BAYFIELD COUNTY ETHICS COMMITTEE

Brett Rondeau    Jeremy Oswald    James Crandall
Billie Hoopman    Ernest Korpela

Please be advised that the Bayfield County Ethics Committee will meet on Tuesday, January 31, 2017 at 4:00 p.m. in the Bayfield County Emergency Operations Center (EOC), Annex Building, Washburn, Wisconsin.

Any person wishing to attend who, because of a disability, requires special accommodations, should contact the County Clerk's office at 373-6100, at least 24 hours before the scheduled meeting time, so appropriate arrangements can be made.

The agenda for this meeting is as follows:

1) Call To Order

2) Minutes of December 10, 2013

3) Introductions of Board Members and Corporation Counsel

4) Election of Officers

5) Ordinance Review and Procedure Review (attached)


6) Review Draft Fraud Policy / Anonymous Hot Line

7) Discussion regarding Ethics Training for Employee / Committee

8) Future Agenda Topics

9) Set Next Meeting
10) Adjourn

Should you have any questions in the meantime, please contact my office.

Sincerely,

Mark Abeles-Allison
Bayfield County Administrator

CC: County Board
   Department Heads
   Ashland Daily Press/County Journal via Fax
Anonymous Hotline Services

Compliance and reporting hotlines allow you to monitor your business through the eyes of your employees, shareholders, vendors and customers.

By establishing a code of conduct for your associates along with the policies and procedures to help enforce it, you can identify potentially harmful issues early and even prevent unacceptable behavior from occurring at all.

Lighthouse Services is dedicated to providing our clients with confidential, anonymous reporting services. We help protect your assets, board of directors, management, and employees. We are an independent third-party hotline provider, which ensures your employees will feel confident their anonymity will be protected.

The sole focus of our business is compliance and ethics hotlines, and our comprehensive program includes internal control and fraud reports, human resource complaints, and ethics and compliance violations.

Our suite of comprehensive hotline services includes everything you need to stop problems before they start.

Our hotlines and value-added features are ideal for all types and sizes of business, including:

- Public companies
- Private companies
- Local and state governments
- Non-profits
- Schools and school districts
- Healthcare agencies, hospitals and clinics
- Banks and financial institutions

Our services also meet all regulatory compliance obligations, including:

- Sarbanes-Oxley
- HIPAA
- Gramm-Leach-Bliley Act
- Federal Acquisition Regulations
- Federal sentencing guidelines
- Form 990 disclosure

See all of our hottine Features & Benefits, all included at no additional cost.

Lighthouse provides a full suite of hotline services at affordable prices and a dedicated, experienced staff that blends personal services with stream-lined results. Learn more about what sets us apart.

Strategic Partnerships – Lighthouse has established long term relationships with exceptional companies who provide ancillary services to support our client’s hotline programs.
Minutes of the
BAYFIELD COUNTY ETHICS COMMITTEE

December 10, 2013
Emergency Operations Center (EOC)
Bayfield County Annex Building

Members Present: Brett Rondeau, James Crandall, Billie Hoopman, Ernest Korpela (5:12pm)

Members Excused: Marco Bichanich

Others Present: Mark Abeles-Allison, Jack Carlson

Abeles-Allison called the meeting to order at 5:05pm. Introductions of Board Members and Corporation Counsel were made around the table.

Abeles-Allison opened the floor for nominations for Chairperson.

Motion Crandall to nominate Rondeau and Chairman. No other nominations were received. A unanimous ballot was cast for Rondeau.

Rondeau assumed oversight of the meeting.

Rondeau entertained motions for Vice-Chairman.

Motion Hoopman to nominate Crandall. No other nominations were received. A unanimous ballot was cast for Crandall for the position of Vice-Chairman.
Ethics Ordinance: Abeles-Allison reviewed the purpose of the ordinance: He covered the Introduction and purpose of the Ethics Ordinance section 2-4-2, the fact that it is a law and who the law applies to.

5:12 Ernest Korpela joined the meeting.

Corporation Counsel, Jack Carlson reviewed the ordinance in detail including:

2. Rules:
   a. Responsibility of public office
   b. Fair and equal treatment
   c. Conflicts of interest
   d. Public Records and Property
   e. Political activity
   f. Wisconsin Statutes incorporated

Abeles-Allison reviewed the composition of the board.

Carlson continued with the ordinance review:

4. PROCESS:
   a. Complaints, notice, response and initial hearing
   b. Investigations and enforcement
   c. Probable cause
   d. Deliberations and decision
   e. Enforcement and penalty
   f. Review of board decision
   g. Advisory opinion

Crandall and Carlson made suggestions on two corrections: section 2-4-11, item B should reference 2-4-12 instead of 1.11 and Section 2-4-15 second paragraph should reference 2-4-16 not 1.15.

During discussions Carlson noted that a definition of "political activity" section 2-4-9 would be advisable.

Future meeting Packets will be sent electronically and will have hard copies available at the meetings if necessary.

Citizen members are eligible for mileage and per diem. Korpela is already in the county accounting system. Forms will be sent to Hoopman.

Rondeau Adjourned The Meeting At : 5:55pm
Chapter 2  Ethics Ordinance

Sec. 2-4-1 Title.
This ordinance is cited as the Bayfield County Ethics Ordinance.

Sec. 2-4-2 Purpose.
The purpose of this ethics ordinance is to establish ethical standards of conduct for all Bayfield County officials and employees by identifying those actions that are not compatible with the best interests of the County. The County Board believes that a code of ethics for the guidance of County officials and employees in serving the County will help officials and employees avoid conflicts between personal interests and public responsibilities, will improve standards of public service and will promote and strengthen the faith and confidence of the people of Bayfield County in their officials and employees. To this end, the policy of the County is that:

A. Officials and employees are independent, impartial and responsible to the people;

B. Government decisions and policy are promulgated in the bests interests of the people, community and government;

C. County office or employment should not be used for personal gain or political advantage; and

D. County business is conducted so as to reinforce the public’s confidence in the integrity of County government.

Sec. 2-4-3 Authority.
Bayfield County (hereinafter “Bayfield County” or “County”) enacts this ethics ordinance pursuant to the authority of Wis. Stat. §19.59.

Sec. 2-4-4 Definitions.

A. Anything of Value includes any money, property, favor, service, subscription, payment, advance, forbearance, loan or promise of future employment. "Anything of Value" does not include door prizes, compensation and expenses paid by the County, fees and expenses which are permitted by Wisconsin Statutes, political contributions which are reported under Chapter 11 of the Wisconsin Statutes, or hospitality extended for a purpose unrelated to County business by a person other than an organization.

B. Anything of Insignificant Value includes unsolicited advertising or promotional materials such as pens, pencils, notepads, calendars, informational or educational materials of insignificant value, (an item from
a vendor that costs less than $25.00 on a one (1) time basis, but not more than $50.00 worth of items in a calendar year from a vendor), plaques, other advertising giveaways or any other thing which is not likely to influence the judgment of individuals covered by this Code.

C. **Associated** when used in reference to an organization, includes any organization in which an individual or a member of his/her immediate family is a director, officer, or trustee, or who has a significant fiduciary relationship or an individual who owns or controls, directly or indirectly, and severally or in the aggregate, at least ten (10) percent of the outstanding equity.

D. **Confidential Information** means written material or oral information related to county government that is not otherwise subject to the open records law and that is designated by statute, court decision, lawful order, ordinances, resolutions or custom as confidential.

E. **Contract** means all agreements executed between the County or a sub-unit thereof and another party or parties, for the provision of goods, materials, supplies, construction or services in exchange for valuable and sufficient consideration.

F. **Employee** means any person employed by the County in any capacity, full-time or part-time, and not otherwise included in the definition of Official. Employee includes, without limitation, limited term employees (LTE), temporary employees, casual employees and seasonal employees.

G. **Financial Interest** means any interest which yields, directly or indirectly, a monetary or other material benefit to the Official or Employee, to the Official or Employee's immediate family, or to any person employing or retaining services of the Official or Employee.

H. **Immediate Family** means an Official's or Employee's spouse, children, stepchildren, parents, siblings, grandparents and stepparents. Immediate Family also means any other legal relation who contributes more than one-half (1/2) support to the Official or employee, or receives that level of support from the Official or employee, or lives in the Official's or Employee's residence.

I. **Official** includes all County elected officials and appointed members of policymaking Boards, Committees, Councils and Commissions.

J. **Organization** means any stock or non-stock corporation, partnership, proprietorship, firm, enterprise, franchise, incorporated or unincorporated association, trust or other legal entity other than an individual or body politic.

K. **Personal Interest** means any interest arising from blood or marriage relationships or from close business or political associations, whether or not any financial interest is involved.

L. **Political Activity** includes but is not limited to, the following:
(1) Directly or indirectly soliciting or receiving subscriptions or contributions for any political party or political purpose;

(2) Engaging in any form of activity calculated to favor or improve the chances of any political party or any person seeking or attempting to hold political office;

(3) Any act done for the purpose of influencing an election or nomination for election of any individual to state or local office;

(4) Any act done for the purpose of influencing the recall from or retention in office of an individual holding a state or local office;

(5) Any act done for the purpose of payment of expenses incurred as a result of a recount at an election;

(6) Any act done for the purpose of influencing a particular vote at a referendum. (Adopted 1-21-14)

M. Significant Fiduciary Relationship means owning or controlling, directly or indirectly: (a) at least ten (10) percent of the outstanding stock or stock of any business corporation having a cost or market value of at least five thousand dollars ($5,000); or (b) an interest of at least ten (10) percent or five thousand dollars ($5,000) of any organization.

Sec. 2-4-5 Responsibility of Public Office.

Officials and Employees hold their positions for the benefit of the public. They are bound to uphold the Constitution of the United States, the Constitution of the State of Wisconsin, and to carry out efficiently and impartially all laws of the United States, the State of Wisconsin as well as all ordinances, resolutions and policies of the County. They are further bound to observe in their official acts the highest standards of morality and to discharge faithfully the duties of their office regardless of personal considerations. The public interest must be their primary concern.

Sec. 2-4-6 Fair and Equal Treatment.

A. Use of Public Property. An Official or Employee shall not use or permit the use of County services or County-owned vehicles, equipment and materials for non-governmental purposes or for personal convenience or for profit.

B. Obligations to Citizens. An Official or Employee shall not grant any special consideration, treatment or advantage to any citizen beyond that which is available to every other citizen.
Sec. 2-4-7 Conflicts of Interest.

A. Financial and Personal Interest Prohibited. No Official or Employee shall engage in any business or transaction or shall act in regard to financial or personal interest, direct or indirect, which: (1) is incompatible with the discharge of his or her duties; (2) would tend to impair their independence of judgment or action in the performance of their official duties; or (3) is contrary to the provisions of this ethics ordinance.

B. No Financial Gain or Anything of Value. Except as otherwise provided or approved by the County Board, no Official or Employee shall use his/her public position or office to obtain financial gain or anything of value for the private benefit of himself/herself or his/her immediate family, or for an organization with which he/she is associated. This paragraph does not prohibit a county elected official from using the title or prestige of his/her office to obtain campaign contributions that are permitted by and reported as required by Chapter 11 of the Wisconsin Statutes.

C. Incompatible Employment. An Official or Employee shall not engage in or accept any private employment or render any service for a private interest when such employment or service is incompatible with the proper discharge of their official duties or which may impair their independence of judgment or action in the performance of their official duties unless as otherwise permitted by law or unless disclosure is made as hereafter provided. An Employee shall obtain prior approval from their Department Head, or in the case of a Department Head, from the applicable home committee, before engaging in outside employment. Any authorized outside employment must not conflict with the Official's or Employee's ability to do their job with the County and must not otherwise violate any provision of this ethics ordinance.

D. Use or Disclosure of Confidential Information. An Official or Employee shall not, without lawful authority, knowingly disclose or permit the disclosure of confidential information to any person not lawfully authorized to receive such privileged information, or use confidential information to advance their personal financial interest or the financial interest of any other person or organization.

E. Receipt of Gifts and Gratuities Prohibited. An Official or Employee shall not solicit or accept from any person or organization, directly or indirectly, anything of value without full payment, if it could reasonably be expected to influence their vote, governmental actions or judgments, or if it could reasonably be considered as compensation or a reward for any governmental action or inaction. It is not a conflict of interest for an Official or Employee to receive an unsolicited item of insignificant value or anything that is given to them independent of their position as an Official or Employee. This provision does not prohibit an Official or Employee from engaging in outside employment in accordance with this ethics ordinance.
F. **Nepotism.** An Official or Employee shall not hire, promote or advocate for the hiring or promotion of any member of his or her immediate family. An Official or Employee shall not directly supervise any member of his or her immediate family. An Official or Employee shall not approve or advocate for approving increases in the rate of pay or benefits of an immediate family member.

G. **Contracts.** No Official or Employee shall, in a private capacity, negotiate, bid for, enter into, make or perform a contract in which the Official, Employee, immediate family member of the Official or Employee, or any business or organization with which an Official, Employee or immediate family member is associated, has a direct or indirect financial interest, if the Official or Employee is authorized or required by law to participate in the Official’s or Employee’s capacity as such Officer or Employee in the making of that contract or to perform in regard to that contract some official function requiring the exercise of discretion on the Official’s or Employee’s part. If the Official or Employee will not be involved with the contract in an official capacity, the contract may be allowed only if awarded through a process of public notice and competitive bidding in conformity with all applicable laws. This provision is intended to comply with, and in no way contradicts or invalidates the guidelines in Wisconsin Statute § 946.13.

H. **Financial Interest in Legislation.** A member of the County Board who has a financial interest in any proposed action before the County Board, or whose immediate family member has a financial interest in any proposed action before the County Board, shall fully disclose the nature and extent of such interest to the County Board Chair prior to the initial discussion of such action and shall refrain from participating in the discussion of, and voting on, such action. A member of the County Board shall request to be excused by the Board or Committee Chair for the duration of any deliberations concerning such action in which the member has a financial interest. Any other Official or Employee who has a financial interest in any proposed action before the County Board, and who participates in discussion with or gives an official opinion or recommendation to the County Board, shall first fully disclose the nature and extent of such interest to the County Board.

I. **Business Interest.** An Official or Employee shall not engage in any business, transaction or act in regard to any financial interest, direct or indirect, which:

1. Is incompatible with the proper discharge of their official duties for the benefit of the public;

2. Is contrary to the provisions of this Code; or

3. May impair their independence of judgment or action in the performance of their official duties.
J. **Unfair Persuasion.** No Official or Employee may use or attempt to use his or her public position to influence or gain unlawful benefits, advantages or privileges for himself or herself or others.

K. **Issuance of Permits.** No Official or Employee empowered to issue a discretionary permit pursuant to either state or local laws or regulations shall issue any such permit to himself or herself or to any member of that Official's or Employee's immediate family without first revealing in writing the request for such permit to that person's immediate supervisor or to the County Board that regulates the subject of such permit and obtaining written permission from the person's immediate supervisor or the County Board to issue the same.

**Sec. 2-4-8 Public Records and Property.**

Pursuant to §19.21-19.39, Wisconsin Statutes, each and every Official is the legal custodian of and shall safely keep and preserve all property and things received from the Official's predecessor or other persons and required by law to be filed, deposited, or kept in the Official's Office, or which are in the lawful possession or control of the Official or the Official's Deputies.

**Sec. 2-4-9 Political Activity.**

Officials and Employees may engage in political activity provided that such activity does not interfere with the performance of their duties and does not involve the use of county equipment or property. Officials and Employees are specifically prohibited from directly or indirectly coercing any person to withhold or contribute monetary or other types of assistance to any political candidate, party or purpose.

**Sec. 2-4-10 Wisconsin Statutes Incorporated.**

The following Sections of the Wisconsin Statutes are hereby incorporated by reference and made a part of the ethics ordinance:

A. Chapter 11.00 Campaign Financing;

B. Section 19.21 Custody and Delivery of Official Property and Records;

C. Section 19.59 Code of Ethics for Local Government Officials, Employees and Candidates;

D. Section 946.10 Bribery of officers and employees;

E. Section 946.12 Misconduct in Public Office;

F. Section 946.13 Private Interest in Public Contract Prohibited.
Officials shall comply with the Sections of Wisconsin Statutes incorporated in this Code and failure to do so shall constitute a violation of the Code of Ethics.

Sec. 2-4-11 Ethics Board.

This ethics ordinance hereby creates an Ethics Board.

A. **Membership.** The Ethics Board shall be comprised of five (5) members consisting of three (3) County Board members and two (2) citizens. Membership on the Ethics Board shall be appointed by the County Board Chair subject to confirmation by the Bayfield County Board of Supervisors.

B. **Powers and Duties.** The Ethics Board shall be responsible for investigating complaints and conducting fact finding hearings pursuant to section 2-4-12 below.

C. **Assistance of Counsel.** The Corporation Counsel shall furnish the Ethics Board whatever legal assistance is necessary to carry out its functions. The Corporation Counsel may retain outside counsel to provide this assistance as necessary.

Sec. 2-4-12 Complaints, Notice, Response and Initial Hearing.

A. **Content of Complaints**

All complaints shall be made in writing. The complaint shall state the specific provision(s) of the county ethics ordinance or Wisconsin statutes believed to have been violated and shall include sufficient information to support the allegations. The complaint shall also include all of the following: (a) the name, address and telephone number of the complainant; (b) the name, address and position of the individual who is the subject named in the complaint; (c) the facts constituting the alleged ethics violation(s) set forth clearly and in detail; (d) if complainant(s) believes that any board member has a conflict of interest or bias, it shall be stated in the complaint. Complaints that do not meet the minimum requirements set forth above shall be dismissed without prejudice. All written complaints shall be submitted to the office of the Bayfield County Clerk. The County Clerk shall forward the complaint to the chair of the ethics board and the corporation counsel. No action may be taken on any request or complaint filed later than one (1) year after a violation of this ethics ordinance is discovered or should have been discovered.

B. **Notice, Response and Setting of Initial Hearing.** The Ethics Board shall send notice, including a copy of the complaint to the respondent and complainant within seven (7) business days of receipt of the complaint by the Ethics Board Chair. The notice shall be sent via certified mail or by personal service. The notice shall inform the respondent that he or she
may file a written statement of his or her position with the board within ten (10) business days of the date the notice was sent. The Ethics Board shall set a time for an initial meeting on the complaint that is within fifteen (15) business days following the ten (10) business day deadline for response by the respondent. The initial meeting shall be set prior to the notice being sent out so that the notice will include the date, time and place of the initial meeting of the board regarding the complaint. An agenda shall be filed and posted prior to the initial hearing. The corporation counsel shall send a copy of the response(s) received from the respondent(s) to the Ethics Board and the complainant(s) at least five (5) business days prior to the initial hearing.

C. Initial Hearing. The Ethics Board shall convene within fifteen (15) business days following the ten (10) business day response period for the respondent to determine if it has jurisdiction over the subject matter of the complaint and to determine if there is a basis for the complaint. The complainant shall be present. If the complainant does not personally appear, the Ethics Board may dismiss the complaint without prejudice. If the board determines that there is no basis for the complaint, the board may immediately dismiss the complaint with prejudice and without hearing. In determining if there is a basis for the complaint, the Ethics Board must review the complaint, assuming that every allegation is true.

If the Ethics Board determines that the verified complaint alleges facts that provide a reasonable basis to constitute a violation of the code of ethics or that an investigation of a possible violation is warranted, it may make an investigation with respect to any alleged violation after notifying the respondent in writing. Such notice shall state the nature and purpose of the investigation, the actions or activities to be investigated and the respondent’s due process rights. The Ethics Board may, in its sole discretion, extend the deadlines for taking action on a verified complaint or request. Failure of the Ethics Board to take action within the time frames set forth in this subparagraph shall not preclude the Ethics Board from pursuing a complaint.

Sec. 2-4-13 Investigations and Enforcement.

Pursuant to any investigation or hearing conducted under this ethics ordinance, the Ethics Board has the authority to:

A. Require any person to submit in writing such reports and answers to questions relevant to the proceedings conducted under this article as it may prescribe, such submission to be made within such period and under oath or otherwise as it may determine.

B. Administer oaths and to require by subpoena issued by it pursuant to Wisconsin statute 885.01 the attendance and testimony of
witnesses and the production of any documentary evidence relating to the investigation or hearing being conducted.

C. Order testimony to be taken by deposition before any individual who is designated by it and has the power to administer oaths, and, in such instances, to compel testimony and the production of evidence in the same manner as authorized by subsection (2) above.

D. Pay witnesses the same fees and mileage as are paid in like circumstances by the courts in Wisconsin.

E. Request and obtain from the department of revenue copies of state income tax returns and access to other appropriate information under Wis. Stat. § 71.78(4), regarding all persons who are the subject of such investigation.

F. Retain outside counsel and other experts as needed in connection with any of the Ethics Board's responsibilities hereunder after solicitation of recommendations from the office of corporation counsel and upon such contract for services approved for content and form by the corporation counsel.

Sec. 2-4-14 Hearing Upon Finding of Probable Cause.

A. If after investigation, the Ethics Board finds that probable cause exists for believing the allegation(s) in the complaint, the Ethics Board shall not less than thirty (30) business days after such finding is made schedule a hearing date. The Ethics Board shall give the complainant and the accused at least thirty (30) business days' notice of the hearing date. The Ethics Board may appoint corporation counsel and/or outside counsel to act as prosecutor of the complaint.

B. Pursuant to Wis. Stat. § 19.85, the hearing shall be closed to the public unless the accused requests that it be opened.

C. All evidence, including certified copies of records and documents which the board considers, shall be fully offered and made part of the record of the case. The evidence presented shall be limited to the scope of the charges made in the complaint. The Ethics Board shall not be bound by the rules of evidence for trial, but it shall admit all evidence having reasonable probative value provided that it relates to the scope of the charge(s) made in the complaint and shall exclude immaterial, irrelevant or unduly repetitious testimony.

D. Every party shall be offered, during all stages of any investigation or proceeding conducted under this ethics ordinance, reasonable opportunity to rebut or offer countervailing evidence.
E. The parties and/or their representatives shall provide each other with an opportunity to examine all documents and records to be used at a hearing under this section at least ten (10) business days prior to the scheduled hearing.

F. The parties may make a brief opening statement to acquaint the board with the nature of the complaint;

G. During the hearing, the parties shall have the opportunity to present witnesses, confront and cross-examine adverse witnesses and establish all pertinent facts.

H. The voting members of the Ethics Board may direct questions to any party or witness.

I. The burden of proving violations alleged in the complaint shall be on the complainant. Violations shall be proven by clear, convincing and satisfactory evidence.

J. All proceedings held before the Ethics Board shall be recorded either by a certified court reporter or an electronic recording device.

K. The Ethics Board shall have the power to compel attendance of witnesses and to issue subpoenas under Wis. Stat. § 885.01.

L. Unless otherwise precluded by law, informal disposition of any case may be made by stipulation, agreed settlement, consent order or default.

Sec. 2-4-15 Deliberations and Decision.

Upon completion of the hearing, the Ethics Board shall adjourn to closed session for deliberations. Any person not a member of the board, including county board supervisors, shall be excluded from the deliberations of the Ethics Board. Corporation counsel shall further be excluded from deliberations if corporation counsel prosecuted the complaint on behalf of the complainant. Within the ten (10) workdays of the conclusion of the hearing, the Ethics Board shall complete and serve the parties its written findings, recommendations and orders signed by all participating Ethics Board members, together with findings of fact and conclusions of law, concerning the propriety of the conduct of the Official or Employee. The recommendations made by the Ethics Board may include a recommendation of the action and/or discipline that the Ethics Board believes that the Official or Employee by the Official's or Employee's governing, appointing or hiring authority should consider taking against the accused including, without limitation, censure, suspension, removal of an Official from office or employment or that an Employee be disciplined or discharged.

If the Ethics Board determines that no violation of this ethics ordinance has occurred, it shall dismiss the complaint, and notify all parties involved including the accused, and if requested to do so by the accused, issue a public statement. If the Ethics Board finds that clear, satisfactory and convincing evidence of an ethics violation exists, the Ethics Board shall take any action and make any recommendations and/or orders that it deems appropriate in accordance with this paragraph and section 2-4-16.
below. The official or body to whom the decision of the Ethics Board is referred shall be
guided by the recommendations of the Ethics Board but shall not be obligated to follow
them.

Sec. 2-4-16 Enforcement and Penalties.

If, after investigation and hearing, the Ethics Board determines by clear,
convincing and satisfactory evidence that a violation of this ethics ordinance has
occurred, the Ethics Board must take one (1) or more of the following actions:

A. Supervisors. If the person found to have violated this ethics ordinance is
an elected member of the board of supervisors, the Ethics Board may refer the matter
and recommendations to the board of supervisors for whatever action the board of
supervisors deems appropriate under law.

B. Other Elected Officials. If the person found to have violated this ethics
ordinance is an elected county official other than a member of the board of supervisors,
the matter may be referred to the official or body with the authority to remove the official
from office as provided under the Bayfield County ordinances or Wisconsin statutes. If
none is designated in the Bayfield County ordinances or Wisconsin statutes, the matter
shall be referred to the board of supervisors.

C. Appointed Officials. If the person found to have violated this ordinance
is an appointed county official, the matter may be referred to the official or body with the
authority to remove the official from office as provided under the Bayfield County
ordinances or Wisconsin state statutes. If none is designated by the Bayfield County
ordinances or Wisconsin statutes, then the matter shall be referred to the official or body
who appointed the official to office.

D. Employees. If the person found to have violated this ordinance is an
employee, the Ethics Board may refer the matter to the employee’s appointing/hiring
authority.

E. Return/Restitution. An order for the specified return of county property
or funds or gifts and/or restitution for the value of the gifts, property and funds procured,
obtained or retained as a result of a violation of this ethics ordinance. An order for
return/restitution shall include a deadline for return or making restitution.

F. Modify Behavior. An order requiring the accused to conform his/her
conduct to this article.

G. Fine. An order requiring an individual who has been determined by the
Ethics Board to have violated this ethics ordinance to forfeit an amount not less than
one hundred dollars ($100) nor more than one thousand dollars ($1,000) for each
offense along with a payment deadline.

H. Corporation Counsel Action. The corporation counsel, when requested
by the Ethics Board, shall institute a civil proceeding to recover any forfeiture, restitution
or declaratory order incurred under this ethics ordinance which has not been timely
complied with by the subject of the order. Any forfeiture or other funds recovered under this section shall be remitted to the Bayfield County treasurer. Any property ordered returned shall be returned to the county department or entity from which the property was taken, or to any other person or entity providing a gift.

I. **Referral to the District Attorney.** Referral to the District Attorney to commence enforcement and penalties as permitted by Wisconsin Statutes

J. **Other Penalties.** The enumerated penalties and sanctions in this section shall not be construed to limit the authority of the Ethics Board or the County from imposing any additional penalties or sanctions. The County may take disciplinary actions, up to and including discharge, based on any acts, omissions or conduct of any employee that the County determines has engaged in conduct which is in violation of this ordinance in accordance with the County’s policies governing employment. Such disciplinary or other action by the County is not contingent upon the filing of an ethics complaint under this ordinance, any finding whatsoever by the Ethics Board or any competent court of jurisdiction pursuant to this ordinance and is not precluded by any decision of the Ethics Board hereunder. Any person found by the Ethics Board to have violated any portion of this ethics ordinance shall be subject to private reprimand, public reprimand, denial of salary or merit increase, suspension without pay, removal from employment or office in accordance with the provisions of Wisconsin statutes or other disciplinary actions pursuant to the recommendations of the Ethics Board and/or judgment of the official or body to whom the decision of the Ethics Board is referred under this section. Any action taken by an Official or Employee that is deemed in violation of this section may be deemed void by Bayfield County.

K. **Miscellaneous.** Any other recommendations or orders as may be necessary and appropriate to carry out the intent and purpose of this ethics ordinance.

No recommendation or order of the Ethics Board becomes effective until twenty (20) days after it is issued. Notwithstanding any of the foregoing, the County may take disciplinary actions, up to and including discharge, based on any acts, omissions or conduct of any employee that the County determines has engaged in conduct which is in violation of this ordinance in accordance with the County’s policies governing employment. Such disciplinary or other action by the County is not contingent upon the filing of an ethics complaint under this ordinance, any finding whatsoever by the Ethics Board or any competent court of jurisdiction pursuant to this ordinance and is not precluded by any decision of the Ethics Board hereunder. Unless required by a collective bargaining agreement, employee contract or governing statute or regulation, employment with the County is “at will” and is for no definite period of time and may, regardless of the and method of payment of salary or wages, be terminated by the County, with or without cause and with or without prior notice at any time.

**Sec. 2-4-17 Review of the Board Decision.**

Any party appearing before the Ethics Board who is dissatisfied with the decision of the Ethics Board may request a review of its decision. The review is initiated by filing
a written request to the presiding judge of the Bayfield County Circuit Court. The request for review must be accompanied by a copy of the decision of the Ethics Board and must meet all circuit court procedures, including but not limited to, proper format and filing fee. The request for review shall be filed within twenty-five (25) days of the Board’s decision and shall be served upon all parties, including the Ethics Board. Service shall be by certified mail. Service upon the Ethics Board shall be considered complete upon service on the County Clerk. Payment of the filing fee and cost of review shall be the responsibility of the party seeking review.

Sec. 2-4-18 Advisory Opinions

Any person governed by this ordinance may apply in writing to the Bayfield County Corporation Counsel for an advisory opinion and shall be guided by any opinion rendered. The applicant shall present his or her interpretation of the facts at issue and of the applicability of provisions of this Code before the advisory opinion is rendered. All requests for opinion and opinions rendered shall be in writing. Any official or employee acting consistent with an advisory opinion issued under this section, shall be presumed to acting within the provisions of this code. Records of the Corporation Counsel's opinions, opinion requests and investigations of violations shall be closed to public inspection, as required by Chapter 19, Wis. Stats. However, such records may be made public with the consent of the applicant.

(Published 6-8-13)
INTRODUCTION

Bayfield County must protect the county organization, taxpayers, employees and assets against financial risks, operational breaches and unethical activities. Management must clearly communicate fraud prevention policies to internal and external customers, vendors and employees.

The impact of misconduct and dishonesty includes:
- Loss of public confidence
- Financial losses
- Damage to the reputation of the county and its employees
- Negative publicity
- The cost of investigation
- Loss of employees
- Damaged relationships with contractors and suppliers
- Litigation

Bayfield County’s goal is to establish and maintain an environment of fairness, ethics and honesty for employees, citizens, suppliers and anyone else with whom Bayfield County has a relationship. To maintain such an environment requires the active assistance of every employee and manager every day.

Bayfield County is committed to the deterrence, detection and correction of misconduct and dishonesty. The discovery, reporting and documentation of fraudulent acts provides a sound foundation for the protection of innocent parties. Disciplinary action against offenders including recovery of assets, dismissal and where appropriate, referral to law enforcement agencies shall be the norm.

POLICY STATEMENT
Bayfield County has adopted a policy regarding fraud. Employees shall not misuse County assets for personal gain, or willfully misappropriate any Bayfield County asset. Evidence supporting fraud, theft or embezzlement of Bayfield County assets and equipment may be subject to suspension, termination, restitution and criminal charges. Any Bayfield County employee who is aware of fraud being committed against the County by anyone shall report such activity to their Department Head, the County Administrator’s Office or Sheriff’s Office.

PROHIBITED ACTS
_Fraud is defined as intentional deception, misappropriation of resources or the manipulation of data to the advantage or disadvantage of a person or entity._
Some examples of fraud include:

1. Authorizing or receiving compensation for goods not received or services not performed
2. Alteration or falsification of records
3. Theft or misappropriation of cash or fixed assets
4. Falsification of expenses and invoices
5. Failure to account for monies collected
6. Knowingly providing false information on job applications
7. Authorizing or receiving compensation for hours not worked
8. Embezzlement, bribery or conspiracy
9. Obtaining or giving of any county property without going through proper sale /purchase procedure.

REPORTING OF FRAUD

1. Employees shall read and understand this policy. Additionally, suspected or known fraudulent acts by employees shall be reported to their respective Department Head. If the employee has reason to believe that a Department Head may be involved, the employee shall notify the County Administrator or Sheriff’s Office directly.
2. Supervisors shall a) communicate the provisions of this policy to all staff; b) take no action without consulting the Administrator; c) recommend appropriate disciplinary action when there is evidence of wrong-doing; and d) if suspension or termination is recommended, consult with the County Administrator’s Office.
3. Department Heads shall communicate any suspected or known fraudulent act to the County Administrator or Sheriff’s Office. The Sheriff’s Office will notify the County Administrator of criminal incidents and keep the County Administrator abreast of the investigation.
4. Participants in a fraud investigation shall keep the details and results of the investigation confidential.
5. Employees reporting an act of fraud; or assisting, testifying or participating in a fraud investigation, acting in accordance with the requirement of this policy, shall not be subject to any adverse employment action unless it is determined the employee is culpable for such action and/or made an allegation knowing it was false. Examples of adverse employment action include, but are not limited to, discipline, suspension, threatening to discipline or suspend, coercion, acts of intimidation and firing.
6. Complaints of Fraud should be in writing and can be anonymous. All fraud accusations, whether in writing and signed or not, shall be documented and shared with the County Administrator.

FALSE ALLEGATIONS
False allegations of suspected fraud with the intent to disrupt or cause harm to another may be subject to disciplinary action up to and including termination of employment.

DETERRING FRAUD AND CORRUPTION
The County has established internal controls, policies and procedures in an effort to deter, prevent and detect fraud and corruption. It is the responsibility of Department Heads and the County Administrator to ensure that adequate controls are in place at all times within their departments.
All new full time employees are subject to background investigations including a criminal background check(s).

Vendors, contractors, and suppliers may be subject to screening, including verification of the individual or company’s status as a debarred party.

When necessary, contractual agreements with the County may contain a provision prohibiting fraudulent or corruptive acts and will include information about reporting fraud and corruption.

County employees will periodically receive fraud and corruption awareness training. New employees will receive this policy as part of their training at orientation.

Annually department heads will review internal fraud prevention policies and control mechanisms and make any required updates to internal controls. These discussions shall include:

- Issuance of cash receipts in all situations
- Tracking of petty cash
- Tracking of all county bank accounts through the Treasurer’s office.
- Separation of duties
- Credit card procedures
- Counter signing of checks, at least two signatures on all checks.
- Mandatory vacations
- Annual reporting of auditor findings to the county Executive Committee
- Separation of cash and accounting records at all times.

CORRECTIVE ACTION
Determination regarding action against an employee, vendor, recipient or other person found to have committed fraud or corruption will be made by the County Administrator and Personnel Committee with notification to the appropriate law enforcement entity as required.

Offenders at all levels of the County will be treated equally regardless of their position or years of service with the County. Determinations will be made based on a finding of facts in each case, actual or potential damage to the County, cooperation by the offender and legal requirements.

Depending on the seriousness of the offense and the facts of each individual case, action against an employee can range from written reprimand to legal action—either civil or criminal in addition to termination. In all cases, involving monetary losses to the County, the County will pursue recovery of losses.

Jan 12, 2017 draft, review by County Exec Committee