

10
YEARS
2009-2018

KEY TRENDS & HIGHLIGHTS



MARCH 14-15, 2018 | GRAND HYATT, NEW YORK

PROUDLY PRESENTED BY **ETHISPHERE**
GOOD. SMART. BUSINESS. PROFIT.®

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Key Trends and Highlights

2018 marked the 10th Anniversary of Ethisphere's Global Ethics Summit, which gave our organization plenty of reason to celebrate in the company of some of the most respected business, legal, and compliance leaders with backgrounds in so many industries and disciplines. The Summit has afforded senior leadership a unique opportunity to connect and collaborate with one another, amplifying the importance of integrity as a catalyst for sophisticated and responsible performance.

In its 10-year history, the Summit now stands alone as an uncommon assembly for a diverse mix of CEOs, Board Members, Chief Legal Officers, Chief Ethics & Compliance Officers, international team members, global law firm partners, academics, and other business influencers. And in 2018, a record number of over 500 participants, including nearly 80 faculty members, joined their peers at the New York Grand Hyatt. An incredible bar has been set, making this the most successful Global Ethics Summit ever. We cannot wait to see what 2019 will bring, as the community spirit and importance of collaborative dialogue has never been more valuable.

In this annual recap, we are excited to share some of the topical highlights, faculty profiles, and peripheral information and data that made the Summit so compelling. Through unique platforms like the Global Ethics Summit, Ethisphere continues to focus on serving the community of leading companies through enriched conversation, peer-to-peer benchmarking, and forward-thinking initiatives on issues that matter most in today's business ecosystem. Company values are the bedrock through which compliance is enhanced and performance is bolstered, and the influence on the social and economic environment of today and tomorrow is as critical as ever.

Continuous improvement remains a focus for companies committed to doing business the right way, and the Summit is the nexus of leadership, inspiration, and integrity to equip organizations with the actionable insights necessary to make this happen for years to come.

Thanks to all who made it possible, and we look forward to working alongside you so these ethical achievements are shared, measured, and integrated as part of the cultural fabric of your company.



Kevin McCormack
VP Global Thought Leadership & Programs, Ethisphere



Audience Breakdown

255 Organizations

64 Industries

526 Participants

23% C-suite Execs

43% C-suite and VP Execs

54% C-suite, VP, and Director-level Execs







Key Trends and Highlights

In the following pages of this booklet, we capture key themes discussed throughout the 10th Annual Global Ethics Summit and provide important data points, infographics, best practices, and emerging trends from industry leaders that were focus points during this year's event.

Theme #1

Values and Voices: A New Sense of Company Purpose

When **Larry Fink**, Chairman and CEO of Blackrock, the world's largest asset manager, issued a letter to CEOs calling on companies to act as social activists or serve as leaders on societal issues around the globe, he expanded the dialogue on the role of corporations in our global society. Fink added that leadership in this area is an expectation for long-term sustained outperformance—and there was no shortage of CEOs sharing insights on how they drive performance through values and purpose at this year's Global Ethics Summit.

As CEOs start to use their voices to influence change and find their social purpose, many at the board level and members of the C-suite are taking on a larger role in addressing the issues around gender pay gaps, board representation, or the perception of equality across the organization. It is clear, however, that diversity and inclusion are no longer buzzwords or check-the-box measures; in fact, leaders are leaning in and want more data on the efficacy impact to report on the success of new diversity initiatives.

"What you measure is what you manage. Companies are measuring their diversity and inclusion numbers in different layers across the world," said **Ilene S. Gordon**, Executive Chairman, Ingredion Incorporated, during a plenary session at the 10th Annual Global Ethics Summit.

"As the Chief Executive Officer, I set a goal that every new job, whether internal or external, must have a diverse slate, because if you don't have diversity, you will never get there with real candidates, we started measuring and that measurement has led to more progress."

For leaders, today's business climate requires a high level of accountability, especially in areas such as diversity. On the same panel, **Oris Stuart**, Senior Vice President, Chief Diversity & Inclusion Officer, National Basketball Association, took this notion further.

He explained that while metrics are seen as continuum, it remains a process that can be measured. "Ultimately, what matters most are perception metrics," said Stuart. "Perception is reality through employees, so what are they thinking about when it comes to the culture of an organization? Is it a culture they are willing to promote or remain committed to? You also have to think about the perception of your customers, and building a scorecard across those dimensions can be particularly compelling."

Increasingly, companies are taking on broader societal responsibilities as people are looking to their employers to do the right thing. According to the 2018 Edelman Trust Barometer, 64 percent believe that companies can and should both make profits and help the communities where they operate, while 44 percent of the public say CEOs should take a lead on change in society.

In a related plenary session, which featured company directors including **Dan Amos**, Chairman and Chief Executive Officer, Aflac Incorporated, the speakers agreed that while purpose matters, equally important are the employees who place a high value on integrity.

"It's not money that drives people," said Amos. "It's recognition and feeling like they are making a difference—people hate redundancy. Instead if they are making decisions on the job, they like it and are more engaged in the workplace."

Highlighting their commitment to operating ethical businesses, both Aflac and Ingredion are long-term members of Ethisphere's Business Ethics Leadership Alliance (BELA). BELA, founded with the notion that companies, regardless of industry, face many common and often complex issues in some of the most challenging regions in the world, has been at the forefront of connecting like-minded leaders on themes that matter most.

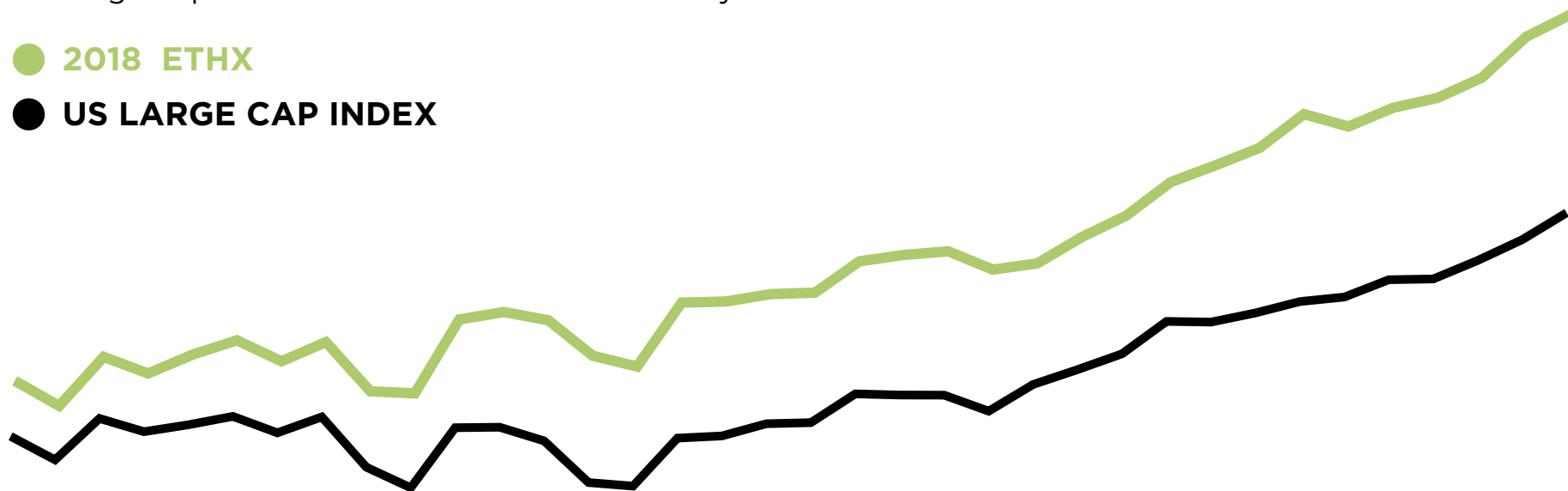


THREE-YEAR ETHICS PREMIUM: 4.88%

Performance of the listed 2018 Honorees as compared to the US Large Cap Index over the 2015-2017 calendar years

● 2018 ETHX

● US LARGE CAP INDEX



January
2015

December
2017



DOWNLOAD THIS CHART

Diversity: A Company Culture and Performance Imperative



MODERATOR

Preston Clark

President, Higher Education & Corporate Compliance, EVERFI

PANEL

Ilene S. Gordon

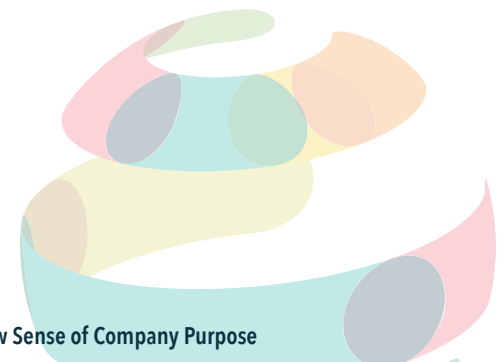
Executive Chairman, Ingredion Incorporated

Oris Stuart

Senior Vice President, Chief Diversity & Inclusion Officer, National Basketball Association

Deborah Wright

Member of the Board of Directors, Voya Financial, Time Warner, and Citigroup





I have a very good relationship with the General Counsel and the Corporate Secretary, and that's a wonderful conduit for the view of the board. They are smart and connected in ways that are different than us. Making sure you cultivate those relationships can help carry a message from the right point of view, because it can change minds and decisions. Use your power from both formal and informal settings to push your organization forward."

Deborah Wright

Member of the Board of Directors, Voya Financial



Leaders on Culture: Maintaining Purpose and Direction As Companies Address New Disruptions



MODERATOR

Patrick Quinlan

Chief Executive Officer, Convercent

PANEL

Daniel P. Amos

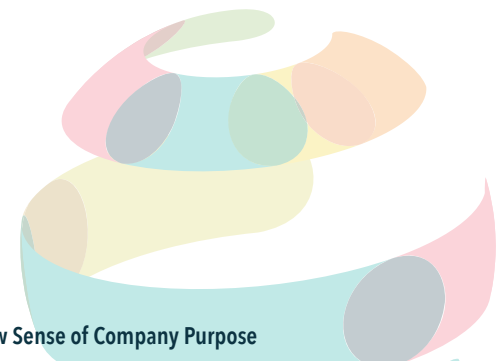
Chairman and Chief Executive Officer, Aflac Incorporated

Bridget Macaskill

Member of the Board of Directors, JLL

Blake Moret

Chairman and Chief Executive Officer, Rockwell Automation





Diverse teams make better decisions...When you have something that is intentionally emotional for people, you need to make sure you have those different viewpoints, and also that when you finally coalesce a certain viewpoint at a company, that you can speak with heart about those things."

Blake Moret

Chairman and CEO, Rockwell Automation



Maintaining Ethical Culture in a Politically Charged World

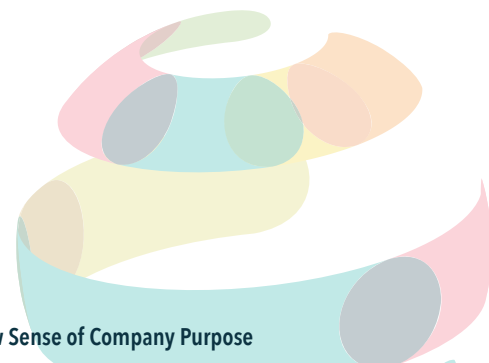


LUNCH KEYNOTE SPEAKER

Jonathan Haidt

Thomas Cooley Professor of Ethical Leadership, NYU Stern School of Business

"People you are hiring out of college may not have the experience of getting into a car and driving to pick up someone. They have had much less life experience. There is a huge generational change because iGens have less life experience, they are spending too much time on social media, they get into college, they have a lot of trouble facing all these divergent views, especially those on the [opposite] side of the political spectrum, and then they apply to your companies for jobs. This is going to impact you."



THEME #2

Influence on Compliance, Strategy, and Discipline

The General Counsel serves as the universal connector that balances risk, integrity, culture, and strategy within the organization. With the changing regulatory landscape, coupled with a boom in technology and the rise of geopolitical challenges, the role of the General Counsel has evolved to the extent where these practitioners now serve as industry influencers and trusted advisors.

During the closing Summit plenary dedicated to illustrating how General Counsels drive change and culture, **Andrea Bertone**, Company Director, Yamana Gold, and former President, Duke Energy International, explained that it is a common perception to believe that legal departments write contracts or only handle compliance-related issues. This, of course, is no longer the case. In fact, during the session Bertone highlighted that many potentially devastating risks can be avoided if the General Counsel is considered a full business partner and is intimately involved from the outset of business transactions. "The best reporting structure is when the General Counsel reports to the CEO with open access to the Board of Directors, as it enables them to register the pulse of the organization apart from the filtered perspective of the CEO—especially when the CEO also serves as Chairman of the Board," said Bertone.

Veta Richardson, President and CEO for the Association of Corporate Counsel (ACC), supported the discussion by highlighting some telling results from their 2018 Chief Legal Officers Survey. "Still in the US there are still 30 percent of GCs that do not report to the CEO, and that was a surprise to us. We [ACC] believe the needle hasn't moved far enough. The concern is that as businesses combine the role of the General Counsel becomes even more diluted," explained Richardson. "We did an analysis of the companies that are named the World's Most Ethical, and 90-some percent of the World's Most Ethical Companies have a well-positioned General Counsel. And we think that underscores the importance as you look at ethics and compliance issues."

In 2017, the Department of Justice released criteria for "Evaluation of Corporate Compliance Programs" with an emphasis on "operationalization," effectiveness, and accountability. The criteria outline how regulators are now zeroing in on programs that impact behavior rather than focusing on the optics of what may seem like an effective compliance program. This was another area where industry leaders who have already established a tempo of operationalization shared their practices with attendees at the Summit.

In an effort to inspire employees to make the right decisions through a robust corporate compliance program, **Kimberlee Yapchai**, Chief Ethics & Compliance Officer, Tenneco, shared her thoughts around experiential learning as a way to teach employees the skills and behaviors to avoid getting in unethical situations. "Through experiential learning, you have marked their hearts and minds and the behavior suddenly aligns. They will remember an experience and, equally important, remember what leadership behavior they have to display and what they need to do if they see something wrong," said Yapchai during her plenary session on leadership.

There is the old axiom that people dislike lawyers—unless they need one. Companies that are successful understand that lawyers, while meticulous and often non-conforming, are not the department of "no"—they are merely providing the legal conscience of the company. Regulators are out there, and more than ever they are eyeing companies on a mission to protect consumers and investors by ensuring compliance with laws and regulations. So the advice from the experts is clear: Make your legal department an integral part of the business decision-making process and save yourself potential headaches down the road.



**OPERATIONALIZING COMPLIANCE GLOBALLY
FEATURING THE BOEING COMPANY**

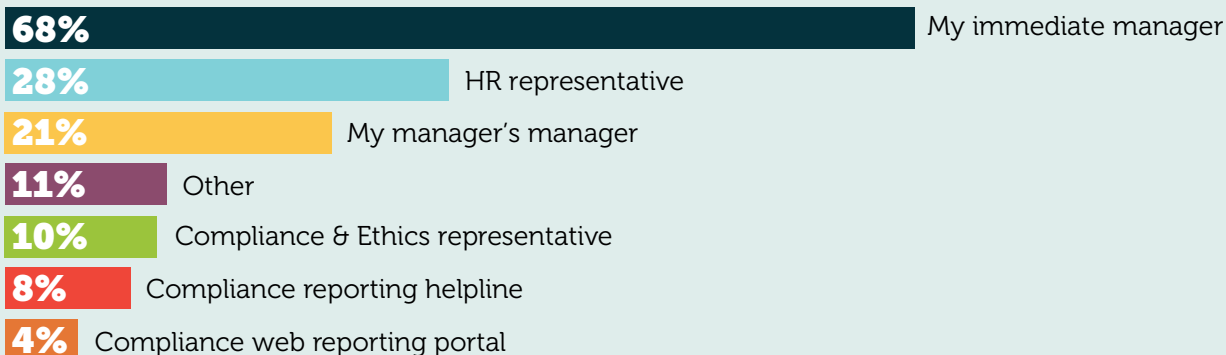
Supporting an Open Reporting Culture



Tip: Don't overinvest in communication channels that your employees aren't using.

68% of Ethical Concerns Are Submitted to Immediate Managers

Human resources representatives came in second at 28 percent. What's low on the list? Only 8 percent went to helpline/hotline. Employees are **9 times more likely** to go to their immediate manager with concerns instead of using the reporting helpline or web-based portal.



DOWNLOAD THE FULL INFOGRAPHIC

The Antidote for Ambiguity: Developing a Cohesive and Leadership-Driven Compliance Strategy



MODERATOR

Susan Divers

Senior Advisor, LRN

PANEL

Jay Jorgensen

Executive Vice President, Global Chief Ethics and Compliance Officer, Walmart, Inc.

Laura K. Kennedy

Senior Vice President, Chief Ethics and Compliance Officer, Emergent BioSolutions

Diana L. Sands

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

Kimberlee Yapchai

Chief Ethics & Compliance Officer, Tenneco





Susan Divers is a senior advisor with LRN Corporation. In that capacity, Ms. Divers brings her 30+ years' accomplishments and experience in the ethics and compliance area to LRN partners and colleagues. This expertise includes building state-of-the-art compliance programs infused with values, designing user-friendly means of engaging and informing employees, fostering an embedded culture of compliance, and substantial subject matter expertise in anti-corruption, export controls, sanctions, and other key areas of compliance.

Prior to joining LRN, Mrs. Divers served as AECOM's Assistant General Counsel for Global Ethics & Compliance and Chief Ethics & Compliance Officer.

In Conversation with LRN: 2018 Trends in Operationalizing Compliance

In the following interview, Susan Divers, Senior Advisor, LRN, speaks to Ethisphere's Aarti Maharaj about how companies are operationalizing their compliance programs. She also highlights red flags that compliance officers and legal professionals should look out for as they future-proof their programs.

Ethisphere: Susan, in a few sentences, can you summarize what it means to "operationalize compliance"?

Susan: In the past, when compliance programs started to spring up, people were very focused on what they looked like, such as, Did you have a code? Did you have a hotline? Did you have training? Did you have audits?

Over the years, and particularly in the wake of the continued problems that major companies such as Wells Fargo are having in public, both regulators and compliance professionals have said, "Well, you know, we shouldn't necessarily be spending all our time on what our program looks like. We should be focused much more on what it does." I think that's really a critical difference, so operationalizing really means looking at what the program actually does and taking the emphasis off evaluating your program based strictly on what it looks like.

Ethisphere: Can you provide some examples where companies have failed to operationalize their programs?

Susan: Sexual harassment scandals are an example of companies that fail to operationalize. If you look at some of the name-brand companies that have gotten caught up in this and have been in the news, again, they had hotlines. They had policies. They had training. But everybody knew, in most instances, that this behavior was going on, sometimes for years, and nothing was done. And again, what that tells you is that the compliance program, no matter how many times they benchmarked it or looked at their programming elements, wasn't really working.

You need to have a really hard conversation, especially after misconduct has occurred, and say, “How did this really happen and what does this really say about us?” It’s not enough to just fire the perpetrators. I mean, you have to do that, but it’s important to use it as a chance for deep assessment as to what went wrong and what really led to that behavior being tolerated for so long, and then make the changes that are necessary to ensure that it doesn’t happen again.

Ethisphere: When it comes to operationalizing, what are some common challenges that you’ve seen companies face in this area?

Susan: I think the biggest challenge is that when the programs were first set up, going back more than 10 years, they were designed by lawyers, really for other lawyers. So for example, the policies are written in legalese. They’re very hard for employees to understand, and they’re really not even intended for employees to understand. They’re intended for prosecutors to say, “Oh, okay. This policy covers all of the key elements of the Foreign Corrupt Practices Act.” Moving away from that kind of mentality to a mentality that says, “I really want my policies to tell people how I want them to behave in a way that they can understand” would be one good example.

Another good example would be, again, it’s easy for a compliance program to just sort of stay in the legal department or the ethics and compliance department, but what you really want is for it to become part of the business decision-making. In a previous experience at a former company, we were lucky because a lot of people really did internalize ethical considerations, and they made it part of their business decision-making, rather than just saying, “Oh, that’s something the legal department does.” They were really asking the question, “Is this the right thing to do? Not only is it something that will build the business, but is it the right thing to do?”

Ethisphere: Increasingly, companies are finding more value in collaborating with other parts of the business, such as communications and compliance or human resources. Can you develop on that further? Are you seeing the same trend of collaboration?

Susan: Well, definitely, because it’s part of breaking out compliance and ethics from the legal context, and really sort of viewing it as part of what you do and part of the decision, just the same way that people look at new business opportunities and say, “Is this going to be profitable? Does this support our long-term growth?” It’s about asking the question, “Is this something that we feel is right, and does it support our long-term

values as a company?” That’s a question that should be asked across the board, not just in the context of the legal department, so I think that’s really a critical aspect of operationalizing your compliance.

Ethisphere: Looking ahead, where do you see these requirements going? What are some predictions on the horizon?

Susan: It’s going to gain ground as people see, increasingly, the shortcomings of taking the kind of approach that I described, where you just sort of inventory whether you have this, this, and this, and whether it is consistent with best practices. A great example, unfortunately, is United Airlines. I recently saw a letter from the CEO in one of the United magazines, and it talked about the fact that they had a rule book weighing five pounds. So they had a rule book, and it weighed five pounds, but they still dragged somebody off the plane. It was clearly the wrong thing to do, so thinking about your program more in terms of, what kind of behavior does it actually inspire in your employees? What kind of behavior does it guide? I mean, it’s important to follow the law, but the law isn’t the end-all and be-all.

It’s about focusing more broadly on, “Are we actually helping people do the right thing? Are we being clear with people as to what the right thing is?”—I think that really is starting to gain ground. And the other reason, too, is, looking at companies like Wells Fargo or the host of companies that got caught up in the sexual harassment scandals, they all had codes of conduct. They all had training. They all had hotlines, but none of those programs had real traction when it came to preventing this conduct.



When we operationalize, it means compliance and the business are seamless. What I emphasize to leaders is that when you say 'hit your goals' for some reason, by default, people think 'by any means possible.' But really you want to embed compliance and ethics in all processes and have leaders become part of the message."

Kimberlee Yapchai

Chief Ethics & Compliance Officer, Tenneco



The Influence of GCs at the Executive Table



MODERATOR

Chip Loewenson

Partner, Morrison & Foerster LLP

PANEL

Andrea Bertone

Company Director, Yamana Gold; Former President, Duke Energy International

Lucy Fato

Executive Vice President & General Counsel, AIG

Veta T. Richardson

President & Chief Executive Officer, Association of Corporate Counsel (ACC)

Gregg Riggs

Former General Counsel, Delta Air Lines





“

Lawyers should be treated as part of the core business process, the same as any other component of the business. If a business wants to be effective and save money and time, the legal voice must be heard. Pairing the business with legal and looking at each through the same lens is the way to go.”

Andrea Bertone,

Company Director, Yamana Gold; Former President,
Duke Energy International

Corporate Response to Crisis: What Happens When Your Company Is under Scrutiny?



MODERATOR

Anthony S. Barkow

Partner, Co-Chair - Investigations, Compliance, and Defense Practice, Jenner & Block

PANEL

Steven D'Alessandro

Managing Director, JPMorgan Chase & Co.

Katya Jestin

Partner, Co-Chair - Investigations, Compliance, and Defense Practice, Jenner & Block

Glenn Leon

Senior Vice President & Deputy General Counsel, Chief Ethics & Compliance Officer, Hewlett Packard Enterprise

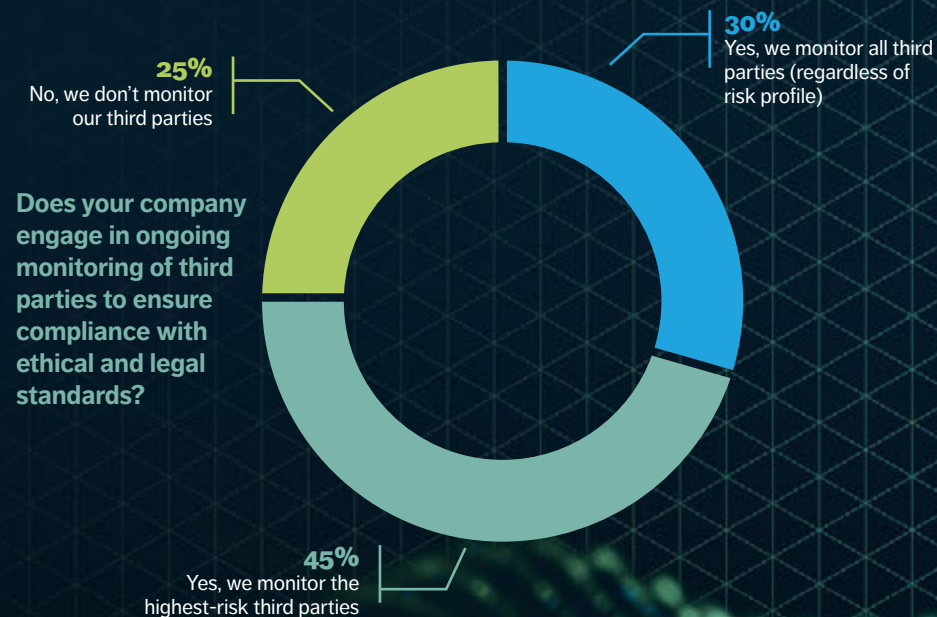
Ann Claire Phillips

Chief Government Investigations Counsel and Chief Legal Risk Officer, U.S. Bank



The new 2018 Anti-Bribery and Corruption Benchmarking Report by Kroll and the Ethisphere Institute, which was unveiled at this year's Global Ethics Summit, shows how companies are hitting a "third party data refresh" for effective risk mitigation and defense.

[Download Free Report](#)



Theme #3

Innovations to Measure, Improve, and Transform

Amid the string of cyber intrusions that have gripped industries around the world, many leaders are coming together to inspire a culture of collective action to foster a new level of cyber resilience worldwide. After all, there is a common thread among many successful multinationals that there is no competition among companies when it comes to ethics and integrity.

Samuel J. Palmisano, Retired Chairman, President and CEO, IBM; Chairman, Center for Global Enterprise; and Co-Chair, Cyber Readiness Institute, explained during the kickoff plenary session that almost 80 percent of threats occur internally by either disgruntled employees or others who have not followed proper procedures. And further research reveals that employees in the value chain are seen as the weakest link—a worrisome reality that Palmisano spoke about at length.

“When we look through the current situation of cybersecurity from a corporate lens, one of your biggest vulnerabilities is your value chains,” said Palmisano. “It’s the small companies in your value chains that have no capabilities, no staff, and very little management process. I’d think about everything you touch outside of your enterprise—your suppliers, your partners, distribution, M&A groups you work with, law firms—and remember you are giving them access to your firewalls because they are part of your ecosystem—and they have no expertise. We can talk about your firewall, fire eye and monitoring, endpoints, and encryption, but I wouldn’t even bother with that. I’d go to one of your partners with 50 employees or fewer and I’ll be in your system within an hour, and this is just the reality of the world we live in.”

Ethics continues to transcend how companies are keeping up with the ever-changing pace of technology. On the artificial intelligence front, for example, multinationals such as Intel are taking an innovative approach to build ethics into their human and machine systems.

Gayle Sheppard, Vice President, New Technology Group and General Manager, Saffron AI Group, Intel Corporation, believes that the future of artificial intelligence will help business and compliance executives make better decisions and collaborate on a variety of topics such as investigating suspicious activity. “Artificial intelligence systems require ‘explainability’ and transparency,” said Sheppard. “We need to have trustworthiness in the systems that we build, and all of us who are building these systems and delivering them into the market must ensure they possess that fundamental capability.”

Artificial intelligence is expected to transform how companies do business around the world. As companies expand, so do their risks, and as artificial intelligence gains traction, leaders are hoping to better tame their growing risks. For Sheppard, the first area of focus is on anti-money laundering. “My team and I are spending time on how to improve decision making, not detection but specifically on anti-money laundering and studying the high number of false positives that are generated through the detection systems because they are model-based, they are rule driven and therefore not as adaptive—so how do we help investigators? How do we reduce the amount of time spent on the wrong things?”



Join PepsiCo CEO Indra Nooyi on a Journey Exploring Culture, Metrics, Diversity, and “Performance with Purpose”

Using the Global Ethics Summit as a platform, business influencers had a chance to voice their concerns and inspire best practices. While technology continued to dominate the conversation, most executives felt that artificial intelligence will become one of the most consequential technologies of all time, and this has heightened the security stakes. Another common concern for business leaders is whether ethics actually improves without involvement or if a “built-in” bias in the machine leaves the company exposed to a new set of ethical failures.

Theme #3

Innovations To Measure, Improve, and Transform

In the same session, **David A. Heiner**, Strategic Policy Advisor, Microsoft Corporation, explained that while the machines are being built to make sound decisions, it may lead to greater societal issues related to privacy concerns, fairness, inclusiveness, and reliability of these systems.

"Computers don't have the same kind of biases that we have around race, gender, and other categories because they are just machines with zeros and ones, so the possibility is there that they can make more fair decisions," said Heiner. "However, if the data set used to train an A.I. system is not representative of society at large, then neither will the results."

Data and measurement are critical for companies to transform their business.

"There's no real magic metric around continuous improvement. It's really using existing metrics from other components of your program but piecing them together to tell a compelling story about how your program is changing over time." – **Brian Beeghly**, Co-Founder and Chief Executive Officer, Informed360

"In today's compliance landscape, it's hard to demonstrate your value when it is basically you did not have to hire an outside counsel and talk to the DoJ, and this is where metrics come in as it will start the process of showing this is what I avoided, here's what I mitigated, here's the ROI on the investment I made in training, and here's why I am asking for 9.5 minutes each month of your employees' time, as opposed to an hour at the end of the year. And that way you are not stuck in the mindset of questioning the purpose of your compliance program. Metrics matter." – **Erica Salmon Byrne**, EVP, Governance and Compliance, and Executive Director of BELA, Ethisphere

"Ethisphere is one of the most respected organizations promoting and evaluating ethical corporate culture—critically important today." – **Indra Nooyi**, PepsiCo Chairman and Chief Executive Officer



"Ethisphere is one of the most respected organizations promoting and evaluating ethical corporate culture—critically important today."

Indra Nooyi

PepsiCo Chairman and
Chief Executive Officer



A Unified Front: Collective Action by Leading Companies to Combat the Cyber Foe



MODERATOR

Tim Erblich

Chief Executive Officer, Ethisphere

PANEL

Samuel J. Palmisano

Retired Chairman and CEO, IBM Corporation, and
Current Chairman, The Center for Global Enterprise





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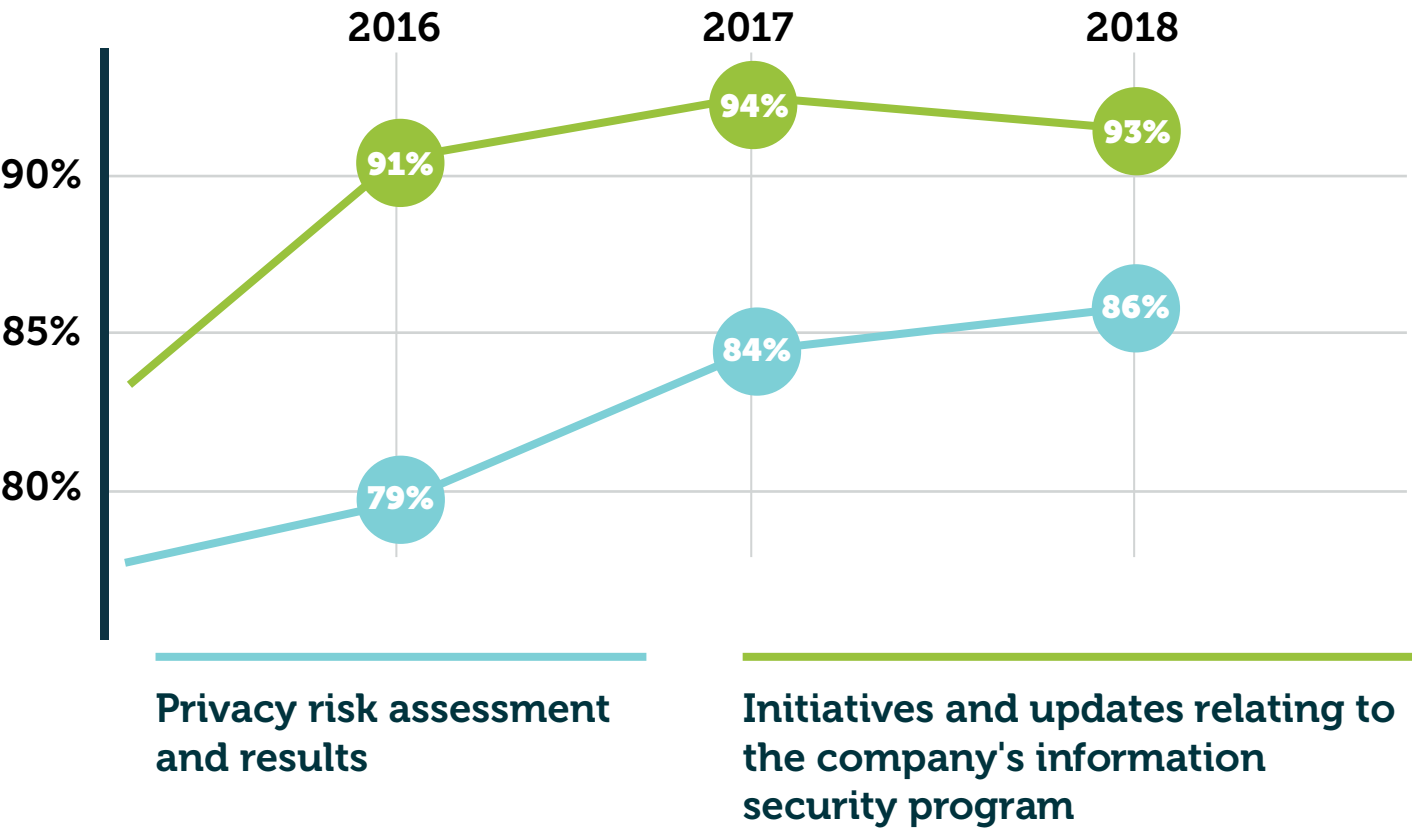
Technology is moving so fast you'll never catch up, so it's an arms race. You have to take a broad enterprise view. And 80 percent of the problems you have are internal.”

Sam Palmisano

Retired Chairman and CEO, IBM Corporation and Current
Chairman, The Center for Global Enterprise

Reporting on Cybersecurity

Ethisphere has observed an increase in Honorees reporting updates about the organization’s information security program and privacy risk assessments to the Board of Directors. This speaks to the heightened attention cybersecurity matters now garner at the highest levels of organizational stewardship.



Top Five Steps to Becoming More **CYBER SECURE**

CREATe Compliance, an Ethisphere business, works with global companies to assess and improve cybersecurity programs. Based on this experience, here are the top five steps companies can take to improve the “people, processes, and technology” fundamentals required for effective cybersecurity risk management and information security.

Ethisphere Launches New Cybersecurity Resources to Arm Global Companies with a Sophisticated Assessment of Information Risk and Protection



[Read the Full Press Release Here](#)

1

Take a cross-functional approach.

Cybersecurity is no longer just the domain of the information technology (IT) department. Prevention and the response to breaches should involve a variety of roles throughout an organization, from legal and compliance teams to risk managers, communications, IT, and human resources.

2

Consider cyber threats as part of broader enterprise risk management (ERM) programs.

A risk-based approach helps to focus resources on top priorities. An analysis of threats and consequences of a breach can inform decisions.

3

Identify your most critical information.

What and where are your company's crown jewels? It's important to identify your most valuable information and know where it's located and who has access to it. Then put appropriate controls in place to protect it.

4

Address insider and third-party risk.

Insiders—employees, contractors, consultants, business partners, and other third parties—are the most likely source of a cyber breach, and they are also your first line of defense. Make sure you have policies in place, training, and processes for on-boarding and off-boarding, among other actions.

5

Align with external standards and best practices.

When reporting to senior management, a useful approach is to reference established guidance and standards, such as the NIST Cybersecurity Framework—a voluntary, flexible approach consisting of standards, guidelines, and best practices.

All In On A.I.? The Vision for Business and Compliance Transformation



MODERATOR

Michael Byrne

Senior Vice President of Thought Leadership,
Ethisphere

PANEL

David A. Heiner

Strategic Policy Advisor, Microsoft Corporation

Al Rosa

Chief Compliance Director and Senior Executive
Counsel, GE

Gayle Sheppard

Vice President and General Manager, Saffron AI
Group, Intel Corporation





“

Computers don't have the same kind of biases that we have around race, gender, and other categories because they are just machines with zeros and ones, so the possibility is that they can make more fair decisions....If the data set used to train an A.I. system is not representative of society at large, then neither will the results be.”

David Heiner

Strategic Policy Advisor, Microsoft Corporation

Measurement That Matters: The Information That Drives Integrity



MODERATOR

Erica Salmon Byrne

EVP, Governance and Compliance, and Executive Director of BELA, Ethisphere

PANEL

Michele Abraham

Associate General Counsel, Director of Ethics and Compliance, Cooper Standard

Hui Chen

Former Compliance Counsel Expert, U.S. Department of Justice

Kurt Drake

Chief Ethics & Compliance Officer, Kimberly-Clark





Measurement should be a thermometer and not a thermostat. Measurement tracks the temperature, and you do what you need to do to change the temperature level. There was one company that closed its cases faster because, as it turns out, someone just changed the definition of when a case is closed. As a result of this move, it's easier to invite fraud as you try to measure compliance, which is quite ironic."

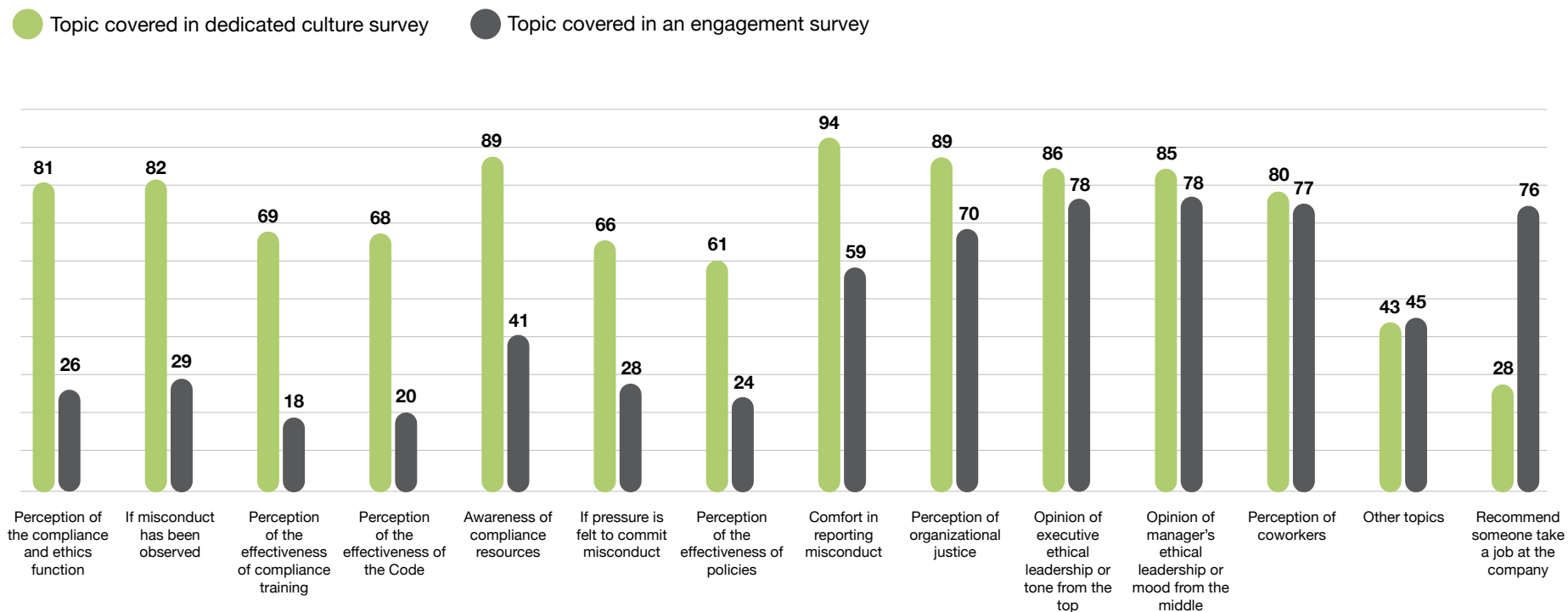
Hui Chen

Former Compliance Counsel Expert, U.S. Department of Justice



Surveys Focused on Measuring Ethical Culture Provide an Opportunity for Better Insights

Survey Topics Used by 2018 Honorees When Measuring Ethical Culture



Breakout Session Highlights



Preserving the Speak Up Culture Through Smarter Internal Investigations

Featuring Leidos, Nokia, PSEG Services Corp, and Littler Mendelson



Continuous Improvement: From Risk Assessments to Action Plans and Everything in Between

Featuring Eli Lilly and Company, HP Inc., GE, and Informed360



Working Across Board-Level Compliance Committees

Featuring Dun & Bradstreet, Eli Lilly and Company, Blue Shield of California, and Ethisphere



Building a High Performing and Diverse Team of Talent

Featuring SAI Global, JLL, Volvo Car Corporation, and Novartis Pharmaceuticals

Breakout Session Highlights



The Chief Ethics & Compliance Officer of Today and Tomorrow
Featuring Convercent, 3M, U.S. Bank, and L'Oréal



Training and Communication Innovations That Drive Culture
Featuring LRN, Dell, News Corp, and Louis Berger



How to Succeed in Business Without Bribery: Staying on the Right Side of Anti-Corruption Laws
Featuring Jenner & Block, GE, Sharp Electronics Corporation, and Univision

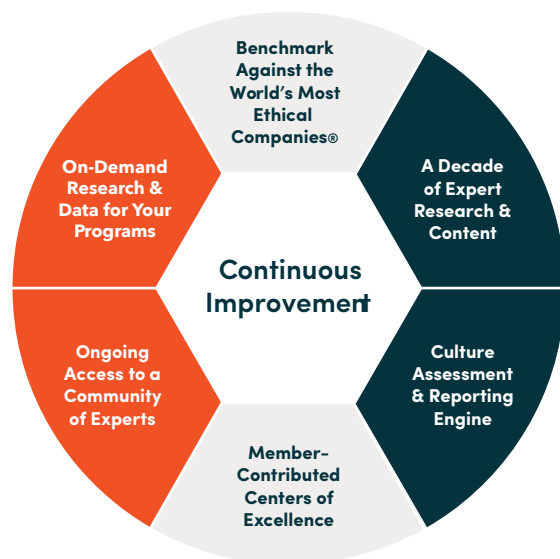


Board Partnerships That Work
Featuring PwC, Schnitzer Steel Industries, Inc., and ON Semiconductor



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.



BELA members represent 30 industries and are headquartered in 15 countries.



200
Members



Sounding Off on the Summit: What Leaders Are Saying



"The Global Ethics Summit consistently delivers a diverse and experienced group of prestigious speakers and attendees across all industries. Last year, I came away feeling energized and inspired by the people that I met and also the programs I attended, with a very long list of ideas and action items to put into practice at Leidos."

Michele Brown

SVP, Chief Ethics and Compliance Officer and Deputy General Counsel, Leidos



"The Global Ethics Summit is so timely. The staff has done a fantastic job at looking at trends and seeing not only what's happening today but what's happening tomorrow and finding world-class experts to speak very granularly on the subjects, and we leave the conversations with actionable insights."

David A. Golden

Senior Vice President, Chief Legal & Sustainability Officer, and Corporate Secretary, Eastman Chemical Company



"The expectations from the Global Ethics Summit, for me, are benchmarking, networking, and learning. When I first walked into the conference room on Day 1, as soon as I opened the door, the first person speaking is a former colleague of mine who I have stayed in touch with over the years, and to me that's a great sign of what is expected over the next few days."

Glenn Leon

Senior Vice President and Deputy General Counsel, Chief Ethics & Compliance Officer, Hewlett Packard Enterprise



"The Summit provides a great opportunity to connect with peers and to learn best practices. Each time I have attended I have learned something new and come away with some fresh thinking about how to evolve our ethics and compliance program."

Patrick Rowe

Deputy General Counsel, Accenture



[Hear more](#)



Thank You To Our Partners



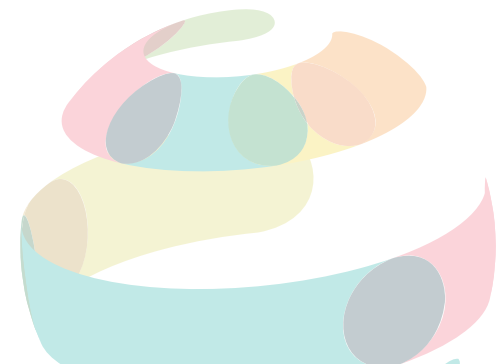
Organizations Represented In 2018

- 3M Company
- AAR Corp.
- AARP
- Accenture
- Aditya Birla Management Corporation Pvt Ltd
- AECOM
- Aflac, Inc.
- Allianz Life Insurance Company of North America
- Allison Transmission Inc.
- Allstate Insurance Company
- Alm American Lawyer Media Inc
- Alyeska Pipeline Service Company
- American International Group, Inc. (AIG)
- American Standard Companies Inc.
- Anthem, Inc.
- Apple Inc.
- Applied Materials Inc
- APTIV, PLC (formerly Delphi Automotive)
- ARM Ltd.
- Arthur J. Gallagher & Co.
- Association of Corporate Counsel (ACC)
- Autoridad del Canal de Panama
- Avnet Inc
- Baker McKenzie
- Bank of America Corporation
- Baptist Health South Florida
- Barclays PLC
- Bayer AG
- BDP International, Inc.
- Best Buy Co., Inc.
- Blue Shield of California
- BMO Financial Group
- Booz Allen Hamilton, Inc.
- CA, Inc.
- Cambia Health Solutions
- Canon USA
- Capgemini
- CareFirst BlueCross BlueShield
- Catalent Pharma Solutions
- Cementos Progreso, S.A.
- CHS Inc
- Citigroup, Inc.
- Cleveland Clinic
- Colas USA, INC.
- Colgate-Palmolive Company
- Compliance Week
- Control Risks Group LLC
- Convercent
- Cook Group, Inc.
- Cooper-Standard Holdings Inc
- Cravath Swaine & Moore LLP
- Crawford & Company
- CREATE Compliance
- Credit Suisse
- CSAA Insurance Group
- Cummins Inc
- Dell Inc.
- DTGO
- Dun & Bradstreet
- E.ON SE
- Eastman Chemical Company
- Eaton Corporation
- eBay Inc.
- Edwards Lifesciences LLC
- Elbit Systems of America
- Eli Lilly and Company
- Emergent BioSolutions Inc.
- EnerSys
- Ethical Systems
- EVERFI
- Eversheds Sutherland
- Federal Housing Finance Agency
- Fifth Third Bancorp
- Fresno Plc
- GAN Integrity
- General Electric
- Genpact
- Granite Construction Incorporated
- Greater Hudson Valley Health System
- Grupo Bimbo
- Guardian Life Insurance Company of America
- Haskayne School of Business
- HCA Healthcare
- Health Care Service Corporation (HCSC)
- Henry Schein Inc
- Hewlett Packard Enterprise
- HighPoint Global, LLC
- Hilton
- Holland America Line
- HP Inc
- I-ON ASIA
- International Centre for Sport Security (ICSS)
- IEX Group, Inc.
- informed360
- Ingredion Incorporated
- Intel Corporation
- International Flavors & Fragrances, Inc.
- International Paper Company
- J.M. Huber Corporation
- Jacobs Engineering Group Inc
- Jenner & Block LLP
- JLL
- Johnson Controls, Inc.
- Kao Corporation
- Kimberly-Clark Corporation
- KMA
- Knights of Columbus
- Kohler Co.
- KOMIPO (Korea Midland Power Co.)
- Korea Appraisal Board
- Korea East-West Power
- Korea Electric Power Cooperation (KEPCO)
- Korea Electrical Safety Corporation
- Korea Expressway Corporation
- Korea Gas Corporation (KOGAS)
- Korea Land&Housing Corporation
- Korea Plant Service & Engineering Co. Ltd
- Korea Securities Depository
- Korea Western Power
- Kroll
- L'Oréal
- L3 Technologies
- Lamprell plc
- Leidos, Inc.
- Leviton Manufacturing Co., Inc.
- LinkedIn Corporation
- Littler Mendelson P.C.
- London School of Business
- Lonza Group Ltd.
- Louis Berger
- LRN Corporation
- Luminar Technologies



Organizations Represented In 2018

- Lvmh Moet Hennessy Louis Vuitton Inc.
- ManpowerGroup Inc
- Marriott International Inc.
- Marsh & McLennan Companies, Inc.
- Massachusetts Mutual Life Insurance Company
- Mastercard International Incorporated
- Maxim Healthcare Services Inc
- MetLife, Inc.
- Michael McIntyre PLLC
- Micron Technology, Inc.
- Microsoft Corporation
- Millicom
- Mitsubishi Motors Corporation
- Monsanto Company, Inc.
- Morrison & Foerster LLP
- MTA Metropolitan Transportation Authority
- MyComplianceOffice
- National Association of Home Builders
- National Grid
- National Basketball Association
- News Corp
- NFP
- Nielsen Merksamer Parrinello Gross & Leoni LLP
- Noblis, Inc.
- Nokia Corporation
- Northwell Health
- Novartis AG
- Novateur Partners
- Novo Nordisk Inc.
- Old National Bank
- ON Semiconductor
- Oshkosh Corporation
- Pacific Life Insurance Company
- Panasonic Corporation Of North America
- Parsons Corporation
- Pathlight
- Paychex, Inc.
- PepsiCo, Inc.
- Pfizer Inc
- Philia s.e.n.c.
- PolyOne Corporation
- Post Holdings, Inc.
- Praxair Inc.
- Premier Inc
- Progressive Corporation
- Protiviti
- PRSA
- Public Service Enterprise Group Inc.
- PwC PricewaterhouseCoopers
- Quarles & Brady LLP
- Quest Diagnostics Incorporated
- QVC Inc
- Radical Compliance
- Realogy Holdings Corp.
- Republic Services, Inc
- Research Triangle Institute (RTI International)
- Rockwell Automation Inc
- SABIC - Saudi Basic Industries Corporation
- SAI Global Compliance
- Salesforce.com, Inc.
- Saltchuk Resources, Inc.
- Samsung Electronics America, Inc.
- SCCE
- Schnitzer Steel Industries, Inc.
- Sharp Electronics Corp
- SKANSKA USA
- SNC-Lavalin
- Sony Corporation
- Southern Company
- Southwire Company
- Starbucks Corporation
- Steele
- SunTrust Banks, Inc
- T-Mobile US, Inc.
- Tata Steel Limited
- TE Connectivity
- Tenneco Inc
- Teradata Corporation
- The AES Corporation
- The Boeing Company
- The Chubb Corporation
- The Coca-Cola Company
- The Hartford Financial Services Group, Inc.
- The Heico Companies, LLC
- The J.M. Smucker Company
- The Lincoln Electric Company
- The Sanford C. Bernstein & Co. Center for Leadership and Ethics, Columbia Business School
- The Second City
- Thomson Reuters
- Thrivent Financial
- TIAA
- TOTE, Inc.
- TRACE International
- True Office Learning
- Twist and Shout Media
- Tyson Foods Inc
- U.S. Bank
- Unilever
- United Parcel Service Inc
- United Services Automobile Association
- University Hospitals
- University of Calgary
- University of St. Thomas
- Univision Communications
- UPMC Insurance Services
- VF Corporation
- Visa Inc
- Vizient, Inc.
- Volkswagen Group of America Inc
- Volvo Car Corporation
- Voya Financial Inc
- Wal-Mart Stores, Inc
- Wall Street Journal
- Western Digital Corporation
- Western Union Company
- Weyerhaeuser Company
- William E. Connor & Associates Ltd.
- Workday, Inc
- Wyndham Worldwide Corporation
- Yamana Gold





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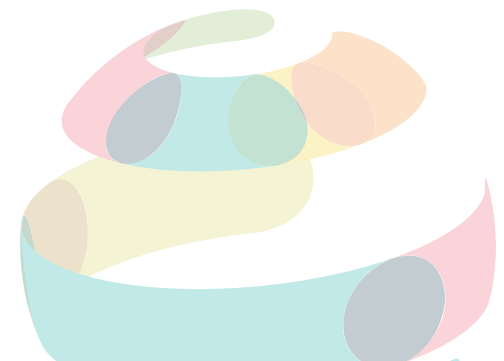
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About Ethisphere

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. Ethisphere has deep expertise in measuring and defining core ethics standards using data-driven insights that help companies enhance corporate character. Ethisphere honors superior achievement through its World's Most Ethical Companies® recognition program, provides a community of industry experts with the Business Ethics Leadership Alliance (BELA), and showcases trends and best practices in ethics with *Ethisphere Magazine*. Ethisphere is also the leading provider of independent verification of corporate ethics and compliance programs, including Ethics Inside® Certification and Compliance Leader Verification™.

More information about Ethisphere can be found at <https://www.ethisphere.com>.



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