

2017

PROGRAM AGENDA

BEST PRACTICES FORUM

Omni Shoreham Hotel
Washington, DC 20001

Thursday, June 8, 2017

7:30 AM – 8:15 AM **REGISTRATION**

8:15 AM – 8:45 AM **WELCOME**

Leanne Caret

Chair, DII Steering Committee
President and Chief Executive Officer
Boeing Defense, Space & Security

Ellen Martin

Chair, DII Working Group
Vice President, Ethic and Business Conduct
The Boeing Company

8:45 AM – 9:45 AM **ETHICS AND COMPLIANCE: A VIEW FROM THE DOD PROCUREMENT EXECUTIVES**

This panel will discuss the critical importance of contractor ethics and compliance programs throughout the supply chain and the need for effective partnering and collaboration.

Moderator: **Robert A. Burton**
Partner
Crowell & Moring LLP

Speakers: **Major General Casey D. Blake**
Deputy Assistant Secretary for Contracting
Office of the Assistant Secretary of the Air Force for Acquisition

Mathew C. Blum
Associate Administrator
Office of Federal Procurement Policy

Elliott B. Branch
Deputy Assistant Secretary of the Navy
Acquisition and Procurement

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John M. Tenaglia
Deputy Director
Defense Procurement and Acquisition Policy

9:45 AM – 10:00 AM **BREAK**

10:00 AM – 11:00 AM **WHAT DO YOU MEAN THE RULES HAVE CHANGED????**
Yes, there have been substantial changes in Federal gift rules in 2017. Senior DoD and Senate ethics officials will walk us through common corporate events and situations which spawn myriads of questions for Ethics Advisors. Compare your current practices and guidance with the new realities when dealing with executive and legislative branch officials.

Moderator: **John Sassaman**
Director
The Boeing Company

Speakers: **Ruth Vetter**
Director, Standards of Conduct Office
U.S. Department of Defense

Deborah Mayer
Chief Counsel and Staff Director
U.S. Senate Select Committee on Ethics

Judith Kim
Associate General Counsel, Ethics and Compliance
Booz, Allen, Hamilton

11:00 AM – 12:00 PM **HIGH PERFORMANCE WITH HIGH INTEGRITY**

KEYNOTE SPEAKER

Benjamin W. Heineman, Jr.
Senior Fellow
Belfer Center for Science and International Affairs

12:00 PM – 1:00 PM **NETWORKING LUNCH**

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1:15 PM – 2:15 PM

BREAKOUT SESSION 1

Breakout Sessions have been developed so you may follow one topic throughout the conference or, if you prefer, mix and match the sessions to your interests.

Breakout A: Culture – Reaching Mid-level Managers (Palladian)

Ethics & Compliance programs focus on engaging your company's mid-level managers to promote ethical behavior and a culture of integrity through the workplace. While the tone at the top is crucial for an ethical and compliance-based workforce, it is equally important that mid-level managers foster these same goals and inspire their teams to similarly engage. Panelists will present approaches that have been implemented and proven successful in engaging mid-level managers.

Moderator:

David Feniger

Vice President and General Counsel
Health Net Federal Services

Speakers:

Rhonda Grady

Program Manager
Ethics & Business Compliance
Esterline Corporation

John Lossing

Sr. Director, Compliance
Mission Essential

Michael Miller

Senior Director
Ethics & Compliance
Aerojet Rocketdyne

Breakout B: Risk Management – How to Assess Top Compliance Risks (Congressional A)

Practical guidance on how to identify and assess compliance risks (as distinguished more broadly from enterprise strategic, operational, or financial risks), and sharing of common Ethics & Compliance risks.

Moderators:

Jamal Ahmed

Vice President, Internal Audit
Day & Zimmermann

Melisse Ader-Duncan

Sr. Associate General Counsel
Textron Systems

Speakers:

John Bartholomew

Executive Director Corporate
Governance & Compliance
Concurrent Technologies
Corporation

Rich Gilligan

Vice President, Ethics
Serco

Breakout C: Leadership Engagement-Approaching Top Level Leaders, Developing the Business Case and Measuring Results (Congressional B)

Two small programs will share how they obtained leadership buy-in and support for their Ethics & Compliance programs and use innovation to leverage resources. The panel will explore how to develop a business case for an Ethics and Compliance program, including measuring return on investment and risk mitigation.

Moderator:

Roz Bliss

Manager, Global Integrity
Northrop Grumman Corporation

Speakers:

Natalie Corella

Chief Compliance Officer
Advanced Technology International

Paige Shannon

Vice President, Risk and Compliance
KForce

2:15 PM – 2:25 PM

BREAK

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2:25 PM – 3:25 PM

BREAKOUT SESSION 2

Breakout A: Culture – Respond and Recover from Misadventure **(Congressional A)**

Share best practices for creating an effective and open culture that encourages errors, or misadventures, to be acknowledged and then remedied. A fear-based culture may lead to an environment of concealing misadventures, placing a company at greater risk. The panel will review approaches in which a culture of accountability allows for, and responds to, misadventures as part of an effective operating rhythm.

Moderator:

Noelle Slifka

VP & Associate General Counsel,
Government Contracts
United Technologies Corporation

Speakers:

Ayman Bekdash

Vice President
Business Development
DGC International

Peter Gundersen

Vice President
International Trade Compliance
United Technologies Corporation

David Handler

Chief Compliance Officer & Deputy
General Counsel
GE Aviation

Breakout B: Risk Management – Approaches to Develop Mitigation Plans and Controls **(Palladian)**

Identify methods to develop risk area mitigation plans, implement controls, and determine tracking mechanisms to measure achievement to plan.

Moderators:

Jamal Ahmed

Vice President, Internal Audit
Day & Zimmermann

Melisse Ader-Duncan

Sr. Associate General Counsel
Textron Systems

Speakers:

JB Wakefield

Compliance Leader
Military Systems Operation
GE Aviation

Hilary Hageman

Vice President, Chief Privacy Officer,
Chief Counsel for Cyber Security and
Privacy
SAIC

Breakout C: Leadership Engagement – Building, Influencing, and Incentivizing an Ethics and Compliance Network **(Congressional B)**

Many Ethics & Compliance programs rely on networks of internal volunteers throughout organizations to act as an extension of ethics and compliance program. The panel will discuss how to build, influence and incentivize these networks in a manner that benefits both the individual as well as the company – individuals engage to enrich their careers and add value to the business while providing the support needed for Ethics & Compliance programs.

Moderator:

Blair Marks

Director, Ethics Engagement and
International Operations
Lockheed Martin Corporation

Speakers:

Terry Bridges

Director, Ethics and Compliance
Georgia Tech Research Institute

Christina Herold

Ethics Advisor
Northrop Grumman Corporation

Maria Hubbard

Director, Ethics and Diversity
General Dynamics

Michael Salvetti

Manager, Logistics Engineering
Huntington Ingalls Industries

3:25 PM – 3:45 PM

BREAK

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3:45 PM – 4:30 PM

PARTNERING WITH SMALL BUSINESS SUPPLIERS – HEARING THEIR CHALLENGES/SBA REQUIREMENT (UNDER NDAA)

The Small Business Administration, Suspension & Debarment Officials, and the 2017 National Defense Authorization Act have acknowledged that small business suppliers require assistance in understanding compliance obligations under U.S. contracting regulations. This session identifies opportunities for engagement with small supply chain partners through awareness trainings via conferences, webinars, mentoring, and sharing of the DII Small Business Toolkit.

Moderator:

Kim Kaminski
Vice President & Chief Ethics Officer
BAE Systems, Inc.

Speakers:

Kenneth Dodds
Director of Policy, Planning and Liaison
Small Business Administration

Karen O'Brien
Senior Ethics Officer
Lockheed Martin Corporation

Gloria Pualani
Director Supplier Diversity
Northrop Grumman

4:30 PM – 5:15 PM

DII PROGRAM COMPARISON SURVEY

The results of the recently launched signatory comparison survey will be revealed. The study includes key elements of our programs including organizational structure, training and communications, hotline statistics, and the use of surveys.

Speakers:

Pat Harned, Ph.D
Chief Executive Officer
Ethics & Compliance Initiative

Skip Lowney
Director, Benchmarking Services
Ethics & Compliance Initiative

5:15 PM – 6:45 PM

RECEPTION

PROGRAM AGENDA

Friday, June 9, 2017

7:30 AM - 8:30 AM **REGISTRATION/BREAKFAST**

8:30 AM - 8:45 AM **OPENING REMARKS**

Ellen Martin

Chair, DII Working Group

Vice President, Ethic and Business Conduct

The Boeing Company

8:45 AM - 9:45 AM **BREAKOUT SESSION 3**

**Breakout A: Culture –
Advancements in Values Based
Education (Congressional A)**

Examine the importance and efficacy of a values-based organization -- that is a living and breathing culture of shared values among all employees.

Practitioners will offer viewpoints on successful values-based education, placing particular emphasis on recent advancements and new approaches. The panel will provide examples of management and leadership engagement in this values-based endeavor, which leads to increased productivity and employee engagement.

Moderator:

Bridget McGraw

Executive Risk Counsel
GE Aviation

Speakers:

Tracy Scroggins

Ethics & Compliance
United Launch Alliance

Jason Frei

Director
Ethics and Business Conduct
The Boeing Company

**Breakout B: Risk Management –
Recognizing Emerging Risks/Blind
spots (case study) (Congressional B)**

Panel will describe personal experiences in mitigating selected compliance risks, share challenges faced and successes achieved.

Moderators:

Jamal Ahmed

Vice President, Internal Audit
Day & Zimmermann

Melisse Ader-Duncan

Sr. Associate General Counsel
Textron Systems

Speakers:

Charles Neff

Director of Compliance
Huntington Ingalls Industries

**Breakout C: Leadership Engagement
– Influencing Leaders to Carry the
Message (Palladian)**

Panelists will share how they have influenced their leaders to carry the ethics message, including creating an open culture to foster speaking up, setting the bar for ethical behavior and cascading ethical messages throughout the organization.

Moderator:

Dr. Danny Ebb

Sector Director, Ethics and Business
Conduct
Northrop Grumman Corporation

Speakers:

Evelyn Gregory

Manager of Ethics
Huntington Ingalls Industries

Paul Meredith

Director of Ethics & Trade
Compliance
Vectrus

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Michele Brown

SVP, Chief Ethics & Compliance
Officer, Deputy General Counsel
Leidos

Dmitry Chausovsky

Director
Compliance Risk Management
The Boeing Company

Michael Miller

Senior Director
Ethics & Compliance
Aerojet Rocketdyne Holdings, Inc.

Hau Pho

Senior Manager
Compliance Risk Management
The Boeing Company

Todd Thompson

Manager, Risk and Compliance
Ingalls Shipbuilding

10:00 AM - 10:15 AM **BREAK**

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10:15 AM – 11:00 AM BREAKOUT SESSION 4

Best Practice forum participants will have the opportunity to share best practices and also ask for ideas of help with enhancing their ethics program. The participants will break into four groups and will rotate into different breakout rooms to focus on:

Breakout A: Effective Ethics & Business Conduct Program – Inquiry and Reporting Mechanisms (Cabinet)

Facilitators:

Kathy Norton

Vice President PGBA
BCBSSC Compliance
Officer and Privacy
Official
PGBA

James Smith

Senior Manager
Ethics and Business
Conduct
The Boeing Company

Breakout B: Effective Ethics & Business Conduct Program – Investigations (Palladian)

Facilitators:

Norman Good

Director
Ethics and Business
Conduct
The Boeing Company

Trisha Olson

Director, Ethics and
Business Conduct
Rockwell Collins

Breakout C: Effective Ethics & Business Conduct Program – Code and Policy (Congressional A)

Facilitators:

Rielle Miller Gabriel

Ethics Analysis Manager
Lockheed Martin
Corporation

Nancy Phillips

Senior Manager
Ethics and Business
Conduct
The Boeing Company

Breakout D: Effective Ethics & Business Conduct Program – Communications Plan and Awareness Initiatives and Training (Congressional B)

Facilitators:

Tina Chiriaco

P&S Sector
Ethics Director
BAE Systems

Noelle Slifka

VP & Associate General
Counsel, Government
Contracts
United Technologies
Corporation

11:00 AM – 11:15 AM BREAK

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11:15 AM – 12:00 PM BREAKOUT SESSION 4

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James Smith

Senior Manager
Ethics and Business
Conduct
The Boeing Company

Breakout B: Effective Ethics & Business Conduct Program – Investigations (Congressional B)

Facilitators:

Norman Good

Director
Ethics and Business
Conduct
The Boeing Company

Trisha Olson

Director, Ethics and
Business Conduct
Rockwell Collins

Breakout C: Effective Ethics & Business Conduct Program –Code and Policy (Congressional A)

Facilitators:

Rielle Miller-Gabriel

Ethics Analysis Manager
Lockheed Martin
Corporation

Nancy Phillips

Senior Manager
Ethics and Business
Conduct
The Boeing Company

Breakout D: Effective Ethics & Business Conduct Program – Communications Plan and Awareness Initiatives and Training (Palladian)

Facilitators:

Tina Chiriaco

P&S Sector
Ethics Director
BAE Systems

Noelle Slifka

VP & Associate General
Counsel, Government
Contracts
United Technologies
Corporation

12:15 PM – 1:30 PM CAROL MARSHALL LUNCHEON

The Carol Marshall Lecture Series features a speaker who seeks to promote values-based ethical leadership and culture, exhibits strong personal integrity, and continues to advance the field of ethics with thought leadership, innovative practices or progressive ideas.

Guest Speaker: **Retired Col. Arthur Athens**
Stockdale Center for Ethical Leadership

1:30 PM – 1:45 PM CLOSING REMARKS

Ellen Martin

Chair, DII Working Group
Vice President, Ethic and Business Conduct
The Boeing Company