


Building Culture through Communication and Engagement

Keturah Pestel ~ March 2, 2018 ~ SCCE Regional Conference


Agenda



Practical Tips for Success

- ▶ My Background
- ▶ Smart Idea Sourcing
- ▶ Communication that Works
- ▶ Building Champions
- ▶ It Starts with One Step

▶ My Background



How to leverage what you've got

- ▶ Project Management → Ethics Program Leader
- ▶ Launched Thrivent's Code of Conduct in 2006
- ▶ Worked solo until sabbatical (2013-2015)
- ▶ Thrivent added part-time staffer in 2014
- ▶ Transitioned to alternate staffing model in 2016
- ▶ Created Business Ethics & Legal Support Office in 2017; Lead Ethics portion + full time Sr. Specialist

► Smart Idea Sourcing



Philosophy: Don't Create What You Can Edit

- Industry networking groups (forums, newsletters, Daily Digest, conversations, etc.)
- Conferences, seminars and webinars
- Industry Peers
- Awards (e.g. Ethisphere WME application)
- Training (repurpose content; consider off the shelf)
- Books, blogs, podcasts, articles, TED Talks



4

► Communication that Works



Know Your Audience; Pick Channel(s)

- Communications from your group (draft your own or use turnkey content)
 - Daily News (intranet articles, targeted emails, newsletter)
 - Training (yours and that owned by others)
 - Blogs
 - Manager toolkit
 - Lunch and Learns
- Special Events
- Roadshows
- Cultivate champions to carry your message



5

► Samples of Success since 2006



Training (at launch and then annually)

- Varied format
 - CBTs (most frequently)
 - In person discussions (every 4-6 years)
 - Internal development vs. vendor content
- Interactive, targeted subject matter
- Utilize evolving best practice training techniques
- sometimes internal development, sometimes vendor
- Periodic manager training
- Sometimes solo content owners and sometimes partner with other business areas



6

► 2018 Training



Meeting in a Box Format

- Recorded a “Talk Back” session after the 2017 annual ethics event
- Former HealthSouth CFOs Aaron Beam and Weston Smith talked about their experience and lessons that could be applied at work
- Table Talk sessions throughout the 1 hour session provided discussion opportunities
- Intention: opportunity to discuss the gray w/ peers
- Feedback: *I came in apprehensive, but this was the best training I've had. This training was not a waste of my time.*



7

► Samples of Success since 2006



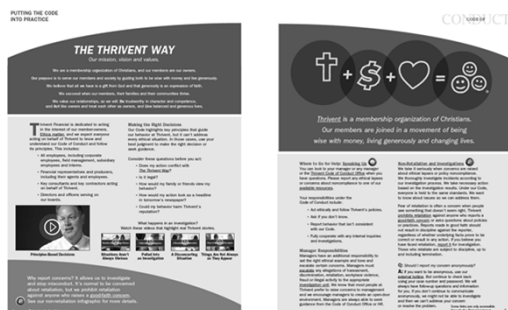
Internal Communication

- Intranet websites
 - FAQs
 - Resources
 - Self-service guides
 - Policy links
 - Collateral links (Code of Conduct, escalation chart, hotline)
 - Training information
 - Archived newsletters, ethics events
- Articles
 - Annual communication/reminders (e.g. gifts policy in November)
 - Ethics Awareness Month, Training Launch, Special Events



8

► **Thriventcodeofconduct.com**
External Hotline & Publically Available Resources



9

► Self Serve Resources

Decision Tree: Giving Gifts & Business Entertainment

Making the right call for business gifts and entertainment can get a little tricky. Use this interactive chart to help you make the right choice. Still confused? Contact the Code of Conduct Office for guidance at Box Code of Conduct or ext. 844-5505.

Is there potential for:

- A conflict of interest?
- Could you sue?
- Retaliation or harassment?
- Is the gift cash or a cash equivalent (including gift cards or a gift certificate)?
- Would the gift or entertainment be considered lavish?
- Is it something unsavory, sexually oriented, illegal, or that otherwise counters *The Thrivent Way*?

☐ Yes
☐ No

Back

Resources

- Gifts and Business Entertainment Policy Guidelines
- Gifts and Business Entertainment Infographic
- GEL-UP
- State Specific Guidelines
- Compliance Manual/WRPs for Registered Reps

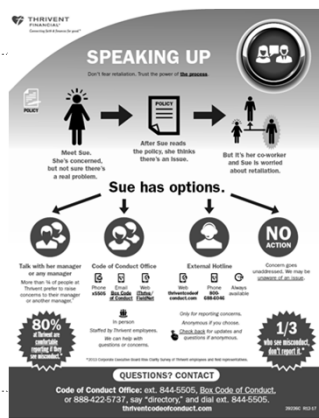


10

Infographics publically available
at Thriventcodeofconduct.com

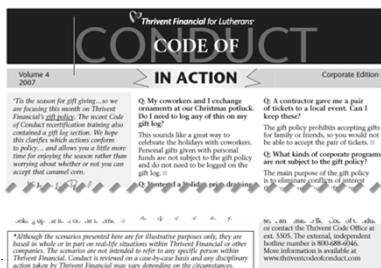
Key Policies

- Frequently asked about
- People should know (but don't)
- Things they might worry about



► Newsletters and Blogs

- Initially started with lengthy disclosure
- Over time, got buy-in to just share stories



12

► **Newsletters and Blogs**

- Real stories build confidence in your processes
- Share good as well as bad
- Anonymized information is fine



The case of the spilled wine

At an out-of-town business dinner a few years ago, a junior-level member of a vendor team accidentally knocked over a bottle of red wine. It landed squarely on a Thrivent leader, ruining her clothing.

The business partner apologized profusely and offered to pay for dry cleaning expenses. The Thrivent leader politely refused.

The next morning, she found two \$100 Visa gift cards under her door from the business partner. She knew it was against corporate policy to accept gift cards, and sought out the business partner to return them. He refused to take them back.

Upon returning home, the leader contacted the Code of Conduct Office to determine an appropriate solution. After listening to her story, Keturah suggested that she keep one card to cover the cost of the ruined garment and donate the other to a nonprofit of her choice. "The employee used sound business judgment in getting us involved up front to find an acceptable resolution in line with our principles-based policy," Keturah said.

13

► **Samples of Success since 2006**

Roadshows

- At program launch and periodically since
- With Executives (annually- initially discussed Ethics Perception Survey results; now discuss that and/or culture trends, flags, concerns, investigations)
- With divisions or departments
- Following launch of something new
- Newly acquired business entities
- Boards of Directors of parent company and subsidiaries

What can you use to create a natural connection point?

14

► **Sample Roadshow Slide**

CODE OF CONDUCT OVERVIEW

We promote trust throughout the organization by creating a comfortable place for people seeking legal support, guidance on business ethics or who wish to report a concern.

- Doing what's right (common sense)



- Following the law



- Asking if you don't know



THRIVENT
FINANCIAL

15

► Samples of Success since 2006



Ethics Perception Surveys

- Utilized Corporate Executive Board (now CEB Global/Gartner) and Ethisphere
 - First survey in 2008; repeated annually then stretched to biannually over time
- Provided objective feedback about our own ethical perceptions and differences among divisions/sales groups
- Open ended comments helped convince leaders we needed to share more real stories (to help build confidence that our processes worked as we said)
- Primary focus: Organizational Justice and Comfort Speaking Up



16

► Samples of Success since 2006



Ethics Awareness Events

- March (Financial Services); September (SCCE)
- Initially just a poster and article
- 2012: started annual Ethics Awareness Event
 - Recorded for later playback
 - Ethics speakers (experts and convicted felons who have served their time)
 - Leader panel
 - Decade Retrospective
 - Opening the Black Box (Investigations Process)
 - Case Studies (real cases from our company and the news)



17

► **Ethics Event Posters**

Opening the Black Box: What really happens during an investigation?

Don't miss our Ethics Awareness Month event! Thivent Elevated takes reports of misconduct seriously. We open investigations as needed and strive to find the facts so we can take the appropriate action. Come to hear:

- Welcome and overview by President and CEO Bob Heuser
- Real stories from Thivent employees who have raised concerns, been threatened, or had to manage the outcome of an investigation
- A panel of in-house investigators addressing real questions about investigations

Submit your questions in advance to: [Box Code of Conduct](#)

Wednesday, March 7
2-3 p.m.
Minneapolis Auditorium
Appleton A103-A106
Videoconference and livestreamed

Questions? Total Box Code of Conduct or call ext. 5505.
Presentation also will be videotaped for later viewing.



Case Studies: Real Examples, Real Lessons



The 2013 Ethics Awareness Event is Monday, April 1. We'll use both Thivent examples and external examples as the basis for our ethics discussion. Come learn how delays in raising concerns can lead to significant downstream impact and how early alerts can result in better outcomes for everyone—the concerned individual, work group, alleged offender and Thivent.

Monday, April 1
10 to 11 a.m.
Minneapolis Auditorium
Appleton A103-106

The video conference will be live streamed and recorded for later viewing.
Questions? Total Box Code of Conduct or call ext. 5505.



18

► Ethics Event Posters



This interactive case study discussion explores why good people and organizations can act unethically. The case studies provide a foundation for an analysis regarding how the breaking of ethical diversity within organizations can prevent the slippery slopes that lead to administrative and/or unethical behavior.



Guest speaker: David Schultz
 • Professor, Southern University
 • Department of Political Science
 • Ethics Journal of Public
 • Affairs Education
 • National Endowment for the
 • Humanities Program Winner

Join us for the March
Ethics Awareness Month event

COOKING THE BOOKS

The rise and fall
of HealthSouth Corp.



Hear the story of HealthSouth, one of America's largest and most successful healthcare services providers. Aaron Barm and Martin Smith, former CEOs and convicted felons, share how they became part of a \$2.8 billion accounting fraud one of the largest in American history and the lessons they learned.



Sign up via the Planner.

BREAKAWAY SESSION:
Discuss ethical scenarios and "what if" situations.
3 to 2 p.m.



19

Overcoming Objections

How do I get buy-in?

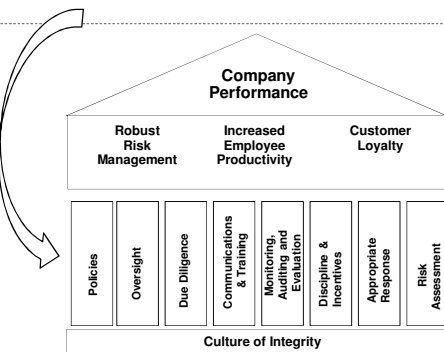
Generally

- Appeal to best practices, legal requirements & outside sources
- What are others doing, how is it helping (and how didn't it hurt)
- Board or Executive mandates help
- Demonstrate value add (and risk avoidance)
- Team: start with what you can control
 - Ensure your team is engaged. If it's just you, or you and a manager, it's critical that your manager supports you.
 - **Start with just one thing.** Build success one piece at a time.



20

Federal Sentencing Guidelines



3/2/2018

► Creating Champions



Winning Management Support

Counter objections with data

- Increased engagement
- Higher ethics survey scores (focus especially on organizational justice and comfort speaking up)
- Problems that have come from ethics failures
- Best practices examples
- Where it hasn't gone wrong
- Start with something smaller and less controversial or at a level they will support even if it's not everything you want.



22

► Creating Champions



Winning Business Partner Support

- Can you help solve their problems?
 - Ideally, get a champion to help you
 - Barring that, create a champion. What are their concerns? How can you address them?
 - What would they support? Can you do it together?
 - Would it be better to draft something and run past them for support/review? Or would it be easier to try something you control and show them it worked?
 - I: Is, group meetings (Harmonization Team)



23

► Where do I Start?



There's never enough (time – people – resources)

- Start with one thing
- Modify something you already do
 - E.g. training - can you have a mini-module?
- Can you write one article or one email (adapt to your corporate culture/norms)?
- Can you adapt/reuse/share one item with managers?
E.g. ECI case study #RespectAtWork see ethics.org
- Ask your champions to help



24

Questions?



2015 Annual Conference • 25

Contact Information



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