




MARGIE BASTOLLA FACILITATIONS, LLC.

Where's the Bar?

2019 Williamsburg Fraud Conference

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PERSONAL ETHICS

- Where is your personal ethics baseline?
- At what point would you draw the line?
- How do personal ethics impact corporate ethics?
- Have your personal ethics have been compromised in the workplace?

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ORGANIZATIONAL ETHICS

- Is there a culture of ethical behavior?
- Where is the ethical bar or baseline?
- How is the ethical culture supported and maintained?
- Is there room for improvement? If so, what's your role?

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ETHICS

- 38% of employees say ethics are the first or second most important workplace attribute.
- Many organizations fail miserably at ethics training.
- No substitute to hiring ethical people

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WHICH VALUES ARE MOST IMPORTANT TO YOU?

• Integrity	• Presence
• Feelings	• Intelligence
• Spirituality	• Strength
• Achievement	• Freedom
• Creativity	• Courage
• Enjoyment	• Order

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VALUES

The values that are most applicable to us personally contribute to our personal code of conduct. These values serve as the basis of our professional ethics.

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PROFESSIONAL ETHICS

Include accepted standards of personal & business behavior, values, & guiding principles.

IIA's Code of

- ✓ Integrity
- ✓ Objectivity
- ✓ Confidentiality
- ✓ Competency

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WORKPLACE PRINCIPLES

- Honesty
- Integrity
- Trustworthy
- Loyalty
- Fairness
- Respect
- Civility
- Law-abiding
- Commitment
- Leadership
- Reputation
- Morale
- Accountability

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SHARED WORKPLACE VALUES

- Respect
- Honesty
- Accountability
- Commitment to Excellence
- Positive Mindset
- Tolerance
- Helpfulness

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**AUDITING THE CULTURE**

- Research & Explore
- Evaluate & Determine
- Interview/Question & Listen
- Investigate & Scrutinize
- Document
- Analyze & Calculate
- Quantify & Qualify

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**QUESTIONS TO CONSIDER**

Does the organization have & promote an ethics hotline?

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**QUESTIONS TO CONSIDER**

What ethics training programs does the organization provide on a regular basis?

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**QUESTIONS TO CONSIDER**

Is a full range of ethical compliance policies in place?

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**QUESTIONS TO CONSIDER**

What ethical policies are in place, how are they communicated, and how is compliance assured?

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**QUESTIONS TO CONSIDER**

Does the employee handbook delineate the Code of Ethics, ethics hotline, ethics training expected, & ethics policies?

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**QUESTIONS TO CONSIDER**

What past ethical breaches might there have been in the organization & what were the outcomes?

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**QUESTIONS TO CONSIDER**

What controls are in place to prevent future breaches in ethics?

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**Ethics**

- Promote trust
- Elevate morale
- Boost productivity
- Enhance professionalism
- Improve workplace relations

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LET'S CONNECT!

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