



HOUSE OF REPRESENTATIVES
COMMONWEALTH OF PENNSYLVANIA
HARRISBURG

TO: All House Democratic Employees

FROM: Rep. Todd Eachus
The Majority Leader

SUBJECT: Compliance and Ethics Program

The House Democratic Caucus is committed to operating with the highest standards of conduct, with integrity, and in compliance with all applicable laws. To accomplish our important mission for the citizens of Pennsylvania it is critical that we not only follow the law, but that we are seen by the public as beyond reproach in conducting the people's business. The appearance of impropriety alone can undermine public confidence in our work.

To ensure that the Democratic Caucus maintains the highest ethical standards, we have adopted this Code of Conduct which applies to all employees of the Caucus, effective immediately. This Code sets forth your obligations as employees of the Caucus, as well as the goals of the Caucus as they relate to you, our valued and trusted staff. Nora Winkelman, our Chief Counsel, has taken on the additional duty of Compliance and Ethics Director to promote adherence to this Code.

In the short term, this Code of Conduct complements the employee handbook you were issued at the beginning of your employment and should be viewed as an addendum thereto. In the longer term, I have appointed a committee to revise the employee handbook to incorporate this Code of Conduct and make other necessary changes.

One area that deserves special mention is the restriction on political campaign activity by Caucus employees during specified working hours. Although it sounds easy in principle, the daily application of the rule can be challenging as you support members who are juggling their official, political and private lives throughout the day. This prohibition is nothing new, however, but merely a more formal codification and reminder of our longstanding policy.

Because we are, by nature, a partisan organization, most of our employees come to work here because of their keen interest in public affairs and politics, and it is only natural that their passions extend to political campaigns. We view their participation in the democratic process as a positive civic activity as long as it is undertaken voluntarily and not on Commonwealth time or property or utilizing Commonwealth resources.

The citizens of Pennsylvania are entitled to a full day's work on legislative business for a full day's pay, and the Caucus is deeply committed to that principle. Accordingly, we expect the rules regarding political activity to be strictly followed and we intend to enforce them firmly. Doing so will better enable the Caucus to pursue its mission as we ensure that public funds are being spent appropriately.

PENNSYLVANIA HOUSE OF REPRESENTATIVES

Democratic Caucus

Employee Code of Conduct

The Caucus is committed to providing a safe, fair and equitable workplace. Accordingly, we strive to meet the following goals:

- **Equal Opportunity.** To have recruitment, selection, appointment, promotion, training, delegation of responsibility and discipline proceed without discrimination based on race, national origin, color, creed, sex, sexual orientation, age, religion, handicap or disability, and to maintain a workplace that is free from sexual harassment.
- **Safety and Health.** To have a workplace that is free from environmental hazards, violence, drugs, alcohol and other conditions affecting employees' physical well-being.
- **Respect and Courtesy.** To have all Members and employees demonstrate respect and courtesy to each other and the public.
- **Fair Evaluation.** To evaluate employees solely on the basis of legislative work performed for the Caucus.
- **Fair Compensation.** To compensate employees solely on the basis of legislative work performed for the Caucus.
- **Freedom of Activity.** To provide employees the freedom to spend their own time and/or money on political campaign activity, or not, as they voluntarily choose, without coercion from supervisors or Members to engage in personal or political campaign activity.

THIS CODE OF CONDUCT IS INTENDED TO PROMOTE THESE GOALS AND TO ENSURE THAT OUR CAUCUS AND ITS PERSONNEL CONTINUE TO BE FAITHFUL STEWARDS OF THE PUBLIC TRUST.

Article I: General Principles

1. **Public Service.** Employees of the House Democratic Caucus are public servants. The broad purpose of their work is to assist the Caucus in promoting the common good of the citizens of Pennsylvania.
2. **Loyalty.** The mission of the House Democratic Caucus is to represent the people in deliberating and deciding about matters affecting the common good. The role of employees of the Caucus and the purpose of their public service is to support the Caucus in its mission. Any action or inaction that could bring disrepute to the Caucus or undermine its mission conflicts with this service.
3. **Trustworthiness.** Employees of the House Democratic Caucus stand in a relationship of trust, confidence, and responsibility to the Caucus and have the duty to act in a way that makes them worthy of the trust and confidence that the Caucus places in them.

Article II: Principles of Conduct

1. **Honesty and Integrity.** Caucus employees must demonstrate the highest standards of honesty and personal integrity in their work for the Caucus. A basic element of this

requirement is devoting all of their time during specified working hours to legislative activity and none to commercial business or political campaign activity.

2. **Competence.** Caucus employees must strive to acquire and maintain the knowledge and skills necessary to serve the Caucus and must recognize occasions when they need to seek assistance from others.
3. **Diligence.** Caucus employees must apply themselves to their assignments, use available time in a productive and efficient manner, and complete assignments in the timeliest fashion possible.
4. **Compliance with the Law.** As employees of a law-making body, Caucus employees must obey all applicable laws and encourage others to do so. Employees with questions about laws that pertain to the performance of their duties should seek guidance from the Compliance and Ethics Director of the House Democratic Caucus.
5. **Confidentiality.** Caucus employees must be discreet in what they reveal about work done for any member and, subject to the law, must maintain the confidentiality of communications between them and any Member.
6. **Respect and Courtesy.** Caucus employees must be respectful of, and courteous to, Members, each other and the public.

Article III: Restricted Activities

Employees of the House Democratic Caucus shall not:

1. **Adverse pecuniary interest.** Engage directly or indirectly in any business transaction or private arrangement for profit which accrues from or is based upon their official position or authority.
2. **Gifts and favors.** Directly or indirectly solicit, accept or agree to receive any gifts of money or goods, loans, or services for personal benefit under circumstances that would influence the manner in which they perform their duties.
3. **Misuse of information.** Use information obtained through their employment and not available to the public at large for their own personal gain, or divulge such information in advance of its authorized release.
4. **Misuse of office facilities and equipment.** Use any Commonwealth equipment, supplies or property for other than officially designated purposes.
5. **Political Campaign Activity.**
 - a. **During working hours.** Engage in political campaign activity during their specified working hours unless on their lunch break or unless they have previously submitted a leave slip.
 - b. **Using Commonwealth resources.** Engage in political campaign activity at any time either (i) using Commonwealth resources or (ii) while on property owned or leased by the Commonwealth that is not common space open to the public.
 - c. **Coercion.** In any manner coerce any other Caucus employee to contribute time, money or services to a political candidate or campaign or to violate any of the provisions of subsections (a) and (b).

Definitions. A "lunch break" is a period of 30 or 60 continuous minutes, as determined by one's supervisor, starting no earlier than 11:00 a.m. and ending no later

than 2:30 p.m. "Political campaign activity" is non-legislative activity intended to influence the outcome of an election for office; it includes, by way of example, campaigning; canvassing; circulating or notarizing nomination petitions or nomination papers; notarizing candidates' affidavits; fundraising; making telephone calls; organizing or promoting events; polling; poll watching; researching or writing for or against a candidate; sending e-mails; and typing, creating, copying, ordering, receiving or distributing brochures, flyers, signs or literature or any kind. It is not considered "political campaign activity" to fill out a Statement of Financial Interests as required by law or assist another in doing so.

- 6. **Enforcement.** Employees who fail to comply with the regulations set forth herein shall be subject to disciplinary action including, but not limited to, reprimand, suspension and termination, as well referral to law enforcement authorities when appropriate.

Article IV: Compliance and Ethics Director

- 1. **Establishment of Position.** There is hereby established within the Caucus the position of Compliance and Ethics Director, who shall have the day-to-day operational responsibility for the Compliance and Ethics Program. The Director will have adequate resources and appropriate authority to perform these duties and will report directly to the Democratic Leader.
- 2. **Duties.** The Director will
 - Assist the Leader in promoting a culture of ethics and integrity;
 - Enforce this Code of Conduct consistently throughout the Caucus;
 - Implement training programs and otherwise disseminate information regarding employees' roles and responsibilities;
 - Be knowledgeable about developments in the law;
 - Establish procedures for monitoring and documenting compliance with the Code;
 - Maintain and publicize a system of receiving and investigating allegations of violations of the Code, including mechanisms that allow for anonymity or confidentiality, whereby employees may report or seek guidance regarding potential or actual conduct without fear of retaliation; and
 - Evaluate periodically the effectiveness of the Compliance and Ethics Program.

I certify that I have received a copy of this document, have read it, and have had an opportunity to ask questions to the Office of Legal Services (717-787-3002) about its contents.

Signature

Print Name

Date