



Ethics Officer's report of Fourth Quarter 2016 and First Quarter 2017 activities

Audit & Ethics Committee
Item 4b
April 25, 2017

Functions



Investigations

Status, subject matter, etc.

EO REPORTS/MEMOS		
<u>SUMMARY</u>	<u>OPENED</u>	<u>STATUS</u>
Conflict of interest - Exec Mgr	7/16	EO Report 9/16
Misuse of authority - Mid Mgr	8/16	Closing Memo 10/16
Misleading associations - Exec Mgr	9/16	Closing Memo 11/16
Misuse of authority - Mid Mgr	10/16	Closing Memo 3/17
Retaliation - Mid Mgr	11/16	Closing Memo 3/17
Misuse of authority - Exec Mgr	11/15	EO Report 3/17 (GC Review Pending)

Investigations

Status, subject matter, etc.

ONGOING		
<u>TYPE</u>	<u>OPENED</u>	<u>STATUS</u>
Release of confidential records - Director	12/15	Preliminary Review
Conflict of interest - Consultant	12/15	Preliminary Review
Misuse of resources - Emp	8/16	Preliminary Review
Conflict of interest - Consultant/Emp	10/16	Preliminary Review
Misuse of authority - Exec Mgr	1/17	Preliminary Review
Misuse of authority - Exec Mgr	3/17	Initial Review
Misuse of authority - Sr Mgr	4/17	Preliminary Review
Retaliation - Mid Mgr	4/17	Initial Review

Investigations

Status, subject matter, etc.

PENDING CLOSURE		
<u>TYPE</u>	<u>OPENED</u>	<u>STATUS</u>
Interference with official duties - Sr Mgr	2/16	Closing Memo Pending
Retaliation - Sr Mgr	7/16	Closing Memo Pending
Release of confidential records - Director	2/16	Closing Memo Pending
REFERRALS		
<u>TYPE</u>	<u>OPENED</u>	<u>STATUS</u>
Workplace Disputes (7 Matters)	Various	Closed After Referral

Pending Policy Matters

Submitted for General Counsel review

- Cooperation with investigations
- Schedule of penalties
- Referral to outside agencies
- Posting of investigation results
- Closing memo review

Advice Request Metrics

Frequency, topics

PRIMARY SUBJECT MATTER	2016 - 4th QUARTER	2017 - 1st QUARTER
Campaign Contributions	0	1
Conflicts of Interests	7	16
Economic Disclosure	6	26
Gifts	5	4
Nepotism	2	0
Outside Employment	1	1
Outside Scope of Ethics Ofc.	1	0
TOTALS	22	48

Education

Events, programs, publications

AB 1234 Live Training

New Director Orientations

New Employee Orientations

Metropolitan Management Univ.

Targeted Staff Presentations

Form 700 Video

Conflicts Bulletins

Monthly Articles

Wallet Cards

Compliance

Functions, special projects

FPPC Filing Officer/Statements of
Economic Interests

Amendment of designated
positions and disclosure categories

Tracking AB 1234 compliance

