



Ethics Office Monthly Report

December 2021

EDUCATION

Reminder: training session on conflicts of interest laws to be presented by the Fair Political Practices Commission at the January 2022 Board meeting.

Issued notices to all directors and employees highlighting the new ethics policies applicable to them.

Provided new filer session for an employee entering into a position requiring Form 700 filings.

STAFF DEVELOPMENT

Two staff members attended the Council on Governmental Ethics Laws (COGEL) annual conference. Virtual sessions included:

- *Virtual Ethics: New Issues and Challenges in Providing Ethics Guidance and Training in a Work from Home World*
- *An Introduction to the 'Anticorruption Manual'*
- *Lobbyists, Conflicts of Interest and the Role of the Regulator, and*
- *Breaking Bad: Ethics During a Global Pandemic and Disasters – Should Ethics Rules Cover 'Bad Behavior'*

COMPLIANCE

Assisted Board members and employees with Assuming Office and Leaving Office Form 700 filings. Assistance included

notifications of deadlines and troubleshooting the electronic filing system. Monitored the status of past due Assuming Office and Leaving Office Form 700 filings; obtained compliance from one current employee and three former employees and sent filing notices to four current employees and two former employees.

ADVICE

Addressed six new advice matters involving: conflicts of interest, financial disclosure, contracting integrity, director communications with staff, and other ethics-related topics.

INVESTIGATIONS

Received complaints alleging that: 1) An employee behaved unprofessionally towards a coworker; 2) Various employees on the same team are failing to properly complete their assigned duties; 3) A manager misused their authority to influence a recruitment process for personal gain; and 4) A manager misused their authority for personal gain and engaged in discriminatory hiring practices.

Initiated one investigation into allegations that a manager misused their authority to influence a contracting process for personal gain.

INVESTIGATION FINDINGS

The Ethics Officer found that allegations that a manager misused their authority to improperly influence a recruitment process for personal gain were not substantiated.

The Ethics Officer found that allegations that an employee conducted outside employment activities during their Metropolitan paid work hours were substantiated. The investigation was conducted by Ethics Office staff, and the findings were referred to management and Human Resources for appropriate action.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	6
Compliance Assistance	30
Complaints Received	4
Investigations Opened	1
Pending Investigations	2

EEO INVESTIGATIONS

Briefing by the Ethics Officer to the Organization, Personnel and Technology Committee on the results of EEO investigations conducted by Shaw Law Group will take place at the January 2022 Committee meeting.