



Balancing the scales between Compliance and Ethics

JANE MITCHELL
DIRECTOR, JL&M LTD, KARIAN
AND BOX LTD.

ROBERT SMITH
DIRECTOR BUSINESS COMPLIANCE
AND ETHICS, SERCO GROUP PLC

ECEI AMSTERDAM 2020

1

Question One

Brainstorm and capture your definition for...

GROUP 1	GROUP 2
...Compliance	...Ethics

You have 5 mins to agree on your definition

2

Question Two

In your groups, tackle the following:

GROUP ONE

How does **ETHICS**
impact organisational
culture?

GROUP TWO

How does
COMPLIANCE impact
culture?

You have **5 mins** to capture YOUR top THREE ways

3

Question Three

Capture the key responsibilities you believe...

GROUP 1

...a Compliance and
Ethics Department has in
shaping a high-
performance culture

GROUP 2

...leaders have in
shaping a high-
performance culture

You have **5 mins** to agree on your top three responsibilities

4

Question Four

Brainstorm and capture...

...three things you believe could connect a
Compliance and Ethics Department and
Business Leaders to
embed a high performance culture

You have 5 mins to agree on your top three connections

5

Question Five

Individually capture...

...one thing you will now do to better balance
ethics (culture) and compliance
in your organisation

You have 1 min to note your key action

6

