

RESULTS OF  
COMPANIES IMPLEMENTING  
THE RUMBO PYMES  
PROGRAM



Log of Trip

2005 - 2009



UNA PROGRAMA DE TRANSPARENCIA POR COLOMBIA

Corporación Transparencia por  
Colombia®

Results of Companies  
Implementing the Rumbo Pymes  
-Integras y Transparentes-  
Program

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## INTRODUCTION

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# Introduction

In the fourth anniversary of implementation of the Rumbo Pymes - Íntegras y Transparentes- Program, having participation of some twelve large companies allied, of over 300 small and medium size companies affiliated and some 30,000 people across various cities of the country, Transparencia por Colombia engages case study to compile and systemize the experience of companies that have made use of the Program and have thus made progress in the achievement of results such as commercial, administrative and financial management, reinforcement of human capital and, results in the general network of chain values that drive the Program.

Rumbo Pymes -Íntegras y Transparentes- has accomplished of a message: any socially responsible action has a fundamental base of ethics and transparency. This has led companies to formulate the ethical question regarding their administration: What is to be done? What is the right thing to do? And therefore engage a discussion such question in an open manner with participation of persons of the various hierarchical levels and areas of the companies.

When making the ethical reflection in its corporate role, companies make the decision to create a process that includes an ethical sense as a determinant factor of corporate activity to fight corruption risks and prevent transgressions of law, strengthen the organization and improve internal and external trust.

This case study presents the outcome from the Program in those companies that implement it and also in those that promote it. In the first group it is an effort to detect results and benefits primarily in terms of its effect on the Business; in the second group, that of the allied companies, it is an effort to make explicit those reasons for the construction of value chains with perdurable business relationships - ruled by ethics - with their suppliers and trade partners. In this context, the underlying investigation questions the co-responsibility of the actors in this topic, for appropriation of contents and the sustainability of the Program and corporate ethics along the value chain and the general business environment of Colombia.

The Program, in the opinion of some parties interviewed, is persuading entrepreneurs and senior executives of the fact that the transformation of ethical patterns of the labor force, officers and senior management is a possible endeavor that involves companies within the framework of their commitment to social responsibility, demystifying the concept that it is solely a family responsibility and one of the educational system. "It is an effort to consolidate a moral collective inside an organization. A collective moral leadership" explains Jose Gregorio Ramirez, Manager of Integral Project Management, one of the companies involved in the Program.

We hope that the results from this case study encourage participation of those companies that have not yet become involved in the Program and, for those that already have, to be an additional impulse to their attitude of commitment with ethics and transparency within a growingly complex and competitive environment in which corruption is ever present.

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## THE CONTEXT OF CORPORATE ETHICS

Up to a few years back, it was widely considered that public ethics and corruption were matters that concerned the State, being issues exclusively related to public institutions and the reason for which actions to correct them had always addressed to their prevention or to the decrease of their risk in public administration sectors. Nevertheless, during the last decade, it has become evident that the private sector does indeed participate in large corruption scandals as is the case of Enron<sup>1</sup>, Parmalat<sup>2</sup>, WorldCom<sup>3</sup>, Volkswagen<sup>4</sup>, Boeing<sup>5</sup> and Siemens<sup>6</sup>.

All of the above situations have had severe consequences for the companies involved that either file for bankruptcy or suffer million losses; for shareholders and deposit holders who lose their life savings; for employees that lose their jobs; for the government that in course of engaging in rescue transactions weakens its financial position and is forced to diminish investment in other areas; for the economic environment that suffers breach of confidence an its different actors; and, finally, for society as a whole, that results affected by a reduction in economic growth, employment and social investment, among other factors that conspire against general wellbeing.

The current world financial crisis, as pointed out in a document recently released by Transparency International, has placed in evidence the manner in which lack of transparency, account rendering, and integrity, all pillars of corporate governance, have contributed to the proliferation of such excess, abuse and corruption, without any type of control. In many cases, existing corporate governance Systems did not have capacity to

1. In 2001 US company Enron filed for bankruptcy, causing the ruin of over 22,000 employees, as a result of accounting mismanagement, payment of bribes and evident breach of ethics propitiated by senior executives, a conduct that explained why the company moved from being a small gas producer in Texas to be the seventh largest company in the United States, with operations in more than 40 countries.

2. In February 2003 it was unveiled that Parmalat recorded a deficit of US\$16,000 million, the non-existence of an US\$4,000 million account at Bank of America and the hiding of corporate losses through bank accounts in South America and the Caribbean. The eight largest company in Italy, with market presence in Europe and Latin America file for bankruptcy and many Italians lost their life-savings. Company survived through government intervention.

3. Through the mass acquisition of small Internet companies, Bernard Ebbers tuned World.com in the second largest telecommunications company in the United States, with over 77,000 employees, operations in 65 countries and over US\$37,000 in annual invoicing. In 2002 it was found that company had engaged in accounting fraud covering losses of over US\$7,400 million. Company file for bankruptcy with total debt of over US\$41,000 million after causing the collapse of stock markets in several cities in the World.

4. In 2005, several senior executives of this German corporation were accused of corruption practices in the form of bribes from suppliers in exchange for the awarding of substantial contracts and through the creation of shell companies to cover such practices. It was also unveiled that some executives paid for the support of company's management council in decision making processes through cash bribes, travel expenses and club services.

5. In 2005 this aerospace company signed an agreement with the US justice authorities to prevent indictment under two federal charges: one related to the illegal procurement of confidential documents property of rival company Lockheed Martin and the other for the illegal hiring of a member of the United States Air Force.

6. In 2006 series of accusations were filed before several German judges and in a dozen other countries by reason of large cash payments by officers of a large German Corporation to public officials in local governments to secure awarding of billionaire contracts. Siemens senior management acknowledged the existence of such corruption events that were attributed to deficiencies in their control Systems, later on redesigned. Company engaged in punitive actions against some half a thousand employees and during 2007 paid over €1,500 million in fines, unpaid taxes and other issues related to the scandal.

respond to the underlying problems because they were did not incorporate corruption prevention mechanisms<sup>7</sup>.

It is for these reasons that efforts of private companies must nowadays aim to include and prioritize - as a component of their programs on corporate social responsibility - actions regarding prevention of corruption because it represents a damaging practice that adversely impacts market confidence.

Most often, companies grants for issues an their social responsibility agenda and disregard adoption of strategic actions to enforce corruption in their immediate environment. For this purpose they must make use of their competitive advantages such the attractiveness of their brands, their power to influence the economic environment, their internal and external management capabilities for generation of efficient openings to eradicate corruption, including the design and implementation of policies that commit their human and technical resources for successful results.

Prevention of these risks, from the optics of social responsibility of the private sector, must be of priority nature in the corporate agenda given the fact that this issue has not received a well deserved attention while indeed constituting a hostile practice in terms of corporate development.

## **1. Some International referents**

Since the decade of the nineteen nineties an atmosphere has been gradually created for several distinctive instruments in the International context, such as principles of free adhesion, rules of sound practices and International agreements, all aimed at the prevention and enforcement of corruption in the private sector.

The insufficient impact of the above initiatives, evident in the various corporate scandals in course of the past few years, has motivated States and organizations to reinforce application of regulatory and control mechanisms seeking to facilitate identification corruption risks in the private sector, limitation of abuse of power by the private sector; and to make progress on the definition of ethical standards as a fundamental factor of corporate activity.

The magnitude of the effects derived from the actions of private sector companies over the economy and the live-hood of the population, have generated growing demand for transparency in the private sector and in its interaction with the State. The corporate sector more aware of its social responsibility regarding problems such as overall poverty; environmental care; human and labor rights and, during the last few years, with higher emphasis, corruption.

---

7. Transparency International – Reinforcement of Corporate Governance, Policy Positions #03 2009

The following approaches must be highlighted, amongst other:

- The Agreement for enforcement of bribery by public sector officials in international commercial transactions, approved by OECD – Organization for Economic Cooperation and Development, in November 1997;
- The Global Compact of the United Nations that establishes 10 principles for conciliation of the interests of the private sector and civil society, amongst which the tenth principle is the fight against corruption and bribery.
- The declaration of Principles for Sound Corporate Governance issued by OECD in 1999 and later revised in 2004;
- OECD Policies for Multinational Corporations, 2001 revision;
- Business Principles to Counteract Bribery, Transparency International and Social Accountability International, 2002;
- The United States Agreement against Corruption, as approved in 2003; signed by 134 countries and ratified by Colombia in 2005;
- Partnering Against Corruption Initiative– PACI, promoted by leading World-wide companies at the World Economic Summit of 2004, signed by over 104 multinational companies, aimed to secure identification of successful corruption enforcement policies and the endorsement of a zero tolerance attitude regarding corruption;
- The Rules of Conduct of the International Chamber of Commerce aimed to elimination of bribery practices by means of a combined public and private action;
- The Action Statement on Bribery and Officially Supported Export Credits, which is the Declaration on anti-corruption adopted by multinational agencies and export credit agencies of OECD member countries, adopted in 2006

The current economic world crisis has made a front page display that the current path of the economy and, as a result, market stability and wellbeing of the nations depend, to a large extent, on the quality of their companies. This fact has in turn confirmed the need to encourage adoption of collective actions and strategies to promote cooperation efforts that involve the various social actors in the joint prevention of corruption.

Although among the facts that triggered the current economic world crisis at the end of 2008, one must acknowledge some players acting openly against the law, as is the case of Madoff<sup>8</sup>, many of the principal causes involved financial transactions of legal nature and so far no questioning has been made from an ethical perspective regarding the high risk

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8. Investment Company Bernard Madoff Investment Securities, which operated as a pyramid offering profitability levels impossible to accomplish for its investors, collapsed in November 2008 despite the fact that nine years before an investment manager had disclosed the fraudulent nature of its operations and its probable consequences. Amongst the damaged investors from this pyramid there are several prestigious banks, insurance companies, trust funds and foundations all over the world, as well as recognized personalities. Accumulated losses could well surpass US\$50,000 million.

mortgage loan portfolios and the corresponding high interest rates that finally led to the bankruptcy of a large segment of the financial system of the United States and that unleashed a world wide recession effect. It is for these reasons that these thoughts and reflections focus on an in-depth analysis of the role of the private sector, the State and society and over real conditions for the construction of confidence to the inside of an economic model for a free market with a limited presence of the State in terms of economic regulation and over the nature of contemporaneous corporate activity and its capacity to accept the rulings of ethical principles that favor general interest over individual interest.

World-class politicians and corporate leaders, as well as analysts and members of civil society organizations are nowadays asking themselves if the moment has arrived for a dramatic turnabout of the global economic model in order for accumulation of corporate surpluses and easy wealth no longer be the imperative of Business and give way to a humanized economy in which ethics will have a protagonist role, ruled by values that are acceptable to community as a whole, in order to warrant the sustainability of the corporations and national economies and an equitable public wellbeing for all societies World-wide.

## 2. Some efforts to highlight in Colombia

Colombia has been the scene of both corporate scandals in which there is predominant absence of corporate ethics in the scope of business decisions and, on the other hand, of important efforts to promote incorporation of said ethics in the corporate agenda. As to the absence of ethics, during the last decade the episodes of Dragacol<sup>9</sup>, the so-called “ghost windows” of some banks<sup>10</sup>, Termo Río<sup>11</sup> and the crisis of the pyramids<sup>12</sup>. In a similar manner, several research efforts conducted during this decade on the perception and awareness of entrepreneurs, confirm in an irrefutable manner the existence of a corporate culture inclined to corruption in commercial affairs, primarily expressed through payment of bribes for awarding of contracts and speed-up of processes, financing of political campaigns in exchange for favorable allocation of

9. The Ministry of Transportation paid to company Dragacol indemnities in the amount of Col\$26,000 million for the alleged breach of contracts signed between the company and the Ministry for Cleaning of the Magdalena River basin at the cities of Barranquilla, Cartagena and Buenaventura. Five former officers of the Ministry were arrested and investigation was conducted on six former Ministers of Transportation and the owner of the company, Mr. Reginaldo Bray. At the end. All public and private personalities were absolved.

10. Thousands of million pesos at Banco del Estado, Caja Agraria, Banco Andino and Banco del Pacifico were lost because their respective officers extended credit facilities without compliance with required guarantees, approved significant overdrafts above authorized levels, accepted overstated mortgages and extended loans without fulfillment of statutory requirements.

11. In 2001 Termo Río, a company created by Electrificadora del Atlántico, a shell company owned by a Barranquilla engineer and multinational company Lease Co., was awarded a contract for the supply of electric energy in the State of Atlántico over a period of

20 years. Breach of contract due to liquidation of Electrificadora del Atlántico led to an indemnity suit, initially resolved by means of an Arbitration Court which mandated the State to pay some US\$60.3 million to Termo Río. The sentence was appealed by the Colombian Government and the Council of State overruled the sentence in August 2002. Termo Río and Lease Co again initiated legal action against Colombia before a court in the United States but its ruling favored Colombia in 2007. Co.,

12. The crisis originated in the disappearance, bankruptcy or late State intervention of dozens of companies that, without any legal and financial support, offered significant profits to investors, amongst which there were many public officials and members of the military. Tens of companies already intervened have been accused of fraud, illegal capture of deposits and asset laundering on behalf of illegal organizations including drug dealers. Over three million Colombians were affected, a strong economic and social crisis was created in some areas of the country and disclosure was achieved of the prevailing nation-wide lack of conformity with the institutional financial system.

public resources and the so-called “capture” of the State in the hands of private interests<sup>13</sup>. Corruption has been marked in various internal and external research efforts as one of the country's two most important problems<sup>14</sup>, also as the leading obstacle for doing Business<sup>15</sup> and as the cause for a rather limited trust on the corporate sector, a key factor of competitiveness and economic sustainability. In a parallel manner, organizations of the corporate sector<sup>16</sup> have been participants in several initiatives addressing prevention of corruption in the world of business and to integrate ethics as an essential factor of corporate activity.

From the State, important institutional efforts have been engaged in the field of prevention of corruption through inception of the Programa Presidencial de lucha contra la Corrupción , launched in 1998 that seeks, amongst other, to offer concrete action paths in the fight against official corruption, the ratification of the United Nations' Agreement against Corruption in 2005 and other approaches in terms of the regulatory Framework of public contracting.

From the standpoint of the corporate sector, several initiatives have been promoted of complementary nature. The Colombian Center for Corporate Responsibility – CCRE, is an institution that promotes ethics and corporate social responsibility. Created in 1994 with the support of The Social Foundation and the Inter American Foundation –IAF, it has set as a mission to encourage research for construction of a management system in Corporate Social Responsibility-CSR and ethics to the interior of the organizations.

Another important advance achieved is the Probity Program of the Colombian Confederation of Chambers of Commerce - Confecamaras, seeking promotion of a culture of ethics in contracting with the State, effort initiated in 1999 with the support of the Corona Foundation and the Colombian Center for Corporate Responsibility, the endorsement of the Office of the Vice President of the Republic and the support of The Private Sector International Center – CIPE, an affiliate of the Chamber of Commerce of the United States. The Program is structured on the basis of three axis; promotion of corporate ethics; transparency in contracting processes with the State; and the promotion of citizen participation and social control of public management. In 1999 it presented its research document “Perceiving Corruption”, a first approach to thoughtfulness on the responsibility of the private sector in the most renowned cases of

13. The World Bank, with the backing of the Vice President of the Republic and Corporación Transparencia por Colombia, Corruption, institutional performance and governance, Bogota, 2001; Colombian Confederation of Chambers of Commerce: Corporate Perception Survey on the issue of corruption in contracting with the State, Bogota, May 2002; Transparency International, Index of Perception of Corruption, 2007; Corporación Transparencia por Colombia – Universidad Externado de Colombia, First National Survey on Practices against bribery at Colombian companies, Bogota, 2008; Luis Jorge Garay and others The capture and co-opted reconfiguration of the State in Colombia, Corporación Transparencia por Colombia. Bogota, 2008

14. Second most severe problem: Colombian Center for Corporate Responsibility; Baseline on Corporate

Social Responsibility in Colombia, Bogota, 2006; one of the four most serious problems: World Bank, with the support of the office of the Vice President of Colombia and Corporación Transparencia por Colombia, Corruption, Institutional performance and Governance, Bogota, 2001.

15. World Economic Forum – Global Competitiveness Report, 2007-2008

16. World Bank, Doing Business, 2007, is a project that provides objective measurement of regulations on how to do business and its application in 181 countries; Corporación Latinobarómetro, Latinobarómetro 2006, Santiago de Chile, a public opinion survey that is applied annually through some 19,000 interviews in 18 countries in America.

corruption in domestic life and, in 2006, the publication of the First Probity Survey, conducted amongst 1,697 corporate managers in 18 cities nationwide.

On the other hand, some associations such as the National Association of Colombian Entrepreneurs - ANDI and the Colombian Chamber of Infrastructure – CCI, have made progress in the generation of ethical guidelines for their respective sectors. ANDI included in its Declaration of Ethical Principles for Entrepreneurs a clause of adherence to the Corporate Principles to counteract Bribery issued by Transparency International, in order to disseminate and encourage their application amongst the members of the 27 sector Chambers that compose the association. In turn, CCI, created in June, 2003, has worked on the construction of a self-regulation code for associations, based on the consensual and participative structuring of ethical conducts that may be appropriate and practiced by their members, in pursue of a safer environment for those agents involved.

Corporacion Transparencia por Colombia, the Colombian Chapter of Transparency International, a world-wide movement for prevention and enforcement of corruption, with physical presence in over 90 countries around the world, has also contributed – since 1998, to the dissemination of ethics and transparency as an essential condition for socially responsible activity, through its work programs with the private sector, Ahmed to the generation of sensitive processes, self-regulation and commitment of corporate instances in the fight against corruption, as well as on the conditions for establishment of corporate relationships based on trust and mutual benefit with all stakeholder groups.

Transparencia por Colombia has designed and implemented the Anti-corruption Sector Agreements, as a self-regulation tool base don the Corporate Principles to Counteract Bribery issued by Transparency International and Social Accountability, that seek to built confidence amongst competitors in the same business sector by means of the definition of clear rules aimed to the establishment of fair and transparent market conditions. Successful progress is to date being achieved by Pipe manufacturers companies associated through the Colombian Association of Sanitary and Environmental Pipes – ACODAL and, during the past few years, motivation and approximation work has been undertaken for the generation of anti-corruption agreements with companies and associations inn the pharmaceutical industry, the printing and editing industry and the Electronic security companies.

Another initiative originated at the Corporacion, jointly with Fundacion Avina and supported by financing provided by the Embassy of The Netherlands is the document “Evaluation of Policies Mechanisms of Transparency in Public Utility Companies” which object is to raise the standards of transparency in the Management of companies in such sector. Participant in the pilot stage were ten (10) of the most representative companies in the public utility sector in Colombia.

The Corporation is engaged, since 2004, in the preparation and development of the Ethics Program known as Rumbo Pymes -Integras y Transparentes- seeking to generate better practices in the prevention of corruption at small and medium size companies in the country and to encourage the formation of more ethical Business environments. The promotion strategy of “Rumbo Pymes” is developed on the basis of a model structured on alliances with large corporations that have already defined organizational ethics as a strategic factor in their relationships and that at the same time serve as motivators of other companies along their value chain to join the Program. To date, over 300 companies have joined “Rumbo Pymes”. The following chapters of this document present a deeper insight of the “Rumbo Pymes” experience.

## INTEGRAL ETHICS PROGRAM RUMBO PYMES



### 1. Description

Rumbo Pymes -Integras y Transparentes- is as Management tool for strengthening of ethical practices inside companies, which most relevant objective is set ethics in motion as a Management model while creating trust and value in business relationships

The program was designed and developed by Corporacion Transparencia por Colombia in order to generate better practices for prevention of corruption in small and medium size companies in the country and to encourage the creation of more ethical Business environments through the value chains of those large companies that joined the Program as its allies<sup>17</sup>.

It is expected that through implementation of this management tool, companies increase their confidence levels, improve their production process and capacity for compliance and quality, acquire additional strength through their value chains, improve their reputation and contribute to sustainable development, understanding ethics as a factor for differentiation and recognition.

### 2. Specific Objectives

- Creation of business sectors that are more transparent and ethical, with better growth opportunities;
- Unification of criteria between the various lines of work, functions and corporate groups, around a value based common framework of behavior ;
- Incorporation of ethical values in the day-to-day decision making process of company's activity;
- Promotion of organizational strengthening and development of human talent<sup>18</sup>.

### 3. Features<sup>19</sup>

Self-managed. The tool is designed in such a way that each company may apply it in an autonomous and direct manner on the basis of utilization of a series of practical exercises according to specific needs.

17. <http://www.transparenciacolombia.org.co/SECTORPRIVADO/Rumbopymes/tabid/120/Default.aspx>

18. Corporacion Transparencia por Colombia. Program Rumbo Pymes -Integras y Transparentes- Power Point Presentation; 14 November 2007.

19. Corporacion Transparencia por Colombia, "Rumbo Pymes" Series; Navigation Chart: Guidelines for Tool Management.

Participative. “Rumbo Pymes” encourages utilization of participative work dynamics that permits all members of an organization to become involved in the process for construction of incumbent corporate ethics.

Practical. The tool aims to a search for commitment and agreement with emphasis in practical issues more than on rhetoric, through a combination of individual and collective thoughtfulness.

Flexible. Methodology allows the tool to be adapted by each company in accordance to its particular context and to decide what modules of thematic support are needed depending on the specific needs of the company.

Consistent. Each module may be independently implemented and all modules are designed in such a way that they hold internal coherence in terms of focus and methodology.

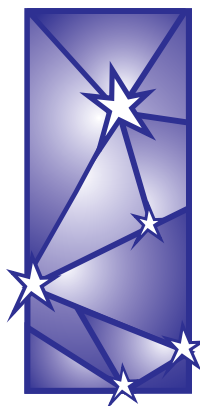
## 4. Components

“Rumbo Pymes” is implemented by means of a pedagogical package consisting of an introductory module that includes guidelines for management of the tool, three basic modules of mandatory application and six support modules for optional application in accordance with the results from the measurement of the company's ethical climate<sup>20</sup>.

Estimated timing for application of the program by a company is five months for the Basic modules and between five-eight months for the support thematic modules, which may implemented simultaneously. The contents of this tool are designed to be incorporated into company's management through a continued process and the success of the process is dependent both on leadership from company's management team as well as on the active, committed and organized participation of all employees. The basic modules are as follows:

Navigation Chart. The Guide for Management of the tool. It delivers to the Management team of small and medium size companies all general information on the program, its objectives, benefits, scope and the way to self-manage it. Additionally, it includes the theoretical fundamentals, covering ethics, corporate values, ethical corporate performance, personal and institutional growth, some prejudices on ethics and the consequences of lack of ethics in a company.

### Carta de Navegación



GUÍA DE MANEJO DE LA HERRAMIENTA

1  
Introductory  
Module.

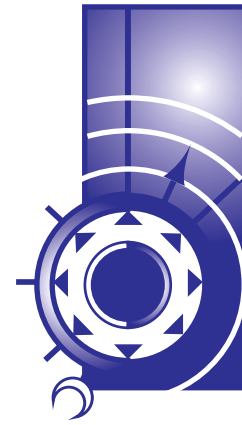
20. Corporación Transparencia por Colombia. “Rumbo Pymes” Series. Navigation Chart: Guidelines for Tool Management.

# 3

## Basics Modules

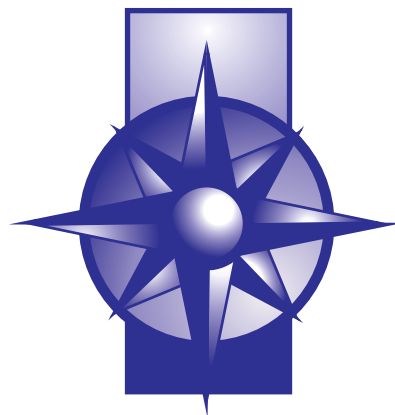
The Barometer. It is the tool for measurement of company's ethical climate. It is aimed to obtain a "photograph" of all those perceptions and interpretations shared by all company employees in terms of the various elements that contribute to the creation of a value based corporate culture. Measurement is conducted through the application of a questionnaire composed of two sections; the first, denominated "Cases", is intended to measure the level of moral autonomy or moral judgment of each of the members of the work team; the second - entitled "Opinions" is oriented to measure the company's organizational climate on the basis of five corporate ethical performance criteria: leadership, communications, recognition and sanction system, reporting and consulting, and respect for fair regulations. . Measurement must be conducted on a periodic basis in order to ensure follow-up of company's progress in the overall improvement of its ethical climate.

### El Barómetro



MEDICIÓN DEL CLIMA ÉTICO

### Marcar Coordenadas



COMPROMISOS ÉTICOS

Setting of Coordinates. Presentation of company's ethical commitments. Its purpose is to direct company through the collective construction of ethical commitments that shall guide corporate life. It is developed through two workshops for identification of current values and desirable corporate values; on the basis of these findings, construction is made of a declaration of ethical commitments, which observance is committed to by all company personnel. Open Sea Rescue. Includes contents

of the document Business Principles to Counteract Bribery, edited by Transparency International and Social Accountability International. Encourages the voluntary adoption of a framework of principles and practices for identification and counteraction of bribery in its most common forms inside the corporate world. It provides a practical guide for generation of a no-bribery culture that serves as contributor to free and fair competition.

## Salvamento Marino



PRINCIPIOS PARA  
CONTRARRESTAR EL SOBORNO

## Orientación en Alta Mar



CAPACITACIÓN EN ÉTICA

Clearing the Course. This module covers governance in family-owned companies. It is aimed to provide elements for the construction of environments of sustainable trust and responsibility in those companies in which property and administration are shared by members of the same family. As reinforcement is provided in issues such as confidence and strategic direction, the module delivers guidelines for preparation of family protocols that enable regulation of the manner in which family members are to perform as company members.

Course setting in the high seas. This is a tool for education in corporate ethics. It seeks to contribute by means of a learning process consisting in 22 cases of common and practical nature, in which ethical values come into play, ethical values are encouraged and endorsement is made of corporate ethical performance, ethical criteria and adoption of conscience regarding risks of corruption.

## Despejar el Rumbo

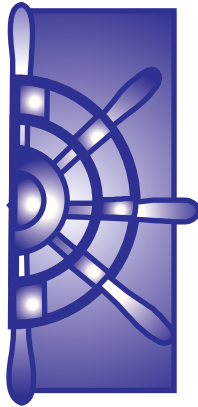


GOBERNABILIDAD  
EN EMPRESAS FAMILIARES

6

Training  
Modules

## Viento en Popa



LIDERAZGO ÉTICO

Tail sail wind. This module covers issues regarding ethical Leadership. It is oriented to the development and reinforcement of competences and performance associated with ethical leadership in all company personnel and in four most relevant dimensions: self-leadership, leadership upon others, ethical corporate leadership and, finally, social leadership. It highlights, through a series of practical exercises, the importance of human talent as the most valuable asset of a company.

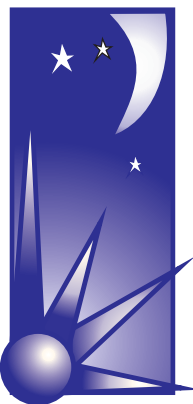
## Lazos a Bordo



On-board Ties. The module delivers elements for reinforcement of communication channels. It encourages utilization of formal and informal communication inside the company as a support mechanism for appropriation of ethical values and commitment in order to contribute to fortification of an ethical climate and to remembering, through various channels, that the program is being developed.

FORTALECIMIENTO DE CANALES DE COMUNICACIÓN

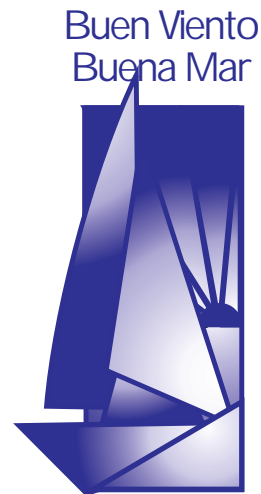
## Popa o Proa?



TOMA DE DECISIONES CON SENTIDO ÉTICO

Prow or Stern. The module covers decision making in its ethical sense. Its principal objective is to progressively dismount damaging parties to general interest and to counteract corruption actions that favor individual concerns in detriment of general interest. For this purpose the module proposes interiorizing of ethical criteria that improves decision making quality in the daily activity of the company.

Good winds, good sailing. This module refers to the ethical resolution of conflicts. It seeks for preventive attention of conflicts, both ethical and interpersonal, through encouragement of new skills and competences for solution, dialogue and sharing between company personnel. It proposes five mechanisms to this end: transparent communication, negotiation, mediation, circular processes and a commission of ethics.



RESOLUCIÓN ÉTICA DE CONFLICTOS

## 5. Development Process

In 2001, the recently created Private Sector Area of Corporacion Transparencia por Colombia engaged in a pilot exercise at company Hermagu, with the support of the Colombian Center for Corporate Responsibility, seeking testing and/or adoption of a methodology of integral programs in ethics sponsored by the Ethics Resource Center “ERC” of Washington D.C., into the small and medium size corporate sector in Colombia.

This experience originated the creation of an Integral Ethics Program entitled “Rumbo Pymes” with the financial support of Merck Sharp & Dohme and the Agency for International Development of the United States–USAID.

During a period of two years, the Corporation and an external consulting team worked on the research, design, methodological development and content preparation, drafting of texts, concept and graphics design of each and all ten modules that compose the resulting tool as well as all complementary material. Using a rigorous process, documents were validated and all pertinent adjustments were accomplished. Finally, the Program was officially presented in 2005 following an articulation process with other activities of the Corporation such as the Integral Ethics Program for Large Companies and the strategy for dissemination of Business Principles to Counteract Bribery.

After some initial fruitless efforts in the presentation of the Program to potential companies through corporate unions and associations, the need became evident for identification of an alternative mechanism. Several alternatives were considered and a decision was reached for adoption of a model based on alliances with large companies that already have defined policies of social corporate responsibility and are willing to endorse corporate ethics as strategic factor in the business relationships established with those companies that participate in their respective value

chains such as suppliers, distributors or contractors, building up trust and having a positive impact on the sustainability and competitiveness of their respective environment.

Initial alliances were established with companies such as Colceramica and Family Compensation Entities Compensar and Comfandi. These alliances favored affiliation of the first 56 companies, located in Cali, Bogota and Medellin. Between 2004 and 2008, twelve large companies came along and over 307 small and medium size companies affiliated, with impact over more than 30,000 employees in different cities throughout the country. Current active allied organizations are: Colceramica S.A., Homecenter, Compensar, Colfecar, Confecoop, Sodexo, BASC del Pacifico, SABMiller- Bavaria S.A. and Filmtext.

The years spent in the implementation of “Rumbo Pymes” have generated experiences of fundamental nature and have hence taken the program to a most interesting stage of maturity and projection. It has been possible to position –to the interior of the companies- the message that any socially responsible action is constructed on the basis of ethics and transparency and, as a result, companies have been motivated to ask themselves the ethical question of .What is to be done? What is the right thing to do?

Said evolution permitted to take a qualitative jump in 2008 allowing allied companies to move forward to greater challenges that implied the requirement of ethical standards by those companies along their value chains in terms of their policies for selection, evaluation and contracting of suppliers. This endeavor has become a generator of a critical mass to the extent that the requirement for implementation of ethics and transparency programs may reach the same company through various channels. Ever more frequently, large corporations require that those companies that integrate their value chain implement ethics and anti-corruption programs in their corporate management plans. Colceramica, Compensar, Sodexo, Bavaria S.A., all have incorporated to their respective policies for the selection and development of suppliers, mandatory incentives for the existence of these programs in their business relationships.

Some of the accomplishments of this period include the following:

Set in motion of an agreement between Transparencia por Colombia and BASC Pacifico<sup>21</sup>, a Chapter of international certification organization BASC Worldwide that encourages safe trade, in order to motivate implementation of the Program in some fifty companies already affiliated with BASC. During the first stage, 18 companies located in the city of Cali joined the Program, seeking incorporation of organizational and anti-corruption ethics amongst those requirements defined in the BASC norm.

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21. BASC –Business Alliance for Secure Commerce– is an International corporate Alliance that promotes safe trade through the cooperation between governments and International organizations. It operates as a non-profit organization based in the United States with worldwide operations through a model of permanent exchange of experiences, information and training. BASC sets and manages security standards and procedures of global character applied to the logistics chain of International trade transactions, for which associated companies are periodically audited and thus offer guarantee that their products and services are subject to strict surveillance in all areas by means of diverse Systems and processes.

Initiation was engaged of an agreement with SABMiller-Bavaria S.A., to promote “Rumbo Pymes” amongst a group of 60 companies along the value chain of this large beer producer. The agreement includes co-financing provided by the allied company, the development of “accompanying programs” that facilitate implementation of “Rumbo Pymes”, and its integration into sustainable development and permanent improvement programs developed by the company and its suppliers.

Filmtex joined as an ally to the Program and in such capacity engages in co-financing six companies along its value chain, for purposes of implementation of the basic modules through a series of collective workshops.

Compensar began implementation of an “accompanying plan” for interested companies, aiming to perform direct follow-up through the development of the basic and thematic support modules by means of a consultant referred by the Corporation, who conducts weekly group sessions and individual site visits to affiliated companies.

This very year, the Corporation received, on the one hand, an invitation by the Inter-American Development Bank – IDB for the formulation of a proposal that aims to the transfer of the model to other countries in Latin America and, on the other hand, an invitation by the Department of Commerce of the United States for participation on it Good Governance Program oriented to replicate “Rumbo Pymes” in various strategic alliances supported by such department.

## 1. Nature of the Study

In accordance with pertinent guidance provided by Linda G. Morra and Amy C. Friedlander<sup>22</sup>, this case-study seeks to offer comprehensive learning and understanding of the “Rumbo Pymes” Program by means of its description and analysis, using background experiences and examples, for which purpose abundant material and documented and testimonial information was compiled from various sources.

The case-study aims to pinpoint those results generated by the Program both at those small and medium size companies that engage in its implementation as well as at the large companies that sponsor it. In the case of the former group, it is intended to detect results and benefits in aspects related to administration, finances, commercial activity and human resources, primarily in terms of its effects over the overall business, which must in turn lead to the generation of voluntary adoption of corporate ethics. In this manner, the study questions the motivation of those companies that approach the Program, the appropriation of its contents and sustainability of the Program, as well as its implications over the value chain and the general business environment in which it operates.

## 2. Technical Chart

Coverage:	Nation-wide. Interviews were held at companies affiliated to the Program, located in Bogota, Medellin, Cali and Bucaramanga.
Date:	The study was conducted from November 2007 through April 2008. The pertinent report and its respective annexes were prepared later on.
Nature of the Sample:	31 companies were selected on the basis of their level of development of the Program and their diversity in terms of corporate activity and the nature of reported accomplishments.

These companies operate in the sectors of: services, industrial and commercial activity.

22. MORRA, Linda G. y FRIEDLANDER, Amy C. Evaluations through Case Studies, World Bank, Translated to Spanish by PREVAL II, January 2001, Consulted at [http://www.usal.es/~ofeees/NUEVAS\\_METODOLOGIAS/ESTUDIO\\_CASOS/0950.pdf](http://www.usal.es/~ofeees/NUEVAS_METODOLOGIAS/ESTUDIO_CASOS/0950.pdf);

### 3. Compilation of Information

As an option for compilation and analysis of pertinent information, utilization was made of the technique known as “Extensive” or “Bulk Analysis” consisting in the performance of abundant descriptions with lots of information supplied by sources and methods (or compilation systems) of multiple nature.

Documentation on the Program. As a starting point, the consulting group performed a documentation process over the “Rumbo Pymes” Program and its referrals in terms of corporate ethics, which included revision of all written and recorded material, and meetings with the team from Transparencia por Colombia.

Interviews of managers and sponsoring groups at affiliate companies. For purposes of the interviews, the research team designed a guide with 58 questions seeking coverage of four possible categories regarding knowledge and analysis of the impact of the Program on those issues that motivated affiliation, the incumbent implementation process, results achieved and appropriation of contents. Through this process, fifteen companies were visited: Alalco, Bazar Americano, Bemoa, Central de Mangueras, Ceramica y Porcelana, Ceramicas y Pinturas, Colaboramos, Colentrega, Construcciones S.A., Gestion Integral de Proyectos, Gestionar, Grupo Guerrero, Ingenieria Especializada, Jago Digital, Maluma and Marion.

Interview of allied corporate groups. In order to have a wider and more diverse vision of the development of the Program, particularly in terms of aspects such as promotion strategies and impact of progress over the value chain, interviews were conducted with representatives of five allied corporate groups: in Bogota and Medellin: Colceramica, Home Center, Compensar, Colfecar and Confecoop. (Please refer to Annexes 4, 5 and 6).

Survey. As a complementary instrument, design and application was made of a questionnaire applied to a 16 company pilot group, through which indicators were achieved regarding the four categories established. The survey used a format similar to the one used by the Program in measurement of corporate ethical climate. Companies that answered the questionnaire via Internet were: Bemoa, Darreina, Deblanco, Recol Ltda., Graficas Colorama, Maluma Ltda., BPA Office, Clinica Chicamocha, Colentrega, Coodontologos, Deterquin, Ediva, Indusiavi, Ingenieria Especializada, Insoin and Intercalco.

Difficulties during the data compilation process. Main difficulties faced by the data compilation process were the resistance by some companies to openly comment the results from application of the measurement of corporate ethics climate, and in other companies limitations arose in the actual compilation of data because coordination of the Program had been in charge of personnel no longer with the company at the time of the interview.

## **4. Processing and Analysis**

Once interviews were concluded and the pertinent material was received, information was processed. Such instance included data transcription, digitalization and systemizing of interviews and questionnaires in Excel worksheets, in addition to several sessions for discussion and analysis of most relevant findings with the team from Transparencia por Colombia. Preparation was conducted of a matrix for presentation of results, aiming to properly translate the categories of the underlying analysis into an easily comprehensible scheme; the final report was prepared on the basis of the contents of the matrix.

## CONSIDERATIONS FOR IMPLEMENTATION OF THE PROGRAM

### 1. Primary Motivation for Implementation of the Program

The reasons that lead a small or medium size company to accept implementation of the Rumbo Pymes –Íntegras y Transparentes-Program are of varied nature; amongst them we can mention the following:

- a) Valuation of the Program;
- b) Strengthening of the relationship with the allied company;
- c) The possibility of better business opportunities and corporate development;
- d) Advances in implementation of organizational actions concerning corporate ethics.

#### a. Valuation of the Program

The entirety of persons interviewed expressed to have a positive valuation on the Program, its contents and corporate image. 100% of companies interviewed agreed on the fact that the program “Is a good option for the prevention of risks, enhancement of corporate ethical climate and preservation of company's reputation”. Likewise, all companies considered that the “support of Transparencia por Colombia is a guarantee for the due development of the Program”.

In light of the above opinions, it is considered that the Program enjoys a high degree of credibility, which constitutes one of its main strengths to mobilize company willingness towards its execution. “A Program of this nature is a move in the right direction because it makes possible to make a reality of something intangible” (...) the most significant value of the program is its approach to ethics and social commitment” (Patricia Arboleda, Manager - Bazar Americano).

#### b. Strengthening of the relationship with the allied company

In some cases, the strengthening of the relationship with our ally was the determinant factor for adoption of the decision to implement the Program; in other cases, this was just one more motivator. Some companies joined the Program because, through the allied company, became convinced that it was a necessary and adequate strategy for the strengthening of their commercial relationships and administrative processes. “We learned about it through Grupo Corona, that invited all suppliers; it fitted us

Valua  
tion

perfectly because in previous weeks we had had difficulties with one of our employees” (Juan Carlos Gamboa, Manager - Ingeniería Especializada). “The motivation of our company was above all that Corona made the Program available to us” (Elizabeth Susana Linares, Construcciones S.A.)

In the survey, some 50% of individuals interviewed agreed that “the need to strengthen commercial links with an important ally is one of the reasons for our participation in the Program”. In a similar sense, 84% of the persons interviewed believe that “The support of allied companies grants higher credibility to the Program”.

### **c. Possibility of better business opportunities and corporate development**

Several companies reveal that their approach to ethics and trust will most likely open doors to new business. “We hope that the application of the Program will also have implications over suppliers and customers and is reflected in the relationship and attention in order for people to remain loyal to the company” (Juan Jose Alvarez, Manager - Central de Bandas). “To be a referent of ethics is what opens doors that allow creation of relationships within my environment, whether at the World-wide, internal, close and domestic level” (Patricia Arboleda, Manager - Bazar Americano).

These opinions coincide with those expressed along the survey. Some 57% of individuals interviewed included “the possibility of more Business opportunities and corporate development” as one motive for implementation of “Rumbo Pymes”.

### **d. Advances in implementation of organizational actions in corporate ethics**

Some of the companies affiliate to the Program had a background of adherence to policies and practices in organizational ethics although those efforts had not been systemic or of corporate nature but, instead, unilateral determinations taken by the manager or some of the corporate instances; “The owner, Mr. Mario, has an obsession for honesty and rectitude, with ethics and morale. When we join the company we must sign a contract of morale, but it is not a program; a campaign such as the present one had never been seen” (Manuel Botero – Marion sponsoring group). “The concern on this matter Could be seen from the Management and downwards; always implementing on the issue of honesty and responsibility; however, we were not aware of a Program of this nature, one in which we Could all intervene” (Saide Romero – Colentrega sponsoring group).

Some of the companies had –from time back- clear definition of social commitments and saw the Program as the opportunity to reinforce and direct them. “When Compensar invited us, as a company, to participate in the Project, we perceived that it fitted quite well with the philosophy of our company (Yolima Restrepo - Deputy Manager, Gestion Integral de

Proyectos). “As a rule, as corporate policy, we have always worked with great corporate responsibility, ethics, responsibility to the State and to the employees” (Patricia Arboleda – Manager Bazar Americano).

75% of companies included in the survey agreed that “it is not enough to have ethical conscience; concrete actions are needed in specific areas of any organization or company”. Mario Jaramillo, founding partner of Marion, is an example of this type of motivation: “Since the Program is tightly linked to the philosophy of Marion, when I learned about the Program I became thrilled and said: Let's join now, I want to be there”.

75%

## 2. Several factors of success through its implementation

- a) The pedagogical nature of the Program
- b) An effective sponsoring group
- c) Adequate dissemination of the Program
- d) Management commitment

### a. The pedagogical nature of the Program

“Rumbo Pymes” was designed as a self-manageable tool, easy to understand and apply. And that is how companies perceive it: “Its implementation is easy. The booklets are didactic in nature; easy to read, the material is very clear; people like it; it is practical; there are very interesting activities” (Rebeca Franco - Administrative Director, Jago Digital).

On the other hand, 67% of participant companies in this case study agree that “It is a rather simple process, easy to understand and apply” and 100% agrees that “The methodology is agreeable, uncomplicated and attractive to the members of our company”.

### b. An effective sponsoring group

The adequate performance of the sponsoring group in charge of Leadership of the Program is an indispensable requirement for the success of the Program, a condition that has been duly fulfilled at different companies. In some companies, this group has been directly led by its Manager, deputy Manager, directors or senior executives.

In this regard, the study shows that it is most important that the members of the sponsoring group belong to areas such as human resources, planning or quality management, due to their professional profile and the complementary nature of “Rumbo Pymes” vis-à-vis other actions of the company.

Likewise, another factor for success has been the participation of the different units of the company, through facilitators, and the articulation of Program activities with other groups and corporate committees in areas such as management, quality control, training and education, administration, human development, amongst other. "Several Readers were selected for the Program; these leaders took care of training of facilitators and the latter took care of training in their respective areas" (Manuel Botero, Marion sponsoring group).

### **c. Adequate dissemination of the Program to the interior of the companies**

In course of fulfillment of Program recommendations, over half of companies interviewed used launching campaigns creator of expectation and sensitiveness of employees, aiming to awaken general interest on the subject.

During the period for execution, and even later on, some companies have continued to make utilization of Communications –through wall-boards, printed newsletters, Intranet bulletins and screen-savers, evidencing that an adequate management of these communications media is a powerful tool for development of corporate ethics "We did it with our own resources and with the company personnel. The video was displayed, wall-boards were set-up, employees met by sections and we accomplished a full ambiance for the Program through screen-savers in the computers, letters and invitations" (Jaime Fernandez Jaramillo – Manager of Maluma).

75%

The results of the survey show that 75% of participant companies are of the opinion that "Encouragement is to be made of experience-sharing meetings and communications between companies"; a proposal that has found echo in Transparencia por Colombia as well as in allied companies and which has provided ample openings for communication through their own communications media, such as websites, printed newsletters, digital bulletins, workshops, meetings with suppliers, amongst other.

### **d. Management Commitment**

The study makes evident that this factor is indispensable for a successful development of the program. Nevertheless, in practice, institutional and senior management commitment to the application of the Program has not been of similar nature at all participant companies, which has made evident that relevant, timing and continuity allowed in company's agenda is highly dependent on the core reason for its initiation. "If there is no commitment from Senior Management down, it is difficult to implement the Program" (Patricia Arboleda-Manager Bazar Americano). In fact, only 25% of companies interviewed points out "Lack of company commitment to make progress with the Program".

## RESULTS FROM CORPORATE IMPLEMENTATION OF THE PROGRAM

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The study allows inferring that Program has had an unimportant effect in participant companies, measured in five separate independent scenarios of corporate activity: Results in terms of commercial aspects; results in terms of administrative and financial activity, results in terms of corporate culture; results in terms of reinforcement of human capital by those who belong to the company and, obviously, results for the overall spectrum of the value chain linked to the Program.

### 1. Commercial Results

The Program is contributing to the understanding, at many companies, that ethics is an structural business factor which has direct impact on the enhancement of commercial management and on the establishment of perdurable relationships with customers and suppliers to the extent that it does generate trustworthy, reliable and transparent working and business environments. Amongst the most relevant results in terms of commercial aspects, the following are to be mentioned:

- a) A positive impact on the reputation and trustworthiness of the company;
- b) It is a very important letter of introduction;
- c) It provides competitive advantages versus competition;
- d) Generates more stable and reliable business relationships;
- e) Contributes to a decrease in corruption risks in third party relationships.

#### **a. Positive impact on the reputation and trustworthiness of the company**

Some of the companies participant in the Program have adopted it as a tool for the construction of trust and reputation before their customers, suppliers, employees and the State, being convinced that those are its best assets for achievement of lasting commercial relationships and, therefore, achievement of strong and sustainable companies. By means of the survey applied for purposes of this case-study, 75% of entrepreneurs interviewed stated to be in full agreement with the fact that implementation of "Rumbo Pymes" may help to strengthen corporate reputation before stakeholders, which turns out to be specially important as strategy consideration for companies operating in corporate environments in which credibility is at stake, and in which a differentiating factor may make the difference.

Several corporate managers and executives are of the opinion that to be a referent of ethics opens doors for the establishment of commercial relationships on the premise that business is based on principles and trust. "When a proposal is presented and one mentions that company is a participant in the Program, they like it; it provides confidence" (Jose Gregorio Ramirez, Manager - Gestion Integral de Proyectos). "The fact that the company they are about to have business relationships with is engaged in ethics practices does generate confidence". (Claudia Lucia Carrillo - Ethics Leader at Insoin LTDA).

Large companies acknowledge that they feel confident when working with companies engaged in the implementation of a corporate ethics program. To be a participant in "Rumbo Pymes" may place a company at a higher development level, may improve its image and competitiveness" (Fabio Diaz – Corporate Vice President, Grupo Corona). "Company has gained recognition and confidence amongst its employees and stakeholders; when our customers received the good news of our participation in this Program, the first concern they expressed was how they could have access to this type of programs. When confidence is generated amongst stakeholders in any area of activity, their loyalty is achievable and may be understood as an additional gain" (Andrea Ochoa, Sales Engineer at Novakem S.A.).

In a similar manner, Maria Angelica Cuellar, Human Resources at Greif Colombia S.A. states that "The continuity of the Program is indispensable. We can not afford to lose the credibility we have so far generated everywhere and not to give continuity to the Program could turn out to be a cause for loss of confidence, both at the level of the Human Resources Department as well as within the company as a whole".

### **b. A very important letter of introduction**

The implementation of "Rumbo Pymes" and the capacity to make it a public credit is, in itself, a fact that contributes to the improvement of the image of participant companies amongst their customers and those organizations with which they interact. Some of them use the logo of "Rumbo Pymes" in their stationary and highlight the Program in their corporate curriculum, as a distinctive mark that differentiates them from other companies; a "value added" category that they display as a legitimate business argument. "The application of the Program is to be capitalized by showing customers that we have a developed instrument; that the company has taken this commitment". (Patricia Arboleda – Manager Bazar Americano).

### **c. Competitive advantage versus competition**

Several companies have reported that they become a preferable choice at the time to engage in business by the fact that they have a corporate ethics program. This statement is also held by senior executives of companies such as Gestion Integral de Proyectos, Bazar Americano, Construcciones S.A. and Central de Bandas.

The Manager of Maluma S.A. advises that the evidence that a company engaged in and fulfills certain ethical and quality principles is beginning to have weight in the world of business; and the largest shareholder in Marion does consider that an ideal situation would be that in which companies that have an ethical commitment understand each other more easily than with dealing with companies lacking such commitment.

92% of companies answering our questionnaire do consider that "Big corporations should prefer to engage in Business with companies that certify to have engaged in a corporate ethics program".

92%

Mario Jaramillo, founder of Marion, states that "I would love to find a situation in which being a participant to a Program of this nature is a requirement for participation in tender-bids (...) for acceptance of a supplier or a customer"

Our large allied companies are conscious of these appreciations. For this reason, along with their support of "Rumbo Pymes", allies such as Colceramica, Homecenter, Compensar and Sodexo are currently including in their standards for selection of suppliers, incentives that favor companies with an ongoing corporate ethics program, as explained by Luisa Margarita Ramirez – Procurement Manager of Compensar: "Our policy for selection of suppliers requires availability of an ethics and anti-corruption program to the interior of the organization". Andres Bernal, Operations Manager of Sodexo, views this approach as a stimulus: "We will make recognition – in our log of suppliers – to encourage them to engage in the development of the Program".

#### **d. Generation of more stable and reliable business relationships**

Testimonials of companies such as Ceramica y Porcelana Sanitaria, Bemoa, Construcciones S.A., Colentrega and Central de Bandas make it clear that the Program has contributed to the consolidation of Business relationships with the allied corporate group, which - to begin with - was one of their motivations to join the Program.

Allied companies, on the other hand, make it evident that their support to "Rumbo Pymes" is associated to their interest in the construction –with their suppliers and commercial arms- of value chains in lasting business relationships ruled by ethics. It is for this reason that their senior management consider those companies that have accepted and developed the Program are those with which they have initiated or plan to establish long term commercial relationships. "In general terms, those companies that have joined the Program have already defined business as a long term family patrimony - which they want to preserve over time" (Felipe Andres Giraldo - Officer Grupo Corona).

Both allied companies as well as small and medium size companies acknowledge that the development of the Program contributes to the generation of confidence by presenting a framework of universal ethical

“The Colombian perception is that in order to create enterprises it is a must to restore to corruption but, through the implementation of a Program of this nature we clearly see that it is not the case”

Maria Angelica Cuellar

Human Resources of Greif Colombia S.A.

values that provide equity, clarity and transparency to the business. “Impact of the program in our organization has been of significant value; internally, we have gotten to know each other better and we have reinforced the relationships between all our personnel; externally, our customers have full confidence on us, they know exactly what to expect; and with our suppliers, the relationship could not be any better. We are truly generating a value chain based on ethical principles”. (Mauricio Nieto, Manager, Disnietos Ltda.) “Several of our distributors have joined the program; we have gradually tightened our business confidence with them; it is unquestionable that the higher the confidence, the better for business and higher stability; we are quite please with what we have accomplished with them” (Fabio Diaz – Corporate Vice President, Grupo Corona).

The resulting increase in the level of confidence does facilitate relationships of mutual benefit, more stable and reliable, not just with allied companies but also with customers; a situation that propitiates the corporate development of the parties involved. “Rumbo Pymes” contributes to the handling of fair tariffs, to the upholding of confidentiality of information; all this gives assurance to our customers and generates loyalty, so we gent longer term projects. We now have projects for two or three years which enables us to consolidate; nowadays our business plan may include a two-three year range” (Yolima Restrepo - Deputy Manager, Gestion Integral de Proyectos). “This topic more frequently acquires higher important in the filed of business, creating conscience that it is better to negotiate with those companies that are certified in programs that reinforce ethical values; the outcome is those business awarded” (Luz Amparo Aguilar - Administrative and Financial Manager, Larkin Ltda).

#### **e. Contribution to a decrease in corruption risks in third party**

Companies that have committed to the Program have assessed a decrease in corruption risks in their internal and external relationships, which is a definite priority. In accordance with the results from this case-study, 89% of individuals interviewed agreed that “there is a high degree of corruption in the world of business and it is necessary to prevent it”. To 60% of the sample, “Rumbo Pymes” is a tool that has been useful in the direction of this conviction and to the sending –inside and outsider the companies – of a message of rejection to corruption. “The Colombian perception is that in order to create enterprises it is a must to resort to corruption but, through the implementation of a Program of this nature we clearly see that it is not the case” (Maria Angelica Cuellar - Human Resources of Greif Colombia S.A.) “It has allowed us to wear an Armor protecting us from dirty business; they know that they can count us out” (Yolima Restrepo – Deputy Manager Gestion Integral de Proyectos). “The implementation of the Program allowed identification of areas of high risk inside the company” (Miguel Avila - Quality Director, Indusiavi Ltda) “On the basis of our experience in the application of the Program, corruption risks are easily identified after definition of a clear incumbent policy which has been disseminated both inside and outside the organization” (Andrea Ochoa - Sales Engineer, Novakem S.A.)

## 2. Results over Financial and Administrative Management

Application of the Program has also had an important impact over the administrative and financial management of participant companies; on the basis of the study, the following positive effects outstand:

- a) It allows an adequate integration to various certification processes;
- b) Facilitates a successful articulation with other programs;
- c) Encourages generation of significant savings;
- d) Stimulates productivity increases; and
- e) Facilitates decision making with ethical sense by senior management.

### a. Adequate integration to various certification processes

Several companies have articulated implementation of the ethics program to certification processes. In this manner, they resolve the apparent competition between these two categories without having to postpone any of them. A most representative example is that of Gestion Integral de Proyectos, where "Rumbo Pymes" was incorporated, in 2007, to the quality Management system, to those Systems integrated under ISO 9000, ISO 14.000 and OSHAS 18.000 and to the Program for Excellence. "Rumbo Pymes", was incorporated in a perfect way to the strategy of the organization; it contributed to recognition granted to the company by Corporacion Calidad ("The Quality Corporation") that prized us for our management models in the fulfillment of strategic objectives. On the basis of "Rumbo Pymes", ISO and Excellence, we were capable of structuring our candidacy to the National Quality Prize". (Yolima Restrepo – Deputy Manager, Gestion Integral de Proyectos)

Other examples of such successful articulation are Central de Bandas and Central de Mangueras: "We were about to stop the certification process in order to engage in participation with "Rumbo Pymes" but instead reached the conclusion that it was not necessary; both approaches walked hand in hand" (Juan Jose Alvarez, Manager). "In order to receive ISO certification it is required to be transparent in all aspects, to have all processes as clear as possible" (Alfredo Vargas – Manager, Colentrega). "We have reached the conclusion that implementation of ISO regulations and "Rumbo Pymes" are a support to initiate the journey towards certification" (Elizabeth Susana Linares – Manager, Construcciones S.A.). "We are about to start a certification process and, having implemented the Program is almost like having a paved road; we are going to need many committed people" (Lady Borja - Human Management Leader at Ingenieria Especializada).

Ethical reinforcement contributes to certification processes in aspects such as senior management commitment and honesty towards certification; to cohesion and a sense of belonging of the team in terms of a process that is hard and complex; to efficiency in the fulfillment of all processes, transparency in the handling and follow-up of information; to the sufficient and transparent flow of Communications; to utilization of reporting and consultation mechanisms in the review and alignment of all processes; to a commitment to the sound utilization and care for all assets of the company and those of the customers; to consciousness regarding customer requirements and interest; to sensitiveness on the needs to personnel formation; commitment to maintenance of product/service design and development; to the transparency and fulfillment of all standards in the handling and management of procurement processes.

### **b. Facilitation of a successful articulation with other programs**

In several companies, “Rumbo Pymes” has also been articulated to programs and actions for personnel development, training and leadership; informal education, selection and hiring of personnel, amongst other; these programs provide synergies and continuity to “Rumbo Pymes” while, at the same time, receiving the benefits of ethical reinforcement.

At Colentrega “Rumbo Pymes” was coupled with the program for training and occupational health; at Colaboramos it was matched to quality circles and at Central de Bandas and Central de Mangueras to strategic planning and the merge of two companies; at Ingenieria Especializada it was adjusted to human resources management. “The methodology of the “Rumbo Pymes” Program has been a significant contribution to the implementation of Management and process enhancement processes” (Edward Guantiva – Managing Director, Sergio Tomani)

The outstanding balance is quite satisfactory taking into account that one of the main difficulties encountered by companies in the development of the program is the lack of time allocation for properly attending all commitments and programs outside management of their corporate mission.

### **c. Encouragement for generation of significant savings**

Some companies participant in the program begin to experience an interesting level of savings derived from a mower personnel turnover, better care and Management of company's assets, decrease in personnel absenteeism, lower waste of time and a lower investment in control systems that have been substituted by auto-control. “Persons working with values, as a team, sharing ethics; persons we are sure will come to work not to talk on the phone and visit each other, are bound to generate benefits for themselves and for the company” (Alfonso Cuadros – Deputy Manager, Alalco)

Confronting lower personnel turnover, companies reveal some visible results, attributed to an improvement in working conditions and to implementation of personnel development processes that generate team expectations and satisfaction and which, consequently, lead to a lesser desire of moving to another, larger, company.

Change in terms of aspects such as the sense of belonging, commitment and respect to values at some companies, is generating a better care for company's assets and for those of the customers. Diego Gaviria, Manager of Ceramicas y Pinturas, endorses progress achieved: "I now realize that since the Program started, two years ago, all damages have been reported".

In terms of the reduction in personnel absenteeism and waste of working time, companies also begin to notice an improvement, attributed to higher levels of moral autonomy: "I would say that people are telling less lies and work somewhat more than they used to. It appears that people feel embarrassed not to deliver" (Alfonso Cuadros – Deputy Manager, Alalco).

#### **d. Stimulus of increases in productivity**

Most entrepreneurs interviewed state – referring to the program- that "Its implementation may lead to more viable and productive companies in the long run", a conviction that is ratified through several testimonials. How can you not be more productive when people's attitude changes so much (Juan Jose Alvarez – Manager, Central de Bandas).

Some entrepreneurs are of the opinion that in addition to a higher productivity, they also become more competitive. "If you have straight people, people who are committed; people who work as a team, people with a clear perception of corruption and its consequences, you are bound to be more competitive" (Claudia Patricia Torres - Resource Manager, Bemoa).

"It is our corporate strategy to support the development of Businesses with our customers; if they develop as a business unit, they are going to sell more, our products are likely to be more commercial and promoted throughout the market" (Fabio Diaz – Corporate Vice President, Grupo Corona). "I relieve that the Program increases personal productivity because people work with more enthusiasm". (Jose Hermes Guzman, Medicox)

This stimulus to increase productivity, as per the outcome of the research, is attributable to the following factors:

A greater sense of belonging to the company. A high percentage of companies consulted pursuant to this case-study report that: "A change in the level of commitment and team work was generated". "The sense of belonging makes productivity improve and this leads to higher profitability. It is a result that arises from application of the Program" (Patricia Arboleda - Manager Bazar Americano). "It generates a new work culture and a great sense of belonging to the company, while additionally

The stimulus to increase productivity in companies is attributable to the followings factors:

A greater sense of belonging to the company.

Strengthening of Institutional Capacity.

Better process compliance.

creating openings for participation". (David Pardo – Commercial Manager, C.I. Graficas Colorama)

Strengthening of Institutional Capacity. Incorporation of ethics as a component of corporate culture allows liberation of company from unforeseen efforts and to concentrate energy and time into productivity. "To the extent that an organization becomes more ethical and transparent it is in turn more productive and, if more productive, its governance management system becomes more advanced and developed" (Fabio Diaz – Corporate Vice President, Grupo Corona).

Better process compliance. Changes in the attitude of human teams and articulation of "Rumbo Pymes" to other quality programs have favored the effective improvement of various processes, which has direct repercussion on productivity and sustainability of the company.

### **e. Facilitation of senior management decision making with an ethical sense**

At some companies, reflection over ethics generated by the Program has begun to have an impact over team members at the decision making instance.

69%

of companies interviewed for this research, consensus is that "The program has strengthened an ethical adoption of decisions".

Several of the persons interviewed acknowledge that "Rumbo Pymes" furnishes key elements of support in decision making in those cases in which ethics appears to be compromised: a declaration of principles; identification of most common forms of bribery; establishment of mechanisms for identification and prevention of risks; mechanisms of reporting and consultation.

The Program has also motivated some companies to generate diverse mechanisms for employees to be heard and become participant of decision making processes, within a framework of a more democratic and transparent administration. "Senior officers and chiefs have been forced to listen to their employees; to let them express freely. Truth is no longer ours alone; all we said used to sound quite nicely; that is no longer the case: we must become auto-critical." (Emilio Gonzalez – Sales Manager, Grupo Guerrero).

## **3. Results in terms of a new corporate culture**

"Rumbo Pymes" has implied the beginning of important changes in corporate culture. Most important changes indentified by means of this case-study are as follows:

- a) Introduction of an ethical dimension into the imaginative corporate spectrum;
- b) Generation of improvement plans on the basis of measurement of ethical climate;
- c) Allowance for an increase in internal confidence and self-control;
- d) Non-encouragement of occurrence of non-ethical practices to the interior of the company;
- e) Stimulus to reporting of transgressions;
- f) Makes better communications possible, leading to conflict resolution;
- g) Contribution to compliance with legal requirements.

#### **a. Introduction of an ethical dimension into the imaginative corporate spectrum**

The opinion of officers of several companies highlight, as a virtue of the program, its capacity for introduction of an ethical dimension into the imaginative corporate spectrum, in its daily practices, making it possible that exercising ethics, as an instrument of reason, chairs the actions of each and all employees and directors. "It is our intention to incorporate ethics as a component of corporate culture; we are going to work along with ethics. What matters is that we are talking about it, that it is present in the retentive of the people" (Juan Carlos Gamboa – Manager, Ingeniería Especializada).

Companies such as Alalco and Grupo Guerrero are asking themselves whether it is sufficient to inculcate values in order to prevent offenses against the patrimony of the company, while other, such as Ingeniería Especializada, have engaged in a discussion between ethics and justice, equity and equality in internal relationships, all topics that the Program contributes to demystify and place into the corporate scenario. Officers of allied companies, such as Felipe Andres Giraldo – of Colceramica, and Luisa Margarita Ramirez – of Compensar, coincide on the fact that answers are all of long term scope, but the sole fact of asking What is the right thing to do? What to do and Why? Is in itself a major achievement. "The greatest benefit from implementation of the program has been the generation of behavioral directions in terms of Business; the divide between ethical and non ethical aspects in a commercial Business is a rather thin line; therefore, "Rumbo Pymes" helps us to acquire clear principles, the knowledge of how to act when Racing the problems" (Mauricio Nieto – Manager, Disnietos Ltda.) "The program has generated conscience within the company on the importance of the creation of a corporate culture supported by values" (Sonia Florez - Director, Colaboramos).

"It is our intention to incorporate ethics as a component of corporate culture; we are going to work along with ethics. What matters is that we are talking about it, that it is present in the retentive of the people"

Juan Carlos Gamboa  
Manager,  
Ingeniería

“It is indispensable to multiply the issue of corporate ethics to the interior of the country's corporate scope. People have forgotten that acting with ethics is not something deserving a reward, it is a duty”

Luz Amparo Aguilar  
Financial and  
Administrative  
Manager, Larkin  
Ltda.

For Francisco Guerrero, of Grupo Guerrero, results are measured on the basis of progress accomplished in terms of enhancement of the general management of the company: We have results regarding common plans and team work; we have signed a commitment to ethics; we have founded our own newspaper; we provided e-mail to all employees; we hold monthly work sessions and we instituted a Solutions Committee”.

“The implementation of an organizational ethics program implies to think on making Money in a clean manner while encouraging positive growth in the personal and family environment of the employee, thus complementing the corporate purpose of each company”. (Enrique Olaya – Advisor, Cialta Ltda.). To Andrea Ochoa, Sales Engineer of Novakem S.A. ““Rumbo Pymes” contributes to formulate the question over the compatibility of ethics and business, because current corporate culture, in general, consider that any and everything is permissible to achieve stated goals; and this type of programs supplies arguments to say that so is not true”

“It is indispensable to multiply the issue of corporate ethics to the interior of the country's corporate scope. People have forgotten that acting with ethics is not something deserving a reward, it is a duty” (Luz Amparo Aguilar - Financial and Administrative Manager, Larkin Ltda.)

#### **b. Generation of improvement plans on the basis of measurement of ethical climate**

Measurement of ethical climate, performed by means of the Barometer module, has been a much desired and complex experience for participant companies. 63% of participants in the case study expected the measure to contribute to the solution of deficiencies in ethical climate and all participants still believe that the Program is a sound tool for its improvement. Nevertheless, the base line prepared on the basis of the outcome of the measurement exercise, evidenced that most persons felt inhibited when answering to some of the items and the interviews made revealed the existence of institutional fears and resistance to openly face the subject, which is explained by the fact that the interviews drove companies personal to think about and question themselves regarding their convictions their imaginative collectives, corporate culture and the ethical support for their actions. “We now have some guidelines on how to develop transparent, safe and reliable relationship. Measurement of ethical climate has enabled us to be really aware of the status of our corporate values, of how our employees value them and in this manner, to be in capacity to ratify them and generate new values to be shared by all”. (Amanda Penalzoa – Financial Assistant, Recol Ltda.). A high percentage of persons interviewed agreed that “the sole fact that interviews were conducted for measurement of ethical climate by itself generated changes in the attitude of company personnel”.

The above has necessarily translated into improvement plans that included changes in traditional practices, the adoption of auto-control mechanisms, resignations, changes in head count and personnel

development activities. Some of them were brought up by employees; others resulted from consensus and some other by management teams. Most important items that felt the influence of the measurement were:

- Ethical values and performance
- Moral Autonomy

Ethical values and performance: independently from the resulting grade, measurement has helped to characterization of values or anti-values and of ethical performance that determine the actions of the corporate work teams, as an input for participative construction of a declaration of ethical commitments. "The Program has been useful for evaluation of values inside the company as well as at a personal level". (Sandra Correa – Project Coordination, BPA and GTT) "The impact was to assert that company indeed has ethical persons who are committed to the company, who have very strong corporate and personal values. What we did was to reaffirm what we were already thinking" (Sponsor group, Colentrega).

Moral Autonomy: Its measurement has turned to be one of the most sensitive and fruitful factors of the program since, according to the base line prepared in 2006, 71% of the individuals in the corporate sector, as a whole, registered low and medium low levels of consistency in their reasoning, which is translated as a preference for individual interests, little disposition to adopt fair positions in a situation of conflict, little appreciation for the interests of stakeholders and difficulty to understand norms as an assurance of justice and therefore difficulty to abide them voluntarily.. "Moral autonomy was giving us a low blow (...) before publishing the result we sat down to comment about it: What is happening? What are we to do? What is the reason for this outcome?" (Lady Borja - Management Leader, Ingenieria Especializada).

The results have motivated internal discussions and questionings that at some companies have reinforced the decision to go ahead with the Program and to engage in actions of personnel development to increase the level of moral autonomy through improvement of the capacity to reason in a consistent manner. And those companies have understood that this is only possible through learning, debate and collective argumentation. "It was an interesting analysis because people often think to be acting correctly although they are ethically wrong; this resulted in polemics but at the end people came out very happy". (Rebeca Franco - Administrative Director, Jago Digital).

Some companies have repeated the exercise in order to monitor resulting progress. In this manner they have proven that increasing the level of moral autonomy is a process that demands effort, commitment and follow-up and is not accomplished through the mere replacement of personnel. "We conducted a measurement two years ago and performed another this year; their comparison evidences that we have improved but we are still deficient" (Francisco Guerrero – Manager, Grupo Guerrero).

"The program has supplied tools for control in the management of issues such as conflicts of interest inside the organization".

Humberto  
Sanchez

Manager, Caproin  
S.A

“Measurement of ethical climate also helped us to identify some failures of the organization such as the processes of communications and leadership”. (Sandra Correa – Project Coordination, GTT)

### **c. Allowance for an increase in internal confidence and self-control**

The participative construction of a declaration of ethical commitments, as proponed in the second Basic module, has reinforced the level of internal confidence at some companies by being aware that they engage in mutually accepted desirable behaviors and of the existence of an express willingness for honesty, transparency and fair norms. 68% of companies participant in the case study have stated that “The program has generated higher trust levels between the company and its employees”.

Some companies report progress in this area, such as the elimination of collective control mechanisms and their replacement by auto-control mechanisms, the creation of opening for participation such as round-tables by section, facilitation of direct communication between employees and senior officers and the encouragement of leadership in different levels of the organization. . Lady Borja - Management Leader, Ingenieria Especializada, points out:: “If one is with “Rumbo Pymes”, auto-control is readily generated amongst work-mates, and that is, in itself, ideal”.

“The program has supplied tools for control in the management of issues such as conflicts of interest inside the organization”. (Humberto Sanchez – Manager, Caproin S.A.)

But even so, the accomplishment of optimum levels of internal confidence is a long term joint construction process between employees and company, during which mutual fears are to be overcome and strengthening is to be achieved of autonomy, open dialogue and the manifestation of different points of view, an effort that has not been easy.

### **d. Non-encouragement of occurrence of non-ethical practices to the interior of the company;**

Companies report a reduction in the tendency of occurrence of non ethical practices, a fact that is explained because ethics has began to be a referent present within the company, because there are now some commitments adopted and expressly undertake, because strategies have been generated for non-stimulus of such behaviors. “Employees, on their own initiative, defined to put an end to reprehensible conducts that were common in the warehousing area, in course of which they collected non-reported extra-income from the drivers of delivery trucks in order to be allowed delivery alter established deadlines”. (Alfonso Zambrano – Manager, Construcciones S.A.). In the study, 100% of individuals interviewed agreed that “it is necessary to implement ethical regulations in labor related relationships”.

In terms of human teams, it is clear that by being a participant in “Rumbo Pymes” the company has placed itself in a place with no room for non-

ethical practices, a concept that is even stronger in companies where there has been reinforcement or revalidation of open and democratic ethical Leadership and where the declaration of ethical commitments has been a serious process with real team participation.

Likewise, companies that have engaged in formation and human development processes now experience lesser disposition to non-ethical practices. "People have interiorized the message that things are to be well done, regardless of whether anyone is looking or not (...) they began to straighten conducts and behaviors that to them were correct and were accepted by society but that, when reading the manuals, found out that they were wrong " (Manuel Botero – sponsoring group, Marion). "The program creates consciousness to avoid incurring in acts of bribery while at the same time highlighting the importance not to offer or receiving". (Miguel Avila – Quality Director, Indusiavi Ltda).

#### **e. Stimulus to reporting of transgressions**

Setting in motion of the "Rumbo Pymes" Program motivates functioning of ethics committees and of mechanisms for reporting and consultation of transgressions in order for applicable norms to be prevented, reported and penalized. 38% of companies participant in this case-study have stated that "The Program led to the creation of a company's ethics committee".

Some companies are nowadays more conscious of the fact that the adequate functioning of these mechanisms is solely possible within a framework of an ethical, democratic and fair corporate climate that warrants the feeling of belonging by employees and the appraisal that non-ethical practices are damaging to all. "As a result of the implementation of the Program, creation was achieved of an opening for communications and consultation for the due reporting of risks, events of corruption and ethical conflicts" (Maria Angelica Cuellar- Human Resources, Greif Colombia S.A.) "Reporting and consultation work; there is a person –the leading sponsor – who gathers all concerns expressed by personnel as well as all disagreements between colleagues and any concerns regarding company's management" (Patricia Arboleda – Manager, Bazar Americano).

The effective functioning of these mechanisms takes time because it is necessarily to previously overcome cultural resistances, fear of reprisals or misinterpretation of the concept of corporate loyalty. "When reporting an improvement, it is not intended for you to reprimand me or for others to see that I was wrong; on the contrary, it is intended for improvement, for a common benefit" (Lady Borja - Leader Human Resources, Ingenieria Especializada).

#### **f. Makes better communications possible, leading to conflict resolution**

Several companies have made progress in this aspect by ensuring availability of better conceptual and practical instruments for prevention, identification, characterization and resolution of conflicts. The Program

**38%**  
38% of companies participant in this case-study have stated that "The Program led to the creation of a company's ethics committee".

has contributed to the creation of channels and mechanisms for the management of conflicts inside the company, in a positive and constructive manner, in which the conflict converts into an opportunity for standardization of actions, a common criteria for the ruling of the organization and in his manner for the implementation of prevention strategies". (Carlos Samur – Manager, Datecsa S.A.)

One of the most significant accomplishments is that companies and their employees have begun to interiorize the fact that conflicts are not resolved through imposition of authority and penalization but, instead, by means of alternative mechanisms for Communications, mediation and communications, which together contribute to an improvement of ethical climate. Carlos Martinez, Management Advisor at Central de Bandas is of the opinion that: "The level of Communications has improved, it is an invitation to compromises that avoid adoption of drastic measures".

"Communication is much better now, it is friendlier. In the event of conflict resolution, when such is the case, we now handle them differently. Commitment modifies the way we act" says the Manager of Central de Bandas. Very similar results are reported by the Manager of Maluma: "There has been a reduction on the Lumber of problems and conflicts at the internal and external level".

#### **g. Contribution to compliance with legal requirements**

Companies participant in the Program nowadays have a better understanding that compliance with legal requirements is a very important component of corporate ethics but also that ethics goes far beyond compliance with the law. Companies unanimously uphold to have always been respectful of the law but some of them acknowledge that the Program has strengthened their level of comprehension of applicable laws and the commitment of their human teams to their observance. "The Program has made us more aware and has allowed us to go beyond the written legislation, beyond labor harassment, beyond tender bids; beyond the terms of Law 80. It has allowed us to understand the benefits derived from compliance with all these requirements" (Jose Gregorio Ramirez- Manager, Gestion Integral de Proyectos).

Companies have also taken advantage of the Program to become closer to International legislation in order to adjust to the demands that arise from the new global scenarios. "One of the good things of the Program is that it tunes you up with measures being adopted internationally" (Saide Romero – sponsor group, Colentrega).

### **4. Results upon reinforcement of human capital**

Although success of the Program is to a large extent dependent on availability of human work teams motivated and committed, "Rumbo Pymes" in turn provides feedback to its interlocutors and offers diverse conditions that facilitate training and reinforcement of human capital.

Amongst the most outstanding results, in the opinion of those individuals interviewed, we may mention the following:

- a) It allows the integral development of company's human capital;
- b) Motivates learning and acceptance of change;
- c) Facilitates upsurge and consolidation of ethical leadership;
- d) Generates highly committed work teams.

#### **a. An integral development of company's human capital**

A most important advance in those companies participant in the Program is the restatement of the relevance of human resources. "The most important asset of a company is no longer its material capital but its human capital; hence, the most important asset of any company is the employees, doing a sound work." (Carolina Buitrago – Legal Representative, Ceramica y Porcelana Sanitaria). "Employee like to know that all (including senior positions) work towards the same objective; in some way there is a closing of the hierarchical barrier in order to encourage respect and honesty within the company. To this extent there is an improvement in labor related relationships because respect becomes the primordial aspects". (Mireya Oidor – Human Resources, Grupo Guerrero).

The formative proposal of the program has led some companies to a restatement of their concept of employee, to question their capacity of ethical decision making, to wonder about their moral autonomy and to conclude that only by means of its ethical strengthening and integral human development (in terms of values,, personal growth, confidence and self-esteem) may human resource convert into an element of a process of change that has a significant impact on the individual, not just as a Yorker but also as a social and family being. "If there is ethics in the company, there is also ethics where one lives; if one does not work, the other does not work either (...) if your are good, you are either good in everything or no good at all" (Angela Patricia Ramirez – Deputy Manager, Ceramica y Porcelana Sanitaria).

The program is persuading entrepreneurs and senior managers of the fact that transformation of ethical patterns of the work force, officers and senior executives is a possible endeavor and that is a duty of the companies, within the skeleton of social corporate responsibility to demystify the idea that it is solely a responsibility of the family and the educational system.

The implementation of training modules communications, anti-bribery principles and declaration of ethical commitment has reinforced group capacity to act in an ethical manner. The opinion of affiliates endorse such progress: "We have felt a change in the management of these companies;

"The most important asset of a company is no longer its material capital but its human capital; hence, the most important asset of any company is the employees, doing a sound work."

Carolina Buitrago  
Legal Representative,  
Ceramica y Porcelana Sanitaria

“The tool has allowed the presence of those who are ethical leaders by nature”

Patricia Arboleda  
Manager, Bazar  
Americano

one perceives that the company is becoming somewhat different; change is even noticeable in the human quality of the individuals; we have seen personnel development; these people have begun to think in a different way; this is all most valuable” (Fabio Diaz – Corporate Vice President, Grupo Corona).

At the individual level, the program has permitted employees like Flor Nydia Carvajal, from Bazar Americano, to make a reflection on the good and bad, theory and practice, personal values and what is socially acceptable: “One begins to read about these topics and can not help but say to one self: this appears to be quite good; one then renews these thoughts, improves them and upholds those that are good because they are personal life-time issues (...) they are examples of what goes on daily at the shop” (Flor Nydia Carvajal - Administrative Assistant, Bazar Americano). “The Program is interesting not only because it includes the employees of the company but also because the topics it covers are quite helpful to the family. That is to say, it creates conscience not only at the work and professional level but also at the personal and family level”. (Solangel Vega – Director of Human Management, Inantra Ltda.)

#### **b. Motivation of learning and acceptance of change**

The development of “Rumbo Pymes” modules has generated –inside human teams- a motivation towards learning and change as a function of personal and organizational growth..

The process of knowledge and application of the modules of the Program represents, for many employees, an original break-off in corporate life; a manifestation of change and the recognition that their support is necessary to accomplish such change, which causes a positive reaction based on the conviction that ethical strengthening entails human development that will have impact on their personal and collective future. When the incumbent convocation has been made through a planned motivation campaign and the Workshops have been delivered in accordance with the necessary collective participation, it has been possible to sensitize employees towards acceptance of change. “The sole fact of having prepared these questions makes people think, both employees and senior management. The sole fact of knowing we are working on this topic, changes people's attitude” (Juan Jose Alvarez – Manager, Central de Bandas).

Entrepreneurs and employees understand that this is a long term process that must overcome deeply in-rooted cultural resistance and anti-values of the social and family context. In fact all companies interviewed expressed their agreement on the issue that corporate ethics is related to values concerning society and family. “This is truly a cultural process; a process of attitudes; a process that requires being there every day; it is to change all habits, attitudes and customs” (Jose Gregorio Ramirez – Manager, Gestion Integral de Proyectos).

### **c. The process facilitates upsurge and consolidation of ethical leadership**

“Rumbo Pymes” has facilitated the development of ethical leadership that drives the entire organization towards an active commitment with corporate values and corporate ethical culture.

To begin with, it has potentiated and revitalized the leadership of senior executives who, when committing with the topic, have become referents to their work teams, leading to their consolidation around values as a position of belonging; of their voluntary personal commitment; of their consideration regarding the interests of the individuals and companies that interact with the company; of the respect for standing norms, both internal and external, and the adoption of decisions based on thoughtful judgment. They have become clear examples of ethical leadership based on an accurate exercise of authority. “The tool has allowed the presence of those who are ethical leaders by nature” (Patricia Arboleda – Manager, Bazar Americano).

At the same time, companies continue to consolidate integrated and autonomous work teams that share ethical leadership and evidence greater commitment to work performance, mutual trust, care of company resources, respect of regulations and upholding of a harmonic corporate climate.. “It is to consolidate a moral collective inside the organization. A collective moral leadership” (Jose Gregorio Ramirez – Manager, Gestion Integral de Proyectos).

The sponsoring and facilitator groups, Workshops and events for training and development of human resources have been favorable scenarios for the upsurge and multiplication of such leadership. “It is there that we have seen leaders, persons who have easiness to communicate, who have those principles one is looping for” (Manuel Botero, sponsor group - Marion). This case study demonstrates that 70% of participant companies believe “It was possible to identify and reinforce leaders for support of the search and preservation of ethics in the company”. Sandra Correa – Project Coordinator at GTT is of the opinion that “The program has allowed the creation of process leaders to reach agreement over issues of weakness in terms of anti-corruption aspects”.

### **d. Generation of highly committed work teams**

Working with the program has resulted in employees who are more committed and identified with the achievement of corporate goals, more responsible before the administration and the utilization/use of company assets, more conscious of the impact that sound utilization of working hours has over company's productivity, more willing to cooperate and work as a team, more capable to reach a harmonic balance between their own personal development interests and the institutional objectives of the company. “There is a perception of enthusiasm over the implementation of the Program because it creates a sense of belonging and trust base don the knowledge that there is transparency at all instances of the corporation”. (Claribel Agudelo - Chief Human Resources, Deblanco

LTDA).“We have achieved greater integration with company personnel, working climate has improved and there is a perception of a greater institutional commitment. Given the size of the organization, it is possible to notice an improvement in Communications between the different areas of the company” (Andrea Ochoa – Sales Engineer, Novakem S.A.)

At the same time, the Program reflects on management profiles more committed to the wellbeing of personnel, more willing to support their professional development, more open to employee participation in the decision making process, more respectful of compliance with internal and external regulations, more responsible regarding the legitimate interests of the employees, their value chain, their productive sector, their own country.

## **5. Results regarding Value Chain**

To allied companies, the sole fact of having developed the “Rumbo Pymes” Program is already a factor for differentiation that brings afloat – amongst the members of the group- its administrative style, its business conception, as a social long term asset and not just as an instrument for sporadic or conjuncture gains. Most important result in terms of value chain includes:

- a) The Program responds to a growing market demand for availability of ethical programs and anti-corruption strategies;
- b) It has an impact over the development of corporate ethics within the overall value chain;
- c) It strengthens the principle of social corporate responsibility.

### **a. The Program responds to a growing market demand for availability of ethical programs and anti-corruption strategies**

The participation of twelve large companies and corporate organizations in the promotion and implementation of “Rumbo Pymes” along their value chains in itself constitutes a satisfactory outcome of the Program and its dissemination strategy. “We are enrolled in this crusade because we understand that would then have higher and larger moral authority to demand, from others, what we ourselves are trying to contribute” (Jaime Sorzano – President, Colfecar).

Nevertheless, it is not easy to convince affiliate companies of those value chains of the importance and pertinence of an ethics program that is not included in their priority agenda; it takes time. “Little by little people are starting to see that it is good for business. Maybe not at a first approach, but the answer has been larger when we advise suppliers that additional scoring will be granted to those who engage in anti-corruption programs” (Nestor Rodriguez- Director, Compensar).

Acceptance of the Program by 307 companies evidences that each day is less an exception to reach the conviction that ethics are indispensable to business relationships. In fact, although 33% of participant companies are already of the opinion that ethics “has turned into a requirement to engage in Business with any large Corporation in the country and abroad”, 92% do also consider that the development of an ethics program must be a reason of preference in order to conduct business. Large allied companies are certain that this is to become an unavoidable requirement. “Very soon many will be excluded from the supplier lists of large corporations if lacking an ethics certification” (Felipe Andres Giraldo - Colceramica).

Consequently, the implementation of an ethics program along several value chains begins to be a matter of interest by other companies and chains and this encourages their mobilization towards adoption of ethics programs and instruments, which in itself constitutes an advance in the creation of a critical mass surrounding this issue country-wide. In this case-study, 88% of companies interviewed are of the opinion that “The implementation of the Program at each value chain does generate a move towards transparency”, which matches the purpose of the Program: “The basic objective is to strengthen the ethical environment and productivity and to improve business relationships in search of higher confidence. It is about ethics being incorporated, becoming a component of the day-to-day, a part of the decisions and processes of the companies” (Alma Rocio Balcazar – Director Private Sector Area, Transparencia por Colombia).

## **b. Program has an impact over the development of corporate ethics within the overall value chain**

The sum of all advances made by the various companies in development of the Program has projection over the set of value chains and is an important support for those actions being implemented by each allied company pursuant to the consolidation of transparent business environments, ruled through agreements and regulations.

In an almost unanimous manner, 92% of companies interviewed agreed that “The extension of a corporate ethics program to an entire sectors, works for the benefit of all its members”.

92%

Although the degree of progress achieved by each company depends primarily on its particular conditions and its commitment to the Program, the links established by each ally with the issue of corporate ethics and its participation in and follow-up of in convocation activities have a most valuable incidence. And despite the fact that it is yet premature to think of the structuring of ethical based differentiated value chains, there is no doubt whatsoever that there has been progress such as the articulation of the ethics program with corporate programs of different nature being implemented by allied companies and their suppliers, distributors and associates. “What we want is to create and contribute such value chain, such relationships; to have suppliers that share the same philosophy of Compensar”. (Luisa Margarita Ramirez - Procurement Manager,

Compensar). “To us, as a company, “Rumbo Pymes” has created value added of significant important to our value chain because it has brought our relationship with suppliers out of the mere commercial scope and into a development stage; one in which a large company such as Corona, worries for its network and actors to work under the same ethical and transparency guidelines. In the future, not too far away, these programs shall be an essential requirement for any lasting commercial relationship”. (Colceramica S.A.)

### **c. The Program strengthens the principle of social corporate responsibility**

The Program has contributed to the strengthening and clarification of the principle of social corporate responsibility to the interior of participant companies in terms of their value chain, competition and the country, understanding such principle within an integral approach to the sustainability of the company and its environment, framed by ethical principles and values.

Some companies have fully understood the approach of “Rumbo Pymes” over corporate ethics as a commitment that relates not solely to the business context but also to the role that companies play in the construction of a society with citizen ethics as a condition to reach institutional stability and the wellbeing of the nation “The Program entails a profit, to be reached through the construction of society, of a society that is more transparent, a society of trust” (Nestor Rodriguez – Director, Compensar).

All through the survey, 100% of companies interviewed agreed that Any type of economic activity must always be committed to collective wellbeing” and some 83% of them also agreed that “Prior to close any business deal, it is necessary to take into account the interest of may people or stakeholder groups, including competitors”.

The leadership and example of those companies allied to this program has been instrumental. Carlos Annes, Manager of Merck Sharp and Dohme highlights that transparency is a fundamental issue and one that entrepreneurial leaders have the commitment to preach through their example. A similar position is that of Grupo Corona: “It is our responsibility to exert positive influence on the environment though any interaction we have with different publics, specially suppliers and customers; this was the reason why this program fitted us perfectly, as part of the responsibility that our organization has always upheld” (Fabio Diaz – Corporate Vice President, Grupo Corona).

In a consequent manner, affiliate companies begin to bring about concrete expressions of such responsibility. “We have structured a program of social responsibility; each Project sponsors one child and, since we handle that becomes obsolete, we donate it to schools near the location of the projects, and we even go beyond that: we intend to provide tools of ethics and transparency to those children” (Yolima Restrepo- Deputy Manager, Gestion Integral de Proyectos).

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