

# Encouraging, Managing, and Integrating Employee Reporting

Central Standard Time (CST) • December 1, 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)<sup>®</sup> 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](https://corporatecompliance.org/2021employee reporting)

8:25 – 8:30 AM CST	<b>Welcome and Announcements</b>
8:30 – 9:30 AM CST	<b>Effective Communications for Encouraging Reporting Across All Mediums</b>  Grace Wu de Plaza, Group Head of Ethics, Ferguson Enterprises LLC Michaela Ahlberg, Senior Advisor, Getinge Susan Roberts, Former Healthcare Chief Compliance Officer <ul style="list-style-type: none"><li>• What are the right messages that encourage people to come forward?</li><li>• The importance of building trust to encourage calls and reduce anonymous reporting</li><li>• Are you doing too much or too little? Learn when it's time to adjust your communication</li></ul>
9:30 – 9:45 AM CST	<b>Break</b>
9:45 – 10:45 AM CST	<b>Sitting Across from Someone Reporting a Potential Issue</b>  Laurel Burke, Formerly Director & Assoc. General Counsel – Compliance J. Veronica Xu, Chief Compliance Officer, Saber Healthcare Group <ul style="list-style-type: none"><li>• How to encourage the reporter to share more information without scaring him/her off</li><li>• Ensuring confidentiality of face-to-face reports</li><li>• Keeping the door open for follow-up conversations</li></ul>
10:45 – 11:00 AM CST	<b>Break</b>
11:00 AM – 12:00 PM CST	<b>Handling Reports That Aren't Really Compliance Related</b>  Gwen Hassan, Managing Counsel, Global Compliance & Ethics, CNH Industrial David Heller, VP Risk Management & General Auditor, Edison International Mark Revel, Senior Principal Ethics & Compliance Advisor, Northrop Grumman <ul style="list-style-type: none"><li>• Developing an effective triage method, including delegating some reports to other departments</li><li>• Helping HR, internal audit, and others understand the importance of handling these reports</li><li>• Ensuring that they are followed up on and the reporter is followed up with</li></ul>
12:00 – 12:45 PM CST	<b>Mid-Conference Break</b>

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**12:45 – 1:45 PM CST**

### How to Communicate with Reporters

**Keith Thomas, Lead Counsel, Corporate Integrity & Compliance, 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

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**1:45 – 2:00 PM CST**

### Break

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**2:00 – 3:00 PM CST**

### 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

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**3:00 – 3:15 PM CST**

### Break

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**3:15 – 4:15 PM CST**

### Integrating Reporting Data with Other Compliance-Related Data

**Moderator:**

**Adam Turteltaub, Chief Engagement & Strategy Officer, SCCE & HCCA**

**Panelists:**

**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

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**4:15 – 4:30 PM CST**

### Break

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# Agenda

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*Agenda times are listed in Central Standard Time (CST)*

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**4:30 – 5:30 PM CST**

### **Lessons Learned from the SEC's Whistleblower Program**

**Moderator:**

**Jenny O'Brien, Retired, Chief Compliance Officer**

**Speaker:**

**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
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**5:30 PM CST**

### **Conference Adjourns**

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# Encouraging, Managing, and Integrating Employee Reporting



December 1, 2021 • Virtual • Central Standard Time (CST)

## SECTION 1 Attendee Information

☐ Mr ☐ Mrs ☐ Ms ☐ Dr ☐ Other \_\_\_\_\_ Member/Account ID (if known/applicable) \_\_\_\_\_

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) \_\_\_\_\_

## SECTION 2 Registration

### Options

<input type="checkbox"/> Member	\$155
<input type="checkbox"/> Non-Member	\$195
<input type="checkbox"/> Registration + First-Time Membership Offer*	\$375

\*Save by joining today (first-time members only). Dues renew at \$325. See "Acknowledgements" below for details.

### Group Discount

<input type="checkbox"/> Group Discount for 3 or More**	(\$25)
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\*\*See "Group Discount Policy" under "Acknowledgments" below for details.

**TOTAL \$** \_\_\_\_\_

**SCCE Membership:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc). To see the full use of your information or if you wish to opt-out, visit [corporatecompliance.org/privacy](http://corporatecompliance.org/privacy).

**Opt-Out:** Select if you would like to opt-out of the following:

- ☐ Member Magazine Listing: SCCE lists all new members (first and last name, organization, and state or country) in our monthly magazine, *Compliance & Ethics Professional*® (CEP).
- ☐ Online Member Directory: SCCE's member directory lists first and last name, organization, title, address, and phone number.

## SECTION 3 Payment

Online registration at [corporatecompliance.org/2021employeeeereporting](http://corporatecompliance.org/2021employeeeereporting)

Mail to SCCE, 6462 City West Parkway, Eden Prairie, MN 55344 USA Fax to +1 952.988.0146

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

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

Credit Card Account Number \_\_\_\_\_ Expiration Date \_\_\_\_\_

Cardholder Name \_\_\_\_\_ Cardholder Signature \_\_\_\_\_

## SECTION 4 Acknowledgements

By registering for this event, you agree to the full event Terms and Conditions, viewable at [corporatecompliance.org/conference/tandc](http://corporatecompliance.org/conference/tandc), including the use of your information that 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](http://corporatecompliance.org/privacy).

This virtual event registration form allows only the registered attendee to stream, participate, and earn CEUs for the event. If a second person would like to join, they must register themselves and have their own unique login to participate. No audio or video recording by attendees is allowed.

**Group Discount Policy:** Registration forms must be sent together to ensure that the discount is applied. The group discount is not available through online registration. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount.

**New Members:** By selecting the Registration + First-Time Membership Offer, you agree to the full membership Terms and Conditions, including the use of your information, viewable at [corporatecompliance.org/membership/tandc](http://corporatecompliance.org/membership/tandc).

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

## Frequently Asked Questions

### How will I access this event the day the workshop begins?

Before the event starts, you will receive an access email with links to the virtual platform and additional conference information such as the presentations. The email goes out 1–3 days prior to the event start date and is sent to the primary email address on your account. Please be sure to check your spam folder.

### What is included in the cost of my attendance?

Virtual access to the sessions, access to any supplemental conference materials, and networking opportunities.

### What software is required to attend this event?

We use a variety of platforms based on the needs of each conference, but they are all web-based platforms and require a strong and stable internet connection. We highly recommend testing the platform once the access email is received to confirm you can access the platform, view the video player, and utilize the chat feature. Occasionally, those who access these digital platforms over a VPN can experience technical difficulties. Zoom will be utilized for small group discussions at applicable events, but downloading Zoom is not necessary, as they have a web-based version as well.

### Can my co-workers listen in with me using screensharing or sitting together in the same room?

No, each individual who would like to participate in the conference needs to complete and submit an individual registration form. We do offer group discounts; please see our group discount options below.

### Will I receive a recording of this conference?

No. Registered attendees must participate in this event in real time as recordings are not available for any missed sessions. No audio or video recording by attendees is allowed.

Recordings of this event will be available for purchase. Registered attendees will have the option to purchase the recordings at a discounted rate. Please visit the event web page to access the recording order form. No audio or video recording by attendees is allowed.

### Is there a group discount, and if so, what is it?

Yes, we offer discounts for groups of three or more from the same organization for all our live in-person and virtual events (excluding webinars). Please send all group registration forms together to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) for processing. A separate registration form is required for each registrant. The group discount is NOT available through online registration. Note that discounts will not be applied retroactively if more registrants are added at a later date, but new registrants will receive the group discount. For groups of 10 or more, please call +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org).

### What do I get with “Registration + First-Time Membership?”

If you've never been an SCCE member, you can register as a First-Time Member. This gives you SCCE membership at a discounted rate for your first year. You also receive the member rate for the conference. As a member you receive all SCCE member benefits (discounts, *Compliance & Ethics Professional*® (CEP) monthly magazine, *Ethikos*® digital quarterly newsletter, member-exclusive webinars, and more). A full list of benefits can be viewed at [corporatecompliance.org/membership](http://corporatecompliance.org/membership). Your membership will begin once payment is received.

### How do I use the credit on my account for this event?

You can complete the registration online and select the “Invoice Me” payment option at checkout. Once you receive your confirmation, email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) or call +1 952.933.4977 or 888.277.4977 to request your credit be applied toward the registration fee.

### Can I get the member rate if I am an HCCA member instead of SCCE or vice versa?

Yes. As a member of SCCE or HCCA, you can receive the membership discount for both organizations' conferences; however, this cannot be done online. Please send your registration form via email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) to complete your registration.

### How can I cancel my registration?

If you need to cancel your participation (or send a substitute), your request must be submitted by email to [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org). A conference credit will be issued for all registration fees paid (minus any cancellation fee) and will expire 12 months from the date of the original canceled event. Conference credits will not be issued if you do not attend the event and have not requested cancellation prior to the event start date. If sending a substitute, an additional fee may apply depending upon the membership status of the substitute.

### Who can I notify of special needs or concerns prior to the event?

Please call SCCE at +1 952.933.4977 or 888.277.4977 or email [helpteam@corporatecompliance.org](mailto:helpteam@corporatecompliance.org) if you have a special need and/or require an accommodation to participate.

## Continuing Education

### Can I earn continuing education units (CEUs) for attending this conference?

Yes. This conference offers live Compliance Certification Board (CCB)® continuing education units (CEUs) for participation as well as other external credit types. For those attendees seeking external credit types, you must participate in the conference using the online virtual conference format (not just using the dial in) for attendance monitoring purposes.

To see the most up-to-date CEU approval information, go to SCCE's website, [corporatecompliance.org/all-conferences](http://corporatecompliance.org/all-conferences), choose this conference, and then select the Continuing Education option on the left-hand menu.

### How many CEUs will I earn from attending?

CEUs are assessed based on actual attendance and credit type requested. Should the overall number of education hours you attend or that the conference offers decrease or increase, the maximum number of CEUs available will be changed accordingly.

### How do I request CEUs following this conference?

Following this conference, you will be provided the Application for Continuing Education Units (CEUs). To receive CEUs, you must submit this completed application following the conference to [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org). Only registered attendees are eligible to request CEUs for participation.

### When will I receive my CEU certificate for participation?

Once your completed Application for Continuing Education Units (CEUs) has been received by our staff, your CEU account will be updated within 2–4 weeks. To view your CCB CEUs and access your certificate, you can log in to your online to your [corporatecompliance.org](http://corporatecompliance.org) account, go to your Account Dashboard, and scroll down to View My CEUs.

### I would like to sit for one of the Compliance Certification Board (CCB)® exams following this conference; will I qualify?

In order to qualify for a CCB certification exam, you must review the applicable Candidate Handbook found at [corporatecompliance.org/candidate-handbooks](http://corporatecompliance.org/candidate-handbooks) to ensure you meet the CEU requirement as well as the work experience requirement.

### I have reviewed the Candidate Handbook and want to apply for the exam as soon as the conference concludes; what's next?

Immediately following the conclusion of the conference, if you have reviewed your Candidate Handbook, submitted your Application for Continuing Education Units (CEUs), and confirmed you will meet the CEU requirements, you can go ahead and apply online for your exam at [corporatecompliance.org/apply-exam](http://corporatecompliance.org/apply-exam).

### Can I take my exam remotely?

Yes, CCB offers the flexibility for candidates to take their exam remotely, at a local testing site, or following certain SCCE conferences. To learn more about our various testing options, visit SCCE's website, [corporatecompliance.org/exam-information](http://corporatecompliance.org/exam-information).

### I have more questions about exams and seeking certification; who can help me?

For more questions about CCB certifications, call to speak to a Certification Specialist at +1 952.933.4977 or 888.277.4977 or email [ccb@compliancecertification.org](mailto:ccb@compliancecertification.org).