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Managers: Key to compliance program effectiveness

by Sarah M. Couture RN, CHC, CHRC, CHPC

It is essential that compliance programs engage their organization's senior leaders. This is not only an expectation from a regulatory perspective but also critical to fostering compliance program effectiveness.

Engaging operations in compliance is vital to ensuring compliance. The March column discussed the importance of senior leadership compliance engagement.^[1] Senior leaders drive operational compliance, setting the expectation for compliant functions. While senior leaders should “clearly articulat[e] the company’s ethical standards, conve[y] and disseminat[e] them in clear and unambiguous terms, and demonstrat[e] rigorous adherence by example,” managers—those who supervise departments and teams—work to implement these goals, “reinforc[ing] those standards and encourag[e] employees to abide by them.”^[2] This management compliance responsibility includes ensuring employees have the necessary resources to perform their jobs compliantly (i.e., policies and procedures, appropriate training), monitoring high-risk functions, promoting a culture of transparency and encouraging reporting, and being part of corrective action plans and remediation of risk where identified.

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