

# Ethics Workshop

Audit & Ethics Committee

Sept 24, 2013

# Policy Principles

- Clear and simple language
- Objective standards for rules
- Defined scope

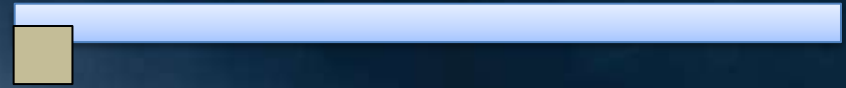
# Rules and Values

## General Rules



- Subjective
- Not subject to investigation
- Office functions
  - Education
  - Consultation
  - Mediation

## Specific Rules



- Objective
- Subject to investigation
- Office functions
  - Investigation
  - Advice

# General Rules: Examples

## MWD Admin Code:

- “highest standards of ethics” (Sec. 7101)
- “impartial and responsible towards the public” (Sec. 7101)
- “personal honesty and fairness” (Sec. 7101)
- “fair and equal treatment” (Sec. 7103)

# Specific Rules: Examples

## MWD Admin Code:

- “MWD shall not make any contract ... in which a Board member, officer, or employee has a financial interest.” (Sec. 7105(d).)
- “Board members, officers, and employees are prohibited From soliciting political funds or contributions at Metropolitan facilities.” (Sec. 7108(a).)

# Areas of Specific Rules Needing Greater Definition

1. Political Activities
2. Procurement Integrity

# Scope of Investigative Authority

## *Current*<sup>1</sup>

- Financial conflicts
- Political activities
- Procurement integrity
- Gifts & honoraria
- Outside employment
- Confidential information
- Financial disclosures
- Reporting misconduct
- Whistleblower protection
- EEO allegations - Directors
- Corporate Governance

## *Indefinite*

- Nepotism<sup>2</sup>
- Fraud/Misconduct<sup>3</sup>
- Employee discounts<sup>4</sup>
- Personal relationships<sup>5</sup>
- Employment processes

1. Admin Code sec. 7000
2. Operating policy H-03
3. Operating policy E-05
4. Operating policy C-23
5. Operating policy H-03

