



Ethics Office Monthly Report

MAY 2023

EDUCATION

Provided Ethics Office overview for new employees.

COMPLIANCE

Assisted Board members 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 two current employees and one former employee; obtained compliance from four current employees. Referred two former employees to the Fair Political Practices Commission for non-filing of Leaving Office Form 700 after separation.

ADVICE

Addressed 24 advice matters involving: conflicts of interest, political activities, financial disclosure, gifts, honoraria, and other ethics-related topics.

STAFF DEVELOPMENT

Deputy Ethics Officer Dominic Berbeo attended the Association of Workplace Investigators Training Institute.

INVESTIGATIONS

Responded to three complaints involving the following allegations:

- Unauthorized disclosure of confidential information
- Bullying and harassment
- Misuse of authority

Referred EEO-related complaints to the EEO Office.

ETHICS OFFICER FINDING

After an internal investigation by Ethics Office staff, the Ethics Officer determined that an employee disclosed confidential information without authorization, in violation of Administrative Code section 7126. The finding was forwarded to Human Resources and management for consideration of appropriate action.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	24
Compliance Assistance	20
Complaints Received	3
Investigations Opened	0
Pending Investigations	11