



**Global Ethics and Compliance & Leadership Integrity  
BUSMHR 7611 – Sp2 2018**

**Instructor Information:**

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**Course information:**

Days: Tues/Thurs  
2:45-4:15 pm  
Location: 305 Gerlach

**Office Hours:**

Fisher 336  
Tues/Thurs 12-1:30 pm, or  
pre-scheduled; either by apt.

**Course Overview and Objectives:**

Extensive allegations of unethical conduct in Wal-Mart stores' expansion in Mexico in lengthy NY Times reporting illustrate potential violations of the Foreign Corrupt Practices Act (FCPA) – the related DOJ investigation has since extended into India and Brazil. The FCPA has been a dominating component of U.S. and international strategies to combat global corruption and its impact on business and society. Locally-based [Rolls Royce Energy Systems Inc.](#) (RRESI), US hedge fund [Och-Ziff](#), and Brazilian conglomerate [Odebrecht](#) (arising from the infamous "[Operation Carwash](#)" scandal and oil giant Petrobras), are among the latest companies and affiliated executives found in violation of the FCPA. While compliance costs for US business under the FCPA can be significant, for companies actively engaged in Britain or listed on its stock exchange, the UK Bribery Act has even more stringent anti-corruption marketplace restrictions. Beyond the impact of these increasing compliance measures are multiple corporate and community ethical challenges both within and outside enterprise control such as those present in deadly and deplorable supply chain workplaces in Bangladesh, Southeast Asia, Africa and around the world. These hold ongoing ethical, logistics and cultural hurdles for innumerable sectors of global business including American textile, food and electronics companies, such as Apple.

Varied contemporaneous ethical quandaries highlight the impact of existing and increasing global restraints as well as recommended best practice that significantly effect **any** enterprise or individual conducting business internationally. Important to working within and leading entities in all sectors, understanding and appreciating the roots, strengths and weaknesses of states' anti-corruption controls, corporate ethical codes of conduct, and associational or NGO model best practice in market sectors, provides increasingly critical and valuable knowledge for self-protection as well as corporate stewardship.

With growing marketplace expectations from stakeholder customers, employees and investors for corporate social responsibility and sustainability that some international business leaders have described as core business competencies, ethics and integrity in global enterprise no longer represents vague aspirational goals, but rather, fundamental corporate strategy, governance and long-term financial stability.

This course will consider the positive and challenging impacts of ethical dilemmas faced by individuals and enterprises arising internationally under these ethics measures and best practices.

Course objectives met using readings, cases, papers, team and speaker presentations are to:

- Provide a basic understanding of the purposes and application of anti-corruption and ethics governance to international business practices;
- Examine the impact of bribery restrictions and similar restraints, principles of transparency and privacy, global conflicts of interest, model ethics recommendations, and related reporting and accountability schemes, upon conducting international business;

- Explore the uniformity and inconsistency, benefits and inequities, and inherent limits attributable to these “good governance” measures;
- Review the growing impact within the global marketplace of corporate social responsibility and sustainability challenges and the opportunities or disadvantages created for international enterprises and their employees, and;
- Engage discussion and examination of case histories involving choices faced by global companies in complying with and adapting business processes to determine successful personal and business strategies that meet implement high ethical behavior.

The course will be graded upon class preparation and contribution, individual case and speaker analyses, and group projects and presentation.

**Course Resources:**

*Unless otherwise noticed in a preceding class, all content for this course will be located on Carmen in weekly Modules.*

*I am available and welcome meeting, best at any prescheduled, mutually convenient time, to discuss questions or input related to the course, its objectives and content, or grading. Do not hesitate to reach out to me – even if you just would like to talk (\* see Contribution below.)*

**Format:**

*All classes require advance preparation. Students are **expected to have read all assigned material before class** and be fully prepared to actively and informatively contribute to discussions of the materials and Q&A of speakers. Students should be prepared to be **randomly called-upon in class and quizzed** on assigned material.*

The course incorporates cases, articles/readings, classroom discussions, lectures, quizzes, presentations, and guest speakers (speaker dates may change due to their unexpected schedule interruptions; I’ll advise accordingly as soon as I am aware of changes.)

**Attendance:**

*Because classroom discussion and interaction in examining cases, readings and speaker presentations, is crucial to our subject matter, students are **expected to attend all classes**.*

If you are unable to do so, unless an emergency situation arises, email notification to me is required one day in advance of class. Missed class sections will result in appropriate grade reduction. On-time attendance is appreciated for all class sections; repeated, unexcused lateness/absences will result in a grade reduction. All efforts will be made to start and end on time.

**Course Grading:**

The course is graded on a 100-point scale based upon four elements: class contribution, class preparation and related quizzes, two individual papers, and a group project. **Please NOTE: scoring is weighted toward incorporating specific takeaways and principles from among the varied cases, articles, classroom discussions, lectures, and speakers presented within the course.**

**1a) Contribution / Professionalism [20 pts.]: Up to 15 pts.** will be awarded for class attendance, the quality of your contribution and discussion of materials with classmates, speakers, and me, and emailed questions for future at-distance guest speakers. *You will be graded both on your class attendance and the critical thought and professionalism of your contributions and insights.* Quality input builds upon or draws contrasts to previous discussion to move forward. *As much diversity in participation will be solicited as is possible for different perspectives, including **random “cold-calling.”*** (\*For any reason, if you do not feel comfortable contributing or otherwise have challenges within class, you need to discuss this with me in the first 2-3 weeks of our term.)

Because this is a class on Ethics in the business environment, there is a **high expectation that classmates will act professionally toward one another**, will avoid inappropriate or personally-directed response, and will treat others as one would best appreciate being treated.

- Use of cell phones, computers, or other **electronic devices during class** distracts others, does not respect your peers, speakers, or your professor, has been demonstrated to reduce the impact and retention of valuable educational content, and **is prohibited, resulting in Contribution point reduction** (there are two exceptions: emergencies that you make me aware of or **evidenced** electronic use directly related to in-class materials and/or note-taking; if an electronic device is observed being used and I have any questions regarding its use within these two exceptions, my decision to deduct Contribution pts. will be final.)

**1b) Up to 5 pts.** will be awarded for the quality of your review and individual submission of a **current, newsworthy article** (so-called “(Ethics) News of the World”) related to the subject matter covered in course materials. *Your individual submission must be emailed simultaneously to me and to your team members by a team-assigned date, **in a formatted single PowerPoint or similar ppt deck slide**:*

- Your individual “News” ppt slide will:
  - identify the article and event you select and contain a copied image from the article;
  - embed an electronic link to the article’s source for follow-up and attribution; and,
  - list 2-3 succinct bullet points drawn from the article that directly describe enterprise ethics and/or leadership issues *you want to use to inform your classmates why you viewed the article as enlightening within our course subject matter.*
- *Examples of “News” selections, the required format taken from past peer examples, and your due dates for the “News” article/ slide will be provided in class and listed on Carmen.*
- You should be prepared to *briefly* discuss the article in class (5 min max). However, in the interest of allotted time, **your group will choose only two submissions from among the group to discuss in class**. (All articles will be posted in the ppt for the required class.)

**2) Course content is selected and has been harmonized to encourage factual assessment and critical thinking into various issues of global enterprise Ethics, exploring how others in the marketplace reward or challenge unethical, as well as ethical, actions and outcomes. To acknowledge and reward the efforts of those who remain current with assigned cases, speakers and course materials and critically draw valuable take-aways, whether in agreement or in contrast to that content, **unannounced spot quizzes may be given. [Up to 10 pts. may be based upon Quizzes.]****

**3) Two individual papers will be due, each scored up to 15 pts., for a total of 30 pts.:**

*Both individual papers are to be 3-4 pgs., double-spaced; in unrestricted Word format; due by the beginning of class and required in both an emailed copy to me and a physical copy brought to class. (All papers are subject to OSU’s TurnItIn and/or authenticity checks for originality and accountability.)*

**3a) Case paper [15 pts.]:** One case analysis of an article concerning Wal-Mart’s expansion efforts in Mexico will be due during the course on the date listed in the syllabus. The analysis will identify:

- 1) What were the **key** factual circumstances or assumptions, underlying the ethical issue(s) or discussion presented?
- 2) What was/were the ethical issue(s) posed? Was/were those dilemma(s) personal or unique business challenges? Why or why not?
- 3) Who are the stakeholders; what duties, rights, best practice, and/or core values are present to decision makers for those stakeholders?

- 4) What ethical standard or code(s) applied, if any, to the challenge presented? Why do you agree or disagree with that application?
- 5) What was the ethical choice(s) selected in the facts presented? If an ethical choice was not selected, what action would you take to resolve the dilemma? Why?

Grading will be based upon (highest 15 – lowest 0 pt. scale):

- 1) **Integration of specific applicable references/ take-aways from readings/ discussions as a part of your analysis;**
- 2) Your answer to the questions listed above in a clear and cohesive manner, and;
- 3) The insight shown, depth of analysis presented, quality of reflective thinking, and assessment compared to that of your peers.

**3b) Speaker Analysis and Reaction paper [15 pts.]:** One speaker paper responding to your choice of only one of the classroom speakers' presentations. (Your individual paper is due before class one week after the speaker's presentation.)

Grading will be based upon answering the Q's below (within the same point scale as above):

- 1) Your summary, in a clear and cohesive manner, of the speaker's major thesis;
- 2) **Integration of specific applicable references/ take-aways from readings/ discussions as a part of your analysis;**
- 3) What ethical solutions, processes, or experiences were suggested or advocated;
- 4) What strengths and weaknesses for individuals and organizations do you believe exist in those solutions, processes, or experiences, and if chosen, how you would address them in a different manner should you choose to do so;
5. What value did you or did you not find in the presentation (in a professional manner), and why?
  - *To illustrate peer assessment and solutions to ethical challenges, generic responses that do not specifically identify individuals, enterprises, or unique circumstances may be selected from papers and used informatively during discussion. (Requested confidentiality in responses will be honored.)*

**4) Group Project and Presentation [40 pts.]:** You will be assigned to a group and your group will choose a topic, case, and/or enterprise leader as a team project and presentation.

You are encouraged to be open, hold differing views and honest conversations, and respect one another's participation in addressing the project. *Any concerns regarding a perceived failure of a group member to fairly and equally participate in the project should be immediately addressed, and if necessary to resolve, brought to my attention. A peer assessment will be solicited individually of group members and the results of those assessments may be factored into individual scoring.*

The group will write a detailed report of the topic, as well as deliver an in-class presentation on its findings. The project will be scored upon the paper (60% - 24 pts.) and its presentation (40% - 16 pts.), with grading of each divided equally across the content elements below. *Attendance at the presentation and content questions for remaining group projects are expected of all class members.*

*Project requirements include:*

1. Each group will select a topic subject to my approval. The topic can be an enterprise leader, a company, and/or an ethical subject matter within the overall course context.
2. Each group will prepare a paper of 8-10 pgs., double-spaced, *paginated, paper-clipped for copying, and emailed to me in Word format; both due on the date of the assigned presentation.* (Copies of the accompanying ppt will be emailed.)
3. The paper will include a title page, followed by a one-page Executive Summary. (You will distribute copies of the Executive Summary to the class at the time of the presentation.) The Summary must identify the purpose of the presentation, the key dilemmas presented,

- and resolutions identified. (The Summary should be prepared as if presented in a business board or responsive committee meeting.)
4. The *paper and presentation* must contain and will be scored equally upon\*:
    - a. ***Integration and critical discussion of appropriate specific references/ take-aways to readings/ class discussions in your analysis;***
    - b. Overall project excellence as against other projects from your peers;
    - c. Statement of *key facts* in the analysis;
    - d. Identification of *significant* ethical issues faced;
    - e. Identification of *applicable* stakeholders; and what ethical duties, rights, best practice, and/or core values attend them;
    - f. Discussion of available alternatives;
    - g. Recommended preventive and remedial action(s) to be taken, and;
    - h. Paper must include appropriate citation to reference and research materials *within the body of the paper*, attaching bibliography to research sources; and,
      - i. ***Electronic copies of the paper and PPT emailed to me before last class***
  5. *The class presentation* should summarize the elements described above. It is limited to 10 (max) minutes. (I will provide warnings before the 10 min. mark. Based upon prior class feedback and to assure fairness, the 10 min mark will end the presentation.) You should also be prepared for 5 mins. of questions from your peers and me.
  6. While the manner in which the group delivers the presentation, *and whether or not all members participate in the presentation, is a decision of the team; group members are expected to contribute equally to the production of the paper and preparation for the class presentation. Again, any concerns about the failure of a team member to participate fairly and equally should be identified as early as possible, and if necessary to resolve the concern, be immediately brought to my attention. A peer assessment will be solicited individually of all team members and I may factor the results of those assessments into individual scoring.*

### **OSU Disability Policy:**

The University strives to make all learning experiences as accessible as possible. If you anticipate or experience academic barriers based on your disability (including mental health, chronic or temporary medical conditions), please let me know immediately so that we can privately discuss options. You are also welcome to register with Student Life Disability Services to establish reasonable accommodations. After registration, make arrangements with me as soon as possible to discuss your accommodations so that they may be implemented in a timely fashion. SLDS contact information: [slds@osu.edu](mailto:slds@osu.edu); 614-292-3307; [slds.osu.edu](http://slds.osu.edu); 098 Baker Hall, 113 W. 12th Ave.

### **Academic Misconduct:**

The Ohio State University's Code of Student Conduct, Section 3335-23-04 defines academic misconduct as: "Any activity that tends to compromise the academic integrity of the University, or subvert the educational process." Examples of academic misconduct include (but are not limited to) plagiarism, collusion (unauthorized collaboration), copying the work of another student, duplicating any portion of the work presented in one course for an assignment in this or another course, and possession of unauthorized materials during an examination. Ignorance of the University's Code of Student Conduct is never considered an "excuse" for academic misconduct.

The Ohio State University and the Committee on Academic Misconduct (COAM) expect that all students have read and understand the University's Code of Student Conduct, and that all students will complete all academic and scholarly assignments with fairness and honesty. Failure to follow the rules and guidelines established in the University's Code of Student Conduct may constitute "Academic Misconduct." Sanctions for misconduct could include a failing grade in this course and suspension or dismissal from the University. For more information, please reference: <http://oaa.osu.edu/coamfaqs.html#academicmisconductstatement>

If I suspect that a student has committed academic misconduct in this course, I am obligated by University Rules to report my suspicions to the Committee on Academic Misconduct.

**Course Syllabus:** Unless otherwise noticed in the syllabus or in the preceding class, content is posted in weekly Modules on Carmen.

Please, respectfully, thoroughly read the Syllabus for our first class on March 1 to appreciate course requirements and answer questions. (Your peers and I both appreciate you doing so 😊)

## **Week 1**

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*Class 1 Thursday, March 1 – **Introduction; syllabus review; course requirements and grading***

Reading: Syllabus (Carmen)

## **Week 2**

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*Class 2 Tuesday, March 6 – **Corruption and its Impact on Global Business***

Case: Siemens: Anatomy and Impact of Bribery

Reading: FCPA Summaries  
Does Corruption Ever Help Entrepreneurship?

*Class 3 Thursday, March 8 – **Analyzing Global Ethical Challenges***

Reading: Paine's Basic Ethics Framework  
Rolls Royce PLC (RRESI) Case Excerpts: What wasn't learned?

(Due: 2-3 emailed Q's for Mr. Kos; Groups 1&2 "News" articles)

## **SPRING BREAK**

## **Week 3**

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*Class 4 Tuesday, March 20 – **International Ethics Standards***

Speaker: **Drago Kos - Chair of the Organization on Economic Cooperation and Development (OECD) Working Group on Bribery - Paris**

Reading: Bio and related  
UK Bribery Act/ Brazil Act Summaries  
OECD Guidelines for Multinational Enterprises

(Due: Emailed Group Project Topics)

*Class 5 Thursday, March 22 – **Wal-Mart in Mexico - Practical Insights/ Lessons***

Reading: UK Bribery Act/ Brazil Act Summaries  
Brazil and Operation Car Wash

(Due: Case Paper on Wal-Mart in Mexico and Groups 3&4 "News" articles)

#### **Week 4**

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**Class 6 Tuesday, March 27 – International Sovereign - Conduct Standards Beyond Bribery**

Reading: The Kingdom of Jordan and the OECD Joint Learning Study

**Class 7 Thursday, March 29 – Corporate Social Responsibility and the Global Supply Chain**

**Speaker: Emily Dimiero, Nestle Corporate Affairs, Communications Manager**

Readings: Bio and related  
Exploring the CODEX within Paine's Basic Framework

**(Due – 2-3 emailed Q's for Ms. Doria and Groups 5&6 "News" articles)**

#### **Week 5**

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**Class 8 Tuesday, April 3 – Global Ethical Culture Issues**

Reading: Chiquita and other Global Experiences to Learn From

**(Due – 2-3 emailed Q's for Mr. Doria)**

**Class 9 Thursday, April 5 – Real Whistle-Blowers – Issues of Risk/ Protection**

**Speaker: Visnja Marilovic – Center for Democracy (CRD) - Sarajevo, Bosnia**  
The First Whistle-Blower Protection Law in the Balkans

Reading: Bios and related  
Reading

#### **Week 6**

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**Class 10 Tuesday, April 10 – Transparency and Privacy – Our Standards and/or Theirs?**

**Speaker: Vid Doria, Former Secretary General Transparency International Slovenia – Ljubljana, Slovenia**

Readings: Google, Facebook and Others – Facing Differing Data Ethics Standards  
GDPR

**Class 11 Thursday, April 12 – Leadership Integrity Challenges in the Marketplace**

**Speaker: Gary Mangelson, Chief Financial Officer, The Wasserstrom Company**

Readings: Bio and related

#### **Week 7**

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**Class 12 Tuesday, April 17 – TEAMS I PROJECTS PRESENTATIONS**

**(Due - ALL Projects due in written copy and electronically)**

**Class 13 Thursday, April 19 – TEAMS II PROJECTS PRESENTATIONS AND WRAP UP**