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.

2023
CORPORATE COMPLIANCE & ETHICS WEEK
November 5–11

Awareness
Recognition
Reinforcement

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.

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

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

Learn more
hcca-info.org/CCEW

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