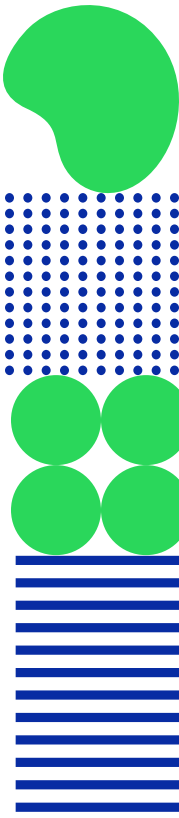


# ETHICS: LONG BEACH IS ALL ABOUT IT

December  
5~~X~~ 2021

Designing an  
Effective, Measurable and Sustainable  
Ethics Education Program



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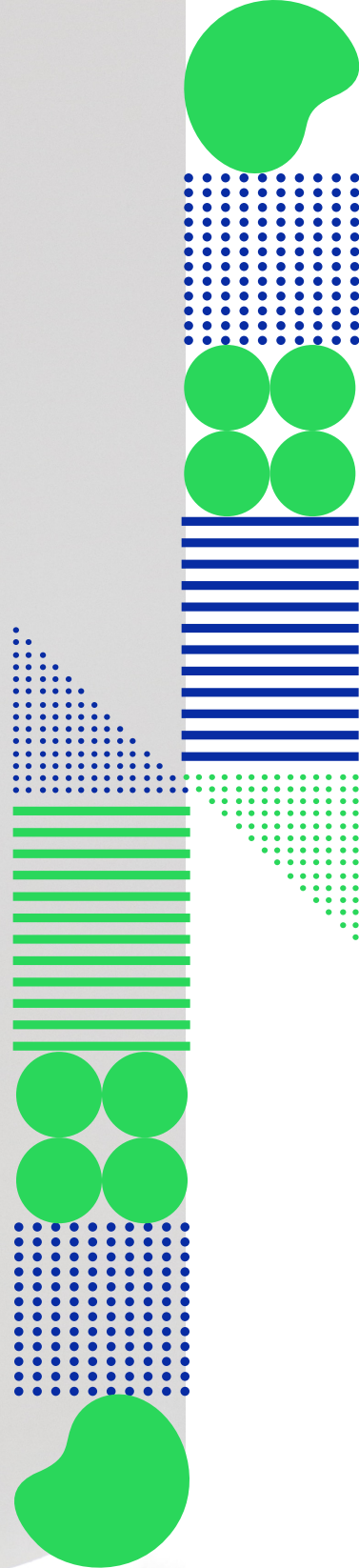
In completion for the  
Master of  
Public Administration  
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School of Public Policy  
University of Southern California  
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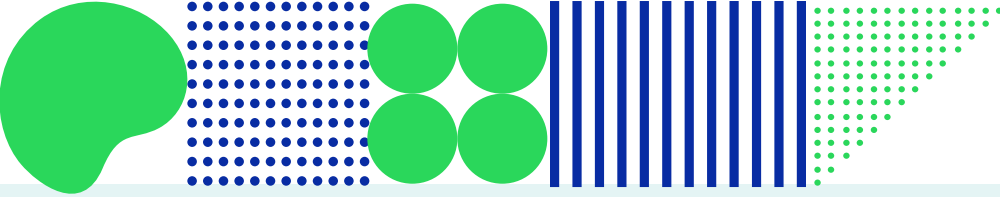




ARISTOTLE

“ Educating  
the mind  
without  
educating  
the heart  
is no education  
at all.





# ACKNOWLEDGEMENTS

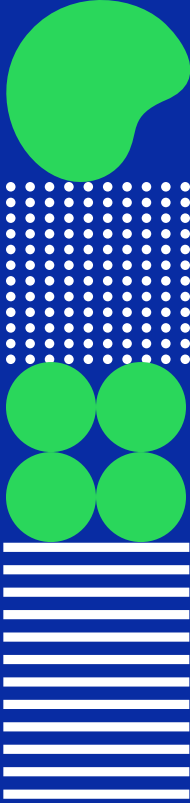
First and foremost, the research team would like to thank Julian Cernuda, Rebecca Garner, April Walker, J.T. Nagayama, Amy Webber and Tom Modica of the City of Long Beach for their support and assistance. We would not have been able to complete this project without their dedication, attention and invaluable input throughout this project. We were honored to work with them, and to assist the City of Long Beach.

Next, we would like to extend our sincere gratitude to Dr. Dora Kingsley Vertenten for her guidance.

Finally, thank you to our interview subjects, including from the City of Long Beach Ethics Commission, City Manager, City Auditor, City Attorney and Human Resources departments, and numerous other experts across the country. Each was generous with their time, providing the research team with crucial insights and direction.

# Content

- List of Figures and Tables
- Executive Summary
- Issue Statement
- Organizational Framework
- Research Methodology
- Research Findings
- Analysis
- Answering the Research Questions
- Recommendations
- References
- Appendices



# Figures and Tables

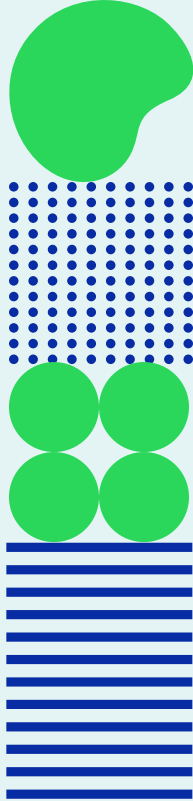


Figure 1: Opportunities and Challenges

Figure 2: Research Questions

Figure 3: Research Design Matrix

Figure 4: Data Collection Methods

Figure 5: Question 4 Survey Response

Figure 6: Question 10 Survey Response

Figure 7: Question 6 Survey Response

Figure 8: Logic Model

Figure 9: Power-Interest Grid

Figure 10: Question 3 Survey Response

Figure 11: Question 5 Survey Response

Figure 12: Question 6 Survey Response

Figure 13: Question 7 Survey Response

Figure 14: Question 9 Survey Response

Table 1: Cost Estimation

Table 2: Recommendations





## EXECUTIVE SUMMARY

The public service mission of government and the motivation of those drawn to the profession set the sector apart. Local governments, and staff members, interact with the public on a near-constant basis, and share the same streets, grocery stores, and schools as part of a single community. Maintaining a high level of public trust is essential to solving problems (Stevens, 2019). Unfortunately, trust between local governments and the public have frayed because of the hyper partisanship at the federal level and tensions over public health orders during the COVID-19 pandemic (Kettl, 2021). The City of Long Beach (City) is one of several local governments across California and the United States to make renewing that bond a priority (“Long Beach election results,” 2018). The City is focused on building an ethics education program that will “advance public trust and confidence in the City government” (“Ethics Commission,” n.d.-a). The report provides a comprehensive look at the events that led the City to this stage, as well as the opportunities, challenges, and context surrounding the effort. The report also provides an in-depth look at research on best practices for implementing an effective, measurable, and sustainable ethics education program. Following thorough analysis, the report presents five categories of recommendations, to define, develop, integrate, train, and communicate ethics, for how the City can implement the program. The program will bring ethics to the forefront of the culture and help to inspire the best out of those in the City.

**Maintaining a high level of public trust is essential to solving problems.**

**| Matt Stevens**

## ISSUE STATEMENT

### Purpose of Project

The 2018 City voter-approved Measure “CCC” called for ethics reform (City of Long Beach, n.d.). City elected officials and candidates have shown vulnerabilities to ethical dilemmas and greater emphasis should be placed on ethics within the City (Puente, 2019; Puente, 2020). Ethical concerns are documented to have significant ramifications for public support of government. In reviewing the scholarship regarding local government ethics initiatives, the following key points surfaced:

- Ethically questionable choices by local government officials strain public trust (Mozumder, 2021)
- Not enough opportunities currently exist for Long Beach City elected officials, appointed members, and employees to learn about government ethics (Doud, 2020; T. Modica, personal communication, October 7, 2021)
- Lack of an internal crisis involving the City employees translates into less urgency to act (Ashkenas, 2020)
- Training and educational programs often struggle to create sweeping change (Dutelle & Taylor, 2018; Mpofu & Hlatywayo, 2015; Nathan, 2016)
- Limited resources are available in the City (“Long Beach City Council adopts fiscal year 2022 budget, 2021”: T. Modica, personal communication, October 7, 2021).



## Identified Opportunities

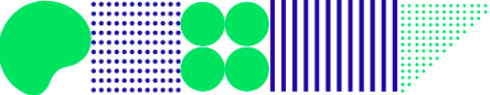
In setting out to develop a successful ethics education program, the City can benefit from several opportunities. First, both voters and leaders in the City have demonstrated a strong interest in accomplishing ethics reform. In the less than three years since “Measure CCC” passed, the City has made significant progress by establishing an Ethics Commission and conducting an employee survey and performance audit (Doud, 2020; Harvey M. Rose Associates, LLC, 2020). In response to the audit findings, Long Beach City Manager Thomas Modica (2020) emphasized his and the City’s focus on ethics reform in a memo to City Auditor Laura Doud. Stressing the importance of the topic to him personally, Modica (2020) wrote that he is fully committed to implementing programs and changes needed “to strengthen our ethics programs and to further set an expectation of a strong ethical culture for our entire organization” (para. 2). Modica (2020) provided a detailed “Management Response and Action Plan” matrix, laying out responsible parties, steps to take, and target completion dates. Modica’s (2020) memo sent a clear message that the City is serious about ethics reform. The City’s primary goal is to focus on outreach and engagement with employees, elected and appointed officials, and candidates. But internal improvements will also demonstrate to the public that ethics is a high priority within the organization.

## Recognized Challenges

The City faces several challenges in embarking on ethics education. From the literature, scholars note that there will be a natural reservoir of public skepticism or even opposition to reform efforts. Wechsler (2013) wrote that local government ethics programs aim for a lofty goal: to build “the public’s trust in those who govern their communities to put their interests aside in favor of the public interest” (p. 4). Public skepticism comes at a time when trust in local government is slipping (Kettl, 2021). According to Kettl (2021), “there’s time to patch the problem before the fractures spread further, but it will take some doing to prevent the hyper-partisanship of the American government from eroding it” (para. 1).

Misunderstandings exist over the meaning of ethics. Individuals often think of ethics on a personal level, but the definition takes on a different meaning when applied to an organization (S. McGinnis, personal communication, October 14, 2021). Organizations must define the concept in an understandable way for employees, according to ethics expert Suzan McGinnis (personal communication, October 14, 2021), who oversaw ethics programs for global retail corporations. Ethics may take on more specific meaning in the public sector, where employees become responsible for “preserving institutional rather than personal integrity” (Wechsler, 2013, p. 4). Ethics becomes about following laws and regulations and day-to-day decision-making when right and wrong are not always clear and unmistakable (Carlee, 2004). Government officials must also be aware of how they are perceived and “avoid even the appearance of impropriety” (Carlee, 2004, p. 3). Efforts at ethics education must clarify these essential points both internally and externally.

Many organizations teach only minimum legal standards, in a compliance-oriented approach. Designing a government ethics education program to truly help employees internalize their organization's values and go beyond the basics takes resources and commitment (Siewert & Udani, 2016; Warren et al., 2014). More significant investments could lead to increasingly effective training material, encouraging absorption of the knowledge being shared (Siewert &



Udani, 2016; Warren et al., 2014). Although ethics are seemingly learned more through social interaction than analytical training, content must align with organizational culture, no matter the format (Adkins & Mohlenkamp, 2018). Technology solutions could help the City achieve program goals, especially in the current COVID-19 climate. However, in-person interaction and discussion is also irreplaceable.

Accurately measuring the effectiveness of an ethics education program is also a challenge. In determining the most appropriate measures, an organization should consider training and educational formats, job descriptions, and public perspectives. A primary determinant of ethics training effectiveness at the municipal level is the “level of emphasis participants perceive their department to be devoting to ethics training” (Siewert and Udani, 2016, p. 283).

Fiscal sustainability is another challenge. Long Beach’s “Measure CCC” called for financial support to be “determined by the City Council, sufficient to conduct the Commission’s mission and business” (Parkin, 2018, para. 4). The City faced a significant budget deficit of more than \$30 million in the subsequent fiscal year (T. Modica, personal communication, October 7, 2021). Still, the Long Beach City Council adopted a \$3 billion budget for the Fiscal Year 2022 that added an ongoing ethics officer position and \$35,000 in one-time funding to support Ethics Commission work (“Long Beach City Council Adopts Fiscal Year 2022 Budget,” 2021). The program’s benchmarks of success must be easily understandable to demonstrate value and effectiveness. Showing clear progress towards goals will help secure ongoing funding and continuous innovation (SHRM, 2016).

The following figure (see Figure 1) depicts some key opportunities and challenges facing the City, in developing and implementing an ethics education program.



FIGURE 01: OPPORTUNITIES AND CHALLENGES





## ORGANIZATIONAL FRAMEWORK

### Where Does Ethics Fit In?

Understanding the environment in which the City operates is critical in planning for a successful ethics education program. The following study considers the existing City context in the following areas:

1. **City Structure:** The program must fit well within the City's organizational structure to be successful.
2. **Political Context:** Assessing political context is essential to understanding the current push for ethics reform.
3. **Resources Required:** Fiscal context provides a critical perspective on the level of resources available to implement a truly sustainable program.

### *City Structure*

The City is governed by charter and structured as a Council-Manager form of government (City of Long Beach, 2021-b; Long Beach City Auditor's Office, n.d.; National League of Cities, n.d.). The ethics education program will apply across the board to all positions (City of Long Beach, n.d.; T. Modica, personal communication, October 7, 2021). Decentralization built into the City's organizational structure allows for checks and balances. However, the City's decentralized nature can also make implementing an education program with measurable goals challenging because of the independence of some departments (Dutelle & Taylor, 2017; National League of Cities, n.d.). According to the City Manager, City culture is strong, but his office has limited oversight over some departments (T. Modica, personal communication, October 7, 2021). The Harbor department, for example, does not fall under the City Manager's authority. Witesman and Wise (2009) pointed towards a centralized governance structure as "more conducive to civil servant access to training" (p. 124). Without a centralized authority over all departments, the enforcement of training may be difficult.

Direction set by leadership is a primary driver of how the organization and employees approach ethics (Treviño et al., 1999, p. 141). Tomescu and Popescu (2013) pointed to leadership as "play[ing] a pivotal role in the search for integrity in public services (p. 204). At the City, leadership also includes elected officials and potential candidates who face particular outside pressures (Crim, 2018; T. Modica, personal communication, October 7, 2021). City Manager Tom Modica (personal communication, October 7, 2021) emphasized the importance of including elected officials and their staff in any ethics educational effort. With the elected officials selected by voters and term limits dictating turnover rates, training of elected officials could be time-consuming. With high turnover of leadership, Deloitte (2015) pointed out that "maintaining a consistent identity and set of values can sometimes be a challenge" (p. 10).

Elected officials may be less motivated to participate in the training if their time at the City is short. However, a potential lack of experience reinforces the need for the City to help elected and appointed officials and candidates with how to navigate situations that could be considered gray areas. Buus (2005) encouraged a proactive approach to leadership development, positioning ethics training as an opportunity rather than a requirement (p. 187). Despite a potential reluctance




of elected officials in some cases to complete more than what is required, research showed that ethics training of elected officials has been productive. In a study of elected local officials in Tennessee, Arms (2007) found a large majority of “respondents agreed or strongly agreed that ethics training can increase awareness of ethical versus unethical behavior” (p. 73).

Increased awareness of ethics can build public trust in local government. The community generally experiences local government through frontline workers who interact with the public daily (Engster, 2020). The City has a particular opportunity to build trust through these staff members (“Who is considered to be a frontline worker,” 2021). Other key audiences include candidates, elected and appointed officials, who are also in frequent contact with the public. Each group must be equipped to successfully handle a range of ethics-related scenarios (Engster, 2020).

### ***Political Context***

As one of the most populous cities in the United States, the City plays a vital role in the local, state, and national political landscape (Sager, 2018). With nearly 460,000 residents, the City is the 43rd largest municipality in the U.S. and seventh largest in California (“10 largest cities in California,” 2021; “The 200 largest cities,” 2021). Like much of Southern California, the City has become increasingly diverse and politically progressive (Munguia, 2021). The number of foreign-born residents in the City more than quadrupled in the late twentieth century (Munguia, 2021), and the number of Hispanic residents grew by 7% between 2010 and 2020 (Munguia, 2021; SOCDS Census data, n.d.). At the same time, significant shifts in registered voters’ political preferences have taken place, according to the California Secretary of State (“Report of registration as of October 20, 2008,” 2020; “Report of registration as of October 19, 2020,” 2020). By 2014, the composition of the City Council had become one of the most diverse in the United States (Stewart, 2014). Many saw Mayor Robert Garcia as representative of the City’s changing demographics, having been the youngest, first openly gay, and the first Latinx individual to ever serve in the role in Long Beach (Mouchard et al., 2019; Stewart, 2014).

Until recently, the City was among the few of the state’s 10 largest cities with no ethics, or closely related, commission. Peer cities, including San Jose, San Francisco, Los Angeles, San Diego, and Oakland, all had ethics commissions or close equivalents (Harvey M. Rose Associates, LLC, 2020). Previous ethics reform efforts failed in the City, including a 2007 ballot initiative that called for the creation of an ethics commission (“Proposition B,” 2007). At the time, opponents argued the proposition would lead to unnecessary bureaucracy (“Mayor says vote helps city,” 2007; “Proposition B,” 2007). Reform efforts in Los Angeles also influenced an earlier effort in 1990, but the Long Beach City Council ultimately rejected a draft ballot proposal calling for an ethics commission (Boxall, 1990; Kopetman, 1990). Opponents had again voiced concerns over the resources required (Kopetman, 1990).



# Ethics re-emerged as a pressing issue among voters across the country in 2017, as some experts declared the United States to be in an ethical crisis.

| ACKLEY, 2017; SIMON, 2017

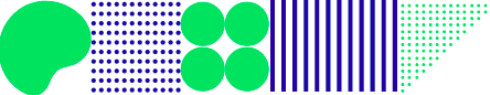
Going into the November 2018 midterm election, *Wall Street Journal*/NBC News polling showed voters ranked combating corruption a top priority (Hook, 2018). City voters approved the City's version of ethics reform by a wide margin as part of the "good government" reform agenda backed by Garcia (Haire, 2018). About 38% of voters opposed the measure (Votes cast by community, 2018).

One of the key features of the public sector fundamentally different from the private sector is the urgency to reflect constituents' views (Wilson, 1887, p. 200). With governments across the United States facing shallow levels of public trust, the policy strategy behind government ethics programs is to rebuild partnerships with the public ("Public trust in government," 2021; Wechsler, 2013). Disconnection between government and voters can lead to less public participation and ultimately more trouble solving society's problems (Stevens, 2019; Wechsler, 2013). City officials must find a balance between harnessing and representing the will of most voters and using discretion to implement reforms, knowing that not all are in favor of ethics reform.

## ***Resources Required***

The fiscal context in which the ethics education effort is being launched indicates limited resources. Unlike some programs or initiatives, Measure "CCC" did not spell out specific budget requirements, instead stating that the municipal code will address the financial needs (City of Long Beach, n.d.). The City's budget is presented by the City Manager to the City Council for approval (City of Long Beach, 2018). The measure called for the Ethics Commission to have a budget, "as determined by the City Council, sufficient to conduct the Commission's mission and business" (City of Long Beach, n.d., Measure CCC). Therefore, the measure relies on City Council members and other City leaders to interpret and determine an appropriate level of funding (T. Modica, personal communication, October 7, 2021).

In a sign of the importance of the ethics education program, the City Council in 2021 voted to add an ethics officer position and one-time funding as part of the FY 22 budget, despite a significant projected shortfall (City of Long Beach, 2021-b; "Long Beach City Council adopts the fiscal year 2022 budget," 2021). On March 17, 2021, the City Council passed a \$234 million Recovery Act in response to the pandemic (City of Long Beach, 2021-a). The Act includes "\$30 million to eliminate the FY 2022 budget deficit" to avoid impacts to critical services in support of recovery (City of Long Beach, 2021-a). While no additional funding is allocated for the City's Ethics Commission or ethics education program through the Act, closing the budget deficit may give the City more flexibility to direct future funding to the commission and program.

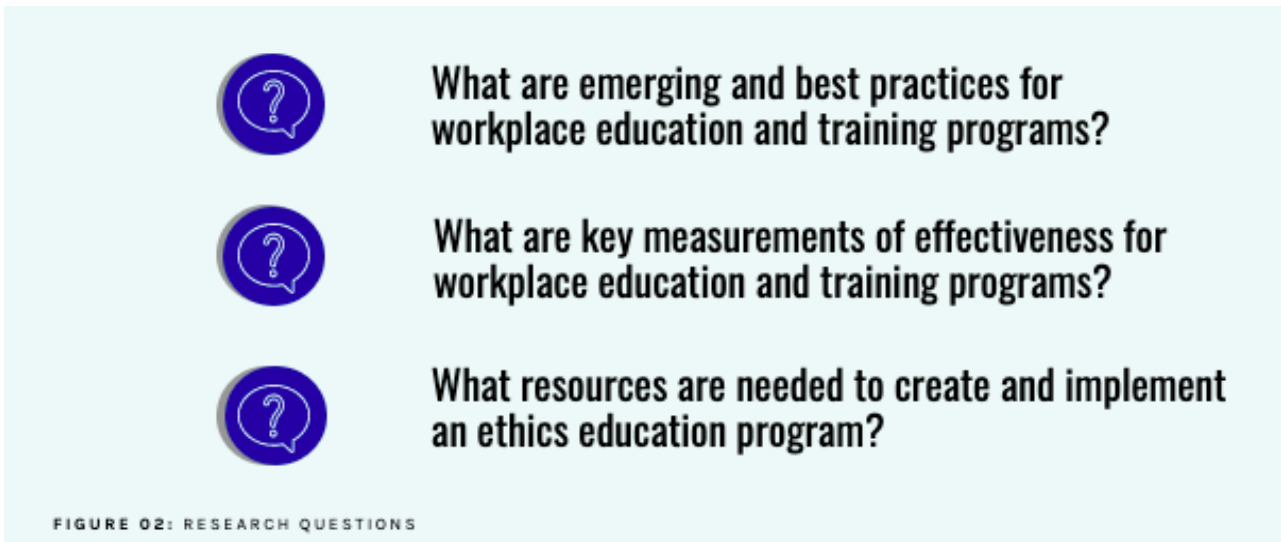


The City currently uses low-cost options such as email, as well as an internal online portal, kiosks, payroll stuffers, postcards, posters, and flyers to provide communications (R. Garcia and F. Verdugo, personal communication, October 19, 2021). Employees can find training and development offerings via the internal portal (R. Garcia and F. Verdugo, personal communication, October 19, 2021). In addition, the City reaches frontline workers, particularly those with limited computer access, by ensuring supervisors are aware of available training and sharing information with employees (R. Garcia and F. Verdugo, personal communication, October 19, 2021).

**RESEARCH METHODOLOGY**

**Statement of Intent**

The research team looked at emerging and best practices, measurements of effectiveness, resources needed, and implementation options that could form the foundation for a successful ethics education program. The research team gathered a wide variety of data through multiple methods, including open-source research on outside practices, study of current City ethics practices, semi-structured interviews, survey questionnaires and additional research on resources needed for the program. The research team then analyzed the data using a review of emerging and best practices, logic model, power-interest grid, interview response matrix, survey analysis and cost estimation. Finally, the research team developed recommendations, with the goal of moving ethics to the forefront of the City culture, inspiring all those in the City orbit and, ultimately, forming a stronger partnership with the public.

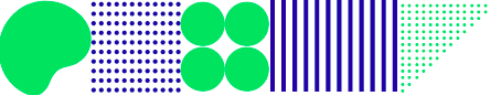


**Analysis Criteria**

The research team developed three criteria to analyze whether practices identified through research should be applied to the City. The research team used the three criteria to ultimately develop findings and recommendations.

<b>EFFECTIVENESS</b>	Does the emerging practice contribute to the effectiveness of an ethics education program at the City?
<b>IMPACT</b>	Does the practice represent a sound method of measuring impact?
<b>SUSTAINABILITY</b>	Does the practice contribute to resource sustainability of the ethics education program?





Research Design

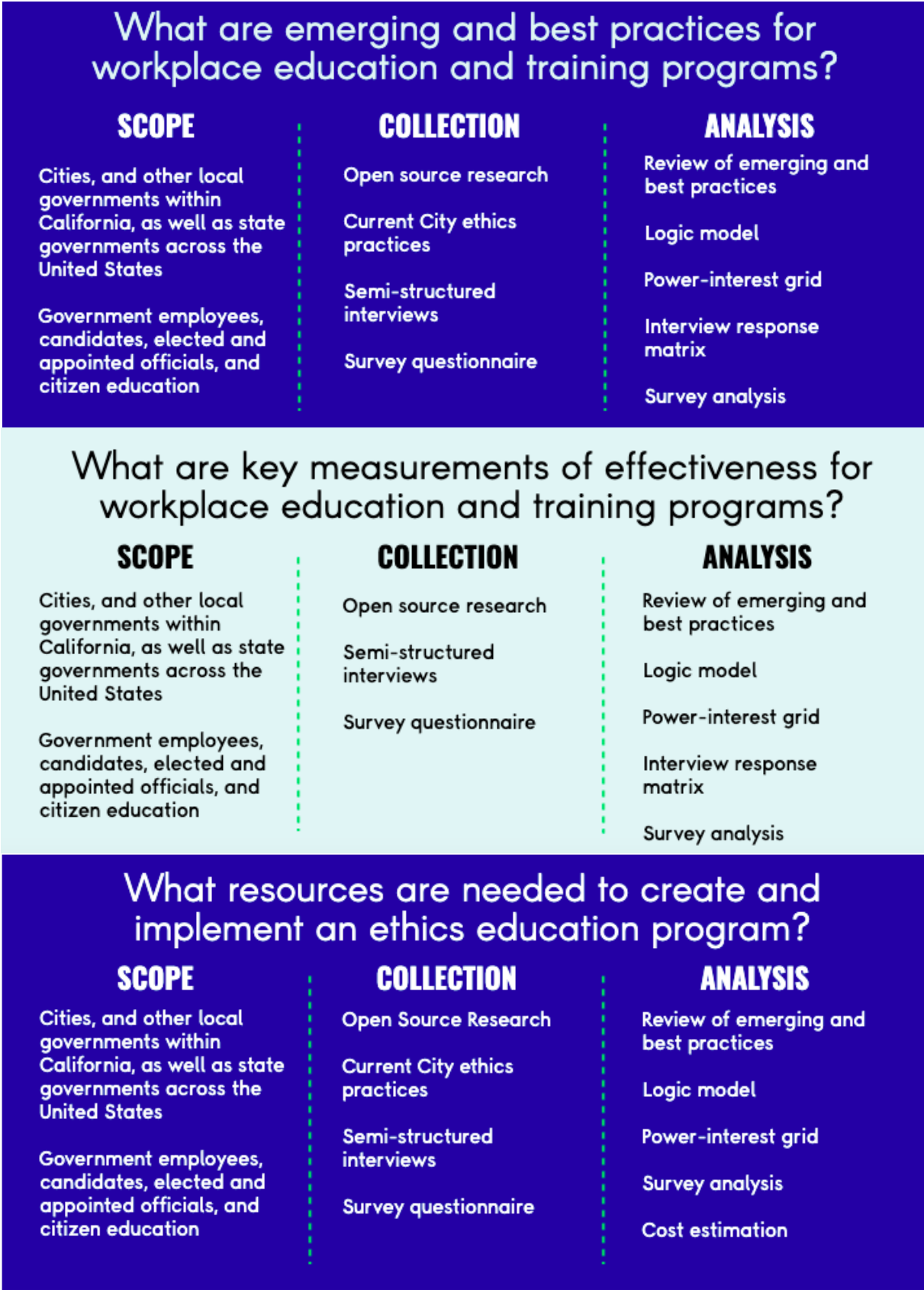


FIGURE 03: RESEARCH DESIGN MATRIX

## Data Collection

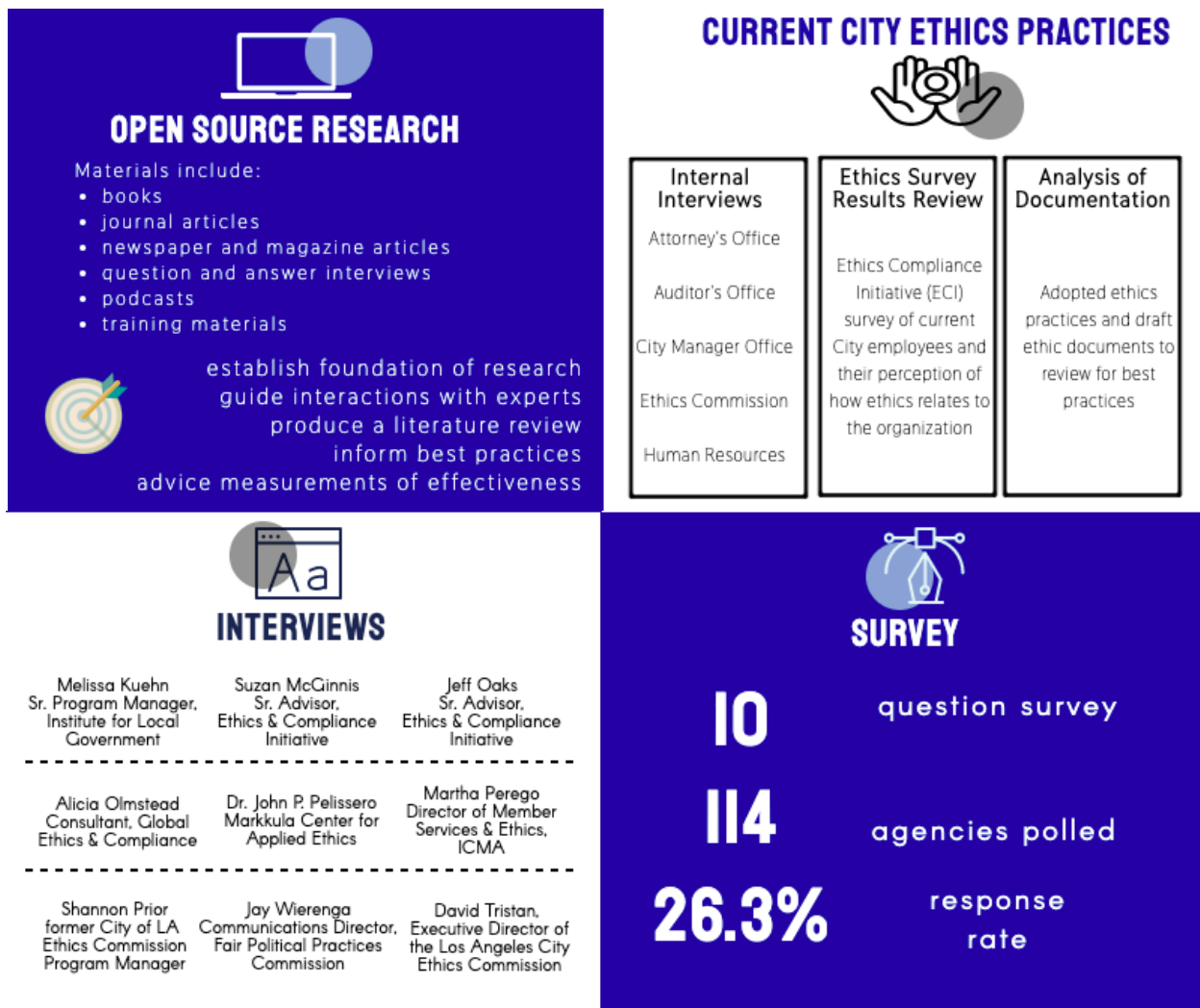


FIGURE 04: DATA COLLECTION METHODS

### *Open-Source Research on Outside Practices*

The research team researched and read a variety of materials that discussed ethics-related theories and practices outside of the City. Materials included books, journal articles, newspaper and magazine articles, question and answer interviews, podcasts, and other training materials. The open-source documents helped to establish a foundation of research, to guide interactions with experts and lead to a review of emerging and best practices (Bowen, 2009). In addition to academic journals and books, research included documents from state agencies, local governments, and ethics-related research institutes. The research did not always apply to the City based on policy and leadership preferences, and funding availability. The research team closely assessed the experiences of other jurisdictions and advice of experts, keeping in mind the specific needs of the City.



### ***A Look at Current City Ethics Practices***

The research team also studied the City's current practices to understand the prominence of ethics in the City culture and structure. Research methods included interviewing City representatives and reviewing the results of a recent ethics survey of City employees, a recent ethics performance audit of the City and existing City ethics-related documentation including codes, policies, and procedures. The research team conducted interviews with departments including the City Manager, City Attorney and City Auditor, and City Clerk (see Appendix A). The team also gathered feedback and spoke with the Ethics Commission in public sessions, as well as Julian Cernuda, Special Projects Manager, and the main client contact. The team provided interview questions prior to meetings, excluding the Ethics Commission, which responded to questions via email with a follow-up study session at a public meeting. The team sought to understand the City's primary goals for an ethics education program, as well as definitions of program success, important training topics and intended program impacts.

### ***Semi-structured Interviews***

Semi-structured interviews with outside experts yielded valuable research on emerging and best practices in ethics programs, along with related experiences of other public and private organizations. The semi-structured interview is limited as a research method due to human bias and inaccurate data analysis (Dorussen, 2005; Miller & Salakind, 2002; Van Audenhove, 2007; Wolfe, 2020). To mitigate these risks, the research team built consistency into the process by developing a list of common questions to ask experts, and then analyzing the responses (see Appendix C). In all, the team conducted nine semi-structured interviews with outside ethics experts from across the United States. The team identified outside experts using research methods, as well as the results of the survey questionnaires. Experts included current and past ethics officials from the cities of Los Angeles, California and the City of Austin, Texas, as well as current staff and advisors to the Institute for Local Government (ILG), Fair Political Practices Commission (FPPC), Ethics & Compliance Initiative (ECI), International City/County Management Association, and Markkula Center for Applied Ethics at Santa Clara University.

The team asked interviewees questions based on a standard interview procedure (Appendix C), adapted slightly to fit the expertise of individual interviewees. The team conducted each interview via Google Meet or through email. Team members provided an introduction at the start of each interview, summarizing the project and explaining how the team planned to use responses collected. The team explained that the final product would become public record and asked about any privacy concerns. Along with other research collected, the information formed a foundation of emerging practices in ethics education, and strategies for developing the program. Interviewee biographies can be found in Appendix D and interview notes are broken down by interviewee and can be found in Appendices E-L.

### ***Survey Questionnaires***

The research team also developed and distributed an online survey questionnaire, with the goal of gathering insight on emerging ethics practices and programming in the public sector (Fowler, 2009; Gable, 1994; Kelley et al., 2003; Salaria, 2012). Primary limitations with this method included the self-selection bias of those respondents who chose to provide descriptive and timely responses. Those who do respond can provide detailed information not available through open-source methods (Fowler, 2009; Gable, 1994; Kelley et al., 2003; Sue & Ritter, 2007). The team



sent the survey to 114 local and state government agencies with ethics commissions, ethics education programs, or both. To improve comparability, the team distributed the largest proportion of surveys to local governments in California (Fowler, 2009; Kelley et al., 2003; Salaria, 2012). The team distributed surveys by email and collected responses through Google Forms. The survey included 10 questions and provided respondents with an opportunity to discuss answers in-depth via an interview with the research team (Fowler, 2009). Thirty agencies completed the responses, generating a 26.3% response rate. A copy of the survey, as well as a list of survey recipients, are provided in Appendices N-O.

**“Your company's security depends on  
your employees' decisions.  
That's not a compliance issue.  
That's a culture issue.”**

| Nata Dvorak and Jennifer Robison

### **Ethical Considerations**

The University of Southern California's Office for the Protection of Research Subjects provides ethical standards and guidance for research projects undertaken by those affiliated with the university (USC Office for the Protection of Research Subjects, n.d.). Project research focused primarily on identifying emerging and best practices for developing and implementing workplace ethics education programs in local government. Therefore, there was no risk to human participants. Data collection and analysis methods did not include human participants. Contact with humans was limited to those stakeholders involved in the project from the City as well as expert individuals in the field of ethics. Based on the research design, the project was exempt from review. However, ethical considerations still applied, such as providing basic identity protections (USC Office for the Protection of Research Subjects, n.d.).

## **RESEARCH FINDINGS**

### **Purpose**

Based on the extensive data collected across both the public and private sectors, the research team produced a series of findings that will support the foundation of an ethics education program at the City. Presented in the format of a best practices review, findings stem from the three key analysis criteria of best practices for workplace education and training programs, measures of effectiveness and resources required for implementation.

### **Review of Best Practices**

The research team focused on a review of best practices, which are methods that have “consistently been proven effective through the most rigorous scientific research” and have been “replicated across several cases or examples” (Canadian Observatory on Homelessness, 2021, para. 4). The team divided findings into the following general topics, with a few subsections: Legal Foundations, Local Government Ethics Education in Action, and Best Practices in Ethics Education, with several subsections.





### ***Legal Foundations***

In 2005, then California Governor Arnold Schwarzenegger signed State Assembly Bill (AB) 1234 into law (Institute for Local Government, 2012). The law requires elected or appointed officials compensated for their services or reimbursed for expenses to complete two hours of training on ethics principles and laws every two years (Institute for Local Government, 2012). The training must include review of laws relating to financial gain, officeholder perks, transparency, and fair processes (Institute for Local Government, 2012). Officials then provide proof of participation in training for at least five years (Institute for Local Government, 2012). However, there is currently no specific penalty for non-compliance (Institute for Local Government, 2012). The law does not require certified professionals to provide the training, but attorneys licensed to practice in California must teach the ethics law portion (Institute for Local Government, 2012).

### ***Local Government Ethics Education in Action***

Research highlighted examples of successful ethics education programs in other local governments across the United States in recent decades. First, the citizens of Wyandotte County and Kansas City, Kansas, voted to merge the jurisdictions in 1997 and “do away with a long history of political corruption and employee misconduct” (Manske & Frederickson, 2004, p. 18). The efforts were seen as a model for how to carry out ethics reform. Changes included administering an oath to employees at the end of the first training session and leading participants in robust training discussions (Manske & Frederickson, 2004). Second, in 1996, Miami-Dade County created an Ethics Commission in response to a voter-approved measure (“Ethics Commission,” 2019). Miami-Dade’s commission is considered an independent agency with advisory and quasi-judicial powers. The commission provides training and a registry of ethical issues within the County (“Ethics Commission,” 2019). The reforms were seen as fruitful, leading to increased public trust through greater transparency (“Ethics Commission,” 2019). Finally, the City of Naples, Florida, developed a powerful motto, “Ethics Above All Else” that inspired those tied to the organization to make ethics their highest priority (Paine, 2019, para. 5). The motto was backed up by a serious commitment by the City’s leadership, and ethics training for every staff member (Paine, 2019). Training included candid conversations about ethics. A committee of 27 employees also led an effort to identify and define the City’s core values. The committee developed an employee survey that received an 88% response rate. The City developed customer service standards tied directly to the City’s values (Paine, 2019).

### ***Best Practices in Ethics Education***

Bodenger and Steiner (2017) caution that while “there is no single ‘best’ or ‘one-size-fits-all’ ethics program for an organization,” there are several key elements to building a successful program (p. 19). The purpose of an ethics education program is “to protect an organization by detecting and preventing improper conduct and promoting adherence to the organization’s legal and ethical obligations (Bodenger & Steiner, 2017, p. 19). Experts describe a fundamental difference between compliance and ethics, or integrity-based, programs being on opposite ends of a continuum (Geddes, 2017; Weinstein, 2019). While compliance is centered on following formal laws and regulations, ethics focuses on doing what is right, and moral judgment and character, perhaps going beyond the requirements (Weinstein, 2019). Geddes (2019) argued that the best approach for organizations to take is to blend compliance and ethics-oriented aspects



into an overall ethics program. On the compliance end, Bodenger and Steiner (2017) found that essential program components include adopting written policies and procedures, a compliance officer and compliance committee, open lines of communication, effective training and education, internal monitoring and auditing, and responsive action following detected deficiencies (Bodenger & Steiner, 2017). Additional best practices include disciplinary processes, management and employee accountability, investigations, and corrective policies to handle allegations, and incentives and rewards for ethical behavior (Kaptein, 2015; Bodenger & Steiner, 2017). Particularly important to local government ethics programs are the availability of quality training and opportunities to seek timely, professional advice on ethics (Wechsler, 2013). Finally, the program must align with leadership goals (SHRM, 2016; The Institute of Business Ethics, n.d.).

### **Creating Clear Ethical Standards**

Numerous interviewed and published experts pointed to a need to define ethics, and develop or revise an organization's ethics code, as important foundational steps. Manske and Frederickson (1997) describe the ethics code as one of "four pillars" upon which a comprehensive ethics program sits (p. 18). Protiviti KnowledgeLeader (2019) described the development of an ethics code as a key step for implementing a strong ethics program. An easy-to-understand code of ethics can ensure that members of an organization are "clear on the mission, values and guiding principles" (Leonard, 2019, para. 1). Experts interviewed also advised that ethics education and training programs can successfully engage audiences by first defining ethics and ensuring that audiences understand how ethics specifically applies to them (S. McGinnis, personal

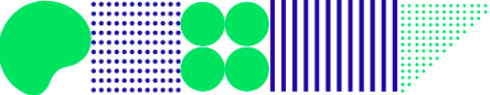
**73%**  
**OF GOVERNMENT**  
**AGENCIES**  
**USE AN ETHICS CODE**

communication, October 7, 2021). To gauge current public sector practices on ethics codes, the research team asked agencies how they define ethics as part of the survey (see Appendix N). The research team asked respondents whether their agency developed a custom code or used a local or state code of ethics. Of those responses received, the largest proportion reported either developing a code (23.3%) or using a City code (20%), while another 30% reported using a state code or definition of ethics. In all, more than 73% of respondents said they used an ethics code.

However, just having a code isn't enough, according to research. Ethics codes should be "updated regularly as new challenges emerge" (Protiviti KnowledgeLeader, 2019, para. 12). The codes should also align with the organization's values and include "the full range of ethical dilemmas employees are likely to face" (Protiviti KnowledgeLeader, 2019, para. 12). Ensuring that members of the organization are familiar with the code will increase both its actual and perceived usefulness (Wotruba et al., 2001). Adams et al. (2001) found that companies with an understandable and well-communicated code of ethics saw less unethical behavior.

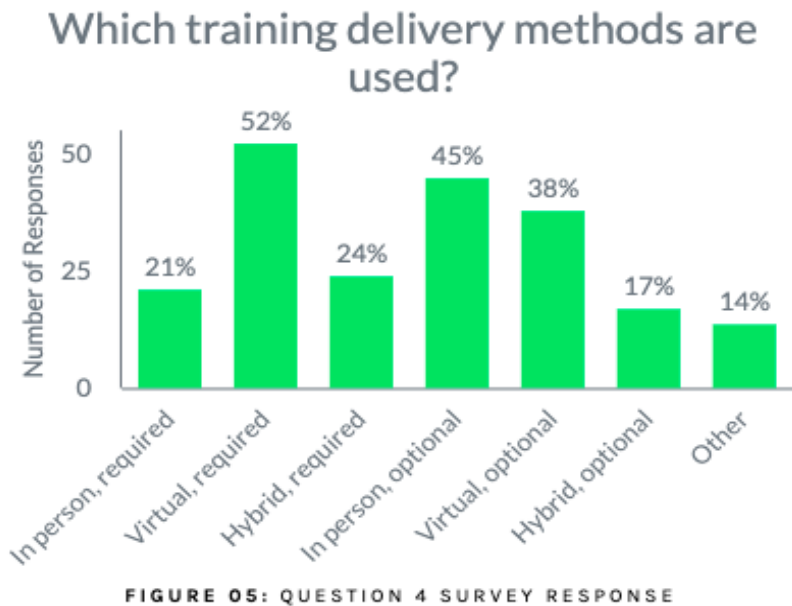
### **Training Techniques**

Research identified general best practices for the duration and frequency of training offered, levels of training engagement with employees, and benefits of training public sector employees. First, experts presented varied findings related to the frequency and type of training provided.



Compliance Podcast Network (2019) encouraged replacing annual hour-long training sessions with short “refresher” courses conducted throughout the year. Others argued that an overall annual training should be provided, in addition to other training strategies throughout the year (Getha-Taylor et al., 2015; Warren et al., 2015). Second, in developing or updating any internal training program, the use of employee feedback is crucial (SHRM, 2016). Employers should design programs that are engaging, non-legalistic, flexible, and optimized to eliminate redundancy (Compliance Podcast Network, 2019). Along these lines, organizations can also use internal, one-on-one conversations as training tools (Breagh, 2021; Brumback, 1991; The Business of Learning, 2020). Third, Chen et al., (2021) found that training can improve public service motivation (PSM) among public sector employees, especially when employees are highly satisfied with the training.

Research also discussed the benefits and disadvantages of in-person and virtual training. Benefits of in-person training included a higher likelihood of active participation, which can encourage dialogue (Meinert, 2014; Todd et al., 2017). Ponemon and Felo (1996) found that live instruction also led to better retention of knowledge and that smaller class sizes led the “discussions to flow more smoothly” (p. 66). Meanwhile, virtual training allowed for easier tracking and distribution (Meinert, 2014) and was more economical (Ponemon & Felo, 1996). However, employees were less likely to retain information, with less active participation compared to in-person training (Todd et al., 2017). Respondents to the research team’s survey most frequently reported offering the following types of training: virtual-required (51.7%), in-person optional (44.8%), and virtual-optional (37.9%) (see Figure 5). Timing of the survey during the COVID-19 pandemic likely led to higher uses of virtual training than otherwise expected.



Research also turned up several best practices specific to ethics-related training. Dutelle and Taylor (2015) described ethics training as particularly important for those in the public sector, who face a higher level of scrutiny. Experts interviewed stated that a key best practice in ethics education and training programs is helping individuals understand how ethics apply to their position and department through discussions of practical, real-world examples (Bodenger & Steiner, 2017; Kaptein, 2015). Ponemon and Felo (1996) argued that ethics programs must offer a "training and awareness program that enhances managers' and employees' sensitivity to their ethical roles within the organization" (para. 1). Former Los Angeles City Ethics Commission



Program Manager Shannon Prior (personal communication, October 21, 2021) emphasized that ethical challenges can vary widely by the department, level, and role of the individual. Both Prior (personal communication, October 21, 2021) and Alicia Olmstead (personal communication, October 26, 2021), a former ethics official for the City of Austin now working for a major technology company, suggested researching “pain points or dilemmas” faced by participants. The information can be used to build a training scenario and even saved for the future (A. Olmstead, personal communication, October 26, 2021). Holding discussions of real-world scenarios helps employees understand how ethics applies to them (Martin, 2011; SHRM, 2016; Wechsler, 2013). Scenarios should apply to a participant’s role or department (Martin, 2011; The Business of Learning, 2021-a; Wechsler, 2013). Designing training or discussions that challenge audiences to think through how they would respond can be highly effective (Martin, 2011; Mpofu & Hlatywayo, 2015; Paine, 2019; SHRM, 2016). Participants come away with “ethical decision-making paradigms that are more durable than any policy could be” (Martin, 2011, para. 6).

Ponemon and Felo (1996) warned that employees tend to be skeptical of ethics and compliance programs, assuming that “the message of such training is not in their own interests” (para. 2). Trainers can overcome doubt by showing audiences the program’s real commitment to ethics (Ponemon & Felo, 1996, para. 2). Ethics training “should not be centered around accreditation or

**57%**  
**OF GOVERNMENT**  
**AGENCIES**  
**OFFER TRAININGS**  
**BEYOND LEGAL**  
**REQUIREMENTS**

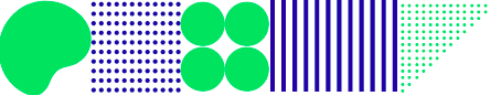
compliance with rules and regulations,” but rather focus on values, operational strategies, and ethical decision making (Dutelle & Taylor, 2018, p. 186). Results of the research team’s survey (see Figure 2) showed that a majority (56.7%) of agencies offer more extensive ethics training than is legally mandated. At the same time, ethics training does not significantly change values and opinions of individuals but helps increase critical thinking skills and appreciation for opposing viewpoints (Klugman, 2006). Ethical training is about the why behind behavior, helping to “stimulate an understanding of the rationale used for making ethical decisions” (Dutelle & Taylor, 2018, p. 183).

Dutelle and Taylor (2018) also suggested that before rolling out ethics training, leaders must first respond to ethical problems within an organization. “When personnel are ordered to ethics-based training and a glaring unethical situation within an agency is not addressed, administrators are viewed as hypocrites - lack of training does not reduce leaders’ responsibility” (Dutelle & Taylor, 2018, p. 184). Dutelle and Taylor (2018) also suggested that ethics training was particularly important for those in the public sector, who face a higher level of scrutiny. Public sector agencies should look at teaching about topics including statutory regulations and requirements, organizational policies, and procedures, and the “best interests of the public, the organization and those victimized by unethical behavior” (Dutelle & Taylor, 2018, p. 181).

### **Communicating Ethics**

Experts suggested teaching ethics not only through training, but by integrating messages throughout an organization’s communications (Protiviti KnowledgeLeader, 2019). The research team’s survey polled methods of internal communication used by local and state government





ethics programs. Responses showed the highest ranked methods to be email (53.3%), online platforms (30%) and other methods (30%) (see Figure 3). Other methods consisted of providing training, interacting through department liaisons, Statement of Economic Interests (Form 700) filings, word of mouth, and annual reports.


An effective communications strategy within organizations is to reach employees through front-line supervisors and mid-level managers (A. Olmstead, personal communication, October 26, 2021; S. McGinnis, personal communication, October 7, 2021). McGinnis (personal communication, October 7, 2021) stressed the importance of helping managers “understand and see the vision, and what the ethics program means to their business” to then share with employees (“ECI Senior Advisors,” 2021). Middle-management is the organizational level at which much of an organization’s work gets done (A. Olmstead, personal communication, October 26, 2021), and key to organizational communications and employee relations.

**“Communications cannot be assessed in a vacuum. Their effectiveness depends on how aligned they are with the overall purpose of the organization and the key strategies that flow from it.”**

| Chris Musser and Gerard Taboada

Accuracy in communications is also vital (Guttermann, 2013). Anaejionu (n.d.) suggested that organizations revisit messaging related to “values, mission, goals and ethical policies” and identify “any misleading wording or failure to communicate company initiatives” (para. 2). Clarifying messaging is then important, if possible, with involvement from up and down the organizational hierarchy (Anaejionu, n.d.). Nink and Robison (2020) agreed, stating that ethics, integrity, and compliance are abstract concepts that need clarification. Employees must also understand the purpose of their organization (Institute of Business Ethics, n.d.). Strong communications that clearly convey purpose strengthen trust within an organization (Dutelle & Taylor, 2018). Experts advised that keeping ethics messaging at the forefront of the City’s culture and using every available channel to spread the news will strengthen the culture. Olmstead (personal communication, October 26, 2021) and Prior (personal communication, October 21, 2021) both suggested keeping messages and awareness alive through newsletters, posters, in meetings, on the intranet, and during events. Utilizing a calendar to target and communicate (by season or cycle) reminders of all things ethics and compliance will help establish a year-round presence (S. Prior, personal communication, October 21, 2021; D. Tristan, personal communication, November 4, 2021). Tristan (personal communication, November 4, 2021) said his staff is careful to not overwhelm audiences with messaging, but to carefully select when and what to send.

Another communication best practice is making documents on policies, procedures, and codes accessible (Bodenger & Steiner, 2017; Wechsler, 2013). Providing a clear explanation of an organization’s expectations for employees through written documentation is important (Bodenger & Steiner, 2017; Kaptein, 2015; Leonard, 2019). Documents can include disclosures of potential conflict-of-interests, as well as enforcement mechanisms and whistleblower



protections (Wechsler, 2013). The City currently offers some legal and compliance-oriented ethics-related materials. The documents have set a mostly formal tone, providing information on minimum requirements for employees, elected and appointed officials, and candidates. Many of the documents and materials are now gathered on the Ethics Commission webpage (Ethics Commission, n.d.-b).

### **Building an In-House Ethics Team**

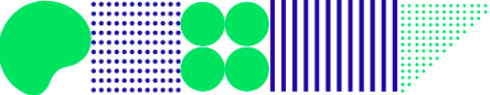
Organizations with effective ethics programs appoint an ethics officer or establish an ethics department or agency (Bodenger & Steiner, 2017; Hogenbirk & van Dun, 2021; Kaptein, 2015; Navran, 1997). SHRM (2021-a) describes an ethics officer as an organization's "internal control point for ethics and improprieties, allegations, complaints and conflicts of interest," offering advice and leadership (para. 1). The ethics officer works to ensure that "ethics systems are in place and functioning" (Navran, 1997, para. 9). A study of 110 ethics officers across large Dutch organizations found that employees in the positions can "play a key role in improving ethics program effectiveness," particularly using innovative approaches (Hogenbirk & van Dun, 2021, p. 76). Innovation in this context refers to developing and introducing new ideas and practices that lead to positive results (Al-Haddad & Kotnour, 2015; Hogenbirk & van Dun, 2021; Soderholm, 1989).

### **Answering the Call for Ethics Advice**

Employees must feel safe in considering whether to raise ethics concerns or ask for advice. Olmstead (personal communication, October 26, 2021) found that if employees don't trust that they will be protected after raising ethical concerns or questions, employees will hesitate to seek help. Organizations should work to move from offering "a hotline to a helpline" on ethics, "providing counsel and guidance as opposed to doing investigations, allegations and cases" (S. McGinnis, personal communication, October 7, 2021).



Olmstead (personal communication, October 26, 2021) emphasized that agencies should hire an outside party to manage a helpline and ensure the anonymity of those reporting or calling for assistance. Results from a recent ECI-conducted survey at the City showed that respondents most frequently declined to report ethics-related misconduct due to not believing follow-up action would be taken (78%) or that they could report concerns anonymously (63%) (Doud, 2020). Respondents also stated that they expected retaliation from either management (61%), a supervisor (40%) or co-workers (31%) (Doud, 2020). Most respondents who selected that they had reported misconduct and experienced retaliation stated that they were excluded from decisions or work activity (67%), ignored by colleagues (58%), or received unfavorable work assignments (43%) (Doud, 2020). Of the reasons for dissatisfaction after reporting misconduct, respondents said they did not believe that appropriate corrective action was taken (77%) or that anything was done (70%) (Doud, 2020). Even though the survey found a relatively high level of ethical conduct and ethical perception among respondents, the results indicated room for improvement. The ECI survey results also highlighted the need to reduce retaliation for reporting unethical conduct, by promoting a culture of speaking up by educating employees on the reporting process and involving leadership at all levels (Doud, 2020).



Offering an ethics helpline or reporting line provides a mechanism for employees to report wrongdoing and seek help, which assists an organization in building a more proactive, rather than reactive, culture (Kaptein, 2015; Weaver et al., 1999). Navran (1997) reported that asking for help is critical, so that organizations can “provide guidance and interpretation of...expectations when the intent of an ethics policy is unclear” or employees need additional support (para. 13). According to the U.S. Department of Health and Human Services, ethics lines provide a venue for employees to report wrongdoing and voice concerns, while also offering convenience, anonymity, and reinforcement of an ethical culture (Dunham & Stout-Jough, 2020). Calderón-Cuadrado et al. (2009) went further, stating that “employees know the most about misconduct; therefore, they should be incorporated as the first line of defense against ethical or legal problems” (p. 199).

### **Integrating Ethics into the Culture**

**Culture is like the  
wind. It is  
invisible, yet its  
effect can be seen  
and felt. When it is  
blowing in your  
direction, it makes  
for smooth sailing.  
When it is blowing  
against you,  
everything is more  
difficult.**

**| Walker & Soule, 2017, para. 1**

Organizational culture can be defined in several ways. Gardner (n.d.) and Watkins (2013) described culture in part as the cohesive force that keeps an organization together. Culture can also represent “patterns of behaviors,” and a social system “promoting and reinforcing ‘right’ thinking and behaving and sanctioning ‘wrong’ thinking and behaving (Watkins, 2013, para. 4-7). Researchers found a direct link between culture and ethics within an organization (Dutelle & Taylor, 2018). Erakovich and Wyman (2009) reported that an organization’s culture can strongly influence an individual’s ethical behaviors. When internal morale is strong, ethical violations are typically less frequent (Dutelle & Taylor, 2018; Dvorak & Robison, 2021). Based on research of two large, international CPA firms, Douglas et al. (2001) found that ethical judgments are affected by both “personal values and environmental variables,” such as codes of conduct and ethics information, and that the culture indirectly impacts ethical judgments” (p. 101). Cooper (as cited in Erakovich

& Wyman, 2009) also “argue[d] that organizational structure and culture provide[d] values that direct decisions and actions of public servants” (p. 78).

Emerging practice research and analysis also showed that encouraging broad cultural and organizational change is an important step in creating a more ethics-oriented organization. Change tends to begin by initiating four steps: (a) conducting an organizational diagnosis to identify problem symptoms and causes, (b) planning interventions to eliminate problem causes (i.e., action planning), (c) implementing change interventions, and (d) evaluating effects of the interventions to determine if change objectives have been accomplished (Debode, 2013; Lewin, 1946).



### **Organizational Diagnosis**

In 2020, the City presented the results of two important reports designed to gauge the City's ethical culture and climate and help craft improvements to the City's ethics program. The first report included the results of a survey on City employee opinions on ethics, conducted by ECI. The second report was a performance audit of the City's ethics program, conducted by the management consulting firm, Harvey M. Rose Associates (2020). The audit took a thorough look at City ethics and compliance efforts, comparing the practices to identified ethics benchmarks (Harvey M. Rose Associates, LLC, 2020). The City also provided a management response by City Manager Tom Modica (2020) stating that the City agreed with all the findings. The response included a detailed action plan for implementing recommendations.

The ECI-conducted survey showed room for growth when it came to the City's ethics efforts. Of the 4,562 surveys distributed, 32.9% responded. This included all employees, except non-career employees such as commissioners and those on temporary assignments. Employees based in traditional office settings represented a large portion of the respondents (Doud, 2020). The survey showed 73% of respondents believed the City's current ethics program did not provide adequate resources or information on where to go to ask questions or report issues (Doud, 2020). Even so, 61% of respondents felt that the City provided a strong ethical culture (Doud, 2020). Asked whether respondents agreed that their supervisor reinforced an ethical culture and how strong co-worker commitment was to an ethical culture, the survey produced results of 70% and 72% respectively (Doud, 2020). Only 11% of respondents said they felt pressured to make unethical decisions (Doud, 2020). Thirty percent said they observed ethical misconduct, and more than half of those respondents stated that the misconduct was reported (Doud, 2020).

The audit also highlighted several areas for improvement. Harvey M. Rose Associates, LLC (2020) issued a series of findings and recommendations after assessing the City's ethics efforts against "best practices, laws, industry standards, and practices in other cities," among other purposes and objectives (p. 1). Among other findings, the audit identified a lack of authority and accountability for the City's ethics program. Harvey M. Rose Associates, LLC (2020) highlighted the decentralization of the program, with efforts dispersed, and some departments "exempt from City Manager authority" including Harbor, Water, Civil Service, Legislative, and those headed by elected officials including the City Attorney, City Prosecutor and City Auditor (Harvey M. Rose Associates, LLC, 2020, p. 3). The audit also found a lack of documentation and communication on how to seek advice on ethics and pathways for reporting ethical misconduct and suggested the City do more to educate audiences (Harvey M. Rose Associates, LLC, 2020). Other findings and recommendations touched on a need for stated penalties or disciplinary actions for ethical misconduct and information on how retaliation is handled in the City (Harvey M. Rose Associates, LLC, 2020).

### **Action Planning**

Another important research area touched on planning for widespread cultural change. Fernandez and Rainey (2006) reviewed a large body of research and then reported on best practices for successfully carrying out organizational change. First, managers must confirm, then "persuasively communicate the need for change," and provide an implementation plan (Fernandez & Rainey, 2006, p. 169). Second, managers must work to build "internal support"





and lessen resistance by involving employees in the change process (Fernandez & Rainey, 2006, p. 170). Third, top management must show support and devote sufficient resources to the effort, and fourth, external support is also necessary (Fernandez & Rainey, 2006). Finally, change must become part of new daily habits through updated policies, becoming part of a broader systemic change to achieve lasting effects (Fernandez & Rainey, 2006). Hall et al. (2007) and Barman and White (2014) also wrote that establishing an accountability system for ethics-related concerns in an organization is a best practice. The accountability system must ensure the organization itself is accountable for unethical behavior (Barman & White, 2014; Hall et al., 2007).

### **Change Interventions**

Many scholars and experts found a close and enduring connection between an organization's culture and the tone set by leadership.

Groysberg et al. (2018) went further, writing that culture and leadership are "inextricably linked," allowing leaders to heavily influence or shape a culture including the values and assumptions (para. 3). Deloitte

(2015) found that "the tone at the top" is important in determining an organization's "guiding values and ethical climate," and forming a foundation for the entire culture (p. 4). The Ethics Research Center (now called Ethics & Compliance Initiative) (2014) reported interacting frequently with "leaders about the importance of setting the right tone" with ethics, knowing the profound role leaders play in an organization (p. 2). Yet inspiring cultural change is one of the most challenging tasks a leader may face, because the change requires individuals to alter their habits (Denning, 2011; Rock, 2019).

Mitchell et al. (2020) also highlighted the importance of leadership support, formal or informal, at all levels in cultural change efforts. Research also showed that the presence of an ethics code can bring about a variety of benefits to an organization's climate, including "supportiveness for ethical behavior, freedom to act ethically, and satisfaction with the outcome of ethical problems" (Adams et al., 2001, p. 199). Another factor to consider, that sets apart the public sector, is the public service motivation (PSM) of those tied to the organization. According to research conducted by Wright et al. (2016), supervisors with higher PSM were seen as being more ethical, and ethical supervisors were "more likely to have subordinates with higher levels of PSM" (p. 648).

Identifying employees as ethics liaisons, or "champions," in the workplace can also be used as an interactive strategy to promote social support and behavior change in an organization (Edmunds & Clow, 2016). Wieneke et al. (2019) reported that organizations are recognizing the importance of acknowledging workplace environment and employee experience by "putting employees at the center and redesigning workplace practices to fit with employee interests and needs" (p. 106). A champion is an employee dedicated to representing peers within an organization. Those

"...what's most important  
about company values  
is what you  
do with them."

| Ostberg, n.d. para. 1



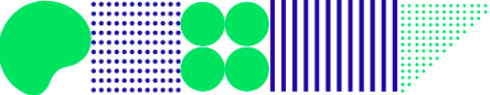
selected for the roles are generally engaged employees who can inspire enthusiasm, guidance, and confidence in others. The idea is for employees to feel comfortable approaching these champions with concerns, to further their knowledge, or learn where to go for more information (Reilly, 2019). Edmunds and Clow (2016) found that champions perceived face-to-face conversations to have more impact than other forms of communication. (p. 163). Champions are often assigned to areas such as, but not limited to, training, inclusivity, diversity, and wellness. The approach can promote education and awareness of resources at a relatively low cost. Champions of safety, wellness, engagement, or other topics play a critical role in supporting, educating, and shaping a safe and positive environment. For employees in the role of champions to be successful, they need to be properly trained, and communication is essential. Champions must be given time and resources to assist peers. Edmunds and Clow (2016) highly recommended that those in this role receive training that touches on principles of behavior, listening, communicating, and sensitivity (p. 161). Training will ensure that champions are better prepared and well-equipped to assist when called upon by others.

Research showed that organizations should incorporate ethics throughout the employee's life cycle with an organization. Ethics should be a part of the hiring process as well as the performance evaluation process (Brumback, 1991). Wolfe (2018) recommended that organizations include the mission and values within the hiring process to draw candidates who reflect the City's core concerns. Moynihan and Pandey (2007), Ostberg (n.d.) and Presbitero et al. (2016) agreed, stating that the stronger the public employee's relationship is to a company's values, and the more the organization lives by those values, the longer the employee is likely to remain employed. Wolfe (2018) recommended that companies stay true to their values and integrate them into the recruiting and screening process. Organizations can include mention of values in job postings, create screening questions based solely around values, and ask specific value-based scenario questions during interviews (Wolfe, 2018). Organizations should keep the momentum going by introducing a values-based training for new hires, amplifying the organization's actions that encompass values, and incorporate values in the performance evaluation process (Ostberg, n.d.). Ludema and Johnson (2015) explained how some companies utilize a Values Competency Framework (VCF) in the evaluation process. Essentially, a VCF "illustrates how a series of level-appropriate (i.e., employees, director, elected official) competencies can emerge from a single shared value" (Ludema & Johnson, 2015, para. 8).

Experts described the use of both discipline and incentives as important methods for gaining participant acceptance in an ethics program. Weaver and Treviño (1999) found disciplinary practices to be more prevalent in compliance-based programs. Compliance-based programs are focused on setting guidelines by which employees must follow and specifying punishments.

## EMPLOYEE LIFECYCLE





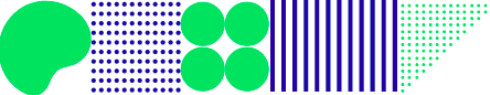
Along those lines, the more compliance-based an ethics program is, the more it “emphasizes behavioral monitoring and discipline for noncompliance” (Weaver & Treviño, 1999, pp. 317-18). Audiences may react in a few different ways, either concluding that management lacks confidence and trust in them, or that “the organization upholds standards of justice” that should be valued (Weaver & Treviño, 1999, p. 323). Incentives are another method for gaining acceptance of an ethics program. Murphy (2011) pointed to incentivizing ethical decisions and actions among employees. By rewarding “right behavior,” the participant may be more willing to accept the program and realize that the organization will recognize behavior change in a positive way (Murphy, 2011, p. 16-17). Weaver and Treviño (1999) pointed out that utilizing both methods together can offer a good balance.

### **Evaluating Effects**

Performance measurement and evaluation of data can generate valuable evidence of where a program is succeeding or falling short (Smith, 2007; Tatian, 2016). Smith (2007) encouraged those selecting performance measures to think of the role the measures may play in determining resource allocation and program structure. While many experts interviewed stated that they had not yet found an ideal way to measure ethics program effectiveness, some suggested emerging practices, and ideas. Either way, evaluating a program is essential, but organizations must also be prepared to accept the results and use them to push for further improvement (A. Olmstead, personal communication, October 26, 2021).

McGinnis (personal communication, October 14, 2021) and Perego (personal communication, October 21, 2021) recommended closely tracking how many calls are received into helplines, topics of calls, the number of related investigations completed, and the results of investigations. Prior (personal communication, October 21, 2021) suggested distributing surveys after training, and embedding quizzes and establishing passing percentages in virtual training. Olmstead (personal communication, October 26, 2021) suggested using ECI benchmarking and conducting a survey every two to three years to measure any changes in employee perceptions. The City of Santa Clara did just that by collecting baseline data on employee opinions on ethics in preparing to launch a new City ethics and values program designed to instill ethics and values into everyday actions (Nadler et al., 2001). City of Santa Clara officials planned to follow up with annual surveys to “measure how perceptions and actions” changed over time (Nadler et al., 2001, p. 15). City of Santa Clara officials also planned to distribute a citizen survey asking about trust and confidence in local government (Nadler et al., 2001). Brumback (1991) agreed with this method, suggesting that conducting employee surveys before and after the roll out of a program or initiative will provide the most meaningful measures of employee perspective. Davis et al. (2018) added that a positive change in pre- and post-survey results may demonstrate effectiveness, or, at the very least, improvement. Ritzmann et al. (2013) also suggested that training outcomes such as enjoyment, usefulness, difficulty, knowledge gain, and general attitude are essential and influential frameworks for measuring success.

Based on survey results, organizations must then be flexible and open to revising programming (Ritzmann et al., 2013). The City of Santa Clara designated a series of long-term program goals that, if fulfilled, would signify success. Those included employees, elected, and appointed officials, and volunteers acting with ethics and values, and citizens and City employees expecting to be treated with respect, ethics, and values (Nadler et al., 2001). The Compliance



Podcast Network (2019) also encouraged organizations to focus more on measuring training outcomes, alignment with organizational risks, applicability to employee jobs, and changes in day-to-day employee performance.

At the City, some stakeholders suggested using high training completion rates as a measure of success. Others stated that developing a culture in which key audiences feel comfortable asking questions and reporting wrongdoing are important outcomes. In response to the research team’s survey asking about measures of effectiveness, about 50% of respondents said they track inquiries post-ethics training (see Figure 6). Inquiries came in the forms of phone calls, legal questions, reports of incidents/issues/complaints, and requests for ethics-related advice. Another popular method of measurement reported was ethics training completion rates.

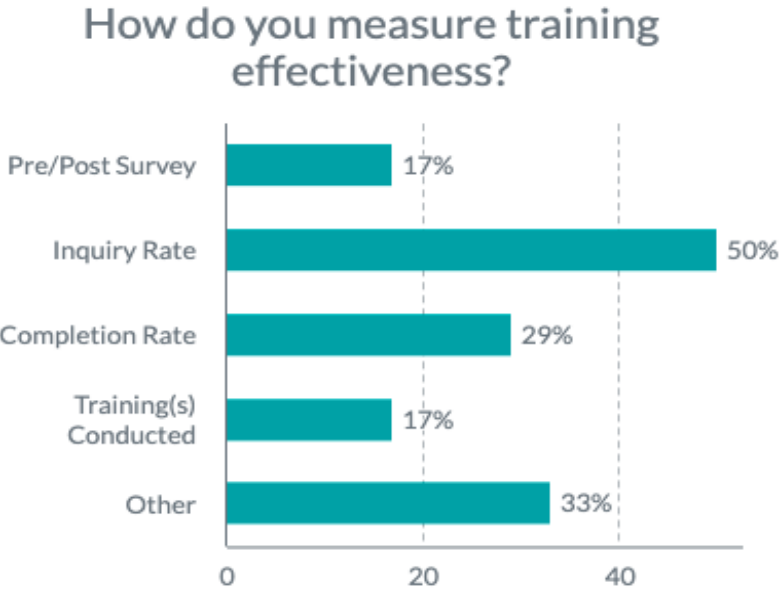
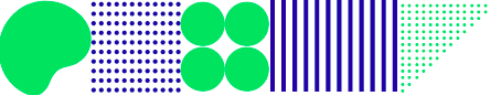


FIGURE 06: QUESTION 10 SURVEY RESPONSE

A survey conducted by Weber (2015) looked at the most important metrics for assessing ethics programs among members of the Ethics and Compliance Officer Association. In order of the most important to least, respondents ranked levels of illegal activities, employee feedback on the training program, employee trust and program completion rate (Weber, 2015). Illegal activities are considered an inadequate measure because that assessment came after the unethical behavior already happened (Weber, 2015). Additionally, a program completion rate does not confirm if the behavior has changed, but the others are considered viable measures (Weber, 2015).

Research showed several potential challenges in setting out to measure impact. First, members of leadership may focus primarily on learning outcomes during the training design rather than on achievement of the primary goals. Second, when an organization's primary goals are not identified upfront, designing effectiveness measures is more difficult (The Business of Learning, 2021-b). Bodenger and Steiner (2017) also warned that leadership should be realistic about outcomes of ethics programs. For example, a training program alone cannot prevent all unethical practices. During the initial phases of training development, members of leadership should collaborate with one another to solidify basic metrics and key performance indicators (KPI's) (The Business of Learning, 2021-b). Finally, Tristan (personal communication, November 4, 2021) stated that conducting audits and surveys are helpful but challenging because employees may respond with a rosier version of the truth.





### **Modeling Ethical Leadership**

In interviews and questionnaires, City officials described desirable outcomes as increasing public trust, civic engagement, and City employee job satisfaction. However, success won't be possible without the guidance and commitment from leadership. Leadership can set an example and influence the behavior of others (Downe et al., 2016; Miller et al., 2005). Strong leaders provide a unifying vision, as well as empathy, consistency, and integrity (Dutelle & Taylor, 2018). Ciulla (2014) described leadership as "a complex moral relationship between people based on trust,

**"Conscious leaders  
choose to be honest even  
when everyone else  
suspects them of being  
dishonest."**

**| Gift Gugu Mona**

obligation, commitment, emotion, and a shared vision of the good (p. xv)." Leaders must consider a multiplicity of issues and concerns in making consistently ethical decisions. In fact, the ethical tone in organizations often depends on leadership. The leader's role is to set a clear and uniform example of ethical behavior and to articulate specific expectations and goals so that ethical behavior becomes an

integral theme of the organization (Roberson & Mire, 2010). Ethical leadership includes defining moral principles and identifying the moral actions of an organization (Downe et al., 2016). Bussmann and Niemeczek (2017) found that organizations that encourage integrity and ethical decision-making by example are less likely to deal with ethical dilemmas. If leadership demonstrates unethical behavior, lower-level employees could model and repeat those actions (Pelletier & Bligh, 2006, p. 362).

Research also showed that organizations benefit when leaders create trusting environments in which employees seek advice about uncertain ethical situations, without fear of retaliation. Experts interviewed stressed the importance of creating trusting atmospheres where employees "feel comfortable asking questions" and where "there is a clear venue to ask those questions" (M. Kuehne, personal communication, October 15, 2021). Leaders aren't just those individuals at the top of an organization. Many think of an organization's leadership as not only top executives, but managers and front-line supervisors. Many employees look to direct supervisors to model ethical behavior. The Ethics Resource Center (now called ECI) (2014) found that supervisors "may matter just as much or more than CEOs and other senior executives" in terms of "modeling good behavior, keeping promises, or upholding company standards" (p. i). Most employees rarely interact with top leadership but are more involved with their direct management (Nink & Robison, 2020).

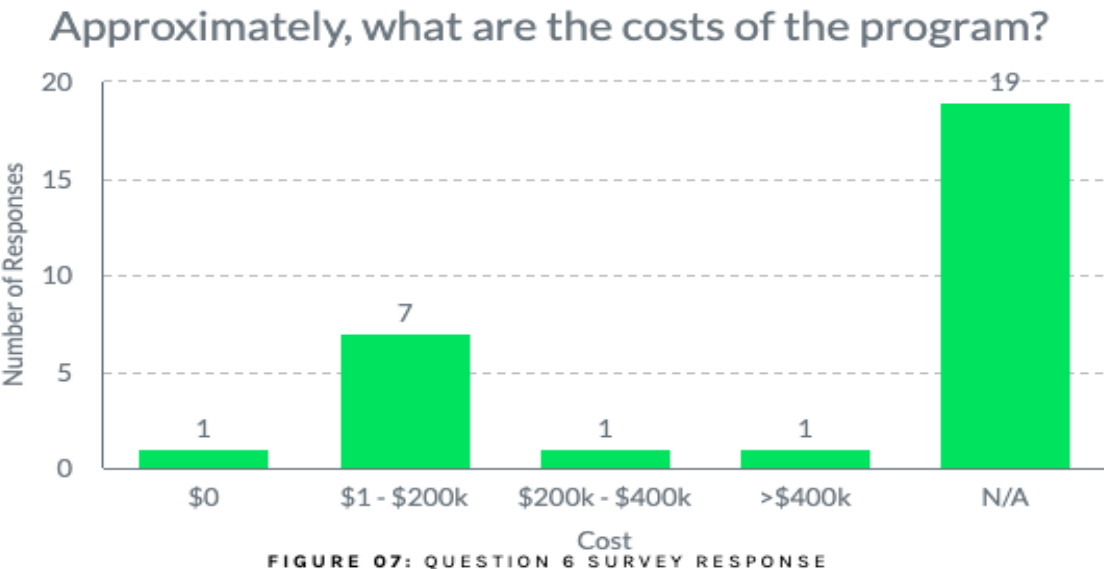
Some scholars and experts argued that managers and front-line supervisors play an equal if not greater role in an organization's culture than top level leaders. Therkelsen and Fiebich (2004) found that front-line supervisors play a central role in employee relations, with direct communication between the supervisor and employee being "most effective in increasing employee trust, satisfaction, loyalty and productivity" (p. 127). In fact, employees tend to have



stronger loyalty towards immediate supervisors than the organization (Therkelsen & Fiebich, 2004). In short, “front-line and mid-level supervisors turn principles into practice” (Deloitte, 2015, p. 8). Every level of leadership is important to an organization’s tone, but in terms of “modeling good behavior, keeping promises, or upholding company standards,” supervisors are just as important as top executives (Ethics Research Center, 2014, p. 3). In the public sector as well, studies have shown that managers play a critical role when it comes to creating organizational change (Abramanson & Lawrence, 2001; Bingham and Wise, 1996; Borins, 2000; Doig & Hargrove, 1990; Hennessey, 1998; Kemp et al., Funk & Eadie, 1993, as cited by Fernandez & Rainey, 2006). Scholars disagree over whether cultural change takes place in a linear fashion or not (Fernandez & Rainey, 2006). But when it comes to building a more ethics-focused culture, Hanson (2008) writes that if the “behavior of middle managers remains unchanged,” the effort will not succeed (para. 1).

**Resourcing the Program**

Research gathered provided some insights into how to go about resourcing the new ethics education program, in as financially sustainable a way as possible. An important question is which resources are needed to develop an effective program. Current City stakeholders (T. Modica, personal communication, October 7, 2021) emphasized the financial pressure facing the City. The City is looking for a financially sustainable ethics education program that takes advantage of resources already in place as much as possible. Apart from funds set aside for a new City ethics officer and some one-time costs in the Fiscal 2021-2022 budget, the City’s biggest ethics expenses appear to be current staff time spent on ethics-related efforts in several departments. For example, Deputy City Auditor Alvin Chu (personal communication, October 18, 2021) said that the City’s Fraud Hotline is maintained by City Auditor staff. Human Resources representatives stated that an online platform is currently available and can be modified to add modules, though the preference is to move towards more in-person training (R. Garcia & F. Verdugo, personal communication, October 19, 2021). Representatives from the City Attorney appear to conduct ethics-related training as well. Total costs of completing ethics-related tasks across City departments did not appear to be broken out into a line-item in the budget (City of Long Beach, 2021-b).





Unfortunately, research on other public and private sector ethics programs yielded few specifics on the cost of launching or managing an ethics education program. Expert Jeff Oak (personal communication, November 11, 2021), a former ethics officer in the nonprofit healthcare industry and federal government, shared that identifying ethics program costs is nearly impossible because organizations don't track budget expenses consistently. "Organizations define differently what goes under which budget category" (J. Oak, personal communication, November 11, 2021). The research team's survey attempted to gain a general understanding of costs involved in starting an ethics program within a government agency, as well as annual costs (Figure 7). Answers to these questions were less definitive than the research team hoped, with a significant majority of respondents (63%) reporting ethics program costs either being not applicable, unknown, or declining to respond. Respondents who did provide a figure indicated costs of between \$1,000-\$200,000 (23.3%), with one outlier reporting a cost of more than \$400,000. One respondent did not leave a response for the question. Respondents didn't distinguish between ongoing or initial one-time costs.

Some experts stated that successful programs can be carried out for little expense (A. Olmstead, personal communication, October 26, 2021). Murphy (2010) went further, reporting that the success of an ethics or compliance program is largely unrelated to cost. Rather, Murphy (2010) argued that organizations should focus on "using compliance tools intelligently and in concert to effectively prevent, find and fix problems" (p. 2). The City of Santa Clara reported planning to spend about \$50,000, including \$25,000 in consulting fees for a local research institute contracted to assist (Nadler et al., 2001). City staff time would represent a significant expense but would be "absorbed in the annual budget" (Nadler et al., 2001, p. 13).

Other research focused on the steep costs to organizations that fail to develop ethics-focused cultures. Cialdini et al. (2004) reported that organizations that use dishonest tactics risk "ruinous fiscal outcomes that can easily outweigh any short-term gains" (para. 3). Engaging in ethical practices is the right thing to do, and Cialdini et al. (2004) found that the "consequences of failing to do so may be more harmful to the bottom line than has traditionally been recognized" (para. 3). Allowing organizational dishonesty can lead to consequences including loss of reputation and credibility, opposition from employees and increased monitoring of employees (Cialdini et al., 2004). Each will bring additional, undesirable side-effects (Cialdini et al., 2004). American workers consider the ethics of their employer to be critical, according to an independent research study by the firm LRN ("LRN Ethics Study," 2007). An overwhelming proportion of respondents, or 94 percent, said that "whether a company acts ethically is a significant factor" in their employment ("LRN Ethics Study," 2007, p. 1). Eighty two percent of respondents also said they would even take lower pay to work for a company that used ethical business practices, and one in three have left a job for ethical reasons ("LRN Ethics Study," 2007).

Overall culture is critical to employee retention, according to research. A 2019 Society for Human Resources Management-commissioned study found that a stunning 58% of employees had quit a job due to workplace culture, and specifically because of their managers (Mirza, 2019). This turnover cost \$223 billion over the prior five years (Mirza, 2019). In addition, nearly half of American workers said that they had thought about leaving their current employer (Mirza,



2019). These are particularly relevant points considering the record numbers of employees who left their jobs during this year of the Great Resignation, 2021 (Davidson, 2021).

## **ANALYSIS**

### **Purpose**

After compiling more than 900 pieces of research, collecting survey responses from other local and state governments, and conducting more than a dozen interviews, the research team set out to examine the collected information. The team evaluated research using methods tailored to the needs of the project. These methods included studying the City's current ethics-related practices, as well as creating a logic model, power-interest grid, interview response matrix, survey analysis, and cost estimation of the program. The results informed the report's final recommendations (Kelley et al., 2003).

### **Study of Current Ethics-Related City Practices**

The research team began by analyzing the City's current ethics-related practices. What the team found was a City in transition, moving from a focus on compliance to integrating ethics and integrity into day-to-day practices. The team examined City training materials and official documents, as well as information gathered during interviews with City representatives and external ethics experts.

First, the City's ethics-related training materials showed a heavy compliance focus. A City Attorney's ethics training provides trainees an overview of legal requirements on topics including the Brown Act, fundraising and contributions, how to report issues, and mass mailings. A second training includes information on Statements of Economic Interest (Form 700), which California law requires every elected official and public employee "who makes or influences governmental decisions" to submit annually ("Statements of Economic Interests - Form 700," 2021). A third training, designed for new employee orientation, offers a brief overview of the City's Code of Ethics (City of Long Beach, n.d.-b). The training also looks at City requirements on acceptance of gifts, collateral employment, and political activities. City stakeholders interviewed said they would like to see future City training on the following topics: conflicts of interest, bias avoidance, integrity in contracts, rules surrounding the allowance of gifts, a code of conduct, election issues and other ethics resources.

A look at City documents show an orientation toward compliance, that is moving towards integration of ethics into the culture. First, a draft new City Code of Conduct and Ethics under consideration departs from formal to a more specific and personal tone (City of Long Beach, n.d.-d; J. Cernuda, personal communication, November 26, 2021). If adopted, the draft version would replace a more formal Code of Ethics in the City's Municipal Code (J. Cernuda, personal communication, November 26, 2021). Upon starting roles at the City, all elected officials, employees, volunteers, and members of boards, commissions and committees sign the code. Second, the municipal code chapter also specifies ethics training that members of the commissions and advisory bodies must complete per California law AB 1234 (City of Long Beach, n.d.-b). Third, the Ethics Guide for Long Beach City Officials & Employees also provides a matter-of-fact look at the ethics, acceptance of gifts, conflicts of interest, financial disclosure, political activities, and other key laws and ethics-related topics (Parkin, 2015). Fourth, other materials cover compliance, describing minimum expectations for City public





service, the process of running for public office in the City and requirements for candidates, campaign ethics, and lobbying (Office of the City Clerk, 2021; Office of the City Clerk, n.d.-a; Office of the City Clerk, n.d.-b; Office of the City Clerk, n.d.-c).

"Your company's security depends  
on your employees' decisions.  
That's not a compliance issue.  
That's a culture issue."

| Dvorak and Robison

A critical player in the shift towards a more ethics-focused culture at the City will be the new ethics officer. The City planned to hire a dedicated ethics officer to serve as an "in-house expert on governmental ethics to departments, staff, elected officials, and the public" and enhance and maintain the City's ethics program ("Ethics Officer (Special Projects Officer)," 2021; T. Modica, personal communication, October 7, 2021). Another important step forward in the evolution of the City's culture could be selecting departmental ethics liaisons. Experts advised that to secure buy-in from departments and staff across the City government, the City should issue a policy-level directive to each department to select an ethics liaison to work with the Ethics Commission and new ethics officer (D. Tristan, personal communication, November 4, 2021; J. Wierenga, personal communication, October 15, 2021). Practitioners interviewed suggested that a directive applicable to the entire organization will help ensure collaboration with departments across-the-board, including those not under the direct authority of the City Manager. Tristan (personal communication, November 4, 2021) and Prior (personal communication, October 21, 2021) said a directive issued by former City of Los Angeles Mayor Antonio Villaraigosa in 2006 helped establish departmental liaisons across the City of Los Angeles. Tristan (personal communications, November 4, 2021) advised that the liaisons had been instrumental in establishing communication between the ethics commission and departments. City officials suggested perhaps designating administrative officers in this role, as departmental ethics liaisons (J. Cernuda, personal communication, November 4, 2021). Doing so could increase the visibility of the ethics program at the department level and ultimately create a more ethics-centered culture at the City. The administrative officers could also answer questions and direct employees to available resources.

### **Logic Model**

Employed at all phases of a program or intervention, logic models are "tools for planning, describing, managing, communicating and evaluating" (Centers for Disease Control and Prevention, n.d., p. 1). The models offer visual representations of how a program could work considering the circumstances (Milstein & Chapel, n.d.). The research team created a logic model (see Figure 8), which maps out the relationships between inputs needed for the ethics



education program, all the way to outcomes and impact (Milstein & Chapel, n.d.). In building the logic model, the team took into consideration available City resources and desired outcomes. The research team’s logic model can be seen below in Figure 7. The logic model is broken into four sections: inputs, outputs, outcomes, and impact.

Inputs represent resources needed to implement the ethics program, but more importantly, to truly make a difference. The City must consider all aspects of resources needed for the program. Inputs include the interest and commitment to ethics reform by the City’s executive and elected leadership and the public, oversight and expertise of the Ethics Commission, staff labor needed to implement and maintain the program, and City financial and technology resources. Outputs represent tangible deliverables, or products, generated through activities using inputs (Mills-Scofield, 2012). Key outputs identified include development of a curriculum plan, which includes creating a new ethics training module, establishing departmental ethics liaisons, or champions, and creating a communications plan with a calendar of regular updates and reminders. The team then mapped out expected outcomes, or the “difference made by the outputs” (Mills-Scofield, 2012, para. 2-3). Identified outcomes include increased understanding and awareness of the City’s ethics-related expectations, an implemented ethics training program plan, heightened internal trust in the City, and prominent, frequent ethics-related communications. As a final step, the team mapped out anticipated program impacts. Among them are a culture more focused on ethics, increased public trust, and a decrease in, with hopes of eliminating, ethical lapses within the City. Ultimately, the program aims to build and organizational culture that places a high value on ethics.



FIGURE 08: LOGIC MODEL

## Power-Interest Grid

A crucial part of developing a program is understanding the key stakeholders in the effort. The research team created a Power-Interest Grid to understand the stakeholders involved, and their interest and power in the program (see Figure 9; Ackermann & Eden, 2011; Bryson, 2004; Bryson, 2018; Cummings et al., 2000; Wolfe, 2002). Stakeholder analysis can be a daunting practice, especially when it comes to a complex institution like the City (Ackermann & Eden, 2011; Cummings et al., 2000; Mitchell, et al., 1997). But the analysis will help those developing and ultimately managing the ethics education program to assess which communication, implementation, and buy-in strategies to use, based on power and interest levels (Ackermann & Eden, 2011; Bryson, 2004; Bryson, 2018; Wolfe, 2002). Although interest in a program is usually easy to spot, power “may be tricky to define but it is not that difficult to recognize” (Salancick & Pfeffer, 1974, p. 3). The grid reflects the current placement of stakeholders, but leaders should understand that with the right involvement and management, placements can change (Ackermann & Eden, 2011; Cummings et al., 2000).

In a Power-Interest grid, the x-axis represents interest, and the y-axis represents power (Ackermann & Eden, 2011). The research team placed a variety of stakeholders in four corners of the grid, based on interest and power levels over the program. First, the Board of Harbor Commissioners, elected officials, lobbyists, candidates, and the City Auditor are in the High Power, Low Interest corner of the grid, indicating a role as “context setters” (Ackermann & Eden, 2011, p. 183). In this role, these stakeholders can influence the current structure and future of the program but have low

interest (Ackermann & Eden, 2011). Those developing and managing the program must gain support from these parties, keep them informed and develop their interest (Ackermann & Eden, 2011). Meanwhile, the Ethics Commission, Mayor, City Manager, and City Attorney are considered “players” in the High Power, High Interest corner of the grid (Ackermann & Eden, 2011, p. 184). These are significant stakeholders who should be highly involved in all phases of

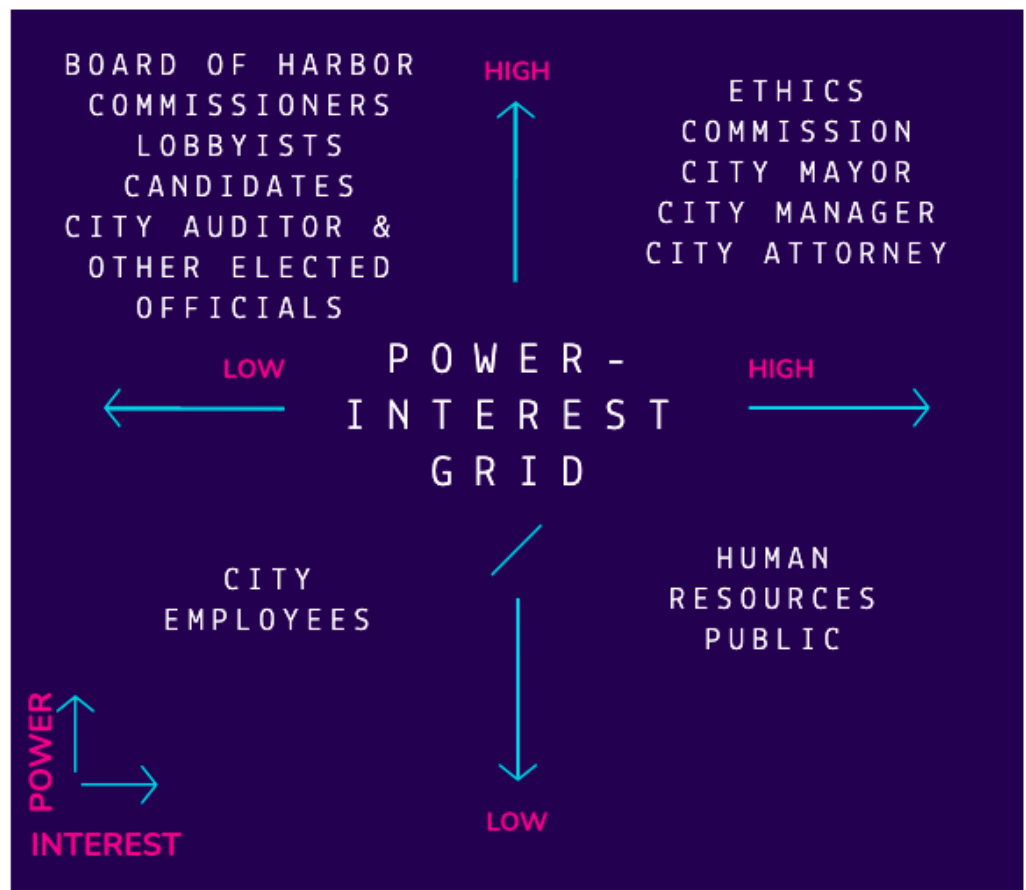


FIGURE 09: POWER-INTEREST GRID



the process (Ackermann & Eden, 2011). City employees are considered the crowd in the Low Power, Low Interest corner of the grid (Ackermann & Eden, 2011, p.183). City employees are believed to have generally low interest in the program, at least during the development and primary implementation stage (Ackermann & Eden, 2011). Finally, the Human Resources department and the public are considered “subjects” in the High Power, Low Interest corner of the grid (Ackermann & Eden, 2011). In this role, these parties can assist through support of the program from the ground level, and could even become “players,” depending on their involvement in the program or interaction with an organization’s leadership (Ackermann & Eden, 2011).

### **Interview Response Matrix**

The research team used an interview response matrix (see Appendix M) to analyze data collected through several research interviews with external, non-City experts. The goal of the interviews was to gain insights into current and emerging practices in ethics program implementation. Building the matrix allowed for organization of the data through visual representation. Ropella (2010) pointed to the strengths of utilizing the interview response matrix, writing that the method will “force you to think through your strategy,” helping to collect information needed to make informed decisions towards a course of action (para. 2). This form of analysis may be limited by response bias. Respondents may decline to share their “‘true’ opinions or behaviors” due to either not understanding the questions, or deciding to not be forthcoming, shifting the focus to the interviewer (Frechtling Westat et al., 2010, p. 35). As Dorussen et al. (2005) found, “information collected by means of expert interviews crucially depends on the quality of the experts” (p. 333). Interviews generally covered the following topics: key factors and effective strategies for designing and managing an ethics education program, how to gain buy-in, reaching different audiences, how to measure effectiveness, how to build a fiscally sustainable program, and effective communication and engagement methods.

### ***Key Factors***

A common theme emphasized in several interviews was the need to see ethics as more than a compliance issue. Multiple interviewees stressed the importance of going beyond legal requirements or “box checking” and bringing ethics to life through frequent communications via multiple platforms. Interviewees recommended creating and promoting an easy-to-understand definition of what ethics means in an organization. Interviewees also warned that the program implementation process will not be without difficulties. Among the difficulties were resource allocation, employee motivation, and problem identification by the leadership. One expert suggested focusing on identifying the root issues leading to a need for an ethics education program and then developing the program to respond to them. Others emphasized proactively reaching out to audiences through well-timed, strategic, and engaging communications to target audiences.

### ***Effective Strategies***

The effective strategies discussed in interviews covered multiple aspects of program implementation. Interviewees emphasized understanding the audience and making an organization’s ethics code and other program materials highly accessible and understandable. Interviewees suggested shifting from a reporting hotline to more of a proactive advice or help line that encourages audiences to feel comfortable using when in need of assistance in ethics-





related matters. A general point made when referencing the development of an advice or help line was to give callers the option for anonymity. Interviewees suggested teaching audiences using specific, real-world examples of ethics-related situations. Interviewees also suggested creating a calendar for communication around the year and creating customized training that teaches the City's policies and expectations.

### ***Buy-in***

To gain support across the organization, interviewees suggested multiple strategies. These ranged from issuance of a policy directive requiring departments to designate departmental liaisons to work with the ethics program, to understanding where the gaps in ethics knowledge or behavior are in an organization. Interviewees also stressed making ethics applicable and interesting to all audiences, through branding that leaves an impression and ties in with their PSM. At least one interviewee recommended implementing the program from the bottom up rather than top down. This could allow audiences to be included in the development process, encouraging participation. With most employees interacting with middle rather than top management, multiple interviewees emphasized the need to work closely with middle managers.

### ***Different Audiences***

Interviewees suggested tailoring education material and messaging to different audiences. Interviewees described a best practice of using specific case studies or examples applicable to participants' job positions and departments. By considering the experiences of each participant and adjusting messaging to address those issues, participants can better relate.

### ***Effective Measures***

Another important aspect of implementing any program is planning effective ways to measure outcomes. Multiple interviewees had not yet identified a strong method of measuring program effectiveness, but instead described some best practices. These included pre- and/or post- surveys to gauge the knowledge retention or growth of the employees participating in the training and tracking the numbers of calls or questions received after the training, or in general into a helpline or hotline.

### ***Fiscally Sustainable Measures***

The research team also asked interviewees about emerging and best practices related to the fiscal sustainability of ethics programs. Interviewees described using online training and adding ethics components onto already purchased or developed training. Other interviewees suggested developing program materials in-house to save resources and borrowing successful ethics program ideas and practices from other organizations with larger program budgets.

### ***Communication***

When asked about the importance of communication and methods, interviewees stressed the importance of frequent, prominent communications using multiple platforms. Interviewees suggested developing a communication plan, with a calendar noting seasonal topics tied to ethics such as the holidays and elections. Also recommended was for managers to discuss ethical topics regularly with their teams and for resources to be shared widely. Ethics officers should also build relationships with middle managers across the organization and provide them with feedback on trends in ethical concerns being reported within an organization.

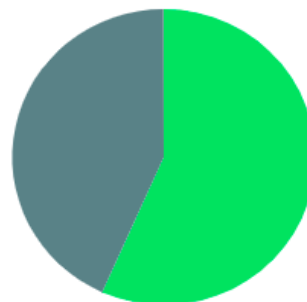
## Survey Analysis

The research team compared survey response data collected from local and state governments. Specifically, the analysis pinpointed implementation techniques, costs, and innovative solutions most frequently used by other governments. Sampling bias occurred in a few ways. First, the team distributed the survey to a voluntary response sample composed of local and state government agencies with ethics commissions or programs (Frechtling Westat et al., 2010; Smith, 2012). The team asked recipients to participate on a voluntary basis for research purposes. Second but closely related, self-selection bias took place, because respondents were “allowed to decide entirely for themselves whether or not” to participate (Lavrakas, 2008). As part of the survey analysis, the team gathered survey data and semi-structured interview results and conducted a comparative review of ethics programs implemented by other governments. The team identified key findings, including on types of training systems used, communication methods, as well as effectiveness measures and is organized by question. Included are figures representing survey responses, and questions that led to substantive responses.

### Question 3: Does your agency offer an ethics education program that is outside of the legally mandated requirements?

Out of 30 individuals who responded, more than half, or 17 respondents, said their programs represented a departure from legal jurisdictional requirements (see Figure 10).

Does your agency offer an ethics education program that is outside of the legally mandated requirements?



■ Yes (56.67%) ■ No (43.33%)

FIGURE 10: QUESTION 3 SURVEY RESPONSE

### Which training delivery methods are used?

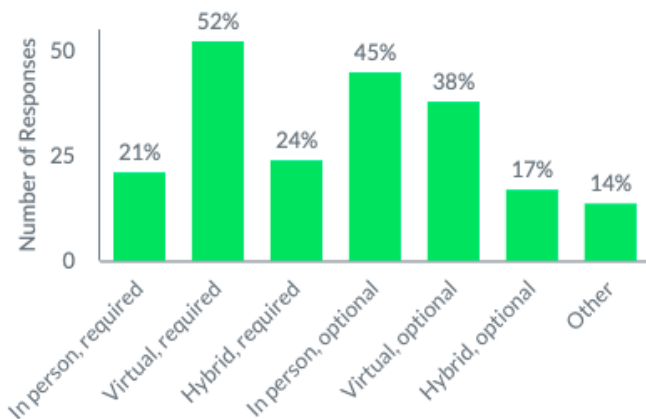


FIGURE 05: QUESTION 4 SURVEY RESPONSE

### Question 4: Which training delivery methods do you use?

As discussed in the Research Findings section, both survey respondents and interviewees indicated more frequent use of online versus in-person training (see Figure 5). However, this result is likely attributable at least in part to the current COVID-19 pandemic. Many workers across the United States shifted primarily to online and virtual platforms to stop the in-person spread of the virus.

### Question 5: Who is the audience for your program?

Survey respondents selected their audiences from a list of participant types, which included employees, elected officials, the public and others. Respondents could also write in participant categories. The majority of respondents indicated that the training was taken by elected officials and employees, with other categories resulting in a small percentage of the responses (see Figure 11).

### Who is the audience for your program?

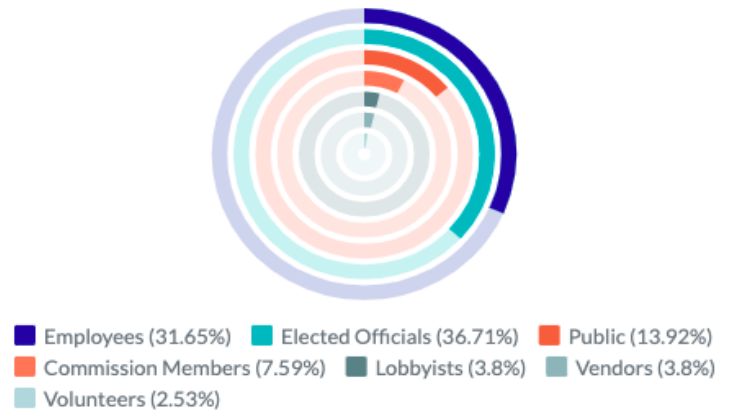


FIGURE 11: QUESTION 5 SURVEY RESPONSE

### How is the program advertised internally?

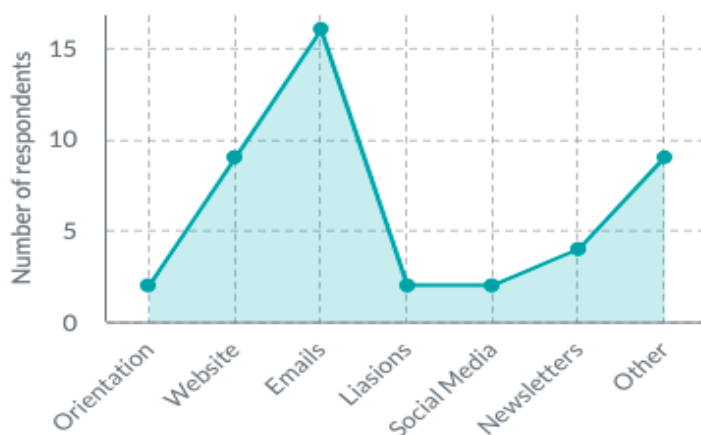


FIGURE 12: QUESTION 6 SURVEY RESPONSE

### Question 6: How is your program advertised to internal participants?

Survey respondents indicated heavy use of electronic communication methods such as email, websites, and social media over non-electronic modes such as word of mouth and bulletin postings (see Figure 12).

### Question 7: How is your program advertised to external stakeholders?

Meanwhile, respondents most reported using websites to advertise the ethics programs externally, followed by the response of “not applicable/no response” and then other electronic methods (see Figure 13).

### How is the program advertised to externally?

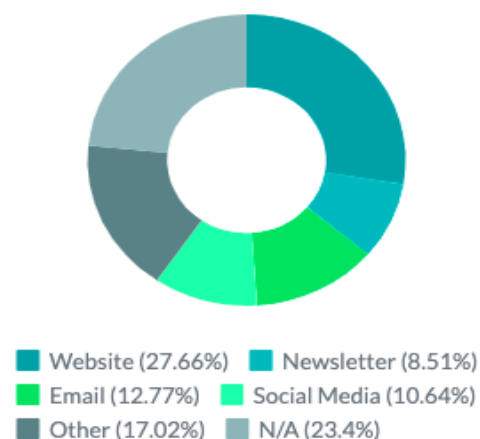
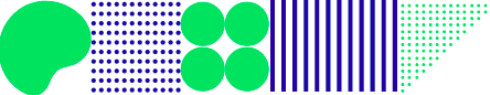


FIGURE 13: QUESTION 7 SURVEY RESPONSE



### Approximately, what are the costs of the program?

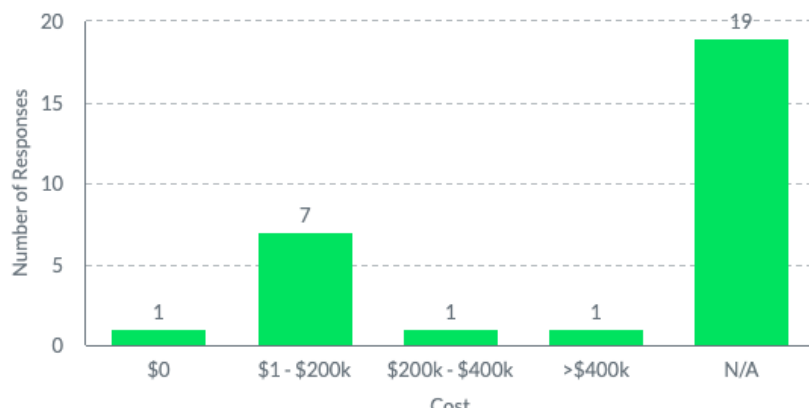


FIGURE 07: QUESTION 6 SURVEY RESPONSE

### Question 8: Approximately what were the startup costs and annual costs for the program?

Asked to estimate program startup and annual costs, most respondents reported costs being not applicable (see Figure 7). The most common costs ranged from \$1,000 to \$200,000 (Figure 7).

### Question 9: How does your agency define ethics?

The survey also asked respondents how ethics is defined. A little over half of agencies rely on a state or city code, while another quarter use a self-defined code or definition. And the last nearly quarter used no code or definition (see Figure 13).

### Ethics definition types

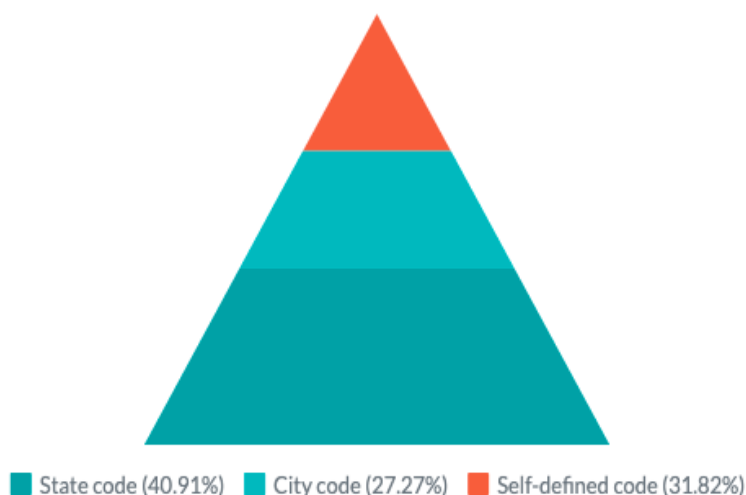


FIGURE 14: QUESTION 9 SURVEY RESPONSE

### How do you measure training effectiveness?

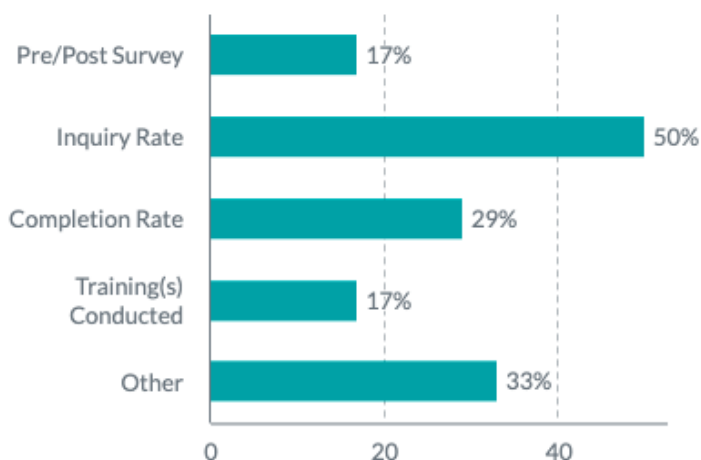


FIGURE 06: QUESTION 10 SURVEY RESPONSE

### Question 10: How does your agency measure effectiveness?

Respondents described tracking the numbers of questions asked post-training and then declined to respond as the first and second most common measures of effectiveness (see Figure 6).





### **Question 11: How does your agency maintain the program?**

Since this was an open-ended question, the primary responses are noted below:

- Direct support from full-time staff to develop content, manage enrollment and review completion rates
- Using a virtual training platform
- Communication is key
- Funding from either the city or state level
- Reviewing training materials annually
- Customizing materials to be relevant to each department
- Develop a survey for employees to ensure the training is working

A few limitations must be considered in interpreting survey data. The most influential limitation may be the inability of this survey to directly compare respondents' programs. Azarian (2011) discussed the struggle to find exact matches for research comparisons. Without exact matches, researchers may not be able to make "a balanced comparison" (Azarian, 2011, p. 121). Based on variations among programs and differences in resource availability, the costs and maintenance methods should be scrutinized to account for larger or smaller program costs reported. Also, the team combined some categories of answers to increase understanding of responses. While combining data simplifies the coding process, the practice can be prone to error if responses are misinterpreted or if respondents misinterpret questions. Another consideration in examining survey results is if the program offered goes beyond legally mandated requirements. Entities providing only legally mandated requirements face lower costs than those setting out to teach more than the minimum requirements.

#### **Cost Estimation**

Due to the wide variety of ethics education programs managed by local and state governments across the country, calculating a specific cost comparison was not possible. However, the research team sought to develop a general estimate of resources needed to develop and implement aspects of an ethics education program. Mislick and Nussbaum (2015) defined cost estimation as "the process of collecting and analyzing historical data and applying models, techniques, tools, and databases in order to predict potential costs" (p. 11). The estimate will help the City determine additional direct and indirect costs for the program ("FAQ Project Management Guide," n.d.; Mislick & Nussbaum, 2015).

Research also illuminated some of the risks of not proceeding with an ethics program. A principal reason for applying adequate resources towards an ethics program is to mitigate risks associated with unethical decisions. Cialdini et al. (2004) outlined two significant detrimental outcomes associated with unethical decisions and behavior in an organization. The first is reputation degradation, where those outside an organization view behavior or decisions made by the organization as unethical, damaging the organization's reputation (Cialdini et al., 2004). The second is value incompatibility between the organization and employees. This mismatch, whether real or perceived, can lead to increased absenteeism and high turnover (Cialdini et al., 2004). The damage of these outcomes could be almost incalculable. Although complex data can



be presented in simplified ways, the benefits - or constraints - can rarely be captured as perfectly (Schiller & Perera, 2017).

Table 1: Cost Estimation provides a visual representation of potential direct and indirect costs for the program.

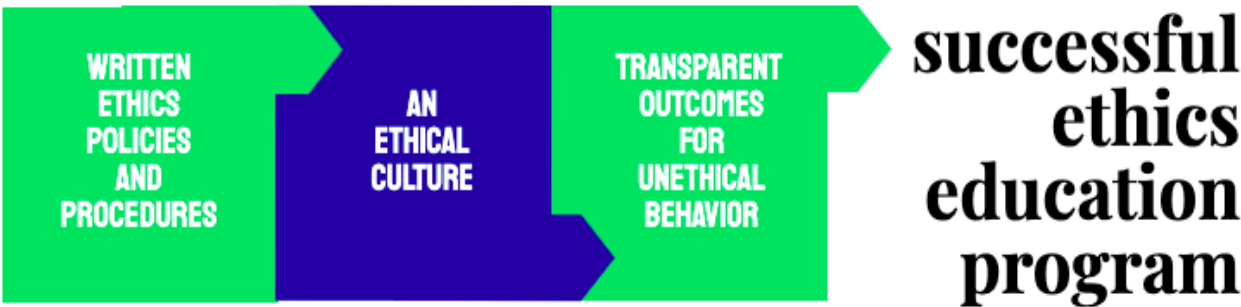
Direct Costs	Indirect Costs
Ethics Officer and potentially additional staff	Labor (Ethics Officer, Management, Administrative Officers)
Supplies for marketing and branding	Employee time to complete training
Purchasing/developing ethics training module	Space for in-person training
Purchasing/developing ethics training videos	Equipment for in-person and/or virtual training
Potential contract with vendor to operate new ethics helpline	Technology-related costs for managing the program
Potential contract to conduct follow-up survey on ethics in the City	Overhead costs for office space for ethics education program

Table 1: Cost Estimation

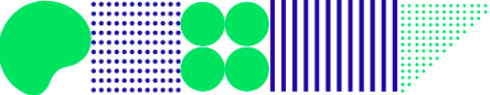
ANSWERING THE RESEARCH QUESTIONS

The research team set out to answer three questions, centered around 1. finding the most effective components for a new ethics education program, 2. ensuring the City is achieving the best possible outcomes from the program, and 3. building programs that can persist long-term. Below, the team summarized findings for each question.

What are emerging practices for workplace education and training programs?

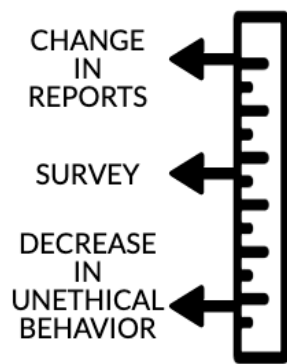


Emerging and best practices research showed that establishing written ethics policies and procedures, a culture that emphasizes ethics through communications, and as needed, discipline, form a strong foundation for an ethics education program. Organizations must develop or edit codes of ethics to be easily accessible and understood by stakeholders. Ethics education programs should focus not only on compliance but also on providing audiences with the knowledge and tools to successfully navigate ethical questions. Organizations must ensure



stakeholders understand the ethical standards and culture, which may require some cultural change. Integrating ethics into the culture will require not only occasional training, but year-round communication. The outreach and engagement should come from top City leaders and managers and supervisors, through multiple platforms: email messages, team, and one-on-one conversations, and branding through internal online portals, hard-copy materials such as posters, brochures and handouts, and departmental liaisons. Stakeholders will look to those considered leaders to model ethical behavior. Public organizations must also strive to inspire audiences through public service motivation, mission valence and civic provide, to demonstrate a commitment to ethics. Building public trust is of central importance. The public will look to all City representatives, from frontline workers to elected officials, to model ethical behavior.

**What are key measurements of effectiveness for workplace education and training programs?**



Ethical thinking and actions are not easily quantifiable. However, research identified some useful methods for gauging the impacts of an ethics education program. Distributing a survey to gather baseline audience attitudes towards ethics is a solid way to begin to measure progress. If possible, following up with a post-survey after ethics programming or interventions is even better. Other measures included observed changes in the volume of ethics-related calls received, inquiries and incidents after a training or other intervention, or in general on an anonymous basis. Increases in questions or reports is not necessarily a negative indicator, as the change may signify those participants are feeling more comfortable

speaking up to uphold the organization's ethical standards. On the other hand, lower levels of anonymity requested could also represent a culture in which the norm is to ask questions, and thus do not feel a need for confidentiality. The most obvious measure, but the one that may be the most important, is the overall decrease in unethical behavior.

**What resources are needed to create and implement an ethics education program?**

Research limitations, and the wide variety of ethics programs in existence led to difficulty creating cost comparisons. But the research team identified some resource needs with financial sustainability in mind. Staff time is likely to be the biggest expense, as seen in other jurisdictions. The number of full-time staff needed for a program must be carefully considered. Considering the wide scope of work that the ethics program is taking on, more staff are likely to be needed. As far as delivering training, the use of an online training platform would represent an economical choice. This method would allow for easier updating of the training if needed in the future. However, experts stressed the importance of holding in-person, in-depth discussions of real-world ethics case studies. City officials also expressed an interest in returning to more in-person training when possible (R. Garcia & F. Verdugo, personal communication, October 19, 2021). If in-person training





resumes, locations must be identified. In addition, launching a new ethics helpline or advice line may require hiring a new vendor to manage, to increase independence and anonymity. At a minimum, an additional line would come with a cost. Finally, creating new ethics training modules, and branding and marketing materials, will require resources, though the City will have a range of options in determining these options.

## **RECOMMENDATIONS**

Creating culture change is not an easy task for any organization. The City aims to develop a culture with a stronger focus on ethics through the development of an education program. Using analytic criteria that looked at effectiveness, impact and resource sustainability, the research team developed a series of recommendations described below. Following these steps will provide a solid foundation for an effective, measurable, and sustainable ethics education program that blends compliance and ethics. The team's recommendations are sorted by category - define, develop, integrate, train, and communicate - and then by timeframe in the table below.

### **Define Ethics**

In developing an ethics education program, the City should:

- Define what ethics means in simple terms, on an individual level, as part of a definition that aligns with the organization's mission, values, and code of conduct and ethics.
- Use the definition to create a memorable ethics-related motto.

### **Develop Ethics**

Once a definition is written, the City should then:

- Update the Code of Conduct and Ethics to include the new ethics definition and highlight the change through broad communications.
- Update the City's Ethics Handbook, under the name "Ethics Regulations," and only include legal requirements and policies. The idea is to separate these formal requirements from other education-oriented ethics materials.
- Place all ethics-related documents online for transparency and accessibility.
- Develop a clear, responsive action plan for managing ethical transgressions with accountability. The plan should include penalties or disciplinary actions for ethical misconduct and information on how retaliation is handled at the City.
- Create a reporting chart showing the processes, once determined, and post online.
- Identify short-term and long-term program goals. These could include training completion rates, the volume of ethics-related questions asked on an anonymous basis versus by name, and changes in audience opinions on ethics based on follow-up opinion surveys.

### **Integrate Ethics**

From here, the City should:

- Issue a policy directive for all City departments to designate an ethics liaison. Ethics program staff can then work with liaisons to learn the specific needs, perspectives, and priorities of each department. This will help the ethics education program to reach across the City, including those departments not under the authority of the City Manager.
- Develop an ethics helpline to encourage audiences to proactively reach out with ethics-related questions, concerns, or reports. The advice line would fall under the purview of





the new Ethics Officer, and provide multiple methods of contact including telephone, email, or online messages with an option to remain anonymous. Managing the line represents a significant time commitment, which one Ethics Officer may not be able to solely fulfill. The City may need to plan for implementation as a long-term goal when additional resources become available.

### **Train Ethics**

The City should then incorporate ethics into training with the following steps:

- Design a training that is no more than 30 minutes in length, with content that is engaging and inspiring. The training can touch on compliance, with specific policies, and reporting procedures, but should also cover how ethics applies to departments and individual roles. The training should include real-world examples and case studies that help participants critically think through scenarios that they may encounter. The training should be based on input from ethics liaisons.
- Update training material annually to reflect the latest issues, and updated policies and procedures. Keep content fresh and interesting.
- The training should be given to new hires to take within the first 30 days of starting their jobs, and for other audiences to take annually.
- Create a series of ethics "refresher" training tied to events of heightened ethics sensitivity around the year, such as holidays or elections, for target audiences.
- Develop and incorporate engaging and even entertaining training methods, such as videos demonstrating an ethical dilemma (these can also be purchased through companies such as Lockheed Martin). Other methods could include interactive ethics games and contests, and thematic posters that pose ethics questions.
- Encourage teams to discuss ethics topics weekly.

### **Communicate Ethics**

The final recommendation involves communicating the ethics program, which will be essential to program success. The City should:

- Weave ethics into as many communications platforms as possible, with messaging coming from various levels of the organization including the top. The City Manager, Mayor, and City Council should all communicate the importance of ethics, as leadership sets an example and strongly influences tone.
- Create a communications plan to reach target audiences throughout the year. This plan should include outreach tied to events during which audiences are more likely to face ethical situations, such as elections and holidays.
- Develop a creative branding campaign with the new motto, designed to appeal to public service motivation, mission valence and civic pride. The campaign should include hard-copy marketing materials such as a quick reference guide with frequently asked questions and answers to everyday ethics situations, contact information for the ethics helpline and Ethics Officer, and other resources. The campaign could also produce other collateral with the motto and helpline contact information.
- The City should incorporate new ethics-related language and questions in all City job postings, interview questions and the job performance evaluation process.



	SHORT-TERM First 6 months	MID-TERM 6 – 18 months	LONG-TERM 18+ months
DEFINE	Define ethics Create an ethics motto		
DEVELOP	Update the Code of Conduct and Ethics Update the City's Ethics Handbook Develop an action plan for unethical behavior Develop a reporting chart Place all documents online Identify program goals		
INTEGRATE		Select ethics liaisons	Develop an advice line
TRAIN		Develop 30-minute training Create “refresher” trainings Develop creative training strategies Encourage discuss of ethics at weekly meetings	
COMMUNICATE	Add ethics into main communication channels Create a communication plan Develop a branding strategy	Add ethics language to hire and onboard process	Conduct a post-survey

Table 2: Recommendations

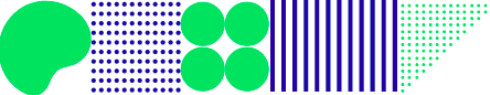


Using these recommendations will help the City create and implement an ethics education program that is effective, measurable, and sustainable. The recommendations are intended to provide the City with a proven blueprint that will enhance and simplify the creation of the desired program.

**"The government  
belongs to its citizens."**

**| Denhardt & Denhardt, 2000, p. 549**

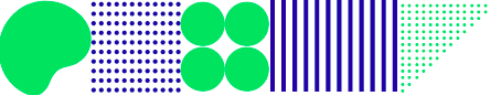
In response to Long Beach voters approving Measure CCC, the recommendations chart out short, mid and long-term plans to be carried out over the coming months and years. The program will serve the City's more than 6,000 employees, as well as elected and appointed officials, and candidates. The recommendations offer best practices, measures of effectiveness, and actions needed to design and implement a program that will strengthen the City's culture and build a stronger partnership between City officials and the public. With commitment from all levels, the City can achieve greater ethics awareness and improve trust.



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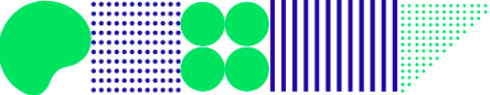




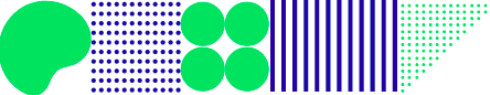
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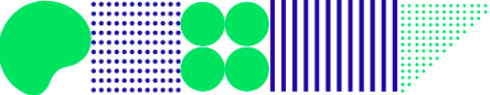
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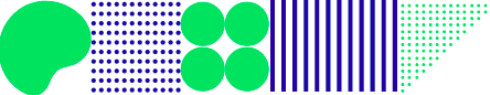
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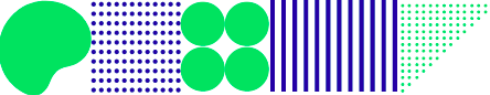
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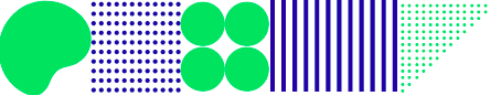
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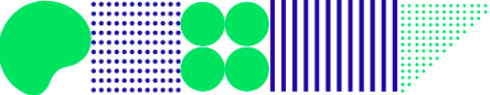
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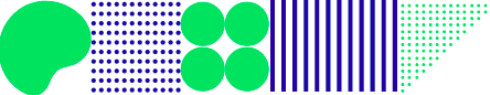
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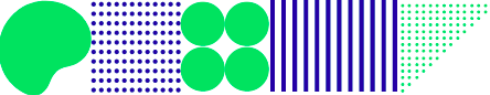
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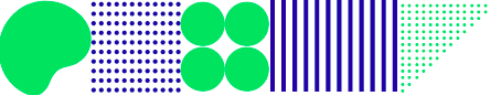


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## **Appendix A: List of Contacts with City of Long Beach**

### **Ethics Commission**

- Contact(s): Lani De Benedictis, Luke Fiedler, Kimmy Maniquis, Margo Morales (Vice Chair), Barbara Pollack, J.P. Shotwell, and Susan Wise (Chair)
- Date(s): November 10, 2021  
December 8, 2021
- Communication Type: Written questionnaire; Study Session at Ethics Commission Public Meeting; Presentations at Ethics Commission Public Meeting

### **City Manager**

- Contact(s): City Manager Tom Modica, Administrative Deputy City Manager Rebecca Guzman Garner, and Special Projects Officer Julian Cernuda
- Date(s): October 7, 2021
- Communication Type: Virtual Interview

### **City Attorney**

- Contact(s): Deputy City Attorney Amy R. Webber
- Date(s): September 23, 2021  
November 4, 2021
- Communication Type: Virtual Interview

### **City Auditor**

- Contact(s): Deputy City Auditor Alvin Chu
- Date(s): October 18, 2021
- Communication Type: Virtual Interview

### **Human Resources**

- Contact(s): Deputy Director Fred Verdugo, Human Resources Officer Ramon Garcia
- Date(s): October 19, 2021
- Communication Type: Virtual Interview



## **Appendix B: Ethics Commission Compiled Questionnaire Responses**

### **1. What are the primary goals for this new ethics education program?**

- Development of at least two online comprehensive and clear modules with user acknowledgement sections that can be delivered at a low cost, with various language options and trackable measures
- In-person session(s) should be accessible
- A separate section for elected officials
- Delivered annually and during new hire onboarding
- A standard process for all employees and elected officials
- Employees have a direct stake in the development of the program
- Topics should encourage employees to view decisions through an ethical lens
- Learning from other cities' ethical challenges
- Creation of an internal culture of trust and integrity with more open communication between leadership and employees
- Utilizing different methods of communication to reach all employee types

### **2. How would you define success in this project?**

- Over a five-year period, 100% completion rate of implemented training program and 95% of employees stating that the culture of the City promotes ethical behavior
- Sustainability (including by the different involved departments such as IT and HR)
- Employee involvement from beginning to end with results that can be seen
- Employees finding the training valuable
- Establishment of a recommended training rollout plan
- Establishment of a recommended accountability system for trainings
- An increase in questions, concerns, or reports from employees, elected officials and vendors
- Residents feeling more confident in decisions made by our City government

### **3. What topics would the Commission like to see incorporated into the ethics training?**

- Why ethics?
- Conflict of interest
- Avoidance of the appearance of bias
- Integrity in contracting
- Gifts
- Code of conduct
- City values
- Reporting/whistleblowing
- Anti-retaliation
- Anti-harassment
- Speak up culture
- How to use an ethical lens
- Ethics resources and accessible detailed source materials



- An organizational chart of ethics reporting

#### **4. Is there anything you feel we should know about the current Long Beach culture?**

- Employees generally want to do the right thing and work hard to do so but are stretched
- There is not a unifying, values-based culture
- Policies and guidance are not well-developed, easy to locate or available
- Low awareness on how to report wrongdoing and investigative processes to deal with traditional fraud, waste, and abuse (beyond the elected City Auditor's charter)
- Fire, Police, Harbor and Water departments seem to be exempt from the same standards as other departments
- Elected officials seem uncomfortable or unwilling to talk about ethics when they speak, let alone to provide robust funding for the development of an ethics program
- Decisions seemingly are made based on "who knows who" rather than a concrete process

#### **5. What type of impact do you envision a successful ethics education program can have on your community?**

- Raised public confidence in City government
- Increased civic engagement
- Increased City employee job satisfaction
- Empower City employees to be more engaged in improving best practices, correct weaknesses and identify root causes or leadership issues





## Appendix C: Semi-Structured Expert Interview Procedure

The research team used the following introduction, ground rules and questions in conducting interviews for the capstone project.

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an ethics education program. We are interested in gaining insights for our project, based on your experience and expertise in ethics. Your participation in this interview is voluntary, as we very much appreciate your time and willingness to assist us. We plan to use your input in the development of the final capstone report. The final report will be considered public record so if there are special requests for how you would like us to describe you, your role, or your input, please let us know. Let's get started!

1. What do you do in your current role?
2. What are some of the key factors that we should consider in developing recommendations for the City of Long Beach for a new ethics education program?
3. What are some of the most effective strategies you have discovered for influencing and securing buy-in across an organization, particularly with departments that are not under a direct line of authority?
4. What are some of the most effective strategies that you have discovered for developing successful training programs?
5. What are some key strategies with regards to training elected officials? Should or would their training differ? How so?
6. Do you know of any cities or local governments that you could refer us to that have developed successful ethics education programs?
7. Do you have any advice on how to measure effectiveness when it comes to developing an ethics education program?
8. Do you have any advice for developing a program that is fiscally sustainable?
9. What are some of the best engagement or communications strategies to place ethics front and center in the minds of employees, apart from occasional training?



## Appendix D: Expert Interviewees Biographical Summaries

**Alicia Olmstead** currently works in ethics and compliance for a global technology company. Previously, she served as a senior ethics program advisor with USAA, and before that as Assistant Ethics Officer with the City of Austin. In her role at the City of Austin, Olmstead helped develop a City ethics program.

**Melissa Kuehne** is a Senior Program Manager at the Institute for Local Government. There, she leads the Leadership and Governance program, which helps local governments build foundations of good government, develop leadership skills, and increase public trust. Previously, Kuehne worked for a member of U.S. Congress, for a California business improvement district and a collaborative policy center in Washington State.

**Suzan McGinnis** oversaw ethics programs for major global retail corporations, and currently serves as a senior advisor with the Ethics & Compliance Initiative. She is an adjunct professor at Fordham Law School's Program on Corporate Ethics and Compliance.

**Jeff Oak, Ph.D.**, is the former Chief Enterprise Risk Officer with Bon Secours Mercy Health, which is one of the nation's 20 largest healthcare systems. Under Oak's leadership, Bon Secours Mercy Health was recognized for its innovation and as one of the World's Most Ethical Companies. Oak also served as Chief Compliance and Business Integrity Officer with the U.S. Department of Veterans Affairs. A senior advisor with ECI, he holds a Ph.D. in Ethics from Yale University.

**John P. Pelissero, Ph.D.**, is a Senior Scholar in Government with the Markkula Center for Applied Ethics at Santa Clara University. He is also a Professor Emeritus of Political Science at Loyola University Chicago, where he previously served as Provost and Chief Academic Officer. Pelissero's research focuses on urban politics and public administration.

**Martha Perego** is the Director of Member Services and Ethics for the International City/County Management Association (ICMA). In the role, she provides advice, guidance, and training to ICMA members. She also oversees the ethics enforcement process and consults with local governments on developing ethics policies and codes. Perego conducts ethics training for local government staff and elected officials. Prior to ICMA, Perego served for nearly 20 years in management and analyst roles in local governments in Georgia and Pennsylvania.

**Shannon Prior** is an Area Coordinator for the Unified Homelessness Response Center in the Office of Los Angeles Mayor Eric Garcetti. She previously served for nearly a decade as a Program Manager and Analyst for the Los Angeles City Ethics Commission. She holds a Master of Public Administration from USC's Price School of Public Policy.

**David Tristan** is the Executive Director of the Los Angeles City Ethics Commission, where he has worked for three decades. Tristan initially began working for the commission as a college student and went on to work in every division of the agency.



**Jay Wierenga** is the Communications Director for the California Fair Political Practices Commission. Wierenga previously worked in journalism, before transitioning into public service. He served as the Public Affairs Director in the California Governor’s Office on Counterterrorism and in the Secretary’s Office at the U.S. Department of Homeland Security.



## Appendix E: Alicia Olmstead Interview Notes

Virtual Interview: October 26, 2021 at 12 p.m.

Attendees: Alicia Olmstead, Richard Aguilar, Michele Clock Schrotenboer & Kierra Lewis

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

### Team Introductions

What do you do in your current role?

I currently oversee the code of conflict, ethics, special projects, and the World's Most Ethical Companies application for a global technology company. My previous position was in the Ethics Office with a financial services company and before that, I was the Assistant Ethics Officer in the Ethics Office at the City of Austin.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on the new ethics education program?

Creating an advice or help line that people can directly report and/or ask questions regarding law, policies and procedures that is separate from the City. The ability to report or ask questions anonymously will help with developing trust within the organization. Trust is essential for any ethics undertaking within an organization because if employees don't trust the system, they are not going to come forward.

What are some of the most effective strategies you have discovered for influencing and getting buy-in without a direct line of authority?

It is important to educate and engage middle management.

What are some of the most effective strategies when it comes to developing successful training programs?

Make it applicable to the people. Find scenarios that would happen in a participant's actual job instead of using abstract concepts. It's important to always bring it back to their experience so it will create a lasting impression.

What are some key points regarding training elected officials? Should or would their training differ? How so?

The engagement and training requirements should be the same but just updated the scenarios to reflect the issues they face (just like you should do with other departments).

Do you know of any cities or local governments that have developed successful ethics education programs?



When developing the program for the City of Austin, I spoke with Music McCall at the City of San Diego. In looking at other programs, you should consider looking at private companies as well. Even though they typically have more funding, they have great ideas that could be replicated for a lower cost through the City. People are the same, no matter the organization, so you want to avoid reinventing the wheel.

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

If you were to develop a help line that allowed for anonymity, looking at the rate of anonymous calls can be used as a measure of trust. A lower anonymity rate means more trust in the system. A pre and post survey is a great way to measure, however, you want to keep the survey population, questions, and metrics the same so it's important to consider how the survey is presented in the beginning. In conducting our survey for the City of Austin, it was crucial we had a high response rate, so we went out to departments, set up kiosks and emphasized how important it was to hear their thoughts. We had a 75% response rate.

Any advice for developing a program that is fiscally sustainable?

With the City of Austin, the budget was very minimal. We tried to do everything in house and find the most cost-effective methods.

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

Keep middle management involved and engaged. Direct supervisors have more influence on employees than the top management because it allows for employees to share their direct experiences. Keep the topic fun. Creating memorable slogans or funny pictures will get people talking to each other and will stick with them for more than an hour-long training. Keep conversations going. Talk about ethics at the water cooler, during your weekly huddle, at every public meeting.





## Appendix F: Melissa Kuehne & Jay Wierenga Interview Notes

Virtual Interview: October 15, 2021 at 11 a.m.

Attendees: Melissa Kuehne, Jay Wierenga, Richard Aguilar, Michele Clock Schrotenboer, Heather Lee & Kierra Lewis

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

### Team Introductions

What do you do in your current role?

Melissa - senior program manager with the institute, leads their leadership in governance program. The program has materials for people new to public service to help them navigate the process.

Jay - background in journalism, tv anchor and reporter. He was the Public Affairs Director for the Governor's Office on Counterterrorism. Then merged with emergency management, public affairs for all bad things, worked in Washington in DHS, at the Secretary's Office, came back to CA and started working with the FPPC.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

N/A

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

A directive would need to come from a City Council ordinance covering all of it. Adding laws is not always something people want but to capture the most amount of people, you may have to do it at that level, because otherwise you are going to get a disconnect between various departments. If it covers everyone considered a public official in a decision-making vein, may have to start at that level.

What are some of the most effective strategies when it comes to developing successful training programs?

Providing online, virtual training has increased participation drastically. There must be a balance between the in person and digital. Make sure you are cognizant of design, tailored to the folks that you are training, interactive, nobody wants to be talked at for two hours. Make things interactive, offer real-world examples, grounding training in things that they may come across in their day-to-day lives. Try to foster a culture where the staff feel comfortable asking questions and or there is a clear venue to ask questions. Some of these things slip through the cracks because they are not always top of mind. The more you can codify it and make it a routine part



of the practice. What a City Council member needs to be trained on is different from a manager of a Public Works dept. v. who works for the Public Works dept. and even those not required to file a form 700. The more you can develop a culture of opting for transparency and ethics, not saying every single person must take training, but to offer it to them, no harm in that.

What are some key points regarding to training elected officials? Should or would their training differ? How so?

N/A

Do you know of any cities or local governments that have developed successful ethics education programs?

San Diego, LA, San Francisco, Oakland are cities that have programs.

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

N/A

Any advice for developing a program that is fiscally sustainable?

If there are limited resources, use ones that are already available (FPPC, etc.), take advantage of conferences, etc. where information is already available.

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

Use this as a branding opportunity, promote the program as much as possible.



## Appendix G: Suzan McGinnis Interview Notes

Virtual Interview: November 4, 2021 at 12 p.m.

Attendees: Suzan McGinnis, Richard Aguilar, Michele Clock Schrotenboer, Heather Lee & Kierra Lewis

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an employee ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

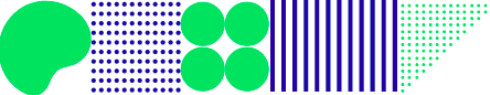
### Team Introductions

What do you do in your current role?

I have a master's degree in Library and Information Science, and I spent 12 years as an academic librarian. It wasn't moving fast enough in academics, so I went to law school in my 30s. I completed law school in Minneapolis and became an attorney. I have lived in Illinois, Wisconsin, Texas and now Minnesota. After law school, I joined the legal department at the Blue Box (180K employees) and did compliance work. Compliance and Ethics programs were separate within the organization and the Chief Ethics Officer sent out an email asking if anyone wanted to help with the Code of Ethics. I advised my boss that I wanted to do that and was told that I could, but I couldn't spend a lot of time on it. Twelve years later, I was running the ethics office. After the Blue Box, I moved over to the Bullseye (350K employees). They were looking to create an ethics program. I set up an ethics program for them and left after about two years. After the Bullseye, I went to work for a training and communications vendor and worked there for two years. Just six weeks ago, I left that job to start a third career. At 53 I am now a real-estate agent, fulfilling my passion, and working for a broker here in Minnesota. Ethics and Compliance is very near and dear to me and I did it for about 16 years but have since left the profession. The Blue Box was a member of ECI as a company. I used them for advisory services work and for ethical survey work. After the Blue Box and Bullseye, I was going to work for them as a senior consultant in the advisory services group of the organization but went to a competitor and couldn't work for them. They are a great example of someone you or the city can tap into. They're top notch and I have a great deal of respect for them.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

I would stress that an ethics hotline should be managed by an ethics team and not a different team. I have had to have a battle of moving the hotline from HR into the actual ethics space, and it can take a while. But if you keep to the fundamentals of what an ethics officer and an ethics program should be. Part of it should be the independence from other parts of the organization. Compliance is not the same as ethics. Is there a code? Do you have a hotline? What ethics policies are there in place right now? But, before all that, do you have a definition of ethics? The Bullseye did not understand what ethics was within the organization. I had to define it. I took the



message overseas and had to bring it way down. Might not be your personal definition of ethics but it's what the organization stands for. Must communicate this message. Conflict comes when people's individual definition of ethics doesn't match with what the organization says it is. Define and build off values. The definition should be broad enough for people to embrace and understand. Do not over think. Make it simple. Little words and short sentences. Talk like a human. Go with the 80/20 rule. In my experience, the team and I created the definition but socialized it from top to bottom. You'll learn more from the bottom up than you will from the top down. The new ethics officer will need to have a standalone code. Big areas – Confidentiality, Conflict of Interest, and Gifts & Entertainment (with travel in some cases). A handbook is an HR tool and is more of a check the box – here's what you do – a process. Ethics is principles. One way to effectively communicate to employees is through a standalone code. If you're looking to change culture, you must communicate expectations and put documents out there so people know what to expect. Show them how, what it means for them and what their role is in achieving a better culture. Legal things should remain in the handbook (Brown Act, etc.)

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

N/A

What are some of the most effective strategies when it comes to developing successful training programs?

Pitch and connect – help them see the vision – what it means for them – get the buy in at middle management level. Target people who are your advocates. I used the “Drip Campaign” – I consistently connected and gave them something of value (drip, drop). Leaders don't want a rogue employee, so it's in their interest. You can embed questions / small ethical culture surveys within surveys and analyze, but you need processes and systems in place to get the data.

What are some key points regarding training elected officials? Should or would their training differ? How so?

N/A

Do you know of any cities or local governments that have developed successful ethics education programs?

N/A

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

With the DOJ, that's their favorite thing. You've got to develop processes and tools so that you can use the different factors to determine if they are effective. Change definition of effectiveness, rolling conversation, evolving, measure how did we did this year, how many calls, what were they about, how many investigations, what did those turn up? Documenting why we did what we did, if based on the data. We gave a conflict-of-interest training, data showed they needed it. Then we went back and gave them a survey six months later and measured whether they still understood it. Went back and trained them again. There are 7/8 elements of an effectiveness ethics program according to the DOJ, that provide a basic framework for you to use. Measuring



effectiveness is a constant activity. You've got to refresh that and see if what you're doing is working. Surveys are great and can do a lot of this on the skinny.

Any advice for developing a program that is fiscally sustainable?

N/A

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

You need a training and communication plan – not all training is the same. Look 2 years out. What are you going to do? If you do a once a year 45-minute training – that's horrible. Nobody wants to do that, it's a way to really lose people – don't do that! Break it up. Use data that you have, from the hotline. What type of calls are coming in? What kind of questions are they getting? From that you figure out what kind of training people need. What kind of communication is needed? Plot it out. One suggestion: one training every year should be 20 minutes, use short training sessions. That's what people want. It must be interactive, with video, or using different things, different media to reach people. Break things off quarterly. For example (in retail), everything centers around the holidays, back up from that. You will need to cover accepting gifts from vendors during the holidays. When would you need to do that? How long do you need to remind people about that? Who needs to get it? Not everyone needs it. Gifts and Entertainment, probably not everyone. Sexual Harassment, everyone needs that training. Think about when training will be needed and who is your audience. Take the 6,000 employees and divide them up and decide who needs training, which training, and how often. There are things that don't necessarily need to be in the training, so think about communications, maybe short videos from City Manager/leaders (quarterly – 2 minutes). There are "canned" training that can be purchased, and some can be customized. Think ahead 18 – 24 months and work backwards. Conflicts of interest training (example), maybe you offer it every year in February. In general, people don't try to do "bad" things. For most people, it was a mistake. When you start from nothing you must give people a lot of "space" and "grace." Hotline to Help Line – there's a difference! Provide guidance as opposed to investigations.





## Appendix H: Jeff Oak Interview Notes

Virtual Interview: November 11, 2021 at 12 p.m.

Attendees: Jeff Oak, Richard Aguilar, Michele Clock Schrotenboer & Heather Lee

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an employee ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

### Team Introductions

What do you do in your current role?

I have a PhD in ethics. When I graduated, there was no such thing at the time such as an ethics officer. I was approached by a local not-for-profit to help launch an ethics committee. This was clinical ethics, not the kind that you are focused on. It looked at ethical decisions at the end of life. I fell in love with healthcare through that experience, and ended up not going into teaching, at least not in an academic setting. Being an ethics and compliance officer has profound ethics dimensions. I still consider myself an educator, though not in the traditional way. I built the first ethics and integrity program for that small community health system in the immediate aftermath of the first ethics and compliance program frameworks promulgated by the office of inspector general in the DHHS. That was the first of what would become many industries guidance for companies. Then worked in a small boutique ethics and compliance turnarounds for companies that had gotten in trouble. Then I was recruited to my first major turnaround in house for a large health system that had gone through \$120 million financial fraud, and my role in that position was to build a culture of integrity across the organization. I'm pleased to say that during the time I served there, the organization went from being a national news, to being recognized as one of the most ethical companies. Following that, that company merged with another company, and I served as chief enterprise risk center. Ethics and compliance reported to me, and enterprise risk management, and I retired from there. Now working with CEOs of small to midsize companies on broad, organizational, leadership initiatives. The PhD degree really helped with thinking analytically and critically, and driving to root causes, core principles and the like. The discipline of ethics is very much -- at least where I did my education -- it gave very substantial attention to foundational topics in philosophy and religious studies. There was no thought previously to differences between philosophical and religious thought. Very substantial attention and rigor towards philosophy and applied those foundations to concrete domains of human life, economy, family, medical issues, and business issues. And so, the discipline in which I was taught was really all about taking what I would call first principles, foundational concepts and applying them to concrete foundations, and that intellectual activity is very much what an ethics and compliance officer does all the time. I'm an integrative thinker, where I think I have some capabilities in bringing together divergent ideas and concepts and relating them to each other. I was the first business integrity officer for the Veterans Health Administration. That was the first turnaround where I was brought in, in the aftermath of a GAO audit, or series of audits. The



General Accountability Office did audits that revealed improper billing in the amount of \$650 million. Veterans' Health Administration is part of the Veterans Administration.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

If I were preparing a report like the report that I think you're doing, I would really ask the question, what problem is the City trying to solve? I've led ethics and compliance programs in really four different organizations and then done a bunch of consulting, and each ethics and compliance program is a little different based on leadership's understanding of the problem that the ethics program is intended to fix. In the case of the Veterans Health Admin, the problem was improper billing of private insurance companies, improper billing of private insurers, so education was really focused on that problem. At the health care organization where there was financial fraud of \$120 million, they didn't say we need to fix what that chief officer did. They said we need to address the culture of the organization, b/c no one came forward and said there's something that is funny here. Something doesn't make sense. They construed very appropriately the problem to be building a culture of integrity. Another organization that I worked with, where they had a narrow focus, we need to make sure that the way we build Medicare, that we get all the money to which we are entitled. It wasn't an ethics program, focused on complying with extremely granular Medicaid needs. None are better or worse than the other. The organization that built a culture of integrity is the most robust vision, ethics, and compliance program in general, and education needs to be targeted to the risks that the organization faces. So, one might ask, the first question I would ask is, we can't design the things that we are going to teach on, until we clearly understand the things that the organization needs to be educated on. Education should be responsive to the risks that the organization faces. The ethics officer can play an influencing role, to help leadership.

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

I would encourage them to understand the very specific circumstances, and where were there knowledge gaps, where were there behavior gaps, where were there potentially gaps in understanding the policy, and/or not following the policy, and/or instances where the policy was not followed, and then perhaps examining or trying to find out about other government entities, other major cities where there have been conflict of interest issues, and specific examples of those issues. Because you only know the conflict-of-interest issues that you know about. But there may be other conflict of interest issues from other cities that would be instructive to the City of Long Beach. Maybe it hasn't happened to us yet, but it happened to the City of Buffalo, NY, and we don't want the same thing to happen to us. Maybe it was in St. Louis, or whatever the city may be. I would advise your client to use case studies, very specific examples, or even actual cases. But be careful if the case is active or in dispute. Be careful with live cases. But one can read examples from other cities around the country of conflict-of-interest issues, and gather a fact pattern, and craft a case study that is hypothetical, but that brings in fact elements from actual cases, without using those actual cases. Even in an actual case, if you pull together a series of facts from actual cases, and create a hypothetical, but all fact elements are plausible, those in political roles, that case study, there is an instant recognition, that really could happen. Or that's the kind of thing that did happen here. Case studies I've found are extraordinarily effective, to get people's attention and be a vehicle for communicating, if you take conflicts of interest, and



are certain key elements, defining what a conflict of interest is. What are the obligations to disclose potential conflicts of interest? You've got to make sure that what you're educating on is current, credible, and comprehensive, and has been vetted. Need to get input from all levels, to make sure that the code of conduct or policy is realistic, plausible, that it makes sense, that it's enforceable, that it's not ridiculous. Got to have credibility, what would a Dilbert cartoon character say about it. Perhaps you need to get more input. I would start with a foundational document that grounds what City government is and the purpose that it serves. That would be a very important place to begin and then let me take you from there, in a process that I would also recommend. Let's say the City has part of a mission statement about serving the public interest. What does it mean to serve the public interest? You must be trustworthy. What goes into that? Need to have a reputation that is not stained. What is required for a reputation that is not stained? One part of reputation in public trust is respect for others. What does respect for others mean? Means some things that apply to everyone, don't talk demeaning, hostile work environment, say disparaging things about gender, or ethnicity, sexual preference, or what have you. There are certain things that it means for a general manager, and here are the behaviors that go into that. To define respect at a behavioral level. Address people by their title, don't make disparaging comments, could probably get 4-8 behaviors that apply to everyone. What does it mean in the HR dept. that we have to comply with certain rules promulgated by some relevant agency, EEOC or CA version of it? I'm sure there's a very specific policy related to not creating a very specific hostile environment. Easy to operationalize the value of respect. May mean something different in procurement function, what respect looks like here is different. How respect is operationalized in HR function, is different from procurement. So, looking at behavioral specifics – what do honesty and respect look like? Here's what that quality looks like. And what does it mean, from an operational standpoint? May be a case study, cartoon, power point, but describes what Mary should do. Making something that is highly theoretical, or a value or principle of respect, and bringing specificity that you can build norms around. And what you want to get to are statements that you would commonly see in a code of conduct, or a policy, which is, we expect employees to do X, and must not do Y, and depending on the circumstances they may do Z. It's about getting from the mission, and abstract concepts, down to an operational level, business practices level. The leadership of the organization needs to understand its employees. Many organizations don't, and they won't if they don't take the time to understand. So, I would recommend asking the frontline employees how they have experienced respect and disrespect. Know your audience. Spend time understanding your audience, and ethics and compliance programs in general. The value of them can be different based on where you sit. It will be incumbent on the ethics officer to be facile, and flexible in their thinking to articulate the value of an ethics and compliance program for different audiences. One must be a bit of an anthropologist and really understand the different cultures within an organization and customize the education message so that it is understandable.

What are some of the most effective strategies when it comes to developing successful training programs?

Education needs to capture the culture. How do employees understand that culture? That may be reflected in organizational focus groups, looking at what is the culture of the city, what does it mean to you. They can try to capture that. Try to weave the words into the education, so that it makes sense for them. By sneaking in those things that are unique to the culture. The training shouldn't be a burden, this should help you. (Too often, it's) like drinking cough syrup, it's good



for you but doesn't taste good. Can be very difficult. But the message can be encouraging pride in the organization and making a more engaging place to work. So that we can be proud we work for the City when we go to the grocery store. One must find these things that appeal to audiences. You want education that resonates with employees, that improves employee engagement or loyalty to the company, that makes people feel proud so they make discretionary efforts, there are ways that you can describe this, it's subtle, and difficult, and important to do. You can have general and specific education elements of the training. You need to understand the different departmental cultures in the organization. When you do this, you should: (a) Highlight the importance by use of topics that are applicable to departments (go more specific and customize to job/level of position) and (b) Customize the education so it can be understood by each department (weave phrases commonly used in the organization into the education/code of conduct).

What are some key points regarding training elected officials? Should or would their training differ? How so?

N/A

Do you know of any cities or local governments that have developed successful ethics education programs?

N/A

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

Creating measures of effectiveness is not a unique problem or challenge. You can do a test, looking at whether an individual understands the conflict-of-interest policy, testing if I've read it and understand the concepts, but that's different from following a policy. So, the test that an ethics and compliance officer is most interested in participants passing is the behavior test, not the multiple-choice test. There are specific behaviors that ECI has promulgated or come up with, and promulgated in its research, that I benefited from as a practitioner. I'm not going to remember them all, but they include employee perception of how often misconduct occurs, perception of when misconduct occurs, the likelihood that I will report it, when misconduct is reported, employee perception or level of confidence that the organization will handle it appropriately, the level of confidence that when I report something, that report will be held confidential. Employee perception is about as close as we can get to actual behavior. One measure of effectiveness might be to do a follow-up survey for the purpose of management continuing to drive ethics culture improvement (but don't box them in). Continue to monitor culture, but don't dictate what is done with the report. You can't measure application of concepts, can only measure understanding of the technical aspects. You can see employee perception of how often misconduct occurs when it occurs. Does the employee have the confidence that the organization will handle it appropriately when misconduct does occur and/or the level of confidence in confidentiality of reporting. You can use pre- and post-surveys and see what changes in the results.

Any advice for developing a program that is fiscally sustainable?

Ethics and compliance is a very thinly resourced function. Every organization has conflicting priorities. It is very hard to measure costs because organizations define differently what goes



under which budget category. For example, with ethics champions for example, or people whose job it is to do something else but spend a certain portion of their time on the ethics and compliance program, I didn't think that time is captured in the ethics and compliance budget.

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

It's a great idea to create a catchy phrase for the program and marketing the program.





## Appendix I: Dr. John Pelissero Interview Responses

Interview Questionnaire Response

Attendees: Dr. John Pelissero

What do you do in your current role?

The Markkula Center is an interdisciplinary group of scholars, researchers, and professionals who focus on how decision making and policy making can be done with greater awareness of ethical standards. My role in the center is to focus on government, political, and election ethics and be a resource for government officials, the media, and organizations interested in issues related to applied ethics.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

The most common issue is conflicts of interest—how to recognize them and ways to avoid creating such. Another is how to ensure that decisions in government will serve the public interest and not a private or political interest. One of the important lenses that is used by applied ethicists is that of “fairness and justice.” In any diverse community, it is critical to ensure that government actions meet the ethical standard of being fair and just for all. Generally, this means treating individuals the same, unless the ways in which they differ (e.g., gender, race, ethnicity, age) are relevant to decisions being made. I believe that demonstrating to the residents of a city that the local government is committed to serving all residents with fairness and justice is an important ethical standard to meet. Identify the key issues related to ethics that confront Long Beach public officials to ensure that training is available on relevant topics. Surveying elected and appointed officials might be worthwhile to see what they deal with in their jobs that raise ethical issues.

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

N/A

What are some of the most effective strategies when it comes to developing successful training programs?

N/A

What are some key points regarding training elected officials? Should or would their training differ? How so?

In general, make the training concise and relevant. Don’t try to develop a one-size fits all approach but tailor training modules to the audience. For example, the police department may have different ethical decision-making matters than those facing the city revenue department. And personnel who are public facing will have different ethical training needs than personnel who work behind the scenes in government offices and do not interact with the public.

Do you know of any cities or local governments that have developed successful ethics education programs?



You might want to look at both the County of Santa Clara and County of San Diego that have strong ethics policies and training requirements for employees.

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

N/A

Any advice for developing a program that is fiscally sustainable?

N/A

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

N/A



## Appendix J: Martha Perego Interview Notes

Virtual Interview: November 4, 2021 at 12 p.m.

Attendees: Martha Perego, Richard Aguilar, Heather Lee & Kierra Lewis

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an employee ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

### Team Introductions

What do you do in your current role?

I spent 17 years in local government prior to joining ICMA. I went to Penn State, then the University of North Carolina at Chapel Hill, where I earned a master's degree. I have worked in Savannah, GA and Pittsburgh, PA. My work with ICMA includes some ethics enforcement, teaching and training and I'm the Director of Member Services.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

Look at common ethical issues such as conflict of interest, gifts, and political activity. What are ethics? What is it? Need a common definition. The difference between ethical and legal. Values. Common issues. Present cases as examples. There are also potential pitfalls. Don't waste time and money if not committed to it. Commitment from leadership is a must. They must be willing to spend the money to develop the curriculum and bring people in to do training during workday. Include internal stakeholders in describing what the City's values are.

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

N/A

What are some of the most effective strategies when it comes to developing successful training programs?

Have the necessary funding. Make the ethics training mandatory and yearly. Use communication methods to keep the topic alive. People learn from listening to each other. The message can be spread and learned through word-of-mouth and the actions of others. It can be brought up at staff gatherings as well. Leaders should have online and in-person training that is more intensive training than the employees training. The leaders should understand how it affects employees. I don't think that virtual training is habit changing. But I do understand that for regular employees it could be more accessible. If the training is done virtually, hire a firm to develop it.

What are some key points regarding training elected officials? Should or would their training differ? How so?



Find lawyers who talk about law and ethics to teach what the law is and all the ethical things that they could get in trouble with. Consider the power dynamics, how do you address an official saying inappropriate things (unethical situations).

Do you know of any cities or local governments that have developed successful ethics education programs?

Fort Collins, CO, Hillsboro, OH or Chesterfield County, VA.

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

Here are some questions to consider: Where do employees go for advice? Are there more requests for advice? Are there more complaints after training? And Pre and Post assessments can be used.

Any advice for developing a program that is fiscally sustainable?

N/A

What are some of the best engagement or communications strategies to use to keep ethics front and center in the minds of employees?

Use a messaging app, informal conversations that can be done during lunch time (brown bag), in-person, and find ways to embed into culture.



## Appendix K: Shannon Prior Interview Notes

Virtual Interview: October 21, 2021 at 12 p.m.

Attendees: Shannon Prior, Richard Aguilar, Michele Clock Schrotenboer, Heather Lee & Kierra Lewis

### Team Introductions

We would love to hear about your experience at the City of LA working for the ethics commission. Can you tell us about your role and what you did?

The LA City Ethics Commission Program covers campaign finance, lobbying, and government ethics (ethical behavior of city officials). Requirements apply to anyone who is making decisions or influencing decisions, and there is an enforcement mechanism, commission can levy fines, to charge people who are found to be in violation of any of the city's regulations. The commission also handles live and online ethics training as well as producing brochures.

What did you find to be successful about the ethics efforts at the City of LA and where was there room for improvement?

We were always struggling with lack of resources. In my job, I was wearing a few different hats, so it was challenging to really focus on education. In a perfect world, you want to be a consistent presence in the minds of all City officials. We used to do newsletters quarterly. You want there to be consistent communication, but having the awareness, and materials out there is important. Something that any good program will do is a good communications plan, probably quarterly, looking at the calendar and being proactive. Another thing is to keep an eye on that election calendar. For example, in the City of LA we have elections coming up next year. The mayor's office and half of the council districts are up for election, as well as a couple of other citywide offices. So, this is the time to start preparing. There are the post-service City restrictions, too, a cooling off period, revolving door requirements. So, you want to take a proactive look at the calendar, and what issues are going to flare up. Most people don't want to violate the law. It's a matter of educating them about which restrictions apply.

How do you motivate people with ethics?

One thing you can do is use in-person training with smaller groups in which people can pay attention and feel safe to ask questions. You want to be proactive and reach out to people instead of waiting for problems to present themselves.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program? Particularly for centralizing a program that is currently quite dispersed?

Have department liaisons that can be used as contacts. Make the training practical.

Did you have a specific definition of ethics?

Always ensuring the decisions you are making are in the best interest of the public. Serving the best interest of the public, without the influence of how it's going to impact you personally.





What would you say to really get their attention? I would talk about public trust, emphasizing how critical the public trust is to accomplish anything in government. If you don't have it, then not going to be on board with anything.

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority? (i.e. elected officials and departments not under the City Manager in the City of Long Beach).

Challenging even when you do have a directive from the mayor. Some departments where the jurisdictional issues were complicated, when they are not a City agency, but you are assisting them to some degree. I think it can be very challenging.

Do you know of any other cities or local governments that we could look to, that have developed successful ethics education programs?

I know there is an annual ethics gathering of ethics commissions for municipalities.

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

One way is by conducting surveys after trainings. Also, as part of the online training, there's a three-part training, that requires the participant to take a quiz to advance to the next part. The participant passes with some percentage. That's a way to gauge understanding. In terms of outputs v. outcomes, I don't know if we were clever enough to measure outcomes.

Any advice for developing a program that is fiscally sustainable, that uses limited resources? Are there ways to do this that are careful with spending?

Offering training online allows you to get it done economically. Adding a service could be piggybacked onto an existing contract.

What about folding ethics into hiring practices as a priority criteria?

Yes, I like that idea. Making sure to tie it back into public trust, serving the public, and making decisions that would engender public trust.

Overview, what must ethics programs do?

Step 1 is awareness, there's a lot you aren't going to remember, but hopefully you will remember where to go for resources. Step 2 If you're at all unsure, call! Having someone there who is responsive and willing to help, customer service oriented who can provide answers and advice.



## Appendix L: David Tristan Interview Notes

Virtual Interview: November 4, 2021 at 12 p.m.

Attendees: David Tristan, Richard Aguilar, Michele Clock Schrotenboer & Heather Lee

Thank you for taking the time to speak with us! Our research team is working with the City of Long Beach to create a series of recommendations to support the development and implementation of an employee ethics education program. We are interested in gaining insight from you, due to your experience and expertise in ethics. Your participation in this interview is voluntary and will be used in the development of this report. The final report will be considered public record so if there are special requests for how we include your information, let us know. Let's get started!

### Team Introductions

What do you do in your current role?

Having been with the ethics commission for 30 years, I've had the luxury of being able to work in every division of the agency, from being an analyst on the variety of the programs, to heading programs, conducting investigations, and more. This has been my career, which meant that when I started, I was going to college part-time. Our agency is one of the more robust ethics commissions in the entire country. We are an agency that does the work from start to finish in the areas of campaign finance, government ethics and lobbying laws, and some work in contracts. We create legislation, provide advice and guidance, receive filings related to disclosures, and conduct enforcement of those laws. So, I have a good sense of the work it takes to establish some educational tools, but a lot of things that come into play. Not to speak of funding to do it well.

What are some of the key factors that we should consider in developing recommendations for the City of Long Beach on its new ethics education program?

N/A

What are some of the most effective strategies you have discovered for influencing and getting buy in without a direct line of authority?

Mayor can issue a directive, may be the City Manager, or the City Council, to all departments saying we want you to do x y or z. Over several years, Mayors who have chosen to make a strong point of ethics, have issued mayoral directives, I could send you links to some links to them. That would be one avenue to do that. We created ethics liaisons, asked all departments to appoint someone to be ethics liaison, to be key point of contact. In this role, liaisons collect financial disclosure reports. We work with them to find out how things work in that department, in terms of culture, processes, steps, and to establish ways to better communicate with those departments. Everyone at different levels uses different languages. Every department has a different language. Saying you can't accept a gift, may be interpreted differently by different departments and levels. I would recommend that you build relationships with departments. With the liaisons, you have that point person as we work through these issues.

What are some of the most effective strategies when it comes to developing successful training programs?



We do the legally mandated training, and ad hoc training whenever requested. After an election, we will work with any new staff, and if a council office reaches out, then we schedule it and conduct it. Pre-COVID, we conducted the training in-person, but they are online during COVID. We like to focus the training on what the issues are for that office. We also take the opportunity to have a private discussion with key staff. Everything that we have is developed in-house, our website, even the online training, we have conducted in-house. We develop all the text and materials. The ethics training, we did it and what's online is what we put together, but we are going through and updating it. We are using a vendor for updating. All the commission employees are at will. We have two programmers on staff who program our electronic filings. We include everybody in communication discussions, including all parties that are going to be part of it, because we want to hear what the issues are. (David says he tries to hire well-rounded, multi-talented employees to build a resourceful organization that can do as much work as possible in-house).

What are some key points regarding training elected officials? Should or would their training differ? How so?

N/A

Do you know of any cities or local governments that have developed successful ethics education programs?

N/A

Any advice on how to measure effectiveness when it comes to developing an ethics education program?

On our campaign finance front, what we found was perhaps a candidate had the wrong information on a statement, rather than committing a violation. We didn't get a sense that they were trying to skirt laws, they just weren't aware. Sometimes it is just time consuming for candidates to know the details. They are concerned with getting voters. So, we started creating tools to help them comply with the law, did field audits, met with candidates, letting them know they need to keep records like this. In terms of compliance, we found that 90 percent have zero findings. That is something we can measure. We had to put effort into it. In addition to the compliance program, we created tools and policies to encourage committees to fix things, so they don't become findings after the fact. We've done surveys here and there, and we get good numbers, but I think employees may say what sounds right. It is very challenging. All we can do is continue to try to educate, provide them tools to make them aware of this, and do our part to continue to try to change the culture. But start with the basis that most City employees do start from a good place and are wanting to do the right thing. We use the enforcement process as an education tool. But there must be something more than the carrot.

Any advice for developing a program that is fiscally sustainable?

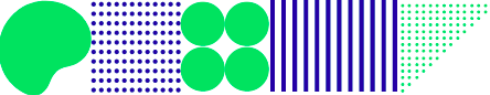
We have 32 full time staff members. City has close to 40,000 employees. And who we regulate are not just City employees, but also elected officials, and candidates. We also oversee LAUSD, lobbyists, lobbying firms, clients of lobbyists, and every contributor who spends money in local elections, and bidders of \$100K or more in the City. When I say we oversee them it's not just providing advice. It's conducting training and enforcing cases. With the whistleblower hotline, we are mandated to investigate any call we receive. We have a very robust ethics program. I've been on when we had only 15 staff, now we're at our high. Thirty-two is still not enough for the



work that we are mandated to do. One of the things that the City is going to need to do, is look at what are going to be the best practices, for their department and really focus on funding them. One person is going to be very challenging. We receive 20-25K filings a year, a lot of interaction that hasn't always been there. Establishing an ethics liaison group, may help the person reach out to the departments and share the information, creating material specific to issues. We created one pager that focus on land use of entities, that's what a lot of the lobbying has to do with. Putting things in people's language. If talking to the Port, something short, quick, and understandable, speaks in terms of gifts, and using scenarios that are relevant to them, not going to be the same as in Rec and Parks. Getting information whether through an ethics liaison, what are the issues that you are seeing, and what are the concerns that you have. A lot of our work happens through digital means because of the resources required. The City has a mandatory ethics training for certain employees every two years, those that are required to file form 700s. Those are individuals defined as those with authority to make decisions. That is a state mandate. But the City has its own requirement, but that tool, while it's mandatory, nobody likes to take a two-hour training on ethics.

What are some of the best engagement or communications strategies to use to place ethics front and center in the minds of employees?

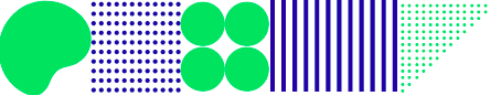
We have used that as a jumping off point to do regular communications to staff on issues. Candidate updates every month and a half or so, send our regular communications to the candidates, reminding them about city laws, city fundraising windows are 18 and 24 months, so activity for our candidates starts early. We send those updates reminding audiences on the contribution limits, reminding them about how to properly aggregate disclosure requirements. While candidates also have mandatory training. We do communications throughout the year. Used to be a tone of don't do this, don't do that, we like to communicate in a way, remember laws allow you to do x, or y, and if you have questions, call us. Remember the gifts that you can accept or not. The different programs have their own communication pieces. We do it by grouping. Try to not overwhelm, otherwise the recipients then will hit delete, try to make it a little bit creative and current, and try to organize it in terms of the time of the year that is going to make the most sense, holiday season that will focus on gifts. City has neighborhood councils, we use that vehicle to communicate with the public, and how to find information about their elected officials. We use the councils, communicate with them to send out informational pieces about what we do. Released a lobbying dashboard, how many have registered, how much have they fundraised, 20 years of information, we communicated with the department that oversees, hopefully trickles down to get that information. To make the public aware of the lobbying dashboard that allows them to find out who is a lobbyist. We can communicate through different avenues, including the League of Women Voters, Common Cause, and other nonprofits.



## Appendix M: External Expert Interview Review Matrix

Typology	Strategy	Expert 1/2	Expert 3	Expert 4	Expert 5	Expert 6	Expert 7	Expert 8	Expert 9
Key Factors	Ethics v. Compliance		X			X	X		
	Funding Challenges			X			X	X	
	Build Relationships		X					X	X
	Define Ethics		X				X		
	Most are Well-Intentioned		X						X
	Build Public Trust				X			X	
	Find Root Issues			X					
	Implement Best Practices								X
	Offer Anonymity				X				
Effective Strategies	Create Calendar	X	X				X	X	X
	Use Real-World Examples	X		X				X	
	Establish Custom Ethics Code			X				X	
	Make Code Accessible		X	X					
	Develop Advice/Helpline				X			X	
	Educate through Enforcement								X
Buy-In	Engage Middle Mgmt.	X	X		X				
	Establish Liaisons							X	X
	Use Branding				X				
Reaching Different Audiences	Offer Elected Officials Training				X		X	X	X
	Tailor Training for Audience	X	X			X		X	





	Hold Group Discussions						X	X	X
	Shorten Training		X						X
Effectiveness Measures	Conduct Pre- & Post-surveys			X	X		X		X
	Track Ethics Calls			X	X			X	
	Track Calls Post-Training						X	X	
	Quiz Participants							X	
Fiscally Sustainable Measures	Borrow Successful Ideas	X						X	X
	Use Low-Cost Existing Methods				X			X	
	Offer Online Training	X						X	
Communications Methods	Create Comms Plan		X	X				X	X
	Customize Materials				X			X	X
	Learn Issues in Each Dept.			X				X	X
	Discuss Ethics Weekly				X				
	Choose Content Carefully								X

## Experts

- 1: Melissa Kuehne, Senior Program Manager at the Institute for Local Government
- 2: Jay Wierenga, Communications Director for the California Fair Political Practices Commission
- 3: Suzan McGinnis, formerly oversaw ethics programs for major global retail corporations
- 4: Jeff Oak, Ph.D., former Chief Enterprise Risk Officer, Bon Secours Mercy Health
- 5: Alicia Olmstead, former Assistant Ethics Officer with the City of Austin, Texas
- 6: John P. Pelissero, Ph.D., Senior Scholar in Government, Markkula Center for Applied Ethics at Santa Clara University
- 7: Martha Perego, Director of Member Services, International City/County Management Association
- 8: Shannon Prior, former Ethics Program Manager, Los Angeles City Ethics Commission
- 9: David Tristan, Executive Director, Los Angeles City Ethics Commission

## Key Factors



Ethics v. Compliance: Ethics is more than compliance/there is a distinction between legal and ethical standards (2, 5, 6)

Funding Challenges: Funding and resources can be a challenge (3, 6, 7)

Build Relationships: Build relationships across the organization to extend the reach of the program (2, 7, 8)

Define Ethics: Create a clear, central definition of ethics (2, 6)

Most are Well-Intentioned: Most people are trying to do the right thing (2, 8)

Build Public Trust: Emphasize the importance of public trust (4, 7)

Find Root Issues: Determine the root issue that leadership is trying to solve (3)

Implement Best Practices: Identify best practices, then push for funding to implement them (8)

Offer Anonymity: Build trust in an ethics reporting system by offering the option of anonymity (4)

### **Effective Strategies**

Create Calendar: Create a calendar to address common ethics issues throughout the year (1, 2, 6, 7, 8)

Use Real-World Examples: Use interactive, real-world examples (1, 3, 7)

Establish Custom Ethics Code: Establish customized ethics code and policy (3, 7)

Make Code Accessible: Ensure ethics code is accessible, and well-communicated (2, 3)

Develop Advice/Hotline: Develop an advice, or helpline (4, 7)

Educate through Enforcement: Use enforcement as an education tool to raise awareness (8)

### **Buy-In**

Engage Middle Mgmt.: Engage middle management (1, 2, 4)

Establish Liaisons: Designate departmental liaisons (7, 8)

Use Branding: Brand the ethics program (4)

### **Reaching Different Audiences**

Offer Elected Officials Training: Hold additional training for elected officials (4, 6, 7, 8)

Tailor Training for Audience: Tailor training to different audiences (1, 2, 5, 7)

Hold Group Discussions: Hold small/informal group discussions (6, 7, 8)

Shorten Training: Keep trainings short (2, 8)

### **Effectiveness Measures**

Conduct Pre- & Post Surveys: Conduct pre- and post- surveys to track change in behavior or opinions (3, 4, 6, 8)

Track Ethics Calls: Track numbers of ethics-related calls or questions (and how many asked for anonymity) (3, 4, 7)

Track Calls Post-Training: Track post-training questions, requests or opinions (6, 7)

Quiz Participants: Include quizzes or tests in trainings (7)

### **Fiscally Sustainable Measures**

Borrow successful ideas: Borrow or customize successful ideas originally developed elsewhere (1, 4, 8)

Use low-cost existing methods: Use existing creative and low-cost methods to gain interest (4, 7)

Offer Online Training: Hold online trainings (1, 7)



### **Communications Methods**

Create Comms Plan: Develop a communications plan that runs year-round and uses multiple platforms (2, 3, 7, 8)

Customize Materials: Produce creative, custom materials including brochures, one-pagers, and other materials in-house (4, 7, 8)

Learn Issues in Each Dept.: Learn specific languages and key issues in each organizational department (3, 7, 8)

Discuss Ethics Weekly: Encourage managers to discuss ethics weekly with teams (4)

Choose Content Carefully: Choose content carefully, making sure to not overwhelm audiences (8)



## **Appendix N: Survey Questions**

Question 1: What is your email?

Question 2: Write your name and agency.

Question 3: Does your agency offer an ethics education program that is outside of the legally mandated requirements?

Yes

No

Question 5: Which training delivery methods do you use?

In-person, required

Virtual, required

Hybrid, required

In-person, optional

Virtual, optional

Hybrid, optional

Other

Question 6: Who is the audience for your program?

Employees

Elected Officials

Public

Other

Question 7: How is your program advertised to internal participants?

Question 8: How is your program advertised to external stakeholders?

Question 9: Approximately, what were the start-up costs and annual costs for the program?

Question 10: How does your agency define ethics?

Question 11: How do you measure effectiveness?

Question 12: How do you maintain the program?



## **Appendix O: Survey Recipients**

Note: Those highlighted in green responded to the survey.

<b><u>State</u></b>	<b><u>State/County/City</u></b>
<b>Alabama</b>	Alabama State
<b>Arkansas</b>	Arkansas State
<b>Arizona</b>	Phoenix
<b>California</b>	Anaheim
	Bakersfield
	Berkeley
	Burbank
	Chula Vista
	Concord
	Corona
	Costa Mesa
	Downey
	El Monte
	Elk Grove
	Fontana
	Fremont
	Fresno
	Fullerton
	Garden Grove
	Glendale
	Hayward
	Huntington Beach
	Inglewood



Irvine  
Lancaster  
Los Angeles  
Modesto  
Moreno Valley  
Norwalk  
Oakland  
Oceanside  
Orange  
Orange County  
Oxnard  
Palmdale  
Pasadena  
Pomona  
Riverside  
Roseville  
Sacramento  
Salinas  
San Bernardino County  
Santa Clara  
San Diego County  
San Diego, CA  
San Francisco  
San Francisco County  
San Jose  
Simi Valley  
Stockton





**Colorado**

Sunnyvale

Thousand Oaks

Torrance

Vallejo

Colorado State

Colorado Springs

Denver

**Connecticut**

Connecticut State

**Delaware**

Delaware State

Wilmington

**Florida**

Florida State

Naples

**Georgia**

Georgia State

Atlanta

Peachtree Corners

**Hawai'i**

Hawai'i State

**Idaho**

Boise

**Illinois**

Illinois State

Chicago

**Indiana**

Indiana State

**Iowa**

Iowa State

**Kansas**

Kansas State

Kansas City

**Kentucky**

Kentucky State

Lexington

**Maine**

Maine State

**Maryland**

Maryland State



**Massachusetts**

**Michigan**

**Mississippi**

**Missouri**

**Montana**

**Nevada**

**New Jersey**

**New Mexico**

**New York**

**North Carolina**

**North Dakota**

**Ohio**

**Oklahoma**

**Oregon**

**Pennsylvania**

**Rhode Island**

**South Carolina**

**Texas**

**Baltimore**

Bowie

Charles County

**Massachusetts State**

Pittsfield

Michigan State

**Detroit**

Mississippi State

Missouri State

**Bozeman**

Nevada State

New Jersey State

New Mexico State

Albuquerque

New York State

North Carolina State

**North Dakota State**

**Ohio State**

Oklahoma State

**Oregon State**

Pennsylvania State

**Rhode Island State**

Providence, RI

South Carolina State

Texas State

**Austin**

Corinth



**Vermont**

**Washington**

**West Virginia**

**Wisconsin**

**Dallas**

Kyle

San Antonio

Vermont State

Washington State

Bainbridge Island

**Seattle**

West Virginia State

**Wisconsin State**

Milwaukee



## **Appendix P: Individual Survey Responses**

Question 5: Which training delivery methods do you use?

- Hybrid, required
- City officials are required to take the ethics training, which is offered as an online course on the City's virtual learning platform. See Baltimore City Code, Article 8, Section 3-20. However, the Ethics Board offers the training as an optional course to all City employees and officials.
- Hybrid, required
- In-person, optional
- The Ethics Commission offers both virtual and in-person ethics trainings. These are optional sessions for most officials.
- In-person, virtual, streaming web-video, on-line course
- Virtual, required
- We offered in-person classes for a while, now we are all virtual - FPPC.
- In-person, virtual, or online for the mandated requirement.
- Both in-person and virtual optional. We have an ethics course for Elected Officials and the state mandated AB1234 ethics course for certain employees and volunteers. I have attached the County's policy. I also teach an ethics course to our Procurement Agents and am in talks about teaching an ethics class to Human Resources.
- In addition to a mandatory online program, we offer voluntary educational seminars that can be in-person, virtual or hybrid
- In-person and virtual optional, nothing is required
- Virtual, required
- Both in-person and virtual, optional
- online or in-person
- In-person, webinars, e-courses
- Virtual, required
- Hybrid, required
- All of the above
- We have required trainings that were available in person pre-COVID and which are now available virtually. We also have optional trainings that were available in person pre-COVID and are now available virtually.
- Virtual, required
- In-person, optional
- We offer all of the above, depending on the need and circumstance
- in-person and virtual
- Hybrid, required
- In-person, optional
- Virtual, required
- all of the above

Question 6: Who is the audience for your program?

- Employees, Elected Officials
- Employees, Elected Officials, Public, Board members and commissioners



- Employees, Elected Officials, Public, Candidates, Board and Commission Members, Lobbyists
- Elected Officials
- Employees, Elected Officials
- Employees, Elected Officials, Lobbyists and State Contractors
- Elected Officials, City Advisory Body Members
- Employees, Elected Officials
- Employees, Elected Officials, Commissioners and Task Force members for mandated requirement.
- Employees, Elected Officials, volunteers
- Employees, Elected Officials, Public, Consultants and Vendors
- Employees, Elected Officials, Public, Public Officials (Volunteers, Employees, Elected Officials, Appointed Officials)
- Employees, Elected Officials, Public
- Employees, Elected Officials
- Employees, Elected Officials
- Employees, Elected Officials
- Employees, Elected Officials, Executive branch of Indiana state government
- Elected Officials
- Employees, Elected Officials, Volunteer commission members
- Employees, Elected Officials, Lobbyists
- Employees
- Employees and Elected Officials
- Employees, Elected Officials, Public, We often have private attorneys request training
- Employees, Elected Officials, Public
- Employees, Elected Officials
- candidate for elected office
- Employees, Elected Officials, Public
- Employees, Elected Officials, Public, City Vendors and contractors
- Employees, Elected Officials, Public, State and Municipal appointed officials, Members of State and Municipal Boards, Commissions, and Agencies

Question 7: How is your program advertised to internal participants?

- New Hire Orientation and email bulletins internally to department supervisors
- Email blasts, Notice of Ethics Requirements for new employees and officials (<https://ethics.baltimorecity.gov/ethics-requirements>)
- We work closely with the City's HR Department for employee-related trainings and with staff board liaisons for board and commission members.
- website/news
- These sessions are offered by request. Advertising is usually conducted by the host agency.
- Every state agency has an ethics liaison that assists in coordinating ethics training.
- Email

- If you are a Form 700 filer (decided by Resolution), you also must complete an Ethics program
- We do not have a program.
- We provide notice to all persons required to take the AB1234 course and the elected official training AND the other courses are advertised via the Departments.
- Website notices, website content and email distribution
- Website, Newsletter, Social Media, Workday Learning, e-mail, networking, cold calling, case settlement agreements
- Citywide training calendar, e-blasts, emails
- Various, including word-of mouth, direct outreach, and through government associations.
- email notification
- website, newsletters, email correspondence
- Individuals receive automated emails from learning management system
- Direct email
- Via inweb sites, email, department wide reminders and annual assessments by managers
- Email to department heads, website, twitter, newsletters
- training is required for new employees and all employees also complete an annual refresher. supervisors take additional optional ethics training. advertised internally through requirements and internal bulletins/emails
- Via Email
- They seek us out for training, so the agency would do the advertising.
- via email
- Email and intranet
- "By invitation"
- Currently we use email reminders for public servants to complete their annual training
- The methods include new employee orientation, departmental and mandatory ethics training sessions and our Division website, [www.atlantaethics.org](http://www.atlantaethics.org). We also disseminate monthly ethics messaging to all city employees/officials which contains ethical reminders for that month and usually a short ethics video to accompany, publish newsletters and an Annual Ethics Report highlighting our activities and metrics for the year.
- website; word of mouth; outreach by me and my office colleagues

Question 8: How is your program advertised to external stakeholders?

- Our Code of Ethics which contains a training requirement is available to the public, but training is not.
- n/a
- We utilize email distribution lists that are generated through our duties as the filing officer for campaign statements and lobbyist registrations. We also have a distribution list for the general public when they subscribe for our meeting agendas. In addition, we use social media (Twitter and Facebook) to share information. Lastly, we partner with a number of local community based organizations that are interested in good governance work.
- website/news
- These presentations are not typically advertised to the public, but when conducted in coordination with an open meeting, the notice of the meeting may include information





regarding the training to be held. These notices are typically published on the agency website, Wisconsin's open meetings website, and posted in conspicuous places such as the agency office or other public buildings.

- Website, communications, newsletters
- N/A
- It is not.
- N/A
- Via letter and email
- Website notices, website content and email distribution
- Website, Newsletter, Social Media, email, networking, cold calling, case settlement agreements, word of mouth
- Direct emails
- N/A
- N/A
- website, newsletters, email correspondence
- on the OIG website
- n/a
- Commission members are required to take some form of the training as part of their onboarding. The public has access to our website and contact information.
- Website, twitter, newsletters
- it is internal only
- It is not advertised to the general public
- They seek us out for training, so the agency or organization would advertise.
- Via our website and social media
- n/a
- Announcements at Council meetings, social media
- We have a newly updated website and post information during Public Meetings
- Outside of our Division's public website, public disclosure program and programming at city hall, we do not advertise to external stakeholders. However, our office produces an Annual Report that is available to the public which highlights our activities and respective numbers for the year.
- website; word of mouth; outreach by me and my office colleagues

Question 9: Approximately, what were the start-up costs and annual costs for the program?

- We paid \$50,000 for an online elearning course. The price can be driven down with multi-year contracts. This was for 13,000 employees.
- n/a - Staff used existing resources to create a virtual training course.
- Our Commission has six FTE positions to carry out all of its prevention and enforcement work in which one FTE is dedicated to ethics education work. Approximately \$200,000 in annual costs for the program.
- \$325,000
- Indeterminate. Costs vary by the number of sessions held per year and the audiences served.
- 1FTE, Subscription to Articulate, miscellaneous reimbursements: parking, mileage etc.
- N/A

- No costs - you can access the FPPC program online - no charge.
- N/A
- Unknown
- Voluntary education programs had no start-up costs, only the ongoing compensation of staff who developed the slide decks used during the trainings.
- The Oregon Government Ethics Commission was started in 1974. We are unsure when the training program officially began, but the assumption is that there was some training provided at that time. The annual budget is approximately \$330,000 (includes staffing, software, travel, equipment, materials, etc.)
- Costs can vary but the online course is free, usually in person courses were either attended at a conference or through our Bay Area ERC (training consortium style—meaning the course is offered with other courses and paid for as a package).
- No data
- no cost - the ethics training is offered through the League of California Cities
- Unsure, the Ohio Ethics Commission was established by the Ohio Legislature in 1973.
- approximately \$1000 for software, rest is just in-house work
- None
- I don't have that information
- Not sure how we would measure that - we have been developing our "live" training program over many years and we have salaried staff who work on the education program among many other duties. We also have an on-line only program that we just developed recently; we had some modest expenses for iSpring software and graphic design costs (totaling under \$1,000, I think), in addition to staff time to develop and record the presentation. With COVID, we also have costs for Zoom for our "live" classes.
- \$2,500 per annum
- None, we generally use tools we already have for the training.
- \$55,000
- 0
- "Biennial \$2,000 to \$5,000"
- The updates to the website and training platform were able to be reduced to ~\$5,000 due to our Human Resources Department already having access to the online training portal that we use. Our yearly website costs total ~\$450
- The Ethics Office (now Division) began with a singular employee and has expanded to our current nine-person office. To begin an office of our size and scope, it would require a budget of at least one million dollars to allow for all areas of programming to be funded.
- Unknown

Question 10: How does your agency define ethics?

- Government ethics differs from personal ethics and carries greater responsibility. Our training provides a definition of government ethics in new employee orientation. We do underscore that ethics is a higher requirement than obeying the law.
- Please see the Baltimore City Code, Article 8, Sections 1-1 and 1-2.
- Ensuring that government decisions are made on the merits and in the best interest of its citizens and not for private or individual gain.



- promoting transparency and accountability in government
- The Wisconsin Ethics Commission administers and enforces the code of ethics for public officials and employees (subchapter III of Chapter 19). See: <https://docs.legis.wisconsin.gov/statutes/statutes/19/iii>
- Our mission is to encourage accountability and integrity throughout state government. We do this by providing legal advice, guidance and education to public officials, state employees and lobbyists; by sensibly interpreting and, when necessary, fairly and impartially enforcing applicable laws.
- N/A
- ? It's ethics training. I don't think the agency actually defines ethics. Additionally we have other trainings in HR, FYI. Harrassment, etc.
- N/A
- The fine line between what you have a right to do and what is right to do. (Quote from Justice Potter Stewart)
- We don't. The Massachusetts State Ethics Commission administers and enforces the provisions of the state conflict of interest law, which applies to anyone who provides services to a state, county or municipal agency, whether they are elected or appointed, paid or unpaid, full or part-time or a consultant/vendor working for a public agency under a personal services contract. The conflict law generally restricts these public employees from performing their public duties whenever their private interests (people or organizations) may be affected.
- Oregon Government Ethics Commission's jurisdiction is specific to the prohibited use of office which pertains to personal pecuniary financial gains or avoidance of cost, and the declaration of any conflicts of interest. This includes provisions pertaining to nepotism and the acceptance of gifts. (Oregon Revised Statutes Chapter 244)
- Pursuant to state law, the Mayor, Councilmembers, and Planning Commission members are required to complete two hours of AB 1234-compliant ethics training every two years (within one year as a newly elected or appointed official). In addition to these officials, the City requires that Department Directors and Planning Commission staff liaison(s) complete ethics training every two years. We use the State of California definitions which you may access FPPC's Ethics Training homepage for general training information.
- Please refer to the City's Code of Ethics Policy.
- See generally Colo. Const. art. XXIX and Colo. Rev. Stat. secs. 24-18-101 et seq.
- the ethics training provided fulfills the requirements of California Assembly Bill 1234; this is generally regarding financial conflicts of interest
- per the Ohio Revised Code (ours is not a policy, but rather criminal law)
- the basis for the standard of conduct expected of all state workers
- [https://www.maine.gov/ethics/sites/maine.gov.ethics/files/inline-files/Title%201%20MRSA%20Ch25-Governmental%20Ethics\\_12-2020.pdf](https://www.maine.gov/ethics/sites/maine.gov.ethics/files/inline-files/Title%201%20MRSA%20Ch25-Governmental%20Ethics_12-2020.pdf)
- As defined in our municipal code. That would be a long answer see Seattle Municipal Code at SMC 4.16
- "We don't have a definition, but the Hawai'i State Constitution (article XIV) mandates a code of ethics as follows:



- The people of Hawaii believe that public officers and employees must exhibit the highest standards of ethical conduct and that these standards come from the personal integrity of each individual in government. To keep faith with this belief, the legislature, each political subdivision and the constitutional convention shall adopt a code of ethics which shall apply to appointed and elected officers and employees of the State or the political subdivision, respectively, including members of the boards, commissions and other bodies.
- Each code of ethics shall include, but not be limited to, provisions on gifts, confidential information, use of position, contracts with government agencies, post-employment, financial disclosure and lobbyist registration and restriction."
- we don't have a definition of "ethics", but have a code of ethics
- Moral principles & practices; i.e., living as if someone is always watching.
- By the Ethics Act in the Alabama Code, Title 36 Chapter 25 Sections 1, et. al.
- We are a governmental ethics agency—there is no standard definition of ethics, not even in our City's law.
- "To set forth standards of ethical conduct, to assist public officials and employees in establishing guidelines for their conduct, to foster the development and maintenance of a tradition of responsible, accountable and effective public service, and to prohibit conflict between public duty and private interest."
- The Code of Conduct provides a framework for making ethical decisions. It should assist people in doing the right thing by identifying not just appropriate behavior but also actions to be avoided.
- Our agency defines Ethics through the City's Ethics Ordinance and has a scope limited to the standards listed in it.
- For purposes of our program, ethics is defined by two distinct standards, our minimum legal standard (black letter law located in the City's Code of Ordinances and our opinions/advisories/guidelines), and an appearance of impropriety standard. We focus heavily on the appearance standard, which focuses on aspiring for a culture of ethics where, regardless of personal viewpoints or intentions, what matters most is avoiding the appearance of conflicts of interest while performing work on behalf of the taxpayers regardless of whether the action taken technically violates the City's ethics code.
- "The Rhode Island Code of Ethics references Article III, Section 7 (addressing Ethical Conduct) the Constitution of the State of Rhode Island:
- The people of the State of Rhode Island believe that public officials and employees must adhere to the highest standards of ethical conduct, respect the public trust and the rights of all persons, be open, accountable and responsive, avoid the appearance of impropriety and not use their position for private gain or advantage. Such persons shall hold their positions during good behavior.
- The Code of Ethics tells us what actions to avoid, without regard to culture,
- consequence, or character. Ethical or unethical conduct is determined not by looking at the results, but by looking at the conduct itself and judging its inherent
- rightness or wrongness.

Question 11: How do you measure effectiveness?



- Employee feedback post-training. Asking employees how they "found us" when they have a question or report an issue.
- Post-training survey; number of ethics inquiries/help desk requests following a training
- Our office has created a number of performance goals and metrics to track the effectiveness of our programs.
- don't have metrics-we are new only 2 years in existence
- There is no formal evaluation component to the training sessions offered at this time. However, within a session, there are commonly a set of hypotheticals that are discussed with the students that can help gauge understanding and clarify areas that may be misunderstood.
- Our training program increases compliance through requests for legal advice.
- By completing the required 2-hr training
- Only on completion. They must complete the program every two years.
- N/A
- Lack of appeals from director decision and compliance rate by end of calendar year.
- Our metrics include the numbers of requests for advice received, the number of complaints received and the number of educational seminars conducted.
- In our training program, we conduct a pre-test and knowledge check quiz during our training sessions. We track the data anonymously and report these statistics along with participation numbers and trainings offered (collectively known as key performance measures) to the legislature.
- Required completion of training.
- Various, including number of complaints, number of advisory opinions and letter rulings, and days to completion.
- We do not have a metric for effectiveness other than lack of accusation and/or litigation
- Hard to define as we have four statutory responsibilities: advice, training, investigations and financial disclosure. We have some statutory deadlines for financial disclosure but otherwise we have internal measurements for our work.
- n/a
- n/a
- "Each session (prior to the pandemic) has an evaluation portion. The training and staff follow up on any questions and concerns. One measure of effectiveness is that following training sessions we receive many individual follow questions and requests for meetings. Another measure is that we have very few ethics violations as people often ask before they act.
- My catch phrase- when in doubt give a shout. "
- For training, we look at the number of people who take the trainings each year and post-training evaluation reports. It would help to have a way to measure the effectiveness of our training but we have not yet discerned how to do that.
- completion rates and employee comprehension and less investigation reports/allegations
- By how often someone is "called out" or disciplined for an immoral act.
- If participants are able to apply what we say to a real-life circumstance.
- We can do so only indirectly, by numbers of persons seeking confidential ethics advice and the small numbers of those investigated for ethics violations.

- Part of the measurement is the perceived ethical culture that develops from effectively trained attendees. Regular meetings with employees in safe and trusting environments has shown that employees have responded favorably to the transparent nature of ethics training: ethics are for everyone, no one is exempt, we expect the same from everyone, at every level.
- Campaigns / Candidate Forums
- Generally we measure the effectiveness of our training by how many people have completed the training and how many Requests for Advisory Opinions we receive
- Employee disclosures, Advice metrics, Hotline metrics, Complaints not reported through the hotline, Departmental training request metrics, Training number metrics, Costs of non-compliance
- We track training statistics by fiscal year. We keep records of the number of trainings; the number of training hours; the number of participants, the method of training delivery; and the classification of participants. We do not keep records of the names of training participants – just the agencies with which they are affiliated. We pay particular attention to the state and municipal agencies with which individuals against whom ethics complaints have been filed in order to determine whether additional ethics training might be needed at those agencies.

Question 12: How do you maintain the program?

- Making changes is very difficult because it is all codified, so maintenance is easy but improving things is very difficult.
- Support from full-time staff that develop the training content and manage the enrollment process; Support from the Department of Human Resources and the use of the City's virtual learning platform
- We have one FTE Ethics Analyst that oversees the program. The Ethics Analyst is supported by our Administrative Assistant, Lead Analyst, and Executive Director to carry out performance goals of the program.
- we are a constitutionally created entity and funded by state
- Commission staff maintain and improve the program as part of their regular duties.
- We are statutorily required to provide annual ethics training.
- We keep an internal log to ensure all required members complete their training in a timely manner.
- It is managed in association with the Form 700 management.
- N/A
- Excel spreadsheets and a lot of emails
- Currently, one staff person, the Public Education and Communications Division Chief, conducts 60-70 educational seminars for public agencies every year. The mandatory online training program is internet based and must be completed by approximately 400,000 public employees within 30 days of election or appointment to a public position, and every two years thereafter. The program is maintained on a public facing state server maintained by staff at the Executive Office of Technology Services and Security. The Massachusetts State Ethics Commission pays chargeback costs to the State for using these services.





- We have two trainers who are tasked with updating curriculum, scheduling, marketing and delivering trainings. The Executive Director is tasked with getting budget approval from the legislature.
- We follow State guidelines.
- Public funds appropriated for the Commission by the Colorado General Assembly.
- Tracked in a spreadsheet
- We are a state agency.
- learning management system
- It is reviewed internally and with our Assistant Attorney General every two years prior to presentation to members of the Maine Legislature.
- There is dedicated staff assigned to training. That staff member also follows up with departments and others who have either not complied with training requirements or who request additional training for their departments. That staff member also updates trainings regularly to meet department and individual needs.
- Staff attorneys lead our "live" trainings. Our Computer Specialist maintains our software licenses for our on-line training programs and handles any technical issues that arise.
- managed by employees in law and human resources
- Through annual training and frequent reminders to all employees and elected officials.
- Review our presentation each time and customize it for our audience.
- We revise all programs every year.
- Ethics Training is in our City Charter as an annual event. Administration is by a committee, training by volunteer employees from each department, and everyone is required to attend. Training is casual and conversational, covering a broad range of topics. The annual curriculum is approved by an appointed Board of Ethics.
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- Hire a consultant every two years
- My position was created to maintain and update the Training program by reviewing all of the metrics we track and developing ways to increase data collection and analysis
- The Ethics Division has incorporated additional training tools (including virtual) to improve and enhance its program. These include web-based messaging, ethics videos, written materials, virtual trainings, and ethical decision-making exercises. We also maintain relationships with our Human Resources Department and senior leadership as both play a role in being important advocates for our program by demonstrating that a strong culture of ethics starts at the top. The staff also attends conferences and workshops and participate in independent studies to stay on top of current trends in ethics and compliance.
- Ethics Training is offered through the Rhode Island Ethics Commission and is included in our budget with the State of Rhode Island.