

Ethical Risk: Management

Start of Block: Level 1

Our organization has written policies outlining our risk process.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

There is a process to ensure management effectively communicates with employees, including listening with respect.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

I feel comfortable talking with my management about the risks I feel are a concern.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Business management participates in the development of risk scenarios.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

If risk concerns are not addressed by management, I document and communicate the threat/risk information and management decisions.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

I have been trained in communication and management skills.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

It is part of my stated job responsibilities to evaluate and prioritize risk.

- ☐ Strongly agree (1)
- ☐ Somewhat agree (2)
- ☐ Neither agree nor disagree (3)
- ☐ Somewhat disagree (4)
- ☐ Strongly disagree (5)

End of Block: Level 1

Start of Block: Level 2

Our organization evaluates and addresses fraud risk.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

The organization's code of ethics and culture addresses fraud and employee loyalty.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Our organization provides a tip mechanism for employees, customers and others to report fraud, that includes anonymous reporting and employee training.

- ☐ Strongly agree (18)
 - ☐ Somewhat agree (19)
 - ☐ Neither agree nor disagree (20)
 - ☐ Somewhat disagree (21)
 - ☐ Strongly disagree (22)
-

Our organization performs quantitative risk analyses for potentially serious threats.

- ☐ Strongly agree (1)
- ☐ Somewhat agree (2)
- ☐ Neither agree nor disagree (3)
- ☐ Somewhat disagree (4)
- ☐ Strongly disagree (5)

End of Block: Level 2

Start of Block: Level 3

Our organization trains us in how to handle ethics related to law, including protected information, harassment and diversity sensitivity, and other business-specific ethics.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

To the best of my knowledge, we follow all applicable laws.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

I am familiar with the intimate details of regulation(s) that apply to my job.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We follow and address changes in regulation in a timely fashion, when changes occur in the business environment or applicable law.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When we contract work out, we ensure that third party vendors adhere to the necessary regulations and ethics requirements.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When we address regulation, we strive to meet the intent of the law, instead of simply addressing its minimal technical aspects.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Our organization addresses the Federal Sentencing Guidelines, which ensures business ethics in topics such as price fixing, bid rigging, copyrights, trademarks, hazardous materials, etc.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We strive to minimize risk related to potential lawsuits (e.g., relating to breach of duty, reasonable care, product liability and punitive damages.)

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Top management promotes and exemplifies adhering to the law.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

The organization's code of ethics addresses adhering to applicable laws.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

The organization clearly allocates responsibility for addressing ethical risk to specified roles.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Our project schedules regularly deliver expected quality on time and at expected cost.

- ☐ Strongly agree (1)
- ☐ Somewhat agree (2)
- ☐ Neither agree nor disagree (3)
- ☐ Somewhat disagree (4)
- ☐ Strongly disagree (5)

End of Block: Level 3

Start of Block: Level 4

The organization's code of ethics specifies that customers, employees, and other stakeholders shall be treated fairly and respectfully.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When we evaluate ethical risk, we evaluate and consider opinions from the public (or people not employed by the organization). When matters of life or death may be involved, we consider realistic life values (e.g., where we would price our own life.)

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When evaluating risk, we do consider and evaluate worst case scenarios.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Risk normally is calculated as likelihood * impact, but for certain ethical risks an outrage factor should be added. We consider and evaluate this outrage factor for exotic, catastrophic and unfair risks.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We calculate risk not simply from our organization's perspective, but also our customers' and employees' perspective.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When we evaluate risk we consider input from direct stakeholders (those purchasing the system) but also how risks can affect indirect stakeholders, who have less input.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We use techniques and processes specifically for addressing ethical risk.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We identify and communicate risks and ethical concerns with customers at the start and throughout the project.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Our customers are aware of our security and quality standards.

- ☐ Strongly agree (1)
- ☐ Somewhat agree (2)
- ☐ Neither agree nor disagree (3)
- ☐ Somewhat disagree (4)
- ☐ Strongly disagree (5)

End of Block: Level 4

Start of Block: Level 5

I have been trained in ethical thinking.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

I consider societal effects of risky actions and risk treatment, including privacy, safety, human dignity, economics, and effects of misuse.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

The organization's code of ethics addresses striving for the public good, promoting ethical leadership and professional responsibility, including addressing diversity and environmental concerns, as applicable.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We evaluate risk not simply from our organization's perspective, but also our society's perspective.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

Our organization addresses uncomfortable ethical risk decisions, particularly related to the products and goals of our organization and their effects on society.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

When the level of risk is unknown but may be potentially significant, our organization uses scientific methods to discover the frequency and impact of this risk.

- ☐ Strongly agree (1)
 - ☐ Somewhat agree (2)
 - ☐ Neither agree nor disagree (3)
 - ☐ Somewhat disagree (4)
 - ☐ Strongly disagree (5)
-

We evaluate novel technologies in a systematic way, using a Technology Assessment or a Social Impact Analysis process to fully document our findings.

- ☐ Strongly agree (1)
- ☐ Somewhat agree (2)
- ☐ Neither agree nor disagree (3)
- ☐ Somewhat disagree (4)
- ☐ Strongly disagree (5)

End of Block: Level 5

Start of Block: The End

Do you have any comments or suggestions for this survey or research? Thanks for the help you have provided and for your participation!

End of Block: The End
