

EXHIBIT A

TITLE I. GOVERNMENTAL STRUCTURE AND ADMINISTRATION

ARTICLE 3. CODE OF ETHICS

CHAPTER 1: GENERAL PROVISIONS

Section § 1-3-1-1. Name, Purpose and Application.

- (A) This article shall be referred to as the code of ethics for the City of Lawrence, Indiana.
- (B) The purpose of this article is to set clear and high ethical standards for the official conduct of officials, appointees, and employees of City government and persons who have a business relationship with city government so that the public will have confidence that the conduct of city business is always conducive to the public good.
- (C) Public confidence in the integrity of government is essential to the exercise of good government. Accordingly, those persons under the jurisdiction of the this Code of Ethics should be committed to the following goals:
 - (1) Duties should be carried out impartially;
 - (2) Decisions and policy should not be made outside of proper channels of city government;
 - (3) Public office should not be used for private gain; and
 - (4) Actions, transactions, or involvement that have the potential to become a conflict of interest should not be performed or engaged in.
- (D) This article is not meant to unduly restrict or limit the behavior of the officials, appointees, or employees during the time when they are not on duty. Each councilor, official, appointee, or employee retains lawful rights and privileges as a private citizen to interests of a personal or private financial nature. These rights and privileges will be honored to the extent that they are compatible with an individual's elected office, appointed position, or employment.

Section § 1-3-1-2. Definitions.

- (A) For purpose of this article, the following definitions shall apply unless the context clearly indicates or requires a different meaning.

Advisory body means an authority, board, commission, committee, task force, or other body designated by any name of the city government that is authorized to make only nonbinding recommendations.

Agency means an authority, board, branch, bureau, commission, committee, council other than the common council, department, division, office, service, or other instrumentality of the city that is established by statute, ordinance, executive order, or other law. The term does not include any advisory body. The term does

not include the common council; however, all individuals excluded are invited to comply with this article.

Appointee means a person, other than an official or employee, who is appointed to an agency, a municipal corporation, or a governmental entity in the city whose budget is subject to the review of the common council.

Assist or assistance means to help, aid, advise, or furnish information to a person, and includes an offer to assist.

Business relationship means:

(1) Dealings with an agency by a person who has:

(a) a financial interest in a contract with, or purchase by, an agency;
or

(b) a license or permit requiring the exercise of judgment or discretion by the agency; or

(2) Lobbying activity by a lobbyist, as those terms are defined under Indiana Code 2-7-1-9.

Candidate for elected office means a candidate for the office of mayor or clerk.

City means the City of Lawrence, Indiana.

Common council means the Common Council of the City of Lawrence, Indiana.

Compensation means any money, thing of value, or financial benefit conferred on, or received by, any person in return for services rendered, or for services to be rendered, whether by that person or another.

Councilor means a member of the city common council.

Employee means an individual, other than a member of the common council, an official or appointee, who is employed by an agency (other than the common council) on a full-time, a part-time, a temporary, an intermittent, or an hourly basis, or via an employment contract.

Entertainment means the free admission or token of admission to a sporting contest, concert, theatrical production, convocation, parade, convention, festival, or other similar show or presentation that is intended for the divertissement of members of the public upon paid admission.

Fair market value means the price that would be paid by a willing buyer to willing seller in a good faith transaction in which objectively adequate consideration is provided.

Financial interest means an interest that will result in an ascertainable increase or decrease in the income or net worth of the official, appointee, or employee or a member of that individual's immediate family, but does not include an interest:

(1) Of a councilor, official, appointee, or employee in the common stock of a corporation unless the combined holdings in the corporation of the councilor, official, appointee, or employee, that individual's spouse, and

- that individual's dependent are more than one (1) percent of the outstanding shares of the common stock of the corporation; or
- (2) That is held as an asset in a blind trust.

Immediate family means an individual's spouse or dependent.

Information of a confidential nature means information obtained by reason of the position or office held, and that:

- (1) A public agency is prohibited from disclosing under Indiana Code 5-14-3-4(a);
- (2) A public agency has the discretion not to disclose under Indiana Code 5-14-3-4(b) and that the agency has not disclosed; or
- (3) Is not in a public record, but if it were, would be confidential.

Official means the mayor or city clerk.

Person means an individual, proprietorship, partnership, unincorporated association, trust, business trust, group, limited liability company, or corporation, whether or not operated for profit, or a governmental entity.

Political activity means taking action to support an individual in his or her campaign for elected office, or soliciting contributions for a political party or another candidate for any elected public office.

Property means money, real property, personal property, goods, supplies, services, deeds, trade secrets, contract rights, or other interests in or claims to wealth.

Relative means any person related as grandfather, grandmother, father, mother, stepfather, stepmother, brother, sister, stepbrother, stepsister, uncle, aunt, husband, wife, son, daughter, stepchild, father-in-law, mother-in-law, son-in-law, daughter-in-law, grandchild, step grandchild, niece, or nephew.

Represent means to attend an agency proceeding, write a letter, or communicate with an official, appointee, or employee of an agency on behalf of a person.

Sanctions means any of the following actions:

- (1) Canceling a contract, or barring a person from entering into a contract with an agency for a certain period of time;
- (2) Making restitution or disgorgement;
- (3) Removal from office, appointment, or employment;
- (4) Barring an individual from future employment or appointment with the city for a certain period of time;
- (5) Revocation or suspension of a license, registration, or permit issued by an agency, including but not limited to a lobbyist registration, or barring a person from obtaining such a license, registration, or permit for a certain period of time; or
- (6) Disciplinary action.

Travel expenses mean the costs of transportation, lodging, and meals. The term includes actual travel expenses or an amount approximating those expenses that would be allowed by travel policies and procedures authorized by the city controller.

CHAPTER 2: STANDARDS OF ETHICAL CONDUCT

Section § 1-3-2-1. Gifts; Food; Drink; Entertainment; Travel Expenses; Waivers.

- (A) An appointee or employee, or the immediate family thereof, shall not knowingly solicit, accept, or receive a gift, favor, service, entertainment, food, drink, travel expense, or registration fee from a person who has a business relationship with the appointee's or employee's agency or is seeking to influence an action by the appointee or employee in his or her official capacity.
- (B) The prohibition in subsection (A) does not apply to:
 - (1) Any gift, favor, service, entertainment, food, drink, travel expense or registration fee that has a value of less than twenty-five dollars (\$25.00), provided that the appointee or employee does not knowingly solicit, accept, or receive gifts, favors, services, entertainment, food, drink, travel expenses or registration fees from the same person or his or her employer that have a cumulative value of more than one hundred dollars (\$100.00) in any year between May 1 and April 30;
 - (2) Gifts, favors, services, entertainment, food, drink, travel expenses or registration fees from public agencies or public institutions; however, such gifts, favors, services, entertainment, food, drink, travel expense, or registration fees shall be utilized for the benefit of the city, and not solely for the benefit of one's self or relatives;
 - (3) Mementos or souvenirs;
 - (4) Food or drink consumed at a public meeting to which at least twenty-five (25) individuals are invited; a meeting will be considered public if:
 - (a) The event is a reception or other gathering that is not arranged to solicit government procurement of goods or services from anyone who holds a public office at the federal, state, or local level;
 - (b) The appointee or employee is giving a speech or participating in a presentation in his or her official capacity; or
 - (c) The meeting has a formal educational program that the appointee or employee is attending to assist him or her in performing official duties.
 - (5) Food, drink, entertainment, or registration fees accepted in furtherance of activities to benefit the city related to an economic development effort, including job growth or retention, reduction of blight, and securing convention and visitor business, approved in advance by the mayor or his or her director of economic development;

- (6) Gifts, favors, services, entertainment, food, or drinks from relatives, or a person with whom the individual has an ongoing social relationship that existed before the appointee or employee was appointed or employed by the agency, so long as:
 - (a) The gifts or other items of value are paid for personally by the giver, rather than a business entity, and not deducted as a business expense; and
 - (b) The giver is not seeking to influence action or inaction by the individual in that person's official capacity;
 - (7) Political contributions subject to Indiana Code 3-9-2 that are reported in accordance with the law;
 - (8) Discount and other promotional programs made generally available and approved in advance by the city controller or corporation counsel;
 - (9) Gifts, favors, services, entertainment, food, drink, travel expenses, or registration fees to members of the immediate family of an appointee or employee that the appointee or employee may benefit from so long as the gifts or other items of value are provided in the normal course of the immediate family member's employment or volunteer work and the purpose of which is not to influence action or inaction by the appointee or employee;
 - (10) Property accepted as a gift to the city and logged by the corporation counsel; and
 - (11) Any item of value for which face value or reasonable fair market value is promptly paid.
- (C) The corporation counsel may waive application of subsection (a) of this rule in individual cases when consistent with the public interest. The waiver shall be in writing and include:
- (1) The name of the appointee or employee;
 - (2) The nature and estimated value of that which is being provided;
 - (3) The name of any person who paid a portion of that which is being provided; and
 - (4) An explanation of why acceptance is consistent with the public interest.

Section § 1-3-2-2 Donor Restrictions.

- (A) It shall be a violation of this chapter for a person who has a business relationship with an appointee's or employee's agency to provide any gifts, favors, services; entertainment, food, drink, travel expenses, or registration fees to such appointee or employee, or the immediate family thereof, if that appointee or employee would not be permitted to accept the gift, favor, service, entertainment, food, drink, travel expenses or registration fees under this chapter.

Section § 1-3-2-3. Honoraria.

- (A) As used in this section, honorarium means a payment of money for an appearance, a speech or an article, but does not include payment or reimbursement of travel expenses.
- (B) An official, appointee, or employee shall not personally accept an honorarium for any activity that may be considered part of his or her official duties; however, an official,

appointee, or employee may accept an honorarium on behalf of the city. The official, appointee, or employee accepting the honorarium shall within twenty-one (21) days of receipt remit to the City controller any amount received.

- (C) An official, appointee, or employee may personally accept an honorarium for activities not done in connection with his or her official duties and that are prepared on his or her own time; however, in no case may an official, appointee, or employee accept an honorarium from a person who has a business relationship with an official, appointee, or employee or that individual's agency.

Section § 1-3-2-4. Political Activity and Patronage.

- (A) An appointee or employee shall not engage in political activity while on city time, or with city resources.
- (B) No official, appointee, or employee may request or compel political activity by a person under threat or promise of official action or inaction. No official, appointee, or employee may promise an appointment or employment as a reward for any political activity.
- (C) The chief administrative officer of an agency, appointees, and employees with final purchasing authority shall not solicit political contributions from persons with a business relationship with his or her agency on behalf of any candidate for elected office, unless that individual is a candidate for elected office himself or herself.
- (D) It shall not be a violation of this section specifically or this chapter generally for any official, appointee, or employee:
 - (1) To encourage another official, appointee, or employee to work the polls in an official position; however, no appointee's appointment or employee's performance assessment or employment may be affected by an appointee's or employee's decision to work the polls; or
 - (2) To work the polls in an official position on city time as approved by his or her supervisor.

Section § 1-3-2-5. Appointment Restrictions.

- (A) No appointee shall fail to attend more than one-third of the meetings of the agency to which the appointee is appointed in a twelve-month period.
- (B) No councilor, official, or employee may serve as an appointed member of any agency unless the statute, ordinance, or executive order establishing the agency expressly contemplates membership by that type of member.

Section § 1-3-2-6. Employment Restrictions.

- (A) An official, appointee, or employee shall not knowingly:
 - (1) Accept other employment involving compensation of substantial value if the responsibilities of that employment:
 - (a) Are inherently incompatible with the responsibilities of his or her position;
 - or

- (b) Require the individual's recusal from matters so central or critical to the performance of the individual's official duties that the individual's ability to perform those duties would be substantially impaired; or
- (2) Accept employment or engage in business or professional activity that would require the individual to disclose confidential information that was gained in the course of city employment.
- (B) An advisory opinion that grants approval of outside employment is conclusive proof that an individual is not in violation of subsection (A)(1) or (A)(2).
- (C) A current official, deputy mayor, or other individual with appointment authority to an agency, may not have an employment contract with, be otherwise employed by, or be a subcontractor of, a person - other than a governmental agency - that has a contract, agreement, purchase, or arrangement with an agency for supplies, real property, or services.

Section § 1-3-2-7 Post Employment Restrictions; Relevant Vendor Contractual Language.

- (A) As used in this section, particular matter means an application, business transaction, claim, contract, determination, enforcement proceeding, investigation, judicial proceeding, lawsuit, license, economic development project, or public works project. Particular matter does not include the proposal or consideration of a legislative matter or the proposal, consideration, adoption, or implementation of a rule or an administrative policy or practice of general application.
- (B) A former employee may not represent or assist a person in a particular matter involving the city if the former employee personally and substantially participated in the solicitation, negotiation, awarding, or performance of a particular matter as an employee, even if the former employee receives no compensation for the representation or assistance.
- (C) A former employee may not have the performance of lobbying activity, as that term is defined under Indiana Code 2-7-1-9 related to an agency or an official as a substantial responsibility of their employment or contractual relationship with a person within one (1) year following their employment with the city.
- (D) When the representation or assistance is on behalf of or otherwise not adverse to the city, the corporation counsel may waive application of subsections (B) and (C) of this rule in individual cases when consistent with the public interest. The waiver shall be in writing and include:
 - (1) The name of the individual;
 - (2) The nature of the representation or assistance;
 - (3) The name of any person who is compensating the individual to provide the representation or assistance; and
 - (4) An explanation of why the representation or assistance is consistent with the public interest.
- (E) An advisory opinion certifying that representation by or assistance from the former employee does not violate this section is conclusive proof that a former employee is not in violation of this section.

(F) Every contract or agreement between an agency or official and any person (other than a governmental entity) shall contain a provision substantially similar to the following:

[Insert person/vendor name]. providing supplies, real property, or services under this Agreement, certifies to [insert agency or official name] that no employee, contract employee, or subcontractor of [insert person/vendor]:

1. Participated in any way in the solicitation, negotiation, or awarding of this Agreement while previously employed by an agency of the City for a period of one (1) year prior to the execution of this Agreement;
2. For a period of one (1) year after such employee ceased supervising the administration or performance of this contract or agreement on behalf of an agency of the City, shall perform any functions on behalf of [insert person/vendor name] under the contract or agreement with respect to the [insert agency or official name], unless the employee's former agency has consented to the employee's performance for [insert person/vendor name] in writing;
3. Has violated any provision of City Code of Ordinances regarding the solicitation, negotiation, awarding, or performance of this Agreement;
4. Is currently an official or deputy mayor of or has appointing authority to, any agency of the City; and
5. Was previously employed by the City within one (1) year of this Agreement and currently has the performance of lobbying activity (as that term is defined under Indiana code section 2-7-1-9 related to an agency or an official as a responsibility of his or her employment or contractual relationship with [insert person/vendor name]).

Violation of this certification shall constitute a material breach of the Agreement and, upon such a violation, [agency or official] may terminate this Agreement. In addition, upon a violation of this certification, [agency or official] shall report such violation to the office of corporation counsel who may, at its discretion, debar [person/vendor name] from eligibility for future city purchasing, bids, contracts, and/or projects.

Section § 1-3-2-8. Nepotism.

(A) A relative of an official or employee shall not be employed in the same agency as the official or employee, if the relative would be hired by, supervised by, or directly supervise the official or employee; however, this section shall not apply to sworn members of the city's fire department or police department.

Section § 1-3-2-9. Additional or Excess Compensation.

(A) A councilor, official, appointee, or employee may not solicit or receive compensation:

- (1) For the sale or lease of any property or service to a person with a business relationship with the councilor or an official's, appointee's, or employee's agency that substantially exceeds the amount that the councilor, official, appointee, or employee would charge in the ordinary course of business; or
- (2) For the performance of official duties other than as provided by law.

Section § 1-3-2-10. Conflicts of interest; discussion, decisions, and voting.

- (A) At a meeting held in accordance with Indiana Code 5-14-1.5, an official shall not participate in any decision or vote, and an appointee or employee shall not participate in any discussion, decision, or vote, if he or she has knowledge that any of the following has a financial interest in the outcome of the decision or vote:
- (1) The official, appointee, or employee;
 - (2) A member of the immediate family of the official, appointee, or employee;
 - (3) A business organization in which the official, appointee, or employee is serving as an officer, a director, a trustee, a partner, employee, or subcontractor; or
 - (4) Any person with whom the official, employee, or appointee is negotiating or has an arrangement concerning prospective employment.
- (B) An official, appointee, or employee who identifies a potential conflict of interest under this article shall recuse himself or herself from further action on the matter, and may seek an advisory opinion by filing a written description detailing the nature and circumstances of the matter and making full disclosure of any related financial interest in the matter.
- (C) When an advisory opinion is sought under this section, the office of corporation counsel shall:
- (1) Assign the particular matter to another person and implement all necessary procedures to screen the official, appointee, or employee seeking an advisory opinion from involvement in the matter; or
 - (2) Make a written determination that the interest is not so substantial that the office of corporation counsel considers it likely to affect the integrity of the services that the city expects from the official, appointee, or employee.
- (D) A written determination under subsection (C)(2) shall be filed with the office of corporation counsel, and constitutes conclusive proof that the potential conflict of interest is not a violation of this Article.

Section § 1-3-2-11. Conflicts of interest; contracts.

- (A) Subject to subsection (B), an official, appointee, or employee, or a member of an official's, appointee's, or employee's immediate family, may not knowingly have a financial interest in a contract made by that official's, appointee's, or employee's agency.
- (B) The prohibition in subsection (A) does not apply to:
- (1) An official, appointee, or employee who does not participate in or have official responsibility for any of the activities of the contracting agency, if:
 - (a) The contract is made after public notice or, where applicable, through competitive bidding;
 - (b) The official, appointee, or employee files with the office of corporation counsel a statement making full disclosure of all related financial interests in the contract;

- (c) The contract can be performed without compromising the performance of the official duties and responsibilities of the official, appointee, or employee; and
 - (d) In the case of a contract for professional services, the chief administrative officer of the contracting agency makes and files a written certification with the office of corporation counsel that no other official, appointee, or employee of that agency is available to perform those services as part of his or her regular duties; or
- (2) An official, appointee, or employee who, acting in good faith, learns of an actual or prospective violation of the prohibition in subsection (A), provided that, not later than thirty (30) days after learning of the actual or prospective violation, the official, appointee, or employee makes a full written disclosure of any financial interests to the contracting agency and the office of corporation counsel, and terminates the financial interest.

Section § 1-3-2-12. Conflicts of Interest; building permits.

- (A) The purpose of this section is to satisfy the requirements of Indiana code section 36-1-27-4. As used in this section, "conflict of interest" means a direct or indirect financial interest in the issuance of a permit.
- (B) As used in this section, "permit" has the meaning set forth in Indiana code section 36-7-4-1109(b).
- (C) No city official, appointee, or employee may issue a permit or oversee the issuance of a permit through a subordinate if the official, appointee, or employee has a conflict of interest.
- (D) A city official, appointee, or employee shall report a conflict of interest to the director of the department of business and neighborhood services (or the director's designee) and to the corporation counsel.
- (E) Promptly upon receipt of a conflict of interest report made under this section, the director (or director's designee) shall, in consultation with the corporation counsel, appoint a qualified temporary replacement official, appointee, or employee to oversee the permit application creating the conflict.

Section § 1-3-2-13. Benefiting from or divulging confidential information.

- (A) A councilor, official, appointee, employee, former councilor, former official, former appointee, or former employee shall not materially benefit from information of a confidential nature except as permitted by law.
- (B) A councilor, official, appointee, or employee shall not divulge information of a confidential nature except as permitted by law.

Section § 1-3-2-14 Use of city property.

- (A) An official, appointee, or employee shall not use city property or personnel for any purposes other than for official city business; however, nothing in this Code of Ethics shall prohibit the chief of the city fire department or the chief of city police department from

allowing their employees to use take home vehicles. Pursuant to this section, the office of corporation counsel shall adopt a de minimis personal use policy for the city.

Section § 1-3-2-15 Complicity with another's violation.

- (A) It shall be a violation of this article knowingly to induce, encourage, or aid, either directly or indirectly, anyone to violate any provision of this article.

Section § 1-3-2-16. Complaints filed in bad faith.

- (A) It shall be a violation of this article to file in bad faith a complaint against another person.

CHAPTER 3: REVIEW OF ETHICAL CONDUCT

Section § 1-3-3-1. Agency policies.

- (A) An agency may adopt more specific ethics policies tailored to the needs and practices of that agency, provided that the policies do not conflict with, and are at least as strict as, this chapter. All such policies shall be subject to the review and approval of the corporation counsel where they shall be filed if approved.

Section § 1-3-3-2. Training Requirements.

- (A) All officials, appointees, and employees shall be properly trained in the Code of Ethics as described in this chapter. Such training shall also include a review of criminal offenses against public administration (Indiana Code 35-44-1), the Access to Public Records Act (Indiana Code 5-14-1.5) and the Open Door Law (Indiana Code 5-14-3).
- (B) The office of corporation counsel shall prepare and administer the training required by this section. Each agency's chief administrative officer shall:
- (1) Require all new appointees and employees to participate in ethics training within six (6) weeks of the appointee's appointment date and the employee's starting employment with the agency; and
 - (2) Require all appointees and employees to participate in ethics training at least every two (2) years during an appointee's and employee's tenure with the agency.
- (C) The office of corporation counsel shall maintain documentation to demonstrate an appointee's and employee's compliance with subdivisions (1) and (2) of subsection (B) of this section.

Section § 1-3-3-3. Advisory Opinions.

- (A) An advisory opinion from the office of corporation counsel may be requested by:
- (1) The mayor or a councilor;
 - (2) Any official, appointee, employee, or former employee; or
 - (3) A person with a business relationship with an agency.
- (B) Requests for an advisory opinion shall be in writing, signed by the person making the request, and designated an inquiry. The inquiry shall state the official status of the person making the request and all material facts necessary for the office of corporation counsel to understand the circumstances and render a complete advisory opinion. The inquiry, if

requested by someone under subsection (A)(2) or (A)(3), must relate specifically to that person.

- (C) All advisory opinions shall be issued in writing, designated as an Official Advisory Opinion, signed by the corporation counsel, and shall be conditioned upon the following:
 - (1) The facts and circumstances actually exist; and
 - (2) All of the relevant facts and circumstances related to the advisory opinion have been disclosed.
- (D) Any person directly affected by the advisory opinion may seek written clarification of the advisory opinion from the office of corporation counsel. Any such request for clarification shall be made in writing to the office of corporation counsel.
- (E) Any person directly affected by the advisory opinion may appeal to the corporation counsel for reconsideration or clarification of the advisory opinion. Any such appeal shall be made in writing.
- (F) A person who relies on an advisory opinion is not subject to sanctions with respect to that subject matter; however, work product of the office of corporation counsel that is not an advisory opinion does not shield the person from sanctions.
- (G) The office of corporation counsel, on at least a quarterly basis, shall publish for distribution on its website the accumulated advisory opinions with the names, and other information deemed necessary to protect the identities of persons, removed in a format explaining the facts, the question, and the opinion.

Section § 1-3-3-4. Sexual Harassment Training.

- (A) The following definitions apply only to this section:
 - (1) Supervisor means an employee of the city, county or common council who is empowered to take tangible employment actions against an employee.
 - (2) Tangible employment actions are actions that effect a significant change in an employee's employment status including but not limited to: hiring, firing, failing to promote, reassigning to a position with significantly different responsibilities, or making a decision that causes a significant change in benefits.
 - (3) Interactive training program means: (1) a live program conducted face-to-face, (2) a pre-recorded program that is accessible online, or (3) a program presented in slide format that is accessible online.
- (B) In order to promote a workplace and culture free from sexual harassment, each official, councilor, and all city department heads, directors, and supervisors shall attend a two-hour interactive sexual harassment awareness and prevention training program developed by the division of human resources and the office of corporation counsel, within six weeks of becoming such an official, councilor, appointee, or supervisor.
- (C) In addition to the requirements of subsection (B), each such official, councilor, and supervisor, shall attend the two-hour training program referenced in subsection (b) at least every two (2) years during the individual's tenure.

- (D) The office of corporation counsel shall maintain documentation to demonstrate each official's councilor's and supervisor's compliance with subsections (B and (C) of this section.
- (E) Any official or supervisor required to attend the training program who fails to comply with this section shall be subject to appropriate sanctions under this Code of Ethics.
- (F) The training required by this section shall begin in calendar year 2026.

Section § 1-3-3-5. Economic Statement of Interest required.

- (A) The following persons shall file a written economic statement of interest as provided in this section.
 - (1) Officials and any declared candidate for elected office;
 - (2) Appointees to agencies;
 - (3) The chief administrative officer of an agency and any employee who directly reports to the chief administrative officer of an agency;
 - (4) Any employee whose employment is subject to the approval of the common council; and
 - (5) Any employee with final purchasing authority and all employees of the purchasing division of the office of finance and management.

Section § 1-3-3-6 Economic Statement of Interest – When to file.

- (A) The economic statement of interest shall be filed with the office of corporation counsel, as follows:
 - (1) Individuals listed in section § 1-3-3-5 above, shall file the statement on or before May 1 of each year, but not earlier than April 1 of each year except as necessary to comply with subdivisions (2) – (4) of this subsection as follows;
 - (2) If an individual has not filed under subdivision (1) during the present calendar year and is filing as a candidate for elected office other than councilor, the individual shall file the statement before, or at the same time as, filing a declaration of candidacy under Indiana code section 3-8-2, petition of nomination under Indiana code section 3-8-6, or declaration of intent to be a write-in candidate under Indiana code section 3-8-2-2.5;
 - (3) An individual listed in subdivisions (3) through (5) of section 1-3-3-5 above, shall file a statement prior to being appointed to or employed by an agency; and
 - (4) An individual listed in subdivisions (3) of (5) of section § 1-3-3-5 shall file a statement within sixty (60) days after leaving employment, unless a subsequent office, appointment, or employment requires the filing of a statement of economic interest.

Section § 1-3-3-7. Economic Statement of Interest Contents.

- (A) The office of corporation counsel shall devise an economic statement of interest form and make that form available from its website. That form shall not materially change between April 1 and May 1 of each year.

(B) The economic statement of interest shall be made under affirmation and set forth the following information for the period since the previous statement was filed:

- (1) The name of the individual;
- (2) The business address of the individual;
- (3) Any position to which the individual is elected, appointed, or employed;
- (4) The name of the employer of the individual and the nature of the employer's business;
- (5) A statement of whether or not the individual, or any member of his or her immediate family, had a financial interest in any contract with an agency during the past twelve (12) months, other than a contract for employment and, if so, an explanation of the extent of the interest;
- (6) The name of any business entity from which the individual received any compensation which, to the best of his or her knowledge, does or intends to do business with an agency during his or her term of office, appointment, or employment with an agency;
- (7) The name of any business entity in which the individual, or any member of his or her immediate family, owns stocks, bonds, or other investments which constitute ownership of five (5) percent or more of that business or have a value in excess of five thousand dollars (\$5,000.00) and which business entity, to the best of his or her knowledge, is doing or intends to do business with an agency; and
- (8) Additional information the individual chooses to disclose.

(C) The economic statement of interest of officials also shall include an itemized list stating the amount and brief description of each item of entertainment, food, drink, honoraria, travel expenses, and registration fees accepted by the official from a person who has a business relationship with any agency; however, the following items need not be listed: Items with a face value of less than one hundred dollars (\$100.00); and Items that are exempted under subdivisions (2) through (11) of section 1-3-2-1(b) above.

Section § 1-3-3-8 Economic Statement of Interest Amendments

An individual required to file a statement of economic interest shall file an amended economic statement of interest upon discovery of additional information required to be reported.

Section § 1-3-3-9 Economic Statement of Interest Review

- (A) After an economic statement of interest is submitted, the office of corporation counsel shall examine the statement to ensure that it is complete, legible, and filed properly and in a timely manner.
- (B) If a statement is not complete, the office of corporation counsel will notify the person who filed the statement and afford the person thirty (30) days to provide the requested information.
- (C) The office of corporation counsel shall make statements from all officials available on its website.

CHAPTER 4. VIOLATIONS & ENFORCEMENT

Section § 1-3-4-1. Voluntary Remedial Actions.

- (A) Violations of any provision of this chapter should raise conscientious questions for the official, appointee, or employee concerned as to whether resignation, compensatory action, or a sincere, public apology is appropriate to promote the best interests of the city.

Section § 1-3-4-2. Violations; Enforcement and Penalties.

- (A) In general. Failure to comply with any provision of this chapter shall be a violation of this chapter.
- (B) Failure to file an economic statement of interest. In addition to the procedures provided in section 1-3-4-6 above, a person's first violation of failure to file an economic statement of interest as required by section 1-3-3-5 above, shall be subject to admission of violation and payment of the designated civil penalty through the ordinance violations bureau in accordance with Title I, Article 2, Chapter 7 of the City Code of Ordinances. A person's second and subsequent violations of failure to file an economic statement of interest are subject to the enforcement procedures and penalties provided under Title I, Article 2, Chapter 7.
- (C) All other violations. Any violation of this chapter other than as provided in subsection (B) shall be subject to the enforcement procedures and penalties provided in Title I, Article 2, Chapter 7 of the City Code of Ordinances.

Section § 1-3-4-3 Whistleblower Protection.

- (A) Except as provided in subsection (B), an official, appointee, or employee shall not retaliate or threaten to retaliate against any person because the person provided information to the office of corporation counsel.
- (B) An official, appointee, or employee may take appropriate action against any person who took any of the actions listed in subsection (A) if the person did not act in good faith or knowingly or recklessly provided false information or testimony.
- (B) A person who violates this section is subject to action under actions enumerated in section 1-3-5-2 above.