

YOUR ETHICS AND COMPLIANCE CHECKLIST

Your Mission: Do the Right Thing

You constantly focus on nurturing an ethical workforce, but it's a daunting yet critical task - as ethics violations can harm your organization through ways like litigation, damage to your reputation, and revenue loss.

Having a solid Ethics and Compliance Program in place is a great way to minimize the risk that unethical conduct poses to your organization. And there are 5 key elements your program needs to do this well.

Use this checklist to see how well your organization addresses the 5 key elements required to build an effective automated Ethics and Compliance Program:

Code of Conduct

A comprehensive Code of Conduct is one of the cornerstones of your Ethics and Compliance Program. Is yours rock solid?

- Does your organization have a Code of Conduct?
- Do you keep your Code of Conduct up to date with current regulations?
- Is your workforce required to read and sign-off on the Code of Conduct on a regular basis?
- Does your Code of Conduct extend to your third party suppliers and contractors?

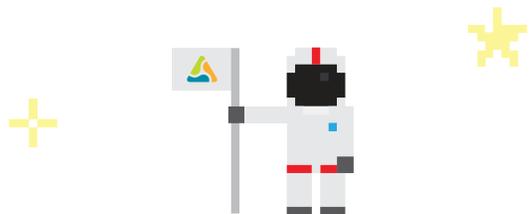
- Does your Code of Conduct cover these critical topics:
 - Workplace Harassment
 - Conflict of Interest
 - FCPA/UK Bribery
 - Gifts and Entertainment
 - Insider Training
 - Export Controls
 - Confidential Information
 - Fair Treatment, Privacy, and Social Media
 - Document Retention
 - Intellectual Property
 - Information Security
 - Duty to Report

Complí helps you automate the development, distribution, maintenance, and reporting of your Code of Conduct.

Organizational Leadership and Oversight

Your Board of Directors and executive team should have an active role in your compliance efforts. How involved are they?

- Do you have a Chief Compliance Officer?
- Is there an ethics or audit committee reporting to the Board of Directors?
- Can you demonstrate that your senior and middle managers are actively involved in the implementation and oversight of your ethics and compliance programs?
- Can you provide objective measurement and reporting to your executive team?



Ethics and Compliance Training and Communication

Training employees and third parties on relevant laws, regulations, corporate policies and prohibited conduct is essential for building a culture of ethics.

- Is your training tightly integrated with your Code of Conduct?
- Do you have consistent ethics and compliance training across your entire workforce?
- Do you track and document your workforce training?
- Are your training programs engaging and informative, enabling ethical behavior?

Automating your ethics and compliance activities, communications, trainings, processes, and online access ensures your workforce is consistently demonstrating expected behaviors.

Feedback Loop

Creating a “speak-up” culture in which your workforce can report ethical violations without fear of retaliation is critical for your ethics and compliance to function in the “real world.”

- Do you have a hotline/helpline through which your workforce may report or seek guidance regarding potential or actual criminal conduct?
- Is your hotline/helpline anonymous so reports can be made without fear of retaliation?
- Can your executive team see reporting around open cases and are they involved in their resolution?
- Do you use the collected feedback to inform regular updates to your ethics policies?

Compli has partnered with the experts to give you a repeatable and auditable hotline that helps you collect complaints are fed into, responded to, and addressed through your internal response processes.

Monitor, Review and Improve

What gets measured gets improved. Do you have the pieces in place to monitor your program’s performance?

- Can you easily monitor the status of your ethics and compliance initiatives across your business?
- Are you able to quickly drill down into issues and receive status updates?
- Can you easily assign and document corrective action processes and training to your workforce?
- Can you easily and frequently conduct an audit?
- Are you able to continuously make policy and training improvements to keep up with your changing workforce and evolving regulations?

Compli’s compliance intelligence provides detailed activity insight by analyzing all initiatives and regulatory data using centralized reporting.

How did you do?

Did you check them all? Great - you’re on your way to having a solid Ethics and Compliance Program. Got a couple unchecked boxes? Check out our eBook,

Mission Control: Automating Your Ethics Program to learn more, or give us a call at: 866.294.5545.



<http://info.compli.com/missioncontrol-ebook>

