IDENTIFYING AND RESPONDING TO POTENTIAL VIOLATIONS

David Anderson Healthcare Compliance Office, Internal Investigator Genentech, Inc.

Dan Dovdavany Senior Corporate Counsel, US Litigation and Investigations Sanofi-Aventis

Elizabeth A. Lewis Vice President, Deputy General Counsel Millennium Pharmaceuticals, the Takeda Oncology Company

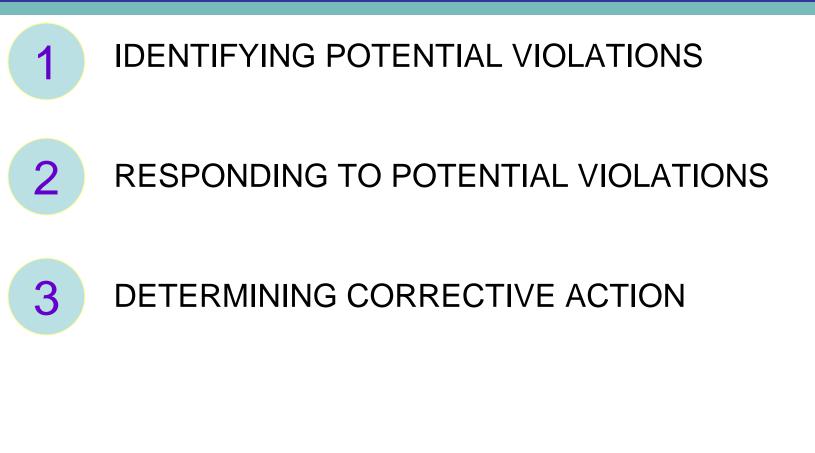
Wendy C. Goldstein (Moderator) Shareholder Epstein Becker & Green, P.C.

OCTOBER 2008

DISCLAIMER

The Statements Made By the Panelists during this Session Represent His/Her Individual Views and Should Not Be Construed to Represent those of his/her organization.

OVERVIEW





In your opinion, what is the largest source of compliance reports that require an internal investigation?

- 1. Compliance hotline
- 2. Walk-ins / direct reports
- 3. Monitoring & auditing
- 4. External touches



What do you believe is the biggest challenge facing Compliance departments for maintaining open lines of communication?

- 1. Overcoming employee resistance to report
- 2. Developing new ways to advertise the Compliance hotline
- 3. Convincing employees that the hotline is anonymous
- 4. Convincing employees that the company enforces a nonretaliation policy



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DISCUSSION



What do you believe is the biggest challenge facing Compliance departments when conducting an internal investigation?

- 1. Buy-in to the process from Management / Brand
- 2. Coordination between Compliance, Legal, HR, Business
- 3. Training employees to be effective investigators
- 4. Analyzing the legal implications to decide whether outside reporting is required





True or False:

Investigations of senior management should be handled differently?

- 1. True
- 2. False



Fill in the Blank:

Anonymous reports are <u>difficult</u> to investigate than those reports in which the caller identifies him/herself.

- 1. More
- 2. Less
- 3. Equally





Yes or No:

A different protocol should be used for an internal investigation that is triggered by an "outside touch" than one that is triggered by an inside report.

- 1. Yes
- 2. No



DISCUSSION



What do you believe is the biggest challenge facing Compliance departments when determining corrective action?

- 1. Ensuring consistency
- 2. Exercising discretion
- 3. Managing the interests of various parties
- 4. Deciding on appropriate corrective action for senior management



What department should be responsible for ensuring that consistent corrective action is determined?

- 1. Compliance department
- 2. Legal department
- 3. Human Resources department
- 4. Business
- 5. Other



DISCUSSION

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