



Wednesday, December 2nd, 2020

Roundtable Agenda

THANK YOU TO OUR PRESENTERS



12:00 PM – 12:05 PM	Welcome Comments: Randy Klatt , Vice President, Ethisphere Services
12:10 – 12:50 PM	TIAA's Speak-up Culture Journey – a discussion lead by Sue DiLandro , Senior Managing Director of Enterprise Employee Conduct & Risk and Chief Ethics Officer, Sherry Smith , Director & Lead Compliance Officer, Rachel Beverly , Senior Compliance Associate of the TIAA Ethics Program .
12:50 – 1:30 PM	Delivering an Engaging Ethics Week Program – after recently delivering a successful Ethics Awareness week, Kara Tucker , Lead Counsel, Director of Ethics & Compliance, Georgia Tech will lead a discussion around ideas and activities to increase engagement and awareness of the ethics & compliance program.
1:30 PM	Closing Remarks

Topic 1: TIAA's Speak Up Culture Journey



Discussion led by:

Sue DiLandro, Senior Managing Director of Enterprise Employee Conduct & Risk and Chief Ethics Officer

Sherry Smith, Director and Lead Compliance Officer of the TIAA Ethics Program

Rachel Beverly, Senior Compliance Associate of the TIAA Ethics Program

TIAA Speak Up Journey Discussion Agenda

- Challenges Identified
- Project Team
 - Cross-functional group
 - Shift in approach
- Launch Plan
 - Ethics Week 2019
 - Speaking Up at TIAA survey (November 2019)
- Maintaining Momentum
 - Communication plan 2020
 - Speaking Up at TIAA survey (July 2020)
 - Ethical Leadership for Managers
 - Ethics Week plans
- Live Demo

Notes and Suggested BELA Resources



Some background and a summary of the TIAA Speak-Up Initiative:

- TIAA ran a survey focused on gauging their speak-up culture in 2019 and some insight to come from that included some misconceptions around why the helpline exists and speaking up generally
- They used the findings to formulate a plan to address these misconceptions and started by shifting their approach to promote multiple avenues for speaking up, not just the helpline
- More manager resources were provided, the internal home page was introduced highlighting all of the speak-up resources available to employees, making it more accessible
- FAQs were created and catchy scenarios called “myth busters” to use stories to illustrate how to speak-up and what happens when someone speaks up

Eli Lilly’s Speak Up video

<https://bela.ethisphere.com/resource/speak-up-culture/>

GES Session: Preserving the Speak Up Culture Through Smarter Internal Investigations

<https://bela.ethisphere.com/resource/preserving-the-speak-up-culture-through-smarter-internal-investigations/>

GES Session: Fostering an Effective “Speak Up” Culture at the Company

<https://bela.ethisphere.com/resource/fostering-an-effective-speak-up-culture-at-the-company/>

Lincoln Financial’s Reporting Hotline video

<https://bela.ethisphere.com/resource/reporting-hotline-video/>

Enhancing Speaking Up : Demystifying the Process & Creating a Movement



Key Considerations:

- 2018 Culture Survey “Speak Up” metrics*:
- “reporting w/out retaliation”
 - “CI—better ways to do things”
- Ethics Helpline cases opened in 2018**:
- <1 case per 100 FTE; below most benchmarks
 - Anonymity rate: 60%+ (benchmark of “healthy” organization would be 60% or lower)



Purpose:

Educate & empower our workforce to comfortably & safely raise concerns, raise their hands & vocalize their work/life needs without fear.

Key Connections:

- Culture Movement Initiative (comm’s)
- Ethics Week (speaking, content)
- Manager LEAP “Speak Up” Training
- “Let’s Flex” Training & Resources
- Code of Business Conduct Enhancements



Consolidate resources & create easy-to-use tools

- “Speak Up” resource intranet site
- “Speak Up” At-a-Glance Tool
- Video series
- Dispel Myths & Replace Perceptions with Facts

Q2 2019



Change the Discussion & Increase Visibility

- Targeted Communication
- Capitalize on growing interest in transparency
- Dedicated time at enterprise Town Hall
- Leverage Ethics & LEAP Programs

Q2-Q4 2019



Sustain the Movement

- Regular Speak Up Manager Training
- Fresh content & tools on intranet site
- Leverage Ethics Week for special programming
- Reward & recognize

2020 →

Project Team



Human Resources

Marketing – Internal Communications

Internal Investigations

Ethics Program

Legal

Education

1

Intranet

3



Program Awareness

2

Ethics Week

4

From:

- Associates were pointed to the manager as the first point of contact for raising their concerns
- Guidance was for reporting potential misconduct and unethical behavior
- Additional support resources were recommended if associate is not comfortable reporting to a manager
- Ethics Helpline was final option if other options were not appropriate or if associate was not comfortable



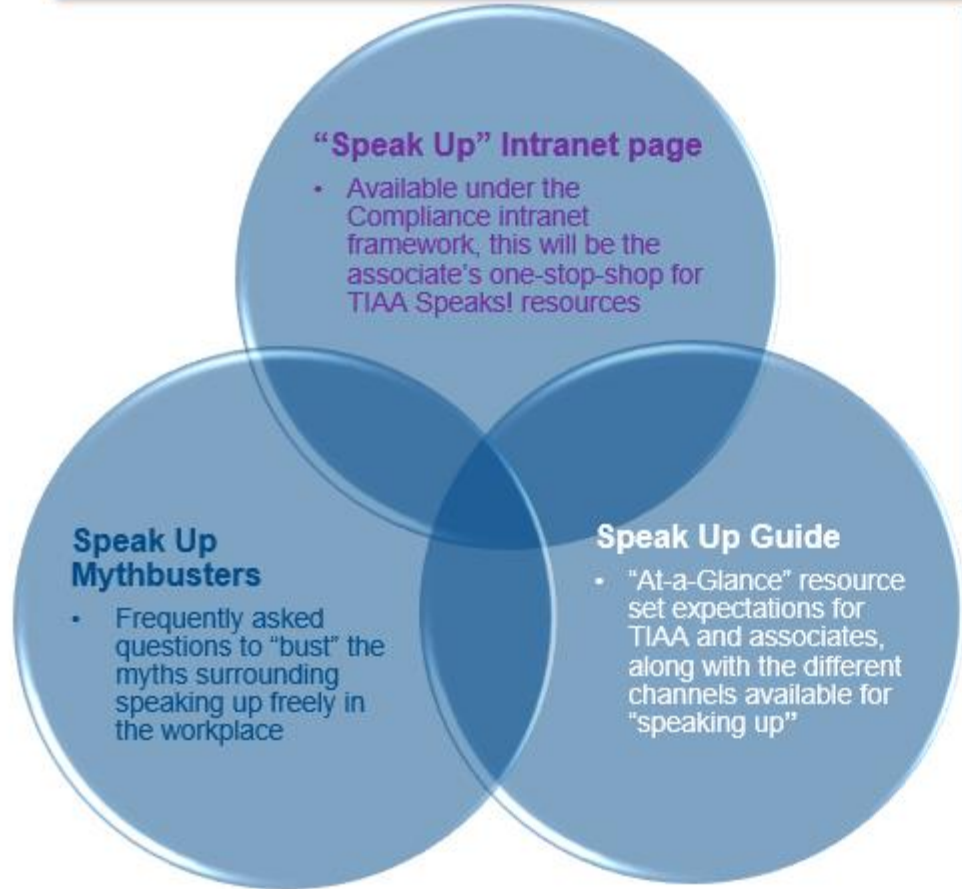
To:

- All options are available to associates
- Associates should use the Speak Up Resource with whom they are most comfortable
- Impediments to associates speaking up are being demystified
- As part of broader cultural initiatives, managers are provided resources to foster a supportive relationship with their direct reports
- Ethics Helpline remains the only option for anonymous reporting (where legally permitted)

Ethics Week Launch



Influence our culture by continuing to encourage associates to **raise concerns** about suspected misconduct, but also **empower** associate comfort in vocalizing **needs** to fulfill job responsibilities and suggestions for **improvement**.
 New associate resources are being created to promote awareness of the program and encourage associate engagement.



New Intranet Page with Key Resources

Speaking Up at TIAA

Associate should be comfortable raising anything they believe will make the workplace even better. “Speaking Up” is about raising concerns, available needs, improvements and ideas without fear. To remove barriers to speaking up, TIAA is working to identify and provide resources to associates to make the process easier. This information and links below provide additional guidance.

Quick links

- Get it!
- Ethics topics
- HR/OTC
- Investment performance
- Knowledge Exchange
- Resource website
- TIAA Speaks! special office
- Transaction sites
- Online Reporting

Speak Up about a range of topics:

Mythbusters Top 10 **Busting the speak up myths**

Every... about... back... there...
MYTH...
REALITY...
MYTH...
REALITY...
MYTH...
REALITY...
MYTH...
REALITY...

Speak Up at TIAA

“Speaking Up” is important on many different fronts. It’s about being comfortable raising concerns, work/life needs, improvements, ideas or anything else that you believe would make our workplace even better. TIAA is committed to removing barriers so that you are comfortable speaking up. **Learn more on the Speak Up intranet site.**

Speak Up about a range of topics:

- Client Investments**
Process Improvements
Business Ideas
- Work/Life needs**
Personal development
Career growth
- Concerns for potential misconduct**
Suspicion of fraud
Harassment or interpersonal conflict

Speak Up resources: Lots of ways to be heard

<p>Any manager</p> <p>Any TIAA business partner (or vendor contact)</p> <p>Employee Relations: 800-4-TIAA/800-828-7429 or 1-888-888-8888</p> <p>Internal Investigations: 202-616-3638 or 1-800-888-8888</p>	<p>Global Security Team: 800-888-0000 or security@tiaa.com or security@tiaa.com</p> <p>Global Counsel: for your organization</p> <p>Compliance</p> <p>Ethics Helpline: 877-776-6482 (toll-free) reporting@tiaa.com</p>	<p>Online reporting:</p> <p>Hotlines: 1-800-888-8888</p> <p>MySpeak: my.speak.tiaa.com</p> <p>TIAA Bank: my.speak.tiaabank.com</p> <p>All others including TIAA: 1-800-888-8888</p>
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- Any manager
- Human Resources Employee Relations
- Any Human Resources Business Partner
- Internal Investigations
- Global Security
- Any General Counsel
- Any Compliance Officer
- TIAA Ethics Helpline

**"COURAGE IS WHAT
IT TAKES TO
STAND UP AND
SPEAK; COURAGE
IS ALSO WHAT IT
TAKES TO SIT
DOWN AND
LISTEN."**

WINSTON CHURCHILL

TRAINING



- Introduced Speak Up initiative:
 - Suggesting improvements and sharing ideas
 - Discussing work/life needs
 - Reporting ethical concerns and/or potential misconduct
- Described manager role in fostering a Speak Up culture and as a Speak Up resource
- Provided best practices for managers to receive concerns
- Directed managers on which types of concerns/which topics require escalating to subject matter experts
- Reminded managers of the company's non-retaliation policy and how to spot potential retaliation

1. **Comfort Speaking Up:** I am comfortable speaking up about my work/life needs, continuous improvement suggestions and management feedback.
2. **Discussing Ethical Issues:** I am comfortable discussing ethical issues with my direct manager.
3. **Fear of Retaliation:** I am comfortable speaking up about potential misconduct and/or unethical issues without fear of retaliation.
4. **Leadership Ethical Behavior:** I believe senior leadership exhibits ethical leadership.
5. **Manager Ethical Behavior:** I believe my manager behaves ethically.
6. **Reporting Risks:** I am encouraged to report any risk that I perceive in the business.
7. **Risk in Decision Making:** Management in my business area appropriately considers risks, including compliance, in arriving at business decisions.

Communication plan:

- Ethics investigation series
- Relaunch of Ethics Helpline with new vendor
- TIAA Code of Business Conduct training module
- Speak Up survey 2020
- Ethical Leadership for Managers 2020
- Ethics Week activities



1. **Comfort Speaking Up:** I am comfortable speaking up about my work/life needs, continuous improvement suggestions and management feedback.
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7. **Risk in Decision Making:** Management in my business area appropriately considers risks, including compliance, in arriving at business decisions.
8. **Trust in Action:** I trust the company to take action when misconduct or unethical behavior is detected.

Expanded Speak Up to include Listen Up

- Refresher on Speak Up initiative, resources and escalation
- Introduced Listen Up
 - Actively encourage direct reports to speak up
 - Discern between those subtle actions that indicate an issue and those actions that do not
 - When things do not seem right, escalate to a subject matter expert
- Manager Speak Up/Listen Up toolkit
- How to maintain an open door in virtual environment
- Listen Up red flags
- Reinforcement of non-retaliation policy



- Communications available on intranet – Monday, Wednesday and Friday
- Crossword/word search – Tuesday and Thursday
- Speaker event – Thursday
- Knowledge hunt – contest Monday through Friday with Rewards points
 - 10 survey questions related to conflicts of interest, policies and the Code
 - 1st entry with 100% correct responses
 - 20 randomly selected from balance of 100% correct responses



Live Demo – TIAA Intranet



TIAA Intranet x +

Not secure | intranet.ops.tiaa-cref.org/Pages/default.aspx


Apps TIAA Intranet ARCP Status Reports Convercent prod Policies Portal Hom... Jhana for Managers Converge Commun... BNY DDQ Dashboa... Navex Legacy

TIAA | Intranet World Clock Sunday, September 20, 2020
Charlotte, North Carolina

ABOUT US COMPANY AREAS HR SERVICES JOB RESOURCES IT, FACILITIES & SECURITY HELP

i Monitoring Atlantic Ocean storms x

Good afternoon, Jerri



Three TIAA Clients named Plan Sponsor of the Year

Resources for Working Parents and Caregivers [LEARN MORE](#)

Resources for Working Effectively in Today's Environment [LEARN MORE](#)

How are you feeling today?

Click your mood for today and view results.

Excellent Good Ok Bad Terrible

My news Opt-in *⚙*

MGRS [ManagerLEAP September 2020](#)

MGRS [People leader guide on](#)

Visit Coronavirus Central

Your source for updates and resources

Notes and Suggested BELA Resources



Impact of the Speak-up Initiative and Looking forward

- The speak-up survey was re-run in July 2020 and marked improvement was shown across all areas
- 2020 and beyond – the initiative continues, with more speak-up pieces incorporated into the communications plan as well as transitioning into “listen up” mode in the current more virtual environment

Preserving the Speak Up Culture Through Smarter Internal Investigations

<https://bela.ethisphere.com/resource/preserving-the-speak-up-culture-through-smarter-internal-investigations/>

Fostering an Effective Speak Up Culture at the Company

<https://bela.ethisphere.com/resource/fostering-an-effective-speak-up-culture-at-the-company/>

Use of Hotline Metrics & Reporting Access

<https://bela.ethisphere.com/resource/hotline-metrics-2020/>

Increasing Employee Confidence in Internal Investigations

<https://bela.ethisphere.com/resource/increasing-employee-confidence-in-internal-investigations/>

Walmart’s Immediate Reporting Badge

<https://bela.ethisphere.com/resource/immediate-reporting-badge/>

GES Session: Beyond the Hotline: A Culture of More Disclosure and Transparency

<https://bela.ethisphere.com/resource/beyond-the-hotline-a-culture-of-more-disclosure-and-transparency/>

December 2, 2020

Delivering Engaging Ethics Programming

Kara Tucker

Lead Counsel, Director of Ethics & Compliance

Office of the General Counsel

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ETHICS
FIRST

The Ingredients

ETHICS FIRST



Leverage existing initiatives and interests.

Consider ease and convenience of participation for audience.

Are *you* excited to participate?

Create commercials to play at the beginning of events!



Leadership Endorsement



Leveraging social media can promote your organization, you as a professional, the involved leader, and your events! It's never a bad look to be an ethical champion. Make it super easy for leaders to be!

Focus on fun.



https://www.youtube.com/watch?v=VjkZbxPGDsw&feature=emb_logo

Engaging Events

Market ethics in places your audience already looks – email signatures, screensavers, conference rooms, Zoom backgrounds.

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Marketing



Think co-branding and incentives for participation.



ETHICS WEEK

PARTICIPATE FOR ETHICSFIRST GIVEAWAYS

ETHICSFIRST.GATECH.EDU/ETHICSWEEK

MON

TUE

WED

THU

FRI

Test Your Ethics IQ Daily Quiz Questions



Ethics Tables at Tech Square, Harrison Square, and GTRI from 11:00 - 1:00

10 Minutes of Growth - Diversity Stories and Ethical Action

Reporting Concerns -
Understanding Internal
Investigations
10:30 - 11:30



An Interview with Steven Bay,
Edward Snowden's Former
Supervisor
1:00 - 2:00



Dirty Data - When Good Data
Goes Bad
3:00 - 4:00

"The Ethics Space" Virtual
Office Hours
2:00 - 3:00

Safe Space Training
12:30 - 4:30



Culture Shock - Transitioning
from Military Service to the
Corporate World
1:00 - 2:00

Fostering Global Engagement
through Transparency
2:00 - 3:30



"The Ethics Space" Virtual
Office Hours
3:30 - 4:30

USG Ethics & Compliance
Best Practices in Higher
Education
10:00 - 11:00

Georgia Tech – Ethics Week – Ethics First

1. What is “Ethics Week” and what’s the point?
 - USG Ethics Week
 - Ethics Week, Ethics campaign, new office push, annual communication plan, etc.
 - “As former NBA Commissioner David Stern told me, it’s like a television advertisement — you can’t run it once and expect to get your point across. Repetition matters.”
 - The case for ethics: culture is a form of capital, morale, embedded decision making, purpose driven organization
 2. The 4 Ingredients
 - Leadership buy-in and endorsement
 - Make it fun for leaders – spoon feed the hard stuff like email drafting
 - Leverage their social media activity. Ethics is a good look.
 - Influencing them and they’re influencing others
 - Leadership bags, lapel pins, notepads, swag they’ll use
 - Engaging events NOT boring and NOT training
 - Find overlapping engagement goals with other areas
 - Leverage already existing initiatives
 - Tie to already popular organizational measures – new gym? New product for consumers? Tie in ethics!
 - Targeted topics for specific audiences
 - Ethics in data analytics, machine learning
 - Use local experts and academics!
 - Veterans, serving disadvantaged communities
 - MOSTLY, fun. “Ethletics” tiktok, iphone contest, incentives!
 - Commercials at the start of events!
 - Use it to gather content (photos, videos, etc.)
 - Marketing
 - In people’s faces (the right space) and convenient
 - Canva
 - Branding!
 - Interactive campus map
 - Email signatures
 - Email lists
 - Sidewalk chalk
 - QR codes
 - Videos
 - Daily articles
 - Who has weight and attention?
 - Survey/Feedback
 - Sharing-
 - What works for you?
 - What are free resources?
- <https://www.canva.com/>
 - <https://venngage.com/>
 - <https://prezi.com/>
 - <https://www.mentimeter.com/>
 - **Ethics First YouTube Video:**
<https://www.youtube.com/watch?v=VjkZbxPGDsw>



Wednesday, December 2nd, 2020

Participant List

THANK YOU TO
OUR PRESENTERS



First Name	Last Name	Company	Title
Julie	Song	Advance Auto Parts, Inc.	Vice President, Associate General Counsel & Chief Compliance Officer
Claire	Lawrence	AFL	Senior Corporate Paralegal
Nathan	Prater	Ahold Delhaize	Vice President of Global Compliance & Ethics
Seth	Bryan	Brighthouse Financial	Compliance & Ethics Lead
Josh	Powell	Brighthouse Financial	SIU Investigator
Samantha	Kelen	Cardinal Innovations Healthcare	Chief Ethics and Compliance Officer
Brian	O'Reilly	Dentsply Sirona	Corporate Vice President & Chief Compliance Officer
Allen	Stewart	Duke Energy Corporation	Director Ethics
Megan	Miller	Electrolux	Assistant General Counsel
Colleen	Evans	General Electric Company	Compliance Operations Manager
Kara	Tucker	Georgia Institute of Technology	Lead Counsel, Director of Ethics & Compliance
Tejash	Shah	GLENMARK PHARMACEUTICALS	VP - Compliance
Jillian	Charles	Honeywell International Inc.	Chief Counsel Antitrust & Anti-corruption
Tracy	Strong	LabCorp	Vice President, International Compliance Officer & Chief Privacy Officer
Emily	Anderson	Lenovo Group Ltd	Ethics & Compliance Counsel
Jonathan	Dunn	Lowe's Companies, Inc.	Senior Counsel, Associate Chief Compliance Officer
Maurie	Lawrence	Milliken & Company	Sr. Counsel, Ethics and Compliance Mgr.
Stephany A	Shayeghi	Novant Health	Conflict of Interest Program Manager
Jennifer	Mallare	Research Triangle Institute	Assistant Corporate Compliance Officer
Mary Elizabeth	Reiss	Research Triangle Institute	VP, Compliance and Ethics Officer
David	Fountain	TENNESSEE VALLEY AUTHORITY	SVP & Vice General Counsel
Sue	DiLandro	TIAA	SMD, Enterprise Employee Conduct Risk and Compliance
Rachel	Beverly	TIAA	Sr. Compliance Associate
Sherry	Smith	TIAA	Director & Lead Compliance Officer of Ethics Program
Craig	Donaldson	Volvo Car Corporation	Head of Compliance & Ethics Americas
Charles	Schwager	Waste Management Inc.	Vice President and Chief Compliance and Ethics Officer
Amber	Hall	Wells Fargo & Company	SVP, Head of Ethics Office
Andy	McDill	Wells Fargo & Company	Ethics Communications

Thank you!

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**BUSINESS ETHICS
LEADERSHIP
ALLIANCE™**
An Ethisphere Community