



THE OHIO STATE UNIVERSITY VALUES AND ETHICS SURVEY
REPORT OF FINDINGS – December 1, 2020

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Executive Summary¹

Last year, The Ohio State University (Ohio State or University) began to implement a university-wide Shared Values Initiative. The ambition of this initiative is to reinforce the University's ethical culture and live the University's shared values to better advance the work of teaching, learning, research and service. The effort is ongoing and consists of many different elements, ranging from the development of a statement of shared values to education and programming on ethics. As a part of this initiative, Ohio State contracted with the Ethics & Compliance Initiative (ECI) to develop and implement a survey of faculty, staff and students focused on values and culture at the University (The Ohio State University Values and Ethics Survey, hereinafter "Values and Ethics Survey"). ECI partnered with key stakeholders at Ohio State to design the question set and ensure that the survey addressed the primary goals of the Shared Values Initiative as well as incorporated ECI's existing University Ethics Culture Assessment questions for benchmarking purposes. The Values and Ethics Survey launched for data collection on September 23, 2019 and closed on October 29, 2019.

The focus areas of the Shared Values Initiative are as follows:

- **Shared Values:** The daily interactions of all university community members are guided by a shared set of values at the unit, college and university level.
- **Robust Sharing of Ideas & Concerns:** Faculty, staff and students feel comfortable sharing ideas and concerns, and leaders listen to and address both respectfully.
- **Disciplined Decision-Making:** Individuals consider shared values and the common good when making difficult decisions.
- **Trusted Leaders:** University leaders at all levels behave ethically, uphold shared values, and expect to be held, and are held, to the highest standards of integrity.

This Report examines organizational culture through faculty, staff, and student perceptions of the behavior of the following groups:

- **Senior leadership:** President, Provost, Deans, Senior Vice Presidents, Senior Vice Provost, Vice Presidents, Vice Provosts, and chief officers with similar levels of responsibility at the University or Medical Center level.
- **University leadership:** President, Provost, VPs and other University leaders.
- **Direct leaders** (this group varies based on the population of interest):
 - Staff – Supervisor²
 - Faculty - Department chairs/school director
 - Undergraduate students - Professors/instructors
 - Graduate students - Advisor(s)

This Report provides an overview of the survey process and summarizes key findings. Data tables with summary statistics for each survey question are provided separately.

¹ This Executive Summary may act as a standalone piece that can be reviewed separately.

² For the purposes of this Report, direct leaders for staff will be referenced using "supervisor". In the survey, the definition was the following – "The person I report to: The person(s) to whom you are directly responsible and (if applicable) completes your annual performance evaluation."

Design of the Survey Instrument

The Values and Ethics Survey was customized based on designation (faculty, staff, undergraduate students or graduate students) and location (Columbus campus or regional campus). Eight versions of the survey were developed to ensure that the survey language was appropriate for members of each group and campus location.

The Values and Ethics Survey explored the University's culture through the following five lines of inquiry:

1. **Shared Values at Ohio State:** What is the current role of existing organizational values at Ohio State and which values do members of the community identify as important?
2. **Connection to Ohio State:** To what extent do members of the community identify with Ohio State and what is their primary source of connection to the University?
3. **Awareness of Ethics and Compliance Resources:** What is the overall level of awareness of ethics and compliance resources?
4. **Organizational Culture:** How do employees view the behavior of other members of their community? Specifically, do employees see those in leadership positions exhibiting ethical behavior?
5. **Key Ethics Outcomes:** Do employees feel pressured to violate University policies or the law? How often are employees observing and reporting misconduct?

For more details on these areas, please refer to the Summary of the Survey Process section of the Appendix to the Report.

Survey Distribution and Response Rates

The total population invited to take the survey (100,330 individuals) included all faculty, staff, graduate students and undergraduate students at the Columbus campus, regional campuses and The Ohio State University Wexner Medical Center. A total of 9,343 members of the University community participated in the survey, yielding an overall employee response rate of 21.9% and overall student response rate of 2.1%.

Ohio State Employees	Population size	Number of respondents	Response rate
Overall	36,738	8,034	21.9%
Faculty	7,548	1,276	16.9%
Staff	29,190	6,758	23.2%

Ohio State Students	Population size	Number of respondents	Response rate
Overall	63,592	1,309	2.1%
Undergraduate students	50,999	912	1.8%
Graduate students	12,593	397	3.2%

Response rates for Ohio State employees are consistent with surveys ECI has conducted on behalf of other universities. Surveys at other universities have yielded employee response rates ranging from 15% to 40%. Furthermore, it is important to note that the Ohio State survey is relatively long and therefore somewhat lower response rates are to be expected.

In contrast to faculty and staff, relatively few students completed the survey questionnaire. The low response rates among students means that ECI cannot generalize the survey results to those of the broader student population, although it can do so for the broader faculty and staff populations.

About this Report

The findings from this Report are discussed in two separate sections. The first section of this Report discusses findings by Ohio State employees overall and then the specific experiences of faculty and staff. The second section discusses results from Ohio State students overall and then the specific experiences of undergraduate students and graduate students.

Throughout the report, percentages may not sum to 100% due to rounding. Individual percentages that are less than 0.5% are rounded down and greater than 0.5% are rounded up. Please refer to the data tables for percentages shown to one decimal place.

Roll-Ups

Some survey results are presented using thematic roll-ups. A roll-up is an aggregation of thematically akin questions to produce one value. A roll-up value provides insight about the quality of the theme and its degree of integration on campus. The report presents results for the following roll-ups:

- Strength of Senior Leadership Values
- Strength of Connection with Ohio State
- Overall Ethics and Compliance Resources Awareness
- Strength of University Leadership Culture
- Strength of Direct Leader Culture (Employees) and Strength of Professor/Instructor and Advisor Culture (Students)
- Specific Types of Observed Misconduct
- Specific Types of Reported Misconduct

Impact of COVID-19 Pandemic and Black Lives Matter Movement on Employee Responses to the Survey

The university originally intended to release this Report in the Spring of 2020. The release was delayed, however, by the onset of the COVID-19 pandemic. The pandemic led to significant operational changes at our University after the survey closed, and the impact of these changes—as well as the Black Lives Matter Movement and related racial justice efforts—should be considered when evaluating the survey results. At the University's request, ECI analyzed how responses to individual questions could differ if the survey were administered today. ECI concluded that the majority of the survey results continue to be reliable, notwithstanding intervening events. ECI's full analysis, along with a table summarizing ECI's conclusions, is included in a separate section at the end of this Report.

Key Findings – Employees (Faculty and Staff)

1. Shared Values at Ohio State

The results of the survey show that Ohio State employees **currently** view the most important values³ at Ohio State as:

- Safety (70%)
- Learning (64%)
- Diversity (60%)
- Accountability (59%)
- Excellence (58%)

Employees were also asked about which five values *should be* most important at Ohio State. The most commonly selected values were:

³ Please see the Appendix to the Report for the complete list of twenty values and corresponding definitions provided to respondents on the survey.

- Accountability (48%)
- Integrity (44%)
- Honesty (35%)
- Excellence (34%)
- Diversity, Empathy and Access & Affordability (all 30%)⁴

Specifically, nearly one-half of faculty (46%) identified Integrity as the value that should be most important, while a majority of staff (51%) selected Accountability.

Overall, a majority of employees (58%) agreed that senior leadership incorporates shared values into their decision-making. This result was driven by staff members, who were more likely to agree than faculty (61% vs. 47%). Faculty and staff expressed more confidence in their direct leaders than senior leadership. Over two-thirds of faculty (66%) and nearly three-fourths of staff (73%) agreed that their direct leaders had a clear set of shared values to guide their decision-making. Notably, employees who believed that senior leaders were committed to using shared values were much more likely to agree that Ohio State does not retaliate against employees who report wrongdoing. When compared with ECI's existing research on these topics, Ohio State employees were less likely to agree that senior leaders used values in their decision making. For direct leaders, similar levels of agreement were observed.⁵

2. Connection to Ohio State

Nearly all employees (98%) expressed at least moderate connection to the University, and in the vast majority of cases (83%) employees were strongly connected to the University. Both faculty (59%) and staff (46%) said that they were most connected to the Ohio State community when engaging in tasks specifically related to their jobs. Connection to the University was strongly associated with whether or not employees believed that senior leadership used values in their decision-making. Overall, only 42% of employees who did not agree that senior leaders were committed to using values felt strongly connected to the University. In contrast, 96% of employees who had agreed that senior leaders used shared values also said they felt strongly connected to the University.

3. Awareness of Ethics and Compliance Resources

Employees were asked whether they were aware of seven types of formal resources related to ethics and compliance. Overall, nearly four-fifths (79%) of employees were aware of at least four of the seven resources asked about in the survey, while staff were more likely than faculty to be aware of all seven resources (40% vs. 27%). These findings are consistent with ECI's past research and engagements with other clients. Typically, awareness of all seven resources ranges between 25% and 35%, and employees were most often least aware of evaluation of ethical conduct.

⁴ Thirty percent of employees selected each of the values listed as values that should be most important.

⁵ Ethics and Compliance Initiative (2019) Global Business Ethics Survey. Vienna, VA.

4. Organizational Culture

Employees were asked about the behavior of different groups throughout the University in order to assess organizational culture. These questions focused on the “Ethics-Related Actions” (ERAs) of the different groups. ERAs are valuable because they provide insight into how employees view the culture and they can be measured over time to determine if employees perceive improvements in the actions of university leaders⁶ and direct leaders.⁷ Overall, three-fifths of employees (60%) agreed that university leaders consistently demonstrated commitment to ethical behavior.

Across the different ERAs, both faculty and staff were most likely to say that university leadership supported employees in following University policies. In general, employees were more favorable towards their direct leaders – their supervisor (staff) or their department chairs/school director (faculty) – than towards university leadership.

The strength of ethical leadership was strongly associated with several other fundamental indicators of organizational culture. Employees who viewed university leaders favorably were less likely to agree that the employees who violated University policies were still rewarded. Furthermore, employees who agreed that their direct leaders demonstrated ethical leadership were also much less likely to have observed abusive behavior or discrimination within the past 12 months.

Ethics-Related Actions of University Leadership and Direct Leaders

- Communicating about the importance of ethics
- Acting with integrity and responsibility
- Being held accountable if caught violating University policies
- Modeling ethical behavior
- Supporting others in following University policies

5. Key Ethics Outcomes

The survey collected data on several key ethics outcomes, including pressure to compromise standards and the rate at which misconduct was observed and reported. Relatively few employees (5%) at Ohio State said they felt pressure to violate standards. This result is favorable in that employees at Ohio State say that they felt less pressure in comparison to ECI’s other client research. Of the types of specific misconduct asked about in the survey, employees were most likely to say they had observed abusive or intimidating behavior within the past 12 months. Approximately one-third of faculty (31%) and staff (34%) say they observed such behavior.

Of employees who indicated they personally observed at least one specific type of misconduct among members of the Ohio State community during the past 12 months, 60% indicated they reported at least one type of observed misconduct.⁸

Generally, of those who indicated they observed misconduct, employees were most likely to report observations of misconduct to their direct leaders, followed by human resources within their unit. Of those employees who indicated they observed misconduct and decided not to report, nearly three-quarters (73%) said they did not do so because they did not believe corrective action would be taken, followed by over one-half (51%) saying that they did not think they could report anonymously.

⁶ University Leadership: President, Provost, VPs and other University leaders

⁷ In this report, staff “direct leaders” are their supervisors, and faculty “direct leaders” are their department chairs/school directors.

⁸ Percentages reflect employees who indicated they reported at least one type of misconduct they observed among members of the Ohio State community within the past 12 months (based on their indication of whom they first reported to). Please refer to the data tables for results on each type of misconduct.

Nearly one-fifth (19%) of employees who observed and reported misconduct indicated they experienced retaliation as a result of their report. The most prevalent form of retaliation employees said that they experienced was being intentionally ignored (77%); about two-thirds indicated their reputation was harmed (70%) or they were excluded from work-related decisions (70%). Lastly, most employees (70%) who observed and reported misconduct were not satisfied with the process, with the primary reason for dissatisfaction being a belief that the process was not conducted fairly or with integrity.

Key Findings – Students (Undergraduate and Graduate Students)

This section presents key findings based on responses from Ohio State students. It is important to note that the low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

1. Shared Values at Ohio State

The results of the survey show that Ohio State students view that *currently* the most important values at Ohio State are:

- Learning (69%)
- Safety (60%)
- Excellence (58%)
- Innovation (58%)
- Integrity (56%)

When asked about which five values *should be* most important, Ohio State students were most likely to select Access & Affordability (49%).

- Access & Affordability (49%)
- Learning (40%)
- Diversity (37%)
- Safety (32%)
- Empathy (32%)

Overall, a slim majority of students (55%) agreed that senior leadership⁹ incorporates shared values into their decision-making. This result was driven by undergraduate students, who were more likely to agree than graduate students (57% vs. 49%).

2. Connection to Ohio State

Nearly all students (94%) expressed at least moderate connection to the University, and about three-quarters (74%) of students felt strongly connected to the University. Both undergraduate (21%) and graduate (39%) students said that they felt most connected to the Ohio State community when engaging in intellectual activity (e.g., classroom time, research).

3. Awareness of Ethics and Compliance Resources

Overall, only two-fifths (41%) of students were aware of at least four of the seven resources asked about in the survey; about one-quarter (27%) were aware of all seven. The following resources lagged behind awareness of other resources

⁹ Senior Leadership: President, Provost, Deans, Senior Vice Presidents, Senior Vice Provost, Vice Presidents, Vice Provosts, and chief officers with similar levels of responsibility at the University or Medical Center level.

for both undergraduate and graduate students: 1) awareness of ethics presentations (i.e., conferences, lectures, and seminars that explore ethical issues and conduct); 2) a way to confidentially or anonymously report wrongdoing (e.g., a hotline); and 3) a resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues.

4. Organizational Culture

To assess organizational culture, survey participants were asked about the behavior of different groups throughout the University. These questions focused on the “Ethics-Related Actions” (ERAs) of the different groups. ERAs are valuable because they provide insight into how students view the culture and they can be measured over time to determine if students perceive improvements in the actions of university leadership¹⁰ and direct leaders.¹¹ Overall, three-fifths of students (60%) agreed that university leaders consistently demonstrated commitment to ethical behavior.

Ethics-Related Actions of University

Leadership and Direct Leaders

- Communicating about the (a) importance of ethics and (b) academic integrity
- Acting with integrity and responsibility
- Being held accountable if caught violating University policies
- Modeling ethical behavior
- Supporting others in following University policies

The vast majority of undergraduate students (88%) agreed that their professors/instructors consistently demonstrated commitment to ethical behavior; the same was true for perceptions of graduate students (87%) in regards to their advisors.

5. Key Ethics Outcomes

The survey collected data on several key ethics outcomes, including pressure to compromise standards and the rate at which misconduct was observed and reported. Relatively few (11%) students at Ohio State said they felt pressure to violate standards. Of the types of misconduct asked about in the survey, students were most likely to have said they had observed substance abuse by a student (34%), followed by acts of bias or discrimination (28%) and cheating, plagiarism, or other violations of academic integrity (27%) within the past 12 months. Undergraduate students were substantially more likely than graduate students to indicate they observed substance abuse by a student (44% vs. 11%) and cheating, plagiarism or other violations of academic integrity (32% vs. 17%).

Of students who indicated they personally observed at least one specific type of misconduct among members of the Ohio State community during the past 12 months, 40% indicated they reported at least one type of observed misconduct.¹²

Overall, 16% of Ohio State students who observed misconduct and reported it indicated that they experienced retaliation, with graduate students being more likely than undergraduate students to have said they experienced retaliation (51% vs. 19%). Lastly, a majority of students (60%) who observed and reported misconduct were not satisfied with the process.

¹⁰ University Leadership: President, Provost, VPs and other University leaders

¹¹ In this report, undergraduate students’ direct leaders are their professors/instructors and graduate students’ direct leaders are their advisor(s).

¹² Percentages are based on respondents who observed at least one of the 11 misconduct behaviors and indicated to whom they first reported the misconduct. Please refer to the data table for results on each type of misconduct.

Detailed Survey Findings – Ohio State Employees

This report is based on survey responses from faculty and staff from across the Ohio State community. The data are analyzed by the following groups:

- **Ohio State Employees Overall**
 - Faculty
 - Staff

The findings in this report are presented in the following sections:

- 1. Shared Values at Ohio State**
 - Current and Future Core Values at Ohio State
 - The Role of Values at Ohio State
- 2. Connection to Ohio State**
- 3. Awareness of Ethics and Compliance Resources**
- 4. Organizational Culture**
 - Ethics-Related Actions of Leaders
 - Perception of Tolerance for Misconduct in the Workplace
 - Sharing Concerns
- 5. Key Ethics Outcomes**
 - Pressure to Compromise Standards
 - Observed and Reported Misconduct
 - The Experience of Those Who Report Misconduct

1. Shared Values at Ohio State

Current and Future Core Values at Ohio State

Affirming a set of values shared by university community members is a key component of the Shared Values Initiative and is pertinent in determining how to advance Ohio State's ethical culture. To assess the importance of values among Ohio State employees, faculty and staff were asked about 1) the importance of various values within the Ohio State community currently and 2) which values they think should be the most important (please see the Appendix for the complete list of values and corresponding definitions provided to respondents).

Table 1. Values Currently "Very Important" to the Ohio State Community Compared With Values That Should be Most Important

		Values <u>currently</u> "very important" in the Ohio State community <i>How important would you say each of the following values is <u>now</u> to the Ohio State community? ¹</i>			Values that <u>should be</u> most important to the Ohio State community <i>Please select five values that you believe <u>should be</u> most important to the Ohio State community. ²</i>			
Value	Rank	Ohio State Employees Overall	Faculty	Staff	Rank	Ohio State Employees Overall	Faculty	Staff
Safety	1	70%	66%	71%*	14	21%	13%	24%*
Learning	2	64%	62%	65%	12	23%	33%	20%*
Diversity	3	60%	54%	61%*	5	30%	37%	29%*
Accountability	4	59%	56%	59%	1	48%	38%	51%*
Excellence	5	58%	54%	59%*	4	34%	45%	31%*
Innovation	6	58%	51%	60%*	10	25%	30%	23%*
Integrity	7	58%	55%	58%	2	44%	46%	43%
Access & affordability	8	57%	54%	58%	7	30%	28%	30%
Respect	9	54%	50%	55%*	8	29%	24%	30%*
Wellness	10	54%	44%	57%*	19	12%	14%	12%
Honesty	11	54%	52%	55%	3	35%	31%	35%*
Ownership	12	53%	47%	55%*	17	13%	9%	14%*
Trust	13	53%	48%	54%*	13	22%	21%	23%
Sincerity	14	53%	49%	55%*	18	13%	10%	13%*
Inclusiveness	15	52%	48%	54%*	9	26%	27%	25%
Service	16	52%	44%	54%*	20	11%	13%	11%
Collaboration	17	51%	45%	53%*	15	16%	20%	16%*
Determination	18	51%	45%	52%*	16	13%	12%	13%
Empathy	19	49%	42%	50%*	6	30%	20%	33%*
Transparency	20	46%	42%	47%*	11	25%	26%	24%

Notes: 1. Percentages reflect employees who indicated the value is "Very important" to the Ohio State community.

2. Percentages reflect employees who indicated the respective value should be one of the top five values shared by all members of the Ohio State community to help guide decisions and behaviors.

An asterisk (*) indicates that the percentages for faculty and staff are significantly different at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

Current Values

Overall, Ohio State employees were most likely to indicate Safety and Learning (70% and 64%, respectively) are “Very important” in the Ohio State community; the fewest employees indicated Empathy and Transparency (49% and 46%, respectively) are “Very important.”

- Staff were more likely to indicate the following values as “Very important” to the Ohio State community compared with faculty:
 - Safety (71% vs. 66%)
 - Diversity (61% vs. 54%)
 - Innovation (60% vs. 51%)
 - Excellence (59% vs. 54%)
 - Wellness (57% vs. 44%)
 - Respect (55% vs. 50%)
 - Ownership (55% vs. 47%)
 - Sincerity (55% vs. 49%)
 - Trust (54% vs. 48%)
 - Inclusiveness (54% vs. 48%)
 - Service (54% vs. 44%)
 - Collaboration (53% vs. 45%)
 - Determination (52% vs. 45%)
 - Empathy (50% vs. 42%)
 - Transparency (47% vs. 42%)
- There were no values in which faculty were more likely to indicate a specific value as “Very important” compared with staff.

Values That Should Be Most Important

Overall, Accountability, Integrity, Honesty and Excellence were selected as four of the top five values that employees indicated should be most important to the Ohio State community (34%-48%); the same percentage of employees selected Diversity, Empathy and Access & Affordability as the fifth value they felt should be most important (30%).

- Faculty were more likely to select the following values in their “top 5” compared with staff:
 - Excellence (45% vs. 31%)
 - Diversity (37% vs. 29%)
 - Innovation (30% vs. 23%)
 - Learning (33% vs. 20%)
 - Collaboration (20% vs. 16%)
- Staff were more likely to select the following values in their “top 5” compared with faculty:
 - Accountability (51% vs. 38%)
 - Honesty (35% vs. 31%)
 - Empathy (33% vs. 20%)
 - Respect (30% vs. 24%)
 - Safety (24% vs. 13%)

The Role of Values at Ohio State

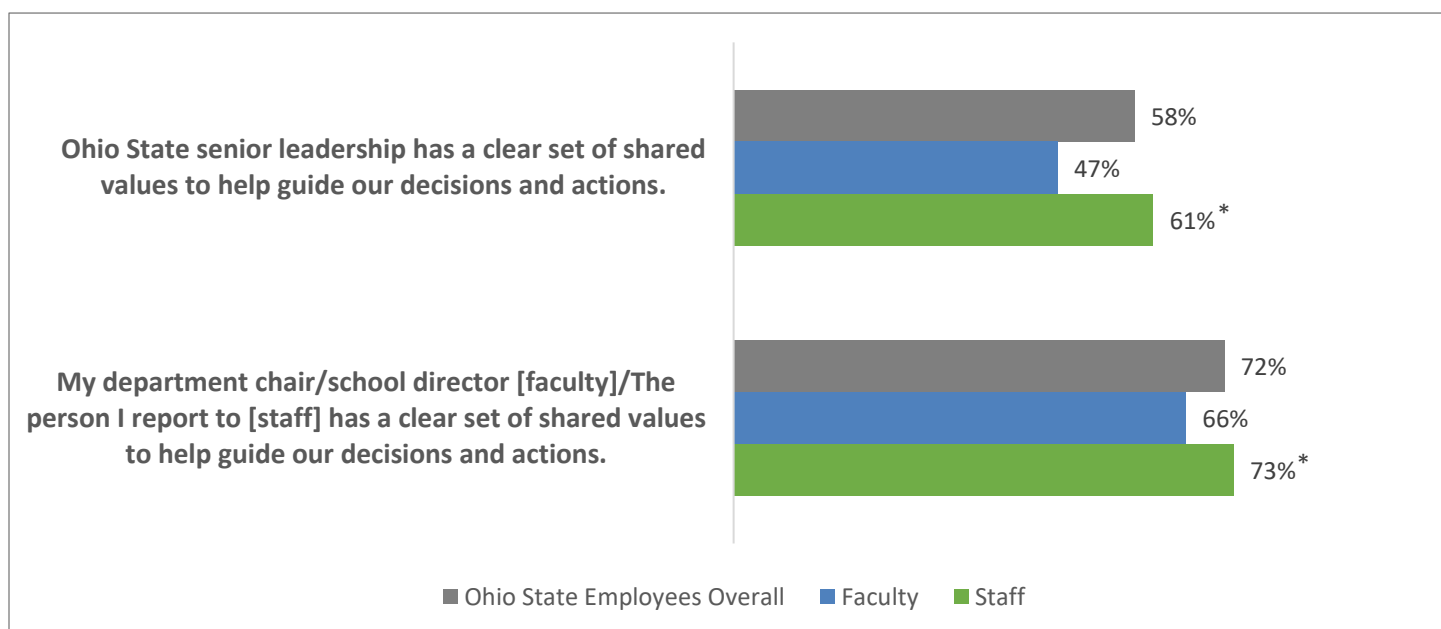
In addition to asking about the importance of specific values, the survey explored the role of shared values at Ohio State. Developing and promoting shared organizational values serves to guide employees in making the right decisions and is another element of the Shared Values Initiative.

Shared Values of Senior Leadership and Direct Leaders¹³

Overall, the survey results indicated that employees generally felt more positively about the values-driven decision making of their direct leaders compared with their perceptions of senior leaders. Oftentimes this can be attributed to communications from senior level leaders being less visible than the decisions of those in direct leadership positions.

- The survey results show that about three-fifths (58%) of employees believed that Ohio State senior leadership has a clear set of shared values to help guide decisions and actions, with faculty being less likely than staff to perceive the same (47% vs. 61%, respectively).
- Employees were more likely to agree that their direct leaders had a clear set of shared values to help guide decisions and actions in the Ohio State community when compared with senior leadership (72% vs. 58%), with staff being more likely to agree that direct leadership has a clear set of shared values than faculty (73% vs. 66%).

Figure 1. Shared Values Among Senior and Direct Leadership



Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree."

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019).

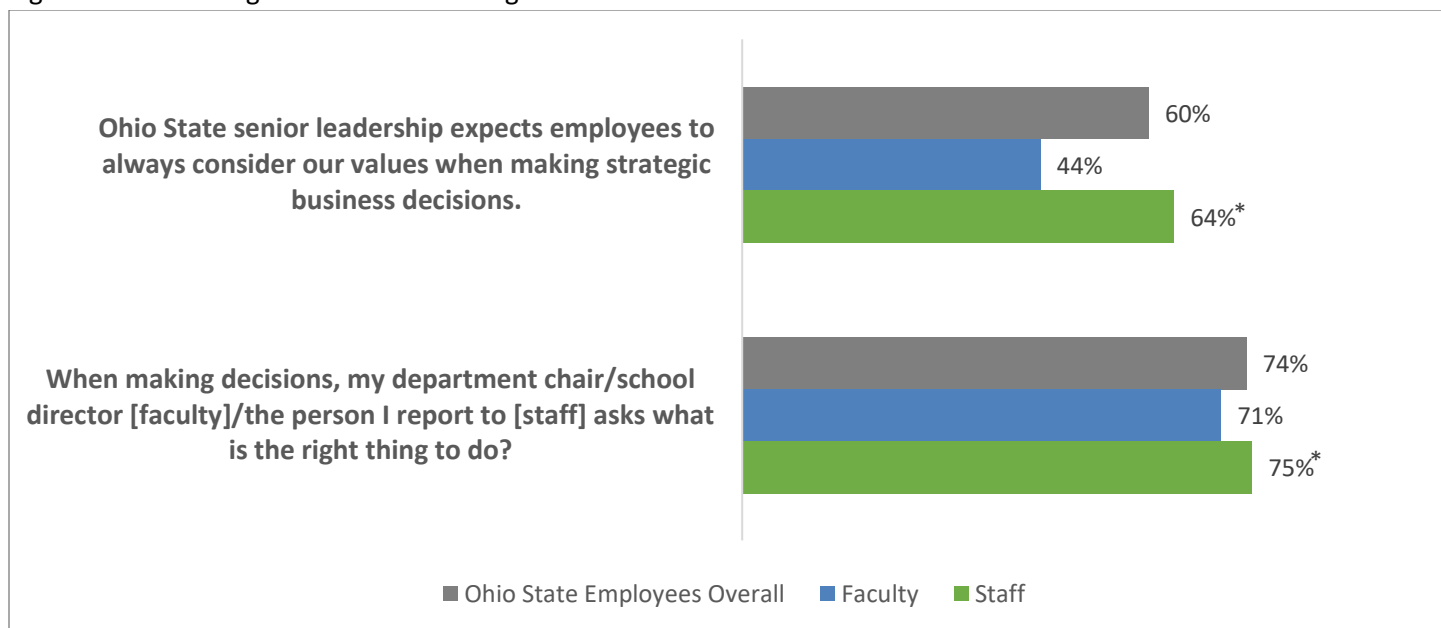
¹³ Senior Leadership: President, Provost, Deans, Senior Vice Presidents, Senior Vice Provost, Vice Presidents, Vice Provosts, and chief officers with similar levels of responsibility at the University or Medical Center level. Direct Leaders: In this report, staff direct leaders are the people they report to, and faculty direct leaders are their department chairs/school directors.

Considering Values When Making Business Decisions

In order to encourage employees to make decisions in line with Ohio State's values, it is pertinent that leaders communicate their expectations around the type of behavior they expect to see from employees. This ensures that all employees are operating from the same vantage point.

- Sixty percent of employees indicated that Ohio State senior leadership expects employees to always consider the University's values when making strategic business decisions. Similar to trends seen earlier, faculty were less likely to agree than staff (44% vs. 64%).
- Employees were also asked whether their department chair/school director [faculty] or their supervisor [staff] asks, "What is the right thing to do?" when making decisions. Overall, about three-quarters (74%) of Ohio State employees agreed, with staff being slightly more likely to agree than faculty (75% vs. 71%).

Figure 2. Considering Values When Making Business Decisions



Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree."

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

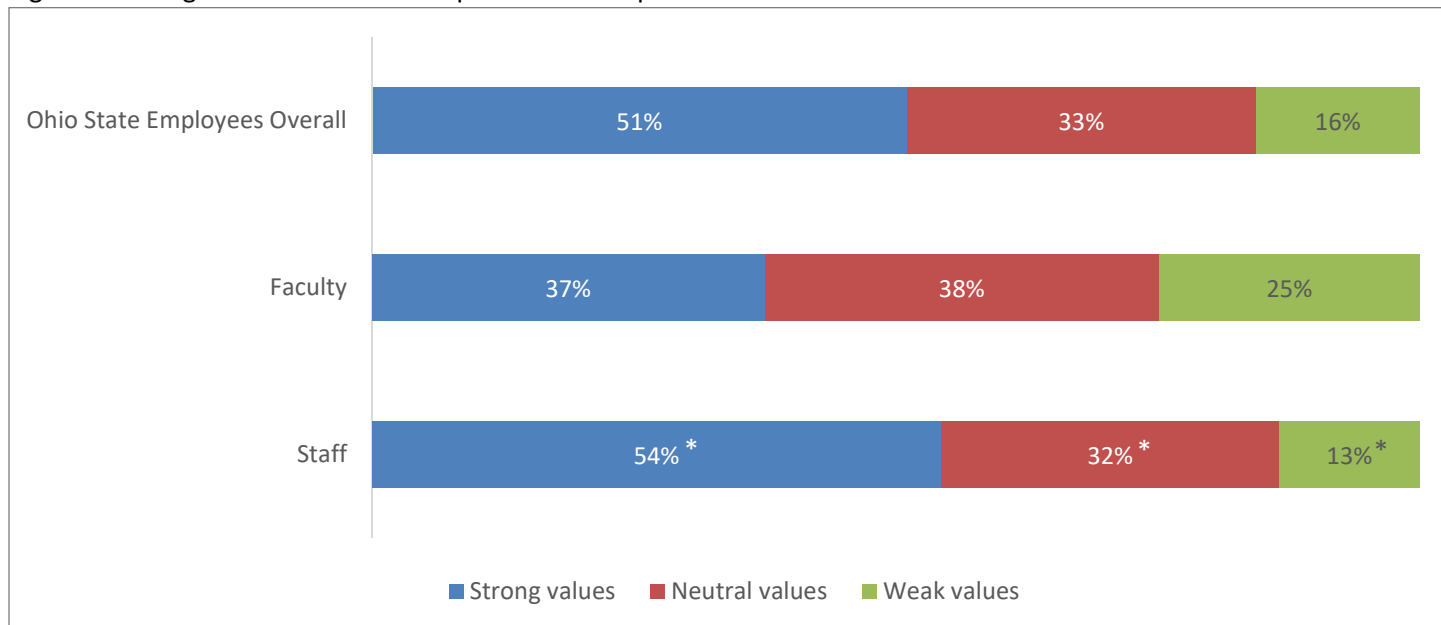
Strength of Senior Leadership Values

To assess overall employee perceptions about the strength of senior leadership values, ECI created an aggregated roll-up of the four survey questions on this topic, producing an average of employee responses.¹⁴ This roll-up provides insight about the strength of senior leadership values and its degree of integration on campus based on employee responses. When employees perceive that senior leadership has strong values it reveals that leaders at Ohio State are exhibiting behaviors that demonstrate that integrity and ethics are valued "at the top."

¹⁴ The roll-up includes the following questions on leadership values: Senior leadership 1) Has a clear set of shared values to guide decisions and actions; 2) Asks what is "right" when making decisions"; 3) Expects employees to always consider our values when making strategic business decisions; and 4) Regularly explains how Ohio State policies help us uphold our values.

- Overall, results indicated that about one-half (51%) of employees feel senior leadership has strong values, with staff being much more likely than faculty to perceive the same (54% vs. 37%).

Figure 3. Strength of Senior Leadership Values Roll-Up



Note: “Strong values” includes employees whose average score across the four survey questions was between 3.50 and 5.0, “Neutral values” includes employees whose average score was between 2.50 and 3.49 and “Weak values” includes employees whose average score was between 0 and 2.49. An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$. Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

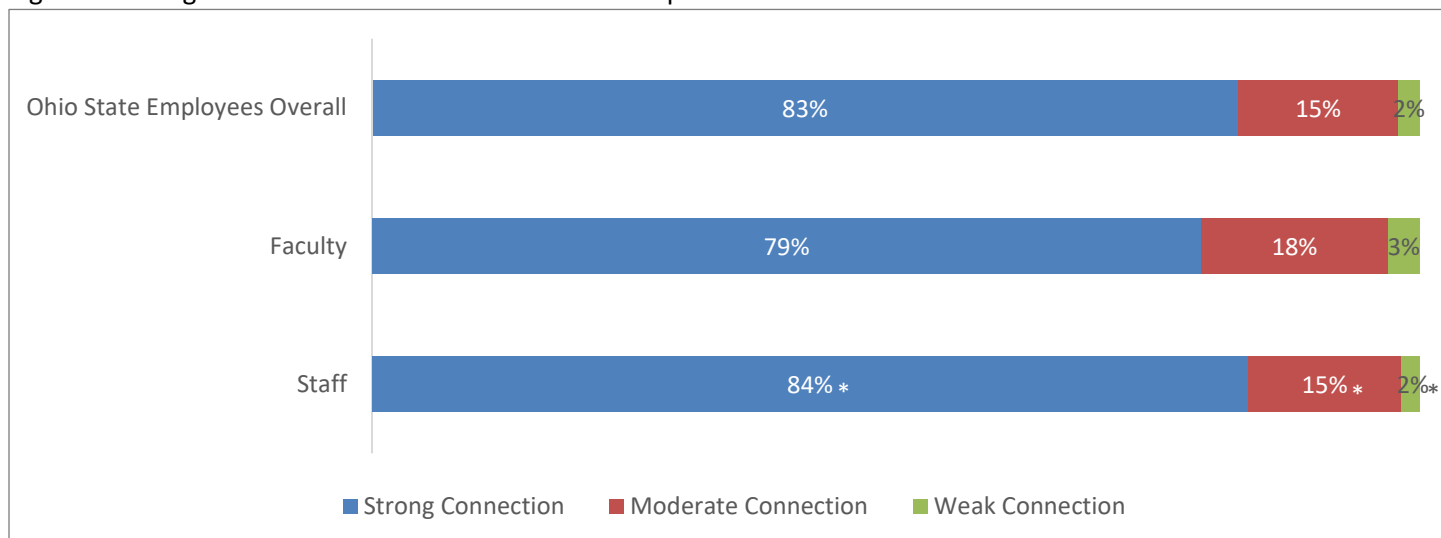
2. [Connection to Ohio State](#)

An employee’s commitment to upholding and acting in accordance with the University’s shared values is likely to be linked to the strength of their connection to the University. Members of the Ohio State community who feel connected to the culture and are invested in its success will be more likely to engage with their peers in building a culture of integrity.

To assess the overall perception of whether employees feel connected to the Ohio State community, ECI created an aggregated roll-up which averages employee responses to the five questions on this topic.¹⁵ Overall, more than four-fifths (83%) of employees perceived a strong connection with the University, with the prevalence of a strong connection being higher among staff than among faculty (84% vs. 79%). Only 2% of employees expressed a weak connection with the University.

¹⁵ The roll-up includes the following questions on connection to the Ohio State community: 1) I feel like I fit in with the Ohio State community; 2) The Ohio State community does many good things for society; 3) People outside of the community view my association with Ohio State as a positive thing; 4) I am proud to be a member of the Ohio State community; and 5) My personal values align with the values of Ohio State.

Figure 4. Strength of Connection with Ohio State Roll-Up



Note: "Strong connection" includes employees whose average score across the five survey questions was between 3.50 and 5.0, "Neutral connection" includes employees whose average score was between 2.50 and 3.49 and "Weak connection" includes employees whose average score was between 0 and 2.49.

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

- When employees were asked what type of activity they were engaging in when they felt most connected to the Ohio State community, they were most likely to indicate they were "engaging in tasks specifically related to their job" (49%), with faculty being more likely to indicate the same than staff (59% vs. 46%).
 - Far fewer employees (16%) indicated they felt most connected to the OSU community when they were "engaging in activities outside the scope of [their] job"; 14% indicated they felt most connected when they were "talking about Ohio State to individuals external to the Ohio State community"; and 13% indicated they felt most connected when they were "socializing with coworkers and peers."

Table 2. Think about the times when you feel most connected to the Ohio State community. Which of the following best describes the type of activity you are engaging in during those times?

Type of Activity	Ohio State Employees Overall	Faculty	Staff
Engaging in tasks specifically related to my job	49%	59%	46%*
Engaging in activities outside the scope of my job ¹	16%	10%	18%*
Talking about Ohio State to individuals external to the Ohio State community	14%	14%	15%
Socializing with coworkers and peers	13%	10%	14%*
Other	2%	1%	2%
I don't feel connected to the Ohio State community	5%	6%	5%

Note: Percentages reflect employees who indicated they were engaging in the respective activity when they felt most connected to the Ohio State community.

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

¹ e.g., service, attending cultural events, following or attending athletic events

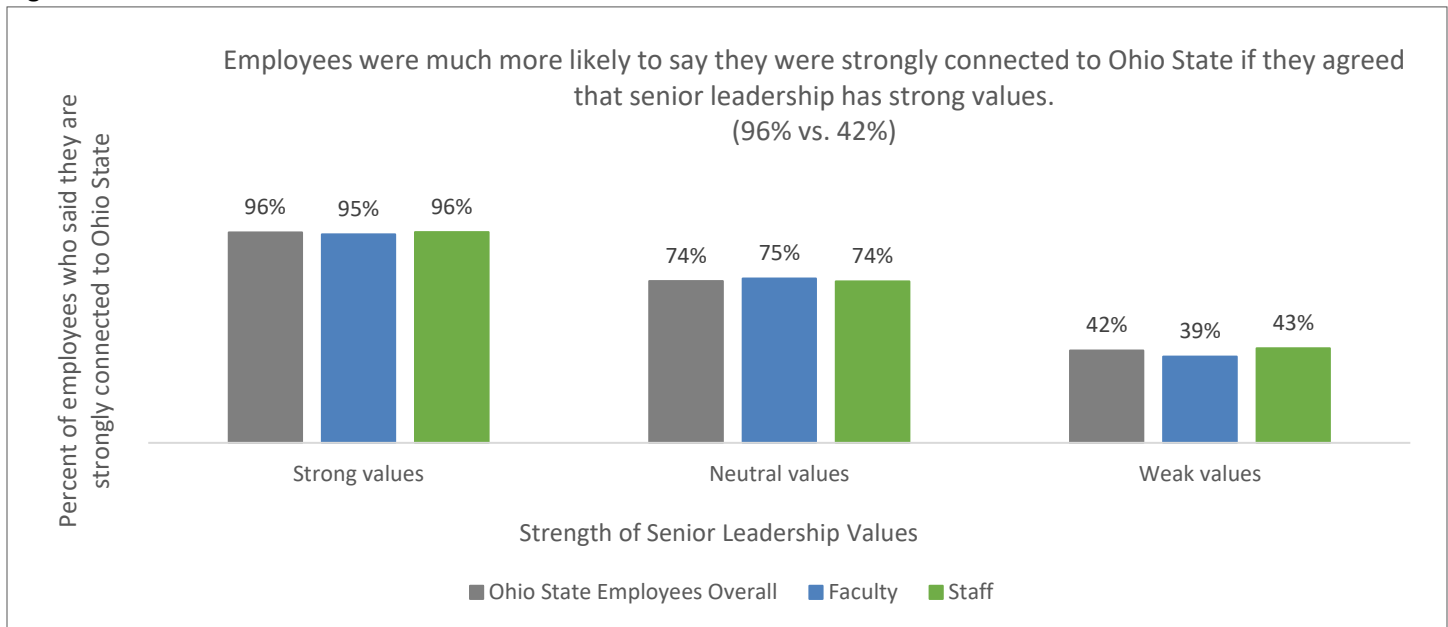
Source: The Ohio State University Values and Ethics Survey (2019).

The Link Between Shared Values and Connection to Ohio State

At Ohio State, the use of shared values among senior leadership was strongly associated with the strength of employee connection to the University.

- Overall, 96% of employees who believed that values are a key component of senior leaders' decision making indicated they feel strongly connected to the University; only 42% of employees who did not believe that values were a key component of senior leaders' decision making felt the same.

Figure 5. The Link Between Shared Values and Connection to Ohio State



Note: "Strong values" includes employees whose average score across the five survey questions was between 3.50 and 5.0, "Neutral values" includes employees whose average score was between 2.50 and 3.49 and "Weak values" includes employees whose average score was between 0 and 2.49. Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

3. Awareness of Ethics and Compliance Resources

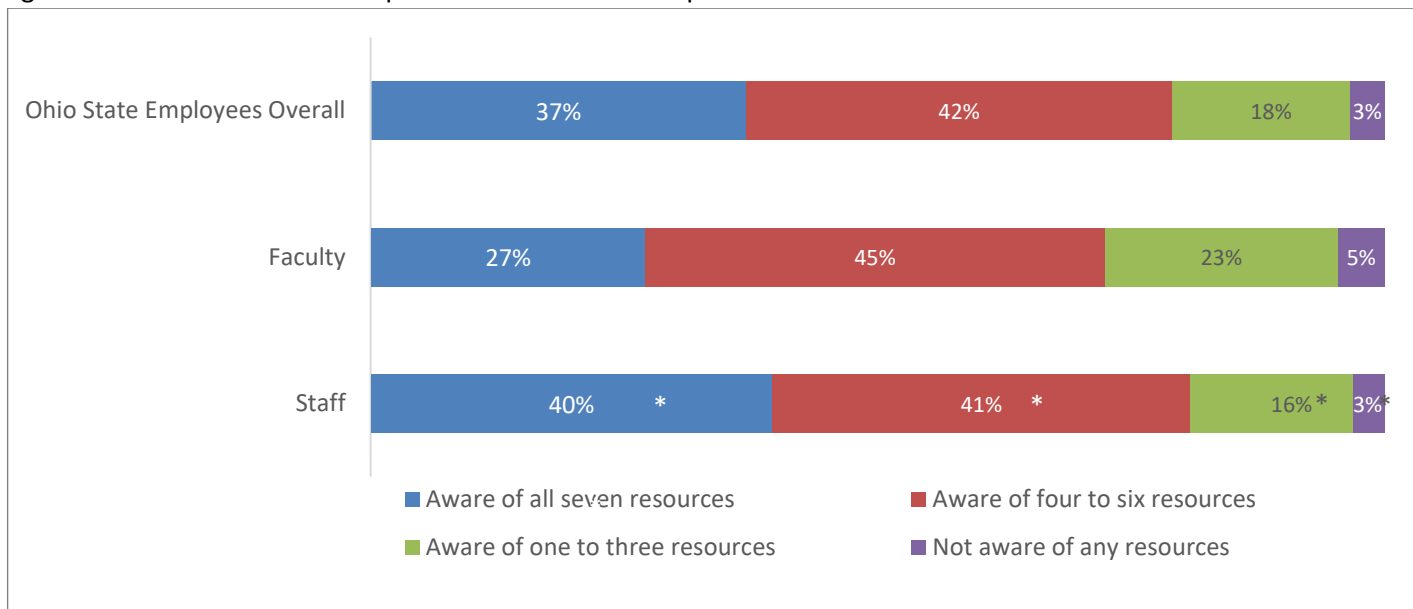
Widespread awareness of formal ethics and compliance resources is a prerequisite for any organization that is working towards developing a strong ethics culture. Low levels of awareness may signal a lack of investment in the organization's ethics and compliance program, leaving employees with limited resources for support. In order to measure awareness at Ohio State, the survey included questions asking participants whether they were aware of the following seven resources for employees at Ohio State:

- A set of stated policies to help guide or regulate ethical conduct and compliance responsibilities.
- Orientation or training on policies regarding ethical conduct and compliance responsibilities.
- Conferences, lectures, and seminars that explore ethical issues and conduct.
- A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues.
- Evaluation of ethical conduct and compliance responsibilities as part of regular performance assessments.
- A way to confidentially or anonymously report wrongdoing (e.g., a hotline).
- A formal process to discipline those who violate University policies.

ECI created an aggregated roll-up that averages the employee responses for the seven questions. The roll-up provides an overall picture of resources awareness at the University by providing the percentage of employees who are aware of 1) all ethics and compliance resources, 2) four to six resources, 3) one to three resources or 4) none of the resources.

- Overall, 37% of employees indicated they are aware of all ethics and compliance resources, with staff more likely to be aware of all resources than faculty (40% vs. 27%). These findings are consistent with ECI's past research and engagements with other clients. Typically, awareness of all seven resources ranges between 25% and 35%.

Figure 6. Overall Ethics and Compliance Awareness Roll-Up



An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

- The data show that ethics and compliance resources awareness varies depending on the type of resource. Most employees were aware of orientation or training on ethical conduct (85%), whereas fewer were aware of evaluation of ethical conduct as a part of regular performance appraisals (61%). This is consistent with ECI's existing research into resource awareness.
 - Staff were more likely than faculty to be aware of each of the resources assessed (62%-86% vs. 49%-83%, respectively), except for ethics presentations (e.g., conferences, lectures, and seminars that explore ethical issues and conduct); faculty were more likely than staff to be aware of this resource (66% vs. 62%, respectively).

Table 3. Awareness of Ethics and Compliance Resources¹⁶

	Ohio State Employees Overall	Faculty	Staff
1) Training	85%	83%	86%*
2) Ethics and Compliance Policies	82%	76%	84%*
3) Hotline	76%	63%	79%*
4) Advice	75%	66%	77%*
5) Discipline	71%	66%	72%*
6) Ethics Presentations	63%	66%	62%*
7) Evaluation of Ethical Conduct	61%	49%	63%*

Note: Percentages reflect employees who indicated "Yes," they are aware of the respective resource.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019).

¹⁶ 1) Training: Orientation or training on policies regarding ethical conduct and compliance responsibilities.

2) Ethics and Compliance Policies: A set of stated policies to help guide or regulate ethical conduct and compliance responsibilities.

3) Hotline: A way to confidentially or anonymously report wrongdoing (e.g., a hotline).

4) Advice: A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues.

5) Discipline: A formal process to discipline those who violate University policies.

6) Ethics Presentations: Conferences, lectures, and seminars that explore ethical issues and conduct.

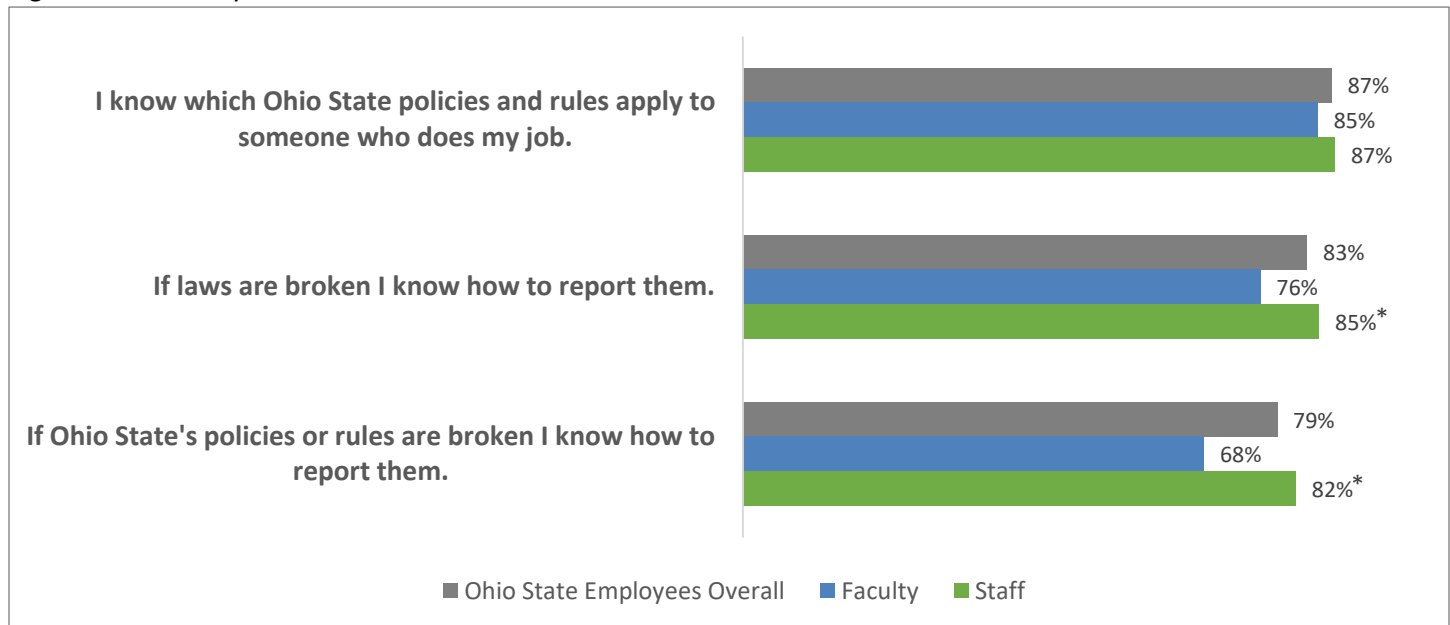
7) Evaluation of Ethical Conduct: Evaluation of ethical conduct and compliance responsibilities as part of regular performance assessments.

Employee Familiarity with Ohio State's Rules and Policies

In addition to exploring overall ethics and compliance resources awareness at Ohio State, the survey also asked employees about their familiarity with Ohio State's rules and policies.

- Overall, a majority of employees (87%) said they knew which policies and rules applied to their job. Additionally, about four-fifths of employees said they know how to report laws that are broken (83%) and Ohio State policies or rules are broken (79%).
 - Staff were more likely than faculty to indicate they know how to report broken laws (85% vs. 76%) and how to report Ohio State policies or rules that have been broken (82% vs. 68%).

Figure 7. Familiarity with Ohio State's Rules and Policies



Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree."

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

4. [Organizational Culture](#)

Ethics-Related Actions of University Leaders

A primary goal of Ohio State's Shared Values Initiative is to develop leaders who behave ethically, uphold shared values and are trusted by the University community. As such, the survey asked employees a series of questions about the Ethics-Related Actions (ERAs) of leaders throughout the University. The ERAs shed light on the leadership culture within the University. Employees were asked about university leadership and about their more direct leaders – namely department chairs/school directors (faculty) and supervisors (staff).

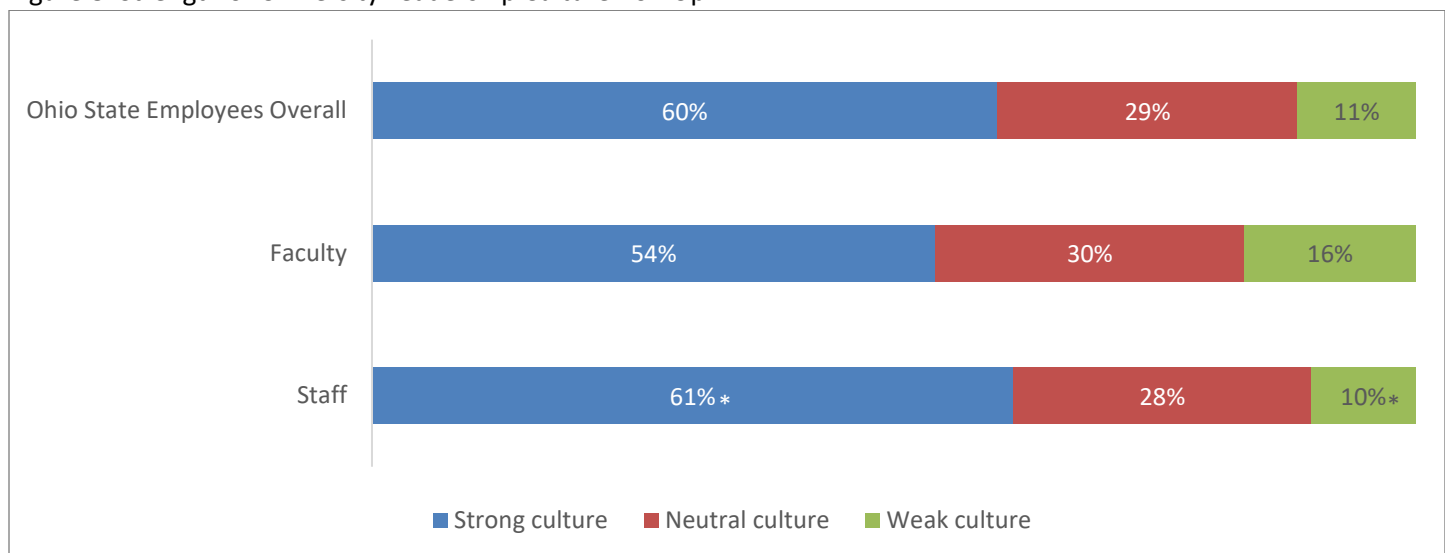
Ethics-Related Actions of University Leadership and Direct Leaders

- Communicating about the importance of ethics
- Acting with integrity and responsibility
- Being held accountable if caught violating University policies
- Modeling ethical behavior
- Supporting others in following University policies

In order to obtain a comprehensive understanding of the university leadership culture at Ohio State, ECI created an aggregated roll-up for University Leadership Culture¹⁷ which averages employee responses to five survey questions on this topic.

- Three-fifths (60%) of employees perceived the University's leadership culture as "strong," with staff being more likely to have perceived a strong culture than faculty (61% vs. 54%).

Figure 8. Strength of University Leadership Culture Roll-Up



Note: "Strong culture" includes employees whose average score across the five survey questions was between 3.50 and 5.0, "Neutral culture" includes employees whose average score was between 2.50 and 3.49 and "Weak culture" includes employees whose average score was between 0 and 2.49.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Throughout the report, item results may not sum to 100% due to rounding.

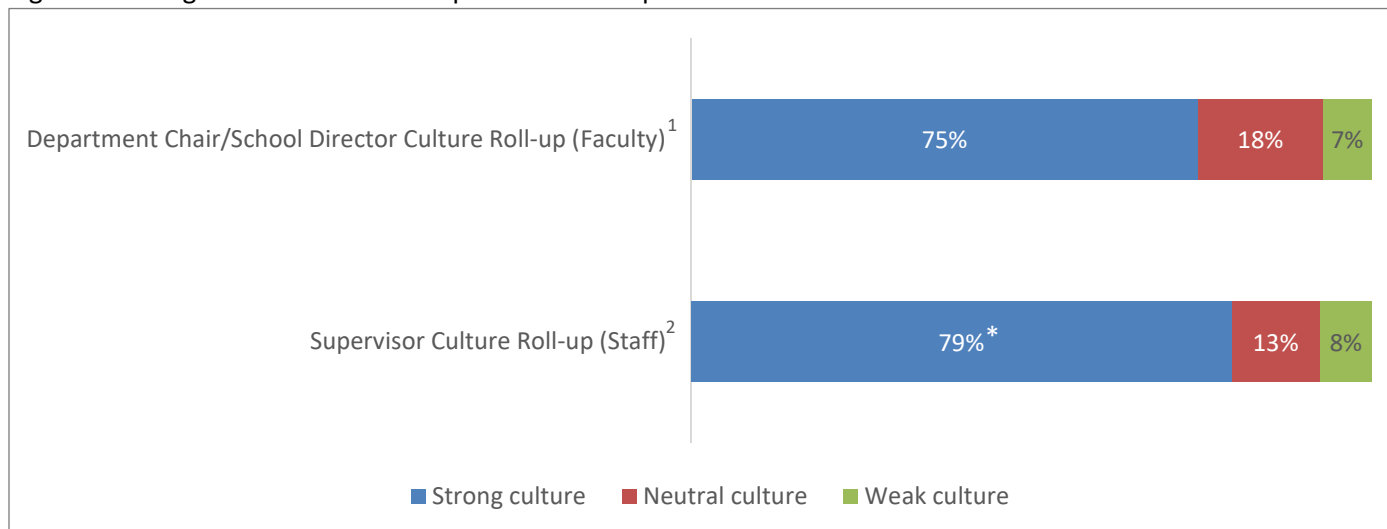
Source: The Ohio State University Values and Ethics Survey (2019).

¹⁷ The roll-up includes the following questions on leadership culture: The President, Provost, VPs and other University leaders 1) Communicate ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Act as good role models of ethical behavior; and 5) Support employees in following University policies.

To assess direct leadership culture, faculty and staff were asked the same series of questions about the culture in regards to their department chair/school director¹⁸ (faculty) or supervisor¹⁹ (staff). ECI created two aggregated roll-ups, one for faculty and one for staff. The roll-ups average employee responses to five culture survey questions to enable comparisons between the two groups.

- The roll-up for the strength of Department Chair/School Director Culture and Supervisor Culture indicated that three-quarters (75%) of faculty perceived their direct leadership’s culture as “strong” compared with 79% of staff.

Figure 9. Strength of Direct Leadership Culture Roll-Up



Note: “Strong culture” includes employees whose average score across the five survey questions was between 3.50 and 5.0, “Neutral culture” includes employees whose average score was between 2.50 and 3.49 and “Weak culture” includes employees whose average score was between 0 and 2.49. An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$. Throughout the report, item results may not sum to 100% due to rounding.
Source: The Ohio State University Values and Ethics Survey (2019).

Perception of Tolerance for Misconduct in the Workplace

Setting the expectation that all employees will engage in disciplined decision-making is another element of the Shared Values Initiative. In order to meet this objective, leaders at all levels of the University need to hold employees accountable if they violate policies. In order to assess the perception of tolerance for misconduct, the survey asked whether employees who violate University policies are still rewarded with promotions or raises.

¹⁸ The Department Chair/School Director culture roll-up includes the following questions on leadership culture: 1) Communicates ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Acts as a good role model of ethical behavior; and 5) Supports employees in following University policies.

¹⁹ The Supervisor Culture roll-up includes the following questions on leadership culture: The person to whom I report 1) Communicates ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Acts as a good role model of ethical behavior; and 5) Supports employees in following University policies.

- Overall, about two-fifths (41%) of employees agreed that employees who violate University policies still get rewarded with promotions or raises. In other words, these employees believe that misconduct is often overlooked within the workplace. *How* results are achieved is as important as achieving them in the first place. This finding may speak to a perception among some employees that the University does not hold its employees accountable for their behavior.

- The relationship between the strength of university leadership culture and whether or not employees think those who violate University policies are still rewarded was also assessed. The data show that the capacity of university leadership to demonstrate a strong commitment to ethical conduct is connected to employee perceptions that the University does not reward employees who violate University policies. Employees who agreed that they were working in environments with strong university leadership cultures²⁰ were more likely to believe that misconduct was not overlooked. Overall, 73% of employees in weak cultures indicated they agree that employees who violate University policies still get rewarded with promotions or raises (i.e., that misconduct is overlooked), whereas only 30% of employees in strong cultures agreed with the same. This finding was true for both faculty and staff.

Table 4. I believe that employees who violate University policies still get rewarded with promotions or raises.

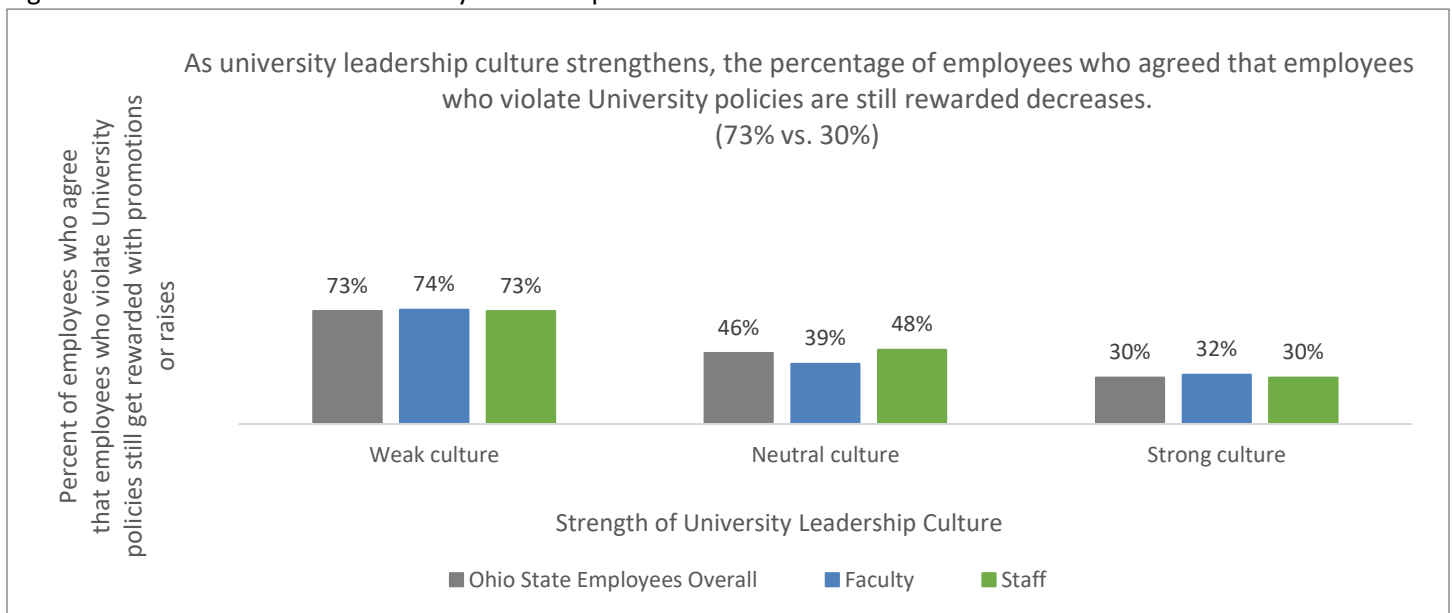
Ohio State Employees Overall	41%
Faculty	42%
Staff	41%

Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree."

The difference between faculty and staff was not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019)

Figure 10. The Link Between University Leadership Culture and Tolerance for Misconduct



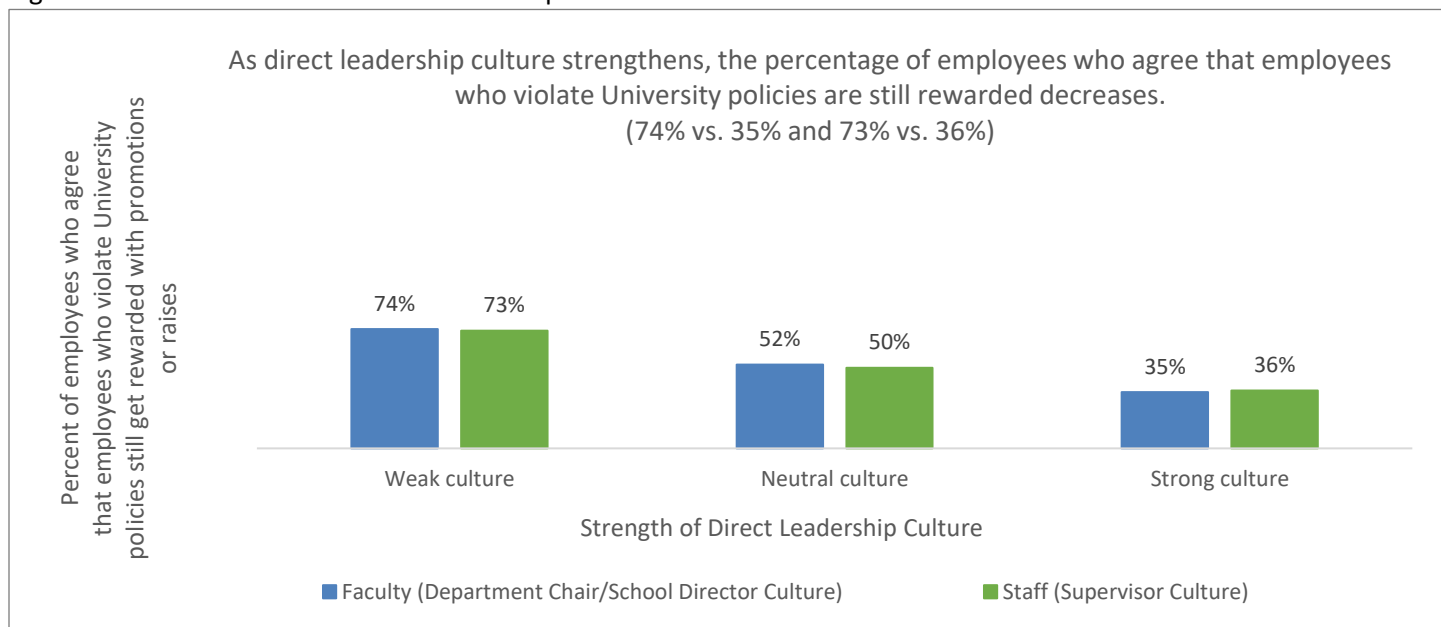
Note: "Strong culture" includes employees whose average score across the five survey questions was between 3.50 and 5.0, "Neutral culture" includes employees whose average score was between 2.50 and 3.49 and "Weak culture" includes employees whose average score was between 0 and 2.49. Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

²⁰ The roll-up includes the following questions on leadership culture: The President, Provost, VPs and other University leaders 1) Communicate ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Act as good role models of ethical behavior; and 5) Support employees in following University policies.

- Similar to the trend observed with university leadership, the capacity of direct leaders—department chair/school directors²¹ (faculty) and supervisors²² (staff) to demonstrate a strong commitment to ethical conduct is connected to employee perceptions that the University does not reward employees who violate University policies. Employees who agreed that they were working in environments with strong direct leadership cultures were more likely to believe that misconduct is not overlooked. Overall, 73%-74% of employees in weak direct leadership cultures indicated they agree that employees who violate University policies still get rewarded with promotions or raises (i.e., that misconduct is overlooked), whereas only 35%-36% of employees in strong direct leadership cultures agreed with the same.

Figure 11. The Link Between Direct Leadership Culture and Tolerance for Misconduct



Note: "Strong culture" includes employees whose average score across the five survey questions was between 3.50 and 5.0, "Neutral culture" includes employees whose average score was between 2.50 and 3.49 and "Weak culture" includes employees whose average score was between 0 and 2.49. Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

Sharing Concerns

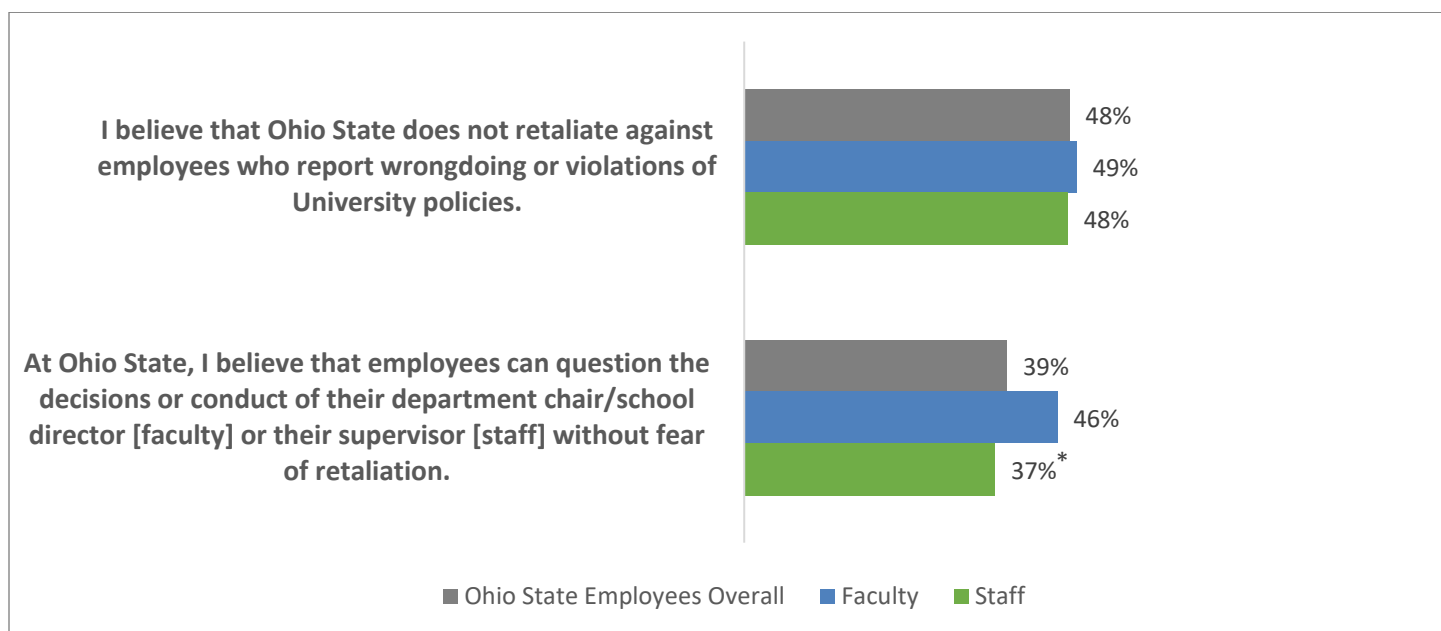
Creating an environment where employees feel secure in sharing concerns is also a key component of a strong organizational culture. In order to measure this dimension, the survey asked a series of questions to assess if employees believed that retaliation against reporters took place at Ohio State. Both faculty and staff were asked about Ohio State as an institution, along with additional questions focused on each group's specific experiences with department chairs/school directors (faculty) or supervisors (staff).

²¹ The Department Chair/School Director culture roll-up includes the following questions on leadership culture: 1) Communicates ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Acts as a good role model of ethical behavior; and 5) Supports employees in following University policies.

²² The Supervisor Culture roll-up includes the following questions on leadership culture: The person to whom I report 1) Communicates ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Acts as a good role model of ethical behavior; and 5) Supports employees in following University policies.

- About one-half (48%) of employees expressed confidence that Ohio State does not retaliate against employees who report wrongdoing or violations of University policies; the same was true for both faculty and staff. The percentage of employees who agreed at Ohio State was somewhat lower when compared to ECI's existing research and other client engagements.
- Forty-six percent of faculty agreed that they can question the decisions or conduct of their department chair/school director without fear of retaliation. Comparatively, 37% of staff members agreed that they can question the decisions or conduct of the people they report to without fear of retaliation. These results may be indicative of fear among some employees which could lead to fewer reports of violations of University policies.

Figure 12. Perceptions of Retaliation



Note: Percentages reflect employees who indicated they “Agree” or “Strongly agree.”

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

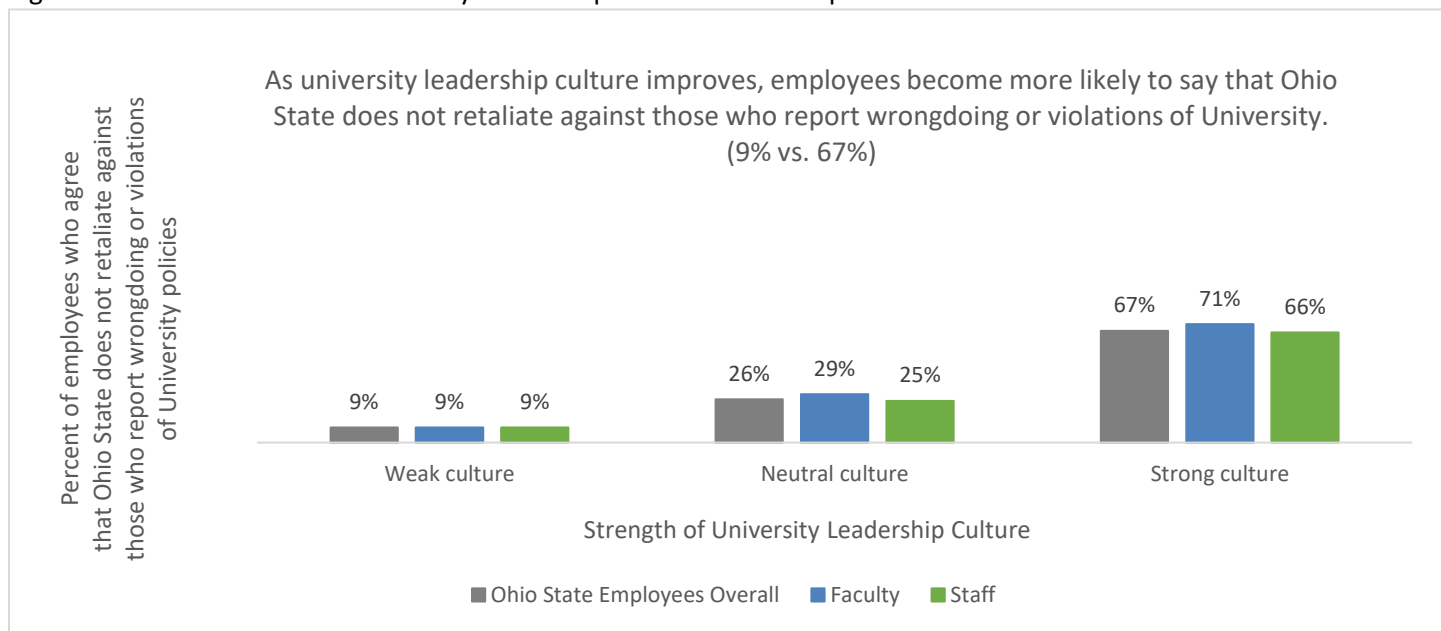
The Link Between Perception of Retaliation and University Leadership Culture

The survey data show that close to one-half of employees (52%)²³ were not confident that Ohio State does not retaliate against employees who report wrongdoing. ECI analyzed a range of factors to identify which were linked with the perception of retaliation at the University. Results indicated that there is a meaningful relationship between employee views of university leadership and their perception of retaliation at the University. This finding reinforces the findings earlier regarding the connection between university leadership and whether or not employees are rewarded despite violations of University policies.

Lastly, it is important to note that in most cases, these results are based on a *perception* of university leaders by employees. Most employees do not have day-to-day interactions with university leaders. In many cases, honest efforts to build strong ethics cultures can go unnoticed if they are not publicized and reinforced by university leaders.

²³ Fifty-two percent of employees indicated they “Neither agree nor disagree,” “Disagree” or “Strongly disagree” that they believe Ohio State does not retaliate against employees who report wrongdoing or violations of University policies.

Figure 13. The Link Between University Leadership Culture and Perception of Retaliation



Note: Percentages reflect employees who indicated they “Agree” or “Strongly agree” that Ohio State does not retaliate against those who report wrongdoing or violations of University policies.

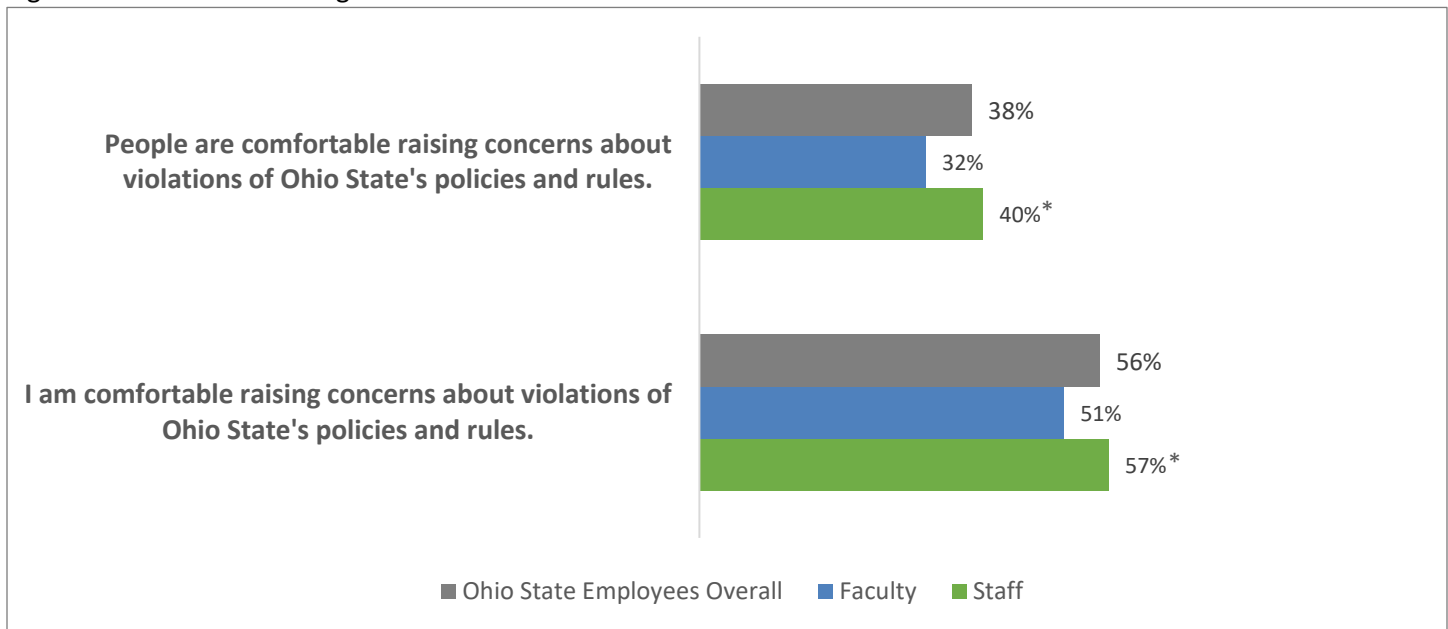
Source: The Ohio State University Values and Ethics Survey (2019).

Comfort Raising Concerns

To further assess whether employees feel secure in sharing concerns, the survey asked employees if people at Ohio State feel comfortable raising concerns about violations of Ohio State’s policies and rules, and whether or not they personally feel comfortable with the same.

- Overall, just under two-fifths (38%) of employees indicated people feel comfortable raising concerns about violations of Ohio State’s policies and rules, with staff being more likely to agree than faculty (40% vs. 32%). A higher percentage of employees indicated they personally feel comfortable raising concerns about violations of Ohio State’s policies and rules (56% overall), with staff being more likely to agree that they personally feel comfortable than faculty (57% vs. 51%).

Figure 14. Comfort in Raising Concerns About Violations of Ohio State's Policies and Rules



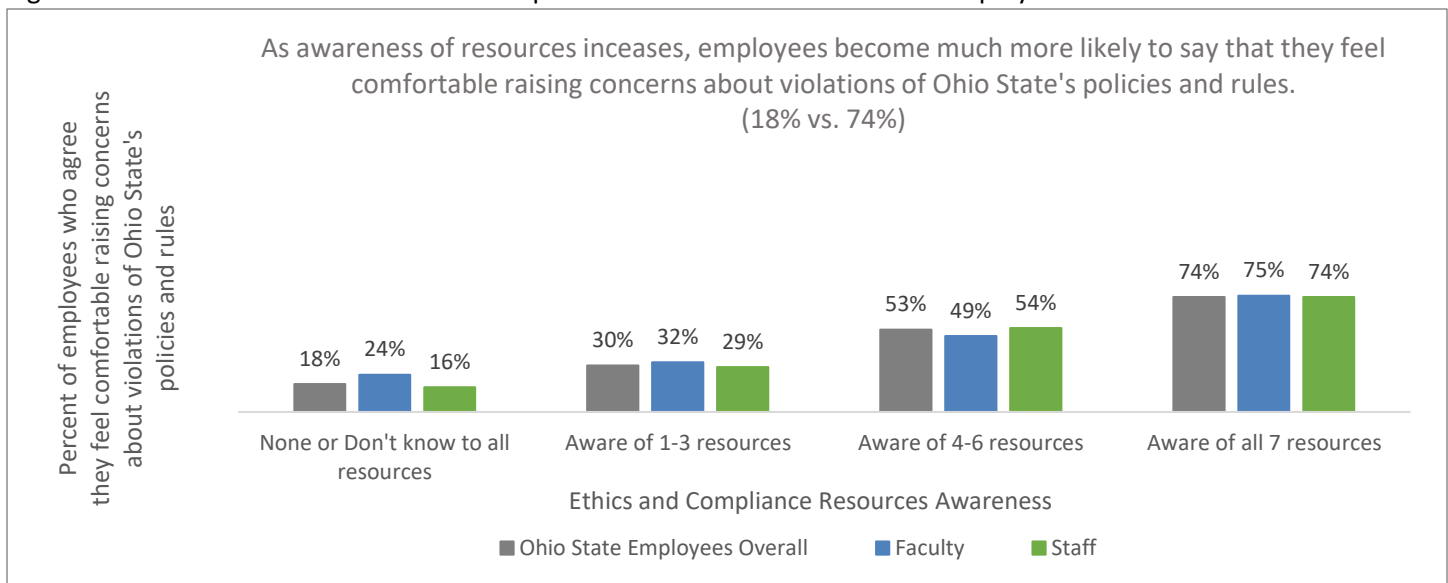
Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree."

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

As was discussed earlier, university leadership culture is associated with employees' perception of retaliation at Ohio State. In addition to organizational culture, ECI's research has found that awareness of ethics and compliance resources is linked to employees' confidence that they can raise concerns. The data show that this association holds for employees at Ohio State. For both faculty and staff, comfort raising concerns was tied to awareness of ethics and compliance resources.

Figure 15. The Link Between Ethics and Compliance Resources Awareness and Employee Comfort to Raise Concerns



Note: Percentages reflect employees who indicated they "Agree" or "Strongly agree" that they personally feel comfortable raising concerns about violations of Ohio State's policies and rules.

Source: The Ohio State University Values and Ethics Survey (2019).

5. Key Ethics Outcomes

Effective ethics and compliance programs and strong ethics cultures improve ethics outcomes. In order to establish a baseline and measure progress over time, this survey asked about four key outcomes at Ohio State:

- **Pressure** to violate University policies or the law;
- Observation of **misconduct**;
- **Reporting** of observed misconduct; and
- **Retaliation** for reporting misconduct.

The four ethics outcomes listed above are tied to the focus areas of the Shared Values Initiative. Continuing to build a culture that is predicated on shared values, sharing concerns, disciplined decision making and trusted leaders should lead to improved ethics outcomes across the University.

Pressure to Compromise Standards

Overall, the data reveal that at Ohio State pressure to violate standards is relatively rare. Only 5% of all employees said they felt pressure to violate University policies or the law; this trend was consistent for faculty and staff (both 5%). This is a promising finding, as research by ECI has found that pressure to violate standards is an important warning sign of future workplace misconduct.

Stress may also be a precursor to violations of policies and rules. Employees were asked about various sources of stress to identify whether there are areas that should be addressed.

- About one-third of employees indicated balancing work and personal responsibilities (36%), taking care of themselves and their health (33%) and balancing all of their work responsibilities (32%) were “very much” a source of stress over the past 12 months.
 - Staff were more likely to report taking care of themselves and their health as a source of stress than faculty (34% vs. 29%), whereas faculty were more likely to report balancing work and personal responsibilities (41% vs. 34%) and balancing all of their work responsibilities (39% vs. 30%) as sources of stress.

Table 5. Felt pressure to violate University policies or the law

Ohio State Employees Overall	5%
Faculty	5%
Staff	5%

Note: Percentages reflect employees who indicated “Yes” they have felt pressured to violate University policies or the law.

The difference between faculty and staff was not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019)

Table 6. Sources of Stress Over the Past 12 Months

	Ohio State Employees Overall	Faculty	Staff
Balancing work and personal responsibilities	36%	41%	34%*
Taking care of myself and my health	33%	29%	34%*
Balancing all of my work responsibilities	32%	39%	30%*
Working within University bureaucracy	28%	35%	26%*
Advancing my own financial interests	28%	18%	30%*
Advancing my own career	26%	28%	25%
Meeting deadlines	26%	29%	25%
Meeting the expectations of faculty	18%	18%	18%
Being accepted in my department/unit	17%	18%	16%
Keeping my job	14%	11%	14%*
Earning contract renewal	10%	13%	9%*
Advancing Ohio State's goals	10%	8%	11%*
Fitting in with my regional campus community†	9%	10%	9%
Fitting in with the Ohio State community	7%	6%	8%
Meeting the expectations of the person I report to	—	—	27%
Meeting the expectations of my dean or department chair/school director	—	21%	—

Note: Percentages reflect employees who indicated the source has been “Very much” a source of stress over the past 12 months.

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

A dash (—) indicates that the respective group was not asked the item.

†Question only asked of regional campus employees.

Source: The Ohio State University Values and Ethics Survey (2019).

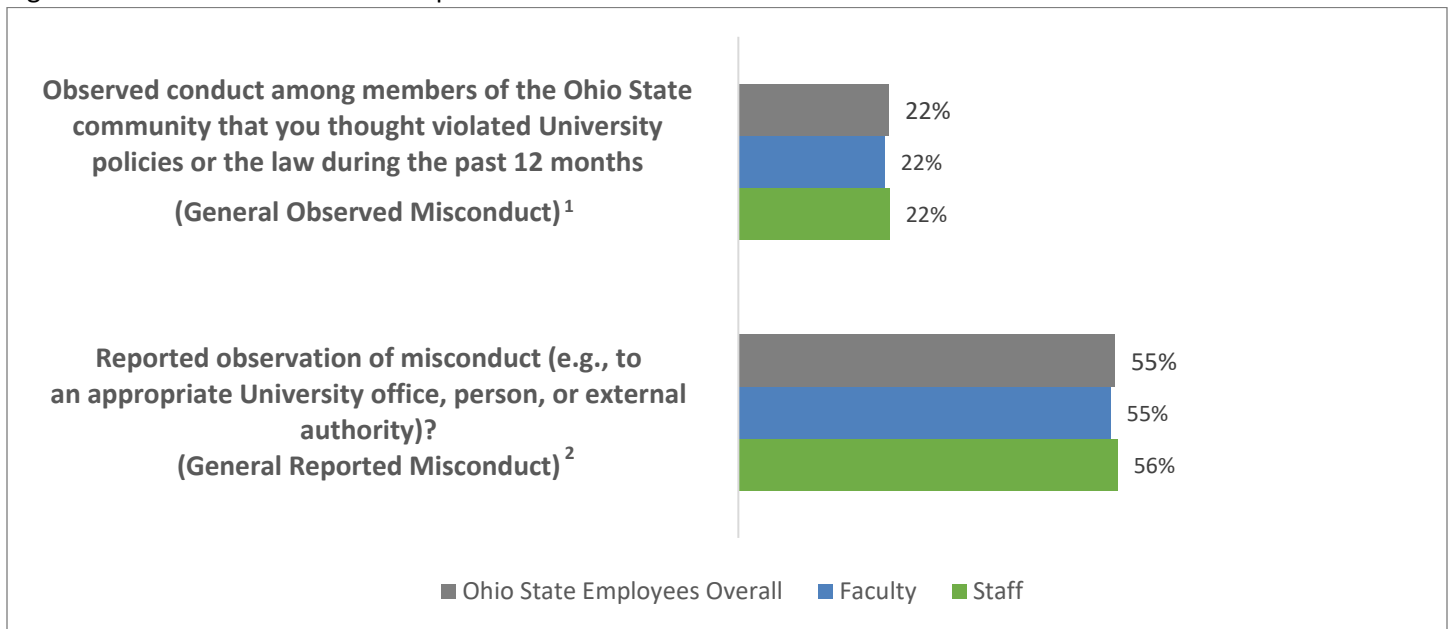
Observed and Reported Misconduct

Observed misconduct is the most fundamental indicator of the past and present state of integrity in the workplace. ECI asks employees about their observations of misconduct in two ways. First, employees are asked, in general terms, if they observed any misconduct in the past 12 months and, if so, whether they reported it. Then employees are asked if they observed specific types of behaviors that fall under the umbrella of misconduct in the past 12 months. These questions are asked in order to provide two perspectives on how employees view misconduct. Typically, fewer employees say they have observed misconduct when asked about misconduct in general, while the rate of observation increases when they are asked about specific types of misconduct. Both perspectives are valuable, though the rate at which employees say they observed specific types of misconduct and the roll-up of these behaviors is more likely to be a better reflection of what is occurring within the University. Specifically, the roll-up assesses observed misconduct based on the percentage of employees who indicated they observed at least one of the specific types of misconduct assessed on the survey, whereas the general misconduct results are based on the percentage of employees who indicated they observed misconduct in general.

Misconduct - General

- Relatively few employees (22%), when asked in general terms, said they observed misconduct among members of the Ohio State community during the past 12 months.
- Overall, over-half of employees reported the misconduct that they personally observed among members of the Ohio State community during the past 12 months.

Figure 16. General Observed and Reported Misconduct



Note: ¹ Percentages reflect employees who indicated “Yes,” they personally observed conduct among members of the Ohio State community that they thought violated University policies or the law during the past 12 months.

² Percentages reflect employees who indicated “Yes,” they reported their observation of misconduct among members of the Ohio State community during the past 12 months.

The differences between faculty and staff was not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

Misconduct - Specific

In addition to the general observed misconduct question, employees were asked about their observations of 11 specific types of misconduct.²⁴ ECI aggregated the responses of employees who indicated observing specific types of misconduct to create a roll-up (Specific Observed Misconduct). In other words, the roll-up assesses observed misconduct based on the percentage of employees who indicated they observed at least one of the specific types of misconduct assessed on the survey.

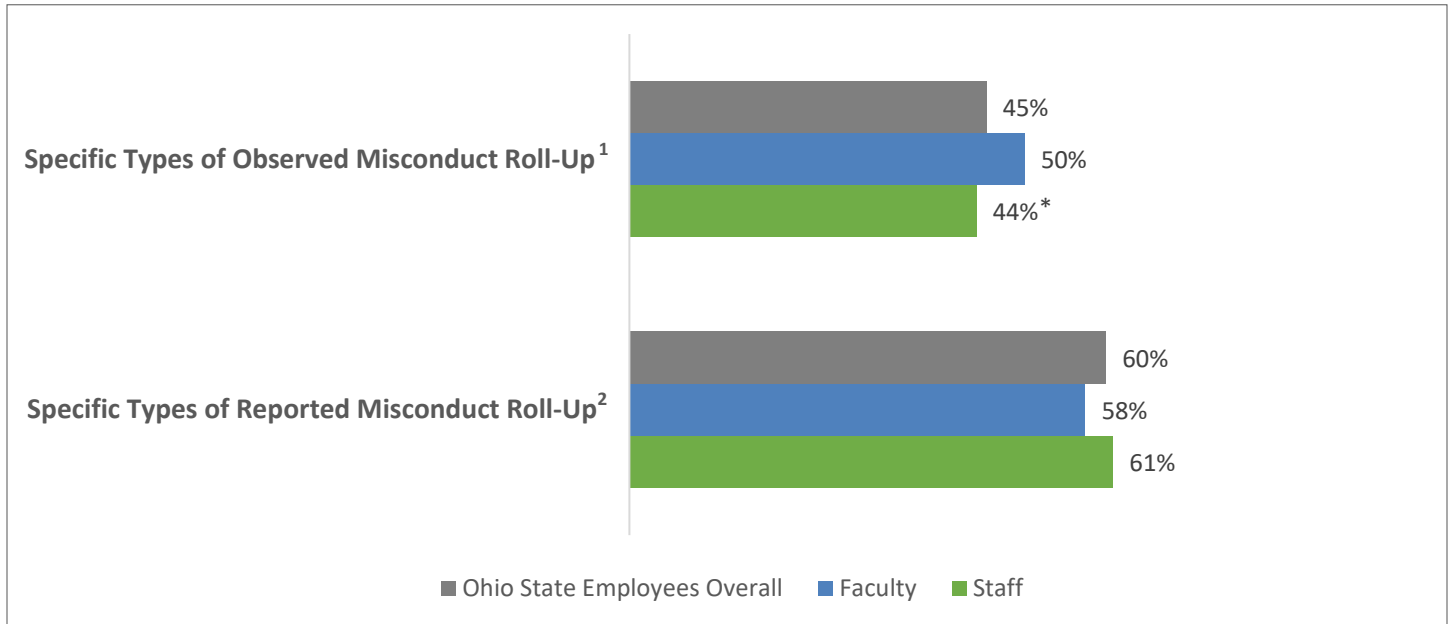
- Overall, 45% of employees indicated they observed at least one type of misconduct (out of the 11 specific types of misconduct covered in the survey) over the past 12 months, slightly higher among faculty than staff (50% vs. 44%, respectively). Consistent with ECI’s existing research, the rate at which employees observe at least one specific type of misconduct was more than double the general observed misconduct percentage (55% vs. 22%).

High reporting rates are generally indicative of a strong ethics culture. Although it is ideal for violations of rules and policies to not occur in the first place, an organization cannot address these concerns unless they are reported.

²⁴ The roll-up includes the following questions to assess observed misconduct: 1) Abusive or intimidating behavior that creates a hostile environment (e.g., bullying); 2) Cheating, plagiarism, or other violations of academic integrity; 3) Acts of bias or discrimination; 4) Financial misconduct (e.g., falsifying expense reports, embezzlement); 5) Hazing (e.g., humiliating or dangerous activity required to join a group); 6) Research misconduct; 7) Sexual harassment, sexual misconduct, or relationship violence; 8) Stealing or theft; 9) Substance abuse by a faculty member or staff; 10) Substance abuse by a student; and 11) Other violations of University policies, the Code of Student Conduct, or the law.

- Of employees who indicated they personally observed at least one specific type of misconduct among members of the Ohio State community during the past 12 months, 60% indicated they reported at least one of the specific types of misconduct²⁵ they observed, compared with 55% for general reported misconduct.

Figure 17. Roll-Ups of Specific Types of Observed and Reported Misconduct



Note: ¹ Percentages reflect employees who indicated “Yes,” they personally observed at least one type of misconduct assessed on the survey among members of the Ohio State community within the past 12 months.

² Percentages reflect employees who indicated they reported at least one type of misconduct they observed among members of the Ohio State community within the past 12 months (based on their indication of whom they first reported to).

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

- Overall, the most common type of misconduct observed by employees was abusive or intimidating behavior (e.g., bullying) (33%), followed by acts of bias or discrimination (27%). Most specific types of misconduct were observed by about the same percentage of faculty and staff. However, faculty were more likely than staff to indicate they observed acts of bias or discrimination (30% vs. 26%) and substance abuse by a student (5% vs. 2%) within the past 12 months.

²⁵ Percentages reflect employees who indicated they reported at least one type of misconduct they observed among members of the Ohio State community within the past 12 months (based on their indication of whom they first reported to). Please refer to the data tables for results on each type of misconduct.

Table 7. Specific Types of Misconduct Observed Within the Past 12 Months

	Ohio State Employees Overall	Faculty	Staff
Abusive or intimidating behavior that creates a hostile environment (e.g., bullying)	33%	31%	34%
Acts of bias or discrimination	27%	30%	26%*
Cheating, plagiarism, or other violations of academic integrity	7%	18%	4%*
Sexual harassment, sexual misconduct, or relationship violence	6%	8%	6%
Financial misconduct (e.g., falsifying expense reports, embezzlement)	3%	3%	3%
Research misconduct	3%	5%	3%*†
Hazing	3%	5%	3%
Substance abuse by a faculty member or staff	3%	4%	3%
Stealing or Theft	3%	3%	2%*†
Substance abuse by a student	3%	5%	2%*
Other	10%	11%	10%

Note: Percentages reflect employees who indicated “Yes,” they personally observed the behavior among members of the Ohio State community within the past 12 months.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

†Difference between faculty and staff is not practically significant.

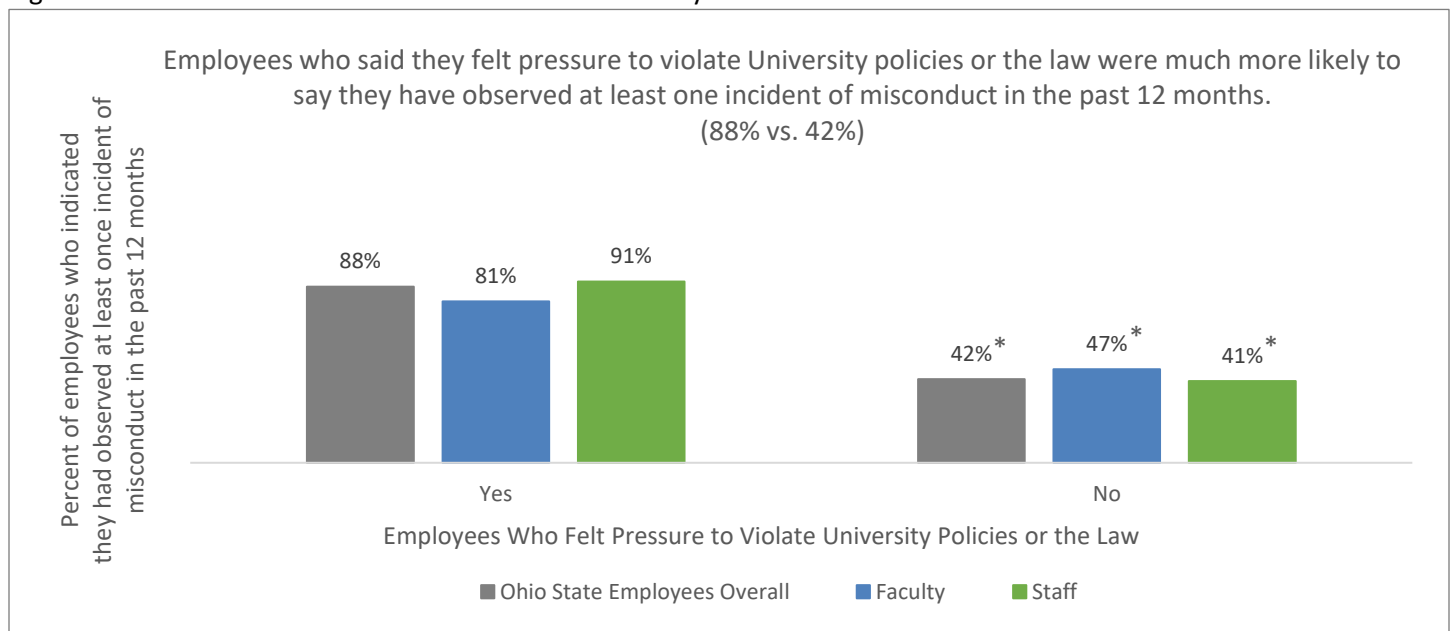
Source: The Ohio State University Values and Ethics Survey (2019).

The Link Between Observations of Misconduct and Pressure

ECI conducted additional analyses to determine the relationship between pressure and observed misconduct. In general, the higher the pressure to violate organizational rules/policies, the higher the prevalence of observed misconduct.

- Overall, Ohio State employees who felt pressure to violate Universities policies or the law were much more likely to observe at least once incident of misconduct within the past 12 months (88% vs. 42%).
- Of faculty who indicated they have experienced pressured to violate University policies or the law, 81% indicated they observed at least one type of misconduct over the past 12 months compared with 47% of those who indicated they have not experienced pressure. A similar relationship is also seen with staff – of those who indicated they have experienced pressure, 91% indicated they observed at least one type of misconduct over the past 12 months compared with 41% of those who indicated they have not experienced pressure. This finding reveals the importance of continuing to keep pressure low among employees in the Ohio State community in order to limit the number of adverse situations that could lead to misconduct.

Figure 18. The Link Between Pressure to Violate University Policies or the Law and Observed Misconduct



Note: Percentages include employees who indicated “Yes,” they personally observed at least one type of misconduct (out of 11 types) assessed on the survey among members of the Ohio State community within the past 12 months.

An asterisk (*) indicates a statistically significant difference between faculty and staff at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

- When asked to whom they first reported observed misconduct, the results reveal that employees who observed misconduct among members of the Ohio State community view their dean or department chair/school director (faculty) or supervisor (staff) as primary resources for reporting misconduct, with 57% of faculty first reporting to their dean or department chair/school director and 64% reporting of staff first reporting to their supervisor. Overall, far fewer (12%) employees who observed misconduct first reported at least one of the behaviors they observed to Human Resources within their unit; although only 3% of employees first reported to the Office of Student Conduct, faculty were more likely to first report to this location than staff (9% vs. 2%).

Table 8. Top Reporting Locations

Top Reporting Locations	Ohio State Employees Overall	Faculty	Staff
My Dean or my Department Chair/School Director/The person I report to	63%	57%	64%*
Human Resources within my unit	12%	11%	13%
Office of Human Resources	5%	6%	5%
Anonymous Reporting Line	4%	3%	4%
Office of Student Conduct	3%	9%	2%*
Employee relations	3%	2%	3%
Union representative	2%	1%	2%
Office of University Compliance and Integrity	2%	3%	1%
University or campus police	2%	2%	2%
Legal Affairs	1%	1%	1%
Title IX Office	1%	2%	1%
Bias Assessment Response Team (BART)	1%	1%	1%
Local police	1%	0%	1%

Office of Institutional Equity	0%	1%	0%
External authority other than local police	0%	1%	0%*†
Other	25%	33%	22%*

Note: Percentages reflect where employees who indicated they personally observed misconduct among members of the Ohio State community within the past 12 months first reported the most serious incident.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

†Difference between faculty and staff is not practically significant.

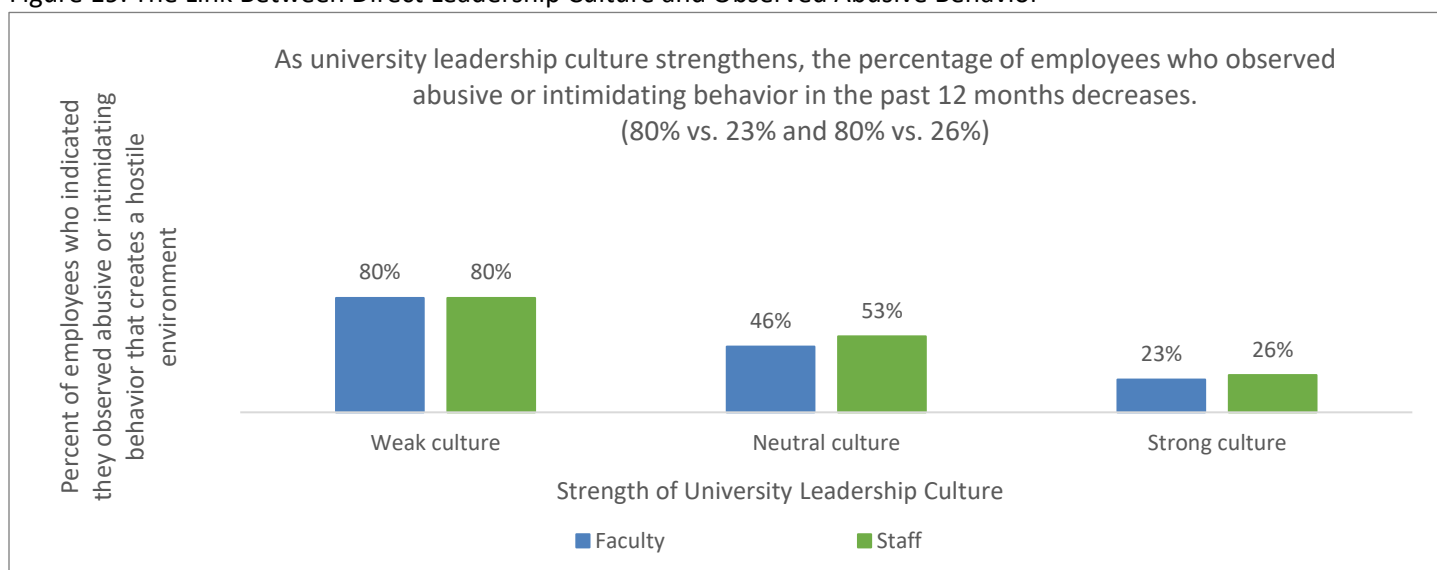
Percentages may not sum to 100% due to multiple response options.

Source: The Ohio State University Values and Ethics Survey (2019).

The Link Between Direct Leadership Culture and Select Types of Misconduct

As was discussed above, abusive behavior and discrimination were the most common types of misconduct for faculty and staff. In both cases, employees working under department chairs/school directors (faculty) or supervisors (staff) with weak commitment to ethical leadership were much more likely to observe misconduct in the workplace.

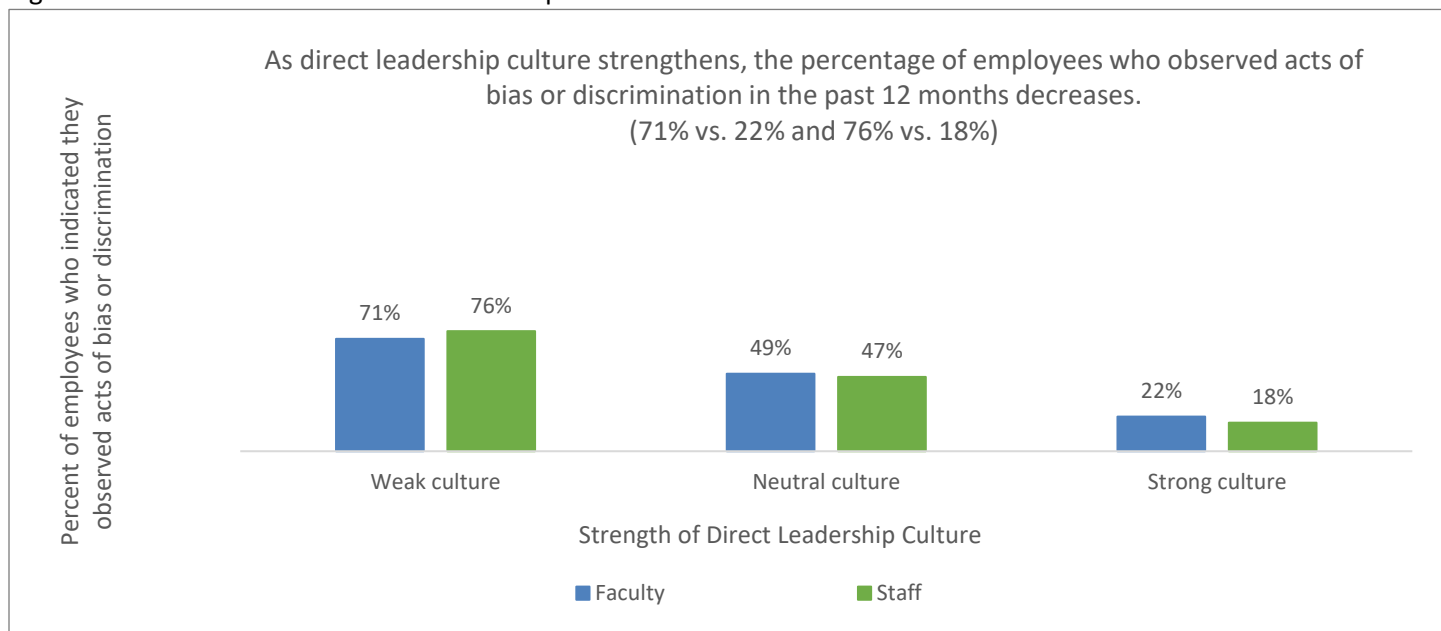
Figure 19. The Link Between Direct Leadership Culture and Observed Abusive Behavior



Note: Percentages include employees who indicated “Yes,” they personally observed abusive or intimidating behavior that creates a hostile environment (e.g., bullying) among members of the Ohio State community within the past 12 months.

Source: The Ohio State University Values and Ethics Survey (2019).

Figure 20. The Link Between Direct Leadership Culture and Observed Acts of Discrimination



Note: Percentages include employees who indicated “Yes,” they personally observed acts of bias or discrimination among members of the Ohio State community within the past 12 months.

Source: The Ohio State University Values and Ethics Survey (2019).

Reasons for Not Reporting Misconduct

Failure to report misconduct can negatively affect an organization in several ways. First, leaders will not know where misconduct is occurring and will, therefore, be unable to address it. Second, employees who commit misconduct may continue to do so, further harming the organization. Third, employees may begin to view misconduct as acceptable or even rewarded within the workplace. Furthermore, encouraging employees to share concerns is an integral part of the Shared Values Initiative. In order to facilitate reporting, leaders at all levels of the University need to ensure that employees feel supported throughout the reporting process.

- Overall, among employees who indicated they observed misconduct among members of the Ohio State community but did not report it, the top three reasons for not reporting included 1) not believing corrective action would be taken (73%), 2) not believing a report could be made anonymously (51%) and 3) a perception that the misconduct was not significant enough to report (44%). These findings mirror results from ECI’s existing research, as employees at other organizations typically select the same three beliefs as their primary reasons for not reporting.
 - When compared with faculty, the staff at Ohio State were more likely to say they did not report because they did not believe corrective action would be taken (75% vs. 67%) and because they were afraid of losing their job (32% vs. 23%).

Table 9. Reasons for Not Reporting

	Ohio State Employees Overall	Faculty	Staff
I did not believe corrective action would be taken	73%	67%	75%*
I did not believe I could report anonymously	51%	50%	52%
I did not think it was significant enough to report	44%	43%	44%
I chose not to report based on my past experience(s) with reporting misconduct	33%	32%	34%

I was afraid of losing my job	30%	23%	32%*
I would have had to report it to the person involved	26%	21%	28%
The issue had already been addressed by someone else	24%	20%	25%
I did not know whom to contact	23%	28%	22%
I did not believe it was my responsibility	19%	20%	19%
It was to my advantage to not report the misconduct	19%	20%	19%
I thought someone else would report it	17%	14%	18%
I did not think it was misconduct	14%	14%	14%
I resolved the issue myself	13%	15%	12%
I feared retaliation from someone outside the University	6%	5%	7%
I feared retaliation from the person I report to.	—	—	44%
I feared retaliation from someone higher in the University than the person I report to	—	—	40%
I feared retaliation from someone inside the University	—	55%	—
Other	14%	16%	14%

Note: Percentages reflect employees who indicated they did not report at least some of the misconduct they observed in the past 12 months for the specified reason.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

A dash (—) indicates that the respective group was not asked the item.

Source: The Ohio State University Values and Ethics Survey (2019).

The Experience of Those Who Reported Misconduct

Retaliation

Retaliation for reporting misconduct can have a negative impact on the reporting culture in an organization. Experiencing retaliation can discourage reporters and those they tell about their experience from future reporting. Additionally, employees who consistently see retaliation in their workplace may come to view it as an acceptable behavior that is not disciplined at their organization.

- Overall, among employees who observed misconduct among members of the Ohio State community and reported it, about one-fifth (19%) indicated they experienced retaliation as a result of reporting, with faculty (17%) and staff (19%) experiencing retaliation at similar rates.
- The most prevalent form of retaliation that employees who observed and reported misconduct indicated experiencing was being intentionally ignored (77%); about two-thirds indicated their reputation was harmed (70%) or they were excluded from work-related decisions (70%). Just over one-half (52%) indicated they were given an unfavorable work assignment.
 - Generally, faculty and staff who observed and reported misconduct were equally as likely to say they experienced most types of retaliation. However, staff were much more likely than faculty to say that they were demoted (27% vs. 6%) and that their contract was not renewed (26% vs. 2%).

Table 10. Experienced retaliation for reporting

Ohio State Employees Overall	19%
Faculty	17%
Staff	19*

Percentages reflect employees who indicated “Yes,” they experienced retaliation for reporting

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019)

Table 11. Types of Retaliation

	Ohio State Employees Overall	Faculty	Staff
Other people intentionally ignored me (gave me the cold shoulder)	77%	74%	78%
My reputation was harmed	70%	85%	66%
I was excluded from work-related decisions	70%	84%	66%
I was given an unfavorable assignment	52%	39%	55%
I received a poor performance evaluation	44%	32%	46%
I was not given promotions or raises	39%	50%	36%
I almost lost my job	21%	26%	20%
I was relocated or reassigned	16%	15%	17%
I was demoted	10%	27%	6%*
My contract was not renewed	8%	26%	2%*
I experienced harassment online or via social media	6%	4%	7%
I was harassed at home	4%	1%	5%
I was verbally abused	—	56%	—
I was verbally abused by the person I report to	—	—	36%
I was verbally abused by someone higher in the University than the person I report to	—	—	28%
I experienced physical harm to my person or property	—	—	7%
Other	42%	49%	40%

Note: Percentages reflect employees who indicated they experienced retaliation for reporting misconduct and specified the form(s) of retaliation they experienced.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

A dash (—) indicates that the respective group was not asked the item.

Source: The Ohio State University Values and Ethics Survey (2019).

Satisfaction with the Reporting Process

Satisfaction with the reporting process can lead to future reporting by the affected employee and by those to whom they recount their experience. Conversely, low rates of satisfaction may discourage future reporting and therefore hinder efforts to identify and address misconduct.

- Overall, among employees who observed misconduct among members of the Ohio State community and reported it, less than one-third (30%) indicated they were satisfied with the University's response to their report, with staff being less likely to indicate they were satisfied than faculty (27% vs. 39%).
- The leading causes of dissatisfaction among employees who observed and reported misconduct with the reporting process were that they did not think the process was conducted fairly or with integrity (73%), corrective action was not severe or complete enough (70%), the University chose not to pursue the matter (65%) and not knowing if any action was taken (62%). Further investigation would be useful to uncover details regarding employees' dissatisfaction with the University's responses and to discover solutions to improve the overall reporting process.
 - Staff were much more likely than faculty to say that they did not know if any action was taken following their report of misconduct (66% vs 44%).

Table 12. Satisfaction with University's response to your report

Ohio State Employees Overall	30%
Faculty	39%
Staff	27%*

Note: Percentages reflect employees who indicated they were "Satisfied" or "Very satisfied" with the University's response to their report of misconduct.
the Ohio State community during the past 12 months.
An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Table 13. Reasons for Dissatisfaction with the Reporting Process

	Ohio State Employees Overall	Faculty	Staff
I do not think the process was conducted fairly or with integrity	73%	69%	74%
Corrective action wasn't severe or complete enough	70%	69%	70%
The University chose not to pursue the matter	65%	61%	66%
I do not know if any action was taken	62%	41%	66%*
My identity wasn't kept confidential.	36%	31%	38%
The University told me what they did, but I didn't believe them	17%	9%	19%
Other	36%	36%	35%

Note: Percentages reflect employees who indicated reasons they were dissatisfied with Ohio State's response to their report of misconduct.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019).

Conclusion – Ohio State Employees

Based on the findings discussed in this report a high-level summary of conclusions follow:

- There was general agreement among both faculty and staff that Safety and Learning are currently the most important values at Ohio State. However, the data show that both groups believe that several other values should be considered most important in the future. Faculty and staff agreed that three values—Accountability, Excellence, and Integrity—should be most important. The results indicate that the two groups diverged on which other values should be most important, suggesting the need for further discussion around the University's core values.
- Ohio State employees expressed strong levels of connection to the University. Almost all employees (98%) reported that they were at least moderately connected to Ohio State. Faculty and staff were both most likely to say they felt connected to the University when they were engaging in tasks specifically related to their job. Additionally, the strength of employees' connection was associated with the extent to which they saw senior leadership use and promote the use of shared values.

The data show that leaders at all levels of the University have room for improvement with regard to demonstrating a commitment to using values in their decision making. Only slightly over one-half of both faculty and staff expressed confidence that senior leaders used shared values to guide their decision making. While employees were not particularly confident about the use of shared values in decision making by their direct leaders, they exhibited greater confidence in the ethical leadership of their direct leaders. Over three-fourths of both faculty and staff agreed that their department chair/school director (faculty) or their supervisor (staff) demonstrated a commitment to ethical leadership.

- Strong ethical leadership was associated with a wide range of other dimensions explored in the survey. Specifically, the behavior of university leaders was linked to perceptions of retaliation and whether or not misconduct was tolerated within the workplace. When employees perceived a stronger university leadership culture, they were also more likely to have said that Ohio State does not retaliate against those who report wrongdoing or violations of University policies (9% vs. 67%) and were less likely to have said that Ohio State still rewards employees who violate University policies (73% vs. 30%). Additionally, the behavior of direct leaders was tied to the rates at which employees observed abusive behavior and discrimination. Employees who had favorable views of their direct leadership were much less likely to say they had observed abusive behavior and discrimination in the past 12 months.
- Relatively few employees (5%) at Ohio State reported experiencing pressure to violate the University's policies or the law. Relatedly, those who have experienced pressure were much more likely to have observed misconduct in the workplace. The higher rates of observed misconduct are likely a result of working in environments where pressure is higher and therefore employees are more likely to bend the rules to meet business objectives. Near one-fifth (19%) of employees who indicated they observed and reported misconduct said they experienced retaliation. Furthermore, a majority of employees who observed and reported misconduct (70%) did not express satisfaction with the process. Lastly, near three-fourths of employees who observed and reported misconduct (73%) did not believe that the process was conducted fairly or with integrity. Similarly, 70% of those who reported did not believe corrective action was severe enough.

Survey Findings – Ohio State Students

This report is based on survey responses from undergraduate students and graduate students across the Ohio State community.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

	Response rate
Ohio State Students Overall	2.1%
Undergraduate students	1.8%
Graduate students	3.2%

The data were analyzed by the following groups:

- **Ohio State Students Overall**
 - Undergraduate students
 - Graduate students

The findings in this report are presented in the following sections:

1. **Shared Values at Ohio State**
 - Current and Future Core Values at Ohio State
 - The Role of Values at Ohio State
2. **Connection to Ohio State**
3. **Awareness of Ethics and Compliance Resources**
4. **Organizational Culture**
 - Ethics-Related Actions of Leaders
 - Perception of Tolerance for Misconduct in the Workplace
 - Sharing Concerns
5. **Key Ethics Outcomes**
 - Pressure to Compromise Standards
 - Observed and Reported Misconduct
 - The Experience of Those Who Report Misconduct

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

1. Shared Values at Ohio State

Current and Future Core Values at Ohio State

In order to assess the importance of values among Ohio State students, undergraduate and graduate students were asked about 1) the importance of various values within the Ohio State community currently and 2) which values they think should be the most important. Identifying a set of values shared by both undergraduate and graduate students is pertinent in determining how to drive changes in the culture of the Ohio State community.

Table 1. Values Currently “Very Important” to the Ohio State Community Compared With Values That Should be Most Important

		Values currently “very important” in the Ohio State community <i>How important would you say each of the following values is now to the Ohio State community?</i> ¹			Values that should be most important to the Ohio State community <i>Please select five values that you believe should be most important to the Ohio State community.</i> ²			
Value	Rank	Ohio State Students Overall	Under-graduate Students	Graduate Students	Rank	Ohio State Students Overall	Under-graduate Students	Graduate Students
Learning	1	69%	71%	65%	2	40%	42%	37%
Safety	2	60%	61%	57%	4	32%	36%	22%*
Excellence	3	58%	60%	54%	9	28%	27%	32%
Innovation	4	58%	59%	57%	11	25%	23%	29%
Integrity	5	56%	57%	53%	6	31%	28%	36%*
Diversity	6	54%	56%	50%	3	37%	36%	40%
Respect	7	54%	56%	49%	10	27%	30%	21%*
Determination	8	54%	58%	44%*	15	17%	19%	14%
Accountability	9	51%	52%	49%	7	30%	29%	33%
Inclusiveness	10	51%	51%	50%	8	30%	29%	33%
Wellness	11	51%	52%	49%	12	23%	24%	21%
Honesty	12	50%	51%	48%	13	23%	23%	21%
Access & Affordability	13	48%	50%	45%	1	49%	50%	46%
Trust	14	48%	49%	46%	19	11%	11%	11%
Service	15	47%	48%	43%	17	12%	12%	13%
Sincerity	16	47%	48%	45%	18	11%	12%	11%
Collaboration	17	46%	45%	49%	16	14%	11%	20%*
Ownership	18	46%	47%	44%	20	7%	8%	6%
Empathy	19	41%	43%	38%	5	32%	33%	27%
Transparency	20	40%	40%	39%	14	21%	19%	25%*

Note: ¹ Percentages reflect students who indicated the value is “Very important” to the Ohio State community.

² Percentages reflect students who indicated the respective value should be one of the top five values shared by all members of the Ohio State community to help guide decisions and behaviors.

An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Current Values

Overall, Ohio State students were most likely to indicate Learning and Safety (69% and 60%, respectively) were “Very important” in the Ohio State community; Empathy and Transparency (41% and 40%, respectively) were rated by the fewest percentage of students as “Very important.”

- Undergraduate students were more likely than graduate students to indicate that Determination was “Very important” to the Ohio State community (58% vs. 44%).

Values That Should Be Most Important

Overall, Access & Affordability, Learning, Diversity, Safety and Empathy were selected as the top five values that students indicated should be most important to the Ohio State community (32%-49%).

- Undergraduate students were more likely to select the following values in their “top 5” compared with graduate students:
 - Safety (36% vs. 22%)
 - Respect (30% vs. 21%)
- Graduate students were more likely to select the following values in their “top 5” compared with undergraduate students:
 - Integrity (36% vs. 28%)
 - Transparency (25% vs. 19%)

The Role of Values at Ohio State

In addition to asking about the importance of specific values, the survey explored the role of shared values at Ohio State. Developing and promoting shared organizational values serves to guide students in making the right decisions and is another element of the Shared Values Initiative.

Shared Values of Senior Leadership and Direct Leaders

The survey results show that nearly three-fifths (55%) of students believed that Ohio State senior leadership has a clear set of shared values to help guide decisions and actions, with graduate students being less likely than undergraduate students to perceive the same (49% vs. 57%, respectively).

Strength of Leadership Values

To assess overall student perceptions about the strength of senior leadership values, ECI created an aggregated roll-up of the three questions on this topic, producing an average of student responses.²⁶ This roll-up provides insight about the strength of senior leadership values and its degree of integration on campus based on student responses. When students perceive that senior leadership has strong values it reveals that that leaders at Ohio State are exhibiting behaviors that demonstrate that integrity and ethics are valued “at the top.”

- Overall, results indicated that about two-fifths (41%) of students feel senior leadership have strong values.

Table 2. Ohio State senior leadership has a clear set of shared values to help guide our decisions and actions

Ohio State Students Overall	55%
Undergraduate Students	57%
Graduate Students	49%*

Note: Percentages reflect students who indicated they “Agree” or “Strongly agree.”

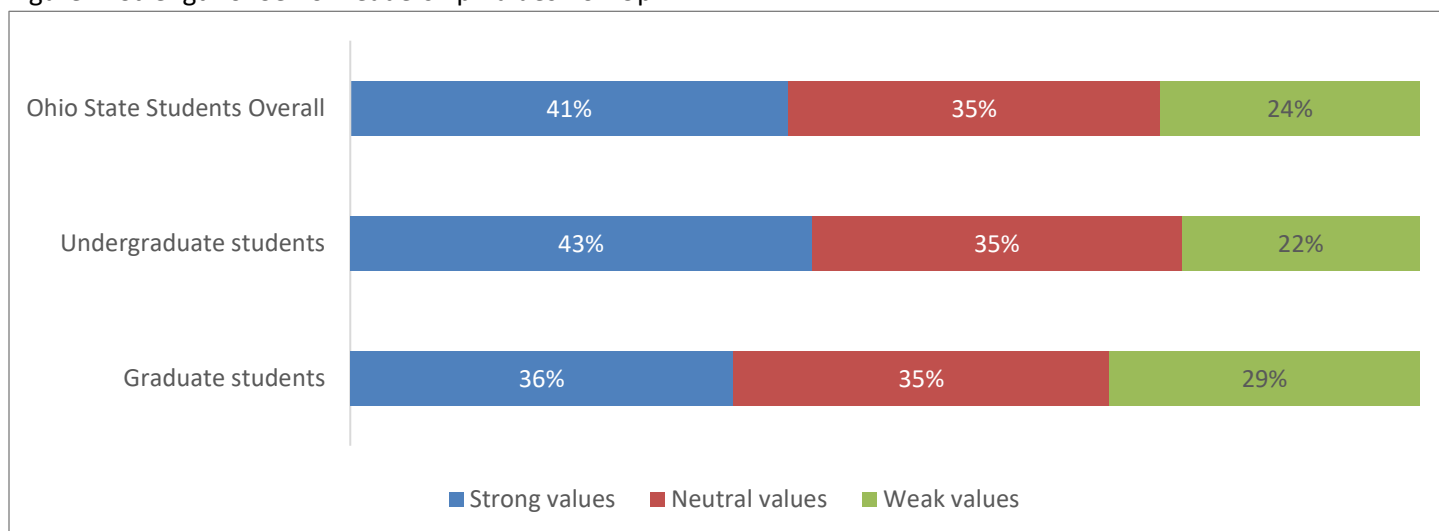
An asterisk () indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019)

²⁶ The roll-up includes the following questions on leadership values: Senior leadership 1) Has a clear set of shared values to guide decisions and actions; 2) Asks what is “right” when making decisions”; and 3) Regularly explains how Ohio State policies help us uphold our values.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 1. Strength of Senior Leadership Values Roll-Up



Note: "Strong values" includes students whose average score across the three survey questions was between 3.50 and 5.0, "Neutral values" includes students whose average score was between 2.50 and 3.49 and "Weak values" includes students whose average score was between 0 and 2.49. The differences between undergraduate students and graduate students were not statistically significant at $p < .01$. Throughout the report, item results may not sum to 100% due to rounding.
Source: The Ohio State University Values and Ethics Survey (2019).

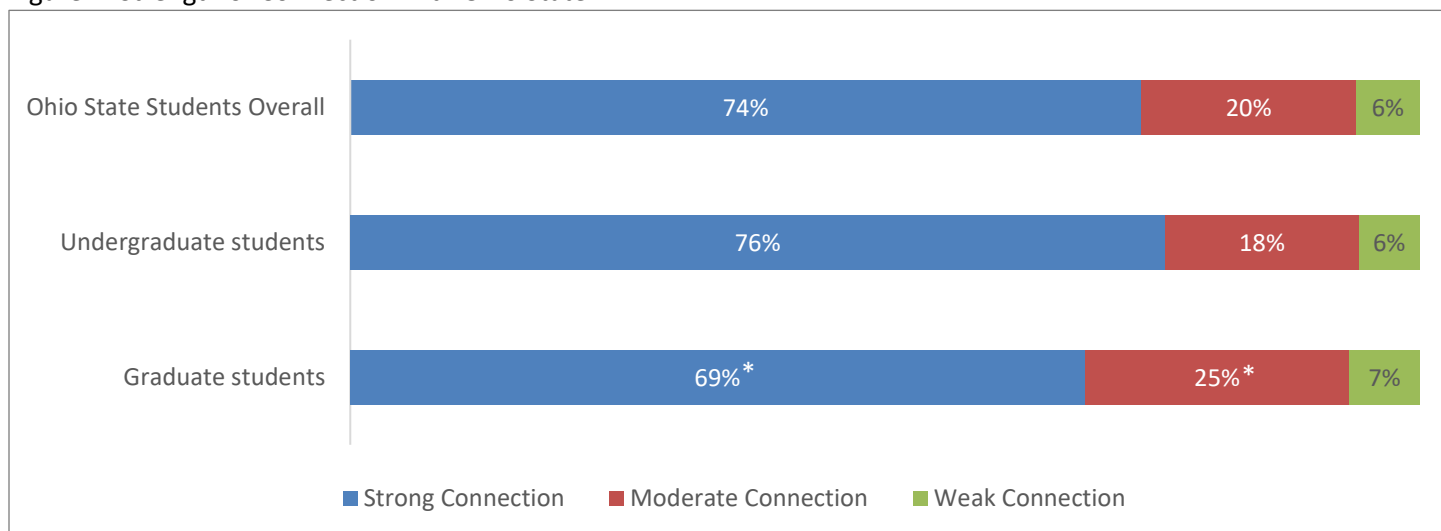
2. [Connection to Ohio State](#)

A student's commitment to upholding and acting in accordance with the University's shared values is likely to be linked to the strength of their connection to the University. Members of the Ohio State community who feel connected to the culture and invested in its success will be more likely to engage with their peers in building a culture of integrity. To assess the overall perception of whether or not students feel connected to the Ohio State community, ECI created an aggregated roll-up which averages student responses to the five questions on this topic.

- Overall, near three-quarters (74%) of students perceived a strong connection with the University, with the prevalence of a strong connecting being higher among undergraduate students than among graduate students (76% vs. 69%). Overall, only 6% of students expressed a weak connection with the University.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 2. Strength of Connection with Ohio State



Note: “Strong Connection” includes students whose average score across the five survey questions was between 3.50 and 5.0, “Neutral Connection” includes students whose average score was between 2.50 and 3.49 and “Weak Connection” includes students whose average score was between 0 and 2.49.

An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

- When students were asked what type of activity they were engaging in when they felt most connected to the Ohio State community, both undergraduate students and graduate students were most likely to indicate they were engaging in “intellectual activity” (21% and 39%, respectively).

Table 3. Think about the times when you feel most connected to the Ohio State community. Which of the following best describes the type of activity you are engaging in during those times?

Type of Activity	Undergraduate Students	Graduate Students
Engaging in intellectual activity ¹	21%	39%
Socializing with fellow graduate students	–	19%
Engaging in student organizations or activities	17%	6%
Attending or following Ohio State athletic events	16%	10%
Socializing with fellow undergraduate students	15%	–
Taking part in campus traditions	7%	3%
Talking about Ohio State to individuals external to the Ohio State community	5%	7%
Engaging in service activities	3%	3%
Attending Ohio State cultural events	2%	2%
Engaging in Greek life	2%	–
Other	2%	1%
I don't feel connected to the Ohio State community	9%	10%

Note: Percentages reflect students who indicated they were engaging in the respective activity when they felt most connected to the Ohio State community.

¹ e.g., classroom time, research

A dash (–) indicates the respective group was not asked the question.

Source: Ethics & Compliance Initiative (2020)

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

3. Awareness of Ethics and Compliance Resources

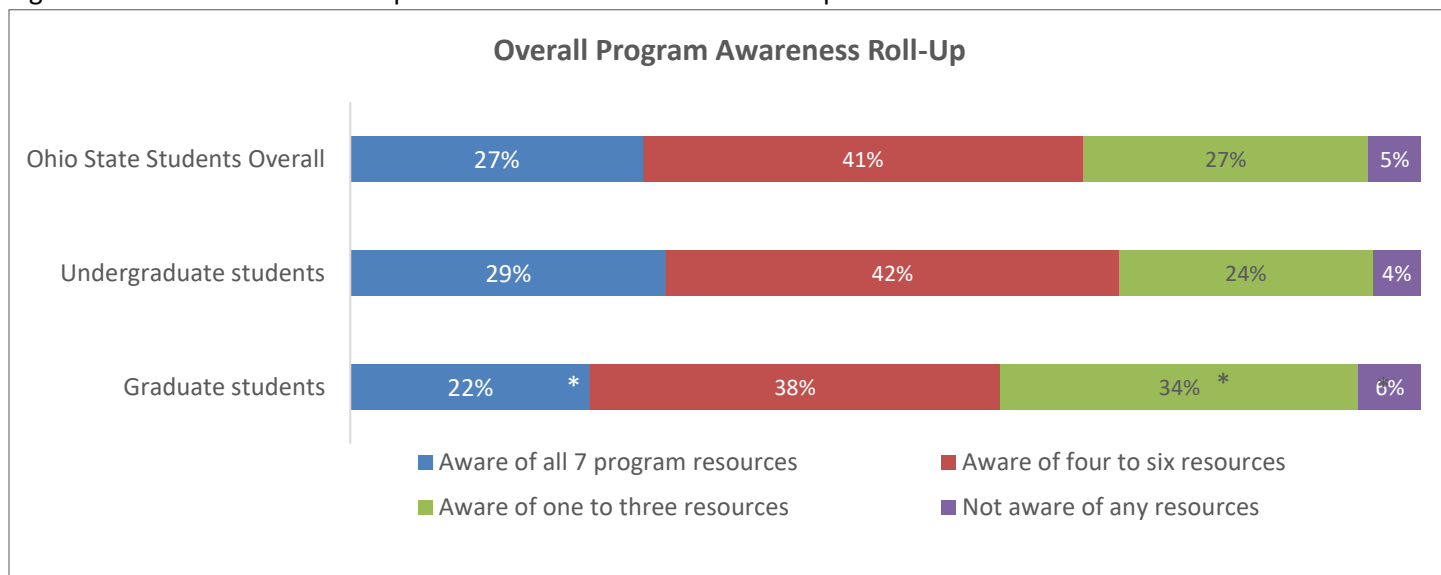
Widespread awareness of formal ethics and compliance resources is a prerequisite for any organization that is working towards developing a strong ethics culture. Low levels of awareness may signal a lack of investment in the organization's ethics and compliance program, leaving students with limited resources for support. In order to measure awareness at Ohio State, the survey included seven questions asking participants whether they were aware of the following resources for students at Ohio State:

- Orientation or training on policies regarding ethical conduct and compliance responsibilities
- A formal process to discipline those who violate University policies
- A set of stated policies to help guide or regulate ethical conduct and compliance responsibilities
- Conferences, lectures, and seminars that explore ethical issues and conduct
- A way to confidentially or anonymously report wrongdoing (e.g., a hotline)
- A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues
- Other designated students you can turn to for help or advice (e.g., RAs, student organization leaders) [Undergraduate students only]
- Evaluation of ethical conduct and compliance responsibilities as part of regular performance assessments [Graduate students only]

ECI created an aggregated roll-up that averages the student responses for the seven questions.²⁷ The roll-up provides an overall picture of resources awareness at the University by providing the percentage of students who are aware of 1) all ethics and compliance resources, 2) four to six resources, 3) one to three resources or 4) none of the resources.

- Overall, about one-quarter (27%) of students indicated they are aware of all ethics and compliance resources.

Figure 3. Overall Ethics and Compliance Resources Awareness Roll-Up



An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

²⁷ The seventh resource assessed differs for undergraduate students and graduate students. Undergraduate students were asked about their awareness of other designated students they can turn to for help or advice (e.g., RAs, student organization leaders); graduate students were asked about their awareness of evaluation of ethical conduct and compliance responsibilities as part of regular performance assessments.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

- The data show that ethics and compliance resources awareness varied depending on the type of resource. Most students were aware of orientation or training on ethical conduct (72%), whereas fewer were aware of a resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues (54%). This is consistent with ECI's existing research on resource awareness levels.

Table 4. Awareness of Ethics and Compliance Resources²⁸

	Ohio State Students Overall	Undergraduate Students	Graduate Students
1) Training	72%	72%	74%
2) Discipline	71%	71%	72%
3) Ethics and Compliance Policies	68%	68%	69%
4) Ethics Presentations	61%	62%	59%
5) Hotline	59%	61%	55%
6) Advice	54%	56%	51%
7) Other Designated Students	—	81%	—
8) Evaluation of Ethical Conduct	—	—	43%

Note: Percentages reflect students who indicated "Yes," they are aware of the respective resource.

The differences between undergraduate students and graduate students were not statistically significant at $p < .01$.

A dash (—) indicates the respective group was not asked the question.

Source: The Ohio State University Values and Ethics Survey (2019).

Student Familiarity with Ohio State's Rules and Policies

In addition to exploring overall ethics and compliance resources awareness at Ohio State, the survey also asked students about their familiarity with Ohio State's rules and policies.

- Overall, about two-thirds (69%) of students said they knew which policies and rules apply to students. Additionally, about three-quarters (72%) of students said they know how to report if laws are broken (72%). Fewer students expressed confidence in their ability to report if Ohio State's policies or rules are broken (58%).

²⁸ 1) Training: Orientation or training on policies regarding ethical conduct and compliance responsibilities.

2) Discipline: A formal process to discipline those who violate University policies.

3) Ethics and Compliance Policies: A set of stated policies to help guide or regulate ethical conduct and compliance responsibilities.

4) Ethics Presentations: Conferences, lectures, and seminars that explore ethical issues and conduct.

5) Hotline: A way to confidentially or anonymously report wrongdoing (e.g., a hotline).

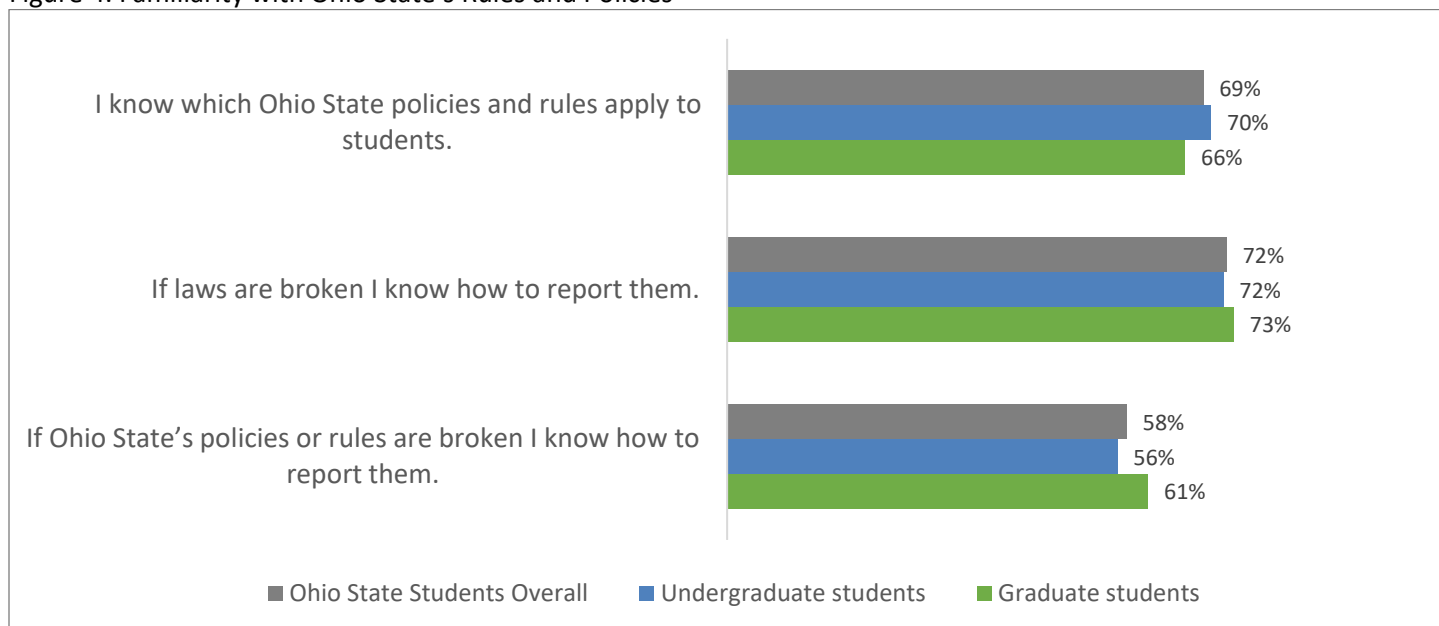
6) Advice: A resource (e.g., a specific office, telephone line, e-mail address or website) to obtain advice about ethics and compliance issues.

7) Other Designated Students: Other designated students you can turn to for help or advice (e.g., RAs, student organization leaders).

8) Evaluation of Ethical Conduct: Evaluation of ethical conduct and compliance responsibilities as part of regular performance assessments.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 4. Familiarity with Ohio State’s Rules and Policies



Note: Percentages reflect students who indicated they “Agree” or “Strongly agree.”

The differences between undergraduate students and graduate students were not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

4. Organizational Culture

Ethics-Related Actions of Leaders

A primary goal of Ohio State’s Shared Values Initiative is to develop leaders who behave ethically, uphold shared values and are trusted by the University community. As such, the survey asked students a series of questions about the Ethics-Related Actions (ERAs) of leaders throughout the University. The ERAs shed light on the leadership culture within the University. Students were asked about university leadership and about their more direct leaders – namely professors/instructors (for undergraduate students) and the advisors (for graduate students).

To obtain a comprehensive understanding of the leadership culture at Ohio State, ECI created an aggregated roll-up for University Leadership Culture²⁹ which averages students’ responses to six culture survey questions.

Ethics-Related Actions of University Leadership and Direct Leaders

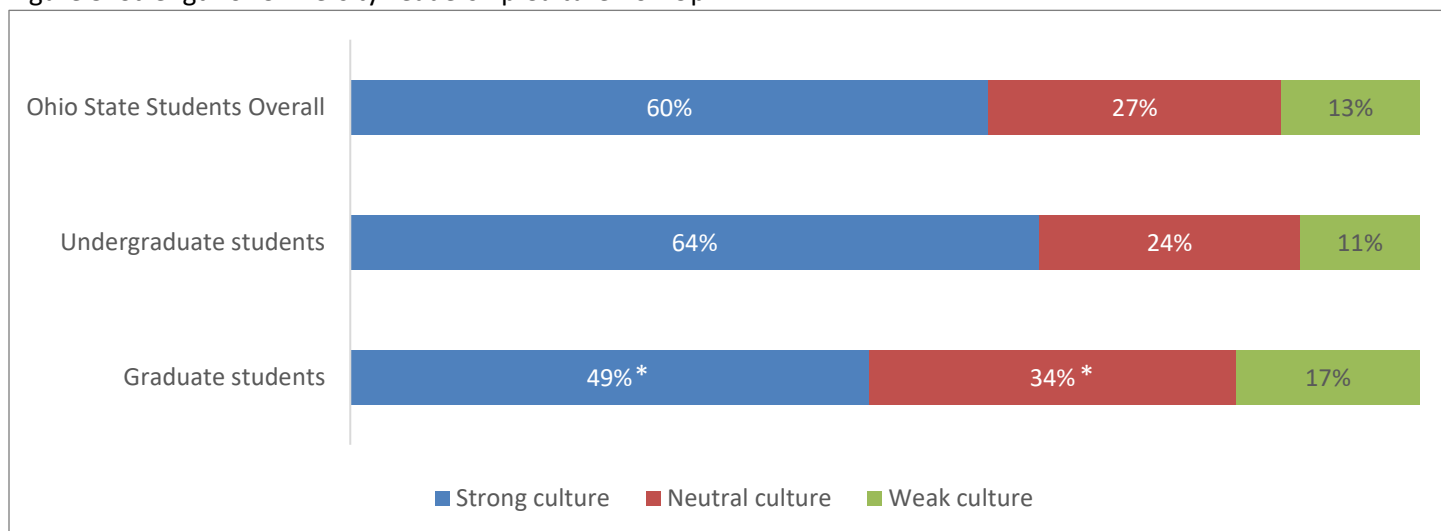
- Communicating about the a) importance of ethics and b) academic integrity
- Acting with integrity and responsibility
- Being held accountable if caught violating University policies
- Modeling ethical behavior
- Supporting others in following University policies

- Three-fifths (60%) of students perceived the university leadership culture as “strong,” with undergraduate students being more likely to have perceived a strong culture than graduate students (64% vs. 49%).

²⁹ The roll-up includes the following questions on leadership culture: The President, Provost, VPs and other University leaders 1) Communicate ethics; 2) Can be trusted to act with integrity and responsibility; 3) Would be held accountable if caught violating University policies; 4) Act as good role models of ethical behavior; 5) Support students in following University policies; and 6) Communicate the importance of academic integrity.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 5. Strength of University Leadership Culture Roll-Up



Note: "Strong culture" includes students whose average score across the five survey questions was between 3.50 and 5.0, "Neutral culture" includes students whose average score was between 2.50 and 3.49 and "Weak culture" includes students whose average score was between 0 and 2.49.

An asterisk () indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.*

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

- Across the six questions measured in the university leadership roll-up, both undergraduate students (83%) and graduate students (74%) were most likely to have said that they believe university leadership communicate the importance of academic integrity.³⁰ In contrast, 54% of undergraduate students agreed that university leadership would be held accountable if caught violating University policies, whereas 46% of graduate students trust that university leadership will act with integrity and responsibility.

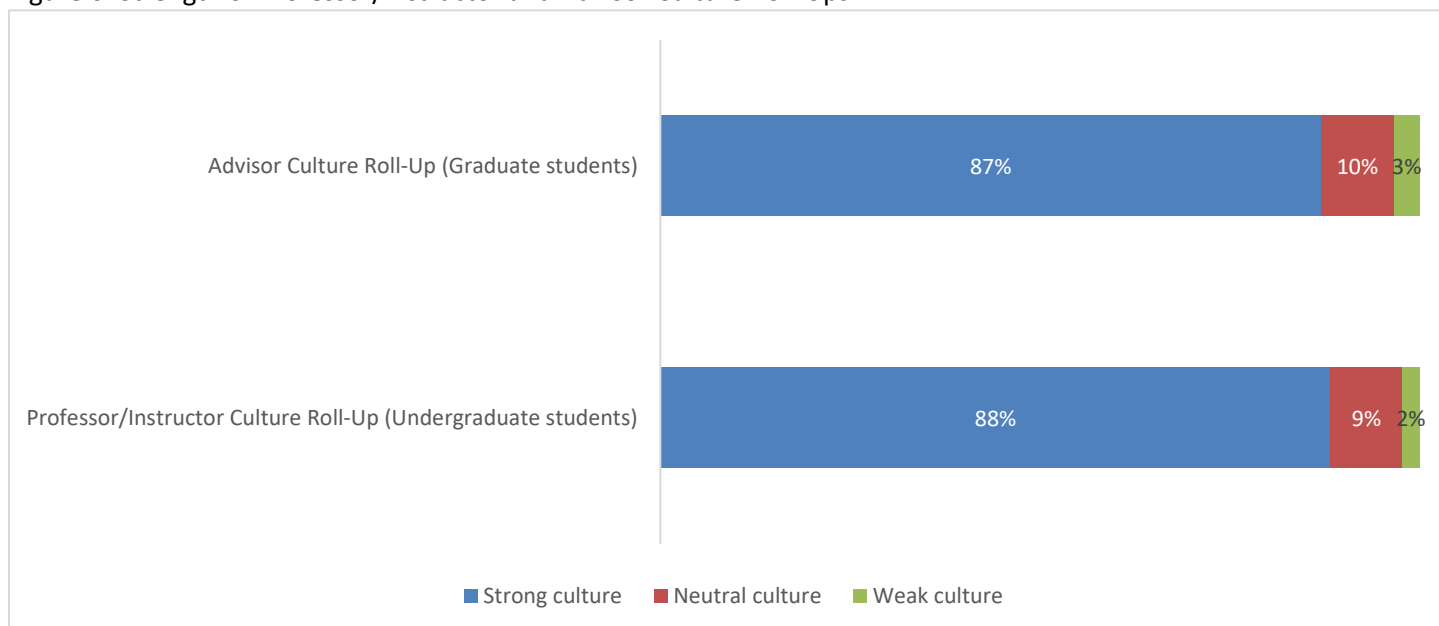
To assess direct leadership culture, students were asked several questions about the culture in regards to their professors/instructors (for undergraduate students) and their advisor (for graduate students). ECI created two aggregated roll-ups, one for undergraduate students and one for graduate students. The roll-ups average student responses to six culture survey questions to enable comparisons between the two groups.

- Based on the findings, the vast majority of undergraduate students (88%) and graduate students (87%) perceived their direct leadership culture as "strong."

³⁰ Refer to the data tables for undergraduate and graduate students for detailed results on the six survey questions that make up the Strength of University Leadership Culture Roll-Up.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 6. Strength of Professor/Instructor and Advisor Culture Roll-Ups



Note: Strong culture” includes students whose average score across the six survey questions was between 3.50 and 5.0, “Neutral culture” includes students whose average score was between 2.50 and 3.49 and “Weak culture” includes students whose average score was between 0.0 and 2.49.

The differences between undergraduate students and graduate students were not statistically significant at $p < .01$.

Throughout the report, item results may not sum to 100% due to rounding.

Source: The Ohio State University Values and Ethics Survey (2019).

Sharing Concerns

Creating an environment where students feel secure in sharing concerns is also a key component of a strong University culture. In order to measure this dimension, the survey asked a question to assess if students believed that retaliation against reporters took place at Ohio State.

- Overall, about three-fifths (59%) of students expressed confidence that Ohio State does not retaliate against students who report wrongdoing or violations of University policies.

Table 5. I believe that Ohio State does not retaliate against students who report wrongdoing or violations of University policies.

Ohio State Students Overall	59%
Undergraduate Students	60%
Graduate Students	54%

Note: Percentages reflect students who indicated they “Agree” or “Strongly agree.”

The differences between undergraduate students and graduate students were not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019)

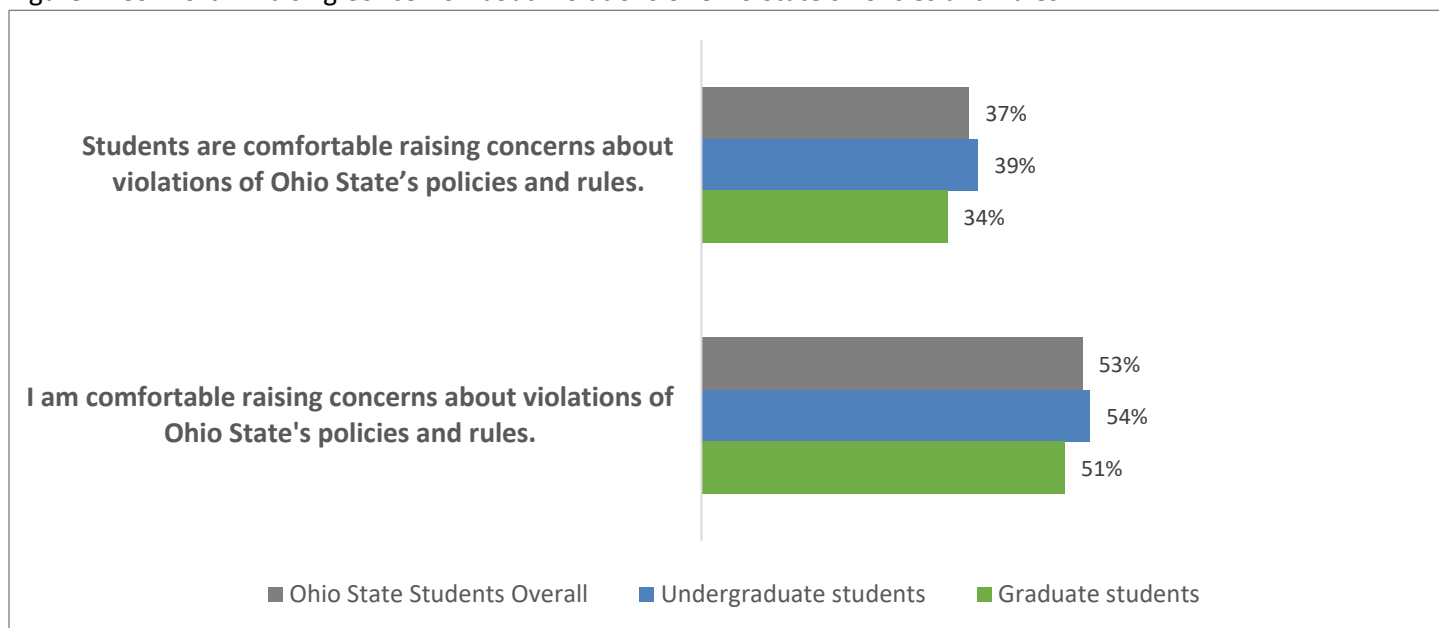
Comfort Raising Concerns

To further assess whether students feel secure in sharing concerns, the survey asked students if people at Ohio State feel comfortable raising concerns about violations of Ohio State’s policies and rules, and whether they personally feel comfortable with the same.

- Overall, just under two-fifths (37%) of students indicated that students feel comfortable raising concerns about violations of Ohio State’s policies and rules.
- A higher percentage of students indicated they personally feel comfortable raising concerns about violations of Ohio State’s policies and rules (53% overall).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Figure 7. Comfort in Raising Concerns About Violations of Ohio State’s Policies and Rules



Note: Percentages reflect students who indicated they “Agree” or “Strongly agree.”

The differences between undergraduate students and graduate students were not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

5. Key Ethics Outcomes

Effective ethics and compliance programs and strong ethics cultures improve ethics outcomes. In order to establish a baseline and measure progress over time, this survey asked about four key outcomes at Ohio State:

- **Pressure** to violate University policies or the law;
- Observation of **misconduct**; and
- **Reporting** of observed misconduct;³¹ and
- **Retaliation** for reporting misconduct.³²

The four ethics outcomes listed above are tied to the focus areas of the Shared Values Initiative. Continuing to build a culture that is predicated on shared values, sharing concerns, disciplined decision making and ethical leadership should lead to improved ethics outcomes across the University.

Pressure to Compromise Standards

Slightly over one-tenth (11%) of all students said they felt pressure to violate University policies or the law. Undergraduate students were more likely than graduate students to say they have experienced pressure (13% vs. 7%).

Table 6. Felt pressure to violate University policies or the law

Ohio State Students Overall	11%
Undergraduate Students	13%
Graduate Students	7%*

Note: Percentages reflect employees who indicated “Yes,” they have felt pressured to violate University policies or the law. An asterisk () indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$. Source: The Ohio State University Values and Ethics Survey (2019)*

³¹ Due to low response rates, reasons for dissatisfaction with the reporting process are not reportable for students due to insufficient data (i.d.).

³² Due to low response rates, types of retaliation are not reportable for students due to insufficient data (i.d.).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Stress may also be a precursor to violations of policies and rules. Students were asked about various sources of stress to identify whether there are areas that should be addressed.

- About three-fifths of students indicated getting good grades (61%) and balancing work and personal responsibilities (60%) were “very much” a source of stress over the past 12 months; about one-half of students felt that advancing their own career (55%) and taking care of themselves and their health (53%) were also sources of pressure.
- Undergraduate students were more likely than graduate students to indicate the following as stressors over the past 12 months:
 - Getting good grades (72% vs. 37%)
 - Balancing work and personal responsibilities (62% vs. 54%)
 - Advancing my own career (61% vs. 42%)
 - Not disappointing family or others invested in my education (49% vs. 27%)
 - Paying for my education (43% vs. 33%)
 - Making and keeping friends (40% vs. 20%)
 - Being accepted by my peers (30% vs. 17%)
 - Fitting in with the Ohio State community (22% vs. 8%)

Table 7. Sources of Stress Over the Past 12 Months

	Ohio State Students Overall	Undergraduate Students	Graduate Students
Getting good grades	61%	72%	37%*
Balancing work and personal responsibilities	60%	62%	54%*
Advancing my own career	55%	61%	42%*
Taking care of myself and my health	53%	54%	51%
Not disappointing family or others invested in my education	43%	49%	27%*
Paying for my education	40%	43%	33%*
Making and keeping friends	34%	40%	20%*
Being accepted by my peers	26%	30%	17%*
Responsibilities of membership/leadership in student organization(s)	22%	24%	17%
Fitting in with the Ohio State community	18%	22%	8%*
Graduating on time	—	35%	—
Completing my dissertation, thesis, or capstone project	—	—	49%
Balancing my education with my job/work	—	—	47%
Meeting the expectations of faculty	—	—	41%
Getting my research published	—	—	39%
Being an effective TA/instructor	—	—	37%
Advancing my own financial interests	—	—	33%
Handling student demands	—	—	31%
Earning respect in my discipline	—	—	31%
Securing funding for my research activities	—	—	22%
Keeping my graduate assistantship	—	—	18%
Being accepted in my department/unit	—	—	18%
Advancing Ohio State's goals	—	—	4%

Note: Percentages reflect students who indicated the source has been “Very much” a source of stress over the past 12 months.

An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

A dash (—) indicates that the respective group was not asked the item.

Source: The Ohio State University Values and Ethics Survey (2019).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

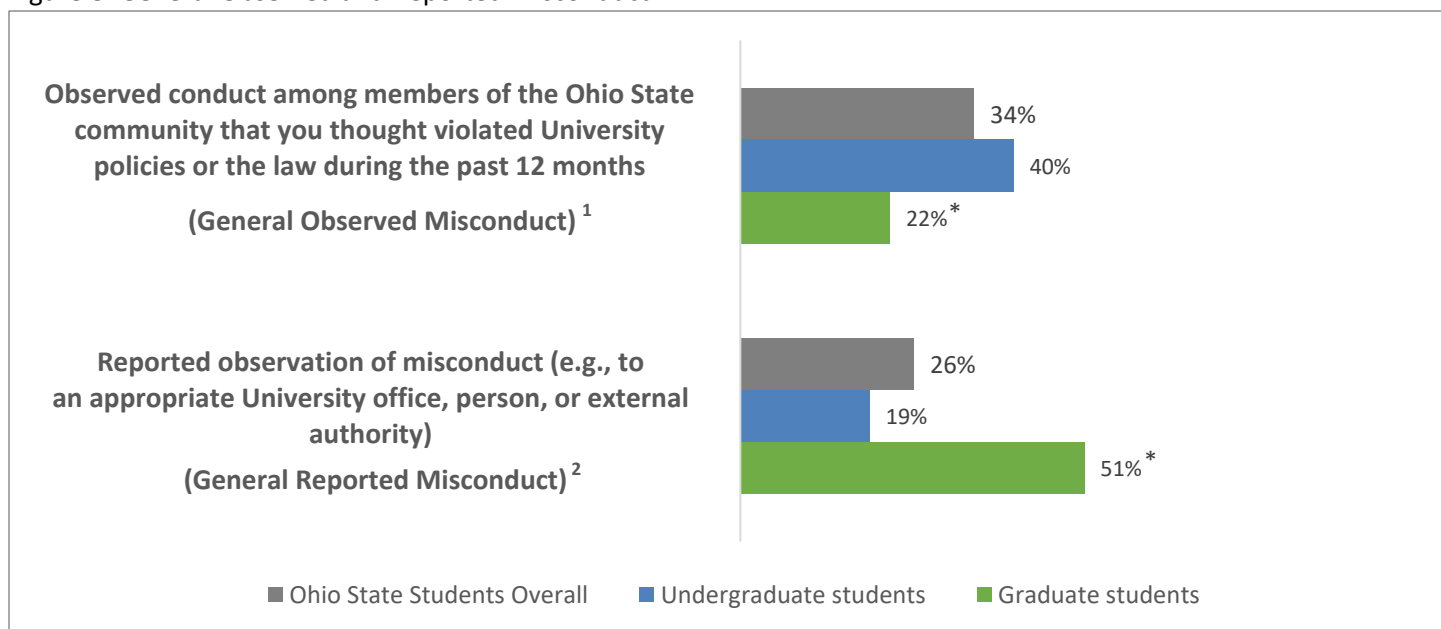
Observed and Reported Misconduct

Observed misconduct is the most fundamental indicator of the past and present state of integrity in the workplace. ECI asked students about their observations of misconduct in two ways. First, students are asked, in general terms, if they observed any misconduct in the past 12 months and, if so, whether they reported it. Then students are asked if they observed specific types of behaviors that fall under the umbrella of misconduct in the past 12 months. These questions are asked in order to provide two perspectives on how students view misconduct. Typically, fewer students say they have observed misconduct when asked about misconduct, in general, while the rate of observation increases when they are asked about specific types of misconduct. Both perspectives are valuable, though the rate at which students say they observed specific types of misconduct and the roll-up of these behaviors is more likely to be a better reflection of what is occurring within the University. Specifically, the roll-up assesses observed misconduct based on the percentage of students who indicated they observed at least one of the specific types of misconduct assessed on the survey, whereas the general misconduct results are based on the percentage of students who indicated they observed misconduct in general.

Misconduct - General

- Just over one-third of students (34%), when asked in general terms, said they observed misconduct among members of the Ohio State community during the past 12 months, with undergraduate students being more likely than graduate students to have indicated that they observed misconduct (40% vs. 22%).
- Overall, about one-fourth (26%) of students reported the misconduct that they personally observed among members of the Ohio State community during the past 12 months. Undergraduate students were much less likely than graduate students to say they reported their observation of misconduct (19% vs. 51%, respectively).

Figure 8. General Observed and Reported Misconduct



Note: ¹ Percentages reflect students who indicated “Yes,” they personally observed conduct among members of the Ohio State community that they thought violated University policies or the law during the past 12 months.

² Percentages reflect students who indicated “Yes,” they reported their observation of misconduct among members of the Ohio State community during the past 12 months.

An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Misconduct – Specific

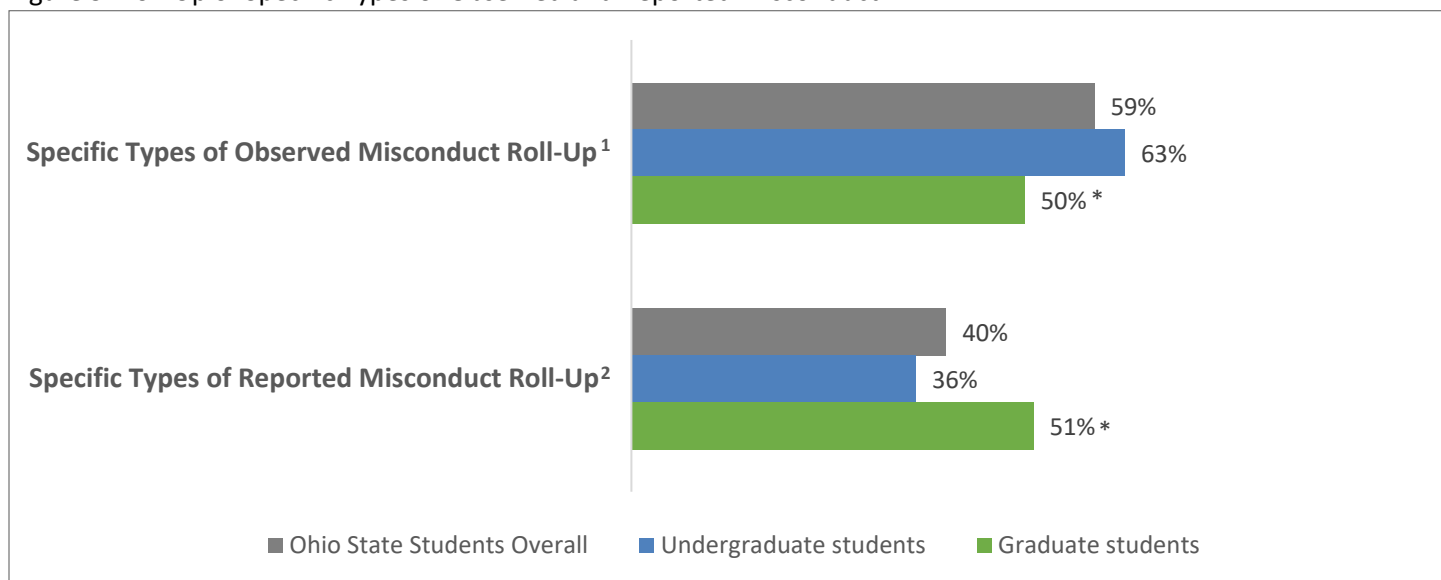
In addition to the general observed misconduct question, students were asked about their observations of 11 specific types of misconduct.³³ ECI aggregated the responses of students who indicated observing specific types of misconduct to create a roll-up (Specific Observed Misconduct). In other words, the roll-up assesses observed misconduct based on the percentage of students who indicated they observed at least one of the specific types of misconduct assessed on the survey.

- Overall, 59% of students indicated they observed at least one type of misconduct (out of the 11 specific types of misconduct covered in the survey) over the past 12 months (compared with 34% for the general question on observation of misconduct).
 - The prevalence rate was slightly higher for undergraduate students than graduate students (63% vs. 50%).

High reporting rates are generally indicative of a strong ethics culture. Although it is ideal for violations of rules and policies to not occur in the first place, an organization cannot address these concerns unless they are reported.

- Of students who indicated they personally observed at least one specific type of misconduct among members of the Ohio State community during the past 12 months, 40% indicated they reported at least one of the specific types of misconduct³⁴ they observed, compared with 26% for general reported misconduct.

Figure 9. Roll-Up of Specific Types of Observed and Reported Misconduct



Note: ¹ Percentages reflect students who indicated “Yes,” they personally observed at least one type of misconduct assessed on the survey among members of the Ohio State community within the past 12 months.

² Percentages reflect students who indicated they reported at least one type of misconduct they observed among members of the Ohio State community within the past 12 months (based on their indication of whom they first reported to).

An asterisk (*) indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019).

³³ The roll-up includes the following questions to assess observed misconduct: 1) Abusive or intimidating behavior that creates a hostile environment (e.g., bullying); 2) Cheating, plagiarism, or other violations of academic integrity; 3) Acts of bias or discrimination; 4) Financial misconduct (e.g., falsifying expense reports, embezzlement); 5) Hazing (e.g., humiliating or dangerous activity required to join a group); 6) Research misconduct; 7) Sexual harassment, sexual misconduct, or relationship violence; 8) Stealing or theft; 9) Substance abuse by a faculty member or staff; 10) Substance abuse by a student; and 11) Other violations of University policies, the Code of Student Conduct, or the law.

³⁴ Percentages are based on respondents who indicated they reported at least one type of misconduct they observed among members of the Ohio State community within the past 12 months (based on their indication of whom they first reported to). Please refer to the data tables for results on each type of misconduct.

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

- Overall, the most common type of misconduct observed by students was substance abuse by a student (34%), followed by acts of bias or discrimination (28%) and cheating, plagiarism or other violations of academic integrity (27%).
 - Undergraduate students were much more likely than graduate students to have observed the following specific types of misconduct:
 - Substance abuse by a student (44% vs. 11%);
 - Cheating, plagiarism or other violations of academic integrity (32% vs. 17%);
 - Sexual harassment, sexual misconduct or relationship violence (18% vs. 9%)
 - Stealing or theft (15% vs. 3%)
 - Hazing (8% vs. 2%)
 - Graduate students were twice as likely as undergraduate students to have observed research misconduct (6% vs. 3%).

Table 8. Specific Types of Misconduct Observed Within the Past 12 Months

	Ohio State Students Overall	Undergraduate Students	Graduate Students
Substance abuse by a student	34%	44%	11%*
Acts of bias or discrimination	28%	28%	30%
Cheating, plagiarism, or other violations of academic integrity	27%	32%	17%*
Abusive or intimidating behavior that creates a hostile environment (e.g., bullying)	19%	17%	23%
Sexual harassment, sexual misconduct, or relationship violence	15%	18%	9%*
Stealing or theft	11%	15%	3%*
Hazing (e.g., humiliating or dangerous activity required to join a group)	6%	8%	2%*
Research misconduct	4%	3%	6%*
Financial misconduct (e.g., falsifying expense reports, embezzlement)	2%	2%	1%
Substance abuse by a faculty member or staff	2%	2%	2%
Other violations of University policies, the Code of Student Conduct, or the law	15%	17%	11%

Note: Percentages reflect students who indicated they personally observed the behavior among members of the Ohio State community within the past 12 months.

An asterisk () indicates a statistically significant difference between undergraduate students and graduate students at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019).

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

The Experience of Those Who Report Misconduct

Retaliation

Retaliation for reporting misconduct can have an impact on the reporting culture in an organization. Experiencing retaliation can discourage reporters and those they tell about their experience from future reporting. Additionally, students who consistently see retaliation at the University may come to view it as an acceptable behavior that is not subject to discipline.

- Overall, among students who observed misconduct among members of the Ohio State community and reported it, 16% indicated they experienced retaliation as a result of reporting.

Table 9. Experienced retaliation for reporting

Ohio State Students Overall	16%
Undergraduate students	12%
Graduate students	23%

Note: Percentages reflect students who indicated “Yes,” they experienced retaliation for reporting

The difference between undergraduate students and graduate students was not statistically significant at $p < .01$.

Source: The Ohio State University Values and Ethics Survey (2019)

Satisfaction with the Reporting Process

Satisfaction with the reporting process can lead to future reporting by the affected student and by those to whom they recount their experience. Conversely, low rates of satisfaction may discourage future reporting and therefore hinder efforts to identify and address misconduct.

- Overall, among students who observed misconduct among members of the Ohio State community and reported it, two-fifths (40%) indicated they were satisfied with the University’s response to their report.

Table 10. Satisfaction with University's response to your report

Ohio State Students Overall	40%
Undergraduate students	46%
Graduate students	29%*

Note: Percentages reflect students who indicated they were “Satisfied” or “Very satisfied” with the University’s response to their report of misconduct.

the Ohio State community during the past 12 months.

An asterisk () indicates a statistically significant difference between faculty and staff at $p < .01$.*

Source: The Ohio State University Values and Ethics Survey (2019)

Note: Low response rates among students means that ECI cannot generalize the survey results to those of the broader student population.

Conclusion – Ohio State Students

- There was general agreement among undergraduate students and graduate students that Learning and Safety are currently the most important values at Ohio State. In contrast, the data show that both groups believe that Access & Affordability should be considered the most important value. The results indicate that the two groups diverged on which other values should be most important, suggesting the need for further discussion around the University's core values.
- Ohio State students expressed strong levels of connection to Ohio State. Almost all students (94%) were at least moderately connected to Ohio State. Undergraduate and graduate students were both most likely to say they felt connected to the University when they were engaging in intellectual activity.
- The data show that leaders at all levels of the University have room for improvement with regard to demonstrating a commitment to using values in their decision making. Only slightly over two-fifths of students expressed confidence that senior leaders used shared values to guide their decision making, indicating room for improvement. While students were not particularly confident about the use of shared values in decision making by their direct leaders, they exhibited greater confidence in the ethical leadership of their direct leaders. Over three-fourths of both undergraduate students and graduate students agreed that their professors/instructors (undergraduate students) or advisor(s) (graduate students) demonstrated a commitment to ethical leadership.
- Slightly over one in ten students (11%) at Ohio State reported experiencing pressure to violate the University's policies or the law, and near three-fifths (59%) had observed at least one incident of misconduct in the last 12 months. Undergraduate students were most likely to have observed substance abuse by a student, while graduate students observed acts of bias or discrimination at the highest rates. Of those who reported misconduct, 16% said they experienced retaliation.

Suggested Next Steps

A note on suggested next steps for students:

The limited student participation means that the student results cannot be generalized to the wider population. As such, it is important that the following recommendations for students be understood within that context. Generally, ECI recommends that Ohio State implement a shorter survey for students and consider the use of incentives in order to encourage participation. Greater student involvement in the next survey effort would provide Ohio State with the information it needs to better understand the student experience and to develop programs and resources that can support undergraduate and graduate students.

1. Develop University-Wide Ohio State “Shared Values”

Across all values, faculty and staff identified safety, learning and diversity as currently being the most important. Students also identified safety and learning as most important, but they selected excellence as the third most important. In addition to asking about the importance of values currently, faculty and staff were asked to identify the five values they thought should be the most important to the Ohio State community. Three values were identified in common: Accountability, Excellence and Integrity. The top five values students thought should be the most important to the Ohio State community varied somewhat from faculty and staff. Students’ first choice was Access & Affordability, followed by Learning and Diversity.

For both groups, there was a disconnect between the values that are currently most important and those that should be most important. Further inquiry into the adoption of these values is needed in order to better understand the connection between current and future values. Additional inquiry will allow for a more nuanced understanding of employees’ and students’ beliefs as well as to help build consensus in the community around a new set of values, whatever they eventually become. Efforts to elicit community-member feedback and input should be undertaken broadly, forthrightly and transparently. In order to elicit feedback, it is suggested that Ohio State conduct focus groups, town halls and/or additional surveys to gather additional input from all members of the Ohio State community.

2. Create a robust strategy to elevate awareness, integration, and embodiment of the shared values ultimately leading to an expectation in which community members use values-based decision-making to guide their workplace and academic conduct.

Once new shared values are adopted, create a strategy to maximize the initial impact and to provide for their integration over time, perhaps devoting one academic year to the effort in a well-publicized campaign. One means to achieve this would be to consistently and regularly communicate the values so that they remain at the forefront of daily decisions and actions, especially within the academic experience.

The data show that only about one-half (51%) of employees believe that senior leadership has strong values. More broadly, senior leadership will bear the greatest responsibility in seeing to the successful integration and embodiment of the adopted values. Their greatest roles will be to advocate for and model behaviors that create a self-perpetuating values-driven organization that utilizes values-based decision-making to inform everyday behaviors in the University environment.

Ask senior leadership to publicly advocate for adoption and integration of the shared values and to demonstrate their commitment to this effort. It is understood that senior leadership may not be able to interact with all employees who fall within their reporting structure. Taking advantage of opportunities where senior leadership is publicly visible may maximize the ability to show their commitment to this effort. Senior leaderships’ efforts also may serve as proxy

indicators of the efforts Ohio State is undertaking to make adoption and integration of a shared set of values a success. Additionally, senior leaderships' efforts will indicate the importance Ohio State is placing on this effort.

Provide senior leadership the responsibility of creating linkages between the shared values and values-based decision-making and workplace behavior. It will follow that employees will conduct themselves according to Ohio State's values if provided these linkages and the latitude to arrive at ethically-based conclusions to guide their behavior.

Cascade responsibilities for this strategy and the specific actions associated with it through the University level by level until reaching direct leaders at the first level for employees and those that interact most directly with students. Allow for the specificity appropriate to the range of responsibilities germane to each management/relationship level.

Provide *all* employees and students with the skills to make values-based decisions and to link their actions to the shared values. Link the numerous, specific behaviors and conditions asked about in the survey to help facilitate the adoption and integration of the values-based decision-making process into the workplace and academic experience.

3. Integrate ethics and compliance activities across the University through a program awareness campaign, further incorporate an “ethical outlook” in performance evaluations and develop an employee code of conduct.

It is recommended that Ohio State continue to educate employees and students (and the community) about the different ethics and compliance resources available to them. Of the seven resources asked about in the survey, 79% of employees were aware of at least four of the seven resources. Students' awareness of at least four of the seven resources (68%) was less than employees' awareness.

There is an opportunity for senior leadership to promote awareness and integration of ethics and compliance resources and the University's shared values. Although senior leadership cannot engage with every individual employee and student, they can ensure that the resources and structures employees and students use are robust and that they effectively serve the individuals using them. Ask senior leadership to promote these structures to demonstrate the support the University (senior leadership) has for them.

To help achieve and express greater integrity across the University, it is suggested that senior leaders reinforce that employees' ethical conduct and compliance responsibilities are evaluated as part of regular performance assessments. Development of performance management tools and processes that emphasize alignment with values in how one performs their job can help advance ethical behavior. An example of values-based decision-making would entail promoting and/or giving raises to employees who have conducted themselves with integrity and, in a corollary action, not promoting and/or giving raises to employees who have achieved success but done so using questionable practices.

Lastly, it is suggested that the University create a dynamic employee code of conduct that serves to guide employees in values-based decision-making and links to University resources such as the shared values, university policies, reporting locations, the Office of University Compliance and Integrity and other resources. Ensure that student employees are also made aware of the code of conduct as it pertains to their specific needs and situations.

4. Strengthen stakeholder perceptions about the ethics-related actions (ERAs) of senior leadership.

Findings from the survey show that there are opportunities for university leadership (the President, Provost, VPs and other University leaders) to be recognized for their ethical leadership. For example, 42% of employees and 44% of students do not see university leadership acting as role models of ethical behavior. This is a condition that university leadership can work to abate. Research has shown that the “tone from the top” and modeling ethical behavior (setting a good example) have an impact on stakeholders' perceptions of culture, and on conduct throughout an organization. ECI suggests that the University implement a system to hold the broader collection of leaders – senior leadership –

accountable for demonstrating ERA's. The most effective means of doing this is to introduce performance metrics on ethical leadership as a part of the formal evaluation of individuals who are in senior-level positions.

ECI research has found that individuals typically hold the most favorable perceptions about the person directly above them in the hierarchy and favorable perceptions decrease with respect to each advancing higher level. Faculty were most likely to hold favorable perceptions about the ERAs of their Department Chairs/School Directors; staff their supervisors; and students their professors/instructors and/or their supervisors (if they were employed by the University). Therefore it is critical for senior leadership to communicate more broadly, beyond those that report directly to them, the importance they place on ethical conduct.

5. Equip direct leaders to encourage speaking up, to receive reports of wrongdoing and be equipped to listen to those who bring concerns to them or question their decisions.

Survey findings reveal that 39% of employees believe employees can question the decisions or conduct of those who manage them, and 38% believe that people are comfortable raising concerns about violations of Ohio State's policies and rules. There is an opportunity to provide training to direct leaders to not only encourage their direct reports to speak up but to help increase their comfort and ability to listen to the concerns of their direct reports.

Employees were most likely to make their first report of misconduct to their direct leaders. Ensure direct leaders are familiar with the process of responding to reports of potential misconduct. Based on the levels of abusive behavior and discrimination observed by employees, it is crucial to provide direct leaders with increased guidance on how to respond to interpersonal types of conflicts. With regard to students, their direct leaders need increased education about effective means to respond to reports of substance abuse and guidance on how to respond to reports of cheating/plagiarism.

ECI research suggests that responding to reports of misconduct also can be difficult for direct leaders because they do not recognize reports when they are brought forward, and they are not sure what to say or do. The University should consider developing a simple guide for direct leaders and other individuals in leadership positions to help them both recognize and respond to reports of misconduct.

6. Broadly communicate the general process and procedures related to reporting misconduct and increase follow-ups with reporters.

A majority of faculty and staff (67% and 75%, respectively) who did not report misconduct believed that corrective action would not have been taken if they had chosen to report. Forty-seven percent of employees and 39% of students were dissatisfied or very dissatisfied after reporting. The primary reasons for dissatisfaction after reporting among employees and students were beliefs that the University chose not to respond, did not provide evidence it responded, did not conduct the (investigation) process fairly and did not take sufficient action. ECI recommends that when individuals bring issues forward, that Ohio State keeps reporters informed, to the degree possible, about the status of the case from the time an issue is first raised through the time that a determination is made about the case and a decision is rendered. Furthermore, Ohio State should strengthen communications to the community about what happens when individuals bring an issue forward. The University should also adopt the best practice to release periodic summary reports of disciplinary actions that are taken for substantiated reports. Additionally, create a system to follow up with reporters about their satisfaction with the process and the issue of confidentiality and whether their identity was revealed. This follow-up could also take place in conjunction with efforts to follow up with reporters about experiencing retaliation (see below).

7. Update anti-retaliation policy and communicate the existence of the policy systematically across the University.

Retaliation against individuals who report wrongdoing is one of the most difficult issues for any organization to address. ECI has observed that retaliation is a metric that often remains unchanged for several years despite substantive efforts by organizations to communicate their intolerance for such conduct. Ohio State has taken the right steps to set out within its policies that retaliation is not acceptable, and that such behavior is subject to disciplinary action. This information needs to be consistently and frequently communicated amongst the stakeholders to become fully embedded within the Ohio State culture. ECI recommends that the University update its Whistleblower policy³⁵ as substantive changes have not been made since 2013. The University may also consider renaming the policy to an “anti-retaliation program” to cover a wider breadth of outcomes following reports. The program should consist of a systematic effort to remain in touch with individuals who report, and to track their progress over time to ensure that they do not experience retribution for having come forward.

³⁵ <https://hr.osu.edu/wp-content/uploads/policy140.pdf>

[Appendix](#)

Summary of the Survey Process

The Values and Ethics Survey was implemented as part of the Ohio State Shared Values Initiative. The focus areas of the Shared Values Initiative informed the goals of the survey and guided the development of the question set. Specifically, the survey was designed to address the following key areas:

- **Shared Values:** The daily interactions of all university community members are guided by a shared set of values at the unit, college and university level.
- **Robust Sharing of Ideas & Concerns:** Faculty, staff and students feel comfortable sharing ideas and concerns, and leaders listen to and address both respectfully.
- **Disciplined Decision-Making:** Individuals consider shared values and the common good when making difficult decisions.
- **Trusted Leaders:** University leaders at all levels behave ethically, uphold shared values, and expect to be held and are held to the highest standards of integrity.

ECI partnered with key stakeholders at Ohio State to design the question set and ensure that the survey addressed the goals of the Shared Values Initiative.

Survey Design: The first phase of the design process consisted of a review of ECI's existing University Ethics Culture Assessment. This review was done in partnership with the Office of Institutional Research and Planning (IRP) and the Center for the Study of Student Life (CSSL). Following the initial review, ECI worked closely with IRP to adjust the questionnaire so that it would better meet the goals of the Shared Values Initiative. Additionally, several questions from previous culture assessments at Ohio State were incorporated into the question set.

Steering Committee Review: The first draft of the questionnaire was then reviewed by Ohio State's Shared Values Initiative Steering Committee. The Steering Committee consists of individuals from throughout the University. Input was sought from as many sources as possible to ensure that the survey reflected the experiences of all members of the Ohio State community. The Steering Committee consists of representatives from:

- Council of Deans
- University Senate
- Wexner Medical Center
- Office of Academic Affairs
- Office of Human Resources
- Office of Student Life
- Office of Diversity and Inclusion
- Office of Institutional Equity
- Office of Legal Affairs
- Center for Ethics and Human Values
- University Communications
- University Staff Advisory Committee
- Office of University Compliance and Integrity
- Institutional Research & Planning

Customization based on designation and location: Following consultation with the steering committee, eight versions of the survey were developed based on designation (faculty, staff, undergraduate students and graduate students) and location (Columbus or regional). Each question set was then reviewed by the Steering Committee to ensure that all questions and the survey language/verbiage was applicable/appropriate for members of each group.

Communications Plan

Central to any successful survey effort is the implementation of a comprehensive communication strategy to raise awareness and encourage participation. Development of the communication strategy took place over the course of several months and included input from key stakeholders from across the University community. The communication plan consisted of three phases:

- 1.) ECI worked in partnership with the University to develop an email campaign that included University-wide messaging and targeted communication for specific groups. The email campaign included messaging from senior leaders, including from the Provost, the Senior Vice President of Human Resources, and the Chief Compliance Officer.
- 2.) The Office of Academic Affairs developed a webpage dedicated to the survey, which contained general information about the survey effort and a comprehensive list of Frequently Asked Questions.
- 3.) In addition to the web page and promotional emails from senior leaders, the communication strategy included messaging across the following platforms:
 - HR Now
 - Discover App
 - Student Life Social Media
 - Student Org Insider
 - Slice of Student Life
 - OneSource
 - OnCampus Weekly and OnCampus Today
 - OSU HealthBeat

Survey Implementation

ECI worked with IRP and several IT departments at Ohio State to develop a distribution plan for the survey. Following a review of different distribution options, ECI and Ohio State determined that the link to the online survey would be distributed via an email invitation.

Pilot testing: A pilot test of the survey was conducted to identify and resolve any issues related to the distribution of the survey instrument. All eight versions of the survey were included in the pilot test in order to ensure that the survey platform could be accessed by all members of the University community.

ADA Compliance: The survey was designed to be WCAG 2.0 AA and Section 508 compliant. Each item in the survey was reviewed using software that tests whether or not the question type is accessible based on WCAG 2.0 AA standards. All question types used in the final version of the survey passed WCAG 2.0AA and 508 compliance tests.

Survey Distribution: All members of the Ohio State community were invited to participate in the survey. The survey launched on September 23, 2019 and closed on October 29, 2019. Invitations to participate in the survey were sent on a rolling basis to ensure that there was no negative impact on University operations. Throughout the duration of the survey two reminder emails were sent to individuals who had not started or completed the survey. Those who had completed the survey did not receive reminder emails.

Survey Focus Areas

The Values and Ethics Survey was designed to measure various aspects of the experiences of faculty, staff and students at Ohio State. Below is an overview of each of the primary areas that were investigated in the survey:

1. Shared Values at Ohio State

ECI's research has found that commitment to values is strongly associated with perceptions that an organization truly values and rewards ethical behavior. Additionally, developing and promoting organizational values serves to guide employees in making the right decisions in challenging situations. The questionnaire was designed to address shared values at Ohio State through two lines of inquiry. First, the survey contained a series of questions that measured commitment to existing organizational values at Ohio State. Specifically, participants were asked a series of questions about the behavior of leaders and the extent to which they believed that shared values guide their decisions and actions. The second goal was to determine which values members of the community felt were currently most important at the University and which values should be most important in the future.

2. Connection to Ohio State

An employee or student's commitment to upholding and acting in accordance with the University's shared values is likely to be linked to the strength of their connection to the University. Members of the university community who feel connected to the culture and invested in its success will be more likely to engage with their peers in building a culture of integrity. As such, the survey contained questions that aimed to measure the extent of the participant's connection with the University. To measure connection to Ohio State, the survey asked participants several questions, including if they were proud to be a member of the community and if their personal values aligned with the values at Ohio State.

3. Awareness of Ethics and Compliance Resources

Widespread awareness of formal ethics and compliance resources is a prerequisite for developing a strong ethics culture. Specifically, developing high levels of resource awareness is a key component of a member's abilities to share ideas and concerns. Conversely, low levels of awareness may signal a lack of investment in the organization's ethics and compliance program, leaving employees with limited resources for support. In order to assess awareness, the questionnaire asked participants if they were aware of a series of key resources, such as a code of conduct or a hotline to report misconduct.

4. Organizational Culture

Organizational culture can be defined as the "...pattern of basic assumptions [...] that has worked well enough to be considered valid and, therefore, to be taught to new members as the correct way to perceive, think, and feel in relation to those problems."³⁶ Therefore, the relative strength or weakness of an organization's ethical culture depends, in large part, on the extent to which employees at all levels of the organization engage in ethical actions and behaviors. In order to assess ethics culture strength at Ohio State, members of the community were asked about the Ethics-Related Actions (ERA's) of members throughout the University. ERA questions assess behavior through a wide array of actions, ranging from communication about ethics to perceived support. Notably, while all employees' behavior is critical, the actions of leaders carry disproportionate weight in determining an organization's culture. As such, this report focused on the behavior of those in leadership positions, ranging from senior leadership direct leaders.

³⁶ Edgar H. Schein, *Organizational Culture and Leadership: A dynamic view*. San Francisco: Jossey-Bass. 1985, 1992.

5. Key Ethics Outcomes

Pressure to compromise standards

The pressure to compromise standards is an important warning sign of future workplace misconduct. For over two decades, ECI has consistently found that pressure is strongly associated with observations of misconduct. Employees working in organizations where pressure is high are often more susceptible to engaging in misconduct in order to meet business objectives. Furthermore, consistent pressure to compromise standards can eventually create a culture that “normalizes” misconduct and discourages employees from raising concerns about workplace conduct.

Observations of misconduct

Observed misconduct is the most fundamental indicator of the past and present state of integrity in the workplace. High rates of misconduct can be indicative of an organizational culture that tolerates, or even encourages, “inappropriate” behavior. Consequently, it is “critical” that organizations determine a baseline of observed misconduct in order to be able to measure progress over time. This survey measures observations of misconduct in two ways. First, employees are asked, in general terms, if they observed any misconduct in the past 12 months and, if so, whether they reported it. Then employees are asked if they observed specific types of behaviors that fall under the umbrella of misconduct in the past 12 months.

Reporting Misconduct

Another key ethics outcome is the rate at which those who observe misconduct report their observations. Organizations that lack knowledge about the events taking place within are left only with an ability to react to crises and not an ability to avoid them. In order to improve reporting rates, it is necessary to understand where misconduct is being reported and the experiences of those who do report misconduct. In order to meet this objective, ECI worked with the the University to develop a comprehensive list of reporting locations at Ohio State.

Reporting Experience

In addition to measuring reporting rates, it is necessary to understand the overall experience of those who do report misconduct. In order to meet this objective, the survey contained a series of questions asking about satisfaction with the reporting process, along with whether or not those who reported experienced retaliation. Lastly, participants who indicated that they did not report an observation were asked why they did not report.

Weighting and Confidence Interval (Margin of Error)

The employee data (faculty and staff) in this report are weighted based on gender, employee type (e.g., classified staff, associated faculty) and primary college/administrative unit. These weighting adjustments, commonly referred to as weights, assign a weight to each survey respondent group depending on whether they are under- or over-represented in the survey results. Respondent groups that are under-represented are assigned a weight greater than 1 and those that are over-represented are assigned a weight less than 1. The weights adjust the responses so that the proportional makeup of the groups in the sample match their proportional makeup in the population. This type of weighting is considered a best practice and is commonly used in survey research.

The Ohio State Employee Overall findings (based on the faculty and staff responses) have a confidence interval (margin of error) of +/- 1% at the 95% confidence level. For example, if 50.0% answered “Yes” to X question, we are 95% confident that the actual value is no higher than 51.0% or lower than 49.0%.

- The faculty findings have a confidence interval (margin of error) of +/- 2.5% at the 95% confidence level.
- The staff findings have a confidence interval (margin of error) of +/- 1% at the 95% confidence level.

Due to low response rates, ECI did not weight the student results. The response rates made weighting inappropriate since the findings could not be generalized to the wider student population.

Statistical Significance Testing

Statistically significant differences between faculty and staff are tested at the 99% confidence level ($p < .01$). Statistical significance testing was conducted to ensure that the percentage differences shown are actual differences based on statistical analysis. In some cases, there may be a large difference between percentages (e.g., 50% vs. 40%) that is not statistically significant or a small difference (e.g., 30% vs. 28%) that is statistically significant; statistical significance testing confirms whether a difference is a valid difference. This standard provides a parameter against which the reader can assess percentage differences between faculty and staff. Statistically significant differences are noted in charts and figures by an asterisk.

When interpreting the statistically significant differences noted in the charts and tables, keep in mind that not all differences are “practically significant.” A “practically significant difference” is one that is large enough to merit attention of resources or justify undertaking strategic efforts to effect change – all statistically significant differences are noted in charts and tables with an asterisk. However, statistically significant differences that are less than three percentage points are not noted in the text as they are not considered practically significant.

Value Definitions

The following definitions were provided in the survey for the 20 values assessed.

Accountability - Accepting responsibility and answering for one’s choices, behaviors, and actions

Access and affordability - Ensuring that everyone has an opportunity to participate and engage at Ohio State, regardless of their background

Collaboration & multidisciplinary endeavor - Working cooperatively especially in a joint intellectual effort

Determination - Reaching our highest potential despite obstacles; attracting and retaining high-performing people who want to change the world; and fearless pursuit of one’s potential to make a meaningful contribution through our work

Diversity in people and of ideas - Welcoming and valuing diverse backgrounds, experiences and perspectives

Empathy - Caring deeply and acknowledging the feelings and experiences of self and others; prioritizing the needs of others; and valuing and serving each other and our community

Excellence - Maximizing potential and demonstrating considerable skill and accomplishments

Honesty - Speaking and acting truthfully, with integrity and trustworthiness

Inclusiveness - Working together with common purpose; embracing the power of connection through multidisciplinary collaboration; and valuing the diversity of people and different points of view with respect and fairness

Innovation - Creating original ideas/new concepts and putting them into practice; being curious about new perspectives and ideas; and continually growing and changing

Integrity - Intentionally and consistently acting in an honest, authentic and ethical way

Learning - Building knowledge, ability, or skill through study, exploration, interaction, observation, or engagement; developing personally, professionally, and civically

Ownership - Taking care of our institution even when no one is watching; protecting and enhancing our reputation and legacy at all times; and being good stewards of our resources

Respect - Acknowledging, valuing, and affirming the dignity and unique attributes of every person

Safety - Keeping self and others protected from harm or danger

Service - Advancing the wellbeing of individuals, communities and society

Sincerity - Adhering to high ethical standards; speaking and acting truthfully; and being responsible to always uphold the integrity of the organization

Transparency - Being open and forthcoming in one's dealings and in communicating matters of importance

Trust – The belief and confidence in the integrity, reliability and fairness of a person or organization

Wellness - An active process of becoming aware of and making choices toward a healthy and fulfilling life

The Impact of the COVID-19 Pandemic and the Black Lives Matter Movement on Employee Responses to the Survey

The COVID-19 pandemic, as well as the Black Lives Matter (BLM) movement and related racial justice efforts, have had significant impacts on organizations across the globe. Organizations have had to quickly react and undergo significant organizational changes, such as transitioning employees to remote work, increasing flexible work schedules, implementing cost-cutting measures and executing travel bans, while also addressing issues of inequity and free speech. To this end, faculty and staff responses to the *Ohio State University Values and Ethics Survey*, administered from September 23, 2019 through October 29, 2019, may differ if the survey were administered today (i.e., during and after these events). Below is a summary chart and an analysis of the survey focus areas and how ECI Research believes these events may impact the survey results, including those areas that were not likely to have been impacted.

Impact of COVID-19 and Black Lives Matter and Racial Justice Movement on Survey Results		
None to Minimal Impact	Minimal to Moderate Impact	Moderate to Significant Impact
Shared Values at Ohio State	The Role of Values at Ohio State	Perceptions That Ohio State Cares About its Employees
Resources That Promote and Support Values at Ohio State	Perceptions That Ohio State Cares About its Employees	Overall Satisfaction with Experience with Ohio State
Communication of Ethics	Employee Beliefs Regarding Fear of Retaliation	
Trust of Leaders to Act with Integrity and Responsibility	Employees Have Enough Input Into Decisions That Impact Ohio State	
Role Modeling Ethical Behavior	Target Ethics Outcomes	
Support in Following University Policies		
Policies and Rules		
Collective Identity		
Confidence that the University will Take Action on the Data Collected in Survey		

Survey Focus Areas

The Value and Ethic Survey was designed to measure various aspects of the experiences of faculty, staff and students at Ohio State. Below is an overview of each of the primary areas that were investigated in the surveys of faculty and staff.

1. Shared Values at Ohio State

Shared values at Ohio State were assessed on the questionnaire through two lines of inquiry. First, the survey contained a series of questions that measured commitment to existing organizational values at Ohio State. Specifically, participants were asked a series of questions about the behavior of leaders and the extent to which they believed that shared values guide their decisions and actions. The second goal was to determine which values members of the community felt were currently most important at the University and which values *should* be most important in the future. Given that values are shaped over an employee's long-term relationship with Ohio State, ECI Research anticipates that the results for these items would be similar if the survey were administered today (compared with results based on the survey administered in the fall of 2019).

2. The Role of Values at Ohio State

Faculty and staff were asked to provide their perceptions on the role of values at Ohio State (e.g., senior leadership has a clear set of shared values to help guide decisions and actions, senior leadership expects employees to always consider OSU's values when making strategic business decisions). Survey results indicated that respondents generally felt more positively about the values-driven decision making of their immediate supervisors compared with their perceptions of senior leaders. This is likely due to communications from senior level leaders being less visible than the decisions of those in direct leadership positions. However, during the COVID-19 pandemic and the racial justice movement (i.e., BLM), the proximal gap between senior and direct leader communication has likely shrunk due to more frequent communications to the entire university community from senior level leadership. Specifically, the weekly emails regarding health and wellness, safety and other related topics from the highest level of the university (e.g., the President) have likely made this level of leadership seemingly more visible to faculty and staff. Thus, ECI research anticipates that some of the results related to values may shift if the same survey was administered today.

3. Resources That Promote and Support Values at Ohio State

Survey respondents were asked about their awareness of resources for employees at Ohio State, such as a way to confidentially or anonymously report wrongdoing (e.g., a hotline), orientation or training on policies regarding ethical conduct and compliance responsibilities). Given that the availability of these resources would remain the same prior to and during the COVID-19 pandemic and the BLM movement, ECI Research does not expect that the results would differ.

4. Ethical Elements of Organizational Culture

Faculty and staff were asked about the following topics related to organizational culture

- Communication of Ethics;
- Trust of Leaders to Act with Integrity and Responsibility;
- Accountability (when someone is caught violating University policies);
- Role Modeling Ethical Behavior;
- Support in following University policies;
- Perceptions That Ohio State Cares About its Employees;

- Employee Beliefs Regarding Fear of Retaliation
- Perceptions that Ohio State Does Not Retaliate Against Employees Who Report Wrongdoing or Violations of University Policies;
- Beliefs That Employees Who Violate University Policies Still Get Rewarded With Promotions or Raises;
- Employees Have Enough Input Into Decisions That Impact Ohio State; and
- Policies and Rules.

Communication of Ethics

Although one cannot determine with certainty that the COVID-19 pandemic has had an impact on employee perceptions, communications regarding ethics may be suffering during this time of uncertainty due to the focus on the COVID-19 pandemic and racial justice movement. However, if weekly communications from top leadership have touched on ethics in addition to information on the impact of the COVID-19 pandemic and the BLM movement, employee perceptions may have improved in this area. Thus, it's reasonable to anticipate that survey responses may differ today in this area compared with the data collected in the fall of 2019. However, the direction of the change in perceptions would be tied to whether communications during this time of uncertainty have included information on ethics.

Trust of Leaders to Act with Integrity and Responsibility

Trust of leaders to act with integrity and responsibility is another area one would expect to be shaped over an employee's long-term relationship with Ohio State. Given this, ECI Research anticipates that the results for these items would be similar if the survey were administered today (compared with survey results based on the fall 2019 questionnaire). However, given the frequent communications from top leadership regarding the university's response to the COVID-19 pandemic and resources available to staff, it is also possible that trust of leaders has improved if communications have been consistent and that the information provided is accurate. For example, if communications indicate that safety is a priority and actions have been taken to help ensure the safety of staff (e.g., hand sanitizer has not been made available on campus, remote work options have been made available, etc.), trust of leaders may actually increase.

Accountability

Accountability is another area that ECI Research expects would remain stable before and during the COVID-19 pandemic and the BLM movement and, thus, does not anticipate that the results would be affected. Accountability is something that employees witness from their very first observation of misconduct, if applicable, and is thus based on experiences over a long period of time.

Role Modeling Ethical Behavior

Perceptions of employees in regards to role modeling of ethical behavior is developed over an employee's long-term relationship with the Ohio State community. Thus, ECI Research does not anticipate that the survey results would be affected by the COVID-19 pandemic nor the BLM movement.

Support in Following University Policies

Faculty and staff were asked whether they felt supported in following University policies as they pertain to ethics and compliance. These, again, are perceptions that are likely to develop over a long period of time and are not anticipated to be impacted by the COVID-19 pandemic nor the BLM movement.

Perceptions That Ohio State Cares About its Employees

How Ohio State is reacting to the COVID-19 pandemic, especially related to employee safety, could have a significant impact on survey responses. If an employee previously had positive perceptions, but has been faced with decisions from senior leadership that allude to Ohio State not caring about the safety of its employees, their perceptions may have become negative since the beginning of the COVID-19 pandemic. However, the opposite could be true as well; employees who had negative perceptions regarding how much Ohio State cares about its employees may now feel more positively as they see Ohio State leadership making decisions that are in the best interest of the safety of its employees.

Employee Beliefs Regarding Fear of Retaliation

With all of the changes necessary to respond to the COVID-19 pandemic and the BLM movement, it's reasonable to expect that more employees have questioned the decisions of leadership recently compared with prior to these events. How those inquiries were addressed may have a significant impact on how respondents would answer this set of questions today (compared with their responses in the fall of 2019). The impact could be positive or negative. If respondents previously thought that they would experience retaliation, but brought forward a concern and did not experience retaliation, their perceptions would improve. However, if the opposite is true, their perceptions would decline.

Perceptions that Ohio State Does Not Retaliate Against Employees Who Report Wrongdoing or Violations of University Policies

Given that employee perceptions regarding retaliation are likely developed over their long-term relationship with the University, ECI Research does not anticipate that survey results would differ if the survey was administered today (i.e., during the COVID-19 pandemic).

Beliefs that Employees Who Violate University Policies Still Get Rewarded With Promotions or Raises.

This is another area where employee perceptions are developed over a long period of time based on their observations in the university community. Thus, it is unlikely that employee perceptions have changed due to the COVID-19 pandemic.

Employees Have Enough Input Into Decisions That Impact Ohio State

Given the significant organizational changes that Ohio State is likely to have undergone quite quickly in response to the COVID-19 pandemic, employees may feel that they do not have enough input into decisions that impact Ohio State. However, it could be the case that employees were asked about their attitudes regarding how the university should handle the pandemic. Regardless, it is the opinion of ECI Research that employee perceptions may have changed due to the COVID-19 pandemic compared with employee perceptions in the fall of 2019.

Policies and Rules

Employees were asked questions regarding their comfort in their knowledge about which Ohio State policies and rules apply to them, how to report laws that are broken, etc. These perceptions are likely developed over a long period of time based on the processes in place at Ohio State and, thus, unlikely to be affected by the COVID-19 pandemic nor the BLM movement.

5. Collective Identity

Faculty and staff were asked about their perceptions about how well they “fit in” with the Ohio State Community (which refers to all current students, faculty, and staff). Once again, with the exception of very new employees, these perceptions are developed over one’s long-term relationship with the university. Thus, ECI Research does not anticipate that these survey results would be impacted by the COVID-19 pandemic or the BLM movement.

6. Target Ethics Outcomes

Target ethics outcomes assessed on the survey included such metrics as sources of stress, pressure to violate University policies or the law, and observed and reported misconduct. When it comes to sources of stress, some may be quite significantly impacted by the COVID-19 pandemic, such as keeping one’s job due to the negative impact on the economy and balancing work and personal responsibilities due to the blending of work and family with remote work. However, other sources of stress, such as advancing Ohio State’s goals and fitting in with the Ohio State community are unlikely to be affected.

Employees were also asked about their observations of misconduct over the past 12 months. Although observations of misconduct may be observed differently (e.g., over a video conference or via email), misconduct may be just as likely to occur during the COVID-19 pandemic and the BLM movement as it normally would be. In fact, due to increased levels of stress due to uncertainty, it’s also possible that employee perceptions of pressure are higher now. Findings from the 2019 GBES indicate that as incidences of significant change³⁷ increase in an organization, such as a merger with another company, the rate of observed misconduct also rises. Results show that employees working in organizations with four to seven significant changes in 12 months were **more than two times** as likely to say they observed misconduct than employees working in an organization without any significant changes.

Reporting rates were also assessed on the survey. Due to fears of losing one’s job due to the unstable economy, employees may be less apt to report misconduct during the pandemic. Thus, ECI Research would surmise that reporting rates may be lower on a repeated survey of the Ohio State community if employees were not sufficiently reassured that their jobs were not in jeopardy.

Employees who reported an incident of misconduct were asked about their satisfaction with Ohio State’s response to their report. Given that the same resources are available and the same processes are being followed during the pandemic and the BLM movement, ECI Research does not anticipate that these survey results would be impacted; the same would be true for the incidence of retaliation as a result of reporting misconduct.

7. Overall Satisfaction with Experience with Ohio State

Employee satisfaction with their experiences at Ohio State were assessed. It’s reasonable to surmise that employee experiences have changed as the pandemic has progressed and efforts have been made to address the BLM movement. Given the importance of communication in situations with so many unknowns, employee perceptions could actually improve or worsen during these events. The better and more frequent communication is, the higher overall satisfaction will be among employees. If, however, communication is unclear and/or infrequent, satisfaction is likely to suffer. Thus,

³⁷ Incidences of significant change were based on the following survey question: In the last 12 months, my organization: (1) expanded operations into new countries and/or markets; (2) merged with another organization; (3) acquired another organization; (4) was acquired by another organization; (5) experienced changes in top management; (6) implemented layoffs, restructuring, and/or downsizing; (7) implemented cost-cutting measures (e.g., compensation/benefits reductions, adjusted work schedules); and (8) none of the above. *Check all that apply.*

it is reasonable to surmise that survey results would differ today compared with the results from the fall 2019 survey administration.

8. Confidence that the University will Take Action on the Data Collected in Survey

Faculty and staff were asked about their confidence in the University taking action based on the results of the survey data collected. Perceptions regarding this have likely been formed based on previous efforts to collect this type of information and, thus, would be unlikely to change based on the COVID-19 pandemic and the BLM movement.

Conclusion

As discussed, there are a few areas that ECI Research would anticipate differences in survey results based on changes within the University in response to the COVID-19 pandemic and the BLM movement. Many clients choose to re-survey their employees when significant changes occur in their organizations. In these cases, ECI Research provides statistical comparisons of survey results to identify differences before and after a significant event, such as the COVID-19 pandemic.