

Office of Ethics
Business Plan
Audit and Ethics Committee
June 10, 2013

FY 2013-14: Goals

- Present comprehensive assessments and recommendations for Board's consideration.
- At end of process, have an operational Ethics Office meeting standards of SB 60 and FSGO.



Standards

SB 60

FSGO

Ethics Rules ↔ Standards of Conduct

Board Oversight ↔ Board Oversight

Educate ↔ Training and Prevention

Investigate ↔ Detection and Authority

Due Process/Safeguards ↔ Safeguards

Public Records ↔ Self-Monitoring

Penalties ↔ Incentives and
Disincentives

Business Plan Initiatives

1. Policy review
2. Investigation
3. Monitoring and compliance

Business Plan Initiatives

1. Policy review

- Ethics rules
- Procedures
- Resources

Business Plan Initiatives

1. Policy review

2. Investigation

- Process integrity
- Protection
- Transparency
- Board and management
- Resources

Business Plan Initiatives

1. Policy review
2. Investigation
3. Monitoring and compliance
 - Education and advice
 - Financial disclosure statements (Form 700)
 - Resources

Proposed Schedule

Action Items	Proposed Committee Meetings
Part I	
1. Policy principles	July 23, 2013
2. Investigations policies	(for Aug 20, 2013 BOD)
3. Short-term resources	
Part II	
1. Ethics regulations	Oct 7, 2013
2. Scope of responsibilities	
Part III	
1. Ethics regulations, cont.	Dec 9, 2013
2. Long-term Resources	

Discussion