December 8, 1993 KCC304.dmf Introduced by:

93-906

Proposed No.:

ORDINANCE NO.

AN ORDINANCE relating to ethics in government, amending the Employee Code of Ethics; amending Ordinance No. 1308, Sections 3, 4, 5, and 7, as amended; No. 1321, Section 2; No. 6144, Section 1, as amended; No. 9704, Sections 2, 8, 9, 10 and 13; K.C.C. 3.04.017, .020, .030, .037, .040, .055, .057, .060, .080, and

BE IT ORDAINED BY THE COUNCIL OF KING COUNTY:

<u>SECTION 1.</u> Ordinance 9704, Section 2, and K.C.C. 3.04.017 are hereby amended to read as follows:

Definitions. A. "Accomplice" means a person who with knowledge that (\(\frac{(it)}{D}\)) an action will promote or facilitate the commission of a crime or violation of an ordinance:

- solicits, commands, encourages, or requests another person to commit it; or
- aids or agrees to aid such other person in planning or committing it.
- B. "Compensation" means anything of economic value, however designated, which is paid, granted or transferred, or is to be paid, granted or transferred for, or in consideration of, personal services to any person,
- C. "County action" means any action on the part of King County, including, but not limited to:
- Any decision, determination, finding, ruling or order; and
- 2. Any grant, payment, award, license, contract, transaction, sanction, or approval, or the denial thereof, or the failure to act with respect thereto. "County action" shall not include actions of the county's judicial branch but shall include employees of the department of judicial administration.
- D. "County employee" or "employee" means any individual who is appointed as an employee by the appointing authority of a county agency, office, department, council, board, commission or other separate unit or division of county government,

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however designated, but does not include employees of the county's judicial branch. The term "county employee" also includes county elected officials and members of county boards, commissions, committees, or other multi-member bodies, but does not include officials or employees of the county's judicial branch but does include employees of the department of judicial administration.

E. "Department" means:

- in the executive branch, an executive department or administrative office which reports to the executive;
 - the department of assessments;
 - 3. the office of the prosecuting attorney;
- 4. in the legislative branch the council together with any subordinate legislative branch agency;
 - 5. the department of judicial administration.
- F. "Doing business with the county" or "transactions with the county" means to participate in any proceeding, application, submission, request for ruling or other determination, contract, claim, case, or other such particular matter which the county employee or former county employee in question believes, or has reason to believe:
 - 1. Is, or will be, the subject of county action; or
 - 2. Is one to which the county is or will be a party; or
- 3. Is one in which the county has a direct and substantial proprietary interest.
- G. "Gift" means anything of economic value, but shall not include campaign contributions regulated by the provisions of RCW Ch. 42.17, the King County Charter and ordinances implementing them, informational materials exclusively for official or office use, memorials, trophies, and plaques of no commercial value, gifts of \$20.00 or less for bona fide, non-recurring, ceremonial occasions or any gifts which are not used and which within thirty days after receipt are returned to the donor, or donated to a charitable organization without seeking a tax deduction.

H. "Immediate family" means a county employee's spouse, dependent children, and other dependent relatives if living in his or her household.

- I. "Ombudsman" means the director of the office of citizen complaints established pursuant to Section 260 of the county charter and K.C.C. Ch. 2.52, or his or her designee.
- J. "Participate" means, in connection with a transaction involving the county, to be involved in a county action personally and substantially as a county employee either directly, or through others through approval, disapproval, decision, recommendation, the rendering of advice, investigation, or otherwise.

K. "Person" means any individual, partnership, association, corporation, firm, institution, or other entity, whether or not operated for profit. The term does not include governmental units of the State of Washington or the United States unless so specified.

L. "Respondent" means the person against whom a complaint is filed or an investigation is conducted.

(\(\frac{\text{L}}{\text{D}}\)M. "Retaliatory action" means any action by a supervisor or other employee which is intended to embarrass or to harass any person as a result of such person having filed a written complaint with the office of citizen complaints or having raised privately or publicly any concern or question regarding an actual or apparent violation of the provisions of this chapter.

(-(M))N. "Thing of value" means anything of tangible worth which is not compensation or a gift.

<u>SECTION 2.</u> Ordinance 1308, Section 4, as amended; and K.C.C. 3.04.030 are hereby amended to read as follows:

Conflict of interest. No county employee shall engage in any act which is in conflict with the performance of official duties. A county employee shall be deemed to have a conflict of interest if the employee directory or indirectly:

A. Receives or has any financial interest in any purchase, sale or lease to or by the county of any service or property when such financial interest was received or obtained with the prior knowledge that the county intended to purchase, sell or lease such property or service;

B. Is beneficially interested, directly or indirectly, in any contract, sale, lease, option or purchase that may be made by, through, or under the supervision of the employee, in whole or in part, or accepts, directly or indirectly, any compensation, gift or thing of value from any other person beneficially interested therein;

C. Accepts or seeks for others, directly or indirectly, any employment, travel expense, service, information, compensation, gift or thing of value on more favorable terms than those granted to other county employees or the public generally, from any person, doing business, or seeking to do business with the county for which the employee has responsibility or with regard to which he or she may participate, provided that this subsection shall not apply to the receipt by elected officials, or by employees who are supervised directly by an elected official, of meals, refreshments or transportation within the boundaries of King County when given in connection with meetings with constituents or meetings which are informational or ceremonial in nature;

D. Accepts, directly or indirectly, any gift, favor, loan, retainer, entertainment, travel expense, compensation or other thing of value from any person doing business or seeking to do business with the county when such person doing business or seeking to do business with the county when such acceptance may conflict with the performance of the employee's official duties.

A conflict shall be deemed to exist where a reasonable and prudent person would believe that the gift, compensation, thing of value, or more favorable terms, was given for the purpose of obtaining special consideration or to influence county action.

The financing of the conduct of county election campaigns shall continue to be governed by the provisions of R.C.W. 42.17 and the provisions of the county charter and county ordinances;

- E. Participates in, influences, or attempts to influence, directly or indirectly, the selection of, or the conduct of business or a transaction with a person doing or seeking to do business with the county if the employee has a financial interest in or with said person;
- F. Discusses or accepts an offer of future employment with any person doing or seeking to do business with the county if either:
- 1. the employee knows or has reason to believe that the offer of employment was or is intended, in whole or in part, directly or indirectly, as compensation or reward for the performance or nonperformance of a duty by the employee during the course of county employment or to influence county action pertaining to the business, or
- 2. the employee has the responsibility for a matter upon which the person is doing or seeking to do business with the county unless the employee has first disclosed in writing to his or her appointing authority that the employee intends to discuss future employment with a specific person and the appointing authority has designated, in a memorandum filed with the ombudsman and the clerk of the council, a method of providing for an alternative decisionmaker with regard to matters involving such person for which the employee otherwise would have responsibility;
- G. Within one year of entering county employment awards a county contract or participates in a county action benefiting a person that formerly employed him or her provided, that participation other than contract award may be authorized in a memorandum by the appointing authority following written disclosure by the affected employee and that such authorization shall be filed with the ombudsman and the clerk of the council;

H. Is an employee, agent, officer, partner, director or consultant of any person doing or seeking to do business with the county, unless such relationship has been disclosed as provided by this chapter;

- I. Engages in or accepts compensation, employment or renders services for any person or a governmental entity other than King County when such employment or service is incompatible with the proper discharge of official duties or would impair independence of judgment or action in the performance of official duties. In addition, the following employees must obtain the prior written consent of their highest ranking supervisor authorizing either new or continued employment, or the acceptance of any compensation or any thing of value for services performed outside King County government:
- 1. The deputy county executive, the chief officer of each executive department or administrative office as defined by the provisions of the county charter, the manager of each division of such department or office, and all persons who report directly to such individuals.
- 2. All non-elected council employees, provided that the personal staff of each individual councilmember shall obtain such consent from such councilmember;
- 3. All non-elected employees of the prosecuting attorney;
- 4. All non-elected employees of the department of judicial administration;
- 5. All non-elected employees of the department of assessments.

If such employment or service is deemed by the highestranking supervisor to pose a conflict of interest, the employee immediately shall divest such employment and failure to do so shall be grounds for dismissal;

J. Enters into a business relationship outside county government with any other employee for whom he or she has any supervisory responsibility;

K. Enters into a business relationship outside county government with any person with regard to a matter for which the employee has responsibility as a county employee;

L. Appears on behalf of a person before any regulatory governmental agency, or represents a person in any action or proceeding against the interest of the county in any litigation to which the county is a party, unless the employee has a personal interest in the litigation and this personal interest has been disclosed to the regulatory governmental agency or adjudicating individual or body. A county council member may appear before regulatory governmental agencies on behalf of constituents in the course of his or her duties as a representative of the electorate or in the performance of public or civic obligations; however, no official or employee shall accept a retainer or compensation, or any gift of thing of value that is contingent upon a specific action by a county agency;

M. Directly or indirectly possesses a substantial or controlling interest in any person which does or seeks to do business with the county, without disclosing such interest as provided by this chapter. A substantial interest is an interest that exceeds one-tenth of one percent of the outstanding securities of the person; or, if the interest is in an unincorporated business concern, exceeds one percent of the net worth of such concern; or the financial interest of a person exceeds five percent of the net worth of the employee and his or her immediate family;

N. As a county council member has a financial or other private interest in any legislation or other matter coming before the council, and fails to disclose such an interest on the records of the county council. This provision shall not apply if the county council member disqualifies himself or herself from voting by stating the nature and extent of such interest. Any other employee who has a financial or other private interest, and who participates in an action or proposed

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2	records of the county council the nature and extent of such
3	interest, shall be deemed in violation of this chapter;
4	O. Has an interest in any property being considered for
5	reevaluation by the county board of appeals and equalization or
6	has a personal interest or connection with another person's
7	petition for revaluation while:
8	1. An elected county official,
9	2. Deputy county executive and his/her confidential
.0	secretary,
.1	3. King County executive's administrative assistants
.2	and office manager,
.3	4. King County councilmen/women's executive
L 4	secretaries,
.5	5. County administrative officer, his/her
16	administrative assistants and his/her confidential secretary;
ا 7	6. Chief officer of each executive department, his/her
18	administrative assistants, and his/her confidential secretary,
L9	7. Chief officer of each administrative office, his/her
20	administrative assistants, and his/her confidential secretary,
21	8. Council administrator, his/her administrative
22	assistants, and his/her secretary,
23	9. The ombudsman((, his/her-secretary, and the deputy
24	King County ombudsman)) and his/her staff,
25	10. All employees of the department of assessments,
26 :	11. All employees assigned to the board of
27	equalization and/or the board of appeals,
28	12. Any other county employee who has direct contact
29	with the board of appeals and equalization in the carrying out
30	of his or her duties, and
31	13. Member of the King County board of appeals and/o
32	board of equalization,
33	14. Clerk of the council, his/her secretaries.
34	All persons listed in subsections 1-14 above, who wish to
35	appeal to the county board of equalization on a matter of
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property revaluation shall be governed by the procedure set forth in Section 3.04.040;

P. As an appointive member of a board or commission, has a close relative serving on the same board or commission. For the purposes of this subsection, close relative is defined as:

Husband	Wife
Father	Father-in-law
Mother	Mother-in-law
Brother	Brother-in-law
Sister	Sister-in-law
Son	Son-in-law
Daughter	Daughter-in-law
Niece	Nephew
Grandparent	Grandchild
Uncle	Aunt

Q. Discloses or uses for the personal benefit of the employee or his or her immediate family any information acquired in the course of official duties which is not available as a matter of public knowledge or public record;

R. Acts as an accomplice in any act by an immediate family member which, if such act were performed by the employee would be prohibited by the provisions of subsections A, B, C, D, E, F, G, H, J. K, M, N, O or Q of this section; provided, however, that it shall not be a conflict of interest for such family member to enter into a bona-fide contract of employment which is not intended to influence the action of the county employee;

S. The provisions of subsections B, E, and N of this section are not violated by the possession by an employee of a financial interest in a person or other entity which is not a substantial interest as defined by subsection M herein.

SECTION 3. Ordinance 9704, Section 8, and K.C.C. 3.04.037 are hereby amended to read as follows:

Duty to notify supervisor. Any employee who becomes aware that he or she may have a potential conflict of interest which arises in the course of his or her official duties shall notify

in writing his or her supervisor or appointing authority of such potential conflict.

Upon receipt of such notification the supervisor or appointing authority shall take action to resolve the potential conflict of interest, including but not limited to designating within a reasonable time an alternative employee to perform the duty which is involved in the potential conflict. The disposition of the potential conflict shall be stated in writing in files maintained by the supervisor or official. The supervisor or official may request an advisory opinion from the board of ethics before disposing of such potential conflict.

SECTION 4. Ordinance 1308, Section 5, as amended; and K.C.C. 3.04.040 are hereby amended to read as follows:

Board of Equalization Appeals. All persons deemed to have a conflict of interest, pursuant to Section 3.04.030(0), and wishing to appeal to the county board of equalization shall be governed by the following procedure;

The appeal shall be automatically denied by the county board of equalization without hearing and a minute entry shall be made. The petitioner may then take action to appeal the decision of the county board of equalization to the State Board of Appeals in accordance with RCW 84.08.130.

However, the Board of Equalization may grant a change of venue to a Board of Equalization of another county, as provided in Title 2, K.C.C., in lieu of automatic denial, when:

- A. A quorum cannot be achieved due to members of the board disqualifying themselves because of conflicts of interest or the appearance of fairness doctrine; or
- B. When equalization is the basis for an appeal by a member of the board, assistants to the board, or any member of the county governmental authority or his or her own property or on property in which that person has an interest.

SECTION 5. Ordinance 9704, Section 9, and K.C.C. 3.04.055 are hereby amended to read as follows:

Complaints, Investigations. A. It shall be the responsibility of the ombudsman to investigate and report apparent criminal violations of this chapter to the appropriate law enforcement authorities and to enforce this ordinance according to the powers granted herein;

- B. Complaints alleging a violation of any of the provisions of this chapter shall be filed with the ombudsman. Any such complaint shall be in writing, verified and signed by the complainant. The complainant may state in writing whether the complainant wishes his or her name not to be disclosed pursuant to the provisions of RCW 42.17.310(e). The complaint shall describe the basis for the complainant's belief that ((one or more of the provisions of)) this chapter has been violated((. The person against whom a complaint is filed or an investigation is conducted, shall be known as the respondent));
- C. Upon receipt of a complaint meeting the requirements of subsection B of this section, the ombudsman shall cause to be served or mailed, by certified mail, return receipt requested, a copy of the complaint to the person alleged to have ((committed one or more violations of the provisions of)) violated this chapter within twenty days after the filing of said complaint, and shall promptly make an investigation thereof;
- D. The investigation by the ombudsman shall be directed to ascertain the facts concerning the violation or violations of this chapter alleged in the complaint and shall be conducted in an objective and impartial manner and in furtherance of such investigation the ombudsman is authorized to use the subpoena power to compel sworn testimony from any person and require the production of any records relevant or material to the investigation except information which is legally privileged or otherwise required by law not to be disclosed;
- E. During the investigation, the ombudsman shall consider any statement of position or evidence with respect to the

allegations of the complaint which the complainant or respondent wishes to submit;

- F. The results of the investigation shall be reduced to written findings of fact and the finding shall be made that there either is or is not reasonable cause for believing that the respondent has violated one or more of the provisions of this chapter.
- G. If a finding is made that there is no reasonable cause, said finding shall be served (\(\frac{\(\delta n\)}{\(\delta n\)}\)) or mailed, by certified mail, return receipt requested, to the complainant and the respondent, and a copy shall be provided to the board of ethics;
- H. If the finding is made that reasonable cause exists to believe that the respondent has violated one or more of the provisions of this chapter, the ombudsman shall prepare an order to that effect, copies of which shall be (\(\frac{\(\delta\)}{\(\delta\)}\)) served or mailed, by certified mail, return receipt requested, to the complainant(\(\frac{\(\frac{\(\delta\)}{\(\delta\)}\))}{\(\text{and}\) the respondent, (\(\frac{\(\text{the highest}}{\(\text{tanking supervisor of the respondent, the office of the prosecuting attorney, and the board of ethics,)) and the original thereof filed with the division of records and elections. Copies of the order shall also be provided to the highest ranking supervisor of the respondent, the office of the prosecuting attorney, and the board of ethics. Such reasonable cause order shall include:
- A finding that one or more violations of the chapter has occurred; (\(\frac{\tand}{\tand}\))
 - 2. The factual basis for such finding; and
- 3. A notice informing the respondent that the respondent has the right to request a hearing before the board of ethics as set forth in Section 3.04.057.
- SECTION 6. Ordinance 9704, Section 10, and K.C.C. 3.04.057 are hereby amended to read as follows:

Appeal. A. Any respondent aggrieved by an order of the ombudsman may request in writing within ((ten)) twenty days of

the service of the order upon the respondent an appeal hearing before the board of ethics. The request shall cite the order appealed from and ((contain a brief statement of the reasons for seeking the appeal hearing)) specify with particularity the findings being contested. The request shall be filed with the board of ethics, with a copy provided to the ombudsman:

B. Any order issued by the ombudsman pursuant to (\(\frac{\ten}{\ten}\)) \(\frac{\ten}{\ten}\) \(\frac{\ten}{\ten}\) \(\frac{\ten}{\ten}\) shall become final (\(\frac{\ten}{\ten}\)) \(\text{twenty}\) days after service of the order unless a written request for an appeal hearing as set forth above is received by the board of ethics within the (\(\frac{\ten}{\ten}\)) \(\text{twenty-day period}\);

C. If an order of the ombudsman has been timely appealed, a hearing shall be conducted by the board of ethics for the purpose of affirming, denying, or modifying the order. parties to the hearing shall be the respondent and the ombudsman or his or her designee. There shall be a verbatim record kept of the hearing and the board of ethics shall have the power to administer oaths and affirmations, issue subpoenas, and compel attendance, take evidence, and require the production of any books, papers, correspondence, memoranda, or other records relevant or material to the hearing. The burden of proving that a violation occurred shall at all times be upon the ombudsman. The board of ethics' decision shall be based upon a preponderance of the evidence. Such hearing shall be conducted within a reasonable time after receipt of the request for appeal. Written notice of the time and place of the hearing shall be given at least ten days prior to the date of the hearing to the parties;

- D. At the hearing, each party shall have the following rights:
- 1. To call and examine witnesses on any matter relevant to the issues raised by the order of the (\(\frac{\(\circ\)}{\(\circ\)}\)) \(\frac{\(\circ\)}{\(\circ\)}\)) \(\frac{\(\circ\)}{\(\circ\)}\) ombudsman or his or her designee;
 - 2. To introduce documentary and physical evidence;

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3. To cross-examine opposing witnesses on any relevant to the issues of the complaint) relevant matter;

- 4. To impeach any witness regardless of which party first called the witness to testify;
 - 5. To rebut evidence against him or her; and
- 6. To represent himself or herself or to be represented by anyone of his or her choice who is lawfully permitted to so
- E. Following review of the evidence submitted, the board shall within a reasonable time enter written findings and conclusions and shall affirm or modify the order previously issued if the board finds that one or more violations of this chapter has occurred. The board shall reverse the order if it finds no violations of this chapter have occurred. A copy of the board's decision shall be (\frac{delivered}) served or mailed, by certified mail, return receipt requested, to the ombudsman((,,)) and the respondent, (the office of the prosecuting attorney and the complainant) and the original thereof filed with the division of records and elections. Copies of the board's decision shall also be provided to the highest ranking supervisor of the respondent, the office of the prosecuting attorney, and the complainant.

SECTION 7. Ordinance 1308, Section 7, as amended, and K.C.C. 3.04.060 are hereby amended to read as follows:

Penalties. A. Criminal Penalties. Any negligent or wilful violation of the provisions of this chapter shall constitute a misdemeanor and upon conviction be punishable by a fine not to exceed \$1,000 or imprisonment in the county jail not to exceed ninety days; or both;

- B. Civil Penalties and Disciplinary Action.
- 1. Any elected official ((guilty of)) who commits a violation of this chapter shall be subject to penalties as provided by RCW 42.12.010 and King County Charter and shall be subject to a civil penalty ((of loss of pay not to exceed one month's salary)) of an amount not to exceed the lesser of one

month of the respondent's county pay or the amount authorized by law. Any person having an existing contract with King County or seeking to obtain a contract who wilfully attempts to secure preferential treatment in his/her dealings with the county by offering any valuable consideration, thing of value or gift, whether in the form of services, loan, thing or promise, in any form to any county official or employee, shall have his/her current contracts with the county canceled and shall not be able to bid on any other county contract for a period of two years. 2. An employee of the county ((found-guilty-of)) who commits a violation of this chapter shall be subject to disciplinary action, up to and including termination from employment; provided that such disciplinary action is consistent with Career Service Guidelines and collective bargaining agreements. ((and civil penalties up to and including termination from employment and/or loss of pay not to exceed one month's salary.)) An employee of the county who commits a violation of this chapter shall also be subject to a civil penalty; provided that such penalty shall not exceed the

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amount authorized by law.

3. Members of boards and commissions ((found-quilty-of)) who commit a ((negligent)) violation of this chapter shall be subject to immediate removal from such appointment.

lesser of one month of the respondent's county pay or the

C. Civil and criminal liability under the provisions of this section shall be imposed on any person who either directly or as an accomplice commits a violation of this chapter.

D. A county employee who engages in retaliatory action as defined herein shall be subject to civil and criminal penalties as set forth in this section.

Ordinance 1321, Section 2, and K.C.C. SECTION 8. 3.04.080 are hereby amended to read as follows:

Board of ethics - Membership and terms. There is created a board of ethics, composed of (\(\frac{\text{three}}{\text{three}}\) \(\frac{\text{five}}{\text{members}}\) members, (\(\frac{\text{cone}}{\text{one}}\))

two to be appointed by the county executive, ((one)) two to be appointed by the county executive from a list of nominees submitted by the county council, and the (\(\frac{third}{}\) \(\frac{fifth}{}\), who shall be chairman, to be appointed by the county executive from a list of nominees submitted by the other (\(\frac{\tangent two}{\tangent}\)) four members. All appointments are to be confirmed by the county council. The terms of the board members shall be three years. three members shall be appointed for one, two and three-year terms respectively. The chairman shall have a three-year term; the other terms are to be determined by lot. A member of the board of ethics may be removed for just cause by a two-thirds vote of the county council, after written charges have been served on the member and a public hearing has been held by the county council. The board shall be advisory and shall meet as frequently as it deems necessary. A majority of the board shall constitute a quorum.

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<u>SECTION 9.</u> Ordinance 9704, Section 13, and K.C.C. 3.04.130 are hereby amended to read as follows:

Authorization to implement procedures. The ombudsman and the board of ethics are each authorized to implement such forms, administrative processes, and operational procedures as are necessary to comply with the provisions of this chapter; provided that ((such forms, processes and procedures)) any rules governing the conduct of contested hearings shall be promulgated in compliance with K.C.C. 2.98, Rules of County Agencies.

The executive is directed to prepare, with the assistance of council staff, the office of the prosecuting attorney, the ombudsman and the board of ethics, information regarding the provisions of this chapter to be made available to employees and members of boards and commissions. The availability of these materials and of copies of this chapter shall be described in a summary form which shall be distributed to all county employees on or before April 20, 1994 and an acknowledgment of receipt of such form shall be signed and

. 1	returned by each employee to the office of human resource		
2	management on or before May 20, 1994. Each new employee shall		
3	sign and return such form prior to commencing work for King		
4	County. INTRODUCED AND READ for the first time this 13th day		
5	INTRODUCED AND READ for the first time this $\frac{13^{200}}{100}$ day		
6	of December, 1993		
. 7	PASSED this 20th day of December, 1993		
8 9	KING COUNTY COUNCIL KING COUNTY, WASHINGTON		
10 11	Chair Mugel		
12	ATTEST:		
13 14	Glerk of the Council		
15	APPROVED this 30 xt day of December, 1993.		
16 17	King County Executive		
18 19	Attachments: None KCC304K15		