

PCF 2016

**Mini Summit III: New
Ethics-Based Approaches to
Policies**

Our Panel

Moderator:

- **Anthony Greco, PwC**

Our Panelists:

- **Mike Ace, Eli Lilly**
- **Seth Whitelaw, Whitelaw Compliance Group, LLC**
- **Himani Shah, AstraZeneca**

Survey Question #1

In one word, how would your company's employees describe your current compliance policies?

Survey Question #1

Results

Survey Question #2

Our topic today is “New Ethics-Based Approaches to Policies”

Please tell us which of the following is top of mind to you regarding to this topic?

- Global Policy Simplification
- Global Policy Framework / Structure
- Shift from rules to judgement based policies
- Addressing various employee needs in policies

Survey Question #2

Results

Survey Question #2a ***Policy Simplification***

Many of you have expressed interest in talking further about policy simplification.

Could you tell us where your company currently is on its policy simplification journey?

- Idea / Concept
- Planning – Kick-off
- In the middle of an implementation
- Recently Completed (though it never truly ends)

Survey Question #2a

Results

Survey Question #2b ***Policy Simplification***

What challenges or barriers are you most concerned about before moving forward with Policy Simplification?

- Lack of Leadership Support
- Geographic / Regional Challenges
- Implementation / Technology
- Translation / Culture
- Lack of cross-functional support (including subject matter experts)
- Budget / Resources

Survey Question #2b

Results

New Ethics-Based Approaches to Policies

Global Policy Simplification

Global Policy Framework / Structure

Shift from rules to judgement based policies

Addressing various employee needs in policies

Survey Question #3

Now that we've completed our session on “New Ethics-Based Approaches to Policies” what will be your be your next step in addressing any challenges you may have with your policies:

- Conduct a readability survey
- Initiate a policy simplification process
- Incorporate values based considerations during annual policy reviews
- Discuss policy strategy with CCO and compliance team members

Survey Question #3

Results

Thank You!