

5 Questions for the Responsible Business Enterprise

Owners and managers use this RBE Worksheet to determine what strategies and action plans they should pursue to move from where they are currently to where they believe the enterprise should be. From the myriad standards and best practices known, the enterprise should determine which standards and best practices to adopt. For example, in answering Q.1 regarding standards, the following may be used as a reference:

- Sound set of core beliefs including core purpose, core values, and envisioned future¹⁷
- Modified OECD Guidelines for Multinational Enterprise/Corporate Governance beyond domestic requirements
- Minimum requirements of U.S. Federal Sentencing Guidelines for Organizations, including all industry standards and government regulations

Owners and managers may find, while analyzing how to fill a gap, that they had set unreasonably high or unnecessarily low expectations in their reference standards. Then, they can go back and reconsider their answers to the question.

	Reference Standards	Current Practices	Gap Analysis
Q.1 What norms, values, and standards should we set to guide our members and foster reasonable expectations among our stakeholders?	<ul style="list-style-type: none"> • Sound set of core beliefs • OECD Guidelines for Multinational Enterprise/Corporate Governance • U.S. Federal Sentencing Guidelines • Australian corporate culture 		
Q.2 What style, structure, and systems of authority and responsibility at all levels should we exercise?	<ul style="list-style-type: none"> • Sound set of core beliefs • Leadership styles • Board-level committees • High-level person responsible for program • Executive-level ethics committee • Ethics office • Individual duty to report misconduct 		
Q.3 How can we most effectively communicate our standards and procedures and foster reasonable expectations among our stakeholders?	<ul style="list-style-type: none"> • Executive modeling • Formal communications • Orientation • Ethics training • Posters • Newsletter 		

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	Reference Standards	Current Practices	Gap Analysis
Q.4 How can we know that our members follow our standards and that reasonable stakeholder expectations are met?	<ul style="list-style-type: none"> • Independent audit committee • Audit department • Ethics office investigation resources/availability • Mechanisms free of fear of retaliation • Organizational ombudsman • Policy on retaliation 		
Q.5 How can we ensure that we have the right people in the right places while we pursue our purpose as an enterprise?	<ul style="list-style-type: none"> • Recruiting • Hiring • Skills training • Assignment • Promotion • Termination 		
Q.6 How can we encourage our employees and agents to follow our standards and procedures?	<ul style="list-style-type: none"> • Recognizing ethical behavior equal to standards in tough situations • Punishing behavior not to standards • Consistent compensation schemes, especially bonuses and incentive pay 		
Q.7 What do we owe our stakeholders when mistakes, misconduct, or misunderstandings occur that involve our standards and procedures or their reasonable expectations?	<ul style="list-style-type: none"> • Voluntarily reporting mistakes and misconduct • Cooperating with proper authorities • Correcting harm caused • Conducting training in required skills and knowledge 		
Q.8 How should we monitor, track, and report our performance as an enterprise and continuously learn from it?	<ul style="list-style-type: none"> • Tracking, measuring, and reporting to stakeholders • Establishing program goals and objectives • Developing appropriate action plans • Establishing performance indicators • Developing performance measurements • Instituting data recording, collection, and analysis • Establishing reporting frameworks and schedules 		

A blank worksheet, which may be photocopied for use within your organization, follows on the next two pages.

5 Questions for the Responsible Business Enterprise

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