

KLC Model Code of Ethics (July 2021)

City of _____

Ordinance No. _____

An ordinance establishing an ethical conduct code applicable to the officers and employees of the city and city agencies.

COMMENT: The requirement that city employees, as well as board and commission members, be covered under the city code of ethics is optional, but we recommend that all persons working and serving within the city be covered.

WHEREAS, the General Assembly of the Commonwealth of Kentucky has enacted legislation requiring the city to enact and enforce a code of ethics governing the conduct of city officers and employees; and

WHEREAS, the officials of this city are committed to the operation of a city government manifesting the highest moral and ethical standards by its officers and employees and complying with all requirements of the Commonwealth's local government ethics law.

NOW, THEREFORE, be it ordained by the legislative body of the City of _____, Kentucky:

SECTION 1. Title.

This ordinance shall be known and may be cited as the "City of _____, Kentucky Code of Ethics."

SECTION 29. Contents of the Financial Interests Statement.

- (A) The statement of financial interests shall include the following information for the preceding calendar year:
1. The name, current business address, business telephone number, and home address of the filer.
 2. The title of the filer's office, office sought, or position of employment.
 3. The occupation of the filer and the occupation of the filer's spouse or domestic partner.
 4. Information that identifies each source of income of the filer and the filer's immediate family members exceeding \$ _____ during the preceding calendar year, and the nature of the income (e.g. salary, commission, dividends, retirement fund distribution, etc.).
 5. The name and address of any business located within the state in which the filer, or any member of the filer's immediate family, had at any time during the preceding calendar year an interest of \$ _____ at fair market value or _____% ownership interest or more.
 6. The name and address of any business located outside of the state, if the business has engaged in any business transactions with the city during the

past three years, or which is anticipated to engage in any business transactions with the city, in which the filer, or any member of the filer's immediate family, had at any time during the preceding calendar year an interest of \$ _____ at fair market value or _____ % ownership interest or more.

7. A designation as commercial, residential, or rural, and the location of all real property within the county, other than the filer's primary residence, in which the filer, or any member of the filer's immediate family, had during the preceding calendar year an interest of \$ _____ or more.
8. Each source, by name and address, of gifts or honoraria having an aggregate fair market value of \$ _____ or more from any single source, excluding gifts received from family members, received by the filer, or any member of the filer's immediate family, during the preceding calendar year.
9. Each source, by name and address, of campaign contributions having an aggregate fair market value of \$ _____ or more from any single source, excluding contributions received from family members, during the preceding calendar year.
10. The name and address of any substantial debtor or creditor owed more than \$ _____, excluding debts arising from the purchase of a primary residence or the purchase of consumer goods which are bought or used primarily for person, family, or household purposes.

(B) Nothing in this section shall be construed to require any officer or employee to disclose any specific dollar amounts, nor the names of individual clients, nor customers of businesses listed as sources of income.

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FINANCIAL DISCLOSURE

- A. The following individuals shall be required, as defined in the body of this document, to file a financial disclosure statement:
1. Elected officers annually;
 2. Candidates for elected office within 21 days of filing;
 3. Management personnel such as chief deputies, department heads - as potential conflicts of interest arise;
 4. Officers and employees with procurement authority exceeding five hundred dollars (\$500) per purchase - as potential conflicts of interest arise;
 5. Members of boards and commissions to which this Code of Ethics applies- as potential conflicts of interest arise.
- B. The financial disclosure statement shall be on a form setting forth the above (a sample attached hereto). The financial disclosure statement shall be filed annually by elected officials no later than July 1.
- C. Candidates shall be required to file the statement no later than twenty-one (21) days after the filing date or the date of nomination.
- D. Newly-appointed officers, Chief Deputies, Department Heads, Board and Commission members shall be required to file their statement of financial disclosure no later than twenty-one (21) days after the initial discovery of said potential conflict of interest.

ETHICS CODES EXAMPLES

FINANCIAL DISCLOSURE

- E. The financial disclosure statement for elective officers and candidates or an official or an employee that has an interest in matters currently (or expected to be) before the county government shall include the following information:
1. Name of filer;
 2. Current business address, business telephone number and home address of filer;
 3. Title of the filer's public office or office sought;
 4. Occupations of filer and spouse;
 5. Positions held by the filer, spouse, and minor children in any business organization or nonprofit entity from which the filer, spouse, and minor children received compensation in excess of \$10,000 during the preceding calendar year, and the name, address, and telephone number of the business organization or nonprofit entity;
 6. Name, address, and telephone number of each source of income of the filer, spouse, and minor children which exceeded \$10,000 during the preceding calendar year;
 7. Name, address, and telephone number of each business organization in which the filer, spouse, and minor children had an interest of ten thousand dollars (\$10,000) at fair market value or five percent (5%) ownership interest or more during the preceding year;
 8. The location and type (commercial, residential, agricultural) or all real property, other than the filer's primary residence, in which the filer, spouse, and minor children had an interest of ten thousand dollars (\$10,000) or more during the past year;
 9. Any officer or employee, or any member of his family (as defined in Section I of this document), of the county government who shall have any private financial interest, directly or indirectly, in any contract or matter pending before or within any department or agency of the county government shall disclose such private interest to the fiscal court or the local ethics commission;
 10. Any county judge/executive, magistrate, sheriff, jailer, coroner, constable, county attorney, county clerk, or member of his family, who has a private interest in any matter pending before the court shall disclose such private interest on the records of the court and shall disqualify himself from participating in any decision or vote relating thereto;
 11. Any officer or employee, or a member of his family, of an independent agency or special district to which this code of ethics applies who shall have any private financial interest, directly or indirectly, in any contract or matter pending before or within such independent agency or special district shall disclose such private interest to the governing body of such agency or district.

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Financial Disclosure

- F. Each statement shall be signed and dated by the individual filing the statement of financial interest. Signing a fraudulent statement shall be a Class A misdemeanor.
- G. All financial disclosure statements shall be open records. Each individual or organization requesting to view financial disclosure statements shall complete a form giving full name, address, telephone number and organization/individual represented if other than individual making request. One copy of this form shall be attached to the statement so requested and shall become a part of the record.
- H. The financial disclosure statements shall be filed with the County Ethics Commission. The financial disclosure statements shall be maintained by the County Clerk.

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