Overview

• Network with local compliance and ethics colleagues while reviewing the seven elements of an effective compliance program

• Explore subliminal messaging techniques to communicate compliance and ethics expectations

• Move your compliance program from “check the box” to “think outside of the box”

A. Health 💊
B. Government 🏛
C. Finances/Banking 🏦
D. Oil/Gas/Energy 🏧
E. Engineering/Construction 🏗️
F. Other 🤔

Who Are You? Department =

A. Compliance / Ethics
B. Law
C. Financial Controls
D. Contracts/ Supply Chain Management
E. Human Resources
F. Other
Who Are You? Experience with SCCE/ HCCA conferences

A. First time attendee
B. 2nd time attendee
C. 3 or more times; no certification
D. Certified Compliance & Ethics Professional (or similar certification)

Formal Compliance & Ethics Programs began as a result of...?

A. Enron
B. The Federal Sentencing Guidelines
C. The Vietnam War
# Will the Real 7 Elements Please Stand Up?

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>C</th>
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<tbody>
<tr>
<td>Standards &amp; Procedures</td>
<td>Standards, Policies &amp; Procedures</td>
<td>Standards, Policies &amp; Procedures</td>
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<tr>
<td>Oversight</td>
<td>Designation of a Chief Compliance Officer</td>
<td>Oversight &amp; Accountability</td>
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<tr>
<td>Due Diligence</td>
<td>Reporting Process for Complaints</td>
<td>Delegation of Authority</td>
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<td>Communication &amp; Training</td>
<td>Education &amp; Training</td>
<td>Education, Communication &amp; Awareness</td>
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<tr>
<td>Monitor, Audit, Evaluate and Have a Reporting System</td>
<td>Audit &amp; Evaluate to Monitor</td>
<td>Monitoring, Auditing, &amp; Risk Assessment</td>
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<tr>
<td>Enforcement, Discipline, &amp; Incentives</td>
<td>Disciplinary Mechanism</td>
<td>Enforcement, Discipline, &amp; Incentives</td>
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<tr>
<td>Response &amp; Preventive Actions</td>
<td>Investigate and Remediate</td>
<td>Ongoing Program Improvements</td>
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## 1. Standards of Conduct, Policies & Procedures

An organization shall establish standards of conduct, policies and procedures to prevent and detect criminal conduct and promote a organization culture that encourages ethical conduct.

YOUR “MUST HAVE” DOCUMENT:

**CODE OF CONDUCT**
Vote for your top **five** most important policy/procedures for an organization to establish.

### Table Team Feud
Pick your top **five** most important policy/procedure for an organization to establish.

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<tbody>
<tr>
<td>A.</td>
<td>Anti-Discrimination/Diversity policy</td>
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<tr>
<td>B.</td>
<td>Auditing &amp; Monitoring practices</td>
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<tr>
<td>C.</td>
<td>Conflict of Interest policy</td>
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<td>D.</td>
<td>Fraud &amp; Abuse Prevention practices</td>
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<td>E.</td>
<td>Information Privacy/Security policies</td>
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<td>F.</td>
<td>Non-retaliation policy</td>
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<td>G.</td>
<td>Records Management policy</td>
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<td>H.</td>
<td>Substance Abuse policy</td>
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<td>I.</td>
<td>Supplier/Vendor Due Diligence policies</td>
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<tr>
<td>J.</td>
<td>Reporting Concerns Procedure</td>
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</table>
2. Oversight

An organization’s governing authority and organizational leadership shall be knowledgeable about the content and operation of the compliance and ethics program, and specific high-level individual(s) shall be assigned direct, overall responsibility to ensure the effectiveness of the program.
3. Due Diligence

The organization shall use reasonable efforts to not give substantial authority to any individual who they knew/should have known had illegal conduct or other conduct inconsistent with an effective compliance and ethics program.

(i.e. Don’t hire or promote crooks).

BLUFF THE COMPLIANCE OFFICER
4. Communication & Training
The organization shall take reasonable steps to communicate ...its compliance standards and procedures.

5. Monitoring, Auditing and Evaluation
The organization (must use) monitoring and auditing ...to detect criminal conduct...and have in place & publicizing a reporting system whereby employees ...can report (misconduct) ...without fear of retribution.
6. Enforcement, Discipline, Incentives

The organization’s compliance and ethics program shall be ...enforced consistently ...through appropriate incentives...

...and appropriate disciplinary measures.

SCAVENGER HUNT
7. **Response & Prevention**

The organization shall take reasonable steps to
• respond appropriately to misconduct,
• prevent further similar misconduct, and
• make any necessary compliance and ethics program improvements.
Key Points
• Doesn’t matter what order or how you title the elements...just make sure your Compliance & Ethics program has:
  ❖ Policies & Procedures
  ❖ Oversight/Compliance Officer
  ❖ Background Checks/Pre-promotion Reviews
  ❖ Communication/Training
  ❖ Monitoring, Auditing, Risk Assessments
  ❖ Enforcement & Incentives
  ❖ Reporting Process for Concerns
  ❖ Investigation/Response/Prevention
• Think outside the box. Doing an activity or repackaging a concept in a different way is an effective method of gaining employee’s attention long enough to sneak your message into their (unsuspecting?) consciousness.

Questions ~ Comments

If plan A doesn't work, remember – the alphabet has 25 more letters
— Claire Cook