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# Technology Management Council

## Chapters News



Enabling technology professionals and managers to optimize their career opportunities and organizational effectiveness

# Why Ethics and Compliance Programs Can Fail<sup>1</sup>

By Megan Barry  
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**Abstract:**

Most employees strive and want to do the right thing, but they can get into trouble when they think the organization expects them to behave unethically.

**Keywords:**

Ethics Officer

**Executive Summary:**

**Carrots and Sticks:**

Ethics Officers now exist in over half of all multinational companies recently surveyed. This growth was spurred by the Federal Sentencing Guidelines in the early 1990s. When these guidelines were introduced, a “carrot and stick” approach was utilized. The “stick” permits a judge to impose harsh penalties upon a firm whose employees commit federal crimes. The

“Carrot” gives organizations an opportunity to mitigate potential punishment provided the company had implemented a seven element process before the crime occurred. However, some companies use this framework and still fall short. There are other reasons why these imitative fail, of course.

**Danger #1: Standards Are Inconsistent**

*Problem: Not Having Clearly Articulated and Shared Company Values:*

The cornerstone to starting and maintaining an ethics and compliance culture is a shared set of values and standards. Also, a shared understanding that it applied to all individuals, regardless of their level in the organization, is crucial.

*Problem: Senior Management Limits Its Approach to Ethics by not Creating a Global Standard:*

Just because something is legal, does not make it

ethical. A firm should have a global standard standard that applies wherever it does business.

**Problem: Lack of Board of Director Involvement in Crafting the Code of Conduct and Creating an Ethical Environment:**

Recent studies found that today's boards of directors were more likely to take an active role in shaping an organization's principles than were their predecessors of a decade ago. Yet, despite this growth, a quarter of the boards still have no involvement.

**Problem: Inconsistency in the Message Contained in the Code:**

When employees view inconsistencies in the code, they made wonder about senior management's commitment to an ethics and compliance initiative.

**Problem: Arcane Policies and Procedures that Employees Routinely Violate:**

It is possible to take efforts to monitor and control employee efforts to an extreme. If companies create an atmosphere that is too restrictive, the company creates an atmosphere in which employees feel they could disregard some policies if they did not like them.

## **Danger #2: Ethics Officers Lack Support.**

**Problem: Ethics Officers Aren't Given the Power they Need to Do Their Job Effectively:**

When firms fail to empower Ethics Officers, their effectiveness is weakened. Research indicates that support of Ethics Officers seems to be slipping.

## **Danger #3: Communication is Poor.**

**Problem: Training Programs Are One-Time Events, and Not Everyone Receives the Training**

Although most organizations do an initial rollout to communicate standards and procedures, the initiative often loses steam. Effective initiatives devise a communication strategy that includes training for all levels of employees.

## **Danger #4: Systems Are Weak.**

**Problem: Failure to Give Employees a Safe and Reliable Place to Report Misconduct-Anonymously, if Necessary-Without Suffering Retaliation.**

A critical role for many compliance and ethics officers is to maintain a system thorough which employees can raise issues and ask questions.

## **Danger #5: There's No Way to Enforce Standards**

**Problem: Inconsistent Application of Punishments Depending on the Level of the Offender**

The ethics and compliance function must work succinctly with all corporate functions, including human resources, security, audit, and legal, making sure discipline is consistent and appropriate.

### **Why it Matters:**

Ultimately, A successful program helps to protect a company's reputation. Further, regaining a good reputation may well take a lifetime.

In closing, A reputation is an immeasurable asset that is hard to gain, and very easy to lose. It is worth protecting.

# Member Societies

## **Communications Society**

### **ABOUT COMMUNICATIONS SOCIETY**

Founded in 1952 with the formation of IRE's (the Institute of Radio Engineers) Professional Group on Communications Systems (PGCS), **IEEE Communications Society** has evolved into a diverse group of global industry professionals with a common interest in advancing all communications technologies. Members interact across international and technological borders to:

- produce publications
- organize conferences
- foster educational programs
- promote local activities
- work on technical committees

Since the **Communications Society** began operations in January 1972 as an independent Society of The Institute of Electrical and Electronics Engineers (IEEE) with over 8,800 members, **ComSoc** has become the premier international forum for the exchange of ideas on communications technologies and information networking.

### **TECHNICAL COMMITTEES**

Actually Communications Society has 24 Technical Committees

Ad Hoc & Sensor Networks  
Cognitive Networks  
Communications & Information Security  
Communications Quality and Reliability  
Communications Software  
Communications Switching & Routing  
Communications Systems Integration & Modeling  
Communication Theory

Computer Communications  
Data Storage  
e-Health  
High-Speed Networking  
Information Infrastructure & Networking  
Internet  
Multimedia Communications  
Network Operations & Management  
Optical Networking  
Power Line Communications  
Radio Communications  
Satellite & Space Communications  
Signal Processing & Communications Electronics  
Tactical Communications & Operations  
Transmission, Access, & Optical Systems  
Wireless Communications

Refers to

<http://www.comsoc.org/about/committees/Technical>

For more information about ComSoc TCs

## **Communications Society Chapters**

Although IEEE is the international leader in the publication of technical electrical information, many of the benefits that members obtain from IEEE are found at the "grass-roots" level. At the local level, members meet others with similar interests in a familiar setting. Speakers from the community and elsewhere share valuable information with their audiences who then have opportunities for questions and comments. Excellent discussions often result--due in part to these diverse gatherings of personalities and backgrounds. Needless to say, Chapter meetings can result in the formation of business contacts and friendships that frequently extend for many years.

For those with leadership ability and skills, local Chapters provide opportunities to practice, build, demonstrate, and develop their skills. Chairs and other executives are always in demand in both the local Chapter and the Section. Thereafter, opportunities may expand and move on through Regional Activities to higher levels of management, or via the international route to the Technical Committees. Skills learned and used at the Chapter level are the same as those used in business. Also, the environment within the local Chapter is friendlier than that of most businesses--since IEEE is seeking to serve the particular needs of local members. Overall, membership in the local Chapter is a

winning situation for everyone, whether one's interests are technical, business, social, managerial, or -- as more often the case -- some combination of these. Communication Society actually has 207 Chapters operating along the world; see reference page to know more about it.

<http://www.comsoc.org/about/chapters>

## **Societies supporting TMC**

[Broadcast Technology Society](#)  
[Circuits & Systems Society](#)  
[Communications Society](#)  
[Computer Society](#)  
[Electromagnetic Compatibility Society,](#)  
[Electron Devices Society](#)  
[Industrial Electronics Society](#)  
[Lasers and Electro-Optics Society](#)  
[Professional Communication Society](#)  
[Reliability Society](#)  
[Signal Processing Society](#)  
[Solid State Circuits Society](#)  
[Systems Man and Cybernetics Society](#)  
[Vehicular Technology Society](#)

# News

## Spanish Chapter

Spanish Chapter has new Authorities  
After 2 year term Spain Chapter elect a new Chapter Board.

The new authorities are:

President: Carlos E. Jiménez

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Vice President (and president for the 2013-2015 period):

Francisco Falcone

Secretary: Federico González

fgonzalezp@ieee.org

Treasurer: Antonio L. Flores

Vocal 1: Manuel Castro

Vocal 2: Sergio Martín

Vocal 3: José de Santiago

Past President: Antonio J. Sánchez

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## Rochester Chapter

The IEEE Rochester Section TMC, as part of a Joint Chapters Meeting on March 29, 2011, presented a panel discussion "Mid Career Entrepreneurship". Featuring 5 accomplished technical contributors who have also become businessmen, the panel explored the personal experiences and leanings gained by the book in a few cases, but mainly by hard knock in the most important matters. The textbooks say business plans, risk assessments, adequate financing; the experiences don't contradict them, but emphasize the rapid pace of change and turmoil in the startup world. Over 20 audience members, IEEE members and general public, engaged this discussion with questions and comments with panelists and among themselves.

By Thomas Pian

## IEEE International Technology Management Conference (ITMC)

Dear Technology Management Professional --

Thank you for joining our ITMC DList. Registration is now open for the **IEEE Int'l Technology Management Conference (ITMC -- [www.ieee-itmc.org](http://www.ieee-itmc.org))** coming up in Silicon Valley/San Jose, CA USA from June 27-30, 2011. With a strong program and top-notch Short Courses (download the Advance Program at [www.ieee-itmc.org/program](http://www.ieee-itmc.org/program)), this is one that shouldn't be missed.

Some details:

-- Hilton Hotel, San Jose, CA -- 6 tracks -- 190 papers in 38 sessions -- 4 Short Courses

-- Only US\$500 (or \$100 no-frills), through **May 15th** (Member rate)

**Keynotes:** **Dr. William F. Miller**, Stanford University (author of *The Silicon Valley Edge: A Habitat for Innovation and Entrepreneurship*) and **Dr. Geoffrey Moore** (author of *Dealing with Darwin*)

**Sessions:** - Adapting to Changing Management & Career Paths - Facilitating Collaboration - Globalization of R&D - Information Networks - Innovative Business Models - Innovative Strategies of Entrepreneurial Firms - Management of Knowledge Creation - Managing Organizational Performance - Open Innovation - Optimizing Knowledge Management - Outsourcing, Technology Issues in Global Supply Chains - Partnering for Innovation - R&D Management - Sustainability - Entrepreneurship ... and more

Register here: [www.ieee-itmc.org](http://www.ieee-itmc.org) Advance Program: [www.ieee-itmc.org/pdf/itmc2011ap.pdf](http://www.ieee-itmc.org/pdf/itmc2011ap.pdf)

If you will need a **Letter of Invitation** to get a visa for attending from outside the USA, please see instructions on the Registration Page. Also, see pages 6 and 7 of the Advance Program for full information on **Monday's Short Courses:**

- **Strategic Project Leadership:** Transforming Organizations with Business-Focused Projects

- **Experiencing Agility: Software Project Management:** roles, responsibilities, interactions, and processes for Software Projects

- **Managing Project Risk:** Identifying, assessing, prioritizing, strategies

- **Tips for Publishing in International Journals:** Knowing the process, choosing the journal, responding to reviews.

I trust you'll value your attendance at ITMC 2011 in June. Let me know (by email) if I can assist you.

Best regards,

Paul Wesling, ITMC Administrator

# Trinidad & Tobago Chapter

## TMC Chapter of Trinidad & Tobago Section hosted The Robotics Seminar 2011

The Technology Management Council (TMC) Chapter of the IEEE Trinidad and Tobago Section hosted the first Public Seminar on 'Robotics Applications and Practices in Trinidad & Tobago' (The Robotics Seminar 2011) on 19th March 2011. It was organised in collaboration with the Mechanical and Industrial (MI) Division of the Association of Professional Engineers of Trinidad and Tobago (APETT), and the Faculty of Engineering of The University of the West Indies (UWI).

The Seminar was facilitated by **Miss Nirmala Baldeo**, Hon. Secretary of TMC Chapter, IEEEtt. **Professor Kit Fai Pun**, Chairman of the Chapter and **Eng. Derwin Celestin**, the Chairman of the MI Division of APETT, delivered the welcoming addresses to participants.

The Seminar was intended to foster the awareness of Robotics Applications and Practices in Trinidad and Tobago. Three guest speakers were invited, and four presentations were made. These were:

- "Demand-driven Robotic Applications: Caribbean Context and Perspectives" by **Dr. Cathy Ann Radix**, Lecturer, Faculty of Engineering, UWI. In this presentation, Both existing and potential Caribbean robotic applications, across multiple application sectors, are examined to highlight the different ways in which success can be measured, the underlying factors which can either foster or hinder successful deployment, and strategies which technology providers and policy-makers can use to maximise chances of success.
- "Microsoft Education Robotics Programme: A life-long learning experience" by **Ms. Belkis Lopez**, Academic Programme Manager/Partner in Learning Coordinator, Microsoft Trinidad & Tobago and Jamaica. In this presentation, Ms Lopez shared the initiative of the Microsoft Partners in Learning (PiL) programme. This is an Education Robotics project that seeks to attract learners with the "learn by doing concept" and build a learning environment to integrate different disciplines on the design, development and

- programming of robots.
- "Finite-time stabilisation of robotic manipulators" and "Simultaneous state and parameter estimation of uncertain nonlinear systems subject to nonlinear parameterisation" by **Dr. Salim Ibrir**, Associate Professor, The University of Trinidad & Tobago. These two presentations are technical in nature. The first one showed that it would be possible to achieve practical finite-time stability using continuously-differentiable control laws. A Lypunov characterisation of finite-time stability with smooth feedbacks was presented. In the second presentation, Dr. Ibrir shared with audiences, it would be possible to reproduce the unmeasured system states along with the system parameters for a large class of bounded-input-bounded-state nonlinear systems. It is valid for a proposed identification strategy for both linear and non-linear parameterised systems

About 40 participants including invited guest speakers, industry delegates, faculty members and students attended the Seminar. Feedback from participants was overwhelmingly good. Many participants commented that the presenters were very knowledgeable about their areas of expertise and the presentations were interactive and informative. It is also planned to have the Robotics seminar as the annual event for the TMC Chapter for the coming years.

Prepared by:  
Professor Kit F. Pun  
for the Organising Committee  
of the Robotics 2011 Seminar

c/o  
The Technology Management Council (TMC)  
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Dated: 4th May 2011

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