



Tuesday, September 21

Tracks: Human Resources ▶ Metrics ▶ Policies & Procedures ▶ Global ▶ Advanced ▶

#1 Effective Investigation: The Proper Response to Allegations of Unethical Conduct in the Workplace | all-day (9 AM - 4 PM) ▶

Katherine C. Franklin, Shareholder, Littler Mendelson; Kevin O'Neill, Senior Counsel, Littler Learning Group, Littler Mendelson; Nick Linn, Of Counsel, Littler Mendelson; Margaret Hart Edwards, Shareholder, Littler Mendelson; and Gavin Appleby, Shareholder, Littler Mendelson

Internal investigations of corporate ethics violations have never been more critical. A flawed response can result in catastrophic liability, irreparable damage to an organization's goodwill and career destruction. An effective response can greatly reduce the risk of liability exposure and sound investigation practices can significantly minimize penalties and criminal sanctions.

This multimedia presentation will highlight the essential ingredients of an effective ethics investigation. "Real life" compliance challenges that arise during an ethics investigation will be depicted, while a panel of legal and subject matter experts will discuss best practices that can withstand scrutiny in subsequent litigation.

#2 Civil Treatment for Managers | all-day (9 AM - 4 PM) ▶

Tucker Miller, Regional Director, ELI, Inc.

Civil Treatment for Managers (CTM) uses an interactive and experiential learning format with a modular lesson design. In addition to its realistic videos and skills-building exercises, CTM features simulated legal cases with participants acting as jurors. The session also teaches concrete behavioral guidelines that produce tangible results in the workplace. CTM covers a range of issues addressed within two primary themes: workplace environment and business decisions. Topics include sexual and other forms of harassment, national origin issues, discrimination, retaliation/protected protest, abusive behavior, employee accommodations (ADA, FMLA, religious), unjust dismissal, and more.

#3 Transitioning from Face-to-Face Training to Episodic Videos: The Power of Story To Engage Your Audience and Cause Them To Remember | half-day (9 AM - 12 PM) ▶

Stephanie N. Jenkins, Ethics & Compliance Program Manager, Premier Inc.; Marc Havener, Principal / Creative Producer, Resonate Pictures; and Bryan Belknap, Producer / Screenwriter, Resonate Pictures

Discover why and how the Premier healthcare alliance ethics training program has morphed to fit a growing company and transforming culture. Attendees will take away practical tools and ideas for developing their own fun and engaging ethics training program that includes thought-provoking classroom training, interactive educational games, and episodic e-learning videos.

The second-half of the session will involve watching scenes from cutting-edge training films, followed by attendees writing and filming an original ethics scenario that will be made available online to watch afterwards. Guest speakers will include an award-winning filmmaker and a Hollywood screenwriter who will provide attendees with techniques for unearthing their organization's story, developing realistic characters, creating and shooting a script that resonates with their employees while remaining within their time frame and budget.

#4 Developing a Strong Ethics Message Using a Branding Strategy | half-day (9 AM - 12 PM)

Chris Collin, Senior Ethics & Compliance Manager, General Mills, Inc.; and Bob Holland, Vice President Ethics and Compliance - Prevention, Colgate-Palmolive

Consider your last grocery store experience. Did you choose store brands or nationally known brands? What made you distinguish between them?

Strong brands create consumer loyalty because consumers identify personally with the brand. Marketers strive to create strong brands so consumers choose their product over others. Marketing strategies target key consumers to build loyalty and keep the brand relevant. This interactive session explores how to leverage marketing strategies to engage employees in your Ethics & Compliance messaging and embed it into your corporate culture. We will discuss ways to:

- leverage your organizational culture;
- identify a target market;
- create messages that speak to your target market; and
- use branding to embed ethical decision-making and behavior within the company.

Please come with examples of your own messaging and be prepared to share and learn on how marketing strategy can be put to use for your program goals.

#5 APEX Certification Orientation | half-day (9 AM - 12 PM) ▶

(Open only to APEX candidates)

Bob Olson, Director, Member Services and Education, Ethics & Compliance Officer Association

The ECOA Foundation is proud to announce the launch of the Advanced Practitioner in Ethics & Compliance Certification (APEX). Only those persons who have already contacted the ECOA to register for the First APEX Cohort—which begins the week of September 27—can register for this orientation.

This voluntary orientation affords First APEX Cohort participants their only opportunity to get to know their classmates, and faculty, face-to-face. During the session, candidates will benefit from a detailed overview of the entire certification process, review the NYU-SCPS distance-learning software and the basics of interacting online, and then share their goals and expectations of the one-year program. Last, but surely not least, the session will discuss the importance of this new, groundbreaking certification in the context of the ethics and compliance field.

#6 Strategic Management of Social Issues | half-day (1 - 4 PM) ▶

Prakash Sethi, Founder and CEO, Sethi International Center for Corporate Accountability, Inc.

An important dimension of organizational accountability, social issues are rapidly becoming part of the day-to-day challenges for ethics and compliance executives. They are generally associated with an organization's core business activities and result from the social consequences—especially unintended and/or negative ones—of the organization's business activities. They represent a broader perspective on social responsibility, which frequently deals with the more limited activities of corporate citizenship and philanthropy.

This first module in the Sethi International Center for Corporate Accountability's (SICCA's) Advanced Management Program in Corporate Social Responsibility and Sustainability, "Strategic Management of Social Issues" focuses on the analysis of social issues within the framework of issue life-cycle and its links to corporate response patterns. Its objective is to assist managers in assigning priorities to various social issues and matching them to specific response patterns based on the intensity and frequency of an issue's occurrence and the potential cost-risk to the organization when a response is inadequate or inappropriate. The session uses many real examples and promises to prepare attendees to meet the challenges of societal expectations.

Attendance to this special seminar is limited to 25 persons.

#7 Managing the Risks of Social Networking: Policy, Privacy, and Security | half-day (1 - 4 PM) ▶

Lori Driscoll, Strategy and Operations Director, PricewaterhouseCoopers LLP; Hugo Teufel, Risk and Compliance Director, PricewaterhouseCoopers LLP; and Sien Mittiga, Compliance Manager, BD

Social networking is transforming how companies engage and empower consumers, employees, and stakeholders. As companies deploy social networking strategies, new risks ranging from brand and reputational risk, protection of intellectual property, and privacy and information security combine to make venturing into social networking a risky proposition. Organizations can leverage the opportunities of this new medium by carefully considering their strategy, policies, employee awareness, brand issues, and potential crisis management response strategies before implementing a social networking strategy.

This workshop will explore potential risks, as well as new avenues for value creation, associated with the rise of social networking including understanding how organizations are addressing:

- The rise of social networking in their employee policies
- Workplace access and use of social networking sites
- Use of social networking sites outside of the company network when employees are still representing the company
- Potential ethical ramifications of social networking mistakes/misfires
- Working across functions (Internal Audit, CIO/IT, Legal, Marketing) to address risks around customer information protection, data loss, etc.

#8 Maintaining Success: Professionalism and the Role of the Ethics & Compliance Officer | half-day (1 - 4 PM) ▶

Joan Elise Dubinsky, Director, United Nations Ethics Office

Whether you are new to the field of ethics and compliance or have many years of professional experience, you may be wondering what success really looks like in our field. This session will help you find answers. Attendees will have an opportunity to identify some of the personal challenges ethics and compliance officers face, as well as learn some of the key skills needed to survive and thrive in the field. Topics to be discussed include: career-shaping events and experiences; what it means to be an ethics & compliance officer; defining the contours of your role; speaking truth to power; key interpersonal skills for success; and taking charge of your career.

Register online at www.theecoa.org
or call +1-781-647-9333