



King County

King County Board of Ethics
 Department of Executive Services
 The Chinook Building
 401 Fifth Avenue, Suite 131
 Seattle, WA 98104-1818 CNK-ES-131
 206-296-1586 Fax 206-205-0725
 board.ethics@kingcounty.gov
 www.kingcounty.gov/ethics

Date: April 16, 2008

To: King County Executive
 Members of the Metropolitan King County Council
 Separately Elected Officials
 Ombudsman—Director of the Office of Citizen Complaints
 Department Directors of King County
 King County Board of Ethics

From: Catherine A. Clemens, Executive Director

Re: Final Report—2008 Financial and Other Interests Disclosure Program

Summary

The King County Board of Ethics is authorized under K.C.C. 3.04.050 to conduct an annual program that requires elected officials, affected county employees, and affected board and commission members to file statements of financial and other interests. The purpose of this program is to ensure the public's trust in government by disclosing any conflicts between our personal and financial interests and our service to King County residents, and to educate county employees on situations of potential conflict. This report reflects filing compliance as of the statutory deadline of April 15, 2008.

Filing compliance as of 4:30 p.m., April 15, 2008

Employees and Elected Officials		
Total number of employees required to file:		2,766
Percentage in compliance:		99.71%
Number of employees not filed:		8

Board and Commission Members		
Total number of members required to file:		502
Percentage in compliance:		96.61%
Number of members not filed:		17

Overall Compliance		
Total number of individuals required to file:		3,268
Percentage in compliance:		99.24%
Number of individuals not filed:		25

THE FOLLOWING REPORT provides details of the 2008 disclosure program, including information on training and education; policies and procedures for document review, notifications, reminders and reports; and recommendations for improvements to the program.

The Program

Chapter 3.04 of the King County Code requires annual disclosure of financial and other interests by April 15th. The intent is to educate employees and identify situations in which there may be a potential for conflict between the exercise of official responsibilities on behalf of King County and private interests. County law requires annual financial disclosure by elected county officials; employees appointed by the county executive; and employees appointed by the county administrative officer or department directors and who are subject to the approval of the county executive. In addition, under K.C.C. 3.04.050, the Board of Ethics has determined other categories of employees who are required to file, including but not limited to, certain members of boards, commissions, committees and other multi-member bodies; employees whose duties include grant and contract management authority; and those who invest, manage or authorize the expenditure of county funds.

Training and Education

In order to encourage greater understanding of the program and increase compliance with its requirements, the executive director offered orientations in January for department coordinators and staff liaisons assigned to boards and commissions. Regardless of attendance at orientation sessions, all coordinators and liaisons received an overview of the program, a timeline of important dates, a list of categories identifying who must file, a roster from the previous year for their department or board, and a sample form. The ethics office also included a list of ideas to increase timely compliance and an information sheet appropriate for copying and distribution to affected filers. Finally, the ethics office posted current 'fillable' forms on the ethics web site by December 1, 2007, for easy access and completion.

Notifications, Reminders and Reports

On December 10, 2007, the executive director communicated directly with department leaders to request names of designated staff responsible for coordinating employee and board and commission filing. Beginning in early January and continuing through April 15, ethics staff provided timely notices, reminders, and comprehensive reports on compliance to those employees designated by department directors to implement the program. Between February 26 and April 15, coordinators and staff liaisons received weekly status reports. On March 18, four weeks before the filing deadline, the executive director reported progress to the executive, County Council chair, separately elected officials, and department directors and their deputies. Reports included an overview of filing compliance for all departments and the boards and commissions within those departments.

Review and Audit Process

To ensure consistency and accuracy, the executive director reviewed and audited all forms systematically. Upon receipt, ethics staff date-and-time-stamped all forms.

Following individual review, incomplete forms or forms requiring clarifying information were either immediately returned directly to the individual together with an explanatory note or resolved through email inquiries. Staff then filed all approved forms in a secure file cabinet and transferred all forms from the previous year to records retention. Retained forms may only be retrieved by authorized ethics personnel and are kept for six (6) years after which time they are destroyed.

Compliance Rates

As of the 4:30 p.m. of the April 15 deadline, overall compliance county-wide was 99.24%. Of those not in compliance, eight (8) employees and 17 board and commission members had not filed as required under the ethics code. A detailed list of individuals non-compliant filers is attached to this report.

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Penalties

Affected employees who fail to comply with the requirement of K.C.C. 3.04.050 are in violation of the King County Code of Ethics and subject to penalties provided in K.C.C. 3.04.060, including disciplinary action, up to and including termination from employment. Under the same code provision, members of boards and commissions who fail to comply with this requirement shall be subject to immediate removal from such appointments by their appointing authority. Outstanding disclosure statements may be filed at any time with the ethics office.

Board of Ethics Action

Under the penalties provision detailed above, on April 16, the Board of Ethics issued a show cause letter to those who have not yet filed asking the individual to file the required statement or provide the county with written justification as to why they do not have to comply with the disclosure requirement no later than April 30, 2008.

Recommendations

It is clear that the role of leadership matters in ensuring compliance with the disclosure program. Each year, filing compliance increases when department directors and deputy directors take active involvement. County leaders make a significant impact on compliance when they communicate the program's importance and their expectation of full cooperation.

Filing by board and commission members also has achieved a high compliance rate. However, it is recommended that directors continue to communicate with these citizen volunteers throughout the disclosure period to ensure that members understand the importance of the filing requirement and that they comply with the law.

Timely filing results not only in the desired legal compliance, but also in program efficiencies and cost savings to the county.

Appreciation

On behalf of the Board of Ethics, executive director and staff, we thank county leaders and the employees designated to coordinate the program within their departments. We seek improvements in the program each year and welcome your comments.

**2008 Financial Disclosure Program
Non-Compliance Roster***

King County Employees

	Last Name	First Name	Title	Department
1	Hall	Kathryn	Senior Staff Physician	Public Health
2	Huus	Kathie	Manager, Administrative Services Division	Public Health
3	Krieger	Jim	Disease Control Officer	Public Health
4	Lange	Steven	Jail Physician	Public Health
5	Pennington	Richard	Personal Health Services Supervisor	Public Health
6	Romero	Colin	Staff Physician	Public Health
7	Schaeffer	Saskia	Personal Health Services Supervisor	Public Health
8	Staunton	Catherine	Staff Physician	Public Health

Members of King County Boards, Commissions, Committees and Other Multimember Bodies

	Last Name	First Name	Board Membership	Department
1	Davis	Claire	Animal Care and Control Citizen's Advisory Committee	Executive Services
2	Bell	Cheryl	Animal Care and Control Citizen's Advisory Committee	Executive Services
3	Sgro	Kim	Animal Care and Control Citizen's Advisory Committee	Executive Services
4	White	Julie	Animal Care and Control Citizen's Advisory Committee	Executive Services
5	Cato	Doreen	Charter Review Commission	Office of the Executive
6	Heinecke	Tara Jo	Charter Review Commission	Office of the Executive
7	Perez	Pam	Community Organizing Program Advisory Board	Community & Human Services
8	Dahl	Carol	Conservation Futures Citizen Oversight Committee	Natural Resources & Parks
9	Holdeman	Kass	Conservation Futures Citizen Oversight Committee	Natural Resources & Parks
10	Parsons	Lisa	Conservation Futures Citizen Oversight Committee	Natural Resources & Parks
11	Hansen	Ron	Flood Control Zone District Advisory Committee	King County Council
12	Lewis	Clayton	Harborview Medical Center Board of Trustees	King County Council
13	Merlino	Kathryn	Landmarks Commission	Office of the Executive
14	Weaver	Robert	Landmarks Commission	Office of the Executive
15	Parello	Scott	Landmarks Commission	Office of the Executive
16	Stiller	Grace	Noxious Weed Control Board	Natural Resources & Parks
17	Garvey	Brian	Plumbing Board of Appeals	Public Health

*The individuals listed on the above rosters have been identified to the Board of Ethics by King County departments as affected employees or board or commission members who are required to file statements of financial or other interests; these individuals have not filed the required statement as of the filing deadline, April 15, 2008, 4:30 p.m. All departments and coordinating staff have received weekly reports on compliance; department directors received a report on March 13. The Board of Ethics has sent show cause letters to all non-compliant individuals on April 16 requesting them to file or show cause why they believe they should not have to file.