Markkula Center
for Applied Ethics
at Santa Clara University

COMMUNICATION ON ENGAGEMENT (COE)

Period covered by this Communication on Engagement
From: October of 2018 to July of 2021

Part I. Statement of Continued Support by the Chief Executive or Equivalent

July 12, 2021

To our stakeholders:

I am pleased to confirm that the Markkula Center for Applied Ethics at Santa Clara University reaffirms its support to the United Nations Global Compact and its Ten Principles in the areas of Human Rights, Labour, Environment and Anti-Corruption. This is our Communication on Engagement with the United Nations Global Compact. We welcome feedback on its contents.

In this Communication of Engagement, we describe the actions that our organization has taken to support the UN Global Compact and its Principles as suggested for an organization like ours. We note a substantial increase in the direct engagement with corporations, both those in the Global Compact and others. Due to the nature of the work we do, most of these engagements occur under nondisclosure agreements which prevent our ability to share the specifics. This is a growing area the Center is dedicating resources to, as the explosion of interest in technology-related issues and those surfaced by a global pandemic have placed increased demands on our ethics professionals to support business efforts.

Our work remains complementary and supportive of the UNGC's 10 core principles, addressing the critical issues of human rights, labor policy, environmental protection, and global corruption, among others. Our Center brochure presents the mission and purpose of the Center, as well as a review of the areas of our work, available at: https://www.scu.edu/ethics/about-the-center/overview/

Our 2019-2020 Annual Report of our Center gives an up-to-date review of our major accomplishments. This can be accessed at: https://www.scu.edu/ethics/annual-report/

We are glad to provide any additional information on our work and provide counsel to others seeking to work in the same field. The Center's website is www.scu.edu/ethics and inquiries can be addressed to ethics@scu.edu.

Sincerely yours,

Don Heider, PhD
Executive Director

Part II. Description of Actions

Describe below the actions your organization has taken in support of the Global Compact. It is strongly recommended that the actions taken are related to one or more of the specific activities suggested.

- Incorporate the GC principles into internal operations and communicate progress following the COP requirements (required):

  In the past two years, the Center offered Ethics Spotlights, providing in-depth analysis of ethical issues from a multi-disciplinary perspective, engaging the Center's staff and faculty scholars, and occasional guest contributors. Ten of the 23 spotlights prepared over the past two years have directly addressed matters highlighted by the principles of the UN Global Compact. Each of the spotlights touched on at least one of the 17 Sustainable Development Goals.

  The Center adheres to guidelines outlined by the national Standards for Excellence® programs, following best practices and procedures for nonprofits in the areas of mission, strategy, and evaluation; leadership, board, staff, and volunteers; legal compliance and ethics; finance and operations; resource development; and public awareness, engagement, and advocacy. These best practices align with and uphold the 10 Principles and ensure that the Center is promoting the Principles in its internal operations.

  During the past year, the Center has reviewed its primary technology, its Framework for Ethical Decision Making. A revision will be forthcoming shortly that adds a sixth lens to the paradigms offered in the framework to provide a more comprehensive guide, and one that better reflects global perspectives.

- Promote the GC and its principles through one of the following activities

  - Deliver education on topics related to the Global Compact:
    The Center hosted 10 programs focused on the ethical impact of AI, which relates to Principles 1, 6, and 9. Several of these had overlapping themes related to human rights, the environment, or anti-corruption, such as "AI and Hiring: Automating Second Chances" and "AI Ethics, Law and Human Progress." Additionally, we hosted an annual meeting of Jesuit business ethics academics from around the globe in July 2019, titled "Ethics in the Age of Tech, Disruption, and Artificial Intelligence." This conference touched on topics of Silicon Valley technological disruption, included a visit from Tyler Shultz, the whistleblower in the Theranos case. Shultz also visited us in October 2018, his first public speech about his role in the case. The Center, in collaboration with scholars at two other Jesuit universities, prepared a case on Theranos, which is one of the top-rated on Ignited, the Jesuit Business Ethics network and also available on the Markkula Center website.

    The center hosted a wide range of events, over a dozen, exploring technology ethics, in addition to those thus mentioned, which supported Principles 1,3, 6,9,10 including "Who Profits from Industry," "Content moderation Policy and Solutions" and "The Ethics of Future Employment."

    We continued programs about free speech and civil discourse, relating to Principles 1, 2, and 6; such as "Staying with the Trouble: Disinformation Campaigns Rewired for the Digital Age" and "Social Media and Free Speech."

    We covered workplace diversity and structural racism and sexism, including gender and racial bias in the venture capital industry, which relates to Principles 1, 2, 5, and 6 in

events such as “Catholics and the Challenge of Racism” and “Nevertheless She Persisted,” Women Leaders in Tech.”

The Center has also held several events on environmental responsibility, including student projects on environmental ethics which upholds Principles 7, 8, and 9 including “After Paradise: Ethics and the Future of Wildfires in California,” and participation in 6 weeks of campus-wide environmental programming.

The center hosted 5 events on corporate fraud, and our ethics experts continue to do work to bring awareness to anti-corruption through articles on our website and events, relating to Principle 10. Details regarding events follow at the communication’s conclusion.

- Conduct applied research and thought leadership in relation to the Global Compact:

  Center Director of Technology ethics Brian Patrick Green has published extensively on matters related to the environment, artificial intelligence, and technology ethics. Selected recent publications include “Ethics in Technology Practice” The Markkula Center for Applied Ethics, with Center Director of Internet Ethics, withIrina Raicu and Shannon Vallor, https://www.scu.edu/ethics-in-technology-practice/
  “Artifical Intelligence, Decision-making, and Moral Deskilling, The Markkula Center for Applied Ethics, March 15, 2019, https://www.scu.edu/ethics/focus-areas/technology-ethics/resources/artificial-intelligence-decision-making-and-moral-deskilling/
  “Global Solutions vs.Local Solutions for the AI Safety Problem, in the journal Big Data and Cognitive Computing, February 20, 2019, https://www.mdpi.com/2504-2289/3/1/16
  “Islands as refuges for surviving global catastrophes” in the journal foresight, March 11, 2019 https://www.emerald.com/insight/content/doi/10.1108/FS-04-2018-0031/full/html?fullSc=1andmbSc=1andfullSc=1)
  “Self-preservation should be humankind’s first ethical priority and therefore rapid space settlement is necessary,” which published in Futures, Volume 110, June 2019, https://doi.org/10.1016/j.futures.2019.02.006 and a forthcoming book publishing on September 16, 2021, *Space Ethics.*

  The Center’s Assistant Director of Journalism and Media Ethics, Anita Varma, has published about the role of journalism in upholding human rights, including
  “The constructive role of journalism: “When empathy is not enough: The possibilities for solidarity in the San Francisco homeless project,” in the journal Journalism Practice, Volume 13, January 2, 2019
  https://www.tandfonline.com/doi/abs/10.1080/17512786.2017.1394210
  “Native advertising and the cultivation of counterfeit news” in the journal Journalism, volume 20, January 2019
  https://journals.sagepub.com/doi/full/10.1177/1464884918807345 and
  “Evoking empathy or enacting solidarity with marginalized communities? A case study of journalistic humanizing techniques in San Francisco” in the journal Journalism Studies, Volume 21, September 9, 2020,
  https://www.tandfonline.com/doi/abs/10.1080/1461670X.2020.1789495

  The Center’s Inclusive Excellence Postdoctoral Fellow in Immigration Ethics published his dissertation, “An Eco-Political Theory of Territory,” in June, 2020 at the City University of New York. https://academicworks.cuny.edu/gc_etds/3811/ exploring the linkage between people’s territorial rights and their linkage to ecological sustainability.

  Ann Gregg Skeet, Senior Director of Leadership Ethics, published “Managing organizational ethics: How ethics becomes pervasive within organizations.” in the February 2021 edition of Business Horizons, Volume 64, Issue 1, titled
  https://doi.org/10.1016/j.bushor.2020.09.008

This in-depth research conducted in 2017 developed an organizational culture framework for businesses to look to when managing and establishing their corporate cultures. A subsequent research effort by The Leadership Ethics program focusing on leadership beliefs and competencies, with a focus on the current dilemma many in leadership positions face about when to take a personal or organizational stand on social issues, has been completed. Both of these projects support contribute to the reduction of corruption in business settings. Additionally, the research published in Business Horizons identifies that companies that recognize a fundamental human right of moral autonomy in decision-making create a condition that supports the use of ethics.

Skeet was a lead author on a paper published by the World Economic Forum, in collaboration with the Markkula Center for Applied Ethics and Deloitte, "Ethics by Design: An organizational approach to responsible use of technology," in December 2020. Skeet also published "Defining a Healthy Organizational Culture," The Markkula Center for Applied Ethics, October 25, 2019, https://www.scu.edu/ethics/culture-assessment-practice/defining-healthy-organizational-culture/

- Provide support to UN Global Compact business participants in their own sustainability implementation and disclosure efforts: The Center provides educational and research opportunities with a variety of UNGC business participants, including Cisco Systems, Intel, Microsoft, Salesforce, VMWare, Coca-Cola, Boston Consulting Group, BT Group, and NetHope.

- Join and/or Propose partnership projects on corporate sustainability
  - Since our last report, the Center has made a significant contribution to collaborating with the World Economic Forum and many companies that are Global Compact members, including Microsoft and Salesforce, to provide leadership to the Responsible Use of Technology project at the forum's Centre for the 4th Industrial Revolution in San Francisco. We hold seats on the steering committee, have led project work streams, which included the publication of two in-depth case studies of IBM and Microsoft, in addition to the paper already mentioned. The collaboration is ongoing and has included a number of Center staff.
  - We have done significant work in the realm of ESG, including environmental corporate commitments.

In 2017, the Markkula Center for Applied Ethics was selected to join the Partnership on Artificial Intelligence to Benefit People and Society, a consortium of major companies and nonprofits devoted to formulating best practices for the use of AI. The Center's work on AI brings together many of our program areas, from Technology Ethics to Character Education, from Bioethics to Internet, Government, and Business Ethics. Ann Skeet was a lead author of a "Framework for Promoting Workforce Well-being in the AI-integrated Workplace, https://www.partnershiponai.org/workforce-wellbeing/, published in August 2020, providing a conceptual framework and toolkit for employers, workers and other stakeholders to identify human and labor rights as artificial intelligence becomes more commonplace in business settings.

- Engage companies in Global Compact-related issues:

The above programs, events, and research all engage companies on the issues related to the 10 Global Compact Principles. Additionally, the Center has a business ethics internship program that connects Santa Clara University undergraduate students with experiential learning opportunities in Silicon Valley businesses, which helps to expose students to ethical dilemmas in the workplace. This helps create awareness of human and labor rights, corporate obligations to the environment and anti-corruption efforts in business early in their careers. Over the period covered by this report, interns have been placed at Intel, Cisco (UNGC members), and Adobe, XCEO, and KLA Tencor.

Our newest method of contribution is engaging with companies one-on-one to help them with matters of ethics. This has included everything from training on using ethics in the development of new technologies and products, assessing culture to insure labor rights are protected and to prevent workplace discrimination, joining or advising corporate ethics councils focused on tech ethics and anti-corruption, training professional services firms who in turn work with their clients to insure ethics is used in decision making. Since our last report we have counseled 13 companies, including the development of materials designed specifically for practice-oriented ethics training programs within the tech industry, and members of the Center's staff have been deploying them in some of the world's most innovative companies.

- Provide commentary to companies on Communications on Progress:

- Center staff have been regular participants on panels both hosted by the Center and by other organizations addressing human rights, the environment, and anti-corruption.

- Join and/or support special initiatives and work streams:

  As mentioned, Partnership on AI, World Economic Forum and various industry and academic partnerships have been supported since our last report.

Part III. Measurement of Outcomes

Please use the box below to include the most relevant qualitative and/or quantitative indicators to measure the outcome of the activities described in Part II above.

- Launched a Corporate Culture Self-Assessment program to aid companies in anti-discrimination and anti-corruption efforts and to support their goals in human rights and protection of the environment.
- Launched a new focus area on Immigration Ethics
- Developed a new online resource for educators: New Teaching Note on the Theranos Case:
- 13 corporations hired the Markkula Center for Applied Ethics for ethics expertise
- 490 stories by or quoting Center staff appeared in global media annually
- More than 40 additional nonprofit and social sector organizations have attended the Center's nonprofit ethics and accountability training, Standards for Excellence® since our last report
- 2.7 million people visited the Center's website annually for resources on ethics
- 2.9 million minutes of Ethics Center videos watched annually on YouTube
- 3,676 people attended Center events in the 2019-2020 year (many of these were virtual attendees during the pandemic)
- Since October 2018 the Center held 18 programs on the ethical impact of AI and other technologies, 9 programs on diversity and inclusion, and 8 on free speech and civil discourse, 6 on anti-corruption, and 1 on the environment. Details are provided below.

Center Programs on the Ethical Impact of AI and Other Technologies

AI/ML for Clinical Decision Making: Should Patients Be Informed?
Charles Binkley, Markkula Center for Applied Ethics, Director of Bioethics,

Ethics in Computer Science: Why Good Intentions are Not Enough
Kirk Bresniker, HP Labs; Story DeWeese, Co-founder Opal; Lilly Irani, Professor, UCSD; Sam Suri, Engineer, Apple

AI for Good (Trouble)
Mutale Nkonde, Fellow at Harvard's Berkman Klein Center for Internet & Society and Stanford's Digital Civil Society Lab

Content Policy and Enforcement: People, Policy and Product: An in-depth look at content moderation and enforcement within the largest social media platform in the world

Facial Recognition and the New Surveillance State
Matt Cagle, ACLU; James Leonard, Santa Clara DA Office
Media and the Pandemic: When False Information Can Kill You
Eric Deggans, NPR TV Critic, Media Analyst for MSNBC/NBC News, Author: Race-Baiter, How the Media Wields Dangerous Words to Divide a Nation; Kate Starbird, professor, Department of Human Centered Design & Engineering, University of Washington; Anita Varma, MCAE, Journalism & Media Ethics, Social Sector Ethics

Staying with the Trouble: Disinformation Campaigns Rewired for the Digital Age
Ahmed Arif, Researcher at the University of Washington

Content Moderation Policy and Solutions
Del Harvey, Vice President for Trust and Safety, Twitter

AI Ethics, Law, and Human Progress
Shannon Vallor, Professor, Santa Clara University (SCU)

Ethics in the Age of Tech, Disruption, and Artificial Intelligence
Global Jesuit Business Ethics Conference, Kevin O'Brien, President, SCU, Caryn Beck-Dudley, Dean, Leavey School of Business, SCU, Kirk Hanson, Executive Director, Markkula Center for Applied Ethics, SCU, Tyler Shultz, CEO, Co-Founder at Flux Biosciences

Neurotechnology and the Quest to Enhance Ourselves
Laura Cabrera, assistant professor, Center for Ethics and the Life Sciences, Michigan State University

WhatsApp Politics, Ethics, and Elections: India and Beyond
Komal Lahiri, Whats App, Vice President; H.R. Venkatesh; Thomas Hansen; Rohit Chopra, SCU communications professor

Silicon Valley and the Challenge of Ethics: Prognosis for a Sick Patient
Kara Swisher, NY Times Columnist
Irina Raicu, Markkula Center for Applied Ethics, Director of Internet Ethics

DNA Testing and the Stranger in My Genes
Bill Griffeth, best-selling author, CNBC news anchor; Margaret McLean, Markkula Center for Applied Ethics Director of Bioethics and Professor, SCU; Thomas Plante, Professor, SCU and Stanford

The Promises and Perils of Virtual Reality
Erick Ramirez, Assistant Professor, SCU

Practical Privacy, with a Side of Data Ethics
Jeff Kampfe, Markkula Center for Applied Ethics Hackworth Fellow

Who Profits from Industry 4.0?
Sue Helper, Professor of Economics, Case Western Reserve University

A Classroom-based Approach for De-biasing Data
Sanjiv Das, Professor, SCU; Subramaniam Vincent, Markkula Center for Applied Ethics, Director Journalism & Media Ethics

Center Programs on Diversity, Elimination of Discrimination, Labour

Silicon Valley's Gender and Racial Bias in Venture Capital

Maya Ackerman, Wave AI and Professor, SCU; Priya Saiprasad, Mayfield Fund; Ken Elefant, Sorenson Ventures; Ann Skeet, Markkula Center for Applied Ethics

AI and Hiring: Automating Second Chances
Bill Sundstrom, Professor of Economics, SCU; Professor Colleen Chien, Professor, SCULaw, Eli Edwards, Emerging Technologies Research Librarian, SCU Law); Navid Shaghagh, Lecturer of Mathematics and Engineering, SCU

No Going Back: The Killing of George Floyd
LaDoris Cordell, retired Superior Court Judge, former Independent Police Auditor, and advocate for improving transparency into charges of police misconduct; Tony Williams, SCU alumni 2015: community engagement specialist, Science Museum of Minnesota, rapper, writer

When Should Business Re-Open? Ethics, Health, and Getting America Back to Work
Ann Skeet, Markkula Center for Applied Ethics, Senior Director of Leadership Ethics; Susan Bloom Energy COO Brennan; and Chuck Hammers, Pizza My Heart CEO

The Ethics of Future Employment
Brian Kerr, CFO Clumio, Kim Walesh, Director of Economic Development, City of San Jose,; Sahil Sagar, MCAE Hackworth Fellow, Karina Eichmann, Sr. Program Manager, Verizon

Separation of Immigrant Families and Children
Julissa Arce, Author and Immigration activist; Mimi Nguyen, Attorney, Catholic Charities of Santa Clara County; Deep Gulasekaram, Professor, SCU Law School

Catholics and the Challenge of Racism
Father George Murry

"Nevertheless She Persisted" Women Leaders in Tech
Orna Berryman, Pratima Rao Gluckman, & Erica Lockheimer

Programs on Democracy, Free Speech, Civil Discourse, and Dialogue

Election Interference: 2020
Renée DiResta, Stanford Internet Observatory

On Common Ground: Disinformation and Democracy
Rachel Myrow, KQED Bureau Chief; Irina Raicu, Markkula Center for Applied Ethics, Director of Internet Ethics; Subbu Vincent, Markkula Center for Applied Ethics, Director of Journalism & Media ethics; Alex Stamos, Facebook CSO & Stanford Internet Observatory director

What's Next for Whitehouse Coverage? Trump, Biden and the Future of US Political Reporting
Anita Kumar, Politico, White House Reporter; Dee Dee Myers, White House Press Secretary; Bill Plante, former CBS Correspondent

Smart Governance for Smart Cities: Rights and Justice in the Age of Civic AI

Dr. Ann Cavoukian, Privacy expert; Joe Simitian, Santa Clara County Supervisor; Jake Snow, ACLU attorney

Social Media and Free Speech
Sally Lehrman, Markkula Center for Applied Ethics, Director of Journalism Ethics, Eric Goldman, Professor, SCU Law, and Irina Raicu, Markkula Center for Applied Ethics, Director ofInternet Ethics

From Cold War to Hot Peace
Michael McFaul, Stanford Professor; Author, From Cold War to Hot Peace

The Schoolhouse Gate: Public Education, the Supreme Court, and the Battle for the American Mind
Justin Driver, University of Chicago Law School professor

Programs on Anti-Corruption

The Opposite of Virtue: Why Companies Misbehave
Kirk Hanson, former Executive Director, Markkula Center for Applied Ethics, Author of *Why Corporate Misconduct Continues and What to do about it*

Intentional Integrity
Rob Chesnut, Author of *Intentional Integrit*y, former Chief Ethics Officer, Airbnb
Ann Skeet, Senior Director of Leadership Ethics, Markkula Center for Applied Ethics

Avoid Boycotts and Worse: Why Your Company Should Aspire to Be Trusted (Not Just Successful)
Dr. Mary Ann Dewan, Santa Clara County Superintendent of Schools, Jack Lazar, Corporate Board Member, Deepa Seetharaman, Reporter, Wall Street Journal, Ann Skeet, Markkula Center for Applied Ethics, Senior Director of Leadership Ethics

Is The Right Thing Really Shades of Grey? Understanding the risk management profile and culture management to craft a shared understanding of corporate ethics
Panel presentation including Ann Skeet, Markkula Center, Senior Director of Leadership Ethics

Courageous Conversations: Values-Centered Leadership with Jeremy Fogel
Jeremy Fogel, former US District Judge and American Leadership Forum Senior Fellow

The Theranos Whistleblower: In His Own Words
Tyler Shultz

Programs on the Environment

After Paradise: Ethics and the Future of Wildfires in California
Bill Murphy, Captain Santa Clara County Fire Department, Colin Noyes, Forrester, Cal Fire; C.J. Gabbe, Professor, SCU; Iris Stewart-Frey, Professor, SCU; and Chris Bacon, Professor, SCU