

SCCE Compliance and Ethics Institute
October 22, 2018

Advanced Discussion Group (AD1)

**Retaliation: Real or Imagined? What Are
You Doing to Address Employee Concerns
in Your Organization?**

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This Session uses polling

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Advanced Discussion Group

- Purpose:
 - > To bring compliance professionals together to share ideas and best practices.
 - > Increase communication among the group participants.
 - > Learn from each other's knowledge and experience.
 - > To meet colleagues and make new friends.
 - > To have fun!

Session Objective

Explore and discuss aspects of participants methodologies and experiences dealing with retaliation in the workplace.

- Education for employees and supervisors to help them recognize, prevent and correct retaliatory behavior.
- Education for recipients of reports of misconduct.
- Providing assurances to reporters of misconduct.
- Feedback to supervisors and managers.
- Communicating Lessons Learned to others.
- CECO Role in Corrective and Disciplinary Actions.
- Other related topics, time permitting.

What is Your Principal Area of Responsibility?

- Ethics & Compliance
- Human Resources
- Legal
- Internal Audit
- Accounting & Finance
- Other

How long have you been a Compliance and Ethics Professional?

- Less than 1 year.
- 1 to 3 years.
- 4 to 5 years.
- 6 to 10 years.
- It seems like forever!

Who do you report to functionally?

Board

CEO or President

CFO

VP, Human Resources

General Counsel

Other

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Which best describes your Company's Methodology for Engaging Supervisors & Managers in E&C?

Very comprehensive program of supervisor onboarding, regular education/training and ongoing communications from the CEO to all supervisors and managers.

Targeted classroom training for new supervisors and annual refresher training for supervisors and managers.

Periodic online training modules targeted specifically to supervisors and managers.

They get the same level of education and training that all employees get.

What methodology?

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According to the 2017 Ethisphere Ethics Survey what % of employees surveyed said they were aware of their company's anonymous hotlines for reporting misconduct?

55%

68%

82%

94%

100%

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Do supervisors in your organization know how to recognize retaliatory behavior in the workplace?

Absolutely, positively, yes!

Most would likely know how to properly respond.

There might be some issues that would fall through the cracks.

I'm getting a little nervous just thinking about this!

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Who in your organization has primary responsibility for educating employees on Policies and Procedures?

Ethics and Compliance

The Subject Matter Expert

Human Resources

Legal

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What is your methodology for communicating E&C lessons learned to supervisors to help them properly address employee concerns or reports of misconduct?

Regular use of On-Line training modules.

Interactive Classroom Training.

Periodic Supervisory Newsletters.

Education and Training on an 'As Needed' basis.

Other.

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Let's Discuss

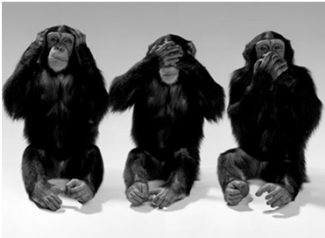
Silence is Golden – NOT!



*13

Let's Discuss

Does you believe your organization has a fearless Speak-Up Culture?



*14

Let's Discuss

If so, can you prove it and how?



*15

What would a supervisor at your company likely do if an employee reported to them that they were being retaliated against for reporting misconduct?

Escalate the report to others in Management.

Take matters into their own hands.

Confront the employee alleged to engage in the misconduct.

Tell the reporter not to worry about it, that it would be addressed.

Probably nothing at all.

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How knowledgeable are supervisors and managers of whistleblower laws and protections against employee retaliation (e.g., Dodd-Frank Act)?

All are keenly aware of Whistleblower laws and our Non-retaliation Policy is well communicated.

Most are aware, but there are some who just don't get it.

It's a real challenge getting everyone on board with these laws.

Who's Dodd-Frank?

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Going forward, I will likely take the following measures to address the risk of retaliation in my company.

Develop and deliver more educational and training materials for all employees.

Increase communications to all employees.

Work closely with Human Resources to obtain information from employee exit interviews.

All of the above.

Probably little or no more. They already get it!

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**In closing please remember that what you see, hear
and say in Las Vegas...**



**...take home and share with others in your
organization!**

19

Questions?

Comments?

Observations?

Recommendations going forward?

20
