

OTTAWA TRIBE OF OKLAHOMA

TRIBAL ADMINISTRATIO/ENROLLMENT
P.O. Box 110
13 S 69A
MIAMI, OK 74355
PHONE (918)540-1536
FAX (918)542-3214
E-MAIL ADAWE@NATIONSNETWORK.NET

CHR/FAMILY SERVICES
(918)540-2377/(918)542-7259

LIBRARY/ARCHIVES
(918)542-6162/(918)542-5191

ENVIRONMENTAL PROTECTION AGENCY
(918)542-5191

CHILD CARE DEVELOPMENT
(918)540-1537



COPY

CHIEF
CHARLES TODD

2ND CHIEF
LARRY ANGELO

SEC/TREAS.
BERT H. KLEIDON

1ST COUNCILMAN
DR. KEVIN DAWES

2ND COUNCILMAN
DR. CHARLA DAWES

RESOLUTION NO. 2006 – 14

RESOLUTION AUTHORIZING A CODE OF CONDUCT FOR BUSINESS ACTIVITIES

WHEREAS: the Ottawa Tribe of Oklahoma is a federally recognized Indian Tribe organized under the Oklahoma Indian Welfare Act of 1936 with a Constitution and By-Laws approved by the United State Secretary of Interior on October 15, 1979; and

WHEREAS: the elected Business Committee of the Ottawa Tribe of Oklahoma is empowered to act on behalf of the Ottawa Tribe, under Article VI of the Ottawa Tribal Constitution and By-Laws, to transact business and otherwise speak or act on behalf of the Tribe in all matters; and

WHEREAS: the Business Committee of the Ottawa Tribe of Oklahoma recognizes the critical importance of managing all of its business affairs with the utmost responsibility and with the highest level of integrity;

NOW THEREFORE BE IT RESOLVED, that the Business Committee of the Ottawa Tribe of Oklahoma hereby authorizes the attached Code of Conduct for Business Activities, as a means of indicating its current and ongoing endorsement for said Code of Conduct for Business Activities.

CERTIFICATION

I hereby certify that the foregoing resolution, number 2006-14, was passed at a regular meeting of the Business Committee of the Ottawa Tribe of Oklahoma, on May 17 , 2006, by a vote of 5 for, 0 against, 0 abstaining, and 0 absent, with an established quorum.

ATTEST:

Charles A. Todd
Charles Todd, Chief
OTTAWA TRIBE OF OKLAHOMA

ATTEST:

Bert Kleidon
Bert Kleidon, Secretary-Treasurer
OTTAWA TRIBE OF OKLAHOMA

Code of Conduct for Business Activities

Authority Summary

This Code of Conduct was approved by the Ottawa Tribe Business Committee, the governing authority of the Ottawa Tribe of Oklahoma.

The purpose of this Code of Conduct is to reiterate longstanding Tribal-wide policies regarding the principles which govern the Tribe's business dealings. Section headings are:

1. POLICY
2. COMPLIANCE WITH LAWS
3. COMPLIANCE WITH CONTRACTUAL AND GRANT OBLIGATIONS
4. COMPLIANCE WITH STANDARDS OF INTEGRITY AND QUALITY
5. GENERAL RESPONSIBILITIES
6. REPORTING OF SUSPECTED VIOLATIONS
7. CONFLICT OF INTEREST
8. CONFIDENTIAL INFORMATION
9. GRATUITIES AND "KICKBACKS"
10. PROPER RECORDING, ALLOCATION, AND CHARGINGS OF COSTS
11. FINANCIAL REPORTING
12. EMPLOYMENT OF FORMERS U.S. GOVERNEMENT EMPLOYEES
13. CONSEQUENCES OF VIOLATIONS OF OTTAWA TRIBAL POLICIES

1. POLICY

A keystone of the Ottawa Tribal conduct is the integrity in its dealings with people both inside and outside the Tribe. The Ottawa Tribe is in a position of trust with respect to many external organizations and agencies. Additionally, all Tribal staff and officials have a responsibility to the Tribal members and to families to use funds prudently, ethically, and for the purposes for which they are designated. Ethical conduct has been and continues to be at the foundation of the Tribe.

The Ottawa Tribe recognizes that the Federal Government is a source of significant funds for Tribal programs. The Ottawa Tribe will advise and train its staff and officials about applicable laws and requirements. Ottawa Tribal staff and officials are expected to be responsible and accountable for understanding relevant laws, regulations, and contract and grant requirements, and for ensuring compliance. If they do not comply, disciplinary action can be taken. The Ottawa

Tribe will fully comply with all applicable contract and grant requirements, as well as with its own laws, standards of integrity, and quality.

2. COMPLIANCE WITH LAWS

The Ottawa Tribe will transact its business in compliance with its Tribal and applicable federal laws. In any instance where Tribal policies appear difficult to interpret or apply or where there may appear to be some conflict with our principles, Tribal staff and officials should contact the Business Committee, which has oversight responsibility for the policy. Questions about interpretation or application of laws and regulations should be referred to the Business Committee.

3. COMPLIANCE WITH CONTRACTUAL AND GRANT OBLIGATIONS

In addition to applicable laws, the Ottawa Tribe takes seriously its contractual obligations. The Ottawa Tribe will adhere to its contractual requirements and, unless they are excused, will fulfill its contractual obligations. In any instance where particular contractual or grant requirements are difficult to interpret or apply, the Ottawa Tribal staff and officials should first consult with the Tribal Administrator.

4. COMPLIANCE WITH STANDARDS OF INTEGRITY AND QUALITY

The Ottawa Tribe recognizes that it must maintain its reputation for integrity that includes, but is not limited to, compliance with applicable laws and regulations and its contractual obligations. Even the appearance of misconduct or impropriety can be very damaging to the Ottawa Tribe. The Ottawa Tribe strives at all times to maintain the highest standards of quality and integrity.

Frequently, the Ottawa Tribe's business activities are not the subject of specific laws or regulations. In these instances, rules of fairness, honesty, and respect for the rights of others will govern our conduct at all times.

This policy requires each individual to conduct Tribal business transactions with the utmost honesty, accuracy, and fairness. Each situation needs to be examined under this standard. No unethical practice can be resorted to on the grounds that it is "customary" outside of the Ottawa Tribe or that it serves other goals. Expediency should never compromise integrity.

5. GENERAL RESPONSIBILITIES

- a. Individual Responsibility** – Ethics and integrity are the responsibility of each individual. Therefore, every member of the Tribal staff, and any other person acting on behalf of the Tribe is responsible for ethical conduct consistent with this Code and with Ottawa Tribal policies. The Ottawa Tribal administration and others in supervisory positions must assume responsibility for ensuring

that their conduct and the conduct of those they supervise complies with this Code.

- b. **Business Activities** — Business activities undertaken on behalf of the Tribe with others must reflect the highest standards of honesty, integrity, and fairness. Each of us must be especially careful to avoid even the appearance of misconduct or impropriety.

6. REPORTING OF SUSPECTED VIOLATIONS

- a. **Reporting to Management** — Employees should report suspected violation of applicable laws, regulations, contract and grant requirements or this Code. This reporting should normally be made initially through standard management channels, beginning with the immediate supervisor. Alternatively, employees may go to a higher level of management and may also report suspected violations or problems to the Business Committee.
- b. **Other Reporting** — All violations of laws or regulations should be reported to the Tribal Administrator and suspected violations of rules regarding federal funds may be reported to the Department of Defense Fraud, Waste, and Abuse Hotline at 800-424-9098.
- c. **Confidentiality** — Such reports may be made confidentially, and even anonymously, although the more information given, the easier it is to investigate the reports. Raising such concerns is a service to the Tribe and will not jeopardize anyone's employment.
- d. **Cooperation** — All staff should cooperate fully in the investigation of any misconduct.

7. CONFLICT OF INTEREST

Tribal staff should be sensitive to situations which could raise questions of potential or apparent conflicts between personal interests and the Tribe's interests. As part of the Tribal community, each of us should consider ourselves as persons in positions of trust, and each of us should conduct ourselves accordingly. We must be particularly aware of situations where there exists a conflict between the private interests of a person and the official responsibilities of a person. Such conflicts can involve government agencies, investments, private companies, present or prospective employees, or members of the communities in which we operate. As a result, conduct in any situation which poses any real or apparent conflict of interest is prohibited.

8. CONFIDENTIAL INFORMATION

The Ottawa Tribe is entrusted with many kinds of confidential, proprietary and information. It is imperative that those who have access to this information do not make any unauthorized disclosures of the information, either during or after employment.

9. GRATUITIES AND "KICKBACKS"

- a. **Government Officials** — Ottawa Tribal staff and officials shall not give, offer, or promise anything of value to any government official to enhance relations with that official or the government, regardless of whether that official is in a position to influence any government decision with respect to the Ottawa Tribe or its activities. This includes, but is not limited to, entertainment, meals, refreshments, gratuities, or gifts.
- b. **Contractors and Others** — Ottawa Tribal staff and officials shall not give, offer, or promise anything of value to any prime contractor, subcontractor, or others for the purpose of improperly obtaining or receiving favorable treatment. Nor shall any Ottawa Tribal staff or official solicit or accept anything of value from any prime contractor, subcontractor, or others for such a purpose.
- c. **Items of Nominal Value** — Some agencies permit government employees to accept items of nominal value on an infrequent basis. You should check with the government employees to determine what is acceptable under that agency's rules and policies.

10. PROPER RECORDING, ALLOCATION, AND CHARGINGS OF COSTS

- a. **Appropriate Accounts** — Care should be taken to ensure proper recording and charging of all cost to the appropriate account. It is important that costs are accurately recorded so that the Ottawa Tribe direct and indirect charges are accurate and that unallowable costs are not charged. If there are any questions about proper treatment of costs, contact the Tribal book-keeping department head or the Tribe's CPA.
- b. **Reasonable and Allowable Costs** — Reimbursement shall be requested only for costs that are reasonable in amount, and which are allowable under applicable regulations. If there are any questions as to what is reasonable, consult relevant Tribal policies.

11. FINANCIAL REPORTING

All Ottawa Tribal accounts, financial reports, tax returns, expense reimbursement, time sheets, and other related documents, including those submitted to government agencies, must be accurate, clear, and complete. All

entries in Tribal books and records, including departmental accounts and individual expense reports, must accurately reflect each transaction.

12. EMPLOYMENT OF FORMER U.S. GOVERNMENT EMPLOYEES

The Ottawa Tribe shall comply with applicable laws and regulations governing the circumstances under which former U.S. military officers or civilian personnel may be employed or retained as consultants.

13. CONSEQUENCES OF VIOLATIONS OF OTTAWA TRIBAL POLICIES

Each person is responsible for ensuring that his or her own conduct and the conduct of anyone reporting to him or her fully complies with this Code and with Ottawa Tribal policies. Violations will result in the taking of appropriate disciplinary action up to and including discharge from employment. Disciplinary action will be taken in accordance with the procedures applicable to officials or staff, as the case may be. Conduct representing a violation of the Code may, in some circumstances, also subject an individual to civil or criminal charges and penalties.