

# Advertising Compliance Handbook



# Why do you need an Advertising Compliance Handbook?

In today's environment, there is increased financial pressure to do more with less in legal and compliance teams that are already restricted by headcount.

With consumers reacting faster than ever across social media to deceptive and misleading content, and the volume of advertising materials required to stay relevant in today's content-centric society ever increasing, many organisations are identifying marketing compliance as an increasing area of focus.

This handbook is designed to help you identify ways to transform your advertising compliance process for optimal efficiency.

To improve your advertising compliance process, you first need data to understand where to focus your resources.

## Producing content

- What type of content gets produced? Digital advertising, customer communications, EDM, out of home advertising, etc. It is important to get an idea of what is being produced.
- How much content is being produced? This will give you a view of what type of content you are producing the most of.
- By whom? Are your content producers purely creative? Or are they aware of compliance requirements?

## Limitations on content

- How do content producers know what they can and can't do? Training, guidelines, standards?
- Is there a formal / informal checklist? Disclaimer dictionary? Advertising guidelines?



## Who reviews content?

- How many people are reviewing content for compliance / legal / brand risks?
- How are the reviews completed?
- When in the process is content reviewed (e.g. concept, draft, final)?
- How long does a review take?
- What happens when comments are made?
- Does the content come back for another review? If so, how often?
- What technology is used to manage the reviews and workflow?
- Have you considered any other solutions, processes or POCs?

# How to assess your advertising compliance review process

To understand the maturity of your advertising compliance review capabilities, we have developed guide to self-assess your maturity against best practices. This will assist in providing a greater understanding of optimal processes in advertising compliance and how these ideas could be implemented in your business. Based on the stage you are at for each focus area, you can understand how to improve your process maturity by identifying what the higher stages entail.






	Stage 1: Ad hoc	Stage 2: Repeatable	Stage 3: Controlled	Stage 4: Managed	Stage 5: Optimized
<b>Vision</b>	Legal and compliance is a final thing that just needs to get done.	Compliance forms part of the design process in a back-and-forth manner as content is shared between legal and marketing teams.	Good workflow between compliance and advertising but compliance is still the final piece of the advertising puzzle.	Compliance is introduced as part of the advertising design stage, and advertising and compliance teams are more collaborative with seamless workflow between the two.	Complete collaboration between advertising and compliance to prevent issues in the advertising design phase. Focus on end-customer needs.
<b>Compliance Checklist</b>	No checklists of legal and compliance requirements. Decisions made based on personal judgement and experience.	Checklists exist for standardised judgement.	Checklists are reviewed regularly and categorised to products, channels, etc. so compliance teams know which checklist items apply under what conditions.	Checklists contain clear examples of "do" vs "don't" so the checklist can be used by non-compliance / legal teams (i.e. content producers, advertising, external agencies).	Checklists are automated as digital rules that can be programmatically applied to content and can be updated on an ad-hoc basis, in real time, as required.
<b>Process</b>	No clearly defined process and typically relies on knowing who to contact.	There are multiple processes across different teams creating competing / siloed processes making it difficult for teams to work cooperatively.	Defined process that is communicated across the organisation.	Process has clear metrics, governance, and is generally adopted across the organisation.	Process is understood across all departments and adhered to with each compliance advertising review.
<b>Document / Advertising / Content Review</b>	Comments are made on PDFs and emailed back.	Comments are made on PDFs and stored in shared folders / drives.	Checklists are automated with technology to add comments to PDF for first level review.	Review technology is used to process compliance reviews and provide automated annotations.	All checklists are turned into AI, which is used to process reviews. Review technology and workflow are fully integrated.
<b>Workflow Technology</b>	Email is the only tool used in the compliance advertising workflow.	Email is the primary tool used with some simple trackers or spreadsheets also used.	Workflow tool is used to track tasks, manage progress and approvals.	Workflow tool also supports the addition of annotations, comments, emphasis on PDFs plus versioning.	Workflow and review technology fully integrated.
<b>People</b>	Only a few selected staff are trained on compliance and legal reviews.	Several selected staff are trained on compliance and legal reviews.	Specialised staff trained compliance and legal review.	Team of specialised compliance staff with training and succession planning, as well as compliance training for advertising teams.	Advertising, agencies and compliance teams all understand checklist and usage, and staff members check for compliance issues at all points of the advertising journey.



What next?

## We hope this handbook has helped you to:

-  Uncover factors that play a key role in reviews
-  Assess your advertising compliance review process
-  Identify some areas to improve the maturity of your advertising compliance review capabilities

We invite you to meet for a 30 minute consultation, where we can discuss challenges in your current workflow and explore opportunities for automating your marketing compliance review process. Feel free to reach out to us for more information.

