

Welcome to the New National Employee Stock Ownership Plan Survey!

You are invited to participate in a research study that is being conducted by Rutgers University's Institute for the Study of Employee Ownership and Profit Sharing, in the School of Management and Labor Relations at Rutgers University (administered by research fellows Jungook Kim, Dan Weltmann, and Ed Carberry). The purpose of this research is to learn about the experiences and attitudes of employees at leading American companies with Employee Stock Ownership Plan (ESOP) and other equity compensation plans.

This research is ANONYMOUS. Anonymous means that we will record no information about you that could identify you. There will be no linkage between your identity and your response in the research. This means that we will not record your name, address, phone number, date of birth, etc. If you agree to take part in the study, you will be assigned a random code number that will be used on each test and the questionnaire. Your name will not appear anywhere on the survey and there will be no way to link your responses back to you. Therefore, data collection is anonymous.

The research team and the Institutional Review Board at Rutgers University are the only parties that will be allowed to see the original data, except as may be required by law. Your company will get the data only after the research team removes all the information that can be used to identify individuals. If a report of this study is published, or the results are presented at a professional conference, only group results will be stated. All study data will be kept for at least three years.

There are no foreseeable risks to participation in this study. In addition, you may receive no direct benefit from taking part in this study.

Participation in this study is voluntary. You may choose not to participate, and you may withdraw at any time during the study procedures without any penalty to you. In addition, you may choose not to answer any questions with which you are not comfortable.

If you have any questions about the study or study procedures, you may contact

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If you have any questions about your rights as a research subject, please contact an IRB Administrator at the Rutgers University, Arts and Sciences IRB:

Institutional Review Board, Rutgers University, the State University of New Jersey
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New Brunswick, NJ 08901
Phone: 732-235-2866
Email: humansubjects@orsp.rutgers.edu

PLEASE WRITE THE SERIAL NUMBER OF YOUR ANSWER SHEET HERE.

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HEREAFTER, PLEASE USE THE SEPARATE SCANTRON ANSWER SHEET TO MARK YOUR RESPONSES.

1. The following questions are about the basic aspects of your job.

a. Which of the following best describes your type of job?

- ① Production, maintenance, or delivery work (including production supervisors)
- ② Administrative support staff (e.g., clerical, secretarial, record keeping)
- ③ Professional/technical staff (e.g., engineering, finance, marketing, human resources)
- ④ Sales staff
- ⑤ Customer service staff
- ⑥ Management (including department heads, mid-level managers, and executive)

b. If you answered “Management”, would you say you are a part of:

Lower management ①	Middle management ②	Upper management ③
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c. As an official part of your job, do you supervise the work of other employees?

Yes ①	No ②
If “Yes,” go to 1. d.	If “No,” go to 1. e.

d. If you answered “Yes”, how many employees do you supervise?

1~4 ①	5~9 ②	10~14 ③	15~19 ④	20~29 ⑤	30~59 ⑥	60 or more ⑦
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e. Approximately how many other employees report directly to the supervisor or manager who oversees your work?

1~4 ①	5~9 ②	10~14 ③	15~19 ④	20~29 ⑤	30~59 ⑥	60 or more ⑦
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f. On this job, are you a member of a labor union or of an employee association similar to a union?

Yes ①	No ②
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g. On this job are you covered by a union or employee association contract?

Yes ①	No ②
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h. How would you describe your personal experience with the union at your (company/ organization)? Has it been (LEAVE BLANK WHEN NOT APPLICABLE);

Very bad ①	Bad ②	Neither good nor bad ③	Good ④	Very Good ⑤
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i. How long have you worked for this company, at any location or job?

0~1 years ①	2~4 years ②	5~9 years ③	10~19 years ④	20 or longer ⑤
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j. What is your pay category?

Hourly ①	Salaried ②
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k. About how many hours do you usually work at your job each week?
(Please answer based on what is typical for you including all shifts.)

Less than 30 hours ①	31-35 hours ②	36-40 hours ③	41~45 hours ④	46~50 hours ⑤	More than 50 hours ⑥
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l. How many promotions have you received since beginning work at this organization?
Promotion means an advancement that entails an increase in both responsibility and pay.

One ①	Two ②	Three or more ③	None ④
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m. Are you closely supervised, or do you work fairly independently of close supervision? On a scale of 1 to 10, rate the degree to which you are closely supervised:

Work independently of close supervision ①	②	③	④	⑤	⑥	⑦	⑧	⑨	Closely supervised ⑩
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- n. In your job, do you normally work as part of a group or team, or do you work mostly on your own?

Work as part of a group or team ① Work mostly on my own ②

If you chose “①,” go to 1. o. If you chose “②,” go to 1. q.

- o. If you normally work as part of a group or team, how many people work in that group or team?

1~4 ①	5~9 ②	10~14 ③	15~19 ④	20~29 ⑤	30~59 ⑥	60 or more ⑦
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- p. How much discretion does your group or team have over such decisions as methods of work, task schedules, assignment of members to different tasks, and feedback about group performance, etc.?

No discretion at all ①	②	③	Some discretion ④	⑤	⑥	A great deal of discretion ⑦
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- q. Some companies have organized workplace decision-making in ways to get more employee input and involvement. Are you personally involved in any team, committee, or task force that addresses issues such as product quality, cost cutting, productivity, health and safety, or other workplace issues?

Yes ① No ②

- r. If you answered “Yes”, does this team, committee, or task force have members only from your own department or function, or does it include members from departments with different functions?

- ① Only from my own department or function
② Includes members from other departments or functions

- s. About how many days have you been absent from work in the last six months (not counting vacation)?

0 day ①	1~2 days ②	3~5 days ③	6~10 days ④	11~20 days ⑤	More than 20 days ⑥
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2. The next set of items deals with various aspects of your job. Each item names some aspect of your present job. Please indicate how satisfied or dissatisfied you are with it.

Completely satisfied				Completely unsatisfied
①	②	③	④	⑤

- a. The physical work conditions
- b. The freedom to choose your own method of working
- c. Your fellow workers
- d. The recognition you get for good work
- e. Your immediate boss
- f. The amount of responsibility you are given
- g. Your rate of pay
- h. Your opportunity to use your abilities
- i. Industrial relations between management and workers in your firm
- j. Your chance of promotion
- k. The way your firm is managed
- l. The attention paid to suggestions you make
- m. Your hours of work
- n. The amount of variety in your job
- o. Your job security

3. Please indicate how you agree or disagree to the statements below

Completely disagree				Completely agree
①	②	③	④	⑤

- a. I generally say good things about this firm even when other people criticize it.
- b. I sometimes wear clothing (hat, jacket, pin, etc.) that bears the firm's logo or symbol.
- c. The people in charge of this firm generally know what they're doing.

4. The statements below describe various aspects of your pay. For each statement, decide how satisfied or dissatisfied you feel about your pay. Please indicate the degree of your agreement or disagreement with each statement by checking one of the five alternatives:

Disagree very much	Disagree moderately	Disagree slightly	Agree slightly	Agree moderately	Agree very much
①	②	③	④	⑤	⑥

- a. I feel I am being paid a fair amount for the work I do.
- b. Raises are too few and far between.
- c. I am unappreciated by the organization when I think about what they pay me.
- d. I feel satisfied with my chances for salary increases.

5. Consider the people in your company who are working on the same job with you. Please estimate:...
- a. How much the highest paid employee earn as a salary _____
 - b. How much the lowest paid employee earn as a salary _____
 - c. How much the average paid employee earn as a salary _____

6. Do you participate in your company's ESOP (Employee Stock Ownership Plan) plan?

Yes ①	No ②
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7. Do you own your company stock in any other way (purchase with your own money, company stock in 401(k) contribution)?

YES ①	NO ②
If you chose "①" for 6 OR 7 OR BOTH, GO TO 8.	If you chose "②" for 6 AND 7, GO TO 9

8. If you chose "Yes" for either questions 6 or 7 or both, please rate how satisfied or dissatisfied you feel about your stock compensation. Please indicate the degree of your agreement or disagreement with each statement by checking one of the five alternatives:

Completely disagree ①	Moderately disagree ②	Slightly disagree ③	Neither agree nor disagree ④	Slightly agree ⑤	Moderately agree ⑥	Completely agree ⑦
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- a. Because of employee ownership, my work is more satisfying.
 - b. I really don't care about the employee ownership plan in this company.
 - c. I'm proud to own stock in this company.
 - d. Employee ownership at this company makes my day-to-day work more enjoyable.
 - e. Owning stock in this company makes me want to stay with this company longer than I would if I did not own stock.
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- f. It is very important to me that this company has an employee stock ownership plan.
 - g. I have been to every country in the world.
 - h. Owning stock in this company makes me more interested in the company's financial success.
 - i. Employee ownership at this company gives me a greater share in company profits.

9. Do you participate in your company's 401(k) retirement plan?

Yes ①	No ②
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- 10.** Think about the home, boat or cabin that you own or co-own with someone, and the experiences and feelings associated with the statement ‘THIS IS MY (OUR) HOUSE!’ The following questions deal with the ‘sense of ownership’ that you feel for the organization that you work for. Please indicate the degree to which you personally agree or disagree with the follow.

Strongly disagree	①	②	③	④	⑤	⑥	⑦	Strongly agree
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- a. This is MY organization.
- b. I sense that this organization is OUR company.
- c. I feel a very high degree of personal ownership for this organization.
- d. I sense that this is MY company.

- 11.** In your job, how easy is it for you to see whether your co-workers are working well or poorly? Please rate on a scale of 1 to 10.

Not at all easy	①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩	Very easy
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- 12.** At your workplace, how hard would you say that people work? Please rate on a scale of 1 to 10.

Not at all hard	①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩	Very hard
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- 13.** If you were to see a fellow employee not working as hard or well as he or she should, how likely would you be to:

Not at all likely	Not very likely	Somewhat likely	Very likely
①	②	③	④

- ① Talk directly to the employee
- ② Speak to your supervisor or manager
- ③ Talk about it in a work group or team
- ④ Do nothing

14. A. Have you ever seen one of your fellow employees not working as hard or well as he or she should over an extended time period?

Yes ①	No ②
IF “YES,” GO TO QUESTION 14 – B	IF “NO”, GO TO QUESTION 16

- B. What action, if any, did you take? (Mark all that apply)

- ① Talked to employee
- ② Talked to supervisor or manager
- ③ Talked about it in a work group or team
- ④ Did something else
- ⑤ Did nothing

- C. What was the outcome of your actions?

Yes ①	No ②	Don't know ③
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- a. Employee not working well resented it
- b. Other employees appreciated it
- c. Supervisor appreciated it
- d. Employee not working well improved
- e. Other

15. Why might you be likely to do something when a fellow employee is not working as hard or well as he or she should? (Mark all that apply)

- ① I like helping others
- ② Employee might help me in the future
- ③ Poor performance will cost me and other employees in bonus or stock value
- ④ Other employees appreciate it when someone steps forward
- ⑤ Want to keep work standards high
- ⑥ Employee's poor performance could affect my own job
- ⑦ Other

16. Why might you be likely to do nothing when a fellow employee is not working as hard or well as he or she should? (Mark all that apply)

- ① Employee not working well would resent it
- ② Other employees would react poorly
- ③ It's the supervisor's job, not mine
- ④ Some other employee could take care of it
- ⑤ There's no financial benefit for me
- ⑥ Nothing in it for me personally
- ⑦ Other

17. Below are the statements about the philanthropic, ethical, and environmental activities of your firm. Please indicate how strongly you agree or disagree with each of the statements.

Strongly disagree	①	②	③	④	⑤	⑥	Strongly agree	⑦
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- a. Our company helps solve social problems.
- b. Our company has a strong sense of corporate social responsibility
- c. Our company gives adequate contributions to local communities.
- d. Our company allocates some of their resources to philanthropic activities.
- e. Our company plays a role in society that goes beyond the mere generation of profits.

- f. Our company encourages its employees to participate in voluntarily activities.
- g. Our company emphasizes the importance of its social responsibilities to its employees
- h. Our company organizes ethics training programs for its employees.
- i. Our employees are required to provide full and accurate information to all customers.
- j. Our company has a comprehensive code of conduct.

- k. Our company is recognized as a trustworthy company.
- l. Our company tries to offer environmentally friendly products.
- m. Our company has an environmentally related mission.
- n. Our company makes an all-out effort to maintain and preserve the environment.

18. The statements below describe how you think about your work and your organization. Please indicate how much you agree or disagree with each of the statements.

Strongly disagree	①	②	③	④	Strongly agree	⑤
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- a. I am willing to work harder to help this company succeed.
- b. I am proud to work for [this organization].
- c. I feel a strong sense of belonging to this organization.
- d. I would refer a friend to come work at this organization.
- e. Overall, I am satisfied working at this organization.

- f. I provide constructive suggestions about how my department can improve its effectiveness.
- g. For issues that may have serious consequences, I express my opinions honestly even when others may disagree.
- h. I “touch-base” with my coworkers before initiating actions that might affect them.
- i. I encourage others to try new and effective ways of doing their job.
- j. I help others who have large amounts of work.
- k. I willingly share my expertise with my coworkers.

- l. I would turn down a job with more pay in order to stay with this organization.
- m. I plan to spend my career at [this organization].
- n. I intend to stay at [this organization] for at least the next 12 months.
- o. I do not plan to look for a job outside of this company in the next 6 months.

19. How often has each of the following happened to you during the past three months?

Several times a week ①	Several times a month ②	Once or twice ③	Never ④
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- a. I have come home from work too tired to do the chores which need to be done.
- b. It has been difficult for me to fulfill my family responsibilities because of the amount of time I spent on my job.
- c. I have arrived at work too tired to function well because of the household work I had done.
- d. I have found it difficult to concentrate at work because of my family responsibilities.

20. Below are the statements about your involvement in different decisions on the job. How much direct involvement and influence do YOU have in;

A lot of direct involvement and influence ①	Some direct involvement and influence ②	Only a little direct involvement and influence ③	No direct involvement and influence ④
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- a. Deciding HOW to do your job and organize the work
- b. Deciding what TRAINING is needed for people in your work group or department
- c. Setting work SCHEDULES, including breaks, overtime and time off
- d. Deciding how much of a RAISE in pay the people in your work group should get
- e. Setting GOALS for your work group or department
- f. Deciding how to work with new EQUIPMENT OR SOFTWARE, if that's ever been needed
- g. Setting SAFETY standards and practices
- h. Deciding what kinds of BENEFITS are offered to employees

i. Overall, how satisfied are you with the influence you have in company decisions that affect your job or work life? Would you say you are;

Very satisfied ①	Somewhat satisfied ②	Not too satisfied ③	Not at all satisfied ④
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21. The statements below describe experience related to various aspects of your total compensation (regular fixed pay, overtime pay, profit sharing or gain sharing, employee stock ownership plan contribution, etc.) and the rules and procedures of your compensation. Please choose the most suitable answer.

To a very small extent ①	To a small extent ②	To a moderate extent ③	To a large extent ④	To a very large extent ⑤
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A. The questions below refer to the **total compensation** you receive from your supervisor, such as pay, rewards, evaluations, promotions, assignments, etc. To what extent:

- a. Does your total compensation reflect the effort you have put into your work?
- b. Is your total compensation appropriate for the work you have completed?
- c. Does your total compensation reflect what you have contributed to the organization?
- d. Is your total compensation justified, given your performance?

To a very small extent ①	To a small extent ②	To a moderate extent ③	To a large extent ④	To a very large extent ⑤
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B. The questions below refer to the **procedures** your supervisor uses to make decisions about your total compensation. To what extent:

- a. Have those procedures been applied consistently?
- b. Have those procedures been free of bias?
- c. Have those procedures been based on accurate information?
- d. Have you been able to appeal the total compensation arrived at by those procedures?
- e. Have those procedures upheld ethical and moral standards?

22. Please indicate how much you agree or disagree with the statements below.

Strongly disagree ①	②	③	④	Strongly agree ⑤
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- a. Trying to improve things around here by speaking up is a waste of time.
- b. It is useless for me to suggest new ways of doing things here.
- c. I sleep less than one hour per night
- d. Nothing changes even if I speak up to managers.

23. Below are a number of statements that describe different feelings that you may have at work.

A. Please indicate how often you have felt the following statements.

Never ①	A few times a year or less ②	Once a month or less ③	A few times a month ④	Once a week ⑤	A few times a week ⑥	Every day ⑦
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- a. I feel burned out from my work.
- b. I have become more callous toward people since I took this job.

B. Please choose which of the following statements best describes your current situation.

- ① I enjoy my work. I have no symptoms of burnout.
- ② Occasionally I am under stress, and I don't always have as much energy as I once did, but I don't feel burned out.
- ③ I am definitely burning out and have one or more symptoms of burnout, such as physical and emotional exhaustion.
- ④ The symptoms of burnout that I'm experiencing won't go away. I think about frustration at work a lot.
- ⑤ I feel completely burned out and often wonder if I can go on. I am at the point where I may need some changes or may need to seek some sort of help.

24. A. The questions below are about your experience of employment at the FORMER organization you worked for and at the CURRENT organization you are working for.
- a. In your last job before this one, did you work in an ESOP (Employee Stock Ownership Plan) company?

Yes, it was an ESOP (Employee Stock Ownership Plan) company ①	No, it was NOT an ESOP (Employee Stock Ownership Plan) company ②	This is my first job ③
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IF “①” OR “②,” GO TO THE NEXT QUESTION

IF “③,” GO TO QUESTION 25

- B. How long did you work for the former employer?

0~1 years ①	2~4 years ②	5~9 years ③	10~19 years ④	20 or longer ⑤
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- C. Please indicate how you compare various aspects of your CURRENT job to those of your FORMER job (PLEASE LEAVE BALNK WHEN NOT APPLICABLE).

Substantially worse ①	Worse ②	Comparable ③	Better ④	Substantially better ⑤
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- a. The total pay of the CURRENT job is...
- b. The job security of the CURRENT job is...
- c. The PROFIT SHARING or GAIN SHARING PAY of the CURRENT job is...
- d. The pension benefit of the CURRENT job is...
- e. The health insurance benefit of the CURRENT job is...
- f. The paid vacation benefit of the CURRENT job is...
- g. The opportunity to participate in making workplace decisions of the CURRENT job is...

The following questions are about your political and community participation, as well as how you think about the politics. These questions are included in order to understand the impact of ESOP (Employee Stock Ownership Plan) outside the workplace and have nothing to do with your political inclinations.

25. The statements below are about our government and politics. Please choose the answer that best describes how you think.

- a. How often do politics and government seem so complicated that you can't really understand what's going on?

Always ①	Most of the time ②	About half the time ③	Some of the time ④	Never ⑤
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- b. How well do you understand the important political issues facing our country?

Extremely well ①	Very well ②	Moderately well ③	Slightly well ④	Not well at all ⑤
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c. How much do public officials care what people like you think?

A great deal ①	A lot ②	A moderate amount ③	A little ④	Not at all ⑤
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d. How much can people like you affect what the government does?

A great deal ①	A lot ②	A moderate amount ③	A little ④	Not at all ⑤
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26. During a TYPICAL MONTH in the last 12 months, how often did you discuss politics with family or friends?

Basically every day ①	A few times a week ②	A few times a month ③	Once a month ④	Less than once a month ⑤	Not at all ⑥
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27. Below is a list of types of groups or organizations in which people sometimes participate. Have you participated in any of these groups during the last 12 months?

Yes ①	No ②
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- a. A school group, neighborhood, or community association such as PTA or neighborhood watch group?
- b. A service or civic organization such as American Legion or Lions Club?
- c. A sports or recreation organization such as a soccer club or tennis club?
- d. A church, synagogue, mosque, or other religious institution or organization, NOT COUNTING your attendance at religious services?
- e. A committee or as an officer of any group or organization?
- f. Any other type of organization that are not mentioned above?

28. Here are some different forms of political and social action that people can take. Please indicate, for each one, whether you have done any of these things in the past year, whether you have done it in the more distant past, whether you have not done it but might do it, or have not done it and would never, under any circumstances, do it.

Have done it in the past year ①	Have done it in the more distant past ②	Have not done it but might do it ③	Have not done it and would never do it ④
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- a. Signed a petition
- b. Boycotted, or deliberately bought, certain products for political, ethical or environmental reasons
- c. Took part in a demonstration
- d. Attended a political meeting or rally
- e. Contacted, or attempted to contact, a politician or a civil servant to express your views
- f. Donated money or raised funds for a social or political activity
- g. Contacted or appeared in the media to express your views

- h.** In 2016, you remember that Clinton ran for President on the Democratic ticket against Trump for the Republicans. Do you remember for sure whether or not you voted in that election?

Voted ①	Did not vote ②	Ineligible ③	No answer ④
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- i.** This question is about LOCAL elections, such as for mayor or a school board. Do you always vote in local elections, sometimes vote, rarely vote, or never vote?

Always vote ①	Sometimes vote ②	Rarely vote ③	Never vote ④
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- j.** How often, if at all, have you used the Internet to express (your/his/her) opinions about political or community issues within the last 12 months?

Basically every day ①	A few times a week ②	A few times a month ③	Once a month ④	Less than once a month ⑤	Not at all ⑥
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- 29.** In the next set of questions, “leader” refers to your direct manager or supervisor. The next seven questions ask you to describe your relationship with your leader. For each of the items, please indicate the degree to which you think the item is true for you.

- a.** Do you know where you stand with your leader... and do you usually know how satisfied your leader is with what you do?

Rarely ①	Occasionally ②	Sometimes ③	Fairly Often ④	Very Often ⑤
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- b.** How well does your leader understand your job problems and needs?

Not a bit ①	A little ②	A fair amount ③	Quite a bit ④	A great deal ⑤
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- c.** How well does your leader recognize your potential?

Not at all ①	A little ②	Moderately ③	Mostly ④	Fully ⑤
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- d.** Regardless of how much formal authority your leader has built into his or her position, what are the chances that your leader would use his or her power to help you solve problems in your work?

None ①	Small ②	Moderate ③	High ④	Very high ⑤
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- e.** Again, regardless of how much formal authority your leader has, what are the chances that he or she would “bail you out” at his or her expense?

None ①	Small ②	Moderate ③	High ④	Very high ⑤
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- f. I have enough confidence in my leader that I would defend and justify his or her decision if he or she were not present to do so.

Strongly disagree ①	Disagree ②	Neutral ③	Agree ④	Strongly agree ⑤
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- g. How would you characterize your working relationship with your leader?

Extremely ineffective ①	Worse than average ②	Average ③	Better than average ④	Extremely effective ⑤
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30. The statements below describe various aspects of the policies at the organization you work for. Please indicate whether you agree or disagree with each statement:

Yes ①	No ②
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- a. Applicants for this job take formal tests (paper and pencil or work sample) before being hired.
- b. Applicants for this job undergo structured interviews (job related questions, same questions asked for all applicants) before being hired.
- c. Employees in this job are involved in formal participation processes such as quality improvement groups, problem solving groups, or roundtable discussions.
- d. Employees in this job have a reasonable and fair complaint process.
- e. Employees in this job have the opportunity to earn group bonuses for productivity, performance, or other group performance outcomes.
- f. Employees in this job have the opportunity to earn individual bonuses (or commissions) for productivity, performance, or other individual performance outcomes.
- g. At least once a year employees in this job receive a formal evaluation of their performance.
- h. Employees in this job regularly receive formal communication regarding company goals and objectives.
- i. In the last 4 months, the company has made a change in how work is completed in my department based on the suggestion(s) of an associate or group of employees.
- j. Pay raises for employees in this job are based on job performance.
- k. Qualified employees in this job have the opportunity to be promoted to positions of greater pay and/or responsibility within the company.
- l. Employees in this job are allowed to make important work related decisions such as how the work is done or implement new ideas.
- m. The company hires only the very best people for this job.
- n. Total pay for this job is the highest for the type of work in the area.
- o. On average, how many hours of formal training do employees in this job receive each year?

Number of hours: _____

31. The statements below describe various aspects of the policies at the organization you work for. Please indicate whether you agree or disagree with each statement:

Strongly disagree				Strongly agree
①	②	③	④	⑤

A. Training

- a.** Employees receive training in group decision making/problem solving skills.
- b.** Employees receive training on how the business works (accounting, finance, etc.).
- c.** Employees receive training about how to read financial statements.

B. Information Sharing

- d.** Employees receive detailed information about workgroup/team performance on a regular basis.
- e.** Employees receive detailed information about company performance on a regular basis.
- f.** Employees receive formal training to help them understand financial information shared by the company.

C. ESOP communication

- g.** Employees receive formal training about the ESOP and how it works.
- h.** The information I receive about the ESOP is too complicated
- i.** I do not really understand how the ESOP works.
- j.** The information I receive about the ESOP is clear and easy to understand.

32. Please indicate how satisfied you are with each of these channels your company uses to communicate ESOP to you (PLEASE LEAVE BLANK IF NOT APPLICABLE).

Completely satisfied				Completely unsatisfied
①	②	③	④	⑤

- a.** Written materials (paper or electronic)
- b.** In-person training
- c.** Regular meetings where ESOP is discussed
- d.** Newsletter
- e.** Off-site ESOP events
- f.** Third party training or conference
- g.** Other

33. Thinking about the next twelve months, how likely do you think it is that you will lose your job or be laid off?

Very likely	Fairly likely	Not too likely	Not at all likely	Will be leaving labor force
①	②	③	④	⑤

*** Demographic Questions ***

34. Because this survey is part of a global study, we would like to ask the following questions in order to be able to compare your answers with those of similar employees in other companies and the general population. These background questions are for statistical purposes only. No data will be used to identify any individual. If you prefer not to answer any question, simply leave the answer blank.

a. Age: _____

b. Sex Female ① Male ②

c. Marital status

Married	Living as married	Divorced	Separated	Widowed	Never married
①	②	③	④	⑤	⑥

d. Total size of family living in your household (including yourself): _____

e. Number of children under age 18: _____

f. Completed schooling:

- ① Less than 9th grade
- ② 9th to 12th grade, no diploma
- ③ High school graduate or GED
- ④ Some college, but no degree
- ⑤ Associate degree in college
- ⑥ Bachelor's degree
- ⑦ Master's degree
- ⑧ Professional school degree (such as MD or JD)
- ⑨ Doctorate degree

g. Background:

Asian ①	Black ②	Hispanic or Latino ③	Native American ④	White ⑤	Other ⑥
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h. Do you have a health problem or impairment lasting 6 months or more that limits the kind or amount of work, housework, or other major activities you can do?

Yes ①	No ②
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35. The following questions regarding compensation are for comparison purposes only. No data will be used to identify any individual. If you prefer not to answer a question, you may leave it blank.

a. In your job are you eligible for any type of performance-based pay, such as individual or group bonuses, or any type of profit-sharing?

Yes ①	No ②
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- b. If you answered “Yes”, what does the size of these performance-based payments depend on? (mark all that apply)

Company profits or performance ①	Work group or department performance ②	Individual performance ③	Does not apply ④
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- c. Did you receive any of these payments in the year 2018?

Yes ①	No ②
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- d. What was the approximate total dollar value of the COMPANY PERFORMANCE-based payments in 2018?

- ① \$0 ~ \$1,999
- ② \$2,000 ~ \$4,999
- ③ \$5,000 ~ \$9,999
- ④ \$10,000 ~ \$19,999
- ⑤ \$20,000 ~ \$24,999
- ⑥ \$30,000 ~ \$39,999
- ⑦ \$40,000 ~ \$49,999
- ⑧ \$50,000 ~ \$ 99,999
- ⑨ More than \$100,000
- ⑩ Does not apply

- e. What was the approximate total dollar value of the workgroup or DEPARTMENT PERFORMANCE-based payments in 2018?

- ① \$0 ~ \$1,999
- ② \$2,000 ~ \$4,999
- ③ \$5,000 ~ \$9,999
- ④ \$10,000 ~ \$19,999
- ⑤ \$20,000 ~ \$24,999
- ⑥ \$30,000 ~ \$39,999
- ⑦ \$40,000 ~ \$49,999
- ⑧ \$50,000 ~ \$ 99,999
- ⑨ More than \$100,000
- ⑩ Does not apply

f. What was the approximate total dollar value of the INDIVIDUAL PERFORMANCE-based payments in 2018?

- ① \$0 ~ \$1,999
- ② \$2,000 ~ \$4,999
- ③ \$5,000 ~ \$9,999
- ④ \$10,000 ~ \$19,999
- ⑤ \$20,000 ~ \$24,999
- ⑥ \$30,000 ~ \$39,999
- ⑦ \$40,000 ~ \$49,999
- ⑧ \$50,000 ~ \$ 99,999
- ⑨ More than \$100,000
- ⑩ Does not apply

g. Do you participate in the company 401(k) plan?

Yes ①	No ②	Don't know ③
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h. If you answered “Yes”, what is the approximate total value of your accumulated assets in the 401(k) plan? (A rough estimate is fine if you do not know the exact amount.)

- ① Less than \$5,000
- ② \$5,000 ~ \$20,000
- ③ \$20,000 ~ \$40,000
- ④ \$40,000 ~ \$75,000
- ⑤ \$75,000 ~ \$100,000
- ⑥ \$100,000 ~ \$150,000
- ⑦ \$150,000 ~ \$250,000
- ⑧ \$250,000 ~ \$500,000
- ⑨ More than \$500,000
- ⑩ Does not apply

i. Of all the assets in your 401(k) account, what percentage is in your company stock?

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

j. Of the company stock in your 401(k) account, how much of it came from your contributions (as opposed to the company match)?

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

k. Do you participate in the ESOP (EMPLOYEE STOCK OWNERSHIP PLAN) plan?

Yes ①	No ②	Don't know ③
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l. If you answered “Yes”, what is the approximate total value of your accumulated assets in your ESOP (EMPLOYEE STOCK OWNERSHIP PLAN) account (A rough estimate is fine if you do not know the exact amount.)

- ① Less than \$5,000
- ② \$5,000 ~ \$20,000
- ③ \$20,000 ~ \$40,000
- ④ \$40,000 ~ \$75,000
- ⑤ \$75,000 ~ \$100,000
- ⑥ \$100,000 ~ \$150,000
- ⑦ \$150,000 ~ \$250,000
- ⑧ \$250,000 ~ \$500,000
- ⑨ More than \$500,000
- ⑩ Does not apply

m. Approximately, what was your ANNUAL BASE PAY in 2018 (excluding any bonuses and commissions) BEFORE taxes and deductions? (Feel free to round off the number or make a close estimate.)

- ① Less than \$30,000
- ② \$30,000 ~ \$34,999
- ③ \$35,000 ~ \$39,999
- ④ \$40,000 ~ \$49,999
- ⑤ \$50,000 ~ \$59,999
- ⑥ \$60,000 ~ \$74,999
- ⑦ \$75,000 ~ \$89,999
- ⑧ \$90,000 ~ \$109,999
- ⑨ \$110,000 ~ \$129,999
- ⑩ More than \$130,000

n. If you receive OVERTIME PAY, how much did you earn in overtime in 2018?

- ① \$0 ~ \$1,999
- ② \$2,000 ~ \$4,999
- ③ \$5,000 ~ \$9,999
- ④ \$10,000 ~ \$19,999
- ⑤ \$20,000 ~ \$24,999
- ⑥ \$30,000 ~ \$39,999
- ⑦ \$40,000 ~ \$49,999
- ⑧ \$50,000 ~ \$ 99,999
- ⑨ More than \$100,000
- ⑩ Does not apply

o. If you receive SALES COMMISSIONS, how much did you earn in commissions in 2018?

- ① \$0 ~ \$1,999
- ② \$2,000 ~ \$4,999
- ③ \$5,000 ~ \$9,999
- ④ \$10,000 ~ \$19,999
- ⑤ \$20,000 ~ \$24,999
- ⑥ \$30,000 ~ \$39,999
- ⑦ \$40,000 ~ \$49,999
- ⑧ \$50,000 ~ \$ 99,999
- ⑨ More than \$100,000
- ⑩ Does not apply

p. Do you believe that your fixed annual wages in 2018 were higher or lower than those of employees with similar experience and job descriptions in other companies in your region?
Please indicate a number from 1 to 5

Lower		About the same		Higher
①	②	③	④	⑤

q. If the response is higher or lower, by what percent was it higher or lower? (Please answer only one)

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

- r. Taking account of all the compensation including equity compensation and cash incentives that you received from the company in calendar year 2018, do you believe your total compensation was higher or lower than that of employees with similar experience and job descriptions in other companies in your region? Please circle a number from 1 to 5.

Lower		About the same		Higher
①	②	③	④	⑤

- s. If the response is higher or lower, by what percent was it higher or lower? (Please answer only one)

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

- t. People have various assets that constitute their wealth. These include the value of their house minus the mortgage, plus their vehicles, stocks and mutual funds, cash, checking accounts, retirement accounts including 401(k) and pension assets, and so forth. Taking account of all of these things would you say that the WEALTH of you and your spouse / partner is:

- ① Less than \$5,000
- ② \$5,000 to \$20,000
- ③ \$20,000 to \$40,000
- ④ \$40,000 to \$75,000
- ⑤ \$75,000 to \$100,000
- ⑥ \$100,000 to \$150,000
- ⑦ \$150,000 to \$250,000
- ⑧ \$250,000 to \$500,000
- ⑨ More than \$500,000

- u. About what percent of your total wealth is in your employer's stock?

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

- v. About what percent of your total wealth is in stocks overall?

0~10%	11~20%	21~30%	31~40%	41~50%	51~60%	61~70%	71~80%	81~90%	91~100%
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

- w. Some people like to take risks and others dislike taking risks. Where would you place yourself on a scale of how much you like or dislike taking risks, where 1 is hating to take any kind of risk and 10 is loving to take risks?

Hate to take risks									Love to take risks
①	②	③	④	⑤	⑥	⑦	⑧	⑨	⑩

***** END OF THE QUESTIONNAIRE. THANK YOU VERY MUCH! *****

PLEASE RETURN YOUR QUESTIONNAIRE AND ANSWER SHEET