Mayor's Goal 5: "Philadelphia government works efficiently and effectively, with integrity and responsiveness"

Topic:	**Integrity Office/Office of the Inspector General**
Key Presenters:	**Stephanie Tipton, *Chief Integrity Officer*** **Amy Kurland, *Inspector General***
Date:	**August 24th, 2015**

Why We're Here

The Nutter Administration: A Platform of Public Integrity

VISION:

The City of Philadelphia is a model for ethical and transparent operations and instills public confidence.

Who We Are

- Mission
- History
- Structure

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Chief Integrity Officer

Created by Executive Order in 2008
to promote honesty, integrity, and transparency in City government

- **Core Purpose**:
  - To uphold the public's trust by ensuring that the City operates with fairness and integrity, uncompromised by conflicts of interest, political affiliation, favoritism, or other unfair considerations.
- **Jurisdiction** over departments/contractors in the Executive Branch
- Main areas:
  - Gifts
  - Contracts
  - Vacant Land
  - Grants
  - Open Data
  - "Grey areas" – legal but might look bad

Office of the Inspector General

Strengthened by Executive Order 7-14 in 2008

- **Mission**:
  - To boost confidence in government by rooting out fraud, corruption and misconduct among City employees and companies doing business with the City
- **Jurisdiction** over all City employees, contractors and organizations receiving City money
  - Required cooperation with IG
- Granted its own budget and operational independence - works for mayor, but represents citizens
- Can issue subpoenas and compel testimony

What We Do

- Philosophy
- Goals
- Functions
- Challenges

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Executive Branch Integrity Philosophy

Integrity Office Goals

1

The Office increases awareness of, and compliance with, ethics rules by being a proactive, responsive and reliable resource to City employees, vendors, and the public.

- ✓ Education/Outreach
- ✓ Provide Guidance (formal and informal)

2

The Office prevents potential wrong-doing by proactively addressing ethical issues through the development of City policies and procedures in concert with City departments.

- ✓ Taskforce/Workgroups
- ✓ Policy-making

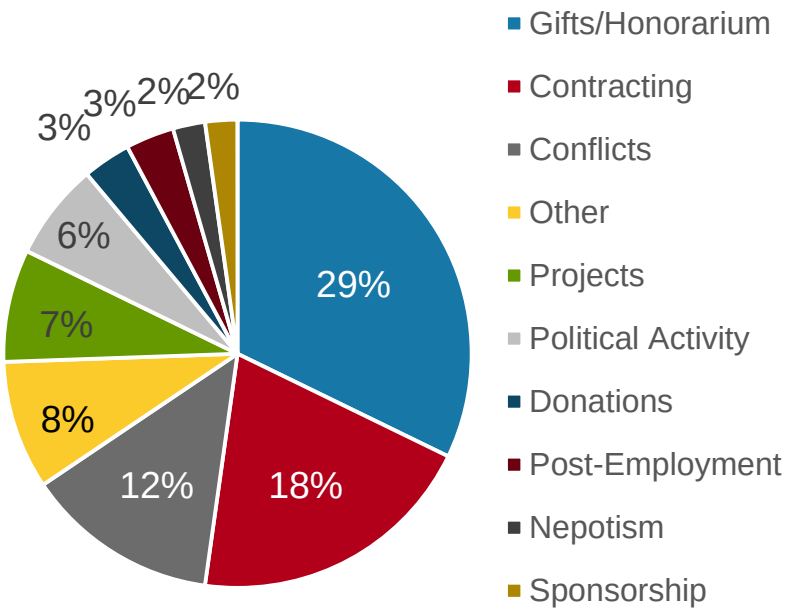
3

The City of Philadelphia becomes a model for transparent government operations through improved access to City information and on-going public engagement.

- ✓ IntegrityWorks
- ✓ Open Data (contracts, vacant land, leases)

Strategic Goal #1: Proactive, Responsive & Reliable Resource

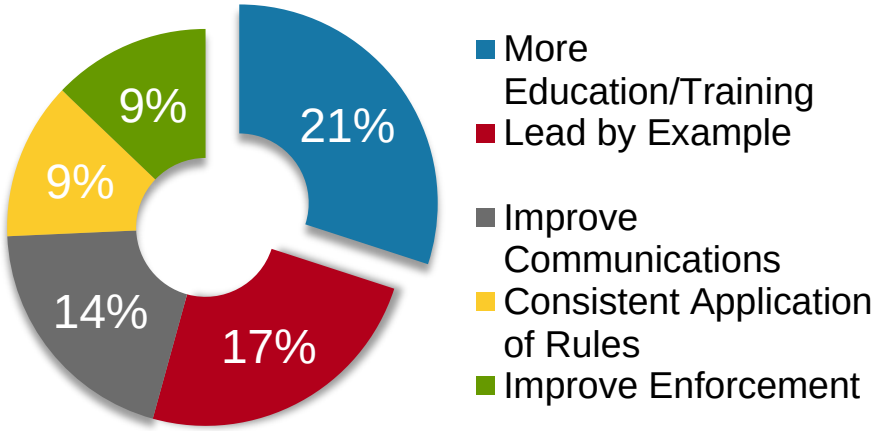
Top 10 Inquiry Categories 2014



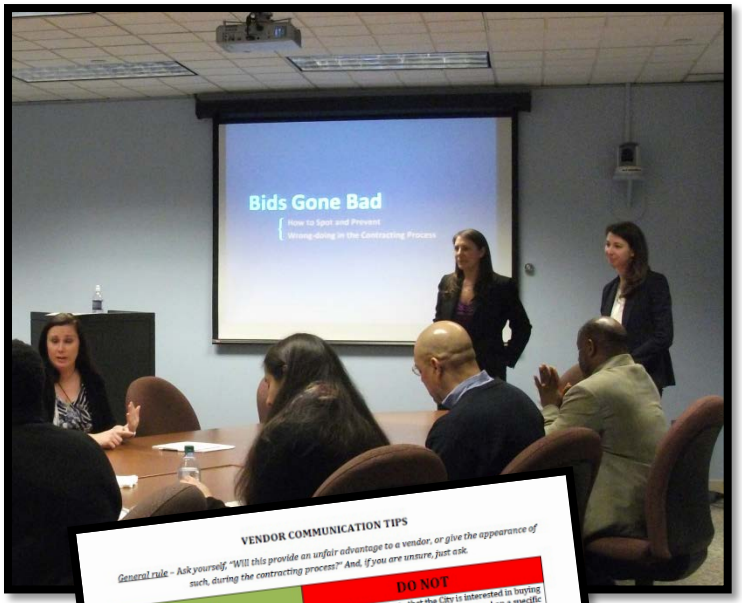
Total # of Inquiries CY 2014	208
Avg. # of Days to Resolve (All Inquiries)	12
Avg. # of Days to Resolve (Gift/Honorarium Inquiries)	1

City Employee Ethics Survey 2014

Q10: In your opinion, what is one thing the City could do to build a strong ethical culture among City employees?



Strategic Goal #2: Prevents Wrong-doing, Policies & Procedures

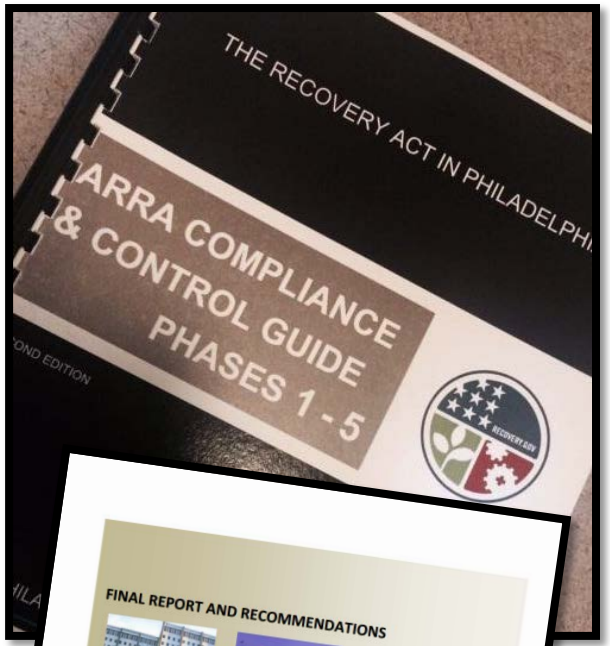


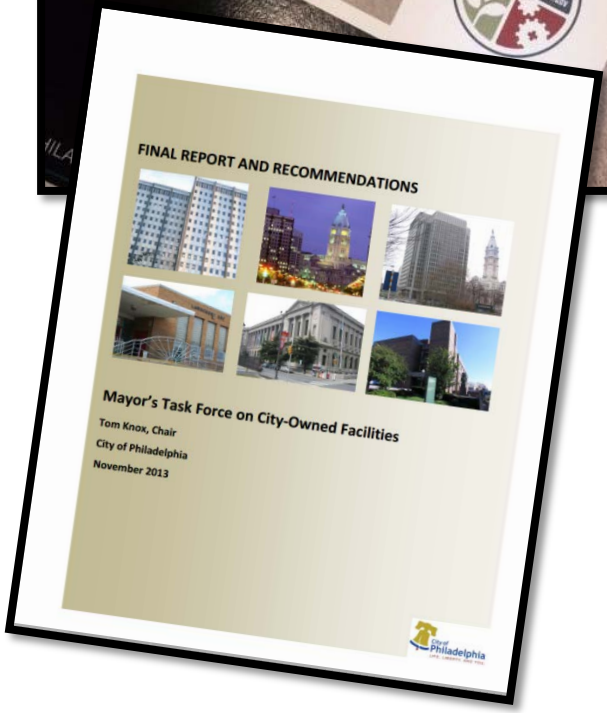
VENDOR COMMUNICATION TIPS

General rule – Ask yourself, "Will this provide an unfair advantage to a vendor, or give the appearance of such, during the contracting process?" And, if you are unsure, just ask.

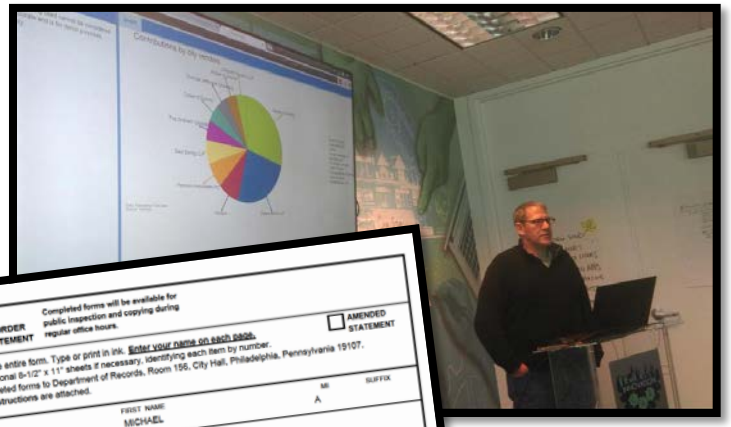
DO	DO NOT
Feel free to listen to sales pitches with coworkers but be clear that the City has no obligation to purchase anything and that no goods or services may be purchased outside the City's processes	Do not indicate that the City is interested in buying something, that a RFP/Bid will be released on a specific date, or what might be included in an upcoming opportunity
Write a Q&A procedure in the RFP/Bids (accept email or written questions only)	Do not answer questions without following the established procedure in the RFP/Bid
After the RFP/Bid is released you may contact as many vendors as possible to let them know and direct them to the appropriate website	Do not contact vendors BEFORE a RFP/Bid is posted and DO NOT have more than one opportunity close on the same day for the same department unless absolutely necessary
Keep a log of all phone calls and visits from vendors during bidding and selection process	Unless part of a pre-proposal, pre-bid meetings or presentation, do not discuss with vendors while the RFP/Bid is posted
Once a RFP/Bid is posted, direct vendors who call with questions to send via email or in writing by a set deadline. Issue all Q&A as an addendum	Do not answer questions about campaign disclosure forms submitted in response to a RFP – have applicants contact Finance directly
Ensure the contact person on the RFP or another designee is available on the application due date	Do not assume someone else is taking care of last minute issues or questions
If a vendor is having a technical issue in responding, direct the vendor either to contact Finance or Procurement, as appropriate	Do not share the details of any vendor's responses with another vendor
Contact Finance if you receive a LATE proposal or Procurement for late bid submissions	Do not accept responses that are not submitted in accordance with the RFP or Bid. Do not make any representations about the acceptability of late responses
Review and sign the conflict of interest/confidentiality form if you are part of the RFP selection committee and notify your agency head if you have an actual or potential conflict of interest with applicants	Do not participate in the RFP selection committee if you have a conflict of interest
Utilize the appropriate official notice process to announce the award of the winning vendor	Do not tell losing vendors in advance of the official award notification that they are not the winners
Contact Finance if a losing vendor protests the award of an RFP, and Procurement if a vendor wants to submit a bid protest	Do not continue communicating with the losing vendor; do not make any determinations on the merits of the protest without Law, Finance or Procurement involvement
If losing vendor requests a proposal or bid de-brief, get advice 1st from Law and either Finance or Procurement because each issue is different	Do not debrief losing vendors unless contract is signed

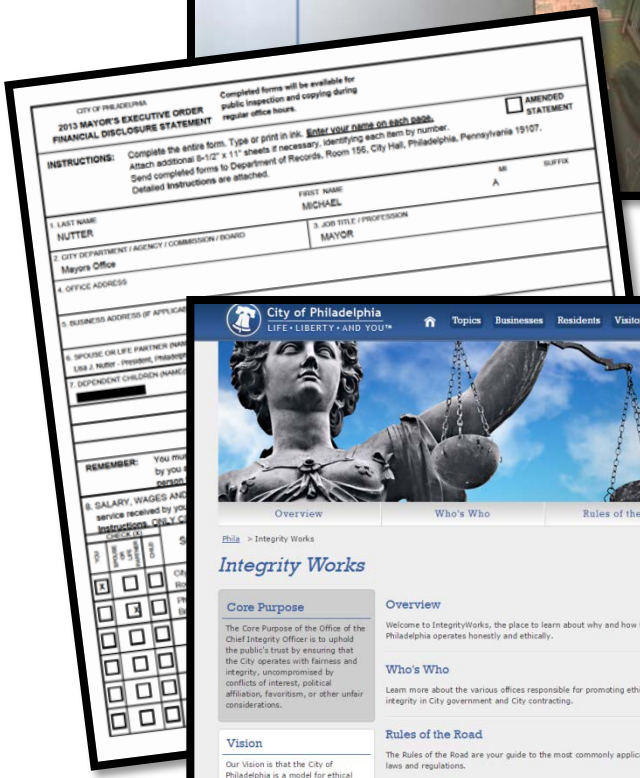
PROCUREMENT: 686-4720 **LAW:** 683-5037 **INTEGRITY OFFICE:** 686-2178
FINANCE CONTRACTING UNIT: 6-3499 *(internal)*
eContract Philly helpline: 686-4914 or econtractphilly@phila.gov *(vendors)*

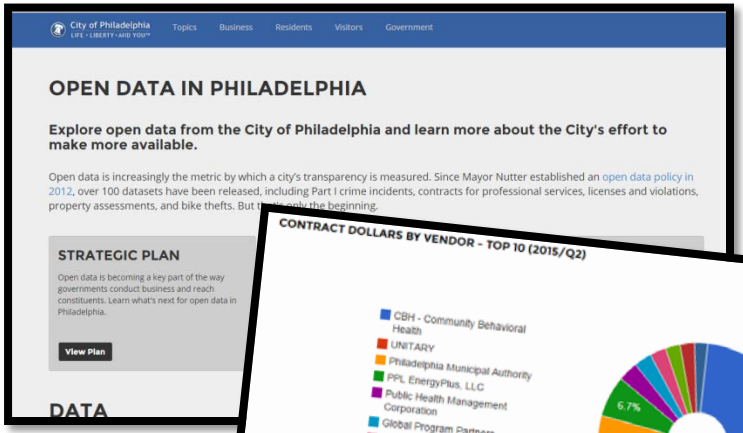


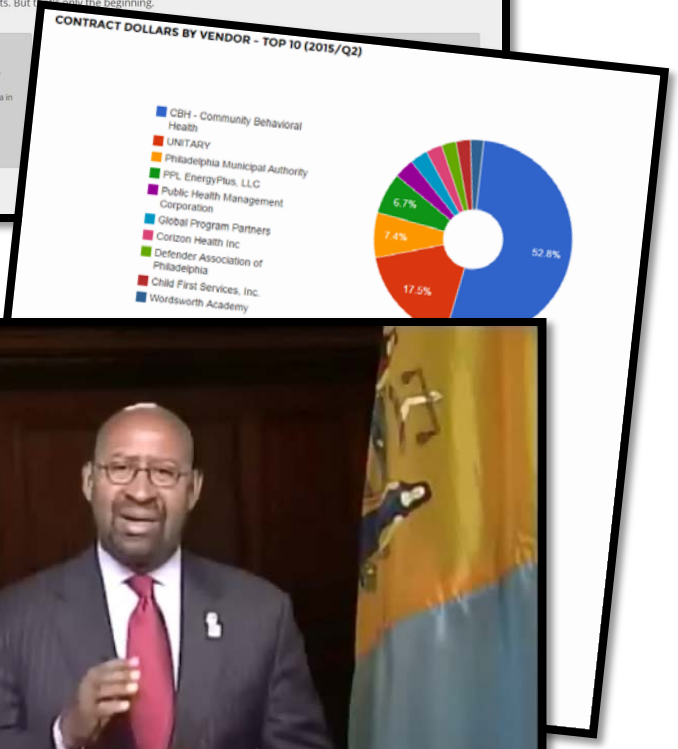


Strategic Goal #3: Access to City Information, Public Engagement









Office of the Inspector General

1

Administrative Investigations

Violations of City rules and regulations

2

Criminal Investigations

City employees, contractors and non-profits

3

Policy Recommendations

Full-circle solutions to systemic flaws

Strategic Goal #1: Administrative Investigations

- Recommend discipline, termination and debarment
- Recover money
- Enter into settlement and corporate compliance agreements

213
Terminations

$19M
Pension Savings

Strategic Goal #2: Criminal Investigations

- Work in partnership with local and federal law enforcement
- Testify in support of restitution

75	$5M	40	23
Arrests/Indictments	Restitution	Pleas/Convictions	Sentencings

Strategic Goal #3: Policy Recommendations

- Identify systemic flaws
- Recommend "full circle" solutions
- Work with departments to implement solutions

19
Compliance Agreements/Debarments

8
Policy Recommendations

Challenges

Leadership Transitions

Complex/Varied Public Integrity Laws

What's on the Horizon

- **Initiatives**
- **Sustaining the Gains**

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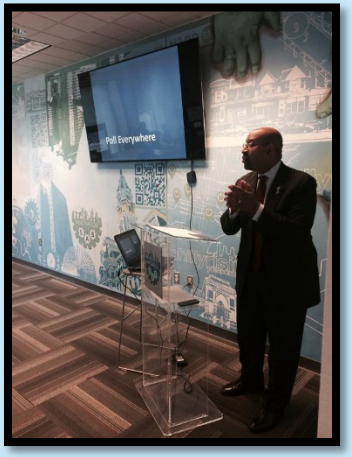
Key Initiatives

Chief Integrity Officer:



<u>Make Every Week Integrity Week</u>
November 16-20

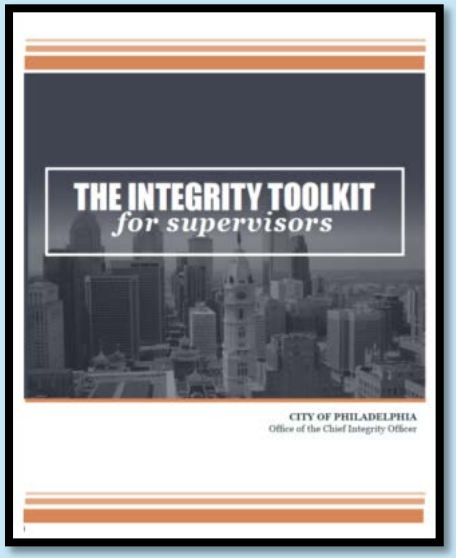
- Dave Davies Speaking Event
- Interactive Coffeehouse: Integrity Toolkit for Supervisors
- Bids Gone Bad
- Daily Emails, Twitter Chat, and Employee Contest

Office of the Inspector General:

- **Non-Profit Oversight**
  - Key Investigation: Self Inc.
  - Focusing on Charitable Organizations receiving funding from the City
- **Philadelphia School District**
  - January 2015: Memorandum of Understanding
  - Conducting investigations and offering recommendations on how to build an effective office of internal investigations

Key Initiatives: Integrity Office and Office of the Inspector General

Integrity Toolkit for Supervisors



Provide supervisors with tools to:

- Understand Public Integrity Laws
- Respond to employee reports of unethical behavior
- Report unethical behavior appropriately
- Foster open dialogue among employees about ethics

Sustaining the Gains

Chief Integrity Officer

- Keep CIO as Cabinet-level position
- Serve as convener and collaborator across agencies
- Biennial Ethics Survey of City Employees
- City-wide risk assessment
- Continue and expand outreach and awareness efforts
- Push for expansion of Open Data efforts

Office of the Inspector General

- Consistency/transparency
- Positive reinforcement
  - IG Integrity award
  - Honest employee letters
- Deterrence – constantly sending message
- Policy recommendations
- Community Outreach

Additional Public Resources

- www.phila.gov/ig
- www.phila.gov/integrityworks
- www.twitter.com/PHL_Integrity
- www.twitter.com/PhillyOIG