EXECUTIVE ORDER NO. 2 -94

Role and Responsibilities of the Integrity Officers

WHEREAS, the Integrity Officers ("IOs") Program, when established by the Managing Director's Office in 1985, lacked the required guidelines for Department/Agency Heads to direct the IOs in the performance of their assigned internal integrity-related duties; and

WHEREAS, there is a need for an Executive Order to define the functional guidelines for the IO Program and summarize the IOs' role and responsibilities in implementing departmental/agency integrity policies;

NOW, THEREFORE, I, Edward G. Rendell, Mayor of the City of Philadelphia, in accordance with Section 3-100 of the Philadelphia Home Rule Charter, do hereby order as follows:

SECTION 1. Mission of the IO

The IO position is established to assist Department/Agency Heads in meeting their broad responsibility for the development of policies, programs, and strategies to deal with all integrity-related matters. IOs are also required to conduct internal confidential investigations and/or provide oversight to non-criminal complaints of employee misconduct which are officially referred to the Department/Agency from the Office of the Inspector General ("OIG").

SECTION 2. Designation of Department IO

The Department/Agency Heads, in consultation with the OIG, shall appoint a Department official to the IO position. The IO should be a senior staff person or an official with direct access to the Department/Agency Head on personnel- or integrity-related matters. City employees/officials who have extensive experience and proven credibility in addressing issues of misconduct, ethics, and integrity should be considered as prime candidates for this important position. Departments with a larger employee population and/or a record of numerous reported integrity/misconduct complaints may require that additional staff be assigned to assist the IO in meeting his/her responsibility. Appointment of additional personnel will be at the discretion of the Department/Agency Head. The IO duties are collateral to the IOs' principal operational role within the Department.

The Department/Agency Head shall communicate his/her selection of the Department IO to all employees in the

Department, while emphasizing his/her personal support for the person and the program. Employees should be encouraged to communicate directly with IOs on issues or questions that are integrity-related.

SECTION 3. Responsibilities of the IOs

Specific responsibilities assigned to the IOs by the Department/Agency Head include, but are not limited to the following:

A. Maintain liaison and coordinate with the OIG on matters referred to the Department/Agency Head that relate to alleged or suspected employee misconduct.

B. Provide investigative coverage or oversight to non-criminal complaints involving employee conduct/behavior as assigned by the Department/Agency Head.

C. Conduct periodic meetings with the Department/Agency Head, Senior Management, and employee groups to discuss or provide advice on integrity/ethics issues.

D. Conduct a review of and disseminate within his/her Department or Agency the appropriate City and Department/Agency policies and regulations that relate to the Code of Ethics for City employees.

E. Assist in the formulation of Integrity Awareness Training Sessions, Conferences, and Seminars that are developed for and presented to Department/Agency employees.

F. Assist the Department/Agency Head in the development of an overall internal Integrity Plan.

SECTION 4. The Scope of IO Investigations

To fulfill both their oversight responsibility to the Department/Agency Head and their liaison role with the OIG, IOs are authorized to conduct investigations of referred matters that relate to possible misconduct by Department/Agency employees. Also, IOs may initiate an inquiry should he/she directly receive this information. These matters may involve violations of the rules, regulations, or City code of ethics that will not result in criminal prosecutions. Matters to be investigated include, but are not limited to, the following:

- Misuse of City vehicles
- Falsification of official documents (i.e., timesheets, leave records, reports, employment applications, etc.)

- Misuse and theft of time
- Improper behavior while on duty toward coworkers or citizens
- Unauthorized use of City facilities, supplies, equipment, services, or personnel
- Solicitation of gratuities
- Unauthorized outside employment
- Misuse of City funds
- Sexual harassment
- Conducting personal business during duty hours

SECTION 5. Responsibilities of the OIG

The OIG will conduct or oversee investigations of criminal misconduct and other serious complaints involving fraud or corruption involving City Departments or City-funded programs. The OIG, in conjunction with the Personnel Department, will also identify appropriate training programs that would assist the IOs in meeting their integrity program responsibilities. With regard to the IO system, the OIG will have responsibility for, but not be limited to, the following:

A. Evaluating the allegations and making the determination regarding investigative jurisdiction.

B. In certain matters referred to the Department/Agency Head, providing specific guidance and assistance when appropriate.

C. Resolving through continuous dialogue between the IOs and OIG staff, all questions or issues that are raised as a result of a referral complaint.

SECTION 6. Procedures for IOs

IOs will be responsible to adhere to the following procedures:

A. Upon receipt of a complaint, the IOs will conduct the necessary investigation or assign the matter to a responsible Department/Agency manager.

B. The IOs will perform necessary follow up with the assigned management personnel to ensure that appropriate actions are taken in an expeditious manner and will maintain liaison with the OIG regarding the status. When requested, the IOs will provide status reports to the OIG.

C. If during an IO inquiry, there is evidence developed of either potential criminal activity or other matters that are deemed to be beyond the scope of Department/Agency

investigative jurisdiction, the matter should be referred to the OIG.

D. If during an IO inquiry, the IO feels that undue pressures are being directed toward him/her, either internally or externally, he/she may communicate directly to the OIG about this matter.

E. At the conclusion of the investigation, IOs should ensure that the necessary memoranda and reports are prepared and distributed to the authorized management officials for administrative adjudication. If necessary, IOs shall obtain assistance from Central Personnel Department concerning the adjudication action.

F. Integrity-related complaints of employee misconduct that are initiated within the Departments/Agencies should be formally shared with the OIG.

G. The IOs, at the request of the Department/Agency Head, may be involved in recommending or providing advice to appropriate officials in disciplinary actions that are the result of an IO investigation. Personnel Department input will be requested in the appropriate situations. The IOs are reminded that both Department/Agency Personnel and Central Personnel staffs are support resources available to them.

H. The IOs will ensure that results of the investigation and administrative actions are communicated to the OIG.

SECTION 7. Dissemination of Information

The provisions of this Executive Order shall be distributed to all current officials and employees of the Administrative and Executive Branch, and to all newly appointed officials and employees.

SECTION 8. Effective Date

This Order shall take effect immediately.

DATE July 29, 1994

Edward G Rendell

EDWARD G. RENDELL, MAYOR