

ELEMENTS OF AN EFFECTIVE COMPLIANCE & ETHICS PROGRAM



STANDARDS AND PROCEDURES

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



COMPLIANCE OVERSIGHT

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



RESPONSE AND PREVENTION

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



EDUCATION AND TRAINING

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



ENFORCEMENT AND DISCIPLINE

Establish appropriate incentives for compliance and disciplinary actions for violations.



MONITORING AND AUDITING

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



REPORTING AND INVESTIGATING

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

Learn more
corporatecompliance.org/CCEW