

Audit and Ethics Committee

Committee Follow-Up Items

October 28, 2014



Committee Follow-Up Items

- Education and training events
- Investigation timeline

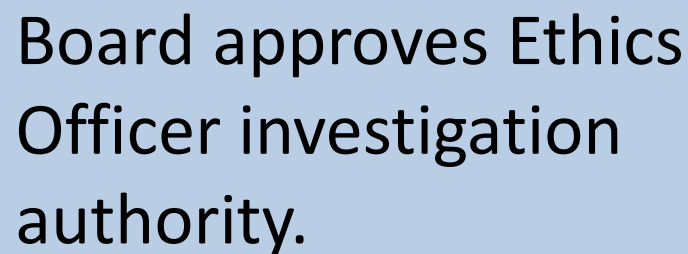
Education & Training

- Government ethics training (AB 1234)
 - Tuesday, Nov. 18, 2014, 12:45pm-3pm
Board Room
 - Presenters
- Sexual harassment module for directors

Investigation Timeline

2013 August

Board approves Ethics
Officer investigation
authority.



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Retain
Investigator

September

EO signs contract with GHSB.

GHSB submits investigation plan.

1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30

Retain Outside Investigator

Outside Investigation and Report

October

EO notifies Subject.

GHSB interviews Subject.

GHSB interviews Witness A.

GHSB interviews Witness B.



Outside Investigation and Report

November

GHSB interviews
Witness C.

GHSB submits supplemental
information request to Firm; GHSB
submits first draft investigation
report to EO.

1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30

Outside Investigation and Report

December

GHSB submits second draft of investigation report.



GHSB submits final investigation report.



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Outside Investigation and Report

2014 January

EO sends report to Legal Counsel.



Legal Counsel gives recommendations.



1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30

EO and outside counsel review of
Investigation Report

Internal follow up

February

EO sends information request.



Firm requests extension.



EO sends second request to Subject.

Firm responds.



Subject requests extension.



EO Supplemental Investigation

March

Subject responds.



Preliminary Report first draft.



1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30

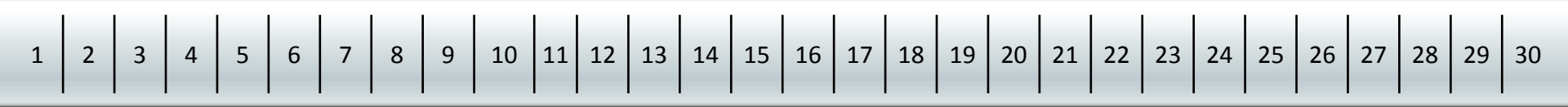
Supplemental

Preparation of EO's Preliminary Report

April

Preliminary Report third draft with exhibits.

Preliminary Report second draft.



Preparation of EO's Preliminary Report

May

Preliminary Report to GC for review.



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GC Review of Ethics Officers Preliminary Report

June

Subject's counsel receives Preliminary Report.

GC provides comments.

1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 | 13 | 14 | 15 | 16 | 17 | 18 | 19 | 20 | 21 | 22 | 23 | 24 | 25 | 26 | 27 | 28 | 29 | 30

GC review cont.

EO
revisions

Subject's opportunity
to comment

July

A&E Committee appoints subcommittee.

EO issues Final Investigation Report.

Subject responds.



Subject's comments

Final revisions

Subcommittee Review

August

Subcommittee meets.



Executive Committee takes final action.



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Subcommittee
Review

Executive Committee
Review

2013 – 2014 Investigation Timeline

2013

2014

Aug Sep

Oct-Nov-Dec

Jan-Feb-Mar

Apr-May-June

Jul-Aug

Pre

Investigation

Supplemental

Review

BOD

