

Compliance Today – July 2019 Investigation and enforcement

By Frank Ruelas

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It is important that new employees understand that three of the key activities of a compliance program are that it provides a means to prevent, detect, and resolve noncompliant behavior. To accomplish this, the organization conducts investigations in response to identified issues that may have been reported or from the results of auditing and monitoring activities. Following an investigation, actions are often taken through an enforcement activity to address the identified noncompliance activity. For these reasons, new employees must realize what their roles are during an investigation, as well as what is expected of them if they are involved in an enforcement activity.

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