The Complete Compliance and Ethics Manual 2023
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:

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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.