

CHAPTER 4 ETHICS

ARTICLE 1. GENERAL

4-101 Definitions

4-102 Intent and Application

Section 4-101. Definitions

For purposes of this Chapter, the following words and phrases shall have the following meanings:

- (a) The “Committee” means the “Village Ethics Committee” as constituted and described in Section 2-101.
- (b) “Gift” means the transfer of any thing or service of value without identifiable and adequate consideration; “gift” does not mean or include any regulated campaign contribution.
- (c) “Impartiality” means making decisions based on objective criteria, rather than based on personal bias, prejudice, or favoritism. It requires that Officials be fair and not give preferential treatment to any persons or organizations in performing their duties on behalf of the Village.
- (d) “Public Official” or “Official” means all members of the Village Council; all members of the Election Committee; all members of the Ethics Committee; the Village Tree Supervisor; and all persons employed by the Village.
- (e) “Private interest or relationship” includes, without limitation, any existing or prospective interest or relationship of a business, contract, creditor, obligee or employment nature in which an Official or an immediate family member (including without limitation spouse, domestic partner, father, mother, brother, sister, child, or in-law) has a direct or indirect financial interest and by which such Official or immediate family member has a reasonable potential of profiting or otherwise benefiting financially.

(Ord. No. 08-15-01, adopted 09/17/15, effective 10/7/15; Ord. No. 11-15-1, adopted 1/21/16, effective 2/10/16; Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21)

Section 4-102. Intent and Application

- (a) This Chapter establishes requirements to ensure the utmost ethical service by Officials, specifically that Officials (i) act with impartiality when executing their official duties (“duty of impartiality”), and (ii) avoid conflicts between their private interests or relationships and Village interests (“conflicts of interests”). At the same time this Chapter establishes procedures for remedy when a breach of the duty of impartiality or a conflict of interest has been alleged.
- (b) No part of this Chapter shall be construed to prohibit an Official from appearing in the pursuit of his private interests as a citizen; or from accepting or receiving any benefit by

operation of law, or prosecuting or pursuing any claim, right, privilege or remedy which is his by operation of law.

(Ord. No. 11-15-1, adopted 1/21/16, effective 2/10/16; Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21)

ARTICLE 2. PROCEDURES

4-201 Duty to Disclose; Solicitation Prohibited; Ex-Parte Communications; Oath of Service

4-202 Disqualification Procedures; Complaints; Records

4-203 Failure to Quorum

4-204 Enforcement

Section 4-201. Duty to Disclose; Solicitation Prohibited; Ex-Parte Communications; Oath of Service

- (a) Before participating, on behalf of the Village, in any debate or determination that may have a reasonable potential of thereafter affecting a public interest, any Public Official who is subject to this Chapter shall have an affirmative duty to disclose in writing to the Council and to the Committee the receipt of any gift and the existence of any private interest or relationship either having a reasonable potential of conflict with a public interest or having a reasonable potential of giving the outward appearance of conflict with a public interest.
- (b) No Official may solicit any gift or knowingly accept any gift, directly or indirectly, from any person whom the Official knows or has reason to know: (i) is doing or seeking to do business of any kind with the Village; or (ii) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or non-performance of his or her official duty.
- (c) No Official may solicit any gift or knowingly accept any gift, directly or indirectly, from any person whom is engaged in activities that are regulated or controlled by the Village; except that unsolicited gifts having a value of less than fifty dollars (\$50.00) tendered for personal or social reasons may be accepted.
- (d) An Official shall not consider any ex-parte or private communication from any person, whether oral or written, that said Official knows is, or reasonably may be, intended to influence unlawfully the decision on the merits of any matter. Any such ex-parte or private communication shall be reported to the Village Council, which shall include such disclosure in the minutes of the meeting at which the matter was considered.
- (e) Officials shall faithfully execute their duties with impartiality in accordance with their oath of service, the Village Charter, the Code of Ordinances, and any applicable rules or procedures adopted by the Village Council.
- (f) Officials shall file with the Committee, upon their entering their positions and prior to executing any duties related to their positions, and thereafter prior to the 1st day of August of each year, (i) an oath of service, which includes a duty of impartiality, and (ii) a conflicts of interest disclosure in a form recommended by the Committee and approved by the Village Council. Such filings shall be in addition to the filing required by the Village Charter, Section 903.

- (g) Throughout their terms of service, Officials have an affirmative duty to update the disclosure form required by Section 4-201(f) and thereby disclose to the Council actual or potential conflicts of interest. Such updated disclosures shall be made expeditiously, and in any event before executing any duty that in reality or in the reasonable perception of others could be influenced by an actual or potential conflict of interest.

(Ord. No. 08-15-01, adopted 09/17/15, effective 10/7/15; Ord. No. 11-15-1, adopted 1/21/16, effective 2/10/16; Ord. No. 6-17-1, adopted 7/17/17, effective 8/7/17; Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21)

Section 4-202. Disqualification Procedures; Complaints; Records

- (a) *Voluntary Recusal/Request for Advisory Opinion.* After complying with the disclosure and oath-taking requirements of Section 4-201, an Official shall either: (1) voluntarily disqualify or recuse him/herself and withdraw from participating in further debates or determinations with respect to a conflict of interest or an inability to execute his/her duties with impartiality, or (2) request that the Council, with the assistance of the Committee, determine the presence or absence of a conflict of interest or an inability to execute duties with impartiality and advise the Official of an appropriate course of action. Any such recusal or advisement shall be relevant to, and may be dispositive of, the Committee's and/or the Council's consideration of a complaint filed under subsection (b) of this Section.
- (b) *Complaints/Filing Requirements.* Any person alleging a violation of this Chapter must file with the Committee a signed written complaint, under oath, attesting that the complaint is based in fact, that the relevant facts are contained in the complaint, and that those facts are accurate and complete. In addition, the Council on its own motion may file a complaint alleging a violation of the title. Any complaint filed under this subsection must be filed within one year after the alleged violations occurred, as required by Maryland law applicable to municipal infractions.
- (c) *Complaints/Initial Process.* Upon receipt of a complaint, the Committee shall undertake the following actions, which shall be taken both expeditiously and with full regard for fairness and the development of a complete and accurate factual record:
 - (1) *Initial Assessment.* The Committee shall make an initial assessment of whether the complaint is consistent with the oath under which it must be filed (see subsection [c]) and whether the allegation(s) in the complaint, if true, constitute a consequential (see subsection [e]) conflict of interest or violation of the duty of impartiality. If the Committee determines that the complaint does not meet either or both of these standards, or if the committee determines the complaint is untimely (see subsection [b]) or moot (see subsection [d]), the complaint shall be dismissed, with written notice of the dismissal to the complainant;
 - (2) *Notice/Opportunity to Cure.* If the complaint is not dismissed under subsection (c)(1), the Committee will send to the person who filed the complaint ("complainant") a written acknowledgment of its receipt, and shall notify the Official who is the subject of the complaint ("respondent") and the Council of the allegation(s). The Committee shall dismiss the complaint, with written notice to the complainant and the respondent, if the respondent, within 15 days after receiving the notice, takes any action that may be available to cure the alleged violation(s), and the Committee determines that the cure is adequate and that dismissal is consistent with the purposes of this Chapter;

- (3) *Legal Consultation.* If the complaint is not dismissed under subsections (c)(1) or (c)(2), the Committee shall review the complaint with the Village attorney. If the Village attorney recommends that special counsel be appointed, such special counsel shall be selected by the Committee and appointed by the Council;
- (4) *Committee Process and Actions.* If, the complaint is not dismissed under subsections (c)(1) or (c)(2), the Committee shall:
- (a) provide the respondent an un-redacted copy of the complaint, with the exception of material that would identify and/or jeopardize the privacy of persons identified in the complaint. On request of the respondent, the Committee shall disclose the identity of the complainant to the respondent;
 - (b) provide the respondent reasonable time to submit a written reply, which may include relevant evidence and suggested witnesses with relevant knowledge, and which shall be submitted under oath that the facts contained therein are accurate and complete;
 - (c) request that the respondent and/or the complainant provide information the Committee reasonably finds necessary to investigate the complaint;
 - (d) provide the respondent with an opportunity to review and respond to all evidence produced or developed in the course of the Committee's investigation;
 - (e) determine whether there is clear and convincing evidence of a conflict of interest or a violation of the duty of impartiality, and produce a report of its investigation, including a full description of any conflicts-of-interest and/or violations of the duty of impartiality found by the Committee, and a recommended resolution, including the matters from which the respondent should be disqualified; and
 - (f) provide the respondent with a copy of the report and a reasonable opportunity to respond. Except as prohibited by law, the report given to the respondent may be redacted by the Committee to protect the identity and privacy of individuals identified therein;
- (5) *Committee Report.* At the conclusion of its investigation, the Committee shall provide a written report of its investigation, including a full record of the investigation, to the Council. The Committee report shall also be provided to the respondent and the complainant, with redactions necessary to protect the identity and privacy of individuals identified therein;
- (6) *Council Actions after Receipt of Report/Final Decision.* If the respondent is not a Council member, and if the Council has a quorum after any recusals by Council members to act on the complaint, the Council, after receiving the Committee's written report of the investigation, shall (a) provide the respondent an opportunity to respond in writing and/or in person to the report, (b) conduct further investigation as the Council deems necessary, (c) and determine whether the respondent should be disqualified from all or certain of his/her responsibilities. If the Council determines that there is clear and convincing evidence of a conflict of interest or a violation of the duty of impartiality and that a disqualification is warranted, and the respondent does not voluntarily accept the disqualification, the Council shall make a final decision that the respondent be disqualified. If the Council does not make this determination, or if the respondent voluntarily accepts the disqualification, the complaint shall be dismissed;
- (7) *Committee Actions in Lieu of Council Actions/Final Decision.* If the respondent is a Council member, or if the Council does not have a quorum after recusals from Council members to act on the complaint, the Committee, based on its investigation and report, shall determine whether the respondent should be disqualified from all or certain of his/her responsibilities.

If, under these circumstances, the Committee determines that a disqualification is warranted and the respondent does not voluntarily accept the disqualification, the Committee shall make a final decision that the respondent be so disqualified. If the Committee does not make this determination, or if the respondent voluntarily accepts the disqualification, the complaint shall be dismissed; and

- (8) *Scope of Disqualification.* If the Council and/or the Committee recommends or determines that a disqualification of the respondent is warranted, the scope of the disqualification shall be tailored to remedy the conflict of interest or violation of the duty of impartiality that was determined to exist, so that the disqualification is not broader than necessary to ensure compliance with this Chapter.
- (d) *Dismissal for Mootness.* If at any time during the Committee's and/or Council's investigations under this Section the respondent ceases to be an Official, the complaint shall be dismissed as moot.
- (e) *Dismissal of Inconsequential Matters.* In the course of fulfilling their responsibilities under this Subsection, including but not limited to before a decision is made by the Committee to investigate a complaint (see subsection [c][1]), the Committee and/or the Council may find and advise or determine that the alleged conflict of interest or violation of the duty of impartiality is too remote or insubstantial to affect the integrity of the Official's actions, in which case the complaint shall be dismissed with no further action. The intent of this subsection is to discourage complaints about inconsequential matters; the intent is not to condone a lax approach to the ethical requirements established by this Chapter.
- (f) *Informal Resolutions.* Throughout the process described in this Subsection, the Committee and/or the Council shall take reasonable steps to resolve the complaint without a formal determination of disqualification, including without limitation when a conflict of interest or violation of the duty of impartiality is determined to be the result of a mistake or inadvertence (but not reckless disregard or deliberate ignorance of the applicable ethical requirements) on the part of the respondent.
- (g) *Confidentiality/Council and Committee.* To protect the privacy and reputation of the respondent, the complainant, any witnesses or people identified in the complaint, and any Official seeking advice, the Committee and the Council, when fulfilling their responsibilities under this Section, shall meet only in closed session and make no public disclosure regarding the complaint or the request for advice, except as required by law or court order, including without limitation when consulting with counsel, considering the allegations in the complaint, interviewing witnesses about the allegations in the complaint, and/or considering appropriate action(s) to be taken in response to the complaint. The Committee and/or the Council may disclose any information if the respondent agrees in writing to the release or if required by law or court order.
- (h) *Confidentiality/Parties.* The complainant and the respondent shall not disclose any information related to the complaint, except as may be necessary for the respondent to reply to the complaint or, except for the identity of witnesses, as respondent agrees in writing.
- (i) *Confidentiality/Records.* Records related to the actions of the Committee and/or Council under this Section shall be confidential and privileged and not subject to public inspection, except as required by law and/or court order.

- (j) *Import of Headings.* The headings in this Section are included solely for convenience of reference and shall not control the meaning or interpretation of any of the provision in this Section.

(Ord. No. 11-15-1, adopted 1/21/16, effective 2/10/16; Ord. No. 4-16-1, effective 7/6/16; Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21).

Section 4-203. [Reserved]

(Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21)

Section 4-204. Enforcement

- (a) The Council may file a petition for injunctive or other relief in a court of competent jurisdiction for the purpose of requiring compliance with this Chapter.
- (b) In addition to any other enforcement provisions in this Chapter, any member of either the Election Committee or the Ethics Committee, or the Tree Supervisor, who is found by the Committee, the Council, or a court to have violated this Chapter with respect to Oath of Service shall be subject to removal by the Council; and any member of the Council who is found by the Committee or a court to have violated this Chapter shall be subject to recall, as provided in the Village Charter. In addition to any other enforcement provisions in this Chapter, any employee found by the Committee, the Council, or a court to have violated this Chapter shall be subject to disciplinary or other appropriate action, including dismissal or suspension of compensation.
- (c) A violation of this Chapter shall not constitute a civil or criminal infraction. Enforcement of this Chapter shall be limited to the provisions of this Chapter and shall not include the penalties set forth in Chapter 3 of this Code.

(Ord. No. 2021-1-1, adopted 3/18/21, effective 4/7/21)