



STATE OF ARIZONA
OFFICE OF THE
AUDITOR GENERAL

A PERFORMANCE AUDIT
of
THE ARIZONA ETHICS BOARD
MARCH 1979

THE ARIZONA ETHICS BOARD IS SUBSTANDARD WITH REGARD TO FUNDING, SCOPE, AUTHORITY, JURISDICTION AND ACTIVITY LEVEL WHEN COMPARED TO THE OTHER STATES ENTITIES THAT REGULATE PUBLIC OFFICIALS. AS A RESULT, THE ARIZONA ETHICS BOARD HAS NOT DEMONSTRATED ANY EFFECTIVENESS SINCE ITS INCEPTION IN 1975.

A REPORT TO THE
ARIZONA STATE LEGISLATURE

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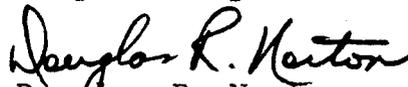
The Honorable Bruce Babbitt, Governor
Members of the Arizona Legislature
Members of the Arizona Ethics Board

Transmitted herewith is a report of the Auditor General,
A Performance Audit of the Arizona Ethics Board. This report
is in response to a September 19, 1978, resolution of the
Joint Legislative Budget Committee and a January 18, 1979,
resolution of the Joint Legislative Oversight Committee.

A summary of this report is found on the blue pages at the
front of the report. A response to this report from the
members of the Arizona Ethics Board is found on the yellow
pages preceding the appendices of the report.

My staff and I will be happy to meet with the appropriate
legislative committees, individual legislators, or other
State officials to discuss or clarify any items in this report
or to facilitate the implementation of the recommendations.

Respectfully submitted,


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OFFICE OF THE AUDITOR GENERAL

A PERFORMANCE AUDIT OF
THE ARIZONA ETHICS BOARD

REPORT TO THE
ARIZONA STATE LEGISLATURE

REPORT 79-1

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SUMMARY

The Arizona Ethics Board was created in 1975 as a part of the "Good Government" Legislation passed by the Arizona State Legislature (Regular Session, 1974). There are eight members of the Board, each appointed by the Governor for a four-year term. The Ethics Board is funded through the State General Fund. These funds are used to pay per diem and mileage expenses of the Board members, the operating expenditures of the Board and the cost of the service contract with the Arizona State Boards Administrative Office (ASBAO). (page 2)

Our review of the Arizona Ethics Board revealed that the Board is substandard with regard to budget appropriation, full-time support staff, scope, authority, number of public officials regulated and number of complaints heard against public officials when compared to the other states' entities that regulate public officials. As a result, the Arizona Ethics Board has not demonstrated any effectiveness since its inception in 1975. (page 8)

Our review also revealed that the Board is not providing continuing education as required by Arizona Revised Statutes Section 38-563. (page 20)

In addition, an analysis of the Board's expenditures revealed that during fiscal year 1976-77 and 1977-78, 78% of its total expenditures were for the service contract with ASBAO. (page 21)

The funding and scope of authority for the Arizona Ethics Board should be increased if the Board is to be continued. The present funding, scope, authority and resultant activity level do not justify continuing the Arizona Ethics Board beyond July 1, 1980. (page 19)

INTRODUCTION AND BACKGROUND

In response to a September 19, 1978, resolution of the Joint Legislative Budget Committee and a January 18, 1979, resolution of the Joint Legislative Oversight Committee, we have conducted a performance audit as a part of the Sunset Review of the Arizona Ethics Board, in accordance with A.R.S. Sections 43-2351 through 43-2374.

The Ethics Board was created in 1975 as a part of the "Good Government" Legislation passed by the Arizona State Legislature (Regular Session, 1974). There are eight members of the Board, each appointed by the Governor for a four-year term. No more than four members of the Board may be from any one political party. The Board's authority is limited to hearing complaints or initiating investigations into the limited financial disclosure statements of the following nine elected State officials:

- Governor
- Secretary of State
- Attorney General
- State Treasurer
- Superintendent of Public Instruction
- Three State Corporation Commissioners
- State Mine Inspector

The Arizona Ethics Board has no full-time support staff. All support functions are handled by the Arizona State Boards Administrative Office (ASBAO) which was created in 1976. ASBAO serves as the support staff for the Ethics Board and 11 other State boards or commissions, providing secretarial and clerical services for each tenant board or commission.

The Ethics Board is funded through the State General Fund. These funds are used to pay per diem and mileage expenses of the Board members; and to pay any costs incurred during an investigation and for the cost of the service contract with ASBAO.

INTRODUCTION AND BACKGROUND

Budget information for the Ethics Board for fiscal years 1974-75 through 1978-79 is shown below, including the amounts of the service contract with ASBAO for fiscal years 1976-77 through 1978-79.

<u>Fiscal Year</u>	<u>Budget Appropriation</u>	<u>ASBAO Contract Amount (1)</u>	<u>Other Expenditures</u>	<u>Total Expenditures</u>	<u>Amount Reverted To State General Fund</u>
74-75	\$10,000		\$ 374.83	\$ 374.83	\$ 9,625.17
75-76	10,000		4,700.00 (2)	4,700.00	5,300.00
76-77	18,800	\$6,000	1,634.00	7,634.00	11,166.00
77-78	10,000	1,800	581.58	2,381.58	7,168.42
78-79	<u>9,700</u>	<u>1,200</u> (3)	<u>498.48</u> (3)	<u>1,698.48</u> (3)	<u>N/A</u>
	<u>\$58,500</u>	<u>\$9,000</u>	<u>\$7,788.89</u>	<u>\$16,788.89</u>	<u>\$33,709.59</u> (4)

(1) Refer to other pertinent information. (page 21)

(2) First full year of operation for the Arizona Ethics Board. Expenses include Equipment, \$1,600; secretarial and recording expense, \$1,100; travel and per diem expense, \$2,000.

(3) As of January 31, 1979.

(4) Excludes fiscal year 1978-79.

The members of the Arizona Ethics Board have expressed a desire to expand the scope, authority and jurisdiction of the Board and by so doing, make the Board more responsive to the needs of the people of Arizona. The Office of the Auditor General expresses its gratitude to the members of the Board and the staff of the ASBAO for their cooperation, assistance and consideration during the course of our audit.

SUNSET FACTORS

SUNSET FACTOR: OBJECTIVE AND PURPOSE IN ESTABLISHING THE BOARD

The Arizona Ethics Board was created in 1975 as a part of the "Good Government" Legislation passed by the Arizona State Legislature (Regular Session, 1974).

Attorney General Opinion 75-729 states^{*} in part:

"...it would appear that the Ethics Board has been given the responsibility to consider the validity and make findings regarding the merits of "Complaints" which are brought to its attention, and to make such other investigations and inquiries into the disclosures which, in its discretion, are warranted within the limitation of its resources..."

The Board states its program goals as follows:

- To provide prompt and factual review and investigation of charges against public officials.

SUNSET FACTOR: THE DEGREE TO WHICH THE BOARD HAS BEEN ABLE TO RESPOND TO THE NEEDS OF THE PUBLIC AND THE EFFICIENCY WITH WHICH IT HAS OPERATED

Because of its limited scope, authority and jurisdiction, the Arizona Ethics Board has had minimal activity since its inception in 1975. (page 16) The powers of the Board are limited to hearing complaints from the general public concerning the limited financial disclosure statements of nine elected State officials.* Because of these limitations and resultant lack of activity on the part of the Board, it does not appear that the Board has been able to respond to the needs of the public. (For a further discussion of these issues, see page 8.)

*See Appendix IV for a full text of Attorney General Opinion 75-729.

SUNSET FACTOR: THE EXTENT TO WHICH THE BOARD HAS OPERATED
WITHIN THE PUBLIC INTEREST

The Arizona Ethics Board has not heard a complaint against a public official since its inception on March 31, 1975. As of February 1, 1979, only three complaints have been presented to the Board and it was determined that all of these complaints were outside the scope, authority and jurisdiction of the Board.

Because its scope, authority and jurisdiction are so limited, it is difficult to conclude that the Board has operated within the public interest. (For a discussion of these issues, see page 8.)

SUNSET FACTOR: THE EXTENT TO WHICH RULES AND
REGULATIONS PROMULGATED BY THE BOARD ARE
CONSISTENT WITH THE LEGISLATIVE MANDATE

After reviewing the rules and regulations promulgated by the Board, it appears that these rules and regulations are consistent with A.R.S. Sections 38-541 through 38-563.

SUNSET FACTOR: THE EXTENT TO WHICH THE AGENCY HAS
ENCOURAGED INPUT FROM THE PUBLIC BEFORE PROMULGATING
ITS RULES AND REGULATIONS AND THE EXTENT TO WHICH IT
HAS INFORMED THE PUBLIC AS TO ITS ACTIONS AND THEIR
EXPECTED IMPACT ON THE PUBLIC

The meetings of the Arizona State Ethics Board are open to the public. Notices of meetings are posted in the Occupational Licensing Building and circulated to interested parties through direct mailings and other approved methods. The Board has heard statements from public organizations and individuals and has made an effort to incorporate this public input into its procedures. The rules and regulations, however, were developed directly from A.R.S. Sections 38-541 through 38-563, and as such, there was no public input in the development of the Board's rules and regulations.

The extent to which the Board has informed the public of its actions and their expected impact cannot be determined because the Board has heard no complaints nor issued any opinions since its inception in 1975. (page 14)

SUNSET FACTOR: THE EXTENT TO WHICH THE AGENCY
HAS BEEN ABLE TO INVESTIGATE AND RESOLVE
COMPLAINTS THAT ARE WITHIN ITS JURISDICTION

The Arizona Ethics Board has received no complaints within its jurisdiction.
(page 14)

SUNSET FACTOR: THE EXTENT TO WHICH THE
ATTORNEY GENERAL OR ANY OTHER APPLICABLE
AGENCY OF STATE GOVERNMENT HAS THE AUTHORITY
TO PROSECUTE ACTIONS UNDER THE ENABLING LEGISLATION

A.R.S. Section 38-562 C. states that:

"If the board finds based upon a preponderance of the evidence that there is probable cause to believe that the facts alleged in the complaint are true and constitute a violation of this chapter or a violation of article 1 of this chapter, it shall report its findings to the person filing the complaint, the public officer against whom the complaint is filed, the governor and to the appropriate law enforcement agency for proceedings in prosecution of such violations."

However, the Attorney General has advised the Board that there are restrictions on the Board's authority to transmit information to law enforcement agencies.
(page 16)

SUNSET FACTOR: THE EXTENT TO WHICH THE BOARD
HAS ADDRESSED DEFICIENCIES IN THEIR ENABLING
STATUTES WHICH PREVENT THEM FROM FULFILLING
THEIR STATUTORY MANDATE

Since its creation in 1975, the Board has made several attempts to have the statutes revised to expand its scope of authority and jurisdiction.

In his letter of resignation, dated February 28, 1978, Board Member Everett Jones said:

"...It is my opinion that the legislation provided to implement this Committee is insufficient to responsibly discharge its intended functions. The scope of authority of the Committee is too narrow to be of general use to the citizens of Arizona and the observance of the formality of occasional meetings of those appointed to the Board serves no useful function..."

SUNSET FACTOR: THE EXTENT TO WHICH CHANGES
ARE NECESSARY IN THE LAWS OF THE AGENCY TO
ADEQUATELY COMPLY WITH THE FACTORS LISTED
IN THIS SUBSECTION

For a discussion of these issues, see page 19.

FINDING

THE ARIZONA ETHICS BOARD IS SUBSTANDARD WITH REGARD TO FUNDING, SCOPE, AUTHORITY, JURISDICTION AND ACTIVITY LEVEL WHEN COMPARED TO THE OTHER STATES' ENTITIES THAT REGULATE PUBLIC OFFICIALS. AS A RESULT, THE ARIZONA ETHICS BOARD HAS NOT DEMONSTRATED ANY EFFECTIVENESS SINCE ITS INCEPTION IN 1975.

As of January 1, 1979, there were entities in 36 states which were responsible for regulating public officials by reviewing financial disclosure statements, investigating conflicts of interest and enforcing the state's ethics laws as they pertain to public officials. The Arizona Ethics Board is decidedly substandard with regard to budget appropriation, full-time support staff, scope, authority and number of officials regulated, and number of complaints heard against public officials when compared to the other states' entities that regulate public officials.

BUDGET APPROPRIATION

The Arizona Ethics Board's budget appropriation for fiscal year 1978-79 is \$9,700. Of the 36 states' entities that have been established to regulate public officials, only four (Maine, Louisiana, Nevada and Colorado) were appropriated less funds than the Arizona Ethics Board to carry out their responsibilities.

In California the entity responsible for regulating public officials is the Fair Political Practices Commission (FPPC). The 1978-79 budget appropriation for the California FPPC is \$1,384,000 which is the largest state budget appropriation given to any of the 36 states' entities responsible for regulating public officials. The next largest 1978-79 state budget appropriation of \$384,000 was given to the Washington State Public Disclosure Commission. The total 1978-79 state budget appropriations for the 36 entities responsible for regulating public officials is \$4,391,155 or an average of \$121,977.

Table 1 summarizes the 1978-79 state budget appropriations for the 36 states that have established an entity to regulate public officials. The states on Table 1 are listed in order from the largest to the smallest 1978-79 budget appropriation. The information contained in Table 1 is based upon a survey of all 50 states conducted by the Office of the Auditor General.

TABLE 1

SUMMARY OF 1978-79 STATE BUDGET APPROPRIATIONS
FOR THE 36 STATES THAT HAVE ESTABLISHED AN ENTITY
TO REGULATE PUBLIC OFFICIALS.

	<u>STATE</u> ⁽¹⁾	
1)	California	\$1,384,000
2)	Washington	384,000
3)	Alaska	346,000
4)	Ohio	315,000
5)	Florida	234,000
6)	Kansas	158,000
7)	Minnesota	156,000
8)	Alabama	142,000
9)	Nebraska	128,000
10)	Oregon	122,000
11)	Rhode Island	112,000
12)	Hawaii	96,000
13)	New Jersey	91,000
14)	Wisconsin	81,000
15)	Illinois	77,400
16)	South Carolina	71,300
17)	Connecticut	66,000
18)	New York	58,000
19)	North Carolina	44,000
20)	Maryland	42,000
21)	Kentucky	38,000
22)	Massachusetts	36,000
23)	Georgia	28,000
24)	Indiana	25,950
25)	Texas	24,385
26)	South Dakota	23,000
27)	Tennessee	18,640
28)	Oklahoma	15,280
29)	Arkansas	15,000
30)	Michigan	12,000
31)	Pennsylvania	10,000
32)	<u>ARIZONA</u>	9,700
33)	Maine	9,000
34)	Louisiana	8,000
35)	Nevada	8,000
36)	Colorado	2,000

(1) Listed in order from the largest to the smallest 1978-79 budget appropriation.

FULL-TIME SUPPORT STAFF

The Arizona Ethics Board has no full-time support staff for fiscal year 1978-79. The Arizona State Board Administrative Office (ASBAO) provides the staff support for the Arizona Ethics Board. As of January 1, 1979, the ASBAO had 5½ full-time equivalents (FTE). According to statistics prepared by the ASBAO, less than 3 percent of its staff time was devoted to Arizona Ethics Board activities during the first six months of fiscal year 1978-79.

According to a survey conducted by the Office of the Auditor General, as of January 1, 1979, 31 of the 36 states' entities that regulated public officials had at least 1 full-time support staff. California had the most with 41 full-time support staff. Oklahoma, Tennessee and Texas had no full-time support staff but did have access to state personnel to hear complaints or conduct investigations. One state entity (Colorado) had a part-time position authorized for support staff. Thus, when contrasted with the 35 other states' entities that regulate public officials, Arizona had the least amount of support staff as of January 1, 1979.

Table 2 summarizes the amount of support staff provided to the 36 states' entities that regulate public officials. The states in Table 2 are listed in order from the largest to the least amount of support staff as of January 1, 1979.

TABLE 2

SUMMARY OF THE AMOUNT OF SUPPORT STAFF PROVIDED
TO THE 36 STATES' ENTITIES THAT REGULATE PUBLIC
OFFICIALS AS OF JANUARY 1, 1979.

	<u>STATE</u> ⁽¹⁾	
1)	California	41
2)	Washington	12
3)	Ohio	11
4)	Florida	8
5)	Alabama	7
6)	Kansas	6
7)	Minnesota	6
8)	New Jersey	6
9)	Alaska	5
10)	Nebraska	5
11)	Hawaii	4
12)	Georgia	3
13)	Illinois	3
14)	Maryland	3
15)	Oregon	3
16)	Rhode Island	3
17)	South Carolina	3
18)	Wisconsin	3
19)	Arkansas	2
20)	Connecticut	2
21)	Kentucky	2
22)	Maine	2
23)	Massachusetts	2
24)	New York	2
25)	North Carolina	2
26)	Indiana	1
27)	Louisiana	1
28)	Michigan	1
29)	Nevada	1
30)	Pennsylvania	1
31)	South Dakota	1
32)	Oklahoma	(2)
33)	Tennessee	(2)
34)	Texas	(2)
35)	Colorado	Part-time
36)	<u>ARIZONA</u>	(3)

- (1) Listed in order from the largest to the least amount of support staff provided.
- (2) These boards or commissions are part of a larger state agency. There are no full-time support personnel. However, when a complaint or investigation is undertaken, personnel are transferred to the regulating entity.
- (3) The Arizona Ethics Board is housed at the Arizona State Board's Administrative Office (ASBAO). ASBAO records indicate that 2.87% of the Office work load dealt with support functions for the Ethics Board.

SCOPE OF AUTHORITY AND NUMBER
OF OFFICIALS REGULATED

The Arizona Ethics Board has the narrowest scope of authority and regulates the fewest number of public officials when compared with the 35 other states' entities that regulate public officials. According to a report prepared by the State of Wisconsin (see Appendix I) for fiscal year 1977-78; Alabama, Washington, California, Oregon, Arkansas and Nebraska had the broadest scopes of authority. They had jurisdiction over some or all members of the following groups:

- Legislators
- Legislative employees
- Statewide elected officials
- Officers of state agencies
- State employees
- County and municipal officials and employees
- Judges
- Candidates for election to state office
- State board members

The Arizona Ethics Board has jurisdiction over only one of the above groups - statewide elected officials. There are two other state entities (Maine and Georgia) with jurisdiction over only one of the above groups. However, in both instances that group is Legislators and, as such, constitutes a broader scope of authority than is given to the Arizona Ethics Board.

In addition to having the narrowest scope of authority, the Arizona Ethics Board regulates the fewest number of public officials of any of the states' entities that regulate public officials. According to a survey conducted by the Office of the Auditor General, as of January 1, 1979, the Florida Commission on Ethics had jurisdiction over the greatest number of public officials - 29,000; while the Arizona Ethics Board had jurisdiction over the fewest number of public officials - 9.

Table 3 summarizes the scopes of authority for, and the number of public officials regulated by the 36 states' entities that regulate public officials as of January 1, 1979. The states in Table 3 are listed in order from the highest to the fewest number of public officials regulated as of January 1, 1979.

SUMMARY OF THE SCOPES OF AUTHORITY FOR AND NUMBER OF PUBLIC OFFICIALS REGULATED
BY THE 36 STATES' ENTITIES THAT REGULATE PUBLIC OFFICIALS AS OF JANUARY 1, 1979.

Public Officials Regulated By State Entity (1)

	Legislators	Legislative Employees	State Wide Elected Officials (excluding judges)	Officers of State Agencies	State Employees	County/Municipal Officials/ Employees	Judges	Candidates for Election to State Office	State Board Members	Number of Public Officials Under Board's Jurisdiction (2)
<u>State (3)</u>										
1) Florida	X	X	X	X	X	X		X	X	29,000
2) Alabama	X	X	X	X	X	X	X	X	X	12,000
3) Kansas	X	X	X	X	X	X		X	X	7,200
4) Ohio	X	X	X	X	X	X		X	X	7,000
5) Washington	X	X	X	X	X	X	X	X	X	7,000
6) South Carolina	X		X	X		X		X	X	5,700
7) California	X	X	X	X	Some	X	X	X	X	4,000
8) Oregon	X	X	X	X	X	X	X	X	X	4,000
9) Illinois				X	X				X	3,500
10) Rhode Island	X		X	X		X	X	X	X	3,300
11) New York				X	Some				X	3,000
12) Alaska	X	X	X	X		Some	X	X	X	1,575
13) Indiana			X	X	X			X	X	1,500
14) Texas	X	X	X	X	X		X	X	X	1,500
15) Michigan				X	X				X	1,000
16) Wisconsin	X	Some	X	X	Some			X	Some	850
17) Minnesota	X	X	X	X			Some	X	X	800
18) Tennessee (Note 2)	X		X	X						800
19) Pennsylvania				X	X					700
20) Maryland	X		X	X	X			X	X	680
21) Hawaii	X	X	X	X	X				X	600
22) North Carolina			X	X	X				X	515
23) Colorado	X		X							500
24) Nevada	X	X	X	X	X	X		X	X	500
25) New Jersey	X	X		X	X				X	500
26) Oklahoma			X	X	X				X	500
27) Kentucky			Governor Only	Some	Some				Some	400
28) South Dakota	X	X	X	Some		Some	X	X	Some	400
29) Louisiana	X	X	X	X	X		X		X	400
30) Arkansas	X	X	X	X	Some	X	X	X	X	350
31) Nebraska	X	Some	X	X	Some	Some	X	X	X	300
32) Connecticut	X	X	X	X	Some					200
33) Maine	X									200
34) Georgia	X									100
35) Massachusetts	Senator	Some								60
36) ARIZONA			X							9

(1) Source - Guide to Ethics Boards and Commissions prepared by the State of Wisconsin Ethics Board (Appendix I)

(2) Source - Office of the Auditor General survey.

(3) Listed in order from the highest number of public officials regulated to the fewest number of public officials regulated.

NUMBER OF COMPLAINTS HEARD
AGAINST PUBLIC OFFICIALS

The Arizona Ethics Board was the only state entity with the responsibility of regulating public officials that did not hear a complaint against a public official during fiscal year 1977-78. The New Jersey Executive Committee on Ethical Standards heard the most complaints against public officials - 316. The New York Board on Public Disclosure, the Washington State Public Disclosure Commission and the California Fair Political Practices Commission were second, third and fourth in the number of complaints heard during fiscal year 1977-78, with 214, 180 and 120, respectively.

Table 4 summarizes the numbers of complaints heard against public officials during fiscal year 1977-78, by the 36 states' entities that regulate public officials. The states in Table 4 are listed in order from the most to the least number of complaints heard.

TABLE 4

SUMMARY OF THE NUMBER OF COMPLAINTS HEARD
DURING FISCAL YEAR 1977-78 BY THE 36 STATES'
ENTITIES THAT REGULATE PUBLIC OFFICIALS.

	<u>State</u> ⁽¹⁾	<u>Number of complaints heard Against Public Officials</u>
1)	New Jersey	316
2)	New York	214
3)	Washington	180
4)	California	120
5)	Ohio	61
6)	Kansas	60
7)	South Dakota	44
8)	Alabama	37
9)	Illinois	30
10)	Florida	25
11)	Nevada	22
12)	Alaska	18
13)	South Carolina	18
14)	Texas	18
15)	Connecticut	15
16)	Maryland	15
17)	Colorado	14
18)	North Carolina	12
19)	Oregon	12
20)	Hawaii	10
21)	Kentucky	10
22)	Maine	10
23)	Michigan	10
24)	Minnesota	10
25)	Rhode Island	10
26)	Nebraska	9
27)	Tennessee	9
28)	Oklahoma	8
29)	Arkansas	7
30)	Louisiana	6
31)	Wisconsin	6
32)	Georgia	5
33)	Indiana	5
34)	Massachusetts	5
35)	Pennsylvania	4
36)	<u>ARIZONA</u>	0

(1) Listed in order from the most to the least number of complaints heard.

LACK OF DEMONSTRATED EFFECTIVENESS

Since its inception in 1975, the Arizona Ethics Board has not heard any complaints against public officials nor conducted any investigations. From March 31, 1975 to February 1, 1979, the sum of the Board's activities consisted of 1) holding 13 meetings; 2) adopting its rules and regulations; 3) requesting an Attorney General's opinion regarding its powers and duties; and, 4) receiving three complaints against public officials, none of which could be pursued because they were outside of the Board's jurisdiction.

On November 18, 1975, the Board submitted a request for an Attorney General's opinion on eight questions pertaining to the Board's powers and duties.* The Attorney General's response illustrates the narrow scope, authority and jurisdiction provided to the Board. In summary, the Attorney General responded to the Board that:

- The Board was not required to actively monitor financial disclosure statements.
- The Board was not required to maintain copies of financial disclosure statements.
- The Board could not exceed its budget appropriation, when pursuing a complaint, without Legislative authorization.
- The Board may have the authority to hold closed meetings.
- The rule-making authority of the Board was not in conflict with the Administrative Procedure Act.
- The Board could not, in its official capacity, forward a complaint to an appropriate law enforcement agency should it be without sufficient budget to carry out a hearing. However, as private citizens, individual members of the Board could notify appropriate law enforcement agencies of a possible violation.
- The failure of the Board to take action on a complaint presented to it could constitute a defense to an alleged violator should a criminal complaint subsequently be brought against such an alleged violator.

* A full text of the Board's questions and Attorney General responses - Opinion No. 75-729, is included in this report as Appendix IV.

The Attorney General opinion concluded by stating:

"...A.R.S. Section 38-562 requires in pertinent part:

- A. The Board shall receive and may initiate complaints and charges against public officers...
- B. The Board may investigate information provided on the financial statement of a public officer...
- C. The Board shall hold a hearing within 90 days after a complaint is filed (to determine its merits)...

To the extent that the Board is required to receive "Complaints" and insofar as it is required to determine the merits of those "Complaints," the Board is required to carry out an active program. These responsibilities, however, appear to be the extent of the Board's mandatory duties. Although the Board has substantial discretionary powers, there appears to be no requirement expressed in the Statute which would impose upon the Board the obligation to be a watchdog of the accuracy of the financial disclosure statements filed by public officials.

In short, it would appear that the Ethics Board has been given the responsibility to consider the validity and make findings regarding "Complaints" which are brought to its attention, and their investigations and inquiries into the disclosures which, in its discretion, are warranted within the limitation of its resources.

Your letter of November 18, 1975 also requests this office to render investigative assistance to the Board. At the outset we would point out that the duty to investigate is placed squarely upon the Board and does not obligate the Attorney General to provide investigatory services for the Board. Many agencies of the State request that we afford them investigative assistance and within the limits of our resources we do so. Our investigative staff is consequently usually overburdened. Thus, any investigative assistance this office will be able to render will be extremely limited." (Emphasis added)

According to former and current members of the Arizona Ethics Board, the narrow scope, authority and jurisdiction which is provided to the Board is directly responsible for the absence of activity on the Board's part. For example, in a January 14, 1977, letter to Governor Raul Castro, then Board Chairman, Dr. Richard W. Cain stated in part:

"The State Ethics Board of Arizona, as opposed to the statutory provisions of many other states, requires that the Board sit only as a quasi-judicial body when a complaint is made. The complaint may only concern itself with the financial disclosure provisions of our state law, which provisions exclude disclosures with respect to cash surrender values of insurance, sources of compensation outside public service from the public officer's business or profession, real estate used primarily for personal recreation, debts resulting from ordinary conduct of business or profession, personal residence, consumer debts or debts secured by life insurance or debts to relatives, and other financial facts.

In addition, and unlike some other states, the question of conflict of interest disclosures, found in A.R.S. Sections 38-501 through 38-521, is excluded from the jurisdiction of the State Ethics Board.

...it has occurred to our collective mind that the citizens of this State may mistakenly take comfort in an assumption that the existence of a State Ethics Board implies a general and continuing review of the financial disclosure statements required by our State Code and conflict of interest disclosures. Those statements should amount to something more than the stuffing of additional file cabinets with documents which, once filed, will be ignored."

(A complete copy of this letter is attached to this report as Appendix V.)

In addition, in his letter of resignation, dated February 28, 1978, Board Member Everett Jones said:

"It is my opinion that the legislation provided to implement this Committee is insufficient to responsibly discharge its intended functions. The scope of authority of the Committee is too narrow to be of general use to the citizens of Arizona and the observance of the formality of occasional meetings of those appointed to the Board serves no useful function."*

Further, Acting Board Chairman Myles Stewart stated at the January 26, 1979 Board Meeting -

"...I still go back to what is my personal...feeling that those in this state that believe we have a State Ethics Board or ethics panel probably are under some very grave misapprehensions about what we really are designed to do with respect to...controlling conflict of interest and controlling standards of financial disclosure. I am extremely concerned that that is what people think...If we are going to be apparently such a board and really nothing, then I can't see the sense in continuing."**

CONCLUSION

When contrasted with the 35 other states' entities that regulate public officials, as of January 1, 1979, the Arizona Ethics Board had the narrowest scope, authority and jurisdiction and the least amount of full-time support staff. In addition, the Arizona Ethics Board was 32nd in budget appropriation and last in the number of complaints heard against public officials during fiscal year 1977-78. As a result of its substandard funding level, scope, authority and jurisdiction, the activity level of the Arizona Ethics Board has been minimal since its inception in 1975.

RECOMMENDATION

The funding, scope, authority and jurisdiction for the Arizona Ethics Board should be increased if the Board is to be continued. The present funding, scope, authority, jurisdiction and resultant activity level do not justify continuing the Arizona Ethics Board beyond July 1, 1980.

* A complete copy of this letter is attached as Appendix VI.

** See Appendix III for excerpts from the Arizona Ethics Board meeting of January 26, 1979.

OTHER PERTINENT INFORMATION

NON-COMPLIANCE WITH A.R.S. SECTION 38-563

Arizona Revised Statutes Section 38-563 states that:

"The board shall provide a continuing program of education and information concerning ethics, conflicts of interest, and financial disclosure."

The Arizona Ethics Board does not provide any program of continuing educating.

Acting Board Chairman Myles Stewart stated that this non-compliance has occurred for the following reasons:

- Lack of funding;
- The Board was unable to determine the intent behind the requirement and were therefore unable to develop an appropriate program; and
- The scope and jurisdiction of the Board were so narrow as to make any such program useless.

SERVICE CONTRACT WITH DEPARTMENT OF ADMINISTRATION

The Arizona Ethics Board has no full-time support staff. All support functions are provided by the Department of Administration through the Arizona State Board Administrative Office (ASBAO). The ASBAO, created in 1976, was designed to provide secretarial, clerical and other general support functions and office facilities to a number of small state boards or commissions. At the present time, 12 boards are housed at the ASBAO. These boards are:

- 1) Athletic Commission
- 2) Chiropractic Examiners
- 3) Dispensing Opticians
- 4) Ethics Board
- 5) Funeral Directors and Embalmers
- 6) Naturopathic Examiners
- 7) Optometry Examiners
- 8) Physical Therapy Examiners
- 9) Psychologist Examiners
- 10) Podiatry Examiners
- 11) Veterinarian Medical Examiners
- 12) Nursing Care Institutional Administrators

Each of the above boards pays a contract amount to the Department of Administration based upon the amount of secretarial, clerical, general support and office space provided to it by the ASBAO. The ASBAO contract amounts for the above boards for fiscal year 1976-77, were based upon estimates of the amount of service that ASBAO would provide to each board. In the case of the Arizona Ethics Board, the actual level of service provided to it by the ASBAO during fiscal year 1976-77, was considerably less than anticipated, thus the board was charged for services it did not receive.

According to the Administrative Manager of the ASBAO, this overcharge occurred because at the time of the estimate, it was assumed that the Board would be actively engaged in holding hearings and conducting investigations and therefore would require substantial ASBAO support. The Board did not, however, require the anticipated level of ASBAO support because it did not hold any hearings or conduct any investigations during fiscal year 1976-77. An analysis of Arizona Ethics Board expenditures for fiscal years 1976-77 and 1977-78 revealed that 78 percent of the Board's total expenditures (\$7,800) were for the ASBAO Service contract. The fiscal year 1978-79 Board contract with the ASBAO is for \$2,400.



ETHICS BOARD

1645 W. Jefferson
Phoenix, AZ 85007
(602) 271-3095

March 28, 1979

Douglas R. Norton
Auditor General
State of Arizona
112 North Central Avenue, Suite 600
Phoenix, Arizona 85004

Subject: Unanimous Resolution of the State Ethics Board

Dear Mr. Norton:

At its meeting of March 28, 1979, the Ethics Board issued the following unanimous resolution relative to Sunset Review:

The State Ethics Board has been in existence for some five (5) years and its creation was primarily the result of a lack of public confidence in both government and politicians. In other of the United States, attempts to regulate conflict of interest and financial disclosure began in the middle 1800's; thus, Arizona is new to this area of concern.

The State Ethics Board of Arizona, as opposed to the statutory provisions of many other states, requires that the Board sit only as a quasi-judicial body when a complaint is made. The complaint may only concern itself with the financial disclosure provisions of our state law, which law is remarkable in what it excludes from required disclosures.

In addition, and unlike some other states, the question of conflict of interest disclosures, found in A.R.S. §38-501 through 38-521, is excluded from the jurisdiction of the State Ethics Board.

The State Ethics Board is permitted, but not required, to recommend legislation relating to ethics, conflicts of interest and financial disclosure and advisory opinions concerning these matters. Curiously, the State statutes are mandatory in requiring that this Board "shall" provide a continuing program of education and information concerning ethics, conflicts of interest and financial disclosure. Should this Board be given jurisdiction over conflict of interest, then its activities would include a program of continuing education and information as provided in ARS Section 38-563.

We recognize that the Legislature, in creating this Ethics Board, was wary of creating a "monster" in the sense of having a Board with sufficient power to misuse it. It is better to go slow in the early stages, and we believe we have done so. We sincerely agree that extremism has no place in any branch of government. We have no wish to initiate, of our own motion, any hearings for the same reason that judges do not wander the streets attempting to drum up business in civil or criminal litigation.

On the other hand, it has occurred to our collective mind that the citizens of this State may mistakenly take comfort in a false assumption that the existence of a State Ethics Board implies a general and continuing review of the financial disclosure statements required by our State Code, and perhaps conflict of interest disclosures. The Board recommends that its jurisdiction be expanded to include the area of conflict of interest as set forth in ARS Sections 38-501 through 38-505.

The Board feels no public or governmental need for a board that would actively prosecute or investigate. However, none of us are so naive as to assume that a very rapidly growing Arizona, with all the attendant financial and political pulls and tugs, will be able to exist long without some uniform and consistent guidelines in the area of conflict of interest and financial disclosure. It is the nature of our free enterprise system that competition will bring pressures upon all public servants and public employees, whether elected or appointed. Such persons are left to the mercy of a hasty decision, or a decision rendered by an attorney who is, or feels him or herself to be, in a subservient position to the public officer or employee asking for the opinion on conflict. If all such public servants could know that there is a state board designed to "take the pressure off" these hard questions and decisions with respect to conflict of interest, we believe public and political interests in this state would be well served. It would offer a comforting alternative for, say, a town councilman to turn to the record and show that he or she has submitted the conflict to the State Ethics Board for guidance. This is far better than having to deal with these predictable problems on a hurried basis.

It is the concensus of the Board that advisory opinions are sorely needed and yet there is no group or authority to issue them at the state level where they can be continuing, non-conflicting and uniform.

The members of the State Ethics Board do not feel that any inordinate increase in budget would be required to accomplish the function of an advisory body. The state statutes already require the advisory opinions on conflict of interest (presently made the duty of various public attorneys) to be lodged with the State Ethics Board. This indicates that the legislature itself may not have a complete and accurate concept of the present narrow jurisdiction of this Board. Further, it is the sense of this Board that to have these opinions sent to it really serves no purpose because the board has no authority to communicate with the authors in an attempt to achieve a uniformity and consistency of decision. Before this state reaches even greater political, social, and industrial maturity, it would be a prudent course of action to establish a single source of authority for conflicts of interest and for financial disclosure.

Although it is easy to understand and accept a legislatures' feeling that at its level of government it is better to have special legislative rules, controls and standards of ethics, those elected officials in the executive branch of state government, together with those in counties, cities, and towns, are not always as able or well-aided in the twists and turns of the conflicts and problems attendant public service.

The Ethics Board recommends that its powers and scope be expanded in the areas and in the manner set forth above.

Sincerely,



Myles C. Stewart
Chairman

MCS:je

cc: All Board Members

GUIDE TO ETHICS BOARDS
AND COMMISSIONS

Prepared by:

Jane E. Miller
STATE OF WISCONSIN ETHICS BOARD
122 W. Washington Avenue
Madison, WI 53703
(608)266-8123
R. Roth Judd, Executive Director

1/25/78

ETHICS COMMISSIONS

ALABAMA Alabama Ethics Commission, Melvin Cooper, Executive Director, 312 Montgomery St., Montgomery 36067 (205)832-5871

ALASKA Alaska Public Offices Commission, Randall P. Burns, Executive Director, 610 C St., Suite 209, Anchorage 99501 (907)279-1627

ARIZONA Arizona Ethics Board, Elaine C. Kitchener, Executive Director, 1645 N. Jefferson, Room 418, Phoenix 85007 (602)271-3095

ARKANSAS Secretary of State's Office, Paul Riviere, Staff Counsel, Rm. 262, State Capitol, Little Rock 72201 (501)371-1010

CALIFORNIA California Fair Political Practices Commission, Dan Lowenstein, Chairman; Michael Bennet, Executive Director, 1100 K Street, P.O. Box 807, Sacramento 95814 (916)322-5660

COLORADO Colorado State Board of Ethics, c/o A. Edgar Benton, Secretary, 1700 Broadway, Denver 80290 (303)861-7000 (Nominal entity at this time, working with governor to revitalize it.)

CONNECTICUT State Ethics Commission, Secretary of State's Office, 30 Trinity St., Hartford 06115 (203)566-4135, Executive Director: vacant

DELAWARE Presently no ethics commission

DISTRICT OF COLUMBIA D.C. Board of Elections & Ethics, Shari Kharasch, Chair, Winfred Mundle, General Counsel, District Building, 14th & E St., N.W., Washington, D.C. 20004 (202)347-3032

FLORIDA Florida Commission on Ethics, Lawrence A. Gonzalez, Executive Director, P.O. Box 6, Tallahassee 32302 (904)488-7864/7865

GEORGIA Presently no ethics commission -- Georgia State Campaign and Financial Disclosure Commission, Ms. Kipling L. McVay, Executive Director, 148 International Blvd., N.E., Suite 642, Atlanta 30303 (404)656-2764

HAWAII Hawaii State Ethics Commission, Gary M. Slovin, Executive Director, P.O. Box 616, Honolulu 96809 (808)536-2650 or 548-2350

IDAHO Presently no ethics commission

ILLINOIS Illinois Board of Ethics, John L. Larsen, Executive Director, 522 William G. Stratton Bldg., Springfield 62706 (217)782-3900

INDIANA Indiana State Ethics and Conflicts of Interest Commission, Executive Director: Mary A. Donovan, 108-A State Office Building, Indianapolis 46204 (317)633-4865

*INDIANA Indiana Senate Ethics Committee, State Capitol,
Indianapolis, Indiana 46204

IOWA Presently no ethics commission. Under consideration
by Governor's Task Force on Government Ethics, Don C.
Uthus, Commerce Counsel, State Capitol, Des Moines 50319
(515)281-5984

KANSAS Kansas Governmental Ethics Commission, Lynn Hellebust,
Executive Director, 109 W. 9th St., Topeka 66612
(913)296-4219

KENTUCKY Board of Ethics of the Kentucky General Assembly,
Carolyn Kinman, Secretary, 605 Teton Trail, Frankfort
40601 (502)564-2001

KENTUCKY Kentucky Financial Disclosure Review Commission, P.O. Box 431,
Corbin 40701 (606)523-0443

LOUISIANA Louisiana Commission on Governmental Ethics, Gray Saxton,
attorney, (504)389-5662. Board of Ethics for State Elected
Officials, George Hamner, Executive Secretary for both,
Capitol Station, P.O. Box 44111, Baton Rouge 70804

MAINE Commission on Governmental Ethics and Election Practices,
James Bowie, Assistant to Comm., c/o Election Division,
Office of the Secretary of State, Augusta 04333 (207)289-3501

MARYLAND Maryland Joint Committee on Legislative Ethics, members of
House and Senate Committees on Ethics, Helen Koss, Chairman
Rm. 221 State Office Bldg., Annapolis 21401 (301)269-2356

MARYLAND Maryland Public Disclosure Advisory Board, Professor
Everett F. Goldberg, Executive Secretary, 500 W. Baltimore St.,
Baltimore 21202 (301)528-7214

MARYLAND Maryland Board of Ethics, Executive Branch, Anthony M. Carey,
Executive Secretary, 301 W. Preston St., Baltimore 21201
(301)752-6780

MASSACHUSETTS Senate Committee on Ethics, Rm. 708, 14 Beacon St., Boston
02108 Harry Greenwald, Staff Director (617)727-3831

MICHIGAN Michigan State Board of Ethics, Don Willis, Executive
Secretary, Lewis Cass Building, 320 S. Walnut, Lansing
48909 (517)373-2104

MINNESOTA Minnesota Ethical Practices Board, B. Allen Clutter,
Executive Director, 41 State Office Bldg., St. Paul
55155 (612)296-5148, Elizabeth Ebbott, Chairperson

*MISSISSIPPI Presently no ethics commission

*MISSOURI Presently no ethics commission

MONTANA Presently no ethics commission

NEBRASKA Nebraska Accountability and Disclosure Commission,
11th Floor, State Capitol, P.O. Box 95086, Lincoln
68509, Executive Director: James Baylor (402)471-2522

NEVADA Executive Ethics Commission, P.O. Box 1900, Reno 89509
Chairman: Bruno Henicucci

NEVADA Legislative Ethics Commission, Legislative Bldg.,
104 S. Carson St., Carson City 89710 Chairman: Manuel
J. Cortez

*NEW HAMPSHIRE Presently no ethics commission

NEW JERSEY New Jersey Executive Commission on Ethical Standards,
Elaine B. Goldsmith, Director, 122 W. State St., Trenton
08625 (609)292-1892

NEW JERSEY New Jersey Joint Legislative Committee on Ethical
Standards, William M. Lanning, Secretary and Counsel,
Rm. 227, Statehouse, Trenton 08625 (609)292-4625

NEW MEXICO Presently no ethics commission. Bruce Rolstad, State
Director, Governor's Service Centers, Office of the
Governor, Santa Fe 87503 (505)827-5374

NEW YORK New York State Board on Public Disclosure, William D.
Cabin, Executive Secretary, c/o NYS Dept. of State,
Rm. 270 Broadway, New York 10007 (212)488-4295

NORTH CAROLINA North Carolina Board on Ethics, 116 W. Jones St.,
Raleigh 27611, Sandra L. Johnson, Executive Secretary
(919)733-5103

NORTH DAKOTA Presently no ethics commission

OHIO Ohio Ethics Commission, Richard G. Terapak, Executive
Director, 150 E. Broad St., Columbus 43215 (614)466-7090

OHIO Senate Committee on Ethics, Marigene Valiquette, Chairman,
Ohio Senate State House, Columbus, Ohio 43215 (614)466-5204

OKLAHOMA Oklahoma Ethics Commission, Bill Harkey, Suite 2040,
Liberty Tower Building, Oklahoma City, (405)521-3921

OREGON Oregon Government Ethics Commission, Robert Douglas,
Executive Director, 102 Public Service Bldg., Salem
97310 (503)378-5105

PENNSYLVANIA Pennsylvania Board of Ethics, Patricia Jasper, liaison
representative, Pennsylvania Dept. of Justice, Capitol
Annex, Harrisburg 17120 (717)787-5147

RHODE ISLAND Rhode Island Conflicts of Interest Commission, Rae B. Condon,
Executive Director, 76 Dorrance St., Providence 02903
(401)277-3790

SOUTH CAROLINA South Carolina Ethics Commission, Gary R. Baker,
Executive Director, P.O. Box 11627, Columbia 29211
(803)758-7408

SOUTH DAKOTA State Ethics Commission, Secretary of State's Office,
State Capitol, Pierre 57501 (605)224-3537 Carolyn Stahl,
Executive Director

*TENNESSEE Secretary of State, Gentry Crowell, State Capitol,
Nashville 37219

TEXAS Office of the Secretary of State, Terry Reed Goodman,
Enforcement Division, State Capitol, Austin (512)475-5619

UTAH Presently no ethics commission

*VERMONT Presently no ethics commission

VIRGINIA Presently no ethics commission. John W. Garber, Director
of Personnel, Dept. of Personnel and Training, 302 State
Finance Building, Richmond, Virginia 23219

WASHINGTON Washington State Public Disclosure Commission, Graham E.
Johnson, Administrator, 403 Evergreen Plaza Bldg., 711
South Capitol Way, Olympia 98504 (206)753-1111

WEST VIRGINIA Presently no ethics commission

WISCONSIN State of Wisconsin Ethics Board, 122 W. Washington Ave.,
Madison 53703, Executive Director: R. Roth Judd
(608)266-8123

WYOMING Presently no ethics commission

* Those states which did not respond to the questionnaire.

ALABAMA	Act No. 130, 1975 Session
ALASKA	AS 15.13, AS24.45, & AS 39.50
ARIZONA	Arizona Revised Statutes 38-561
ARKANSAS	Ark. Stat. Ann. § 12-3001 -- 3008
CALIFORNIA	Political Reform Act of 1974, Gov. Code § 81000, et. seq.
COLORADO	Executive Order
CONNECTICUT	Public Act 77-600(1977 General Assembly)
DELAWARE	-----
DISTRICT OF COLUMBIA	D.C. Code Title 11, Chapter 11, 11a
FLORIDA	Florida Statute § 112.320; Fla. Const. Art. II
GEORGIA	Ga. Laws 1974 pp 155-162[(Act 803 Sec.8(f) (SB 454)]
HAWAII	HRS Ch. 84
IDAHO	-----
ILLINOIS	Executive Order #3 (1977)
INDIANA EXEC.	Public Law #4 (I.C. 4-2-6)
INDIANA SENATE	
IOWA	-----
KANSAS	K.S.A. 1976 Supp. 25-4119a
KENTUCY LEGIS.	KRS 6.750
KENTUCKY FDRC	Executive Order
LOUISIANA	Act 110 of 1964 (West's Digest Title 42: 1101-etc.)
MAINE	Title 1, Chapter 25, Maine Revised Annot.
MARYLAND LEGIS.	Art. 40, Sec. 89-91
MARYLAND PDAB	Md. Ann. Code Art. 33, § 29-7
MARYLAND	Executive Order
MASSACHUSETTS	Senate Order adopted 10/19/77
MICHIGAN	ACT 196 PA 1973
MINNESOTA	Minn. Statutes Chap. 10A
MISSISSIPPI	
MISSOURI	

MONTANA	Montana Statutes 59-1702-1710
NEBRASKA	Ch. 49-1401-14, 135 NEB RR Supra 1946
NEVADA EXEC.	NRS 281.411 thru 281.581
NEVADA LEGIS.	NRS 281.411 thru 281.581
NEW HAMPSHIRE	
NEW JERSEY EXEC.	NJSA 52:13D-12 et. seq.
NEW JERSEY LEG.	NJSA 52:13D-12 et. seq.
NEW MEXICO	New Mexico Statutes 5-12-1 to 5-12-15
NEW YORK	E.O. 10 (5/75) & 10.1 (10/76)
NORTH CAROLINA	Executive Order
NORTH DAKOTA	-----
OHIO EXEC.	Ohio Revised Code Chapter 102
OHIO SENATE	Ohio Revised Code Chapter 102
OKLAHOMA	-----
OREGON	ORS 244
PENNSYLVANIA	Executive Order 1974-6; State Adverse Interest Act 71 P.S. 776.1 et. seq.
RHODE ISLAND	Rhode Island General Law, Title 36, Chapter 14
SOUTH CAROLINA	Act No. 191 of 1975 (sec. 8-13-10, 1976 Code of Laws)
SOUTH DAKOTA	SDCL Chapter 12-25A
TENNESSEE	
TEXAS	Article 6252-9(b), Texas Statutes
UTAH	-----
VERMONT	
VIRGINIA	-----
WASHINGTON	RCW 42.17.350
WEST VIRGINIA	-----
WISCONSIN	s.19.41 thru 19.50, Wisconsin Statutes
WYOMING	-----

SCOPE OF RESPONSIBILITY

	ETHICS CODE		LOBBYING		ELECTIONS		OPEN RECORDS	OPEN MEETINGS	Other
	Financial Disclosure	Prohibitions	Registration	Regulation	Campaign Finance	Conduct of Elections			
ALABAMA	Y	Y	Y	Y	N	N	N	N	
ALASKA	Y	N	Y	Y	Y	N	Y	Y	
ARIZONA	Y	N	N	N	N	N	N	N	
* ARKANSAS	Y	Y	Y	N	Y	Ltd.	Y	Y	
CALIFORNIA	Y	Y	Y	Y	Y	N	N	N	
COLORADO	N	Y	N	N	N	N	N	N	
CONNECTICUT	Y	Y	N	N	N	N	N	N	
** DELAWARE	Y	Y	Y	Y	Y	N	Y	Y	
FLORIDA	Y	Y	N	N	Some	Some	N	N	
GEORGIA	N	N	N	N	Y	N	N	N	
HAWAII	Y	Y	N	N	N	N	N	N	
IDAHO	-	-	-	NOT APPLICABLE		-	-	-	
ILLINOIS	Y	N	N	N	N	N	N	N	
INDIANA Exec.	Y	Y	N	N	N	N	Y	Y	
INDIANA Senate									
** IOWA	N	Y	N	N	N	N	N	N	
KANSAS	Y	Y	Y	Y	Y	N	N	N	
KENTUCKY Legis.	N	Y	N	N	N	N	Some	Y	Y
KENTUCKY PDRC	Y	Y	N	N	N	N	N	N	
LOUISIANA	N	Y	N	N	N	N	N	N	
MAINE	Y	Y	N	N	Y	Y	N	N	
MARYLAND Legis.	N	Y	N	N	N	N	N	N	
MARYLAND PDAB	Y	N	Y	N	N	N	N	N	
MARYLAND	N	Y	N	N	N	N	N	N	
MASSACHUSETTS	Y	Y	N	N	N	N	N	N	
MICHIGAN	N	Y	N	N	N	N	N	N	
MINNESOTA	Y	N	Y	Y	Y	N	Y	Y	Y
MISSISSIPPI									
WASH D.C.	Y	Y	Y	Y	Y	Y	Y	Y	

* Ethics Code administered by the Secretary of State
 ** States with standards of conduct statutes but no specific commission or agency to administer the provisions.

SCOPE OF RESPONSIBILITY

	ETHICS CODE		LOBBYING		ELECTIONS		OPEN RECORDS	OPEN MEETINGS	Other
	Financial Disclosure	Prohibitions	Registration	Regulation	Campaign Finance	Conduct of Elections			
MISSOURI									
*MONTANA	N	Y	N	N	Y	N	N	N	
NEBRASKA	Y	Y	N	Y	Y	N	Y	Y	
NEVADA Exec.	Y	Y	N	N	N	N	N	N	
NEVADA Legis.	Y	Y	N	N	N	N	N	N	
NEW HAMPSHIRE									
NEW JERSEY Exec	Y	Y	N	N	N	N	Y	Y	
NEW JERSEY Leg	N	Y	N	N	N	N	N	N	
**NEW MEXICO	N	Y	N	N	N	N	N	N	
NEW YORK	Y	Y	N	N	N	N	N	N	
NORTH CAROLINA	Y	Y	N	N	N	N	Y	Y	
NORTH DAKOTA	-	-	-	NOT APPLICABLE		-	-	-	
OHIO Exec.	Y	Y	N	N	N	N	N	N	
OHIO Senate	Y	Y	N	N	N	N	N	N	
OKLAHOMA	N	Y	N	N	N	N	N	N	
OREGON	Y	Y	Y	Y	N	N	N	N	
PENNSYLVANIA	N	Y	N	N	N	N	N	N	
RHODE ISLAND	Y	Y	N	N	N	N	N	N	
SOUTH CAROLINA	Y	Y	N	N	Y	N	N	N	
SOUTH DAKOTA	Y	Y	N	N	Y	N	Y	Y	
*TENNESSEE									
*TEXAS	Y	Y	Y	Y	Y	N	Y	N	
UTAH	-	-	-	NOT APPLICABLE		-	-	-	
VERMONT									
**VIRGINIA	N	Y	N	N	N	N	Y	N	
WASHINGTON	Y	N	Y	Y	Y	N	Y	N	
WEST VIRGINIA	-	-	-	NOT APPLICABLE		-	-	-	
WISCONSIN	Y	Y	N	N	N	N	N	N	
**WYOMING	N	N	Y	N	Y	Y	Y	Y	

* Ethics Code administered by the Secretary of State
 ** State with standards of conduct statutes but no specific commission or agency to administer the provisions.

COVERAGE

	Legislators	Legislative Employees	State-Wide Elected Officials (other than Judges)	Officers of State Agencies	State Employees	County/Municipal Officials/Employees	Judges	Candidates for Election to State Office	Nominees for Appointment to State Office	Congressmen	Part-Time Boards (State)	Part-Time Boards (Local)	Other
ALABAMA	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Coun.	
ALASKA	Y	Y	Y	Y	N	Some	Y	Y	N	N	Y	Y	
ARIZONA	N	N	Y	N	N	N	N	Y	N	N	N	N	
ARKANSAS	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	
CALIFORNIA	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	
COLORADO	-	-	-	NOT APPLICABLE				-	-	-	-	-	
CONNECTICUT	Y	Y	Y	Y	Y	N	N	N	N	N	N	N	
DELAWARE	-	-	-	NOT APPLICABLE				-	-	-	-	-	
FLORIDA	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	
GEORGIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
HAWAII	Y	Y	Y	Y	Y	N	N	N	N	N	Y	N	
IDAHO	-	-	-	NOT APPLICABLE				-	-	-	-	-	
ILLINOIS	N	N	N	Y	Y	N	N	N	N	N	Y	N	
INDIANA Exec.	N	N	Y	Y	Y	N	N	Y	N	N	Y	N	
INDIANA Senate													
IOWA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
KANSAS	Y	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	
KENTUCKY Legis.	Y	Y	N	N	N	N	N	N	N	N	N	N	Y
KENTUCKY PDRC	N	N	Gov.	Some	Some	N	N	N	N	N	Some	N	
LOUISIANA	Y	Y	Y	Y	Y	N	Y	N	Y	N	Y	N	
MAINE	Y	N	N	N	N	N	N	N	N	N	N	N	
MARYLAND Legis.	Y	N	N	N	N	N	N	N	N	N	N	N	
MARYLAND PDAB	Y	N	Y	Y	Y	N	N	Y	N	N	N	N	Y
MARYLAND	N	N	Y	Y	Y	N	N	N	N	N	Y	N	
MASSACHUSETTS Senators	Y	N	N	N	N	N	N	N	N	N	N	N	
MICHIGAN	N	N	N	Y	Y	N	N	N	Y	N	Y	N	
MINNESOTA	Y	Y	Y	Y	N	N	Some	Y	Y	N	Y	N	
MISSISSIPPI													
WASH D.C.	Y	Y	Y	Y	N	N	N	Y	N	N	Y	N	

COVERAGE

	Legislators	Legislative Employees	State-Wide Elected Officials (other than Judges)	Officers of State Agencies	State Employees	County/Municipal Officials/ Employees	Judges	Candidates for Election to State Office	Nominees for Appointment to State Office	Congressmen	Part-Time Boards (State)	Part-Time Boards (Local)	Other
MISSOURI													
MONTANA	N	N	Y	Y	Y	N	N	N	N	N	Y	N	
NEBRASKA	Y	Some	Y	Y	Some	Some	Y	Y	Y	N	Some	Some	
NEVADA Exec.	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	Y	
NEVADA Legis.	Y	Y	Y	Y	Y	Y	N	Y	N	N	Y	Y	
NEW HAMPSHIRE													
NEW JERSEY Exec.	N	N	N	Y	Y	N	N	N	N	N	Y	N	
NEW JERSEY Leg.	Y	Y	N	N	N	N	N	N	N	N	Legis.	N	
NEW MEXICO	-	-	-	NOT APPLICABLE				-	-	-	-	-	
NEW YORK	N	N	N	Y	Some	N	N	N	Y	N	Y	N	
NORTH CAROLINA	N	N	Y	Y	Y	N	N	N	N	N	Y	N	
NORTH DAKOTA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
OHIO Exec.	N	N	Y	Y	Y	Y	N	Y	N	Y	Y	Some	Y
OHIO Senate	Sen	Sen	N	N	N	N	N	N	N	N	N	N	
OKLAHOMA	N	N	Y	Y	Y	N	N	N	N	N	Y	N	
OREGON	Y	Y	Y	Y	Y	Y	Y	Y	N	When Cand.	Y	Y	
PENNSYLVANIA	N	N	N	Y	Y	N	N	N	N	Y	N	N	
RHODE ISLAND	Y	N	Y	Some	N	Some	Y	Y	Y	N	Y	Y	
SOUTH CAROLINA	N	Y	Y	Y	Y	Y	N	Y	Y	N	Y	Y	Y
SOUTH DAKOTA	Y	N	Y	Some	N	Some	Y	Y	Some	Some	Some	Some	Y
TENNESSEE													
TEXAS	Y	Y	Y	Y	Y	N	Y	Y	Y	N	Y	N	
UTAH	-	-	-	NOT APPLICABLE				-	-	-	-	-	
VERMONT													
VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
WASHINGTON	Y	Some	Y	Some	Some	Offic.	Y	Y	N	Y	Some	N	
WEST VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
WISCONSIN	Y	Some	Y	Y	Some	N	N	Y	Y	N	Some	N	
WYOMING	-	-	NOT APPLICABLE				-	-	-	-	-	-	

STANDARDS OF CONDUCT

	Use of Position to Obtain Financial Gain	Use of Position to Obtain Anything of Value	Use of Confidential Information	Entering into Public Lease or Contract	Post-Employment Restrictions	Personal Interest in Proposed Legislation	Receipt of Gifts	Representation of Clients Before State Agencies	Fees and Honorariums	Nepotism	Competitive Bidding Requirements	Outside Employment or Business Activity Restrictions	Other
ALABAMA	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	
ALASKA	Y	Y	N	N	N	N	N	Y	N	N	N	N	
ARIZONA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
ARKANSAS	Y	N	Y	N	Y	N	Y	Y	Y	Y	N	N	
CALIFORNIA	Y	Y	N	N	N	N	Y	N	Y	N	N	N	
COLORADO	-	-	-	NOT APPLICABLE				-	-	-	-	-	
CONNECTICUT	Y	N	N	N	N	Y	N	Y	Y	N	N	Y	
DELAWARE	-	-	-	NOT APPLICABLE				-	-	-	-	-	
FLORIDA	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y	Y	
GEORGIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
HAWAII	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	
IDAHO	-	-	-	NOT APPLICABLE				-	-	-	-	-	
ILLINOIS	-	-	-	NOT APPLICABLE				-	-	-	-	-	
INDIANA Exec.	Y	Y	Y	Y	N	N	Y	N	Y	N	N	Y	
INDIANA Senate													
IOWA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
KANSAS	N	N	Y	Y	Some	N	Y	Y	Some	N	Y	N	
KENTUCKY Legis.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	
KENTUCKY FDRS	Y	Y	N	Y	Y	N	Y	Some	Y	N	Some	Some	
LOUISIANA	Y	Y	Y	Some	Y	N	Some	N	N	Spouse Child	Y	N	
MAINE	Y	Y	N	N	N	Y	Y	N	N	N	N	N	
MARYLAND Legis.	Y	Y	N	N	N	Y	Y	Y	Y	N	N	N	
MARYLAND POAB	-	-	-	NOT APPLICABLE				-	-	-	-	-	
MARYLAND	Y	Y	Y	Y	N	N	Y	Y	Y	N	N	Y	
MASSACHUSETTS	Y	N	Y	N	N	Y	Y	Y	N	N	N	Y	
MICHIGAN	Y	Y	Y	Y	N	N	Y	N	N	N	N	Y	
MINNESOTA	-	-	-	NOT APPLICABLE				-	-	-	-	-	
MISSISSIPPI													
WASH D.C.	Y	Y	Y	N	N	Y	Y	Y	Y	Y	N	N	

STANDARDS OF CONDUCT

	Use of Position to Obtain Financial Gain	Use of Position to Obtain Anything of Value	Use of Confidential Information	Entering into Public Lease or Contract	Post-Employment Restrictions	Personal Interest in Proposed Legislation	Receipt of Gifts	Representation of Clients Before State Agencies	Fees and Honorariums	Nepotism	Competitive Bidding Requirements	Outside Employment or Business Activity Restrictions	Other
ALABAMA	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	
ALASKA	Y	Y	N	N	N	N	N	Y	N	N	N	N	
ARIZONA	-	-	-	NOT APPLICABLE				-	-	-	-		
ARKANSAS	Y	N	Y	N	Y	N	Y	Y	Y	Y	N	N	
CALIFORNIA	Y	Y	N	N	N	N	Y	N	Y	N	N	N	
COLORADO	-	-	-	NOT APPLICABLE				-	-	-	-		
CONNECTICUT	Y	N	N	N	N	Y	N	Y	Y	N	N	Y	
DELAWARE	-	-	-	NOT APPLICABLE				-	-	-	-		
FLORIDA	Y	Y	Y	Y	Y	Y	Y	Y	N	N	Y	Y	
GEORGIA	-	-	-	NOT APPLICABLE				-	-	-	-		
HAWAII	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	Y	
IDAHO	-	-	-	NOT APPLICABLE				-	-	-	-		
ILLINOIS	-	-	-	NOT APPLICABLE				-	-	-	-		
INDIANA Exec.	Y	Y	Y	Y	N	N	Y	N	Y	N	N	Y	
INDIANA Senate													
IOWA	-	-	-	NOT APPLICABLE				-	-	-	-		
KANSAS	N	N	Y	Y	Some	N	Y	Y	Some	N	Y	N	
KENTUCKY Legis.	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	N	
KENTUCKY FDRC	Y	Y	N	Y	Y	N	Y	Some	Y	N	Some	Some	
LOUISIANA	Y	Y	Y	Some	Y	N	Some	N	N	Spouse Child	Y	N	
MAINE	Y	Y	N	N	N	Y	Y	N	N	N	N	N	
MARYLAND Legis.	Y	Y	N	N	N	Y	Y	Y	Y	N	N	N	
MARYLAND PDAB	-	-	-	NOT APPLICABLE				-	-	-	-		
MARYLAND	Y	Y	Y	Y	N	N	Y	Y	Y	N	N	Y	
MASSACHUSETTS	Y	N	Y	N	N	Y	Y	Y	N	N	N	Y	
MICHIGAN	Y	Y	Y	Y	N	N	Y	N	N	N	N	Y	
MINNESOTA	-	-	-	NOT APPLICABLE				-	-	-	-		
MISSISSIPPI													
WASH D.C.	Y	Y	Y	N	N	Y	Y	Y	Y	Y	N	N	

FINANCIAL DISCLOSURE PROVISIONS (PART 1)

	Income Tax Returns	Sources of Income	Business's Sources of Income (If partner or major stockholder)	Stocks and/or Bonds	Offices/Directorships	Real Estate, Interest In	Creditors/Indebtedness	Lease or Rental Arrangement with Public Agencies	Other Contracts with Public Agencies	Gifts	Compensated Representation Before Public Agencies	Fees and Honorariums	Reimbursement for Travel Expenses by Private Sources
ALABAMA *	N	Y	Y	Y	Y	Y	Y	Y	Y	N	Y	N	N
ALASKA *	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	Y
ARIZONA *	N	N	N	N	Y	Y	Y	N	N	Y	N	N	N
ARKANSAS *	N	Y	N	Y	Y	Y	N	N	N	Y	Y	N	Y
CALIFORNIA *	N	Y	Y	Y	N	Y	N	N	N	Y	N	Y	Y
COLORADO	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
CONNECTICUT *	N	Y	Y	Y	Y	Y	N	Y	Y	N	N	Y	N
DELAWARE	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
FLORIDA *	Y	Y	Y	Y	Y	Y	Y	Some	Some	Y	N	Y	N
GEORGIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
HAWAII	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N
IDAHO	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
ILLINOIS *	N	Y	N	Y	Y	Y	Y	N	N	Y	N	N	N
INDIANA Exec.*	N	N	N	Y	Y	Y	N	Y	Y	Y	Y	Y	Y
INDIANA Senate													
IOWA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
KANSAS *	N	Y	N	Y	Y	Y	N	N	N	Some	Y	Some	N
KENTUCKY Legis.	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
KENTUCKY FDRC	Y	Y	Some	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
LOUISIANA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MAINE	N	Y	N	N	N	N	N	N	N	N	N	N	N
MARYLAND Legis.	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MARYLAND * PDAB	N	Some	N	Y	Some	Y	Some	N	N	Some	N	N	N
MARYLAND	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MASSACHUSETTS*	N	Y	N	Y	Y	Y	Y	N	N	N	N	N	Y
MICHIGAN	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MINNESOTA *	N	Y	N	Y	N	Y	N	N	N	N	Some	Some	N
MISSISSIPPI													
WASH D.C. ***	Y	Y	N	Y	Y	Y	Y	N	N	Y	Y	Y	Y

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FINANCIAL DISCLOSURE PROVISIONS (PART 1)

	Income Tax Returns	Sources of Income	Business's Sources of Income (If partner or major stockholder)	Stocks and/or Bonds	Offices/Directorships	Real Estate, Interest In	Creditors/Indebtedness	Lease or Rental Arrangement with Public Agencies	Other Contracts with Public Agencies	Gifts	Compensated Representation Before Public Agencies	Fees and Honorariums	Reimbursement for Travel Expenses by Private Sources
MISSOURI													
MONTANA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
NEBRASKA *	N	Y	Y	Y	N	Y	Y	N	N	Y	N	N	N
NEVADA * Exec.	N	Y	N	N	N	Y	Y	N	N	N	N	N	N
NEVADA * Legis.	N	Y	N	N	N	Y	Y	N	N	N	N	N	N
NEW HAMPSHIRE													
NEW JERSEY *** Exec.	N	Y	Y	Y	Y	Y	Y	N	Y	Y	Y	Y	N
NEW JERSEY Legis.	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
NEW MEXICO	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
NEW YORK *	N	Y	Y	Y	Y	Y	Y	N	N	N	Y	Y	N
NORTH CAROLINA *	N	Y	Y	Y	Y	Y	Y	N	N	Y	N	Y	N
NORTH DAKOTA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
OHIO * Exec.	N	Y	Y	Y	Y	Y	Y	N	N	Y	Some	N	Some
OHIO * Senate	N	Y	Y	Y	N	Y	Y	N	N	N	N	Y	N
OKLAHOMA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
OREGON *	N	Y	N	Y	Y	Y	Y	N	N	N	N	Y	Y
PENNSYLVANIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
RHODE ISLAND *	N	Y	N	Y	Y	Y	Y	N	Y	Y	Y	N	Y
SOUTH CAROLINA *	N	N	N	N	N	Y	N	Y	Y	Some	N	N	N
SOUTH DAKOTA	N	Y	N	Y	Y	N	N	N	N	N	N	N	N
TENNESSEE													
TEXAS *	N	Y	N	Y	Y	Y	Y	N	N	Y	N	Y	N
UTAH	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
VERMONT													
VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
WASHINGTON *	N	Y	Some	Y	Y	Y	Y	N	N	N	Some	Some	Some
WEST VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
WISCONSIN *	N	N	N	Y	Y	N	Y	Y	N	N	N	Y	Y
WYOMING	-	-	-	NOT APPLICABLE				-	-	-	-	-	-

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FINANCIAL DISCLOSURE PROVISIONS (PART 2)

	Professional/Occupational Licenses	Deposits in Financial Institutions	Cash Surrender Value of Insurance Policies	Private Employer or Mature of Outside Employment	Professional Services Rendered	Trustee with Control of Trust Must Identify Trust	Trustee with Control of Trust's Interests if Held Directly	Beneficiary of Trust Must Identify Trust	Beneficiary Identifies Trust's Interests if Held Directly	Names of Members of Immediate Family	Disclosure Requirements Usually Apply to Official's Immediate Family	Values of Interests Identified	Number of Officials Required to File
ALABAMA *	N	N	N	Y	Y	N	N	Y	N	Y	Y	Y	15,000
ALASKA *	N	Y	N	N	N	Y	Y	Y	Y	Y	Y	N	1680
ARIZONA *	Some	N	N	N	N	Y	N	Y	N	Y	Y	Y	
ARKANSAS *	N	N	N	N	N	N	N	N	N	N	N	Y	
CALIFORNIA *	N	N	Y	Y	N	N	N	Y	Y	N	Y	Y	4000
COLORADO	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
CONNECTICUT *	N	N	N	N	N	N	N	N	N	N	Y	N	250
DELAWARE	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
FLORIDA *	Some	Y	Y	Y	N	N	N	Some	N	N	N	Y	29,000
GEORGIA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
HAWAII **	Y	N	N	Y	Y	Y	N	Y	N	Y	Y	Y	
IDAHO	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
ILLINOIS *	Y	N	N	Y	Y	N	N	N	N	N	Y	Y	3500
INDIANA Exec.*	Y	N	N	Y	N	N	N	N	N	N	Y	N	-
INDIANA Senate													
IOWA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
KANSAS *	N	N	N	Y	Y	Y	Y	Y	Y	Spouse	Y	N	7200
KENTUCKY Legi.	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
KENTUCKY FDRC	Y	Y	Y	Y	Y	Y	Y	Y	Y	Spouse	Y	Y	400
LOUISIANA	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MAINE	N	N	N	N	N	N	N	N	N	N	N	N	-
MARYLAND Legi.	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MARYLAND FDAB	N	N	N	Some	N	N	N	N	Y	Some	Some	Y	680
MARYLAND	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MASSACHUSETTS*	N	N	N	Y	N	N	N	Y	Y	Y	Y	Y	40+
MICHIGAN	-	-	-	NOT APPLICABLE				-	-	-	-	-	-
MINNESOTA *	N	N	N	Y	N	N	N	Y	Y	N	N	N	800
MISSISSIPPI													
WASH D.C. ***	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	N	4000

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FINANCIAL DISCLOSURE PROVISIONS (PART 2)

Professional/Occupational Licenses
 Deposits in Financial Institutions
 Cash Surrender Value of Insurance Policies
 Private Employer or Outside Employment
 Professional Employment Rendered
 Trustee with Control of Trust
 Trustee Must Identify of Trustee's Interests if Held Directly
 Beneficiary of Trust Must Identify of Trust Beneficiary's Interests if Reportable
 Beneficiary of Trust Interests if Reportable if Held Directly
 Names of Members of Immediate Family
 Disclosure Requirements Apply to Official's Family
 Values of Interests Usually Identified
 Number of Officials Required to file

MISSOURI																				
MONTANA																				
NEBRASKA *	N	Y	Y	N	N	Y	N	N	N	Y	N	N	N	N	N	N	N	N	N	N
NEVADA * Exec.	N	N	Y	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
NEVADA * Legis.	N	N	Y	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
NEW HAMPSHIRE																				
NEW JERSEY Exec. ***	Y	N	Y	N	N	N	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
NEW JERSEY Legis. ***	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
NEW MEXICO																				
NEW YORK *	Y	Y	Y	N	N	Y	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
NORTH CAROLINA *	N	Y	N	N	N	Y	N	N	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
NORTH DAKOTA																				
OHIO * Exec.	N	N	N	Y	Y	Y	Y	N	Y	N	N	N	N	N	N	N	N	N	N	N
OHIO * Senate	N	Y	Y	N	N	N	N	N	N	Y	N	N	N	N	N	N	N	N	N	N
OKLAHOMA																				
OREGON *	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
PENNSYLVANIA																				
RHODE ISLAND *	N	N	N	Y	Y	Y	Y	N	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y	Y
SOUTH CAROLINA *	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N	N
SOUTH DAKOTA																				
TENNESSEE																				
TEXAS *	Y	N	N	Y	Y	Y	Y	N	N	N	N	N	N	N	N	N	N	N	N	N
UTAH																				
VERMONT																				
VIRGINIA																				
WASHINGTON *	N	Some	Some	Some	Some	Some	Some	N	Some											
WEST VIRGINIA																				
WISCONSIN *	N	Some	Some	Some	Some	Some	Some	N	Some											
WYOMING																				

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ADVISORY OPINIONS AND COMPLAINTS

	ADVISORY OPINIONS				DISCLOSURE VIOLATIONS			PROHIBITIONS VIOLATIONS		
	Commission Renders Advisory Opinions	Opinions Available to Public	Opinions are Confidential	Number of Opinions Issued Annually	Approximate Number of Complaints Filed Annually	Number Filed by Commission	Number Filed by Other Sources	Approximate Number of Complaints Filed Annually	Number Filed by Commission	Number Filed by Other Sources
ALABAMA	Y	Y	N	65	30	10	20	60	10	50
ALASKA	-	-	-	-	15	7	8	-	-	-
ARIZONA	-	-	-	-	0	0	0	-	-	-
ARKANSAS	N/A	N/A	N/A	N/A	N/A	-	-	N/A	-	-
CALIFORNIA	Y	Y	N	75	100	5	95	10	0	10
COLORADO	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
CONNECTICUT	Y	Y	N	TOO NEW	TOO NEW	-	-	TOO NEW	-	-
DELAWARE	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
FLORIDA	Y	Y	N	200	10	0	10	50	0	50
GEORGIA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
HAWAII	Y	Y	Y	50	0	-	-	5	2	3
IDAHO	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
ILLINOIS	N	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A	N/A
INDIANA Exec.	Y	Y	N	45	N	N	N	N	N	N
INDIANA Senate										
IOWA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
KANSAS	Y	Y	N	-	50	47	3	0	-	-
KENTUCKY Legis.	Y	Y	N	3	N/A	-	-	N/A	-	-
KENTUCKY FDRC	-	-	-	-	1	1	0	-	-	-
LOUISIANA	Y	Y	N	100	N/A	-	-	30	-	30
MAINE	Y	Y	N	6	N/A	-	-	0	-	-
MARYLAND Legis.	Y	Y	N	8	0	-	-	0	-	-
MARYLAND PDAB	Y	Y	N	3-4	FEW	-	-	0	-	-
MARYLAND	Y	Y	N	15	N/A	-	-	9	0	9
MASSACHUSETTS	Y	Y	N	3	TOO NEW	-	-	TOO NEW	-	-
MICHIGAN	Y	Y	N	10-20	-	-	-	1-5	-	1-5
MINNESOTA	Y	Y	N	10	8	4	4	N/A	-	-
MISSISSIPPI										
WASH D.C.	Y	Y	N	15-30	70	70	0	10	5	5

ADVISORY OPINIONS AND COMPLAINTS

	ADVISORY OPINIONS				DISCLOSURE VIOLATIONS			PROHIBITIONS VIOLATIONS		
	Commission Renders Advisory Opinions	Opinions Available to Public	Opinions are Confidential	Number of Opinions Issued Annually	Approximate Number of Complaints Filled Annually	Number Filled by Commission	Number Filled by Other Sources	Approximate Number of Complaints Filled Annually	Number Filled by Commission	Number Filled by Other Sources
MISSOURI										
MONTANA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
NEBRASKA	Y	Y	N	-	-	-	-	-	-	-
NEVADA Exec.	Y	N	Y	-	-	-	-	-	-	-
NEVADA Legis.	Y	N	Y	-	-	-	-	-	-	-
NEW HAMPSHIRE										
NEW JERSEY Exec.	Y	Y	N	10	-	-	-	250	-	250
NEW JERSEY Leg.	Y	MOST	SOME	25	-	-	-	-	-	-
NEW MEXICO	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
NEW YORK	Y	Y	N	130	0	-	-	0	-	-
NORTH CAROLINA	Y	Y	N	10	0	-	-	0	-	-
NORTH DAKOTA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
OHIO Exec.	Y	Y	N	25	55	55	-	20	10	10
OHIO Senate	Y	-	-	-	0	0	0	0	0	0
OKLAHOMA	N	N	N	-	N/A	N/A	N/A	N	N	N
OREGON	Y	Y	N	15	0	-	-	15	-	-
PENNSYLVANIA	Y	Y	N	7-8	N/A	N/A	N/A	Few	-	Few
RHODE ISLAND	Y	Y	N	210	0	-	-	0	-	-
SOUTH CAROLINA	Y	Y	N	63	15	9	6	1	-	1
SOUTH DAKOTA	Y	Y	N	5	40	40	-	7	-	7
TENNESSEE										
TEXAS	N	N	N	-	2	-	2	-	-	-
UTAH	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
VERMONT										
VIRGINIA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
WASHINGTON	-	-	-	-	175	150	25	-	-	-
WEST VIRGINIA	-	-	-	NOT APPLICABLE	-	-	-	-	-	-
WISCONSIN	Y	N	Y	50	0	-	-	0	-	-
WYOMING	-	-	-	NOT APPLICABLE	-	-	-	-	-	-

INVESTIGATORY POWERS, HEARING PROCESS, AND PENALTIES

	INVESTIGATORY POWERS		HEARING PROCESS		Open to Public	Commission may Subpoena Witnesses	CIVIL PENALTIES			By Other Agencies	CRIMINAL PENALTIES
	Prior to Complaint	Only After Complaint has been Filed	Some	None			Directly by Ethics Commission	By the Courts	By Other Agencies		
ALABAMA	Y	N	Y	Y	Some	N	N	N	N	N	Y
ALASKA	Y	Y	N	Y	N	Y	Y	Y	N	N	Y
ARIZONA	Y	Y	N	Y	Y	Y	N	N	N	N	Y
ARKANSAS	N/A	N	N	N/A	N	N/A	N/A	N	N	N	Y
CALIFORNIA	Y	Y	N	Y	Some	Y	Y	Y	Y	Y	Y
COLORADO	-	-	-	NOT APPLICABLE			-	-	-	-	-
CONNECTICUT	Y	N	Y	Y	Y	N	Y	N	Y	N	Y
DELAWARE	-	-	-	NOT APPLICABLE			-	-	-	-	-
FLORIDA	Y	N	Y	Y	Some	Y	Y	N	Y	Y	N
GEORGIA	-	-	-	NOT APPLICABLE			-	-	-	-	-
HAWAII	Y	Y	N	Y	N	Y	Y	N	N	Y	N
IDAHO	-	-	-	NOT APPLICABLE			-	-	-	-	-
ILLINOIS	N/A	N	N	N/A	N	N/A	Y	N	N	Gov.	N
INDIANA Exec.	Y	N	Y	Y	Y	Y	N	N	N	N	N
INDIANA Senate											
IOWA	-	-	-	NOT APPLICABLE			-	-	-	-	-
KANSAS	Y	Y	N	Y	Y	Y	Some	N	N	Y	Y
KENTUCKY Legis.	N/A	N	N	N/A	N	N/A	Y	N	Y	Y	Y
KENTUCKY FDRC	Some	Y	N	Some	N	N	N	N	N	N	N
LOUISIANA	Y	Y	-	Y	Y	Y	Y	Y	Y	N	N
MAINE	Y	Y	-	Y	Y	Y	N	N	N	N	Y
MARYLAND Legis.	Y	N	Y	Y	Y	Y	Y	N	N	Y	N
MARYLAND PDAB	Y	Ltd.	Y	Y	Some	N	Y	N	Y	Y	Y
MARYLAND	Y	N	Y	Y	Y	N	Y	N	N	Y	Y
MASSACHUSETTS	Y	N	Y	N	N	N	N	N	N	N	N
MICHIGAN	Y	Y	Y	Y	Y	N	Y	N	N	Y	N
MINNESOTA	Y	Y	N	Y	N	Y	Y	N	Y	N	Y
MISSISSIPPI											
WASH D.C.	Y	Y	N	Y	Y	Y	Y	Y	Y	N	Y

INVESTIGATORY POWERS, HEARING PROCESS, AND PENALTIES

	INVESTIGATORY POWERS	Prior to Complaint	Only After Complaint has been Filed	HEARING PROCESS	Open to Public	Commission may Subpoena Witnesses	CIVIL PENALTIES	Directly by Ethics Commission	By the Courts	By Other Agencies	CRIMINAL PENALTIES
MISSOURI											
MONTANA	-	-	-	NOT APPLICABLE			-	-	-	-	-
NEBRASKA	Y	N	Y	Y	Some	Y	Y	Y	N	N	Y
NEVADA Exec.	N/A	N/A	N/A	N/A	N/A	N/A	N	N	N	N	N
NEVADA Legis.	N/A	N/A	N/A	N/A	N/A	N/A	N	N	N	N	N
NEW HAMPSHIRE											
NEW JERSEY Ex.	Y	Y	N/A	Y	Y	Y	Y	Y	Y	Y	N
NEW JERSEY Leg.	N/A	N/A	N/A	N/A	N/A	N/A	Y	Y	N	N	N
NEW MEXICO	-	-	-	NOT APPLICABLE			-	-	-	-	-
NEW YORK	N	N	N	Y	N	N	N	N	N	N	N
NORTH CAROLINA	Y	N	Y	Y	N	N	N	N	N	N	N
NORTH DAKOTA	-	-	-	NOT APPLICABLE			-	-	-	-	-
OHIO Exec.	Y	Y	N	Y	N	Y	Y	N	N	Y	Y
OHIO Senate	Y	Y	Y	Y	N	Y	Y	N	Y	N	Y
OKLAHOMA	Y	N	Y	Y	Y	Y	Y	N	N	Y	N
OREGON	Y	Y	N	Y	Y	Y	Y	Y	N	N	N
PENNSYLVANIA	Y	N	Y	N	N/A	N/A	Y	N	Y	Y	N
RHODE ISLAND	Y	N	Y	Y	N	Y	Y	Y	Y	N	Y
SOUTH CAROLINA	Y	N	Y	Y	N	Y	Y	N	Y	Y	Y
SOUTH DAKOTA	Y	N	Y	Y	N	Y	Y	N	Y	N	N
TENNESSEE											
TEXAS	NOT APPLICABLE			-	-	-	Y	N	Y	N	N
UTAH	-	-	-	NOT APPLICABLE			-	-	-	-	-
VERMONT											
VIRGINIA	-	-	-	NOT APPLICABLE			-	-	-	-	-
WASHINGTON	Y	Y	N	Y	Y	Y	Y	Y	Y	N	N
WEST VIRGINIA	-	-	-	NOT APPLICABLE			-	-	-	-	-
WISCONSIN	Y	N	Y	Y	N	Y	N	N	N	N	Y
WYOMING	-	-	-	NOT APPLICABLE			-	-	-	-	-

GENERAL INFORMATION

	COMMISSION MEMBERSHIP						STAFF		Significant Changes Foreseen in Next Year
	Number of Members	Terms	APPOINTED BY:				Number	Annual Budget	
			Governor	Legislature	Judiciary	Other			
ALABAMA	5	5yr.	Y	Y	-	Y	7	142,000	N
ALASKA	5	5yr.	Y	-	-	-	6½	314,000	Y
ARIZONA	8	4yr.	Y	-	-	-	1	10,000	N
ARKANSAS	NOT APPLICABLE						1-2	-	Y
CALIFORNIA	5	4yr.	2	-	-	3	40	1.3 mil.	N
COLORADO	-	-	-	NOT APPLICABLE			-	-	-
CONNECTICUT	7	4yr.	3	4	-	-	-	50,000	N
DELAWARE	-	-	-	NOT APPLICABLE			-	-	-
FLORIDA	9	2yr	5	4	-	-	8	215,000	Y
GEORGIA	-	-	-	NOT APPLICABLE			-	-	-
HAWAII	5	4yr.	Y	-	-	-	4	90,000	N
IDAHO	-	-	-	NOT APPLICABLE			-	-	-
ILLINOIS	3	unspec- ified	Y	-	-	-	3	70,800	-
INDIANA Exec.	5	4yr.	Y	-	-	-	1	23,000	Some
INDIANA Legis									
IOWA	-	-	-	NOT APPLICABLE			-	-	-
KANSAS	11	2yr.	5	6	-	-	5½	146,000	N
KENTUCKY Legis	9	4yr.	-	3	-	6	1	30,000	N
KENTUCKY FDRC	5	3yr.	Y	-	-	-	1½	9,000	-
LOUISIANA	3	6yr.	1	2	-	-	-	-	Y
MAINE	7	2yr.	-	6	-	1	1	7,000	N
MARYLAND Legis	10	-	-	-	-	Y	1	-	N
MARYLAND PDAB	5	4yr.	1	4	-	-	½	-	-
MARYLAND	9	4yr.	Y	-	-	-	1	30,000	Y
MASSACHUSETTS	5	2yr.	-	Y	-	-	2	32,000	N
MICHIGAN	7	4yr.	Y	-	-	-	1	10,000	Y
MINNESOTA	6	4yr.	Y	-	-	-	6	147,000	Y
MISSISSIPPI									
WASH D.C.	3	3yr.	-	-	-	Y	30	885,600	Y

GENERAL INFORMATION

	COMMISSION MEMBERSHIP						STAFF		Significant Changes Foreseen in Next Year	
	Number of Members	Terms	APPOINTED BY:				Number	Annual Budget		
			Governor	Legislature	Judiciary	Other				
MISSOURI										
MONTANA	-	-	-	NOT APPLICABLE				-	-	-
NEBRASKA	8	6yr.	Gov. 3	rec.	-	Sec. of State +3	5	120,000	N	
NEVADA Exec.	6	4yr.	Y	-	-	-	0	5,000	-	
NEVADA Legis.	8	4yr.	-	Y	-	-	0	5,000	-	
NEW HAMPSHIRE										
NEW JERSEY Ex.	7	unspecified	Y	-	-	-	4	83,000	N	
NEW JERSEY Leg.	8	2yr.	-	Y	-	-	4	0	Perhaps	
NEW MEXICO	-	-	-	NOT APPLICABLE				-	-	-
NEW YORK	7	4yr.	4	-	-	3		50,000	Court decision pending	
NORTH CAROLINA	5	unspecified	Y	-	-	-	2	42,000	N	
NORTH DAKOTA	-	-	-	NOT APPLICABLE				-	-	-
OHIO Exec.	6	6yr.	Y	-	-	-	11	300,000	Y	
OHIO Senate	6	2yr.	-	Y	-	-	-	-	-	
OKLAHOMA	6	2yr.	2	4	-	-	NONE		N	
OREGON	7	4yr.	3	4	-	-	3	100,000	N	
PENNSYLVANIA	5	4yr.	Y	-	-	-	1	-	Perhaps	
RHODE ISLAND	9	5yr.	Y	-	-	-	3	100,000	N	
SOUTH CAROLINA	6	4yr.	Y	-	-	-	3	67,000	Y	
SOUTH DAKOTA	9	5yr.	3	4	-	2	1	19,000	-	
TENNESSEE										
TEXAS	-	-	-	NOT APPLICABLE				-	-	N
UTAH	-	-	-	NOT APPLICABLE				-	-	-
VERMONT										
VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-
WASHINGTON	5	5yr.	Y	-	-	-	12	362,000	Perhaps	
WEST VIRGINIA	-	-	-	NOT APPLICABLE				-	-	-
WISCONSIN	6	6yr.	Y	-	-	-	3	72,000	Y	
WYOMING	-	-	-	NOT APPLICABLE				-	-	Y

CHAPTER 3.1
STANDARDS FOR FINANCIAL DISCLOSURE

ARTICLE 1. GENERAL PROVISIONS

Sec.

- 38-541. Definitions.
- 38-542. Duty to file financial disclosure statement; exceptions.
- 38-543. Duty to file financial disclosure statement by candidate for public office.
- 38-544. Violations; penalties.
- 38-545. Local public officers financial disclosure.

ARTICLE 2. ETHICS BOARD

- 38-561. Ethics board; appointment; terms; compensation; organizational meeting; vacancy; personnel.
- 38-562. Powers and duties of the board; complaint; hearing.
- 38-563. Education and information programs by board.

ARTICLE 3. LEGISLATIVE ETHICS COMMITTEE

- 38-581. Legislative ethics committees; duties.

Chapter 3.1, consisting of Article 1, sections 38-541 to 38-545, Article 2, sections 38-561 to 38-563, Article 3, section 38-581, was added by Laws 1974, Ch. 199, § 5.

ARTICLE 1. GENERAL PROVISIONS

Article 1, consisting of sections 38-541 to 38-545, was added by Laws 1974, Ch. 199, § 5.

§ 38-541. Definitions

In this chapter, unless the context otherwise requires:

1. "Board" means the ethics board established pursuant to § 38-561.
2. "Compensation" means money, tangible thing of value or financial benefit.
3. "Immediate family" means the public official's spouse and any minor child of whom the public official has legal custody.
4. "Public officer" means a member of the legislature and any judge of the court of appeals and the superior court, or a person holding an elective office, the constituency of which embraces the entire geographical limits of the state of Arizona. Members of congress shall not be deemed to be public officers as defined in this paragraph.
5. "Local public officer" means a person holding an elective office of an incorporated city, town or county.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 100, see note following § 38-502. **Reviser's Note:**

Pursuant to authority of section 41-1304.02 "paragraph" was substituted for "section" in paragraph 4.

§ 38-542. Duty to file financial disclosure statement; exceptions

A. In addition to other statements and reports required by law, every public officer, as a matter of public record, shall file with the secretary of state on a form prescribed by the secretary of state a verified statement disclosing:

1. The name of the public officer and each member of his immediate family and all names under which they do business.

2. Identification of each employer and of each other source of compensation amounting to more than one thousand dollars annually received by the public officer and his immediate family in their own names, or by any other person for the use or benefit of the public officer or his immediate family and a brief description of the nature of the services for which the compensation was received, except that this paragraph shall not be construed to require the disclosure of information that may be privileged by law nor the disclosure of individual items of compensation that constitute a portion of the gross income of the business or profession from which the public officer or his immediate family derives compensation.

3. The name of every corporation, trust, business trust, partnership, or association in which the public officer and his immediate family, or any other person for the use or benefit of the public officer or his immediate family, have an investment or holdings of over one thousand dollars at fair market value as of the date of said statement, or in which the public officer or his immediate family holds any office or has a fiduciary relationship, together with description of the investment, office or relationship, except that this paragraph does not require disclosure of the name of any bank or other financial institution with which the public officer or member of his immediate family has a deposit or withdrawal share account.

4. All Arizona real property interests including street address, specific location and approximate size or legal description to which either the public officer or his immediate family holds legal title, or a beneficial interest in, excluding his residence and property used primarily for personal recreation by the public officer or his immediate family.

5. The names of all persons to whom the public officer and his immediate family, in their own names or in the name of any other person, owe more than one thousand dollars, except that this paragraph shall not be construed to require the disclosure of debts owed

by the public officer or his immediate family resulting from the ordinary conduct of a business or profession, nor debts on the residence of the public officer or his immediate family, nor debts arising out of secured transactions for the purchase of consumer goods, nor debts secured by cash values on life insurance, nor debts owed to relatives.

6. The identification of all accounts receivable exceeding one thousand dollars held by the public officer and his immediate family in their own names, or by any other person for the use or benefit of the public officer or his immediate family. This paragraph shall not be construed to require the disclosure of information that may be privileged by law, nor the disclosure of debts owed to the public officer or his immediate family resulting from the ordinary conduct of a business or profession.

7. The source of each gift of more than five hundred dollars received by the public officer and his immediate family in their own names during the preceding twelve months, or by any other person for the use or benefit of the public officer or his immediate family except gifts received by will or by virtue of intestate succession, or received by way of distribution from any inter vivos or testamentary trust established by a spouse or by an ancestor, or gifts received from relatives. Political campaign contributions shall not be construed as gifts.

8. A description of all professional, occupational and business licenses in which either a public officer or his immediate family has an interest, issued by any Arizona state department, agency, commission, institution, or instrumentality, including the name in which the license is issued, the type of business or profession, and its location.

B. The statement required to be filed pursuant to this section shall be filed by each candidate for public office by September 1, 1974, and thereafter on or before the thirty-first day of January of each year except that in the case of a public officer appointed to fill a vacancy within fifteen days following the filling of such vacancy.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

§ 38-543. Duty to file financial disclosure statement by candidate for public office

A candidate for public office as specified in subsection 4 of § 38-541 shall file the financial disclosure statement containing the information required as set forth in § 38-542 on a form prescribed by the secretary of state at the time of filing of nomination papers.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

§ 38-544 PUBLIC OFFICERS AND EMPLOYEES

Title 38

§ 38-544. Violations; penalties

Any public officer or candidate who fails to file a financial disclosure statement required by §§ 38-542 and 38-543 or who knowingly and intentionally files an incomplete financial disclosure statement or who knowingly and intentionally files a false financial disclosure statement is guilty of an offense punishable by a fine of not less than three hundred dollars nor more than one thousand dollars or confinement in the county jail for up to thirty days.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

Reviser's Note:
Pursuant to authority of section 41-1304.02 "knowingly" was substituted for "knowingly" in two instances.

§ 38-545. Local public officers financial disclosure

Notwithstanding the provisions of any law, charter, or ordinance to the contrary, every incorporated city, town or county shall by ordinance, rule, resolution, or regulation adopt standards of financial disclosure consistent with the provisions of this chapter applicable to public officers.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

ARTICLE 2. ETHICS BOARD

Article 2, consisting of sections 38-561 to 38-563, was added by Laws 1974, Ch. 199, § 5.

§ 38-561. Ethics board; appointment; terms; compensation; organizational meeting; vacancy; personnel

A. There shall be an ethics board consisting of eight members appointed by the governor pursuant to § 38-211. No more than four members so appointed shall be members of the same political party. No member may be appointed to the board or continue to serve as a member of the board who is a public officer. Of the members first appointed to the board, two not of the same political party shall be appointed for a term ending the third Monday in January of 1976, two not of the same political party shall be appointed for a term ending the third Monday in January of 1977, two not of the same political party shall be appointed for a term ending the third Monday in January of 1978, and two not of the same political party shall be appointed for a term ending the third Monday in January of 1979.

Thereafter all appointments shall be for a term of four years. A vacancy caused by other than expiration of the term shall be filled in the same manner as organization appointments and shall be for the duration of the unexpired term. All appointments to fill vacancies shall be of persons of the same party as the persons to be replaced.

B. Members shall receive compensation determined pursuant to title 38, chapter 4, articles 1¹ and 2.²

C. The board shall meet within two weeks after all members have been appointed at a time and place determined by the governor. The board shall elect a chairman and such other officers as it deems necessary. Thereafter the board shall meet at the call of the chairman or upon written request of the majority of the members.

D. A majority of the members of the board constitutes a quorum. No action shall be taken by the board without concurrence of a majority of the members. The board shall adopt rules and regulations governing its procedures.

E. The board may appoint an executive secretary and such other technical, professional and clerical employees as are necessary to carry out the duties of the board.

Added Laws 1974, Ch. 199, § 5.

¹ Section 38-601 et seq.

² Section 38-621 et seq.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-562.

§ 38-562. Powers and duties of the board; complaint; hearing

A. The board shall receive and may initiate complaints and charges against public officers except as otherwise provided in this section for failure to comply with the provisions of this chapter or for conduct alleged to be in violation of article 1 of this chapter. All complaints including those of the board or any of its members shall be in writing and verified by the complainant.

B. The board may investigate information provided on the financial statement of a public officer. The board shall have the power to administer oaths and may request production of relevant information by subpoena.

C. The board shall hold a hearing within ninety days after a complaint is filed. If the board finds that the facts alleged in the complaint are not true, it shall dismiss the complaint and a copy of the report of such dismissal shall be sent to the person filing the complaint, the public officer against whom the complaint is filed and the governor. If the board finds based upon a preponderance of the evidence that there is probable cause to believe that the facts alleged in the complaint are true and constitute a violation of this chapter or a violation of article 1 of this chapter, it shall report its findings to the

§ 38-562 PUBLIC OFFICERS AND EMPLOYEES

Title 38

person filing the complaint, the public officer against whom the complaint is filed, the governor and to the appropriate law enforcement agency for proceedings in prosecution of such violations.

D. Not less than fifteen days before the date of the hearing, a notice shall be sent by certified mail to the public officer against whom the complaint is directed informing him of the date, time and place of the hearing and containing a statement of the charges and the law which the public officer is alleged to have violated. The hearing shall be conducted in the same manner as hearings conducted in accordance with title 41, chapter 6, article 1.¹ The public officer shall be given an opportunity to be represented by counsel, to examine the evidence against him, to produce evidence, to call and subpoena witnesses in his defense and to cross-examine witnesses. The board shall have a stenographic record made of the hearing.

E. The hearing shall be open to the public except in cases where the public officer named in the complaint requests a confidential hearing. All papers, records, affidavits and documents upon any complaint, inquiry or investigation relating to the proceedings of the board shall be sealed and kept confidential only if the public officer named in the complaint requested a confidential hearing.

F. Complaints alleging a violation of article 1 of this chapter, by a judicial officer of the state shall be reported to the commission on judicial qualifications and the supreme court for such action as may be determined pursuant to Article VII, Constitution of Arizona.

G. Complaints alleging a violation of article 1 of this chapter by a member of the legislature shall be reported to the president of the senate or the speaker of the house for appropriate action by that body's legislative ethics committee.

Added Laws 1974, Ch. 199, § 5.

¹ Section 41-1001 et seq.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502. section heading between "complaint" and "hearing" and "VI.I" was substituted for "6.1" in the text of subsection F.

Reviser's Note:

Pursuant to authority of section 41-1344.02 a semi-colon was inserted in the

§ 38-563. Education and information programs by board

The ethics board may recommend legislation relating to ethics, conflicts of interest, and financial disclosure, and render advisory opinions with regard to questions concerning these matters. The board shall provide a continuing program of education and information concerning ethics, conflicts of interest, and financial disclosure.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

ARTICLE 3. LEGISLATIVE ETHICS COMMITTEE

Article 3, consisting of section 38-581, was added by Laws 1974, Ch. 199, § 5.

§ 38-581. Legislative ethics committees; duties

A. There shall be a house of representatives ethics committee appointed by the speaker of the house of representatives and a senate ethics committee appointed by the president of the senate. Each committee shall be composed of five members, with at least two members of the majority and two members of the minority. Each member shall serve at the pleasure of the appointing authority. A vacancy in either committee shall be filled in the same manner as an original appointment.

B. The members of each committee shall have those powers and duties provided by the rules of the house of representatives or the senate, as the case may be.

Added Laws 1974, Ch. 199, § 5.

Historical Note

For effective date of Laws 1974, Ch. 199, see note following § 38-502.

EXCERPTS FROM THE JAN. 26, 1979 ETHICS BOARD MEETING

COMMENTS OF BOARD MEMBER MYLES STEWART:

I do not feel that the State Ethics Board ought to be actively investigated. I agree with Mr. McGee that its highest and best function would be to issue advisory opinions. As Penny has said and I think this state needs those kinds of advisory opinions. The few items that have come to our attention, even though we didn't have jurisdiction, seem to focus on the lack of one source for advisory opinions in the area of our responsibility.

The State Statute that set up this Board included section 38-545 which says "notwithstanding the provision of any law, charter or ordinance to the contrary, every incorporated city, town or county shall by ordinance, rule, resolution or regulation adopt standards of financial disclosure consistent with the provisions of this chapter applicable to public officers." Now what they seem to be saying is we're going to set up a state board to deal with nine state officers but we're instructing all local entities, and governing bodies to set up rules and regulations, and adopt standards of financial disclosure. I am not sure that that is best, cheapest, most efficient way in this state to compile a body of advisory opinions because you are going to get a lack of uniformity and the kind of approach which leads to some rebound of a super agency that reviews the ones from X country, Y county, City A, Town B and finds that there is an inconsistency and so it only results in some conflict and that really requires more public money and time to resolve.

If we were to be asked to issue advisory opinions, I still believe that we should not become an active investigative body. I think that the State already has the, primarily the A.G. office that has investigators, and that has prosecutors. You don't need to reinvent the wheel in terms of this state ethics board. Why not leave us in the advisory function or even maybe the hearing function. And that way develop a body of substantial, believable, useable parameters of conflict of interest and standards of financial disclosure. That is my second point about this particular statute. It seems to speak only to standards of financial disclosure but I think that the purpose of State Ethics boards around this nation has been broader. I would see this board with very little more budget, if any, than it has now being able to perform that kind of function and in the event that this board received a complaint with respect to whatever standards the legislative arm of this state chose to set up in the event we receive such a complaint, it would then automatically go to the A.G. office with our recommendation that it involves some violation of those standards and ask that he proceed with an investigation. That's the way I would see it in the state of Arizona, the least expensive and yet the most competent and productive way for this board to function. I believe that that is pretty much what has been the concensus of the discussion of this board over the last three or four years and the only reason that we asked certain rather penetrating questions to the A.G. a couple of years ago was that we couldn't see the legislative intent. It seemed to point one way and then another. It said we may investigate and we may proceed with prosecution, but clearly we had to know what our responsibility to the people was and is and so we asked the A.G. and

COMMENTS OF BOARD MEMBER MYLES STEWART (concl'd)

got a response which you have copies of, is that correct. I still go back to what is my great personal and very severe feeling that those in this state that believe we have a state Ethics board or ethics panel probably are under some very grave misapprehensions about what we really are designed to do with respect to their benefit in controlling conflict of interest and controlling standards of financial disclosure. I would, if I were not involved with this assume that this board has general jurisdiction and was designed to help elected public officials particularly on the local level who haven't got a lot of experience in these issues, and help them to build a body of opinion that will give them guidelines; and so I say I am extremely concerned that that is what people think and if its not the sense of the legislature of this state that such a state ethics board needs to exist, fine! If we are going to be apparently such a board and really nothing, then I can't see the sense in continuing. Those last comments were mine personally.

COMMENTS OF BOARD MEMBER MARILYN WELKER:

Basically I think I agree with just about everything that's been said. I don't want to be a prosecutor or an investigator or even a judge; but I don't know many other vehicles in the state in which, if there is a complaint, as was mentioned, it can be aired and given either a vote that it is no good or it is worth pursuing. And it is for that reason, if none other, I would like to see the committee continue to exist. To provide a vehicle if one is needed for someone to have their say to somebody who could then do something else about it. I personally don't think that we need an investigative staff. I don't want to be part of something that would be overseeing that. I would like to decide if it was worthy of investigation and then assign it to somebody else.

COMMENTS OF BOARD MEMBER PENNY BRAUN:

I am particularly interested in our getting into the function of advisory opinions. I see that as probably one of the biggest services that we could do. I think there are a lot of questions on a lot of levels of government as to where a person steps over the line into conflict of interest. Its often very difficult for the Board that they sit on to feel comfortable about making a ruling as to whether a particular member should be voting or not and I would see that that sort of thing which is not the witch hunting kind of thing but an advisory position might be a very appropriate function and probably one that is fairly much needed.

Excerpts from the Jan. 26,
1979 Ethics Board meeting
Page Three

COMMENTS OF BOARD MEMBER ROBERT PROCHNOW

Because of the size of our budget there is no way we could pursue investigations unless there were arrangements made to some kind of legal counsel, either legal counsel through the A.G. office or an amount put in our budget for professional services so we can hire counsel. If we are going to get into this type of work, we're going to need some legal assistance. I certainly am not qualified in that area and I don't know what the legislature intends; whether we should hire legal counsel, ask an appropriation for it or expect us to go through the A.G. office.

Another thing that has been worrying me... I think that they go farther than the nine people that come under our jurisdiction. And I think the last time I mentioned that if we going to be a truly Ethics Board, I think there are other political subdivisions which should come under at least our scrutiny.



OFFICE OF THE
Attorney General
STATE CAPITOL
Phoenix, Arizona 85007

APPENDIX IV

BRUCE E. BAUBITT
ATTORNEY GENERAL

March 24, 1976

Mrs. Amelia D. Lewis
9855 West Peoria Avenue
Sun City, Arizona 85351

Dear Mrs. Lewis:

This letter will express the opinion of this office regarding the following questions for which you have already received an oral response from Assistant Attorney General Frank Fleming.

1. Does the wording of subparagraph A of A.R.S. § 38-562, require the State Ethics Board to actively monitor the financial disclosure statements required under A.R.S. § 38-542 and A.R.S. 38-543?

A.R.S. § 38-562.A makes it mandatory for the Ethics Board to receive what are referred to as "complaints". Otherwise, it may initiate "complaints and charges against public officers". Sub-section A does not require that the Board monitor financial disclosure statements. Insofar as the Board is authorized to "investigate information provided on the financial statement of a public officer. . .", A.R.S. § 38-562.B, the Board may in the exercise of its discretion monitor financial disclosure statements.

2. Is there any requirement for the State Ethics Board to maintain copies of the various financial disclosure statements described in Question 1 above?

The financial disclosure statement required by law to be filed pursuant to A.R.S. § 38-542 must be filed with the Office of the Secretary of State. Although A.R.S. § 38-562.B specifically authorizes investigation of these statements by the Ethics Board and the Board has the power to request production of relevant information by subpoena, id., there is no requirement that the Board itself maintain copies of the financial disclosure statements.

3. If the State Ethics Board exceeds its budget (\$10,000 for the current fiscal year) in attempting to carry out its duties as a result of a Complaint filed by the public, does it have any redress with



March 24, 1976

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respect to expenses thereafter incurred in attempting to carry out its duties?

No money can be paid from the State Treasury unless the Legislature has made a valid appropriation for the purpose and funds are available. Arizona Constitution, Art. 9, Sec. 5; Cockrill v. Jordan, 72 Ariz. 318, 235 P.2d 1009 (1951); Op. Atty. Gen. No. 68-6. Consequently, the Ethics Board must not exceed its budget limitation of \$10,000 unless the Legislature appropriates additional money to it for its use. In short, the only redress the Board has for expenses incurred in excess of the Board's budget would be through the legislative process.

4. Does the provision for a confidential hearing set forth in subparagraph E. of A.R.S. § 38-562 conflict with the requirement for open meetings as set forth in A.R.S. § 38-431.01, or any other constitutional, statutory or case law with respect to due process?

A.R.S. § 38-562.E specifically provides that the Board shall hold confidential hearings only upon the request of the public officer named in the complaint. This provision is entirely consistent with A.R.S. § 38-431.03 A.1 which allows closed meetings for the purpose of considering the discipline of a public officer. In our view, however, your hearings should only be closed upon the request of the public officer named in the complaint; and you should not attempt to voluntarily close your hearings based upon A.R.S. § 38-431.03 A.1, although an argument may be made that this section would give you the authority to do so. We accord great weight to the language of A.R.S. § 38-562.E that specifically requires your hearings to be open to the public except in the instance allowed. For a more detailed discussion of the open meeting law and its specific requirements, we refer you to Op. Atty. Gen. No. 75-7 and recommend that you carefully review it.

5. Does the provision of subparagraph D of A.R.S. § 38-561, providing that the "Board shall adopt rules and regulations governing its procedures", imply or conflict with the provisions of the Administrative Procedure Act as set forth in A.R.S. § 41-101 [sic] through § 41-1013? Do the provisions of the Administrative Procedure Act apply to the State Ethics Board?

Section 41-1001 defines the term "rule" as "each agency statement of general applicability that implements, interprets or prescribes law or policy, or describes the organization, procedure

March 24, 1976

Page Three

or practice requirements of any agency...." A.R.S. § 41-1001.7. It also defines "agency" so as to include the Ethics Board. A.R.S. § 41-1001.1. Section 41-1002 governs the "adoption of any rule....," and establishes the procedures which have to be followed. Thus, the rulemaking provisions of the Administrative Procedure Act, A.R.S. §§ 41-1002 and 41-1002.01, apply to the Ethics Board. There is no conflict between its provisions, however, and those contained in A.R.S. § 38-561.

The provisions of the Administrative Procedures Act that apply to contested case proceedings are applicable to such proceedings conducted by the Ethics Board.

6. Do the provisions of subparagraph C of A.R.S. § 38-562 allow the State Ethics Board, should it be without sufficient budget to carry out a hearing, to send a copy of a complaint presented to it to an appropriate law enforcement agency without having conducted a hearing as set forth in the cited statute?

When the Board acts in its official capacity regarding an accusation, a hearing must be held. A.R.S. § 38-562.C. Consequently, the answer to the precise question is no. Nevertheless, A.R.S. § 38-544 makes failure to file a financial disclosure statement and/or intentional false financial disclosure a criminal offense. Consequently, as a private citizen, any member of the Board may bring his or her personal knowledge of a possible violation to the attention of an appropriate law enforcement agency.

7. If the State Ethics Board should fail to take action on a complaint received by it for violation of the provisions of A.R.S. §§ 38-542 and 38-543, would such failure to act constitute a defense to an alleged violator should a criminal complaint be brought against such alleged violator directly under the provisions of A.R.S. § 38-544 or any other provision of Arizona State law?

The answer to the question of whether or not the absence of an Ethics Board hearing would constitute a valid defense to a prosecution for the violation of A.R.S. § 38-544 is frankly unavailable at this time. A.R.S. § 38-544, which defines the crime and thus delineates its elements, does not expressly require a hearing prior to actual criminal prosecution. Similarly, there is no indication of any legislative intent so as to suggest that the statute impliedly makes the hearing a prerequisite to criminal prosecution. Nevertheless, since a hearing is afforded in the first instance, constitutional guarantees may require that it always be afforded.

The criminal process of the State of Arizona provides a constitutionally adequate opportunity for a full and fair determination as to the question of guilt. Thus, it would appear that an additional hearing at which probable cause is determined cannot be said to be essential to a fair trial. However, the history of the proceedings before the Board as it develops, or other factors, may make it possible for a criminal defendant to establish that an Ethics Board hearing in effect enlarges the opportunity for an accused person to defend himself against a criminal accusation. Should this be shown, it could be contended that the failure to provide a hearing in a given case contrary to the customary procedure would be fundamentally unfair to the person who did not receive the hearing and therefore violate due process. Similarly, the failure to provide one or a few officials with a hearing contrary to the generally applicable procedure can be contended to be based upon malice, animosity, prejudice or other improper motivation, so as to abridge the right to equal protection of the laws. Although each of these contentions and others like them can be controverted and resisted by the state, and would not likely prevail, their existence warrants concern.

In circumstances such as these, wisdom would dictate that these issues be avoided, if possible. It is rarely prudent to enter uncharted constitutional territory when unnecessary. Until such issues are resolved, it is our advice that the Board should utilize the hearing mechanism provided by A.R.S. § 35-562.E.

8. Do the provisions of A.R.S. § 38-562, setting forth the duties of the State Ethics Board, require an active effort, program or investigative plan to be carried out by the Board? Is the Board in violation of its statutory duty under A.R.S. § 38-562 if it maintains no active effort, program or investigative plan?

A.R.S. § 38-562 requires in pertinent part:

- A. The Board shall receive and may initiate complaints and charges against public officers...
- B. The Board may investigate information provided on the financial statement of a public officer...
- C. The Board shall hold a hearing within 90 days after a complaint is filed [to determine its merits]...

To the extent that the Board is required to receive "Complaints" and insofar as it is required to determine the merits of those "Complaints", the Board is required to carry out an active program. These responsibilities, however, appear to be the extent of the

Mrs. Amelia D. Lewis
March 24, 1976
Page Five

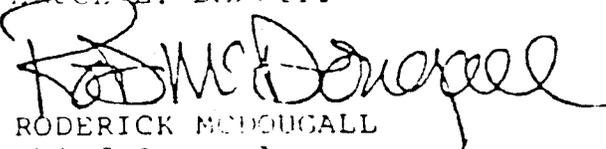
Board's mandatory duties. Although the Board has substantial discretionary powers, there appears to be no requirement expressed in the Statute which would impose upon the Board the obligation to be a watchdog of the accuracy of the financial disclosure statements filed by public officials.

In short, it would appear that the Ethics Board has been given the responsibility to consider the validity and make findings regarding the merits of "Complaints" which are brought to its attention, and to make such other investigations and inquiries into the disclosures which, in its discretion, are warranted within the limitation of its resources.

Your letter of November 18, 1975 also requests this office to render investigative assistance to the Board. At the outset we would point out that the duty to investigate is placed squarely upon the Board and does not obligate the Attorney General to provide investigatory services for the Board. Many agencies of the State request that we afford them investigative assistance and within the limits of our resources we do so. Our investigative staff is consequently usually overburdened. Thus, any investigative assistance this office will be able to render will be extremely limited.

Sincerely,

BRUCE E. BARRITT



RODERICK McDOUGALL
Chief Counsel
Civil Division

RM:FGF:jpr



ETHICS BOARD

1645 W. Jefferson
Phoenix, AZ 85007
(602) 271-3095

January 14, 1978 7

Honorable Raul Castro
Governor of the State of Arizona
Ninth Floor, West Wing
State Capitol Building
Phoenix, AZ 85007

Dear Governor Castro:

The State Ethics Board has been in existence for some eighteen (18) months and is in a position to carry on its duties as set forth in A.R.S. §38-562. We understand that our existence is primarily the result of a lack of public confidence in both government and politicians. In other of the United States, attempts to regulate conflict of interest and financial disclosure began in the middle 1800's; thus, Arizona is new to this area of concern.

The State Ethics Board of Arizona, as opposed to the statutory provisions of many other states, requires that the Board sit only as a quasi-judicial body when a complaint is made. The complaint may only concern itself with the financial disclosure provisions of our state law, which provisions exclude disclosures with respect to cash surrender values of insurance, sources of compensation outside public service from the public officer's business or profession, real estate used primarily for personal recreation, debts resulting from ordinary conduct of business or profession, personal residence, consumer debts or debts secured by life insurance or debts to relatives, and other financial facts.

In addition, and unlike some other states, the question of conflict of interest disclosures, found in A.R.S. §38-501 through 38-521, is excluded from the jurisdiction of the State Ethics Board.

The State Ethics Board is permitted, but not required, to recommend legislation relating to ethics, conflicts of interest and financial disclosure and advisory opinions concerning these matters. Curiously, the State statutes are mandatory in requiring that this Board "shall" provide a continuing program of education and information concerning ethics, conflicts of interest and financial disclosure.

January 14, 1976

We recognize that the Legislature, in creating our Board, was wary of creating a "monster" in the sense of having a Board with sufficient power to misuse it, in what might commonly be termed "witch hunts". We sincerely agree that no such activities have any place in any branch of government. We have no wish to initiate, of our own motion, any hearings for the same reason that judges do not wander the streets and attempt to drum up business in civil or criminal litigation.

On the other hand, it has occurred to our collective mind that the citizens of this State may mistakenly take comfort in an assumption that the existence of a State Ethics Board implies a general and continuing review of the financial disclosure statements required by our State Code and conflict of interest disclosures. Those statements should amount to something more than the stuffing of additional file cabinets with documents which, once filed, will be ignored. This possible false sense of security may or may not be something that should be of concern; and, may or may not be a proper subject of some legislative recommendations.

Part of our consideration would certainly be the attitude of the Governor of this State with respect to these general areas of concern, if in fact they are properly to be considered "areas of concern". We, therefore, cordially invite, and would genuinely value, any thoughts or observations you might see fit to offer with respect to these matters, always with the best interests of our citizens and our State as the ultimate objective.

Respectfully yours,

Dr. Richard W. Cain
Chairman, Ethics Board

RWC:sa



OFFICE OF THE GOVERNOR
STATE HOUSE
PHOENIX, ARIZONA 85007

RAUL H. CASTRO
GOVERNOR

IN REPLY
REFER TO

JAN 31 1977

January 27, 1977

Dr. Richard W. Cain
Chairman, Ethics Board
1645 West Jefferson
Phoenix, Arizona 85007

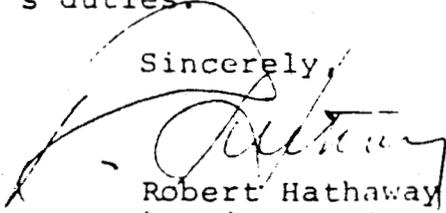
Dear Dr. Cain:

Governor Castro has asked me to respond to your recent letter regarding the duties of the State Ethics Board.

It is apparent after reviewing your letter that there are several important issues to be resolved. Some of these may possibly require legislative action. Consequently, we are forwarding a copy of your letter to Senator Jones Osborn for his study. It is suggested that you contact his office if you have any further questions on this matter.

Thank you for contacting this office. Please be assured that the Governor shares your concern about the scope of the Board's duties.

Sincerely,


Robert Hathaway
Special Assistant

RH/pb

cc: Senator Jones Osborn

2-# 1-4137

EVERETT J. JONES ASSOCIATES

APPENDIX VI

P. O. DRAWER J, 5th TENTH STREET
DOUGLAS, ARIZONA 85607
TEL: 364-0496

February 28, 1978

Wesley Bolin, Governor
State of Arizona
State Capitol Building
Phoenix, Arizona 85007

Honorable Wesley Bolin:

I have served on the State Ethics Board since its formation. I have also served in other capacities in the past few years when I was asked to give of my time on behalf of the State of Arizona and citizens. I believe strongly that every citizen owes more to their community, their state, and their country than to simply live and work in the environment provided. I have been pleased to have been of service and I do not regret the loss of any time or the minor sacrifices that I have made in order to contribute.

I would, however, like to submit my resignation from the State Ethics Committee. It is my opinion that the legislation provided to implement this Committee is insufficient to responsibly discharge its intended functions. The scope of authority of the Committee is too narrow to be of general use to the citizens of Arizona and the observance of the formality of occasional meetings of those appointed to the Board serves no useful function. The statute provides that we can make recommendations regarding needed legislation, but from a practical standpoint, the legislature must feel the need for a stronger statute in connection with conflict of interest and other related ethical questions that might reasonably be addressed by our body and I do not believe that the legislature feels there's a need for a strong Committee nor is there willingness to expand our jurisdiction to cover other elected officers at various levels of State Government or to extend our authority to the two houses of legislature itself.

I apologize for not having offered my resignation more quickly, but I am sure that you have other appointments to fill and will be continuing to make appointments in the future. I'm appreciative of the confidence that has been shown in me by these appointments and I do not intend to imply that I am unwilling to give of myself for public service, but I wish to feel that my efforts are productive and needed.

Respectfully,


Everett J. Jones, Jr.

EJJ/mnn



REPRESENTING
SAFECO INSURANCE COMPANIES