Managing Ethics in Organizations

June 8 – 12, 2015
Bentley University

Co-sponsored by

SYLLABUS

Schedule, Session Descriptions, and Pre-reading Assignments

The objective of this course is to provide foundational knowledge and skills development that will enhance participants' abilities to successfully perform as ethics and compliance officers or other members of the ethics team. It is an intensive course taught by academicians, professional service providers, and experienced ethics officers. All participants are strongly encouraged to read as much as possible of the material sent electronically in advance.
Monday, June 8, 2015

8:30 a.m. Program Welcome and Opening

Robert McNulty
Director of Programs
Center for Business Ethics at Bentley University

Rebecca Rehm
Director, Member Services & Certification
Ethics & Compliance Initiative

9:00 a.m. Building Partnerships to Establish and Grow an Effective Ethics Office

Whether your office has existed for years or you’re at the inception of the process, this session provides invaluable insights on ways to build and grow strategic partnerships in order to have an effective ethics and compliance program.

Gretchen A. Winter, J.D.
Executive Director
Center for Professional Responsibility in Business and Society
College of Business, University of Illinois at Urbana-Champaign

Optional Recommended reading assignment:

Optional reading assignments (please choose one to read):
- “Global Ethics and Integrity Benchmarks,” Joan Elise Dubinsky and Alan Richter, 2015.

10:30 a.m. Break

10:45 a.m. Building Partnerships to Establish an Effective Ethics Office – continued

12:00 p.m. Lunch

12:45 p.m. The State of Ethics & Compliance

Since 1991, when the U.S. sentencing guidelines emerged, the ethics and compliance profession has grown dramatically. So, too, have the issues and challenges. This session will take an historical perspective on the field, and point to emerging risks ahead.

Keith T. Darcy
President
Darcy Partners, Inc.
Recommended reading assignment:

2:00 p.m.  Break

2:15 p.m.  Ethics and Compliance Risk Assessments
In-depth and comprehensive risk assessments are an important part of an effective and customized ethics and compliance program. Understanding a company’s strengths and vulnerabilities is essential to assuring that the program adds real value, both to management and to governance, especially during the current economic challenges. This session will lead participants through a process for conducting effective risk assessments, as well as how to best leverage the information to assist leadership.

*Jeffrey Oak, Ph.D.*
Executive Fellow, CBE
Senior Vice President, Corporate Responsibility Officer
Bon Secours Health System, Inc.

Recommended reading assignment:

3:00 p.m.  Break

3:45 p.m.  Helplines and Preventing Retaliation
Every organization needs a secure and reliable helpline. This session will examine the issues and challenges surrounding helpline management, from reporting metrics to preventing retaliation for whistleblowers. Topics covered include confidentiality and reporting, internal helpline promotion, interpreting and reporting data, case management, and the difficult challenge of minimizing the risk of retaliation.

*Tim C. Mazur*
Bill Daniels Professor of Business Ethics
University of Wyoming

Recommended reading assignment:

5:00 p.m.  End of daily sessions

5:30 p.m.  Reception at Bentley University – Just a short walk from the classroom, join us for wine, light dinner, and great conversation at Bentley’s LaCava Center (Rm 325 ABC).
Tuesday, June 9, 2015

8:30 a.m. **Ethics Principles: Searching for the Moral Point of View**
This session will introduce participants to the theoretical principles underlying business ethics and how to achieve an ethical balance in organizations. Professor Hoffman will contrast ethical relativism and ethical absolutism and discuss consequentialism and non-consequentialism theories. Lastly, participants will explore how to apply these ethical principles and positions to ethical decision making in organizational contexts.

**W. Michael Hoffman, Ph.D.**
Executive Director, Center for Business Ethics, and
Hieken Professor of Business and Professional Ethics
Bentley University

*Required reading assignment:*

9:30 a.m. **Break**

9:45 a.m. **Ethics Principles: Searching for the Moral Point of View – continued**

10:15 a.m. **Two Ethical Styles: An Interactive Exercise**
When you integrate ethics into your business decisions, are you more principle-oriented or people-oriented? Which orientation prevails in your organization’s culture? Tom White, a leading scholar in the field of applied ethics, has developed a valuable tool for distinguishing between these two styles of decision-making. Participants will learn how to apply knowledge of the styles in their own organizations.

**Thomas I. White, Ph.D.**
Conrad N. Hilton Professor of Business Ethics
College of Business Administration, Loyola Marymount University

11:15 a.m. **Case Studies Session**

12:00 p.m. **Lunch**

1:15 p.m. **Ethics and the Law**
Law impacts the ethics and compliance field in many ways. This session introduces participants to the principal legal foundations for ethics and compliance programs, approaches to assessing and mitigating risks of violations of law, and how to avoid legal pitfalls in program management.

**William Wise**
Senior Counsel
Holland & Knight, L.L.P.
2:45 p.m.  Break

3:00 p.m.  **Effective E&C Communication & Training**
An organization's Code of Ethics is the foundation and the most important tool for communicating standards. Training programs to implement these standards must be designed to engage the audience and change behaviors. Topics discussed will include code design and development, communication channels, online and face-to-face training strategies, and what to consider when designing communication and training for a global workforce.

*Lisa Stewart Hughes*
*Vice President, Compliance*
*NBCUniversal/Telemundo*

5:00 p.m.  *End of daily sessions*
Wednesday, June 10, 2015

8:30 a.m.  “Managing” to Be Ethical: Understanding What Drives Employee Ethical Behavior
Participants will develop knowledge and skills needed to understand what drives employees’ ethical, and unethical, behavior. The session includes case studies, presentation of the latest academic research, and examination of behavioral models and scenarios. Discussion will address how behavior can be influenced in positive and negative ways by leaders, groups, and other aspects of the organizational system.

Linda K. Treviño, Ph.D.
Distinguished Professor of Organizational Behavior and Ethics
Department of Management and Organization
Smeal College of Business
The Pennsylvania State University

Required reading assignment:
• “Case: Pinto Fires”, 1995. Dennis A. Gioia. (Note: required reading)

Optional reading assignment:

10:30 a.m.  Break

10:45 a.m.  “Managing” to Be Ethical – continued

1:00 p.m.  Lunch with the ECI staff

2:00 p.m.  The Importance of Leadership: Insights from Research
Many practitioners emphasize that “tone at the top” is essential for an ethics and compliance program to work. But does it really matter? The Ethics Research Center (ERC), now part of the Ethics & Compliance Initiative, has many years of experience doing benchmarking and research in this area. Learn what the research shows, and also what metrics and benchmarks are available through the ECI.

Patricia Harned, Ph.D.
Chief Executive Officer
Ethics & Compliance Initiative

3:00 p.m.  Break
3:15 pm.  **Implementing Ethics & Compliance at the Global Level / CSR**  
This session will confront and explore the issues, problems, and trends that ethics officers in a global corporation encounter on a daily basis. Examples of how multi-national companies have dealt with ethics and globalization will be shared, and participants will leave with a better understanding of how to address global ethics and compliance program structure and operation in their own organizations.

**Joan Elise Dubinsky**  
Director, Ethics Office, and Chief Ethics Officer  
United Nations

5:00 p.m.  **End of daily sessions**

5:30 p.m.  **Dinner at Dr. Hoffman’s home** – transportation provided to 20 Richfield Road, Newton.
Thursday, June 11, 2015

8:30 a.m.  **Directors, Boards, and Ethics**
This session will take an in-depth look at the role of the board in an organization and the relationship between the directors and the ethics and compliance officer (ECO). In addition to an examination of the roles and responsibilities from both a legal and ethical perspective, the session will involve discussion of director activities, ECO access to and communication with the board, and creating and presenting regular E&C reports for the board. Attendees can share what types of information they present to their board in addition to questions they’d like answered.

*Alison Taunton-Rigby, Ph.D., OBE*
Advisory Board, CBE  
Director and Trustee  
Healthcare, Life Sciences and Financial Services

Optional reading assignment:

9:45 a.m.  **Speed Sharing**
Share your ethics & compliance program successes and challenges in this round table setting. Meet your fellow attendees and learn what they feel most proud of as well as their key challenges and ambitions going forward. Using a bell every 10 minutes and pre-set questions, this will be a fun and engaging way of exchanging ideas.

*Rebecca Rehm*
Director, Member Services & Certification  
Ethics & Compliance Initiative

10:15 a.m.  **Break**

10:30 a.m.  **Conducting Internal Investigations**
Most organizations utilize internal investigations as part of their ethics and compliance process, whether the investigators are located in the ethics group or elsewhere. A strong and independent internal investigation process is a crucial component of an effective E&C program. This session addresses key fundamentals of managing an investigation process, the importance of independence and diligence when conducting internal investigations, and the necessity of avoiding common pitfalls.

*Donald K. Stern, Esq.*
Executive Fellow, CBE  
Managing Director, Corporate Monitoring and Consulting Services  
Affiliated Monitors, Inc.

12:00 p.m.  **Lunch**
Building an Ethical Culture - How to Keep Good People from Doing Bad Things
How do you keep good people from doing bad things? Accomplishing this is not always simple. This session will discuss how culture is defined and how it affects employee behavior. It will also address the role leadership must play in building a sustainable ethical culture and how the ethics and compliance officer helps achieve this goal.

David Gebler
Executive Fellow, CBE
Founder / President
Skout Group LLC

Recommended Reading Assignment:

Global Anti-Corruption Standards and Law/Ethics Disparities
This session will refer to global rules and guidelines against bribery and corruption put forth by organizations such as the UN and the OECD. Practice reveals problematic implementation of these standards that affect corporations and societies. Attendees will discuss challenging business scenarios and work together to propose solutions, leading to a group discussion of how to make the right decisions, when what is legal and what is right do not align.

Nikos Passas
Professor, School of Criminology and Criminal Justice
Co-Director of Institute for Security and Public Policy
Northeastern University

Exam Preparation (optional)

End of daily sessions
Friday, June 12, 2015

8:30 a.m.  **Measuring Program Effectiveness**  
This interactive session focuses on methods of measuring the effectiveness of ethics and compliance programs. Discussion topics include tools and reports for program development and evaluation. In addition, current research and best practices will be shared to help identify the ideal measurement tool for individual organizations.

**Carrie S. Penman**  
Executive Fellow, CBE  
Chief Compliance Officer and Senior Vice President, Advisory Services  
NAVEX Global

9:45 a.m.  Break

10:00 a.m.  **Giving Voice to Values**  
*Giving Voice to Values* (GVV) is a cross-disciplinary business curriculum and action-oriented pedagogical approach for developing the skills, knowledge and commitment required to implement values-based leadership. The GVV curriculum focuses on ethical implementation and asks the question: What would I say and do if I were going to act on my values? Drawing on the actual experiences of managers as well as multi-disciplinary research, GVV helps employees identify the many ways to voice their values in the workplace. It provides the opportunity to script and practice in front of peers, equipping future business leaders not only to know what is right, but how to make it happen.

**Mary Gentile, Ph.D.**  
Director, Giving Voice to Values  
Senior Research Scholar, Babson College

11:00 a.m.  **What They Don’t Tell You about Being an E&C Officer**  
Moderated by Dr. W. Michael Hoffman, this panel of seasoned ethics and compliance officers, all of whom are executive fellows of the Center for Business Ethics, will share what they wished they knew when they first joined the E&C functions in their organizations. They will also take questions from participants after lunch.

CBE Executive Fellows:

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<tr>
<th><strong>Francis J. Daly</strong></th>
<th><strong>Barbara “Bobby” Kipp</strong></th>
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<tr>
<td>Former Chair</td>
<td>Partner - Governance, Risk &amp; Compliance</td>
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<td>ECOA Board of Directors (now part of the ECI)</td>
<td>Advisory Services</td>
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<th><strong>Patrick J. Gnazzo</strong></th>
<th><strong>Carrie Penman</strong></th>
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<td>Principal</td>
<td>Chief Compliance Officer and Sr. VP</td>
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<td>Better Business Practices, LLC</td>
<td>NAVEX Global</td>
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12:00 p.m.  Lunch – Certificates awarded
12:30 p.m.  Unanswered Questions

1:00 p.m.  Course ends

1:15 p.m.  Certification Exam (optional)
Leading Professional in Ethics & Compliance (LPEC) certification exam (separate registration and fee required)

3:15 p.m.  Exam ends