

Participant Coursebook



Foundations for Accountability, Ethics and Values.

FOR Preview Purposes Only

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AGENDA

- I. Introduction to Accountability: Why Are We Here?
- II. Accountability Defined: What do we Mean by Accountability?
- III. What is Ethics?
- IV. Steps to Effective Accountability
- V. Healthy Relationships: The Basis for Effective Accountability
- VI. Self Accountability: Setting Up Accountability
- VII. Peer to Peer Accountability: Having the Accountability Discussion
- VIII. Downward Accountability: Measure of Last Resort

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ACCOUNTABILITY THAT GETS RESULTS

Effective accountability is done with, not to somebody. It starts with having the right relationship to hold somebody accountable, then having clear expectations which set everybody up for success. Effective accountability works from the inside out rather than the top down.

How often do we reward poor performance and punish good performance? If the biggest client in the office is having a problem at their location in Baudette, Minnesota, whom are you going to ask to give up their family life, hobbies, and weekend to travel out and fix it, the low performer in your office or the high performer? Logically it's the high performer, and if we are not otherwise taking care of our high performers and holding our low performers accountable, the high performer will feel punished! Do we start meetings on time, or wait for those who are late and whom does that reward and punish?

When you ask the question in your organization "how does accountability happen around here?" is the most common answer "what accountability?" or "not very good." We often promote supervisors and managers to their leadership positions based on their technical skills, not their leadership skills and thus, while they are often an excellent engineer, or accountant, or equipment operator, or fill-in-the-blank-technical-superstar, they often lack an effective approach to holding people accountable.

The illustration below shows that there is an opportunity to solve the greatest magnitude of problems at the most basic level. If we start at the bottom and work towards the top, most of the issues will be solved before we ever have resort to the downward accountability judgment which far too many people errantly see as the starting point.



WHAT IS ETHICS?

Ethics and accountability are often discussed together. However, like accountability, ethics seems to have different meanings to different people. If ethics is a moving target then how do we dial it in for our team and our organization?

As a leader, would you want somebody to say you were ethical? Would you want somebody to say you were unethical? What should be the basis for either evaluation? Discuss at your tables what comes to mind as a definition when you say the word “ethics”?

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If you think of what it TAKES to be an ethical business or an ethical leader what traits would you list as criteria for ETHICAL? (brainstorm your own list)

Do we all agree, or are some of the ethical criteria optional versus mandatory? Who decides what's mandatory or optional?

WHAT IS CORPORATE RESPONSIBILITY?

Does a company who tries to do “good” qualify as ethical? What if a company breaks a law on administration of prescription drugs by giving a controlled medication to a person who is lying on the floor about to die...does the lawbreaking to save a life constitute ethical or unethical behavior? Do the ends justify the means? Is it okay if it doesn't “hurt” anybody?

Since there appears to be a spectrum regarding ethics, and ethical behavior then the reality is we can only claim ethics to be whatever we make of it in each situation, team, or organization we are contributing. Ultimately the responsibility falls on the entire team to uphold whatever level of ethics they believe to be appropriate for their situation. The Team sets the expectation and then the reality is established in every future behavior, transaction, decision, and attitude from that point forward. Do we have stated ethics standards or expectations for our organization/team? If so, are there ever differences between what we expect and the behaviors or transactions that happen?

If ethics is ever to become a real guiding light within an organization/team, then it will be based on the level of effective accountability within that team. Every person, from the top down and the bottom up has a role and a responsibility to ensure ethical behavior is a real outcome, and not just a policy. It's not always easy, and thus we'll spend some time looking deeper into the effective accountability process.

NO EXCUSES VIDEO – FOUNDATIONS FOR ACCOUNTABILITY, ETHICS AND VALUES

As you watch the video, take note of the steps included in the accountability process.

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STEPS TO EFFECTIVE ACCOUNTABILITY

1. Examine or Establish Relationship

- Provides the basis for the depth of accountability you can pursue
- Allows you to determine the approach best suited for the situation to maximize the potential outcomes

2. Self Accountability

- Allows you to be crystal clear on what you thought about the expectations and subsequent reality
- Ensures you've done everything to avoid justification and are willing to be objective
- Allows you to gain credibility by doing what you can to solve the situation before involving others
- Provides the ability to do accountability “with” and not “to” someone
- Re-focuses you on what solution is really needed for the situation to be “fixed”

3. Peer to Peer Accountability

- In the broadest sense, it can mean upward to a boss, downward to a subordinate, or lateral to a colleague
- Is the MEAT of the process, where the alignment of expectations and the misaligned outcomes are discussed
- CPR = Clarify, Present, Request

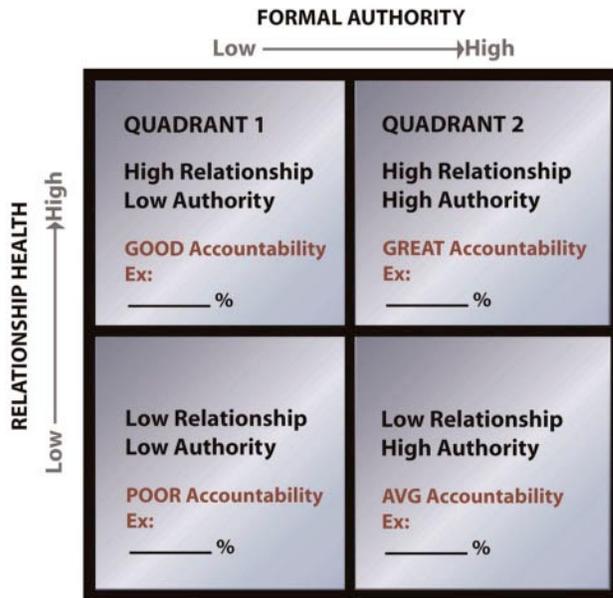
4. Downward Accountability

- Forces you to consider which battles are worth the effort
- Allows both sides one last opportunity to get it right before going to judgment
- Provides both positive and negative consequences that match behavior

SAMPLE ACTION PLANS

PRIME THE PUMP - HEALTHY RELATIONSHIP = THE BASIS FOR ACCOUNTABILITY

While it's possible to develop a relationship over time where you have great history with, and knowledge of, another person that itself doesn't define the HEALTH of the relationship. You may have a situation where you'd characterize the relationship as "good" overall, and still have challenges with accountability in certain areas. So while it's possible to have "good" relationships with difficult accountability, one thing is almost guaranteed: without a healthy relationship accountability is going to be difficult at best!



Individually, think about how many situations (accountability situations) occur within each quadrant (accountability situation means where you need to hold somebody else accountable)? If 100% of your accountability situations were to be divided into each of these four quadrants, what percentage of accountability situations would you put in each one so that the total equals 100%?

Discussion: What are the elements of a GOOD/HIGH/HEALTHY RELATIONSHIP?

Who do you trust that you don't know very well? Who do you have a strong healthy relationship with that you don't spend much time with?

Notes:

SELF ACCOUNTABILITY

It all starts here: taking a good, hard look at yourself before you attempt to hold others accountable. If you see yourself as part of the process, you are more likely to do accountability with somebody else rather than to them! When you look at society today you can see plenty of examples of poor accountability where people are blaming others without any objective approach or acknowledgement that they have had some role in the accountability they are trying to dole out. Effective accountability starts by looking inward, not outward.

Think about people in your life that you feel have demonstrated self-accountability. These could be teachers, coaches, bosses, co-workers or others that you feel really looked in the mirror FIRST when it came to dealing with issues. What are the traits/characteristics of people that demonstrate a high level of self accountability?

Brainstorm things you could do prior to any attempt at holding others accountable?

Discuss how you would describe the “attitude” best used to get effective accountability? Is this the attitude you typically see in others when they are attempting to hold somebody accountable?

Discuss the recent “Wall Street Bank Bail Out” at your table and specifically identify your table's thoughts on self-accountability in what has become a national concern. In other words, we can always point fingers at the banks, or the executives, or the government, but is there anything we can take responsibility for ourselves as general citizens, borrowers, spenders, and consumers?

PEER TO PEER ACCOUNTABILITY CPR

It is necessary to have the accountability discussion if we want to move from simply giving an account to execution and improved outcomes. In that discussion, we need to assure we are on the same page, and that we focus on a solution versus on excuses, justifications, or arguments.

PEER TO PEER ACCOUNTABILITY is the process of holding the accountability discussion with another human being in a way that treats them with respect. It would be the same process whether you are talking to your supervisor, your subordinate, or an actual peer level co-worker. This peer to peer accountability process would be used for upward accountability discussions with your boss, or discussions with your teenage child. The **KEY** is to **HAVE THE DISCUSSION**. Most of the time when accountability failures happen it's because the discussion was avoided, or not done well and somebody has gone to an authority (downward accountability) and skipped this crucial step!

The process for healthy accountability is **CPR = Clarify, Present, Request**.

CLARIFY why you are having this discussion: It's about making sure they know you are there to do accountability **WITH** them and not **TO** them. List some key points you would make to ensure the person was clear that you were interested in success and not just attacking them personally for a mistake. How would you enter into the discussion with some specific encouragement rather than setting up fear and combativeness?

1. _____ 2. _____ 3. _____

PRESENT and align expectations: The focus should be on **WHAT**, not **WHY**. Underline the word "what" in the prior sentence because it's so easy for people to allow this part of the discussion to move from objective to one with excuses and emotions. We need to see if both parties understood the expectations, so we need to find out **WHAT** the other person thought those expectations were and present **WHAT** we thought they were to see if they align.

Notes:

OBSERVERS ONLY!!!

OBSERVER EVALUATION FORM

JEFF'S LATE, SUPERVISOR PRESENTS ROLE PLAY

1. From the communication that took place, do you perceive there were any assumptions made by either party?
2. What tone was taken by each at the beginning? Did this tone change at all over the course of the discussion presenting expectations?
3. Did the supervisor begin with a statement or a question?
4. Was there any indication of self-accountability by either party in the presenting of expectations/alignment? If so, what?
5. What behavior or approach seemed to be most effective?
6. What behavior or approach seemed to be most effective?
7. What could they have done better? Ask them to self-diagnose what they feel they could have done better and make a note here. It's okay and even appropriate here for them to diagnose the "set up" of the role play (i.e. they might not have sent an email to begin with or they might have handled the 1st tardy different, etc.) but also ask if given the set up is what it is, how would they analyze what they could have done better in the roles given.

PEER TO PEER ACCOUNTABILITY CPR

REQUEST an appropriate fix/solution to the situation: This is often a missed step in most attempts at accountability. Perhaps people feel that just by addressing the situation and bringing it to light, that things will fix themselves. Too often, that's not the case. We need to fix whatever went wrong and we need to ask for a future where the current issue will not arise again.

Continuing in the theme of healthy accountability we have a FIT process to help you remember the key elements of an effective request. **FIT = Fix the Past, Indicate the Payoff, Target the Future.**

For each element of the REQUEST below, translate how you, as a supervisor, might approach the request with Jeff (from the role play) regarding being on time for work.

Fix: Here is what I'm willing to do...what can you do to fix the past? I'd like to ask for this, can you do this?

As Jeff's supervisor how would you approach the **REQUEST** for a fix in this situation? Especially focus on what can be done to fix the past.

Indicate the Payoff: I really think fixing this will give us more trust that future commitments will be kept and this project will be the win we all wanted!

As Jeff's supervisor how would you indicate the **PAYOFF** if the **REQUEST** is fulfilled?

Target the Future: Would we be able to do THIS in the future to keep this on track?

As Jeff's supervisor how would you target the future to ensure the fix **REQUESTED** is lasting? This is the **REQUEST** to fix the future so it's no longer a problem and expectations are aligned and met.

Notes:

DOWNWARD ACCOUNTABILITY

This step is the most difficult to take because there will likely be some negative consequences (and likely some positive consequences as well!).

Hopefully, if we've nurtured the relationship well, if we've started with self-accountability, if we've been in it with them and not doing it to them (during our peer to peer accountability discussions) then we've taken care of most of the accountability situations out there. However, in some cases we just cannot agree on what the expectations were or what change is necessary to ensure that if expectations are not met there will be consequences. These are often disagreements about scope and magnitude and at some point we need outside help.

If we own the authority (parent, boss) then sometimes the downward accountability will be dispensed directly by us. Sometimes it requires getting another person who DOES own some ultimate authority involved (parent, employer, manager, police, pastor, court, etc.). The process of effective accountability has the best outcome if we really consider what will happen and attempt one more time to avoid even having to go to this step.

Three young boys are playing downstairs while the adults socialize upstairs. Bursting through the door comes the oldest boy saying to his father, "DAD! My brother will not share his game like he is supposed to do and I've asked him several times when it would be my turn or my other brother's and he knows he is suppose to share after 60 minutes. It's been 2 hours and he is still not willing to share!" Grandma is sitting next to her son (the dad) and replies to the boy in a well-meaning tone "Now, now Zach, don't be a tattletale."

Notes:

DOWNWARD ACCOUNTABILITY

At your table discuss what the word “tattletale” means? Is Grandma right? How should “dad” respond to both Grandma and to Zach?

When is it appropriate to get downward accountability support versus when might it be inappropriate?

What changes if the story reads this way: Three managers are working on a customer project while the senior executives are back at corporate taking care of strategy. Bursting through the door at headquarters comes the most veteran manager saying to his boss, “JOE! My colleague will not follow through like he is supposed to and I've asked him several times when it would happen and he knows he is supposed to follow through at this point in the project within 60 minutes. It's been 2 hours and he is still not willing to do it! We are going to miss the deadline and the client will be negatively impacted!”

DOWNWARD ACCOUNTABILITY

The best approach is to preview the future prior to implementing downward accountability. It's helpful to gauge the other person by **ASKing** some questions and discussing your answers together. It will also get them thinking about the prospects of Downward Accountability by asking what will happen if we cannot get this fixed together, right here, at our level? You might also **ask** what will happen to our relationship, what will happen to the common ground we've built if we have to take this essentially "to court" and do we really want that relationship impact...is it worth it to have a victor declared?

What are the consequences of proceeding with Downward Accountability, both positive and negative, and are we ready to face them so that we can have full transparency going forward. If appropriate, it would be helpful to get a mutually respected and like-minded objective person to come join the discussion and give some preliminary input

Once the forecasting questions have been discussed, it's time to close with a statement. This is where you are no longer asking for opinions or aligning expectations, you simply **TELL** them what you think will be the case, in your estimation, based on the facts you have and the discussions you've had together. This is where you suggest one last time, "here are the consequences I foresee and here are the criteria that would fix/solve the problem" then give them a final opportunity to **CHOOSE** the outcome. "Can we solve this problem meeting THAT criterion (already identified) or do we need to go get outside council and accept the consequences of that action?"

If you were Mary and had to get into the Downward Accountability phase, how might you approach things with Carlos in each area of Ask, Tell, Choose?

Ask: What questions might you pose to Carlos to get both of you thinking about and discussing the potential of downward accountability?

Tell: What do you feel will happen next between you and Carlos?

Choose: Identify the likely consequence and present one final choice...

DOWNWARD ACCOUNTABILITY

It's important to get results. Having positive consequences for good behavior is accountability, and that's often not a problem. However, having negative consequences for negative behavior is sometimes difficult. It can be complex if there is no real authority, or if we determine that going to the authority is a battle that's not worth fighting.

List the difficult aspects of enforcing negative consequences...versus...what might happen if you do not enforce negative consequences when there are unmet expectations or negative behavior?

What makes enforcing negative consequences difficult?	What happens if we don't deal with it?

If we do not feel formal downward accountability is the best option, yet we need to have some type of appropriate negative consequence, then what options might exist?

OPTIONAL CASE STUDIES

Try to identify what the root of the problem is in each scenario:

LawBreaker! I'm walking down the park in Washington DC, between the Lincoln and Washington Memorials. A man in front of me drops a lit cigarette in the grass, leaving it smoldering as he continues walking. He has broken a littering law, on top of annoying me at his disrespect for this special place in our Nation's Capital. What's the best remedy?

Terrorist Attack! I'm waiting in a mile-long security line where I'm cutting it close for my flight to work a deal with a major client. Suddenly I get pulled out of line and asked to go back to the check-in counter for a special screening due to new regulations just announced minutes ago by TSA. The airline employee is noticeably frustrated, and I'm even more frustrated. This could cost me a major deal, cost my company, cost my family. They had better get me on this flight. How should I approach the situation...what's the problem and what steps of Effective Accountability would be implemented?

Can't Happen! Production in this Fortune 500 plant is suffering. One of the root causes is the inflexible scheduling due to a union contract. However, the union workers don't like the inflexibility, and neither do the supervisors and it's not making the customer happy either. However, when repeatedly presented to the company president his reply is, "Sorry, it's a union contract and we CAN'T change it. We bring it up at negotiations and they won't budge. It's just part of the system." What is the problem and how should I approach a remedy based on the steps of Effective Accountability?

CASE 4: Sales has incentive to get things sold and to cater to the customer to make them happy. Operations has incentive to be efficient and to cater to process improvement that makes their jobs and their environment better. Sales has systematically and routinely SOLD a bill of goods that simply cannot be kept within manufacturing cost targets and they also set timeline expectations with customers that cause operations problems, despite trying to work every angle of overtime and production acceleration. Sales thinks operations SHOULD be able to do it and points to evidence that sometimes they do make it happen. Operations thinks Sales has an unrealistic system for estimating both timeframes to customers, as well as the product and pricing. What is the problem and how should I approach an Effective Accountability remedy?

AccountaCution CPR ACTION PLAN	
<p><i>Use this form to document the Action Plan. Take the time to specify exactly what you hope to achieve and how you intend to go about it. Make any notes on the next page or on the back.</i></p>	
Problem ID:	Date:
<p><i>Identify your role in the situation, how can you help (part of solution or part of the problem?)</i></p>	
<p>CLARIFY: <i>ASK vs. Tell = More questions, less statements. DO NOT ASSUME! Ask for help, be receptive. Questions might include?</i></p>	
PRESENT	
<p style="text-align: center;">Points of Encouragement</p> <p>1.</p> <p>2.</p> <p>3.</p>	<p style="text-align: center;">Win/Win/Win</p> <p>1.</p> <p>2.</p> <p>3.</p>
REQUEST (FIT: Fix the Problem – Indicate the Payoff – Target the Future)	
<p>1.</p> <p>2.</p> <p>3.</p> <p>4.</p> <p>5.</p> <p>6.</p>	

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PROGRAM EVALUATION

Class Name:	Date:
Name: (Optional)	Company:

Please circle the number which best reflects your opinion of this training program.

	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> Not at all ←————→ Very </div>
1. The objectives of this course were relevant to the knowledge/skill requirements of my job.	1 2 3 4 5
2. The course materials were useful and relevant to my job.	1 2 3 4 5
3. The course content was presented in a clear and understandable manner.	1 2 3 4 5
4. This course has increased my confidence level to apply this training to my job.	1 2 3 4 5
5. The information in this course was informative and helpful.	1 2 3 4 5
6. How would you rate the delivery skills of the instructor(s)?	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> Low ←————→ High </div>
Course Presentation/Visuals	1 2 3 4 5
Knowledgeable	1 2 3 4 5
Enthusiastic	1 2 3 4 5
Able to Stay on Topic	1 2 3 4 5
Encouraged Participation	1 2 3 4 5
7. How would you rate the facilities & classroom?	<div style="border: 1px solid black; padding: 5px; display: inline-block;"> Low ←————→ High </div>
Comfort	1 2 3 4 5
Service & Friendliness of Staff	1 2 3 4 5
Workshop Supplies	1 2 3 4 5
8. Please list three ideas or skills that you will apply to your job.	_____ _____ _____

**Use the back of the form if you have additional comments or suggestions.
Thank you for your comments and feedback.**

