# As Adopted by the House

# 128th General Assembly Regular Session 2009-2010

H. C. R. No. 5

# **Representative Szollosi**

Cosponsors: Representatives Adams, J., Adams, R., Bacon, Balderson, Bolon, Book, Boyd, Brown, Bubp, Celeste, Chandler, Coley, Combs, Daniels, DeBose, DeGeeter, Derickson, Domenick, Driehaus, Dyer, Evans, Fende, Foley, Gardner, Garland, Garrison, Gerberry, Goodwin, Goyal, Grossman, Hackett, Hagan, Harris, Heard, Hite, Huffman, Koziura, Letson, Luckie, Mallory, Mandel, McClain, Miller, Moran, Morgan, Murray, Patten, Phillips, Pillich, Pryor, Ruhl, Sayre, Sears, Skindell, Slesnick, Snitchler, Stautberg, Stebelton, Stewart, Uecker, Weddington, Williams, B., Williams, S., Winburn, Yates, Yuko

# CONCURRENT RESOLUTION

То	adopt the Legislative Code of Ethics for the	1
	members and employees of both chambers of the	2
	128th General Assembly, employees of any	3
	legislative agency, and candidates for the 129th	4
	General Assembly.	5

# BE IT RESOLVED BY THE HOUSE OF REPRESENTATIVES OF THE STATE OF OHIO (THE SENATE CONCURRING):

WHEREAS, The Joint Legislative Ethics Committee, appointed by	6
the Speaker of the House of Representatives and the President of	7
the Senate pursuant to section 101.34 of the Revised Code, is	8
required to recommend a Code of Ethics that is consistent with the	9
law to govern all members and employees of each chamber of the	10
General Assembly and all candidates for the office of member of	11

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# SECTION 2. DISCLOSURE STATEMENT

(A) The Office of the Legislative Inspector General shall 44 accept disclosure statements filed by members and employees of the 45 General Assembly and employees of any legislative agency pursuant 46 to section 102.02 of the Revised Code and shall maintain a file of 47 all disclosure statements that are filed pursuant to that section. 48 Every member of the General Assembly and every employee of the 49 General Assembly and any legislative agency who is required to 50 file a financial disclosure statement, within the period 51 prescribed by law, shall file with the Office of the Legislative 52 Inspector General, a disclosure statement as provided for by 53 section 102.02 of the Revised Code. Each member and each employee 54 of the General Assembly and employee of any legislative agency 55 required to file a financial disclosure statement, within the 56 period and in the manner prescribed by section 102.02 of the 57 Revised Code, shall receive from the Office of the Legislative 58 Inspector General the form on which the statement shall be 59 60 prepared.

- (B) Division (A)(2)(c) of section 102.02 of the Revised Code applies to members of the General Assembly who are attorneys or physicians or who otherwise engage in the practice of a profession and to the clients, patients, and other recipients of professional services of members of the General Assembly who are attorneys or physicians or who otherwise engage in the practice of a profession, even if those clients, patients, and other recipients of professional services are legislative agents.
- (C) Division (A)(8) of section 102.02 of the Revised Code 69 requires a member of the General Assembly and an employee of the 70 General Assembly or any legislative agency required to file a 71 disclosure statement under section 102.02 of the Revised Code to 72 identify on a disclosure statement the source and amount of any 73 payment of expenses incurred for travel to destinations inside or 74

outside this state that the member or employee receives in the 75 member's or employee's own name or that another person receives 76 for the member's or employee's use or benefit in connection with 77 the member's or employee's official duties, except for expenses 78 for travel to meetings or conventions of a national or state 79 organization to which any state agency, including, but not limited 80 to, any legislative agency or state institution of higher 81 education as defined in section 3345.011 of the Revised Code, pays 82 membership dues, or any political subdivision or any office or 83 agency of a political subdivision pays membership dues. 84

- (D) Division (A)(9) of section 102.02 of the Revised Code 85 requires a member of the General Assembly and an employee of the 86 General Assembly or any legislative agency required to file a 87 disclosure statement under section 102.02 of the Revised Code to 88 identify on a disclosure statement the source of payment of 89 expenses for meals and other food and beverages that are incurred 90 in connection with the person's official duties and that exceed 91 one hundred dollars aggregated per calendar year, except for 92 expenses for meals and other food and beverages provided at a 93 meeting at which the member or employee participated in a panel, 94 seminar, or speaking engagement or at a meeting or convention of a 95 national or state organization to which a state agency, including, 96 but not limited to, any legislative agency or state institution of 97 higher education as defined in section 3345.011 of the Revised 98 Code, pays membership dues, or any political subdivision or any 99 office or agency of a political subdivision pays membership dues. 100
- (E)(1) Except as otherwise provided in division (E)(2) of 101 this section, in accordance with section 102.02 of the Revised 102 Code, every member of the General Assembly and every employee of 103 the General Assembly or any legislative agency required to file an 104 annual statement under section 102.02 of the Revised Code shall 105 disclose the source of a gift or gifts, where the value of the 106

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gift or gifts aggregated per calendar year exceeds seventy-five	107
dollars, except gifts received by will or by virtue of section	108
2105.06 of the Revised Code, or received from spouses, parents,	109
grandparents, children, grandchildren, siblings, nephews, nieces,	110
uncles, aunts, cousins, brothers-in-law, sisters-in-law,	111
sons-in-law, daughters-in-law, fathers-in-law, mothers-in-law,	112
step-relations, or any person to whom the member or employee of	113
the General Assembly or employee of any legislative agency stands	114
in loco parentis, or received by way of distribution from any	115
inter vivos or testamentary trust established by a spouse or by an	116
ancestor.	117

(2) In accordance with section 102.02 of the Revised Code, every member of the General Assembly and every employee of the General Assembly or any legislative agency required to file an annual statement under section 102.02 of the Revised Code shall disclose the source of a gift or gifts from a legislative agent, where the value of the gift or gifts aggregated per calendar year exceeds twenty-five dollars.

#### SECTION 3. LICENSE DISCLOSURE

Any member of the General Assembly who engages in the conduct 126 or practice of a particular business, profession, trade, or 127 occupation that is subject to licensing or regulation by any 128 branch, department, division, institution, instrumentality, board, 129 commission, or bureau of the state shall file a notice that the 130 member is the holder of a particular license, or is engaged in 131 such activity, as part of the financial disclosure statement 132 required by section 102.02 of the Revised Code. 133

# SECTION 4. VOTING ABSTENTION

(A) A member who has reason to believe that the member has a 135 substantial personal interest in legislation may request 136 permission of the chair to abstain from voting on the legislation 137

employee, for any service rendered or to be rendered by the person

personally in any case, proceeding, application, or other matter

that is before the General Assembly or any department, division,

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institu	tion,	instr	rume	ntality,	board,	commission,	or	bureau	of	the	169
state,	exclud	ing t	he	courts.							170

Division (A) of this section shall not be construed to 171 prohibit the performance of ministerial functions, including, but 172 not limited to, the filing or amendment of tax returns, 173 applications for permits and licenses, incorporation papers, 174 security registrations, and other documents. 175

Except as provided in division (D) of section 102.04 of the 176
Revised Code, no person elected to or employed by the General 177
Assembly or employed by any legislative agency shall sell or agree 178
to sell, except through competitive bidding, any goods or services 179
to the General Assembly or any department, division, institution, 180
instrumentality, board, commission, or bureau of the state, 181
excluding the courts.

- (B) No member or employee of the General Assembly or employee 183 of any legislative agency shall knowingly accept any of the 184 following from a legislative agent: 185
- (1) The payment of any expenses for travel or lodging except
  as otherwise authorized by division (H) of section 102.03 of the
  Revised Code;
- (2) More than seventy-five dollars aggregated per calendar 189 year as payment for meals and other food and beverages, other than 190 for those meals and other food and beverages provided to the 191 member or employee at a meeting at which the member or employee 192 participates in a panel, seminar, or speaking engagement, at a 193 meeting or convention of a national organization to which either 194 house of the General Assembly or any state agency, including, but 195 not limited to, any legislative agency or state institution of 196 higher education as defined in section 3345.011 of the Revised 197 Code, pays membership dues, or at a dinner, party, or function to 198 which all members of the General Assembly or all members of either 199

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house of the General Assembly are invited.

(C) No member or employee of the General Assembly or employee 201 of any legislative agency shall knowingly accept from a 202 legislative agent a gift of any amount in the form of cash or the 203 equivalent of cash, or a gift or gifts of any other thing of value 204 where the value of the gift or gifts aggregated per calendar year 205 exceeds seventy-five dollars. As used in this division, "gift" 206 does not include any contribution as defined in section 3517.01 of 207 the Revised Code or any gifts of meals and other food and 208 beverages or the payment of expenses incurred for travel to 209 destinations either inside or outside this state that is received 210 by a member of the General Assembly and that is incurred in 211 connection with the member's official duties. 212

(D) It is not a violation of division (B)(2) of this section 213 if, within sixty days after receiving notice pursuant to division 214 (F)(2) of section 101.73 of the Revised Code from a legislative 215 agent that the legislative agent has provided a member of the 216 General Assembly or an employee of the General Assembly or any 217 legislative agency with more than seventy-five dollars aggregated 218 in a calendar year as payment for meals and other food and 219 beverages that were purchased for consumption on the premises in 220 which the food and beverages were sold, the member or employee of 221 the General Assembly or employee of any legislative agency returns 222 to that legislative agent the amount received that exceeds 223 seventy-five dollars. 224

# SECTION 6. CONFIDENTIAL INFORMATION

No present or former member or employee of the General 226
Assembly or present or former employee of any legislative agency 227
shall disclose or use for the member's or employee's personal 228
profit, without appropriate authorization, any information 229
acquired by the member or employee in the course of the member's 230
or employee's official duties that has been clearly designated to 231

the member or employee as confidential when such confidential	232
designation is warranted because of the status of the proceedings	233
or the circumstances under which the information was received and	234
preserving its confidentiality is necessary to the proper conduct	235
of government business. No present or former member or employee of	236
the General Assembly or present or former employee of any	237
legislative agency shall disclose or use, without appropriate	238
authorization, any information acquired by the member or employee	239
in the course of the member's or employee's official duties that	240
is confidential because of statutory provisions, except as	241
provided in section 101.30 of the Revised Code or Section 12 or 13	242
of Article II, Ohio Constitution.	243

# SECTION 7. IMPROPER INFLUENCE

- (A) No member or employee of the General Assembly or employee 245 of any legislative agency shall use or attempt to use or authorize 246 the use of the authority or influence of the member's or 247 employee's office or employment to secure anything of value or the 248 promise or offer of anything of value that is of such a character 249 as to manifest a substantial and improper influence upon the 250 member or employee with respect to the member's or employee's 251 duties. 252
- (B) No member or employee of the General Assembly or employee 253 of any legislative agency shall solicit or accept anything of 254 value that is of such a character as to manifest a substantial and 255 improper influence upon the member or employee with respect to the 256 member's or employee's duties. 257
- (C) No member of the General Assembly shall solicit or

  receive funds from any legislative agent who is registered

  pursuant to section 101.72 of the Revised Code, for use other than

  by a political party, campaign committee, legislative campaign

  fund, political action committee, or political contributing

  entity, as defined in section 3517.01 of the Revised Code, except

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that a member may solicit or receive funds from any legislative	264
agent on behalf of religious and benevolent organizations	265
regulated by Chapter 1716. of the Revised Code or charitable	266
organizations that have registered with the Attorney General	267
pursuant to section 109.26 or 1716.02 of the Revised Code.	268
(D) In the absence of bribery or another offense under the	269
Revised Code or a purpose to defraud, the receipt of	270
contributions, as defined in section 3517.01 of the Revised Code,	271

made to a campaign committee, political party, legislative 272 campaign fund, political action committee, or political 273

contributing entity on behalf of a member of or candidate for the 274

General Assembly does not violate divisions (A) and (B) of this 275 section.

(E) A member or employee of the General Assembly and an employee of any legislative agency may accept travel, meals, and lodging or expenses or reimbursement of expenses for travel, meals, and lodging in connection with conferences, seminars, and similar events related to the member's or employee's official duties if the travel, meals, lodging, expenses, or reimbursement is not of such a character as to manifest a substantial and improper influence upon the member or employee with respect to those duties and if, in relation to expenses or reimbursement for travel or lodging provided to a member by a legislative agent, the expenses or reimbursement are not made in violation of division (C)(1) of section 102.031 of the Revised Code. A member or employee who acts in compliance with this division does not violate division (A), (B), or (C) of this section.

SECTION 8. STAFF USE

(A) A member of the General Assembly shall utilize General 292
Assembly employees only for the official purposes for which they 293
are employed. 294

(B)(1) In accordance with section 3517.092 of the Revised	295
Code, no member of or candidate for the General Assembly, no	296
campaign committee of a member of or candidate for the General	297
Assembly, no legislative caucus campaign committee, and no other	298
person or entity shall knowingly solicit or accept a contribution	299
on behalf of that member or candidate, that member's or	300
candidate's campaign committee, or a legislative caucus campaign	301
committee from any of the following:	302
(a) A state employee whose appointing authority is the member	303
of the General Assembly;	304
(b) A state employee whose appointing authority is authorized	305
or required by law to be appointed by the member of the General	306
Assembly;	307
(c) A state employee who functions in or is employed by the	308
Ohio Senate, the Ohio House of Representatives, or any legislative	309
agency;	310
(d) A state employee at the time of the solicitation, whose	311
appointing authority will be the candidate for the General	312
Assembly, if elected;	313
(e) A state employee at the time of the solicitation, whose	314
appointing authority will be appointed by the candidate for the	315
General Assembly, if elected, as authorized or required by law;	316
(f) A state employee at the time of the solicitation, who	317
will function in or be employed in or by the same public agency,	318
department, division, or office as the candidate for the General	319
Assembly, if elected.	320
(2) As used in this section, "contribution" does not include	321
services provided by individuals volunteering a portion of their	322
time on behalf of a campaign.	323
(C) In addition to any complaint brought or penalty that may	324

SECTION 9. SEPARATION OF FUNDS

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be imposed under sections 3517.152 to 3517.157 of the Revised	325
Code, the Joint Legislative Ethics Committee may receive and	326
initiate complaints against members and employees of, and	327
candidates for, the General Assembly and employees of any	328
legislative agency concerning conduct alleged to be in violation	329
of this section. Upon a finding of a violation of this section,	330
the Joint Legislative Ethics Committee may recommend whatever	331
sanction is appropriate with respect to a particular member,	332
employee, or candidate as will best maintain in the minds of the	333
public a good opinion of the conduct and character of members and	334
employees of the General Assembly.	335

- (A) No member of or candidate for the General Assembly shall
  convert, receive, or accept for personal or business use anything
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  of value from the member's or candidate's campaign fund, as
  defined in section 3517.01 of the Revised Code, including, without
  limitation, payments to the member or candidate for services
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  personally performed by the member or candidate, except as
  reimbursement for any of the following:
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- (1) Legitimate and verifiable prior campaign expenses344incurred by the member or candidate;345
- (2) Legitimate and verifiable, ordinary, and necessary prior 346 expenses incurred by the member or candidate in connection with 347 duties as the holder of a public office, including, without 348 limitation, expenses incurred through participation in nonpartisan 349 or bipartisan events where the participation of the holder of a 350 public office would normally be expected; 351
- (3) Legitimate and verifiable, ordinary, and necessary prior 352 expenses incurred by a member or candidate while doing any of the 353 following: 354
  - (a) Engaging in activities in support of or opposition to

another candidate, political party, or ballot issue;	356
(b) Raising funds for a political party, political action	357
committee, campaign committee, legislative campaign fund,	358
political contributing entity, or other candidate;	359
(c) Participating in the activities of a political party,	360
political action committee, legislative campaign fund, political	361
contributing entity, or campaign committee;	362
(d) Attending a political party convention or other political	363
meeting.	364
(B) For purposes of division (A) of this section, an expense	365
is incurred whenever a member or candidate has either made payment	366
or is obligated to make payment, as by the use of a credit card or	367
other credit procedure, or by the use of goods or services	368
received on account.	369
(C) No member of or candidate for the General Assembly shall	370
knowingly receive or accept reimbursement for an expense under	371
division (A) of this section to the extent that the expense	372
previously was reimbursed or paid from another source of funds. If	373
an expense is reimbursed under division (A) of this section and is	374
later paid or reimbursed, wholly or in part, from another source	375
of funds, a member or candidate shall immediately repay the	376
reimbursement received under division (A) of this section to the	377
extent of the payment made or reimbursement received from the	378
other source.	379
(D) A member of the General Assembly may be reimbursed under	380
division (A)(1) or (3) of this section for expenses incurred for	381
the member's meals and lodging in Franklin County if the expenses	382
otherwise meet the requirements for reimbursement under division	383
(A)(1) or $(3)$ of this section and were not incurred while the	384
member was in Franklin County to attend floor sessions of the	385
General Assembly or meetings of its committees, except that a	386

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member may be reimbursed under division $(A)(1)$ , $(2)$ , or $(3)$ of	387
this section for expenses incurred for the member's meals in	388
Franklin County at any time if the expenses otherwise meet the	389
requirements for reimbursement under division $(A)(1)$ , $(2)$ , or $(3)$	390
of this section and were incurred for meals at which the member	391
hosted other persons.	392
(E) No member of or candidate for the General Assembly shall	393
accept for personal or business use anything of value from a	394
political party, political action committee, legislative campaign	395
fund, political contributing entity, or campaign committee other	396
than the member's or candidate's own campaign committee, except	397
for the following:	398
(1) Reimbursement for legitimate and verifiable, ordinary,	399
and necessary prior expenses not otherwise prohibited by law	400
incurred by the member or candidate while engaged in any	401
legitimate activity of the political party, political action	402
committee, legislative campaign fund, political contributing	403
entity, or such campaign committee. Without limitation,	404
reimbursable expenses under this division include those incurred	405
while doing any of the following:	406
(a) Engaging in activities in support of or opposition to	407
another candidate, political party, or ballot issue;	408
(b) Raising funds for a political party, campaign committee,	409
legislative campaign fund, or another candidate;	410
(c) Attending a political party convention or other political	411
meeting.	412
(2) Compensation not otherwise prohibited by law for actual	413

and valuable personal services rendered under a written contract

to the political party, political action committee, legislative

campaign fund, political contributing entity, or the member's or

candidate's own campaign committee for any legitimate activity of

the political party, political action	committee, legislative 41	18
campaign fund, political contributing	g entity, or such campaign 41	19
committee.	42	20

Reimbursable expenses under this division do not include, and 421 it is a violation of this division for a member or candidate to 422 accept from a political party, political action committee, 423 legislative campaign fund, political contributing entity, or 424 campaign committee other than the member's or candidate's own 425 campaign committee, anything of value for activities primarily 426 related to the member's or candidate's own campaign for election, 427 except for contributions to the member's or candidate's campaign 428 committee. 429

For purposes of this division, an expense is incurred

whenever a member or candidate has either made payment or is

obligated to make payment, as by the use of a credit card or other

credit procedure, or by the use of goods or services received on

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- (F)(1) Divisions (A) and (C) of this section do not prohibit 435 a member's or candidate's campaign committee from making a direct 436 advance or post payment from the member's or candidate's campaign 437 fund to vendors for goods and services for which reimbursement is 438 permitted under division (A) of this section, except that no 439 campaign committee shall pay a member or candidate for services 440 personally performed by the member or the candidate. 441
- (2) When any expense that may be reimbursed under division 442
  (A), (C), or (E) of this section is part of other expenses that 443
  may not be paid or reimbursed, the separation of the two types of 444
  expenses for the purpose of allocating for payment or 445
  reimbursement those expenses that may be paid or reimbursed may be 446
  by any reasonable accounting method, considering all of the 447
  surrounding circumstances. 448

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(3) For purposes of divisions (A), (C), and (E) of this	449
section, mileage allowance at a rate not greater than that allowed	450
by the Internal Revenue Service at the time the travel occurs may	451
be paid instead of reimbursement for actual travel expenses	452
allowable.	453
(G) The Joint Legislative Ethics Committee shall report	454
violations of this section to the Elections Commission pursuant to	455
division (E)(1) of Section 13 of this Code of Ethics.	456
SECTION 10. HONORARIA AND TESTIMONIALS	457
(A) No member of the General Assembly, employee of the	458
General Assembly who is required to file a financial disclosure	459
statement under section 102.02 of the Revised Code, or employee of	460
any legislative agency who is required to file a financial	461
disclosure statement under section 102.02 of the Revised Code	462
shall solicit or accept an honorarium. This division and divisions	463
(A), (B), and (C) of Section 7 of this Code of Ethics do not	464
prohibit a member or employee who is required to file a financial	465
disclosure statement under section 102.02 of the Revised Code from	466
accepting the payment of actual travel expenses, including any	467
expenses incurred in connection with the travel for lodging, and	468
meals, food, and beverages provided to the member or employee at a	469
meeting at which the member or employee participates in a panel,	470
seminar, or speaking engagement or provided to the member or	471
employee at a meeting or convention of a national organization to	472
which either house of the General Assembly, or any state agency,	473
including, but not limited to, any legislative agency or state	474
institution of higher education as defined in section 3345.011 of	475
the Revised Code, pays membership dues. This division and	476
divisions (A), (B), and (C) of Section 7 of this Code of Ethics do	477

not prohibit an employee of the General Assembly or employee of

any legislative agency who is not required to file a financial

disclosure statement under section 102.02 of the Revised Code from

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accepting an honorarium or the payment of travel, meal, and	481
lodging expenses if the honorarium, expenses, or both were paid in	482
recognition of demonstrable business, professional, or esthetic	483
interests of the employee that exist apart from the employee's	484
public employment, including, but not limited to, such a	485
demonstrable interest in public speaking and were not paid by any	486
person or other entity, or by any representative or association of	487
such person or entities, that is regulated by, doing business	488
with, or seeking to do business with the General Assembly or any	489
legislative agency.	490

- (B) No member of the General Assembly shall conduct a public or private fund raising event that seeks to provide money for the member's personal use.
- (C) As used in this section, "honorarium" means any payment 494 made in consideration for any speech given, article published, or 495 attendance at any public or private conference, convention, 496 meeting, social event, meal, or similar gathering. "Honorarium" 497 does not include ceremonial gifts or awards that have 498 insignificant monetary value; unsolicited gifts of nominal value 499 or trivial items of informational value; or earned income from any 500 person, other than a legislative agent, for personal services that 501 are customarily provided in connection with the practice of a bona 502 fide business, if that business initially began before the member 503 or employee conducting that business was elected or appointed to 504 the member's or employee's office or position of employment. 505

# SECTION 11. IMPROPER INDUCEMENT

If any person attempts to induce a member or employee of or 507 candidate for the General Assembly or employee of any legislative 508 agency to violate any provision of this Code of Ethics, the 509 member, employee, or candidate shall report the matter to the 510 Joint Legislative Ethics Committee.

# SECTION 12. ADVISORY BODY

- (A) The Joint Legislative Ethics Committee may recommend

  legislation relating to ethics, conflicts of interest, and

  financial disclosure and, upon a vote of a majority of its

  members, may render advisory opinions with regard to questions

  concerning these matters for members and employees of and

  candidates for the General Assembly and for employees of any

  legislative agency.

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- (B) When the Joint Legislative Ethics Committee renders an 520 advisory opinion that has been publicly sought and that relates to 521 a special set of circumstances involving ethics, conflicts of 522 interest, or financial disclosure under Chapter 102. or section 523 2921.42 or 2921.43 of the Revised Code, the person to whom the 524 opinion was directed or who was similarly situated may reasonably 525 rely upon such opinion and shall be immune from criminal 526 prosecutions, civil suits, or actions for removal from the 527 person's office or position of employment for a violation of 528 Chapter 102. or section 2921.42 or 2921.43 of the Revised Code 529 based on facts and circumstances covered by the opinion, if the 530 opinion states that there is no violation of Chapter 102. or 531 section 2921.42 or 2921.43 of the Revised Code. The committee 532 shall include in every advisory opinion it renders a statement as 533 to whether the set of circumstances described in the advisory 534 opinion constitutes a violation of section 2921.42 or 2921.43 of 535 the Revised Code. When the Joint Legislative Ethics Committee 536 renders an opinion that has been publicly sought, the advisory 537 opinion is a public record available under section 149.43 of the 538 Revised Code. 539
- (C) When the Joint Legislative Ethics Committee renders a 540 written opinion that has been privately sought and that relates to 541 a special set of circumstances involving ethics, conflicts of 542 interest, or financial disclosure under Chapter 102. or section 543

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2921.42 or 2921.43 of the Revised Code, the written opinion does

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not have the legal effect of an advisory opinion issued under

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division (B) of this section. When the Joint Legislative Ethics

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Committee renders a written opinion that has been privately

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sought, the written opinion is not a public record available under

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section 149.43 of the Revised Code.

The person to whom a written opinion is issued under this 550 division may request the committee to issue the written opinion as 551 an advisory opinion. The person may make the request at any time 552 within thirty days after the written opinion is issued and prior 553 to committing any proposed action discussed in the written 554 opinion. Upon receiving a timely request and with the approval of 555 a majority of the members of the committee, the committee may 556 issue the written opinion as an advisory opinion. If the committee 557 issues the written opinion as an advisory opinion, the advisory 558 opinion has the same legal effect as an advisory opinion issued 559 under division (B) of this section and is a public record 560 available under section 149.43 of the Revised Code. If the person 561 commits any proposed action discussed in the written opinion 562 before the committee issues the written opinion as an advisory 563 opinion, the advisory opinion grants no immunity to the person 564 regarding any action that is discussed in the written opinion and 565 that the person commits before the committee issues the written 566 opinion as an advisory opinion. 567

- (D) The Joint Legislative Ethics Committee shall issue an 568 advisory opinion under division (B) of this section or a written 569 opinion under division (C) of this section, whether it is publicly 570 or privately sought, only at a meeting of the committee and only 571 with the approval of a majority of the members of the committee. 572
- (E) All requests for an opinion shall be submitted in writing by the member or employee of or candidate for the General Assembly or employee of any legislative agency who desires the opinion and

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shall state in the request whether the opinion is being publicly	576
or privately sought. If the request fails to state whether the	577
opinion is being publicly or privately sought, the committee shall	578
consider the opinion to be privately sought. The committee shall	579
issue in writing all advisory opinions that have been publicly	580
sought, appropriately number them, and make them available for	581
public inspection. The Joint Legislative Ethics Committee shall	582
conduct all of its proceedings surrounding the rendering of an	583
opinion so as to protect the confidentiality of those named in the	584
request for the opinion.	585

# SECTION 13. CONSIDERATION AND HEARING OF COMPLAINTS

(A)(1) The Joint Legislative Ethics Committee shall receive, 587 and may initiate, complaints concerning breach of privilege and 588 complaints against members and employees of and candidates for the 589 General Assembly and employees of any legislative agency 590 concerning conduct alleged to be misconduct, a violation of 591 Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, 592 this Code of Ethics, or the House or Senate rules. All complaints 593 except those by the committee shall be by affidavit made on 594 personal knowledge, subject to the penalties of perjury. A 595 complaint by the committee shall be by affidavit, based upon facts 596 that constitute reasonable cause to believe that a breach of 597 privilege, misconduct, or a violation of the House or Senate 598 rules, this Code of Ethics, or Chapter 102. or section 2921.42 or 599 2921.43 of the Revised Code, has occurred. The complaint shall not 600 contain innuendo, speculative assertions, or conclusory 601 602 statements.

At the first meeting of the committee in each calendar year, 603 the chairperson of the committee for that year shall appoint an 604 investigation subcommittee. The subcommittee shall consist of the 605 chairperson of the committee for that year and a member of the 606 committee who is a member of the chamber and political party of 607 which the chairperson is not a member. This subcommittee shall
have the authority to issue subpoenas regarding complaints

referred to it and approve depositions by the Office of the

Legislative Inspector General.

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(2) A complaint other than a complaint by the committee shall 612 be filed with the executive director of the Office of the 613 Legislative Inspector General of the Joint Legislative Ethics 614 Committee. Upon receiving the complaint, the executive director or 615 the executive director's designee shall gather, if necessary, 616 preliminary facts surrounding the complaint for presentation to 617 the chairperson or committee. Thereafter, the executive director 618 shall seal the complaint and deliver it to the chairperson of the 619 Joint Legislative Ethics Committee. A complaint by the committee 620 shall be drafted by the legal counsel of the Office of the 621 Legislative Inspector General, and, if at least eight members of 622 the committee approve the draft complaint, the draft complaint 623 shall be a complaint by the committee and shall be filed with the 624 Office of the Legislative Inspector General and delivered to the 625 chairperson of the committee. 626

Within fourteen days after the filing of a complaint by a 627 complainant, the chairperson shall notify the complainant that the 628 complaint has been filed with the committee, that all further 629 proceedings of the committee are confidential, that the committee 630 is required to dismiss the complaint if it is not disposed of 631 within six months after the complaint is filed, and that, if a 632 report dealing with the complaint has not been published in the 633 House or Senate Journal, as appropriate, within that time, the 634 complaint has been dismissed because no violation was found to 635 have been committed by the accused person. Within fourteen days 636 after the filing of any complaint, the chairperson shall deliver a 637 copy of the complaint to the accused person and shall notify the 638 accused person that the accused person may file, within twenty 639

days after receiving the copy, a written response to the complaint 640 with the executive director of the Office of the Legislative 641 Inspector General and, if desired, may file in addition to the 642 written response a request to appear personally before the 643 committee to answer to the complaint. The executive director 644 immediately shall seal the written response to the complaint, the 645 request, or both and deliver the written response, the request, or 646 both to the chairperson. 647

Within forty-five days after the filing of any complaint and 648 at least twenty days after the chairperson has delivered a copy of 649 the complaint to the accused person, the chairperson shall convene 650 a meeting of the committee regarding the complaint. If at least 651 eight members of the committee find that the complaint before the 652 committee is not frivolous and that the facts alleged constitute 653 on their face a breach of privilege, misconduct, a violation of 654 this Code of Ethics or the House or Senate Rules, or a violation 655 of Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, 656 the committee shall refer the complaint to the Office of the 657 Legislative Inspector General for further investigation and may 658 delegate to the investigation subcommittee appointed pursuant to 659 division (A)(1) of this section the authority to issue subpoenas 660 regarding a given complaint or other matter. The chairperson of 661 the committee shall notify the accused of the referral. Unless 662 eight members of the committee find that the complaint before the 663 committee alleges facts that, on their face, constitute a breach 664 of privilege, misconduct, a violation of this Code of Ethics or 665 the House or Senate Rules, or a violation of Chapter 102. or 666 sections 2921.42 or 2921.43 of the Revised Code, the committee 667 shall dismiss the complaint. 668

(B) The Office of the Legislative Inspector General shall
investigate each complaint referred to it by the committee and
shall investigate any other matters as directed by the committee.

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The Office of the Legislative Inspector General may request	672
further information from the complainant, any person presenting	673
charges to the committee, the accused person if the information	674
sought is directly relevant to a complaint or charges received by	675
the committee pursuant to this section, and any other person it	676
believes may have information pertaining to the complaint or other	677
matter referred for investigation to the Office of the Legislative	678
Inspector General. It may request the committee to issue a	679
subpoena to obtain any necessary information. Upon the approval of	680
the investigation subcommittee appointed pursuant to division	681
(A)(1) of this section, the Office of the Legislative Inspector	682
General may depose any person. Any person interviewed or deposed	683
by the Office of the Legislative Inspector General may be	684
represented by an attorney. The substance of any request for	685
further information and the information provided pursuant to any	686
request are confidential. Except as otherwise provided in this	687
section, the person from whom information is requested shall not	688
divulge the substance of the committee's request to any person	689
other than the person's attorney and shall not divulge the	690
information provided in response to the request to any person	691
other than the person's attorney and any person necessary to	692
prepare the information for delivery to the committee. Except as	693
otherwise provided in this section, no attorney or person who	694
prepares information for delivery to the committee shall divulge	695
the substance of the committee's request or the information	696
provided in response to the request.	697

Upon the completion of an investigation based on a complaint

referred to the Office of the Legislative Inspector General, the

executive director, or the executive director's designee, shall

present to the committee the executive director's or designee's

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preliminary findings with respect to the facts and evidence

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gathered regarding the complaint. Upon receiving the preliminary

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findings, the committee, upon a vote of at least eight members of

the committee, may refer the complaint back to the Office of the	705
Legislative Inspector General for further investigation, hold a	706
hearing pursuant to divisions (D) and (G) of this section, order	707
remedial action pursuant to division (D) of this section, or	708
dismiss the complaint.	709

Upon the completion of an investigation of any other matter 710 referred to the Office of the Legislative Inspector General, the 711 executive director or the executive director's designee shall 712 present to the committee the executive director's or designee's 713 preliminary findings with respect to the facts and evidence 714 gathered regarding the matter referred. Upon receiving the 715 preliminary findings, the committee, upon a vote of at least eight 716 members of the committee, may refer the matter back to the Office 717 of the Legislative Inspector General for further investigation, 718 request that a complaint be drafted by the legal counsel of the 719 Office of the Legislative Inspector General, terminate the 720 investigation, or hold a hearing pursuant to division (E) of this 721 section. 722

Before the fifth day of each month, the executive director of 723 the Office of the Legislative Inspector General shall make a 724 report, in writing, to the committee regarding the status of any 725 ongoing investigation that the committee referred to the Office of 726 the Legislative Inspector General. 727

- (C) Before the committee takes any formal action against a 728 person who is the subject of an investigation based upon a 729 complaint filed with the committee, the committee shall consider 730 the complaint.
- (D) The committee may defer action on a complaint against 732 members and employees of and candidates for the General Assembly 733 and employees of any legislative agency when the complaint alleges 734 conduct that at least eight members of the committee find reason 735 to believe is being reviewed by appropriate law enforcement or 736

regulatory authorities, or when at least eight members of the	737
committee determine that it is appropriate for the conduct alleged	738
in the complaint to be reviewed initially by law enforcement or	739
regulatory authorities.	740

(E)(1) If, in any case in which a complaint is filed with the 741 committee, at least eight members of the committee find that the 742 complaint is not frivolous and there is reasonable cause to 743 believe that the facts alleged in the complaint constitute a 744 breach of privilege, misconduct, or a violation of Chapter 102. or 745 section 2921.42 or 2921.43 of the Revised Code, this Code of 746 Ethics, or the House or Senate Rules, the committee shall hold a 747 hearing. At the hearing, the legal counsel of the Office of the 748 Legislative Inspector General shall present to the committee the 749 case against the accused person, introduce evidence, call 750 witnesses, and cross-examine witnesses. The chairperson of the 751 committee shall make all rulings regarding procedure and the 752 admissibility of evidence. The hearing and all related proceedings 753 of the committee are absolutely confidential as provided under 754 this Code of Ethics and section 102.06 of the Revised Code. No 755 member or employee of the committee, person who staffs or 756 otherwise serves the committee, witness, or other person shall 757 divulge any information about the hearing or related proceedings, 758 except that a witness and the complainant may consult with an 759 attorney before and after the hearing and any related proceeding, 760 any witness may be represented by an attorney while the witness is 761 being examined or cross-examined, the accused person may be 762 represented by an attorney at all stages of the proceedings, and 763 the attorney of the accused person may attend all hearings and 764 related proceedings of the committee. 765

(2) If, in any case in which a complaint is filed with the committee, at least eight members of the committee find that the complaint is frivolous or that there is no reasonable cause to 768

believe that the charge or complaint constitutes a breach of 769 privilege, misconduct, or a violation of Chapter 102. or section 770 2921.42 or 2921.43 of the Revised Code, this Code of Ethics, or 771 the House or Senate Rules, the committee shall dismiss the 772 complaint and notify the accused person in writing of the 773 dismissal of the complaint. If the committee so dismisses the 774 complaint, the committee shall not issue a report of its findings 775 unless the accused person requests a report. If the accused person 776 requests a report, the committee shall issue a report in 777 accordance with division (F)(2) of this section. 778

(3) If, in any case in which a complaint is filed with the 779 committee, the committee finds by unanimous concurrence of its 780 membership that there is reasonable cause to believe that the 781 charges presented constitute a breach of privilege, misconduct, or 782 a violation of this Code of Ethics or the House or Senate Rules 783 but do not constitute a violation of Chapter 102. or section 784 2921.42 or 2921.43 of the Revised Code and also finds by unanimous 785 concurrence of its membership that the breach of privilege, 786 misconduct, or violation was in good faith and without wrongful 787 intent and the person has taken or will take suitable remedial 788 action, it may order the person to take any further remedial 789 action it considers necessary and, upon satisfaction that any 790 order it makes is complied with, terminate the investigation, with 791 the concurrence of the accused person. If an investigation is so 792 terminated, the committee shall not issue a report of its findings 793 unless the accused person requests a report. If the accused person 794 requests a report, the committee shall issue a report in 795 accordance with division (F)(2) of this section. If the accused 796 person fails to comply with an order of the committee, the 797 committee, upon concurrence of at least eight of its members, 798 shall proceed with the original complaint filed against the 799 800 person.

(F)(1) If, upon the basis of the hearing, at least eight	801
members of the committee find, based upon a preponderance of the	802
evidence, that the facts alleged in the complaint are true and	803
constitute a violation of Chapter 102. or section 2921.42 or	804
2921.43 of the Revised Code, the committee, upon concurrence of at	805
least eight of its members, shall order the Office of the	806
Legislative Inspector General to prepare a report of the	807
committee's findings to the appropriate prosecuting authority or	808
other appropriate body for proceedings in prosecution of the	809
violations and, in accordance with division (F)(1) of this	810
section, issue a report to the General Assembly recommending	811
reprimand, censure, expulsion, or other sanction the committee	812
considers appropriate. Upon acceptance by at least eight members	813
of the committee of the report to the appropriate prosecuting	814
authority or other appropriate body, the committee shall report	815
its findings to the appropriate prosecuting authority, the	816
Elections Commission, or other appropriate body. This report is	817
the investigative report described in division (E) of section	818
101.34 of the Revised Code and shall contain any findings of fact	819
and conclusions of law made by the committee. This report shall	820
not contain any papers, records, affidavits, or documents upon any	821
complaint, inquiry, or investigation relating to the proceedings	822
of the committee. If at least eight members of the committee find,	823
based upon a preponderance of the evidence, that the facts alleged	824
in the complaint are true and constitute a violation of division	825
(B) of section 102.031 of the Revised Code, the committee may	826
impose a fine of not more than one thousand dollars upon the	827
member.	828

(2) If, upon the basis of the hearing, at least eight members 829 of the committee find, based upon a preponderance of the evidence, 830 that a breach of privilege has been committed or that a member or 831 employee of or candidate for the General Assembly or employee of 832 any legislative agency has violated a provision of this Code of 833

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Ethics or the House or Senate Rules that is not a violation of 834 Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, or 835 has committed misconduct, the committee, upon concurrence of at 836 least eight of its members and in accordance with division (F)(1) 837 of this section, may issue a report recommending reprimand, 838 censure, expulsion, or other sanction the committee considers 839 appropriate or, upon a finding by unanimous concurrence of its 840 membership that the breach of privilege, misconduct, or violation 841 was in good faith and without wrongful intent and the person has 842 taken or will take suitable remedial action, may order the person 843 to take any further remedial action it considers necessary and, 844 upon satisfaction that any order it makes is complied with, 845 dismiss the complaint without issuing a report of its findings, 846 unless the accused person requests a report. If the accused person 847 requests a report, the committee shall issue a report in 848 accordance with division (F)(2) of this section. If the person 849 fails to comply with an order of the committee, the committee, 850 upon concurrence of eight of its members, shall recommend some 851 sanction. 852

(3) If, upon the basis of the hearing, at least eight members 853 of the committee do not find, based upon a preponderance of the 854 evidence, that the facts alleged in a complaint constitute a 855 breach of privilege, misconduct, or a violation of Chapter 102. or 856 section 2921.42 or 2921.43 of the Revised Code, this Code of 857 Ethics, or the House or Senate Rules, the committee shall dismiss 858 the complaint. The complaint shall also be dismissed if the 859 committee has not conducted a hearing within ninety days after the 860 complaint is filed with the committee, or if the committee has not 861 finally disposed of the complaint within six months after the 862 complaint is filed with the committee. The committee shall notify 863 the accused person in writing of the dismissal of the complaint. 864 The committee shall not issue a report of its findings unless the 865 accused person requests a report. If the accused person requests a 866 report, the committee shall issue a report in accordance with

division (F)(2) of this section. If the committee issues the

report, all evidence and the record of the hearing shall remain

confidential unless the accused person also requests that the

evidence and record be made public. Upon request by the accused

person, the committee shall make the evidence and the record

available for public inspection.

(G)(1) Any report of the committee that is issued pursuant to 874 division (E)(1) of this section and contains a finding that the 875 facts in the complaint are true and constitute a violation of 876 Chapter 102. or section 2921.42 or 2921.43 of the Revised Code, or 877 that is issued pursuant to division (E)(2) of this section and 878 contains a finding that a breach of privilege, misconduct, or 879 violation of this Code of Ethics or the House or Senate Rules has 880 occurred and recommends reprimand, censure, expulsion, or another 881 appropriate sanction, shall be entered in the House Journal and 882 the Senate Journal. The House of Representatives and the Senate 883 shall vote on approval of any report entered in the House or 884 Senate Journal in accordance with this division. Concurrence of 885 two-thirds of the members of both the House and the Senate shall 886 be necessary for approval of the report, and, upon approval, any 887 recommended sanction shall be imposed immediately. 888

(2) If the investigation of the committee results in a 889 finding that a complaint that is filed is frivolous or that no 890 misconduct, breach of privilege, or violation of Chapter 102. or 891 section 2921.42 or 2921.43 of the Revised Code, this Code of 892 Ethics, or the House or Senate Rules has been committed or if the 893 committee terminates an investigation or dismisses a complaint 894 pursuant to division (E)(2) or (3) of this section, the committee 895 shall not issue a report of its findings unless the accused person 896 requests a report. If the accused person requests a report, the 897 committee shall issue a report and publish it in the House 898

Journal, if the accused person is a member or employee of, or	899
candidate for, the House of Representatives, or the Senate	900
Journal, if the accused person is a member or employee of, or	901
candidate for, the Senate or an employee of any legislative	902
agency. A report published in the House or Senate Journal under	903
division (F)(2) of this section does not require a vote by the	904
House or Senate.	905

- (H) A person against whom a complaint is filed shall be given 906 by certified mail, return receipt requested, or by personal 907 service reasonable notice of the date, time, and place of the 908 hearing and a statement of the charges and the law or provision 909 directly involved, and shall be granted the following rights: to 910 be represented by counsel, to have counsel appointed for the 911 person if the person is unable to afford counsel without undue 912 hardship, to examine the evidence against the person, to have 913 access to all information relative to the complaint that is in the 914 possession or knowledge of the committee or the Office of the 915 Legislative Inspector General, to produce evidence and to call and 916 subpoena witnesses in the person's defense, to confront the 917 person's accusers, to cross-examine witnesses, to have a 918 stenographic record made of the hearing, to have the hearing 919 follow the rules of evidence applicable to the courts of this 920 state, and to have the hearing closed to the public. A person, 921 with the approval of the committee, may waive any or all of such 922 rights by executing a written waiver and filing it with the 923 committee. 924
- (I) The chairperson of the committee and the executive 925 director and chief legal counsel of the Office of the Legislative 926 Inspector General may administer oaths, and the committee or the 927 investigation subcommittee appointed pursuant to division (A)(1) 928 of this section may issue subpoenas to any person in the state 929 compelling the attendance of witnesses and the production of 930

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relevant papers, books, accounts, and records. The committee or	931
the investigation subcommittee shall issue subpoenas to compel the	932
attendance of witnesses and the production of documents upon the	933
request of an accused person. Section 101.42 of the Revised Code	934
shall govern the issuance of such subpoenas insofar as applicable.	935
Upon the refusal of any person to obey a subpoena, be sworn, or	936
answer as a witness, the committee or the investigation	937
subcommittee may apply to the Court of Common Pleas of Franklin	938
County under section 2705.03 of the Revised Code. The court shall	939
hold proceedings in accordance with Chapter 2705. of the Revised	940
Code. The committee, the Office of the Legislative Inspector	941
General, or the accused person may take the depositions of	942
witnesses residing within or without the state in the same manner	943
as prescribed by law for the taking of depositions in civil	944
actions in the court of common pleas.	945

- (J)(1) All complaints, papers, records, affidavits, and 946 documents upon any complaint, inquiry, or investigation relating 947 to the proceedings of the committee shall be sealed and are 948 private and confidential, except as otherwise provided in this 949 section. The substance of any charges received by the committee 950 and of any request made by the committee for further information, 951 any information received by the committee, all testimony and other 952 evidence presented during a hearing, and all committee discussions 953 are private and confidential, except as otherwise provided in this 954 section. No person serving on or employed in the service of the 955 committee, or employee of the Office of the Legislative Inspector 956 General who staffs or otherwise assists the committee or the 957 Office of the Legislative Inspector General employee who staffs 958 the committee shall divulge any of the following: 959
- (a) Any matter concerning a complaint after it is filed with the executive director of the Office of the Legislative Inspector General;

(b) In the case of complaints initiated by the committee, any	963
matter concerning a complaint after the matter is under	964
investigation by the committee, whether before or after a	965
complaint is filed;	966
(c) Any other information that is made private and	967
confidential by this section.	968
(2) The requirement of confidentiality set forth in division	969
(I)(1) of this section includes without limitation divulging any	970
matter to members or employees of the House or Senate or employees	971
of any legislative agency who are not members of or assigned to	972
the committee or to any employees of the Office of the Legislative	973
Inspector General who are not assigned to staff the committee or	974
do not assist any Office of the Legislative Inspector General	975
employee assigned to staff the committee, but does not prevent any	976
of the following:	977
(a) The issuance of a final report by the committee or any	978
commentary upon the contents of the final report;	979
(b) Discussion of any complaint, request for an advisory	980
opinion, charges presented to the committee, information related	981
to a complaint, to an advisory opinion request, or to charges	982
presented to the committee, proceedings of the committee, or other	983
papers, records, affidavits, documents, or proceedings that are	984
made private and confidential by this section between the members	985
of the committee and any of the following:	986
(i) Any employees or staff of the committee;	987
(ii) Any employees of the General Assembly assigned to serve	988
the committee, and any employee who serves as legal counsel for a	989
caucus of the General Assembly;	990
(iii) Any employees of the Office of the Legislative	991
Inspector General assigned to staff the committee;	992

- committee. 994 (c) The preparation of any documents necessary for the 995 operation of the committee by employees of the General Assembly 996 assigned to the committee chairperson, employees of the General 997 Assembly assigned to staff the committee, or employees of the 998 Office of the Legislative Inspector General who assist the Office 999 of the Legislative Inspector General employee assigned to staff 1000 the committee, except that any confidentiality requirements of 1001 this section applicable to the members of the committee shall 1002 apply to the employees of the General Assembly, committee, or 1003 Office of the Legislative Inspector General who prepare those 1004 documents. 1005 (K) If a complaint filed with the committee alleges a 1006 violation by a member of the committee, the member against whom 1007 the allegation is made shall not vote on the matter. The committee 1008 shall conduct no business concerning complaints unless a majority 1009
- (L) The committee shall deliver all notices and other 1011 documents by certified mail, return receipt requested, or by 1012 personal service.

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(M) Within fourteen days after the final disposition of a 1014 complaint, either by dismissal or by referral to the appropriate 1015 prosecuting authority, the committee shall notify the complainant 1016 of the dismissal or referral by certified mail, return receipt 1017 requested, or by personal service.

#### SECTION 14. AMENDMENTS TO THE ETHICS CODE

of its members are present.

The Joint Legislative Ethics Committee may recommend 1020 amendments to this Code of Ethics at any time by proposing to the 1021 General Assembly a concurrent resolution containing the desired 1022 amendments.

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SECTION 15. DISTRIBUTION OF ETHICS CODE	1024
Each member and employee of the General Assembly and each	1025
employee of any legislative agency shall be given a copy of this	1026
Code of Ethics within ten days after its adoption.	1027
SECTION 16. APPLICATION TO 128th 129th GENERAL ASSEMBLY	1028
The Code of Ethics for the $\frac{127 \mathrm{th}}{128 \mathrm{th}}$ General Assembly shall	1029
be effective until the 128th 129th General Assembly adopts the	1030
Code of Ethics for the <del>128th</del> <u>129th</u> General Assembly.	1031