



Charlotte City Council

# Governance & Accountability Committee

Meeting Summary for January 26, 2015

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## COMMITTEE AGENDA TOPICS

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- I. **Subject:** Ethics Review
- II. **Subject:** Charlotte Employee Hotline Update
- III. **Subject:** Approve 2015 Committee Schedule
- III. **Subject:** Next Meeting  
Monday, February 23, 2015 at noon in Conference Room 280

## COMMITTEE INFORMATION

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Present: Council Members David Howard, LaWana Mayfield, John Autry, Patsy Kinsey and Greg Phipps  
Other (Speakers): Robert Hagemann/City Attorney, Ron Carlee/City Manager, Carol Jennings/Chief of Staff  
Time: 12:00 p.m. to 1:25 p.m.

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## ATTACHMENTS

- 1. Agenda Package

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## DISCUSSION HIGHLIGHTS

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Committee Chair Councilman David Howard called the meeting to order and asked those in attendance to introduce themselves.

### *Ethics Review*

*Staff Resources: Bob Hagemann*

Howard: Well, on our agenda today is something we have spent quite a bit of time on trying to get to and I am happy to say that I think we have found a document or at least I hope so. We have been on this road for a while. First we asked for or recommended the (Employee) Hotline. We asked for the issues with Zoning and Permitting to be added, so hopefully we will have some feedback on that today. But probably the meat of it is recommending our own ethics policy and making changes we needed to make. The media is not here but just for the record I will say it. I'm not sure there is a lot that was written in this that would have changed the issues that happened last March, but just to add more clarity and transparency for the public we have taken our time to go through this to get a set of recommendations that I hope would at least give the public more confidence that we are policing ourselves. We have approached this from three different broad categories of buckets: number one being the Disclosure. We also looked at the Gift Policy. Then there was the Complaints, Investigations and Sanctions area that we dealt with a couple of years ago but not to the extent we've gone to now. So with that I'm going to turn it over to the City Attorney so he can walk us through it. The goal of today is to get feedback so that we can get to a point to recommend to full Council.

\*Kinsey exits the meeting.

Hagemann: Through our work with the Chairman, Vice Chairman, conversations with the Committee and other Council members what we have before you is a beefed up proposed ethics code that retains what was done in 2010. In the document that you have as an attachment to your agenda package, the first three pages carry forward the existing aspirational code. No changes have been made. But what this document does is add much more specificity in three areas: Gifts, Disclosures and Complaints/ Investigations. The Managers office, the Chairman and I and the Vice Chair gathered a number of codes from peer cities and where we landed as our guide post is what the State put in place for State Legislators. We did of course have to make a number of adaptations for it to make sense for the City Council because you do different work than a legislator does. I know you are all aware (regarding Complaints and Investigations) that the current policy and previous ordinance says that the City Attorney is responsible for investigations and complaints and I indicated early on that I am highly uncomfortable with investigating my bosses.

Autry: You have referred to all this as an Ordinance. Does that not conflict with the cause of action?

Hagemann: Very good catch. So before 2010, the ethics code was an ordinance. It was in the Code of ordinances. Consistent with what you heard me articulate a couple of Mondays ago when we did the ethics code, Mack and I decided it would not be appropriate for the Council to

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regulate itself by ordinance. Instead it was adopted through a resolution and the current is a code, not an ordinance and my recommendation would be to continue that practice with this when it comes to the full Council for action.

Autry: Thank you

Hagemann: So consistent with the concern of the Attorney being in the position of investigating his/her bosses we've changed that up and we've also been a little bit more detailed of how we handle complaints. Complaints have to be substantive. They need to 1) Identify who the individual that is complaining 2) State specific facts 3) Identify what portion of this code they believe has been violated. I would be the gate keeper of whether this complaint is complete and that these requirements are met. The last six pages of the attachments, the template is straight from State form. We have changed words to have it make sense for the City as opposed to the State. Just to walk through it quickly, the first page is basic identifying information about the individual. Pages 2 and 3 and the top of 4 are considered to be \$10,000 plus disclosures. It's highly unlikely the Mayor or City Member would have anything to disclose.

Phipps: What does this give us that the other form doesn't?

Hagemann: The difference is categories that disclose property ownership other than your principle residence, non-profit boards you may serve on and companies you have ownership interest in and even some information on your spouse.

Howard: The point is to let the public know we aren't afraid to share potential conflicts of interest so that they can hold our feet to the fire with this.

Phipps: So these forms go from us to the Clerk?

Hagemann: That is correct. I will be here to assist you, to help you fill them out accurately if you need me to. Here is what is currently required. Identify a business in which you or a member of your immediate household is an officer, owner or director. Also the name of your and your spouse's employers. #2, all real estate in the County other than your personal residence. #3 identify any non-profit organization which was a subject of some act by the Council in the past year and in which you serve as an officer, director or board member.

Phipps: Does director mean advisory director?

Howard: Any affiliation with the committee

Hagemann: You can't get in trouble by over disclosing.

Howard: Can you give an interpretation to #2, which is, "engage in activities that are regulated or controlled by the City". That is extremely broad.

Hagemann: You and I talked about that in other context and we never revisited it in this form. So we may want to pull that one out. Because as you and I noted in our conversation, any business that owns real estate within the City is regulated through the City by its zoning ordinance.

Howard: Well I missed it in here.

Hagemann: We did not go into the form and have that same conversation.

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Howard: Well if you feel OK pulling that, Mr. Manager unless you say something different. We are looking at page 3 #5 A&B section ( 2) – engage in activities that are regulated or controlled by the City. I think you get at what you are trying to say with (1) and (3) already which is doing business with the City. If you go to #2 which is engage in activities, that’s everything.

Hagemann: And if you go into some context, Mr. Howard pointed that out in an earlier draft, in a different provision in this policy. We went back to the source and realized that this (1), (2) and (3) provision was applicable to non- legislative covered state employees. But when you take that concept and drop it on a City Council that has control over, my example, the entire zoning ordinance, technically all property in the City of Charlotte is regulated through the zoning ordinance.

Carlee: The other side of that for you to think about, given how this will be played out in public deliberation, is that if you have an interest value then the question is do you have interest in businesses that would be affected by your zoning decisions and so you could make an argument for it to be in, given the breathe of legislative action the City Council actually can engage in affecting private property.

Howard: In this situation though I thought we were trying to make this somewhat more direct and that’s as you’re seeking to do business with the City which is where it would be ethically a problem. That’s why I think (2) is a stretch because now you have brought in a bunch of people that I don’t think the intent of this was to cover.

Carlee: That would depend on how much Council members are investing with direct stock ownership with individual companies. So that would more likely affect wealthier Council members.

Howard: I just think(2) will get you in trouble without even trying. I’d like to take it out just to be consistent across the board. (1) and (3) covers everything but (2) is too big of a catch all and will just cause us problems. So can (2) come out?

Carlee: When I look at (3) again it gets really close to the same thing.

Hagemann: (2) made sense for State legislators because they would have a discrete field that they were regulating but again you are not that narrow so unless there is an exception for all these I will redo it but pulling out (2) from all the places where it exists.

Carlee: So Mr. Chairman if I can make a related point here, this does provide a good demonstration of how once you adopt yours and I adapt it to application of staff where there may need to be some differences because we will have staff that will fall in the same categories of people that the staff has where they are actually making individual decisions.

Howard: I totally agree

Hagemann: So that is the current proposal and it’s obviously your policy and prerogative to change it, shorten it and or delete things.

Howard: That was really good. I didn’t know how that was going to go. Thank you everybody. Do you want to look at this again or are we ready to say as amended we can send on to Council?

Mayfield: I move to approve, based on amendments that were identified today.

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Howard: Motion recommended approval to full Council with amended portions today. Is there a second?

Autry: Second

Howard: Motion has been moved and properly second. All in favor let it be known by saying Aye

All: "AYE"

Howard: Opposed by the same sign. (No response). Thank you everybody for helping with this. Thank you very much.

Hagemann: Question: For my and the Manager's benefit, would you do this at a Dinner Briefing?

Howard: That's totally up to you. I will leave that up to you how you want to roll that out. Let me be clear, starting January 2016 this will be our new form but the policy goes in place as soon as we vote. There will be training before that time comes so that we are all clear on what we are asking and it will become a part of our orientation for the new Council members as well. Thanks again. Also, I see we had someone from Corp Communications here so we'll just be ready for highlights of what we just did whenever we do Dinner Briefing. And if I can get a copy, Bob, as soon as it is updated so I can have it just in case it comes up. OK thanks.

## Charlotte Employee Hotline Update

*Staff Resources: Ron Carlee, Bob Hagemann and Cheryl Brown*

McDowell: We started a hotline on September 12<sup>th</sup> and prepared a summary of the activity that we've had through the end of the year. And so as you can see we've had 12 calls. We've had 26 types of calls described by the company we hired. We've had 4 Employee Relations, 3 Theft of Time, 2 Discrimination, 2 Safety and 1 Conflict of Interest complaints within those 12 calls. Seven different departments have received 1 to 3 calls. There was really only one that needed an immediate call and that was a safety one. I called the department head and informed the department head of the issue that was raised and was promised that it would be discussed at a safety related issue meeting that was normally held. The vast majority of these calls (11) were referred to Human Resources. We're going to track how those were disposed of. They have completed an investigation and out of 7 of those, 5 were unsubstantiated, 2 were inconclusive because not enough information was given. Then we have some that are still in process. Actions have been initiated and HR will follow up to make sure that those actions that were contemplated have taken place. I have called the department heads. Some of them are going to know investigations are going on because HR will either be present on their site or they will be working with the HR components of their individual departments. The department heads will become aware of the investigation, not necessarily the details. But just as a courtesy I called department heads today to let them know just in case it was released to the media. As you can see we don't have a large number. It's always dangerous to try to interpret a small sample. It's a little hard to start tracking trends but the good thing is we've been able to start working on our own protocols – Who do we talk to? What do we do? What steps to take? What documentation do we keep? And we will work that through. So that's my overview.

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Howard: Given the issues with the Fire Department, how do we make sure we don't have retaliation? Especially considering on how specific the complaint is and if it can be traced back to a person? And I'm not even looking for an answer today; I just want you guys to think about that. How do you deal with possible retaliation and understand that they could through other means get back at the person. What I'm really taking about is the process more than anything given the Fire Department issue.

McDowell: We certainly have an overall policy that retaliation is not tolerated.

Carlee: I'm pretty comfortable. We've been in continuous communications on this so if something came in that would suggest that kind of situation I'm quite comfortable that Greg (McDowell) would contact/flag the ACM responsible for that department and we would strategize the appropriate framework.

Howard: Given the Fire Department issue I want it to be on the record, Mrs. Singleton, that I asked that question just so that all the way down the line that we made it clear that we asked the manager about that and that the manager feels confident about that situation.

McDowell: And you all expressed a concern early on about the amount of time we might spend and how we go about it so we were going to be careful about it before we start ginning up the investigation. Our goal is not to elicit innumerable calls. We want people to know it's available. We have talked about continuing strategy and keeping it present with employees. We will continue to work with Corporate Communications, CROWN magazine and it is part of new employee training.

Howard: That's another one of those places where I would personally like a policy about how often you do it. Once a year with department heads and then another time that you do it. At least twice a year so that you know it's being disseminated. Maybe once with department heads and once in the CROWN so that we can track we're doing 2-3 times a year so people can know we're doing it and that we have a policy around how we are telling people.

McDowell: The City Manager has tasked Corporate Communications and myself to work on that together and maybe some other folks will be involved to make sure that we come up with an ongoing strategy.

Howard: Please. Alright. Any other questions for Greg (McDowell) about the Hotline?

Phipps: We didn't have any complaints come into the Police Department. Is that taken as a positive thing or a coincidence?

Howard: This is just employees.

Phipps: That's true.

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McDowell: I don't know. Certain departments you get calls for and some you don't. There's not enough really to suggest there's a trend here.

Howard: What he's talking about is to the fact that we get anonymous letters all the time. It just seems that it would be something with the Police Department and Fire Department given all the chatter that we get from anonymous sources.

McDowell: Oh, OK.

Howard: OK. Let's move on.

## **Update on Rezoning**

Howard: So the last thing I wanted was an update on the Rezoning and Permitting review that the consultants have given. That's a really big piece of this because they were supposed to make suggestions. The way Debra kind of explained it to me is that they're saying that if we do all of the suggestions that they gave us they will take care of undue influence by public officials. I told Randy (Harrington) that I would love to be able to pull out those things that they feel will take care of that in some separate presentation.

Jennings: Why don't we bring that back to you in the next meeting?

Howard: Alright

## **Approve 2015 Committee Schedule**

Jennings: And the only other thing is for the schedule to be adopted

Howard: Motion

Mayfield: I am going to submit that we cancel the December 28<sup>th</sup> meeting since a lot of people won't be here because they like to take the last two weeks off

Howard: Motion to approve the schedule without the December date

Mayfield: So moved

Autry: Second

Mayfield: All in favor of the motion let me know by saying Aye

All: "Aye"

Howard: Opposed by the same sign (No response). Thank you for all the hard work.

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**Next Meeting:**

Monday, February 23, 2015

Meeting adjourned at 1:25 p.m. ~jcs

**Governance & Accountability Committee**  
**Monday, January 26, 2015 – 12:00 noon**  
**Room 280**

Committee Members:        David Howard, Chair  
                                      LaWana Mayfield, Vice Chair  
                                      John Autry  
                                      Patsy Kinsey  
                                      Greg Phipps

Staff Resource:                Carol Jennings, Chief of Staff

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**AGENDA**

**I. Ethics Review**

*Staff Resource: Bob Hagemann*

*Attachments*

**II. Charlotte Employee Hotline Update**

*Staff Resource: Greg McDowell*

**III. Approve 2015 Committee Schedule**

*Attachment*

**IV. Next Meeting**

**Monday, February 23, 2015**

**Distribution:**

Mayor and City Council  
Council Team  
Greg McDowell  
Sheila Simpson

City Manager's Executive Team  
Bob Hagemann  
Cheryl Brown  
Robert Campbell

Corporate Communications  
Stephanie Kelly

**Code of Ethics, Gift Policy, and Disclosure Requirements  
for the Mayor and City Council of the City of Charlotte, North Carolina**

WHEREAS, the Constitution of North Carolina, Article I, Section 35, reminds us that a “frequent recurrence to fundamental principles is absolutely necessary to preserve the blessings of liberty,” and

WHEREAS, a spirit of honesty and forthrightness is reflected in North Carolina’s state motto, *Esse quam videri*, “To be rather than to seem,” and

WHEREAS, Section 160A-86 of the North Carolina General Statutes requires local governing boards to adopt a code of ethics, and

WHEREAS, as public officials we are charged with upholding the trust of the citizens of this City, and with obeying the law, and

NOW THEREFORE, in recognition of our blessings and obligations as citizens of the State of North Carolina and as public officials representing the citizens of the City of Charlotte, and acting pursuant to the requirements of Section 160A-86 of the North Carolina General Statutes, we the City Council do hereby adopt the following General Principles and Code of Ethics to guide the Mayor and City Council in their lawful decision-making.

**GENERAL PRINCIPLES UNDERLYING THE CODE OF ETHICS**

- The stability and proper operation of democratic representative government depend upon public confidence in the integrity of the government and upon responsible exercise of the trust conferred by the people upon their elected officials.
- Governmental decisions and policy must be made and implemented through proper channels and processes of the governmental structure.
- The Mayor and Council members must be able to act in a manner that maintains their integrity and independence, yet is responsive to the interests and needs of those they represent.
- The Mayor and Council members must always remain aware that at various times they play different roles:
  - As advocates, who strive to advance the legitimate needs of their citizens
  - As legislators, who balance the public interest and private rights in considering and enacting ordinances, orders, and resolutions
  - As decision-makers, who arrive at fair and impartial determinations.
- The Mayor and Council members must know how to distinguish among these roles, to determine when each role is appropriate, and to act accordingly.

- The Mayor and Council members must be aware of their obligation to conform their behavior to standards of ethical conduct that warrant the trust of their constituents. Each official must find within his or her own conscience the touchstone by which to determine what conduct is appropriate.

## **A. CODE OF ETHICS**

The purpose of this Code of Ethics is to establish guidelines for ethical standards of conduct for the Mayor and Council members and to help determine what conduct is appropriate in particular cases. It should not be considered a substitute for the law or for an official's best judgment.

### Section 1.

The Mayor and Council members should obey all laws applicable to their official actions. The Mayor and Council members should be guided by the spirit as well as the letter of the law in whatever they do.

At the same time, the Mayor and Council members should feel free to assert policy positions and opinions without fear of reprisal from fellow board members or citizens. To declare that the Mayor or a Council member is behaving unethically because one disagrees with that official on a question of policy (and not because of the council member's behavior) is unfair, dishonest, irresponsible, and itself unethical.

### Section 2.

The Mayor and Council members should act with integrity and independence from improper influence as they exercise the duties of their offices. Characteristics and behaviors consistent with this standard include the following:

- Adhering firmly to a code of sound values
- Exhibiting trustworthiness
- Using their best independent judgment to pursue the common good as they see it, presenting their opinions to all in a reasonable, forthright, consistent manner
- Remaining incorruptible, self-governing, and unaffected by improper influence while at the same time being able to consider the opinions and ideas of others
- Treating other council members and the public with respect and honoring the opinions of others even when the board members disagree with those opinions
- Showing respect for their offices and not behaving in ways that reflect badly on those offices

- Recognizing that they are part of a larger group and acting accordingly
- Recognizing that individual Council members are not generally allowed to act on behalf of the Council but may only do so if the Council specifically authorizes it, and that the Council must take official action as a body

#### Section 3.a.

The Mayor and Council members should avoid impropriety in the exercise of their official duties. Their official actions should be above reproach and they should not use their official position for personal gain. Although opinions may vary about what behavior is inappropriate, this Council will consider impropriety in terms of whether a reasonable person who is aware of all of the relevant facts and circumstances surrounding the Council member's action would conclude that the action was inappropriate.

#### Section 3.b.

If the Mayor or a Council member believes that his or her actions, while legal and ethical, may be misunderstood, the official should seek the advice of the City Attorney and should consider publicly disclosing the facts of the situation and the steps taken to resolve it (such as consulting with the attorney).

#### Section 4.

The Mayor and Council members should faithfully perform the duties of their offices. They should act as the especially responsible citizens whom others can trust and respect. They should set a good example for others in the community, keeping in mind that trust and respect must continually be earned.

The Mayor and Council members should faithfully attend and prepare for meetings. They should demand full accountability from those over whom the board has authority.

The Mayor and Council members should be willing to bear their fair share of the governing board's workload. To the extent appropriate, they should be willing to put the City's interests ahead of their own.

#### Section 5.

The Mayor and Council members should conduct the affairs of the board in an open and public manner. They should comply with all applicable laws governing open meetings and public records, recognizing that doing so is an important way to be worthy of the public's trust. They should remember when they meet that they are conducting the public's business. They should also remember that local government records belong to the public and not to them or City employees.

In order to ensure strict compliance with the laws concerning openness, the Mayor and Council members should make clear that an environment of transparency and candor is to be maintained at all times in the governmental unit. They should prohibit unjustified delay in fulfilling public records requests. They should take deliberate steps to make certain that any closed sessions held by the Council are lawfully conducted and that such sessions do not stray from the purposes for which they are called.

## **B. GIFT POLICY**

### **Definitions**

“Gift” – Anything of monetary value given or received without valuable consideration. The following shall not be considered gifts:

- (1) Anything for which fair market value, or face value if shown, is paid by the official.
- (2) Commercially available loans made on terms not more favorable than generally available to the general public in the normal course of business.
- (3) Contractual arrangements or commercial relationships or arrangements made in the normal course of business.
- (4) Academic or athletic scholarships based on the same criteria as applied to the public.
- (5) Anything of value properly reported as required under Article 22A of Chapter 163 of the General Statutes.
- (6) Expressions of condolence related to a death of an individual, sent within a reasonable time of the death, if the expression is one of the following:
  - a. A sympathy card, letter, or note.
  - b. Flowers.
  - c. Food or beverages for immediate consumption.
  - d. Donations to a religious organization, charity, the State or a political subdivision of the State, not to exceed a total of two hundred dollars per death per donor.

“Extended family” – Spouse, lineal descendant, lineal ascendant, sibling, spouse's lineal descendant, spouse's lineal ascendant, spouse's sibling, and the spouse of any of these individuals.

“Official” – the Mayor or a member of the City Council.

### **Gift Ban**

No official shall knowingly accept a gift unless the gift falls within one of the exceptions set forth below.

A prohibited gift shall be promptly declined, returned, paid for at fair market value, or donated to charity or the City.

## **Exceptions**

These prohibitions shall not apply to any of the following:

- (1) Gifts from the official's extended family, or a member of the same household.
- (2) Gifts given or received as part of a business, civic, religious, fraternal, personal, or commercial relationship provided that the gift is made under circumstances that a reasonable person would conclude that the gift was not given to influence or attempt to influence official action.
- (3) Nominal gifts having a value of less than \$50.
- (4) Anything generally made available or distributed to the general public without charge.
- (5) A memento such as a commemorative shovel, plaque, figurine, trinket, or novelty item related to a civic occasion or event.
- (6) Informational materials relevant to the duties of the official.
- (7) Food and beverages for immediate consumption in connection with any of the following:
  - a. A meeting of the City Council, provided that the meeting is properly noticed under Article 33C of Chapter 143 of the General Statutes.
  - b. Business meetings so long as the food and beverages are of incidental value.
  - c. Neighborhood or community meetings.
  - d. A gathering of ten or more individuals that is open to the general public, provided that the official pays the same amount, if any, that the general public is charged to attend.
- (8) Tickets or admittance to, and food and beverages for immediate consumption at, an event where the official is clearly representing the City and where the City has a legitimate purpose in being represented at the event. By way of illustration but not limitation, this would include events sponsored by the Charlotte Regional Visitors Authority, the Charlotte Chamber of Commerce, the Foundation for the Carolinas, Charlotte Center City Partners, the Regional Partnership, the United Way, the Arts & Science Council, colleges, universities, and other educational institutions, and similar organizations.
- (9) Food and beverages for immediate consumption and related transportation provided all of the following conditions are met:
  - a. The food, beverage, or transportation is provided during a conference, meeting, or similar event and is available to all attendees of the same class as the recipient.
  - b. The official is a director, officer, governing board member, employee, or independent contractor of one of the following:
    1. The entity giving the food, beverage, or transportation.
    2. A third party that received the funds to purchase the food, beverages, or transportation.

- (10) An expense appropriate for reimbursement by the City if it had been incurred by the official personally. Such a gift shall be considered a gift accepted by or donated to the City, provided that the gift and its value are reported in writing to the City Clerk within two weeks of receipt.

## **C. DISCLOSURE REQUIREMENTS**

By February 1 of each year, the Mayor and Council members shall file with the city clerk a statement of economic interest using the form set forth in Exhibit A attached hereto. The statements required by this section are public records available for inspection and copying by any person during normal business hours.

## **D. COMPLAINTS, INVESTIGATIONS, AND SANCTIONS**

### **1. Complaints**

- a. Any individual may file a complaint alleging a violation. Complaints shall be filed with the City Clerk on a form provided by the City Clerk. Complaints shall: (i) identify the complainant; (ii) state with specificity the facts that form the basis for the alleged violation; and (iii) cite the provision that has allegedly been violated.
- b. Upon receiving a complaint, the City Clerk shall forward the complaint to the City Attorney for initial review.
- c. The City Attorney shall review the complaint to determine whether it provides the information required in subsection a. If the City Attorney determines that the complaint fails to provide the information required by subsection (a), the complainant shall be so informed and afforded an opportunity to provide the required information. If the City Attorney determines that a complaint does provide the required information, the complaint shall be referred to an independent investigator selected by the City Attorney.

### **2. Investigations**

- a. The independent investigator shall review a complaint referred by the City Attorney. In the event that the independent investigator determines that the complaint is either: (i) frivolous; or (ii) does not state a claim of a violation even if the facts alleged are true, then the investigator shall communicate that conclusion in writing to the City Attorney who shall in turn communicate that conclusion to the complainant and the Mayor or, if the subject of the complaint is the Mayor, to the Mayor Pro Tempore.
- b. If the independent investigator determines that the complaint is not frivolous and does state a claim of a violation if the facts alleged are true, the independent investigator shall investigate the allegations and make written findings as to the truthfulness of the factual allegations and conclusions as to whether a violation has occurred. The written findings and conclusions shall be provided to the City Attorney who shall in turn provide them to the complainant, the Mayor, and the City Council.

### 3. Sanctions

Upon receipt of written findings and conclusions pursuant to Section 2.b., the City Council may sanction the official who was the subject of the investigation. Potential sanctions include the adoption of a Resolution of Censure and any other lawful sanction within the Council's power.

DRAFT

Proposed

City of Charlotte

Statement of Economic Interest

FI			
<b>First Name</b>	<b>Middle Name</b>	<b>Last Name</b>	<b>Suffix</b>
MAILING ADDRESS, CITY, STATE, ZIP			
<b>Address</b>	<b>City</b>	<b>State</b>	<b>Zip</b>
HOME ADDRESS, CITY, STATE, ZIP			
<input type="checkbox"/> Same as Mailing Address			
<b>Address</b>	<b>City</b>	<b>State</b>	<b>Zip</b>
<b>CURRENT EMPLOYER</b>	<b>JOB TITLE</b>		
<b>NATURE OR TYPE OF BUSINESS</b>			
<b>DAYTIME PHONE NUMBER</b>	<b>ALTERNATE PHONE NUMBER</b>		
<b>E-MAIL ADDRESS</b>			

**I. \$10,000 PLUS DISCLOSURES**

If you, your spouse, or members of your immediate family<sup>1</sup> have assets or liabilities with a market value of at least \$10,000 in the following categories, please provide the requested information as of December 31<sup>st</sup> of the preceding year unless another time period is specified in the question.

- ▶ Do not list the actual value of those assets or liabilities.
- ▶ Do not list assets or liabilities held in a blind trust<sup>2</sup> established by or for the benefit of you or an immediate family member.

1. Do you, your spouse, or members of your immediate family have an ownership interest in any real estate located in the City of Charlotte or the City's extraterritorial planning jurisdiction with a market value of \$10,000 or more? **Do not list actual value.**

Yes  No

Owner of Real Estate	% Ownership Interest	Location by City

2. Do you, your spouse, or members of your immediate family lease or rent to or from the City real estate with a market value of \$10,000 or more? **Do not list actual value.**

Yes  No

Name of Lessor	Name of Lessee (Renter)	Location by City

3. Within the preceding two years, have you, your spouse, or members of your immediate family sold to or bought from the City personal property with a market value of \$10,000 or more? **Do not list actual value.**

Yes  No

Name of Purchaser	Name of Seller	Type of Property

4. Do you, your spouse, or members of your immediate family currently lease or rent to or from the City personal property with a market value of \$10,000 or more? **Do not list actual value.**

Yes  No

Name of Lessor	Name of Lessee (Renter)	Type of Property

<sup>1</sup> **Immediate family** includes your spouse (unless legally separated), minor children, and members of your extended family (your and your spouse's adult children, grandchildren, parents, grandparents, and siblings, and the spouses of each of those person) that reside in your household.

<sup>2</sup> **Blind trust** is a trust that meets all of the following criteria: (a) the owner of the trust's assets has no knowledge of the trust's holdings and sources of income, (b) the individual or entity managing the trust's assets ("the trustee") is not a member of the official's extended family and is not associated with or employed by the official or his or her immediate family, and (c) the trustee has sole discretion to manage the trust's assets.


5(a). Do you, your spouse, or members of your immediate family own interests (generally stock) valued at \$10,000 or more in a publicly owned company that you know or have reason to know any of the following: (1) is doing or is seeking to do business of any kind with the City; (2) is engaged in activities that are regulated or controlled by the City; or (3) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or nonperformance of your official duties? **Do not list actual value.**

▶ Do not list ownership interests in a widely held investment fund (including mutual funds, regulated investment companies, or pension or deferred compensation plans) if (i) the fund is publicly traded or its assets are widely diversified and (ii) neither you nor an immediate family member are able to control the assets held in the mutual fund, investment company, or pension or deferred compensation plan.

Owner of Interest	Full Name of Company (Do not use a ticker symbol)

5(b). Do you, your spouse, or members of your immediate family hold stock options valued at \$10,000 or more in a company or business that you know or have reason to know any of the following: (1) is doing or is seeking to do business of any kind with the City; (2) is engaged in activities that are regulated or controlled by the City; or (3) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or nonperformance of your official duties? **Do not list actual value.**

Owner of Stock Option	Full Name of Company (Do not use a ticker symbol)

6(a). Do you, your spouse, or members of your immediate family have financial interests valued at \$10,000 or more in a non-publicly owned company or business entity (including interests in sole proprietorships, partnerships, limited partnerships, joint ventures, limited liability companies, limited liability partnerships, and closely held corporations) that you know or have reason to know any of the following: (1) is doing or is seeking to do business of any kind with the City; (2) is engaged in activities that are regulated or controlled by the City; or (3) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or nonperformance of your official duties? **Do not list actual value.**

Owner of Interest	Name of Business Entity

6(b). For each of those non-publicly owned companies or business entities identified in question 6(a) (the "primary company"), please list the names of *any other companies* in which the primary company owns securities or equity interests valued at over \$10,000, *if known*. **Do not list actual value.**

Non-Publicly Owned Company (the Primary Company)	Other Companies in which the Primary Company Owns Security or Equity Interests
<input type="checkbox"/> None or Not Known	


6(c). If you know that any company or business entity listed in 6(a) or (b) above has any material business dealings or business contracts *with the City*, or is *regulated by the City*, provide a brief description of that business activity.

Name of Company or Business Entity	Description of Business Activity with the City
<input type="checkbox"/> None or Not Known	

**II. OTHER DISCLOSURES**

7(a). During the preceding calendar year, were you, your spouse or members of your immediate family a director, officer, governing board member, employee, or independent contractor of a nonprofit corporation or organization operating in the City primarily for religious, charitable, scientific, literary, public health and safety, or educational purposes that you know or have reason to know any of the following: (1) is doing or is seeking to do business of any kind with the City; (2) is engaged in activities that are regulated or controlled by the City; or (3) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or nonperformance of your official duties?

▶ Do not list organizations of which you are a mere member or subscriber.

Name of Person	His/Her Position	Name of Nonprofit Corporation or Organization	Nature of Business or Purpose of Organization


7(b). If the listed nonprofit corporations or organizations do business with the City or receive City funds, please provide a brief description of the nature of that business, if known, or with which due diligence could reasonably be known.

Name of Nonprofit Corporation or Organization	Describe City Business or City Funding
<input type="checkbox"/> None or Not Known	

8. Have you ever been convicted of a felony for which you have not received either (i) a pardon of innocence or (ii) an order of expungement regarding that conviction?

Yes  No

Offense	Date of Conviction	County of Conviction	State of Conviction

9(a). List the name of each business with which you are associated where you or a member of your immediate family is an employee, director, officer, partner, proprietor, or member or manager and that you know or have reason to know any of the following: (1) is doing or id seeking to do business of any kind with the City; (2) is engaged in activities that are regulated or controlled by the City; or (3) has financial interests that may be substantially and materially affected, in a manner distinguishable from the public generally, by the performance or nonperformance of your official duties.

Name of Person	Relationship to Filer	Name of Company	Role of Person
<input type="checkbox"/> No Business Associations			

9(b). If you know that any company or business entity listed in 9(a) above has any material business dealings or business contracts with the City, or is regulated by the City, provide a brief description of that business activity.

Name of Company or Business Entity	Description of Business Activity with the State
<input type="checkbox"/> Not applicable (No entities listed on #14a) <input type="checkbox"/> No relationship / Not known	

**AFFIRMATION**

I affirm that the information provided in this Statement of Economic Interest and any attachments hereto are true, complete, and accurate to the best of my knowledge and belief.

I also certify that I have not transferred, and will not transfer, any asset, interest, or property for the purpose of concealing it from disclosure while retaining an equitable interest.

I understand that my Statement of Economic Interest and any attachments or supplements thereto are public record.

I Agree

Printed Name

Signature

Date

Submit SIGNED, ORIGINAL documents.

\_\_\_\_\_

\_\_\_\_\_

# Governance & Accountability Committee 2015 Schedule

12:00 - 1:30 pm in Room 280

*\*Meetings will be held at the Charlotte-Mecklenburg Government Center in Room 280, unless otherwise noted*

**January 26**

**February 23**

**March 23**

**April 27**

**May 26 (Tuesday)**

**June 22**

**\*July 20**

**\*\*August 17**

**September 28**

**October 26**

**November 23**

**~~December 28~~**

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*\*Changed to 3<sup>rd</sup> Monday in preparation for the City Manager's Evaluation on July 27<sup>th</sup>*

*\*\*Changed to 3<sup>rd</sup> Monday in preparation for the City Attorney's Evaluation on August 24<sup>th</sup>*