

CODE OF CONDUCT & POLICIES



design



WHAT YOU'RE UP AGAINST

A required component of a successful compliance program in the eyes of the DOJ, SEC and other enforcement agencies is a “clear, concise and accessible” Code of Conduct that companies actively work to keep “current and effective.”

Your Code of Conduct sets the tone for your entire compliance program, and often outlines the standards of the organization as a whole. It likely contains many of your key policies, serves as an example of “tone at the top” and outlines your compliance procedures.

A weak Code of Conduct, or one that is inconsistently enforced or not extended to third party affiliations, can lead to subpar compliance programs and result in enforcement action and reputational damage.

YOUR GOAL

As the backbone of your entire compliance program, your Code of Conduct should be well thought out, executed and successfully and consistently distributed to all your employees and third party vendors.

A successful Code reflects your company's ethics and standards, is clear and easy to read, localized so that all employees understand its meaning, not too long, explains the reasoning behind policies instead of laying out blanket rules and corresponds to attestation tracking, related training courses and hotline reports and investigations. In short, it's the living document that embodies your entire company. As such, it should be regularly assessed and improved.

WHY IT'S HARD

Distributing a company-wide document can be challenging for some organizations and once it's out, it could be hard to track related actions. Other companies fail to extend their Code to third party vendors and suppliers (something that is expected by oversight agencies).

Companies too often adopt a "set it and forget it" mentality when it comes to their Codes of Conduct, forgetting that a vital aspect of compliance program effectiveness is monitoring and improvement.

Tracking and monitoring where your Code goes, how employees interact with it, how consistently it's enforced and where its weaknesses are is no small undertaking but crucially important.



HOW CONVERCENT HELPS

Give your Code of Conduct a home where it can live and breath, not a stuffy filing cabinet drawer. Convercent's integrated software serves as a central hub for compliance professionals to distribute, track, monitor and update their Code of Conduct and other policies.

Send your policies to your entire staff or target individual employees, departments, locations or custom teams. See not only attestation rates but who still needs to attest to which policies. For more in depth insight, attach specific policies to training courses or hotline reports and case investigations to better understand policy comprehension and effectiveness. Then, when it's time to create your annual reports, get all the most important information with just a few clicks instead of digging through mountains of spreadsheets and a barrage of software systems.



Convercent's risk-based global compliance solution enables the design, implementation and measurement of an effective compliance program. Delivering an intuitive user experience with actionable executive reporting, Convercent integrates the management of corporate compliance risks, cases, disclosures, training and policies. With hundreds of customers in more than 130 countries—including Philip Morris International, CH2M Hill and Under Armour—Convercent's award-winning GRC solution safeguards the financial and reputational health of your company. Backed by Azure Capital, Sapphire Ventures (formerly SAP Ventures), Mantucket Capital and Rho Capital Partners, and based in Denver, Colorado, Convercent will revolutionize your company's compliance program.

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