

Workplace Ethics & Compliance for Managers

Most employees do not knowingly violate a law or policy. Many ethical violations occur when an employee is faced with a difficult choice that requires the balance of competing interests and where the “right thing” is not clear. Instead of simply preaching to employees the importance of ethical behavior, effective training addresses the “gray areas” and provides employees practical skills for identifying and resolving these ethical dilemmas.

Extending beyond Sarbanes-Oxley, new federal guidelines establish ethics and compliance guidelines for all organizations (not just publicly traded companies) and require periodic training on workplace ethics and compliance. Simply providing employees with an ethics policy or code of conduct is not enough; a formal training program is now required.

Organizations that have instituted a proactive ethics and compliance program, including an effective training program, can now greatly reduce their liability exposure to fines and other civil and criminal punishment while at the same time enhancing organizational values. This course utilizes the expertise of legal professionals to teach practical skills for spotting, resolving and reporting ethical dilemmas that your workforce may encounter.

Course Learning Objectives

- Recognizing the importance of ethical leadership and ethical character
- Defining workplace ethics: from legal compliance to organizational policy
- Maintaining ethical compliance under the federal sentencing guidelines
- Identifying key areas that present ethical dilemmas to the modern workforce
- Reviewing the world of ethics—trends and case law across the nation
- Developing effective skills for spotting and handling ethical dilemmas
- Implementing “transparency” by creating a culture of willful compliance
- Understanding and complying with your organization’s code of conduct

**Length:**

2 hours or half-day sessions available

Recommended for:

Managers

Format: Highly interactive, involving engaged discussion, participatory case studies, surveys and responses, role plays, video vignettes portraying ethical dilemmas, and state-of-the-art multimedia, all geared toward stimulating meaningful discussions, critical thinking and recall.

Core Compliance Components:

Conflicts of Interest

- Identifying and handling situations where an employee's personal interests may compete with the organization's or stakeholder interests
- Outside employment—When do outside jobs create an ethical dilemma?

Gifts and Favors

- Understanding legal and ethical risks involved in client "appreciation" efforts, vendor rewards and relationships, unchecked political contributions, loans and gift giving
- Understanding commercial bribery laws

Confidentiality and Privacy

- How far can a manager go to check e-mails/desks/private lives?

Personal Use of Organizational Property/Protecting Company Property

- Examining proprietary concerns
- Perils of an electronic workplace

Handling Insider Trading

- Defining and understanding insider trading
- Handling confidential information relating to employees, customers and vendors

Financial Reporting and Sarbanes-Oxley (where applicable)

- Impact and application of Sarbanes-Oxley
- Proper recording and reporting guidelines regarding hours worked, organizational expenses, etc.
- Antiretaliation and whistleblower protections

Harassment, Discrimination and Retaliation

- Even when conduct does not rise to the level of unlawful behavior, is it ethical?

Reporting Ethical Concerns

- Review of organizational policy requirements
- Proper reporting procedures
- Properly maintaining records

Issues Relating to Code of Conduct

- Do you need one?
- Best practices

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