

A woman with curly hair and glasses stands at the head of a large white conference table, gesturing with her hands as she presents. Several people are seated around the table, some looking at laptops. The room has large windows in the background.

# Trends and Developments in Gifts and Entertainment: Thresholds, Approvals and Tracking

November 21, 2019



# Before We Get Started

- Today's presentation and recording will be provided via email after the webcast
- Please submit questions via the chat or question function on your webcasting screen

# Who We Are



**Erica Salmon Byrne**  
Executive Vice President



**Jodie Fredericksen**  
Senior Compliance Counsel



**Danielle Cannata**  
Senior Counsel, SABIC

# Agenda

## 1. Background

- Who We Are
- Setting the Stage: Our Data and Why it Matters

## 2. Insights

- Educating Employees on Company Expectations and Tracking Employee Activity
- Training and Awareness: *Manager Training Practices*

## 3. Accessing our Data



# Ethisphere: Advancing Business Integrity for Competitive Advantage

The Ethisphere Institute is the global leader in defining and advancing the standards of ethical business practices that fuel corporate character, marketplace trust and business success.

**Recognize  
Excellence**



**Measure Against  
Standards**

- Ethics and Compliance
- Corporate Ethical Culture
- Anti-Corruption in the Value Chain
- Cybersecurity
- Trade Secret & IP Protection

**Inspire  
Advancement**

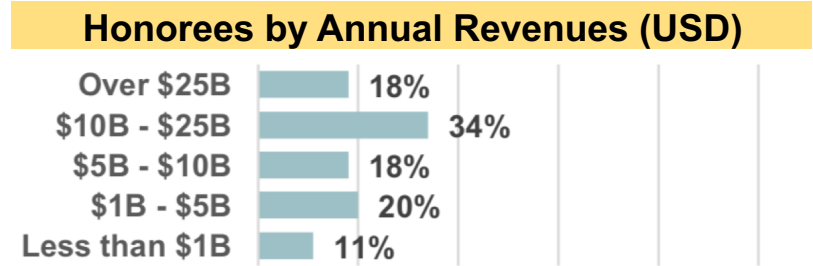
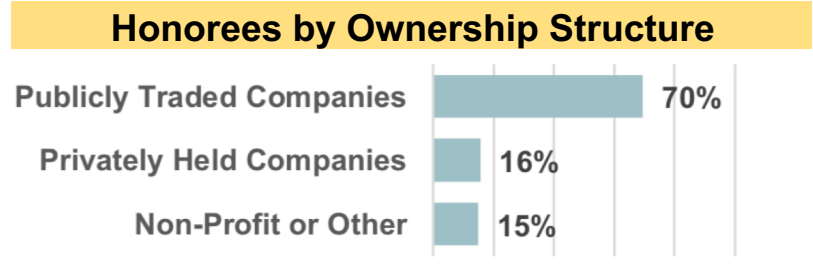


# Setting the Stage: Our Data and Why it Matters

128 companies were designated as World's Most Ethical Companies in 2019.  
These companies represent 51 industries across 20 countries.

Honorees by Top Sectors		
Insurance	5%	
Energy & Utilities	5%	
Non-Profit Healthcare Providers	5%	
Banking	4%	
Financial Services	4%	
Automotive	3%	
Construction & Building Materials	3%	
Health Insurance	3%	
Industrial Manufacturing	3%	
Real Estate	3%	
Technology	3%	
Telecommunications	3%	
Business Services	2%	

Honorees by HQ Location	
Australia	Japan
Brazil	Mexico
Canada	Poland
Finland	Portugal
France	Spain
Germany	Sweden
Guatemala	Switzerland
Hong Kong	Thailand
India	United Kingdom
Ireland	United States
Italy	

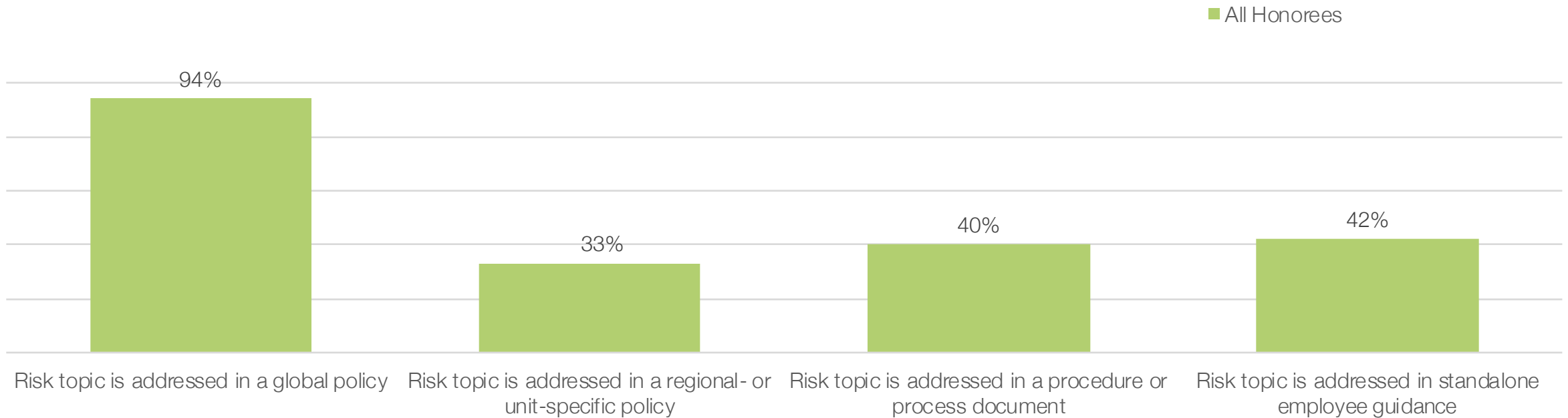




# **Gifts and Entertainment: Educating Employees on Company Expectations and Tracking Employee Activity**

# Risk Assessment, Monitoring & Auditing

EQ 4C.6 – How is the risk topic Gifts & Entertainment addressed across your company's various written standards? (Multiple select)





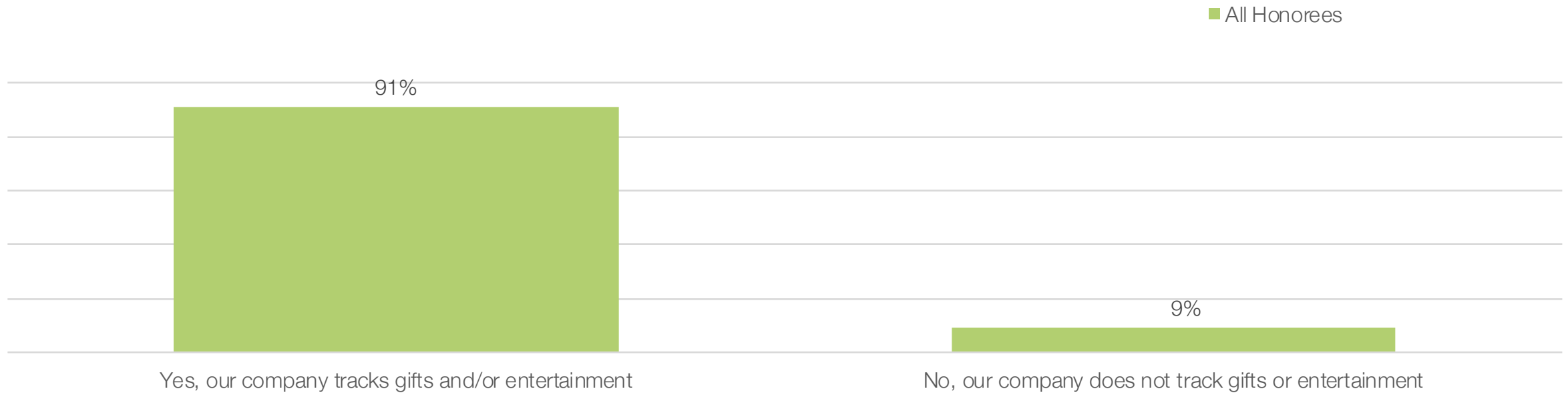
# Risk Assessment, Monitoring & Auditing

EQ 4D.7 – How does your company provide training on the risk topic Gifts & Entertainment? (Multiple select)



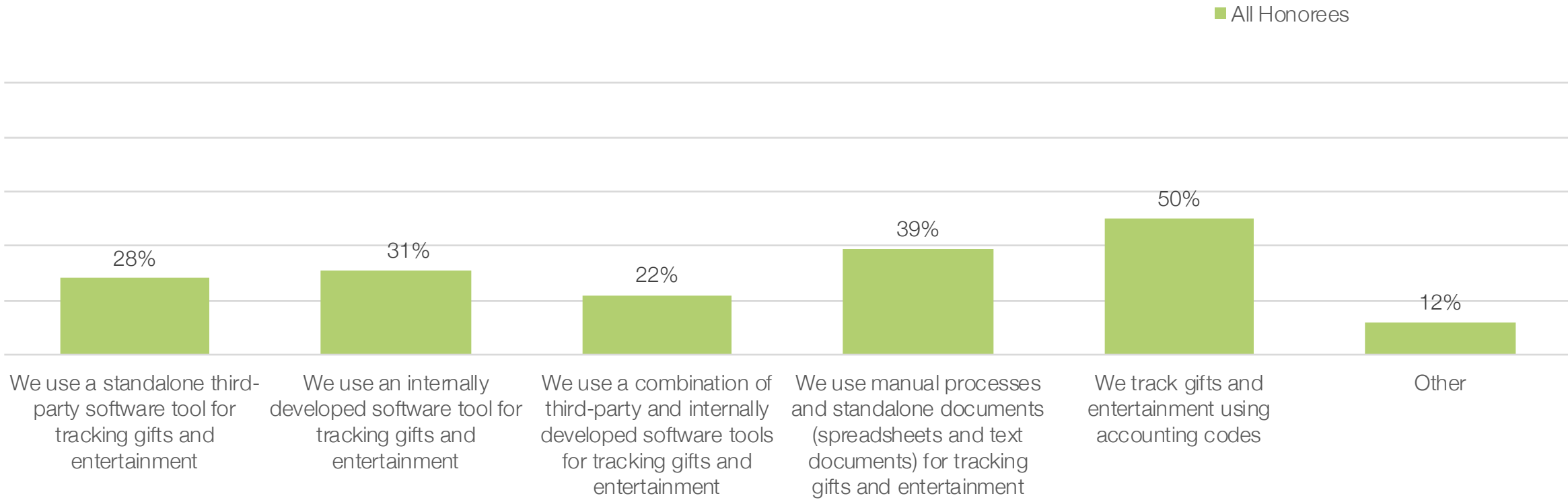
# Risk Assessment, Monitoring & Auditing

EQ 4E.12 - Does your company track any entertainment (including meals and hospitality) and/or gifts given or received by your company's employees?



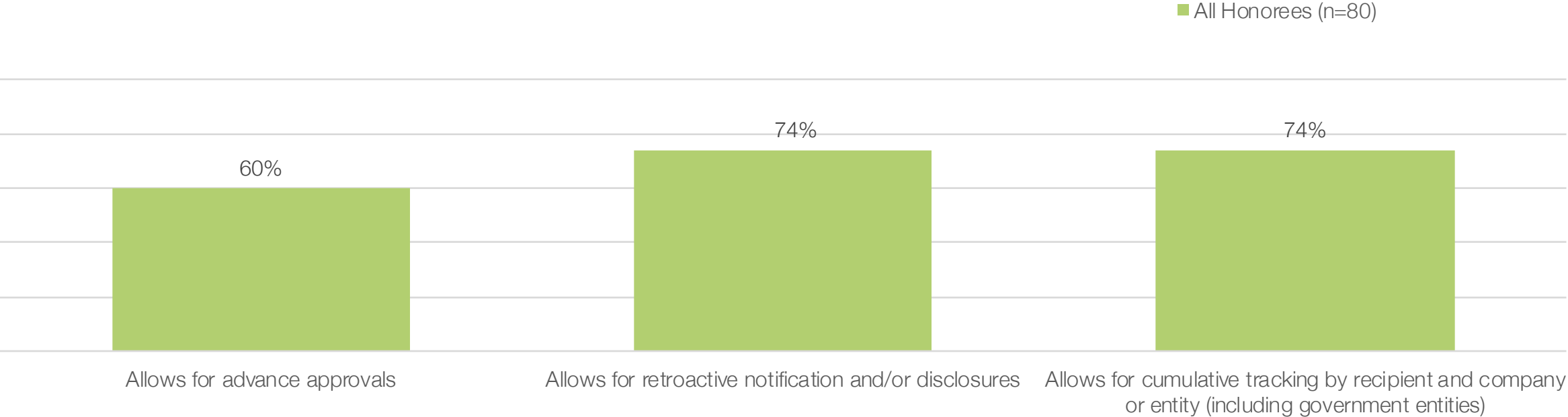
# Risk Assessment, Monitoring & Auditing

EQ 4E.13 - What technology do you use to track gifts and entertainment given to or provided by your employees? (Multiple select)



# Risk Assessment, Monitoring & Auditing

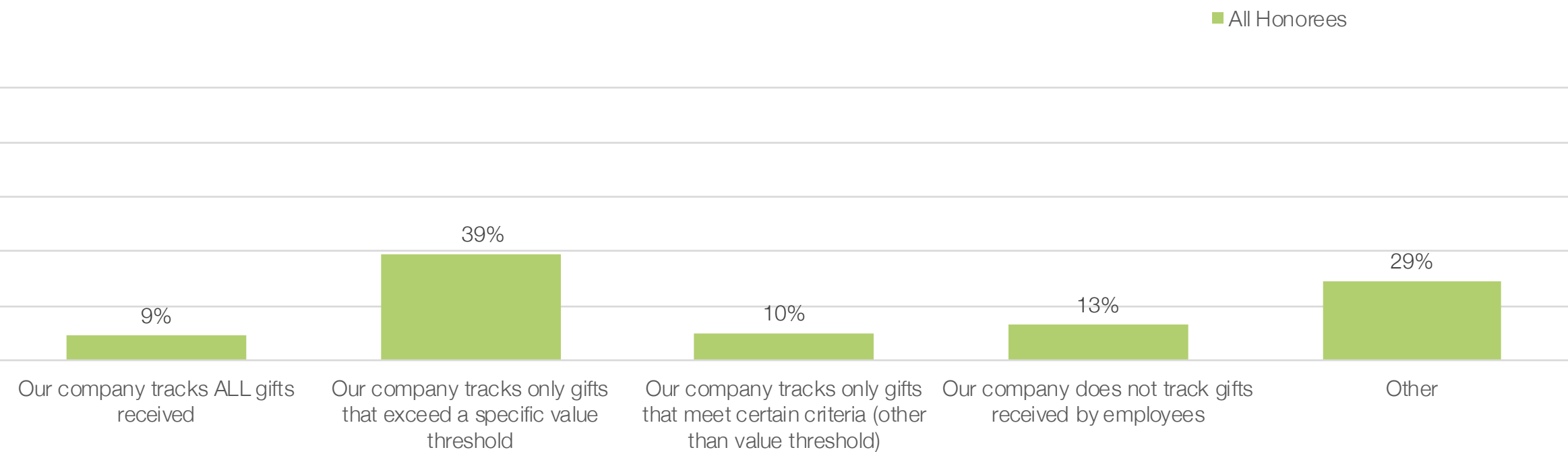
EQ 4E.14 - Which of the following features does your tool for tracking gifts and entertainment have? (Multiple select)





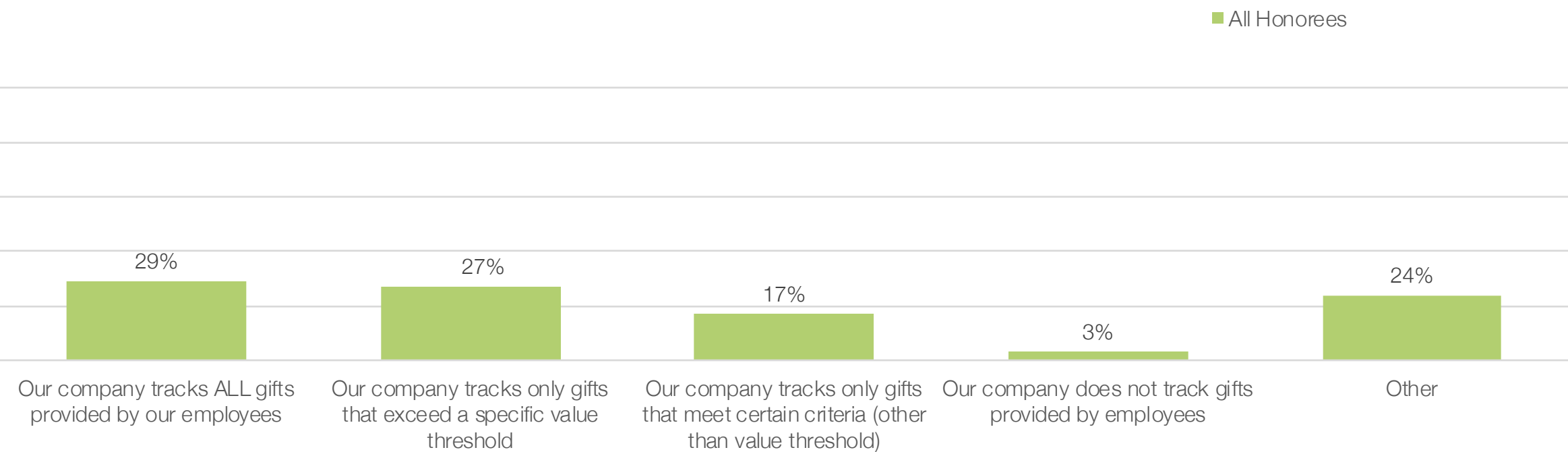
# Risk Assessment, Monitoring & Auditing

EQ 4E.15 - To what extent does your company track gifts received by your employees?



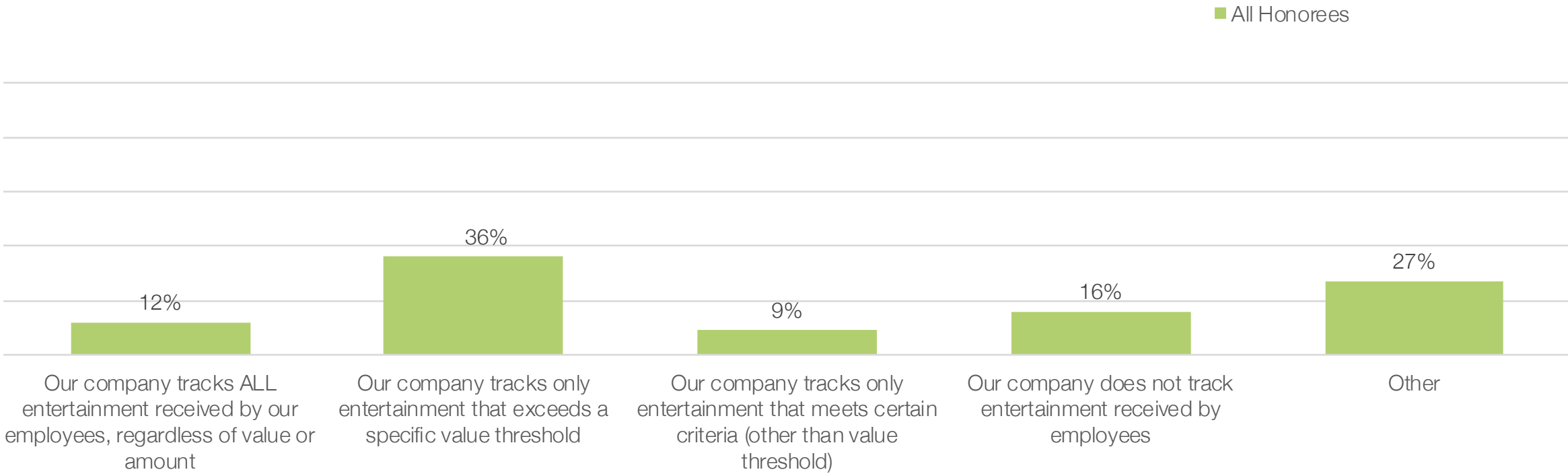
# Risk Assessment, Monitoring & Auditing

EQ 4E.16 - To what extent does your company track gifts provided by your employees?



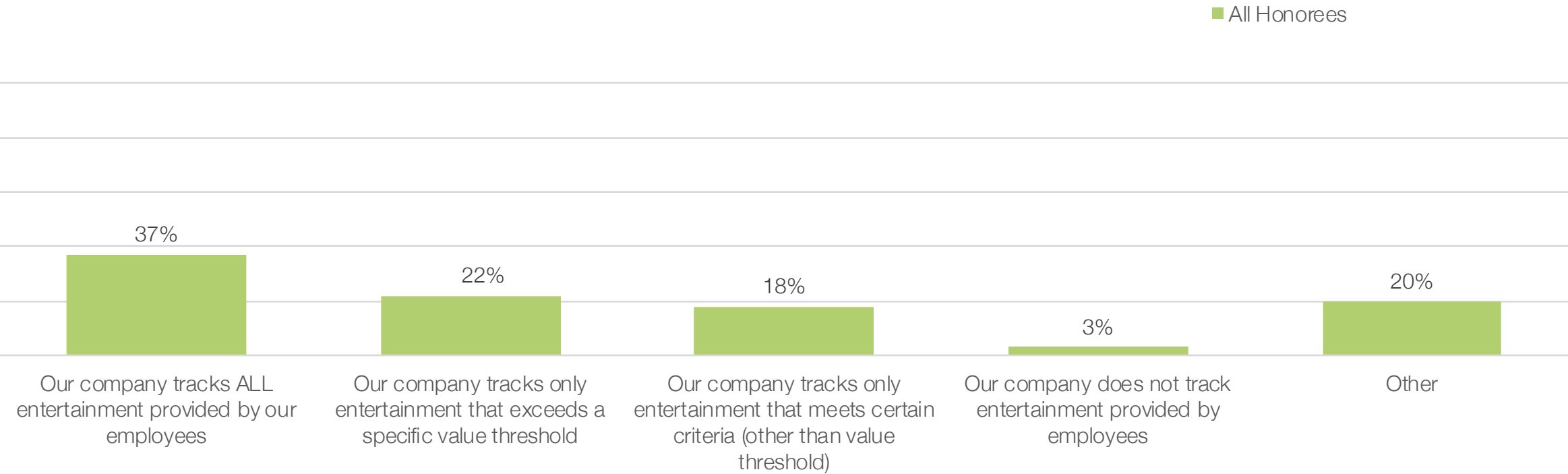
# Risk Assessment, Monitoring & Auditing

EQ 4E.17 - To what extent does your company track entertainment received by your employees?



# Risk Assessment, Monitoring & Auditing

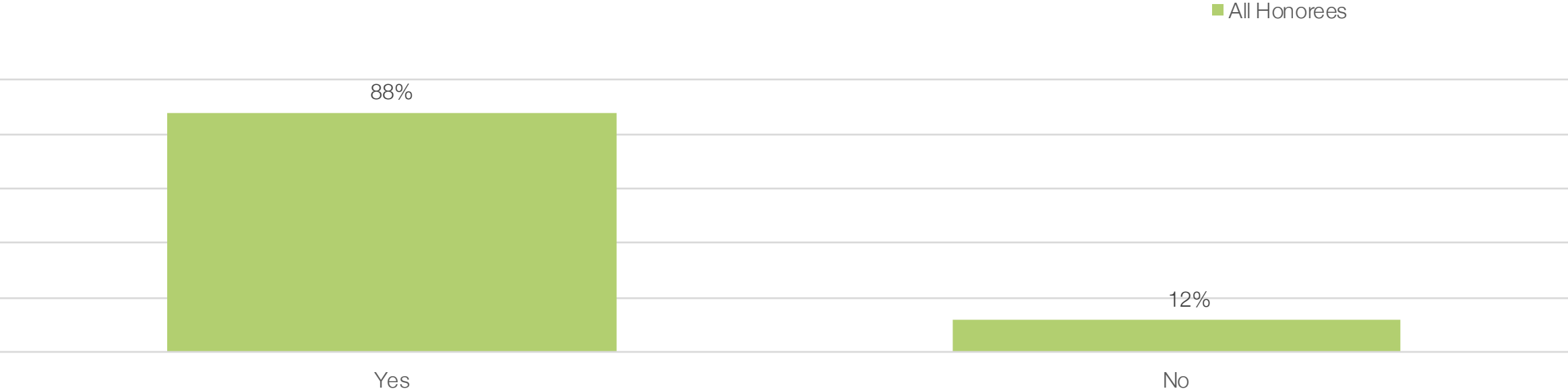
EQ 4E.18 - To what extent does your company track entertainment provided by your employees?





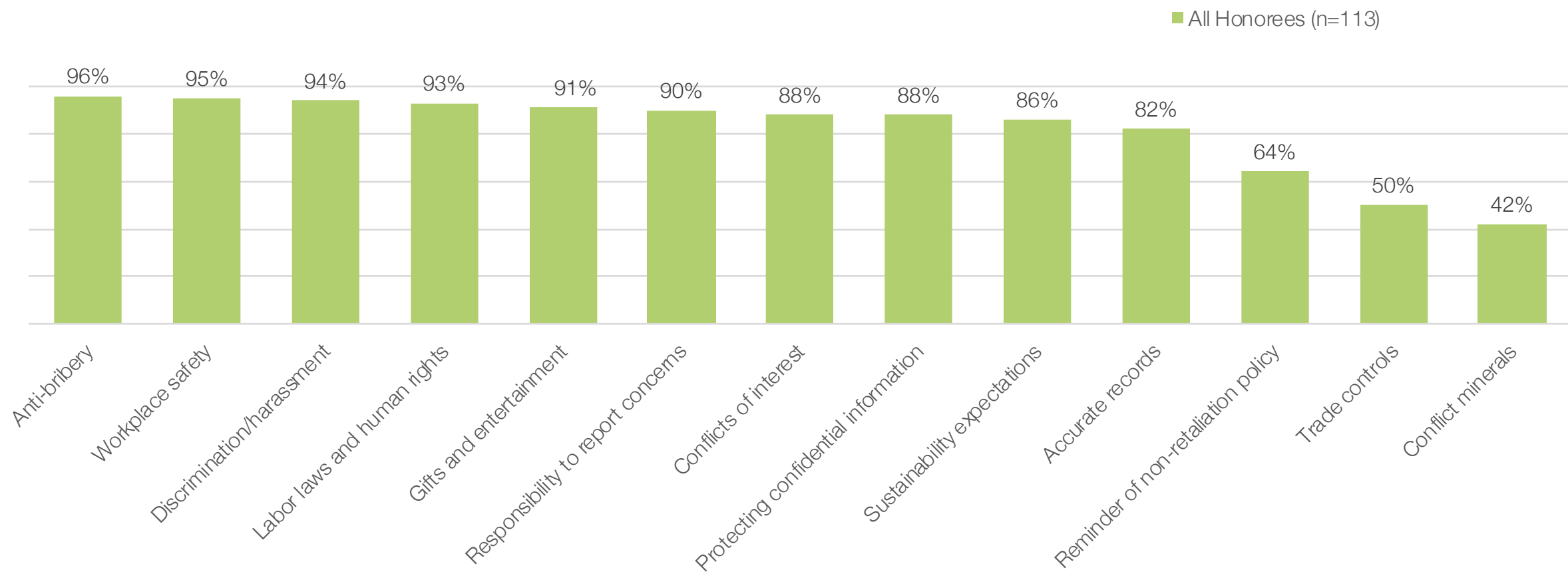
# Risk Assessment, Monitoring & Auditing

EQ 5.1 - Does your company maintain a third party code of conduct?



# Risk Assessment, Monitoring & Auditing

EQ 5.3 - You indicated that your company maintains a Third Party Code. Which of the following risk areas are included in the Third Party Code? (Multiple select)

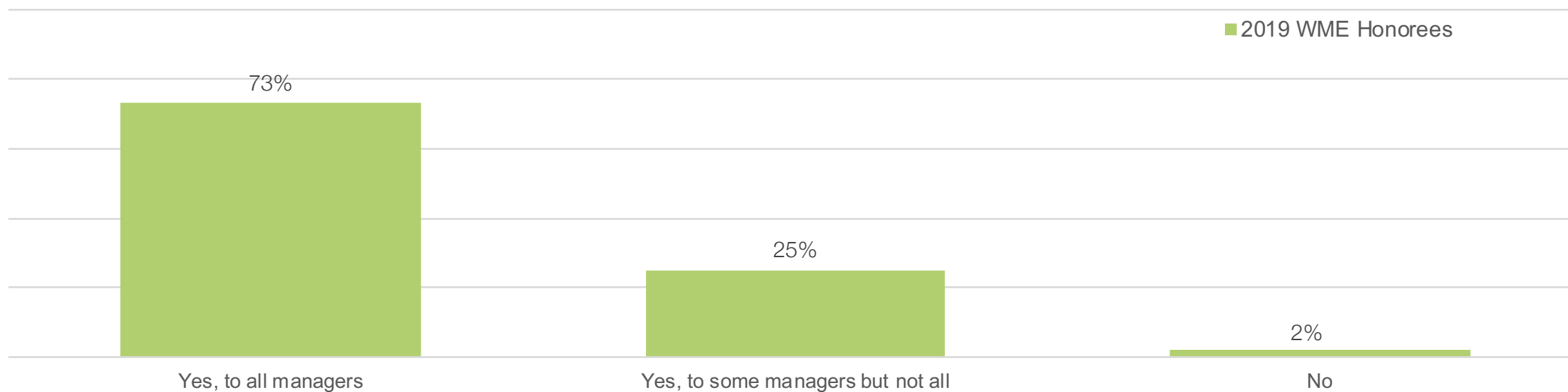




# **Training and Awareness:** ***Manager Training Practices***

# Training and Awareness: Manager Training Practices

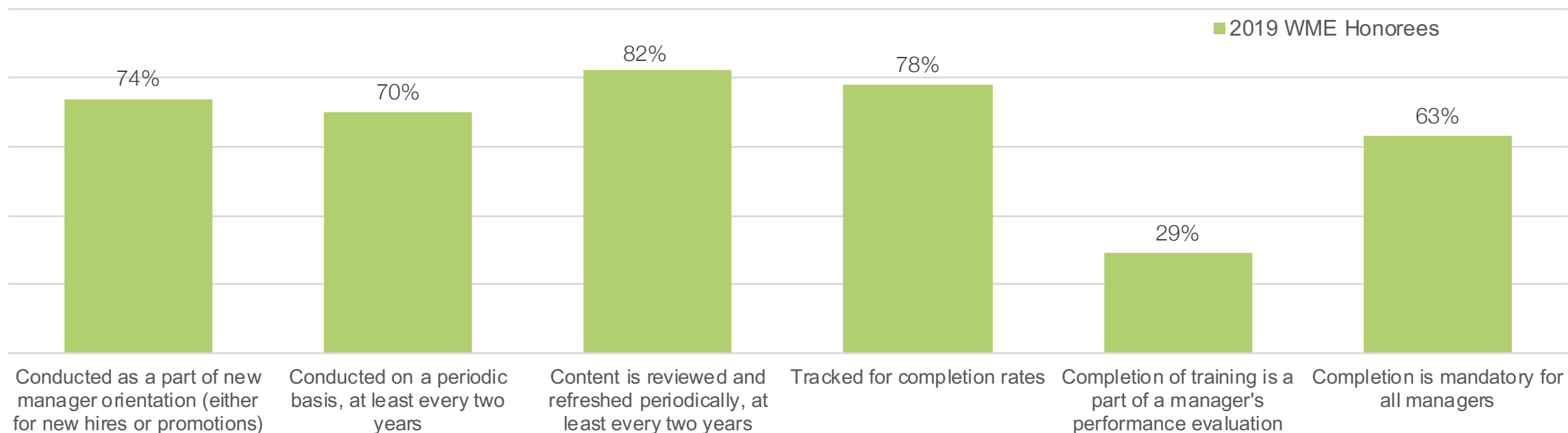
EQ D.10 - Does your company provide managers training on their special responsibilities with regards to encouraging and supporting compliant and ethical conduct?





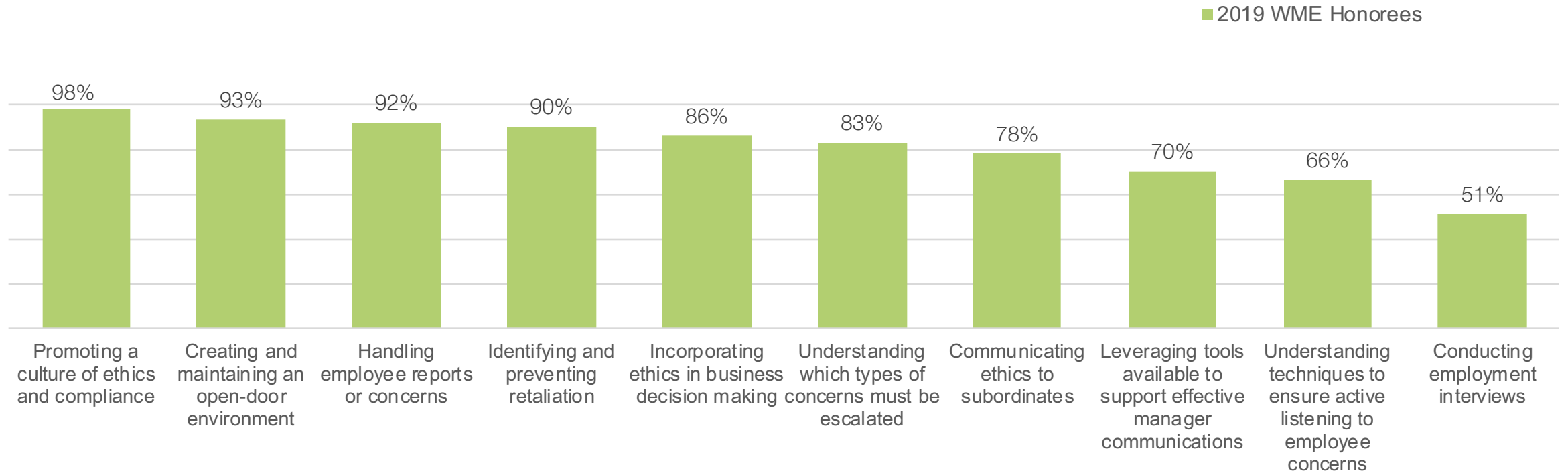
# Training and Awareness: Manager Training Practices

EQ D.11 - Select the following that applies to manager training on ethics and compliance. (Multiple select)



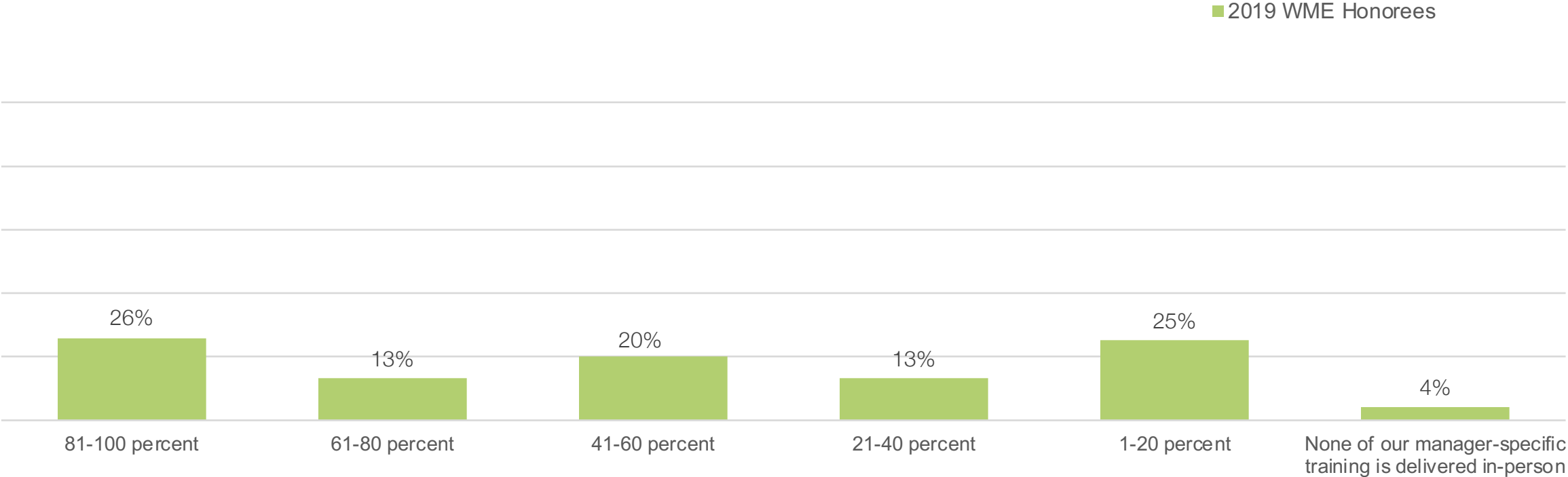
# Training and Awareness: Manager Training Practices

EQ D.12 - Select the following topics that are addressed by manager training. (Multiple select)



# Training and Awareness: Manager Training Practices

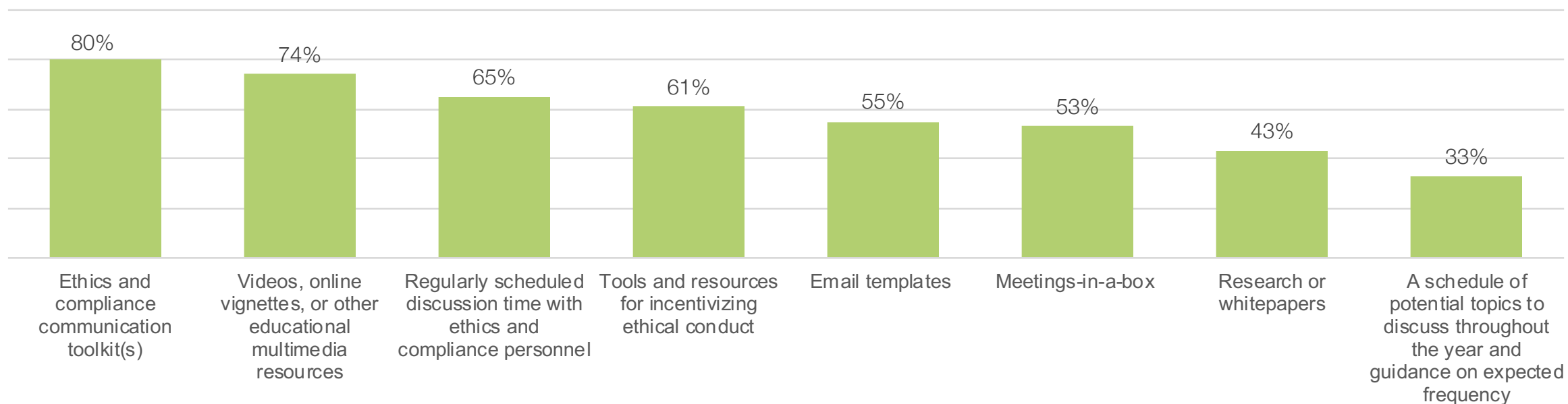
EQ D.13 - What percentage of your manager training is typically delivered in-person?



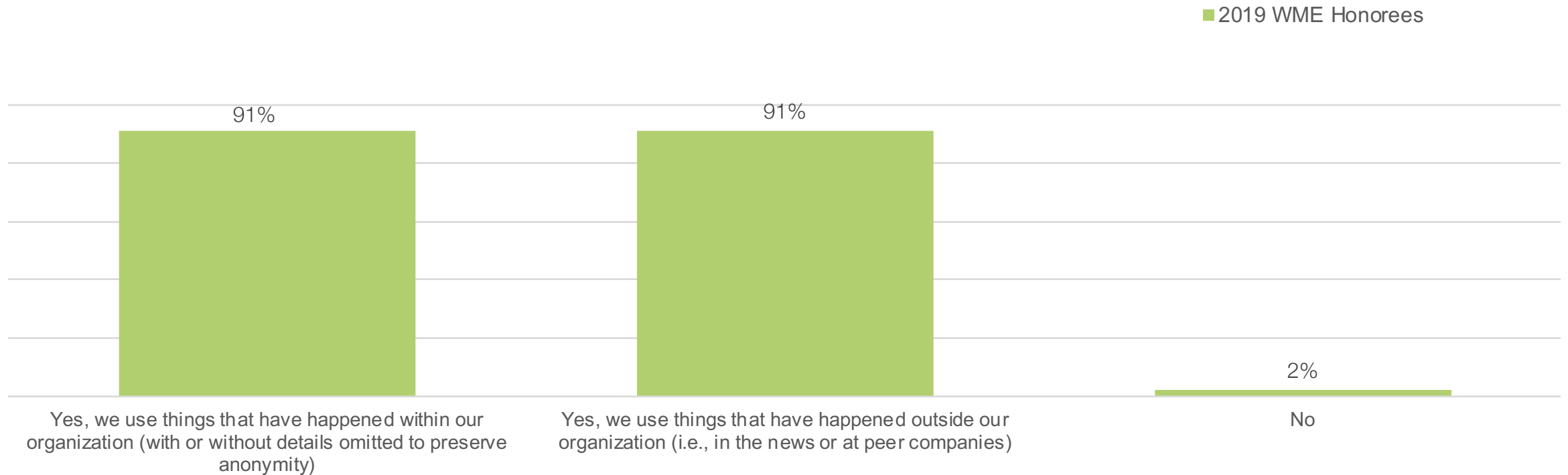
# Training and Awareness: Manager Training Practices

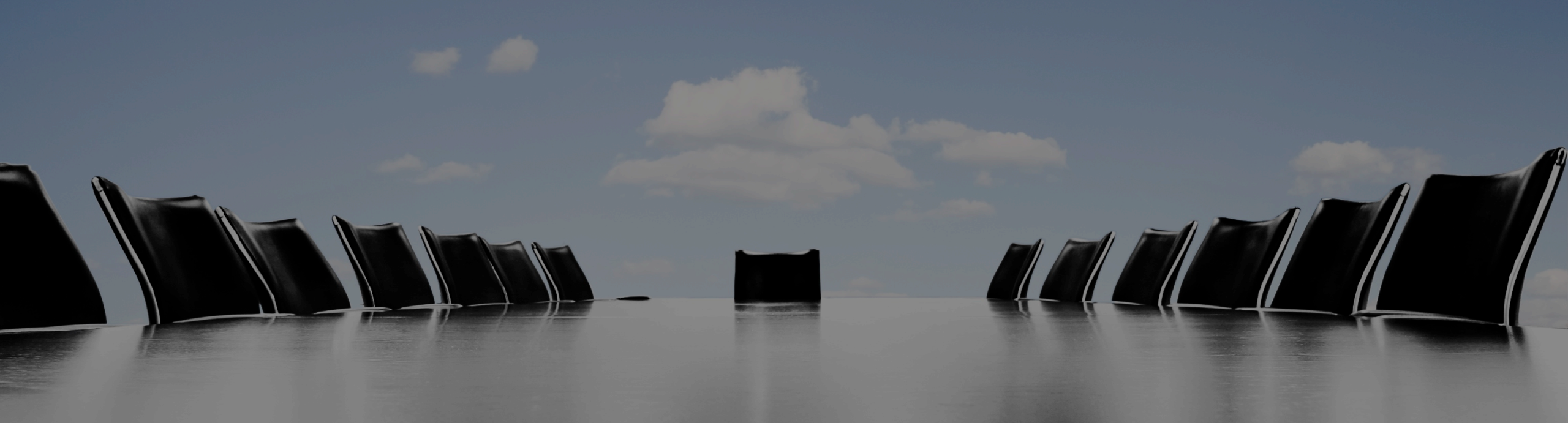
EQ D.19 - Select the following ethics and compliance communication resources, if any, that your company provides to managers/supervisors in order to help them promote ethics and compliance within the company.  
(Multiple select)

■ 2019 WME Honorees



EQ D.23 - Does the ethics and compliance function include examples of real world ethical or compliance dilemmas or issues in their communications?  
(Multiple select)





# Ways to Access the Data

# Ways to Access the EQ Data Set



For more information, contact Jonathan Whitacre at  
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**Thank you.**