



# BELA Virtual Roundtable Series Hosted by Marvell

Thursday, December 4, 2020



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# Virtual Roundtable

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THANK YOU TO OUR PRESENTERS



## AGENDA

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10:30am – 10:45am	Welcoming Remarks and Introduction of Discussion Leaders
10:45am – 11:10am	Topic 1- Keeping Up with a 24-Hour News Cycle: Strategies to Prepare for and Deal with an Uncertain Political and Viral World, <i>Discussion Leads: Roxane Marenberg, Chief Compliance Officer &amp; Amie Rooney, Director, Ethics &amp; Compliance, Marvell Technologies</i>
11:10am – 11:35am	Q&A and Discussion
11:35am – 12:00pm	Topic 2- Innovative Training to Enhance Employee Engagement, <i>Discussion Leads: Ludovic Roptus, Compliance Officer Americas &amp; Christine Lee, Manager Internal Control &amp; Compliance Americas, Infineon Technologies Americas Corp.</i>
12:00pm – 12:25pm	Q&A and Discussion
12:25pm – 12:30pm	Closing Remarks

# Topic 1: Keeping Up With a 24-Hour News Cycle: Strategies to Prepare for and Deal With an Uncertain Political and Viral World

Discussion led by: **Roxane Marenberg**, *Chief Compliance Officer* & **Amie Rooney**, *Director Ethics & Compliance, Marvell Technologies*

## Notes & Key Points



### Plan Ahead on Election 2020

- Keep a view on world events to prepare executives and employee population and not be reactionary to a potential foreseeable problem
- Put together a Security Plan in order to provide business continuity during a time of possible crisis.

### Security Plan

- Dovetail security plan with crisis management plan write large
- Team includes many business units
- Balance business with being aware and prepared
- Balance quick responses with careful filtering of information to avoid overreaction
- Focus on infrastructure operations and physical security for threat level assessment by location
- Be careful to not make plans political statements
  - Masks/vaccines – what will the new normal be? Have discussion be ongoing to allow for planning

### Map Plan to Values

- Consider stakeholders on what is important to them as a company
  - Messaging from executives/mass communication events tethered to values
  - Town halls, diversity events- all with core values in mind
  - Fundraising drives with company matching for social justice causes

# Recap & Suggested Resources |

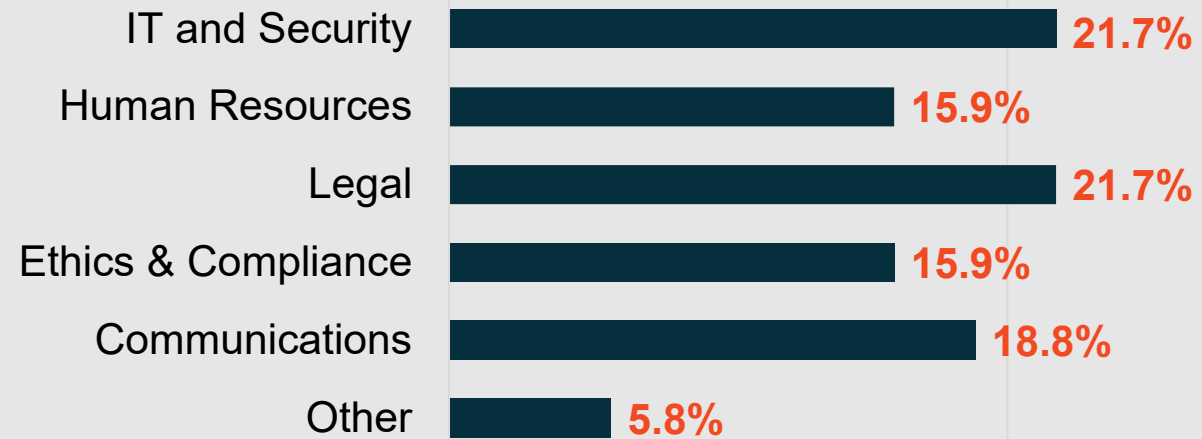
- When faced with any event (either external or internal) that gives rise to significant legal, financial, and public relations exposure, corporate management needs to remain focused on running its business. Having a plan facilitates that focus
- Elevate the conversation- increase conversations and reminders to stay on top of both industry and world developments and offer a plan with solutions
- Seeds for future training- find ways to integrate current events into existing training or implement new training
- Learnings from the mistakes of others can bring interest and relevance to old concepts- dig a bit as DOJ guidance makes clear the onus is on company to find the problems
- Overarching principle that proactive approach allows implementation of preventative measures and an avoidance strategy

## Suggested BELA Resources

- [Psychological Safety Tips for Managers](#) | US Bank
- [An Evolving Crisis: Helping Your Organization be Ready, Respond and Recover](#)
- [COVID-19 Management Plan](#) | Dr. Reddy's Laboratories Ltd
- [Crisis Management Benchmarking Report](#)
- [Don't Discard Your True Corporate Value In Times of Crisis](#)
- [The Resilience Factor: How Challenges Can Strengthen Ethical Culture](#) | Featuring Henry Schein and AES Corporation
- [Crisis Response](#)
- [Guide for Building and Sustaining an Effective Champion Program](#)
- [Safe at Work Playbook](#) | Leer Corporation

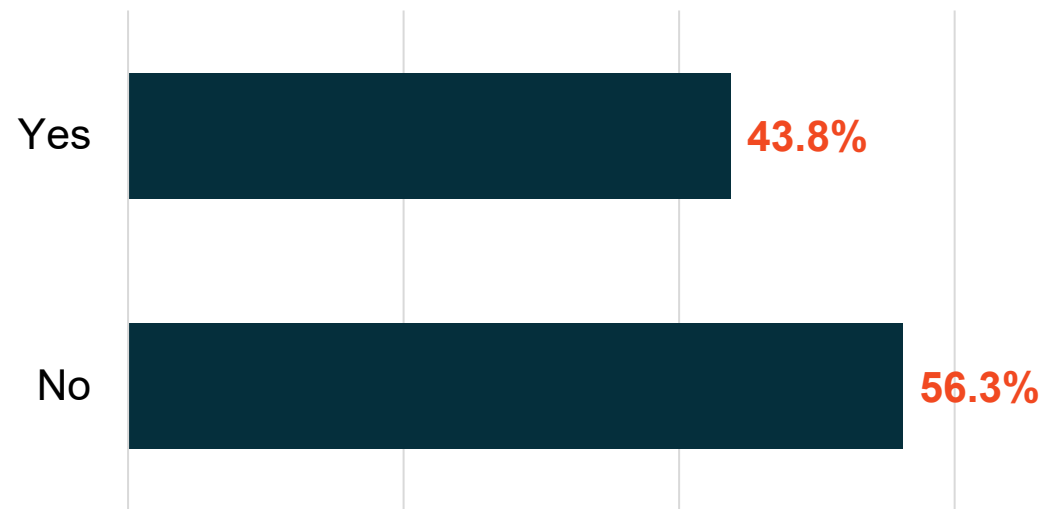
# Crisis Response

**Who is on your crisis response team?**  
(Multiple Choice)



**Roundtable N=16**

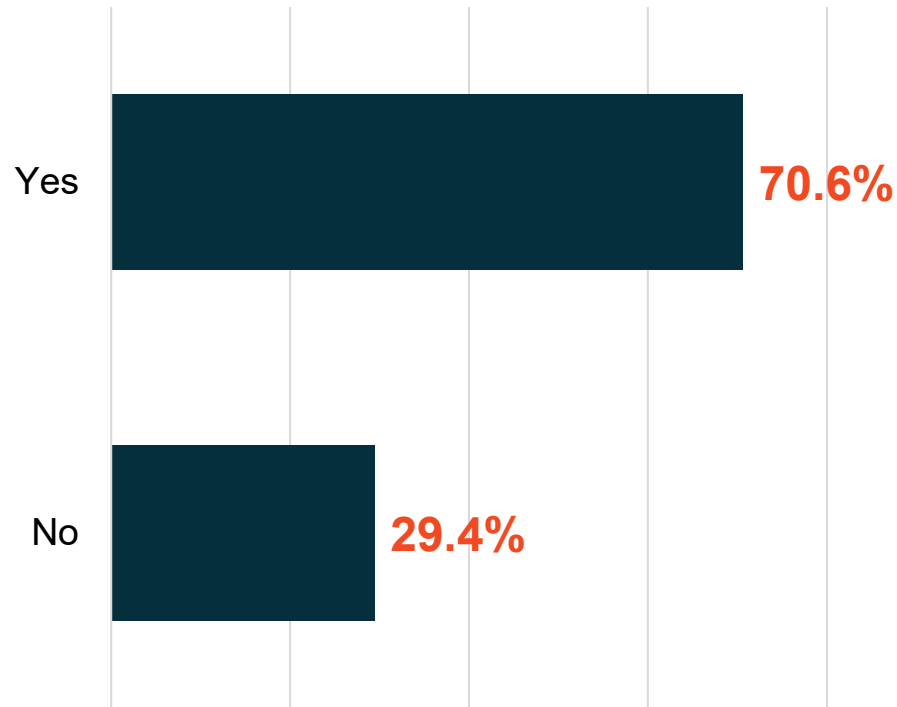
**Have you mapped your values to inform your response to current/future issues?**  
(Single Choice)



**Roundtable N=16**

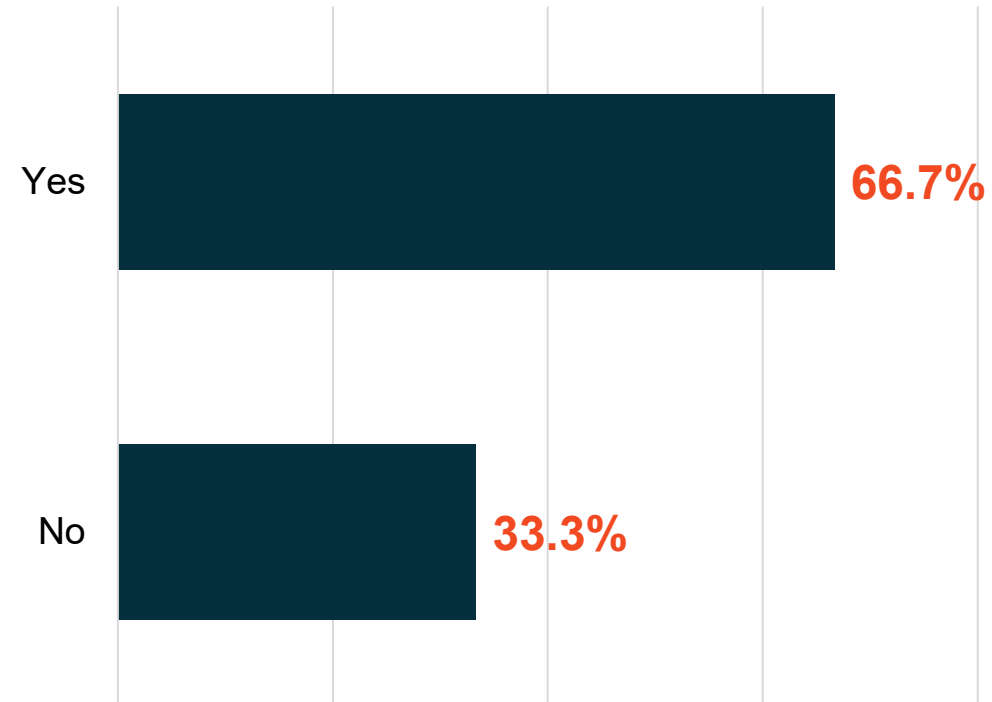
# Crisis Response

Are you increasing your communications about respect in the workplace given the current political environment, either pre or post election? (Single Choice)



Roundtable N=17

Have you introduced any resource groups to support the people when crises happen or as you anticipate new ones? (Single Choice)



Roundtable N=18

# Topic 2: Innovative Training to Enhance Employee Engagement

Discussion led by: **Ludovic Roptus**, Compliance Officer Americas, & **Christine Lee**, Manager Internal Control & Compliance, *Infineon Technologies*



What are the issues faced today?

- Training fatigue
- What are best ways to collect feedback, measure effectiveness and address issues of the day
- How best to deliver training?

What are the issues you're trying to solve and what format will work best?

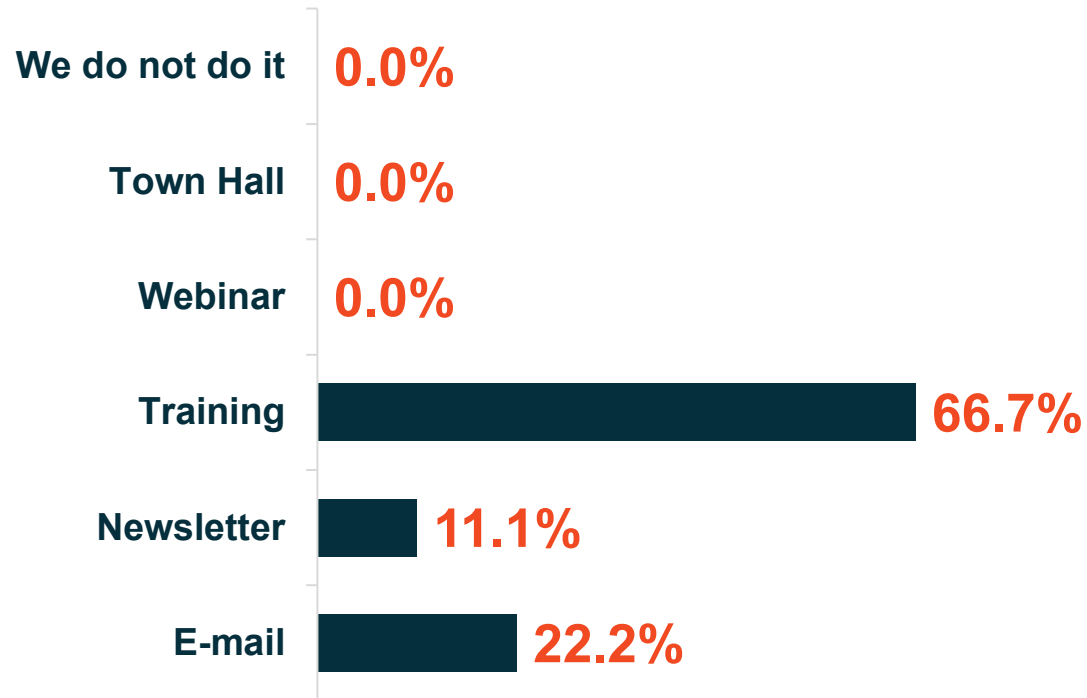
- Engage conversations on social justice issues
- Catch attention and be informative without lecturing to audience
- How to scale and tailor training for multiple roles and geographies
- Measure the effectiveness of training
  - Developed a tool internally that allows polling at end of the training that requests live feedback
  - Measure whistleblower access post training to monitor any correlation
- Train the trainer model
  - Managers volunteer to be trained by compliance

Video training vignette demonstrates how words effect coworkers (focus on race, imbalanced relationships, religion, age and gender discrimination)

- Break out questions focus on how you would feel in the situations, how you would handle as a manager or bystander, risks to the business
- Share breakout group insights and feedback
- Communicate how to report and connect with Compliance
- Remind audience of relevant policies

# Recap & Suggested Resources | Training

How do you promote your hotline during the pandemic when a lot of employees are work from home? (Single Choice)



Roundtable N=9

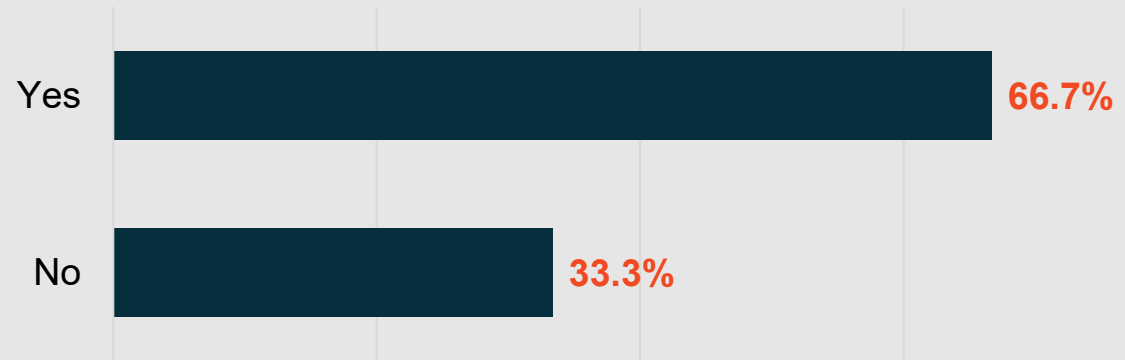
## Suggested BELA Resources

- [Compliance Message for Leadership](#) | Bayer
- [Dilemma! Ethical Challenge Game for Employee Engagement](#) | Avangrid
- [Ethics in Action – Employee Recognition](#) | Schnitzer Steel Industries, Inc.
- [Manager Training Resource on Values in Action](#) | Johnson Controls, Inc.
- [Manager Training Infographic](#)
- [An Approach to Building an Ethics Training Program](#) | U.S. Bank
- [Video Showcase – Training, Augmented Reality App, and Engagement Videos](#) | Bayer
- [Manager’s Ethics Toolkit](#) | Allianz



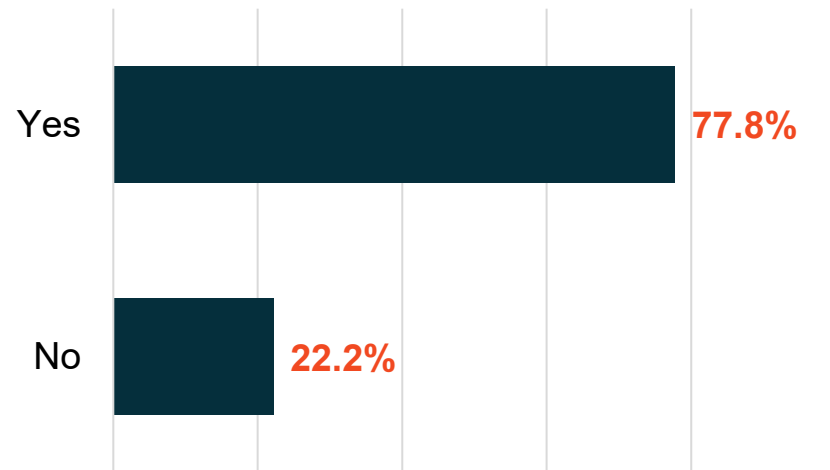
# Training

**Do you conduct a risk assessment to detect workplace misconduct issues?**  
(Single Choice)



**Roundtable N=9**

**Is workplace misconduct a topic that should be handled by a Compliance department?**  
(Single Choice)

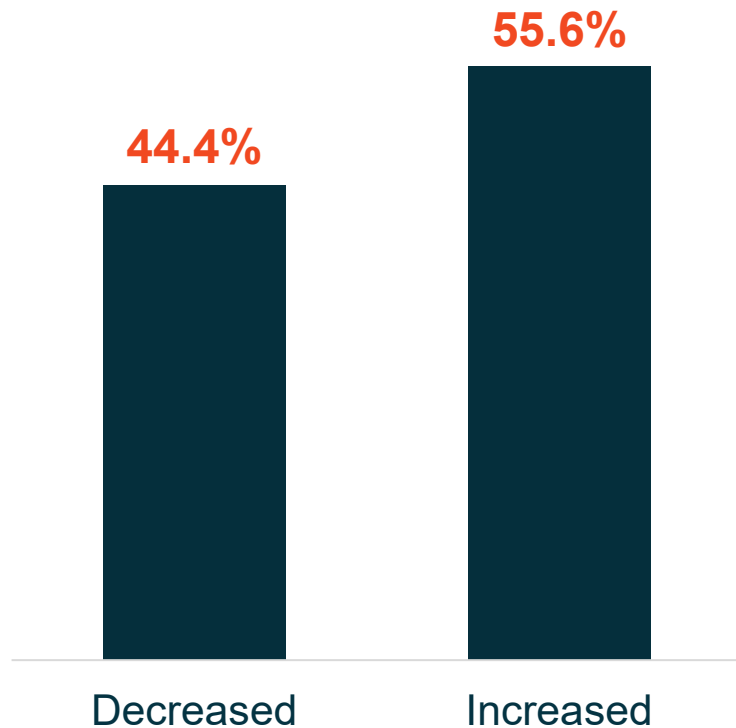


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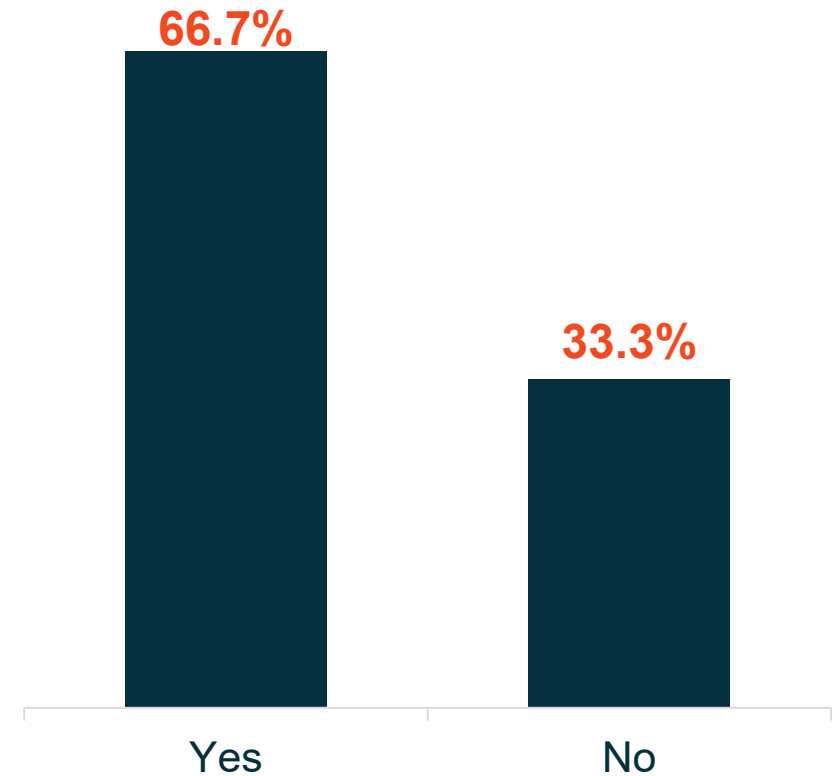
# Workplace Misconduct Training

Has the number of compliance cases increased or decreased due to the pandemic?

(Single Choice)



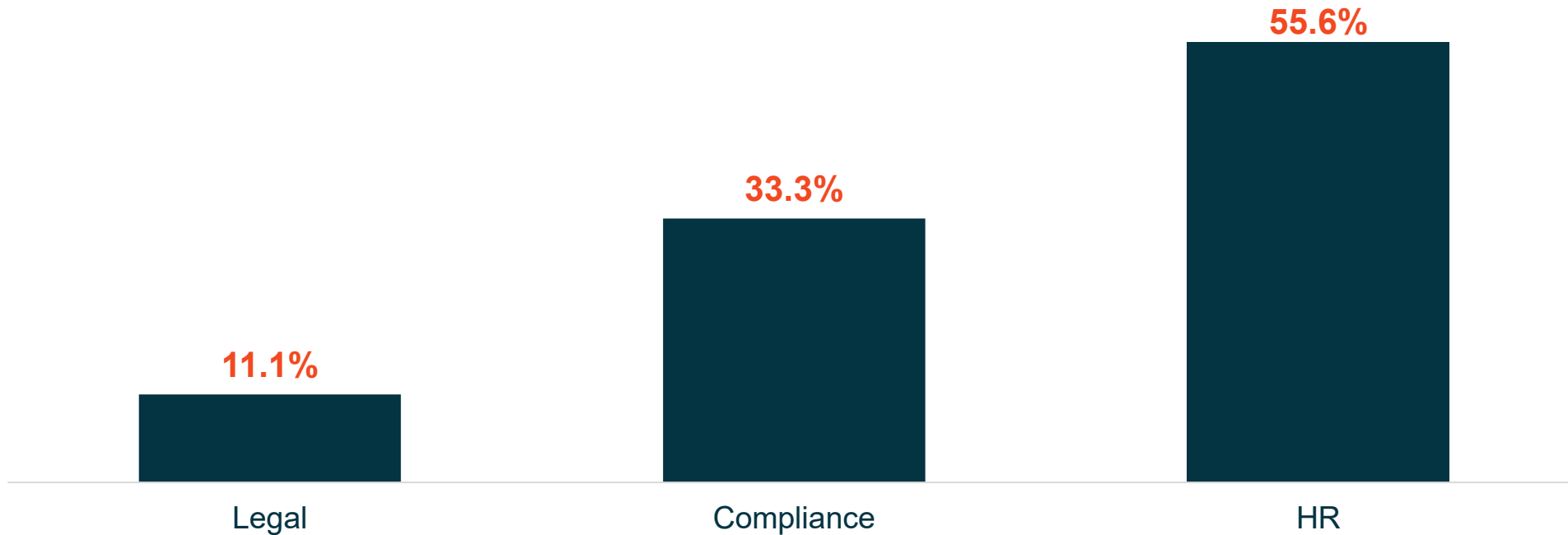
Do you see a link between a high level of workplace misconducts and other compliance and business issues such as corruption, fraud, business operation issues? (Single Choice)



Roundtable N=9

# Workplace Misconduct Training

Which department handles your program (prevention, investigation and sanction) to prevent workplace misconducts? (Single Choice)



Roundtable N=9



# THANK YOU!

## BELA Contacts

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