

ComplianceNet

**Programme for the 2021
Conference (www.compliancenet.org)**

Hosted by:

University College London (UCL)
Department of Political Science/School of
Public Policy

June 28-30, 2021

Sponsored by:



VILLANOVA UNIVERSITY
CHARLES WIDGER SCHOOL OF LAW

The David F. and Constance B.
Girard-diCarlo
CENTER FOR ETHICS,
INTEGRITY AND COMPLIANCE

All Listed Times are UK Time

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Monday, June 28

9:00am—9:15am: **Opening Remarks**

9:15am—10:45am Opening Plenary Panel Session

Contemporary Challenges in Compliance

Christine Parker, University of Melbourne

Sir John Gieve, Former Deputy Governor, Bank of England

Walter Merricks, Former Chief Ombudsman, UK Financial Ombudsman Service

Judith van Erp, Utrecht University

Chair: Colin Provost, University College London

11:00am—12:45pm Panel Sessions

Fighting Corruption, Fostering Compliance

Anti-corruption norm entrepreneurs in high-corruption risk business environments

Elizabeth David-Barrett, Sussex University

Aligning anti-corruption and human rights efforts: new avenues in compliance programs development? A practitioner's perspective.

Vera Cherepanova, Studio Etica

Responsive regulation of political parties as a model to fight political corruption

Aleksandar Marsavelski, Zagreb University

Enforcement of the Foreign Corrupt Practices Act against foreign issuers: helping or hindering the Global Anti-bribery and Anti-corruption Movement?

Deirdre Weiss, Adecco Group

Chair: Elizabeth David-Barrett, Sussex University

Compliance, Disability and Discrimination in the Workplace

Ableism in the labour market: why are disabled people being managed out of the labour market?

Sarabajaya Kumar, University College London

The illegal employment of foreign domestic workers during Covid-19 in Macau
Huina Xiao, Macau University of Science and Technology

Chair: Colin Provost, University College London

Prosecution, Reform and Retribution

Imposing compliance measures to make corporations change their 'Mafia' attitude: lessons from Italy?

Marco Colacurci, University of Campania

The English experience of DPAs in bribery cases: it is time for taking stock
Costantino Grasso, Manchester Metropolitan University

Many shades of success: professionals' perceptions of success in Community Court
Hadar Dancig-Rosenberg, Bar Ilan University
Tali Gal, University of Haifa

Chair: Costantino Grasso, Manchester Metropolitan University

1:45pm – 3:30pm Panel Sessions

Regulating Health and Safety

The role of regulatory intermediaries in the individualization of health and safety
Scarlett Salman, Paris East University

The impact of public policies on construction fatalities in the U.S.
John Mendeloff, University of Pittsburgh
Wayne Gray, Clark University

With a little help from the regulators: organizational learning and freight rail failure reduction
Kristina Dahlin, Copenhagen Business School
Joelle Evans, Cass Business School

Chair: John Mendeloff, University of Pittsburgh

Compliance Issues in Food and Environmental Law

Safe to eat here? Hygiene theatre, compliance culture, and restaurants as interpretive spaces during the Covid-19 Pandemic
Shana Starobin, Bowdoin College
M. Lou Brown, Duke University

C.B.D. and Gluten-Free: compliance challenges and regulatory action in new areas of food and drug law

Christine Abely, New England Law

Do energy efficiency policies targeting consumers really save energy?

Stav Rosenzweig, Ben Gurion University

The structure of regulation

Gary Lynch-Wood, University of Manchester

David Williamson, University of Manchester

Chair: Gary Lynch-Wood, University of Manchester

Whistleblowing and Information Disclosure

Dealing with conflicts of interest: the role of whistleblowing

Maria Batishcheva, NUI Galway

Disclosure procedure

Andrew Jennings, Brooklyn Law School

Reconciling corporate compliance programs with defamation law: a consideration of United States and United Kingdom Law

Jonathan Rusch, Georgetown University

Winnowing whistleblowers

Usha Rodrigues, University of Georgia

Chair: Jonathan Rusch, Georgetown University

3:45pm-5:30pm Panel Sessions

Managing Risks in Corporate Governance

Why independence? A tale of two types of monitoring

Claire Hill, University of Minnesota

Yaron Nili, University of Wisconsin

The management of financial crime risks by financial technology companies

Aleksandra Jordanoska, Kings College London

Contractual stakeholderism

Kish Parella, Washington and Lee University

Wirecard: which lessons to draw?

Katja Langenbucher, Goethe Universitat

Chair: Claire Hill, University of Minnesota

Ethical Decision Making

Don't trust your gut: the importance of normative deliberation to ethical decision making at work

Danielle Warren, Rutgers University

Tobey Scharding, Rutgers University

Oyku Arkan, Rutgers University

Mahak Nagpal, National University of Singapore

Giving reasons as a means to enhance compliance with legal norms

Eyal Zamir, Hebrew University of Jerusalem

Daphna Lewinsohn-Zamir, Hebrew University of Jerusalem

Ori Katz, Hebrew University of Jerusalem

Can states create ethical people?

Yuval Feldman, Bar Ilan University

Yotam Kaplan, Bar Ilan University

The paradox of pursuing contractual fairness as a general principle

Marcus Moore, University of British Columbia

Chair: Yuval Feldman, Bar Ilan University

A View of Compliance in U.K. and U.S. Practice

Zach Coseglia, Ropes & Gray

Amanda Raad, Ropes & Gray

Alexandra Chesterfield, NatWest Group

Beth Haddock, Warburton Advisers

Lawrence Deju-Wiseman, PwC

Chair: Josephine Sandler (J.S.) Nelson, Harvard University

5:45pm-7:30pm Panel Sessions

The Role of Technology in Compliance and Enforcement—Part 1

Regulating privacy through software: legal, behavioural and technical challenges of automated compliance

Farshad Ghodoosi, California State Northridge University

Hamid Bagheri, University of Nebraska, Lincoln

Monica Sharif, California State Los Angeles University

Bots for hire: modelling corporate accountability for algorithmic harm

Mihailis Diamantis, University of Iowa

Dataveillance in primary education

Carla Reyes, Southern Methodist University

Settling data protection law: multistate actions and national policymaking

Elysa Dishman, Brigham Young University

Chair: Carla Reyes, Southern Methodist University

Business Compliance through a Criminological Lens

Responsive regulation in the Anti-Money Laundering/Countering the Financing of Terrorism (AML/CFT) compliance system: the experience of the Brazilian Financial Intelligence Unit

Vania Lucia Ribeiro Vieira, Directorate General for Corruption Prevention, Brazil

Measuring Compliance: The Challenges in Assessing and Understanding the Interaction between Law and Organizational Misconduct

Melissa Rorie, University of Nevada Las Vegas

Benjamin van Rooij, University of Amsterdam

The spectrum of enterprise: where business and crime intersect

Dwight Smith Jr., State University of New York, Albany

Compliance with money laundering regulation

Michael Levi, Cardiff University

Chair: Melissa Rorie, University of Nevada, Las Vegas

Auditing in the Compliance Process

Auditor independence and outsourcing: aligning incentives to mitigate shilling and shirking

Jodi Short, University California Hastings
Michael Toffel, Harvard University
Ashley Palmarozzo, Harvard University

Increasing compliance with recommendations of supreme audit institutions and national ombudsman offices

Yoram Rabin, College of Management
Alon Rodas, College of Management

Competitive vs. random audit mechanisms in regulation: theory and experimental evidence

Timo Goeschl, Heidelberg University

Chair: Timo Goeschl, Heidelberg University

Tuesday, June 29th

9:00am – 10:45am Panel Sessions

The Role of Technology in Compliance and Enforcement – Part 2

Application programming interfaces: a new regulatory tool?

Rob Nicholls, University New South Wales
Chris Marsden, University of Sussex

Using RegTech to detect wage theft

John Howe, University of Melbourne
Tim Kariotis, University of Melbourne

Cultural norm compliance and standard-based stewardship of an ecology of alternative currencies in a digital world

Thomas Marmefelt, Sodertorn University

Improving regulatory inspections through the use of machine learning

Florentin Blanc, OECD

Chair: Rob Nicholls, University of New South Wales

Compliance in Novel Contexts

Concussion compliance and Professional Rugby Union

Annette Greenhow, Bond University

The conscripted governance of compliance: a study of vaccine mandates

Katie Attwell, University of Western Australia

Negotiated legality and compliance in China
Jiwei Qian, National University of Singapore
Weitseng Chen, National University of Singapore

Bidirectional legal socialization and the boundaries of law: the case of enclave communities' compliance with COVID-19 regulations
Netta Barak-Corren, Hebrew University of Jerusalem

Chair: Katie Attwell, University of Western Australia

Compliance and "Beyond Compliance"

The Regulatory Delivery Model: a framework for steering improvements
Graham Russell, UK Office for Product Safety and Standards

Consumer behaviour insights for delivering regulatory outcomes in product safety
Wendy Middleton, UK Office for Product Safety and Standards

Beyond compliance: stimulating sustainable behaviour through incorporating behavioural insights into the interpretation and application of EU law
Eva van der Zee, Hamburg University

Chair: Wendy Middleton, UK Office for Product Safety and Standards

11:00am – 12:45pm Panel Sessions

Market Abuse Regulation and Corporate Compliance

Issuers' duties under market abuse regulation and the need to be properly organised
Filippo Annunziata, Bocconi University

Market abuse regulation and prudential regulation
Ugo Malvagna, University of Trento
Antonella Sciarrone Alibrandi, Università Cattolica del Sacro Cuore

The puzzling nexus between periodic financial information and continuous disclosure
Chiara Mosca, Bocconi University

Delayed disclosure and the corporate handling of inside information
Chiara Picciau, University of Brescia

Chair: Filippo Annunziata, Bocconi University

Compliance Dilemmas in Policy Implementation

Abuse of regulatory power: a step forward in the journey towards effective competition advocacy in the public sector, regulatory improvement and oversight?

Denis Guimaraes, AGPR

When politicians don't care for the policy: street-level compliance in cross-agency contexts

Celine Mavrot, University of Bern

Susanne Hadorn, University of Bern

Navigating dissonance in the contracting state

Richard Craven, University of Sheffield

Motivational postures as an instrument to align enforcement at the individual level

Paulien de Winter, University of Groningen

Chair: Richard Craven, University of Sheffield

Reputation, Naming and Shaming—Part 1

Dynamics and biases in naming and shaming and their relevance for regulatory governance

Judith van Erp, Utrecht University

Regulatory eco-shaming

Sharon Yadin, University of Haifa

Regulatory sanctions and media coverage: Evidence from the financial industry

Roy Gava, University of St. Gallen

Information disclosure as emotional sensibility: managing uncertainty through confidence in global labour practice

Tereza Capelos, University of Birmingham

Colin Provost, University College London

Chair: Roy Gava, University of St. Gallen

12:45-13:30: **ComplianceNet Business Meeting**

1:45pm-3:30pm **Keynote Lecture by ComplianceNet Lifetime Achievement Award Winner and Announcement of Paper Award Winners**

Managing Compliance Complexity
John Braithwaite, Australian National University

Chair: Yuval Feldman, Bar Ilan University

3:45pm-5:30pm Panel Sessions

Reputation, Naming and Shaming—Part 2

Does shaming pay? Evidence from California's Top 500 Tax Delinquent Publication Program

Brian Galle, Georgetown University

Chad Angaretis, California Franchise Tax Board

Paul Organ, University of Michigan

Allen Prohofsky, California Franchise Tax Board

(How) does regulator reputation motivate sandbox participation among innovative firms?

Lauren Fahy, University of Utrecht

Shaming punishments as violations of Eighth Amendment protections against cruel and unusual punishment

Megan Brownlee, University of Amsterdam

Malouke Kuiper, University of Amsterdam

Chair: Brian Galle, Georgetown University

Cambridge Handbook of Compliance

Corporations, human rights and compliance

Wim Huisman, Universiteit Vrije Amsterdam

Corporate crime deterrence

Natalie Schell-Busey, Rowan University

Melissa Rorie, University Nevada Las Vegas

Constructing the content and meaning of law & compliance

Shahin Talesh, University of California Irvine

The dark side of compliance

Josephine Sandler Nelson, Harvard University

Chair: Benjamin Van Rooij, University of Amsterdam

The Limits of Legal Standards

Understanding deviance in a world of standards

Andrea Fried, Linkoping University

Critique and co-regulation: learning from automotive engineering mistakes
Robert Rosen, University of Miami

Return of the king: corruption backsliding in America
Pedro Gerson, Louisiana State University

Chair: Andrea Fried, Linköping University

5:45pm-7:30pm Panel Sessions

Corporate Social Responsibility and Private Governance

The pitfalls of private governance
Tracey Roberts, Samford University

Palm oil supply chains and human rights in the Amazon Territories
Nirvia Ravena, Federal University of Para

Cooperation and punishment in regulating labour standards: evidence from the Gap Inc. supply chain
Matthew Amengual, Oxford University
Greg Distelhorst, University of Toronto

Chair: Matthew Amengual, Oxford University

Deterrence, Enforcement and Compliance

Ambiguity and legal compliance
Dan Nagin, Carnegie Mellon University
Timothy Barnum, Max Planck Institute

The dichotomy between over-criminalization and under-regulation
Ellen Podgor, Stetson University

Enforcing rules vs. enforcing standards
Michael Gilbert, University of Virginia
Nicholas Almendares, Indiana University
Rebecca Kerley, University of Virginia

Chair: Dan Nagin, Carnegie Mellon University

Compliance: Arguments for Various Models

Cynthia Williams, York University
Jonathan Lipson, Temple University

Robert Bird, University of Connecticut
Robert Mass, Goldman Sachs
Laurie Smiley, Institutional Investor Legal Forum

Chair: Josephine Sandler (J.S.) Nelson, Harvard University

Wednesday, June 30th

9:00am-10:45am Panel Sessions

Hybrid Regulatory Systems

Sports' anti-doping regime: a tangled hybrid regulatory system
Eric Windholz, Monash University

The challenge of combined enforcement systems
Hanan Mandel, Ono Academic College

Networked compliance: assessing compliance in a multifaceted regulatory setting using network analysis
Oren Perez, Bar Ilan University

The regulatory challenge of building trust and continuous improvement in tertiary education
Valerie Braithwaite, Australian National University

Chair: Hanan Mandel, Ono Academic College

Corporate Governance and Compliance

Curbing employer non-compliance in franchise networks: examining the effects of novel liability ascription
Tess Hardy, University of Melbourne

The impact of foreign bribery enforcement on corporate compliance policies: evidence from a decade of corporate responses to FCPA enforcement action
Hannah Harris, Macquarie University

Attention, managerial position, and regional variation in corporate environmental management
Jingwen Cai, Chinese University of Hong Kong
Ning Liu, City University of Hong Kong
Carlos Wing-Hung Lo, Chinese University of Hong Kong

Understanding self-regulation for political control and policy-making: effects of governance mechanisms on accountability

Ulf Papenfuss, Zeppelin University

Christian Arno Schmidt, Zeppelin University

Chair: Tess Hardy, University of Melbourne

11:00am-12:45pm Panel Sessions

Compliance Issues in Economic Regulation

(Un)intended consequences of macroprudential regulation

Moran Ofir, IDC Herzliya

Yevgeny Mugerman, Bar Ilan University

The giant awakens: law and economics of excessive pricing during COVID-19 crisis

Behrang Kianzad, University of Copenhagen

Regulating the private rented sector in England in times of Covid-19

Tola Amodu, University of East Anglia

The impact of accountants on tax compliance of Serbian micro, small and medium enterprises

Branko Radulovic, University of Belgrade

Miljan Savic, Balkan Center for Regulatory Reform

Chair: Tola Amodu, University of East Anglia

E.U. Agencies: Accountability and Trust in Regulation

Differentiated implementation in the field of E.U. pesticide policy

Emanuela Bozzini, University of Trento

Rigour or Significance: the European Food Safety Authority, the European Chemicals Agency, and the U.K. Food Standards Agency compared

Vesco Paskalev, Brunel University

Revaluing the role of intent evidence in E.U. antitrust law

Jan Blockx, University of Antwerp

Chair: Vesco Paskalev, Brunel University

2:00pm-3:45pm Panel Sessions

Rule Compliance during the COVID-19 Pandemic

Studying compliance with COVID-19 measures: an analytical model

Jorn Ege, University of Bern

Anat Gofen, Hebrew University of Jerusalem

Susanne Hadorn, University of Bern

Mor Issahar, Hebrew University of Jerusalem

Anna Malandrino, University of Bern

Leroy Ramseier, University of Bern

Fritz Sager, University of Bern

Determinants of compliance with COVID-19 regulations:

findings from a national representative sample of Israeli adults

Rotem Maor, Bar-Ilan University

Yuval Feldman, Bar-Ilan University

Yossi Harel-Fisch, Bar-Ilan University

Pandemic compliance: understanding the interplay between situational and motivational forces on compliance decisions through the lens of COVID-19

Chris Reinders Folmer, University of Amsterdam

Benjamin van Rooij, University of Amsterdam

Noor de Bruijn, University of Amsterdam

Emmeke Kooistra, University of Amsterdam

Malouke Kuiper, University of Amsterdam

Megan Brownlee, University of Amsterdam

Elke Olthuis, University of Amsterdam

Adam Fine, Arizona State University

Chair: Adam Fine, Arizona State University

The Role of Technology in Compliance and Enforcement—Part 3

A RegTech research agenda

Angela Daly, University of Strathclyde

Daniel Broby, University of Strathclyde

Artificially intelligent boards and the future of Delaware corporate law

Christopher Bruner, University of Georgia

Regulation and governance meet artificial intelligence: reflecting on regulatory and institutional challenges and directions in the draft E.U. artificial intelligence regulation

Amit Ashkenazi, Haifa University

#MeToo Bots and the artificial intelligence workplace
Leora Eisenstadt, Temple University

Chair: Angela Daly, University of Strathclyde

Ethics and Compliance Programs as Corporate Governance

Ethics and compliance officers' role and initiatives: an internal legitimacy perspective
Esperanza Hernandez-Cuadra, Universidad Pontificia Comillas

Compliance, integrity and character: corporate ethics program orientation
Miguel Alzola, Fordham University

Assessing the legal environment within multinational corporations by measuring the efficiency and effectiveness of compliance eTraining
Kfir Manor, Bar Ilan University

Industry alignment as a determinant for the effectiveness of code of conducts: the case of the defence industry

Job Timmermans, Netherlands Defense Academy
Tom De Schryver, Netherlands Defense Academy
Robert Bertrand, Netherlands Defense Academy

Chair: Esperanza Hernandez-Cuadra, Universidad Pontificia Comillas

4:00pm-5:30pm Closing Plenary Panel Session

Compliance Complexity in Multinational Corporations

Cristie Ford, University of British Columbia
Jodi Short, University of California Hastings
Lauren Edelman, University of California Berkeley

Chair: Melissa Rorie, University of Nevada, Las Vegas

Information for Panel Chairs

We very much appreciate your service in helping the conference to run smoothly. Panel chairs only have the duty of introducing each paper and paper author, as well as keeping time for each paper and moderating the Q&A. A rough guide here is to allow one hour for the combined papers and about 45 minutes for Q&A. Of course, panel chairs can ask questions and make comments as well.

The panel sessions will take place using the "Meetings" format of Zoom (plenary and keynote panels will use the "Webinar" format). During Q&A, the panel chair can ask audience members (or fellow participants) to write their questions down, using the Chat function. Similarly, the audience members can write "Question" in the chat box and the chair can then call on the audience member to unmute themselves.

Panel chairs, please remember to ask everyone who is not speaking to keep their sound on mute. Whether people want their videos on or not is completely up to them, although having videos on could possibly make for a more engaging experience for presenters.

Screen sharing capabilities will be utilised so that any presenter should be able to share their screen and show their presentation.

If anyone still wants email addresses of the panellists on their panel, so that they can contact them in advance, please email c.provost@ucl.ac.uk to get this information...or any other information!