



Code of Conduct: Building the Foundation

Presented by

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Lesson One: Foundations

What is a Code of Conduct & Why Should You Care?

Agenda

- Why Your Code of Conduct is Essential
- Too Often a Missed Opportunity
- Key Characteristics
- Updating Your Code
- Points to Remember

About the Presenter



Ed Petry

NAVEX Global / Senior Advisor / NAVEXEngage

Ed joined NAVEX Global in 2004 after almost 10 years as executive director of the Ethics and Compliance Officer Association (ECO). Ed served on the Advisory Panel to the U.S. Sentencing Commission, which was responsible for the 2004 revisions. Earlier in his career he was a tenured professor of ethics and a prolific author and researcher. While others may claim to know best practices, Ed's work with the ECOA and the Sentencing Commission actually helped establish those practices, as well as the standards by which they are measured. At NAVEX Global, Ed applies his more than 25 years of experience to help companies assess their ethics and compliance programs. He has also written many of the most admired codes of conduct for companies worldwide across nearly every industry.

Why Your Code of Conduct is Essential

- A “day one” document
- The public statement of your commitment to ethics and compliance
- Foundational to all your ethics and compliance efforts
- Essential for regulatory compliance



Too Often a Missed Opportunity

Too Many Codes Are...

- Too Long and boring
- Hard to use
- Hard to understand with compliance / legalistic language
- Missing key and emerging risk areas
- Out of sync with overall efforts to simplify
- Out of touch with how we search for information today
- Not aligned with organizational culture



Key Characteristics

A Code of Conduct Is

- **Foundational**
 - Aligned with Mission, Vision and Values
 - Created to be connected to all of your ethics and compliance efforts
- **Dynamic and Engaging**
 - Linked
 - Consistent with branding
- **Personal**
 - Not like every other companies', make it your own
 - Speaks to the individual
- **A document to be proud of**
 - Created collaboratively
 - Reflects your organization at it's best



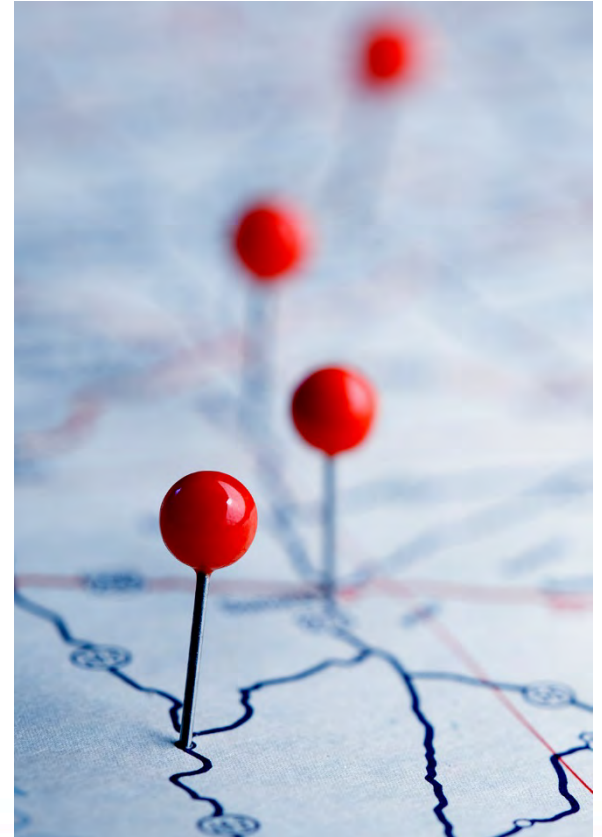
Key Characteristics

- **Keep it:**
 - High level
 - Principle-based
 - Easy to use
- **Style:**
 - Uniform
 - Consistent
 - Easy to read



Updating Your Code

- Make a realistic plan
- Ensure buy-in from key leaders
- Don't go it alone
 - Form a working committee (Legal, HR, Marketing)
 - Use SMEs early
 - Learn from best practice codes
- Make the most of links and features
- Remember: the launch is key





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