

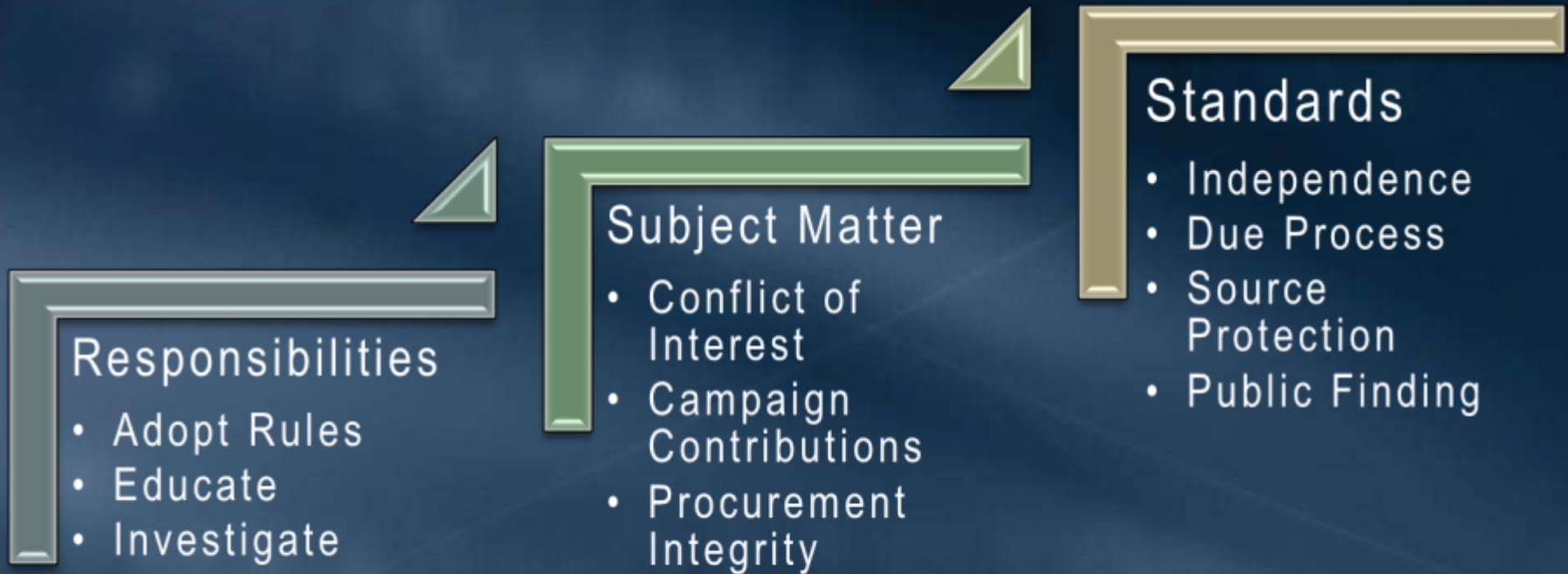
Ethics Officer's Business Plan for FY 2015/16

Audit & Ethics Committee

Item 3d

June 23, 2015

Ethics Office Mandate



Ethics Office Responsibilities

<p>Management</p>	<ul style="list-style-type: none"> - Program development - Program oversight - Board communication and planning 	<ul style="list-style-type: none"> - Senior management coordination and meetings - Supervision - Oversight of investigations
<p>Compliance & Reporting</p>	<ul style="list-style-type: none"> - Case docketing - Intake Administration - Matter Tracking System 	<ul style="list-style-type: none"> - Records management administration - Budget Analysis - Procurement
<p>Education/Advice Outreach</p>	<ul style="list-style-type: none"> - Development of Training programs - Performance of education assessments - Drafting of publications 	<ul style="list-style-type: none"> - Providing advice - Performing mediation services - Implementing outreach - Preparation of website content

Ethics Office Responsibilities

<p>Policy</p>	<ul style="list-style-type: none"> - Drafting proposed rules and procedures - Identification of procedural justice issues - Research into comparable local, state, and federal ethics and compliance functions - Preparation of board/committee presentations 	<ul style="list-style-type: none"> - Preparation of substantive correspondences - Preparation of case memoranda - Drafting of strategic planning documents - Gathering and analysis of interdepartmental input - Risk assessment
<p>Investigations</p>	<ul style="list-style-type: none"> - Initial case assessment - Research applicable policies/rules - Planning of investigation - Identification of evidence - Initial document review - Preparation for witness interviews - Conduct of interviews 	<ul style="list-style-type: none"> - Post-interview analyses - Identification and review of additional evidence or witnesses - Authentication and comparative analysis of conflicting facts - Drafting final report - Document management

2014-15 Recap

Outreach

Joint
Ethics/Legal
Memos

Monthly
Conflict
Bulletins

Abstention &
Recusal
Guidelines

Major
Investigation
Report

Ethics Training
AB 1234

Ethics Training Nov 2014



FY 2015-16 Business Plan



PROGRAM REFINEMENTS

COMMUNICATION AND OUTREACH

POLICY INITIATIVES

EDUCATION MODULE

MONITORING AND ENFORCEMENT

RESPONSE PLANS

Discussion