



Ethics Office Monthly Report

January 2021

INDEPENDENT REVIEW OF EEO RELATED CONCERNS

Continued facilitating the board-directed independent review of Metropolitan’s handling of EEO-related matters with outside firm Shaw Law Group. Scheduled interviews, responded to document requests, and helped coordinate upcoming employee survey.

COMPLIANCE

Form 700

Annual Filings - The Form 700 Annual Filing Season began January 1, 2021. The filing deadline is **April 1, 2021**. Directors and designated employee filers will receive additional information from the Ethics Office via e-mail. Ethics staff is also available for individual advice sessions.

Ongoing Form 700 Duties - Assisted Board members and employees with Annual, Assuming Office, and Leaving Office Form 700 filings. Assistance included troubleshooting the electronic filing system and helping filers determine what interests to report on Form 700.

Monitored the status of past due Assuming Office and Leaving Office Form 700 filings and obtained compliance from two current employees and two former employees. Referred one former employee to the FPPC for non-filing after two written notices.

Staff handled 21 Form 700 technical assistance matters.

AB 1234, Biennial State Ethics Training

Facilitated biennial state-mandated ethics training (AB 1234) for directors and designated employees. The compliance period ended December 31, 2020. Six officials have not yet completed their two-hour training requirement; staff continues efforts to achieve 100% compliance.

EDUCATION

Provided Form 700 educational material to all new filers. Provided individual session for a new Form 700 filer covering: financial disclosure requirements, conflicts of interest, state gift laws, and related ethics policies.

ADVICE

Addressed 11 requests for advice involving: conflicts of interest, financial disclosure, lobbying, campaign contributions, and other ethics-related topics.

INVESTIGATIONS

Received one complaint alleging that a Metropolitan official misused their authority for private advantage. The matter is currently under review.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	11
Complaints Received	1
Investigations Opened	0
Pending Investigations	0