



Ethics Office Monthly Report

February 2021

INDEPENDENT REVIEW OF EEO-RELATED CONCERNS

Continued overseeing the board-directed independent review of Metropolitan's handling of EEO-related matters with outside firm Shaw Law Group.

COMPLIANCE

Form 700

Annual Filing Reminder* - The Form 700 Annual Filing Season began January 1, 2021. The filing deadline is **April 1, 2021. Ethics staff is 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 four current employees and two former employees.

AB 1234, Biennial State Ethics Training

Staff continued efforts to achieve 100% compliance with biennial state-mandated ethics training (AB 1234) for directors and designated employees. Four officials have not yet completed their two-hour training requirement.

POLICY

Presented final proposed amendments to the ethics provisions in the Administrative Code to the Audit & Ethics Committee. Discussion on the proposed amendments will continue at the May A&E Committee meeting.

ADVICE

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

INVESTIGATIONS

Received three complaints against employees as follows: the first claimed that an employee poses a physical threat to coworkers, and was referred to Human Resources; the second alleged that a workplace investigation was mishandled, and is currently under review; and the third alleged retaliation by a supervisor, and is currently under review.

CORE ETHICS PROGRAM DATA

Advice Matters	8
Compliance Assistance	50
Complaints Received	3
Investigations Opened	0
Pending Investigations	1