

**GOVERNMENT OF THE DISTRICT OF COLUMBIA**  
**Office of the Chief Financial Officer**



# **Code of Conduct**

Revised January 2018

## **MISSION, VALUES AND ZERO TOLERANCE POLICY FOR MISCONDUCT**

The mission of the Office of the Chief Financial Officer (OCFO) is to enhance the fiscal and financial stability, accountability, and integrity of the Government of the District of Columbia (District).

The OCFO is committed to providing a work environment that is focused on improvement, empowering employees, and creating a desirable work environment that sets the highest standards of conduct based on the OCFO values statement.

Each day, I will strive to provide the highest standard of service to the residents, businesses, visitors, and the government of the District of Columbia by being:

- S - Service Driven with a Strong Work Ethic
- M - Motivated and Mission Focused
- A - Accountable
- R - Respectful of My Customers and Co-workers
- T - Trustworthy and Team-Focused
- E - Empowered to Achieve Excellence
- R - Results Oriented

The mission can only be accomplished if all OCFO employees take notice of their professional and ethical obligations and perform their duties with honesty and integrity. Thus, the Office of the Chief Financial Officer is committed to a zero tolerance policy for fraud and misconduct.

This Code of Conduct (Code) is designed to give all OCFO employees notice of their professional and ethical obligations, and to guide them in the fulfillment of their professional duties.

The Code imparts three fundamental values:

- Employees should conduct themselves in such a manner as to maintain and enhance the integrity and professional reputation of the OCFO organization
- Employees should not use their positions to secure unwarranted privileges, awards, or exemptions for himself/herself or others
- Employees should avoid real or perceived conflicts of interest between the employee's private interest and the employee's official duties.

The OCFO expects employees to act with integrity, not only in terms of their own conduct, but in fulfilling their duty to report fraud, misconduct and suspicious or inappropriate activity, consistent with the OCFO zero tolerance policy.

Employees are required to acknowledge receipt of the Code of Conduct, read and follow its rules, attend the mandatory Annual Integrity and Ethics Training (AIET), and request clarification when necessary from the OCFO Ethics Officer or the Office of Integrity and Oversight, as appropriate.

Failure to abide by this Code of Conduct, or any law and regulation, will lead to disciplinary action appropriate to the violation, up to and including termination of employment. This Code is not intended to be all-inclusive. Any act that tends to discredit the OCFO should be avoided, regardless of whether it is described in this Code.

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## **I. Work Place Professionalism**

Employees are expected to conduct themselves with the public and with their fellow employees in a manner which will enhance public respect for, and confidence in, the employee and the Office of the Chief Financial Officer as a whole.

The OCFO is committed to maintaining a work environment free from violence, threats of violence, harassment, intimidation, and other disruptive behavior. Such conduct in the workplace or in connection with official business will not be tolerated and will be dealt with appropriately. This includes disciplinary action as well as possible criminal penalties.

Employees shall not discriminate against or harass any other employee, applicant for employment or person dealing with the OCFO on official business on the basis of actual or perceived race, color, religion, national origin, sex, age, marital status, personal appearance, sexual orientation, familial status, family responsibilities, matriculation, political affiliation, disability, source of income, or place of residence or business. Sexual Harassment, a form of sex discrimination, is prohibited, and will not be tolerated. Employees who engage in discriminatory conduct will be subject to disciplinary action.

Employees shall:

- Adhere to all federal, District, state, and local laws and regulations.
- Treat members of the public in a courteous manner.
- Interact with co-workers, supervisors and other government employees in a professional and respectful manner.
- Put forth honest effort in the performance of their duties.
- Perform their duties in an impartial manner.
- Maintain accurate records.
- Wear OCFO identification at all times while on duty.

Additionally, employees shall avoid any action that may lead members of the public to believe that the employee is:

- Using public office for private gain.
- Giving preferential treatment to anyone.
- Making work-related decisions contrary to agency/department policy.
- Using one's official position to harass or intimidate any person or entity.

## **II. Ethical Obligations**

### **Duty to be Honest**

It is vital to the OCFO that the public is able to rely on the honesty of all of its employees. Therefore, employees shall perform their duties with honesty and integrity. An employee shall not make any false or misleading verbal or written statements in matters relating to his/her official duties, submit false claims or make false allegations, or engage in any dishonest or illegal activity.

### Duty to File Tax Returns and Pay Taxes in a Timely Manner

OCFO employees must set the highest example for tax compliance with all applicable local, state, and federal tax laws and display the highest level of ethical conduct in the resolution of disputed personal tax issues. This includes the accurate reporting of all income, deductions and credits, assuring that tax withholding is sufficient to meet legal requirements, and that property tax information is accurate. Each OCFO employee is required to file timely all applicable local, state, and federal tax returns, and make payment in full when due. Employees are responsible for their personal tax compliance and should be knowledgeable of their tax affairs even if they are handled by a professional, spouse, or others.

### Duty to Satisfy Just Financial Obligations

Employees shall satisfy in good faith all just financial obligations, especially those – such as Federal, District, state and local taxes– in a proper and timely manner. For the purpose of the Code of Conduct, a "just financial obligation" means one acknowledged by the employee or reduced to judgment by a court or one imposed by law; "in a proper and timely manner" means in a manner which the OCFO determines does not, under the circumstances, reflect adversely on the OCFO as an employer. In the event of a dispute between an employee and an alleged creditor, this section does not require the OCFO to determine the validity or amount of the disputed debt.

### Duty to Attend Annual Integrity and Ethics Training

Every OCFO employee shall attend an AIET presentation sponsored by the OCFO. An employee must attend an entire AIET session and certify his or her attendance.

### Duty to Complete OCFO Confidential Financial Disclosure Report

OCFO employees, DS 13 or above, or those employees whose official positions have been so designated by management, must annually complete the OCFO Confidential Financial Disclosure Report upon written notification from the OCFO Ethics Officer .

### Duty to Cooperate with Official Inquiries

Employees shall cooperate with official inquiries and respond to questions truthfully and under oath, when required, whether orally or in writing, and must provide documents and other materials concerning matters of official interest when directed to do so by a District government authority, such as the OCFO Office of Integrity and Oversight, OCFO Department of Human Resources, OCFO Office of General Counsel, the D.C. Office of the Inspector General, the D.C Board of Ethics and Government Accountability and other such agencies.

### Duty to Protect Government Property

Employees have a duty to protect and conserve OCFO property, resources and technology and shall not use such property, resources and technology, or allow its use, for other than authorized purposes.

## Duty to Safeguard Sensitive Information and Reporting Its Theft or Loss

All employees must make every effort to assure the security of government property and information and prevent the unauthorized disclosure of protected information/data in the use of District owned or leased computers.

The theft of government property must be promptly reported to your manager and to the Office of Integrity and Oversight, which is responsible for referring the matter to the law enforcement agency with jurisdiction. If the theft involves sensitive data, such as social security numbers, confidential tax information, or other sensitive financial information in the possession of the OCFO, the theft must be reported immediately to your manager and to OIO, along with notification that the stolen property contains sensitive information.

## Duty to Comply with the Local Hatch Act

OCFO employees are reminded of their obligations under District and federal law concerning political activities. Although government employees are permitted to take part in partisan political campaigns, employees are cautioned that there are significant restrictions on employees' political activity. Employees are responsible for familiarizing themselves with these provisions. If you have questions about the Local Hatch Act, contact the OCFO Ethics Officer.

If your position is paid in whole or in part by federal funds, be advised that you are also subject to the federal Hatch Act. If you have questions about the federal Hatch Act, contact the U.S. Office of Special Counsel (OSC) (800) 854-2824 or visit the OSC website: [www.osc.gov](http://www.osc.gov). OCFO employees may also contact the OCFO Ethics Officer for guidance and assistance.

## III. Conflicts of Interest

Employees should perform all responsibilities with the highest degree of integrity and professionalism.

### Conflict of Interest:

A situation in which an employee's private interests, usually financial, conflict or raise a reasonable question of conflict with his/her official duties and responsibilities.

Below are some areas in which a conflict may arise:

### Outside Employment

Outside employment refers to paid or unpaid employment or business activities performed separate from an employee's position and official duties. Employees are generally allowed to engage in outside employment or business activities as long the employment or activity is consistent with applicable regulations and the OCFO's mission.

The employment must not interfere with the performance of the employee's official duties. Furthermore, it must not create a real conflict of interest, or create the appearance of a conflict of interest, between the employee's private interests and the employee's duties and responsibilities with the OCFO. Outside employment that is **not** compatible with government employment includes:

- Any outside position which permits an employee to benefit from his or her official title or position.
- Any outside position that impairs an employee's mental or physical capacity in a way that affects his or her ability to carry out his or her official duties.
- Any outside position that violates federal or District law.

Employees may, with prior written approval of their supervisor and the Executive Director of the Office of Human Resources, engage in outside employment. The Notice of Outside Employment form is available through the OCFO intranet, the OCFO Office of Human Resources or the OCFO Ethics Officer.

### Outside Activities

As a general matter, OCFO employees are permitted to engage in outside activities, such as teaching, writing, speaking engagements, and consulting, that are not prohibited by law, regulation or OCFO standards, and that such activities are conducted outside of the employee's regular working hours, or while the employee is on annual leave or leave without pay. However, the OCFO Ethics Officer must review all requests for service as an expert witness and compensation for teaching, speaking or writing that relate to the employee's official duties prior to submitting the request to the Executive Director of the Office of Human Resources for approval.

Prior approval may not be necessary for activities that are religious, social, political, charitable, personal or honorary in nature. However, an employee may not engage in outside activity which is not compatible with the full and proper discharge of his or her duties and responsibilities as a government employee. Questions about permissible activities should be referred to the OCFO Ethics Officer.

### Work Assignments

Employees have an obligation to avoid the potential conflicts of interest that exist in their employment and should not participate in any assignment that involves a member of the employee's family, or any individual or business with which the employee or member of the employee's family or household has a personal or financial interest.

Employees have a duty to disclose and report promptly the existence or possible existence of a conflict of interest to their agency head or his/her designee. If a conflict exists, the employee should request from his/her supervisor a reassignment of any case which involves the employee's immediate family, friend, or any person or entity with whom the employee has a significant relationship.

## IV. Gifts

Every employee has a fundamental responsibility to the District government and its residents to place loyalty to laws and ethical principles above private gain.

The term "gift" includes any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, or other item having monetary value. It includes services, as well as gifts of training, transportation, local travel, lodgings and meals, whether provided in-kind, by purchase of a ticket, payment in advance, or reimbursement after the expense has been incurred. It **does not** include:



- Food and beverages of nominal value, such as coffee and donuts, tea, soft drinks, and hors d'oeuvres offered at hosted receptions related to the employee's official duties.
- Admission costs, food and beverages of nominal value offered at events sponsored by charitable, civic, government or community organizations.
- Greeting cards and other items with little intrinsic value, such as plaques, certificates and trophies.
- Unsolicited advertising or promotional materials, such as pens, note pads and stress balls.

### Gifts from Outside Sources

OCFO employees shall not solicit or accept, either directly or through the intercession of others, any gift from an outside source that:

- Gives the gift because of your official position.
- Has, or is seeking to obtain, contractual or other business or financial relations with the District government.
- Conducts operations or activities that are subject to regulation by the District government.
- Has an interest that may be favorably affected by the performance or non-performance of the employee's official responsibilities.

Employees may accept:

- Anything for which you pay market value;
- Unsolicited gifts having a market value of \$10 or less, per source, per occasion, and no more than \$20 per year.
- Gifts motivated by a family relationship or personal friendship rather than the position of the employee.
- Meals, lodging, transportation and other benefits resulting from the business activities of an employee's spouse or the employee's authorized outside business activities (when it is clear the benefits have not been offered or enlarged because of the employee's official position).
- Free attendance at an event on the day of an event when an employee is assigned to participate as a speaker or panel member on behalf of the Agency.

There are other exceptions to the "gift rule," such as discounts available for Government employees as a group, and free attendance at widely attended meetings and events where the employee's attendance is determined to be in the best interest of the agency. These and other possible exceptions have limitations based on the circumstances. Therefore, an employee should contact the OCFO Ethics Officer for a determination.

Employees should not attend holiday celebrations sponsored or hosted by contractors, entities seeking to obtain contracts with the District, or entities regulated by the District, nor allow those entities to supply food, refreshments, or other items of value to employee-hosted events.

Since employees may not accept any gift or thing of value, the acceptance of gifts like travel expenses, lodging, meals, invitations or tickets to spectator and other events (e.g., a basketball game, the ballet, private club, sports tournaments, museum admission fees, tours, celebrations, galas), and services (e.g. car washing, investment counseling) is prohibited.

The offer of something of value may constitute a crime. Except for those areas in which the gift prohibition rule does not apply, as described above, employees must promptly report to the Internal Security Division of the Office of Integrity and Oversight the offer of any gift or gratuity.

If an employee receives a gift from an outside source, including perishable items, which he or she was unable to decline, e.g. it was delivered to the office, or where circumstances, such as a presentation at a public event or where sensitivities indicate it would cause embarrassment to a well-intentioned person, the employee should promptly contact the Internal Security Division of the Office of Integrity and Oversight. Internal Security will address the matter and arrange for the return, disposition or retention of the item, as appropriate.

Any gift offered or received from a foreign government must be reported to the OCFO Ethics Officer, who will coordinate with Internal Security concerning retention or disposition of the item.

### Gifts between OCFO Employees

The definition of gift is the same as described in the above section.

### Gifts to Superiors

Employees should not solicit contributions from other employees for gifts to persons in superior positions, or make a donation as a gift to a superior, or accept a gift from a subordinate employee. This does not preclude the presentation or acceptance of a voluntary gift when given on a special, infrequent occasion, such as birthday, marriage, birth or adoption of a child, retirement, resignation, illness, death or a holiday on which gifts are traditionally given or exchanged.

The maximum value of a gift given to a superior shall not exceed \$25 when provided by an individual employee and shall not exceed \$10 when collecting for a group gift.

Solicitors must make clear to all prospective contributors that contributions are voluntary. Supervisors should not solicit a gift, or contributions from an employee under his supervision under any circumstances.

### Gifts between Employees

Gifts from superiors to subordinates, as well as gifts between employees that do not involve a subordinate-superior relationship, are permissible if the gifts:

- Are provided on an occasional basis, such as occasions on which gifts are traditionally given or exchanged.
- Are of a value appropriate to the occasion and the relationship of the employees.
- Do not create the appearance of impropriety due to the frequency and/or value of the gift(s).

The OCFO Ethics Officer is available to provide guidance on this subject and should be consulted if an employee has any questions on this subject.

## V. Prohibited Activities

The OCFO has identified certain activities that are specifically prohibited, as described in this section:

### Disclosure of Official Information

Employees shall not disclose official information without proper authority. All sensitive information such as PII (Personally Identifiable Information); District, State and Federal tax information; employee personnel records; and internal policies and procedures must be kept confidential and properly secured.

An employee may not engage in a financial transaction using nonpublic Government information, nor allow the improper use of such information to further his/her own private interest or that of another, whether through advice or recommendation, or by unauthorized disclosure.

It is unlawful for any employee or any former employee to divulge the amount of income or any information set forth or disclosed in any tax record or other confidential information.

The following are examples of prohibited activities:

- Accessing personnel records for personal use or disseminating that information to unauthorized individuals.
- Divulging information related to the District's cash flow status.
- Accessing tax records for personal use.
- Working on matters involving family, friends, or associates (the employee must notify his/her supervisor and request reassignment of the work).
- "Browsing" of tax records or payroll data in order to satisfy personal curiosity.
- Giving information to friends or relatives concerning taxpayers.
- Disclosing confidential information relating to internal policies, procedures and investigations.

If an employee is uncertain whether disclosure is authorized in a particular situation, he or she should discuss the facts with a supervisor or the OCFO Ethics Officer.

### Representation as an Agent or Attorney

An OCFO employee may not represent another as an agent or attorney, with or without compensation, before an agency, officer, commission, or court in connection with any matter in which the District is a party or has a direct and substantial interest. This provision applies whether or not the employee makes a personal appearance in the proceeding.

### Tax-Related Activities

The following activities are prohibited for all Office of Tax and Revenue (OTR) employees and any OCFO employee who has been notified in writing by the OCFO that his/her position precludes such activities:

- Tax return preparation on behalf of any District taxpayer for compensation, gift or favor;

employees should also limit free tax return preparation except for family, family business, and organized nonprofit projects, such as volunteers in tax assistance.

- Appearing on behalf of any District taxpayer as a representative before any District or federal agency in any action involving a tax matter, except on written authorization by the Chief Financial Officer or his/her designee.
- Performance of legal services on behalf of any District taxpayer involving District or federal tax matters.
- Tax related debt collection related to any District taxpayer; this prohibition applies to all District and federal taxes.
- Tax and financial planning or tax counseling on behalf of any District taxpayer for compensation; this prohibition applies to all District and federal taxes.
- Real Property appraisals for District properties.
- Participation in real property tax sales or sales of property seized by the Office of Tax and Revenue (see restriction for family members at the end of this list)\*
- Participation as an agent in real estate transactions in the District.
- Title searches for District properties.

\* Family members of OTR employees and designated OCFO officials, as described above, are also prohibited from participating in these activities. For this purpose, family members include an employee's spouse/domestic partner, relatives of the employee and of the employee's spouse/domestic partner who are full time residents of the employee's household, and the employee's minor children, irrespective of residence.

### Participating in D.C. Government Public Auctions

Current DC regulations prohibit all District government employees, their agents, or members of their households from bidding or purchasing District surplus property offered at public auction. OCFO employees are subject to this prohibition regardless of whether the OCFO agency is involved in the auction. OCFO employees are also prohibited from participating in the District's Unclaimed Property auctions, whether conducted on eBay or any other platform.

### Purchasing of DC Lottery Tickets

By statute, employees of the Office of Lottery and Charitable Games (OLCG) and family members are prohibited from purchasing DC lottery tickets and sharing and receiving DC lottery prizes. They are also subject to other restrictions relating to purchasing tickets in the District of Columbia for games administered by a multi-state lottery with which OLCG is associated.

The above-cited restrictions also apply to any OCFO employees (and family members) who have been so notified in writing by the OCFO in view of the duties of their position and relationship to OLCG operations.

### Soliciting, Selling and Canvassing

Employees shall not, by any means including email, solicit, make collections, canvas for the sale of any article, or distribute literature or advertising in any government-owned or leased property or while on duty without appropriate authority.

## Fundraising

In addition to the DC One Fund Campaign, OCFO employees may also participate in and/or organize non-profit charitable fundraising efforts for the benefit of District of Columbia residents, schools or charitable organizations located in the District of Columbia in their official capacity as an OCFO employee in accordance with Financial Management and Control Order 14-21, which can be found on the OCFO intranet.

For all other fundraising efforts, employees should consult with the OCFO Ethics Officer for guidance.

## Gambling, Betting, and Lotteries

Employees shall not participate, while on duty or when on government-owned or leased facility, in any gambling activity, including the operation of a gambling device, in conducting a lottery pool, in a game for money or property, or in selling or purchasing raffle tickets, except for those lawful activities sponsored by the DC Lottery.

## Surreptitious Recordings in the Workplace

Recording conversations in the workplace or while conducting business on behalf of the OCFO with a recording or electronic transmission device, without the knowledge and consent of all parties who are part of the conversation, is prohibited. This prohibition is intended to eliminate a chilling effect on the expression of views that may occur when one person is concerned that his or her conversation with another is being secretly recorded. This concern can inhibit spontaneous and honest dialogue, especially when sensitive or confidential matters are being discussed. Any employee who records or electronically transmits a conversation in violation of this policy shall be subject to termination.

## Recommending Professional Assistance

Employees may not recommend or suggest, specifically or by implication, to anyone that he/she obtain the services of any particular accountant, attorney, or firm of accountants or attorneys, or any other person or professional or business organization in connection with any official business which involves or may involve the OCFO. Subject to Section III., Conflict of Interest - Work Assignments, this section does not prohibit employees from conducting market research and providing a list of potential vendors in connection with the procurement process established by the OCFO Office of Contracts.

## Post-Employment Restrictions

OCFO employees who are thinking about seeking a job outside the District Government need to be aware of the legal requirements that apply to the process of looking for other work. In addition, both current and former employee should know about potential post-employment restrictions before they begin a non-Government job. These restrictions are needed to safeguard public confidence in the integrity of Government employees by preventing actual and apparent conflicts of interest. Employees should pay close attention to these requirements because they carry potential criminal and administrative sanctions.

As a general rule, an employee may not participate personally and substantially, as a government employee, in any particular matter in which a person or an organization, with whom he/she is seeking

employment or has any arrangement concerning prospective employment, has a financial interest. The post-employment laws contain more detail than can be fully described in this document.

Employees who are thinking about seeking employment or are actually doing so may obtain oral or written advice on seeking other employment or the post-employment laws from the OCFO Ethics Officer.

## **VI. Illegal Activities**

### **Controlled Substances and Intoxicants/Alcohol**

No employee shall sell, use or possess controlled substances or intoxicants in violation of the law, while on official duty or on government-owned or leased property nor shall an employee be perceived as being under the influence of a controlled substance or intoxicant, such as alcohol, in the workplace. No employee shall use a controlled substance or intoxicant, in a manner that adversely affects the employee's work performance.

### **Weapons**

No employee shall possess firearms, explosives or other dangerous or deadly weapons, while on official duty or on government-owned or leased property.

### **Reporting Arrests, the Filing of Criminal Charges, and the Disposition of Charges**

Employees must notify the OCFO Executive Director of Human Resources within seven business days of being arrested for any offense, and whenever criminal charges have been filed against the employee for any misdemeanor or felony.

Employees are similarly required to report the disposition of any criminal charge regardless of the outcome of the case by the next business day. This reporting requirement does not apply to the disposition of traffic offenses, except in the following circumstances:

- The employee was arrested in connection with the traffic offense.
- The cited violation was alcohol or drug related.
- The disposition of the case involved an actual or suspended sentence of incarceration or community service.
- The disposition results in the suspension or revocation of the driver's license of an employee whose official duties require the possession of a valid driver's license.

### **Federal Bribery and Conflict of Interest Laws**

Employees generally understand that they are bound by the various laws, including criminal statutes, contained in the DC Code. However, there are certain criminal statutes in the federal criminal code that also apply to officers and employees of the Government of the District of Columbia. These crimes, known as the Bribery and Conflict of Interest statutes, are set forth in Chapter 11 of Title 18 of the United States Code, specifically Sections, 201, 203, 205, 207, 208, 209 and 216.

## Misuse of Government Funds or Property

Employees shall not use or permit another to use government funds or property for private or political purposes.

## Falsification of Records

Employees shall not falsify records to include, official time and attendance records, authorized receipts, invoices, entries or certificates.

## VII. Requirements for the Acquisition of Goods and Services

It is imperative that these policies and procedures are followed in order to ensure the financial integrity of the OCFO and the Government of the District of Columbia. Failure to adhere to these policies and procedures may result in disciplinary action and exposure to civil monetary penalties, up to and including imprisonment.

Under no circumstances should an order (written or verbal) be sent to a vendor or contractor without budget authority and proper authorization from the OCFO Office of Contracts.

## Use of Government Credit Cards

All purchases for the OCFO with a District Government authorized credit card must be in accordance with rules and regulations governing the use of these cards. OCFO employees are responsible for knowing the requirements for use of these cards and shall comply with all such requirements, including the types of purchases and the dollar ceilings established. Information concerning these requirements is available from your manager or the OCFO Office of Contracts.

## Requirement of a Valid Written Contract

No OCFO employee shall enter into an oral agreement with a vendor to provide goods or services. Except in cases of authorized purchases under the District's credit card program, all OCFO employees shall obtain goods and services only in accordance with a valid written contract or purchase order, pursuant to OCFO rules and regulations established by the OCFO Office of Contracts. Information concerning these requirements is available from the OCFO Office of Contracts. Only OCFO Contracting Officer's with delegated authority from the CFO are authorized to execute contracts on behalf of the OCFO.

## Anti-Deficiency Requirements

All employees shall comply with the provisions of the federal Anti-Deficiency Act (31 U.S.C. §§ 1341, 1342, 1349, 1351), the District of Columbia Anti-Deficiency Act (D.C. Official Code §§ 47-355.01 *et seq.* (2015 Repl. & 2017 Supp.)), DC Official Code § 47-105 (2015 Repl.) and DC Official Code § 1-204.46 (2016 Repl.), as may be amended. Specifically, all employees are prohibited from: making or authorizing an expenditure or obligation exceeding an amount available in an appropriation or fund; involving the District in a contract or obligation for the payment of money before an appropriation is made unless authorized by law; approving a disbursement without appropriate authorization; or deferring the recordation of a transaction incurred in the current fiscal year to a future fiscal year.



Information concerning the requirements of the Anti-Deficiency Act is available from the OCFO Office of General Counsel.

## **VIII. Reporting Misconduct and Other Violations**

The OCFO provides an environment that fosters employee confidence in meeting his/her responsibility to report wrongdoing. OCFO management shall take effective action on matters that are reported, and demonstrate organizational support for employees who in good faith report misconduct and suspicious or inappropriate activity. No manager shall take or threaten to take any action against any employee as a reprisal for making a complaint or disclosing information pursuant to this Code of Conduct. Employees must report promptly to the Office of Integrity and Oversight (OIO) any information that an employee, former employee, or contractor engaged in:

- Violations of this Code of Conduct.
- Criminal conduct in a matter under the responsibility of the OCFO.
- Fraud, waste, abuse.
- Suspicious activity.

### **Reporting Bribe Attempts and Gratuities**

- Employees must promptly report incidents of attempted bribery to OIO, which is responsible for referring the matter to the law enforcement agency with jurisdiction. Employees should contact OIO for assistance when uncertain whether a bribe overture was made.
- Employees must promptly report to OIO the offer or receipt of any gift from an outside source, as described in the Gifts section of this Code of Conduct.

### **Reporting Management Issues and Serious Program Incidents**

- Employees must report management issues and program concerns to their supervisor or other appropriate management officials.
- Employees must report to OCFO management or to OIO serious instances of mismanagement or abuse which jeopardize an OCFO program or operation, the public safety, or where District funds are placed at risk.

### **How to Report Misconduct and Other Violations**

Violations can be reported by telephone, in person, mail or e-mail, to the Office of Integrity and Oversight, 1100 4th Street, S.W.; Suite E750 Washington, DC 20024; (202)442-6433.

#### **OCFO Hotline**

In order to address any concern an employee may have about reporting anonymously, the OCFO has contracted with an independent, third-party organization that provides a confidential hotline service, which ensures that employees can report anonymously.

Information on this system and how it ensures anonymity is contained on the CFO Intranet (access the Ethics and Integrity link, and then access "Reporting Misconduct") This site also has a link to access this hotline online, or it can be accessed directly at [www.ocfo.ethicspoint.com](http://www.ocfo.ethicspoint.com). Reports can also be



made by telephone to this toll-free hotline, which is staffed 24 hours a day, at 1-877-252-8805. Employees may also report fraud, waste, and abuse directly to the District of Columbia Office of the Inspector General (OIG). The OIG is located at 717 14th Street, N.W., 5th Floor, Washington, DC 20005. Reporting can be done electronically at [www.oig.dc.gov](http://www.oig.dc.gov) or by telephone at 1- 800-521-1639.

## **IX. Points of Contact for Code of Conduct Issues**

OCFO Confidential Hotline	1-877-252-8805
OCFO Office of Integrity and Oversight	(202)442-6433
OCFO Ethics Officer	(202)442-7127
OCFO Office of General Counsel	(202)727-9528
OCFO Office of Human Resources	(202)442-6523
OCFO Program Manager, Employee and Labor Relations	(202)442-4069