Preventing Harassment:
Can Compliance Ever Succeed?

Society for Corporate Compliance and Ethics • Compliance and Ethics Institute
Las Vegas, Nevada • Sunday, October 21, 2018 • Session P08

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RESOLVED:
Compliance efforts cannot
prevent workplace harassment

1998: Faragher and Ellerth
United States Supreme Court
BURLINGTON INDUSTRIES, INC. v. ELLEERTH, (1998)
No. 97-399

“Whether an employer is liable for conduct of an employee the following factors are significant: (1) the employer..."
Reaction: Mandated Employer Activity

- Policies
- Hotlines
- Posters
- California AB1825: "two hours every two years"
- Connecticut, Maine, New Jersey...
- ETC...

US!

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Reaction: Compliance Amok

- 90% of companies have an anti-harassment policy
- 82% of companies have mandatory compliance training
- 71% of companies have mandatory sexual harassment prevention training
- $600,000+
  average mandatory compliance training spend per company (more than for sales or management/supervisory)
- 43,400,000
  Google hits for "online harassment training"
- 71% of companies have mandatory sexual harassment prevention training

Source: ATD; Training Magazine; Google

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Result: The last two years
Conclusion...

Is workplace harassment still a problem in your company?
- No
- Somewhat
- Yes
- I plead the Fifth

Is workplace harassment still a problem in the USA?
- No
- Somewhat
- Yes
- Make American Great... Ever?
<table>
<thead>
<tr>
<th>?</th>
<th>Is workplace harassment still a problem in our culture?</th>
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</thead>
<tbody>
<tr>
<td>• No</td>
<td>• Somewhat</td>
</tr>
<tr>
<td>• Yes</td>
<td>• Tone at the Top? Hello!</td>
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<td></td>
<td>• #MeToo #WhyDidn'tIReport (nuff said)</td>
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<thead>
<tr>
<th>?</th>
<th>Has &quot;compliance&quot; successfully addressed workplace harassment?</th>
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<tbody>
<tr>
<td>• We have fully succeeded</td>
<td>• We have adequately succeeded</td>
</tr>
<tr>
<td>• We have succeeded only in limited respects</td>
<td>• We have failed</td>
</tr>
<tr>
<td>• We suck</td>
<td></td>
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**RESOLVED:**
Compliance efforts can do a better job at preventing workplace harassment

... and we need to start TODAY
Preventing Harassment: 
*Can Compliance Ever Succeed?*

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Introductions

Susan A. Parkes, JD, CCEP
*General Counsel and Vice-President, Alyeska Pipeline Company*

➢ General Counsel and Chief Compliance Officer for Alyeska Pipeline Service Company
➢ Alyeska is the Operator of the 800-mile Trans Alaska Pipeline System (TAPS) transporting North Slope Crude Oil from Prudhoe Bay to Valdez, AK
➢ Prior to TAPS, 20-year career with the State of Alaska Department of Law, Criminal Division serving as a line prosecutor, Anchorage District Attorney and Deputy Attorney General
Amy McDougal, JD, CCEP  
President, CLEAResources, LLC

➢ US Air Force veteran - 12 years as JAG officer  
➢ Former federal prosecutor (SAUSA)  
➢ Former General Counsel of firm specializing in defense-sector security issues  
➢ Advises organizations on culture, policies, training, investigations, monitoring and auditing, reporting, remediation, discipline and incentives

Jason B. Meyer, JD, CCEP  
President, LeadGood, LLC

➢ Former general counsel, chief compliance officer, business executive  
➢ Decades of experience at the intersection of education and compliance  
➢ Consulting on engagement, content organization, vendor selection and management, education program assessments, "how to do" compliance and ethics...  
➢ First-of-kind courseware for directors, educators, healthcare, sales, leaders...

Agenda... together

<table>
<thead>
<tr>
<th>Where did we go wrong?</th>
<th>Avoiding Insanity &amp; Moving The Needle</th>
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</thead>
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<td>Training</td>
<td>Program Elements</td>
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<td>Culture</td>
<td>Training</td>
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<tr>
<td>Other Bugaboos and Peeves</td>
<td>Case Study: The Open Work Environment</td>
</tr>
<tr>
<td>(Break)</td>
<td>Culture, and our Action Plan</td>
</tr>
</tbody>
</table>
Where Did We Go Wrong?

Why do YOU think we haven't had a better result?

Where Did We Go Wrong?
Training

In the compliance training revolution, who got taken to...
Compliance Training, circa 2003-20??

*A Procurement decision*

- PowerPoint
- One stream
- All “push”
- “Hours per learner”
- Pick one solution provider every 3 years
- “Checking the Box”

Compliance Training, circa 2003-20??

*The Two-Hour Problem*

- Box Checking
- Everyone hates your training
- What message did that send?

Compliance Training, circa 2003-20??

*Nonetheless, the regime persisted...*
Where Did We Go Wrong?
Culture

A common problem...
Rampant misconduct that is well known within an organization goes unreported.

What is Culture?
The shared values, traditions, attitudes, standards, and beliefs of an organization and its employees (written and unwritten).
Culture defines the character and personality of an organization and drives how people behave and treat each other.
Culture is how work actually gets done in an organization.
What you don’t know, will hurt you
We must break the Conspiracy of Silence

How Important is Culture?

“The only thing of real importance that leaders do is to create and manage culture.”
— Edgar Schein, Management Professor, Author

“Culture isn’t just one aspect of the game – it is the game.”
— Lou Gerstner, Jr. IBM

“Culture eats strategy for breakfast.”
— Peter Drucker

Culture is King (and Queen)
Alyeska Pipeline Service Company – Lessons Learned (the hard way)
Operators of the Alaska pipeline have been running after leaks in recent months — and not all of them oil leaks.

Alyeska Pipeline Service Co. hired a security firm early last year to spy on an industry critic and find out which employees fed him inside information that got Alyeska in trouble with the Environmental Protection Agency.

The firm, retired tanker broker Charles Hamel, obtained information about corrosion in the 800-mile pipeline and in storage tanks at Valdez, as well as benzene emissions and ballast-water disposal problems. Hamel in turn passed the information on to environmental and safety regulators, the press and Congress.

The Los Angeles Times said the security firm, Wackenhut Co. of Miami, also monitored Rep. George Miller, D-Calif., chairman of a subcommittee investigating alleged environmental wrongdoing by Alyeska, a consortium of seven oil companies.

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The public was ejected as a House panel began hearings into allegations of wrongdoing by the operator of the trans-Alaska pipeline...

Chief Alyeska Pipeline Investigator Quits: ENERGY: The secret probe of whistle-blowers causes flap.

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Alyeska’s Cultural Journey
(It’s not a destination)

Open Work Environment
Employee Concerns Program
“Speak up, Step up” Expectation

Your Bugaboos and Peeves
Did we miss anything?

CROWD-SOURCING
SOLUTIONS

Moving the Needle
• Training & Communications
• Other Program Elements
• Culture
Break?

CROWD-SOURCING SOLUTIONS

Moving the Needle
- Training & Communications
- Other Program Elements
- Culture

How Can We Do Better
Program Elements
Borrowing a Page from DoD Playbook

2017 Annual Report on
Sexual Assault in the Military

↑ 10%

Reporting: 1 in 3

2006: 1 in 14

2017 Annual Report on
Sexual Assault in the Military
Borrowing a Page from DoD Playbook

Of 5,684 Reported:

- 4,779 – in DoD jurisdiction
- 2,218 – sufficient evidence for adverse action
- 1,446 – involved discipline
- 772 – discipline for other misconduct

2017 Annual Report on Sexual Assault in the Military

Borrowing a Page from DoD Playbook – Oversight/Leadership

- Leadership involvement at all levels:
  - Setting the example and the tone
  - Providing meaningful training
  - Enforcing standards
  - Setting expectations regarding accountability
  - Ensuring new members have a sponsor within the unit

Borrowing a Page from DoD Playbook – Peer Mentorship

- Peer to peer mentorship: promoting healthy relationships between peers, partners, family, friends
  - Peers can promote:
    - Victim empathy;
    - Bystander intervention against any unacceptable behavior;
    - Healthy relationships;
    - Moderate, responsible alcohol use; and
    - Obtaining consent for sexual activity
  - Are companies doing enough to "crowdsource" prevention?
Borrowing a Page from DoD Playbook - Training

“Courses should teach bystander intervention, victim empathy, consent, acceptable behavior, and healthy relationships. The curriculum should be evidence-based, adapted to the environment, and responsive to the gender, culture, beliefs, and diverse needs of the targeted audiences. Education and training must be properly designed following adult learning principles and be delivered by well-trained professionals, or it risks being ineffective or having a negative impact.”


Borrowing a Page from DoD Playbook - Training

- Multiple lessons/sessions to reinforce key messages and provide opportunities to practice new skills;
- Peer educators to deliver training program;
- Interactive format (minimize lecture, focus on discussion, role-play, and exercises);
- Real life scenarios (discuss scenarios and the appropriate responses); and
- Culture-specific content and messages (allow each installation, and potentially each command, to customize the training content to their specific culture and participant levels)


Borrowing a Page from DoD Playbook - Accountability

“When all personnel are held appropriately accountable for their behavior, the unit climate of trust and safety is enhanced and personnel may feel safer coming forward with issues or incident reports. At the same time, senior commanders must hold subordinate commanders appropriately accountable for supporting and maintaining a unit command climate that promotes respect, tolerance, and diversity, and not one that tolerates sexual harassment, discrimination or sexual assault.”

Borrowing a Page from DoD Playbook - Accountability

Examples of practices that promote accountability include:

• Publicizing the punishments for misconduct or criminal offenses consistent with law and Department of Defense regulations;

• Incorporating SAPR monitoring into readiness assessments (e.g., quarterly training briefings, operational readiness assessments, inspections) to ensure program implementation and compliance;

• Senior leadership engaging with subordinate commands to review results and progress with command climate assessments; and

• Ensuring all allegations of sexual assault are referred to Military Criminal Investigative Organizations (MCIOs).


Borrowing a Page from DoD Playbook - Resources

The Department of Defense must institutionalize sexual assault prevention programs. The necessary resources include:

• Manpower;
• Budget;
• Tools and systems;
• Policies;
• Education and training;
• Standard operating procedures; and
• Continuous evaluation and improvement.

LOOK FAMILIAR??? If DoD needs the above to succeed, so does your corporate program…


Borrowing a Page from DoD Playbook - Community Involvement

Leaders and Sexual Assault Response Coordinators (SARCs) collaborate with community resources to extend and enhance the unit climate for personnel throughout the local community, both on and off-base to the extent authorized by law and Department of Defense regulations. This includes integrating prevention efforts with a variety of resources, including:

• Advocacy groups;
• Healthcare services providers;
• Family and social support service providers; and
• Researchers, university faculty, epidemiologists, and subject matter experts grounded in scientific data.

Borrowing a Page from DoD Playbook - Resources

Deterrence – to what extent does your company treat sexual harassment or assault as a security issue?

“A variety of tactics have been shown to help deter a wide range of negative behaviors. Commanders and their command teams, to include staff judge advocates, should collaborate with military and civilian law enforcement, Safety and Force Protection Officers, to determine the optimum mix of deterrence measures for their environment. Examples of potential tactics to deter criminal activity include:

• To the extent permissible by law and policy, publicizing court-martial results;
• Articulating lifetime costs of poor decisions;
• Surveillance measures (e.g., video cameras, patrols, barracks monitors); and
• Physical security enhancements.”


Borrowing a Page from DoD Playbook - Resources

Communication

“Messages promoting appropriate values, attitudes, and behaviors have shown great promise in achieving a healthy command climate and preventing sexual assaults. Commanders and command teams must visibly support and reinforce the standards. Messages must be appropriately tailored for the target audience(s).”


Borrowing a Page from DoD Playbook - Resources

Incentives

“Recognition by leaders for establishing effective prevention programs or practices can incentivize units to be innovative and develop effective prevention programs and tactics. Examples of how incentives can be used include:

Individuals recognized by leaders for safely intervening in incidents. Commanders must consider the risks and impacts when employing this tactic to determine the best means of delivery (e.g., public or private acknowledging);

Volunteers awarded for conducting bystander intervention training; and

Units awarded for effective, innovative prevention” programs.”

Harm Reduction (aka “monitoring”).

Tactics that seek to reduce the risks of sexual assault show promise to help promote a healthy command climate. Commanders must review command climate surveys and discuss any threats to the welfare of the unit and individual members with their command teams, SARCs, and Safety Officers to identify potential tactics to reduce risks. These efforts can include a wide variety of risk mitigation (safety) programs and tactics that address both potential victims and perpetrators, including:

- Alcohol policies (e.g., alcohol storage in barracks, pricing, outlet density);
- Collaboration with management of establishments Service members are likely to visit on and off base;
- Courses that instruct and empower members through awareness, violence intervention, and self-defense techniques;
- Unit sponsorship for new members; and
- Ongoing command monitoring of individuals who are demonstrating problem behaviors (e.g., documented history of sexual violence, sexual harassment, alcohol or drug abuse, hazing).”


How Can We Do Better
Training and Communication

Begin by doing more of what we know we should be doing (but don’t)
Leading Practices

- Short
- Salient
- Show
- Striking
- Story
- Social

Sources (many)
Saving (repurposing)

The Efficiency vs. Engagement Balance

The Brave New World:
Compliance Content Programming

**PROCUREMENT**

- PowerPoint
- One stream
- All “push”
- “Hours per learner”
- Pick one solution provider every 3 years
- “Checking the Box”

**PROGRAMMING**

- Multiple formats and media / blended
- Multiple streams
- “Pull” beats “push”
- Short and repeated
- Multiple providers
- Marketing elevated behavior

How can we succeed:
Your Training and Communication

Begin by doing more of what we know we should be doing (but don’t)

Focus on how to handle negative reports
Show that reporting mattered.
Lead with Values (Not Risks. Not Threats. Not law school discourse.)
The Trouble with Rules

Who says I gotta?
How do I remember?
How do I “skirt”?
What about the “Grey”?
Sorry, what was that critical thing again?

What can I remember?
What applies to multiple situations?
What “trumps” our desire to bend rules?

VALUES

THE SCOUT LAW
A Scout is...
TRUSTWORTHY OBEYING TRUTH
LOYAL CHEERFUL FRIENDLY
HELPFUL THRIFTY BRAVE
COURTEOUS CLEAN REVERENT
TACTIC 1:
Integrate values into short, regular communications

TACTIC 2:
Make values the centerpoint of courseware

TACTIC 3:
Build a social consensus around values and language
How can we succeed:
*Your Training and Communication*

Begin by doing more of what we know we should be doing (but don't)
Focus on how to handle negative reports
Show that reporting mattered.
Lead with Values (Not Risks, Not Threats. Not law school discourse.)
Own it. Be honest.
Practice what we preach

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*How Can We Do Better*

Culture

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*Alyeska’s Cultural Journey*

*(It’s not a destination)*

Open Work Environment
Employee Concerns Program
"Speak up, Step up" Expectation
Creating an Open Work Environment (OWE)

1. Code of Conduct – Foundation for behavioral expectations, clear & direct
2. Tone from the Top – Leadership as a role model, leadership communications

3. Provide Multiple Reporting Avenues – Supervisor, HR, Employee Concerns Program, Hot Line
4. Periodic Surveys – Feedback opportunity, take pulse of organization, allow for trending
Creating an Open Work Environment (OWE)

5. Hire for Culture – Incorporate expectations into interview process, reference checks

6. Hold ALL employees accountable – Performance expectations, consistent discipline

Creating an Open Work Environment (OWE)

7. Training – Reinforce expectations, concrete examples, bystander training

8. Recognition – Positive reinforcement of desired behaviors, Award Programs, Compliance & Ethics Week celebrations
Advocacy

How Can We Do Better

CROWD-SOURCING SOLUTIONS

Advocating for Action
- Accountability & Discipline
- Encouraging Reporting
- Getting a seat at the table
- Some other solution?

How can we do better: Your ideas
How can we succeed: Your Culture

- Avoid “us versus them”
- Encourage dialogue (even non-constructive dialogue to a degree)
- Talk openly about making decisions based on shared corporate values
- Respect and transparency

Speak Up Culture

Questions /Discussion

Thanks!

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Appendix