



module overviews

INTRODUCTION

Introduction to ValuEthics® and the ValuEthics Essentials®

Purpose:

An overview that establishes the rationale for the class by having participants analyze and discuss their organization's values, vision, and mission. In addition, guidelines for managing values and ethics issues in the workplace (ValuEthics Essentials®) are introduced.

Learning Points:

- The organization's values, vision, and mission statement represent desired business outcomes.
- Corporate catastrophes have largely resulted from the failure of individuals and organizations to adhere to a clearly defined set of behaviors and standards.
- Numerous statutes and regulations have been created to help organizations combat unethical workplace behavior.
- The ValuEthics Essentials® represent behaviors that embody the organization's highest standards. Managers are expected to utilize these behaviors as part of their daily routine.

Skills Practiced:

- Analyzing the root cause of workplace problems
- Incorporating organizational objectives into workplace initiatives

KNOW, FOLLOW, AND COMMUNICATE THE CODE

Copyright Issues, Manager Responsibilities Related to the Organization's Code

Purpose:

A two-part module with video and text-based exercises. In part one, participants conduct an action-planning (goal-setting) activity. They learn additional key concepts by witnessing a video cross-examination scene. In part two, participants analyze a series of hypothetical text-based situations and must determine what aspects of their code apply as well as what action should be taken to address the issue.

Learning Points:

- Managers must familiarize themselves with the organization's guidelines regarding the use of materials created or owned by others.
- Get Help before deciding to copy or distribute material that is copyrighted or trademarked.
- An organization's code represents the roadmap by which, if followed, values, vision, and mission are realized.

- A "bad act" is any type of conduct that (intentionally or accidentally) undermines the standards set and communicated by the organization. It can be a violation of the organization's code, policy, or values, in addition to specific laws or statutes.

Skills Practiced:

- Goal setting
- Action planning
- Complying with intellectual property restrictions
- Analyzing potential code issues
- Communicating and enforcing standards of behavior

REPORT PROBLEMS ACCURATELY

Client/Vendor Gifts, Collusion, Fabrication of Documents

Purpose:

A video-based exercise that demonstrates the importance of reporting problems accurately rather than attempting to cover up code violations through collusion, fabrication, or some other means.

Learning Points:

- Lying, fabricating documents, and taking other steps to cover up code violations are unacceptable.
- It is better to come forward and self-admit when you believe you have committed a code violation than to keep it to yourself or attempt to cover it up.
- It is important to not only avoid engaging in fabrication or collusion activities but to come forward (according to policy) when you have knowledge of such improprieties.

Skills Practiced:

- Analyzing business decisions
- Recognizing when and how to report business issues

WELCOME CONCERNS

Creating a Welcoming Environment for Concerns, Concern Recognition and Identification, Concern Resolution

Purpose:

A video-based exercise and discussion around the process and effective ways of handling employee concerns. Provides strategies for opening communication channels and a model for listening and responding to concerns effectively.

Learning Points:

- Employees may be reluctant to raise their concerns to management for a variety of reasons.
- There are several ways managers can improve the comfort level, trust, and sense of community with their employees to increase the likelihood they will come forward with issues and concerns.
- To put the employee at ease and ensure the necessary information is obtained to resolve the concern, managers can follow the steps of The Welcome Model®.
- Following up with employees who raise concerns keeps the communication lines open and validates the importance of coming forward.

Skills Practiced:

- Raising concerns to superiors
- Maintaining objectivity when handling concerns
- Gathering pertinent information

GET HELP

Raising Concerns or Issues Upward, Summary Skill Practice and Action Planning

Purpose:

A video-based exercise and summary exercise. In part one of the module, participants are provided the opportunity to go back and fix a problem they heard about in the introduction (“flashback” to the initial concern). In part two, participants are asked to address a multi-faceted workplace situation.

Learning Points:

- When managers observe or are made aware of issues that may be potential violations of the organization’s code or other policies, they should speak to those involved. If necessary or appropriate, they should raise the issue to higher management.
- There are several key steps to follow when bringing issues forward to ensure clarity and closure—Be Clear, Suggest Solutions, Agree on Next Steps, and Follow Up.

- Placing an employee who commits a “bad act” on notice and/or making management aware of such behavior creates a sense of urgency to address the problem.

Skills Practiced:

- Developing an action plan to address employee issues and concerns
- Bringing issues forward to management
- Utilizing the ValuEthics Essentials®

MANAGING CODE, CONDUCT, AND COMPLIANCE ISSUES

Typical Components of a Code of Conduct, Day-to-day ValuEthics Essentials®, Compliance with Laws and Regulations

Purpose:

Provides detailed information about each component of an organization’s code and the four management behaviors (ValuEthics Essentials®).

Target Compliance Areas Covered:

- Antitrust
- Employment
- Environmental
- Foreign corrupt practices
- Intellectual property
- Securities
- Unfair competition

Supplemental Information Provided for Each Target Area:

- Overview of the manager’s responsibilities
- Legal requirements
- Cases in Point
- Lessons learned
- Skill practices (hypothetical scenarios)