MANAGING ETHICS IN ORGANIZATIONS

June 9 – 13, 2014
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 9, 2014**

8:30 a.m.  *Program Welcome and Opening*

*Mary Chiasson*
Senior Associate Director  
*Center for Business Ethics at Bentley University*

*Rebecca Rehm*
Associate Director, Member Services & Education  
*Ethics & Compliance Officer Association*

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*

**Required reading assignment:**

**Optional reading assignment (please choose one to read):**

10:30 a.m.  *Break*

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

12:00 p.m.  *Lunch*

1:00 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*
Senior Advisor  
*Deloitte & Touche, LLP*
Required reading assignment:
- “Ethics and Compliance Programs: Moving from ‘Good Enough’ to ‘Great’,” CFO Journal, May 13, 2014, Keith Darcy and George Hanley

Optional reading assignment:

2:00 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.

Required reading assignment:

3:15 p.m. Break

3:30 p.m. 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
President
Skout Group LLC

Required Reading Assignment:

5:00 p.m. End of daily sessions

6:00 p.m. Reception at the Embassy Suites Boston/Waltham – transportation provided
Join us for wine, light dinner, and great conversation in The Grille at Hobbs Brook!
Tuesday, June 10, 2014

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
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

1:00 p.m.  Effective Ethics and Compliance Training
This session takes participants through the fundamentals and nuances of designing and implementing an effective and results-oriented ethics and compliance training program. Topics discussed will include: how to incorporate both on-line and face-to-face training strategies; delivering effective training to the board of directors, senior leadership, and management; and what to consider when designing training for a global workforce.

Joel Katz
Chief Ethics & Compliance Officer
CA, Inc.
2:00 p.m.  Break

2:15 p.m.  Maintaining the Integrity of Internal Investigations: Fiesta Bowl Case Study
In 2011, Chris Madel led an internal investigation after top executives at the Fiesta Bowl, the host of one of the nation’s pre-eminent college football games, were accused of funneling campaign contributions to local politicians, flying other Arizona elected officials around the country at the bowl’s expense, and racking up thousands of dollars in exorbitant gifts and entertainment, all while pressuring employees to lie about the practices. In this session, Chris will focus on the importance of independence and diligence when conducting internal investigations, and the necessity of avoiding common temptations inherent in the process.

Christopher W. Madel  
Partner  
Robins, Kaplan, Miller & Ciresi L.L.P.

3:15 p.m.  Break

3:30 p.m.  Implementing Ethics and Compliance at a Global Level
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.

Lori Tansey  
President  
International Business Ethics Institute

5:00 p.m.  End of daily sessions
Wednesday, June 11, 2014

8:30 a.m.  Review/Preview

Rebecca Rehm  
Associate Director, Member Services & Education  
Ethics & Compliance Officer Association

9:00 a.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.

Jeffrey M. Kaplan  
Partner  
Kaplan & Walker LLP

Required reading assignment:

10:30 a.m.  Break

10:45 a.m.  Communications and Codes of Ethics
An organization’s Code of Ethics is the foundation and the most important tool for communicating standards. Quality code design and development captures the values of an organization and truly serves as a resource to employees. When communicating values, many factors need to be taken into account to deliver a consistent message, including the full range of potential stakeholders. In an interactive discussion, participants will look at a number of example codes, and learn best practices to help implement a strong and effective communication program.

Michael Stephens  
Retired Senior Director  
Merck & Co., Inc.

12:00 p.m.  Attendee lunch at the ECOA – transportation provided
Bentley Graduate students: working lunch in AAC141
1:45 p.m.  **Helplines, Investigations, 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 conducting investigations. Topics covered include confidentiality and reporting, internal helpline promotion, interpreting and reporting data, case management, internal investigations and the difficult challenge of minimizing the risk of retaliation.

*Tim C. Mazur*
Chief Operating Officer
Ethics & Compliance Officer Association

**Required reading assignment:**

**Optional reading assignment:**

3:00 p.m.  **Break and Group Photo**

3:30 p.m.  **Helplines, Investigations, and Preventing Retaliations – continued**

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

5:30 p.m.  **Dinner at Il Capriccio Ristorante e Bar – transportation provided**
Thursday, June 11, 2014

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:

10:30 a.m.  Break

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

1:00 p.m.  Lunch

2:00 p.m.  Corporate Social Responsibility
This session will provide an overview of trends in Corporate Social Responsibility (CSR) and describe how companies are creating real business value through CSR strategies. This interactive session will also explore the inter-relationships between ethics and CSR and what every ethics officer should know about managing CSR.

Angeli Weller
Director, Responsible Business Initiative
Boise State University

Optional reading assignments:
• “Premise of Creating ‘Shared Value’ Risks Misleading MBA Students,” Financial Times, April 20, 2014, Andrew Crane,

3:30 p.m.  Break
4:00 p.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*
*Director and Trustee*
*Healthcare, Life Sciences and Financial Services*

**Required reading assignment:**

5:00 p.m.  *End of daily sessions*
Friday, June 13, 2014

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*
*President, Ethical Leadership Group*
*NAVEX Global*

9:45 a.m.  **Break**

10:00 a.m.  **Ethics & Compliance Leadership**  
Robert Holmes discusses how leaders affect culture and explores the dynamic relationship between strong leadership and the creation of a permanent culture of integrity. Holmes will share his extensive insight, expertise, and experience.

*Robert Holmes, Jr.*
*Former Senior Vice President, Ethics & Business Practices, Alabama Power*
*Former Chairman, Board of Directors, ECOA*

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:*

*Patrick J. Gnazzo*
*Principal*
*Better Business Practices LLC*

*Barbara “Bobby” Kipp*
*Partner - Governance, Risk & Compliance Advisory Services*
*PwC*

*Leon Goldman*
*Chief Privacy Officer and Advisor*
*Kyruus, Inc.*

*Carrie Penman*
*President, Ethical Leadership Group*
*Navex Global*

12:00 p.m.  **Lunch – Certificates awarded**

12:30 p.m.  **Unanswered Questions**

1:00 p.m.  **Optional LPEC Exam** (separate registration and fee required)