

Encouraging, Managing, and Integrating Employee Reporting

Central Daylight Time (CDT) • July 14, 2021

Receive guidance and insights from industry leaders about encouraging employees to report issues, managing those reports, and improving your organization's helpline and other methods of reporting.

Attendees will have the opportunity to earn live Compliance Certification Board (CCB)[®] continuing education units (CEUs).

Topics Include:



Effective communication strategies for encouraging reporting across all mediums



How to make reporters feel safe while getting the information you need



What you should and shouldn't share with reporters during the investigation process



How to assess and handle reports that aren't compliance related



Best practices in setting, tracking, and documenting metrics



How to integrate your reporting data with the rest of your compliance data

Register online

corporatecompliance.org/2021employee reporting

8:25–8:30 AM CDT

Welcome and Announcements

8:30–9:30 AM CDT

Effective Communications for Encouraging Reporting Across All Mediums

Grace Wu de Plaza, Group Head of Ethics, Ferguson Enterprises LLC

Michaela Ahlberg, Senior Advisor, Getinge

Susan Roberts, Former Healthcare Chief Compliance Officer

- What are the right messages that encourage people to come forward
 - The importance of building trust to encourage calls and reduce anonymous reporting
 - Are you doing too much or too little? When it's time to adjust your communication
-

9:30–9:45 AM CDT

Break

9:45–10:45 AM CDT

Sitting Across from Someone Reporting a Potential Issue

Laurel Burke, Formerly Director & Assoc. General Counsel – Compliance

J. Veronica Xu, Chief Compliance Officer, Saber Healthcare Group

- How to encourage the reporter to share more information without scaring him/her off
 - Ensuring confidentiality of face-to-face reports
 - Keeping the door open for follow-up conversations
-

10:45–11:00 AM CDT

Break

11:00 AM–12:00 PM CDT

Handling Reports That Aren't Really Compliance Related

Gwen Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial

David Heller, VP Risk Management & General Auditor, Edison International

Mark Revel, Investigations Manager, Northrop Grumman

- Developing an effective triage method, including delegating some reports to other departments
 - Helping HR, internal audit, and others understand the importance of handling these reports
 - Ensuring that they are followed up on and the reporter is followed up with
-

12:00–1:00 PM CDT

Mid-Conference Break

12:15–12:45 PM CDT

Networking and Discussion

Connect with your fellow attendees and enjoy a free-flowing conversation about what stood out during the sessions or a compliance challenge you want feedback on. The objective here is to enable conference participants to network with and learn from each other and help overcome the isolation of the past months. This optional networking event will be held on Zoom and participants may choose to be on camera.

1:00 – 2:00 PM CDT

How to Communicate with Reporters

Justin Ross, Chief Compliance Officer, FedEx

Dawn Young, Manager, Anti-Corruption Program, W.W. Grainger

- Case status and the amount of information that can be disclosed to reporters
 - Frequency of communication
 - Appropriate personnel who should be communicating with reporters
-

2:00 – 2:15 PM CDT

Break

2:15 – 3:15 PM CDT

Helplines and Other Contact Methods

Karen Clapsaddle, Ethics Director, Lockheed Martin

Blair Marks, Vice President, Ethics & Business Conduct, Lockheed Martin

- Effective use of multiple contact vehicles
 - Internal vs Third Party Helplines: Pros and Cons
 - What to report to the board
 - How to build trust to reduce anonymous reporting
-

3:15 – 3:30 PM CDT

Break

3:30 – 4:30 PM CDT

Integrating Reporting Data with Other Compliance-Related Data

Joshua Toas, Chief Compliance Officer, The Research Foundation for SUNY

Brooke Nelson, Executive Director, Worldwide Compliance and Business Ethics, Amgen

Joe Turner, VP and Head of Compliance Monitoring, Sony

- Ensuring integration with the case management solution, training, conflict of interest, and other data collected
 - Ensuring the security of the system
 - Using the data to inform everything from the risk assessment to onboarding employees
-

4:30 – 5:00 PM CDT

Lessons Learned from the SEC's Whistleblower Program

Jane Norberg, Partner – Securities Enforcement and Litigation, Arnold & Porter

- What the data shows and what it means
 - Why whistleblowers come to the SEC instead of (or in addition to) reporting internally
 - What compliance teams can learn from whistleblower settlements
-

5:00 PM CDT

Conference Adjourns

Encouraging, Managing, and Integrating Employee Reporting

July 14, 2021 • VIRTUAL CONFERENCE

Contact Information

Mr Mrs Ms Dr

Member/Account ID (if known)

First Name MI Last Name

Credentials (CHC, CCEP, etc.)

Job Title

Organization (Name of Employer)

Street Address

City/Town State/Province

Zip/Postal Code Country

Work Phone

Email (required)

Acknowledgements

By submitting this registration, you agree to the full Terms and Conditions, including the use of your information, viewable at corporatecompliance.org/2021employeereporting.

Your information (postal address) may be shared with conference exhibitors, attendees, speakers, affiliates, and partners for promotional and/or networking purposes. To see the full use of your information or if you wish to opt-out, visit corporatecompliance.org/privacy.

This virtual conference registration form allows only the registered attendee to stream, participate, and earn CEUs for the conference. If a second person would like to join, they must register themselves and have their own unique login to participate.

Photo/Video Release: By registering for this event, I grant SCCE, or anyone authorized by SCCE, the right to use or publish in print or electronic format, any photographs or video containing my image or likeness for educational, news, or promotional purposes, without compensation.

Registration Fees

<input type="checkbox"/>	Members	\$155
<input type="checkbox"/>	Non-Members	\$195
<input type="checkbox"/>	Registration + Membership*	\$375
<input type="checkbox"/>	Group Discount for 3 or More**	\$25

TOTAL \$ _____

*Save by joining today (first-time members only). Dues renew at \$325.

**See Group Discount in Terms and Conditions

Payment

Online registration at corporatecompliance.org/2021employeereporting

Mail this form to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA

Fax this form to +1 952.988.0146

Email this form to helpteam@corporatecompliance.org — Due to PCI compliance, do not provide credit card information via email. You may email this form (without credit card information), then call SCCE at +1 952.933.4977 or 888.277.4977 with payment information.

- Invoice me
- Check enclosed (payable to SCCE)
- Wire transfer requested
- Credit card: I authorize SCCE to charge my:
- Visa MasterCard Discover American Express

Credit Card Account Number

Credit Card Expiration Date

Cardholder Name

Cardholder Signature

Continuing Education Units

Encouraging, Managing, and Integrating Employee Reporting • July 14, 2021 • VIRTUAL CONFERENCE

Credits are assessed based on actual attendance and credit type requested. Should the overall number of education hours decrease or increase, the maximum number of CEUs available will be changed accordingly. Only registered attendees are eligible to request CEUs for participation. Attendees must participate in the virtual conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

Compliance Certification Board (CCB)®: CCB has approved a maximum of **7.8** CEUs for these certifications: Certified in Healthcare Compliance (CHC)®, Certified in Healthcare Compliance– Fellow (CHC-F)®, Certified in Healthcare Privacy Compliance (CHPC®), Certified in Healthcare Research Compliance (CHRC)®, Certified Compliance & Ethics Professional (CCEP)®, Certified Compliance & Ethics Professional–Fellow (CCEP-F)®, Certified Compliance & Ethics Professional–International (CCEP-I)®.

NASBA/CPE: The Society of Corporate Compliance and Ethics is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.nasbaregistry.org. Sponsor Identification No: 143451. The education level for

this activity is considered basic. No prerequisites are required for this education. Delivery Method: Group Internet Based. Advanced Preparation: None. A recommended maximum of **7.8** credits based on a 50-minute hour will be granted for this activity. This program addresses topics that are of a current concern in the compliance environment and is a Group Internet Based activity in the recommended field of study of Specialized Knowledge. For more information regarding administrative policies such as complaints or refunds, call 888.277.4977 or +1 952.933.4977.

SCCE is in the process of applying for additional external continuing education units (CEUs). Approval quantities and types vary by state or certifying body. For entities that have granted prior approval for this event, credits will be awarded in accordance with their requirements. **CEU totals are subject to change.**

Upon request, if there is sufficient time and we are able to meet their requirements, SCCE may submit this course to additional states or entities for consideration. **Only requests from registered attendees will be considered.** If you would like to make a request, please contact us at +1 952.933.4977 or 888.277.4977 or email ccb@compliancecertification.org. To see the most up-to-date CEU information go to SCCE's website, corporatcompliance.org/all-conferences. Select your conference, and then select the "Continuing Education" option on the left hand menu.