



Memo

To: Carlos Holt, City Auditor
Via: Anthony Lyons, City Manager 
From: Christopher Quinn, Finance Director 
Date: 6/27/2018
Re: General Government Vendor Master File Audit Response

Thank you for the opportunity to comment on the recently completed audit of the General Government and Gainesville Regional Utilities Vendor Master File. We appreciate the time and effort expended by the City Auditor's office in conducting the audit. We have reviewed the recommendations provided to General Government and offer the following response.

We are in full agreement with the necessity of implementing policies and procedures that comprehensively address the Vendor Master File process. The Procurement Division of the Budget & Finance Department has developed a new Vendor Master File Implementation Policy and Procedure that is scheduled to be rolled out to the City departments with an implementation date of August 1, 2018. Training on the new process is being developed by the Procurement Division and will be provided to the departments in July 2018.

We believe that we have fully addressed the concerns and recommendations presented in the audit report in the new Vendor Master File Policy and Procedure. The Procurement Manager is responsible for the implementation, maintenance, and update of the process.

Audit Recommendation	Concur/ Do Not Concur	Corrective Action Plan	Proposed Completion Date
1) Establish Policies and Procedures that address:			
a) an annual risk assessment, establishment of key controls and accountability necessary to implement the controls	Concur	The Vendor Master File Procedure provides for an annual review of the processes and controls for potential modification.	August 1, 2018
b) enrollment (request, verification, and approval) and maintenance of vendors	Concur	The Vendor Master File Procedure requires User Departments to request new vendor setup and existing vendor modification, with verification by the Budget & Finance Department Account Clerk, and approval by the assigned Procurement Division Buyer.	August 1, 2018
c) standardizing vendor input information, supporting documentation needed, and retention of all supporting documentation (Vendor Application Form, W9, EFT form) in a central location database or file share that includes the requestor and approver of the vendor and the means used to validate vendor's existence and accuracy	Concur	The Vendor Master File Procedure directs the AP Data Entry Clerk to follow the adopted Vendor Naming Convention when inputting a new vendor. The Vendor Master File Procedure requires the departments to submit a Vendor Application Checklist with the Vendor Application Form. The Checklist requires supporting documentation for vendor modification approval, including a W9 and EFT Form. Verification procedures are performed by the Budget & Finance Department Account Clerk and noted on the Checklist. The Checklist and supporting verification documentation is scanned and maintained in a specified secure folder on the shared Accounting drive for review by authorized personnel only. A naming and folder structure for maintaining those files has been created.	August 1, 2018
d) periodically reviewing the Vendor Master File regularly (biannually, quarterly, etc.) to ensure vendors with no activity are marked inactive, duplicate vendors are corrected, and the accuracy of the vendor information is adequate and authorized. This review should be performed by management or staff independent of those involved in vendor setup	Concur	The Vendor Master File Procedure provides for annual Vendor Master File maintenance. The annual review is conducted to identify potential conflicts of interest, duplication, and errors in vendor records. Vendors with no activity for the past 18 months are inactivated. Monthly review of modifications to the Master Vendor File by the Procurement Manager or designee is also provided.	August 1, 2018

Audit Recommendation	Concur/ Do Not Concur	Corrective Action Plan	Proposed Completion Date
e) segregation of duties of City employees with incompatible duties (AP and Vendor setup and modification) that have access to modifying the Vendor Master File	Concur	We recognize the importance of proper segregation of duties; therefore, with current system constraints that require data input to the Vendor Master File be performed by AP, we have built compensating controls into the Vendor Master File Procedure. A monthly review by the Procurement Manager to confirm that only modifications approved by the Procurement Division have been made to the Vendor Master File is required.	August 1, 2018
2) Assign personnel necessary to establish proper segregation of duties, perform the annual risk assessment, and for the process that mitigate risk and potential for fraud.	Concur	Where feasible, incompatible duties have been segregated between the Procurement and Accounts Payable Divisions, with monitoring provided by the Procurement Manager and the Internal Control Manager.	August 1, 2018
3) In anticipation of the new ERP system, management should review and mark all vendors without activity or deemed not necessary as inactive, and consider not transferring the entire Vendor Master File at that time.	Concur	In anticipation of the implementation of the new Vendor Master File Policy and Procedure, Accounts Payable has identified vendors with activity, including new vendor applications, in the past 18 months. All other vendors will be marked inactive. Only active vendors' paper documentation will be scanned to the new secure electronic Vendor Master File location.	August 1, 2018
Management should address the need for risk assessment, formal policies and procedures and personnel on staff in the Vendor Master File process by:			
4) Create formal policies and procedures to review any adds, changes or deletions made to the Vendor Master File to ensure completeness, accuracy and existence of changes. This review should be performed by management or staff independent of those involved in vendor setup.	Concur	The Vendor Master File Procedure provides for monthly review by the Procurement Manager or designee to compare the Vendor Application Forms approved by the Procurement Division Buyer to the report on modifications to vendors report from the Accounts Payable system.	August 1, 2018
5) Obtain the personnel necessary to conduct a proper risk assessment, establish formal policies and procedures, and perform controls needed for mitigating risk and potential for fraud.	Concur	The Vendor Master File Procedure directs the Procurement Manager to coordinate an annual review of the Vendor Master File Policy and Procedure to develop additional screening techniques to identify vendors for potential inactivation.	August 1, 2018

Audit Recommendation	Concur/ Do Not Concur	Corrective Action Plan	Proposed Completion Date
6) Create formal access rights policies and procedures to provide the needed checks and balances for strengthening the access rights and enforcing:			
a) segregation of duties by restricting user access to allow only the ability to either: <ul style="list-style-type: none"> ▪ enter or modify but not approve changes to the Vendor Master File ▪ neither role above should be approving payment of invoices 	Concur	We reviewed current Security Roles for individuals who can enter or modify changes to the Vendor Master File and find that none also have access to approve changes. Finance and Budget is looking at means to eliminate security role conflicts for invoice approvers who are also able to enter, modify, or approve changes to the Vendor Master File. In the meantime, the department has established detective controls to monitor the conflict. The conflicts can be resolved when the new ERP workflow system is implemented, and potentially prior to that time as the new procurement procedures are practiced.	Completed
b) a process to review user accounts on a regular basis to ensure users access and permission is commensurate with their responsibilities.	Concur	Internal Control is currently developing a manual for review tasks to be completed on a regular basis, and will include an annual comprehensive review of Security Roles for incompatible access.	October 1, 2018
Management should address the need for management oversight in the Vendor Master File and Human Resources annual reminder processes by:			
7) Changing vendors that are in violation of Section 2-146 of the City of Gainesville Code of Ordinances to inactive.	Concur	These changes have been completed by the AP Supervisor.	Completed
8) Developing more robust methods of preventing and detecting conflicts of interest in both the vendor setup, vendor maintenance and procurement process.	Concur	The Vendor Application Form includes a certification by the vendor that no conflicts exist. Departmental training will cover the issue of conflicts of interest. The Vendor Master File Implementation Procedure provides for an annual review that includes reviewing for conflicts of interest.	August 1, 2018
9) Providing accountability to employees violating Section 2-146 of the City of Gainesville Code of Ordinances and those not completing the Annual Reminder Acknowledgement.	Concur	Human Resources will communicate to all employees that failure to timely alert management and request approval for outside employment may result in discipline. The Annual Reminder will be updated to include a reference to Section 2-146 of the Code of Ordinances. Completion of the Acknowledgement of Receipt of the Annual Reminder will be mandated by a specific date, and procedures for noncompliance will be established in an HR Practice.	August 15, 2018



Vendor Master File Implementation

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Purpose of this Procedure

The purpose of this procedure is to provide for the maintenance and control of an accurate database of vendor master files within the Procurement Division of the Finance Department. This procedure was created in order to improve efficiency within the Procurement function by avoiding occurrences of unauthorized or inappropriate activity, duplicate vendors and/or payments, and vendor information inaccuracies. This Vendor Master File Implementation Procedure will further define the process for requesting, creating, and maintaining the vendor master files. Inaccurate, incomplete, or unauthorized vendor records may increase the risk of fraud or abuse.

References

N/A

Terms & Abbreviations

<u>Term</u>	<u>Abbreviation</u>
Accounts Payable	AP
Billing & Collections	B&C
Enterprise Resource Planning	ERP

Accountability

The Procurement Manager is responsible for the creation and proper maintenance of vendor master files within the ERP system.

User Departments are responsible for searching the approved vendor list in the ERP system before requesting new vendor creations or modifications to current vendors to avoid duplicate requests.

Monitoring

The Procurement Manager oversees and approves the application process. On a monthly basis, the Procurement Manager or their designee will review a report on new and changed vendors to compare to the approved Vendor Application Forms that have been routed through the department for the current month. A reconciliation will also be made to the change in the total number of vendors to the number of new Vendor Application Forms approved for the month to ensure all new vendors have been through the processes in this procedure.

Effective Date

The Vendor Master File Implementation Procedures will become effective August 1, 2018.

Processes

1. The User Department sends the Vendor Application Form, Electronic Funds Transfer Form, Form W-9, and the Vendor Application Checklist to the Budget & Finance Department Account Clerk, via email distribution list: [VendorApp](#)
 - Order of documents attached to email should be as follows:
 - Vendor Application Checklist
 - Form W-9
 - Vendor Application Form
 - Electronic Funds Transfer Form

Applications that are submitted directly to other city departments, from vendors who would like to do business with the City but are not currently working with a department, should also be forwarded by email to the distribution list: [VendorApp](#).

2. The Budget & Finance Department Account Clerk checks and confirms that the City can do business with Vendor by performing the verification requirements listed on the Vendor Application Checklist. Exceptions to the required documentation may be made for the following and the exception should be noted on the Checklist:

Customer refunds & rebates
Recruiting expenses (prior approval required)
Certain travel expenses (prior approval required)
Other exception (explanation and prior approval required)

If one of the Local Small Business Types is checked, the Account Clerk emails the application to the Office of Equal Opportunity for approval.

The Account Clerk will then forward the email with attached documentation to the appropriate Procurement Division Buyer for further review.

3. The Buyer reviews the Vendor Application Checklist and attachments for completeness, provides approval for the vendor addition or change where indicated on the Vendor Application Checklist, and then forwards all documents via email to the AP Division at cityap@cityofgainesville.org for data entry.
4. Buyer will notify the Field Collector in the Billing & Collection Division of vendor request if the vendor has a physical or mailing address in Gainesville.
 - If vendor is required to pay business tax, Billing & Collections will bill vendor
 - If vendor is not compliant with business tax, Billing & Collections will notify the AP Data Entry Clerk that vendor data entry should be stopped
 - If Vendor entry has started, the Vendor will be inactivated
 - If Vendor has payments pending, escalation will go to Procurement Manager
5. The AP Data Entry Clerk enters the Vendor either as a new Vendor, or if indicated on the Vendor Application Form, updates an existing Vendor's information. When entering a new Vendor, the AP Data Entry Clerk follows the adopted Vendor Naming Convention. All documentation is attached to the VCC or VCM in the system.
6. The Vendor information is work flowed through the ERP system to the AP Supervisor for quality control and final approval. The AP Data Entry Clerk notifies the AP Supervisor that the entry is pending approval, and copies the originating department to update them on status and to provide the temporary vendor number. A new Vendor pending approval status is not accessible for purchase order entry by the department.
7. The AP Supervisor confirms that the direct deposit and tax reporting information is input correctly. Upon approval, the AP Supervisor responds to the AP Data Entry Clerk email that the Vendor update has been approved. The originating department is copied on the email, and the Procurement Division Program Assistant is also added to this email.
8. The Procurement Division Program Assistant downloads and saves the vendor file (including the complete application package) in a specified secure folder on the shared Accounting drive as a .pdf file for back up. This folder is accessible to only the Accounts Payable and Procurement Divisions.

For assistance or questions regarding the Vendor Master File Implementation Procedures, please contact the Procurement Division at [VendorApp](#).

Annual Vendor Master File Maintenance

On or shortly after October 1 of each year the Procurement Manager will conduct a review of all active vendors in the vendor master file for conflicts of interest, duplication, and errors. Any active vendors with no activity for the past 18 months will be inactivated. In coordination with the Internal Control Manager, the Procurement Manager will develop additional screening techniques to identify Vendors for potential inactivation. This Procedure will be reviewed annually and modified as necessary.

Approver and Review Details

Approval and Review	Details
Approval Authority and Date	Finance Director
Administrator	Procurement Manager
Next Review Date	

Approval and Amendment History	Details
Original Approval Authority and Date	
Amendment Authority and Date	
Notes	

Vendor Application Checklist

DEPARTMENT INFORMATION:

Department submitting Vendor Application Form:
Department Representative:
Extension and Box #:

VENDOR INFORMATION:

Company Name:
Contact:
Email:
Phone: Fax:

IMPORTANT:

Departments must submit all of the required documents, if applicable, listed below to the Procurement Division for approval before Vendor can be setup.

Required Documents:

CHECK General:

- Vendor Application Electronic
- Funds Transfer Form
- W-9 Form

Exceptions:

- Customer refund or rebate
- Recruiting expense: _____
approved by _____
- Certain travel expenses: _____
approved by _____
- Other (explain): _____
approved by _____

Procurement Verification Documents: (Procurement Use Only)

- Registered with Florida Department of State, Division of Corporations to do business in the State of Florida www.sunbiz.org
- NOT on the Florida Department of Management Services, Convicted Vendor List www.dms.myflorida.com/business_operations/state_purchasing/vendor_information/convicted_suspended_discriminatory_c_complaints_vendor_lists/convicted_vendor_list
- NOT listed as a debarred vendor (Excluded Parties List System at www.sam.gov)
- Current on City Business Tax (if applicable, Buyer will notify Business Tax)
- Telephone vendor to confirm changes
- Verified TIN or SSN, using www.irs.gov matching system
- Forwarded Application with Local Small Business Type to OEO, if applicable
- NO judgement filed by the City

Procurement Approval:

Procurement Representative: Please Select
Date Approved for Vendor Setup:
Extension and Box #:

CITY OF GAINESVILLE, FLORIDA - VENDOR APPLICATION FORM
Please return the completed original Vendor Application and related forms to
the City department you are doing business with.

**THE CITY OF GAINESVILLE IS NOT RESPONSIBLE FOR PAYMENT OF ANY GOODS OR SERVICES
PROVIDED PRIOR TO THE COMPLETION AND ACCEPTANCE OF THIS VENDOR APPLICATION FORM.**

Please type or print legibly all information requested.
A completed W-9 and Electronic Funds Transfer (EFT) Form
must be submitted to complete the Vendor Application.

THE CITY OF GAINESVILLE PAYS ONLY BY EFT.

Submission is for: New Vendor Vendor Update

Business Name and Classification:

Legal Name:

Alias/DBA:

Web Address:

Taxpayer ID Number (TIN):

Taxpayer ID Type: EIN SSN/ITIN/ATIN

Organization Type: Individual Company

Classification: Individual Sole Proprietorship Partnership Incorporated

What department will the vendor be doing business with?

Local Small Business Type (if applicable to City of Gainesville):

<input type="checkbox"/> Local – Small Business (S2)	<input type="checkbox"/> Minority – Woman-owned (M2)
<input type="checkbox"/> Minority – African/American (H2)	<input type="checkbox"/> Minority – Asian/Hawaiian (J2)
<input type="checkbox"/> Minority – Hispanic (I2)	<input type="checkbox"/> Minority – Native American (K2)
<input type="checkbox"/> Service-Disabled Veteran (SDV)	

If checked, subject to approval by City's Office of Equal Opportunity

Procurement (Purchase Order) Address Information:

Number and Street:

Phone:

Apartment or Suite No:

E-Mail:

City:

Fax:

State:

Alternate Phone:

Zip:

Alternate Fax:

Contact Name:

Contact Address (if different than above):

City:

State:

Zip:

I certify that no City Commissioner, other City officer, or City employee directly or indirectly owns any personal interest in the profits of, nor derives any benefit from any contract, job, work, or service for the municipality performed by the vendor or business.

Print Name and Title

Date Signed: _____

Signature

CITY OF GAINESVILLE, FLORIDA - VENDOR APPLICATION FORM
Please return the completed original Vendor Application and related forms to
the City department you are doing business with.

ELECTRONIC FUNDS TRANSFER FORM

NOTE: Vendors will be paid by electronic funds transfers (EFT).

Vendor Name:

Vendor Address:

City:

State, Zip:

Authorized Signatory:

E-Mail:

Taxpayer ID Number (TIN) or Social Security Number:

I hereby authorize The City of Gainesville, Florida hereinafter called CITY to start payment entries to the account and the DEPOSITORY indicated below, and to credit the same such account.

Bank Name:

Bank Address:

City:

State:

Zip:

BK/TRANSIT/ABA/NO:

(see example below)

Account Number:

Account Type:

Checking

Savings

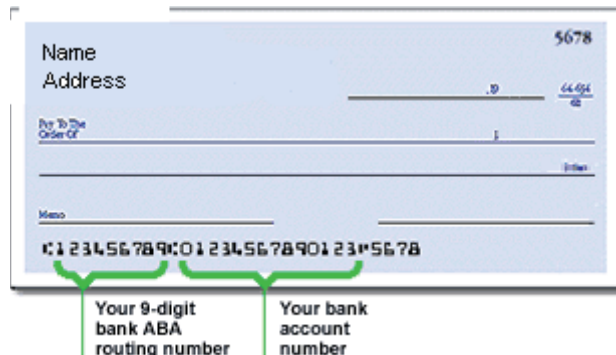
This authority is to remain in full force and effect until the CITY has received written notification from me of its termination in such time and in such manner as to afford the CITY a reasonable opportunity to act on it.

Signature: _____

Date:

Suggestion - cut out the check's signature area before voiding the check and sending it to the department.
Standard Information form accepted in lieu of voided check (can also be used for depository only account).

Attach a Voided Check Here



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People empowered

Human Resources/Organizational Development

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DATE: July xx, 2018
TO: All employees
FROM: Lisa Jefferson, Interim Human Resources Director
SUBJECT: Outside Employment, Business or Volunteer Activity

In the course of a recent audit, management became aware of the potential for non-compliance with policy, City ordinance and state law. Specifically, the audit pointed to Policy E-7: Outside Employment, Business or Volunteer Activity; Policy G-2: Code of Ethical Standards; Section 2-146 of the City's Code of Ordinances; and 112.313(7)(a) of the Florida Statutes.

Historically, employees were informed at the time of hire – and each year thereafter through the Annual Reminder – that written approval from the Department Head is required prior to engaging in outside employment. In addition, employees are reminded each year of the City's Code of Ethical Standards. While all employees are also subject to local law and statutory prohibitions on conflicts of interest, no regular, ongoing effort was undertaken to communicate these prohibitions.

In order that we might limit risk and safeguard against fraud and conflict of interest, changes have been made in how we communicate employee obligations and enforce compliance. Effective immediately, all employees are to receive advance, written approval from their supervisor and department head to work outside employment. In addition, consistent with guidance in the Annual Reminder, employees already approved to work outside employment must renew that approval annually, no later than January 31st of each year. Failure to comply with these requirements may result in disciplinary action.

A copy of the applicable policies, ordinance, statute and form are attached. Should you have any questions regarding this information, please contact Scott Heffner at x8708.

Annual Reminder

Each year, employees of the City are provided an update on a range of City policies and procedures. The purpose of the Reminder is to provide consistent communication of the City's rules and to ensure employees are aware of their obligation to comply with those rules.

In order to ensure orderly distribution of the Reminder and timely acknowledgement, the practice described herein shall be followed.

- I. Human Resources will summarize policies and procedures to be included in the Annual Reminder. The determination of what will be included shall be made by the Human Resources Director. Consideration will be given to basic compliance requirements and policies that are topical for a given year.
- II. The Reminder is to be distributed no later than January 31st each year. Distribution may be via hard copy and/or electronic format. Newly hired employees will be issued an Annual Reminder during New Employee Orientation.
- III. Employees must acknowledge receiving, reviewing and understanding the Reminder. Acknowledgment may be via handwritten signature or electronic submission; and other than for newly hired employees, must be completed no later than March 31st of each year.
- IV. Human Resources will compile and monitor all acknowledgments. Beginning April 1st of each year, Human Resources will notify those areas of the organization where employees have yet to acknowledge receipt of the Annual Reminder.
- V. Failure by any employee to acknowledge receipt, review and understanding of the Annual Reminder may provide the basis for progressive discipline.

Adopted: 07/02/2018

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Human Resources/Organizational
Development Department

DATE: ~~January 31, 2018~~ January xx, 2019
TO: All City Employees
FROM: ~~Eugenia Allen-Mercado~~ Lisa Jefferson, Interim Human Resources Director
SUBJECT: 2018 Annual Reminders

Human Resources, in partnership with the Charter Officers, reviews the City's HR Policies and the corresponding procedures on an ongoing basis. To ensure that you are aware of the most current policies and procedures, please regularly visit the [Human Resources/Organizational Development \(HR/OD\) Policies page](#) on the intranet.

There are several important policies, procedures and practices that are encountered so infrequently that they may be overlooked. To ensure you stay informed about these important issues that may affect your employment, we annually provide you with a list of reminders for your review. Please carefully review this list and take the appropriate action if any of these items apply to you.

1. Beneficiary Information

If your status has changed (marriage, divorce, change to partner status, new parent, death of a current beneficiary, etc.) remember to check your beneficiary designations for life insurance, pension, retiree health savings (RHS) and supplemental retirement (457, IRA, 401a, etc.). You may make such changes or check your current designation by visiting Risk Management, located on the ground floor of the Old Library Building, or by calling 334-5045.

2. Healthcare Coverage

If your marital status or Certified Domestic Partnership (may only be declared during onboarding or open enrollment) status has changed or if you have a new child (natural, adopted, step or foster), notify Risk Management – within 30 days of the event – if you wish to make changes to your healthcare coverage consistent with that change in status. For information on additional qualifying events, call Risk Management.

3. Change of Name/Address/Telephone Number/Driver License Number

If you have moved or changed your telephone number, be sure to notify HR/OD and your supervisor. All employees are required to keep their Department and HR/OD notified of their proper address and telephone number. Failure to notify may result in progressive disciplinary action, up to and including dismissal. If your job requires you to maintain a valid Florida Driver License and your driver license number changes, please be sure to notify HR/OD. The form to update your name, address, telephone or driver license number is located on the HR/OD Intranet Site under HR Forms, or to access the form directly visit the employee intranet at [Change of Address](#) Form.

4. Timekeeping Practices

All non-exempt/hourly employees must accurately record all hours worked, including the actual start/stop times of hours worked, meal/lunch periods, and leave usage, on a designated timesheet, time card, or through the use of a time clock. The City's timekeeping requirements are more fully set forth in the Timekeeping Practices document, which is located on the HR/OD Intranet Site under HR Policies and HR Practices. To access the document directly, visit the employee intranet at [Timekeeping Practices](#).

5. Code of Conduct/Disciplinary Procedures

Employees should familiarize themselves with the City's Code of Conduct/Disciplinary Procedures Policy E-3. While many of the rules and regulations under Policy E-3 govern on-the-job conduct, there are rules and regulations that also govern off-the-job conduct; one such rule is Rule 44 – misdemeanor and felony convictions. An employee convicted of a misdemeanor or felony is required to immediately notify his/her supervisor. Failure to notify the supervisor before the supervisor finds out from another source may result in more severe disciplinary action, up to and including dismissal.

6. Loss of Driver License

Except as provided below, employees who drive or are subject to driving a City-owned vehicle or personal vehicle on City business are required to notify their supervisors by the end of the next business day following receipt of a notice of suspension, revocation, cancellation, lost privilege or disqualification from driving. Employees who hold a Commercial Driver License (CDL) are required to notify their employer within 30 days of any conviction for a traffic violation, except parking, regardless of the nature of the violation or the type of vehicle that was driven at the time. Failure to notify may result in progressive disciplinary action, up to and including dismissal.

Regional Transit System (RTS) employees who operate RTS vehicles:

1. Traffic citations received while on duty must be reported before leaving work on the day the citation was received.
2. All traffic convictions related to driving non-Regional Transit System vehicles must be reported within 30 days.
3. Any notice received from the DMV, a police office, or a court regarding driving privileges must be reported within 1 day of notification.

7. The City of Gainesville is a Drug-Free Workplace

Any employee who is taking over-the-counter medications or prescription drugs that might impair safety, performance, or any motor functions shall advise his/her direct management representative of the possible impairment before reporting to work under the influence of such medication. Also, employees are obligated to notify their appropriate management representative of the arrest for any alleged violation of or conviction under any criminal drug statute. Pursuant to Policy E-3,

disciplinary action, up to and including dismissal may be initiated for violating the Drug-Free Workplace Program.

8. Technology Use Policy

Employees should familiarize themselves with the City's Use of Technology Systems Policy G-7. Users who violate this policy are subject to a full range of penalties, including loss of use of City IT Systems without notification, disciplinary action, up to and including dismissal, and all other penalties available under the law.

9. Public Records Policy

Employees should familiarize themselves with the duties and responsibilities under the City's Public Records Policy G-5 and Public Records Administrative Procedure G-5. Each City employee is the custodian of any public record under his or her supervision and control and is required to retain such records in accordance with the records retention schedules established by the Florida Department of State.

10. Outside Employment, Business or Volunteer Activity Policy

Employees should be aware of the City's Outside Employment, Business or Volunteer Activity Policy E-7. In addition, employees should be aware of Sec. 2-146 of the Code of Ordinances, which provides that employees shall not have any personal interest in the profits of, nor derive any benefit from any contract, job, work, or service for the municipality, except for employment compensation. The [request for Outside Employment or Business Activity](#) must be renewed by January 31st of each year. Failure to comply with this policy may result in progressive disciplinary action, up to and including dismissal.

11. Ethics Policy

Employees should familiarize themselves with the City's Code of Ethical Standards Policy G-2. The successful operation of a democratic government requires that employees observe the highest standards of morality and discharge their duties of office recognizing that the public interest must be their primary concern. Since it is neither desirable nor possible to list all possible activities that could result in a breach of the public trust, this code serves as a guideline and statement of policy. Each employee bears a personal responsibility for assessing his or her own compliance with these policies and guidelines. The ethical connotations of every action should be considered carefully and be directed toward enhancement rather than erosion of the public trust. Violations of this policy may result in progressive disciplinary action, up to and including dismissal.

12. Anti-Discrimination Policies

Employees should familiarize themselves with the duties and rights under the City's Discrimination, Harassment, and Conduct Policy – EO-4 and Equal Opportunity Complaint Policy – EO-8. Employees have an obligation to report observed discrimination or harassment and managers/supervisor have an obligation to report and take appropriate action either reported or observed. Failure to comply with these policies may result in progressive disciplinary action, up to and including dismissal.

13. **Take Home Vehicles – Insurance**

If you are assigned a take home City vehicle there may be periods of time when an employee operating a City owned vehicle is not covered by the City's self-insurance program. The City's insurance program covers claims that arise out of our operations. In general, for an employee to be covered by the City's program, the accident/claim had to occur while the employee is in the course and scope of employment. Personal use is not covered by the City's self-insurance program.

For employees with take home vehicles, it is recommended that each employee contact their insurance company/agent to discuss the availability of an endorsement to their auto policy that would provide third party property damage and bodily injury coverage for the limited personal use of an employer owned vehicle. This is typically a coverage that can be added to your policy and would provide coverage for the periods of time you are operating the City's vehicle for personal use (coming and going to work). **While coverage is not required, it is recommended.** The amount of coverage is a personal choice and should reflect the level of protection you need to protect your financial interest. As a starting point, Risk Management has suggested that you begin with not less than \$100,000 per individual and \$300,000 per accident.

If you use your personal vehicle for City business, you should contact your company/agent to ensure that your personal auto policy covers you for limited use of your vehicle for work.

14. **Motor Vehicle Accidents**

If an employee has an accident involving a City vehicle or his/her personal vehicle while on City business, the employee is obligated to immediately notify his/her supervisor/manager for instructions regarding whether he/she should proceed to a collection site for drug testing.

If the employee's supervisor/manager has any question as to whether the employee should be tested, the Risk Management Department should be contacted. After normal business hours or on weekends, call Risk Management Director Steve Varvel, if necessary, at 375-4574 or 281-6566. This requirement is in addition to the accident/injury reporting requirements noted below.

15. **Reporting Injuries/Accidents**

Employees should be aware of and familiarize themselves with the injury/accident reporting requirements outlined in the City of Gainesville Safety Policy Manual. The City requires all injury/accident reports to be completed on the *Accident Analysis form* (AAF) before the end of the shift in which the injury/accident occurs. The Safety Policy Manual and the *Accident Analysis form* are located on the Risk Management Intranet site under Safety and Worker's Compensation or to access the documents directly visit the employee intranet at [Safety and Workers' Compensation](#). Any questions regarding the Safety Policy Manual or completion of the *Accident Analysis form* should be directed to Workers' Compensation & Loss Control Manager David Jarvis at 393-8898, the Risk Management Safety Division at 334-5045 or your Department's designated Safety Specialist.

Employee's responsibilities when injured on the job:

- Report the injury to his/her supervisor or manager and fill out the appropriate section(s) of the *Accident Analysis form* **before the end of shift** and submit to Risk Management (electronically or in hard copy) within 24 hours of the accident or injury or the next business day.
- If the employee requires medical treatment, then the *Accident Analysis form* must be submitted at the time of the treatment or when referred for treatment. Report to EHS, for treatment when practicable to do so **or** to an authorized non-City treatment facility.
- Receive authorization from EHS **BEFORE** receiving outside treatment except during an emergency or after EHS normal working hours. If EHS is closed or if the injury occurs during non-working hours of EHS, you may receive authorization for treatment by contacting David Jarvis at (352) 316-2697.

Note: Authorized non-City treatment facilities will seek authorization from the City prior to providing treatment. **Unauthorized treatment and/or medication will not be paid for by the City.**

- **All Employees must:**

- Return to EHS after every visit to the physician treating the injury and provide the documentation given to them by the treating physician or his/her office.
- Report to the Risk Management Safety Division located on the ground floor of the Old Library Bldg. with his/her supervisor or manager for completion of Workers' Compensation form for any injury requiring medical treatment or days off from work.
- Report any days off from work to his/her supervisor or manager and the Risk Management Safety Division.

- **Supervisor's responsibilities when an employee is injured on the job:**

- Meet with the employee, investigate the incident, and fill out the appropriate section(s) of the *Accident Analysis Form* **before the end of shift.**
- Complete the *Accident Analysis Form* for all medical/lost time injury cases.
- DO NOT let the employee return to work without approval from Employee Health Services (**if the employee has lost time from work or when the injury requires medical treatment**).
- When an employee has been evaluated as capable of performing in a rehabilitative duty assignment, has requested such and a rehabilitative duty assignment is available and accepted by the employee, notify the Risk Management Safety Division.
- Immediately notify the Risk Management Safety Division of any change in the employee's work status if it is related to an on-the-job injury.

16. Financial Disclosure Requirement

The State of Florida Commission on Ethics requires public employees with greater than \$20,000 purchasing authority to file a "*Statement of Financial Interest Form*" within 30 days of their appointment. You will be required to submit this form each

year that you maintain authority. If an employee leaves employment with the City, or moves to a position that no longer requires purchasing authority greater than \$20,000, he/she must file a "Final Form 1F" within 60 days after change of position or separation.

To learn more about this requirement and to obtain the "Statement of Financial Interests Form 1", please visit <http://www.ethics.state.fl.us/>

17. Non-Cash Fringe Benefits

A non-cash fringe benefit is a form of pay (including property, services, cash equivalent, e.g., a gift card) in addition to stated pay for the performance of services. Fringe benefits for employees are taxable wages unless specifically excluded by a section of the Internal Revenue Code (IRC) IRC §61. In most cases, uniforms are considered to be non-cash fringe benefits, and therefore are considered taxable wages. More information about this subject can be found on the Internal Revenue service webpage at www.irs.gov.

Non-cash fringe benefits must be reported on Form 19B and be submitted to the Payroll Department at Box 15. Questions regarding the use of Form 19B should be directed to Financial Services Coordinator John Skaja at ext. 8607.

18. Family Medical Leave Act (FMLA)

Annual certification - If an employee's need for FMLA leave lasts beyond a single FMLA leave year, the employee must provide a new medical certification every calendar year for each event.

Management will make every effort to keep you informed throughout the year when a policy is updated, but it is your responsibility to stay abreast of these changes and ensure that you are following the most up-to-date version of a policy or procedure. Please regularly check the HR/OD Intranet Site under *Policies, Practices & Guidelines*. If you received this memo electronically, you may [click here](#).

As a reminder, below are some of the Policies that have been recently updated:

~~C-4: Extra Compensation to Exempt Employees~~

~~E-6: Separation from Service~~

L-2: General Leave Policies

L-3: Paid Time Off Leave System

L-5: Leave of absence with or without pay

L-8: Military Leave Policy

This memorandum is not meant to supersede or restate in full every policy, procedure or practice that applies to City employees. Therefore, if you have any questions concerning any of the items in this memorandum or any other policy, procedure or practice, please discuss with your manager or supervisor.

City of Gainesville
2019 Annual Reminder Acknowledgement of Receipt

Department: _____

My Department met with me and provided an overview of the 2019 Annual Reminder and I received a copy of it. I understand it is my responsibility to be familiar with the Annual Reminder and to take appropriate action.

ID Number	Last Name	First Name	Middle Initial	Signature	Date Signed

Failure to sign and submit this form (if not submitting electronically) may subject you to discipline.