

# Monitoring Report SD-10 Ethics Governance Committee September 15, 2020

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# SD-10: Ethics

It is essential that OPPD maintain the public trust and confidence in the integrity and ethical conduct of its Board of Directors and the OPPD employees. Therefore, to ensure the public interest is paramount in all official conduct, the Board shall adopt and update, as necessary, a Code of Ethics and Business Conduct (the “Code”). OPPD shall also maintain and enforce a code of conduct applicable to all employees.

Among other things the Code shall:

- Require high ethical standards in all aspects of official conduct;
- Establish clear guidelines for ethical standards and conduct by setting forth those acts that may be incompatible with the best interests of OPPD and the public;
- Require disclosure and reporting of potential conflicts of interests; and
- Provide a process for: (i) reporting suspected violations of the Code and policies; (ii) investigating suspected violations of the Code and policies; and, (iii) providing an annual report to the Board.

# Require high ethical standards in all aspects of official conduct

Board of Directors	Employees (Policy 3.01)
<ul style="list-style-type: none"><li>• Loyalty</li><li>• Compliance with Applicable Laws</li><li>• Observance of Ethical Standards</li></ul>	<ul style="list-style-type: none"><li>• Integrity</li><li>• Compliance with Applicable Laws and Regulations</li><li>• Act in a Legal and Ethical Manner</li></ul>

# Establish clear guidelines for ethical standards and conduct by setting forth those acts that may be incompatible with the best interests of OPPD and the public

Board of Directors	Employees
<ul style="list-style-type: none"><li>• Conflicts of Interest</li><li>• Improper Conduct and Activities</li><li>• Compensation from non-Company Sources</li><li>• Personal Use of Company Assets</li><li>• Corporate Opportunities</li><li>• Gifts</li><li>• Business Courtesies</li><li>• Confidentiality</li><li>• Compliance</li></ul>	<ul style="list-style-type: none"><li>• Laws, Regulations, and Personal Conduct</li><li>• District Records, Property and Communications</li><li>• Use of Assets</li><li>• Confidentiality and Disclosure of Information</li><li>• Relationship with Vendors</li><li>• Travel for Business/Trade Organizations</li><li>• Employee and Customer Relations</li><li>• Political Office, Government Relations, and Public Service</li><li>• Conflicts of Interest</li><li>• Purchase and Sale of Goods and Services</li><li>• Fraudulent Activities</li><li>• Retention of OPPD Records</li><li>• Distribution and Acknowledgement of Policy</li><li>• Reporting Violations and Seeking Guidance</li><li>• Disciplinary Action</li></ul>

# Provide a process for: (i) reporting suspected violations of the Code and policies; (ii) investigating suspected violations of the Code and policies; and, (iii) providing an annual report to the Board

Board of Directors	Employees
<ol style="list-style-type: none"> <li>1. Communicate violations promptly to the Chair of the Governance Committee</li> <li>2. Potential violations investigated by the Governance Committee or person designated (legal counsel)</li> <li>3. Appropriate actions taken</li> <li>4. Report annually to the Board</li> </ol> <p><i>None reported for the previous 12-month period</i></p>	<ol style="list-style-type: none"> <li>1. Report anonymously through 3<sup>rd</sup> Party (Ethics Point)</li> <li>2. Report through Employee Concerns (FCS)</li> <li>3. Report through Human Capital</li> <li>4. Investigated by appropriate party/parties</li> <li>5. Appropriate actions taken</li> <li>6. Reported annually to the Board</li> </ol> <p><i>13 reported for the previous 12-month period – all investigated and appropriate action taken</i></p>

# Recommendation

The Governance Committee has reviewed and accepted this Monitoring Report for SD-10 and recommends that the Board find OPPD to be sufficiently in compliance with Board Policy SD-10.