

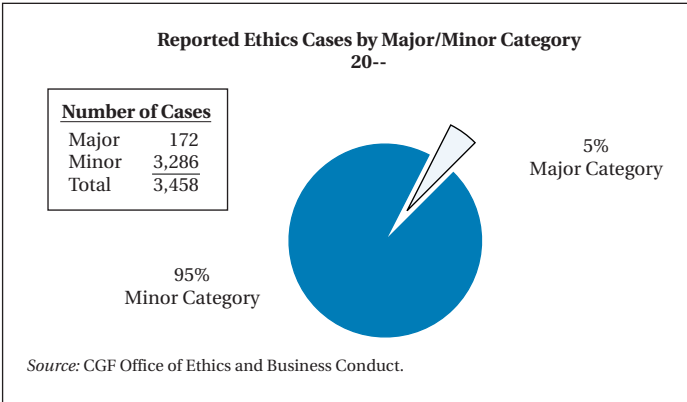
**ANALYSIS OF REPORTED ETHICS CASES**

*Reported Ethics Cases by Major/Minor Category*

CGF ethics officers and managers companywide handled a total of 3,458 ethics situations during 20--. Of these cases, only 172, or 5 percent, involved reported concerns of a serious enough nature to be classified as major ethics cases (see Figure 1). Major ethics cases were defined as those situations potentially involving serious violations of company policy or illegal conduct.

Figures placed in centered boxes.

Title within figure box is centered at top.



**Figure 1. Reported ethics cases by major/minor category in 20--.**

Each figure is identified with a title and number.

*Major Ethics Cases*

Of the 172 major ethics cases reported during 20--, 57 percent, upon investigation, were found to involve unsubstantiated concerns. Incomplete information or misinformation most frequently was discovered to be the cause of the unfounded concerns of misconduct in 98 cases. Forty-four cases, or 26 percent of the total cases reported, involved incidents partly substantiated by ethics officers as serious misconduct; however, these cases were discovered to also involve inaccurate information or unfounded issues of misconduct.

Detailed findings are presented.

Source: *The Technical Writer's Companion* (3rd edition) by Gerald J. Alred, Charles T. Brusaw, and Walter E. Oliu (Bedford/St. Martin's, 2002)

Only 17 percent of the total number of major ethics cases, or 30 cases, were substantiated as major ethics situations involving serious ethical misconduct or illegal conduct (CGF “20-- Ethics Hotline Results”) (see Figure 2).

Figures are numbered sequentially.

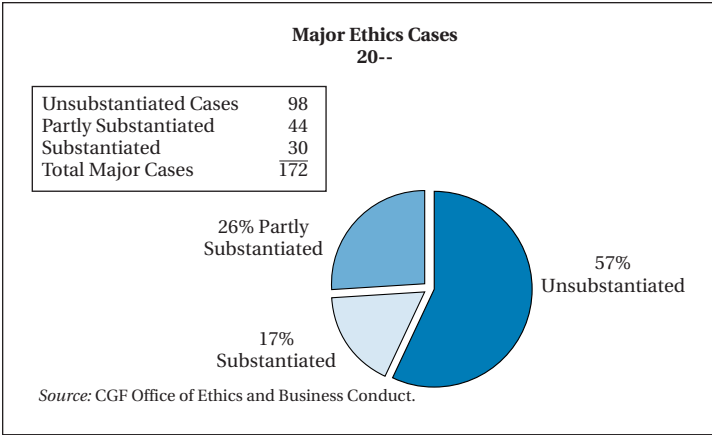
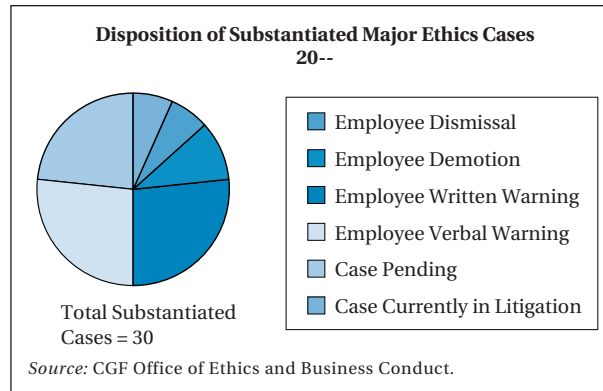


Figure 2. Major ethics cases in 20--.

Of the 30 substantiated major ethics cases, seven remain under investigation at this time, and two cases are currently in litigation. Disposition of the remainder of the 30 substantiated reported ethics cases included severe disciplinary action in five cases: the dismissal of two employees and the demotion of three employees. Seven employees were given written warnings, and nine employees received verbal warnings (see Figure 3).

Source: *The Technical Writer’s Companion* (3rd edition) by Gerald J. Alred, Charles T. Brusaw, and Walter E. Oliu (Bedford/St. Martin’s, 2002)

Graphs clarify report information.



**Figure 3.** Disposition of substantiated major ethics cases in 20--.

#### *Minor Ethics Cases*

Minor ethics cases included those that did not involve serious violations of company policy or illegal conduct. During 20--, ethics officers and company managers handled 3,268 such cases. Minor ethics cases were further classified as follows:

- Informational queries from employees
- Situations involving coworkers
- Situations involving management

As might be expected during the initial year of the Ethics Program implementation, the majority of contacts made by employees were informational, involving questions about the new policies and procedures. These informational contacts comprised 55 percent of all contacts of a minor nature and numbered 2,148. Employees made 989 contacts regarding ethics concerns involving coworkers and 149 contacts regarding ethics concerns involving management (see Figure 4).

Findings are reported in detail.

Program effectiveness is analyzed in detail.

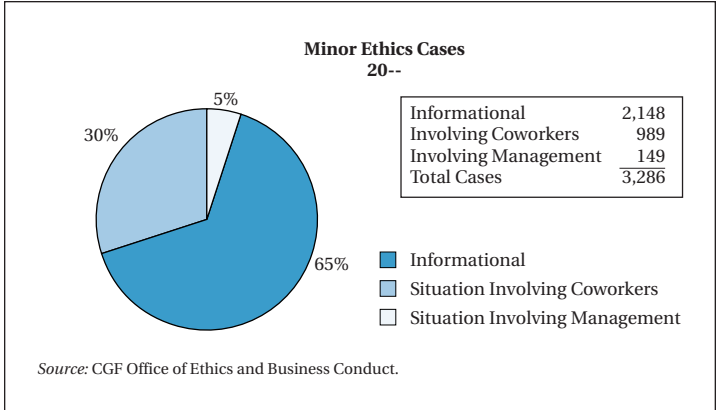


Figure 4. Minor ethics cases in 20--.

*Mode of Contact*

The effectiveness of the Ethics Program rested on the dissemination of information to employees and the provision of accessible channels through which employees could gain information, report concerns, and obtain guidance. Employees were encouraged to first go to their managers with any ethical concerns, because those managers would have the most direct knowledge of the immediate circumstances and individuals involved.

Other channels were put into operation, however, for any instance in which an employee did not feel able to go to his or her manager. The ethics officers companywide were available to employees through telephone conversations, face-to-face meetings, and email contact. Ethics officers also served as contact points for managers in need of support and assistance in handling the ethics concerns reported to them by their subordinates.

The Ethics Hotline became operational in mid-January 20-- and offered employees assurance of anonymity and confidentiality. The Ethics Hotline was accessible to all employees on a 24-hour, 7-day basis. Ethics officers companywide took responsibility on a rotational basis for handling calls reported through the hotline.

Source: *The Technical Writer's Companion* (3rd edition) by Gerald J. Alred, Charles T. Brusaw, and Walter E. Oliu (Bedford/St. Martin's, 2002)

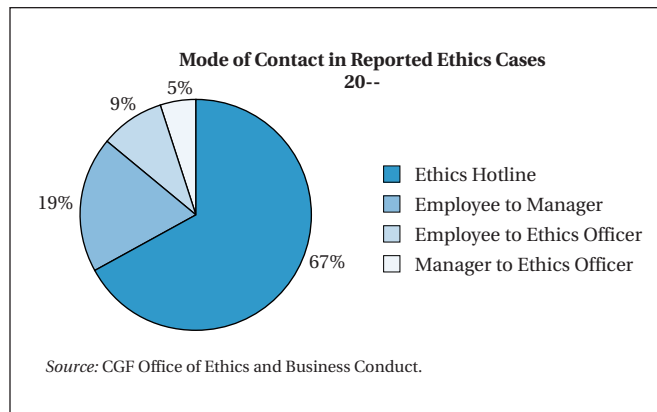
Bulleted lists help organize and summarize information.

In summary, ethics information and guidance was available to all employees during 20--through the following channels:

- Employee to manager
- Employee telephone, face-to-face, and email contact with ethics officer
- Manager to ethics officer
- Employee Hotline

The mode of contact in the 3,458 reported ethics cases was as follows (see Figure 5):

- In 19 percent of the reported cases, or 657, employees went to managers with concerns.
- In 9 percent of the reported cases, or 311, employees contacted an ethics officer.
- In 5 percent of the reported cases, or 173, managers sought assistance from ethics officers.
- In 67 percent of the reported cases, or 2,317, contacts were made through the Ethics Hotline.



**Figure 5. Mode of contact in reported ethics cases in 20--.**