

PORT OF SEATTLE

# CODE OF ETHICS & WORKPLACE CONDUCT



# CONTENTS

---

<b>ONE PORT</b>	<b>04</b>
Serving the Public	
Pursuing a Common Mission	
Honoring Shared Values	

---

<b>OUR ETHICAL VALUES</b>	<b>05</b>
---------------------------	-----------

---

<b>MAKE GOOD DECISIONS</b>	<b>06</b>
Taking Time to Stop, Think & Ask	

---

<b>FOLLOW THIS CODE</b>	<b>07</b>
Understanding Employees' Obligation to Comply	
Application to Represented Employees	
Expectations of Managers and Supervisors	

---

<b>BE ACCOUNTABLE</b>	<b>09</b>
Speaking Up	
Reporting Code Violations	
Commitment to Non-Retaliation	

---

<b>BE HONEST</b>	<b>11</b>
Being Open and Truthful	
Keeping Accurate and Complete Records	
Duty to Report Fraud	

---

<b>REPORT LOST OR STOLEN PORT PROPERTY</b>	<b>12</b>
Duty to Report Theft	
Duty to Report Losses	

---

<b>AN EQUAL OPPORTUNITY WORKPLACE</b>	<b>13</b>
Commitment to Non-Discrimination	
Accommodating Individuals with Disabilities	

---

<b>WORKPLACE FREE OF ALCOHOL, ILLEGAL DRUGS &amp; VIOLENCE</b>	<b>14</b>
--	-----------

---

<b>APPENDIX</b>	<b>15</b>
What to Expect When Reporting a Code of Conduct Violation	
Intake	
Review	
Investigation	
Post-Investigation	
Confidentiality	

---

<b>INVESTIGATION PROCESS</b>	<b>17</b>
------------------------------	-----------

---

<b>PORT OF SEATTLE CODE OF ETHICS AND WORKPLACE CONDUCT POLICIES</b>	<b>18</b>
--	-----------

## Port of Seattle Statement of Values

The Port's ethical values were developed by Port employees to guide and shape the Port's philosophy and culture. These values should be reflected in all business transactions, community interactions, and in the workplace.

### **Employees conduct business with the highest ethical standards.**

The Port's business practices reflect integrity, accountability, honesty, fairness, and respect at all levels.

### **Employees honor their commitments to one another, the community, and the Port's customers.**

Employees provide outstanding service and value to each other, Port customers, the citizens of King County, and the region they serve.

### **Employees are capable, high performing people who appreciate the privilege of public service.**

Employees practice open communication, innovation, collaboration, and transparency in all interactions.

### **Employees embrace the richness of a diverse workplace and support employee development.**

Employees encourage a healthy and diverse organization that enhances the Port's contributions locally.

# WE ARE ONE PORT

## SERVING THE PUBLIC

Port employees are public servants entrusted to act on behalf of and for the benefit of the community. As public servants, Port employees work every day to maintain this trust. The Port's reputation as a trustworthy public agency starts and ends with each employee.

## HONORING OUR SHARED VALUES

Port employees achieve their common mission through decisions and actions that honor the Port's values. As employees make choices in their everyday work, they are especially attentive to upholding the Port's ethical values. Employees should always think about what it means to act with integrity, be fair, be honest, and treat others with respect.

## OUR ETHICAL VALUES



## Ask!

To discuss a situation or to ask for guidance in thinking through what to do, reach out to a supervisor or manager, or to:

You also can connect with the Workplace Responsibility Office through the following staff members:

### HUMAN RESOURCES & DEVELOPMENT

#### Assistant Director

Marjorie Hillson  
206.787.3306  
hillson.m@portseattle.org

#### Employee Relations Manager

Cynthia Alvarez  
206.787.4508  
alvarez.c@portseattle.org

### LEGAL DEPARTMENT

#### Code Compliance Officer General Counsel

Craig Watson  
206.787.3218  
watson.c@portseattle.org

#### Senior Port Counsel

Anne Purcell  
206.787.3773  
purcell.a@portseattle.org

#### Ethics Advisor

#### Senior Port Counsel

Traci Goodwin  
206.787.3702  
goodwin.t@portseattle.org

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**Employees are urged to pay attention to their intuition. Intuition often can determine what's right even before there is time to think. A physical reaction, such as a gut feeling, signals a need for more thought before taking action.**

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# EMPLOYEES MAKE GOOD DECISIONS

**Maintaining the public trust requires a daily commitment to making good decisions. This sounds simple, but it's not always easy. Employees should always choose right over wrong, but sometimes understanding which issues to consider is less clear.**

## TAKING TIME TO STOP, THINK & ASK

Whenever an employee feels uncertain about whether an action is the right thing to do, the employee should consider whether they would be comfortable seeing a description of their conduct, or that of somebody else representing the Port, on the front page of the newspaper.

### Questions to Ask



Is this action legal?

Is this action consistent with Port values?

Does this action comply with the Port of Seattle Code of Conduct?

If an employee feels unsure about taking a particular action, the employee should stop and discuss the situation with a supervisor, or with the Workplace Responsibility staff.



# WE FOLLOW THIS CODE

**This Code of Conduct is the Port’s guide to applying the correct ethical values to work and workplace behavior. The conduct standards outlined in this Code express the commitment employees make to Port business partners and customers, the public, and to each other. Employees commit to following the Code because they are legally obligated to do so, and because it’s the right thing to do.**

## UNDERSTANDING EMPLOYEES’ OBLIGATION TO COMPLY

This Code applies to all Port employees. Employees are responsible for following the standards outlined in this Code. Compliance with Code standards is a condition of employment at the Port. Because employees are responsible for following the Code, violations of it, or violations of the laws that underlie it, will subject employees to disciplinary action. Disciplinary action can include termination.

Although this Code can’t provide specific guidance for every situation employees may face, most issues can be addressed by referring to this Code and the resources posted on the Workplace Responsibility Compass page. When in doubt, employees should ask for help.

Conflict of interest and ethics issues in particular are not always obvious or clear. It’s better to: “Stop. Think. Ask.”

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**Employees should not violate the Code even if doing so would lower costs, improve performance, or provide any other beneficial effect.**

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### Q&A

**Where can employees find the Workplace Responsibility Compass page?**

Go to the Port’s Compass page and look under the “Quick Links” tab for Workplace Responsibility.

## **APPLICATION TO REPRESENTED EMPLOYEES**

This Code applies to represented employees. If a particular Code standard constitutes a change in working conditions under an applicable collective bargaining agreement or other negotiated agreement between the Port and a union, or is contrary to a bonafide past practice, an opportunity to bargain the change will be provided before employees of that bargaining unit are held responsible for complying with that standard.

## **EXPECTATIONS OF MANAGERS AND SUPERVISORS**

Supervisors and managers have additional responsibilities. They are expected to:

- Understand this Code and set an example for others by referring to it, making good decisions, and seeking guidance when in doubt
- Review parts of this Code with their team members and encourage identification of issues and questions
- Create an environment in which employees can raise concerns without fear of retaliation
- Ensure that all Port teams complete all required Code certifications and compliance training





# EMPLOYEES HOLD THEMSELVES ACCOUNTABLE

**Accountability is one of the Port’s ethical values. Employees take responsibility by speaking up when they have concerns, and holding each other accountable by calling out conduct that violates this Code.**

## SPEAKING UP

Employees hold themselves and each other accountable for following this Code. This means employees speak up whenever they have a question about a situation that concerns them. By speaking up, employees provide an opportunity for others to stop, think, and ask before a decision is made or any action is taken.

If employees have questions or concerns about anyone’s conduct, or are unsure how to handle a situation, they should:

- Talk to a supervisor or manager or
- Reach out to any of the Workplace Responsibility resources

## REPORTING CODE VIOLATIONS

If employees believe any employee is not living up to this Code, or the law, they should promptly report it.

Port employees are encouraged to report all potential violations, but they must report the following misconduct:

- Violations of the Employee and Consultant Ethics and Conflict of Interest policies (see pages 19–15)
- Fraud Awareness & Prevention (see pages 29–31)
- Violations of the Information Systems and Services Acceptable Use and Corporate Use of Social Media policies (see pages 32–35)

## MANAGERS AND SUPERVISORS

Supervisors and managers are held to a higher level of responsibility. They must promptly report all potential Code violations if they have reason to believe that violations may have occurred, or if someone reports a potential violation to them.

“I like knowing there are places to turn to when I have a question or concern.”

**Employees should trust their instincts. They should ask questions or raise concerns, rather than ignore behavior that could become a serious problem.**

**If any employee is concerned that a situation poses an immediate threat, they should call 911.**

## Designated Reporting Resources

**Ethics & Compliance Hotline**  
1.877.571.5237

**Email**  
workplaceresponsibility@portseattle.org

### HUMAN RESOURCES & DEVELOPMENT DEPARTMENT

**Employee Relations Manager**  
Cynthia Alvarez  
206.787.4508  
alvarez.c@portseattle.org

**Consultant**  
Matthew Bullock  
206.787.5860  
bullock.m@portseattle.org

### LEGAL DEPARTMENT

**Code Compliance Officer**  
**General Counsel**  
Craig Watson  
206.787.3218  
watson.c@portseattle.org

**Ethics Advisor**  
**Senior Port Counsel**  
Traci Goodwin  
206.787.3702  
goodwin.t@portseattle.org

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**No matter what reporting resource employees use, their concerns are promptly reviewed for follow up.**

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## REPRESENTED EMPLOYEES

The Code's reporting obligations apply equally to represented and non-represented employees.

## WHERE TO REPORT

Employees should report a potential Code violation to a supervisor or manager, or to a designated Reporting Resource, listed at left. Supervisors and managers must report any potential violation of the Code to one of the Port's designated Reporting Resources.

The Port's designated Reporting Resources includes the Ethics & Compliance Hotline. Operated by a third party to facilitate confidential reporting, this hotline is available 24 hours a day, 7 days a week. Reports can be made anonymously. Any information reported to the designated Reporting Resources is referred to the Workplace Responsibility Office for review and follow up.

## REVIEW & INVESTIGATION

Workplace Responsibility staff reviews each report to determine how to best follow up. Some reports are referred to appropriate agencies. Other times, it can be appropriate to conduct a full investigation.

If an investigation is deemed to be appropriate, employees who are contacted as part of the investigation are expected to cooperate and provide truthful information. For more information on Workplace Responsibility's process for reviewing and following up on reports, go to "What to Expect When Reporting a Violation" on page 16.

## THE PORT IS COMMITTED TO NON-RETALIATION

The Port promotes and supports a workplace where it is safe to speak up without fear of retaliation. Employees shall never engage in or tolerate retaliation against anyone who in good faith raises a concern, reports a possible violation, or participates in the investigation of a report.

**Retaliation is a negative action taken against an employee because the employee reported or participated in an investigation of a potential Code violation. A negative action is one that would dissuade a reasonable person from making a report or participating in an investigation. Retaliation can take the form of threats of or actual suspension, termination, harassment, demotion or intimidation.**

Anyone found to have retaliated against a Port employee who raised a concern, reported a potential violation, or participated in an investigation will be subject to disciplinary action, up to and including termination. Anyone who reports a concern or potential violation in bad faith also will be subject to disciplinary action, up to and including termination.

## Recording Time

Employees must accurately record time worked. They should let their supervisor or manager know if they have problems recording their time properly.

### **Salaried employees shall:**

- Always ensure that the total number of hours they record in their bi-weekly time report accurately reflects the minimum number of hours that they actually worked
- Never record hours for a day when they were not performing their work

### **Hourly employees shall never:**

- Work without pay, including not recording hours for work done at home
- Move hours from one day to another on a time record to avoid overtime
- Record time for each other
- Inaccurately record time worked
- Remove correctly recorded hours from a time record

# EMPLOYEES ARE HONEST

**Honesty is one of our ethical values. We maintain the public's trust, and our trust in each other, through transparency, truthfulness and accurate record keeping.**

## BEING OPEN AND TRUTHFUL

Employees are forthright and truthful because it's the right thing to do. Telling the truth can feel uncomfortable, or can mean that one will be the bearer of bad news. Because Port employees are committed to openness and truthfulness, they must never engage in acts of dishonesty. Dishonest acts include intentional misrepresentation, concealment, omission or other deceptive or misleading behavior for the purpose of improperly advancing a personal or outside interest or improperly benefitting the Port.

A particularly serious form of deception is fraud. Fraud at the Port includes any act of deception that could result in personal gain. Fraud includes diverting Port resources to an outside entity or to an individual without authorization. Fraud may exist whether or not there is actual harm to the Port. Forgery or any unauthorized alteration of Port records or documents also is prohibited.

Cheating is another form of dishonesty that the Port does not tolerate. Cheating refers to a knowing and intentional violation of the rules. Cheating can include taking or administering a test in an unfair way.

## KEEP ACCURATE AND COMPLETE RECORDS

Employees strive to ensure that the information they put in their records is accurate and complete. This obligation extends to time records, expense reports, budget, accounting and financial documents, decision memos, contracts and service agreements, payments and other transactions.

## DUTY TO REPORT FRAUD

As responsible stewards of public resources, Port employees have an affirmative duty to immediately report information that they know or have reason to believe indicates potential fraud, forgery or cheating. Our duty to report fraud includes reporting activity that occurred in the past, but has only recently become apparent. Employees must report their concerns to a designated Reporting Resource, even if they have already made a report to law enforcement.

## Reporting Theft of Port Property

First, immediately contact:

**Port of Seattle**

**Police Department**

206.787.5401

(Or local police agency if theft occurs off Port property)

and

**ICT Service Desk**

206.787.3333

(If stolen item is an electronic data device)

and

**Ethics & Compliance Hotline**

1.877.571.5237

**Second, complete an Incident Report:**

- Go to Compass Quick Links
- Under Forms & Templates open Risk & Liability Online Incident Report
- Complete and submit Port Property Loss Form

## Reporting Losses of Port Property

**First, complete an Incident Report**

- Go to Compass Quick Links
- Under Forms & Templates open Risk & Liability Online Incident Report
- Complete and submit Port Property Loss Form

**Second, immediately contact ICT Service Desk**

206.787.3333

(If the loss involves an electronic data device)

# REPORT STOLEN OR LOST PORT PROPERTY

**As responsible public servants, employees are committed to preventing and minimizing the theft and loss of Port resources.**

## DUTY TO REPORT THEFT

All employees are responsible for immediately reporting any known or suspected theft of Port resources. Even if the value of the loss is small, the Code does not relieve employees of the obligation of reporting the theft. Theft occurring on Port property must be reported immediately to the Port of Seattle Police Department.

If the theft involves a Port computer, laptop, tablet, smartphone or other electronic data device, you should also immediately contact Information & Communications Technology (ICT) so the device can be blocked from unauthorized use and any sensitive or confidential information can be deleted. If an employee has reason to believe that another Port employee committed the theft, the employee must also report the theft to Workplace Responsibility.

## DUTY TO REPORT LOSSES

Employees must promptly report known or potential losses of Port resources exceeding \$50 in value (individually, or recurring smaller losses that total \$50 or more). This responsibility to report losses extends to those losses that occurred in the past, but which have only recently become apparent.

The following activities need not be reported, but should be recorded in the accounting system and monitored for any unusual trends:

- Normal “over and short” situations from cash receipting operations
- Reasonable inventory shortages identified during a physical count



# THE PORT OF SEATTLE IS AN EQUAL OPPORTUNITY WORKPLACE

## **We are committed to non-discrimination and reasonable accommodation**

The Port of Seattle is an equal opportunity employer and is committed to fostering a diverse workforce. The Port does not tolerate any discrimination in the workplace that is prohibited by local, state, or federal law such as discrimination based on age, race or sex. In addition to making a commitment to inclusion, the Port expects its employees to be tolerant, accept individual differences, and avoid stereotyping others.

The Port also recognizes that employees with physical or mental disabilities may need reasonable accommodations in order to perform the essential functions of their jobs. The Port and the employee work together to identify possible accommodations.

The Port also offers reasonable accommodation for an employee's sincerely held religious belief that conflicts with a workplace rule.

Employees who wish to request an accommodation of a disability or religious belief should contact the Director of Human Resources and Development (HRD).



# THE PORT OF SEATTLE IS A WORKPLACE FREE OF ALCOHOL, ILLEGAL DRUGS & VIOLENCE

The Port is committed to proactively preventing workplace violence and maintaining a safe and efficient working environment. It's important that both employees and the public are free from threats of violence at Port facilities. Threatening behaviors include threats of physical injury, aggressive or hostile behavior, threats to property, or possession of a firearm that is not associated with Port duties. In addition, it is possible that domestic violence could intrude into the workplace. Employees should raise any concerns they may have about any domestic violence situation, including their own, with HRD.

Employees are responsible for reporting any violation of this policy to a manager or the Director of HRD. Supervisors and managers are held to a higher degree of responsibility and must promptly report any violations of this policy to the Director of HRD. The Port is committed to promptly investigating any reports of threats or violence.

The Port also is committed to maintaining a drug-free workplace and does not tolerate employees being impaired due to the influence of alcohol or illegal drugs during work hours. Employees impaired by illegal drugs or alcohol are a serious threat to workplace safety and job performance. Employees are encouraged to report any concerns regarding a coworker's suspected intoxication/impairment to managers or the Director of HRD. Supervisors and managers are held to a higher standard of responsibility and must report any instance of an employee being impaired to the Director of HRD. The Port will promptly and thoroughly investigate any policy violation reports.

# APPENDIX I

## WHAT TO EXPECT WHEN MAKING A REPORT

The Port follows a well-defined process in receiving, reviewing and, where appropriate, investigating reports of potential violations. This procedure promotes responsiveness, fairness and consistency in how reports are handled and resolved.

### Intake

The Intake Phase is intended to achieve a full understanding of a reported concern. After making a report, the reporter will be asked to provide details to a trained interviewer. The interviewer also may review pertinent records or documents and other background information to confirm reported details.

**Q: Are the subject of a report and/or potential witnesses contacted during the intake phase?**

**A: No. During intake, as many factual details as possible are collected about the report to assess its credibility and determine appropriate next steps. Only if a full investigation is deemed to be appropriate will the subject and potential witnesses be contacted.**

### Review

The response to a report is determined during the Review Phase. This determination is made by a cross-department Review Team, which includes representatives from HRD, Labor Relations, the Legal Department, and Workplace Responsibility.

In determining whether an investigation is appropriate, the Workplace Responsibility Review Team uses the following standard: If true, would the reported facts constitute a potential violation of this Code or potential improper government action? If the answer is “yes,” an investigation will be initiated. If the answer is “no,” the reporter is notified and, if appropriate, referred to another resource who can help resolve the concern.

**Q: What if an employee reports conduct that involves a member of the Review Team, or a leader in that person’s department? Will that member be involved in reviewing or discussing the report?**

**A: No. He or she would not be allowed to participate in any review or discussion of the report, or given any information about the report.**

### **Investigation**

The investigation's purpose is to independently gather and objectively assess facts to determine whether a Code violation or improper governmental action occurred. Workplace Responsibility and HRD staff generally conduct investigations under the supervision of or in coordination with Legal staff. Investigations of represented employees are conducted in accordance with requirements contained in their collective bargaining agreement.

Employees are expected to cooperate with workplace investigations and to provide truthful information. The investigator may ask the reporter and witnesses to avoid discussing the investigation with others.

### **Post-Investigation**

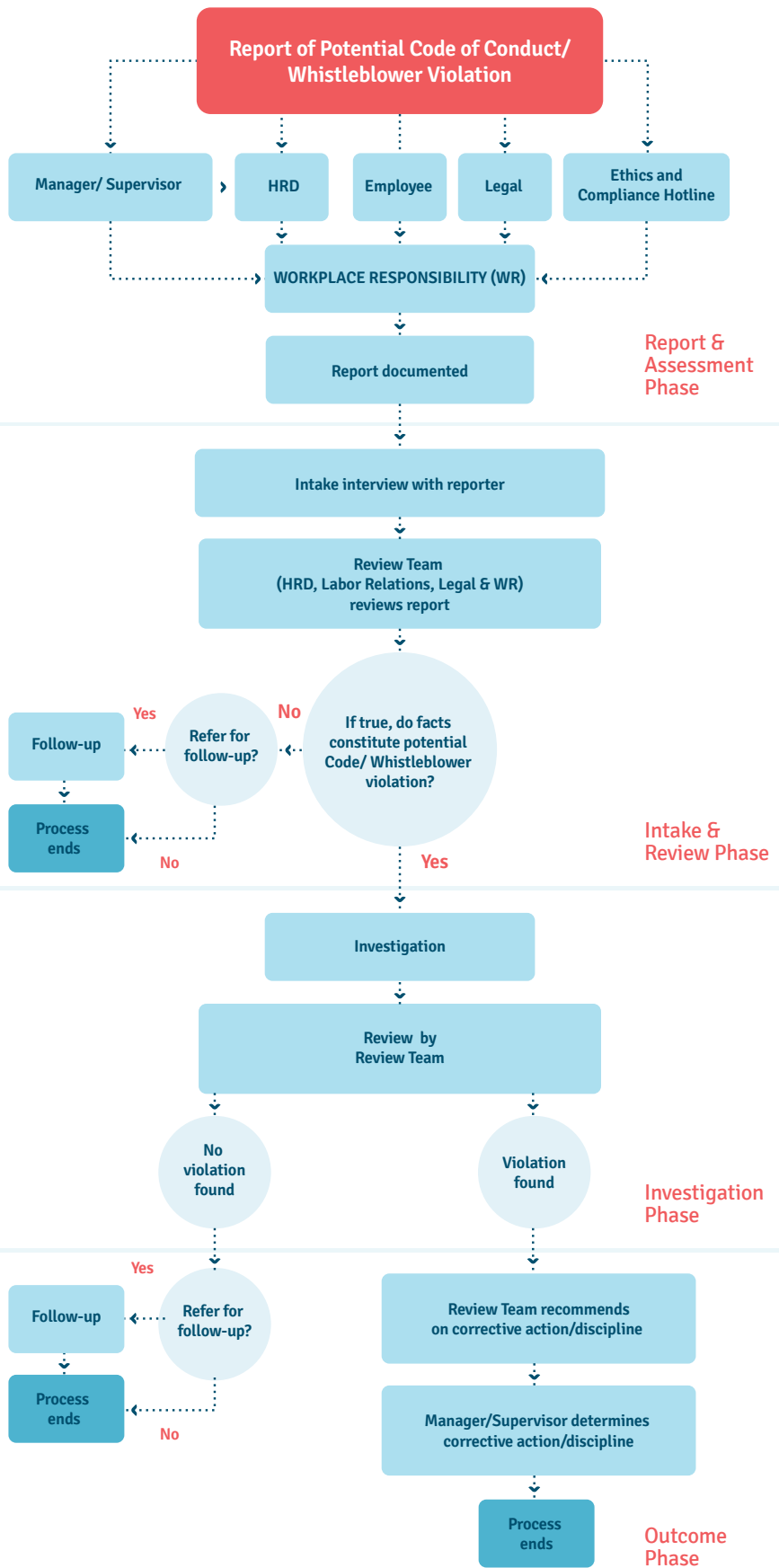
Following an investigation, the reporter, subject, and subject's supervisor or manager are notified of the findings. If the investigation substantiates a violation, the Review Team members will recommend corrective action or discipline that they deem is fair and consistent with that imposed for similar violations. The subject's manager or supervisor ultimately is responsible for determining and imposing corrective action or discipline.

### **Confidentiality**

Every attempt is made to protect the identity of reporters and witnesses, as well as protect the confidentiality of the information they provide. However, the reporter's confidentiality cannot be guaranteed. Public records disclosure requirements or an applicable collective bargaining agreement may require the Port to disclose reports and investigation records.



# INVESTIGATION PROCESS



# APPENDIX II

## PORT OF SEATTLE

### CODE OF CONDUCT

#### CC-01

##### EMPLOYEE ETHICS AND CONFLICT OF INTEREST

###### Serving the Port Loyally

###### CC-1 as of 1.1.10

#### I. THE PORT'S INTERESTS COME FIRST

Port of Seattle employees are expected to serve the Port with the highest standards of ethical conduct and to avoid situations that create a real or perceived “conflict of interest.” A “conflict of interest” exists when an employee’s duty to give undivided loyalty to the Port is influenced, or could be influenced, by personal interest. The fact of a conflict of interest is not in itself a violation of the policy. Instead, it is something that should be reported (see Section IV) so the Port may ensure that decisions are not made that could be influenced by the conflict of interest, or perceived to have been influenced by it.

Port employees must ensure that any outside activity or personal interest is kept separate from their position at the Port and does not influence their business judgment on the Port’s behalf. Port employees need to use common sense and keep the interests of the Port paramount at all times. In addition to avoiding actual conflicts of interests, Port employees should avoid situations that could appear to be a conflict of interest.

Ethical issues and conflicts of interest are not always obvious or clear. It is far better to raise issues in advance and get guidance than to make the wrong judgment call. **Thus, when in doubt, please review the situation with the Workplace Responsibility Office.**

This policy is intended to:

- Guide employees so that they consistently conduct Port business without being influenced by considerations of personal advantage or gain

- Help employees identify potential ethical concerns and conflicts of interest
- Require employees to disclose potential conflicts of interest; and
- Require employees to report potential policy violations

No policy can adequately substitute for personal honesty, common sense and good judgment. At a minimum, Port employees are expected to apply these attributes to their daily job-related activities. Port employees are expected to conserve and responsibly use the resources the public has entrusted to the Port, to act in accordance with applicable laws, and to conduct all Port business in a manner that will reflect positively on the Port, its employees and the community.

#### II. REAL OR PERCEIVED CONFLICTS OF INTEREST

Port employees must avoid real, or perceived, conflicts of interest between their private activities and their duties and responsibilities as employees. At a minimum, potential conflicts should be reported so that the Port may consider what, if any, actions should be taken to ensure that decisions are not influenced (or perceived to be influenced) by personal interests.

The following are examples of situations in which an employee may feel conflicting loyalties between what is in the best interest of the Port and what may be in the best interest of the employee. For purposes of this policy, “Relative” is defined to include an employee’s spouse, domestic partner, parents, children, cousins, nieces, nephews, grandparents, grandchildren, in-laws, and any person with whom the employee has a relationship that is substantially equivalent to any of the above.

### **A. Conflicts from Business Relationships**

A conflict of interest may exist when an employee, an employee's Relative, or someone with whom an employee has a significant personal relationship, directly or indirectly, has a Financial or Beneficial Interest in, or operates, an organization that competes with the Port, is doing business with the Port, or plans to do business with the Port. Employees should, therefore, avoid owning interests in or operating companies that compete with the Port, or that sell (or plan to sell) products or services to the Port, other than minimal amounts of stock in publicly-traded companies.

The Port's policy is to award business solely on merit, without favoritism, by securing the best product or service available at the best price. Therefore, an employee must disclose to the Workplace Responsibility Office the existence of any Financial or Beneficial Interest which, because of its existing or potential relationship to the Port, could create a present or future conflict of interest. An employee shall be presumed to have knowledge of any Financial or Beneficial Interest held by a Relative.

For purposes of this policy, "Financial or Beneficial Interest" is defined to include: (a) a creditor, debtor or ownership interest in an amount or value in excess of \$1,500; (b) any employee, consultant or partnership arrangement; or (c) any option to purchase real or personal property.

No employee shall have a Financial or Beneficial Interest, direct or indirect, in any contract that may be made by, through or under the supervision of the employee, or for the benefit of the Port. No employee shall accept, directly or indirectly, any compensation, gratuity or reward in connection with such contract from any other person beneficially interested therein.

An employee shall not participate in any decision-making, review, approval, selection, authorization or supervisory activity concerning any contract or Port transaction in which he/she or his/her Relative has a Financial or Beneficial Interest.

### **B. Conflicts from Outside Employment**

Working with any organization that has a business relationship with the Port, or seeks to have one, results in a conflict of interest if that business receives, or may receive, more favorable treatment as a result of the employee's relationship with the business. As a result, working for those with whom the Port has a business relationship is prohibited unless expressly approved in writing by the Workplace Responsibility Office.

Even if outside employment is with an organization that does not have a business relationship with the Port, conflicts of time and energy may arise. Accordingly, salaried, exempt employees must obtain prior written approval from his or her Department Head before holding a job with another organization. If such approval is granted, the employee acknowledges that satisfactory job performance with the Port must be maintained and that no conflict of interest can exist.

All employees with other jobs will continue to be judged by the same performance standards and will be subject to the Port's scheduling demands, regardless of any existing outside work requirements. If the Port determines that an employee's outside work interferes with performance or the ability to meet the Port's changing requirements, employees may be asked to terminate outside employment in order to continue employment with the Port.

### **C. Improper Compensation**

No employee may, directly or indirectly, ask for or give or receive or agree to receive any compensation, gift, reward or gratuity from a source for performing or omitting or deferring the performance of any official duty, unless otherwise authorized by law. See also Gifts and Hospitality Policy.

### **III. USE OF POSITION FOR PERSONAL BENEFIT**

One particular type of conflict of interest arises when an employee is in a position to exploit his or her role with the Port to advance his or her personal interest. A conflict of interest also arises when an employee may have competing loyalties between his or her personal interests and the Port's business. Employees must avoid circumstances in which it appears, or to a reasonable person might appear, that the employee is requesting or otherwise

seeking special consideration, treatment or advantage because of the employee's position with the Port.

#### **A. Obtaining Special Privileges**

Port employees shall not use their employment position to secure special privileges or exemptions for themselves or a Relative. This includes obtaining any information, item or service from Port customers, suppliers, contractors, consultants, or lessees (or potential customers, suppliers, contractors, consultants, or lessees) or other Port employees. It also includes an employee using his position at the Port to help a Relative get a job offer from the Port or to obtain a job offer from a Port vendor.

#### **B. Use of Port Equipment**

Employees are expected to use Port-owned property and equipment for official Port business. An employee shall not take or use Port-owned property and equipment for personal purposes, convenience or profit. This includes taking or using fleet vehicles, shop tools, fax machines, copiers, postage, office supplies, cameras, cell phones and laptops.

It is not a violation of this policy for an employee to (i) engage in the incidental personal use of such property or equipment (such as sending/receiving personal e-mails while using a Port-owned laptop) while at the workplace, or (ii) engage in other incidental uses of such property or equipment that may be specifically permitted by a CEO's adopted policy (such as an employee's use of a Port assigned cell phone to make a long distance call to a family member while traveling on Port business, in accordance with Procedure AC-2) or CEO written authorization. See also Information systems and Services Acceptable Use Policy CC-7.

#### **C. Safeguarding Confidential Information**

An employee shall not disclose "Confidential Information" to third parties. "Confidential Information" includes, without limitation, any information in whatever form that the Port considers to be confidential, proprietary information and that is not publicly or generally available relating to: trade secrets (as defined by the Uniform Trade Secrets Act); matters discussed during Executive Sessions; requests for proposals; proposed or pending real estate transactions; personnel matters; all matters not subject to public disclosure; attorney-

client privileged communications and attorney work product; research and development; product, content and technology development plans; marketing; databases; inventions; research data and mechanisms; procedures; engineering; purchasing; accounting; sales; customers; advertisers; investors; suppliers; financial status; contracts or employees.

The Port's definition of Confidential Information for purposes of an employee's requirements under this policy covers more information than may fall within the public records disclosure rules. While the Port is committed to transparency as a public agency, it also is respectful of employees and wants to foster an environment in which opinions may be aired without fear of publicity. It also needs to be able to formulate business strategy internally and make decisions about when such discussion is ready for more public debate. Thus, if you have a question about whether information is confidential, please consult with the Workplace Responsibility Office before communicating it externally.

An employee shall not use Confidential Information in any manner that is detrimental to the Port. This restriction applies regardless of whether the use or disclosure of Confidential Information results in any benefit to the employee or the employee's Relative.

An employee shall not use Confidential Information for the benefit of the employee or employee's Relative. An employee shall not accept secondary employment or engage in business or professional activities that the employee might reasonably expect would require or induce him/her to disclose Confidential Information.

#### **IV. DUTY TO REPORT CONFLICTS OF INTEREST**

Employees must report to the Workplace Responsibility Office all potential situations that could present a real or perceived conflict of interest, including Financial or Beneficial interests held by the employee in entities doing business with the Port. The fact of a conflict of interest is not, in and of itself, a policy violation. Rather, it is the failure to disclose a real or potential conflict of interest, and/or taking action on behalf of the Port when there is a real or perceived conflict of interest that is of concern to the Port.

After an employee discloses a real or potential conflict of interest, the Workplace Responsibility Office will document the disclosure and determine any steps that should be taken to avoid the employee's participation in any decision. Employees also should report all potential conflicts of interest, financial or otherwise, of another employee who is in a position to influence the selection, non-selection, or conduct of business between the Port and any entity.

In an effort to assist employees in identifying and disclosing potential conflicts of interest, the Port will periodically ask employees to complete a "Statement of Financial or Beneficial Interests" and disclose information that may relate to an actual or perceived conflict of interest.

#### V. REPORTING CONCERNS OR VIOLATIONS

All employees have a responsibility for ensuring that this policy is followed. Concerns and potential violations should be reported to the Workplace Responsibility Office, or anyone identified in the "Reporting Concerns or Violations" policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports of potential violations must promptly report them to the Workplace Responsibility Office. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See "Reporting Concerns or Violations" policy for more detail.

For further information, please contact the Workplace Responsibility Office.

## CC-02

### CONSULTANT ETHICS AND CONFLICT OF INTEREST

Serving the Port With Integrity  
CC-2 as of 8.16.2011

Original – 1.1.2010 Revisions: 8.16.2011

#### I. THE PORT'S INTERESTS COME FIRST

Port of Seattle consultants ("Consultants") are expected to serve the Port with the highest standards of ethical conduct and to avoid situ-

ations that create a real or perceived "conflict of interest." Consultants are also expected to conserve and responsibly use the resources that the public has entrusted to the Port, to act in accordance with applicable laws and professional standards and to conduct business with the Port in a manner that will reflect positively on the Port, its employees, its consultants, and the community.

For purposes of this policy:

"Consultant" or "Consultants" refers to any organization or individual that responds to a Port solicitation or receives compensation directly or indirectly from a Contract with the Port. The term "Consultant" or "Consultants" includes individuals working for or on behalf of the consulting organization.

"Contract" refers to an agreement for the provision of personal or professional services.

"Financial or Beneficial Interest" is defined to include (a) a creditor, debtor or ownership interest in an amount or value in excess of \$1,500; (b) any employee, consultant or partnership arrangement; or (c) any option to purchase real or personal property. A Consultant shall be presumed to have knowledge of any Financial or Beneficial Interest held by a Relative.

"Representing Consultant" is a Consultant who is retained to represent, or who gives the appearance of representing, the Port.

"Relative" is defined to include a Consultant's spouse, domestic partner, parent, child, sibling, aunt, uncle, cousin, niece, nephew, grandparent, grandchild, in-law, and any person with whom the Consultant has a relationship that is substantially equivalent to any of the above.

A "conflict of interest" exists when a Consultant's obligations and commitments to the Port are, or may be, in conflict with the Consultant's financial or other personal interest, or with the Consultant's obligations or commitments to others. A conflict of interest may exist in a specific Contract, or when the nature of the services to be performed in a specific Contract creates an actual or potential conflict of interest in future work for the Port. Consultants must ensure that any finan-

cial or personal interest, or other business activity, is kept separate from their consulting role at the Port and does not influence their services to the Port. Consultants need to use common sense and keep the interests of the Port in mind at all times. In addition to avoiding actual conflicts of interests, Consultants must avoid situations that could appear to be a conflict of interest.

Conflicts of interest are not always obvious or clear. When in doubt, review the situation with the Port Central Procurement Office representative identified in the solicitation (“CPO Representative”) or the Port project manager identified in the Contract. (“Project Manager”). You may also contact the Port Workplace Responsibility Office with any questions about this policy or to review a potential conflict of interest situation or other ethics issue.

## **II. REAL OR PERCEIVED CONFLICTS OF INTEREST**

The following are examples of situations in which a Consultant may feel conflicting loyalties between the Consultant’s private interests or other business activities and the Consultant’s responsibilities and commitments to the Port.

### **A. Disclosable Conflicts from Business Relationships**

The fact of a disclosable conflict of interest is not in itself a violation of this policy. Instead, it is something that must be disclosed and waived by the Port. The fact of a disclosable conflict of interest is not in itself a violation of this policy. Instead, it is something that must be disclosed and waived by the Port.

A conflict of interest may exist when a Consultant performs services for another entity if those services (i) potentially adversely impact the Port of Seattle or (ii) require or result in disclosure of confidential information.

A conflict of interest may exist when a Representing Consultant, a Relative, or someone with whom a Representing Consultant has a significant personal relationship, directly or indirectly, owns any significant interest in or operates an organization that competes with the Port, is doing business with the Port, or plans to do business with the Port. Representing Consultants should, therefore, avoid

owning interests in or operating companies that compete with the Port, other than minimal amounts of stock in publicly traded companies.

A conflict may also arise when a Representing Consultant or a Relative is employed by or represents a regulatory agency with authority over Port functions.

**Duty to Disclose:** Consultants must disclose to the CPO Representative or Project Manager all potential situations that could present a real or perceived conflict of interest. The disclosure should be made as soon as practicable, but not later than seven days after the potential conflict was known or should reasonably have been known to the Consultant. The Port will document the disclosure. The Central Procurement Office, with the concurrence of the Workplace Responsibility Office, will determine whether the Port will waive the conflict of interest and/or identify appropriate steps to be taken to avoid or mitigate the conflict of interest. The Consultant shall not execute any contracts or perform any services for the Port of Seattle that are related to the actual or perceived conflict of interest unless and until a waiver is granted.

### **B. Prohibited Conflicts**

Prohibited conflicts are a violation of this policy and must be disclosed to the Port.

No Consultant shall accept, directly or indirectly, any compensation, gratuity or reward in connection with a contract from any other person beneficially interested therein.

A Consultant shall not participate in any decision-making, review, approval, selection, authorization or supervisory activity concerning any contract or Port transaction in which the Consultant or a Relative has a Financial or Beneficial Interest.

A Consultant shall not, directly or indirectly, ask for or give or receive or agree to receive any compensation, gift, reward, or gratuity from a source outside the Port for performing, omitting, or deferring the performance of any contractual, legal or professional obligation relating to the Consultant’s consulting role, unless otherwise authorized by law.

A conflict of interest arises when a Consultant is in a position to exploit the Consultant’s role or use of Port resources to advance

the Consultant's financial or other business or personal interests. Consultants must avoid circumstances in which it appears, or to a reasonable person might appear, that the Consultant is requesting or otherwise seeking special consideration, treatment or advantage because of the Consultant's engagement with the Port.

Consultants shall not use their consulting role to secure special privileges or exemptions for themselves or a Relative. This includes obtaining any items or services at below market rates or confidential information from Port customers, suppliers, contractors, consultants, or lessees (or potential customers, suppliers, contractors, consultants, or lessees) or other Consultants. It also includes a Consultant using his or her engagement with the Port to help a Relative get a job offer from the Port or obtain a job offer from a Port business partner.

**Duty to Disclose:** Consultants must disclose to the CPO Representative or Project Manager all situations that potentially or actually constitute a prohibited conflict of interest. The disclosure should be made as soon as practicable, but not later than seven days after the prohibited conflict was known or should reasonably have been known to the Consultant.

### **III. Use of Port Equipment**

Consultants are expected to use Port-owned property and equipment for official Port business related to an existing Contract. Consultants may not use Port owned property or equipment for any other business purpose.

A Consultant shall not take or use Port-owned property and equipment for personal purposes, convenience, or profit. This includes, but is not limited to, taking or using Port vehicles, shop tools, fax machines, copiers, postage, office supplies, cameras, smartphones and laptops. It is not a violation of this policy for a Consultant to engage in de minimis or incidental personal use of such property or equipment while at the Port workplace.

When using Port electronic systems and social media, Consultants must comply with the Port's Electronic Systems and Social Media policies, which are posted on the Port's public web site.

## **IV. SAFEGUARDING CONFIDENTIAL INFORMATION**

A Consultant shall not use or disclose confidential information to third parties, unless authorized by the Port in writing. "Confidential Information" includes, without limitation, any information in any form that the Port considers to be confidential and proprietary, and is not publicly available. A Consultant shall not use Confidential Information for the benefit of the Consultant or a Relative. A Consultant shall not use or disclose Confidential Information in any manner that is detrimental to the Port, regardless of whether the use or disclosure results in any benefit to the Consultant or Relative.

### **A. Employment**

A Consultant shall disclose an offer of employment or receipt of compensation from an Employer if the Consultant knows, has reason to believe, or the circumstances would lead a reasonable person to believe, that the offer of employment or compensation was intended, in whole or in part, directly or indirectly, to influence the Consultant or as compensation or reward for the performance or nonperformance of a duty by the Consultant during his/her Port engagement. For purposes of this policy, "Employer" means any person, partnership, association, corporation, firm, institution, or other entity, whether or not operated for profit.

## **V. EXPECTATIONS OF FORMER CONSULTANTS**

For purposes of this policy, "Termination" of Port engagement is defined as the latest date on which the Consultant provided services on a Contract or, in the case of a retainer, was paid for services.

### **A. Disclosure Requirements**

For one (1) year after Termination of a Port engagement, a Former Consultant must disclose the Former Consultant's past Port engagement to the Port before participating in any Port business or activity and must also disclose the Former Consultant's past Port engagement before participating in any proceeding before the Commission. The disclosure shall be made in writing to the CPO Representative or Project Manager and/or the Commission President.

### **B. Special Consideration Prohibited**

A Former Consultant shall not request or otherwise seek special consideration, treatment or advantage from other Port staff or Port Commissioners. A Former Consultant shall avoid circumstances in which it might appear to a reasonable person that the Former Consultant requesting or otherwise seeking or receiving special consideration, treatment or advantage from other Port staff or Port Commissioners.

### **C. Appearances Before Commission**

For one (1) year after Termination of Port engagement, a Former Consultant may not appear before the Port Commission on behalf of another individual or entity, whether or not for compensation of any kind, in relation to any matter, issue, contract, case, proceeding, application or matter in which such Former Consultant participated in a decision-making, negotiation, review, selection, supervisory or other significant activity.

By way of limited exception, the Commission may waive this provision if so requested by a Former Consultant and after public discussion and a finding by the Commission that the public or the Port's interests would be better served. The Former Consultant must seek application to participate in the proceeding at least 14 days in advance of the Commission meeting. Such application shall be submitted in writing to the Central Procurement Office identifying all facts and the rationale for the appearance.

### **D. Participation in Contracts with the Port**

A Former Consultant may not participate as a competitor in any competitive selection process, or have a direct or indirect Financial or Beneficial Interest in any agreement, contract, concession, or lease that was made by, authorized or funded by Port action in which the Former Consultant participated in a decision-making, negotiation, review, preparation, selection, supervisory or other significant activity.

After one (1) year following Termination of a Former Consultant's Port engagement, the Port may waive this provision at its sole discretion. The Central Procurement Office, with the concurrence of the Workplace Responsibility Office, will make this determination.

The waiver shall be in writing and identify all facts and the rationale for the waiver. The waiver shall be granted prior to a Former Consultant participating in a competitive selection process or obtaining a Financial or Beneficial Interest.

## **VI. REPORTING OTHER POTENTIAL VIOLATIONS**

Consultants should report potential conflicts of interest, financial or otherwise, of any Port employee or other Consultant who is in a position to influence the selection, non-selection, or conduct of business between the Port and any entity. Reports should be made to the Port Workplace Responsibility Helpline (206.787.4357) or the Ethics & Compliance Hotline (1.877.571.5237). Consultants will not be retaliated against for reporting good faith concerns or potential violations of this policy.

For further information about this policy, please contact the Port Workplace Responsibility Helpline.

## **CC-03**

### **FORMER EMPLOYEE ETHICS AND CONFLICT OF INTEREST**

**Serving the Port Loyally**

**CC-3 as of 1.1.10**

#### **I. THE PORT'S INTERESTS COME FIRST**

Former Employees of the Port of Seattle who are engaging in transactions with the Port shall do so in an ethical manner and in accordance with this policy. The purpose of this policy is to ensure that Port employees are not influenced in their decision-making and actions by the possibility of obtaining employment or other advantages with third parties after leaving the Port. It is also designed to ensure that Former Employees do not use their prior position at the Port for special consideration or advantage.



## II. EXPECTATIONS OF FORMER EMPLOYEES

### A. Special Consideration Prohibited

A Former Employee shall not request or otherwise seek special consideration, treatment or advantage from other Port staff or Port Commissioners. A Former Employee shall avoid circumstances which to a reasonable person might appear that the Former Employee is requesting or otherwise seeking or receiving special consideration, treatment or advantage from other Port staff or Port Commissioners.

### B. Appearances Before Commission

For one (1) year after “Termination” of Port employment, a Former Employee may not appear before the Port Commission on behalf of another individual or entity, whether or not for compensation of any kind, in relation to any case, proceeding, application or matter in which such Former Employee participated in a decision-making, negotiation, review, selection, supervisory or other significant activity during his/her period of Port employment. By way of limited exception, the Commission may waive this provision if so requested by a Former Employee and after public discussion and a finding by the Commission that the public or the Port’s interests would be better served. For purposes of this policy, “Termination” of employment is defined as the latest date for which the employee is receiving any pay or benefits from the Port, even if the employee ceased to provide services to the Port earlier in time. Termination includes all voluntary and involuntary separations from employment, regardless of the reason for the separation.

### C. Participation in Contracts with Port of Seattle

For one (1) year after Termination of Port employment, a Former Employee may not have a direct or indirect Financial or Beneficial Interest in any contract that was made by, authorized or funded by Port action in which the Former Employee participated in a decision-making, negotiation, review, selection, supervisory or other significant activity during his/her period of Port employment. “Financial or Beneficial Interest” is defined to include (a) a creditor, debtor or ownership interest in an amount or value in excess of \$1,500; (b) any employee, consultant or partnership arrangement; or (c) any option to purchase real or personal property.

### D. Participation in Competitive Selection

Process For one (1) year after Termination of Port employment, a Former Employee may not participate as a competitor in any competitive selection process for a Port contract in which the Former Employee participated in a decision-making, negotiation, review, selection, supervisory or other significant activity in any way during his/her Port employment.

### E. Disclosure Requirements

For one (1) year after Termination of Port employment, a Former Employee must disclose his or her past Port employment before engaging or participating in any Port business or activity. The disclosure shall be made in writing to the Port’s Workplace Responsibility Office.

### F. Use of Confidential Information

A Former Employee shall not disclose or use any Confidential Information gained by reason of his/her Port employment unless the information is a matter of public knowledge or is available to the public on request. See Employee Ethics & Conflict of Interest policy for definition of “Confidential Information.”

### G. Employment

No Former Employee may accept an offer of employment or receive compensation from an Employer if the Former Employee knows, has reason to believe, or the circumstances would lead a reasonable person to believe, that the offer of employment or compensation was intended, in whole or in part, directly or indirectly, to influence the Former Employee or as compensation or reward for the performance or nonperformance of a duty by the Former Employee during his/her Port employment. For purposes of this policy, “Employer” means any person, partnership, association, corporation, firm, institution, or other entity, whether or not operated for profit.

## III. REPORTING CONCERNS OR VIOLATIONS

All employees and Former Employees have a responsibility for ensuring that this policy is followed. Concerns or potential violations should be reported to the Workplace Responsibility Office, or anyone identified in the “Reporting Concerns or Violations” policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports

of potential violations must promptly report them to the Workplace Responsibility Office. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See “Reporting Concerns or Violations” policy for more detail.

For further information, please contact the Workplace Responsibility Office.

## CC-04

### CONDUCTING ALL PORT BUSINESS WITH INTEGRITY AND RESPECT

#### Gifts and Hospitality

##### CC-4 as of 1.1.10

#### ENSURING SOUND BUSINESS DECISIONS, AVOIDING UNDUE INFLUENCE

##### I. Statement of the Policy

The Port of Seattle’s policy is that gifts and hospitality should never influence imminent business decision-making processes or cause others to perceive that there is an influence. Employees may not solicit Gifts. The Port also discourages employees from accepting Gifts from an actual or potential business partner. The Port requires employees to follow this policy not only to protect the Port’s business reputation but also to protect employees from unfounded allegations of improper behavior.

A Gift is defined as anything of value that is received without any consideration provided in return. Hospitality is defined as services, meals, entertainment, beverages, lodging, transportation, experiences, and other similar activities that are received without any consideration, or for consideration that is below the fair market value. For purposes of this policy, both gifts and hospitality will be referred to collectively as “Gifts.” Any Gift given to an employee’s relative or guest shall be attributed to the employee for purposes of this policy unless an independent business, family, or social relationship exists between the donor and the relative or guest.

Employees are encouraged to ask themselves the following questions when evaluating Gifts:

- If I accept this Gift, will I feel obligated to respond in some manner?

- Is this Gift a “reward” for a business decision?
- Is this Gift excessive in value?
- Would the public likely be concerned to find out I had received this Gift?

If the answer to any of these questions is “yes,” or even unclear, then the Gift should not be accepted, regardless of its value.

Gifts related to promotional hosting activities are covered under the Port’s Promotional Hosting; Trade/Business and Community Development Expenses policy AC-4. If you have questions about how this policy applies in a given circumstance, please contact the Workplace Responsibility Office.

#### II. SPECIFIC GUIDELINES REGARDING GIFTS

##### A. Solicitation of Gifts Prohibited

An employee may not receive, accept, take, seek, or solicit, directly or indirectly, any Gift if it could be reasonably expected (or appear to a third party) that the Gift would influence the action or judgment of the employee, or be considered as part of a reward for action or inaction. If you have any question about whether accepting a Gift would be improper, please ask the Workplace Responsibility Office.

##### B. Gifts Accepted on Behalf of the Port

A Port employee may accept a gift of any value as long as it is for, and on behalf of, the Port. Any Gift so accepted shall become the property of the Port and not of the employee. An Employee shall report the acceptance of any Gift under this Section to the Workplace Responsibility Office within thirty (30) days of receipt.

##### C. \$50 Limit on Gifts

Even if the acceptance of the Gift is not solicited and even if accepting the Gift would not influence the employee’s action or inaction, the Port believes it is appropriate to limit Gifts to a \$50 value. Thus, an employee may not accept a Gift for the employee’s benefit with an aggregate value exceeding \$50 from a single source in a calendar year. “Single source” means any person, vendor or business partner, whether acting directly or through any agent or other intermediary. In other words, one vendor may not provide an employee with more than \$50 worth of Gifts in a year, as it could appear to be an effort to influence decisions.

An employee also may not accept a single Gift that may have been purchased by multiple sources that has a value in excess of \$50. The term “single gift” includes any event, item or group of items used in conjunction with each other or any trip including transportation, lodging, and attendant costs. For example, an employee may not accept a Gift of a sports outing that has been paid for by several vendors if the value exceeds \$50, even if each contributing vendor spent less than \$50 toward the Gift.

#### **D. Exceptions to \$50 Limit on Gifts**

The following Gifts are presumed not to influence an employee’s action or non-action on any matter and may be accepted without regard to the \$50 limit. However, in the event that facts suggest that a Gift could influence a business decision, or create the appearance of influencing a business decision, then the Port may request that the Gift not be offered or accepted.

- Unsolicited flowers, plants, and floral arrangements
- Unsolicited advertising or promotional items of nominal value, such as pens and note pads
- Unsolicited items received by an employee for the purpose of evaluation or review, if the employee has no Financial or Beneficial Interest (See Conflict of Interest Policy for definition) in the eventual use or acquisition of the item by the Port
- Informational material, publications, or subscriptions related to the employee’s performance of official duties
- Food and beverages consumed at hosted receptions where attendance is related to the employee’s official duties, including admission to, and the costs of food and beverages consumed at, events sponsored by or in conjunction with a civic, charitable, governmental, or community organization, provided that where the Gift exceeds \$50 on a single occasion, it shall be reported to the Workplace Responsibility Office
- Unsolicited Gifts from dignitaries from another state or a foreign country and intended to be personal in nature

- Occasional Gifts in the form of food and beverage in the ordinary course of meals where attendance by the employee is related to the performance of official duties. If you have a question about whether attendance is related to official duties, please consult with the Workplace Responsibility Office. Gifts in the form of food and beverage that exceed \$50 per person on a single occasion shall be reported to the Workplace Responsibility Office. “Occasional” means not more than four to six times per year with the same business partner.

#### **III. ITEMS NOT CONSIDERED GIFTS**

The following items are excluded from the definition of Gift and may be accepted by an employee or Relative without constituting a violation of this policy.

- Items from family or friends where it is clear beyond a reasonable doubt that the item was not given as part of any design to gain or maintain influence in the Port
- Items related to the outside business of a Port employee that are customary and not related to the employee’s performance of his/her official duties
- Items exchanged among employees or between employees and Port Commissioners, or a social event hosted or sponsored by an employee or Port Commissioner for co-workers
- Payments by a governmental or nongovernmental entity of reasonable expenses incurred in connection with a speech, presentation, appearance, or trade mission made in the employee’s official capacity. “Reasonable expenses” are limited to travel, lodging, and subsistence expenses incurred the day before through the day after the event.
- Items an employee is authorized by law to accept, including, but not limited to, items accepted in accordance with the Port’s Promotional Hosting; Trade/Business and Community Development Expenses policy AC-4 Payment of enrollment and course fees and reasonable travel expenses attributable to attending seminars and educational programs sponsored by a bona fide governmental or

nonprofit professional, educational, trade or charitable association or institution. “Reasonable expenses” are limited to travel, lodging, and subsistence expenses incurred the day before through the day after the event. 30Gifts and Hospitality

- Items returned by the employee to the donor within thirty (30) days of receipt or donated to a charitable organization within thirty (30) days of receipt
- Campaign contributions reported under chapter 42.17 RCW
- Discounts available to an employee as a member of an employee group, occupation, or similar broad-based group
- Awards, prizes, scholarships, or other items provided in recognition of academic or scientific achievement. Unsolicited tokens or awards of appreciation in the form of a plaque, trophy, desk item, wall memento or similar item.

#### IV. REPORTING CONCERNS OR VIOLATIONS

All employees have a responsibility for ensuring that this policy is followed. Concerns or potential violations should be reported to the Workplace Responsibility Office, or anyone identified in the “Reporting Concerns or Violations” policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports of potential violations must promptly report them to the Workplace Responsibility Office. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See “Reporting Concerns or Violations” procedure.

For further information, please contact the Workplace Responsibility Office.

## CC-05

### FRAUD AWARENESS & PREVENTION

#### Promoting Trust and Vigilance

#### CC-5 as of 1.1.10

#### I. STATEMENT OF THE POLICY

The Port of Seattle serves the public. Every Port employee has a responsibility to earn and maintain the public’s trust by using taxpayer resources wisely and preventing loss and fraud. The Port is committed to having a work atmosphere of fraud awareness, where its employees, interns and volunteers, are skilled to identify potential fraudulent activity and are supported when carrying out their responsibility to immediately report such activity. Every employee is expected to follow this policy and to immediately report known or suspected loss of public funds or assets or “Fraud.”

Fraud is a unique and particularly insidious form of dishonesty that is being called out separately from the Port’s related Loss Prevention Policy (EX 18), to emphasize the seriousness of such acts. For purposes of this policy, the Port defines “Fraud” broadly. It includes any act of deception that is, or could reasonably be expected to, result in personal gain. It includes any situation in which Port resources are diverted to an employee, or the employee’s Relative, friends, or associates, without authorization, which may also include misappropriation. Fraud may exist whether there is actual harm to the Port or not.

The Port of Seattle has zero tolerance for Fraud. “Zero tolerance” means that complaints of violations of this policy will be reviewed and any violations will be addressed. The manner in which violations are addressed will depend on the circumstances. Employees could be subject to progressive discipline up to and including immediate termination. Employees must report suspected violations of this policy. See “Reporting Complaints” policy for more detail.

“Relative” is defined to include an employee or a consultant’s spouse, domestic partner, parents, children, cousins, nieces, nephews, grandparents, grandchildren, in-laws, and any person with whom the employee or consultant has a relationship that is substantially equivalent to any of these.

## II. SPECIFIC PURPOSES OF THIS POLICY

To ensure proper stewardship over public funds and assets, and provide timely and proper handling of any known or suspected fraudulent activity

To comply with RCW 43.09.185, that requires State agencies and local governments to immediately report any known or suspected loss of public funds or assets to the State Auditor's Office (SAO)

To establish clear expectations and ensure consistent and timely action by the Port

To ensure that losses are minimized; investigations and audits are not hampered; and bond claims are not jeopardized

## III. WHAT AND HOW TO REPORT

Employees must report any irregularity that reasonably leads a Port employee to suspect Fraud — regardless of amount or type. Early and vigilant reporting will allow the Port to minimize losses by addressing matters before they become larger issues. The reporting requirement also includes issues that have occurred in the past but have only recently become apparent. When in doubt, report. Employees also should report suspicions of Fraud even if the matter has been referred to law enforcement. Any Port employee who becomes aware of or suspects Fraud shall immediately report this to the Ethics and Compliance Hotline, the Port's General Counsel, or the Workplace Responsibility Office — even if it is also separately referred to the Port Police. Employees will not be retaliated against for reporting concerns or complaints of suspected Fraud. See "Reporting Concerns or Violations" policy.

## IV. INVESTIGATION PROCESS

### A. Commitment to Review and Investigate

The Port will review and investigate concerns or complaints of Fraud, as outlined in the Port's Reporting Concerns or Violations policy. Employees are expected to fully cooperate with, and avoid any actions that may impede an audit or investigation.

### B. Fraud Response Committee

The following is additional information about the investigation process and the Port's Fraud Response Committee. The Port will generally follow the process outlined below. However, the Port reserves the right to take an approach that best suits the particular situation and may not follow every step outlined below in all cases.

The Port's Fraud Response Committee is comprised of the Deputy CEO, General Counsel, Chief Financial Officer and the Accounting and Financial Reporting Director. If any member of the Committee has or reasonably believes they may have a conflict with any matter, they shall immediately recuse themselves from any further participation in that matter.

The General Counsel or Workplace Responsibility Office will respond to reports of suspected fraud received through the Ethics and Compliance Hotline, and will forward such reports to the Port Police. The Port Police will forward all reports of suspected fraud brought to their direct attention to the General Counsel and Senior Internal Audit Manager.

Following receipt of a report of Fraud, the General Counsel shall advise the Commission President and Chief Executive Officer. In concert with the Port Police and the Senior Internal Audit Manager, the General Counsel shall make preliminary inquiries and review relevant documents for the purpose of determining whether cause exists to pursue the matter further, either as an employment matter or as a civil matter to recover funds or assets. The General Counsel also may submit requests for additional information through the Ethics and Compliance Hotline process as necessary. The General Counsel then will draft a written recommendation that the matter be pursued further or that the matter should be closed for lack of substantiation. The General Counsel may not interfere with any police investigation or any decision by the Port Police to refer a matter for prosecution.

The General Counsel shall forward his or her recommendation to the Commission President, the Chief Executive Officer and members of the Fraud Response Committee. If the General Counsel recommends closing the matter, the Commission President, the Chief Executive Officer, or any member of the Fraud Response Committee may request further review and the matter will be forwarded to the Fraud Response Committee.

If the Fraud Response Committee determines that further action is necessary, the Committee will determine the appropriate next steps including establishing the scope of the inquiry and determining whether in-house resources or outside consultants should be used to conduct the review.

The Senior Internal Audit Manager, or retained consultant as determined by the General Counsel or by the Fraud Response Committee, shall conduct an investigation to gather the facts, determine the nature of the irregularity, and inform the General Counsel and/or Fraud Response Committee.

At the point it is suspected or known that a Fraud has occurred, the Senior Internal Audit Manager shall immediately notify the SAO in accordance with RCW 43.09.185.

The General Counsel or the Fraud Response Committee shall recommend the appropriate next steps for disciplinary action and recovery of funds or assets, based on the Senior Internal Audit Manager's or retained consultant's assessment and recommendations. Any recommended actions shall be implemented pursuant to applicable Port policies and procedures. Any such recommendations shall be coordinated with any ongoing criminal investigation.

The Senior Internal Audit Manager shall notify the Risk Manager of all known and suspected instances of fraudulent activity. The Risk Manager, in coordination with General Counsel, shall determine whether to file a claim against the Port's employee dishonesty insurance policy, considering the circumstances.

Any Port employee in possession of or responsible for relevant financial, operational and all other records shall protect them from loss or destruction, and all original records related to the loss shall be secured in a safe place until a full audit/investigation has been completed.

For further information, please contact the Workplace Responsibility Office.

## CC-06

### LOSS PREVENTION

#### Preventing Loss of Public Funds and Assets CC-6 as of 1.1.10

##### I. STATEMENT OF THE POLICY

The Port of Seattle serves the public. Every Port employee has a responsibility to earn and maintain the public's trust by using taxpayer resources wisely and preventing loss, whether accidental or intentional. Every employee is expected to follow this policy and to immediately report known or suspected loss of public funds or assets. See "Reporting Concerns or Violations" policy for more detail. For concerns about potential fraudulent activity, please refer also to the "Fraud Awareness and Prevention" policy.

##### II. SPECIFIC PURPOSES OF THIS POLICY

- To ensure proper stewardship over public funds and assets, and provide timely and proper handling of any known or suspected loss of such funds or assets
- To comply with RCW 43.09.185, that requires State agencies and local governments to immediately report any known or suspected loss of public funds or assets to the State Auditor's Office (SAO)
- To establish clear expectations and ensure consistent and timely action by the Port
- To ensure that losses are minimized, investigations and audits are not hampered, and bond claims are not jeopardized

### III. WHAT TO REPORT

The Port encourages reporting of losses. Early and vigilant reporting will allow the Port to minimize losses by addressing matters before they become larger issues. Thus, employees must report any irregularity that reasonably leads a Port employee to suspect a loss of Port funds or assets, in accordance with this policy. This includes all suspected losses including losses resulting from unlawful activity such as theft and fraud—regardless of amount or type. It also includes those that have occurred in the past but have only recently become apparent. When in doubt, report. See “Reporting Concerns or Violations” policy.

#### A. Required Reporting

Port employees must report all suspected or known losses of Port funds and assets in accordance with this policy, subject to the exceptions set out in Sections B and C below. This includes all suspected losses that have occurred in the past, but only recently become apparent. Reports should be made in the manner described in the “Reporting Concerns or Violations” policy.

#### B. Materiality of Reportable Losses

A loss of a “de minimus” amount, defined as under \$50 (fifty dollars), may but need not be reported. However, a pattern of suspected recurring losses that may in aggregate exceed \$50 must be reported. The full exposure to the Port can only be determined by a thorough investigation. However, any loss resulting from suspected unlawful activity such as theft and fraud must be reported regardless of the amount of the loss.

#### C. Losses That Generally Need Not Be Reported

The following activities generally need not be reported, which is consistent with State Auditor’s Office guidelines. However, those in leadership positions for the related operations are responsible to monitor such activities for unreasonable irregularities and take action in accordance with this policy as necessary

- Normal and reasonable “over and short” situations from cash receipting operations. These transactions are to be recorded in the accounting system as miscellaneous income and expense, respectively, and monitored by cashier for any unusual trends.

- Reasonable inventory shortages identified during a physical count. These inventory adjustments are to be recorded in the accounting system and monitored accordingly.

For further information, please contact the Workplace Responsibility Office.

## CC-07

### INFORMATION SYSTEMS AND SERVICES ACCEPTABLE USE POLICY Using Port Information Systems and Services Responsibly CC-7 as of September 2014 Original 1.1.2010

#### I. STATEMENT OF THE POLICY

The Port of Seattle is committed to providing a work environment that encourages the use of information systems and services to support our business objectives. The Port expects all authorized system users to use the Port’s information systems and services in a responsible and respectful manner. This policy is designed to help system users understand the Port’s expectations and system user responsibilities related to the use of the Port’s information systems and services.

#### II. DEFINITIONS

- a) “System user” refers to anyone who has been authorized to use or access the Port’s information systems and services. System Users specifically include Port employees as well as nonemployees, such as Commissioners, interns, contractors, and vendors, who are authorized to use or access information systems and services. System User does not, however, include members of the public that use or access publicly available resources (e.g., public wireless networks).
- b) “Information systems and services” refer to Port-managed or Port-provided workstations, laptops, servers, network infrastructure, peripherals (e.g., copiers and printers), mobile information devices (e.g., mobile phones, smartphones, portable digital assistants, tablets/pads, etc.), telephones, faxes, Port-provided software and applications, Port-provided

internet access and intranet services, as well as surveillance and monitoring systems.

- c) “Electronic communications” is defined under this policy as the electronic transmission (internally or externally) of data that has been encoded digitally, including, but not limited to, e-mail, instant messaging/ chat, text messaging, voice mail, file transfers [i.e., FTP or similar], internet browsing/searching, download/installation of files or software/applications.

### III. NO RIGHT OR EXPECTATION OF PRIVACY

- a) The Port makes information systems and services available to system users to facilitate Port business. Although each system user may be provided a unique user name and password to access the Port’s information systems and services, these information systems and services are owned or managed by the Port.
- b) System users have no expectation or right of privacy regarding their use of the Port’s information systems and services, including any electronic communications made with them.
- c) The Port, at its discretion and without system user notification or permission, may monitor, log, analyze or review a system user’s information systems and services usage and activity, as well as electronic communications, whenever the Port deems such action necessary.
- d) Electronic communications and data related to Port activities are generally subject to public disclosure under Washington’s Public Records Act. They may also be subject to discovery in civil litigation in which the Port is involved.
- e) The Port is not responsible for any loss, modification, destruction, or maintenance of personal content saved or stored on Port information systems and services. The Port will not provide support services of any kind related to personal content. If personal content is stored on Port information systems or services, this content is specifically subject to Public Disclosure, monitoring, logging, analyzing, and review.

### IV. ACCEPTABLE USE

Authorized uses of Port information systems and services include the following :

- a) Uses permitted under the Use of Port Equipment. Section 111. B of CC-1. Employee Ethics and Conflict of Interest policy and EX-20. Corporate Use of Social Media policy;
- b) Personal use, provided that such personal use does not interfere with or disrupt the Port’s business processes, the system user’s job productivity, or the normal operation of the Port and that such personal use does not impose cost or fees on the Port or otherwise violate this policy;
- c) Uses software/ applications in accordance with license agreements. The Port licenses the use of system software/ applications from a variety of vendors. Compatibility, vulnerabilities, maintenance and licensing concerns should be considered prior to installing software/ applications. The Port does not own most software/ applications or its related documentation and, unless authorized by the software/ application developer, does not have the right to reproduce it except for backup purposes.

### V. PROHIBITED USE

The following uses of the Port’s information systems and services are prohibited:

- a) Any use that violates the law or Port policies, including but not limited to CC-1, Employee Ethics and Conflict of Interest policy, CC-8, Anti-Harassment policy, and EX-20, Corporate Use of Social Media policy;
- b) Creating, downloading, viewing, storing, copying, or transmitting content that is sexually explicit, sexually-oriented, criminal, or disparaging of others based on their race, national origin, sex, sexual orientation, age, disability, religion or political beliefs;
- c) Soliciting, proselytizing, or advancing personal political or religious interests, commercial ventures, personal or outside causes, or engaging in other similar, non-job-related solicitations;



- d) Soliciting funds or services for charitable causes without prior written approval from the Director of Human Resources and Development;
- e) Visiting or establishing websites/URLs that promote gambling, illegal weapons, violence or hate;
- f) Copying, disseminating, or reproducing information that has been authored by others in violation of the applicable terms of use or without the express permission of the author(s) or copyright holder(s);
- g) Downloading or storing of Port sensitive information (e.g., Social Security Numbers, HIPAA, CJIS, credit card numbers, etc.) on personal computers, removable media, or portable devices;
- h) Storing credit card numbers on any Port information systems or services except as specifically approved by ICT Senior Manager, Information Security;
- i) Transmitting or extracting Port information without authorization or business justification;
- j) Gaining access to Port information systems and services by using any access-control mechanism not assigned to the particular user (“impersonating”), or permitting another person to have access by sharing one’s Port credentials and passwords;
- k) Attempting to bypass, defeat, strain or test any security mechanisms of any information system or service. If security mechanisms must be bypassed for any reason, they must be approved in advance by contacting the ICT Service Desk;
- l) Introducing destructive software/applications or programs such as computer viruses, Trojan horses, or worms, adware, spyware, keystroke-loggers, root kits, hacking tools, or other malware, etc. into the Port’s information systems and services;
- m) Using systems or technology that disguises or alters the identifying information of the computer or system user, such as external proxies or anonymizer sites, for any purpose;
- n) Use of surveillance systems for non-authorized or voyeuristic purposes, and/or creating, posting or disseminating unauthorized surveillance video clips;
- o) Use of any Port information systems and services as a staging ground or platform to gain unauthorized access to the Port or other systems. Such uses include, but are not limited to, circumventing user authentication or security of any host, client, network, or account, effecting security breaches or disruptions, introduction of a malicious program into the system, or executing any form of network monitoring which will intercept data not intended for the user;

**VI. ADDITIONAL RESPONSIBILITIES OF SYSTEM USERS**

- a) The system user must review and consent to this policy PRIOR to access being granted to Port information systems and services. System users that do not consent are not authorized users;
- b) System users must apply software updates, patches and versions as required by ICT;
- c) System users must use caution to avoid the introduction of computer viruses or other destructive and malicious files or programs;
- d) System users that are authorized to use their personal computers to gain access to Port information systems and services via a form of authorized remote-access (e.g., Outlook Web Access/OWA), must maintain and apply current antivirus software and security-related software/application updates on their computer;
- e) System users may require user credentials (user id and password) or other access-control tools to gain access to information systems and services. These tools and credentials (e.g., passwords) are not to be shared with anyone, including the Service Desk, co-workers, administrative staff or managers;

- f) System users must use secure transmission methods (e.g., encryption, secure FTP, etc.) when sending sensitive information (e.g., Personally Identifiable Information, ePHI, system information, vulnerability/risk information, etc.). For transmission options, please contact the ICT Service Desk (206.787.3333). The ICT website also has an extensive list of sensitive information examples;
- g) System users who believe their passwords or any access-control tools have been compromised must immediately change their passwords and notify the ICT Service Desk (206.787.3333);
- h) System users who believe an information system has been lost or stolen must immediately notify the ICT Service Desk (206.787.3333) and file a report with the local police department (which may be the Port Police Department) . The system user must provide the Police report number to the ICT Service Desk once received.
- i) System users must immediately report any recovery of a lost or stolen system to the ICT Service Desk (206.787.3333);
- j) System users may not introduce wireless access points/ networks or modems, electronic equipment or devices anywhere on the Port network. Any such needs must be requested and approved in advance by contacting the ICT Service Desk.

#### VII. REPORTING CONCERNS OR VIOLATIONS

System users are required to report all suspected security and/or policy violations as outlined in CC-14, Reporting Concerns or Violations policy. System users will not be retaliated against for the good-faith reporting of concerns about, or potential violations of, this policy.

Violation of this policy may result in disciplinary action, including reduction or termination of access, termination of employment, and/or referral of the system user to law enforcement authorities for local, state and federal offenses.

#### VIII. EXCEPTIONS

Any exceptions to this policy must be requested through the ICT Service Desk (206.787.3333) and explicitly approved in writing by the ICT Senior Manager, Information Security.

For further information, please contact the ICT Senior Manager, Information Security or the Workplace Responsibility Helpline (206.787.HELP).

## CC-08

### ANTI-HARASSMENT

#### Fostering a Respectful Workplace CC-8 as of 1.1.10

#### I. UNLAWFUL HARASSMENT WILL NOT BE TOLERATED

The Port of Seattle is committed to providing a respectful, supportive and productive workplace for all employees that is free of verbal, physical and visual forms of unlawful harassment. One of the Port of Seattle’s core values is treating co-workers, customers, contractors, vendors and community members with respect. Consistent with that value, the Port of Seattle does not tolerate unlawful harassment in the workplace.

Unlawful harassment refers to behavior that is not welcome, that is personally offensive, that debilitates morale, and interferes with work effectiveness. It includes, but is not necessarily limited to, unwelcome verbal or physical conduct that is derogatory of an employee because of their age, race, color, national origin/ancestry, religion, disability, Family Medical Leave Act (FMLA) use, pregnancy, sex/gender, sexual orientation, whistleblower status, marital status, military status, use of workers’ compensation, transgender status, political beliefs, or any other category protected by law (“Protected Status”). Not all disrespectful activity rises to a level of severity and pervasiveness that would be considered unlawful harassment. However, the Port strives to eliminate all disrespectful conduct from the workplace.

The Port does not tolerate unlawful harassment or disrespectful conduct in the workplace. This policy also applies to business-related activities that take place outside of the workplace, such as business-related trips, meetings and social events. The Port also will not tolerate unlawful harassment or disrespectful conduct of any of its employees by non-employees (including customers, visitors, and independent contractors).

The Port has a “zero tolerance” policy concerning harassment. “Zero tolerance” means complaints will be reviewed and violations of this policy will be addressed. Offending behavior will not be permitted to continue or be repeated. The manner in which violations are addressed will depend on the circumstances. Employees could be subject to progressive discipline up to and including immediate termination.

## II. HARASSMENT DEFINED

Prohibited harassment may take many forms, from passing along cartoons to actual physical violence. We provide the following examples of what may be considered harassment.

**Nonsexual harassment** based on race, national origin, religion, marital status, sexual orientation, gender identity, age, disability (or other protected status) can include the following:

- Displaying or circulating in any manner pictures, objects, or written materials (including graffiti, cartoons, photographs, posters, pinups, calendars, magazines, figurines, novelty items) that demean or show hostility to a person because of the person’s Protected Status
- Verbal conduct, including making or using derogatory comments, bullying, epithets, slurs and jokes towards such groups or individuals based on Protected Status
- Asking unwelcome questions or making unwelcome comments about another person’s Protected Status

**Sexual harassment** is generally defined as unwelcome sexual advances, requests for sexual favors, or other visual, verbal or physical conduct of a sexual nature when:

- Submission to such conduct is made either explicitly or implicitly a term or condition of employment (such as promotion, training, overtime assignment, leave of absence)
- Submission to, or rejection of, such conduct affects employment opportunities
- The conduct interferes with an employee’s work or creates an intimidating, hostile or offensive work environment

Sexual harassment includes harassment based on another person’s gender, gender identity, sexual orientation or harassment based upon pregnancy, childbirth, or related medical conditions. It also can include harassment of another employee who is the same gender as the harasser.

**Examples** of sexual harassment include, but are not limited to:

- Offering or conditioning an employment benefit, like a raise, a promotion or a special job assignment, in exchange for sexual favors
- Threatening or taking a negative employment action (such as termination, demotion, denial of a leave of absence), or changing performance expectations, after an employee has turned down a sexual advance
- Unwelcome sexual advances, like requests for dates or propositions for sexual favors
- Excessive, one-sided, romantic attention in the form of requests for dates, love letters, telephone calls, e-mails or gifts
- Visual or physical conduct, like unwelcome staring, leering, making sexual gestures, whistling
- Displaying or circulating in any manner and/or through e-mail, voice mail or other electronic means pictures, objects, or written materials (including graffiti, cartoons, photographs, poster, pinups, calendars, magazines, figurines, novelty items) that are sexually suggestive
- Verbal conduct, like making or using derogatory comments, epithets, slurs, teasing and jokes of a sexual nature

- Graphic verbal or written comments (including e-mails or other electronic documents) about an individual's sex life or body
- Sexually degrading words used to describe an individual
- Suggestive or obscene letters, e-mails, notes or invitations
- Asking unwelcome questions or making unwelcome comments about another person's sexual activities, dating, personal or intimate relationships
- Unwelcome intentional touching of another person or other unwanted intentional physical contact (including patting, pinching, shoulder rubs, brushing up against another person's body, or impeding or blocking movements)

### III. YOUR RESPONSIBILITIES

The Port is committed to taking reasonable steps to prevent harassment from occurring and will take immediate and appropriate action when it knows that unlawful harassment has occurred. To do this, however, the Port needs the cooperation of all employees at all levels. All Port employees are responsible for keeping our work environment free of harassment.

### IV. WHAT TO DO IF YOU SUSPECT HARASSMENT

Harassment, particularly sexual harassment, is often difficult to define. Misconceptions abound and people tend to have different notions of what is appropriate conduct and what is not. Employees should never tolerate inappropriate behavior. The Port encourages employees who are uncomfortable with an interaction to make their feelings known to the offending employee, if they are comfortable doing so. If the behavior does not stop, or if the employee is not comfortable with this approach, then the employee should immediately report the concern to the Director of Human Resources and Development or anyone identified in the "Reporting Concerns or Violations" policy.

Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of, or receive, reports or complaints of offending behavior must promptly report them to the Director of Human Resources and Development. See "Reporting Concerns or Violations" policy for more detail.

### V. THE PORT'S COMMITMENT TO INVESTIGATE AND ACT

The Port will promptly and thoroughly investigate all claims of harassment. Complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Please see "Reporting Concerns or Violations" policy for more detail.

If the Port concludes that unlawful harassment occurred, prompt and effective remedial action will be taken. This may include discipline of the harasser and other actions to remedy the effects of the harassment and prevent further harassment. No action will be taken against any employee who in good faith files a complaint of harassment or assists in the investigation of such a complaint.

### VI. NO RETALIATION

This policy is also violated if an employee is fired, denied a job, subjected to negative performance feedback or denied some other employment benefit because the employee in good faith complained about harassment, or assisted in an investigation of harassment.

Employees who believe they have been retaliated against for having reported harassment or participated in an investigation should promptly report it to the Director of Human Resources and Development or anyone identified in the "Reporting Concerns or Violations" policy so that such concerns can be investigated. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential retaliation. Supervisors and managers who know of or receive reports of potential retaliation must promptly report them to the Director of Human Resources and Development. See "Reporting Concerns or Violations" policy for more detail.

**Employees who are found to have engaged in retaliation could be subject to progressive discipline up to and including immediate termination.**

For further information, please contact the Director of Human Resources and Development.

## CC-09

### **EQUAL OPPORTUNITY Ensuring Non-Discrimination and Reasonable Accommodation CC-9 as of 1.1.10**

#### **I. THE PORT'S COMMITMENT TO EQUAL EMPLOYMENT OPPORTUNITY**

The Port of Seattle is an equal employment opportunity employer. The Port embraces, and in fact relies on, having a diverse workforce. Every employee has the right to work in surroundings that are free from all forms of unlawful employment discrimination. The Port will not engage in, or tolerate, any discrimination in the workplace prohibited by local, state or federal law. Specifically, no employee will be discriminated against on the basis of his or her age, race, color, national origin/ancestry, religion, disability, Family Medical Leave Act (FMLA) use, pregnancy, sex, gender identity, sexual orientation, whistleblower status, marital status, military status, use of workers' compensation, transgender status, political beliefs, or any other category protected by applicable federal, state or local law ("Protected Status").

#### **II. REASONABLE ACCOMMODATION OF DISABILITIES AND RELIGION**

The Port recognizes that employees with physical or mental disabilities may need reasonable accommodations to enable them to perform their essential job functions. The need for accommodations is determined on a case by case basis. Generally the Port and the employee will work together in an interactive process to identify possible accommodations. The employee has an obligation to cooperate with the Port in this process, which may include authorizing the Port to communicate with the employee's health care provid-

ers concerning the employee's condition, its impact on the employee's ability to perform job functions, and possible reasonable accommodations. Please see the Port's Disability Management policy for more information.

The Port also generally will offer reasonable accommodation for an employee's sincerely held religious belief that conflicts with a workplace rule, unless doing so would create an undue hardship.

Employees who want to request accommodation of a disability or religious belief should contact the Director of Human Resources and Development. The Port will evaluate requests consistent with current legal requirements.

#### **III. COMMITMENT TO INCLUSION**

The Port expects its employees to embrace a higher standard of nondiscrimination and inclusion than simply not discriminating and harassing others based on Protected Status. It expects all employees to be tolerant and accepting of our individual differences, to avoid stereotyping others with whom we interact both at the Port and in the broader community based on protected characteristics and to treat others with respect. Disrespectful treatment by Port employees of our customers or members of the public is not consistent with the Port's values and will not be condoned.

#### **IV. REPORTING CONCERNS OR VIOLATIONS**

All employees have a responsibility for ensuring that this policy is followed. Concerns or potential violations should be reported to the Director of Human Resources and Development, or anyone identified in the "Reporting Concerns or Violations" policy, even if the alleged improper conduct happened to someone else. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports of potential violations must promptly report them to the Director of Human Resources and Development. Employees will not be retaliated against for reporting in good faith potential violations of this policy. See "Reporting Concerns or Violations" policy for more detail.

For further information, please contact the Director of Human Resources and Development.

## CC-10

### WORKPLACE VIOLENCE

#### Promoting a Safe Work Environment CC-10 as of 1.1.10

##### I. WORKPLACE THREATS AND VIOLENCE WILL NOT BE TOLERATED

The Port of Seattle is committed to maintaining a safe and efficient working environment where employees and the public are free from the threat of violence.

The Port also supports a proactive approach in identifying potential threats and preventing workplace violence.

The Port does not tolerate any type of workplace violence committed by or against employees. Employees are prohibited from making threats or engaging in violent activities. The following behavior, while not an exhaustive list, provides examples of conduct that is prohibited.

- Causing physical injury to another person
- Making threatening remarks
- Aggressive or hostile behavior that creates a reasonable fear of injury to another person or subjects another individual to emotional distress
- Intentionally damaging Port property or property of another employee
- Possession of ammunition, a firearm, weapon or other item intended to be used as a weapon on Port property or while on Port business, unless specifically authorized in connection with the performance of Port duties (i.e. law enforcement, wildlife management, and other like positions)
- Committing acts motivated by, or related to, unlawful harassment or domestic violence

##### II. DUTY TO REPORT DANGEROUS SITUATIONS

Port employees should report any potentially dangerous situation immediately to a supervisor or the Director of Human Resources and Development. While the Port does not expect employees to be skilled at identifying potentially dangerous persons, employees are expected to exercise good judgment and to inform his or her supervisor or the Director of Human Resources and Development of co-worker behavior which could cause concerns. Examples include:

- Discussing ammunition, weapons, or violent activity in such a manner that causes one to reasonably believe that the employee could pose a risk to the workplace
- Bringing weapons or ammunition into the workplace, unless specifically authorized in connection with the performance of Port duties (i.e., law enforcement, wildlife management, and other like positions)
- Displaying overt signs of extreme stress, resentment, hostility or anger
- Making threatening remarks
- Sudden or significant deterioration of performance
- Displaying irrational or inappropriate behavior

Employees who have concerns about domestic violence (either their own situation or a co-worker's situation) are urged to contact the Director of Human

Resources and Development so that HRD professionals can work with such employees to evaluate risks and minimize risk to the workplace.

Employees who encounter a threatening person should not attempt to challenge or disarm that individual. Employees should remain calm, keep constant eye contact and talk to the individual. If a supervisor can be safely notified of the need for assistance without endangering the safety of the employee or others, such notice should be given. Alternatively, if possible, call 911.

### III. THE PORT'S COMMITMENT TO INVESTIGATE AND ACT

The Port will promptly and thoroughly investigate all reports of workplace violence. Reports will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Please see "Reporting Concerns or Violations" policy for more detail. Any employee determined to have engaged in workplace violence will be subject to disciplinary action, up to and including termination.

### IV. REPORTING VIOLATIONS OF THIS POLICY

All employees have a responsibility for ensuring that this policy is followed. Concerns or potential violations should be reported to the Director of Human Resources and Development, or anyone identified in the "Reporting Concerns or Violations" policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports of potential violations must promptly report them to the Director of Human Resources and Development. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See "Reporting Concerns or Violations" policy for more detail.

For further information, please contact the Director of Human Resources and Development.

Port of Seattle employees are strictly prohibited from possessing, selling, or being under the influence of illegal drugs and misused prescription medications or other controlled substances while on the job, during work hours, in company vehicles or in any other manner that may affect the employee's work performance or the Port's interests. Any employee who is taking a prescription medication should determine from his or her physician or pharmacist whether the prescription drug could impair his or her ability to perform the job safely and effectively. If the employee's performance may be so impaired, he or she should advise his or her supervisor so that reasonable accommodations can be considered.

The Port may permit the moderate consumption of alcohol at Port-sponsored events. Even when alcohol is available at such events, employees are expected to conduct themselves in a professional manner and only consume moderate amounts so that their behavior is appropriate and does not create a possible risk to the health or safety of the employee or others nor a risk of harm to the Port's interests.

Employees are strictly prohibited from being impaired by the use of alcohol while on the job, during work hours, in company vehicles or in any other manner that may affect the employee's work performance or the Port's interests.

Any employee experiencing difficulties with drugs or alcohol is encouraged to contact the Port's Employee Assistance Program or Human Resources before the drug or alcohol issue affects his/her work performance. Human Resources and Development can provide referrals to helpful resources.

To ensure compliance with this policy, the Company may require drug and alcohol testing at its discretion. This includes testing based upon reasonable suspicion, where management personnel reasonably suspect that an employee may be under any influence of drugs or alcohol, or is otherwise violating this policy.

## CC-11

### SUBSTANCE ABUSE Promoting Personal Health and Safety CC-11 as of 1.1.10

#### I. STATEMENT OF THE POLICY

Use of alcohol or drugs is a serious threat to personal health, workplace safety and job performance. Moreover, maintaining a drug-free workplace is essential to the Port's ability to deliver quality work and service, to the Port's image with customers and the public, and to the Port's ability to maintain federal funding for Port projects.

## II. REPORTING CONCERNS OR VIOLATIONS

All employees have a responsibility for ensuring that this policy is followed. Employees should report to the Director of Human Resources and Development, or anyone identified in the “Reporting Concerns or Violations” policy, potential violations of this policy or any other situation in which you reasonably believe that an employee’s use of alcohol or drugs could be impacting the employee’s ability to safely do the job. See “Reporting Concerns or Violations” policy.

Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations and also with respect to identifying and reporting situations in which an employee’s use of alcohol or drugs could be impacting the employee’s ability to safely do the job. Supervisors and managers who know of, or receive, reports of offending behavior must promptly report them to the Director of Human Resources and Development. Employees will not be retaliated against for reporting suspected violations of this policy. See “Reporting Concerns or Violations” policy.

## III. THE PORT’S COMMITMENT TO INVESTIGATE AND ACT

The Port will promptly and thoroughly investigate all reports of violation of this policy. Complaints will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Please see “Reporting Concerns or Violations” policy for more detail. The Port will impose disciplinary action, up to and including termination of employment, in the event of any of the following:

1. Violation of this policy
2. A positive test result
3. Refusal or failure to submit to testing when requested to do so
4. Refusal to cooperate in the testing process
5. Adulteration of any sample or tampering with any part of the testing process

Test results are handled as confidential records, and provided only to those with a need to know the information.

For further information, please contact the Director of Human Resources and Development.

## CC-12

### EMPLOYMENT OF RELATIVES Avoiding the Appearance of Favoritism CC-12 as of 1.1.10

#### I. STATEMENT OF THE POLICY

The Port of Seattle believes it is in the Port’s best interests to keep business and professional relationships separate from personal and family relationships, wherever possible. To prevent real or perceived conflicts of interest or favoritism, the Port provides the following guidelines.

“Relative” is defined to include an employee or a consultant’s spouse, domestic partner, parents, children, cousins, nieces, nephews, grandparents, grandchildren, in-laws, and any person with whom the employee or consultant has a relationship that is substantially equivalent to any of the above.

When there will be employment of an employee or consultant’s Relative such employment will only occur where:

- Neither will supervise, appoint, remove or discipline the other
- Neither will evaluate or audit the work of the other
- The employment relationship will not create a conflict of interest or the appearance of favoritism

When there will be an engagement of an employee or consultant’s Relative as a consultant, such engagement will only occur where:

- Neither the employee nor consultant shall evaluate or audit the work of the Relative and vice versa
- Neither the employee nor the consultant shall approve of payment for the Relative



- The business relationship will not create a conflict of interest or the appearance of favoritism

## II. CANDIDATES FOR POSITIONS

Port employees and consultants should not be involved in any way with a Relative's candidacy for employment. Even recommending a Relative for employment could be perceived, or experienced, as undue pressure by the hiring team. To make such a recommendation carries an inherent conflict of interest. The higher level the position of the employee who recommends a Relative for employment, the greater the risk of real or perceived pressure to hire the Relative. Thus, an employee's failure to follow this policy could subject an employee to discipline up to and including termination. A consultant's failure to follow this policy could lead to termination of the consultant's business engagement with the Port.

When a Relative of a Port employee is a candidate for a Port position, the candidate shall be judged the same as other applicants, based on his/her individual qualifications, without influence from Relatives who are already employed. Any interference or influence exerted by a Port employee regarding employment, compensation, or working conditions of his or her Relative could disqualify the candidate from employment and could be considered a violation of this policy.

The Port also reserves the right not to employ Relatives of high-level employees of its competitors or major vendors where such a restriction is a reasonable step towards avoiding the actuality or appearance of a conflict of interest or to protect confidential information.

## III. EMPLOYEES WHO BECOME RELATED

If two employees become related (typically by marriage or a relationship substantially similar), and their continued employment might create a conflict of interest or the appearance of favoritism, one of the employees may be transferred to another open position consistent with the employee's skills, change supervisory authority, or provided alternate assignments that remove the potential for a conflict of interest. The Port reserves the right to terminate the employment of an employee if the Port

concludes that it is the best approach under the circumstances to avoid real or perceived conflicts of interest.

## IV. REPORTING CONCERNS OR VIOLATIONS

All employees have a responsibility for ensuring that this policy is followed.

Concerns or potential violations should be reported to the Director of Human

Resources and Development, or anyone identified in the "Reporting Concerns or Violations" policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports of potential violations must promptly report them to the Director of Human Resources and Development. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See "Reporting Concerns or Violations" policy for more detail.

For further information, please contact the Director of Human Resources and Development.

## CC-13

### POLITICAL ACTIVITIES Responsible Personal Participation CC-13 as of 1.1.10

#### I. STATEMENT OF THE POLICY

Employees are encouraged to take an active individual interest in political activities provided that participation does not give the impression employees are representing the Port.

Employees are encouraged to participate in the affairs of government. In doing so, the following guidelines should be considered:

- Employees should not use Port equipment or facilities for the benefit of a political campaign.
- Intelligent participation requires knowledge and understanding of government, candidates, and issues. Employees are urged to become informed through individual and group study.

- Participation must be of the employee's own volition and on their own time.
- Personal beliefs should not be communicated in any manner that could cause another to construe such beliefs as official Port endorsement of any particular candidate or issue.

Port employees are not obligated to endorse or contribute funds or time to any Port Commission candidate. Port employees choosing to support a Port Commission candidate must do so on their own time, using non-Port facilities and equipment.

## II. REPORTING CONCERNS OR VIOLATIONS

All employees have a responsibility for ensuring that this policy is followed.

Concerns or potential violations should be reported to the Workplace

Responsibility Office, or anyone identified in the "Reporting Concerns or Violations" policy. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations. Supervisors and managers who know of or receive reports or complaints of potential violations must promptly report them to the Workplace Responsibility Office. Employees will not be retaliated against for reporting in good faith concerns or potential violations of this policy. See "Reporting Concerns or Violations" policy for more detail.

For further information, please contact the Workplace Responsibility Office.

## CC-14

### REPORTING CONCERNS OR VIOLATIONS

Ensuring Compliance with Workplace Responsibility Policies  
CC-14 as of 1.1.10

#### I. EACH EMPLOYEE'S ROLE IN COMPLIANCE

The Port of Seattle is committed to reviewing concerns and investigating potential violations of its Workplace Responsibility policies, as well as concerns that the Port has engaged in improper governmental activity.

Port employees should report, without fear of retaliation, any matter which they believe could constitute a violation of the Port's Workplace Responsibility policies or other improper governmental activity. This policy outlines the steps that the Port generally will take to review and investigate concerns and complaints. This policy also sets forth the Port's commitment to ensuring that employees who make reports in good faith, or who participate in investigations, do not experience retaliation. This protection extends to employees who report concerns of alleged improper governmental activity, commonly referred to as "whistleblowers."

#### Workplace Responsibility/ Code of Conduct Policies:

- Employee Ethics and Conflicts of Interest
- Consultant Ethics and Conflicts of Interest
- Former Employee Ethics and Conflicts of Interest
- Gifts and Hospitality
- Fraud Awareness and Prevention
- Loss Prevention
- Information Systems and Services
- Anti-Harassment
- Equal Opportunity
- Violence in the Workplace
- Substance Abuse
- Employment of Relatives
- Political Activities

#### II. EXPECTATIONS OF SUPERVISORS AND MANAGERS

All employees have a responsibility for ensuring that each of the Workplace Responsibility/Code of Conduct policies is followed. Supervisors and managers will be held to a higher level of responsibility with respect to reporting potential violations of the policies described above. Supervisors and managers who know of or receive reports or complaints of offending behavior must promptly report.

### III. HOW TO REPORT

To report a concern or potential violation employees should contact any one of the following:

- Workplace Responsibility Office
- General Counsel
- Director of Human Resources and Development
- Ethics & Compliance Hotline: 1.877.571.5237, 24 hours a day, 7 days a week

An employee who reports his/her own improper action does not automatically receive immunity from disciplinary action. However, the fact that an employee voluntarily reports his or her own possible policy violations may be favorably considered when evaluating disciplinary action.

### IV. CONFIDENTIALITY

Except as necessary to facilitate a thorough investigation, any person within the Port receiving information about a concern or potential violation of a Workplace Responsibility policy shall keep all information received as confidential as possible. This includes the names of the persons involved and the nature of the concerns or violations.

### V. NO RETALIATION

No retaliatory action will be taken against any employee who in good faith reports a concern or potential violation of a Workplace Responsibility policy, or Reporting Concerns or Violations who assists in the investigation of one. The Port's commitment to non-retaliation includes protection of those employees who report complaints of alleged improper governmental activity, commonly referred to as "whistleblowers."

Employees are prohibited from using their official authority or position to prevent or interfere with an employee reporting violations of Workplace Responsibility policies.

Employees who believe they have been retaliated against for having made a complaint or participated in an investigation must promptly notify any one of the resources listed in Section III of this policy so that such concerns can be investigated. Appropriate corrective measures will be taken if allegations of retaliation are substantiated.

### VI. THE INVESTIGATION PROCESS

The Port will promptly and thoroughly review all reported concerns and alleged violations of its Workplace Responsibility policies. Reports will be handled with sensitivity, discretion and confidentiality to the extent allowed by the circumstances and the law. Generally this means that details are shared only with those who have a need to know so that the Port can conduct an effective investigation.

There may be a preliminary investigation to determine whether the concern or allegation constitutes a potential policy violation, as a rational and legitimate explanation may exist for the reported activity. If a full investigation is deemed appropriate, decisions will be made about whether to conduct internally or by retaining an outside investigator. The Port will conduct the investigation as swiftly as feasible.

The reporting employee typically will be requested to provide relevant details, such as the dates(s), location(s), names(s) of witnesses, or information about the alleged improper actor(s)/action(s). Other persons with relevant information may be interviewed as needed. During the investigation, steps may be taken, when appropriate, to minimize contact between the reporting employee and the alleged improper actor. In the case of harassment allegations, changes may include schedule changes, temporary transfers or investigatory leave, usually for the alleged harasser.

After the investigation is completed, the Port generally will discuss its findings with the reporting employee, the alleged improper actor, and possibly others directly concerned with the matter.

If the Port concludes that a policy violation occurred, prompt and effective remedial action will be taken. This may include discipline of the improper actor(s) and other actions to remedy the effects of the violation and to prevent further violations.

The Port also will be responsible for fulfilling other statutory reporting requirements that may be necessary, including those required by the Washington State Auditor's Office.

For further information, please contact the Workplace Responsibility Office.



Where a sustainable world is headed.™

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