

# TOWN OF SOUTH CARTHAGE

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Jimmy S. Wheeler  
Mayor

Ward I  
Hollis Mullinax  
Chris Dennis

Ward II  
Terry Hunt  
Willard Lankford  
Vice-Mayor

June 15, 2007

Tennessee Ethics Commission  
SunTrust Building  
201 4<sup>th</sup> Ave. North, Suite 1820  
Nashville, TN 37243

To Whom It May Concern:

This is to notify you that the Town of South Carthage adopted the enclosed code of ethics as of final reading on June 7, 2007 at the regular monthly meeting of the Mayor and Aldermen.

Thank you,



Amy Roberts  
City Clerk

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TENNESSEE  
ETHICS COMMISSION

**ORDINANCE NO. 07-291**

**AN ORDINANCE TO AMEND THE SOUTH CARTHAGE MUNICIPAL CODE TO  
CHANGE AND MAKE ADDITIONS TO THE CODE OF ETHICS**

BE IT ORDAINED BY THE BOARD OF MAYOR AND ALDERMEN OF THE TOWN OF SOUTH CARTHAGE, TENNESSEE:

**SECTION 1: TITLE 4, CHAPTER 3, SECTION 301 THROUGH SECTION 305 ARE HEREBY REPLACED, SECTION 306 IS HEREBY REPLACED AND RENUMBERED AS SECTION 312, AND SECTION 307 THROUGH SECTION 311 ARE HEREBY ADDED TO READ AS FOLLOWS:**

**CODE OF ETHICS<sup>1</sup>**

4-301 **Applicability.** This chapter is the code of ethics for personnel of the municipality. It applies to all full-time and part-time elected or appointed officials and employees, whether compensated or not, including those of any separate board, commission, committee, authority, corporation, or other instrumentality appointed or created by the municipality. The words "municipal" and "municipality" include these separate entities.

4-302 **Definition of "personal interest."** (1) For purposes of Sections 303 and 304, "personal interest" means:

- (a) Any financial, ownership, or employment interest in the subject of a vote by a municipal board not otherwise regulated by state statutes on conflicts of interest; or
  - (b) Any financial, ownership, or employment interest in a matter to be regulated or supervised;
- or
- (c) Any such financial, ownership, or employment interest of the official's or employee's spouse, parent(s), stepparent(s), grandparent(s), sibling(s), child(ren), or stepchild(ren).

<sup>1</sup> State statutes dictate many of the ethics provisions that apply to municipal officials and employees. For provisions relative to the following, see the *Tennessee Code Annotated* (T.C.A.) sections indicated:

Campaign finance – T.C.A. Title 2, Chapter 10.

Conflict of interest – T.C.A. §§ 6-54-107, 108; 12-4-101, 102.

Conflict of interests disclosure statements – T.C.A. § 8-50-501 and the following sections.

Consulting fee prohibition for elected municipal officials – T.C.A. §§ 2-10-122, 124.

Crimes involving public officials (bribery, soliciting unlawful compensation, buying and selling in regard to office) – T.C.A. § 39-16-101 and the following sections.

Crimes of official misconduct, official oppression, misuse of official information – T.C.A. § 39-16-401 and the following sections.

Ouster law – T.C.A. § 8-47-101 and the following sections.

A brief synopsis of each of these laws appear in the appendix of the municipal code

(2) The words "employment interest" include a situation in which an official or employee or a designated family member is negotiating possible employment with a person or organization that is the subject of the vote or that is to be regulated or supervised.

(3) In any situation in which a personal interest is also a conflict of interest under state law, the provisions of the state law take precedence over the provisions of this chapter.

4-303 **Disclosure of personal interest by official with vote.** An official with the responsibility to vote on a measure shall disclose during the meeting at which the vote takes place, before the vote and so it appears in the minutes, any personal interest that affects or that would lead a reasonable person to infer that it affects the official's vote on the measure. In addition, the official may recuse himself<sup>2</sup> from voting on the measure.

4-304 **Disclosure of personal interest in nonvoting matters.** An official or employee who must exercise discretion relative to any matter, other than casting a vote, and who has a personal interest in the matter that affects or that would lead a reasonable person to infer that it affects the exercise of the discretion shall disclose, before the exercise of the discretion when possible, the interest on a form provided by and filed with the recorder. In addition, the official or employee may, to the extent allowed by law, charter, ordinance, or policy, recuse himself from the exercise of discretion in the matter.

4-305 **Acceptance of gratuities, etc.** An official or employee may not accept, directly or indirectly, any money, gift, gratuity, or other consideration or favor of any kind from anyone other than the municipality:

(1) For the performance of an act, or refraining from performance of an act, that he would be expected to perform, or refrain from performing, in the regular course of his duties; or

(2) That might reasonably be interpreted as an attempt to influence his action, or reward him for past action, in excusing municipal business.

4-306 **Use of Information.**

(1) An official or employee may not disclose any information obtained in his official capacity or position of employment that is made confidential under state or federal law except as authorized by law.

(2) An official or employee may not use or disclose information obtained in his official capacity or position of employment with the intent to result in financial gain for himself or any other person or entity.

4-307 **Use of municipal time, facilities, etc.**

(1) An official or employee may not use or authorize the use of municipal time, facilities, equipment, or supplies for private gain or advantage to himself.

(2) An official or employee may not use or authorize the use of municipal time, facilities, equipment, or supplies for private gain or advantage to any private person or entity, except as authorized by legitimate contract or lease that is determined by the governing body to be in the best interests of the municipality.

4-308 **Use of position or authority.**

(1) An official or employee may not make or attempt to make a private purchase, for cash or otherwise, in the name of the municipality.

<sup>2</sup>Masculine pronouns include the feminine. Only masculine pronouns have been used for convenience and readability.

(2) An official or employee may not use or attempt to use his position to secure any privilege or exemption for himself or others that is not authorized by the charter, general law, or ordinance or policy of the municipality.

4-309 **Outside employment.** An official or employee may not accept or continue any outside employment if the work unreasonably inhibits the performance of any affirmative duty of the municipal position or conflicts with any provision of the municipality's charter or any ordinance or policy.

4-310 **Ethics complaints.**

(1) The city attorney is designated as the ethics officer of the municipality. Upon the written request of an official or employee potentially affected by a provision of this chapter, the city attorney may render an oral or written advisory ethics opinion based upon this chapter and other applicable law.

(2)(a) Except as otherwise provided in this subsection, the city attorney shall investigate any credible complaint against an appointed official or employee charging any violation of this chapter, or may undertake an investigation on his own initiative when he acquires information indicating a possible violation and make recommendations for action to end or seek retribution for any activity that, in the attorney's judgment, constitutes a violation of this code of ethics.

(b) The city attorney may request that the governing body hire another attorney, individual, or entity to act as ethics officer when he has or will have a conflict of interests in a particular matter.

(c) When a complaint of a violation of any provision of this chapter is lodged against a member of the municipality's governing body, the governing body shall either determine that the complaint does not have merit, or determine that the complaint has sufficient merit to warrant further investigation. If the governing body determines that a complaint warrants further investigation, it shall authorize and investigation by the city attorney or another individual or entity chosen by the governing body.

(3) The interpretation that a reasonable person in the circumstances would apply shall be used in interpreting and enforcing this code of ethics.

(4) When a violation of this code of ethics also constitutes a violation of a personnel policy, rule, or regulation or a civil service policy, rule or regulation, the violation shall be dealt with as a violation of the personnel or civil service provisions rather than as a violation of this code of ethics.

4-311 **Violations.** An elected official or appointed member of a separate municipal board, commission, committee, authority, corporation, or other instrumentality who violates any provision of this chapter is subject to punishment as provided by the municipality's charter or other applicable law and in addition is subject to censure by the governing body. An appointed official or an employee who violates any provision of this chapter is subject to disciplinary action.

Passed First Reading May 3, 2007

Passed Second Reading June 7, 2007

Mayor: Jimmy S. Wheeler

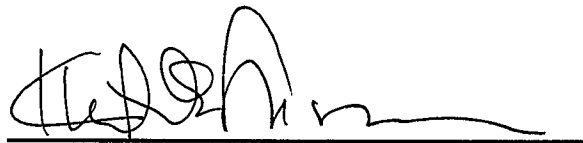
Attest: Deborah Wheeler

# South Carthage

## CERTIFICATE OF RECORDING OFFICER

I, KURT O. E. TSCHAEPE, the duly appointed,  
qualified and acting SECRETARY of the SOUTH CARTHAGE  
HOUSING AUTHORITY, do hereby certify that the attached resolution from the minutes  
of the SOUTH CARTHAGE BOARD OF COMMISSIONERS, held on WEDNESDAY,  
OCTOBER 4, 2006, is a true and correct copy of the original resolution of such meeting  
on file and of record insofar as they relate to the matters set forth in the attached extract.

IN TESTIMONY WHEREOF, I have hereunto set my hand and the seal of said  
SOUTH CARTHAGE HOUSING AUTHORITY, this 13<sup>th</sup> day of October, 2006.



A handwritten signature in black ink, appearing to read 'Kurt O. E. Tschaepe', is written over a horizontal line.

(SEAL)

RESOLUTION 06-527

WHEREAS, Public Chapter No. 1 of the 2006 General Assembly requires municipalities to adopt a Code of Ethics by ordinance; and

WHEREAS, under this law, ordinance restrictions must apply to boards, commissions, authorities, corporations, and other entities created or appointed by the municipality, to include housing authorities; and

WHEREAS, MTAS (Municipal Technical Advisory Service) has been tasked with developing a model Code of Ethics which may be adopted by municipalities and boards, commissions, authorities, corporations, and other entities created or appointed by the municipality; and

WHEREAS, the Code of Ethics created by MTAS has been determined to meet all the requirements of the foregoing legislation and is in consonance with the intents of the Tennessee Ethics Commission; and

WHEREAS, adoption by this Agency of the MTAS model code is fully consistent with the intents of the Tennessee Ethics Commission.

RESOLVED, that the MTAS Model Ethics Code be and hereby is adopted as and for the Code of Ethics of the SOUTH CARTHAGE HOUSING AUTHORITY. Said provisions are set forth hereinbelow:

**SOUTH CARTHAGE HOUSING AUTHORITY**  
**CODE OF ETHICS**

SECTION 1. Applicability. This chapter is the code of ethics for personnel of the municipality. It applies to all full-time and part-time elected or appointed officials and employees, whether compensated or not, including those of any separate board, commission, committee, authority, corporation, or other instrumentality appointed or created by the municipality. The words “municipal” and “municipality” include these separate entities.

SECTION 2. Definition of “personal interest.”

(1) For purposes of Sections 3 and 4, “personal interest” means:

(a) Any financial, ownership, or employment interest in the subject of a vote by a municipal board not otherwise regulated by state statutes on conflicts of interests; or

(b) Any financial, ownership, or employment interest in a matter to be regulated or supervised; or

(c) Any such financial, ownership, or employment interest of the official’s or employee’s spouse, parent(s), stepparents(s), grandparent(s), sibling(s), child(ren), or stepchild(ren).

(2) The words “employment interest” include a situation in which an official or employee or a designated family member is negotiating possible employment with a person or organization that is the subject of the vote or that is to be regulated or supervised.

(3) In any situation in which a personal interest is also a conflict of interest under state law, the provisions of the state law take precedence over the provisions of this chapter.

SECTION 3. Disclosure of personal interest by official with vote. An official with the responsibility to vote on a measure shall disclose during the meeting at which the vote takes place, before the vote and so it appears in the minutes, any personal interest that affects or that would lead a reasonable person to infer that it affects the official's vote on the measure. In addition, the official may recuse himself from voting on the measure.

SECTION 4. Disclosure of personal interest in nonvoting matters. An official or employee who must exercise discretion relative to any matter, other than casting a vote, and who has a personal interest in the matter that affects or that would lead a reasonable person to infer that it affects the exercise of the discretion shall disclose, before the exercise of the discretion when possible, the interest on a form provided by and filed with the recorder. In addition, the official or employee may, to the extent allowed by law, charter, ordinance, or policy, recuse himself from the exercise of discretion in the matter.

SECTION 5. Acceptance of gratuities, etc. An official or employee may not accept, directly or indirectly, any money, gift, gratuity, or other consideration or favor of any kind from anyone other than the municipality:

- (1) For the performance of an act, or refraining from performance of an act, that he would be expected to perform, or refrain from performing, in the regular course of his duties; or
- (2) That might reasonably be interpreted as an attempt to influence his action, or reward him for past action, in executing municipal business.

SECTION 6. Use of information.

- (1) An official or employee may not disclose any information obtained in his official capacity or position of employment that is made confidential under state or federal law except as authorized by law.
- (2) An official or employee may not use or disclose information obtained in his official capacity or position of employment with the intent to result in financial gain for himself or any other person or entity.



**SECTION 7. Use of municipal time, facilities, etc.**

(1) An official or employee may not use or authorize the use of municipal time, facilities, equipment, or supplies for private gain or advantage to himself.

(2) An official or employee may not use or authorize the use of municipal time, facilities, equipment, or supplies for private gain or advantage to any private person or entity, except as authorized by legitimate contract or lease that is determined by the governing body to be in the best interests of the municipality.

**SECTION 8. Use of position or authority.**

(1) An official or employee may not make or attempt to make private purchases, for cash or otherwise, in the name of the municipality.

(2) An official or employee may not use or attempt to use his position to secure any privilege or exemption for himself or others that is not authorized by the charter, general law, or ordinance or policy of the municipality.

**SECTION 9. Outside employment.** An official or employee may not accept or continue any outside employment if the work unreasonably inhibits the performance of any affirmative duty of the municipal position or conflict with any provision of the municipality's charter or any ordinance or policy.

**SECTION 10. Ethics complaints.**

(1) The city attorney is designated as the ethics officer of the municipality. Upon the written request of an official or employee potentially affected by a provision of this chapter, the city attorney may tender an oral or written advisory ethics opinion based upon this chapter and other applicable law.

(2)

(a) Except as otherwise provided in this subsection, the city attorney shall investigate any credible complaint against an appointed official or employee charging any violation of this

chapter, or may undertake an investigation on his own initiative when he acquires information indicating a possible violation and make recommendations for action to end or seek retribution for any activity that, in the attorney's judgment, constitutes a violation of this code of ethics.

(b) The city attorney may request that the governing body hire another attorney, individual, or entity to act as ethics officer when he has or will have a conflict of interests in a particular matter.

(c) When a complaint of a violation of any provision of this chapter is lodged against a member of the municipality's governing body, the governing body shall either determine that the complaint has merit, determine that the complaint does not have merit, or determine that the complaint has sufficient merit to warrant further investigation. If the governing body determines that a complaint warrants further investigation, it shall authorize an investigation by the city attorney or another individual or entity chosen by the governing body.

(3) The interpretation that a reasonable person in the circumstances would apply shall be used in interpreting and enforcing this code of ethics.

(4) When a violation of this code of ethics also constitutes a violation of a personnel policy, rule, or regulation or a civil service policy, rule, or regulation, the violation shall be dealt with as a violation of the personnel or civil service provisions rather than as a violation of this code of ethics.

**SECTION 11. Violations.** An elected official or appointed member of a separate municipal board, commission, committee, authority, corporation, or other instrumentality who violates any provision of this chapter is subject to punishment as provided by the municipality's charter or other applicable law and in addition is subject to censure by the governing body. An appointed official or an employee who violates any provision of this chapter is subject to disciplinary action.

This Code shall become effective immediately. The Tennessee Ethics Commission shall be advised forthwith of its adoption and implementation.