Translating Ethics Into Everyday Actions
City of Santa Clara, California

Presenters:

Judy Nadler
Mayor
City of Santa Clara
California

Aldyth Parle
Vice Mayor
City of Santa Clara
California

Jennifer Sparacino
City Manager
City of Santa Clara
California

Dr. Thomas Shanks
Senior Fellow in Business and Public Policy
Markkula Center for Applied Ethics
Santa Clara University
Santa Clara, California

City of Santa Clara website:
www.ci.santa-clara.ca.us

Markkula Center for Applied Ethics at Santa Clara University website:
www.scu.edu/SCU/Centers/Ethics

City of Santa Clara, California Data Sheet

Form of Government	The City of Santa Clara is a Charter City, incorporated in 1852 under the laws of the State of California. Santa Clara uses a Council-Manager form of government, with a seven member City Council including a directly elected Mayor. The City Council serves as the legislative body, sets policies and procedures, and represents the citizens of Santa Clara. The City Manager, as the Chief Executive Officer appointed by the City Council, implements Council policies and procedures, and administers the City government operations. The City Attorney and the City Auditor are also appointed by the City Council while the City Clerk and the Chief of Police are full-time elected positions.
Land Area	Approximately 19.3 square miles.
Budget	The City of Santa Clara's 2000-2001 fiscal year budget is $389.5 million. The budget includes $44.6 million for City capital improvement projects, and $219.8 million for the City's electric, water and sewer utilities.
Population (Jan., 2000)	102,000 in the City of Santa Clara; 6.9 million in the region
Racial Composition (1990 Census)	64% White, 18% Asian, 15% Hispanic, 3% Black
Age Composition (1990 Census)	19% below age 18, 53% 18 – 44, 18% 45 – 64, 10% over 64
Household Composition (1990 Census)	27% one person households, 34% 2 persons, 18% 3 persons, 12% 4 persons, 9% 5+ persons
Employment (Nov., 2000) (CA Emp. Dev. Dept.)	98.5% of those 18 years of age or older are employed
Education (1990 Census)	(of those 18 and older) 16% no high school diploma, 22% high school diploma, 34% some college, 28% college degree
Description of Community	Located in the heart of high technology's famed Silicon Valley, the City of Santa Clara enjoys a strong economy and a high quality of living. The City of Santa Clara is a balanced and diversified community, featuring attractive residential areas, vigorous industrial parks, multiple shopping centers, excellent parks, and fine public and private schools. Santa Clara is the home of many corporations including the head offices of three companies on the national Fortune 500 list.

EXECUTIVE SUMMARY

Can public officials, municipal board and commission members, citizen participants and municipal employees at all levels agree on a definition of ethical behavior as well as other important values, and develop the habit of incorporating these principles into everyday actions?

The Ethics and Values Program of the City of Santa Clara, developed in conjunction with Santa Clara University's Markkula Center for Applied Ethics, was designed to create a new, "living" Code of Ethics and Values for the City and to instill the Code's core values into the operating culture of City Hall. Its goal is to help the individuals who make decisions and implement policies and programs in the municipality fulfill the City's mission statement: "To promote a living and working environment that allows for the best quality of life by serving the community with resourceful, efficient, progressive and professional leadership."

A committee of City Council members, City commissioners, residents, and City staff worked with representatives of the Markkula Center to identify eight core values and to describe in specific language what behaviors and attitudes would exemplify each value. The Code of Ethics and Values was adopted by the City Council on April 7, 2000, and has become the basis for a series of training sessions for elected officials, candidates for municipal elective office, citizen members of City boards, commissions and committees, City staff, and volunteers. Workshops introduce the concept of the Code and have participants work in small groups to translate the values into behaviors specific to their everyday roles and responsibilities in municipal government. Additional implementation phases are scheduled for ethical decision-making training, the development of skills to remove individual and organizational stumbling blocks to the values, incorporating positive reinforcement to values-based action, and methods for accountability. On-going problem solving, the development of additional resources, and communication with citizens are constants in the program. When the Code was adopted, the Council also approved evaluating and revising it annually during City goal-setting.

Although many municipalities have written Codes of Ethics, the documents tend to be formal language that emphasizes legal aspects of behavior. The innovative concept of Santa Clara's Code of Ethics and Values is to provide guidelines that individuals can use systematically in everyday decision-making and problem-solving, integrating these guidelines into every aspect of the municipal culture.

PROBLEM ASSESSMENT

The world has changed dramatically during the past decade. In Silicon Valley, the rate of change has been exponential, matching the speed of technological change, and has affected every aspect of the way people live and work. As a result, the City of Santa Clara, the geographic center of Silicon Valley and the technology revolution, has been challenged to develop new approaches and methods for building public trust in the City's services and public confidence it its decision-makers. Very little in the 21st century is as clear as black and white. Now individuals and communities are challenged to find their way among multiple shades of gray. It is more difficult than ever to know what is the right thing to do.

Like many jurisdictions, the City of Santa Clara adopted a written Code of Ethics in the 1960s. But other than periodic updates (the last revision was in 1988), the Code -- written in stilted, formal language far removed from the daily reality of running a municipality -- was not particularly useful in providing guidelines for the day-to-day actions and decisions made by elected officials, government staff, citizen members of commissions and boards, residents and volunteers. The 1988 Code reflected the typical way cities encouraged ethics for local government officials then: by institutionalizing a reactive, legalistic, blame-punishment approach that focused on discouraging and detecting unethical behavior. The City's new Code of Ethics and Values, adopted in April 2000, takes a proactive, human-development and problem solving approach that focuses on encouraging ethical behavior and deterring unethical behavior by consensus about and commitment to the values at every level of the organization.

In 1998, a Council Member proposed that the City of Santa Clara establish a committee to study the feasibility of creating a new Ethics Ordinance. In 1999, the City of Santa Clara formed a committee of three elected officials, nine City commissioners, two community members, the City Manager and the City Attorney to work with representatives of Santa Clara University's Markkula Center for Applied Ethics to identify the values the City wanted to consider its "core values," those that needed to be reflected in everyday attitudes and actions if a city was to be considered "ethical."

The Ethics and Values Program in the City of Santa Clara has two long-range goals: (1) to make Santa Clara a better community, built on mutual respect and trust; and (2) to promote and maintain the highest standards of personal and professional conduct in the City's government. It focuses on two important relationships, one external and one internal. The first is the relationship between the municipal government and its citizens; the second is between and among the City's employees, staff and volunteers.

Specific objectives of the Ethics Program are to:

• provide practical strategies for addressing ethical questions and values

• heighten awareness of ethics and values as critical elements in local government

• improve ethical decision-making and values-based management by elected officials in setting policy, and by appointed officials, City staff and volunteers in handling day-to-day tasks

In short, the challenge was to create an ethics and values code of conduct that would be effective in influencing the behavior and actions of City officials, employees, volunteers, and residents.

PROJECT DESCRIPTION

The City of Santa Clara formed a partnership with the Markkula Center for Applied Ethics at Santa Clara University, a private Jesuit university in the City, to develop a unique approach to ethics in municipal government. The Markkula Center provides research, workshops, training and consulting, and generally serves as an ethics resource to business, health care, public service and education. Based on the recommendation of the University Ethics Center, the City of Santa Clara approached its consideration of ethics as a multi-part process.

(1) With guidance from representatives of the Markkula Center for Applied Ethics, the City developed a new written Code of Ethics and Values designed to provide clear, positive statements of ethical behavior reflecting the core values of the community.

(2) Once the Code was developed and adopted by the City Council, the City launched a series of workshops to help City representatives, staff and volunteers incorporate the identified core values into the operating culture and everyday routines of the City. A staff Values Committee is working with Dr. Shanks, the City Manager, and Department Heads to customize the workshops for the particular history and needs of individual departments. These workshops continue to be held throughout the year and will continue annually.

(3) Subsequent implementation phases have and will continue to involve ethical decision-making training, the development of skills to remove individual and organizational stumbling blocks to living our values, incorporating positive reinforcement to values-based action, as well as methods for accountability.

(4) After these phases are completed (by June 30, 2002), we will continue to make training, on-going problem solving, the development of additional resources, and effective communication with citizens part of the way the City does its regular business. To assist in the on-going and integrated nature of the Ethics and Values program, Council's adoption of the new Code of Ethics and Values in April, 2000 also included evaluating and revising it where necessary on an annual basis, during City goal-setting.

Developing the Code of Ethics and Values

It is not a simple task to define the ethics and values of a diverse community of 102,000. As a first step, an Ethics Ordinance Committee met over several months, under the guidance of Thomas Shanks, Ph.D., then Director of Business and Public Policy Programs of the Markkula Center at SCU, to consider what values needed to be at the core of the City's attitudes and actions if its citizens were to have public trust in the City's services and public confidence in its decision-making. In the absence of public trust and confidence, democratic government is severely hampered, if not impossible.

To develop this set of values, participants in the process began by telling stories of what they considered the City acting at its best. Participants were asked to come to the first workshop having thought about this question, "What examples come to mind of the City acting at its best? In other words, when can

you think of something the City or its citizens did that made you proud or made you smile?" Participants first explored their own personal values and why those values were important in order to understand the similar reasons the City would have a set of core values.

Once participants were comfortable with values language, the remainder of the process was devoted to arriving at a consensus set of values that would answer this question, "When we (City Council, employees, volunteers and citizen participants) operate at our best for citizens and for each other, what values characterize us?"

The group developed a list of 70 values, attributes and behaviors that were considered desirable qualities for City representatives to have when interfacing with members of the community and dealing with each other. [See the worksheet in Attachment 1.] Committee members then worked in small groups to select those descriptors that participants felt were critical as standards of conduct for City representatives. These eight values -- ethical, professional, service-oriented, fiscally responsible, organized, communicative, collaborative, and progressive -- became the foundation for the Ethics Committee to write a new Code of Ethics and Values that would describe the positive behavior desired among City representatives. All of the other descriptors identified in the exercise were clustered under these main headings so that no important thoughts or feelings would be overlooked.

The next step was to turn this list of words into statements that clearly define what each value looks like and does not look like in practice. [See attachment 2 for sample worksheet.] At several steps of the process, the entire group was re-engaged to make sure that there was consensus and buy-in for the work being developed. Once a final draft of the new Code of Ethics and Values was created, the group was asked to reconcile it with the previous Code of Ethics.

All City Department Heads considered this near-final draft and suggested revisions to make the document more effective with City employees and staff. The Ethics Ordinance Committee incorporated virtually all the changes suggested by Department Heads and other City staff into the final document [a copy of the final Code of Ethics and Values, adopted by formal action of the City Council in April, 2000, follows this section].

Dr. Shanks served as instructor, facilitator, and coach during the lengthy, thoughtful process. In addition to facilitating the Code workshops and the initial training in its implementation, he has also been serving as a neutral third-party when ethics and values issues emerged as the City was developing its Code and conducting training. At those times, Dr. Shanks' role was not to serve as the final arbiter of right or wrong, nor to recommend particular courses of action. Rather, he asked questions to help decision-makers determine if various courses of action were ethically appropriate. "I reflect back to decision-makers the way their decision might look to an average person of good will, highlighting problems with harms/benefits, fairness, moral rights, the common good, and the newly defined City Core Values," he explains. His outline on the basics of ethical decision-making (see Attachment 3) served as an important guideline for the group as it worked through its discussion of ethical considerations.

City of Santa Clara Code of Ethics and Values

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.

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, and treating everyone the same unless there are relevant moral reasons to treat them differently.

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.

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.

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.

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.

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.

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.

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.

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.

The following excerpts from the previous Code of Ethics and the new Code of Ethics and Values show how the document has evolved from a list of "you shall not" statements to a tool that can be used in conducting everyday business with more awareness of the character traits that should be displayed by habit. The new Code also provides a better guideline for making the "right" decisions while treating people fairly and with dignity and respect.

Excerpts from previous Code of Ethics	**Excerpts from new Code of Ethics & Values**
Public officials and employees should not exceed their authority or breach law or ask others to do so…	I am trustworthy, acting with the utmost integrity and moral courage.
No public official or employee should encourage or accept any application or communication from any party made out of the presence and without the knowledge of other parties in a matter under consideration when such application or communication is designed to influence official decision or the conduct of that official or employee, or other officials, employees, or agencies in order to obtain favored treatment or special consideration to advance personal or private interests.	I extend equal opportunity and due process to all parties in matters under consideration.
No public official or employee should grant any special consideration, treatment or advantage to any citizen beyond that which is available to every other citizen.	I am fair, distributing benefits and burdens according to consistent and equitable criteria, and treating everyone the same . . .
City officers and employees should not engage in any employment, activity, or enterprise for compensation which is inconsistent, incompatible, in conflict with or inimical to their duties . . .	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.
Councilors, other public officials, and employees should not, without proper legal authority, disclose confidential information . . .	I show respect for persons, confidences, and information designated as "confidential."

The next phase of the Ethics and Values Program focuses on a series of training workshops for different segments of City government to familiarize them with the new Code of Ethics and Values and to show participants how to use the Code in ethical decision-making in their day-to-day environment. Separate workshops have already been held for elected officials, candidates for municipal elective office and their campaign workers, appointed members of commissions and boards (70 in total) and senior staff (close to 100 department heads and division managers). An employee committee discussed plans for extending the program to large numbers of employees, department by department. [See attachment 4 for a sample memo sent to employees inviting their participation.] Additional workshops for staff and volunteers will continue to be scheduled throughout the year so that an ever-widening pool of individuals becomes familiar with the Code and its use as an effective tool in day-to-day actions and decision-making. It is anticipated that by the end of 2001, about 1200 individuals involved with municipal government in the City of Santa Clara will have participated in one or more workshops on ethics. In a later phase, workshops will also reach out to local residents.

Beginning with the leadership of the City was a deliberate strategy because of the need for top leaders to model the behavior and attitudes that the organization as a whole is being asked to adopt. The most important key to success in an organizational culture change is to have leaders "walk the talk." Research shows that leadership from the top is the single-most important element in a successful ethics and values program. The next most important elements for success are consensus about the values themselves and commitment to the program from employees throughout the organization.

The agenda for a typical first stage implementation workshop is straightforward: an introduction to the goals of the Code of Ethics and Values, and a description of the process that led to the development of the Code, followed by a small group exercise. Participants are divided into eight groups with each group assigned one of the eight core values of the Code of Ethics. Worksheets help each group discuss how that value relates to their roles and responsibilities in the City. [For example, elected officials focused on ethical campaigning issues and how to build trust in the community. Department Heads discussed how to maintain a commitment to the values when stressed by tight deadlines, insufficient resources, and/or an upset public.] Individuals are first encouraged to think of specific examples of actions and behaviors consistent with the values and which support the value being lived in practice. Actions and behaviors opposed to the values and living them are considered next. Each small group then reports back to the full workshop, and their comments are compiled and distributed to all participants. [See attachment 5 for an example of the behavioral standards document developed in one workshop.]

From words on paper to action

Follow-up by Department Heads, the City-wide staff Values Committee (called the "Make It Real Committee"), and ultimately by employees themselves in informal interactions, all serve to reinforce behaviors consistent with our values. The City is exploring several different methods of positive reinforcement that will help incorporate the Code into the culture of City Hall and be a practical, helpful tool for day-to-day decision-making. These activities include:

• Discussion of the Code and its applicability to routine situations during department meetings.

• Linking the Code to recognition of employees who provide outstanding service to the public [See Attachment 6 for a sample page from the employee newsletter].

• Inclusion of a section on ethics and values in the orientation manuals prepared for the City Council and for citizen members of City boards, commissions and committees.

• Highlighting the eight tenets of the Code on the employment application form (both online and hard copy).

• Addition of the following phrase to job description requirements used when recruiting and selecting new employees: "demonstrates strong ethical, professional and service-oriented leadership and interpersonal skills; sets a good example and correctly applies the tenets of the City's Code of Ethics and Values."

• Positively reinforcing implementation of values through employee performance appraisals.

• Collection in the City Manager's Office of anecdotal examples demonstrating how the Code is a useful tool.

• Discussion of the Code and its uses in a variety of other communication channels in the City including the quarterly City newspaper distributed to all residents and businesses, the City website, and articles in the region's daily newspaper.

• Establishment of an "Advice Hotline" with the Markkula Center for elected and appointed officials and employees, for confidential calls for advice when facing an ethical dilemma.

COSTS

The contract with Markkula Center was $5,000 for the first year and $20,000 for the second year for consulting services. Other costs, such as City staff support to the effort, were absorbed in the annual budget. The budget has been increased to $50,000 in the current year based on the number of new programs added and planned.

RESULTS

One of the themes of the Markkula Center of Applied Ethics is that "it is good to have a code, better to have a useful code, even better to have a code that emerges from a consensus of core values, and best to have a consensus code that translates into behaviors and decisions each person in the organization practices in their day-to-day work."   Although there is still much to be accomplished (and, in fact, an ethics program is an activity that never has an "end"), the City of Santa Clara believes it has achieved much since it began the process of developing a Code that could serve as a practical tool in helping the City ensure that policies and actions are ethical and deserving of the public's trust.

• Consensus was reached on the City's eight core values. The process of identifying possible values and working together to agree on which are most important and universally applicable raises the level of awareness and understanding among all who participated. The Ethics Program has heightened awareness of ethics and values as critical elements in local government.

• Workshops have taught elected and appointed officials, candidates for office, commission and board members and some City staff how to apply the Code of Ethics and Values to specific purposes and problems…how to devise practical ways to remove stumbling blocks…and how to better serve the citizens of Santa Clara to the best of their ability.   With the training of candidates for office and their campaign workers, follow-up meetings after the election assessed the positive impact of the Code (brochures were perceived to be more "fair," for example). With commission and board members, the "Advice Hotline" resulted in follow-up intervention and correction of unproductive interactions between a commissioner and staff.

• The Code of Ethics and Values has become part of the orientation of new staff, commissioners, candidates for elective office, and Council Members so that they have a better understanding of their roles and relationships with others. [See Attachment 7 and 8 for selected pages from the orientation handbooks.]

• Workshops now being delivered to each department are engaging an ever-increasing number of employees in values-based decision-making and equipping them with practical strategies for addressing ethical questions.

• An on-going program of discussion of the Code helps to give its existence and purpose top-of-mind awareness so that its ideas will become incorporated into the City's culture and into the modus operandi of individual employees. Events such as Police Department Promotions Ceremonies, remarks such as speeches at retirement programs, and printed programs for events are highlighting the Code of Ethics and Values. Other printed materials highlight the Code of Ethics and Values including notepads, posters under design for display in municipal buildings and conference rooms, and a section in the City's Year 2000 Millennium Year Annual Report/2001 City Calendar distributed to each mailing address in the City.

Any negative reaction to the Code of Ethics and Values presents a positive opportunity to discuss the Code and its goals and objectives. Negative comments have been few and tend to center on one of the following concerns: 1) ethics are personal and should not be discussed in the workplace; 2) the behaviors identified in the Code are common sense and it is insulting to think I need to be told how to act; 3) I was not part of the group that developed the Code, therefore I don't have allegiance to it; 4) other people have problems with making ethical decisions, not me.

The experience of the workshops overcomes these objections in most cases. Workshop participants discuss the "gray areas" of everyday situations where it is not crystal clear what is the appropriate course of action. Through the workshop exercises, participants come to realize they agree with the Code and that they do frequently have workplace situations where the Code will be a useful tool in making decisions. In response to negative reactions, the emphasis in publicizing and discussing the Code is on "values" rather than "ethics."

Assessment and Success

We are currently developing qualitative and quantitative mechanisms to assess the success of the Code of Ethics and Values in meeting its short term and long term goals. Anecdotal information suggests that the Code is being used as a tool in recognizing and dealing with ethical/values decisions in day-to-day operations of the City. Council Members report that they feel there is an increase in respect among themselves for differing opinions. One Council Member said she used the guidelines for ethical decision-making to decide whether to endorse or just support a candidate for Council during the fall 2000 election. Candidates for City Council, and their election consultants, report they gave more thought to ethics and values as they prepared their campaign strategies and literature. Department Heads have shared that the Code has made them more conscious of fairness issues and more thoughtful about the ethical aspects of everyday activities.

Baseline data is now being gathered from employees during the workshops for each department that will be used to quantitatively measure the impact of the Code on the culture of City Hall. [See attachment 9 for an example of this survey form.] Follow-up surveys administered annually will measure how perceptions and actions are changing. In the next citizen survey, residents will be asked specific questions about their trust and confidence in local government; responses will be tracked and evaluated.

In the long term, the City of Santa Clara will consider the program successful:
1) when every employee, as well as elected and appointed officials and volunteers, see ethical and values-based actions, guidance and supervision as part of their everyday job and act accordingly.
2) when every citizen and all City employees and staff know that they should expect ethical and values-based treatment.
3) when every citizen and all City employees and staff experience such respectful treatment habitually in matters of small and large importance.
4) when citizens say "This is a great place to live because we live our values." And when City employees say "This is a great place to work because we live our values."

Representatives of the City and the Markkula Center for Applied Ethics described the City of Santa Clara experience in a presentation on "Practical Ethics for Local Officials: Strengthening Public Trust" at the 1999 League of California Cities Conference. Another presentation on the program was made at the International Conference On Making Cities Livable in San Francisco in December of 2000. The City of Santa Clara hopes to become a model for other municipalities that want to clarify their community's ethics and values, create a practical tool for decision-making and day-to-day operations, and to make a good workplace better.

Worksheet for identifying the most important values
considered to be desirable when interfacing with members of the community

Group brainstorming generated this list of 70 characteristics that could be considered core values for the City of Santa Clara. In this exercise, each participant was asked to select the one most important value and the next four most important values.

Qualities identified by group brainstorming	Most important value (participants select only one)	Next four most important values
Fairness		
Competent		
Ethical		
Fair		
Integrity/keeping word		
Non-judgmental		
Respecting needs/differences		
Impartial		
Knowledgeable		
Professional		
Timely action response/follow through		
Trustworthy		
The above qualities were the top vote-getters in the City of Santa Clara		
Efficient		
Hardworking		
Helpful		
Innovative		
Proactive		
Respect		
Willing to risk		
Calming		
Communicate		
Confident		
Consensus-reaching		
Consistent		
Do no harm		
Frugal but wise		
Getting all facts		
Having lofty goals		
Honesty		
Listening carefully		

Loyalty to job/function		
Open attitude		
Progressive		
Selfless		
Service oriented		
Sharing (knowledge, time, etc.)		
Truthful		
Try to help me		
Unbiased		
Accept responsibility		
Anticipate need		
Approachable		
Attention to self-development		
Attitude helping		
Caring to do what people expect		
Central/integral role		
Compromise		
Concerned for happiness		
Courteous		
Emergency response		
Enjoy what you do		
Enthusiastic		
Everybody is important		
Explaining questions		
Getting all views		
Good and quick customer service		
Intuitive		
Non-discriminating		
Non-discriminatory		
Presentable/look		
Promise keeping		
Punctual		
Resolve difficulty		
Service with a smile		
Sociable/friendly		
Succinct/concise		
Try to understand		
Understanding		
Willing to fail		

MARKKULA CENTER FOR APPLIED ETHICS
SANTA CLARA UNIVERSITY

Values as Standards of Conduct Worksheet[©]

Value	COLLABORATIVE

Statement of Value

Groups and individuals involved with the City of Santa Clara act in a cooperative manner, working together in a spirit of tolerance and understanding. They work towards consensus building and gain value from diverse opinions. Aware of regional presence and importance of considering broader implications of issues.

Descriptor	Looks like	Is Not
Cooperative	Focus on working together in a spirit of mutual understanding	Stubborn and close-minded
Working together	Everyone does their part, working towards goals and objectives; team players	Independent agendas; over-opinionated
Tolerant/understanding	Accepting, willing to listen, open-minded	Close-minded, pre-judgmental, biased
Compromise and consensus	Has an open mind; willing to listen to all before making a decision; willing to move off a position when compelling reasons are raised; values teamwork and collaboration with others	Yields to pressure from narrowly focused special interest groups at the expense of the overall good of the City; makes up their mind and will not budge from that position despite good reasons to reconsider
Gaining value from diverse viewpoints	Giving and taking of ideas, discourse regarding issues, allowing others to speak their mind, objective	"Sour grapes" and name calling; fighting; personalizing issues; subjective; holding grudges. Decisions made with no input

Basics of Ethical Decision-Making
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1. What are ethical issues?
An ethical issue is present when a decision raises a question in a person's mind about whether the decision is consistent with the person's own moral standards or with the moral standards most people would accept. Such questions, for example, may include whether the decision wrongly harms people, whether the decision wrongly infringes on people's rights, or whether the decision wrongly treats people unfairly. Ethical issues are not the same as legal or professional issues. Legal issues are questions that are raised about whether an action or a decision is consistent with the legal standards embodied in the law, while professional issues are questions that are raised about whether a decision is consistent with the principles of a particular profession. A single decision may simultaneously raise ethical, legal, and professional questions and so may involve all three kinds of issues.

2. Who are the stakeholders?
A stakeholder is any person or group that will be directly and significantly affected by a decision. Typical groups of professional stakeholders include: teachers, parents, government entities, media, police/fire officials, politicians, children, healthcare workers, citizens, etc. Persons who will be negligibly affected by a decision should not be counted as stakeholders.

3. What is the ethically-appropriate decision?
There are four main kinds of ethical standards.

• **Consequences:** What are the overall benefits and harms that a potential decision will impose on everyone? Which decision will produce the most good for all stakeholders and do the least harm?

• **Individual's rights:** What rights do individuals have that others must protect? Which decision best respects the rights and dignity of all parties? How justly (or fairly) does each decision distribute benefits and burdens among people? What relevant moral reasons can be advanced for treating people differently? Even if not everyone gets all they want, will everyone still be treated fairly?

• **Common good:** Which action promotes the common good and helps all to participate more fully in the goods we share as a society, as a community, as a school or other institution, as a family? Which promotes values and goals we hold in common?

• **Virtues:** Which action enables the deepening and development of those virtues or character traits that we value as individuals? as a profession? as a society? Such values (like integrity) help all to flourish.

4. Are there any obstacles that stand in the way?
Pressures and obstacles sometimes lie in the way of doing what is right. For example, are there any laws, policies, or professional practices that are obstacles to doing what is right? Are there any pressures from individuals, personal risks and hardships, or personal financial constraints that stand in the way? Are there any significant uncertainties that may cast doubt on the reliability of one's ethical conclusions? Sometimes what looks like the most ethical course of action may be the course of action that is truly impossible to implement. No one can be obligated to do what he or she cannot do, but a decision about the impossibility of moral action should never be easy.

ATTACHMENT 4: Memo To Employees Inviting Their Participation

INTEROFFICE MEMORANDUM
City of Santa Clara

DATE: September 20, 2000

TO: City Employees

FROM: City Manager

SUBJECT: Invitation to Help Shape the City's Ethics Program

After two years of work by community members, City staff and the Ethics Ordinance Committee, the City Council unanimously approved the City's Code of Ethics and Values in April 2000. The Code states in a positive way the values that guide our work in Santa Clara. Representatives of the City commit to be ethical, professional, service-oriented, responsible, organized, communicative, collaborative, and progressive. In Santa Clara, our City staff provides outstanding citizen service, which is consistent with the values in the new Code.

I have worked with the Ethics Ordinance Committee and Dr. Tom Shanks, Senior Fellow in Business and Public Policy at Santa Clara University's Markkula Center for Applied Ethics in creating the Code. One important part of the initiative is to introduce City employees to the Code of Ethics and Values and the ethical decision-making process.

Through this memorandum, I am inviting City employees to work with Dr. Shanks and me to help shape our Ethics Program for employees. If you are interested in being part of this effort, consult with your supervisor to arrange for attendance at a meeting on either Monday, October 2 at 10:00a.m. or Tuesday, October 3 at 1:00 p.m. The meeting will be held at City Hall in the Staff Conference Room.

Attached is a copy of the Code of Ethics and Values. The City's work over the last few years on ethics and values is unique in the state; and all of us who have worked on it are enthusiastic about its promise for our employees and citizens of Santa Clara. I look forward to the opportunity to work with you on this excellent program.

Jennifer Sparacino
City Manager

JS:yfg

Attachment (Code of Ethics & Values)

City of Santa Clara, California
CODE OF ETHICS AND VALUES 2000

BEHAVIORAL STANDARDS FOR COMMISSIONERS, BOARD MEMBERS, AND OTHER APPOINTED OFFICIALS
JANUARY 29, 2001 DRAFT IN PROGRESS
(additional comments from Board and Commission Members still to be incorporated)

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific 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 seem to go out of my way to talk with citizens about Commission issues, but my real purpose is to advance my own political career.
		I 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 remind the public during a meeting that if the Commission makes this recommendation it will hurt my business interests.
		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 someone else.
		I pay attention to how my deeply held values and beliefs shape my words and actions and I strive for consistency in what I say, what I do, and what I believe as a Commissioner.	I promise votes or appear to promise votes before all the facts are known.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Ethical *(continued)*	*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, but am careful not to argue with testimony given by the public.	I deceive or am evasive with citizens or staff about the real values and motives on which I base my decisions and comments.
		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.
	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 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, and treating everyone the same unless there are relevant moral reasons to treat them differently.	Prior to meetings, I seek information from staff about similar cases and criteria the Commission has applied in the past, and do my best to apply the same criteria in the case before us.	During Commission meetings, I interrupt those presenting positions with which I disagree before they are finished, and speak to them in a disrespectful tone.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
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..*		I get angry during public testimony and vote based solely on my emotions and passions. I vote based on who has made the request, rather than 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 information from closed sessions.
		I treat the public in meetings the way I treat respected friends, and disregard my feelings about the person testifying or the contents of their testimony in order to make my best decision about ways to advance the City's approved goals and plans.	I make judgments based on stereotypes and indicate I am angry, bored, or upset in some way by reading a newspaper, talking while someone else is, rolling my eyes, or leaving during testimony I don't like.
		I treat City staff as professionals and colleagues, acknowledging their abilities, skills, experience, and commitment to the City.	I criticize City staff and embarrass them in public, rather than discussing problems privately with person or their supervisor.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Ethical *(continued)*	*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.*	I use my City title to identify 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.	I use my City title when I 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 I 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, competent, and productive manner.*	I prepare by reading the agenda before the meeting and asking the staff ahead of time informational questions to assist my preparation.	I rush into the meeting 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.
Professional *(continued*	*I approach my job and work-related relationships with a positive attitude.*	I approach my Commission work informed of issues, enthusiastic, energized, interested, 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.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
		I welcome guests to the meeting and encourage new people to attend meetings and provide their opinions.	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.
		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 seek advice from experts or a mentor. I enroll in workshops, especially ethics workshops, and study sessions.	I am defensive or even hostile when the Chair or senior Commissioner offers advice to me outside of meetings.
Professional (*continued*)		I am open to learning from others on the Commission and to increasing my knowledge through the available City resources.	
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 the meeting or when they make inquiries to me directly about commission business.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
		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 discussion.
	I am attuned to, and care about, the needs and issues of citizens, public officials, and city workers.	I make myself available 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 or points of view are wrong or misinformed.
		I attend City events and interact effectively with the public, aware that I can be a good role model.	I show up at City events late, leave early, and spend most of my time there talking only to one or two other people I usually talk to at such events.
Service-Oriented *(continued)*		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 criticism as well as compliments.	In word and action, I discourage people from expressing their concerns or proposing what they believe are solutions. 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.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
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.
		I use city equipment only for my Commission work, not for personal or business gain.	
Fiscally-Responsible *(continued)*		I use the City's resources, especially staff liaison time, to answer questions I feel are "need to know" rather than "nice to know" items.	I spend a great deal of time with staff asking a lot of questions that focus on minutiae prior to each meeting and I'm unable to separate what's important from what's not. I know I'm using staff time, but I justify it by saying, "It's their job to prepare me for the meeting."

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
	I make good financial decisions that seek to preserve programs and services for City residents.	I'm fully aware of and understand the approved City budget, and have solicited explanations from City Management, if necessary.	I try to take as many trips as possible at the City's expense because I'm not getting compensated and I feel I deserve some reward for my City work.
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 am cognizant of the importance of scarce meeting time and prepare accordingly. So, you and other Commissioners spend time on the important issues and deal with the other efficiently.	I rely on what I already know or what I think I know.
	I follow through in a responsible way, keeping others informed, and responding in a timely fashion.	I share my research and experience with others at the meeting confident that I have something worthwhile to contribute but knowing that others may have critical information I don't.	I rely on hearsay from a third party rather than gaining first-hand knowledge.
		I keep an open door policy and encourage timely communication.	During the public meetings, I ask as many questions about small issues as I do about issues of great significance to the City.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Organized *(continued)*			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 receives 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 commission.	I criticize City policies in public meetings without first expressing my concerns to City staff or gaining knowledge I need in order to offer constructive criticism.
		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 responsible, and make excuses which damage public trust.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Organized *(continued)*		I am able to explain to citizens how the City's policies and procedures are examples of the City's Core Values in practice.	I am cynical about policies and cavalier about following procedures because I fail to see how these are related to fairness 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 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.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Communicative *(continued)*		I make it a practice to communicate 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.
	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, staff, and fellow Commissioners 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.
Collaborative	*I act in a cooperative manner with groups and other individuals, 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 threaten it.	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 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 probably already have but have to defend against people who I feel don't have the brains or the heart that I do.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
Collaborative *(continued)*	*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 don't 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 experience.	I have tunnel vision and ignore anything beyond the City, even though what I might learn could affect my position and City responsibilities.

City Core Value	Looks Like These Character Traits:	Specific Behaviors and Actions to Practice:	Specific Behaviors and Actions to Avoid:
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 that connect the goals of the commission with my own experiences and expertise.	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 be an ethically neutral leader who solves issues in an ad hoc manner, focuses on the short term, and is concerned only in meeting minimum requirements of law, politics, or fiscal responsibility.
	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 cities core values, but also meets requirements of a city that is committed to ongoing improvement, progressive government, and moral imagination in solving problems.	

Progressive *(continued)*		When I make mistakes that impact public trust, I disclose them as soon as possible, take responsibility for my actions, make appropriate restitution, and implement a plan to develop practical skills to avoid such mistakes in the future.	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.
	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.	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.

CITY CORNER

Santa Clara Employees' Newsletter   February, 2001

Citizen Service Excellence – Employees Exemplify City Values

These eight values -- ethical, professional, service-oriented, fiscally responsible, organized, communicative, collaborative, and progressive -- are the foundation of the City's new Code of Ethics and Values adopted by the City Council in April of 2000, and reported in a prior issue of the *City Corner*. These values were developed when an initial committee of City Council members, City commissioners, residents, City Manager, and City staff described our City employees at their best. The values are considered to be part of the 'culture' of all our personnel, in all departments, and are the basis for recent City discussions and training for Council Members, citizen members of board & commissions, department heads, and candidates for municipal office in the most recent election.

To explore further how these values can provide practical strategies for addressing workplace questions, a Values Program is being designed and will be discussed department by department. Initially, employees from Planning, Parks & Recreation, Engineering, Electric, Water, Library, Building Maintenance, and the City Manager's Office met to talk about how to customize potential Values Program workshops to meet the needs of different departments. Two departments, Parks & Recreation and Fire, have now volunteered to be the first to participate in the Values Program, with a goal to involve all departments by the end of this year. Participation of employees, their insights and suggestions, will allow for the Values Program to be more fully developed and to evolve into a useful tool.

How did we get this far? The City formed a partnership with the Markkula Center for Applied Ethics at SCU more than two years ago, to develop this unique approach to identify values as tools in municipal government. The Markkula Center provides research, workshops, training and consulting, and serves as a resource to business, health care, public service and education. The work with the City of Santa Clara is led by Dr. Tom Shanks, Senior Fellow in Business & Public Policy at the Center.

Like many jurisdictions, the City adopted a written Code of Ethics in the 1960s. But other than periodic updates (the last revision was in 1988), the Code – written in stilted, formal language – was not particularly useful in providing guidelines for the day to day work of most City departments.

The following excerpts from the previous Code of Ethics and the new Code of Ethics and Values shows how the document has evolved from a list of "you shall not" statements to a tool that can be used in conducting every day business with more awareness of the character traits that should be displayed by habit. The new Code also provides a better, more practical guideline for making the "right" decisions while treating people fairly and with dignity and respect.

WHAT'S INSIDE

Citizen Service Excellence – Employees Exemplify City Values

…continued from Page 1

Excerpts from previous Code of Ethics	Excerpts from new Code of Ethics & Values
Public officials and employees should not exceed their authority or breach law or ask others to do so…	I am trustworthy, acting with the utmost integrity and moral courage.
No public official or employee should encourage or accept any application or communication from any party made out of the presence and without the knowledge of other parties in a matter under consideration when such application or communication is designed to influence official decision or the conduct of that official or employee, or other officials, employees, or agencies in order to obtain favored treatment or special consideration to advance personal or private interests.	I extend equal opportunity and due process to all parties in matters under consideration.
No public official or employee should grant any special consideration, treatment or advantage to any citizen beyond that which is available to every other citizen.	I am fair, distributing benefits and burdens according to consistent and equitable criteria, and treating everyone the same . . .
City officers and employees should not engage in any employment, activity, or enterprise for compensation which is inconsistent, incompatible, in conflict with or inimical to their duties . . .	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.
Councilors, other public officials, and employees should not, without proper legal authority, disclose confidential information . . .	I show respect for persons, confidences, and information designated as "confidential."

Citizen Service Excellence

Congratulations to employees whose outstanding service to the public was acknowledged in letters phone calls, or emails, which were displayed at City Hall. Excerpts follow.

Mark James, Ron Enos, Joseph Perez, Water & Sewer: [letter from resident] "We want to thank you for having such a great Solar Panel plan in place for the residents of Santa Clara . . . what a great job your employees did. They were so efficient and really knowledgeable."
Fire Station #7 Crew: [letter from resident] "The two trucks and personnel . . . from Station #7 were wonderful. They were all so in control, caring and calming when it was badly needed . . . It is very comforting to know that help can be at my door in 3 minutes and will be of the highest quality."

Jenny Hsiao, Nicole Nesdahl, Central Library: [letter from resident] "Jenny and Nicole took the time to help me . . . had to go into your basement to bring me the dates I was researching. I would like you to know how very helpful they were. I want to congratulate you on having such fine employees!"

Thank you to all City employees who regularly provide excellent service to our citizens!
ATTACHMENT 7: Sample page from Ethics & Values section of

The actions and words of members of boards, commissions and committees represent the ethics and values of Santa Clara.

Therefore, they are expected to •••

••• act in a professional manner including being prepared and on time for every meeting.

••• be courteous to each other, to City staff and to the public at all times.

••• give complete and polite attention to others when they are speaking.

••• not interrupt others when they are speaking.

••• remain calm and unemotional.

••• listen to ideas and comments with an open mind.

••• respect differing points of view and the rights of other citizens to be heard.

••• keep confidential information private.

••• remember that their purpose is to serve the public interest, not their own.

These guidelines for professional, fair conduct apply to conferences, special events or any other public occasions attended by members of City commissions as well as the formal meetings of their group.

Principles of Ethical Behavior

Council Members demonstrate ethical behavior by …

> Keeping promises
> Being dependable
> Building a solid reputation
> Connecting and being available
> Demonstrating patience
> Showing empathy
> Holding onto moral principles under stress
> Listening faithfully
> Studying thoroughly
> Keeping integrity intact
> Overcoming discouragement
> Going above and beyond, time and time again

These behaviors interfere with an ethical process…

> Showing antagonism or hostility
> Deliberately lying or misleading
> Speaking recklessly
> Spreading rumors
> Stirring up bad feelings, divisiveness
> Acting in a self-righteous manner

It all comes down to respect

Respect for one another as individuals . . respect for the validity of different opinions . . .

respect for the democratic process . . . respect for the community that we serve.

Checklist for Monitoring Conduct

❏　Will my decision/statement/action violate the trust, rights or good will of others?

❏　What are my interior motives and the spirit behind my actions?

❏　If I have to justify my conduct in public tomorrow, will I do so with pride or shame?

❏　How would my conduct be evaluated by people whose integrity and character I respect?

❏　Even if my conduct is not illegal or unethical, is it done at someone else's expense?
Will it destroy their trust in me? Will it harm their reputation?

❏　Is my conduct fair? Just? Morally right?

❏　If I were on the receiving end of my conduct, would I approve and agree, or would I take offense?

❏　Does my conduct give others reason to trust or distrust me?

❏　Am I willing to take an ethical stand when it is called for? Am I willing to make my ethical beliefs public in a way that makes clear what I stand for?

❏　Do I exhibit the same conduct in my private life as I do in my public life?

❏　Can I take legitimate pride in the way I conduct myself and the example I set?

❏　Do I listen and understand the views of others?

❏　Do I question and confront different points of view in a constructive manner?

❏　Do I work to resolve differences and come to mutual agreement?

❏　Do I support others and show respect for their ideas?

❏　Will my conduct cause public embarrassment to someone else?

"Conduct is three-fourths of our life and its largest concern."
-- Matthew Arnold

CITY OF SANTA CLARA CODE OF ETHICS AND VALUES SURVEY
"Making It Real": Translating Ethics Into Everyday Actions

Thank you for attending today's workshop. We ask you to fill out this short survey and return it to Dr. Shanks before you leave. Your honest answers here will help us improve the effectiveness of the City's ethics and values program. Your answers will be kept strictly confidential. Complete and return the survey at the end of the Workshop session. It should take no more than 10 minutes to complete.

1) First, we want to ask you about the values you heard about today. The Code says that representatives of the City must be:
   - a) Ethical
   - b) Professional
   - c) Service-Oriented
   - d) Fiscally Responsible
   - e) Organized
   - f) Communicative
   - g) Collaborative
   - h) Progressive

   > i) Which of these eight values, if any, do you find the most difficult to follow in everyday work situations? _____
   >
   > ii) Which value, if any, do you think your co-workers have the most difficulty with? ___
   >
   > iii) Which value, if any, do you think your managers or supervisors have the most difficulty with?_____

2) How often, if at all, do you encounter values or ethics issues in your job? (Check one)

   ____ Frequently   ____Occasionally   ____ Rarely   ____ Never

3) How often do you wish that you had some help thinking through those values and ethics issues when they arise at work? (Check one)

   ____ Frequently   ____Occasionally   ____ Rarely   ____ Never

4) Listed below are several ways of describing what 'ethics' is about. Please select the three that best describe the way you think about ethics in the workplace. Rank them from 1 to 3, placing a '1' next to the statement that is closest to how you would describe ethics in the workplace, a '2' next to the statement next closest, and a '3' next to the third closest statement. When you finish, only three of these statements should have a number next to them.

    i)   _____   Ethics has to do with whether an action is legal or illegal.
    ii)   _____   Ethics has to do with being a good or virtuous person.
    iii) _____   Ethics has to do with adhering to or violating City policies or guidelines.
    iv) _____   Ethics has to do with principles that prescribe how humans ought to act.
    v)   _____   Ethics has to do with religious matters.
    vi) _____   Ethics has to do with an individual's personal standards.
    vii) _____   I don't associate ethics with any matters in the workplace.

5) When values or ethics issues arise, which of the following situations are most often involved? Please pick out the situation you encounter most and mark it with a "1." Put a "2" next to the next most frequent situation. (Mark only two answers with a 1 and a 2.)
    i)   _____   Dealing with city residents
    ii)   _____   Dealing with City's policies
    iii) _____   Dealing with elected or appointed officials
    iv) _____   Dealing with co-workers
    v)   _____   Dealing with your Department Head
    vi) _____   Dealing with your supervisor
    vii) _____   Dealing with other managers
    viii)_____   Other: (please describe) _____

6) To whom do you turn most often, if anyone, for advice in dealing with ethical issues at work? (Mark your top two advisors with a "1" and a "2" below.)
    i)   ____   Your friends who also work for the City
    ii)   ____   Friends working for other cities
    iii) ____   Other City employees
    iv) ____   Your Manager or Supervisor
    v)   ____   Spouse or significant other
    vi) ____   Religious or other counselor
    vii) ____   City Attorney
    viii)____   Human Resources
    ix) ____   Other (please describe)

7) On a scale, where 1=very well and 4 = very poorly, how well do you think the City deals with specific values or ethics issues when they arise? Please circle the best response below.

               Very Well   Very Poorly
                 1   2   3   4

8) When you think about the City as an organization (made up of elected officials, appointed officials, and City staff), how strong would you say the *City's corporate ethical culture* is?
Would you say the City's corporate ethical culture is (check one)?

_____ very strong _____strong _____weak _____very weak

9) Now that you have a better idea of what the Values and Ethics Program is about, how much, if at all, do you agree with the City's new emphasis on values and ethics? (check one?)
_____ strongly agree _____agree _____disagree _____strongly disagree

10) How many years have you worked for the City? ___ For Parks and Rec? _____

11) What would you say the next step should be for this department and its employees to implement the Code and strengthen the Department's culture and way of doing things?
_____

What next step should the City as an organization take to make the values real?
_____

_____

ICMA
WORKSHOP EXERCISES

City of Santa Clara

and

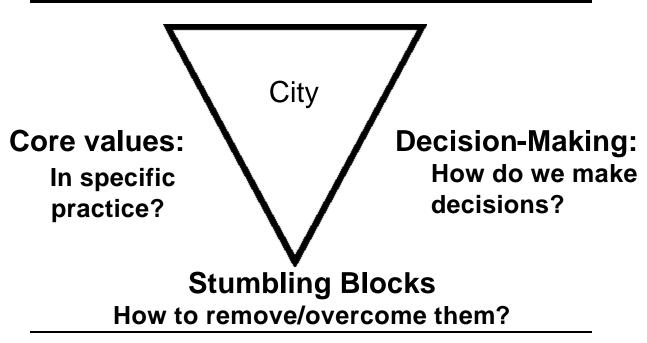### Markkula Center for Applied Ethics

April, 2001

PERSONAL VALUES WORKSHEET

Values are inner dispositions or beliefs that guide our actions. Read over all the values below and then check the **three** that are most important to your life right now. If you choose "family," choose three values *in addition to* family. If you wish to add values, write them at the bottom of the list.

_____ **Family:** Protect and care for those you love.

_____ **Accomplishment:** Make a lasting contribution; produce results; reach goals.

_____ **Aesthetics:** Appreciate and contribute to the beauty of your surroundings, of objects, of ideas.

_____ **Altruism:** Give top priority to the interests and needs of others.

_____ **Belonging:** Be accepted as a worthwhile member of a group.

_____ **Compassion:** Stand with and support others in their need and distress.

_____ **Creative Expression:** Express ideas in novel, innovative and original ways.

_____ **Diversity:** Value and respect differences in people, ideas, and situations.

_____ **Exciting Life:** Maintain a stimulating and active life; take risks; try new things.

_____ **Fairness:** Distribute benefits and burdens to others appropriately.

_____ **Friendship:** Develop intimate and caring bonds with others.

_____ **Happiness:** Feel joy and emotional well-being.

_____ **Health:** Maintain soundness of body and mind.

_____ **Honesty:** Telling the truth to yourself and others.

_____ **Independence:** Take actions free from the control of others.

_____ **Inner Harmony:** Develop inner peace, free of internal conflicts and confusion.

_____ **Integrity:** Consistency of thought/words/actions: "what I think is what I say and do"

_____ **Justice:** Treat everyone the same unless there are relevant moral reasons to treat them
        differently.

_____ **Loyalty:** Do one's duty, honor allegiances and commitments to obligations.

_____ **Pleasure:** Seek enjoyment and satisfaction of the senses.

_____ **Power:** Exercise control, authority and influence over others.

_____ **Recognition:** Gain positive feedback, and perhaps notoriety, for a job well done.

_____ **Respect:** Treat other people, animals, and the environment with dignity and care.

_____ **Responsibility:** Accountability for actions relating to people, things or results.

_____ **Security:** Be free from fear or danger; exist in a stable environment.

_____ **Self-Respect:** Treat yourself with dignity and care, develop self-esteem.

_____ **Social Contribution:** Work for the good of society, advance the common good.

_____ **Stewardship:** Care for resources and processes entrusted to you.

_____ **Spirituality:** Participate in a relationship with God; have religious beliefs.

_____ **Teamwork:** Act with others toward a shared goal.

_____ **Time Freedom**: Have a flexible schedule and responsibilities.

_____ **Variety:** Engage in frequent changes in activities, locations and people.

_____ **Wealth:** Accumulate money and possessions.

_____ **Wisdom:** Understand what is true, right and lasting.

_____ _____

Implementing the Program

City

Core values:
In specific
practice?

Decision-Making:
How do we make
decisions?

Stumbling Blocks
How to remove/overcome them?

VALUES AS STANDARDS OF CONDUCT

Value/ Value Definition	Looks like these good behaviors	Doesn't look like these bad behaviors

The Case of "There Goes the Neighborhood?"

Residents of an established older neighborhood learn that one of the houses on their quiet street is going to be torn down and replaced by a much larger house whose design, some neighbors feel, is not compatible with the ambiance of the neighborhood. Although house design in the neighborhood is mixed, the predominant style reflects an older time and, in fact, the neighborhood is known for symbolizing "the golden past."

A few neighbors talk with the new owner and try to resolve differences but it doesn't work very well. The new owner feels he's invited his neighbors' comments, but is upset that few have come to talk with him. The issue goes to the Planning Commission and to the City Council where viewpoints vary.

Because the new owner is a person of color, some people feel there is a racial element to the opposition. The new owner himself indicates during a televised City Council meeting that he feels "put upon because he is different in this community." Others feel the problem is one of property rights. Still others believe it is a question of neighborhood preservation.

The media get involved and the local paper editorializes on behalf of the new owner, furthering the divisive quality of the debate. The City Council is hearing impassioned opinions on all sides. Tonight they must make the final planning decision and they know the room will be packed with people on both sides of the issue, as well as the media. The meeting is also presented live on a local cable channel.

If you were advising or staffing this City Council, what would you advise as the values-driven decision?

<u>Values Decision-Making Worksheet</u>

Case:_____

Most relevant facts?

Key Practical Issues?	**Legal/Policy Issues?**	**Values/Ethics Issues?**

Stakeholders? Persons/groups directly affected by your decision and what they have at stake.

Possible actions? List one or two of the most likely actions you can take, then ask the questions below.

Consequences: Which option produces the most good, least harm? Advances common good?	**Individual Rights/Fairness**: Which option best respects the rights of all parties; fulfills duties; treats all fairly?	**Core Values**: Which option best advances the City's core values?

The Case of the Cyber City Network

You are the City Manager or staff to the City Council for Cyber City, USA. Your City has been hit hard by an economic downturn and the City budget has had to be reduced during the past two years.

Now the City Council has to decide whether to approve a new program: the Cyber City Network (CC Network), a service that would allow residents to access a wide variety of municipal and school services from their home computers. Your City already has a public website with City job listings and information from police, fire, the library, other City departments, and schools.

The Network would provide additional services that are available only on the Network and not on the public website. City Council agendas would be posted, and, in an experimental program, citizens could testify at meetings from web cams located at their offsite computers. Parks and Recreation Department schedules would be available on the network, and parents could sign their children up for sports teams online. Parents could also communicate with teachers online (in addition to the current methods of personal meetings or phone conversations). Business people who require permits and licenses could apply for them via the Network.

Costs for the installation of the Network and operating costs for the first two years will be covered by a grant from a family foundation that wishes to remain anonymous. The Foundation has also told you that there's a "better than 75% chance" they will continue to fund half the operating costs of the Network after the second year of the pilot program. If the economy in the City recovers to its previous level, Cyber City could easily cover the costs of the other half, or even all the annual operating costs.

The family whose money established the Foundation lives in the City and the Foundation approached you about the grant. The head of the Foundation is also the founder and CEO of the company whose network equipment you are likely to purchase for the Cyber City Network, though the Foundation and the Company are legally independent.

About 45% of Cyber City's 75,000 residents own computers equipped with modems or other ways of connecting to the Network from their homes. For those who do not have ready access at home, the proposal includes adding an additional 20 computers to be distributed among three of the City's five library branches (which currently have minimal computing capabilities), the lobby of a large senior citizen center (which currently has no computers), and in the post office (which also currently has no computers).

The Council has held three public meetings to discuss the proposal. The Council will vote next week and the Mayor has asked you for Staff's recommendations "considering every factor and important issue." In previous meetings, the majority of people in attendance have been in favor of the proposal, but almost all have been members of a well-organized and well-funded group called the "CCC" (Citizens Who Care about Computers). Proponents of the proposal are excited about it because it would allow more access to City

services, since the current budget does not allow City offices to be open at lunchtime, before 9 a.m. or after 5:30 p.m. They also claim it will help the City's public schools, which have come under criticism because of a poor evaluation by the State.

While these proponents have been civil at the meetings, they have been applying high-pressure tactics in personal visits to City Council members and have been waging an editorial campaign through columns and letters in the local newspaper. Recently, they've begun to threaten Council members by saying they will work actively against the re-election of any member who does not vote for the proposal.

Opponents of the proposal are not well funded, organized, or articulate. They are primarily people from lower socioeconomic levels, who lack the time, political knowledge, or money to mount an effective opposition campaign.

What do you recommend to the Council?
What do you recommend to the Council if your City is practicing Santa Clara's Core Values?

Values Decision-Making Worksheet

Case:_____

Most relevant facts?

Key Practical Issues?	**Legal/Policy Issues?**	**Values/Ethics Issues?**

Stakeholders? Persons/groups directly affected by your decision and what they have at stake.

Possible actions? List one or two of the most likely actions you can take, then ask the questions below.

Consequences: Which option produces the most good, least harm? Advances common good?	**Individual Rights/Fairness**: Which option best respects the rights of all parties; fulfills duties; treats all fairly?	**Core Values**: Which option best advances the City's core values?

Final Decision?