
2021–22 ENTERPRISE COMPLIANCE PLAN



RISK MANAGEMENT

OBJECTIVE

Identify, assess, and prioritize Enterprise-wide compliance and ethics risks.

Initiative 1

Mitigate Strategic Compliance-Risk Exposure

2021–22 Deliverable

- Continue to develop and enhance standardized processes for Third-Party Risk Management to support risk-informed decision making
- Strengthen tools for program areas to identify and escalate compliance and ethics risks, including fraud prevention

OBJECTIVE

Segment employees for training and determine the appropriate requirements for each area.

Initiative 2

Identify and mitigate potential Conflicts of Interest risk

2021–22 Deliverables

- Mature tools and guidelines to strengthen conflict of interest oversight
- Provide conflict of interest education and communication

OBJECTIVE

Promote the Code of Conduct across the enterprise.

Initiative 3

Enhance Culture of Compliance

2021–22 Deliverables

- Advance a culture of ethics and integrity that incorporates a virtual work environment
- Promote Code of Conduct by developing easy to understand guidance and learning aids

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OBJECTIVE

Leverage existing technology where applicable, identify best practices, and provide recommendations.

Initiative 4

Assess Management of Compliance Data & Automation

2021–22 Deliverables

- Evaluate technology solution to strengthen the compliance control environment
- Identify technology to track key legal and regulatory requirements