

# 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](https://corporatecompliance.org/CCEW)