APPENDIX A

QUESTIONNAIRE FOR PART 1 THE SURVEY-QUANTITATIVE STUDY
APPENDIX A

QUESTIONNAIRE FOR PART 1 THE SURVEY- QUANTITATIVE STUDY

Project SEARCH

This research is confidential and your response will be kept confidential. The research is done as a part of academic studies to get the practical ground realities and difficulties faced by employees in ethics situations.

I) Understanding of BE

1. What do you understand by the term “Business ethics”?

<table>
<thead>
<tr>
<th>Spontaneous</th>
<th>Aided</th>
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<tbody>
<tr>
<td></td>
<td>□ Business ethics has to do with what my feelings tell me is right or wrong.</td>
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<td>□ Business ethics has to do with my religious beliefs.</td>
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<tr>
<td></td>
<td>□ Business ethics is doing what the law requires.</td>
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<td></td>
<td>□ Business ethics consists of the standards of behaviour our society accepts.</td>
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<td></td>
<td>□ Business ethics is about resolving moral dilemmas.</td>
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<td></td>
<td>□ Business ethics is a set of moral principles concerned with the rightness or wrongness of human behaviour and guides our conduct in relation to others.</td>
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<td></td>
<td>□ I don’t know what it means.</td>
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</table>

2 a) Should an organisation conduct business in an ethical manner? □ Yes □ No

2 b) If yes, , rank the reasons for conducting business in an ethical manner in order of importance

<table>
<thead>
<tr>
<th>Reasons for conducting ethical business</th>
<th>Rank</th>
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<tbody>
<tr>
<td>1) Protection of brand and reputation</td>
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<td>2) The right thing to do</td>
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<tr>
<td>3) Customer trust and loyalty</td>
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<td>4) Investor confidence</td>
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<td>5) Public acceptance/recognition</td>
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<td>6) Litigation/indictment avoidance</td>
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<td>7) Positive impact on financial results</td>
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<td>8) Employee retention and performance</td>
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<td>9) Supplier/partner trust</td>
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<td>10) Potential regulatory interference</td>
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<tr>
<td>11) Competitive/marketplace advantage</td>
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</tbody>
</table>
3. Do you think the pharmaceutical industry in India follows business ethics in their operations?

☐ Yes  ☐ No

Why do you think so? __________________________________________

4. Are you aware of the various areas that business ethics covers?
   a. ☐ Yes  ☐ No

   b) If yes, which are they?

   ____________________________________________________________

II) Violations

5. What types of business ethics violations are you aware of?

6. Aided: Are you aware of any of the following types of violations? (Pls tick)

<table>
<thead>
<tr>
<th>No.</th>
<th>Ethical violations</th>
<th>Aware</th>
<th>Witnessed</th>
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<tbody>
<tr>
<td>1)</td>
<td>Insider trading</td>
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<td>2)</td>
<td>Giving/Receiving bribes</td>
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<td>3)</td>
<td>Conflict of interest</td>
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<td>4)</td>
<td>Falsifying or incomplete information</td>
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<td>5)</td>
<td>Unethical practices in marketing</td>
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<td>6)</td>
<td>Unethical practices relating to clinical trials</td>
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<td>7)</td>
<td>Dealing with vendors</td>
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<td>8)</td>
<td>Mismanagement of contracts</td>
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<tr>
<td>9)</td>
<td>Health and safety violations</td>
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<td>10)</td>
<td>Financial malpractices</td>
<td></td>
<td></td>
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<tr>
<td>11)</td>
<td>Ecological and environmental violations</td>
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</tbody>
</table>
7. Which ethical violations do you think are prevalent in the Pharma industry? Kindly rate on a scale from 1-5.

<table>
<thead>
<tr>
<th>Types of violations</th>
<th>Least prevalent (1)</th>
<th>Less prevalent (2)</th>
<th>Average (3)</th>
<th>Prevalent (4)</th>
<th>Most prevalent (5)</th>
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</thead>
<tbody>
<tr>
<td>1. Insider trading</td>
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<td>2. Giving/Receiving bribes</td>
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<td>3. Conflict of interest</td>
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<td>4. Falsifying or incomplete information</td>
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<td>5. Unethical practices in marketing</td>
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<tr>
<td>11. Ecological and environmental violations</td>
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</tbody>
</table>

8. In your opinion, which of these factors are most likely to cause people to compromise on an organization’s stated ethical standards? Kindly rate on a scale from 1-5.

<table>
<thead>
<tr>
<th>Factors</th>
<th>Least important (1)</th>
<th>Less important (2)</th>
<th>Average (3)</th>
<th>More Important (4)</th>
<th>Most important (5)</th>
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</thead>
<tbody>
<tr>
<td>Pressure to meet unrealistic business objectives</td>
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<tr>
<td>Desire to retain the job</td>
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<tr>
<td>Desire to further one’s career</td>
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<tr>
<td>Pressure to achieve top line/ bottom line</td>
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<tr>
<td>Working in environment where values are not given importance</td>
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<tr>
<td>Lack of consequences if caught</td>
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</tbody>
</table>
Strategy To Launch Institute For Values-Based Leadership Development

<table>
<thead>
<tr>
<th>Factors</th>
<th>Least important (1)</th>
<th>Less important (2)</th>
<th>Average (3)</th>
<th>More Important (4)</th>
<th>Most important (5)</th>
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</thead>
<tbody>
<tr>
<td>Need to follow boss’s orders</td>
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<tr>
<td>Peer pressure/Desire to be a team player</td>
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<tr>
<td>Ignorance that the act was unethical</td>
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<tr>
<td>Inability to apply ethical criteria to make an ethical judgment</td>
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<tr>
<td>Improper training to handle the unethical situation</td>
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</tbody>
</table>

9. In your opinion, what is the cause of compromise with values: Kindly rate on a scale from 1-5.

<table>
<thead>
<tr>
<th>Cause</th>
<th>Least important (1)</th>
<th>Less important (2)</th>
<th>Average (3)</th>
<th>More Important (4)</th>
<th>Most important (5)</th>
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</thead>
<tbody>
<tr>
<td>Focus on Short term results</td>
<td></td>
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<tr>
<td>Overlooking of unethical behaviour by superiors</td>
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<tr>
<td>Gradual erosion of values and standards</td>
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<tr>
<td>Rewarding results and not processes</td>
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<tr>
<td>Furthering personal goals</td>
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</table>

III) Personal experiences/perceptions

10. In your career in the pharmaceutical industry, have you encountered situations which have created ethical dilemmas for you?
    □ Yes  □ No

    If yes, can you mention which type of ethical dilemmas have you experienced? (Please mention area)
11. While going through the situation, did you experience a conflict between your personal values and what was expected from you?

□ Yes □ No

11 b. How did you handle the ethical dilemma? (Pls tick)

<table>
<thead>
<tr>
<th>Did what was expected of me</th>
<th>Complained within the organisation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Passed the ball to my superior</td>
<td>Complained outside the organisation</td>
</tr>
<tr>
<td>Confronted my superiors</td>
<td>Quit the organisation</td>
</tr>
<tr>
<td>Tried to change the unethical practice</td>
<td>Any other- specify</td>
</tr>
</tbody>
</table>

12. Please state your agreement with the following statements on a scale of 1-5 where 1= Strongly Disagree, 2 = Disagree, 3= Neither agree nor disagree, 4= Agree, 5 = Strongly agree

<table>
<thead>
<tr>
<th>Statement</th>
<th>1=SDA</th>
<th>2=Disagree</th>
<th>3=Neither</th>
<th>4=Agree</th>
<th>5=SA</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Business and ethics don’t go together</td>
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<tr>
<td>2. Competitive pressure forces us to act unethically</td>
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<tr>
<td>3. It is possible to be ethical if one decides</td>
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<td>4. The organisation culture influences ethical behaviour</td>
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<td>5. I no longer know what is right and wrong</td>
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<td>6. Being ethical needs courage and conviction</td>
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<td>7. Codes of conduct are only paper documents</td>
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<tr>
<td>8. Most people are not guided by a strict internal moral compass</td>
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<tr>
<td>9. Most people look to the environment to decide how to behave</td>
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<tr>
<td>10. Ethics is a personal issue that should be left to individuals</td>
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<tr>
<td>11. Employers have to teach employees to recognize and deal with ethical issues</td>
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</tbody>
</table>
13. Please rate the level of responsibility for ethical dilemmas across management levels in an organisation?

<table>
<thead>
<tr>
<th></th>
<th>Least responsible (1)</th>
<th>Less responsible (2)</th>
<th>Moderately responsible (3)</th>
<th>More responsible (4)</th>
<th>Most responsible (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Top management</td>
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<tr>
<td>Senior management</td>
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<tr>
<td>Middle Management</td>
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</table>

14. Does your organisation consider it important to conduct business in an ethical manner?

□ Yes □ No

15. Which of the following does your organisation have in place to ensure an ethical corporate culture?

*Please tick the appropriate options from the following*

1. Code of conduct – for all employees, including senior executives
2. Ethics training – for all employees, including senior executives
3. Corporate social responsibility programs
4. Ombudsman – confidential, neutral and off-the-record resource to discuss ethical issues and seek guidance on resolution options
5. Ethics helpline – source to formally report potential or actual unethical behaviour
6. Ethics audits
7. Whistleblower policy
8. Ethics committee
9. Ethics surveys
10. Annual testing/certification with ethics training – for all employees, including senior executives
11. Ethics office
12. None of the above

IV) Values based Leadership

16. Have you heard of values based leadership?

□ Yes □ No

If yes, can you briefly describe it?
17. How important to you are the following values-based leadership behaviours to create a culture where values are not compromised by employees? Kindly rate on a scale from 1 – 5.

<table>
<thead>
<tr>
<th>Values based Leadership Behaviours</th>
<th>Least important (1)</th>
<th>Less important (2)</th>
<th>Average (3)</th>
<th>Important (4)</th>
<th>Most important (5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. VBL is based on foundational moral principles or values such as integrity, empowerment, and social responsibility</td>
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<td>2. Consider interests of all stakeholders rather than only stockholders</td>
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<td>3. Leads by example</td>
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<td>4. Encourages open communication</td>
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<td>5. Respectful of others</td>
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<td>6. Keeps promises</td>
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<tr>
<td>7. Maintain strong values in a changing environment</td>
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<tr>
<td>8. Actions are consistent with the company’s espoused values—walks the talk</td>
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<tr>
<td>9. Sustains business profitability while embodying positive values within the organization.</td>
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<tr>
<td>10. Seeks to serve the organisation, employees and the community rather than self interests</td>
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</tbody>
</table>

18. Would you like to be values-based leader?

☐ Yes  ☐ No

19. Would you like to develop your skills to become a values-based leader?

☐ Yes  ☐ No

20. What skills/training do you think is required to develop leaders in your organization who stand for their values while handling ethical dilemmas?

Spontaneous comments:
Strategy To Launch Institute For Values-Based Leadership Development

Aided:

<table>
<thead>
<tr>
<th>Training areas</th>
<th>Please tick</th>
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</thead>
<tbody>
<tr>
<td>1. Ethics training</td>
<td></td>
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<tr>
<td>2. Leadership training</td>
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<td>3. Training to identify values</td>
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<td>4. Assertiveness</td>
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<td>5. Develop confidence and Courage to take a stand</td>
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<tr>
<td>6. Understanding how to deal with such situations keeping my values intact</td>
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<tr>
<td>7. How to make a decision using ethical criteria</td>
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<tr>
<td>8. Understanding difference between ethical and unethical situations</td>
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<tr>
<td>9. How to be open in communication with my superiors</td>
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<tr>
<td>10. What steps I can take according to organisation policy</td>
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<tr>
<td>11. Training on ethical decision making</td>
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<tr>
<td>12. Moral awareness (recognizing the existence of an ethical dilemma)</td>
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<tr>
<td>13. Moral judgment (deciding what’s right)</td>
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<tr>
<td>14. Ethical behaviour (taking action to do the right thing).</td>
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</tr>
<tr>
<td>15. Any other pls specify</td>
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</tbody>
</table>

Thank you so much for your time...

Respondent Information:

<table>
<thead>
<tr>
<th>Name of respondent :</th>
<th>Designation :</th>
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<table>
<thead>
<tr>
<th>Email id :</th>
<th>Company :</th>
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<table>
<thead>
<tr>
<th>Contact number :</th>
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APPENDIX B

DISCUSSION GUIDE FOR PART 2 - QUALITATIVE IN-DEPTH INTERVIEWS
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DISCUSSION GUIDE FOR PART 2 - QUALITATIVE IN-DEPTH INTERVIEWS

1. Is there a crisis of Values-based leadership in the pharmaceutical industry?
2. Forces which work against values-based leadership ... why are unethical means followed?
3. Do you think it is only the smaller companies who indulge in unethical practices or are the MNC’s in it too?
4. Is there a role for values in pharmaceuticals?
5. Each company has values / vision and mission statements as well as a code of ethics... Are they implemented?
6. Can transformation be brought about? What are potential solutions?
7. What can be done at different levels:
   i. Individual
   ii. Organizations:
   iii. Association:
   iv. Media:
   v. Patient:
   vi. Government:
   vii. Doctors associations/ education:
8. Difficulties envisaged in transformation of this system
9. Can we create rewards for ethical/Values based leadership
10. Would having an ethics certifying body help?
11. Would training help? If yes what kind... for whom...
12. Has Values based leadership worked anywhere? If yes what has been done? If no why?
APPENDIX C

CONCEPT NOTE AND QUESTIONNAIRE FOR PART 3-VALIDATION STUDY
As part of my PhD dissertation, I have conducted 2 extensive research studies on the subject of values-based leadership in the pharmaceutical industry. My research finding establishes the need for a training institute which equips stakeholders of the pharmaceutical industry with the knowledge, confidence and skills to take value based decisions and display values-based leadership behavior in their business operations.

My research shows that there is an evident crisis in the working of the pharma industry today which has compelled organizations to adopt business practices that are not necessarily ethical. The last few years have generated bad publicity for the industry through the huge fines levied on pharma companies for ethical violations ranging from bribing doctors, misleading marketing communication, manipulating clinical trials, suppressing information of side effects and launching irrational drugs.

To address this issue, I am proposing that a training institute needs to be launched with a focus on values-based leadership development. The institute should aim to sensitize stakeholders about values and their role in business, create awareness about values-based leadership behavior, promote debate on ethical dilemmas and corporate governance, and re-skill target audiences with the knowledge, attitudes and skills needed to achieve business goals ethically.

**Concept of Values-based leadership institute**

The proposed Value Based Leadership training institute will have 5 streams viz. Values-based Leadership, Business values and ethics, corporate governance, Sales and marketing re-skilling and CEO’s forums. Faculty will be drawn from amongst a pool of experts, thought leaders, academicians, practitioners and international faculty.

Below is diagrammatic representation with brief details on area, scope and outcomes:
Strategy To Launch Institute For Values-Based Leadership Development

Institute for Values-based Leadership

**Key focus areas**

**Values based leadership**
- i. Create awareness, upgrade skills on values-based leadership
- ii. Equip participants to use critical and strategic thinking, and align actions with values

**Business values & ethics**
- i. Aim to equip audiences to recognize ethical dilemmas and use the reasoning strategies to arrive at the best ethical decision
- ii. Help to develop a values based culture through interventions for change

**Corporate Governance**
- i. Help corporates define ethics policy and business process
- ii. Empower to conduct effective compliance audits (Sales/Marketing, Regulatory, Clinical trials, business process)

**Sales & Marketing re-skilling**
- i. Train teams on developing Sales and branding strategy and Selling skills using scientific marketing principles
- ii. Equip teams with Values-based managerial skills

**CEO / Policy makers forums**
- i. Address the challenges in implementing values based leadership
- ii. Debate approaches to balancing short term gains with long term results

**Scope**

- i. Equip target audiences to become role models within their organizations
- ii. Enable participants to be confident to resolve issues while living values

- i. Improve decision making and ability to navigate moral mazes
- ii. Enable senior management create a values based organizational culture

- i. Equip organizations to implement industry code of ethics
- ii. Reorient industry rewards systems to integrate short term and long term results

- i. Support organizations to re-train sales and marketing personnel with the skills needed to brand and sell products based on principles of marketing and scientific research
- i. Provide thought leadership platform to CEO’s and policy makers to address the challenges to values based leadership

Please give me your opinion of the following questions based on the above concept note.

Kindly state your agreement with the following statements on a scale of 1 to 5 by marking a tick (✓) on the right options.

**Scale**: 1= Strongly disagree (SDA); 2 = Disagree (DA); 3=Neither Agree Nor Disagree (NAND); 4 = Agree and 5 = Strongly Agree (SA)

<table>
<thead>
<tr>
<th>Scale</th>
<th>SDA</th>
<th>DA</th>
<th>NAND</th>
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<tbody>
<tr>
<td>1</td>
<td>The proposed Institute for values-based leadership is a unique concept to the pharmaceutical industry in India</td>
<td>1</td>
<td>2</td>
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<td>2</td>
<td>The proposed Institute for values-based leadership will be useful to the pharmaceutical industry in India</td>
<td>1</td>
<td>2</td>
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<tr>
<td>3</td>
<td>The proposed Institute for values-based leadership will help to improve leadership skills where values are central to leadership</td>
<td>1</td>
<td>2</td>
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<td>4</td>
<td>The activities of the institute will create awareness about the need to actively promote and practice integrity in the workplace</td>
<td>1</td>
<td>2</td>
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<td>5</td>
<td>It is important to train and re-skill pharmaceutical sales and marketing teams to market drugs based on principles of marketing and science so that their confidence to sell ethically is increased</td>
<td>1</td>
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<td>6</td>
<td>An external, objective agency like the proposed training institute will help pharmaceutical organizations by facilitating interventions for change</td>
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<td>7</td>
<td>The training programs will help to improve participants confidence to recognize and deal with ethical dilemmas</td>
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<td>8</td>
<td>It is important to create forums for CEO’s, leaders and policy makers to debate approaches to address the challenges to values based leadership in the pharmaceutical industry</td>
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<td>9</td>
<td>The proposed institute will equip organisations to improve their image in the eyes of the general public by implementing the industry code of ethics</td>
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<td>10</td>
<td>Pharmaceutical companies would be interested in availing the services of an institute dedicated to improving the understanding and application of values-based leadership for their teams.</td>
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<td>11</td>
<td>I would be interested in using/recommending the services of such an institute to improve the quality of my organisation/team to sell ethically and display values-based leadership behaviour</td>
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**Thank you for your time and opinion!**

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APPENDIX D

PART 1 THE SURVEY: VERBATIM RESPONSES TO OPEN ENDED QUESTIONS
APPENDIX D

PART 1 THE SURVEY: VERBATIM RESPONSES TO OPEN ENDED QUESTIONS

This Appendix details all the verbatim responses obtained to open ended questions from Part 1-The Survey.

Question 1: Understanding of Business ethics

- Business ethics are moral guidelines which govern good behavior
- Business ethics is a form of applied ethics that examines ethical & moral principles in business
- Business ethics are set of code of conduct followed by a particular organization.
- It is something to do with the principles & values
- Business ethics is doing things the right way
- It is a set of values & principles to be followed
- Business ethics described by the company as per their policy
- Business ethics is all aspects of business conduct
- Business ethics is what the law requires
- Business ethics is related to values, principles, policies that business states
- It is ethical activities to be undertaken for running an ethical business
- It deals with carrying out business with integrity
- These are moral principles accepted by society
- Business ethics is not compromising on ethics in an organization
- Business ethics means to conduct business as per specified laws
- Business ethics is the law above everything
- Business ethics is not compromising on ethics even in the top line marketing
- Business ethics is what the business policy and frame work states
- It is business which is conducted as per the policies where fair practices are conducted, where business is in favor of public
- It is the understanding what is wrong & right
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- It is the code of conduct which is legal and socially acceptable way of doing business
- It is a combination of being true to oneself & others & committed to work in the best interests of the business
- It is the way of doing morally right business
- A combination of standards of behavior & legal aspects
- Business ethics - a set of norms a company must follow under law & fair in conduct towards its employees, customers & public at large
- Business ethics is respecting laws of land and human values while generating profits in business
- Business ethics means doing business in a conscientious manner, which also upholds the rules and morals of society. It is walking the talk.
- Business ethics is same as personal ethics, values followed on a personal front
- It is something to do with the law & is a large concept
- Business ethics is the moral compass of an individual
- It is sticking to principles of organization
- Business ethics is a set principles of the organization
- Business ethics is something which we follow no matter what the consequence is, it is kind of value system the organization follows
- Business ethics which is morally right & non corrupt
- It is doing business with framework of law of land and committing to consumers what is right and not flimsy/deceptive

Q.3. Do you think the pharma industry in India follows business ethics in their operations?

Reasons for opinion: Yes, the pharma industry in India applies business ethics in their operations

- It is the responsibility of the manufacturing & delivering ethical drugs to patient.
- The industry is a regulated market & related to saving lives.
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• All successful companies have strong ethical policies.
• We are governed by international regulations
• Since the pharma industry is responsible for the life of the patients
• MNC's governed by own code of ethics
• The pharma industry operates to make life better healthier
• The Pharma business is related to the health of human beings
• MNC's follow ethics & practice it on global grounds
• To build positive image with customers/end user
• Since we have a drug regulatory body & licenses are required to market

Reasons for opinion: No, the pharma industry in India does not apply business ethics in their operations

• This is clearly evident from the practices followed by most companies in terms of promotion, dealing with customers, regulatory affairs, and usage of drugs.
• It is because most of the company’s business is based on unethically influencing the customers with "wheeling & dealing" in order to stay ahead in the cut throat competitive environment
• The systems in the industry are corrupt
• The commercial incentives given to doctors are clearly unethical
• In the pharma industry every company practices unethical behavior
• Customer’s expectations are changing, hence companies are willing to go any length to fulfill them.
  Every company wants to become big very fast.
• Companies among the top 10 are carrying out bribing practices.
• Unqualified business men with low respect for human life in the industry, with objective of making fast bucks, and lack of consumer awareness with regards to quality/price,
• Corruption is in the DNA of stakeholders
• Fiercely competitive scenario where revenue & profit are the only barometers of success.
Most companies do not work on merits of products.

II. Business ethics violations

5. Awareness of types of Business Ethics violations in pharma

- There is subtle bribery of doctors, recycling, re-labeling of expired brands, subtle promotion and Contract business dealing with customers.
- Bribes to customers, incentives for prescription writing, off label usage, incorrect claims, customer sponsorship, misuse of samples
- Unethical payments to doctors, government agencies to get things done
- There is a lot of importance given to doctor's interest
- A practice of manipulation with toxic drugs, marketing and finance department
- Practices like sampling, gifting, trade schemes, sponsorship, low pricing, and price wars.
- Practices of gifting and bribing doctors, manipulating with Adverse Drug Reactions (ADR) results, sponsoring events & shows.
- The act of bribing
- Practice of Insider trading & gifting
- The practice of bribing / gifting
- The act of gifting / bribing doctors
- Presence of Insider trading, management of govt. officials getting approvals
- Undue influence of doctors to prescribe brands and bad manufacturing practices, substandard drugs
- Quality control, customer management, pricing & discounting, storage & transportation.
- Off label claims and regulatory.
- Unethical means in supply chain, pricing and unethical negotiation.
- Not passing information to the end users in true sense as per the requirements.
- Fudging clinical trials and reporting the good things alone, getting new molecules first to market at DCGI level, resolving IR issues in the field, resolving quality related issues at retailer or patient level, settling
association/trade partner's claims by unethical manner, creating trade channel
partners, changing or appointing new vendors etc.

- The quality of products, right information on product and usage, unnecessary
  medication, products that are harmful, yet sold, escalated costs due to
  undesirable schemes, gifts, bonus offers.

10 b Can you mention which type of ethical dilemmas have you experienced?
(Please mention area)

- I was subjected to a situation to report falsely against my boss.
- Have encountered pressure to achieve business targets.
- Yes, vendor offering bribe to order material.
- I was forced to manipulate with the strength of toxic drug formulation.
- With customer sponsorship, misuse of sample, price discounting.
- With unethical marketing practices
- The pricing of a product, unethical practice in selling, demands from sales
  team.
- The pressure from top management to achieve top line.
- The marketing (forced to meet unrealistic targets)
- The information provided to customers was not right.
- The conflict of interest, offers of bribe, hiring incompetent persons.
- Wrong information provided to customers.
- I am communicating various brands knowing full well what I am hiding.
- With ethical promotions of infant nutrition products
- I was asked to go against the person who was right
- Related to product quality
- Confidential; yes, would not like to disclose
- Doctors asking for gifts
- Offering bribes
- Quality problems
- Tenders & contracts where some officials tried to push us.
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- Good doctors asking for wrong kind of support
- Giving bribes
- Forced to execute marketing strategies which did not go with the organizational image and principles
- Quality control violations that affected the health of a patient
- Bribing to prescribe. Lures through means other than money to use products.
- Unnecessary schemes and bonus to push products. Selling short expiry products to complete sales objective.

16. Awareness of values based leadership and brief description

Brief description

- Values based leadership is no compromise with values & moral principles
- It is an exercise of influence to make a difference in relationships, teams, organization, through decision guided by values
- It is a system that takes into account the whole organization
- Values based leadership leads the team with clear objectives
- It is leadership driven by values
- Values based leadership is leaders who imbibe values in entire system
- It is using the weapon of values to stand against any wrong
- Values based leadership is doing things the right way
- Values based leadership is doing the right thing, so people will follow you
- Values based leadership is to lead by example.
- Leadership driven by values i.e. integrity, transparency, honesty
- It is focused on customers and performance, setting highest standards on ethics, developing people in frame of work of ethical practice
- Values are courage, achievement, respect, responsibility, integrity, transparency
- It is when one aligns ones organization’s mission, values, vision
- Leadership driven by values, principles & morals.
- It is corporate encourage set of moral values to be engraved in employees to drive business growth.
Values based leadership is to lead by example
Values are given priority; no one would like to go against values taught by the leader.
Values based leadership is something to do with core personal values.
It is following & fostering growth with the aid of core values.
It is leadership by values
Values based leadership is achieving desired goals of the organization ethically.
Leadership guided by values of organization.
Keeping values intact business needs to be built.
Values based leadership is Gandhi & Narayan Murthy- in present corporate scenario.
Values incorporated by organization, followed by employees.
Values based leadership is doing right things and guiding people in the right direction.
Leaders with strong personal values.
It is leaders who set an example.
Organizational values committed to the standards, communicating set of ideals.
Values based leadership is doing the right thing and setting examples for others to follow.
Values based leadership is achieving goals with the teamwork.
It is developing & implementing strategies in line with the organization’s vision.
It is a leadership style that follows principles, strong values, morals, laws.
Values based leadership is to walk the talk.
Values based leadership is to create & follow business ethics of which the return is intangible.
It is leadership based on principles & human values
Values based leadership is setting organization values and creating a benchmark for others
It is the social responsibility of organization
Values based leadership is where values are worshipped
It inculcates values at every level of the organization.
• Values based leadership is where leaders practice value.
• It is leadership which has clear vision & mission statement.
• Values based leadership is very theoretical.
• Leaders should inculcate the values & put it into the system.
• Values based leadership is worship of values
• It is leadership backed with integrity
• Values based leadership is the epitome of values
• Values such as integrity lead by e.g. courage under fire, fairness, unbiased
• It is leading from front, if you practice, the team will practice.
• Values based leadership is to lead by giving examples.
• Values based leadership is social responsibility.
• It is a way of behavior an employee must deliver in day-to-day performance.
• Leader practices, clearly communicates, demonstrates defined values of organization.
• Every individual has a set of values based on which he runs his life and organization.
• Core values that come from within and that are followed.
• Values based leadership is leading by example.
• Leadership practiced taking into consideration the values
• Values based leadership is exemplifying & being a role model as a leader.
• Values based leadership is trusting employees.
• Values based leadership is conducting ethics based business.
• Values based leadership is working on combination of organizational and personal morals and integrity
• Leadership that involves open communication at all levels, leads by example, empowers people to take their own decisions with certain organizational boundaries.
• Values based leadership is the behavior which is built on strong foundation of moral principles and is exhibited in behavior, conduct. It’s an open but assertive communication. It’s an attitude towards others, to treat them with dignity and respect. Values based leadership is an attitude to learn from all as well as to contribute for the benefit of individual or group with the parameters
of ethics. Values based leadership is an attitude to walk extra mile. Values based leadership is "Walk the Talk"

- It is doing the right things and the best you can.
- It is Steven Covey - Principle Centered Leadership.
- Leadership does not get distorted.
- Values based leadership is not compromising the values & principles for the betterment of the organization.
- It is values & principles that are good for organization & society.

### 20. Skills training needed to become a values based leader

- Skills to build strength & courage to go against & raise a voice against unethical practices.
- Training on assertiveness, courage to tell the truth in front of all.
- Ethics training is must which must be inculcated from the very start which teaches to be on right track always
- Training on gaining the courage to confront someone who is wrong.
- A total ethics training
- Training to make the right decision.
- Ethics training, assertiveness.
- Ethical training & ombudsman.
- Being a social citizen.
- Training on being true to self & others.
- Training on Assertiveness, courage, and empathy.
- For future leaders to identify values & ethics to develop confidence & courage to take a stand ethically.
- Training on the knowledge of ethics & its parameters, good communication skills, assertiveness, good grooming, induction with the organization right from the beginning.
- Training on value of integrity / God fearing.
- Skills of attaining self-discipline.
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- Skills to understand values.
- Power to take decisions.
- Freedom to report cases of violation
- Right mixture of information & ethical standard and upgrading personal value system.
- Behavioral training.
- Skills in assertiveness, firmness in decision-making, handling pressure tactics.
- Skills of Virtues/character/self values.
- Gaining confidence, courage to speak the truth, honesty & integrity.
- Skills of decision-making - implication of ethical/unethical practice.
- Training could also include spiritual aspects in business.
- Skills on how to focus on short term /long term goals.
- Training to leaders to understand business responsibility, adapt to changing situations, people management.
- Skills to gain courage to take a stand, open communication from roots to top.
- Ethical training in identifying unethical situation.
- Skill of courage, self-belief, assertiveness, openness & ability to refuse to toe the line.
- Training on how to be strong at their emotional quotient.
- Building skills on moral awareness, ethical behavior, decision making, assertiveness etc.
- How to focus on organizational values & implementing them
- Training is a core process.
- Training is an ongoing process
- Case studies of industry and how to handle dilemmas.
- Skills on conflict management, resilience- not give up perseverance.
- Training top management to support.
- Training on decision-making & evaluation during situation and necessary laws that guides ethics.
• Skills to learn how to deal with team members' dilemmas when choosing between the rights and wrongs, which may apparently be non beneficial to them at that point of time.

• Leadership skills, how to identify a dilemma? Empathy with situation and hence what action? Training in organizational values.

• Training on continuous establishment of values in business.

• How to sell long term goal, overlooking the short term gain
APPENDIX E

INADMISSIBILITY OF EXPENSES INCURRED IN PROVIDING FREEBIES TO MEDICAL PRACTITIONER BY PHARMACEUTICAL AND ALLIED HEALTH SECTOR INDUSTRY
Inadmissibility of expenses incurred in providing freebees to medical practitioner by pharmaceutical and allied health sector industry

CIRCULAR NO. 5/2012 [F. NO. 225/142/2012-ITA.II], DATED 1-8-2012

1. It has been brought to the notice of the Board that some pharmaceutical and allied health sector Industries are providing freebees (freebies) to medical practitioners and their professional associations in violation of the regulations issued by Medical Council of India (the ‘Council’) which is a regulatory body constituted under the Medical Council Act, 1956.

2. The council in exercise of its statutory powers amended the Indian Medical Council (Professional Conduct, Etiquette and Ethics) Regulations, 2002 (the regulations) on 10-12-2009 imposing a prohibition on the medical practitioner and their professional associations from taking any Gift, Travel facility, Hospitality, Cash or monetary grant from the pharmaceutical and allied health sector Industries.

3. Section 37(1) of Income Tax Act provides for deduction of any revenue expenditure (other than those failing under sections 30 to 36) from the business Income if such expense is laid out/expended wholly or exclusively for the purpose of business or profession. However, the explanation appended to this sub-section denies claim of any such expense, if the same has been incurred for a purpose which is either an offence or prohibited by law.

Thus, the claim of any expense incurred in providing above mentioned or similar freebees in violation of the provisions of Indian Medical Council (Professional Conduct, Etiquette and Ethics) Regulations, 2002 shall be inadmissible under section 37(1) of the Income Tax Act being an expense prohibited by the law. This disallowance shall be made in the hands of such pharmaceutical or allied health sector Industries or other assessee which has provided aforesaid freebees and claimed it as a deductible expense in its accounts against income.
4. It is also clarified that the sum equivalent to value of freebees enjoyed by the aforesaid medical practitioner or professional associations is also taxable as business income or income from other sources as the case may be depending on the facts of each case. The Assessing Officers of such medical practitioner or professional associations should examine the same and take an appropriate action.

This may be brought to the notice of all the officers of the charge for necessary action.
APPENDIX F

REPRODUCTION OF THE NOTIFICATION
ISSUED BY MEDICAL COUNCIL OF INDIA
Reproduction of the Notification issued by Medical Council of India

Medical Council of India

Pocket-14, Sector-8, Phase-I, Dwarka, New Delhi-110077

NOTIFICATION New Delhi, the 10th December, 2009

No. MCI-211(1) 2009 (Ethics)/55667-In exercise of the powers conferred by section 33 of the Indian Medical Council Act: 1956 (102 of 1956) the Medical Council of India with the previous sanction of the Central Government (Professional, hereby makes the following Regulations to amend the “Indian Medical Council (Professional Conduct, Etiquette and Ethics) Regulations, 2002:

(b) Travel Facilities: A medical practitioner shall not accept any travel facility inside the country or outside including rail, air, ship, cruise tickets, paid vacations, etc. from any pharmaceutical or allied health care industry or their representatives for self and family members for vacation or for attending conferences, seminars, workshops, CME programme etc. as a delegate.

(c) Hospitality: A medical practitioner shall not accept individually any hospitality like hotel accommodation for self and family members under any pretext.

(d) Cash or Monetary Grants: A medical practitioner shall not receive any cash or monetary grants from any pharmaceutical and allied healthcare industry for individual purpose in individual capacity under any pretext. Funding form medical research study etc. can only be received through approved institutions by modalities laid down by law/rules/guidelines adopted by such approved institutions in a transparent manner. It shall always be fully disclosed.

(e) Medical Research: A medical practitioner may carry out, participate in work in research projects funded by pharmaceutical and allied healthcare industries. A medical practitioner is obliged to know that the fulfillment of the following items (i) to (vii) will be imperative for undertaking any research assignment/project funded by industry for being proper and ethical. Thus, in accepting such a position a medical practitioner
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shall:

1. (i) These Regulations may be called the “Indian Medical Council (Professional Conduct, Etiquette and Ethics) (Amend- ment) Regulations 2009 Part-I”.

(ii) They shall come into force from the date of their publication in the official Gazette (i.e. 14th December, 2009, No. 246)

2. In the “Indian Medical Council (Professional Conduct, Etiquette and Ethics) Regulations, 2002” the following additions/modifications/deletions/substitutions shall be as indicated therein:

3. The following clause shall be added after clause 6.7: “6.8 Code of conduct for doctors and professional association of doctors in their relationship with pharmaceutical and allied health sector industry.

6.8.1 In dealing with pharmaceutical and allied health sector industry a medical practitioner shall follow and adhere to the stipulations given below:

(a) Gifts: A medical practitioner shall not receive any gift from any pharmaceutical or allied health care industry and their sales people or representatives.

4. (i) Ensure that the particular research proposal(s) has the due permission from the competent concerned authorities.

5. (ii) Ensure that such a research project(s) has the clearance of national/state/institutional ethics committee/bodies.

(iii) Ensure that it fulfills all the legal requirements prescribed for medical research;

(iv) Ensure that the source and amount of funding is publically disclosed at the beginning itself;

(v) Ensure that proper care and facilities are provided to human volunteers, if they are necessary for the research project(s).
(vi) Ensure that undue animal experimentations are not done and when these are necessary they are done in a scientific and humane way;

(vii) Ensure that while accepting such an assignment a medical practitioner shall have the freedom to publish the results of the research in the greater interest of the society be inserting such a clause in the MoU or any other document/agreement for any such assignment.

(f) **Maintaining Professional Autonomy:** In dealing with pharmaceutical and allied healthcare industry a medical practitioner shall always ensure that there shall never by any compromise either with his/her own professional autonomy and/or with the autonomy and freedom of the medical institution.

(g) **Affiliation:** A medical practitioner may work for pharmaceutical and allied healthcare industries in advisory capacities, as consultants, as researchers, as treating doctors or in any other professional capacity. In doing so, a medical practitioner shall always:

(i) Ensure that his professional integrity and freedom are maintained;

(ii) Ensure that patients interest are not compromised in anyway;

(iii) Ensure that such affiliations are with in the law;

(iv) Ensure that such affiliations/employments are fully transparent and disclosed.

(v) **Endorsement:** A medical practitioner shall not endorse any drug or product of the industry publically. Any study conducted on the efficacy or otherwise of such products shall be presented to and/or through appropriate scientific bodies or published in appropriate scientific journals in a proper way”

**Ltd. Col. (Retd.) Dr. A.R.N. Setalvad, Secy.**

(ADVTIII/4/100/09-Exy.)

**Foot Note:** The Principal Regulations namely “Indian Medical Council (Professional Conduct, Etiquette and Ethics) Regulations, 2002” were published in Part-III, Section (4) of the Gazette of India on the 6th April, 2002, and amended vide MCI notification, dated 22-2-2003 and 26-5-2004.