

**THE COMPLIANT,  
ETHICAL, AND MORAL  
LEADER -- CORE  
COMPETENCIES FOR THE  
21<sup>ST</sup> CENTURY**

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# OVERVIEW

- **Compliance and Compliant**
- **Ethics and Ethical**
- **Morality and Moral**
- **Case Studies**
- **Some Final Thoughts on Leadership**

# COMPLIANCE AND COMPLIANT

- **“Compliance” – Dictionary.com**
  - The act of conforming, acquiescing, or yielding
  - A tendency to yield readily to others, especially in a weak and subservient way
  - Conformity; accordance: e.g., “in compliance with orders”
  - Cooperation or obedience: e.g., “compliance with the law is expected of all.”

# COMPLIANCE AND COMPLIANT

- **“Compliant” – Dictionary.com**
  - **Complying; obeying, obliging, or yielding, especially in a submissive way: e.g., “a man with a compliant nature”**
  - **Manufactured or produced in accordance with a specified body of rules (usually used in combination): e.g., “Energy Star-compliant computers”**

# ETHICS AND ETHICAL

- **“Ethics” – Dictionary.com**
  - **A system of moral principles: e.g., “the ethics of a culture”**
  - **The rules of conduct recognized in respect to a particular class of human actions or a particular group, culture, etc.: e.g., “medical ethics; Christian ethics”**
  - **Moral principles, as of an individual: e.g., “His ethics forbade betrayal of a confidence.”**

# ETHICS AND ETHICAL

- “Ethical” – Dictionary.com
  - Pertaining to or dealing with morals or the principles of morality; pertaining to right and wrong in conduct.
  - Being in accordance with the rules or standards for right conduct or practice, especially the standards of a profession: e.g., “It was not considered ethical for physicians to advertise.”

# MORALITY AND MORAL

- “Morality” – Dictionary.com
  - Conformity to the rules of right conduct; moral or virtuous conduct
  - Moral quality or character
  - A doctrine or system of morals



# MORALITY AND MORAL

- “Moral” – Dictionary.com
  - Of, pertaining to, or concerned with the principles or rules of right conduct or the distinction between right and wrong; ethical: e.g., “moral attitudes”
  - Founded on the fundamental principles of right conduct rather than on legalities, enactment, or custom: e.g., “moral obligations”
  - Capable of conforming to the rules of right conduct: e.g., “a moral being”
  - Conforming to the rules of right conduct: e.g., “a moral man”

# WHAT'S THE DIFFERENCE?

- And what about “Legal?” – **Dictionary.com**
  - Permitted by law; lawful: e.g., “Such acts are not legal.”
  - Of or pertaining to law; connected with the law or its administration: e.g., “the legal profession”
  - Appointed, established, or authorized by law; deriving authority from law.
  - Of, pertaining to, or characteristic of the profession of law or of lawyers: e.g., “a legal mind”

# CASE STUDIES

- **Assumption: You have recently been hired as a Senior Leader (but not the CEO) in your Organization.**
- **Definition: “Senior Leader” means “The CEO (or equivalent) or one of his/her direct reports.”**
- **Assumption: Your organization is embracing the Baldrige approach to organizational performance assessment and improvement.**

# CASE STUDIES

- **Structure: Each Case Study consists of**
  - **A Scenario**
  - **Questions about the Scenario**
- **Respond to the Scenario Questions within the context of**
  - **Compliance**
  - **Ethics**
  - **Morality**
  - **Legality**

# CASE STUDY: BAD JOKE

- **Scenario:** As you are walking past the Managers Lounge, you overhear one of your subordinate managers telling a joke that makes fun of a certain ethnic group. The others in the group laugh at the punch line.

# CASE STUDY: BAD JOKE

- What are the issues?
- What parts of the Baldrige Criteria are relevant?

# CASE STUDY: BAD JOKE

- **Action: What do you do?**
  - A. Fire the Jokester on the spot.**
  - B. Fire the Jokester, and report the others to their respective Senior Leaders (your counterparts).**
  - C. Schedule a Diversity Awareness Seminar for the group.**
  - D. Have a private discussion with the Jokester.**
  - E. Address the issue immediately with the entire group.**
  - F. Do something else. (What?)**
  - G. Do Nothing.**

# CASE STUDY: BAD JOKE

- **Discussion: What are the consequences of each action?**
  - A. Fire the Jokester on the spot.**
  - B. Fire the Jokester and report the others to their respective Senior Leaders (your counterparts).**
  - C. Schedule a Diversity Awareness Seminar for the group.**
  - D. Have a private discussion with the Jokester.**
  - E. Address the issue immediately with the entire group.**
  - F. Do something else. (What?)**
  - G. Do Nothing.**



# CASE STUDY: BALDRIGE CRITERIA TRAINING

- **Scenario:** Your hospital's parent organization has embraced the Baldrige approach to organizational performance assessment and improvement. One requirement is that every workforce member attend a three-day Criteria Workshop. One recently hired Senior Leader (your counterpart) attends the first day of the Workshop and makes it very clear he is disengaged. He does not show up on the second and third days.

# CASE STUDY: BALDRIGE CRITERIA TRAINING

- **Scenario:** You report to your CEO that this individual did not complete the training, and that he is the only person in your organization who has not completed the training. Your CEO tells you to direct HR to make an entry in this individual's record indicating that he attended the training, and to report to the parent organization that all members of your hospital's workforce have completed the training.

# CASE STUDY: BALDRIGE CRITERIA TRAINING

- What are the issues?
- What parts of the Baldrige Criteria are relevant?

# CASE STUDY: BALDRIGE CRITERIA TRAINING

- **Action: What do you do?**
  - A. Do what the CEO says.**
  - B. Refuse to do what the CEO says.**
  - C. Resign.**
  - D. Remind the CEO of the Baldrige requirements for Senior Leaders to promote and ensure legal and ethical behavior – 1.1a(2) and 1.2b(2).**
  - E. Become a whistle blower – report your CEO to the parent company.**
  - F. Do something else. (What?)**

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# CASE STUDY: EMERGENCY PROCEDURES CERTIFICATION

- **Scenario:** USS Neversail is scheduled to deploy to the Mediterranean in two weeks to relieve a ship that has been there for nine months. As part of the pre-deployment workup, you review the ship's Personnel Qualifications Standards and note that helicopter crews' emergency procedures certifications have lapsed.

# CASE STUDY: EMERGENCY PROCEDURES CERTIFICATION

- **Scenario:** Not being fully certified in this will make your ship “Not Ready” and unable to deploy. Helicopter crews will be able to re-certify by deployment, but that will mean that they will have to give up pre-deployment leave, and will have to work extra hours every day until deployment.

# CASE STUDY: EMERGENCY PROCEDURES CERTIFICATION

- What are the issues?
- What parts of the Baldrige Criteria are relevant?



# CASE STUDY: EMERGENCY PROCEDURES CERTIFICATION

- **Action: What do you do?**
  - A. Notify the Commanding Officer immediately and recommend that pre-deployment leave be cancelled for helicopter crews.**
  - B. Start a training and certification program to re-certify all helicopter crews prior to deployment.**
  - C. Recertify the helicopter crews, and ensure they perform the required recertification activities immediately upon deployment.**
  - D. Do something else. (What?)**
  - E. Do nothing.**

# CASE STUDY: EMERGENCY PROCEDURES CERTIFICATION

- **Discussion: What are the consequences of each action?**
  - A.** Notify the Commanding Officer immediately and recommend that pre-deployment leave be cancelled for helicopter crews.
  - B.** Start a training and certification program to re-certify all helicopter crews prior to deployment.
  - C.** Recertify the helicopter crews, and ensure they perform the required recertification activities immediately upon deployment.
  - D.** Do something else. (What?)
  - E.** Do nothing.

# CASE STUDY: ALCOHOL ABUSER

- **Scenario:** During a reception for new managers and executives, one of your subordinate managers becomes inebriated and at the end of the reception it is apparent that she is in no condition to drive home.

# CASE STUDY: ALCOHOL ABUSER

- What are the issues?
- What parts of the Baldrige Criteria are relevant?

# CASE STUDY: ALCOHOL ABUSER

- **Action: What do you do right now?**
- **Action: What do you do Monday morning?**
- **Discussion: What are the consequences of your actions?**

# CASE STUDY: RECEIVING INSPECTION

- **Scenario:** During a random review of Receiving Inspection Records, you note that three months ago a shipment of fasteners was accepted as meeting specifications. Upon further investigation, you find that the fasteners did not, in fact, meet specifications. You also note that the fasteners have been used in product that has already been shipped.

# CASE STUDY: RECEIVING INSPECTION

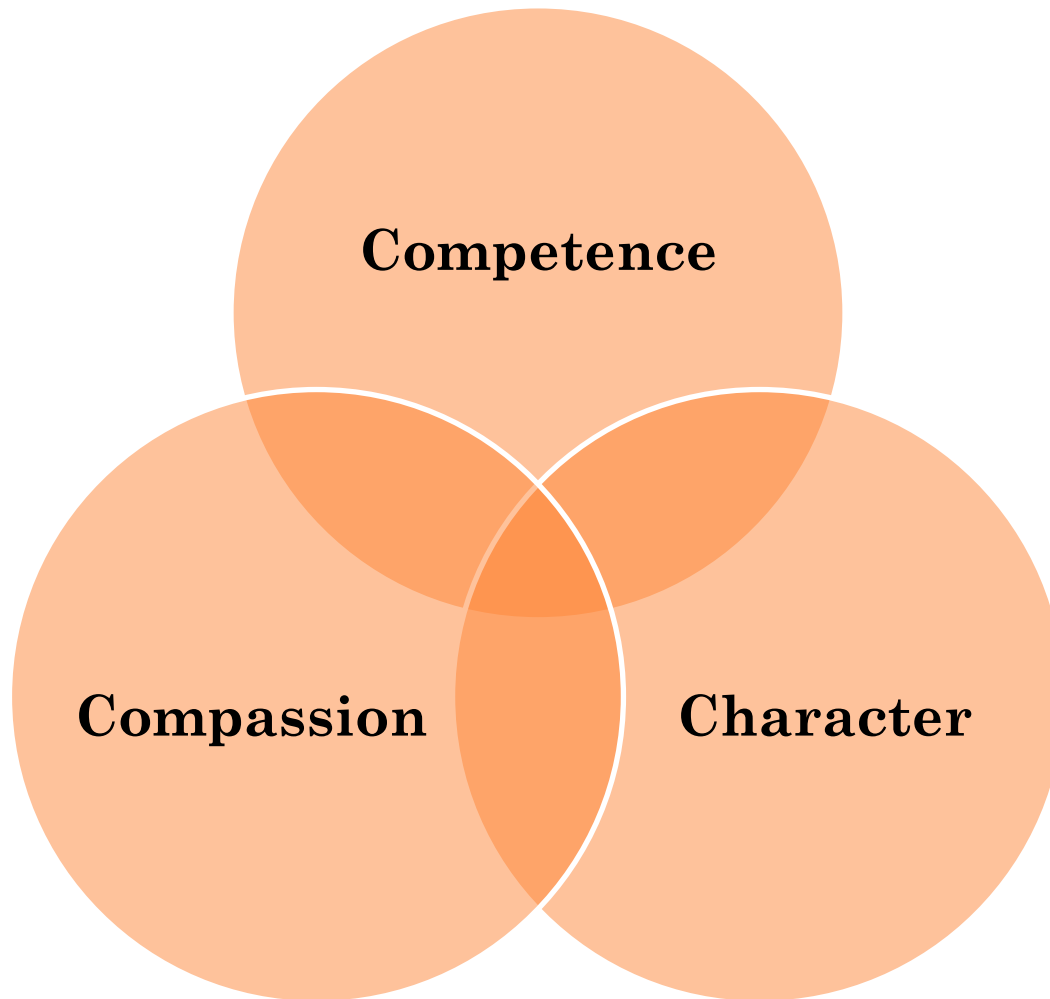
- What are the issues?
- What parts of the Baldrige Criteria are relevant?

# CASE STUDY: RECEIVING INSPECTION

- **Action: What do you do right now?**
- **Action: What else do you do later?**
- **Discussion: What are the consequences of your actions?**



# SOME FINAL THOUGHTS: THE LEADERSHIP TRIAD



# **SOME FINAL THOUGHTS: THE LEADERSHIP TRIAD**

- Competence: Does this Leader know his/her job? If not, is he/she striving, always and everywhere, learning the job?**
- Compassion: Does this Leader have his/her subordinates' best interests in mind?**
- Character: Will this Leader make the hard decisions – irrespective of the consequences to him/her?**

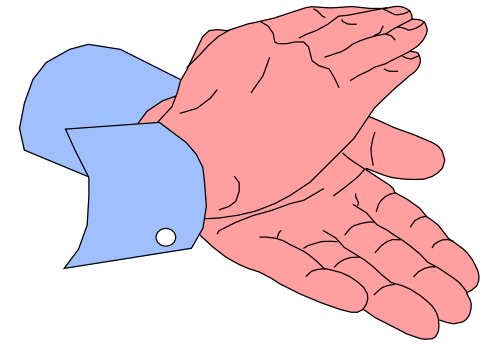
# SUMMARY

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- **Ethics and Ethical**
- **Morality and Moral**
- **Case Studies**
- **Some Final Thoughts on Leadership**

# QUESTIONS?



# THANK YOU!



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**GO  
NAVY!**

**BEAT  
ARMY!**