

Applying Management Skills to Create an Ethical Culture

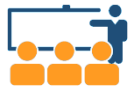
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5 Tips to Create an Ethical Culture

1



Conduct Annual Ethics Training

Every year, all employees at DAI participate in an annual ethics training. The scenario-based training provides teams with an opportunity to talk about real life ethical situations and how they might handle them.

DAI offers a library of scenarios from which teams can choose the ones most applicable to their project / department and location. The goal of the training isn't to get the answers "right" but to talk about possible ethical dilemmas to provide people with direction BEFORE the situation happens.

The training materials are sent out via email. If you have questions about the training materials contact Mike Walsh (Mike_Walsh@dai.com) or Jeremy Finch (Jeremy_Finch@dai.com).

2



Use the Quarterly Newsletter to talk about Ethics at staff meetings

Ethical conversations should happen more than once a year. To support this, DAI distributes quarterly newsletters with case studies you can use to discuss at your team meetings. Each newsletter focuses on one topic so that teams can stay on track. Take 15 minutes at your next team meeting to continue the conversation.

You can find previous versions of the newsletter on relevant pages of the code of conduct newsletter located at www.DAI-Global-Conduct.com.

3



Include Ethics Conversations as part of Orientation / Induction

From day one all DAI employees should recognize the importance of an ethical culture. One way to build that foundation is to ensure that all employees complete the online Ethics training. Employees with individual access to iLearn will automatically be assigned the training. Employees who use the shared project log-in to iLearn will need to be shown how to access it.

Completing the training is the first step. An employee's supervisor should follow-up with the employee to see what questions they have and reinforce the message that DAI expects all employees to act in an ethical manner.

To access the online training at DAI:

- For employees with individual access to iLearn click on [this link](#)
- For employees who use the Shared Project log-in:
 - Navigate to [iLearn](#)
 - Log in to iLearn
 - Search for "Ethics Training for New Employees"



Not sure about your shared project log-in? Need guidance on using iLearn? Need an offline version for low connectivity areas? Email iLearn@dai.com.

5 Tips to Create an Ethical Culture (*continued*)

4



Include it as an indicator in performance reviews

One way to stress the importance of an ethical culture is to make it an indicator in performance reviews. Be clear that your expectation is that employees act in an ethical manner and throughout the year provide feedback to employees about the choices they make. Make sure to communicate choices that reinforce DAI's ethical culture and provide guidance on choices that don't support the culture.

5



Model ethical behavior

Perhaps the most important thing you can do to create a culture of ethical behavior is to model it yourself. When you see something say something. When someone comes to you with a concern, take it seriously. Make sure you respectfully address any concerns and escalate as needed.

Want to make sure you are modelling ethical behavior? Ask for feedback from your team. And when they give you feedback, thank them for their honesty and adjust as needed.

Talking About Ethical Behavior During Performance Reviews

The purpose of a performance review is to have an open and honest conversation with your employee on his or her performance for the previous time period and set the tone going forward. If you include ethical behavior as an indicator, the conversation should provide specific feedback (*turn to page 9 for more information on effective feedback*) on how the employee showed ethical behavior, areas where the employee needs to improve and opportunities for growth. There should be no surprises for the employees during a performance review conversation, not matter the topics, as it is the annual culmination of all other feedback you've provided throughout the year.

To have an effective conversation, you need to properly plan.

Setting the Stage:

- Schedule a time and location at least a week in advance. Choose a location free of interruptions and distractions.
- Plan for a minimum of an hour for the meeting.
- Send the completed performance review document to your employee prior to the meeting so he/she can review your comments.

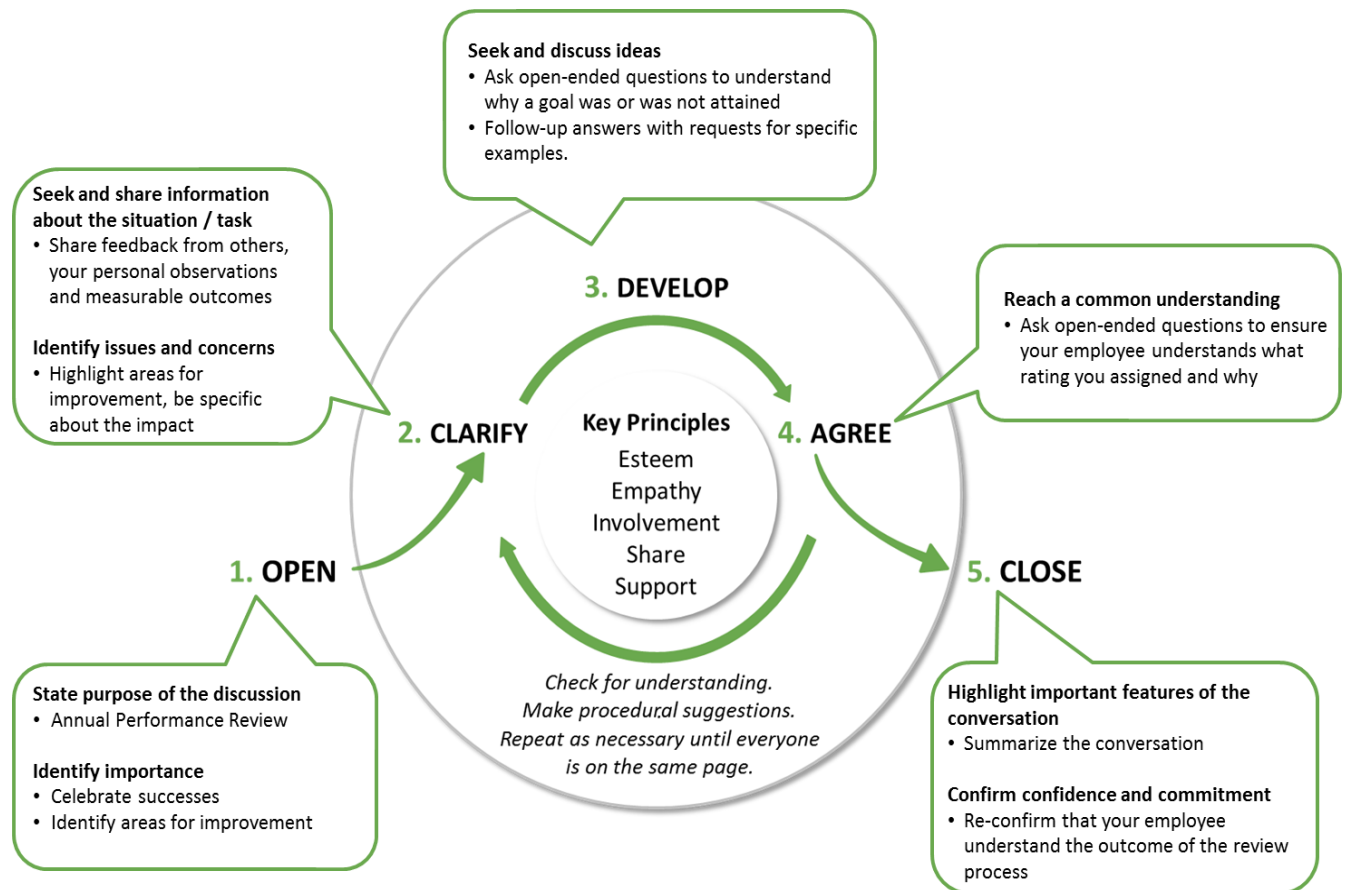
Preparing for the Conversation:

- Review the performance review document. What specific examples of ethical behaviors did you draw on? What feedback did you gather for the employee? Be prepared to cite these examples when providing feedback.
- Use the **Effective Communication Guidelines**, next page, as your guide on how to structure the conversation. Think about what you want to say in each step. Don't compare employees. An employee should only be assessed based on his/her performance.
- Prepare for any difficult aspects of the conversation by identifying how your employee may react to the feedback you provide.

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Effective Communication Guidelines for Performance Reviews

The **Effective Communication Guidelines** provides you a framework to use for performance reviews. It keeps you focused on the feedback you are giving, creates a dialog between you and the employee, and ensures understanding.



The **Key Principles** in the middle of this diagram can be used to address an employee's emotions as they arise. They help an employee feel appreciated, understood, or involved. It's important to acknowledge and manage emotions during difficult conversations or the message of the conversation can be blocked. Refer to "Using Key Principles to address Personal Needs" (page 7) for more information.

Using Key Principles to Address Personal Needs

Key Principles were derived from decades of research demonstrating the positive value of the behaviors they embody. When these five principles are applied, they ensure that employees' personal needs are met and that they feel valued, respected, and understood. They also can have critical implications for the levels of engagement motivation, productivity, and effectiveness with which work is carried out.

They are beneficial for showing that you respect and value your employees as people. Key Principles are especially helpful to use during difficult conversations so that emotions can be recognized, and the feedback can be heard.

Key Principle	What the Key Principle Sounds Like
Maintain or enhance self-esteem. There are two aspects of Esteem: enhance and maintain . You enhance others' self-esteem when you recognize and reinforce their contributions. If people make mistakes, you can maintain esteem by focusing on the situation, not the person.	Enhance esteem: <i>"Thank you for pointing out this issue. I appreciate your taking the time to tell me there was a problem."</i> Maintain esteem: <i>"I agree, the accuracy of your report is critical. It's also important for other teams to get your report on time. How can we make sure that happens?"</i>
Listen and respond with empathy. Listening and responding with empathy demonstrates you've heard not only what the person is saying, but also how he or she is feeling. When responding, describe the feelings being expressed along with the facts of the situation causing those feelings.	<i>"You were left off the email distribution [fact], and whether that was intentional or not, it has to be frustrating [feeling]."</i> <i>"You must be pleased [feeling] that the team accepted all of your recommendations [fact]."</i>
Ask for help and encourage involvement. Involving people builds their commitment and helps you and others arrive at better, more innovative ideas and solutions than you might have on your own. You can unleash ideas by asking open-ended questions.	<i>"I have some thoughts on this project, but I'd like to hear yours first. How do you think we should approach this?"</i> <i>"This change needs to work for everyone. What can we do to achieve that objective?"</i>

Using Key Principles to Address Personal Needs (*continued*)

Key Principle	What the Key Principle Sounds Like
Share thoughts, feelings, and rationale. (to build trust) Sharing means disclosing deeper insights about yourself, such as emotions, imperfections, or a poor decision. Being willing to open up helps build others' trust.	<i>"I can see you're uneasy about your upcoming training session. I felt intimidated the first time I delivered training too. Would it help if we took some time now to talk about your delivery?"</i>
Provide support without removing responsibility. (to build ownership) Providing support means offering guidance and resources and removing barriers, but without removing the responsibility from those who must think through and carry out tasks.	<i>"What additional support can I provide to help you coordinate the upgrades to our computers?"</i> <i>"Have you thought about who else needs to be involved? Would it help if I provided some feedback once you've gathered the information?"</i>

Providing Effective Feedback

Effective feedback is

Timely

- Timely **positive** feedback strongly reinforces positive actions and results
- Timely **constructive** feedback provides suggestions soon enough for people to adjust and enhance their performance

Balanced

- Feedback that focuses **only** on what a person needs to do **better** or **more of** but fails to acknowledge what's been done well damages self-esteem.
- Feedback that **only** comments on **strong performance** is equally ineffective. They're missing opportunities to help people become even more successful.
- Provide both types of feedback. Focus first on one type then switch to another type. Avoid the feedback sandwich (say something good, then something constructive, then something good) as it confuses people to the point of your feedback.

Specific

- Tell people **what** they accomplished – or didn't accomplish – in precise measurable terms. Comparing specific behaviors to expected behaviors shows people if they are on the right track or if they need to make adjustments.
- Describe **how** people achieved results. What actions did they take? What ethical behaviors did they exhibit? What methods were effective?
- Explain **why** people's actions were effective. What were the results. How did people respond? What were the outcomes?

Remember, the **goal of feedback** is to communicate to people:

1. What they should **CONTINUE** doing and **WHY** (*positive*)
2. What they should **DO DIFFERENTLY** the next time and **WHY** (*constructive*)

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STAR Feedback

An easy way to remember to give complete, specific feedback is the use the acronym STAR. You can use this approach to give two types of feedback: positive and constructive.

The components of STAR remind you to describe the **Situation** or **Task**, **Action** and **Result**:



Positive only

Constructive

Situation / Task – *What was the problem, business opportunity, challenge or task?*

Action – *What was said or done to handle or respond to the situation or task?*

Result – *What happened, for better or worse, because of the person's or team's action and what was the impact or consequence of that result?*

Alternative Action – *something the person or team could have said or done differently.*

Alternative Result – *the alternative result that they alternative action might have produced (typically more favorable than the actual result).*

Guides to Prepare for Conversations

To prepare for conversations, especially those you anticipate might be difficult, it can be helpful to plan out what you will see when, what key principles you might use and what feedback you want to give.

The **Universal Discussion** Planner on the next page, can be a helpful planning tool and can be used during the conversation to ensure you stay on track.

The **Feedback Job Aid** can be a helpful tool to ensure your feedback follows the STAR model.

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Universal Discussion Planner

Discussion with: _____ Date: _____

Topic/Issue to discuss: _____

Key Principles *(to meet personal needs)*

- ☐ **Esteem**
 - Be specific and sincere
- ☐ **Empathy**
 - Describe facts and feelings
- ☐ **Involvement**
 - Unleash ideas with questions
- ☐ **Share**
 - Disclose feelings and insights to build trust
- ☐ **Support**
 - Specify the level of support you'll provide

MY APPROACH

What are my objectives for this discussion?

How will I know I've accomplished these objectives?

What personal needs of the person/team do I need to consider?

Interaction Guidelines *(to meet practical needs)*

1. OPEN

- Describe purpose of discussion
- Identify importance

- ☐ Make procedural suggestions
- ☐ Check for understanding

2. CLARIFY

- Seek and share information about the situation
- Seek issues and concerns

- ☐ Make procedural suggestions
- ☐ Check for understanding

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3. DEVELOP

- Seek and discuss ideas
- Explore needed resources/support

- ☐ Make procedural suggestions
- ☐ Check for understanding

4. AGREE

- Specify actions, including contingency plans
- Confirm how to track progress and measure results

- ☐ Make procedural suggestions
- ☐ Check for understanding

5. CLOSE

- Highlight important features of plan
- Confirm confidence and commitment

- ☐ Make procedural suggestions
- ☐ Check for understanding

Post-Discussion Notes

- What did I say or do to use the skills effectively?

- What could I say or do to use the skills more effectively next time?

STAR Feedback Job Aid

Situation or Task

Action	Result
A C T U A L	
A L T E R N A T I V E	