

## Compliance Today – April 2024



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### Managers: Key to compliance program effectiveness

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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.<sup>[1]</sup> 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.”<sup>[2]</sup> 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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