



Be a Role Model!

(How to be a leader in Ethics)

- ☑ **Create the Right Environment**
 - Show a commitment to Alcoa's values
 - Promote an environment where compliance is expected
 - Make ethical behavior the norm
 - Alcoa has zero tolerance for ethics violations
- ☑ **Talk it Up**
 - Tie actions to ethical behavior
 - Take every opportunity to link decisions to company values
 - Look for ways to recognize someone who did the "right" thing
- ☑ **Walk the Talk**
 - Act like you talk
 - Remember – actions speak louder than words
 - Do what you are asking others to do
- ☑ **Be Approachable**
 - Let people know you want them to come to you with concerns or questions
 - Make yourself available
 - Don't ask someone to come back later unless you absolutely have to
- ☑ **Listen**
 - Find a quiet, private place for the person to talk to you
 - Listen – don't interrupt
 - Ask questions for clarification and understanding
- ☑ **Don't Prejudge**
 - Don't assume you know right away if the allegation is true or false
 - Give the person the benefit of the doubt
 - Don't say or do anything that might indicate you do not believe them
- ☑ **Follow-Up**
 - If the allegation involves a violation of a law, regulation, Alcoa policy or procedure contact Human Resources for professional assistance
 - If the allegation is more of a personal item, it is all right to handle it yourself
 - In either case, let the person know what you will do, and keep it as quiet and confidential as possible
 - Make sure small issues are treated as seriously as larger issues
- ☑ **Close the Loop**
 - Without violating the privacy of others, let the employee who raised the issue know the results of the follow-up
- ☑ **Be Careful**
 - Do not place, or appear to place, pressure on employees to deviate from acceptable ethical behavior
 - Don't embarrass someone who comes to you with a concern
 - Retaliation should never occur against anyone involved in the allegation
- ☑ **You Influence Others**
 - As a manager, supervisor or team leader, employees are listening...and watching
 - Employees will often follow your lead
 - You have an obligation to establish an open, ethical work environment
 - Be a leader in Ethics!

Available Resources

- ☑ **Your local Human Resources Department**
 - Guidance in responding to ethics questions
 - Professional handling of ethics issues and investigations
- ☑ **Corporate Ethics and Compliance Department**
 - Guidance on ethics and compliance issues
 - Coordination of potential fraud investigations
- ☑ **Alcoa Portal – Global Compliance Community - Ethics and Conduct Page**
 - Alcoa Policies and Procedures
 - Links to Alcoa policies and procedures
 - Alcoa Guide to Business Conduct
 - General guidance on basic ethics and compliance issues
 - References to selected Alcoa policies and procedures
 - Ethics and Compliance Training and Communication
 - Published ethics and compliance training modules and presentations
 - Ethics and compliance communication articles
 - Contact information for Ethics and Compliance Personnel
 - Corporate personnel
 - Regional ethics liaisons
- ☑ **Alcoa Portal - Legal Community**
 - Contact information for Alcoa Legal personnel
 - Business and Resource Unit legal contacts
 - Practice Area leaders



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