



Ethics Office Monthly Report

March 2022

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; obtained compliance from one current and five former employees and sent filing notices to five other former employees. Staff also referred one former employee to the Fair Political Practices Commission for non-filing of a Leaving Office Form 700 after two written notices.

ADVICE

Addressed 18 advice matters involving: conflicts of interest, financial disclosure, gifts, and other ethics-related topics.

EDUCATION

Held new filer training session for employee who assumed a Form 700 filing position. Session included a governmental ethics overview and what to report on Form 700.

INVESTIGATIONS

Received complaints alleging that: 1) An employee retaliated against another employee for reporting a workplace violation; 2) An employee released another employee's confidential personnel records without authorization; and 3) Consultants engaged in unprofessional behavior in the

course of conducting Metropolitan business.

Opened one investigation into allegations that an employee retaliated against another employee for reporting a workplace violation.

Determined in one complaint filed with the Ethics Office that there was no potential violation of an ethics rule. Therefore, the issue was referred to the General Auditor for audit consideration since it involved data integrity of a Metropolitan system.

ETHICS OFFICER FINDINGS

The Ethics Officer found that allegations that a supervisor misused their authority to provide a private advantage to another person were not substantiated. The investigation was conducted by Ethics Office staff and the findings were based on evidence that the supervisor's actions were driven by legitimate business purposes.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	18
Compliance Assistance	96
Complaints Received	3
Investigations Opened	1
Pending Investigations	4