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BELA ASIA PACIFIC RESEARCH REPORT: TRENDS IN CULTURE, BULLYING, AND HARASSMENT

Driven by leaders from Johnson Controls, Nokia, and EY, this report captures emerging practices across Asia Pacific in the following areas: measuring culture, misconduct, bullying and harassment, investigations, cybersecurity, and much more. This report also shares exclusive leadership insights from the BELA Asia Pacific community.

THANK YOU TO OUR BELA ASIA PACIFIC COMMUNITY

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Coca-Cola



DIAGEO



glenmark
A new way for a new world



Honeywell



Johnson
Controls 

 **Kimberly-Clark**

KKR

Marriott
INTERNATIONAL

 Microsoft

NOKIA

VISA

 **MEGA**
COMPLIANCE


PRUDENTIAL

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Western Digital.

ABOUT BELA ASIA PACIFIC CHAPTER



In partnership with Ethisphere's Business Ethics Leadership Alliance (BELA), a globally recognized community of 340+ leading multinational companies, the BELA Asia Pacific Chapter, co-chaired with William E. Connor & Associates and Omega Compliance, provides leading companies with on-demand data, in-depth research, expert guidance, and networking opportunities that will ensure they have the tools they need to implement a best-in-class ethics and compliance program and support a strong culture of integrity.

BELA Asia Pacific members have access to a dedicated member hub, a series of closed-door, in-depth roundtable discussions, snap polls, data, and workshops with senior executives on topical issues across the region.

To learn more, contact
Stefan Linssen, EVP, Ethisphere
Stefan.Linssen@Ethisphere.com

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W E L C O M E

Dear BELA Member,

We are delighted to release our first Business Ethics Leadership Alliance (BELA) Asia Pacific Survey and Report: Trends in Culture, Bullying, and Harassment. This survey, you may recall, was launched under the direction of the BELA Asia Pacific community and a dedicated working group comprised of leaders from Johnson Controls, Nokia, and EY.

This report covers five critical areas:

1. Measuring culture
2. Tracking ethical misconduct
3. Bullying and harassment claims
4. Investigations
5. Creating a culture of cybersecurity

In addition to the data provided, we have featured a variety of “spotlight” conversations highlighting the shared expertise of leaders across APAC.

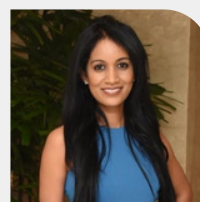
One key finding is the struggle among companies to measure culture in a virtual or hybrid setting. Another high-level finding is that leaders prioritize collecting data that illustrates employee sentiment, or how they feel about their organization and that unreliable data is an inhibitor for telling the full story.

In the pages of this report, you will find practical resources, peer insights, and examples, combined with our 2021 World’s Most Ethical Companies® data set for Asia Pacific. This report also includes research that will promote the advancement of your compliance program. With the support of our tight-knit and committed Asia Pacific community, Ethisphere continues to be a proud partner in each of these efforts and the influence that this community has in making a difference each day. As always, please contact us with any questions or feedback.



Erica Salmon Byrne, J.D.

**Executive Vice President and
Chair of the Business Ethics
Leadership Alliance (BELA)**



Aarti Maharaj, M.A.

**Managing Director, Asia
Pacific**

THANK YOU TO THE BELA ASIA PACIFIC WORKING COMMITTEE

A common challenge identified by the community over the course of the previous year was a lack of meaningful benchmarks and data associated with Asia Pacific—specifically around measuring culture and integrity program practices. In an effort to address this growing need for data, we assembled an expert working committee of leaders to guide and direct the contents of this survey and report.

We would like to take this opportunity to thank and recognize the following leaders for their unwavering support and commitment to raising the standard of ethical business practices across Asia.



Mona Dange

Global Head, Regional & Business Group Compliance, Nokia



Sonali Narasimhan

Regional Head of Compliance, Asia Pacific, Johnson Controls



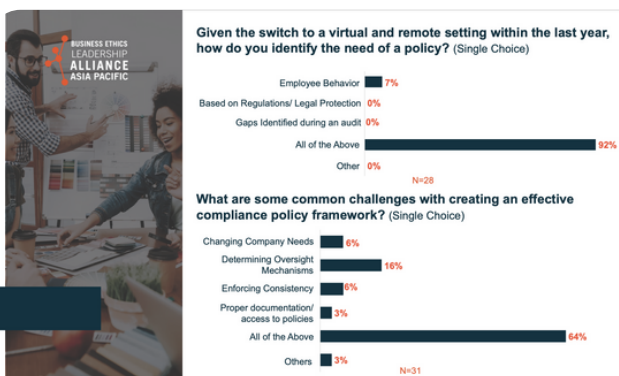
Ramesh Moosa

Forensic & Integrity Services Leader, ASEAN & Singapore, EY

UNLOCK THE COMPLETE DATA SET ON THE BELA APAC MEMBER HUB

We have compiled the data highlighted throughout this report into a downloadable PDF for your use. All data and insights are hosted on the BELA Asia Pacific Member Hub. These downloadable files can be used in presentations, as part of training materials, or to as a way to inform your conversations. BELA member companies have mentioned using our data in external activities such as speaking engagements. Each button will take you to a specific data set, highlighted below:

- 2021 BELA Asia Pacific Survey Data and Questions
- 2021 World's Most Ethical Companies (WMEC) data set on culture for Asia Pacific
- Quarterly BELA APAC roundtable snap polls over the past year (2020-2021)



[BELA Asia Pacific Survey Findings](#)

[2021 WMEC Data Set on Culture \(APAC\)](#)

[BELA APAC Roundtable Snap Polls](#)



SECTION 1

MEASURING CULTURE ACROSS ASIA PACIFIC

PRUDENTIAL ASSURANCE COMPANY

We rely on surveys because they allow us to collect measurable data. Every year, we run a dedicated **Ethical Culture survey**. We also have a Group Engagement survey that evaluates our **organisation's culture** and a Risk Culture survey that evaluates our risk attitudes and governance.



El Lynn Yeoh

Head of Ethics and ESG,
Prudential Assurance Company,
Singapore

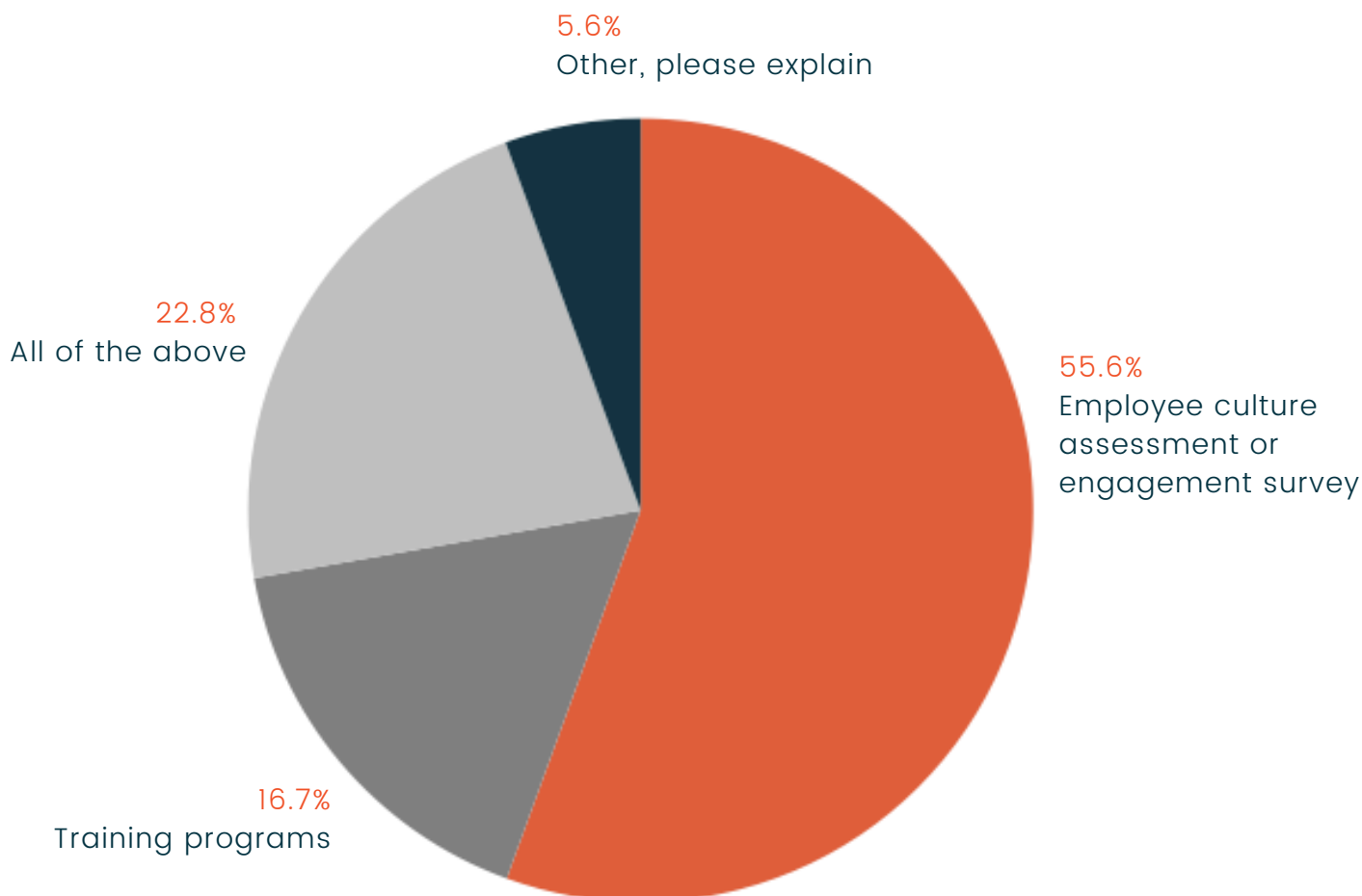
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ETHICAL CULTURE ASSESSMENTS

The data collected from this first-of-its-kind research project highlights the importance of conducting standalone ethical culture surveys—either in addition to a broader employee survey, to be used in alternating years, or on an annual basis. According to polling results in the 2021 BELA Asia Pacific Survey, over the past year, 56 percent of respondents used employee culture assessments or employee engagement surveys to measure and closely monitor their culture of integrity.

Figure 1.1

What are the tools currently used to measure a culture of integrity?



*Data from the 2021-2022 BELA Asia Pacific Survey

POLLING RESULTS FROM THE 2021 BELA ASIA PACIFIC ROUNDTABLE

This session explored how leading companies are measuring a culture of compliance and integrity. Session leaders shared practices for assessing and analyzing a company's ethical culture and how this extends to third parties. It also took a closer look at building buy-in with senior management for culture surveys, conducting data analysis to understand strengths and gaps, and navigating culture measurement in times of significant change.



Kapil Kirpalani,
Chief Compliance Officer, Asia-Pacific,
KKR



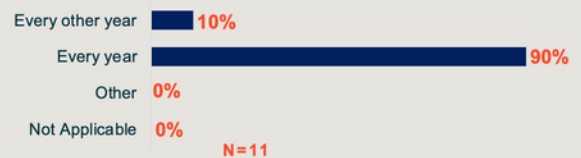
Jon White,
Managing Director,
Omega Compliance



Piya Haldar,
Director, Integrity and Compliance,
Honeywell

BELA APAC Polling Results

How often do you measure your ethical culture?

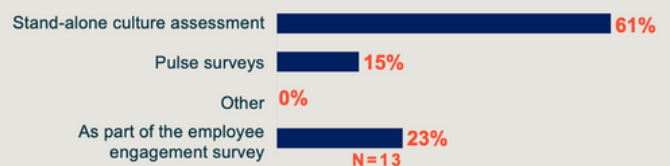


Tool uses to reinforce a culture of integrity



BELA APAC Polling Results

What kind of survey do you use to measure your ethical culture?



61%

of attendees use
standalone culture
assessments

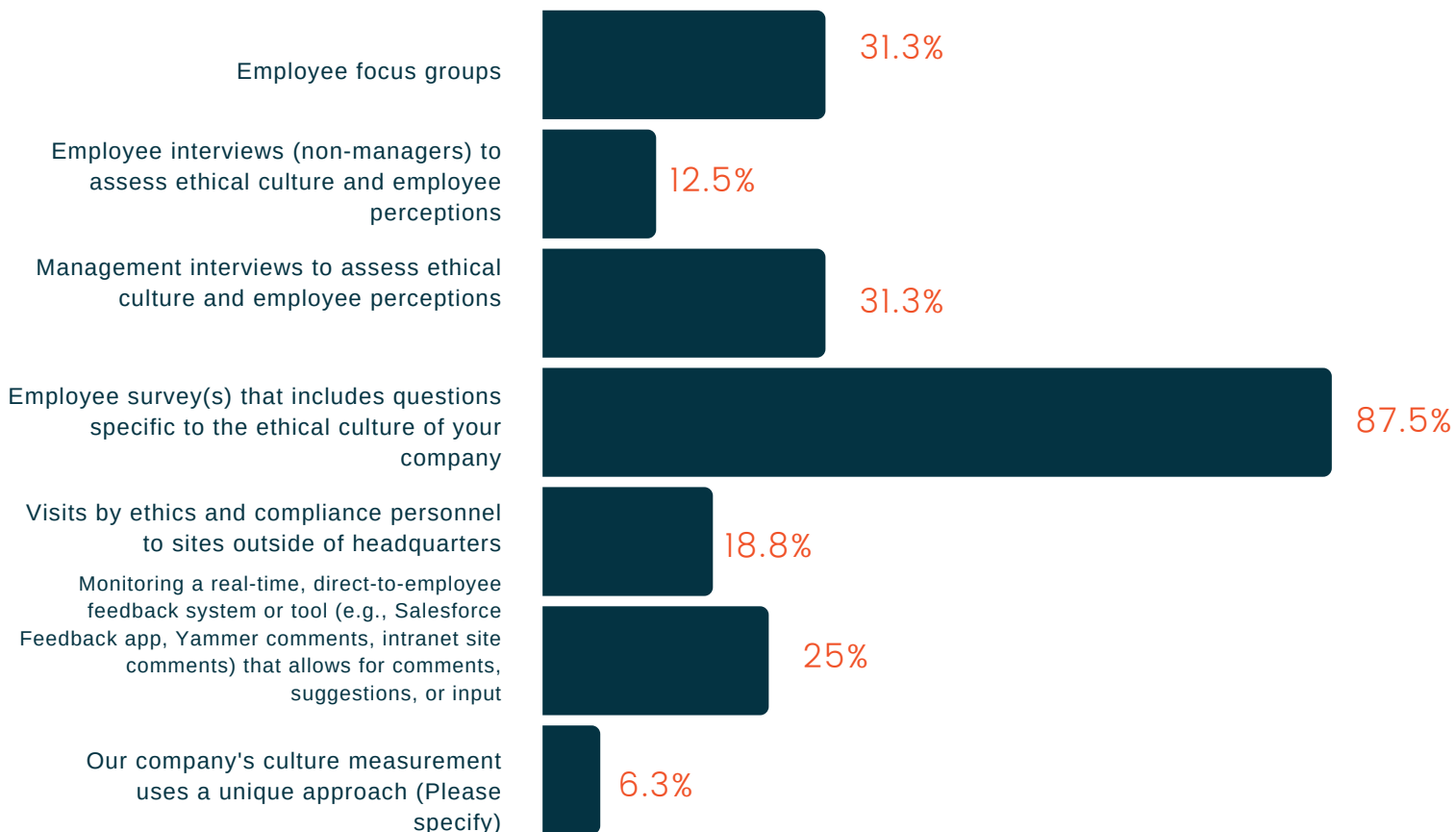
Download the
Recap

MEASURING EMPLOYEE PERCEPTIONS

When measuring employee perceptions of an ethical culture or ethics and compliance, the majority of respondents believe that employee surveys should include questions that directly address a company's ethical culture. Respondents shared that general questions should be avoided. Instead, specific data on how an employee feels or responds to a hypothetical situation should be included in surveys. For many, while this option exists, it does not provide measurable data about culture to tell a complete and accurate story. In fact, Ethisphere's research shows that a standalone dedicated survey demonstrates to the company that ethics matter.

Figure 1.2

Which of the following methods, if any, are part of your company's approach to measuring employee perceptions of ethical culture and/or the ethics and compliance program? Please select all that apply.



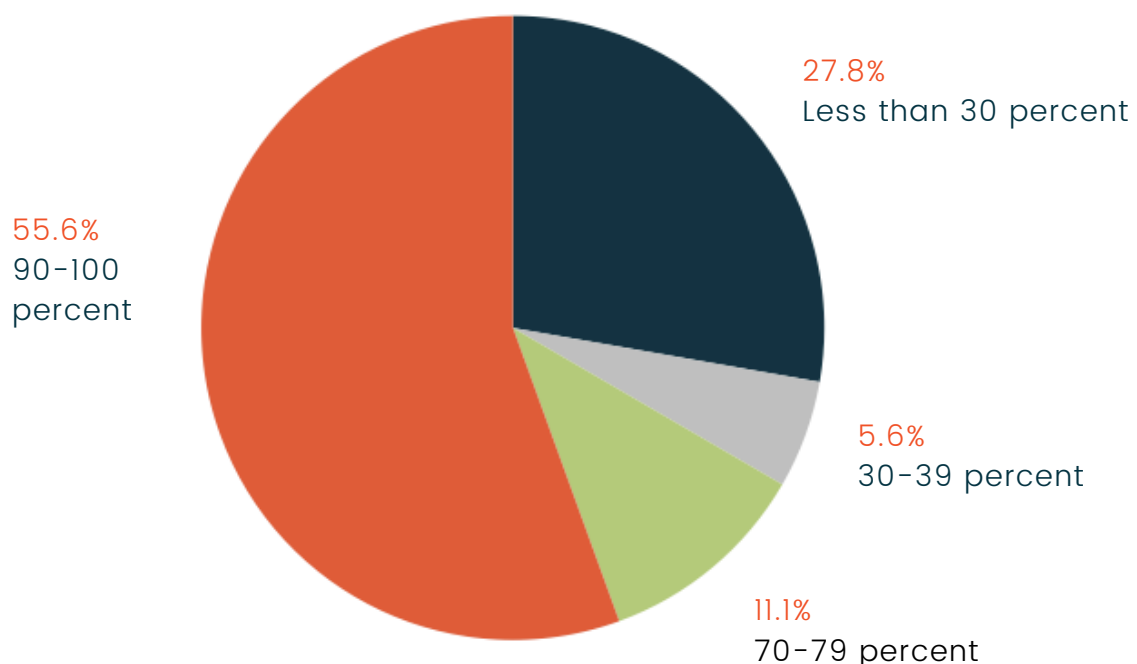
*Data from the 2021-2022 BELA Asia Pacific Survey

HOW WFH IMPACTS CULTURE

With the challenges brought on by the pandemic, leaders are unable to travel, and as a quick remedy, they have deputized regional and local employees to monitor the various elements of compliance. In an effort to gain a clear picture of the company's culture, leaders have expressed an appetite for more data to help make informed decisions. According to the survey findings, over half of the survey respondents indicated that 90 to 100 percent of the company's APAC workforce was offered the opportunity to participate in the most recent ethical culture survey. On the downside, it was reported that only half of the APAC workforce actually participated in the surveys. Some respondents believe that this was due to the new work-from-home environment, technical issues in remote regions, and a lack of awareness. The survey respondents who successfully received a high completion rate across APAC said this was partially due to the campaigns and incentives offered.

Figure 1.3

What percentage of your Asia Pacific workforce was offered the opportunity to participate in the most recent survey used to measure ethical culture and employee perceptions?



*Data from the 2021-2022 BELA Asia Pacific Survey

UNDERSTANDING ETHICAL CULTURE

FINDINGS FROM THE 2021 BELA ASIA PACIFIC SURVEY ON
MEASURING EMPLOYEE PERCEPTIONS AND SURVEYS

76%

Companies use a dedicated ethical culture survey, measure employee perceptions on an annual basis, and are provided with a detailed view of their culture

56%

Include questions on measuring employee perceptions of an ethical culture and/or the compliance program as part of a broader employee engagement survey

34%

Use a survey primarily developed to measure employee perceptions of ethical culture and/or the compliance program

BELA Asia Pacific Survey Findings

LEADER COMMENTARY: DATA DRIVES DIRECTION

“ Data helps us to create action plans in all high risk countries and business lines ”

“ The data is used in board meetings and with leadership ”

“ Results are used to drive the direction of integrity plans ”

“ Specific programs are tailored to meet objectives ”

“ Survey data tells the story in a virtual world ”

BAIN CAPITAL: WORKSHOPS TO UPSKILL COMPLIANCE IN ASIA



Melissa Obegi

**Asia General Counsel,
Bain Capital**

Bain Capital's attitude towards its investment portfolio is distinctive for its hands-on approach, taking the principles of management consulting and actively partnering with companies who seek and would benefit from strategic input. For Obegi, that translates into a relationship with Bain's portfolio companies that centers on aligning objectives, as opposed to "a more forensic or audit-driven, more oppositional approach" to risk and compliance. The workshops with Ethisphere allow Bain to provide ongoing, tailored support to company compliance teams.

One of the advantages of this consulting mindset is that Bain is able to consider investments that others looking for more passive engagements might consider too risky. "I do think we are able to work with companies that are less mature but are willing to undertake a journey of progress," says Obegi. The main requirement becomes a basic commitment to shared values.

So what exactly are these workshops trying to accomplish, and how have they developed and evolved over the years?

The association between Bain and the Ethisphere team began in 2012, as Obegi was seeking a way to help assess and upskill Bain's portfolio companies, most of which the firm has a controlling stake in. Since Bain's investments in the Asia Pacific region typically operate on medium-term, three- to seven-year timelines, the firm had every incentive to improve its portfolio companies' risk controls and programs.

[Read More](#)

SEEKING BUSINESS SUCCESS? FOCUS ON FOSTERING AN ETHICAL CULTURE

One of the keys to avoiding ethical missteps is to understand your culture –its strengths and its weaknesses. This requires measurable data about culture, which can only be fully obtained through a standalone, dedicated ethical culture survey.

One of the questions I often hear from companies I work with is, “Why can’t I just put a few ethics questions on my employee engagement survey?” Here’s what I tell them.

- You won’t get enough data about ethical culture. A few questions tacked on to an engagement survey—realistically, I’ve never seen more than five or six questions—aren’t going to give you close to enough information to understand what’s happening across the business. To fully understand how your employees feel about your organization, you need questions about a variety of culture-related topics.
- The data could be unreliable. Based on where questions about ethical culture are placed in an engagement survey, results can be colored by how employees feel about other topics. If culture questions are near questions about compensation, for example, employees’ responses to the culture questions might be influenced by they feel about that unrelated topic.
- A dedicated survey shows that ethics matter to the company. By taking the time and resources to implement a dedicated ethical culture survey, organizations send the message that ethics and compliance matter and warrant attention from employees.



Erica Salmon Byrne, J.D.

**Executive Vice President and
Chair of the Business Ethics
Leadership Alliance (BELA)**

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GLOBAL ETHICS SUMMIT REPLAY: MEASURING CULTURE



GLOBAL ETHICS SUMMIT

Culture is often defined as "the way we do things around here," but to us, ethical culture is about whether employees know the way to do things—and whether they will ask questions when they need help. For the last several years we've been measuring ethical culture, and in this session, Erica Salmon Byrne, EVP, Ethisphere, discusses what we see in our global data set and how you can use this data to effectuate real change. This video is a short clip from the full session at Ethisphere's 2021 Global Ethics Summit event.

Watch the session *Measuring Ethical Culture at the 2021 Global Ethics Summit: Part One*.

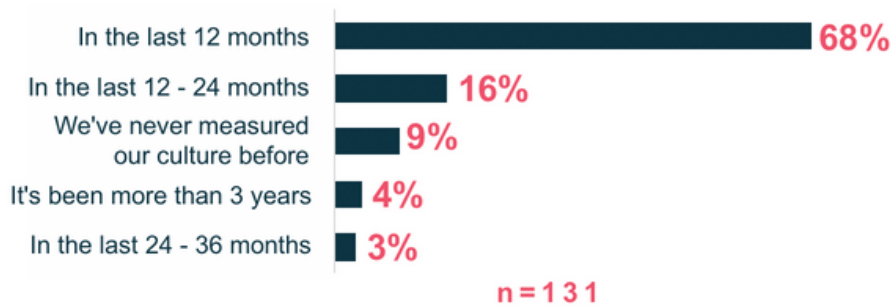
[Watch Now](#)

[Download the Culture Recap](#)

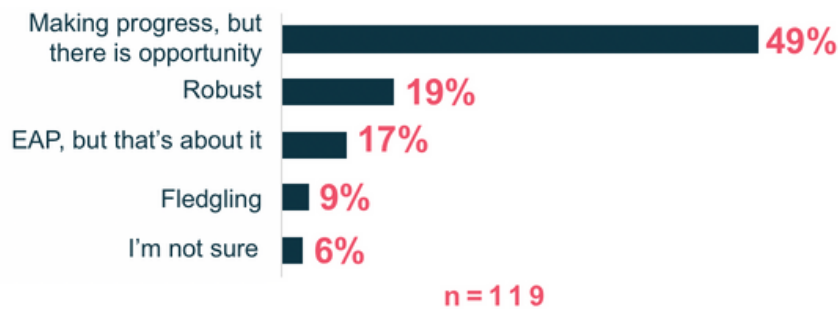
POLLING RESULTS FROM THE GLOBAL ETHICS SUMMIT ON ETHICAL CULTURE

At this year's Global Ethics Summit, we took a snap poll during our culture sessions to understand the frequency of measuring culture and reporting wrongdoing at work.

WHEN IS THE LAST TIME YOU MEASURED YOUR CULTURE?



THE WELL-BEING OF PEOPLE: ADDRESSING EMPLOYEE BURNOUT, MENTAL HEALTH, AND THE POTENTIAL STRAIN ON ETHICAL DECISION-MAKING

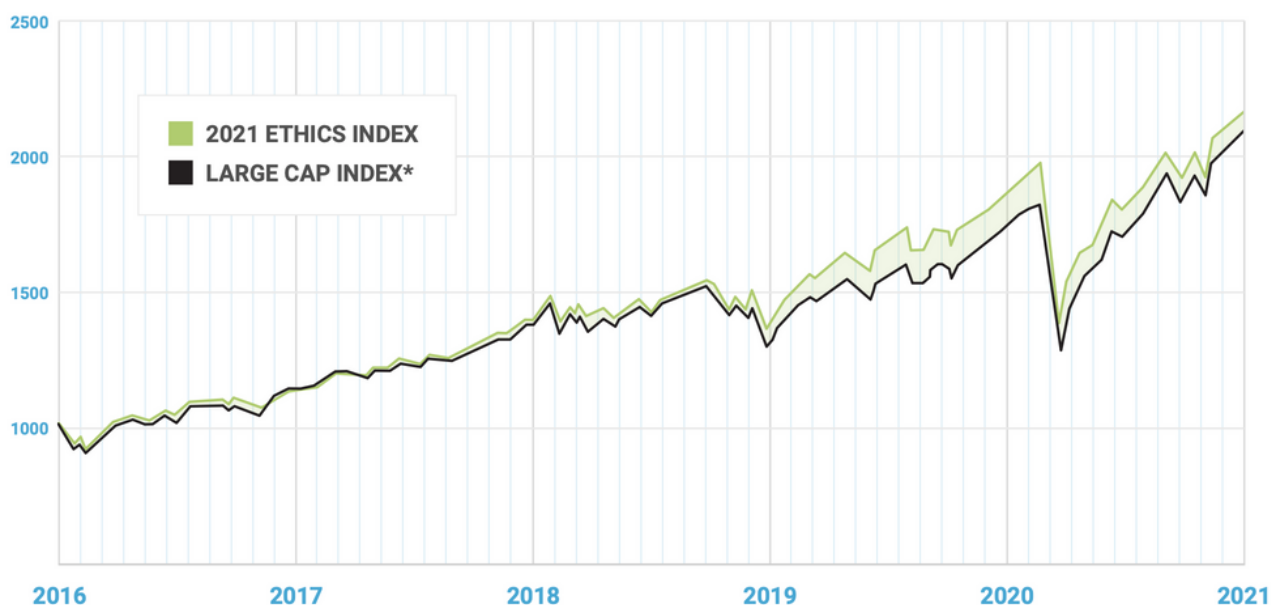


[Download the Recap](#)

68%

of attendees measured culture in the last 12 months

STRONG ETHICS IS GOOD BUSINESS



ETHISPHERE
GOOD. SMART. BUSINESS. PROFIT.

FIVE-YEAR ETHICS PREMIUM: 7.1%

*Solactive US Large Cap Index (GTR)

According to data from Ethisphere's 2021 Ethics Index, the collection of publicly traded companies recognized as recipients of this year's World's Most Ethical Companies designation outperformed a comparable index of large-cap companies by 7.1 percentage points over the past five calendar years.

The outperformance, which we refer to as the "Ethics Premium," has remained consistent since we began tracking the equity performance of honoree companies.

We believe this outperformance is the result of the kinds of practices that lead a company to be on our list—practices that demonstrate investment in their people, their culture, and their communities. We see in this data that those practices, over time, lead to stronger financial performance.

As evidenced by this continued outperformance, ethics is good for business.

[Download the Ethics Premium](#)

WORLD'S MOST ETHICAL COMPANIES 2021 DATA SET (ASIA PACIFIC)

Regional findings from the 2021 World's Most Ethical Companies data set for Asia Pacific on the topic of measuring culture

2021 WORLD'S MOST ETHICAL COMPANIESTM
WWW.ETHISPHERE.COM

67%

Employ an internal ethics and compliance program review as part of risk assessment

33%

Conduct an external review of the ethics and compliance program

22%

Evaluate the ethics and compliance program as an ongoing process without a formal schedule

See the APAC comparison to Global Honorees on the BELA Member Hub

[BELA APAC Member Hub](#)

AT&T'S DAVID HUNTLEY: MAKING THIS TIME DIFFERENT

As compliance leaders, we're often **ambassadors** for integrity and ethics in business. And, we have the power to **create change** within our respective organizations. Within compliance at **AT&T**, we often use the phrase *Just Do the Right Thing*; it's a call to action that helps us inspire an ethical culture.



David S. Huntley

Senior Executive Vice President
& Chief Compliance Officer,
AT&T Inc

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SECTION 2

REPORTING MISCONDUCT

GLENMARK PHARMACEUTICALS

I strongly believe that people make the company's culture. The kind of people you recruit will shape that culture of your company. And apart from the good people or the experienced people, I would say that our culture is supported by our strong ethics and compliance program.



Tejash Shah

Vice President, Compliance,
Glenmark Pharmaceuticals

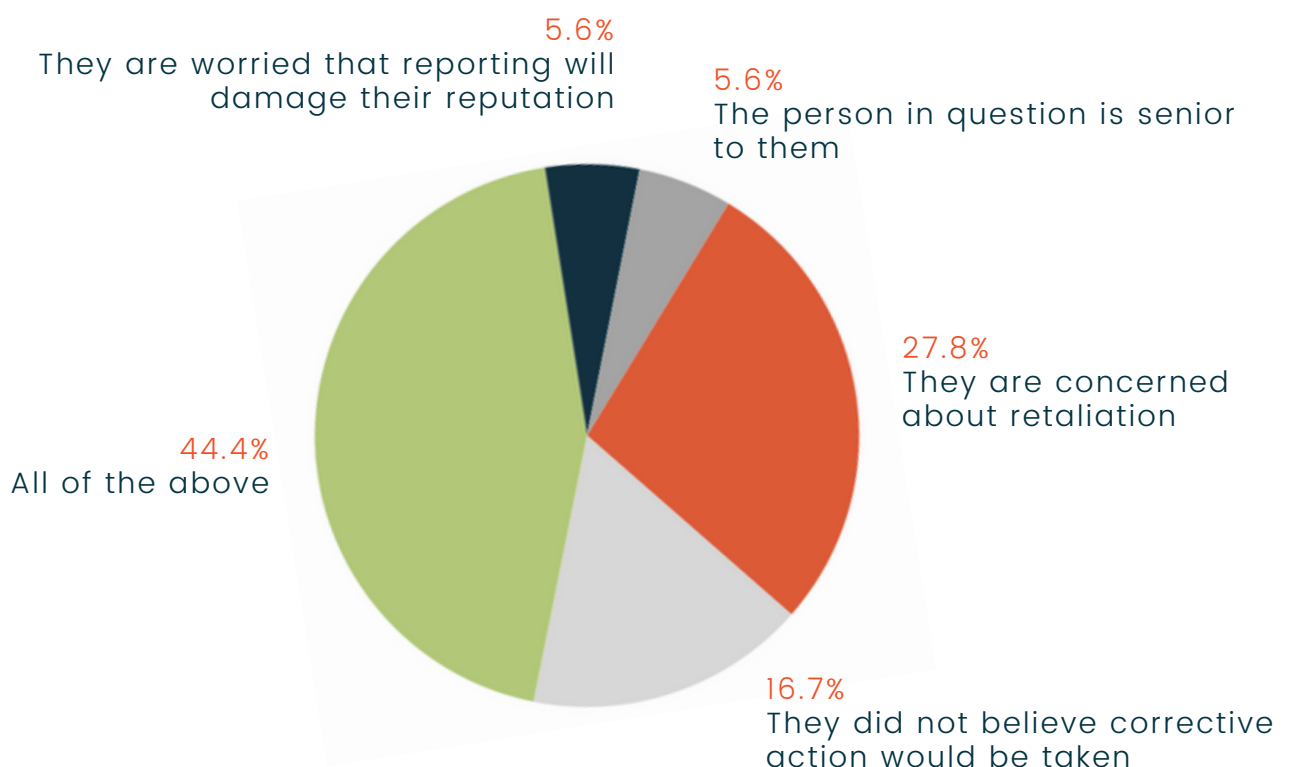
[Read More](#)

CULTURE: REPORTING MISCONDUCT

Across Asia Pacific, the general consensus is that companies continue to struggle with promoting a speak-up culture. In the work-from-home setting, this has been exacerbated by the use of technology and the lack of face-to-face meetings. Polling data from the 2021 BELA Asia Pacific Survey reveals that employees fail to report misconduct due to the fear of retaliation. Meanwhile, one in every six compliance leaders (16 percent) shared that employees avoid speaking up because they think corrective action would not be taken. Mitigating people-created risk is key to the success of any ethics and compliance program. Establishing a culture where employees are comfortable raising concerns about suspected misconduct (intentional or accidental) is critical in that endeavor. In almost every instance of consequential misconduct, “someone knew what was going on,” but many don’t speak up for a number of reasons, including fear of reprisal.

Figure 2.1

What are the main reasons that employees do not report observed misconduct?



*Data from the 2021-2022 BELA Asia Pacific Survey

STRENGTHENING AN ETHICAL CULTURE

FINDINGS FROM THE 2021 BELA ASIA PACIFIC SURVEY ON PROMOTING A SPEAK-UP CULTURE

50%

The compliance reporting hotline remains one of the main outlets employees turn to when they decide to report a concern

22%

Employees report misconduct to managers, who are armed with toolkits and resources to address this concern

5%

Over the last year, the Human Resources function received the least complaints, and this number has only decreased since the start of the pandemic

BELA Asia Pacific Survey Findings

LEADER COMMENTARY:



“

Data from trainings and the ombuds program

”

“

Social media tracking and engagement

”

“

Comparative analysis of data on culture surveys

”

“

A culture management division in the office of ethics works directly with managers to provide messaging

”

“

Tracking "tone at the top" communications

”

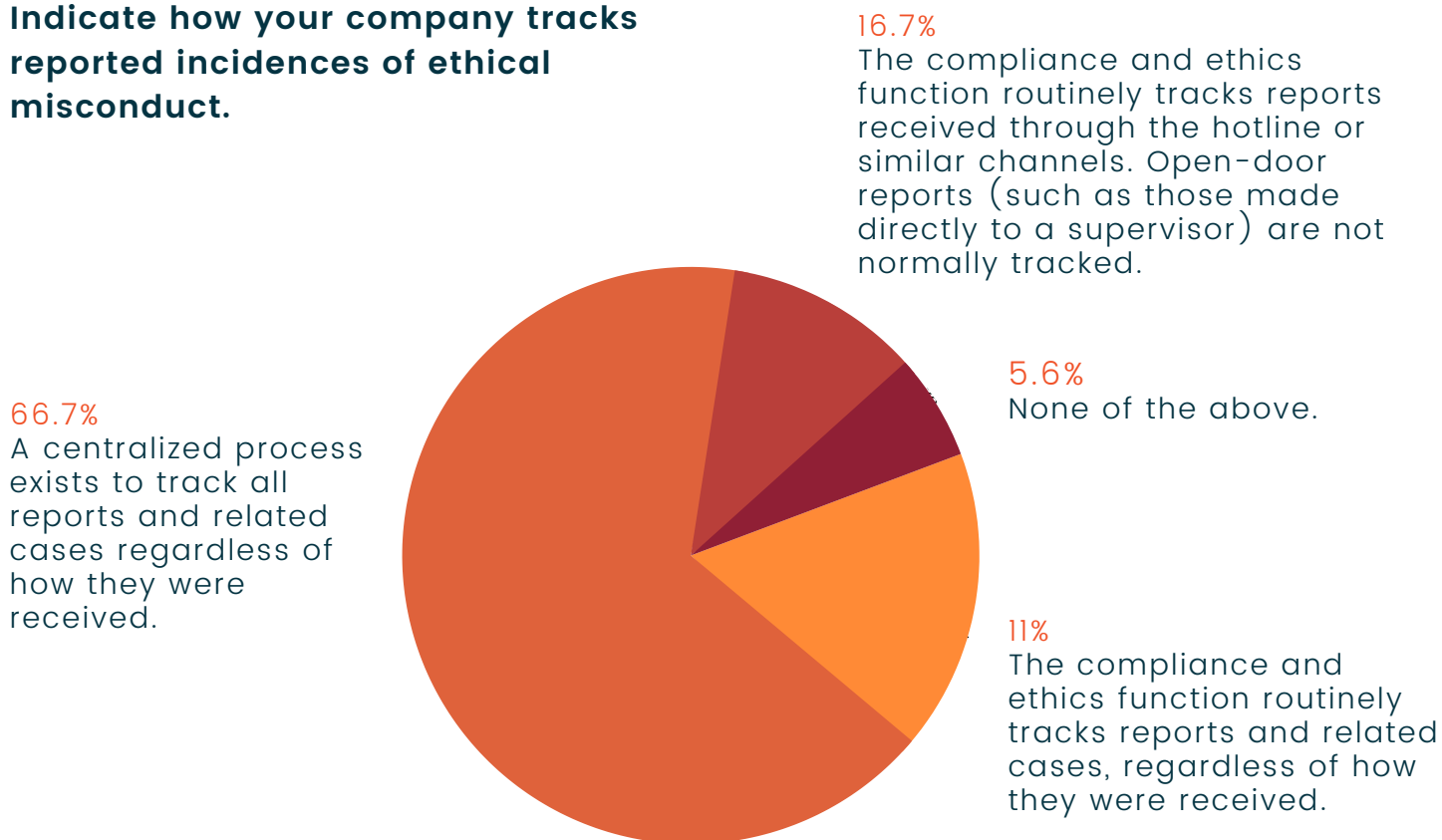
TRACKING ETHICAL MISCONDUCT

The DOJ's June 2020 update to regulatory guidance has made it clear that it expects companies to implement program elements and measure how effectively they are impacting an organization's culture. Data from the **2021 World's Most Ethical Companies** reveals that 89 percent of honorees across Asia Pacific have reported that they regularly track misconduct trends, inquiry frequency (67 percent), and policy, code, and resources downloads (56 percent).

The 2021 BELA Asia Pacific Survey findings indicate that two in every three compliance leaders (67 percent) have a centralized process in place to track all reports and related cases of ethical misconduct regardless of how they were received. Roughly 16 percent revealed that open-door reports (such as those made directly to a supervisor) are not normally tracked.

Figure 2.2

Indicate how your company tracks reported incidences of ethical misconduct.



*Data from the 2021-2022 BELA Asia Pacific Survey

LEADER COMMENTARY: LESSONS LEARNED



“

An ethical culture must be measured and provide employees the opportunity for feedback

”

“

Every piece of data matters

”

“

COVID-19 led to more HR- and compliance-related problems for many

”

“

Perceived incidents of bullying have increased while perceived incidents of COI have decreased

”

“

Compensation metrics plays a major role in driving an ethical culture

”

TRENDS IN MISCONDUCT: 2021 WORLD'S MOST ETHICAL COMPANIES DATA SET

Regional findings from the 2021 World's Most Ethical Companies data set for Asia Pacific on trends in misconduct

2021 | WORLD'S MOST
ETHICAL
COMPANIES[®]
WWW.ETHISPHERE.COM

100%

Use misconduct trends to assign ethics and compliance training

89%

Discuss misconduct investigations and resolutions during ethics and compliance steering committee meetings

22%

Use an ombudsperson as a resources for reporting and tracking misconduct

See the APAC comparison to global honorees on the BELA Member Hub

[BELA APAC Member Hub](#)

BAKER MCKENZIE

A strong **ethical culture and compliance program** are at the heart of good corporate governance. Unfortunately, governance failures often stem from poor “tone at the top” or lack of attention and resources from management. Beyond exercising oversight and asking the right questions, **the Board of Directors** also has a role when serious alleged misconduct is raised to direct and oversee a well-resourced and **independent investigation** and to ensure that the appropriate remediation action is implemented.



Mini vandePol

Head of Baker McKenzie's
Asia Pacific Compliance &
Investigations Group

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SECTION 3

BULLYING AND HARASSMENT TRENDS

JOHNSON CONTROLS

It is not a surprise that **bullying and harassment** claims have increased since the start of the pandemic. While a large portion of those claims seem to be also **unsubstantiated**, it indicates a shift in the mental wellbeing of the workforce, and it should not be ignored. Across Asia Pacific, we have launched a respectful workplace **training campaign**, which is proactive because Johnson Controls has not experienced or seen an increase in **HR diversity**, and workplace respect concerns.



Sonali Narasimhan

Regional Head of Compliance,
Asia Pacific, Johnson Controls

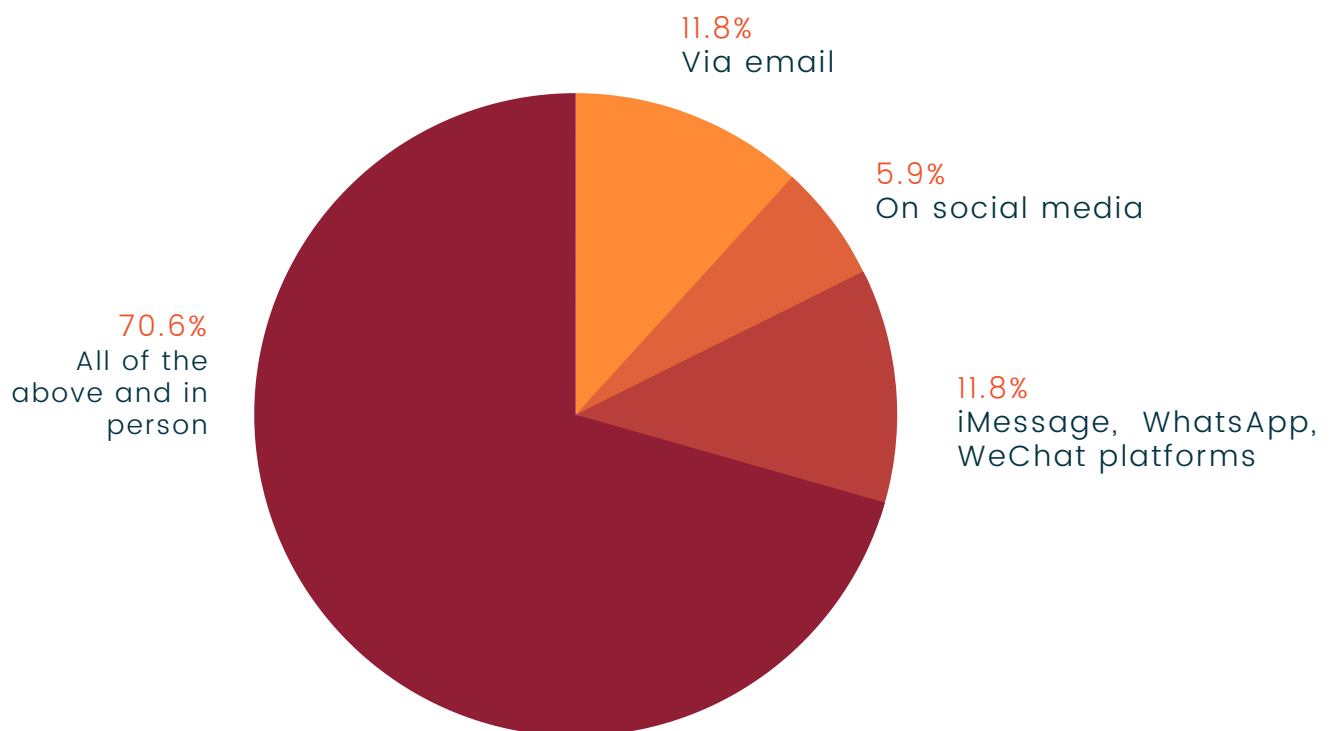
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SECTION 3: AN UPTICK IN BULLYING AND HARASSMENT CLAIMS

Across the board, bullying and harassment claims have increased by 20 percent since the start of the pandemic, according to the 2021 BELA Asia Pacific Survey results. In fact, harassment, disrespect, and bullying have taken on a new shape, with employees failing to report this behavior because of the lack of redress by employers when incidents are filed. Seventy percent of respondents revealed that the harassment—including power harassment—occurred via email, while more than one in five employees admitted that harassment also occurred on platforms such as iMessage, WeChat, and WhatsApp. Moreover, respondents believe there's a looming threat for security and monitoring claims with the increased use of ephemeral messaging.

Figure 3.1

How did the workplace bullying or harassment occur?



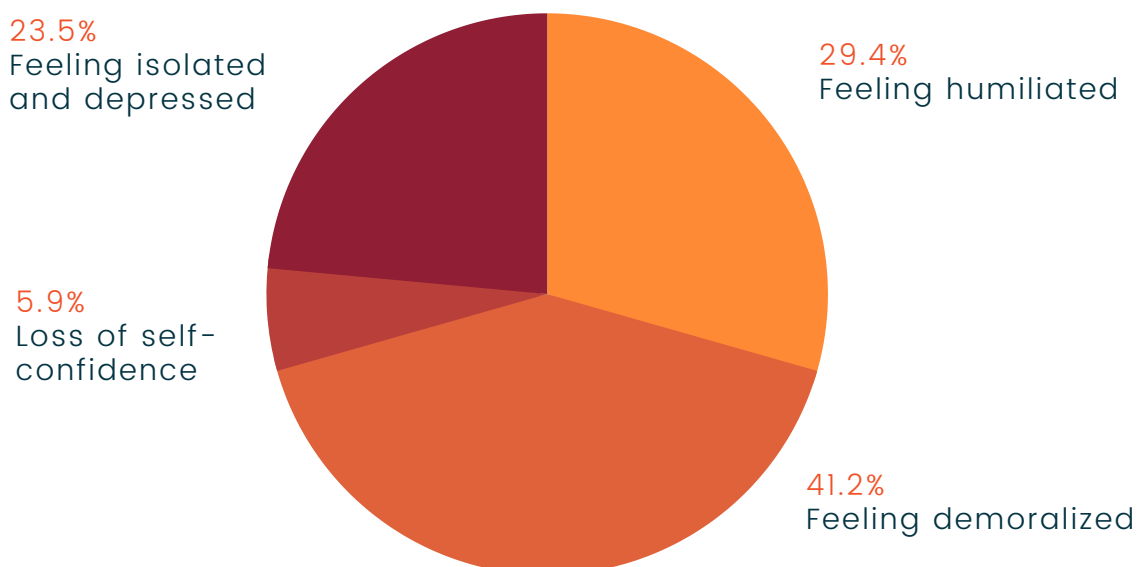
*Data from the 2021-2022 BELA Asia Pacific Survey

THE CONSEQUENCES OF BULLYING & HARASSMENT

In the virtual environment, leaders say that despite the uptick in bullying and harassment claims, it should be noted that sometimes about 50 percent of those claims are unsubstantiated, with the primary reason being a lack of clarity or an email that was misunderstood by an employee. For the claims that were substantiated, the consequence of workplace bullying has led to 41 percent of leaders admitting that employees feel demoralized, with 29 percent feeling humiliated. Given the lack of confidence that employees experienced, coupled with the stress of the pandemic, it was reported that some did not feel motivated to continue their job. In turn, these are the red flags that create an unhealthy culture, which can easily spiral out of control in a WFH setting. A simple Google search will provide the laundry list of companies that have suffered financial and reputational costs due to a toxic workplace culture.

Figure 3.2

Based on the claims, what were the employee consequences of workplace bullying and harassment?



*Data from the 2021-2022 BELA Asia Pacific Survey

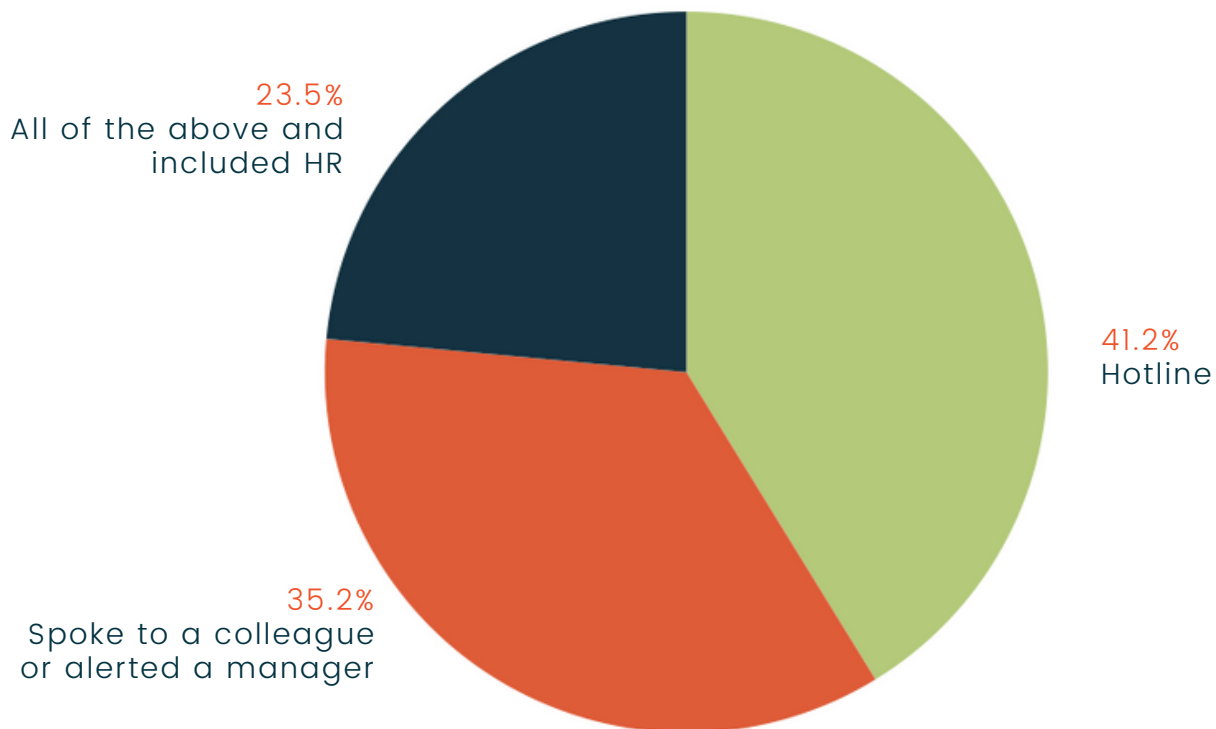
EMPLOYEES' RESPONSE TO BULLYING AND HARASSMENT

When targeted, about four in every ten employees (41 percent) have responded by filing a claim via the hotline. In most cases, employees spoke to a manager about an alleged bullying or harassment claim. In other instances, the survey results highlight that an employee spoke to a colleague about an alleged bullying or harassment claim. Only five percent of those surveyed said that employees went to Human Resources to file a report.

Hotline reporting increased in the pandemic-ridden environment, and this aligns with Ethisphere's 2021 World's Most Ethical Companies data set, which suggests that most honorees use the hotline and reporting statistics to drive the topical alignment of the ethics and compliance steering committee meetings.

Figure 3.3

When targeted, how did employees respond?



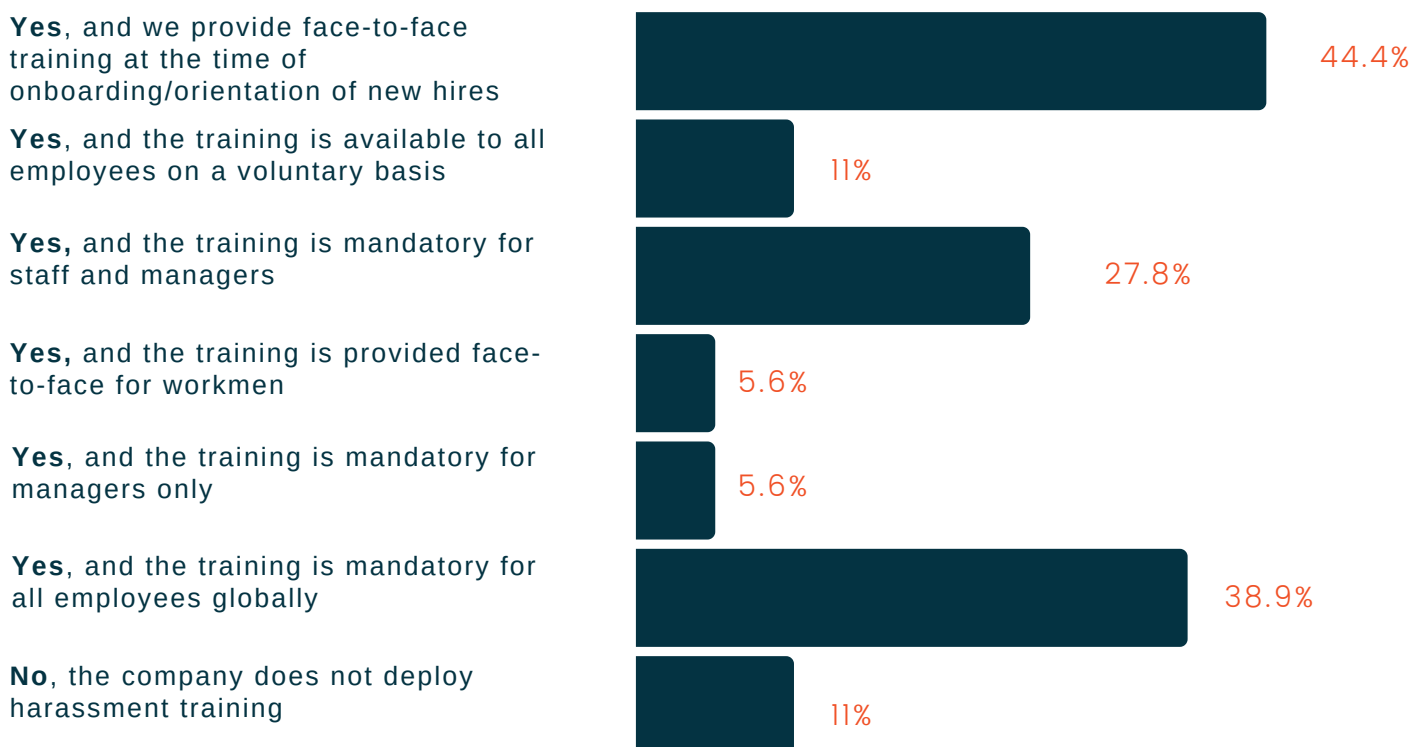
*Data from the 2021-2022 BELA Asia Pacific Survey

WORKPLACE TRAINING FOR EMPLOYEES AND NEW HIRES

Workplace bullying and harassment training seems to be the first option the ethics and compliance function may employ to address a toxic work environment. While the majority of respondents shared that training is mandatory for all employees, globally, about 27 percent of those surveyed said that training is mandatory for staff and managers only. While this is a relatively low number in comparison to the subset of respondents who make training mandatory to all employees, the truth is, providing training to only middle managers does not prevent the issue from resurfacing. Given that workplace bullying and harassment is becoming an epidemic, respondents recommend that training should be available to all employees, including new hires. Moreover, the survey results indicate that training sessions should be deployed "as needed," and companies who plan on keeping a hybrid workforce should continuously (even quarterly) roll out bullying and harassment training to all employees, and not just a select group of leaders.

Figure 3.4

Does your company deploy workplace bullying and harassment prevention training? Please select all that apply.



*Data from the 2021-2022 BELA Asia Pacific Survey

HOW IS THE DATA SHARED?

FINDINGS FROM THE 2021 BELA ASIA PACIFIC SURVEY ON TRENDS IN BULLYING AND HARASSMENT

50%

E+C circulated data around bullying and harassment to the Board, senior leaders, or management

37%

Do not communicate information around bullying and harassment cases to the Board or employees

13%

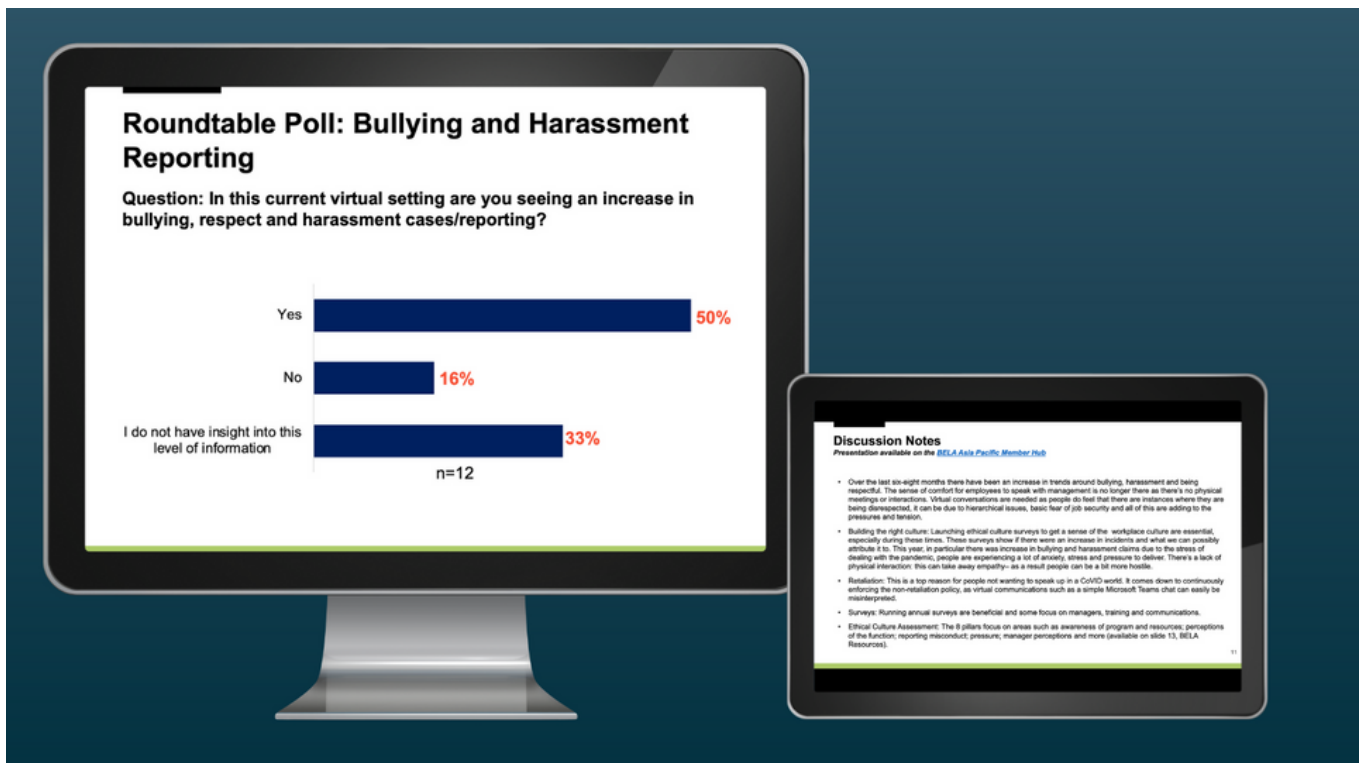
Make this information available (in a sanitized version) to the public as a standalone report

BELA Asia Pacific Survey Findings

PRACTICES TO CREATE AN INCLUSIVE VIRTUAL WORKFORCE

Harassment, disrespect, and bullying have dramatically increased over the last year, with the fear of retaliation being the driving force behind employees failing to speak up. In December, El Lynn Yeoh, Head of Ethics, Prudential Assurance Company Singapore, and Mona Dange, Global Head of Market Compliance, Nokia, discussed these topics and more at the recent BELA Asia Pacific Roundtable.

This session provided guidance on how leaders can create a workplace culture where employees feel supported and heard—despite the distance.



[Download Now](#)

SECTION 4

INVESTIGATIONS AND DOCUMENT RETENTION

NOKIA

At Nokia, we have made a **short video** that explains step-by-step what happens when an **employee raises a concern**. In short, it clearly articulates our triage process. Remember, there's a **human side** to this where we need to understand the **employee's perspective**. With that in mind, the video clearly outlines the specific timeframe of when they will be contacted and how the process will be concluded.



Mona Dange

Global Head, Regional & Business
Group Compliance, Nokia

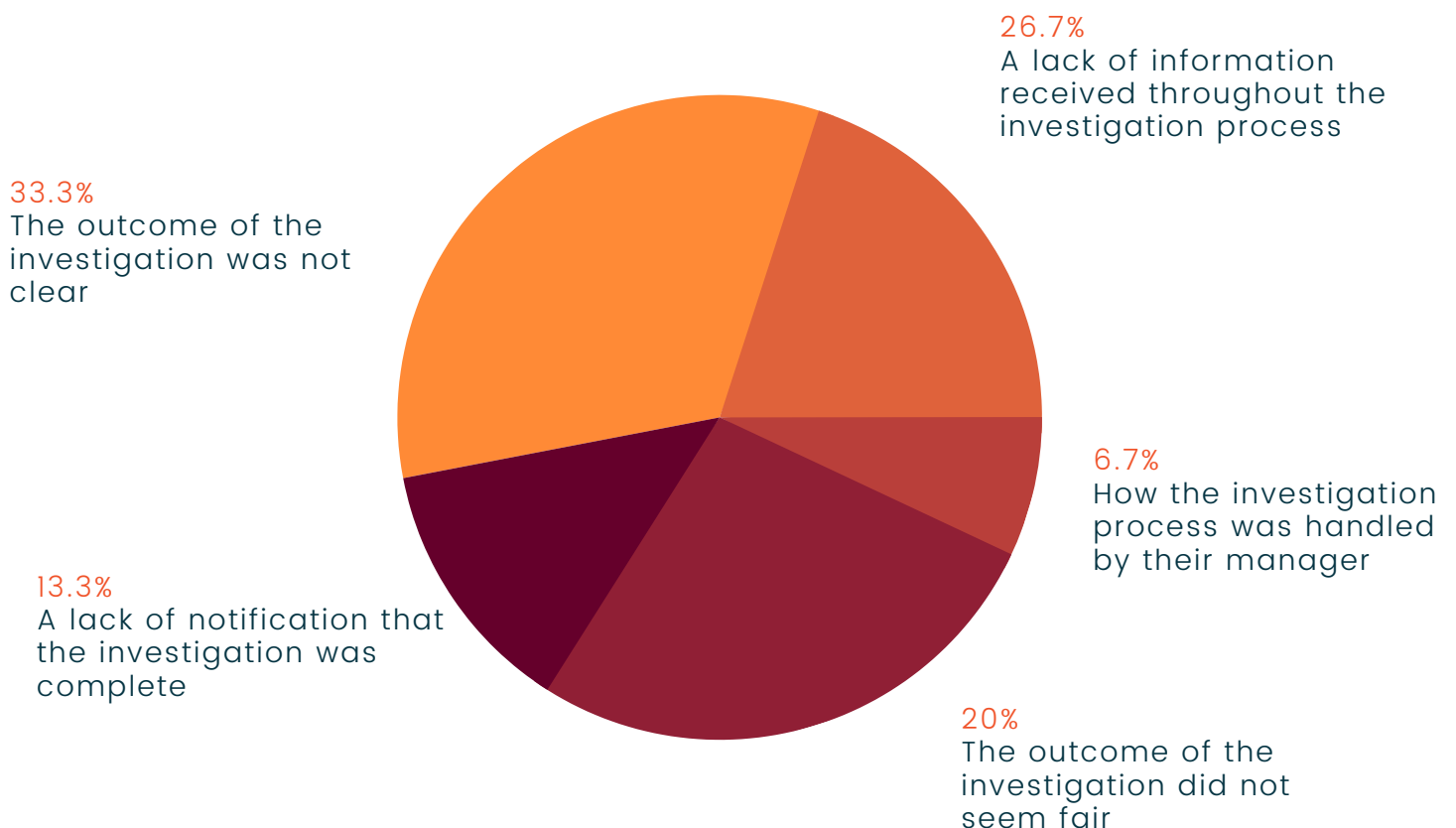
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SECTION 4: WHY EMPLOYEES ARE DISSATISFIED WITH INVESTIGATIONS

When an employee makes an informal or formal complaint, an employer will have a process in place to address the alleged conflict, protect involved parties, and begin investigations. Over the last year, it can be seen that employee dissatisfaction with investigations has increased to an all-time high. In fact, it remains one of the primary reasons why employees fail to come forward to report alleged misconduct. Results from the 2021 BELA Asia Pacific Survey reveal that one in three employees felt that the outcome of an investigation was not clear, while 26 percent felt that there was a breakdown in communication throughout the investigation process. At the same time, about one in five employees (20 percent) revealed that the outcome of the investigation did not seem fair.

Figure 4.1

What are the main reasons why employees feel dissatisfied with investigations?



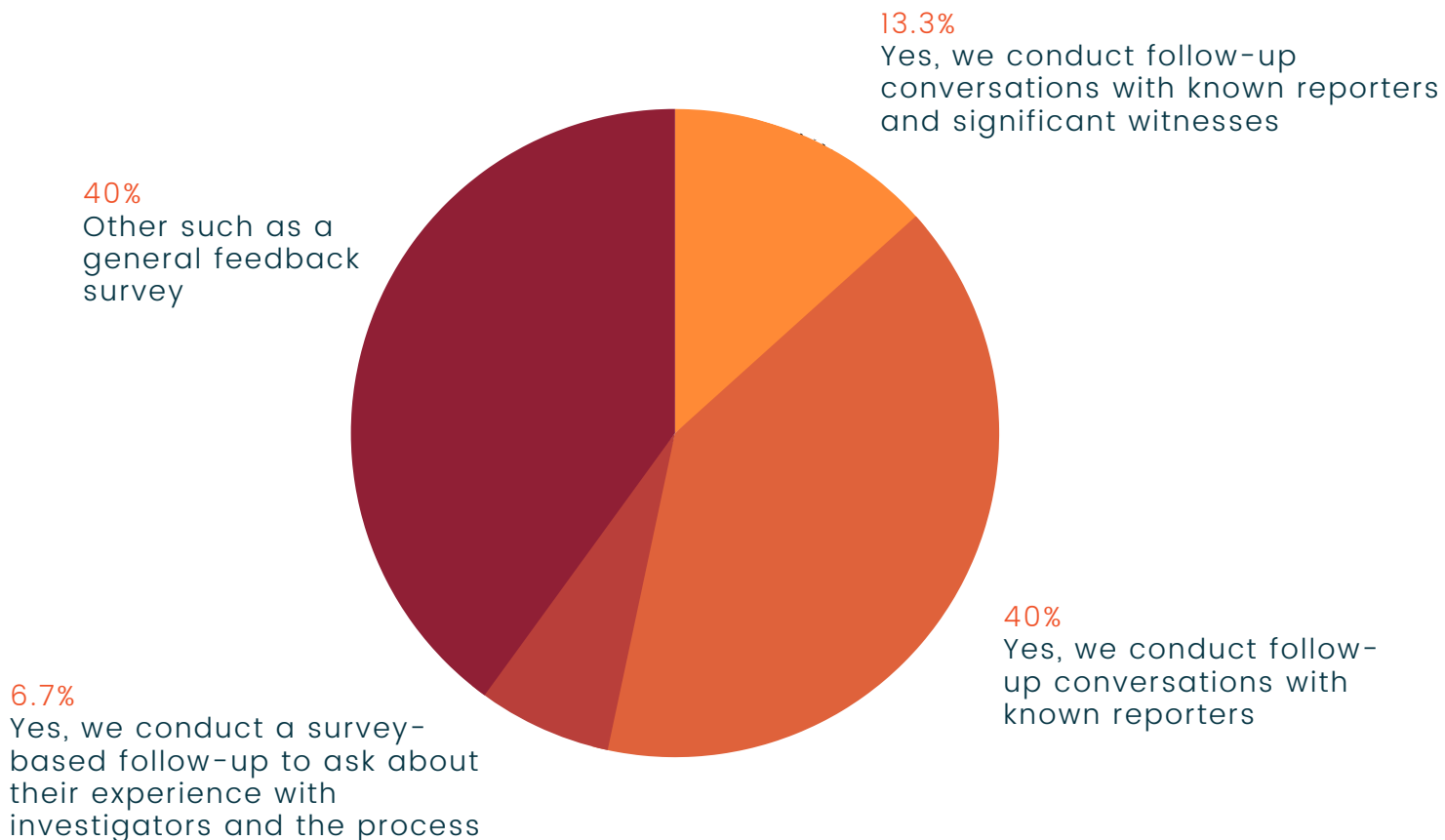
*Data from the 2021-2022 BELA Asia Pacific Survey

GATHERING FEEDBACK POST- INVESTIGATION

As an investigation comes to an end, the final and arguably most important phase of the process begins. Gathering feedback from the reporter and witnesses remains a significant part of an investigation because it helps in monitoring a company's culture, and it also provides leaders with candid feedback on the investigation process. The 2021 BELA Asia Pacific Survey results reveal that respondents are split on this topic, as 40 percent conduct follow-up conversations, while another 40 percent rely on the data collected from a general survey. Six percent of respondents indicated that a survey is provided to reporters and witnesses on the overall investigation experience and the process. That feedback is then reviewed and incorporated into the revised process.

Figure 4.2

Does your organization have a process for gathering feedback from individuals who participated in an investigation after the investigation is closed?



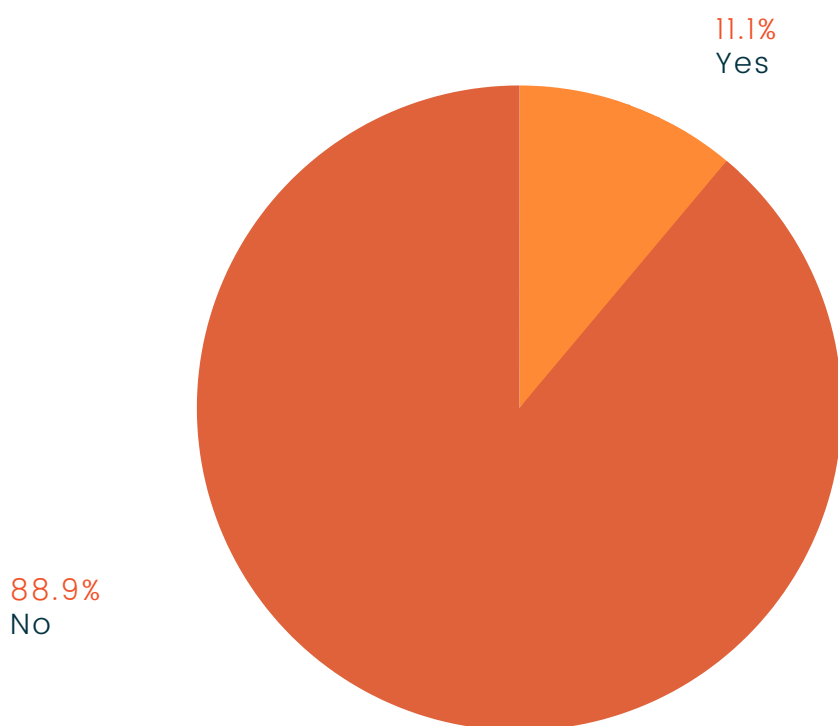
*Data from the 2021-2022 BELA Asia Pacific Survey

SHOULD COMPLIANCE LEADERS FOLLOW UP?

Should compliance leaders be involved in follow-up conversations after an exit interview? The data is in, and the survey results suggest that more than 85 percent of compliance leaders **do not conduct follow-up interviews**. It is important for leaders to keep in mind that the goal of a follow-up is not to identify whistleblowers or take action against them. Rather, the objective here is to develop trust with employees so they will share their knowledge with the compliance office. The information gathered after an exit interview with a compliance leader can impact a company's culture in the long run. For those that conduct an interview, they suggested that if a face-to-face interview is not possible, have a questionnaire ready to go that can be immediately sent to the individual. Also, it was highlighted that employees who have already left the organization may be more forthcoming and direct about processes and the company's culture. At the same time, their feedback may not be the most accurate, given that they are no longer at the company.

Figure 4.3

Does your compliance office conduct follow-up interviews (after an exit interview)?



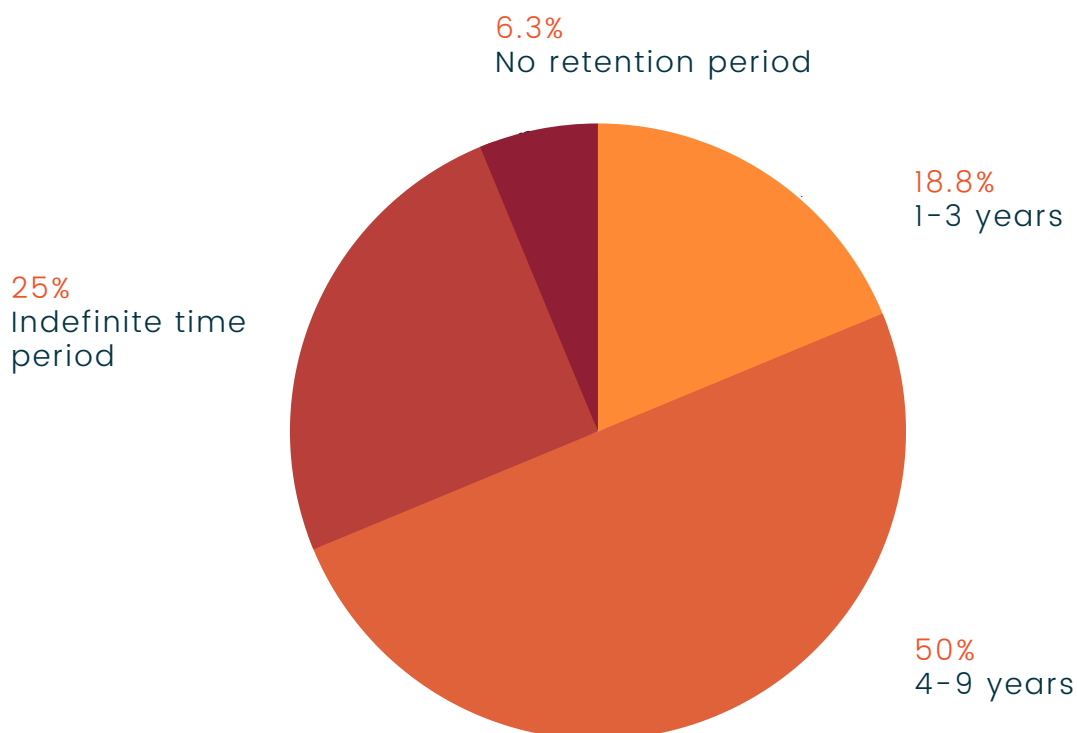
*Data from the 2021-2022 BELA Asia Pacific Survey

COMPLIANCE INVESTIGATIVE RECORDS

In the current business environment, how companies investigate, address, and retain records of potential misconduct can affect their reputations as much as the alleged conduct itself. In light of the current situation, many regional employees are being trained as investigators as part of initiatives to upskill and reskill the workforce. The challenge here is that it takes years of practice to become an effective investigator. Also, depending on the nature of the misconduct, the retention period of records is another area of growing concern, such as how leaders that took on an investigative role by default are preserving those records. The survey findings reveal that 18 percent of compliance leaders retain investigative records for one to three years. For respondents that hold on to records for four to nine years, they have shared that the ethics and compliance function's retention policies are consistently updated.

Figure 4.4

On average, what is the retention period for internal compliance investigative records?



*Data from the 2021-2022 BELA Asia Pacific Survey

MORRISON & FOERSTER ON DOCUMENT RETENTION

“Document retention” is much more than just **preserving work papers** in a file. There are many different types of data generated in the course of an investigation– including the **documentary evidence** collected from investigation subjects (which may be e-mails, calendar items, word processing files, spreadsheets, slide decks, document images, and increasingly, text and other instant messages), the correspondence generated by **investigators**, and the reports documenting the investigative efforts and its conclusion.



Dan Levison

Partner, Morrison & Foerster
(Singapore)

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LEADER COMMENTARY ON RECOMMENDING DISCIPLINARY ACTIONS



“

Standard disciplinary actions following disciplinary guidelines should be taken

”

“

Our processes still need improvement, and there's more work ahead for us and the company

”

“

The Disciplinary Boards look at prior violations and similar cases and recommend consistent disciplinary action, irrespective as to the seniority of the employee

”

“

A Disciplinary Committee looks at consequence management for all substantiated claims

”

“

Investigation outcomes are discussed by a committee at the Asia level; their recommendations are communicated to the local management

”

INVESTIGATIONS: 2021 WORLD'S MOST ETHICAL COMPANIES DATA SET

Regional findings from the 2021 World's Most Ethical Companies data set for Asia Pacific on investigations and managing reports

2021 WORLD'S MOST ETHICAL COMPANIESTM
WWW.ETHISPHERE.COM

78%

Use a single tracking tool to manage reports and subsequent investigations regardless of how the report was filed/investigated

57%

Have established and direct lines of communications between managers who receive reports and HR

29%

Direct line of communication between manager and ombudsman

See the APAC comparison to Global Honorees on the BELA Member Hub

[BELA APAC Member Hub](#)

SECTION 5

DRIVING A CULTURE OF CYBERSECURITY

EY ON A CULTURE OF CYBERSECURITY

Organizations are constantly being **inundated by attacks** on their IT systems and data. In fact, those that don't have a strong **culture of cyber resiliency** could easily fall prey to these unsuspecting attacks. With increasing digitalization and reliance on technology, there is now a greater risk and likelihood that compromise could exist in corporate networks and are going undetected. For this reason, and much more, organizations must adopt a mindset of **a constant state of compromise**—which means data could land into the wrong hands at any time.”



Ramesh Moosa

Asean and Singapore Forensic & Integrity Services Leader, EY

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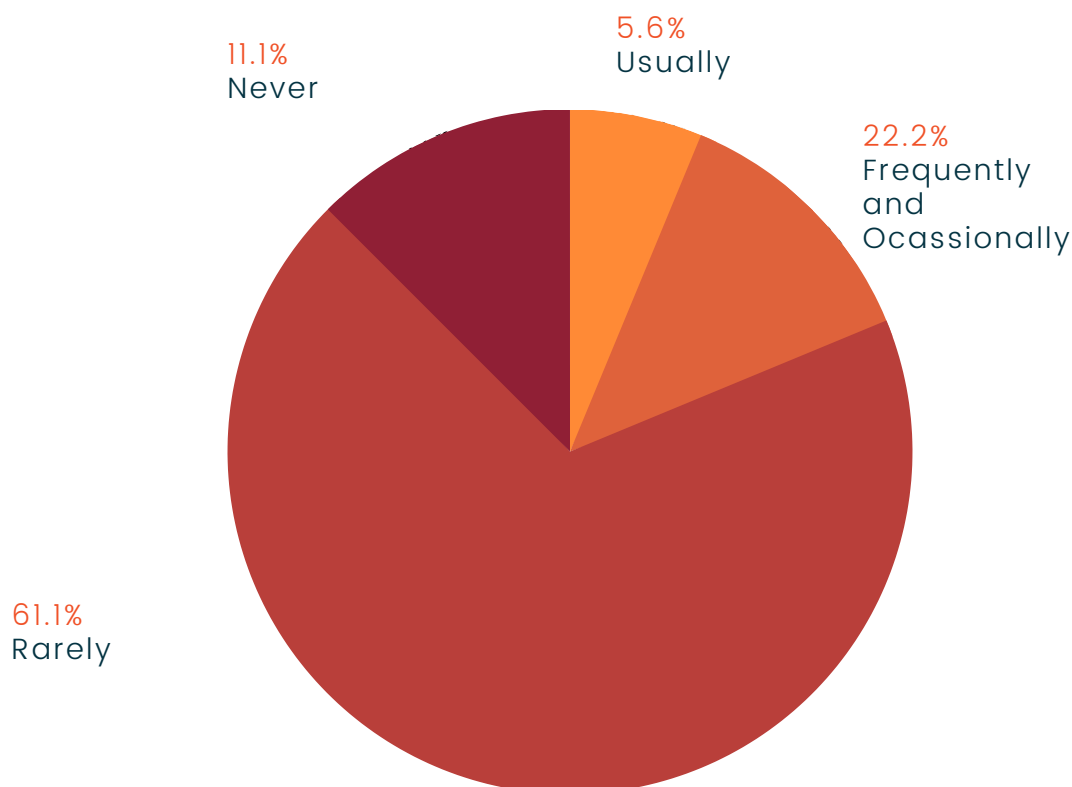
IS CYBERSECURITY PART OF A COMPANY'S CULTURE?

A culture of cybersecurity reflects the attitudes, knowledge, assumptions, norms, and values of the workforce of an organization regarding its data and security. How employees handle sensitive information provides insight into a company's culture. According to Ramesh Moosa, Forensic & Integrity Services Leader, Asean and Singapore, EY, "Building a culture of integrity and reinforcing them at all levels of the organization can significantly reduce fraud risks, sustain long-term competitive advantage, and provide greater value."

As it relates to cybersecurity, 61 percent of respondents reveal that employees rarely avoid "working around" a company's cybersecurity and data protection policies in order to do their job efficiently while working remotely.

Figure 5.1

Based on my information, employees feel they need to "work-around" the Company's cybersecurity and data protection policies in order to do their job efficiently while working remotely.



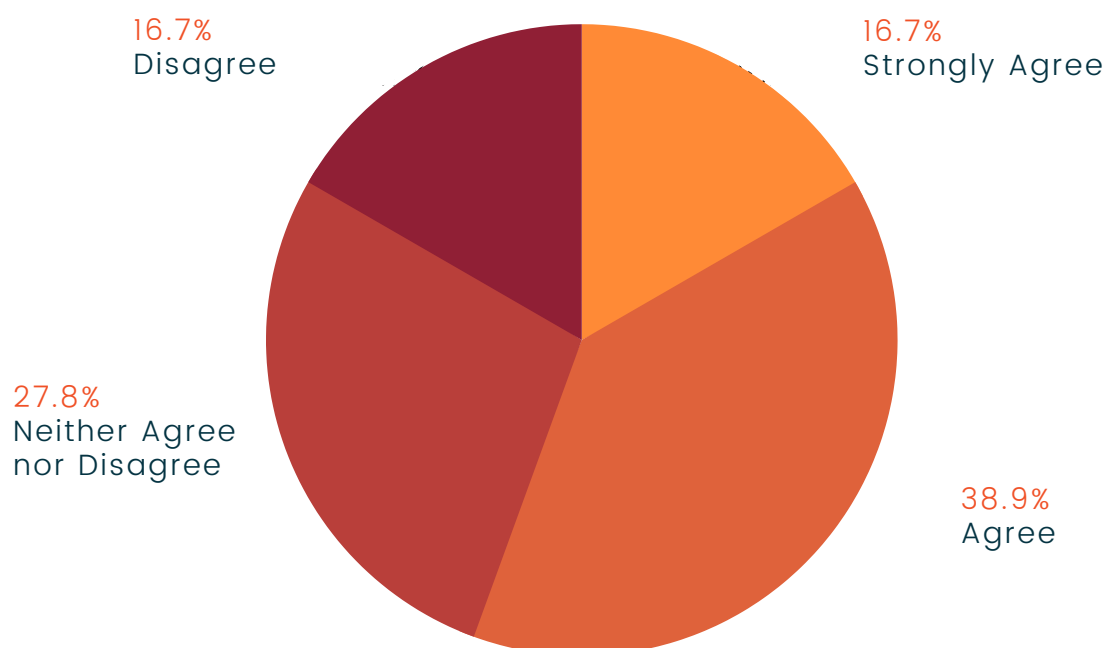
*Data from the 2021-2022 BELA Asia Pacific Survey

REPORTING LAPSES IN CYBERSECURITY

Do employees know how to report a cyber lapse? Or do they shut one eye? The survey results found that about 38 percent of leaders polled are confident that employees know how to report concerns regarding cyber threats and data loss. At the same time, close to 28 percent of respondents are on the fence about whether or not employees know how to report a concern. Sixteen percent revealed that they are not confident that employees know how to report a concern. "Making it easier for people to report issues is one of the keys to success on this front. Many organizations have set up chat and email accounts that are used for reporting cybersecurity issues. When employees are consciously aware of the risks, use IT resources in line with corporate policies and good practices, and proactively report potential concerns, strong cyberculture will emerge that will, in turn, enable organizations to be bolder with their digitalization plans," said Ramesh.

Figure 5.2

In the remote setting, I am confident that employees know how to report concerns about cybersecurity lapses or the leak/loss of confidential information at our Company.



*Data from the 2021-2022 BELA Asia Pacific Survey

DEUTSCHE TELEKOM: COMPLIANCE'S ROLE IN AI ETHICS AND DIGITAL INNOVATION



Manuela Mackert

**Chief Compliance Officer,
Deutsche Telekom**

Germany-based Deutsche Telekom (DT) consistently ranks among the top ten largest global telecommunications companies and is Europe's leader in the space. The company and its many subsidiaries provide the base upon which the digital economy runs for many consumers. As critical infrastructure, the company knows that it has an extra obligation to be responsible with its networks. Enter Manuela Mackert, who has been Chief Compliance Officer for the entire group since 2010 and for the past several years has been thinking seriously about digital responsibility and AI ethics, making DT a leader in that space.

Megatrends Shaping Compliance

Given her background—Mackert worked in human resources for many years before jumping to compliance—she is keenly interested in the changing nature of work in the digital age and how that shift impacts the needs of the compliance function. With that in mind, she has her eyes on two sets of “megatrends” shaping our economy: the shift to digital work and the pressures pushing towards “agile organizations.”

These twin megatrends drove Deutsche Telekom's compliance organization to focus on a few priorities, including fostering values-based compliance. Agile organizations require empowered employees, versed in their company's values and priorities, to make rapid decisions. Among other things, the need for agility has pushed compliance from a rules-based order to one more concerned with teaching values to help employees structure their decisions. Perhaps the most important innovation that the compliance team rolled out was “an AI-based check box” designed to dynamically walk employees through the ethical and legal requirements of various tasks.

[Download Now](#)

THIRD PARTIES ACROSS APAC: 2021 WORLD'S MOST ETHICAL COMPANIES DATA SET

Regional findings from the 2021 World's Most Ethical Companies data set on third parties.

2021 | WORLD'S MOST
ETHICAL
COMPANIES[®]
WWW.ETHISPHERE.COM

89%

Understand where and a third party stores critical information before entering a contract

78%

Of third-party contracts include explicit provisions regarding third-party adherence to a company's ethics and compliance requirements

44%

Require independent certification of security controls

See the APAC comparison to Global Honorees on the BELA Member Hub

[BELA APAC Member Hub](#)

OMEGA COMPLIANCE ON MAXIMIZING SUPPLIER INTEGRITY

The most effective way to maximize **supplier integrity** is to take a hands-on approach. Suppliers can have all the **documentation** in the world, but the truth is, seeing is believing. In order to truly know if a factory in Bangladesh or a facility in China is meeting your **ethical and compliance standards**, you need to go and see it. For companies using hundreds, or even thousands, of suppliers—in the middle of a pandemic—this is labor intensive. But the risks outweigh the **time and expense**.



Jon White

Managing Director,
Omega Compliance

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Every day many of the world's most trusted brands put their faith in Omega as they endeavor to work with suppliers who operate ethically, securely and free from corrupt practices.



SUPPLY CHAIN MONITORING



Every day many of the world's most trusted consumer brands put their faith in Omega to ensure the integrity of their global supply chains.

[LEARN MORE >](#)

ETHICAL BEHAVIOR



A dedicated, internal ethical team requires our staff to uphold exceptional levels of integrity, honesty and transparency at all times.

[LEARN MORE >](#)

EXPERTISE



Omega provides insight and guidance over a broad range of industry challenges and trends. View our thought leadership section to learn more.

[LEARN MORE >](#)

Omega goes beyond supply chain monitoring. With a network of teams stationed across the globe, we provide deep expertise navigating local challenges, such as forced labor, human trafficking and wages/working hours non-compliance, as well as broader industry issues such as supply chain corruption and unauthorized subcontracting. With an industry leading anti-corruption program, and client services in Hong Kong and the United States, Omega places its partners at the center of its business. We pride ourselves on delivering excellence with flexibility, attention to detail and unparalleled integrity.

Learn more about Omega Compliance here: <https://www.omegacompliance.com>
Contact: Jon White, Managing Director: jwhite@omegacompliance.com



ETHISPHERE'S EIGHT PILLARS OF ETHICAL CULTURE

1

Awareness of the E&C Program and Resources

2

Perceptions of the Function

3

Observing & Reporting Misconduct

4

Pressure

5

Organizational Justice

6

Supervisor Perceptions

7

Perceptions of Leadership

8

Perceptions of Peers & Environment

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SETTING THE STAGE: ETHISPHERE'S ETHICAL CULTURE BENCHMARK DATA

1 million +

RESPONSES RECEIVED

90

COMPANIES AROUND THE WORLD

>5 million

REPRESENTED HEADCOUNT

*Figures as of 11/15/20

BELA ASIA PACIFIC COMMUNITY RESOURCES

BEST PRACTICES FROM THE FRONT LINES: BELA AsiaPac Chapter Newsletter



Member-driven monthly APAC newsletters are designed to keep the community engaged and informed

150+
APAC leaders

325+
BELA members have access to APAC resources

SHARING INSIGHT ACROSS THE COMMUNITY: Company Best Practices within AsiaPac Hub



30+

New Contributions

Quarterly detailed roundtable recaps with data and presentations

20+

APAC Magazine contributions

Member-driven topics include:
Promoting a speak up culture
Cybersecurity and data privacy
Policy framework

AsiaPac Community Discussions and Connections

VIRTUAL ROUNDTABLE – JUNE 4TH, 2020



Sharing Insight Across the Community: Company Best Practices within AsiaPac Hub



The past year was a challenge globally, and yet we experienced the global ethics and compliance community coming together to ensure continuity in their work. We saw a unique level of commitment from our Asia Pacific leaders who were tasked with re-imagining their ethics and integrity programs. While we weren't able to get together in person, we were pleased to be able to host four virtual roundtables over the last year and launch the first Asia Pacific Magazine. Despite being virtual, we were still able to collaborate to create data from snap polls and share program resources with one another through the virtual BELA Asia Pacific Member Hub. Here's a recap of our activities over year two of the BELA Asia Pacific Chapter.

[Read More](#)

Elevate Your Culture and Overcome People- Created Risks

Data, expertise, and toolkits to help ethics and compliance teams focus on sustainable culture change

Measure Your
Culture

Turn Insights into
Action

Become an Agent
of Change

[LEARN HOW WE CAN HELP](#)



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