11 YEARS
2009-2019

KEY TRENDS & HIGHLIGHTS

Global Ethics SUMMIT®

MARCH 13-14, 2019 | GRAND HYATT, NEW YORK

PROUDLY PRESENTED BY **ETHISPHERE®**
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Our Growth and Your Goodwill

With our flagship event now more than a decade in age, the Global Ethics Summit has been able to assemble an unparalleled set of leaders and connect diverse companies and industries through a common value of improving business integrity around the world. Yet we find ourselves continually asking the evergreen question: "How many people do we have?" The Pavlovian response is always the same. That tug of anxiety. For any business the conversation around numbers requires some nerves.

Everyone wants to see positive growth. The trick is to do so without spoiling, or diluting, the value to so many stakeholders–all sophisticated and respected people that are essential for elevating standards and sustaining the strong binds of the community. With the consistent commitments from our faculty, our BELA community, our partners, and all influencers engaging in the dialogue, 2019 again represented how important this Summit is to the business world as it reached more people and held true to the mission of enabling change through a connected purpose.

It was a record assembly, but more importantly, it was one that validated and amplified the great work that companies are doing. We at Ethisphere never take that for granted, and we will continue to pursue needed change to our own work to align with the evolving needs of your executives and teams.

The Business Ethics Leadership Alliance, now at over 270 enterprise members in multiple markets, is a reflection of the growing need to examine better practices and share forward-thinking perspectives together. The multi-dimensional assessment work that we now do to support E&C program areas such as culture, anti-corruption, and cybersecurity can shine a light on pivotal areas to improve. The data insights sought by hundreds of companies are enabling a newfound level actionable intelligence.

We are proud to be a part of your journey. This recap tells only part of the story, but one that we are always excited to share as it is emblematic of the purpose-driven work each of you do. Thanks for all the ways you and your organizations are demonstrating how business can be a true force of welcome change throughout the world.

Respectfully,

Kevin

Kevin McCormack
Vice President and Executive Director, BELA

Convening Leaders

289 Organizations

60 Industries

581 Participants

20.65% C-suite Execs

27.36% C-suite and VP Execs

45.43% C-suite, VP, and Director-level Execs

As a multinational company with a global reach, we understand the value of operating an ethical company. The Global Ethics Summit provides a window into the minds of great compliance professionals from around the world, and I am honored to be a part of this expert faculty.

Inderpreet Sawhney
Group General Counsel and Chief Compliance Officer, Infosys, a Founding Member company of the Business Ethics Leadership Alliance South Asia Chapter

Key Trends and Highlights

In the spirit of companies collaborating together, you will find:
- Session recordings and select topical features
- One-on-one conversations with leaders sharing their insights
- Demographics and imagery reflecting the community coming together

Cultural Transformation: The Case for Greater Trust, Transparency, and Organizational Character

TOPICS

- #MeToo and harassment
- Organizational justice
- Culture perceptions and change
- Investigations
- Ethics

Organizational Justice: Executive Examination on Fairness Now, Future Expectations, and Being a Change Agent within the Company

MODERATOR

Erica Salmon Byrne
Executive Vice President, Governance and Compliance, **Ethisphere**

PANEL

Richard Buchband
Senior Vice President, Chief Legal Officer, **ManpowerGroup**

Joseph Moan
Chief Ethics and Compliance Officer and Associate General Counsel, **The Coca-Cola Company**

Patrick Rowe
Deputy General Counsel, **Accenture**

Inderpreet Sawhney
Group General Counsel & Chief Compliance Officer, **Infosys**

Cultural Transformation: The Case for Greater Trust, Transparency, and Organizational Character

Albert Einstein once said that the world cannot be changed without changing our thinking. It is an interesting concept in today's context, as change, or transformation, occurs around us every day, particularly in the global business ecosystem. While Einstein was right, it might be necessary to alter his pronouncement to suit the current environment. Perhaps something like; we better change our thinking fast because the world is transforming whether we like it or not, and it can impact everything from a company's customer base, its investors and its workforce.

As generations evolve, the issues of today, coupled with instant and universal access to information, place extreme pressure on business leaders to transform at breakneck speed. The demand for greater transparency, displays of organizational character, and overall trust is palpable. So much so, chief executive officers from leading multinational companies dedicated an entire keynote panel to these demands at the 2019 Global Ethics Summit in March.

"We try to be transparent, being very clear about what we believe is right and what is wrong. We keep employees informed about things going on around the world that affect our business. We try to explain our position, and communicate that in a clear and specific way. Sometimes it's good news, sometimes it's bad, but people want to know," said **Jonas Prising**, CEO of ManpowerGroup.

Tamara Lundgren, CEO of Schnitzer Steel, agrees. She says that it is important for companies to stake out values-related positions, because rising expectations are aligned with a growing desire for transparency. "Employees are picking employers that are aligned with them on impact, or personal values. People didn't used to talk about values. That said, today, values and purpose resonate very differently than compliance, or conduct," she said.

Overall cultural perceptions of change are values-based concepts. As such, business leaders are compelled to address them and offer solutions, even if doing so means touching upon subjects that have not traditionally been considered acceptable in an office setting, or at the very least, tolerable.

"Organizations need to get a little out of our comfort zone. There needs to be a genuine receptivity to conversations and complaints about this [harassment] and other issues. This will encourage employees to step forward," said **Elizabeth Owens Bille**, Senior Director of Harassment Prevention, EVERFI, during a separate panel discussion focusing on the #MeToo movement. She added that accountability is critical, and "sticking to your guns" to follow through with disciplinary actions illustrates transparency in the face of controversy, which is the best course of action.

In another plenary session, the subject of organizational justice, or basic fairness in the workplace, was discussed with input from a diverse set of experts, including **Inderpreet Sawhney**, Group General Counsel and Chief Compliance Officer Infosys, a Founding Member of the Business Ethics Leadership Alliance South Asia Chapter. Sawhney noted that integral parts of organizational justice include perception, communication, and reacting to change.

"Our business model is changing," she said. "When the industry first started and Indian heritage companies entered Western markets, lots of our employees moved out on visas. Now, the workforce is more diverse. Now, we have to make sure that Indian policies match with local laws. We have to adapt to what makes cultural sense in a country, which may be way beyond what the law requires." Sawhney also noted that organizational justice and compliance is not a function of the legal department but should involve all areas of the company, and that conversations that employees have with their managers are by far the most effective ways to push organizational justice.

Through the use of technology, some companies have turned to artificial intelligence to help build their ethical culture. Last year, Accenture revamped its Code of Conduct and rolled out a chatbot called COBE, to help employees become better leaders. "We thought about our workforce and how millennials want and receive information. Part of the idea of the chatbot is no one is reading PDFs or emails anymore, so that was the idea behind the chatbot," said **Patrick Rowe**, Deputy General Counsel, Accenture. "To pick up on the how and what -- for example, we have aggressive goals towards gender

"

Employees are picking employers that are aligned with them on impact, or personal values. People didn't used to talk about values. That said, today, values and purpose resonate very differently than compliance, or conduct.

Tamara Lundgren
Chief Executive Officer, Schnitzer Steel

The #MeToo Mandate: Redefining Respect and Trust in the Workplace Culture

MODERATOR

Carrie Cohen
Partner, **Morrison & Foerster**

PANEL

Elizabeth Owens Bille
Senior Director of Harassment Prevention, **EVERFI**, and Former General Counsel at the **Society for Human Resource Management (SHRM)**

Kathryn Ditmars
General Counsel, Americas, **JLL**

Diana Sands
Senior Vice President, Office of Internal Governance and Administration, **The Boeing Company**

parity and we rolled out training on the Accenture view of the gold standard," said Rowe. "While we received some positive and negative feedback, we still continued to roll out more trainings and we had two real life investigators talk through our investigation process and what a person can expect and how Accenture treats an investigation and what are some principles we apply. We did this through a video conversation and rolled it out to our employees."

As ethics and compliance programs mature, they will need additional resources to hone their business improvement capabilities. To successfully gain, maintain, and increase support from their boards of directors, it is necessary to institute regular reporting, a task well suited for partnering with the marketing and communications department.

According to a study launched at the Summit by Ethisphere and EthicOne, which establishes a benchmark of best practices for the marketing and communications functions against the 2018 World's Most Ethical Companies dataset, about 88 percent of companies have managers speaking about ethics rather than only leadership. "We built trust into our strategy, one of our strategic pillars (we have four pillars) is to be one of the most trusted choice," said **U.S. Bank** during a session addressing how communications and marketing can fuel the ethics agenda. "What this means is that everybody's behaviors and strategic activities are tied back to those four pillars and it is codified into our corporate strategy."

At a time when the public has increasingly put their trust in the actions and voices of companies, culture has emerged as one of the most pivotal drivers of everything that can go right for a business. Whether on the board, C-suite, or upper management, company leaders have taken on a larger role in preserving and influencing the values that are essential to developing a culture that can improve business performance. In the plenary session "Influencing Change in Culture and Perceptions to Reinvent the Enterprise -- The Executive View," leaders from LRN, Odebrecht, Baker McKenzie, and GE Power agreed that "culture is king," and it is tested when employees are able to zero in on an issue before it spirals out of control.

"Transparency and an ongoing dialogue is what's really important sometimes its not so much what you say but the fact that you have these personal touch points and this is important when building trust," said **Gloria Santona**, Of Counsel, Baker McKenzie and Former EVP, General Counsel and Secretary, McDonald's Corporation.

At Odebrecht, for example, **Olga De Mello Pontes**, Chief Compliance Officer, mentioned that in order for transformation to happen, a company must recognize that it needs to change. "We didn't have a family company, we didn't have formal authority in place, and we did not have Board of Directors who were accountable in the past, so we transformed and created a Board of Directors that the Chief Compliance Officer reports to and ultimately, we started to build formal authority and then we changed leadership to help us build the trust we need in society."

According to Ethisphere's data, companies that embrace diversity of thought, people, and cultures; operate with simple clear policies based on values and trust; respect and enhance the communities in which they operate; and promote transparency will achieve better financial performance–and the data once again supports this theory (see page 14 for more information).

As business leaders are increasingly asked to lead by taking stands on societal issues that make the world a better place, perhaps Einstein was right. If the lessons at the 2019 Global Ethics Summit taught us anything, we all need to consider how we will continuously change the way we think–because transformation isn't slowing down anytime soon. In fact, the foot is on the accelerator.

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Ethics & Compliance Program Maturity Index

Measure your program against an unparalleled data set of the best practices of leading companies around the world.

REQUEST A DEMO

BENCHMARK AGAINST THE BEST

Learn how individual program elements compare to data from global companies and get question-by-question insights.

FOCUS ON FACTS

Address top program elements with expert-curated questions that align to actual program maturity and practices, and focus on key elements defined by experts and guidelines.

IMPROVE IMMEDIATELY

Gain tailored feedback and recommendations supported by real-life examples, data-based observations, research, and articles.

The Program Maturity Index can be used in a number of ways:

› Benchmark practices at headquarters, across groups, or with third parties

› Monitor ethics and compliance programs in an efficient way between full program assessments

› Assess business units, acquisition targets, third parties, and partners

› Test key program elements in high-risk areas or to check effectiveness

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We didn't have a family company, we didn't have formal authority in place and we did not have Board of Directors who were accountable in the past so transformed and created a Board of Directors that the Chief Compliance Officer reports to and ultimately, we started to build formal authority and then we changed leadership to help us build the trust we need in society.

Olga De Mello Pontes
Chief Compliance Officer, Odebrecht

The Ethics Premium: Performance Founded in Purpose

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FIVE-YEAR ETHICS PREMIUM: 14.4%

Performance of the listed 2019 Honorees as compared to the Large Cap Index

● **2019 ETHX**
● **LARGE CAP INDEX**

February 2014

February 2019

⬇ **DOWNLOAD THIS IMAGE**
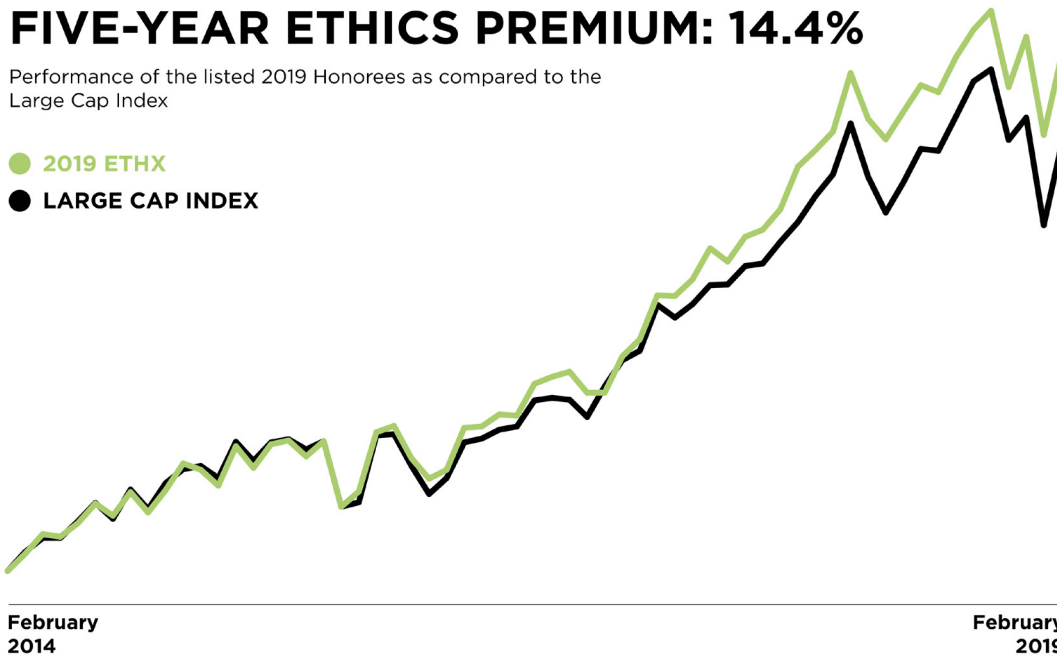
In tracking how the stock prices of publicly traded honorees compare to the U.S. Large Cap Index, we found that listed World's Most Ethical Companies outperformed the large cap sector over five years by 14.4 percent and over three years by 10.5 percent.

Read more about the Financial Premium of Ethical Leadership.

Transparent Cultures Require Support and Infrastructure

A company's ability to measure, manage, and subsequently communicate investigation metrics requires an appropriate level of internal coordination and technological infrast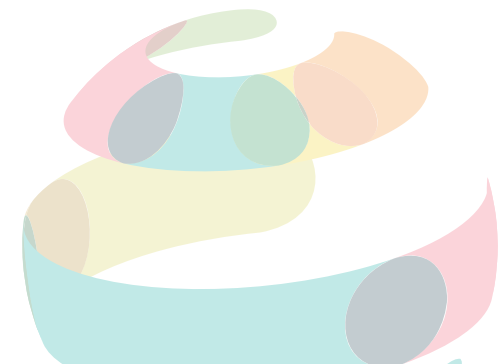ructure. The majority (84 percent) of honorees in 2019 use a tracking tool or case management system that tracks all reports and related investigations, regardless of how the report was originally made. Such a system would, for example, provide the ability to track reports made to a manager outside of a formal hotline system. Given that an employee's immediate manager is the most commonly used resource for not only asking questions but also reporting observed instances of misconduct, supporting middle management with tools to ease the report intake process is foundational to understanding where potential issues may lie and subsequently communicating reporting trends broadly.

Does your company have a system or tool to manage reports and subsequent investigations?

We use a tracking tool or case management system that tracks reports and related investigations regardless of how the report was originally made — **84%**

We use a tracking tool or case management system with the ability to log and track reports and related investigations, but only for reports made or originated through the misconduct reporting system — **9%**

Other — **7%**

No, our company does not have such a system or tool in place — **1%**
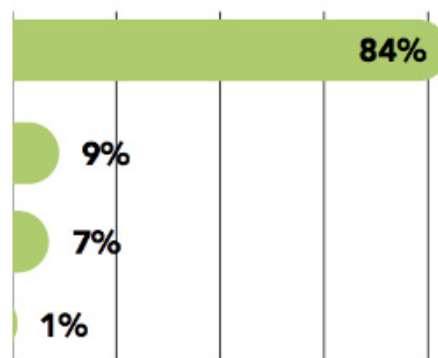
When assessing reporting metrics, a common question is whether a change in the proportion of anonymous reports is a positive or negative development. While every 2019 honoree reports using a misconduct reporting system that allows employees to remain anonymous where allowed by law, there is little consistency with respect to the volume of reports received that remain anonymous. Interestingly, the proportion of reports received that come in anonymously does not clearly correlate with whether companies disclose investigations data publicly.

Data Series: Programs and Practices of Leading Companies

ETHISPHERE

Leading Practices and Trends from the 2019 World's Most Ethical Companies®

An Ethisphere Insight Report Series
Volume 1: Focus on Reporting Transparency, Governance, and Written Standards
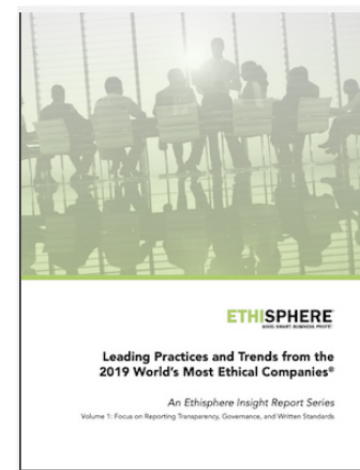
DOWNLOAD VOLUMES 1,2 & 3

Ethical Culture and Perceptions Assessment

65% of the World's Most Ethical Companies® use standalone ethical culture surveys.

Evaluate Your Company's Ethical Culture

Gain in-depth data that establishes a baseline and pinpoints areas of strength and opportunities for improvement.

Valuable for Employees

- Guaranteed anonymity
- Short survey – takes 5 to 7 minutes using their choice of device
- Ability to inform change by speaking up and citing their experience

Benefits for Ethics & Compliance Leaders

- Measurement and insights into the effectiveness of your programs
- Rich data that can be segmented by demographics, function and geography, then manipulated for analysis
- Tailor the survey using an extensive list of questions; Ethisphere does the rest

Advantages for the C-Suite

- Reduced risk through insights into your most critical asset – your employees
- Visibility into how organizational changes are impacting ethical behavior
- Business advantages gained through Ethisphere's expert analysis

Learn More:
www.ethisphere.com/what-we-do/culture-assessment

Business Improvement: Innovation and Partnerships Fuel Needed Change

TOPICS

- Microsoft on data & due diligence

- Partnerships with Human Resources and Communications

- Mergers & acquisitions

- Homegrown innovations

- Board engagement
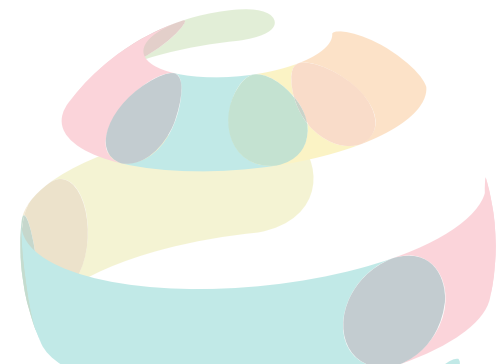
The Intelligence Behind Due Diligence: How Are Innovations Shaping and Improving Risk Mitigation across Worldwide Relationships?

MODERATOR

Christian Focacci
Vice President of Offering Management,
Steele Compliance

PANEL

Alan Gibson
Assistant General Counsel, Office of Legal
Compliance, **Microsoft Corporation**

Ed Hanover
Chief Compliance Officer, **FIFA**

Mike Kostiw
Senior Vice President, Chief Ethics and Compliance
Officer, **AECOM**

Jeannine D'Amico Lemker
Assistant General Counsel, Office of Legal
Compliance, **Microsoft Corporation**

Business Improvement: Innovation and Partnerships Fuel Needed Change

At any large organization, change and growth require executive support and budgetary resources. The ethics and compliance function, however, needs both in order to innovate sufficiently to embrace those tasks required of it and ultimately succeed in meeting the company's needs. That innovation can also come from partnerships forged across the enterprise. As compliance personnel reach out to other departments such as finance, audit, human resources, communications, and others, they often discover common goals in data collection, training, and board engagement, just to name a few.

When tasked with expanding the compliance function at Microsoft, **Jeannine D'Amico Lemker**, Assistant General Counsel, had already embedded with finance to build relationships around their existing compliance practices. "Luckily the finance team was challenged around the same time to think about the same things…They also had a small amount of resources dedicated to data science, and importantly they had already aggregated the data for finance practices." As of result of this experience, Jeannine's colleague, **Alan Gibson**, Assistant General Counsel, expects there to be an increasing number of newly minted digital compliance managers in this space going forward.

The data that provides the foundation for any ethics and compliance program requires a clear strategy and vision to guide processes for collection, analysis, and delivery. **Kellye Gordon**, Vice President of Ethics & Compliance at VF Corporation, also partners with her finance department and human resources to access the analytics tools and training she needs for her team. When collecting data, she emphasizes that it needs to come from various corners of the business. "If you develop good relationships with internal audit and HR and finance and travel…you will spend most of your time in what I think is the sweet spot, which is the analysis. It's really fun to see the impact of the work that you're doing. The second most important thing is to be able to communicate it well–to be able to tell a story to your leaders so you can take that data and use it to get those resources that you need, or to use it to increase your employee value propositions."

Those stories can be critical in requesting and obtaining the necessary support from executives and boards of directors in order to properly train the compliance team, so they in turn can shape compliance training for all employees in both virtual and live formats. **Tamara Lundgren**, President and Chief Executive Officer at Schnitzer Steel, believes in an emphasis on the latter. "Our Chief Compliance Officer goes out and trains personally. When you're dealing with new employees who haven't been in your industry or are just starting in the job, it's very important to get that training [in person]. Questions that they want to ask may not be answered in solely online training, so I encourage that type of impact to be made, and to continue."

An ultimate example of organizational change and growth, M&A, renders ethics and compliance training mission critical, in order to ensure that all employees are fully aware of what their new, amalgamated organization expects from them. Human resources is the obvious, necessary partner in this regard, and additional outside help may be warranted. **Natalia Shehadeh**, Senior Vice President and Chief Compliance Officer at TechnipFMC, came into her role without a previous affiliation with either Technip or FMC–and was faced with the challenge of aligning two dissimilar corporate cultures. "On our first day as a new company, we debuted our code of conduct…our People and Culture team continue to communicate our five values (integrity, respect, safety, quality, sustainability), and we hired a consultant to help American-Franco relations between our two cultures."

Effective partnerships in data collection and staff training can happily result in a program's increasingly sophisticated ability to identify issues requiring due diligence. When this occurs the compliance team is again well served by partners capable of helping them to execute the more complicated processes expected of an increasingly mature program. **Mike Kostiw**, Senior Vice President and Chief Compliance Officer at AECOM, relays: "Every month our data team can extract the past 12 months of data from our ERP [enterprise resource planning system], put it into a software tool, and hook it up to a variety of databases, such as sanctions databases, in order to identify any third parties that might be flagged for illegal activity. Then we work with our audit team to do additional third-party due diligence on organizations that are indicated as risky by the database check."

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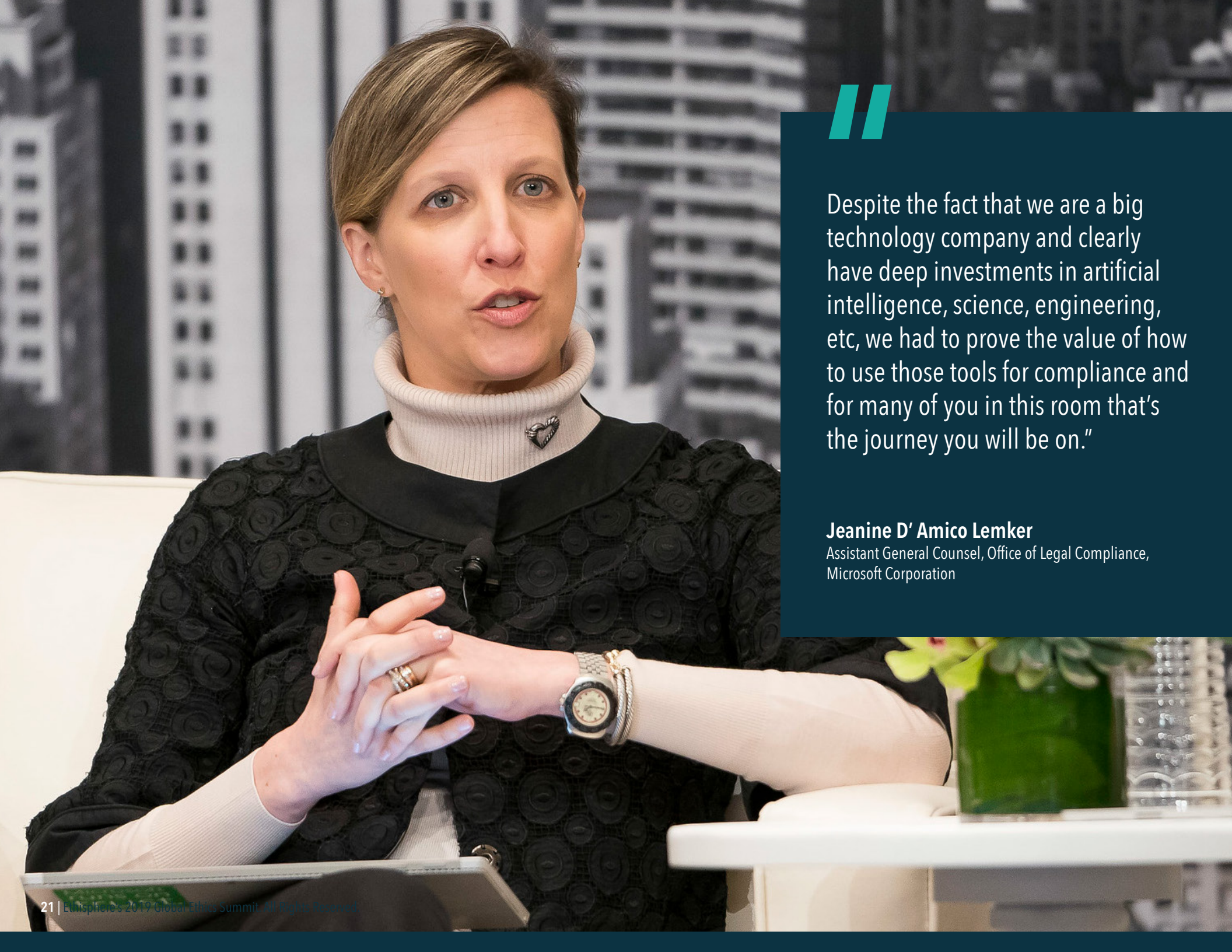
Despite the fact that we are a big technology company and clearly have deep investments in artificial intelligence, science, engineering, etc, we had to prove the value of how to use those tools for compliance and for many of you in this room that's the journey you will be on."

Jeanine D' Amico Lemker
Assistant General Counsel, Office of Legal Compliance,
Microsoft Corporation

In addition, when interacting with the board, **Roger Krone**, Chairman and Chief Executive Officer at Leidos (pictured below), advises compliance professionals to ask themselves whether their board is willing and able to take a stand, in order to be on the right side of certain controversial issues. "It used to be that the sole reason for a corporation to exist was to create value for shareholders. Over the past 40 years, corporate America has figured out they're here for a lot more than shareholder value—we're also here for stakeholder value."

Understanding this dynamic can ultimately help the ethics and compliance function communicate how they can help the board articulate the company's commitment to doing the right thing—which can drive value for shareholders and stakeholders alike.

Roger Krone, Chairman and Chief Executive Officer, **Leidos**

Roger Krone on ESG, Ethics and Compliance, and the Company's Role in the Community

Here's an excerpt from Krone's conversation at the Global Ethics Summit

When I started out in 1978, we did not sign a code of conduct. We assumed that we were making equipment for the military and everybody would do the right thing. And then we went through the era of a hammer costing a lot and really complicated stuff due to cost accounting, and we looked at that and said, "It doesn't seem right." So we reacted to the moment, and everyone of our peers, including us, instituted a program and put in someone to lead it—and we were very reactive and the fear was, well, we got through that, now we can go back to the way we were. What we have seen and what really works holistically is to be proactive. Now it's our conversation – –our Head of Internal Audit and Head of Ethics and Compliance are on our Leadership team. We won't have a meeting without that presence in every decision we make. We talk about ethics and compliance, ESG, and our role in the community all the time., it's on our Annual Report, it's on our webpage – –every time I speak, it comes up. – it's not an "and" thing; it is what we are–it is the dialogue, the fabric of the company. It guides us in our decisions and resource allocation, and we walk away from a lot of business because it's just not what we do.

"

I think a lot of times, it's hard for leaders to understand why do we do this, or why is culture so important, or why do these ... Why, why, why? And when you can give certain data points, it's really powerful.

David Huntley
Senior Executive Vice President & Chief Compliance Officer, AT&T

Influencing Global Stakeholders through Unwavering Commitment to Ethical Values

MODERATOR
Amanda Aikman
Partner, **Morrison & Foerster**

PANEL
Kris Curry
Principal, Forensic & Integrity Services, **EY**

Alex Dimitrief
Former President & CEO, Global Growth
Organization, **GE**, and Former Senior Vice President
and General Counsel, **GE**

David S. Huntley
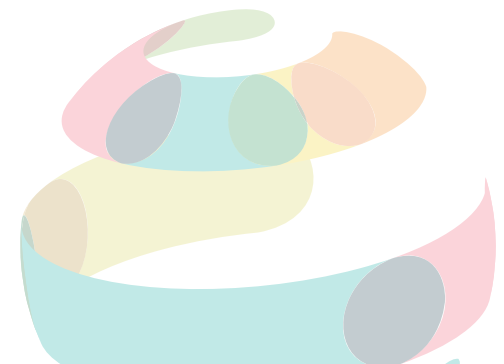Senior Executive Vice President & Chief Compliance
Officer, **AT&T**

Ariel Meyerstein
Senior Vice President, Corporate Sustainability, **Citi**

Global Advancements: Embedding Integrity Worldwide and Keeping Pace with External Risks

TOPICS

- Global stakeholders
- Cyber and GDPR
- Risk assessments
- Supply chain

Global Advancements: Embedding Integrity Worldwide and Keeping Pace with External Risks

According to the 2019 Edelman Trust Barometer–a global online survey with more than 33,000 respondents in 27 markets–notes that 76 percent say CEOs should take the lead on change instead of waiting for government to impose it. This assessment is up 11 points from 2018. This growth of public trust in business leaders is occurring alongside increasingly complex risk environments and more regulations governing ethics and compliance.

Increasingly, communities are looking to companies to frequently raise their hands, take more action, and inject more influence in responsible economic development and growth. Articulating company purpose and values across these stakeholders often falls first at the feet of leadership, and these efforts are imperative to business success and the ways in which companies help society advance.

"When doing business in other countries, the trick is you have to be in there for the long haul," said **Alex Dimitrief**, Former President & CEO, Global Growth Organization, GE, and Former Senior Vice President and General Counsel, GE, in the session "Influencing Global Stakeholders Through Unwavering Commitment to Ethical Values." "Engaging and being there and being present can bring the standards closer to what you believe in as a company."

There is a strategic approach that companies take when addressing topical issues that can have an impact on a community. At Citi, for example, **Ariel Meyerstein**, Senior Vice President, Corporate Sustainability, believes that more companies are taking a position that earning trust from a diverse set of stakeholders is at the core of their practices. "We have spoken out on immigration, we think it's a good thing for the United States to support the Paris agreement, we were involved in the LGBTQ case before the Supreme Court–at the same time we are mindful of our clients, particularly when we take a position that is directly relevant to them. You have to bring your values wherever you do business and think about the company and risks and also consider main stakeholders such as clients, business partners, and investors–they all have opinions that you have be cognizant of when making decisions."

How do you operate in these markets?

The goal is to remain as transparent as possible, said the panelists during this session. **Kris Curry**, Principal, Forensic & Integrity Services, EY, took a closer look at the life sciences industry, which in some markets may not always align with the tangible values of a company. "There is this question that you have to deal with, you have a pill or a product or service that you can otherwise achieve a better lifestyle and are you not going into that market because they don't line up with your values?–We spend a lot of time with companies helping them think through what integrity means, how do they assess that and helping them put a framework in place."

Risk assessments

To keep pace, global stakeholders within multinational corporations must ensure their ethics and compliance programs are built on rigorous risk assessments, incorporate a roster of GDPR and cybersecurity elements, and extend to third parties and across their supply chain.

Michael Sevi, Deputy Chief Compliance Officer at Marsh & McLennan Companies, Inc., oversaw a risk assessment for his organization that focused on every single business unit within each of the 130 countries in which they operate. The results designated a risk score for each, which were then ranked globally. "When I think about trends, if you look at the last five years or so, what you see a clear consensus that an effective anti-corruption compliance program is built upon the foundation of a risk assessment… We wanted to assess corruption risk empirically; we wanted to put a heavy emphasis on the data because at the end of the day that is defensible, repeatable, scalable, and objective. When we're going to make a case for resources or budgets, it's very nice to be able to put numbers in front of our business leadership." Once you secure that buy in and identify your top risks, however, "it's time to get on to the remediation."

"

You have to bring your values wherever you do business and think about the company and risks and also consider main stakeholders such as clients, business partners, and investors—they all have opinions that you have be cognizant of when making decisions.

Ariel Meyerstein
Senior Vice President, Corporate Sustainability, Citi

Investigations: Root Cause Analysis

For compliance and ethics programs to resonate with a diverse, global workforce, leaders need to have a sharp awareness around local cultures, communications styles, regional politics, and other norms. These elements all come into play when conducting investigations in other regions of the world. While case management systems are frequently used to track and obtain data relating to investigations, research shows that it often lack a layer of sophistication and innovative practices that can help investigators identify and track trends for root cause determination. Ethisphere's 2018 root cause survey and analysis found that 26 percent of responding companies had a formal taxonomy used for root cause analysis to plug into even as they look to increase transparency and thoroughness through investigations.

"It's not a one-size-fits-all approach, but at Nokia, we include HR, Finance, Audit, and the business into our root cause analysis, and we start talking about the cases and trends, and those kind of constant conversations help us move forward," said **Sonia Zeledon**, Regional Counsel, Business Integrity Group – Americas, Nokia. "Our taxonomy consists of three buckets–people, method, and management–and you cannot close a case without going through the taxonomy. That continues to work well for us especially for tracking purposes and analysis."

General Data Protection Regulation

GDPR emerged as a top risk in 2016 when the European Parliament approved it that April. It immediately challenged multinational corporations to overhaul how they used, shared, and stored customer data–or fall afoul of new privacy regulations when they took hold in 2018. Remediation of this risk required global business leaders to implement top to bottom change management programs across all departments and systems, in order to embed new data management processes across worldwide operations. "We had a big kickoff in a couple of different locations, bringing hundreds of people out for a two-day summit, to talk about how we were going to assemble these work streams…really socializing the plan," says **Karen Benson**, AVP, Assistant Chief Compliance Officer at Royal Caribbean Cruises Ltd. In addition, the company implemented internal communications campaigns to educate the larger employee base on GDPR. "We would send broadcasts, we would do infographics, so we had a slow drip going throughout the last 18 months so that when the work stream was coming

to meet with the business or the IT group, etc. they'd know exactly what GDPR was and what was expected of them."

To protect the data so meticulously collected and (re)cataloged, multinational corporations are defending against an uptick in advanced persistent threat attacks. To do so requires educating both the internal employee base, and Third parties, on cybersecurity expectations. According to **Tim Fitzgerald**, Chief Information Security Officer & Senior Vice President at Arm, "third-party risk or value chain risk…should be the number-one topic in the cybersecurity conversation with boards. It's not right now. In most cases many companies are still talking about their technical controls, their regulatory attestations, their incident response capabilities, which are all super important functions of a cybersecurity department within a company. But third-party risk is the most likely way that companies are going to lose data in the very near future, and it's already happening today."

Eric S. Kobrick, Vice President & Deputy General Counsel at AIG, warns that "it's difficult to identify all your third parties at the outset especially if you're a big multinational company. Not only do you have to identify them, you have to understand whether they're getting your data, and how they're getting your data–so it's not as simple as looking at an accounts payable listing of what third parties you do business with. It's also difficult to differentiate among your vendors. At AIG we'll deal with classic vendors and suppliers, but we'll also deal with law firms and consultants and accounting firms and brokers and agents. There's a drive to treat them similarly, but you have to appreciate there are differences among them, and you have to balance the need for uniformity against the recognition that you can't treat all vendors the same."

Companies can apply cybersecurity frameworks such as the NIST, ISO 37001, and ISO 37002, as well as cybersecurity insurance to mitigate the consequences resulting from a loss of customer data, intellectual property (IP), and trade secrets. However, the physical world offers those same threats if the proper controls are lacking.

Supply chains represent a differentiated risk set within the third-party category. Not only can IP, trade secrets, and products be stolen if not properly guarded, but materials sourcing and labor practices must be assessed to ensure that third party practices align with the company's ethics and compliance program. "What we did many years ago was build a framework whereby we all got together and built an onboarding and

"

Our taxonomy consists of three buckets–people, method, and management–and you cannot close a case without going through the taxonomy. That continues to work well for us, especially for tracking purposes and analysis.

Sonia Zeledon
Regional Counsel, Business Integrity Group – Americas, Nokia

Supply Chain Monitoring to Preserve Integrity and Deter Destructive Behavior

MODERATOR
Reagan Demas, Partner, **Baker McKenzie**

PANEL
Damien Atkins, SVP, General Counsel & Secretary, **The Hershey Company**

Mike Kolloway, Senior Vice President and General Counsel, **Parsons Corporation**

Antonio Robinson, Vice President, Deputy General Counsel, **Carter's**

offboarding process," explains Antonio Robinson, Vice President and Deputy General Counsel at Carter's. "It's a phased process whereby we go through a qualification stage in the first part, such that we understand what their capabilities around safety and quality are. We do our due diligence. Once we onboard that vendor, then there's training, constant monitoring, and constant auditing of their compliance with our standards and our policies."

In addition to monitoring and auditing, **Stacey Hanna**, General Counsel, Ethics & Compliance at Lonza Group, recommends the use of hotline data in spotting potential problems. "What does your hotline tell you? What kind of trends are you seeing? Are you seeing a pattern of things around a country or the company that could be systemic? Are you seeing a pattern of allegations that could pop in a certain region? You can combine that with: how strong is your management in that region and what does the political environment look like? I find the hotline data can be pretty interesting to look at."

Organizational risk also comes from simply not knowing how your supply chain data is being shared across the company. **Damien Atkins**, SVP, General Counsel & Secretary at the Hershey Company, took an inspection trip out to West Africa, and discovered that there were 20 people on the plane from Hershey–from the QSR, Supply Chain, and Government Affairs departments. "There's so many people involved. That is my biggest concern–if something happens, you don't know where the information is going to go throughout the organization because there so many people touching it. There's so many different reporting lines. At the end of the day who's responsible? It's me from a reputational standpoint, it's the CEO, and it's the head of the supply chain."

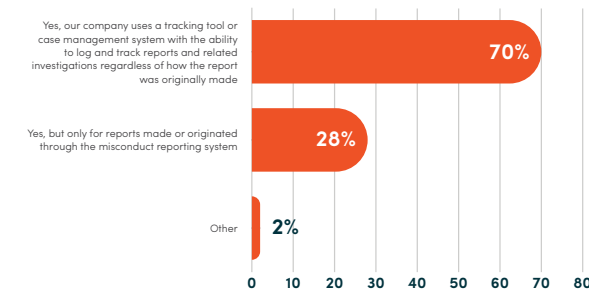**REQUEST BELA MEMBER HUB GUEST ACCESS TO DOWNLOAD** ⬇

Case Management System Usage – Sophisticated Systems Underutilized

Before a company can implement a meaningful root cause analysis process, it must have the technology in place to support its usage across control functions. Without this foundation, it becomes a tremendous challenge to conduct root cause analysis. In other words, while you might be able to conduct root cause analysis on individual investigations tracked in an Excel spreadsheet, it becomes exceedingly manual to do any kind of trending on those root cause determinations. One of the more interesting findings from the survey was around the use – or lack thereof – of case management systems to track all concerns raised, regardless of the way in which they came to the attention of the ethics and compliance function or to whom they might be assigned for investigation. In the survey, 70 percent of respondents indicated that they have the capability to track all employee issues and concerns, regardless of the manner in which an employee might raise it (i.e., to compliance, via the hotline, to Human Resources, or to a manager). Yet only 62 percent indicated that they actually use their systems in that way. This discrepancy was in line with what we saw among the 2018 World's Most Ethical Companies honorees as well, with 86 percent of that group indicating they have a system that allows holistic tracking, but only 79 percent indicating that they use it to its full capacity. What many organizations have instead is a multi-system situation, where each control function – Compliance, Legal, HR, Internal Audit, Loss Prevention, Health and Safety, Quality – tracks in different systems that do not necessarily integrate with each other.

In addition, a full quarter of companies that responded to our root cause survey are only tracking hotline calls in their case management system, in spite of the fact that 62 percent of employees in our ethical culture dataset who raised a concern said they raised it through their managers. This is a missed opportunity to gather far more data on what is happening across the organization, as "open door" reports can be easily overlooked in this scenario, unless the individual involved pursues other reporting mechanisms.

Does your company have a system or tool to manage reports and subsequent investigations?

Yes, our company uses a tracking tool or case management system with the ability to log and track reports and related investigations regardless of how the report was originally made — **70%**

Yes, but only for reports made or originated through the misconduct reporting system — **28%**

Other — **2%**

0 10 20 30 40 50 60 70 80

"

We have an integrated approach, and we conduct due diligence on everyone. [The degree] really depends on . . . the category that third party falls into. When I think about our distributors, several years ago we were doing due diligence on a distributor and we discovered that we need to go below them because they were distributing our products and shipping to others in various countries, and we needed to know exactly who they are doing business with. When it comes to distributors, for example, we go a few layers deeper in our due diligence.

Antonio Robinson
Vice President, Deputy General Counsel, Carter's

Founded by the Ethisphere Institute, the Business Ethics Leadership Alliance (BELA) is a globally recognized organization of leading companies collaborating together to share best practices in governance, risk management, compliance, and ethics. Become an enterprise member of BELA and you and your team can engage with senior legal, ethics, and compliance leaders from 60+ industries in more than 270 companies worldwide. Be part of a community that shares best practices and expertise. Gain access to exclusive data, benchmarking, and opportunities to showcase your program.

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BUSINESS ETHICS LEADERSHIP ALLIANCE

A Global Community Committed to Solving the Big Challenges of Business Integrity. **Together.**

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Our Framework to Improve Integrity & Leading Practices

- Help companies measure, improve, and streamline their ethical culture & programs
- Capture, codify, and communicate leading practices throughout the community
- Bring together experts and expertise across local and global markets
- Provide resources, tools, and techniques to engage the C-suite and Board

Benchmark Your Program and Practices Against the World's Most Ethical Companies® Data Set

Assessments to **Measure and Build Capabilities** within Your Third Parties

Methodology and Full-Service Survey to **Measure Culture**

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Continuous Improvement

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Annual BELA Dinner Impact Award Recipients

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The BELA Global Vanguard award
Bayer, Parsons, and GE

BELA Beacon

Al Rosa
former Chief Compliance Counsel, GE (currently Director, Ethics & Compliance at Google)

Veena Lakkundi
Former Vice President and Chief Ethics & Compliance Officer, 3M

The BELA Emeritus award
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Alan Yuspeh
Senior Vice President and Chief Ethics and Compliance Officer, HCA Healthcare (Retired)

Conversations from the 2019 Global Ethics Summit

U.S. Bank's Global Chief Ethics Officer on Embedding an Ethical Culture

Best Buy: Enhancing Competitive Advantage

For more one-on-one conversations with leaders in the industry visit Ethisphere's YouTube channel:

http://youtube.com/ethisphere

CEO Halsey Cook on Culture at **Milliken & Company**

Boeing SVP of the Office of Internal Governance & Administration on Building Engagement and Working Together

FIFA on Sports Integrity

Conversations from the 2019 Global Ethics Summit

Ethical Leadership at illycaffè S.p.A.

BakerMcKenzie Explains "Connected Compliance"

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Leadership Development: University of St. Thomas on Embedding Ethics and Compliance

Mike Kolloway, Chief Legal Advisor, Parsons, on Global Collaboration

Brian Loughman, EY Americas Forensic & Integrity Services Leader, on EY's Integrity Agenda and Buying into the Concept of Ethics and Integrity.

Media Coverage

CEOs and Ethics
Forbes

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Brooklyn Law School @brooklynlaw

As author of The Introverted Lawyer, Prof Heidi Brown participated in a Networking Lunch about "Championing Authenticity, Vulnerability, and Individual Strengths" at #GlobalEthicsSummit19 Wednesday with Leonard Shen, SVP at Visa & Kevin McCormack, VP @ethisphere @introvertlawyer

9:41 AM - 18 Mar 2019

2 Retweets 8 Likes

Ethisphere @ethisphere

CEOs and Ethics: Several CEOs were gathered in New York City at the #GlobalEthicsSummit19 to discuss what it takes to be #ethical and why it matters, particularly in today's business ecosystem. See the full recap on @Forbes lnkd.in/dJMpxZj @CEOShow

7:32 AM - 20 Mar 2019

3 Retweets 7 Likes

ManpowerGroup, Leidos, EY and Edelman

Patrick Donegan @patrickdonegan · Mar 14

Here we go! The team at @ethisphere #GlobalEthicsSummit19 is crushing it (some of the best and engaging speakers/ attendees I have ever experienced) and our @seiconsulting panel is ready to rock. Join us/follow along here! Begins at 10:40 ETI #GDPR #CCPA #Data #Privacy

Systems Evolution @seiconsulting

Today's the day! #SEIDC's Tim Gagnon is discussing the impact of #GDPR w/ @RoyalCaribbean, @UPS, @VolvoGroup and @HiltonHotels at #GlobalEthicsSummit19 (Breakout Session 1). Come say hello! bit.ly/2GCHbkh #LifeatSEI

Patrick Donegan @patrickdonegan

Morning Breakout Session is rolling with Impact on the Modern Business World: What Does this Really Mean for Privacy Protection? Hear more from @seiconsulting @RoyalCaribbean @VolvoCarUSA @HiltonHotels @UPS #GlobalEthicsSummit19

8:03 AM - 14 Mar 2019

1 Like

Pamela Passman @PamelaPassman

Thanks to our panelists from @Arm and @AIGinsurance for an insightful and practical discussion on managing third party #cybersecurity risk #GlobalEthicsSummit19

Ethisphere @ethisphere

Bad actors focus on #IP, #TradeSecrets for strategic advantage and are currently going after service providers - #IT and law firms. Tim Fitzgerald of @Arm, Eric Kobrick of @AIGinsurance discuss managing 3rd party cyber risk w/ @PamelaPassman …

6:54 AM - 14 Mar 2019

5 Likes

5

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Stay tuned for an exclusive interview with David S. Huntley, Senior Executive Vice President & Chief Compliance Officer, @ATT #GlobalEthicsSummit19 #OurBELA

6:44 AM - 14 Mar 2019

1 Retweet 5 Likes

Leidos @Leidosinc

Leidos Chairman and CEO Roger Krone speaks about the importance of character and integrity with Liban James of @EYnews and Jonas Prising of @ManpowerGroup at today's @ethisphere #GlobalEthicsSummit19

7:06 AM - 13 Mar 2019

3 Retweets 8 Likes

Kris @KGPugs

As leaders, it's important to walk the supply chain and understand the challenges our team members face. It's a cultural, not rules based conversation.
-Antonio Robinson @ethisphere @Carters Well said!#GlobalEthicsSummit19

7:22 AM - 14 Mar 2019

3 Likes

Jorge Dajani @jorgedajani

I liked @CEOShow's blog titled CEOs And Ethics via @forbes. Leaders @ #GlobalEthicsSummit19 discussed what it takes to be ethical and why #ethicsmatters, particularly in today's business ecosystem

CEOs And Ethics
In our world people have arguably become more interested in the result and less interested in ethics. I attended a truly important conference -- Ethisphere -- where...
forbes.com

3:20 PM - 25 Mar 2019

4 Likes

Seth Cohen @sethmco

Happy to have been a part of a lively and fun panel! @ethisphere #GlobalEthicsSummit19

Ethisphere @ethisphere

Career Connections | Engaging Key Stakeholders to Collect Data, Analyze Trends, and Evaluate Program Effectiveness w/ @informed360 @ADP @VFCorp @KCCorp #GlobalEthicsSummit19

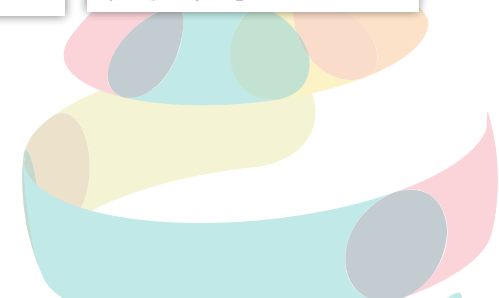4:08 PM - 13 Mar 2019

1 Like

Sonny Cave @sonnycave

Only a few more days before #GlobalEthicsSummit19!

David Herrick @EthicOneLLC
Looking forward to discussing results of groundbreaking study of ethics in marketing and communications this week at #GlobalEthicsSummit19 with @MrDanaRipley @PaulJGennaro and @sonnycave .

12:16 PM - 9 Mar 2019

3 Likes

Social Media at the 2019 Global Ethics Summit

Follow the conversation under #GlobalEthicsSummit19

Brian Loughman • 2nd
Global Markets Leader - Forensic & Integrity Services
4mo

Excited to meet ethics and compliance leaders at the Global Ethics Summit in New York. From diving into the character of a corporation, to stakeholder value impacted by ethics, leaders from top global corporations are debating how they can make integrity count from the inside out. Thanks to Liban Jama and Kris Curry for contributing to the insightful panels.
#GlobalEthicsSummit19, #EYForensics, #IntegrityAgenda

Enjoying meeting with ethics leaders at Ethisphere's Global Ethics Summit in New York. From Organizational Justice to CEO Conversations, EY is proud to support corporations in making integrity count.
#GlobalEthicsSummit19, #EYForensics, #IntegrityAgenda

64 • 2 Comments

Louis Sapirman, JD, CCEP • 2nd
VP and Chief Compliance Officer for Panasonic Corporation of North Ame…
4mo

This will be a great couple of days!

Ethisphere Institute
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Welcome to Day 1 of our 11th Annual Global Ethics Summit! The Global Ethics Summit is Ethisphere's flagship event where CEOs, Board Members, Chief Legal Officers/General Counsels, Chief Ethics and Compliance Officers, and other business influencers representing a diverse set of experiences gather to inspire best practices in building ethical businesses through purpose-driven strategies. Watch this space for updates from #GlobalEthicsSummit19 or follow us on Twitter: https://bit.ly/2VMFLqX

6

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Brian Loughman, EY Americas Forensic & Integrity Services Leader spoke to Ethisphere at the 2019 Global Ethics Summit about EY's Integrity Agenda and how companies are buying into the concept of ethics and integrity. In the following interview, Loughman also highlights findings from 15th EY Global Fraud Survey, which suggests that organizations need to make it clear that acting with integrity is everyone's responsibility, and while that includes the importance of management setting the right tone from the top, it also involves individual employees.

See the full interview from the Summit here:
https://lnkd.in/dsueze2 #integrityagenda #GlobalEthicsSummit19

ETHISPHERE   EY Building a better working world

Conversations from Ethisphere's 2019 Global Ethics Summit

EY: Conversations from Ethisphere's Global Ethics Summit 2019
insights.ethisphere.com

13

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The CEO Conversation: Leading a company in the current business, social, and political climate has arguably never been more challenging. The divides that exist across social and political boundaries have crept into the company culture. Conversations and attitudes among board members, c-suite executives, shareholders, and everyday employees have experienced a dramatic shift. How does the company stay true to its values while balancing so many diverse interests to drive an admirable culture that can be proud of its performance? At next week's 11th Annual Global Ethics Summit, this distinguished panel of industry leaders—moderated by Liban Jama, Partner/Principal, Forensic & Integrity Services, EY—Roger Krone, CEO Leidos; Tamara Lundgren CEO Schnitzer Steel; and Jonas Prising, Chairman and CEO ManpowerGroup, will tap into their own experience and progressive thinking on a new wave of company purpose, culture, and leadership: https://bit.ly/2tmxnlJ
#GlobalEthicsSummit19

#GlobalEthicsSummit19
Global Ethics SUMMIT
March 13-14 | Grand Hyatt New York City

Opening Plenary Session

Roger Krone — Chairman and Chief Executive Officer, Leidos
Tamara Lundgren — President and Chief Executive Officer, Schnitzer Steel Industries
Jonas Prising — Chairman and Chief Executive Officer, ManpowerGroup

33 • 1 Comment

Heidi Brown • 2nd
Author of The Introverted Lawyer and Untangling Fear in Lawyering; Direc…
4mo

Grateful to Ethisphere Institute for the opportunity to talk about these important issues. #lawstudentwellbeing #lawyerwellbeing #corporatewellbeing

Brooklyn Law School   + Follow
19,692 followers
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As the author of The Introverted Lawyer, Professor Heidi Brown participated in a "Networking Lunch" about "Championing Authenticity, Vulnerability, and Individual Strengths" at Global Ethics Summit Wednesday with Leonard Shen, SVP-Chief Compliance Officer at Visa and Kevin McCormack, VP of the Business Ethics Leadership Alliance @ethisphere. #GlobalEthicsSummit19

19 • 3 Comments

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1mo • Edited

Spotlight: Advancing Ethical Practices—Data collected from Ethisphere's Ethical Culture Perceptions Assessment consistently shows that organizational justice often ranks lowest among the pillars of company culture. According to leaders in the following 2019 Global Ethics Summit session led by Erica Salmon Byrne featuring Richard Buchband Senior Vice President, Chief Legal Officer, ManpowerGroup; Joseph Moan, Chief Ethics and Compliance Officer and Associate General Counsel, The Coca-Cola Company; Patrick Rowe, Deputy General Counsel, Accenture; and Inderpreet Sawhney, Group General Counsel & Chief Compliance Officer, Infosys—it is leadership's responsibility to respond to the concerns of organizational justice and adapt to the shifts in employee expectations: https://lnkd.in/d3JUvBs

Studies consistently show that businesses that have strong ethical cultures outperform those that don't. Companies with stronger cultures tend to have more engaged and committed employees, lower turnover, and higher productivity. The bottom line: a company is better protected from the risks of misconduct when its culture is ethically strong. Here's more on our Ethical Culture and Perceptions Assessment https://bit.ly/2juPpzh
#GlobalEthicsSummit19

Organizational Justice
youtube.com

5

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Our Thanks

Kevin McCormack, J.D., M.B.A,
Vice President and Executive Director, BELA,
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The Global Ethics Summit Team

Timothy Erblich
Chief Executive Officer

Erica Salmon Byrne, J.D.
Executive Vice President
and Chair of BELA

Pamela Passman, J.D.
Vice Chair

Jonathan Whitacre
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Chelsie Dumenigo
Director of Global Events and Global
Community Manager of Business
Ethics Leadership Alliance

Randy Klatt
Vice President, Ethisphere Services

Stefan Linssen
Executive Vice President, Global
Partnerships; Chief Content Officer

Sarah Neumann, J.D.
Director, Engagement - Business
Ethics Leadership Alliance

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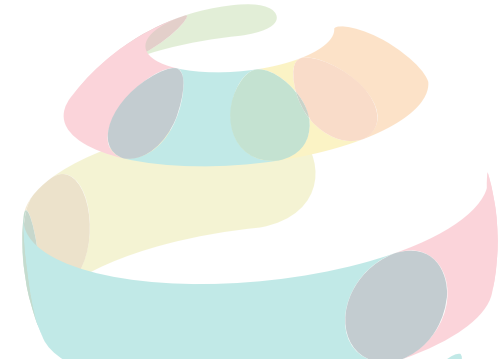**John Fanning, M.B.A.**
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