

FOUNDATION FOR  
FINANCIAL SERVICE PROFESSIONALS  
presents the

2012  
AMERICAN BUSINESS  
ETHICS AWARD™



Entry Form &  
Submission Requirements

Deadline for Entries: June 15, 2012

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The Foundation for FSP gratefully acknowledges  
Northwestern Mutual as the sole sponsor of the  
2012 American Business Ethics Award



FOUNDATION FOR  
**FSP**  
Financial Service Professionals

## INTRODUCTION

Established in 1994, the American Business Ethics Award (ABEA) honors U.S. companies that exemplify high standards of ethical behavior in their everyday business conduct and in response to specific crises or challenges.

The ABEA program is conducted by the Foundation for Financial Service Professionals. Founded in 1982, the Foundation is committed to its mission of fostering research, education and ethical practices among financial service professionals for the public benefit, and sponsors the ABEA program in fulfillment of this mission.

## ELIGIBILITY AND AWARD CATEGORIES

Companies entering the 2012 ABEA competition will be judged in one of three categories based on the number of employees:

- Large - Companies with over 2,500 employees
- Midsized - Companies with 250 to 2,500 employees
- Small - Companies with fewer than 250 employees

### Exclusions

1. Nonprofit organizations and financial service companies are not eligible to participate. A financial service company is defined as one that earns more than 25 percent of its revenues from providing financial services or from the sale of financial products.
2. Any company that has received this national award is not eligible for reconsideration for ten years.

### Key Dates

- Deadline for Entries: June 15, 2012
- Recipients Announced: September 2012
- Award Ceremonies: October/November 2012

## SUBMISSION REQUIREMENTS

Your official entry form and supporting documents may be submitted in a one-inch binder or in PDF format via e-mail. E-mail entries should be sent to [arigney@financialpro.org](mailto:arigney@financialpro.org)

Please include your company name on both the cover and spine of the binder. The official Company Entry Form should be completed and included in front of Tab 1 in the binder. The information must be organized into four sections as indicated below.

### TAB 1: Executive Commitment to Business Ethics

- 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. This letter should serve as an executive summary of your entry.
- 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.
- Tell how the CEO's commitment to business ethics is passed down to the employees so that an ethical culture permeates the company.

### TAB 2: Company Ethics Program

- Include a copy of your company's code of ethics, credo, code of conduct or mission statement.
- 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 audit, or a practical example.
- Describe how ethical behavior of employees is measured and compensated at your company.
- Describe your company's mechanism for the resolution of ethical issues and challenges.
- Provide practical examples of ethical issues that have been resolved at your company through the use of this mechanism or through any other company policies and procedures.

*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.*



### **TAB 3 : Demonstration of Sound Ethical Business Practices**

- Provide practical examples of your company ethics program in action. Tell the story of how your company ethics program lives and breathes in your day-to-day business activities. For instance, has your company exceeded industry norms, raised industry standards or developed an ethical way of providing goods and services to its customers?
- Describe what has been your company's biggest ethical challenge and how it is being addressed. Ethical challenges may relate to employment issues, customer service, finances, the environment, government regulation or litigation.

### **TAB 4: Demonstration of Commitment to Stakeholders**

- Provide examples that show that your work environment is safe and free from inappropriate discriminatory behavior.
- Are your employees treated fairly and with respect? How have you provided opportunities for employees to grow professionally?
- Include examples of your corporate commitment to community, such as support of civic and charitable endeavors through gifts of time, materials or money.

## **THE JUDGING PROCESS**

Entries are 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, media and consulting communities. Entries are evaluated on the following criteria:

- A clear demonstration of the company's executive commitment to ethics as demonstrated by speeches or other 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, core values, mission statement or philosophy which demonstrates the company's requirement for honesty, integrity and compliance with the law in all business dealings.

- Clear communication of the company's ethical standards, corporate culture and its core values in company publications, employee handbooks, training courses and other materials.
- A clear indication that employees throughout the organization understand and accept the company's ethical standards as indicated by survey results, internal audits, or demonstrated behavior.
- A means for employees, customers and other parties to bring ethical problems or conflicts to the attention of management and a 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.
- 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 contributions of time and materials.

*All submissions become the property of the Foundation for Financial Service Professionals. We reserve the right to make public partial or full entry submissions, but will not do so without prior notice to the submitting company. In order to preserve and protect the integrity of this award, we also reserve the right to conduct independent background checks on companies that apply for ABEA consideration.*

## HONOR ROLL OF PAST ABEA RECIPIENTS

2011	Kimberley-Clark Corporation Corgan The Eye & Laser Center	2001	EDS RS Information Systems, Inc. Kiplinger, Inc.
2010	Ear'n Park Hospitality Group Merrick & Company Integrated Project Management Company, Inc.	2000	Niagara Mohawk Holdings, Inc. Gene B. Glick Company, Inc. Ackman-Ziff Real Estate Group, LLC
2009	Lockheed Martin High Performance Technologies, Inc. Midnight Janitorial	1999	Bell Atlantic Corporation Walker Information, Inc. Wright Water Engineers, Inc.
2008	General Mills Daisy Brand Atlantic Webworks	1998	Lockheed Martin Corporation PricewaterhouseCoopers Fenimore Asset Management
2007	Freescale Semiconductor, Inc. Freese and Nichols, Inc. Donald Haack Diamonds, Inc.	1997	Weyerhaeuser Company Western EXTRALITE Company Delta Sand & Gravel Company
2006	General Dynamics Armament and Technical Products MEDRAD, Inc. RTI/Community Management Associates, Inc. (CMA)	1996	Starbucks Coffee Company Lancaster Laboratories Rich Products Corporation Guardsmark Clark Construction Company
2005	Whirlpool Corporation PAETEC Communications, Inc. Schloegel Design Remodel, Inc.	1995	H.B. Fuller, Inc. Ukrop's Super Markets, Inc. Baker Street Breads Jerith Manufacturing
2004	Trammell Crow Company TDIndustries Wilson County Automotive	1994	Merck & Company Texas Instruments, Inc. Hanna Andersson Levi Strauss & Company
2003	Hewlett-Packard Company Beaman Automotive Group Kuhn & Wittenborn Advertising		
2002	Pitney Bowes, Inc. O.C. Tanner Company Reell Precision Manufacturing Corporation		

# COMPANY ENTRY FORM • 2012 AMERICAN BUSINESS ETHICS AWARD

Please Type or Print All Information Requested Here

**Company Name** \_\_\_\_\_

**Business Address** \_\_\_\_\_

**CEO:** Name \_\_\_\_\_ Specific Title \_\_\_\_\_

Phone \_\_\_\_\_ Total No. of Employees \_\_\_\_\_

**Brief Description of Business** (25 words or fewer) \_\_\_\_\_

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

## Size Category (Check box)

- A.  **Large** - Companies with more than 2,500 employees  
B.  **Midsized** - Companies with between 250 and 2,500 employees  
C.  **Small** - Companies with fewer than 250 employees

Does your company operate as a subsidiary of another company? Y or N  
If yes, please provide the name and location of your parent company.

Does your ethics program operate independently of the parent company? Y or N  
If yes, please provide a brief description of how your ethics program is distinguished from the parent program and why it is deserving of independent recognition? Also when completing your submission, please clearly identify items coming from the parent program.  
If no, please contact your parent company to submit a company-wide entry.

## ETHICS CULTURE QUESTIONNAIRE

Please complete the following questions about your company.

1. Does your company have an employee responsible for monitoring/handling ethics issues? Y or N  
If yes, indicate title and who this person reports to within your company.

2. Is your company involved in any litigation or government oversight that might have negative ethical implications? \* If yes, please include a brief but thorough explanation in your executive summary. Y\* or N

3. Does your company measure the ethical conduct of employees? If yes, please explain briefly in your executive summary. More detailed information can be provided under TAB 2. Y or N

4. Does your company offer employees a mechanism to seek counsel/resolution on ethics-related issues in a confidential manner? If yes, please explain briefly in your executive summary. More detail can be provided under TAB 2. Y or N

*\*Note: The Foundation 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

(to handle questions regarding your submission)

Contact Name \_\_\_\_\_

Company Name \_\_\_\_\_

Street Address \_\_\_\_\_

\_\_\_\_\_

Phone \_\_\_\_\_

E-mail \_\_\_\_\_

## COMPANY CERTIFICATION

To the best of my knowledge, the information provided herein is true and complete.

Signature \_\_\_\_\_ Date \_\_\_\_\_

Name (Print) \_\_\_\_\_ Title \_\_\_\_\_

## MAILING INSTRUCTIONS

This Entry Form, along with a binder or PDF file containing documents supporting your entry, must be delivered to the Society of Financial Service Professionals ABEA Program no later than **June 15, 2012**. Mail to:

Foundation for FSP  
ABEA (Attention: Anne Rigney)  
19 Campus Boulevard, Suite 100  
Newtown Square, PA 19073-3239  
(Telephone: 610-526-2500)  
arigney@financialpro.org

## NOMINATOR INFORMATION

### PLEASE PRINT:

Nominator's Name \_\_\_\_\_ Title \_\_\_\_\_

Company \_\_\_\_\_

Street Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ Zip \_\_\_\_\_

Phone \_\_\_\_\_ Fax \_\_\_\_\_

E-mail \_\_\_\_\_

Relationship to Company Nominee \_\_\_\_\_