EHM2 — EHM2 TASK 3: CODE OF ETHICS AND LEGAL RESPONSIBILITY ANALYSIS

**ETHICAL LEADERSHIP — C206**

**PRFA — EHM2**

TASK OVERVIEWSUBMISSIONSEVALUATION REPORT

COMPETENCIES

**3008.1.2** : **Ethical Leadership and Code of Ethics**

The graduate identifies influences on ethical leadership and analyzes a code of ethics.

**3008.1.3** : **Policy and Program Development**

The graduate develops policies, practices, procedures, and programs that foster organizational ethics and socially responsible behavior.

**3008.1.5** : **Legal and Regulatory Requirements**

The graduate analyzes applicable legal and regulatory requirements to determine whether organizations meet legal responsibilities.

INTRODUCTION

As a leader in your organization, it is vital that you are familiar with the laws that regulate your industry. Sparked by the dramatic corporate and accounting scandals of Enron, Arthur Andersen, Adelphia, and WorldCom, the Sarbanes-Oxley Act was implemented in 2002 in an effort to restore confidence in the stock markets. Sarbanes-Oxley represents the most important securities legislation since the original federal securities laws of the 1930s as it increased governmental regulation and oversight of publicly traded companies and established protections for whistleblowers. The False Claims Act and the Dodd-Frank Wall Street Reform and Consumer Protection Act provide a financial incentive for those who blow the whistle to report fraudulent activity within their organization.

In this task, you will select and analyze an established company’s code of ethics, analyze how an employee would raise an ethical concern within an organization, and consider current laws with respect to whistleblowers.

SCENARIO

You are an experienced ethics officer who has recently been hired by an established company. You have been tasked with analyzing the company’s current code of ethics and identifying areas in need of improvement.

REQUIREMENTS

*Your submission must be your original work. No more than a combined total of 30% of the submission and no more than a 10% match to any one individual source can be directly quoted or closely paraphrased from sources, even if cited correctly. The similarity report that is provided when you submit your task can be used as a guide.  
  
 You must use the rubric to direct the creation of your submission because it provides detailed criteria that will be used to evaluate your work. Each requirement below may be evaluated by more than one rubric aspect. The rubric aspect titles may contain hyperlinks to relevant portions of the course.  
  
Tasks may****not****be submitted as cloud links, such as links to Google Docs, Google Slides, OneDrive, etc., unless specified in the task requirements. All other submissions must be file types that are uploaded and submitted as attachments (e.g., .docx, .pdf, .ppt).*

Prepare a report (*suggested length of 6–8 pages*) in which you do the following:

A.  Choose a company’s code of ethics from the Web Links section below and analyze that company’s code of ethics by doing the following:

*Note: Links to the code of ethics for the companies can be found in the Web Links section. The code of ethics is only used for section A. You must choose a code of ethics from one of the following companies:*

*•  BP*

*•  Comcast*

*•  Deloitte*

*•  Kaiser Permanente*

*•  Mayo Clinic*

*•  Oracle*

*•  PepsiCo*

*•  Synnex*

*•  Target*

*•  Walmart*

*•  Wells Fargo*

1.  Analyze how well the chosen company’s code of ethics covers the topic of corporate social responsibility (CSR).

2.  Analyze how well the chosen company’s code of ethics covers the topic of compliance with legal mandates.

a.  Describe the ramifications for an organization when it is noncompliant with legal mandates.

b.  Describe **two** policies the chosen company has in their code of ethics to ensure employees behave legally and/or ethically.

3.  Analyze how well the chosen company’s code of ethics facilitates the development of an ethical culture.

4.  Identify **three** resources available to employees to use when raising an ethical concern and discuss which resource you would most likely use to report an ethical concern.

( A.  Be sure to choose a code of ethics from the list provided.

1.   As you review the code of ethics, look for coverage of social responsibility and law, and facilitation of an ethical culture. How well does the code cover these areas? Please note: code of ethics information is also located prior to Task 1.

2a.  What are the ramifications for an organization if it is not compliant with legal mandates?

2b.  Does the code of ethics offer any information about ethical or legal safeguards the organization has in place to prevent unethical or illegal acts? If so, choose two that you would like to discuss in Section A2b. If not, think of two the organization could put into place.

3.   What does the code of ethics say about the process an employee would go through to raise an ethical concern? What are some resources available to employees for raising an ethical concern? Which one or ones would you most likely use, and why?

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B.  Discuss **three** factors an employee might consider before deciding to report unethical conduct observed at work.

1.  Describe **three** internal steps (i.e., inside the company) an employee could take if they decide to report or blow the whistle on misconduct or unethical behavior in the workplace.

2.  Describe **two** possible external actions (i.e., outside the company) an employee can take to report or blow the whistle on misconduct or unethical behavior in the workplace.

(B.  1.  If an employee has discovered that serious misconduct has occurred at work, what are some factors that employee would want to consider when determining whether to blow the whistle on that misconduct?

2.  Reflect on the reporting process an employee would need to follow to blow the whistle. Be sure to include both internal and external reporting steps.

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C.  Analyze **one** advantage and **one** disadvantage of paying whistleblowers. Base your analysis on **one** of the following laws:

•  False Claims Act

•  Dodd-Frank Wall Street and Consumer Protection Act

( C.  Reflect on the advantages and disadvantages of the government's practice of offering payment as a reward to whistleblowers. Jot down the basic provisions of one of the whistleblower laws covered in the course (the False Claims Act or the Dodd-Frank Wall Street and Consumer Protection Act).)

D.  Analyze the changes that organizations have made based on the U.S. Sentencing Guidelines.

1.  Discuss **three** culpability factors that are used to determine fines under the U.S. Sentencing Guidelines.

(D.  Think about how the U.S. sentencing guidelines have changed the way organizations operate. How might an organization do things differently because of the guidelines? What types of policies and procedure might an organization put in place to ensure compliance?

1.   Review the aggravating and mitigating culpability factors. Choose three to discuss.

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E.  Acknowledge sources, using in-text citations and references, for content that is quoted, paraphrased, or summarized.

F.  Demonstrate professional communication in the content and presentation of your submission.

**File Restrictions**

File name may contain only letters, numbers, spaces, and these symbols: ! - \_ . \* ' ( )  
File size limit: 200 MB  
File types allowed: doc, docx, rtf, xls, xlsx, ppt, pptx, odt, pdf, txt, qt, mov, mpg, avi, mp3, wav, mp4, wma, flv, asf, mpeg, wmv, m4v, svg, tif, tiff, jpeg, jpg, gif, png, zip, rar, tar, 7z

**COMPETENT**

The analysis of how well the chosen company’s code of ethics covers the topic of CSR is logical, and the ideas presented are well supported.

**COMPETENT**

The analysis of how well the chosen company’s code of ethics covers the topic of compliance with legal mandates is logical, and the ideas presented are well supported.

**COMPETENT**

The description of the ramifications for an organization when it is noncompliant with legal mandates is logical, and the described ramifications are accurate and relevant to the legal mandates.

**COMPETENT**

The description of 2 policies to ensure employees behave legally and/or ethically is logical. *Both* policies described are relevant to the chosen company.

**COMPETENT**

The analysis of how well the chosen company’s code of ethics facilitates the development of an ethical culture is logical, and the ideas presented are well supported.

**COMPETENT**

The identification of 3 resources an employee could use to raise an ethical concern and the discussion of which resource the candidate would most likely use to report an ethical concern in the chosen company are logical and well supported, and each resource would help the employee raise a concern. The ideas presented include key details.

**COMPETENT**

The discussion of 3 factors that an employee might consider before deciding to report unethical conduct observed at work is logical, and the ideas presented are well supported.

**COMPETENT**

The description of 3 internal steps an employee could take to report or blow the whistle on misconduct or unethical behavior is logical and plausible.

**COMPETENT**

The description of 2 possible external actions an employee can take to report or blow the whistle on misconduct or unethical behavior that occurred inside the workplace is logical and plausible.

**COMPETENT**

The analysis of 1 advantage and 1 disadvantage of paying whistleblowers is logical, contains key details, and specifically references 1 of the given laws.

**COMPETENT**

The analysis of the changes that organizations have made based on the U.S. Sentencing Guidelines contains key details and is logical.

**COMPETENT**

The discussion is logical and accurately addresses 3 culpability factors that are used to determine fines under the U.S. Sentencing Guidelines.

**COMPETENT**

The submission includes in-text citations for sources that are properly quoted, paraphrased, or summarized and a reference list that accurately identifies the author, date, title, and source location as available.

**COMPETENT**

Content reflects attention to detail, is organized, and focuses on the main ideas as prescribed in the task or chosen by the candidate. Terminology is pertinent, is used correctly, and effectively conveys the intended meaning. Mechanics, usage, and grammar promote accurate interpretation and understanding.