



# Ethics Office Monthly Report

**June 2021**

## **ANNUAL REPORT TO AUDIT & ETHICS COMMITTEE**

Presented Ethics Office Annual Report for fiscal year 2020-21 to the A&E Committee. Highlighted achievements in compliance, education, and the Ethics Officer's oversight role in the board-directed independent review of workplace concerns.

## **INDEPENDENT REVIEW OF EEO RELATED CONCERNS**

Continued overseeing the board-directed independent review of Metropolitan's handling of EEO-related matters with outside firm Shaw Law Group. Handled preparations for Shaw Law Group's reporting at the Special OP&T Committee meeting on July 27, 2021.

## **COMPLIANCE**

Assisted Board members and employees with Assuming Office and Leaving Office Form 700 filings. Assistance included troubleshooting the electronic filing system and helping filers determine what interests to report on Form 700.

Monitored the status of past due Assuming Office and Leaving Office Form 700 filings and obtained compliance from one current employee and two former employees.

## **ADVICE/EDUCATION/OUTREACH**

Addressed 13 advice matters involving: conflicts of interest, nepotism, negotiating future employment, recusals, and other ethics-related topics.

Held an individual training session with an employee who recently assumed a position requiring Form 700 filing.

Developed and distributed a new ethics orientation video for onboarding Metropolitan employees.

## **INVESTIGATIONS**

Received complaints alleging that: 1) a manager misused their authority to benefit an employee; 2) a supervisor retaliated against an employee who filed an EEO complaint; 3) a supervisor retaliated against an employee who reported workplace misconduct; 4) an employee violated workplace misconduct rules; and 5) a manager favored an employee based on a protected class by failing to report a workplace incident involving a damaged vehicle and other equipment.

Initiated investigations into allegations that: 1) a manager misused their authority to disadvantage an employee during a recruitment process; and 2) an employee performed outside work using Metropolitan time or resources.

## **ADVICE AND INVESTIGATIVE DATA**

Advice Matters	13
Compliance Assistance	11
Complaints Received	5
Investigations Opened	2
Pending Investigations	3