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# THE CORPORATE CHARACTER CRISIS

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## *Ethics & Integrity in the Workplace*

Creating a Culture of  
Sustained Excellence,  
Greater Productivity,  
Integrity, and Ethical  
Behavior in the  
Workplace

Compiled by Steve Riach, CEO,  
Heart of a Champion Corporate Learning

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## *Ethics and Integrity in the Workplace*

### Table of Contents

Synopsis .....	4
Introduction.....	6
The Ethics Landscape .....	6
Big Problems.....	6
Core Values: Face or Fallacy? .....	8
The Cost.....	9
Why the Problems Exist.....	10
The Future of Business Ethics.....	10
Training for Ethics? .....	12
Ethical Standards .....	13
Ethics, Integrity and Character: Keys to Success .....	15
A Case Study.....	16
Changing the Ethics Culture.....	23
Four Key Strategies for Change .....	23
Four Common Myths About Integrity in Business .....	24
Companies that Do It Right .....	25
Solutions: Creating a Culture of Character .....	27
Conclusion.....	28
Bibliography.....	29



## EXECUTIVE SUMMARY

*"All companies have a culture, some companies have discipline, but few companies have a culture of discipline."* – Jim Collins, author, *Good to Great*

The observation of business guru Collins is not unique. Sadly, it is in fact, commonplace today to learn that most companies do not succeed in establishing a credible corporate tone. The reality is, today American business is suffering from a corporate character crisis.

While the highly public scandals of 2001-2005 may be behind us, their aftermath continues. With the advent of new regulatory requirements, many through the Sarbanes-Oxley Act, companies are frantically attempting to meet compliance standards. But are they effectively changing their culture? Consider the facts:

In a recent survey of American workers, ***more than half admitted they had done something unethical or illegal in the workplace*** during the previous calendar year.

In a 2005-2006 survey, ***nearly 75% of employees said they had observed misconduct in the prior year***, with half stating they observed serious misconduct that could cause "a significant loss of public trust if discovered."

A third recent survey showed that while Ethics and Integrity are listed as Core Values by 76% of American companies, ***only 32% of said their company's public statements of their values conflicted with internal messages and realities***.

These mixed messages have negatively impacted internal culture in creating confusion among the workforce and, by effect, undoubtedly had a negative impact on the bottom line of most of these companies. Further, it has produced a dramatic effect on the public credibility of such companies and the perceived trust of their customers. While numerous studies demonstrate that credibility and trustworthiness are imperatives to a company's success in today's culture, most have performed only cosmetic ethics changes – and then typically just for compliance reasons – without actually affecting the internal culture. The result of such action has seen many companies still struggling with internal issues that are negatively impacting the bottom-line. The future does not look any brighter, either.

A recent Zogby poll of graduating college seniors preparing to enter the workforce shows that ***nearly three out of four believe ethics in the workplace are dependent on the individual and a given situation and that there is no standard of ethics for all employees to adhere to***.

Amidst this unstable ethical landscape, how then, do companies educate for ethical conduct? Unfortunately, the reality is that most do not. Hence the Corporate Character Crisis we face today.

Studies show that at the corporate level, doing the right thing is not always simple and straightforward. Right and wrong defined by different people may manifest diverse thinking, motivated by each individual's personal values. Thus, it is critical for an organization to clearly define the corporate standards for right and wrong and then train according to those standards.

The most effective way to do this is to train according to a company's core values.

The Sarbanes-Oxley Act cannot, in itself, initiate a change in culture. As French journalist and philosopher, Charles-Louis de Secondat Baron de Montesquieu, said 300 years ago, "Never create by law what can be accomplished by morality."

Herein lays the core issue. Creating a culture of ethics and integrity in the workplace is not simply a matter of rule of law or adherence to requirements. Rather, it is a matter of cultivating the human heart of each individual in the workplace. The heart is best defined as man's innermost part – the mind, will, emotions, conscience, and moral nature. To create a truly effective culture of ethics and integrity in the workplace, companies must train the heart of the individual, and cultivate and reinforce the values of such training.

Studies demonstrate that where cultures are strong, it is in part because a formal ethics program is in place. Even further, formal programs are likely to be an essential element in the maintenance of a strong culture. While culture matters in making an impact, formal programs are still essential to create a culture. And it is imperative these formal programs incorporate a focus on personal character and values training in order to create sustained change.

The question, then, that corporate leaders must ask, is: Can intentional efforts to create a corporate culture of ethics and integrity coincide with simultaneous superior performance? Heart of a Champion has proven the answer to the second question is "yes." The Caremark case study contained in this document demonstrates such.

***"The Heart of a Champion program was the perfect format to assist in the development of one of our core values – 'Integrity'...Our production and performance over the past 90 days have been the highest in the history of this facility...as has our quality-control." – Paul Turner, Caremark General Manager***

On the other hand, a company's failure to create a culture of ethics and integrity in the workplace will result in: public distrust, millions of dollars in lost productivity, decreased quality control, high turnover rates, absenteeism, reduced customer loyalty, internal theft, and in some cases, fines, penalties and even more harsh punishment. The cost of not intentionally training for ethics and character is severe, the bottom-line effect substantial. Today, companies simply can't afford not to train for character and ethics.

This body of collective literature is designed to mine recent findings and surface themes that bring to light the current crisis of character that exists in corporate America today, touch on the vacuum of ethics and integrity training, clarify best practices, as well as identify the success of the Heart of a Champion program in producing measurable results reflecting significant attitudinal and behavioral change and increased productivity.

*“But how shall we educate men to goodness, to a sense of one another, to a love of truth? And more urgently, how shall we do this in a bad time?” – Daniel Berrigan*

## INTRODUCTION

Interestingly, for a concept that is so crucial to the structure of society, not to mention the success of any organization, the idea of training for values, personal character, ethics and integrity is still very subjective, and the strategy for such remains rather nebulous and ill-defined. Simplistically put, ethics is learning and understanding the difference between right and wrong, and then doing the right thing. But, is it that simple for everyone?

Studies show that at the corporate level, doing the right thing is not always simple and straightforward. Right and wrong defined by different people may manifest diverse thinking, motivated by each individual’s personal values. Thus, it is critical for an organization to clearly define the corporate standards for right and wrong and then train according to those standards. The most effective way to do this is to train according to a company’s core values.

Within a work environment, the cultural values that drive business decisions are critical to the organization’s credibility with its employees, customers, and shareholders. Given recent examples of breaches of business ethics, organizations of all kinds are being challenged to take a hard look at their own mode of operating to determine just how credible their organization appears to their employees and to their public. For most people outside of an organization, perception is reality. Further, for most employees who are not involved in high-level communication, perception is also reality.

## THE ETHICS LANDSCAPE

### BIG PROBLEMS:

A recent Ethics Resource Center (ERC) survey found that roughly one in seven employees of American publicly-traded companies give their employers a below-average grade or failing grade for ethical behavior. Moreover, the national ERC survey found that a significant share believe their organizations reward employees for getting good results, even if they use ethically questionable practices:

- Overall at public companies, 22 percent said results are rewarded even at the expense of unethical practices
- At companies with 100 or fewer employees, 37 percent said that was the case

When employees were asked, “How often does your job conflict with your personal values?” they responded as such:

- Overall at public companies, 20 percent of employees said that conflict occurs “sometimes or always”
- Thirty percent of those at organizations with 100 or fewer employees said it occurs “sometimes or always”
- At companies with 100,000 or more employees, 27 percent gave that answer

**When asked to grade their organizations' efforts to encourage ethical conduct on a scale of A through F, with A being the best, 32 percent gave a grade of C or lower.**

**According to previous ERC studies, employee perceptions of corporate ethics are driven by three factors:**

1. Awareness of the importance of ethics as initiated by top management,
2. An organizational culture that reinforces the importance of ethics
3. The presence of an ethics and compliance program (including internal controls) that detect misconduct taking place.

According to additional research by the ERC, many organizations are not meeting the ethical expectations of their employees. One in three employees participating in the ERC's research said that they have observed misconduct within the last three years. Here are a few of the observed areas:

<u>Have you observed someone in your company?</u>	<u>% observing</u>
Lying to a fellow employee or a customer	26%
Withholding information needed by others	25%
Being abusive to someone else in the company	24%
Misreporting the actual number of hours worked <sup>5</sup>	21%

**Further, according to a survey of American workers released a few years ago, more than half admitted they had done something unethical or illegal in the workplace during the previous calendar year.**

The wave of U.S. corporate scandals experienced between 2000 and 2005 was followed by the passage of a wide variety of new regulations. But what affect have these regulations had?

According to a 2005-2006 Integrity Survey deployed by KPMG Forensic, based on the perceptions of over 4,000 employees in U.S. companies, the reforms have had little impact on corporate misconduct.

The survey uncovered that *nearly three out of four employees reported that they had observed misconduct in the prior 12-month period, with half of employees reporting that what they had observed was serious misconduct that could cause "a significant loss of public trust if discovered."*

What impact does such lack of personal character and integrity have on a company? Perhaps one of the most significant areas is in employee absenteeism.

An annual nationwide survey of more than 300 human resource executives, conducted by the Harris Interactive consulting firm for CCH, Inc., found an absenteeism rate of about 2.3 percent this year – down slightly from 2.5 percent in 2006, the highest rate since 1999.

The executives surveyed said that two-thirds of employees who call in sick at the last minute are really missing work due to family issues, personal needs, stress and an entitlement mentality. Personal illness accounts for only 34 percent of the absences. 24% falsified their sickness for family reasons. Just over 20% cited “personal needs.” 12% stated they were stressed. And 10% cited “A feeling of entitlement.”

Amazingly, in 2007, the media uncovered the Excused Absence Network, where, for about \$25, employees can buy excuse notes that appear to come from doctors or hospitals. Other options include a fake jury summons or an authentic-looking funeral service program complete with comforting poems and a list of pallbearers. The notes are used to allow employees skip work with an “excused absence.”

“Millions of Americans work dead-end job, and sometimes they just need a day off,” said John Liddell, co-founder of the Internet-based company Vision Matters, which sells the notes as part of its **Excused Absence Network**. “People are going to lie anyway. How many people go visit their doctors every day when they’re not sick because they just need a note?”

Greed was once seen as a desirable feature of capitalism. Now, we know that unless it is kept in check, it will breed disasters – from large corporate scandals to workers trying to scam the system for a few extra days off.

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## CORE VALUES: FACT OR FALLACY?

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The American Management Association (AMA) surveyed its Council and Executive Members in April and May 2002 to determine what core values companies stand for and how they are communicated to employees. Of the 175 executives who responded, 86% said that their company specifically writes or states their values, including them in employee handbooks (71%), in company brochures (67%), on their Websites (50%) or on wall posters (41%).

**However, nearly a third of respondents (32%) said that their company’s public statements sometimes conflicted with internal messages and realities. And 36% said that their organization would always do what’s legal, but not always what would be perceived as ethical. Others indicated that their company’s values were adhered to only some of the time, including ethics/integrity (23%), accountability (37%) and respect for others (37%).**

“Corporate integrity has been called into question in recent months, indicating that there is a problem,” said Edward Reilly, president and CEO of the AMA. “Corporations need to identify core values that are measurable, critical to the organization’s bottom line, and that can be embedded in performance appraisals and linked to rewards. These values also need to be communicated through action—from the top down. Then they become part of the corporate culture.”

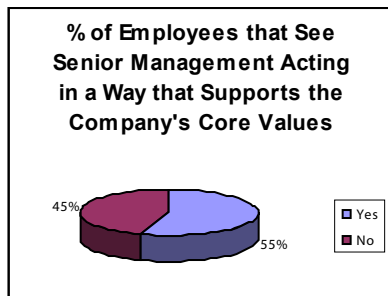
### The Leading Corporate Values in America According to a recent AMA survey

- 76% of respondents said ethics/integrity is the leading corporate value.
- 59% said it is respect for others
- 47% said teamwork.

This survey also uncovered a number of examples where executives turned a blind eye when standards were not met. Respondents said they have witnessed shortcomings in office behaviors: micro-management (70%), hidden agendas (56%), dissension in senior management ranks (58%) and failure to give proper credit (59%).

What is the cause of such an integrity crisis? Many point to leadership.

According to a 2006/2007 survey by Watson Wyatt Worldwide, a global consulting firm, American employees' confidence in the values of their companies' senior management has declined over the past two years. See the somewhat startling results below:



Watson Wyatt's WorkUSA® 2006/2007 survey of 12,205 full-time U.S. workers across all job levels and major industries.

"This dip in ratings is concerning because employees' attitudes about their senior leaders are a key factor in building engagement," said Ilene Gochman, national practice director for organization effectiveness at Watson Wyatt. "People want to work for companies where they have confidence in the organization and trust what senior management is doing. Fostering that trust is especially important in today's global market as it creates an environment in which employees understand that changes to the workplace may be necessary to remain competitive."

## THE COST:

A recent Gallup poll found that nearly 77% of all Americans hate their jobs. Further, the Herman Group found that between 30-40% of all American employees have already "checked-out" and are showing up for work while focusing on where their next job will be.

Gallup estimates that because of such unhappiness and malaise, American employers suffer more than \$360 billion annually in lost productivity.

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## WHY THE PROBLEMS?

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According to a 2005 Business Ethics survey, the factors most likely to cause people to compromise ethical standards are:

1. Pressure to meet unrealistic business objectives/deadlines
2. Desire to further one's career
3. Desire to protect one's livelihood
4. Working in environment with cynicism or diminished morale
5. Improper training/ignorance that the act was unethical

In the current working environment, there is no reason to think these trends are temporary.

Further, a 2005 National Business Ethics Survey (NBES) measured 18 dimensions of ethical culture, and the data shows that the actions of leaders and peers significantly influence employees' ethics. Here are some of their findings:

- Where top management displays certain ethics-related actions, employees are 50 percentage points less likely to observe misconduct.
- Ethics-related actions of coworkers can increase employee willingness to report misconduct, by as much as 10 percentage points.
- When employees perceive that others are held accountable for their actions, their overall satisfaction increases by 32 percentage points.
- Furthermore, employees in organizations with strong ethical cultures and full formal programs are 36 percentage points less likely to observe misconduct than employees in organizations with weak culture and full formal programs.
- Importantly, less than 1% employees in strong cultures did not have any elements of a formal program present, and NBES did reveal a relationship between formal programs and cultures.

Again, where cultures are strong, it is in part because a formal program is in place. Where formal programs are in place, a strong culture is more likely to be maintained. Culture matters, yet most often, formal programs are essential to creating that culture.

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## THE FUTURE OF BUSINESS ETHICS

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If the above seems alarming, then just wait a few years. The reasons for running ethical businesses are only going to get more compelling—as well as more complex—over the coming decade, suggests another global survey commissioned by AMA and conducted by the Human Resource Institute (HRI).

The survey asked the question: Why should companies behave ethically? According to survey respondents, the top-ranked reason was to protect a company's brand and reputation, closely followed by the desire to "do the right thing." The responses highlight the fact that business ethics has both bottom-line and moral implications for business professionals.

The AMA/HRI survey on “The Ethical Enterprise” included responses from 1,121 managers and Human Resource (HR) experts from around the world. The survey was conducted in conjunction with AMA’s affiliates and global partners, including Canadian Management Centre in Toronto, Management Center de Mexico in Mexico City, Management Centre Europe in Belgium and AMA Asia in Japan.

“We hope this study will serve as a blueprint for many leaders as they implement their own corporate ethics programs. Dealing with these challenging and complex issues forces leaders to consider and communicate what their businesses really stand for,” said Reilly. “Corporate ethics programs should not only address what leaders expect from their employees, but also what employees and other stakeholders should expect from the corporation and its leaders,” Reilly added.

Participants in the survey—who included professionals from a range of corporate functions, especially HR, general management and operations—also believe that globalization will be the number one business driver of ethics in 10 years’ time. After all, globalization not only is going to intensify market competition, but is going to make establishing organization-wide ethical corporate cultures and standards more complex.

One major challenge for leaders will be to deal with even more competitive market conditions while not compromising corporate values.

**The survey asked respondents to identify the factors most likely to cause people to compromise an organization’s ethical standards. The top answer, by far, was “pressure to meet unrealistic business objectives/deadlines.”**

If emerging businesses in China, India and elsewhere drive managers to set unrealistic business goals, then companies could see a whole other era of scandals in the future.

But survey respondents seem to expect there will be greater pressure to behave ethically. They expect to be held to higher corporate social responsibility (CSR) standards in the year 2015.

### **The 5 Most Important Ways to Become a More Ethical Organization**

- 1. Have a written and published corporate code of conduct that reflects and reinforces the values and principles (fundamental truths) of the organization.**
- 2. Provide ethics and values training for all members of the organization.**
- 3. Establish and implement Corporate Social Responsibility programs.**
- 4. Set up ombudsman services to bring issues to light and resolve them quickly**
- 5. Create a help-line for members of the organization to seek clarification on the code of conduct when necessary.**

In summary, respondents felt that employees need to have a code to set the ethics foundation, training to help people truly understand it, and programs that permit them to inquire about and report ethical violations. Of course, simply putting such programs in place is not enough; organizations need to find ways to measure their program's effectiveness. The AMA/HRI survey found that the best ways of doing this are through ethics surveys, customer complaints and ethics audits.

It's clear that ethics challenges will evolve as globalization continues. In addition, those now entering the workforce lack a clearly defined sense of ethics in the workplace. A recent Zogby survey highlighted this alarming trend.



Zogby polled graduating college seniors preparing to enter the workforce for the first time. The survey revealed that **73% of these "employees to be" believe ethics in the workplace are dependent on the individual and a given situation and that there is no standard of ethics for all employees to adhere to. Only 25% stated they believe there is a standard of right and wrong for all in the work force to be judged by.**

If this is the case, then whose responsibility is it to instill integrity and ethics in the workforce?

Further, can intentional efforts to create a corporate culture of ethics and integrity coincide with simultaneous superior performance?

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## TRAINING FOR ETHICS?

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So with all of this information about ethics issues both today and in the future, numerous companies are taking intentional steps to train their people for ethics, right?

Wrong.

In 2006, just 19% of all corporate training was ethics related, and of that, nearly all was focused on compliance issues. Simply put, the great majority of all ethics training is related to addressing symptomatic issues. Because of this, very little attitudinal or behavioral change has actually been created when it comes to ethical behavior.

Intentional training for personal ethics and character of individual employees and leadership just is not occurring.

## ETHICAL STANDARDS

The goal of the corporate culture, as described by Aristotle, is "Ethos." He stated, *"We believe good men more fully and more readily than others: this is true generally whatever the question is, and absolutely true where exact certainty is impossible and opinions are divided. . . his character may almost be called the most effective means of persuasion he possesses."* (Rhetoric 1.2.1356a.4-12)

In more direct and harsh terms, the Federal Sentencing Guidelines used for criminal prosecution described this goal as "an organizational culture that encourages ethical conduct and a commitment to compliance with the law."

Philosophers have been discussing ethics since the time of the aforementioned Aristotle. Yet, to date, very little has been done to successfully create an ethical culture.

Today, in business, ethics is more focused on prioritizing individual and operational values for the workplace and establishing codes of ethics and codes of conduct that ensures that employee behaviors and the internal systems are aligned with those values. However, this effort is not enough.

The standards are important, crucial in fact, for developing the road map. They may delineate expectations and rules for conduct. However, the stark reality is that many of today's employees have come through an education system that did not teach nor reinforce values and ethics. Further, if these individuals did not receive this information at home, they simply have not been educated in values and/or ethics at any point during their lifetime. Therefore they have no internal resources to draw from when encountering personal ethical decision-making.

Case in point: During instruction in a classroom of 14-year-olds in a suburban public school system, a teacher training students in the Heart of a Champion secondary education program introduced the topic of Integrity. To his shock, a casual survey of his students indicated that only 15% of the students in the class had any knowledge at all of the term integrity.

These same people will enter the workforce each year. For the most part, they are void of understanding ethical concepts and the application of these concepts, because they have not been instructed or trained in these concepts. They simply have not been educated in ethics, values and integrity, so they do not have a conceptual understanding. Once they are thrust into a corporate environment in which they are expected to adhere to rules of conduct, can we really expect them to do so?

The outcomes of such a vacuum of ethical training have created a crisis of character at the secondary school age level, which has been largely unchanged upon entering the workforce. The result is more corporate leaders are beginning to recognize the need to train for character while their future employees are still in school.

Says, Sanford McDonnell of McDonnell-Douglas Corporation, "We in the business world don't want young people ... who are brilliant but dishonest; who have great intellectual knowledge, but don't really care about others; who have highly creative minds, but are irresponsible. All of us in business and the entire adult community need to do our part in helping build young people of high character. There isn't a more critical issue in education today."

Leaders are not only seeing the value of training for character at the secondary school level, but also understanding the critical nature of making an intentional effort to do so in the workplace.

Values and ethics – good or bad – within an organization typically emanate from the top. Key leadership establishes the moral compass that guides an organization through the complexities of what is right and wrong and how management and staff are therefore expected to behave. Critical then, becomes the ability to incorporate learning systems and programs to train and educate for ethical outcomes.

Ethics programs cultivate and encourage strong teamwork and productivity, support employee growth, and help increase performance. Inevitably, promoting ethical credibility internally enhances an organization's public image of ethical credibility.

All organizations have some sort of ethics program. The degree to which they engage the workforce in such programs will determine the return. It is true that top-down values, either formally or informally, will produce some deliverables in the form of codes, policies and procedures, systems, and, standard management practices.

However, it is a leader's decision to implement a formal ethics program that articulates a serious commitment to ethical behavior and provides clear standards for the behaviors that are preferred by the organization and clear direction for each employee.

The deployment of such a program minimizes the chances of unethical behavior, aligns employees to the company's core values, and produces an environment focused on excellence, which allows for increased productivity and bottom-line results.

To undertake this in a successful manner today requires a commitment to train at a deeper level than just symptomatic. Rather, training for ethics today must incorporate an intentional targeted approach to personal character.

Heart of a Champion believes the most effective and sustaining way of attaining the goal is to develop the values of Integrity, Commitment, Teamwork, Leadership, Respect, Responsibility, Perseverance, and Excellence. Studies show these eight core values are the most important for personal development and are most needed to function at the highest level of personal and corporate productivity. It is around these eight core values that Heart of a Champion has developed learning systems as a solution to the Corporate Character Crisis.

## ETHICS, INTEGRITY AND CHARACTER: KEYS TO SUCCESS

One of the most famous exchanges in the history of finance took place almost a century ago on Capitol Hill. An aging J.P. Morgan, the most powerful financier in the world and America's unofficial central banker, testified before a House committee investigating the tangled web of financial interests that dominated the economy of the emerging industrial nation. Morgan's inquisitor was Samuel Untermyer, a tough corporate lawyer. This is how the exchange went:

**Untermyer:** "Is not commercial credit based primarily upon money or property?"

**Morgan:** "No sir. The first thing is character."

**Untermyer:** "Before money or property?"

**Morgan:** "Before money or property or anything else. Money cannot buy it...because a man I do not trust could not get money from me on all the bonds in Christendom."

Morgan understood the foremost principle of business: character is golden, and bankable.

**So did Warren Buffet when he said,** *"In looking for people to hire, you look for three qualities: integrity, intelligence, and energy. And if they don't have the first, the other two will kill you."*

Buffet's quote hits the mark today. With integrity being a lost value among those entering the workplace in the current generation, it is imperative to train for character and intentionally instill the principles of integrity and other such values.

Why is this so? Simple. Because, as the Heart of a Champion training program has proven, training for character and integrity not only creates attitudinal and behavioral shifts in employees, which stimulates a better working environment and enhanced working relationships, it also can dramatically increase a company's bottom-line.

Workers who are more committed and more caring about co-workers and customers; who demonstrate honor, respect and responsibility; who are honest – are simply better workers. They work more efficiently and more productively.

Those who cultivate commitment and perseverance are less likely to quit. Those who demonstrate respect for others and a sense of teamwork will flourish in any environment. Those who are responsible and exhibit self-control and compassion will create an environment of trust. Those who walk in integrity will be followed – both inside and outside the company.

The opportunity to create change is staggering. Yet, today's business landscape is littered with companies who failed to make the proper investment into their single most important asset – their people.

Again, with the pressure of compliance issues today, more often than not, companies are investing in ethics training products that address symptoms, rather than root causes. Those who have chosen to invest in programs aimed at addressing root causes have realized substantial benefits.

## A CASE STUDY: CAREMARK

Caremark is the nation's premier integrated pharmacy services provider, combining one of the nation's leading pharmaceutical services companies with the country's largest pharmacy chain. The company fills or manages more than one billion prescriptions per year, through its 6,200 CVS/pharmacy stores and its mail order and specialty pharmacy divisions. The pharmacy benefit company realized net revenues of approximately \$37 billion in 2006.

Caremark engaged *Heart of a Champion Corporate Training* to customize a Character Training program focusing on Integrity for the 512 employees and leaders at their Ft. Worth facility during a period of approximately 90 days.

The purpose of the training program was to encourage all employees in the development of personal and professional integrity and as a byproduct, increase productivity. The program consisted of (1) pre and post focus groups; (2) pre and post assessments; (3) one custom newsletter; (4) 3 custom e-training modules; (5) 1 seminar; and (6) a customized recognition component.

### Program Results

#### I. Empirical Data:

The basis of all measurement was established according to the Kirkpatrick Metrics, which measure four levels:

- 1) Reaction - "What I feel"
- 2) Learning - "What I know"
- 3) Behavior - "What I do"
- 4) Results - How feeling, knowing and doing affect the bottom line.

All surveys and assessments were designed to provide data for all four areas to determine the corporate culture of Caremark's Fort Worth facility relating to Integrity, and the effectiveness of the program in enhancing that culture.

Primary data was derived from pre and post assessment sessions. In both the pre and post assessment surveys, the results were based on a 1 to 9 scale; 1 being the lowest score and 9 being highest with 5 being average. Participants were instructed to score each question as to how they felt at that given point in time based upon their daily activities and interaction at Caremark. The comprehensive results are available in Appendix A, which contains the complete data report on both the pre and post assessment surveys.

Given these guidelines, the common acceptable interpretation of the data is as follows:

- 7.5-9.0 Strong Score (Continue to reinforce these items)
- 6.0-7.5 Above Average
- 4.5-6.0 Average (Needs quick attention)
- 3.0-4.5 Below Average
- 1.0-3.0 Weak Score (Priority for immediate attention/action)

**A.) Pre-Assessment:**

The pre assessment data demonstrated areas of relative strength and areas of significant opportunity within the organization.

- The following are areas of opportunity – Areas of opportunity are defined as any question that revealed a score of 4.5 or below and display an immediate need for attention. The following have been defined as areas of opportunity:

TWD do you feel you are recognized for things you do well in your job? 4.41  
TWD do you feel all employees are treated equally within Caremark 4.02

- ★ **Pre-Assessment Observations:**

Based on this data, it was our conclusion that the greatest areas of need at the facility were in the areas of employee recognition, equal treatment, peer trust and leadership trust. In addition, evidence pointed to the need for greater team building and respect among the workforce. With the mean average of all responses scoring below an average mark of 5.0 on 16 of the 21 questions in the survey, we concluded that the concept of Integrity was generally not grasped nor practiced well. In addition, the high numbering standard deviation for the majority of answers (18 of 21 over 2.00) indicated that employees were further from center on their views on Integrity. We concluded that it was crucial for Caremark's leadership to take initiative to push average and below average scores into the above average range, while maintaining or improving the positive scores that have been achieved.

**B.) Post Assessment:**

The post assessment data revealed some significant changes in the areas of relative strength and areas of opportunity within the organization.

- The following are scores for the areas of relative strength:

TWD do you feel you are trusted by your peers?  
6.55 Increase = +.05

TWD are your actions and behaviors in line with the vision of Caremark?  
7.01 Increase = +.25

TWD do you have empathy for others?  
7.40 Increase = +.56

How would you rate your level of honesty with your peers?  
7.59 Increase = +.70

- The following are areas of opportunity:

TWD do you feel you are recognized for things you do well in your job?  
4.23 Decrease = -.18

- ★ **Post-Assessment Observations:**

From the post assessment data, the following responses measured higher than the pre-assessment responses:

<u>Question</u>	<u>Differential</u>
Question 4: TWD are your actions and behaviors in line with the vision of Caremark?	+ .25
Question 6: TWD do you trust your peers within your department?	+ .07
Question 10: How would you rate your level of honesty with your peers?	+ .70
Question 11: TWD do you have empathy for others?	+ .56
Question 12: TWD do you recognize those who go above and beyond their duties?	+ .07

<u>Question</u>	<u>Differential</u>
Question 15: TWD do you feel you are trusted by your peers?	+ .05
Question 16: How would you rate the level of respect for others within your department?	+ .04
Question 19: TWD do we "Walk the Talk" of our Values?	+ .04

An increase of .25 or higher indicates significant attitudinal and/or behavioral changes among individual employees. These increases demonstrated shifts between 3-9% overall. In addition, the standard deviation decreased in 20 of the 21 responses. In all but one of the responses, the Standard Deviation decreased. From these two data extractions, we concluded that: 1) the behavior of individual employees relating to integrity changed; and 2) more of the employees were thinking alike and behaving alike relating to integrity-based knowledge and behavior.

**II. Gap Analysis:**

The data from the pre and post assessments revealed gaps in the data, based on both increase and decrease in scores between assessments. Specifically, gaps occurred with positive changes in the eight questions listed above and displayed in the graph included in Appendix A. These gaps demonstrated positive changes in the employees' overall awareness of the concept of integrity, and behavior relating to integrity.

The decrease in scores of the other 13 items was also actually a positive result in that it demonstrated a heightened awareness of what integrity is among

employees across the facility. The focus on true integrity allowed employees to recognize how integrity should be adhered to, which, in their eyes, magnified weak areas in the company. This intensified their desire to see change in these areas. These gaps derived from the data were supported by anecdotal evidence gathered from pre and post focus groups and pre and post assessment groups.

### III. Anecdotal Evidence:

#### Pre Focus Group and Pre Assessment Groups:

In the pre-focus group, as well as in the pre-assessment groups, consistent comments from employees centered on specific themes. They were: 1) employees felt they were not recognized by leadership; 2) employees felt that they were not treated equally with their peers; 3) employees lacked complete trust in the leadership in terms of honoring their words; 4) employees lacked trust in their peers. Each of these concerns was later supported by the pre-assessment findings.

As an example of point number 4, we gave the employees in the focus group the following scenario: They left five dollars lunch money on their desk or at their work station and went away for an hour to work with colleagues on a project. When they came back to their desk, would the money still be there. The general response across the room was "no". Again, this concern was later supported by the pre-assessment findings.

#### Post Assessment Groups and Post Focus Group:

In the post assessment groups, comments were generally positive regarding the HOC program and its impact. Employees expressed appreciation for Caremark bringing in the program, but also voiced concerns that the leadership of Caremark would not maintain a long-term commitment to integrity. They expressed hope that management would continue to push for change within the organization relating to upholding the standard of integrity.

In the post focus group, comments related to the four aspects of the Kirkpatrick Metrics. They included:

#### 1. **Reaction:**

People became aware of the definition and importance of integrity. They were challenged to do the right thing and uphold integrity and had an emotional attachment regarding doing the right thing.

"I have heard the word integrity more over the last 3 months than I have heard in my entire life. People are consistently talking about it here."  
(Supervisor)

"There is definitely an overall awareness of integrity here now...People have talked a lot about what it really means: doing the right thing even when nobody is looking." (Employee)

## 2. Learning:

People learned that integrity is everyone's responsibility and that integrity is contagious.

"Everyone has understood the importance of doing what is right, and to apply what they have learned about integrity on a daily basis. People are now seeking out integrity in others." (Employee)

## 3. Behavior:

At the completion of training, employees were less likely to use company time to accomplish personal things. In addition, they said they saw their peers were not doing personal things while "on the clock", even when supervisors were not looking. They felt that something "internal" had taken over to guide these employees to uphold personal integrity.

"There is a change in how time is spent on the floor. People are not doing things on the clock that they are not supposed to be doing. It is a personal change within them because they used to not care of other people saw them doing it." (Employee)

They saw evidence of people considering their actions more and treating their peers with greater integrity in general; as well as challenging others more to walk in integrity.

"I now feel that I could leave five dollars on my desk and go away, and when I came back it would still be there." (Employee)

Three people told personal stories of how their integrity was challenged outside of the workplace and how they responded by doing the right thing because of what they had learned during the program.

## 4. Results:

The program was worth the dollar cost and the time allotment. Line employees addressed their supervisors with thankfulness for the program.

"Our production and performance over the past 90 days have been the highest in the history of this facility...as has our quality-control." – Paul Turner, Caremark General Manager

Efficiencies at the facility are based on number of prescriptions shipped per man-hour. Prior to launching the HOC program, the average number of prescriptions shipped per man-hour was 7.8. After completion of the program the average prescriptions shipped per man-hour rose to 9.2, an increase of nearly 20% in productivity.

Based on the Fort Worth facility's average of 18,100 man-hours per week, extrapolated, this would allow for an additional 27,000 prescriptions to be shipped each week during the same number of man-hours as before the program was launched. In addition, the increased efficiency allowed for a

decrease in overtime hours, and an increase in quality-control numbers, with QC numbers also being the highest in the history of the company. Based on this data, we can conclude that the program resulted in significant increases to the company bottom-line.

#### IV. Summary:

From the data collected throughout the program deployment process, we learned that the implementation of the Heart of a Champion program created positive change in the feelings, knowledge and behavior of employees relating to their own understanding of, and demonstration of Integrity.

According to both data and anecdotal evidence, we saw conclusively that behavior changed positively, which positively affected performance and production.

Further, it became evident that there were some areas of significant concern and in need of attention, specifically: employee recognition, equal treatment of all employees, communication between leadership and employees, and teamwork. Clearly, the program drew the attention of the employees as to what the needs were.

In addition, the changes across the board in the Standard Deviation numbers from the pre assessment to the post assessment indicated more of the employees were on the same page relating to integrity issues following deployment of the program than they were prior to the implementation.

The data demonstrated large gaps, both positively and negatively. The largest positive gaps indicated significant positive changes in behavior related to integrity among employees. This was highlighted by three (3) scores that increased by more than a quarter of a point. These questions were:

- #4 TWD are your actions and behaviors in line with the Vision of Caremark?
- #10 How would you rate your level of honesty with your peers?
- #11 TWD do you have empathy for others?

The negative gaps indicated that following training people had a clearer understanding of what integrity is and what it looks like. As such, they saw more clearly areas that needed attention within the organization. This was highlighted by scores that decreased by more than a quarter of a point in five (5) different questions. These questions were:

- #2 TWD are you fulfilled working at Caremark?
- #5 TWD do you feel people are held accountable for their actions?
- #8 TWD is there open communication within your department?
- #9 TWD do you feel all employees are treated equally within Caremark?
- #14 TWD do you feel comfortable approaching your supervisor or manager with issues?

The findings of the empirical data were supported by anecdotal evidence gleaned from focus groups and assessment group discussions.

**Conclusion:**

The employees noted a lack of recognition of employees by leadership; a lack of equal treatment for all employees; a lack of comfort in the level of trust of leadership; and a less than desirable feeling of trust among peers.

Summarily, although integrity was Caremark's primary core value, employees felt it was never really a part of their day to think about the concept of integrity. The data and anecdotal evidence suggested that following training there was an overall true awareness of integrity. Individuals told us that they thought more about the decisions they made both personally and professionally, following training. The data also indicated that following the training, employees behaved with greater integrity. As well, it was noted that during the period of deployment of the program, performance and production at the facility were the highest in history.

The data also indicated that, following training, employees become more aware of the way things should be in terms of the overall corporate culture of integrity, and the most significant needs to create that culture consistently. The individual employee's attention to personal integrity and their recognition of the shortcomings of those around them revealed the overall culture of integrity, and highlighted areas needing swift attention.

The data and anecdotal evidence also indicated that following training there was an overall true awareness of integrity that previously did not exist. Individuals revealed that following training they thought more about the decisions they made both personally and professionally. Employees also behaved with more integrity in both arenas after completing training. Further, the value of the *Heart of a Champion* program to Caremark and its people was reflected in the bottom-line impact to the company as seen in the empirical data and anecdotal evidence which demonstrated that during the period of program deployment, performance and production at the facility were the highest in history.

***"The Heart of a Champion program was the perfect format to assist in the development of one of our core values – 'Integrity'. The facilitators were great and the entire program has benefited the facility beyond my expectations. As a result each of us are better individuals in the game of life and therefore are better employees. The development of our collective understanding of how integrity fits into each employee's life coincides with the growth and improvement in efficiency and production."***

**- Paul Turner, Vice President and General Manager, Caremark**

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## CHANGING THE ETHICS CULTURE

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### Four Key Strategies for Changing the Ethical Climate

- Strategy #1:** A climate of integrity and ethics must be set at every level. Creating a real culture of ethics, discipline, integrity requires that the entire management team, at every level, reflect those essential qualities. This means leaders must not only encourage these values, but also find ways to reinforce them. As Harvey Pitt, former Chairman of the Securities Exchange Commission states, "A culture of ethics and integrity does not just happen, and managers are not born knowing or exuding it; it must continuously and repeatedly be taught, inculcated and emphasized."
- Strategy # 2:** Make employees feel they are part of a team that values them and encourages them to be ethical. Creating an ethical climate is a collaborative effort and not something that management does to their employees, but rather it is something that is done with their employees. When employees are persuaded that their company really does care about ethical and lawful behavior, they will buy into the process and will look to find solutions to a problem before it becomes a crisis.
- Strategy # 3:** Equip and enable every employee with proper tools, knowledge, and skills to assure their conformity to, and compliance with, ethical standards. Companies that invest in the character development of employees, and are vigilant in ensuring that they aren't overlooking ethics problems will be rewarded with better performance and results.
- Strategy #4:** Reinforcement, such as rewards and bonuses should be available to managers and employees who evidence exemplary adherence to a company's ethical and compliance policies and procedures. If we want corporate managers to set the right tone, they should be rewarded when they achieve that result, as should employees who demonstrate good character and ethical practices. Such reinforcement will further instill the value of ethical behavior and ethical choices and help build personal character.

How a company deals with ethical issues and their Core Values, will determine exactly how the company will be perceived. Being well-prepared is of the utmost essence.

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## FOUR COMMON MYTHS ABOUT INTEGRITY IN BUSINESS:

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There are some common misconceptions about integrity in the workplace. These include:

**Myth # 1: "We already have a compliance program."**

Legal based compliance programs are designed to educate employees about what they can and can't do legally. A values-based integrity program is designed to provide employees with a set of guiding values and principles which are supported by training to instill and reinforce these values and principles.

**Myth #2: "We already hire ethical employees."**

Individual values come from all forms of shaping. A company cannot leave their ethical culture in the hands of employees who may or may not have any understanding of integrity and values, or whose values may be in direct opposition to those of the company. With varied individual value systems, training toward a confluence of values that uniquely identify the company must be integrated.

**Myth #3: "We can't afford to spend our budget on something as soft as a character development program."**

You can't afford not to have one. A recent Ethics Officers Association meeting determined that integrity in business is the right thing to do, doing the right thing is not based on rate of return, all companies with integrity programs were confident they had improved their business decision making processes and the company was better off with the programs. In addition, it has been proven that companies that do instill character do improve their bottom line.

**Myth #4: "The corporate scandal era is just a media-driven phase and will pass."**

The Sarbanes-Oxley Act is providing legislated integrity standards to fill the voids created by corporate greed. The Federal Sentencing Guidelines provide both penalties and rewards for organizations depending upon whether they choose to implement an integrity program. In this day, a focus on integrity must become a way of business going forward.

None of these conceptions are valid. In reality, bad decisions occur frequently; often motivated by the desire to do what one thinks is right for the company.

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## THE RIGHT RESULTS...THE RIGHT WAY:

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While integrity is not necessarily about morals or religion, it is about defining a company's standards of behavior, and then training employees to those standards; while also demonstrating top level ethical leadership according to those standards, and then measuring each employee's dedication to uphold those standards through assessments.

Doing so can actually establish the moral climate of a company, and allow for an atmosphere of significant growth of personal character and ethics. When such growth occurs – at first intentionally, and then organically – what results is a culture in which the focus is not on following the letter of the law, but rather on doing the right thing simply because it is the right thing.

**As Matthew Rose, CEO of Burlington Northern Santa Fe Railway said, "Within every company there is a business culture – a moral DNA, if you will. Included in the DNA is a set of values that will guide and direct the company officers and board of directors. The bottom-line question that must be asked in every boardroom is 'Are we complying with the spirit of the regulation or the law?'"**

So, who is responsible for building a company's moral DNA?


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## COMPANIES THAT DO IT RIGHT:

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As Jim Collins discovered, in his best-seller, *Good to Great*, companies that are successful decade after decade, such as Johnson & Johnson or Procter & Gamble, have one thing in common; as Collins says: *"They have core values that are supported from the top."*

### SPOTLIGHT: JOHNSON & JOHNSON



Johnson & Johnson, attributes its long-term success to their *"ability to acquire, develop and retain values-based leaders – a legacy that has contributed to our consistently strong performance."*

Says, Johnson & Johnson CEO, William C. Weldon, *"It is essential that we have a culture of values-based leaders with integrity and passion to set a vision, to inspire their organizations to align around that vision, and to nurture greatness in those around them."*

Johnson & Johnson believes that values-based leaders demonstrate and inspire in others ethical awareness, ethical reasoning and ethical actions. Their leaders are responsible for this occurring, and are held accountable for the consequences of their organizations' actions. This way, they believe they can ensure that they continue to uphold the legacy of trust they have earned over many years.

The company puts serious importance on developing *"ethically grounded leaders who recognize Our Credo as much more than words on the walls of our buildings."* This is, they state, *"the most important legacy we will leave behind."*

There are others like Johnson & Johnson who have done it right when it comes to ethics and values permeating the organization. Companies like Interstate Batteries, Express Personnel Services, Joe Gibbs Racing, Hunt Sports, The Staubach Company, Burlington Northern Santa Fe Railroad, Coca-Cola Bottling Company Consolidated, In-n-Out Burger, The Colorado Rockies Baseball Team, Chick-Fil-A, and the McNair Group are others that have put an emphasis on personal character development and have realized tangible bottom-line results.

***Here is what the leaders of some of the most successful companies are saying:***

*"People are saying we've got to pass laws, but in fact, what has been happening have been violations of laws. It's not a lack of laws or rules, it's that people aren't following them," says Steve Odland, CEO of Auto Zone.*

*"Doing it wrong guarantees failure. You can skate across thin ice, but it eventually catches up to you...By having integrity, for every order you lose, you'll get three more," says Bill George former CEO, Medtronic*

*"HR at GE is not an agenda item; it is the agenda," says Jeff Immelt, Chairman and CEO of General Electric. "I'm out talking about this company seven days a week, 24 hours a day, with nothing to hide. We're a 129-year-old company that has a great record of high-quality leadership and a culture of integrity."*

Those leaders who are intentional in deploying ethics programs are seeing results.

Again referencing the 2005-2006 KPMG Integrity Survey, employees who work in companies with comprehensive ethics and compliance programs reported more favorable results across the board than did those who work in companies without such programs. At companies with ethics and compliance programs:

- Employees reported fewer observations of misconduct.
- A significantly higher percentage of employees reported that their colleagues felt motivated and empowered to "do the right thing."
- A significantly higher percentage of employees reported that their colleagues felt comfortable raising and addressing ethics concerns.
- A significantly higher percentage of employees believed their CEOs and other senior executives valued ethics and integrity over short-term business goals.

According to an RHE International study on Ethics and Leadership in 2006: *"Values are made powerful with examples that illustrate the competing tensions surrounding the choices employees have to make everyday."*

What does it all mean?

*Many companies are beginning to taking the ethics problem seriously. Most are undoubtedly motivated by a desire to get out or stay out of trouble.*

*After all, the cost to a company of an ethics-based scandal is severe: legal, accounting, PR, and consulting costs. But these are nothing compared to the costs associated with damages to reputation, customer relations, internal morale, difficulties recruiting new employees, and increased scrutiny and cynicism of regulators. Add to that the enormous*

diversion of the company's top leaders, huge fines and prolonged litigation and even incarceration, and the price of doing business without ethics can be enormous. Thus, today, ethics has become a critical risk-management strategy. However, the problem is that the traditional focus on legal compliance, utilizing written ethics codes or standards of conduct and mandatory ethics training, has proven to be inadequate. There's no empirical evidence that these efforts significantly deter wrongdoing or bad decisions.

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## SOLUTIONS: CREATING A CULTURE OF CHARACTER

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A deeper and more intentional approach targeted to individual employees is needed. This means a move from a rules-based compliance mentality to a values-based ethical culture: the development of individual personal character and ethics.

Programs focused on training employees toward personal character and ethics, such as Heart of a Champion® has proven successful in producing empirical evidence of attitudinal and behavioral change in employees, accompanied by significant impact to bottom-line performance and productivity.

This, of course, is nothing new. In fact, great men and women of history were normal people whose character made them respond nobly to the unexpected circumstances that carried them to prominence.

Our nation's Founding Fathers believed that to thrive, a democratic nation must have a populace of strong character. The goals of any type of education, from the beginning, have were to be smart and to be good.

Case in point, when the Phillips Exeter Academy was founded in 1781, their constitution included the following:



*“Though goodness without knowledge is weak and feeble, yet knowledge without goodness is dangerous; both united form the noblest character and lay the surest foundation of usefulness to mankind.”*

Have we developed a generation of workers who possess knowledge without the character to handle the knowledge properly?

The evidence would tell us that the answer to this question is an unequivocal “yes.”

However, that can change. Ethics issues can be addressed by intentional personal character learning programs that will instill the necessary ethical principles, and the application needed to live those principles out in the workplace on a daily basis.

Working this way, companies can actually be successful in moving from the Corporate Character Crisis to Creating a Culture of Character. The intentional move to do so has proven to:

- Improve Teamwork
- Improve Morale
- Maintain a Positive Focus
- Offer a Shared Vocabulary

As with the Caremark example, this goal can be achieved when the content works, and employees are able to learn to develop intrinsic motivation through a program that engages employees in active participation.

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## CONCLUSION

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American business stands at a crucial crossroads. Clearly we have encountered a Corporate Character Crisis. This crisis has come with a price tag of hundreds of billions of dollars in lost productivity, quality control lapses, overtime, and diverted resources.

Without a direct and intentional approach to altering its corporate culture, a company stands to continue to lose in these areas.

However, utilizing innovative and engaging approaches to building personal character and ethics in individual employees will reverse this trend and help heal American business.

As evidenced by the activities of Caremark with Heart of a Champion®, intentional character learning programs can have a profound impact.

Such programs will not only create significant positive shifts in attitudes and behaviors of employees, but will also allow companies to realize large returns in increased bottom-line productivity and cost-savings.

The future for ethics issues is now, and that future must include attention to the central aspect of ethics learning: training the human heart.



***Be careful of your thoughts, for your thoughts become your words;  
Be careful of your words, for your words become your deeds;  
Be careful of your deeds, for your deeds become your habits;  
Be careful of your habits, for your habits become your character;  
Be careful of your character, for your character becomes your destiny.***

- Anonymous

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Given the nature of a compendium, portions of content herein have been re-presented with much of their original voice intact. As in all scholarship, much reverence goes to those whose works have been honored through inclusion. This bibliography is provided by way of acknowledgement, or readers who wish to research these collective sources in their entirety.

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