

The Complete Compliance and Ethics Manual 2024

Appendix 3-U: Sample Manager Evaluation Checklist

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Integrity Leadership: Encourages and rewards ethical conduct. Conducts business according to our code of conduct. Inspires subordinates to do the right thing.

Expectations

- ☐ Uses the code of conduct and encourages subordinates to do the same.
- ☐ Actively takes steps to implement the compliance program and the code of conduct.
- ☐ Attends appropriate compliance training, and makes sure subordinates get appropriate training and know the rules applicable to their jobs.
- ☐ Continually takes steps to renew and refresh the message from subordinates' compliance and ethics training.
- ☐ Is willing to challenge questionable conduct or proposals.
- ☐ Encourages openness and subordinates raising issues and concerns.
- ☐ Has an active management style, knows what their subordinates are doing, and coaches them on meeting objectives while acting with integrity.
- ☐ Promotes safe and environmentally sound work practices.
- ☐ Evaluates subordinates on their commitment to the code of conduct.
- ☐ Shows commitment to workplace diversity.
- ☐ Includes compliance issues in business plans.
- ☐ Places the health and safety of our customers above any sales or production objectives.

Specific examples supporting this rating:

A manager's overall performance rating for the year is not permitted to exceed the rating achieved for this competency. A rating of "Did Not Achieve" in this category must be addressed in a developmental plan.

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