


**STAYING ON COURSE:  
MAINTAINING EMPLOYEE  
FOCUS IN THE MIDST OF A  
WORKPLACE INVESTIGATION**

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SCCE OIL & UTILITIES CONFERENCE,  
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**INTRODUCTION**

- TAMEKA RAMSEY, JD, CCEP
- HIGHLY-REGULATED INDUSTRY
- 15 YEARS COMPLIANCE AND REGULATORY
- CONOCOPHILLIPS COMPANY
- MANAGER, GLOBAL COMPLIANCE AND ETHICS

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**GLOBAL COMPLIANCE & ETHICS**

-  Manage Policy Portal and 24/7 Ethics HelpLine
-  Oversee Investigations, Track Ethics Matters and Report Activity to Audit & Finance Committee
-  Conduct Annual Ethics Compliance Certification
-  Implement GC&E Training & Communication

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## THE CHALLENGE



- ALLEGATIONS OF MISCONDUCT MUST BE INVESTIGATED TO MITIGATE FINANCIAL, REGULATORY, ETHICAL, AND REPUTATIONAL RISKS
- CORE BUSINESS DOES NOT STOP FOR AN INVESTIGATION \$\$\$\$\$
- INVESTIGATIONS CAN BE STRESSFUL AND IMPACT EMPLOYEE CONTRIBUTIONS
- HOW DO WE EFFECTIVELY INVESTIGATE CONCERNS AND MINIMIZE IMPACT ON EMPLOYEE FOCUS AND PRODUCTIVITY

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"Our people are our greatest asset."  
- Every CEO Ever

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## DON'T LET THIS BE YOU...



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## ROADMAP

- RESPONSES TO WORKPLACE INVESTIGATIONS
- WHO CARES?
- PRACTICAL TIPS
- Q & A

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## TYPES OF WORKPLACE INVESTIGATIONS

- CONFLICTS OF INTERESTS
- SAFETY
- FINANCIAL & BUSINESS INTEGRITY
- MISUSE OF COMPANY ASSETS
- VIOLENCE AND THREATS
- THEFT
- DISCRIMINATION, HARASSMENT, RETALIATION

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## NEVER A HAPPY DAY WHEN THE ETHICS OFFICE CALLS!



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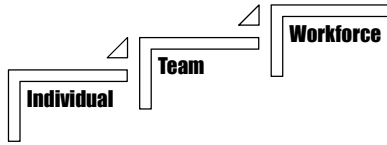
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## INVESTIGATION IMPACT



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## INDIVIDUAL IMPACT

- WHO REPORTED THIS?
- WILL EVERYONE KNOW IT'S ME?
- WHO WILL INVESTIGATE?
- DID I DO SOMETHING WRONG?
- SHOULD I CALL AN ATTORNEY?
- WHAT IF I REFUSE TO COOPERATE?
- DID SOMEONE ELSE DO SOMETHING WRONG?
- WHAT DO THEY WANT TO KNOW?
- WHAT DO THEY ALREADY KNOW?
- WILL I ANSWER CORRECTLY?
- WHO WILL KNOW WHAT MY ANSWERS WERE?
- WHAT WILL HAPPEN IF I TELL?



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## ANXIETY: IT'S HUMAN NATURE!



- EMOTIONAL
- VOLATILE
- TROUBLE FALLING ASLEEP OR STAYING ASLEEP
- INABILITY TO FOCUS
- INDIGESTION
- LOSS OF APPETITE
- OVEREATING
- IRRATIONAL FEARS

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## I LOVE MY TEAM



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## TEAM IMPACT

### EMPLOYEE MORALE

- HOW YOU FEEL ABOUT WHERE YOU WORK
- PROVEN TO HAVE A DIRECT EFFECT ON PRODUCTIVITY
- TYPICALLY MORALE PLUMMETS IN THE WAKE OF AN INVESTIGATION
- LOSS OF EMPLOYEE DISCRETIONARY EFFORT
- SOMETIMES MORALE INCREASES DUE TO RENEWED FAITH THAT THE COMPANY WILL TAKE ACTION

### TEAM DYNAMICS

- STRONG TEAMS ARE BUILDING BLOCKS FOR HIGH-PERFORMING ORGANIZATIONS
- EVERY MAN FOR HIMSELF
- MANAGEMENT V. RANK AND FILE
- STRAINED COMMUNICATIONS
- BROKEN TRUST

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## ORGANIZATIONAL IMPACT

- COMPANY CULTURE IS DEFINED BY SEVERAL FACTORS:

- COMMUNICATION
- TRUST
- TEAMWORK
- TRANSPARENCY
- RECOGNITION

- INVESTIGATIVE OUTCOMES DEMONSTRATE COMPANY CULTURE DAILY



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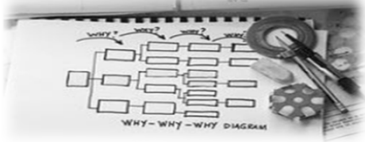
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## WHY SHOULD I CARE?



IT'S NOT MY JOB!

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## PRODUCTIVE PEOPLE = PROFITS



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## IMPACT ON ETHICS & COMPLIANCE PROGRAM

### SHORT-TERM

- MANAGEMENT DISTRUST
- EMPLOYEE DISTRUST
- LIMITED COOPERATION IN INVESTIGATIONS

### LONG-TERM

- STRAINED RELATIONSHIP WITH BUSINESS
- INCREASED UNETHICAL BEHAVIOR
- UNDERREPORTING
- PROGRAM CREDIBILITY

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## DO YOU?

- CONSIDER THE WORKPLACE HOLISTICALLY?
- RECOGNIZE THE FOOTPRINT LEFT BEHIND BY INVESTIGATIVE EFFORTS?
- DEVELOP INVESTIGATIVE STRATEGIES THAT EXTRACT RELEVANT INFORMATION WHILE CONSIDERING THE SHORT AND LONG-TERM IMPACT ON ALL INVOLVED PARTIES?
- ORCHESTRATE SEAMLESS ENTRANCE AND EXIT ?

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## PRACTICAL TIPS

- SELECT INVESTIGATORS CAREFULLY
- PREPARE MANAGERS AND SET EXPECTATIONS
- KNOW YOUR GEOGRAPHY & CULTURE
- INVESTIGATIVE STRATEGY
- PRE-WORK
- BE MINDFUL OF WHEN PARTIES ARE CONTACTED
- INTERVIEW LOCATION
- PRIVACY & CONFIDENTIALITY PROMISES
- CONSISTENCY IN EMPLOYEE INTERVIEWS
- AVOID LEGALESE
- TAKING TOO LONG TO CLOSE OUT
- ADDRESS THE WHITE ELEPHANT
- RETALIATION RISKS
- BE MINDFUL OF OPTICS

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## ORGANIZATIONAL RESOURCES

- MANAGEMENT
- HUMAN RESOURCES
- LEGAL COUNSEL
- INTERNAL AUDIT
- IT
- EMPLOYEE ASSISTANCE PROGRAM

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## WINNING



- SHOW COMMITMENT TO WORKPLACE FAIRNESS & EQUITY
- INCREASE KNOWLEDGE ABOUT ETHICAL BUSINESS
- IDENTIFY BETTER BUSINESS PROCESSES
- INCREASE EMPLOYEE MORALE AND PRODUCTIVITY
- END INAPPROPRIATE CONDUCT BY OTHER EMPLOYEES
- REFUEL EMPLOYEE FAITH IN COMPANY
- IDENTIFY OR IMPLEMENT OF BETTER BUSINESS PROCESSES
- RETAIN EMPLOYEES COMMITTED TO INTEGRITY
- DETER FUTURE UNETHICAL BEHAVIORS

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## HIGHLIGHTS

- PENDING INVESTIGATIONS IMPACT MANAGEMENT, IMPLICATED EMPLOYEES, WITNESSES, AND OTHERS IN THE WORKGROUP
- RECOGNIZE POSSIBLE NEGATIVE EFFECTS OF INVESTIGATIONS AND WORK THOSE CONSIDERATIONS INTO THE INVESTIGATIVE PLAN
- AVOID COMMON PITFALLS
- UTILIZE APPROPRIATE RESOURCES WHEN CLOSING OUT INVESTIGATIONS
- LEAVE A WORKPLACE BETTER THAN YOU FOUND IT



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## SOURCES

- [HTTP://WWW.HEALTH.COM/HEALTH/GALLERY/0,,20646990\\_6,00.HTML](http://www.health.com/health/gallery/0,,20646990_6,00.html) 12 SIGNS YOU MAY HAVE ANXIETY.
- [HTTP://WWW.NYTIMES.COM/HEALTH/GUIDES/SYMPTOMS/STRESS-AND-ANXIETY/THE-BODY'S-RESPONSE.HTML](http://www.nytimes.com/health/guides/symptoms/stress-and-anxiety/the-body-s-response.html)
- [HTTPS://EN.WIKIPEDIA.ORG/WIKI/EMPLOYEE\\_MORALE](https://en.wikipedia.org/wiki/Employee_morale)
- [HTTP://WWW.BUSINESSDICTIONARY.COM/DEFINITION/EMPLOYEE-MORALE.HTML](http://www.businessdictionary.com/definition/employee-morale.html)
- [HTTP://WWW.ANNESE.COM/BLOG/BID/220658/6-KEY-FACTORS-THAT-INFLUENCE-EMPLOYEE-CULTURE](http://www.annese.com/blog/bid/220658/6-key-factors-that-influence-employee-culture)

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