City of Long Beach 2019 Employee Ethics Survey: Summary of Key Results

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About ECI and The ECI Survey Model

The Ethics Research Center is the research arm of the Ethics & Compliance Initiative. The Ethics & Compliance Initiative (ECI) is a best practice community of organizations that are committed to creating and sustaining high quality ethics & compliance programs. With a history dating back to 1922, ECI brings together ethics and compliance professionals and academics from all over the world to share techniques, research and, most of all, exciting new ideas. Learn more at ethics.org.

ECI research shows that **high-quality** ethics and compliance (E&C) **programs** (**HQPs**) drive a **strong ethics culture** and both of these ultimately impact ethics outcomes, including pressure, observed misconduct, reporting and retaliation. As such, the Ethics & Compliance Initiative Survey includes questions that uncover the interplay of these three areas. Responses by City of Long Beach employees are presented overall.

ECI's framework utilizes concepts expressed in the US Federal Sentencing Guidelines for Organizations (FSGO) (amended 2018) as well as globally accepted standards and elements of HQPs. HQPs go beyond the FSGO standards of an effective program and as such have a greater impact on ethics outcomes. To learn more about HQPs visit ethics.org/HQP

The Ethics & Compliance Initiative Survey

Background

This report summarizes the responses of the City of Long Beach ("City") employees to the Ethics & Compliance Initiative Survey conducted by ECI. The purpose of the survey was to:

- Implement an assessment of ethics and compliance at the City
- Identify strengths, opportunities and potential vulnerabilities based on City employee perspectives
- Provide a baseline for comparison against future surveys and assessment efforts

Methodology

- Data collection: February 26, 2019 to March 22, 2019
- All employees except non-career employees were invited to participate in the voluntary and confidential survey
- The survey was conducted online on a secure website and via paper for those employees without a City email
- Additional information on methodology can be found on the FAQ slide (slide 8)

Response Rates

- 4,562 employees were invited to participate
- 1,501 employees responded, yielding an overall response rate of 32.9%
- The margin of error* at the 95% confidence level for the survey is: +/- 2.1
    - This means there is 95% certainty that the results from this administration of the survey are within 2.1 percentage points (plus or minus) of the actual results were all employees to respond. In surveys, ECI seeks margins of error less than or equal to +/- 3.0.

*The **margin of error** (MoE) provides a sense of how accurate the sample survey results are vis-à-vis what the actual results would be were responses obtained from *all* employees in the population. Smaller MoEs are preferable. The **confidence level** is the probability that the actual results fall within the MoE. As an example, in this survey the MoE is +/-2.1. If 50% answers Yes to question X, we are 95% confident that the actual result falls in the range of 47.9% and 52.1%. There is a low (5%) probability (one in 20) that the actual result is outside the MoE and that the sample survey result is not reflective of the actual result give or take the MoE.

The Ethics & Compliance Initiative Survey
Primary Areas of Focus

1|WELL-IMPLEMENTED PROGRAMS MEASURES: Higher-quality Ethics & Compliance (E&C) programs lead to stronger ethics cultures and improved ethics outcomes

High-quality E&C programs are comprised of key resources that inform employees and prepare them for ethics-related issues that they may encounter in their workplace. Effective resources are practical, valuable and useful to employees as they make ethics-related decisions. As the "quality" of an E&C program improves, E&C becomes more embedded within the organizational culture and business strategy. A stronger ethics culture ultimately improves desirable ethics outcomes such as reduced pressure on employees to compromise standards.

2|ETHICAL ELEMENTS OF COMPANY CULTURE: A strong ethics culture is key to achieving desired ethics outcomes

The strength of an organization's ethics culture is measured through multiple indicators of employee behavior at various levels throughout an organization. These behaviors exhibit an enterprise-wide approach to ethics by the organization and demonstrate and promote a commitment to ethics on a daily basis. A strong ethics culture involves commitment, modeling and the right conduct by leadership, direct supervisors and all employees.

3|TARGET OUTCOMES: Ethics outcomes are measured by employee perspectives, actions and behaviors

The impact of high-quality E&C programs and strong ethics cultures are improved ethics outcomes. They reflect measurable, manageable actions undertaken by employees and the organization. The four major desired ethics outcomes measured by ECI include:
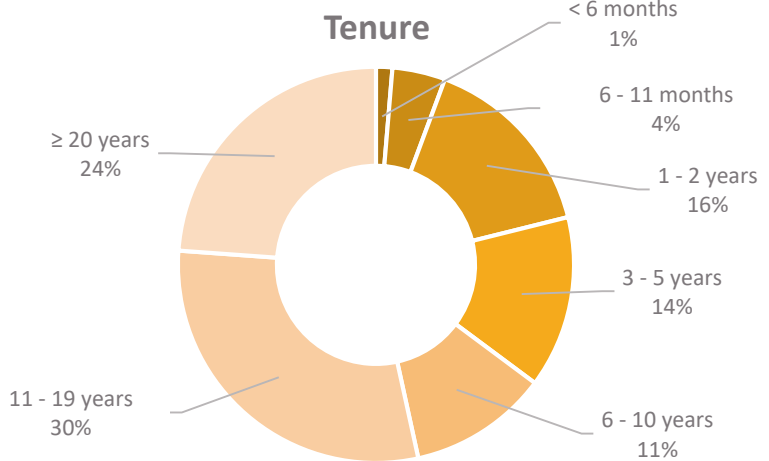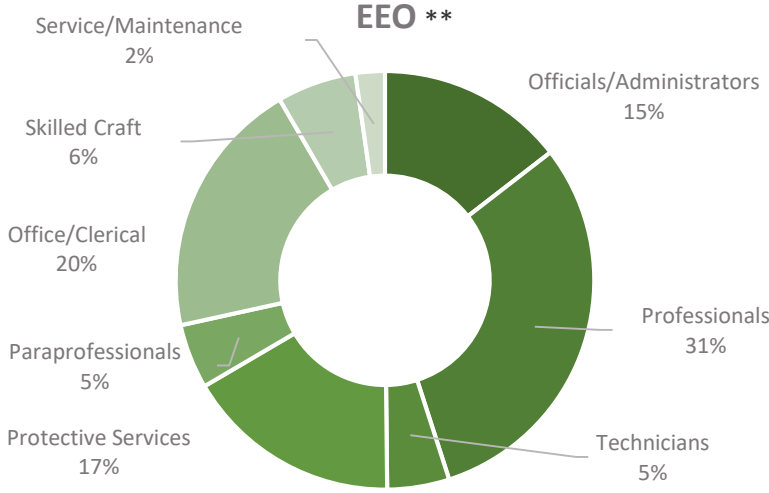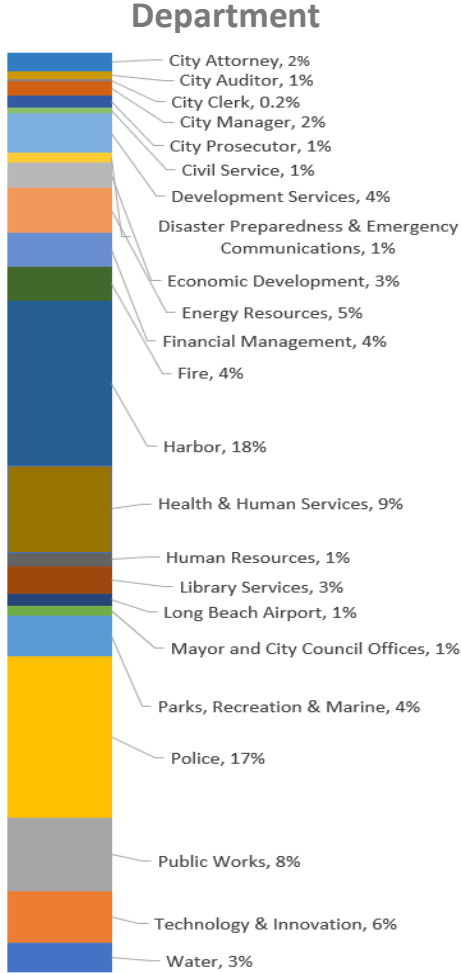
↓ **DECREASED PRESSURE** for employees to violate ethics standards;
↓ **DECREASED OBSERVED MISCONDUCT** amongst employees;
↑ **INCREASED REPORTING** of observed misconduct by employees; and
↓ **DECREASED RETALIATION** perceived by employees for reporting misconduct.

Response Rate

Department	Total Population	# of Survey Respondents	Response Rate
City of Long Beach (CLB) Overall	4562	1501	32.9%
City Attorney	63	30	47.6%
City Auditor	14	14	100.0%
City Clerk	15	3	20.0%
City Manager	55	24	43.6%
City Prosecutor	37	19	51.4%
Civil Service	23	9	39.1%
Development Services	172	65	37.8%
Disaster Preparedness & Emergency Communications	74	16	21.6%
Economic Development	70	41	58.6%
Energy Resources	201	73	36.3%
Financial Management	129	56	43.4%
Fire	483	55	11.4%
Harbor	504	269	53.4%
Health & Human Services	313	142	45.4%
Human Resources	44	22	50.0%
Library Services	83	45	54.2%
Long Beach Airport	96	20	20.8%
Mayor and City Council Offices	46	17	37.0%
Parks, Recreation & Marine	212	66	31.1%
Police	1108	262	23.6%
Public Works	477	121	25.4%
Technology & Innovation	121	83	68.6%
Water	222	49	22.1%

Demographics of Respondent Population

The percentages below show the unweighted* demographic characteristics of City employees who participated in the survey.

Department

- City Attorney, 2%
- City Auditor, 1%
- City Clerk, 0.2%
- City Manager, 2%
- City Prosecutor, 1%
- Civil Service, 1%
- Development Services, 4%
- Disaster Preparedness & Emergency Communications, 1%
- Economic Development, 3%
- Energy Resources, 5%
- Financial Management, 4%
- Fire, 4%
- Harbor, 18%
- Health & Human Services, 9%
- Human Resources, 1%
- Library Services, 3%
- Long Beach Airport, 1%
- Mayor and City Council Offices, 1%
- Parks, Recreation & Marine, 4%
- Police, 17%
- Public Works, 8%
- Technology & Innovation, 6%
- Water, 3%

EEO **

- Service/Maintenance 2%
- Skilled Craft 6%
- Office/Clerical 20%
- Paraprofessionals 5%
- Protective Services 17%
- Officials/Administrators 15%
- Professionals 31%
- Technicians 5%

Tenure

- < 6 months 1%
- 6 - 11 months 4%
- 1 - 2 years 16%
- 3 - 5 years 14%
- 6 - 10 years 11%
- 11 - 19 years 30%
- ≥ 20 years 24%

* See the Frequently Asked Questions (slide 8) for additional information about weighting.
** Equal Employment Opportunity job categories.

Frequently Asked Questions

How are the data weighted?

When reporting results for CLB overall, data in this report are weighted based on City department. These weighting adjustments assign a weight to each survey respondent group depending on whether each group is under- or over-represented in the survey results in comparison with each group's proportional representation in the population. Respondent groups that are under-represented are assigned a weight greater than 1 and groups 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 matches their proportional makeup in the population. In this way, the survey results more accurately portray employee sentiment.

What is statistical significance testing and why is it important?

Statistical significance testing was conducted to ensure that the percentage differences shown are actual differences based on statistical analysis. There might 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 by department. Statistically significant differences are noted by an asterisk.

What does the margin of error mean?

The margin of error (MoE) provides a sense of how accurate the sample survey results are vis-à-vis what the actual results would be were responses obtained from all employees in the population. The smaller the MoE, the closer the sample survey results are likely to be to the actual results. The confidence level is the probability that the actual results fall within the MoE. Using a 95% confidence level, we are 95% certain that the sample survey results are the same as the actual results give or take the indicated number of percentage points (i.e., the MoE). As an example, in this survey the MoE is +/-2.1. If 50% answers Yes to question X, we are 95% confident that the actual result falls in the range of 47.9% and 52.1%. There is a low (5%) probability (one in 20) that the actual result is outside the MoE and that the sample survey result is not reflective of the actual result give or take the MoE.

Survey Highlights – City of Long Beach Overall

Strengths

TARGET OUTCOMES

➢ Overall, 11% of employees feel pressure to compromise the City's Ethics Guide, the City's policies or the law.

➢ 18% or less of City employees observed each of the specific types of misconduct asked about in the survey; while a range of 22%-90% reported their observations depending on the specific type of misconduct.

➢ 27% of City employees have perceived retaliation for reporting misconduct they observed.

Opportunities

HIGH-QUALITY PROGRAMS MEASURES

➢ 27% of City employees perceive that all five E&C program elements are present and 15% agree that five or six program effectiveness measures are present.

➢ About one-in eight (13%) City employees agree that all four programs-based actions and conditions by the City that incentivize them to act ethically are present.

ETHICAL ELEMENTS OF COMPANY CULTURE

➢ 61% of City employees perceive a strong ethics culture in their work environment. They perceive a strong:
  ➢ Senior leadership ethics culture (49%),
  ➢ Supervisor reinforcement ethics culture (70%), and
  ➢ Coworker commitment ethics culture (72%).

TARGET OUTCOMES

➢ Of those who observed misconduct (general), 55% reported it.

➢ Seventy-eight percent (78%) of City employees did not report misconduct they observed because they did not believe corrective action would be taken.

Survey Highlights – Respondent Demographics

Strengths

HIGH-QUALITY PROGRAMS MEASURES

➤ Employees with a tenure of two years or less had consistently positive results.

> ➤ Employees with a tenure of less than 1 year are more likely to agree that a culture that incentivizes them to act ethically is present (Less than 6 months 50%, 6 months to less than 1 year 48%, vs. City 32%).

➤ Employees aged 18-29 years old are more likely to perceive that E&C program elements are present (38% vs. City 27%).

ETHICAL ELEMENTS OF COMPANY CULTURE

➤ In general, employees in Management positions and those who supervise others have positive perceptions of the overall Ethics culture:

> ➤ Top Management and Middle Management had positive results for Overall Ethics Culture (91% and 71% respectively, vs. City 61%).

TARGET OUTCOMES

➤ Protective Services employees were less likely to feel pressure to compromise standards (6% vs. City 11%).

Opportunities

HIGH-QUALITY PROGRAMS MEASURES

➤ Compared to their Male employee counterparts, Female employees are less likely to perceive that E&C program elements are present (Female 20% vs. Male 32%, City 27%).

ETHICAL ELEMENTS OF COMPANY CULTURE

➤ While White employees had overall positive results, Black employees had consistently negative results. Black employees were the only Racial/Ethnic group with statistically significant negative results and are less likely to perceive a strong ethics culture in their work environment (51% vs. City 61%):

> ➤ Supervisor reinforced ethics culture (60% vs. City 70%), and
> ➤ Coworker commitment ethics culture (61% vs. City 72%).

TARGET OUTCOMES

➤ Three Job Categories-Office/Clerical, Skilled Craft, and Service/Maintenance-all had statistically significant negative results.

> ➤ Skilled Craft employees and Service/Maintenance employees are more likely to perceive a pressure to compromise standards (21% and 26% vs. City 11%).
> ➤ Skilled Craft employees and Office/Clerical employees were significantly more likely have observed misconduct (42% and 41%, vs. City 30%).

Open-ended Comments
Primary Themes and Illustrative Comments

One open-ended question was asked in the survey: *What additional comments, thoughts or feedback do you have for us about the ethics culture at the City?*

A total of 244 participants wrote responses. Of those, 25 entered no comment, none or n/a. Of the remaining 219 who wrote comments, most mentioned more than one issue (theme). The top five themes and the Sub-themes below were mentioned 50 or more times. The next most written about theme was mentioned only 30 times. Positive comments were provided 28 times. These sample, unedited excerpts are included to help illustrate specifics about each theme.

Standards not upheld (87 mentions): Includes mentions of Double standards, Cover-ups and Lack of accountability*
- When mistakes, violations, or problems are reported to top management from line employees, very rarely does management take corrective action.
- Absolutely feel that certain representatives are held to a different standard under the guise of "supervisorial" or "management discretion".
- Lack of managements' ability to enforce policies and procedures consistently and in unison create a hostile environment which brooded misunderstanding that management favors one person/group over another.

Favoritism (66 mentions): Includes mentions of Cronyism, Favoritism (unspecified) and Favoritism toward management
- There's definitely a lot of favoritism in the department. Therefore, sound judgement, ethics, and integrity is out the door.
- Upper management seem to protect their own and don't bother with handling issues reported regarding supervisor and management conduct against non-supervisor/management personnel.
- Promotions are based upon who you know, who likes you, and not on your qualifications and contributions.

Ethics insufficiency (61 mentions): Includes Ethical fading (a drag on ethical behavior; ignoring, minimizing or failing to recognize the ethical nature or implications of a decision or action) and Unethical behavior
- I feel that many have been doing things a certain way that they may not even realize they are violating ethic culture. I also feel that it can be challenging for new employees and supervisors to address these concerns as there does not appear to be much support to establish methods to rectify and to have everyone follow same ethical guidelines.
- When there is clearly sexual harassment, deal with it. … Don't play the game of wait and see what happens. It emboldens the alleged perpetrator.

E&C Program issue (56 mentions): Includes Ethics training, Program resources issue/failing and Speak-up culture issue
- There is not enough information on how to report ethics violations and there is very little repercussions for the serious violations of employee privacy when it comes to personnel.
- I have been an employee within the city for [REDACTED] years. Over those years I have only attended one training course of Code of Ethics. It would be nice to have formal training every couple of years. We are asked to sign that we have received a the Code of Ethics annually, and it is not fair to have management not training all employees on what they are actually signing.

Leadership issue (50 mentions): Includes Leadership failing and Lack of leadership
- When top management has blatantly violated ethics policy, repeatedly,…, and continues to operate with perceived impunity it sets the example for what is acceptable conduct. It destroys morale and corrupts the dignity of civil service….
- I have witnessed people demoted or passed over for promotions who have spoke up, and the choice positions given to persons who "go Along" with the Bosses agenda. Seniority and promotion rules are continually bent to advance their agenda.
- I think our top management is often only concerned about themselves, especially when it comes to their salary. There is frequently zero communication from top management to its employees, which causes employees to feel devalued, confused and not part of any process. Rumors and misinformation are rampant as employees try to figure out what is happening on their own.
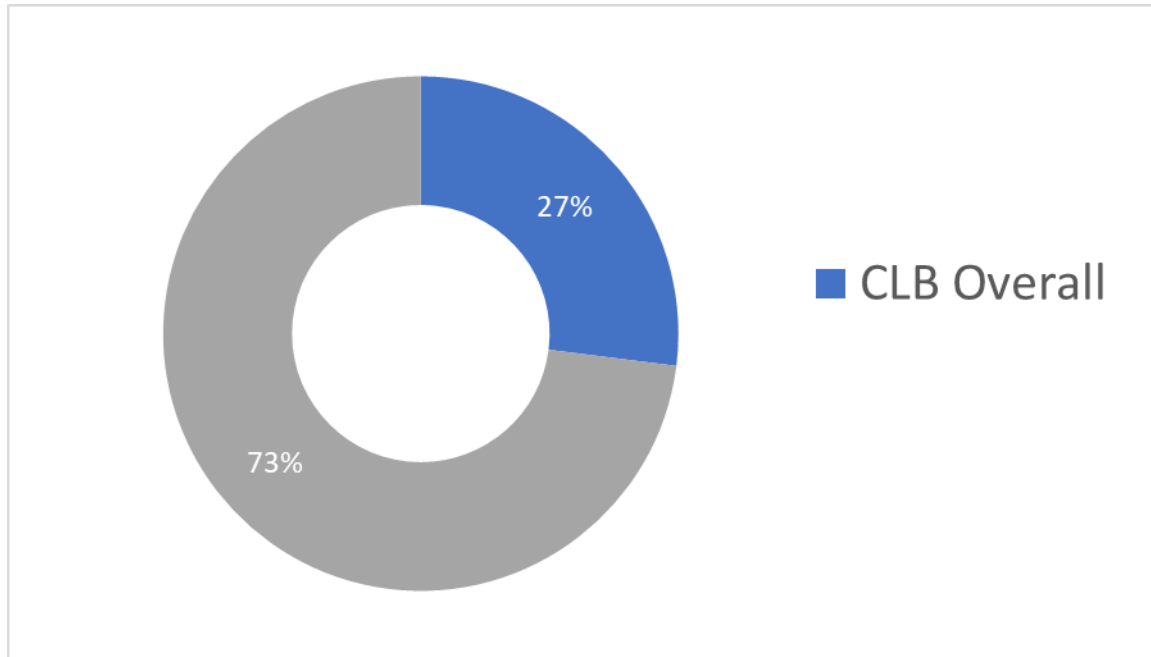
* Capitalized letters identify Sub-themes. For example; Double standards, Cover-ups and Lack of accountability are three sub-themes.

1|High-Quality Ethics & Compliance Program Measures

Higher-quality E&C programs lead to stronger cultures and improved ethics outcomes

Program Elements

Overall, about one-in-four City employees (27%) perceive that *all* five program elements are present in the City.

27%

73%

■ CLB Overall

Employee Perception of Ethics & Compliance Program Elements Presence

The first step in implementing a High-Quality E&C Program (HQP) is ensuring widespread awareness of formal E&C program elements that help support employees in their decisions and conduct at work. The ideal would be for all employees to know about all program elements.

To obtain insight into the degree to which employees are aware of *all* the program elements, a roll-up was created to show the percentage of employees who indicated "Yes," they are aware of all five of the following program elements.

1a.* Written standards of workplace conduct

1b. Orientation or training on standards of ethical workplace conduct

1c. A means for employees to get advice about workplace ethics issues

1d. A means for an employee to confidentially or anonymously report violations of ethics standards

1e. Evaluation of ethical conduct as part of regular performance appraisals

Program Effectiveness

Overall, 15% of employees agree that five or six program effectiveness measures are present.
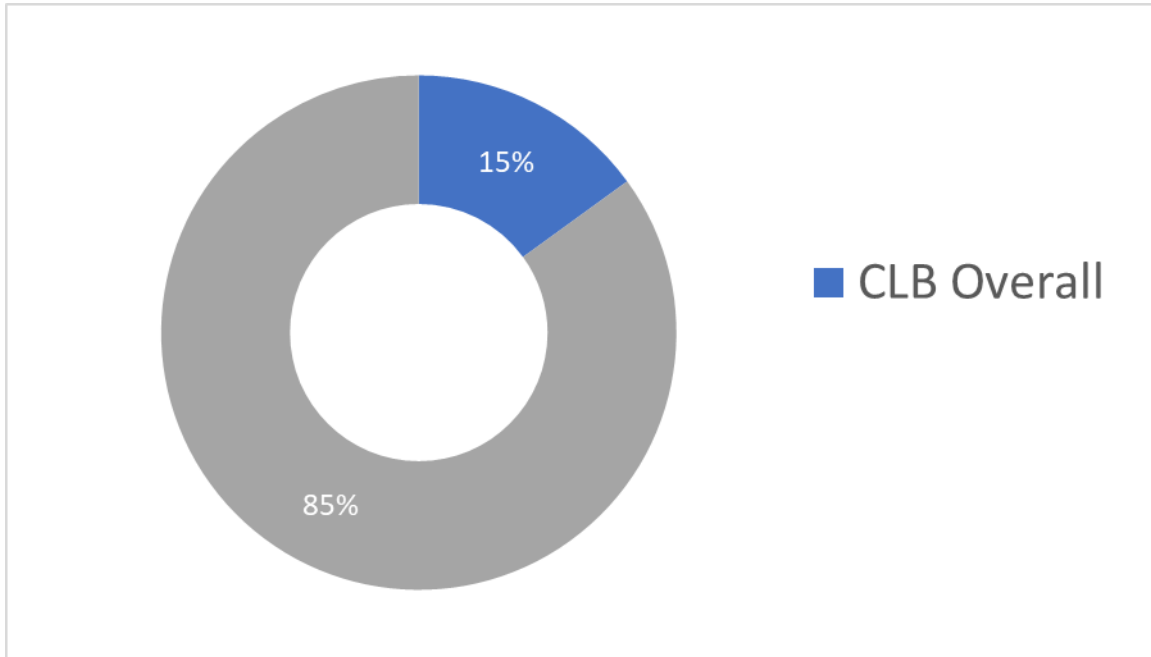
Note: The percentages in the figure are based on a roll-up of six questions reporting whether employees agree that five or six measures that indicate the presence of an effective E&C program are present in the CIty.

Program Effectiveness

An effective program is one in which employees use and benefit from the available E&C resources. Ethical conduct is reinforced and employees feel greater certainty about right behavior when making decisions.

The graph shows a roll-up of the percentage of employees who agree five or six of the six E&C measures are present. The higher the percentage, the more effective the program.

24. Employee seek guidance from resources in uncertain ethics situations [Most of the time or Every time]

16. Employees feel prepared to handle uncertain ethics situations [Well-prepared or Very well-prepared]

18. The City rewards employees who get good results even if they use questionable practices [Disagree or Strongly disagree]

19. Employees can question management decisions without fear of retaliation [Agree or Strongly agree]

20. The City gives recognition to employees who do the right thing [Agree or Strongly agree]

11. Supervisor provides positive feedback for ethical behavior [Agree or Strongly agree]

Utility of Resources

Overall, 22% of employees agree that the City's Ethics Guide and Ethics Training are or were useful in the workplace.
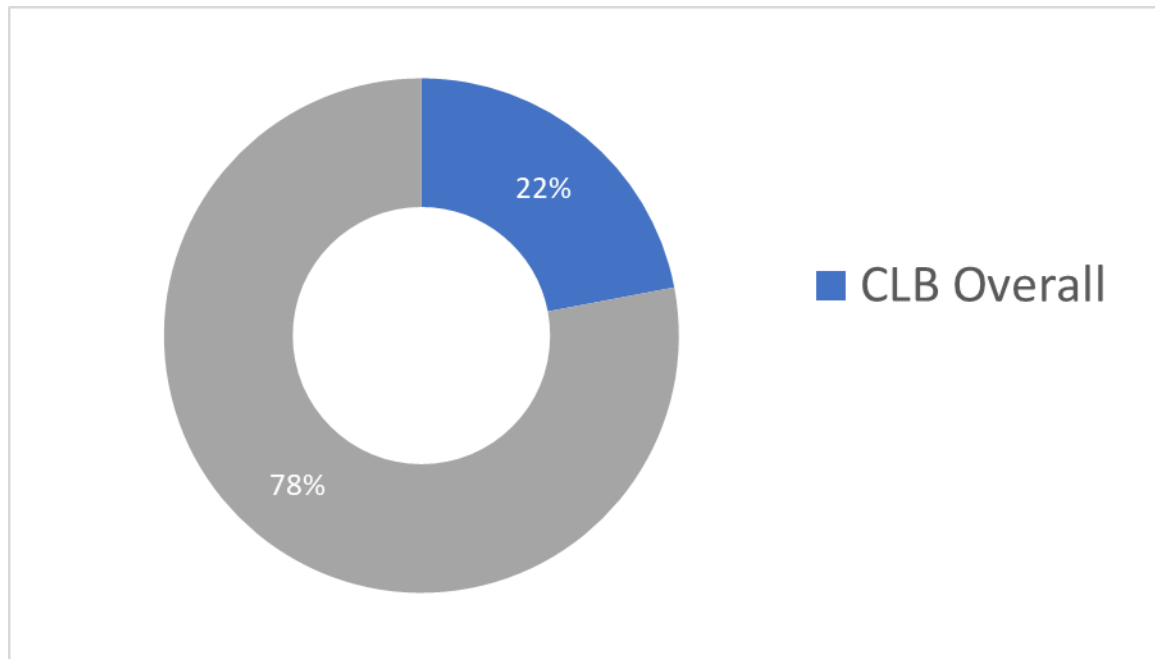
Note: The percentages in the figure are based on a roll-up of the five questions asking about the use of City-provided resources and show the percentages of employees who find or found the resources useful.

Organizations provide resources to guide employees' ethical decision-making. The most useful resources are practical and relevant to employees' everyday work.

A roll-up of five questions was created to show the percentage of employees who find or found the City's E&C resources useful in their work.

2. The City's Ethics Guide is effective in guiding decisions and conduct at work [Effective or Very effective}

3. Employees feel the ethics training they receive is valuable [Agree or Strongly agree]

4. Employee has been able to apply what was learned in ethics training to their job [Agree or Strongly agree]

35. Employees who observed misconduct found the City's Ethics Guide helpful in deciding what to do about the misconduct they observed [Helpful or Very helpful]

36. Employees who observed misconduct found the City's Ethics Training they participated in helpful in deciding what to do about the misconduct they observed [Helpful or Very helpful]

Integrity Incentives – Culture-based

Overall, 32% of employees agree that all four culture-based actions by employees that incentivize them to act ethically are present.

Culture-based Integrity Incentives

Employee behavior can influence (incentivize) employees to act ethically.

The roll-up in this slide shows the percentage of employees who agree that various groups of employees act in ways to encourage ethical conduct from them; that is, four behaviors that incentivize employees to act ethically are present.

7a, b, and c. Top management, My direct supervisor, My coworkers talk(s) about the importance of workplace ethics and doing the right thing [Agree or Strongly agree]
11. Supervisor provides positive feedback for ethical behavior [Agree or Strongly agree]

Note: The percentages in the figure are based on a roll-up of four questions that indicate whether employees agree four culture-based incentive indicators are present in the City.

Integrity Incentives – Programs-based

Overall, about one-in-eight employees (13%) agree that all four programs-based actions by the City that incentivize them to act ethically are present.
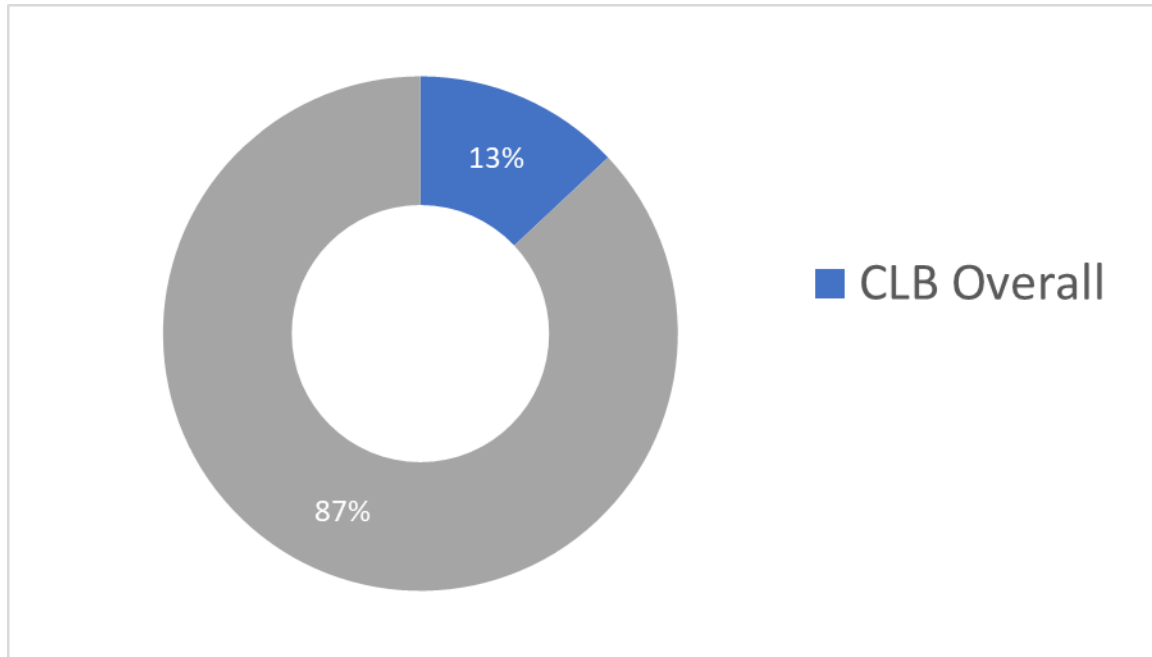
Note: The percentages in the figure are based on a roll-up of four questions that indicate whether employees agree four programs-based, incentive indicators are present in the City.

An organization's priorities and practices can influence (incentivize) employees to act ethically.

The roll-up in this slide shows the percentage of employees who agree that several incentives to act ethically are present; that is, four actions and conditions that incentivize employees to act ethically are present.

20. The City gives recognition to employees who do the right thing [Agree or Strongly agree]

27. When it comes to doing the right thing, the City emphasizes the law and regulations [Agree or Strongly agree]

28. When it comes to doing the right thing, the City emphasizes the City's values and principles [Agree or Strongly agree]

18. The City rewards employees who get good results even if they use questionable practices [Disagree or Strongly disagree]

2|Ethics Culture

A strong ethics culture is key to achieving desired ethics outcomes

Overall Ethics Culture

Employee Perceptions of the Strength of the
City's Ethics Culture

Overall, 61% of employees perceive a strong ethics culture in their work environment,

39%

61%

■ CLB Overall
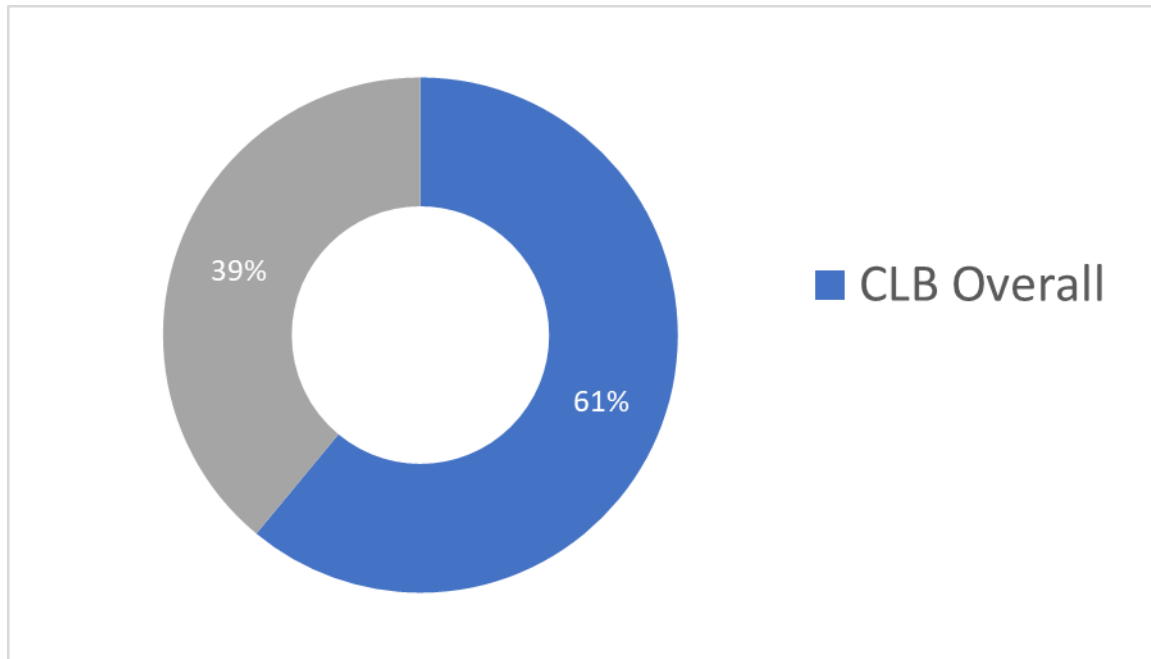
Note: The strength of the City's overall ethics culture is determined by looking at results from 17 survey questions and designating those respondents who agree or strongly agree that all 17 ethics-related actions (see sidebar for complete list of questions) are present as being in a strong ethics culture. The percentages in the figure are the percentage of employees who score as being in a strong ethics culture.

Who Is Senior Leadership (Top Management)?

Understanding Survey Findings about Top Management.*

In the survey, participants were asked one question about top management behavior and then were asked a follow-on question asking who they had in mind when answering the previous question. Respondents were offered six choices (see below). Nearly half identified their department head as "top management." Participants were then directed to keep that individual or group in mind when answering the remainder of the questions in the survey about top management.

When reviewing the findings about top management, keep in mind that a plurality of employees (47%) are answering with their department head in mind and 22% are considering their bureau manager. In aggregate, 69% of respondents considered a manager relatively near to their level in the organization when responding to the survey questions.

When you responded to the question about "top management," which of the following comes the CLOSEST to who you were thinking of?

Role	Percentage
Department Head	47%
Bureau Manager	22%
Head of Division	15%
City Manager	12%
City Council	2%
Mayor	2%
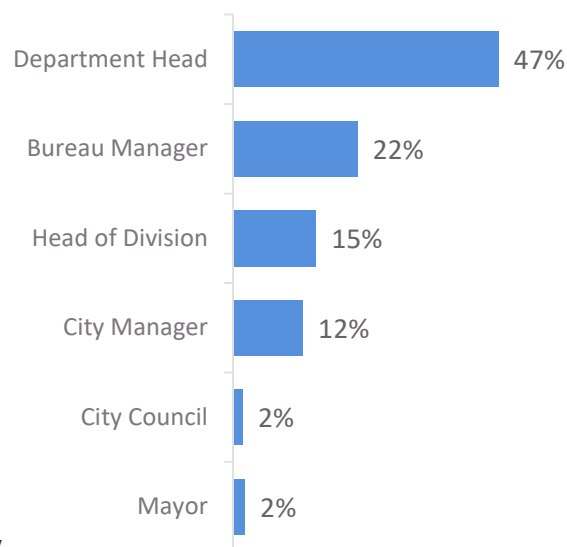
* Top Management and Senior Leadership are used interchangeably.

Top Management

Employee Perceptions of the Strength of the
Senior Leadership Ethics Culture

Overall, 49% of employees perceive a strong senior leadership ethics culture in their work environment.
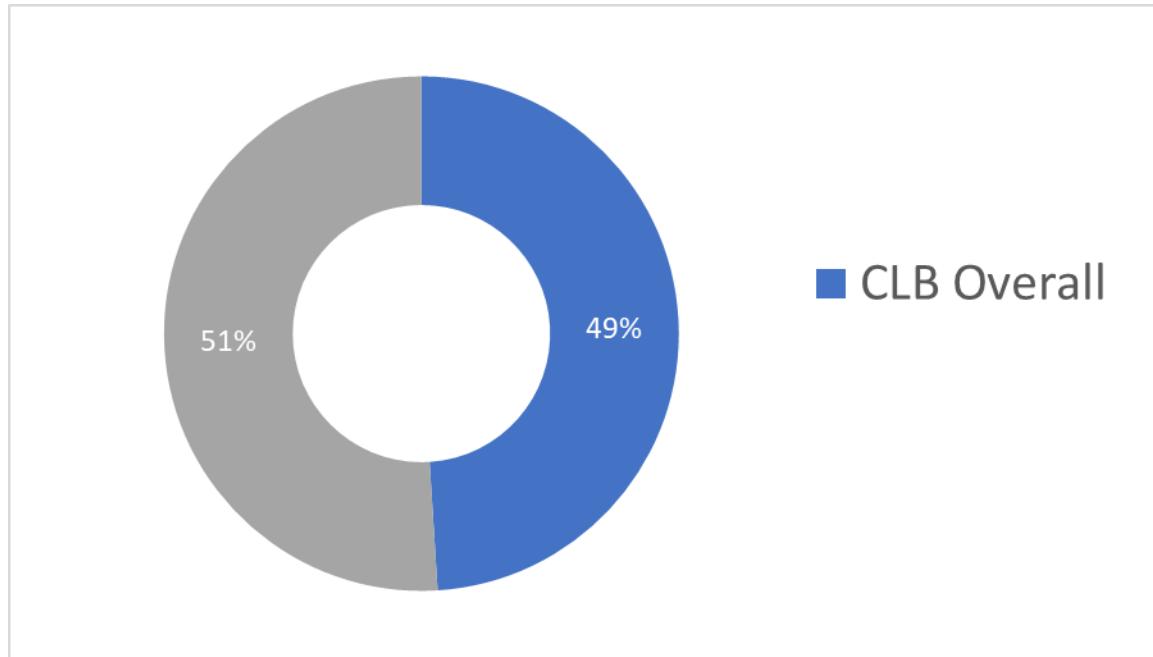
Note: The strength of the senior leadership ethics culture is determined by looking at results from five survey questions and designating those respondents who agree or strongly agree that all five ethics-related actions (see sidebar for complete list of questions) are present as being in a strong senior leadership ethics culture. The percentages in the figure are the percentage of employees who score as being in a strong senior leadership ethics culture.

* Top Management and Senior Leadership are used interchangeably.

Senior Leadership (Top Management)* Ethics Culture

A strong senior leadership ethics culture is formed and created through the perception that top management is engaging in ethical actions and behaviors.

Respondents who agreed or strongly agreed that all five of the following ethics-related actions are present are designated as being in a strong senior leadership ethics culture. [All questions: Agree or Strongly agree]

7a. Top management talks about the importance of workplace ethics and doing the right thing in the work we do

8a. Overall, top management sets a good example of ethical workplace conduct

10a. I trust that top management will keep their promises and commitments

43a. Top management would be held accountable if caught violating the City's Ethics Guide

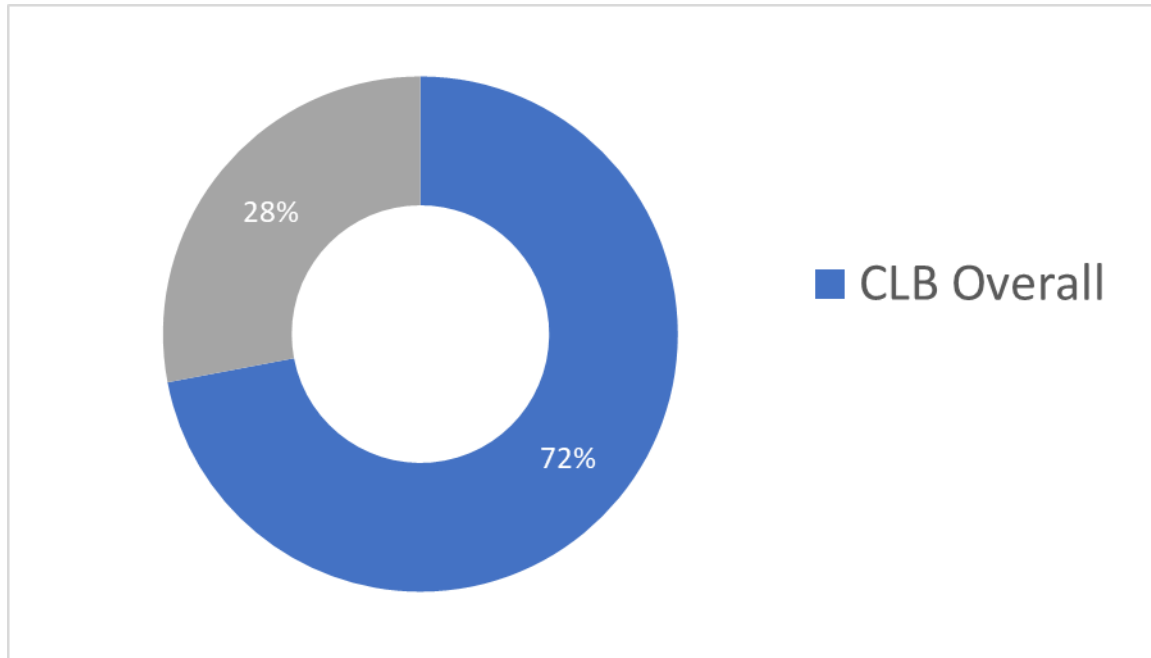5. I am satisfied with the information I get from top management about what is going on in the City

Supervisor Reinforcement

Employee Perceptions of the Strength of the
Supervisor Reinforcement Ethics Culture

Overall, 70% of employees perceive a strong supervisor reinforcement ethics culture in their work environment.
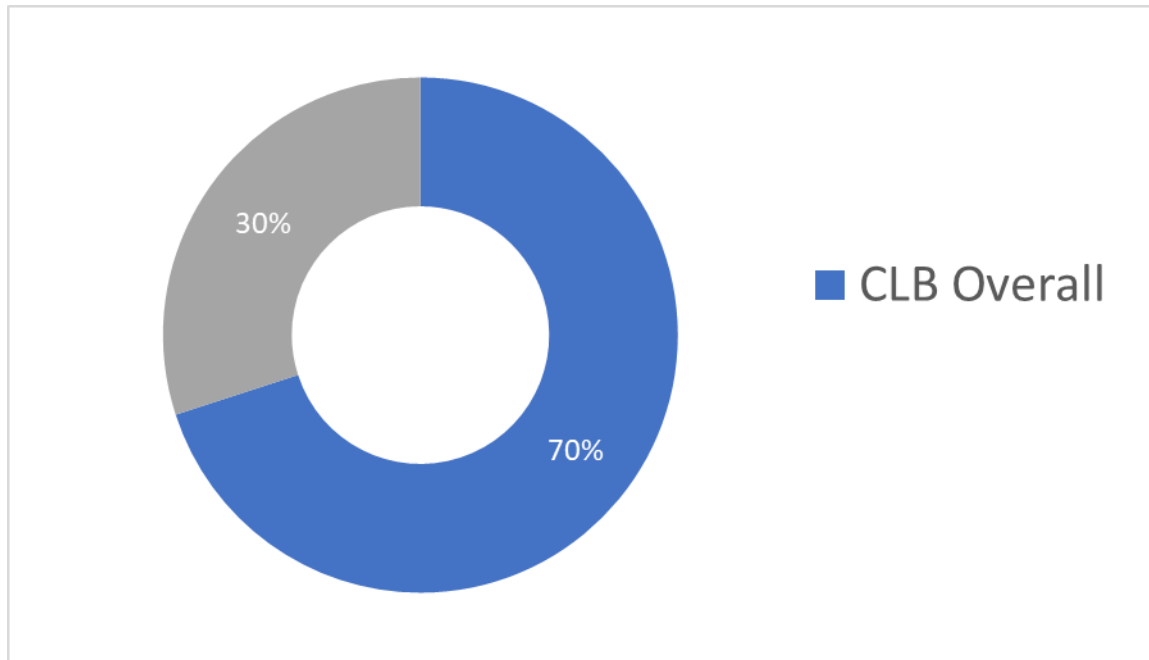
30%

70%

■ CLB Overall

Note: The strength of the supervisor reinforcement ethics culture is determined by looking at results from seven survey questions and designating those respondents who agree or strongly agree that all seven ethics-related actions (see sidebar for complete list of questions) are present as being in a strong supervisor reinforcement ethics culture. The percentages in the figure are the percentage of employees who score as being in a strong supervisor reinforcement ethics culture.

Coworker Commitment

Employee Perceptions of the Strength of the
Coworker Commitment Ethics Culture

Overall, 72% of employees perceive a strong coworker commitment ethics culture in their work environment.

28%

72%

■ CLB Overall

Note: The strength of the coworker commitment ethics culture is determined by looking at results from five survey questions and designating those respondents who agree or strongly agree that all five ethics-related actions (see sidebar for complete list of questions) are present as being in a strong coworker commitment ethics culture. The percentages in the figure are the percentage of employees who score as being in a strong coworker commitment ethics culture.
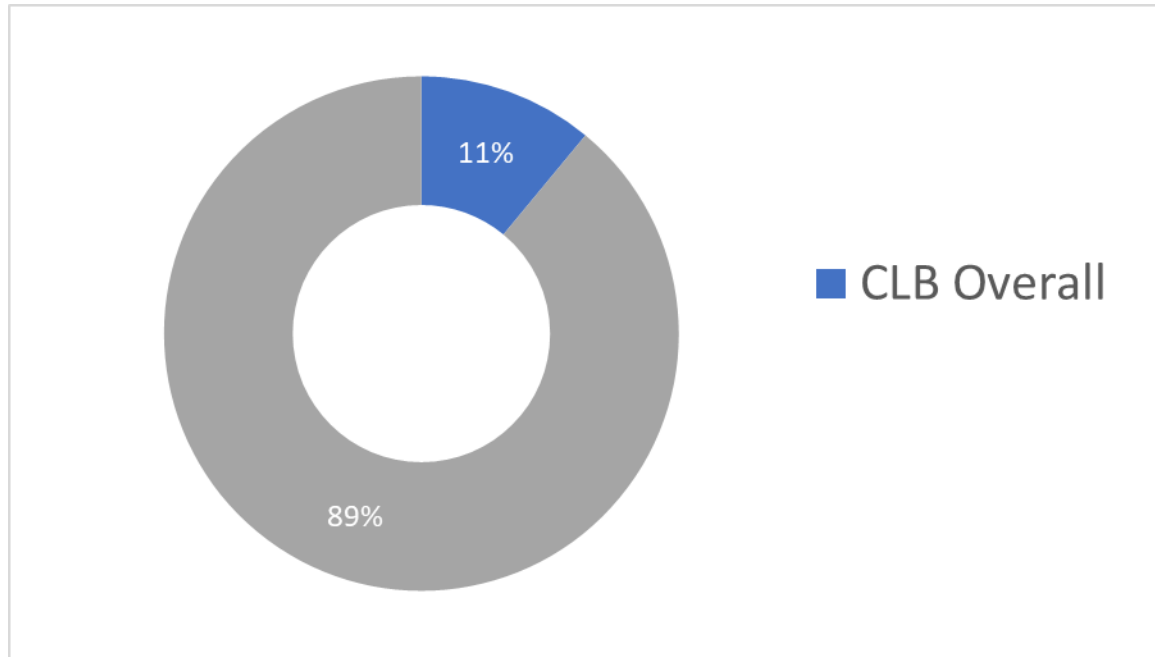
3|Target Outcomes

Ethics outcomes are measured by employee perspectives, actions and behaviors

Pressure to Compromise Standards

Perceived Pressure

Overall, 11% of employees feel pressure to compromise the City's ethics standards.

11%

89%

■ CLB Overall

Ethics Outcomes

*Pressure* to compromise standards is an important warning sign of future workplace misconduct.

22. Do you ever feel pressured by others to compromise the City's Ethics Guide, the City's policies, or the law?

Note: The figure shows the percentage of employees who indicated they felt pressured to compromise the City's Ethics Guide, the City's policies, or the law. A higher value is less favorable.

Observed Misconduct – General

Observed Misconduct - General

Overall, 30% of employees observed misconduct in the previous 12 months.

30%

70%

■ CLB Overall
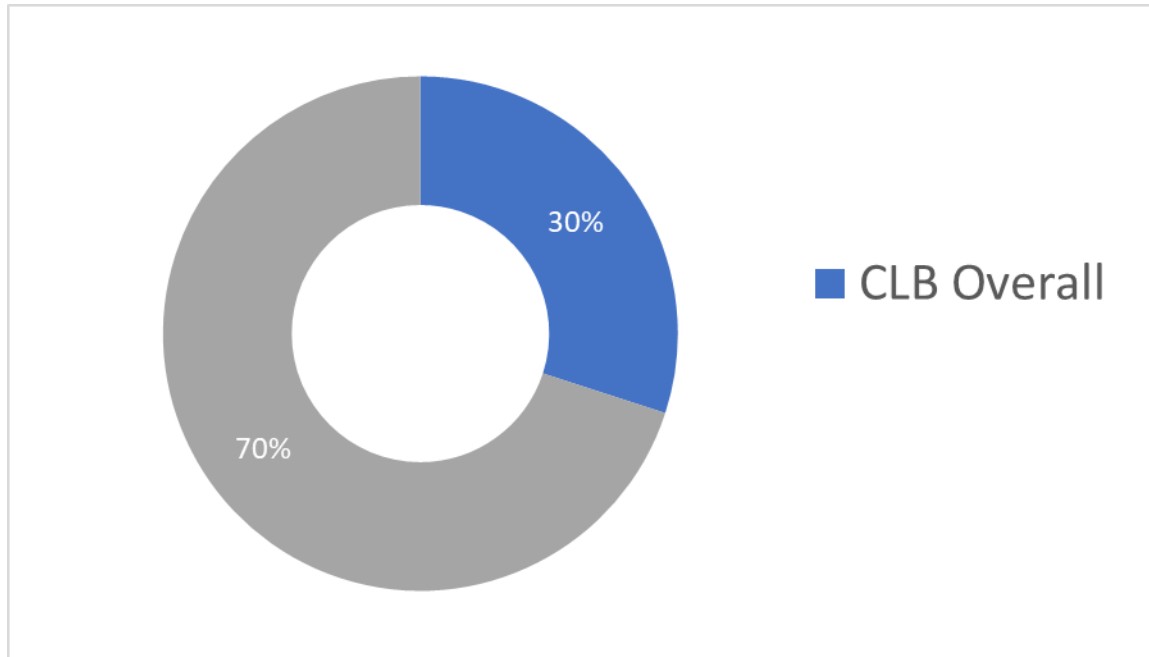
Note: The figure shows the percentage of employees who indicated they observed conduct they thought violated the City's Ethics Guide, the City's policies, or the law during the past 12 months. A higher value is less favorable.

Reported Misconduct – General

Overall, 55% of employees reported misconduct they observed.

45%

55%

■ CLB Overall

Ethics Outcomes

Reporting is pertinent as 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. The more misconduct occurs and goes unreported, the greater the ethics risk an organization faces.

30. Did you report your observation of the conduct that you thought violated the City's Ethics Guide, the City's policies, or the law to management or to another appropriate person?

Note: The figure shows the percentage of employees – of the subset who observed misconduct – who reported their observation to management or another appropriate person.

Observed and Reported Misconduct – Specific Behaviors

18% or less of City employees observed each of the specific types of misconduct asked about in the survey; while a range of 22%-90% reported their observations depending on the specific type of misconduct.

Specific Behaviors	Observed	Reported
Abusive or intimidating behavior towards employees	18%	52%
Lying to employees	13%	34%
Failure to properly follow the performance evaluation process	11%	39%
Misreporting of actual time or hours worked	11%	49%
Improper hiring practices	10%	26%
Behavior that places an employee's personal interests over the interests of the City (a conflict of interest)	10%	34%
Wasting, mismanaging, or abusing the City's resources	9%	30%
Discrimination against current employees based on race, color, gender, age, religion, sexual orientation, or similar categories	8%	34%
Engaging in anti-competitive behavior (e.g., bid rigging, collusion, favoritism)	8%	28%
Retaliation for reporting misconduct	7%	38%
Misuse of the City's services or property	7%	35%
Improperly withholding or giving merit increase(s)	6%	33%
Excessive or inappropriate use of social media	6%	22%
Breaching employee privacy	6%	32%

Note: The table shows the percentage of employees who observed the specific behavior and – of the subset who observed the behavior – reported their observation to any of the nine possible reporting locations. A higher observation value is less favorable, whereas a higher reporting value is more favorable.

Ethics Outcomes

Specific Types of Misconduct: Observation and Reporting

31a through ff. Have you personally observed any of these behaviors among the City of Long Beach employees in the past 12 months? [Yes]

32a through ff. If you answered "Yes," you observed the specific behavior, where did you report you observation?

Response Options:
- I did not report
- City Auditor's Fraud Hotline
- My supervisor
- Higher management
- City Attorney
- City Manager
- Human Resources
- Other responsible person, including ethics officer
- An office or person separate from the City
- Other

Observed and Reported Misconduct – Specific Behaviors (Continued)

Specific Behaviors	Observed	Reported
Violating the City's policies relating to e-mail and/or Internet use	5%	23%
Delivery of services that fail to meet specifications or expectations	5%	54%
Violating employee wage, overtime or benefit rules	5%	42%
Sexual harassment	4%	33%
Violations of health and/or safety regulations	4%	47%
Falsification or misrepresentation of financial reports or records	3%	43%
Lying to customers, vendors, or the public	3%	41%
Misuse of the City's confidential information	3%	52%
Entering into contracts that lack proper terms, conditions, or approvals	3%	34%
Inappropriate alteration of the City's documents or records	2%	53%
Giving or accepting bribes, kickbacks, or inappropriate gifts	2%	37%
Violation of environmental regulations	2%	52%
Abusing substances, such as drugs and/or alcohol at work	1%	65%
Stealing the City's money, property, or products	1%	31%
Violating contract terms with businesses or suppliers	0.50%	90%
Breaching citizen or business privacy	0.40%	28%
Falsifying expense reports	0.30%	79%
Other type of misconduct not already listed	7%	56%

Note: The table shows the percentage of employees who observed the specific behavior and – of the subset who observed the behavior – reported their observation to any of the nine possible reporting locations. A higher observation value is less favorable, whereas a higher reporting value is more favorable.

Satisfaction after Reporting – Reporting Locations

How satisfied were you with the City's response to your report of the behavior at the following locations? (Rolled up)	CLB Overall
City Attorney	7 of 10*
My supervisor	114 of 243
Human Resources	33 of 79
City Manager	1 of 4
Other responsible person, including ethics officer	20 of 53
Higher management	37 of 102
An office or person separate from the City	13 of 42
City Auditor's Fraud Hotline	3 of 18
Other	23 of 67

Satisfaction with an organization's response to reporting is associated with an increased likelihood of future reporting of observed misconduct.

Employees who report may not see their desired outcome happen; however, ECI research has found that if they feel that the organization listened to them, treated them respectfully and reached a fair conclusion, they are more likely to be satisfied afterwards than if they feel the reporting, investigative and adjudicating process was not "procedurally just."

33. If you reported to a location, how satisfied were you with the City's response to your report of the behavior? [Satisfied or Very satisfied]

* The results in the table are based on a roll-up of a subset of employees who observed at least one specific form of misconduct and reported it/them. The table shows the counts who indicated that they were either satisfied or very satisfied after reporting to the indicated individual/location, and the total counts of observers who reported to that individual/location.
Presenting the results this way provides a more nuanced picture than would be presented if results were shown as percentages. For example, neither 70% (7 of 10) reporting to the City Attorney nor 25% (1 of 4) reporting to the City Manager convey the finding that these are lightly used resources by those who report observed misconduct. And, as good as 70% appears compared with 25%, both are based on small numbers of reporters and should be considered in that light. The 243 who observed misconduct and reported to their supervisor merits more attention as the consequences of that experience affect so many more employees.

Reasons for Dissatisfaction

In line with findings from ECI's research and work from client assessments, the primary reason for City employees to be dissatisfied after reporting was belief that corrective action was not taken.

Reasons for Dissatisfaction	CLB Overall
Dissatisfied - Corrective action wasn't severe or complete enough. (n=100)*	77%
Dissatisfied - The City chose not to pursue the claim. (n=75)	71%
Dissatisfied - I do not know if any action was taken. (n=137)	70%
Dissatisfied - I do not think the investigative process was fair. (n=90)	70%
Dissatisfied - I disagree with the results of the investigation. (n=86)	68%

Ethics Outcomes

ECI has found in its research and client work that the primary *reasons employees are dissatisfied after reporting* an observation of misconduct are related to:

- Lack of a response and/or insufficient corrective action,
- Doubts about confidentiality, and
- Fear of or perceived retaliation for reporting.

34. Think of the incident you were most dissatisfied with, were any of the following a reason that you were dissatisfied? [Yes, No]

Note: The results in the table shows the percentages of employees – of the subset who observed misconduct (general and/or specific), reported misconduct and were dissatisfied after reporting – who cited the listed reason as a reason for their dissatisfaction. A higher value is less favorable.
* 'N size' is the number of respondents who were dissatisfied on which the percentages are calculated. 'N sizes' vary due to employees selecting the "Don't know" response and not being included in the calculation.

Reasons for Not Reporting

In line with findings from ECI's research and work from client assessments, the top reasons City employees do not report misconduct stem from doubts that corrective action would be taken, doubts about confidentiality and fear of retaliation.

Reasons for Non-Reporting	CLB Overall
I did not believe corrective action would be taken.	78%
I did not believe I could report anonymously.	63%
I feared retaliation from management.	61%
I feared retaliation from my supervisor.	40%
I feared retaliation from my coworkers.	31%
I did not think it was significant enough to report.	39%
I did not believe it was my responsibility.	34%
I would have to report it to the person involved.	31%
I did not know whom to contact.	30%
The issue had already been addressed by someone else.	22%
I thought someone else would report it.	21%
I did not want to get someone fired.	20%
I was retaliated against in the past for reporting at the City.	20%
It was to my advantage to not report the misconduct.	20%
I resolved the issue myself.	16%

Note: The figure shows the percentage of employees – of the subset who observed misconduct (general and/or specific) and did not report at least one of their observations – who cited the listed reason as a reason for not reporting. A higher value is less favorable.

Ethics Outcomes

ECI has found in its research and client work that the primary *reasons employees do not report the misconduct they observe* are related to:
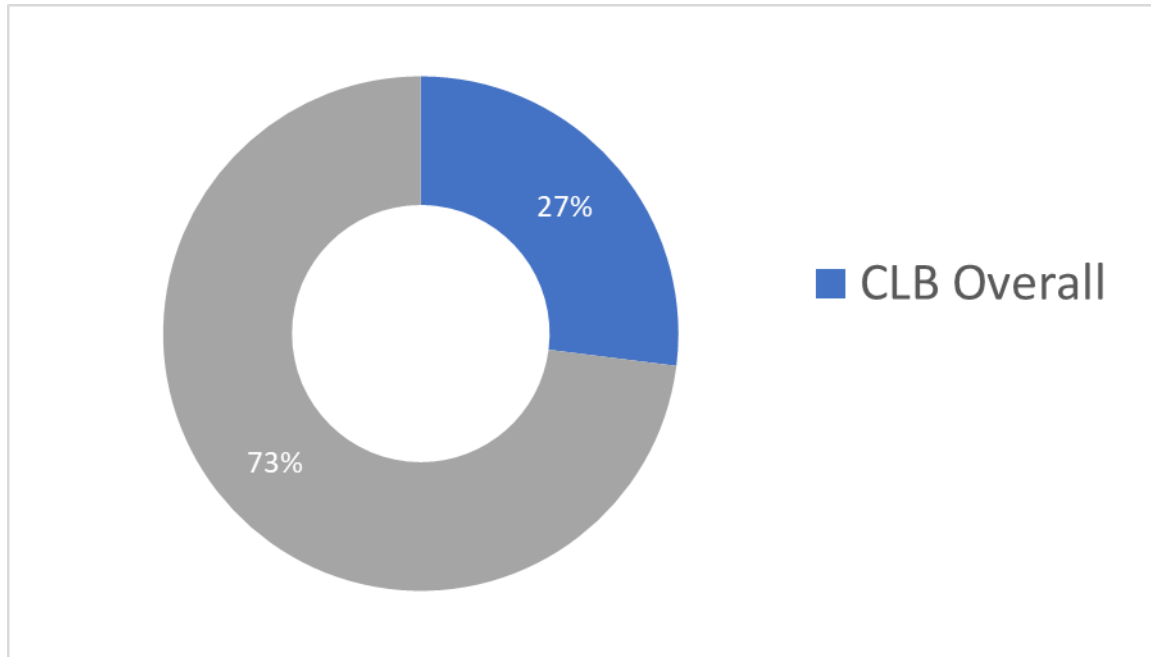
- Lack of a response and/or insufficient corrective action,
- Doubts about confidentiality, and
- Fear of or perceived retaliation for reporting.

41a through o. Keeping in mind the most serious incident you did not report, please indicate whether each of the following items influenced your decision not to report. [Yes, No]

Retaliation for Reporting

Perceived Retaliation

Overall, 27% of employees perceived retaliation for reporting misconduct they observed.

Ethics Outcomes

Retaliation dampens future reporting. Whether perception or reality, it's pertinent that an organization investigate all employee reports of retaliation.

37. Keeping in mind the most serious incident of misconduct you reported: Did you experience retaliation by your superiors or coworkers as a result of your report of misconduct? [Yes, No]

Note: The figure shows the percentage of employees – of the subset who observed and reported misconduct – who indicated that they perceived retaliation as a result of their report of misconduct. A higher value is less favorable.
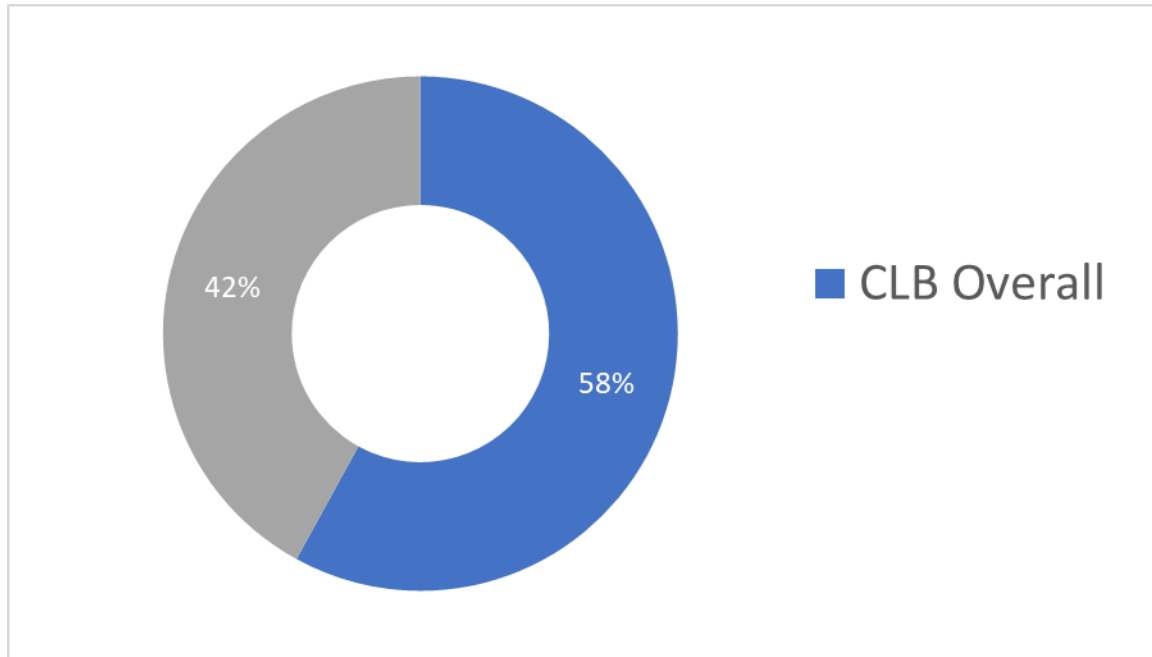
Reported Retaliation

Reported Retaliation

Overall, 58% of employees reported the retaliation they perceived for reporting misconduct.

Note: The figure shows the percentage of employees – of the subset who observed misconduct, reported misconduct and perceived retaliation – who indicated that they reported the retaliation they perceived to management or to another appropriate person.

Ethics Outcomes

Retaliation is a form of misconduct. Unreported retaliation can compound negative consequences for an organization already responding to an initial report of misconduct.

38. Did you report the retaliation to management or to another appropriate person? [Yes, No]

34

Types of Retaliation

In line with findings from ECI's research and work from client assessments, the primary types of retaliation City employees experience relate to exclusion of both a personal and/or professional nature.

Types of Retaliation (n=76)*	CLB Overall
My direct supervisor or management excluded me from decisions and work activity.	67%
Other employees gave me a cold shoulder (intentionally ignored me).	58%
I was given an unfavorable work assignment(s).	43%
I was not given promotions or raises.	38%
I was relocated or reassigned.	31%
I was verbally abused by my supervisor or someone else in management.	26%
I was verbally abused by other employees.	26%
I was demoted.	13%
I almost lost my job.	9%
My hours or pay were cut.	7%
I experienced physical harm to my person or property.	4%
I experienced online harassment.	3%
Other form of retaliation.	43%

Note: The results in the table shows the percentages of employees – of the subset who observed misconduct (general and/or specific), reported misconduct and perceived retaliation – who cited experiencing the listed type of retaliation. A higher value is less favorable.
*: 'N size' is the number of respondents who perceived retaliation on which the percentages are calculated.

Ethics Outcomes

Types of Retaliation

40a through m. You indicated that you experienced retaliation for reporting misconduct. What form of retaliation did you experience? [Mark all that apply]

Suggested Next Steps

The following are suggested ways to focus on opportunities revealed by the survey findings:

1. BUILD A HIGH-QUALITY E&C PROGRAM:
    - ✓ Raise awareness of program resources and increase use of advice resources (materials, locations offering advice and persons that provide advice and assistance);
    - ✓ Integrate ethical decision-making into "business" strategy;
    - ✓ Develop a SPEAK-UP CULTURE; create environments where employees can raise small and large concerns to others early on; and
    - ✓ Implement systems that RECOGNIZE ETHICAL SUCCESSES of employees who go above and beyond normal expectations.
2. STRENGTHEN ETHICS CULTURE by helping the highest levels of management be more visible in their demonstration of ethical conduct.
    - ✓ Enlist managers in developing action plans in response to the survey findings;
    - ✓ Use processes that cascade E&C strategies down through the employee hierarchy.
3. RAISE AWARENESS of reporting mechanisms and increase employees' understanding of the reporting process. Increase actions that:
    - ✓ Reinforce that addressing misconduct is important;
    - ✓ Affirm that corrective action will be taken;
    - ✓ Demonstrate that the reporting, investigative, and disciplinary processes are thorough and fair; and
    - ✓ Train supervisors in skills to recognize reports made to them, and steps to take in response to reports.
4. REDUCE RETALIATION in response to reports of misconduct.

The following are based on findings from the open-ended comments:

5. Strengthen adherence to MERIT-BASED POLICIES to hire, promote and assign work responsibilities.
6. HOLD EMPLOYEES ACCOUNTABLE for ethical conduct, and publicize, perhaps in anonymized form through case studies, events and ethical dilemmas and actions taken to address them.
7. Reinforce the City's commitment to high ethical standards to COUNTER ETHICAL FADING*; implement strategies that resonate with employees' job functions and that are readily achievable and visible to others.

* Ethical fading is a drag on ethical behavior; ignoring, minimizing or failing to recognize the ethical nature or implications of a decision or action.