7 Elements of an Effective Compliance & Ethics Program

These 7 elements are identified in the US Sentencing Guidelines as essential to an effective compliance and ethics program. Use them as a road map to establishing and maintaining compliance and ethics at your organization.

01 Standards of conduct, policies, and procedures

Put these policies in writing and use them as the foundation for your entire program.

02 Compliance officer and committee

Delegate an individual or group with operational responsibility, autonomy, and authority.

03 Communication and education

Create effective, ongoing training methods and establish open lines of communication.

04 Internal monitoring and auditing

Use internal tools to evaluate program effectiveness and detect criminal conduct.

05 Reporting and investigating

Encourage employees to raise concerns and have investigative procedures in place.

06 Enforcement and discipline

Establish appropriate incentives for compliance and disciplinary actions for violations.

07 Response and prevention

Resolve identified problems promptly and add related issues to monitoring activities.

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Awareness. Recognition. Reinforcement.

Learn more about the 7 elements of compliance and more in SCCE's *Compliance 101, second edition*. Order online at corporatecompliance.org/books