Total number of workplaces liable to inspection.

Actual number of workplaces inspected.
Strategic Compliance Model

- Total number of workplaces liable to inspection.
- Total number of workplaces prioritized for strategic compliance interventions.
- Total number of workplaces impacted by strategic compliance interventions.
- Actual number of workplaces inspected.
## Traditional Enforcement Model vs Strategic Compliance Model

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

Australia

7-Eleven
Strategic Compliance – Examples

Colombia

[Image of a map of Colombia and a palm fruit]
Strategic Compliance – Examples
Strategic Compliance – Examples
Strategic Compliance – Examples

[Image of the USA flag with the word "USA" and an image of an Atlantic Drain Service Co., Inc. vehicle]
Strategic Compliance – Examples

Singapore
Step 1

Explore

Labour Inspectorate
Step One – Key Terms

**Mandate**

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

**Resources**

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

**Enforcement & Compliance Data**

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

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

Policy (Internal):
- Expectations derived from work plans, goals, and performance indicators.

Political (External):
- Expectations derived from public agendas of the administration/government and political asks of stakeholders.
Brainstorm Resources

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

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

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

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

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

Informational:
- Information centres, private labour/employment attorneys, translators, contact lists for stakeholders (media, nongovernmental entities, workers' and employers organizations, and counterparts in other government entities).
Brainstorm Enforcement & Compliance Data

Enforcement Data:

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

Compliance Data:

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

2.1 Brainstorm Target

Targets:

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

Compliance Hub:

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

2.2 Priority / Compliance Matrix
Brainstorm Issues

2.1 Brainstorm Issues

Issues:

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

Compliance Hub:

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

Venn of Success

- Mandate
- Winnable
- Resources
- Compliance Data
Explore Influences
Just as a doctor must diagnose the cause or causes of an illness before prescribing a cure ...

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

Why do enterprises comply?

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

Why don’t enterprises comply?

• What influences have a negative impact on compliance?
• How does the influence work?
• Who wields or could wield the influence?
• How can negative influences be diminished or eliminated?
Compliance Influences – Examples

Lesotho

SECURITY GUARD
6.1 Map Strategic Compliance Plan
Step 4

Explore Stakeholders

4.1 Brainstorm Stakeholders
4.2 Prioritize Stakeholders
4.3 Map Stakeholders
<table>
<thead>
<tr>
<th>Why do enterprises comply?</th>
<th>Why don’t enterprises comply?</th>
</tr>
</thead>
<tbody>
<tr>
<td>• What influences have a positive impact on compliance?</td>
<td>• What influences have a negative impact on compliance?</td>
</tr>
<tr>
<td>• How does the influence work?</td>
<td>• How does the influence work?</td>
</tr>
<tr>
<td>• Who wields or could wield the influence?</td>
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<tr>
<td>• What positive influences could be added?</td>
<td></td>
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</tbody>
</table>

Brainstrom Compliance Stakeholders
Step Four – Key Terms

Stakeholders

• Person, group, or entity that does or can positively or negatively influence compliance.
Brainstorm Stakeholders

4.1 Brainstorm Stakeholders

Workers and their Organizations:
- Enterprise unions, sectoral unions, federations, confederations, guilds.

Employers and their Organizations:
- Enterprises, chamber of commerce, national or international sectoral/industry groups, owners, key management personal.

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

Government Entities:
- Tax, export, environmental protection, licensing authorities, and social protection.

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

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

4.2 Commitment Bullseye®

Hostile
Disengaged
Supporter
Ali

* Adapted from Aim For the Bullseye, Secrets of a Successful Organizer
6.1 Map Strategic Compliance Plan
Explore Interventions

Step 5

5.1 Brainstorm Interventions
5.2 Prioritize Interventions
5.3 Map Interventions
<table>
<thead>
<tr>
<th>Why do enterprises comply?</th>
<th>Why don’t enterprises comply?</th>
</tr>
</thead>
<tbody>
<tr>
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<tr>
<td>• What positive influences could be added?</td>
<td></td>
</tr>
</tbody>
</table>
• Activity, task, action, campaign, or tactic available to the labour inspectorate, or stakeholders engaged by the labour inspectorate, to achieve effective and efficient enforcement and sustained compliance.
Brainstorm Compliance Interventions

Narrow Thinking

- If the labour inspectorate does not understand what it must do...
- If labour inspectorate assumes that if it is not explicitly told to do something then it does not have the authority to do it...
- If labour inspectorate believes that it is more tightly constrained in its actions than it is...

Narrow Action

- ...it is unlikely to do it.
- ...it is less likely to do what it has the authority to do.
- ...it is less likely to do all that it has the authority to do.
Brainstorm Compliance Interventions

5.1 Brainstorm Interventions

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

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

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

Government Entities:
- Tax, export, environmental protection, licensing authorities, and social protection.

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

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

Impact / Scope Matrix

- High Impact
- Low Impact

- Narrow Scope
- Broad Scope

Low Priority / Low Impact
Low Priority / High Impact
High Priority / High Impact
High Priority / Low Impact
Operationalize Strategic Compliance Plan

Step 6

6.1 Map Strategic Compliance Plan
6.2 Chart Strategic Compliance Plan
6.1 Map Strategic Compliance Plan
<table>
<thead>
<tr>
<th>Target</th>
<th>Issue</th>
<th>Influences</th>
<th>Intervention</th>
<th>Stakeholders</th>
<th>Resources</th>
</tr>
</thead>
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**6.2 Chart Strategic Compliance Plan**
Thank you!