

2014

Executive
Ethics Board

[PERFORMANCE MEASURES]

A report regarding performance measures on the efficiency and effectiveness of the Board, and performance measures to measure and monitor the ethics and integrity of all state agencies.

Table of Contents

<u>Topic</u>	<u>Page</u>
Executive Summary	3
Benchmarking Against Other Ethics Boards	5
Ethical Program reviews	9
Ethical Culture	10
Scoring Criteria	10
Grading Scale	12
Key Findings	12
Surveys	15
Employee Survey	16
Coordinating with Others	20
Overview	21
Northwest Ethics Network	21
Ethics Advisors Group	21
Human Resource Manager Group	21
Elements of the Washington State Quality Award Criteria	22
Category One – Leadership, Governance and Social Responsibility	23
Category Two – Strategic Planning	24
Category Three – Customer Focus	27
Category Four – Measurement, Analysis, and Knowledge Management	27
Category Five – Workforce Focus	28
Category Six – Operations Focus	28
Category Seven – Results	29
Agencies responding to employee survey	Attachment 1

Executive Summary

The 2013-2015 Operating Budget mandated that the Executive Ethics Board (“the Board”):

- (a) develop a statewide plan, with performance measures, to provide overall direction and accountability in all executive branch agencies and statewide elected offices;
- (b) coordinate and work with the commission on judicial conduct and the legislative ethics board;
- (c) assess and evaluate each agency's ethical culture through employee and stakeholder surveys, review Washington State Quality Award feedback reports, and publish an annual report on the results to the public; and
- (d) solicit outside evaluations, studies, and recommendations for improvements from academics, nonprofit organizations, the public disclosure commission, or other entities with expertise in ethics, integrity, and the public sector.

This report documents how the Board fulfilled the requirements of the Legislative mandate as follows:

- (a) The Board developed a method to rate each agency’s ethics program, compared Washington’s program with others across the country to benchmark our program and deployed a survey to gather the input of agency employees. (See the Benchmarking against Other Ethics Boards, Scorecard and Surveys sections.)
- (b) The Board collaborated on several ventures with other organizations. (See the Coordinating with Others section.)
- (c) The Board developed and deployed surveys to all state employees under their jurisdiction to gather information about individual agency’s ethical culture. The Board used the Washington State Quality Award criteria to evaluate its own performance. (See the Surveys, Scorecard and Elements of the Washington State Quality Award Criteria sections.)
- (d) The Board compared its performance against other local government ethics boards and commissions and gathered the public’s opinions and perceptions of the Board’s duties and responsibilities through a survey. The Board continued its relationship with the Northwest Ethics Network. (See Benchmarking against Other Ethics Boards, Surveys and the Coordinating with Others sections.)

Noteworthy findings:

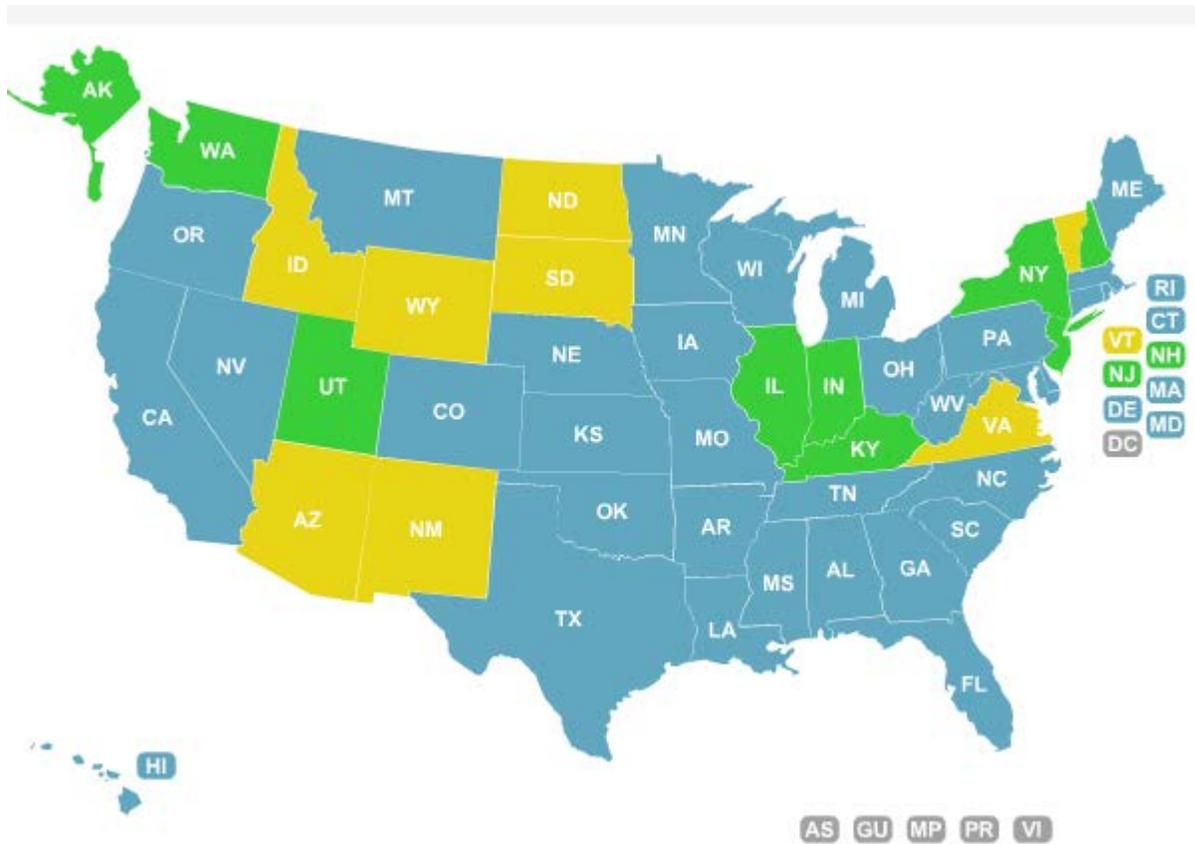
- The number of agencies receiving a 5-star rating increased from 57 to 62 and there are no agencies below a 3-star rating category. Overall, agencies are emphasizing ethics throughout their organizations as evidenced by the increase in these ethics scores.
- The Board settled 35 cases.
- Most agencies have appointed an Ethics Advisor and staff is working with those that do not have one appointed.
- The number of state employees responding to the survey increased by nearly 7,000 over last year's responses.

Benchmarking Against Other Ethics Boards and Commissions

Forty-two states provide external oversight of their ethics laws through an ethics commission established in statute or in the constitution. Nine states—Alaska, Utah, Illinois, Indiana, Kentucky, New Jersey, New York, New Hampshire and Washington—have more than one commission that oversees different branches of government. Eight states do not have ethics commissions—Arizona, Idaho, New Mexico, North Dakota, South Dakota, Vermont, Virginia and Wyoming, but ethical oversight may be provided through other state agencies such as the Office of the Secretary of State or Office of Attorney General or a legislative ethics committee.¹

State Ethics Commissions

One Commission	More than One Commission	No Commission	N/A
One Commission	More than One Commission	No Commission	N/A



Based on a survey conducted by the Center for Ethics in Government. Information can be found at <http://www.ncsl.org/research/ethics/state-ethics-commissions.aspx>

¹ Based on information from the National Conference of State Legislatures at www.ncsl.org.

Established in 1995 via statute, the Washington State Executive Ethics Board (“the Board”) is comprised of five members appointed by the Governor for five-year terms. The Board is an independent agency, but the Board’s staff is funded and supported through the Attorney General’s Office.

Budget

Washington’s Executive Ethics Board has an annual operating budget of \$498,345, 3 staff members and jurisdiction over 84,663 employees in the Executive branch of state government, including higher education employees.

Only eight other states have ethics boards who have exclusive jurisdiction over employees of the executive branch. Other states either combine all branches of state government employees under one ethics board or combine ethics and campaign finance under one board.

Of the states with exclusive executive ethics boards, these boards have an average budget of \$1,846,250 and jurisdiction over an average work force of 101,137 state employees. The Washington Executive Ethics Board ranks 6th in the amount it receives in its annual operating budget and 5th in the number of state employees over whom it has jurisdiction.

State	Board staff	Board members	Annual budget	State employees²
Illinois	75	9	\$ 7,000,000	101,136
New York	50	13	\$ 4,300,000	222,871
Ohio	21	6	\$ 2,000,000	109,337
New Jersey	13	7	\$ 1,000,000	131,542
Kentucky	6	5	\$ 500,000	71,702
Washington	3	5	\$ 498,345	84,663
Indiana	15	5	\$ 369,408	73,048
New Hampshire	0	7	\$ 2,250	14,804

Staff

The ethics boards listed above had an average of 22 staff members, but several of these boards also manage the state’s financial disclosure program. The Washington Board has three full-time employees.

Board Members

The compared state ethics boards had an average of seven board members, while Washington’s Board only has five members.

² Source: 2013 Annual Survey of Public Employees and Payroll published by the U.S. Census Bureau.

Opinions

The Board moved away from issuing formal Advisory Opinions on every question asked of them and instead provided less formal answers to specific questions posed by individuals or agencies. This model has been applauded by client agencies as more user-friendly and timely. Board staff also responds to questions from agencies or individuals. Agencies, state employees, and the public appreciate the responsiveness and informative nature of informal Board staff advice, both written analysis in email and over the phone.

Investigations

In 2014, the Board opened 100 new cases and currently has 59 open cases. The Board found Reasonable Cause in 19 cases. In 2014, the Board dismissed 27 cases and settled 35 with agreed stipulations, levying \$145,200 in monetary penalties. Monies received as payment of these penalties are deposited into the state's general fund.

Training

The Ethics in Public Service Act does not currently mandate ethics training. However, in 2014, Board staff conducted 38 live classroom training sessions for over 1,400 state employees. In addition to classroom training, the Board offered a web-based Ethics Challenge. The Board's on-line ethics training, "Ethics Challenge" received 6,424 hits in 2014. The Board also rolled out training through the Washington State Learning Management System in July of 2014. This online 90 minute training was completed by 13,902 state employees during the last 6 months of 2014.

Ethical Program Reviews

Ethical Culture

To evaluate state agencies, the Board developed a set of criteria that would indicate whether a state agency had an “ethical culture,” then surveyed state agencies to determine if they met the criteria.

These criteria are:

1. A designated ethics advisor
2. A published ethics policy. An ethics policy that has been reviewed and approved by the Board provides agency employees with safe harbor³.
3. An ethics training requirement, both for new employees and on-going refresher training.
4. Documented ethics training.

Board staff surveyed over 100 state agencies and each agency received a score based upon whether their ethical program met some or all of the above criteria.

Scoring Criteria

1. Ethics Advisor:

An ethics advisor is a member of an agency who is a point of contact between the Board and his or her agency, as well as the person identified within the agency from whom agency employees can seek ethical guidance. This person may attend Board meetings and/or advisor meetings, provide feedback on the Board’s activities, receive and possibly distribute Board newsletters or other information and direct questions from employees to the Board or Board staff.

During the 2013 legislative session, the Ethics Act was amended to require that every agency appoint an ethics advisor, however, we are continuing to score this as part of an ethical culture. An agency receives 100 points for identifying an ethics advisor. This criterion constitutes 30 percent of an agency’s total points.

2. Ethics Policy:

As long as an agency’s ethics policy contains information pertaining to the Ethics in Public Service Act (the Act), this policy qualifies as an ethics policy, even if it does not address every detail of the Act. By having the policy, the agency receives 80 points. An agency will receive an additional 20 points if the Board reviews and approves the policy. This criterion constitutes 10 percent of an agency’s total points.

3. Training Requirements:

³ Under WAC 292-120-035, Safe harbor provision, the board encourages agencies to adopt policies that prevent agency employees from violating the Ethics in Public Service Act. Pursuant to RCW 42.52.360(4), the board may review and approve agency policies. In determining appropriate sanctions, the board may consider agency policies in effect at the time of the conduct.

If any type of ethics training is mandatory within the agency, the agency receives 100 points. If an agency offers optional training, the agency receives 50 points. This criterion constitutes 20 percent of an agency's total points.

4. Comprehensive Ethics Training:

The makeup of the actual training provided by the agency is a separately scored measure. A comprehensive training program not only provides a new state employee with a detailed description of the Act, but also provides recurring refresher training to career employees to make sure they are kept up-to-date on changes in the Act and/or how the Board interprets it.

There are several ways that agencies can provide their employees with ethics training:

- In-house training.
 - If training has been created by an agency or by the agency's Assistant Attorney General, then it qualifies as an in-house training and is worth 50 points.
 - If the in-house training utilizes the Board's materials, this training is worth 100 points.
- Contract training provided by the Department of Enterprise Services (DES) is worth 100 points.
- The Executive Ethics Board offers a half-day, in-depth course which is worth 100 points.

For an agency's past trainings to qualify for points, these training practices must have been conducted in the last 5 years.

The points from this criterion consist of 25 percent of agencies' overall rating.

5. Renewal Training:

After employees have taken a comprehensive training, preferably when hired, their knowledge should be regularly updated by taking renewal/refresher courses throughout their employment with the state. Refresher training can come in a variety of forms:

- Newsletters or other ethically relevant documents, which are less than 10 pages and are not the ethics policy, receive 10 points.
- Agencies that use the Board's online Ethics Challenge for refresher training receive 50 points.
- Agencies that use the Washington State Learning Management 90 minute online training receive 80 points.
- Agencies that require their employees to complete a self-trained, self-graded training, such as a booklet with cases and/or quizzes receive 40 points.

While these forms of renewal training have value, they are not interactive and might leave employees with unaddressed questions. Because of this, this type of training does not receive as many points as a live training. Live refresher trainings are as follows:

- Board-provided refresher course receives 100 points.
- In-house refresher training is defined as a training that is in-person and is at least 30 minutes long, but less than 2 hours receives 80 points.

These training practices must have been conducted in the last 5 years to qualify for points.

Some agencies distribute the Ethics in Public Service Act as a form of renewal training. While this may renew employees' technical knowledge of the law, it does not provide any practical knowledge of how the law is interpreted or how it applies to their work environment. This type of training does not receive any points.

This criterion constitutes 15 percent of an agency's total points.

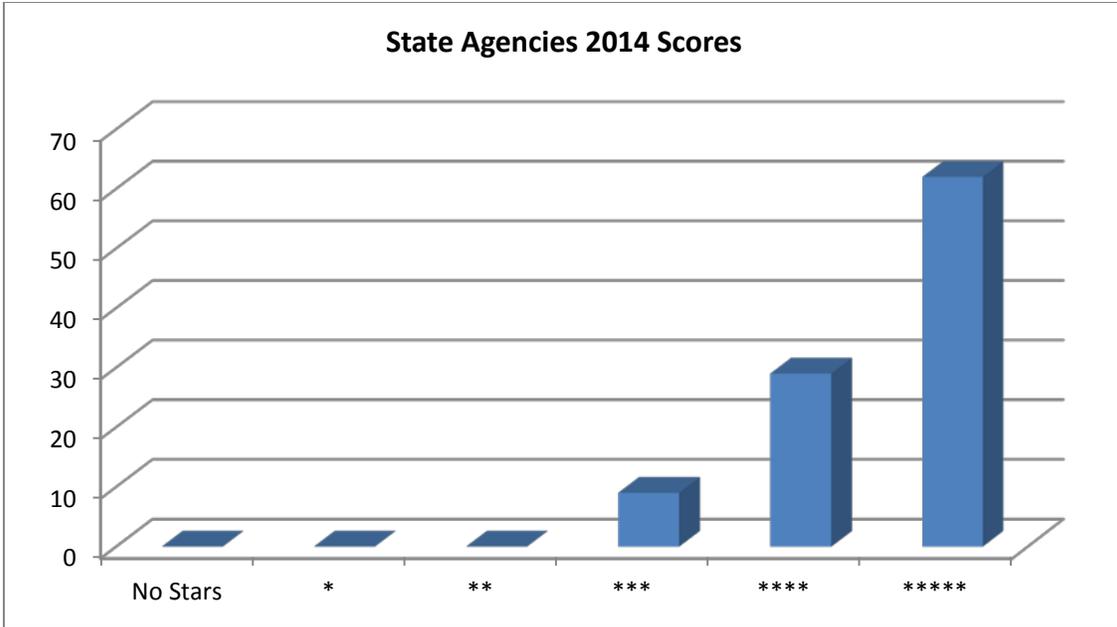
Grading Scale

After the scores are calculated with the weight of each criterion, the percentage of total points are ranked based on this grading scale:

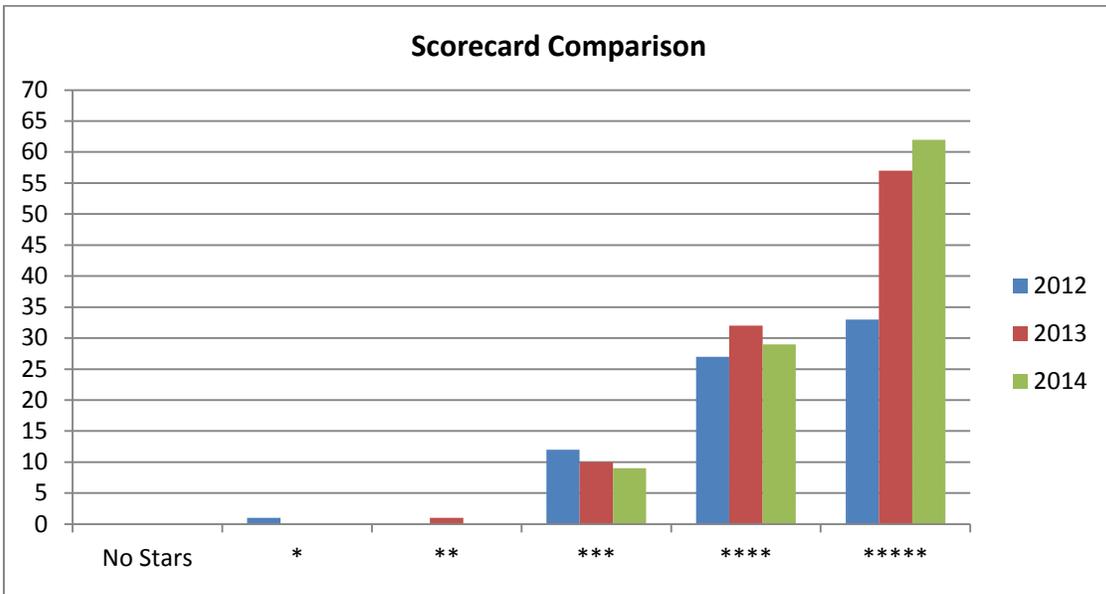
No Stars	0-9 percent of the total points
★	10-29 percent of the total points
★★	30-49 percent of the total points
★★★	50-69 percent of the total points
★★★★	70-89 percent of the total points
★★★★★	90-100 percent of the total points

Key Findings

In 2014, the Board rated 100 agencies' ethics programs. When all of the criteria were complied, agencies received the following rankings:



A comparison of the data for the past three years indicates that every agency has improved their ethical programs significantly:



Comparing this data to that collected in 2013, the number of agencies receiving a 5-star rating increased from 57 to 62. Additionally, there are now no agencies that had a less than 3-star rated program. Overall, agencies are emphasizing ethics throughout their organizations as evidenced by the increase in these ethics scores.

The Board also found that:

- Most agencies surveyed had an ethics policy. The Board reviewed and approved 22 policies in 2014 for state agencies.
- Many agencies took advantage of the Board's ethics training in 2014. Board staff travelled to 37 different state agencies, several multiple times, to provide classroom ethics training. In 2014, Board staff completed 37 training sessions to 1,400 employees. Board staff also debuted online Ethics in Public Service training through the Department of Enterprise Services and the Learning Management System.

Surveys

Employee Survey

Board staff deployed the employee survey to every known ethics advisor for them to distribute within their agency. Since the Board does not have access to a global listserv of all state employees, it had to rely on each agency to deploy the survey. The Board received 22,987 responses. The responses are as follows:

How long have you been an employee of the state of Washington?				
0-1 years	9.7%			
1-5 years	20.2%			
5-10 years	19.2%			
10-15 years	16.0%			
More than 15 years	34.9%			
What agency do you work for?		See Attachment One		
Are you a supervisor with at least one direct report?		Yes 26.3%	No 73.7%	
The following items are objectives of my agency's ethics training, leadership and investigative efforts:				
	Agree	Neutral	Disagree	I do not know
Prevent ethics violations	75.5%	13.1%	6.1%	5.4%
Educate employees on ethics standards expected of them	78%	13.6%	4.8%	3.6%
Strengthen the public's trust in State Government	62%	24%	7.4%	6.8%
Detect unethical behavior	59.4%	22%	11%	7.6%
Discipline violators	50.3%	24.2%	13.6%	11.8%
Ensure fair and impartial treatment of the public and outside organizations in their dealing with my agency	66.4%	19.9%	5.8%	7.9%
I understand:				
	Agree	Neutral	Disagree	I do not know
The state ethics law.	66.1%	19.5%	6%	8.4%
My agency's ethics policy.	78.5%	13.5%	3.9%	4%

My work-related decisions and conduct are guided by:					
	Agree	Neutral	Disagree	I do not know	
The state ethics law.	62.8%	23.4%	5%	8.8%	
My agency's ethics policy.	76.6%	15.4%	3.9%	4.1%	
I know who my agency's ethics advisor is and how to contact this individual.					
	Yes 41.3%	No 52.1%	I don't know 6.5%		
Within the last 2 years, I participated in or received an ethics-related					
	Yes	No	N/A		
Newsletter.	30.4%	62.3%	7.3%		
Workbook.	8.6%	83.1%	8.2%		
Webinar.	19.3%	73.2%	7.5%		
Staff Meeting.	37.8%	56.7%	5.5%		
Less-than-two-hour training.	57.2%	37.3%	5.6%		
More than two-hour training.	20.5%	72%	7.8%		
If you answered "Yes" to any option in the question, above, this information has					
	Agree	Neutral	Disagree	Have not received training	N/A
Increased my knowledge of the ethics law.	49.4%	27.3%	5.8%	13%	4.7%
Increased my knowledge of my agency's ethics expectations and policy.	59.4%	22.2%	4.3%	11.5%	2.6%
Been an efficient means of communicating ethical expectations.	56.1%	23.8%	6.1%	11.3%	2.7%
According to my perception, these types of conduct occur at my agency.					
	Agree	Neutral	Disagree	I do not know	
Employees improperly giving gifts or receiving gifts	7.1%	9.9%	64.5%	18.5%	
Employees improperly benefitting financially from work they do for the State.	7.2%	8.9%	66.8%	17.2%	

Employees misusing State property	16.8%	14.9%	53.4%	15.3%
Employees misusing State positions	13.8%	12.2%	57.5%	16.5%
I would feel comfortable asking for ethical advice from this person or agency				
	Agree	Neutral	Disagree	I do not know
The Executive Ethics Board	41.2%	28%	18.9%	12%
Office of the State Auditor	33.1%	31.8%	22.8%	12.4%
Office of the Attorney General	40.9%	28.2%	20.5%	10.5%
My agency's Ethics Advisor	54.8%	20.2%	11.7%	13.3%
Human Resources	62.3%	17.2%	16.9%	3.6%
A Manager	68.9%	15.2%	13.5%	2.4%
A Peer	62.6%	22.4%	12.2%	2.9%
Overall, I feel comfortable reporting unethical practices.				
	Yes 75%	No 25%		
If I see an ethical violation, I will report it.				
	Yes 87.2%	No 12.8%		
In my agency, ethical behavior is				
	Agree	Neutral	Disagree	I do not know
Expected	82.3%	9.8%	6.4%	1.5%
Encouraged (recognized as good with incentives)	41.6%	31.2%	21.4%	5.8%
I believe my agency follows up on ethical concerns that are reported by employees.				
	Yes 52.8%	No 10.1%	I do not know 37.1%	
I believe my agency makes a serious effort to detect				
	Yes 49.1%	No 13.1%	I do not know 37.8%	

violations of its ethics policy and the Ethics in Public Service Act				
When my agency detects an ethics violation, I believe it takes the proper corrective or disciplinary action in a fair and swift manner.	Yes 41.2%	No 13.5%	I do not know 45.2%	
As a supervisor, I make an effort to				
	Agree	Neutral	Disagree	I do not know
Discuss ethical issues at staff meetings	63.7%	26%	7.4%	13%
Encourage employees to identify ethical issues without fear of retaliation	69%	22.9%	5.1%	3%
Keep employees informed about changes to the ethics law	47.8%	33.4%	13.7%	5.1%
Make sure my employees are receiving ethics training	66.6%	22.7%	7.2%	3.6%
As a manager, I have been given the proper resources and training to				
	Agree	Neutral	Disagree	I do not know
Investigate ethical violations	39%	29.3%	26.1%	5.6%
Update employees on recent Ethics Board decisions	32.4%	31.1%	30.9%	5.6%
Have ethical discussion topics for staff meetings	49.5%	27.6%	18.5%	4.4%
Counsel employees on ethical matters	61.1%	21.9%	12.9%	4.1%
Support employees' ethical behavior	73.9%	24	14.9%	3.8%
Correct and/or discipline employees' unethical behavior	56.5%	24%	15%	4.7%

Coordinating with Others

Overview

The Executive Ethics Board routinely works with the Commission on Judicial Conduct, the Legislative Ethics Board and the Public Disclosure Commission (PDC) on items of mutual interest or to discuss or resolve similar issues.

Northwest Ethics Network

In 2011, representatives of the Board joined the Northwest Ethics Network (the Network). It was created in 1993 by Seattle University's Albers School for Business and Economics and is a conglomerate of local ethical leaders from over 30 non-profit, corporate, and government organizations.

Ethics Advisors Group

The Ethics Advisors Group meets the week following Board meetings to discuss Board actions and to provide input to the Board staff regarding opinions and performance measures. Every state agency, Board/Commission and all public universities, community colleges and technical institutes are now required to have an appointed ethics advisor.

Human Resource (HR) Managers Group

The Executive Director participates in monthly HR Managers meetings to provide information regarding ethical issues, elicit assistance regarding revisions to rules or policies and to gather input regarding training.

These meetings helped disseminate information to agencies much quicker and have greatly enhanced the relationship and communication between the EEB staff and state agencies.

Elements of the Washington State Quality Award Criteria

Board staff compared the Board's organization, strategic planning, performance measures and outcomes with the criteria set forth in the Washington State Quality Award. Each category is discussed below.

Category 1 - Leadership, Governance & Social Responsibility

The Board is comprised of five members appointed by the Governor for five-year terms. Two of the five members must be current state employees, one an exempt employee and one a classified employee. One of the remaining three members of the Board is selected from names provided by the State Auditor's Office; one from names provided by the Attorney General's Office; and one is a citizen-at-large. Except for initial members and those completing partial terms, members serve a single five-year term during which time they may not hold partisan or full-time nonpartisan elective office, make campaign contributions, or lobby other than on matters relating to the ethics law. The members play a crucial role in the policy setting and enforcement of the Ethics Act.

Board staff is comprised of an Executive Director, Administrative Officer and Investigator. There are no layers of supervision in that all Board staff report to the Executive Director. Funding and support for these positions is provided by the Attorney General's Office (AGO) with a biennial budget of \$996,690.

The Executive Director reports to the AGO's Solicitor General. Board staff complies with all of the AGO's policies and procedures and follows the AGO's Performance Management System in which each staff member's work performance is evaluated on an annual basis against mutually agreed upon performance goals. Performance goals are discussed throughout the year, with staff receiving formal interim performance reports at least once during the performance year to ensure that they understand the performance goals and that they are progressing toward reaching the goals.

Board staff is housed in an AGO-leased facility.

The Board's budget is derived from the Legal Services Revolving Fund and is separate from the AGO, and the Board must reimburse the AGO for all legal work as well as purchase all materials and supplies from that budget.

Vision and Mission

The Executive Ethics Board is statutorily tasked with enforcing the Ethics in Public Service Act, RCW 42.52. The Board's mission is to promote integrity, confidence and public trust in state government through education, interpretation and enforcement of the Ethics in Public Service Act. The Board develops a strategic plan at their annual retreat and Board staff is tasked with carrying out the plan's strategic goals.

While the Board sets policy for the executive branch ethics program, the head of each agency has primary responsibility for the ethics program within that agency. To support the day-to-day

activities of the ethics program, each agency's head selects an individual to serve as the agency's ethics advisor. Currently, there are approximately 115 ethics advisors working in 81 state agencies, 34 community and technical colleges and six public colleges and universities. Board staff works with these advisors and provides advice and training.

The Board's customer groups include state agencies, state employees and separately-elected officials, the media and the public. State employees, state officials, state agencies and the public are also the Board's stakeholders since they are all affected by the Board's actions.

The Board has no key suppliers.

The Board has no role in the ethics programs of the legislative or judicial branches of the state government. Similarly, the Board has no jurisdiction over state or local government ethics programs or K-12 ethics programs.

Communication and Organizational Performance

The Executive Director works directly with the Board staff on a daily basis. The Executive Director meets with the Ethics Advisory Group (consisting of representatives from state agencies) after every Board meeting to discuss Board opinions, interpretations or other ethical issues that may impact their agency. The Executive Director uses the Ethics Advisory Group as a sounding board for proposed rulemaking and other actions proposed by the Board.

Board staff publishes a newsletter after each Board meeting that is distributed to all Ethics Advisors, Human Resource Managers and Assistant Attorneys General to ensure they are kept abreast of Board opinions and case dispositions. This newsletter is posted to the Board's public website as well.

The Executive Director reports a number of performance measures on a monthly basis to the AGO, the Board and the public at large and on an annual basis as part of the Board's annual report. These performance measures include the number of complaints received, complaint disposition, timeliness of investigations, ethics questions researched, advisory opinions published, number of contracts reviewed, policies approved, ethics training sessions provided and number of state employees trained and amounts of penalties.

The Board actively solicits input from public stakeholders via a public survey located on the Board's website.

Board staff participates in community service projects and diversity programs through the AGO.

Category 2 – Strategic Planning

Board members, the Executive Director, and Board staff participate in the strategic planning process that occurs at the annual Board retreat. The Board has reaffirmed its 5-year strategic plan as follows:

Strategic goal #1: Strengthening the ethical culture and promoting a stronger ethical workforce within the executive branch of Washington State government.

The following three objectives support *Strengthening the Ethical Culture*:

- Objective 1.1 Enhance assistance to and oversight of agency ethics programs.
- Objective 1.2 Increase employee awareness of their ethics responsibilities.
- Objective 1.3 Increase focus on senior officials' role in implementing the ethics program.

Strategies for Objective 1.1

Ensure that ethics officials have the knowledge required to effectively carry out their duties by (1) expanding the number and type of training and education opportunities and (2) developing and maintaining an easily accessible database of informal ethics program advice.

The Board provides training and education opportunities to all ethics officials through classroom instruction, educational materials and on-line materials.

Acton items:

- 1.1.1 Increase training opportunities offered by developing a web-based course and advanced instructor-led training.
- 1.1.2 Develop and maintain a system to centrally collect the informal advice the Board provides and identify an appropriate mechanism to disseminate the advice

Strategies for Objective 1.2

Develop educational support for various sectors of the executive branch workforce.

Acton items:

- 1.2.1. Develop educational materials focused on new employee orientations.
- 1.2.2 Develop specific educational materials for conflicts of interest, gifts and use of resources.
- 1.2.3 Ascertain the viability of mandating initial and refresher ethics training in the statute.

Strategies for Objective 1.3

Demonstrated enforcement of the ethics rules complements the training employees receive on the rules themselves. The Board will use data collected on administrative sanctions to reinforce the significance of the ethics program and will use the information to effectively focus education and outreach efforts.

Action items:

- 1.3.1 Develop and deploy ethics posters regarding enforcement actions.

1.3.2 Update Board Blotter with enforcement actions after each Board meeting.

Strategic goal #2: Promoting good governance.

The Board will seek to work with other local agencies that have responsibilities which are part of the larger goal of good governance. Additionally, by more proactively reaching out to the public and private sector about the executive branch ethics program, EEB promotes a better understanding of the standards expected of public servants.

OBJECTIVES

The following Objectives support *Promoting Good Governance*.

Objective 2.1 Increase information sharing with Federal, state and local agencies implementing programs that help support good governance.

Objective 2.2 Increase outreach to the private sector.

Action items:

2.1.1 Board and Board staff attend other local government and private sector ethics meetings.

2.1.2 Determine viability of a joint ethics conference for Fall 2013 that would include local and state ethics boards/commissions.

Strategic goal # 3: Improve the complaint process to make filing easier and investigation time shorter.

OBJECTIVES

The following Objectives support *Improving the complaint process*.

Objective 3.1 Increase information to the public on the Board's jurisdiction and investigative process.

Objective 3.2 Simplify process for public to file complaints

Objective 3.3 Review investigative process as part of LEAN Governing initiative

Action items:

3.1.1 Develop citizen guide for filing complaints to help them understand the Board's jurisdiction and process.

3.1.2 Redesign website to make filing a complaint easier.

3.1.3 Review and reduce any waste found in the investigation process to reduce the time it takes to complete an investigation.

The Board's website continues to be the main source of information for state agencies and the public at large. It is updated after every Board meeting and at any time when new information is available. In keeping with technological advancements and the public's need for real-time

information, the Board is working to provide an on-line complaint form that individuals can fill out and merely push a button to submit.

Category 3 – Customer Focus

The Board’s key customers and stakeholders are complainants, state employees, officials, and agencies in the Executive Branch of state government. The Executive Director routinely requests input from the Ethics Advisory Group on how to better serve the needs of state agencies. Ethics advisors are asked to provide comments and suggest improvements when updating rules to ensure the changes are consistent with the needs of their agencies.

The Board assists customers—including agency advisors, state employees, elected officials and the public at large—via e-mail, the phone, or face-to-face meetings. Board staff routinely answer hundreds of queries a year from customers regarding ethical situations and how to effectively handle these situations.

Over the past 18 months, Board staff has been working with the Department of Enterprise Services to develop an online ethics training module. The online Ethics in Public Service training debuted on the state’s Learning Management System in July and for the six months it has been in production, 13,902 employees statewide have taken the course.

Category 4 – Measurement, Analysis, and Knowledge Management

Every month, the Board gathers workload data that is communicated via an annual report published within the first quarter of each calendar year. This report is uploaded to the Board’s website for all to see.

Board staff deploys an annual ethics survey to all executive branch state employees to gather information on their agency’s ethical culture (see the “Survey” section). Board staff also developed a “scorecard” to measure each agency’s ethics program based upon four criteria and will use this information to help improve the agency’s ethics program (see the “Scorecard section”).

Performance measures

Timeliness of investigations – Target: completed within 180 days.

Settlement of cases to minimize the cost to the public – Target: 90 percent.

Effectiveness of ethics training – Target: The training received a rating of 3 or higher in all categories 95 percent of the time.

Communication of Board information – Target: increase the hits on the website by 20 percent

Timeliness of contract approval – Target 95 percent within 3 business days.

Category 5 – Workforce Focus

The Executive Ethics Board has a staff of three full-time employees. Board staff fall under the Attorney General's Office (AGO) for human resource, budget, information technology and employee training support. Each employee meets with their immediate supervisor annually to discuss performance goals for the upcoming year and to determine any training needs required to enhance the employee's skills, knowledge and abilities. At this meeting the two develop a performance plan with measurable goals to be achieved during the performance period. During this performance period, the employee meets with their immediate supervisor to discuss progress on completing the goals as well as to make any necessary adjustments. At the end of the performance period, the immediate supervisor completes an evaluation, gathering input during a 360° review of the employee's performance and begins developing the performance plan for the next cycle.

The AGO's performance management system was one of the first in the state and is lauded for its use of employee input and customer feedback. Board staff will continue to be a part of this system for the indefinite future.

Board staff are encouraged to attend training provided by the AGO or the Department of Enterprise Services.

Board staff meets as needed to discuss cases, training, upcoming projects or Board actions. They work in a very collaborative environment. The size of the Board's workforce enables them to participate in many in-house programs together. Board staff regularly participates in agency Wellness programs, diversity and breast cancer awareness programs, and charity and holiday events. There have been no employee grievances or disciplinary actions in the past six years, and little turnover, other than a retirement and a departure in the past three years.

Newly appointed Board members meet with Board staff to review Board policies and meeting protocol. Each member is given a copy of the Ethics Act, all associated rules, the Open Public Meetings Act and the Administrative Procedures Act. Board members also attend the New Board and Commission Member training provided by the Governor's office.

Category 6 – Operations Focus

The Board's strategic objectives are mandated statutorily and the overall operational focus remains unchanged from year to year unless the legislature amends the law to add, delete or refine the Board's mandate. However, the means of accomplishing the mandate are left up to the discretion of the Board and Board staff and have evolved as technology and information access have improved.

The Board provides advice to agencies regarding ethical issues, promulgates rules to implement the Act and take enforcement action against state employees who violate the Act.

The Board staff's key processes are to investigate complaints, provide ethics training to state agencies, review and approve or disapprove contracts between state employees and other state

agencies, provide informal advice regarding ethics in the workplace to ensure that state officers and employees perform their public responsibilities with the highest ethical standards, and conduct the business of the state to advance the public's interest and not use their position for personal gain or private advantage.

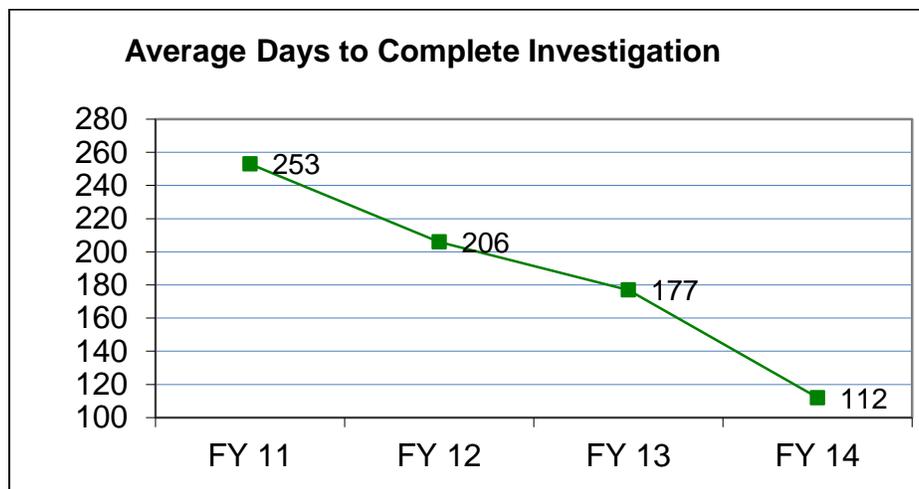
The Executive Director translates job-specific competencies into the training and performance plans of the Board staff.

The Board's website contains all of the enforcement actions that have been completed since the Board's inception as well as all of their formal advisory opinions. After each meeting is concluded, Board staff also posts Board meeting minutes, the *EEB Newsletter*, and a synopsis of the Board's actions.

Category 7 – Results

Product and Process Outcome

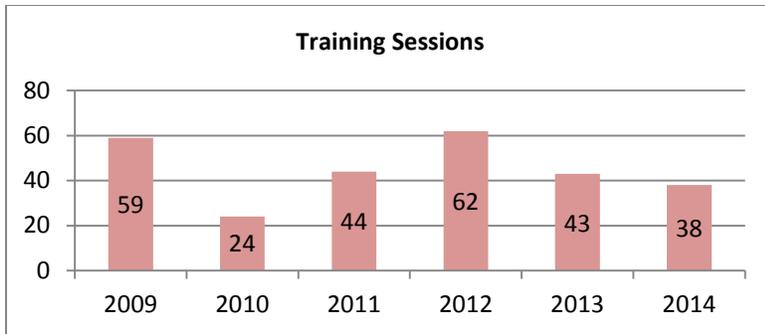
Timeliness of investigations – Target: completed within 180 days.



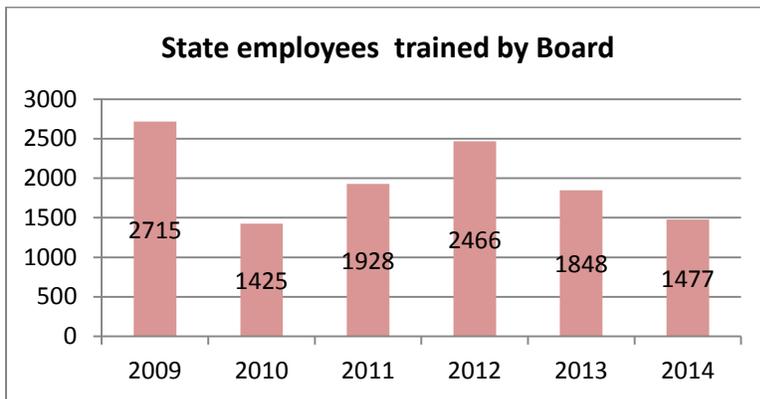
The target is to complete routine investigations within 180 days. In 2014, investigations were completed in an average of 112 days.

Customer-focused performance results

The Board offers free training to any state agency. Board staff provides the training and will travel to agency locations across the state to ensure all agencies have equal access to the training. In 2014, Board staff completed 38 sessions, including three sessions in Olympia that any employee could attend.



Number of participants:

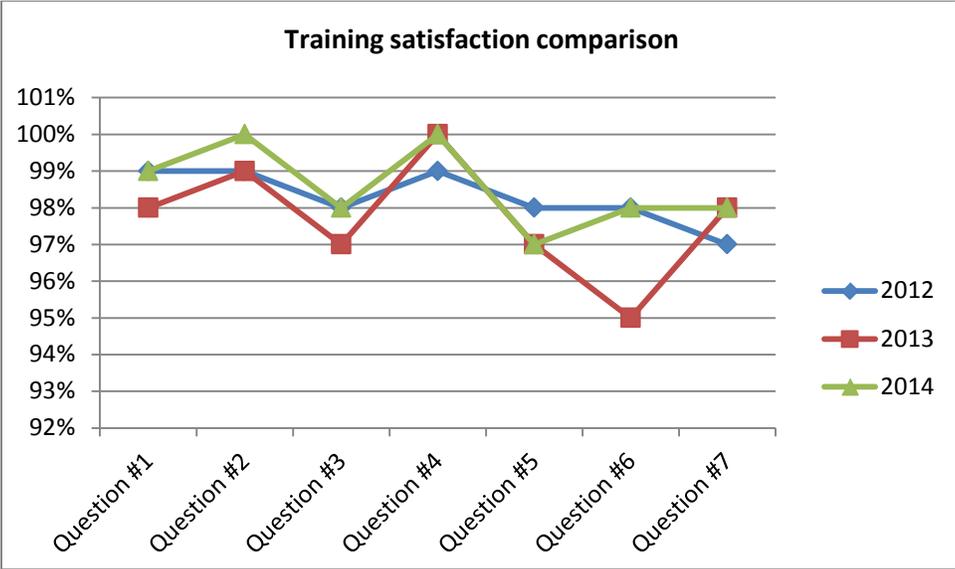


Training satisfaction

The four-hour ethics training class (full session) is measured by an evaluation form containing seven rated questions. The rating on each question ranges from 0-4, with “0” being the lowest rating and with “4” the highest. The target was to have the training receive a “3” or “4” rating for each question asked 95 percent of the time. For all questions, the training received a rating of at least 95 percent. Our overall rating was 98 percent.

Questions	Score					Participant satisfaction rating
	0 (Not at All)	1	2 (It's Still Unclear)	3	4 (Very Much)	
I understand the purpose of the Ethics Act.	0%	0%	1%	32%	66%	98%
I can identify two prohibited uses of state resources.	0%	0%	1%	16%	83%	99%
I understand the basic gift rules.	0%	0%	3%	37%	60%	97%
The instructor knew the material.	0%	0%	0%	7%	92%	100%

The material and handouts were understandable.	0%	0%	2%	24%	73%	97%
I will use the information in my daily work environment.	0%	0%	4%	33%	61%	95%
Overall how would you rate the course?	0%	0%	2%	23%	74%	98%



Communication of Board Information

The Board’s website is a major tool used to communicate Board decisions, enforcement actions, and policy reviews. In 2014, the website had 28,610 hits, with 17,711 unique visitors and 111,891 page views.

Board Goals and Initiatives

Timeliness of Contract Approval

Target: 95 percent within 3 business days.

2014 results: 100 percent reviewed and responded to within 3 business days.

Workforce Focused Performance Results

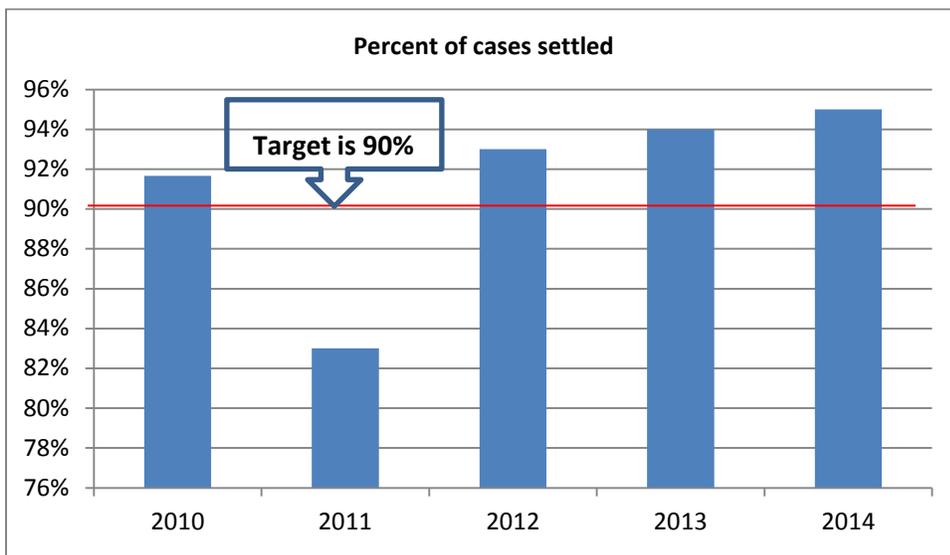
Board staff’s performance is measured against their performance plan and whether each employee met or exceeded their stated performance goals. These goals are specifically tailored to each employee’s position description and delineate performance expectations, expected key competencies and key results. For the past four years, Board staff have met or exceeded all of their performance goals.

Leadership and Governance Results

N/A due to Board staff’s size.

Financial and Marketplace Results

Settlement of cases to minimize the cost to the public.



Ethics in Public Service Employee Survey

What agency do you work for? (Please DO NOT look for a specific location, division, unit, building, etc., of an agency. Simply choose Corrections or Social and Health Services, for example)

Answer Options	Response Percent	Response Count
Accountancy, State Board of	0.1%	13
Administrative Hearings, Office of	0.4%	89
African-American Affairs, Commission on	0.0%	0
Arts Commission	0.0%	9
Agriculture, Department of	0.2%	54
Asian Pacific American Affairs, Commission on	0.0%	0
Attorney General, Office of the	2.4%	537
Auditor, Office of the State	1.0%	219
Bates Technical College	0.4%	91
Beef Commission	0.0%	0
Bellevue College	0.0%	3
Bellingham Technical College	0.2%	51
Big Bend Community College	0.3%	66
Blind, Department of Services for the	0.0%	1
Blind, School for the	0.2%	47
Board of Tax Appeals	0.0%	1
Cascadia College	0.0%	0
Center for Childhood Deafness and Hearing Loss	0.0%	0
Central Washington University	0.0%	4
Centralia College	0.4%	94
Charter School Commission	0.0%	0
Clark College	1.7%	383
Clover Park Technical College	0.4%	86
Columbia Basin College	0.0%	0
Columbia River Gorge Commission	0.0%	0
Commerce, Department of	0.7%	169
Community Colleges of Spokane	1.1%	256
Community & Technical College, State Board for	0.5%	110
Conservation Commission	0.0%	0
Consolidated Technology Services	0.5%	102
Corrections, Department of	10.0%	2261
Criminal Justice Training Commission	0.1%	25
Early Learning, Department of	0.7%	149
Eastern Washington University	1.4%	328
Ecology, Department of	3.1%	710
Edmonds Community College	1.1%	246
Employment Security, Department of	3.8%	867
Enterprise Services, Department of	0.0%	8
Environmental and Land Use Hearings Office	0.0%	10
Everett Community College	0.0%	0
Financial Institutions, Department of	0.6%	138
Financial Management, Office of	0.7%	155

Fish and Wildlife, Department of	3.3%	751
Fruit Commission	0.0%	0
Gambling Commission	0.3%	73
Governor, Office of the	0.1%	16
Grays Harbor College	0.0%	3
Green River Community College	0.0%	0
Health, Board of	0.0%	6
Health, Department of	2.8%	627
Health Care Authority	0.6%	147
Health Care Facilities Authority	0.3%	65
Highline Community College	0.0%	1
Hispanic Affairs, Commission on	0.0%	0
Historical Society, Eastern Washington	0.0%	0
Historical Society, Washington State	0.1%	24
Horse Racing Commission	0.0%	0
Housing Finance Commission	0.1%	32
Human Rights Commission	0.1%	16
Industrial Insurance Appeals, Board of	0.2%	50
Indian Affairs, Governor's Office of	0.0%	0
Institute for Public Policy	0.0%	1
Insurance Commissioner, Office of the	0.7%	161
Investment Board	0.0%	0
Labor and Industries, Department of	4.7%	1064
Lake Washington Technical College	0.0%	3
Licensing, Department of	3.7%	846
Lieutenant Governor, Office of the	0.0%	3
Liquor Control Board	0.7%	164
Lottery, Washington	0.0%	0
Lower Columbia College	0.6%	138
Military Department	0.7%	149
Minority and Women's Business Enterprises, Office of	0.0%	0
Natural Resources, Department of	0.7%	157
Olympic College	0.0%	0
Parks and Recreation Commission	1.2%	269
Peninsula College	0.0%	0
Pierce College	1.0%	237
Pollution Liability Insurance Program	0.0%	6
Potato Commission	0.0%	0
Public Disclosure Commission	0.0%	0
Public Employment Relations Commission	0.0%	1
Public Instruction, Office of Superintendent of	0.9%	212
Recreation and Conservation Office	0.0%	1
Renton Technical College	0.5%	113
Retirement Systems, Department of	0.8%	172
Revenue, Department of	3.1%	700
School Directors' Association	0.0%	8
Seattle Community College District	0.0%	5
Secretary of State, Office of the	0.0%	2
Shoreline Community College	0.0%	0
Skagit Valley College	0.0%	0
Social and Health Services, Department of	6.1%	1373
South Puget Sound Community College	0.0%	0

Spokane Falls Community College	0.2%	39
Spokane Community College	0.6%	130
State Patrol, Washington	2.1%	475
Tacoma Community College	0.0%	1
The Evergreen State College	0.9%	200
Traffic Safety Commission	0.1%	15
Transportation Commission	0.0%	3
Transportation, Department of	2.3%	521
Treasurer, Office of the	0.1%	28
University of Washington	21.7%	4921
Utilities and Transportation Commission	0.2%	52
Veterans Affairs, Department of	0.6%	129
Walla Walla Community College	0.6%	132
Washington State University	0.6%	140
Washington Student Achievement Council	0.3%	57
Wenatchee Valley College	0.7%	153
Western Washington University	2.3%	520
Whatcom Community College	0.0%	0
Wine Commission	0.0%	6
Workforce Training and Education Coordinating Board	0.0%	4
Yakima Valley Community College	0.0%	0
Other	1.1%	250
	<i>answered question</i>	22654
	<i>skipped question</i>	332