



Legislation Details (With Text)

File #: 19-0376 **Version:** 0 **Name:** Financial Disclosures - Fixing Filers, Filing, and Filings
Type: Ordinance **Status:** Enacted
File created: 4/22/2019 **In control:** City Council
On agenda: **Final action:** 8/29/2019
Enactment date: **Enactment #:** 19-287

Title: Financial Disclosures - Fixing Filers, Filing, and Filings
 For the purpose of requiring that appointees sign notices evidencing their understanding of certain requirements under the City Ethics Code; requiring that agencies identify certain positions required to file financial disclosure statements prior to filling a newly-created or vacant position; requiring that agencies include within certain job postings and advertisements whether the position is required to file a financial disclosure statement; including certain public servants within the general requirement to file financial disclosure statements; expanding the directorships that certain public servants are required to disclose on their financial disclosure statements; establishing processes for the Board of Ethics with regard to certain public servants who fail to file their financial disclosure statement by the required date; conforming and clarifying related provisions; providing for a special effective date; and generally relating to the City Ethics Code.

Sponsors: Ryan Dorsey, Sharon Green Middleton, Bill Henry, Isaac "Yitzy" Schleifer, Brandon M. Scott, Robert Stokes, Sr., Eric T. Costello, Leon F. Pinkett, III, Zeke Cohen, Kristerfer Burnett, Mary Pat Clarke, Edward Reisinger, John T. Bullock, Shannon Sneed

Indexes: Disclosures, Financial

Code sections:

Attachments: 1. 19-0376~1st Reader, 2. Law 19-0376, 3. Ethics 19-0376, 4. Finance 19-0376, 5. 2nd Reader Committee Amendments 19-0376, 6. 19-0376~3rd Reader, 7. Complete Bill File 19-0376

Date	Ver.	Action By	Action	Result
9/9/2019	0	Mayor	Signed by Mayor	
8/19/2019	0	City Council	Approved and Sent to the Mayor	
7/22/2019	0	City Council	3rd Reader, for final passage	
7/22/2019	0	Judiciary and Legislative Investigations	Recommended Favorably with Amendment	
7/9/2019	0	Judiciary and Legislative Investigations	Recommended Favorably with Amendment	Pass
6/11/2019	0	Judiciary and Legislative Investigations	Scheduled for a Public Hearing	
5/6/2019	0	Judiciary and Legislative Investigations	Scheduled for a Public Hearing	
4/25/2019	0	The City Council	Refer to Dept. of Finance	
4/25/2019	0	The City Council	Refer to City Solicitor	
4/25/2019	0	The City Council	Refer to Board of Ethics	
4/22/2019	0	City Council	Assigned	
4/22/2019	0	City Council	Introduced	

Explanation: Capitals indicate matter added to existing law.
 [Brackets] indicate matter deleted from existing law.

* **Warning:** This is an unofficial, introductory copy of the bill.
The official copy considered by the City Council is the first reader copy.

Introductory*
City of Baltimore
Council Bill

Introduced by: Councilmember Dorsey

A Bill Entitled

An Ordinance concerning

Financial Disclosures - Fixing Filers, Filing, and Filings

For the purpose of requiring that appointees sign notices evidencing their understanding of certain requirements under the City Ethics Code; requiring that agencies identify certain positions required to file financial disclosure statements prior to filling a newly-created or vacant position; requiring that agencies include within certain job postings and advertisements whether the position is required to file a financial disclosure statement; including certain public servants within the general requirement to file financial disclosure statements; expanding the directorships that certain public servants are required to disclose on their financial disclosure statements; establishing processes for the Board of Ethics with regard to certain public servants who fail to file their financial disclosure statement by the required date; conforming and clarifying related provisions; providing for a special effective date; and generally relating to the City Ethics Code.

By repealing and reordaining, with amendments

Article 8 - Ethics
Sections 3-24, 7-1.1, 7-9, and 7-24
Baltimore City Code
(Edition 2000)

By adding

Article 8 - Ethics
Section 9-5.1
Baltimore City Code
(Edition 2000)

Section 1. Be it ordained by the Mayor and City Council of Baltimore, That the Laws of Baltimore City read as follows:

Baltimore City Code

Article 8. Ethics

Subtitle 3. Administration

Part III. General Administration

§ 3-24. [Notices to new appointees] Appointees - Notice requirements.

(a) *General - Notice required.*

An individual who is appointed to fill a vacancy in a position must be given written notice, in a form approved by the Ethics Board, of the requirements of:

- (1) § 3-20 {"Training courses"};
- (2) § 3-21 {"Conflicts affidavit"}; and
- (3) § 7-12 {"Financial Disclosure: Appointee to vacancy"}.

(b) *General - By whom given.*

- (1) For Board members and uncompensated appointees of the Mayor, the notice required by subsection (a) of this section must be given by the Mayor or the Mayor's designee.
- (2) For all other appointees, the notice must be given by the appointee's agency head or the agency head's designee.

(c) *General - When to be given.*

The notice required by subsection (a) of this section must be given within 5 days after the appointment.

(d) *General - Notice to be signed.*

- (1) To evidence receipt by the appointee and understanding of the appointee's responsibilities, the notice required by subsection (a) must be signed by both the appointee and the official providing the appointee the notice.
- (2) Within 5 days of signing, a copy of the signed notice required under this subsection must be:
 - (i) placed in the appointee's agency personnel file; and
 - (ii) provided to the Ethics Board.

(e) [(d)] *Board members - Special pre-appointment notice.*

- (1) An individual who is nominated to fill a vacancy on a City board must also be given written notice, in a form approved by the Ethics Board, of the provisions of § 6-14 {"Exceptions - New board members"} of this article.
- (2) The notice required by paragraph (1) of this subsection must be given by the Mayor or the Mayor's designee at least 14 days before the appointment is to be confirmed.

Subtitle 7. Financial Disclosure

Part I. General Provisions

§ 7-1.1. Required agency assistance.

- (a) *Agencies to identify those required to file.*
- (1) *Newly-created or vacant positions.*

Prior to filling a newly-created or vacant position:

- (i) each agency head must identify whether the position will be required to file a statement under this subtitle; and
- (ii) if the agency head identifies the position as being required to file a statement under this subtitle, each agency head must:
 - (A) include a disclosure of the financial disclosure requirement in any advertisement or job listing seeking applicants for that position; and
 - (B) provide the Board with the appointee's name and position number within 10 days of filling that position.

(2) *Annual reporting.*

On or before [February 28] January 1 of each year, each agency head must provide to the Ethics Board, with a copy to the Director of Human Resources, the names and position numbers of all public servants in that agency who are required to file statements with the Ethics Board under:

- (1) § 7-7 {“Elected officials and staff”};
- (2) § 7-8 {“Agency officials and staff”}; or
- (3) § 7-9 {“Procurement, legislative liaison, [and] enforcement, and other personnel”}.

(b) *HR supplemental list.*

On or before [March] February 1 of each year, the Director of Human Resources must provide to the Ethics Board the names and position numbers of all public servants who:

- (1) hold positions of the types described in § 7-9 {“Procurement, legislative liaison, [and] enforcement, and other personnel”} of this subtitle; and
- (2) are not identified on any of the agency lists submitted under subsection (a) of this section.

(c) *Entities doing business with City.*

On or before February 1 of each year, the Finance Department must post on its website a searchable list of all persons that did business with the City for the calendar year immediately preceding the current calendar year.

(d) *Registered lobbyists.*

On or before February 1 of each year, the Ethics Board must post on its website a searchable list of all lobbyists who have registered with the Board for the calendar year immediately preceding the current calendar year.

§ 7-9. Persons required to file - Procurement, legislative liaison, [and] enforcement, and other personnel.

The following public servants must file the financial disclosure statements required by this subtitle:

(1) *Procurement employees.*

All non-clerical employees whose functions include:

- (i) the drafting, development, or issuance of specifications, invitations for bids, requests for proposals, requests for qualifications, or other related documents for the procurement of supplies, materials, or services;
- (ii) the review or evaluation of bids, proposals, qualifications, or contracts for the procurement of supplies, materials, or services; or
- (iii) the inspection, monitoring, or other enforcement of contract standards and specifications.

(2) *Legislative liaisons.*

All public servants whose functions include the influence of legislative action, as defined in § 8-1 of this article.

(3) *Enforcement personnel.*

All [other] public servants whose official duties include enforcement of (including inspections to assure compliance with) laws, rules, or regulations that affect the rights of the public or the procedures available to the public.

(4) *Public servants earning over \$60,000.*

Any other public servant whose gross annual compensation from the City of Baltimore is over \$60,000.

Part III. Contents of Statements

§ 7-24. Offices, employment, etc.

(a) *In general.*

The statement must include a schedule of each office, directorship, salaried employment, and other similar interest not otherwise disclosed that was, at any time during the reporting period:

- (1) held by the public servant, by the public servant's spouse or child, or, if known to the public servant, by the public servant's parent or sibling,
- (2) in any business entity that was:
 - (i) a lobbyist,
 - (ii) regulated by the City, or
 - (iii) doing business with the City.

(b) *Directorships held by the public servant.*

In addition to the requirements set forth in subsection (a) of this section, the statement must include each directorship held by the public servant in any business entity.

(c) [(b)] *Required specifics.*

For each position or interest subject to this section, the schedule must include:

- (1) the name and address of the principal office of the business entity;
- (2) the title and nature of the position or interest;
- (3) the date when the position or interest began;
- (4) if applicable, the name of each agency with which the entity is doing business, by which it is regulated, or in connection with which it is a lobbyist;
- (5) if applicable, the nature of the entity's relationship to the City, which at a minimum must refer to the applicable criteria listed in subsection (a)(2) of this section; and
- (6) if the position or interest is held by someone other than the public servant, the identity of the individual who held the position or interest.

Subtitle 9. Enforcement

Part II. Administrative Sanctions

§ 9-5.1. Failure to file financial disclosure statement.

(a) *Late fee.*

- (1) The Board may assess a late fee of \$10 per day, up to an aggregate maximum of \$1,000 per overdue statement, on any public servant who does not file a complete financial disclosure statement on or before the date it is due.
- (2) Within 30 days after any late fee is assessed under this subsection, a public servant may file a written request with the Board to reduce or waive the fee for good cause.

(b) *Notice to public servant.*

If a public servant has failed to file a complete financial disclosure statement within 5 days of the date required under this article, the Board must notify the public servant in writing of the public servant's noncompliance and of the potential consequences under this section for continued noncompliance.

(c) *15-day notice.*

(1) If a public servant has failed to file a complete financial disclosure statement within 15 days of the date required under this article, the Board must notify the public servant in writing of the public servant's continued noncompliance and the potential consequences of further continued noncompliance.

(2) A copy of the notice sent under this subsection must be sent to the public servant's agency head, Director of Human Resources and the City Solicitor.

(d) *Referral to the Office of the Inspector General.*

(1) If a public servant has failed to file a complete financial disclosure statement within 30 days of the date required under this article, the Board must refer the matter in writing to the Office of the Inspector General for investigation.

(2) A copy of the Board's referral made under this subsection must be sent to:

(i) the public servant;

(ii) the public servant's agency head;

(iii) the Director of Human Resources; and

(iv) the City Solicitor.

(e) *Referral for suspension.*

(1) If a public servant has failed to file a complete financial disclosure statement within 60 days of the date required under this article, the Board may refer the matter to the public servant's agency head, the Director of Human Resources, and the City Solicitor with a recommendation that the public servant be suspended from office without pay until the financial disclosure statement is filed.

(2) A referral for suspension must include copies of the notices to the public servant required under this section.

(3) Regardless of whether any action is taken against the public servant, a copy of the Board's referral must be included in the public servant's agency personnel file.

(4) This subsection does not apply to elected officials.

Section 2. And be it further ordained, That the catchlines contained in this Ordinance are not law and may not be considered to have been enacted as a part of this or any prior Ordinance.

Section 3. And be it further ordained, That this Ordinance takes effect on the 180th day after the date it is enacted.