



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.