

Senator Curtis S. Bramble proposes the following substitute bill:

POLITICAL SUBDIVISION ETHICS AMENDMENTS

2012 GENERAL SESSION

STATE OF UTAH

Chief Sponsor: Curtis S. Bramble

House Sponsor: _____

LONG TITLE

General Description:

This bill enacts language related to a political subdivision officer or employee ethics violation.

Highlighted Provisions:

This bill:

- ▶ authorizes a municipality to establish a municipal ethics commission;
- ▶ enacts general provisions;
- ▶ defines terms;
- ▶ authorizes a political subdivision to establish an ethics commission within the political subdivision;
- ▶ enacts provisions related to the Political Subdivisions Ethics Commission (Commission);
- ▶ enacts provisions related to general powers and procedures;
- ▶ enacts provisions related to a hearing on an ethics complaint;
- ▶ enacts provisions related to an ethics complaint;
- ▶ enacts provisions related to a review of an ethics complaint for compliance;
- ▶ enacts provisions related to the Commission's review of an ethics violation;
- ▶ authorizes a county to establish a county ethics commission;



- 26 ▶ amends provisions related to a private record;
- 27 ▶ enacts language related to filing a complaint for a violation of Title 67, Chapter 16,
- 28 Utah Public Officers' and Employees' Ethics Act; and
- 29 ▶ makes technical corrections.

30 Money Appropriated in this Bill:

31 None

32 Other Special Clauses:

33 None

34 Utah Code Sections Affected:

35 AMENDS:

36 **10-3-1311**, as enacted by Laws of Utah 1981, Chapter 57

37 **17-16a-11**, as enacted by Laws of Utah 1983, Chapter 46

38 **63G-2-302**, as last amended by Laws of Utah 2011, Chapters 85, 327, and 413

39 ENACTS:

40 **11-49-101**, Utah Code Annotated 1953

41 **11-49-102**, Utah Code Annotated 1953

42 **11-49-103**, Utah Code Annotated 1953

43 **11-49-201**, Utah Code Annotated 1953

44 **11-49-202**, Utah Code Annotated 1953

45 **11-49-301**, Utah Code Annotated 1953

46 **11-49-302**, Utah Code Annotated 1953

47 **11-49-401**, Utah Code Annotated 1953

48 **11-49-402**, Utah Code Annotated 1953

49 **11-49-403**, Utah Code Annotated 1953

50 **11-49-404**, Utah Code Annotated 1953

51 **11-49-405**, Utah Code Annotated 1953

52 **11-49-406**, Utah Code Annotated 1953

53 **11-49-407**, Utah Code Annotated 1953

54 **11-49-408**, Utah Code Annotated 1953

55 **11-49-501**, Utah Code Annotated 1953

56 **11-49-502**, Utah Code Annotated 1953

- 57 11-49-601, Utah Code Annotated 1953
- 58 11-49-602, Utah Code Annotated 1953
- 59 11-49-603, Utah Code Annotated 1953
- 60 11-49-701, Utah Code Annotated 1953
- 61 11-49-702, Utah Code Annotated 1953
- 62 11-49-703, Utah Code Annotated 1953
- 63 11-49-704, Utah Code Annotated 1953
- 64 11-49-705, Utah Code Annotated 1953
- 65 11-49-706, Utah Code Annotated 1953
- 66 67-16-15, Utah Code Annotated 1953



67
68 *Be it enacted by the Legislature of the state of Utah:*

69 Section 1. Section **10-3-1311** is amended to read:

70 **10-3-1311. Municipal ethics commission -- Complaints charging violations.**

71 (1) A municipality may establish by ordinance an ethics commission to review a
72 complaint, except as provided in Subsection (3), against an officer or employee subject to this
73 part for a violation of a provision of this part.

74 (2) Except as provided in Subsection (3), a person filing a complaint for a violation of
75 this part may file the complaint:

76 (a) with the municipal ethics commission, if a municipality has established a municipal
77 ethics commission in accordance with Subsection (1); or

78 (b) with the Political Subdivisions Ethics Commission in accordance with Title 11,
79 Chapter 49, Political Subdivisions Ethics Commission.

80 ~~[(+)]~~ (3) Any complaint against a person who is under the merit system, charging that
81 person with a violation of this part, shall be filed and processed in accordance with the
82 provisions of the merit system.

83 ~~[(2) If the person charged with the violation is not under any merit system, then the~~
84 ~~complaint shall be filed with the mayor or city manager. The mayor or city manager shall~~
85 ~~investigate the complaint and shall give the person an opportunity to be heard. A written report~~
86 ~~of the findings and the recommendation of the mayor or city manager shall be filed with the~~
87 ~~governing body. If the governing body finds that the person has violated this part, it may~~

88 ~~dismiss, suspend, or take such other appropriate action with respect to the person.]~~

89 Section 2. Section **11-49-101** is enacted to read:

90 **CHAPTER 49. POLITICAL SUBDIVISIONS ETHICS COMMISSION**

91 **Part 1. General Provisions**

92 **11-49-101. Title.**

93 This chapter is known as "Political Subdivisions Ethics Commission."

94 Section 3. Section **11-49-102** is enacted to read:

95 **11-49-102. Definitions.**

96 (1) "Commission" means the Political Subdivisions Ethics Commission established in
97 Section 11-49-201.

98 (2) "Complainant" means a person who files a complaint in accordance with Section
99 11-49-501.

100 (3) "Political subdivision" means a county, municipality, school district, community
101 development and renewal agency, local district, special service district, an entity created by an
102 interlocal agreement adopted under Title 11, Chapter 13, Interlocal Cooperation Act, a local
103 building authority, or any other governmental subdivision or public corporation.

104 (4) (a) "Political subdivision employee" means a person who is:

105 (i) employed on a full or part-time basis by a political subdivision; and

106 (ii) subject to:

107 (A) Title 10, Chapter 3, Part 13, Municipal Officers' and Employees' Ethics Act;

108 (B) Title 17, Chapter 16a, County Officers and Employees Disclosure Act; or

109 (C) Title 67, Chapter 16, Utah Public Officers' and Employees' Ethics Act.

110 (b) "Political subdivision employee" does not include:

111 (i) a person who is a political subdivision officer;

112 (ii) an employee of a state entity; or

113 (iii) a legislative employee as defined in Section 67-16-3.

114 (5) "Political subdivision governing body" means:

115 (a) for a county, the county legislative body as defined in Section 68-3-12.5;

116 (b) for a municipality, the council of the city or town;

117 (c) for a school district, the local board of education described in Section 53A-3-101;

118 (d) for a community development and renewal agency, the agency board described in

119 Section 17C-1-203;

120 (e) for a local district, the board of trustees described in Section 17B-1-301;

121 (f) for a special service district;

122 (i) the legislative body of the county, city, or town that established the special service
123 district, if no administrative control board has been appointed under Section 17D-1-301; or

124 (ii) the administrative control board of the special service district, if an administrative
125 control board has been appointed under Section 17D-1-301;

126 (g) for an entity created by an interlocal agreement, the governing body of an interlocal
127 entity, as defined in Section 11-13-103;

128 (h) for a local building authority, the governing body, as defined in Section 17D-2-102,
129 that creates the local building authority; or

130 (i) for any other governmental subdivision or public corporation, the board or other
131 body authorized to make executive and management decisions for the subdivision or public
132 corporation.

133 (6) (a) "Political subdivision officer" means a person elected or appointed in a political
134 subdivision who is subject to:

135 (i) Title 10, Chapter 3, Part 13, Municipal Officers' and Employees' Ethics Act;

136 (ii) Title 17, Chapter 16a, County Officers and Employees Disclosure Act; or

137 (iii) Title 67, Chapter 16, Utah Public Officers' and Employees' Ethics Act.

138 (b) "Political subdivision officer" does not include:

139 (i) a person elected or appointed to a state entity;

140 (ii) the governor;

141 (iii) the lieutenant governor;

142 (iv) a member or member-elect of either house of the Legislature of Utah; or

143 (v) a member of Utah's congressional delegation.

144 (7) "Respondent" means a person who files a response in accordance with Section
145 11-49-603.

146 Section 4. Section **11-49-103** is enacted to read:

147 **11-49-103. Local ethics commission permitted -- Filing requirements.**

148 (1) A political subdivision, other than a municipality described in Section 10-3-1311 or
149 a county described in Section 17-16a-11, may establish a local ethics commission within the

150 political subdivision to review a complaint against a political subdivision officer or employee
151 subject to Title 67, Chapter 16, Utah Public Officers' and Employees' Ethics Act.

152 (2) A political subdivision may enter into an interlocal agreement with another political
153 subdivision, in accordance with Title 11, Chapter 13, Interlocal Cooperation Act, to establish a
154 local political subdivision ethics commission to review a complaint against a political
155 subdivision officer or employee subject to Title 67, Chapter 16, Utah Public Officers' and
156 Employees' Ethics Act.

157 (3) A person filing a complaint for a violation of Title 67, Chapter 16, Utah Public
158 Officers' and Employees' Ethics Act may file the complaint with:

159 (a) an ethics commission created within the appropriate political subdivision, if the
160 political subdivision has established an ethics commission under Subsection (1) or (2); or

161 (b) the Political Subdivisions Ethics Commission established in this chapter.

162 Section 5. Section 11-49-201 is enacted to read:

163 **Part 2. Political Subdivisions Ethics Commission**

164 **11-49-201. Commission established -- Membership.**

165 (1) There is established a Political Subdivisions Ethics Commission.

166 (2) The commission is composed of five persons, each of whom is registered to vote in
167 this state and appointed by the governor with the advice and consent of the Senate, as follows:

168 (a) one member, who has served, but no longer serves, as a judge of a court of record in
169 this state;

170 (b) one member, who has served as a mayor or county commissioner no more recently
171 than four years before the date of appointment;

172 (c) one member, who has served as a municipal council member no more recently than
173 four years before the date of appointment;

174 (d) one member, who has served as a mayor, county commissioner, municipal council
175 member, or a local district board of trustees member no more recently than four years before
176 the date of appointment; and

177 (e) one member, who is a lay person.

178 (3) A member of the commission may not, during the member's term of office on the
179 commission, act or serve as:

180 (a) a political subdivision officer;

181 (b) a political subdivision employee;

182 (c) an agency head as defined in Section 67-16-3;

183 (d) a lobbyist as defined in Section 36-11-102; or

184 (e) a principal as defined in Section 36-11-102.

185 (4) (a) (i) Except as provided in Subsection (4)(a)(ii), each member of the commission
186 shall serve a four-year term.

187 (ii) When appointing the initial members upon formation of the commission, one
188 member nominated by the president of the Senate and the speaker of the House and one
189 member nominated by the Senate minority leader and House minority leader shall be appointed
190 to a two-year term so that approximately half of the commission is appointed every two years.

191 (b) (i) When a vacancy occurs in the commission's membership for any reason, a
192 replacement member shall be appointed for the unexpired term of the vacating member using
193 the procedures and requirements of Subsection (2).

194 (ii) For the purposes of this section, an appointment for an unexpired term of a
195 vacating member is not considered a full term.

196 (c) A member may not be appointed to serve for more than two full terms, whether
197 those terms are two or four years.

198 (d) A member of the commission may resign from the commission by giving one
199 month's written notice of the resignation to the president of the Senate, speaker of the House,
200 Senate minority leader, and House minority leader.

201 (e) The chair of the Legislative Management Committee shall remove a member from
202 the commission if the member:

203 (i) is convicted of, or enters a plea of guilty to, a crime involving moral turpitude;

204 (ii) enters a plea of no contest or a plea in abeyance to a crime involving moral
205 turpitude; or

206 (iii) fails to meet the qualifications of office as provided in this section.

207 (f) If a commission member is accused of wrongdoing in a complaint, or if a
208 commission member determines that he or she has a conflict of interest in relation to a
209 complaint, a temporary commission member shall be appointed to serve in that member's place
210 for the purposes of reviewing that complaint using the procedures and requirements of
211 Subsection (2).

212 (5) (a) A member of the commission may not receive compensation or benefits for the
213 member's service, but may receive per diem and expenses incurred in the performance of the
214 member's official duties at the rates established by the Division of Finance under Sections
215 63A-3-106 and 63A-3-107.

216 (b) A member may decline to receive per diem and expenses for the member's service.

217 (6) (a) The commission members shall convene a meeting annually each January and
218 elect, by a majority vote, a commission chair from among the commission members.

219 (b) A person may not serve as chair for more than two consecutive years.

220 Section 6. Section **11-49-202** is enacted to read:

221 **11-49-202. Meetings -- Staff.**

222 (1) The commission shall meet for the purpose of reviewing an ethics complaint when:

223 (a) except otherwise expressly provided in this chapter, called to meet at the discretion
224 of the chair; or

225 (b) the members agree to meet.

226 (2) A majority of the commission is a quorum.

227 (3) (a) The commission shall prepare, on an annual basis, a summary data report that
228 contains:

229 (i) a general description of the activities of the commission during the past year;

230 (ii) the number of ethics complaints filed with the commission;

231 (iii) the number of ethics complaints reviewed by the commission; and

232 (iv) an accounting of the commission's budget and expenditures.

233 (b) The summary data report shall be submitted to the Government Operations and
234 Political Subdivisions Interim Committee on an annual basis.

235 (c) The summary data report shall be a public record.

236 (4) (a) The Senate and the House of Representatives shall employ staff for the
237 commission at a level that is reasonable to assist the commission in performing its duties as
238 established in this chapter.

239 (b) The Legislative Management Committee shall:

240 (i) authorize each staff position for the commission; and

241 (ii) approve the employment of each staff member for the commission.

242 (c) Staff for the commission shall work only for the commission and may not perform

243 services for the Senate, House of Representatives, other legislative offices, or a political
244 subdivision.

245 Section 7. Section **11-49-301** is enacted to read:

246 **Part 3. General Powers and Procedures**

247 **11-49-301. Authority to review complaint -- Grounds for complaint -- Limitations**
248 **on filings.**

249 (1) Subject to the requirements of this chapter, the commission is authorized to review
250 an ethics complaint against a political subdivision officer or employee if the complaint alleges:

251 (a) if the applicable political subdivision is a municipality, a violation of Title 10,

252 Chapter 3, Part 13, Municipal Officers' and Employees' Ethics Act by:

253 (i) an appointed officer, as defined in Section 10-3-1303;

254 (ii) an elected officer, as defined in Section 10-3-1303; or

255 (iii) a municipal employee, as defined in Section 10-3-1303;

256 (b) if the applicable political subdivision is a county, a violation of Title 17, Chapter

257 16a, County Officers and Employees Disclosure Act by:

258 (i) an appointed officer, as defined in Section 17-16a-3;

259 (ii) an elected officer, as defined in Section 17-16a-3; or

260 (iii) an employee subject to Title 17, Chapter 16a, County Officers and Employees

261 Disclosure Act;

262 (c) for a political subdivision officer or employee other than a municipal officer or

263 employee described in Subsection (1)(a), or a violation by a county officer or employee

264 described in Subsection (1)(b), a violation of Title 67, Chapter 16, Utah Public Officers' and

265 Employees' Ethics Act;

266 (d) a conviction of, or a plea of guilty to, a crime involving moral turpitude; or

267 (e) a plea of no contest or a plea in abeyance to a crime involving moral turpitude.

268 (2) (a) For an alleged violation under Subsection (1)(a), (b), or (c), the complaint shall

269 be filed in accordance with the time limit provisions, if any, of the applicable part or chapter.

270 (b) For an alleged violation under Subsection (1)(d) or (e), the complaint shall be filed

271 within two years of the date that the plea or conviction that forms the basis of the allegation

272 was entered.

273 (3) (a) A complaint may not contain an allegation if that allegation and the general

274 facts and circumstances supporting that allegation have been previously reviewed by a
275 municipal ethics commission established under Section 10-3-1311, a county ethics commission
276 established under Section 17-16a-11, or a local political subdivision ethics commission
277 established under Section 11-49-103, as applicable, or the commission unless:

278 (i) the allegation was previously reviewed and dismissed by either the commission or
279 as applicable, a municipal, county, or local political subdivision ethics commission;

280 (ii) the allegation is accompanied by material facts or circumstances supporting the
281 allegation that were not raised or pled to the commission or, as applicable, a municipal, county,
282 or local political subdivision ethics commission when the allegation was previously reviewed;
283 and

284 (iii) in the case of an allegation previously reviewed by the commission, the allegation
285 and the general facts and circumstances supporting that allegation have only been reviewed by
286 the commission on one previous occasion.

287 (b) The commission may not review a complaint that is currently before a municipal
288 ethics commission established under Section 10-3-1311, a county ethics commission
289 established under Section 17-16a-11, or a local political subdivision ethics commission
290 established under Section 11-49-103.

291 (c) If an allegation in the complaint does not comply with the requirements of
292 Subsection (3)(a) or (b), the allegation shall be summarily dismissed with prejudice by:

293 (i) the chair when reviewing the complaint under Section 11-49-601; or

294 (ii) the commission, when reviewing the complaint under Section 11-49-701.

295 Section 8. Section **11-49-302** is enacted to read:

296 **11-49-302. General powers -- Jurisdiction.**

297 (1) The commission has jurisdiction only over an individual who is a political
298 subdivision officer or employee.

299 (2) The commission shall dismiss an ethics complaint if the respondent resigns or is
300 terminated from the political subdivision.

301 Section 9. Section **11-49-401** is enacted to read:

302 **Part 4. Hearing on Ethics Complaint**

303 **11-49-401. Hearing on ethics complaint -- General procedures.**

304 (1) In conducting a hearing on a complaint, the commission shall comply with the

305 following process in the order specified:

306 (a) introduction and instructions for procedure and process, at the discretion of the
307 chair;

308 (b) complainant's opening argument, to be presented by a complainant or complainant's
309 counsel;

310 (c) complainant's presentation of evidence and witnesses in support of allegations in
311 the complaint;

312 (d) consideration of motions to dismiss the complaint or motions for a finding of no
313 cause, as applicable;

314 (e) respondent's opening argument, to be presented by the respondent or respondent's
315 counsel;

316 (f) respondent's presentation of evidence and witnesses refuting allegations in the
317 complaint;

318 (g) presentation of rebuttal evidence and witnesses by the complainant, at the
319 discretion of the chair;

320 (h) presentation of rebuttal evidence and witnesses by the respondent, at the discretion
321 of the chair;

322 (i) complainant's closing argument, to be presented by a complainant or complainant's
323 counsel;

324 (j) respondent's closing argument, to be presented by the respondent or respondent's
325 counsel;

326 (k) deliberations by the commission; and

327 (l) adoption of the commission's findings.

328 (2) The commission may, in extraordinary circumstances, vary the order contained in
329 Subsection (1) by majority vote and by providing notice to the parties.

330 (3) The chair may schedule the examination of a witness or evidence subpoenaed at the
331 request of the chair or the commission under Section 11-49-403 at the chair's discretion.

332 Section 10. Section **11-49-402** is enacted to read:

333 **11-49-402. Chair as presiding officer.**

334 (1) Except as expressly provided otherwise in this chapter, the chair of the commission
335 is vested with the power to direct the commission during meetings authorized by this chapter.

336 (2) Unless expressly prohibited from doing so under this chapter, the commission may
337 overrule a decision of the chair by using the following procedure:

338 (a) If a member objects to a decision of the chair, that member may appeal the decision
339 by stating:

340 (i) "I appeal the decision of the chair."; and

341 (ii) the basis for the objection.

342 (b) A motion described in Subsection (2)(a) is nondebatable.

343 (c) The chair shall direct a roll call vote to determine if the commission supports the
344 decision of the chair.

345 (d) A majority vote of the commission is necessary to overrule the decision of the
346 chair.

347 (3) The chair may set time limitations on any part of a meeting or hearing authorized
348 by this chapter.

349 Section 11. Section **11-49-403** is enacted to read:

350 **11-49-403. Subpoena powers.**

351 (1) For all proceedings authorized by this chapter, the commission may issue a
352 subpoena to:

353 (a) require the attendance of a witness;

354 (b) direct the production of evidence; or

355 (c) require both the attendance of a witness and the production of evidence.

356 (2) The commission shall issue a subpoena:

357 (a) in accordance with Section 11-49-405;

358 (b) at the direction of the commission chair, if the chair determines that the testimony
359 or evidence is relevant to the review of a complaint under Part 7, Commission Review of

360 Ethics Violations; or

361 (c) upon a vote of a majority of the commission members.

362 (3) If the commission issues a subpoena authorized under this section, the commission
363 shall give a reasonable period of time for the person or entity to whom the subpoena is directed
364 to petition a district court to quash or modify the subpoena before the time specified in the
365 subpoena for compliance.

366 Section 12. Section **11-49-404** is enacted to read:

367 **11-49-404. Contempt of the commission.**

368 (1) (a) The following actions constitute contempt of the commission in relation to
369 actions and proceedings under this chapter:

370 (i) disobedience to a direction of the commission chair;

371 (ii) failure, without legal justification, to answer a question during a hearing when
372 directed to do so by:

373 (A) the commission chair, unless the direction is overridden by the commission in
374 accordance with Section 11-49-402; or

375 (B) a majority of the commission;

376 (iii) failure to comply with a subpoena or other order issued under authority of this
377 chapter;

378 (iv) violation of privacy provisions established by Section 11-49-502;

379 (v) violation of the communication provisions established by Section 11-49-407;

380 (vi) violation of a request to comply with a provision of this chapter by a chair or a
381 majority of the members of the commission; or

382 (vii) any other ground that is specified in statute or recognized by common law.

383 (b) Because the purpose of the Fifth Amendment privilege not to incriminate oneself is
384 to prevent prosecution for criminal action, it is improper for a witness to invoke the Fifth
385 Amendment privilege if the witness cannot be prosecuted for the crime to which the witness's
386 testimony relates.

387 (2) (a) The following persons may authorize an enforcement action against a person in
388 contempt of the commission under the provisions of this chapter:

389 (i) the commission chair, subject to the provisions of Section 11-49-402; or

390 (ii) members of the commission, by means of a majority vote.

391 (b) In initiating and pursuing an action against an individual for contempt of the
392 commission, the plaintiff shall comply with the procedures and requirements of Section
393 11-49-405.

394 Section 13. Section **11-49-405** is enacted to read:

395 **11-49-405. Order to compel -- Enforcement.**

396 (1) (a) When the subject of a subpoena issued in accordance with Section 11-49-403
397 disobeys or fails to comply with the subpoena, or if a person appears before the commission

398 pursuant to a subpoena and refuses to testify to a matter upon which the person may be lawfully
399 interrogated, the commission may:

400 (i) file a motion for an order to compel obedience to the subpoena with the district
401 court within the jurisdiction of the applicable political subdivision;

402 (ii) file, with the district court, a motion for an order to show cause why the penalties
403 established in Title 78B, Chapter 6, Part 3, Contempt, should not be imposed upon the person
404 named in the subpoena for contempt of the commission; or

405 (iii) pursue other remedies against persons in contempt of the commission.

406 (b) (i) Upon receipt of a motion under this section, the court shall expedite the hearing
407 and decision on the motion.

408 (ii) A court may:

409 (A) order the person named in the subpoena to comply with the subpoena; and

410 (B) impose any penalties authorized by Title 78B, Chapter 6, Part 3, Contempt, upon
411 the person named in the subpoena for contempt of the commission.

412 (2) (a) If a commission subpoena requires the production of accounts, books, papers,
413 documents, or other tangible things, the person or entity to whom the subpoena is directed may
414 petition a district court to quash or modify the subpoena at or before the time specified in the
415 subpoena for compliance.

416 (b) The commission may respond to a motion to quash or modify the subpoena by
417 pursuing any remedy authorized by Subsection (1).

418 (c) If the court finds that a commission subpoena requiring the production of accounts,
419 books, papers, documents, or other tangible things is unreasonable or oppressive, the court may
420 quash or modify the subpoena.

421 (3) Nothing in this section prevents the commission from seeking an extraordinary writ
422 to remedy contempt of the commission.

423 (4) Any party aggrieved by a decision of a court under this section may appeal that
424 action directly to the Utah Supreme Court.

425 Section 14. Section **11-49-406** is enacted to read:

426 **11-49-406. Testimony and examination of witnesses -- Oath -- Procedure --**
427 **Contempt.**

428 (1) (a) The chair shall ensure that each witness listed in the complaint and response is

429 subpoenaed for appearance at the hearing unless:

430 (i) the witness is unable to be properly identified or located; or

431 (ii) service is otherwise determined to be impracticable.

432 (b) The chair shall determine the scheduling and order of witnesses and presentation of
433 evidence.

434 (c) The commission may, by majority vote:

435 (i) overrule the chair's decision not to subpoena a witness under Subsection (1)(a);

436 (ii) modify the chair's determination on the scheduling and order of witnesses under

437 Subsection (1)(b);

438 (iii) decline to hear or call a witness that has been requested by the complainant or
439 respondent;

440 (iv) decline to review or consider evidence submitted in relation to an ethics complaint;

441 or

442 (v) request and subpoena witnesses or evidence according to the procedures of Section
443 11-49-403.

444 (2) (a) Each witness shall testify under oath.

445 (b) The chair or the chair's designee shall administer the oath to each witness.

446 (3) After the oath has been administered to the witness, the chair shall direct testimony
447 as follows:

448 (a) allow the party that has called the witness, or that party's counsel, to question the
449 witness;

450 (b) allow the opposing party, or that party's counsel, to cross-examine the witness;

451 (c) allow additional questioning by a party or a party's counsel as appropriate;

452 (d) give commission members the opportunity to question the witness; and

453 (e) as appropriate, allow further examination of the witness by the commission, or the
454 parties or their counsel.

455 (4) (a) If the witness, a party, or a party's counsel objects to a question, the chair shall:

456 (i) direct the witness to answer; or

457 (ii) rule that the witness is not required to answer the question.

458 (b) If the witness declines to answer a question after the chair or a majority of the

459 commission determines that the witness is required to answer the question, the witness may be

460 held in contempt as provided in Section 11-49-404.

461 (5) (a) The chair or a majority of the members of the commission may direct a witness
462 to furnish any relevant evidence for consideration if the witness has brought the material
463 voluntarily or has been required to bring it by subpoena.

464 (b) If the witness declines to provide evidence in response to a subpoena, the witness
465 may be held in contempt as provided in Section 11-49-404.

466 Section 15. Section **11-49-407** is enacted to read:

467 **11-49-407. Communications of commission members.**

468 (1) As used in this section, "third party" means a person who is not a member of the
469 commission or staff to the commission.

470 (2) While a complaint is under review by the commission, a member of that
471 commission may not initiate or consider any communications concerning the complaint with a
472 third party unless:

473 (a) the communication is expressly permitted under the procedures established by this
474 chapter; or

475 (b) the communication is made by the third party, in writing, simultaneously to:

476 (i) all members of the commission; and

477 (ii) a staff member of the commission.

478 (3) While the commission is reviewing a complaint under this chapter, a commission
479 member may communicate outside of the meetings, hearing, or deliberations with another
480 member of, or staff to, the commission, only if the member's communication does not
481 materially compromise the member's responsibility to independently review and make
482 decisions in relation to the complaint.

483 Section 16. Section **11-49-408** is enacted to read:

484 **11-49-408. Attorney fees and costs.**

485 (1) A person filing a complaint under this chapter:

486 (a) may, but is not required to, retain legal representation during the complaint review
487 process; and

488 (b) is responsible for payment of complainant's attorney fees and costs incurred.

489 (2) (a) A respondent against whom a complaint is filed under this chapter:

490 (i) may, but is not required to, retain legal representation during the complaint review

491 process; and

492 (ii) is responsible for the respondent's own attorney fees and costs involved, except as
493 provided in Subsection (2)(b).

494 (b) A political subdivision for which the respondent is a political subdivision officer or
495 employee shall pay the reasonable attorney fees and costs incurred by the respondent against
496 whom a complaint is filed under this chapter if the commission determines that none of the
497 allegations in the complaint have been proved.

498 (3) (a) An attorney participating in a hearing before the commission shall comply with:

499 (i) the Rules of Professional Conduct established by the Utah Supreme Court;

500 (ii) the procedures and requirements of this chapter; and

501 (iii) the directions of the chair and commission.

502 (b) A violation of Subsection (3)(a) may constitute:

503 (i) contempt of the commission under Section 11-49-404; or

504 (ii) a violation of the Rules of Professional Conduct subject to enforcement by the Utah
505 State Bar.

506 Section 17. Section **11-49-501** is enacted to read:

507 **Part 5. Complaint of Ethics Violation**

508 **11-49-501. Ethics complaints -- Who may file -- Form.**

509 (1) (a) Notwithstanding any other provision, the following may file a complaint,
510 subject to the requirements of Subsections (1)(b) and (c) and Section 11-49-301, against a
511 political subdivision officer or employee:

512 (i) two or more registered voters who reside within the boundaries of a political
513 subdivision;

514 (ii) two or more registered voters who pay a fee or tax to a political subdivision; or

515 (iii) one or more registered voters who reside within the boundaries of a political
516 subdivision and one or more registered voters who pay a fee or tax to the political subdivision.

517 (b) A person described in Subsection (1)(a) may not file a complaint unless at least one
518 person described in Subsection (1)(a)(i), (ii), or (iii) has actual knowledge of the facts and
519 circumstances supporting the alleged violation.

520 (c) A complainant may file a complaint only against an individual who, on the date that
521 the complaint is filed, is serving as a political subdivision officer or is a political subdivision

522 employee.

523 (2) (a) A complainant shall file a complaint with the chair of the commission.

524 (b) An individual may not file a complaint during the 60 calendar days immediately
525 preceding:

526 (i) a regular primary election, if the accused political subdivision officer is a candidate
527 in the primary election; or

528 (ii) a regular general election in which an accused political subdivision officer is a
529 candidate, unless the accused political subdivision officer is unopposed in the election.

530 (3) A complainant shall ensure that each complaint filed under this section is in writing
531 and contains the following information:

532 (a) the name and position of the political subdivision officer or employee alleged to be
533 in violation;

534 (b) the name, address, and telephone number of each individual who is filing the
535 complaint;

536 (c) a description of each alleged violation, including for each alleged violation:

537 (i) a reference to:

538 (A) the section of the code alleged to have been violated; or

539 (B) if the political subdivision officer or employee has been charged with a criminal
540 violation, the criminal provision violated and the docket number of the case;

541 (ii) the name of the complainant who has actual knowledge of the facts and
542 circumstances supporting each allegation; and

543 (iii) the facts and circumstances supporting each allegation, which shall be provided
544 by:

545 (A) copies of official records or documentary evidence; or

546 (B) one or more affidavits that include the information required in Subsection (4);

547 (d) a list of the witnesses that a complainant wishes to have called, including for each
548 witness:

549 (i) the name, address, and, if available, one or more telephone numbers of the witness;

550 (ii) a brief summary of the testimony to be provided by the witness; and

551 (iii) a specific description of any documents or evidence a complainant desires the
552 witness to produce;

553 (e) a statement that each complainant:

554 (i) has reviewed the allegations contained in the complaint and the sworn statements
555 and documents attached to the complaint;

556 (ii) believes that the complaint is submitted in good faith and not for any improper
557 purpose such as for the purpose of harassing the respondent, causing unwarranted harm to the
558 respondent's reputation, or causing unnecessary expenditure of public funds; and

559 (iii) believes the allegations contained in the complaint to be true and accurate; and

560 (f) the signature of each complainant.

561 (4) An affidavit described in Subsection (3)(c)(iii)(B) shall include:

562 (a) the name, address, and telephone number of the signer;

563 (b) a statement that the signer has actual knowledge of the facts and circumstances
564 alleged in the affidavit;

565 (c) the facts and circumstances testified by the signer;

566 (d) a statement that the affidavit is believed to be true and correct and that false
567 statements are subject to penalties of perjury; and

568 (e) the signature of the signer.

569 Section 18. Section **11-49-502** is enacted to read:

570 **11-49-502. Privacy of ethics complaint -- Contempt -- Enforcement of finding of**
571 **contempt -- Dismissal.**

572 (1) (a) Except as provided in Subsection (1)(b) or (c), a person, including a
573 complainant, the respondent, a commission member, or staff to the commission, may not
574 disclose the existence of a complaint, a response, nor any information concerning any alleged
575 violation that is the subject of a complaint.

576 (b) The restrictions in Subsection (1)(a) do not apply to the respondent's voluntary
577 disclosure of a finding by the commission that no allegations in a complaint were proved, after
578 that finding is issued by the commission under the procedures and requirements of Section
579 11-49-704.

580 (c) Nothing in this section shall prevent a person from disclosing facts or allegations
581 about potential criminal violations to a law enforcement authority.

582 (d) Nothing in this section may be construed to hinder or prevent a respondent from
583 preparing a defense to a complaint, including contacting a witness or other actions in

584 preparation for review by the commission.

585 (2) A person who violates the provisions of Subsection (1)(a) is in contempt of the
586 commission and proceedings may be initiated to enforce the finding of contempt using the
587 procedures provided in Sections 11-49-404 and 11-49-405.

588 (3) If the existence of an ethics complaint is publicly disclosed during the period that
589 the commission is reviewing the complaint, the complaint shall be summarily dismissed
590 without prejudice.

591 Section 19. Section **11-49-601** is enacted to read:

592 **Part 6. Review of Complaint for Compliance**

593 **11-49-601. Review of ethics complaint for compliance with form requirements --**
594 **Independent requirements for complaint-- Notice.**

595 (1) Within five business days after receipt of a complaint, the staff of the commission,
596 in consultation with the chair of the commission, shall examine the complaint to determine if it
597 is in compliance with Section 11-49-301 and 11-49-501.

598 (2) (a) If the chair determines that the complaint does not comply with Section
599 11-49-301 or 11-49-501, the chair shall:

600 (i) return the complaint to the first complainant named on the complaint with:

601 (A) a statement detailing the reason for the non-compliance; and

602 (B) a copy of the applicable provisions in this chapter; and

603 (ii) notify the applicable political subdivision governing body that:

604 (A) a complaint was filed against an unidentified political subdivision officer or
605 employee but was returned for non-compliance with this chapter; and

606 (B) the fact that a complaint was filed and returned shall be kept confidential until the
607 commission submits its annual summary data report as required by Section 11-49-202.

608 (b) If a complaint is returned for non-compliance with the requirements of this chapter,
609 a complainant may file another complaint if the new complaint independently meets the
610 requirements of Sections 11-49-301 and 11-49-501, including any requirements for timely
611 filing.

612 (3) If the chair determines that the complaint complies with the requirements of this
613 section, the chair shall:

614 (a) accept the complaint;

615 (b) notify each member of the commission that the complaint has been filed and
616 accepted;

617 (c) notify the applicable political subdivision that:

618 (i) a complaint has been filed against an unidentified political subdivision officer or
619 employee;

620 (ii) the identity of the political subdivision officer or employee and the allegations
621 raised in the complaint are confidential pending the commission's review of the complaint; and

622 (iii) the fact that a complaint was filed shall be kept confidential until the commission
623 publicly discloses the existence of the complaint via:

624 (A) a recommendation that an allegation in the complaint be considered by the political
625 subdivision governing body in accordance with Section 11-49-704; or

626 (B) submission of the commission's annual summary data report as required in Section
627 11-49-202; and

628 (d) promptly forward the complaint to the political subdivision officer or employee
629 who is the subject of the ethics complaint via personal delivery or a delivery method that
630 provides verification of receipt, together with a copy of this chapter and notice of the officer's
631 or employee's deadline for filing a response to the complaint.

632 Section 20. Section **11-49-602** is enacted to read:

633 **11-49-602. Meeting of the Commission to review a complaint -- Procedures.**

634 By no later than 10 calendar days after the day on which a complaint is accepted under
635 Section 11-49-601, the commission chair shall:

636 (1) schedule a commission meeting on a date no later than 60 calendar days after the
637 date on which the commission accepts the complaint;

638 (2) place the complaint on the agenda for consideration at the meeting described in
639 Subsection (1);

640 (3) provide notice of the date, time, and location of the meeting to:

641 (a) the members of the commission;

642 (b) the first complainant named in the complaint; and

643 (c) the respondent; and

644 (4) provide a copy of the complaint to each member of the commission.

645 Section 21. Section **11-49-603** is enacted to read:

646 **11-49-603. Response to ethics complaint -- Filing -- Form.**

647 (1) The political subdivision officer or employee who is the subject of the complaint
648 may file a response to the complaint no later than 30 days after the day on which the officer or
649 employee receives delivery of the complaint.

650 (2) The respondent shall file the response with the commission and ensure that the
651 response is in writing and contains the following information:

652 (a) the name, address, and telephone number of the respondent;

653 (b) for each alleged violation in the complaint:

654 (i) each affirmative defense asserted in response to the allegation, including a general
655 description of each affirmative defense and the facts and circumstances supporting the defense
656 to be provided by one or more affidavits, each of which shall comply with Subsection (4);

657 (ii) the facts and circumstances refuting the allegation, which shall be provided by:

658 (A) copies of official records or documentary evidence; or

659 (B) one or more affidavits, each of which shall comply with Subsection (4);

660 (c) a list of the witnesses that the respondent wishes to have called, including for each
661 witness:

662 (i) the name, address, and, if available, telephone number of the witness;

663 (ii) a brief summary of the testimony to be provided by the witness; and

664 (iii) a specific description of any documents or evidence the respondent desires the
665 witness to produce;

666 (d) a statement that the respondent:

667 (i) has reviewed the allegations contained in the complaint and the sworn statements
668 and documents attached to the response; and

669 (ii) believes the contents of the response to be true and accurate; and

670 (e) the signature of the respondent.

671 (3) Promptly after receiving the response, the commission shall provide copies of the
672 response to:

673 (a) each member of the commission; and

674 (b) the first named complainant on the complaint.

675 (4) An affidavit described in Subsection (2)(b)(i) or (2)(b)(ii)(B) shall include the
676 following information:

- 677 (a) the name, address, and telephone number of the signer;
- 678 (b) a statement that the signer has actual knowledge of the facts and circumstances
- 679 alleged in the affidavit;
- 680 (c) the facts and circumstances testified to by the signer;
- 681 (d) a statement that the affidavit is believed to be true and correct and that false
- 682 statements are subject to penalties of perjury; and
- 683 (e) the signature of the signer.

684 Section 22. Section **11-49-701** is enacted to read:

685 **Part 7. Commission Review of Ethics Violation**

686 **11-49-701. Commission review of ethics violation.**

- 687 (1) The scope of a review by the commission is limited to the alleged violations stated
- 688 in a complaint.
- 689 (2) (a) Before holding the meeting for review of the complaint, the commission chair
- 690 may schedule a separate meeting of the commission for the purposes of:
- 691 (i) hearing motions or arguments from the parties, including hearing motions or
- 692 arguments relating to dismissal of a complaint, admission of evidence, or procedures;
- 693 (ii) holding a vote of the commission, with or without the attendance of the parties, on
- 694 procedural or commission business matters relating to a complaint; or
- 695 (iii) reviewing a complaint, with or without the attendance of the parties, to determine
- 696 if the complaint should be dismissed in whole or in part, by means of a majority vote of the
- 697 commission, because the complaint pleads facts or circumstances against a political
- 698 subdivision officer or employee that have already been reviewed by, as provided in Section
- 699 11-49-301, the commission, a municipal ethics commission established in accordance with
- 700 Section 10-3-1311, a county ethics commission established in accordance with Section
- 701 17-16a-11, or a local political subdivision ethics commission established in accordance with
- 702 Section 11-49-103.
- 703 (b) Notwithstanding Section 11-49-602, the commission may, by a majority vote,
- 704 change the date of the meeting for review of the complaint in order to accommodate:
- 705 (i) a meeting authorized under Subsection (2)(a); or
- 706 (ii) necessary scheduling requirements.
- 707 (3) (a) The commission shall comply with the Utah Rules of Evidence except where

708 the commission determines, by majority vote, that a rule is not compatible with the
709 requirements of this chapter.

710 (b) The chair shall make rulings on admissibility of evidence consistent with the
711 provisions of Section 11-49-402.

712 (4) (a) A meeting or hearing authorized in this part is closed to the public.

713 (b) The following individuals may be present during the presentation of testimony and
714 evidence to the commission:

715 (i) the complainant, except that no more than three complainants may be present at one
716 time;

717 (ii) the complainant's counsel, if applicable;

718 (iii) the respondent;

719 (iv) the respondent's counsel, if applicable;

720 (v) members of the commission;

721 (vi) staff to the commission;

722 (vii) a witness, while testifying before the commission; and

723 (viii) necessary security personnel.

724 (c) The complainant, respondent, and their respective counsel may be excluded from a
725 portion of the meeting when the commission discusses administrative, procedural, legal, or
726 evidentiary issues by:

727 (i) the order of the chair, subject to override as provided in Section 11-49-402; or

728 (ii) a majority vote of the commission.

729 (d) When the commission deliberates at the conclusion of presentation of testimony
730 and evidence, the commission shall ensure that those deliberations are closed to all persons
731 except for the members of the commission and commission staff.

732 (5) If a majority of the commission determines that a continuance is necessary to obtain
733 further evidence and testimony, to accommodate administrative needs, or to accommodate the
734 attendance of commission members, witnesses, or a party, the commission shall:

735 (a) adjourn and continue the meeting to a future date and time after notice to the
736 parties; and

737 (b) establish that future date and time by majority vote.

738 Section 23. Section **11-49-702** is enacted to read:

739 **11-49-702. Record -- Recording of meetings.**

740 (1) (a) Except as provided in Subsection (1)(b), an individual may not use a camera or
741 other recording device in a meeting authorized by this part.

742 (b) (i) The commission shall keep an audio or video recording of all portions of each
743 meeting authorized by this part.

744 (ii) If the commission elects, by a majority vote, to release the commission's
745 recommendation in a public meeting, the meeting may, upon a majority vote of the
746 commission, be opened to cameras or other recording devices.

747 (2) In addition to the recording required in Subsection (1), the chair shall ensure that a
748 record of the meeting or hearing is made, which shall include:

749 (a) official minutes taken during the meeting or hearing, if any;

750 (b) copies of all documents or other items admitted into evidence by the commission;

751 (c) copies of a document or written order or ruling issued by the chair or the
752 commission; and

753 (d) any other information that a majority of the commission or the chair directs.

754 (3) Except for the recommendation prepared by the commission, which shall be either
755 a private or public record as determined in Section 11-49-704, any recording, testimony,
756 evidence, or other record of a meeting authorized by this part is a private record under Section
757 63G-2-302 and may not be disclosed.

758 Section 24. Section **11-49-703** is enacted to read:

759 **11-49-703. Commission deliberations.**

760 (1) After each party has presented a closing argument, the commission shall, at the
761 direction of the chair, begin its private deliberations:

762 (a) immediately after conclusion of the closing arguments; or

763 (b) at a future meeting of the commission, on a date and time determined by a majority
764 of the members of the commission.

765 (2) (a) The chair of the commission shall conduct the deliberations.

766 (b) Upon a motion made by a commission member, the commission may exclude
767 commission staff from all or a portion of the deliberations by a majority vote of the
768 commission.

769 (3) (a) During deliberations, for each allegation reviewed by the commission, each

770 member shall determine and cast a vote stating:
771 (i) whether the allegation is:
772 (A) proven by clear and convincing evidence; or
773 (B) not proven; and
774 (ii) for each allegation proven, whether the commission would recommend to the
775 appropriate political subdivision governing body to take one or more of the following actions:
776 (A) censure;
777 (B) in the case of a political subdivision employee, termination;
778 (C) in the case of a political subdivision officer, removal from office; or
779 (D) any other action or reprimand that the commission determines is appropriate.
780 (b) A verbal roll call vote shall be taken on each allegation, each recommended action
781 described in Subsection (3)(a)(ii) on each allegation, and each member's vote shall be recorded.
782 (4) (a) An allegation is not considered to be proven unless four of the five members of
783 the commission vote that the allegation is proven.
784 (b) An allegation that is not considered to be proven is dismissed.
785 (c) (i) Before the commission issues its recommendation in accordance with Section
786 11-49-704, the commission may, upon a majority vote, reconsider and hold a new vote on an
787 allegation.
788 (ii) A motion to reconsider a vote may only be made by a member of the commission
789 who voted that the allegation was not proved.
790 (5) At the conclusion of deliberations, the commission shall prepare its
791 recommendations as provided in Sections 11-49-704 and 11-49-705.
792 Section 25. Section **11-49-704** is enacted to read:
793 **11-49-704. Recommendations of commission.**
794 (1) (a) If the commission determines that no allegations in the complaint were proved,
795 the commission shall:
796 (i) issue and enter into the record an order that the complaint is dismissed because no
797 allegations in the complaint were found to have been proved;
798 (ii) classify all recordings, testimony, evidence, orders, findings, and other records
799 directly relating to the meetings authorized by this part as private records under Section
800 63G-2-302;

801 (iii) provide notice of the determination, in a manner determined by a majority vote of
802 the commission, to:

803 (A) the respondent;

804 (B) the first complainant named on the complaint; and

805 (C) subject to Subsection (1)(b), the appropriate political subdivision; and

806 (iv) provide notice to each person named in Subsection (1)(a)(iii) that, under the
807 provisions of Section 11-49-502 and other provisions of this chapter, a person who discloses
808 the findings of the commission in violation of any provision of this chapter is in contempt of
809 the commission and is subject to penalties for contempt.

810 (b) The notification to the appropriate political subdivision shall notify the political
811 subdivision that:

812 (i) a complaint against an unidentified political subdivision officer or employee has
813 been dismissed; and

814 (ii) the fact that a complaint was filed shall be kept confidential until the commission
815 publicly discloses the existence of the complaint, if at all, via submission of the commission's
816 annual summary data report as required in Section 11-49-202.

817 (2) If the commission determines that one or more of the allegations in the complaint
818 were proved, the commission shall:

819 (a) if one or more allegations were not found to have been proven, enter into the record
820 an order dismissing those unproven allegations;

821 (b) prepare a written recommendation to the applicable political subdivision governing
822 body that:

823 (i) lists the name of each complainant;

824 (ii) lists the name of the respondent;

825 (iii) states the date of the recommendation;

826 (iv) for each allegation that was found to be proven:

827 (A) provides a reference to the statute or criminal provision allegedly violated;

828 (B) states the number and names of commission members voting that the allegation
829 was proved and the number and names of commission members voting that the allegation was
830 not proved;

831 (C) at the option of those members voting that the allegation was proved, includes a

832 statement by one or all of those members stating the reasons for voting that the allegation was
833 proved, provided that the statement does not cite specific evidence, specific testimony, or
834 specific witnesses; and

835 (D) at the option of those members voting that the allegation was not proved, includes
836 a statement by one or all of those members stating the reasons for voting that the allegation was
837 not proved, provided that the statement does not cite specific evidence, specific testimony, or
838 specific witnesses;

839 (v) contains any general statement that is adopted for inclusion in the recommendation
840 by a majority of the members of the commission;

841 (vi) contains a statement referring the allegations found to have been proved to the
842 appropriate political subdivision governing body for review and, if necessary, further action;

843 (vii) contains a statement referring to each allegation the commission's
844 recommendation under Subsection 11-49-703 (3)(a)(ii);

845 (viii) states the name of each member of the commission; and

846 (ix) is signed by each commission member;

847 (c) direct staff to publicly release the recommendation, the complaint, and the
848 response, subject to the redaction of any allegations that were dismissed by the commission;
849 and

850 (d) classify all other recordings, testimony, evidence, orders, findings, and other
851 records directly relating to the meetings and hearings authorized by this part as private records
852 under Section 63G-2-302.

853 (3) The commission shall ensure that a copy of the recommendation is made publicly
854 available and promptly provided to the respondent and the first complainant named on the
855 complaint.

856 (4) The commission shall ensure that, within five business days of the date of issuance
857 of the recommendation:

858 (a) the complaint and the response are redacted to remove references to those
859 allegations found not to have been proven by the commission, if one or more allegations were
860 found not to have been proven; and

861 (b) the following documents are made publicly available and are provided to the
862 political subdivision governing body:

863 (i) a cover letter referring the allegations contained in the edited complaint to the
864 political subdivision governing body for review;

865 (ii) a copy of the edited complaint;

866 (iii) a copy of the edited response; and

867 (iv) a copy of the recommendation.

868 Section 26. Section **11-49-705** is enacted to read:

869 **11-49-705. Criminal allegation -- Recommendation to county or district attorney.**

870 (1) If the commission finds that a political subdivision officer or employee allegedly
871 violated a criminal provision, and the officer or employee has not already been charged with
872 the criminal violation, the commission shall, in addition to sending a recommendation to a
873 political subdivision governing body in accordance with Section 11-49-704, send a
874 recommendation for further investigation to the county or district attorney of jurisdiction by
875 delivering to the county or district attorney a written recommendation that:

876 (a) lists the name of each complainant;

877 (b) lists the name of the respondent;

878 (c) states the date of the recommendation;

879 (d) for each allegation of a criminal violation, provide a reference to the criminal
880 provision allegedly violated;

881 (e) includes a general statement that is adopted by a majority of the members of the
882 commission; and

883 (f) gives the name of the political subdivision governing body that the commission sent
884 a recommendation to in accordance with Section 11-49-704.

885 (2) If the commission sends a recommendation in accordance with Subsection (1)(a),
886 the commission shall enter into the record:

887 (a) a copy of the recommendation; and

888 (b) the name of the county or district attorney of jurisdiction to whom it was sent.

889 (3) A recommendation prepared and delivered in accordance with this section is a
890 public record.

891 Section 27. Section **11-49-706** is enacted to read:

892 **11-49-706. Action by political subdivision governing body.**

893 A political subdivision governing body that receives a recommendation in accordance

894 with Section 11-49-704 shall:

895 (1) review the recommendation; and

896 (2) take further action in accordance with a political subdivision's governing ordinance,
897 bylaws, or other applicable governing rule.

898 Section 28. Section **17-16a-11** is amended to read:

899 **17-16a-11. County ethics commission -- Complaints charging violations --**

900 **Procedure.**

901 (1) A county may establish by ordinance an ethics commission to review a complaint,
902 except as provided in Subsection (3), against an officer or employee subject to:

903 (a) this part for a violation of a provision of this part; or

904 (b) Title 67, Chapter 16, Utah Public Officers' and Employees' Ethics Act.

905 (2) Except as provided in Subsection (3), a person filing a complaint for a violation of
906 this part or Title 67, Chapter 16, Utah Public Officers' and Employees' Ethics Act may file the
907 complaint:

908 (a) with the county ethics commission, if the county has established a county ethics
909 commission in accordance with Subsection (1); or

910 (b) with the Political Subdivisions Ethics Commission established in accordance with
911 Title 11, Chapter 49, Political Subdivisions Ethics Commission.

912 ~~[(+)] (3) Any complaint against a person who is under the merit system, charging that~~
913 ~~person with a violation of this part, shall be filed and processed in accordance with the~~
914 ~~provisions of the merit system.~~

915 ~~[(2) If the person charged with the violation is not under any merit system, then the~~
916 ~~complaint shall be filed with the commission which shall investigate the complaint and shall~~
917 ~~give the person an opportunity to be heard. A written report of the findings and the~~
918 ~~recommendation of the commission shall be filed with the governing body. If the governing~~
919 ~~body finds that the person has violated this part, it may dismiss, suspend, or take such other~~
920 ~~appropriate action with respect to the person.]~~

921 Section 29. Section **63G-2-302** is amended to read:

922 **63G-2-302. Private records.**

923 (1) The following records are private:

924 (a) records concerning an individual's eligibility for unemployment insurance benefits,

925 social services, welfare benefits, or the determination of benefit levels;

926 (b) records containing data on individuals describing medical history, diagnosis,
927 condition, treatment, evaluation, or similar medical data;

928 (c) records of publicly funded libraries that when examined alone or with other records
929 identify a patron;

930 (d) records received by or generated by or for:

931 (i) the Independent Legislative Ethics Commission, except for:

932 (A) the commission's summary data report that is required under legislative rule; and
933 (B) any other document that is classified as public under legislative rule; or

934 (ii) a Senate or House Ethics Committee in relation to the review of ethics complaints,
935 unless the record is classified as public under legislative rule;

936 (e) records received or generated for a Senate confirmation committee concerning
937 character, professional competence, or physical or mental health of an individual:

938 (i) if prior to the meeting, the chair of the committee determines release of the records:

939 (A) reasonably could be expected to interfere with the investigation undertaken by the
940 committee; or

941 (B) would create a danger of depriving a person of a right to a fair proceeding or
942 impartial hearing; and

943 (ii) after the meeting, if the meeting was closed to the public;

944 (f) employment records concerning a current or former employee of, or applicant for
945 employment with, a governmental entity that would disclose that individual's home address,
946 home telephone number, Social Security number, insurance coverage, marital status, or payroll
947 deductions;

948 (g) records or parts of records under Section 63G-2-303 that a current or former
949 employee identifies as private according to the requirements of that section;

950 (h) that part of a record indicating a person's Social Security number or federal
951 employer identification number if provided under Section 31A-23a-104, 31A-25-202,
952 31A-26-202, 58-1-301, 58-55-302, 61-1-4, or 61-2f-203;

953 (i) that part of a voter registration record identifying a voter's driver license or
954 identification card number, Social Security number, or last four digits of the Social Security
955 number;

- 956 (j) a record that:
- 957 (i) contains information about an individual;
- 958 (ii) is voluntarily provided by the individual; and
- 959 (iii) goes into an electronic database that:
- 960 (A) is designated by and administered under the authority of the Chief Information
- 961 Officer; and
- 962 (B) acts as a repository of information about the individual that can be electronically
- 963 retrieved and used to facilitate the individual's online interaction with a state agency;
- 964 (k) information provided to the Commissioner of Insurance under:
- 965 (i) Subsection 31A-23a-115(2)(a);
- 966 (ii) Subsection 31A-23a-302(3); or
- 967 (iii) Subsection 31A-26-210(3);
- 968 (l) information obtained through a criminal background check under Title 11, Chapter
- 969 40, Criminal Background Checks by Political Subdivisions Operating Water Systems;
- 970 (m) information provided by an offender that is:
- 971 (i) required by the registration requirements of Section 77-27-21.5; and
- 972 (ii) not required to be made available to the public under Subsection 77-27-21.5(27);
- 973 (n) a statement and any supporting documentation filed with the attorney general in
- 974 accordance with Section 34-45-107, if the federal law or action supporting the filing involves
- 975 homeland security;
- 976 (o) electronic toll collection customer account information received or collected under
- 977 Section 72-6-118, including contact and payment information and customer travel data[-];
- 978 (p) an email address provided by a military or overseas voter under Section
- 979 20A-16-501; ~~and~~
- 980 (q) a completed military-overseas ballot that is electronically transmitted under Title
- 981 20A, Chapter 16, Uniform Military and Overseas Voters Act[-]; and
- 982 (r) records received by or generated by or for the Political Subdivision Ethics
- 983 Commission established in Section 11-49-201, except for:
- 984 (i) the commission's summary data report that is required in Section 11-49-202; and
- 985 (ii) any other document that is classified in accordance with Title 11, Chapter 49,
- 986 Political Subdivisions Ethics Commission.

987 (2) The following records are private if properly classified by a governmental entity:

988 (a) records concerning a current or former employee of, or applicant for employment
989 with a governmental entity, including performance evaluations and personal status information
990 such as race, religion, or disabilities, but not including records that are public under Subsection
991 63G-2-301(2)(b) or 63G-2-301(3)(o), or private under Subsection (1)(b);

992 (b) records describing an individual's finances, except that the following are public:

993 (i) records described in Subsection 63G-2-301(2);

994 (ii) information provided to the governmental entity for the purpose of complying with
995 a financial assurance requirement; or

996 (iii) records that must be disclosed in accordance with another statute;

997 (c) records of independent state agencies if the disclosure of those records would
998 conflict with the fiduciary obligations of the agency;

999 (d) other records containing data on individuals the disclosure of which constitutes a
1000 clearly unwarranted invasion of personal privacy;

1001 (e) records provided by the United States or by a government entity outside the state
1002 that are given with the requirement that the records be managed as private records, if the
1003 providing entity states in writing that the record would not be subject to public disclosure if
1004 retained by it; and

1005 (f) any portion of a record in the custody of the Division of Aging and Adult Services,
1006 created in Section 62A-3-102, that may disclose, or lead to the discovery of, the identity of a
1007 person who made a report of alleged abuse, neglect, or exploitation of a vulnerable adult.

1008 (3) (a) As used in this Subsection (3), "medical records" means medical reports,
1009 records, statements, history, diagnosis, condition, treatment, and evaluation.

1010 (b) Medical records in the possession of the University of Utah Hospital, its clinics,
1011 doctors, or affiliated entities are not private records or controlled records under Section
1012 63G-2-304 when the records are sought:

1013 (i) in connection with any legal or administrative proceeding in which the patient's
1014 physical, mental, or emotional condition is an element of any claim or defense; or

1015 (ii) after a patient's death, in any legal or administrative proceeding in which any party
1016 relies upon the condition as an element of the claim or defense.

1017 (c) Medical records are subject to production in a legal or administrative proceeding

1018 according to state or federal statutes or rules of procedure and evidence as if the medical
1019 records were in the possession of a nongovernmental medical care provider.

1020 Section 30. Section **67-16-15** is enacted to read:

1021 **67-16-15. Complaint -- Political Subdivisions Ethics Commission.**

1022 A person may file a complaint for an alleged violation of this chapter by a political
1023 subdivision officer or employee in accordance with Title 11, Chapter 49, Political Subdivisions
1024 Ethics Commission.