



# 2022 Fall Conference at OC Fontainebleau Resort

## **ENGINEERING ETHICS**

Scott C. Crumley, PE, PTOE

September 29, 2022      2:45 to 3:45 PM

# BIOGRAPHY

- Born & raised in Colorado
- BS Civil Engineering at UConn & MS Info & Telecommunications Systems at JHU
- MSHA D3 Traffic → Mont Co DOT → RK&K (9 yrs in public sector, 20 yrs in private sector)
- RK&K Director of Transportation, DC Metro Area leader
- Resident of Ellicott City, Howard County, MD



# OBJECTIVES

# ENGINEERING ETHICS

- Identify how engineering ethics intersects with resiliency
- Review engineering code of ethics
- Reference Maryland County ethical codes
- Reenforce why engineering ethics is foundational to our everyday work and critical to the resiliency of our profession
- More easily recognize and better appreciate real-life engineering ethical dilemmas
- Highlight available resources

◆ 1.0 PDH credit



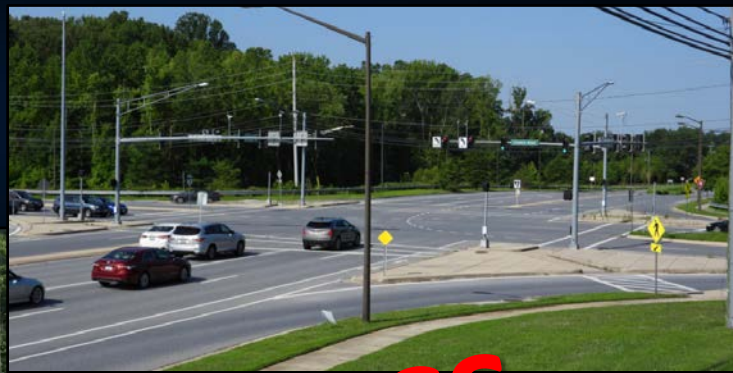
# INTERACTIVE SESSION

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## UPCOMING QUESTIONS

1. What does engineering ethics mean to you?
2. What engineering ethical dilemmas have you experienced or seen in your career?
3. How do you see engineering ethics intersecting with resiliency?





**HOW DOES ENGINEERING ETHICS INTERSECT WITH RESILIENCY?**

The collage features several images related to the theme:

- A group of people, including children, sitting in a classroom or meeting.
- A construction site showing a large concrete wall and a Maryland state flag.
- A newspaper clipping from *The New York Times*, dated Tuesday, December 15, 2020, with the headline "HEALING IS COMING", U.S. VACCINATIONS BEGIN.
- A photograph of three children.
- A photograph of a person walking through a snowy landscape with blue tents in the background.





# WHAT DOES ENGINEERING ETHICS MEAN TO YOU?



www.dilbert.com scottadams@aol.com



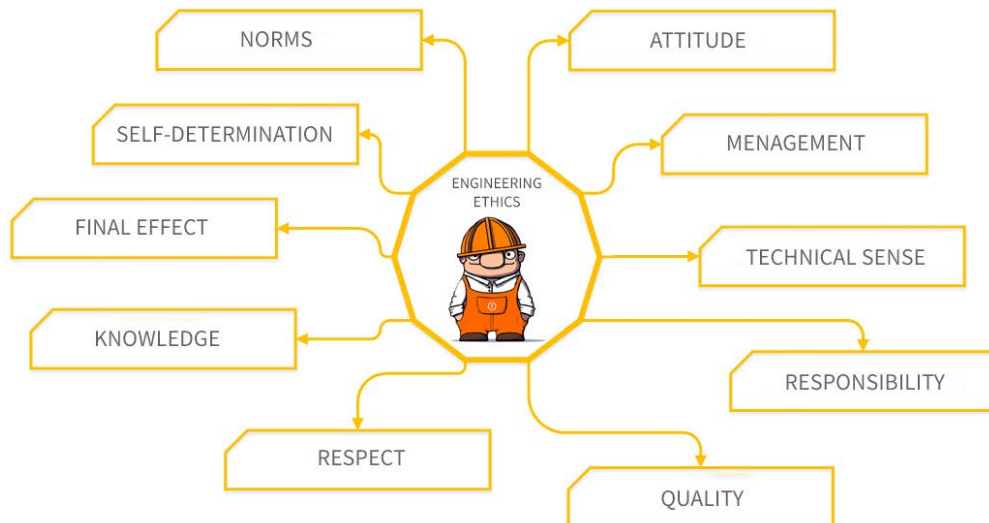
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# WHAT DOES ENGINEERING ETHICS MEAN TO YOU?



# WHAT DOES ENGINEERING ETHICS MEAN TO YOU?





# ENGINEERING ETHICS



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Environmental Professionals™  
Est. 1987



# CODE OF ETHICS FOR ENGINEERS



## Engineers' Creed

As a Professional Engineer, I dedicate my professional knowledge and skill to the advancement and betterment of human welfare.

I pledge:

To give the utmost of performance;

To participate in none but honest enterprise;

To live and work according to the laws of man and the highest standards of professional conduct;

To place service before profit, the honor and standing of the profession before personal advantage, and the public welfare above all other considerations.

In humility and with need for Divine Guidance, I make this pledge.

Adopted by  
National Society of Professional Engineers  
June, 1954

# CODE OF ETHICS FOR ENGINEERS

## PREAMBLE

Engineering is an important and learned profession. As members of this profession, engineers are expected to exhibit the highest standards of honesty and integrity. Engineering has a direct and vital impact on the quality of life for all people. Accordingly, the services provided by engineers require honesty, impartiality, fairness, and equity, and must be dedicated to the protection of the public health, safety, and welfare. Engineers must perform under a standard of professional behavior that requires adherence to the highest principles of ethical conduct.



NATIONAL SOCIETY OF  
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## Code of Ethics for Engineers

### Preamble

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### I. Fundamental Canons

- Engineers, in the fulfillment of their professional duties, shall:
  - hold paramount the safety, health, and welfare of the public;
  - perform services only in areas of their competence;
  - issue public statements only in an objective and truthful manner;
  - act for each employer or client as faithful agents or trustees;
  - avoid deceptive acts;
  - conduct themselves honorably, responsibly, ethically, and lawfully so as to enhance the honor, reputation, and usefulness of the profession.

### II. Rules of Practice

- Engineers shall hold paramount the safety, health, and welfare of the public.**
  - If engineers' judgment is overruled under circumstances that endanger life or property, they shall notify their employer or client and such other authority as may be appropriate.
  - Engineers shall approve only those engineering documents that are in conformity with applicable standards.
  - Engineers shall not reveal facts, data, or information without the prior consent of the client or employer except as authorized or required by law or by this Code.
  - Engineers shall not permit the use of their name or associate in business ventures with any person or firm that they believe is engaged in fraudulent or dishonest enterprise.
  - Engineers shall not aid or abet the unlawful practice of engineering by a person or firm.
  - Engineers having knowledge of any alleged violation of this Code shall report thereon to appropriate professional bodies and, when relevant, also to public authorities, and cooperate with the proper authorities in furnishing such information or assistance as may be required.
- Engineers shall perform services only in the areas of their competence.**
  - Engineers shall undertake assignments only when qualified by education or experience in the specific technical fields involved.
  - Engineers shall not affix their signatures to any plans or documents dealing with subject matter in which

they lack competence, nor to any plan or document not prepared under their direction and control.  
c. Engineers may accept assignments and assume responsibility for coordination of an entire project and sign and seal the engineering documents for the entire project, provided that each technical segment is signed and sealed only by the qualified engineers who prepared the segment.

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- Engineers may express publicly technical opinions that are founded upon knowledge of the facts and competence in the subject matter.
- Engineers shall issue no statements, criticisms, or arguments on technical matters that are inspired or paid for by interested parties, unless they have prefaced their comments by explicitly identifying the interested parties on whose behalf they are speaking, and by revealing the existence of any interest the engineers may have in the matter.

### 4. Engineers shall act for each employer or client as faithful agents or trustees.

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- Engineers in public service as members, advisors, or employees of a governmental or quasi-governmental body or department shall not participate in decisions with respect to services solicited or provided by them or their organizations in private or public engineering practice.
- Engineers shall not solicit or accept a contract from a governmental body on which a principal or officer of their organization serves as a member.

### 5. Engineers shall avoid deceptive acts.

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to the solicitation of employment shall not misrepresent pertinent facts concerning employers, employees, associates, joint ventures, or past accomplishments.  
b. Engineers shall not offer, give, solicit, or receive, either directly or indirectly, any contribution to influence the award of a contract by public authority, or which may be reasonably construed by the public as having the effect or intent of influencing the awarding of a contract. They shall not offer any gift or other valuable consideration in order to secure work. They shall not pay a commission, percentage, or brokerage fee in order to secure work, except to a bona fide employee or bona fide established commercial or marketing agencies retained by them.

### III. Professional Obligations

#### 1. Engineers shall be guided in all their relations by the highest standards of honesty and integrity.

- Engineers shall acknowledge their errors and shall not distort or alter the facts.
- Engineers shall advise their clients or employers when they believe a project will not be successful.
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- Engineers shall not attempt to attract an engineer from another employer by false or misleading pretenses.
- Engineers shall not promote their own interest at the expense of the dignity and integrity of the profession.
- Engineers shall treat all persons with dignity, respect, fairness, and without discrimination.

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- Engineers are encouraged to extend public knowledge and appreciation of engineering and its achievements.
- Engineers are encouraged to adhere to the principles of sustainable development in order to protect the environment for future generations.
- Engineers shall continue their professional development throughout their careers and should keep current in their specialty fields by engaging in professional practice, participating in continuing education courses, reading in the technical literature, and attending professional meetings and seminars.

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particular specialized knowledge on behalf of a former client or employer.

### 5. Engineers shall not be influenced in their professional duties by conflicting interests.

- Engineers shall not accept financial or other considerations, including free engineering designs, from material or equipment suppliers for specifying their product.
- Engineers shall not accept commissions or allowances, directly or indirectly, from contractors or other parties dealing with clients or employers of the engineer in connection with work for which the engineer is responsible.

### 6. Engineers shall not attempt to obtain employment or advancement or professional engagements by untruthfully criticizing other engineers, or by other improper or questionable methods.

- Engineers shall not request, propose, or accept a commission on a contingent basis under circumstances in which their judgment may be compromised.
- Engineers in salaried positions shall accept part-time engineering work only to the extent consistent with policies of the employer and in accordance with ethical considerations.
- Engineers shall not, without consent, use equipment, supplies, laboratory, or office facilities of an employer to carry on outside private practice.

corporation, or partnership as a "cloak" for unethical acts.

### 9. Engineers shall give credit for engineering work to those to whom credit is due, and will recognize the proprietary interests of others.

- Engineers shall, whenever possible, name the person or persons who may be individually responsible for designs, inventions, writings, or other accomplishments.
- Engineers using designs supplied by a client recognize that the designs remain the property of the client and may not be duplicated by the engineer for others without express permission.
- Engineers, before undertaking work for others in connection with which the engineer may make improvements, plans, designs, inventions, or other records that may justify copyrights or patents, should enter into a positive agreement regarding ownership.
- Engineers' designs, data, records, and notes referring exclusively to an employer's work are the employer's property. The employer should indemnify the engineer for use of the information for any purpose other than the original purpose.

Footnote 1: Sustainable development is the challenge of meeting human needs for natural resources, industrial products, energy, food, transportation, shelter, and effective waste management while conserving and protecting environmental quality and the natural resource base essential for future development.

It is further noted that as made clear in the Supreme Court decision:


- Engineers and firms may individually refuse to bid for engineering services.
- Clients are not required to seek bids for engineering services.
- Federal, state, and local laws governing procedures to procure engineering services are not affected, and remain in full force and effect.
- State societies and local chapters are free to actively and aggressively seek legislation for professional selection and regulation procedures by public agencies.
- State registration board rules of professional conduct, including rules prohibiting competitive bidding for engineering services, are not affected and remain in full force and effect. State registration boards with authority to adopt rules of professional conduct may adopt rules governing procedures to obtain engineering services.
- As noted by the Supreme Court, "nothing in the judgment prevents NSPE and its members from attempting to influence governmental action."

Note: In regard to the question of application of the Code to corporations involving real persons, business entities or firms should not require nor influence conformance of individuals to the Code. The Code deals with professional services, which services must be performed by real persons. Real persons in turn establish and implement policies within business structures. The Code is clearly written to apply to the Engineer, and it is incumbent on members of NSPE to endeavor to live up to its provisions. This applies to all pertinent sections of the Code.

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**NSPE**  
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# Code of Ethics for Engineers



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### Preamble

Engineering is an important and learned profession. As members of this profession, engineers are expected to exhibit the highest standards of honesty and integrity. Engineering has a direct and vital impact on the quality of life for all people. Accordingly, the services provided by engineers require a high degree of technical competence, fairness, and equity, and must be dedicated to the protection of the public health, safety, and welfare. Engineers must perform under a standard of professional behavior that requires adherence to the highest principles of ethical conduct.

### I. Fundamental Canons

Engineers, in the fulfillment of their professional duties, shall:

1. Hold paramount the safety, health, and welfare of the public.
2. Perform services only within the scope of their competence.
3. Issue public statements only in an objective and truthful manner.
4. Act for each employer or client as faithful agents or trustees.
5. Avoid deceptive acts.
6. Conduct themselves honorably, responsibly, ethically, and lawfully so as to enhance the honor, reputation, and usefulness of the profession.

### II. Rules of Practice

**1. Engineers shall hold paramount the safety, health, and welfare of the public.**

- a. If an engineer's judgment is overruled under circumstances that endanger life or property, they shall notify their employer or client and such other authority as may be appropriate.
- b. Engineers shall approve only those engineering documents that are in conformity with applicable standards.
- c. Engineers shall not receive fee funds, or information without the prior consent of the client or employer except as authorized or required by law or this Code.
- d. Engineers shall not profess to be the use of their name or associate in business ventures with any person or firm that they believe is engaged in fraudulent or dishonest enterprise.
- e. Engineers shall not aid or abet the unlawful practice of engineering by a person or firm.
- f. Engineers having knowledge of an alleged violation of this Code shall report thereon to appropriate professional bodies and, when relevant, also to public authorities, and cooperate with the proper authorities in furnishing such information or assistance as may be required.

**2. Engineers shall perform services only in the areas of their competence.**

- a. Engineers shall undertake assignments only when qualified by education or experience in the specific technical fields involved.
- b. Engineers shall not affix their signatures to any plans or documents dealing with subject matter in which they lack competence, nor to any plan or document not prepared under their direction and control.
- c. Engineers may accept assignment and assume responsibility for coordination of an entire project and sign and seal the engineering documents for the entire project, provided that each legal segment is signed and sealed only by the qualified engineers who prepared the segment.

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- b. Engineers may express technical opinions or conclusions that are founded upon knowledge of the facts and competence in the subject matter.
- c. Engineers shall use no false, misleading, or deceptive arguments on technical matters that are prepared or paid for by interested parties, unless they have informed their comments by explicitly identifying the interested parties on whose behalf they are speaking; and by revealing the existence of any interest the engineers may have in the matter.

**4. Engineers shall act for each employer or client as faithful agents or trustees.**

- a. Engineers shall disclose all known or potential conflicts of interest that could influence or appear to influence their judgment or the quality of their services.
- b. Engineers shall not accept compensation, financial or otherwise, from more than one party for services on the same project, or for services pertaining to the same project, unless the circumstances are fully disclosed and approved by all interested parties in writing.
- c. Engineers shall not solicit or accept a contract from other valuable consideration, directly or indirectly, from outside agencies in connection with the work for which they are responsible.
- d. Engineers in public service as members, advisors, or officers of a governmental body or governmental body or department shall not participate in decisions with respect to services solicited or provided by them or their organizations in private consulting or engineering practice.
- e. Engineers shall not solicit or accept a contract from a governmental body on which a principal or officer of their organization serves or has served.

**5. Engineers shall avoid deceptive acts.**

- a. Engineers shall not falsify their qualifications or permit misrepresentation of them or their associates' qualifications. They shall not attempt to exaggerate their responsibility in or for the subject matter of prior assignments. Brochures or other presentations intended

to the solicitation of employment shall not misrepresent pertinent facts concerning engineers, employees, associates, joint ventures, or consulting firms.

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- d. Engineers shall not attempt to attract an engineer from another employer by false or misleading pretenses.
- e. Engineers shall not promote their own interest at the expense of the dignity and integrity of the profession.
- f. Engineers shall treat all persons with dignity, respect, fairness, and without discrimination.

**2. Engineers shall at all times strive to serve the public interest.**

- a. Engineers shall encourage the advancement of their career guidance for youths; and work for the advancement of the safety, health, and well-being of their community.
- b. Engineers shall not discriminate on the basis of race, sex, or specifications that are not in conformity with applicable engineering standards. If the client or employer insists on unprofessional conduct, they shall notify the proper authorities and withdraw from further service on the project.
- c. Engineers are encouraged to extend public knowledge and appreciation of engineering and its achievements.
- d. Engineers are encouraged to adhere to the principles of sustainable development, in order to protect the environment for future generations.
- e. Engineers shall continue their professional development throughout their career and to distinguish themselves in their specialty fields by engaging in professional practice, participating in continuing education courses, reading the technical literature, and attending professional meetings and seminars.

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Engineering is an important and learned profession. As members of this profession, engineers are expected to exhibit the highest standards of honesty and integrity. **Engineering has a direct and vital impact on the quality of life for all people.**



particular specialist knowledge on behalf of a former client or employer.

- 5. Engineers shall not be influenced in their professional duties by conflicting interests.**
  - a. Engineers shall not accept financial or other considerations, including fee engineering designs, from material or equipment suppliers for specifying their product.
  - b. Engineers shall not accept commissions or allowances, directly or indirectly, from contractors or other parties dealing with clients or employers of the engineer in connection with work for which the engineer is responsible.
- 6. Engineers shall not attempt to obtain employment or advancement or professional engagements by untruthfully criticizing other engineers, or by other improper or questionable methods.**
  - a. Engineers shall not request, propose, or accept a commission on a contingent basis under circumstances in which their judgment may be compromised.
  - b. Engineers in salary or hourly pay shall accept part-time engineering work only to the extent consistent with policies of the employer and in accordance with ethical considerations.
  - c. Engineers shall not, without consent, use equipment, supplies, laboratory, or office facilities of an employer to carry on outside private practice.
- 7. Engineers shall give credit for engineering work to those to whom credit is due, and will recognize the proprietary interests of others.**
  - a. Engineers shall, whenever possible, name the person or persons who may be individually responsible for designs, inventions, writings, or other accomplishments.
  - b. Engineers using design data supplied by a client recognize that the designs remain the property of the client and may not be duplicated by the engineer for others without express permission.
  - c. Engineers, before undertaking work for others in connection with which the engineer may make improvements, plans, designs, inventions, or other records that may justify copyrights or patents, should enter into a prior agreement regarding ownership.
  - d. Engineers' designs, data, records, and notes referring exclusively to an employer's work are the employer's property. The employer should indemnify the engineer for use of the information for any purpose other than the original purpose.

**Preamble:** "Sustainable development" is the challenge of meeting human needs and aspirations within the constraints of our planet. It is the responsibility of all of us to conserve and protect our natural resources, industrial products, energy, and environment, challenged with the need to balance economic growth with protecting environmental quality and the natural resource base essential for future development.

It is further noted that as made clear in the Supreme court decision:

1. Engineers and firms may individually relate to bid for engineering services.
2. Clients are not required to seek bids for engineering services.
3. Federal, state, and local laws governing procedures to procure engineering services are not affected, and remain in full force and effect.
4. State societies and local chapters are free to actively and aggressively seek legislation for professional selection and regulation procedures by public agencies.
5. State registration board rules of professional conduct, including rules prohibiting competitive bidding for engineering services, are not affected and remain in full force and effect. State registration boards with authority to adopt rules of professional conduct for engineers governing standards to obtain engineering services.
6. As noted by the Supreme Court, "nothing in the judgment prevents firms and its members from attempting to influence governmental action . . ."

Note: In regard to the question of application of the Code to corporations vis-a-vis past personnel, business form it type should require no reliance on individuals to be liable.

The Code deals with professional services, which services must be performed by real persons. It does not turn automatic implement policies within business structures. The Code is clearly written to apply to the Engineer, and it is incumbent on members NSPE to endeavor to live up to its provisions. This applies to all pertinent sections of the Code.

## PREAMBLE

**NSPE**® NATIONAL SOCIETY OF  
PROFESSIONAL ENGINEERS



## PREAMBLE

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# CODE OF ETHICS FOR ENGINEERS

## FUNDAMENTAL CANONS

1. Hold paramount the safety, health, and welfare of the public
2. Perform services only in areas of their competence
3. Issue public statements only in an objective and truthful manner
4. Act for each employer or client as faithful agents or trustees
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- Engineers and firms may individually refuse to bid for engineering services.
- Clients are not required to seek bids for engineering services.
- Federal, state, and local laws governing procedures to procure engineering services are not affected, and remain in full force and effect.
- Engineers and their clients are free to proactively and aggressively seek legislation for professional selection and negotiation procedures by public agencies.
- State registration board rules of professional conduct, including rules prohibiting competitive bidding for engineering services, are not affected and remain in full force and effect. State registration boards with authority to adopt rules of professional conduct may adopt rules governing procedures to obtain engineering services.
- As noted by the Supreme Court, "nothing in the present decision precludes NSPE and its members from attempting to influence governmental action . . ."

Original: "Sustainable development" is the challenge of meeting human needs for natural resources, industrial products, energy, food, housing, shelter, and other necessities, while conserving and protecting environmental quality and the natural resource base essential for future development.

3400 KING STREET, ALEXANDRIA, VIRGINIA 22304-2794 • 888-365-NSPE (6773) • LEGAL@NSPE.ORG • WWW.NSPE.ORG • PUBLICATION DATE AS REVISED JULY 2019 • PUBLICATION #1012

INTERNATIONAL SOCIETY OF PROFESSIONAL ENGINEERS, ALL RIGHTS RESERVED



# ETHICS IN THE NEWS



"We won't work that way.  
We don't do business that way."

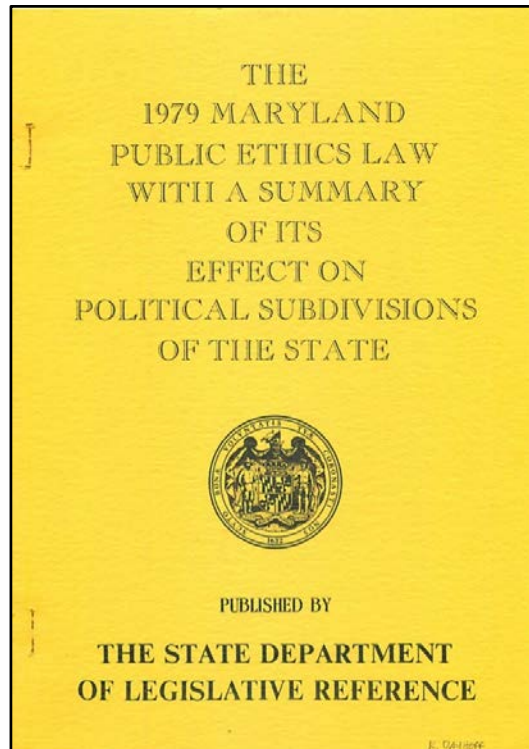
Bill Kahl



# MARYLAND PUBLIC ETHICS

## MARYLAND PUBLIC ETHICS LAW

1. Established in 1979
2. General Provisions Article, Title 5



## STATE ETHICS COMMISSION

### MARYLAND PUBLIC ETHICS LAW

- \* CONFLICTS OF INTEREST
- \* FINANCIAL DISCLOSURE
- \* LOBBYIST DISCLOSURE
- \* PROCEDURES
- \* LOCAL GOVERNMENT

This information is intended to be a general summary of the Law.  
It is not to be read as a substitute for the Law itself.

# MARYLAND PUBLIC ETHICS

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## MARYLAND STATE ETHICS COMMISSION

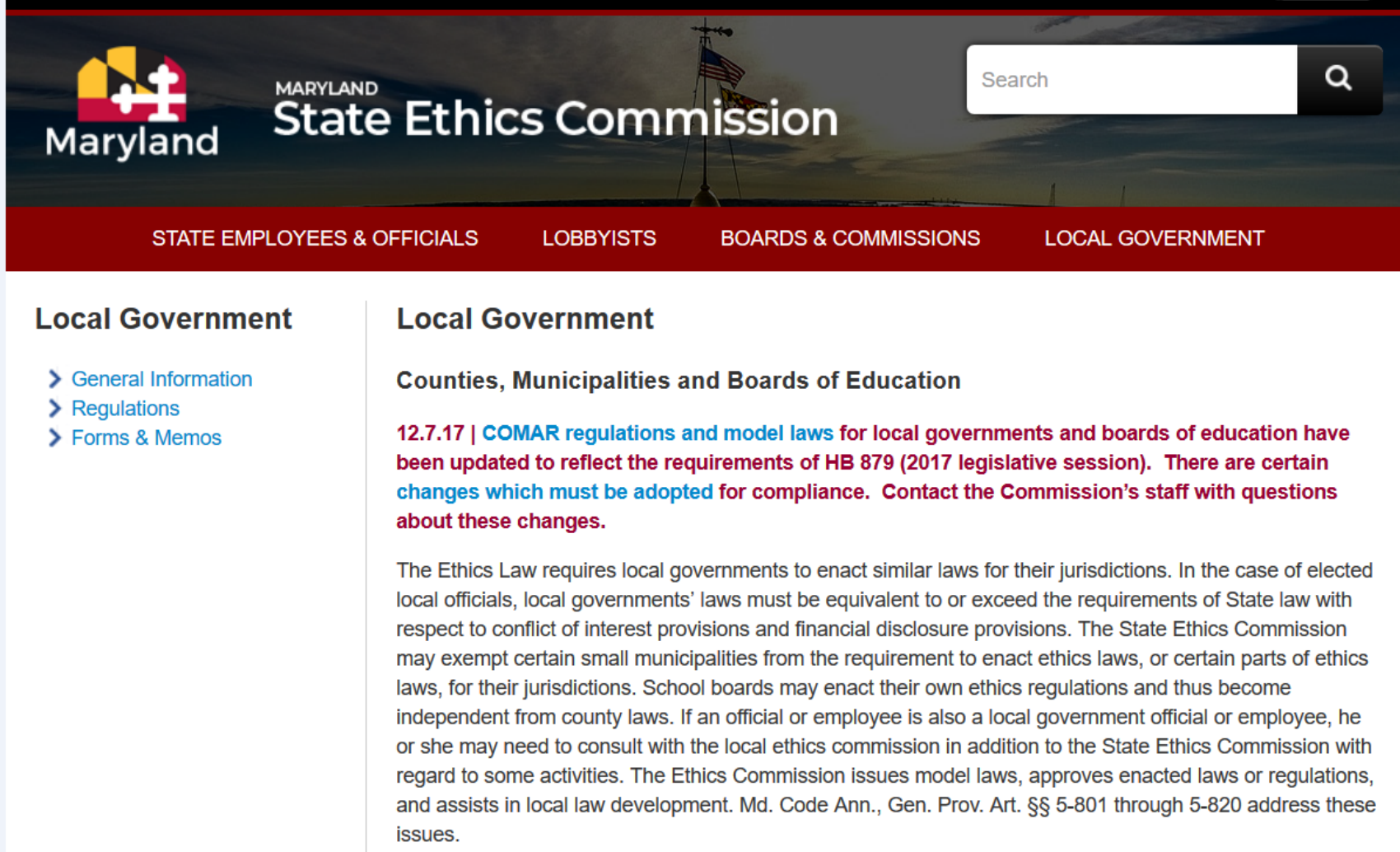
1. Administers the Public Ethics Law
2. Standards of conduct for state and local government officials and employees
3. Guards against improper influence on public officials
4. Avoids the appearance of conflicts of interest
5. Financial disclosure, lobbying disclosure and regulation
6. Approval of local government ethics requirements
7. Ethics law advice and training
8. Ethics law complaint investigation



<https://ethics.maryland.gov/public-ethics-law/>

# MARYLAND PUBLIC ETHICS

## LOCAL GOVERNMENT: Counties, Municipalities and Boards of Education



The screenshot shows the Maryland State Ethics Commission website. The header features the Maryland State Ethics Commission logo and a search bar. The navigation menu includes links for State Employees & Officials, Lobbyists, Boards & Commissions, and Local Government. The Local Government section is active, displaying a sidebar with links to General Information, Regulations, and Forms & Memos. The main content area is titled 'Local Government' and 'Counties, Municipalities and Boards of Education'. It contains a notice about updated COMAR regulations and model laws for local governments and boards of education, effective 12.7.17. The notice states that these regulations have been updated to reflect the requirements of HB 879 (2017 legislative session) and that there are certain changes which must be adopted for compliance. It also mentions that the Commission's staff can be contacted with questions about these changes. Below the notice, there is a paragraph explaining the Ethics Law requirements for local governments to enact similar laws for their jurisdictions. It states that in the case of elected local officials, local governments' laws must be equivalent to or exceed the requirements of State law with respect to conflict of interest provisions and financial disclosure provisions. The State Ethics Commission may exempt certain small municipalities from the requirement to enact ethics laws, or certain parts of ethics laws, for their jurisdictions. School boards may enact their own ethics regulations and thus become independent from county laws. If an official or employee is also a local government official or employee, he or she may need to consult with the local ethics commission in addition to the State Ethics Commission with regard to some activities. The Ethics Commission issues model laws, approves enacted laws or regulations, and assists in local law development. Md. Code Ann., Gen. Prov. Art. §§ 5-801 through 5-820 address these issues.

**Local Government**

- › General Information
- › Regulations
- › Forms & Memos

**Local Government**

**Counties, Municipalities and Boards of Education**

**12.7.17 | COMAR regulations and model laws for local governments and boards of education have been updated to reflect the requirements of HB 879 (2017 legislative session). There are certain changes which must be adopted for compliance. Contact the Commission's staff with questions about these changes.**

The Ethics Law requires local governments to enact similar laws for their jurisdictions. In the case of elected local officials, local governments' laws must be equivalent to or exceed the requirements of State law with respect to conflict of interest provisions and financial disclosure provisions. The State Ethics Commission may exempt certain small municipalities from the requirement to enact ethics laws, or certain parts of ethics laws, for their jurisdictions. School boards may enact their own ethics regulations and thus become independent from county laws. If an official or employee is also a local government official or employee, he or she may need to consult with the local ethics commission in addition to the State Ethics Commission with regard to some activities. The Ethics Commission issues model laws, approves enacted laws or regulations, and assists in local law development. Md. Code Ann., Gen. Prov. Art. §§ 5-801 through 5-820 address these issues.

<https://ethics.maryland.gov/local-government/>



# MARYLAND PUBLIC ETHICS

## MANDATORY TRAINING FOR STATE (& BALTIMORE CITY) EMPLOYEES

### State Employees/Officials

The Conflict of Interest provisions of the [Public Ethics Law](#), Maryland Code Annotated, General Provisions, Title 5, Subtitle 5, **apply to ALL State Employees**, regardless of grade or years of service. You should read and become familiar with the provisions that govern the behavior of all State employees as a violation of any of these principles may result in disciplinary action and possibly termination from State employment.

<https://ethics.maryland.gov/employeeofficials/>

## TRAINING REQUIREMENTS VARY BY COUNTY

**MARYLAND STATE ETHICS COMMISSION**  
45 Calvert Street, 3rd Floor  
Annapolis, MD 21401  
410-260-7770 / Toll Free 1-877-669-6085

#### State Employee MANDATORY Ethics Training

Section 5-205(d) of the State Ethics Law requires new financial disclosure filers to receive two (2) hours of Ethics training within six (6) months of being required to file. The training will cover all areas of the Ethics Law but will focus on conflict of interest and standards of conduct.

A reminder with the link will be sent via e-mail two to three days prior to the training.

Name:   
Department or Agency:   
Phone Number:   
E-Mail Address:

☐ **Thursday - OCTOBER 6, 2022**  
**VIRTUAL** 1:00 p.m. to 3:00 p.m.


☐ *future date to be announced*

EMAIL form to: [ethics.public@maryland.gov](mailto:ethics.public@maryland.gov) **or** FAX: 410-260-7746


**OR**

**Take training ONLINE at <https://trainings-ethics.maryland.gov>**  
(You will need to create an account using the same email as your financial disclosure account.)

# MARYLAND PUBLIC ETHICS



## GOVERNMENT DEPARTMENTS RESIDENTS BUSINESS HOW DO I? COMCAST BUILDOUT



Agendas and Minutes

[Home](#) > [Government](#) > [Volunteer Boards and Commissions](#) > [C - G](#) > [Ethics Commission](#) > [Volunteer Video](#)

### Government Ethics Training Video



## Ethics Training

The Office of Ethics & Accountability (OEA) requires all County employees and Board/Commission members to complete ethics training by June 30<sup>th</sup> each year. The training must be completed even if it was completed in prior calendar years.

### County Employee Ethics Training

County employees are required to complete the online training in the Prince George's County Learning Management System (LMS) [online here](#).

#### What employees need to know about the PUBLIC ETHICS LAW



#### WHAT'S INSIDE

- Purpose of the Ethics Law
- Who is covered
- Training Requirements
- Ethics Commission
- 6 Conflicts of Interest
- 1. Restrictions on Participation
- 2. Secondary Employment
- 3. Representing Others
- 4. Gifts
- 5. Prestige of Office
- 6. Use of Confidential Information

ANNE ARUNDEL COUNTY ETHICS COMMISSION  
Heritage Office Complex  
2666 Riva Road, Ste. 160  
Annapolis, Maryland 21401  
Phone: 410-222-4412  
Fax: 410-222-4414  
Email: [etsc@aaacounty.org](mailto:etsc@aaacounty.org)  
<https://www.aaacounty.org/boards-and-commissions/ethics-commission/index.html>



#### 1. Participation and Recusal

A County employee or public official may not participate in any matter where the employee or official, or "qualifying relative" of the employee or official, has an interest in the matter different from the general public.

A County employee or public official may not participate in matters involving business entities in which the employee or official, or qualifying relative of the employee or official, has a financial, employment, contractual, creditor or potential employment interest.

\*[Qualifying relative is defined by law as a spouse, parent, child, brother or sister.]

#### 2. Secondary Employment

A County employee or public official may not have a financial interest in, or accept secondary employment with, any entity that is:

1. doing business with the employee's agency or governmental unit;
2. seeking to do business with the employee's agency or governmental unit;
3. regulated by the employee's agency or governmental unit;
4. has a contract or is negotiating a contract that is administered by the employee's agency or governmental unit; or,
5. a subcontractor on a contract with the County that is administered by the employee's agency or governmental unit.

#### Purpose of the Ethics Law

The County's Public Ethics Law establishes minimum standards of conduct to ensure that the decisions of County employees and elected officials are made impartially, and with independent judgment, without improper influence, or even the appearance of improper influence.

#### Who is covered

County employees, elected and appointed County officials, and members of County boards and commissions, are covered by the County Public Ethics Law. Employees of the Sheriff's Office, Health Department, State's Attorney Office, and Department of Social Services are covered by the Maryland State Ethics Law.

#### Training Requirements

The Public Ethics Law requires all employees and elected officials successfully complete an ethics training program within 60 days of hire, and once every 5 years thereafter. The ethics commission has created an online training program that can be completed by employees at their convenience. Visit the ethics commission website for details.

#### The Ethics Commission

The Anne Arundel County Ethics Commission was created by law to:

- INTERPRET AND ADMINISTER THE PUBLIC ETHICS LAW OF ANNE ARUNDEL COUNTY
- REVIEW AND MAINTAIN FINANCIAL DISCLOSURE AND CONFLICT OF INTEREST STATEMENTS
- MAINTAIN LOBBYIST REGISTRATION RECORDS AND REPORTS
- PROVIDE ETHICS TRAINING FOR COUNTY EMPLOYEES AND OFFICIALS

#### ISSUE ADVISORY OPINIONS

- RECEIVE, REVIEW AND INVESTIGATE COMPLAINTS
- CONDUCT HEARINGS, SUBPOENA WITNESSES AND ADMINISTER OATHS
- MAKE FINDINGS OF FACT AND CONCLUSIONS OF LAW REGARDING ETHICS COMPLAINTS
- ISSUE ORDERS OF COMPLIANCE, REPRIMAND OR OTHER ENFORCEMENT AUTHORIZED BY LAW

The Ethics Commission is an independent agency made up of 7 citizens of Anne Arundel County who are appointed by the County Executive with approval of the County Council. Three are nominated by the County Council. They serve a term of 4 years and cannot be government employees nor may they participate in the campaign of any public official. The commission appoints an executive director and other staff as necessary. The commission is authorized to meet in both open and closed sessions.

#### CONFLICTS OF INTEREST

##### WHAT IS A CONFLICT OF INTEREST?

A conflict of interest arises when an employee, elected official, board or commission member, or that person's family member, is in a position to derive personal or financial benefit from actions or decisions they make in their official capacity.

The Anne Arundel County Public Ethics Law defines 6 conflict of interest provisions and prohibitions that employees and elected officials must be familiar with.

1. Participation and Recusal
2. Secondary Employment
3. Representing Others
4. Gifts
5. Prestige of Office
6. Use of Confidential Information

THERE ARE EXCEPTIONS TO THE SECONDARY EMPLOYMENT RULES THAT ARE GOVERNED BY LAW AND GRANTED BY THE ETHICS COMMISSION. YOU SHOULD ALWAYS CHECK WITH YOUR SUPERVISOR AND THE ETHICS COMMISSION BEFORE ACCEPTING ANY SECONDARY JOB. WE HAVE A FORM THAT YOU CAN COMPLETE AND SUBMIT TO OBTAIN THE COMMISSION'S OPINION ABOUT YOUR POTENTIAL SECONDARY EMPLOYMENT POSITION.

#### 3. Representing Others

An employee may not, except in the course of the employee's official duties, assist or represent any party (other than the County) in any specific matter; before any County agency, department or other County employee or in which the County has an interest.

#### 4. Gifts (Soliciting and Accepting)

County employees may not solicit gifts while on the job, unless the solicitation is part of a County-wide charitable effort that has been approved by the County Executive to promote a public purpose. The gifts must benefit the public and not County employees.

An employee may not accept a gift from a controlled donor. A controlled donor is anyone that: does or is seeking to do business with the County; is engaged in activities regulated by the County; has a financial interest that may be affected by an employee's official duties; or lobbies the employee's agency, board or commission.

Exceptions to the gift law permit acceptance of some gifts in limited circumstances, such as if the gift does not exceed \$20 in value and does not give the appearance of impairing the impartiality and independent judgment of the employee, and the employee does not believe that the gift was given to impair the impartiality and independent judgment of the employee. ALWAYS CHECK WITH THE ETHICS COMMISSION BEFORE ACCEPTING ANY GIFT FROM A CONTROLLED DONOR.

#### 5. Prestige of Office

An employee may not intentionally use the prestige of their office or public position for that employee's private gain or the gain of another.

THIS IS A VERY BROAD CONFLICT THAT INCLUDES THINGS SUCH AS:

- Using your County title and position on a web site, business card, brochure, or other non-county business venture or activity.
- Using County resources (time, supplies, equipment, etc.) to conduct or further any outside business or personal activity, including political and charitable activity, not related to your County position.

#### 6. Use of Confidential Information

Except in the discharge of an official duty, an employee, or former employee, may not disclose or use confidential information, acquired by reason of the employee's, or former employee's, public position, and not available to the public, for personal economic benefit or for the economic benefit of another.

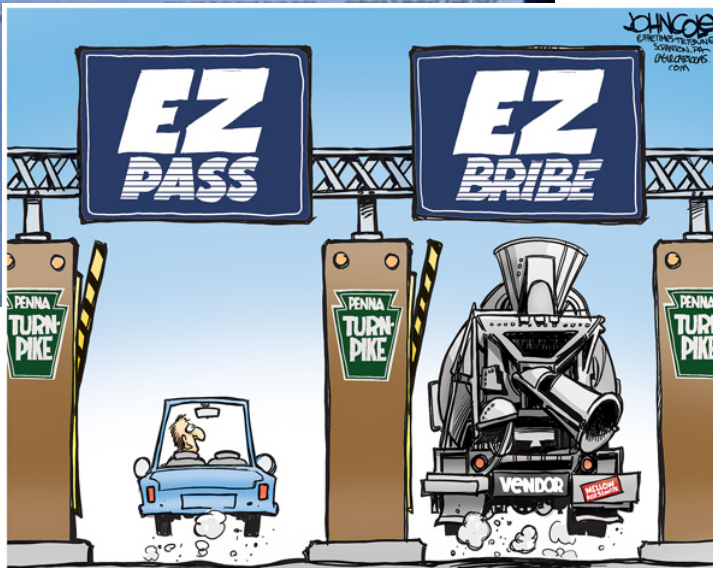
Thank you for taking the time to read this summary of the Anne Arundel County Public Ethics Law. The Ethics Commission urges you to contact our office any time to discuss any ethics matter, BEFORE an issue or violation occurs. For more information please visit our website. The full text of the Public Ethics Law can be found in Article 7 of the County Code.

Version 2/21/2019





# ETHICS IN THE NEWS



United States Department of Justice

THE UNITED STATES ATTORNEY'S OFFICE

EASTERN DISTRICT *of* PENNSYLVANIA

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FOR IMMEDIATE RELEASE

Tuesday, May 10, 2016

## President Of Engineering Firm Admits To Bribing Elected Officials In Allentown And Reading

PHILADELPHIA – Court documents were unsealed today in relation to the guilty plea entered by Matthew McTish, 57, of Orefield, PA. McTish pleaded guilty on April 28, 2016 to one count of conspiracy to commit bribery offenses, announced United States Attorney Zane David Memeger. McTish faces a maximum possible sentence of five years in prison, a possible fine, three years of supervised release, and a \$100 special assessment. U.S. District Judge Juan R. Sanchez scheduled a sentencing hearing for August 2, 2016.



# TYPICAL AGENCY ETHICAL CODES



§ CG 5-104

ETHICS

§ CG 5-104

for contingent compensation in any matter before or involving Worcester County.

(g) Use of prestige of office.

(1) An official or employee may not intentionally use the prestige of office or public position:

- A. For the private gain of that official or employee or the private gain of another.
- B. To influence, except as part of the official duties of the official or employee or as a usual and customary constituent service without additional compensation, the award of a County contract to a specific person.

(2) An official may not directly or indirectly initiate a solicitation for a person to retain the compensated services of a particular regulated lobbyist or lobbying firm.

(3) A public official or employee may not use public resources or the title of the public official or employee to solicit a political contribution that is regulated in accordance with the State Election Law article.

(4) In this paragraph, "legislative action" does not include testimony or other advocacy in an official capacity as a member of the County Commissioners before a unit of State or local government.

- A. A former member of the County Commissioners may not assist or represent another party for compensation in a matter that is the subject of legislative action for one calendar year from the date the Commissioner leaves office.

(5) This subsection does not prohibit the performance of usual and customary constituent services by an elected local official without additional compensation.

(h) Solicitation and acceptance of gifts.

(1) An official or employee may not solicit any gift.

(2) An official or employee may not directly solicit or facilitate the solicitation of a gift, on behalf of another person, from an individual regulated lobbyist.

(3) An official or employee may not knowingly accept a gift, directly or indirectly, from a person that the official or employee knows or has the reason to know:

- A. Is doing business with or seeking to do business with the Worcester County office, agency, board, or commission with which the official or employee is affiliated;

CG5:7

## § CG 5-101. Short title.

This Subtitle may be cited as the Worcester County Public Ethics Law.

## § CG 5-102. Applicability.

The provisions of this Subtitle apply to all Worcester County elected officials, employees, and appointees to boards and commissions of Worcester County.

## § CG 5-103. Ethics Board.

(a) Appointment. There is a Worcester County Ethics Board that consists of seven members appointed by the County Commissioners.

(g) Use of prestige of office.

(1) An official or employee may not intentionally use the prestige of office or public position:

A. For the private gain of that official or employee or the private gain of another.

B. To influence, except as part of the official duties of the official or employee or as a usual and customary constituent service without additional compensation, the award of a County contract to a specific person.

# TYPICAL AGENCY ETHICAL CODES



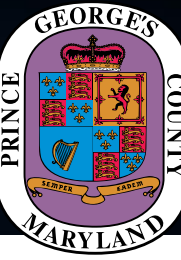
## Office of Ethics & Accountability

In 2012, the County Council for Prince George's passed legislation to create the Office of Ethics and Accountability to provide increased accountability and oversight of operations of the County Government by identifying fraud, abuse, and illegal acts in County government operations.

The Prince George's County Council, recognizing that our system of representative government is dependent in part upon the people maintaining the highest trust in their public officials and employees, finds and declares that the people have a right to be assured that the impartiality and independent judgement of public officials and employees will be maintained. (Sec. 2-290(a))



# TYPICAL AGENCY ETHICAL CODES



## Selected highlights from “Solicitation or Acceptance of Gifts” (Sec.2-293(d))

### Paragraph 3

- An official or employee may not solicit any gift.

### Paragraph 4

- Unless a gift of any of the following would tend to impair the impartiality and the independence of judgment of the official or employee receiving it or, if of significant value, would give the appearance of doing so, or, if of significant value, the recipient official or employee believes, or has reason to believe, that it is designed to do so, paragraph (3) does not apply to:
  - A) Meals and beverages consumed in the presence of the donor or sponsoring entity;
  - B) Ceremonial gifts or awards which have insignificant monetary value;
  - C) Unsolicited gifts of nominal value that do not exceed \$20.00 in cost or trivial items of informational value;
  - D) Reasonable expenses for food, travel, lodging, and scheduled entertainment of the official or the employee at a meeting which is given in return for participation in a panel or speaking engagement at the meeting;



# TYPICAL AGENCY ETHICAL CODES



## Selected highlights from the Ethics Commission Employee Acknowledgement

The Howard County Ethics provisions set forth in Howard County Code 22.200, along with County Charter Section 901, applies to all County Employees, including part-time and contingent employees, and volunteers. You should read and become familiar with the following provisions that govern the behavior of all County employees as a violation of any of these principles may result in disciplinary action that could result in termination from County employment.

### HOWARD COUNTY ETHICS COMMISSION 3438 Courthouse Drive Ellicott City, Maryland 21043

#### EMPLOYEE ACKNOWLEDGEMENT

The Howard County Ethics provisions set forth in Howard County Code 22.200, along with County Charter Section 901, applies to all County Employees, including part-time and contingent employees, and volunteers. You should read and become familiar with the following provisions that govern the behavior of all County employees as a violation of any of these principles may result in disciplinary action that could result in termination from County employment.

9. A County employee may not, directly or indirectly, from any person or entity, do any of the following:
- a. is doing or seeking to do;
  - b. is engaged in a transaction;
  - c. has financial interest;
  - d. is a lobbyist with respect to the County.

10. A County employee who is a confidential source of information for the County, or who is a confidential source of information for the County, shall not disclose such information to any other person or entity.
11. I understand that my Disclosure Statement, if required, shall be filed with the County Ethics Commission annually, or as required by the County Ethics Commission.

I have read and understand the Howard County Ethics Law, and I have read and understand the Howard County Charter provisions relating to the Ethics Commission.

I further understand that I am responsible for interpreting the Public Access to Information Act, and I understand that I am responsible for interpreting the Public Access to Information Act, and I understand that I am responsible for interpreting the Public Access to Information Act.

Signature of Employee

Printed Employee Name

Employee's Department ( )

cc: Personnel File

(Rev. 2/14/12)

1. An employee, in his or her County employment capacity, may not:
- 1) participate in a matter in which he/she has an interest;
  - 2) participate in a matter in which certain relatives (spouse, father, mother, sister, brother, or child) has an interest; or
  - 3) participate in an entity in which he/she has an interest. Interest is defined to mean any legal or equitable economic interest however owned.

2. An employee may not participate in a matter involving a business entity in which he or she or certain relatives (spouse, father, mother, sister, brother, or child) may have employment, prospective employment, contractual or creditor relationships.

3. An employee may not have financial interests in or, be employed by an entity subject to the authority of the agency with which he or she is affiliated, or with an entity having or negotiating a contract with the agency with which the employee is affiliated. Employment includes being a member of a private board of directors having a relationship with the employee's agency, even if there is no compensation paid to the employee for participation on the board of directors.

4. An employee may not engage in any secondary employment that would impair the employee's impartiality and independence of judgment. I understand that it is my responsibility to discuss all secondary employment with my supervisor or department director in accordance with the Howard County Policy and Procedure Manual.

5. An employee may not intentionally use the prestige of the employee's office for his or her own private gain or that of another.

6. I understand that there are post-employment provisions in the Code. If I leave employment with the County, I understand that I may not assist or represent any party other than the County for compensation in a case, contract, or other specific matter involving the County if that matter is one in which I significantly participated as an employee.

7. I understand that except in a judicial or quasi-judicial proceeding, I may not assist or represent a party for contingent compensation in any matter before or involving the County.

8. Persons or entities that assist the County in the preparation of procurement specifications may not be employed by or assist a bidder in that procurement.

<https://www.howardcountymd.gov/boards-commissions/ethics-commission>



1. An employee, in his or her County employment capacity, may not 1) participate in a matter in which he/she has an interest; 2) participate in a matter in which certain relatives (spouse, father, mother, sister, brother, or child) has an interest; or 3) participate in an entity in which he/she has an interest. Interest is defined to mean any legal or equitable economic interest however owned.

<https://www.howardcountymd.gov/boards-commissions/ethics-commission>

# TYPICAL AGENCY ETHICAL CODES



## Selected highlights from the Ethics Commission Employee Acknowledgement

4. An employee may not engage in any secondary employment that would impair the employee's impartiality and independence of judgment. I understand that it is my responsibility to discuss all secondary employment with my supervisor or department director in accordance with the Howard County Policy and Procedure Manual.

5. An employee may not intentionally use the prestige of the employee's office for his or her own private gain or that of another.

**HOWARD COUNTY ETHICS COMMISSION**  
3438 Courthouse Drive  
Ellicott City, Maryland 21043

**EMPLOYEE ACKNOWLEDGEMENT**

The Howard County Ethics provisions set forth in Howard County Code 22-200, along with County Charter Section 901, applies to all County Employees, including part-time and contingent employees, and volunteers. You should read and become familiar with the following provisions that govern the behavior of all County employees as a violation of any of these principles may result in disciplinary action that could result in termination from County employment.

9. A County employee may not, directly or indirectly, from any person or entity, do any of the following:

- a. is doing or seeking to do;
- b. is engaged in a business;
- c. has financial interest in;
- d. is a lobbyist with respect to;

10. A County employee that of another, confidential source of information.

11. I understand that my Disclosure Statement, if required, must be filed each year. I understand that I am required to file a statement if I am required to do so.

I have read and understand the Howard County Ethics Law, and I have read and understand the Howard County Policy and Procedure Manual. I further understand that I am responsible for interpreting the Public Access to Information Act for the Commission if necessary.

Signature of Employee \_\_\_\_\_

Printed Employee Name \_\_\_\_\_

Employee's Department (\_\_\_\_\_) \_\_\_\_\_

cc: Personnel File  
(Rev. 2/14/12)

<https://www.howardcountymd.gov/boards-commissions/ethics-commission>



# TYPICAL AGENCY ETHICAL CODES



## Selected highlights from the Ethics Commission Employee Acknowledgement

I further understand that the Howard County Ethics Commission, a five member panel appointed by the Executive with the concurrence of the County Council, is the advisory body responsible for interpreting the Public Ethics Law and advising employees regarding its application. I have a personal responsibility to abide by the Public Ethics Law and I agree to seek guidance from the Commission if necessary.

### HOWARD COUNTY ETHICS COMMISSION 3438 Courthouse Drive Ellicott City, Maryland 21043

#### EMPLOYEE ACKNOWLEDGEMENT

The Howard County Ethics provisions set forth in Howard County Code 22-200, along with County Charter Section 901, applies to all County Employees, including part-time and contingent employees, and volunteers. You should read and become familiar with the following provisions that govern the behavior of all County employees as a violation of any of these principles may result in disciplinary action that could result in termination from County employment.

1. An employee, in his or her County employment capacity, may not 1) participate in a matter in which he/she has an interest; 2) participate in a matter in which certain relatives (spouse, father, mother, sister, brother, or child) has an interest, or 3) participate in an entity in which he/she has an interest. Interest is defined to mean any legal or equitable economic interest however owned.

2. An employee may not participate in a matter involving a business entity in which he or she or certain relatives (spouse, father, mother, sister, brother, or child) may have employment, prospective employment, contractual or creditor relationships.

3. An employee may not have financial interests in or, be employed by an entity subject to the authority of the agency with which he or she is affiliated, or with an entity having or negotiating a contract with the agency with which the employee is affiliated. Employment includes being a member of a private board of directors having a relationship with the employee's agency, even if there is no compensation paid to the employee for participation on the board of directors.

4. An employee may not engage in any secondary employment that would impair the employee's impartiality and independence of judgment. I understand that it is my responsibility to discuss all secondary employment with my supervisor or department director in accordance with the Howard County Policy and Procedure Manual.

5. An employee may not intentionally use the prestige of the employee's office for his or her own private gain or that of another.

6. I understand that there are post-employment provisions in the Code. If I leave employment with the County, I understand that I may not assist or represent any party other than the County for compensation in a case, contract, or other specific matter involving the County if that matter is one in which I significantly participated as an employee.

7. I understand that except in a judicial or quasi-judicial proceeding, I may not assist or represent a party for contingent compensation in any matter before or involving the County.

8. Persons or entities that assist the County in the preparation of procurement specifications may not be employed by or assist a bidder in that procurement.

9. A County employee may not, directly or indirectly, from any business, industry, or profession, or from any other source, receive or seek to receive any financial benefit, or engage in any activity that would create a conflict of interest, if the employee, or the employee's spouse, father, mother, sister, brother, or child, is a lobbyist with respect to the County.

10. A County employee may not, directly or indirectly, from any business, industry, or profession, or from any other source, receive or seek to receive any financial benefit, or engage in any activity that would create a conflict of interest, if the employee, or the employee's spouse, father, mother, sister, brother, or child, is a lobbyist with respect to the County.

11. I understand that my Disclosure Statement, if required, must be filed with the Commission each year. I understand that I am required to file a statement if I am required to do so.

I have read and understand the Howard County Ethics Law, and I have read and understand the Howard County Charter provisions relating to the Ethics Commission. I further understand that it is my responsibility to seek guidance from the Commission if necessary.

Signature of Employee

Printed Employee Name

Employee's Department ( )

cc: Personnel File

(Rev. 2/14/12)

<https://www.howardcountymd.gov/boards-commissions/ethics-commission>

# TYPICAL MEMBER FIRM ETHICAL CODES



## SELECTED HIGHLIGHTS

- Behave honestly and with integrity
- Work diligently and give the firm and its clients the care, effort and attention our clients deserve and expect
- Avoid conflicts of interest and actions that raise the potential for conflicts of interest
- NOT act in a manner that is detrimental to our firm, its reputation, our profession or the interest of our clients

*"Relativity  
applies to  
physics, not  
ethics."*

*Albert Einstein*

*NobleQuotes.com*

# COMMON ETHICAL CODE THEMES



## SUMMARY

1. Protection of public health, safety, welfare & environment
2. Highest standards of honesty, honor & integrity
3. Highest moral principles
4. Advance the competence, prestige & dignity of the profession
5. Be impartial, objective & avoid conflicts of interest and deception
6. Accept personal responsibility
7. Hold each other accountable

**It takes less time**  
*to do things right*  
*than to explain why*  
*you did it wrong.*

*~Henry Wadsworth Longfellow*

# ETHICS IN THE NEWS

## House committee launches ethics investigation into Elaine Chao's ties to shipping company run by her family



By Devan Cole, CNN

Updated 12:29 PM ET, Tue September 17, 2019

**Washington (CNN)** — The House Oversight Committee launched an ethics investigation Monday into Transportation Secretary Elaine Chao for her ties to an international shipping company run by members of her family.

Chairman Elijah Cummings, a Maryland Democrat, wrote in a letter to Chao, Cummings said he was investigating troubling questions about whether you are using your office to benefit you and your family." The chairman also construction company whose board she used to sit on.

The investigation comes several months after Chao came under fire her connections to the shipping company, China. The company was founded by Chao's father and its current CEO is her sister. In June, [CNN reported](#) the watchdogs who raised questions about whether Chao was using her position to benefit the company.

The investigation is the latest example of House Democrats using their oversight power to look into whether or unethically in their official roles. The probe could be met with resistance by the administration, as other congress



**Related Article:** Spotlight on Elaine Chao after public appearances with family members

The Washington Post

Politics

## Transportation Secretary Elaine Chao faces investigation over 'troubling' ethics allegations

By Hannah Knowles

September 17

The House Oversight and Reform Committee on Monday sought documents from Transportation Secretary Elaine Chao as it investigates what it calls "troubling questions" into whether the Trump appointee misused her position for personal and family benefit.

In a statement to CNN on Tuesday, a DOT spokesperson said that it was prepared to respond, adding, "Media attacks to undermine her long career of public service."

In the letter to Chao, Cummings notes that federal laws "prohibit the private gain of friends, relatives or persons with whom

The chairman cites a number of media reports that he says show how she has used her position to benefit the Foremost Group. In June, CNN reported that Chao has sat with her father for Chinese-language media interviews, appeared with him at an award ceremony and at a photoshoot listed on her schedule with him and other Foremost Group employees at the media center of the Department of Transportation, which oversees the US shipping industry.

CNN also found that Chao has accompanied her father or sister to more than a dozen events in China in roughly the last decade, which have included meetings with Chinese government officials. Chao's financial disclosures show she holds no stake in the Foremost Group.



# BENEFITS OF ETHICAL BEHAVIOR

---

## PERSONAL

1. Mutual respect and greater reliability
2. Trust and confidence
3. Improved recognition
4. Reputation of doing things right
5. Potential for improved productivity



# BENEFITS OF ETHICAL BEHAVIOR

## CUSTOMERS / CLIENTS

1. Citizen / customer loyalty
2. Transparent and open communication
3. Stronger professional relationships
4. Ability to weather “storms”
5. Crucial step of being a trusted resource / advisor

Doing the right thing doesn't automatically bring success. But compromising ethics almost always leads to failure. ”



# BENEFITS OF ETHICAL BEHAVIOR


## AGENCIES & MEMBER FIRMS

1. Respected brand and reputation
2. More positive and peaceful atmosphere
3. Transparency about lessons learned & promoting continuous improvement
4. Potential for great customer satisfaction & higher revenues
5. Fewer legal problems and associated costs
6. Improved recruitment and retention





# ETHICS IN THE NEWS

 United States Department of Justice

THE UNITED STATES ATTORNEYS OFFICE  
DISTRICT of COLUMBIA

HOMEABOUTNEWSMEET THE U.S. ATTORNEYDIVISIONSPROGRAMS

U.S. Attorneys » District of Columbia » News

Department of Justice

U.S. Attorney's Office

District of Columbia

SHARE

FOR IMMEDIATE RELEASEWednesday, March 30, 2016

**Supervisor of D.C. Water and Sewer Authority Pleads Guilty to Conflict of Interest Charge**

**Defendant Approved Permits Prepared by His Own Company**

WASHINGTON – A supervisor with the District of Columbia Water and Sewer Authority pled guilty today to a federal conflict-of-interest charge for approving permits for work applications prepared by his own private company, announced U.S. Attorney Channing D. Phillips, Paul M. Abbate, Assistant Director in Charge of the FBI's Washington Field Office, and Daniel W. Lucas, Inspector General for the District of Columbia.

UNITED STATES DISTRICT COURT  
FOR THE DISTRICT OF COLUMBIA

**FILED**

**MAR 30 2016**

Clerk, U.S. District & Bankruptcy  
Courts for the District of Columbia

UNITED STATES OF AMERICA	:	Criminal No.
	:	
	:	VIOLATION:
	:	
v.	:	18 U.S. C. § 208
	:	(Criminal Conflict of Interest)
LONDRA S. WATSON,	:	
	:	
Defendant.	:	

STATEMENT OF OFFENSE

Pursuant to Fed. R. Cr. P. 11, defendant **LONDRA S. WATSON** agrees and stipulates as

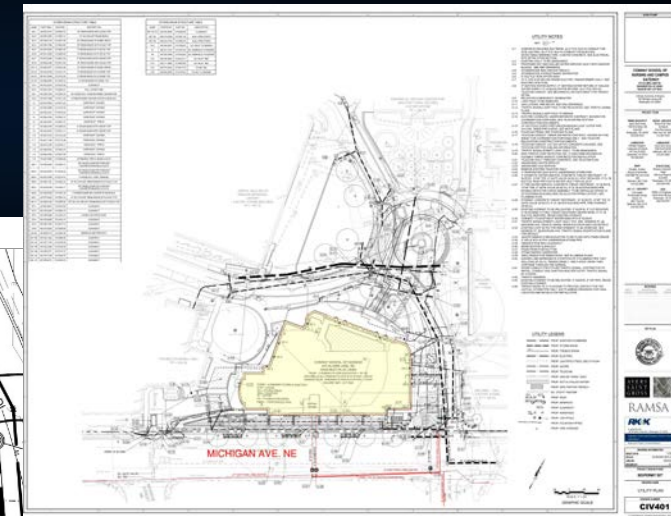
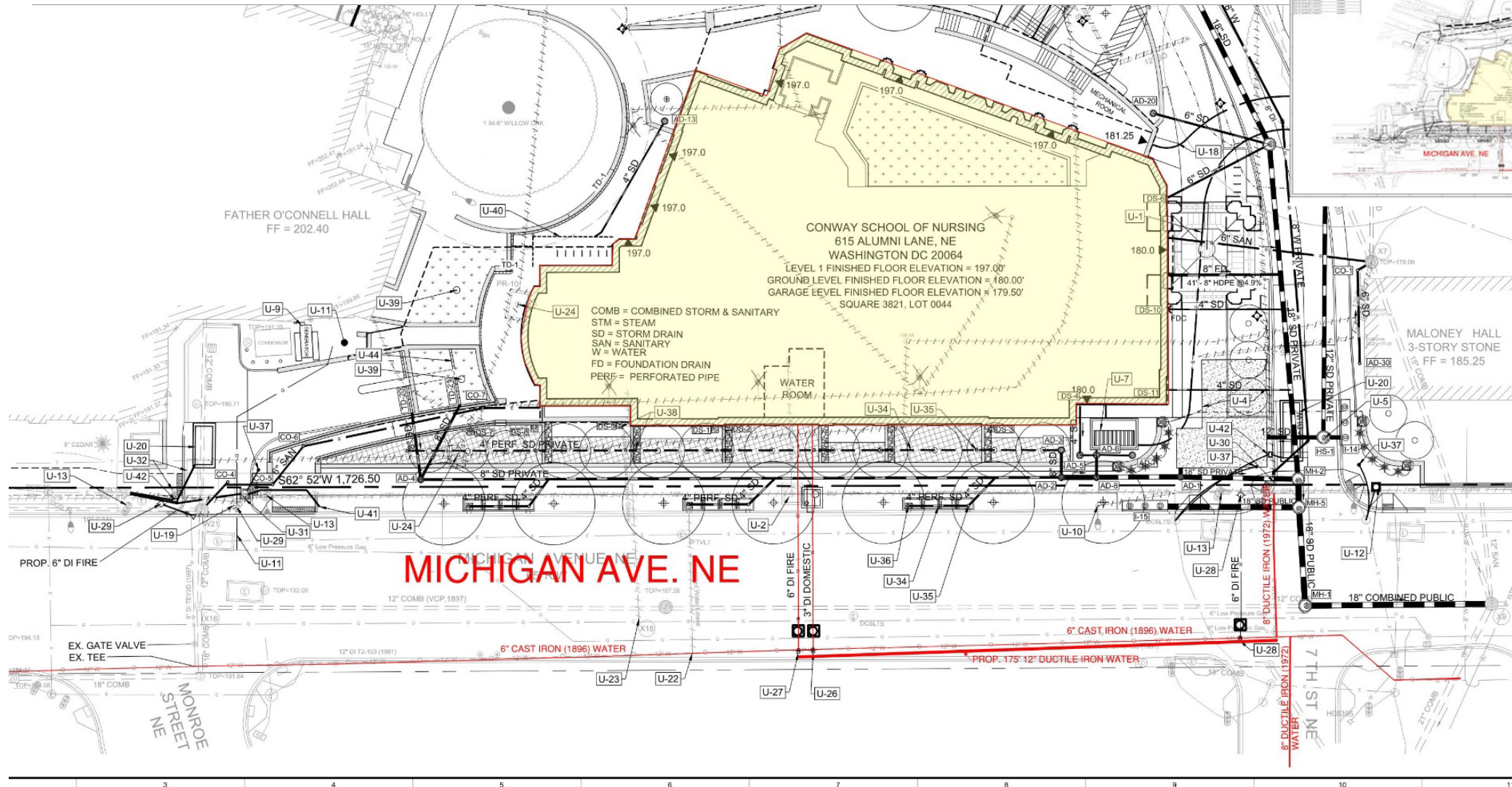
follows:

Background

1. Defendant **LONDRA S. WATSON** was employed with the District of Columbia Water and Sewer Authority ("DC Water") since 1981. His official title was Supervisor of Documents & Permits and his office was located at the DC Water building on 1104 4<sup>th</sup> Street, SW, in the District of Columbia. Defendant **LONDRA S. WATSON's** duties and responsibilities included, among other things, supervising the processing of permit applications from applicants seeking to alter and make modifications to existing plumbing connections from DC Water lines to existing structures.

2. On or about November 19, 2007, defendant **LONDRA S. WATSON** started a company named ARDNOL of DC LLC (which is "Londra" spelled backwards) (hereinafter "ARDNOL of DC"). Defendant **LONDRA S. WATSON** was the registered agent and sole employee of ARDNOL of DC. Defendant **LONDRA S. WATSON** also created an email account for the company named: [ardnolson@gmail.com](mailto:ardnolson@gmail.com). In addition, defendant **LONDRA S.**

# DAY-TO-DAY ENGINEERING ETHICS



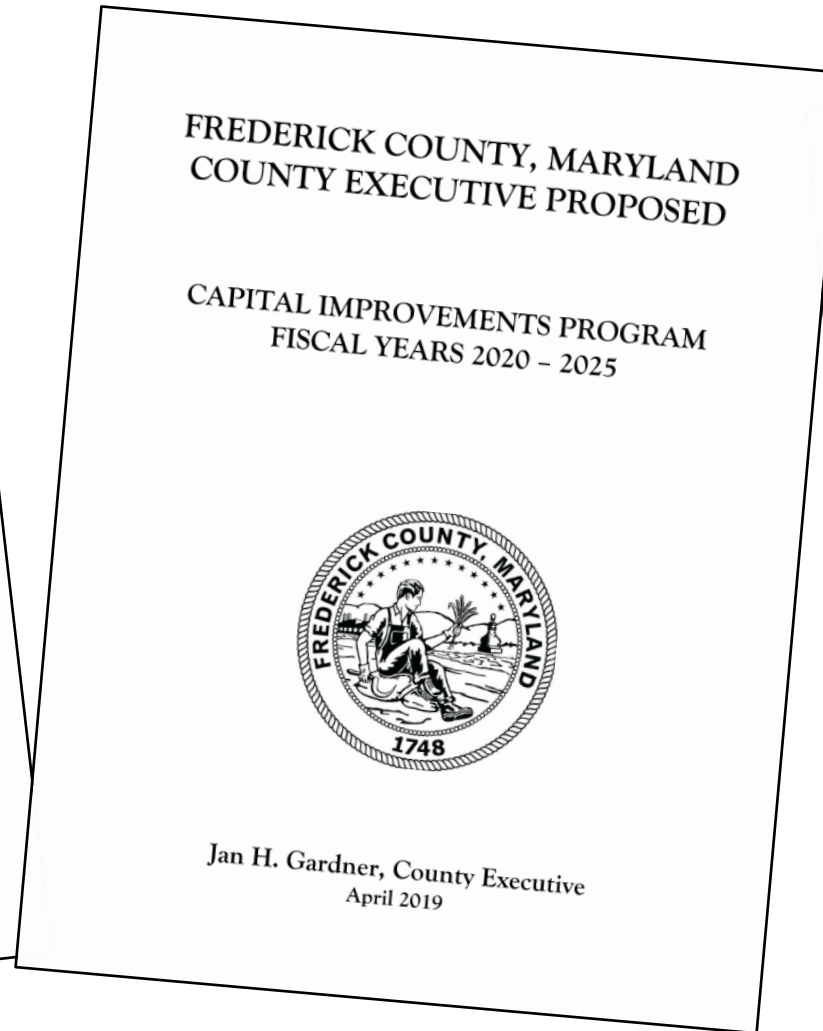
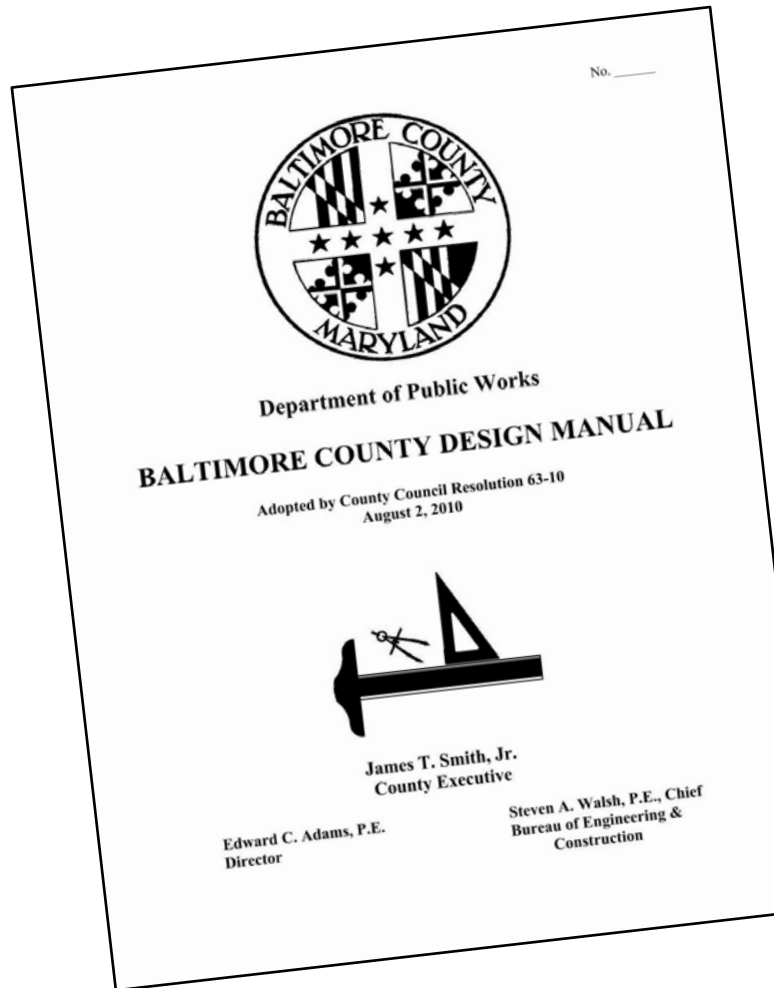


# DAY-TO-DAY ENGINEERING ETHICS





# DAY-TO-DAY ENGINEERING ETHICS



**QUEEN ANNE'S COUNTY PLANNING & ZONING**  
PERMITS & INSPECTIONS  
110 VINCIT STREET, SUITE 104  
CENTREVILLE, MARYLAND 21617  
410-758-4088

Permit # \_\_\_\_\_  
Date \_\_\_\_\_

**Public Event Permit Application**  
*Application Must Be Submitted 30 Days Prior To Event*

Organization: \_\_\_\_\_

Address: \_\_\_\_\_ Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Type of Event: ☐ Bicycle ☐ Carnival ☐ Concert ☐ Fair ☐ Festival ☐ Parade ☐ Run/Walk  
☐ Sports Tournament ☐ Water Sport

Expected Attendance: \_\_\_\_\_

Event Name: \_\_\_\_\_

Event Address/Location: \_\_\_\_\_

Contact: \_\_\_\_\_ Phone: \_\_\_\_\_

Start Date: \_\_\_\_\_ End Date: \_\_\_\_\_ Start Time: \_\_\_\_\_ End Time: \_\_\_\_\_  
From: \_\_\_\_\_ /20 To: \_\_\_\_\_ /20 From: \_\_\_\_\_ AM/PM To: \_\_\_\_\_ AM/PM

Check all that apply: ☐ On private property ☐ On public property ☐ On school property ☐ On-site parking  
☐ Food available to public ☐ Alcohol available to public ☐ Public restrooms available ☐ Temporary structures

• Please include a drawing of the property showing the location of parking, any restrooms, any temporary structures, parade or race routes, and any vendor areas.

• If food is available contact Environmental Health (410-758-2281) at the Queen Anne's County Department of Health for a "Class 2 Temporary Food Service" application.

• Are multiple vendors selling/providing food? ☐ Yes ☐ No  
If yes, attach a list of the vendors along with their contact information with your application.

If food is being provided to the public to consume at the event/on site, describe how you will provide proper hand washing and supplies for the public to use.

Describe how you will dispose of the onsite solid waste during and after the event.

Will sidewalks or streets be impacted? ☐ Yes ☐ No  
If yes, please explain: \_\_\_\_\_

In the event of an emergency, is there a public safety operational plan? ☐ Yes ☐ No  
If yes, please explain or provide a copy of the plan: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Date Approved: \_\_\_\_\_ Administrator: \_\_\_\_\_

BLOG GOVERNMENT & POLITICS

## Olszewski Sets Up New Ethics Panel in Baltimore County

By Josh Kurtz • October 27, 2021

The new commission will study Baltimore County's ethics laws and laws concerning the Office of Inspector General, Olszewski's office said, and provide recommendations to ensure existing policies align with national best practices and identify any additional policies, functions, or practices to strengthen existing law.

“Over the last three years, we’ve made Baltimore County’s government more open, accessible, and transparent than ever before,” Olszewski said in a statement. “We also believe we should continue working to create a government that upholds the highest standards of ethics and accountability,” Olszewski said.

<https://www.marylandmatters.org/2021/10/27/olszewski-sets-up-new-ethics-panel-in-baltimore-county/>

# WHAT ENGINEERING ETHICAL DILEMMAS HAVE YOU EXPERIENCED OR SEEN IN YOUR CAREER?





# DAY-TO-DAY ENGINEERING ETHICS

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## COMMUNICATION

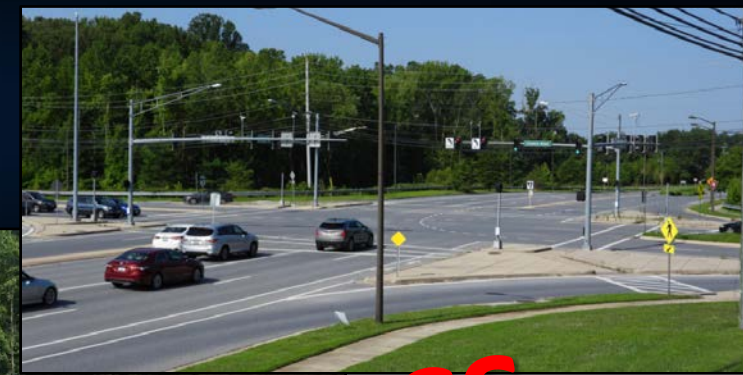
1. Written - email, text, etc.
2. Verbal
3. Non-verbal

## KEY APPROACHES

1. Always maintain an ethical mentality, trust your “6<sup>th</sup> sense”
2. Be transparent, open and above-board conversations
3. Have someone double-check your work anywhere close to the “grey area”
4. Document, document, document - especially engineering judgment decisions
5. Avoid “sketchy” or “grey” situations (meetings, conversations, etc.)
6. Engage co-workers as needed (emails, meetings, calls, etc.)







**HOW DOES ENGINEERING ETHICS INTERSECT WITH RESILIENCY?**

The collage features several images related to engineering ethics and resiliency:

- A group of people, including children, sitting in a classroom or meeting.
- A construction site showing a large concrete wall and a Maryland state seal.
- A newspaper clipping from The New York Times dated December 15, 2020, with the headline "HEALING IS COMING: U.S. VACCINATIONS BEGIN".
- A newspaper clipping from The New York Times dated May 24, 2020, with the headline "ROSS, LETTER KEY CITY BIDE SEES TO RALLY W".
- A photograph of a person walking through a flooded area.

# IN THE NEWS

"All the News That's Fit to Print"

VOL. CLXIX . . . No. 58,703

© 2002 The New York Times Company

NEW YORK, MONDAY, MAY 24, 2002

## U.S. DEATHS NEAR 100,000, AN INCALCULABLE LOSS

They Were Not Simply Names on a List. They Were Us.

Numbers alone cannot possibly measure the impact of the coronavirus in America, whether it is the number of patients treated, jobs interrupted or lives cut short. As the century nears a grim milestone of 100,000 deaths attributed to the virus, The New York Times scoured obituaries and death notices of the victims. The 1,000 of them here reflect just the *tip of the list*. None were more numbers.

**PATRICK DEWITT**, 57, San Jose, Calif., author of *Sideways* books. — **MARTIN KRUGER**, 63, Kirkland, Wash., great-grandmother with an easy laugh. — **JENNIFER PERIN**, 71, Los County, Fla., with little time to enjoy a new marriage. — **CAROLAN LAYNER**, 34, Bellevue, Wash., chessplayer's son. — **LEWIS**

could be a real pioneer. — **Michael Susskind**, 63, New York City, champion of a diabolical journey through architecture. — **George Valentine**, 86, Washington, D.C., lawyer who mentored others. — **Samuel McPherson Gannett**, 94, Palm Beach, Fla., loyal and generous friend to many. — **Andrew Kristianson**, 58, New York City, stabilizer for *Webb City*. — **Bob Hurwitz**, 64, St. Petersburg, Fla., leader in Florida Dixie sports. — **Ned Stein**, 64, Otter, Md., nurse planning for retirement. — **Thomas E. Anglin**, 83, Cummington, Ga., created many wonderful memories for his family. — **Robert Matusky**, 84, N.Y., South River, Conn., member of *Art Aron* family. — **Michael McKinnell**, 84, Beverly, Mass., architect of Boston's monumental City Hall. — **Boguslawa Derynka**, 84, Sarnow, N.J., coached several championship-winning junior high girls basketball teams. — **Lynne Harris**, 85, Roselle, Ill., travel writer who was always full of ideas. — **Lorenna Henderson**, 81, Greenwich, N.Y., great single mother of three. — **Cardinal Rubin**, 86, West Bloomfield, Mich., lived simple, majestic and crossroad paces. — **Marcus Laulio**, 82, Royal Oak, Mich., would play golf. — **Charles**

movement in the construction industry. — **Charles Washington**, 82, said leading people to fly at 80. — **Myrcia Aron**, 83, Sonoma Valley, Calif., veteran police detective. — **Regina H. Callahan**, 83, Indiana, never walled in stature but strong in spirit. — **Raissa Sotomayor-Vicentin**, 84, New York City, beloved public school teacher. — **Frank Gubler**, 86, New York City, emergency room doctor who died in his own's arms. — **Stirling E. Matthews**, 85, Middleburg, N.Y., cancer warrior who served as a deacon. — **Ally Kane**, 85, California, lead singer of a Yiddish folk group. — **Bogor Eckhart**, 85, Indiana, revived *Frederick* and died school teacher. — **Martin Douglas**, 79, New York City, maestro of a steel-pen game. — **Daniel Spitzer**, 84, Montgomery, Ala., worked on *Murphy* affairs. — **Mary Mauroletti**, 91, Oak Lawn, Ill., says long-lost, says long-lost. — **Salomon S. Podgorsky**, 84, New Jersey, loved to figure out how things worked. — **Dale E. Thurmon**, 85, Lexington, Ky., talked known for his acting work and strong opinions. — **Ed B. Maravick**, 85, New Orleans, jazz pianist and patriarch of a family of musicians. — **Charles Pannema**, 94, Silver Spring, Md., was a member of the

**VICTOR LAMM**, 68, New York City, Men's Open studies and youth basketball coach. — **Joseph E. Kelly**, 68, New York City, did two stunts through the Panama Canal to Antarctica. — **John Price**, 73, Nashville, country-hall singer who was a favorite of *Bob Dylan*. — **Richard S. Galt**, 68, Florida, quiet friend. — **Mosica Haley**, 73, Rehoboth Beach, Del., loved animals, had eight cats, and rode horses. — **Thomas Nathel Russell**, 63, Longmeadow, Mass., mentored by the computer scientist pioneer *Grace Hopper*. — **Benjamin Glick**, 63, N.Y., Co-Ed, backyard hands were known to be from her hand. — **Fayala Hayes**, 61, Minnesota, her favorite thing was meeting new people. — **David James Howard**, 26, Waterbury, Conn., gentle giant, athlete and musician. — **James O'Brien Johnson**, 14, Jupiter, Fla., pastor of St. Vincent Church of God in Christ. — **Joseph W. Hammond**, 64, Chicago, slipped walking to look after his aging parents. — **Morris Lark**, 56, Northbrook, Ill., endlessly curious, never really finished. — **Deane Dennis Flaggline**, 62, Rome, Ga., his greatest musical philosophy was his relationship with his wife. — **Thomas Adams**, 71, Chicago, mentored for more than 25 years. — **Mary Helen**

72, Brentwood, Conn., loved visiting birthday and holiday cards, poems and lists. — **Charles C. Gannett**, 68, New York City, worked 40 years for The New York Times. — **Ben Dubinsky**, 63, Boston, stockbroker who founded *Dubinsky Financial Services*. — **John Haron Conner**, 50, New Brunswick, N.J., mathematician known as the "magical giant". — **Stanley Chorn**, 59, New York City, developer and friend of the president. — **Rudolf Brown**, 72, New York City, leader and philosopher who socialized with celebrities. — **Wynn Hamilton**, 57, New York City, acting teacher and a founder of the American Place Theater. — **Adam Karon**, 58, New York City, cartoonist and an expert on musicals. — **Peter Brown**, 53, New Jersey, manager of the 5.5. Brown & Son Funeral Home. — **Irma Gauder**, 34, Pennsylvania, great-grandmother with a list for grandsons. — **Stanley L. Mower**, 84, Brook County, Ga., troubadour who once turned down an offer to join *Dave Ellington*'s orchestra. — **Margaret Laughlin**, 85, Maine, choicest, had a mystic's direct sense of wondering and moments. — **Cynthia Whiting**, 86, La Plata, Md., retiree de-

# The New York Times

Today, sunny to partly cloudy; high 73. Breezy, partly cloudy, low 27. Breezy, cloudy, decreasing visibility in the afternoon, high 32. Weather map appears on page B2.

Vol. CLXXX ... No. 58,908

NEW YORK, TUESDAY, DECEMBER 15, 2020

## 'HEALING IS COMING': U.S. VACCINATIONS BEGIN

### ELECTORS AFFIRM BIDEN'S VICTORY; VOTE IS SMOOTH

'Time to Turn the Page,' Winner Says

By NICK CORASANTINI and JIM BUTENBERG

It began at 10 a.m. in New Hampshire, where electors met in a stately chamber festooned with holiday decorations and gave their four votes to Joseph R. Biden Jr. By noon on Monday, the battle-ground states of Arizona, Georgia and Pennsylvania, ground zero for many of President Trump's fractious lawsuits, had backed Mr. Biden too. In New York, Hill and Hillary Clinton voted for Mr. Biden along with 27 other electors.

And when California cast its 55 votes for Mr. Biden around 5:30 p.m., Eastern time, it pushed him past the threshold of 270 Electoral College votes needed to win the presidency, putting the official seal on his victory after weeks of efforts by Mr. Trump to use legal challenges and political pressure

the president and his allies for their assault on the nation's voting system. In an address in Wilmington, Del., Monday night, he said the Republican efforts to get the Supreme Court to undo the results represented a "position as extreme we've never seen in before" and called the attacks on election officials at the local level "unconscionable."

Mr. Biden and that "it's time to turn the page" on the election. Praising officials who stood up for the integrity of the system, he added: "It was honest, it was free and it was fair. They gave it their own eyes. And they wouldn't be bullied into saying anything different" (Page A1).

For all of the turmoil that Mr. Trump had stirred with his conspiracy theories, lawsuits and

**Dread Persists as Death Toll Tops 300,000**

This article is by Campbell Robertson, Amy Harmon and Mitchell Smith.

PITTSBURGH — Some of the very medical centers that have endured the worst of the coronavirus outbreak in the United States found the gloom that has long filled their corridors replaced by elation and hope on Monday as health care workers became the first to take part in a mass vaccination campaign aimed at ending the pandemic.

Hundreds of those who have been on the front lines of fighting Covid-19 — a nurse from an intensive care unit in New York, an emergency room doctor from Illinois, a hospital housekeeper in Iowa — received inoculations as emotional ceremonies watched by people around the country.

"I feel like healing is coming," said Sandra Lindsay, an intensive care nurse who was among the first health care workers to be vaccinated on Monday morning at Long Island Jewish Medical Center in Queens, an early center for the virus.

PHOTO BY DAVID GOODMAN

"It's the News That's Up to You"

# The New York Times

Large Edition

VOL. CLXXIII, NO. 152, MONDAY, MARCH 8, 2022 NEW YORK, WEDNESDAY, MARCH 9, 2022 \$11.00

**RUSSIA HITTER KEY CITIES IN WIDER ATTACK; BIDEN ASKS TO RALLY WORLD AGAINST PUTIN**

**ARMED AND DANGEROUS** A young soldier being held by Russian forces may live in a Siberian village in the west, U.S. officials say.

**ARMED AND DANGEROUS** A young soldier in Makiyivka, near the border, has been taken about 500 miles west, U.S. officials say.

**ARMED AND DANGEROUS** Firefighters work to bring a fire to Makiyivka on Tuesday, an apparent rocket attack at the city's main square.

**An Exodus of 660,000 Echoes A 20th-Century Europe at War**

**BY THE NUMBERS**  
**1.5** MILLION REFUGEES  
 The number of people who have fled Ukraine since the Russian invasion, according to the United Nations High Commissioner for Refugees. The number is expected to rise as the conflict continues.

**Deaths on Ukraine Battlefields Could Haunt Putin Back Home**

**RUSSIAN CASUALTY COUNT**  
 Russian forces have suffered heavy losses in the fighting in Ukraine, according to U.S. officials. The deaths of Russian soldiers could have a significant impact on Putin's domestic support.

**Pitches Plans for Economy and the Virus**

**RUSSIA'S ECONOMIC**  
 Russian President Vladimir Putin is expected to announce a new economic plan to deal with the challenges posed by the war in Ukraine and the global health crisis.

**Blunt Strike Kills 10 in Kharkiv**

**RUSSIA'S ECONOMIC**  
 A Russian missile strike on a residential area in Kharkiv, Ukraine, has killed at least 10 people and injured many others, according to Ukrainian officials.

**ARMED AND DANGEROUS** A young soldier being held by Russian forces may live in a Siberian village in the west, U.S. officials say.

**ARMED AND DANGEROUS** President Biden at the State of the Union address Tuesday.

**Countries Free Up Oil Reserves As War Drives Surge in Prices**

**RUSSIA'S ECONOMIC**  
 Several countries have announced that they will release oil from their strategic reserves to help stabilize global oil prices, which have risen sharply due to the war in Ukraine.

© 2022 The New York Times Company. All rights reserved. Printed in the USA. **OPINION** BY JEFFREY M. HANSEN. **OPINION** BY JEFFREY M. HANSEN. **OPINION** BY JEFFREY M. HANSEN.

# ENGINEERING ETHICS INTERSECTION WITH RESILIENCY

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## KEY TAKEAWAYS

1. Keep it personal - similar to QC
2. Maintain a long-term perspective and consider your personal / agency / firm legacy
3. Persist to do the right thing no matter the consequences
4. Details and vigilance matter – be intentional with your conversations, documentation, etc.
5. Regularly evaluate the real consequences and ramifications of acting or choosing unwisely
6. Accept responsibility
7. Promote ethical decision making, documentation and communication



# RESOURCES

## HIGHLIGHTS OF NATIONAL RESOURCES

1. NSPE Ethics Hotline (888.384.4295 or [legal@nspe.org](mailto:legal@nspe.org))
2. ASCE Ethics Hotline (800.548.2723 x6151)
3. Online Ethics Center (<https://onlineethics.org/>)



Online Ethics Center  
FOR ENGINEERING AND SCIENCE



### **ETHICS COMPLAINT FORM**

This form is for use by anyone wishing to file an ethics complaint against a member of the American Society of Civil Engineers (ASCE). This form will be received by a staff liaison to ASCE's Committee on Professional Conduct, who will review the charges and confirm that an ASCE member is named and that appropriate canons of the ASCE Code of Ethics are cited. Once this has been established, the form will be distributed to the Committee on Professional Conduct, which will determine if an investigation is warranted. If so, a member of the committee will be assigned to investigate the claim.

1. Name of Complainant: \_\_\_\_\_  
Address: \_\_\_\_\_  
\_\_\_\_\_  
Telephone: \_\_\_\_\_ E-mail: \_\_\_\_\_
2. Name(s) of the ASCE member(s) against whom this complaint is being filed:  
\_\_\_\_\_  
City/State: \_\_\_\_\_
3. Description of conduct involved. (If the space provided here is not sufficient, please continue on a separate sheet of paper. Please attach all relevant documents supporting the alleged unethical conduct.)  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_
4. State the specific canon(s) of the ASCE Code of Ethics which you believe the above conduct to have violated:  
\_\_\_\_\_

By my signature here, I certify that the information provided here and in any attachments are true and accurate to the best of my knowledge and belief.

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Please return this form and all attachments to:  
Committee on Professional Conduct  
American Society of Civil Engineers  
1801 Alexander Bell Drive  
Reston, VA 20191-4400  
Fax: 703-295-6128  
E-mail: [thoke@asce.org](mailto:thoke@asce.org); [tsmith@asce.org](mailto:tsmith@asce.org)



# RESOURCES

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## AGENCIES & MEMBER FIRMS

1. State or County ethics commissions
2. Mandatory / internal training – typically required to maintain professional engineer licensure
3. Online training
4. Ethical dilemma and resolution exchanges (peer, mentor, supervisor)
  - ❖ What ethical dilemmas have you experienced in your career?
  - ❖ Have you recently seen or heard about any questionable ethics?
5. Do you have an ethics accountability partner?



DO WHAT  
IS RIGHT,  
NOT WHAT  
IS EASY

QUESTIONS?



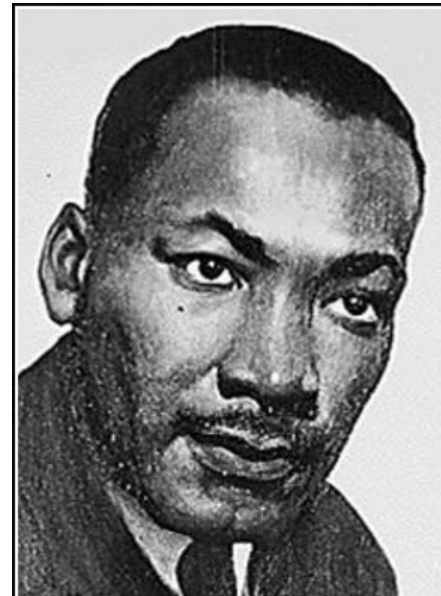
Contact:

Scott C. Crumley, PE, PTOE

Director, Transportation

Phone: 240.398.6072

E-mail: [scrumley@rkk.com](mailto:scrumley@rkk.com)



The time is always right to do what  
is right.

— *Martin Luther King* —

AZ QUOTES