

Memorandum

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CITY SECRETARY
DALLAS, TEXAS



CITY OF DALLAS

DATE: October 31, 2013

TO: Members of the Budget, Finance & Audit Committee:
Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane, Philip T. Kingston

SUBJECT: Budget, Finance & Audit Committee Meeting

Monday, November 4, 2013, 1:00 p.m.

Dallas City Hall - 6ES, 1500 Marilla St., Dallas, TX 75201

The agenda for the meeting is as follows:

1. Consideration of minutes from the October 7, 2013 Budget, Finance & Audit committee meeting
2. Apartment Complex Summer Swim
Gordon Echtenkamp, President and CEO
YMCA of Metropolitan Dallas
3. North Texas Giving Day Recap
Carol Goglia, Director of Marketing
Communities Foundation
4. Ethics Update
Yasmin Barnes, Assistant Director
Human Resources

FYI:

5. Upcoming Agenda Item- Mobile Concrete Master Agreement
6. Quarterly Investment Report as of September 30, 2013



Jerry R. Allen, Chair
Budget, Finance & Audit Committee

c: Honorable Mayor and Members of the City Council
A.C. Gonzalez, Interim City Manager
Warren M. S. Ernst, City Attorney
Rosa A. Rios, City Secretary
Daniel F. Solis, Administrative Judge
Craig D. Kinton, City Auditor
Ryan S. Evans, Interim First Assistant City Manager
Jill A. Jordan, P.E., Assistant City Manager

Forest E. Turner, Assistant City Manager
Joey Zapata, Assistant City Manager
Charles M. Cato, Interim Assistant City Manager
Theresa O'Donnell, Interim Assistant City Manager
Jeanne Chipperfield, Chief Financial Officer
Frank Librio, Public Information Officer
Elsa Cantu, Assistant to the City Manager

A quorum of the Dallas City Council may attend this Council Committee meeting.

A closed executive session may be held if the discussion of any of the above agenda items concerns one of the following:

1. Contemplated or pending litigation or matters where legal advice is requested of the City Attorney. Section 551.071 of the Texas Open Meetings Act.
2. The purchase, exchange, lease or value of real property, if the deliberation in an open meeting would have a detrimental effect on the position of the City in negotiations with a third person. Section 551.072 of the Texas Open Meetings Act.
3. A contract for a prospective gift or donation to the City, if the deliberation in an open meeting would have a detrimental effect on the position of the City in negotiations with a third person. Section 551.073 of the Texas Open Meetings Act.
4. Personnel matters involving the appointment, employment, evaluation, reassignment, duties, discipline or dismissal of a public officer or employee or to hear a complaint against an officer or employee. Section 551.074 of the Texas Open Meetings Act.
5. The deployment, or specific occasions for implementation of security personnel or devices. Section 551.076 of the Texas Open Meetings Act.

Budget, Finance & Audit Committee

Meeting Record- DRAFT

Meeting Date: 10-07-2013

Convened: 1:02 p.m.

Adjourned: 2:05 p.m.

Committee Members Present:

Jerry R. Allen, Chair
Jennifer Staubach Gates, Vice-Chair
Tennell Atkins
Sheffie Kadane
Philip T. Kingston

Staff Present:

Jeanne Chipperfield, Jack Ireland, Jing Xiao, Edward Scott, Lance Sehorn, Donna Lowe, James Martin, Craig Kinton, Adelia Gonzalez

AGENDA:

1. Approval of the September 3, 2013 minutes

Presenter(s):

Information Only: —

Action Taken/Committee Recommendation(s):

A motion was made to approve the September 3, 2013 minutes. Motion passed unanimously.

Motion made by: Sheffie Kadane

Motion seconded by: Tennell Atkins

2. Communications Related to the FY2013 Audit

Presenter(s): Ben Kohnle, Partner, Grant Thornton, LLP

Information Only: X

Action Taken/Committee Recommendation(s):

N/A

3. FY2013-14 Reserves

Presenter(s): Jack Ireland, Director, Office of Financial Services

Information Only: X

Action Taken/ Committee Recommendation(s):

N/A

4. Fee Study Results-Code Compliance Department

Presenter(s): James Martin, Director, Code Compliance

Information Only: —

Action Taken/Committee Recommendation(s):

A motion was made to recommend approval by the City Council on Tuesday, October 8, 2013. Motion passed unanimously.

Motion made by: Tennell Atkins

Motion seconded by: Sheffie Kadane

Budget, Finance & Audit Committee

Meeting Record- **DRAFT**

FYI

5. August 2013 Financial Forecast Report

Presenter(s): N/A

Information Only:

Action Taken/ Committee Recommendation(s):

N/A

Jerry R. Allen, Chair

Budget, Finance & Audit Committee

Memorandum



DATE November 1, 2013

TO Members of the Budget, Finance & Audit Committee: Jerry R. Allen (Chair),
Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane,
Philip T. Kingston

SUBJECT Apartment Complex Summer Swim

The Monday, November 4, 2013, Budget, Finance and Audit Committee agenda will include a briefing on the Apartment Complex Summer Swim Program. The briefing will be presented by Gordon Echtenkamp, President and CEO of the YMCA of Metropolitan Dallas.

Please contact me if you need additional information.



Jeanne Chipperfield
Chief Financial Officer

Attachment

c: Honorable Mayor and Members of the City Council	Jill A. Jordan, P.E., Assistant City Manager
A.C. Gonzalez, Interim City Manager	Forest E. Turner, Assistant City Manager
Rosa A. Rios, City Secretary	Joey Zapata, Assistant City Manager
Warren M.S. Ernst, City Attorney	Charles M. Cato, Interim Assistant City Manager
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Apartment Complex Summer Swim

City of Dallas
Budget, Finance & Audit Committee
November 4, 2013



SAFE SWIMMING SAVES LIVES

According to the CDC, formal swimming lessons can reduce the risk of drowning by 88% among children ages 1-4.

FACTS

In Texas, drowning is the leading cause of accidental death among children

Dallas county outranks all other counties in this region for fatal and nonfatal drowning

Minority children between the ages of 5 and 14 are three times more likely to drown than white children in the same age range.

The Y – we teach America to swim

- 100 year history
- Community Awareness Program
Know Before you Go
- Regional Impact – 13,000 kids
- Focus on at-risk kids

MAKE A SPLASH

Providing families who live in Dallas area apartment communities with knowledge and skills that will result in safer behaviors around water

Main teaching points for children:

- Never swim alone
- Wear appropriate floatation devices
- Teaches basic water safety
- Swim skills that result in basic survival

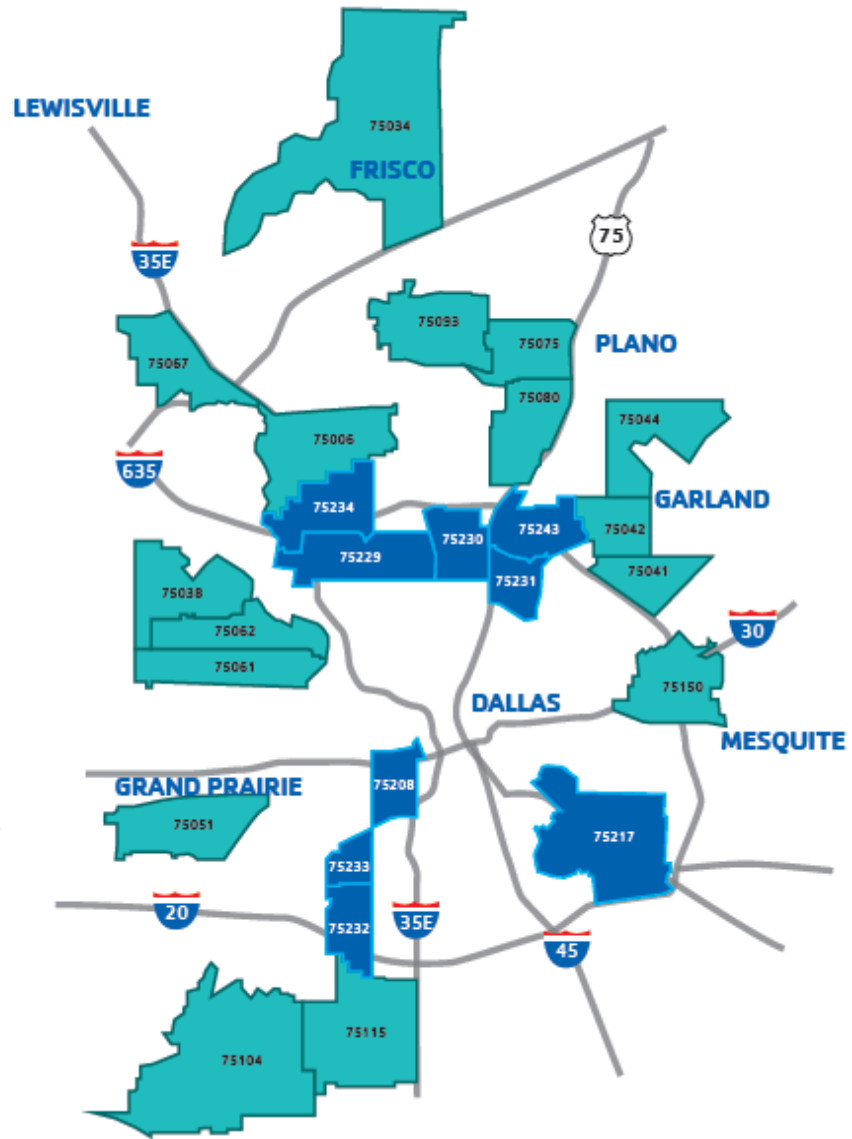




MAKE A SPLASH

Areas Served

- 118 Apartment Communities Served
- 77 Apartment Communities in the City of Dallas
- 3000 kids attended lessons



MAKE A SPLASH

2013 assessment results

	Pre-Test	Post-Test
Climb out	76%	95%
Swim 15 feet	39%	66%
Jump in deep water & return to wall	46%	73%



Memorandum



DATE November 1, 2013

TO Members of the Budget, Finance & Audit Committee: Jerry R. Allen (Chair),
Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane,
Philip T. Kingston

SUBJECT North Texas Giving Day Recap

The Monday, November 4, 2013, Budget, Finance and Audit Committee agenda will include a North Texas Giving Day Recap briefing. The briefing will be presented by Carol Goglia, Director of Marketing and Communications of Communities Foundation of Texas.

Please contact me if you need additional information.



Jeanne Chipperfield
Chief Financial Officer

Attachment

c: Honorable Mayor and Members of the City Council	Jill A. Jordan, P.E., Assistant City Manager
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North Texas Giving Day Recap
November 4, 2013 • Carol Goglia • cgoglia@cftexas.org

Agenda for Today



1. What is Communities Foundation of Texas?
2. What is DonorBridge?
3. What is North Texas Giving Day?
4. How can you help?



What is Communities Foundation of Texas?





What do we do?



Easy to remember: 4Gs



Gifts

Grow

Guide

Give

DonorBridge powers wise giving



The Power to Give Wisely

- DonorBridge is a dynamic online resource that connects people who want to give their time or money to the nonprofit organizations in North Texas that fit their interests
- It includes 1,400 straightforward profiles of North Texas nonprofits
- As a result, gathering reliable information, making charitable gifts and addressing community needs is simpler
- DonorBridge powers North Texas Giving Day
- Communities Foundation of Texas runs DonorBridgeTX.org and presents North Texas Giving Day

North Texas Giving Day has raised \$60+ million in 5 one day events!





SEPT
19

NORTH TEXAS GIVING DAY

September 19, 2013

7am - Midnight

Give \$25 or more to
North Texas Food Bank through
DonorBridgeTX.org
on September 19 and your
donation will be multiplied!

get up & give!



DONOR
BRIDGE

DONORBRIDGE
The Power to Give Wisely

powered by
COMMUNITIES
FOUNDATION of TEXAS





\$25.2 Million Dollars

75,000 Donations

1,350 Nonprofits

1 Record



26% First time donors

50% Multiple givers

59% Gifts \leq \$100

35+ Countries

North Texas Giving Day 2013



North Texas Giving Day 2013



North Texas Giving Day 2013



North Texas Giving Day 2013



North Texas Giving Day 2013



North Texas Giving Day 2013



North Texas Giving Day 2013



Toasting to \$22.2 million as of
9:45pm on Giving Day



North Texas Giving Day 2013



North Texas Giving Day 2013



Thank you,
North Texas



We hit \$25.2 million on
North Texas Giving Day!

Memorandum



DATE November 1, 2013

TO Members of the Budget, Finance & Audit Committee: Jerry R. Allen (Chair),
Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane,
Philip T. Kingston

SUBJECT Ethics Update

The Monday, November 4, 2013, Budget, Finance and Audit Committee agenda will include an Ethics Program update.

Attached, for your review, is the complete briefing containing program progress updates, the number of employees trained to date, and the next steps related to our continued efforts to encourage a strong culture of ethics at the City of Dallas.

Please contact me if you need additional information.



Jeanne Chipperfield
Chief Financial Officer

Attachment

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Ethics Update

Budget, Finance, & Audit Committee
November 4, 2013



Purpose

- ▶ To provide information on the progress of the citywide employee Ethics initiative including
 - Background information
 - Ethics training program development
 - Ethics training implementation
 - Ethics training session survey results
 - Next steps and continued ethics education efforts

Background

City Management and City Council Actions

- ▶ In response to the City Auditor's recommendations, management agreed to enhance the City's ethics program by assessing the existing program as well as initiating an on-going training program for City employees
- ▶ On August 6, 2012, the Budget, Finance and Audit Committee was briefed on the vendor recommendation
- ▶ On August 22, 2012, the Dallas City Council approved Resolution 12-2154 authorizing a three-year consultant contract with Navigant Consulting, Inc.

Background

Navigant Consulting, Inc. Scope of Work: Year 1 & 2

- ▶ Provide initial assessment on the City's ethics program and culture to be utilized to develop specific training for City employees
- ▶ Conduct a review of related documents
- ▶ Facilitate focus groups and provide updated ethics program
- ▶ Provide instructor led training for City employees tailored to specific employee levels
- ▶ Develop and provide materials designed for continued learning and renewed focus on ethics

Background

Navigant Consulting, Inc. Scope of Work: Year 2 & 3

- ▶ Provide post-assessment after all training is complete to evaluate the effectiveness of the program
- ▶ Provide professional training to City staff who will facilitate training going forward

Ethics Training Program Development

Pre-Program and Curriculum Development Activities & Research

- ▶ Navigant Consulting, Inc representatives
 - Reviewed numerous COD ethics related documents including Personnel Rules, Gift Policy, recent ethics audit results, and ethics related DPD and DFR documents
 - Interviewed City employees whose responsibilities include providing guidance on ethics matters including the City Manager's Office, City Auditor's Office, City Attorney's Office, and Human Resources Employee Relations Manager
 - Facilitated ten focus groups including over 100 employees
 - DFR (2 sessions, 20 employees scheduled)
 - DPD (2 sessions, 21 employees scheduled)
 - Administrative (1 session, 12 employees scheduled)
 - Field/Ops (1 session, 15 employees scheduled)
 - Professional/Technical (1 session, 14 employees scheduled)
 - Supervisors (1 session, 14 employees scheduled)
 - Managers (1 session, 15 employees scheduled)
 - Directors/Assistant Directors (1 session, 12 employees scheduled)

Ethics Training Program Development

Focus Group Findings: Strengths

- ▶ **Strong Workforce Conscience**
 - Employees expressed the need and desire to act and be perceived as behaving ethically
 - Employees understand that they are the face of the City and that their actions are the reflection of the entire organization
 - Employee Advisory Committees improve employees' perception of the City's commitment to ethical behavior

Ethics Training Program Development

Focus Group Findings: Strengths

- ▶ **Wealth of Rules Promoting Ethical Behavior**
 - Employees are generally familiar with the policies, procedures, and standards specific to their particular departments and pertaining to their rules of conduct
 - Employees described numerous existing policies, procedures, departmental standards and rules of conduct and ethics; such as personnel rules, professional codes of conduct and the gift policy

Ethics Training Program Development

Focus Group Findings: Strengths

- ▶ Commitment to a successful ethics program
 - Employees were open, honest, and willing to share sensitive and/or controversial issues during the focus groups in order to improved the City's ethics program
 - Employees expressed that the focus groups allowed them to contribute to the development of the ethics program

Ethics Training Program Development

Focus Group Findings: Opportunities for Improvement

- ▶ Employees expressed
 - Confusion related to the multitude of governing documents.
 - That they would like to have one expert to consult for guidance related to ethics
 - That there were several definitions of ethics and were not sure what truly constituted an ethics violation
 - That they knew the Code of Ethics existed but have not read it completely or at all
 - A lack of understanding of the ethics violation reporting process

Ethics Training Program Development

Consultant Recommendations

Navigant Consulting, Inc. Recommendations	Status
Review the department/professional codes of conduct, personnel rules and other supplemental documents to ensure they are consistent with the City's COE.	Complete
Include a preamble in the supplemental documents informing readers of the importance of the COE and their obligation to abide by the COE.	Draft Complete See Appendix A
Develop and conduct an ethics training program for City employees that will further reinforce their understanding of and commitment to the COE.	Complete
At a minimum, the COE training should be available in English and Spanish. If a guide to the COE is developed, it should also be translated to Spanish.	Complete
COE training delivery should include non-computer-based methods to accommodate City employees with limited computer access or literacy levels.	Complete
Clearly stipulate in the COE that whistle-blowers will be protected from any form of retaliation.	Complete
Implement a City-wide process for checking an applicant's references and background information.	Complete
Develop and implement a training course for individuals promoted / hired to leadership positions, focusing on how to counsel employees who approach leaders regarding potential ethics violations.	Complete

Ethics Training Program Development

Consultant Recommendations

Navigant Consulting, Inc. Recommendations	Status
<p>Appoint an Ethics Officer, or an individual with a similar role as a collateral responsibility, who has the appropriate resources and level of autonomy. This person should be at the executive level and be accountable for the City's ethics program and functions.</p>	<p>Funding for FTE included in the FY13/14 Budget</p>
<p>Simplify the reporting process and use the City's Fraud hotline for the reporting of ethics violations. Broadly communicate the independence of the hotline and advertise the hotline details through multiple means, such as posters, website, and decals on key cards.</p>	<p>Responsibility of the Ethics Resources General Manager</p>
<p>Implement a City-wide ethics campaign to further highlight and reinforce the ethics training program and on-going commitment to ethics and compliance. Consider creating and implementing a program to recognize and reward ethical conduct.</p>	<p>Responsibility of the Ethics Resources General Manager</p>
<p>Develop questions to assess a candidate's character during new hire/promotion.</p>	<p>Responsibility of the Ethics Resources General Manager</p>
<p>Develop, document and implement a method for assessing and testing the efficacy of the Ethics Program, including any resulting program modifications. The assessments should be on-going and conducted by qualified individuals.</p>	<p>Responsibility of the Ethics Resources General Manager</p>
<p>Develop and issue a guide to the City's COE that is easy to read and understand and contains hypothetical scenarios that reinforce appropriate and/or inappropriate behaviors.</p>	<p>Responsibility of the Ethics Resources General Manager</p>

Though the Ethics Resources General Manager has not been hired, steps have been taken to ensure that the Code of Ethics is easily accessible to employees. A highly visible link, leading directly to the COE, was placed on the City's Intranet.

City of Dallas

Welcome to the City of Dallas Intranet

Home | Depts/Offices | Help/Training | Benefits | Contacts | Projects | Publications | Employee In

Quick Links

Code of Ethics

EMPLOYEE DISCOUNTS!

Quest
Manage Your
Network Password

Highlights...

Visit the New
HUMAN RESOURCES
Your Centralized Portal for HR

- New Pay Code for "Exception Only" Employees

WELLPOINTS

Events & Announcements

ER or Concentra?

Ethics Training Implementation:

Course Structure

▶ Two-Hour Course

- One hour: Common to all employees
- ½ hour: Work group specific information
- ½ hour: Custom group exercises

▶ Course Curriculum

- Clearly define ethics
- Introduces City Code of Ethics
- Covers and reviews
 - Ethics violations reporting process
 - Investigation process
- Transitions to work group focused curriculum
- Includes a decision tree
 - Appendix B
- Encourages attendee interaction through customized exercises designed to aid in ethical decision making

Ethics Training Implementation:

Scheduling & Logistics

▶ To date

- 34 training city wide training days scheduled
 - Additional smaller trainings being held for Uniformed personnel
- Over 220 training sessions held at over 30 locations
- **9989 employees trained**
 - 5817 Civilian
 - 4172 Uniform
- Two hours of Continued Education Units (CEUs) provided to attendees for certification renewal purposes

Ethics Training Survey Results

Overall responses indicate that the training program was a success.

Survey Responses (All Respondents 8578)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	7944
	Neutral	512
	Disagree/Strongly Disagree	122
I can apply the material I learned	Strongly Agree/Agree	7232
	Neutral	1071
	Disagree/Strongly Disagree	395
The content was easy to follow	Strongly Agree/Agree	7802
	Neutral	732
	Disagree/Strongly Disagree	172
The exercises helped me understand the content	Strongly Agree/Agree	7026
	Neutral	1206
	Disagree/Strongly Disagree	405
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	6462
	Neutral	1447
	Disagree/Strongly Disagree	727
The instructor was knowledgeable	Strongly Agree/Agree	7917
	Neutral	563
	Disagree/Strongly Disagree	159
The instructor was prepared	Strongly Agree/Agree	7903
	Neutral	500
	Disagree/Strongly Disagree	168
The training goals were stated and met	Strongly Agree/Agree	7587
	Neutral	810
	Disagree/Strongly Disagree	241
The training met my expectations	Strongly Agree/Agree	6745
	Neutral	1388
	Disagree/Strongly Disagree	504
This course was worth attending	Strongly Agree/Agree	6522
	Neutral	1183
	Disagree/Strongly Disagree	903
We had enough time for training	Strongly Agree/Agree	7692
	Neutral	772
	Disagree/Strongly Disagree	271

Ethics Training Survey Results

An overwhelming majority of the Civilian employees strongly agreed or agreed that the training was a success and that useful information was relayed.

Civilian Employee Survey Responses (4797 Responses Received)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	4485
	Neutral	251
	Disagree/Strongly Disagree	61
I can apply the material I learned	Strongly Agree/Agree	4450
	Neutral	374
	Disagree/Strongly Disagree	95
The content was easy to follow	Strongly Agree/Agree	4561
	Neutral	288
	Disagree/Strongly Disagree	77
The exercises helped me understand the content	Strongly Agree/Agree	4320
	Neutral	443
	Disagree/Strongly Disagree	95
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	4596
	Neutral	216
	Disagree/Strongly Disagree	45
The instructor was knowledgeable	Strongly Agree/Agree	4568
	Neutral	234
	Disagree/Strongly Disagree	55
The instructor was prepared	Strongly Agree/Agree	4501
	Neutral	214
	Disagree/Strongly Disagree	75
The training goals were stated and met	Strongly Agree/Agree	4460
	Neutral	322
	Disagree/Strongly Disagree	75
The training met my expectations	Strongly Agree/Agree	4130
	Neutral	600
	Disagree/Strongly Disagree	127
This course was worth attending	Strongly Agree/Agree	4209
	Neutral	453
	Disagree/Strongly Disagree	165
We had enough time for training	Strongly Agree/Agree	4461
	Neutral	354
	Disagree/Strongly Disagree	142

Ethics Training Survey Results

A majority of the Uniform employees strongly agreed or agreed that the training was a success and that useful information was relayed.

Uniform Employee Survey Responses (3781 Responses Received)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	3459
	Neutral	261
	Disagree/Strongly Disagree	61
I can apply the material I learned	Strongly Agree/Agree	2782
	Neutral	697
	Disagree/Strongly Disagree	300
The content was easy to follow	Strongly Agree/Agree	3241
	Neutral	444
	Disagree/Strongly Disagree	95
The exercises helped me understand the content	Strongly Agree/Agree	2706
	Neutral	763
	Disagree/Strongly Disagree	310
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	3166
	Neutral	814
	Disagree/Strongly Disagree	593
The instructor was knowledgeable	Strongly Agree/Agree	3349
	Neutral	328
	Disagree/Strongly Disagree	104
The instructor was prepared	Strongly Agree/Agree	3402
	Neutral	286
	Disagree/Strongly Disagree	93
The training goals were stated and met	Strongly Agree/Agree	3127
	Neutral	488
	Disagree/Strongly Disagree	166
The training met my expectations	Strongly Agree/Agree	2615
	Neutral	788
	Disagree/Strongly Disagree	376
This course was worth attending	Strongly Agree/Agree	2313
	Neutral	730
	Disagree/Strongly Disagree	738
We had enough time for training	Strongly Agree/Agree	3231
	Neutral	418
	Disagree/Strongly Disagree	132

Next Steps

▶ Navigant will

- Conduct an analysis of the training survey results and develop a post-training assessment plan
- Develop and provide materials designed for continued learning and renewed focus on ethics
 - Produce 5 videos for utilization on the intranet and during department meetings/trainings
 - Craft messages and training refreshers to be used as city-wide email blasts

Next Steps

▶ COD Staff will

- Ensure that the Ethics Resources General Manager position specifications are completed and the position is filled by February 1, 2014
- Work to ensure that all consultant recommendations are implemented
- Continue providing *Choosing The Ethical Path* training for new employees on a quarterly basis and as department wide trainings as requested

Appendix A



The *Code of Ethics Preamble* was drafted at the direction of Navigant Consulting, Inc. representatives. This document remains in draft form.

DRAFT – NOT FOR DISTRIBUTION

City of Dallas Code of Ethics
PREAMBLE

A MESSAGE THE MAYOR AND CITY MANAGER

Reputation is a priceless asset. At the City of Dallas, we have worked hard to earn our reputation as a responsible and ethical municipality. We are extremely proud of this reputation and believe that all City officials and employees share this pride as well.

Our actions are the foundation of our reputation. Reaching our goals is critical to our success, but how we achieve them is just as important. The residents of Dallas trust us to deliver results with the expectation that we do so in an ethical manner. Every decision and action you take on behalf of the City must be assessed in light of what is right, legal, and fair. Ethical lapses at any level quickly destroy the public's trust and confidence and lead to significant consequences.

The City's Code of Ethics serves as a roadmap for how we can meet the City's strong commitment to the highest standards of integrity, professionalism and fairness. These standards shape our thinking, guide our work and drive our results. The Code applies to every City official and employee and serves as a written record of not only the expectations, but also the ethical culture. All those working on behalf of the City must conduct themselves according to the language and spirit of the Code and seek to avoid even the appearance of improper behavior.

We encourage you to read the Code of Ethics carefully, refer to it often and be guided by it in your day-to-day work. If you have any questions or concerns about any aspect of the Code, please consult your manager or contact the Human Resources Call Center at 214-671-MYHR (6947).

We are eager for all of us to join together and collectively commit to strengthening the City's culture of integrity, honesty, and accountability. Thank you for your ongoing efforts and contributions on behalf of the City of Dallas. Our reputation is created and maintained on the basis of the good decisions you make for us every day.

Mike Rawlings, Mayor
City of Dallas

A.C. Gonzalez, Interim City Manager
City of Dallas

Appendix B

Ethics:

- The discipline dealing with what is **good** and **bad** and with moral duty and obligation
- A set of moral **principles**; a theory or system of **moral values**

Dallas' Code of Ethics demands that **city officials** and **employees** be **independent** and **impartial** and **responsible only** to the people of the City of Dallas.

Access: Code of Ethics
Dallas City Code, Chapter 12A

www.DallasCityhall.com
OR
Intranet/Publications/Ethics Code

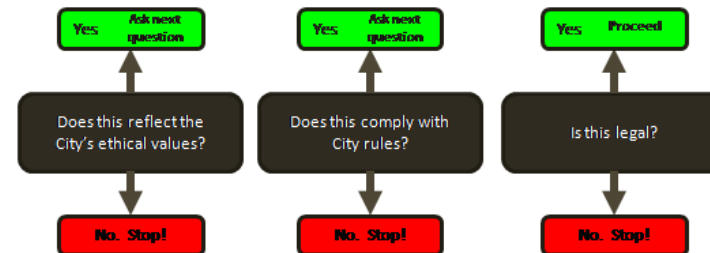


General Ethics Code Guidance

- Shun improper economic benefit
- Avoid unfair advancement of private interest
- Decline influential gifts
- Protect confidential information
- Reject representation of private interests to City colleagues
- Avoid conflicting outside employment
- Use public property and resources for City business
- Support political activity as an individual, not a City employee
- Refrain from inducing or coercing others to violate ethics code
- Report any form of discrimination, mistreatment, harassment or retaliation

The *Quick Guide: Choosing the Ethical Path* handout provided to each session participant. This informational document is meant to be a resource for employees when faced with ethics related decisions.

Decision Tree to Respond to Ethical Dilemmas



Not Sure? Ask.

Whether you have a question about your own conduct or whether to report another's conduct, these sources can help you determine whether something is unethical.

- Supervisor/Manager
- Ethics Coordinator or Ask HR | 214.671.MYHR (6947)
- Fraud Waste & Abuse Hotline | 877.860.1061 (reporting only)
- City Auditor's Office | 214.670.3223
- City Attorney's Office | 214.670.3519
- Procurement Office | 214.670.3326

Investigation Process



Appendix C



Ethics Training Survey

Results by Work Group: Executive

Survey Responses: Executives Only (135 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	135
	Neutral	0
	Disagree/Strongly Disagree	0
I can apply the material I learned	Strongly Agree/Agree	131
	Neutral	3
	Disagree/Strongly Disagree	1
The content was easy to follow	Strongly Agree/Agree	135
	Neutral	0
	Disagree/Strongly Disagree	0
The exercises helped me understand the content	Strongly Agree/Agree	127
	Neutral	6
	Disagree/Strongly Disagree	2
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	113
	Neutral	17
	Disagree/Strongly Disagree	5
The instructor was knowledgeable	Strongly Agree/Agree	129
	Neutral	6
	Disagree/Strongly Disagree	0
The instructor was prepared	Strongly Agree/Agree	135
	Neutral	0
	Disagree/Strongly Disagree	0
The training goals were stated and met	Strongly Agree/Agree	132
	Neutral	3
	Disagree/Strongly Disagree	0
The training met my expectations	Strongly Agree/Agree	120
	Neutral	12
	Disagree/Strongly Disagree	3
This course was worth attending	Strongly Agree/Agree	128
	Neutral	6
	Disagree/Strongly Disagree	1
We had enough time for training	Strongly Agree/Agree	132
	Neutral	0
	Disagree/Strongly Disagree	3

Ethics Training Survey

Results by Work Group: Manager/Supervisor

Survey Responses: Managers/Supervisors Only (659 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	633
	Neutral	22
	Disagree/Strongly Disagree	4
I can apply the material I learned	Strongly Agree/Agree	597
	Neutral	54
	Disagree/Strongly Disagree	8
The content was easy to follow	Strongly Agree/Agree	612
	Neutral	38
	Disagree/Strongly Disagree	9
The exercises helped me understand the content	Strongly Agree/Agree	574
	Neutral	75
	Disagree/Strongly Disagree	10
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	536
	Neutral	103
	Disagree/Strongly Disagree	20
The instructor was knowledgeable	Strongly Agree/Agree	630
	Neutral	23
	Disagree/Strongly Disagree	6
The instructor was prepared	Strongly Agree/Agree	635
	Neutral	17
	Disagree/Strongly Disagree	7
The training goals were stated and met	Strongly Agree/Agree	599
	Neutral	50
	Disagree/Strongly Disagree	10
The training met my expectations	Strongly Agree/Agree	564
	Neutral	82
	Disagree/Strongly Disagree	13
This course was worth attending	Strongly Agree/Agree	571
	Neutral	69
	Disagree/Strongly Disagree	19
We had enough time for training	Strongly Agree/Agree	605
	Neutral	35
	Disagree/Strongly Disagree	19

Ethics Training Survey

Results by Work Group: Professional/Technical

Survey Responses: Professional /Technical Only (1046 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	1017
	Neutral	25
	Disagree/Strongly Disagree	4
I can apply the material I learned	Strongly Agree/Agree	1067
	Neutral	80
	Disagree/Strongly Disagree	21
The content was easy to follow	Strongly Agree/Agree	1056
	Neutral	45
	Disagree/Strongly Disagree	6
The exercises helped me understand the content	Strongly Agree/Agree	970
	Neutral	114
	Disagree/Strongly Disagree	23
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	917
	Neutral	159
	Disagree/Strongly Disagree	31
The instructor was knowledgeable	Strongly Agree/Agree	1061
	Neutral	41
	Disagree/Strongly Disagree	5
The instructor was prepared	Strongly Agree/Agree	1076
	Neutral	26
	Disagree/Strongly Disagree	5
The training goals were stated and met	Strongly Agree/Agree	1046
	Neutral	50
	Disagree/Strongly Disagree	11
The training met my expectations	Strongly Agree/Agree	942
	Neutral	139
	Disagree/Strongly Disagree	26
This course was worth attending	Strongly Agree/Agree	953
	Neutral	109
	Disagree/Strongly Disagree	45
We had enough time for training	Strongly Agree/Agree	1050
	Neutral	50
	Disagree/Strongly Disagree	7

Ethics Training Survey

Results by Work Group: Administrative

Survey Responses: Administrative Only (787 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	745
	Neutral	33
	Disagree/Strongly Disagree	9
I can apply the material I learned	Strongly Agree/Agree	724
	Neutral	48
	Disagree/Strongly Disagree	15
The content was easy to follow	Strongly Agree/Agree	738
	Neutral	36
	Disagree/Strongly Disagree	13
The exercises helped me understand the content	Strongly Agree/Agree	715
	Neutral	54
	Disagree/Strongly Disagree	18
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	689
	Neutral	81
	Disagree/Strongly Disagree	17
The instructor was knowledgeable	Strongly Agree/Agree	755
	Neutral	26
	Disagree/Strongly Disagree	6
The instructor was prepared	Strongly Agree/Agree	747
	Neutral	26
	Disagree/Strongly Disagree	14
The training goals were stated and met	Strongly Agree/Agree	739
	Neutral	38
	Disagree/Strongly Disagree	10
The training met my expectations	Strongly Agree/Agree	683
	Neutral	85
	Disagree/Strongly Disagree	19
This course was worth attending	Strongly Agree/Agree	698
	Neutral	67
	Disagree/Strongly Disagree	22
We had enough time for training	Strongly Agree/Agree	715
	Neutral	50
	Disagree/Strongly Disagree	22

Ethics Training Survey

Results by Work Group: Field/Operations

Survey Responses: Field/Operations Only (2170 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	1955
	Neutral	171
	Disagree/Strongly Disagree	44
I can apply the material I learned	Strongly Agree/Agree	1931
	Neutral	189
	Disagree/Strongly Disagree	50
The content was easy to follow	Strongly Agree/Agree	2020
	Neutral	169
	Disagree/Strongly Disagree	49
The exercises helped me understand the content	Strongly Agree/Agree	1934
	Neutral	194
	Disagree/Strongly Disagree	42
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	1836
	Neutral	273
	Disagree/Strongly Disagree	61
The instructor was knowledgeable	Strongly Agree/Agree	1993
	Neutral	139
	Disagree/Strongly Disagree	38
The instructor was prepared	Strongly Agree/Agree	1908
	Neutral	145
	Disagree/Strongly Disagree	49
The training goals were stated and met	Strongly Agree/Agree	1944
	Neutral	181
	Disagree/Strongly Disagree	45
The training met my expectations	Strongly Agree/Agree	1821
	Neutral	282
	Disagree/Strongly Disagree	67
This course was worth attending	Strongly Agree/Agree	1859
	Neutral	202
	Disagree/Strongly Disagree	78
We had enough time for training	Strongly Agree/Agree	1959
	Neutral	219
	Disagree/Strongly Disagree	88

Ethics Training Survey

Results by Work Group: DPD

Survey Responses: DPD Only (2428 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	2180
	Neutral	199
	Disagree/Strongly Disagree	49
I can apply the material I learned	Strongly Agree/Agree	1612
	Neutral	558
	Disagree/Strongly Disagree	257
The content was easy to follow	Strongly Agree/Agree	2012
	Neutral	341
	Disagree/Strongly Disagree	74
The exercises helped me understand the content	Strongly Agree/Agree	1578
	Neutral	580
	Disagree/Strongly Disagree	268
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	1312
	Neutral	598
	Disagree/Strongly Disagree	516
The instructor was knowledgeable	Strongly Agree/Agree	2098
	Neutral	245
	Disagree/Strongly Disagree	85
The instructor was prepared	Strongly Agree/Agree	2149
	Neutral	208
	Disagree/Strongly Disagree	71
The training goals were stated and met	Strongly Agree/Agree	1890
	Neutral	390
	Disagree/Strongly Disagree	147
The training met my expectations	Strongly Agree/Agree	1496
	Neutral	606
	Disagree/Strongly Disagree	325
This course was worth attending	Strongly Agree/Agree	1229
	Neutral	548
	Disagree/Strongly Disagree	650
We had enough time for training	Strongly Agree/Agree	1996
	Neutral	324
	Disagree/Strongly Disagree	108

Ethics Training Survey

Results by Work Group:
DFR

Survey Responses: DFR Only (1051 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	987
	Neutral	55
	Disagree/Strongly Disagree	9
I can apply the material I learned	Strongly Agree/Agree	894
	Neutral	121
	Disagree/Strongly Disagree	36
The content was easy to follow	Strongly Agree/Agree	939
	Neutral	94
	Disagree/Strongly Disagree	18
The exercises helped me understand the content	Strongly Agree/Agree	857
	Neutral	158
	Disagree/Strongly Disagree	36
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	795
	Neutral	192
	Disagree/Strongly Disagree	64
The instructor was knowledgeable	Strongly Agree/Agree	959
	Neutral	76
	Disagree/Strongly Disagree	16
The instructor was prepared	Strongly Agree/Agree	960
	Neutral	72
	Disagree/Strongly Disagree	19
The training goals were stated and met	Strongly Agree/Agree	947
	Neutral	88
	Disagree/Strongly Disagree	16
The training met my expectations	Strongly Agree/Agree	845
	Neutral	161
	Disagree/Strongly Disagree	45
This course was worth attending	Strongly Agree/Agree	824
	Neutral	157
	Disagree/Strongly Disagree	70
We had enough time for training	Strongly Agree/Agree	950
	Neutral	82
	Disagree/Strongly Disagree	19

Ethics Training Survey

Results by Work Group:
Uniform (Both DPD & DFR)

Some survey results were provided by Uniform personnel who attended sessions facilitated by COD trained staff but did not specify which uniform group they belonged to.

Survey Responses: Uniform (Sessions Facilitated by COD Instructors) (302 Respondents)		
Survey Question	Response	
Class participation was encouraged	Strongly Agree/Agree	292
	Neutral	7
	Disagree/Strongly Disagree	3
I can apply the material I learned	Strongly Agree/Agree	276
	Neutral	18
	Disagree/Strongly Disagree	7
The content was easy to follow	Strongly Agree/Agree	290
	Neutral	9
	Disagree/Strongly Disagree	3
The exercises helped me understand the content	Strongly Agree/Agree	271
	Neutral	25
	Disagree/Strongly Disagree	6
The handout, Choosing the Ethical Path, will be useful in my work	Strongly Agree/Agree	264
	Neutral	24
	Disagree/Strongly Disagree	13
The instructor was knowledgeable	Strongly Agree/Agree	291
	Neutral	7
	Disagree/Strongly Disagree	3
The instructor was prepared	Strongly Agree/Agree	293
	Neutral	6
	Disagree/Strongly Disagree	3
The training goals were stated and met	Strongly Agree/Agree	290
	Neutral	10
	Disagree/Strongly Disagree	2
The training met my expectations	Strongly Agree/Agree	274
	Neutral	21
	Disagree/Strongly Disagree	6
This course was worth attending	Strongly Agree/Agree	160
	Neutral	25
	Disagree/Strongly Disagree	18
We had enough time for training	Strongly Agree/Agree	285
	Neutral	12
	Disagree/Strongly Disagree	5

Memorandum



CITY OF DALLAS

DATE November 1, 2013

TO Members of the Budget, Finance and Audit Committee: Jerry R. Allen (Chair),
Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane, Philip T. Kingston

SUBJECT Upcoming Agenda Item – Mobile Concrete Master Agreement

The November 12th, 2013 City Council agenda includes an item authorizing a two-year master agreement for concrete totaling \$10,068,594 with the lowest bidders Ashley Concrete, LLC in the amount of \$6,691,294 and Argos Ready Mix (SC) Corp. in the amount of \$3,377,300.

The purpose of the master agreement is to establish firm pricing for goods, for a specific term, which are ordered on an as needed basis. The master agreement includes ready mix and volumetrically mixed concrete of various strengths and set times used for the different maintenance techniques applied. Flowable fill, a cement based product included in the master agreement, is also used by City departments to fill excavations as a pavement base material. This master agreement will provide concrete to Streets Services (STS), Water Utilities (DWU), Trinity Watershed Management (TWM) and Park and Recreation departments (PKR) for the uses outlined below.

Street Services utilizes the concrete to repair City-maintained infrastructure, primarily streets and alleys. Over the course of the master agreement, Street Services estimates using enough material to provide approximately 112,000 square yards of street repair; 12,000 square yards of alley repair; 144,000 linear feet of concrete curb and gutter; 112,000 square feet of sidewalk repair, and 160 lane miles of concrete street partial reconstruction.

Dallas Water Utilities performed over 4,300 street cuts last fiscal year. Concrete is used in water distribution and wastewater collection repair and inspection system activities (such as pipe point repairs, pipe replacement and lateral connections). Nearly all water and wastewater system repair activities require fast setting concrete; fast fix flowable fill material and / or ready mix to restore the street, alley, curb or side walk. The various concrete products are required to complete the repair jobs (providing cover and protection to pipe system), to ensure the ease of driving, prevent unsafe conditions, and restore structural integrity of surfaces.

Trinity Watershed Management utilizes this master agreement for performance of in house maintenance pertaining to flood operations for the Trinity River Levee System, four dams, and the infrastructure associated with public owned creeks and channels. This infrastructure is maintained in accordance with state and federal regulations. Concrete is used during the course of repairing concrete lined channels, preventative maintenance related to levee/bridge slopes, dam repairs, headwalls and flumes at storm sewer outlets, and repairs on flood maintenance roadways.

The Park and Recreation department is a small user of this contract and will use the agreement for various projects throughout the park system such as pads for picnic tables, benches and trash receptacles, light pole foundations, trails, and sidewalks.

Please contact me if you need additional information.



Jeanne Chipperfield
Chief Financial Officer

C: A.C. Gonzalez, Interim City Manager
Warren M.S. Ernst, City Attorney
Rosa A. Rios, City Secretary
Craig D. Kinton, City Auditor
Daniel F. Solis, Administrative Judge
Ryan S. Evans, Interim First Assistant City Manager
Jill A. Jordan, P.E., Assistant City Manager
Forest Turner, Assistant City Manager
Joey Zapata, Assistant City Manager
Charles M. Cato, Interim Assistant City Manager
Theresa O'Donnell, Interim Assistant City Manager
Jody Puckett, P.E., Director, Water Utilities
Willis Winters, Director, Park and Recreation
Michael Frosch, Director, Business Development and Procurement Services
Dennis Ware, Interim Director, Street Services
Elizabeth Fernandez, P.E., Director, Trinity Watershed Management
Elsa Cantu, Assistant to the City Manager

Memorandum



CITY OF DALLAS

DATE November 1, 2013

TO Honorable Members of the Budget, Finance & Audit Committee: Jerry R. Allen (Chair), Jennifer Staubach Gates (Vice Chair), Tennell Atkins, Sheffie Kadane, Philip T. Kingston

SUBJECT Quarterly Investment Report as of September 30, 2013

The City of Dallas Investment Policy, in accordance with the Texas Public Funds Investment Act, requires that the City Council and City Manager receive quarterly investment reports. The purpose of this report is to provide a means for Council members, Council committee members and staff to regularly review and monitor the City's investment position and to demonstrate compliance with the City's Investment Policy and the Public Funds Investment Act. Summary reports on each of the City's portfolios are included as well as summary information on the portfolio as a whole.

For the quarter ended September 30, 2013 the City's individual portfolios and the combined portfolio are in compliance with the relevant provisions of the Public Funds Investment Act and the investment strategies adopted in Sec. 17.0 of the City's Investment Policy.

The agenda for the Monday, November 4, 2013 Budget Finance and Audit committee meeting includes the September 30, 2013 quarterly investment report. The executed quarterly investment report is attached.

A handwritten signature in blue ink that reads "Jeanne Chipperfield".

Jeanne Chipperfield
Chief Financial Officer

Attachment

c: A.C. Gonzalez, Interim City Manager
Warren M.S. Ernst, City Attorney
Rosa Rios, City Secretary
Craig Kinton, City Auditor
Daniel F. Solis, Administrative Judge
Ryan S. Evans, Interim First Assistant City Manager
Jill A. Jordan, P.E., Assistant City Manager
Forest E. Turner, Assistant City Manager
Joey Zapata, Assistant City Manager
Charles M. Cato, Interim Assistant City Manager
Theresa O'Donnell, Interim Assistant City Manager
Edward Scott, City Controller
Elsa Cantu, Assistant to the City Manager



CITY OF DALLAS

QUARTERLY INVESTMENT REPORT

September 30, 2013

Quarterly National Economic and Market Update
 Quarter Ended September 30, 2013

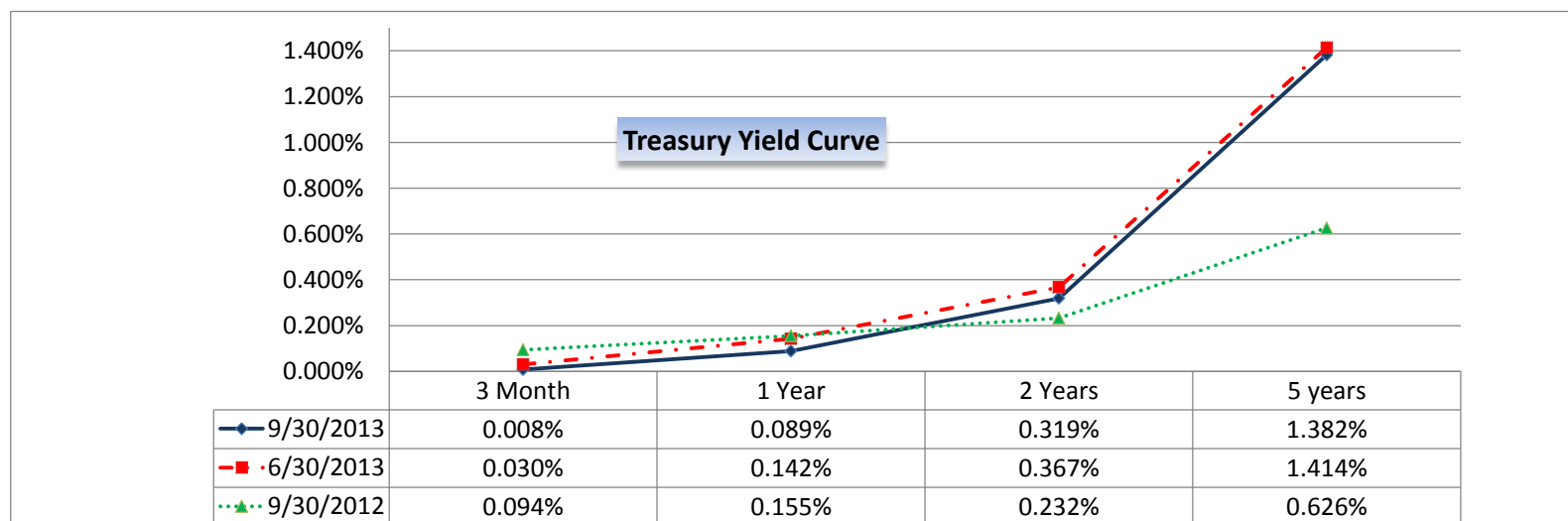
- Moderate economic expansion slower than had been anticipated, with rising fiscal policy risk
- Continued improvement in the housing sector, supported by rising employment and income and by improved credit availability
- Inflation was anticipated to rise gradually over the next few years, with expected inflation to not exceed the two percent objective in 2016.
- Federal funds rate would remain at low level for the next few years
- Federal Open Market Committee (FOMC) decided on September 18, 2013 to maintain its current pace of asset purchase at \$85 billion per month

Source: FOMC Statement and Minutes September 18, 2013

National Economic Data	9/30/2012	9/30/2013
Fed Funds Rate	0.00% -0.25%	0.00% -0.25%
2 Years Treasury Note	0.232%	0.367%
10 Years Treasury Note	1.634%	2.611%
Monthly Unemployment Rate	7.80%	7.3%*
Weekly Initial Jobless Claims	368,000	308,000
Monthly Change in Nonfarm Payrolls	138,000	169,000*
Monthly New Housing Starts	854,000	891,000*

Note: *August 2013 data. In October 2013, the U.S. Federal Government experienced a partial shutdown resulting in the delay of economic data.

Source: Bloomberg



Source: Bloomberg

City of Dallas
Portfolio Holdings
Combined Investment Summary
As of 09/30/2013

Portfolio Description	Face Amount	Book Value	Market Value	Accrued Interest	Market Value + Accrued Interest	*Unrealized Gain/(Loss)	Weighted Average Days To Maturity	Yield To Maturity	% of Portfolio
01 The City's Investment Pool	1,197,951,604	1,201,799,847	1,202,916,584	1,504,190	1,204,420,774	1,116,737	303	0.32%	91.26%
02 Convention Center Reserve	18,900,000	18,902,397	18,936,768	8,850	18,945,618	34,371	547	0.39%	1.44%
03 Water Reserve	80,000,000	80,063,500	80,130,240	95,165	80,225,405	66,740	503	0.44%	6.08%
04 Art Endowment	2,235,000	2,235,000	2,234,368	1,304	2,235,671	(633)	668	0.35%	0.17%
05 Ida Green Library Fund	1,000,000	999,803	1,000,459	1,281	1,001,740	656	58	0.50%	0.08%
10 DWU Commercial Paper Program	4,496,941	4,496,941	4,496,941	0	4,496,941	-	1	0.02%	0.34%
14 Trinity Parkway Escrow	602,683	602,683	602,683	0	602,683	-	1	0.01%	0.05%
16 Oncor Electric Escrow	54,592	54,592	54,592	0	54,592	-	1	0.01%	0.00%
17 GO Commercial Paper Program	7,737,404	7,737,404	7,737,404	0	7,737,404	-	1	0.02%	0.59%
**Total	1,312,978,224	1,316,892,167	1,318,110,038	1,610,790	1,319,720,828	1,217,871	316	0.33%	100.00%

*Unrealized gain/loss is the difference between the market value and book value and does not represent an actual gain or loss. Gains and losses are realized only when a security is sold prior to maturity. Since it is the City's practice to hold investments until they mature, the temporary gains and losses are unlikely to be realized.

** Numbers may not sum due to rounding

City of Dallas
Trade Activity by Portfolio
As of: 06/30/13 - 09/30/13

Portfolio Description	Beginning Face Amount	Beginning Yield To Maturity	Purchased/Deposited	Matured/Called/Redeemed	Ending Face Amount	Ending Yield To Maturity
City's Investment Pool*						
Federal Agricultural Mortgage Corp.	50,000,000	0.72%	-	-	50,000,000	0.72%
Federal Farm Credit Bank	232,768,000	0.46%	60,000,000	25,000,000	267,768,000	0.44%
Federal Home Loan Bank	326,000,000	0.39%	-	155,000,000	171,000,000	0.40%
Federal Home Loan Mortgage Corp.	271,853,000	0.40%	50,000,000	25,000,000	296,853,000	0.38%
Federal National Mortgage Assoc.	189,240,000	0.47%	-	80,000,000	109,240,000	0.29%
Total	1,069,861,000	0.44%	110,000,000	285,000,000	894,861,000	0.41%

*Trade activity excludes local government investment pools and money market mutual funds.

Convention Center Reserve						
Federal National Mortgage Assoc.	18,900,000	0.39%	-	-	18,900,000	0.39%
Total	18,900,000	0.39%	-	-	18,900,000	0.39%

Water Reserve						
Federal Home Loan Bank	47,000,000	0.30%	-	7,000,000	40,000,000	0.28%
Federal Home Loan Mortgage Corp.	30,000,000	0.46%	-	-	30,000,000	0.46%
Federal National Mortgage Assoc.	10,000,000	1.05%	-	-	10,000,000	1.05%
Total	87,000,000	0.44%	-	7,000,000	80,000,000	0.44%

Art Endowment						
Federal Farm Credit Bank	2,235,000	0.35%	-	-	2,235,000	0.35%
Total	2,235,000	0.35%	-	-	2,235,000	0.35%

Ida Green Library Endowment						
Federal Home Loan Bank	1,000,000	0.50%	-	-	1,000,000	0.50%
Total	1,000,000	0.50%	-	-	1,000,000	0.50%

DWU Commercial Paper						
Money Market - Tax Exempt	3,473,840	0.02%	1,023,101	-	4,496,941	0.02%
Total	3,473,840	0.02%	1,023,101	-	4,496,941	0.02%

GO Commercial Paper						
Money Market - Tax Exempt	12,380,781	0.02%	-	4,643,377	7,737,404	0.02%
*Total	12,380,781	0.02%	-	4,643,377	7,737,404	0.02%

Trinity Parkway Escrow						
Money Market	846,415	0.00%	20	243,753	602,683	0.01%
Total	846,415	0.00%	20	243,753	602,683	0.01%

Oncor Electric Escrow						
Money Market	54,591	0.01%	1	-	54,592	0.01%
Total	54,591	0.01%	1	-	54,592	0.01%

* Numbers may not sum due to rounding

City of Dallas
Summary Statement by Portfolio
As of: 06/30/13 - 09/30/13

Portfolio Description	Beginning Face Amount	Ending Face Amount	Beginning Book Value	Ending Book Value	Beginning Market Value	Ending Market Value	Deposits/ (Redemptions)	Change in Market Value	Accrued Interest	Ending Yield To Maturity
City's Investment Pool¹										
Local Govt. Investment Pool	64,106,533	207,106,533	64,106,533	207,106,533	64,106,533	207,106,533	143,000,000	-	-	0.09%
Money Market	77,984,071	95,984,071	77,984,071	95,984,071	77,984,071	95,984,071	18,000,000	-	-	0.06%
US Agency	1,069,861,000	894,861,000	1,075,048,873	898,709,243	1,075,667,846	899,825,980	(175,000,000)	(799,337)	1,504,190	0.41%
Total	1,211,951,604	1,197,951,604	1,217,139,477	1,201,799,847	1,217,758,450	1,202,916,584	(14,000,000)	(799,337)	1,504,190	0.32%
Convention Center Reserve²										
US Agency	18,900,000	18,900,000	18,902,811	18,902,397	18,908,011	18,936,768	-	28,757	8,850	0.39%
Total	18,900,000	18,900,000	18,902,811	18,902,397	18,908,011	18,936,768	-	28,757	8,850	0.39%
Water Reserve²										
US Agency	87,000,000	87,000,000	87,083,516	80,063,500	87,095,353	80,130,240	(7,000,000)	34,887	95,165	0.44%
Total	87,000,000	87,000,000	87,083,516	80,063,500	87,095,353	80,130,240	(7,000,000)	34,887	95,165	0.44%
Art Endowment³										
US Agency	2,235,000	2,235,000	2,235,000	2,235,000	2,227,258	2,234,368	-	7,110	1,304	0.35%
Total	2,235,000	2,235,000	2,235,000	2,235,000	2,227,258	2,234,368	-	7,110	1,304	0.35%
Ida Green Library Endowment⁴										
US Agency	1,000,000	1,000,000	999,490	999,803	1,000,952	1,000,459	-	(493)	1,281	0.50%
Total	1,000,000	1,000,000	999,490	999,803	1,000,952	1,000,459	-	(493)	1,281	0.50%
DWU Commercial Paper⁵										
Money Market - Tax Exempt	3,473,840	4,496,941	3,473,840	4,496,941	3,473,840	4,496,941	1,023,101	-	-	0.02%
Total	3,473,840	4,496,941	3,473,840	4,496,941	3,473,840	4,496,941	1,023,101	-	-	0.02%
GO Commercial Paper⁵										
Money Market - Tax Exempt	12,380,781	7,737,404	12,380,781	7,737,404	12,380,781	7,737,404	(4,643,377)	-	-	0.02%
Total	12,380,781	7,737,404	12,380,781	7,737,404	12,380,781	7,737,404	(4,643,377)	-	-	0.02%
Trinity Parkway Escrow⁶										
Money Market	846,415	602,683	846,415	602,683	846,415	602,683	(243,733)	-	-	0.01%
Total	846,415	602,683	846,415	602,683	846,415	602,683	(243,733)	-	-	0.00%
Oncor Electric Escrow⁷										
Money Market	54,591	54,592	54,591	54,592	54,591	54,592	1	-	-	0.01%
*Total	54,591	54,592	54,591	54,592	54,591	54,592	1	-	-	0.01%

Notes 1-7: See Page 6 for Strategy Statement by Portfolio.

* Numbers may not sum due to rounding

City of Dallas
Strategy Statement and Compliance by Portfolio
As of: 06/30/13 - 09/30/13

STRATEGY COMPLIANCE STATEMENT

For the quarter ended September 30, 2013 the portfolios are in compliance with the relevant provisions of the Public Fund Investment Act and the investment strategies adopted in Sec. 17.0 of the City's Investment Policy.

STRATEGY STATEMENT BY PORTFOLIO

1) City's Investment Pool

The City's Investment Pool is an aggregation of the majority of City funds that includes tax receipts, enterprise fund revenues, fine and fee revenues, as well as some, but not all, bond proceeds, grants, gifts and endowments. This portfolio is maintained to meet anticipated daily cash needs for City of Dallas operations, capital projects and debt service. In order to ensure the ability of the City to meet obligations and to minimize potential liquidation losses, the dollar-weighted average stated maturity of the Investment Pool shall not exceed 1.5 years.

2) Convention Center Bond Reserve and Water Bond Reserve

Non-pooled reserve funds for outstanding revenue bonds (Convention Center and Water) are set at levels required by their respective bond ordinances. These funds will be used to pay principal and/or interest at final maturity or if called prior to final maturity.

3) Art Endowment

The Art Endowment Fund was created by the City from a \$1,285,026 repayment to the General Fund from the Convention Center. Pursuant to Resolution No. 84-311 dated September 26, 1984, this endowment fund was created to provide additional monies for the arts, not to replace the current level of support. Funds received as gifts to the City with instructions that the income generated by the investment of said funds be used for specified purposes are invested as separate non-pooled portfolios in order to maximize return.

4) Ida Green Library Endowment

The Ida M. Green Endowment Fund was created with the proceeds from the sale of stock from the estate of Ms. Green pursuant to Resolution No. 87-0836. Its purpose is to provide funds for the operating and capital expenses of the library's Texas Center for the Book and Children's Center. Funds received as gifts to the City with instructions that the income generated by the investment of said funds be used for specified purposes are invested as separate non-pooled portfolios in order to maximize return.

5) DWU Commercial Paper Program and GO Commercial Paper Program

The City issues tax-exempt commercial paper notes as an interim financing tool for construction and capital projects. Proceeds from the issuance of commercial paper debt must be liquid in order to fund periodic payments to contractors and must be invested in tax-exempt securities in order to avoid costly and complex arbitrage rebate computations. In order to meet these requirements, commercial paper proceeds will be invested in tax-exempt money market mutual funds.

6) Trinity Parkway Escrow

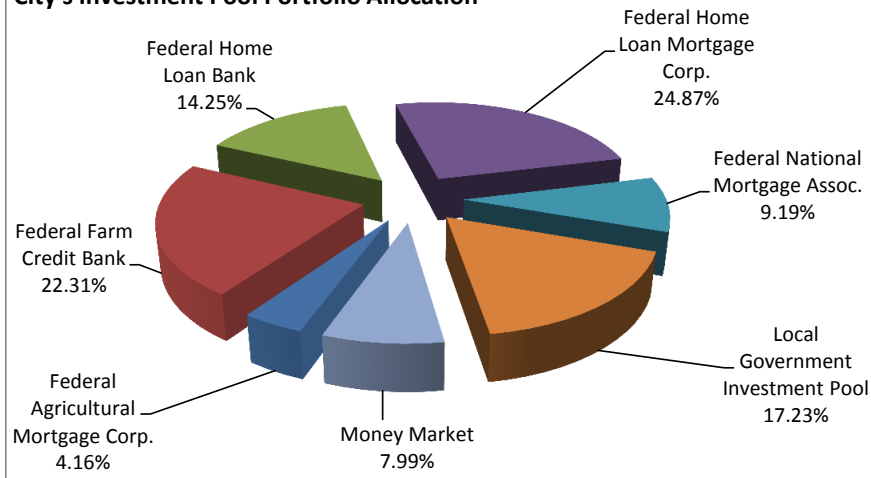
The Trinity Parkway Escrow portfolio was created with the deposit of \$5,000,000 on November 16, 1999 in an escrow account in accordance with an agreement dated as of January 1, 1999 between the City and the North Texas Tollway Authority ("NTTA") pertaining to development of the Trinity Parkway. A subsequent deposit of \$4,500,000 was made in June 2009. These funds will be used to reimburse NTTA for specified payment related to project feasibility. Permitted investments for this account are defined in the Escrow Agreement as those that are consistent with the Public Funds Investment Act.

7) Oncor Electric Escrow

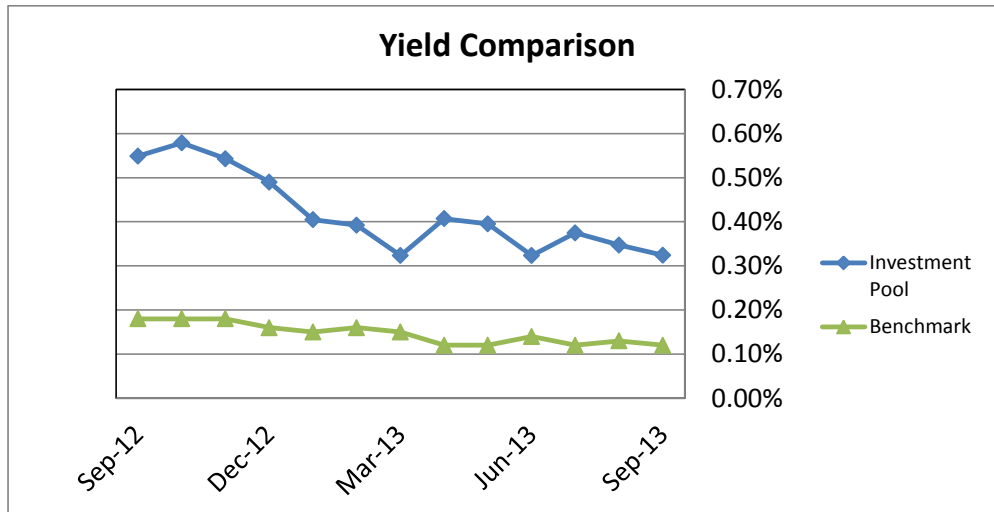
The Oncor Electric Escrow portfolio was created with the deposit of \$4,500,000 in December 2007 in an escrow account in accordance with an agreement dated as of July 13, 2007 between the City and the Oncor Electric Delivery Company LLC pertaining to the development of the West Levee to Norwood Transmission Line. These funds will be used to reimburse Oncor for specified payments related to project feasibility. Permitted investments for this account are defined in the Escrow Agreement as those that are consistent with the Public Funds Investment Act.

City of Dallas
City's Investment Pool Portfolio Allocation
Investment Summary
As of 09/30/2013

City's Investment Pool Portfolio Allocation



Yield Comparison



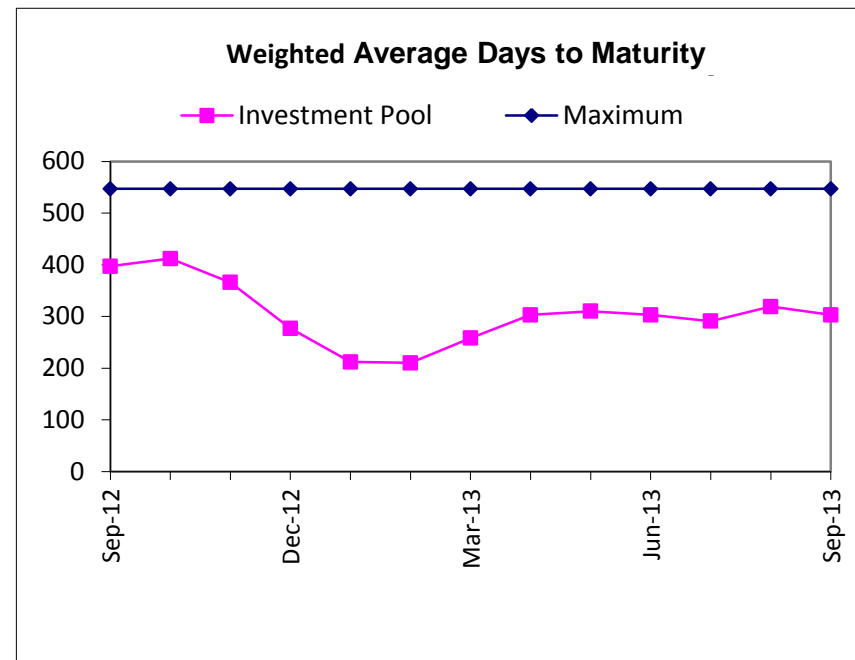
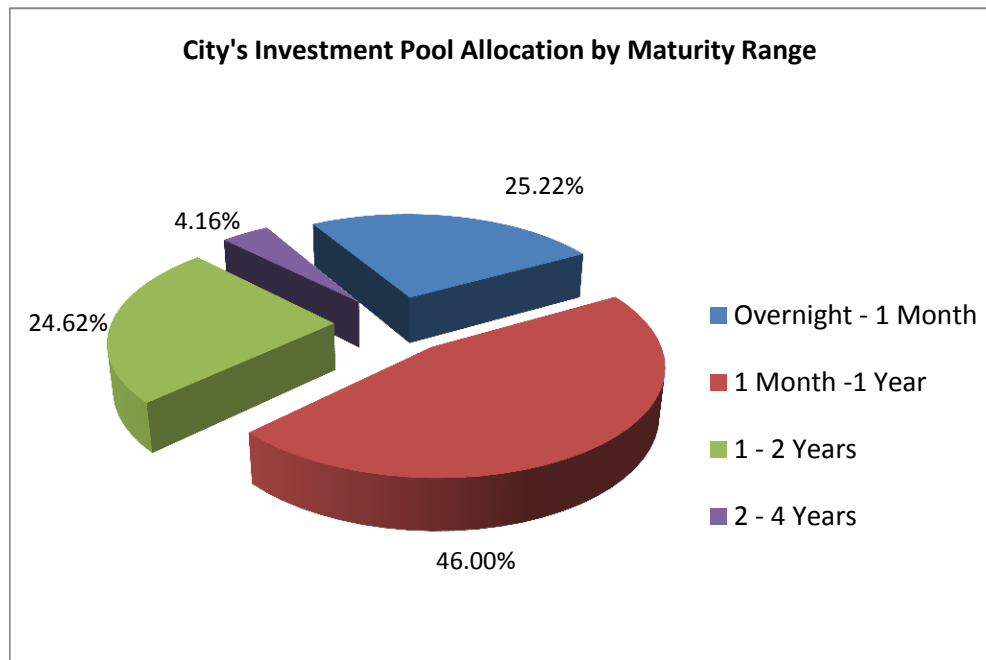
Description	Face Amount	Book Value	Market Value	*Unrealized Gain/(Loss)	Weighted Average Days To Maturity	Yield To Maturity	% of Portfolio
Federal Agricultural Mortgage Corp.	50,000,000	50,000,000	50,222,010	222,010	704	0.72%	4.16%
Federal Farm Credit Bank	267,768,000	268,080,695	268,360,719	280,024	428	0.44%	22.31%
Federal Home Loan Bank	171,000,000	171,307,064	171,550,806	243,742	322	0.39%	14.25%
Federal Home Loan Mortgage Corp.	296,853,000	298,932,384	299,236,377	303,994	409	0.37%	24.87%
Federal National Mortgage Assoc.	109,240,000	110,389,101	110,456,068	66,967	333	0.29%	9.19%
Local Government Investment Pool	207,106,533	207,106,533	207,106,533	-	1	0.09%	17.23%
Money Market	95,984,071	95,984,071	95,984,071	-	1	0.06%	7.99%
**Total	1,197,951,604	1,201,799,847	1,202,916,584	1,116,737	303	0.32%	100.00%

* Unrealized gain/loss is the difference between the market value and book value and does not represent an actual gain or loss. Gains and losses are realized only when a security is sold prior to maturity. Since it is the City's strategy to hold investments until they mature, the temporary gains and losses are unlikely to be realized.

** Numbers may not sum due to rounding

As per Section 17.1 of the City's Investment Policy, the benchmark for the Investment Pool is the 12-month moving average yield on treasury 1-year constant maturities as reported by Federal Reserve Statistical Release H.15.

City of Dallas
City's Investment Pool Allocation by Maturity Range
As of 09/30/2013



Description	Face Amount/Shares	Book Value	Market Value	Yield To Maturity	Weighted Average Days To Maturity	% of Portfolio
Overnight - 1 Month	303,090,604	303,090,604	303,090,604	0.08%	1	25.22%
1 Month - 1 Year	549,861,000	552,865,507	553,601,500	0.36%	237.02	46.00%
1 - 2 Years	295,000,000	295,843,736	296,083,515	0.42%	628	24.62%
2 - 4 Years	50,000,000	50,000,000	50,140,965	0.88%	944	4.16%
*Total	1,197,951,604	1,201,799,847	1,202,916,584	0.32%	303	100.00%

* Numbers may not sum due to rounding

City of Dallas
 Date To Date
 Broker/Dealer Activity
 As of: FY 12-13 to Date

FY 12-13 to Date		
Description	Awarded	%
Primary Dealers		
Bank of America	60,000,000	9.44%
Jefferies & Co.	15,000,000	2.36%
JPMorgan	118,653,000	18.67%
Secondary Dealers		
Coastal Securities	50,000,000	7.87%
Comerica Securities	5,000,000	0.79%
Crews and Associates	10,000,000	1.57%
First Southwest	90,000,000	14.16%
Raymond James and Associates	10,000,000	1.57%
Oppenheimer & Co.	17,000,000	2.67%
Vining Sparks	15,000,000	2.36%
Wells Fargo	10,000,000	1.57%
Secondary Dealers - MWBE		
Duncan Williams - MWBE	55,000,000	8.65%
Loop Capital - MWBE	15,000,000	2.36%
Rice Financial - MWBE	145,003,000	22.81%
Williams Capital - MWBE	20,000,000	3.15%
Total	635,656,000	100.00%

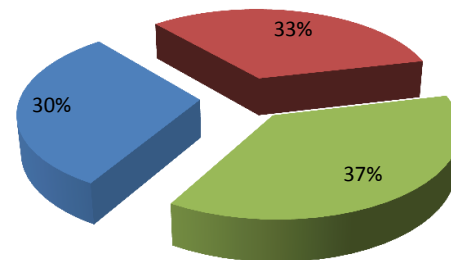
Notes:

Section 9 of the City's investment Policy requires the investment committee to annually review and adopt a list of qualified broker/dealers. These firms represent the broker dealer firms that are currently approved by the Investment Committee as of February 2013.

It is the City's Practice to solicit three or more competitive bids/offers each trade except for agency securities purchased at issue.

Q4 FY 12-13		
Description	Awarded	%
Comerica Securities	5,000,000	4.55%
Crews and Associates	10,000,000	9.09%
Duncan Williams	20,000,000	18.18%
First Southwest	20,000,000	18.18%
Jefferies & Co.	10,000,000	9.09%
Rice Financial	35,000,000	31.82%
Wells Fargo	10,000,000	9.09%
Total	110,000,000	100.00%

Broker/Dealer Activity FY12-13 to Date



- Primary Dealers 193,653,000
- Secondary Dealers 207,000,000
- Secondary Dealers (MWBE) 235,003,000

CITY OF DALLAS
QUARTERLY INVESTMENT REPORT

September 30, 2013

For the quarter ended September 30, 2013 the portfolios are in compliance with the relevant provisions of the Public Funds Investment Act and the investment strategies adopted in Sec. 17.0 of the City's Investment Policy.

Chief Financial Officer: 

City Controller: 

Treasury Manager: 