

Organizational Leadership, Culture, and Governance

Demonstrate a compelling “tone from the top” by instituting effective organizational vision, structure, oversight, communication, and governance.



Standards and Procedures

Establish standards and procedures, policies, and guidelines to promote operational excellence through ethical behavior. Encourage commitment to the University’s Code of Conduct and other University standards and unit guidelines for performance and conduct.



Right People, Right Roles

Hire and empower exceptional personnel. Grant and monitor appropriate authority to enable effective support of our mission. Promote recognition for exceptional work and ensure decision-making authorities are informed and knowledgeable about operations.



Stanford’s Seven Elements of Ethics and Compliance Excellence

Education and Awareness

Communicate expectations of high ethical standards and adherence to policies, procedures, and other aspects of ethics and compliance. Provide training and education consistently, effectively and in a practical manner as appropriate to an individual’s role and responsibilities.



Response and Prevention

Respond appropriately to noncompliant acts to prevent further instances. Make any necessary improvements to reduce the risk of future noncompliance and perform outreach to re-align organizational culture.



Consistent Enforcement of Standards and Discipline

Promote and consistently enforce standards and discipline throughout the organization. Establish a response to detected offenses and implement corrective action plans. Uniformly enforce standards through appropriate discipline to prevent similar conduct.



Program Evaluation and Guidance

Monitor and audit periodically to detect unusual results or noncompliant conduct. Establish and promote avenues for individuals to seek guidance or report potential noncompliant conduct without fear of retaliation.

