2016 Compliance and Ethics Program Objectives Survey

*Society of Corporate Compliance and Ethics and the Health Care Compliance Association*

September 2016

**OBJECTIVE:**
The survey was conducted in order to examine the effectiveness of compliance programs at preventing problems.

**METHODS USED:**
Survey responses were collected during the second quarter of 2016 from compliance and ethics professionals in the database of the Heath Care Compliance Association and the Society of Corporate Compliance and Ethics. Responses were collected and analyzed using a web-based third-party solution.

**EXECUTIVE SUMMARY:**
The data reveals there’s a substantial gap between what the compliance officers think the objectives of the program are and what the managers think the objectives are. Disturbingly, managers see compliance as a tool for meeting external requirements.

**KEY FINDINGS:**
- Promoting an ethical culture was cited as the primary objective of an ethics and compliance program by just under half (49.5%) of respondents.
- The compliance professionals surveyed believed that their management had a very different perspective on the objectives of a compliance program.
- When asked what do you think the board sees as the primary objective of the ethics and compliance program, the answers were much more mixed.

**CONCLUSION:**
- What may be a bit surprising is the number of compliance and ethics professionals who see the primary objective as promoting an ethical culture.
- It is disturbing that compliance and ethics professionals see themselves, their managers and boards having different primary goals for their compliance program.
- Likewise it is troubling that management is seen as viewing compliance primarily to meet external requirements.
- The results suggest that there is much compliance professionals should do to ensure consistency in expectations for the compliance program.

*Full Report*