

# King County Board of Ethics 2007 Annual Report

January 1, 2007, through December 31, 2007

## **Members**

Roland H. Carlson  
Margaret T. Gordon, Ph.D.  
Lois Price Spratlen, Ph.D., Chair  
Rev. Paul F. Pruitt  
Jerry Saltzman

## **Executive Director**

Catherine A. Clemens

## **Board Counsel**

Alan Abrams

## **King County Executive**

Ron Sims

## **Department of Executive Services**

Paul Tanaka, County Administrative Officer and Director  
(January – June, 2007)

James J. Buck, County Administrative Officer and Director  
(July – December, 2007)



## **King County**

Board of Ethics

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## Message from the Board



**King County**  
Board of Ethics

March 2007

King County Executive Ron Sims  
Metropolitan King County Council Chair Julia Patterson  
Members of the Metropolitan King County Council  
Separately Elected Officials

As the King County Board of Ethics, we present the Annual Report, briefly highlighting our activities in 2007. As a volunteer citizen Board, we are dedicated to increasing the awareness of and compliance with the high ethical standards set by our authorizing ordinance, the Employee Code of Ethics (K.C.C. 3.04). This Code applies to elected officials, employees, management personnel, and board and commission members, as well as consultants and vendors who provide services to and on behalf of King County. Highlights mentioned in this brief transmittal letter are detailed in the body of the report.

During 2007 we continued our highly successful and productive county ethics program with outstanding support from our staff – Executive Director Catherine Clemens and legal counsel Alan Abrams. Our goals and initiatives set under Code authority have been successfully accomplished on a timely basis and within the budget. All Board meetings are public; they are scheduled and announced in advance and are open to anyone desiring to attend. Past agendas and minutes are available on the ethics Web site.

Specific highlights in 2007 have been accomplished under five categories: 1) continued training of county employees with emphasis on new employees and managers; 2) briefing of the King County Council Committee of the Whole and County Executive on ethics Board matters; 3) a high level of compliance on the annual financial disclosure program; 4) the signing of the Multilateral Statement of Ethical Principles with the Seattle Ethics and Elections Commission and City Council of Spokane; and 5) the annual on-line ethics quiz and survey for county employees.

Chair Lois Price Spratlen and Rev. Paul Pruitt, member, were recognized and honored for their long and dedicated service to the achievement of a high standard of ethics in King County during 2007.

Our commitment remains the promotion of and adherence by all King County employees and management personnel to the high standard of ethics as defined and required by the King County Code of Ethics.

Sincerely,

Lois Price Spratlen, Chair

Paul F. Pruitt

Roland H. Carlson

Margaret T. Gordon

Anne J. Watanabe

# Report Summary

Serving King County Since 1972

## Achievements

- Provided training to over 1,920 employees or approximately 15% of all county employees.
- Achieved 99.4% filing compliance for the 2007 financial disclosure program for employees and elected officials, and 98.2% filing compliance for board and commission members.
- Responded to 203 Ethics Help Line requests and wrote 140 staff informational responses.
- Conducted the fourth annual, on-line ethics quiz and survey for county employees with access to computers in which 18% of 11,000 employees took part.

## Board Activities and Outreach

- Held a signing ceremony with the Seattle Ethics and Elections Commission and City Council of Spokane commemorating and celebrating the Multilateral Statement of Principles.
- Conducted eight public meetings in which members maintained a 78% attendance record.
- Met twice with the executive to discuss ethics-related issues within King County government and presented the 2006 annual report to the County Council Committee of the Whole.

## Goals and Performance Measures

- **Goal I: Educate County Employees.** Over 1,920 county employees received ethics education in 2007, with an emphasis placed on reaching new employees (80%) and supervisors, including directors and their deputies (10%). In the spring, the executive director met with county directors, deputies, and management teams for information exchange. In October, the office conducted the fourth annual, on-line ethics quiz and survey for county employees in which 18% of 11,000 employees took part. During the holidays, county employees received guidance on gift acceptance via the employee broadcast email.

- **Goal II: Continue Systematic Review of the Ethics Code.** The board made no review of the ethics code in 2007.
- **Goal III: Provide Advice and Guidance.** The board issued no advisory opinions in 2007, but did issue an oral opinion in March agreeing with department management policies which prohibited an employee from working as a consultant employee on contracts with her former division for a period of one year from date of termination. Throughout the year, the board reviewed acceptable use policy, guidelines and frequently asked questions drafted by the Office of Information Resource Management and determined that it would issue a related advisory opinion early in 2008. The ethics office responded to 203 requests for information on ethics matters by phone and provided written responses to over 140 other requests.
- **Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program.** As of the filing deadline of April 15, 2007, 99.4% of the 2,461 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 98.2% of the 449 county board and commission members had filed. Under the consultant disclosure program, approximately 253 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120.
- **Goal V: Collaborate with Other Ethics Agencies.** On June 4, the King County Board of Ethics, the Seattle Ethics and Elections Commission, and the Spokane City Council held a signing ceremony of the Multilateral Statement of Principles. The board worked throughout the year to gain additional signers from cities and counties in Washington State. The Board of Ethics maintained its membership in the international Council on Governmental Ethics Laws (COGEL) and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

# The King County Board of Ethics

## ***Mission***

**To ensure the highest standards of public service by developing, disseminating, and promoting readily understandable ethics requirements for King County employees and agencies.**

### ***Authority***

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The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

### ***The Board***

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Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by a full-time executive director and a half-time administrative staff located in a central office. The board and executive director are also advised by legal counsel from the prosecuting attorney's office. Together, they serve more than 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is appointed by the executive based upon nominations from the other board members. In 2007, the board maintained a full complement of five members, all serving in current terms.

The board conducted eight public meetings in 2007 and members maintained a 78% attendance record. During the annual board retreat held on Monday, February 5, the board approved the 2006 Annual Report and the 2007 business plan, and adopted the 2007 mission and goals.

### ***2007 Goals***

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- Goal I:** To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.
- Goal II:** To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.
- Goal III:** To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.
- Goal IV:** To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.
- Goal V:** To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.

# The King County Board of Ethics (continued)

## 2007 Initiatives

In addition to its activities expressly authorized under the Code of Ethics, the board actively pursued additional initiatives in 2007 as follows.

**Awareness Campaign.** The board continued this work which was created and designed to raise awareness of the ethics code, the board and office, and the resources they provide. Details of 2007 campaign activities are found on page 14.

**Statement of Principles.** In January of 2003, the Board of Ethics began discussions about a statement of commonalities among ethics jurisdictions and the importance of articulating these shared values. The result was Ethics, Public Service and the Public's Trust: A Bilateral Statement of Principles between King County Board of Ethics and the Seattle Ethics and Elections Commission. The purpose of the document was to outline in clear language the common elements shared by the two codes of ethics in the belief that they reflect attitudes and a shared spirit among public employees that favor fair and honest decisions and actions. The two agencies also believe that an understanding of the commonalities will foster public trust, and public perceptions that principled approaches prevail in our local governments. On June

4, 2007, the number of signers increased to include the Spokane City Council and they held a celebration and signing ceremony hosted by the respective jurisdictions and the Daniel J. Evans School of Public Affairs at the University of Washington. In addition, Chair Price Spratlen was honored at the event with a proclamation from the King County Council declaring June 4, 2007, as Dr. Lois Price Spratlen Day in recognition of her leadership and dedicated service to ethics in King County. Attendees included the president of the University of Washington, dean and faculty of the Evans School, the King County Executive and council members, and supporters of the initiative. The Board of Ethics plans to expand participating jurisdictions throughout Washington State in 2008.

**Meetings with County Leadership.** In order to create cooperative working relationships with government leadership, the board established meetings with the executive and County Council to informally discuss ethics-related issues affecting King County government. During the March 26 meeting, at which the board presented the 2006 Annual Report, Rev. Paul Pruitt was recognized for his long and outstanding service as a member to the Board of Ethics. Meetings in 2007 were as follows:

<b>Date</b>	<b>Board Members</b>	<b>County Leadership</b>
<b>January 10</b>	<b>Dr. Price Spratlen</b>	<b>Executive Sims</b>
<b>March 26</b>	<b>Dr. Price Spratlen, Mr. Carlson, Dr. Gordon, Ms. Clemens</b>	<b>County Council COW</b>
<b>December 11</b>	<b>Dr. Price Spratlen; Dr. Gordon</b>	<b>Executive Sims</b>

## Board of Ethics Members



### **Lois Price Spratlen, Ph.D., Chair**

**1994 – present**

Lois is the University Ombudsman and Ombudsman for Sexual Harassment at the University of Washington, and a professor in the School of Nursing. She joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA, and her Ph.D. in Urban Planning is from the University of Washington. She is formerly a board certified psychotherapist and holds the designation of Clinical Specialist. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

Having served as Ombudsman for Sexual Harassment since 1982, Lois was appointed University Ombudsman in 1988. She is the first woman on the UW campus to occupy this latter role, which was established in 1969. An active leader within the California Caucus of College and University Ombuds, Lois was named Ombuds of the Year in 1998. She also founded and is co-editor of *The Journal*, the oldest peer-reviewed publication for ombuds scholarship.

Locally, Lois has served other boards, including Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney

Professional Nurses Organization, as well as the founder of its endowment, and past president of the Far West Region of the Hampton University Alumni Association. Lois is the author of *African American Registered Nurses in Seattle: the Struggle for Opportunity and Success*, and is currently working on a companion volume on African American Registered Nurses in Mississippi.

In 2005 Lois received the UW's Samuel E. Kelly Distinguished Alumni award for her life-time contributions to diversity. Her career community service contributions were recognized in 2006 with the receipt of the Martin Luther King, Jr. Award in the UW Health Sciences and her professional contributions were recognized by her induction into the Washington State Nurses Association Hall of Fame.

During her tenure as chair of the King County Board of Ethics, Lois has made prevention through education a primary focus, implementing an ethics education program designed to reach all employees, appointed and elected officials. She has promoted outreach to the County Executive and Council, and to other city, county and state ethics agencies. In 2004 Attorney General Rob McKenna asked Lois to serve on his transition team to focus on ethics-related matters.



## Board of Ethics Members



### **Roland H. Carlson**

**1994 – present**

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal management on missile system basing and management of the Boeing Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5½ years as a Research and Development Officer in the U.S. Air Force. Key assignments included nuclear blast and shock experiments on structures at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including Chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He has authored numerous professional papers and journal articles.

## Board of Ethics Members



### **Margaret T. Gordon, Ph.D.**

**1999 – present**

Margaret (Margo) Gordon is Dean and Professor Emeritus of the Daniel J. Evans School of Public Affairs at the University of Washington.

She joined the UW faculty in 1988, and after nearly ten years of service as Dean, elected to engage full time in teaching and research. She taught “News Media and Public Policy” and “Race, Ethnicity and Public Policy.” Her most recent research has been funded by the Ford Foundation (*Quality Journalism in the 21st Century*) and the Bill & Melinda Gates Foundation (*Impacts of the Public Access Computing Project*).

Professor Gordon retired in July, 2004, but continued to teach as an emeritus professor. Prof. Gordon also served as the vice president for North America for the International Association of Schools and Institutes of Administration. She formerly served on the Executive Council as the Past President of the National Association of Schools of Public Affairs

and Administration and as a member of the National Governing Board of Common Cause, and locally she serves on the Advisory Board of KCTS, the Washington News Council and the Washington Women’s Foundation.

Before coming to Seattle, Prof. Gordon was director of the Center for Urban Affairs and Policy Research and a faculty member at Northwestern University. She has also taught at the University of Illinois and the University of Nigeria.

She was named a charter member of the Hall of Achievement by her alma mater (Northwestern University); received an Exemplary Public Service Award in recognition of her dedication to diversity in higher education during her presidency of the Policy Board of the Public Policy and International Affairs Fellowship program; and librarians gave their CHOICE award for best book to her co-authored work *Female Fear: The Social Costs of Rape*.

## Board of Ethics Members



### **Rev. Paul F. Pruitt**

**1992 – present**

Paul Pruitt was born in Nebraska in 1922. The Pruitt family moved to Idaho in the Great Depression, then on to Washington in the late 1930s.

Paul's high school was in Kirkland, college at the College of Puget Sound (now UPS) in the early forties. He attended and received his Bachelor of Divinity degree at Yale Divinity School, New Haven, Connecticut. There he met and married Yale School of Nursing student Mary Margaret Dunlap. They raised four children, now grown and establishing their own families.

Paul served churches of the United Church of Christ in Anacortes, Lowell, University Place, and the High Point Community Church and Christian Center in West Seattle. The Pruitts spent three and one-half years in missions with their church in the Philippines. For two years Paul was a vocational counselor at the Clover Park Vocational School. He served in the Washington State Legislature for the 34th District for eight years. He retired from a ministry at the Fauntleroy Church, United Church of Christ, in West Seattle in December of 1995.



### **Mr. Jerry Saltzman**

**2003 – 2007**

Jerry Saltzman has been a psychotherapist in private practice for thirty years. As part of his practice, Jerry has conducted groups and workshops on removing personal and culturally imposed barriers to the development of open, workable human relationships.

Prior to becoming a psychotherapist, Jerry taught philosophy at UCLA and California State University, Northridge. His areas of specialization were ethics and political philosophy. Recently he taught similar courses at Cascadia Community College. Jerry now teaches courses in the graduate psychology and education programs at Antioch University.

Outside of his professional work, Jerry devotes considerable time advocating for economic and social justice. His past work with the African American/Jewish Coalition for Justice and his present work with Caucasians United for Reparations and Emancipation focuses on demonstrating how a thoughtful approach to the issue of reparations to descendants of enslaved Africans could be a profound step toward making our society a more principled one which is more responsive to human needs. This work is reflected in Jerry's contribution to an upcoming book entitled, *The Debtors: White America Responds to the Call for Black Reparations*.

## Board Members and Staff 1983 – 2007

### **Board Members**

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Judith Woods, Ph.D.  
1983 - 1992

Hubert Locke, Ph.D., Chair\*  
1984 - 1987

J. Patrick Dobel, Ph.D., Chair  
1987 - 1996

Timothy Edwards, Esq., Chair  
1989 - 1996

Rev. Paul F. Pruitt  
1992 - present

Lois Price Spratlen, Ph.D., Chair  
1994 - present

Roland H. Carlson, Acting Chair  
1994 - present

Lembhard G. Howell, Esq.  
1996 - 2002

Judge Paul M. Feinsod  
1997 - 1999

Margaret T. Gordon, Ph.D.  
1999 – present

Jerry Saltzman  
2003 - 2007

### **Staff**

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Margaret A. Grimaldi, Administrator  
1992 – 1997

Catherine A. Clemens, Executive Director  
1997 – present

Viviane Diaz, Administrative Specialist  
2006 – 2007

\*“Chair” indicates the member served in that capacity during his or her tenure on the board.

Roster based on available information.

## Staff and Budget



### **Catherine A. Clemens**

#### **Executive Director 1997 – present**

As executive director to the office of the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for

employees, elected officials, and board and commission members, we well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. In addition, she publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: [www.kingcounty.gov/ethics/](http://www.kingcounty.gov/ethics/).

Ms. Clemens manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public; she provides written informational responses upon request.



### **Viviane Diaz**

#### **Administrative Specialist 2006 – 2007**

Ms. Diaz was employed in the office of the King County Board of Ethics through October 2007. She coordinated the financial disclosure and consultant disclosure programs, assisted in providing support to the Board of Ethics, preparing ethics publications, and providing information to inquiring employees and the general public.

### **Supporting Staff**

Peter Toliver served as financial disclosure coordinator beginning November, 2007.

Alan Abrams, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, has served as legal counsel to the board since 2003.

### ***Budget for Calendar Year 2007***

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<b>Budget</b>	<b>\$186,249</b>
<b>Staff positions</b>	<b>1.5 FTE</b>

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## Goal I — Education and Training

**To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.**

### Awareness Campaign

The ethics board and staff continued the awareness campaign by executing the fourth annual, on-line quiz and survey for county employees. Ethics staff kept the ethics web site current and relevant since it is a significant informational and educational tool for all county employees as well as the general public.

### Ethics Survey/Quiz

In October, the executive director produced an on-line, interactive quiz and survey to determine the extent to which employees understand basic provisions of the Code of Ethics, and to become informed of employee opinions on ethics in the workplace. Executive Sims assisted in these efforts by announcing the quiz and survey via a countywide global email inviting participation via web link. All county employees having computer access were able to take part. The initial announcement was followed one week later by a reminder announcement in another employee global email. The survey remained open for completion for over two weeks. Results of the quiz and survey revealed the following facts:

- Total distribution: 11,000
- Overall participation rate: 18%

- Employees responded correctly to each of the eight questions between 83% and 99% of the time.
- When asked if they had observed an ethics violation within the past year, 18% said 'yes'; 82% said 'no'.
- Of those who observed a violation, 7% reported the matter; 12% did not report what they observed; and 81% did not respond to the question.
- Of those who reported the violation, when asked if they were satisfied with management's actions to resolve it, 5% agreed strongly or agreed somewhat; 86% had no opinion.
- Reasons for not reporting the violation included: name may not be kept confidential (14%); supervisor would not take action (14%); co-workers disapproval (6%); reputation as a 'snitch' (9%); and other (78%).

Based on the responses to this year's quiz and survey, we concluded that:

- The high number of employees voluntarily taking part in the ethics quiz and survey indicate that employees have a continuing interest in workplace ethics.
- Employees have a solid, basic understanding of the King County Code of Ethics demonstrated by the high percentage of correct responses to questions.

<b>Survey Question</b>	<b>Response %</b>	<b>Basis</b>
Eight ethics code-based questions	<b>83% – 99%</b>	Correct answers
Observed ethics violation?	<b>18%</b>	Yes
Reported the violation?	<b>7%</b>	Yes
Satisfied with management's actions?	<b>5%</b>	Agree strongly or agree somewhat
Reasons for not reporting violation?	<b>43%</b>	Confidentiality; no supervisor action; co-worker disapproval

## Goal I — Education and Training (continued)

- Employees are unlikely to report observed ethics violations and few employees are satisfied with management's response to reports or had no response.
- Employees may not report ethics violations for fear of exposure, co-worker disapproval, and belief that management will not take appropriate action.

The 2007 Ethics Quiz and Survey and report on results are available on the ethics web site and by contacting the ethics office.

**Training and Education Overview.** Over 1,920 county employees received ethics education in 2007, with an emphasis placed on reaching new employees (80%) and supervisors, including directors and their deputies (10%). By focusing primarily on new employees and supervisory staff, the board and director help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure, and that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

The number of employees who received ethics training in 2007 remained relatively constant over the past five years. (The high number of presentation and hours reflected in 2005 were due in part to twice-weekly new employee orientations which now are held once-a-week and in a larger conference room.)

**Ethics Partners.** Ethics Partners is a dynamic enterprise between the ethics office and county departments to support ethical decision-making and actions by employees and elected officials. Partners are human resources service delivery managers in each department who work with ethics staff on ethics-related communications, issues, needs assessments, and services. Ideally, these individuals already demonstrate an understanding of and support for sound ethical values throughout King County.

**Classes.** Education and training for county employees is the first goal and priority of the Board of Ethics. To meet that goal, the executive director conducted weekly, mandatory orientations for new county employees through the Human Resources Management Division (HRMD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received a Summary of the Code of Ethics, an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. Employees are encouraged to contact their supervisors as well as the ethics board and office who serve as a resource to help them make ethical decisions in the workplace.

The executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRMD Supervisor Training Program. These courses

<b>Year</b>	<b>Presentations</b>	<b>Hours</b>	<b>Participants</b>
1994	29	68.00	680
1995	24	72.00	600
1996	32	91.00	750
1997	14	11.00	630
1998	20	21.00	1,318
1999	36	38.50	1,215
2000	32	46.25	917
2001	34	44.50	1,166
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222
2006	84	49.75	2,141
<b>2007</b>	<b>78</b>	<b>48.25</b>	<b>1,924</b>

## Goal I — Education and Training (continued)

included a comprehensive review of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas.

**Evaluations.** All students complete evaluations following each supervisor training course. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from *poor, fair, good, very good, and excellent*. In addition, attendees were asked to rate their knowledge of county ethics requirements before and after the class on a scale of 1 to 5. Learn how participants rated the ethics course at the bottom of this page.

**Informal Presentations.** The executive director offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

**Specialized Training.** Additional training sessions focused on groups with specialized functions. These included directors and their deputies, human resources personnel, and staff liaisons and department coordinators with responsibilities related to the financial disclosure program.

**Technology.** The ethics Web site, at [www.kingcounty.gov/ethics/](http://www.kingcounty.gov/ethics/), is available to any employee or citizen with Internet access, and continues to serve as an important resource for instant ethics-related information and education. Resources include the Code of Ethics and related summary in plain language; all advisory opinions issued by the board in their full text; all rules and procedures; disclosure programs and related requirements and forms; ethics publications and recent news; information on the board and its office; and the current and historical meeting schedules, agendas and minutes. Employee, board member, and consultant disclosure forms are also available on the Web site and may be filled out on-line.

**Publications and Awareness Materials.** The executive director published and distributed the following publications and awareness materials in 2007:

- **Summary of the Code of Ethics**—a summary of the ethics code in plain language with examples; required to be received by all new employees.
- **Ethics Help Line Card—Helping Employees Make Ethical Decisions**—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distributed to all county employees.
- **You And King County: Doing Business with Contractors, Vendors, Clients, and Customers**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—

<b>Evaluation Question</b>	<b>Response %</b>	<b>Rating</b>
Applicability of knowledge to current job	<b>98%</b>	Good to excellent
Quality of course content	<b>99%</b>	Good to excellent
Knowledge and ability of instructor	<b>98%</b>	Good to excellent
Gained knowledge during course	<b>81%</b>	Minimum of 1 step gain

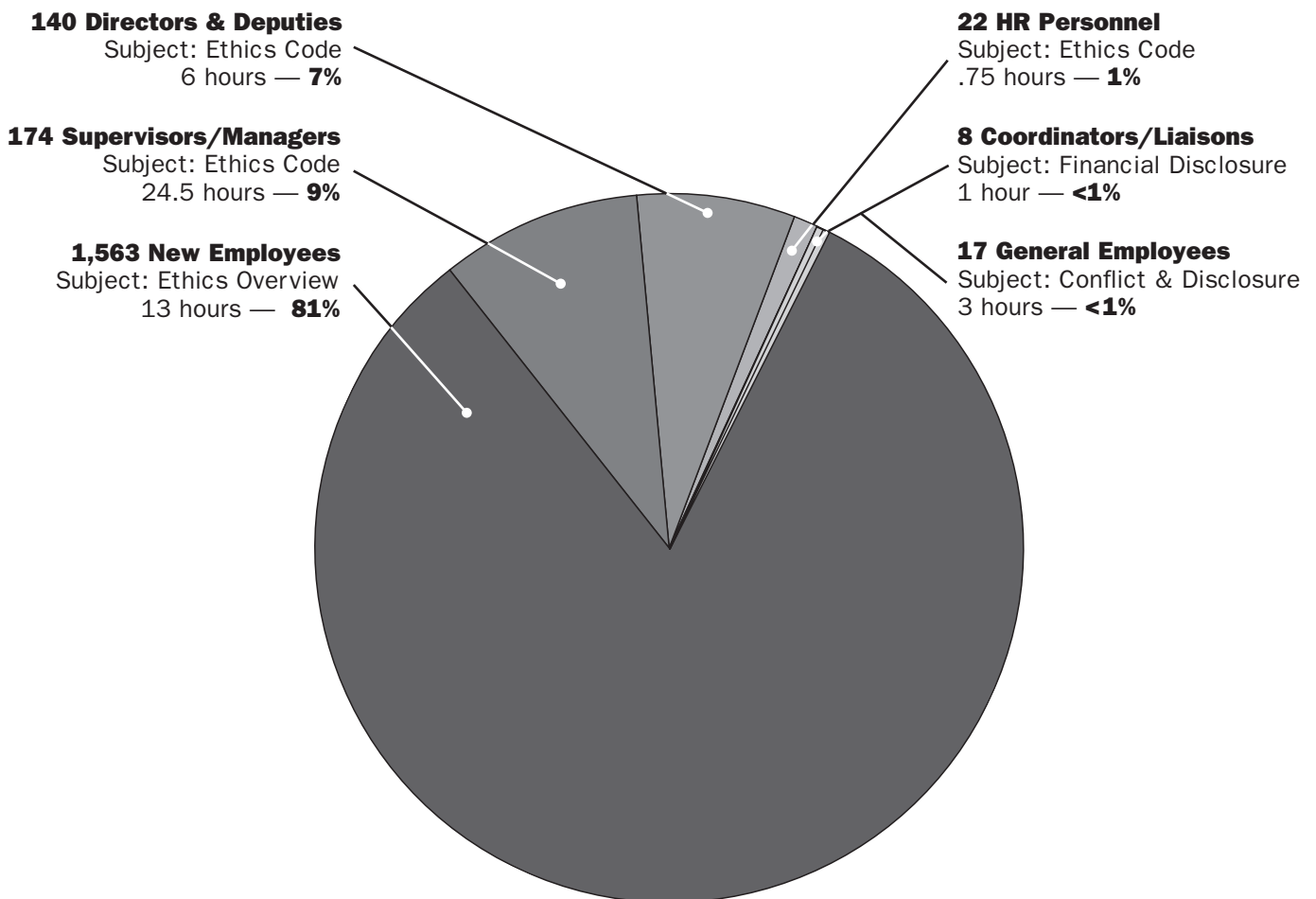


## Goal I — Education and Training (continued)

distributed to both employees and contractors, vendors, and customers.

- **Members of King County Boards, Commissions and Other Multi-Member Bodies**—a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions.
- **Advisory Opinion Subject Index and Summary Guide**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and issue date—distributed in supervisor seminars and to county leadership and upon request.
- **2006 Annual Report**—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **Ethics Poster**—12" x 17" poster with peel-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.
- **Post It-Note Pads**—3" x 4" post-it pads in the likeness of an Ethics Help Line cards for office use and to serve as a reminder of the ethics resources available to employees—distributed throughout the county.

### EDUCATION AND TRAINING 2007



## Goal II — Review of the Code of Ethics

**To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.**

The board made no review of the ethics code in 2007.

## Goal III — Advice and Guidance

**To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.**

**Advisory Opinions.** The board issued no advisory opinions in 2007, but did address issues during board meetings brought by county employees under the provisions of the Code of Ethics.

In March, an employee asked if she may return to work as a consultant employee on projects for her former department and division. Based on statements from the department's human resources personnel and written department policy on the matter, the board issued an oral opinion agreeing with department management policies which prohibited this employee from working as a consultant or sub-consultant on contracts with her former division for a period of one year from date of termination. In May, and throughout the year, the board reviewed acceptable use policy, guidelines and frequently asked questions drafted by the Office of Information Resource Management. The board determined that it would issue a related advisory opinion early in 2008.

**Staff Informational Responses.** During the year, the executive director issued 140 staff informational responses in which she provided a written response to employee inquiries on situations where the code and existing advisory opinions have already been applied to an analogous issue. Frequent issues included use of county resources; conducting solicitation or fundraising; acceptance of gifts, meals, or attendance at events; outside employment; post-employment; providing referrals or testimonials; and campaign activities. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the board.

## Goal III — Advice and Guidance (continued)

**Telephone Inquiries.** Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the director responded to over 656 telephone calls; this figure does not reflect outgoing calls placed by the ethics staff or e-mail messages. Categories of inquiry

included, among others, 203 ethics-related questions from employees, 48 questions on employee financial disclosure, 46 inquiries on the requirement for consultant disclosure, 36 questions on the board and commission requirement for financial disclosure, 22 ethics-related questions referred to other agencies, and 14 public inquiries. Of the 203 ethics related inquiries, frequent issues included use of county resources, use of or conflict with official position, acceptance of gifts or things of value, outside employment, post-employment, and ethics issues related to board and commission membership.

<b>Year</b>	<b>Ethics Advisory Opinions</b>	<b>Staff Informational Responses</b>
1991	30	*
1992	16	*
1993	26	*
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
2006	0	130
<b>2007</b>	<b>0</b>	<b>140</b>
<b>TOTAL</b>	<b>149</b>	<b>1,016</b>

\* Not issued prior to 1994

## Goal IV — Disclosure Programs

**To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.**

**Employees and Elected Officials.** As of the April 15th deadline, 99.4% of the 2,461 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The director provided notices and regular reporting to the county executive, County Council, the ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received optional orientations in January and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

**Board and Commission Members.** As of the April 15th deadline, 98.2% of the 445 county board and

commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050. Member statements receive the same policies and procedures as are given employee statements, and staff liaisons receive similar orientations and communications as department coordinators.

**Consultant Disclosure.** Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 253 consultant disclosure forms in 2007. All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

<b>Year</b>	<b>Board Members and Commissioners (# and % compliance)</b>	<b>Employees and Elected Officials (# and % compliance)</b>	<b>Consultant Disclosure Statements (# of filings)</b>
1994	438 (% unknown)	2000 (estimate) (% unknown)	79
1995	498 (% unknown)	2000 (estimate) (% unknown)	89
1996	565 (% unknown)	2000 (estimate) (% unknown)	72
1997	612 (70%)	1,643 (79%)	33
1998	528 (89%)	1,671 (97%)	223
1999	445 (90% by 9/30)	1,857 (99.5% by 9/30)	263
2000	432 (100% by 8/14)	1,928 (100% by 8/14)	281
2001	464 (100% by 6/6)	1,927 (100% by 6/6)	300
2002	436 (92% by 5/14)	1,969 (100% by 5/14)	251
2003	448 (99% by 4/15)	2,119 (99% by 4/15)	299
2004	461 (97% by 4/15)	2,302 (99% by 4/15)	301
2005	432 (96.85 by 4/15)	2,411 (99.7% by 4/15)	300
2006	432 (96.8% by 4/15)	2,432 (99.8% by 4/15)	252
<b>2007</b>	<b>445 (98.2% by 4/15)</b>	<b>2,461 (99.4% by 4/15)</b>	<b>253</b>

## **Goal V — Collaboration with Other Ethics Agencies**

**To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program.**

On June 4, the King County Board of Ethics, the Seattle Ethics and Elections Commission, and the Spokane City Council celebrated their mutual cooperation with a signing ceremony of the Multilateral Statement of Principles. (See details on page 7). The board worked throughout the year to gain additional signers from

cities and counties in Washington State. The Board of Ethics maintained its membership in the international Council on Governmental Ethics Laws (COGEL) and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.

