

# INDEX

## A

AA1000S standard, 32, 35, 235, 238, 239  
accountability systems in business ethics infrastructure, *see* responsibility functions  
action planning and action learning, 161–62  
administration of training programs, 165  
agents, *see* employees and agents  
AIDS/HIV, 28  
Alcatel Group, 121, 143  
alignment, 185–206  
    *see also* dealing with problems; “the right people in the right places” (under *r*)  
    business ethics programs, 186  
    checklist, 205  
    encouraging employees to follow standards, procedures, and expectations, 95, 101–2, 186, 194–98  
    fundamental questions regarding, 186  
    RBE worksheets, 206  
anti-money laundering (AML) provisions, 49, 221–22  
approval process, design and implementation of business ethics program, 62, 123  
auditing  
    audit committee, 134  
    enforcement of standards, procedures, and expectations, 167–68  
    integration of business ethics infrastructure with internal auditing systems, 142  
Australia, 49  
authority, delegating, 55–56, 97, 132–34  
authority systems in business ethics infrastructure, *see* responsibility functions

## B

baselines, 69–70  
*Basic Guidelines for Codes of Business Conduct*, 32, 109, 235  
benchmarking, 69–70  
Bennett, Juliette, 211  
best practices, 7, 37–38  
board of directors, 96–97, 132, 134  
The Body Shop, 23, 175  
Boeing Company, 110, 136  
Brabeck-Letmathe, Peter, 51  
Bradford, David L., 56  
bribes and kickbacks, 9, 24, 208–11, 221  
brochures, availability of, 154–55  
business associations, 32–34  
business conduct representatives, 141–42

business ethics council, 140  
business ethics infrastructure, 129–46  
    checklist, 145  
    communication, 166, 181  
    importance of, 130  
    LCEs, 129  
    leadership elements, 132  
    NGOs, 129, 131  
    owners and owner representatives, 132–34  
    RBE worksheet, 146  
    responsibility functions and systems, *see* responsibility functions  
    SMEs, 129, 131, 133, 140  
business ethics officer, 138–40, 143  
business ethics personnel, *see* responsibility functions  
business ethics programs  
    *see also* design and implementation of business ethics program; evaluating business ethics programs; more specific entries  
    alignment, 186  
    communicating, 45–47, 59  
    evolving market economies, 6–7  
    good management, responsible business conduct viewed as, 31–32  
    identity levels, 6, 47–51, 68  
    list of issues to be covered by, 123  
    process of developing responsible business conduct, 21  
    reporting program performance, 237–40  
    resources, 123  
    structural components, 52–53  
Business Partnership of Seversk, 210

## C

capital  
    expanded access through ethics, 26  
    social capital, *see* social capital, 29  
generating  
    Carver, John, 54, 96–100  
case studies in training programs, 162, 163, 164  
Cattaui, Maria Livanos, 9  
Caux Round Table, 32–33, 108, 235  
central planning legacies, transition to market economy, 12–16  
CEO (chief executive officer), 97, 132  
CERES (Coalition for Environmentally Responsible Economies), 32, 33  
charitable foundations, 220  
checklists  
    alignment, 205  
    business ethics infrastructure, 145  
    communication, 177  
    design and implementation of business ethics program, 63, 77  
    evaluating business ethics programs, 242  
    evolving market economies, 20  
    government officials and agencies, 224  
    process of becoming a responsible business, 40  
    standards, procedures, and expectations, 124  
chief executive officer (CEO), 97–98, 132  
chief financial officer, 142  
chief legal officer, 143  
Chiquita Brands International, 108  
clarification of responsibilities, 102  
Coalition for Environmentally Responsible Economies (CERES), 32, 33  
codes of conduct, 109–17  
    adaptations, revision, updates, and improvements, 116  
    aspirational *vs.* obligatory provisions, 115–16  
    cultural norms, 112–13  
    design, review, and approval process, 123  
    developmental guidelines, 114–15  
    disclaimers, 118–19  
    environmental protections, 111–12  
    formats, 116, 118  
    industry standards, compliance with, 111  
    introductory materials, 118  
    law, compliance with, 110  
    policies related to, 116–17  
    sample outline, 125–26  
    typical provisions, 117–23  
Cohen, Allan R., 56  
Collins, James C., 105  
command economy’s evolution to market economy, *see* evolving market economies  
communication, 147–55  
    *see also* feedback  
    audience knowledge, 149–51  
    brochures, availability of, 154–55  
    business ethics infrastructure, 166, 181  
    business ethics programs, 45–47, 59  
    checklist, 177  
    developing communications programs, 148–52

- document distribution, 153, 154–55
- management speeches, 152–53
- needs assessment, 151–52, 178
- posted materials, 153–54
- public feedback mechanisms and media involvement, 174–76
- published materials, 154
- RBE worksheets
  - infrastructure, 181
  - needs assessment, 178
  - standards, procedures, and expectations, 101, 152–55
  - training, *see* training programs
  - Web site, 154
- community, *see* social capital, generating
- competition
  - central planning legacies, 12–13
  - enhancement through ethics, 25–26
  - relationships and responsibilities between enterprise and, 121
- compliance level of RBE identity, 6, 48–49, 187–88
- confidentiality, ensuring, 172
- consultants, stakeholders as, 59
- consumers, *see* customers and consumers
- contents
  - program evaluation reports, 239–41
  - training programs, 156–58
- context of enterprise, scanning, 74–75, 80–81
- continuous improvement, incorporating, 56–57
- contracting and procurement, governmental, 215–18
- cooperation with government, 201–2
- core beliefs and values
  - Herman Miller Japan Ltd. statement on, 193
  - mobilizing enterprise around, 55
  - narrative used to project, 158
  - personal values, 159–60
  - standards, procedures, and expectations for RBEs, 102–4
  - training programs, 155–56, 158–59
- corporate social responsibility (CSR), and SMEs, 44
- corrective actions, 202
- corruption, 9, 24, 201, 208–11, 221
- cost reduction and responsible business conduct, 23–24
- councils
  - business ethics council, 140
  - professional ethics councils, 141
- credibility of evaluation reporting, 238–39
- credit, expanded access to, 26
- CSR (corporate social responsibility), and SMEs, 44
- culture and business ethics, *see also* organizational culture
  - codes of conduct and respect for cultural norms, 112–13
  - compliance level of business ethics programs, 49
  - evolving market economies, 8–9
  - socio-cultural element of relevant context, scanning, 73–74
  - standards, procedures, and expectations, 100–101
- customers and consumers
  - evolving market economy, 13
  - public feedback and involvement in ethics enforcement, 174–76
  - relationships and responsibilities between enterprise and, 119–20
  - senior personnel *vs.* lower-level personnel, perception of misconduct by, 190–91
  - social responsibilities of RBEs, 28
- D**
- data collection plan, evaluating business ethics programs, 236–37
- dealing with problems, 186, 198–204
  - see also* enforcement of standards, procedures, and expectations
  - cooperation with government, 201–2
  - corrective actions, 202
  - discipline systems, 198–99
  - learning from failures and mistakes, 198–99
  - misunderstandings and misperceptions, 202–3
  - model policy statement, 199
  - modifying business ethics programs due to, 203–4
  - senior personnel *vs.* lower-level personnel, perception of misconduct by, 190–91
  - stakeholders, misconduct or serious harm to, 199–201
  - unethical behavior/misconduct of employees and agents, 24–25, 70
  - voluntary disclosure of violation of law, 200–201
- declarations of integrity, 218–19
- delegation of authority, 55–56, 97, 132–34
- design and implementation of business ethics program, 43–64, 65, 77, 123
  - see also* RBE worksheets
  - adoption of design, 62
  - approval process, 62, 123
  - checklists, 63, 77
  - communicating program, 45–47, 59
  - consultants, stakeholders as, 59
  - defining nature of program, 45–47
  - goals and purposes, determining, 65–70
  - identity levels for RBEs, 6, 47–51, 68
  - infrastructure, designing, *see* business ethics infrastructure
  - internal structure and dynamics of enterprise, 75–76, 84–85
  - organizational culture, 66–67
  - orientation of program, 46
  - principles of planning process, 53–57
  - program catalyst, 58
  - program logic model, 70–71, 78–79
  - project networks, 59
  - project officer, 58
  - relevant context, scanning, 71–75
  - resource teams, 59
  - review process, 62, 123
  - stakeholders, engagement of, 57–61
  - strategic planning, 43–45
  - strengths and weaknesses of organization, 52, 54–55
  - structural components, 52–53
  - table of development process, 62
  - working groups or task forces, 58–59, 60–61
- design and implementation of training programs, 155–58
- direct observation, data collection plan for evaluating programs, 237
- discipline systems, 197–98
- disclaimers in codes of conduct, 118–19
- document distribution, 153, 154–55
- document reviews, data collection plan for evaluating programs, 237
- due diligence in hiring, 188–89
- E**
- economic element of relevant context, scanning, 72–73
- education, *see* learning; training programs
- eight questions for RBEs, 37–39, 86–89
- Ellsworth, Richard F., 5, 231
- employees and agents
  - business conduct representatives, 141–42
  - central planning legacies, 13
  - communicating business ethics plan to, 45–47
  - discipline systems, 197–98
  - enforcement of ethical behavior, role in, *see* enforcement of standards, procedures, and expectations
  - hiring, 188–89
  - personnel issues distinguished from ethics issues, 172–73
  - recognition, need for, 194
  - relationships and responsibilities between enterprise and, 119–20
  - retaliation, protection from, 171
  - retention of, 192–93
  - reward systems, 195–97
  - satisfaction with organization, correlates with, 192
  - standards, procedures, and expectations, 95, 101–2, 186, 194–98
  - unethical behavior/misconduct, 24–25, 70
- ends, policies defining, 98–99
- enforcement of standards, procedures, and expectations, 165–76
  - see also* dealing with problems
  - confidentiality, ensuring, 172
  - employees and agents, 168–73
  - confidentiality and security,

- ensuring, 172
- help-lines, 171–72
- personnel issues distinguished from ethics issues, 172–73
- reporting violations, 169–71
- retaliation, protection from, 171
- seeking advice and reporting concerns, 168–69
- external stakeholders engaged in, 174–76
- feedback, importance of, 165–66
- investigations, policies and procedures for, 173–74
- monitoring behavior, 166–67
- ombudsmen, 173
- security, maintaining, 172
- Enron, 160
- entry into market, 13
- environment
  - codes of conduct, 111–12
  - foreign governments and businesses, 222–23
  - relevant context, scanning, 73
- Ethics Resource Center, 70
- European Union (EU) codes of conduct, 110
- evaluating business ethics programs, 65–70, 229–45
  - checklist, 242
  - credibility, establishing, 238–39
  - data collection plan, 236–37
  - importance of, 231–32
  - organizational culture, 234, 235, 243
  - organizational learning, 229–31, 240–41
  - outcomes evaluation, 233, 235–36, 245
  - process evaluation, 233, 234–35, 244
  - purpose of evaluation, determining, 233
  - RBE worksheets, 243–45
  - relevant context, scanning, 234
  - reporting program performance, 237–41
  - SMEs, 232
- evolving market economies, 3–20
  - business ethics program, 6–7
  - central planning legacies, 12–16
  - checklist, 20
  - global marketplace, 7–9
  - improvement of business performance, 18
  - individual businesses, 17–19
  - institutional framework, development of, 16–17
  - leaders, working with, 19
  - reasonable business conduct in, 4–6
  - SMEs, 9–11
  - social capital, developing, 18–19
  - solution *vs.* problem, RBE as part of, 9
- exit from market, 12
- expectations, *see* standards, procedures, and expectations
- external stakeholders, *see* stakeholders
- extortion, 201, 208–11
- F**
- failures, dealing with, 198–99
  - see also* dealing with problems
- fairness, concept of, 143, 198
- FCPA
  - (*see* Foreign Corrupt Practices Act)
- Federal Sentencing Guidelines for Organizations (FSGO), United States, 34, 49
- feedback, 147–48,
  - see also* communication
  - importance of, 165–66
  - public feedback mechanisms, 174–76
  - training programs, 164–65
- Foreign Corrupt Practices Act (FCPA), United States, 221
- foreign governments and businesses, relationship to, 220–23
- foreign investment, expanded access to, 26
- formats
  - codes of conduct, 116, 118
  - report of program evaluation, 239–40
- fraud
  - employee fraud and abuse, 24
  - small business owner detection of, 132
- Fréchette, Louise, 219
- FSGO (*see* Federal Sentencing Guidelines for Organizations)
- future, vision of, 104–5
- G**
- games used in training programs, 163
- The Gap Inc., 25
- gift-giving practices, 113
- global business standards and organizations
  - adoption of, 37–39
  - emergence of, 32–36
  - table, 37
- global marketplace and evolving market economies, 7–9
- Global Reporting Initiative (GRI), 32, 34, 157, 234, 241
- Global Sullivan Principles, 34
- goals and purposes
  - business ethics programs, 65–70
  - evaluation of programs, 233
  - RBEs, 4, 5–6, 9, 27
- good corporate governance, 7
- good public governance, 208
- goodwill, 22
- governance
  - good corporate governance, 7
  - good public governance, 208
  - management differentiated from, 53–54
  - responsible governance, 96–100
- government officials and agencies
  - checklist, 224
  - contracting and procurement, 215–18
  - cooperation with, 201–2
  - corrective actions required by, 202
  - corruption, bribery, and extortion, 201, 208–11, 221
  - evolving market economies, 7, 14–15, 19
  - foreign governments and businesses, relationship to, 220–23
  - international governmental organizations, 35–36
  - leaders, RBEs working with, 19, 31
  - private sector's role in regulatory process, 212–15
  - RBE worksheets, 225
  - relationships between RBEs and, 208–12
  - relevant context, scanning, 71–73
  - standards, procedures, and expectations, encouraging, 211–12
  - voluntary disclosure of legal violations to, 201
- GPA (WTO Agreement on Global Procurement), 216
- GRI (Global Reporting Initiative), 32, 34, 157, 234, 241
- Guardsmark LLC, 114, 196
- H**
- HCA Inc., 114, 117, 130, 137
- help-lines for employees and agents
  - reporting violations, 171–72
- Herman Miller Japan Ltd., 193
- Hewlett-Packard, 4
- hiring employees, 188–89
- HIV/AIDS, 28
- Hoffman, W. Michael, 114
- Hubbard Foods Ltd., 6
- I**
- ICC (International Chamber of Commerce), 9, 33
- identity levels for RBEs, 6, 47–51, 68, 187–88
- IEEE (Institute of Electrical and Electronics Engineers), 33–34
- illegal activity, climate of, 16
- ILO (International Labour Organization), 14, 35
- improvement of business performance through ethics
  - capital, credit, and foreign investment access, 26
  - continuous improvement, incorporating, 56–57
  - cost reduction, 23–24
  - employees and agents, behavior of, 24–25
  - evolving market economies, 18
  - increased profit and sustained long-term growth, 26
  - international respect, 26–27
  - performance, productivity, and

competitive position, 25–26  
 reputation and goodwill, 22, 26–27  
 responsible business conduct  
   contributing to, 21–27  
   risk reduction, 22–23  
 inclusivity, AA1000S definition of, 238  
 independent directors, 134  
 Indonesia, 211  
 industry-based professional ethics  
   councils, 141  
 industry standards, compliance with, 111  
 infrastructure, *see* business ethics infrastructure  
 Institute of Directors in Southern Africa, 35  
 Institute of Electrical and Electronics Engineers (IEEE), 33–34  
 Institute of Social and Ethical AccountAbility, 35, 232, 235, 238, 239  
 institutional market-oriented framework,  
   development of, 16–17  
 integrity, declarations of, 218–19  
 integrity pacts, government contracting  
   and procurement, 217–18  
 Interfaith Declaration, 32, 34  
 internal structure and dynamics of enterprise,  
   75–76, 84–85  
 International Center for Entrepreneurial Studies, 214  
 International Chamber of Commerce (ICC), 9, 33  
 International Corporate Governance Network, 34–35  
 international governmental organizations, 35–36  
 International Labour Organization (ILO), 14, 35  
 International Organization for Standardization (ISO), 134  
 international respect, 26–27  
 Internet  
   communication via Web sites, 154  
   training programs, 163  
 interviews, data collection plan for evaluating programs, 237  
 investigations  
   government, cooperation with, 201–2  
   internal policies and procedures for, 173–74  
 investing, 14  
 Islamic culture, 8–9  
 ISO (International Organization for Standardization), 134

**J**  
 job position and placement, 190–92  
 Johnson & Johnson, 202–3

**K**  
 kickbacks and bribes, 9, 24, 208–11, 221  
 Komatsu Ltd., 28, 29

**L**  
 labor unions, 14  
 large, complex enterprises (LCEs)  
   business ethics infrastructure, 129  
   design and implementation of business ethics program, engagement of stakeholders in, 57–59  
   evolving market economies, 10  
   global business standards, adopting, 37  
   ombudsmen, 173  
   wrong people, dealing with, 194  
 lateness, ways of dealing with, 198  
 laws and regulations  
   categories of laws affecting business, 48  
   codes of conduct requiring compliance with, 110  
   compliance level of business ethics programs, 6, 48–49  
   cooperation with government investigations, 201–2  
   corrective actions, 202  
   important role of, 14–15  
   private sector's role in, 212–15  
   relevant context, scanning, 72  
   voluntary disclosure of violation, 200–1  
 LCEs, *see* large, complex enterprises (LCEs)  
 leadership  
   business ethics infrastructure, 132  
   business, government, and civil society leaders, RBEs working with, 19, 31  
   corporate, 54  
 learning  
   *see also* training programs  
   action planning and action learning, 160–62  
   failures and mistakes, learning from, 198–99  
   organizational learning, 229–31, 240–41  
 lending, 14  
 lobbying, 212–15  
 Lockheed Martin Corporation, 163  
 long-term growth, ethical behavior sustaining, 26

**M**  
 management  
   *see also* standards, procedures, and expectations  
   board-management linkage policy, 134  
   communication via management speeches, 152–53  
   governance differentiated from, 53–54  
   limitations policies, 99–100  
   responsible business conduct viewed as good management, 31–32  
   “the right people in the right places,”

187–88  
 senior personnel *vs.* lower-level personnel, perception of misconduct by, 190–91  
 training programs, 155, 159  
 means, policies defining, 99–100  
 misconduct, mistakes, and misunderstandings, dealing with, *see* dealing with problems  
 Mochler, Richard, 240  
 money laundering, 49, 221–22  
 Motorola Corporation, 113, 118–19, 172  
*mudaraba*, 8

**N**  
 needs assessment and communication, 151–52, 178  
 nepotism, 9  
 Nestlé, 51  
 New York Stock Exchange, 111  
 Newmont Mining Corporation, 211  
 NGOs, *see* nongovernmental organizations (NGOs)  
 Nippon Telegraph & Telephone (NTT Group), 112, 114  
 nongovernmental organizations (NGOs)  
   business ethics infrastructure, 129, 131  
   corruption, bribery, and extortion, 210  
   environmental concerns, 112  
   evolving market economies, 7, 11, 19  
   external stakeholders engaged in enforcement of ethics requirements, 174  
   extortion, help in dealing with, 201  
   global stakeholder groups, 34–35  
   leaders, working with, 19, 31  
   management principles, 108  
   regulatory process, private sector's role in, 214–15  
 Novo Nordisk, 104, 135  
 NTT Group (Nippon Telegraph & Telephone), 112, 114  
 Nucor Fastener Division, 95

**O**  
 OECD (Organization for Economic Cooperation and Development), 35, 221, 235  
 Oliver, Caroline, 54, 96, 97, 99, 100  
 ombudsmen, 173  
 Organization for Economic Cooperation and Development (OECD), 35, 221, 235  
 organizational culture  
   design and implementation of business ethics program, 66–67, 75–76, 84–85  
   evaluating business ethics programs, 234, 235, 243  
   RBE worksheets, 243  
   training programs, 155–56  
 organizational learning, 229–31, 240–41  
 outcomes evaluation, 233, 235–36, 245  
 owners

- business ethics infrastructure for
    - owners and representatives, 132–34
  - central planning legacies, 13–14
  - management performance
    - expectations, 98–100
  - relationships and responsibilities
    - between enterprise and, 119
  - “the right people in the right places,” 187–88
  - training programs, 159
- P**
- Packard, David, 4
  - “parade of horrors,” 160
  - partners, relationships and responsibilities between enterprise and, 120–21
  - performance
    - evaluating, *see* evaluating business ethics programs
    - improving, *see* improvement of business performance through ethics
  - personnel and business ethics, *see* employees and agents; management; owners; responsibility functions; supervisors
  - personnel issues distinguished from ethics issues, 172–73
  - planning business ethics programs, *see* design and implementation of business ethics program
  - policies and procedures
    - board–management linkage policy, 134
    - codes of conduct or guiding principles, policies related to, 116–17
    - employee responsibility and management support, 199
    - ends, defining, 98–99
    - governance commitment statement, 96
    - governance model delegation of authority statement, 97
    - government anti-corruption policies, U.S. Department of State, 209
    - investigations, 173–74
    - management limitations, 99–100
    - means, defining, 99–100
    - voluntary disclosure of legal violations, 201
  - political element of relevant context, scanning, 72–73
  - Porras, Jerry I., 105
  - Posner, Barry Z., 213
  - posted materials, 153–54
  - private sector’s role in regulatory process, 212–15
  - problems, dealing with, *see* dealing with problems
  - procedures, *see* policies and procedures; standards, procedures, and expectations
  - process evaluation, 233, 234–35, 244
  - procurement of government contracting, 215–18
  - productivity enhancement through ethics, 25–26
  - professional ethics councils, 141
  - profits
    - increased profits through ethics, 26
    - role of, 4, 6
    - trust, values, and profitability, 30
  - program catalyst, 58
  - program logic model, 70–71, 78–79
  - project networks, 59
  - project officer, 58
  - public feedback mechanisms, 175, 176
  - public perception of misconduct by senior *vs.* lower-level personnel, 190–91
  - published materials, 154
  - purposes and goals, *see* goals and purposes
- R**
- RBE worksheets, 60–61
    - alignment, 206
    - business ethics infrastructure, 146
    - code of conduct, sample outline for, 125–26
    - communication
      - infrastructure, 181
      - needs assessment, 178
    - eight questions for RBEs, 86–89
    - evaluating business ethics programs, 243–45
    - external context by stakeholder category, 74–75, 82–83
    - government officials and agencies, 225
    - internal structure and dynamics of enterprise, 75–76, 84–85
    - organizational culture, 243
    - outcomes evaluation, 245
    - process evaluation, 244
    - program logic model, 70–71, 78–79
    - relevant context, scanning, 74–75, 80–81
    - standards, procedures, and expectations, 127–28
    - training programs, 179–80
  - RBEs, *see* responsible business enterprises (RBEs)
  - recognition, need for, 194
  - regulations, *see* laws and regulations
  - Reichheld, Frederick, 28
  - Reisman, John, 240
  - relevant context, scanning, 74–75, 80–81, 234
  - reporting program performance, 237–41
  - reputation, 22, 26–27, 50, 51
  - reputation-enhancement level of RBE identity, 6, 50, 188
  - resource teams, 59
  - responsibilities
    - clarification of, 102
    - fostering climate of acceptance of, 198–99
    - government-related challenges faced by, 207–25
  - responsibility functions, 131–44
    - business conduct representatives, 141–42
    - business ethics council, 140
    - business ethics officer, 138–40, 143
    - high-level responsibility officer (individual or group), 134–38
    - individual responsibility, 143–44
    - integration with other executive and departmental functions, 142–43
    - owner–board level, 132–34
    - seven levels of responsibility, 131
  - responsible business enterprises (RBEs), 3
    - see also* more specific entries
    - differentiated from other enterprises, 93–94
    - eight questions for, 37–39, 86–89
    - good management, responsible business conduct viewed as, 31–32
    - government-related challenges faced by, 207–8
    - identity levels, 6, 47–51, 68, 187–88
    - process of becoming a responsible business, 21
    - purpose and goals, 4, 5–6, 9, 27
    - social responsibilities of, 27–29
    - stakeholders, 5
    - worksheets, *see* RBE worksheets
  - responsible governance, 96–100
  - retaliation, protecting employees and agents from, 171
  - retention of employees and agents, 192–93
  - review process, design and implementation of business ethics program, 62, 123
  - reward systems, 195–97
  - “the right people in the right places,” 186, 187–94
    - hiring employees, 188–89
    - identity levels of RBEs, 187–88
    - owners, managers, and supervisors, 187–88
    - placing people in the right job positions, 190–92
    - retention, 192–93
    - wrong people, dealing with, 193–94
  - risk management level of RBE identity, 6, 50, 188
  - risk reduction, 22–23
  - Robertston, Diana G., 8
  - Roddick, Anita, 23, 28, 175
  - Royal Dutch/Shell, 106–9, 122
  - Russia
    - Business Partnership of Seversk, 210
    - Chamber of Commerce and Industry, 36
- S**
- SA8000 standard, 32, 34
  - SAI (Social Accountability International), 34

- satisfaction of employees with organization, correlates with, 192
- satisfaction of stakeholders, 28
- scenarios used in training programs, 162
- Schlegelmilch, Bodo B., 8
- Schmidt, Warren H., 213
- security, maintaining, 172
- self-paced studies, 163
- service providers, *see* vendors, suppliers, and service providers
- Seversk, Business Partnership of, 210
- shadow economy, 12, 16
- shareholders, 13–14
- Sbaria*, 8
- small to medium-sized enterprises (SMEs)
- business ethics council, 140
  - business ethics infrastructure, 129, 131, 133, 140
  - CSR (corporate social responsibility), 44
  - defining and communicating business ethics programs, 46–47
  - design and implementation of business ethics program, engagement of stakeholders in, 57
  - evaluation of programs for, 232
  - evolving market economies, 9–11, 14
  - global standards, adopting, 37
  - RBE worksheets, 60
  - relevant context, scanning, 74
  - strategic planning, 44
  - wider commercial network, developing, 32
  - wrong people, dealing with, 193
- Smith, Howard L., 44
- Social Accountability International (SAI), 34
- social capital, generating, 27–31
- charitable foundations, 220
  - CSR (corporate social responsibility) and SMEs, 44
  - defining an RBE's social responsibilities, 27–29
  - development of community, private sector voluntary participation in, 219–20
  - evolving market economies, 18–19
  - relationships and responsibilities between enterprise and community, 122
  - reporting program evaluations, 238
  - trust, 29–30
  - ultra-social responsibilities of RBEs, 28–29
  - voluntary actions by private sector, 218–20
- socialism, transition to market economy from, *see* evolving market economies
- socio-cultural element of relevant context, scanning, 73–74
- Sony Corporation, 105
- staffing and business ethics, *see* employees and agents; management; owners; responsibility functions; supervisors
- stakeholders,
- see also* customers and consumers; employees and agents; management; owners; vendors, suppliers, and service providers
  - communications programs, developing, 149
  - dealing with misconduct or serious harm to, 199–201
  - design and implementation of business ethics program, engagement in, 57–61
  - enforcement, engagement of external stakeholders in, 174–76
  - external context by stakeholder category, RBE worksheet for, 74–75, 82–83
  - global stakeholder groups, 34–35
  - list of, 4
  - producers' lack of contact with as central planning legacy, 13–14
  - reporting program evaluations to external stakeholders, 238
  - satisfaction of, 28
- standards, procedures, and expectations, 93–95
- see also* codes of conduct checklist, 124
  - clarification of responsibilities, 102
  - communication, 101, 152–55
  - core beliefs and values, 102–4
  - cultural considerations, 100–1
  - employees and agents, 95, 101–2
  - enforcement, *see* enforcement of standards, procedures, and expectations
  - future, vision of, 104–5
  - global, *see* global business standards and organizations
  - governments, encouraging standards for, 211–12
  - guiding principles, 100–2, 105–9
  - higher standards, striving for, 100
  - industry standards, compliance with, 111
  - management, 105–17
    - owner expectations of management performance, 98–100
    - principles, 100–2, 105–9
    - vision for enterprise, 102–5
  - policies related to codes of conduct and guiding principles, 116–17
  - RBE worksheets, 127–28
  - responsible governance, 96–100
- strategic owners, 13
- strategic planning, 43–45
- strengths and weaknesses of organization, 52, 54–55
- structural components of business ethics program, 52–53
- Sullivan, Leon H., 34
- supervisors
- employee satisfaction correlated with actions of, 192
  - “the right people in the right places,” 187–88
  - senior personnel *vs.* lower-level personnel, perception of misconduct by, 191
- suppliers, *see* vendors, suppliers, and service providers
- surveys, data collection plan for evaluating programs, 236–37
- T**
- tardiness, ways of dealing with, 198
- task forces or working groups, 58–59, 60–61
- technological element of relevant context, scanning, 74
- Thompson, Judith Kenner, 44
- training programs, 155–65
- action planning and action learning, 160–62
  - administration of, 165
  - case studies, 162, 163, 164
  - comprehensiveness of, 160–61
  - content and structure, 156–58
  - core beliefs and values, 155–56, 158–59
  - delivery of, 158–62
  - design and implementation, 155–58
  - feedback, 164–65
  - games, 163
  - lectures and presentations, 162
  - management involvement and commitment, 155, 159
  - modes of training, 162–64
  - organizational culture, 155–56
  - owner involvement, 159
  - personal values of trainees, 159–60
  - RBE worksheets, 179–80
  - scenarios, 162
  - self-paced studies, 163
  - updating and modifying, 164–65
  - videos, 163
- transparency, governmental, 210, 211, 215, 216–17
- Transparency International, 216–17
- triple bottom line, 6, 7, 238
- trust
- laws and regulations, important role of, 14–15
  - social capital, generating, 29–30
- U**
- U.N. Global Compact, 36, 106, 235
- unions, 14
- United Parcel Service Inc., 22
- United States
- AML (anti-money laundering) provisions, 49, 222
  - codes of conduct, 110
  - compliance level business ethics programs, 49

- Department of Commerce, 36, 235
- Department of State on government anti-corruption policies, 209
- FCPA (Foreign Corrupt Practices Act), 221
- FSGO (Federal Sentencing Guidelines for Organizations), 34, 49
- government contracting and procurement policy of United Technologies Corporation, 217
- United Technologies Corporation, 108, 114, 217

**V**

- value-added level of RBE identity, 6, 50–51, 188
- values, *see* core beliefs and values
- vendors, suppliers, and service providers
  - central planning legacies, 13
  - monitoring behavior, 167
  - relationships and responsibilities
    - between enterprise and, 120–21
  - sample vendor conduct code, 25
- videos used in training programs, 163
- vision
  - management vision for enterprise, 102–5
  - translation of vision, responsibility for, 135
- voluntary actions by private sector, 218–20
- voluntary disclosure of legal violations to authorities, 201

**W**

- weaknesses and strengths of organization, 52, 54–55
- Web sites
  - communication via, 154
  - training programs, 163
- Wells, Joseph T., 24, 132
- WMC Resources Ltd., 114, 115
- working groups, 58–59, 60–61
- worksheets, RBE, *see* RBE worksheets
- World Bank, 11, 213, 216
- World Trade Organization (WTO)
  - Agreement on Global Procurement (GPA), 216
- WorldCom, 160
- wrong people, dealing with, 193–94
- WTO (World Trade Organization)
  - Agreement on Global Procurement (GPA), 216

**Z**

- Zarsky, Lyuba, 148, 167