organizations can strengthen their compliance programs and mitigate the risk of regulatory non-compliance.

## WHAT HAPPENS WHEN WE COLLABORATE?

1. **Better decision-making:** A collaborative approach to compliance allows multiple individuals and departments within an organization to come together and make informed decisions. By pooling their knowledge, skills, and expertise, they can make better decisions. In turn, this can help the organization comply with the necessary regulations and standards.

2. **Increased efficiency:** Collaboration can help streamline the compliance process, reducing the time and resources required to meet regulatory requirements. By working together, different departments can share information and avoid duplicating efforts, making the overall process more efficient.
3. **Improved communication:** Communication is key in a collaborative approach to compliance. By working together, different departments can share information and provide feedback. This can lead to a more effective and efficient compliance process.
4. **Increased accountability:** When different departments within an organization work together on compliance, everyone involved becomes more accountable for their actions. This can help to reduce the risk of non-compliance. It also can ensure that the organization is adhering to the necessary regulations and standards.

## WHAT HINDERS COLLABORATION?

1. **Coordination:** One of the biggest challenges of a collaborative approach to compliance is coordination. Different departments may have different priorities. It can therefore be difficult to ensure that everyone is working towards the same goal.
2. **Communication:** Effective communication is essential in a collaborative approach to compliance, but it can also be one of the biggest challenges. Different departments may have different levels of technical expertise. Consequently, it can be difficult to ensure that everyone is on the same page.
3. **Resistance to change:** Some departments or individuals within an organization may resist change and be resistant to the idea of working collaboratively. This can lead to a lack of buy-in, which can hinder the effectiveness of the collaboration.
4. **Data privacy and security:** When different departments within an organization are working together on compliance, there is a risk of sensitive information being shared. This can be a challenge, as it is important to ensure that the privacy and security of sensitive information is protected.

In conclusion, a collaborative approach to compliance can bring numerous benefits to an organization, but it also poses certain challenges that must be addressed. By working together, different departments can make better decisions, increase efficiency, improve communication, and increase accountability. However, coordination, communication, resistance to change, and data privacy and security must be carefully managed to ensure that the collaboration is successful.

## BUILDING INTERNAL COLLABORATIONS

Internal collaborations are essential for fostering a culture of compliance within JAMB. This module explores strategies for identifying key stakeholders within the institution, fostering collaboration among different departments, and establishing cross-functional teams to drive compliance initiatives forward. *This will largely be an interactive session with training participants.*

1. **Identifying Key Stakeholders within the Institution:**

- Stakeholder analysis: Participants will learn techniques for identifying and prioritizing stakeholders based on their influence, interest, and involvement in compliance-related activities.

- Mapping stakeholder relationships: Understanding the dynamics and interdependencies among stakeholders is crucial for effective collaboration. Participants will explore methods for mapping stakeholder relationships and identifying potential synergies and conflicts.

2. **Strategies for Fostering Collaboration among Different Departments:**

- Creating a shared vision: Aligning departmental goals and objectives with the institution's overarching compliance objectives fosters collaboration and promotes a unified approach to compliance management.

- Establishing clear communication channels: Open and transparent communication is essential for fostering collaboration among different departments. Participants will learn techniques for establishing effective communication channels and facilitating information sharing.

3. **Establishing Cross-Functional Teams for Compliance Initiatives:**

- Benefits of cross-functional teams: Cross-functional teams bring together individuals from different departments with diverse expertise and perspectives, enabling comprehensive problem-solving and innovation.

- Team composition and roles: Participants will explore strategies for assembling cross-functional teams, defining roles and responsibilities, and fostering a collaborative team culture.

- Project management for cross-functional teams: Effective project management practices, such as setting objectives, defining timelines, and monitoring progress, are essential for ensuring the success of cross-functional compliance initiatives.

## EFFECTIVE COMMUNICATION STRATEGIES FOR COLLABORATION

- **Create Safe Spaces for Dialogue**: Establish safe spaces where employees feel comfortable expressing their thoughts, sharing ideas, and discussing sensitive topics without fear of judgment or reprisal. This could involve setting up regular team meetings, town hall sessions, or focus groups dedicated to open discussions on various topics. Encourage a culture of respect, empathy, and inclusivity to ensure that everyone's voice is heard and valued.

- **Implement Transparent Communication Policies:** Develop clear communication policies that outline expectations, guidelines, and protocols for communication within the organization. Ensure that employees understand how information will be shared, what channels to use for different types of communication, and how confidentiality will be maintained when necessary. Transparent communication policies help establish consistency and fairness in communication practices.

- **Use Technology to Facilitate Communication:** Leverage technology platforms and tools to facilitate communication and collaboration across the organization. Implement intranet portals, collaboration software, and project management tools that enable real-time communication, document sharing, and virtual meetings. Invest in user-friendly interfaces and mobile-friendly solutions to ensure accessibility and ease of use for all employees.

- **Celebrate Successes and Learn from Failures**: Recognize and celebrate instances where open communication leads to positive outcomes, such as innovative ideas, improved processes, or strengthened relationships. Similarly, use setbacks or failures as learning opportunities to identify communication gaps or breakdowns and implement corrective measures. By acknowledging both successes and failures openly, organizations demonstrate a commitment to continuous improvement and learning.

## LEVERAGING EXTERNAL PARTNERSHIPS

Engaging external stakeholders is crucial for organizations to stay informed about industry standards, regulatory developments, and best practices in compliance. The act of engaging external stakeholders fosters collaboration, facilitates knowledge-sharing, and strengthens organizations' ability to navigate complex compliance challenges effectively. By building strong relationships with industry peers, regulators, experts, and partners, organizations can enhance their compliance capabilities, stay ahead of regulatory developments, and uphold high standards of ethical conduct.

How? Maintain ongoing communication channels with external stakeholders to solicit feedback, address concerns, and monitor emerging compliance issues.

Periodically seek input from stakeholders such as CBT centres, tertiary institutions, NUC, external examination officers through surveys, focus groups, or advisory committees to assess the effectiveness of compliance initiatives and identify areas for improvement. Actively listening to external stakeholders' perspectives demonstrates a commitment to transparency, accountability, and continuous improvement in compliance practices.

**Practical Activity**

This activity is to increase compliance officer's efficiency and impact by identifying opportunities to collaborate with partnering institutions:

• Identify key functional partners for each program activity.

• Structure conversations to identify areas of similar or redundant work and overlapping interests among functional partners.

• Improve cross-functional collaboration workflow-execution level.

In conclusion, by understanding the fundamentals of collaboration and implementing strategies for building internal collaborations, compliance officers can strengthen their institution's compliance framework, foster a culture of compliance, and drive continuous improvement in compliance management practices. Through effective collaboration, examination board institutions can enhance their ability to uphold regulatory standards, promote ethical practices, and safeguard the integrity of the examination process.

# MODULE 7
## BEHAVIOURAL MODELS IN COMPLIANCE

## COURSE OBJECTIVES

- Develop strategies for enhancing compliance through behavioral insights.
- Understand the Relationship Between Attitudes, Behaviours, and Motivations in Compliance
- Identify and Mitigate Cognitive Biases and Heuristics in Compliance
- Apply Social Influence, Persuasion, and Conformity Principles to Compliance
- Understand Decision-making Models and their Implications for Compliance
- Identify and Overcome Behavioral Barriers to Compliance

## OVERVIEW

The "Behavioural Models in Compliance" training module is designed to provide Compliance Officers with a comprehensive understanding of behavioural models and their application in compliance management within an Examination Board context. Participants will explore the role of attitudes, behaviours, and motivations in compliance, examine cognitive biases and heuristics that affect decision-making, and learn how to apply social influence techniques to promote compliance. The module will also cover decision-making models, methods for assessing compliance attitudes and behaviours, and strategies for overcoming behavioural barriers to compliance. Through group exercises and simulations, participants will have the opportunity to apply behavioural concepts in practical scenarios and develop effective compliance strategies.

## INTRODUCTION TO KEY CONCEPTS

**Attitudes:** Attitudes are evaluations or feelings towards a person, object, or idea. They can be positive, negative, or neutral and play a crucial role in shaping behaviour. For example, if a student has a positive attitude towards studying, they are more likely to comply with examination rules and regulations.

**Behaviours:** Behaviours are observable actions or responses that individuals exhibit in various situations. Compliance officers need to understand the relationship between attitudes and behaviours to effectively promote compliance within the Examination Board.

**Motivations:** Motivations are the driving forces behind behaviour. They can be intrinsic (e.g., personal satisfaction) or extrinsic (e.g., rewards or punishments). Compliance officers should consider different motivational factors when designing compliance strategies to ensure they align with the motivations of the individuals they are targeting.

**Cognitive Biases:** Cognitive biases are systematic patterns of deviation from rationality in judgment. They can lead individuals to make decisions that are not in their best interest or that violate rules and regulations. Compliance officers should be aware of these biases to design interventions that mitigate their impact.

**Heuristics:** Heuristics are mental shortcuts that individuals use to make decisions quickly and efficiently. While heuristics can be useful, they can also lead to errors in judgment. Compliance officers should understand the role of heuristics in decision-making to design interventions that account for them.

**Social Influence:** Social influence refers to how individuals are influenced by the presence or actions of others. Compliance officers should understand how social influence can shape compliance behaviour and use this knowledge to design interventions that leverage social norms and peer pressure.

**Persuasion:** Persuasion is the process of influencing attitudes, beliefs, and behaviours. Compliance officers should understand the principles of persuasion to design effective communication strategies that encourage compliance.

**Conformity:** Conformity is the tendency to adjust one's behaviour or attitudes to match those of a group. Compliance officers should understand the factors that influence conformity and use this knowledge to design interventions that promote compliance within groups.

Understanding these key concepts is essential for compliance officers to design effective compliance strategies that address the attitudes, behaviours, and motivations of individuals, account for cognitive biases and heuristics, and leverage social influence, persuasion, and conformity to promote compliance within the Examination Board.

# BEHAVIORAL MODELS IN COMPLIANCE

## ATTITUDE AND COMPLIANCE

An attitude is a psychological construct that represents an individual's overall evaluation of an object, person, or situation. Attitudes are formed through a combination of beliefs, emotions, and experiences and can influence how individuals think, feel, and behave in relation to a particular object or situation. In the context of compliance, attitudes play a crucial role in shaping individuals' willingness to follow rules, regulations, and ethical standards.

## COMPONENTS OF ATTITUDES

1. **Cognitive Component:** This refers to the beliefs or thoughts an individual has about a particular object or situation.
   *Examples*
   a. An employee may believe that working overtime is necessary to meet project deadlines.
   b. A compliance officer may believe that following examination rules and regulations are important for maintaining the integrity of the examination process.

2. **Affective Component:** This refers to the emotional response an individual has towards a particular object or situation.

   *Examples*

   a. An employee may feel a sense of pride or satisfaction when they complete a challenging task.
   b. A compliance officer may feel a sense of pride or satisfaction when they see students following examination rules and regulations.

3. **Behavioral Component:** This refers to the actions or behavioral intentions an individual has towards a particular object or situation.

   *Examples*

   a. An employee may intend to work hard and contribute positively to the team
   b. A compliance officer may intend to enforce examination rules and regulations consistently and fairly.

## I.  ATTITUDES AND COMPLIANCE BEHAVIOUR

Attitudes can influence compliance behaviour in several ways…

1.  Attitude-Behaviour Consistency: Individuals with more positive attitudes towards compliance are more likely to behave in ways that align with those attitudes. For example, a student who believes that cheating is wrong is less likely to cheat during an examination…. an employee who has a positive attitude towards their job is more likely to be engaged, motivated, and productive.

2.  Attitude-Behaviour Correspondence: The stronger an individual's attitude towards compliance, the more likely they are to behave in ways that are consistent with that attitude. For example, a compliance officer who strongly believes in the importance of following examination rules and regulations is more likely to enforce them consistently and fairly…. an employee who strongly identifies with their organization's values and mission is more likely to go above and beyond to support those values and mission.

3.  Attitude-Behaviour Accessibility: The more accessible an attitude is in an individual's mind, the more likely it is to influence their behaviour. For example, if a compliance officer frequently thinks about the importance of following examination rules and regulations, they are more likely to behave in ways that align with that attitude… If an employee frequently thinks about the importance of teamwork, they are more likely to collaborate effectively with their colleagues.

## IMPLICATIONS FOR COMPLIANCE MANAGEMENT

Understanding the role of attitudes in compliance behaviour is essential for compliance officers. By understanding the attitudes of individuals within the Examination Board, compliance officers can design interventions that target specific attitudes to promote compliance. For example, if a compliance officer identifies that students have negative attitudes towards a particular examination rule, they can design interventions to change those attitudes and promote compliance. Additionally, by understanding their attitudes towards compliance, compliance officers can ensure that they are enforcing rules and regulations consistently and fairly.

## ATTITUDE CHANGE

Attitude change refers to the process by which an individual's attitudes (beliefs, feelings, and behaviors) towards a particular object, person, or situation are modified. Attitude change can occur in response to various factors, including persuasive communication, social influence, and personal experiences. Understanding the process of attitude change is important for compliance officers, as it can help them design interventions that promote positive attitudes towardcompliance and ethical behavior.

## FACTORS INFLUENCING ATTITUDE CHANGE

- **Source Credibility:** The credibility of the source delivering the persuasive message can influence attitude change. If the source is perceived as credible and trustworthy, individuals are more likely to change their attitudes in response to the message.
- **Message Content:** The content of the persuasive message can influence attitude change. Messages that are clear, concise, and relevant to the individual's values and beliefs are more likely to be effective in changing attitudes.
- **Message Delivery:** How the message is delivered can influence attitude change. Messages that are delivered persuasively and engaging are more likely to be effective in changing attitudes.
- **Social Norms:** Social norms can influence attitude change. If individuals perceive that a particular attitude is consistent with social norms, they are more likely to change their attitudes to align with those norms.
- **Personal Experiences:** Personal experiences can influence attitude change. If individuals have positive or negative experiences related to a particular attitude, they are more likely to change their attitudes in response to those experiences.

## STRATEGIES FOR PROMOTING ATTITUDE CHANGE

- **Education:** Providing individuals with information about the importance of compliance and ethical behavior can help promote attitude change. Education can help individuals understand the consequences of non-compliance and the benefits of compliance.
- **Social Influence:** Leveraging social influence can help promote attitude change. For example, highlighting the compliance behavior of peers or authority figures can encourage individuals to change their attitudes toward compliance.
- **Incentives:** Providing incentives for compliance can help promote attitude change. Incentives can be financial (e.g., bonuses for compliance) or non-financial (e.g., recognition for compliance).
- **Role Modeling:** Role modeling can help promote attitude change. If individuals see others engaging in compliant behavior, they are more likely to change their attitudes toward compliance.
- **Feedback:** Providing individuals with feedback on their compliance behavior can help promote attitude change. Feedback can help individuals understand the impact of their behavior on compliance and encourage them to change their attitudes toward compliance.

By understanding the factors that influence attitude change and implementing strategies to promote positive attitudes toward compliance and ethical behavior, compliance officers can help create a culture of compliance within their organization.

**Practical Session**

**Case Study**

The Examination Board is renowned for its commitment to upholding the highest standards of integrity, fairness, and transparency in its examination processes. Despite the Board's clear policies and procedures, a recent examination session revealed a significant breach of integrity by one of its employees, John. During the session, it was discovered that John, who was entrusted with overseeing examination procedures, failed to adhere to the established protocols.

Specifically, John neglected to properly monitor the examination hall, allowing unauthorized access to examination materials and potentially compromising the integrity of the entire examination process.

This breach of protocol not only posed a serious threat to the fairness and integrity of the examinations but also jeopardized the reputation and credibility of the Examination Board. The incident raised concerns among stakeholders about the Board's ability to maintain the integrity ofits examinations and adhere to its core values of fairness and transparency.

In light of the incident, the Examination Board faced significant challenges in addressing the breach, restoring trust among stakeholders, and implementing measures to prevent similar occurrences in the future. The Board's response to the incident would be crucial in demonstrating its commitment to integrity and upholding the highest standards of ethical conduct in its operations.

**Case Study Questions:**

- What attitudes may have influenced John's decision to fail to follow examination procedures?
- How might John's attitudes towards integrity and ethical behavior have been shaped by his role as an employee and his perceptions of his responsibilities?
- What factors may have influenced John's response to the situation, and how might his attitudes have influenced his behaviour in this situation?
- What attitudes may have influenced Ms. Smith's decision to fail to follow examination
- procedures?
- How might Ms. Smith's attitudes towards integrity and ethical behaviour have been shaped by her role as an invigilator and her perceptions of her responsibilities?
- What factors may have influenced Ms. Smith's response to the situation, and how might her attitudes have influenced her behaviour in this situation?

## II. <u>COGNITIVE BIASES AND HEURISTICS</u>

Cognitive biases are systematic patterns of deviation from rationality in judgment. They occur when people make decisions in an illogical or irrational way, often due to the influence of their personal beliefs, emotions, or past experiences. These biases can lead individuals to make decisions that are not in their best interest or that violate rules and regulations. In the context of compliance management within an Examination Board, understanding cognitive biases is crucial as they can impact the decision-making process and ultimately affect compliance behavior.

Some common cognitive biases include:

- **Confirmation Bias:** This is the tendency to search for, interpret, and remember information in a way that confirms one's pre-existing beliefs or hypotheses. For example, a Compliance Officer may have a belief that students are more likely to cheat during online examinations. This bias may lead them to interpret ambiguous evidence as supporting this belief, even if it's not accurate.
- **Anchoring Bias:** This is the tendency to rely too heavily on the first piece of information encountered when making decisions. For example, a Compliance Officer may anchor their decision-making on the first piece of evidence they come across, even if it's not the most relevant or accurate.
- **Overconfidence Bias:** This is the tendency to overestimate one's own abilities, knowledge, or judgment. For example, a Compliance Officer may be overconfident in their ability to detect cheating during examinations, leading them to overlook potential signs of cheating.
- **Availability Heuristic:** This is the tendency to overestimate the likelihood of events based on their availability in memory. For example, a Compliance Officer may overestimate the prevalence of cheating during online examinations because they have heard of a few high-profile cases, even though these cases may be rare.
- **Status Quo Bias:** This is the tendency to prefer the current state of affairs over change, even when the change may be beneficial. For example, a Compliance Officer may be resistant to implementing new examination procedures because they are comfortable with the current procedures.
- **Halo Effect:** This is the tendency to judge a person, object, or situation based on one specific characteristic or trait, rather than considering the overall picture. For example, a Compliance Officer may judge a student's honesty based on their past academic performance, without considering other relevant factors.
- **Recency Bias:** This is the tendency to give more weight to recent events or information when making decisions. For example, a Compliance Officer may give more weight to recent instances of cheating during online examinations, even if they are not representative of the overall situation.

Understanding these cognitive biases is essential for Compliance Officers as they can impact decision-making and ultimately affect compliance behavior. By being aware of these biases, Compliance Officers can take steps to mitigate their impact and make more rational and informed decisions. This may include seeking out diverse perspectives, considering multiple sources of information, and being open to feedback and criticism.

To mitigate the impact of cognitive biases in compliance management, compliance officers should:

1. **Be Aware of Their Own Biases:** Compliance officers should be aware of their own cognitive biases and take steps to mitigate their impact on decision-making.
2. **Seek Diverse Perspectives:** Compliance officers should seek out diverse perspectives and consider multiple sources of information when making decisions about compliance.
3. **Be Open to Feedback and Criticism:** Compliance officers should be open to feedback and criticism and be willing to reconsider their decisions in light of new information.
4. **Implement Checks and Balances:** Compliance officers should implement checks and balances to ensure that decisions about compliance are made in a fair and consistent manner.

## Practical Session

**1. Confirmation Bias Exercise**

Participants will be presented with a series of scenarios related to compliance and ethical behavior.

They will be asked to identify any instances of confirmation bias in the scenarios and discuss how these biases may impact decision-making.

Participants will then be asked to brainstorm strategies for mitigating confirmation bias in compliance management.

**2. Anchoring Bias Simulation**

Participants will be presented with a scenario where they are asked to make a decision about a compliance issue.

Before making their decision, participants will be given a piece of information that serves as an anchor.

Participants will then be asked to make their decision and discuss how the anchor influenced their decision-making process.

Participants will then be asked to reflect on the impact of anchoring bias on compliance management and discuss strategies for mitigating this bias.

### 3. Overconfidence Bias Exercise

Participants will be presented with a series of compliance-related questions.

They will be asked to rate their confidence in their ability to answer each question.

Participants will then be asked to answer the questions and discuss how their confidence ratings compare to their actual performance.

Participants will then be asked to reflect on the impact of overconfidence bias on compliance management and discuss strategies for mitigating this bias.

### 4. Availability Heuristic Simulation

Participants will be presented with a scenario where they are asked to make a decision about a compliance issue.

Before making their decision, participants will be given a piece of information that is readily available to them.

Participants will then be asked to make their decision and discuss how the availability of the information influenced their decision-making process.

Participants will then be asked to reflect on the impact of availability heuristic on compliance management and discuss strategies for mitigating this bias.

### 5. Status Quo Bias Exercise

Participants will be presented with a series of scenarios where they are asked to make a decision about a compliance issue. In each scenario, participants will be given the option to maintain the status quo or make a change.

Participants will be asked to reflect on their decision-making process and discuss how status quo bias may have influenced their decisions.

Participants will then be asked to brainstorm strategies for mitigating status quo bias in compliance management.

### Role Playing

### 1. Confirmation Bias Scenario

A compliance officer is reviewing a student's examination paper. The student has performed poorly in the past, and the compliance officer has a negative perception of the student's abilities.

Objective - Participants will practice identifying confirmation bias and developing strategies to manage it.

2. **Availability Bias Scenario**

A compliance officer is assessing the risk of cheating during an examination. The officer recalls a recent incident of cheating and assumes that cheating is a common occurrence.

Objective - Participants will practice identifying availability bias and developing strategies to manage it.

3. **Anchoring Bias Scenario**

A compliance officer is assessing the risk of cheating during an examination. The officer information from a colleague that cheating is common among students.

Objectives - Participants will practice identifying anchoring bias and developing strategies to manage it.

4. **Overconfidence Bias Scenario**

A compliance officer is assessing the risk of cheating during an examination. The officer believes that they are good at detecting cheating and underestimates the likelihood of cheating occurring.

Objectives - Participants will practice identifying overconfidence bias and developing strategies to manage it.

**Activities**

Participants will be divided into groups of 4-5.

Each group will be assigned a scenario.

Participants will discuss the scenario and identify the presence of a type of bias.

Participants will develop strategies to manage the bias.

They will present their strategies to the rest of the participants.

Other participants will provide feedback and suggestions for improvement.

## III.    SOCIAL INFLUENCE

Social influence refers to the ways in which individuals are influenced by the presence or actions of others. It plays a significant role in shaping human behavior, including compliance behavior within an Examination Board. Social influence can take various forms, including conformity, obedience, and social norms.

**Conformity:** Conformity is the tendency to adjust one's behavior or attitudes to match those of a group. Compliance officers should be aware of the factors that influence conformity and use this knowledge to design interventions that promote compliance within groups. For example, if a compliance officer identifies that students are conforming to a group norm of cheating during online examinations, they can design interventions to change that norm and promote compliance. Compliance officers can leverage conformity to promote compliance within the Examination Board by creating a culture of compliance. This can be achieved by highlighting examples of compliance behavior, providing positive reinforcement for compliance, and fostering a sense of belonging and identity within the group.

**Obedience:** Obedience is the tendency to comply with the commands or requests of an authority figure. Compliance officers should understand the factors that influence obedience and use this knowledge to design interventions that promote compliance with rules and regulations. For example, if a compliance officer identifies that students are more likely to comply with examination rules when they perceive the authority figure as legitimate and trustworthy, they can design interventions to enhance the perceived legitimacy and trustworthiness of the authority figure. Compliance officers can use the principle of obedience to promote compliance by establishing clear rules and regulations, providing clear instructions for compliance, and ensuring that authority figures are perceived as legitimate and trustworthy.

**Social Norms:** Social norms are the unwritten rules that govern behavior within a group. Compliance officers should understand the social norms that influence compliance behavior within the Examination Board and use this knowledge to design interventions that promote compliance. For example, if a compliance officer identifies that students are more likely to comply with examination rules when they perceive that their peers are also complying, they can design interventions to promote a norm of compliance within the student body. Compliance officers can use social norms to promote compliance by highlighting the importance of compliance within the group, providing examples of compliance behavior, and creating an environment that encourages and rewards compliance.

## Practical Applications

**Peer Influence:** Compliance officers can leverage peer influence to promote compliance by encouraging students to act as positive role models for their peers. This can be achieved by highlighting examples of compliance behavior, providing positive reinforcement for compliance, and fostering a sense of belonging and identity within the group.

**Authority Influence:** Compliance officers can use the principle of authority influence to promote compliance by establishing clear rules and regulations, providing clear instructions for compliance, and ensuring that authority figures are perceived as legitimate and trustworthy.

**Normative Influence:** Compliance officers can use social norms to promote compliance by highlighting the importance of compliance within the group, providing examples of compliance behavior, and creating an environment that encourages and rewards compliance.

## Role-Playing Exercise - Handling Ethical Dilemmas in Compliance Management

Participants will engage in a role-playing exercise to practice their skills in handling ethical dilemmas related to compliance management within an Examination Board.

### Overview

This role-playing exercise will provide participants with an opportunity to apply their knowledge and skills in a realistic scenario. By engaging in role-playing, participants will gain valuable insights into the challenges and complexities of compliance management and develop strategies for addressing ethical dilemmas in their day-to-day work.

### Activities

The facilitator will provide an overview of the exercise and its objectives.

Participants will be divided into small groups, with each group assigned a different scenario.

Each group will have time to review their assigned scenario and discuss possible approaches to

handling the ethical dilemma presented.

Participants will identify the key stakeholders involved, the relevant rules and regulations, and the potential consequences of different courses of action.

Each group will take turns presenting their assigned scenario to the rest of the participants.

Participants will engage in role-playing exercises, with each group member taking on the role of a different stakeholder (e.g., compliance officer, student, invigilator, Examination Board member).

Participants will practice their skills in communication, negotiation, and decision-making as they navigate the ethical dilemma presented in their scenario.

After each role-playing exercise, the facilitator will lead a debriefing session to discuss the participants' experiences and insights.

Participants will reflect on the challenges and complexities of compliance management and share strategies for addressing ethical dilemmas in their day-to-day work.

The facilitator will summarize the key learnings from the exercise and highlight the importance of ethical decision-making in compliance management.

Participants will discuss how they can apply the skills and strategies they have learned in their day-to-day work.

## Assessment

**Role-Playing Performance:** Participants will be assessed based on their performance in the role-playing exercises, including their ability to communicate effectively, negotiate with stakeholders, and make ethical decisions.

**Group Discussion Participation:** Participants will be assessed based on their active participation in the group discussions, including their contributions to the conversation and their ability to engage with the perspectives of others.

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