

EFFECTIVE GOVERNANCE AND OVERSIGHT TASK FORCE – DECEMBER 15, 2021

COMMUNICATIONS

Distributed December 14, 2021

Item

C1. Correspondence from the Integrity Commissioner and Lobbyist Registrar, dated December 14, 2021.

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Please note there may be further Communications.



DATE: Tuesday, December 14, 2021
TO: Effective Governance and Oversight Task Force
FROM: Suzanne Craig, Integrity Commissioner and Lobbyist Registrar
RE: City of Vaughan Lobbyist Registry

The Office of The Integrity Commissioner and Lobbyist Registrar is in receipt of the following question, from a member of the Effective Governance and Oversight Task Force.

“The issue is the current state of the Vaughan Lobbyist Registry, particularly given the potential risks to public office holders when there is a failure by lobbyists to register. There is a limited amount of lobbying listed on the site compared to the growth and development of the city and compared to other communities. This puts employees at risk, but also in a position of potentially in issues of conflict.”

Please find attached:

1. City of Vaughan Lobbyist Registry, 3 page document
2. Mandatory Lobbyist Registry – powerpoint
3. Lobbyist Code of Conduct
4. By-Law 165-2017 (Consolidated)

Sincerely,

Suzanne Craig
Integrity Commissioner and Lobbyist Registrar

City of Vaughan Mandatory Lobbyist Registry



The reporting of lobbying activities is intended to be comprehensive and transparent. City of Vaughan residents and businesses are entitled to know who communicates with public office holders and which interests they represent.

Purpose

The purpose of the Lobbying By-Law is to ensure there is transparency regarding communications and activities intended to influence a Public Office Holder with respect to:

- Changes to legislation, regulations, programs, privatization
- Awarding of grants, contributions or financial benefits, and
- Planning matters outside the normal planning process
- All types of communication that influences a decision, whether in a formal or informal setting and
- To provide the Registrar's interpretation of what constitutes a not-for-profit group or organization under the Lobbying By-Law and identify when not-for-profit groups or organizations may have to register in the Lobbyist Registry.

The Lobbying By-law

Under section 6 of the Lobbying By-Law, the Lobbyist Registrar is responsible for overseeing administration of the lobbyist registration system, and for providing interpretations pertaining to the administration and application of the Lobbying By-Law.

Section 4 of the Lobbying By-Law identifies various activities that the Lobbying By-Law does not apply to. Section 4(xii) confirms the By-Law does not apply where "communication is by a voluntary unpaid lobbyist on behalf of a not-for-profit group or organization" or 4 (vii) where "communication by an applicant, an interested party or their representatives with respect to an application for a service, grant, planning approval, permit or other license or permission".

Risks to public officer holders when there is a failure by lobbyists to register

The issue is not the influence of lobbyists, who are often knowledgeable professionals or businesspeople who play an integral role in guiding elected officials through the various complex policy issues that intersect with private sector on which they must decide.

The real issue is that some lobbyists try to influence disproportionately certain elected officials. Where a lobbyist does not register their communications with a Member of Council or employee public office holder, the activity not only risks placing the employee in a conflict situation, but the lobbyist may also run afoul of the lobbyist Code of Conduct.

Rule 2.1 of Vaughan Code of Conduct sets out the following *commentary*:

[...] As a matter of general principle, as public office holders, Members should be familiar with the terms of the Lobbying By-Law inclusive of the Lobbyist Code of Conduct. If a Member is or at any time becomes aware that a person is in violation of the Lobbyist Code of Conduct or registration regime, the Member should draw that person's attention to the obligations imposed by the Lobbying By-law and Lobbying Code of Conduct. A Member should report any such violation or attempted violation of Lobbying By-law to the Lobbyist Registrar.

Relevant sections of the Lobbying By-Law

Section 5 of the Lobbying By-Law - Prohibitions

- a) No person, on whose behalf another person undertakes lobbying activities, shall make a payment for the lobbying activities that is in whole or in part contingent on the successful outcome of any lobbying activities.
- b) No person who lobbies a public office holder shall receive payment that is in whole or in part contingent on the successful outcome of any lobbying activities.
- c) No former public office holder shall engage in lobbying activities for a period of twelve (12) months after ceasing to be a public office holder at the City.

Section 7 of the Lobbying By-Law – Registration

- b) A person who lobbies shall register their activity no later than five (5) business days after the lobbying takes place.

Section 8 of the Lobbying By-Law – Investigations

The Lobbyist Registrar has the authority to conduct inquiries in respect of a request made by Council, a member of Council or by a member of the public about compliance with the Lobbyist Registry By-Law of the Lobbyist Code of Conduct, as set out under Section 223.12 of the Municipal Act, 2001.

Section 9 of the Lobbying By-Law – Penalties and Sanctions

The Lobbyist Registrar may impose the following penalties:

- i) First Offence: Prohibition of lobbying activities until an information and education meeting with the Lobbyist Registrar is held;
- ii) Second Offence: 3-month prohibition of lobbying activities; and
- iii) Third or Subsequent Offences: Prohibition of lobbying activities as determined by the Lobbyist Registrar.

If the Lobbyist Registrar decides to impose a temporary ban on communication, the Lobbyist Registrar shall inform the individual of the suspension and the reason for the suspension in writing and provide the reason for the suspension in a manner determined by the Lobbyist Registrar.

If the Lobbyist Registrar imposes a temporary ban on lobbying, the Lobbyist Registrar shall notify all Public Office Holders in a manner determined by the Lobbyist Registrar.

Lobbyist Code of Conduct

The Lobbying Code of Conduct sets out the responsibilities and obligations of a lobbyist, whether or not they have registered. The onus of disclosure of identity and purpose of the communication activity with the public office holder rests with the lobbyist.

Lobbyists shall avoid both the deed and the appearance of impropriety and shall not knowingly put a public office holder in a conflict of interest.

The City of Vaughan does not place an obligation on the public office holder that requires them to identify a lobbyist and refrain from communications.



City of Vaughan Mandatory Lobbyist Registry

December 15, 2021

**Suzanne Craig,
Integrity Commissioner and Lobbyist Registrar**

Who is a lobbyist?

In most municipal regimes, a Lobbyist is a person who:

1. Communicates with a public office holder
2. On behalf of a business or financial interest
3. With the goal of trying to influence any legislative action

Generally, municipal lobbying by-laws create three categories of lobbyists.

- Consultant lobbyist - an individual who lobbies for payment on behalf of a client, which can be another individual, company, partnership or other entity.
- In-house lobbyist - an individual who is an employee, partner or sole proprietor and who lobbies on behalf of his or her own employer, business or other entity.
- Voluntary unpaid lobbyist - an individual who lobbies without payment on behalf of an individual, business, or other organization for the benefit of the interests of the individual, business or other entity.

What is lobbying?

Lobbying includes:

- Activities intended to influence a Public Office Holder with respect to:
 - Changes to legislation, regulations, programs, privatization, and
 - Awarding of grants, contributions or financial benefits.
 - All types of communication that influences a decision, whether in a formal or in an informal setting. However, lobbying can occur in the absence of an attempt to influence and may include a communication relating to a pending or possible Council or Committee decision, whether or not the communication is intended to influence *that* decision
- Generally, municipal lobbying by-laws broadly define lobbying as:

"any communication with a public officer holder by an individual who is paid or who represents a business or financial interest with the goal of trying to influence any legislative action including development, introduction, passage, defeat, amendment or repeal of a by-law, motion, resolution or the outcome of a decision on any matter before Council, a Committee of Council, or a staff member acting under delegated authority."

Who are public office holders?

- The list of "public office holders" - that is, municipal officials, communications with whom may constitute lobbying - is broad and includes the following:
 - Members of municipal Council and their staff.
 - Officers and employees of the municipality in certain management positions or with direct contact with Council.
 - Members of local board or committees.
 - Employees who work on municipal elections in a supervising role.
 - An accountability officer of the municipality.
 - Individuals providing professional services to the municipality.

What is not lobbying?

- Municipalities actively encourage residents to continue to engage with their local government, to speak out on the issues that matter to them, and get involved in their communities.
- Most normal communication is not considered lobbying, including:
 - Everyday communication with the municipality as a resident.
 - Businesses with a financial interest if the communication is part of the municipality's procurement, planning or other established or statutory process.
 - Communication by representatives of other public institutions, such as hospitals, schools, First Nations or other governments.

Registrations

- The Vaughan lobbying by-law requires a consultant lobbyist to provide information about the client or clients on whose behalf the consultant lobbyist is lobbying.
- Clients of consultant lobbyists must also register before communicating with public office holders within a prescribed number of days. Failure to register within this time limit is a violation of the By-law.
- A lobbyist's registration must include all of the information required under the by-law, including contact information, business information, the class of lobbyist into which the individual falls, all target public office holders of the lobbying activity, as well as a description of the subject matter on which the individual intends to lobby.
- Lobbyists must inform their client, employer or organization of the obligations under the by-law, including the client's obligation to register.
- Lobbyists are prohibited from receiving payment that is in whole or part contingent on the successful outcome of lobbying.

Penalties

- The Lobbyist Registrar may impose a penalty on any lobbyist who fails to comply with the requirements of the by-law, including a prohibition on lobbying that may range from a prescribed timeframe to a period defined by the Registrar.
- Range of penalties if registration requirements are not met:
 - i) First Offence: Prohibition of lobbying activities until an information and education meeting with the Lobbyist Registrar is held;
 - ii) Second Offence: 3 month prohibition of lobbying activities; and
 - iii) Third or Subsequent Offences: Prohibition of lobbying activities as determined by the Lobbyist Registrar.

Lobbying in an election year

- Lobbying by-laws do not prohibit a lobbyist from registering as a candidate in an election. However, a lobbyist must comply with the Lobbying By-law's registration and reporting requirements, and the Lobbyists' Code of Conduct.
- A registered lobbyist may volunteer to work on a candidate's election campaign if in a minor capacity and their volunteer work must comply with the Lobbyists' Code of Conduct. If it is a significant role in the campaign (for example, as campaign manager), this may create a perception of conflict of interest or undue influence. In this situation, a lobbyist should seek the advice of the Lobbyist Registrar regarding whether their volunteer work and individual circumstances are likely to result in a conflict of interest or undue influence for the purposes of the Lobbying By-law.
- Lobbyists should not fundraise for a candidate, if their intent is to lobby that candidate once elected, or if they are concurrently lobbying a candidate who is a member of Council during the election period.
- Alternatively, they should not lobby a public office holder for whom they fundraise.

Members' responsibility

- Q. What should a public office holder do if they believe an individual or business is actively lobbying or intends to lobby?
- A. The member of Council or other public office holder should consider terminating the conversation or, where appropriate draw the person's attention to the obligations imposed by the Lobbying By-law. If the member believes the conversation was significant, the member should report the communication to the Lobbyist Registrar. However, the public officer is not required to report the activity.
- Rule 2.1 of Vaughan Code of Conduct sets out the following *commentary*:

Lobbying of public office holders is permissible but is a regulated activity in the City of Vaughan. [...] As a matter of general principle, as public office holders, Members should be familiar with the terms of the lobbying by-law inclusive of the Lobbyist Code of Conduct. If a Member is or at any time becomes aware that a person is in violation of the Lobbyist Code of Conduct or registration regime, the Member should draw that person's attention to the obligations imposed by the Lobbying By-law and Lobbying Code of Conduct. A Member should report any such violation or attempted violation of Lobbying By-law to the Lobbyist Registrar.

City of Vaughan

Lobbyist Code of Conduct



Honesty

- Lobbyists shall conduct with integrity and honesty all relations with public office holders, clients, employers, the public and other lobbyists.

Openness

- Lobbyists shall be open and frank about their lobbying activities, while respecting confidentiality.

Disclosure Of Identity and Purpose

- Lobbyists communicating with a public office holder shall disclose the identity of the individual, corporation, organization or other person, or the partnership, on whose behalf they are acting, as well as the reasons for the communication.
- Lobbyists communicating with a public office holder on a duly registered and disclosed subject matter shall not use that opportunity to communicate on another subject matter, unless first having registered as required and disclosing the identity and purpose.

Information and Confidentiality

- Lobbyists shall inform their client, employer or organization of the obligations under this Code of Conduct
- Lobbyists shall provide information that is accurate and factual to public office holders.
- Lobbyists shall not knowingly mislead anyone and shall use proper care to avoid doing so inadvertently.
- Lobbyists shall not divulge confidential information unless they have obtained the informed consent of their client, employer or organization, or disclosure is required by law.
- Lobbyists shall not use any confidential or other insider information obtained in the course of their lobbying activities to the disadvantage of their client, employer or organization.

Competing Interests

- Lobbyists shall not represent conflicting or competing interests without the written consent of those whose interests are involved.
- Lobbyists shall advise public office holders that they have informed their clients of any actual, potential or apparent conflict of interest and obtained the informed consent of each client concerned before proceeding or continuing with the undertaking.
- Lobbyists shall not lobby public office holders on a subject matter for which they also provide advice to the City.

Improper Influence

- Lobbyists shall avoid both the deed and the appearance of impropriety.
- Lobbyists shall not knowingly place public office holders in a conflict of interest or in breach of the public office holders' codes of conduct or standards of behaviour.

Restriction on Communication

- Lobbyists shall not communicate in relation to a procurement process except as permitted by the City's procurement policies and procurement documents.
- Lobbyists shall not engage in lobbying activities where the Lobbyist Registrar has prohibited them from lobbying for a specified time period.

THE CITY OF VAUGHAN

BY-LAW

BY-LAW NUMBER 165-2017
(Consolidated Version as of September 27, 2021)

A By-law to permit the establishment of a Lobbyist Registry.

WHEREAS Council desires to establish and maintain a Lobbyist Registry and appoint a Lobbyist Registrar to provide transparency about persons who lobby the City of Vaughan's public office holders;

AND WHEREAS section 223.9 of the *Municipal Act, 2001* authorizes the City of Vaughan to establish and maintain a Lobbyist Registry in which shall be kept registrations and returns filed by persons who lobby the City of Vaughan's public office holders;

AND WHEREAS section 223.11 of the *Municipal Act, 2001* authorizes the City of Vaughan to appoint a Lobbyist Registrar who is responsible for performing in an independent manner the functions assigned by the City of Vaughan with respect to the Lobbyist Registry;

AND WHEREAS sections 8, 9 and 11 of the *Municipal Act, 2001* authorize the City of Vaughan to pass by-laws necessary or desirable for municipal purposes, and in particular paragraph 2 of subsection 11(2) authorizes by-laws respecting the accountability and transparency of the municipality and its operations;

NOW THEREFORE the Council of the City of Vaughan enacts as follows:

1) Definitions

- a) "City" – means the corporation of the City of Vaughan
- b) "Code of Conduct" - means the Lobbyist Code of Conduct, attached as Schedule "A" to the Lobbyist Registry By-law.
- c) "communication" - means any form of expressive contact including, but not limited to, a meeting, email, or other electronic messaging, facsimile transmission, letter, phone call or meaningful dialogue or exchange that materially advances a matter that is defined as lobbying, whether in a formal or in an informal setting.
- d) "lobby" or "lobbies" or "lobbying" - means any communication with a public office holder by an individual who represents a business or financial interest with the goal of trying to influence any legislative action, including, but not exclusively, development, introduction, passage, defeat, amendment or repeal of a bylaw, motion, resolution or the outcome of a decision on any matter before Council or a Committee of Council, or staff member acting under delegated authority.
- e) "lobbyist" – means:
 - (1) **Consultant Lobbyist** - an individual who lobbies for payment on behalf of a client (another individual, company, partnership or organization). If the consultant lobbyist arranges for a meeting between a public office holder and a third party, that is lobbying.
 - (2) **In-House Lobbyist** - an individual who is an employee, partner or sole proprietor and who lobbies on behalf of their own employer, business or organization. If the in-house lobbyist arranges for a meeting between a public office holder and a third party, that is lobbying.
 - (3) **Voluntary Unpaid Lobbyist** - an individual who lobbies without payment on behalf of an individual, business or other organization for the benefit of the interests of the individual, business or other organization. If the voluntary unpaid lobbyist arranges a meeting between a public office holder and a third party, that is lobbying.
- f) "Lobbyist Registrar" – means the person appointed as Lobbyist Registrar under section 223. 11 of the *Municipal Act, 2001*.

- g) "Lobbyist Registry" – means a system of registration in which shall be kept registrations (returns) of persons who lobby public office holders and which shall include such information as determined by the Lobbyist Registrar.
- h) "local board" – means has the same meaning as the definition of a local board in section 223. 1 of the *Municipal Act, 2001*.
- i) "not-for-profit" – means a group of organization organized and operated exclusively for social welfare, civic improvement, or for any other purpose except profit, no part of the income of which was payable to, or is otherwise available for the personal benefit of, any proprietor, member or shareholder thereof. **[Added by section 1 of By-law 109-2021 on September 27, 2021.]**
- j) "public office holder" – means
- (1) A member of Council and any person on his or her staff
 - (2) An employee of the City who is a member of the City's Corporate Management Team
 - (3) Employees in management positions that can influence programs and services
 - (4) Employees who are not in management positions but have direct contact with members of Council and whose work includes providing advice to Council
 - (a) including advice on legal, financial, personnel, policy advice
 - (b) including employees who provide planning, building, licensing, inspection and purchasing services
 - (5) Employees who have direct contact with Council in the operation of Council and Committees
 - (6) Employees who work on municipal elections in a supervising role
 - (7) An accountability officer appointed under the *Municipal Act, 2001*, including, but not limited to:
 - (a) Auditor General
 - (b) Integrity Commissioner
 - (c) Lobbyist Registrar
 - (d) Ombudsman
 - (e) Closed Meeting Investigator

2) Establishment of a Lobbyist Registry

- a) The Lobbyist Registry is established pursuant to Section 223.9 of Part V.1 of the *Municipal Act, 2001*.
- b) The Lobbyist Registry shall be available for public inspection through electronic, web-based access at all reasonable times.

3) Exemptions for Specific Persons

- a) This by-law does not apply to the following persons when acting in their public capacity:
 - i) government or public sector, other than the City of Vaughan,
 - (a) Members of the Senate or House of Commons of Canada, legislative assembly of a province, the council or legislative assembly of a territory, or persons on the staff of those members;
 - (b) members of a First Nation council as defined in the *Indian Act* or of the council of an Indian band established by an Act of the Parliament of Canada, or persons on the staff of the members;
 - (c) employees or consultants retained by the Government of Canada, the government of a province or territory, a First Nation council, a federal or provincial crown corporation or other federal or provincial public agency;
 - (d) members of a council or other statutory body, including a local board, charged with the administration of the civil or municipal affairs of a municipality in Canada other than the City, persons on staff of the members, or officers or employees of the municipality or local board, and
 - (e) members of a national or sub-national foreign government, persons on the staff of the members, or officers, employees, diplomatic agents, consular officers or official representatives in Canada of the government.
 - ii) Officials and employees of the City and other municipal bodies, including
 - (a) Public office holders;
 - (b) officers, directors or employees of a local board of the City and acting in their public capacity;

- (c) a member of an Advisory Committee, acting in their public capacity and appointed by City Council
- iii) Persons communicating on behalf of the local school boards
- iv) Persons communicating on behalf of healthcare institutions

4) Exemptions for Specific Activities

- a) This by-law does not apply to the following activities:
 - i) communication that is a matter of the public record
 - ii) communication that occurs during a meeting of Council or a Committee of Council;
 - iii) communication that occurs during a public process such as a public meeting, hearing, consultation, open house or media event held or sponsored by the City or a public office holder or related to any application;
 - iv) communication restricted to a request for information;
 - v) communication restricted to compliments or complaints about a service or program;
 - vi) communication with a public office holder by an individual on behalf of an individual, business or organization regarding:
 - (a) the enforcement, interpretation or application of any Act or by-law by the public office holder and with respect to the individual, business or organization;
 - (b) the implementation or administration of any policy, program, directive or guideline by the public office holder and with respect to the individual, business, organization A personal matter;
 - (c) a personal matter of the individual, business or organization unless it is communication that is in respect of a matter that falls under the definition of lobbying, and is for the special benefit of the individual, business or organization;
 - vii) communication by an applicant, an interested party or their representatives with respect to an application for a service, grant, planning approval, permit or other license or permission:
 - (a) with an employee of the City or a Member of Council if the communication is restricted to providing general information on an application, including a

proposed or pending application, or to inquire about the application review process,

- (b) with an employee of the City if the communication is part of the normal course of the approval process,
 - (c) with respect to planning and development applications, if the communication is with an employee of the City who has a role in the processing of a planning application during the formal pre-application consultation, the filing of the application and the application review process, including the preparation of development agreements;
- viii) submitting a bid proposal as part of the procurement process and any communication with designated employees of the City as permitted in the procurement policies and procurement documents of the City;
 - ix) communication with a public office holder by an individual on behalf of an individual, business or organization in direct response to a written request from the public office holder;
 - x) communication to a Member of Council by a constituent of the Member of Council, or an individual on behalf of a constituent of the Member of Council on a general neighbourhood or public policy issue;
 - xi) communications directly related to those City-initiated consultative meetings and processes where an individual is participating as a stakeholder;
 - xii) communication is by a voluntary unpaid lobbyist on behalf of a not-for-profit group or organization. However, in order for the not-for-profit exemption to apply, the following conditions must be met:
 - (1) The group or organization must be a not-for-profit group or organization;
 - (2) The lobbying activities undertaken by the not-for-profit must be ancillary or incidental to the purpose or operation of the not-for-profit;
 - (3) Any lobbying activities on behalf of the not-for-profit must be performed by a voluntary unpaid lobbyist. **[Amended by section 2 of By-law 109-2021 on**

September 27, 2021.]

- xiii) If any of the conditions set out in subsection 4) a) xii) (1), (2) or (3) are not met, the exemption contained in subsection 4) a) xii) for a communication by a voluntary unpaid lobbyist on behalf of a not-for-profit, does not apply. **[Added by section 2 of By-law 109-2021 on September 27, 2021.]**

5) Prohibitions

- a) No person, on whose behalf another person undertakes lobbying activities, shall make a payment for the lobbying activities that is in whole or in part contingent on the successful outcome of any lobbying activities.
- b) No person who lobbies a public office holder shall receive payment that is in whole or in part contingent on the successful outcome of any lobbying activities.
- c) No former public office holder shall engage in lobbying activities for a period of twelve (12) months after ceasing to be a public office holder at the City.

6) Lobbyist Registrar

- a) Ms. Suzanne Craig is appointed the Lobbyist Registrar in accordance with Section 223.11 of the *Municipal Act, 2001*.
- b) The Lobbyist Registrar is independent of the City administration.
- c) The Lobbyist Registrar is responsible for the following:
- (1) overseeing the administration of the lobbyist registration system;
 - (2) providing advice, opinions and interpretations pertaining to the administration and application of this by-law;
 - (3) advising Council on lobbying matters and recommending improvements and amendments to this by-law;
 - (4) providing to Council any periodic reports and information as the Registrar considers appropriate;
 - (5) making the Lobbyist Registry available for public inspection through electronic, web-based access at all reasonable times and in a manner that the Lobbyist Registrar may determine; and,

(6) performing other duties as may be assigned by Council.

7) Registrations

- a) A person with the intent to lobby may register as a lobbyist prior to the first lobbying communication with a public office holder.
- b) A person who lobbies shall register their activity no later than five (5) business days after the lobbying takes place.
- c) The lobbyist shall set out in the registration the following information:
 - (1) name, title, and business address (where applicable);
 - (2) whether the lobbyist is a consultant lobbyist, in-house lobbyist or voluntary unpaid lobbyist;
 - (3) the name of the individual, client or other organization, including all business names under which the individual, client or other organization is operating, on whose behalf the lobbyist is lobbying; and
 - (4) such further information as the Lobbyist Registrar may require.
- d) The lobbyist shall set out in the registration the subject matter in respect of which the lobbyist intends to lobby on:
 - (1) each subject matter that the lobbyist will lobby on;
 - (2) description of the issue being lobbied, including particulars of any relevant City proposal, by-law, motion, resolution, policy, program, directive, grant, or guideline;
 - (3) date on which the lobbying will start and finish, with the date on which the lobbying finishes being no more than twelve (12) months after the date on which the lobbying starts;
 - (4) names of public office holders being lobbied; and
 - (5) such further information as the Lobbyist Registrar may require.
- e) A lobbyist shall update any changes to his or her registration within ten (10) business days of the change taking place.
- f) The subject matter shall be closed once lobbying is complete or within twelve (12) months of lobbying commencing, whichever is sooner.

- g) The lobbyist shall close the subject matter registration he or she has filed not later than thirty (30) days after the completion or termination of the lobbying activity.
- h) A subject matter registration may be extended beyond twelve (12) months at the sole discretion of the Lobbyist Registrar.
- i) The Lobbyist Registrar will approve or refuse the registration in accordance with the requirements of the Lobbyist Registry By-law.

8) Investigations

- a) The Lobbyist Registrar has the authority to conduct inquiries in respect of a request made by Council, a member of Council or by a member of the public about compliance with the Lobbyist Registry By-law of the Lobbyist Code of Conduct, as set out under section 223.12 of the *Municipal Act, 2001*.
- b) Upon receiving information that an individual has communicated with a public office holder, the Lobbyist Registrar may ascertain whether the individual is a lobbyist pursuant to section 1(e) of the Lobbyist Registry Bylaw and may contact the individual to advise of the mandatory requirement to register in the Lobbyist Registry. Where the Lobbyist Registrar confirms that the individual has not registered as a lobbyist, the Lobbyist Registrar may pursue an investigation in accordance with section 223.12 (1) of the *Municipal Act, 2001*. **[Added by section 3 of By-law 109-2021 on September 27, 2021.]**
- c) In accordance with section 223.12(7) of the *Municipal Act, 2001*, if the Lobbyist Registrar determines, when conducting an inquiry, that there are reasonable grounds to believe that there has been a contravention of any other Act or of the Criminal Code (Canada), the Lobbyist Registrar shall immediately refer the matter to the appropriate authorities and suspend the inquiry until any resulting police investigation and charge have been finally disposed of, and shall report the suspension to Council.

9) Penalties and Sanctions

- a) The Lobbyist Registrar may impose penalties on communication in accordance with the following scheme if the Lobbyist Registrar finds that the requirements of this by-law have not been met:
 - i) First Offence: Prohibition of lobbying activities until an information and education meeting

- with the Lobbyist Registrar is held;
- ii) Second Offence: 3 month prohibition of lobbying activities; and
 - iii) Third or Subsequent Offences: Prohibition of lobbying activities as determined by the Lobbyist Registrar.
- b) If the Lobbyist Registrar decides to impose a temporary ban on communication, the Lobbyist Registrar shall inform the individual of the suspension and the reason for the suspension in writing and provide the reason for the suspension in a manner determined by the Lobbyist Registrar.
 - c) If the Lobbyist Registrar imposes a temporary ban on lobbying, the Lobbyist Registrar shall notify all Public Office Holders in a manner determined by the Lobbyist Registrar.
 - d) The Lobbyist Registrar may remove a registration or return from the Lobby Registry if the individual who filed the registration or return is found by the Lobbyist Registrar to have not complied with the requirements of this by-law.
 - e) When a registration is removed from the Lobbyist Registry, the individual who filed it shall be deemed, for the purposes of his or her existing and future obligations under this by-law, not to have filed the registration.

10) Responsibilities of the Lobbyist

- a) All lobbyists shall comply with the requirements of the Lobbyist Registry By-law;
- b) Lobbyists shall disclose if they have held a public office holder position at the City and the date the individual ceased to hold the position;
- c) Lobbyists shall disclose if they hold a position on a local board of the City; and,
- d) Lobbyists shall adhere to the Code of Conduct, attached as Schedule "A" to the Lobbyist Registry By-law, during the conduct of lobbying activities with public office holders.

11) Responsibilities of the Public Office Holders

- a) The Public Office Holder is responsible for:
 - i) Ceasing lobbying-related communication with a lobbyist who is prohibited from lobbying; and,
 - ii) Responding and providing information in a timely manner to Lobbyist Registrar with regards to an inquiry conducted under Section 8(a) of the Lobbyist Registry By-law.

12) General

- a) This by-law shall be known as the Lobbyist Registry By-law.
- b) The Lobbyist Code of Conduct is attached hereto as Schedule "A".
- c) By-law 105-2016 is hereby repealed.
- d) This by-law shall come into effect on January 1, 2018.

Enacted by City of Vaughan Council this 11th day of December, 2017.

Hon. Maurizio Bevilacqua, Mayor

Barbara A. McEwan, City Clerk

Authorized by Item No. 1 of Report No. 37
of the Committee of the Whole (Working Session)
Adopted by Vaughan City Council on
October 24, 2017.

Schedule "A"

Lobbyist Code of Conduct

1. Honesty

- a. Lobbyists shall conduct with integrity and honesty all relations with public office holders, clients, employers, the public and other lobbyists.

2. Openness

- a. Lobbyists shall be open and frank about their lobbying activities, while respecting confidentiality.

3. Disclosure Of Identity and Purpose

- a. Lobbyists communicating with a public office holder shall disclose the identity of the individual, corporation, organization or other person, or the partnership, on whose behalf they are acting, as well as the reasons for the communication.
- b. Lobbyists communicating with a public office holder on a duly registered and disclosed subject matter shall not use that opportunity to communicate on another subject matter, unless first having registered as required and disclosing the identity and purpose.

4. Information and Confidentiality

- a. Lobbyists shall inform their client, employer or organization of the obligations under this Code of Conduct
- b. Lobbyists shall provide information that is accurate and factual to public office holders.
- c. Lobbyists shall not knowingly mislead anyone and shall use proper care to avoid doing so inadvertently.
- d. Lobbyists shall not divulge confidential information unless they have obtained the informed consent of their client, employer or organization, or disclosure is required by law.
- e. Lobbyists shall not use any confidential or other insider information obtained in the course of their lobbying activities to the disadvantage of their client, employer or organization.

5. Competing Interests

- a. Lobbyists shall not represent conflicting or competing interests without the written consent of those whose interests are involved.
- b. Lobbyists shall advise public office holders that they have informed their clients of any actual, potential or apparent conflict of interest and obtained the informed consent of each client concerned before proceeding or continuing with the undertaking.
- c. Lobbyists shall not lobby public office holders on a subject matter for which they also provide advice to the City.

6. Improper Influence

- a. Lobbyists shall avoid both the deed and the appearance of impropriety.
- b. Lobbyists shall not knowingly place public office holders in a conflict of interest or in breach of the public office holders' codes of conduct or standards of behaviour.

7. Restriction on Communication

- a. Lobbyists shall not communicate in relation to a procurement process except as permitted by the City's procurement policies and procurement documents.
- b. Lobbyists shall not engage in lobbying activities where the Lobbyist Registrar has prohibited them from lobbying for a specified time period.