

2020

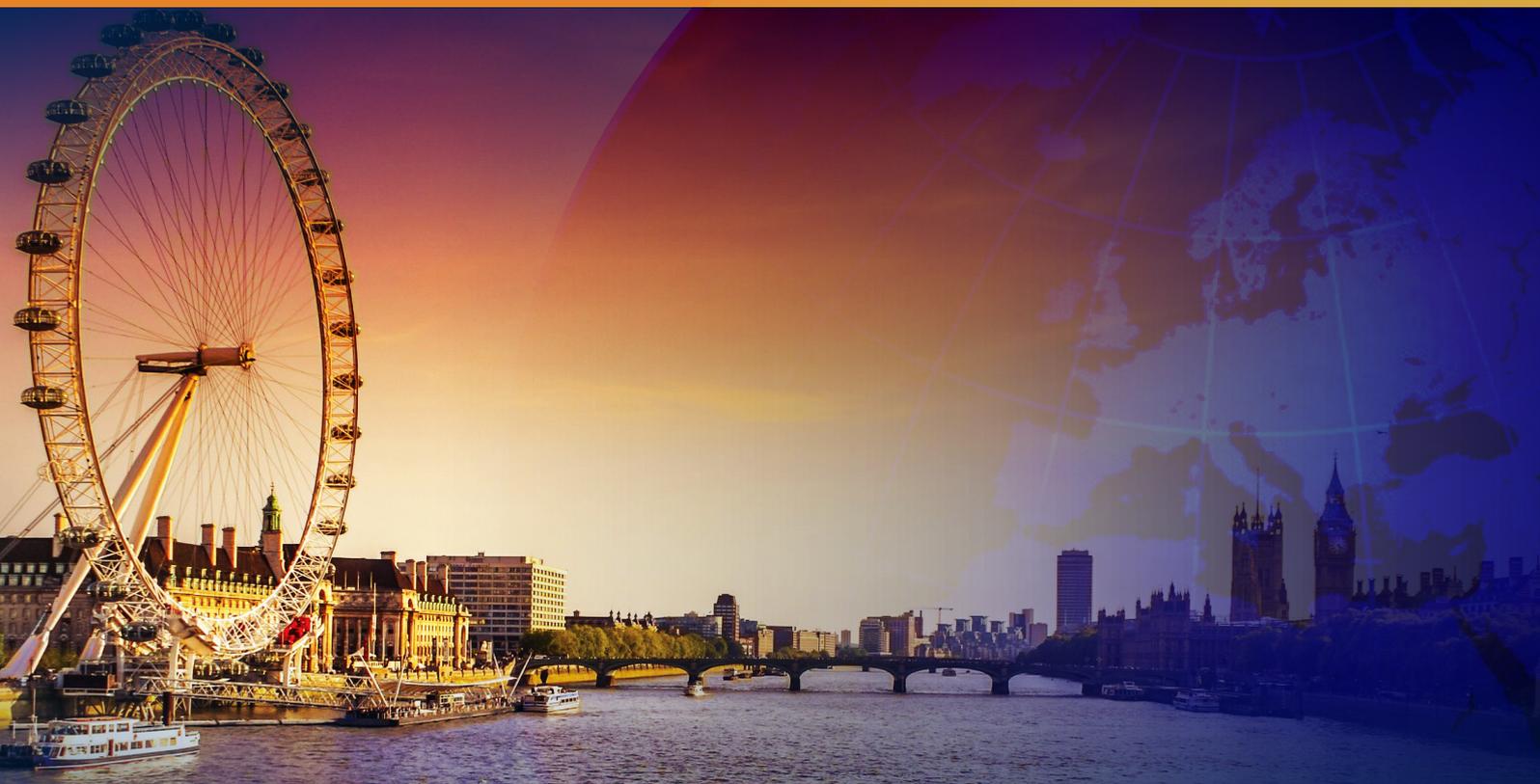


EUROPEAN  
**Business  
Ethics**  
FORUM  
**R E P O R T**

**05 – 07 February**

Park Plaza  
Victoria  
London

*Sharing Ideas & Successful Practices*



# Meet your **forum hosts**



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# Summary Report

The conference was held under the Chatham House Rule which means that participants may use and repeat what was said but they may not attribute anything by name or company. For this reason, the full report is available only to participants.

This summary report outlines the plenary sessions and the topics discussed in the breakout sessions.

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support of our 2020 EBEF  
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# Thursday

06 February

## Forum Welcome

*Philippa Foster Back, Director of Institute of Business Ethics*

Philippa welcomed the delegates to the 17th edition of EBEP, which represents an important milestone for the three organisations in the organising committee. She reminded everyone that the aim of the Forum is to network, share ideas and learn from peers. The fact that attendance is by invitation only helps support these aims, creating an environment where delegates are encouraged to share their experiences freely.

This year, about 60 delegates attended the Forum for the first time, alongside a significant group of people who were returning attendees. Philippa pointed out that this is a good starting point for the Forum, with new approaches being shared and building on what had been discussed in previous years.

Philippa concluded the introduction with a word of thanks to the sponsors BP and Thales.

## Plenary Session

### Do senior people get it? Reflections from the Chair

*Irene Dorner | Chair | Control Risks*

Irene opened her talk by sharing some stories. In 2008, she was CEO of HSBC Malaysia and she was on her way back to Kuala Lumpur after an employee event. She was asleep on the back seat of a car that was clearly recognisable as HSBC CEO's car. All of a sudden, she is woken up by her driver, who explains that the police have blocked the road and are asking for 20 Ringgit to let them go through. Her driver says he will pay them what they ask and indicates that he will expense it to the company. She does nothing to stop him.

In 2012, Irene was running the US operations of HSBC when the company was hit by a Deferred Prosecution Agreement and had to pay to the US authorities \$1.9bn (£1.2bn) in a settlement over money laundering. Behind the scenes, Irene was asked to give some 'friendly advice' to employees in NYC about some potential business in Sudan, which was in breach of trade sanctions applied to the country. Irene's strong advice was to say no, despite other banks taking a less strict approach. Eventually, those banks had to pay fines that were even higher than the one related to the HSBC Deferred Prosecution Agreement.

In 2018, Irene was Non-Executive Director at Rolls-Royce and she was nominated employee champion on the board. In that year, she prepared a written report about a bullying and harassment problem that she recognised in the organisation. This was done against the advice of some board members that thought it was inappropriate to put such an issue in writing. However, it was an eye opener for senior management, and they took a strong stance to stamp out this behaviour.

In 1983, she was working with a client that requested a loan to open a carpet factory in Nigeria. The day that the paper had to be signed, the team had to wait for over two hours before the governor of the Nigerian province who had to guarantee for the agreement turned up. Rumor had it that he had locked himself in his hotel room and refused to come out unless he was given a white Rolls-Royce as a present.

Two years later, it became clear that the whole project was a fraud and there had never been any carpet factory built in Nigeria.

These are all stories that involve senior people in difficult situations. If we ask ourselves if senior people get it, like in the title of this talk, the first difficulty that we encounter is the definition of 'it'. It is not enough to say that we will know what 'it' is when we will see it, because then it will already be too late. For example, the record fine issued upon Airbus in January shows that even when a company has all the appropriate processes and procedures in place, they might not catch 'it'. It also illustrates that sometimes 'black and white' situations are not as easy as we might think.

Many organisations have all the processes in place. The difficult question is: how do they use them? The challenge is to create an environment where issues can be raised and good behaviour is celebrated. All organisations have to expect possible ethical issues arising. Companies are only as good as their people, and especially as the weakest link in the organisation. Furthermore, there are situations where the line between good and bad behaviour is not clear cut. How would you define a good line? How likely it is that everyone in an organisation agrees with that definition?

Irene explained that senior leaders should look for processes, policies and procedures in an organisation to understand whether ethics is taken seriously. However, this is not enough. This is the baseline, which needs to be brought to life. Another clear example of this is Wells Fargo. They had all the right things in place, but there was no common sense applied to the decision-making. As a rule of thumb, if something looks too good to be true, generally it is.

Bringing these policies to life is a matter of leadership. There is not a silver bullet, CEOs and senior leaders need to find what works best in their organisations. This can be difficult for ethics and compliance officers, who find themselves being an advisor to the CEO. There are several aspects that senior leaders should keep in mind. Diversity, in the broad sense, is key to the success of the organisation. It creates better debate, positive challenge and progress. A lack of diversity brings about the risk of group think.

Values are also important. However, Irene specified that by this she is not referring to a set of words on a wall. Intangible words might mean different things in different cultures. People need to hear stories that explain the organisation's values in practice. Communicating the actions is important. Taking the example of the whistleblowing line, what happens to the data? Should they be communicated to the board and senior leadership team (yes they should!)? How long does an investigation typically last?

Similarly, looking at staff surveys, it is important to provide an answer to questions such as: what is the participation rate? Are there some areas where participation is particularly low? What have we done with our employees' feedback?

Irene said that boards sometimes can have a negative attitude because there are things that they don't know. They know that they don't know, but they don't know how to find out. One way of addressing this problem is through the employee champion on the board.

After the actions, there have to be consequences. They might be either good or bad consequences, but they need to be visible and fair. Organisations are collections of people and people are never straightforward. This is especially true when you deal with people from different cultures and countries.

In conclusion, Irene went back to the initial question: do senior people get it? Yes, but not necessarily all of them and all of the time. A team effort is needed to keep everyone on track. Leadership requires a lot of courage to do the right thing, even in those situations where this is at your own personal detriment. But this is not enough. As a leader, then you need to have the resilience to see it through.

## Concurrent Facilitated Discussions

### Psychological & physical safety: what are the core values of an organisation that can induce an open and safer future and staff well-being?

*Facilitator: Peter Carden | Group Business Management System and Risk Principal | Mott MacDonald*

*Moderator: Simon Webley | Institute of Business Ethics (IBE)*

*Rapporteur: Linn Byberg | Institute of Business Ethics (IBE)*

### What are other ways, besides looking at ‘speaking up’ data, of assessing the effectiveness of our ethics programmes?

*Facilitator: Brice Gaudin | Group Compliance Officer International | Naval Group*

*Moderator: Pascal Cescon | Cercle d’Ethique des Affaires (CEA)*

*Rapporteur: Guen Dondé | Institute of Business Ethics (IBE)*

### Maintaining an ethical corporate culture throughout a global company

*Facilitator: Nicole Sourgens | Directrice Ethique et Compliance | ERAMET SA*

*Moderator: Hilde Luystermans | Cercle d’Ethique des Affaires (CEA)*

*Rapporteur: Anonymous Rapporteur*

### Doing effective ethical due diligence on suppliers

*Facilitator: Clare Farley | Ethics & Compliance Manager | BP*

*Moderator: Philippa Foster Back | Institute of Business Ethics (IBE)*

*Rapporteur: Steven Pegg | Lockheed Martin*

### What are effective ways to train new recruits (anywhere in the world) about corporate ethical standards?

*Facilitator: Jo Anne Hennigan | Ethics Director | Michelin*

*Moderator: Florence Sumaray | Ethics and Compliance Initiative (ECI)*

*Rapporteur: Jen Whitmore | Lockheed Martin*

### Beyond GDPR: lessons learned from the implementation of privacy and data collection policies

*Facilitator: David Wilson | Head of Risk, Security & Compliance | Serco*

*Moderator: Guendalina Dondé | Institute of Business Ethics (IBE)*

*Rapporteur: Norman Good | The Boeing Company*

### Harnessing the digitalisation: how a “big” decentralised international company kick-started its portfolio of E&C tools

*Facilitator: Xavier Hubert | Ethics, Compliance and Privacy Director | ENGIE*

*Moderator: Jean-Baptiste Siproudhis | Cercle d’Ethique des Affaires (CEA)*

*Rapporteur: Seyrade de Rudelle | ENGIE*

## Applying values and ethics in the public and international humanitarian sector

*Facilitators: Myriam Baele | Senior Advisor, Ethics Office | United Nations High Commissioner for Refugees*

*Helmut Buss | Director, Ethics Office | United Nations High Commissioner for Refugees*

*Moderator: Philippa Foster Back | Institute of Business Ethics (IBE)*

*Rapporteur: Linn Byberg | Institute of Business Ethics (IBE)*

## Plenary Session

### How will the growing use of Artificial Intelligence (AI) change the way organisation's work? What will be Ethics and Compliance role in this?

*Natacha Lesellier | VP – Ethics Programs | L'Oréal*

*Nicolas Miaillhe | Co-founder & President | The Future Society*

*Anne-Violaine Monnié-Agazzi | Group Ethics Officer | Capgemini*

Natacha opened the session by asking the panellists to define Artificial Intelligence and why it is relevant to Ethics and Compliance practitioners.

Nicolas explained that the problem is that there is no standard definition for it. We live in the age of massive algorithmic correlation, driven by Big Data and machine learning-centric, which is powered by scalable high-performance computers. This has the potential to empower your company to achieve more with less resources. However, increasingly complex algorithms present the risk of becoming black boxes.

At the moment, a comprehensive legal framework to regulate the use and development of Artificial Intelligence is yet to be developed. Where can boards find guidance to fulfil their fiduciary duty in a changing environment where the role of AI is increasingly prominent? This is where ethics is important.

Anne Violaine talked about some work that Capgemini has done to promote ethical use of AI. In the new report from the Capgemini Research Institute, *Why addressing ethical questions in AI will benefit organisations*, the Institute surveyed 1,580 executives in 510 organisations and over 4,400 consumers internationally, to investigate the existence of ethical issues in AI, to assess the importance of pursuing ethics in AI from a business perspective (Trust) and identify how organizations can start to address ethics in AI more proactively. 62% of consumers will place higher trust on the company if they perceive AI-enabled interactions as ethical. However results show that most organisations have encountered ethical issues in AI over the last two to three years.

Most executives (77%) are uncertain about the ethics and the transparency of their AI systems and executives in nine out of ten organisations are aware of at least one instance of the use of AI systems that resulted in ethical issues.

Furthermore, the pressure to implement AI is fuelling ethical issues: executives identify this pressure as the top reason why ethical issues arise from the use of AI.

Given this background, Natacha asked the panel to discuss what could be done about it.

Nicolas explained that there are some reference points that can be taken as a start. There are laws that have been developed in this space (e.g. GDPR). However, it is important to be aware that a lot of grey areas remain. For instance, GDPR does not cover all possible issues in terms of data portability or 'explainability'.

Non-binding principles for AI that go above and beyond laws and regulations have also been created. By way of examples, Nicolas mentioned the OECD AI principles, UNESCO universal ethical principles, the Montreal Declaration of the Responsible Adoption of AI and the work done by the European Commission. He highlighted that different organisations speak to different communities and, therefore, there is no ‘one size fits all’ approach. However, it is important that these principles are articulated and the way in which they overlap shows that we are heading in the right direction.

Anne Violaine explained that ethics has been at the core of Capgemini culture since its foundation and that they use AI significantly in their work for clients. They are in the final phase of formulating as to what the position of the company is, and what it means in practice, with the direct involvement from their Board Chairman & CEO. They looked at it from 3 angles:

1. What does the business see as being ethical issues related to AI ?
2. Which of their Values should be mobilized, put into action ? Among the Group’s 7 Values, Honesty, Trust, Modesty and Boldness are the most relevant.
3. What has been developed, written in this space by academic, NGO, companies ? They found that the European Commission HLEG ethics guidelines for trustworthy AI were well articulated, very relevant. And the closest to their Values, culture. Then they thought about each principle specifically for Capgemini business.

These principles include four ethical imperatives:

1. Respect for human authority
2. Prevention of harm
3. Fairness
4. Explicability

The panel agreed that, given the developmental stage we are at with this topic, there is an opportunity to get ethical principles right, unlike with many other issues. This topic also paves the way for collaboration between different sectors and industries. At this point, moving from principles to practice is key to build the infrastructure of trust.

The differences between self-, soft- and hard regulation were also discussed. In particular, Nicolas outlined the differences between light-touch regulation (more common in the US) and hard-stance regulation (like in the EU). A good way of bringing the two together would be to have a good regulation that is applied in a flexible way.

In Davos this year it was presented with an AI Toolkit that helps companies protect society and their business (Empowering AI Toolkit). It aims to help companies make informed decisions about AI solutions that protect the customer and shareholders.

Anne-Violaine presented an Ethical AI Playbook prepared by an international team of young talents, to bring teams together in an organization to co-develop ethics by design AI through a series of design led thinking exercises.

She added that the piloting phase to test the European Commission’s High-Level Expert Group assessment list of Ethics Guidelines for Trustworthy AI ended on December 1, 2019. This list contains the key requirements that an ethical AI system should meet and provides guidance for their practical implementation.

In the piloting phase, around 700 voluntary participants (both private and public organizations) provided feedback to the HLEG, which will now prepare a revised version to be proposed to the European Commission in early 2020. The objective is to develop a playbook that organizations can use to assess the level of compliance of their AI systems and applications with the ethics guidelines. The questions included in the assessment list cover seven areas:

- Human agency and oversight
- Technical robustness and safety
- Privacy and data governance
- Transparency
- Diversity, non-discrimination, and fairness
- Societal and environmental well-being
- Accountability

# Friday

07 February

## Plenary Session

### Managing and measuring the ethical culture of organisations: pitfalls and lessons

*Muel Kaptein | Professor of Business Ethics and Integrity Management | RSM Erasmus University Rotterdam, The Netherlands*

Muel opened this session by saying that his collaboration with the IBE goes back a long way and he dedicated his talk to Simon Webley, IBE Research Director, as a way of thanking him for his pioneering work in this field.

After sharing with the audience some humorous cartoons on business ethics, he asked delegates three questions:

- How important is the ethical culture of an organisation?
- How important is to measure it?
- How often is it done?

He pointed out that there is a growing expectation that companies do measure their culture. Guidance on this has been issued in many different countries around the world (among the others, he mentioned the FRC in the UK, the Central Bank of Ireland, the Dutch Central Bank, etc), including specific guidelines for individual sectors.

It is a very important exercise because it helps improve the ethical culture of an organisation and, as a consequence, ethical behaviours become more common. However, often the trigger of a culture assessment in an organisation is a big scandal or a crisis. Muel argued that the business case for it is very strong and he suggested a few reads that support this claim. An example is the book: *Build to Last: successful habits of visionary companies* by Collins and Porras.

Research shows that a corporate ethical culture supported by an effective ethics and compliance programme has an impact on the organisation in many ways: less misconduct, increased willingness to report incidents internally, improved employee engagement and retention, more innovation and a more positive reputation.

Muel then discussed ten lessons that can help an organisation to measure and manage its culture effectively.

**Lesson 1: Use a model for managing and measuring the ethical culture.**

This model could be either developed ad hoc, or an existing one. In particular, there are eight factors that influence culture:

1. Clarity
2. Discussability
3. Role modelling
4. Supportability
5. Feasibility
6. Transparency
7. Addressability
8. Enforcement

Measuring culture means understanding the extent to which these elements are addressed.

**Lesson 2: Use a multi-dimensional model**

The model needs to cover several aspects of the culture of the organisation to provide a reliable picture. As an example, Muel presented the Ethics Thermometer, which he developed to map corporate culture. It consists of the standardised questionnaire containing about 200 propositions, the responses to which are ranked on a scale from 1 (disagree completely) to 5 (agree completely). The thermometer is distributed among staff to ascertain their perception of the guidance that they receive from the company. In addition, the questionnaire asks the employees to indicate the extent to which they feel that immoral behaviour in respect of the three dimensions occurs in their immediate working environment and what the consequences are for the stakeholders.

As a result, for example, looking at the eight dimensions illustrated in Lesson 1, we are able to say that supportability is currently best embedded, while feasibility and transparency are the least embedded.

**Lesson 3: Measure ethical culture frequently**

Culture needs to be measured on a frequent basis so that it is possible to track improvements. For instance, in the banking sector the dimension that has improved the most since the financial crisis is feasibility (probably because more resources have been put into it), while clarity has even deteriorated. This might be because there are too many rules and therefore it becomes difficult for people to understand what they have to do.

**Lesson 4: Have a corporate ethical culture that supports the E&C programme**

A business code of ethics is widely regarded as an important instrument to curb unethical behaviour in the workplace. However, a code by itself is not sufficient to promote ethical behaviour and prevent unethical behaviour. It is important to make sure that the code and the other elements of the ethics programme are effective in preventing unethical behaviour.

**Lesson 5: Do not use the frequency of reported incidents to the ethics office(r) and line as indicator for the ethical culture of a company**

According to Muel's research, this number of reported incidents is the same in ethical/unethical culture, but the number of actual incidents are higher in the unethical culture. Therefore, it is not a reliable measurement.

**Lesson 6: Prevent that the ethical culture becomes too good**

When an organisation experiences the opposite than the eight dimensions of Lesson 1, then there might be problems. In particular, this would mean:

1. Ambiguity
2. Muteness
3. Bad role-modelling
4. Animosity
5. Scantiness
6. Opaqueness
7. Avoidance
8. Laxity

However, having too much of one of the eight dimensions can also be problematic. This would lead to issues such as:

1. Patronisation
2. Talkativeness
3. Pompousness
4. Zealotry
5. Lavishness
6. Overexposure
7. Meddlesomeness
8. Oppressiveness

**Lesson 7: Measure the ethical culture of a company also on a team level**

This can add a more detailed understanding of the ethics of an organisation, which is necessary for more customised and effective management interventions and to find out whether various teams within an organisation can have different ethical cultures.

**Lesson 8: Focus on improving the dimensions of ethical culture that have the highest impact (and not those that are least embedded)**

For example, Muel's research highlighted that in the Dutch society only six of the dimensions mentioned in Lesson 1 have a significant impact on behaviours (namely, discussability, role modelling, supportability, feasibility, addressability and enforcement). So focusing on clarity and transparency in that context would not be as effective.

**Lesson 9: Use different types of interventions for improving every dimension of the ethical culture**

The results from previous lessons will provide a good idea of what should be improved and how different elements of an ethics programme can impact and improve the eight dimensions identified in Lesson 1. Research shows that each dimension of ethical culture can be improved by different instruments. For example a code of conduct improves clarity, and a dilemma-app discussability.

**Lesson 10: Take ethics measures in the right sequence**

The sequence in which the different measures and components of an ethics programme matter to determine the effectiveness of those measures. For instance, research shows that the code of ethics and ethics values should always come first. There is no point in setting up a comprehensive monitoring procedure if your organisation lacks the basic guidance on what ethical behaviour is.

## Concurrent Facilitated Discussions

### In handling claims of harassment, how can fairness be seen to be maintained?

*Facilitators: Rebekah Coleman | Group Head, Ethics & Compliance | Johnson Matthey*

*Philippa Kramer | HR Director for JM Corporate and a member of JM's Ethics Panel | Johnson Matthey*

*Moderator: Guendalina Dondé | Institute of Business Ethics*

*Rapporteur: Susanne Sprenger | ASML*

### Identifying your corporate approach to human rights

*Facilitators: Tanja Craig | Senior Manager, Corporate Compliance | OSI Systems*

*Sandra Middel | Group Compliance Officer | Clariant*

*Moderator: Philippa Foster Back | Institute of Business Ethics (IBE)*

*Rapporteur: Maxime Berlingheri | L'Oréal*

### How can ethics officers use data analytics to draw more rigorous compliance insights?

*Facilitators: Norman Good | Sr. Director, Ethics and Business Conduct and Corporate Investigations | The Boeing Company*

*Eugene Soltes | Jakurski Family Associate Professor of Business Administration | Harvard Business School*

*Moderator: Casey Williams | Ethics and Compliance Initiative (ECI)*

*Rapporteur: Anonymous*

### Maintaining values in performance management: coping with competitive pressures

*Facilitator: Stéphanie Scoupe | Head of Ethics | ADP GROUP*

*Moderator: Pierre Fize | SNCF*

*Rapporteur: Dan Johnson | Institute of Business Ethics (IBE)*

### What are the conditions that really help to make ethics ambassadors effective?

*Facilitator: Nicola Fusch | Ethics and Compliance Officer Germany Hub | Eli Lilly and Company*

*Moderator: Casey Williams | Ethics and Compliance Initiative (ECI)*

*Rapporteur: David Wilson | Serco*

### Getting senior management to commit to ethics programmes in all corporate locations

*Facilitator: Mike Seabrook | UK Company Secretary | Thales UK*

*Moderator: Florence Sumaray | Ethics and Compliance Initiative (ECI)*

*Rapporteur: Linn Byberg | Institute of Business Ethics (IBE)*

## ‘Speak Up/Listen Up’: how to maximise staff engagement in creating an open culture

*Facilitator: Natacha Lesellier | VP - Ethics Programs | L'ORÉAL*

*Moderator: Benoît Mercier | Global Compliance Officer | Dassault Systems*

*Rapporteur: Guendalina Dondé | Institute of Business Ethics (IBE)*

## Chief Ethics Officer (and function) independence in difficult times

*Facilitator: Yvonne Hilst | Ethics & Compliance Officer | VEON*

*Moderator: Philippa Foster Back | Institute of Business Ethics (IBE)*

*Rapporteur: Stephanie Scoupe | ADP*

## Plenary Session

### Making connections: importance of ethics teams forming strong working relationships with other functions (HR, Legal, Audit, Risks, etc)?

*Andrew Hogg | Deputy Chair, Group Ethics Committee | TOTAL S.A.*

*Matthias Klein | Audit Director | Faurecia*

*Dominique Lamoureux | President | Cercle d'Éthique des Affaires (CEA)*

This session explored the need for the Ethics Team to work collaboratively with a number of other functions within an organisation in order to be effective. For this reason, there are specific skills that an ethics officer needs to develop, liaising with, among others, internal audit, legal and compliance, HR, etc.

Dominique opened his talk explaining that we are entering a new era with regards to the governance of organisations. In particular, he mentioned the concept of liquid modernity developed by Zygmunt Bauman to characterise modern global capitalist economies, defined by increasing privatisation of services and by the information technologies.

Therefore, Dominique argued that organisations need to redefine how they deal with this changing environment and with different stakeholders, particularly in a context where governments are increasingly weak compared to large multinational organisations. As a result, companies are considered increasingly responsible for larger phenomena.

A quote by Isaac Newton is particularly appropriate. He said that “we built too many walls and not enough bridges”. Building bridges, metaphorically speaking, is the task of ethics officers. In Dominique’s experience, there is the risk that the ethics function gets swallowed up by the legal function. Often, this is exemplified by the number of employees in these two functions (in the region of 1-200 for legal, less than ten for ethics).

In our society, we can identify hard laws and soft laws. There are plenty of examples of situations that are legal but not ethical (Dominique mentioned cluster munitions as an example). Therefore, the law (or the legal department) is not enough. We need collective intelligence to tackle complex issues.

Dominique concluded by quoting Antoine de Saint-Exupéry: “If you differ from me, my brother, far from hurting me, you enrich me.”

Andrew discussed some examples of how collaborations between ethics and other functions in the business can be strengthened via initiatives that lend themselves to a very collaborative approach. An example is the Business Ethics Day, which is held in December annually and runs across all locations in Total. It features initiatives such as Q&A sessions with senior leaders and live chats with representatives of the ethics department, legal and human rights. It also includes a 'business ethics village', aimed at encouraging employees to meet functional leaders and debate ethical issues with them.

For example, the 2019 theme was Speak Up. All functions were asked to contribute to this. Human Resources, for instance, had a very important role given that about 50% of Speak Up cases were HR-related. This was a good opportunity for HR to promote the work they are doing to address issues such as harassment in the workplace.

Another important collaboration is with the Internal Communications department, building on their expertise in shaping ethics messages and disseminating to the workforce globally.

Being open and generous with information and data internally was mentioned by Andrew as key in promoting effective collaboration between the ethics function and other departments in the business. The insights that ethics departments have of the functioning of the business is important management information that, carefully shared, can improve business & ethical performance.

"Recognizing and harnessing their expertise, seeking the win-wins and sharing our insights generates enthusiasm and support for the ethics agenda from our leaders and colleagues in the functions" said Andrew.

Finally, Matthias highlighted the importance of the collaboration between ethics and the internal controls functions and, in particular, on the importance of being clear about the division of tasks between different functions.

When a complaint is lodged through the speak up tools, there are different functions that could possibly step in. Therefore, it is important that there is clarity in terms of the process applied in those cases and that this process is updated regularly depending on the needs of the organisation. For instance, within Faurecia it was decided to create an independent investigations team within internal audit.

Conducting a root-cause analysis of the issues is also very important. Depending on its outcome, the relevant functions should be involved. Other collaborations that are key for the ethics function are with compliance and with risk management.

## Looking Ahead: recent lessons and new challenges

To wrap up this year's forum, three senior conference participants were invited to share their highlights of the two days in London, as well as the challenges they are expecting to face in 2020.

### *Jo Anne Hennigan | Ethics Director | Michelin*

- Jo Anne said that this Forum has been a wonderful experience for her. In particular, she enjoyed the mix of high level strategic discussions and operational ones.
- She said that the only 'downside' is that attendees come to the realisation that there are so many more things that they could be doing as part of their ethics programme!
- A particularly important takeaway for Jo Anne is that data could be used more effectively, especially in terms of the definition of priorities and to build the business case internally.

### *Steve Scarpino | Director, Ethics & Compliance, Global Programme's Officer | BP*

- Steve said that Forums like this one are what really helped him getting started at the beginning of his career. He praised the fact that it provides a great opportunity to share good practice and challenges, and to discuss new ideas with peers.
- There were two points that were particularly useful for Steve. The first was about measuring culture and the different dimensions that should be taken into account to do so effectively. The second point was about the use and development of AI and, in particular, the need to always have a human in the room to take accountability for the outcomes.

### *Belinda McGuinness | Group Integrity Officer | Macquarie Group Limited*

- Belinda said she was particularly impressed with the quality of the speakers. Irene showed how powerful good storytelling can be and her talk really resonated with many attendees, particularly when she highlighted that core values are important, but organisations need to make sure that those values are well embedded in practice.
- Belinda also found very useful the insights from the discussions about the development of Artificial Intelligence, as well as the ideas shared by Muel Kaptein about measuring culture. The concept that organisations need to use multi-dimensional models and avoid using the frequency of reported incidents as an indicator was very insightful.
- Belinda said that she took away some good ideas in terms of how to use data to communicate to the board. The sessions about ethics committees and the use of ethics ambassadors were also very useful.

## **Forum Dinner**

Dinner on Thursday evening was held at the Drapers' Hall.

# Speakers



## Irene Dorner

*Chair*

### **Control Risks**

Irene was appointed Chair of Control Risks, the global risk consultancy in 2017. She also sits on the Boards of Axa and Rolls Royce as an independent director. Until the acquisition by CYBG Irene was Chair of Virgin Money. She is the Chair elect of Taylor Wimpey and will take up that role early in 2020.

Graduating from St. Anne's College, Oxford in 1976 with a BA in Jurisprudence, Irene joined the banking industry in 1979 after practising as a Barrister at Law in London. In 1992, she moved from her role as Head of Legal in the investment banking arm of HSBC into a variety of business and support roles within HSBC in the Commercial, Retail and Investment businesses.

She was appointed Deputy Chairman and CEO of HSBC Bank Malaysia in 2007 then CEO and President of HSBC USA in 2010 and Group Managing Director of HSBC Holdings until retiring from the role in 2014. In 2012 Irene was named Most Powerful Woman in Banking by American Banker and she was recognised with American Banker's Lifetime Achievement Award in 2014.

Irene is on the Board of the South East Asia Rainforest Research. She is an Honorary Fellow of St Anne's College Oxford and chairs their Development Board.



## Natacha Lesellier

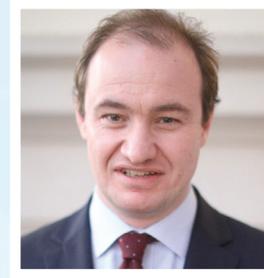
*VP - Ethics Programs*

### **L'ORÉAL**

After a legal career in France and the United Kingdom, Natacha Lesellier joined L'ORÉAL in 2001 as International Human Resources Senior Counsel.

Since 2007, she is responsible for L'ORÉAL's Ethics Program (communication, training, policy-making and handling L'OREAL's Speak Up whistleblowing line, Ethics Correspondent Network), reporting to Emmanuel Lulin, L'OREAL's Chief Ethics Officer.

Natacha Lesellier was short-listed in 2014 for Compliance Officer of the Year by Women in Compliance. She helped set up "Pratiques Ethiques", an exchange forum for leading Ethics and Compliance Professionals of leading French multinationals.



## Nicolas Mialhe

*Co-founder & President*

### **The Future Society**

Nicolas Mialhe co-founded The Future Society in 2014 and incubated it at the Harvard Kennedy School of Government. An independent think-and-do-tank, The Future Society specializes in questions of impact and governance of emerging technologies, starting with Artificial Intelligence through its "AI Initiative" launched in 2015. A recognized strategist, thought-leader, and implementer, Nicolas has lectured around the world, and advises multinationals, governments and international organizations. He is the co-Convener of the AI Civic Forum (AICF) organized in partnership with UNESCO and Mila, and of the Global Governance of AI Roundtable (GGAR) organized yearly during the World Government Summit in Dubai. He is also a Steering Committee member of the AI Commons partnership, a member of the AI Group of experts at OECD (AIGO), of the World Bank's Digital Economy for All Initiative (DE4ALL), and of the Global Council on Extended Intelligence (CXI). Nicolas teaches at the Paris School of International Affairs (Sciences Po), at the IE School of Global and Public Affairs in Madrid, and at the Mohammed bin Rashid School of Government in Dubai. He is also a member of three committees of the IEEE Global Initiative on Ethically Aligned Design of Autonomous & Intelligent Systems, a Senior Research Associate with the Program on Science, Technology and Society at Harvard, and a Fellow with the Center for the Governance of Change at IE Business School in Madrid.

Speakers *continued*

## Anne-Violaine Monnié-Agazzi

*Professor of Business Ethics and Integrity Management*

**VP - Group Ethics Officer  
Capgemini**

Anne-Violaine Monnié-Agazzi supervises Capgemini's worldwide network of Ethics & Compliance Officers. As Group Ethics Officer, building on the company's commitment to its 7 core values, she is responsible for developing a sustainable ethical culture across a multicultural company of over 200,000 team members in more than 40 countries. She leads Capgemini's Ethics program, which includes risk assessment, policies, communication and training programs. She directed the global launch of the SpeakUp ethics helpline, which is available to all Capgemini team members and external stakeholders, and is developing guidelines for a code of ethics for AI, in the light of the company values. Capgemini is among the World Most Ethical Companies® as recognized by the Ethisphere Institute in 2019.

Before taking on the role of Group Ethics Officer in 2018, Anne-Violaine was a member of Capgemini's Group Corporate Social Responsibility board, responsible for the creation of Capgemini's Integrated Report.

Since she joined Capgemini in 1995, Anne-Violaine has held various executive positions in the finance, corporate and operational functions.



## Muel Kaptein

*Professor of Business Ethics and Integrity Management*

**RSM Erasmus University  
Rotterdam, The Netherlands**

Muel Kaptein is a Professor of Business Ethics and Integrity Management at the RSM Erasmus University Rotterdam, The Netherlands.

He is also a partner at KPMG Integrity & Compliance where he and his team support clients in developing and assessing their integrity and compliance. Muel co-founded KPMG Integrity & Compliance in 1996.

Muel is author of eight books and 50 scientific articles. Muel has developed multiple models and tools to develop and measure the ethics of organisations.



## Andrew Hogg

*Deputy Chair,  
Group Ethics Committee*

**Total S.A.**

As Deputy to the Chairman of the Group Ethics Committee, Hogg works with senior leaders and employees to help them make the right ethical decisions. Via a global network of ethics officers, he promotes Total's business ethics policies, working across a wide range of cultural and professional contexts. He also ensures the practical application of the principles and values of the Group Code of Conduct through managing ethics communication, assessment and alert programs worldwide.

He has led change management projects since 1997 in a variety of contexts including company & trade association reorganisations, merger and acquisitions, re-branding and in 2017-2018 as Communication, Culture & Change Management lead during the Total-Maersk Oil integration. As Total Group Director of Education from 2015-2017 he was responsible for setting strategy and delivery of Total's global higher education policy whilst building the Group's reputation as an employer of choice. Between 2013-2015 he was Vice President for HR & Communications for Total E&P Canada, based in Calgary. From 2007 to 2013, he was Vice-President, Communications for Total Exploration & Production globally. He joined Total in 2003 as Public Affairs & Corporate Communications Manager for the UK.



## Matthias Klein

*Audit Director*

### **Faurecia**

Matthias Klein became Group Internal Audit Director of Fraud and Task Force at Faurecia on April 1, 2019. In this role, he is responsible for investigations of serious and complex fraud cases as well as special engagements. Prior to this role, he was Group Internal Audit Director for Eastern Europe at Faurecia and was responsible for all internal audit activities in this region.

Before joining Faurecia, Matthias served as Head of Corporate Audit for Greater China at SAP. In this role, he managed fraud investigations and operational audits in Greater China. Previously, he established the internal audit function for one of SAP's subsidiaries.

Preceding his time at SAP, Matthias served as the Head of Corporate Audit for the commercial vehicles division of MAN. In this role, he was responsible for internal audit activities within the commercial vehicles and financial services divisions.

Prior to joining MAN, Matthias worked in the semiconductor industry as Internal Audit Manager at AMD. He began his career with DaimlerChrysler Financial Services as a Financial Analyst.

Matthias received his B.A. from Manchester Metropolitan University, UK. He also holds Master degrees from Ecole Supérieure de Commerce, Montpellier, France and from Europa-Universität Viadrina, Frankfurt (Oder), Germany.



## Dominique Lamoureux

*President*

### **Cercle d'Éthique des Affaires**

Dominique Lamoureux, an international ethics expert, has chaired since 2017 the French association the *Cercle d'Éthique des Affaires*. From 1994 to 2005 he was General Secretary of Thales International and from 2005 to 2019, Vice President, Ethics and Corporate Responsibility for Thales, a global technology leader in Aerospace, Transport, Defence and Security markets with reported sales of 19bn€ in 2018.

He is member of the Board of the French Institute for Higher National Defence Studies (Institut des Hautes Etudes de Défense Nationale - IHEDN) and the Strategic Council of the French Anticorruption Agency. He has systemically been deeply involved in numerous international governmental and business organisations, thereby monitoring the emergence of new industry standards and best practices in economic and strategic intelligence, as well as the prevention of corruption. He is a member of the "Corporate Responsibility & Anti-Corruption" committee of the International Chamber of Commerce (ICC) and chairs the French Chapter. He is also a member of several commissions for the French business confederation (MEDEF). He is Vice-Chairman of the *Association des Auditeurs en Intelligence Economique* de l'IHEDN and an Officer of the French Legion of Honour and of National Order of the Merit.

# More about your **EBEF** hosts



ÉTHIQUE & CONFORMITÉ DES ENTREPRISES

## Le Cercle d'Éthique des Affaires (CEA) of France

**The Cercle d'Éthique des Affaires was founded in 1993 and is the longest serving Ethics and Compliance Association in France. In 2011, its Articles of Association were amended to keep abreast with the evolution of the profession with the goal to become a leading think tank where researchers and practitioners freely exchange on Ethics and Compliance so as to strengthen the integration of Ethics and Compliance into managerial decisions.**

The CEA is first and foremost a trusted place where Ethics and Compliance professionals i.e. officers in corporations and organisations come to meet their peers, discuss, benchmark, learn, share, etc. on a confidential basis, in various formats especially designed for them.

The CEA offers various activities to help strengthen its members' professional practice from "reflecting" on prospective topics at "Conférences Prospectives" (Prospective Discussions), to "learning" about a new law, or "doing" practical case studies, or "sharing" by conducting specific benchmarks in small working groups at the "Ateliers Pratiques" (Practical Workshops). The CEA also organises book reviews with writers in the "Librairie de l'Éthique" (Ethics Book Club), and an annual Conference between Academics and Practitioners. The 2019 Conference was on Ethics & Artificial Intelligence. In 2019, the CEA also launched the Generation Ethics Initiative where junior Ethics and Compliance professionals meet to grow their network and share their fresh views on the profession.

The CEA partners with other organisations such as the IBE and ECI. In 2013, it became the French Chapter of European Business Ethics Network.

It also participates in numerous conferences to influence public and private decision-makers in order to reinforce the position of Ethics and Compliance in corporations and organisations.



## Ethics & Compliance Initiative (ECI) of the United States

**The Ethics & Compliance Initiative (ECI) is a best practice community of organizations that are committed to creating and sustaining high quality ethics & compliance programs. With a history dating back to 1922, ECI brings together ethics and compliance professionals and academics from all over the world to share techniques, research and, most of all, exciting new ideas.**

ECI is the leading provider of independent research about workplace integrity, ethical standards, and compliance processes and practices in public and private institutions. Our research includes the long-standing National Business Ethics Survey® (NBES) of workplace conduct in the United States and the more recent Global Business Ethics Survey® (GBES) of workplaces in leading world economies.

ECI assists organizations in building strong cultures and developing High Quality Ethics & Compliance Programs (HQPs) in line with the five pillars identified by an ECI Blue Ribbon Panel. Embracing these pillars as our own operational standard, ECI provides organizations with tools and benchmarking services that enable them to assess the relative strength of their culture and program, identify areas for attention and stay abreast of new developments and best practices.

ECI also supports E&C officers, individual practitioners, academics and thought leaders with a full calendar of educational programming, networking and idea exchange opportunities and professional certification services. Ours is a vibrant and active community of professionals that shares knowledge encourages thoughtful innovation and explores new ideas to help organizations and individuals meet key objectives.

ECI is comprised of the Ethics Research Center (ERC), the Ethics & Compliance Association (ECA) and the Ethics & Compliance Certification Institute (ECCI), and is based in Vienna, VA, USA.



## Institute of Business Ethics (IBE) of the United Kingdom

**The Institute of Business Ethics, whose purpose is to promote high standards of business behaviour based on ethical values, is an important partner to any business wanting to preserve its long-term reputation by doing business in the right way.**

For over 30 years, the IBE has advised organisations on how to strengthen their ethical culture by sharing knowledge and good practice, resulting in relationships with employees and stakeholders that are based on trust.

We achieve this by:

- Acting as a critical friend to organisations we work with
- Advising senior business leaders and those with responsibility for developing and embedding corporate ethics policies
- Supporting the development of these policies through networking events, regular publications, research and benchmarking as well as training
- Providing guidance to staff through bespoke training and decision-making tools
- Educating the next generation of business leaders in schools and universities

The IBE is a registered charity (Company Number 11594672 and Charity Number 1180741) supported by businesses and individuals making a donation to the Institute.

# 2020 EBEP Organising Committee

## Cercle d'Éthique des Affaires

### Dominique Lamoureux

*President*

**Cercle d'Éthique des Affaires (CEA)**

### Marie A. Vieitez

*Ethics, Compliance & Corporate Responsibility Director,  
MBDA Group*

**Cercle d'Éthique des Affaires (CEA)**

## Ethics & Compliance Initiative

### Florence Sumaray

*Director of Marketing*

**Ethics & Compliance Initiative (ECI)**

### Casey Williams

*Events Manager*

**Ethics & Compliance Initiative (ECI)**

## Institute of Business Ethics

### Jo Bridge

*Events Coordinator*

**Institute of Business Ethics**

### Guendalina Dondé

*Head of Research*

**Institute of Business Ethics**

### Alex Johnson

*Marketing & Events Manager*

**Institute of Business Ethics**

### Philippa Foster Back CBE

*Director*

**Institute of Business Ethics**

### Simon Webley

*Research Director*

**Institute of Business Ethics**



# Amsterdam

# 2021

03 – 05 February

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More information to come on the EBEF website: [www.ebef.eu](http://www.ebef.eu)