

Memorandum



CITY OF DALLAS

DATE July 29, 2016

TO Honorable Members of the Budget, Finance & Audit Committee: Jennifer S. Gates (Chair), Philip T. Kingston (Vice Chair), Erik Wilson, Rickey D. Callahan, Scott Griggs, Lee M. Kleinman

SUBJECT Ethics & Diversity Update

On Monday, August 1, 2016, the Budget, Finance & Audit Committee will be briefed on the "Ethics & Diversity Update". The briefing is attached for your review.

Please let me know if you need additional information.


Jeanne Chipperfield
Chief Financial Officer

Attachment

cc: Honorable Mayor and Members of the City Council
AC Gonzalez, City Manager
Christopher D. Bowers, Interim City Attorney
Craig D. Kinton, City Auditor
Rosa A. Rios, City Secretary
Daniel F. Solis, Administrative Judge
Ryan S. Evans, First Assistant City Manager

Eric D. Campbell, Assistant City Manager
Jill A. Jordan, P.E., Assistant City Manager
Mark McDaniel, Assistant City Manager
Joey Zapata, Assistant City Manager
Sana Syed, Public Information Officer
Elsa Cantu, Assistant to the City Manager – Mayor & Council

Ethics & Diversity Update

Keeping the ALL in DALLAS

**Budget, Finance and Audit Committee
August 1, 2016**

Vanessa A. Gray, IPMA-SCP, SHRM-SCP
Interim Ethics and Diversity Officer



Purpose

- To provide an update on the Ethics and Diversity Office's activities
- About Us: Our Mission, Vision & Values
- Ethics Initiatives
- Ethics Audit
- Diversity Initiatives
- Summary

"We Make BIG Things Happen"

B

Build:

Set the foundation/framework and build upon the success of the City for all in the Dallas community

- **Accountability:** connecting performance with desired outcomes and ensuring safe working conditions and continuous improvement
- **Commitment:** following through to completion and taking initiative
- **Leadership:** moving the organization forward by anticipating and empowering all employees to lead rather than reacting to changing times
- **Teamwork:** accomplishing more together than could be achieved alone; fostering employee engagement and collaboration

I

Innovate:

Adopt new or adapted ideas, where relevant and applicable, to improve outcomes or processes for all in the Dallas community

- **Innovation:** welcoming, encouraging and enabling new ideas and opportunities for improvement; gaining efficiencies and enhancements through exploitation of new approaches, technology and tools

G

Give:

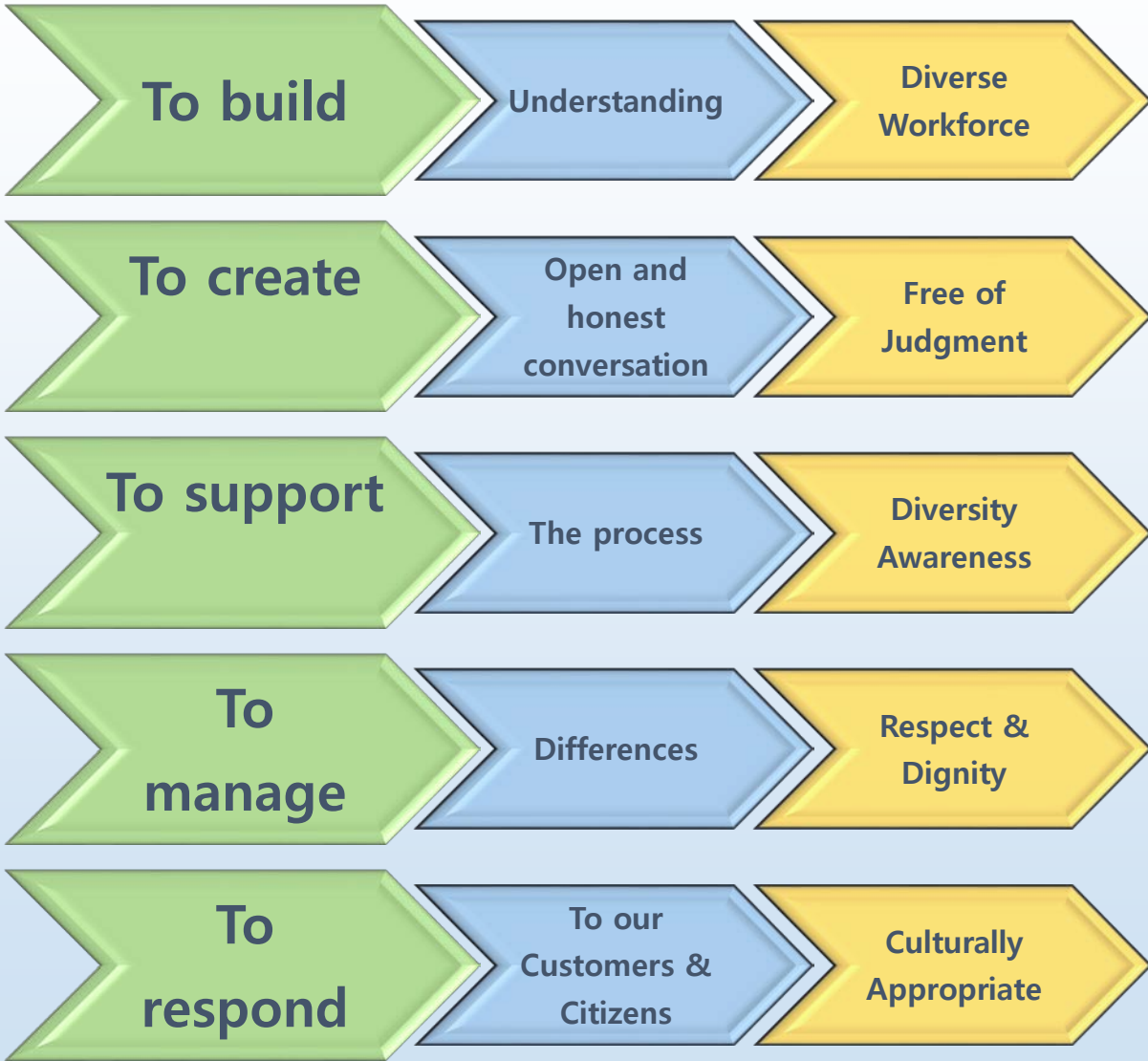
Make a difference by being responsive, ethical, and service-oriented for the betterment of our community

- **Customer Service:** striving to deliver greater value responsiveness and quality service to the customer
- **Environmental Stewardship:** ensuring a vibrant healthy and safe legacy for current and future generations
- **Integrity:** taking actions, not based on expediency, but because they are the right thing to do; exercising ethical judgment and behavior
- **Sensitivity:** valuing diversity in experiences, backgrounds and points of view

CITY OF DALLAS CORE VALUES

Office of Ethics & Diversity

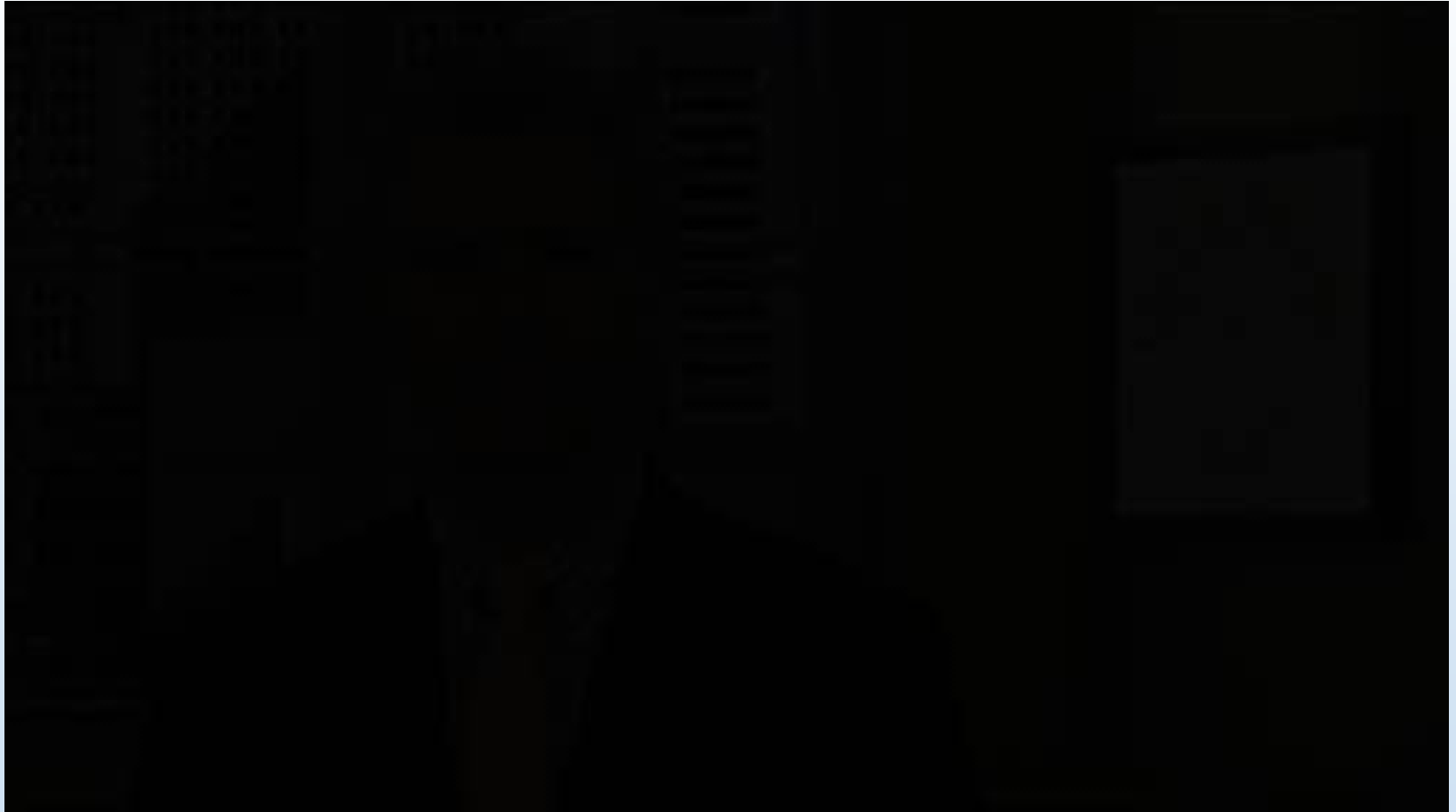
Strategic Directive



Choosing the Ethical Path



A Video Message from Leadership



Ethics & Diversity Update Since last Briefing

Staffing Changes

Former Ethics Officer had great momentum, however services are impacted by staffing interruptions.

- Original Coordinator departs June 2015; replaced July 2015
- Original Manager II departs August 2015; replaced September 2015
- Original Ethics & Diversity Officer departs the City of Dallas Nov. 2015
- Interim Ethics Officer assigned responsibility for the continuation of services in Dec. 2015
 - Another Coordinator departs March, replaced April 2016
 - Manager II role and services transferred to Center for Performance Excellence in April 2016

Re-established Presence of Office

Updated the Ethics and Diversity website

- Internet
- Intranet

Ethics & Diversity Update Since last Briefing

Employee Engagement Activities

- Attending monthly Employee Advisory Committee (EAC) Meetings
- Partnering with:
 - Human Resources (HR)/City University
 - Affinity groups
 - Center for Performance Excellence (CPE)

Ethics Advisory Commission Interaction

This Advisory Commission's members are appointed by members of the Dallas City Council. The Advisory Commission is chaired by John Rogers. The Commission is actively reviewing the Code of Ethics for updates and revisions.

The Ethics Officer (and select other city staff) attends and participates in all:

- Monthly Ethics Advisory Commission Meetings
- Bi-Monthly Ethics Awareness Committee Meetings
- Bi-Monthly Ethics Education Committee Meetings
 - One Commission member(Pam Gerber) has attended a New Employee Orientation (NEO) Ethics
 - All have been provided the NEO training calendar

Ethics Update Since last Briefing

Ethics Training

The Ethics training continues:

- 1,200 new employees at New Employee Orientation (NEO)
 - refreshed the training material
 - updated and included Ethics handout in NEO packets
- 450 Supervisors, Managers and/or Executives received Ethics training at Supervisory Development training
 - modified the training material
- Provided Ethics training upon request for the City of Dallas Code Academy, Dallas Fire Recruit Academy and other city departments upon request
- Updated the Ethics brochure
- Ethics awareness continues through
 - regular citywide email announcements; and
 - bulletin board postings

Ethics Update Dec. 2015 to Date

- Developed Phase II - 1 hour Ethics refresher training slated to begin, October 1, 2016
 - Classroom style (live in person) training
 - Electronic training available through the City's Learning Management System (LMS)
- Developed a draft Ethics Recognition Program also slated to roll out October 2016
- Developed a database for ethics complaints/investigations
- Moved to 4th Floor (4DN)
- Renewed Compliance Wave Ethics (Ethics Awareness Toolbox)
- Joined Ethics & Compliance Initiative (ECI) an Ethics & Compliance Officer Association
- Partnering with HR, AUD on investigations

Ethics Action/Work Plan

- Scheduling regular Ethics and Diversity presentations with City staff members
- Using the City's Employee Advisory Committees (EAC's) to access City culture and ethical climate through the use of surveys and focus groups for program planning through their various committees
 - Work, Life , Play
 - Communication
 - Health & Wellness
 - Training
 - Technology
- Tending to website and Ethics and Diversity mailboxes
- Created a database for complaints/concerns received and addressed
- Maintain partnership with HR, CPE & AUD

Ethics Audit Action Items

When the Office of Ethics and Diversity was Established there were associated audit recommendations based on the Federal Sentencing Guidelines.

Status

- 15 initial recommendations were received from the Auditor's Office
- 9 of 15 recommendations were implemented at time of last audit review
- 4 of 6 have either been addressed or are in process and the Auditor's Office will be apprised at our next review
- 2 have not been started, but are in review by the Ethics Advisory Commission and the Office of Ethics and Diversity

On the following slides, we will review the status of recommendations last listed by the Auditor's Office as not completed.

Ethics Audit Action Items

For element 2, effective ethics oversight, the Ethics Advisory Commission's jurisdiction, which appears to be granted by the Code of Ethics, is limited to reviewing and issuing formal opinions on the Code of Ethics violations only.

- The Ethics Advisory Commission is reviewing the Code of Ethics for needed updates and changes
- Management recommends that each department be placed on an annual schedule to review each of their associated Administrative Directives (AD) and submit a form to OFS indicating they have reviewed and no changes or necessary or submit revised AD's pursuant to the requirements of AD 2-1
- Regarding Interviewing and Background checks, HR has become ISO certified and has implemented standardized processes related to hiring. This encompasses the interview process, as well as the On-Boarding process which includes background checks

Ethics Audit Action Items

For element 6, enforcing Ethical Standards, the City does not enforce the Ethical Standards, through: (3) A formal venue to recognize good ethical behavior.

- The Office of Ethics and Diversity has drafted an Ethics Recognition Program that has been reviewed by the City Manager and the Internal Audit Office and has progressed in the review cycle
- The Recognition program is planned for implementation on October 1, 2016

Ethics Audit Action Items

Ethics Recognition Program – Minimally employees would need to be recognized by a peer, member of management or a citizen for an act above or beyond their normal duties, meeting all of the 8 ethical values noted in the Code of Ethics to be recognized.



**Commitment
beyond self**



**Accountability to
the public**

**Obedience and
commitment
beyond the law**



Truthfulness



**Commitment to the
public good**



Fairness

**Respect for the
value and dignity of
all**



**Responsible
application of
resources**



Ethics Audit Action Items

For element 7, responding to unethical behavior, the City does not have an established and developed process to avoid repeated incidents of known ethical misconduct.

- The City deals with ALL misconduct in an established method. We coach/ train and counsel with employees. Where that proves ineffective, the city practices progressive discipline
- Consideration is given to the individual offense committed, the individual employee's disciplinary and performance history, along with past action for other such infractions
- Human Resources maintains a disciplinary database of all known incidences of performance or behavioral issues that result(ed) in discipline
- This system is referred to for historical purposes when the need arises to compare current acts requiring discipline
- Annually, Human Resources reviews all their policies, Administrative Directives and guidelines to update based on changes in the local, state or federal law as well as to resolve any gaps that exist in city policies, guidelines and practices. This review is intended to addresses the “ repeated incidents” this section refers to

Ethics Audit Action Items

For element 7, responding to unethical behavior, the City does not have an established and developed process to revise Ethical Standards to incorporate prevention or repeated incidents.

- The steps that have been taken to address these concerns to date to address prevention are highlighting ethical behavior through training
- The training makes use of scenarios for employees to work through and resolve
- Citywide Ethics email announcements are sent out
- An electronic video vignette was emailed out as well as is used in training
- Bulletin board postings are sent out as well as placed around in City Hall promoting the topic of Ethical behavior

When no one is looking...



act as if someone is

THE OFFICE OF ETHICS & DIVERSITY

Our office has relocated to 4DN - Office phone # 214-671-8999

DallasEthics@Dallascityhall.com DallasDiversity@Dallascityhall.com



THE OFFICE OF ETHICS & DIVERSITY

AN ETHICAL LIFE IS BUILT OF INTEGRITY HONESTY KINDNESS DECENCY & BELIEF IN TRUTH JUSTICE HONOR LOVE RESPECT COMPASSION AND WORKING TOGETHER TO MAKE LIFE BETTER

Work Ethically – Embrace Diversity – Be Inclusive

The following telephone numbers are provided to employees who may wish to contact the office to confidentially discuss issues and/or make suggestions. All voicemail messages will be answered promptly. We also have two email addresses available for employees to provide comments, suggestions and concerns to the office for review and attention.

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THE OFFICE OF ETHICS & DIVERSITY

If your boss or co-worker asked you to conceal the truth for them, what would you do?



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Without your neighbor's permission would you



Take your neighbors' power tools?



Tap into their phone line?



Surf the net on their computer?

Then Don't Misuse Company Resources

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HOW WOULD YOU LIKE YOUR LIFE IN THE HEADLINES?

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Your Ethical Life In The Headlines Video



Ethics Audit Action Items

For element 7, responding to unethical behavior, the City does not have an established and developed process to report on ethical violations and keep City management, City Council, and other committees, apprised of potential repeated incidents.

- The Ethics Advisory Commission is reviewing the Code of Ethics for needed updates and changes
- The Ethics Office has developed a database for Ethics Complaints
- The Office of the City Secretary has a system for receiving Ethics Complaints
- The Auditor's Office also has a repository for receiving, assigning and tracking all complaints received by their Office. The AUD refers all Ethics complaints to the Ethics Office
- Human Resources has a system for receiving, assigning and tracking all complaints received by their Office. The HR department also refers all Ethics complaints to the Ethics Office
- In all instances the City Manager is made aware of these complaints received
- In all instances, the HR Director and director of the affected department are notified of the received complaint
- This process will be drafted as the official process until further notice

Ethics Audit Action Items

For element 7, responding to unethical behavior, the City does not have an established and developed process to self-report for known violations.

- The Ethics Advisory Commission is reviewing the Code of Ethics for needed updates and changes
- The Office of Ethics and Diversity in concert with the Office of Compliance and Internal Controls will work to address this recommendation

Diversity & Inclusion is
more than just color...



Ways the City Promotes Diversity

- ❖ In 2014, The Office of Ethics and Diversity was created
- ❖ 2009 - Employee Advisory Councils (EAC's) began formation
 - 18 various EAC's across the City organization currently
- ❖ 1980's – City Affinity Groups form
 - ❖ Affinity groups are by definition groups formed around shared interest & common goals, to which individuals formally or informally belong. These groups advance diversity, inclusiveness and may contribute to personal and professional development of employees
- ❖ Asian American Association of City Employees (AAACE)
 - Kim Naam, Chair
- ❖ Black Employees Support Team (BEST)
 - Cheritta Johnson, Chair
- ❖ City Association Promoting Equality (CAPE – LGBT Association)
 - Brian J. Price, Chair
- ❖ Hispanic Association of City Employees for Results (HACER)
 - David Trevino, Chair

Diversity Action/Work Plan

Related to Diversity the Office of Ethics and Diversity Continued:

- Attending Councilmember Adam Medrano's monthly LGBT Task Force night meetings
- Supporting the affinity groups
 - attending their monthly meetings and/or programs
 - membership open to all – I have joined all 4
 - programs are free and open to all
- Diversity training
 - modified the Diversity training material
 - NEO – 1 hour training (26 times a year)- 1,200 trained annually
 - Supervisory Development training 1-1/2 hour training (6 sessions annually) – 450 trained annually
 - Developed Phase II classroom Diversity training
 - Developing online version now
 - Scheduling Diversity presentations with City staff members
(Code Academy, Fire Academy, staff meetings, various training)

Diversity Action/Work Plan

- Guiding the City's Diversity RoundTable committee to create a Diversity Plan for the organization and our employees
 - Draft plan developed. Needs review by the Diversity Roundtable and legal prior to finalization
- Updates to website, maintenance of Diversity mailboxes
- Partnership with HR, CPE and other departments
- Distribute Citywide Email announcements and bulletin Board postings

Outreach

- Assembled a roundtable meeting with select City executives and members of The Mayor's Star Council - March 2016
- Attended GLBTQ Chamber Dinner representing the LGBT Taskforce – April 2016
- Hosted a group of Japanese graduate students and assembled a panel of various members of management to speak with them on our business practices related to Diversity, Human Resources, Employee Engagement and Business Development (Fair Housing, Purchasing, CPE, ECO, HR) - May 2016
- Re-established the City's membership and presence with the Texas Diversity Council – June 2016

**THE OFFICE OF
ETHICS & DIVERSITY**



Work Ethically – Embrace Diversity – Be Inclusive

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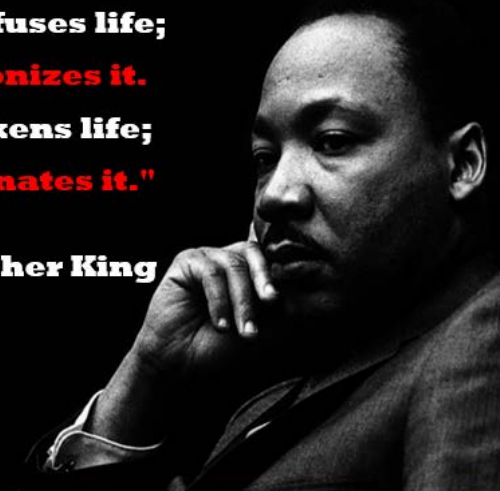
We didn't discriminate on the playground ...



**don't do it in
the workplace.**

**"Hatred paralyzes life;
Love releases it.
Hatred confuses life;
Love harmonizes it.
Hatred darkens life;
Love illuminates it."**

- Martin Luther King



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**The City of Dallas
Diverse, Vibrant
and Progressive**

**THE OFFICE OF
ETHICS & DIVERSITY**

The Office of Ethics and Diversity is responsible for promoting a culture of inclusion, acceptance and appreciation for a diverse workforce. Diversity is our priority!

Dallas has PRIDE in our LGBT community and those in our workforce. June is Lesbian, Gay, Bisexual, and Transgender (LGBT) pride month. Take time to appreciate our diverse workforce and what it means to be a part of such an inclusive work environment.



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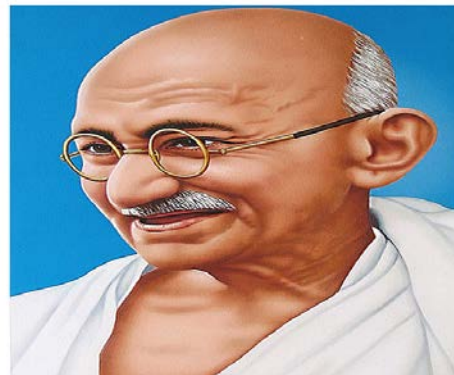
We are available to attend employee meetings and/or events to discuss issues pertaining to ethics and diversity.

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**“An eye for an eye only ends up
making the whole world blind.”
-Mohandas Gandhi**

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Why Should we be Concerned with Ethics & Diversity?

Benefits for the City of Dallas

- Promotes citizens' trust and public image
- Helps attract, recruit and retain good employees
- Increases productivity
- Helps avoid legal problems
- Helps avoid negative media exposure

Benefits for employees

- Strengthens job satisfaction
- Helps Build stronger teams
- Reduces stress
- Maintains open communication
- Employees broaden their beliefs, skill-sets and skills

PUBLIC SERVICE

Public agencies were created by the public to accomplish things that could not be done by individuals acting alone or with a profit motive.

People who work in public agencies are entrusted with resources, power and authority.

But the nature of that trust is that these resources, power and authority can be used only to benefit the public — not those in public service.



ETHICS SUMMARY

We will continue to promote a culture of ethical behavior and educate our employees that:

People who work for public sector agencies must:

- Hold themselves to the same high standards that the public has for those who are elected or appointed to public service.
- The exact combination of standards depends on a particular individual's job within the organization.

However, three cross-cutting principles apply to all public servants:

- Public employees are stewards of scarce public resources;
- Public agencies must treat everyone fairly, irrespective of who they know or are related to; and
- Public service means one's actions are subject to public scrutiny.



ETHICS SUMMARY

We will continue to promote a culture of ethical behavior and educate our employees on:

- On their responsibilities
- The City's Code of ethics Chapter 12-5A
- How to make ethical decisions using the ethical decision making path
- How to make a complaint using the various avenues that exist
- How the complaint resolution process works



SUMMARY

We will continue to work with the Auditors Office to ensure that:

1. The audit recommendations that were not yet implemented are implemented
2. That the measures that have been implemented continue to be fine tuned and improved upon.



QUESTIONS



Contact Information

The Office of Ethics & Diversity

Vanessa Averheart Gray
Interim Ethics & Diversity Officer

Brian Wisdom
Ethics and Diversity Coordinator

Located at City Hall – 4DN

Email our office:

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