Shared Ethics
ADVISORY COMMISSION

# 2016 Annual Report

**Bringing Ethic Awareness and Training to our Communities**
**www.sharedethics.com**

## 2016 Member Communities

Counties: Lake County, Porter County, La Porte County.
Cities: Crown Point, East Chicago, Gary, Hobart, Lake Station, Portage, Valparaiso, Whiting.
Towns: Burns Harbor, Cedar Lake, Chesterton, Dyer, Hebron, Highland, Lowell, Merrillville, Munster, Ogden Dunes, Schererville, and Westville.

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# 2016 Annual Report

The Shared Ethics Advisory Commission (SEAC) hereby submits this annual report to our member communities as required by Article 6(c) of our governing Interlocal Agreement. We are pleased to report another year of active engagement in providing ethics training and community outreach. A summary of our activities is contained in the pages of this report.

A. **Structure and Organization.** As an all-volunteer organization, SEAC can only succeed by organizing our limited resources in the most effective manner possible, working with engaged citizens and receiving input from a variety of sources.

**Communities.** Three additional communities joined SEAC during 2016 – the Cities of Lake Station and Portage and the Town of Westville. With these new members, SEAC serves a total of twenty-three communities. During 2017, we will continue to actively promote membership by communities in our three-county area. There are a total of 44 communities eligible for membership; so the potential for additional members is great.

**People**. SEAC accomplishes its work through the efforts of the individuals appointed by member communities to serve on the Commission. In addition, three at-large members have been chosen by the community-based representatives. A list of all current commission members can be found in Exhibit A of this report. We were pleased to welcome commissioners from new member communities – Karen Curtis (Lake Station) and Ron Stallings (Westville). In addition, several existing communities appointed new Commissioners – Don Ensign (Hebron), Bill Kuhn (Cedar Lake), Al Martinez (Dyer), Mike McIntyre (Munster) and Ray Raszewski (Lowell). The community-based commissioners selected Jim Dworkin as an at-large commissioner to replace Dennis Rittenmeyer who moved from the area. It should also be noted that Richard Maroc, who represented Munster from SEAC's inception, stepped down for family health reasons. Judge Maroc was the last of the original Commission members to be still serving.

**Leadership**. SEAC's annual meeting is held in January each year. At the January 2016 meeting, Calvin Bellamy and Anna Rominger were re-elected as Commission President and Vice President. During the course of the year, Karl Besel of IUN's SPEA program, was selected as the Shared Ethics Officer, but later resigned because of added professional responsibilities. As of the writing of this report, a replacement has not been officially selected.

**Meetings**. The full commission meets every other month and in 2016 the meetings were on the third Wednesday of January, March, May, July, September and November, all at the office of the Northwestern Indiana Regional Planning Commission (NIRPC) in Portage. In addition, the Training and Marketing Committees met to plan their respective activities. The Future Directions Committee also met twice to begin preparation for a comprehensive examination of how SEAC should be structured and what its focus should be for the next ten years.

**Web Site**. Our well-visited web site (49,095 visitors and 7092 unique IPs) is now in its fifth year with more features and pictures posted on a regular basis. A special thanks is owed to Commissioner Earnest (Crown Point) for her continuous efforts to keep our site (www.sharedethics.com) up to date and relevant.

**Office**. Midyear, SEAC contracted with NIRPC for office space and support staff. This is the first time SEAC has had an actual official location with its own street address, telephone number and email address. Previously, SEAC relied on generous support from the Town of Munster and the private office of the Commission President for support services. The new arrangement with NIRPC has enhanced our ability to prepare reports, take reservations for SEAC events, and design and produce graphs, display posters and report covers. Naturally, these services come at a cost and the commission expresses its appreciation of the Northwest Indiana Discovery Alliance for underwriting support that made this arrangement possible.

Michael Griffin, Clerk-Treasurer of Highland, continues to serve as the fiscal agent for the Board of Delegates and in this capacity manages fee invoices and issues all SEAC checks. We are grateful for his diligent services.

**B. Funding Issues**. SEAC is funded through member fees paid by member communities. New members pay an enrollment fee and all members are assessed a modest annual membership fee. The current fee schedule is attached as Exhibit B. Our fees and budget are overseen by our companion group, known as the Board of Delegates. This body is also appointed by member communities and is almost entirely composed of elected officials.

At the present time, the fee schedule produces a modest revenue stream of about $20,000. SEAC's challenge is to accomplish all of our work within that tight constraint. Membership growth is the most appropriate route to sustainability.

The $10,000 grant from the Discovery Alliance enabled us to establish a permanent office at NIRPC. While we may have a chance at one more grant from the Alliance, we will be able to sustain an office in the long run only with revenue increases.

If membership growth stalls or other costs increase, the Board of Delegates may need to consider an increase in fees. The Commission would like to hold that option as a last resort. New member recruitment is a better option. The Commission has a reserve, which has been built up in the early years when there were fewer activities and expenses. This reserve affords us time to recruit new members.

**C. 2016 Training**. Ethics training is at the heart of SEAC's mission, and 2016 was a very busy training year. We now have over 60 public employees who have been prepared as ethics trainers. They have attended half day training on how to present any of the four training courses SEAC has developed with two new case studies ("dilemmas") added to the thirteen existing ones. There is also a 12-minute video available to trainers to supplement their presentations. The mission of our public employee trainers is to assist their co-workers in

applying the techniques of ethical decision-making to their practical work experiences. Training sessions include dialog and discussion of real-life case studies. For specialized presentations, professional trainers are retained. Specifically in 2016, the following training activities have occurred:

**Train-the Trainer**. Because of the significant number of new members and our plan to conduct the Employee Ethics Survey, the Commission hosted two half-day Train-the-Trainer sessions – July 13th and July 19th. In addition, Commissioner Ward conducted an individual training session for Lake Station trainers. These interactive sessions are designed to enable full time public employees to assume the added responsibility of conducting ethics training for their co-workers.

**Employee Training**. Trainers and member communities were strongly urged to conduct ethics training early in 2016. Training for employees of new members Lake station and Westville occurred late in the year. For new communities, this would be their employees' initial introduction to ethics training. For longer-term members, additional training would be in the nature of a refresher. Some members already have ethics training slotted in the regular training schedule, and we highly commend them for that commitment.

**Board and Commission Training**. On September 29th, SEAC hosted an evening training session for private citizens who serve on their community's boards and commissions. Many elected officials also attended. A main focus of this training is helping participants identify possible conflicts of interest. The event attracted 73 participants, and their evaluation of the presentation was very positive.

**Internal Training**. SEAC recognizes that its own Commissioners need to keep current on ethics issues. One way individual members do so is by attending Train-the-Trainer Sessions, other training programs hosted by SEAC and especially by participating in our annual Ethics Summit. In addition, from time to time at SEAC meetings, the entire Commission reviews and discusses ethics issues. In 2016, the Commission discussed media reports of former Senator Richard Lugar's initiative on civic virtues (May), *Post-Tribune* columnist David Rutter's column on Indiana's public integrity "grade" (July), the US Supreme Court's decision in *McDonnell v U.S.* (September) and a *New York Times* article on how unethical workplace cultures develop (November).

**Employee Survey**. A major project for 2016 (carried over from 2015) was the Employee Ethics Survey. This 13 question survey (paper version attached as Exhibit C) is our primary tool for judging the effectiveness of SEAC ethics training and is also a measure of public employees' perception of the state of ethics in the public sector. Nearly 1500 public employees responded to the survey, and those responses were analyzed by retired IUN professor Rick Hug. An overall summary of the results is attached as Exhibit D. Member communities received a complete report of results which consisted of aggregate results as presented in Exhibit D and also individual reports for each member community that participated. Professor Hug also analyzed and summarized the written comments of participants. The survey has been conducted three times over the years – 2009, 2012 and

2015-2016. The latest survey was largely done electronically. While SEAC membership was not always the same over the years that the survey was conducted, we believe it is reasonable to draw some tentative conclusions: public employees value ethics training; our training seems to have increased their knowledge of the Code of Shared Ethics and Values and also their awareness of their community's procedures for filing an ethics complaint. In addition, trained employees indicate an increased confidence that their community's leadership will respond, and do so appropriately, if a complaint is filed. However, employees continue to express concern about misuse of public resources, favoritism and conflicts of interest. While still high, these concerns seem to be lessening over the three surveys. A complete copy of the report is available on request.

D. **New Member Recruitment.** As noted above, we were pleased to welcome three new members in 2016 – Lake Station, Portage and Westville. That is one additional community from each of our three counties. Total membership is now 23 towns, cities and counties out of a potential of 44 members.

We are actively seeking out additional members in each county. Our greatest challenge is LaPorte County communities. SEAC is less known there with only the County and the Town of Westville as members. We are attempting to raise SEAC's visibility in LaPorte County with presentations to civic clubs. LaPorte County communities present an additional challenge. Several are very small and may have difficulty in meeting even our modest dues, and finding volunteers to serve as Commission members. We do not yet have a solution for this latter issue, but our Future Directions Committee will be discussing possibilities during SEAC's strategic review in 2017.

One thing we know for sure: New member recruitment will be a goal as long as there are communities in Lake, LaPorte and Porter Counties that are not members.

E. **Candidates Ethics Action Pledge**. Again for the 2016 local elections (primary and general), candidates were asked to sign the Candidates Ethics Action Pledge by which they commit, if elected, to support (a) employee ethics training, (b) adoption of a strong local ethics ordinance and (c) whistleblower protection for employees who raise ethics issues. See Exhibit E for a copy of the Pledge. It is also important to note what the Pledge does NOT require. The Pledge does not ask the signers to be personally ethical. We felt it would be presumptuous to ask candidates to attest to their personal ethics. We assume that all candidates are ethical. Nor does the Pledge ask the candidate to pledge to support joining SEAC. Communities have many options once they decide to provide ethics training. We think joining SEAC is the best and most cost effective way for a community to do so, but we are more interested in making sure that some form of ethics training is presented.

Despite our efforts to make clear what we are asking of them, a few candidates or office holders have taken the time to express their displeasure with the Pledge, sometimes in rather strong terms. We continue to review Pledge language and the cover letter that accompanies it to further clarify what the commitment entails.

**Candidate Response**. Despite occasional hesitations, there was a strong, positive response to the 2016 Pledge. In SEACs three-county service area, there were fewer elections in 2016. Lake County only had certain county offices on the ballot, and LaPorte and Porter counties each had one local community as well as certain county office races. While fewer candidates were on the ballot, we were pleased with the strong response: 100% of Lake County candidates, 62% of LaPorte County candidates and 88% of Porter County candidates signed the Pledge. A special thanks is owed to the TIMES Media Company for publishing the list of candidates who had signed the pledge.

**Pledge Follow-Up**. Since all three counties are already members, there is less post-election follow-up. However, we will continue to work with the county commissioners and councils to keep their commitment firm. Only one non-member community's candidates signed the Pledge, Pottawatomie Park, and we will be contacting them in early 2017 once they take office. We always seek broad support and consensus in approaching a new community. Successful membership requires ongoing cooperation from town or city leadership. Without it, we will not have access to their employees for training purposes.

F. **Ethics Summit**. For the sixth year in a row, the Commission hosted the 2016 Ethics Summit. About 200 people from the public and private sectors attended the morning long event which featured a keynote address by Chicago federal judge Rebecca Pallmeyer, a well-known speaker on public ethics and corruption, followed by audience discussion and keypad voting on several hypothetical case studies with practical situations that local government employees are likely to encounter. This event is held without charge and is part of SEAC's public outreach activities. A copy of the 2016 invitation is attached as Exhibit F.

G. **General Outreach**. With our long standing goal of establishing an ethics culture throughout Northwest Indiana, we welcome opportunities to partner with others and gain access to public forums. Our 2016 outreach activities included the following:

- *Outreach Presentations.* With the dual purpose of raising SEAC's visibility and reporting the specific results of the Employee Ethics Survey, presentations were made to the following organizations:

    - August 17 – Schererville Chamber of Commerce
    - August 30 – Hammond Rotary
    - September 19 – Lowell Rotary
    - October 20 – Gary Rotary
    - October 26 – Merrillville Rotary
    - November 15 – Munster Rotary
    - December 7 – Michigan City Lions
    - December 13 – Editorial Board of the *NWI Times*
    - December 14 – Highland Rotary

  Four additional presentations are scheduled for early 2017.

- *Radio Interview.* President Bellamy was the guest on WJOB's afternoon call-in program on October 17th.

- *Press Coverage.* Throughout 2016, SEAC activities received widespread coverage in the *NWI Times,* some coverage in the *Post-Tribune* and local magazines. Regrettably, there was virtually no coverage in other papers such as the *Chesterton Tribune,* the *Michigan City News Dispatch* and the *LaPorte Herald-Argus,* despite attempting to customize our media releases to their communities. A complete listing of media coverage is contained in Exhibit G.

- *Quality of Life Indicators.* Ethics in government and SEAC's efforts were highlighted in this year's Indicators report published by OneRegion.

**H. Challenges/Opportunities.** SEAC began its 12th year in November. We have a certain sense of accomplishment but also a feeling of anxiety about the work yet to be done. Looking beyond the immediate, some of the longer term issues that must be addressed if we are to continue to contribute to ethics awareness in Northwest Indiana include:

**Member Recruitment and Retention.** While we have enjoyed good growth in recent years, there are many communities which have not yet joined. An ongoing mission is to work on recruiting new members. This job will not be done in a year or two and may never be done. But it must continue to be a focus. Also of concern is long-time member communities. We need to work on keeping them engaged, to keep our work fresh in their minds without burdening them too much. After having presented ethics training two or three times, there may be a tendency to think, "We've done that. Time to move on." We believe regular re-enforcement of ethical decision-making is as important as the initial presentation. It is the role of each commissioner appointed by a member community to actively engage his or her community's leadership.

**Member Community Engagement.** As time passes, the institutional memory of community leadership may dim or even be lost. It is incumbent on SEAC as a whole and community-based commission members in particular to keep SEAC visible, to have periodic discussions with their leadership and report back to the Commission any issues, concerns or challenges their leadership reports. Just as ethics training can become stale, the same can happen with our relationship with and involvement by our respective community leaders. Complacency is our enemy.

In addition to a general need to encourage the active engagement of present members, there are some specific concerns. While engaged in other ways, the City of East Chicago and Lake County have not yet filled their seats on the Commission. The City of Gary has appointed a fine person to represent the City on the Commission, but has not yet identified City employees to be ethics trainers or conducted ethics training for their employees. One of our newer members, Portage, has yet to appoint a representative to the Commission, identify employees as ethics trainers or conducted ethics training. We will continue to work with these communities to bring them up to full participation.

**Training and Trainers.** SEAC encourages member communities to present ethics training at least once every two years. It is also desirable that ethics decision-making be included in new employee orientation. One challenge is to keep training "fresh." We are always on the outlook for ways to enhance our training. To that end, with the assistance of Commissioner Bass, two new dilemmas were developed and inserted in our training manual. With the two new dilemmas, the manual now contains 15 separate situations for discussion. During July, two meetings were held to which all ethics trainers were invited. Trainers were encouraged to present five different dilemma each time training occurs. If ethics training occurs every other year, there would be a six year period before material would be repeated.

In addition to refreshing our trainers and training courses, we need a better system of monitoring when training is occurring in our communities. We have developed a simple form for this purpose, but it has been only intermittently used. Perhaps more personal contact by commissioners representing individual communities is needed. This matter will be further discussed by the Commission's Training Committee which recognizes this as an important ongoing need.

**Finances.** SEAC can only do as much as our finances permit. Enrollment and annual membership fees have been kept low so as to minimize the barrier to joining. At the present time, actual expenditures almost match revenue, and any shortfall is being covered by enrollment fees of new members and our healthy surplus, which has been built up over the years. The Discovery Alliance grant paid for the new expense of establishing a SEAC office at NIRPC. Annual membership fees were increased modestly in 2014, and they could be again from time to time. Current fees are still only 60% of what was initially charged during SEAC's early years. Further membership growth, especially of larger communities, will also help spread our expenses over a broader base.

**Structure.** During 2016, standing committees were established with Marketing and Training being the most active. At the end of the year, the Future Directions Committee began working on a process to review and perhaps recommend major changes to SEAC's structure. Our structure has remained basically the same since our inception when SEAC had only three member communities. As we grew to five members and then seven, the structure still worked well. Now with 23 members, a SEAC board of 26, and a Board of Delegates of 23 members, it seems appropriate to take a new look at how we operate.

I. **Achievement of 2016 Goals.** SEAC set eight basic goals for 2016 with one goal having several subparts. The status of those goals at year end is as follows:

- Promote training in ethical decision-making in the following manner:
  - Host a sufficient number of Train-the-Trainer sessions to accommodate trainers from new communities and new trainers from existing communities. – *Achieved* on July 9 and 13.

- Increase SEAC interaction with our trainers to introduce new materials and gather their input. – *Achieved* on July 9 and 13

- Develop a more effective method of monitoring when employee training is occurring. *Work in Process* – mission of the Training Committee; process needs further attention.

- Host an evening training session for private citizens who are members of boards and commissions. – *Achieved* on September 29

- Actively work to recruit new members in all three counties, with a special emphasis on LaPorte County communities. *Achieved/Effort Continuing* with new members Westville (LaPorte), Portage (Porter) and Lake Station (Lake) added in 2016.

- Host another Ethics Summit in 2016. – *Achieved* on March 2

- Contact all 2016 municipal and county candidates and solicit their signatures on a revised Candidates Ethics Action Pledge and seek media coverage for this project. – *Achieved* with very high response rate.

- Explore alternative funding sources to supplement enrollment and annual fees already being collected from member communities. – *Achieved* with $10,000 grant from Discovery Alliance.

- Continue to update and, where possible, upgrade our website. – *Achieved* – ongoing.

- Fully engage our new committee structure with the objective of having each of them assume responsibility for projects and activities in their defined areas. – *Achieved* - Marketing, Training and Future Directions Committees at work.

- Establish a permanent office with staff to assist in accomplishing Commission projects and tasks. – *Achieved* with NIRPC office established on July 1.

**J.** **<u>2017 Goals</u>.** For 2017, SEAC will focus its efforts on advancing ethics in local government at least in these ways:

- Continue to promote new community membership with a goal of at least two new members

- Raise visibility of SEAC by seeking out opportunities for interviews and presentations

- Host:
  - An Ethics Summit (scheduled for April 7) and
  - Department Head Training (in the Fall)

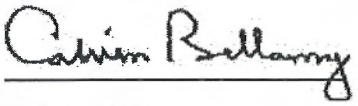
- Continue to develop procedures to maximize our NIRPC-based office
- Maintain and upgrade SEAC website
- Begin discussion of a possible restructure of SEAC

**K. Conclusion:** Much was accomplished during a very eventful 2016. But much more remains to be done. SEAC's limited mandate is a reminder that our work is only one piece, albeit an important piece, in a larger mosaic required for Northwest Indiana to develop a strong regional ethics culture, which is our long-term goal. Lacking authority to advise or adjudicate specific cases, we have to depend on member communities having clearly stated personnel policies to address disputes and local prosecutors and the U.S. attorney to prosecute law violators. SEAC operates on the firm belief that the overwhelming majority of public employees want to do the right thing and come to their positions already equipped with a general understanding of right and wrong. However, a general understanding is not always enough when confronted with a specific situation. We believe that our training with practical case studies provides the extra understanding needed when employees encounter specific situations in the context of public service employment.

Of course, there are always going to be some "bad apples." Ethics training will not help or deter people bent on placing personal gain over public good. For people of this orientation, law enforcement is the appropriate remedy. SEAC's goal is to help good people serve the public even better. The communities who have committed to ethics training are equipping their employees with a thought process that will assist them in doing so.

Comments, suggestions, relevant input of any kind would be most welcome!

On behalf of the entire Commission
Respectfully Submitted on January 18, 2017



Calvin Bellamy
Commission President

# EXHIBIT A

## List of Commissioners

# Shared Ethics Advisory Commission as of February, 2016
# (23 Communities)

**Burns Harbor**
Phyllis Constantine
Retail Commerce

**Cedar Lake**
Bill Kuhn
Safety Director/WMC, Inc.

**Chesterton**
Patricia A. Carlisle
Retired Purdue North Central Administrator

**Crown Point**
Patricia H. Earnest
Retired Librarian

**Dyer**
Albert Martinez
Retired Firefighter

**East Chicago**
**(Vacant)**

**Gary**
Hope Hickman-Mason
Businesswoman

**Hebron**
Don Ensign
Supervisor/Industrial Consultant

**Highland**
Rev. Arthur Burkman
Retired Lutheran Minister

**Hobart**
Rev. Jamie Ward
Suncrest Church

**Lake County**
**(Vacant)**

**Lake Station**
Karen Curtis
K. Curtis & Associates LLC

**LaPorte County**
Karen Biernacki
CEO, Family Advocates

**Lowell**
Ray Raszewski
Retired

**Merrillville**
Art Russell
Centier Bank Vice President

**Munster**
Michael McIntyre
Retired Banker

**Ogden Dunes**
Dr. Steve Granfield
Merrillville Podiatrist

**Portage**
**(Vacant)**

**Porter County**
Scott Young
Marketing Executive

**Schererville**
(Vacant)

**Valparaiso**
Dorothy Bass
Valparaiso University

**Westville**
Ron Stallings
Retired: US Army/Lewis Bakery

**Whiting**
Brian Lowry
Marketing Consultant, Shoreline Consulting

**At Large**
Calvin Bellamy, J.D.
Attorney, Krieg DeVault LLP

**At Large**
James B. Dworkin
Purdue University

**At Large**
Anna Rominger, J.D. (Dean)
Indiana University Northwest

**Shared Ethics Officer**
(Vacant)

**Municipal Consultant**
Karen Marben
City of Crown Point

7156922

# EXHIBIT B

## 2016 Fee Schedule

# Shared Ethics
ADVISORY COMMISSION

## Who Belongs

The following communities have joined the Commission: Counties: lake County, La Porte County, Porter County, Cities: Crown Point, East Chicago, Gary, Hobart, Lake Station, Valparaiso, Whiting, Towns: Burns Harbor, Cedar Lake, Chesterton, Dyer, Hebron, Highland, Lowell, Merrillville, Munster, Ogden Dunes, Schererville and Westville.

## Cost of Membership*

### Enrollment Fee

| | Lump Sum | Two Installments |
|---|---|---|
| More than 150 employees | $5,000 | $2,500 / $2,550 |
| 101 to 150 employees | $2,500 | $1,250 / $1,250 |
| 50 to 100 employees | $1,500 | $ 750 / $ 750 |
| Less than 50 employees | $ 500 | $ 250 / $ 250 |

### Annual Membership Fee (after satisfying Enrollment Charge)

| | |
|---|---|
| More than 150 employees | $1,800 |
| 101 to 150 employees | $ 900 |
| 50 to 100 employees | $ 300 |
| Less than 50 employees | $ 150 |

***Subject to Annual Review**

Note: Our three training programs and the Ethics Summit are provided to member communities free of charge. Their annual membership fee covers the cost. The Ethics Summit is a free event open to the public.

**BRINGING ETHICS AWARENESS AND TRAINING TO OUR COMMUNITIES**

**Visit us online at www.sharedethics.com**

# EXHIBIT C

## Sample Employee Survey

# SHARED ETHICS ADVISORY COMMISSION
## EMPLOYEE ETHICS SURVEY

Fall, 2015

Dear local official or employee,

The Shared Ethics Advisory Commission is very interested in your response to the following questions about ethics in your workplace. The purpose of the survey is to determine your awareness of ethical issues and your familiarity with procedures for reporting alleged unethical behavior in the workplace.

While this survey is voluntary, we sincerely hope you will take a few minutes to complete it, seal it in the attached envelope and mail it to us. **Please respond within one week.** The results will be tabulated at Indiana University Northwest. The information will give us valuable insight on how best to serve you and the residents of our participating communities. Based on the results, future ethics training may be revised and recommendations developed about ethical processes.

**PLEASE NOTE: This survey is voluntary and is intended to be anonymous. Please do not refer to specific individuals in your answers and do not place your name anywhere on the survey.**

Thank you for your participation in this important project.

Sincerely,

Cal Bellamy

Calvin Bellamy,
Commission President

1. Please circle your local government unit.

| | | | |
|---|---|---|---|
| Burns Harbor | East Chicago | Lake County | Ogden Dunes |
| Cedar Lake | Gary | La Porte County | Porter County |
| Chesterton | Hebron | Lowell | Schererville |
| Crown Point | Highland | Merrillville | Valparaiso |
| Dyer | Hobart | Munster | Whiting |

2. Before you received this survey were you aware of the Shared Code of Ethics and Values created by the Shared Ethics Advisory Commission? Yes_____ No_____

3. Have you attended an ethics training program in the last 24 months? Yes_____ No_____

4. How important do you think ethics training is for you and your co-workers on a scale of 1 to 10 with 10 being the most important? 1 2 3 4 5 6 7 8 9 10 (Circle One)

PLEASE CONTINUE ON THE OTHER SIDE

5. During the last 12 months have you witnessed unethical behavior in your workplace?
   Yes_____ No_____

6. Are you aware of the process for reporting alleged unethical behavior in your workplace?
   Yes____ No____

7. Have you ever asked anyone in authority in your workplace for advice on any ethical issues?
   Yes____ No_____

8. Have you ever reported alleged unethical misconduct to someone in authority at your work place?
   Yes____ No_____

9. Would you report alleged unethical behavior in your workplace?
   Yes_____ No_____

10. If you were to report alleged unethical behavior, do you think someone would care enough to take action?
    Yes_____ No_____

11. If you were to report alleged unethical behavior, do you believe it would receive a fair and appropriate response?
    Yes_____ No_____

12. What ethical issues are you most concerned about in your workplace? (Mark all that apply)

    a._____ Misuse of city/town resources
    b._____ Favoritism (employee receiving undeserved or unclaimed rewards)
    c._____ Conflict of interest
    d._____ Other (Please specify) _____

    _____

    e._____ None

13. Do you have any recommendations for the Shared Ethics Advisory Commission on how to improve ethics awareness in your workplace? Yes_____ No_____ If yes, please explain.

_____
_____
_____
_____
_____
_____
_____
_____

**Thank you for taking the time to complete this survey.**

# EXHIBIT D

## Survey Chart

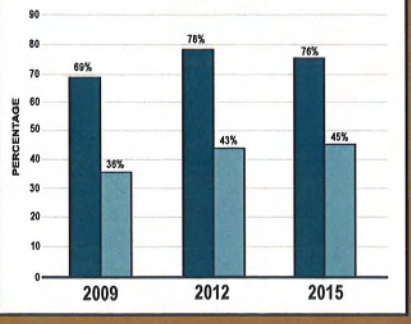
# ETHICS SURVEY RESULTS

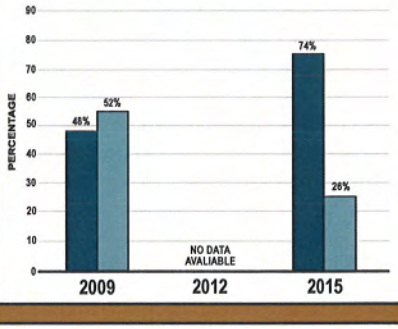
## Shared Ethics
ADVISORY COMMISSION

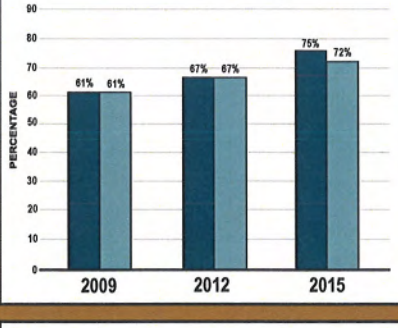
BRINGING ETHICS AWARENESS AND TRAINING TO OUR COMMUNITIES

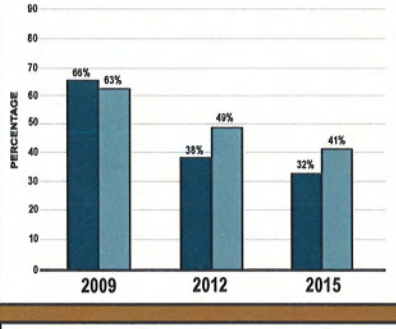
www.sharedethics.com

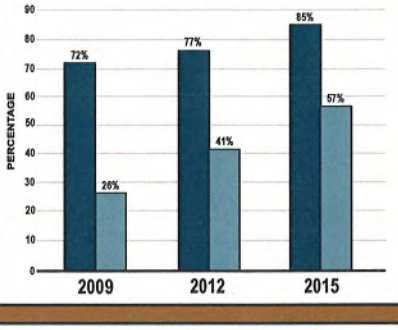
TRAINED UNTRAINED

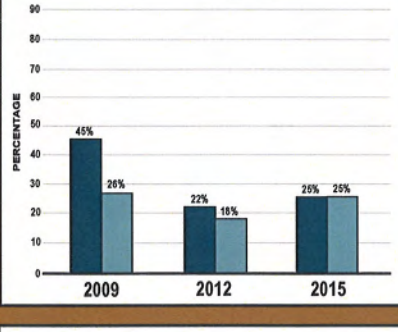
### Aware of Code


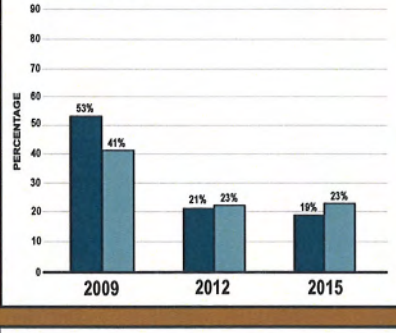

### Trained within 12 months


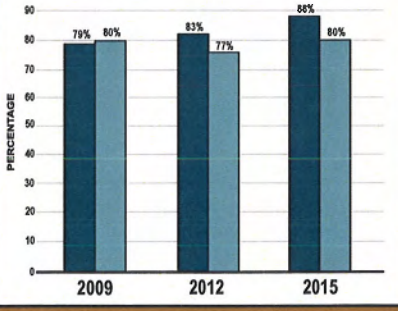

### Value Ethics Training


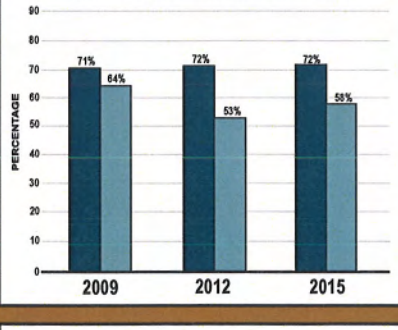

### Witnessed Unethical Behavior


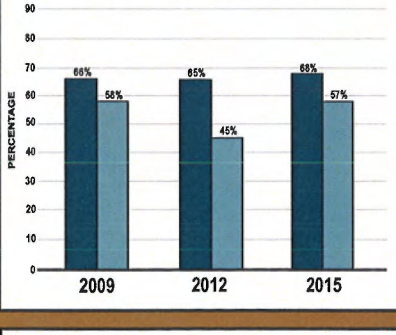

### Know how to report


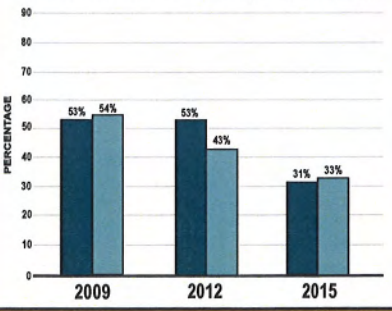

### Asked for advice


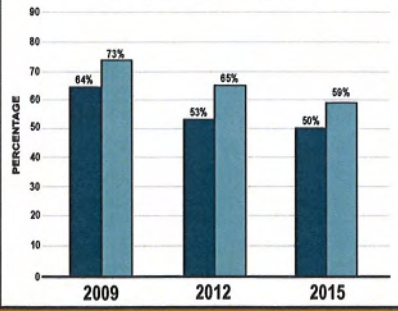

### Actually reported unethical behavior


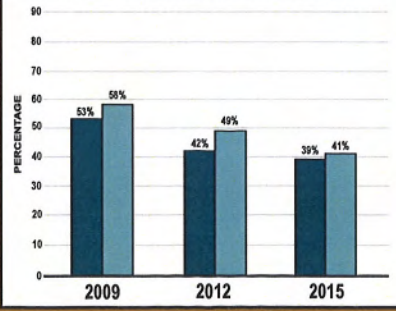

### Would report if saw unethical behavior



### Believe corrected action would occur



### Believe corrective action would be appropriate



### Concerned about Misuse of public property



### Concerned about Favoritism



### Concerned about Conflicts of Interest


# EXHIBIT E

## 2016
## Candidate Ethics Action Pledge

Shared Ethics
ADVISORY COMMISSION
BRINGING ETHICS AWARENESS AND TRAINING TO OUR COMMUNITIES

# 2016
# Candidate Ethics Action Pledge

If elected to the office I seek, I commit myself to being an advocate for ethical practices within my realm of responsibility. Specifically, I pledge to support in my unit of government to the extent of my authority and ability:

- Ethics training for all employees.
- A comprehensive ethics policy and vigorous enforcement.
- Whistleblower protection for employees filing ethics complaints.

Dated:_____

_____ Community

_____ Signature

_____ Office Sought

_____ Printed Name

Return by: April 15, 2016

Return to: *Calvin Bellamy, Shared Ethics Advisory Commission, 8001 Broadway, Suite 400, Merrillville, IN 46410 or cbellamy@kdlegal.com.*

# EXHIBIT F

## 2016 Summit Invitation

# Shared Ethics
ADVISORY COMMISSION

**PROUDLY PRESENTS**

# ETHICS SUMMIT

*No Charge, but reservations required*

**Wednesday, March 2nd**
**8:00am to 11:30am**

- **Audience Participation**
- **Electronic Voting**

## Avalon Manor
Merrillville / Hobart, Indiana

**Continental Breakfast**

**Summit Partners:**
**ONE Region**
**NIRPC**
**Lake County Advancement Committee**

## KEYNOTE SPEAKER

## Honorable Rebecca Pallmeyer
**U.S. District Court, Northern District of Illinois**

## LOCAL PANEL

John Bowker
President,
Valparaiso City Council

Heather Ennis
Preident,
Northwest Indiana Forum

Richard Hardaway
President,
Merrillville, Indiana

**Please RSVP by Wednesday, February 24, 2016.**
**Call 219-227-6100 or e-mail cbocek@kdlegal.com**

**BRINGING ETHICS AWARENESS AND TRAINING TO OUR COMMUNITIES**

**Visit us online at www.sharedethics.com**

# EXHIBIT G

## 2016 Media Coverage

The work of the Commission has received widespread media coverage. Thanks are owed to local media for their strong support of our efforts to promote ethical decision making. Articles in print and other citations of media coverage are listed below. Please note that the print articles and the same articles from the Internet, where links are provided, may have slightly different titles, and some online articles may only be provided for a limited period of time.

## Media Coverage in 2016

| | |
|---|---|
| January 1, 2016 | Post-Tribune article by Carrie Napoleon, titled, "Newly sworn-in mayors." |
| January 11, 2016 | TIMES article by Mary Wilds, titled, "Niemeyer tapped to return as Cedar Lake Council leader." http://www.nwitimes.com/news/local/lake/niemeyer-re-elected-cedar-lake-council-president/article_f4822f9b-fc71-5edc-918c-782931046d78.html |
| January 13, 2016 | TIMES article by Rob Earnshaw, titled, "Valpo council appointments lead to partisan accusations." http://www.nwitimes.com/news/local/porter/new-valpo-city-council-appointments-met-with-some-strife/article_bed039f3-2039-5ad4-b31c-09a3e7c3c8db.html |
| February 1, 2016 | TIMES article by Sarah Reese, titled, "Panelists discuss NWI issues." http://www.nwitimes.com/news/local/lake/panelists-take-hard-look-at-region-s-challenges-at-forum/article_de565e29-6ea3-5200-958e-eb71e3d04bae.html |
| February 3, 2016 | TIMES article by Bill Dolan, titled, "Battle's problems are city's problems." http://www.nwitimes.com/news/local/lake/battle-s-problem-holds-city-officials-captive/article_137050f5-9c74-5243-bfce-f90e2dd812c1.html |
| February 5, 2016 | TIMES article by Bill Dolan, titled, "Ethics summit is March 2." http://www.nwitimes.com/news/local/lake/nwi-ethics-summit-is-march/article_b5078d17-e9f0-5968-840c-6552fce58bc6.html://www.nwitimes.com/news/local/lake/nwi-ethics-summit-is-march/article_b5078d17-e9f0-5968-840c-6552fce58bc6.html |
| March 2, 2016 | Post-Tribune article by Karen Caffarini, titled, "State Board of Accounts puts plan in place to prevent public theft." |
| March 3, 2016 | TIMES article by Bill Dolan, titled, "Public staff temptations cited." http://www.nwitimes.com/news/local/govt-and-politics/summit-sets-out-temptations-facing-public-servants/article_13f8165a-87ae-5df8-9176-65495f80ef64.html |
| March 7, 2016 | Chesterton Tribune article, titled, "Porter Town Council to feature Ethics presentation." |
| March 9, 2016 | TIMES article by Doug Ross, titled, "Voters, juries are judging government." http://www.nwitimes.com/news/opinion/columnists/doug- |

| | |
|---|---|
| | ross/doug-ross-voters-juries-are-judging-government/article_532f63ae-5050-54e8-8413-019bff5534a8.html |
| March 9, 2016 | Chesterton Tribune article by Jeff Schultz, titled, "Porter mulls joining ethics commission...." |
| April 5, 2016 | TIMES article by Bill Dolan, titled, "Lake Station officials joining ethics group." http://www.nwitimes.com/news/local/govt-and-politics/lake-station-joins-ethics-group/article_76ba265e-63f8-55e7-92d6-537f937b68b4.html |
| April 6, 2016 | Herald-Argus article, titled, "Dworkin elected to Shared Ethics Advisory Commission." http://www.heraldargus.com/news/dworkin-elected-to-shared-ethics-advisory-commission/article_b83ca8d6-2f82-59c8-8179-a4308c94a1e6.html |
| April 11, 2016 | TIMES article, "Portage council joins ethics commission." http://www.nwitimes.com/news/local/porter/portage-council-joins-ethics-commission/article_94c7e514-b49d-5a95-8fa7-9df2b368fa8c.html |
| April 29, 2016 | TIMES article by Doug Ross, titled, "Rominger named Sagamore of Wabash." http://www.nwitimes.com/news/education/rominger-named-sagamore-of-wabash/article_6be5ea16-a5a1-569a-814d-e966cb03e859.html |
| May 1, 2016 | TIMES article, titled, "Candidates pledge ethics in 2016 race." http://www.nwitimes.com/news/local/govt-and-politics/region-candidates-pledge-ethics-in-primary-race/article_e3db7497-8230-565b-ba04-888e7c0a1a65.html |
| May 1, 2016 | TIMES article by Doug Ross, titled, "Mayor McDermott denies 'threat' allegation." |
| May 16, 2016 | Post-Tribune article by Jerry Davich, titled, "Lake Station mayor aims to remake city's image." http://www.chicagotribune.com/suburbs/post-tribune/opinion/ct-ptb-davich-lake-station-new-image-st-0516-20160513-story.html |
| July 10, 2016 | TIMES article by Chas Reilly, titled, "Lake Sation officials pleased with progress." http://www.nwitimes.com/news/local/lake/lake-station-officials-pleased-with-progress/article_3e9c2a42-88d1-5271-b775-8459255d0ae1.html |
| Summer, 2016 | Periodical article by Laurie Wink, titled, "Creating an Ethical Culture: Trying to Make the World a Better Place in the Workplace and in Public Service," *Northwest Indiana Business Quarterly* (Summer, 2016) 40-43. |
| September 30, 2016 | TIMES article by Bill Dolan, titled, "NWI public workers surveyed." http://www.nwitimes.com/news/crime-and-court/misconduct-cited-in-nwi-ethics-survey/article_17d21292-020e-58da-9581-7c0181368d89.html |

| | |
|---|---|
| November 2, 2016 | TIMES article by Bill Dolan, titled, "NWI candidates line up to take the ethics pledge." http://www.nwitimes.com/news/local/govt-and-politics/elections/nwi-candidates-line-up-to-take-the-ethics-pledge/article_f5653452-6520-574c-ab49-ed9a25f05cd3.html |
| November 4, 2016 | TIMES editorial, titled, "Recognizing candidates supporting government ethics." http://www.nwitimes.com/news/opinion/recognizing-candidates-supporting-government-ethics/article_8a667a8f-4d17-5dc9-bb97-bdba513480d4.html |
| November 30, 2016 | TIMES article by Doug Ross, titled, "LaPorte County should claim its NWI birthright." http://www.nwitimes.com/news/opinion/columnists/doug-ross/doug-ross-laporte-county-should-claim-its-nwi-birthright/article_41dc8edd-6149-5e69-877c-fcde704ac175.html |