Ground Rules

• Be respectful to others' opinion

• Respect confidentiality
  - No Names

• Start/Stop on time

• Silence phones and other electronic devices
<table>
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<tr>
<th>Course Title</th>
<th>Key Learnings</th>
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| Navigating Transitions in the Workplace - A Guide for Managers/ Supervisors | • How we react to change  
• How to communicate through change                                                                                                           |
| Leading Effective Teams and Meetings                                       | • Building successful teams  
• Elements of a successful meeting                                                                                                                  |
| Stepping Into Leadership                                                    | • Learning about the difference between managing and leading  
• Learning about to seize the opportunities to lead and develop our staff into tomorrows leaders.                                               |
| Tuning In                                                                  | • Learn about your preferences regarding: energy, information, organization and how they impact communication  
• Tools to help provide feedback to staff                                                                                                           |
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| Building and Coaching Engaged Work   | • Ways to create a positive work environment  
• Discussion of leader and follower behaviors                                                                                           |
| Groups                               |                                                                                                                                               |
| Doing the Right Thing                | • Making the right decision when faced with competing values, both of which may be right  
• Provide ideas and feedback to staff, especially in challenging situations                                                               |
| Getting Below the Surface            | • Increase our self-awareness of how individual beliefs, values and viewpoints affect others in the workplace.  
• Identify what our responsibilities are as managers to lead a diverse workforce                                                              |
| Leading Quality Process              | • Understanding the importance of process management and process analysis  
• Tools to help you find changes necessary to improve quality of your products/services                                                      |
Table Go Around - Exercise

At your table discuss:

• Experiences where you considered and tried to Do the Right Thing.

• What were your concerns about Doing the Right Thing?
Class Objectives

• Recognize Management’s role and responsibility for creating and maintaining an ethical environment in the Department of Taxation and Finance

• Provide tools for working through ethical dilemmas

• Beware of group think and learn how to avoid it
When presented with a dilemma, LEO can guide you. Just ask yourself:

**Legal** – does it violate the law  
**Ethics** – is it ethical  
**Optics** – how would it look in the news
NYS Code of Ethics

• *Don’t use your state position to obtain anything to which you are not entitled.*

• *Don’t allow any outside interests to improperly influence your official actions.*

• *Don’t do anything that could make it look as if you are doing one of the first two things.*
Potential Conflicts of Interest

- Previous Employment
- Outside Employment
- Business Interest
- Outside Activities
- Post-Employment
- Tax Secrecy
- Friends & Family
- Job Offers
- Gifts
To efficiently collect tax revenues in support of State services and programs while acting with integrity and fairness in the administration of the tax laws of New York State.
Ethical Principles

- Honesty
- Integrity
- Promise keeping
- Loyalty
- Fairness
- Caring and Concern for others
- Respect for others
- Civic Duty
- Pursuit of excellence
- Personal accountability

Real integrity is doing the right thing, knowing that nobody's going to know whether you did it or not.
-Oprah Winfrey
Right vs. Right Dilemmas

Truth vs. Loyalty

Individual vs. Community

Short Term vs. Long Term

Justice vs. Mercy
Resolving Right vs. Right Dilemmas

- Ends-based principle
- Rules-based principle
- Care-based principle
Dilemma Exercises
Groupthink is a process used by groups of people to make and justify decisions. These decisions are often faulty and lead to fiascoes.
Eight Symptoms of Groupthink

1. Illusion of Invulnerability
2. Collective Rationalization
3. Illusion of Morality
4. Excessive Stereotyping
5. Pressure for Conformity
6. Self-Censorship
7. Illusion of Unanimity
8. Mindguards
The Compliance Continuum

**Our Mission:**

To efficiently collect tax revenues in support of State services and programs while acting with integrity and fairness in the administration of the tax laws of New York State.
The Management Continuum

The same considerations apply: providing employees with the information, tools and support to be successful.
Final Thoughts and Action Plan

- **Legal** – does it violate the law
- **Ethical** – is it ethical
- **Optics** – how would it look in the news

Recognize that everyone has a role and a responsibility for creating and maintaining an ethical environment at the Department of Taxation and Finance

Apply ethical principles when reasoning through dilemmas

Provide ideas and feedback to staff, especially in challenging situations