



Ethics Office Monthly Report

JANUARY 2024

EDUCATION

Assistant Ethics Officer Peter Von Haam provided in-person ethics training to 125 employees in the Desert Region at Gene Camp, Iron Mountain, Eagle, and Hinds pumping plant locations. He also conducted a live ethics training session for 194 staff members of the Engineering Services Group staff in the Board room.



Assistant Ethics Officer Kelli Shope provided a monthly education item at the Ethics, Organization and Personnel Committee meeting on the conflicts bulletin tool developed to help Metropolitan directors and other 87200 filers screen for, and avoid, conflicts of interests.

Staff also presented an Ethics Office overview for new hires.

COMPLIANCE

Assisted directors and employees with their

Annual, Assuming Office, and Leaving Office Form 700 filings. Assistance included filing for multiple positions, troubleshooting the electronic filing system, and notifications of deadlines.

Monitored the status of past due Assuming Office and Leaving Office Form 700 filings. Sent notices to three current employees and four former employees; obtained compliance from three current employees and two former employees. Referred two former employees to the FPPC for non-filing of the Leaving Office Form 700.

ADVICE

Addressed 36 advice matters related to the following: conflicts of interest, financial disclosure, gifts, political activities, and other ethics-related topics.

INVESTIGATIONS

Received five complaints involving the following allegations:

- An employee violated outside employment restrictions
- A manager misused their authority to benefit a relative
- A manager released confidential information without authorization
- A Metropolitan official acted unprofessionally in the workplace
- An employee released confidential information without authorization and misused their

COMPLAINTS MAY BE FILED AT:

ANONYMOUS ETHICS HOTLINE (Convercent)
(800) 461-9330
<http://www.mwdethicshotline.net/>

ETHICS OFFICE
(213) 217-5832
ethicsoffice@mwdh2o.com

position for personal gain

ETHICS OFFICER FINDINGS

The Ethics Officer determined that one manager and two employees improperly disclosed confidential information without authorization. The findings were forwarded to Human Resources for consideration of appropriate action.

The Ethics Officer determined that an allegation that several managers retaliated against an employee for reporting potential workplace misconduct was not substantiated by a preponderance of the evidence.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	36
Compliance Assistance	55
Complaints Received	5
Investigations Opened	0
Pending Investigations	6