

# ENTERPRISE PULSE



## Corporate Ethics Survey ethics Gender report

**Total Number of respondents: 40**

**Monday, May 31, 2004**



## Introduction

This summary report presents the organization's aggregated results of the Enterprise Pulse™ - Corporate Ethics survey. Your organization's results are presented graphically in a number of ways, which reveal whether the responses were net positive or net negative on an overall basis.

This summary report also details the aggregated feedback results for each of the twelve categories measured in the Enterprise Pulse™ - Corporate Ethics survey, and each of the individual questions that comprise the survey instrument (72 in total).

When looking at your organization's results, it is important to understand that people may have opinions or views that are relatively positive and opinions and views that are relatively negative. Both provide the organization with opportunities for better ethical performance through taking the data seriously and by acting firmly and quickly on the feedback.

### **In broad terms, this Summary Report contains the following:**

- An introduction to the importance of rigorously and systematically gathering people's opinions on corporate ethics and acting on the results (whatever they may be).
- Your organization's graphic profiles plus supporting statistical summary
- A category by category report that summarizes your organization's results in twelve major ethics areas (three for each of the four key cluster areas).
- A report that summarizes results at individual question level
- Brief action intervention suggestions to provide ideas on what you may like to consider in general ethical performance terms for each of the four key clusters. These ideas are intended to help in the process of evolving the most appropriate strategy to adopt in a well thought through ethics plan and approach at every level (given the collective input from individuals via the Enterprise Pulse™ survey).

We hope that this report will be a powerful tool in your corporate ethics action-planning process. Thank you for participating in the Enterprise Pulse™- Corporate Ethics survey.

# The importance of gathering and acting upon Employee Opinions and Feedback

Every organization, however large or small it may be, consists of a range of underlying opinions, attitudes, beliefs and values held by the members of the enterprise. These informal and often underlying or invisible views form what is generally seen to be the culture of the organization.

Some aspects of organizational culture, such as individual behavior or group behavior norms, are easily visible, or open for all to see. This might be seen in the relative formality of the organization in terms of the need to follow strict rules and procedures or in the specific visible actions of organizational leaders on a day to day basis. Other aspects of culture are harder to spot, since they represent the hidden or private assumptions, values and core beliefs that people hold. Examples of this less visible level of culture might be seen in beliefs about how to get up to date information (from the 'normal' communication channels or through the 'grapevine') or what kind of behavior it takes to gain promotion or achieve career advancement in the enterprise.

Whether they are in the open or not, the more people's opinions or attitudes can be understood, the more the organization can take account of the feedback. After all, highly contented, ethically focused, cooperative and empowered employees are more likely to follow good ethical practices than those employees who are clearly discontent, lacking in teamwork and morale and who feel that they can "cut ethical corners". Of course, the key is to be able to measure the extent to which either of these extremes may apply (and why) and to diagnose in which particular ethical performance categories, the most satisfaction or dissatisfaction exists within the organization.

The importance of careful and incisive diagnosis cannot be emphasized enough. Doctors routinely make diagnostic judgments prior to prescribing a course of treatment. As the situation changes, they also recognize that the treatment may need to change also. In order to carry out their diagnosis task accurately, doctors have to use a systematic, ordered, rational and fully repeatable process (taking the temperature, feeling the pulse, listening to the heart etc). In exactly the same way, an organization needs a systematic, ordered, rational and fully repeatable process to take the organizational 'temperature', feel the organizational 'pulse', and listen to the organizational 'heart'. Then, and only then, can we prescribe the course of treatment to deal with any ailments and optimize future performance.

The Enterprise Pulse™ -Corporate Ethics Survey is a highly systematic diagnostic process, based on over five years of research in over 40 organizations in Australia, Canada, New Zealand, the United Kingdom and the United States. It uses 72 questions to focus on four clusters that are seen to be critical to ethical organizational behavior. The survey measures each of these four key ethical clusters in three sub categories per cluster (making twelve sub categories in total). These four clusters and the twelve sub categories are explained overleaf.

# The Enterprise Pulse™ - Corporate Ethics Survey sub category definitions

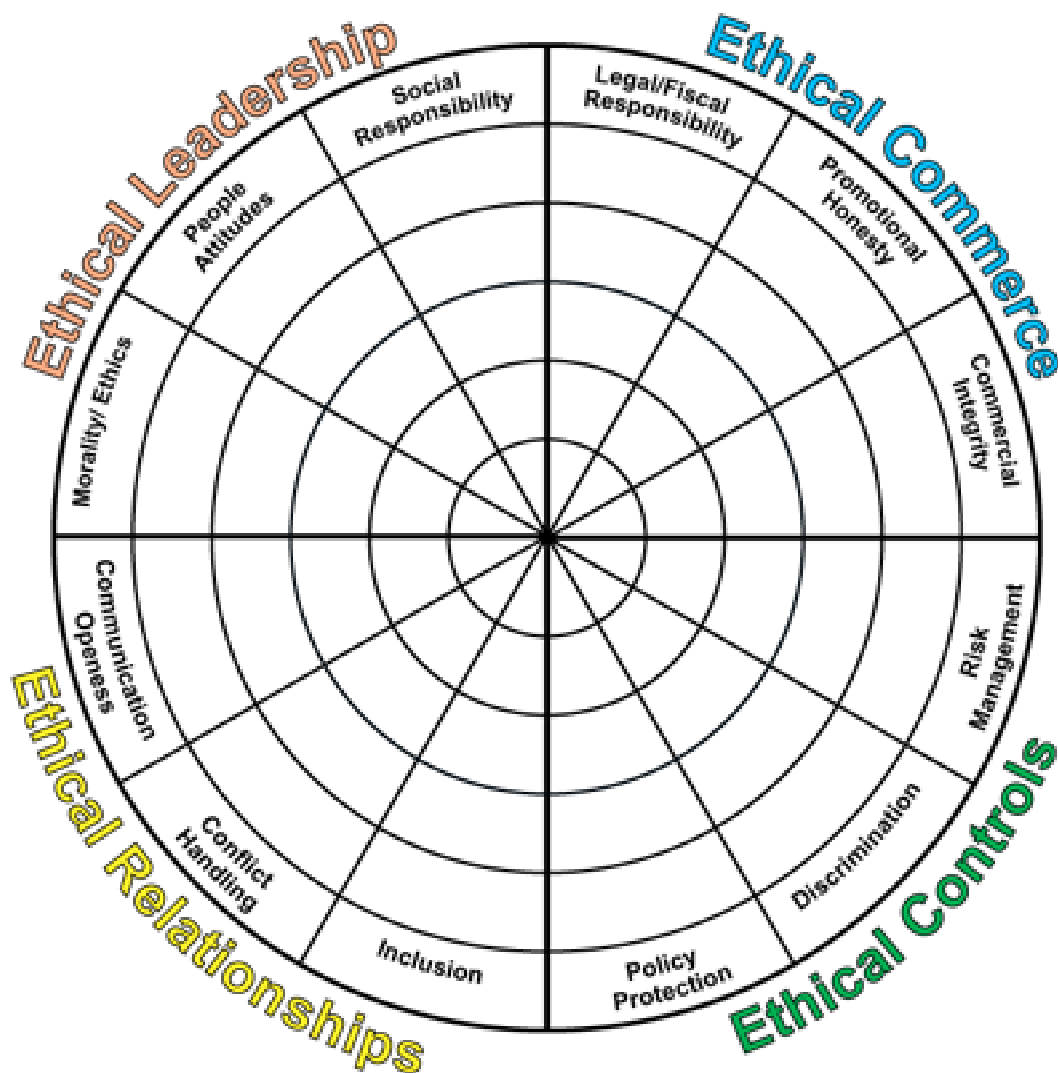
Many years of progressive research have indicated that high organizational performance and success in terms of appropriate corporate ethics are significantly based on four major developmental clusters. These are as follows:

The organization needs to adopt good corporate ethics in:

- Ethical Leadership. Ensuring that supervisors and managers at all levels are fully aware of the ethical standards that prevail, and are capable and willing to behave and act in ethically sound ways at all times.
- Ethical Commerce. Ensuring that all commercial operations and transactions are fair, reasonable and responsible (including the legal and financial systems that people are expected to be work within).
- Ethical Relationships. Ensuring that all interpersonal relationships at all levels are open, fair and honest, as far as possible, so that enterprise employees feel positively disposed towards the organization.
- Ethical Controls. Ensuring that policies, procedures, work instructions and other process controls are in place to help the whole enterprise to operate in ethically compliant ways at all times.

# The Enterprise Pulse™ - Corporate Ethics Survey sub category definitions

The four clusters are shown in the circular diagram below, together with the three individual sub-categories that comprise each cluster. The Enterprise Pulse™ - Corporate Ethics survey asks questions about people's views in each of these twelve sub-categories to create a rich and meaningful analysis and output report.



The Enterprise Pulse™ - Corporate Ethics survey assumes that a developmentally committed organizational culture should be looking to create high levels of efficiency and effectiveness in all four ethical clusters (and therefore all twelve sub-categories). This means ensuring that ethical performance should be as near to the outer layers of the above wheel as possible. We therefore need to understand these twelve sub categories in greater detail.

## Ethical Leadership

**The extent to which organizational leaders at all levels are ethical in their words and deeds and that the decisions that they make are morally defensible.**

The three sub categories of Ethical Leadership are:

### **Morality/Ethics**

*The extent to which leaders in the organization have a sound moral 'compass' in making all workplace decisions and in holding each other ethically accountable.*

### **People Attitudes**

*The extent to which leaders in the organization demonstrate integrity, compassion and respect in relation to people at all levels of the enterprise.*

### **Social Responsibility**

*The extent to which leaders invest quality time and energy into ensuring that the organization is socially and community responsible in tangible ways.*

## Ethical Commerce

**The extent to which an enterprise is legally, fiscally and commercially responsible in the way in which it deals with all of its stakeholders.**

The three sub categories of Ethical Commerce are:

### **Legal/Fiscal Responsibility**

*The extent to which all commercial transactions are legally and fiscally responsible in relation to internal and external standards.*

### **Promotional honesty**

*The extent to which products and/or services are marketed, advertised and sold in fair and responsible ways without any attempt to manipulate or deceive.*

### **Commercial integrity**

*The extent to which the enterprise engages with suppliers and customers in a transparent, honest and principled manner.*

## Ethical Relationships

The extent to which an organization is ethical in all of its relationships with people, and is successful in creating a climate which is open, fair and honest.

The three sub categories of Ethical Relationships are:

### **Communication openness**

*The extent to which open, unconstrained and candid communication is encouraged amongst all individuals, up, down and across the enterprise.*

### **Conflict handling**

*The extent to which interpersonal conflict of any kind is consistently handled in fair, just and reasonable ways across the whole organization.*

### **Inclusion**

*The extent to which the enterprise invests serious and on-going effort into ensuring that all individuals and groups feel that they are fairly and equally involved in the major decisions of the organization.*

## Ethical Controls

The extent to which the enterprise has comprehensive and effective policies, procedures and other controls to help encourage ethical behavior at all levels.

The three sub categories of Ethical Controls are:

### **Policy protection**

*The extent to which individuals, teams and the enterprise as a whole are well protected against ethical risks by comprehensive policies and procedures.*

### **Discrimination**

*The extent to which the organization has set up and developed effective systems and controls to discourage or eliminate all forms of discrimination.*

### **Risk management**

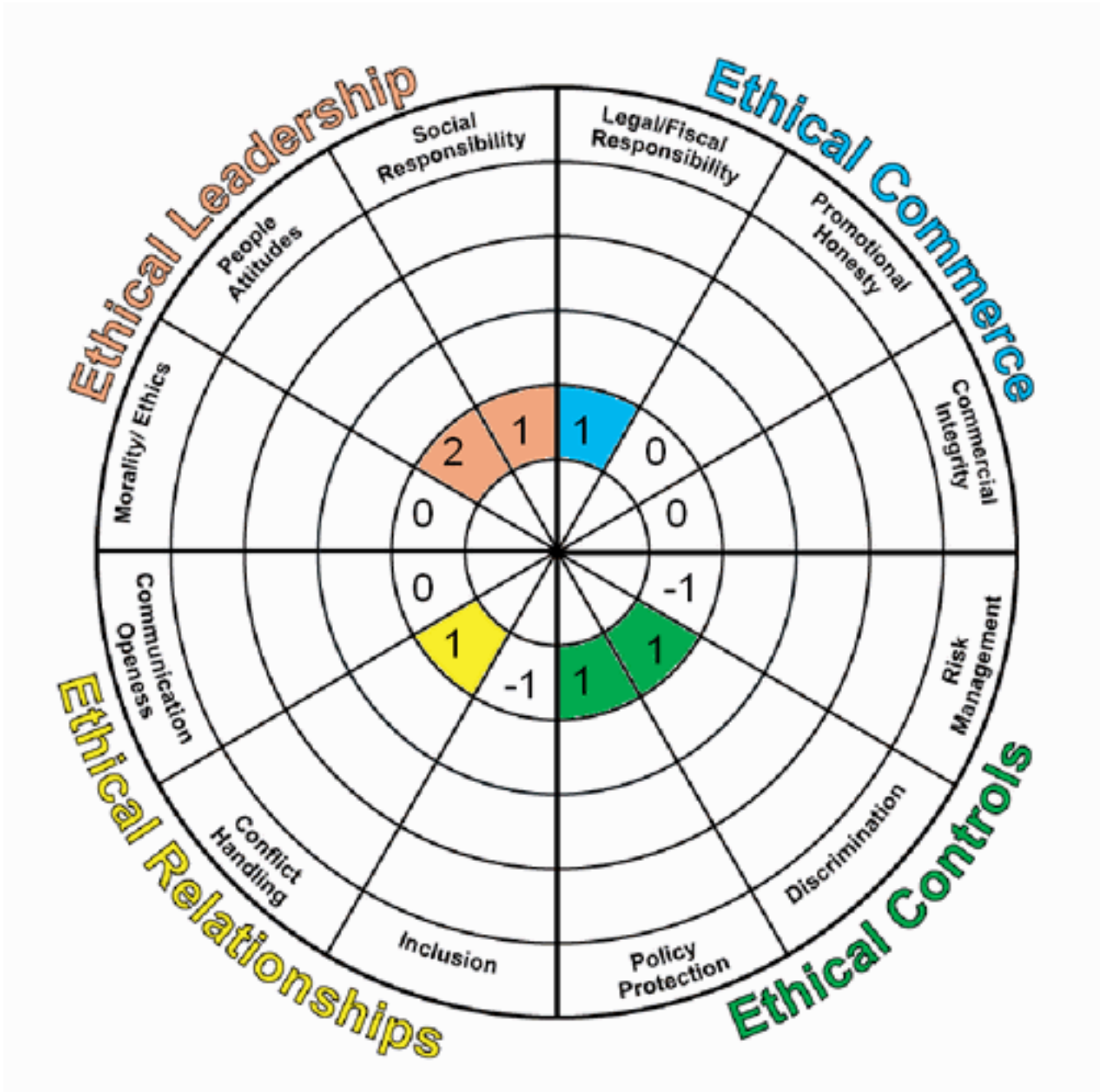
*The extent to which the enterprise effectively and efficiently assesses people, plant and process risk and puts good systems and controls in place as a result.*

*It should always be remembered that no one key cluster or one sub-category in this survey is more important than any of the others. In a high performance organization, every effort should be made to work on any and every appropriate area. This means building on the strengths and addressing the negative views or weaknesses that are perceived by employees. This can be done by reviewing the whole sub-category in aggregate form or by focusing upon individual questions within a category.*

*Although all the twelve sub-categories in this survey are equally important, it is useful to note that any effort to lift or improve general levels of ethical practice and behavior should take account of overall performance in each of the four clusters outlined in sequence (as they are presented in the circular diagram(s) in this report, starting at the top right corner). In other words, the 'Ethical Leadership' cluster should be reviewed first, followed by 'Ethical Commerce', 'Ethical Relationships' and finally 'Ethical Controls'. This helps to ensure that any perceived 'foundational' organizational weaknesses are addressed first (particularly where the report shows that several sub-categories may not be as strong as they might be).*

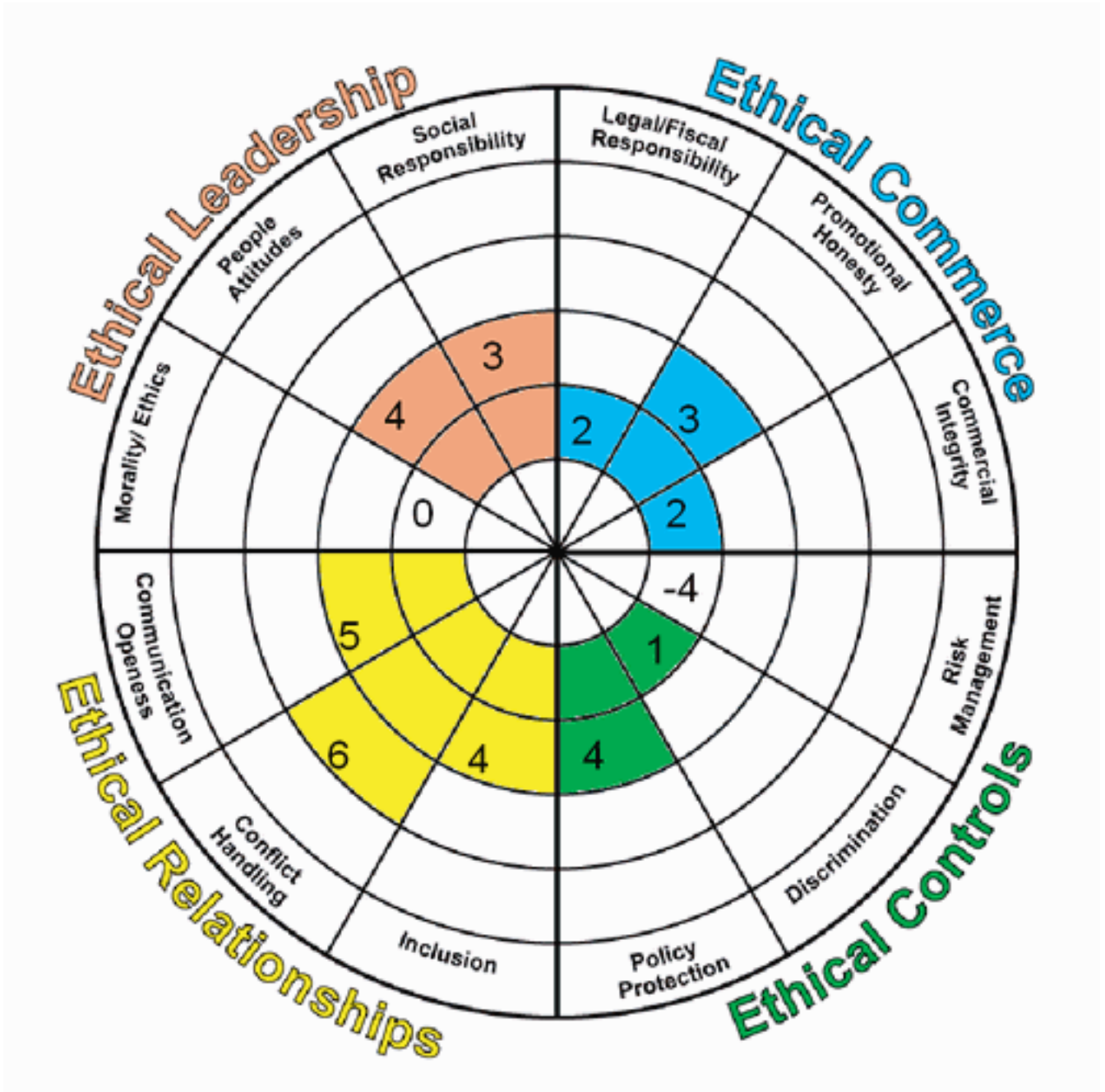
*The next section of this summary report details the specific survey results of your organization in graphical form. Following this, the report ends with some suggested interventions that you may like to consider as part of your future action planning.*

# Corporate Ethics Survey ethics graph for males



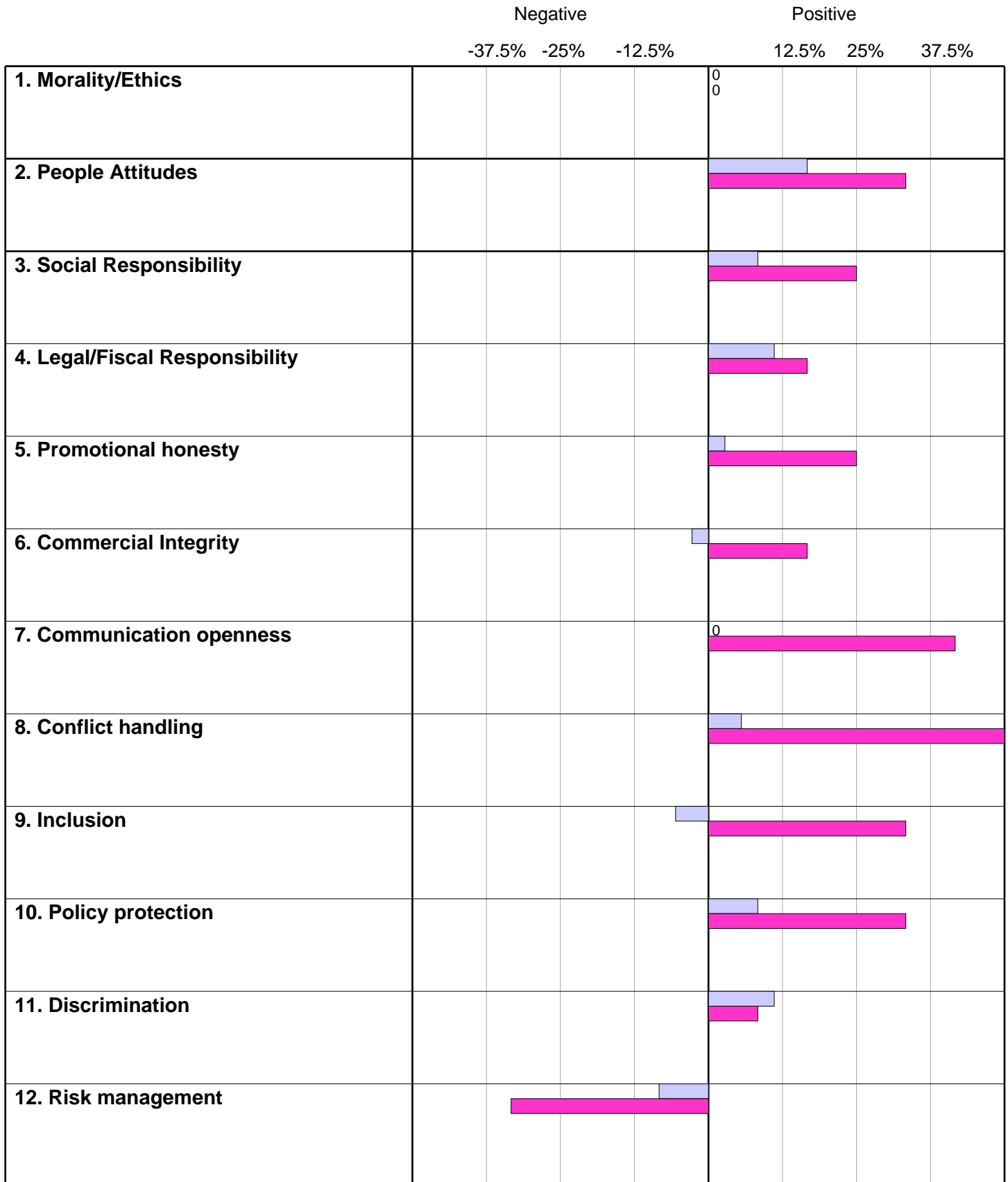
May 2004  
Survey Population= 30

# Corporate Ethics Survey ethics graph for females



May 2004  
Survey Population= 10

## OVERALL SUMMARY



■ males ■ females

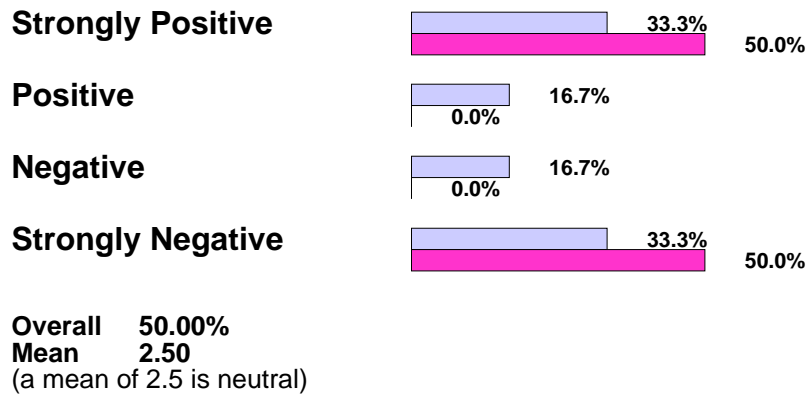
## Morality/Ethics

The extent to which leaders in the organization have a sound moral 'compass' in making all workplace decisions and in holding each other ethically accountable.

The questions that make up this category:

1. People typically feel comfortable in talking to managers about ethical/moral problems
2. People actively hold each other accountable for the morality of their decisions, wherever necessary
3. Leaders in this organization set a good ethical example
4. Leaders often debate what is right and fair in terms of decisions and actions
5. People with power and authority here use it carefully and judiciously
6. Leaders actively promote and discuss the code of ethics adopted by this enterprise

**Average score:**



### Interpretive notes

#### Net Positive

The organization's leaders are broadly seen to be operating in ethically sound ways when managing and making day to day decisions. Individual supervisors and managers are also likely to feel comfortable in raising ethical concerns and in holding each other accountable for ethical behavior when there is a need to do so.

#### Net Negative

The organization's leaders are broadly seen to be either unaware of some of the ethical issues that can arise from their decisions or are prone to sometimes ignore the morally 'right' approach. In such a climate, many supervisors and managers may not feel comfortable in raising or discussing ethical issues or concerns.

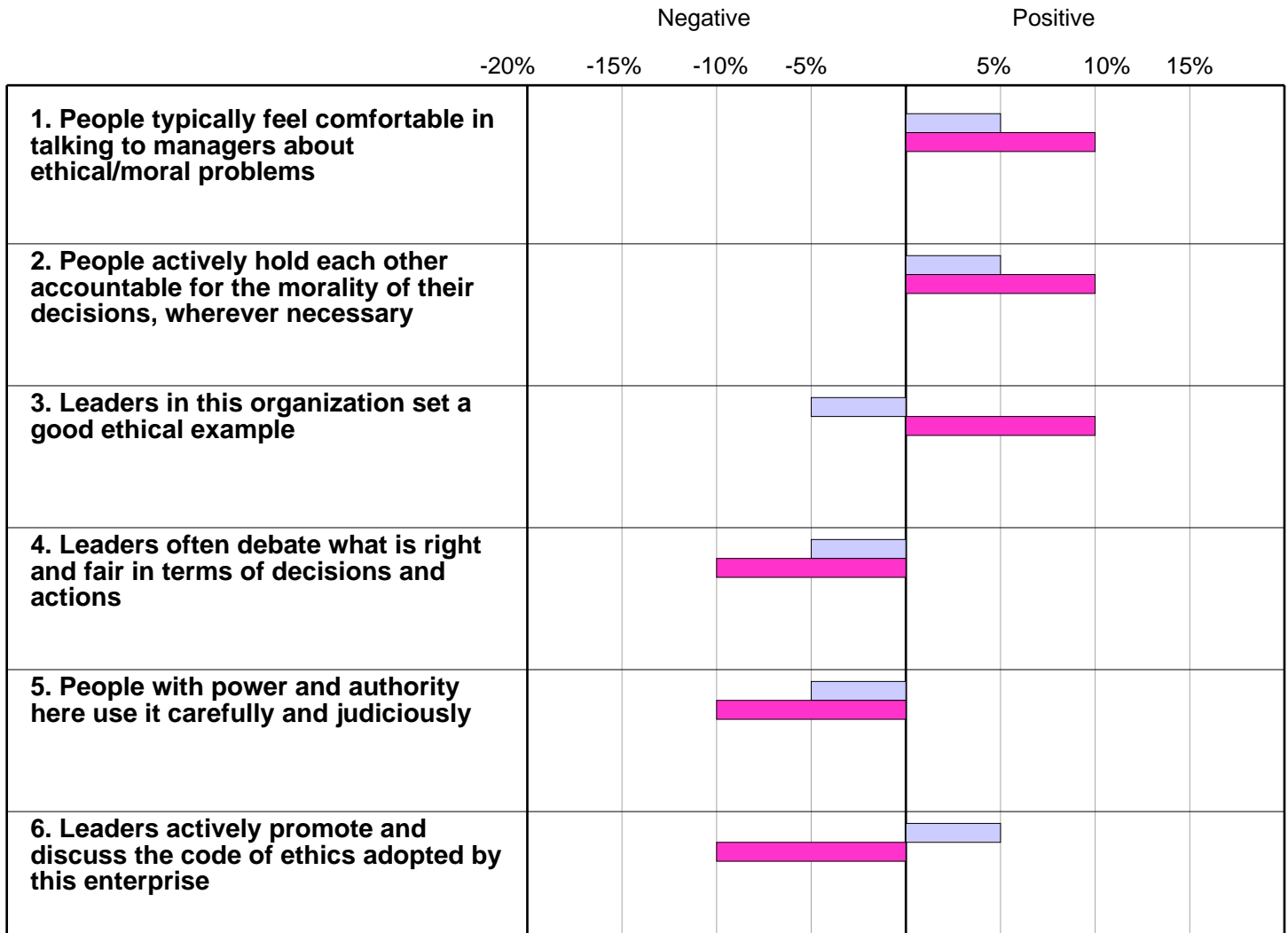
■ males ■ females

## Individual question analysis

# Morality/Ethics

The extent to which leaders in the organization have a sound moral 'compass' in making all workplace decisions and in holding each other ethically accountable.

Overall score for this category= 50.00%



■ males ■ females

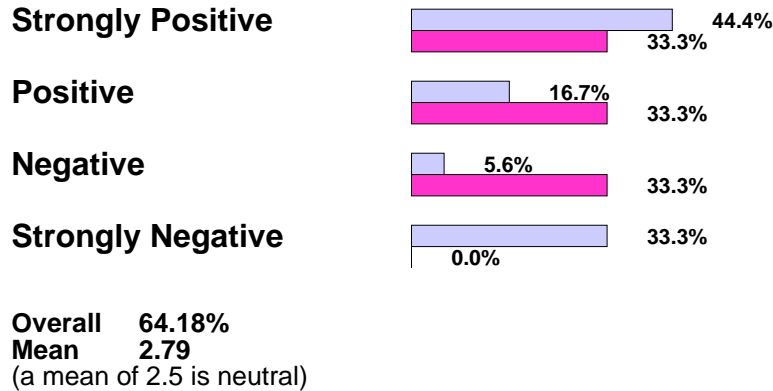
## People Attitudes

The extent to which leaders in the organization demonstrate integrity, compassion and respect in relation to people at all levels of the enterprise.

The questions that make up this category:

1. Every individual in this enterprise is treated with fairness, dignity and respect
2. Where they are not compatible, leaders value honesty over getting a good result
3. Communications from supervisors and managers are clear, concise and consistent
4. Leaders are generally caring and considerate of people
5. Leaders generally listen well around here
6. Supervisors and managers do not engage in any verbal abuse of people

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to encourage its leaders to be generally compassionate of people at all levels and to treat them fairly and well at all times. This will typically mean that positive and respectful communication and relating skills are widely in evidence.

#### Net Negative

The organization is likely to tolerate a climate in which some leaders are not compassionate or respectful of people from time to time (and may even engage in private or public verbal abuse). It is also possible that the overall communication climate in the enterprise is not as open as it could be.

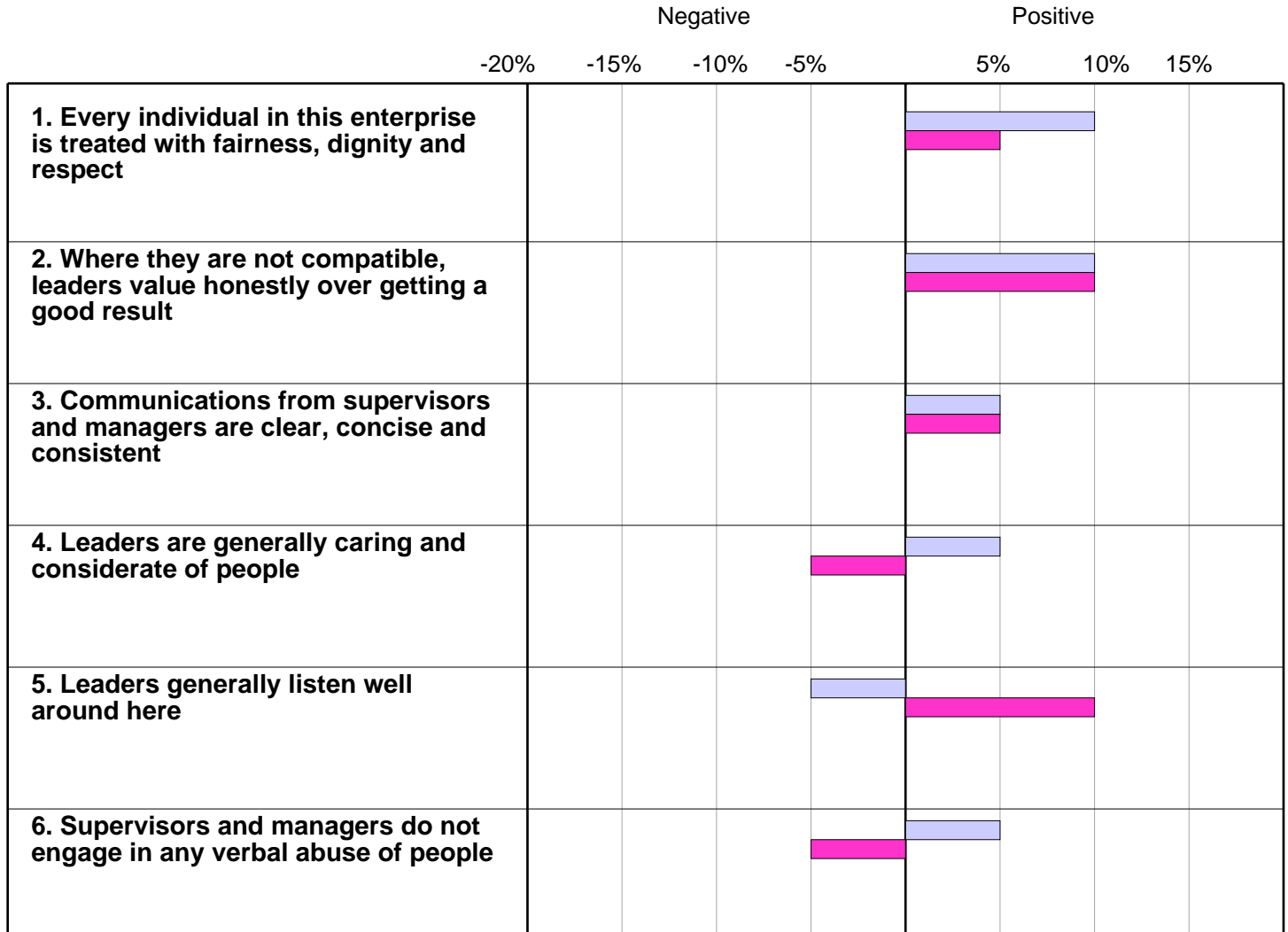
■ males ■ females

## Individual question analysis

# People Attitudes

The extent to which leaders in the organization demonstrate integrity, compassion and respect in relation to people at all levels of the enterprise.

Overall score for this category= 64.18%



■ males ■ females

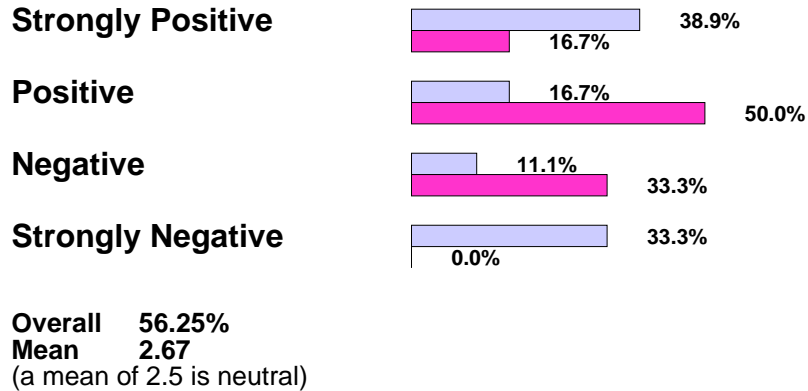
## Social Responsibility

The extent to which leaders invest quality time and energy into ensuring that the organization is socially and community responsible in tangible ways.

The questions that make up this category:

1. This organization takes its social and community responsibilities seriously
2. Leaders are concerned more with means, not just ends
3. All stakeholder's needs are taken into account when significant decisions are made
4. Leaders regularly show humanity and compassion in their decisions
5. This organization has a "social conscience"
6. Leaders often actively contribute to community and social causes

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to invest considerable time and/or energy into ensuring that it acts responsibility both within the community and with society at large, in all of its actions. This typically means that, in a broad sense, compassion and humanitarian concerns are likely to prevail whenever major decisions are made.

#### Net Negative

The organization is likely to invest little time and/or energy into discussing social or community issues or in worrying about the wider implications of its commercial decisions. Most leader actions are therefore often internally focused, with any impact on the wider community or society rarely being considered at any level of depth.

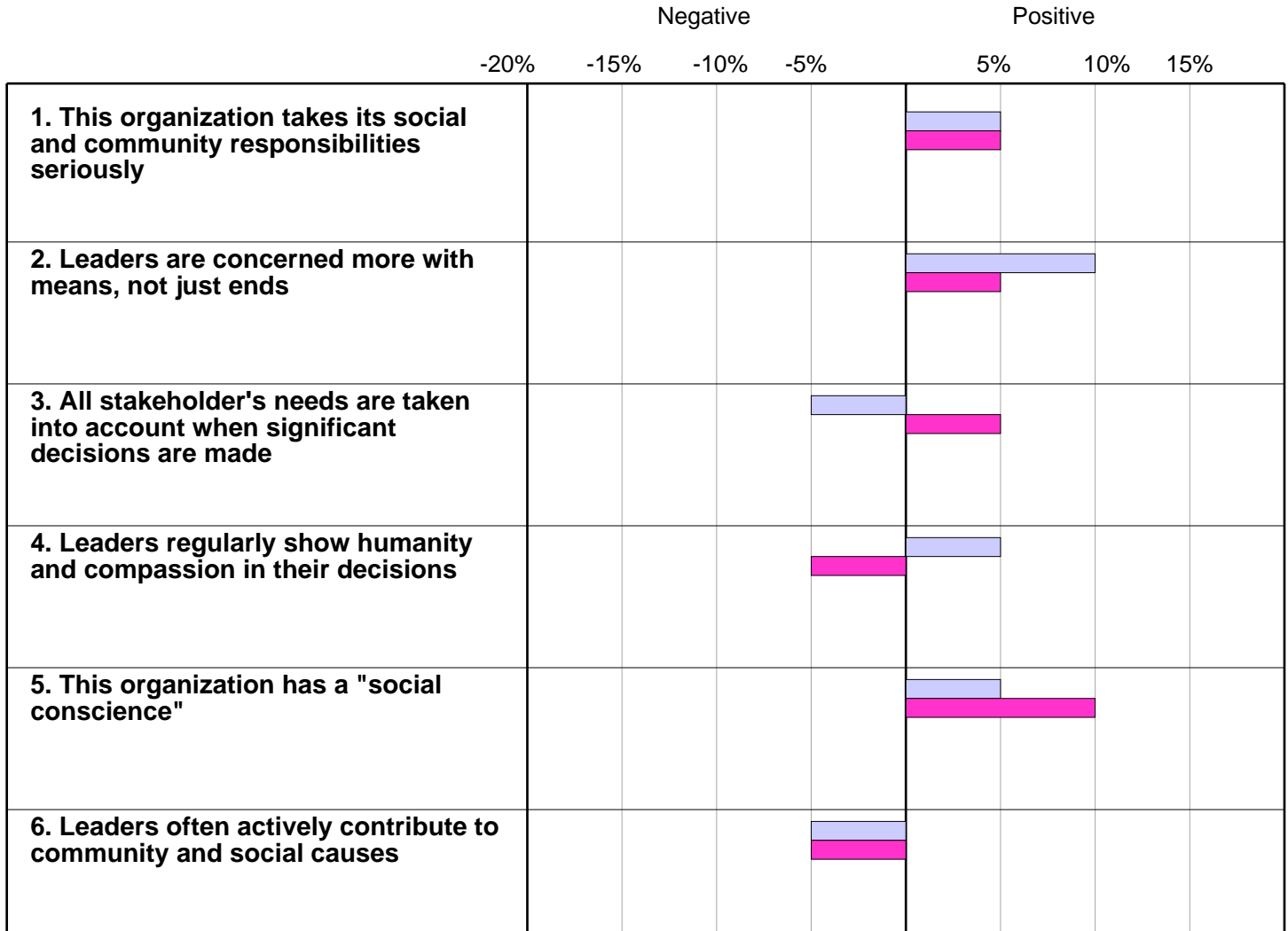
■ males ■ females

## Individual question analysis

# Social Responsibility

The extent to which leaders invest quality time and energy into ensuring that the organization is socially and community responsible in tangible ways.

Overall score for this category= 56.25%



■ males ■ females

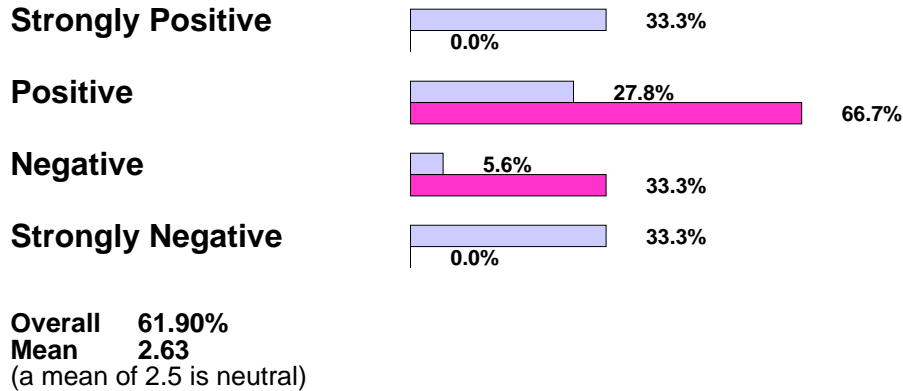
## Legal/Fiscal Responsibility

The extent to which all commercial transactions are legally and fiscally responsible in relation to internal and external standards.

The questions that make up this category:

1. Commercial and contractual documents in this organization are written with good corporate ethics in mind
2. This enterprise would never do anything which was commercially illegal
3. A sound and comprehensive money management system is in place and works well at all levels
4. Confidential information of any kind is treated with the utmost respect around here
5. We have good internal audit and checking processes to ensure the integrity of our commercial practices
6. The authority to spend money is properly delegated and well controlled

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to take its legal and fiscal compliance responsibilities extremely seriously and therefore do all that it can to ensure that every individual acts in commercially ethical ways. All major day-to-day commercial transactions are likely to be carefully designed, controlled and regularly audited for compliance to all applicable standards.

#### Net Negative

The organization is likely to pay too little attention to its legal and fiscal compliance responsibilities and may well experience occasional problems in some of its day-to-day commercial transactions. In such a climate, internal auditing practices, or compliance reviews are often not as thorough or rigorous as they might be.

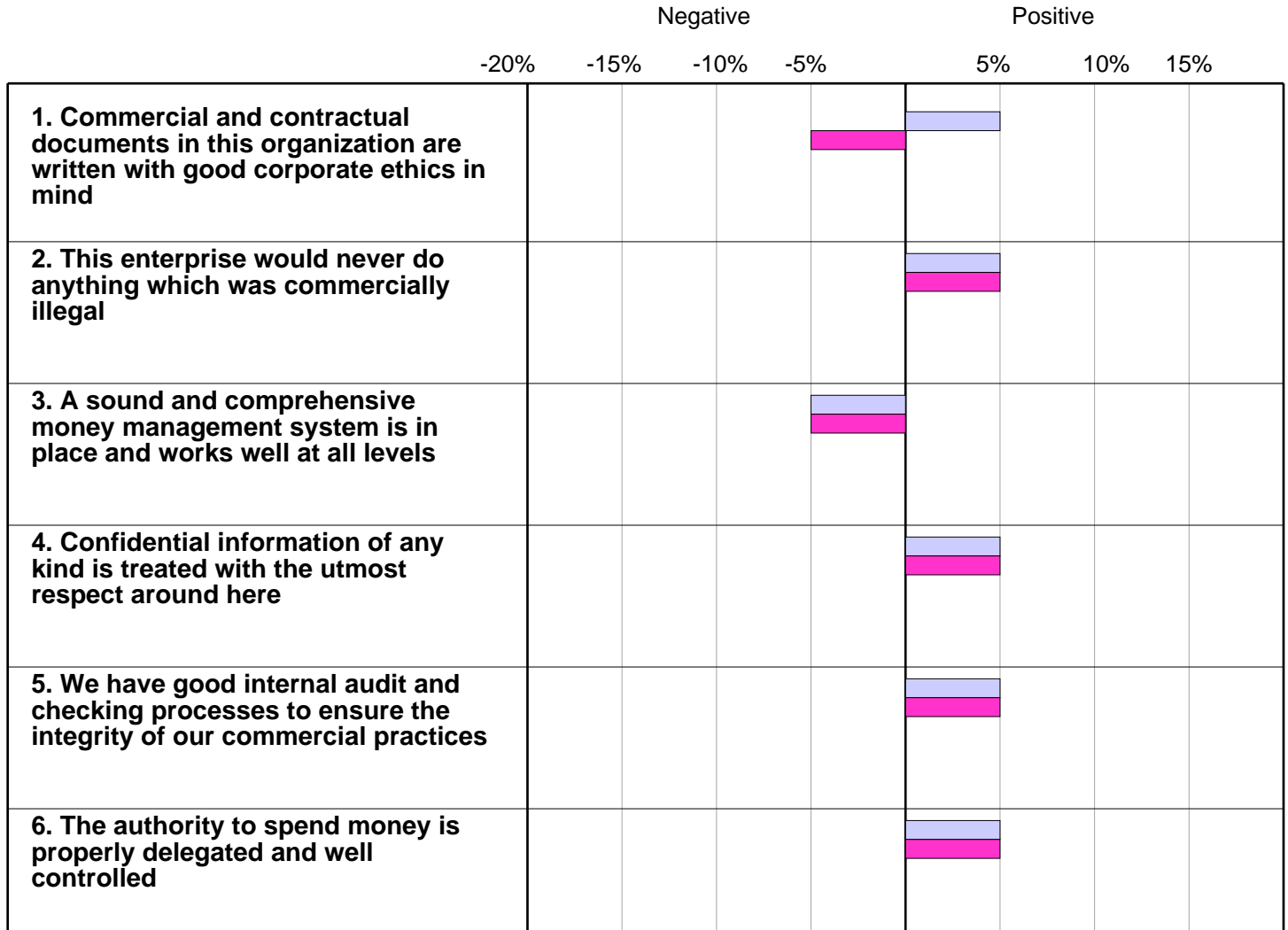
■ males ■ females

## Individual question analysis

# Legal/Fiscal Responsibility

The extent to which all commercial transactions are legally and fiscally responsible in relation to internal and external standards.

Overall score for this category= 61.90%



■ males
 ■ females

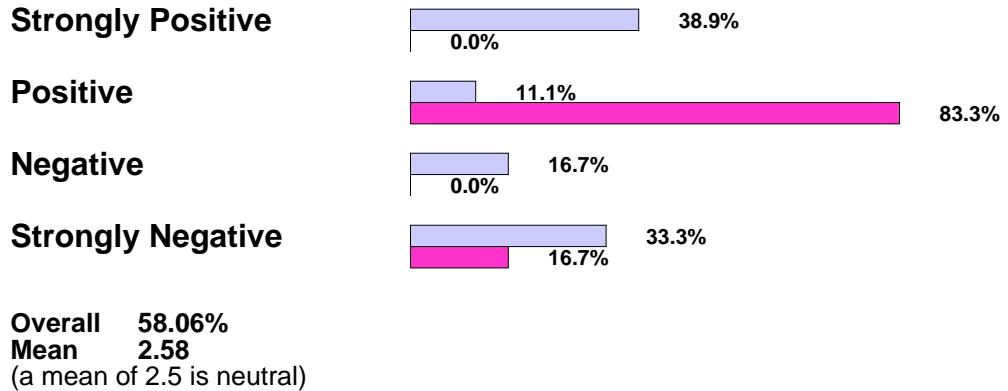
## Promotional honesty

The extent to which products and/or services are marketed, advertised and sold in fair and responsible ways without any attempt to manipulate or deceive.

The questions that make up this category:

1. Our products and/or services are described fairly and accurately whenever we advertise them
2. Our direct and indirect sales efforts are always fair and ethical in every way
3. This organization does not engage in commercial manipulation of any kind
4. Our products and/or services reflect high standards of quality
5. Our competitive practices are always fair and honest
6. The organization, and our "brand", are valued and respected by our customers

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to be proud of its reputation or "brand" and take considerable efforts to ensure that the enterprise image is well regarded by suppliers, customers and other stakeholders. This is typically reflected in all promotional effort and when any information about the organization is communicated externally.

#### Net Negative

The organization is likely to spend little time in considering how it is regarded by suppliers, customers or other stakeholders or about whether its overall image is a good or a poor one. Promotional information is therefore often disseminated in confusing and/or misleading ways, with potentially negative consequences in terms of the reputation of the enterprise.

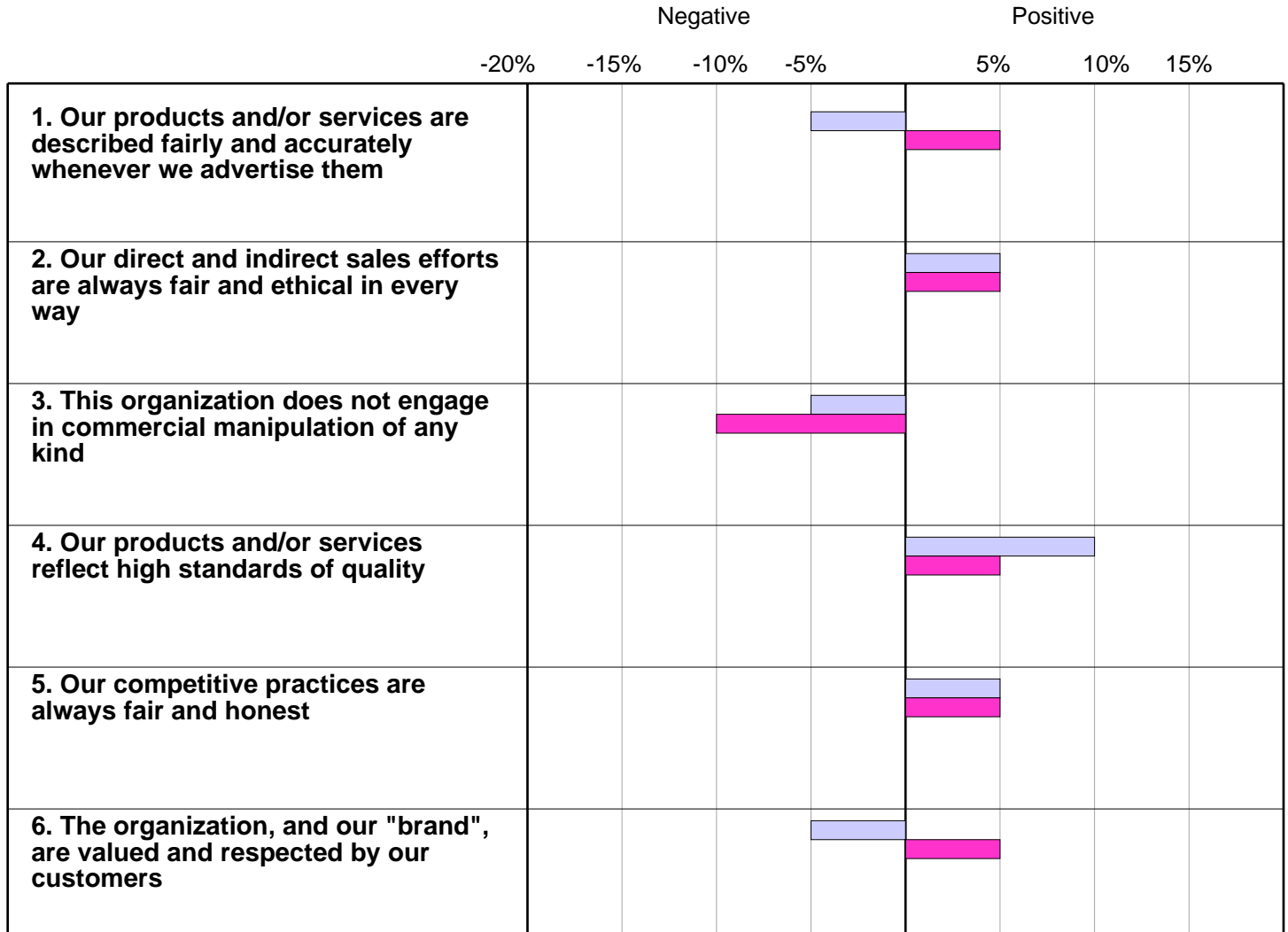
■ males ■ females

## Individual question analysis

# Promotional honesty

The extent to which products and/or services are marketed, advertised and sold in fair and responsible ways without any attempt to manipulate or deceive.

Overall score for this category= 58.06%



■ males ■ females

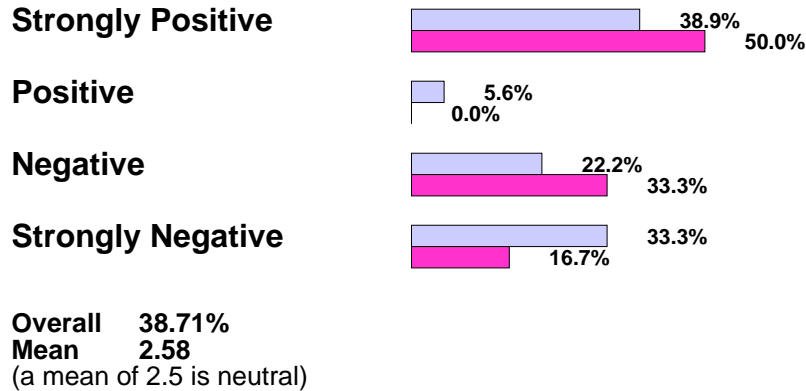
## Commercial Integrity

The extent to which the enterprise engages with suppliers and customers in a transparent, honest and principled manner.

The questions that make up this category:

1. This organization does not unfairly "squeeze" our suppliers in any way
2. Customers are always given full and honest representations of the true capabilities of the enterprise
3. All of our commercial transactions are fair, reasonable and transparent
4. This organization does not engage in commercial manipulation when negotiating with customers or suppliers
5. This organization is justly proud of its reputation for high commercial integrity
6. Our customers get good value for the money they spend with us

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to appreciate that its long-term success rests largely on the quality and integrity of relationships that it holds with both suppliers and customers as part of the overall service "chain". Commercial transactions are therefore designed to be fair, reasonable and transparent for all parties.

#### Net Negative

The organization is likely to invest little or no time in building high integrity and quality relationships with either its suppliers and/or its customers, and tends to deal with both in perhaps overly "transactional" terms. Some commercial relationships may therefore be squeezed or manipulated in the attempt to gain short term advantage for the enterprise.

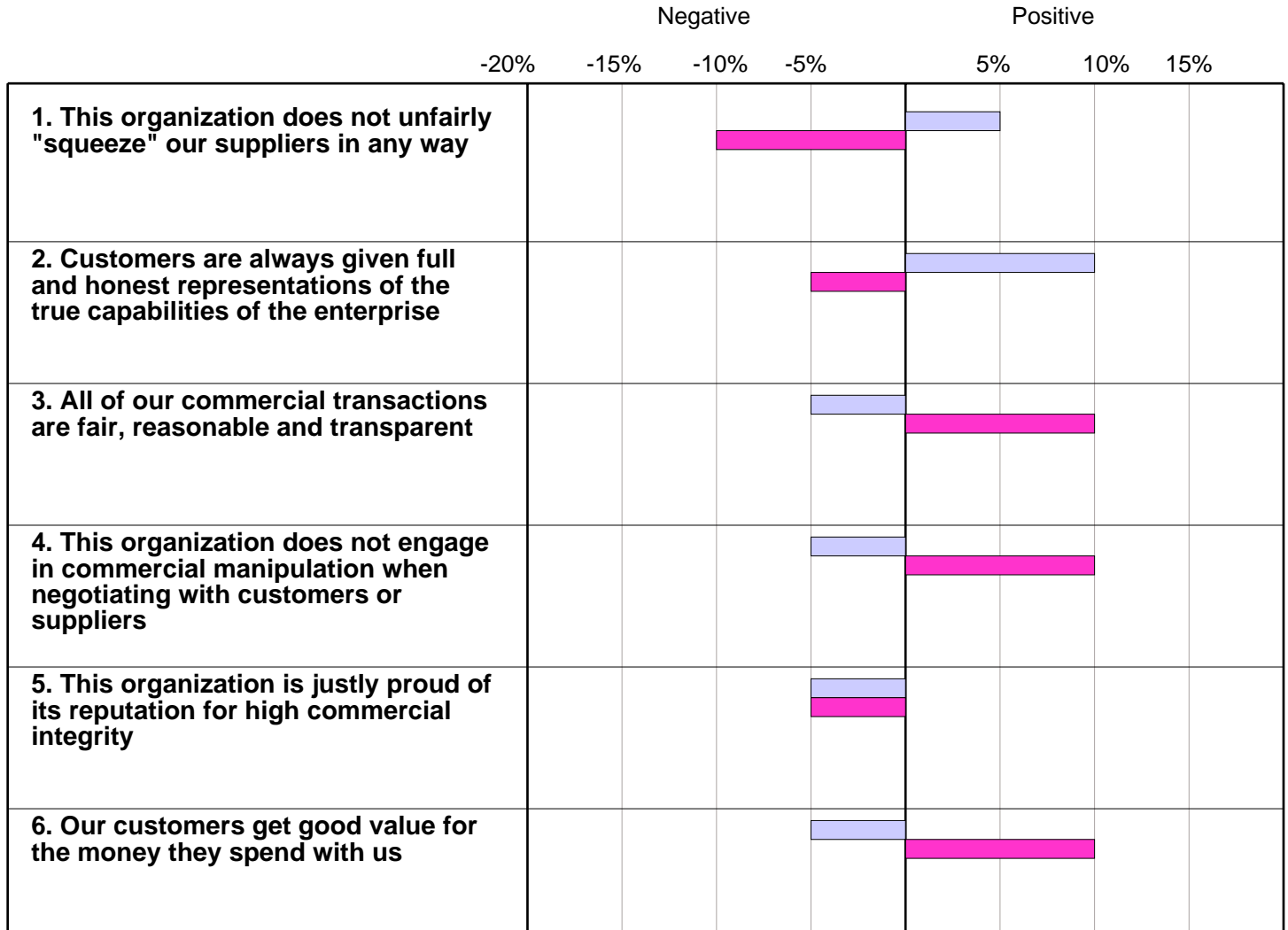
■ males ■ females

# Individual question analysis

## Commercial Integrity

The extent to which the enterprise engages with suppliers and customers in a transparent, honest and principled manner.

Overall score for this category= 38.71%



■ males ■ females

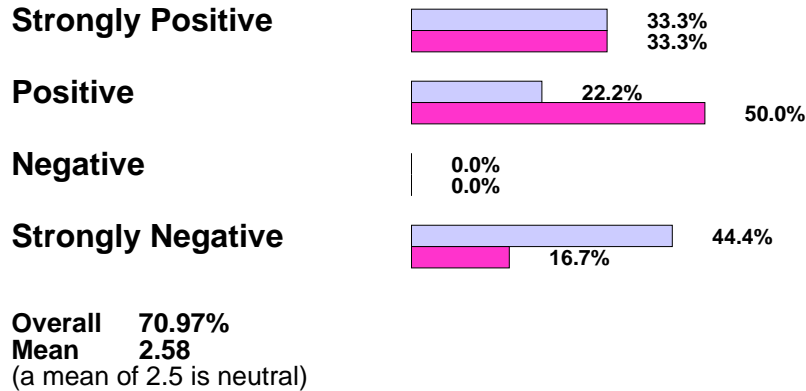
## Communication openness

The extent to which open, unconstrained and candid communication is encouraged amongst all individuals, up, down and across the enterprise.

The questions that make up this category:

1. Information and ideas flows effectively, up, down and across the enterprise
2. Employee input and suggestions are highly valued around here
3. Communications are well handled when major change is on the horizon
4. People are encouraged to speak up and voice their concerns around here
5. The organization is good at keeping people generally well informed and up to date
6. Managers and leaders typically adopt an 'open door' policy around here

### Average score:



### Interpretive notes

#### Net Positive

The organization is likely to see effective communication as crucial for "lubricating the relationship wheels" in the enterprise, helping to ensure that information flows quickly and efficiently in all directions. In this climate, communication tends to be open and flexible, allowing for both formal and informal input at all levels.

#### Net Negative

The organization is likely to pay insufficient attention to the communication climate that prevails. This may mean that important information is not always known to those who need to be aware of it, or that a closed or even "secretive" communication culture exists in some parts of the enterprise.

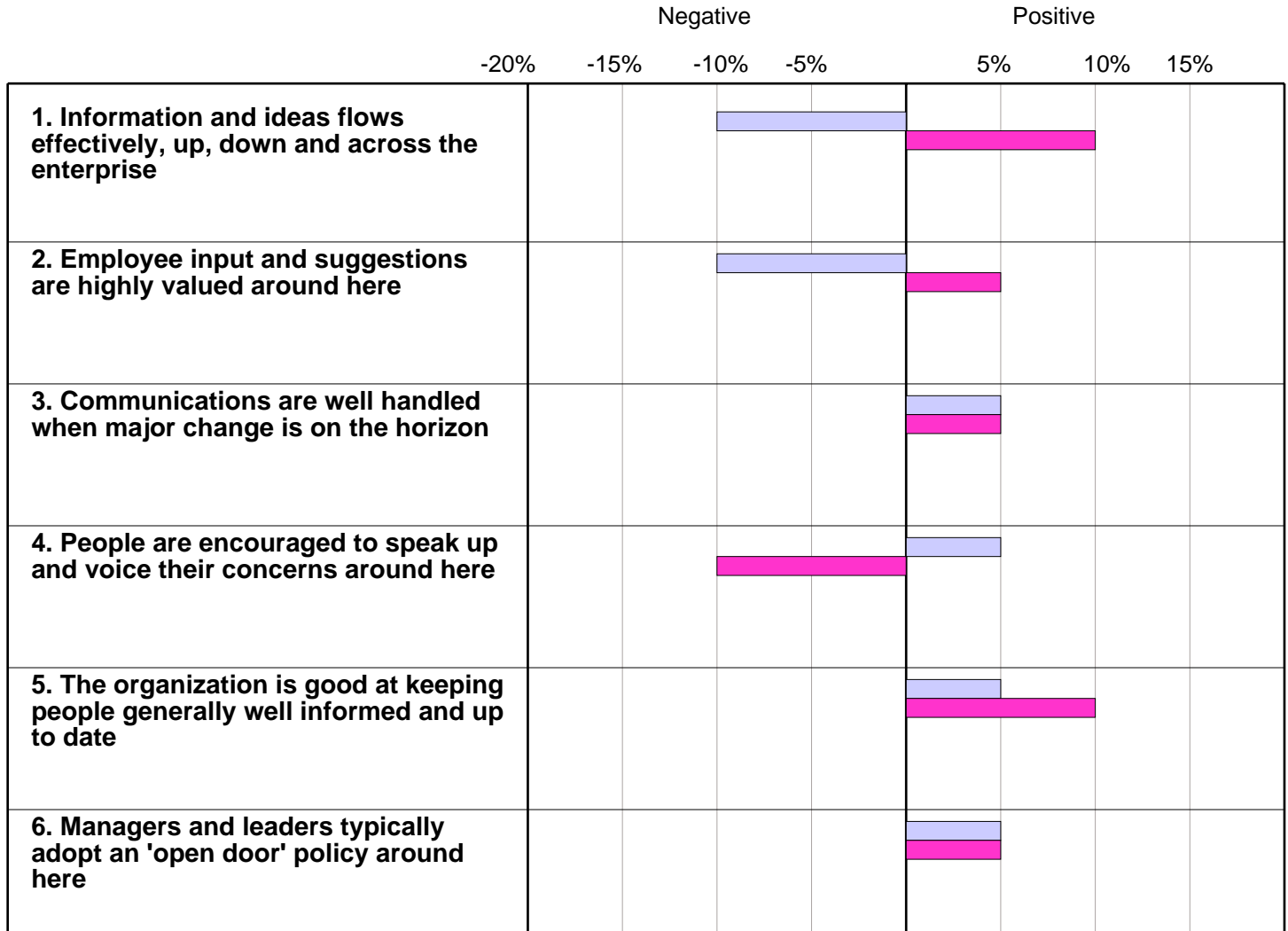
■ males ■ females

## Individual question analysis

# Communication openness

The extent to which open, unconstrained and candid communication is encouraged amongst all individuals, up, down and across the enterprise.

Overall score for this category= 70.97%



■ males ■ females

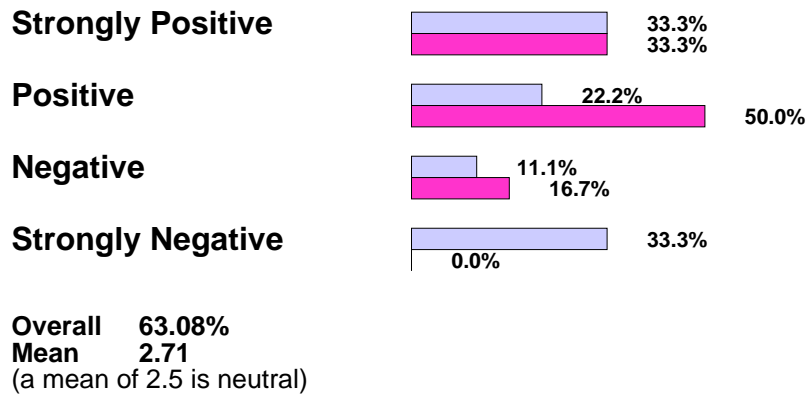
## Conflict handling

The extent to which interpersonal conflict of any kind is consistently handled in fair, just and reasonable ways across the whole organization.

The questions that make up this category:

1. Any workplace conflict is always handled maturely and constructively, whenever it occurs
2. Significant differences in viewpoints or perspectives are talked through openly
3. This organization does not tolerate workplace bullying in any form
4. Any destructive interpersonal conflict is generally dealt with quickly and well within the enterprise
5. Any formal discipline that has to be administered is always fair, just and reasonable
6. All leaders deal with interpersonal conflict issues consistently around here

**Average score:**



### Interpretive notes

#### Net Positive

The organization is likely to deal with any unhealthy conflict between individuals or teams in a responsible way to help ensure that negative personal or wider group consequences are minimized. This means that supervisors and managers typically handle all conflict fairly and consistently across the whole enterprise.

#### Net Negative

The organization is likely to consider a degree of conflict to be inevitable and may even let some of it lead to negative or unhealthy outcomes for individuals and/or whole groups of people at times. In addition, the ways in which supervisors or managers deal with conflict may be perceived to be occasionally unfair or inconsistent (giving rise to general disquiet in some quarters of the organization).

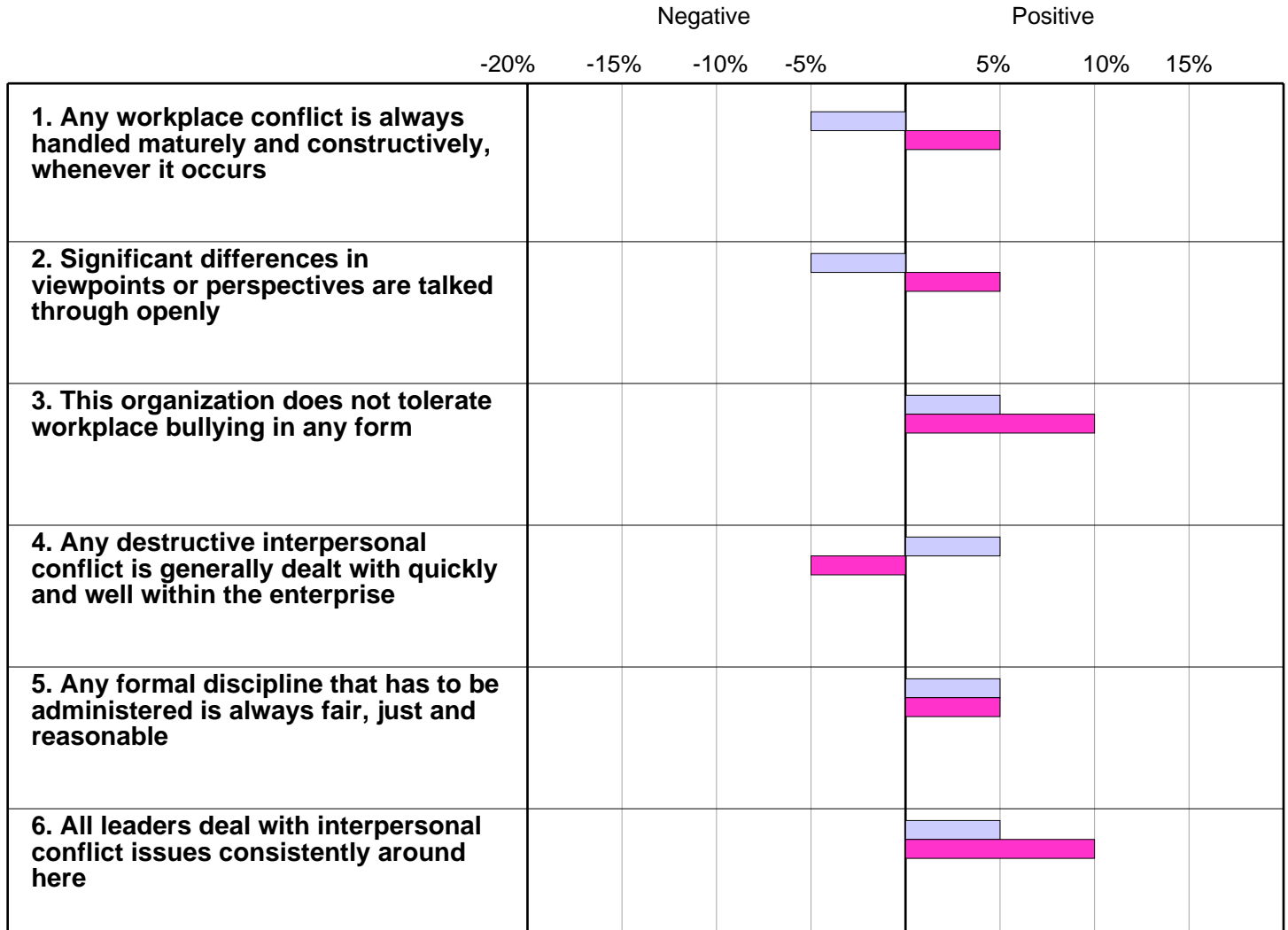
■ males ■ females

## Individual question analysis

# Conflict handling

The extent to which interpersonal conflict of any kind is consistently handled in fair, just and reasonable ways across the whole organization.

Overall score for this category= 63.08%



■ males ■ females

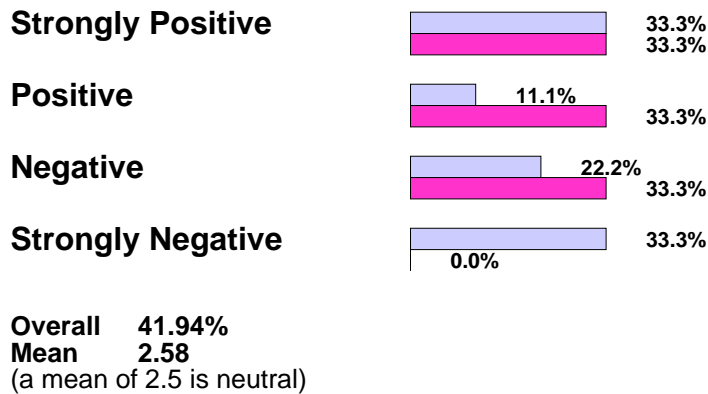
## Inclusion

**The extent to which the enterprise invests serious and on-going effort into ensuring that all individuals and groups feel that they are fairly and equally involved in the major decisions of the organization.**

The questions that make up this category:

1. Values that are important to individuals and to the organization as a whole are openly discussed
2. Men and women are treated fairly and equally in this enterprise
3. There is no discrimination against minority groups around here
4. This enterprise strives hard to help people to achieve a healthy work/life balance
5. This organization respects people's private beliefs and feelings
6. Organizational leaders actively resist any attempts to marginalize or exclude minority individuals or groups

**Average score:**



**Interpretive notes**

**Net Positive**

The organization is likely to invest considerable time and energy into ensuring that all individuals strongly feel part of the enterprise and involved in its important decision-making processes. This typically means that people do not feel excluded or do not believe that they are treated differently because of their beliefs or as a result of any particular 'grouping' to which they might belong.

**Net Negative**

The organization is likely to pay insufficient attention to helping all individuals to feel that they are fully part of the enterprise and that they can and do contribute to important decisions. In such a climate, a few people may experience some exclusion or discrimination based on their beliefs or as a result of a particular 'grouping' to which they belong.

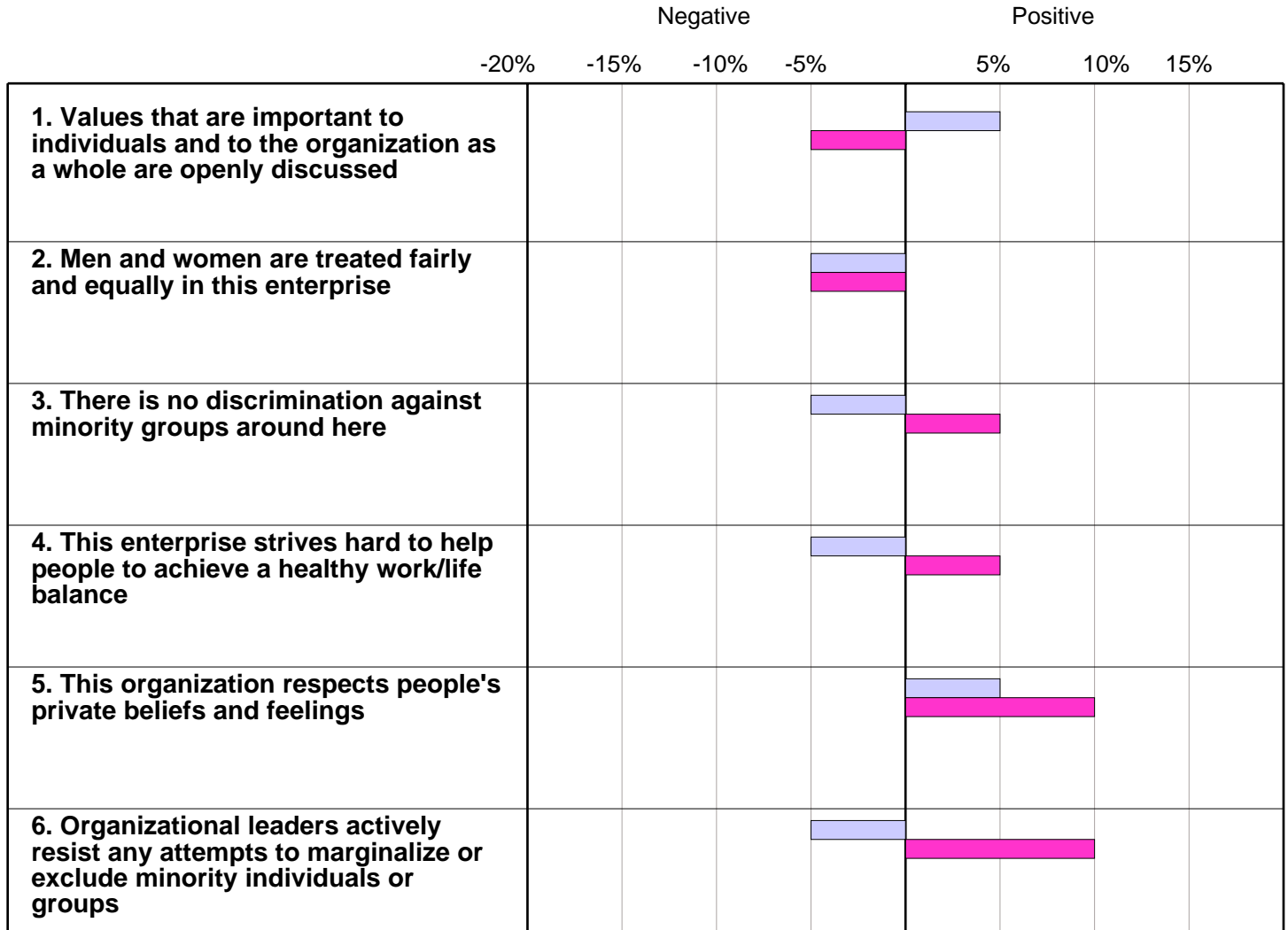
■ males   ■ females

## Individual question analysis

# Inclusion

The extent to which the enterprise invests serious and on-going effort into ensuring that all individuals and groups feel that they are fairly and equally involved in the major decisions of the organization.

Overall score for this category= 41.94%



■ males ■ females

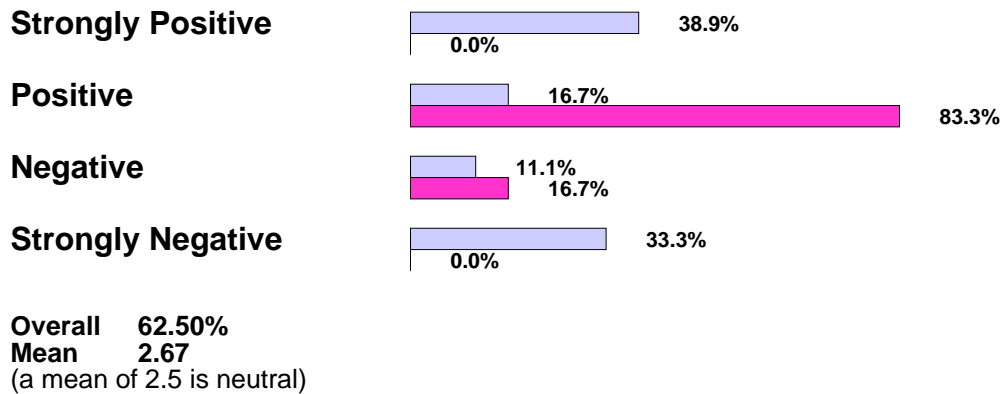
## Policy protection

The extent to which individuals, teams and the enterprise as a whole are well protected against ethical risks by comprehensive policies and procedures.

The questions that make up this category:

1. A comprehensive set of policies and procedures is in place to ensure employee behavior and action is ethical
2. The intellectual property of individuals and the enterprise as a whole is always well protected
3. Well understood controls are in place to protect individuals and the enterprise from theft and fraud
4. Personal and organizational information is properly safeguarded, particularly when using I.T. systems
5. Policies, procedures and work instructions are clearly written and readily accessible to all employees
6. Individuals are encouraged to sign all key policies to indicate that they have been read and fully understood

**Average score:**



### Interpretive notes

#### Net Positive

The organization is likely to have designed a broad and comprehensive policy framework to ensure as much protection against ethical risks as possible. Within this framework, standards and procedures are typically both clear and highly accessible, and significant efforts are made to ensure that they are fully understood.

#### Net Negative

The organization is likely to either lack a sound policy framework, or have a policy framework that may not fully ensure reasonable protection against ethical risks. This may mean that there are policy "gaps" in standards of procedures, or that they are not entirely clear, accessible or fully understood by all employees.

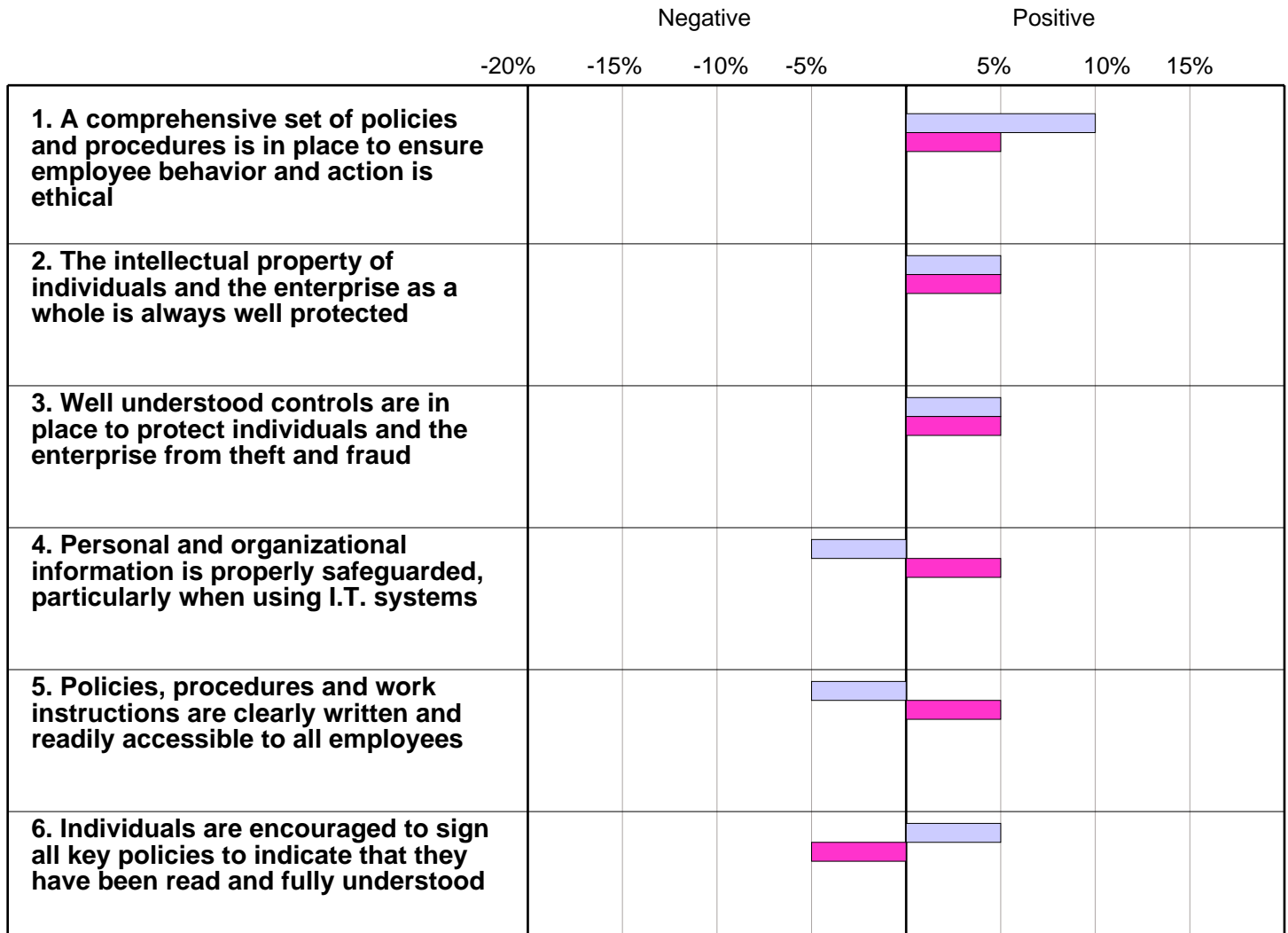
■ males ■ females

## Individual question analysis

# Policy protection

The extent to which individuals, teams and the enterprise as a whole are well protected against ethical risks by comprehensive policies and procedures.

Overall score for this category= 62.50%



■ males   ■ females

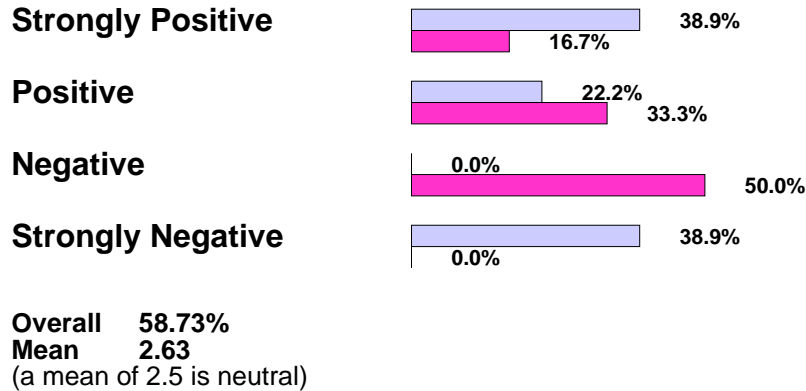
## Discrimination

The extent to which the organization has set up and developed effective systems and controls to discourage or eliminate all forms of discrimination.

The questions that make up this category:

1. Coaching and training in cultural and diversity awareness is in place and available to all
2. An effective equal opportunity system is in place and works well
3. People's personal religious and other beliefs are always respected around here
4. Any individual discriminatory behavior is dealt with very seriously by this organization
5. Every single person is seen as having a unique and valuable contribution to make to the enterprise around here
6. Proper training is made available to help individuals to avoid sexually harassing behavior

Average score:



### Interpretive notes

#### Net Positive

The organization is likely to invest considerable time and effort into developing effective policies and procedures, and other control systems, to help prevent discrimination and to offer equal opportunity to all individuals. This includes making widespread coaching and training available for all employees wherever it is needed.

#### Net Negative

The organization is likely to have invested little time and effort into developing effective policies and procedures, and other control systems, to help prevent discrimination and to offer equal opportunity to all individuals. This often includes insufficient effort to design and deliver appropriate and relevant coaching and training.

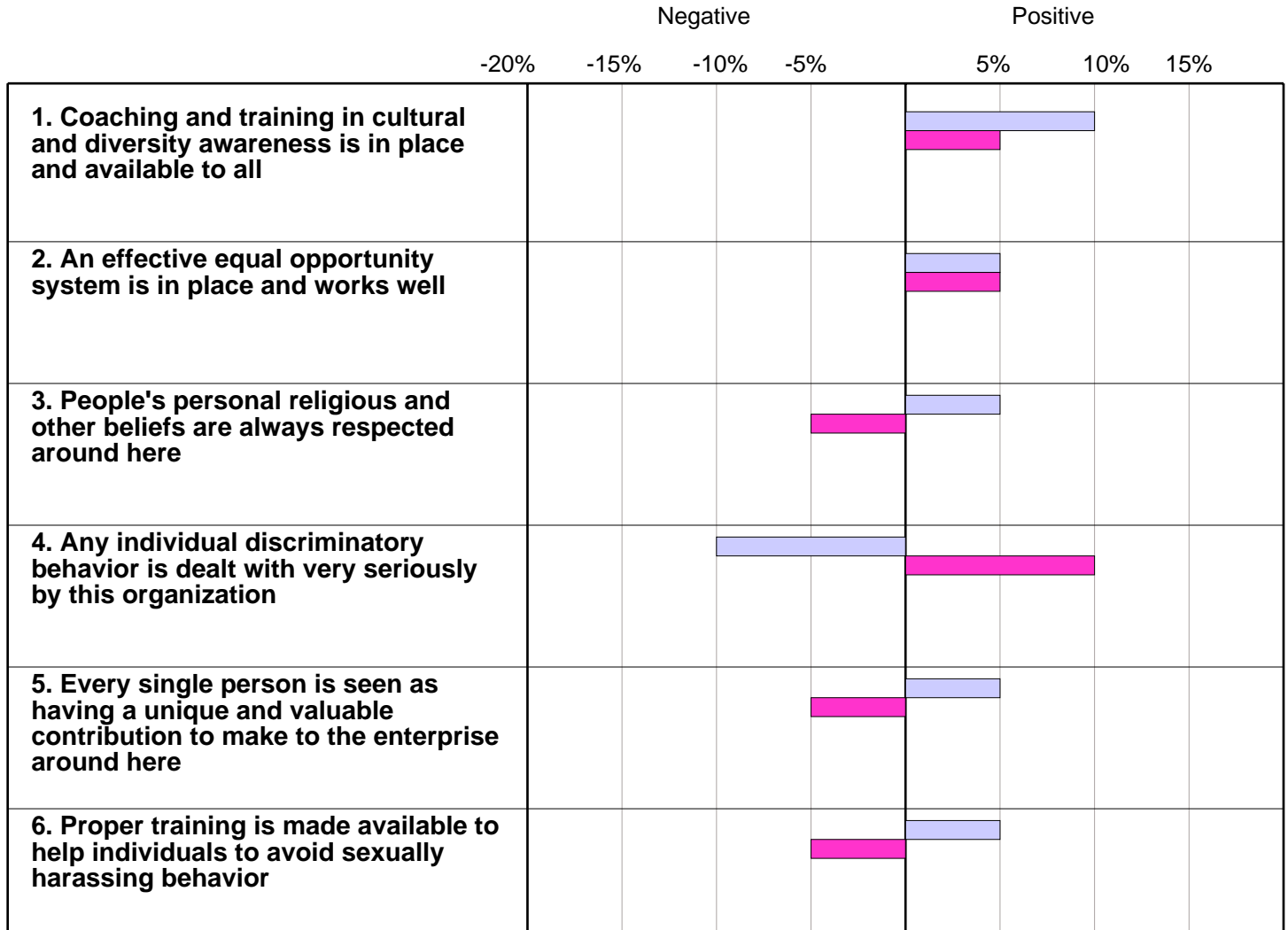
■ males ■ females

## Individual question analysis

# Discrimination

The extent to which the organization has set up and developed effective systems and controls to discourage or eliminate all forms of discrimination.

Overall score for this category= 58.73%



■ males ■ females

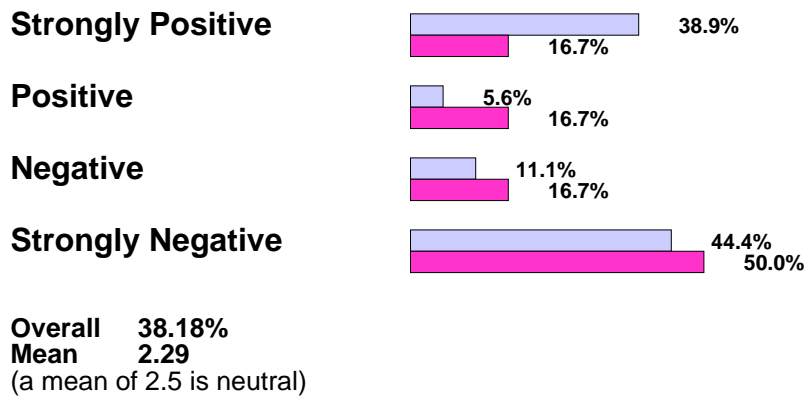
## Risk management

The extent to which the enterprise effectively and efficiently assesses people, plant and process risk and puts good systems and controls in place as a result.

The questions that make up this category:

1. Ethical risks to the organization have been properly assessed and assessments are kept up to date
2. This enterprise works hard to ensure that every individual goes home in the same condition that he or she came to work
3. Substance abuse in the workplace (drugs or alcohol) is taken seriously around here
4. Good people, plant and process risk assessment is a way of life around here
5. This organization works hard to be fully compliant in terms of its safety and environmental responsibilities
6. Every individual in the organization acts as an ethical 'ambassador' of the whole enterprise in everything that they do

### Average score:



### Interpretive notes

#### Net Positive

The organization is likely to take the need for on-going risk assessments extremely seriously and uses the risk evaluation process to effect positive changes in relation to particular issues that may have problematic ethical consequences. In such a climate, the risk assessment approach encompasses the ethics of every day decisions that people take in the enterprise, at all levels.

#### Net Negative

The organization is likely to spend insufficient time on conducting on-going risk assessments and on considering the potential ethical problems that might arise from the decisions or actions that people take in the enterprise on a day to day basis.

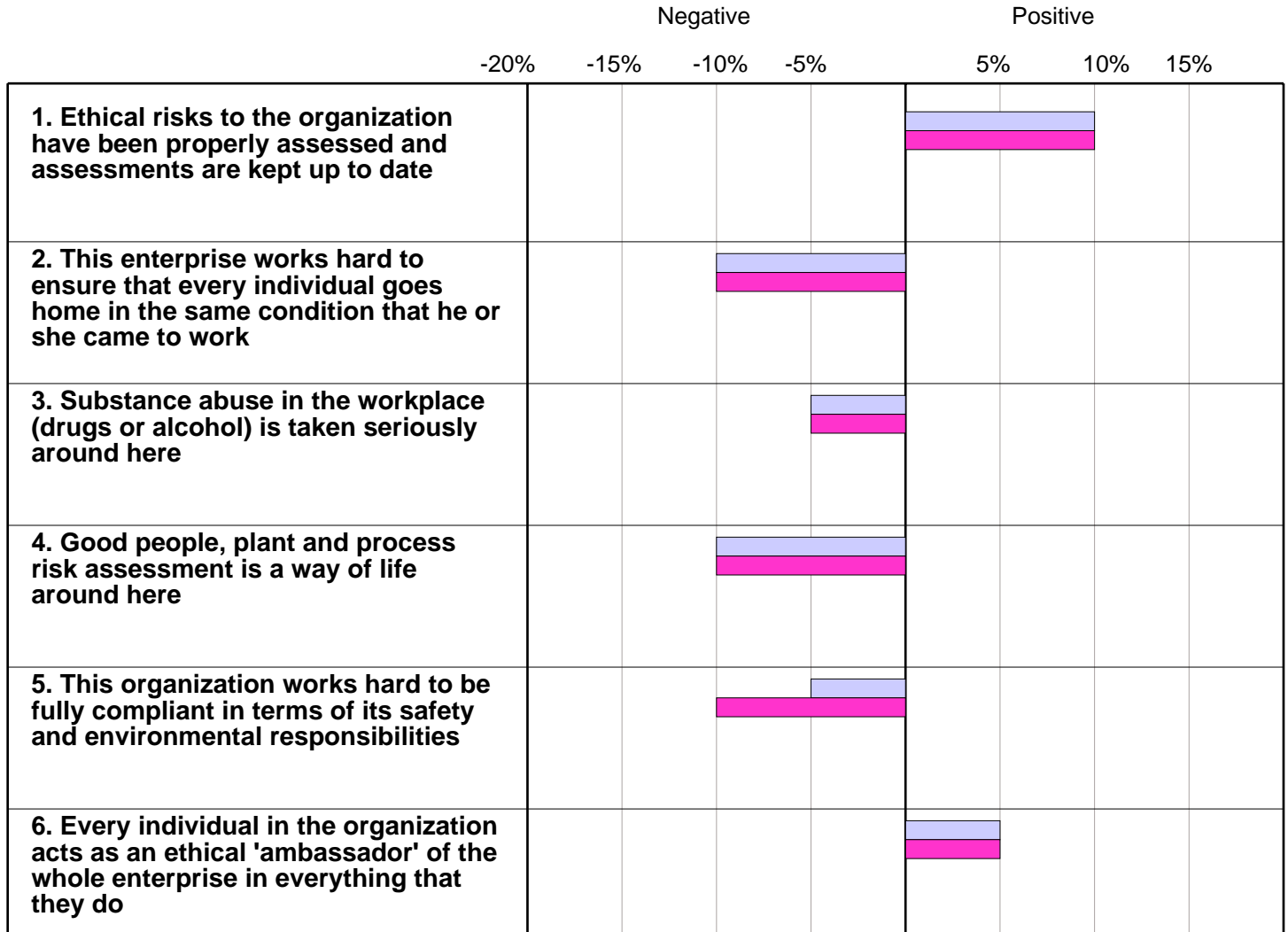
■ males ■ females

## Individual question analysis

# Risk management

The extent to which the enterprise effectively and efficiently assesses people, plant and process risk and puts good systems and controls in place as a result.

Overall score for this category= 38.18%



■ males ■ females



## Intervention suggestions

As we indicated at the beginning of this report, the first step in a process designed to take serious account of employee opinions and attitudes as they relate to Corporate Ethics in particular, is accurately diagnosing the prevailing culture. This includes looking for any perceived strengths, problems, gaps or shortfalls, and then translating the feedback we gather into firm action. To assist in this process, a set of very general intervention suggestions has been created for each of the four key factors (Ethical Leadership, Ethical Commerce, Ethical Relationships and Ethical Controls).

Because it is impossible to apply a broad set of ideas or suggestions across every enterprise, careful analysis of individual results needs to be carried out.

The following pages of suggested interventions (one for each factor and based only upon this 'bottom-up' analysis) are offered as possible ethical ideas or approaches that may be taken or drawn upon (in their entirety or in part) where they are deemed to be appropriate or useful.

## Ethical Leadership

**The extent to which organizational leaders at all levels are ethical in their words and deeds and that the decisions that they make are morally defensible.**

### Indicators of low performance

- People do not always feel comfortable in talking to managers about ethical/moral problems
- Leaders do not always set a good ethical example
- People with power and authority do not always use it carefully and judiciously
- Individuals are not always treated with fairness, dignity and respect
- Communications from supervisors and managers are often confused and inconsistent
- Leaders are insufficiently caring and considerate of people
- Verbal abuse of people by supervisors and managers occurs from time to time
- Leaders tend to prioritize ends over means
- Humanity and compassion are too rarely seen in decision making
- Leaders seldom contribute to community and social causes

### Suggested interventions:

1. Review the organization's code of ethics and think about the specific implications for leadership and decision-making at all levels of the enterprise.
2. Consider holding one or more off-site meetings for the senior leaders of the enterprise to focus on the whole subject of corporate ethics and the type of leadership style and approach that is likely to build and maintain employee trust.
3. Think carefully about the leadership example (in role model terms) that is set when teams or groups are together and major decisions are made.
4. Set regular time aside to think about ethical or moral issues when decisions are either difficult or may have a wide organizational impact.
5. Consider gathering employee feedback on the treatment received from supervisors and managers, and the extent to which they feel that there is sufficient fairness and effort to maintain individual dignity.
6. Evaluate the goals of the team or the enterprise as a whole and consider whether the efforts to reach these goals are fair and honest (and make any necessary adjustments accordingly).
7. Assess the way that leader communication occurs across the enterprise and whether it is always clear, concise and consistent.
8. Invite people at all levels to comment upon whether they feel cared for, supported and generally well regarded by their supervisor and/or manager (and make any changes where necessary).
9. Consider spending more leadership effort in "walking-the-talk" and spending quality time in listening to general employee feedback of all kinds.
10. Identify particular community projects or volunteer work in which all supervisors and managers can be encouraged to engage as much as they wish.
11. Review the major visible leadership communications in the recent past and assess whether subsequent actions have been consistent with the overall message (and whether complete integrity has been maintained in terms of what was done versus what was said).
12. Invite a range of organizational stakeholders (not just the employees) to comment upon the ethical practices of the enterprise and particularly on practices, which could be changed or improved.

## Ethical Commerce

**The extent to which an enterprise is legally, fiscally and commercially responsible in the way in which it deals with all of its stakeholders.**

### Indicators of low performance

1. Commercial and contractual documents in the organization are written without good corporate ethics in mind
2. The money management system of the enterprise has gaps and does not always work as it should
3. Confidential information of any kind is not always treated with the respect it deserves
4. Internal audit and checking processes to ensure the integrity of commercial practices are few and far between
5. The authority to spend money is not well delegated and/or well controlled
6. Products and/or services are not described accurately when they are advertised
7. Competitive practices can sometimes be seen to lack fairness and honesty
8. The organization, and its "brand" have low customer respect
9. Commercial transactions are not always fair and transparent
10. Customers do not always get good value for the money they spend with the enterprise

### Suggested interventions:

1. Carefully review all major commercial and contractual documents to ensure that they encompass good corporate ethics (and make positive changes wherever necessary).
2. Assess any commercial or contractual disputes or problems that have arisen in recent years and determine whether a better ethical approach could have been taken. Ask whether a different approach could be developed for the future.
3. Evaluate or audit the organization's money management and handling system at all levels to ensure that it is efficient, effective and properly used.
4. Invite individuals to comment upon whether they feel that confidentiality is properly protected in all commercial transactions (and make any changes where necessary based on the input gathered).
5. Assess the entire delegation of authority system to check whether it strikes the right balance between proper control and necessary 'freedom to act'.
6. Consider all recent advertising and promotional effort by the enterprise and review whether products and/or services are described accurately and ethically (and make any necessary adjustments wherever needed).
7. Invite customers to comment upon the sales tactics that are taken by front line sales staff, to check that their approach is both professional and ethical
8. Invite suppliers to comment upon the fairness/reasonableness of their commercial dealings with the enterprise (and make positive adjustments where problems appear to exist).
9. Review the product and/or service quality standards that are applied by the enterprise and evaluate whether they are sufficiently high and well regarded by customers.
10. Assess the internal process by which work is sought, tendered or bid, in order to determine whether the practices are fair, transparent and ethical.
11. Survey current customers to determine their opinion on the organization's overall reputation and the relative worth of the product or service "brands".
12. Carefully evaluate the extent to which the enterprise is capable of maintaining high levels of compliance to legal standards on an on-going basis through effective monitoring and change wherever necessary.

# Ethical Relationships

**The extent to which an organization is ethical in all of its relationships with people, and is successful in creating a climate which is open, fair and honest.**

## Indicators of low performance

1. Employee input and suggestions are often ignored
2. Communications are often inadequate when major change is on the horizon
3. The organization does not keep people well informed and up to date on current issues
4. Workplace conflict is often handled emotionally and/or inconsistently, whenever it occurs
5. Destructive interpersonal conflict is not always dealt with well within the enterprise
6. Any formal discipline that has to be administered is sometimes unreasonable and/or harsh
7. Values that are important to individuals and to the organization as a whole are rarely discussed
8. Men and women are not always treated fairly and equally in the enterprise
9. Minority groups can experience some discrimination from time to time
10. Work often takes precedence over the need for a healthy employee work/life balance

## Suggested interventions:

1. Invite regular and serious discussion about the extent to which the free flow of information or ideas is actively encouraged by the enterprise (and what can be done to improve it).
2. Consider whether employee input and/or suggestions are taken seriously enough and acted upon quickly and effectively, where appropriate.
3. Review the overall employee communication strategy that is adopted when significant organizational change occurs, and what steps need to be taken to help make it more open and honest for everyone.
4. Assess the extent to which individuals feel that they can speak up, or even “blow the whistle”, when they perceive that ethical or moral transgressions have occurred at any level. Discuss what needs to be put in place to help people to speak up and feel safe and valued in doing so.
5. Encourage all supervisors and managers to engage in as much “walk-the-talk” activity as possible, in which they listen to all employees and become aware of different individual and group perspectives on what is happening on a day-to-day basis in the enterprise.
6. Review any formal workplace dispute or conflict that has occurred in recent times and assess whether the approach taken has always been mature, fair and consistent (and start to make adjustments to the policy and practice for the future wherever necessary).
7. Carefully evaluate the orientation/induction process for new employees to ensure that individuals are not unfairly treated or even bullied (in mental or physical terms).
8. Over a period of two or three years, look closely at the formal disciplinary process in all areas, and assess whether the action or punishment has been consistent according to the offence (and if not, make changes to policy or practices for the future).
9. Encourage all supervisors and managers to openly discuss organizational values and listen to the reactions of individuals and the team as a whole (including constructively discussing any personal values that may be different).
10. Review the extent to which the enterprise (openly or inadvertently) may be engaging in any workplace discrimination against minorities or particular groups of employees in terms of major decisions that are made by the organization (and make adjustments where necessary).
11. Consider setting up formal and informal employee feedback mechanisms in which personal perspectives and beliefs can be openly shared and respected.

## Ethical Controls

**The extent to which the enterprise has comprehensive and effective policies, procedures and other controls to help encourage ethical behavior at all levels.**

### Indicators of low performance

1. Policies and procedures to ensure employee behavior and action is ethical have gaps and inconsistencies
2. The intellectual property of individuals and the enterprise is not always well protected
3. Policies, procedures and work instructions are not always available or well written
4. Coaching and training in cultural and diversity awareness is not available
5. An effective equal opportunity system is not in place
6. Individual discriminatory behavior is sometimes tolerated by the organization
7. Ethical risks to the organization have not been properly assessed and/or kept up to date
8. Substance abuse in the workplace (drugs or alcohol) is not taken as seriously as it could be
9. People, plant and process risk assessment is infrequently carried out
10. The organization is not always fully compliant in terms of its safety and environmental responsibilities

### Suggested interventions:

1. Carefully review all major organizational policies and procedures to ensure that ethical practice or behavior is explicitly encouraged (and any unethical behavior is clearly described and discouraged).
2. Evaluate the knowledge and "intellectual properties" owned by individuals and the enterprise as a whole, and discuss the way in which it can be properly protected.
3. Consider writing or re-writing policies and procedures relating to organizational theft and/or fraud or other crimes against the enterprise to ensure that expectations are entirely clear at the outset.
4. Audit the internal information storage system (particularly within the information technology system that is used) to ensure that it is properly protected/secured.
5. Review the entire system of organizational procedures and work instructions to check for clarity, access and declared understanding by employees (and make adjustments wherever necessary).
6. Design and develop particular coaching and/or training programs, which guide employees towards more open/tolerant behavior in terms of the diversity of cultures that prevail within the enterprise.
7. Assess internal systems and procedures by which individuals are recruited to the enterprise or internally appointed, to ensure that everyone with appropriate skills and/or experience is afforded equal opportunity (and make adjustments wherever necessary).
8. Consider making highly visible examples of any individual who continually and/or systematically engages in any discriminatory or harassing behavior towards other people.
9. Rigorously assess the significant ethical risks that may exist in the organization and discuss the on-going actions that need to be taken to eliminate or mitigate these risks.
10. Review the entire strategy and approach taken by the organization towards safety, health and environmental management to ensure that all employees are as well protected as possible (and make adjustments where there are gaps or any inadequate approaches).
11. Consider setting up on-going monitoring systems for external laws, regulations or standards (and even best practice approaches) as they relate to safety, health and environmental management, and ensure that internal practices are continually adjusted in the light of the information gathered.
12. Consider using a formal employee assistance program (EAP) as a useful control against the potential risks of drug or alcohol abuse spilling into the workplace.