



**HUMBOLDT-VIADRINA**  
School of Governance

# Motivating Business To Counter Corruption

A Reading List to accompany the Practitioner Handbook  
an Anti-Corruption Incentives and Sanctions for Business

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## Introduction

In order to strengthen the motivation of companies to engage in the fight against corruption, there is a need not only to underline the moral case for companies to act as good corporate citizens. It is equally important to strengthen the business case for companies to counter corruption. This can be done with a combined approach of sanctions and incentives – applied by a company's external stakeholders from the business sector, public sector, and civil society.

***Motivating Business To Counter Corruption – A Practitioner Handbook on Anti-Corruption Sanctions And Incentives*** was published by HUMBOLDT-VIADRINA School of Governance, targeting anti-corruption practitioners, change agents as well as policymakers seeking to establish, apply or benchmark effective anti-corruption sanctions and incentives for business.

This Reading List complements this Practitioner Handbook and is aimed at readers who require more details or are looking for additional context or further knowledge.

Like the Handbook, the structure of this non-exhaustive reading list is divided into a chapter on the business case to counter corruption and four successive parts:

- **Part I** contains readings regarding the importance and **role of the different stakeholder groups** in motivating business to counter corruption.
- **Part II** contains readings regarding the importance of a **dual approach of applying sanctions and incentives**.
- **Part III** provides readings on individual **legal, commercial and reputational sanctions and incentives**.
- **Part IV** provides readings on **six principles that are key to the successful application** of sanctions and incentives.

In addition to these chapters, the reading list includes three annexes that provide additional ways for stakeholders to advance anti-corruption in the business sector that aren't covered in the handbook, as they go beyond its scope:

- **Annex I: Collective Action** (for all stakeholders, but most relevant to business sector stakeholders)
- **Annex II: Campaigning & Advocacy** (for civil society stakeholders)
- **Annex III: Public Control & Supervision** of anti-corruption measures (mostly for civil society stakeholders)

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**IS THERE REALLY A BUSINESS CASE TO COUNTER CORRUPTION?**

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
International Chamber of Commerce; Transparency International; United Nations Global Compact; World Economic Forum Partnering Against Corruption Initiative	<i>Clean business is good business: The business case against corruption.</i>	<b>2008</b>
Nichols, Philip M.	<i>The business case for complying with bribery laws.</i>	<b>2012</b>
PricewaterhouseCoopers	<i>Confronting Corruption: The business case for an effective anti-corruption program</i>	<b>2008</b>
Sullivan, John D.	<i>The Moral Compass of Companies: Business Ethics and Corporate Governance as Anti-Corruption Tools</i>	<b>2009</b>
United Nations Global Compact	<i>Business against Corruption – Case Stories and Examples</i>	<b>2006</b>

## PART I: THE POWER TO MOTIVATE

### I.1. Stakeholders from the Public Sector

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
CSIS – Center for Strategic & International Studies	<i>The Costs of Corruption</i>	<b>2014</b>
Organization for Economic Co-operation and Development	<i>Strategies for Business, Government, and Civil Society to Fight Corruption in Asia and the Pacific</i>	<b>2008</b>
United Nations Office On Drugs and Crime	<i>United Nations Handbook on Practical Anti-Corruption Measures for Prosecutors and Investigators</i>	<b>2004</b>

### I.2. Stakeholders from the Business Sector

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Transparency International	<i>Global Corruption Report 2009. Corruption and the Private Sector</i>	<b>2009</b>
United Nations Global Compact	<i>Business Against Corruption, a Framework for Action</i>	<b>2011</b>

### I.3. Stakeholders from Civil Society

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Carr, Indira; Outhwaite, Opi	<i>Non-Governmental Organisations (NGOs) Fighting Corruption: Theory and Practice</i>	<b>2011</b>
Centre for Applied Studies in International Negotiations	<i>Global Anti-Corruption-Efforts: The Role of Non-Governmental Organizations.</i>	<b>2007</b>
Eigen, Peter (1998): The Role of Civil Society. In: United Nations Development Programme (Ed.): Corruption and Integrity Improvement Initiatives in Developing Countries.	<i>The Role of Civil Society</i>	<b>1998</b>
Grimes, Marcia	<i>The Conditions of Successful Civil Society</i>	<b>2008</b>

	<i>Involvement in Combating Corruption: A Survey of Case Study Evidence</i>	
Organization for Economic Co-operation and Development	<i>Fighting Corruption – What role for Civil Society?</i>	<b>2003</b>
Transparency International	<i>Corruption Fighter's Toolkit: Civil Society Experiences and Emerging Strategies.</i>	<b>2002</b>

## PART II: USING STICKS AND CARROTS

### II.1. Define anti-corruption standards

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
International Chamber of Commerce	<i>ICC Rules on Combating Corruption</i>	<b>2011</b>
Organization for Economic Co-operation and Development; United Nations Office on Drugs and Crime; The World Bank	<i>Anti-Corruption Ethics and Compliance Handbook for Business</i>	<b>2013</b>
Organization for Economic Co-operation and Development	<i>Convention on Combating Bribery of Foreign Public Officials in International Business Transactions.</i>	<b>2011</b>
Organization for Economic Co-operation and Development	<i>OECD Guidelines for Multinational Enterprises</i>	<b>2011</b>
Organization for Economic Co-operation and Development	<i>OECD Principles for Integrity in Public Procurement</i>	<b>2009</b>
Transparency International	<i>Business Principles for Countering Bribery</i>	<b>2009</b>
UK Ministry of Justice	<i>The Bribery Act 2010 – Guidance</i>	<b>2010</b>
United Nations Office on Drugs and Crime	<i>An Anti-Corruption Ethics and Compliance Programme for Business: A Practical Guide</i>	<b>2013</b>
United Nations Office on Drugs and Crime	<i>United Nations Convention against Corruption</i>	<b>2004</b>
U.S. Department of Justice; U.S. Securities and Exchange Commission	<i>A Resource Guide to the FCPA U.S. Foreign Corrupt Practices Act</i>	<b>2012</b>

## II.2. The first reaction: punish business

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Becker, Gary S.	<i>Crime and punishment, an economic approach</i>	<b>1968</b>
Basu, Kaushik	<i>Why, for a Class of Bribes, the Act of Giving a Bribe should be Treated as Legal</i>	<b>2011</b>
Lambsdorff, Johann Graf	<i>The Organization of Anticorruption – Getting Incentives Right!</i>	<b>2008</b>
Nichols, Philip M.	<i>The Psychic Costs of Violating Corruption Laws</i>	<b>2012</b>
Simpson, Sally S.	<i>Corporate Crime, Law, and Social Control</i>	<b>2002</b>
Spalding, Andrew Brady	<i>Unwitting Sanctions: Understanding Anti-Bribery Legislation as Economic Sanctions Against Emerging Markets</i>	<b>2009</b>
Transparency International	<i>Exporting Corruption? Country Enforcement of the OECD Anti-Bribery Convention, Progress Report 2012.</i>	<b>2012</b>
Baldwin, Robert; Cave, Martin; Lodge, Martin	<i>Understanding Regulation – Theory, Strategy and Practice</i>	<b>2012</b>

### II.3. A better reaction: combine punishments and rewards

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Abbink, Klaus; Serra, Danila	<i>Anti-Corruption Policies: Lessons from the Lab</i>	<b>2012</b>
Braithwaite, J	<i>Rewards and Regulation</i>	<b>2002</b>
Hammond, Scott D.	<i>Cornerstones of Effective Leniency Program</i>	<b>2004</b>
Lambsdorff, Johann Graf; Nell, Mathias	<i>Fighting Corruption with Asymmetric Penalties and Leniency</i>	<b>2007</b>
National Audit Office	<i>The use of sanctions and rewards in the public sector</i>	<b>2008</b>
Nell, Mathias	<i>Strategic Aspects of Voluntary Disclosure Programs for Corruption Offences: Towards a Design of Good Practice</i>	<b>2007</b>
Organisation for Economic Cooperation and Development	<i>Reducing the Risk of Policy Failure: Challenges for Regulatory Compliance</i>	<b>2000</b>
Schulze, Günther; Frank, Björn	<i>Deterrence versus Intrinsic Motivation: Experimental Evidence on the Determinants of Corruptibility, Economics of Governance</i>	<b>2003</b>
Simpson, Sally S.	<i>Corporate Crime, Law, and Social Control</i>	<b>2002</b>
United States Sentencing Commission	<i>US Federal Sentencing Guidelines Manual &amp; Supplement, Chapter 8- sentencing of organizations, §8B 2.1, Effective Compliance and Ethics Program (6)</i>	<b>2010</b>

## PART III: MEASURES TO INFLUENCE BUSINESS

### III.1. Categorizing sanctions and incentives

#### III.1.1. Legal sanctions and incentives

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Asian Development Bank; Organisation for Economic Co-operation and Development	<i>The Criminalisation of Bribery in Asia and the Pacific. Frameworks and Practices in 28 Jurisdictions</i>	<b>2010</b>
Garupa, Nuno; Klerman, Daniel	<i>Corruption and the optimal use of nonmonetary sanctions</i>	<b>2004</b>
Olaya, J.; Attisso, K. and Roth, A.	<i>Repairing social damage out of corruption cases: opportunities and challenges as illustrated in the Alcatel Case</i>	<b>2010</b>
Organisation for Economic Co-operation and Development; World Bank	<i>Identification and Quantification of the Proceeds of Bribery</i>	<b>2012</b>
Organisation for Economic Co-operation and Development	<i>Phase 3 Report on Implementing the OECD Anti-Bribery Convention in Japan</i>	<b>2011</b>
The World Bank, United Nations Office on Drugs and Crime	<i>Left out of the bargain - Settlements in Foreign Bribery Cases and Implications for Asset Recovery</i>	<b>2014</b>
United Nations Office on Drugs and Crime	<i>A Resource Guide on State Measures for Strengthening Corporate Integrity</i>	<b>2013</b>
U.S. Department of Justice	<i>Principles of Federal Prosecution of Business Organizations of the United States Attorneys. USAM 9-28.400-28.1100</i>	<b>1999</b>
U.S. Securities and Exchange Commission	<i>Seaboard Report of the Securities and Exchange Commission of the U.S.</i>	<b>2013</b>
Visscher, Louis T	<i>Economic Analysis of Punitive Damages</i>	<b>2009</b>

### III.1.2. Commercial sanctions and incentives

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Asian Development Bank; Organisation for Economic Co-operation and Development	<i>Curbing Corruption in Public Procurement in Asia and the Pacific</i>	<b>2006</b>
Baghir-Zada, Elvira	<i>Debarment as an Anti-Corruption Tool, in the Projects Funded by Multilateral Development Banks</i>	<b>2010</b>
Business for Social Responsibility; United Nations Global Compact	<i>Supply Chain Sustainability – A practical guide for continuous improvement</i>	<b>2010</b>
Canni, Todd J.	<i>Shoot First, Ask Questions Later: An Examination and Critique of Suspension and Debarment Practice Under the FAR, Including a Discussion of the Mandatory Disclosure Rule, the IBM Suspension, and Other Noteworthy Developments</i>	<b>2010</b>
Ford, Cristie; Hess, David	<i>Can Corporate Monitorships Improve Corporate Compliance?</i>	<b>2009</b>
Moran, Jon; Pope, Jeremy; Doig, Alan / U4 Anti-Corruption Resource Centre	<i>Debarment as an Anti-Corruption Means – A Review Report</i>	<b>2004</b>
Nell, Mathias	<i>Contracts Induced by Means of Bribery: Should They Be Void or Valid?</i>	<b>2008</b>
Stevenson, Drury D.; Wagoner, Nicholas J.	<i>FCPA Sanctions: Too Big to Debar?</i>	<b>2011</b>
Unites Nations Global Compact	<i>Fighting Corruption in the Supply Chain: A Guide for Customers and Suppliers</i>	<b>2010</b>
The World Bank	<i>Sanctioning Guidelines</i>	<b>2011</b>

### III.1.3. Reputational sanctions and incentives

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
The Advocates for Human Rights; US Human Rights Network	<i>A Practitioner's Guide to Human Rights Monitoring, Documentation and Advocacy</i>	<b>2011</b>
Leipold, Gerd	<i>Campaigning: a fashion or the best way to change the global agenda?</i>	<b>2000</b>

### III.2. Targeting companies and their representatives

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Organization for Economic Co-operation and Development	<i>Recommendation of the Council for Further Combating Bribery of Foreign Public Officials in International Business Transactions</i>	<b>2009</b>
Pieth, Mark; Low, Lucinda A.; Cullen, Peter J	<i>The OECD Convention On Bribery: A Commentary on the Convention on Combating Bribery of Foreign Public Officials in International Business Transactions of 21 November 1997</i>	<b>2006</b>
Silbey, Susan	<i>Rotten Apples, or a Rotten Barrel?</i>	<b>2009</b>

## PART IV: SIX PRINCIPLES FOR CHANGING BUSINESS BEHAVIOR

### IV.1. Impact: Be relevant and proportionate!

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Engel, Christoph; Georg, Sebastian J.; Yu, Gaoneng	<i>Symmetric vs. Asymmetric Punishment Regimes for Bribery</i>	<b>2012</b>
Kaplow, Louis; Shavell, Steven	<i>Economic Analysis of Law</i>	<b>1999</b>
Macrory, Richard B.	<i>Regulatory Justice – Making Sanctions Effective.</i>	<b>2006</b>
UK Anti-Corruption Forum	<i>Fair and Efficient Debarment Procedures</i>	<b>2007</b>

### IV.2. Communication: If nobody knows, nobody cares!

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Byrne, Elaine; Arnold, Anne-Katrin; Nagano, Fumiko	<i>Building Public Support for Anti-Corruption Efforts. Why Anti-Corruption Agencies Need to Communicate and How</i>	<b>2010</b>
Hovland, Ingie / Overseas Development Institute	<i>Successful Communication – A Toolkit for Researchers and Civil Society Organisations</i>	<b>2005</b>
Silver, Sarah	<i>A Media Relations Handbook for Non-Governmental Organizations</i>	<b>2003</b>

### IV.3. Monitoring: Trust is good, monitoring is necessary!

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Access Info Europe	<i>Anti-Corruption Transparency Monitoring Methodology: A Practical Guide to Using the Right of Access to Information for Preventing and Exposing Corruption</i>	<b>2011</b>
Camerer, Marianne / Global Integrity	<i>Measuring Public Integrity</i>	<b>2006</b>
Global Integrity; United Nations Development Programme	<i>A users' Guide to Measuring Corruption</i>	<b>2008</b>

Lagunes, Paul	<i>Centralised Auditing as an Anti-Corruption Mechanism</i>	<b>2012</b>
Organisation for Economic Co-operation and Development	<i>Bribery Awareness Handbook for Tax Examiners</i>	<b>2009</b>
Serra, Danila	<i>Monitoring Corruption, from the “Top” or the “Bottom”? Evidence from a Bribery Experiment</i>	<b>2008</b>
United Nations Global Compact	<i>Reporting Guidance on the 10th Principle Against Corruption</i>	<b>2009</b>

#### IV.4. Multiplication: Seek allies!

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Weimer, Markus / U4 Anti-Corruption Resource Centre	<i>Anti-Corruption and the Role of Chambers of Commerce and Business Associations</i>	<b>2007</b>
The World Bank	<i>Cross-Debarment Accord Steps Up Fight Against Corruption</i>	<b>2010</b>
The World Bank	<i>Building the Capacity of Business Membership Organizations: Guiding Principles for Project Managers.</i>	<b>2005</b>

#### IV.5. Responsibility: Create a snowball effect!

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Leroy, Anne-Marie; Fariello, Frank / World Bank	<i>The World Bank Group Sanctions Process and Its Recent Reforms</i>	<b>2012</b>
Transparency International	<i>Anti-Bribery due Diligence for Transactions</i>	<b>2012</b>
Transparency International UK	<i>Adequate Procedures - Guidance to the UK Bribery Act 2010</i>	<b>2010</b>

#### IV.6. Evaluation: Are the measures working?

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Gertler, Paul J.; Martinez, Sebastian; Premand, Patrick;	<i>Impact Evaluation in Practice</i>	<b>2011</b>

Rawlings, Laura B.; Vermeersch, Christel M. J. / The World Bank		
Heeks, Richard / U4 Anti-Corruption Resource Centre	<i>Understanding Success and Failure of Anti-Corruption Initiatives</i>	<b>2011</b>
International Federation of Red Cross and Red Crescent Societies	<i>Project/Programme Monitoring and Evaluation (M&amp;E) Guide</i>	<b>2011</b>
International Finance Corporation; Department for International Development; Gesellschaft für Technische Zusammenarbeit	<i>The Monitoring and Evaluation Handbook – For Business Environment Reform</i>	<b>2008</b>
Johnsøn, Jesper; Hechler, Hannes; De Sousa, Luís; Mathisen, Harald / U4 Anti-Corruption Resource Centre	<i>How to Monitor and Evaluate Anti-Corruption Agencies: Guidelines for Agencies, Donors, and Evaluators</i>	<b>2011</b>
Organisation for Economic Cooperation and Development	<i>DAC Guidelines and Reference Series: Quality Standards for Development Evaluation</i>	<b>2010</b>
United Nations Development Programme	<i>Handbook on Planning, Monitoring and Evaluating, for Development Results</i>	<b>2009</b>

## Annex I: Collective Action

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Pieth, Mark (Ed.)	<i>Collective Action, Innovative Strategies to Prevent Corruption</i>	<b>2012</b>
World Bank Institute	<i>Fighting Corruption Through Collective Action: A Guide for Business</i>	<b>2008</b>

## Annex II: Campaigning & Advocacy

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
The Advocates for Human Rights; US Human Rights Network	<i>A Practitioner's Guide to Human Rights Monitoring, Documentation and Advocacy</i>	<b>2011</b>
CIVICUS (World Alliance for Citizen Participation)	<i>State of Civil Society 2013: Creating an Enabling Environment</i>	<b>2013</b>
Coalition for the International Criminal Court	<i>NGO Media Outreach: Using the Media as an Advocacy Tool</i>	<b>2003</b>
International Finance Corporation	<i>Strategic Communications for Business Environment Reforms: A Guide to Stakeholder Engagement and Reform Promotion</i>	<b>2007</b>
Leipold, Gerd	<i>Campaigning: a fashion or the best way to change the global agenda?</i>	<b>2000</b>
Querijero, Nelson J.V.B.; Amorado, Ronnie V. / United Nations Research Institute for Social Development	<i>Transnational Civil Society Movements - The State of Anticorruption Efforts</i>	<b>2006</b>

### Annex III: Public control & Supervision of Anti-Corruption Measures

<b>Author / Organization</b> <i>(listed in alphabetical order)</i>	<b>Title</b>	<b>Year</b>
Holloway, Richard / Impact Alliance	<i>NGO Corruption Fighters' Resource Book. How NGOs Can use Monitoring and Advocacy to Fight Corruption</i>	<b>2006</b>
Transparency International USA	<i>Procurement Monitoring Guide, a Tool for Civil Society</i>	<b>2012</b>
U4 Anti-Corruption Resource Centre	<i>UNCAC and the participation of NGOs in the fight against corruption</i>	<b>2008</b>
UNCAC Coalition	<i>Civil Society Guide: UNCAC and the Private Sector</i>	<b>2013</b>