

NEMC

MANAGEMENT STRATEGIES FOR PROMOTING ETHICAL BEHAVIOR

NEMC-ORANGE COUNTY, CA
AUGUST 12, 2016

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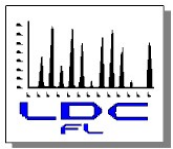
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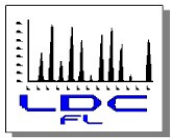
Management Responsibilities

NELAC-5.4.2.6, 5.4.2.6.1, 5.5.2.7TNI STANDARD EL-V1M2-ISO-2009 4.2.8.1

ESTABLISH AND MAINTAIN PROCEDURE

➤ Procedures must define:

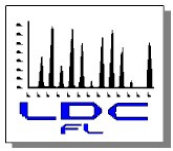
- Data integrity training
- Signed integrity forms
- Annual Data integrity and data review
- Integrity procedures and documentation
- Confidential reporting procedures
- Internal audit- including data integrity
- New employee orientation training
- Annual ethics training
- Uphold the spirit and intent



Data Integrity

- ▶ Data rising to the standard that is commonly referred to as having “integrity” generally include five key attributes:
- ▶ Accuracy – no errors or editing without documented amendments
- ▶ Attributable – information lists who acquired the data or performed an action and when
- ▶ Available – for review and audit or inspection over the lifetime of the record
- ▶ Complete – all data are present and available
- ▶ Consistent – all elements of the record, such as the sequence of events, are dated or time stamped in expected sequence

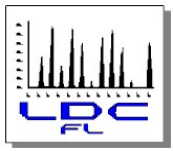
Adapted from: <https://www.pda.org/publications/pda-publications/pda-letter/latest-news/2015/03/30/data-integrity-issues-causes-and-solution>
by Elayne Best, Biogen Idec



Data Management Technology as Ethics tool

LIMS, Instrument software, etc. can be used as tools to promote and monitor ethical behavior.

- Audit trails.
- Prohibitive “IF” statements.
- Real documented 2nd and 3rd reviews.
- Electronic data deliverables checkers.



Influences – Management

Private Labs Managers/Owners

Common:

- To save money and time.
- To meet client commitments.
- We have always done this way!
- No one will ever know!

Uncommon:

- Personal agenda
- Business Competition

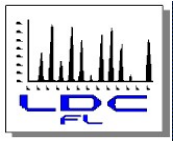
Public Labs Managers/Directors

Common:

- Plant operations – No Failure
- Director not knowledgeable in lab procedures
- We have always done this way!
- No one will ever know!

Uncommon:

- Personal agenda

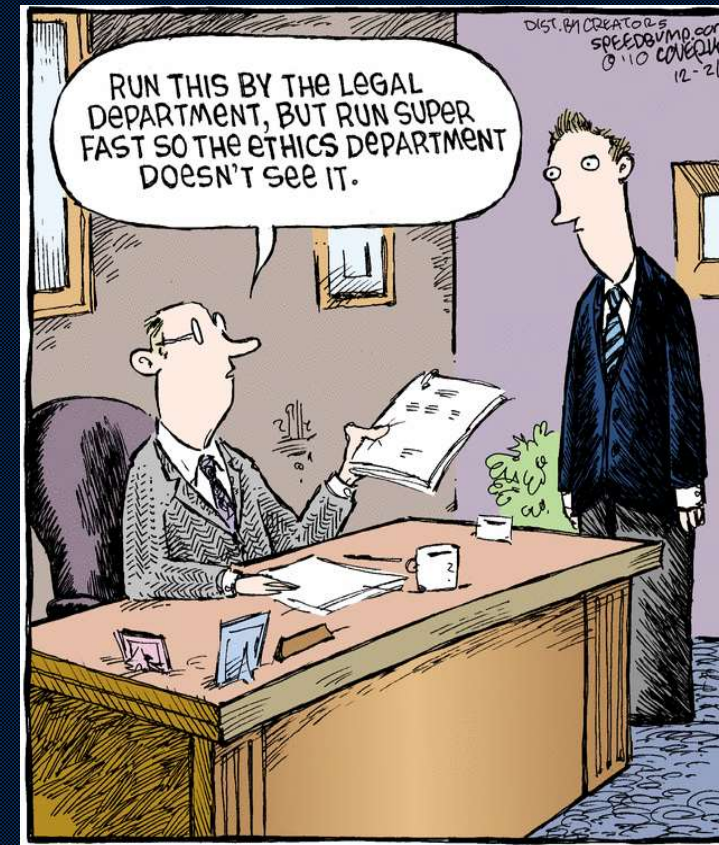


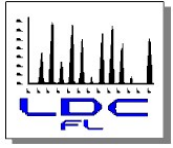
Ethical Behavior

► Ethical Behavior defined as:

Behavior that conforms to accepted professional standards of conduct.

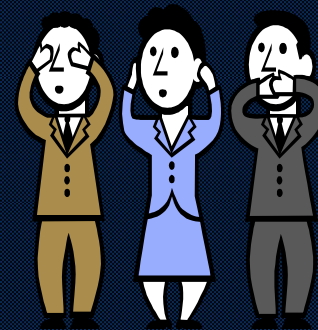
Unethical behavior therefore is behavior not conforming to those standards.



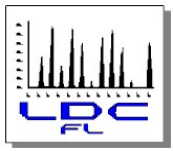


Management's responsibilities

If ever there is a quality related issue, management are among the first ones to be questioned. The idea that management doesn't know what goes on, has become obsolete.



It is management's responsibility to know what goes on!

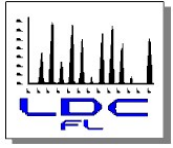


Management's responsibilities

It is management's responsibility to train their employees or to ensure that employees are trained on QA procedures and organizational mission.

Explain reporting procedures for unethical/improper practices and incidents.



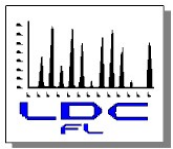


Management Integrity

“Nearly all men can stand adversity, but if you want to test a man's character, give him power”

-Abraham Lincoln





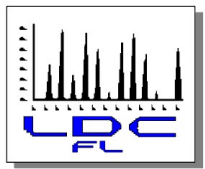
Accountability

Treat everyone with respect and make them accountable for their actions.

The lowest level technician should be as responsible as upper management.

All actions are interconnected. If one fails the system eventually collapses.



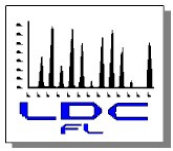


Recognize Employees who step up

They have strong interpersonal skills. Despite their junior titles, these stars lead through influence. And they gain that sway by connecting with others.

They demonstrate high integrity. They are consistent in their actions and words. When conflicts arise, others look to them over formal leaders for guidance.



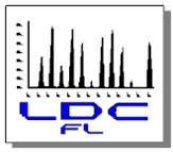


Daily Challenges

Let's assume that today you could fix one challenge you face in your daily tasks.

What would be your first pick?



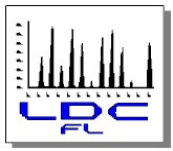


Lincoln Leadership Principle



► Dealing with Emotion:

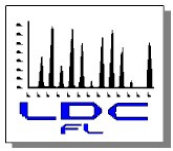
- All human beings have their weaknesses, but not all of us realize them, or offset their negative impact.
- As a group whose primary endeavor is interacting with other people, leaders must accomplish the paradoxical task of managing their darker sides.
- Subordinates look for their bosses to be positive, in good humor, and cheerful. They aren't supposed to be emotional or have bad days.
- But leaders are human, too, and when they are in a lousy mood and snap at a subordinate, it can have a devastating effect.



“When anger rises, think
of the consequences.”

-Confucius

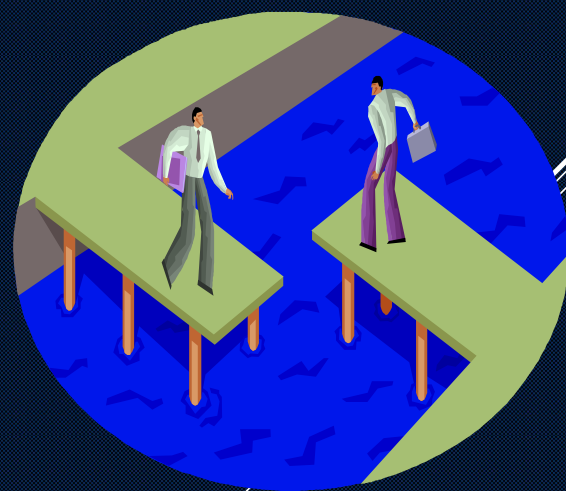


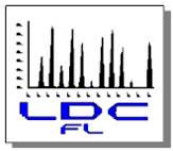


Handle both kinds of conflict

Every team has a certain amount of conflict, which isn't necessarily a bad thing.

As a leader you should identify whether the tension is destructive or constructive, and address it directly.



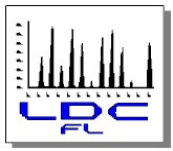


Putting together the right team



When you're interviewing a candidate, be on the lookout for signs of incivility, unethical behavior, dependability. Consider asking questions such as:

- ▶ What would your former employer say about you — positive and negative?
 - ▶ Tell me about a time when you've had to deal with stress or conflict at work. What did you do?
 - ▶ What about yourself would you like to improve most? How about a second thing? A third?
 - ▶ Present an ethical dilemma that might rise in your organization and ask for potential resolutions.
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- ▶ Also find out how the candidate treated your parking lot attendant, your receptionist, and your administrative assistant. Was he gracious and respectful or rude and condescending?
 - ▶ Finally, conduct careful reference checks and investigate any hunches thoroughly.



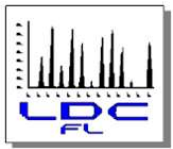
Safety concerns

Scott Dominguez was only 20 years old when he was ordered to climb into a 25,000 gallon tank while employed at an industrial chemical reprocessing plant in Soda Springs, Idaho.

Owner Allan Elias ignored requests for safety equipment and instructed Scott to climb down into the tank to clean out the sludge at the bottom.

Scott did not know that the tank had once held cyanide and later, phosphoric acid. When Scott began hosing the tank down with water, it produced hydrogen cyanide gas.

Lacking safety equipment, Scott was overcome and could not be carried up a ladder out of the tank. Firefighters eventually cut a hole in the side and pulled him free, but not before Scott fell victim to cyanide poisoning. He is permanently brain damaged.



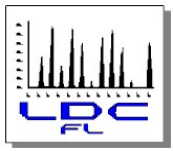
Management trust?

Only 51% of employees have trust and confidence in senior management.

Only 36% of employees believe their leaders act with honesty and integrity.

Over the past 12 months, 76% of employees have observed illegal or unethical conduct on their job – conduct which, if exposed, would seriously violate the public trust.

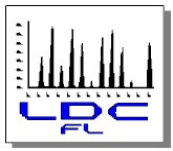
“The Speed of Trust” -Stephen M.R. Covey



Prepare yourself

- ▶ Start by establishing a firm sense of self. Know your values, beliefs and nonnegotiable principles. When things go wrong, people who haven't settled their values do things they would not normally do. They take dangerous shortcuts. Decide now which lines you are unwilling to cross.
- ▶ Train yourself to lead with courage by doing so on a daily basis.
- ▶ Say what needs to be said.
- ▶ Do what needs to be done.
- ▶ Change what needs to be changed.
- ▶ Decisiveness takes practice. Mastering this now will make future crisis management much easier.
- ▶ When you develop a reputation for being honest and straightforward without sugarcoating or minimizing the facts, your people learn to trust you.
- ▶ Speak with authenticity and integrity, and when crisis strikes, people will listen.

John C. Maxwell: Grace Under Fire



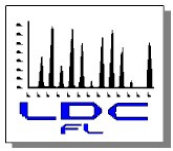
Management trust

When employees trust their manager, they're more likely to follow through on goals and be forthcoming about challenges. That's why it's important to reinforce your trustworthiness.

Examples of building – and keeping – your employees' trust:

- Make a connection. Get to know people on your team and let them get to know you.
- Delegate tasks and grant as much **autonomy** as possible, but make your expectations – and performance metrics – clear

Adapted from "Proven Ways to Earn Your Employees' Trust" by Carolyn O'Hara.
Harvard Business Review

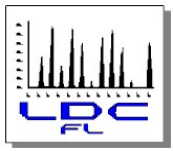


Perception

One of the hardest tasks of leadership is understanding that you are not what you think you are, but what you're perceived to be by others.

Edward L. Flom

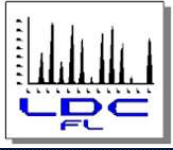




Remember...

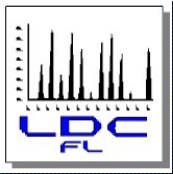
“.....other people's
ethical lapses feel
worse than our own!”

Art Markman, professor of Psychology and Marketing
at the University of Texas at Austin.



Organization Perception

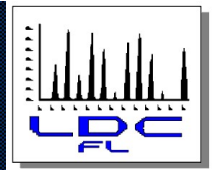
- ▶ Regardless of what an individual believes about a particular action, if society judges it to be unethical or wrong, whether correctly or not, that judgment directly affects the organization's ability to achieve its business goals.



► Take care of your reputation. It's your most valuable asset.

► The complete life's little instruction book



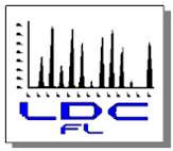


Management Integrity

“He who exercises government by means of his virtue may be compared to the north polar star, which keeps its place and all the stars turn towards it.”

-Confucius, *The Confucian Analects*



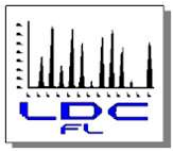


Ethical Decisions

“The time is always right to do the right thing”

-Martin Luther King



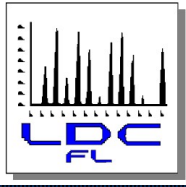


Coaching your employees

"Success is knowing the difference between cornering people and getting them in your corner"

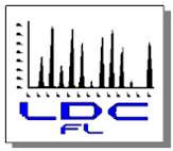
-Bill Copland





Coaching your employees

- ▶ Matching people's skills with your organization's needs.
- ▶ Creating realistic but inspiring plans for growth.
- ▶ Customizing your approach.
- ▶ Providing the support your employees need to achieve peak performance.
- ▶ Giving them feedback they'll actually apply.
- ▶ Tapping their learning styles to make greater progress.
- ▶ Engaging your employees and fostering independence.
- ▶ Promote ethical behavior by example

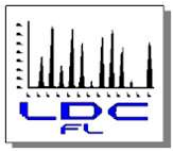


The supervisors prayer

- ▶ " Lord when I'm wrong, make me willing to change; when I'm right, make me easy to live with.

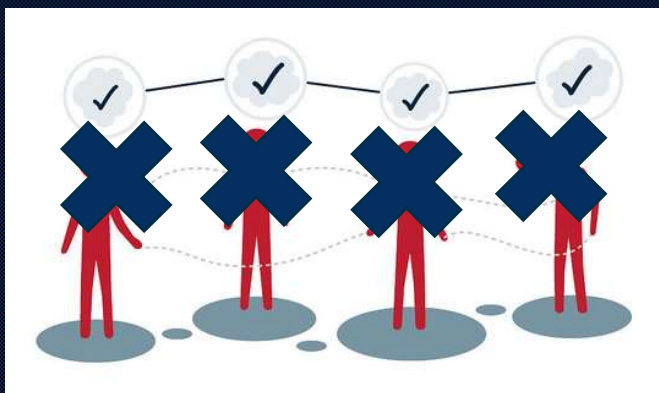
So strengthen me that the power of my example will far exceed the authority of my rank."

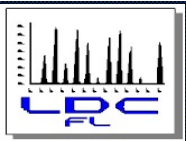
-Pauline H. Peters



“It is equally an error to trust all men or no man”

-Latin Proverb

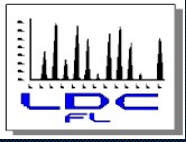




Manage an Immoral Employee

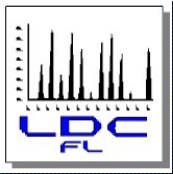
- ▶ Engage him, If you assign meaningful tasks, make him feel valued and accountable, he'll be more likely to act ethically.
- ▶ This is the time to employ peer pressure: partner your less-moral employee with a colleague who has strong integrity to motivate the former to behave better.
- ▶ Reduce temptations. Help those with weaker self-control by monitoring them a bit more and persuading them that the company truly values generous, altruistic behaviors.
- ▶ To do this, lead by example. The leader's morality level determines whether employees perceive the organization as ethical or unethical..

If you want employees to act morally, you have to act morally yourself



Manage an Immoral Employee

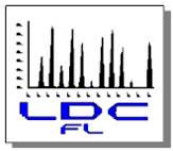
- Root cause his improper behavior
 - What caused it?
 - Did he think it was ok to behave unethically?
 - Was it caused by something other than his own character?
 - Am I or the organization giving the impression that ethical behavior is not important as long as the job is done?
 - How wide spread is the unethical behavior in the organization?



Transparency

- ▶ Let your employees understand your position in ethical behavior.
 - ▶ Discuss your expectations
 - ▶ Consequences for the employee
 - ▶ Consequences to the organization
-
- ▶ **Be the good example!**





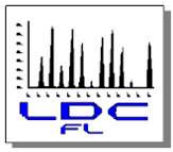
3 Ways to Really Motivate Your Employees

Companies often turn to material perks (bonuses, game rooms, free food) in the hopes of making employees happier.

But research suggests that these efforts, while appreciated, aren't effective drivers of long-term well-being.

Instead, leaders should be mindful about giving their employees three things:

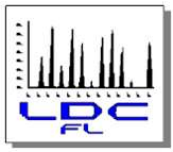
- ▶ **Inspiration.**
- ▶ **Kindness.**
- ▶ **Self-Care.**



Management Responsibility

- ▶ When it comes down to ethical leadership in our industries it comes down to this.....
- ▶ Owners, CEOs, Senior Managers, Directors and Team leaders shall always demonstrate their agreement of proper daily tasks by positively supporting the QA Management plan and ethical behavior.

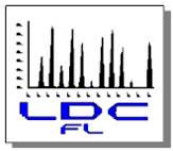




Final Thought.....

If you were given a nickname descriptive of your character as a manager would you be proud of it?

God's little instruction book for women



References

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