



INTERNAL AUDIT MEMORANDUM

TO: MAYOR J. LEHMAN, AND MEMBERS OF COUNCIL

FROM: S. MACGREGOR, DIRECTOR OF INTERNAL AUDIT

NOTED: A. LANGLOIS, DIRECTOR OF HUMAN RESOURCES
M. PROWSE, CHIEF ADMINISTRATIVE OFFICER

RE: CODE OF CONDUCT AND FRAUD AND WRONGDOING PROGRAM

DATE: AUGUST 31, 2017

The purpose of this Memorandum is to advise members of Council that an updated and enhanced Code of Conduct, including a formal whistleblower program named the "Fraud and Wrongdoing Program", will be implemented for City staff in September 2017. Members of Council and Committee have a separate Code of Conduct and, while future changes to the Council and Committee Code of Conduct may be proposed to address changes in Provincial legislation, the new staff Code of Conduct and Fraud and Wrongdoing Program do not result in any changes to the Council and Committee Code of Conduct.

Code of Conduct

The City's current Code of Conduct for staff was approved in January 2012. Given organizational changes since that time, and the importance of a Code of Conduct as a key element of the City's control environment, a review of the Code of Conduct was completed. The Code of Conduct clearly states the City's commitment to doing the right thing and acts as an ethical guide for staff. The Code of Conduct clarifies the expected performance standard and explains how staff must conduct themselves when representing or acting on behalf of the City.

The new Code of Conduct (Appendix "A") is written in plain English and is accompanied by a Handbook (Appendix "B") that provides guidance and Frequently Asked Questions for additional clarification. A new requirement for staff to confirm their compliance with the Code of Conduct on an annual basis has been introduced to ensure staff demonstrate a continuing commitment to ethical behavior and accountability.

Fraud and Wrongdoing Program

A whistleblower is a person who exposes any kind of information or activity that is illegal, unethical, or not correct within an organization. Integrated with the roll out of the updated Code of Conduct for staff is the launch of a two year pilot for a new whistleblower program available to City staff. Subsequent to a forensic investigation by Deloitte in 2015, a recommendation was made for the City to implement a formal whistleblower program for staff to supplement existing mechanisms for reporting concerns.

The whistleblower program, named the "Fraud and Wrongdoing Program" (Appendix "C") and overseen by Internal Audit, formalizes a program by which staff can report concerns of fraud or wrongdoing without fear of retaliation. In addition to existing methods for reporting concerns directly to supervisors or other City employees, staff will also have the ability to report with anonymity if desired by phone, through a website or a P.O. Box all of which are operated by an independent third party, Clearview Connects. During the initial two year pilot, the Fraud and Wrongdoing Program will not be available to members of the public as other means of reporting currently exist for the escalation of their concerns through resources such as Service Barrie, the Integrity Commissioner and the Provincial Ombudsman.



APPENDIX "A" – CODE OF CONDUCT POLICY

Section: TBD
Sub-section: TBD
Policy #: EE-XX-XX

Subject: CODE OF CONDUCT
Effective Date: tbd

POLICY

POLICY STATEMENT

Employees must perform their duties in an impartial and responsible manner that maintains and enhances public confidence and trust. To help achieve these objectives, the City has adopted a Code of Conduct.

The Code of Conduct provides a set of standards outlining the responsibilities of or proper practices for employees at the City.

It is the policy of the City to:

- a. Establish clear and reasonable standards of conduct;
- b. Ensure that such standards are applied uniformly and consistently; and
- c. Provide effective guidance to employees in terms of what constitutes appropriate conduct, and what constitutes inappropriate conduct, in a wide variety of situations.

SCOPE

- a. This policy applies to all employees and volunteers at the City.

PURPOSE

Establish standards for appropriate conduct in the work place by employees in the discharge of their duties.

STANDARDS OF CONDUCT

Personal Conduct

We will perform our duties with honesty and integrity and in a manner that is helpful, respectful and courteous. We will ensure that our conduct in person, electronically and over the phone is in keeping with our Corporate values of Strive, Share, Care, the Ontario Human Rights and the Occupational Health and Safety Act.

Gifts and Benefits

We will not accept or provide gifts, benefits or favours in exchange for special consideration or influence, or where it may be perceived to be in exchange for special treatment.



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POLICY

Personal Gain, Benefit or Favouritism

We will not participate in any decision process that may result in a real or perceived personal gain or benefit. We will remove ourselves from situations where there is a real or perceived risk of favouritism. We will use information collected by the City only for purposes consistent with the use for which it was collected and protect personal privacy as well as third party commercial information. When we have access to confidential information relating to any competition open to the public, we are ineligible to compete. We will not recommend or endorse products, services or suppliers.

City Time and Assets

We will use and permit the use of City time and assets for the performance of City duties. Employees must devote themselves exclusively to the performance of their employment duties during paid working hours. We will safeguard and protect City work time and assets. We will not use any City asset, including email, internet services or any other electronic communication devices, if such use could be offensive, inappropriate or illegal.

Protecting Sensitive Information

We will protect and use personal, third party commercial and sensitive information with the upmost of care. We are entrusted with personal, confidential and sometimes sensitive information from the Corporation, our business partners, residents and employees. Mishandling information can damage our reputation and can also result in penalties and fines against the Corporation and individual employees.

Compliance

We will comply with the Code of Conduct and all applicable laws, regulations and City policies.

Raising Concerns

We must strive to live by the City's core values and our Code of Conduct. We will report actual or potential violations of the Code of Conduct to our Supervisor or through the City's Fraud and Wrongdoing Program. Concerns that are reported to the City will be treated with confidentiality and will be protected from any reprisal or retaliation.



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POLICY

DEFINITIONS

Supervisor - a non-union management staff, or designate, who has responsibility for the oversight of employees.

Integrity – the quality of being honest and having strong moral principles; moral uprightness.

Discrimination – the unjust or prejudicial treatment of different categories of people or things.

Neutrality – the state of not supporting or helping either side in a conflict, disagreement, etc.; impartiality.

Ambassadors – a person who acts as a representative or promoter of a specified activity.

Perceived – interpret or look on (someone or something) in a particular way; regard as.

Asset – property owned by a person or company, regarded as having value and available to meet debts, commitments, or legacies; a useful or valuable thing.

Ethical – relating to moral principles or the branch of knowledge dealing with these.

Acknowledge – accept or admit the existence or truth of.

REFERENCES AND RELATED DOCUMENTS

- a. Fraud and Wrongdoing Procedure
- b. Workplace Human Rights Policy
- c. Workplace Human Rights Procedure
- d. Violence in the Workplace Policy
- e. Violence in the Workplace Procedure
- f. *Occupational Health and Safety Act of Ontario*
- g. *Ontario Human Rights Code*
- h. Employee Code of Conduct Handbook

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POLICY

LOG OF CHANGES

(This document should include any and all changes to the procedure and be kept separately from the procedure itself for document management purposes).

DATE	SPECIFIC CHANGE	EDITOR'S NAME	REASON FOR CHANGE

EMPLOYEE CODE OF CONDUCT HANDBOOK

INTRODUCTION

The City’s success and reputation are built on the trust we’ve earned from the people we work with and the customers we serve. We need to be sensitive to the impact our business decisions have on our stakeholders and the community, and we are committed to doing the right thing - always.

The City of Barrie’s Employee Code of Conduct applies to all employees. Our Code of Conduct explains how we must conduct ourselves when representing or acting on behalf of the City. It details the high expectations we set for employee behaviour.

The approach outlined in this Code is not something we aspire to: it is the performance standard we commit to every day. It is our enduring ethical guide — its principles are extremely important, and they are not negotiable.

We ask you to read the Code and ensure you understand how it applies to your daily work. If you have any questions or concerns, please consult your manager or other appropriate contact as described in the Handbook.

PERSONAL CONDUCT

We will perform our duties with honesty and integrity and in a manner that is helpful, respectful and courteous. We will ensure that our conduct in person, electronically and over the phone is in keeping with our corporate values of Strive, Share, Care, the Ontario Human Rights Code and the Occupational Health and Safety Act.

What Does This Mean?

We will do our jobs to the best of our ability, conduct ourselves appropriately whether our duties are performed on or off site, and will be considerate and helpful to all people, both internally and externally.

Discrimination in any form is not acceptable in the City workplace. Every employee has the right to a respectful, harassment and discrimination free workplace.

The City is committed to provide a workplace that is free from acts of violence or threats of violence to any employee.

We will be sensitive to the political process and knowledgeable about the laws and traditions regarding political neutrality that are applicable to our role at the City.

Why Is This Important?

It takes the effort of each and every employee to make the City of Barrie a great place to live, learn, work and play. The best way to maintain good working relationships is to treat every person with respect and dignity not to mention the way you want to be treated. This is particularly important for municipal employees because we are ambassadors for the City. We must be seen to be taking care of the City’s assets and its citizens. As such, it is our responsibility to care for the community and to make sure our residents get the best value for their tax dollars. This means working to maintain the public’s confidence by acting courteously and responsibly and by providing the best possible level of service. This also extends to interactions with each other.

Things to Do

- Practice common courtesies, such as “please” and “thank-you”
- Treat people as you want to be treated
- Represent the City in a positive way
- Be honest with people
- Make every person feel important
- Take on a customer-service focus
- Exercise diplomacy and tact when dealing with difficult people
- Respond promptly to requests for information or assistance
- Meet commitments made
- Provide objective advice to, and carry out the directions of, Council regardless of your personal opinion
- Learn the signs of escalating behaviour and know when to disengage and call for help

Frequently Asked Questions (“FAQ”)

Q Do I have to follow the Code of Conduct when I’m off duty but still in my City uniform?

A Yes. When you are in uniform, the public identifies you as a City employee and may assume you are performing City duties. Be mindful of where you are and your general conduct.

Q. If I am off duty and don’t wear a City uniform, do I still need to follow the Code of Conduct?

A. Employees out of uniform may still be recognizable as City employees and their actions on personal time may have an influence on the public’s perception of the City. Be mindful of where you are and your general conduct.

Q. Can I use social media venues such as Twitter, Facebook or my personal blog to voice my opinions about the Corporation or Council, fellow employees or my workplace?

A. No. As set out in our Corporate Social Media Policy, you may not voice personal opinions about the Corporation or Council, fellow employees or your workplace in public forums. Your social media accounts have personal profile pages and that information can be used to identify you as a City

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employee. It is important to understand that the workplace, as defined in the Workplace Human Rights Program and Violence in the Workplace Program can extend to electronic platforms.

Q. In my job, I’m in regular contact with angry people. How do I deal with abusive and profane language?

A. Pay genuine attention to the person and project a positive, courteous attitude. Be helpful and do what you can to resolve the issue. Abusive or profane language is not acceptable and will not be tolerated, particularly when it is directed at a person rather than a situation. You can advise that if the person continues to use profane language you may discontinue service. If the aggressive behaviour continues despite your best efforts, ask your supervisor for help and consider involving Security when and if available.

Q. Can I stop for a beer on my way home from work if I’m wearing my City uniform?

A. No. Although you are on your own time, your uniform leads people to believe otherwise.

Related Resources

- Workplace Human Rights Policy
- Workplace Human Rights Procedure
- Violence in the Workplace Policy
- Violence in the Workplace Procedure
- Workplace Alcohol and Drugs Policy
- Health and Safety Policy
- Corporate Social Media Policy

GIFTS AND BENEFITS

We will not accept or provide gifts, benefits or favours in exchange for special consideration or influence, or where it may be perceived to be in exchange for special treatment.

What does this mean?

We must not give or receive gifts in exchange for actual or perceived special consideration or favours.

Why is this important?

Although most gifts come with no strings attached, there is always a chance that something is expected or perceived to be expected in return.

Things to do

- Consider how the acceptance of the gift would be perceived by the media, Council or residents
- Decline cash tips or in-kind gifts
- Decline gifts that could be viewed as an exchange for a favour
- Decline gifts from potential vendors or interested parties during or in anticipation of City business with them (i.e. upcoming purchasing or tendering, development approval or permit issuance processes etc.)
- If unsure, decline the gift or ask your supervisor

FAQ

Q. The City is in the process of awarding a contract and I am involved in the decision process. One of the bidders has offered to take me to a Leaf’s game. Can I accept the invitation?

A. No. The perception is that the bidder could be given special consideration or favours in return for the ticket.

Q. I’m an instructor at one of our Recreation facilities. Some of the people that I teach like to give me a cash tip at Christmas. I don’t want to be impolite by rejecting what is a kind and sincere gesture. How should I respond? Can I accept the gift?

A. Politely explain that you appreciate the gesture but the City already compensates you. You may not accept cash, loans, free services or individual discounts but City employees may accept:

- Small holiday gifts showing appreciation (i.e. cards, cookies, chocolates)
- Advertising material (i.e. calendars, scratch pads, disposable pens, t-shirts, caps)

Q. The City paid for me to attend a conference and I won a door prize. Can I accept it? Can I accept payment offered to me as a speaker in addition to my City pay?

A. You can accept the door prize but if the prize is of significant value, you should advise your supervisor. You are not permitted to accept payment for speaking at a conference you are attending in

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the course of your employment at the City. Reimbursement of your expenses to attend the conference is permitted.

Q. A vendor my department uses regularly has invited me to play golf with him. Can I attend?

A. Only if prior approval has been given by your supervisor or manager. If approved, this should be on your time – after work or vacation time.

Q. There is a professional association golf event coming up that I would like to attend. Is that permitted?

A. Yes, it is permitted if you received approval from your supervisor or manager. You will need to establish with your manager whether this is part of the duties related to your role at the City or a personal development opportunity to determine whether the golf can take place on City time or whether it needs to take place on after work or vacation time.

Q. A vendor or a community stakeholder with whom I currently work offered to take me for lunch so that we can discuss a work related matter. Can I go and if so, who should pay for the meal?

A. Yes, you can go to the lunch but if possible you should pay for your own meal. If the vendor insists on paying for the meal then you should advise your supervisor and monitor future entertainment with this vendor because the activity could be perceived as providing a favour to you.

Q. Is there a specific dollar value threshold that the City uses to assess whether a gift provided or received is permissible?

A. There is no official dollar value designated by the City that determines permissibility of gifts and benefits. As guidance, the City generally considers gifts with a value greater than \$25 in a given year to potentially have the ability to provide (or be perceived to provide) favour. If you are unsure whether a gift is acceptable you should consult with your supervisor.

Q. I received a gift at my home or my office from a vendor of the City. What should I do?

A. If the gift is a small holiday gift (i.e. flowers, card, cookies, chocolates, holiday basket) there is nothing to do. If the gift is more significant, you should decline the gift if possible or advise your supervisor who will document receipt of the gift and notify Human Resources for the City’s records. If a gift is dropped off at your home or office when you aren’t present, you should notify your supervisor when you become aware of the gift and they will document receipt and notify Human Resources for the City’s records.

Q. Is it acceptable to solicit gifts to be used as prizes on behalf of charities that the City supports?

A. Soliciting of gifts is not permitted as it may create the appearance of a potential conflict of interest with a vendor. If a vendor offers to donate a gift in connection with a charitable event, the gift should be sent directly to the charity.

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Related Resources

Fraud and Wrongdoing Procedure

Purchasing By-law

Business Entertainment Expenses Procedure

Expenses Policy

Meal and Mileage Reimbursement Procedure

PERSONAL GAIN, BENEFIT OR FAVOURITISM

We will not participate in any decision process that may result in a real or perceived personal gain or benefit. We will remove ourselves from situations where there is a real or perceived risk of favouritism. We will use information collected by the City only for purposes consistent with the use for which it was collected and protect personal privacy as well as third party commercial information. When we have access to confidential information relating to any competition open to the public, we are ineligible to compete. We will not recommend or endorse products, services or suppliers.

What does this mean?

We must remove ourselves from any discussion and decision process that may result in actual or perceived conflict of interest, personal gain, favouritism or benefit. Awarding of City tenders, employment opportunities, land sales and disposal of surplus assets will be carried out impartially – without any advantage or favouritism to ourselves or others.

We must resolve any conflict between our personal or private interests and our official duties in favour of the public interest. We must serve the public interest by following both the letter and the spirit of the laws, policies, regulations and directions established by City Council.

All potential real or perceived conflicts of interest must be declared by the employee and a Notification Form must be completed and returned to Human Resources.

Why is this important?

All City business must be conducted fairly and impartially. Employees are compensated for their services with tax dollars. A City employee must not benefit from his or her job beyond the compensation paid for the job.

Things to do

- Use information only for the purpose for which it was collected
- Remove yourself from any discussion and decision process that may result in actual or perceived personal gain, benefit or favouritism
- Complete the attached Notification Form identifying the potential conflict of interest and obtain the necessary City approvals if you believe there may be a perceived or real personal gain or benefit

FAQs

Q. My sister just bid on a City contract in my work area. What should I do?

A. You must disclose the relationship to your supervisor at the beginning of the process and complete a Notification Form. If you are in a position to evaluate the bid, influence selection of the successful bidder or manage the bidder's performance, there is a potential conflict of interest. Your supervisor

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must ensure you are not involved in the discussion and decision-making process and do not have access to information regarding the process which could be used to influence decision makers.

Q. In my job, I drive a City pickup truck that is being declared surplus. Can I buy it?

A. Yes. Once the City has properly declared the truck surplus and it is available for sale to the public at large, you may make an offer to buy it. You will not get any greater consideration in the sale process than any other member of public offering to purchase the vehicle through an open sale process.

Q. My brother-in-law is qualified for a job I directly supervise. Can he be hired for that position?

A. No. Immediate family members may not work in the same department where there is direct or indirect supervision. Furthermore, no one may be hired, transferred or promoted to a position over which a relative can be perceived to have influence over their promotion or supervision. You should disclose any potential conflict of interest to your supervisor and complete a Notification Form. Your supervisor will work with Human Resources to determine whether an appropriate plan to address the situation can be achieved.

Q. I work in Finance and my brother has a consulting agreement with another department. What should I do?

A. Nothing. Since you were not involved in the decision making process that awarded his contract, do not have any involvement with that business, and as long as you have no involvement in the approval or facilitation of the payment for the consulting agreement, there is no conflict.

Q. My daughter wants to work for the summer at the City. Can I contact the hiring manager and ask them to hire her?

A. No. City employees may not advocate for the employment of any individual. Her application should be submitted following the same process used by any other member of the public.

Q. My neighbour has applied to a position at the City. Can I contact the hiring manager and ask them to look at his resume?

A. No. City employees may not advocate for the employment of any individual. Your neighbor should submit their application following the same process used by any other member of the public.

Q. A neighbouring municipality contacted me for a reference of a service provider we recently used. Can I give the reference?

A. You should not recommend or endorse products or services but you can speak factually to the City's experience with the service provider.

Related Resources

Fraud and Wrongdoing Procedure

Procurement By-Law

Meal and Mileage Reimbursement Procedure

Anti-Nepotism Procedure

Conflict of Interest Notification Form

CITY TIME AND ASSETS

We will use and permit the use of City time and assets for the performance of City duties. Employees must devote themselves exclusively to the performance of their employment duties during paid working hours. We will safeguard and protect City work time and assets. We will not use any City asset, including email, internet services or any other electronic communication devices, if such use could be offensive, inappropriate or illegal.

What does this mean?

We are required to care for City assets which include all property, equipment, software, information, funds and time. City assets are to be used for City purposes.

Why is this important?

The City, like any organization, cannot afford to waste time, money or resources. We serve all the citizens of Barrie and our work is paid for by their tax dollars. To do our jobs properly, we need to have all resources available at all times. Whether the asset in question is work time, a City vehicle, a computer, or City funds, it must be ready and available to do the assigned task.

Things to Do

- Respect City assets and take proper care of them
- Use City assets only for City work
- Reimburse the City promptly for any personal costs (i.e. long distance calls, photocopying)
- Report time accurately and in a timely fashion

Things not to Do

- Take home City assets for personal use
- Sell City assets for personal gain
- Install personal software on City computers
- Download software on City equipment without prior approval
- Store large amounts of non-work related data on City computers
- Access, communicate, distribute or display racial, gender, sexual orientation, or ethnic slurs, threats, insults, obscenities, abuse, defamation or lewd or sexually explicit material on City computers
- Use City PCards for personal purchases

FAQs

Q. Can I photocopy my son’s hockey schedule for him and his teammates?

A. One or two copies is not an abuse of City assets. Multiple copies or repeated use of City equipment, require supervisor approval and reimbursement to the City.

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Q. Can I help myself to things the office is declaring surplus?

A. No. If you are interested in purchasing an item that has been declared surplus, speak with your supervisor.

Q. Can I use the internet at work to plan my vacation and book my airline tickets?

A. Yes, provided you do it on your own time (i.e. lunch, coffee breaks), there are no costs to the City and your activity does not place City computer systems at risk.

Q. Can I code my timesheet as regular work hours if I am not sure how I want to cover my time away and adjust it upon my return?

A. No, you must decide how your time will be coded prior to you taking the time off. Unless extreme and unexpected circumstances prevent you from doing so, you must decide in order to ensure that the time can be recorded accurately, you can be paid according to the hours you worked, and the time is drawn from available banks. Make sure you speak with your supervisor to get the required approvals to be away from work and/or to understand what is required of you prior to your departure. In extreme and unforeseen cases your time may be recorded by Human Resources on your behalf based on the information available.

Q. Is it acceptable to sell chocolates or raffle tickets or collect money for charitable associations at my work site during normal working hours?

A. Yes, subject to approval by your immediate supervisor.

Q. Can I access City assets for occasional personal use? What about infrequent phone calls? Can I call my child's daycare or make a medical appointment?

A. Yes. Incidental use of City assets for personal reasons is allowed as long as there is no negative impact on your performance, no abuse of paid work time or no added cost to the City. This includes telephone and cellular phone use. You need to be aware of the public perception of personal calls if you can be seen or heard by the public.

Q. Can I use my own personal smart phone during work hours?

A. Yes. Incidental use of a personal smart phone during work hours is allowed as long as there is no negative impact on your performance and no abuse of paid work time. You need to be aware of the public perception of personal calls if you can be seen or heard by the public.

Q. Can I do personal work at my workstation during my lunch hour?

A. Incidental use of your workstation is permissible as long as you are doing the work on your own time (i.e. lunch, breaks) and there is no cost to the City.

Q. Can I have outside work in addition to my employment at the City?

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A. Yes. As long as your outside work is not performed while you are on duty and/or after calling in sick, does not impact on your performance or the responsibilities for your City employment, and does not create a conflict of interest for you then it is allowed.

Q. I have to take a City vehicle home at night. If the grocery store is not out of my way, can I stop in the City vehicle?

A. Yes, however any use of a City vehicle for personal reasons must be logged so that Human Resources can calculate the taxable benefit portion of your vehicle use at the end of the year. You should limit personal use of the City vehicle where possible.

Q. I am permanently assigned a City vehicle (or am assigned a City vehicle when I am “On-Call”). Can I use it to run errands on the weekend?

A. Yes, however, you should limit personal use of the City vehicle where possible and the City vehicle should not be used for errands if you are being compensated by others for that use. If, however, you need to use the vehicle for personal reasons, you will need to maintain a log of personal use so that Human Resources can calculate the taxable benefit portion of your vehicle use at the end of the year.

Q. Can I take a City vehicle through the drive through when I am on my break/lunch?

A. Yes, however you need to be aware of public perceptions and ensure you do not stay longer than your break or lunch.

Q. Can I borrow a piece of City equipment to use over the weekend to do a personal job?

A. No. Personal use of City resources is prohibited.

Related Resources

Acceptable Use of Corporate Assets

Procurement By-Law

Purchasing Card (PCard) Policy and Procedures

Mobile Device Policy

Taxable Benefit Procedure

PROTECTING SENSITIVE INFORMATION

We will protect and use personal, third party commercial and sensitive information with the upmost of care. We are entrusted with personal, confidential and sometimes sensitive information from the Corporation, our business partners, residents and employees. Mishandling information can damage our reputation and can also result in penalties and fines against the Corporation and individual employees.

What does this mean?

We are often privy to confidential and sensitive information in the course of our duties. These records can include personal, medical, complaint, business and/or development information. We must take care when dealing with these types of records to ensure that no information is divulged or released without prior written consent. Insufficient protection of personal and third party commercial information could result in discipline up to and including dismissal.

Why is this important?

Our employees, residents and business owners expect us to protect all confidential and/or sensitive information. The Municipal Freedom of Information and Protection of Privacy Act also makes it a requirement for every employee to protect personal and third party commercial information. Employees, volunteers and contractors are required to treat all information they come across in the organization pertaining to employees, residents, taxpayers, service users, third parties, or the City itself as confidential. Information may not be removed from or disclosed outside the workplace unless appropriate written authorization has been given, or the information has been prepared for and already distributed to the public.

Things to Do

- Attend training offered by Records and Information Management about proper records and information management
- Handle, store and protect sensitive information in accordance with applicable requirements including the Corporate Records Retention By-law
- Only access personal information or personal data for legitimate business purposes and have prior authorization
- Respect the privacy and dignity of our employees and safeguard the confidentiality of employee records and information
- Prior to disclosing confidential information, ensure that the party providing the information has granted consent and recipients have the authority to view it
- Protect sensitive information even if you are no longer employed by the Corporation
- Take extra care when using social media to protect information about the Corporation, your colleagues, residents and yourself
- Report unauthorized access of personal and proprietary information
- Respect the privacy of persons and maintain confidentiality of complainants

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- Safeguard memory sticks that are utilized for work purposes

FAQs

Q. Can I bring confidential and/or sensitive information home in order to work on it?

A. Personal and third party commercial information about identifiable individuals cannot leave the workplace. Ideally, other confidential/sensitive information does not leave the workplace however if it is necessary to take the information away from your work location be sure to obtain proper approval.

Q. I received a phone call from a third party asking for information on an employee that includes their pay, address and date of birth. Through the course of my regular duties I have access to all of the information the person requires so can I provide it? What if they tell me that they have the employee's authorization to release the information?

A. No, not right away. Prior to disclosing this type of information you will need to confirm in writing that the employee has indeed authorized its release from them directly.

Q. Not all of my desk storage locks, can I store confidential information that I am working on overnight in the section that doesn't lock? Entry into my Department's work area is secured by fob-access.

A. No. Several employees outside of your normal co-workers have access to the work area which makes the access to your confidential information too easy. Employees who maintain the area such as IT and Corporate Facilities as well as Corporate Security and contractors often have unrestricted access. You will need to speak with your supervisor about the need for more secure storage or find a centralized secure storage area where your information can be kept.

Q. I collect personal information in the course of my duties at the City. What precautions should I be taking in collecting this information?

A. You should limit the collection of personal information and try to collect the information directly from the source. If you anticipate that you will want to share the personal information, get permission from the owner(s) of the personal information. In addition, personal information should be removed from desks or work areas if you are not in attendance or at the end of the day and should be disposed of in a confidential shredding console.

Q. Are there specific considerations for safeguarding sensitive information when I am using a cell phone?

A. Employees should avoid using cell phones to discuss personal information as cell phone conversations can be easily overheard or intercepted by scanners or other devices.

Q. What can I do to ensure that I am safeguarding sensitive information on my computer?

A. Log out or close your email or document windows when you will be away from your computer and do not share disks, CDs, laptops, data sticks and wireless devices that are used for work purposes with

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others unless they are City Staff or Councillors. Clearly mark emails and other records with sensitive information as “CONFIDENTIAL” in the subject line or the beginning of the message.

Q. Who do I contact if I need further information?

A. Please contact the Director of Legislative and Court Services/City Clerk or the Records and Information Supervisor/FOI Coordinator for further information.

Related Resources

MFIPPA

IPC Guideline: Protecting Personal Information When Working Outside of the Office

IPC Guideline: Protecting Personal Information

Access and Privacy Guides

Records Retention Program Policy

Confidential Information Policy

Accessing Employee Files Procedure

Confidential Medical Information Policy

Records Retention By-Law

COMPLIANCE

We will comply with the Code of Conduct and all applicable laws, regulations and City policies.

What does this mean?

Upon hiring, Human Resources must ensure each employee receives a copy of the Code of Conduct which sets out the City’s values, provides guidance and recommends actions so employees know what is expected of them. Supervisors must ensure that each employee signs the attached acknowledgement of compliance form (and/or confirms by other means approved by the Corporation i.e. electronic) to acknowledge that they have received, read, and understand the Code of Conduct as a condition of current and continued employment.

On an annual basis, each employee must sign an acknowledgement that they have read, understood and will comply with the Code of Conduct.

Employees with professional designations may be subject to more than one code of conduct. If a situation arises that may cause conflict or confusion between the applicable codes, speak with your supervisor.

Questions concerning the application, interpretation or disclosure procedures of the Code of Conduct should be directed to your supervisor. Violation of the Code of Conduct or failure to sign the acknowledgement of compliance with the Code of Conduct may result in disciplinary action, up to and including dismissal. If you think you are or may be in conflict with the Code of Conduct, you must notify your supervisor to determine necessary actions.

Why is this important?

Compliance with the Code of Conduct is an expectation of employment for each employee of the City. Compliance creates an environment that encourages a specific standard of behaviour, supports our values, lessens confusion and promotes equality and respect in the workplace.

Things to Do

- Read and understand the Code of Conduct, ask your supervisor if you have any questions or need clarification
- Upon hiring and on an annual basis, sign the Code of Conduct Annual Acknowledgement of Compliance form and submit to the Human Resources Department.

FAQ

Q. What are some examples of non-compliance with the Code of Conduct?

A. Examples of non-compliance include, but are not limited to, the following:

APPENDIX "B" – CODE OF CONDUCT HANDBOOK

- Discriminating against or harassing an employee or member of the public
- Bodily assault to any person on City property
- Falsification of reports, attendance records, or other records of the City
- Fraud committed by approval of payments for goods not received or services not performed
- Misuse or abuse of City tools or equipment, including improper use of computers, internet, printers, photocopiers, faxes and e-mail
- Unauthorized possession of any City property, equipment or materials
- Stealing or attempting to steal property from any individual on City property
- Releasing personal information about an individual
- Destroying records outside of approved retention policies

Related Resources:

All City policies

RAISING CONCERNS

We must strive to live by the City’s core values and our Code of Conduct. We will report actual or potential violations of the Code of Conduct to our Supervisor or through the City’s Fraud and Wrongdoing Program. Concerns that are reported to the City will be treated with confidentiality and will be protected from any reprisal or retaliation.

What does this mean?

As part of being accountable to each other and to the City, each of us has an obligation to report, in good faith, all actual or potential violations of this Code of Conduct.

We will not permit retaliation of any kind against good faith reports or complaints of violations of this Code or other illegal or unethical conduct. Employees who knowingly make false reports or complaints of violations of this Code or other illegal or unethical conduct will be subject to discipline up to and including dismissal.

We must report actual or potential violations of this Code of Conduct to our supervisor or manager. The City has also implemented the Fraud and Wrongdoing Program which provides additional methods of reporting to enable employees to provide information on suspected fraud or wrongdoing in a private, confidential and anonymous manner if desired 24 hours a day, 7 days a week. The Fraud and Wrongdoing Program is operated independently by a third party and is accessible by phone, Internet or P.O. Box.

Why is this important?

The City can only respond and act on what is known and factual. Raising issues or concerns in good faith helps safeguard the City’s integrity, ethical culture and reputation.

It reflects poorly on all of us when employees of the City behave in ways that are fraudulent or unethical. Addressing concerns about actual or potential violations of this Code of Conduct improves the perspective of everyone at the City.

Things to Do

- Talk to your supervisor if you have concerns about actions or events at the City
- If you are not comfortable speaking to your supervisor, or the concern involves your supervisor, report the concern to the Chief Administrative Officer, the Director of Internal Audit, or through the Fraud and Wrongdoing Program

Related Resources

Fraud and Wrongdoing Procedure
Investigating Complaints Procedure

APPENDIX "B" – CODE OF CONDUCT HANDBOOK

DEFINITIONS

Supervisor: a non-union management staff, or designate, who has responsibility for the oversight of employees.

Integrity: the quality of being honest and having strong moral principles; moral uprightness.

Discrimination: the unjust or prejudicial treatment of different categories of people or things.

Neutrality: the state of not supporting or helping either side in a conflict, disagreement, etc.; impartiality.

Ambassadors: a person who acts as a representative or promoter of a specified activity.

Perceived: interpret or look on (someone or something) in a particular way; regard as.

Asset: property owned by a person or company, regarded as having value and available to meet debts, commitments, or legacies; a useful or valuable thing.

Ethical: relating to moral principles or the branch of knowledge dealing with these.

Acknowledge: accept or admit the existence or truth of.

APPENDIX "B" – CODE OF CONDUCT HANDBOOK

**Code of Conduct
Annual Acknowledgment of Compliance Form**

I _____ acknowledge and confirm that I received a copy of the City's Code of Conduct. I have read and understand the Code of Conduct, acknowledge that I must comply with its provisions, and that knowingly violating the Code of Conduct may result in disciplinary action up to and including dismissal.

Signature

Printed Name

Date

APPENDIX "B" – CODE OF CONDUCT HANDBOOK

Conflict of Interest Notification Form

Employee's Name

Position

Department

Employee's Immediate Exempt Supervisor

Employee's Department Head

Subject:

Details of conflict of interest, question of conflict of interest, receipt or offer of gift or benefit etc.:

Employee's signature

Date:

Action taken by Department Head

Department Head's signature
Noted/Action by General Manager/Executive Director

Date

General Manager/Executive Director's signature
Noted/Action by Director of Human Resources:

Date

Director of Human Resources' signature

Date



Section: XXX

Parent Policy: XXX

Sub-section: XXX

Subject: Fraud and Wrongdoing

Procedure #: XXX

Effective Date: xxx

PROCEDURE

PURPOSE STATEMENT

The City of Barrie is committed to accountability, transparency, responsibility and sound ethical operating practices, and will protect its revenue, property, records, information, and other assets.

The City will take appropriate measures to prevent, deter, detect, report, and investigate suspected Fraud and Wrongdoing, and create and maintain an environment in which employees can report incidents in good faith without fear of retaliation.

SCOPE

The purpose of this policy is to establish specific responsibilities regarding the Fraud and Wrongdoing Program which manages the reporting and investigation of allegations of Fraud and Wrongdoing at the City of Barrie.

This policy applies to all City of Barrie employees inclusive of all regular full-time, part-time, contract and temporary employees, including seasonal and recreation staff, and students.

PROCEDURE

General

1. It is the City's intention to investigate alleged Fraud and Wrongdoing which is reported to it. An objective and impartial investigation of reports will be conducted regardless of the position, title, length of service, or relationship with the City of a party who is involved in the report of alleged Fraud and Wrongdoing.
2. Employees have a duty to report concerns of Fraud and Wrongdoing and must cooperate fully in any City investigations arising from reported concerns.
3. The City will make every reasonable attempt to pursue recovery of City losses from acts of Fraud and Wrongdoing.

Reporting and Investigation

4. City employees shall report in writing any suspected instance or allegation of Fraud or Wrongdoing to their Supervisor or the Director of Internal Audit. If the employee fears retaliation or desires anonymity, they may file a report with or without revealing their own identity through the Fraud and Wrongdoing Program.
5. Departments that receive reports of Fraud and Wrongdoing shall report them to the Director of Internal Audit for centralized case management.
6. Upon receiving a report, the Director of Internal Audit will consider and assess the nature of the reported concern and determine whether it relates to Fraud and Wrongdoing or other matters.



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7. If the report relates to other matters, the Director of Internal Audit will refer the concern to the appropriate department. If the report relates to Fraud and Wrongdoing, the Director of Internal Audit will refer the report to a Committee comprised of the Director of Legal Services, the Director of Human Resources, the Chief Administrative Officer and the Director of Internal Audit (the "Committee") to investigate if necessary.
8. If a member of the Committee is named in the Fraud and Wrongdoing report then that member will not be advised of nor included in the Committee for the review and investigation of the report.
9. If, during the course of an investigation, the Committee has reason to believe that a law has been broken, the Committee will report the matter to the police.
10. At the conclusion of a significant investigation, the Committee may provide a report of the investigation results to the Finance and Corporate Services Committee. On an annual basis, the Director of Internal Audit will prepare a summary of all Fraud and Wrongdoing reports received and their status and/or disposition to the Finance and Corporate Services Committee.

Confidentiality

11. All participants in an investigation are required to keep the details and results of an on-going investigation confidential, except where disclosure is required or authorized by law.

Employee Protection

12. The City will protect from retaliation employees who report in good faith allegations of Fraud and Wrongdoing.
13. It is a violation of this policy to retaliate against an employee who alleged Fraud or Wrongdoing in good faith or who participated in an investigation conducted under this policy. Employees who believe they are being retaliated against should contact the Director of Internal Audit. The allegations of retaliation will be received and investigated in the same manner as an allegation of Fraud and Wrongdoing under this procedure.
14. Employees who knowingly make false allegations of Fraud and Wrongdoing will be subject to discipline up to and including dismissal.

Limitation

15. The Fraud and Wrongdoing policy is not intended for reporting concerns of a general nature by employees about City Council or management including reports that are normally handled by departments or Human Resources.



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RESPONSIBILITIES

Employee

- Report concerns of Fraud and Wrongdoing at the City to their Supervisor, Internal Audit or through the Fraud and Wrongdoing Program
- Cooperate fully in an investigation and keep information about the report and/or investigation confidential

Supervisor/Manager

- Be aware of the potential for Fraud and Wrongdoing and proactively implement prevention strategies
- Act immediately on becoming aware of possible Fraud and Wrongdoing
- Communicate reports of Fraud and Wrongdoing to Internal Audit for assessment and centralized case management
- Cooperate fully, make staff available to participate in investigations, and keep any information about the report or on-going investigation confidential

Department Head/General Manager/Executive Director/Chief Administrative Officer

- Institute and maintain a system of internal control to provide reasonable assurance for the prevention and detection of Fraud and Wrongdoing
- Act immediately on receiving a Fraud and Wrongdoing report
- Communicate reports of Fraud and Wrongdoing to Internal Audit for assessment and centralized case management
- Cooperate fully, make their staff available to participate in investigations, and keep any information about the report or on-going investigation confidential

Director of Internal Audit

- Manage and administer the Fraud and Wrongdoing Program and individual reports, including the assessment and centralized case management of all Fraud and Wrongdoing reports and escalation to the Committee for investigation
- Report annually to the Finance and Corporate Services Committee on the program's activities
- Keep any information about the report and/or on-going investigations confidential

Committee

- Assess Fraud and Wrongdoing concerns reported through the Fraud and Wrongdoing Program including the determination as to whether investigation of the reported concern is required
- Report to the police if an investigation indicates there is reason to believe a law has been broken
- At the conclusion of a significant investigation, provide a report to the Finance and Corporate Services Committee of the investigation results



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REFERENCES AND RELATED DOCUMENTS

Employee Code of Conduct Policy

Employee Code of Conduct Handbook

DEFINITIONS

Fraud and Wrongdoing: refers to intentional violations of the City's Code of Conduct including but not limited to the misappropriation or misuse of City assets

Fraud and Wrongdoing Program: refers to the program available to all City of Barrie Staff to report concerns of Fraud and Wrongdoing as well as the process for the assessment, investigation if necessary and ultimate disposition of reported concerns. Concerns through the Fraud and Wrongdoing Program can be reported:

- To your Supervisor
- To the Director of Internal Audit
- To the independently operated third party engaged by the City to receive reports of concerns offering anonymity if desired (by phone to a 1-800 number, through a secure website or to by mailing to a P.O. Box)

Good faith: refers to any sincere, honest intention or belief

Retaliation: refers to oral or written reprimand, suspension, termination, loss of advancement opportunities, change in duties, reduction in pay, change in reporting structure, change in work location, harassment, threats, coercion, interference or intimidation at work directed at an employee reporting or participating in an investigation of Fraud and Wrongdoing

Supervisor: refers to the staff position to which an employee normally reports



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LOG OF CHANGES

(This document should include any and all changes to the procedure and be kept separately from the procedure itself for document management purposes).

DATE	SPECIFIC CHANGE	EDITOR'S NAME	REASON FOR CHANGE