

# Institutional Oversight Model

## ENFORCEMENT

Corrective Action



Discipline

### FUNCTIONS

Monitors  
Discovers  
Investigates  
Remedies  
Reports

## OVERSIGHT

### TOOLS

Internal Controls  
Audits  
Education  
Information  
Electronic Systems



## OPERATIONS

### POLICIES

Code of Conduct  
Finance  
Conflict of Interest  
Etc

### PROCEDURES

Roles & Responsibilities  
Education  
Certification  
Etc

### WORK PROCESSES

Human Resources  
Purchasing  
Financial  
Etc

