

## **Ethics Program Audit**

### **Audit Report 200910-01**

**June 22, 2010**

## **Executive Summary**

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Public trust exists when citizens believe elected officials and other public servants are acting in the best interest of the people they represent. Every ethics-related decision made by a government official has the potential to further build or break down the public trust. Commitment to high ethical standards by employees at all levels and incorporation of ethical considerations into operational decisions is critical for maintaining public trust.

Measuring the strengths and vulnerabilities of the Department's ethical culture is necessary to identify opportunities to improve its ethical culture. We surveyed Department management and members to assess the Department's ethical environment and compliance with the ethics policy.

The results of our surveys and other inquiries indicated many positives regarding the ethical climate of the Department. The survey results overall indicated the Department's ethics program has been effective. Some of the survey results indicating a strong ethical climate in the Department include:

- ❖ Management and members have knowledge and understanding of the ethics policies regarding code of conduct and more specific issues including acceptance of gifts, conflicts of interest and reporting inappropriate behavior;
- ❖ Management and members indicated that senior management demonstrate high ethical standards;
- ❖ Members indicated that their supervisors comply with laws and regulations;
- ❖ Members know how and where to report ethics violations and would report violations by co-workers, if they occurred; and
- ❖ Management and members indicated they believe that employees who steal or break laws and regulations would be discovered and be subject to appropriate consequences.

The survey results also indicated some areas where improvements are needed.

Both surveys asked if employees who report suspected improprieties are protected from reprisals. About 7% of management responses and 17.5% of member responses indicated that employees were not protected from reprisals for reporting improprieties.

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Although the HSMV survey results are similar to the Ethics Resource Center's<sup>1</sup> government and national surveys, this area merits further attention. The perception, or possible reality, that employees reporting misconduct may be subjected to acts of retaliation is cause for concern.

Annual ethics training is required by Executive Order 07-01. Currently, the Department does not conduct annual ethics training.

We recommend the Ethics Officer coordinate the implementation of annual ethics training for all Department employees with the Learning and Development Office. This training should emphasize that retaliation, by any Department employee, against employees reporting misconduct is unacceptable and any occurrence should be reported to the appropriate level of management or to the Ethics Officer.

Management concurred with the recommendation and will coordinate the implementation of annual ethics training with the Learning and Development Office.

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<sup>1</sup> A nonprofit, nonpartisan research organization, dedicated to independent research that advances high ethical standards and practices in public and private institutions.

## **Background and Introduction**

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Public trust exists when citizens believe elected officials and other public servants are acting in the best interest of the people they represent. The citizens who rely on government officials expect them to discharge their responsibilities with integrity, objectivity and a genuine interest in serving the public. Every ethics-related decision made by a government official has the potential to further build or break down the public trust. Ethical behavior of government officials is guided by various policies and procedures, including a Code of Ethics, which define acceptable and unacceptable behavior. Commitment to high ethical standards by employees at all levels and incorporation of ethical considerations into operational decisions is critical for maintaining public trust.

Code of Ethics can be defined as principles, values, standards and rules of behavior that guide the decisions, procedures and systems of an organization to (a) contribute to the welfare of its key stakeholders, and (b) respect the rights of all constituents affected by its operations.

The Department first adopted an ethics policy in 1985. On January 2, 2007, Executive Order Number 07-01 was issued establishing a Code of Ethics for the Office of the Governor that imposed standards beyond the statutory Code of Ethics set forth in Chapter 112, Part III, Florida Statutes. All executive agencies under the Governor's purview were directed to review and evaluate their current policies and implement any agency-specific adjustments to conform to the Code of Ethics for the Office of the Governor. In March 2007, in response to Executive Order Number 07-01, the Department updated its ethics policy to adopt, by reference, and incorporate the Governor's Code of Ethics and Code of Personal Responsibility. This update also designated the General Counsel as the Chief Ethics Officer for the Department. In March 2008, a new section was added to the policy addressing supervisory relationships. The latest update to the ethics policy occurred in March 2009 to further address gifts to employees.

The Department's Ethics and Personal Responsibility Policy serves as its Code of Ethics and is intended to be a central guide and reference for users in support of day-to-day decision making. It addresses conflict of interest, gifts, outside employment, nepotism, confidential information and other topics related to standards for employee conduct.

Building and maintaining a comprehensive ethics program and strong ethical culture is essential for governmental organizations to maintain the public trust. An ethics program alone is not a substitute for good and honorable management and employees working to the best of their ability for the benefit of stakeholders and others who have entrusted them with responsibility.

## **Ethics Program**

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### **Values**

The Department's value statement sets the tone for the ethical climate in the Department.

***WE BELIEVE IN:***

***SERVICE*** by exceeding expectations;

***INTEGRITY*** by upholding the highest ethical standards;

***COURTESY*** by treating everyone with dignity and respect;

***PROFESSIONALISM*** by inspiring confidence and trust;

***INNOVATION*** by fostering creativity; and

***EXCELLENCE IN ALL WE DO!***

The Department's ethics program is built on the values – *Integrity, Courtesy, Professionalism and Excellence in All We Do*. The ethical concepts of Integrity by upholding the highest ethical standards, Courtesy by treating everyone with dignity and respect, Professionalism by inspiring confidence and trust are repeated and reinforced in the Ethics and Personal Responsibility Policy. The Ethics and Personal Responsibility Policy is the foundation of the ethics program. Many other policies and procedures that address ethical behavior for department employees and define what behavior is and is not acceptable and ethics-related training complete the Department's Ethics Program.

### **Policies and Procedures**

The Department's policies and procedures define and explain behavior that is appropriate, inappropriate or unacceptable in the workplace. Additionally, policies inform members of disciplinary actions that may be taken by management when misconduct occurs.

#### Management Policies

- MP 3.08, **Ethics and Personal Responsibility** – This policy serves as the Department's Code of Ethics and is intended to be a central guide and reference for users in support of day-to-day decision making. It addresses ethics-related issues such as solicitation or acceptance of gifts, doing business with the Department, conflicting employment or contractual relationships, and disclosure of special interests. It also designates the agency's General Counsel as Chief Ethics Officer.

Other management policies that address acceptable and unacceptable behavior include:

- MP 3.01, **Affirmative Action/Equal Employment Opportunity** - Assures applicants and employees equal employment opportunity free from unfair bias.
- MP 3.02, **Americans with Disabilities Act Compliance** - Assures equal access and employment opportunity without regard to disabilities and will provide reasonable accommodations.
- MP 3.04, **Campaigning for Public Office** - Requires members to submit a written request for authorization prior to engaging in the campaigning process for elected office.
- MP 3.05, **Claims of Discrimination to Include Sexual Harassment** – Encourages members to report unlawful discrimination and harassment and when warranted disciplinary action will be taken against the perpetrator.
- MP 3.06, **Disciplinary Process** - Describes the disciplinary measures that can be taken against a member.
- MP 3.07, **Drug Free Workplace** – Prohibits the use and possession of drugs and alcohol while conducting department business.
- MP 5.03, **Dual Employment and Compensation** – Requires members to request and receive approval for dual employment and prohibits secondary employment that is a conflict of interest.
- MP 5.07, **Grievance Resolution Internal Procedure** - Prohibits reprisals against a member who files a grievance.
- MP 5.11, **Pay Policy and Personnel Actions** - Personnel actions affecting a member's compensation, position or employment status will be reviewed and properly authorized prior to implementation.
- MP 8.03, **Personal Computer Use and Internet Access** - Describes acceptable and unacceptable use of information technology resources.
- MP 11.07, **Internal Audit Complaints and Investigations** - Receiving, processing, investigating and documenting allegations or complaints from various sources, including whistle-blower complaints.

The Florida Highway Patrol and Division of Driver Licenses also have policies that provide additional guidance on ethics-related issues for the divisions.

#### Florida Highway Patrol Policies

- FHP 3.01, **Oath of Office** - Members recite and sign an oath of allegiance to the Department and the standards expressed in the oath.

- FHP 3.02, **Code of Professional Ethics** - Members will adhere to Section 112.313, Florida Statutes, and all sworn members will adhere to the Code of Ethics. Ethics training is provided at least once every two years.
- FHP 3.03, **Code of Conduct** – Requires adherence to a Code of Conduct.

#### Division of Driver Licenses Policies

- DDL-002, **Healthy Work Environment** - Each DDL member will work in a discrimination free environment.
- DDL-006, **Personal Computer/Internet/Intranet** - Acceptable and unacceptable use of technological resources.
- DDL-007, **Standards of Conduct and Ethics** - All members will abide by the Standards of Conduct and Ethics.

### **Training**

The new employee orientation class introduces new members to various Department policies, including the Ethics and Personal Responsibility policy. The most recent Department-wide ethics training offered to all members, in the fall of 2008, was a PowerPoint presentation distributed via Microsoft Outlook. Currently, the Learning and Development Office is working on an ethics module to add to the Department's I-Learn system. The goal is to have the ethics module completed and operating by the summer of 2010.

Annual ethics training is required by Executive Order 07-01. Currently, the Department does not conduct annual ethics training.

### **Transparency and Accountability**

Transparency ensures that information is available that can be used to measure performance and to guard against any possible misuse of powers. Transparency serves to achieve accountability, which means that leaders and organizations can be held responsible for their actions. Transparency and accountability ensure and protect the public trust. Chapter 119, Florida Statutes, Public Records, and Chapter 112, Part III, Florida Statutes, Code of Ethics for Public Officers and Employees, are the basis for transparency and accountability in Florida government.

Chapter 119, Florida Statutes, Public Records, requires all state, county, and municipal records to be open for personal inspection and copying by any person. Providing access to public records and ensuring that exempt or confidential records are not disclosed

except as otherwise permitted by law is a duty of each agency. Management Policy 9.03, Providing Records to the Public, makes Department records, except those specifically precluded from disclosure by statutory exemption, available to all persons for inspection or copying under the supervision of the records custodian or designee during normal business hours.

Chapter 112, Part III, Florida Statutes, Code of Ethics for Public Officers and Employees, contains standards of conduct for public officers, employees of agencies and requires certain public officials and employees to publicly disclose their financial interests. Management Policy 3.08, Ethics and Personal Responsibility, is intended to be a central guide and reference for members' day-to-day decision making and serves as the Department's Code of Ethics. It addresses ethics-related issues such as solicitation or acceptance of gifts, doing business with the Department, conflicting employment or contractual relationships, and disclosure of special interests.

## **Survey**

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Measuring the strengths and vulnerabilities of the Department's ethical culture is necessary to identify opportunities to improve its ethical culture. We used two surveys to gather information about the Department's ethical environment and compliance with the ethics policy. Emails with links to the survey documents were sent to managers and employees selected to participate in the survey. An online service, SurveyMonkey™, was used to accumulate the survey responses. The responses were anonymous; therefore, follow-up contact was not possible.

One survey was sent to 69 of the Department's managers and the other survey was sent to 472 randomly selected Department members. The surveys were very similar but were tailored to each group. We received responses from 60 of the 69 managers surveyed and 235 of the 472 other members surveyed. Not all of the responses returned answered every survey question.

The management and member survey documents are included in Appendix A and B, respectively. Responses to the management and member surveys are included as Attachments 5 and 6, respectively.

## **Benchmarking**

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The Ethics Resource Center (ERC), founded in 1922, is a nonprofit, nonpartisan research organization, dedicated to independent research that advances high ethical standards and practices in public and private institutions. The ERC conducts biennial surveys of ethics programs, issues and culture using a national sample of employees in business and government.



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The ERC's "National Government Ethics Survey<sup>®</sup>" published in 2008 and "2009 National Business Ethics Survey<sup>®</sup>" were used as benchmarks to compare to the results of our survey of HSMV management and employees. This benchmarking is needed to objectively evaluate the Department's ethics-related performance.

## **Results of Audit**

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### **Survey Response Rate**

The management survey was sent to 69 of the Department's managers and the member survey was sent to 472 randomly selected Department employees. We received responses from 60 of the 69 managers surveyed and 235 of the 472 other employees surveyed. Not all of the responses returned answered every survey question. The overall response rate was 87% for managers and 50% for members. The tables below show the breakdown, by division, for the survey responses.

Management Survey							
Division	DAS	DDL	DMV	FHP	OED	ISA	Total
Surveys Received	5	13	7	11	18	6	60
Surveys Sent	7	15	8	15	18	6	69
Percent Received	71%	87%	88%	73%	100%	100%	87%

Please refer to **Attachment 5 – Management Survey** to review the responses to each management survey question.

Member Survey							
Division	DAS	DDL	DMV	FHP	OED	ISA	Total
Surveys Received	12	69	30	99	12	13	235
Surveys Sent	17	151	42	234	12	16	472
Percent Received	71%	46%	71%	42%	100%	81%	50%

Please refer to **Attachment 6 – Member Survey** to review the responses to each member survey question.



### **Knowledge of Ethics Policies**

Both surveys asked about familiarity with Policy 3.08, Ethics and Personal Responsibility. The responses were very positive, 100% of management and 92% of the members were at least somewhat familiar with the policy. The member survey also contained questions regarding other policies regarding ethics issues including gifts, secondary employment and conflict of interests. The members' responses indicated about 95% were at least somewhat familiar with these policies. The ERC's "National Government Ethics Survey<sup>®</sup>" found that 91% of state government employees were familiar with ethics policies and codes of conduct.

### **Training**

The management survey asked if the managers had received supervisory ethics training. Almost 12% of the managers had not had supervisory ethics training.

The member survey asked if members had received ethics training. Over 7% of the members reported they had not received ethics training. Of those that had received ethics training, 21% had not received ethics training for over a year and 11% had not received ethics training for over three years.

### **Senior Management's Ethical Standards**

Both surveys asked if senior management demonstrated high ethical standards. The management survey response was that 95% agreed or somewhat agreed that senior management demonstrated high ethical standards. The member survey response was that 85% agreed or somewhat agreed that senior management demonstrated high ethical standards and 8.7% disagreed. The ERC's "National Government Ethics Survey<sup>®</sup>" reported that only 58% of state governments demonstrated strong ethical leadership.

### **Supervisor Compliance with Laws and Regulations**

The member survey asked if supervisors complied with laws and regulations affecting the Department. Only 4% of the members indicated that they did not believe their supervisors complied with laws and regulations affecting the Department.

### **Information Reported to Senior Management**

The management survey asked if information reported to senior management reflected the actual results of operations. About 5% of the managers reported that they did not believe information reported to senior management reflected the actual results of operations in their work areas.

### **Fair Treatment of Employees**

Both surveys asked if employees are treated fairly and justly. Over 10% of the members responded that members in their work units were not treated fairly and justly. None of the management responses indicated that members were not treated fairly.

### **Hiring Decisions**

Both surveys asked about the basis used for hiring decisions. The management survey results indicated that over 96% of the managers surveyed believed that most hiring decisions are based on qualifications and experience rather than relationships. Only about 2% believed that hiring decisions are based more on relationships than qualifications.

The member survey results indicated that over 77% of the members surveyed believed that most hiring decisions are based on qualifications and experience rather than relationships. About 11% believed that hiring decisions are based more on relationships than qualifications and over 4% believed that hiring decisions are always based on relationships rather than qualifications.

The ERC's "2009 National Business Ethics Survey<sup>®</sup>" found that 10% of employees observed improper hiring practices.

### **Reporting Ethics Violations**

Survey results indicate that members know how and where to report ethics violations. Both surveys asked if employees would report ethics violations committed by co-workers. Only 1.4% of members responded that they would not report ethics violations and none of the management responses indicated that ethics violations would not be reported.

Both surveys asked if reports of unethical behavior are handled appropriately. Almost 8% of the members responded that reports of unethical behavior are not handled appropriately by the Department. None of the management responses indicated that reports of unethical behavior are not handled appropriately.

### **Employees Who Steal or Break Laws**

Both surveys asked if employees who steal or break laws and regulations would be discovered and be subject to appropriate consequences. Responses to both surveys strongly indicated that management and members believed employee theft or misconduct would be discovered and the employees involved would be subject to appropriate consequences. Less than 2% of management and 3% of members did not believe the offending employees would be discovered.

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### Protection from Reprisal

Both surveys asked if employees who report suspected improprieties are protected from reprisals. About 7% of management responses and 17.5% of member responses indicated that employees were not protected from reprisals for reporting improprieties.

Management Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	60.0%	61.5%	85.7%	54.5%	66.7%	60.0%	64.4%
Somewhat agree	40.0%	38.5%	0.0%	36.4%	16.7%	0.0%	23.7%
Disagree	0.0%	0.0%	14.3%	9.1%	5.6%	20.0%	6.8%
I don't know	0.0%	0.0%	0.0%	0.0%	11.1%	20.0%	5.1%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

Member Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	33.3%	43.8%	30.8%	23.3%	44.4%	40.0%	32.7%
Somewhat agree	25.0%	25.0%	38.5%	50.0%	22.2%	20.0%	37.0%
Disagree	25.0%	14.1%	11.5%	22.2%	0.0%	20.0%	17.5%
I don't know	16.7%	17.2%	19.2%	4.4%	33.3%	20.0%	12.8%
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

The ERC's "National Government Ethics Survey<sup>®</sup>" found that almost 18% of state government employees surveyed had experienced retaliation as a result of their reports of misconduct. The ERC's "2009 National Business Ethics Survey<sup>®</sup>" found that 15% of employees perceived they were retaliated against as a result of reporting misconduct.

Although the HSMV survey results are similar to the ERC's government and national surveys, this area merits further attention. The perception, or possible reality, that employees reporting misconduct may be subjected to acts of retaliation is cause for concern. Retaliation can come from management or other employees, but it is never acceptable. It may cause misconduct or fraud to go unreported and also damage employee morale.

### Fraudulent Activity

The member survey asked if the members knew of or suspected fraudulent activity. Ten of the 205 members responding indicated that they knew of or suspected fraudulent

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activity. Of the ten who knew of or suspected fraudulent activity, six provided explanation of the activity. Three of the six reported the activity and the other three provided explanations for why they did not report the activity.

What is the fraudulent activity you know of or suspect?		
Division	Activity	Reported?
DDL	Employee may be accessing personal information from Driver License records.	Yes
FHP	Racial slurs, harassment, cover ups, sexual harassment, preferential treatment, punishing troopers for same violations that Lieutenants commit without even investigating the Lieutenants.	Yes
FHP	Just heard from others. Supervisors are aware.	No
FHP	Escort jobs are being given "under the table" and not being accounted for accurately by troopers.	Yes
FHP	Scheduling off-duty while on duty.	No
FHP	Stealing time from department	No

Why was activity not reported?	
Division	Answer
FHP	Supervisor already knew.
FHP	The person had already been investigated.
FHP	Did not want to complain about co-worker.

## Conclusion and Recommendations

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The results of our surveys and other inquiries indicated many positives regarding the ethical climate of the Department. The ethics program includes many of the elements necessary for maintaining a strong ethical climate among Department management and members. The Ethics and Personal Responsibility policy, along with other Department policies, provides clear guidance on acceptable and unacceptable conduct. The policies also provide for transparency and accountability in all actions by the Department, its management and employees. The Department's General Counsel has been designated as the Ethics Officer to provide guidance on ethical issues as required by the Governor's Code of Ethics.

The survey results overall indicated the Department's ethics program has been effective. Some of the survey results indicating a strong ethical climate in the Department include:

- ❖ Management and members have knowledge and understanding of the ethics policies regarding code of conduct and more specific issues including acceptance of gifts, conflicts of interest and reporting inappropriate behavior;
- ❖ Management and members indicated that senior management demonstrate high ethical standards;
- ❖ Members indicated that their supervisors comply with laws and regulations;
- ❖ Members know how and where to report ethics violations and would report violations by co-workers, if they occurred; and
- ❖ Management and members indicated they believe that employees who steal or break laws and regulations would be discovered and be subject to appropriate consequences.

The survey results also indicated some areas where improvements are needed.

Both surveys asked if employees who report suspected improprieties are protected from reprisals. About 7% of management responses and 17.5% of member responses indicated that employees were not protected from reprisals for reporting improprieties. Although the HSMV survey results are similar to the ERC's government and national surveys, this area merits further attention. The perception, or possible reality, that employees reporting misconduct may be subjected to acts of retaliation is cause for concern.

Annual ethics training is required by Executive Order 07-01. Currently, the Department does not conduct annual ethics training.

We recommend the Ethics Officer coordinate the implementation of annual ethics training for all Department employees with the Learning and Development Office. This training should emphasize that retaliation, by any Department employee, against employees reporting misconduct is unacceptable and any occurrence should be reported to the appropriate level of management or to the Ethics Officer.

### **Management Response**

Management concurred with the recommendation and will coordinate the implementation of annual ethics training with the Learning and Development Office as recommended.

The management response is included as **Attachment 3**.

## **ATTACHMENT 1 - Purpose, Scope and Methodology**

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The purpose of this audit was to evaluate the Department's ethics policy and programs in order to comply with requirements of the International Standards for the Professional Practice of Internal Auditing, published by the Institute of Internal Auditors. Standard 2110.A1 requires an evaluation of the design, implementation and effectiveness of the ethics-related objectives, programs and activities.

Our specific audit objectives were to evaluate:

- The effectiveness of the Department's ethics program; and
- Compliance with the Department's ethics policy.

The scope of this audit was activities related to the Department's ethics policy and program for the period March 2009 through March 2010.

Our methodology included:

- Reviewing applicable Florida Statutes, Florida Administrative Code, Governors Executive Order 07-01 and Department ethics policies;
- Interviewing ethics officer, Department's training officer and human resources staff;
- Reviewing ethics issues brought to ethics officer for legal opinion; and
- Conducting a survey of Department management and members.

## **ATTACHMENT 2 - Audit Team and Statement of Accordance**

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### **Engagement Team**

John Maxwell, Auditor  
Ronnie Atkins, CPA, CIA, CMA, Audit Director

### **Statement of Accordance**

Section 20.055, Florida Statutes, requires the Florida Department of Highway Safety and Motor Vehicles' Inspector General to review, evaluate and report on policies, plans, procedures, accounting, financial and other operations of the Department and to recommend improvements.

This audit engagement was conducted in accordance with applicable *International Standards for the Professional Practice of Internal Auditing* published by the Institute of Internal Auditors and *Principles and Standards for Inspectors General* published by the Association of Inspectors General.




**ATTACHMENT 3 – Management Response**

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**DEPARTMENT OF HIGHWAY SAFETY AND MOTOR VEHICLES  
OFFICE OF GENERAL COUNSEL**

June 18, 2010

TO: Julie Leftheris  
Inspector General

FROM: Michael J. Alderman   
Deputy General Counsel

SUBJECT: Draft Ethics Program Audit

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I have reviewed the draft audit and I concur with the recommendation on page 2. The Ethics Officer (General Counsel) will coordinate the implementation of annual ethics training for all Department Employees with the Learning and Development Office as recommended.

MJA/hjw

**ATTACHMENT 4 - Addressee and Distribution List**

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Julie Jones, Executive Director  
Robin Lotane, Chief Ethics Officer

Copies distributed to:

Lee Ann Korst, Deputy Executive Director  
Larry Ringers, Chief of Staff  
Susan Kyzer, Chief Performance Officer  
Dave Westberry, Communications Director  
Rene Knight, Director, Office of Workforce Programs  
Deana Metcalf, Director, Division of Administrative Services  
Diana Vaughn, Chief Financial Officer  
Sandra Lambert, Director, Division of Driver Licenses  
Carl Ford, Director, Division of Motor Vehicles  
Sherry Allen, Acting Chief Information Officer  
Colonel John Czernis, Director, Florida Highway Patrol

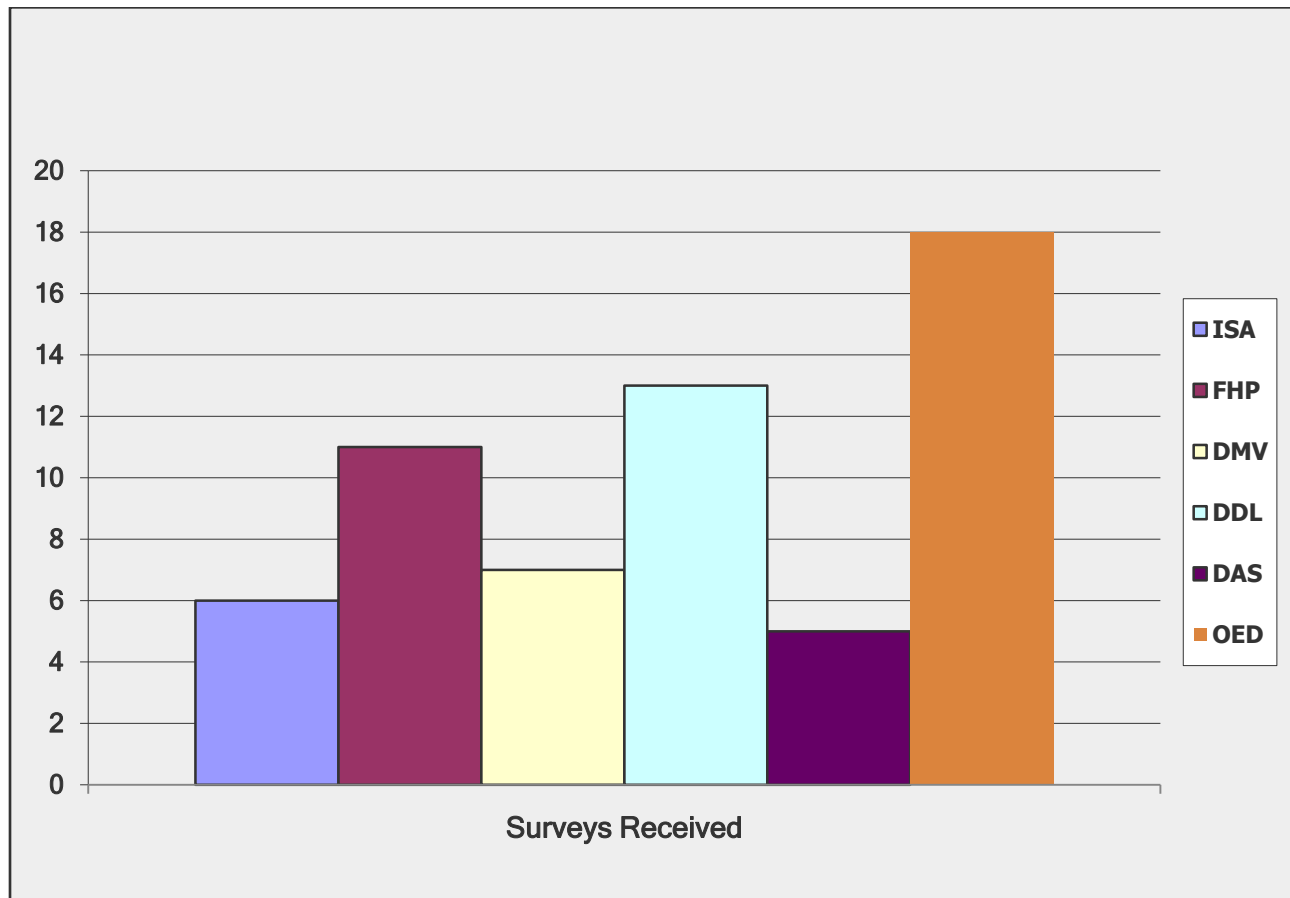
Melinda Miguel, Chief Inspector General  
David W. Martin, Auditor General

## ATTACHMENT 5 – Management Survey

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### 1. Please select your division.

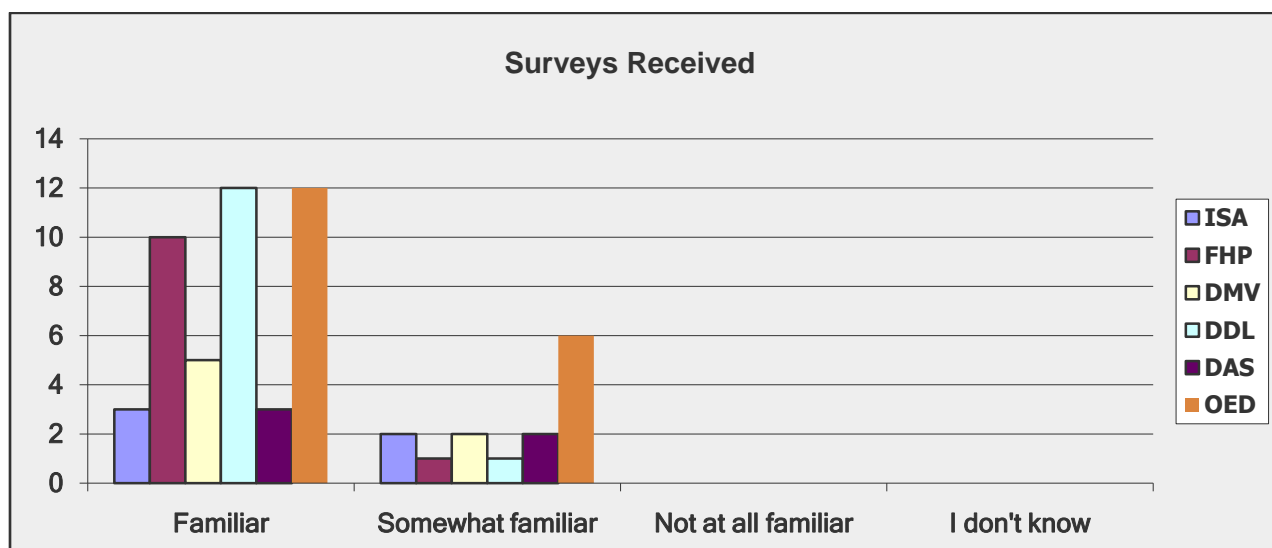
Division	DAS	DDL	DMV	FHP	OED	ISA	Total
Surveys Received	5	13	7	11	18	6	60
Surveys Sent	7	15	8	15	18	6	69
Percent Received	71%	87%	88%	73%	100%	100%	87%



## 2. How familiar are you with HSMV policy 3.08, Ethics and Personal Responsibility?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	3	12	5	10	12	3	45
Somewhat familiar	2	1	2	1	6	2	14
Not at all familiar	0	0	0	0	0	0	0
I don't know	0	0	0	0	0	0	0
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

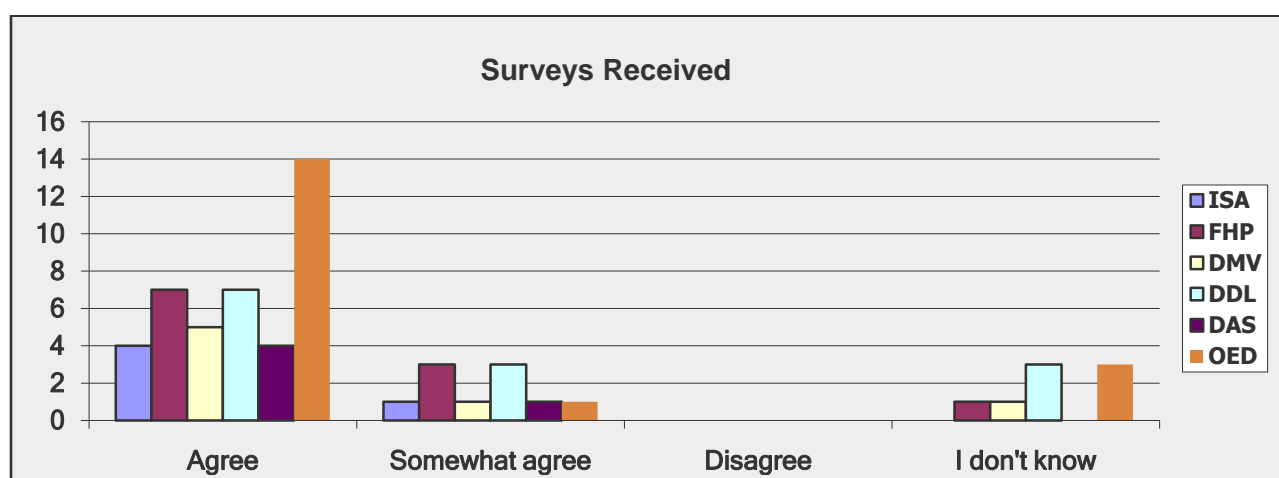
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	60.0%	92.3%	71.4%	90.9%	66.7%	60.0%	76.3%
Somewhat familiar	40.0%	7.7%	28.6%	9.1%	33.3%	40.0%	23.7%
Not at all familiar	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



### 3. Do you believe that employee reports of unethical behavior are handled appropriately?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	4	7	5	7	14	4	41
Somewhat agree	1	3	1	3	1	1	10
Disagree	0	0	0	0	0	0	0
I don't know	0	3	1	1	3	0	8
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	80.0%	53.8%	71.4%	63.6%	77.8%	80.0%	69.5%
Somewhat agree	20.0%	23.1%	14.3%	27.3%	5.5%	20.0%	16.9%
Disagree	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	23.1%	14.3%	9.1%	16.7%	0.0%	13.6%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

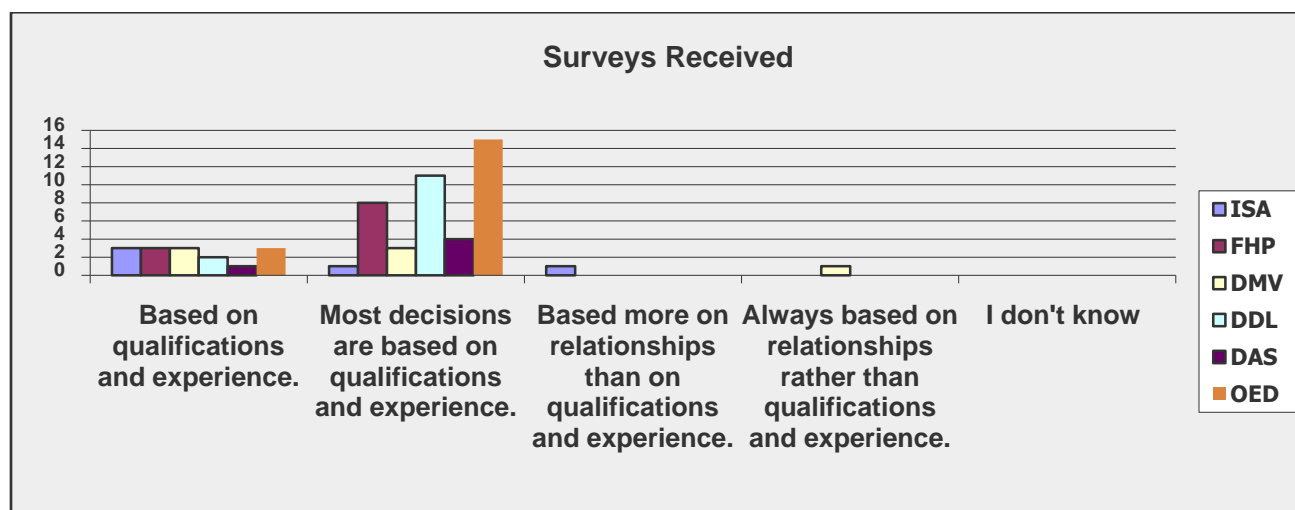


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**4. Which of these statements do you believe best represents the basis used for hiring decisions?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Based on qualifications and experience.	1	2	3	3	3	3	15
Most decisions are based on qualifications and experience.	4	11	3	8	15	1	42
Based more on relationships than on qualifications and experience.	0	0	0	0	0	1	1
Always based on relationships rather than qualifications and experience.	0	0	1	0	0	0	1
I don't know	0	0	0	0	0	0	0
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

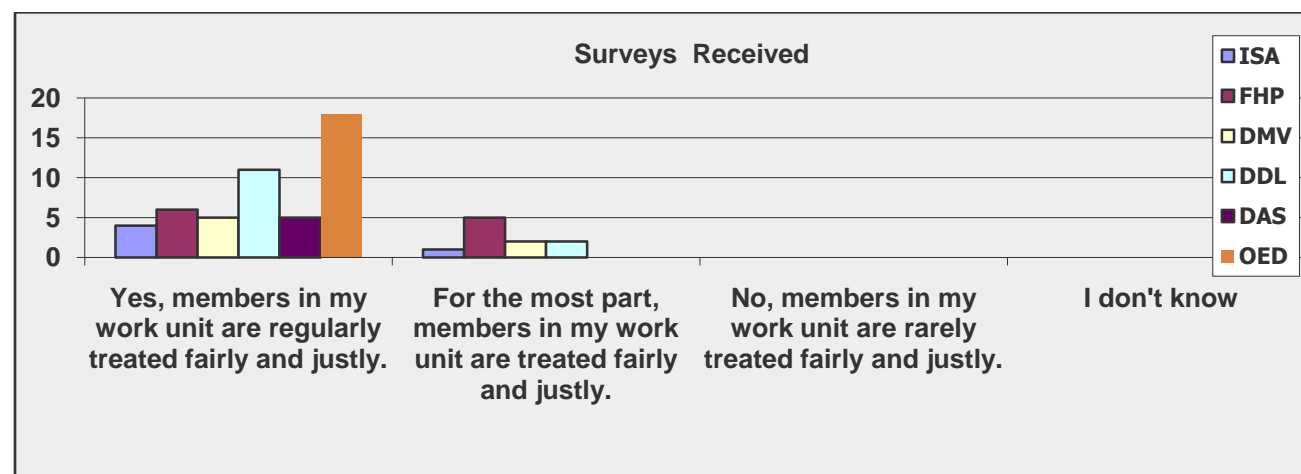
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Based on qualifications and experience.	20.0%	15.4%	42.9%	27.3%	16.7%	60.0%	25.4%
Most decisions are based on qualifications and experience.	80.0%	84.6%	42.8%	72.7%	83.3%	20.0%	71.2%
Based more on relationships than on qualifications and experience.	0.0%	0.0%	0.0%	0.0%	0.0%	20.0%	1.7%
Always based on relationships rather than qualifications and experience.	0.0%	0.0%	14.3%	0.0%	0.0%	0.0%	1.7%
I don't know	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



### 5. Are members in your work unit treated fairly and justly?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Members are treated fairly and justly	5	11	5	6	18	4	49
For the most part, members are treated fairly and justly	0	2	2	5	0	1	10
No, members are rarely treated fairly and justly	0	0	0	0	0	0	0
I don't know	0	0	0	0	0	0	0
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Members are treated fairly and justly	100.0%	84.6%	71.4%	54.5%	100.0%	80.0%	83.1%
For the most part, members are treated fairly and justly	0.0%	15.4%	28.6%	45.5%	0.0%	20.0%	16.9%
No, members are rarely treated fairly and justly	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

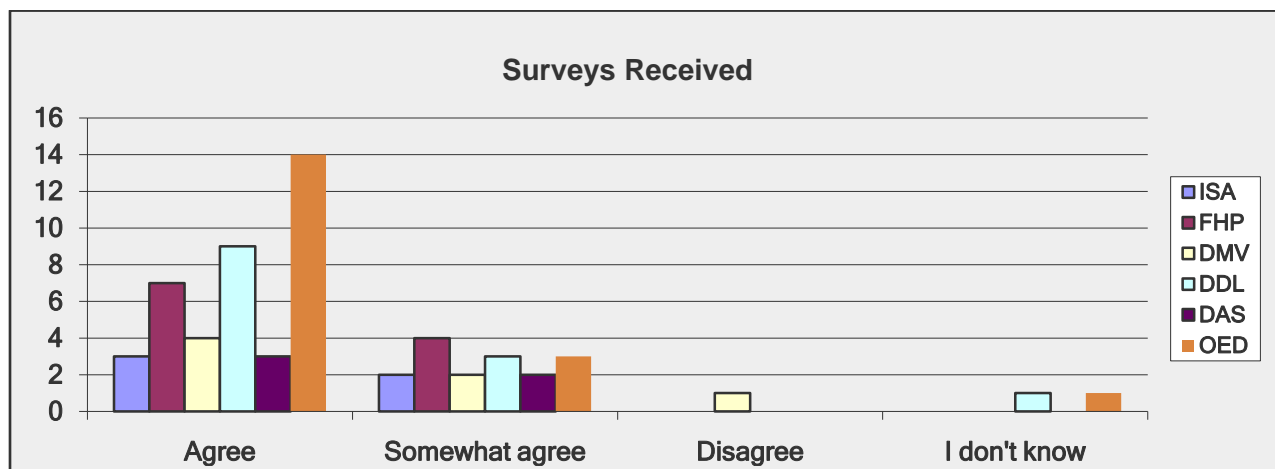




**6. In your opinion, does senior management demonstrate high ethical standards?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	3	9	4	7	14	3	40
Somewhat agree	2	3	2	4	3	2	16
Disagree	0	0	1	0	0	0	1
I don't know	0	1	0	0	1	0	2
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

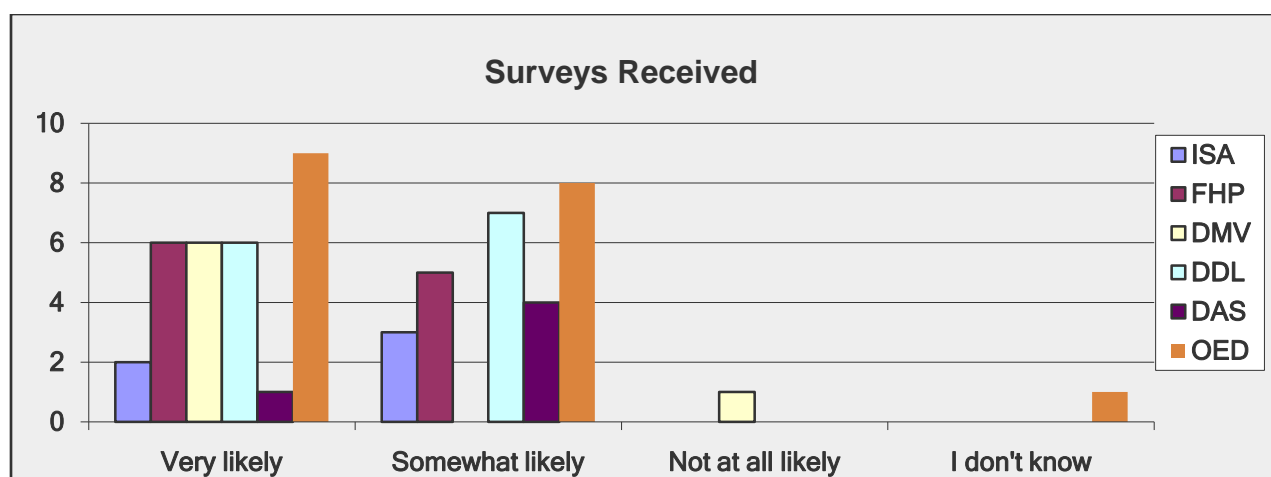
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	60.0%	69.2%	57.1%	63.6%	77.8%	60.0%	67.8%
Somewhat agree	40.0%	23.1%	28.6%	36.4%	16.7%	40.0%	27.1%
Disagree	0.0%	0.0%	14.3%	0.0%	0.0%	0.0%	1.7%
I don't know	0.0%	7.7%	0.0%	0.0%	5.5%	0.0%	3.4%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**7. Do you believe that employees who steal from the department (property, money, information, time) will be discovered?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	1	6	6	6	9	2	30
Somewhat likely	4	7	0	5	8	3	27
Not at all likely	0	0	1	0	0	0	1
I don't know	0	0	0	0	1	0	1
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

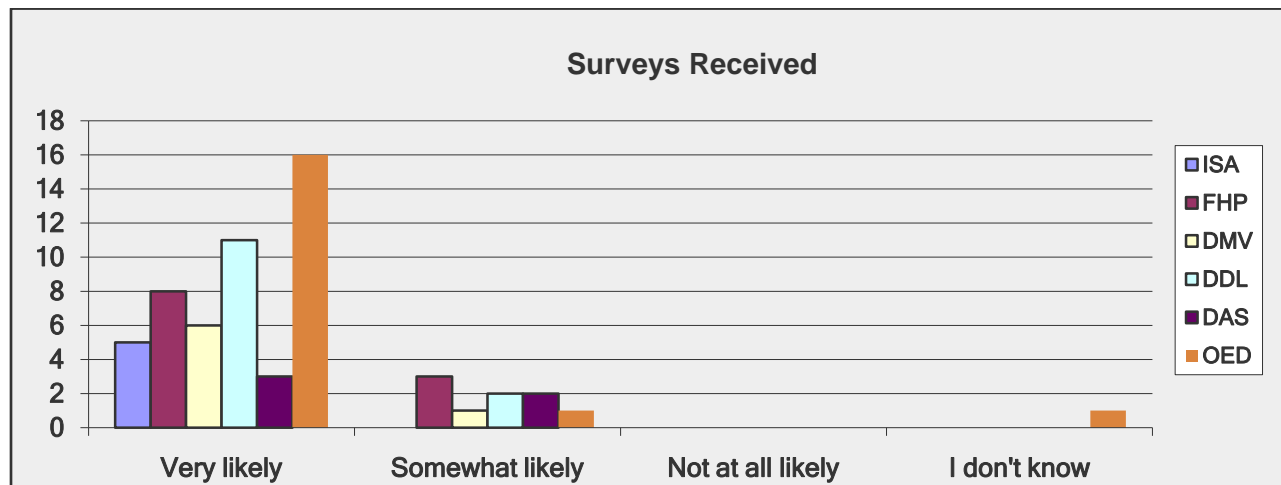
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	20.0%	46.2%	85.7%	54.5%	50.0%	40.0%	50.8%
Somewhat likely	80.0%	53.8%	0.0%	45.5%	44.4%	60.0%	45.8%
Not at all likely	0.0%	0.0%	14.3%	0.0%	0.0%	0.0%	1.7%
I don't know	0.0%	0.0%	0.0%	0.0%	5.6%	0.0%	1.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**8. Do you believe that employees who steal from the department will be subject to appropriate consequences?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	3	11	6	8	16	5	49
Somewhat likely	2	2	1	3	1	0	9
Not at all likely	0	0	0	0	0	0	0
I don't know	0	0	0	0	1	0	1
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

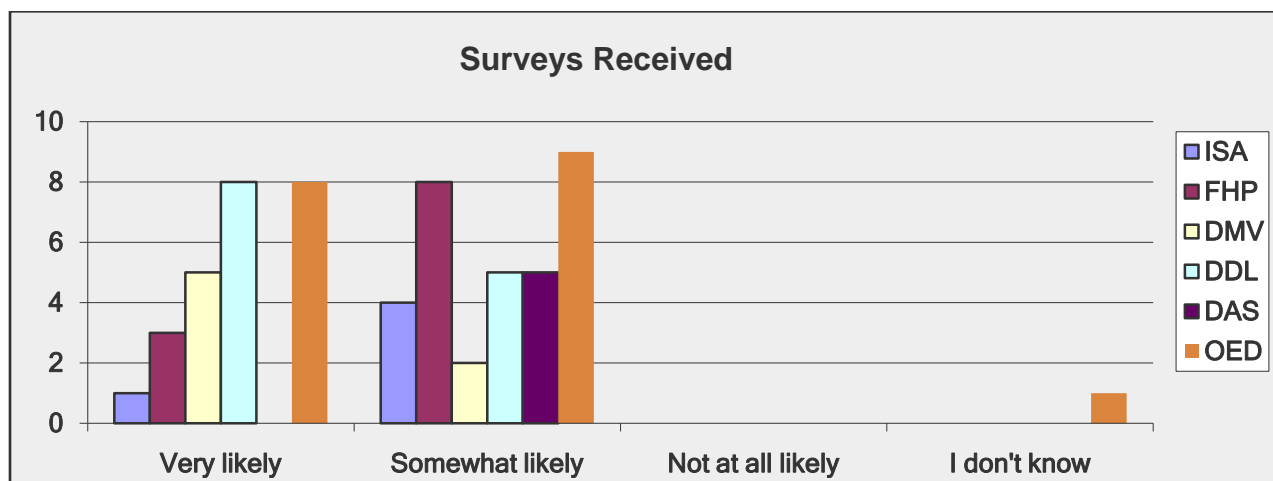
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	60.0%	84.6%	85.7%	72.7%	88.9%	100.0%	83.0%
Somewhat likely	40.0%	15.4%	14.3%	27.3%	5.6%	0.0%	15.3%
Not at all likely	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	5.5%	0.0%	1.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**9. Do you believe that employees who break laws and regulations affecting the department will be discovered?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	0	8	5	3	8	1	25
Somewhat likely	5	5	2	8	9	4	33
Not at all likely	0	0	0	0	0	0	0
I don't know	0	0	0	0	1	0	1
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

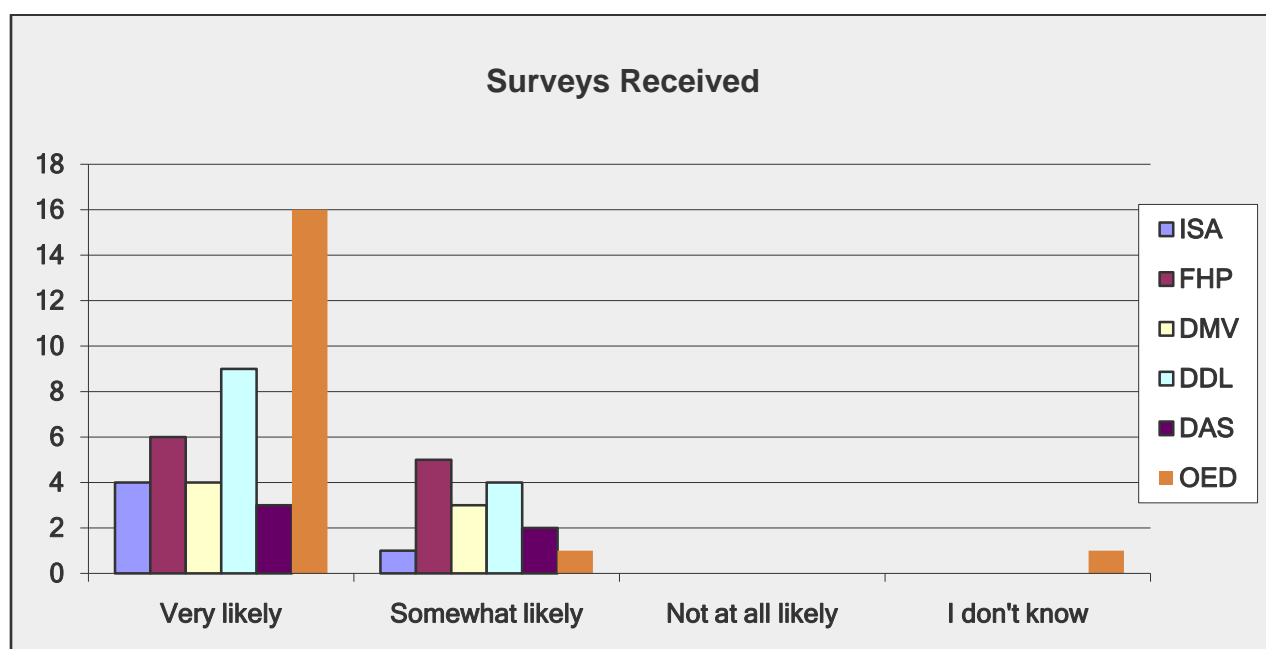
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	0.0%	61.5%	71.4%	27.3%	44.4%	20.0%	42.4%
Somewhat likely	100.0%	38.5%	28.6%	72.7%	50.0%	80.0%	55.9%
Not at all likely	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	5.6%	0.0%	1.7%
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>



**10. Do you believe that employees who break laws and regulations affecting the department will be subject to appropriate consequences?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	3	9	4	6	16	4	42
Somewhat likely	2	4	3	5	1	1	16
Not at all likely	0	0	0	0	0	0	0
I don't know	0	0	0	0	1	0	1
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

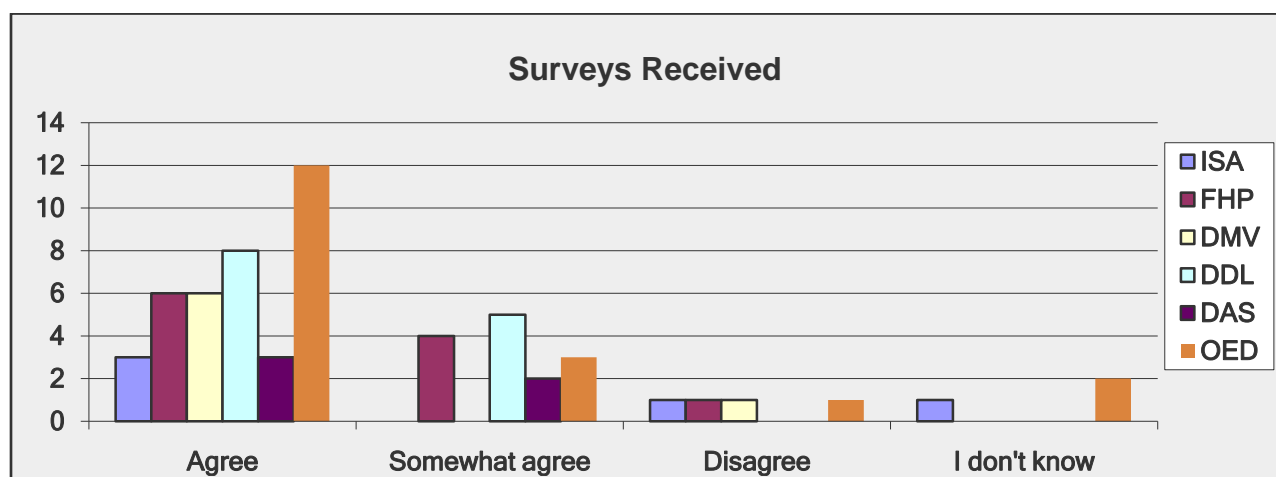
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	60.0%	69.2%	57.1%	54.5%	88.9%	80.0%	71.2%
Somewhat likely	40.0%	30.8%	42.9%	45.5%	5.6%	20.0%	27.1%
Not at all likely	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	5.5%	0.0%	1.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**11. Do you believe that persons who report suspected improprieties are protected from reprisal?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	3	8	6	6	12	3	38
Somewhat agree	2	5	0	4	3	0	14
Disagree	0	0	1	1	1	1	4
I don't know	0	0	0	0	2	1	3
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

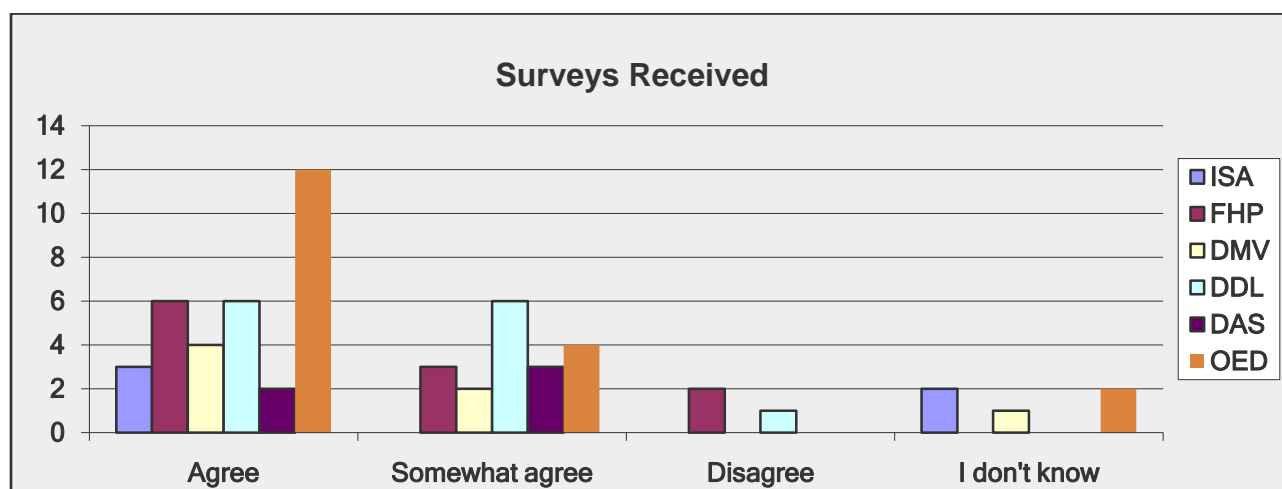
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	60.0%	61.5%	85.7%	54.5%	66.7%	60.0%	64.4%
Somewhat agree	40.0%	38.5%	0.0%	36.4%	16.7%	0.0%	23.7%
Disagree	0.0%	0.0%	14.3%	9.1%	5.5%	20.0%	6.8%
I don't know	0.0%	0.0%	0.0%	0.0%	11.1%	20.0%	5.1%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**12. Do you believe that information reported to senior management reflects the actual results of operations in your work unit?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	2	6	4	6	12	3	33
Somewhat agree	3	6	2	3	4	0	18
Disagree	0	1	0	2	0	0	3
I don't know	0	0	1	0	2	2	5
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	40.0%	46.2%	57.1%	54.5%	66.7%	60.0%	55.9%
Somewhat agree	60.0%	46.1%	28.6%	27.3%	22.2%	0.0%	30.5%
Disagree	0.0%	7.7%	0.0%	18.2%	0.0%	0.0%	5.1%
I don't know	0.0%	0.0%	14.3%	0.0%	11.1%	40.0%	8.5%
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>

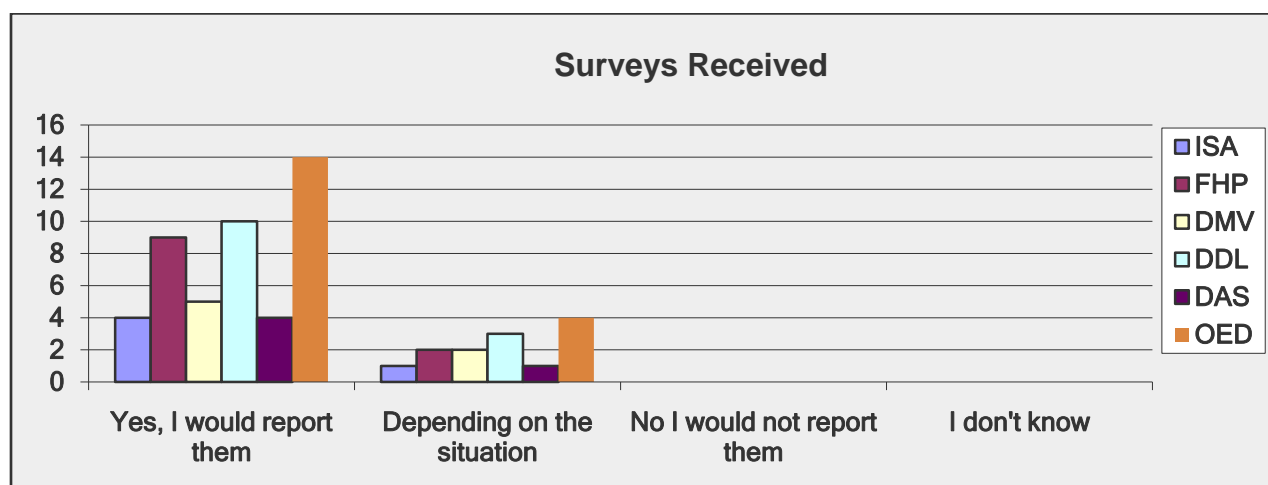




**13. If you observed co-workers violating the HSMV ethics policy, would you report them?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes, I would report them	4	10	5	9	14	4	46
Depending on the situation	1	3	2	2	4	1	13
No, I would not report them	0	0	0	0	0	0	0
I don't know	0	0	0	0	0	0	0
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

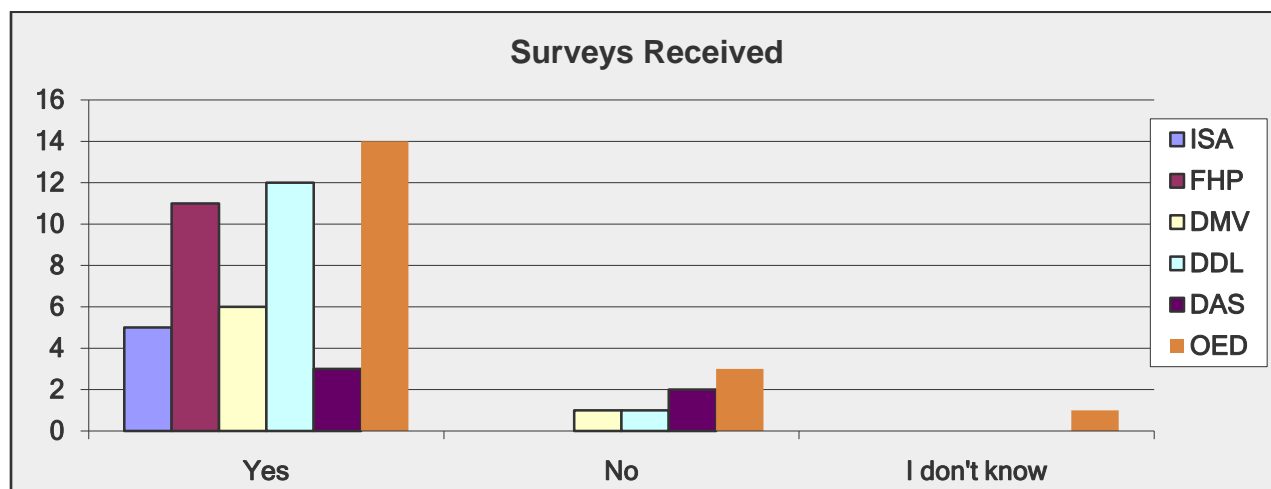
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes, I would report them	80.0%	76.9%	71.4%	81.8%	77.8%	80.0%	78.0%
Depending on the situation	20.0%	23.1%	28.6%	18.2%	22.2%	20.0%	22.0%
No, I would not report them	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
I don't know	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



#### 14. Have you had supervisory ethics training?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes	3	12	6	11	14	5	51
No	2	1	1	0	3	0	7
I don't know	0	0	0	0	1	0	1
<b>Total</b>	<b>5</b>	<b>13</b>	<b>7</b>	<b>11</b>	<b>18</b>	<b>5</b>	<b>59</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes	60.0%	92.3%	85.7%	100.0%	77.8%	100.0%	86.4%
No	40.0%	7.7%	14.3%	0.0%	16.7%	0.0%	11.9%
I don't know	0.0%	0.0%	0.0%	0.0%	5.5%	0.0%	1.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

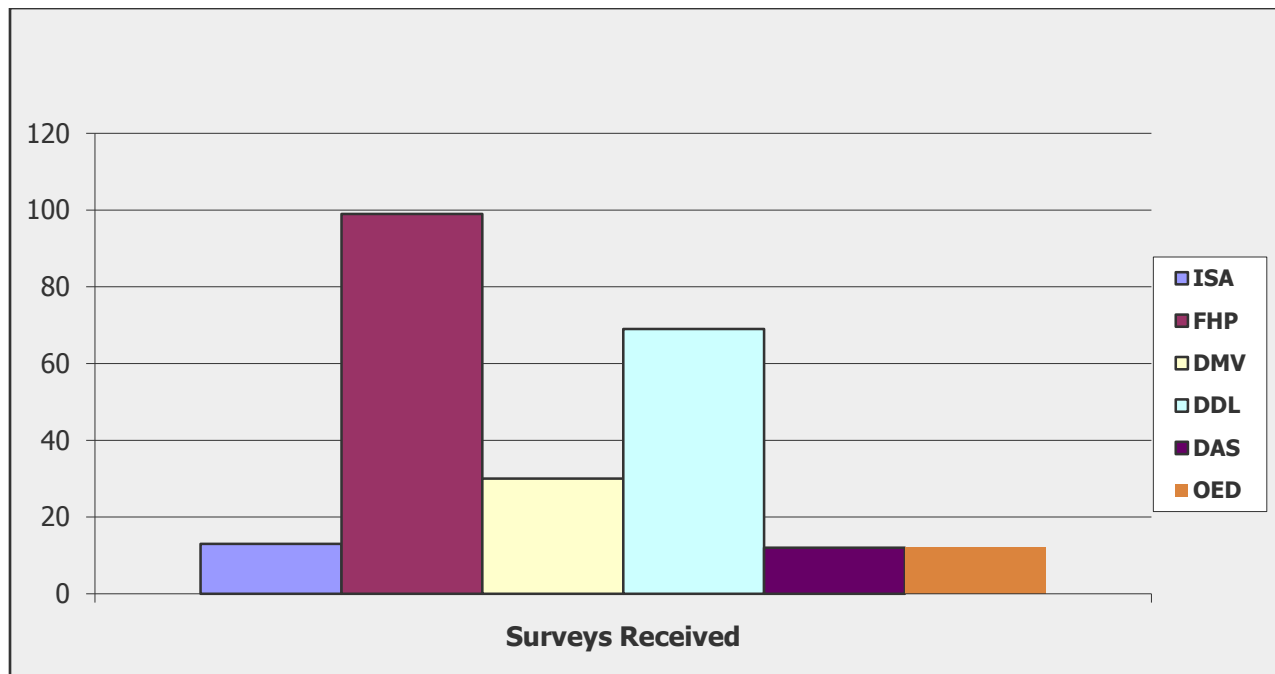


## ATTACHMENT 6 – Member Survey

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### 1. Please select your division.

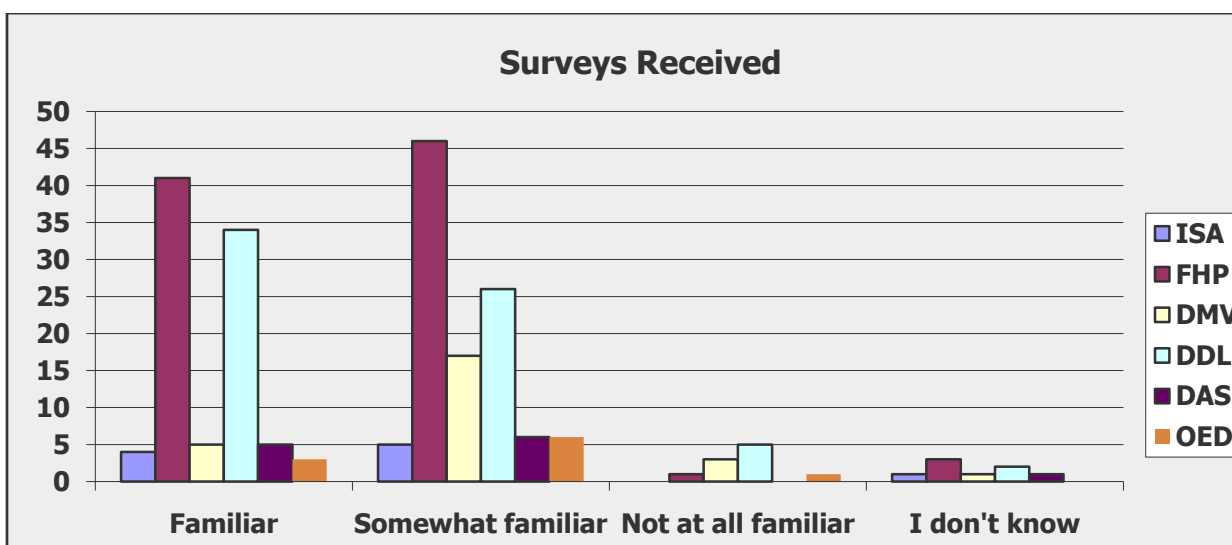
Division	DAS	DDL	DMV	FHP	OED	ISA	Total
Surveys Received	12	69	30	99	12	13	235
Surveys Sent	17	151	42	234	12	16	472
Percent of Surveys Sent	71%	46%	71%	42%	100%	81%	50%



**2. How familiar are you with HSMV policy 3.08, Ethics and Personal Responsibility?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	5	34	5	41	3	4	92
Somewhat familiar	6	26	17	46	6	5	106
Not at all familiar	0	5	3	1	1	0	10
I don't know	1	2	1	3	0	1	8
<b>Total</b>	<b>12</b>	<b>67</b>	<b>26</b>	<b>91</b>	<b>10</b>	<b>10</b>	<b>216</b>

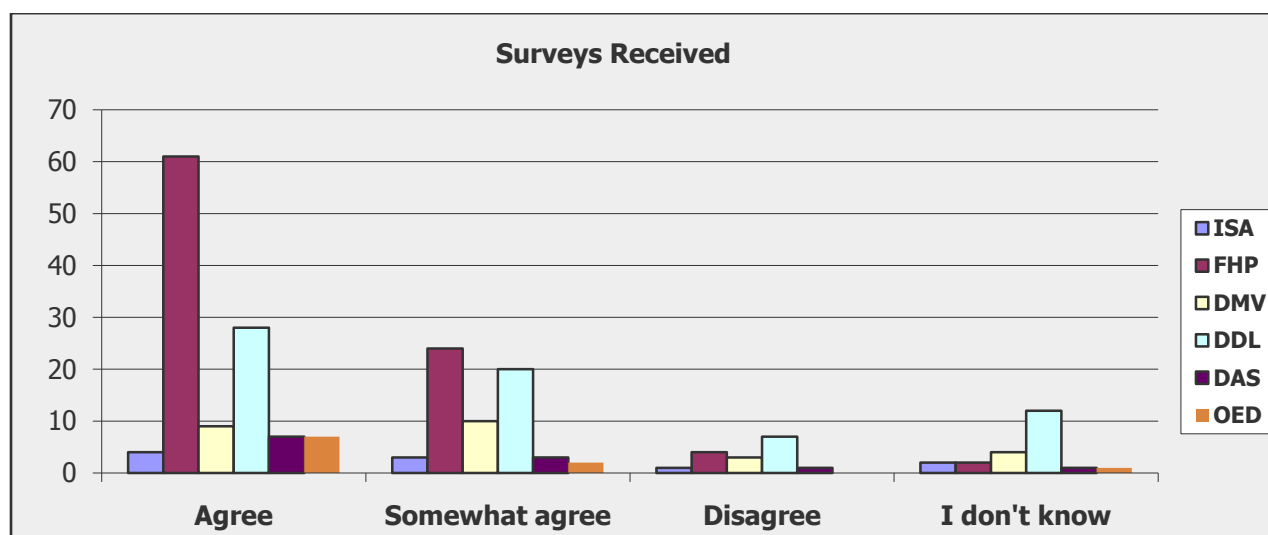
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	41.7%	50.7%	19.2%	45.1%	30.0%	40.0%	42.6%
Somewhat familiar	50.0%	38.8%	65.4%	50.5%	60.0%	50.0%	49.1%
Not at all familiar	0.0%	7.5%	11.5%	1.1%	10.0%	0.0%	4.6%
I don't know	8.3%	3.0%	3.9%	3.3%	0.0%	10.0%	3.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



### 3. Have you had training to explain the ethics and personal responsibility policy?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	7	28	9	61	7	4	116
Somewhat agree	3	20	10	24	2	3	62
Disagree	1	7	3	4	0	1	16
I don't know	1	12	4	2	1	2	22
<b>Total</b>	<b>12</b>	<b>67</b>	<b>26</b>	<b>91</b>	<b>10</b>	<b>10</b>	<b>216</b>

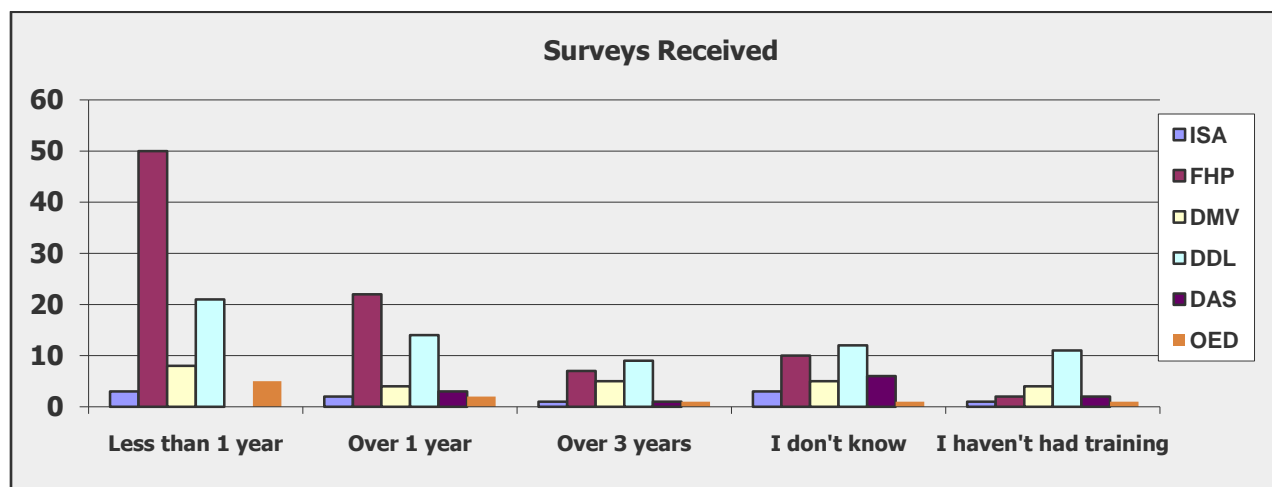
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	58.4%	41.8%	34.6%	67.0%	70.0%	40.0%	53.7%
Somewhat agree	25.0%	29.9%	38.5%	26.4%	20.0%	30.0%	28.7%
Disagree	8.3%	10.4%	11.5%	4.4%	0.0%	10.0%	7.4%
I don't know	8.3%	17.9%	15.4%	2.2%	10.0%	20.0%	10.2%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



#### 4. How long ago?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Less than 1 year	0	21	8	50	5	3	87
Over 1 year	3	14	4	22	2	2	47
Over 3 years	1	9	5	7	1	1	24
I don't know	6	12	5	10	1	3	37
I haven't had ethics training	2	11	4	2	1	1	21
<b>Total</b>	<b>12</b>	<b>67</b>	<b>26</b>	<b>91</b>	<b>10</b>	<b>10</b>	<b>216</b>

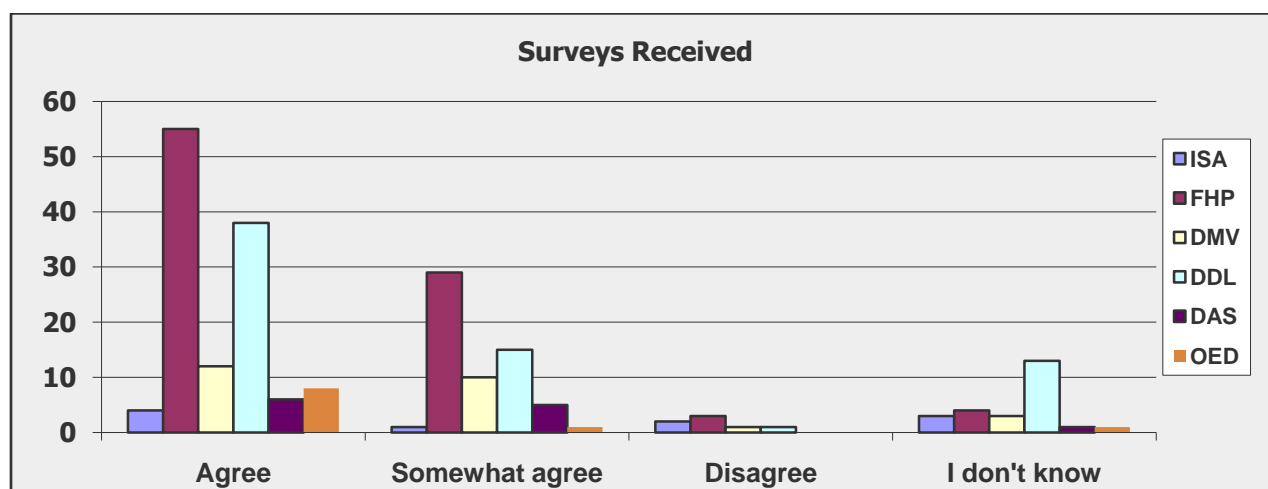
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Less than 1 year	0.0%	31.4%	30.8%	54.9%	50.0%	30.0%	40.3%
Over 1 year	25.0%	20.9%	15.4%	24.2%	20.0%	20.0%	21.8%
Over 3 years	8.3%	13.4%	19.2%	7.7%	10.0%	10.0%	11.1%
I don't know	50.0%	17.9%	19.2%	11.0%	10.0%	30.0%	17.1%
I haven't had ethics training	16.7%	16.4%	15.4%	2.2%	10.0%	10.0%	9.7%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



## 5. Do you know how and where to report ethics violations?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	6	38	12	55	8	4	123
Somewhat agree	5	15	10	29	1	1	61
Disagree	0	1	1	3	0	2	7
I don't know	1	13	3	4	1	3	25
<b>Total</b>	<b>12</b>	<b>67</b>	<b>26</b>	<b>91</b>	<b>10</b>	<b>10</b>	<b>216</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	50.0%	56.7%	46.2%	60.4%	80.0%	40.0%	57.0%
Somewhat agree	41.7%	22.4%	38.5%	31.9%	10.0%	10.0%	28.2%
Disagree	0.0%	1.5%	3.8%	3.3%	0.0%	20.0%	3.2%
I don't know	8.3%	19.4%	11.5%	4.4%	10.0%	30.0%	11.6%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

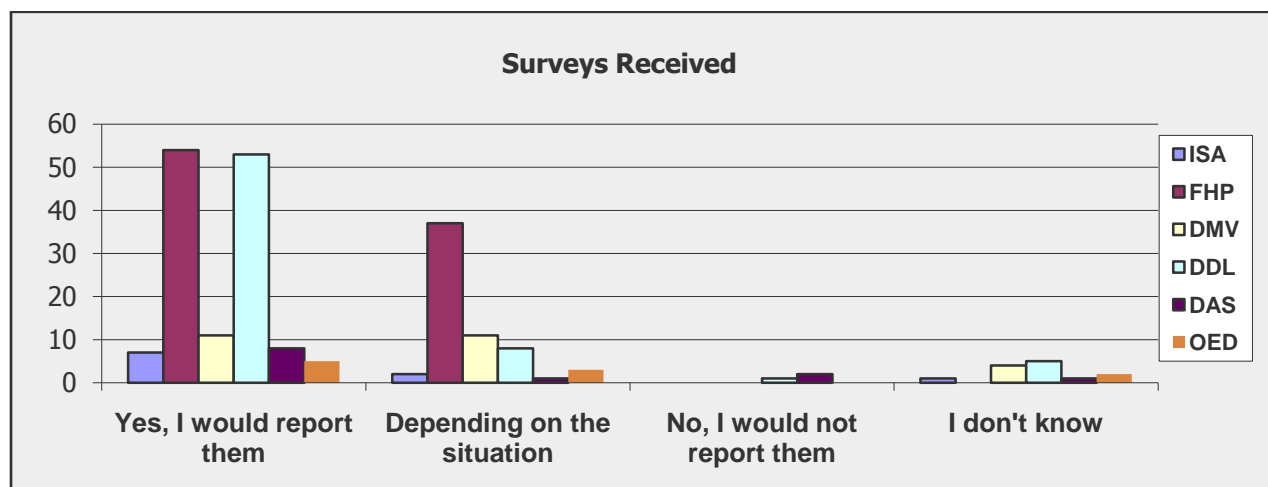




**6. If you observed co-workers violating the HSMV ethics policy, would you report them?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes, I would report them	8	53	11	54	5	7	138
Depending on the situation	1	8	11	37	3	2	62
No, I would not report them	2	1	0	0	0	0	3
I don't know	1	5	4	0	2	1	13
<b>Total</b>	<b>12</b>	<b>67</b>	<b>26</b>	<b>91</b>	<b>10</b>	<b>10</b>	<b>216</b>

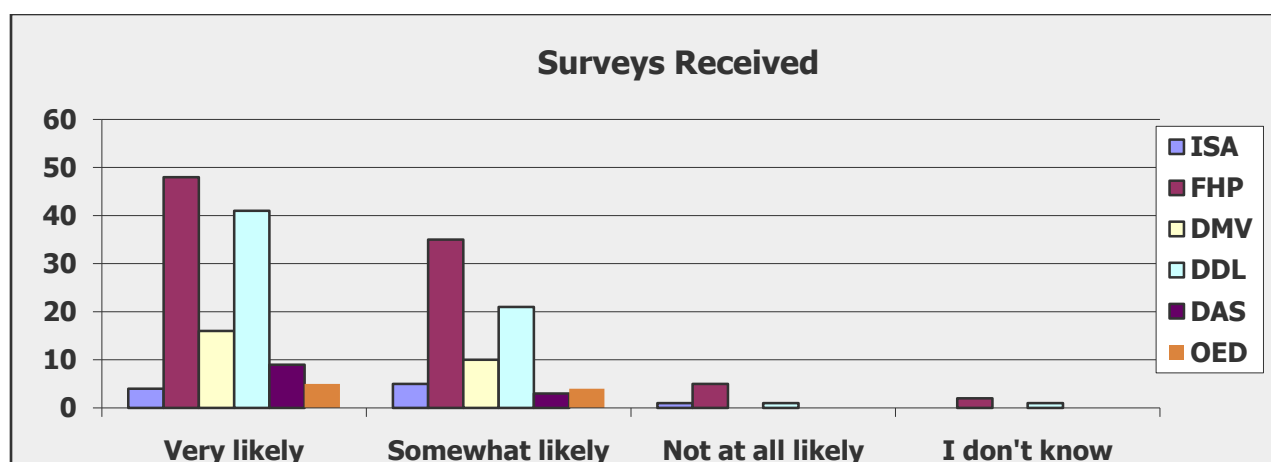
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes, I would report them	66.7%	79.1%	42.3%	59.3%	50.0%	70.0%	63.9%
Depending on the situation	8.3%	11.9%	42.3%	40.7%	30.0%	20.0%	28.7%
No, I would not report them	16.7%	1.5%	0.0%	0.0%	0.0%	0.0%	1.4%
I don't know	8.3%	7.5%	15.4%	0.0%	20.0%	10.0%	6.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**7. Do you believe that employees who steal from the department (property, money, information, time) will be discovered?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	9	41	16	48	5	4	123
Somewhat likely	3	21	10	35	4	5	78
Not at all likely	0	1	0	5	0	1	7
I don't know	0	1	0	2	0	0	3
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

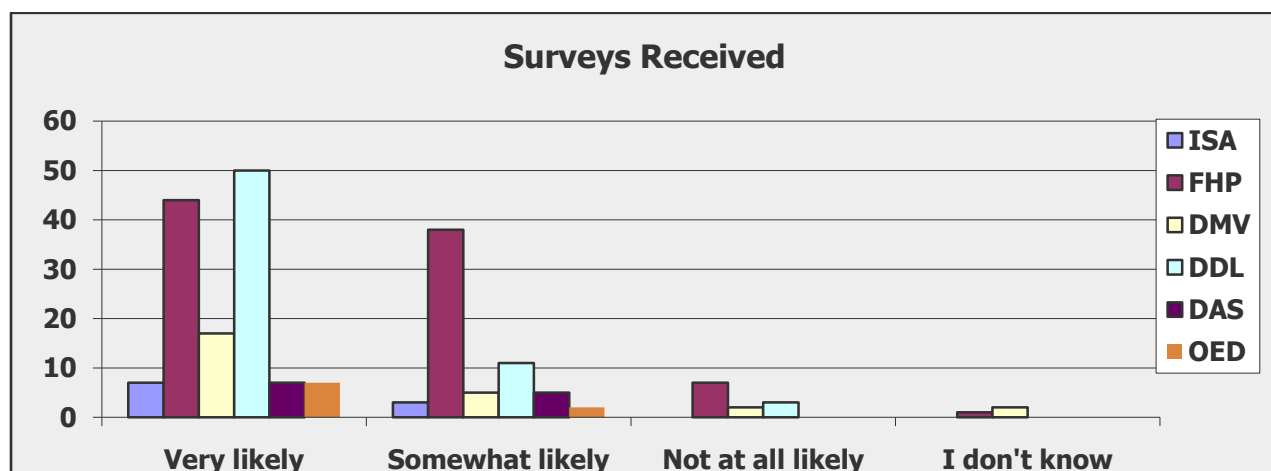
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	75.0%	64.0%	61.5%	53.3%	55.6%	40.0%	58.3%
Somewhat likely	25.0%	32.8%	38.5%	38.9%	44.4%	50.0%	37.0%
Not at all likely	0.0%	1.6%	0.0%	5.6%	0.0%	10.0%	3.3%
I don't know	0.0%	1.6%	0.0%	2.2%	0.0%	0.0%	1.4%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**8. Do you believe that employees who steal from the department will be subject to appropriate consequences?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	7	50	17	44	7	7	132
Somewhat likely	5	11	5	38	2	3	64
Not at all likely	0	3	2	7	0	0	12
I don't know	0	0	2	1	0	0	3
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

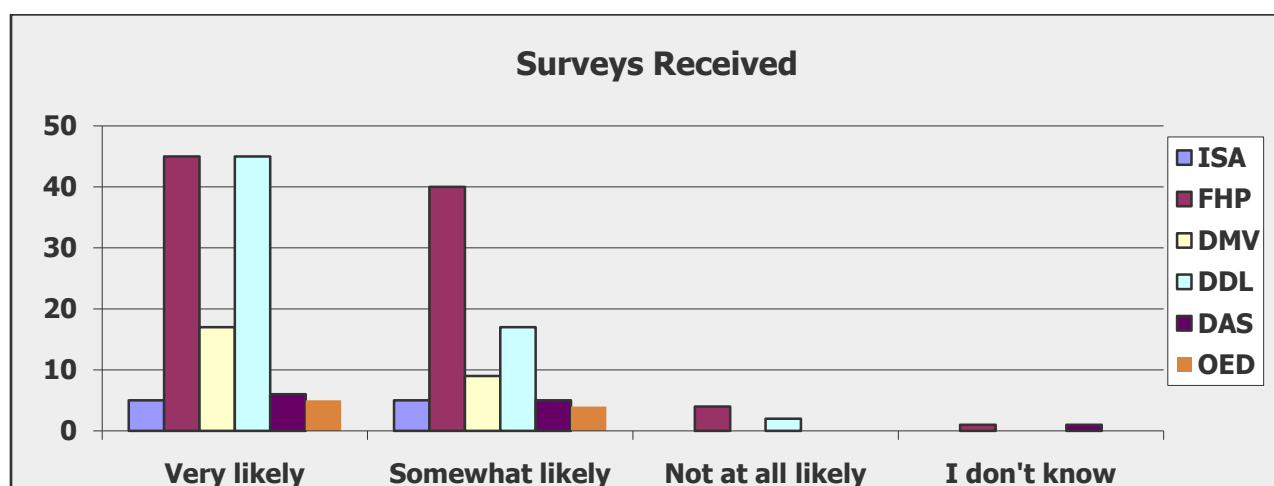
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	58.3%	78.1%	65.4%	48.9%	77.8%	70.0%	62.6%
Somewhat likely	41.7%	17.2%	19.2%	42.2%	22.2%	30.0%	30.3%
Not at all likely	0.0%	4.7%	7.7%	7.8%	0.0%	0.0%	5.7%
I don't know	0.0%	0.0%	7.7%	1.1%	0.0%	0.0%	1.4%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**9. Do you believe that employees who break laws and regulations affecting the department will be discovered?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	6	45	17	45	5	5	123
Somewhat likely	5	17	9	40	4	5	80
Not at all likely	0	2	0	4	0	0	6
I don't know	1	0	0	1	0	0	2
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

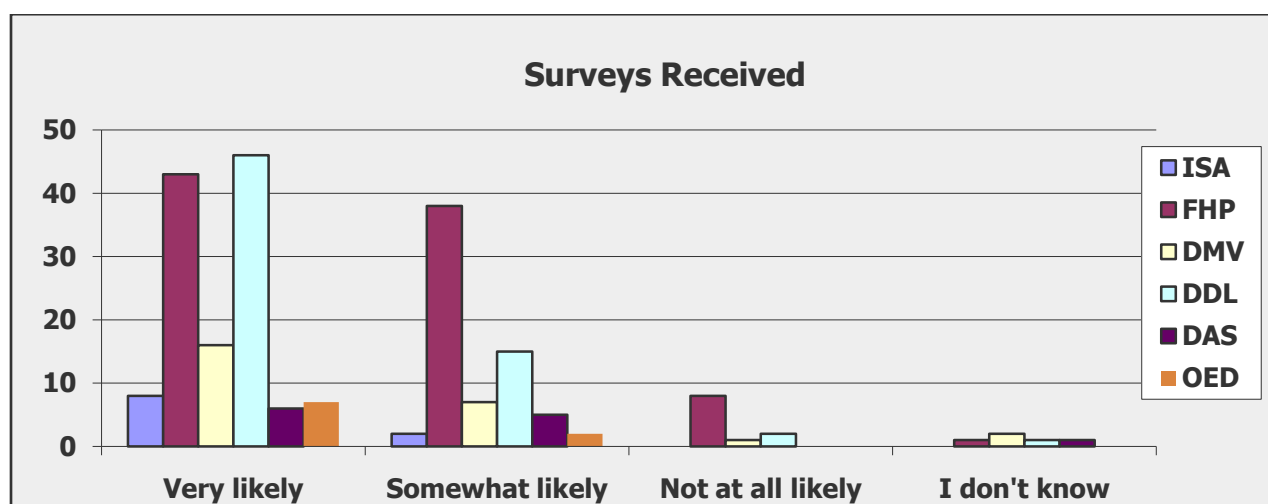
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	50.0%	70.3%	65.4%	50.0%	55.6%	50.0%	58.3%
Somewhat likely	41.7%	26.6%	34.6%	44.5%	44.4%	50.0%	38.0%
Not at all likely	0.0%	3.1%	0.0%	4.4%	0.0%	0.0%	2.8%
I don't know	8.3%	0.0%	0.0%	1.1%	0.0%	0.0%	0.9%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**10. Do you believe that employees who break laws and regulations affecting the department will be subject to appropriate consequences?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	6	46	16	43	7	8	126
Somewhat likely	5	15	7	38	2	2	69
Not at all likely	0	2	1	8	0	0	11
I don't know	1	1	2	1	0	0	5
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

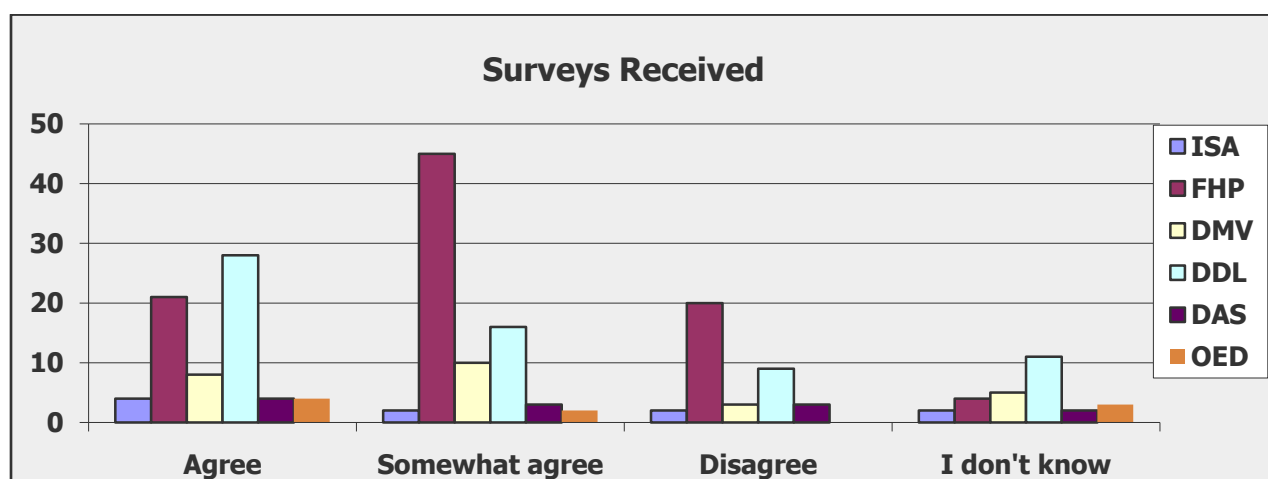
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Very likely	50.0%	71.9%	61.5%	47.8%	77.8%	80.0%	59.7%
Somewhat likely	41.7%	23.4%	26.9%	42.2%	22.2%	20.0%	32.7%
Not at all likely	0.0%	3.1%	3.9%	8.9%	0.0%	0.0%	5.2%
I don't know	8.3%	1.6%	7.7%	1.1%	0.0%	0.0%	2.4%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**11. Do you believe that persons who report suspected improprieties are protected from reprisal?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	4	28	8	21	4	4	69
Somewhat agree	3	16	10	45	2	2	78
Disagree	3	9	3	20	0	2	37
I don't know	2	11	5	4	3	2	27
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

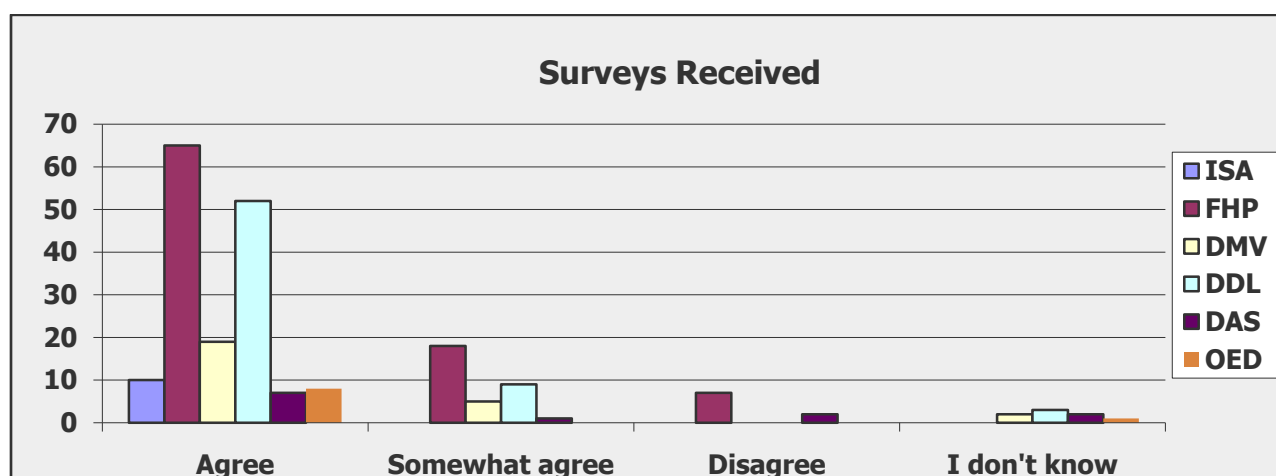
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	33.3%	43.7%	30.8%	23.3%	44.5%	40.0%	32.7%
Somewhat agree	25.0%	25.0%	38.5%	50.0%	22.2%	20.0%	37.0%
Disagree	25.0%	14.1%	11.5%	22.2%	0.0%	20.0%	17.5%
I don't know	16.7%	17.2%	19.2%	4.5%	33.3%	20.0%	12.8%
<b>Total</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>	<b>100.0%</b>



**12. Do you believe that your supervisor complies with laws/regulations affecting the agency?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	7	52	19	65	8	10	161
Somewhat agree	1	9	5	18	0	0	33
Disagree	2	0	0	7	0	0	9
I don't know	2	3	2	0	1	0	8
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

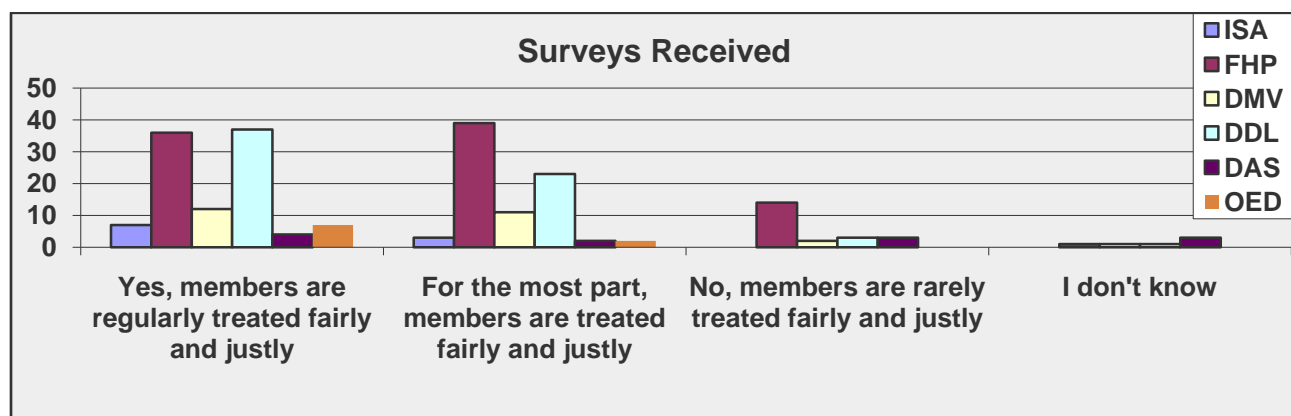
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	58.3%	81.2%	73.1%	72.2%	88.9%	100.0%	76.3%
Somewhat agree	8.3%	14.1%	19.2%	20.0%	0.0%	0.0%	15.6%
Disagree	16.7%	0.0%	0.0%	7.8%	0.0%	0.0%	4.3%
I don't know	16.7%	4.7%	7.7%	0.0%	11.1%	0.0%	3.8%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



### 13. Are members in your work unit treated fairly and justly?

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Members are treated fairly and justly	4	37	12	36	7	7	103
For the most part, members are treated fairly and justly	2	23	11	39	2	3	80
No, members are rarely treated fairly and justly	3	3	2	14	0	0	22
I don't know	3	1	1	1	0	0	6
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Members are treated fairly and justly	33.3%	57.8%	46.2%	40.0%	77.8%	70.0%	48.8%
For the most part, members are treated fairly and justly	16.7%	35.9%	42.3%	43.3%	22.2%	30.0%	37.9%
No, members are rarely treated fairly and justly	25.0%	4.7%	7.7%	15.6%	0.0%	0.0%	10.4%
I don't know	25.0%	1.6%	3.8%	1.1%	0.0%	0.0%	2.9%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

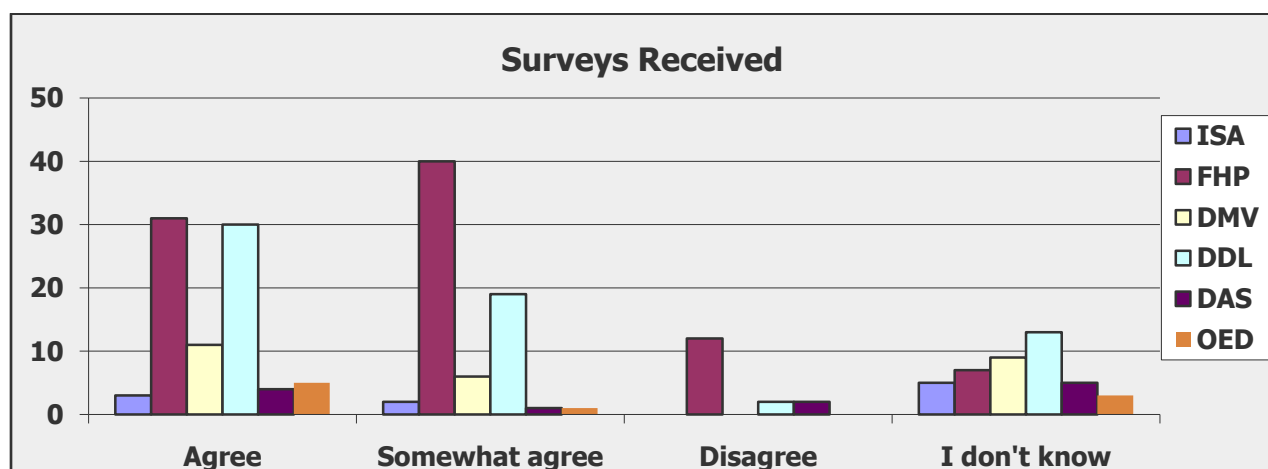




**14. Do you believe that reports of unethical behavior are handled appropriately?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	4	30	11	31	5	3	84
Somewhat agree	1	19	6	40	1	2	69
Disagree	2	2	0	12	0	0	16
I don't know	5	13	9	7	3	5	42
<b>Total</b>	<b>12</b>	<b>64</b>	<b>26</b>	<b>90</b>	<b>9</b>	<b>10</b>	<b>211</b>

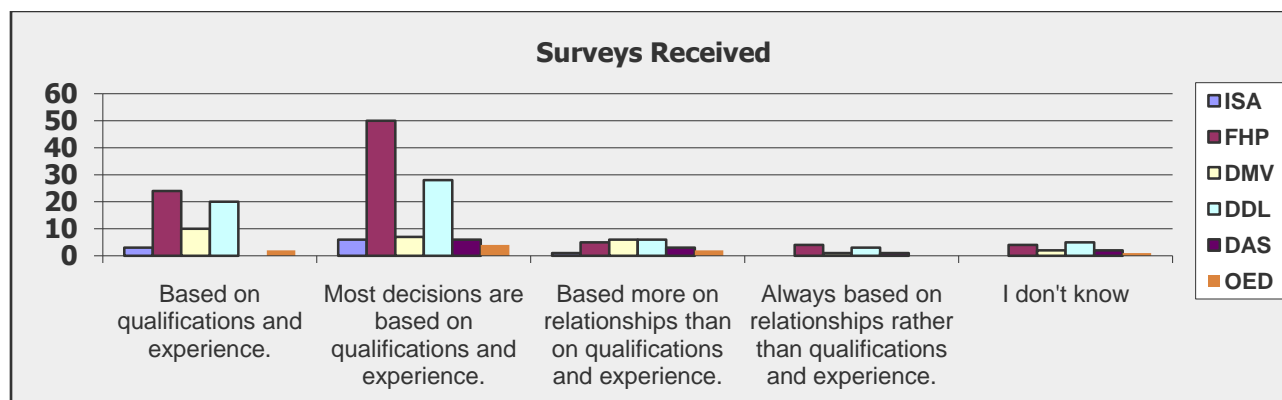
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	33.3%	46.9%	42.3%	34.4%	55.6%	30.0%	39.8%
Somewhat agree	8.3%	29.7%	23.1%	44.5%	11.1%	20.0%	32.7%
Disagree	16.7%	3.1%	0.0%	13.3%	0.0%	0.0%	7.6%
I don't know	41.7%	20.3%	34.6%	7.8%	33.3%	50.0%	19.9%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**15. Which of these statements do you believe best represents the basis used for hiring decisions?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Based on qualifications and experience.	0	20	10	24	2	3	59
Most decisions are based on qualifications and experience.	6	28	7	50	4	6	101
Based more on relationships than on qualifications and experience.	3	6	6	5	2	1	23
Always based on relationships rather than qualifications and experience.	1	3	1	4	0	0	9
I don't know	2	5	2	4	1	0	14
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

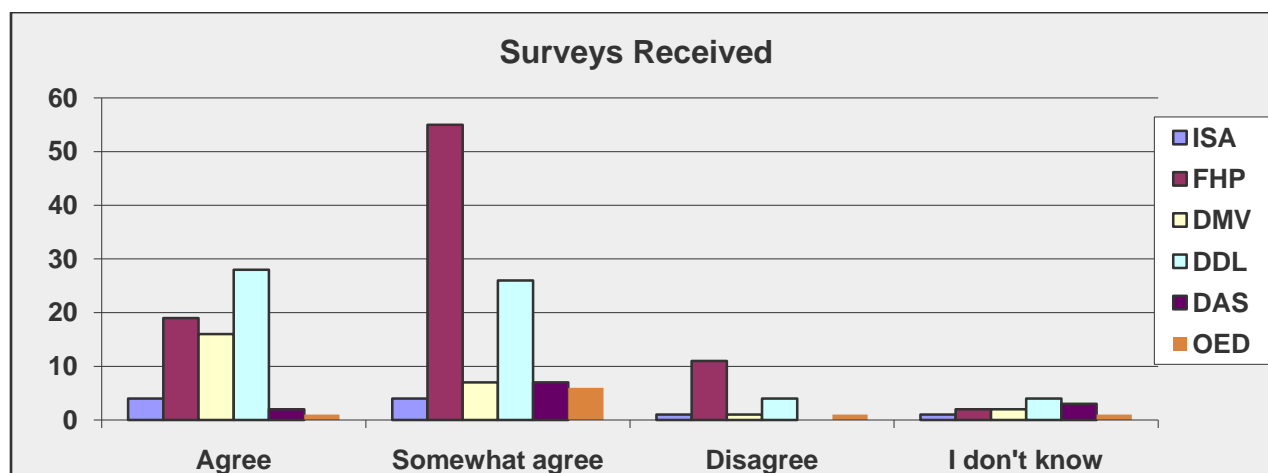
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Based on qualifications and experience.	0.0%	32.3%	38.5%	27.6%	22.2%	30.0%	28.6%
Most decisions are based on qualifications and experience.	50.0%	45.1%	26.9%	57.5%	44.5%	60.0%	49.0%
Based more on relationships than on qualifications and experience.	25.0%	9.7%	23.1%	5.7%	22.2%	10.0%	11.2%
Always based on relationships rather than qualifications and experience.	8.3%	4.8%	3.8%	4.6%	0.0%	0.0%	4.4%
I don't know	16.7%	8.1%	7.7%	4.6%	11.1%	0.0%	6.8%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**16. In your opinion, does senior management demonstrate high ethical standards?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	2	28	16	19	1	4	70
Somewhat agree	7	26	7	55	6	4	105
Disagree	0	4	1	11	1	1	18
I don't know	3	4	2	2	1	1	13
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

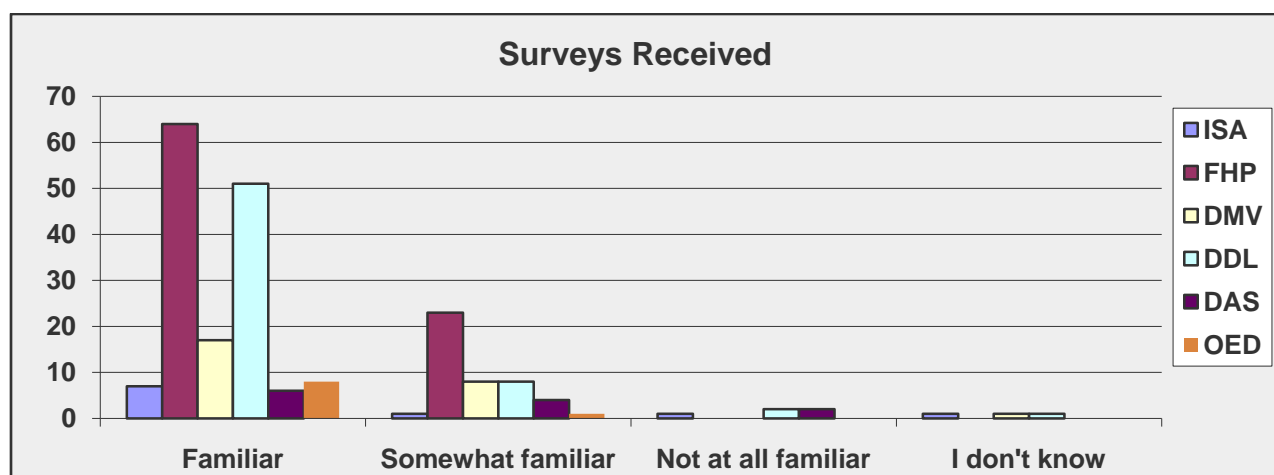
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Agree	16.7%	45.2%	61.5%	21.9%	11.1%	40.0%	34.0%
Somewhat agree	58.3%	41.9%	26.9%	63.2%	66.7%	40.0%	51.0%
Disagree	0.0%	6.5%	3.9%	12.6%	11.1%	10.0%	8.7%
I don't know	25.0%	6.4%	7.7%	2.3%	11.1%	10.0%	6.3%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**17. How familiar are you with the agency policy regarding accepting gifts?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	6	51	17	64	8	7	153
Somewhat familiar	4	8	8	23	1	1	45
Not at all familiar	2	2	0	0	0	1	5
I don't know	0	1	1	0	0	1	3
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

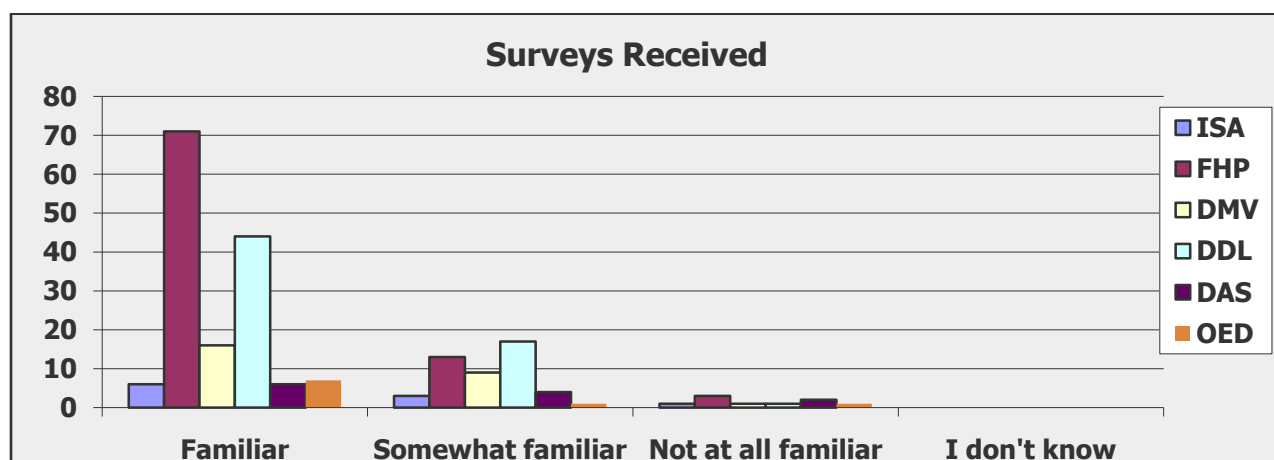
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	50.0%	82.3%	65.4%	73.6%	88.9%	70.0%	74.3%
Somewhat familiar	33.3%	12.9%	30.8%	26.4%	11.1%	10.0%	21.8%
Not at all familiar	16.7%	3.2%	0.0%	0.0%	0.0%	10.0%	2.4%
I don't know	0.0%	1.6%	3.8%	0.0%	0.0%	10.0%	1.5%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**18. How familiar are you with the agency policy regarding secondary employment?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	6	44	16	71	7	6	150
Somewhat familiar	4	17	9	13	1	3	47
Not at all familiar	2	1	1	3	1	1	9
I don't know	0	0	0	0	0	0	0
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

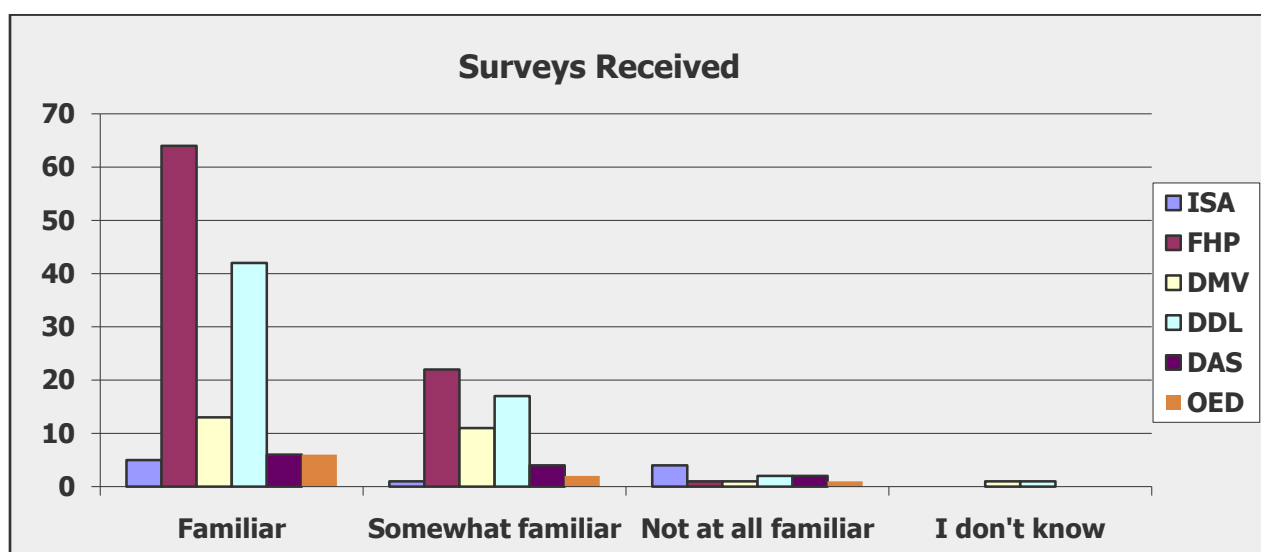
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	50.0%	71.0%	61.5%	81.6%	77.8%	60.0%	72.8%
Somewhat familiar	33.3%	27.4%	34.6%	14.9%	11.1%	30.0%	22.8%
Not at all familiar	16.7%	1.6%	3.9%	3.5%	11.1%	10.0%	4.4%
I don't know	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**19. How familiar are you with the agency policy regarding conflict of interest?**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	6	42	13	64	6	5	136
Somewhat familiar	4	17	11	22	2	1	57
Not at all familiar	2	2	1	1	1	4	11
I don't know	0	1	1	0	0	0	2
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

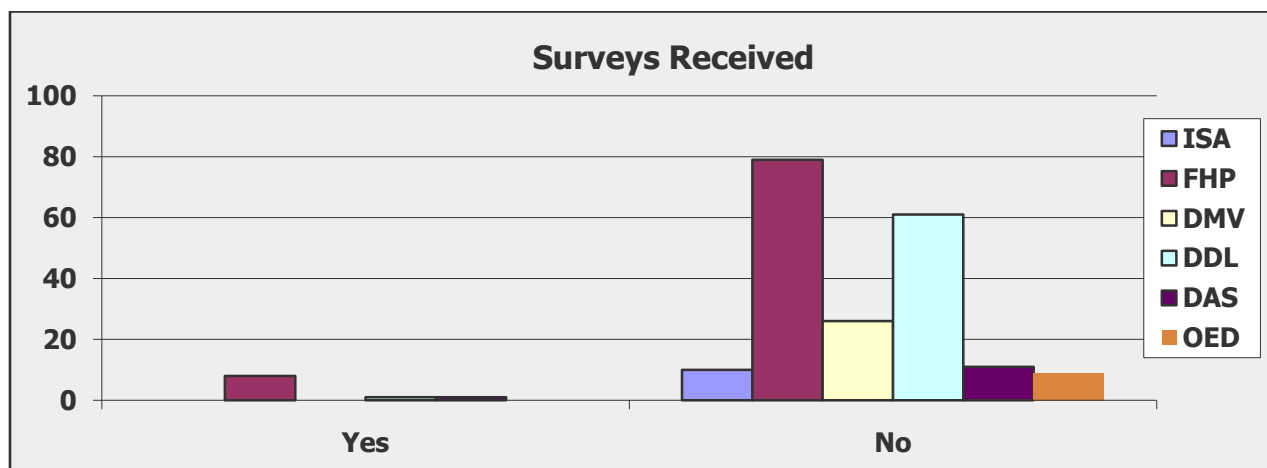
Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Familiar	50.0%	67.8%	50.0%	73.6%	66.7%	50.0%	66.0%
Somewhat familiar	33.3%	27.4%	42.3%	25.3%	22.2%	10.0%	27.7%
Not at all familiar	16.7%	3.2%	3.9%	1.1%	11.1%	40.0%	5.3%
I don't know	0.0%	1.6%	3.8%	0.0%	0.0%	0.0%	1.0%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**20. I suspect or know that fraudulent activity is occurring in my workplace.**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes	1	1	0	8	0	0	10
No	11	61	26	79	9	10	196
<b>Total</b>	<b>12</b>	<b>62</b>	<b>26</b>	<b>87</b>	<b>9</b>	<b>10</b>	<b>206</b>

Percentage of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
Yes	8%	2%	0%	9%	0%	0%	5%
No	92%	98%	100%	91%	100%	100%	95%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>



**Florida Department of Highway Safety and Motor Vehicles  
Office of Inspector General**

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**21. If you answered yes, please complete the following**

Number of Surveys Received							
Answers	DAS	DDL	DMV	FHP	OED	ISA	Total
What is the fraudulent activity you know of or suspect?	0	1	0	5	0	0	6
<b>Total</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>5</b>	<b>0</b>	<b>0</b>	<b>6</b>

What is the fraudulent activity you know of or suspect?		
Division	Activity	Reported?
DDL	Employee may be accessing personal information from Driver License records.	Yes
FHP	Racial slurs, harassment, cover ups, sexual harassment, preferential treatment, punishing troopers for same violations that Lieutenants commit without even investigating the Lieutenants.	Yes
FHP	Just heard from others. Supervisors are aware.	No
FHP	Escort jobs are being given "under the table" and not being accounted for accurately by troopers.	Yes
FHP	Scheduling off-duty while on duty.	No
FHP	Stealing time from department	No

Why was activity not reported?	
Division	Answer
FHP	Supervisor already knew.
FHP	The person had already been investigated.
FHP	Did not want to complain about co-worker.



## APPENDIX A – Management Survey

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### Management Ethics Survey

1. **Select your Division.**  ▼
2. **How familiar are you with HSMV policy 3.08, Ethics and Personal Responsibility?**
  - ☐ Familiar
  - ☐ Somewhat familiar
  - ☐ Not at all familiar
  - ☐ I don't know
3. **Do you believe that employee reports of unethical behavior are handled appropriately?**
  - ☐ Agree
  - ☐ Somewhat agree
  - ☐ Disagree
  - ☐ I don't know
4. **Which of these statements do you believe best represents the basis used for hiring decisions?**
  - ☐ I believe hiring decisions are based on qualifications and experience, not relationships.
  - ☐ I believe sometimes relationships play a role in hiring decisions, but most decisions are based on qualifications and experience.
  - ☐ I believe hiring decisions are based more on relationships than on qualifications and experience.
  - ☐ I believe hiring decisions are always based on relationships rather than qualifications and experience.
  - ☐ I don't know what hiring decisions are based on.
5. **Are members in your unit treated fairly and justly?**
  - ☐ Yes, members in my work unit are regularly treated fairly and justly.
  - ☐ For the most part, members in my work unit are treated fairly and justly.
  - ☐ No, members in my work unit are rarely treated fairly and justly.
  - ☐ I don't know.
6. **In your opinion, does senior management demonstrate high ethical standards?**
  - ☐ Agree
  - ☐ Somewhat agree
  - ☐ Disagree
  - ☐ I don't know

## APPENDIX A – Management Survey - Continued

### Management Ethics Survey

**7. Do you believe that employees who steal from the department (property, money, information, time) will be discovered?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**8. Do you believe that employees who steal from the department will be subject to appropriate consequences?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**9. Do you believe that employees who break laws and regulations affecting the department will be discovered?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**10. Do you believe that employees who break laws and regulations affecting the department will be subject to appropriate consequences?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**11. Do you believe that persons who report suspected improprieties are protected from reprisal?**

☐ Agree   ☐ Somewhat agree   ☐ Disagree   ☐ I don't know

**12. Do you believe that information reported to senior management reflects the actual results of operations in your work unit?**

☐ Agree   ☐ Somewhat agree   ☐ Disagree   ☐ I don't know

**13. If you observed co-workers violating the HSMV ethics policy, would you report them?**

- ☐ Yes, I would report them.
- ☐ I might report them depending on the situation.
- ☐ No, I would not report them.
- ☐ I don't know.

**14. Have you had supervisory ethics training?**

☐ Yes   ☐ No   ☐ I don't know

## APPENDIX B – Member Survey

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### Members Ethics Survey

1. Select your Division.  ▼
2. How familiar are you with HSMV policy 3.08, Ethics and Personal Responsibility?
  - ☐ Familiar
  - ☐ Somewhat familiar
  - ☐ Not at all familiar
  - ☐ I don't know
3. Have you had training to explain the ethics and personal responsibility policy?
  - ☐ Agree
  - ☐ Somewhat agree
  - ☐ Disagree
  - ☐ I don't know
4. How long ago?
  - ☐ Less than 1 year
  - ☐ Over 1 year
  - ☐ Over 3 years
  - ☐ I don't know
  - ☐ I haven't had ethics training
5. Do you know how and where to report ethics violations?
  - ☐ Agree
  - ☐ Somewhat agree
  - ☐ Disagree
  - ☐ I don't know
6. If you observed co-workers violating the HSMV ethics policy, would you report them?
  - ☐ Yes, I would report them.
  - ☐ I might report them depending on the situation.
  - ☐ No, I would not report them.
  - ☐ I don't know.
7. Do you believe that employees who steal from the department (property, money, information, time) will be discovered?
  - ☐ Very likely
  - ☐ Somewhat likely
  - ☐ Not likely at all
  - ☐ I don't know

## APPENDIX B – Member Survey - Continued

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### Members Ethics Survey

**8. Do you believe that employees who steal from the department will be subject to appropriate consequences?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**9. Do you believe that employees who break laws and regulations affecting the department will be discovered?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**10. Do you believe that employees who break laws and regulations affecting the department will be subject to appropriate consequences?**

☐ Very likely   ☐ Somewhat likely   ☐ Not likely at all   ☐ I don't know

**11. Do you believe that persons who report suspected improprieties are protected from reprisal?**

☐ Agree   ☐ Somewhat agree   ☐ Disagree   ☐ I don't know

**12. Do you believe that your supervisor complies with laws/regulations affecting the agency?**

☐ Agree   ☐ Somewhat agree   ☐ Disagree   ☐ I don't know

**13. Are members in your unit treated fairly and justly?**

- ☐ Yes, members in my work unit are regularly treated fairly and justly.
- ☐ For the most part, members in my work unit are treated fairly and justly.
- ☐ No, members in my work unit are rarely treated fairly and justly.
- ☐ I don't know.

**14. Do you believe that employee reports of unethical behavior are handled appropriately?**

☐ Agree   ☐ Somewhat agree   ☐ Disagree   ☐ I don't know

## APPENDIX B – Member Survey - Continued

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### Members Ethics Survey

**15. Which of these statements do you believe best represents the basis used for hiring decisions?**

- ☐ I believe hiring decisions are based on qualifications and experience, not relationships.
- ☐ I believe sometimes relationships play a role in hiring decisions, but most decisions are based on qualifications and experience.
- ☐ I believe hiring decisions are based more on relationships than on qualifications and experience.
- ☐ I believe hiring decisions are always based on relationships rather than qualifications and experience.
- ☐ I don't know.

**16. In your opinion, does senior management demonstrate high ethical standards?**

- ☐ Agree    ☐ Somewhat agree    ☐ Disagree    ☐ I don't know

**17. How familiar are you with the agency policy regarding accepting gifts?**

- ☐ Familiar
- ☐ Somewhat familiar
- ☐ Not at all familiar
- ☐ I don't know

**18. How familiar are you with the agency policy regarding secondary employment?**

- ☐ Familiar
- ☐ Somewhat familiar
- ☐ Not at all familiar
- ☐ I don't know

**19. How familiar are you with the agency policy regarding conflict of interests?**

- ☐ Familiar
- ☐ Somewhat familiar
- ☐ Not at all familiar
- ☐ I don't know

## APPENDIX B – Member Survey - Continued

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### Members Ethics Survey

**20. I suspect/know that fraudulent activity is occurring in my workplace?**

- ☐ Yes  
☐ No

**21. If you answered yes, please complete the following?**

What is the fraudulent activity you know or suspect?

Did you report it?

If no, why not?