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<b>Section-12 Fiscal Management</b>	<b>OP-120702</b>	<b>Page: 1</b>	<b>Effective Date: 04/10/2018 Revision-01 Date: 01/07/2019 Pages 1, 2, 4</b>
<b>Employee Fund Committee</b>	<b>ACA Standards: None</b>		
<b>Joe M. Allbaugh, Director Oklahoma Department of Corrections</b>		<b>Signature on File</b>	

## **Employee Fund Committee and Ethical Reporting Requirements**

### **I. Employee Fund Committee**

The purpose of the employee fund committee is to: assist in creating a positive work environment; provide a formal process to recognize staff for accomplishments; provide support to staff and their families during critical times; and promote staff involvement in the community.

#### **A. Committee By-Laws**

Employee fund committees will have written by-laws that govern the operations of the committee and will include, at a minimum, the following:

1. Official name of the committee;
2. Purpose and function of the committee;
3. Establishment of membership;
4. Establishment of officers, their duties, tenure and election process;
5. Intervals and notice procedures for regular and special meetings;
6. Voting procedures and amendment of by-laws;
7. Regulations on acquisition and expenditure of funds and resources, including a statement describing the approved purposes of any

monies the committee may expend in relation to its purpose and function;

8. Open meetings, with minutes and financial records maintained;
9. Statement of what constitutes an approved expenditure and how the approval is gained; and
10. (Revision-01 dated 01/07/2019) Procedure for disbursement of funds will require at least two signatures on all disbursement checks. Segregation of duties will be maintained regarding accounting controls and reports.

B. Employee Fund Management

The employee fund will be overseen by the employee fund committee and the facility/unit head. All expenditures will be approved in advance by the committee.

1. Employee funds will be maintained through the Offender Banking System (OBS) for facilities/units.
2. All funds will be managed through the Offender Banking System for facilities/units.

C. Fund Raisers and Activities

1. All fund raisers and activities will be approved by the facility/unit head and be in accordance with any field memoranda on this subject. The distribution of funds will be at the discretion of the employee fund committee pursuant to the local by-laws.
2. Any employee organization raising funds for their own benefit will adhere to these guidelines.

II. Ethical Reporting Requirements

(Revision-01 dated 01/07/2019)

A. Employee Fund Raisers and Activities

1. The ruling of the Oklahoma Ethics Commission in regards to Employee Fund Raisers and Activities is that Employee Fund Raisers and Activities are considered a continuing fund running throughout the year and are not subject to the same rules as Special Function committees, therefore Employee Fund Raisers Activities/Events are not reportable to the ODOC's liaison or to filing with the Oklahoma Ethics Commission.

(Revision-01 dated 01/07/2019)

B. Ethics Commission Registration Fees

1. Adopted by the Ethics Commission and effective July 1, 2018 a filing fee of \$250.00 will be charged to all Special Function committees receiving or spending \$1,000.00 or more in monetary or non-monetary donations.
2. This \$250 fee will be invoiced by the Oklahoma Ethics Commission to the ODOC upon the filing of the Special Function committee's fundraiser/event by the ODOC's Liaison. Special Function committee's fundraisers/events that collect a \$1,000.00 and above in combined monetary, non-monetary and/or in kind contributions will be responsible to pay this fee. This fee is determined by the Ethics Commission, once the Ethics Commission has received the filing of the fundraiser/event and determined that the donations have totaled \$1,000.00 or more. Payment of this invoice will be the responsibility of the Special Function committee which held the fundraiser/event.
3. Special Function committee fundraisers/events collecting under \$1,000.00 in combined monetary, non-monetary and/or in kind contributions will not be assessed any filing fee by the Ethics Commission but are still responsible for submitting the information regarding the event to ODOC's liaison to register with the Oklahoma Ethics Commission.

B. Sponsorship of Conference, Seminars, Events

1. When a state officer or employee, or a state agency sponsors, in part or in whole, a conference, seminar, meeting or other event for which a state officer or employee solicits funds, goods or services to assist with expenses associated with the event, the sponsoring officer or agency is required to create a special committee.
2. A state officer, employee or agency "sponsors" an event when the officer, employee or agency permits the use of the person's or agency's name in promoting the event.
3. Special committees must register with the Oklahoma Ethics Commission and make a report of all contributions received and expenditures made by the committee, this registration will be completed by ODOC's Ethics Commission Liaison, once ODOC's Liaison has received the facilities special committee report entitled "Facility Fundraising/Event Report Form," ([Attachment A](#), attached.)

C. Donations (of Services, Monetary and/or In-Kind)

1. All contributors of donations that are not current, retired or former employees of ODOC will be required to give their name, address, occupation/title and employers name when making a donation of any type. This information will be recorded using [Attachment A](#) entitled "Facility Fundraising/Event Report Form."
2. Businesses which make donations will be required to give the name of the business, name and or title of individual making the donation and the business address utilizing "Contributors Donation Form" ([Attachment B](#), attached.)
3. State employees, current or retired/former of ODOC are exempt from furnishing their private addresses and are not required to give occupation/title information. ODOC current or retired/former employees who make donations will be identified as such and the ODOC facility will serve as the employer address for reporting purposes. 51 O.S. § 24A.7(D)
4. Donations designated as in-kind, which would include but are not limited to; goods, services, or gift certificates, must be given an approximate retail/monetary value for reporting purposes to the Oklahoma Ethics Commission.

D. Reporting Committee Special Events/Fundraisers

1. All ODOC special committee events/fundraisers reports are to be sent to the ODOC Ethics Commission Liaison for filing with the Oklahoma Ethics Commission. The ODOC Ethics Commission Liaison has a time frame, which is set by the Oklahoma Ethics Commission to file all fundraisers/events, therefore once an event has been held; a report will be submitted to the ODOC Ethics Commission Liaison within 30 days of the completed event ([Attachment A](#) entitled, Facility Fundraising/Event Report."
2. The ODOC Ethics Commission Liaison will file the submitted facility reports, as required by the Oklahoma Ethics Commission on of behalf of each facility. The liaison's filing must be completed within the time frame set by the Oklahoma Ethics Commission to avoid possible fines.

E. Failure to Report Facility Fundraising/Events

1. (Revision-01 dated 01/07/2019) Failure to report Facility Special Function Fundraising/Events or late filings may result in a fine being assessed by the Oklahoma Ethics Commission, which are referred to as compliance fees. A compliance fee may be up to \$1,000.00.

III. Action

The chief Financial Officer is responsible for compliance with this procedure.

The director of Business Services is responsible for the annual review and revisions.

Any exceptions to this procedure will require prior written approval from the agency director.

This procedure is effective as indicated.

Replaced: Operations Memorandum No. OP-120702 entitled "Employee Fund Committee" dated April 10, 2018

Distribution: Policy and Operations Manual  
Agency Website

<u>Attachments</u>	<u>Title</u>	<u>Location</u>
<a href="#">Attachment A</a>	“Facility Fundraising/Event Report Form”	Attached
<a href="#">Attachment B</a>	“Contributors Donation Form”	Attached