

ST PAUL COMPANIES MODIFICATION OF CODE AND TRAINING (sorry about the format DG)

Code of Ethics Implementation / Training

I recommend the following steps toward implementation, and to help overcome the problems above.

0.0.1. Management Support

Wayne provides an "preamble" to the code of ethics, citing the business reasons for its adoption, and his expectation that everyone will conduct their affairs in accordance with same. I have attached a 'beginning' of a draft memo.

0.0.2. Principles Summary. We publish a summary of the 8 principles in the code of ethics, and provide this as a laminated book mark or page with some graphical content. The detailed code is published as a small booklet and is also published on SPIN.

0.0.3. Training. We prepare a "meeting in a box" for each manager, and conduct a "train the trainer" session for them.

Staff training is 8 sessions (1 per principle), each lasting 10 minutes. The code is distributed at the first session. Each session includes a case on the principle for the group to discuss, using the detailed points behind the principle. This could take several months to complete, but the time commitment is modest.

We will ask each manager to renew this training annually, to include new people and with fresh cases.

(This will be developed through pilot sessions to test how workable this is and gain buy in.)

Ethical Principles Training

Module 1 - Product

Case

Alicia is responsible for our agency relations with respect to agency download. This is the system that updates agents' files via electronic transmissions. On occasion, the system has an error, and erroneous data is downloaded. The business area generally does not notify agents of problems. Their rationale is generally that it is a minor problem, and the agents will not notice.

Alicia is concerned because this system has the responsibility for updating agency files directly, without the agent's approval or knowledge. Alicia regularly disagrees as to the severity of the problem, and feels that we should notify the agency in many more cases.

Alicia has raised this problem to the customer with the direct responsibility for agency support, and she has been told that this is not an IT problem or responsibility, and that she should not raise it again. She has also discussed it with her management, and the manager informed her that "the customer is always right -- let it go".

Should Alicia continue to raise this as a problem? To whom?

Guidelines Reference

Ask the group to review the implications in the code of ethics under "Product", and decide which ones apply. Ask the group what they would do in this circumstance.

Discussion Guide

If the group needs additional insight, refer to the following discussion.

The problem is a conflict between how Alicia regards data integrity, and that of her business partner or customer. Alicia feels a responsibility for the integrity of the information within her charge. All errors are errors, and the end user of the information should be able to make an informed decision regarding the possible impact. The business partner

feels comfortable making this decision on behalf of the agents, thus minimizing time and expense spent on problems that have little impact.

Consequences of the current state might be that if an agent were to discover these errors, even though they are not consequential, they raise the specter of more significant problems that have not been disclosed. It would be something like finding a one cent error in your checkbook. If a particular problem does have material consequences, it would also be difficult to explain why the agency was not informed.

Alicia should examine possible alternatives toward resolving this conflict.

She can clearly raise it to her manager at the next level up. She should also always feel comfortable raising it to any other manager in the company.

Ultimately, she wants to make it clear to the business partner that there is a fiduciary responsibility for an IT professional. She needs to feel comfortable that the company is aware of possible consequences if these problems are discovered by the agents.

She might suggest an objective means for determining the impact on the agents, such as to consult with one or two informed agents as to their opinion on the problem.

The ultimate solution might be full disclosure to the agents, with an explanation of the types of problems that are normally encountered.

Sometimes an analogy with other practices is also helpful. This is a policy not unlike that practiced by hardware and software vendors. It is a matter of common knowledge that problems occur in their products, but most problems have very minor impact. The vendor does not feel compelled to explain every problem to every customer. However, if a customer experiences a more serious impact, then the vendor will assist in correcting the problem. The vendor also provides documentation on all problems which can be referenced by the customer directly, or through a call to a service desk.

The St. Paul IS Code of Ethics

This code is based on the Software Engineering Code of Ethics and Professional Practices developed by the IEEE-Computer Society and the ACM Joint Task Force on Software Engineering Ethics and Professional Practices. See <http://www.computer.org/tab/seprof/code.htm> for the original document.

1. PRODUCT

St. Paul IS Professionals ~~Software engineers~~ shall, insofar as possible, ensure that the software, and other products and services which they produce ~~on which they work~~ is useful and of acceptable quality to the public, ~~our~~ the employer, The St. Paul, the and our clients, ~~and the user~~; completed on time and at reasonable cost; and free of error. In particular, they shall:

- 1.1. Deliver high quality products and services, as promised, with good value for our business partners.***
- 1.2. Ensure that specifications for software and services on which they work have been well documented, satisfy the user's requirements, and have the client's approval.***
- 1.3. Strive to fully understand the specifications for software on which they work.***
- 1.4. Ensure that they are qualified, by an appropriate combination of education and experience, for any project on which they work or propose to work.***
- 1.5. Ensure proper and achievable goals and objectives for any project on which they work or propose.***
- 1.6. Ensure an appropriate methodology for any project on which they work or propose to work.***
- 1.7. Ensure good management for any project on which they work, including effective procedures for promotion of quality and reduction of risk.***
- 1.8. Ensure realistic estimates of cost, scheduling, personnel, and outcome on any project on which they work or propose to work and provide a risk assessment of these estimates.***
- 1.9. Ensure adequate documentation on any project on which they work, including a log of problems discovered and solutions adopted.***
- 1.10. Ensure adequate testing, debugging, and review of software and related documents on which they work.***
- 1.11. Work to develop software and related documents that respect the privacy of those who will be subjected to that software.***
- 1.12. Be careful to use only accurate data derived from legal sources, and use only in ways properly authorized.***
- 1.13. Whenever appropriate, delete outdated or flawed data***
- 1.14. Work to identify, define and address ethical, economic, cultural, legal, and environmental issues related to any work project.***

1.15. Promote maximum quality and minimum cost to The St. Paul~~the employer~~, the client, the user and the public. Make any tradeoffs clear to all parties concerned.

1.16. Work to follow industry standards that are most appropriate for the task at hand, departing from these only when technically justified.

2. PUBLIC

The St. Paul IS professionals~~Software engineers~~ shall, in their professional role, act only in ways consistent with the public safety, health and welfare. In particular, they shall:

2.1. Disclose to appropriate persons or authorities any actual or potential danger to the user, a third party, or the environment, that they reasonably believe to be associated with software or related documents for which they are responsible, or merely know about.

2.2. Approve software only if they have a well-founded belief that it is safe, meets specifications, has passed appropriate tests, and does not diminish quality of life or harm the environment.

2.3. Affix their signature only to documents prepared under their supervision or within their areas of competence and with which they are in agreement.

2.4. Co-operate in efforts to address matters of grave public concern caused by software or related documents.

2.5. Endeavor to produce software that respects diversity. Issues of language, different abilities, physical access, mental access, economic advantage, and allocation of resources should all be considered.

2.6. Be fair and truthful in all statements, particularly public ones, concerning their software products and services~~or related documents~~.

2.7. Not put self-interest, the interest of The St. Paul, ~~or an employer~~, the interest of a business partner~~or the interest of the user~~ ahead of the public's interest.

2.8. Donate professional skills to good causes when opportunities arise and contribute to public education with respect to the discipline.

2.9. Accept full responsibility for their own work.

3. JUDGMENT

The St. Paul IS professionals~~Software engineers~~ shall, insofar as possible and consistent with Principle 2, protect both the independence of their professional judgment and their reputation for such judgment. In particular, they shall:

3.1. Maintain professional objectivity with respect to any software, service or related documents they are asked to evaluate.

3.2. Affix their signature only to documents prepared under their supervision and within their areas of competence.

3.3. —~~3.03. Reject bribery.~~

3.4. Accept no payback, kickback, or other payment from a third party to a contract, except with the knowledge and consent of all parties to the contract.

3.5. —~~Accept payment from only one party for any particular project, or for services specific to that project, except when the circumstances have been fully disclosed to parties concerned and they have given their informed consent.~~

3.6. Disclose to all concerned parties those conflicts of interest that cannot reasonably be avoided —~~or escaped and aspire to resolve them.~~

3.7. Refuse to participate in any decision of a governmental or professional body, as a member or advisor, concerned with software, products, or related documents, in which they, or The St. Paul~~their employer, or their client~~ have a financial interest.

3.8. Temper all technical judgments by the need to support and maintain human values.

4. CLIENT AND EMPLOYER

The St. Paul IS professionals~~Software engineers~~ shall, consistent with the public health, safety, and welfare, always act in professional matters as faithful agents and trustees of The St. Paul~~their client or employer~~. In particular, they shall:

- 4.1. Provide service only in areas of their competence.**
- 4.2. Ensure that any document upon which they rely has been approved by someone authorized to approve it.**
- 4.3. Use the property of The St. Paul only in ways properly authorized, ~~and with the client's or employer's knowledge and consent.~~**
- 4.4. Not knowingly use illegally obtained or retained software.**
- 4.5. Keep as confidential information gained in their professional work that is not in the public domain, where such confidentiality is not inconsistent with matters of public concern.**
- 4.6. Identify, document, and report to The St. Paul or the client any problems or matters of social concern in the software, services or related documents on which they work or of which they are aware.**
- 4.7. Inform ~~the client or the employer~~ The St. Paul promptly if, in their opinion, a project is likely to fail, to prove too expensive, to violate intellectual property legislation, in particular copyright, patent, and trademarks, or otherwise be problematic.**
- 4.8. Accept no outside work detrimental to the work they perform for The St. Paul ~~their primary employer~~.**
- 4.9. Represent no interest adverse to that of The St. Paul ~~their employer's without the employer's~~ specific consent, unless a higher ethical concern is being compromised; then in that case The St. Paul ~~the employer~~ or another appropriate authority should be informed of the ~~engineer's~~ ethical concern.**

5. MANAGEMENT

A ~~St. Paul IS professional software engineer~~ in a management or leadership capacity shall act fairly and shall enable and encourage those who they lead to meet their own and collective obligations, including those under this code. In particular, they shall:

- 5.1. *Ensure that employees are informed of standards before being held to them.*
- 5.2. *Ensure that employees know The St. Paul's~~the employer's~~ policies and procedures for protecting passwords, files, and other confidential information.*
- 5.3. *Assign work only after taking into account appropriate contributions of education and experience tempered with a desire to further that education and experience.*
- 5.4. *Provide for due process in hearing charges of violation of a~~company~~an employer's policy or of this code.*
- 5.5. *Develop a fair agreement concerning ownership of any software, processes, research, writing, or other intellectual property to which an employee has contributed.*
- 5.6. *Attract employees only by full and accurate description of the conditions of employment.*
- 5.7. *Offer fair and just remuneration.*
- 5.8. *Not unjustly prevent a subordinate from taking a better position for which the subordinate is suitably qualified.*
- 5.9. *Not ask an employee to do anything inconsistent with this code.*

6. PROFESSION

The St. Paul IS professionals~~Software engineers~~ shall, in all professional matters, advance both the integrity and reputation of their profession as is consistent with public health, safety, and welfare. In particular, they shall:

- 6.1. Associate only with reputable businesses and organizations.
- 6.2. Ensure that clients and supervisors know of the IS Professional's software-engineer's commitment to this code of ethics, and their own responsibility under it.
- 6.3. Support those who similarly do as this code requires.
- 6.4. Help develop an organizational environment favorable to acting ethically.
- 6.5. Report anything reasonably believed to be a violation of this code to appropriate authorities.
- 6.6. Take responsibility for detecting, correcting, and reporting errors in software and associated products and services ~~documents~~ on which they work.
- 6.7. Only accept remuneration appropriate to professional qualifications or experience.
- 6.8. Be accurate in stating the characteristics of software and services ~~on~~ which they produce ~~work~~, avoiding not only false claims but claims that might reasonably be supposed to be deceptive, misleading, or doubtful.
- 6.9. Not promote their own interest at the expense of the profession.
- 6.10. Obey all laws governing their work, insofar as such obedience is consistent with the public health, safety, and welfare.
- 6.11. Exercise professional responsibility to society by constructively serving in civic affairs.
- 6.12. Promote public knowledge of software engineering and information systems.
- 6.13. Share useful information systems ~~software~~-related knowledge, inventions, or discoveries with the profession, for example, by presenting papers at professional meetings, by publishing articles in the technical press, and by serving on the profession's standard-setting bodies.

7. COLLEAGUES

The St. Paul IS professionals ~~Software engineers~~ shall treat all those with whom they work fairly and take positive steps to support collegial activities. In particular, they shall:

- 7.1. Assist colleagues in professional development.*
- 7.2. Review the work of other IS professionals~~software engineers~~, which is not in the public domain, only with their prior knowledge, provided this is consistent with public health, safety, and welfare.*
- 7.3. Credit fully the work of others.*
- 7.4. Review the work of others in an objective, candid, and properly-documented way.*
- 7.5. Give a fair hearing to the opinion, concern, or complaint of a colleague.*
- 7.6. Assist colleagues in being fully aware of current standard work practices including policies and procedures for protecting passwords, files, security measures in general, and other confidential information.*
- 7.7. Not interfere in the professional career progression of any colleague.*
- 7.8. Not undermine another's software engineer's job prospects for one's own personal gain.*
- 7.9. In situations outside of their own areas of competence, call upon the opinions of other professionals who have competence in that area.*

8. SELF

The St. Paul IS professionals~~Software engineers~~ shall, throughout their career, strive to enhance their own ability to practice their profession as it should be practiced. In particular, they shall:

- 8.1. *Further their knowledge of developments in the analysis, design, development, and testing of software and related documents, together with the management of the development process, and other information services.*
- 8.2. *Improve their ability to create safe, reliable, and useful quality software and services at reasonable cost and within a reasonable time.*
- 8.3. *Improve their ability to write accurate, informative, and literate documents in support of software and services ~~on~~ which they produce work.*
- 8.4. *Improve their understanding of the software and IS services and related documents ~~on~~ which they produce work and of the environment in which they will be used.*
- 8.5. *Improve their knowledge of the law governing the software and related documents on which they work.*
- 8.6. *Improve their knowledge of this code, its interpretation, and its application to their work.*
- 8.7. *Refrain from requiring or influencing others to undertake any action which involves a breach of this code.*
- 8.8. *Consider violations of this code inconsistent with being an IS professional software engineer and encourage colleagues to adhere to this code.*