YOU@PSU COMPLIANCE ASSESSMENT

Compliance Statement: I understand my compliance obligations and have completed the associated required compliance training(s) for my position.

- All employees should have completed the following trainings during 2016-2017:
  - *Annual Ethics and Compliance Training* (to be released Fall 2016)
  - *Sexual Misconduct Prevention and Response* (to be released Spring 2017)
- All employees should have completed *Building a Safe Penn State: Reporting Child Abuse* during 2015-2016. After 2016, only new employees and those working directly with children are required to take this training.
- Other employees may be required to take other compliance training, based on their specific job responsibilities. These may include, among others:
  - Campus Security Authorities (CSA)
  - Environmental Health and Safety
  - Export Controls
  - FERPA
  - HIPAA
  - NCAA
  - Privacy
  - Office of the Corporate Controller
  - Office of Research Protections
- It is recommended that positions that have specific compliance obligations and require compliance training (other than those required of all employees) be noted as such in the JRW.
- Completion of trainings may be confirmed via employee-provided certifications, contacting your HR representative, or contacting the office responsible for the training.
- Some compliance designations are explained at http://universityethics.psu.edu/feature/understanding-compliance-designations

YOU@PSU ETHICS STATEMENT

Ethics Statement: I have read the Penn State Values and have read and understand my obligations under AD88: Code of Responsible Conduct.

While aspirational in nature, the Penn State Values articulate our ethical principles and should guide our actions and decisions as members of the Penn State community.

Values Conversation Talking Points

- How has the value of _____ formed and motivated my work, goals, and daily work activities?
- What can I do to strengthen my commitment to the value of _____ in my daily work activities?
- Has our unit provided a work environment that allows me to strive for the value of _____? Why or why not?

Values Resources

- Penn State Values statement: http://universityethics.psu.edu/penn-state-values
- Examples of the Values in-action:
  https://universityethics.auth.abs.vmhost.psu.edu/examples-action
- Values Q&A: http://news.psu.edu/story/389666/2016/01/27/penn-state-values-faqs
- Additional conversation talking-points: http://universityethics.psu.edu/conversation-starters

AD88: Code of Responsible Conduct

- AD88 is the University code of conduct for all employees. **It will be revised in Fall 2016 to include privacy and professional conduct**. AD88 is a brief summary of the University's expectations for employee conduct related to:
  - Legal and Policy Compliance
  - Conflict of Interest
    - A conflict of interest occurs when an employee receives a personal benefit as a result of an action or decision he/she makes as part of (or related to) his/her position at the University."
  - Accurate Records and Privacy
  - Professional Conduct
  - Reporting Misconduct
  - Non-Retaliation
- Policy: http://guru.psu.edu/policies/AD88.html

Required Competencies: Ethical Conduct Statements

The following are ethical conduct statements that will be included within the five competency areas, regardless of a staff member's level or position.

- *Effective Knowledge*
  - o Demonstrates knowledge of University ethics and compliance policies and procedures relevant to one's position.
- *Accountability & Self-Management*
  - o Acts with integrity by doing the right thing, even if difficult.
- *Teamwork & Leadership*
  - o Takes responsibility for one's actions by keeping commitments, supporting others, and admitting and correcting mistakes.
- *Communication*
  - o Interacts openly and honestly with others in a way that generates trust, maintains confidential information, and avoids favoritism.
- *Innovation & Problem Solving*
  - o Demonstrates commitment to exploring ethical considerations when problem solving and making decisions.