ECI ethics & compliance initiative™

TALKING THE WALK

CONVERSATIONS FOR ETHICS & COMPLIANCE TEAMS

Case Scenario

Sample Case

WHO CARES?!

This is what I get for trying to be open and I was honored when they asked me to take the lead on the integrity ambassadors initiative, Eva thinks to herself. Especially since it is going to be our “flagship initiative” as Jamal, our CECO and my boss’s boss, had referred to it when he gave Jamal the assignment. I can’t believe how nervous and excited I was to hit “Send,” releasing my work into the world—or at least our full team—for their review. I hope they like it. I am afraid that it won’t. Instead of feedback, I am sure that this will fall in line with what always happens around here: nothing. Crickets. All that time, work, effort, and not a word from anyone. They clearly don’t care. Why do I?

ethics & compliance initiative™

Conversations for Ethics & Compliance Teams

TALKING THE WALK

Leader's Guide

For more information, please contact ECI:

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ECI ethics & compliance initiative™

ABOUT ECI

The Ethics & Compliance Initiative (ECI) empowers organizations to build and sustain High Quality Ethics & Compliance Programs (HQPs). ECI provides leading ethics and compliance research and best practices, networking opportunities and certification to its membership.

Conversations for Ethics & Compliance Teams

TALKING THE WALK

Welcome to the Talking the Walk series!

At ECI, we know that you spend a great deal of time developing resources to help employees in your organization make good decisions when they face ethics & compliance challenges. In that same spirit, we want to provide you a resource to help you and your staff consider the challenges that YOU face as E&C professionals. Think of this as a regular opportunity for the professional development of your team.

We've developed this Leader Guide to equip you with the tools you need to lead a successful conversation with your team. To make this as painless as possible, we've scripted out much of what we suggest you say to your group. Scripted remarks are in the navy print. Optional scripted text is in green. We've also included key points (located adjacent to the script) in case you'd rather speak to the main points in your own words, or as a guide to help you if you lost your place while reading the script.

As an E&C manager and leader, you play an integral part in the growth of your team and in helping your organization to build and sustain a high quality ethics & compliance program. Thank you for all you do!

Each month, Organizational Members and Fellows of ECI are provided a new case study. The topics pertain to issues in ethics; compliance; leadership; managing up; working as a team; and more! Each case includes questions for discussion and some related statistics from ECI research.

GOALS

Through this training, we want your E&C team to:

- Discuss the challenges you face as E&C professionals in the work you do every day.
- Walk through what happens when a similar issue surfaces, including what managers and the team should do.
- Consider the alignment of your daily decisions with the core values of your organization.
- Think through ways your team can work better together.
- Talk about the resources available to your team to ask questions, seek guidance, or raise a concern.

SESSION OVERVIEW & TIMING

We suggest that you allocate 30 minutes of time for the following activities.

3 Minutes

- Introduce the Talking the Walk case study series and your interest in having your team discuss the case.

5 Minutes

- Distribute the case.
- Read the case aloud to the whole group.

20 Minutes

- Work through the two sets of discussion questions in the case (Talking the Talk and Walking the Walk).
- If multiple tables are working on the discussions:
  - Make sure each table has a leader. You can ask for volunteers or pick a selection criteria (who's been working for the organization the longest, next birthday, most pets, etc.).
  - Introduce the discussion question sets to the whole group.
  - Circulate during the group discussions, to get a sense of the themes of each table's conversations.
  - After the table groups have discussed the questions, ask discussion leaders to debrief about key themes from their tables' conversations. If time allows,

engage the full group in a brief conversation of any common themes and/or salient issues that arose.

2 Minutes

- Read the Concluding Messages and brainstorm ideas for future cases.

TRAINING MATERIALS CHECKLIST

- ☐ Leader Guide
- ☐ Copies of case (one per participant)
- ☐ Parking lot page (in case there are questions or topics you table for later)
- ☐ Copy of your organization's core values

TIPS FOR LEADING THE CASE CONVERSATIONS

- If your group is at a single table, sit down at the table, so you can be part of the group.
- We recommend you use a "Parking Lot" page. If there is a good, but off-topic question or one that you don't know the answer to, let participants know that you are going to "Park it." **Write it down (or ask a participant to record the comment) on the Parking Lot**. If you have time during your session, review the items that were parked. As needed after the session, make sure to revisit any lingering parked issues and questions.
- After each question you ask, wait at least ten seconds (count it out in your head) for participants to respond.
- Make sure to look at everyone in the room. (Be careful not to favor one side or the other, which most people do naturally.) Use eye contact to include everyone and encourage participation. When you look someone in the eyes, they are more likely to feel supported and answer.
- Aim to get each participant to speak at least once. If someone looks like they

have a thought, feel free to ask, "[Name], you look like you have something to say. Would you like to share with the group?" or ["Name"], I'd love to hear what you think."

- Avoid having one or two people take over the conversation. If necessary, gently taper individuals that are dominating, "Thank you, [Name], you've offered some great ideas. Let's hear what others in the room think."
- If you feel like the discussion is getting off course or stuck on a single point, redirect. "We've had some interesting conversation about this, but let's refocus a bit." Then return to the topic or question you want to discuss next.
- During the conversation, keep track of points you can include in your "recap" at the end of that case.
- Join in the conversation. Share your opinions and ideas. Correct mistaken ideas if the need arises.
- Include a personal story at least once, which creates an atmosphere of openness.
- Have fun! This discussion should be an enjoyable, engaging experience. Your positive attitude sets the stage.

TROUBLESHOOTING FOR CASE CONVERSATIONS

- If the discussion gets too heated and personal:
  - Step in and redirect the conversation.
  - Remind everyone of the goals of the session and that you're working as a team to help your organization and its employees succeed the right way.
  - Redirect the conversation back to the case (a neutral, safe space).
  - If necessary, explain that this is not an appropriate topic of discussion.
- If participants defend an unethical position:
  - Involve the other participants, so they can express the correct view.
  - Frame your questions in terms of your organization's values.
  - Do not be neutral. Take a stand, relate the proper ethical choice, and justify your position.
- If someone brings up a controversial issue, such as religion or politics, which is

outside of the realm of appropriateness for the discussion:

- Remind participants that it's important to respect differences, and that we do share our organization's values.
- Direct discussion back to the issue at hand and how it relates to the workplace.

STARTING YOUR FIRST SESSION: INTRODUCTORY MESSAGE

Thank everyone for attending.

Review the goals for the training.

Begin the discussion with these opening remarks:

- To start things off, I want to take a moment to thank you for being here, and for all the good work you do. Together we make a big difference in the way our organization conducts business.
- As a part of our membership with ECI, we have been given a new resource to help us as E&C professionals think about the issues we sometimes face. I'm going to begin by going through the goals for this session. During our time together today we want to:
  1. Discuss the challenges we face as E&C professionals in the work we do every day.
  2. Walk through what happens when a similar issue surfaces, including what managers and the team will do.
  3. Consider the alignment of our daily decisions with the core values of our organization.
  4. Think through ways our team can work better together.
  5. Talk about the resources available to our team to ask questions, seek guidance, or raise a concern.

Ask everyone to turn off their cell phones and put away their laptops.

- A quick housekeeping note: This is a dedicated time we've giving to each other. Turn off your cell phone. Step away from your laptop. Let's all really be present with one another.
- During our time today, we're going to discuss a case based on everyday dilemmas that E&C professionals face and have to resolve.
- So, let's get started.

THE CASE

Normally the associated Case Study would be inserted here with the questions and activities that follow. All designed to help engage and educate your team.

CONCLUDING THE CASE

- Thank the group for their comments and candor.
- Point out a couple of good points you heard.
- If it didn't naturally come up in your conversation, be sure to mention:
  - The core values of your organization and how they apply to the decisions and actions of the characters.
  - Your perspective of how relevant the case is to your team, and how you would like your employees to handle the situation.
  - A personal story about a similar situation you faced, and what you learned from it.

FINAL COMMENTS

I just want to remind you again that the case we talked through today was based on real situations and suggestions offered by members of the ECI.

Before we go, I want to encourage you to come to me any concerns and questions you have. I know I may seem busy or under pressure, but I'm eager to listen. I cannot help resolve issues if I don't know about them, and I need your help bringing concerns to my attention.

Any conversation will be taken seriously and will remain confidential.

As you know, you can also go to any leader in our organization.

No matter who you talk with, the conversation will be handled with discretion. What you have to tell us, what you want to ask us matters—and we'll treat it with the respect it deserves.

CONCLUDING THE SESSION

Thank everyone for the good work they do and for doing it with integrity.

Reinforce key points from your conversations together.

End on a positive note about your time together and your future case conversations, as well as the important work your team does every day.

End on a hopeful note, celebrating what's already good about your workplace and looking forward to making it even better.

- I thank you for your thoughtfulness and candor. I really appreciate hearing from you today and look forward to hearing more from you. This is really the start of an ongoing conversation, not the end of one.
- Finally, I truly appreciate the good work you do as a part of this E&C team, and your commitment to doing our work with integrity and treating one another with respect. I'm thankful for the opportunity to work with you.

Tell the group that you will have an opportunity to discuss another case next month.

Brainstorm ideas for future cases.

Brainstorm ideas for cases to send to ECI for future discussions. Send suggestions for case topics to research@ethics.org.

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