

# TOWN OF ROGERSVILLE

CITY COUNCIL  
PHILIP BEAL  
BENNIE FLOYD  
BRIAN HARTNESS  
ANN HOWE  
JOHN JOHNSON  
WAYNE SLATER

P.O. Box 788  
106 East Kyle Street  
Rogersville, Tennessee 37857  
(423) 272-7497  
Fax: (423) 272-9451

WATER COMMISSION  
EDWIN PACE, CHAIRMAN  
BENNIE FLOYD  
JOHN JOHNSON  
BILL PEARSON  
DOUG PRICE  
WAYNE SLATER

May 9, 2007

Tennessee Ethics Commission  
312 Eighth Avenue North  
Eighth Floor Snodgrass Tower  
Nashville, Tennessee 37243

To Whom It May Concern:

Enclosed is a signed and duly passed copy of the Code of Ethics Ordinance for the Town of Rogersville. I have also enclosed a copy of the ordinance as published in our local newspaper the Rogersville Review on April 18, 2007.

If any further information is needed, please feel free to let me know.

Sincerely,



William H. Lyons  
City Recorder

Enclosure

lw

RECEIVED  
2007 MAY 11 PM 12:55  
TENNESSEE  
ETHICS COMMISSION

WILLIAM E. PHILLIPS  
City Attorney

JIM SELLS  
Mayor

WILLIAM LYONS  
City Recorder

JIM BIBLE  
Water Dept.

**TOWN OF ROGERSVILLE**

**Ordinance No. 2-13-07-1**

**AN ORDINANCE ADOPTING A CODE OF ETHICS FOR ALL FULL TIME AND PART TIME ELECTED OR APPOINTED OFFICIALS AND EMPLOYEES OF THE TOWN OF ROGERSVILLE, WHETHER COMPENSATED OR NOT, INCLUDING THOSE OF ANY SEPARATE BOARD, COMMISSION, COMMITTEE, AUTHORITY, CORPORATION, OR OTHER INSTRUMENTALITY APPOINTED OR CREATED BY THE TOWN OF ROGERSVILLE.**

**WHEREAS**, the Board of Mayor and Aldermen recognizes that holding public office and public employment in the Town of Rogersville is a public trust, and that citizens of the Town of Rogersville are entitled to an ethical, accountable and incorruptible government; and,

**WHEREAS**, it is necessary that the municipal code of the Town of Rogersville be amended to provide for a code of ethics for all officials and employees of the Town of Rogersville;

**NOW, THEREFORE, BE IT HEREBY ORDAINED:**

**Section 1.** That Title 1 of the Rogersville Municipal Code be and hereby is amended by the addition thereto of Chapter 11 entitled "Code of Ethics" as follows:

**CHAPTER 11**

**CODE OF ETHICS**

**SECTION**

- 1-1101. Applicability.
- 1-1102. Definition of "personal interest."
- 1-1103. Disclosure of personal interest by official with vote.
- 1-1104. Disclosure of personal interest in nonvoting matters.
- 1-1105. Acceptance of gratuities, etc.
- 1-1106. Use of information.
- 1-1107. Use of municipal time, facilities, etc.
- 1-1108. Use of position or authority.
- 1-1109. Outside employment.
- 1-1110. Ethics complaints.
- 1-1111. Violations.

Section 1-1101. Applicability. This chapter is the code of ethics for personnel of the Town of Rogersville (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 1-1102. 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 interest; or

(b) Any such 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).

(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 1-1103. 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 1-1104. 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 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 1-1105. 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 any act, refraining from performance of any 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 for past action, in executing municipal business.

Section 1-1106. 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 1-1107. 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 1-1108. 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 1-1109. 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.

Section 1-1110. Ethics complaints. (1) The city attorney is designated as the ethics officer of the municipality. Upon the written request of any 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 has 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 1-1111. Violations. An elected official or appointed member of a separate municipal board, commission, committee, authority, corporation, or other instrumentality who violated 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.

**Section 2.** This ordinance shall become upon final passage, the public welfare requiring it.

Passed on first reading : 2/13/07

Passed on second reading: 3/13/07

Passed in third reading: 4/10/07

  
\_\_\_\_\_  
Jim Sells, Mayor

Attested by:

  
\_\_\_\_\_  
William H. Lyons, City Recorder

Approved as to be legal form:

  
\_\_\_\_\_  
William E. Phillips

Town of Rogersville

Disclosure of Personal Interest

This form should be filled out and filed with the recorder by any municipal employee or official, except those who serve on boards or other bodies, who must exercise discretion relative to any matter and who has a personal interest in the matter. A personal interest is any financial, ownership, or financial interest in a matter to be regulated or supervised by the employee or official that could affect the employee's or official's spouse, parent(s), step parent(s), grandparent(s), sibling(s) child(ren), or step child(ren). "Employment interest" includes any situation in which the employee or official or one or more of his or her family members designated above is negotiating possible employment with a person or organization that is to be regulated or supervised by the employee or official in carrying out municipal business. Use item 1 of this form to report individual occurrences and item 2 to make a yearly report of situations that will occur more than once during a calendar year.

NAME OF EMPLOYEE OR OFFICIAL: \_\_\_\_\_

1. Individual occurrence

BRIEFLY DESCRIBE THE SITUATION IN WHICH YOU MUST EXERCISE DISCRETION AND IN WHICH YOU HAVE A PERSONAL INTEREST THAT COULD AFFECT THAT DISCRETION:

\_\_\_\_\_  
\_\_\_\_\_

2. Continual occurrences

FOR INDIVIDUALS, BUSINESS, OR ENTITIES THE MUNICIPALITY WILL ENTER INTO TRANSACTIONS WITH MORE THAN ONCE EACH YEAR AND IN WHICH YOU HAVE A PERSONAL INTEREST, YOU MAY MAKE ONE (1) DISCLOSURE FOR THE CALENDAR YEAR BY REPORTING HERE:

Name of Individual, Business, or Entity \_\_\_\_\_

Briefly describe the transactions that will take place between the municipality and the names entity during the calendar year in which you will exercise discretion and in which you have a personal interest that could affect that discretion:

\_\_\_\_\_  
\_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_  
Employee's or Official's Signature

PUBLISH DATES: (3X) Apr. 4, 2007, Apr. 11, 2007, Apr. 18, 2007

NOTICE OF ADOPTED ORDINANCE

Please take notice that the Board of Mayor and Aldermen of the Town of Rogersville, on April 10, 2007, passed on third and final reading Ordinance No. 2-13-07-1, which Ordinance is entitled:

TOWN OF ROGERSVILLE  
Ordinance No. 2-13-07-1

**AN ORDINANCE ADOPTING A CODE OF ETHICS FOR ALL FULL TIME AND PART TIME ELECTED OR APPOINTED OFFICIALS AND EMPLOYEES OF THE TOWN OF ROGERSVILLE, WHETHER COMMISSION, COMMITTEE, AUTHORITY, CORPORATION, OR OTHER INSTRUMENTALITY APPOINTED OR CREATED BY THE TOWN OF ROGERSVILLE.**  
WHEREAS, the Board of Mayor and Aldermen recognizes that holding public office and public employment in the Town of Rogersville is a public trust, and that citizens of the Town of Rogersville are  
WHEREAS, it is necessary that the municipal code of the Town of Rogersville be amended to provide for a code of ethics for all officials and employees of the Town of Rogersville;  
**NOW, THEREFORE, BE IT HEREBY ORDAINED:**

Section 1. That Title 1 of the Rogersville Municipal Code be and hereby is amended by the addition thereto of Chapter 11 entitled "Code of Ethics" as follows:

CHAPTER 11  
CODE OF ETHICS

SECTION

- 1-1101. Applicability.
- 1-1102. Definition of "personal interest."
- 1-1103. Disclosure of personal interest by official with vote.
- 1-1104. Disclosure of personal interest in nonvoting matters.
- 1-1105. Acceptance of gratuities, etc.
- 1-1106. Use of information.
- 1-1107. Use of municipal time, facilities, etc.
- 1-1108. Use of position or authority.
- 1-1109. Outside employment.
- 1-1110. Ethics complaints.
- 1-1111. Violations.

Section 1-1101. Applicability. This chapter is the code of ethics for personnel of the Town of Rogersville (the "municipality"). It applies to all full-time and part-time elected or appointed officials and commission, committee, authority, corporation, or other instrumentality appointed or created by the municipality. The words "municipal" and "municipality" include these separate entities.

Section 1-1102. 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 interest; or
- (b) Any such 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).

(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 a vote.

(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 1-1103. 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 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 1-1104. 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 that affects 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, or ordinance, disclose the interest.

Section 1-1105. 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

- (1) For the performance of any act, refraining from performance of any 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 for past action, in executing municipal business.

Section 1-1106. 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.  
(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 1-1107. 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 or any other person or entity.  
(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 law, charter, or ordinance.

Section 1-1108. 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.

Section 1-1109. 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 municipality or policy.

Section 1-1110. Ethics complaints. (1) The city attorney is designated as the ethics officer of the municipality. Upon the written request of any official or employee potentially affected by a provision of 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 making 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 is unfounded, or 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. 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 ethics.

Section 1-1111. Violations. An elected official or appointed member of a separate municipal board, commission, committee, authority, corporation, or other instrumentality who violated any provision of this chapter 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.

Section 2. This ordinance shall become upon final passage, the public welfare requiring it.