



2022 Citizen Oversight Panel Retreat

February 16, 2022

2022 Citizen Oversight Panel Retreat

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Citizen Oversight Panel Overview

The Sound Transit Board's commitment to public accountability is a significant theme in the policies that frame Sound Move, ST2, and ST3. During the first quarter of 1997, the Sound Transit Board appointed members to the first Citizen Oversight Panel (COP). The provision for and commitment to a COP is contained in the agency's proposed financial policies for Sound Move, ST2, and ST3.

From Sound Move financial policies, May 31, 1996, page B7:

"To insure that the 10-year construction program development and implementation occurs within the framework and intent of these policies, Sound Transit will:

- (a) Conduct an annual comprehensive performance audit through independent audit services;
- (b) Appoint and maintain for the 10-year construction period a COP, charged with an annual review of Sound Transit's performance audit and financial plan, for reporting and recommendations to the Sound Transit Board."

From ST2 financial policies, July 24, 2008, page B-4:

"To ensure that the construction program development and implementation occurs within the framework and intent of these policies, Sound Transit will:

- 1) Conduct an annual independent audit of its financial statements in compliance with state and federal requirements;
- 2) Implement a performance audit program; and
- 3) Appoint and maintain an advisory citizen oversight committee, charged with an annual review of Sound Transit's performance and financial plan, for reporting recommendations to the Board."

From ST3 financial policies, June 2016, page B-4, Public Accountability:

"To ensure that the voter-approved program development and implementation occurs within the framework and intent of these policies, Sound Transit will:

- 1) Conduct an annual independent audit of its financial statements in compliance with state and federal requirements;
- 2) Implement a performance audit program; and
- 3) Appoint and maintain an advisory Citizen Oversight Panel to conduct annual reviews of Sound Transit's performance and financial plan, and submit a report and recommendations to the Board."

Citizen Oversight Panel's mission

As an independent body, the COP reviews Sound Transit's performance toward achieving its commitments to the public and provides recommendations regarding its performance. The COP's responsibility is to provide the Sound Transit Board and the public with a regular annual report.

Members of the COP

- Fred Auch
- Scott Lampe
- James Peyton
- Helen Powell, Vice Chair
- Lawrence (Larry) Sauvé, Chair
- Joseph Scorcio
- Paul D. Thompson

Areas of Responsibility

Under the Board motion that established the COP, Motion No. 18, the COP monitors and provides recommendations concerning Sound Transit's performance in meeting its public commitments in the following policy areas:

- Public participation in plan implementation
- Evaluation of project alternatives and recommendations
- Annual capital and operating budgets and plan of finance
- Regional fund management
- Equity, subarea budgets, and financial reporting
- Schedule and budget adherence
- Annual performance review audits

Reports on Sound Transit Performance

The COP completes annual reports on Sound Transit's performance in meeting its commitments to the public. In May 2005, the COP delivered a Sound Move Year 8 Review and in November 2013, the COP issued a sixteen-year report with a cumulative review of 2005-2013. The COP issued its 2020 Annual Report in March 2021.

All COP reports and documents can be accessed on the Sound Transit Web site at

<https://www.soundtransit.org/get-to-know-us/documents-reports/accountability>

Meeting Schedule and Location

Citizen Oversight Panel meetings are held on the first and third Wednesdays of each month from 8:30 am to 11:00 a.m. in the Santa Fe Room at Union Station. Union Station is located at 401 South Jackson Street, Seattle, WA 98104. Additional meetings or Citizen Oversight Panel Task Force meetings are held if needed.

****Please note:** In order to limit the spread of Covid 19, all Citizen Oversight Panel meetings are being held virtually. The virtual meetings are being streamed live via WebEx. Information on how to view the WebEx stream will be provided on the Sound Transit website no later than 24 hours before the meeting.

Panel meetings are open to the public and meeting agendas are provided in advance on the Sound Transit website.

<https://www.soundtransit.org/get-to-know-us/news-events/calendar>

Citizen Oversight Panel 2022 Work Plan

(Work plan may change throughout the year.)

First Quarter

Date	Time	Topics	ST Staff & Visiting Presenters	Comments
Jan 5	8:30	East Link Extension Update	Mike Bell – Executive Project Director – East Link	Confirmed and Calendared
	9:30	Annual Report and Retreat Discussion		
Jan 19	8:30	Capital Program Performance Overview	Ron Lewis – Executive Director – Design, Engineering, and Construction Management Matt Preedy – Director of Construction Management	Confirmed and Calendared
	9:30	COP Refresh Recommendations	Katie Flores – Board Administrator Kathy Albert – Chief Strategic Business Officer COP Members	
	10:00	Review of Draft Annual Report	COP Members	
Feb 2	8:30	West Seattle and Ballard Link Extension Update	Cathal Ridge – Executive Corridor Director Leda Chahim – Manager of Corridor	Confirmed and Calendared
	9:30	Efficiency and Sustainability Program Update	Amy Shatzkin – Director of Sustainability Jamie Brinkley – Senior Sustainability Planner	Confirmed and Calendared
Feb 16	8:30-12pm	COP Retreat		
Mar 2	8:30	Employee, Consultant, & Operator Availability & Recruitment Strategy	Julie Honeywell – Chief Human Resources Officer Ted Lucas – Chief Procurement and Contracts Officer Suraj Shetty – Executive Director of Operations	Confirmed and Calendared
	9:30	<i>November 26, 2021 Link Incident Report</i>	Patrick Johnson Suraj Shetty Russ Arnold	Awaiting final confirmation
Mar 16	8:30	Operations Performance Information (NTD & Peer Comparisons)	Suraj Shetty – Executive Director of Operations Raj Cheriell – Title Paul Denison – Director of	Emailed on 1/5

Bold means it has been placed on staff & presenter's calendars.

	9:30	Portfolio Services Office Quarterly update	Moises Gutierrez – Executive Director of the Portfolio Services Office	Confirmed and Calendared
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Second Quarter

- ORCA 2.0 Update
- Hilltop Tacoma Link Extension Update
- Asset Management System Update
- Environmental Sustainability Program Update
- Annual Program Review
- Lynnwood Link Extension
- System Access Update
- TOD Annual Update
- Revolving Loan Fund for Affordable Housing
- Civil Rights, Equity and Inclusion Update
- Labor Availability Report
- Service Plan Update/Peer Agency Performance

Third Quarter

- Federal Way Link Extension
- Parking and Access Policy Update
- Bus Rapid Transit Program Update
- Labor and Apprenticeship Program Update
- Rider Experience Metrics Dashboard
- Safety Office Update
- Downtown Redmond Link Extension
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Fourth Quarter

- Tacoma Dome Link Extension
- Lessons Learned Program
- Budget and TIP Update
- Service Plan Update
- Audit Plan Briefing
- PSRC Update

Bold means it has been placed on staff & presenter's calendars.

- **Legislative Agenda Update**

Other potential topics:

IGA with partner agencies update

PIMS Update

Citizen Oversight Panel 2022 Work Plan

Month	Time	Topic	Presenters	Notes	Area of Interest/Responsibility
April	5:30	TOD Annual Update	Thatcher Imboden Mara D'Angelo		Monitoring and review of social equity, racial equity, fare enforcement, and inclusion policies
	6:20	Civil Rights, Equity, and Inclusion Office Update	Jonté Robinson		
	7:10	Fare Engagement Program/Policy Update	Russ Arnold Santee Ditt		
May	5:30	Service Plan Update/Peer Agency Performance	Brian de Place Matt Shelden		Adequacy and appropriateness of station access, including use of emerging technologies
	6:20	Passenger Experience - Research and Innovation.	Russ Arnold Matt Shelden		
	7:10	System Access Program Review	Alex Krieg		
June	5:30-7:10	Annual Program Review	Kimberly Farley Moises Gutierrez		Program realignment, interagency cooperation, and interoperability
	7:10	Labor Availability Report	Leslie Jones Chris Elwell		COVID-19, contingency planning, and disaster preparedness

Third Quarter

- **Federal Way Link Extension**
- **Lynnwood Link Extension**
- **Downtown Redmond Link Extension**
- **ORCA 2.0 Update**
- **Passenger Information Management System Update**
- **Rider Experience Metrics Dashboard Review**
- **Safety Office Update**
- **Vertical Conveyance Program Update**
- **Asset Management Program Update**

Fourth Quarter

Bold means it has been placed on staff & presenter's calendars.

- **Introduction to new CEO**
- **Climate Vulnerability Analyses**
- **Concrete Sustainability Expectations**
- **2023 Service Plan**
- **2023 Budget and Financial Plan**
- **Internal Audit Division update**
- **PSRC Update**
- **Lessons Learned Program**
- **Bi-annual Cost Drivers Update**

DRAFT

Citizen Oversight Panel Guiding Principles

(Adopted March 15, 2001, Amended March 17, 2005, Amended November 8, 2007, Amended March 2, 2017)

Mission

It is the mission of the Citizen Oversight Panel to ensure that Sound Transit meets its commitments to the public by monitoring its performance, reporting to the Board on potential areas for improvement, and evaluating the response in making change. Areas to be monitored will address:

- Sound Transit's adherence to its public commitments;
- The open and timely involvement of citizens in the Sound Transit district in decisions affecting local communities and the district as a whole;
- The process of evaluating project alternatives;
- The capital and operating budgets and finance plans;
- Equity in subarea budgets and reporting;
- Discipline in management of schedules and budgets; and
- Review of agency performance audits.

Goals and Objectives

The Panel's goal is to act in an oversight capacity to the Sound Transit Board, to comment on and provide feedback on Sound Transit's performance. The Panel acts to ensure that Sound Transit Board policy decisions are made with full consideration of due process, sound technical information and the full range of appropriate perspectives. The Panel at all times seeks to be:

Knowledgeable. The Citizen Oversight Panel will seek to achieve and maintain a high degree of understanding and knowledge of Sound Transit's actions and plans in order to fully execute its mission as a monitoring body.

Representative. The Citizen Oversight Panel will seek to represent the geographic, demographic and interest perspectives of the Sound Transit district and, in that role, will listen to and reach out to communities of interest whenever possible and relay those community perspectives to the Board.

Credible. Panel members commit to maintaining a high degree of credibility and integrity in their role by their actions, speech, and demeanor, including adherence to Sound Transit's ethics policy and full disclosure of any potential conflicts of interest.

Governance Principles

Sound Transit Board-Provided Governance Principles

Through Motions No. 18 and 2002-87 and an adopted selection process, the Sound Transit Board has provided the following framework for the Panel:

Membership. The Citizen Oversight Panel shall consist of fifteen volunteer members, of whom at least two shall live or work in each of the five Sound Transit district subareas. Panel members shall broadly represent the demographic make-up of the Sound Transit district and shall include as wide an array as possible of skills and experiences necessary to perform its function.

Qualifications. Citizen Oversight Panel members must live or work in the Sound Transit district and be registered voters within the district.

Terms. Initially, Panel members were appointed for either a two-year or a three-year term with a provision allowing re-appointments up to a maximum of six years. By Motion M2002-87, adopted on July 11, 2002, a four-year term was established for COP members appointed after February 27, 1997 and the beginning date of the term was set as the date of Board appointment. Members were limited to two four-year terms.

Geographic perspective. Members will provide a subarea(s) perspective, for the subarea in which he or she lives and/or works, as well as a district-wide perspective whenever issues of the good of the whole may arise.

Ethics Policy. All panel members agree to abide by the Sound Transit Board's ethics policy, adopted as Resolution No. 81 on February 27, 1997.

Vacancies. Nominations to fill vacancies are made by the Sound Transit Board. Sound Transit Board members will nominate candidates for consideration by Sound Transit Board's Executive Committee. The Executive Committee will provide the Sound Transit Board with a recommendation for Sound Transit Board adoption. When a vacancy arises on the panel, every attempt will be made to fill it with an individual whose skills, experience and demographic characteristics maintain the panel's geographic balance and diversity.

Panel-Adopted Governance Principles

Officers. Panel members shall elect a chair and a vice chair (and/or other officers) to serve one-year terms, subject to re-election to additional terms at the will of the panel. The chair's role will be to preside at meetings, to act as the designated spokesperson for the panel and to act as the designated liaison with Sound Transit staff. The vice chair will serve in that capacity in the chair's absence.

Actions as a Whole. The Panel shall strive to act as a body in all circumstances, except when a matter comes before the panel that requires more detailed review or more frequent meetings. In such cases, the panel may choose to appoint a smaller task force to study such a matter and report back to the full body.

Voting. It is the intent of the Panel that all decisions be reached by consensus whenever possible, consensus being defined as a decision that all members can live with and abide by as the prevailing view. When differences of opinion arise among panel members and consensus is not possible, the panel will vote and the majority will prevail. Minority opinions and discussion of issues on which there are differences will be reflected in the reports and in the minutes of meetings.

Operating Principles

Open meetings. The meetings of the Citizen Oversight Panel are open to the public, provided, however, the Chair may close the meeting to the public in the following circumstances:

1. To interview prospective candidates for a staff position for the Citizen Oversight Panel.
2. To evaluate qualifications of an applicant for a staff position for the Citizen Oversight Panel.
3. To discuss, review and approve strategic focus areas and draft evaluation reports of the Citizen Oversight Panel.

At the time the Chair closes the meeting to the public, the Chair shall publicly announce the purpose for excluding the public from the meeting.

Quorum. Fifty percent of Panel members must be present to conduct meetings.

Frequency of meetings. The Panel shall typically meet twice a month or as often as members feel is necessary to conduct the Panel's business. Every attempt shall be made to set meeting times in advance.

Participation. Citizen Oversight Panel members are expected to regularly attend all meetings unless excused by the chair. If a member is frequently absent from meetings or otherwise fails to participate in good faith in the deliberations of the Panel, the Chair will confer with the member and the member may be asked to resign.

Staffing. Staffing shall be provided to the Panel by an independent staff person selected by Panel members and retained by Sound Transit. Staffing shall include responsibility for coordinating with the chair, preparing all meeting materials, mailing meeting notices, organizing meeting agendas and presentations, and acting as liaison between the panel and Sound Transit staff and Board. Additionally, the Panel can

request that Sound Transit provide the services of other independent experts as needed.

Meeting materials. The individual responsible for staffing the Panel shall maintain a record of all meeting materials provided to the Panel and shall prepare written meeting summaries for the record. Every attempt will be made to mail meeting materials to members in advance.

Task forces. The Panel may, at its discretion, form task forces to look into particular issues in greater detail than regular meetings allow. It is the intent of the Panel that such task forces should be ad hoc in nature and not become standing committees. Task forces shall be appointed by the chair and given a specific charge to fulfill within an assigned time frame, after which they disband.

Communication among Panel members. Panel members agree to speak openly and frankly among themselves and to maintain at all times the courtesy, respect, and general tone that will foster an atmosphere of dialogue and acknowledgment of diverse views. Panel members will communicate with the Chair, with the staff facilitator or with each other as needed to ensure their views have been fully considered.

Communications and reports to the Sound Transit board. Summaries of each meeting of the Citizen Oversight Panel shall be sent to the Sound Transit Board for information. The Panel will make a formal presentation of its findings to the Board annually or more often at the request of the Board or at the Panel's own discretion. The presentation of findings will take the form of observations on Sound Transit's performance in the seven areas within the panel's mission. If performance is found to be inadequate in any area, the Panel will make recommendations for improvement. Formal findings and annual report will be issued by consensus, or if by vote, by two-thirds majority vote of the members present. In addition to the formal presentation of findings, the Panel's chair may ask for time on the Board's meeting agenda at any time to make a report on any matter. Evaluation reports prepared by the Citizen Oversight Panel, whether in a draft or final version, shall not be released to the public prior to the time they are delivered to the Board of Sound Transit.

Communication with the public. Inquiries and comments from the public shall be directed to Panel members through Sound Transit. Personal phone numbers and addresses shall not be released to the public unless explicitly permitted by the Panel member in a particular instance. In general, the Panel will not take formal public testimony or conduct formal hearings, although Panel members will seek to be informed of citizen views in their own subarea as well as the district as a whole.

Inquiries from the press about the work of the COP will generally be referred to the chair or vice chair, although Panel members may speak as individuals especially with respect to issues in their subareas. Sound Transit staff may be called on as a resource to assist in developing themes or talking points when formal reports are being issued.

Public participation. Panel members are encouraged to participate in Sound Transit and other public meetings and events whenever possible to remain informed of emerging issues and citizen views. Panel members may speak and make public appearances as individual panel members, however, should be careful not to speak on behalf of the Panel unless the Panel has made and released to the public a formal finding and members have been asked to speak to the finding by the chair. In their oversight capacity to the Board, Panel members will not make public statements that have not first been made to the Board.

Ethics policy and guidelines. Panel members agree that the appearance of impartiality and objective oversight is critical to its success in meeting its mission. Panel members agree to the following clarifying guidelines to the formal ethics policy:

- Any appearance that a Panel member may be personally or professionally benefited by participation in Panel discussions or actions shall be disclosed. At the request of the Panel Chair, Panel members who may have an appearance of conflict will refrain from participating in Panel discussions or actions. An appearance of conflict or a potential for conflict requiring disclosure includes examples such as the following: a COP member is married to someone or has a relative who is seeking a contract with Sound Transit; a member has a direct contractual relationship with someone who is seeking a contract with Sound Transit; a member is working for an organization that is engaged in direct negotiation with Sound Transit over a permit, a regulatory interpretation, or a contract with Sound Transit, to the extent the member is employed in a position or department having a direct role in the negotiation. When in doubt, Panel members should err on the side of disclosure.
- The following situations constitute an appearance of personal or professional benefit and require the Panel member to recuse himself or herself from COP discussions: the Panel member personally is seeking paid employment or contracts with Sound Transit; is responding to an RFQ or RFP issued by Sound Transit, either directly or as a subcontractor; has been offered or awarded employment or contracts with Sound Transit or one of its contractors; or the Panel member's employer is engaged in the foregoing.
- The following situations constitute an actual conflict of interest and require the Panel member to resign from the COP: the Panel member as an individual or business entity has been notified of selection for employment or for a contract with Sound Transit; or the Panel member's employer is engaged in a contractual relationship with Sound Transit and the Panel member is in a position having a direct role in the performance or oversight of the contract.

**SOUND TRANSIT
STAFF REPORT**

RESOLUTION NO. 81-2

Ethics Code

Meeting:	Date:	Type of Action:	Staff Contact:	Phone:
Executive Committee	2/7/08	Discussion/Possible Action to	Desmond Brown,	(206) 398-5017
Board	2/14/08	Recommend Board Approval Action	General Counsel	

Contract/Agreement Type:	✓	Requested Action:	✓
Competitive Procurement		Execute New Contract/Agreement	
Sole Source		Amend Existing Contract/Agreement	
Agreement with Other Jurisdiction(s)		Budget Amendment	
Real Estate		Property Acquisition	

PROJECT NAME

Ethics Code

PROPOSED ACTION

Amend Resolution 81 to revise the ethics code governing waiting periods for former board members, officers and employees.

KEY FEATURES of PROPOSED ACTION

- Permits the chief executive officer to contract with former employees within the first year after the employee has left the agency.
- This action is needed to provide the workforce flexibility during this transitional period.

BUDGET IMPACT SUMMARY

There is no action outside of the Board-adopted budget; there are no contingency funds required, no subarea impacts, or funding required from other parties other than what is already assumed in the financial plan.

PROJECT DESCRIPTION and BACKGROUND for PROPOSED ACTION

As Sound Transit completes the majority of the *Sound Move* projects and their work nears its end, Sound Transit employees may seek other employment in the private sector or with other public agencies. In some cases, it will not be cost-effective or practical to hire new employees with the necessary familiarity with the work, technical skill, and institutional knowledge necessary to complete the work on schedule and within the budget. Our ability to recruit employees is somewhat constrained because there is a high-demand for skilled professional services in the construction and transportation industries and because potential employees are aware the long-term employment at the agency may depend upon future voter-approval of funding for new transit projects. To meet the agency's workforce needs, Sound Transit seeks

the flexibility to hire former employees or contract with their new employers for their services at a reasonable price when it is in Sound Transit's best interest.

Resolution 81 establishes a code of ethics for the Sound Transit Board of Directors, officers, and employees. This resolution amends the "waiting period" rule applicable to former employees whose services are required by Sound Transit.

Section 7(A) of Resolution 81 governs the work that former employees may perform for the agency during the first year after leaving Sound Transit. Section 7(A) permits a former employee to work for the agency as a consultant during the one-year waiting period so long as the former employee does not use confidential information to gain an unfair competitive advantage in competing for new public contracts. Section 7(a) also prohibits a former employee from working as a consultant on contracts over which the employee had authority when employed at the agency. The amendment does not change these rules.

Section 7(A), as literally written, however, does prohibit the agency from employing former employees in some instances in which it would benefit the agency to do so. Section 7(A) prohibits the agency from hiring a former employee as a consultant to assist the agency in continuing or completing ongoing work in which the employee would need to use confidential information gained while an employee of the agency. This restriction can be problematic when, for example, the agency would like to employ a former employee as a consultant to use confidential information to assist the agency in contract negotiations with a third-party, the defense of on-going litigation, and the resolution of contractor claims related to the former employee's work. In such cases, this limitation hampers the agency's ability to obtain needed temporary work.

The proposed amendment adds language to make clear that Sound Transit may employ former employees as consultants and permit them to use confidential information they acquired as Sound Transit employees to assist the agency in performing its own work. This would permit the agency to employ former employees to use their confidential knowledge to assist the agency with negotiations, claims, litigation, and other matters during the one year after leaving the agency.

This amendment is consistent with the waiting-period rules employed by other local governments, which permit former employees to perform consultant work under similar conditions.

Prior Board/Committee Actions

Motion/Resolution Number and Date	Summary of Action
R-81 (amended) 12/8/05	A Resolution of the Board revising the code of ethics for Board members, officers and employees.
R-81 2/27/97	A Resolution of the Board revising the code of ethics and superseding Resolution 20.
R-20 3/25/94	A Resolution of the Board adopting a code of ethics

CONSEQUENCES of DELAY

If the rule is not changed, the agency can either delay the work until other employees can perform the work, or the agency can attempt to rehire the former employee as a temporary employee in order to complete the work. The latter alternative may not be a viable alternative in some instances because the former employee may already be employed by consulting firm or other public agency such that they could not also be hired as a Sound Transit temporary employee.

PUBLIC INVOLVEMENT

Not applicable to this action.

ENVIRONMENTAL COMPLIANCE

Not applicable to this action.

LEGAL REVIEW

DLB 1-28-08

SOUND TRANSIT

RESOLUTION NO. 81-2

A RESOLUTION of the Board of the Central Puget Sound Regional Transit Authority revising the Code of Ethics for Board members, officers and employees of the Authority.

WHEREAS, the Central Puget Sound Regional Transit Authority ("Sound Transit") has been created for the Pierce, King, and Snohomish County region by action of their respective county councils in accordance with RCW 81.112.030; and

WHEREAS, a code of ethics for the guidance of Board members, officers and employees of Sound Transit is necessary in order to prevent conflicts of interest in public office, to improve the standards of public service and to promote and strengthen the faith and confidence of the citizens in the decision-making and operations of Sound Transit; and

WHEREAS, the Board is authorized by RCW 81.112.060 and RCW 81.112.070 to prescribe the duties and responsibilities of its officers and employees, which include the right to establish guidelines for ethical conduct; and

WHEREAS, the Board originally adopted a code of ethics in 1994 through Resolution 20; and

WHEREAS, the Board adopted a superceding code of ethics in 1997 through Resolution 81; and

WHEREAS, the Board amended Resolution 81 in 2005 through Resolution 81 (Amended); and

WHEREAS, as Sound Move projects are completed, the employees assigned to those projects may for seek other employment opportunities in the private or public sector; and

WHEREAS, in some cases, it will not be cost-effective or practical to hire new employees with the necessary familiarity with the work, technical skill, and institutional knowledge necessary to complete the work on schedule and within the budget; and

WHEREAS, Sound Transit's ability to recruit new employees is currently constrained by (1) the high-demand for skilled professional services in the construction and transportation industries, and (2) an awareness that long-term employment at the agency may depend upon future voter-approval of funding for new transit projects; and

WHEREAS, Sound Transit needs the flexibility to hire former employees or contract with their new employers for the former employee's services; and

WHEREAS, this Resolution also replaces the term "Executive Director" with "Chief Executive Officer" and the acronym "RTA" with "Sound Transit"; and

WHEREAS, the amendment to section 7.A. below is underlined.

NOW, THEREFORE, BE IT RESOLVED by the Board of the Central Puget Sound Regional Transit Authority as follows:

Section 1. Purposes for Code of Ethics. In keeping with the policies declared by the State Legislature in enacting codes of ethics for state officers and employees and for municipal officers, it is recognized that high moral and ethical standards among public officials and employees are essential to the conduct of government. A code of ethics for the guidance of Board members, officers and employees of Sound Transit is necessary in order to avoid and prevent conflicts of interest in public office, to improve standards of public service and to promote and strengthen the faith and confidence of the citizens in Sound Transit. Sound Transit Board members, officers and employees are, therefore, obligated to treat their offices and duties as a public trust, using their official powers and duties and the resources of Sound Transit only to advance the public interest. It is expected that Board members, officers and employees of Sound Transit will conduct their public and private actions and financial dealings in a manner that will present no actual or apparent conflict

of interest between the public trust and their private interests. This obligation requires that all Sound Transit Board members, officers and employees devote their best efforts and attention to:

- A. Being independent and impartial in the exercise of their duties and avoiding actions that create even the appearance of using their positions for personal gain or private benefit.
- B. Strengthening public confidence in the integrity of Sound Transit's decisions by demonstrating the highest standards of personal integrity, fairness, honesty and compliance with both the spirit and the letter of the law and this resolution.
- C. Creating a work environment that is free from all forms of unlawful discrimination and harassment.
- D. Managing human and environmental resources for the benefit and enjoyment of both current and future generations.
- E. Conducting the public's business openly and, to the maximum extent consistent with existing law, resolving doubtful cases in favor of public access.
- F. Serving the public with respect, concern, courtesy and responsiveness, recognizing that service to the public is the primary mission of government.
- G. Promoting an environment of public trust free from fraud, abuse of authority and misuse of public property.
- H. Protecting the integrity of the decision making process by recognizing and avoiding conflicts between public duties and private interests and activities.
- I. Respecting and protecting privileged information to which Sound Transit Board members, officers and employees have access in the course of their official duties including, but not limited to, information provided in lawful executive sessions of the Board.

Section 2. Definitions. The following definitions shall apply for purposes of this resolution:

- A. "Board member" means every individual appointed to Sound Transit pursuant to RCW 81.112.040 whether that individual is paid or unpaid.

B. "Business" means any corporation, partnership, sole proprietorship, firm, enterprise, franchise, self-employed individual, consultant, holding company, joint stock company, receivership, trust or any legal entity organized for profit.

C. "Employee" means a person or persons employed on a full-time continuing basis by Sound Transit and, for the purpose of this resolution only, shall include part-time, intermittent or temporary workers. The term shall not include persons engaged or retained pursuant to contract to perform consulting or special technical services.

D. "Gift" means any tender of money, property, services, discount, forgiveness, payment of indebtedness, reimbursements from or payments by persons other than Sound Transit for travel or lodging or anything else of value in return for which legal consideration of equal or greater value is not given and received, excluding:

1. Any contribution under chapter 42.17 RCW (Disclosure - Campaign Finances - Lobbying - Records);
2. Any informational material transferred for the purpose of informing the recipient about matters pertaining to official Sound Transit business, and that is not intended to financially benefit that recipient;
3. Any symbolic presentation not intended to financially benefit the Recipient;
4. Items or things of value not used and that, within thirty days after receipt, are returned to the donor or delivered to a charitable organization without being claimed as a charitable contribution for tax purposes;
5. Items or things of minimal value received in the normal course of private business or social interaction that are not related to Sound Transit public policy decisions or actions, such as seasonal gifts, generally available tickets to entertainment or sporting events and occasional meals. Notwithstanding the above, Board members shall be subject to such limitations or guidelines

on gifts as may be imposed by similar codes of ethics, regulations, resolutions, or ordinances of their respective local governments or state agencies. A Board member, officer or employee of the Sound Transit shall not accept gifts of cash in any amount.

E. "Immediate family" means the husband, wife, son, daughter, father, mother, brother, sister, father-in-law, mother-in-law or any other relative living in the Board member, officer or employee's household.

F. "Interest" means any direct or indirect monetary or material benefit accruing to an Sound Transit Board member, officer or employee as a direct result of contracts or transactions which are or may be the subject of an official act or action by or with Sound Transit, except contracts or transactions which confer similar benefits to all other persons and/or property similarly situated. An employee, officer or Board member shall not be deemed to have an interest in conflict with his or her official duties for purposes of this code if the interest is remote. A "remote interest" means:

1. that of a non-salaried officer of a nonprofit corporation;
2. that of a landlord or tenant of a contracting party;
3. a creditor, debtor or ownership interest of less than one thousand five hundred dollars (\$1,500.00) in a business entity which is a contracting party or as a holder of less than one percent of the shares of a corporation or cooperative which is a contracting party, whichever is less.

G. "Officer" means an individual appointed to serve Sound Transit in an executive capacity or who otherwise is hired, appointed or retained by the Sound Transit to fill an office of special authority or trust for Sound Transit.

Section 3. Improper Use of Public Property. No person, except when acting on behalf of the Sound Transit, shall use or possess any property unless such use is available to the public generally. The use of Sound Transit-owned vehicles after hours and for transportation to a Board member's, officer's or employee's residence shall not be deemed improper under the following circumstances:

A. Board members, officers or employees who are subject to call-out for Sound Transit business; and

B. Board members, officers or employees who are regularly required to work more than a forty-hour work week, without extra compensation, provided such use is authorized by the Chair of the Board or the Chief Executive Officer; and

C. Board members, officers or employees authorized to attend professional and/or work-related meetings, classes, seminars, conferences, testimonials or ceremonies in which the Board member, officer or employee travels out of town on Sound Transit business.

Notwithstanding the foregoing, those Board members, officers and employees who are allowed to use Sound Transit property may do so only for the particular purposes for which authorization is made to advance the interests of Sound Transit.

Section 4. Conflicts of Interest. No Board member, officer or employee of Sound Transit shall engage in any act which is in conflict with the performance of his or her official duties for Sound Transit or knowingly use his or her office or position for personal or immediate family gain or profit. A Board member, officer or employee shall be deemed to have a conflict of interest if the Board member, officer or employee engages in any of the following activities:

A. Solicits or receives any retainer, gift, loan, entertainment, favor or other thing of monetary value from any person or entity if the employee, officer or Board member knows or has reason to know that such person or entity:

1. has or is seeking to advance or obtain contractual or other business or financial relationships with Sound Transit; or
2. conducts operations or activities which are regulated by Sound Transit; or
3. has interests which may be substantially affected by the Board member's, officer's or employee's performance or non-performance of his or her official duties for Sound Transit.

B. Receives or has any financial interest in any sale or lease to Sound Transit of services, materials, equipment or property when such financial interest is received with the prior knowledge that Sound Transit intends to purchase, lease or contract for such services, materials, equipment or property.

C. Participates in his or her capacity as a Board member, officer or employee of Sound Transit in the making of a contract in which he or she has a private pecuniary interest, direct or indirect, or performs in regard to such a contract some function requiring the exercise of discretion on behalf of Sound Transit.

D. Influences Sound Transit's selection of, or its conduct of business with, a corporation, person or firm having business with Sound Transit if the Board member, officer or employee has financial interest in or with the corporation, person or firm.

E. Engages in, accepts private employment from or renders services for private interests when such employment or service is incompatible with the proper discharge of official duties or would tend to impair independence of judgment or action in the performance of official duties for Sound Transit.

F. Appears on behalf of a private person, other than his or herself or an immediate family member or except as a witness under subpoena, before any regulatory governmental agency or court of law in an action or proceeding to which Sound Transit or a Sound Transit member in an official capacity is a party, or accepts a retainer or compensation that is contingent upon a specific action by Sound Transit.

G. Discloses or uses, without legal authorization, confidential information concerning the property or affairs of Sound Transit in such a way as to benefit himself or herself or a member of his or her immediate family with respect to any contract or transaction which is or may be the subject of official action of Sound Transit.

H. Has a financial or personal interest in any legislation, action or decision coming before Sound Transit and participates in discussion with or gives an official opinion to Sound Transit unless: (1) the Board member, officer or employee discloses on the record of Sound Transit the nature and extent of such interest or makes a good faith effort to comply with the disclosure requirement, and procedures in Section 8; and (2) it is confirmed that a conflict of interest does not exist or such interest is determined by Sound Transit to be immaterial.

I. Takes any action in the course of his or her official duties for Sound Transit in regards to providing service to specifically benefit the regulation or development of property or of a private business or enterprise in which the Board member, officer or employee holds an interest in, directly or indirectly, for purposes of personal financial gain, investment or speculation, provided that this prohibition shall not apply to:

1. real property devoted to the personal use or residence of the Board member, officer or employee or a member of the Board member, officer or employee's immediate family;
2. any other interest in real property held by the Board member, officer or employee on the date of enactment of this resolution.

J. Participates in a transaction involving the appointment, termination of appointment, promotion, demotion, discipline, approval of a salary increase or decrease or the supervision of the work of a member of their immediate family or any other person in whom the Board member, officer or employee has a financial interest.

Section 5. Political Activities.

- A. Each Sound Transit officer and employee may, on his or her own time:
1. Register and vote in any election.
 2. As an individual, privately and publicly express an opinion on political subjects and candidates.

3. Be a member of a political party and participate in its activities consistent with this resolution.

4. Sign a political nomination or recall petition as an individual.

5. Make a financial contribution to a political party or candidate.

6. Be politically active in connection with constitutional amendments, referenda or issues of a similar character.

7. Display bumper stickers, posters or pamphlets on his or her private property for the endorsement of candidates and issues.

B. Sound Transit officers and employees may not:

1. Use any official authority or influence for the purpose of interfering with or affecting the result of an election, nor solicit or receive funds or contributions from other officers and employees for political purposes.

2. Display campaign materials, pamphlets, and buttons on Sound Transit vehicles or Sound Transit property. Bumper stickers and posters may be displayed on private vehicles parked in officer or employee areas.

3. Use an official Sound Transit title or designate employment with Sound Transit in political advertisements, endorsements or speeches.

4. Participate in activities permitted in subparagraph A. of this section when an officer or employee is on duty, is on Sound Transit property or is wearing a uniform normally identified with Sound Transit.

C. Board members shall foster an environment where Sound Transit officers and employees can provide objective counsel to Sound Transit Board members. Board members shall comply with applicable provisions of state law concerning political activities including, but not limited to, Chapter 42.17 RCW.

Board members and their agents shall not solicit funds or in-kind contributions from Sound Transit officers or employees for political purposes except as part of general campaign solicitation made to the general public (e.g., mass mailings) in which (a) the employee or officer is not specifically identified for solicitation, and (b) the board member does not participate in the solicitation and is not informed of the result of the solicitation. Board members shall not accept more than \$250 in campaign contributions from a Sound Transit officer or employee. Restrictions on Board member solicitations are not intended to restrict Sound Transit's officers' and employees' right to engage in the permitted political activities listed in Section 5.A. or otherwise guaranteed by law, including unsolicited financial contributions to support a Board member's political campaign.

Section 6. Conduct of Board Members, Officers and Employees. Board members, officers and employees will conduct themselves according to the following rules of conduct as they pertain to their public service for and on behalf of Sound Transit:

A. Board members, officers and employees shall maintain decorum in meetings and set an example of exemplary conduct when the Board member, officer or employee represents Sound Transit. Board members, officers and employees shall conduct themselves so as not to bring disgrace or embarrassment upon Sound Transit and the member governments and citizens to whom they are responsible.

B. Board members, officers and employees shall always represent that opinions stated are the Board member, officer or employee's own and do not necessarily represent those of Sound Transit unless Sound Transit has voted and passed a resolution or motion that so states or clearly supports the expressed policy.

C. No Board member, officer or employee shall willfully make any false statement, certificate, mark, rating or report or in any manner commit any fraud, conceal any wrongdoing or knowingly withhold information about wrongdoing in connection with employment with Sound Transit or in connection with the work-related conduct of any Sound Transit Board member or employee.

D. Board members, officers and employees shall devote their best efforts and attention to maintaining honest, open and civil communications at all levels of Sound Transit and with the public.

Section 7. Waiting Period for Former Board Members, Officers and Employees. No former Board member, officer or employee shall, during the period of one year after leaving Sound Transit service:

A. Disclose or use any information gained by reason of his or her Sound Transit service or employment for his or her gain or anticipated gain, or for the gain or anticipated gain of any person, unless the information is a matter of public knowledge or is available to the public on request, provided that this section shall not apply to prohibit Sound Transit from employing former officers and employees as consultants during the one-year waiting period in order to continue or complete ongoing work or to perform other related services at a reasonable cost if the chief executive officer determines that (1) it is in the best interest of the agency to have a former officer or employee perform the work using confidential information gained while a Sound Transit employee, (2) the cost is less than or equal to the agency's cost of employing the former officer or employee as a full-time employee, and (3) contracting with the former officer or employee will not provide an unfair competitive advantage to the former employer or other-third party in performing or competing for a competitively procured public contract.

B. Assist any person in proceedings involving an agency with which the former Board member, officer or employee was officially involved on behalf of Sound Transit while a Sound Transit Board member, officer or employee; provided, that this requirement shall not be deemed to limit Board members in representing the interests of their respective local governments or state agencies.

C. Represent any person as an advocate in any matter in which the former Board member, officer or employee was officially involved while a Sound Transit Board member, officer or employee.

The prohibitions of paragraphs B. and C. of this section shall not apply to former Board members, officers and employees acting on behalf of Sound Transit or on behalf of another governmental agency unless such assistance or representation is directly adverse to the interests of Sound Transit.

Section 8. Disclosure. In order to ensure that the personal and financial interests of Board members and officers present no actual or apparent conflicts of interest, the following procedures shall be used to disclose such interests:

A. In the event any legislation or other matter in which a Board member or officer has a personal or financial interest comes before the Sound Transit Board or its standing committees for action or recommendation, the Board member or officer shall promptly disclose the general nature and extent of such interest on the record of the meeting prior to any discussion or vote on the legislation or matter. Such disclosure shall include, but not be limited to, the following information:

1. The name and address of any private business, corporation, firm or enterprise affected by such Sound Transit action of which the Board member or officer is or has been during the preceding twelve (12) months a shareholder, bond holder, secured creditor, partner, joint entrepreneur or sole proprietor, whenever the total value of his or her individual or undivided legal and equitable financial interest therein is and at any time during the preceding twelve (12) months has been in excess of one thousand five hundred dollars (\$1,500.00).

2. The name of any such private business or corporation, firm or enterprise of which such Board member or officer or his or her relatives are or have been during the preceding twelve (12) months the officer, director, partner, attorney, agent, or employee, who, for services rendered during such preceding twelve (12) months or to be rendered in any such capacity, has received or has been promised compensation in excess of one thousand five hundred dollars (\$1,500.00).

3. The office or directorship held by the Board member or officer or his or her spouse in any corporation, partnership, sole proprietorship or like business enterprise, which is proposed to conduct business with Sound Transit or is subject to any regulation or control by Sound Transit and from which the Board member or officer has received compensation or has been promised compensation during the preceding twelve (12) month period in excess of one thousand five hundred dollars (\$1,500.00), or services or any other thing of value in excess of said amount.

4. The address and general description of any and all real property located within Sound Transit boundaries in which the Board member or officer has any interest whatsoever, as owner, purchaser, optionee, optionor, or any other proprietary interest, when a decision by the Board would affect the value, development or use of the property. This subsection shall not apply to the residence home of such Board member or officer.

The foregoing provisions shall not apply to policies of life insurance issued to such Board member or officer or to his or her spouse or to members of his or her family, accounts in any commercial bank, savings and loan association or credit unions, or similar financial institutions subject to regulation by the State of Washington or any other governmental agency having jurisdiction thereover. A Board member may satisfy these provisions by submitting reports of financial affairs filed pursuant to Chapter 42.17 RCW if such reports identify the interest covered by this Section.

B. If a conflict of interest is confirmed, the Board member shall disqualify himself or herself from discussion or voting upon the legislation or matter, and an officer shall refrain from discussion or recommendation concerning the legislation or matter, if discussion or voting thereon would constitute a conflict of interest, or apparent conflict of interest, as described in this section or violate any other governmental law or regulation. Any Board member or officer who is disqualified by reason of such conflict of interest shall, after having made the required disclosure set forth above, remove himself or herself from his or her customary seat during such debate and leave the Board

chambers until such time as the matter at hand, from which such Board member or officer has been disqualified, has been disposed of in the regular course of business. Any action taken by the Board or a committee related to such interest shall be by a vote sufficient for the purpose without counting the vote of the Board member having the interest.

C. If a Board member is uncertain whether he or she may have an actual or apparent conflict of interest concerning any legislation or other matter which is proposed for discussion, action or recommendation by the Sound Transit Board or one of its standing committees, the Board member shall refrain from communicating with other Board members concerning the legislation or matter unless:

1. Such conflict has been disclosed as provided above at a public hearing of the Sound Transit Board or a standing committee and resolved by the chair of the meeting; or

2. Legal counsel of Sound Transit has been advised of the basis for the questioned actual or apparent conflict and has determined that no conflict of interest as defined by this resolution exists which would either require disclosure or deferral of any discussion, action or recommendation.

D. If, during the course of discussion of legislation or other matters by the Sound Transit Board or a standing committee, a Board member or officer concludes that his or her continued participation may constitute an actual or apparent conflict of interest which was previously unanticipated, he or she shall promptly inquire of the chair of the meeting or Sound Transit legal counsel, if in attendance, whether or not disclosure as provided by this section is appropriate or required and proceed as directed by the chair or legal counsel. The discovery and disclosure as provided herein of a previously unanticipated and unintended conflict of interest by a Board member or officer during his or her discussion of legislation or other matters pending before the Board or a standing committee shall not disqualify the Board or committee from subsequently taking an action or making a recommendation.

Section 9. Enforcement. Penalties and Public Disclosure. The following procedure will be implemented by the Executive Committee of Sound Transit when an alleged violation of this resolution occurs:

A. Any person who believes that an employee, officer or Board member of Sound Transit has violated these ethics rules shall submit a written statement of the purported violation to the Board Administrator of Sound Transit. The allegation must set forth specific facts with precision and detail, sufficient for determination of sufficiency by Sound Transit. In addition, the complaint must set forth the specific sections and subsections of this resolution that the facts violate, and the reasons why. Each complaint must be signed by the person or persons submitting it, must state the submitter's correct name, address at which mail may be personally delivered to the submitter, and a telephone number at which the submitter may be contacted.

B. The Board Administrator of Sound Transit shall submit that complaint to Sound Transit's legal counsel for determination of sufficiency of the complaint and shall also forward a copy to members of the Executive Committee for their information. A complaint cannot be sufficient unless it precisely alleges and describes unjustified acts which constitute a prima facie showing of a violation of a specified provision or provisions of this resolution. The purpose of requiring that the complaint be sufficient is to ensure that the complaint is supported by identifiable facts, and to ensure that the complaint is not based on frivolous charges. Legal counsel shall submit a written report with a finding of sufficiency or insufficiency within ten (10) days of receipt of the written complaint to the Executive Committee. The determination shall be final and binding, and no other administrative or other legal appeal is available. If the finding is one of sufficiency of the complaint, then the complaint shall be investigated and reported by the Executive Committee as set forth below. If the purported violation involves a member of the Executive Committee, then the Chair of

the Board shall substitute another member to sit in that member's place for purposes of inquiry into the complaint.

C. The Executive Committee shall review a complaint involving Board members or officers that is determined to be sufficient by legal counsel. The Executive Committee shall come to one of the following conclusions:

1. There is insufficient evidence to conclude that any particular violation has occurred. In this case, the Committee shall keep its records confidential to the extent allowed by state law.

2. There is sufficient evidence to conclude that there may have been a violation, in which case the Committee shall call for full review by the Executive Committee of Sound Transit with the assistance of legal counsel.

D. If the Executive Committee concludes there may have been a violation, the Executive Committee shall conduct such further review as is necessary to determine if a violation occurred and to classify any violation as major or minor. The Executive Committee may discuss such determinations in executive session.

1. If the Executive Committee determines that a minor violation has occurred, it shall pass an appropriate motion of caution, reprimand or censure at a public meeting. The violator shall have the right at a public meeting to provide a response to the determination and to request reconsideration.

2. A major violation shall result in a public hearing by the Board. The Executive Committee shall select one of its members to present its findings at the hearing. The violator shall neither conduct the meeting during the hearing nor shall he or she present the findings. The Executive Committee shall give the accused officer or Board member adequate time to prepare a case and to present the case at the public hearing. Both the Executive Committee and the accused officer or Board member shall present their own cases but they may

be accompanied by counsel during the proceedings. The Executive Committee's presenter and the accused may offer witnesses who shall present their evidence upon oath. After hearing the evidence, the Board shall determine whether there was sufficient evidence to support its determination that a major violation occurred and, if confirmed, may direct a remedy or sanction or may delegate that decision to the Executive Committee.

If the Board determines that a Board member has committed a major violation, they also shall submit their determination to the legislative body that appointed the Board member and to the legal counsel for Sound Transit to determine if there is the basis for any civil action to compel restitution or removal for that violation.

With respect to violations by officers, the Board may direct a remedy or sanction or penalize the officer by suspension, demotion or termination in a manner commensurate with the violation and consistent with applicable law and any employment agreements or may delegate that decision to the Executive Committee.

E. The Executive Committee or the Board, in the conduct of any hearing or proceeding within its power, may make reasonable orders necessary for the protection of individuals who may be incorrectly accused or who may be disproportionately harmed by premature disclosure, provided, however, that no such order shall have the result of precluding any enforcement agency from taking action within its own jurisdiction.

F. Any sufficient complaints regarding Sound Transit employees shall be referred to the Chief Executive Officer, who shall investigate the complaint and take appropriate action. All actions related to complaints about Sound Transit employees shall be in accordance with any Board approved personnel policies and procedures and applicable employment contracts and shall be reported to the Executive Committee.

Section 10. Procurements.

A. Sound Transit intends to conduct its procurements for work and for professional services with integrity, fairness and openness. Sound Transit Board members, officers and employees involved in Sound Transit procurements, shall not act or fail to act in any way which compromises the fairness of Sound Transit procurements or which creates actual or apparent conflicts of interest. Board members, officers and employees are expected to use good judgment and to act in accordance with Sound Transit policies, applicable law and the best interests of Sound Transit. The contract administrator for each procurement shall be the focal point for receiving and responding to communications from the public, potential bidders or proposers and other government staff and Board members concerning the procurement unless otherwise approved by the Chief Executive Officer.

B. Sound Transit Board members, officers and employees directly involved in a Sound Transit procurement process promptly shall identify any past or current personal, financial or business relationship with any firm, or principals associated with a firm, which submit bids or proposals to Sound Transit. Disclosure shall be made to the contract administrator for the procurement who will review the issue with the Chief Executive Officer. Determination of the appropriate response, if any, shall be made by the Chief Executive Officer with advice of legal counsel.

C. In the event Board members receive information or requests for information from the public, potential bidders or proposers or other government staff concerning a competitively bid contract or a professional services procurement, the Board member may:

1. Accept the information or inquiry and provide such information as may be available to the Board member or response; or
2. Decline to discuss the information or to respond to the inquiry or complaint and instead refer the matter to the Chief Executive Officer.

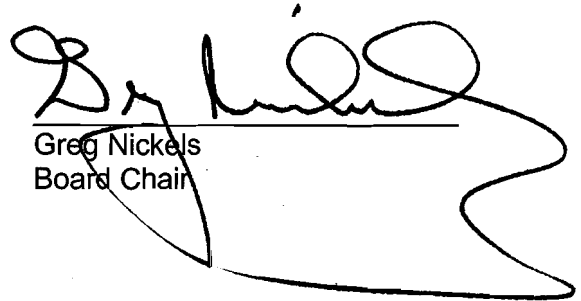
D. Once a request for bids, request for qualifications or request for proposals is issued by Sound Transit, Board members, officers and employees are encouraged to decline meetings or informational exchanges with potential bidders or proposers. Requests for meetings or information should be referred to the contract administrator for the procurement.

E. If the information or an inquiry received by a Board member, officer or employee indicates there may have been a violation of applicable laws, regulations, Board policies or administrative procedures, the Board member should promptly refer such complaint, information or inquiry to the Chair for response and officers or employees should consult with the Chief Executive Officer. The Chair may direct the issue to the Chief Executive Officer and/or legal counsel for response.

Section 11. Compliance with Law. Board members, officers and employees of Sound Transit shall comply with all laws and regulations applicable to their service to or employment by Sound Transit.


Section 12. Implementation. The Chief Executive Officer is authorized to adopt additional regulations and guidelines for Sound Transit employees and officers as he or she deems necessary to implement the provisions and policies of this resolution. Inquiries concerning actual or apparent conflicts of interest or the interpretation of the provisions of this resolution or applicable laws shall be directed to the Sound Transit's legal counsel.

ADOPTED by the Board of the Central Puget Sound Regional Transit Authority at a regular meeting thereof held on February 14, 2008.



Greg Nickels
Board Chair

ATTEST:



Marcia Walker
Board Administrator

Board Action Establishing the COP

REGIONAL TRANSIT AUTHORITY

MOTION NO. 18

A MOTION of the Board of the Regional Transit Authority of Pierce, King and Snohomish counties committing to the timely establishment of a citizen oversight panel.

WHEREAS, on May 31, 1996, the Board of the Regional Transit Authority adopted Sound Move, the Ten-Year Regional Transit System Plan; and

WHEREAS, the RTA Board's commitment to public accountability is a predominant theme in the principles and policies described in the plan; and

WHEREAS, the plan includes a specific commitment of the RTA Board to appoint a citizen oversight panel to monitor RTA performance in carrying out its ten-year commitments; and

WHEREAS, the plan includes the RTA's commitment to provide the resources and support necessary to involve the public at all levels of planning; and

WHEREAS, the creation of a citizen oversight panel is not intended to delegate any of the RTA Board's legislative powers or policy responsibilities or to replace other planned public involvement processes; and

WHEREAS, the RTA Board is developing a comprehensive program to involve citizens in regional, subarea and community issues and projects;

WHEREAS, the implementation of the Ten-Year Plan is contingent upon and has received voter approval of a ballot proposal on the November 5, 1996 election;

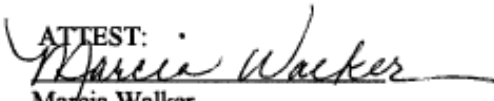
NOW, THEREFORE BE IT MOVED BY THE BOARD OF DIRECTORS OF THE REGIONAL TRANSIT AUTHORITY AS FOLLOWS:


1. The RTA Board reiterates its commitment to assuring public accountability in the exercise of its authorities in carrying out the commitments of the ten-year plan, including effective citizen involvement in major capital investments.
2. The RTA Board will begin immediately to define and implement a process for establishing and appointing the citizen oversight panel. The RTA Board commits to having the panel in place by the end of February 1997.
3. The RTA Board will consult with community leaders in defining the specific mission, responsibilities and composition of the citizen oversight panel and in developing an overall citizen participation program.

4. In general terms (to be further defined by the RTA Board), the citizen oversight panel will be an independent body, charged to review RTA performance against its commitments to the public to deliver the services and facilities in Sound Move on time and within budget. The citizen oversight panel will report to the RTA Board.
5. The citizen oversight panel will monitor and provide recommendations concerning the RTA's performance in meeting its public commitments in the following policy areas:
 - Public participation in plan implementation
 - Evaluation of project alternatives and recommendations
 - Annual capital and operating budget and plan of finance
 - Regional fund management
 - Equity, subarea budgets and financial reporting
 - Schedule and budget adherence
 - Annual performance review audits
6. Appointments to the citizen oversight panel may be for rotational terms of two to three years. Appointments will include a minimum of two persons from each of the five geographic subareas in the RTA District and representation from a variety of interests.
7. The RTA Board will provide an annual budget to support the citizen oversight panel, including planning and facilitation for panel meetings

PASSED by the Board of the Regional Transit Authority for the Pierce, King and Snohomish region at a regular meeting thereof held on the 6th day of December, 1996.

ATTEST:


Marcia Walker
Board Administrator


Bob Drewel
Chair of the Board

Proposed Selection Process Citizens Oversight Panel

As proposed by the Public and Government Affairs Committee
and revised by the Executive Committee
December 11, 1996

Objective:

Pursuant to RTA Motion 18, appoint members to the Citizen Oversight Panel, an independent body charged to review RTA performance against its commitments to the public to deliver the services and facilities in Sound Move on time and within budget. The panel will report to the RTA Board through the Finance Committee. Panel members will be expected to reach out to stakeholders in their communities.

Role of the Panel:

Monitor and provide recommendations to the Board concerning the RTA's performance in meeting its public commitments in the following policy areas:

- Public participation in plan implementation
- Evaluation of project alternatives and recommendations
- Annual capital and operating budget and plan of finance
- Regional fund management
- Equity, subarea budgets and financial reporting
- Schedule and budget adherence
- Review of RTA's annual performance audits

Membership:

Fifteen members, including at least two representatives from each of the five subareas in the RTA District.

Representation from a variety of interests.

Rotational two to three-year terms; original appointments will be staggered terms

~~Members may serve more than one term based on willingness, the will of the panel and the will of the Board.~~

~~Members will be limited to serve no more than six years.~~

Members may be reappointed to serve additional term(s) up to a maximum of six years.

Members may be removed from the panel upon absence from 3 consecutive meetings.

Members will be subject to the RTA's ethics policy.

Qualifications for applicants:

Registered voter

Reside or work within the RTA District

Experience in public policy issues

Experience/skills in one or more areas of expertise related to the panel's role, eg:

general management, financial management, auditing, public facilities and services, government processes, public policy development or review

Application/Letter of Interest:

Short letter of application to include:

- Specific experience, skills, related to the role of the panel
- Statement of interest in serving on the panel

Process for application and selection:**Public notice and recruitment:**

- Publish notice of application process and deadline
- Letters to involved organizations and agencies
- Letters to people who have already expressed interest
- Informal recruitment

Applications:

Send application letters to RTA Executive Director by -- DATE --

Nominations:

- Exec Director mails package of applications to boardmembers for review
- Each boardmember selects up to three names for nomination (max 54)
- Executive Committee, with the addition of 4 good government representatives, reviews nominations and recommends slate to the Board

Appointments:

Board considers recommended slate and makes final appointments

Consultation:

During the selection process, the RTA will consult with community leaders in further refining the mission and responsibilities of the panel.

Board Action Setting COP Terms

SOUND TRANSIT

MOTION NO. M2002-87

A motion of the Central Puget Sound Regional Transit Authority regarding the terms of Citizen Oversight Panel members.

Background:

Citizen Oversight Panel (COP) members were originally appointed to two terms and were limited to six-years of service. Of the original 15 members, half agreed to serve an initial two-year term and half a three-year term to allow for staggered appointments. Four of the original members have now served two terms totaling five years; the remaining three original members will have served their two terms effective the end of March 2003, which would leave the COP with the prospect of losing a core group of highly experienced and knowledgeable members.

Further, the record of Board actions on new COP member appointments is unclear with respect to whether members are appointed to fill the unexpired terms of the members whose vacancy is being filled or whether each newly appointed member begins a new term.

At a May 2002 retreat, the COP discussed this extensively and has the following recommendation for the Sound Transit Board:

- Establish COP members' term length as four years, beginning on the date the member is appointed by the Sound Transit Board.
- Establish the beginning date of the term for COP members appointed after February 27, 1997 as the date they were appointed by the Board.
- Extend the second terms of the original COP members (who are currently serving on COP as of the date this motion is acted upon by the Board) to four years.
- Maintain the two-term limit on COP service.
- Allow members whose terms have expired to continue to serve until a successor is appointed.

The new term dates for current COP members shall be:

<u>COP Member</u>	<u>Date Appointed</u>	<u>First Term Expiration Date</u>	<u>Second Term Expiration Date</u>
Fred Hart	02/27/97	03/31/99	03/31/03
Dave Osaki	02/27/97	03/31/99	03/31/03
Reid Shockey	02/27/97	03/31/99	03/31/03
Steve Goldblatt	02/27/97	03/31/99	03/31/03
Art Carter	02/27/97	03/31/00	03/31/04
Tom Luthy	02/27/97	03/31/00	03/31/04
Virginia Gunby	02/27/97	03/31/00	03/31/04
Al Stipe	12/11/97	12/11/01	12/11/05
Bertha Eades	12/10/98	12/10/02	
Larry Shannon	03/25/99	03/25/03	
Ray Gould	08/10/00	08/10/04	
Stephen Wamback	04/26/01	04/26/05	
Rea Hagen	10/25/01	10/25/05	
Phil Yin	11/29/01	11/29/05	
Darrell Chapman	03/14/02	03/14/06	

Motion:

It is hereby moved by the Central Puget Sound Regional Transit Authority Board to accept the recommendations of the Citizen Oversight Panel regarding members' terms.

APPROVED by the Central Puget Sound Regional Transit Authority at a regular meeting thereof held on July 11, 2002.


 Ron Sims
 Board Chair

ATTEST:


 Marcia Walker
 Board Administrator