



PIEDMONT BUSINESS ETHICS AWARD

COMPANY ENTRY FORM



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High Point University
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Serving Central North Carolina

UNC-Greensboro Bryan School
of Business and Economics

Wake Forest University Babcock
School of Management



Deadline For Entry:
March 31





PIEDMONT BUSINESS ETHICS AWARD

The Society of Financial Service Professionals established the American Business Ethics Award to honor companies that demonstrate a firm commitment to ethical business practices in everyday operations, management philosophies, and responses to crises or challenges.

Founded in 1928, the Society has over 20,000 members in nearly 200 Chapters nationwide who provide personal, family and business financial services. Members meet stringent educational, professional and ethical requirements.

The Greensboro Chapter of the Society sponsors the Piedmont Business Ethics Award. Award recipients will be honored in celebratory events in April each year at which time the crystal Awards will be presented to the recipient company president or CEO.

Award Categories

Companies entering the Award competition will be judged in one of four categories based on the number of employees:

A - Under 5 employees

B - 5-9 employees

C - 10-19 employees

D - 20-99 employees

E - 100-499 employees

F - Over 500 employees

Nonprofit companies and financial service companies are not eligible to participate. A financial service company is defined as one that earns more than 25% of its revenues from providing financial services or from the sale of financial products.

An independent panel of judges will evaluate the entries and select the finalists and Award recipients.

Student Assistance and Learning Experience

The award committee has created an ethics lab experience for students in local colleges and law schools. Our university partners and their business ethics professors give these students the opportunity to work with local businesses. The students interview the business owners or officers about their ethical challenges and policies. Those student then create and hone the company's entry for the PBEA. These students are assigned to companies in teams.

On a first-come, first served basis, the PBEA committee will assign a student team from a local university to complete the nominated company's entry with direction and support from that company's officers. These student teams are a resource for the nominated company. The committee asks that you request a student team via email as soon as possible after being nominated. Send an email request to **StudentTeamRequest@PiedmontEthics.com**. The award committee is providing a valuable learning experience for these students. These teams are limited and the committee asks that, should you use a team, that you follow through and submit an entry.

Students will provide the completed entry to the company for editing and approval. The nominated company, not the student team, will be required to submit the entry, as detailed in the entry form, by the deadline.



PIEDMONT BUSINESS ETHICS AWARD

Local Submission Requirements

In an effort to increase competition for our local Awards, we are requiring some, but not all, of the information required for the national competition. **The information required for the national award is listed in full. The information required for the Piedmont Business Ethics Award is in bold.** Companies at their option may complete some or all of the additional information required for the national award for the local competition.

The winners and the finalists of the local competition maybe nominated for the American Business Ethics Awards by the Greensboro Chapter.

Requirements for Local Submissions

- The company's high-resolution logo in EPS format. If you must submit a JPEG, please ensure it is 1024 x 768 or higher resolution.
- At least five digital photos of the company, showing key employees, the work environment and/or the company's work product; tell the story of the company and/or their ethics.

The information must be organized into four Sections as indicated on the following page. Please include your company name on the top of each Section. The official **Company Entry Form** should be completed and included in front of Section 1.



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Section 1

Commitment To Ethical Practices

- **Include a letter from your CEO, briefly outlining the company's commitment to business ethics. Tell your company's story as it relates to a culture of strong business ethics and why your company is deserving of recognition for ethical business practices.**
- **Provide an explanation of any recent litigation or complaints and your company's response to them.**
- Include an example of executive commitment to business ethics, such as a speech and/or presentation.

Section 2

Company Ethics Program

- Include a copy of your company's code of ethics, credo, code of conduct or mission statement.
- Explain how your code or credo is unique or exceptional.
- **Provide examples of how your company's ethics program is communicated to employees and other company constituents.**
- Demonstrate that employees throughout the organization understand and accept the company's ethical standard as indicated by survey results, internal audits, or a practical example.
- Describe how ethical behavior of employees is measured and compensated at your company.
- Describe your company's conflict resolution, policies and procedures.
- **Provide examples of types of ethical issues that can be raised through your resolution procedures and how they are resolved.**

Note: Your company need not have a formal ethics program to be considered for the award, but it is important to provide examples that demonstrate to the judges the company's commitment to ethics as part of its culture and business philosophy.

Section 3

Demonstration of Sound Ethical Business Practices

- **Provide practical examples of business ethics in action. For instance, has your company exceeded industry norms, raised industry standards or developed a uniquely ethical way of serving employees, customers or the community?**
- **Describe what has been your company's biggest ethical challenge and how is it being addressed. Ethical challenges may relate to employment issues, customer service, finances, the environment, government regulation or litigation.**

Note: This is the most significant part of your entry for judging purposes. Please be thorough but brief.

Section 4

Demonstration of Commitment to Stakeholders

- **Provide examples to show that your employees are treated fairly and with respect.**
- **Explain how you provide opportunities for employees to grow professionally. Provide examples.**
- **Include examples that show that your work environment is safe and free from inappropriate discriminatory behavior.**
- Provide examples of high quality products and services, business and production practices.
- Provide documentation of customer satisfaction.
- Include examples of your corporate commitment to community, such as support of civic and charitable endeavors through gifts of time, materials or money.
- **Only the information in bold needs to be completed for the Piedmont Business Ethics Award.**

To be considered for the National Award, responses to all points on each Section should be completed.



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Please Type or Print All Information Requested Here

Company Nominee Information

Company Name

Business Address

CEO/Owner Name

Specific Title

Phone/Fax

Total No. of Employees

Brief Description of Business (suitable for publication in the award ceremony program, 50 words or less)

Size Category (Check box)

- Under 5 employees 5-9 employees 10-19 employees
 20-99 employees 100-499 employees Over 500 employees

Nonprofit companies and financial service companies are not eligible to participate. A financial service company is defined as one that earns more than 25% of its revenues from providing financial services or from the sale of financial products. (Examples include CPA, brokerage and insurance firms, banks, etc.)

Name and Location of Parent Company (if applicable)

Relationship to Parent Company



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Please complete the following questions about your company.

Ethics Culture Questionnaire

- 1) Yes Does your company have a written code of ethics or business conduct?
- 2) Yes Does your company have an employee responsible for monitoring and handling ethics issues?
- 3) Yes Does your company evaluate each employee's compliance with your code of ethics or, if you do not have such a code, the conduct of each employee to determine whether it is ethical?
- 4) Yes Does your company's compensation system take into account your employees' conduct and compliance with your ethics policies?
- 5) Yes Does your company offer employees a means to seek counsel or report violations on ethics-related issues in a confidential manner and without risk of retaliation?
- 6) Yes Does your company have conflict resolution procedures in place?
- 7) Yes Is your company involved in, or threatened with, any significant litigation or governmental investigation that would tend to show the company's failure to follow ethical business practices? *

**Note: The Society is aware that most businesses in today's environment, especially larger businesses, have faced challenges in this area. Such company problems will not automatically disqualify a company from consideration for the ethics award. What is of interest and value is an explanation of how these matters were handled by the company.*

Company Contact

Name _____

Street Address _____

Phone/Fax _____

E-mail (required) _____

Company Certification

Signature _____ *Date* _____

Name (Print) _____ *Title* _____

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PIEDMONT BUSINESS ETHICS AWARD

The Judging Process

Entries will be evaluated by an independent panel of judges composed of individuals with an expertise in business ethics and are drawn from the business, academic, public service and media sectors. Entries are evaluated on the following criteria:

- A clear demonstration of the company's executive commitment to ethics as demonstrated by speeches or other correspondence and communications from the CEO and other senior officers to employees and/or customers. The company's story as it relates to a culture of strong business ethics is a key criterion.
- A corporate code of ethics, credo, code of conduct, mission statement or philosophy which demonstrates the company's requirement for honesty, integrity, and compliance with the law in all business dealings. A ethics policy or corporate philosophy that is unique and deserving of recognition is a key criterion.
- Clear communication of the company's ethical standards, corporate culture and its expectations of employees in company publications, employee hand books, training courses and other materials. An indication of how employees are measured for ethical business conduct, and how their compensation is tied to ethical conduct.
- A clear indication that employees throughout the organization understand and accept the company's ethical standards as indicated by survey results or internal audits.
- A means for employees, customers and other parties to bring ethical problems or conflicts to the attention of management and mechanism for resolution that ensures fair and consistent treatment of the parties involved. Specific examples of how this mechanism is used by employees and other company constituents, and information on outcomes of ethical problems or conflicts is a key criterion.
- A narrative description of business ethics in action as demonstrated by the company's response to a specific challenge affecting its operations or its industry, or by evidence of how ethical decision-making is a part of the company's everyday operations, philosophy and culture. Time and again, this one criteria has proven to be the most important; everyone remembers stories.
- A consistently high quality of products and services, business and production practices, including demonstrated awareness of environmental impact, if appropriate.
- A corporate commitment to providing a work environment that is safe, free from harassment or inappropriate discriminatory behavior of any kind, and that fosters growth and opportunity.
- A community commitment that is demonstrated by involvement in local, regional and/or national issues, corporate philanthropy, support of civic and charitable endeavors through foundation grants, and/or contributions or gifts of time and materials.

All submissions become property of the Society of Financial Service Professionals. The Society reserves the right to make partial or full submission public, but will not do so without prior notice to the submitting company. In order to preserve and protect the integrity of this Award, the Society also reserves the right to conduct independent background checks on companies that apply for Award consideration.