Code of Conduct Procedure
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Revised Date: April 25, 2016   **Page 1 of 5**

Objective
Admin adopts MN Management & Budget (MMB) Statewide Operating Policy Number *0103-01, Code of Conduct*. MMB's policy requires Admin to develop internal procedures. This procedure explains the steps Admin must take to implement the policy.

General Procedures

Step	Action	Responsible Party	Timeline
1.	Through words and actions, conduct oneself in the following manner: • Act honestly and ethically in carrying out one's employment duties and responsibilities; • Comply with all policies and procedures pertinent to one's job duties, and all state/federal laws, rules, and regulations; • Cooperate fully with internal, legislative, or external auditors in all areas of their examinations; • Report suspected code of conduct and ethics violations, significant internal control weaknesses, evidence of theft, embezzlement, unlawful use of public funds or property or other irregularities/wrongdoings through appropriate agency channels as designated; and, • **Per *M.S. 609.456*,** report any evidence of theft, embezzlement, or unlawful use of public funds or property, to the legislative auditor's **office directly or in coordination with the Ethics Officer (HR Director) or the FMR Director** using the *allegation form*.	All Admin employees, including agency head and managers	N/A
2.	Determine which employees and/or positions to which the code of conduct will be applicable. At a minimum, the code must be made applicable to the senior management team and all employees with accounting, auditing, financial reporting, and tax filing duties (i.e., all employees involved directly or indirectly in recording, processing, summarizing, or reporting financial transaction). **Attached is a list of position classifications that are required to certify the code of conduct. Plant Management administers the code of conduct certification and recertification by positions. Due to Admin's enterprise role, the agency included positions beyond the minimum requirement.**	Agency head, managers, FMR, and HR	N/A

Step	Action	Responsible Party	Timeline
3.	Determine the mechanisms and communication channels for employees to use for reporting suspected violations of the code of conduct, significant internal control weaknesses, or other irregularities and wrongdoings. Note: Communication mechanisms must be designed to ensure employees are comfortable about raising ethical issues and bringing forward complaints/allegations of wrongdoing through retaliation-free channels. **Admin employees should report concerns to the Ethics Officer (HR Director) or the FMR Director or the Internal Auditor.**	Agency head and managers	N/A
4.	Determine the process for investigating and resolving reports of suspected code violations, and the disciplinary actions to be taken against employees that fail to carry out the responsibilities/duties established in Action Step #1. **Admin follows established investigatory procedures.**	Agency head and managers	N/A
5.	Determine the type(s) and frequency of code of conduct related training required for applicable employees. At a minimum, employees must receive code of conduct and ethics related training within 60 days of initial employment or assumption of a new position that falls within the agency's code of conduct applicability scope. Note: MMB has developed online code of conduct related training materials for statewide use for both employees and agency heads. The current training materials are tailored specifically for employees with accounting, auditing, financial reporting, and tax filing duties and can be accessed at http://mn.gov/mmb/internalcontrol/executivebranchagencyrequirements/codeofconducttraining/001NewEmployeefaq.jsp **Admin will provide the following training opportunities:** • **New employee benefits orientation** • **MMB training offered annually** • **Agency-specific training as determined**	Agency managers	N/A

Step	Action	Responsible Party	Timeline
6.	Determine the timing and process for applicable employees to certify their knowledge of, and their agreement to abide by, the code of conduct provisions. At a minimum, applicable employees must certify within 60 days of initial employment or assumption of a new position that falls within the agency's code of conduct applicability scope, and once each fiscal year thereafter. Notes: • Certification by each applicable employee is important for establishing accountability. However, this action step does not require that employees sign hard copy certification forms or that signed forms be maintained in any particular location (e.g., personnel files). Therefore, agency management may choose to have employees certify electronically and to file certification forms electronically as long as the forms can be readily accessed and verified. • This action step does not require that code of conduct training be provided in concert with annual recertification. However, agency management may choose to require code-related training on an annual or other frequency basis. **When required, Admin will have new hires/promotions/ transfers/demotions complete the initial certification within 60 days. Re-certifications will be completed annually.**	Agency head and managers	N/A
7.	Document the agency's code of conduct/ethics related policies and procedures as determined in Action Steps 2-6. **Identified in steps 2-6 above.**	Agency head or designee	N/A
8.	Administer and support training programs to ensure applicable employees are knowledgeable about: • Professional standards, laws, regulations, internal controls, and ethical responsibilities relevant to their specific job position; and, • Responsibilities under this policy, particularly the communication channels/mechanism to be used for reporting suspected code violations, internal control weaknesses, or other irregularities/wrongdoings.	Agency head and managers	N/A
9.	Perform/obtain applicable code of conduct/ethics related training within 60 days of initial employment (or assumption of new position falling within the agency's code of conduct scope) and as required by agency policy thereafter. **See step 5**	All applicable Admin employees, including agency head, managers, and HR	Within 60 days of hire or assumption of an applicable position

Step	Action	Responsible Party	Timeline
10.	Certify knowledge of, and agreement to abide by, the code of conduct provisions within 60 days of initial employment, and once annually thereafter. Note: There are two certification forms – one to be signed by agency heads and one to be signed by applicable employees, supervisors, and managers. Each of the certification forms can be accessed at links provided in the Forms and Additional Reference Materials section of this document. **See step 6**	All applicable Admin employees, including agency head, managers, HR, and FMR	Within 60 days of hire or assumption of applicable position AND once each fiscal year thereafter
11.	Ensure that any report of a code of conduct/ethics violation or other wrongdoing is researched and resolved in a timely manner and in accordance with the agency's designated resolution procedures. Also, ensure that law enforcement and/or the legislative auditor is notified, as applicable.	Agency head	N/A

Forms
Code of Conduct certification forms for: 1) agency heads; and, 2) managers, supervisors, and employees:
http://mn.gov/mmb/internalcontrol/executivebranchagencyrequirements/codeofconducttraining/002EmployeeRecertfaq.jsp
The Internal Control & Accountability - code of conduct information and training webpage:
http://mn.gov/mmb/internalcontrol/executivebranchagencyrequirements/codeofconducttraining/
The Office of the Legislative Auditor - report suspected wrongdoing webpage:
http://www.auditor.leg.state.mn.us/reporting.htm

Related Policies and Procedures
MMB Operating Policy 0103-01, Code of Conduct (Admin adopted)

Admin Code of Conduct Classifications

March 22,2016

Classifications

Account Clerk - All levels	Construction Proj Coord Princ	Office Services Supervisor - All levels
Accounting Director	Construction Proj Options Mgr	Office Specialist
Accounting Manager	Contract Specialist - All levels	Pharmacist - All levels
Accounting Officer - All levels	Demographer State	Planner Principal State
Accounting Supervisor - All levels	Deputy Commr Administration	Planning Dir Develop Disabilit
Accounting Technician	Dir Public Info Policy Analysis	Planning Dir State
Acquisition Management Spec - All levels	Director Office of Grants Mgmt	Plant Mgmt Dir
Admin Agency Div Director - All levels	EID Program Manager	Plant Mgmt Technical Svcs Mgr
Admin Planning Director State	Electrical Maintenance Supervisor	Plant Mntc Engineer Chief
Agency Chief Financial Officer	Electricial Supervisor	Plumber Chief
Agency Policy Specialist	Employee Devel Spec - All levels	Power Plant Chief Engineer
Architect 2	Engineering Specialist Sr	Proj Consultant - All levels
Asst Commr Administration	Exec Aide	Proj Consultant - All levels
Asst to Commr	Executive 2	Real Estate Management Director
Auction Program Specialist	Financial Management Director	Real Estate Technician
Auditor - All levels	Grants Specialist - All levels	Rehabilitation Couns Career
Building Maintenance Coord	Human Res Consultant - All levels	Research Analyst - All levels
Building Manager	Human Res Director - All levels	Safety Administrator
Building Mgr-Whitewater Stream	Human Res Specialists - All levels	State Archaeologist
Building Services Supervisor	Human Res Technician - All levels	State Prog Admin Series - All levels
Building Svcs Supervisor	Industrial Hygienist - All levels	Stores Supervisor
Business Manager - All levels	Information Officer - All levels	Vendor Mgmt Spec
Buyer - All levels	Lease Specialist	Workers Comp Claims Mgt - All levels
Capital complex trade shop supv	Legal Analyst	
Central mail supervisor	Management Analyst - All levels	
Commissioner-Administration	Materials Mgmt Division Mgr	
Comp Attorney - All levels	Office & Admin Specialist - All levels	

Required regardless of classification:

All employees in the Managerial Plan		
All employees in FMR		
All employees in HR		
All employees with Purchasing/Emergency cards		
Note: PMD administers the code of conduct certification and recertification by positions.		