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The importance of explaining why

By Gerry Zack, CCEP, CFE, CIA

Writing, implementing, and enforcing strong compliance-related policies is critical to any compliance and ethics program. So, why do so many compliance failures occur due to breakdowns in internal controls?

Of course, the answer to this question is complicated. However, one factor appears on a recurring basis: employees skip or take shortcuts on essential compliance steps. This is not (usually) because they have any malicious intentions.

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