CORPORATE SURVEY FOR

ORGANIZATION DESIGN AND CORPORATE PERFORMANCE

Sponsored by the Sloan Foundation Redefining the Corporation Project

FIRM: ____________________________________________________________

As mentioned, your answers will be kept confidential.

The survey may be returned in the enclosed envelope.

A $500.00 donation will be divided among the following charities in proportion to the votes each receives. By participating in this survey, you can vote for the charity you wish to receive a portion of the $500.00 donation.

___ International Red Cross  ___ National Endowment for the Arts
___ Humane Society of America  ___ American Cancer Society
___ Habitat for Humanity  ___ Sierra Club
___ The Nature Conservancy  ___ Doctors Without Borders
___ Other (please specify)__________________________________________

Name, title and address for the person filling out this survey (or attach business card):

_________________________________________________________________
_________________________________________________________________
_________________________________________________________________

Would you like to receive an executive report of the survey results?  ☐ YES  ☐ NO

Survey conducted by Virginia W. Gerde, Department of Management, Pamplin College of Business, Virginia Tech, Blacksburg, Virginia 24061-0233
SECTION 1: THE BOARD OF DIRECTORS

1. Is there a board committee, or an appointed board member, to represent the concerns of the following (check all that apply):
   a. Product quality or customer issues or concerns? □ YES □ NO
   b. Supplier concerns or issues? □ YES □ NO
   c. Employee concerns or issues? □ YES □ NO
   d. The natural environment or environmental issues? □ YES □ NO
   e. Public interest or public responsibility? □ YES □ NO
   f. The community or communities in which your firm operates? □ YES □ NO
   g. Minority issues or concerns? □ YES □ NO
   h. Issues or concerns involving women? □ YES □ NO

2. Is there a committee or a member of the Board of Directors responsible for scanning the environment for social trends or social issues? □ YES □ NO

3. Is there an outside member of the board from any of the following groups (check all that apply):
   a. A trade group or trade association? □ YES □ NO
   b. A consumer group? □ YES □ NO
   c. An employee public interest group or labor union? □ YES □ NO
   d. An environmental group? □ YES □ NO
   e. A public-interest group? □ YES □ NO
   f. The community or communities in which your firm operates? □ YES □ NO
   g. A non-profit, minority-issues group? □ YES □ NO
   h. A non-profit, women’s-issues group? □ YES □ NO

SECTION 2: CORPORATE STRUCTURE

1. Is there a department or functional area specifically responsible for promoting ethics or social responsibility within your firm? □ YES □ NO

2. Is there a member of top management specifically responsible for ethics or social responsibility? □ YES □ NO
   A. If YES, who is this person and his/her title? ____________________________
   B. To whom does this person report? ___________________________________

3. Is there a management committee for ethics and/or social responsibility? □ YES □ NO
   A. If YES, are non-management employees on the committee? □ YES □ NO
   B. And, are people from outside your firm on the committee? □ YES □ NO

4. Is there a position or department (e.g. strategic planning) within your firm responsible for scanning the corporate social environment for social trends or social issues? □ YES □ NO

5. Does your firm conduct an ethics-compliance audit or social audit? □ YES □ NO

6. Is there an ethics hotline within your firm for employees to ask questions or to report possible ethics violations? □ YES □ NO
SECTION 3: STRATEGIC PLANNING

1. How are the following constituencies included in the strategic planning process? (check all that apply)

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<th>Constituency</th>
<th>Not at all</th>
<th>Considered implicitly</th>
<th>Mentioned explicitly and discussed</th>
<th>Consulted with prior to and/or during process</th>
<th>Other (Specify)</th>
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<td>Customers?</td>
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2. Please describe or attach a copy of your firm’s corporate credo, mission, or vision statement.

__________________________________________________________________________________________________________

__________________________________________________________________________________________________________

__________________________________________________________________________________________________________

__________________________________________________________________________________________________________

SECTION 4: CORPORATE MISSION AND POLICIES

1. How is the corporate credo, mission or vision statement communicated to the members of your firm?
   a. Informal CEO communications such as speeches, conversations, interviews, or videos? □ YES □ NO
   b. General firm publications such as company magazines, newsletters, or annual reports? □ YES □ NO
   c. Specialized publications such as values booklets or posters? □ YES □ NO
   d. Training programs such as professional development classes, annual meetings, or other programs? □ YES □ NO
   e. Reliance on informal mechanisms? □ YES □ NO

   If YES to informal mechanisms, please specify:
   __________________________________________________________________________________________
   __________________________________________________________________________________________
3. Does your firm have an organization-wide, **formal** (not informal) open-door policy for employees to speak with managers? □ YES □ NO

4. Are managers’ compensation, evaluation, and incentives based upon extra-economic goals (such as customer satisfaction, employee evaluations, or public relations) as well as economic goals? □ YES □ NO

5. Please describe or attach a copy of your firm’s code of ethics or code of conduct. If your firm has adopted a recognized code of ethics or set of principles such as the Caux Roundtable *Principles for Business*, the Organization for Economic Cooperation and Development (OECD) *Principles for Multinational Enterprises*, or the International Chamber of Commerce (ICC) *Business Charter for Sustainable Development*, please indicate so in the space below.

______________________________________________________________
______________________________________________________________
______________________________________________________________
______________________________________________________________
______________________________________________________________

6. How is the code of ethics or code of conduct communicated to the members of your firm?
   a. Informal CEO communications such as speeches, conversations, interviews, or videos? □ YES □ NO
   b. General firm publications such as company magazines, newsletters, or annual reports? □ YES □ NO
   c. Specialized publications such as values booklets or posters? □ YES □ NO
   d. Training programs such as professional development classes, annual meetings, or other programs? □ YES □ NO
   e. Reliance on informal mechanisms?
      If YES to informal mechanisms, please specify:
      ________________________________________________________________
      ________________________________________________________________
      ________________________________________________________________
      ________________________________________________________________

THANK YOU! I appreciate the time you took to fill out this survey. Please return the survey and any additional information you would like to include (e.g., a copy of your firm’s credo, mission statement, vision statement, code of ethics, statement of business principles, or code of conduct).
April 21, 1998

Peter D. Staple  
Vice President and General Counsel  
ALZA Corporation  
950 Page Mill Road, P.O. Box 10950  
Palo Alto, California  94088-3470

Dear Peter Staple:

I am requesting your assistance in completing a research project examining how organizations are structured to promote ethics and corporate social responsibility. This survey is part of my doctoral dissertation research at Virginia Tech. I came to study management and business ethics at Virginia Tech by way of Princeton University and University of Virginia. I would greatly appreciate your filling out the survey enclosed and returning it to me as soon as possible and no later than May 30, 1998.

The survey will take approximately 15 minutes to complete. When you are done, please send the survey back to me in the enclosed envelope.

By participating in this survey, you can vote for the charity you wish to receive a portion of a $500.00 donation. I have listed several charitable organizations on the cover sheet of the survey, and the donation will be apportioned among the charities based on the votes each receives. If you would like an executive report on the results of the study, please indicate so on the cover sheet.

All individual answers will be kept completely confidential. Reported results will include only a summary of the data, so there is no way your answers can be connected directly to you or your firm. This study has received the approval of the Human Subjects Committee, Institutional Review Board, of the Research and Graduate Studies Division at Virginia Tech.

Your participation in this study is very much appreciated! Thank you in advance for taking the time to complete the survey. If you have any questions or comments, please do not hesitate to contact me [phone: (540) 231-4075; fax: (540) 231-3076; or, email: vgerde@vt.edu].

Sincerely,

Virginia W. Gerde
APPENDIX 2: FINAL SURVEY FORM

SURVEY COVER LETTER

June 1, 1998

Mr. Donald C. Ewigleben
Vice President of the Environment and Public Affairs
Echo Bay Mines
6400 S. Fiddler’s Green Circle, Suite 1000
Englewood, Colorado 80111-4957

Dear Mr. Ewigleben:

I am requesting your assistance in completing a research project examining how organizations are structured to promote ethics and corporate social responsibility. This survey is part of my doctoral dissertation research at Virginia Tech. I came to study management and business ethics at Virginia Tech by way of Princeton University and University of Virginia. I would greatly appreciate your filling out the survey enclosed and returning it to me in the enclosed envelope. The survey will only take approximately 15 minutes to complete.

By participating in this survey, you can vote for the charity you wish to receive a portion of a $500.00 donation. I have listed several charitable organizations on the cover sheet of the survey, and the donation will be apportioned among the charities based on the votes each receives. If you would like an executive report on the results of the study, please indicate so on the cover sheet.

All individual answers will be kept completely confidential. Reported results will include only a summary of the data, so there is no way your answers can be connected directly to you or your firm. This study has received the approval of the Human Subjects Committee, Institutional Review Board, of the Research and Graduate Studies Division at Virginia Tech.

Your participation in this study is very much appreciated! Thank you in advance for taking the time to complete the survey. If you have any questions or comments, please do not hesitate to contact me [phone: (540) 231-4075; fax: (540) 231-3076; or, email: vgerde@vt.edu].

Sincerely,

Virginia W. Gerde