Questionnaire[1]

Questionnaire on corporate rules in a sales context

- You can only participate in this survey if you currently **work in sales**.
- Please take **15 to 20 minutes** to complete the following questionnaire.
- As a thank you for your participation throughout the entire survey, you will receive a **fix payment of 10€**. If you like to receive the payment, please enter your PayPal e-mail address or IBAN at the end of the questionnaire. Naturally, this data will not be associated with the information you provided in the questionnaire. It will be used only for payment purposes, and deleted immediately after completion of the project.
- All information will only be collected for scientific research purposes and will be treated as **strictly confidential** and **anonymous**. Please answer the questions truthfully.
- We are interested in your personal opinion. Therefore, please indicate **how you would actually behave** and **not how you should behave**. There are no right or wrong answers.
- Please answer as many questions as possible. Approximate information is more valuable than an incomplete questionnaire.
- The questions in this questionnaire all refer to the perception of the respective aspects in your company.
- If you have any questions, please do not hesitate to contact us. You can reach us by phone: XXX or by e-mail: xxx**.**

We thank you for your participation in this scientific study.

[1] Since the data was collected in an online survey, only a web version is available for the original survey. However, the version presented here corresponds to the web version in terms of both content and the order of questions. Only the layout is slightly different: thus, the arrangement of the different groups of questions on this questionnaire does not correspond to the original version. This is due to limited space on the sheet in DIN A4 format. Moreover, the web version includes the numbers as well as all definitions of the 7-rating-scale, whereas this paper version only provides the definition of both end points and the middle point.

Please enter your gender.

☐ male ☐ female ☐ not specified

How old are you?
(in years)

☐ under 25 ☐ 25-29 ☐ 30-39

☐ 40-55 ☐ older than 55 ☐ not specified

Which position do you occupy in the company?

☐ Customer consultant / Salesperson

☐ Lower management level
(team management, project management)

☐ Middle management level
(Head of Division, Head of Department)

☐ Upper management level
(Executive Board/Management Board)

☐ Other: ______________________

☐ not specified

How long have you been working in your current position?

☐ less than one year ☐ 1-3 years ☐ 3-10 years

☐ more than 10 years ☐ not specified

How long have you been working in your company?

☐ less than one year ☐ 1-3 years ☐ 3-10 years

☐ more than 10 years ☐ not specified

How many employees does your company have?

☐ up to 100 ☐ 100-300 ☐ 300-1.000

☐ 1.000-3.000 ☐ 3.000 or more ☐ I don’t know

Please indicate the approximate amount of your company’s annual sales (in Mio. Euro)

☐ up to 1 ☐ 1-2 ☐ 2-10

☐ 10-250 ☐ 250-1.000 ☐ 1.000-5.000

☐ more than 5.000 ☐ I don’t know

What is your company’s main area of business?

☐ Automobile industry	☐ Chemistry / Pharma	☐ Energy / Disposal
☐ Financial service	☐ Trade / Consumer goods	☐ IT / Telecommunications
☐ Mechanical engineering	☐ Other: ____________	☐ I don’t know

What legal form does your company have?

☐ Listed stock corporation (**AG**) or Societas Europaea (**SE**)

☐ Non-listed stock corporation (**AG**) or Societas Europaea (**SE**)

☐ private limited company (**GmbH** or **GmbH & Co. KG**)

☐ Institute of Public Law (**AdöR**)

☐ Registered Cooperative (**eG**)

☐ Registered merchant (**e.K.)**

☐ Partnership under civil law (**GbR**)

☐ Limited partnership (**KG**)

☐ General partnership (**OHG**)

☐ Other: ____________________

☐ I don’t know

Which of the following statements apply to the ownership structure of your employer?
(Multiple selections possible)

A significant portion of the company's shares is ...

☐ ... owned by financial investors.	☐ ... in possession of the management.
☐ ...owned by the founding family.	☐ ...publicly owned.
☐ ...in free float.	☐ Other: ___________________
☐ I don’t know	

Case studies

The two cases described below present a real-life situation. Please read the facts carefully before answering the related questions. Try to picture these situations from the viewpoint of an employee of the company you currently work for, and please indicate how you would actually behave in such a situation.

Case 1:

You are about to close a lucrative deal. Suddenly, it turns out that this deal does not meet the environmental standards of your company. However, the noncompliance with these standards would not be communicated.

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I would close the lucrative deal.	☐	☐	☐	☐	☐	☐	☐
Many of my colleagues would close the lucrative deal if they were in my situation.	☐	☐	☐	☐	☐	☐	☐

Case 2:

You are selling a product to a customer. Suddenly, it turns out that the customer does not have the technical infrastructure to exploit the full potential of the product. However, the customer is not aware of this, and will not be informed about it. You might offer the customer an alternative product which is cheaper and more suitable. However, it has a much lower profit margin. Nevertheless, the sales code in place stipulates that no relevant information be withhold from the customer.

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I would only offer the customer the high-priced product.	☐	☐	☐	☐	☐	☐	☐
Many of my colleagues would offer the customer only the high-priced product, if they were in my place.	☐	☐	☐	☐	☐	☐	☐

Definitions/Explanations

Please note the two concepts below and their respective definition. They are important for the questions that follow Please read the definitions carefully. If necessary, you may re-access them on the following pages.

Corporate rules:	In every company, employees are confronted with guidelines and instructions on how to behave. These guidelines and instructions are derived from external general standards (e.g. laws), and are often supplemented by internal rules established voluntarily and additionally. The **entirety of all relevant regulations, codes of conduct and laws** are referred to in this questionnaire as corporate rules.
Compliance:	Compliance refers to the extent to which employees comply with corporate rules.

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I feel well informed about corporate rules.	☐	☐	☐	☐	☐	☐	☐
I consider the corporate rules useful.	☐	☐	☐	☐	☐	☐	☐
I consider the corporate rules appropriate.	☐	☐	☐	☐	☐	☐	☐
I consider it necessary that internal corporate rules are available on top of legal regulations.	☐	☐	☐	☐	☐	☐	☐

What do you think is the reason that corporate rules exceeding the legal frame are established?
(Multiple selection possible)

☐ Avoidance of financial risks

☐ Avoidance of reputational damage

☐ Improvement of reputation

☐ Establishment of an ethical corporate culture

☐ Assuming corporate responsibility

☐ Other: ____________________

☐ I don’t know

Does your company provide a summary of corporate rules, e.g. in the form of a code of conduct?

☐ yes ☐ no ☐ I don’t know

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
My superiors comply with corporate rules.	☐	☐	☐	☐	☐	☐	☐
My superiors communicated in a credible way that I have to comply with corporate rules.	☐	☐	☐	☐	☐	☐	☐
My superiors communicated in a convincing manner that compliance with corporate rules is more important than financial success.	☐	☐	☐	☐	☐	☐	☐
I find it difficult to comply with all corporate rules at work.	☐	☐	☐	☐	☐	☐	☐
My colleagues find it difficult to comply with all corporate rules at work.	☐	☐	☐	☐	☐	☐	☐
If I strictly comply with corporate rules, it is often difficult for me to fulfil the expectations of my immediate superior.	☐	☐	☐	☐	☐	☐	☐
The instructions of my immediate superior are sometimes difficult to reconcile with corporate rules.	☐	☐	☐	☐	☐	☐	☐
In everyday business, I am often confronted with situations where noncompliance with corporate rules would give me advantages (e.g. increasing short-term financial success, saving working time, etc.).	☐	☐	☐	☐	☐	☐	☐

Does your company set individual targets or agrees on personal targets with you?

☐ yes ☐ no ☐ I don't know

If yes:

During what period do you usually have to realize these targets?

☐ shorter than monthly ☐ monthly ☐ quarterly

☐ annually ☐ longer than annually ☐ I don't know

Do you receive a monetary reward for the achievement of targets?

☐ yes ☐ no ☐ not specified

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
The targets are hardly achievable.	☐	☐	☐	☐	☐	☐	☐
The targets are hardly achievable if I strictly comply with corporate rules.	☐	☐	☐	☐	☐	☐	☐
I may speak out against targets which are too demanding.	☐	☐	☐	☐	☐	☐	☐
I am actively involved in setting my targets.	☐	☐	☐	☐	☐	☐	☐
I have a very strong influence on my targets.	☐	☐	☐	☐	☐	☐	☐
When setting my targets, my immediate superior asks for my opinion.	☐	☐	☐	☐	☐	☐	☐
I do not have a chance to comment on my targets.	☐	☐	☐	☐	☐	☐	☐

Do you receive a performance-based pay?

☐ yes ☐ no ☐ not specified

If yes:

	Very low (1)	(2)	(3)	Neither low, nor high (4)	(5)	(6)	Very high (7)
How high do you perceive the share of performance-based pay in relation to your regular total pay?	☐	☐	☐	☐	☐	☐	☐

In the past year, how high was the share of your performance-based pay in regular total pay?

__________ %

Which factors influence your performance-based pay?
(Multiple selection possible)

☐ Quantitative personal sales success (e.g. own turnover or sold quantities)

☐ Quantitative sales success of a larger unit, e.g. of the segment, the entire company, etc. (e.g. measured by profit or number of units sold)

☐ Qualitative personal sales success (e.g. assessment of consulting quality, customer satisfaction or similar)

☐ Other financial indicators

☐ Other non-financial aspects

☐ Other: ____________________

☐ I don't know

For which period do you receive the performance-based pay?

☐ shorter than monthly ☐ monthly ☐ quarterly

☐ annually ☐ longer than annually ☐ I don't know

Does the same payment scheme also apply to your co-workers?

☐ yes ☐ no ☐ I don't know

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I am motivated by the performance-based pay	☐	☐	☐	☐	☐	☐	☐

It is sometimes difficult to reconcile incentives form performance-based pay with the compliance of corporate rules.	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I consider the performance-related pressure as high (e.g. due to performance-based pay, targets, performance thresholds, rankings, etc.).	☐	☐	☐	☐	☐	☐	☐
Short-term financial success is valued more than other goals (e.g. long-term customer satisfaction, sustainability).	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
Noncompliance with some corporate rules may be allowable for employees with my job.	☐	☐	☐	☐	☐	☐	☐
Noncompliance with some corporate rules may be allowable for employees with my job if…							
... it is the only way to achieve the targets.	☐	☐	☐	☐	☐	☐	☐
... the success of the company can be increased.	☐	☐	☐	☐	☐	☐	☐
... these are rules imposed by the company itself, i.e. which are not based on legal requirements.	☐	☐	☐	☐	☐	☐	☐
Compliance with corporate rules is always more important to me than sales success.	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
If I forego a lucrative deal, because this violates some corporate rules...							
... my immediate superior will praise me for this behavior	☐	☐	☐	☐	☐	☐	☐
... my immediate superior will be angry.	☐	☐	☐	☐	☐	☐	☐
… my immediate superior will attribute this to a lack of commitment.	☐	☐	☐	☐	☐	☐	☐
My immediate superior does not want to be informed about any violations of corporate rules.	☐	☐	☐	☐	☐	☐	☐
My immediate superior tolerates violations of corporate rules if they contribute to her/his personal success.	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
Many of my colleagues have already deviated from corporate rules.	☐	☐	☐	☐	☐	☐	☐
Some of my colleagues regularly deviate from corporate rules.	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
I am aware of possible consequences/sanctions in case of guideline violation.	☐	☐	☐	☐	☐	☐	☐
I consider the possible consequences/sanctions for violation of corporate rules appropriate.	☐	☐	☐	☐	☐	☐	☐
Any violation of rules that is discovered will be severely punished in my company.	☐	☐	☐	☐	☐	☐	☐
I feel a strong sense of belonging to my company.	☐	☐	☐	☐	☐	☐	☐
I think that my values match those of my company.	☐	☐	☐	☐	☐	☐	☐

I am proud to be part of my company.	☐	☐	☐	☐	☐	☐	☐
Even if it were advantageous for me, I would not find it appropriate to leave my company.	☐	☐	☐	☐	☐	☐	☐
I am very satisfied with my work.	☐	☐	☐	☐	☐	☐	☐
I am very satisfied with the remuneration for my work.	☐	☐	☐	☐	☐	☐	☐
I consider the working atmosphere in my company pleasant.	☐	☐	☐	☐	☐	☐	☐
At work, I often feel unjustly treated.	☐	☐	☐	☐	☐	☐	☐
I have the impression that many of my colleagues feel unjustly treated at work.	☐	☐	☐	☐	☐	☐	☐

Does your company have a compliance officer?

☐ yes ☐ no ☐ I don’t know

Does your company have an independent compliance department?

☐ yes ☐ no ☐ I don’t know

<u>If compliance officer and/or department exist:</u>

To what extent do you agree with the following statements?	Very low (1)	(2)	(3)	Neither low, still high (4)	(5)	(6)	Very high (7)
The Compliance Officer or the Compliance Department...							
... is an important contact for me.	☐	☐	☐	☐	☐	☐	☐
... supports me in the performance of my daily work.	☐	☐	☐	☐	☐	☐	☐
... enjoys a good reputation among the employees in my company.	☐	☐	☐	☐	☐	☐	☐
... is hindering me in my daily business.	☐	☐	☐	☐	☐	☐	☐

<u>If neither a compliance officer nor department exist:</u>

To what extent do you agree with the following statements?	Very low (1)	(2)	(3)	Neither low, still high (4)	(5)	(6)	Very high (7)
I think further expanding our compliance infrastructure would make a lot of sense.	☐	☐	☐	☐	☐	☐	☐

Are you aware of any discovered violations of corporate rules in your company?

☐ yes ☐ no ☐ I don't know

If yes:

To what extent do you agree with the following statements?	Very low (1)	(2)	(3)	Neither low, still high (4)	(5)	(6)	Very high (7)
The violations discovered were solved consistently at that time	☐	☐	☐	☐	☐	☐	☐
The violations discovered were punished consistently at that timte	☐	☐	☐	☐	☐	☐	☐

Is it possible to report (hereinafter: reporting option) violation against corporate rules? (e.g. whistle blower system, internal team compliance officer, ombudsman, etc.)

☐ yes ☐ no ☐ I don't know

If yes:

What are the forms of reporting violation of corporate rules? (Multiple selections possible)

☐ Anonymous electronic reporting interface

☐ non-anonymous electronic reporting interface

☐ Direct contact person (in own department)

☐ Direct contact person (central department)

☐ Other: ____________________

☐ I don't know

To what extent do you agree with the following statements?	Very low (1)	(2)	(3)	Neither low, still high (4)	(5)	(6)	Very high (7)
I am willing to use these options if I observe clear violation of the rules.	☐	☐	☐	☐	☐	☐	☐
The majority of my colleagues is willing to use these options if they observe clear violation of the rules.	☐	☐	☐	☐	☐	☐	☐
As long as there are no particularly serious violations of corporate rules,..							
... I consider the reporting of violations inappropriate.	☐	☐	☐	☐	☐	☐	☐
... most of my colleagues consider the reporting of violations inappropriate.	☐	☐	☐	☐	☐	☐	☐

If no:

To what extent do you agree with the following statements?	Very low (1)	(2)	(3)	Neither low, still high (4)	(5)	(6)	Very high (7)
I find it very useful to set up an effective reporting system.	☐	☐	☐	☐	☐	☐	☐

To what extent do you agree with the following statements?	Do not agree at all (1)	(2)	(3)	Neither agree, nor disagree (4)	(5)	(6)	Fully agree (7)
It is morally right to harm an innocent person if harming them is a necessary means to helping several other innocent people.	☐	☐	☐	☐	☐	☐	☐
If the only way to ensure the overall well-being and happiness of the people is through the use of political oppression for a short, limited period, then political oppression should be used.	☐	☐	☐	☐	☐	☐	☐
It is permissible to torture an innocent person if this would be necessary to provide information to prevent a bomb going off that would kill hundreds of people.	☐	☐	☐	☐	☐	☐	☐
Sometimes it is morally necessary for innocent people to die as collateral damage—if more people are saved overall.	☐	☐	☐	☐	☐	☐	☐

Remuneration and concluding remarks

As a thank you for your participation throughout the entire survey, you will receive a fix payment of €10. If you like to receive the payment, please enter your PayPal e-mail address or bank account details below. Naturally, this data will not be associated with the information you provided in the questionnaire.

EITHER PayPal

PayPal e-mail address: ________________________

OR account details

account holder: ________________________

IBAN: ________________________

credit institute: ________________________

Do you have any further comments? Please feel free to share them with us:

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Thank you for taking the time to complete the questionnaire. We greatly appreciate your participation and support!

If you have indicated your PayPal or bank details on the previous page, you will receive the payment of 10,- € within the next 10 days.

You can now close the browser window.