

## **National Employee Stock Ownership Plan Survey**

You are invited to participate in a research study that is being conducted by Jungook Kim, Dan Weltmann, and Ed Carberry who are researchers from Rutgers University's Institute for the Study of Employee Ownership and Profit Sharing, in the School of Management and Labor Relations at Rutgers University. 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  
 Liberty Plaza / Suite 3200  
 335 George Street, 3rd Floor  
 New Brunswick, NJ 08901  
 Phone: 732-235-2866  
 Email: humansubjects@orsp.rutgers.edu

**1. Please indicate the percentage of your employee base that was covered by each particular employment practice during the previous year, using the following scale**

None (0%) ①	Almost none (1 – 20%) ②	Some (21 – 40%) ③	About half (41 – 60%) ④	Most (61 – 80%) ⑤	Almost all (81 – 99%) ⑥	All (100%) ⑦
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1. Structured interviews to hire new employees
2. One or more employment tests administered prior to hiring (e.g., skills tests, aptitude tests, cognitive ability tests, etc.)
3. Employees hold non-entry level jobs as a result of internal promotion (as opposed to hiring from outside)
4. Intensive/extensive training in company-specific skills (i.e., task or firm-specific training)
5. Intensive/extensive training in generic skills (e.g, problem-solving, communication skills, etc.)
6. Intensive/extensive training on team skills
7. Intensive/extensive training on skills to understand the business (accounting, finance, etc.)
8. Compensation partially contingent on group performance (gainsharing, profit sharing, team-based, etc.)
9. What percentage of pay for employees is contingent upon individual, team, and/or firm performance?
10. In terms of total remuneration (pay and benefits) for employees, what is your organization's position relative to the market?  
 Assume the market is at 50th percentile and indicate your position relative to this. For example, a response of "40" indicates that you are at the 40th percentile-10% below the market
11. Employees are provided with operating performance information (e.g., quality, productivity, etc.)
12. Employees are provided with financial performance information (balance sheet, income statement, cash flow statements)
13. Employees are provided with strategic information (e.g., strategic mission, goals, tactics, competitor performance, etc.)

14. Employees are provided with team performance information
15. Employees are provided with information about key performance measures or "critical numbers" unique to your company
16. Employees are provided with customer satisfaction results.
17. Employees are involved in a formal open-book management program
18. Employees are given the option of telecommuting
19. Employees have flexibility in the hours they work
20. Employees have job security. (Employment with the firm is almost guaranteed).
21. Self-managed teams
22. Cross-functional teams
23. Programs designed to elicit participation and employee input (e.g., quality circles, problem solving, or similar groups)
24. Formal suggestion system
25. Regular or periodic meetings to discuss company performance, strategy, or goals
26. Regular meetings or structured opportunities to provide input about company policy or to provide input to upper management or board
27. Job enrichment or redesign
28. Job rotation
29. Total quality management, total quality control, or similar efforts

**2. Please indicate which of the following mechanisms you use to communicate your ESOP to employees:**

	USE	DON'T USE
1. Written materials (paper or electronic)	①	②
2. In-person training	①	②
3. Regular meetings where ESOP is discussed	①	②
4. Newsletter	①	②
5. Off-site ESOP events	①	②
6. Third party training or conference	①	②
7. Other (please specify)	①	②

3. How do you identify your organization's overall business strategy?

Improving quality ①	Reducing cost ②	Developing new products/services ③
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4. How would you compare the organization's performance over the past 3 years to that of other organizations that do the same kind of work? What about...

Substantially worse ①	Much worse ②	Worse ③	Comparable ④	Better ⑤	Much better ⑥	Substantially better ⑦	
<b>a.</b> Quality of products, services, or programs?	①	②	③	④	⑤	⑥	⑦
<b>b.</b> Development of new products, services, or programs?	①	②	③	④	⑤	⑥	⑦
<b>c.</b> Ability to attract essential employees?	①	②	③	④	⑤	⑥	⑦
<b>d.</b> Ability to retain essential employees?	①	②	③	④	⑤	⑥	⑦
<b>e.</b> Satisfaction of customers or clients?	①	②	③	④	⑤	⑥	⑦
<b>f.</b> Relations between management and other employees?	①	②	③	④	⑤	⑥	⑦
<b>g.</b> Relations among employees in general?	①	②	③	④	⑤	⑥	⑦

5. Compared to other organizations that do the same kind of work, how would you compare the organization's performance over the last 3 years in terms of...

Substantially worse ①	Much worse ②	Worse ③	Comparable ④	Better ⑤	Much better ⑥	Substantially better ⑦	
<b>a.</b> Marketing?	①	②	③	④	⑤	⑥	⑦
<b>b.</b> Growth in sales?	①	②	③	④	⑤	⑥	⑦
<b>c.</b> Profitability?	①	②	③	④	⑤	⑥	⑦
<b>d.</b> Market share?	①	②	③	④	⑤	⑥	⑦

6. Please provide some basic financial information about your company

- a. Annual turnover rate ( )
- b. Total expenditures in research and development (R&D) ( )
- c. Percent of total equity owned by the top executives ( )
- d. Percent of total equity owned by all employees other than the top executives ( )