



# Ethics Office Monthly Report

March 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. Presented related reports and updates to the Executive and Organization, Personnel and Technology Committees.

## COMPLIANCE

### Form 700

*\*Annual Filing Season* - The Form 700 Annual Filing Season began January 1, 2021 and ended **April 1, 2021**. Staff received an increased number of requests for assistance during this period.

*Ongoing Form 700 Duties* - Assisted Board members and employees with 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 eight current employees and five 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.

## ADVICE/EDUCATION/OUTREACH

Addressed 22 requests for advice involving: conflicts of interest, outside employment, financial disclosure, campaign contributions, and other ethics-related topics.

Held individual training sessions with 5 employees who recently assumed positions requiring Form 700 filings.

Presented a session at Metropolitan’s Leadership Academy on governmental ethics and ethics considerations for aspiring managers.

Participated in a joint session hosted by Women at Metropolitan titled: “Conversation with Metropolitan’s Ethics and Equal Employment Opportunity Officers.”

## INVESTIGATIONS

Received complaints alleging that: 1) a manager retaliated against an employee for reporting potential workplace violations and 2) a manager abused their authority to favor an employee during a recruitment process.

## ADVICE AND INVESTIGATIVE DATA

|                        |     |
|------------------------|-----|
| Advice Matters         | 22  |
| Compliance Assistance  | 147 |
| Complaints Received    | 2   |
| Investigations Opened  | 0   |
| Pending Investigations | 1   |