



Ethics Office Monthly Report

MWD

METROPOLITAN WATER DISTRICT OF SOUTHERN CALIFORNIA



November 2017

ADVISORY SERVICES

Identifying potential conflicts of interest in contracting

Assisted contracting groups to identify and resolve potential conflicts of interest on upcoming contracts.

Ongoing evaluation of options for obtaining conflict disclosures in district contracts in collaboration with the Audit Department.

Metropolitan directors and employees

Advised Metropolitan directors, officers, and employees in the areas of conflicts of interest, gifts, outside employment, and recusals.

Holiday gifts

Created a communication to employees on factors to consider when accepting gifts during the holiday season from sources that do business or are seeking to do business with Metropolitan.

Avoiding improper gifts reduces liability for employees and the district.

ETHICS COMPLIANCE

Provided Form 700 filing assistance to 19 employees who were hired, promoted, or retired in November.

Worked with IT, HR, and our outside vendor in an ongoing effort to fine tune sharing

information on changes in employee positions such as hiring, promotions, and separations. Ethics staff aims to assist employees as early as possible about Form 700 filing requirements triggered by these changes.

Created and distributed an employee survey with HR to get feedback from new Form 700 filers added as part of the recent Conflict of Interest Code amendment project. Some key observations:

- 88 percent understood that Form 700 is intended to prevent conflicts of interest
- Most found the Ethics Office online training helpful, but would also like some live training

INVESTIGATIONS

Provided research and analysis in coordination with the Legal Department to assist in resolving an ongoing and complex abuse of authority complaint.

Received one new complaint in November, which was closed due to insufficient evidence following an initial review.

Resolved an abuse of authority inquiry after a preliminary review. The matter was closed after it was determined that the evidence did not substantiate the allegations.

Ethics Office Dashboard

Selected Metrics

(Jul 1, 2017 – Nov 30, 2017)

Advisory Services

< 5 hours	5-20 hours	> 20 hours
63 matters	9 matters	1 matter
255 staff hours		

Ethics Compliance

COI Amend	Form 700 Training	Form 700 Admin
440 staff hours		

Investigations

< 5 hours	5-20 hours	> 20 hours
8 matters	1 matter	9 matters
625 staff hours		

Other

Policy	Special Projects	General Administrative
410 staff hours		