



# ELEMENTS OF AN EFFECTIVE ETHICS PROGRAM POLICIES & PROCEDURES

## WHAT ARE POLICIES & PROCEDURES?

Company policies, which are generally based on laws, regulations and/or contractual obligations, outline how the company addresses a particular risk. Procedures guide employees on how to comply with policies and adhere to best practices.

## WHY HAVE POLICIES & PROCEDURES?

- ✓ Comply with laws, regulations, contractual obligations, etc.
- ✓ Mitigate risk by setting clear expectations for employees
- ✓ Reduce variation in approaches to common situations or tasks

## OTHER RESOURCES

**DII Small Business Toolkit:**  
[www.dii.org/featured-tools](http://www.dii.org/featured-tools)  
**Lockheed Martin Anti-Corruption Policies:** [www.lockheedmartin.com/en-us/who-we-are/ethics/anti-corruption.html](http://www.lockheedmartin.com/en-us/who-we-are/ethics/anti-corruption.html)  
**Lockheed Martin ESH Policy Summary:** [www.lockheedmartin.com/en-us/who-we-are/eesh.html](http://www.lockheedmartin.com/en-us/who-we-are/eesh.html)



### TAKE INVENTORY OF POLICIES

Review your existing policies and procedures, even those not yet in writing. Considering the ethics and compliance risks to your business, identify any gaps in coverage.



### START WITH TEMPLATES

Download the template policies from the DII Small Business Toolkit. Alternatively, check your customers' websites for any guidance or resources they may provide.



### CUSTOMIZE TEMPLATES

Edit the content of the templates so they reflect how your company actually operates. Adjust the policies' format to fit your internal style and update as needed.



### FOLLOW AND COMMUNICATE

Train and communicate with employees to ensure they understand the policies and procedures that apply to them, and why, when and how to ask a question or report an issue.