CITY OF MADISON

Finance Department Employee Resource Guide

Revised 06/2017

Table of Contents

MISSION, GOALS AND OBJECTIVES

The Finance Department is functionally responsible for City-wide financial and management services including general accounting, financial reporting, budgeting, internal audit, risk management, purchasing, payroll, economic development analysis and debt management. The Finance Department also provides clerical support to City agencies in the form of Administrative Support Team personnel and services provided by Document Services.

General Accounting: Responsible for the ongoing accounting operations of the City including, but not limited to, accounts payable and receivable, revenue accounting, cash accounting, bank reconciliations, City loan programs and related internal control systems, as well as capital asset management and financial statement preparation. Responsible for the development, coordination and implementation of the City's accounting and financial reporting systems, including the City's Annual Report. Serve as liaison to independent auditors. In conjunction with Information Technology staff and software vendors, develop and oversee the utilization of the City's automated financial accounting system. The City's enterprise accounting staff analyze and interpret accounting data and perform internal accounting functions for the City's Housing Operations Unit, as well as provide financial/management assistance to the City's various enterprises and utilities.

- **Payroll:** Maintains a centralized payroll system for all City agencies. Includes responsibility for processing and maintaining systems for deductions/billing for employee health and life insurance, deferred compensation, Worker's Compensation, unemployment compensation, Wisconsin Retirement System, flexible spending, direct deposit, income continuation insurance, as well as a variety of other payroll deductions. Assists Human Resources with labor negotiation strategies and contract administration.
- **Purchasing:** Responsible for directing and coordinating the procurement of equipment, supplies and services required by the City. Program functions include developing City purchasing policies and procedures, encumbrance management, negotiating and administering contracts, providing support, information, and/or making recommendations on type or availability and costs (considering benefits, effectiveness, and efficiency) of equipment, supplies and services.

Budget and Program Evaluation: Responsible for preparing the City's annual capital and operating budget process, as well as providing assistance to City agencies with budget development and analysis. Performs financial, compliance and performance reviews of City agencies and other entities which have contracts with the City. Prepares report on federal and state financial assistance and the City's indirect cost allocation plan. Coordinates the City's efforts to identify and secure outside grant funding.

Risk Management: Responsible for administration of the City's general liability, auto liability, worker's compensation, property and other miscellaneous insurance programs and acts as the liaison between the City and the Wisconsin Municipal Mutual Insurance Company (WMMIC). Monitors insurance requirements of City contracts, investigates the appropriateness of claims against the City, performs claims subrogation, manages the City's Light Duty program, and manages the City's safety programs.

Administrative Support Services: Provides administrative and office services to City agencies. In addition to Administrative Support Team staff who are assigned to various City agencies to assist with both special projects and day-to-day operations, Document Services provides confidential services, as well as software support to City agencies, application conversion, and website system administration. Document Services develops and prepares newsletters, brochures, complex financial schedules, database management, routine documents, and can provide Braille output of a variety of documents upon request.

INTRODUCTION

This handbook has been developed to provide guidelines for employees. Employees are responsible for knowing the information in this handbook and all relevant employment policies whether or not they are specified in this handbook. No statement or policy in the handbook is meant to imply a guarantee of employment for anyone; it is not to be construed as an employment contract. Information in the handbook—current at the time of writing—will be reviewed and updated periodically in an effort to keep it current, but changes may occur that are not in this copy. The handbook does not cover all possible employment matters. Final interpretation and implementation of any policy in the handbook can be made only by Finance Department management and may be superseded by existing City rules, ordinances, policies and procedures.

Before reading the handbook, it should be stressed that the Finance Department is primarily a service agency and we must be open and available to the needs of our customers, whether other City agencies or the general public. Although we endeavor to allow as much flexibility as possible when setting individual schedules, nothing should be done which would jeopardize our relationship with our customers.

The majority of our contacts with the public involve general inquiries, questions relating to special assessments or purchasing, or requests for budget information. Residents may judge an office, department or the entire City by first impressions; the service you give is, therefore, important. When someone enters the office, promptly offer assistance yourself, or direct them to the proper person.

It is also important to note that these are general policies, rules and regulations. Therefore, there may be some variation among supervisory units or employees in the way the policies are administered. Unless otherwise stated, the information in this handbook applies equally to managers and support staff.

All of the Administrative Procedure Memoranda (APM) are available on the City's website or in hard copy form in the Finance Department's library area.

The Madison General Ordinances are available free of charge at any public library or on the City's website. A hard copy is also available in the Finance Department's library.

Labor contracts can also be found on the City's website.

Suggestions and comments to improve future editions of this handbook are encouraged.

David Schmiedicke
Finance Director

HOURS OF WORK

Normal Work Hours

Office employees work 38.75 hours per week. The core hours of work are from 8:00 a.m. to 4:30 p.m., Monday through Friday with 45 minutes for lunch.

Flexible work hours are acceptable with the permission of the supervisor and in some cases, the permission of the Finance Director must also be obtained. In certain circumstances, employees will be allowed to vary their normal daily start time with the approval of their supervisor. Work hours/schedules will be reviewed annually to ensure that customer needs are met in a timely, efficient manner. Alternative work schedules in which an employee works a pre-scheduled, fixed, continuous schedule of hours that deviates from the standard schedule of an agency must be approved by the supervisor, as well as the Finance Director and Human Resources Director. The supervisor and/or Finance Director may require flexible or alternative work schedules within a unit.

Guidelines and criteria for both alternative and flexible work schedules are available in more detail in APM 2-35 available on the City's website.

In certain circumstances, with the approval of the supervisor, the Finance Director and the Director of Human Resources, the City of Madison will permit telecommuting. The City's policy statement and rules for telecommuting are set forth in APM 2-34, which is available on the City's website.

Certification

An employee may request that his/her supervisor allow him/her to be recertified at something less than 100% of full time. After discussion between the supervisor and the Finance Director, this request **may** be approved on a **trial** basis and then evaluated. This certification will be subject to annual review. Return to 100% certification would be subject to budgetary restrictions. Employees should be aware that any recertification will offset normal benefits.

Breaks and Lunch Periods

In accordance with APM 2-28 "breaks" are permitted to the extent of fifteen minutes in the morning and fifteen minutes in the afternoon.

Employees will generally receive a break sometime during each 4 hours of work, and a lunch period sometime within the first 6 hours of a scheduled 7.75 hour work day.

Abuse of the break privilege reflects poorly upon the entire office. Because appearances are important, breaks and lunch should be taken away from your desk, if you work in a "public" area. An employee break room is located in Room 414 and should be left clean and in good order.

Supervisors are expected to exercise discretion in scheduling lunch periods and breaks so that City services are not unnecessarily compromised. Except during extraordinary circumstances, employee lunch hours, when dictated by the needs of the customer, should be staggered so that these units remain open during lunch.

Examples of prohibited practices:

1. Employees shall not redirect or accumulate lunch periods and/or breaks as a form of paid leave, except that if employees are allowed to work a straight 8-hour shift, they will not be required to take an unpaid lunch.
2. Employees shall not arrive late or leave early utilizing untaken (or reduced) lunch periods and/or breaks in lieu of paid leave.
3. Employees shall not combine their lunch periods and/or breaks.

In certain situations or for occasional personal reasons, employees may be allowed to work during a portion of their lunch. Approval by the supervisor, in advance, is required.

Overtime/Compensatory Time

Overtime must be pre-approved and a work-related necessity. Overtime is not to be worked for the convenience of the employee. (Example: an employee who wishes to take a half day of vacation will not have four hours of overtime approved the day prior to or the day after in order to catch up. In these circumstances, the City would be paying six hours for four hours of work primarily for the convenience of the employee.) In addition, overtime in excess of five hours per week for any individual requires the prior approval of the Finance Director.

For both permanent full-time and part-time employees, overtime is defined as work performed in excess of the general work schedule outlined above. Employees shall not be denied the work of their own assigned schedule for the purpose of avoiding overtime payment. Paid leave shall be considered work time except for the purpose of double time calculations. Employees will receive time and one-half compensation for work beyond the normal, assigned workday or workweek, but if actual time worked exceeds twelve (12) consecutive hours, the employee will be paid double time, except where work schedules are greater than eight (8) hours in a workday. In such cases, employees began to earn double time four (4) hours following the end of their regular workday. There shall be no pyramiding of overtime payments. Overtime offers will be made to employees on as equal a basis as possible by department/division, work unit or classification, as is consistent with custom and practice in that area of the operations.

Workplace Accommodation

It is the policy of the Finance Department and the City of Madison to provide reasonable accommodation to City employees and applicants with disabilities. Employees may submit a request for reasonable accommodation to their supervisor, department head, Affirmative Action Designee or to the Human Resources Occupational Accommodation Specialist. Forms are available in the Human Resources Department. If an employee's physical or mental disability results in his/her being unable to perform his/her duties efficiently and effectively, with reasonable accommodation, he/she shall be placed on a disability leave of absence and a disability layoff in accordance with MGO Section 3.32(14).

ABSENCE FROM WORK

Late Arrival

Any lateness should be discussed upon arrival with your immediate supervisor. If the supervisor is absent, then the supervisor's designee should be notified. Any make-up time must have the prior approval of the immediate supervisor.

Sick Leave

All permanent full-time and part-time employees shall be eligible for sick leave benefits for absences due to illness or bodily injury or serious illness or death in the employee's immediate family (as defined by ordinance). Sick leave may also be used for absences due to medical and dental appointments of the employee or the employee's immediate family. Sick leave shall not be used to substitute for vacation time unless the employee: 1) presents documentation from a certified physician identifying that there was an illness or injury during the time of the vacation; and 2) the illness/injury qualifies for family/medical leave and the employee submits an application for FMLA for the time period in question.

Sick leave is earned at the rate of one-half day per biweekly pay period, prorated based on an employee's FTE. Employees must complete six (6) days of compensated service in a pay period in order to earn sick leave during that pay period. Employees earn sick leave immediately upon starting employment with the City. Only employees in their original six (6) months of employment may draw in advance of the amount of sick leave (up to 6 days) which would be accrued within the six (6) months. If the employee's service is terminated prior to the end of this period, the employee shall reimburse the City for any unearned sick leave used.

Absence from work due to illness/injury may be charged to vacation or accumulated compensatory time with approval of supervisor.

In order to qualify for sick leave, an employee:

- Shall notify his/her supervisor (or in the absence of the supervisor, his/her designee) ***before*** the start of employee's scheduled shift. It is up to the individual supervisor's discretion whether employees are to speak directly with the supervisor or designee rather than leaving a message on voicemail.
- Shall keep his/her supervisor informed of conditions and estimated day of return to work.
- May be required to submit a physician's certificate for such absence upon request of the City for absences which exceed an accumulation of six days in any twelve-month period and which are not related to major illness or injury. Any absence(s) supported by a doctor's statement shall not be counted toward the six days.
- In all cases where the absence continues for more than ten consecutive work days and where no physician's certificate has been obtained, the department head may require such a certificate before payment is authorized for sick leave beyond the tenth day. In cases where the absence continues for more than thirty consecutive calendar days of absence, the department head may obtain a physician's certificate and file it with the Human Resources Department before further salary payment is authorized unless in view of the physician's latest certificate, further certificates appear to be either temporarily or permanently

unnecessary, in which case the Human Resources Department may advise the department head in writing to this effect.

Any request to leave the office due to illness after your arrival should be addressed to your immediate supervisor. If the supervisor is unavailable then notification should be made to the supervisor's designee.

Employees serving their probationary period may use up to six days of sick leave during this period.

Job Testing/Interviewing

When an employee is applying for a City of Madison job, if the time taken to test and/or interview falls within your normal work hours, no leave need be taken. However, the employee's supervisor must be notified and a time set that is acceptable to the supervisor.

When an employee is applying/interviewing for a non-City job, the employee must use vacation or compensatory time or, if none is available, be absent without pay.

Other Absences

For information regarding: Vacation, Family and Medical Leave, AWOP, Bereavement, Holidays/Paid Leave, Jury Duty, Poll Workers, Union and Employee Association Activity, and Worker's Compensation please refer to the applicable *Employee Benefits Handbook*. See References section.

WORK RESPONSIBILITY AND RELIABILITY

On <u>all</u> work-related matters, promptness and timeliness are expected. Absence from the office (for meetings, etc.) as well as the estimated return time should be noted on the electronic sign-out board (icon is available on your desktop).

Staff Assistance During Absence

It will be the responsibility of the Department Head and supervisors to ensure that all work areas are adequately staffed by responsible back-up employees during periods of vacations, illnesses or other extended absences.

In cases where extended absences are known in advance, it is the responsibility of the employee who will be leaving to brief the back-up employee on any pending projects or other routine matters which may need attention while he/she is gone. Out-of-class pay may be available when warranted – See Out-of-Class Pay section.

Office Appearance

This is a business environment and offices should be kept in a neat and professional manner; care should be taken not to display any materials which may be deemed to be offensive.

Common areas such as the break room and the appliances should be kept clean.

Personal Actions and Appearance

Employees are expected to dress neatly and to exercise common sense in selecting clothing and footwear appropriate both for a business casual office environment and the day's activities.

In addition, employees are expected to follow the rules of conduct contained in Mayor's Administrative Procedure Memorandum 2-33.

Evacuation and Shelter Procedures

Emergencies and disasters are unpredictable and can strike without warning. An effective response requires good planning, training and testing of emergency plans. Failure of emergency preparation in advance may result in death and injury to personnel, loss or damage to facilities, and a reduction in our ability to serve and protect the public. In the event of evacuation of our department, employees should gather under the flagpole at Monona Terrace and check in with the Administrative Clerk (wearing a green vest).

It is extremely important that whenever you hear the building's emergency alarm or are otherwise notified of a hazardous situation such as fire, tornado, bomb threat, etc. that you follow the procedures outlined in the City-County Building Emergency Procedures flyer located on the employee bulletin board, as well as on the EmployeeNet. Further information is also available in APM 6-1.

Personal Belongings

Personal belongings kept in the office, e.g., radios, plants, clothing, purses, wallets, calculators, etc. are the sole responsibility of the employee. The City will not assume any liability in the case of loss, theft or damage. If electronic media are used, the sound should not project beyond your immediate work area.

Terminations

Employment can be terminated through retirement, transfer to another agency, layoff, resignation or disciplinary action. A permanent employee who voluntarily resigns should submit a written notice of resignation ten working days prior to the effective date. While formal letters of resignation are not required for non-permanent employees, it is suggested that the employee notify her/his supervisor at least ten working days in advance.

When termination occurs, regardless of the reason, employees are expected to return all City-owned equipment provided for job responsibilities. This could include employee ID's, key to offices, personal computer aids, access cards or safety equipment

Supervisors may wish to schedule an exit interview with employees who terminate their services. This is supervisor discretion.

Employee Assistance Program (EAP)

Most people, at some time or another, face a situation or problem that seems to be more than they can deal with on their own or they just want someone who cares to listen to them. When this happens, the Employee Assistance Program, 266-6561, is available to provide:

- 24-hour professional and confidential assistance
- Information, support and referral to resources
- Follow-up to make sure your needs are met

As a City of Madison government employee, you, your family/partner, or others of significance to you may use the EAP for any personal, family and/or work concern. For specific information regarding EAP guidelines and contact information can be found on the City's website or see APM 2-12. A link to their site is located in the References at the end of this document.

Security

Because this is a governmental agency, members of the general public are often in the office seeking information, assistance, etc. However, in the interest of security (since it is a good idea to know who is in the building) and to reduce the possibility of theft, staff members should offer assistance to strangers who are walking in our hallway or office.

At the end of the day, the doors leading to the main office, payroll, purchasing, risk management and document services sections should be locked.

During the day, any valuables such as purses, wallets, etc. should be kept out of sight when you are away from your desk.

Building access cards and elevator keys for non-business hours are available through the Risk Manager's office. The access card will get you into the Ground Level door on Wilson Street. The elevator key will get you to the fourth floor.

Photographs of new employees are taken at the orientation session. The employee is given her/his ID card and the card is used, for example, to identify any employee who seeks access to the City-County building at times other than regular working hours. It is the responsibility of the employee to have her/his ID card available for verification and to keep card information current.

Files, Documents, Correspondence Security

Occasionally, you may be contacted by an outside party or a member of the news media to answer a question or provide information. Factual information should be provided as long as you are certain of its accuracy without speculation. These contacts must be reported to the Finance Director or appropriate supervisor so that they are kept up-to-date in case questions arise or further information is needed in the future.

Pursuant to the Federal Trade Commission's "Red Flag Rule," Finance Department staff have developed a policy to help prevent identity theft. See page 20 for a copy of this policy. Please take a few moments to familiarize yourself with it.

With the exception of certain items, all written information in this office is a matter of public record. Exceptions are:

<u>HIPAA</u> – In 1996, the federal government enacted the Health Insurance Portability and Accountability Act (HIPAA) to ensure the privacy of individuals' medical and health information. Therefore, all information regarding ambulance services to an individual (particularly Medicare or treatment information) must be kept confidential. Reference red flag policy.

<u>Payroll</u> – Any requests for payroll information regarding a specific employee should be directed to Central Payroll Staff.

<u>Purchasing Services</u> – Request For Proposal (RFP) and bid documents contain language allowing vendors to request that certain parts of their bid response be kept Confidential and Proprietary. Wisconsin statutes 19.36(5) and 134.90(1)(c), defines proprietary and confidential information that qualifies as a trade secret or otherwise material that can be kept confidential under the Wisconsin Open Records Law. Additionally, all RFP responses, in their entirety, are kept confidential until an award is announced.

<u>Room Tax</u> – Although the total tax received by quarter or for the year is a matter of public record, the amount received by each hotel/motel is confidential per City ordinance.

<u>Social Security</u> – Under no circumstances can an individual's Social Security number be made public.

<u>Claims, Miscellaneous</u> – Madison General Ordinances also exempt certain information submitted in a pledge of confidence such as personal financial information submitted to support an Industrial Revenue Bond (I.R.B.) or Tax Increment Financing (T.I.F.) application.

In addition, documents relating to negotiations for the sale or acquisition of property are confidential, as well as working documents relating to the negotiation of labor contracts.

Requests for Information – No person outside the Finance Department is authorized to search our files. When employees of other departments request certain information or wish to see certain documents, this information should be extracted from the files for them. On those occasions when the request would result in considerable time spent, the individual may be instructed where to find this information. This will be done only with the approval of the Finance Director or other assigned designee (see the open records posting on the employee bulletin board). In these instances, the requestor should understand that this does not constitute blanket approval to search through our files.

Open Records Request – Contact the current Finance Department Open Records designee.

Records Storage and Management – Contact a Finance Department Records Custodian or Coordinator. A complete list is located on the Information Technology EmployeeNet, www.cityofmadison.com/employeenet/information-technology/records-management.

TELEPHONE

Personal calls (including those made on personal cell phones) should be held to an absolute minimum and only for essential matters.

Language Translator

To get a translator on the phone:
Call: 9-1-800-225-5254
Access code: Madison
Give department name and language

Conference Calls

Dial In – 1-877-820-7831
Participant Passcode: 303238
Moderator Passcode: 2824822

Internal Directory

For internal Finance Department directory, see Finance SharePoint site.

PAY

Employees are paid every other Friday and are **encouraged** to use the Direct Deposit option rather than receiving a paycheck. The automated pay stubs can be accessed by logging into your ESS account. Payroll also generates an email with an attached file and you can open this document by entering the last four digits of your Social Security number.

Time Reporting for Payroll

All employees must enter their payroll information in the Employee Self Service software. Payroll information must be submitted no later than 4:30 pm on Monday immediately following the end of the pay period. Supervisors need to approve time submittals by 12:00 noon on the Tuesday immediately following the end of the pay period.

Over/Underpayment

If an employee's paycheck is incorrect, he/she should alert the Payroll Clerk as soon as possible, but no later than noon on Monday following the payday. If an overpayment paycheck has been cashed or directly deposited or the error is not discovered until after noon on the Monday following payday, the correction will be made (deducted) on the following paycheck. If an underpayment paycheck has been cashed or deposited or the error is not discovered until after noon on the Monday following payday, the correction can be made on the following paycheck or the employee can request that a supplemental check be issued (see the Payroll Clerk).

Out-Of-Class Pay

Out-of-Class Pay is available to employees upon completion of certain requirements as set forth in the Madison General Ordinances 3.54(19), individual labor contracts and APM 2-11. Written approval must be obtained from the Finance Director and Human Resources Director before such payments can be made.

TRAINING OPPORTUNITIES

It is the policy of the Finance Department to encourage employees to develop their skills and continue their education and may include modification of work schedules.

Employees may meet with their supervisor to discuss and develop a long-range plan regarding career goals and needed development. Those training opportunities which conform to the goals stated in the plan will be given top priority.

Situations may also arise where your supervisor will require specific training. All employees will be expected to follow through with due diligence as they would any other instruction from their supervisor.

See APM 2-10 for further information regarding forms to be filled out, approvals needed, etc.

Employee Development & Organizational Effectiveness (EDOE)

A detailed list of course offerings and computer trainings can be found on the EmployeeNet's EDOE training website.

Required Prohibited Harassment Training

This training is presented by Civil Rights Department and is required every 3 years.

Harassment in the workplace can be a form of illegal employment discrimination. This workshop is designed to provide employees with a greater understanding of the City's APM 3-5 and the legal and social implications of discrimination in the form of sexual, gender, racial or disability-based harassment in the workplace. Emphasis will be placed on increasing sensitivity to what constitutes a problem and why an immediate, constructive response is important. Discussion will also focus on exploring good management practices and policies requiring the maintenance of an environment that is free of discriminatory harassment.

SUPPLIES AND RESOURCES

Supplies

Office supplies are located in the supply cabinets behind the reception desk. Please inform the Administrative Clerk if you notice a shortage of an item.

Most of our office supplies are ordered from local vendors by the Administrative Clerk. Please see the Administrative Clerk for the appropriate catalogs if you wish to place an order. Specific details on the purchasing system are found in the Purchasing Manual available on the City's website.

Recycling

As part of the City of Madison's commitment to recycling, all staff are asked to recycle whenever possible. Each work area contains at least one box for recyclable paper which is emptied weekly. Types of paper which are acceptable for recycling include: white and colored paper, NCR paper, envelopes, calculator/adding machine tape, index and tab cards, glossy and coated paper, post-it notes and file folders. These items may contain staples or small (1.25") paper clips. However, wire or plastic spiral binders, large paper clips or spring band clips must be removed before recycling. Examples of unacceptable papers include: carbon paper, tissues, photographs, food wrappers, lunch bags, and paper towels.

Whenever possible, newspapers and magazines should also be separated from other types of paper for recycling. In addition, separate waste containers for recycled paper as well as cans, plastic bottles, etc. are also located in various locations throughout the City-County Building.

Equipment Usage

Employees who damage or lose equipment during the course of performing their duties, who have exercised reasonable care and judgment, shall not be held responsible for the loss or damage of City equipment. Employees who damage or lose City-owned equipment while performing their duties, who did not use reasonable care and judgment, may be disciplined for causing the loss or damage of City-owned equipment.

Employees may use the City-owned equipment for personal faxing or copying on a limited basis, paying the rate established by the agency. See Administrative Clerk for current rates.

Computers

The City's computer resources are for use in conducting City business. Incidental personal use of computer resources, strictly in accordance with APM 3-9, is permissible. Unless specifically exempt, information stored in any automated format is considered to be a public record. Employees should not expect privacy in any aspect of computer resources. Software that has not been properly licensed is illegal, and the penalties are severe.

The use of e-mail and access to the Internet is for business purposes only. As representatives of the City, employees' use of e-mail should be of a professional nature. The use of language and graphics inappropriate to the work place is prohibited.

Do not download software without authorization from Information Technology. Doing so could put the City in jeopardy of breaking software piracy rules and/or could contaminate the network with viruses.

Failure by a City employee to comply with these policies may result in disciplinary action up to and including termination of employment.

Requesting New Equipment

Contact your supervisor when requesting new or replacement equipment.

Borrowing equipment

Equipment such as laptops and projectors are available for City staff through Information Technology. Contact the Helpdesk (helpdesk@cityofmadison.com) to inquire about availability.

CULTURE AND ENGAGEMENT

There are kitchen supplies available for employees in the break room. This includes: towels, napkins, spoons, forks, knives, paper plates, zip lock bags, etc. A $5 donation is periodically requested from employees for the purpose of replenishing these supplies.

The City provides a number of benefits to its employees. There are discounts for cell phone plans, computer hardware, bus passes, and more! Contact your supervisor or the Administrative Clerk for more information.

How to Get Involved

There are several opportunities to get involved with organizations within City employment:

Racial Equity and Social Justice Initiative (RESJI) is a citywide effort to ensure racial equity in policies, procedures, and budgets. There is a Core Team and four Action Teams to get involved in:

- Communications
- Community Connections
- Data
- Tools and Training

Parts 1-3 of RESJI trainings are recommended for all employees, see www.cityofmadison.com/human-resources/professional-development/courses/course-catalog .

If interested, contact Toriana Pettaway, Department of Civil Rights Equity Coordinator, tpettaway@cityofmadison.com or visit www.cityofmadison.com/mayor/priorities/racial-equity-social-justice

Finance Department Equity Team leads the implementation of the Equitable Workforce Plan by conducting racial equity impact analyses throughout the year. Contact the Finance Equity Team Coordinator to get involved.

City of Madison Culture and Engagement Team supports the city's efforts toward creating and enhancing a culture where equity and engagement are visible core practices. Find out about meetings by emailing Erin Stenson: estenson@cityofmadison.com

Combined Campaign is an annual giving campaign to raise money for a host of charities. Departments are encouraged to host fundraising events during the campaign. To get involved, contact your supervisor for more information. Website: www.countyofdane.com/combinedcampaign.

Multicultural Affairs Committee (MAC) is charged with addressing issues of concern to City of Madison employees from historically underrepresented racial and ethnic groups. Contact the Chairperson listed on the website for further information.
Website: www.cityofmadison.com/employeenet/multicultural-affairs-committee.

Women's Initiative Committee (WIC) works on sustainability, fair trade, mentoring, career development and Take Our Children to Work day event. Meetings are open to everyone. To become a member of WIC, you must attend two consecutive meetings and request mayoral appointment from the WIC chair. Website: www.cityofmadison.com/employeenet/womens-initiatives-committee.

Neighborhood Resource Teams encourage and enhance communication, coordination and relationship building among City staff, City departments, residents, and other stakeholders to promote equity and improve the quality of life for all residents of Madison's neighborhoods. To get involved, contact Tariq Saqqaf, Neighborhood Resource Coordinator. Website: www.cityofmadison.com/mayor/nrt.

Latino Community Engagement Team (LCET)'s mission is to make the City of Madison a more livable environment for our Spanish speakers. We support and improve the services provided by different city agencies. Find out about meetings by emailing JoseMaria Donoso at jdonoso@cityofmadison.com

REFERENCES

Employee Benefits Handbooks for all City employees:
www.cityofmadison.com/human-resources/benefits/employee-handbooks

Employee Assistance Program:
www.cityofmadison.com/employee-assistance-program

SharePoint Finance Telephone Directory:
http://share/sites/Finance/Lists/Finance%20Contacts/FrontDeskView.aspx

Employee Course Offerings:
www.cityofmadison.com/employeenet/hr/edoe/courseofferingsmonth.cfm

City of Madison General Ordinances:
www.municode.com/library/wi/madison/codes/code_of_ordinances

Administrative Procedure Memoranda:
www.cityofmadison.com/mayor/apm/

City of Madison
Finance Department Policy
Identity Theft Prevention

I. INTRODUCTION

The City of Madison Finance Department developed this Identity Theft Prevention Policy pursuant to the Federal Trade Commission's ("FTC") Red Flag Rule, which implements Section 114 of the Fair and Accurate Credit Transaction Act of 2003. 16 C. F. R. § 681.2. This Policy is designed to help detect, prevent and mitigate Identity Theft in connection with the opening and maintenance of certain accounts. For purposes of this Policy, "Identity Theft" is considered to be "fraud committed using the identifying information of another person." The accounts addressed by the Policy, (the "Accounts"), are defined as:

1. An account the Finance Department offers or maintains primarily for personal, family or household purposes, that involves multiple payments or transactions; and
2. Any other account the Finance Department offers or maintains for which there is a reasonably foreseeable risk to customers or to the safety and soundness from Identity Theft.

This Policy was developed with oversight and approval of the Finance Director as follows:

II. IDENTIFICATION OF RED FLAGS

A "Red Flag" is a pattern, practice, or specific activity that indicates the possible existence of Identity Theft. In order to identify relevant Red Flags, Finance Department staff considered the types of Accounts that it offers and maintains, the methods it provides to open its Accounts, the methods it provides to access its Accounts, and its previous experiences with Identity Theft. The Finance Department identifies the following Red Flags, in each of the listed categories:

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A. Suspicious Documents

Possible Red Flags for this category include: 1) Receiving documents that are provided for identification that appear to be forged or altered; 2) Receiving documentation on which a person's photograph or physical description is not consistent with the person presenting the documentation; 3) Receiving other documentation with information that is not consistent with existing customer information (such as if a person's signature on a check appears forged); and 4) Receiving an application for service that appears to have been altered or forged.

B. Suspicious Personal Identifying Information

Possible Red Flags for this category include: 1) A person's identifying information is inconsistent with other sources of information, such as an address not matching an address on a customer report or a SSN that was never issued; 2) A person's identifying information is inconsistent with other information the customer provides, such as inconsistent SSNs or birth dates; 3) A person's identifying information is the same as shown on other applications found to be fraudulent; 4) A person's identifying information is consistent with fraudulent activity, such as an invalid phone number or a fictitious billing address; 5) A person's SSN is the same as another customer's SSN; 6) A person's address or phone number is the same as that of another person; 7) A person fails to provide complete personal identifying information on an application when reminded to do so; and 8) A person's identifying information is not consistent with the information that is on file for the customer.

C. Unusual Use Of or Suspicious Activity Related to an Account

Possible Red Flags for the category include: 1) A change of address for an Account followed by a request to change the Account holder's name; 2) An account being used in a way that is not consistent with prior use, such as no payments when the Account has been timely in the past; 3) Mail sent to the Account holder is repeatedly returned as undeliverable; 4) Finance Department staff receives notice that a customer is not receiving billing statements.

Based on discussions with Finance Department staff , other Red Flags in this category may include breaches in software systems, unauthorized access to or use of customer Account information. The Finance Department staff plans to take steps with certain data it maintains that contains customer information.

D. Notice regarding possible identity theft

Red Flags for this category include: 1) The Finance Department receives notice from a customer, an identity theft victim, law enforcement or any other person that it has opened or is maintaining a fraudulent Account for a person engaged in Identity Theft.

2

III. DETECTION OF RED FLAGS

In order to detect any of the Red Flags identified above with the opening of a new Account, Finance Department staff will take the following steps to obtain and verify the identity of the person opening the Account:

1) Requiring certain identifying information such as name, date of birth, residential or business address, principal place of business for an entity, driver's license or other identification; 2) Verifying the customer's identity, such as by copying and reviewing a driver's license or other identification card; 3) Reviewing documentation showing the existence of a business entity; and 4) Independently contacting the customer.

In order to detect any of the Red Flags identified above for an existing Account, Finance Department staff will take the following steps to monitor transactions with an Account:

1) Verifying the identification of customers if they request information (in person, via telephone, via facsimile, via email); 2) Verifying the validity of requests to change billing addresses; and 3) Verifying changes in banking information given for billing and payment purposes.

IV. PREVENTING AND MITIGATING IDENTITY THEFT

In the event Finance Department staff detects any identified Red Flags, such staff shall take one or more of the following steps, depending on the degree of risk posed by the Red Flag:

1) Continuing to monitor an Account for evidence of Identity Theft; 2) Contacting the customer; 3) Changing any passwords or other security devices that permit access to Accounts; 4) Reopening an Account with a new number; 5) Not opening a new Account; 5) Closing an existing Account; 6) Notifying law enforcement; 7) Determining that no response is warranted under the particular circumstances; or 8) Notifying the Program Administrator (as defined below) for determination of the appropriate step(s) to take.

Because Finance Department staff will not be able to predict particular circumstances that may arise, for example, if the Finance Department receives notice that its software systems have been compromised such that a customer's personal information has become accessible, the Finance Department would likely, at a minimum, notify the customer and change passwords where required.

If the Finance Department receives notice that a person has provided inaccurate identification information, the appropriate response may be to close the Account and contact law enforcement and the City Attorney's Office.

In order to further prevent the likelihood of identity theft occurring with respect to Finance Department accounts, the Finance Department will take the following step with respect to its internal operating procedures:

1) Ensuring complete and secure destruction of paper documents and computer files containing customer information.

2) Work with the Information Technology Department regarding password protection of computers.

V. UPDATING THE POLICY AND THE RED FLAGS

This Policy will be periodically reviewed and updated to reflect changes in risks to customers and the soundness from Identity Theft. At least once a year, the Accounting Services Manager, and Risk Manager will consider the Finance Department's experiences with Identity Theft situations, changes in Identity Theft methods, changes in Identity Theft detection and prevention methods, changes in types of Accounts the Finance Department maintains and changes in the business arrangements with other entities. After considering these factors, the Accounting Services Manager and Risk Manager will determine whether changes to the Policy, including the listing of Red Flags, are warranted. If warranted, the Accounting Services Manager and Risk Manager will present to the Finance Director recommended changes and the Finance Director will make a determination of whether to accept, modify or reject those changes to the Policy.

VI. POLICY ADMINISTRATION

A. Oversight

The Identity Theft Policy will be overseen by the Accounting Services Manager and Risk Manager. The Managers shall be designated employees at senior management level. The Accounting Services Manager and Risk Manager will be responsible for the Policy's administration, for ensuring appropriate training of Finance Department staff on the Policy, for reviewing any staff reports regarding the detection of Red Flags and the steps for preventing and mitigating Identity Theft, determining which steps of prevention and mitigation should be taken in particular circumstances, reviewing and, if necessary, recommending changes to the Policy.

B. Staff Training and Reports

Finance Department staff responsible for implementing the Policy shall be trained by the Accounting Services Manager and Risk Manager, in consultation with the City Attorney's Office, in the detection of Red Flags, and the responsive steps to be taken when a Red Flag is detected.

C. Service Provider Arrangements

In the event the Finance Department engages a service provider to perform an activity in connection with one or more Accounts, the Finance Department will take the following steps to ensure the service provider performs its activity in accordance with reasonable policies and procedures designed to help detect, prevent, and mitigate the risk of Identity Theft: 1) Requiring, by contract, that service providers have such policies and procedures in place; 2)

Requiring, by contract, that service providers review the Finance Department's Policy and report any Red Flags to the Accounting Services Manager and Risk Manager.

Approved: [signature]
Finance Director

Date: April 25, 2013