Ethics & Values (note: no recommended edits until after others approved)

The City of Santa Clara is a national leader in incorporating community ethics and values into local government. In 2000, Santa Clara adopted an updated Code of Ethics & Values that was designed to increase public trust and confidence in government by promoting and maintaining the highest standards of personal and professional conduct among the people who work in or represent the City. Santa Clara's Ethics & Values program is a practical guide to help elected and appointed City officials, City staff and City volunteers to be "at their best" everyday, with a goal to foster public trust and confidence in the City's government and services, and maintaining the highest standards of professional conduct. The City's use of values as guidelines for public service has received national attention and become a model for other communities wanting to infuse ethics into municipal government.

In one facet of the program, Santa Clara's efforts to encourage political candidates to use the City's Code of Ethics & Values as guidelines for their campaigns has received top honors in a State recognition program. A special effort was launched in 2000 to engage campaign supporters along with the candidates for elected municipal office in the Ethics & Values Program. Workshops on ethical campaign strategies and tactics are now held before and after each election, and candidates are asked to pledge they will conduct ethical campaigns and to encourage their supporters to do the same. A "Vote Ethics" program is designed to help voters make the candidate ethics and core values important criteria in selecting who will get their vote.

City Ethics & Values Program - Related Links

- Behavioral Standards for Commissioners, Board Members and Other Appointed Officials (PDF)
- Behavioral Standards for Council Members (PDF)
- Code of Ethics & Values
- Living Our Values (PDF)
- "Pocket Card" on Living Our Values and Being "At Our Best" Every Day (PDF)

GOOD GOVERNMENT GUIDING PRINCIPLES

We foster public trust when our decisions:

1. Honor the letter and the spirit of the law.
2. Do the greatest good and the least harm.
3. Treat everyone equitably and with respect.
4. Fulfill our duties and protect individuals' rights.
5. Advance the community's best interests and give voice to the City's *Core Values.*

City of Santa Clara

Good Government At Our Best Every Day

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Campaign Ethics - Related Links

- Candidate Campaign Disclosure Statements
- Code of Fair Campaign Practices (PDF)
- Council of Trust 2014 (PDF)
- Election Information
- November Election Candidates
- Candidate Forum Videos
- The Role of the Ethics Consultant During City Election Campaigns (PDF)
- Candidate Guide to Building Public Trust (PDF)

Ethics & Values - Links to Other Websites

- Fair Political Practices Commission (FPPC)

- Registrar of Voters for Santa Clara County
- Secretary of State

Last Updated:

07-12-2023

City of Santa Clara

THE CODE OF ETHICS AND VALUES

BEHAVIORAL STANDARDS FOR COMMISSIONERS, BOARD MEMBERS, AND OTHER APPOINTED OFFICIALS

INTRODUCTION

The City of Santa Clara adopted its *Code of Ethics and Values* to promote and maintain the highest standards of personal and professional conduct in the City's government. The *Preamble* to that document states,

> All elected and appointed officials, City employees, volunteers, and others who participate in the City's government are required to subscribe to this Code, understand how it applies to their specific responsibilities, and practice its eight core values in their work.
>
> Because we seek public confidence in the City's services and public trust of its decision-makers, our decisions and our work must meet the most demanding ethical standards and demonstrate the highest levels of achievement in following this code.

The Preamble stresses the need for everyone to understand how the Code applies to his or her specific responsibilities because the Code was written broadly to apply to many situations and to every decision-maker in the City, including elected and appointed officials, as well as all City staff.

The document, ***Behavioral Standards For Commissioners, Board Members, And Other Appointed Officials,*** is designed to help Board and Commission Members (and everyone who deals directly or indirectly with the Boards and Commissions) use the Code to guide everyday behaviors and actions. The document takes each part of the City's Ethics and Values Code and translates it into specific *standards of behavior* for Commission and Board members. Its goal is to make the Code real for us by showing how it applies to the actions and decisions of Commission members.

This information is presented in four columns on the following pages. Columns 1 and 2 reproduce *The Code of Ethics and Values* (revised August, 2001). Columns 3 and 4 present the Behavioral Standards. The following heading appears on each page.

The Code of Ethics and Values		***Behavioral Standards***	
1 **City** **Core Value**	**2** **Looks Like These** **Character Traits**	**3** **Role Model Behaviors** **and Actions to *Practice***	**4** **Example Behaviors** **and Actions to *Avoid***

1. The first column lists the eight Santa Clara City Core Values, in the same order as in the Code.
2. The second column was also approved as description and examples of the City Core Value. Think of these as character traits that we develop in order to practice a specific value. In other words, these are habits of the mind and heart that help us and other people to flourish.
3. Column 3 describes "role model behaviors" or "At-Our-Best Behaviors"—the decisions, words, and actions that demonstrate the City's core values and ethics *in best practice.*
4. Column 4 gives examples of behavior we want to avoid. Our values "don't look like" these behaviors.

Columns 3 and 4 are examples of specific behaviors that can be observed or clearly inferred from the behavior and words of the Commissioner or Board Member. Note that we are not listing the specific behaviors of Chair persons in this document. That will be addressed in an addendum at some future time.

This document was developed during the last two years (2000-2002) Initially drafted by a representative committee of Board Members and Commissioners, working with the Ethics Ordinance Committee, it was sent back twice to every Board Member and Commissioner for their input and feedback. The second time it was sent back, staff liaisons made special efforts to get feedback from every member of their Commission. The City's Ethics Consultant, Dr. Tom Shanks, drafted the final version for review and minor changes by the Ethics Ordinance Committee on September 3o, prior to forwarding the document for Council approval shortly thereafter. For this final version, we made every effort to incorporate the suggestions that were made, either literally or the spirit of the suggestion.

This document, like the Code of Ethics and Values itself, is a work-in-progress. There is some overlap of behaviors as there is overlap among the Core Values themselves. It does not describe every behavior; that is not possible. It does, however, seek to provide enough specific content, in describing both behaviors to practice and behaviors to avoid, that a reasonable person will be able to use it to judge that their own behaviors and that of others are consistent with the Code of Ethics and Values in best practice, or are in need of further work.

As we use this document, we will learn how it may need to be revised or improved. Today the document is our best effort to date to describe the promises we make to Santa Clara citizens, to City Staff, and to each other . about how we will treat each other in the Boards and Commissions. It should also be understood by new and old Commissioners and City Staff as a description of the expectations we have for one another. As time goes on, we hope the standards described here become common ground for all Board Members, Commissioners, City Staff, and citizens--one of the many things we have in common.

The Council has already asked us to make a commitment to *The Code of Ethics and Values*. Now the Council asks all Board and Commission Members to learn these behaviors, to practice them by habit in our everyday work as Commissioners and Board Members, and to address actively any stumbling blocks or obstacles we may encounter. . Taken together with the Code of Ethics and Values, these Standards will form the foundation for Commission orientation, study sessions, problem solving, encouragement and accountability. The first of these sessions takes place on September 3o.

City of Santa Clara

THE CODE OF ETHICS AND VALUES

BEHAVIORAL STANDARDS FOR COMMISSIONERS, BOARD MEMBERS, AND OTHER APPOINTED OFFICIALS

[Final Draft, August 2002]

The Code of Ethics and Values		***Behavioral Standards***	
1 **City** **Core Value**	**2** **Looks Like These** **Character Traits**	**3** **Role Model Behaviors and Actions to *Practice***	**4** **Example Behaviors and Actions to *Avoid***
As a Santa Clara representative, I will be:			
Ethical	*I am trustworthy, acting with the utmost integrity and moral courage.*	I make decisions based on the information provided after considering the best interests of the City.	I tell two of my fellow Cornmissioners that if we make this recommendation it will hurt my business interests.
		I always advise the Council to the best of my ability as a member of a team of commissioners, even if the Council does not ultimately accept our recommendation.	I go out of my way to address Commission issues or to talk with citizens, but my real purpose is to advance my own political career or candidacy.
		When I speak at meetings or cast a vote, I make my best judgment call, even if it's not popular, and accept responsibility for my actions.	When I get negative reactions from citizens about the way the Commission advised the Council, I shift the blame to other Commissioners or staff.
		Before a vote, I am sure I can explain how my decision advances the City's core values.	I promise votes or appear to promise votes before all the facts are known.
		I am able to explain why my decision is the right thing to do because I've thought through the ethical principles at stake.	I am unresponsive or evasive with citizens or staff about the real values and motives on which I base my decisions and comments.
	I am truthful, do what I say I will do, and am dependable.	I always vote unless I must recuse myself for valid reasons.	I duck out early from meetings and don't vote when it looks like I'll have to take an unpopular stand.
		I listen carefully to all sides and keep an open mind. I ask specific and probing questions in order to make up my own mind.	I demean the person appearing before the Commission or the testimony of that person.
		I make promises to the public, staff, and other Commissioners, but am cautious when I do and only make promises I can keep without exceeding the authority of my position.	I promise more than I can deliver, am overextended, and often leave City staff with the job of completing the additional work I said I would do.

The Code of Ethics and Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Looks Like These** **Character Traits**	**3** **Role Model Behaviors and Actions to *Practice***	**4** **Example Behaviors and Actions to *Avoid***
Ethical ***(continued)***	*I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action.*	I have a real or potential conflict of interest so I seek advice from staff and make an honest public disclosure when the Commission meeting starts.	I agree to help a friend get a project through the commission. He shows his gratitude by donating new computers to my son's school. I'm proud I could broker a win-win.
	I am fair, distributing benefits and burdens according to consistent and equitable criteria.	I declare a conflict of interest and follow my Commission's approved practice about my presence or absence in the room, doing everything I can to leave the remaining Commissioners free of any influence I might be able to bring I find out before a meeting what criteria my Commission has applied to similar cases so I'm sure I deal equitably with the new case we are considering and that I understand any precedents that we may have set.	I sit next to my friends at the Commission hearing and coach them on the appropriate things to say to my fellow Commissioners. Later in the meeting, when I return to the table, I make a motion that is related to the case. I get angry during the public meeting, so I blow off existing policies and subject fellow Commissioners to my rationalization about why this case should be handled differently from other similar cases, even though past Commission decisions were careful, deliberate, and based on precedent.
	I extend equal opportunities and due process to all parties in matters under consideration If I engage in unilateral meetings and discussions, I do so without making voting decisions.	I make myself available to anyone who wants to discuss an issue but keep an open mind and do not commit to voting for or against it until after hearing the full public discussion.	I vote based on who has made the request, especially if I've talked to the person in private, rather than giving all parties an equal shot and using fair, objective criteria.
	I show respect for persons, confidences, and information designated as "confidential."	I show courtesy and interest in word and action to staff, public, and other Commissioners.	I gossip to my friends about confidential personnel issues, decisions, or confidential information.
		I treat the public and the staff in meetings the way I treat a colleague I hold in high regard; I treat City staff in public and in private as professionals and colleagues, acknowledging their abilities, skills, and experience.	I make judgments based on stereotypes, rumors, "ancient history," and whether I like the applicant or not. I criticize City staff and embarrass them in public, rather than discussing problems privately with the person or their supervisor.
Ethical ***(continued)***		I speak and act out of the belief that staff, my fellow Commissioners, and I are on the same team and committed to doing our best to serve citizens.	In public or private, I engage in personal verbal attacks against staff or my fellow Commissioners, swear at them, demean them, or in other ways treat them inappropriately.
	I use my title(s) only when con-	I use my City title to identify	I use my City title when I

The Code of Ethics and Values		*Behavioral Standards*	
1 City Core Value	**2 Looks Like These Character Traits**	**3 Role Model Behaviors and Actions to *Practice***	**4 Example Behaviors and Actions to *Avoid***
	ducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether I am exceeding or appearing to exceed my authority.	myself at League of California City meetings, to order training materials related to my Commission work, or when I seek information directly related to a Commission matter from appropriate sources.	make dinner reservations *at* restaurants in the City or make purchases in City Shops. I also direct my friends to City businesses and tell my friends to be sure to tell the proprietors that Commissioner X sent them.
Professional	*I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, cornpetent, and productive manner.*	I prepare by reading agendas before meetings and asking the staff ahead of time informational questions to assist my preparation.	I rush into meetings late and am obvious about opening the agenda packet for the first time or speed-reading the packet while staff or public is presenting information.
		I ask relevant questions that will advance the discussion and assist decision-making.	I take no notes and need to ask for reminders of what's been said or what was in the packet.
		I listen attentively to staff, Commissioners, and public who may speak at meetings.	I make little or no eye contact with any speaker during the meeting, but when I do my expression is quite clearly one of contempt for the speaker.
	I approach my job and work-related relationships with a positive attitude.	I approach my Commission work informed of issues, en- thusiastic, energized, inter- ested, ready to participate, and focused.	I approach Commission work half-heartedly and come to meetings eager to leave. I short-circuit discussion inappropriately and am often perceived as rude by staff, other Commissioners, or citizens.
		I make guests at meetings feel welcome and treat new Cornmissioners as colleagues, encouraging them to express their opinions, and offering them positive feedback, espe- cially when they make a unique or significant contribution to the Commission's work.	I act in a superior manner because I'm on the Board or Commission and consider myself powerful and more important than the ordinary citizens or new Commissioners I ignore when I arrive.
	I keep professional knowledge and skills current and growing.	I make it a priority to attend available training and conferences.	I act like I know everything from my first day on the Commission.
Professional (continued)		I read relevant materials for meetings and to prepare myself in general. This includes professional journals, books, and articles.	I rebuff attempts the staff liaison makes to help me because I did not attend Commissioner orientation and am unclear about my role and the staff's role.
		I am open to learning from others on the commission, experts, or a mentor	I am defensive or hostile when a senior commissioner offers advice outside of meetings.

The Code of Ethics and Values		*Behavioral Standards*	
1 City Core Value	**2 Looks Like These Character Traits**	**3 Role Model Behaviors and Actions to *Practice***	**4 Example Behaviors and Actions to *Avoid***
Service- Oriented	*I provide friendly, receptive, courteous service to everyone.*	I educate others in appropriate ways about commission functions.	I am abrupt with individuals at meetings or when they make inquiries to me directly about commission business.
		I seek the opinions of those who are hesitant or unwilling to come forward with their ideas, but try not to force anyone to speak in a public forum if they are uncomfortable or unprepared.	I make guests or others feel stupid, intimidated, dismissed, manipulated, or demeaned by reading the newspaper, falling asleep, laughing at a private joke with the person sitting next to me, or repeatedly leaving the room during discussions.
	I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.	I talk with citizens and listen when I'm at City gatherings so that I am aware of and attentive to what is going on in my community and other communities.	I am arrogant or uninterested when citizens speak with me outside of City Hall about their concerns and engage in debate with them to prove their opinions are wrong or misinformed.
		I attend City events and interact effectively with the public, aware that others may consider me a role-model.	I show up at City events late, leave early, and spend most of my time there talking only to the one or two other people I usually talk to at such events.
		I relay the things that I hear to the Commission or other appropriate parties for follow-up.	I keep important information to myself to use as an instrument for "power building."
	In my interactions with constituents, I am interested, engaged, and responsive.	My demeanor is pleasant and friendly and encourages people to speak their minds. I welcome constructive criticism as well as compliments.	In word and action, I discourage people from proposing what they believe are solutions or expressing their concerns. After all, I know better than they.
		I focus on the person I am speaking with and try to see the world as they do so I can understand their needs.	While I'm talking with one person, I shop around for someone more interesting or important to speak with. Once I spot that person, I abruptly stop the previous conversation.
Fiscally Responsible	*I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability.*	I do a thorough cost/benefit analysis, relying on my own research and assistance from the staff.	I support "vanity" projects because I want to be associated with big bucks (and it's not my money anyway!)
		I resist approving what I consider "pork barrel" projects.	I ignore the constraints of the City budget when I make decisions.
	I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.	*I* allocate City resources according to the City's plan and in compliance with the law and the City's goals to provide residents with a better environment in which to live.	I take advantage of any opportunity to get something "free" for myself or my friends from the City. I also seek discounts from the City's vendors because of my position.

The Code of Ethics and Values		*Behavioral Standards*	
1 City Core Value	**2 Looks Like These Character Traits**	**3 Role Model Behaviors and Actions to *Practice***	**4 Example Behaviors and Actions to *Avoid***
		I use city equipment only for my Commission work, not for personal use or for my busi- ness.	I come by City Hall regularly and ask staff to help me out and make just a few copies for my personal or business use.
		I respect staff time and am especially careful to ask them to take on special research or other projects only if I am con- vinced that this work is critical and necessary for the Corn- mission to better serve the needs of citizens.	I spend a great deal of time with staff asking a lot of ques- tions that focus on minutiae prior to each meeting. I'm un- able to separate what's impor- tant from what's not. I know I'm using staff time, but I jus- tify it by saying, "It's their job to prepare me for the meet- ing."
	I make good financial decisions that seek to preserve programs and services for City residents.	I'm fully aware of and under- stand the approved City budget, and have solicited ex- planations from City Manage- ment, if necessary.	I try to take as many trips as possible at the City's expense because I'm not getting corn- pensated and I feel I deserve some reward for my City work.
Organized	*I act in an efficient manner, making decisions and recom- mendations based upon re- search and facts, taking into consideration short and long- term goals.*	I am cognizant of the impor- tance of scarce meeting time and prepare accordingly. As a result, my Commission spends time on the important issues and deals efficiently with other issues.	I rely on what I already know or what I think I know, and spend a great deal of the Commission's time proving to everyone how much I know on all issues, large and small.
	I follow through in a responsible way, keeping others informed, and responding in a timely fash- ion.	I share my research and ex- perience with others at the meeting confident that I have something worthwhile to con- tribute but knowing that others may have critical information I don't.	I rely on hear-say from a third party rather than gaining first- hand knowledge.
Organized (Continued)		I return phone calls on the same day, if at all possible. If I am unable to return a call within two days, I make a short phone call or leave an explanatory message so the person knows when to expect my full attention.	I fail to acknowledge receipt of requests for information.I don't return phone calls or email messages. If I do acknowledge requests, the public never re- ceives information in a timely manner.
	I am respectful of established City processes and guidelines,	I participate fully in orientation sessions and other sessions so I understand how the City's policies and procedures impact the effectiveness of my corn- mission.	I criticize City policies in public meetings without first express- ing my concerns to City staff or gaining knowledge I need in order to offer constructive criti- cism.
		I help to establish reasonable timetables and then follow them.	I ignore deadlines, do not keep people informed of progress on projects for which I'm respon- sible, and make excuses which damage public trust.
	I am respectful of established City processes and guidelines. (cont'd.)	I am able to explain to citizens how the City's policies and procedures are examples of the City's Core Values in prac-	I am cynical about policies and cavalier about following proce- dures because I fail to see how these are related to fairness

The Code of Ethics and Values		*Behavioral Standards*	
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		tice.	and the common good.
Communicative	*I convey the City's care for and commitment to its citizens,*	I can explain the City's goals to citizens and describe why I am committed to them or sug- gest ways to question and change them.	I believe that only certain City goals are worth supporting. Rather than challenge them constructively, I plot and scheme to accomplish my own agenda.
	I communicate in various ways that I am approachable, open-minded and willing to participate in dialog.	I am available to the public in person, at events, and through telephone and written correspondence to provide both answers to questions and dissemination of important information.	I confuse citizens, spread rumors and gossip, or engage in slandering staff, elected or appointed officials, or other citizens.
		I listen attentively and allow the sharing of multiple perspectives to enlarge and change my point of view.	I listen to find flaws, to spot differences, and to counter arguments. In other words, I debate others at meetings to show why they are wrong.
		I make it a practice to cornmunicate equally well in all directions—up, down, and sideways.	I dominate meetings and ask many more questions than we have time for, effectively excluding other Commissioners, citizens, and staff.
Communica- ***tive*** *(continued)*	*I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations,*	During meetings I give citizens and others the benefit of the doubt and listen for the strengths of various positions. My questions seek to clarify, to understand, and to augment, so I hear the truth as the citizen sees it. Then I make my best decision in line with our community's goals.	I approach the speaker as an opponent, rather than a colleague or fellow citizen, determined to rebut contrary positions, to belittle or deprecate the speaker, and to prove him wrong and me right.

The Code of Ethics and Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Looks Like These** **Character Traits**	**3** **Role Model Behaviors and Actions to *Practice***	**4** **Example Behaviors and Actions to *Avoid***
Collaborative	*I act in a cooperative manner with groups and other individu- als, working together in a spirit of tolerance and understanding.*	I submit my best thinking, respect all other participants and invite their thoughts to improve my thinking, rather than feeling threatened by them.	My biases, prejudices, and stereotypes color my language and attitude toward citizens and I frequently find myself describing some citizens as "them."
	I work towards consensus building and gain value from diverse opinions.	I approach discussions assum- ing that many people have pieces of answers and that our cooperation will lead us to workable solutions for the most difficult problems.	I approach discussions as if there's a single right answer that I already have, but have to defend against people who don't have the brains or the commitment that I do.
	I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team.	To respect my fellow teammates, I give priority to my City commitment; I do my homework; and I understand that each decision I make either builds public trust or detracts from it.	At meetings I focus first on satisfying my own, often hidden, agenda.
		My words and actions seek to develop among staff, Commissioners, and the public a kindred spirit of cooperation as we work toward implementing our commonly-held values.	I make up my mind based on satisfying my own interests or special interests and will not budge despite good reasons to reconsider. When the meeting is over I hold grudges and consider some people enemies.
	I consider the broader regional and State-wide implications of the City's decisions and issues.	If appointed to a County-wide committee, I conduct myself in a professional way and approach the task as I do my City commitments.	I make derogatory remarks about other cities because I feel Santa Clara is superior.
	I act in a cooperative manner with groups and other individu- als, working together in a spirit of tolerance and understanding.	I submit my best thinking, respect all other participants and invite their thoughts to improve my thinking, rather than feeling threatened by them.	My biases, prejudices, and stereotypes color my language and attitude toward citizens and I frequently find myself describing some citizens as "them."

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1 **City** **Core Value**	**2** **Looks Like These** **Character Traits**	**3** **Role Model Behaviors** **and Actions to *Practice***	**4** **Example Behaviors** **and Actions to *Avoid***
Collaborative (Continued)	*I work towards consensus building and gain value from diverse opinions,*	I approach discussions assuming that many people have pieces of answers and that our cooperation will lead us to workable solutions for the most difficult problems.	I approach discussions as if there's a single right answer that I already have, but have to defend against people who don't have the brains or the commitment that I do.
	I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team.	To respect my fellow teammates, I give priority to my City commitment; I do my homework; and I understand that each decision I make either builds public trust or detracts from it.	At meetings I focus first on satisfying my own, often hidden, agenda.
		My words and actions seek to develop among staff, Commissioners, and the public a kindred spirit of cooperation as we work toward implementing our commonly-held values,	I make up my mind based on satisfying my own interests or special interests and will not budge despite good reasons to reconsider. When the meeting is over I hold grudges and consider some people enemies.
	I consider the broader regional and State-wide implications of the City's decisions and issues.	If appointed to a County-wide committee, I conduct myself in *a* professional way and approach the task as I do my City commitments.	I make derogatory remarks about other cities because I feel Santa Clara is superior.
		When I serve on a County or State-wide panel, I freely share information and resources so everyone may benefit from our City's experi- ence.	I have tunnel vision and ignore anything beyond the City, even though what I might learn could affect my position and City responsibilities.
Progressive	*I exhibit a proactive, innovative approach to setting goals and conducting the City's business.*	I can point to specific decisions I've made and actions I've taken that use my own experiences and expertise in a unique way to advance the goals of the commission and the City as a whole. I antici- pate problems, am aware of the right moment in which to act, and take action for the good of the Commission and the City.	I am dogmatic in my approach to decision-making and feel I have to talk louder than everyone else to make my point. I never take a principled or values-centered stand, but prefer to solve issues in an ad hoc manner, focusing on the short term, and concerned only in meeting minimum requirements of law, politics, efficiency, or fiscal responsibility.

The Code of Ethics and Values		*Behavioral Standards*	
1 City Core Value	**2 Looks Like These Character Traits**	**3 Role Model Behaviors and Actions to *Practice***	**4 Example Behaviors and Actions to *Avoid***
***Progressive* (continued)**	*I display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary.*	I am able to explain how a decision I or the Commission has made is consistent with ethical standards and the City's core values, but also meets requirements of a city that is committed to ongoing improvement, progressive government, and moral imagination in solving problems.	When I make mistakes, I lie about them, downplay their importance, become defensive, and get my supporters to make it politically difficult for appropriate parties to take any action against me.
		When I hold on to the "good old days" and "the way we've always done it" so stubbornly that I make mistakes that impact public trust, I take responsibility for my actions, make appropriate apologies or restitution, and implement a plan to develop practical skills to avoid such mistakes in the future.	I let my limitations get in the way of improving City services by making many promises I can't fulfill, playing the role of pessimist whenever a new idea is presented, bulldozing my Commission into changing when change will do more harm than good, and undermining new ideas by gossiping with other citizens before the idea has a chance to be explored.
	I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services,	I encourage talented individuals to become involved in City service, as well as recognizing and celebrating talent and new ideas that help us realize our agenda, improve our services, and implement our core values in better and better ways every day.	In the afterglow of an exciting conference, I decide to push a reform in the City without giving it ample thought. Even though I'm not really sure it's for the best, I forge ahead because "we have to change something" and this is as good as anything else.

City of Santa Clara
PROGRAM IN ETHICS & VALUES

BEHAVIORAL STANDARDS FOR CITY COUNCIL MEMBERS'

INTRODUCTION

Ten years ago, the City of Santa Clara began its ethics and values program to foster public trust by promoting and maintaining the highest standards of personal and professional conduct. Since the adoption of the Code of Ethics & Values in 2000, the City Council has promised the people of Santa Clara that Council Members, all elected and appointed officials, candidates for public office, and City Staff will meet the most demanding ethical standards and demonstrate the highest levels of achievement in practicing eight core values identified in the Code.

Those values, which are fundamental to public trust, were adopted to guide the decisions and actions of individual Council Members and the Council as a whole. City Council and City Staff have worked hard to integrate these values into the everyday operating culture of City Hall. The City has conducted extensive outreach to residents encouraging them to hold public officials accountable at the ballot box for being credible role models for these values, in word and in deed, in public or in private.

To help the Council make these values real in their regular work with the City, the Code describes for each value a basic set of character traits and actions residents can expect to see Council Members meet and exceed.

This document translates these traits and actions into concrete behavioral standards for the City Council. These standards describe what impeccable leadership ethics looks like in the everyday work of the Council. They reflect commonly accepted "best practices," rather than specific issues or problems the Council has faced. The list seeks to include enough positive behaviors to practice (and negative behaviors to avoid) that a reasonable person can assess how credible he or she is as a role model and ethical leader.

This information is presented in four columns. Columns 1 and 2 reproduce the approved Code of Ethics. Columns 3 and 4 list the behavioral standards.

This document is based on the *Behavioral Standards for Commissioners, Boards, and Other Appointed Officials,* developed during 2000-2002, and approved by the City Council in February 2003. A representative committee of Board Members and Commissioners, working with the City's initial Ethics Ordinance Committee, drafted that document. It was then revised based on extensive feedback from all Board Members, Commissioners, and Staff Liaisons. In a working session in April, 2008, the Council used that document to develop the first draft of its own standards. The City's Ethics Consultant, Dr. Tom Shanks, and City Staff drafted the final version for City Council review on May 6. 2008.
Approved by City Council on May 20, 2008.

City of Santa Clara
PROGRAM IN ETHICS & VALUES

BEHAVIORAL STANDARDS FOR CITY COUNCIL MEMBERS

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
As a Santa Clara representative, I will be:			
Ethical	*I am trustworthy, acting with the utmost integrity and moral courage*	• Making careful decisions, advancing the best long-term interests of the City, after considering all available facts, City Staff recommendations, and public comment	• Making hasty, ill-informed decisions based on politics, bias, faulty assumptions, prejudice, self-interest, gossip, and half-truths
		• Voting my honest conviction, explaining my ethical reasoning, respecting the minority, and upholding the majority as the decision of the Council	• Promising my vote before facts are known in order to gain favor with a crony, endorser, lobbyist, or special interest
		• Vigorously debating an issue, listening carefully to all sides, making my best judgment call, even if it's not popular, and taking responsibility for my actions	• Saying whatever the vocal public wants to hear, dodging criticism of an unpopular vote, shifting the blame to the majority, other members, or City Staff
		• Preparing to vote by assessing how various options advance or harm the best interests of the City as well as the City's Mission and Core Values, working to minimize any harm	• Always taking the short-term view, representing few stakeholders, believing ethics and City values have no bearing on decisions
		• Finding an imaginative solution that is in the best interests of the City, is fair, respects individual rights and the Council's duties, and advances City values	• Saying and doing whatever it takes, no holds barred, to advance one's personal position, power, influence or political career

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)	*i am truthful, do what i say I will do, and am dependable*	• Giving complete, factual, unbiased information to colleagues, public, and the press	• Concealing, fabricating, overstating, under-stating, or denying the truth; spinning the truth; leaving out context
		• Making promises to the public, City Staff, and Council members which can be kept and do not exceed the authority of any individual Council Member	• Promising more than can be delivered, over-extending oneself, or taking sole credit for the work of the Council and others
	i make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action	• Seeking advice from the City Attorney and City Manager when confronting a real or potential conflict of interest, and making a full public disclosure when the Council considers the agenda item	• Helping a friend get a project through the Council in return for a donation to a campaign fund, school or charity, or the gift of tickets or another perk
		• Having declared a conflict, leaving the dais and Council Chambers, so other Council members are free of any undue influence	• Talking to fellow Council Members prior to declaring a conflict, and asking them to take care of the item in a way that advances personal interests
	i am fair, distributing benefits and burdens according to consistent and equitable criteria	• Listening attentively to all sides, keeping an open mind and avoiding even the appearance of bias, following precedents consistently, treating equals equally	• Paying more attention to friends' and supporters' projects • Making "back room" deals and decisions • Giving preferential treatment to special interests, consultants, and former Council Members

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)	*I extend equal opportunities and due process to all parties in matters under consideration. if I engage in unilateral meetings and discussions, i do so without making voting decisions*	• Being available to anyone who wants to discuss an issue, keeping an open mind and not committing to vote for or against an item until after hearing the full public discussion	• Promoting the interests of the business community without first considering the interests of all stakeholders • Giving special treatment to the companies that pay the most in taxes and to my largest campaign donors
	i show respect for persons, confidences, and information designated as "confidential"	• Referring media questions on Closed Session or other confidential matters to the City Manager's Office, rather than saying "No Comment"	• Telling others about Closed Session proceedings, especially when it is an important issue and I want input on how to decide • Confirming a rumor, remaining silent, communicating non-verbally, or in other ways providing information that is confidential or that the Council Member has promised not to reveal
		• Treating the public and City Staff, at all times, the way I treat highly regarded colleagues in businesses or professions	• Acting based on stereotypes, rumors, "ancient history," and prior negative experiences with an individual or groups
		• Bringing to the attention of the City Manager any concern about the actions or work of City Staff, or any complaint from the public	• Criticizing or embarrassing the City Manager or other City Staff in public • Failing to publicly recognize extraordinary City Staff work

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)		• Showing courtesy and interest in word and action to City Staff, public, and elected and appointed officials	• Complimenting the work of a single City Staff member when a staff team actually did the work
		• Speaking and acting out of the belief that City Staff and all members of the Council are on the same team and committed to doing their best to serve residents	• Engaging publicly or privately in personal verbal attacks against Council colleagues or City Staff; interrupting while they are speaking, rolling eyes, demeaning them, or in other ways treating them inappropriately
Professional	*i use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether i am exceeding or appearing to exceed my authority*	• Using City titles for identification at League meetings or when on other official City business, or when seeking information directly related to a Council matter from appropriate sources	• Using a City title when making dinner reservations or making purchases • Referring friends to City businesses and suggesting they mention the name of a Council Member to get the best prices
	i apply my know-ledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner	• Preparing by reading the agenda packet before meetings • Asking the City Manager informational questions ahead of time to assist in being prepared • Arriving on-time to meetings, paying attention and listening actively	• Rushing into meetings late and being obvious about opening the agenda packet for the first time or speed-reading the packet while City Staff or the public are presenting information

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Professional (continued)		• Asking questions that will advance the discussion, contribute to decision-making, and have not been covered in the agenda packet	• Taking no notes, remembering little, if any, of the information in the agenda packet, asking to have information repeated constantly
		• Listening attentively to the public, City Staff, and other Council members who may speak at meetings	• Making little or no eye contact with any speaker during the meeting • Leaving during public comment and returning only after it is over • Making comments to someone else while the public is speaking
	I approach my job and work-related relationships with a positive attitude	• Approaching Council work informed of issues, enthusiastic, energized, interested, ready to participate, and focused	• Approaching Council work half-heartedly, coming to meetings eager to leave • Short-circuiting a discussion; being perceived as rude by other Council Members, City Staff, or the public
		• Making guests feel welcomed at meetings • Treating new Council Members as colleagues, encouraging them to express their opinions, and offering them positive feedback	• Acting in a superior manner with newly elected Council members • Never making time to be responsive to residents who want to discuss issues
	I keep professional knowledge and skills current and growing	• Making it a priority to attend League meetings, Electric Joint Powers Agency meetings, and committees	• Assuming there is nothing new to learn • Going to League meetings and conferences to be seen, but never attending any training

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Professional (continued)		• Reading background materials for general preparation including professional journals, books, and articles	• Skipping meetings with the City Manager, assuming you know as much, if not more, than she does on this issue
Service-Oriented	*I provide friendly, receptive, courteous service to everyone*	• Not just answering questions, but sharing helpful knowledge of Council or government functions, even if the person asking isn't sure what they need to know	• Acting like it's a bother anytime a resident asks a question or when they make inquiries about Council/government business
		• Seeking the opinions of those who are hesitant or unwilling to come forward with their ideas, but trying not to force anyone to speak in a public forum if they are uncomfortable or unprepared	• Making guests or others feel stupid, intimidated, dismissed, manipulated, or demeaned by reading the newspaper, falling asleep, laughing at a private joke with another Council Member, or repeatedly leaving the room during discussions
	I am attuned to, and care about, the needs and issues of residents, public officials, and city workers	• Talking with residents and actively listening at City gatherings to be aware of what is going on in this community and other communities	• Being arrogant or uninterested when responding to residents outside of City Hall about their concerns and debating with them to prove them wrong or misinformed
		• Attending City events and interacting effectively with the public, aware that others expect Council Members to be role-models	• Showing up late to City events, leaving early, and spending most of the time talking only to one or two friends

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Service-Oriented (continued)		• Relaying things heard or provided to the Council or the City Manager or other appropriate parties for follow-up	• Withholding important information to use it for narrow personal purposes at a later time
	in my interactions with constituents, i am interested, engaged, and responsive	• Acting in a pleasant and friendly manner and encouraging people to speak their mind; welcoming constructive criticism as well as compliments	• Through word and action, discouraging people from proposing what they believe are solutions or expressing their concerns
		• Focusing on the speaker and trying to see the world as they do in order to understand their needs	• While seeming to be engaged in one conversation, scanning the environment for someone more interesting or important to speak with; abruptly stopping the previous conversation to speak with the more important person
FiscallyResponsible	***i*** *make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability*	• Before deciding how to vote, reviewing cost/benefit analysis and all related studies, along with City Staff recommendations	• Allowing other Council members who have more expertise in budgeting to take the lead in budget discussions, trusting that they know better, and never improving personal expertise
		• Consider the City's short and long term financial condition prior to proposing new or expanded City projects	• Ignoring the constraints of the City budget when making decisions • Citing "budget constraints" as the reason for not supporting a motion, when the real reason is how it will look in the next election

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Fiscally Responsible (continued)	*I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures*	• Allocating resources according to the City's plan and in compliance with the law and the City's goals to provide residents with a better environment in which to live	• Taking advantage of any opportunity to get something "free" from the City • Seeking discounts from the City's vendors solely because of my position
		• Using City equipment only for Council work, not for personal use or for my business	• Coming to City Hall regularly and asking City Staff to make just a few copies for personal use
		• Respecting City Staff time and being especially careful to ask the City Manager to take on special research or other projects only if convinced that this work is critical and necessary for the Council to better serve the needs of residents	• Asking a lot of questions that focus on non substantive details, being unable to separate what's important from what's not
		• Representing the public's interests to the best of my ability • Balancing long-term impacts and short-term goals	• Acting as if **I** "own" the City or my seat on the Council
	I make good financial decisions that seek to preserve programs and services for City residents	• Being fully aware of and understanding the approved City budget, having solicited explanations from the City Manager, if necessary	• Taking as many trips as possible at the City's expense because of a personal feeling that the compensation is not sufficient and some reward for City work is deserved

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Organized	*I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long-term goals*	• Being cognizant of the importance of scarce meeting time and preparing accordingly, with the result that the Council spends time on the important issues and deals efficiently with other issues	• Relying solely on prior knowledge and spending a great deal of the Council's time proving to everyone how much I know on all issues, large and small
	i follow through in a responsible way, keeping others informed, and responding in a timely fashion	• Sharing my research and experience with others on the Council, making worthwhile contributions and welcoming alternative viewpoints	• Using hear-say from a third party as the sole basis for making a decision
		• Returning phone calls and email promptly, if at all possible; if unable, letting the person know when to expect a response	• Failing to acknowledge receipt of requests for information • Responding only to people who can help with personal political goals • Eventually getting around to sending information, but never in a timely manner
	i am respectful of established City processes and guidelines	• Participating fully in orientation sessions and other sessions in order to understand how the City's policies and procedures impact the effectiveness of the Council	• Criticizing City policies in public without first expressing concerns to City Staff or gaining knowledge necessary in order to offer constructive criticism
		• Helping to establish reasonable timetables and then following them • Being flexible in setting meeting dates and times	• Ignoring deadlines, not keeping people informed, and making excuses which damage public trust

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Organized (continued)		• Being able to explain to residents, businesses, and visitors how the City's policies and procedures are examples of the City's Core Values in practice	• Being cynical about policies and cavalier about following procedures because of a failure to see how these are related to fairness and the common good
Communicative	*I convey the City's core for and commitment to its residents*	• Being able to explain the City's goals to anyone and describe personal commitment to them • Supporting superb, affordable City services and conveying that commitment effectively to residents	• Plotting and scheming to accomplish personal agendas • Deciding how you will vote and writing out those reasons prior to any public comment • Becoming angry at a resident who is critical of the Council
	I communicate in various ways that I am approachable, open-minded and willing to participate in dialog	• Being available to the public in person, at events, and through telephone and written correspondence to provide both answers to questions and dissemination of important information	• Confusing residents, spreading rumors and gossip, or slandering elected or appointed officials, City Staff, or anyone • Interrupting someone who has the floor
		• Listening attentively, being open to multiple perspectives, and allowing the possibility of changing opinions and points of view	• Listening solely to find flaws, to spot differences, and to counter arguments • Going out of my way during meetings to show why **I** am always right and others are not
		• Making it a practice to communicate equally well to all stakeholders, regardless of their influence, power, or campaign donations	• Dominating meetings and asking many more questions than time allows, effectively excluding the input of others

The Code of Ethics & Values		*Behavioral Standards*	
1 **City Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Communicative (continued)	*I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations*	• During meetings, giving residents and others the benefit of the doubt and listening to identify needs and interests • Asking questions to clarify, to understand, and to augment, in order to hear the truth as the resident sees it • Making the best decision to advance the community's values and goals	• Considering people on the other side of issues as enemies, rather than as colleagues or fellow residents • Weakening public debate by belittling or mocking someone's viewpoint • Demonizing anyone who disagrees with a personal conviction or viewpoint
Collaborative	*I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding*	• Submitting one's best thinking, respecting all other participants and inviting their thoughts in order to develop better solutions • Seeing value in working with other agencies to develop consistent policies, where appropriate	• Describing people who hold different viewpoints as "them" • Failing to recognize personal biases, prejudices, stereotypes, and their influence on language and attitudes toward residents and others
	I work towards consensus building and gain value from diverse opinions	• Approaching meetings and discussions assuming that many people have pieces of answers and that cooperation will lead to workable solutions for the most difficult problems	• Approaching discussions as if there's already a single right answer that needs to be defended against opposing viewpoints
	I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team	• Understanding that what I do speaks more loudly than what I say • Showing respect for Council Members, Staff, and residents by giving priority to my City commitment, doing my homework	• Focusing first on satisfying a personal or hidden agenda • Actively weakening the team that the Council and City Staff have devoted efforts to build

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Collaborative (continued)		• Understanding that each Council decision either builds public trust or detracts from it	• Dismissing any idea proposed by a Council colleague who supported someone else in the last election
		• Working hard to develop among Council Members, other officials, City Staff, and the public a kindred spirit of cooperation when working toward implementing City values	• Reaching conclusions based on satisfying personal or special interests and refusing to change one's position despite good reasons to reconsider • Holding grudges and considering some people as permanent enemies
	I consider the broader regional and State-wide implications of the City's decisions ***and*** *issues*	• While serving on County-wide committees, acting in a professional manner and approaching the tasks responsibly	• Making derogatory remarks about other cities, feeling that Santa Clara is superior
		• Serving on County or State-wide panels, freely sharing information and resources so everyone may benefit from the City's experience	• Having tunnel vision and ignoring anything beyond the City, depriving the City of the benefit of a broader, regional perspective

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Progressive	*i exhibit a proactive, innovative approach to setting goals and conducting the City's business*	• Contributing personal experiences and expertise to advance the goals of the Council and the City as a whole • Anticipating future problems or opportunities, raising the issues at the appropriate time for City Staff to investigate and for Council to consider	• Being dogmatic in approaching decision-making and only doing things the way they've always been done • Never taking a forward looking, principled or values-centered stand, but preferring to solve issues in an ad hoc manner • Focusing on the short term, being concerned only about meeting minimum requirements of law, politics, or efficiency
	i display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary	• Being able to explain how a decision is consistent with ethical standards and the City's Core Values • Committing to ongoing improvement, progressive government, and moral imagination in solving problems	• Lying about personal mistakes and downplaying their importance • Manipulating discussions and decisions to advance personal, political aspirations • Speaking and listening only to one's friends on the Council
		• Taking responsibility for actions, making appropriate apologies or restitution when a mistake is made, and implementing a plan to develop practical skills to avoid such mistakes in the future • Actively listening, asking clarifying questions, and giving careful consideration to all	• Holding on to opinions and viewpoints so stubbornly that mistakes are made, impacting public trust • Letting personal limitations impede progress or the work of the Council • Playing the role of pessimist whenever a new idea is presented, trying to bulldoze personal ideas

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Progressive (continued)		comments and viewpoints, even if they are expressed by people who think differently, have different beliefs, and have different groups of supporters	despite budget limitations, prior agreement, or consensus, and undermining new ideas by gossiping with others before the idea has a chance to be explored
	I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services	• Encouraging talented and diverse individuals to become involved in City service, as well as recognizing and celebrating talent and new ideas that help the City reach its goals, improve City services, and implement City Core Values in best practice	• Pushing change in the City without ample thought, and causing change only for the sake of change, or only to fulfill a campaign promise

Code of Ethics & Values

Santa Clara's Code of Ethics & Values, adopted by the City Council in March of 2000 and modified by Council in August of 2001, is designed to provide clear, positive statements of ethical behavior reflecting the core values of the community. The Code includes practical strategies for addressing ethical questions and a useful framework for decision-making and handling the day-to-day operations of the municipality.

The current Code of Ethics & Values was developed in 1999 by a Committee composed of three elected officials, nine City commissioners, two community members, the City Manager and the City Attorney. A previous Code was adopted in the 1960s and periodically updated, but the Committee took a fresh approach by working with the Markkula Center for Applied Ethics at Santa Clara University to create a new Code of Ethics & Values for the City that would better reflect the issues and concerns of today's complex and diverse society.

ETHICAL STANDARDS FOR CONTRACTORS SEEKING TO ENTER INTO AN AGREEMENT WITH THE CITY OF SANTA CLARA, CALIFORNIA

Goals of the Code of Ethics & Values

- To make Santa Clara a better community, built on mutual respect and trust
- To promote and maintain the highest standards of personal and professional conduct among all involved in City government elected officials, City staff, volunteers, and members of the City's boards, commissions and committees

The Code of Ethics & Values is a touchstone for members of boards, commissions and committees in fulfilling their roles and responsibilities.

Preamble

The proper operation of democratic government requires that decision-makers be independent, impartial, and accountable to the people they serve. The City of Santa Clara has adopted this Code of Ethics & Values to promote and maintain the highest standards of personal and professional conduct in the City's government. All elected and appointed officials, City employees, volunteers, and others who participate in the city's government are required to subscribe to this Code, understand how it applies to their specific responsibilities, and practice its eight core values in their work. Because we seek public confidence in the City's services and public trust of its decision-makers, our decisions and our work must meet the most demanding ethical standards and demonstrate the highest levels of achievement in following this code.

1. As a Representative of the City of Santa Clara, I will be ethical.

In practice, this value looks like:

- a. I am trustworthy, acting with the utmost integrity and moral courage.
- b. I am truthful, do what I say I will do, and am dependable.

- c. I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action.
- d. I am fair, distributing benefits and burdens according to consistent and equitable criteria.
- e. I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions.
- f. I show respect for persons, confidences, and information designated as "confidential."
- g. I use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether I am exceeding or appearing to exceed my authority.

2. As a Representative of the City of Santa Clara, I will be professional.

In practice, this value looks like:

- a. I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner.
- b. I approach my job and work-related relationships with a positive attitude.
- c. I keep my professional knowledge and skills current and growing.

3. As a Representative of the City of Santa Clara, I will be service-oriented.

In practice, this value looks like:

- a. I provide friendly, receptive, courteous service to everyone.
- b . I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.
- c. In my interactions with constituents, I am interested, engaged, and responsive.

4. As a Representative of the City of Santa Clara, I will be fiscally responsible.

In practice, this value looks like:

- a. I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability.
- b. I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.
- c. I make good financial decisions that seek to preserve programs and services for City residents.

5. As a Representative of the City of Santa Clara, I will be organized.

In practice, this value looks like:

- a. I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long term goals.

- b. I follow through in a responsible way, keeping others informed, and responding in a timely fashion.
- c. I am respectful of established City processes and guidelines.

6. As a Representative of the City of Santa Clara, I will be communicative.

In practice, this value looks like:

- a. I convey the City's care for and commitment to its citizens.
- b. I communicate in various ways that I am approachable, open-minded and willing to participate in dialog.
- c. I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations.

7. As a Representative of the City of Santa Clara, I will be collaborative.

In practice, this value looks like:

- a. I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding.
- b. I work towards consensus building and gain value from diverse opinions.
- c. I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team.
- d. I consider the broader regional and State-wide implications of the City's decisions and issues.

8. As a Representative of the City of Santa Clara, I will be progressive.

In practice, this value looks like:

- a. I exhibit a proactive, innovative approach to setting goals and conducting the City's business.
- b. I display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary.
- c. I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services.

Last Updated:

03-22-2019

Living Our Values

How the City of Santa Clara incorporates its Code of Ethics & Values into everyday operations and decision-making

City of Santa Clara's Code of Ethics & Values:
*Ethical * Professional * Service-Oriented * Fiscally Responsible*
*Organized * Communicative * Collaborative * Progressive*

The Code of Ethics & Values is designed to promote and maintain the highest standards of personal and professional conduct by all elected and appointed officials, City employees, volunteers, and others who participate in City government. The Code is a constant reminder of what this community values, and what makes it such a special place to live and work.

The 2005 Annual Report/2006 Calendar for the City of Santa Clara, distributed to every residential and business address in the City, focused on how the City is using its Code of Ethics & Values. Here are excerpts from that publication, and some additional information, which demonstrate how Santa Clara is incorporating its Code of Ethics & Values into everyday operations and decision-making.

Living Our Values -- Ethical

One defmition of "ethical" is acting as if every action and word has an effect on those around you. The City of Santa Clara is fortunate to have many individuals and organizations whose actions have positively impacted others in the community, and there are dozens of recognition programs in place to acknowledge and honor them. These programs thank residents, businesses and community organizations for sharing their expertise, time and resources, and for serving as leaders who daily demonstrate how the quality of life in a community is the result of broad-based actions and concern. In 2005, the inaugural Neil Henry Award, which honors residents for exemplary long-term service to the community, was presented to JoAnn Silva, who for more than 20 years has volunteered about 1,200+ hours annually to Santa Clara activities. Honoring and celebrating community and City achievements is a priority goal for the City.

The City of Santa Clara has launched an innovative program to make ethics one of the criteria voters use to make judgments about candidates and issues on the ballot. For the 2004 and 2006 elections, a Vote Ethics Guide was published and distributed to every address in Santa Clara to give the public information and ideas to consider as they listen to opposing points of view and, sometimes, conflicting data. The publication has become a model for other communities that want to help residents think about tough ethical situations, as well as helping voters to identify behaviors they expect City leaders will practice.

Living Our Values -- Professional

What does it mean to be professional if you are a municipality? Most would agree that efficiency and economy are prime characteristics.

A national survey of U.S. cities rated the City of Santa Clara as one of the best places in which to operate a business. The City's dependable and well-maintained infrastructure, outstanding public safety record and low utility costs were praised.

The City continues to seek ways to reorganize departments and programs for increased efficiency. For example, in 2005 the Communications Division that handles all 9-1-1 calls and dispatching for the City's emergency services shifted to become part of the Police Department. Dispatchers receive more than 250 hours of training and, in additional to fielding calls and dispatching police, fire and medical personnel, dispatchers research computer databases for information to assist emergency personnel in the field.

Improved facilities can also positively affect the delivery of service, such as the new Fire Station 6, corner of Agnew Road and Sun Fire Way, which opened in 2005 to replace the old Fire Station 6 on De La Cruz Boulevard. The $3.5 million project is better able to serve the new Rivermark neighborhood as well as older homes and businesses north of the Bayshore freeway.

Living Our Values — Service-Oriented

Santa Clara has a long tradition of being a service-oriented community. Volunteerism abounds (tens of thousands of hours of volunteer time is donated annually for City projects) and with volunteer assistance, residents and businesses enjoy an even wider range of municipal services.

2005 was the 110th anniversary of the City's water utility, which started with four wells, 45 fire hydrants and 400 service connections, and as of 2005, has 27 production wells, 295 miles of potable distribution mains, 3,135 hydrants and 25,131 service connections. Santa Clara customers pay the lowest combined rates for water and sewer service in the nine Bay Area counties (out of 105 jurisdictions and agencies).

Another anniversary in 2005 was the 50th birthday of the Mission Library. It served as the main City Library from 1955-67, and then became a branch operation. It was renovated and reopened in 2000 as the Mission Library Family Reading Center to focus on adult and family literacy, including the Read Santa Clara program that works to increase literacy by teaming volunteer tutors and adult learners.

Living Our Values - Fiscally Responsible

The City of Santa Clara budget process is comprehensive, complex and strenuous. Each year expenses and revenues — what it costs the City to carry out its work and what level of income is anticipated -- are thoroughly examined. The slowdown of the local economy since the dot-corn implosion in 2000, followed by 9-11 in 2001, challenged Santa Clara leaders to look at every possible way to bridge the gap between revenues and expenses as it experienced the most severe budget crisis in City history. Fortunately the City had reserves set aside for this type of economic crisis, and they have been tapped in order to balance the budget.

The economy is improving, but slowly. A budget gap is projected for the next five years and City departments are working hard to find new ways to trim expenses without tremendous

impacts on services delivered to the community, and ways to generate new revenues without creating too much of a burden on taxpayers and businesses.

Philosophers like to debate whether the phrase "may you live in interesting times" is a blessing or a curse. In 2005, the City of Santa Clara described itself as in the midst of "interesting times." The Code of Ethics & Values is helping City leadership to navigate the rough waters of the economy, and to set the right course for the community's future.

Living Our Values - Organized

Being organized means planning ahead. Cities have to keep an eye on the horizon even as they focus on the delivery of services to their residents today. Several projects are underway in Santa Clara that are investments to meet the needs of tomorrow.

Extensive expansion of the Santa Clara Senior Center got underway in 2005 in preparation for the anticipated growth of the number of older residents as the Baby Boomer generation nears retirement. The $10.9 million project more than doubles the space and adds many features including indoor swimming and therapeutic pools. Construction is expected to be complete in early 2007.

Two new sections of San Tomas Aquino/Saratoga Creek Bicycle and Pedestrian Trail opened in 2005, and a third section in 2006. When complete, trail segments in Santa Clara will extend from the Bay Trail at Highway 237 through the entire community and beyond, running all the way to Prospect Rd. in San Jose.

Plans are being finalized for an expansion of the Santa Clara Convention Center Ballroom that will add 24,000 square feet of space and allow the facility to accommodate more people. The enlarged Ballroom will improve the marketability of the Santa Clara Convention Center, especially for large events that boost the economy. Construction is projected to be completed in 2007 - 2008.

Living Our Values - Communicative

There are many ways for a City to communicate with its residents, and Santa Clara tries to explore them all. Technology helps.

Last year the City's website was redesigned to include a new visual look, updated navigation system, and expanded content including more detailed information on the Police Depai iment web pages including crime statistics and crime prevention tips. During 2005, the City's website was receiving about 150,000 page views per month, and in 2006, it was in excess of 220,000 distinct site visits monthly.

Silicon Valley Power, the municipal Electric Utility, also enhanced its online information, so that customers can quickly and easily access account information, rebate offers, energy efficient product descriptions, and report street light outages or obstructive tree branches online.

Another huge project in the works is the scanning of 40 years of building permits so that the public can access documents such as drawings, soil reports, inspection letters and final affidavits. As of November 2005, more than 51,000 permits were in the system and more were being added every month.

Old-fashioned communication is still in the mix, such as the Agnews Historical Information Center that opened in 2005 in the 14.5 acre historic park on the Santa Clara campus

of Sun Microsystems. Commemorative panels showcase the history of the Agnews Hospital West Campus with maps, historic photos, illustrations and text.

Living Our Values - Collaborative

The City of Santa Clara collaborates in multiple ways with nonprofit organizations and other public agencies in order to leverage resources and better serve the needs of the community.

The most visible example of collaboration in 2005 was completion of the new Mission City Center for Performing Arts, a joint project of the City of Santa Clara and the Santa Clara Unified School District, which opened in February. The 350-seat facility is located on the campus of Wilcox High School and available for use by both school and community groups.

Affordable housing is another focus area for collaborations. Gateway Santa Clara Senior Apartments opened in 2005 and includes 42 units for very low and low-income seniors. The complex is owned and operated by EAH, a nonprofit housing corporation, but it was built with the help of a $4.93 million loan from the City of Santa Clara's Redevelopment Agency.

Collaboration with Habitat for Humanity will result in six more of these homes in the community. Another collaboration between the City and two local nonprofit organizations is under discussion and may generate 165 units of affordable senior housing on six acres of a 17-acre parcel of surplus land previously owned by the State of California.

Living Our Values - Progressive

One of the most progressive aspects of the City of Santa Clara is its national leadership in electric power utility innovation and management. The year 2005 was a banner one for Silicon Valley Power, the municipal Electric Utility, in several ways.

The new Donald Von Raesfeld Power Plan opened in June 2005. This 147-megawatt power plant features state-of-the-art technology and is the largest capital project in the history of Santa Clara. It directly satisfies about one-third of the City's power needs and adds to Silicon Valley Power's diverse power portfolio of renewable and non-renewable resources.

Also opening that year was a new four-mile-long combination of overhead and underground lines between Silicon Valley Power's Northern Receiving Station and PG&E's Los Esteros Substation. The lines add more points of entry for electricity coming into Santa Clara and increase the utility's already-exceptional reliability.

Silicon Valley Power is equally proud in achieving high marks in customer service, reliability, and communication in an independent study of electric utilities in California.

City of Santa Clara, CA

The City's *Code of Ethics & Values, Behavioral Standards* documents, and *Good Government Decision-Making* (at right) describe the core practices and key behaviors of trustworthy leaders. They ask everyone involved in City government to:

- become a role model for the City's eight core values
- act *at our best* and only in the *best interests* of all who live or work in the City
- carefully consider the impact of all actions on public trust.

Public trust rests on the *public's perception* that their leaders:

1. Listen carefully
2. Practice impeccable ethics
3. Campaign honorably
4. Provide superb services
5. Foster best *quality of life.*

Good Government Decision-Making Process

Trustworthy leaders follow the law and make decisions after:

- Carefully considering the facts and staff recommendations
- Listening carefully to the interests of all stakeholders
- Developing a number of good options for action
- Choosing the option which best meets these standards:
  - Positive consequences outweigh negative ones
  - An individual's rights are protected and advanced
  - Everyone is treated with dignity and respect
  - The action is fair, just, and equitable
  - The action is best for the community as a whole
  - The action best advances the City's Core Values
- **Test 1:** If I do this, who wins? Who loses? Why? Why is this the right thing to do? Would a different action contribute more to good government and public trust?
- **Test 2:** Explain your reasoning to someone harmed by it. Trustworthy leaders take action and learn from each decision.

AS A REPRESENTATIVE OF SANTA CLARA, I WILL BE:

ETHICAL: I am trustworthy, acting with the utmost integrity and moral courage.• I am truthful, do what I say **I** will do, and am dependable • I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action. - I am fair, distributing benefits and burdens according to consistent and equitable criteria.- I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions. • I show respect for persons, confidences, and information designated as "confidential." • I use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether I am exceeding or appearing to exceed my authority..

ASK THESE TWO QUESTIONS BEFORE YOU MAKE YOUR FINAL DECISION:
1. HOW WILL MY ACTION BUILD PUBLIC TRUST?
2. WHY IS THIS THE RIGHT THING TO DO?

2: VALUES

PROFESSIONAL

I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner.. I approach my job and work-related relationships with a positive attitude.• I keep my professional knowledge and skills current and growing.

SERVICE-ORIENTED

I provide friendly, receptive, courteous service to everyone.• I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.. In my interactions with constituents, I am interested, engaged, and responsive.•

ORGANIZED

I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long term goals.- **I** follow through in a responsible way, keeping others informed, and responding in a timely fashion.. I am respectful of established City processes and guidelines.-

FISCALLY RESPONSIBLE

I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability.- I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.. I make good financial decisions that seek to preserve programs and services for City residents.

COLLABORATIVE: *I* act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding.• I work towards consensus- building and gain value from diverse opinions. •I accomplish the goals and responsibil- ities of my individual position, while respecting my role as a member of a team.- I consider the broader regional and State- wide implications of the City's decisions and issues.

COMMUNICATIVE: I convey the City's care for and commitment to its citizens.- I communicate in various ways that **I** am approachable, open-minded and willing to participate in di-alog.• I engage in effective two-way communication, by lis-tening carefully, asking questions, and determining an appropriate response which adds value to conversations.

PROGRESSIVE: I exhibit a proactive, innovative approach to setting goals and conducting the City's business.-
I display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary.- I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services.

Developed by Thomas E. Shanks, Ph.D., The Ethics Company of San Jose, CA. Email: teshanks@comcast.net

City of Santa Clara
Ethics & Values Program
Highlights of Accomplishments

(since January 1, 2000)

Year 2000

Council unanimously approved a new Code of Ethics and Values, as recommended by Ethics Ordinance Committee (April 4, 2000). Council added the provision that the Code will be reviewed as part of Council Goal Setting sessions.

Council also approved the Committee recommendation to develop "Standards for Code of Ethics and Values" guide (April 4, 2000).

At the City Council meeting, the Council Candidates Program for those seeking elected office was discussed, including the concept of a similar program for seated elected officials who participate in elections.

City Management Training Program "Developing Your Reputation for Impeccable Ethics" was held Friday, April 28, 2000.

A Workshop for Candidates for Elective Office was held August 24, 2000 per Council's approval of Ethics Ordinance Committee recommendation.

Ethics consultant Dr. Tom Shanks conducted a three-hour workshop for Department Heads and Division Managers, "Developing Your Reputation for Impeccable Ethics." Department Heads followed-up with lists of implementation steps for educating all employees about the Code of Ethics and Values.

The City Manager, through Director of Water and Sewer Utilities, submitted information on the Ethics program to the American Water Works Association for a publication on "Ethical Dilemmas in the Water Industry."

In preparation for the Orientation Program for New Board Members/Commissioners, ethics consultant Dr. Tom Shanks and the City Manager held two organizational meetings in June. One meeting was with Staff Liaisons to City Board/ Commissions and the other was with the Chairs of Boards/Commissions. The purpose of the meetings was to seek help in developing the program's content, including an ethics and values focus. It was an opportunity to share their ideas on what should be included in an Orientation Program.

The League of California Cities requested papers and exhibits for the 27th Annual International Making Cities Livable Conference held in California and Georgia. The

City submitted the Ethics Program, including the process that the City undertook to develop a new Code of Ethics and Values. The paper was submitted under "Community Participation in City Making."

An orientation program for new Board Members/Commissioners was held on July 17, 2000, including ethics and values content. All current and newly appointed Commissioners were invited. Approximately 50 people attended. Follow-up comments were very positive, reinforcing both the need and value of this type of program.

Council approved a new "Revolving Door" Ordinance but referred back one section to the Ethics Ordinance Committee relating to current Commissioners appearing before CouncillBoards representing other individuals/companies. The Revolving Door Ordinance effective date was August 18, 2000.

Council requested that a program be offered that was geared for seated Council Members, specifically, "Ethical Standards for Supporting Candidates for Public Office". This Council Study Session was held on Tuesday, August 22.

Two workshops were held with Ethics Committee members, City Commissioners and their Staff Liaisons on November 13 and December 14, 2000 with the goal of developing "Standards for Behavior" consistent with the Code of Ethics and Values.

An "Elected Officials Handbook" was developed by the Deputy City Manager and City Clerk to assist with Council Member orientation. The new publication debuted in November 2000. Chapters in the handbook include City Information, Procedures, Legal Issues, Helpful Advice, Directories, City Charter and Resource Material. Chapter 4 was devoted to Ethics and Values including background on the City's Code of Ethics and Values; the Code itself; principles of ethical behavior; a checklist for monitoring conduct; living our values: the process and pocket card; and behavioral standards for Commissioners, Board Members and other appointed officials.

A Study Session was held with Council on November 28, 2000 to discuss the recent municipal election, and how Council Members ethically supported other candidates for City offices.

City representatives made a presentation at the International Making Cities Livable Conference on December 15, 2000 in San Francisco. The presentation was entitled "Living Our Values, Strengthening and Maintaining A Values Driven Organization at the City of Santa Clara," and panelists included Mayor Judy Nadler, Vice Mayor Aldyth Parle, ethics consultant Dr. Tom Shanks, and City Manager Jennifer Sparacino. The presentation was enthusiastically received, with many good questions from the audience.

2001

The City Manager's Pilot Implementation Program with the Parks and Recreation and Fire Departments continued through Phase 1. Parks and Recreation Department personnel attended workshops in late March and late April to introduce the Code of Ethics and Values, and to give employees a chance to discuss its implications for their jobs. Employees completed two short surveys and identified members for a departmental "Make It Real" team to begin work in assisting the City and departmental management in implementing the Code.

The City Manager organized a citywide employee committee, comprised of 12 members from eight departments to recommend ways to identify, communicate, and implement next steps and best practices to advance the City's Ethics & Values program.

Mayor Judy Nadler, Vice Mayor Aldyth Parle, City Manager Jennifer Sparacino, and ethics consultant Dr. Tom Shanks presented the City's Ethics & Values program as a "Best Practices Case Study" at the International City Managers Assoc. in Newport, Rhode Island on April 26. The session was very well received and the City was invited to present the program at the National Conference of the ICMA on September 25 in Salt Lake City.

The Ethics & Values program was added as a core curriculum of the annual Leadership Santa Clara program. Two current Board and Commission members were part of the 2001 Leadership Santa Clara class, and along with the Deputy City Manager, were able to help foster discussion.

The Citywide employee committee continued to meet twice per month to develop advisory recommendations to the City Manager on next step implementations.

The Santa Clara Executive Management Team of the City Manager and Department Heads held several meetings with ethics consultant Dr. Shanks discussing how the Values Program will be introduced to departments and how it will become a part of everyday actions and decisions. The theme for these meetings is "Living Our Values: Developing Common Values and Common Ground in the City organization."

Discussion of the Code of Ethics and Values was incorporated into City's on-going mid-management training program "Leadership in the 21st Century."

The City's Human Resources Department has included the Ethics and Values emphasis on position announcements for City employment and in job descriptions for management employees.

The City made a presentation at ICMA Annual Meeting held in Salt Lake City on September 25, 2001, entitled, "Translating Ethics into Everyday Actions."

Ten members of City Boards and Commissions were recognized at the citywide Volunteer Recognition Event, October 3, for their assistance with the development of Standards of Behavior for the City's Code of Ethics and Values.

2002

A "Board and Commissions Handbook & Survival Guide" was developed by the Deputy City Manager with help from the City Clerk to assist Commissioners with their effectiveness and to assist new Commissioners with orientation. The new publication debuted in January 2002. Chapters in the handbook include Purpose; Procedures; Legal Issues; Helpful Advice; Directories; Glossary of Terms; and Resource Material. Similar to the handbook for elected officials, Chapter 4 was devoted to Ethics and Values including background on the City's Code of Ethics and Values; expectations of members of Boards, Commissions and Committees; the Code itself; living our values: the process and pocket card; and behavioral standards for Commissioners, Board Members and other appointed officials. Copies were provided to all Commissioners and appointed officials.

As the year 2002 was an election year, the City Council approved holding two workshops on Ethical Campaigning for Candidates for Elective Office on April 23 and August 15, 2002. Workshops were designed for candidates for elective office and their campaign workers.

At the April 8th and June l'7th Ethics Ordinance Committee meetings, the City Manager provided a proposal to recognize Board/Commission Members. The proposal outlined the recognition of Board/Commission members by (1) holding an annual dinner separate from the citywide Volunteer Recognition Event; and (2) focusing on Board/Commissions in the City's quarterly newspaper, "Inside Santa Clara". Request for funding in the amount of $7,000 for the dinner was referred to the budget process, and subsequently approved by Council.

A workshop on "Ethical Campaigning for Candidates for Elective Office" was held as a Special Order of Business at the April 23rd City Council meeting. Another workshop for candidates for elective office was scheduled for August 15, 2002.

At their June 17th meeting, the Ethics Committee unanimously accepted a "Draft Council Policy-Process for City Board/Commission Review" and made a motion to forward the proposed policy to Council for approval. A discussion on "Ground Rules for Citizen Complaints" and "Complaint Form" was continued.

At the League of California Cities Annual Conference in Long Beach, California, October 2-4, 2002, the City received the Helen Putnam Award of Excellence for its Ethics & Values program. The Mayor accepted the award on behalf of the City. In

addition, the League's calendar features the City's Ethics Program on the October page entitled, "Public Trust and Ethics."

A workshop on "Running for Office...Living Our Values" was held for candidates for elective office and their campaign workers on August 15, 2002. Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the Workshop Coordinator.

To assist current and newly appointed members of Board/Commissions in the City of Santa Clara in becoming more familiar with their roles and responsibilities, a special workshop, "Living Our Values... Succeeding as a Board/Commission Member" was held on Monday, September 30, 2002. Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the. Workshop Coordinator. The City's recently created "Board and Commissions Handbook & Survival Guide" was also reviewed.

"A Council of Trust: Principles, Norms, Standards & Best Practices," a document that the City Council developed at their workshop, "Managing Change," held July 29, 2002, was approved by Council on August 20, 2002. The purpose of this workshop was to draft a set of norms to guide those running for elected office. The City Council later agreed that these practices would create behavior that they would trust, thus calling the document the "Council of Trust."

The Council adopted the Ethics Committee's recommended "Process for City Board/Commission Review," regarding handling concerns/complaints expressed about Board/Commission members, at their July 16, 2002 meeting.

Ethics consultant Dr. Tom Shanks and the City Manager gave a presentation at the Municipal Management Assistants of Northern California Conference in Santa Rosa, on October 17, 2002, "Translating Ethics into Every Day Actions."

The City Manager met with Board and Commission Staff Liaisons on November 6, 2002 to discuss the September 30th workshop, "Living Our Values...Succeeding as Board/ Commission Members." At this meeting, Dr. Tom Shanks also provided the Staff Liaisons with tips how Commissioners could use the Pocket Card to review and improve their conduct and decision making processes.

On December 3, 2002, a Study Session was held regarding the follow-up to Council's "Managing Change Workshop: Review of Ethical Standards for Running for Elective Office and Supporting Candidates for Elective Office Workshop." Dr. Tom Shanks, Associate Professor of Communication and Scholar at the Markkula Center for Applied Ethics at Santa Clara University, was the facilitator.

"Western City" magazine December 2002, published an article entitled, "Santa Clara Infuses Political Campaigns with Community Ethics and Values." The article outlined the City's Ethics & Values program as a useful tool for city political campaigns. It also recognized the City for winning an Award for Excellence in the Public Trust and Ethics category of the 2002 California Cities Helen Putnam Award for Excellence Program.

2003

On January 13, 2003, a workshop was held for candidates and their campaign workers to review election activities in reference to the goal of ethical campaigning. The workshop was held to evaluate the effectiveness of the various efforts the City has made to establish a climate and expectancy of ethical campaigning.

The Behavioral Standards documents for Board and Commissions was updated. The Ethics Ordinance Committee reviewed the document and recommended it for adoption by City Council on February 25, 2003.

As part of the ongoing recognition program for Board/Commission Members, articles appeared in the Spring 2003 City newspaper, "Inside Santa Clara" about outstanding commission activities. The recognition program was previously recommended by the Ethics Ordinance Committee with input from Board/Commission Members, and approved by Council.

A Study Session was held April 22, 2003, to discuss the overall concept of accountability for Board and Commission members, as well as a Draft Accountability Policy and the Code of Ethics.

A recognition dinner was held for Board/Commission Members on April 29, 2003. The City Council, at their meeting on April 23, 2002, approved this special recognition event in 2002/2003 for Board/Commission Members, with a focus on the Values Program.

In response to an invitation extended by the Program Director of College of Professional Studies, University of San Francisco, the City Manager and ethics consultant Dr. Tom Shanks gave a presentation on May 5, 2003, to a graduate class on the City's Ethics & Values program.

The City Manager continued meeting with all depai 'lents and Board/Commission Staff Liaisons regarding the economic slowdown impacting the City. Departments were asked to revisit this fiscal year's budget to reduce expenditures, in keeping with the City's Value of "Fiscal Responsibility."

As part of the recognition program for Board/Commission Members, articles appeared in the City's newspaper, "Inside Santa Clara" about outstanding commission activities. The Summer 2003 issue highlighted the Concerts in the Park series and the Indoor Sculpture Exhibition, both orgar►i7ed by the Cultural Advisory Commission.

In October 2003, the City updated the employee orientation packet. The revised cover letter to the newly hired employee emphasized the Code of Ethics and Values for our City.

As part of the recognition program for Board/Commission Members, articles were published in the City's newspaper, Inside Santa Clara, about outstanding commission activities. The Winter 2003 issue of highlighted Mayor Patricia Mahan's attendance at

meetings of nearly all of the City's Board and Commissions and the City special recognition event for 250 volunteers that said, "Hats Off to Volunteers!"

2004

The Institute for Local Government, the nonprofit research arm of the League of California Cities, released a new ethics publication entitled, "Developing a Local Agency Ethics Code: A Process-Oriented Guide." The City Manager provided editing assistance prior to publication of this document. The City of Santa Clara's Ethics & Values program is mentioned in several sections.

A "Year in Review" Agenda Report discussed at the City Council meeting of December 16, 2003, highlighted Council's commitment to principles within City's Code of Ethics & Values with goal of promoting public trust.

Several articles appeared in the 'Western Cities" magazine regarding ethics.

The goals of respect and professionalism, from the City's Code of Ethics and Values, were set for Employee Negotiation discussions.

As part of the recognition program for Board/Commission Members, articles appeared in the Spring 2004 City's newspaper, "Inside Santa Clara," about outstanding commissions activities, highlighting the Youth Commission, the Historical & Landmarks Commission, and the Housing Rehabilitation Loan Committee.

The Spring 2004 issue of the "Inside Santa Clara" also included the City's Ethics & Values program expansion to include the discussion of community ethics and values...asking voters to include ethics as part of their decision making process in selecting which candidate to support in the November election.

At the April 6, 2004 City Council meeting, ethics consultant Dr. Tom Shanks conducted a workshop, "Ethical Campaigning for Candidates for Public Office: Running for Office...Living Our Values."

The League of California Cities publication, "Priority Focus," featured eight cities and their ethics codes in their "Hall of Fame." Santa Clara was one of the cities. Staff noted that several other cities had copied the City's Code and Ethics & Values verbatim, rather than using the process Santa Clara followed in developing its Code of Ethics & Values. Santa Clara's process that included community meetings and discussion over several months to identify values of importance to the community, and to organize and incorporate those values into the document considered for adoption.

The City's Code of Ethics and Values was mentioned in Sunday, March 28 issue of the "San Jose Mercury News."

Dr. Tom Shanks facilitated April 27, 2004 workshop for City Council on "Ethical Campaigning for Candidates for Elective Office and their Supporters-Building and Sustaining A Council of Trust."

As part of the on-going recognition program, an invitation was mailed to all Board/Commission Members for an evening at the NASA Ames Research Center, Moffet Field, to tour the new Mars Center on June 10, 2004.

Alexander Johnny, an official with the State of Oregon Economic and Community Development, requested permission to use the City's Code of Ethics and Values. The permission was granted for use of the Code, with notation of City of Santa Clara credit.

The City Clerk prepared a document instructing those interested in running for office in the November election on "How to Get Started." The Guide includes the Election Calendar, Financial Disclosure information and information on Ethical Campaigning.

The Summer 2004 issue of the "Inside Santa Clara" newspaper included article on "Ethical Campaigning is the Goal" to help voters recognize ethical campaign activities and information on how campaigns are run. In addition, another article "On the November Ballot" provided information on Council seats open for election.

The City's ethics consultant, Dr. Tom Shanks, facilitated an August 17, 2004 workshop for City Council on "Public Service Begins With Your Campaign! — Ethical Campaigning for Public Office."

The City implemented the Ethics Ordinance Committee's recommendation to inspire community's confidence in their municipal government and the democratic process with the following actions:

- A Voters Guide was distributed as an insert in the Fall 2004 issue of the City's quarterly newspaper, "Inside Santa Clara." (Distribution included all Santa Clara residents and businesses.)

- The Voters Guide was also mailed to Board/Commission Members, service groups, colleges, former elected officials, and media.

- Information on "Vote Ethics" was published in the September and October 2004 "Mission City SCENES" utility bill inserts.

- The Voters Guide was posted on the City's website.

- "Vote Ethics" messages were also posted in announcements on the municipal government Cable Channel 15.

"Key Ethics Law Principles for Public Servants," a reference card publication of the Institute for Local Self Government, was given to Board/Commission Staff Liaisons to distribute to their Commissioners.

As part of the recognition program for Board/Commission Members, articles highlighting the Housing Rehabilitation Loan Committee and the ADA Committee appeared in the Fall 2004 City's newspaper, "Inside Santa Clara," about outstanding Commission activities.

The City Manager attended the League of California Cities Ethics Education Task Force meeting in Monterey July 29, 2004. She serves on the League's Ethics Advisory Panel.

A status report of Campaign Ethics Program and Voters Guide was presented at the October 12, 2004 City Council meeting.

A televised and open to the public forum for municipal candidates for office, called "The Final Word," was sponsored by the City and held November 1, 2004, the night before the election, to provide an opportunity to review any issues that may have arisen during the campaign, especially last minute issues. The public and candidates were invited to submit topics for discussion about issues that may exist, or to extend compliments to candidates who had conducted their campaigns in accordance with the City's Ethics & Values program. Several meetings were held between Staff, League of Women Voters, and ethics consultant Dr. Tom Shanks to prepare for this forum. Another City contacted Santa Clara and asked to copy this election-eve forum concept in their jurisdiction, and materials were shared.

As part of the recognition program for Board/Commission and Committee Members, an article highlighting the Americans with Disabilities Act Committee appeared in the Winter 2004 City's newspaper, "Inside Santa Clara." In addition, an article to solicit volunteers for Commission vacancies was also published in the same issue.

City ethics consultant Dr. Shanks mailed out a letter to all candidates thanking them for serving as role models for the City's Code of Ethics and Values and to invite them to attend a public study session after the elections for an honest assessment of the campaign.

2005

On January 10, 2005 a workshop was held to discuss ethical campaigning in the November 2004 Municipal Election. Topics of discussion included satisfaction levels with respect to campaign conduct in relationship to the City's Code of Ethics and Values, if candidates had fulfilled their promises to conduct ethical campaigns.

The Institute for Local Self Government published, "A Local Official's Reference on Ethics Laws, Principles, Prohibitions, and Consequences," and copies were distributed to the City Council as well as to the elected City Clerk and the elected Chief of Police. The City Manager and Deputy City Manager were contributors to this publication.

Council approved an updated list of employees covered under the City's Revolving Door Ordinance, City Code Chapter 2.145, including all management employees.

To implement the Council goal, "Elevate Ethics & Values program to Next Level," the City of Santa Clara co-sponsored with the Santa Clara County Cities Association a

training session on issues of ethics that are of interest to elected officials on October 13, from 7 to 9 p.m., at Santa Clara City Hall. The two-hour refresher course was based on questions submitted by the attending elected officials and focused on conflicts of interest and the role of Council Members in campaign situations. The facilitator for the series was the Markkula Center for Applied Ethics, Santa Clara University.

In October 2005 the City conducted "Harassment Prevention Training" for all managers and supervisors. The City's Code of Ethics and Values was included with the training.

The City's Code of Ethics and Values was added as a masthead in the City's publication, "Inside Santa Clara," starting December 2005 issue.

The City's Code of Ethics and Values message was added as a masthead to the employee newsletter, "City Corner."

The "2005 Annual Report/2006 Santa Clara City Calendar" focused on the Code of Ethics and Values throughout the publication, and "Living Our Values."

2006

The City of Santa Clara, in conjunction with the Santa Clara University Communications Department, conducted an ethics awareness effectiveness survey. The purpose of administering this survey was to determine if the current Code of Ethics and Values continues to reflect citizen expectations and real promises by City officials and staff and to draft practical guidelines for fostering public trust through policy development and action plans. Survey results would enable the City to effectively build on current Ethics Program successes and set appropriate standards, as well as meet Council's 2005-2007 goals.

The City's Code of Ethics and Values message was added to the monthly utility bill, "Mission City SCENES," starting March 2006 issue.

The City Manager made a presentation at a continuing education class called "Introduction to Public Administration" (PAD 400) offered by National University. Students were Santa Clara County employees. The City Manager discussed the development and history of the Ethics & Values program and answered a number of questions from the class. The presentation was very well-received.

The City Manager participated in the Ethics and Leadership Camp for Public Offices, held June 21 and 22, 2006 at Santa Clara University's Markkula Center for Applied Ethics.

Department Heads, while working on their 2006-07 budgets, were asked to apply the "Budget Principles of 2006-07," which include the value of "fiscal responsibility."

As part of the commitment to the City's Ethics and Values, Employer Negotiation Principles for discussions with bargaining units were developed and approved by unanimous vote of the City Council.

Results from the City's Ethics Survey were reviewed at an Ethics Committee meeting on August 24, 2006, and were presented by the City's ethics consultant, Dr. Tom Shanks, and the Deputy City Manager.

The City's ethics consultant Dr. Shanks facilitated an August 24, 2006 workshop for City Council on "Public Service Begins With Your Campaign! — Ethical Campaigning for Public Office."

The September issue of the City's quarterly publication, "Inside Santa Clara," again carried a "Voters Guide," renamed the "Vote Ethics Guide," as an insert, with updated topics, eye-catching graphics and a theme that "ethics in government begins at the ballot box."

The September "Mission City SCENES" utility bill insert sent to all City utility customers with their September bills had an article on the cover titled "Ethics in government begins at the ballot box," mentioning the results of the City's ethics survey and that residents want to elect individuals who embody the highest standards of ethics. The article further encouraged people to look for more information on this topic in the City's quarterly newspaper, on the City's website, and on municipal Cable Channel 15.

Results from the City's Ethics Survey were presented to the City Council on September 12 by the City's ethics consultant, Dr. Tom Shanks. An'executive summary of the survey results report was posted on the City's website.

In addition to receiving a report on the results of the Ethics Survey at the September 12 City Council meeting, Council approved the format for the Final Word Forum on November 6, the night before the election. The forum will include candidates for municipal office and representatives of those for and against the ballot measure on binding interest arbitration. Council also approved a communications plan for the 2006 Vote Ethics program, including re-mailing of the Vote Ethics Guide, three additional mailers on the program, announcements on the municipal Cable Channel 15, announcements on the Highway 101 electronic reader board, website update, video newsbriefs, and numerous other steps. Council was informed that two new URLs had been reserved to assist the public in fmding the Vote Ethics information online: voteethics.org and santaclaracampaigndollars.org. These URLs will automatically direct people to (respectively) the information on the City's Vote Ethics and Ethics & Values program found on the City's website, and to candidate campaign disclosure reports also posted online.

The City's ethics consultant and the City Clerk made a presentation on the Vote Ethics program at the Santa Clara Rotary Club on September 14, 2006, and provided copies of the Vote Ethics Guide and City's Code of Ethics & Values.

The City's ethics consultant and the City Clerk staffed a Vote Ethics booth at the September 16 and 17, 2006 Santa Clara Art & Wine Festival, engaging citizens in the topic, handing out materials such as the Vote Ethics Guide and October Utility bill insert on residents making ethics part of their candidate selection criteria, providing Voter Registration forms and accepting completed ones, etc.

October municipal utility bills sent to all City residents and businesses have the Vote Ethics emphasis in numerous areas:

- The bill envelopes are printed with the Vote Ethics graphic and the message: Ethics in government begins at the ballot box
- An inside bill "face of bill" message says: "Every vote counts in building public trust and confidence in local government."
- A second inside "face of bill" message states:
  "Ethics and values are a priority in the City of Santa Clara."
  Since 2000, the City of Santa Clara has looked to its Code of Ethics & Values to help leaders perform "at their best" in serving the community. How well do the candidates running for office on Nov. 7th embody the eight principles of the City's Code — ethical professional, service-oriented, fiscally responsible, organized, communicative, collaborative, progressive. See the separate insert for more information.
- A separate utility bill insert encouraged residents to "make ethics part of (their) candidate selection criteria," and provided a "voter checklist for evaluating candidates."
- The "Mission City SCENES" utility bill insert itself encouraged residents to check out the extra bill insert.

As part of the City of Santa Clara's Vote Ethics Program, a facilitated public forum was held November 6, 2006 during which candidates for Mayor and City Council discussed and clarified ethics-related issues, which are current during the final week of the campaign. This forum also gives Santa Clara City voters the opportunity to hear factual information to counter or clarify any campaign activity, flyers or other printed material, rumors or innuendo, etc., circulating during the fmal week of the campaign, and which raise issues of honesty, fairness, respect, responsibility, or public trust.

2007

After each election, the City has held a follow-up meeting in January to review the Ethical Campaigning program to see what worked well, and to make plans for the future. This election feedback session, Ethical Campaigning for Public Office "Public Service Begins with your Campaign" was held January 29, 2007.

Subsequent to the phone survey sponsored by the City in 2006, J.D. Franz Research was contracted to conduct another survey, "The Good Government and Public Trust Survey," in early 2007. The survey used the critical questions from the 2006 baseline study and allowed direct comparison with the baseline data. In contrast to the baseline survey, which was conducted online and on paper, the Good Government Survey was a telephone

survey. The response rate was much greater than in the earlier survey. Consequently, the findings are robust and should be considered highly representative of the opinions of residents throughout the City. The results have been analyzed and will be presented at the next Ethics Committee meeting.

The City of Santa Clara Vote Ethics Campaign 2006 program was entered in the CAPIO (California Association of Public Information Officials) 2007 Awards Contest under the Special Event or Marketing/Communications Campaign Category. Results have not been announced.

Materials from Santa Clara's vote Ethics Campaign 2006 were shared with Santa Clara University's Markkula Center for Applied Ethics for use in the Center's courses as well as their ethics program.

Council Members Kornder and McLeod, the City Manager and Deputy City Manager attended the Santa Clara University Markkula Center for Applied Ethics' Government Ethics Roundtable and participated in discussions with other government officials county-wide.

Miami Dade County, Florida, requested materials and information on the City's Ethics program, and held discussions with the Deputy City Manager about Santa Clara's program history and goals.

The March 2, 2007 issue of the *San Jose Business Journal* carried an article written by City Clerk/City Auditor Rod Diridon Jr. entitled, "It's Your Money, So Hold Public Officials Accountable."

The City applied for and was awarded the International Institute of Municipal Clerks' first inaugural Program of Excellence Award for 2007 in recognition of the 2006 Vote Ethics Program. This is one of the four top-level awards the IIMC offers, this is the only award for which a City or organization qualifies.

In addition, the Vote Ethics Campaign 2006 program was also entered in the Silver Anvil Award Contest sponsored by the Public Relations Society of America. The City's program was among the 104 finalists out of 855 total entries. The judges were impressed with the program and the marketing strategy. On June 14th, the Deputy City Manager went to New York City (at her own expense) to accept, on the City's behalf, the Silver Anvil Award of Excellence for the Vote Ethics 2006 Program.

On July 6, 2007, the City Council approved Principles and Priorities for 2007-2009. Under the category "Foster Public Trust/Demonstrate Leadership" *Advance City's Ethics Program through Analyzing And Applying Ethical Decision-Making in City Decisions with Review of Transparent Reporting* was one of the Principles.

At July 17th City Council meeting, J.D. Franz, a survey consultant, made a presentation of the Post-2006 Election Ethics Survey Results - *Assessing Progress with the City's Ethics Program.*

The 2006 Vote Ethics Program materials were shared with the City of Atascadero in August 2007 upon their request. City staff and the City's consultant have held several discussions with Atascadero staff.

On September 5, the League of California Cities announced at their annual conference that the City's 2006 Vote Ethics Campaign had won the Helen Putnam Award of Excellence — Grand Prize. The City was invited to set up and staffed a booth at the League Conference sharing information on the Vote Ethics 2006 program. To help attract visitors to the City's booth, staff handed out individually boxed CFL light bulbs obtained from the Electric Dept. The light bulb boxes were pre-labeled with the words, "Shine the Light on Ethics in Government, City of Santa Clara, www.VoteEthics.org" to help drive visitors to the City's online ethics program information. The City Manager sat on a panel discussion on Ethics Commissions vs. Ethics Committee.

Articles on City's Vote Ethics Program and Ethics Commission vs. Ethics Committee have been written and submitted to the League of California Cities "Western City" magazine. The City Manager Jennifer Sparacino, City Clerk Rod Diridon, Deputy City Manager Carol McCarthy, and Ethics Consultant Tom Shanks participated in the articles.

The League's 2008 calendar also featured the Helen Putnam Award winners, including the City of Santa Clara's Vote Ethics Program (May page).

On September 25th, Rebecca Elliot, Regional Public Affairs Manager for the League of California Cities attended the City Council meeting to present the Helen Putnam Award of Excellence Grand Prize Award to the City.

On September 27, 2007, the City of Torrance City Manager's Office contacted the Deputy City Manager requesting information on the City's Code of Ethics and Value. Information was taken from the posted materials on the City of Santa Clara's website. Additional requested documents were emailed to the City Manager, and further discussed.

Employer Negotiation Principles were developed and approved by the City Council and City Manager to guide the City's negotiations with the employee organizations. The Principles are consistent with the City's Code of Ethics and Values in all aspects of City government. The adopted Principles were distributed to the employee organizations that will be negotiating with the City this year for successor Memoranda of Understanding. The adoption of negotiation principles consistent with the City's Code of Ethics and Values was first implemented in 2003.

City Manager's Office staff assisted staff of the San Francisco Board of Supervisors in the preparation of a report to the Board regarding Elected Officials' Code of Conduct, or Code of Ethics. The report included a summary of several cities' programs, including the City of Santa Clara's program, and how compliance is achieved, in Santa Clara's case, through a behavior-based code of conduct in order to establish the maintain high standards of personal and professional conduct in government.

The City of Sunnyvale acknowledged the City of Santa Clara for their permission to reprint certain items in the Sunnyvale Election Ethics Guide.

The League of California Cities Library requested permission to post a portion of the City's Elected Officials Handbook which relates to the City's Code Ethics and Values, specifically the Behavioral Standards. Permission was granted and the City offered to scan the entire Elected Officials Handbook for the League Library.

As recommended by the Ethics Committee, an extra line item was added on the City Council agenda under REPORTS OF COUNCILORS AND SPECIAL COUNCIL COMMITTEES re: AB1234/reports regarding conference attendance.

2008

Judy Nadler, Senior Fellow in Government Ethics at the Santa Clara University Markkula Center for Applied Ethics and former Santa Clara Mayor, requested information on the City's Ethics Program for her presentation to the League of Minnesota Cities.

Dr. Tom Shanks recently came upon this United Nations-sponsored database of worldwide best practices for local governments. Two examples are given under the heading of "Ethical Campaign Practices,"—the City of Santa Clara and a project in Azerbaijan. The link is http://ww2.unhabitat.org/cdrom/TRANSPARENCY/htm1/2c_7.html The link to a specific article (based on the 2000 election) is - http ://ww2.unhabitatorg/cdrorn/TRANSPARENCY/html/box51.1itml

A mid-term review of Council goals, including the goal "Advance City's Ethics Program through analyzing and applying ethical decision-making in City decisions with review of transparent reporting" was held at a Council retreat on April 8. Dr. Tom Shanks, City's Ethics Consultant, made the presentation.

On April 15, 2008, the Council approved the document titled "The Role of the Ethics Consultant During City Election Campaigns," developed by the Ethics Consultant with the Deputy City Manager, and in consultation with the City Clerk. The document will be provided to candidates, and has been posted on the City's website to provide clarity to the role of the Ethics consultant during the upcoming 2008 Vote Ethics Campaign.

The Deputy City Manager and Ethics Consultant gave a presentation on "Ethics and Values in Public Works," to a meeting of the American Public Works Association on April 16, 2008.

On May 6, 2008, Council heard a presentation by the Ethics Consultant of an overview of the City's 2008 Campaign Ethics Program "Fostering Public Trust, Encouraging Ethical Leadership," and also reviewed the Council of Trust.

On May 20, 2008, City Council approved "Behavioral Standards for Council Members." The document will be helpful for ongoing use and also for the training and orientation of new Council Members. The document also meets the City Council's 2007-09 goal to "foster trust and demonstrate leadership" by "advancing the City's Ethics program."

City Clerk's Association Business Meeting: On September 19, the City Manager was part of a three-tiered presentation at the Northern California City Clerk's Association Business meeting held at the Santa Clara Convention Center. The session was entitled "The Professional Progress of the City Clerk-Advancing to the Next Level." In additon to the City Manager's presentation, a City Clerk and a Human Resources Manager also provided their perspective on the topic.

The City Manager attended the ICMA's 94th Annual Conference in Richmond, Virginia, on September 21-24, 2008. She will serve on the panel to discuss "Building Ethical Organization." This conference provides a good opportunity to showcase the City's Ethics and Values Program.

The Deputy City Manager worked with the Santa Clara Chamber of Commerce to schedule a Candidates Forum on October 9. 2008. The Chamber invited the Citizens Advisory Committee and "Santa Clara Weekly" to work with them on this event. The Forum was held in the Council Chambers. Staff assisted with the set up.

On August 21, 2008, Dr. Shanks, City's Ethics Consultant, held a workshop entitled, "Campaign Leadership for Public Trust: Strategies for Conducting an Honorable Political Campaign."

The Fall issue of *Inside Santa Clara* contained the Voters Guide as an insert. The Guide provided information on how voters can evaluate candidates and the type of campaign strategies they use in their efforts to win.

The Fall *Inside Santa Clara* included an article, "Listening to Candidates is Part of Making an Informed Decision." The article provided information on the Candidates Forum scheduled for October 9, 2008 and The Final Word Forum scheduled for November 3, 2008.

Utility bill insert sent to all municipal utility customers throughout the month of October, entitled, "There's a better way than drawing straws to select which candidate to vote for on November 4" provides the City's Code of Ethics and Values, along with a Vote Checklist for Evaluating Candidates.

A reprint of the Vote Ethics Guide originally mailed to very address in the City in the quarterly municipal newspaper *Inside Santa Clara,* was redistributed as a stand-alone mail piece on or about October 6. This time the *Vote Ethics Guide* was sent to all households.

An informational postcard #1 was sent to all households on or about October 14 titled, "There's a better way than flipping a coin to select a candidate" urging people to learn more about local candidates running for office.

As part of the Ethics & Values Program, and the Vote Ethics 2008 public information campaign, the City of Santa Clara wrote and filmed short videos which are airing on the City's website and on municipal government Cable Channel 15, focusing on themes from the 2008 Vote Ethics program. The videos are being released to coincide with the distribution of educational pieces that were mailed/being mailed to residents and registered voters, echoing similar messages from the mailed pieces.

Stephanie Gutowski, Staff Analyst in the Housing and Community Services Division of the Planning Department, received a special recognition from the Home Builders Association of Northern America (HBANC) at its Southern Division "Building Better Communities Night" event held October 9, 2008, at the San,Jose Rotunda. As Stephanie received her Certificate of Appreciation from Joseph Perkins, President & CEO of HBANC, the following statement was made, "The City of Santa Clara has a Code of Ethics that was designed to increase public trust and confidence in government by promoting and maintaining the highest standards of personal and professional conduct among the people who work in the City. It encourages City staff to be `at their best' every day. We are fortunate to work with someone who embodies that trust."

The Final Word Forum will be held in Council Chambers and will be broadcast live on Monday, November 3, 2008, from 7 to 9:30 p.m. on municipal Cable Channel 15. It will also be streamed live on the City's website.

In December 2008, Director of Streets/Automotive Services held a training for the Street Department employees on "Creating a Respectful Work Environment." The training was held to bring enhance workplace respect, review effective communication guidelines and build awareness of personal behavior in the workplace. The training was consistent with the City's Ethics & Values program.

A letter signed by Mayor Mahan was sent to Noelle Lopez, a Santa Clara University student, who received the prestigious Rhodes Scholarship. Ms. Lopez plans to study "Virtue Ethics" at Oxford. Since the City of Santa Clara's Ethics & Values Program strives for similar qualities of excellence, a letter was sent to congratulate Ms. Lopez on her accomplishments.

The City was informed by JoAnne Speers, Executive Director, Institute for Local Government, that the City of Santa Clara's Code of Ethics & Values had been referenced in the National League of Cities' new ethics guidebook: "The Ethical GPS: Navigating Everyday Dilemmas." Since Santa Clara's work in this area continues to be influential, the City was cited in 9 of 39 footnotes. In addition, there is an article in the publication entitled, "Evolving from Reactive to Proactive: A summary of the Santa Clara, California, Ethics Program."

2009

The City Manager was contacted by Frank Benest of Cal-ICMA regarding ICMA's publication, "Hiring 2.0." The publication promotes a number of best practices so that local governments can better align their HR systems and practices with the values of the next generation. For each best practice, a local government resource person is identified. One of the best practices in the tool kit was a "values-based ethics program." Since the City of Santa Clara had developed an exemplary ethics program, Deputy City Manager Carol McCarthy was identified as a resource person from the City. A copy of the publication was emailed to the City.

As it has after each election, the City held a follow-up meeting in January to review the Ethical Campaigning program's successes, issues, and concerns. This election feedback session, Ethical Campaigning for Public Office "Public Service Begins with your Campaign" was held January 8, 2009. The 2010 Vote Ethics Program builds on the successes and addresses the issues and concerns in a positive manner.

J.D. Franz Research was contracted to conduct a survey, "The Good Government and Public Trust Survey 2008," after the November 2008 election. Data from the 2008 post-election survey are comparable to data from both the 2006 baseline study and the 2006 post-election study. Results are being analyzed and will be presented to Council soon.

A coy of the Code of Ethics & Values was requested by the City of Gilroy. The City Clerk forwarded a copy to them.

On April 7 Council meeting, J.D. Franz of **J.D.** Franz Research, Inc. presented to Council the survey results. At the same meeting, Dr. Shanks compared the 2008 election results to the 2006 results.

Dr. Linda K. Cummins, called the City Manager's Office seeking permission to reprint the City of Livermore newsletter where the City of Santa Clara is cited. The City of Livermore advised Dr. Cummin's office that they do not own the copyright for this material and that permission to reprint this newsletter must be secured from the City of Santa Clara and University of Santa Clara. Dr. Cummins and her co-authors asked and was given permission to use this material in their textbook, *Policy Practice for Social Workers: New Strategies for a New Era,* to be published by Allyn & Bacon. This newsletter would be included in chapter 5 of the book; "The Ethics of Policy Practice."

California Ethics Summit Hosted in Santa Clara: On July 30, 2009, the City of Santa Clara hosted the first California Ethics Summit in the Council Chambers. Forty-seven City Clerk's Office professionals from throughout the state attended the summit. The City Clerk's Office organized this event. City Clerk Rod Diridon, Deputy City Manager Carol McCarthy, and the City's Ethics Consultant Dr. Tom Shanks were among those who made presentations. The sessions provided pertinent information and strategies surrounding the creation and implementation of the "foundation elements" in codes of ethics and campaign finance reform, as well as the "enforcement elements" in ethics commissions and community/voter outreach programs. The summit was a big success with positive feedback from participants.

A consultant working for the City of Palo Alto Electric Utility requested information on the pocket guide to ethics and values. A copy was mailed to him along with a copy of the backside of City business cards.

The Deputy City Manager received a request from the City of Benecia for information on setting up The Final Word Forum for candidates. A sample of the Press release used to advertise the event; letter to candidates reminding them of important City meetings/events; The Final Word ground rules were provided.

Dublin City Council established, as a high priority goal for FY 2009-10, the exploration of an election ethics program. They asked the City of Santa Clara's authorization to use parts of as a basis for their potential ethics program.

Received an email from Susan Buckles of City of Bainbridge Island, WA, Ethics Board. The City is in the process of revising their ethics code, and included a Preamble and expanded section on values. They borrowed heavily from our Preamble, and wanted to acknowledge that by including a footnote crediting our program.

11 x 17 posters of the Code of Ethics and Values were laminated to be placed on all Conference Room bulletin boards around City facilities.

Provided information on the City's Code of Ethics and Values to Laura Lohnes, Civil Service Manager, City of Torrance.

2010

On January 12, 2010, City Council approved Behavioral Standards for Public Meetings. In addition, Council approved the Voluntary Campaign Expenditure Limits from $30,000 to $35,000.

City of Santa Clara's Ethics Program featured in December 2009 issue of League of California Cities publication, "Western City."

Laminated Posters re Code of Ethics & Values and Behavioral Standards for Public Meetings were posted on bulletin boards of all conference rooms at City facilities.

On July 6, 2010, under Special Order of Business, Dr. Tom Shanks made a presentation, "Fostering Public Trust, Encouraging Honorable Campaigns," which included a review and discussion of "The Council of Trust," the candidate version of the Code of Ethics & Values, and the recently revised State Code of Fair Campaign Practices. These three documents provide behavioral standards for the City Council, candidates and others involved in City election.

On August 24, 2010, Dr. Tom Shanks conducted a workshop, "Campaign Leadership for Public Trust." The workshop taught candidates for 2010 election the strategies for

conducting honorable campaigns. "Candidate Guide to Building Public Trust" was distributed. All candidates signed the voluntary campaign expenditure limits and a voluntary pledge to campaign ethically.

"Inside Santa Clara," the City's quarterly newspaper included an insert on Vote Ethics. The insert included information on how voters can evaluate candidates and the pe of campaign strategies they use in their efforts to win.

The September and October 2010 utility bill included an insert, "Ethical Campaigning—Check it Out!

The September 2010 issue of Mission City SCENES published an article, "Ethics in Government Begins at Ballot Box."

Conducted Candidates Forum on September 20, 2010. the League of Women Voters organized the Forum.

A Vote Ethics postcard was mailed to all households entitled, "Candidates Have Choices...So Do You" in October 2010.

Shared information with the City of Riverside about the City's Ethics Program, how we incorporate our Ethics & Values into the workplace, inclusion of the importance of E&V into Job Descriptions for management positions, etc.

The City's Ethics Consultant, Dr. Tom Shanks, set up a booth at the Farmers Market and distributed information on the City's Vote Ethics program.

Final Word Forum was held November 1, 2010. This Forum provides an opportunity to candidates to discuss last minute issues before the election Dr. Tom Shanks was the Forum moderator.

Barbara Otis of the County of Napa contacted the City for information on the City of Santa Clara's Ethics & Values Program and Behavioral Standards for Board/Commission Members and Council Members. The Deputy City Manager provided the information, and also referred her to the City's website.

2011

In lieu of a post election assessment meeting of candidates and their supporters, Dr Shanks developed a Public Feedback Form for the City's website. Dr. Shanks also met with some candidates one-on-one to discuss the candidate's campaign efforts. A press release was mailed to media asking for public feedback.

In June, Dr. Shanks gave a presentation on Ethics to the Santa Clara Leadership program participants.

In September, Dr. Shanks gave a presentation to the Charter Review Committee members on At Large Elections. Dr. Shanks message to the group was to utilize the practical tools he taught for individual's self-reflection and for group discussion and provide a criteria to test whether actions and decisions are likely to build public trust.

In September, the City Clerk fielded inquiries from Gilroy about the Vote Ethics Outreach program and provided advice on implementing a program similar to City of Santa Clara. The Senior Staff Aide provided budget figures from past elections on the Vote Ethics materials and program activities.

The Ethics Pocket Card was emailed to the City of Riverside at t heir request..

The December issue of the League of California Cities magazine, *Western City,* includes an article by Dr. Shanks and mentions Santa Clara's Ethics Program and the steps the City has taken to build public trust..

Last Updated: December 19, 2011

Electronic Filing System

PUBLIC ACCESS PORTAL

The Public Access Portal contains financial information provided by office holders and committees. It can answer questions about who is contributing money, who is receiving money, and how it is being spent. Use the Public Access Portal to research campaign contributions and expenditures, review campaign statements filed by office holders, or examine a committee's filing history.

Get Started Now »

FILER ACCESS PORTAL

The Filer Access Portal is a web-based, data entry filing system that allows office holders and campaign committees to submit disclosure reports mandated by California's Political Reform Act to the Electronic Filing System free of charge. Use the Filer Access Portal to create electronic campaign statements. Before you begin you must have received your Electronic Filing System filer identification number and password. To get a filer identification number and password for your committee, call the City Clerk's office at (408) 615-2220.

Get Started Now»

esources

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City of Santa Clara
1500 Warburton Avenue
Santa Clara, CA 95050

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- Email Us

M I A

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There are basic principles of decency, honesty, and fair play which every candidate for public office in the State of California has a moral obligation to observe and uphold in order that, after vigorously contested but fairly conducted campaigns, our citizens may exercise their constitutional right to a free and untrammeled choice and the will of the people may be fully and clearly expressed on the issues.

THEREFORE:

(1) I SHALL CONDUCT my campaign openly and publicly, discussing the issues as I see them, presenting my record and policies with sincerity and frankness, and criticizing without fear or favor the record and policies of my opponents or political parties that merit this criticism.

(2) I SHALL NOT USE OR PERMIT the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or his or her personal or family life.

(3) I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on a candidate's actual or perceived race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age, sexual orientation, sex, including gender identity, or any other characteristic set forth in Section 12940 of the Government Code, or association with another person who has any of the actual or perceived characteristics set forth in Section 12940 of the Government Code.

(4) I SHALL NOT USE OR PERMIT any dishonest or unethical practice that tends to corrupt or undermine our American system of free elections, or that hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.

(5) I SHALL NOT coerce election help or campaign contributions for myself or for any other candidate from my employees.

(6) I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE support deriving from any individual or group that resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics that I condemn. I shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.

(7) I SHALL DEFEND AND UPHOLD the right of every qualified American voter to full and equal participation in the electoral process.

I, the undersigned, candidate for election to public office in the State of California or treasurer or chairperson of a committee making any independent expenditures, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct my campaign in accordance with the above principles and practices.

_____

Signature Date

_____

Printed Name

_____

Date of Election

(Division 20, Chapter 5, Elections Code.)

Chapter 5. Fair Campaign Practices

Article 1. General Intent

20400. The Legislature hereby declares that the purpose of this chapter is to encourage every candidate for public office in this state to subscribe to the Code of Fair Campaign Practices.

It is the ultimate intent of the Legislature that every candidate for public office in this state who subscribes to the Code of Fair Campaign Practices will follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested, but fairly conducted campaigns, the citizens of this state may exercise their constitutional right to vote, free from dishonest and unethical practices which tend to prevent the full and free expression of the will of the voters.

The purpose in creating the Code of Fair Campaign Practices is to give voters guidelines in determining fair play and to encourage candidates to discuss issues instead of untruths or distortions.

Article 2. Definitions

20420. As used in this Chapter, "Code" means the Code of Fair Campaign Practices.

Article 3. Code of Fair Campaign Practices

20440. At the time an individual is issued his or her declaration of candidacy, nomination papers, or any other paper evidencing an intention to be a candidate for public office, the elections official shall give the individual a blank form of the code and a copy of this chapter. The elections official shall inform each candidate for public office that subscription to the code is voluntary.

In the case of a committee making an independent expenditure, as defined in Section 82031 of the Government Code, the Secretary of State shall provide a blank form and a copy of this chapter to the individual filing, in accordance with Title 9 (commencing with § 81000) of the Government Code, an initial campaign statement on behalf of the committee.

The text of the Code shall read, as follows: **(See "CODE OF FAIR CAMPAIGN PRACTICES" on reverse side).**

20442. The elections official shall accept, at all times prior to the election, all completed forms which are properly subscribed to by a candidate for public office and shall retain them for public inspection until 30 days after the election.

20443. Every code subscribed to by a candidate for public office pursuant to this chapter is a public record open for public inspection.

20444. In no event shall a candidate for public office be reqUired to subscribe to or endorse the code.

City of Santa Clara
ETHICS & VALUES PROGRAM

1500 Warburton Avenue • Santa Clara, CA 95050

VOTE ETHICS

THE COUNCIL OF TRUST 2014

GOOD GOVERNMENT AT OUR BEST EVERY DAY

Giving voice to Santa Clara's Core Values at this pivotal moment in the City's history, the City Council has adopted this vision for Campaign 2014. The Council reaffirms its commitment to *Good Government Guiding Principles* and *Council of Trust Norms and Best Practices,* revised for Emerging Santa Clara.

GOOD GOVERNMENT GUIDING PRINCIPLES

We foster public trust when our decisions:

1. Honor the letter and the spirit of the law.
2. Do the greatest good and the least harm.
3. Treat everyone equitably and with respect.
4. Fulfill our duties and protect individuals' rights.
5. Advance the community's best interests and give voice to the City's *Core Values.*

City of *Santa* Clara

Good Government At Our Best Every Day

ITRIGS • PROFESSIONAL • SEANCE-ORIENTED- FISCALLY IESPONSIBL f • ORGANIZED • COMMUNICATIVE • COLLABORATIVE • PROGRESSIVE

COUNCIL VISION FOR CAMPAIGN 2014

As a Council of Trust, we pledge to conduct and support campaigns which increase public trust in Santa Clara's government. We will work individually and as a Council to foster honorable campaigns, trustworthy leadership, and increased participation by an informed public who holds candidates positively accountable for keeping their public promises to conduct honest and fair campaigns.

COUNCIL OF TRUST NORMS AND BEST PRACTICES

These norms and best practices guide the Council of Trust during an election:

1. HONOR THE LETTER AND SPIRIT OF THE LAW

- Look at the law and also at *the right thing to do.*
- Hold yourself and each other to the higher standard.
- Avoid the impression of representing the City, overstating our contributions or authority.
- Arrive at ground rules with your opponents beforehand, if at all possible.
- Have something written stand the test of time.

2. TREAT EVERYONE EQUITABLY & WITH RESPECT

- Assume all are here for service of the City.
- Avoid finger-pointing.
- Don't jump to conclusions.
- Practice the Golden Rule. Treat others as you want to be treated when you are at your best.
- Maintain a sense of humor.

3. DO THE GREATEST GOOD...

- Don't assume you know someone else's motive.
- Wait. Get facts. Discuss.
- Talk to each other. Go directly to the other person.
- Appoint and empower a "staff conscience" to help when time is short and you are stressed.
- Take the responsibility of the office seriously. Don't take yourself too seriously.

4. ...AND THE LEAST HARM

- Think strategically. Educate.
- Rely on facts and interpret them as fairly as you can.
- Make clear to all your workers and third parties how you are running your campaign and what you will do if anyone unfairly attacks an opponent.
- Do everything possible to reduce the damage to public trust after unfair third party attacks.

5. FULFILL DUTIES/PROTECT PEOPLE'S RIGHTS

- Separate role as Council Member from role as candidate. Honor your role as a Council Member. Act as a member of the Council Team.
- Tell the truth. Don't mislead.
- Respect the process. Respect City resources.
- Communicate your ethics clearly ahead of time to your staff and workers.

6. ACT ONLY IN THE COMMUNITY'S BEST INTERESTS

- Honor the common good. Represent community.
- Communicate consistently that ethics is up front in this campaign. Explain ethics reasons for decisions.
- Ask the ethics questions by habit. Use the decision-making tool and especially ask "How does this decision build public trust?"
- Set a high standard for what you expect to see when you look at yourself in the mirror at the end of the day.

Election Information

Overview

The Municipal Elections are held in November of even numbered years. The elective officers of the City consist of a City Council made up of six Councilmembers and a directly elected Mayor, the Chief of Police and the City Clerk, who are elected in a non-partisan election.

City Council Districts

Santa Clara City Councilmembers are elected by District, pursuant to the court order issued in July 2018. There are six districts (see City Council District map) in Santa Clara.

- Only registered voters who reside within the Council district open for an elected Council seat may run for office.
- Only those registered voters that reside in the Council district up for election may vote for their respective candidates.
- The Mayor, Chief of Police and City Clerk serve at-large.
- The Mayor and the City Council are elected to four-year overlapping terms. Each may serve a maximum of two consecutive terms.
- The City Clerk and the Chief of Police are also elected to four-year terms with no term limits.

For More Information

Hosam Haggag, Elected City Clerk Nora Pimentel, MMC, Assistant City Clerk
City Clerk's Office
408-615-222oV
email clerk@santaclaraca.gov

Frequently Asked uestions on City ampaigns

City Council District Map

General Information

Outreach Information

Conflict of Interest Code - FORM 700

Campaign Regulations

Campaign Disclosure Forms & Filings

Expand/Contract Questions and Answers

What is changing about Council member elections in the City of Santa Clara?
How is the new Council election system different?
When do the Council Districts go into effect?
How were the District boundaries determined?
Will all Council member votes have equal weight?
Will District Council members vote on issues that are outside of their district boundaries?
How do I know which Council District I live in?
Who is eligible to run for a District Council member position?
How do I find out who is running for each Council District?
Who is eligible to vote for a District Council member position?
How do I know if I'm registered to vote?
Do I have to change my voter registration to be eligible to vote for my District Council member?
Is it too late for me to become a candidate for my District Council seat on the November ballot?
Is the election system for electing Mayor changing?
Is the election system for electing Chief of Police changing?
Is the election system for electing City Clerk changing?

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Is the election system for electing Chief of Police changing?

Is the election system for electing City Clerk changing?

Last Updated:

10-13-2022

November 4, 2(314 Municipal Election Candidates and Ballot Statements

Here is the official list of candidates for the November 4, 2014 General Municipal Election in the City of Santa Clara.*

For City Mayor:

Deborah Bress - Small Business Owner

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

Jamie L. Matthews - Mayor, City of Santa Clara

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

For City Council Seat 2:

Karen Hardy - Technology Science Teacher

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

Mohammed Nadeem - Professor/Businessman

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

Patrick Kolstad - Santa Clara City Council Member Seat 2

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

For City Council Seat 5:

Kevin Park - Scientist/Engineer/Teacher

Read Candidate **Ballot Statement:** English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

Roseann Alderete LaCoursiere - Retired Businesswoman

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

Dominic Caserta - Economics Teacher

Read Candidate Ballot Statement: English • Chinese • Hindi • Korean • Portuguese • Spanish • Tagalog • Vietnamese

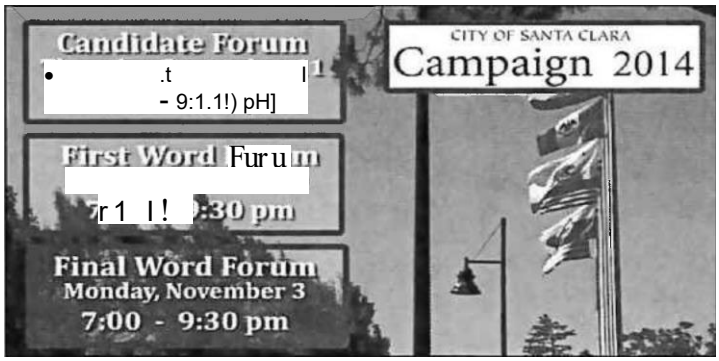
**Candidates are listed in the order they will appear on the ballot.*

Last Updated:

07-23-2015

2014 Candidate Forums

Please click on the links below to watch the 2014 Candidate Forums.



September iith Candidate Forum

October 9th First Word Forum

November 3rd Final Word Forum

More information about all the forums can be found here.

Rebroadcast Schedule: Forums can be viewed on Santa Clara City Channel 15 or AT&T Channel 99.

Forum	Rebroadcast Dates/ Times
Sept. 11 Candidate Forum	Sept. 12 - 7pm Sept. 13 - 11am Sept. 26 - 7pm Oct. 8 - 7pm Oct. 10 - 3pm Oct. 11 - 7am Oct. 17 - 3pm Oct. 24 - 3pm Nov. 2 - 7am Nov. 4 - 6am
Oct. 9 First Word Forum	Oct. 10 - 7pm Oct. 11 - 11am Oct. 17 - 7pm Oct. 24 - 7pm Nov. 2 - 11am Nov. 4 - 10am
Nov. 3 Final Word Forum	Nov. 4 - 2pm

Last Updated:

05-26-2016

2014 Candidate Forums

Please click on the links below to watch the 2014 Candidate Forums.

September nth Candidate Forum

October 9th First Word Forum

November 3rd Final Word Forum

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Nov. 3 Final Word Forum	Nov. 4 - 2pm

Last Updated:

65-26-2016

The Role of the Ethics Consultant During City Election Campaigns

Approved by City Council on April 15, 2008

A. The Ethics Consultant will:

1. facilitate the August workshop for candidates for elective office, their consultants and volunteers. Media and the public are also invited to this workshop
2. facilitate the Final Word Forum the night before the election
3. facilitate the January post-election review for all candidates, their consultants, and others involved in the campaign. This review recognizes candidates and campaigns which build public trust, discusses the successes of the Vote Ethics citizen outreach, suggests Ethics Program goals for future campaigns, and discusses practical ways to continue to build public trust during future campaigns. Media and the public are also invited to this review
4. be available in the week following the August workshop to meet with candidates in specific races. This is a voluntary meeting to open lines of communication between candidates and to explore ground-rules and other methods to resolve communication issues during the campaign. The consultant would speak publically about the meeting only to correct any misrepresentation of the meeting
5. during the campaign, be available to facilitate communication, problem solving, and any issues with ground-rules candidates have agreed upon
6. discuss any general ethical issues candidates may have about flyers they are planning to send. The consultant will help candidates make their own decisions about such flyers by assisting them in working through the questions on the City's "pocket card" for making an ethical decision (distributed during the August workshop)
7. facilitate communication and problem-solving between candidates regarding mailers which candidates believe raise issues of honesty, fairness, respect, or public trust for the elected position sought. The consultant facilitates the clarification of any disputed facts by initiating direct communication between candidates or by other means. Candidates make any final decision about remedying honest mistakes, raising ethics issues during campaign debates, or suggesting unresolved ethics issues for potential discussion at the Final Word Forum
8. serve as an ethics and public trust resource for Council Members who are not running for election, but who wish to discuss potential ethics or public trust issues in their support of particular candidates
9. send written suggestions on the ethics of candidate forums to all organizations sponsoring such forums and offer to meet in person to discuss ethics issues involved in structuring such a forum.
10. serve as resource to the City Manager, Deputy City Manager and the City Clerk (as Elections Officer)

B. The Ethics Consultant will not:
1. review flyers, mailers, or other campaign materials prior to their public distribution
2. advise candidates on general campaign strategies and tactics
3. become involved in ethics complaints which appear to be primarily political, part of campaign strategy, or which involve legitimate interpretations candidates may make of each others' records, policies, or qualifications

March 31, 2008

Santa Clara
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Ai-America City

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City of Santa Clara

Ethics & Values Program

1500 Warburton Avenue
Santa Clara, CA 95050
(408) 615-2210

CANDIDATE GUIDE TO BUILDING PUBLIC TRUST

RESOURCES FOR HONEST, FAIR, AND RESPECTFUL CAMPAIGNS IN THE CITY OF SANTA CLARA

MUNICIPAL ELECTION
NOVEMBER 2, 2010

Thomas E. Shanks, Ph.D.
Santa Clara Ethics & Values Consultant

The Ethics Company
teshanks@comcast.net
408-529-5318

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A. **INTRODUCTION TO THE *CANDIDATE GUIDE***

Over the next few months, Santa Clara voters will choose a Mayor and two Members to join the City Council as it addresses complex projects, critical policy issues, and at least three significant challenges facing every municipal government today:

1. How can we meet the needs of our residents and businesses, but spend less money?
2. How do we serve the public's best interests when the public itself is unclear or divided about those interests?
3. With public trust in government at its lowest point in 50 years, how do we strengthen good government in this City and build public trust in its leaders?

Wise and sustainable solutions to these issues will require robust public discussion, constructive Council deliberations, and trustworthy leadership. For candidates, the challenge of Campaign 2010 is to give voters the information they need to elect a Council they trust. For voters, the challenge of Campaign 2010 is to elect leaders who will work every day *at their best* for all the people of Santa Clara.

Honorable campaigns are the best guarantee that Campaign 2010 will meet these challenges. Candidates and voters have told us repeatedly over the past ten years that honest, fair, and respectful campaigns are a prerequisite for good government in Santa Clara. Three City surveys show clearly that ethical campaigns are fundamental to building public trust in the candidate, the Council, and the City. Public trust grows as candidates demonstrate trustworthy *leadership from the top,* deep regard for what the public thinks, promise-keeping, and an active commitment to putting the people and the City first.

Like any political race, honorable campaigns can be hard-fought, passionately argued, and competitive. The fight, however, is about issues; the argument is over the best way to meet public needs; and the competition is between generous and talented neighbors in a race to provide public service.

This *Candidate Guide to Building Public Trust* is a set of important resources and short articles to help Santa Clara candidates conduct honorable campaigns in the best interests of the City. The *Guide* presents need-to-know information, important dates, useful tools and other material.

Whether this is your first campaign or your fifth, you will find this *Guide* worth reading, applying, guiding, and challenging you and your campaign to be *at your best every day* promoting good government and building public trust in Santa Clara.

Candidates will discuss the *Guide* on August 24th (see p. 3). For any other questions, contact the City's Ethics Consultant, Dr. Tom Shanks (see p. 19).

B. PROGRAM CALENDAR

Please plan now to attend these events of central importance to the City's Campaign Ethics and Vote Ethics Programs. All will be held in Council Chambers. Additional details and ground-rules will be sent prior to each event.

1. AUGUST 24, 2010 7:00-9:30 P.M.

CAMPAIGN LEADERSHIP **FOR PUBLIC TRUST: STRATEGIES FOR CONDUCTING AN HONORABLE POLITICAL CAMPAIGN** IN 2010

This is the core workshop for all candidates, consultants, and key volunteers, as well as members of the public and media. It is very important that all six candidates attend. Candidates are invited to bring key volunteers. Participants will discuss campaign behavior that strengthens or harms public trust, as well as practical strategies for running successful and honorable campaigns. Candidates will be asked to identify specific campaign behaviors to practice and to avoid, review the resident checklist for assessing campaigns, and will discuss effective repudiation of third party attacks. Candidates will be invited to sign the City's Code of Ethics & Values and the State's voluntary Code of Fair Campaign Practices.

2. SEPTEMBER 20, 2010 7:00-9:00 P.M.

CANDIDATES FORUM

By City of Santa Clara policy, a single televised Candidates Forum is allowed to be held in Council Chambers, to be broadcast live on Municipal Cable Channel 15 and re-broadcast four times. The League of Women Voters or another neutral outside organization organizes this Forum. The Forum will be for candidates for City of Santa Clara elected office only.

2. NOVEMBER 1, 2010 7:00-9:00 P.M.

FINAL WORD FORUM

This public, televised Forum focuses on how well candidates fulfilled the promises they made to conduct honest, fair, and respectful campaigns. Dr. Shanks will select topics for discussion with assistance from the League of Women Voters and other neutral third parties who neither support nor oppose candidates. Open for discussion are any mailers received in the final week before the election, as well as campaign materials or strategies that raise issues of honesty, fairness and respect from any time during the campaign. No questions are taken at the event, but candidates and citizens are invited to suggest issues and compliments ahead of time.

3. JANUARY 5, 2011 7:00-9:00 P.M.

POST-ELECTION DEBRIEF SESSION

All candidates, residents, Council members, media, and other interested parties are invited to attend this open public debriefing. Having had enough time to gain some perspective on the election, we will discuss behaviors that made us proud, built public trust, and advanced the City's values. We also begin to develop a vision for the next election and the practical strategies to accomplish it. It is important for all candidates to attend this session, regardless of the outcome of the election.

C. HOW DID I BUILD PUBLIC TRUST TODAY?

Santa Clara's Ethics & Values Program is a public trust program. Its purpose is to foster *the public's confident reliance that their government works at all times, in public and in private, only for the best interests of all the people of Santa Clara.* (The italics are the way we define *public trust* in Santa Clara.)

In Santa Clara, building public trust and fostering good government are part of everyone's job description.

WHY IS PUBLIC TRUST SO IMPORTANT?

Ours is a government of the people. The people select representatives to work together for the best interests of all. From a purely practical point of view, voters need to trust their representatives enough to let the elected official do his or her job without constant monitoring.

Public trust is much more than just a practical concern. It is an absolute necessity No public official or government at any level can succeed or survive without public trust. The authority to govern, the *Declaration of Independence* says, comes from the "consent of the governed." Voters give that authority only to people they trust.

The *U.S. Constitution* is the document "We the People" wrote containing the detailed rules for how the authority to govern was to be administered. The people trust every government official to operate according to the people's rules. Article 2 of the *California Constitution* makes this point clearly and specifies what happens when people lose trust in their government:

> All political power is inherent in the people. Government is instituted for their protection, security, and benefit, and they have the right to alter or reform it when the public good may require.

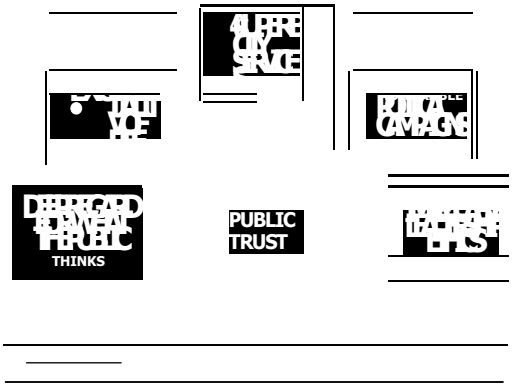
Consequently, public trust, like good government and ethical leadership, is not an add-on, an optional extra, or an occasional concern. It must be a central concern for everyone who seeks or holds public office. To ignore public trust, take it for granted, or do anything less than actively build it creates unnecessary risk for the success of your campaign and the government you wish to join. To make public trust a part of every decision and decision-making process during and after the campaign, ask the right questions at the right time:

- "How will this action build public trust? Why is it the right thing to do?" Ask yourself (and have close associates ask you) these two questions before you comment about an opponent, publish a flier, finalize your campaign strategy, agree to a volunteer's suggestion, or decide to speak.
- "How did I build public trust today?" can spark a powerful daily reflection on the positive impact of your campaign and your public service. It can also lead to a candidate's own personal assessment of areas for improvement, skills to learn, and other ways to commit to the continuous improvement process the City adopted when it began to implement the *Code of Ethics & Values.*

D. BUILDING PUBLIC TRUST IN SANTA CLARA

The City of Santa Clara *Good Government Survey,* conducted over the last three election cycles, found that public trust in Santa Clara rests on six beliefs residents hold about the City, City officials, and candidates. Trust rises or falls to the extent that residents perceive that:

1. **City officials follow the law.** The law is the minimum expectation, the "floor," not the "ceiling." Breaking the law destroys public trust, but simply following the law does not actively promote it.



To earn public trust, City officials must be able to say more than, "We followed the law today." Through actions first, and then words, City officials and candidates must be able to show that they:

2. **have deep regard and respect for the public, especially for what the public thinks and says**
3. **work tirelessly to create an excellent quality of life in the City**
4. **deliver consistently superb City services**
5. **conduct, support, and endorse honorable candidates and political campaigns**
6. **act with integrity, display impeccable ethics, and show respect to one another and City staff.**

If any one of these six fundamentals declines or disappears, public trust tumbles. Once weakened or destroyed, public trust takes a very long time to grow.

Public trust is the result of positive action, not empty words. It grows when the people have regular experiences of what they judge to be honorable campaigns, good government, and trustworthy leadership. Attempts to manipulate public trust and treat it like public relations "spin" will usually backfire and hurt public trust more. So, the first rule for Santa Clara candidates is "Actively build good government and public trust."

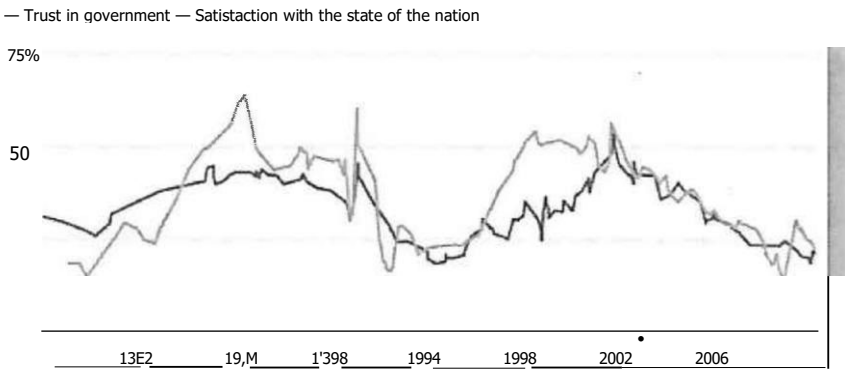
The second rule is, "Communicate your commitment to good government and public trust." If government officials never talk about what they have done to foster public trust, most members of the public will never know. Give the public action-based reasons they should trust you, your Council, your City, and government at large.

One way to do this is to describe the question you asked yourself ("How will this action build public trust?"), why you asked it, how you arrived at the answer, the answer you reached, and the action you took. Another way is to publicly recognize someone in your campaign for the "Good Government" action of the week.

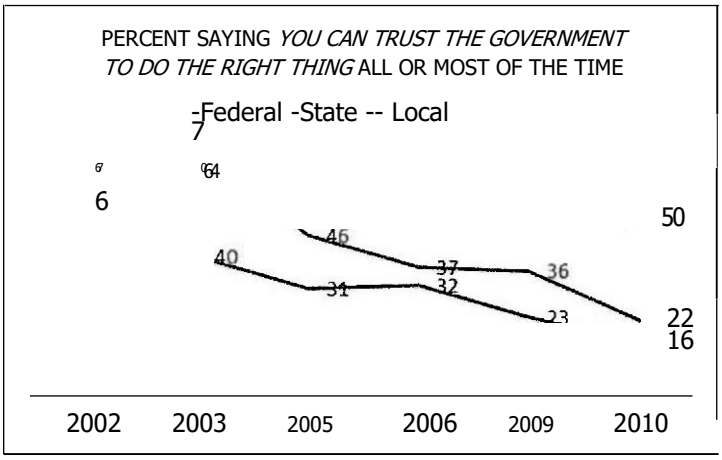
E. THE URGENT NEED TO FOSTER PUBLIC TRUST IN 2010

Public trust is most at risk during political campaigns. Residents believe campaign conduct has improved over the last three elections. Yet, the majority still believes candidates lie about themselves and about their opponents. Large numbers believe candidates would do anything to win and will take no action to prevent or stop supporters from unfairly attacking opponents.

Public trust is even more at risk in Campaign 2010 because, as the chart shows, public trust in government at all levels has now dropped to its lowest point in 50 years. In April, NPR reported that just 22% of American people said that the government can be trusted to do the right thing. By July, according to the Gallup Poll, the number had dropped to 11%.



Mirroring the seismic displeasure of Americans with their government, this past April the national Rasmussen Poll reported that *government ethics and corruption* had become the most important issue for Americans (84%), more important than the economy (81%) and healthcare (72%).



Most alarming for local government officials are recent Gallup poll and Public Policy Institute of California data showing that trust in local government is also dropping.

Local trust is traditionally very stable, with just under 70% having high trust. The chart shows a drop of 10% in the last year alone. The economic crisis is likely to add momentum to that slide.

The fragile nature of public trust makes it imperative that candidates do no further harm. A strong case can also be made that candidates must do more than the minimum. In addition to avoiding untrustworthy conduct, candidates might take concrete action to rebuild trust in local government. Candidates might consider asking volunteers or the public for suggestions the candidate could implement.

F. TRUSTWORTHY LEADERSHIP

What residents expect from the City is good government. What they look for in candidates is trustworthy leadership. The *Code of Ethics & Values* was designed as a practical guide to both.

To develop the Code, the City asked itself: **When we are *at our best* earning the public's trust as City officials, City staff, and candidates, what core values do we practice? How do we treat one another and City residents?**

Tvustworthv Leaders.

Residents said that public trust increases when City officials:

- Are honest and tell the truth to citizens, colleagues, and staff;
- Are dependable and do what they say they will do;
- Make prudent financial decisions, taking into account both short-term needs and long-term financial stability;
- Act with integrity, and seek to do the right thing for the City in public and in private;
- Take responsibility for their actions, even when it is uncomfortable or unpopular to do so;
- Make impartial decisions, free of any interests that might compromise or appear to compromise their independence of judgment;
- Are accountable, willing to explain actions and to accept fair consequences when they make mistakes.

After a lengthy public process, the City reached consensus on its core values: At our best, we are ethical, professional, service-oriented, fiscally responsible, organized, communicative, collaborative, and progressive.

The ethical core value provides the answer to how candidates and public officials treat one another and City residents. The behaviors which foster public trust are listed in order of importance in the *Trustworthy Leaders* chart.

For each City value, the *Code* lists the core character traits residents expect to see in a leader who practices that value.

Residents also expect the same values and behaviors from candidates. For example, first-time candidates may not have had the opportunity to make Council-level financial decisions, but voters expect all candidates to follow the Campaign Finance Ordinance, file accurate financial reports, and make good decisions about money spent during and after the campaign.

The *Behavioral Standards for Council Members* (included in the *Additional Resources* section beginning on p. 26) is another important tool. For each of the *Code's* values and character traits, a representative list of specific Council behaviors that build public trust in that area are listed, along with specific behaviors to avoid. The lists are not exhaustive, but they give Council members and residents enough examples to judge areas of strength and areas for further development. Candidates should become familiar with these behavioral standards.

G. GOOD GOVERNMENT GUIDING PRINCIPLES

The *Code of Ethics & Values* takes a core values approach: it names the value, describes important character traits, and identifies representative behaviors.

The *Good Government Guiding Principles* take a different approach and are used for practical decision-making. These are norms or principles which prescribe a particular course of action and provide more specific guidance for behavior. The Golden Rule, "Treat others as you want to be treated," is another useful principle and is found in most cultures on the planet.

GOOD GOVERNMENT GUIDING PRINCIPLES

We foster public trust when we:

1. Honor the spirit and the letter of the law.
2. Treat everyone equitably and respectfully.
3. Do the greatest good and the least harm.
4. Impose the lightest burden possible.
5. Fulfill our duties and protect personal rights.
6. Act only in the community's best interests, guided by the City's *Code of Ethics & Values.*

City of Santa Clara

At *Our Best Every Day For Public Trust*

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These principles build relationships, protect individuals and communities, and consider both the end result and the means we used to get there. They are built on law, have stood the test of time, and cut across cultures.

Good Government Decision-Making Process

Trustworthy leaders follow the law and make decisions after:

- Carefully considering the facts and staff recommendations
- Listening carefully to the interests of all stakeholders

*. Developing a number of good options for action

- Choosing the option which best meets these standards:
  - Positive consequences outweigh negative ones
  - An individual's rights are protected and advanced
  - o. Everyone is treated with dignity and respect
  - The action is fair, just, and equitable
  - The action is best for the community as a whole
  - The action best advances the City's Core Values
- Test 1: If I do this, who wins? Who loses? Why? Should we consider different options? What do others think of our reasoning? Why is this the right thing to do?
- *Test* **2:** Explain your reasoning to someone harmed by it.

Trustworthy leaders take action and learn from each decision.

They can be particularly helpful when the decision is difficult, when someone will be hurt no matter what the decision-maker does, or when decision-makers need to choose between two good options.

In the chart to the left (taken from the City's Pocket Card on p. 18), good government principles are used as standards to assess how well the decision promotes good government.

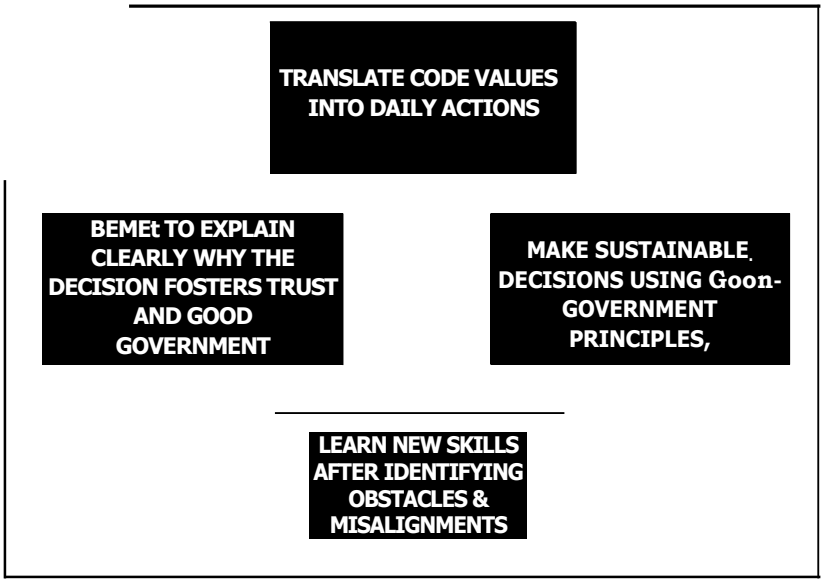
After making sure the decision is legal, the decision-maker goes through the first three bullets in the process.

The decision-maker then identifies the two most likely courses of action and uses the good government principles to evaluate each one. The sustainable action or policy is the one that satisfies all of the principles: It does more good than harm, treats individuals with dignity and respect, is fair, treats everyone the same, is best for the community as a whole, and advances the City's Core Values.

When we meet all principles, everyone wins. If the decision must cause harm, we go out of our way to impose the lightest burden possible. Sustainable solutions require imagination, tenacity, and courage by candidates and elected officials.

H. BIG IDEA: THE HABITS OF TRUSTWORTHY LEADERSHIP

One of the big ideas behind the success of the City's Ethics & Values Program is that trustworthy leadership is a continuous improvement process, involving four skills which, over time, can become habits for trustworthy leaders. Think of them as four questions to ask about any campaign or policy decision:



1. Is this consistent with the City's core values and trustworthy leadership behaviors?
2. Is my decision consistent with good government principles? Why is it the right thing to do?
3. Have I communicated why this is a trustworthy decision?
4. If I dropped the ball or made a mistake, what skill do I need to learn and what have I done to learn it or to improve it in my campaign?

I. CAMPAIGN ETHICS PROMISES

With public trust, good government, and trustworthy leadership as the goals, candidates are invited to "voluntarily endorse, subscribe to, and solemnly pledge" that they will follow the specific practices described in the State's *Code of Fair Campaign Practices* and the City's *Code of Ethics & Values.* (These documents can be found on the following pages.)

At the August 24th workshop, candidates are invited to sign both documents. A candidate who signs these documents:

- Publicly commits to conducting a campaign that meets or exceeds the values and practices described in these Codes
- Invites the public to hold him or her accountable in the ballot box for building public trust by meeting or exceeding the principles and practices in the two Codes

Note that the State of California recently expanded Practice 3 of the *Code of Fair Campaign Practices.* Candidates and their supporters should take steps to prevent negative prejudice of any kind toward individuals or their associates.

OLD VERSION	NEW VERSION
I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on race, sex, religion, national origin, physical health status, or age.	I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on a candidate's actual or perceived race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age, sexual orientation, sex, including gender identity, or any other characteristic set forth in Section 12940 of the Government Code, or association with another person who has any of the actual or perceived characteristics set forth in Section 12940 of the Government Code.

Santa Clara
btal
All-America City

City of Santa Clara, CA
Code of Ethics & Values

City Council approval April 4, 2000; modified August 21, 2001

2001

PREAMBLE

The proper operation of democratic government requires that decision-makers be independent, impartial, and accountable to the people they serve. The City of Santa Clara has adopted this Code of Ethics and Values to promote and maintain the highest standards of personal and professional conduct in the City's government. All elected and appointed officials, City employees, volunteers, and others who participate in the city's government are required to subscribe to this Code, understand how it applies to their specific responsibilities, and practice its eight core values in their work. Because we seek public confidence in the City's services and public trust of its decision-makers, our decisions and our work must meet the most demanding ethical standards and demonstrate the highest levels of achievement in following this code.

1. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *ETHICAL.*

In practice, this value looks like:

a. I am trustworthy, acting with the utmost integrity and moral courage.
b. I am truthful, do what I say I will do, and am dependable.
c. I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action.
d. I am fair, distributing benefits and burdens according to consistent and equitable criteria.
e. I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions.
f. I show respect for persons, confidences, and information designated as "confidential."
g. I use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether I am exceeding or appearing to exceed my authority.

2. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *PROFESSIONAL.* In practice, this value looks like:

a. I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner.
b. I approach my job and work-related relationships with a positive attitude.
c. I keep my professional knowledge and skills current and growing.

3. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *SERVICE-ORIENTED.* In practice, this value looks like:

a. I provide friendly, receptive, courteous service to everyone.
b. I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.
c. In my interactions with constituents, I am interested, engaged, and responsive.

4. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *FISCALLY RESPONSIBLE.* In practice, this value looks like:

a. I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability.
b. I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.
c. I make good financial decisions that seek to preserve programs and services for City residents.

5. **AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *ORGANIZED.* In practice, this value looks like:**

a. I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long term goals.
b. I follow through in a responsible way, keeping others informed, and responding in a timely fashion.
c. I am respectful of established City processes and guidelines.

6. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *COMMUNICATIVE.* In practice, this value looks like:

a. I convey the City's care for and commitment to its citizens.
b. I communicate in various ways that I am approachable, open-minded and willing to participate in dialog.
c. I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations.

7. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *COLLABORATIVE.* In practice, this value looks like:

a. I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding.
b. I work towards consensus building and gain value from diverse opinions.
c. I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team.
d. I consider the broader regional and State-wide implications of the City's decisions and issues.

8. AS A REPRESENTATIVE OF THE CITY OF SANTA CLARA, I WILL BE *PROGRESSIVE.* In practice, this value looks like:

a. I exhibit a proactive, innovative approach to setting goals and conducting the City's business.
b. I display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary.
c. I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services.

Signature _____ *Printed Name* _____

*Date:*_____ *Date of Election:* _____

California Code

Chapter 5: Fair Campaign Practice[1]

ELECTIONS CODE 20400-20444

20400. The Legislature declares that the purpose of this chapter is to encourage every candidate for public office in this state to subscribe to the Code of Fair Campaign Practices.

It is the ultimate intent of the Legislature that every candidate for public office in this state who subscribes to the Code of Fair Campaign Practices will follow the basic principles of decency, honesty, and fair play in order that, after vigorously contested, but fairly conducted campaigns, the citizens of this state may exercise their constitutional right to vote, free from dishonest and unethical practices which tend to prevent the full and free expression of the will of the voters.

The purpose in creating the Code of Fair Campaign Practices is to give voters guidelines in determining fair play and to encourage candidates to discuss issues instead of untruths or distortions.

20420. As used in this chapter, "Code" means the Code of Fair Campaign Practices.

20440. At the time an individual is issued his or her declaration of candidacy, nomination papers, or any other paper evidencing an intention to be a candidate for public office, the elections official shall give the individual a blank form of the code and a copy of this chapter. The elections official shall inform each candidate for public office that subscription to the code is voluntary.

In the case of a committee making an independent expenditure, as defined in Section 82031 of the Government Code, the Secretary of State shall provide a blank form and a copy of this chapter to the individual filing, in accordance with Title 9 (commencing with Section 81000) of the Government Code, an initial campaign statement on behalf of the committee.

The text of the code shall read, as follows:

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[1] Retrieved May 24, 2010 from http://www.leginfo.ca.govicgi-binicalawquery?codesection=elec&codebody=&hits=20

CODE OF FAIR CAMPAIGN PRACTICES

There are basic principles of decency, honesty, and fair play which every candidate for public office in the State of California has a moral obligation to observe and uphold in order that, after vigorously contested but fairly conducted campaigns, our citizens may exercise their constitutional right to a free and untrammeled choice and the will of the people may be fully and clearly expressed on the issues.

THEREFORE:

(1) I SHALL CONDUCT my campaign openly and publicly, discussing the issues as I see them, presenting my record and policies with sincerity and frankness, and criticizing without fear or favor the record and policies of my opponents or political parties that merit this criticism.

(2) I SHALL NOT USE OR PERMIT the use of character defamation, whispering campaigns, libel, slander, or scurrilous attacks on any candidate or his or her personal or family life.

(3) I SHALL NOT USE OR PERMIT any appeal to negative prejudice based on a candidate's actual or perceived race, religious creed, color, national origin, ancestry, physical disability, mental disability, medical condition, marital status, age, sexual orientation, sex, including gender identity, or any other characteristic set forth in Section 12940 of the Government Code, or association with another person who has any of the actual or perceived characteristics set forth in Section 12940 of the Government Code.

(4) I SHALL NOT USE OR PERMIT any dishonest or unethical practice that tends to corrupt or undermine our American system of free elections, or that hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.

(5) I SHALL NOT coerce election help or campaign contributions for myself or for any other candidate from my employees.

(6) I SHALL IMMEDIATELY AND PUBLICLY REPUDIATE support deriving from any individual or group that resorts, on behalf of my candidacy or in opposition to that of my opponent, to the methods and tactics that I condemn. **I** shall accept responsibility to take firm action against any subordinate who violates any provision of this code or the laws governing elections.

(7) I SHALL DEFEND AND UPHOLD the right of every qualified American voter to full and equal participation in the electoral process.

I, the undersigned, candidate for election to public office in the State of California or treasurer or chairperson of a committee making any independent expenditures, hereby voluntarily endorse, subscribe to, and solemnly pledge myself to conduct my campaign in accordance with the above principles and practices.

_____

Date Signature

20441. The Secretary of State shall print, or cause to be printed, blank forms of the code. The Secretary of State shall supply the forms to the elections officials in quantities and at times requested by the elections officials.

20442. The elections official shall accept, at all times prior to the election, all completed forms that are properly subscribed to by a candidate for public office and shall retain them for public inspection until 30 days after the election.

20443. Every code subscribed to by a candidate for public office pursuant to this chapter is a public record open for public inspection.

20444. In no event shall a candidate for public office be required to subscribe to or endorse the code.

ELECTIONS CODE 20500-20502

20500. The provisions of Part 2 (commencing with Section 43) of Division 1 of the Civil Code, relating to libel and slander, are fully applicable to any campaign advertising or communication.

20501. (a) A candidate or state measure proponent is liable for any slander or libel committed by a committee that is controlled by that candidate or state measure proponent as defined by Section 82016 of the Government Code if the candidate or state measure proponent willfully and knowingly directs or permits the libel or slander.

(b) A person who is a sponsor of a sponsored committee, as defined by Section 82048.7 of the Government Code, is liable for any slander or libel committed by the sponsored committee if the sponsor willfully and knowingly directs or permits the libel or slander.

20502. (a) In any action for libel or slander brought by a candidate, the willingness or unwillingness of the defendant to retract or correct a communication made in the course of a campaign, and his or her action in doing so, shall be admissible in evidence in the exemplary damages phase of a bifurcated trial.

(b) The remedy provided by this section is in addition to any other remedy provided by law.

J. LEADERSHIP FROM THE TOP: *THE COUNCIL OF TRUST*

Leadership from the top is the single most important element in building public trust. So, when the City Council decided ten years ago to focus on campaign ethics, it recognized the importance of the actions and words of sitting City Council members during an election. Every Council since then has promised to follow the guidelines in the document below, whether they were a candidate, supporter, or endorser. At the Council meeting on August 31, the current Council will discuss the document and adapt it, if necessary, for the issues facing the City this election.

A COUNCIL OF TRUST
PRINCIPLES, NORMS, STANDARDS AND BEST PRACTICES

At a Special Meeting on "Managing Change" held on Monday, July 29, 2002, the Council discussed managing change brought about by the implementation of *The Code of Ethics and Values.* The Council's goal was to draft a set of norms to guide those running for elected office. By the end of the session, the Council had described "running for office and living our values" as looking like:

1. Following These Guiding Principles

- Look at the law and also at "the right thing to do."
- Hold yourself and each other to the higher standard.
- Honor the common good. Represent community.
- Separate role as Council Member from role as candidate. Honor your role as a Council Member. Act as a member of the Council Team.
- Assume all are here for service of city.
- Think strategically. Educate.
- Communicate consistently that ethics is upfront in this campaign.

2. Using These Specific Norms and Standards

- Don't jump to conclusions.
  Avoid finger- pointing.
- Stick to the issues.
- Tell the truth. Don't mislead.
- Rely on facts and interpret them as fairly as you can.
- Avoid impression of representing city, overstating our contributions.
- Don't assume you know someone else's motive. Attribute positive motive of service to community.
- Treat others with respect. Golden Rule ("Treat others as you would want to be treated." Alternately: "What you do not wish done to yourself, do not do to others.")
- Respect the process.
- Respect City resources.

3. Adopting These Best Practices:

- Wait. Get Facts.
- Talk to each other. Go directly to the other person. Discuss.
- Arrive at ground-rules with your opponents beforehand, if at all possible.
- Communicate your ethics clearly ahead of time to your staff and workers.
- Make clear to all your supporters how you are running your campaign and what you will do if anyone distorts that or attacks an opponent in an unethical manner.
- Appoint and empower a staff conscience to help when time is short and stressed.
- Ask the ethics questions by habit: Use the decision-making tool, and especially ask: How does this decision advance the City's values in best practice? What ethics reasons make this the right thing to do?
- Use ethics language to explain your decisions.
- Have something written stand 'the test of time."
- Maintain a sense of humor. Take the responsibility of the office seriously — don't take yourself too seriously.
  Be able to look at yourself in the mirror at the end of the day...and set a high standard for what you want to see.

The Council agreed that these practices would create behavior that they and others would trust, thus the "Council of Trust".

Approved by Council August 20, 2004 (revised during April 27, 2004 Council Workshop)

K. VOTER CHECKLIST

Vote Ethics, the City's information outreach program to residents, summarizes these promises as a checklist, seen below in the 2008 flyer. This year's flyer may be different, but the checklist will be very close to the one below.

Make ethics part of your candidate selection criteria

City of Santa Clara Code of Ethics & Values

Ethical
Professional
Service-Oriented
Fiscally Responsible
Organized
Communicative
Collaborative
Progressive

Voter Checklist For Evaluating Candidates

As best as you can tell, have the candidates you are favoring ...

g Told the truth about themselves?
g Focused on issues relevant for Santa Clara?
g Told truths about opponents that were important for voters to know?
g Pointed out differences between themselves and opponents that are relevant to the political office?
M Treated opponents with dignity and respect?
M Fought fairly and avoided demeaning or irrelevant personal attacks?
M Never tried to confuse or mislead voters?
M Clearly identified who was behind any committee that is candidate—controlled?
Eh Took responsibility for any mistakes they made or mistakes made by volunteers or consultants?
Li Criticized unfair, dishonest or disrespectful attacks by committees not controlled by the candidate?
g Kept their Vote Ethics promises?

Ethics in government begins at the ballot box

L. TEST YOURSELF: PRACTICAL ETHICS IN SANTA CLARA

The page below was used in an early campaign ethics workshop. Use it now to test your understanding. It takes an earlier version of the State's Code (in the left column), identifies core values behind the specific practice (middle column), and asks whether the campaign practice (right column) is consistent with the promise and the value. In other words, if I pledge X, because the City values Y, is campaign practice Z appropriate? Test your understanding.

PRACTICAL CAMPAIGN ETHICS IN SANTA CLARA

If I pledge that ...	because our community values	then is this behavior appropriate?
1.1 shall conduct my campaign openly and publicly, discussing the issues as **I** see them, presenting my record and policies with sincerity and frankness, and criticizing the record and policies of my opponent or political parties which merit such criticism,	* integrity • truth • moral courage • professionalism	—avoiding tough issues and instead focusing on personalities and innuendo —sending out a "hit piece" that distorts my opponent's record, educational background. and positions on issues —liming this "distortion piece" so it arrives when it's too late for opponent's response
2. 1 shall not **use** or permit the use of character defamation, whispering campaigns or scurrilous attacks on any candidate or his or her personal or family life.	• ethics • respect • fairness • compassion	—reveal that my opponent is a recovering alcoholic —exploit the criminal record of my opponent's child —instruct any aide to give the press the name and phone number of ***a*** person who claims to have had an affair with my opponent
3.**1** shall not use or permit any appeal to negative prejudice based upon race, sex, religion, national origin, physical health status, or age.	• tolerance • diversity • fairness • respect	—portray my opponent as too old to be an ' effective leader —make the claim that because of my religious beliefs tam better able to respect certain community values —question the person's patriotism simply because they were not born in this country
4. 1 shall not use or permit any dishonest or unethical practice which tends to corrupt or undermine our American system of free elections, or which hampers or prevents the full and free expression of the will of the voters including acts intended to hinder or prevent any eligible person from registering to vote, enrolling to vote, or voting.	• fairness . integrity • participation • justice • honesty • service-orientation	—use my current public position as an early campaign soapbox, altering my previous behavior, paying attention to current matters only if they advance any campaign_ —encourage the misuse of the absentee ballot —publish erroneous poll data that skews the public's perception —support third-party mailers which give the impression that you have been endorsed by parties, people, politicians when you haven't been.
5. I shall not coerce election help or campaign contributions for myself or any other candidate from my employees.	• respect • freedom	—promise future perks to groups who help organize and facilitate campaign appearances
6.1 shall immediately and publicly repudiate support deriving from any individual or group which resorts, on behalf on my candidacy, or in opposition to that of my opponent, to the methods and tactics which 1 condemn. I shall accept responsibility to take firm action against any who violates any provision of this code or the laws governing elections	• integrity • accountability • role modeling	—a third party group who supports you because of one issue on which you see 6'e to eye, distribute false information about your opponent. When asked about it by the press, you say "no comment." —a supporter of yours organizes a "beer bus" to bring students to the pulls; your name is featuted prominently on the bus
7. I shall defend and uphold the right of every qualified American voter to full and equal participation in the electoral process	• participation • justice	—on the day before the election your staff plants a rumor that people in a certain neighborhood supporting your opponent have had their polling location changed leadin r to confusion **and *fewer*** votes.

M. A DECISION-MAKING TOOL: POCKET CARD

Another useful tool is the *Fostering Public Trust* pocket card. It has been distributed to the City Council, Commissioners, City staff, and others involved in City government. While it may seem a bit large to be a true "pocket card," it was designed to be folded in half. One side focuses on good government decision-making and the other on the City's core values. The two questions at the top of the page are especially recommended to evaluate the ethics of your campaign decisions.

ASK THESE TWO QUESTIONS BEFORE YOU MAKE YOUR FINAL DECISION: 1. HOW WILL MY ACTION BUILD PUBLIC TRUST? 2. WHY IS THIS THE RIGHT THING TO DO?				2: VALUES
	PROFESSIONAL	SERVICE-ORIENTED	ORGANIZED	FISCALLY RESPONSIBLE
	I apply my knowledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner.- I approach my job and work-related relationships with a positive attitude.• I keep my professional knowledge and skills current and growing.	I provide friendly, receptive, courteous service to everyone.. I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.• In my interactions with constituents, I am interested, engaged, and responsive..	I act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long term goals.. I follow through in a responsible way, keeping others informed, and responding in a timely fashion.• I am respectful of established City processes and guidelines.•	I make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability.. I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures.. I make good financial decisions that seek to preserve programs and services for City residents.
BUILD TRUST AND MUTUAL RESPECT	COLLABORATIVE: I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding.. I work towards consensus- building and gain val- ue from diverse opinions. •I accomplish the goals and responsibil- ities of my individual position, while respecting my role as a member of a team.. I consider the broader regional and State- wide implications of the City's decisions and issues.		COMMUNICATIVE:I convey the City's care for and commit-ment to its citizens.• I communicate in various ways that I am approachable, open-minded and willing to participate in dia-log.. I engage in effective two-way communication, by listen-ing carefully, asking questions, and determining an appropri-ate response which adds value to conversations.	
BE AT OUR	PROGRESSIVE: I exhibit a proactive, innovative approach to setting goals and conducting the City's business.• I display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary.• I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services.			
Developec by Thomas E. Slan.:5, P-.D.. Trw Ethics CornDa-ly of San losC CA. Email: lesnauseko-.-cast.iet				

FOSTERING PUBLIC TRUST: A PRACTICAL GUIDE TO GOOD GOVERNMENT 1: ETHICS

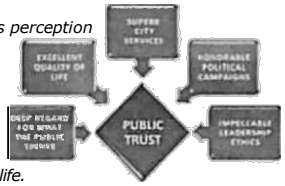
City of Santa Clara, CA

The City's *Code of Ethics & Values,* the *Behavioral Standards* documents, and the *Good Government Decision* process describe the core practices and key behaviors of trustworthy leaders. They ask everyone involved in City government to:

- become a role model for the City's eight core values
- act *at our best* and only in the *best interests* of all who live or work in the City
- carefully consider the impact of our actions on public trust.

Public trust rests on the *public's perception* that their leaders:

1. Listen carefully
2. Practice impeccable ethics
3. Campaign honorably
4. Provide superb services
5. Maintain excellent *quahty of life.*



Good Government Decision-Making Process

Trustworthy leaders follow the law and make decisions after:

- Carefully considering the facts and staff recommendations
- Listening carefully to the interests of all stakeholders
- Developing a number of good options for action
- Choosing the option which best meets these standards:
  - Positive consequences outweigh negative ones
  - An individual's rights are protected and advanced
  - Everyone is treated with dignity and respect
  - The action is fair, just, and equitable
  - The action is best for the community as a whole
  - The action best advances the City's Core Values
- Test 1: If I do this, who wins? Who loses? Why? Should we consider different options? What do others think of our reasoning? Why is this the right thing to do?
- Test 2: Explain your reasoning to someone harmed by it.

Trustworthy leaders take action and learn from each decision.

AS A REPRESENTATIVE OF SANTA CLARA, I WILL BE:	
	ETHICAL: I am trustworthy, acting with the utmost integrity and moral courage.• I am truthful, do what I say I will do, and am dependable • I make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action. • I am fair, distributing benefits and burdens according to consistent and equitable criteria.. I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions. - I show respect for persons, confidences, and information designated as "confidential." • I use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether I am exceeding or appearing to exceed my authority.•

N. ETHICS CONSULTANT ROLE AND CONTACT INFORMATION

Candidates are responsible for the ethics of their campaigns, the content of flyers and other campaign materials, and any follow-up action to complaints.

Dr. Shanks is a resource for all candidates, as described in the list below, approved by the Council prior to the last election. He facilitates communication between candidates and can help candidates think through the ethical implications of decisions they are about to make.

He will not look at campaign materials prior to publication. Candidates are welcome to discuss concerns they have prior to publication.

Please be sure to add Dr. Shanks to campaign mailing lists. His address is 6241 Ginashell Circle, San Jose, CA 95119.

If you need to reach him, please call between 8 am and 10 pm daily on his cell phone at 408-529-5318 or his home phone 408-300-1603.

The Role of the Ethics Consultant During City Election Campaigns

Approved by City Council on April 15, 2008

A. The Ethics Consultant will:

1. facilitate the August workshop for candidates for elective office, their consultants and volunteers. Media and the public are also invited to this workshop
2. facilitate the Final Word Forum the night before the election
3. facilitate the January post-election review for all candidates, their consultants, and others involved in the campaign. This review recognizes candidates and campaigns which build public trust, discusses the successes of the Vote Ethics citizen outreach, suggests Ethics Program goals for future campaigns, and discusses practical ways to continue to build public trust during future campaigns. Media and the public are also invited to this review
4. be available in the week following the August workshop to meet with candidates in specific races. This is a voluntary meeting to open lines of communication between candidates and to explore ground-rules and other methods to resolve communication issues during the campaign. The consultant would speak publically about the meeting only to correct any misrepresentation of the meeting
5. during the campaign, be available to facilitate communication, problem solving, and any issues with ground-rules candidates have agreed upon
6. discuss any general ethical issues candidates may have about flyers they are planning to send. The consultant will help candidates make their own decisions about such flyers by assisting them in working through the questions on the City's "pocket card" for making an ethical decision (distributed during the August workshop)
7. facilitate communication and problem-solving between candidates regarding mailers which candidates believe raise issues of honesty, fairness, respect, or public trust for the elected position sought. The consultant facilitates the clarification of any disputed facts by initiating direct communication between candidates or by other means. Candidates make any final decision about remedying honest mistakes, raising ethics issues during campaign debates, or suggesting unresolved ethics issues for potential discussion at the Final Word Forum
8. serve as an ethics and public trust resource for Council Members who are not running for election, but who wish to discuss potential ethics or public trust issues in their support of particular candidates
9. send written suggestions on the ethics of candidate forums to all organizations sponsoring such forums and offer to meet in person to discuss ethics issues involved in structuring such a forum.
10. serve as resource to the City Manager, Deputy City Manager and the City Clerk (as Elections Officer)

Voicemail and email are available for messages. Email is teshanks@comcast.net.

O. CANDIDATE COMMUNICATION AND COMPLAINTS

Candidates sometimes ask whether conducting a campaign that fosters public trust means that the candidates or campaign must be "nice." They also ask whether they can be critical or "negative" about an opponent.

An honorable campaign does not have to be nice. It can be critical or negative about an opponent's record, policy position, or plan. The only requirement is that the candidate is truthful, accurate, fair, and respectful of the opponent as a neighbor and fellow volunteer for public service. As it says in the State's *Code of Fair Campaign Practices,* candidates may criticize the opponent's record. What they may not do is fabricate or distort the record.

If a candidate believes his or her record has been distorted by an opponent, the best advice is to make direct contact with the opponent. Much damage is done by hearsay, rumors, or taking it on faith from a volunteer who tells you Candidate X said this or that about you. Most hearsay is not accurate. As it says in *The Council of Trust,* get the facts before you jump to conclusions and take action that may damage public trust. Be especially cautious before labeling an opponent or a campaign as "unethical." Spurious ethics charges during a campaign almost always create a no-win situation for everyone involved.

On occasion, a candidate may get the facts and believe he or she has been unfairly characterized or their record distorted. If possible, raise this issue with your opponent. If that is not appropriate, candidates may make a written (email) complaint to the Consultant about something an opponent has said or published and which raises questions of honesty, fairness, respect, or public trust. A copy of the original flyer or other piece should be included, if possible.

B. The Ethics Consultant will not:
1. review flyers, mailers, or other campaign materials prior to their public distribution
2. advise candidates on general campaign strategies and tactics
3. become involved in ethics complaints which appear to be primarily political, part of campaign strategy, or which involve legitimate interpretations candidates may make of each others' records, policies, or qualifications

In such situations, the Consultant tries to initiate direct communication between candidates through email, phone, or a facilitated conversation. If direct communication between candidates is not possible, the Consultant follows up with both parties to be sure that facts are clear, to clarify statements which are not factually true and where documentation is available. It is the candidate's decision to take action, if any, in response to a complaint. If the candidate takes no action, the person aggrieved may make a political issue of it and may submit the issue for potential discussion at the *Final Word Forum.*

Please do not use this complaint process or the Consultant as part of your political strategy. The Consultant is there to assist in communication and conflict resolution. He will not get involved in political efforts to harass an opponent, in campaign strategies, or in legitimate criticisms of each other's records, policies, or qualifications.

P. *VOTE ETHICS* PROGRAM ADMINISTRATION

This year, for the third consecutive election, the City will continue its *Vote Ethics* information outreach program for residents. Program goals are listed in the box.

Deputy City Manager Carol McCarthy and City Clerk/City Auditor Rod Diridon, Jr. are co-directors of the Ethics & Values Program, delegated by City Manager Jennifer Sparacino. The City Clerk is also the City's Elections Officer. His duties are described in material distributed to candidates from his office.

2010 *VOTE ETHICS* GOALS

- Increase the public's trust in municipal government by encouraging honorable campaigns, ethical leadership, and candidate accountability
- Educate and encourage candidates on how to run an honest and fair campaign which respects fellow candidates, the public and the office they seek
- Educate and encourage voters to consider ethics and values in evaluating candidate qualifications
- Increase community awareness of Santa Clara's overall Ethics Program
- Raise candidate awareness of ethical issues and provide ethical decision-making skills which are transferable to work on the City Council
- Obtain additional regional, state and/or national recognition of the City of Santa Clara for its commitment to the Vote Ethics program and its creative approach to improving the program (considering budget constraints)

The Deputy City Manager develops the Communication Plan and materials, oversees the contract with Dr. Shanks, receives any resident complaints, and handles many other staff responsibilities. The City Clerk makes presentations to community groups about the *Vote Ethics Program,* encourages voters to register to vote, and is a member of the Program Planning Team with the Deputy City Manager and the Ethics Consultant. Senior Staff Aide Jashma Kadam is another key member of the team and works closely with the two Co-Directors and Dr. Shanks.

The Ethics & Values Program is a non-partisan, non-political educational program. Neither the Program nor any staff connected with the Program is involved with the City's politics.

The City Manager works closely with the Council Ethics Committee, which makes recommendations for Council action about the Ethics & Values Program. During the election, the City Manager and Deputy City Manager are careful to avoid even the appearance of political involvement and will not attend workshops.

The City Clerk is an elected position; the Clerk will attend workshops in this role, and is careful to avoid conflicts of interest and maintain the impartiality of his office.

Q. VOTERS AND ACCOUNTABILITY

The City's *Code of Ethics & Values* is a positive document, describing how City officials and candidates already act when they are at their best. The *Code* commits everyone involved with City government to a continuous improvement process and to a shared aspiration to be *at our best* every day in fostering public trust.

Vote Ethics gives voters the tools they need to judge who is and who is not fulfilling the City's shared aspiration. It does not tell voters whom to vote for or against. Rather, it encourages voters to let candidates know that they will vote only for those candidates who earn their trust during the campaign.

From a positive perspective, accountability is the process **whereby candidates are responsible for their decisions and actions, submit themselves to appropriate external scrutiny, and provide evidence of promise-keeping,** rather being punished for promise-breaking. In effect, accountability is the obligation and opportunity to answer for a responsibility conferred, freely accepted, and fulfilled.

In other words, residents are encouraged to pay attention to the promises candidates make when they sign the City *Code* and the State *Code* and to make ethical campaigning a prerequisite for one's vote. *Vote Ethics* is about recognizing campaigns for doing everything they can to foster public trust, especially at a time when trust in government is so fragile.

Vote Ethics also provides critical thinking tools to help residents evaluate candidates and their campaigns. Residents receive this information in a four-page ***Vote Ethics Guide*** in the City's newspaper, *Inside Santa Clara.* They receive the checklist for evaluating candidates in the utility bill and another message through a mailed piece.

In addition, letters are sent to churches and community groups in Santa Clara alerting them to the Program. The Ethics Consultant and the Elections Officer speak to groups throughout the community. This year, *Vote Ethics* will also distribute information at the City's Farmer's Market throughout October.

The 2008 Survey showed that the City's website was the single most important information source for local news during the election. So, extensive use will be made of the City's website, along with Cable Channel 15, as information resources for residents. As in the last election, two sites will provide additional information on ethics and public trust: http://www.santaclaracampaigndollars.org and http://www.voteethics.org.

When researchers ask candidates "What is the purpose of a campaign?" the answer is "To win." When voters are asked, the answer is "To have enough good information so that I can make my best voting decision." For this *Guide,* the purpose of the 2010 campaign is for all candidates to win the right way. That means that a candidate conducts a campaign that gives voters truthful information, fairly represents their record and that of their opponents, points out relevant differences and strengths, and demonstrates to voters why this candidate deserves to win this competition for service as Mayor or City Council Member.

Winning the right way means communicating early, often, and consistently to your volunteers and supporters what kind of a campaign you will conduct, how they can assist you in conducting an honorable campaign, and what you will do to repudiate anyone who conducts an unfair, dishonest, or disrespectful campaign on your behalf or against an opponent.

The most difficult challenge for you and the City's program often comes from groups who are not part of your campaign and with whom, by law, you can have no contact or coordination. The ad from the *San Jose Mercury News* illustrates the problem. How do you repudiate an anonymous third party who has launched an unfair attack on an opponent in the last few days of the campaign? Voters will often hold your campaign responsible, even though you knew nothing about it.

$ 5,000
REWARD

TO: Residents in support of good government

FROM: The Son Jose Silicon Valley Chamber of Commerce

SUBJECT: $5,000 REWARD

Opponents of Son Jose City Council candidate Magdelano Carrosco are sending unauthorized mailings to residents of District 5. The first mailer implied, among other things, that Ms. Carrasco supports communism. This was a blatant attempt to mislead voters, and on illegal misrepresentation of her campaign platform.

The San Jose Silicon Valley Chamber of Commerce, the San Jose Mercury News and community leaders including the Jobs First Coalition have joined together to condemn the unauthorized mailing as criminal, and ore standing together to demand that action be token.

We are offering a $5,000 reword for information leading to the identification and conviction of those responsible for the production and distribution of these illegal flyers.

Anyone with information about this serious crime con report it without giving their name. Tips resulting in the conviction of those responsible will receive a $5,000 cash reward. Please call Crime Stoppers at f4081 947-7867.

Vigorous debate during campaigning is to be expected, but political terrorism cannot be tolerated. Good government starts with honest campaigning. We encourage you to join us in putting on end to these dishonest and deceitful tactics.

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Coalition

CHAMBER OF
COMMERCE

We will discuss new approaches to the dilemma of the third party attack when we meet on August 24th, but an early message to your network is important. Ask them to help you foster public trust in Santa Clara. Tell them you are not running a *crush the competition* campaign and they will not help you if they do so, either in support of you or in opposition to someone else.

Let these groups know early and clearly how they can help your campaign build public trust. Be equally clear about the actions you will take and the damage to your long-term relationship with them if they harm public trust by an attack that raises questions of honesty, fairness, or respect.

Let them know that in the City of Santa Clara residents focus on campaign ethics issues. Residents expect candidates to be credible role models for trustworthy leadership, and that includes taking responsibility for volunteers and supporters. Let your supporters know that public trust is at greater risk than ever in this continuing recession and that you plan not only to avoid unfair and dishonest attacks, but you have set the bar much higher for yourself and for them: to run a campaign that actively promotes public trust.

Then send out your most persuasive supporters to let the third parties know that you meant what you said. Ask them to communicate that you really don't want an overzealous supporter to put you in the uncomfortable position of having to explain to the people of Santa Clara that you really didn't know anything about an unfair negative attack.

Let everyone involved in your campaign know that you are going to win the right way. Review with them how you plan to address critical choices during the campaign, why you are making that choice, and help them to do the same:

"Compete in a selfish struggle for power" or "Compete honorably for public service."

"Do whatever it takes to win" or "Do the right thing to win the right way."

"Practice politics-as-usual" or "Practice trustworthy leadership."

"Give voters another experience of 'the dirty business of politics" or "Earn public trust for yourself, the City, and the Council on which you will serve."

S. ADDITIONAL RESOURCES

Like the *Code of Ethics & Values,* this *Guide* is a living document. The following pages are reserved for additional resources and new pages as they are developed.

As of August 17, 2010 these resources include:

- Biography of Thomas **E.** Shanks, Ph.D.
- Behavioral Standards for City Council Members

Biography of Thomas E. Shanks, Ph.D.

Thomas Shanks, Ph.D., is an ethics, values, and organizational development consultant, facilitator, and speaker who resides in San Jose, California. Since 2006, he has been President of The Ethics Company, which he founded in 1992 as Thomas Shanks Consulting. From 1982 to 2007, he was a full-time member of the faculty at Santa Clara University where he served as Assistant Professor of Communication (1982-1988), Associate Professor of Communication (1988-2007), founder and first Chair (1985-1991) of the undergraduate Department of Communication, and Senior Associate Dean of the College of Arts and Sciences (1990-1995). At the University, Shanks taught undergraduate courses in communication ethics, new technologies, public policy, survey research, journalism, television production, and graduate courses in Engineering Ethics.

From 1985-2002 he was also associated with the University's Markkula Center for Applied Ethics. A founding member of the Center's Steering Committee (1985-1992), Shanks served as the Center's second Executive Director (1992-1999), and then as Director of Business and Public Policy Programs (1999-2000), and Senior Fellow in Business Ethics and Public Policy (2000-2002). He was a Senior Scholar with the Washington, D.C., Ethics Resource Center (1999-2002) and has been an expert witness in two legal cases involving ethics.

In 1999, the San Jose *Mercury News* recognized his ethics work by naming him as one of the *Millennium 100,* approximately 100 people over the last century who have "made Silicon Valley what it is today" and wrote, "As Executive Director from 1992-1999, Shanks elevated the (Ethics) Center into the region's standard bearer for teaching the value of ethical conduct — not only in high technology, but also in the health industry, government, banking, public service and other disciplines" (S.J. Mercury News, December 19, 1999.)

Since 1998, Shanks has been ethics consultant to the City of Santa Clara (CA) for a unique non-partisan, nonpolitical educational program in ethical decision-making and values-based management for local government officials, City staff, and candidates for political office. The International City Management Association chose the Santa Clara program as one of its "Best Practices Case Studies" in 2000. In 2002 and then again in 2007, the League of California Cities honored the City's programs in campaign ethics and "Vote Ethics" with the Helen Putnam Award for Excellence. In 2002, the United Nations included Santa Clara's program as one of just two "best practice" programs in campaign ethics world-wide.

From January 2004 to March 2005 he worked with the City of Milpitas (CA) on developing and implementing a Code of Ethics and an accountability process for public officials and candidates. He has also worked extensively with the Santa Clara County Library System, the County's Early Childhood Local Planning Council, and conducted ethics and team-building workshops for the League of California Cities, and the Cities of Sunnyvale, San Carlos, Mountain View, and San Mateo, Leadership Santa Clara, Leadership Los Gatos, and the Counties of Santa Clara, San Mateo, Sonoma, and Santa Barbara. In late 2007, he began on-going work with the Cities of Atascadero and Rancho Palos Verdes on conflict resolution, teambuilding, and public trust.

His corporate clients have included Juniper Networks, the Charles Schwab Corporation, Edwards Lifesciences Inc., the Investment Management Consultants' Association, and the start-up technology company, Propel, whose ethics and values program was featured in a cover story in SV (Silicon Valley), the Sunday magazine of the *San Jose Mercury News* ("Value Judgments: Do Well or Do Right?", April 16, 2000, pp. 8-16.) From 1993-2002, he advised the Tech Museum of Innovation in San Jose, California, on the integration of ethics throughout the museum. In 1995, he established the Applied Ethics Center at O'Connor Hospital and served as the Chair of its Steering Committee until 2002.

Shanks writes regularly about ethics, values, and communication. He authored or co-authored a series of articles and cases (especially *Everyday Ethics, Thinking Ethically, Framework for Ethical Decision-Making)* for the Markkula Center's *Issues in Ethics,* which have been distributed widely through the Internet. He is currently writing a book, titled: *At Our Best: Local Governments, Ethics, and Public Trust.*

From 1967-1999, Shanks was a member of the Society of Jesus, commonly known as the Jesuits, a Roman Catholic group of priests and brothers with a specialty in education. He served as a Jesuit priest from 19771999. He has a B.A. in Philosophy and Psychology from Saint Louis University (1971), an M.S. in Education from Fordham University in New York City (1975), a Master of Divinity from the Jesuit School of Theology at Berkeley (1977), and a Ph.D. in Communication Theory and Research from Stanford University (1985).

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City of Santa Clara
PROGRAM IN ETHICS & VALUES

BEHAVIORAL STANDARDS FOR CITY COUNCIL MEMBERS'

INTRODUCTION

Ten years ago, the City of Santa Clara began its ethics and values program to foster public trust by promoting and maintaining the highest standards of personal and professional conduct. Since the adoption of the Code of Ethics & Values in 2000, the City Council has promised the people of Santa Clara that Council Members, all elected and appointed officials, candidates for public office, and City Staff will meet the most demanding ethical standards and demonstrate the highest levels of achievement in practicing eight core values identified in the Code.

Those values, which are fundamental to public trust, were adopted to guide the decisions and actions of individual Council Members and the Council as a whole. City Council and City Staff have worked hard to integrate these values into the everyday operating culture of City Hall. The City has conducted extensive outreach to residents encouraging them to hold public officials accountable at the ballot box for being credible role models for these values, in word and in deed, in public or in private.

To help the Council make these values real in their regular work with the City, the Code describes for each value a basic set of character traits and actions residents can expect to see Council Members meet and exceed.

This document translates these traits and actions into concrete behavioral standards for the City Council. These standards describe what impeccable leadership ethics looks like in the everyday work of the Council. They reflect commonly accepted "best practices," rather than specific issues or problems the Council has faced. The list seeks to include enough positive behaviors to practice (and negative behaviors to avoid) that a reasonable person can assess how credible he or she is as a role model and ethical leader.

This information is presented in four columns. Columns 1 and 2 reproduce the approved Code of Ethics. Columns 3 and 4 list the behavioral standards.

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[1] This document is based on the *Behavioral Standards for Commissioners, Boards, and Other Appointed Officials,* developed during 2000-2002, and approved by the City Council in February 2003. A representative committee of Board Members and Commissioners, working with the City's initial Ethics Ordinance Committee, drafted that document. It was then revised based on extensive feedback from all Board Members, Commissioners, and Staff Liaisons. In a working session in April, 2008, the Council used that document to develop the first draft of its own standards. The City's Ethics Consultant, Dr. Tom Shanks, and City Staff drafted the fmal version for City Council review on May 6. 2008.
Approved by City Council on May 20, 2008.

City of Santa Clara
PROGRAM IN ETHICS & VALUES

BEHAVIORAL STANDARDS FOR CITY COUNCIL MEMBERS

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and** **Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
As a Santa Clara representative, I will be:			
Ethica	*I am trustworthy, acting with the utmost integrity and moral courage*	• Making careful decisions, advancing the best long-term interests of the City, after considering all available facts, City Staff recommendations, and public comment	• Making hasty, ill-informed decisions based on politics, bias, faulty assumptions, prejudice, self-interest, gossip, and half-truths
		• Voting my honest conviction, explaining my ethical reasoning, respecting the minority, and upholding the majority as the decision of the Council	• Promising my vote before facts are known in order to gain favor with a crony, endorser, lobbyist, or special interest
		• Vigorously debating an issue, listening carefully to all sides, making my best judgment call, even if it's not popular, and taking responsibility for my actions	• Saying whatever the vocal public wants to hear, dodging criticism of an unpopular vote, shifting the blame to the majority, other members, or City Staff
		• Preparing to vote by assessing how various options advance or harm the best interests of the City as well as the City's Mission and Core Values, working to minimize any harm	• Always taking the short-term view, representing few stakeholders, believing ethics and City values have no bearing on decisions
		• Finding an imaginative solution that is in the best interests of the City, is fair, respects individual rights and the Council's duties, and advances City values	• Saying and doing whatever it takes, no holds barred, to advance one's personal position, power, influence or political career

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)	*I am truthful, do what i say I will do, and am dependable*	• Giving complete, factual, unbiased information to colleagues, public, and the press	• Concealing, fabricating, overstating, under-stating, or denying the truth; spinning the truth; leaving out context
		• Making promises to the public, City Staff, and Council members which can be kept and do not exceed the authority of any individual Council Member	• Promising more than can be delivered, over-extending oneself, or taking sole credit for the work of the Council and others
	i make impartial decisions, free of bribes, unlawful gifts, narrow political interests, and financial and other personal interests that impair my independence of judgment or action	• Seeking advice from the City Attorney and City Manager when confronting a real or potential conflict of interest, and making a full public disclosure when the Council considers the agenda item	• Helping a friend get a project through the Council in return for a donation to a campaign fund, school or charity, or the gift of tickets or another perk
		• Having declared a conflict, leaving the dais and Council Chambers, so other Council members are free of any undue influence	• Talking to fellow Council Members prior to declaring a conflict, and asking them to take care of the item in a way that advances personal interests
	I am fair, distributing benefits and burdens according to consistent and equitable criteria	• Listening attentively to all sides, keeping an open mind and avoiding even the appearance of bias, following precedents consistently, treating equals equally	• Paying more attention to friends' and supporters' projects • Making "back room" deals and decisions • Giving preferential treatment to special interests, consultants, and former Council Members

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)	*I extend equal opportunities and due process to all parties in matters under consideration. If I engage in unilateral meetings and discussions, I do so without making voting decisions*	• Being available to anyone who wants to discuss an issue, keeping an open mind and not committing to vote for or against an item until after hearing the full public discussion	• Promoting the interests of the business community without first considering the interests of all stakeholders • Giving special treatment to the companies that pay the most in taxes and to my largest campaign donors
	I show respect for persons, confidences, and information designated as "confidential"	• Referring media questions on Closed Session or other confidential matters to the City Manager's Office, rather than saying "No Comment"	• Telling others about Closed Session proceedings, especially when it is an important issue and I want input on how to decide • Confirming a rumor, remaining silent, communicating non-verbally, or in other ways providing information that is confidential or that the Council Member has promised not to reveal
		• Treating the public and City Staff, at all times, the way I treat highly regarded colleagues in businesses or professions	• Acting based on stereotypes, rumors, "ancient history," and prior negative experiences with an individual or groups
		• Bringing to the attention of the City Manager any concern about the actions or work of City Staff, or any complaint from the public	• Criticizing or embarrassing the City Manager or other City Staff in public • Failing to publicly recognize extraordinary City Staff work

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Ethical (continued)		• Showing courtesy and interest in word and action to City Staff, public, and elected and appointed officials	• Complimenting the work of a single City Staff member when a staff team actually did the work
		• Speaking and acting out of the belief that City Staff and all members of the Council are on the same team and committed to doing their best to serve residents	• Engaging publicly or privately in personal verbal attacks against Council colleagues or City Staff; interrupting while they are speaking, rolling eyes, demeaning them, or in other ways treating them inappropriately
Professional	*I use my title(s) only when conducting official City business, for information purposes, or as an indication of background and expertise, carefully considering whether i am exceeding or appearing to exceed my authority*	• Using City titles for identification at League meetings or when on other official City business, or when seeking information directly related to a Council matter from appropriate sources	• Using a City title when making dinner reservations or making purchases • Referring friends to City businesses and suggesting they mention the name of a Council Member to get the best prices
	I apply my know-ledge and expertise to my assigned activities and to the interpersonal relationships that are part of my job in a consistent, confident, competent, and productive manner	• Preparing by reading the agenda packet before meetings • Asking the City Manager informational questions ahead of time to assist in being prepared • Arriving on-time to meetings, paying attention and listening actively	• Rushing into meetings late and being obvious about opening the agenda packet for the first time or speed-reading the packet while City Staff or the public are presenting information

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Professional (continued)		• Asking questions that will advance the discussion, contribute to decision-making, and have not been covered in the agenda packet	• Taking no notes, remembering little, if any, of the information in the agenda packet, asking to have information repeated constantly
		• Listening attentively to the public, City Staff, and other Council members who may speak at meetings	• Making little or no eye contact with any speaker during the meeting • Leaving during public comment and returning only after it is over • Making comments to someone else while the public is speaking
	I approach my job and work-related relationships with a positive attitude	• Approaching Council work informed of issues, enthusiastic, energized, interested, ready to participate, and focused	• Approaching Council work half-heartedly, coming to meetings eager to leave • Short-circuiting a discussion; being perceived as rude by other Council Members, City Staff, or the public
		• Making guests feel welcomed at meetings • Treating new Council Members as colleagues, encouraging them to express their opinions, and offering them positive feedback	• Acting in a superior manner with newly elected Council members • Never making time to be responsive to residents who want to discuss issues
	I keep professional knowledge and skills current and growing	• Making it a priority to attend League meetings, Electric Joint Powers Agency meetings, and committees	• Assuming there is nothing new to learn • Going to League meetings and conferences to be seen, but never attending any training

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Professional (continued)		• Reading background materials for general preparation including professional journals, books, and articles	• Skipping meetings with the City Manager, assuming you know as much, if not more, than she does on this issue
Service-Oriented	*I provide friendly, receptive, courteous service to everyone*	• Not just answering questions, but sharing helpful knowledge of Council or government functions, even if the person asking isn't sure what they need to know	• Acting like it's a bother anytime a resident asks a question or when they make inquiries about Council/government business
		• Seeking the opinions of those who are hesitant or unwilling to come forward with their ideas, but trying not to force anyone to speak in a public forum if they are uncomfortable or unprepared	• Making guests or others feel stupid, intimidated, dismissed, manipulated, or demeaned by reading the newspaper, falling asleep, laughing at a private joke with another Council Member, or repeatedly leaving the room during discussions
	I am attuned to, and care about, the needs and issues of residents, public officials, and city workers	• Talking with residents and actively listening at City gatherings to be aware of what is going on in this community and other communities	• Being arrogant or uninterested when responding to residents outside of City Hall about their concerns and debating with them to prove them wrong or misinformed
		• Attending City events and interacting effectively with the public, aware that others expect Council Members to be role-models	• Showing up late to City events, leaving early, and spending most of the time talking only to one or two friends

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Service-Oriented (continued)		• Relaying things heard or provided to the Council or the City Manager or other appropriate parties for follow-up	• Withholding important information to use it for narrow personal purposes at a later time
	in my interactions with constituents, I am interested, engaged, and responsive	• Acting in a pleasant and friendly manner and encouraging people to speak their mind; welcoming constructive criticism as well as compliments	• Through word and action, discouraging people from proposing what they believe are solutions or expressing their concerns
		• Focusing on the speaker and trying to see the world as they do in order to understand their needs	• While seeming to be engaged in one conversation, scanning the environment for someone more interesting or important to speak with; abruptly stopping the previous conversation to speak with the more important person
FiscallyResponsible	***i*** *make decisions after prudent consideration of their financial impact, taking into account the long-term financial needs of the City, especially its financial stability*	• Before deciding how to vote, reviewing cost/benefit analysis and all related studies, along with City Staff recommendations	• Allowing other Council members who have more expertise in budgeting to take the lead in budget discussions, trusting that they know better, and never improving personal expertise
		• Consider the City's short and long term financial condition prior to proposing new or expanded City projects	• Ignoring the constraints of the City budget when making decisions • Citing "budget constraints" as the reason for not supporting a motion, when the real reason is how it will look in the next election

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Fiscally Responsible (continued)	*I demonstrate concern for the proper use of City assets (e.g., personnel, time, property, equipment, funds) and follow established procedures*	• Allocating resources according to the City's plan and in compliance with the law and the City's goals to provide residents with a better environment in which to live	• Taking advantage of any opportunity to get something "free" from the City • Seeking discounts from the City's vendors solely because of my position
		• Using City equipment only for Council work, not for personal use or for my business	• Coming to City Hall regularly and asking City Staff to make just a few copies for personal use
		• Respecting City Staff time and being especially careful to ask the City Manager to take on special research or other projects only if convinced that this work is critical and necessary for the Council to better serve the needs of residents	• Asking a lot of questions that focus on non substantive details, being unable to separate what's important from what's not
		• Representing the public's interests to the best of my ability • Balancing long-term impacts and short-term goals	• Acting as if I "own" the City or my seat on the Council
	I make good financial decisions that seek to preserve programs and services for City residents	• Being fully aware of and understanding the approved City budget, having solicited explanations from the City Manager, if necessary	• Taking as many trips as possible at the City's expense because of a personal feeling that the compensation is not sufficient and some reward for City work is deserved

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Organized	***i*** *act in an efficient manner, making decisions and recommendations based upon research and facts, taking into consideration short and long-term goals*	• Being cognizant of the importance of scarce meeting time and preparing accordingly, with the result that the Council spends time on the important issues and deals efficiently with other issues	• Relying solely on prior knowledge and spending a great deal of the Council's time proving to everyone how much I know on all issues, large and small
	i follow through in a responsible way, keeping others informed, and responding in a timely fashion	• Sharing my research and experience with others on the Council, making worthwhile contributions and welcoming alternative viewpoints	• Using hear-say from a third party as the sole basis for making a decision
		• Returning phone calls and email promptly, if at all possible; if unable, letting the person know when to expect a response	• Failing to acknowledge receipt of requests for information • Responding only to people who can help with personal political goals • Eventually getting around to sending information, but never in a timely manner
	i *am respectful of established City processes and guidelines*	• Participating fully in orientation sessions and other sessions in order to understand how the City's policies and procedures impact the effectiveness of the Council	• Criticizing City policies in public without first expressing concerns to City Staff or gaining knowledge necessary in order to offer constructive criticism
		• Helping to establish reasonable timetables and then following them • Being flexible in setting meeting dates and times	• Ignoring deadlines, not keeping people informed, and making excuses which damage public trust

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Organized (continued)		• Being able to explain to residents, businesses, and visitors how the City's policies and procedures are examples of the City's Core Values in practice	• Being cynical about policies and cavalier about following procedures because of a failure to see how these are related to fairness and the common good
Communicative	*I convey the City's care for and commitment to its residents*	• Being able to explain the City's goals to anyone and describe personal commitment to them • Supporting superb, affordable City services and conveying that commitment effectively to residents	• Plotting and scheming to accomplish personal agendas • Deciding how you will vote and writing out those reasons prior to any public comment • Becoming angry at a resident who is critical of the Council
	i communicate in various ways that i am approachable, open-minded and willing to participate in dialog	• Being available to the public in person, at events, and through telephone and written correspondence to provide both answers to questions and dissemination of important information	• Confusing residents, spreading rumors and gossip, or slandering elected or appointed officials, City Staff, or anyone • Interrupting someone who has the floor
		• Listening attentively, being open to multiple perspectives, and allowing the possibility of changing opinions and points of view	• Listening solely to find flaws, to spot differences, and to counter arguments • Going out of my way during meetings to show why **I** am always right and others are not
		• Making it a practice to communicate equally well to all stakeholders, regardless of their influence, power, or campaign donations	• Dominating meetings and asking many more questions than time allows, effectively excluding the input of others

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Communicative (continued)	*I engage in effective two-way communication, by listening carefully, asking questions, and determining an appropriate response which adds value to conversations*	• During meetings, giving residents and others the benefit of the doubt and listening to identify needs and interests • Asking questions to clarify, to understand, and to augment, in order to hear the truth as the resident sees it • Making the best decision to advance the community's values and goals	• Considering people on the other side of issues as enemies, rather than as colleagues or fellow residents • Weakening public debate by belittling or mocking someone's viewpoint • Demonizing anyone who disagrees with a personal conviction or viewpoint
Collaborative	*I act in a cooperative manner with groups and other individuals, working together in a spirit of tolerance and understanding*	• Submitting one's best thinking, respecting all other participants and inviting their thoughts in order to develop better solutions • Seeing value in working with other agencies to develop consistent policies, where appropriate	• Describing people who hold different viewpoints as "them" • Failing to recognize personal biases, prejudices, stereotypes, and their influence on language and attitudes toward residents and others
	I work towards consensus building and gain value from diverse opinions	• Approaching meetings and discussions assuming that many people have pieces of answers and that cooperation will lead to workable solutions for the most difficult problems	• Approaching discussions as if there's already a single right answer that needs to be defended against opposing viewpoints
	I accomplish the goals and responsibilities of my individual position, while respecting my role as a member of a team	• Understanding that what I do speaks more loudly than what I say • Showing respect for Council Members, Staff, and residents by giving priority to my City commitment, doing my homework	• Focusing first on satisfying a personal or hidden agenda • Actively weakening the team that the Council and City Staff have devoted efforts to build

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Collaborative (continued)		• Understanding that each Council decision either builds public trust or detracts from it	• Dismissing any idea proposed by a Council colleague who supported someone else in the last election
		• Working hard to develop among Council Members, other officials, City Staff, and the public a kindred spirit of cooperation when working toward implementing City values	• Reaching conclusions based on satisfying personal or special interests and refusing to change one's position despite good reasons to reconsider • Holding grudges and considering some people as permanent enemies
	I consider the broader regional and State-wide implications of the City's decisions and issues	• While serving on County-wide committees, acting in a professional manner and approaching the tasks responsibly	• Making derogatory remarks about other cities, feeling that Santa Clara is superior
		• Serving on County or State-wide panels, freely sharing information and resources so everyone may benefit from the City's experience	• Having tunnel vision and ignoring anything beyond the City, depriving the City of the benefit of a broader, regional perspective

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Progressive	*I exhibit a proactive, innovative approach to setting goals and conducting the City's business*	• Contributing personal experiences and expertise to advance the goals of the Council and the City as a whole • Anticipating future problems or opportunities, raising the issues at the appropriate time for City Staff to investigate and for Council to consider	• Being dogmatic in approaching decision-making and only doing things the way they've always been done • Never taking a forward looking, principled or values-centered stand, but preferring to solve issues in an ad hoc manner • Focusing on the short term, being concerned only about meeting minimum requirements of law, politics, or efficiency
	i display a style that maintains consistent standards, but is also sensitive to the need for compromise, "thinking outside the box," and improving existing paradigms when necessary	• Being able to explain how a decision is consistent with ethical standards and the City's Core Values • Committing to ongoing improvement, progressive government, and moral imagination in solving problems	• Lying about personal mistakes and downplaying their importance • Manipulating discussions and decisions to advance personal, political aspirations • Speaking and listening only to one's friends on the Council
		• Taking responsibility for actions, making appropriate apologies or restitution when a mistake is made, and implementing a plan to develop practical skills to avoid such mistakes in the future • Actively listening, asking clarifying questions, and giving careful consideration to all	• Holding on to opinions and viewpoints so stubbornly that mistakes are made, impacting public trust • Letting personal limitations impede progress or the work of the Council • Playing the role of pessimist whenever a new idea is presented, trying to bulldoze personal ideas

The Code of Ethics & Values		*Behavioral Standards*	
1 **City** **Core Value**	**2** **Basic Actions and Character Traits**	**3** **Council Members Engage in Positive Behaviors Like**	**4** **Council Members Avoid Negative Behaviors Like**
Progressive (continued)		comments and viewpoints, even if they are expressed by people who think differently, have different beliefs, and have different groups of supporters	despite budget limitations, prior agreement, or consensus, and undermining new ideas by gossiping with others before the idea has a chance to be explored
	I promote intelligent and thoughtful innovation in order to forward the City's policy agenda and City services	• Encouraging talented and diverse individuals to become involved in City service, as well as recognizing and celebrating talent and new ideas that help the City reach its goals, improve City services, and implement City Core Values in best practice	• Pushing change in the City without ample thought, and causing change only for the sake of change, or only to fulfill a campaign promise

FPPC AdWATCH

The Enforcement Division will review all submitted advertisements and communications for compliance and actively pursue any potential violations.

File a

Form 700

How to

File a Complaint

Need a form?

View All Forms

NEW

- FPPC 50th Anniversary Political Reform Act [YouTube]
- CA FPPC's 50th Anniversary congratulatory message from Governor Gavin Newsom [YouTube]
- New Process for public comment by telephone!
- August Advice Letter Report
- Updated Cryptocurrency Contributions Fact Sheet

This Month at the FPPC

Commission Meeting: Thursday, October 17, 10AM

Trainings and Webinars

- Candidates/Treasurers:
  Tuesday, October 15, 2PM-3:30PM
- Completing FPPC Campaign Forms 460 & 497:
  Thursday, October 10, 2PM-3:30PM

I Want To...

View

Find ►

File ►

Get Involved ►

Complaint and Case Information Portal

You can use the Complaint and Case Information Portal to find information related to complaints and cases.

FPPC-AdWATCH

Your opportunity to submit advertisements that you believe may not be in compliance with the advertising disclosure rules.

Resources For...

Fact Sheets

Filing Officers

Ira Candidates & Committees

Public Officials & Employees

01 Lobbyists

YouTube Live

Commission Meeting: Thursday, September 19th, 10 AM

Please check at 9:55am. To participate in real time, visit http://mediasite.fppc.ca.gov/ or call (669) 444-9171; meeting ID 9856036268.

September 2024 Commission Meeting

FPPC Getting Started 1

FPPC

01:30

FPPC Getting Started 2

FPPC

01:20

REQUEST ALTERNATIVE FORMAT

All forms and publications on this website are available in alternative formats. If you would like a copy of a form or publication in an alternative format, please submit your request to webmaster@fppc.ca.gov

SUBMIT REQUEST

FPPC News & Updates

- The Maddy Report: California's Fair Political Practice Commission (YouTube)
- FPPC Chair Miadich on Insight, Capitol Public Radio, August 23, 2022 (Audio)
- California should end deceitful campaign fundraising tactic

  Politics brings out the passion in many people, passion strong enough that you decide you'll take your hard-earned money and give to your favorite candidate. You notice their pitch on-line, give your credit card number and contribute...

  Published: August 18, 2022
- Contending with crypto

  California campaigns could soon start accepting Bitcoin and the like after the Fair Political Practices Commission voted yesterday to reverse a four-year ban on the practice, making California one of 13 states (plus D.C.) to explicitly allow the novel donation source.....

  Published: July 07, 2022
- Californians can soon use cryptocurrencies to donate to state and local candidates

  Candidates for state and local offices in California will soon be able to accept cryptocurrency campaign donations..

  Published: July 21, 2022

VIEW ALL NEWS & UPDATES

What's New
Updated Rules, Forms, Manuals, etc.

Top 10 Contributors List

Tracking Behested Payments.

California Fair Political Practices Commission

The Fair Political Practices Commission is a five-member independent, non-partisan commission that has primary responsibility for the impartial and effective administration of the Political Reform Act.

The Act regulates campaign financing. conflicts of interest, lobbying, and governmental ethics. The Commission's objectives are to ensure that public officials act in a fair and unbiased manner in the governmental decision-making process, to promote transparency in government, and to

foster public trust in the political system.

What The FPPC Does

About the Political Reform Act

Organization & Responsibilities

Annual Report

Hearings, Meetings and Workshops

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California Secretary of State
Shirley N. Weber, Ph.D.

Home

Elections and Voter Information

Choose Language

English v

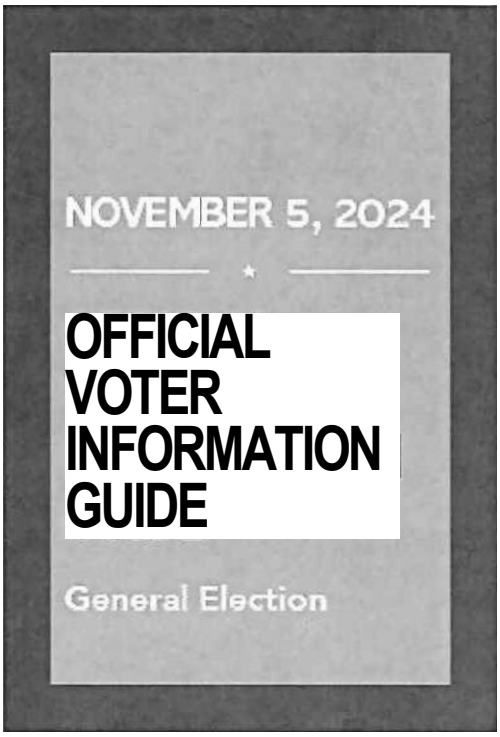
Election Voter Registration Voting Options Voter Education and Outreach

News Room

Election

November 5, 2024, General Election

- The last day to register to vote for the November 5, 2024, General Election is October 21, 2024.
- All California active registered voters will receive a vote-by-mail ballot for the November 5, 2024, General Election.
- Your county elections office will begin mailing ballots by October 7, 2024.
- Ballot drop-off locations open on October 8, 2024.
- Vote-by-mail ballots can be returned by mail, at a drop-off location, or your county elections office.
- Vote centers open for early in-person voting in all Voter's Choice Act counties beginning on October 26, 2024.
- Vote-by-mail ballots must be postmarked on or before Election Day and received by November 12, 2024.



Election Information

- General Election, November 5, 2024
- Advisories to County Elections Officials - October 2024
- Prior Elections
- 2024 County Administered Elections
- Committees and Boards
- Regulations
- Recalls
- Contact Us
- County Elections Officials Contact Information
- County Elections Map
- Frequently Asked Questions

Translated Election Information

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InformaciOn para nuevos votantes

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Language Requirements for Election Materials

Translated Publications

Ballot Measures

How to Qualify an Initiative

Initiative and Referendum Qualification Status

Qualified Statewide Ballot Measures

Referendum

Resources and Historical Information

Voter Information Guides

Candidate Information

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Political Parties

2024 California Election Guide Ballot

Designations Regulations Ballot

Designation Worksheet (PDF)

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Candidate Statements

Campaign Finance

Qualifications for Running for Office in 2024

Randomized Alphabet

County Elections Officials

Advisories to County Elections Officials - October 2024

Prior Elections

Current and Proposed Regulations

Election Security

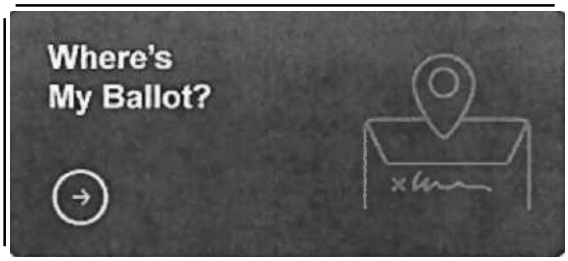
California Trusted Information

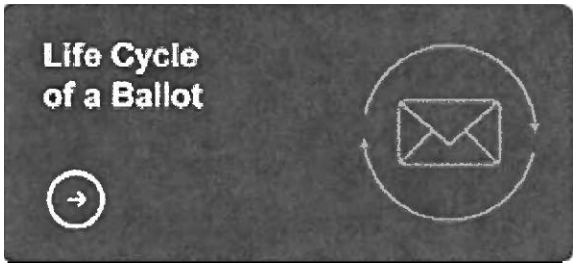
Post-Election Audits

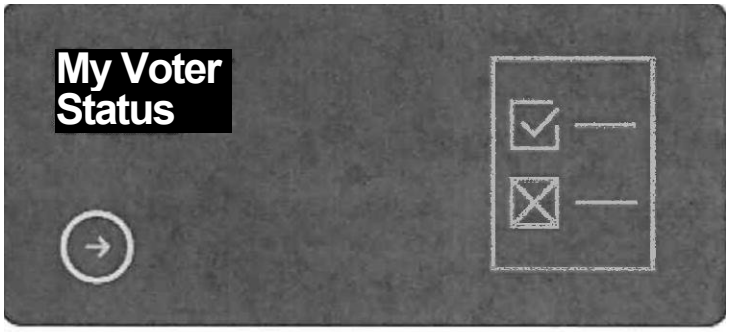
Office of Election Cybersecurity

Vote Sure

Voting Technology




Life Cycle
of a Ballot


My Voter
Status

Voter's
Choice Act

Translated Election
Information