

## Day 1, April 18<sup>th</sup>, 2024

09.00 – Opening Remarks from the Chair  
**Jeffrey Cottle**, Partner, **Eversheds Sutherland**

### 09.15 – Leadership Compliance Accountability : Addressing Workforce Expectations

- From HR to compliance: what are the transferable skills?
- Compliance and the ‘employee experience’
- Generational and cultural compliance considerations
- Leadership and the compliance landscape: a complex relationship

**Howard Gibson**, Chief Compliance Officer, **Landis+Gyr**

### 10.00 – Listening for a Change – Understanding the Barriers of Traditional Whistleblowing Approaches

**Martijn Boone**, Enterprise Sales Director, **SpeakUp**

### 10.45 – panel: Setting up a Governance, Risk and Compliance Function in a Complex Business

- Dealing with a decentralized structure: several disparate systems/datasets
- GRC at the HQ level versus the local level: bridge the gap
- How we bring GRC to the 1<sup>st</sup> line of defense under challenging conditions

**Pedro Montoya Santos**, Chief Compliance & Risk Officer, **Ferrovial**

**Victor Garcia**, VP Internal Audit & Risk Management, **Archroma**

**Kurt Wellens**, Head of Assurance, **TVH Parts Holding NV**  
**Mark Olaf Schmitz**, Division Compliance Officer, **Hexagon**

11.30 – Morning Coffee and Networking

### 12.00 – Intersection of GRC and Economic Sanctions: Current Status of Sanctions & “Horizon Scanning”

**Jeffrey Cottle**, Partner, **Eversheds Sutherland**

### 12.45 – Translating a Traditional Compliance Program to a Modern Progressive Business

- Dealing with increased contact with the public sector
- Working with public officials in very small towns who are less informed about Ethics & Compliance (training our compliance people to inform the officials)
- Working with a very young generation workforce
- Very fast growth leading to fast recruitment and the compliance requirements
- Trainings in-person vs. on-line
- Focus on DEI (diversity, equity inclusion)
- Working with newer technologies

**Dr. Patricia Bailey**, Compliance Officer, **RWE Renewables**

13.30 – Lunch Break

### 14.30 – Case Study: General Internal Compliance Review

- Where to start and whether to contract external advisors (including costs and internal effort)
- Suggested steps and results, including management interviews
- Typical issues and how to prepare for them.
- Follow up reviews for specific compliance issues
- Outlook

**Isabel Ann Giancristofano**, Director Legal & Compliance, **Condor**

**Thomas Dahm**, Legal Counsel, **Condor**

### 15.15 – Information Security’s Independence from IT: Myths and Reality – Case Study

- Background and context: why was this on the pipeline, factors that made this a legitimate discussion
- Objectives in the change, and levers to decision-making.
- The human impact of a change that touches upon People, Processes and Organization.
- Pro-cons of the change
- The new focus for Information Security: risk and business. Creating the new vision and getting the buy-in

**Ramon Serres**, Information Security Director, **Almirall**

16.00 – Afternoon Coffee Break

### 16.30 – Elevating the Robustness of the Internal Control System to New Heights (and get a better quality of sleep at night)

- Creating an iterative virtuous cycle involving risk identification, testing activity prioritization and mitigations needed to elevate the robustness of the Internal Control System
- Building on the newly developed Non-Financial Risk Management framework to better understand drivers of Non-Financial Risks and mitigation of business vulnerabilities
- Shifting from risk controlling to risk management focusing on preventive controls and effectiveness to determine remedial actions and improvements with clear accountabilities
- Deriving clear Non-Financial Risk appetite and better risk prioritization through a 5-year fully risk-based control testing plan
- Creating one single platform for top management to understand, discuss and take actions on the Governance & Control framework

**Cristian Galizzi**, SVP, Global Head of Non-Financial Risk Management, **IVU**, Functional Enablement, **Allianz SE**

### 17.15 – A Strong Enterprise Risk Management (ERM) Strategy for the Current Times

- Dealing with high level of uncertainty and complexity
- Leveraging the full potential of technology, including AI
- Building resilience in the extended enterprise
- Integration with financial steering
- Value of integrated assurance/GRC capabilities

**Jennie Wallin**, Head of Business Risk, **Vattenfall**

18.00 – Closing Remarks from the Chair and End of Day 1 Reception

## Day 2, April 19<sup>th</sup>, 2024

09.00 – Welcome from the Chair

**Howard Gibson**, Chief Compliance Officer, **Landis+Gyr**

### 09.00 – Integrating ESG into Compliance and Risk (Fostering ESG into the Business)

**Annette Schueller**, Attorney-at-Law, and Former Group Head of Ethics & Compliance and ERM, **Givaudan**

### 09.30 – Implementing the Requirements of the Supply Chain Due Diligence Directive

- Identifying actual or potential negative impacts on human rights and the environment: taking appropriate measures to prevent, mitigate and remedy them.
- Integrating due diligence into company policies and management systems.
- Establishing a procedure for complaints accessible to everyone in the supply chain
- Providing transparent and public information on the due diligence obligations AND control and monitor the effectiveness of these measures

**Dominik Becker**, Chief Compliance Officer, **Grohe**

### 10.15 – How to Build an Effective and Sustainable Ethics & Compliance Program that Meets the Expectations of Enforcement Authorities

**Stefan Hoffmann-Kuhnt**, Head of BA & GF Compliance Office, **Ericsson**

11.00 – Morning Coffee and Networking

### 11.30 – Behavior and Cultural Risk Management: “Soft” Governance

- Embedding integrity, motivation, discipline, transparency, and independence
- Key practices to achieving the correct culture and behavior
  - Leadership and tone from the top
  - Trainings, honest communications
  - Incentives/compensation
  - Additional “soft” controls

**Dr. Julia Wernicke**, Head of Data Protection, DPO, **Berlin-Chemie Menarini**

### 12.15 – Combining the 2nd and 3rd Line of Defence Activities Successfully

Combining the second line and third line activities as an efficient way to strengthen the control environment and to change the reputation of the internal audit function

**Victor Garcia**, VP Internal Audit & Risk Management, **Archroma**

13.00 – Lunch Break

### 14.00 – Ethics & Integrity in the Workplace

- Internal regulatory framework: is it clear and accessible, is there transparency?
- Strategic moments to introduce and embed the internal regulatory framework
- Different stakeholders that need to be involved to achieve penetration of the framework into the employee community
- The framework is breached, what now? Reporting, investigation, resolution, closing the incident, corrective and preventive measures
- Room for improvement? Asking the users of the system

**Carmen Ortiz de Ciolac**, Senior Compliance Counsel – EMEA, **ASICS Europe**

### 14.45 – Predictive Compliance Models using AI Enabling Continuous Monitoring: *Breaking Biases & Golden Standards*

Overview of OECD Best Practices in Anticorruption with a specific use case application; in detail:

- the Business at OECD Manifesto “Zero Corruption” → Focus on Rule #7: “Tech for Trust & Transparency”
- the Business at OECD Paper “Digital technologies for the promotion of the fight against corruption – a business perspective” → Focus on Autostrade per l’Italia Use Case

**Valerio Fedele**, Head of Group Internal Control System & Reporting, **Autostrade per L’Italia**

15.30 – Closing Remarks from Chair and End of Forum