

BEST PRACTICES FOR A COMPLIANCE EDUCATION PROGRAM

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THE IMPORTANCE OF A COMPLIANCE EDUCATION PROGRAM

- Establishes/reinforces the foundation of a culture of compliance
- A strong program has the ability to mitigate enforcement actions by regulators
- Provides awareness of corporate policy and ties in with compliance-related regulations
- One of the 10 hallmarks of an effective compliance program according to DoJ and SEC
- Builds overall compliance program credibility and awareness

WHAT IS NEEDED TO DESIGN, IMPLEMENT AND MANAGE AN EFFECTIVE PROGRAM?

STRONG TONE AT THE TOP

- include completion goals on top executive scorecards
- engage in ongoing conversations with leaders about the program
- ensure consistent communications from leadership to all employees

SUPPORTING TONE AT THE MIDDLE

- discussion-based program that can be included in pre-standing meetings
- manager can have the power to select scenarios applicable to their employees
- equip managers with all necessary materials

PROPER PLANNING AND STRATEGY

- understand and address cultural roadblocks
- needs assessment
- enterprise risk assessments
- audit, investigation, and compliance hotline findings

WHAT IS NEEDED TO DESIGN, IMPLEMENT AND MANAGE AN EFFECTIVE PROGRAM?

TRAINING ALL ASPECTS OF YOUR PROGRAM

- code of conduct
- anti-corruption, including third parties
- interactions with government officials and members of the healthcare community

CENTRALIZED REPORTING

- dashboards by region/area of responsibility
- program completion monitoring

GLOBAL NETWORK OF SUPPORT

- HR, legal and compliance champions
- business stakeholders

HOW CAN YOU ENSURE YOUR COMPLIANCE EDUCATION PROGRAM IS RELEVANT AND SUSTAINABLE?

Continual feedback and implement program improvements

- polling/pulse employee surveys
- focus groups

Total population receives relevant training through audience identification

- online employees
- "offline" employees

Develop supporting materials/programs for all levels of the organization

- "living" FAQs
- quick reference guides
- compliance "help desk"

Employee engagement efforts

- contests
- mobile app
- marketing materials/articles
- roadshows/live trainings
- communication campaigns

WHAT CAN A SUCCESSFUL PROGRAM BRING TO YOUR COMPANY?

- A key component in overall risk mitigation
- Assurance that employees and third parties understand your company's policies and stance on corruption
- Legal defensibility
- Continual support of a culture of compliance

STAY IN TOUCH



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THANK YOU