THE PENNSYLVANIA STATE UNIVERSITY VALUES & CULTURE SURVEY

REPORT OF FINDINGS

August 8, 2014

Final Report

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EXECUTIVE SUMMARY

In April of 2013, The Pennsylvania State University (the University) contracted with the Ethics Resource Center (ERC) to conduct a survey of all faculty, staff, technical service employees, and students (both graduate and undergraduate) on all campuses. The project was part of a larger ongoing effort by the University to better understand its culture and the values that are commonly held among its members.

The Pennsylvania State University Values & Culture Survey was fielded from October 29 through November 22, 2013. A total of 14,655 members of the University community participated in the effort. The survey yielded a university-wide response rate of 13%; faculty and staff participated at higher rates (see table on right).[1] Analysis revealed that the respondents are representative of the University; further analyses indicated no significant risk of a non-responder bias in the results.[2] This summary addresses key findings for the University overall.[3] Additional analysis will be provided for various demographic groups.

SURVEY RESPONSE RATES
(% of total pop. for each group)

Faculty	31%
Staff/administrators/technical service employees	40%
Graduate students	11%
Undergraduate students	7%

Strength of Connection to the Culture
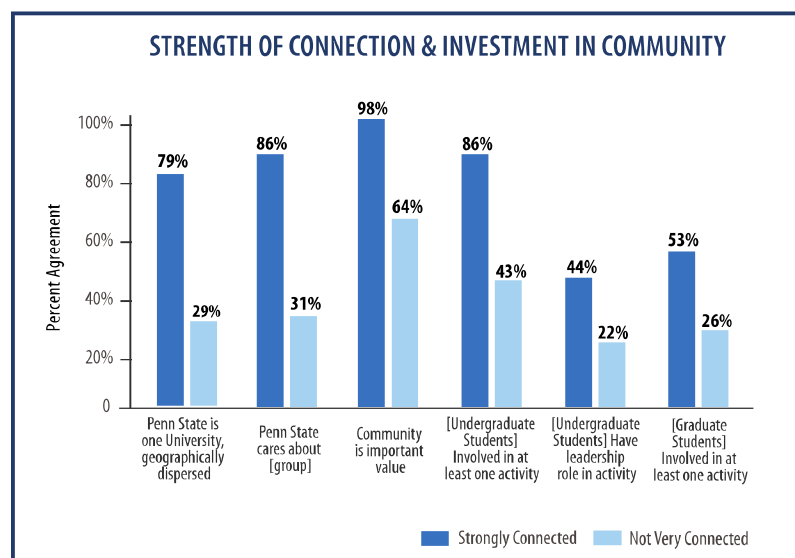
STRENGTH OF CONNECTION & INVESTMENT IN COMMUNITY

The data reveal that overall Penn State has a strong and engaging culture: almost universally, faculty, staff, and students feel connected to the University. Thirteen survey questions were used to create a scale to measure the strength of connection to the culture.[4] Ninety-five percent of respondents were categorized as at least "moderately connected," including 39% who were categorized as "strongly connected." Five percent of respondents were categorized as "not very connected." A strong

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[1] Data were weighted based on composition of faculty, staff, undergraduate, and graduate students on each campus at the time of the survey distribution. A more detailed report about the methodology, "Summary of the Survey Process," was submitted to the University on May 6, 2014, and is available in Appendix A.

[2] Analyses comparing the demographics of those who responded to the survey with population data from the University Budget Office indicated that the respondents were representative of the University. Please see "Summary of the Survey Process" for more detailed information about representation and non-response bias.

[3] Data tables with summary statistics for each survey question were provided to the University. The purpose of this report is to highlight high-level themes and areas for attention.

[4] The questions measured how strongly a person feels connected to Penn State on a scale of 1 (low connection) to 5 (high connection). Individuals who, on average, scored 4 or higher on the questions were categorized as "strongly connected." Those who on average responded with a 2 or lower were categorized as "not very connected." The remaining individuals were "moderately connected" to Penn State (not shown in chart above).

connection to the University is linked to investment in the community and beliefs about its importance in a positive way (see chart on previous page).

There is also a positive connection between the community and personal values; ninety-five percent of those who are strongly connected to the University say that they have been able to maintain their personal values throughout their university experience.

Drivers of Culture
The academic experience emerged as a primary means by which members of the community say they feel this strong connection to the Penn State culture. Half of all faculty participants (51%) said that teaching makes them feel most connected. For 59% percent of graduate student respondents, and for 27% undergraduate respondents, engaging in intellectual activity made them feel most connected. Furthermore, when asked to identify the individuals who help define what success looks like at Penn State, respondents most often selected academics (see box on left).

> **"WHO DO YOU RELY ON MOST TO KNOW HOW TO SUCCEED AT PENN STATE?"**
>
> - **Graduate students**: Faculty or thesis/dissertation advisors (41%)
> - **Undergraduate students**: Professors and instructors (39%)
> - **Faculty**: Colleagues (32%)
> - **Staff**: Supervisors (32%)

For undergraduate students in particular, attending or following Penn State athletic events (in general) is also a primary means of connection. Twenty-five percent said that this makes them feel most connected. The survey included a question for all participants that asked if they believed football, in particular, was overemphasized within the Penn State culture. The data show that there is no consensus. Forty percent say football gets too much emphasis, 36% disagree, and 24% are neutral. Of those who say football is too important, 54% also say that the attention level is "about the same as other universities like Penn State."

Core Values of the University Community
The heart of a culture is its values: the ideals about how people should act that ultimately guide their decisions and behavior. At Penn State, there is widespread agreement regarding the values that *should* represent the community in the future.

Seven values were consistently cited as most important to the University community with regard to the future (see table on right). These included Integrity, Honesty, Respect, Excellence, Accountability, Responsibility and Community.
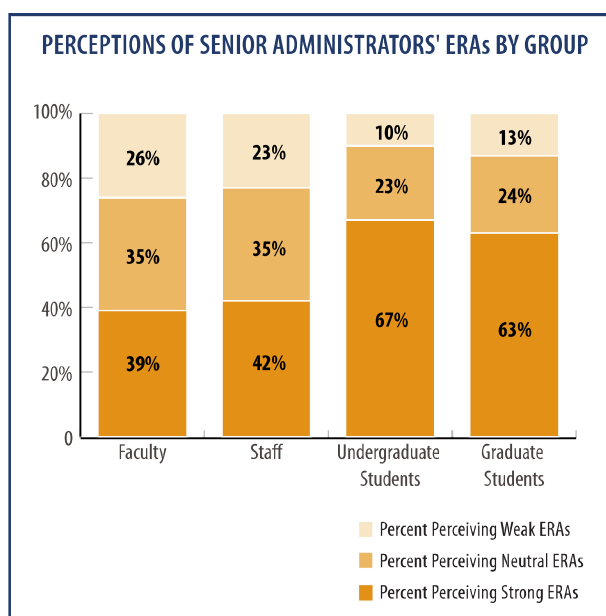
MOST FREQUENTLY CITED VALUES[5]

	SHOULD BE IMPORTANT	
Rank	Core Value	Percent PSU Overall
1	Integrity	67%
2	Honesty	59%
3	Respect	57%
4	Excellence	54%
5	Accountability	47%
6	Responsibility	47%
7	Community	45%
8	Discovery	31%
9	Service	24%
10	Openness	20%
11	Courage	20%
12	Transparency	18%
13	Sustainability	16%

[5] This survey question asked respondents to select the top five values from a list of thirteen provided in the question that they believed should be important to the future in the Penn State community.

Perceptions of Senior Administrators

Members of the Penn State community were asked a series of questions about the "ethics-related actions" (ERAs) of various groups, and six survey questions were used to show how powerful the impact of different groups can be.[6] Senior administrators emerged as an influential group; survey respondents who indicated that their senior administrators displayed these ERAs also indicated that they experience fewer ethics challenges. Specifically, they experience pressure to commit violations of policy or the law, and they observe improper conduct (see graphic to the right).[7]

{ERAs ethics-related actions}

Talking About the Importance of Ethics
Acting with Integrity and Responsibility
Accountability if Violations of University Policy Occurred
Modeling Ethical Behavior
Supporting Others in Following University Policy
Transparency with Regard to Critical Issues Affecting Penn State

WHERE SENIOR ADMINISTRATORS SHOW ERAs, FEWER PEOPLE EXPERIENCE ETHICS CHALLENGES

44% Fewer People Experience Pressure to Compromise Standards

29% Fewer People Observe Misconduct

PERCEPTIONS OF SENIOR ADMINISTRATORS' ERAs BY GROUP

Percent Perceiving Weak ERAs
Percent Perceiving Neutral ERAs
Percent Perceiving Strong ERAs

Survey respondents also identified different individuals as "senior administrators," indicating that a broad group of leaders across the University has the potential to make this positive impact. The three groups identified as "senior administrators" most often were President & VPs (35% overall), Board of Trustees (28%), and Deans and Department Heads (27%).

Across the University, 61% expressed a positive view of senior administrators' ERAs. This result was largely driven by the more positive views that were expressed by graduate and undergraduate students (see chart at left).

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[6] The ERAs as metrics were adapted from ERC's research about the drivers of culture (see: Ethics Resource Center. (2005). *National Business Ethics Survey: How Employees View Ethics in Their Organizations 1994-2005. Washington, DC: Ethics Resource Center.*) These six questions measured how a person perceived the "ethics-related actions," or ERAs, of senior administrators. Respondents were categorized as perceiving "weak senior administrator ERAs" if they, on average, disagreed with all questions. Respondents were categorized as perceiving "strong senior administrator ERAs" if they, on average, agreed with all questions. A third category captured those respondents who were, on average, "neutral" about all questions.

[7] Sixteen percent of respondents perceiving "weak" senior administrator ERAs experienced pressure, compared to 9% of those who perceive "strong" senior administrator ERAs. Seventy-three percent of respondents perceiving "weak" senior administrator ERAs observed misconduct, compared to 52% of those who perceive "strong" senior administrator ERAs.

Observed and Reported Misconduct

The survey collected baseline data about observed and reported misconduct on campus in order to help measure the impact of the University's programs in the future. Overall, 58% of survey respondents said that within the last twelve months they observed at least one type of behavior they considered to be "a violation of University policy or the law (see list below)."[8] By group, 59% of faculty, 48% of staff, 64% of undergraduate students, and 34% of graduate students said that they observed some form of improper behavior.

Overall, 26% of survey respondents who observed misconduct also reported it[9] to a University leader, manager, or other authority.[10] The highest number of respondents who observed wrongdoing and *did not* report said that they did not believe it was significant enough to report (69% overall). Across all key groups (faculty, staff, undergraduate and graduate students), at least 36% of those who did not report in any group said that they did not believe they could report anonymously, indicating unfamiliarity with the process.

Across all key groups, the largest percentages of people who *did* report misconduct said they went first to someone with whom they had an existing relationship. More than a third (38%) of staff reported to a supervisor; 47% of undergraduate students went to either an authority in the classroom or the residence halls; and 53% of graduate students went either to the person they work most closely with or another faculty member/instructor.

> **"FOR EACH [OF THE FOLLOWING], PLEASE TELL US WHETHER YOU HAVE PERSONALLY OBSERVED THIS BEHAVIOR AMONG MEMBERS OF THE PENN STATE COMMUNITY WITHIN THE LAST 12 MONTHS."**
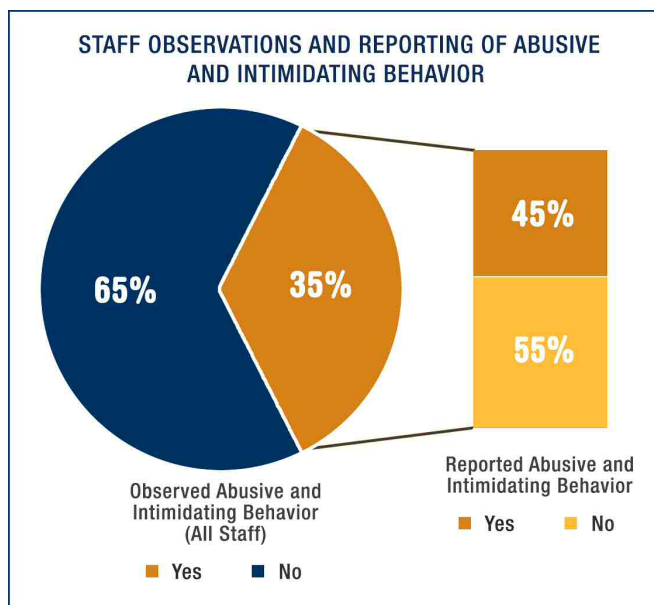>
> - Abusive or intimidating behavior that creates a hostile environment (e.g., bullying)
> - Cheating, plagiarism, or other violations of academic integrity
> - Discrimination
> - Financial misconduct (e.g., falsifying expense reports, embezzlement)
> - Research misconduct
> - Stealing or theft
> - Substance abuse by a faculty member or University employee
> - Substance abuse by a student
> - Other violations of University policies or the law (e.g., violations of the Student Code of Conduct or HR policy, including sexual misconduct)

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[8] This value was generated through a rollup that counted individuals as having observed misconduct if they said yes to at least one of the specific types of misconduct asked about in the survey.

[9] By group, 57% of faculty, 50% of staff, 19% of undergraduates, and 36% of graduate students reported at least one type of misconduct that they witnessed. These values were generated through a rollup that counted individuals as having reported misconduct if they said yes to reporting at least one of the specific types of misconduct asked about in the survey.

[10] The survey also asked individuals who observed misconduct and then reported it where they first reported the misconduct they observed; this question was presented with different options for each of the four key groups. For more information about reporting locations, please see the full data tables.
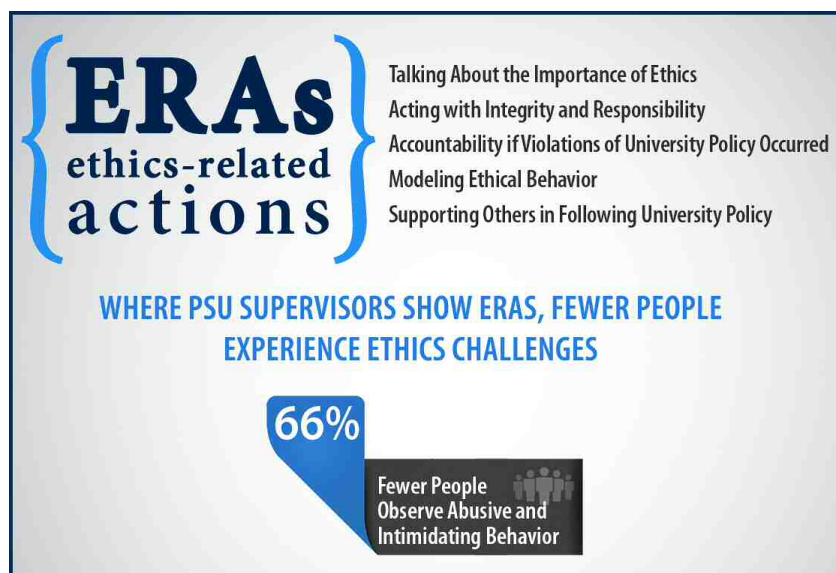
STAFF OBSERVATIONS AND REPORTING OF ABUSIVE AND INTIMIDATING BEHAVIOR

65% / 35%

Observed Abusive and Intimidating Behavior (All Staff)
- Yes ■ No

45% / 55%

Reported Abusive and Intimidating Behavior
- Yes ■ No

Ethics Experiences of Staff

The data suggest that staff members, in particular, are confronted with a significant ethics challenge. Forty-eight percent of all staff members said they observed misconduct; half reported it. However, eighteen percent of staff members who chose to report the misconduct they witnessed said they experienced retaliation – more than any other key group.

For staff members, the most frequently observed specific behavior (by 35% of all staff) was "abusive or intimidating behavior that creates a hostile environment (e.g. bullying)." See chart on left.

Importantly, these observations are significantly lower where supervisors are perceived to display ethics-related actions. Specifically, they observe "abusive and intimidating behavior that creates a hostile environment (e.g., bullying)." See chart below.

{ERAs} ethics-related actions

- Talking About the Importance of Ethics
- Acting with Integrity and Responsibility
- Accountability if Violations of University Policy Occurred
- Modeling Ethical Behavior
- Supporting Others in Following University Policy

WHERE PSU SUPERVISORS SHOW ERAS, FEWER PEOPLE EXPERIENCE ETHICS CHALLENGES

66% Fewer People Observe Abusive and Intimidating Behavior

Suggested Next Steps

ERC's research over the past two decades has shown that many of the positive aspects of a culture can be strengthened, and challenges raised by community members can be eased through a concerted effort to identify, promote, and reinforce the University's values. ERC therefore offers the following suggestions for the University to consider regarding next steps.

1. *Adopt one set of core values to represent all of Penn State. Promote the values and talk about what they look like in various settings.* Survey respondents widely agreed that a certain set of values should be considered important to the community in the future. This list

of values should be narrowed, further defined, and promoted as the "core values" of the institution.

2. *Leverage the academic experience to apply the values.* Given their role as a primary driver of culture, Faculty Senate, deans, department heads and other academics should be incorporated into existing efforts to identify and apply the University's core values. Other university departments, events, student activities, and groups should also be challenged to help drive the adoption of the core values across the community.

3. *Continue to make University standards and core values a primary focus of leadership.* Penn State should build upon the foundation of continuous improvement that has been established at the leadership level, in order to expand discussions about ethical leadership. For example, the University should provide regular training for senior administrators and the Board of Trustees on University core values and issues related to ethics and leadership.

4. *Foster environments where employees are supported and can raise concerns without fear. Hold managers accountable for inappropriate supervisory practices.* The University should examine management practices and educate supervisors about their role in establishing and maintaining an ethical workplace. Identify the specific areas within management where employees are not being treated with respect and dignity. Take action against managers who are engaging in practices that are abusive or intimidating to their employees. The university should also take steps to ensure that staff are aware of the ways to report misconduct, and the systems in place to protect them when they do come forward.

5. *Position the Office of Ethics & Compliance as a primary recipient for reports of misconduct, and a resource in promoting the core values of the institution.* Over the past year Penn State has established an Office of Ethics and Compliance for the University. The office should be positioned and sufficiently resourced to support efforts to integrate the core values into the Penn State culture, and to support the university-wide hotline to receive reports related to ethics issues and other violations. Additionally, the Office should support efforts to extend ethics and compliance resources to all key groups on campus by collaborating with other offices also involved in receiving reports (e.g., Human Resources, Student Affairs).

6. *Share lessons learned about culture, ethics, and higher education.* To ERC's knowledge, no other major university has undertaken such a vigorous effort to understand its culture as Penn State. The University should therefore take steps to share its insights about culture with peer institutions, in order to benefit the broader community and help others in higher education.

About the ERC

The Ethics Resource Center (ERC) is America's oldest nonprofit organization devoted to independent research and the advancement of high ethical standards and practices in public and private institutions. Since 1922, ERC has been a resource for organizations committed to a strong ethical culture. For more information about the ERC, please visit http://www.ethics.org.

INTRODUCTION

In April of 2013, The Pennsylvania State University (the University) contracted with the Ethics Resource Center (ERC) to conduct a survey of all faculty, staff, technical service employees, and students (both graduate and undergraduate) on all campuses. The project was part of a larger ongoing effort by the University to better understand its culture and the values that are commonly held among its members.

The Pennsylvania State University Values & Culture Survey was fielded from October 29 through November 22, 2013. A total of 14,655 members of the University community participated in the effort.

The purpose of this report is to provide an overview of the survey process and to summarize key findings with regard to the University overall.[11] Suggestions for next steps are also included.

Methodology

The survey process involved several phases, briefly described here. A detailed summary of the methodology was previously provided to Penn State in a *Summary of the Survey Process* document and is attached as Appendix A.

Development and implementation of the survey included:

- *Individual and group interviews* with more than 85 members of the Penn State community. Conversations focused on stakeholders' priorities, the values that should be tested as "commonly held" across the University, and other questions about the Penn State culture that should be included as metrics.

- *Question set development*[12] based on input from the University and ERC's longstanding research.[13] The draft survey instrument was refined in collaboration with the Freeh Advisory Council and the Subcommittee on Ethics & Core Values[14] and with additional input from the University Staff Advisory Council and undergraduate and graduate student leaders from several campus organizations.

- *Pilot testing* the technical aspects of the survey to ensure that survey questions were posed in a way that could be easily understood. Four hundred eighty-eight members of the Penn State community participated in the pilot. Based on pilot survey results, the question set was revised and re-circulated among the initial group of reviewers.

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[11] Data tables with summary statistics for each survey question were provided to the University. The purpose of this report is to highlight high-level themes and areas for attention.
[12] Given the unique nature of each key group participating in the survey, four versions of the instrument were developed (faculty, administrator/staff/technical service employee, undergraduate student, graduate student).
[13] For the past two decades, the Ethics Resource Center has conducted large- and small-scale studies on organizational ethics. For access to research papers, please visit www.ethics.org.
[14] The Freeh Advisory Council is now referred to as the Advisory Council for Continued Excellence (ACCE).

- *Implementation to the entire Penn State community*, including fielding the survey online and weekly reminders to increase participation. The University launched a communications effort to raise awareness about the survey.

- *Incentive drawing* of 20 iPad Air tablets in order to promote participation in the survey.

Throughout the entire process, ERC staff regularly reported on progress to the Freeh Implementation Advisory Council (which included the Subcommittee on Ethics & Core Values).

Response Rates and Margins of Error

The total population invited to take the survey was 110,747; including all faculty, staff, administrators, technical service employees, undergraduate students, and graduate students at all Penn State campuses, including World Campus. The final data set contains the input from 14,655 participants, yielding a university-wide response rate of 13%.

Table 1 below indicates the response across different Penn State groups. For each key group the margin of error is also indicated. The margin of error is calculated for the 95% confidence interval.

Table 1
FINAL RESPONSE RATES & MARGINS OF ERROR BY DESIGNATION

Designation	Total Population	Responses*		Margin of Error
Faculty	7411	2299	31.0%	+/- 1.7%
Staff/Administrators/Technical Service Employees	13171	5233	39.7%	+/- 1.1%
Undergraduate Students	77452	5689	7.3%	+/- 1.3%
Graduate Students	12713	1434	11.3%	+/- 2.4%
TOTAL Penn State	110747	14655	13.2%	+/- 0.8%

* The "Responses" count in Table 1 reflects the counts of the final data set, or the "usable cases" for analysis. This includes some partially-completed surveys.

Data for analysis were weighted based on two factors: designation as faculty, staff or technical service employee, undergraduate student, or graduate student; and primary campus location at the time of the survey. A discussion of representativeness and limitations of the survey data is available in the *Summary of the Survey Process* document (see Appendix A). Unless otherwise noted, all questions were analyzed excluding the "don't know" response choice.

RATIONALE & DEVELOPMENT OF THE SURVEY INSTRUMENT

The following is a brief overview of the definition of culture that was used to design the survey questions, and a description of the survey instrument itself.

Definitions of Culture
Metrics for the survey were based on a generally accepted definition of culture supported by academic literature, as well as research conducted over the past two decades by ERC on organizational ethics cultures.[15]

Culture has been defined as "an historically transmitted pattern of meanings embodied in symbols, a system of inherited conceptions … by which [people] communicate, perpetuate and develop their knowledge … and attitudes."[16] Through culture, members of a community learn about the behaviors that are considered to be acceptable, the activities that should be prioritized, and the moments in the history of the group that shape the way things are done. This is true whether the culture is a nation, a school, or a company.[17]

Organizational Culture
Research has shown that in even the most dynamic and differentiated cultures there are beliefs that are commonly held, and stakeholders have an experience of "the culture" as an overarching entity that encompasses all its subcultures.[18] Therefore, even in highly complex and multifaceted organizations there exists an *organizational culture* which impacts members, shaping their beliefs and behaviors, and which can be studied.

Ethics as a Part of Culture
Ethics is an important part of an organization's culture, determining the extent to which the organization makes doing what is right a priority and promotes and embodies its values. It is through culture that individuals learn which rules must be followed, and how rigidly; how people ought to treat one another; whether it is acceptable to question authority figures; if it is safe to report observed misconduct; and more.[19] Ethics in a culture determines "how [stakeholders] understand what is expected of them, and how things really get done."[20]

Research has shown that the ethics dimension of a culture is a powerful influence on the behavior of its stakeholders, particularly when problems arise. The strength of an organization's emphasis on ethics influences the extent to which members feel pressure to violate the rules; rates of observed misconduct; willingness to come forward to report wrongdoing; and retaliation

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[15] A more detailed discussion of the definition, and the literature on which it is based, was provided to Penn State in the *Summary of the Survey Process* document previously mentioned. See Appendix A.

[16] Geertz, C. (1973). *The interpretation of cultures*. New York: Basic Books.

[17] Schein, E. H. (2004). *Organizational culture and leadership* (5th ed.). San Francisco: Jossey-Bass.

[18] Ibid.

[19] Ethics Resource Center. (2011). *National Business Ethics Survey*. Arlington, VA: ERC.

[20] Trevino, L. K., Weaver, G. R., Gibson, D., & Toffler, B. (1999). Managing ethics and   compliance: What works and what hurts. *California Management Review, 41 (2),* 131-151.

rates.[21] To measure the ethics dimension of a culture, ERC utilizes a series of metrics called the "ethics-related actions," or ERAs. ERAs are "behaviors that exhibit the standards of an organization, and model a commitment to ethics on a daily basis."[22]

Design of the Survey Instrument

The Penn State Values & Culture Survey was designed to help the University better understand the views of its community with regard to its overall culture and its emphasis on ethics. The survey asked current members of the community about their perceptions of the University culture as they experience it on a daily basis. Questions for the survey inquired about several key subject areas:

- *Collective Identity:* Extent to which stakeholders feel connected to the University and facets of the culture which influence their level of association. Throughout the report, this metric is also referred to as measuring a respondent's "strength of connection" to Penn State and its culture.

- *Core Values:* Identification of the values that currently guide decisions and behavior at the University, as well as the core values that *should* be commonly held across the community.

- *Institutional Priorities:* Community members' views about current institutional priorities, as well as their input as to what the priorities should be in the future.

- *Ethical Leadership:* Investigation of whether certain groups (namely senior administrators, deans, department heads, and peers) model and support ethical conduct.

- *Personal Experiences Related to Ethical Conduct:* Personal experiences of key groups, including perceived pressure to violate University standards; observations of misconduct;[23] the decision to report misconduct when observed; and whether those who chose to report experienced retaliation as a result.

Faculty, staff & technical service employees, undergraduate students, and graduate students are referred to as "key groups" throughout this report. Each version of the survey included the common core set of items, several branching items, and demographic questions. [24]

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[21] Ethics Resource Center. (2010). *The Importance of Ethical Culture: Increasing Trust and Driving Down Risks.* Arlington, VA: ERC.

[22] Ethics Resource Center. (2005). *National Business Ethics Survey: How Employees View Ethics in Their Organizations 1994-2005.* Washington, DC: ERC.

[23] Misconduct was defined as a violation of organizational ethics standards, policy, or a violation of the law.

[24] For additional information about survey length, the number of branching questions, and the number of demographic questions for each survey version, please see the *Summary of the Survey Process* (Appendix A).

KEY FINDINGS

This report focuses on key findings for the University as a whole, combining data received from faculty, staff, and students (graduate and undergraduate) across all campuses. The presentation of results is organized into several sections:

1. Strength of Connection to the Culture;
2. Drivers of the Penn State Culture;
3. Emphasis on Football in the Penn State Culture;
4. Core Values of the University Community;
5. Perceptions of Senior Administrators' Ethics-Related Actions (ERAs);
6. Observed and Reported Misconduct; and
7. Ethics Experiences of Staff.

In the final section, ERC provides suggestions as to next steps for strengthening the Penn State culture.
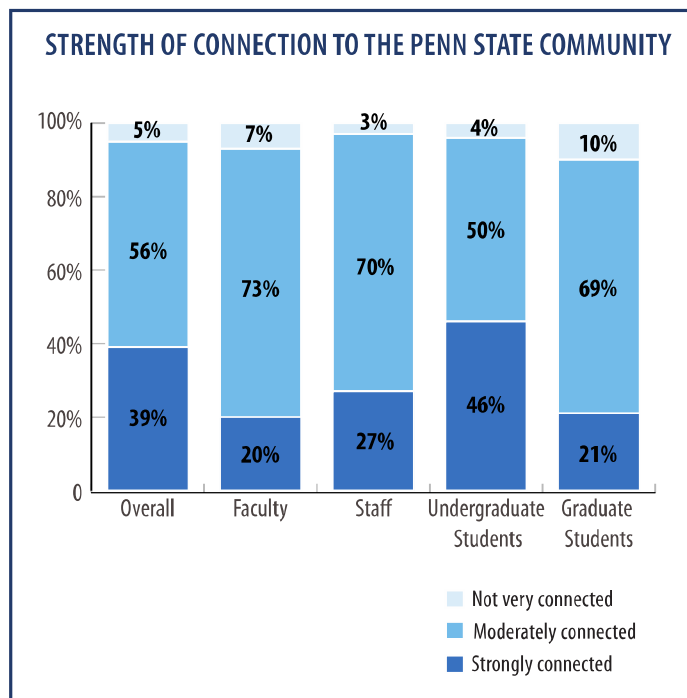
1. *Strength of Connection to the Culture*

One important purpose for the survey was to better understand the extent to which members of the community say that the University has a strong culture, and that they feel connected to it. The following are some of the key findings that emerged from the data regarding respondents' strength of connection to the Penn State culture.

> A. *Almost universally, respondents said they feel connected to the Penn State community.*

The data reveal that overall Penn State has a strong and engaging culture: almost universally, faculty, staff, and students feel connected to the University. Ninety-five percent of all faculty, staff, and student respondents (graduate and undergraduate) said that they feel *at least* "moderately" connected to the Penn State community.[25] Thirty-nine percent of all respondents indicated a "strong" connection to the University culture. Five percent of respondents were categorized as "not very connected."

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[25] Thirteen questions in the Penn State Values & Culture Survey focused on learning about an individual's level of association with the Penn State culture and the extent to which he or she felt connected to the university. Measures included questions about how well respondents feel they fit into the Penn State community, how ingrained Penn State is into their own lives, how often they are engaged with Penn State athletic or cultural events, etc. and were rated from 1 (low connection) to 5 (high connection). A scale was created out of this series of questions in order to examine the strength of various members' perceived connection to the University community. Individuals who, on average, scored 4 or higher on the questions were categorized as "strongly connected." Those who on average responded with a 2 or lower were categorized as "not very connected." The remaining individuals were categorized as "moderately connected" to Penn State.

Figure 1.

This strength of connection to Penn State yields positive benefits, as discussed in the next few subsections.

> B. *A strong connection to the University is linked to personal behavior in a positive way.*

The data show that strongly connected individuals are more likely to agree that the value of "Community" is very important in guiding daily decisions and behaviors at Penn State. Those who are strongly connected are also more likely to say that Penn State is a unified institution ("one University, geographically dispersed") and that the University cares about their interests.

Both graduate and undergraduate students who are strongly connected to the community are more likely to be involved in at least one student activity. Undergraduates in particular are more likely to take on a leadership role if they are strongly connected to the community as well.
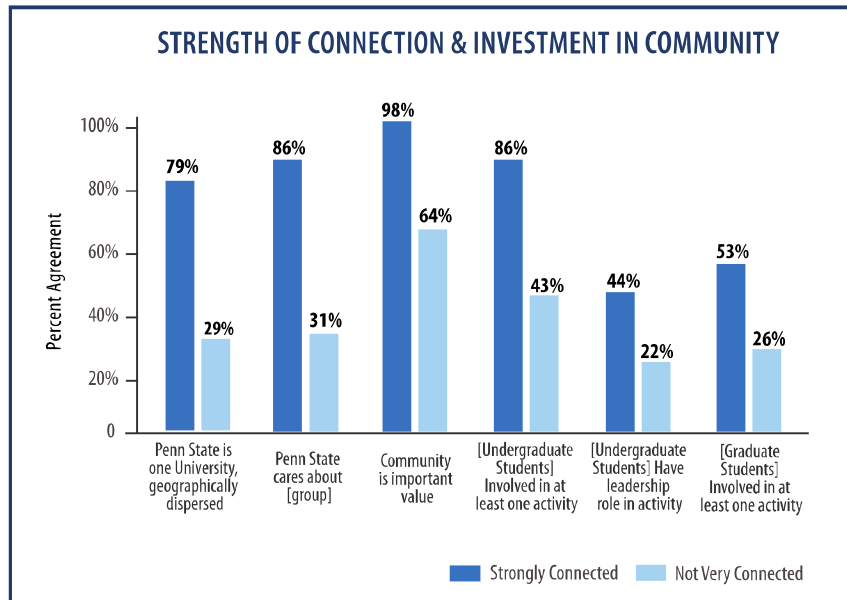
STRENGTH OF CONNECTION & INVESTMENT IN COMMUNITY

Figure 2.

C. *Individuals who are strongly connected to the Penn State culture are more likely to say that they have been able to maintain their personal values throughout their University experience.*

Respondents who are strongly connected are also more likely to say that they do not feel pressure to have to "fit in" with the community.
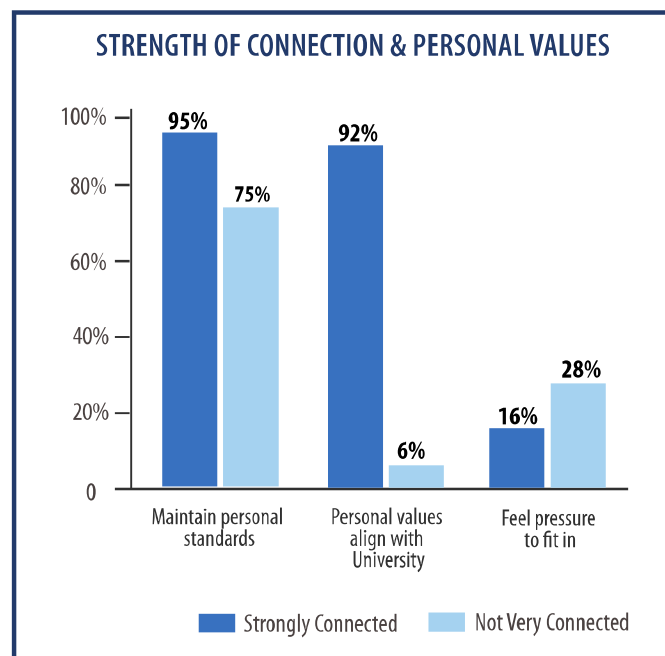

STRENGTH OF CONNECTION & PERSONAL VALUES

Figure 3.

D. *Those who are strongly connected to Penn State are more satisfied with the overall Penn State experience.*

Nearly all (96%) of survey respondents who were strongly connected indicated satisfaction with their University experience, while 31% of those who were not very connected indicated the same.

E. *The majority of respondents overall expressed personal pride and support for the University.*

Overall, 85% of all faculty, staff and students said that they are proud to be a member of the Penn State community. This expression of support and pride was also personal for many – 71% of all participants said that they consider the University's successes and losses to be their own successes and losses. Similarly, the majority of respondents said that University is an important part of their identity, and that they display their affiliation by wearing Penn State clothing or carrying items that display their affiliation as a public statement of their pride.

EXPRESSIONS OF PRIDE AND PERSONAL AFFILIATION WITH THE UNIVERSITY COMMUNITY
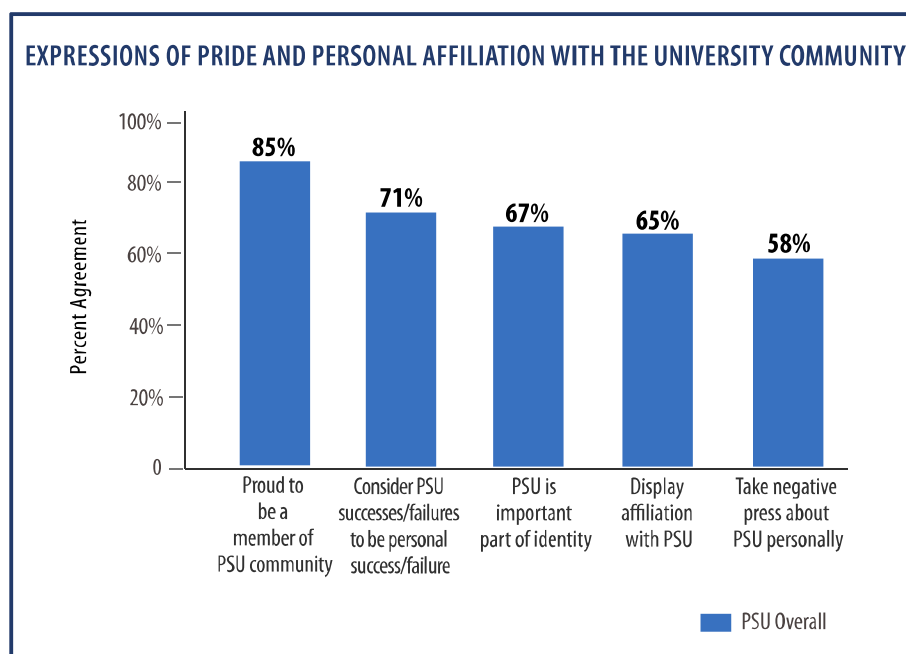
Figure 4.

F. *Concern for the well-being of others, and also for the broader public, is a priority in the Penn State culture.*

Ninety-one percent of all survey respondents believe that the Penn State community does good things for society. This concern is even more apparent among strongly connected

individuals, who want to see more institutional emphasis on philanthropy and volunteerism in the future. Fifty-two percent of those strongly connected said they thought "philanthropy and volunteerism" should be "more emphasized" as an institutional priority in the future, compared to 35% of those who were not very connected.

2. *Drivers of the Penn State Culture*

In addition to understanding the extent to which members of the community feel connected to the University culture, the survey posed a series of questions to better understand the means by which people connect to the culture. This included both the activities that make people feel most connected, and the individuals who help them know how to succeed.

A. *The academic experience is a primary connector to the Penn State culture.*

When asked to identify the activity that makes them feel most connected to the Penn State community, the highest percentages of faculty, staff and students (both graduate and undergraduates) selected an activity related to the academic experience.[26] The highest percentage of staff identified "engaging in tasks related to [their] job" as the activity that connected them most to the community.

WHAT ACTIVITY MAKES YOU FEEL MOST CONNECTED TO THE PENN STATE COMMUNITY?

- **Graduate students**: Engaging in intellectual activity (e.g. classroom time, research) (59%)
- **Faculty**: Teaching (51%)
- **Staff**: Engaging in tasks specifically related to my job (50%)
- **Undergraduate students**: Engaging in intellectual activity (e.g. classroom time, research) (27%)

B. *Academics were recognized by the highest percentage of respondents as the individuals who help define what success looks like at Penn State.*

When asked to identify the individual whom they rely on most to know how to succeed at the University, the greatest number of faculty and students (both graduate and undergraduates) selected individuals in the academy. Staff identified supervisors.

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[26] A comparable number of undergraduates (25%) selected "attending or following Penn State athletic events" as a means of connection to the University.

> **"WHO DO YOU RELY ON MOST TO KNOW HOW TO SUCCEED AT PENN STATE?"**
>
> - **Graduate students**: Faculty or thesis/dissertation advisors (41%)
> - **Undergraduate students**: Professors and instructors (39%)
> - **Faculty**: Colleagues (32%)
> - **Staff**: Supervisors (32%)

C. *Individuals in the academy make a positive impact through the ethics-related actions they display.*
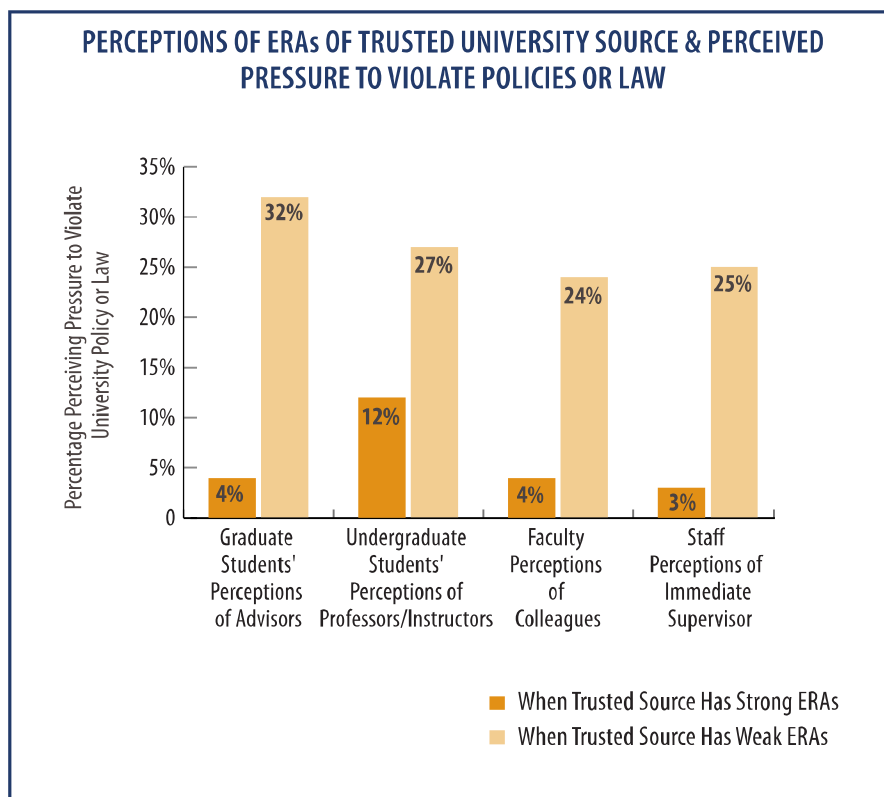
Survey participants were asked a series of questions about the "ethics related actions" (ERAs) of different groups on campus (e.g. senior administrators, colleagues, supervisors, advisors, and peers as appropriate). Specifically, participants were asked to indicate the extent to which these individuals: talk about the importance of ethics, model ethical behavior, would be held accountable if caught violating policy or the law, support individuals in following University policy, and are trusted to act with integrity and responsibility.[27]

The data show that when faculty members and other individuals in the academy were perceived to display these ERAs, their students and colleagues were:

- Less likely to feel pressure to commit violations of policy or the law;
- Less likely to observed misconduct;
- Less likely to experience retaliation for reporting.

The following chart shows this impact, specifically around the measure of pressure to commit violations of policy or the law. (For reference, this chart also displays the impact that supervisors have on staff members within Penn State.) For example, where graduate students perceive that their advisors are not displaying ERAs ("weak ERAs"), pressure to commit violations of University policy or the law is higher than where graduate students perceive the ERAs of their advisors positively ("strong ERAs").

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[27] The ERAs as metrics were adapted from ERC's research about the drivers of culture (see: Ethics Resource Center. (2005). *National Business Ethics Survey: How Employees View Ethics in Their Organizations 1994-2005*. Washington, DC: Ethics Resource Center.) These five or six questions measured how a person perceived the "ethics-related actions," or ERAs, of various groups, including senior administrators, supervisors, professors and instructors, and colleagues or fellow students, as appropriate. Respondents were categorized as perceiving "weak ERAs" if they, on average, disagreed with all questions pertaining to a given group. Respondents were categorized as perceiving "strong ERAs" if they, on average, agreed with all questions pertaining to a given group. A third category captured those respondents who were, on average, "neutral" about all questions pertaining to a given group.

PERCEPTIONS OF ERAs OF TRUSTED UNIVERSITY SOURCE & PERCEIVED
PRESSURE TO VIOLATE POLICIES OR LAW

Figure 5.[28]

### 3. *Emphasis on Football in the Penn State Culture*

As part of the effort to better understand the drivers of the Penn State culture, two questions in the survey asked participants to consider the importance of football. The first inquired about the current emphasis at Penn State; a follow up question asked a subset of respondents about the importance of football compared to peer institutions.

> A. *There is no consensus about the emphasis placed on football in the Penn State culture.*

> Survey participants were asked to indicate their level of agreement with the following statement: "The Penn State culture places too much emphasis on football."[29] The community was divided in their views, although patterns emerged by key group. Faculty and graduate students were more likely to agree that Penn State places too much emphasis on football than were staff members or undergraduate students.

---

[28] Overall, perceptions of trusted sources are as follows: 90 percent of graduate students perceive the ERAs of their advisors as strong overall, 2 percent weak; 88 percent of undergraduate students perceive the ERAs of their professors and instructors as strong, 2 percent weak; 75 percent of faculty perceive the ERAs of their colleagues as strong, 4 percent weak; 77 percent of staff perceive the ERAs of their supervisor as strong; 8 percent weak.

[29] Respondents answered using a five point scale, including "strongly agree," "agree," "neither agree nor disagree," "disagree," and "strongly disagree," plus "don't know"

THE PENN STATE CULTURE PLACES TOO MUCH EMPHASIS ON FOOTBALL
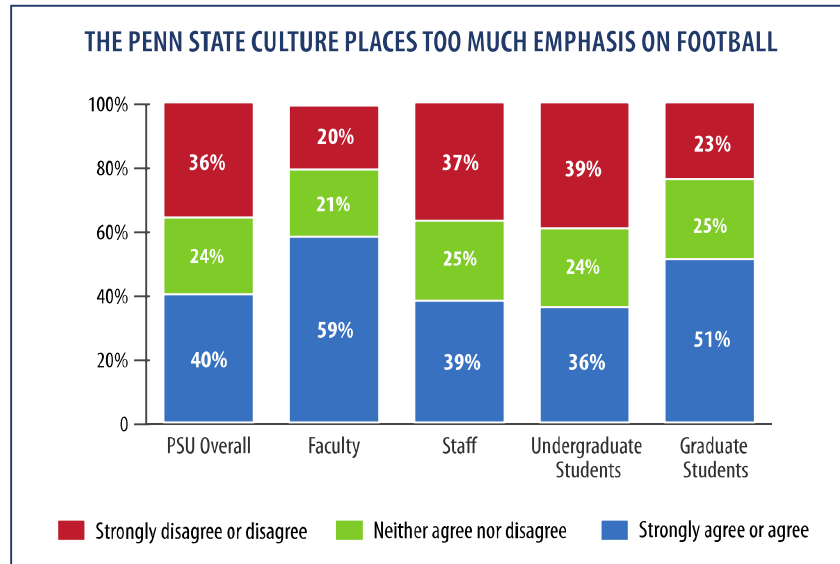
Figure 6.

B. *Among those who think there is currently too much emphasis on football, the majority believe that the priority given to the sport by Penn State is "about the same" as other similar universities.*

To further understand participants' views, a follow-up question was asked of any respondent who "agreed" or "strongly agreed" that the Penn State culture places too much emphasis on the sport. These participants were asked, "Would you say that Penn State's emphasis on football is:" and given three answer options, including "greater than other universities like Penn State," "about the same as other universities like Penn State," and "less than other universities like Penn State."

Again, views varied by group. Students were more likely to say that the emphasis on football is "greater than other universities like Penn State" than were faculty or staff members.
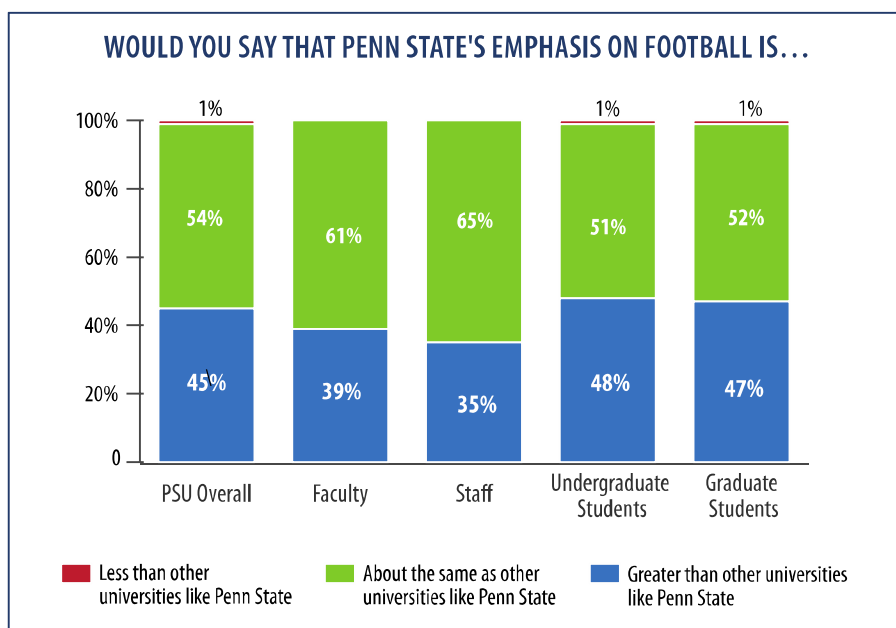
WOULD YOU SAY THAT PENN STATE'S EMPHASIS ON FOOTBALL IS...

	PSU Overall	Faculty	Staff	Undergraduate Students	Graduate Students
Less than other universities like Penn State	1%			1%	1%
About the same as other universities like Penn State	54%	61%	65%	51%	52%
Greater than other universities like Penn State	45%	39%	35%	48%	47%

Figure 7.

4. *Core Values of the University Community*

In order to support an ongoing effort by the University to identify its core values, several questions were inserted into the survey to seek the input of the Penn State community. This line of questioning asked participants to indicate the current level of importance of a set of values,[30] and also to select the five most important values for the University going forward.

> A. *Almost universally, respondents said that Discovery, Community, Excellence, Accountability, and Responsibility are currently important to the Penn State community.*

Survey participants were asked to identify the values that *currently* guide decisions and behavior at the University.[31] Over 90% of survey respondents overall rated Discovery, Community, Excellence, Accountability, and Responsibility as currently "very important" or "somewhat important" to the community.

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[30] The list of values was developed in cooperation with the Values Subcommittee of the Freeh Advisory Committee (now the ACCE). The Subcommittee conducted a scan of values that were commonly cited across Penn State campuses. ERC expanded that list to include values that are commonly cited in codes of conduct and other organizational values statements.

[31] Participants were asked to indicate the extent to which various values are important using a scale of "very important," "somewhat important," "not very important," or "not at all important."

Table 2
IMPORTANCE OF VALUES CURRENTLY (PERCENTAGE RESPONDING "VERY IMPORTANT" OR "SOMEWHAT IMPORTANT" COMBINED)
(Percentages in **bold** are one of the top five items selected by each group.)

Value	PSU Overall	Faculty	Staff	Undergraduate Students	Graduate Students
Discovery – We seek new knowledge.	**94%**	**94%**	**92%**	**94%**	**94%**
Community – We come together to achieve a common purpose.	**92%**	81%	**88%**	**94%**	**90%**
Excellence – We each strive to give our best in all situations.	**92%**	**88%**	**88%**	**93%**	**91%**
Accountability – We accept the consequences of our actions.	**91%**	**83%**	85%	**93%**	**90%**
Responsibility – We diligently meet our obligations.	**91%**	**85%**	85%	**92%**	**91%**
Service – We help meet the needs of others.	89%	**83%**	**87%**	**91%**	86%
Respect – We treat one another in a way that upholds each individual's dignity.	88%	80%	80%	**91%**	**90%**
Integrity – Our behavior is consistent with our values.	86%	76%	78%	88%	85%
Sustainability – We work to preserve the long-term health of the environment and its resources.	86%	78%	**86%**	88%	84%
Courage – We stand up for what is right, even when it is difficult.	85%	73%	79%	88%	83%
Honesty – We are forthcoming and truthful.	85%	75%	78%	87%	84%
Openness – We welcome new perspectives.	84%	68%	73%	87%	83%
Transparency – We are proactive in sharing information to keep our stakeholders informed.	79%	61%	69%	82%	76%

B. *There is agreement among community members that Integrity, Honesty, Respect, Excellence, Accountability, Responsibility, and Community should be core values moving forward.*

When asked to identify five values that should be important to Penn State in the future, seven values were selected most frequently by survey respondents.

Table 3
PERCENTAGE OF RESPONDENTS SELECTING VALUE AS ONE OF THEIR "TOP FIVE" VALUES THAT *SHOULD* BE IMPORTANT TO THE PENN STATE COMMUNITY IN THE FUTURE
(Percentages in **bold** are one of the top five items selected by each group.[32])

Value	PSU Overall	Faculty	Staff	Undergraduate Students	Graduate Students
Integrity – Our behavior is consistent with our values.	**67%**	**75%**	**74%**	**64%**	**73%**
Honesty – We are forthcoming and truthful.	**59%**	**51%**	**65%**	**60%**	**52%**
Respect – We treat one another in a way that upholds each individual's dignity.	**57%**	**46%**	**55%**	**60%**	**46%**
Excellence – We each strive to give our best in all situations.	**54%**	**65%**	**47%**	**54%**	**56%**
Accountability – We accept the consequences of our actions.	**47%**	**48%**	**66%**	43%	**51%**
Responsibility – We diligently meet our obligations.	**47%**	36%	42%	**50%**	41%
Community – We come together to achieve a common purpose.	**45%**	30%	29%	**51%**	34%
Discovery – We seek new knowledge.	31%	41%	19%	31%	39%
Service – We help meet the needs of others.	24%	19%	25%	24%	22%
Courage – We stand up for what is right, even when it is difficult.	20%	14%	12%	23%	16%
Openness – We welcome new perspectives.	20%	26%	22%	19%	20%
Transparency – We are proactive in sharing information to keep our stakeholders informed.	18%	36%	30%	14%	24%
Sustainability – We work to preserve the long-term health of the environment and its resources.	16%	17%	16%	15%	22%

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[32] For undergraduates, the percentage point difference between Community (51%) and Responsibility (50%) is not statistically significant. Therefore, both are listed as fifth in rankings and are bolded in the table.

Furthermore, ninety-five percent of all survey respondents selected at least one of Integrity, Honesty, or Respect as one of their five most important values that should be important to the University in the future. Twenty-two percent of respondents overall selected all three (Integrity, Honesty and Respect) among their top five values.

5. *Perceptions of Senior Administrators' Ethics-Related Actions (ERAs)*

As mentioned previously, members of the Penn State community were asked a series of questions about the "ethics-related actions" (ERAs) of various groups.[33] Like faculty (discussed in section 2C on page 18), senior administrators emerged as an influential group. However, there were differences of opinion among key groups.

A. *Survey respondents who indicated that their senior administrators displayed the ERAs also indicated that they experience fewer ethics challenges.*

The data show that where a senior administrator was perceived to demonstrate the ERAs (displaying most or all of the behaviors shown below), survey participants were:

- Less likely to feel pressure to commit violations of policy or the law;
- Less likely to observed misconduct;
- Less likely to experience retaliation for reporting.[34]

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[33] The ERAs as metrics were adapted from ERC's research about the drivers of culture (see: Ethics Resource Center. (2005). National Business Ethics Survey: How Employees View Ethics in Their Organizations 1994-2005. Washington, DC: Ethics Resource Center.) These six questions measured how a person perceived the "ethics-related actions," or ERAs, of senior administrators. Respondents were categorized as perceiving "weak senior administrator ERAs" if they, on average, disagreed with all questions. Respondents were categorized as perceiving "strong senior administrator ERAs" if they, on average, agreed with all questions. A third category captured those respondents who were, on average, "neutral" about all questions.

[34] Sixteen percent of respondents perceiving "weak" senior administrator ERAs experienced pressure, compared to 9% of those who perceive "strong" senior administrator ERAs. Seventy-three percent of respondents perceiving "weak" senior administrator ERAs observed misconduct, compared to 52% of those who perceive "strong" senior administrator ERAs.

Figure 8.

This finding was true for all categories of senior administrators (Board, President, VPs, Chancellors, Deans or other individuals).   The opposite was true where senior administrators were not perceived to display ERAs.

B. *Survey respondents identified different individuals as "senior administrators," indicating that a broad group of leaders across the University has this positive impact*.
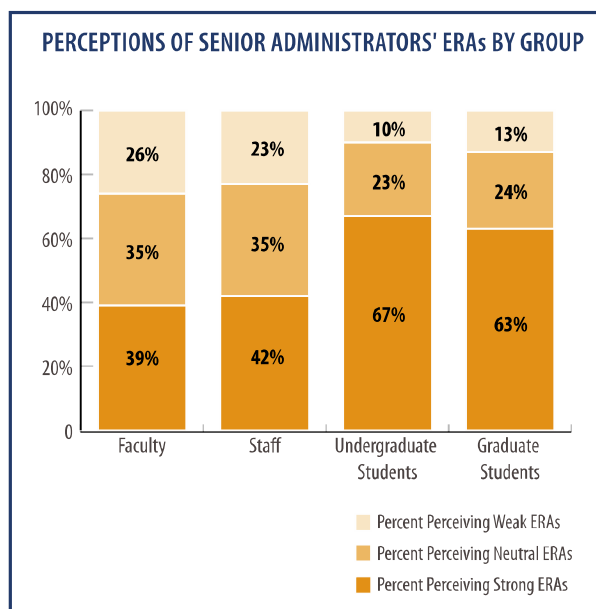
The data show that among the Penn State community, there is a broad and varied definition of which individuals or groups are considered to be "senior administrators," or the senior leadership of the University. For all groups of senior administrators, the display of ERAs was linked to more positive ethics experiences of survey respondents.

Table 4
WHO ARE "SENIOR ADMINISTRATORS"?

Answer Choice	PSU Overall	Faculty	Staff	Undergraduate Students	Graduate Students
Board of Trustees	28%	14%	25%	32%	20%
President and VPs	35%	57%	51%	29%	39%
Chancellor of my campus	6%	7%	4%	6%	2%
Deans or department heads	27%	19%	16%	29%	36%
Other	4%	3%	4%	4%	2%
Don't know	10%	3%	3%	12%	7%

C. *Overall, the majority of respondents were positive about the ethics related actions exhibited by senior administrators. This finding was largely driven by students; faculty and staff expressed less positive views.*

Just over sixty percent of survey participants indicated that they perceive senior administrators to display ERAs (61%). This result was largely driven by the positive views of graduate and undergraduate students. Faculty and staff, in particular, were more negative about the conduct of senior administrators.

PERCEPTIONS OF SENIOR ADMINISTRATORS' ERAs BY GROUP

	Faculty	Staff	Undergraduate Students	Graduate Students
Percent Perceiving Weak ERAs	26%	23%	10%	13%
Percent Perceiving Neutral ERAs	35%	35%	23%	24%
Percent Perceiving Strong ERAs	39%	42%	67%	63%

Figure 9.

6. *Observed and Reported Misconduct*

The survey collected baseline data about observed and reported misconduct on campus, in order to help measure the impact of the University's programs in the future.

A. *Overall, 58% of survey respondents said that within the last twelve months they observed at least one type of behavior they considered to be "a violation of University policy or the law."*

By group, 59% of faculty, 48% of staff, 64% of undergraduate students, and 34% of graduate students said they observed at least one behavior considered to be "misconduct." The table on the following page provides the list of misconduct asked about in the survey. Undergraduate students were not asked about financial misconduct or research misconduct; graduate students were not asked about financial misconduct.

Table 5
FORMS OF MISCONDUCT

"FOR EACH [OF THE FOLLOWING], PLEASE TELL US WHETHER YOU HAVE PERSONALLY OBSERVED THIS BEHAVIOR AMONG MEMBERS OF THE PENN STATE COMMUNITY WITHIN THE LAST 12 MONTHS."

- Abusive or intimidating behavior that creates a hostile environment (e.g., bullying)
- Cheating, plagiarism, or other violations of academic integrity
- Discrimination
- Financial misconduct (e.g., falsifying expense reports, embezzlement)
- Research misconduct
- Stealing or theft
- Substance abuse by a faculty member or University employee
- Substance abuse by a student
- Other violations of University policies or the law (e.g., violations of the Student Code of Conduct or HR policy, including sexual misconduct)

B. *Those indicating that they observed "substance abuse by a student" do not make up a majority of those who said they observed misconduct overall.*

The top forms of specific misconduct observed varied by group; for undergraduates, the most observed specific form of misconduct was "substance abuse by a student" (45%). The same form of misconduct was also observed by 10% of faculty respondents, 7% of staff respondents, and 12% of graduate student respondents. However, substance abuse by a student was not found to be a significant driver of the overall rate of misconduct observed. Overall, 9% of all survey respondents said that the only type of misconduct they witnessed was "substance abuse by a student." By group, 2% of faculty, 2% of staff, 3% of graduate students, and 12% of undergraduate students said that this was the only type of misconduct they witnessed. Without minimizing the issue of student substance abuse, these figures indicate that it is not substance abuse by students alone that influences the 58% overall observation rate.

C. *Nearly three-quarters of individuals who observed misconduct in the past twelve months did not report it.*

Seventy-four percent of individuals who said that they observed at least one form of misconduct within the last twelve months also said that they *did not* report their observation to a University leader, manager, or other authority.[35] Figure 10 shows the reporting rate of respondents by each of the four key groups.

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[35] The survey question asked individuals who observed misconduct where they first reported the misconduct they observed; this question was presented with different options for each of the four key groups. "University Hotline," "compliance officer," "campus police," "Affirmative Action," "other responsible person," "external authority," and "other" options were provided to all groups. Faculty were also provided options for the "Office of Human

REPORTING RATES BY GROUP

Overall 26%
Undergraduate Students 19%
Graduate Students 36%
Staff 50%
Faculty 57%
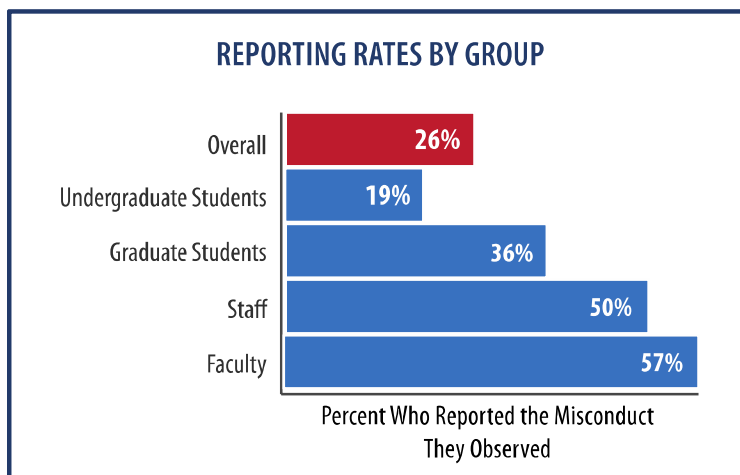
Percent Who Reported the Misconduct They Observed

Figure 10.

C. *Many non-reporters said that they did not report because the problem was not significant enough. One-third (31%) of non-reporters said that they are unfamiliar with available resources and the process for reporting.*

Several reasons were frequently cited as to why these individuals said they did not come forward to report observed wrongdoing – see Table 6 below. Many of these reasons indicate unfamiliarity with resources and/or distrust of the process.

Table 6
REASONS FOR NOT REPORTING – LEADING REASONS (OVERALL RESPONSES)

Reason For Not Reporting	PSU Overall
I did not think it was significant enough to report.	69%
I did not believe corrective action would be taken.	38%
I did not believe I could report anonymously.	38%
I did not know whom to contact.	31%
I resolved the issue myself.	24%

Resources," "department head," "college dean," and "college ombudsperson." Staff were additionally provided options for "the person I report to," "Human Resources within my unit," "Office of Human Resources," "employee relations," "head of my department/unit," "college ombudsperson," and "union steward." Undergraduates were additionally provided options for "resident assistant," "a professor or instructor," "the head of my department or dean of my college," "the leader of a student group," and "Student Affairs." Graduate students were additionally provided options for "the person I work most closely with or report to," "another professor or instructor," and "the head of my department or dean of my college."

The primary reasons for not reporting varied by key group. Faculty, for example, appear to feel more empowered to handle reports of misconduct on their own, compared to staff or students. Students are more likely than faculty or staff to say they did not report because they believed the behavior they witnessed was not significant enough.

Of staff respondents who observed misconduct and did not report (or 24% of staff respondents overall), three quarters did not report because they did not believe that corrective action would be taken.

<div align="center">

Table 7
LEADING REASONS FOR NOT REPORTING BY KEY GROUP

</div>

Reason For Not Reporting	Faculty	Staff	Undergraduate Students	Graduate Students
I did not think it was significant enough to report.	54%	41%	73%	63%
I did not believe corrective action would be taken.	58%	75%	32%	51%
I did not believe I could report anonymously.	41%	57%	36%	42%
I did not know whom to contact.	23%	22%	32%	41%
I resolved the issue myself.	41%	18%	24%	25%

D. *In the instances where members of the University community did report misconduct, they went to a known entity first.*[36]

Across all groups, the largest percentages of people who reported observed misconduct said that they went first to someone with whom they had an existing relationship. The highest percentage of:

- Staff reported to a supervisor;
- Undergraduate students reported to either an authority in the classroom or in the residence halls; and
- Graduate students went either to the person they work with most closely or another faculty member/instructor.

One noticeable exception is among faculty; 36% went to an "other responsible person." The response choices in the survey did not allow for further elaboration. Nevertheless, 31% of faculty indicated that they reported observed misconduct to the head of their department or unit.

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[36] Survey question asked respondents about the person or location to which they "first" reported the observed misconduct.

Table 8
LOCATIONS WHERE MISCONDUCT IS FIRST REPORTED

Locations where misconduct is reported	Faculty	Staff	Undergraduate Students	Graduate Students
University Hotline	1%	2%	2%	0%
Compliance officer	5%	1%	1%	4%
Affirmative Action	1%	2%	0%	1%
Campus police	2%	6%	9%	5%
Other responsible person	36%	12%	12%	15%
External authority	1%	0%	4%	4%
Other	5%	7%	11%	8%
Office of Human Resources	7%	5%	n/a	n/a
Department/unit head	31%	11%	n/a	n/a
College dean	11%	n/a	n/a	n/a
College Ombudsperson	1%	0%	n/a	n/a
The person I report to	n/a	38%	n/a	n/a
Human Resources within my unit	n/a	13%	n/a	n/a
Employee relations	n/a	1%	n/a	n/a
Union steward	n/a	1%	n/a	n/a
Resident Assistant (RA)	n/a	n/a	19%	n/a
A professor or instructor	n/a	n/a	28%	n/a
Head of dept/dean of college	n/a	n/a	3%	10%
Leader of student group	n/a	n/a	3%	n/a
Student Affairs	n/a	n/a	8%	n/a
Person I work most closely with	n/a	n/a	n/a	19%
Another professor/instructor	n/a	n/a	n/a	34%

E. *Portions of the community are not familiar with the University's process for handling reports of misconduct.*

Penn State has invested in the establishment of an ethics and compliance program to increase support for the University community. In order to help the Office of Ethics and Compliance identify priorities for its programs and measure its impact in the future, questions were included in the survey to gather baseline data.

With regard to the University's response to reports of misconduct, the input provided from Penn State community members revealed that:

- Forty percent of individuals at Penn State do not know that they can report misconduct anonymously or confidentially;[37]
- Thirty-two percent of the community is unaware that the University has formal systems in place to hold people accountable if they violate the rules.[38]

Additional questions were asked in order to gather baseline data regarding awareness of standards and programs related to ethical conduct.

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[37] Awareness of the means to confidentially or anonymously report misconduct among community members overall is 60%.
[38] Awareness of these formal discipline processes among community members overall is 68%.

Table 9
AWARENESS OF RESOURCES FOR ETHICS, ACADEMIC
INTEGRITY AND COMPLIANCE ISSUES BY GROUP[39]

Resources	Faculty	Staff	Undergraduate Students	Graduate Students
A set of stated policies to help guide or regulate ethical conduct *in research*	83%	n/a	n/a	82%
A set of stated policies to help guide or regulate ethical conduct *apart from research*	60%	n/a	n/a	63%
A set of stated policies to help guide or regulate ethical conduct	n/a	75%	73%	n/a
Orientation or training on policies regarding ethical conduct *in research*	71%	n/a	n/a	73%
Orientation or training on policies regarding ethical conduct *apart from research*	49%	n/a	n/a	52%
Orientation or training on policies regarding ethical conduct	n/a	62%	n/a	n/a
A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics issues apart from research	44%	n/a	n/a	52%
A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics issues	n/a	65%	51%	n/a
A means to confidentially or anonymously report wrongdoing (e.g., a hotline)	60%	79%	58%	49%
Evaluation of ethical conduct as part of regular performance appraisals	27%	39%	n/a	n/a
A formal process to discipline those who violate University policies	61%	58%	71%	67%
Other students you can turn to for help or advice (e.g., RAs, student organization leaders)	n/a	n/a	80%	n/a

[39] The survey question read, "Are you aware of the following resources for [faculty/staff/undergraduate students/graduate students] at Penn State?" Because these items measure awareness of program elements and resources, "don't know" responses were included in calculations of this question series.

8. *Ethics Experiences of Staff*

The data suggest that staff members, in particular, are confronted with significant ethics challenges.

> A. *Among those staff who reported misconduct, eighteen percent said they experienced retaliation as a result.*

Forty-eight percent of all staff members said they observed misconduct; half reported it. However, eighteen percent of staff members who chose to report the misconduct they witnessed said they experienced retaliation. Statistically, this is significantly higher than the retaliation rate for faculty (10%) and undergraduates (10%), though not statistically different from the retaliation rate for graduate students (12%).
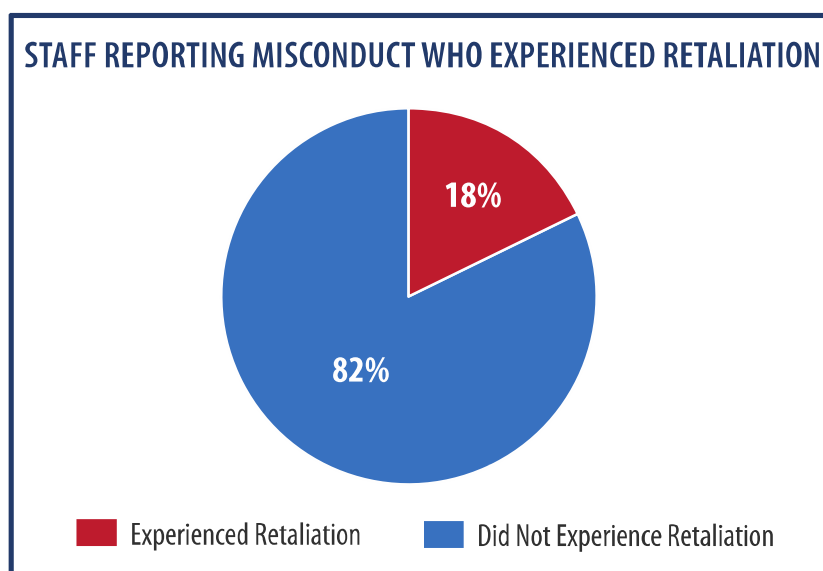
Figure 11.

The survey included an exploration of why staff did not report this and other forms of misconduct that they observed. Data revealed that:

- Seventy-five percent of staff members who did not report the misconduct they observed "did not believe corrective action would be taken." Staff members were more likely to cite this belief than faculty (58%), undergraduates (32%), and graduate students (51%) who did not report misconduct.
- Staff were the most likely of all groups (57%) to not report because they did not believe they could report anonymously.[40]

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[40] As shown in Table 7 on page 29, 41% of faculty, 43% of graduate students and 36% of undergraduate students said they did not report observed misconduct because they did not believe they could report anonymously.

- Some did not report because of fear. Thirty percent of non-reporting staff members were afraid of losing their job, compared to 14% of faculty. Fifty-nine percent of staff members said they feared retaliation from one or more sources (compared to 47% overall).
- Thirty percent of non-reporters among the staff had reported in the past and elected not to report again because of their previous experiences. By comparison, 22% of faculty, 10% of undergraduates, and 13% of graduate students who did not make a report cited the same concern.

REASONS FOR NOT REPORTING RELATED TO FEAR OF RETALIATION (STAFF)
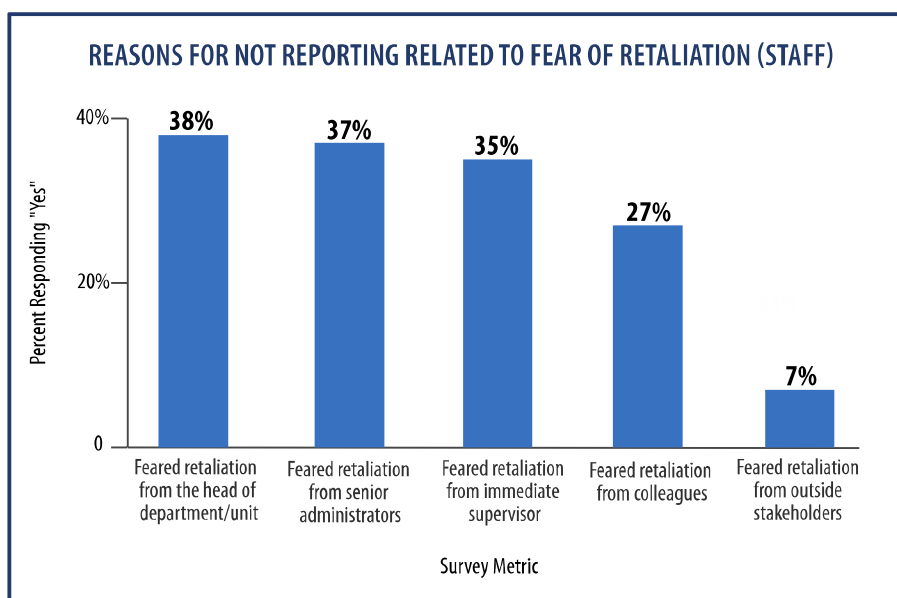
Figure 12.

B. *Thirty-five percent (35%) of all surveyed staff members said they observed abusive or intimidating behavior that created a hostile work environment (including bullying) within the past twelve months.*

This form of misconduct was observed by more staff members than any other type of misconduct listed in the survey. The 35% of staff observing this behavior is statistically significantly higher than the rate at which faculty (27%), undergraduate students (15%), or graduate students (13%) observed this behavior.

A majority of staff members who said they observed abusive behavior also said that they did **not** report it (55%).[41]

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[41] The reporting question was only asked of the 35% of staff members who said they witnessed abusive behavior.

STAFF OBSERVATIONS AND REPORTING OF ABUSIVE AND INTIMIDATING BEHAVIOR

65% 35%

45%

55%

Observed Abusive and Intimidating Behavior (All Staff)
■ Yes   ■ No

Reported Abusive and Intimidating Behavior
■ Yes   ■ No
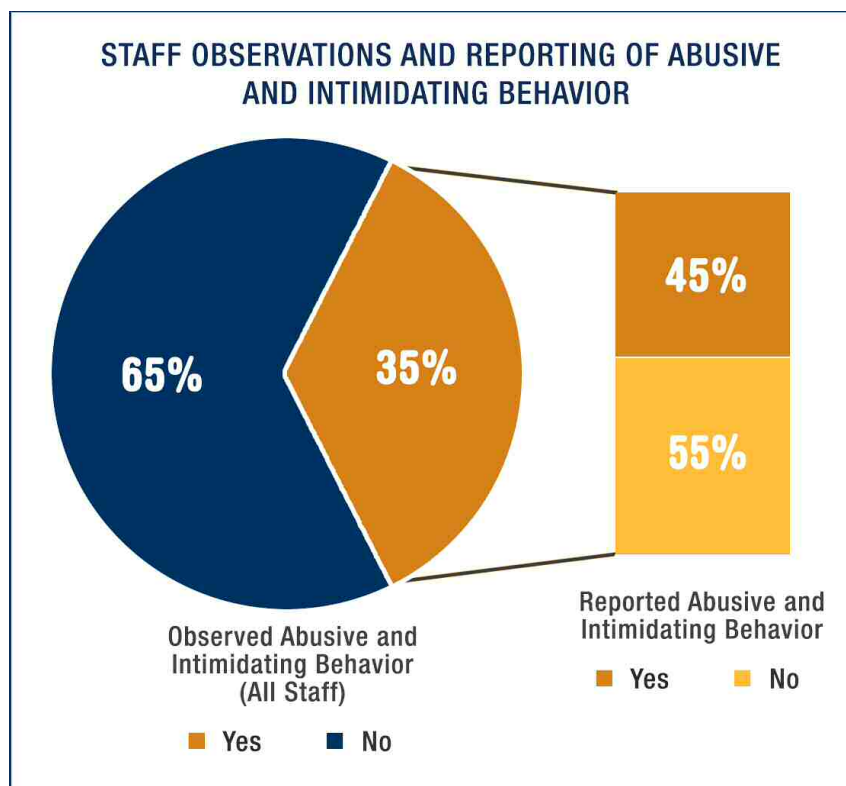
Figure 13.

C. Supervisors are the primary recipients of staff reports of misconduct overall.

Forty-eight percent of all staff members said they observe misconduct; half reported it. Thirty-eight percent of staff who made a report went to their supervisor. Additionally, 13% reported to Human Resources within their unit, and 11% reported to their department/unit head. In total, approximately 62% of first reports were made within an individual's unit, with the most going to a person's immediate supervisor.

RECIPIENTS OF STAFF REPORTS OF MISCONDUCT

38%	The Person I Report To
13%	Human Resources Within My Unit
12%	Other Responsible Person
11%	Department/Unit Head
7%	Other
6%	Campus Police
5%	Office of Human Resources
2%	University Hotline
2%	Affirmative Action
1%	Compliance Officer
1%	Employee Relations
1%	Union Steward
0%	College Ombudsperson
0%	External Authority
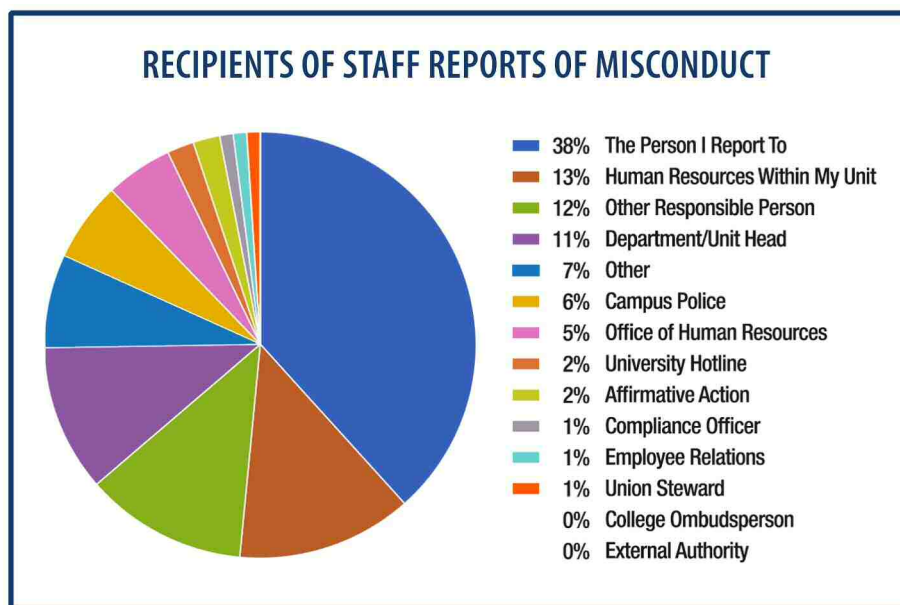
Figure 14.

D. *Where supervisors display ethics-related actions, their staff members have more positive ethics experiences.*

If a staff member perceives that their supervisor displays a strong commitment to ethics, they are less likely to experience pressure, observe misconduct, or experience retaliation as a result of their report. Specifically, staff members also observe less abusive and intimidating behavior.[42]

{ERAs ethics-related actions}

Talking About the Importance of Ethics
Acting with Integrity and Responsibility
Accountability if Violations of University Policy Occurred
Modeling Ethical Behavior
Supporting Others in Following University Policy

WHERE PSU SUPERVISORS SHOW ERAS, FEWER PEOPLE EXPERIENCE ETHICS CHALLENGES

66%

Fewer People Observe Abusive and Intimidating Behavior

Figure 15.

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[42] Seventy-nine percent of staff respondents perceiving "weak" supervisor ERAs observed abusive behavior, compared to 27% of those who perceive "strong" supervisor ERAs.

SUGGESTED NEXT STEPS FOR STRENGTHENING THE PENN STATE CULTURE

The findings discussed in this report reveal positive views from the current community as they relate to the Penn State culture. There also emerged some areas of challenge for University attention. The following section summarizes key findings and draws upon the research and experience of the Ethics Resource Center (ERC) to suggest strategies for strengthening ethics and reinforcing the core values within Penn State's culture.

ERC's Conclusions
The survey leads ERC to the following conclusions about the values and culture at Penn State.

- Penn State culture's is both strong and influential; almost universally members of the community say they are connected to the University. Through its culture, Penn State makes a positive difference. The data reveal that strong connections to the University coincide with community members maintaining their personal values, growing as leaders, feeling pride in the institution, and caring about others (both internal and external to Penn State).[43]

- While there are many ways that individuals connect to the University, one of the most frequently cited is the academic experience. A majority of community members said they feel most connected to the University when involved in classroom and research experiences, and the majority also look to authorities in the academy to learn what is important.[44]

- Across the University, there is consensus about the values that should guide decisions and behavior. It is also evident that the Penn State community supports institutional emphasis on the educational experience; members wish to see even greater emphasis in the future.[45]

- In addition to their positive feedback about the University culture, the data also revealed areas of challenge. In particular, Penn State community members do not perceive that some senior administrators demonstrate a commitment to University standards and ethics; a sizeable portion of the population is not aware of University standards and resources related to ethical conduct on campus. Finally, staff emerged as a group that is vulnerable, especially with regard to their observance of abusive and intimidating management practices.[46]

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[43] For specific discussion of these findings, see pages 13 through 17.
[44] For specific discussion of these findings, see pages 17 through 19.
[45] For specific discussion of these findings, see pages 21 through 24.
[46] For specific discussion of these findings, see pages 24 through 36.

Suggested Next Steps

Research has shown that many of the positive aspects of the Penn State culture can be strengthened, and challenges raised by community members can be eased through a concerted effort to identify, promote, and reinforce the University's values. In the following section, we present discussion of this research and offer suggestions of next steps that the University should take.

1. *Adopt one set of core values to represent all of Penn State. Promote the values and talk about what they look like in various settings.*

The heart of a culture is its values: the ideals about how people should act that ultimately guide their decisions and behavior.[47] When members of an organization acknowledge and observe a common set of values, they are likely to say that they are part of a strong ethical culture. This, in turn, positively impacts their behavior.[48] Much of this success depends on community members' ability to recognize and recall the values that are "core" to the institution.

Participants in the survey expressed a sense of shared values. Respondents widely agreed that certain values should be considered important to the community in the future; these values (or a subset of them) should be further defined and promoted as the "core values" of the institution. Recommended next steps include the following.

    a. *Adopt a small number of values as "core."* Seven values emerged from the Penn State survey as important (Integrity, Honesty, Respect, Excellence, Accountability, Responsibility, and Community). All seven could be adopted as core values, although research and best practice suggests that a smaller number of "core" values is easier to remember and apply. ERC recommends that the University select, adopt, and widely communicate a set of four or five values.

    b. *Establish one statement of core values to synthesize all other versions.* The values will only be Penn State's values if they are adopted University-wide.

    c. *Allocate resources to make the values known.* Formal and informal communications should emphasize the core values; they also should be printed and displayed throughout the campuses.

    d. *Recognize and support the diversity of experiences that encompass Penn State.* The values may be shared, but they will apply somewhat differently in different

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[47] Schein, E. H. (2004). *Organizational culture and leadership* (5th ed.). San Francisco: Jossey-Bass.
[48] Ethics Resource Center. (2007). *Ethical Culture Building.* Arlington, VA: ERC.

settings. Initiate an ongoing effort to define and discuss what the values mean in different contexts.

2. *Leverage the academic experience to apply the values.*

Merely printing a set of values will not make them part of the daily life at Penn State. They must be applied in order to matter.[49]

Data from the survey highlights the important role that the academic experience plays in perpetuating the University's culture. For that reason, Penn State's colleges and academic departments should play a central role in the rollout of a renewed set of core values. Already through its ACCE, the University has an established committee to spearhead a coordinated effort to promote a set of values.[50] Faculty Senate, deans, department heads and other academic leaders should be incorporated into efforts to identify ways to apply the values in the academy. A few initial examples of avenues that might be useful include:

    a. The *Penn State Reads* program;

    b. The General Education Curriculum;

    c. Reference to the values by faculty in the classroom; and

    d. The University library system.

Importantly, Penn State's values are a shared responsibility. There are many other ways that individuals at Penn State said they connect to the Penn State culture; therefore, there other university departments, events, student activities, and groups that can and should help drive the adoption of the core values. For example, the values might be integrated into first year student orientation, new faculty and staff orientation, and Penn State promotional materials. Student groups and administrative departments should be encouraged to adopt and educate their members about the values as well.

3. *Continue to make University standards and core values a primary focus of leadership.*

The sentiment of the Penn State community revealed that where senior administrators displayed ethics related actions, there were positive results. Research has shown that in the places where members of an organization perceive that leaders are not committed to ethical conduct, it is often the case that the problem is one of visibility. Stakeholders do not

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[49] Ethics Resource Center. (2009). *Ten Things You Can Do to Avoid Being the Next Enron.* Available at: http://www.ethics.org/resource/ten-things-you-can-do-avoid-being-next-enron.
[50] Advisory Council for Continued Excellence (ACCE).

perceive that commitment because they don't see it demonstrated regularly.[51] These actions should be continued, and adopted by administrators as broadly as possible.

Penn State should consider adopting the following strategies to support and encourage senior leaders.

    a. *Build upon the foundation of continuous improvement that has been established by the University.* Already the Board has an established a Board Legal and Compliance Committee; similar efforts have been made to create an Ethics Committee and an Office of Ethics and Compliance for the administration and staff. Continue to heighten the visibility and access to these resources.

    b. *Provide regular training for senior administrators and the Board* on University core values and issues related to ethics and leadership. Cascade the training to all levels of management throughout the University.

    c. *Integrate discussion of the core values into formal and informal communications by prominent figures on campus*. Tell the community about ways that the core values impact important decisions.

    d. *Integrate ethical conduct into performance evaluations* for the President, vice presidents and other senior administrators.

4. *Foster environments where employees are supported and can raise concerns without fear. Hold managers accountable for inappropriate supervisory practices.*

Supervisors are one of the most important influences on the conduct of their direct reports. When employees feel supported by their immediate supervisor, they are more likely to be engaged on the job; uphold the standards of the organization; and raise concerns when necessary.[52] Managers are also influential in reinforcing the tone from the top, and they are also the recipients of most reports of misconduct.[53] By contrast, supervisors who do not display a commitment to ethical conduct, and even further who establish a negative environment for their employees, disintegrate the perceptions and commitment of their direct reports.[54]

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[51] Trevino, L. K., Hartman, L. P., & Brown, M. (2000). Moral person and moral manager: How executives develop a reputation for ethical leadership. California Management Review, 42(4), 128-142.
[52] Ethics Resource Center. (2008). Reducing Pressure to Behave Unethically: The Role of Leaders and Coworkers. Arlington, VA: Ethics Resource Center.
[53] Ethics Resource Center. (2013). *National Business Ethics Survey*. Arlington, VA: ERC.
[54] Ethics Resource Center. (2009). *National Business Ethics Survey*. Arlington, VA: ERC.

Input from Penn State staff in this survey indicates that in some places within the University, management practices are creating a toxic work environment for employees. In response, the University should:

a. *Examine management practices at the University*. Identify the specific areas within management where employees are not being treated with respect and dignity. Take action against managers who are engaging in practices that are abusive or intimidating to their employees.

b. *Educate managers about their role in establishing and maintaining an ethical workplace.* Require regular training for supervisors on ethical leadership and strategies for supporting employees in their efforts to uphold the University's core values. Train managers to talk about the importance of ethics in the workplace, and recognize and incentivize supervisors who exemplify the core values of the University.

c. *Equip managers to recognize and respond to reports of misconduct*. Staff who observe misconduct are most likely to report to their immediate supervisor; therefore, it is important for Penn State managers to recognize and respond appropriately to reports of wrongdoing. The University should provide a support system for managers who need assistance in handling a report. Finally, managers should receive training, including methods to avoid behaviors that might be perceived as retaliatory and to provide additional support for and ongoing communication with reporters in vulnerable situations.

d. *Integrate ethical conduct into performance evaluations* for managers.

e. *Ensure that staff are aware of the ways to report misconduct*. Educate staff about the ways they can report misconduct, and regularly communicate the channels that are available. The University also should provide information about disciplinary measures when reports of misconduct have been substantiated. The more results staff becomes aware that the University responds, the more likely they will come forward and report again if they observe misconduct in the future.[55]

f. *Protect staff members who report wrongdoing*. When an employee comes forward, the University should to commit to regular and long-term follow up with that individual. Take action if any retaliation occurs against the individual who reported.

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[55] Ethics Resource Center. (2013). *National Business Ethics Survey*. Arlington, VA: ERC.

g. *Reward excellence*. Provide recognition and incentives for staff who work hard and exemplify the core values of the institution.

5. *Position the Office of Ethics & Compliance as a primary recipient for reports of misconduct, and a resource in promoting the core values of the institution.*

One of the most effective tools for encouraging reporting of misconduct is the establishment of a comprehensive ethics and compliance program. When effectively implemented, these programs: increase stakeholder awareness of the core values that reflect the priorities of the organization; improve ethical leadership among managers; encourage reporting and protect whistleblowers from retaliation; and hold individuals accountable for violating standards of conduct.[56]

Penn State has established an Office of Ethics and Compliance for the University system. The office should be further positioned and sufficient provided resources to:

a. *Support efforts to integrate the core values into the Penn State culture.* While the development, adoption and promotion of a set of core values must be collaborative across the University campuses, the Office of Ethics and Compliance should be responsible for coordinating and documenting the process.

b. *Establish a university-wide hotline to receive reports & requests for advice related to ethics issues and other violations.* The University should initiate a comprehensive communications effort to familiarize members of the community with the process for reporting wrongdoing they observe on campus. While most people will generally report misconduct to someone they know, the University should provide a helpline (via telephone and the internet) as an additional option for reporting, and for providing support/guidance. Calls on matters beyond ethics and compliance should be referred as needed, but promoting a single, unified system will ease the burden of reporting and make it more likely that people will report. The office also should establish a system to capture reports that are made directly to faculty, managers or other resources and not to the helpline.

c. *Continue to pursue the University's objective to extend ethics and compliance resources to all key groups on campus.* The Office of Ethics and Compliance Office should support efforts to extend ethics and compliance resources to all key groups on campus by collaborating with other offices also involved in receiving reports (e.g., Human Resources, Student Affairs).

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[56] Ethics Resource Center. (2012). The Federal Sentencing Guidelines for Organizations at Twenty Years: A Call to Action for More Effective Promotion and Recognition of Effective Compliance and Ethics Programs. Arlington, VA: Ethics Resource Center.

6. *Share lessons learned about culture, ethics, and higher education.*

Penn State should take steps to share its insights about culture with peer institutions, in order to benefit the broader community and help others in higher education. To ERC's knowledge, no other major university has undertaken such a vigorous effort to understand its culture as Penn State. Penn State can be a flagship among its peers in the effort to advance understanding about values, ethics, and strategies for strengthening university cultures. Penn State should consider sharing best practices with peers or hosting regular conferences to advance understanding.

LIST OF CHARTS & TABLES

APPENDIX A
The Pennsylvania State University Values & Culture Survey
Summary of the Survey Process

May 6, 2014

Introduction
In April of 2013, The Pennsylvania State University (the University) contracted with the Ethics Resource Center (ERC) to conduct a survey of its community. The project was part of a larger ongoing effort by the University to better understand its culture and the values that are commonly held among its members.

Over a seven month period, ERC worked with the University to design, pilot test, and implement a survey of all faculty, staff, technical service employees, and students (both graduate and undergraduate) on all campuses. Analysis of the data is in progress and a report of findings will be provided separately. The purpose of this document is to summarize the survey process.

Definition of Culture and Key Metrics in the Survey
The survey asked current members of the Penn State community about their perceptions of the University culture as they experience it on a daily basis. Metrics for the survey were based on a generally accepted definition of culture supported by academic literature, and also research conducted over the past two decades by ERC on organizational ethics cultures. The following describes the definition of culture, and therefore the goals driving the development of metrics that were central to the survey effort.

Like any organization, there are many aspects to the "Penn State culture," and what is thought of as "Penn State" is actually the sum of countless subcultures. The University is a large, multifaceted organization comprised of many campuses, colleges, offices, and student groups. Although no two people can be expected to experience the Penn State culture in exactly the same way, research has shown that in even the most dynamic and differentiated cultures (like Penn State), there is a set of formal and informal systems that are widely shared. Additionally, in complex cultures there are beliefs that are commonly held, and stakeholders have an experience of "the culture" as an overarching entity that embodies all its subcultures (Schein, 2004).

Clifford Geertz, a pioneer in the field of anthropology, defined culture as "an historically transmitted pattern of meanings embodied in symbols, a system of inherited conceptions … by which [people] communicate, perpetuate and develop their knowledge … and attitudes" (1973, p. 89). Put another way, culture is "non-biological inheritance" (Hoebel, 1966, p. 52). Through the culture, members of a community learn about the behaviors that are considered to be acceptable, the activities that should be prioritized, and the moments in the history of the group that still shape the way things are done. This is true whether the culture is a nation, a school, or a company (Schein, 2004).

At the heart of a culture is its values: the ideals about how people should act that ultimately guide their decisions and behavior. Members of the culture both explicitly and implicitly nurture certain values and discourage others by giving recognition, attention, or punishment. This dimension of an organization's culture is referred to as its "ethics culture."[57] An organization's *ethics culture* is the extent to which the organization makes doing what is right a priority and promotes and embodies its values. Ethics culture is the (often unwritten) code of conduct by which stakeholders learn what they should think and do, and then do it. Through the ethics culture of an organization, individuals learn which rules must be followed, and how rigidly; how people ought to treat one another; whether it is acceptable to question authority figures; if it is safe to report observed misconduct; and more (Ethics Resource Center [ERC], 2011). Ethics culture determines "how [stakeholders] understand what is expected of them, and how things really get done" (Trevino, Weaver, Gibson, & Toffler, 1999).

Research has shown that the ethics culture of an organization is a powerful influence on the behavior of its stakeholders, particularly when problems arise. The extent to which an individual will take a stand to uphold the values of the organization in the face of misconduct is largely dependent upon their views about the ethics of senior leaders, the support they are provided by trusted advisors, and the extent to which they believe that action will be taken if they come forward to report wrongdoing. For example, ERC's research has shown that when this "ethical commitment" is higher, rates of reported misconduct rise. In the 2011 *National Business Ethics Survey®*, ERC found that 56% of employees reported misconduct when they perceived the ethical commitment of their organization to be weak, compared to 82% of employees who perceived a strong ethical commitment in their organization (ERC, 2012, p.21).

The Penn State Values & Culture Survey was designed to help the University better understand the views of its community with regard to its overall culture as well as its ethics culture. The goal of the survey was to focus on several key areas:

- *Collective identity*. The extent to which stakeholders feel connected to the University. The section also explored the facets of the culture which influence their level of association.

- *Institutional priorities*. Community members' assessment of the current institutional priorities as well as individuals' beliefs about what the priorities of the University should be in the future.

- *Ethics culture and core values*. Identification of the values that currently guide decisions and behavior at the University, as well as the values that they believe *should* be commonly held across the community.

- *Ethical leadership and commitment*. Investigation of whether the behavior of senior administrators, deans, department heads, and peers shows a commitment to ethics; whether these groups prioritize, model, and support ethical conduct.

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[57] In academic literature and in ERC research prior to 2012, the term "ethical culture" is used to refer to the ethical dimension of organizational culture. In 2012, ERC began to use the more neutral term "ethics culture," reserving "ethical culture" for instances in which an organizational is promoting positive, ethical values.

- *Personal experiences related to ethics and conduct.* The survey inquired about perceived pressure to violate University policies or the law; observations of misconduct in the past twelve months; decisions to report any misconduct they observed; and, when applicable, the results of their report, including whether they experienced retaliation as a result.

The input of the Penn State community garnered through the survey will help the University to articulate the commonly-held beliefs of its stakeholders so that existing values can be formalized, helping to guide decisions and behavior of all members of the community. Additionally, the data from the survey will provide feedback about current institutional priorities. Finally, the data will provide insight into the University's systems, including whether there is sufficient institutional support so that individuals can raise concerns without fear, report wrongdoing, and generally feel a part of the University culture. The survey was intended to provide a snapshot of the University culture as it currently exists, and also to provide baseline data to gauge the impact of future efforts to support the University community.

Overview of the Process
The survey development process involved several phases: 1) Information gathering, 2) Questionnaire development, 3) Pilot testing & revision, 4) Implementation of the survey to the entire Penn State community, and 5) Implementation of an incentive drawing. Representatives from the Penn State community were involved in each portion of the process.

- Information Gathering – Before drafting the survey question set, ERC conducted individual and group interviews with more than 85 members of the Penn State community. Conversations in these sessions focused on stakeholders' priorities for the survey, the values that should be tested as "commonly held" across the University, and other questions about the Penn State culture that should be included in the survey. The Information Gathering phase included the following:

  o *Planning meeting*, April 30, 2013. ERC attended the Freeh Implementation Committee meeting to discuss the goals for the survey, the various groups that would be incorporated into the planning process, and the timeline for the project.

  o *In-person individual and group interviews*, June 3-6, 2013 and September 9-13, 2013. ERC was provided full access to a breadth of senior leaders and stakeholders. Participants included:

    - University President
    - Interim Provost
    - Members of the Board of Trustees
    - Chair, University Faculty Senate
    - Deans, Faculty administrators, Faculty members and Researchers (including faculty experts on ethics)
    - Senior administrators from University Park and Commonwealth Campuses, including (but not limited to):

      - Alumni Relations
      - Athletics

- Business & Finance
- Compliance & Ethics
- Educational Equity
- General Counsel
- Government Affairs
- Human Resources
- Marketing & Communications
- Outreach
- University Libraries

- Members of the Staff Advisory Council
- Representatives from the Teamsters Local Union 8
- Students and student leaders (graduate and undergraduate)
- Freeh Implementation Committee
- Freeh Implementation Advisory Council & Subcommittee on Ethics and Core Values
- Athletics Integrity Monitor

- Questionnaire Development – Based on the input from the University community and ERC's longstanding research, ERC drafted an initial survey question set and then further refined the questionnaire in collaboration with members of the Freeh Advisory Council and the Subcommittee on Ethics & Core Values. Drafts of the survey were further reviewed by the University Staff Advisory Council and several undergraduate and graduate student leaders from several campus organizations. Overall the Questionnaire Development phase involved the following activities.

  - *Conference calls to review the question set*, June, 2013. ERC participated in 23 meetings to receive feedback on the draft question set, involving approximately 58 University stakeholders, including (but not limited to):

    - Freeh Implementation Committee
    - Freeh Implementation Advisory Council (combined with Subcommittee on Ethics & Core Values)
    - University Staff Council
    - Student leaders (graduate and undergraduate)

- Pilot Testing & Revision – While a portion of the questions in the survey were based on ERC's standard ethics survey questionnaire (and were therefore previously tested and validated), a number of questions were new and required testing. Furthermore, it was important to test the online delivery of the survey with the University's servers, and also to be sure that survey questions were posed in a way that could be easily understood. Therefore, a pilot of the survey was conducted from August 9-19, 2013. At the time, the survey was called the Penn State Culture & Values Survey. This phase included the following activities.

o *Pilot survey implementation*: Invitations to participate in the survey were sent to a group of 308 faculty members; 644 staff, administrators, or technical service employees; 2,555 undergraduate students; and 431 graduate students selected through a stratified random sample of the entire Penn State population. Additionally, all members of the Freeh Advisory Council and Subcommittee on Ethics & Core Values, members of the Compliance & Ethics Advisory Council, and the University Staff Advisory Council were invited to take the survey. The pilot survey achieved a 12.2% response rate.

o *Briefing*: On September 12, 2013, ERC provided a briefing to the Freeh Implementation Advisory Council on the pilot survey process and selected results.

o *Second round review of the question set*, September, 2013. Based on pilot survey results, ERC revised the question set and re-circulated it to the initial group of reviewers. ERC staff participated in another 10 meetings to receive further feedback on the revised question set, involving approximately 24 individuals. Further feedback was also provided by the Freeh Implementation Committee and the Freeh Implementation Advisory Council.

o *Development of Communications Materials*, September, 2013. ERC provided support to the Culture Survey Communications Subcommittee as they developed a communications strategy and related materials to promote participation in the full survey. The University undertook a comprehensive effort to raise awareness about the survey, on all campuses. Promotions included:

   ▪ Introduction to survey from Dr. Erickson sent via mass email
   ▪ Weekly news stories posted to various Penn State newswires
   ▪ Email messaging from Deans and Chancellors
   ▪ Email messaging from HR units
   ▪ Email messaging from University Staff Advisory Council
   ▪ *Daily Collegian* ads
   ▪ Promotional video
   ▪ Twitter and Facebook messaging
   ▪ Interviews with student-led media
   ▪ Posters, banners, and fliers

- Implementation to the entire Penn State community – The Penn State Values & Culture Survey launched on October 29, 2013 and remained in field until November 22, 2013. Participants received an invitation email from the ERC, containing a link that directed them to the survey site. The total population invited to participate in the survey was 110,747; including all faculty, staff, administrators, technical service employees, undergraduate students and graduate students at all Penn State campuses, including World Campus. The final data set contains the input from 14,655 participants. Across the University as a whole, the response rate for the survey was 13.2%. For breakdowns of response, please see the "Response Rates and Margins of Error" section that follows.

- Incentive Drawing – In order to promote participation in the survey, the University dedicated funds to provide 20 iPad Air tablets to a randomly selected group of individuals who completed the survey and entered into a drawing to win. ERC administered the purchase of the iPads, the selection of recipients, and the distribution of the tablets.

  In order to be eligible to win a tablet, survey participants had to register for the drawing. Upon completion of the survey, participants were invited to sign up to win an iPad Air. Those who opted to participate were directed to a new site where they provided their name and contact information. Any information provided for the drawing was kept separate from survey data.

  At the University's direction, five tablets were given to members of the University faculty; five were provided to staff, administrators, and technical service employees; five were given to University Park students; and another five tablets were given to students at other campus locations. Recipients' names were drawn on December 10, 2013, and those individuals were contacted by the ERC via email on December 13, 2013. Recipients were asked to complete and return a form to the ERC; forms are due by January 3, 2014. The tablets will be mailed directly to the recipients upon receipt of their completed form.

Throughout the entire survey process, ERC staff regularly reported on progress during the bi-monthly meetings of the Freeh Implementation Advisory Council (which included the Subcommittee on Ethics & Core Values).

Survey Instrument
Given the unique nature of the University and the populations that comprise it, questions for the survey had to be tailored so that participants could answer as accurately as possible. For that reason, four versions of the questionnaire were developed and implemented. An initial screening question asked participants to describe their current position at Penn State; depending upon their answer, participants were directed to a set of questions designed for:

- Faculty
- Staff/administrators/technical service employees
- Undergraduate students, or
- Graduate students

Surveys varied in the number of questions asked of participants; a core set of questions were common to all. Each survey also contained branching patterns based on how a participant answered; therefore, no participants were asked the full set of questions. Each version of the survey also contained questions at the end to collect demographic information. The table that follows on the next page summarizes the survey length, the number of branching questions, and the number of demographic questions for each survey version.

Table 1. Number of Questions by Survey Version.

Survey Version	Content Questions (Posed to All)	Branching Questions (Posed to Some)	Demographic Questions (Posed to All)	Total Number of Questions
Faculty	42	25	17	**84**
Staff/Administrator/Technical Service	41	25	17	**83**
Graduate	40	25	17	**82**
Undergraduate	40	23	16	**79**

Questions in the survey were focused on the following dimensions:

o *Core Values of the University* – Each participant was presented with a list of values and asked to indicate the extent to which each value is currently important to the University community. A second question asked participants to select the five values from the list that *should be* most important to the University. Input from this set of questions will be used to help the University to develop a Values Statement to help guide decisions and behavior across the community.

o *Perceptions of Culture* – A series of questions were posed to gauge the extent to which participants feel connected to the University community (see discussion of collective identity in the previous "Definition of Culture section"). Additionally, participants were asked about the extent to which the behavior of senior administrators, deans, department heads, and peers shows a commitment to ethics and whether these groups prioritize, model, and support ethical conduct.

o *Awareness of Standards and Resources* – Participants were asked to indicate their level of awareness of University resources that a) establish or educate the community about standards of conduct (i.e. regulating ethical conduct in research), or b) provide support to individuals who have questions or who have observed violations of University standards (i.e. a means to confidentially report wrongdoing).

o *Key Outcomes* – As noted previously, when an organization establishes a strong ethics culture, positive changes result. ERC's research has shown that certain outcomes can be expected from a concerted effort to strengthen a culture; therefore, several questions were asked in the Penn State Values & Culture Survey to gather baseline data, and to assess the current state. These metrics included:

- Pressure to compromise University standards in order to succeed;
- Observed misconduct on campus within the last 12 months;
- Reporting, or the extent to which individuals who observed a violation reported it; and
- Retaliation against individuals who reported wrongdoing.

Response Rates and Margins of Error
The following tables indicate the response by the Penn State community to the survey effort. For each group and campus, the margin of error is also indicated. The margin of error is calculated for the 95% confidence interval and estimates the range in which we can be 95% certain the true population figure exists.[58]

Table 2. Final Response Rates & Margins of Error by Designation

Penn State Values & Culture Survey Final Response Rates & Margins of Error - Designation			
Designation	Total Population	Responses[59]	Margin of Error
Faculty	7411	2299 **31.0%**	+/- 1.7%
Staff/Administrators/Technical Service Employees	13171	5233 **39.7%**	+/- 1.1%
Undergraduate Students	77452	5689 **7.3%**	+/- 1.3%
Graduate Students	12713	1434 **11.3%**	+/- 2.4%
TOTAL Penn State	**110747**	**14655 13.2%**	**+/- 0.8%**

Table 3. Final Response Rates & Margins of Error by Campus

Penn State Values & Culture Survey Final Response Rates & Margins of Error – Campus Location			
Campus Location	Total Population	Responses	Margin of Error
Abington	4281	308 **7.2%**	+/- 5.4%
Altoona	4401	268 **6.1%**	+/- 5.8%
Beaver	860	101 **11.7%**	+/- 9.2%
Berks	3236	306 **9.5%**	+/- 5.3%
Brandywine	1751	149 **8.5%**	+/- 7.7%
Dickinson (Carlisle)	218	37 **17.0%**	+/- 14.7%
DuBois	841	90 **10.7%**	+/- 9.8%

[58] Margin of error means that within +/- X percent, a response given by a sample of survey participants is representative of the target population. The "confidence level" is the degree to which we can be sure that that is the case within a given "confidence interval," here 95%. For example, if 80% of responding participants on "Campus A" say they believe sustainability is very important to Penn State now, and the margin of error for that question in that sample of participants is +/- 5%, that means that a reader can be 95% certain that the true percentage of all members of this group who believe that sustainability is very important to Penn State now is between 75% and 85%.

[59] The "Responses" counts in Tables 2 & 3 reflect the counts of the final data set, or the "usable cases" for analysis. This includes some partially-completed surveys.

Erie	4818	493	**10.2%**	+/- 4.2%
Fayette	1004	96	**9.6%**	+/- 9.5%
Great Valley	614	67	**10.9%**	+/- 11.3%
Greater Allegheny	788	108	**13.7%**	+/- 8.8%
Harrisburg	5103	403	**7.9%**	+/- 4.7%
Hazleton	1124	102	**9.1%**	+/- 9.3%
Hershey	2072	404	**19.5%**	+/- 4.4%
Lehigh Valley	1101	111	**10.1%**	+/- 8.8%
Mont Alto	1273	100	**7.9%**	+/- 9.4%
New Kensington	829	93	**11.2%**	+/- 9.6%
Schuylkill	1014	81	**8.0%**	+/- 10.4%
Shenango	693	62	**8.9%**	+/- 11.9%
University Park	61453	10247	**16.7%**	+/- 0.9%
Wilkes-Barre	747	91	**12.2%**	+/- 9.6%
World Campus	9748	712	**7.3%**	+/- 3.5%
Worthington Scranton	1435	89	**6.2%**	+/- 10.1%
York	1343	137	**10.2%**	+/- 7.9%
TOTAL Penn State	**110747**	**14655**	**13.2%**	**+/- 0.8%**

Limitations of the Survey Data

Given the response rates from the various groups, particularly the low response from both student groups, analyses comparing the demographics of those who responded to the survey with population data provided by the University Budget Office were conducted. First, chi-squared tests were conducted on demographic variables that were able to be matched to data from the University Budget Office: academic rank and appointment type for faculty; age, gender, residency, and class standing for undergraduate students; and age, gender, residency, and degree status for graduate students. Results indicated that the survey distribution differed from the expected distribution. Random subsets were drawn from the data for each demographic matched to the population distribution in order to determine if any significant differences arose between the random subset and the survey population. One way analysis of variance tests determined that no significant differences existed between the random subsets and the survey population, providing evidence that the survey data can be considered representative of the Penn State population.

One other important concern is the extent to which there is a bias in the data because particular groups opted not to complete the survey. ERC examined the Penn State Values & Culture Survey data for evidence suggesting the presence of significant nonresponse bias. Time trend extrapolation was conducted on the data, which compared survey participants who completed the survey during the first seven days the survey was in field ("early responders") to participants who completed the survey during the last seven days the survey was in field ("late responders").

This analysis also compared participants who completed the survey during the first fourteen days the survey was in field to participants who completed the survey during the last fourteen days the survey was in field. Theory suggests that individuals who answer a survey later, after more prodding through direct reminders and other communications, are more similar to those who do not answer a survey at all than those who answer a survey early (Armstrong & Overton, 1977).

After some statistically significant differences were found between early responders and late responders, the composition of each test group was adjusted to represent faculty, staff, undergraduate students, and graduate students by their representation in the overall Penn State population, thereby controlling for differences in answers attributable to the different populations. Faculty and staff were more likely to respond to the survey early, and undergraduate and graduate students were more likely to respond later. Controlling for population in this way appeared to account for much of the difference between early responders and late responders. Further, statistically significant differences did not appear in questions that were asked about a survey participant's personal experiences at Penn State or beliefs and perceptions about themselves. Only in the set of questions that asked about their perceptions of other groups of people (e.g., "I believe that senior administrators are transparent about critical issues that impact Penn State") did some statistically significant differences continue to appear; however, the mean differences for these questions are not large enough to impact the practical interpretation of these findings.[60]

The presence of nonresponse bias therefore cannot be definitively ruled out, but exists as one consideration that must be acknowledged when examining results as with any other survey research project. The amount estimated to be present in this survey does not appear to be enough to be a sufficient cause for practical concern. Combined with the results of testing conducted to examine the representativeness of the data, ERC believes that Penn State can be confident in the data and findings.

Next Steps
A report of findings on the data will be provided to the University in the Spring, 2014.

About the ERC
The Ethics Resource Center (ERC) is America's oldest private, non-profit organization devoted to independent research and the advancement of high ethical standards and practices in public and private institutions. Since 1922, the ERC has been a resource for institutions committed to a strong ethics culture.

For two decades, ERC has regularly fielded surveys of employees and other stakeholders in organizations of all types and sizes. Data from these efforts have helped organizational leaders to gauge their ethics cultures, to identify emerging issues, and also to develop programs and resources to help stakeholders consistently live out their values.

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[60] For example, the mean difference between weighted groups for the question, "Senior administrators act as good role models of ethical behavior," is -.117 (early responders' mean = 3.319; late responders' mean = 3.436); this difference is statistically significant. This is the largest difference found among tested questions.

ERC's survey metrics are based on the Center's research in the areas of culture and ethics/compliance program effectiveness. ERC is widely known for its *National Workplace Ethics Survey* research, including the biennial *National Business Ethics Survey®,* and previous studies of other sectors, including the *National Nonprofit Ethics Survey®* and the *National Government Ethics Survey®*. Other ERC studies of culture include *The Importance of Ethical Culture: Increasing Trust and Driving Down Risk* and *Ethical Culture Building: A Modern Business Imperative*. ERC's culture metrics have been developed collaboratively with leading academics specializing in organizational culture.

For more information about the ERC or to download our research reports, please visit www.ethics.org.

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