



Ethics Office Monthly Report

April 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 (SLG). Coordinated SLG's interim report to the Organization, Personnel and Technology Committee.

COMPLIANCE

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 one current employee and two former employees. Referred two former employees to the Fair Political Practices Commission for failure to file their Leaving Office statements.

ADVICE/EDUCATION/OUTREACH

Addressed 17 advice matters involving: conflicts of interest, outside employment, financial disclosure, recusals, and other ethics-related topics.

Held individual training sessions with 2 employees who recently assumed positions requiring Form 700 filings.

Presented a tailored ethics session at a Professional Services Contracting Team

staff meeting.

INVESTIGATIONS

Received complaints alleging that: 1) a manager retaliated against subordinates for reporting potential EEO violations and 2) a manager's supervision of a relative violates Metropolitan's nepotism rules.

Initiated an investigation into allegations that a manager retaliated against a subordinate for reporting potential workplace safety issues.

ETHICS OFFICER INVESTIGATION FINDINGS

The Ethics Officer issued a finding that an employee conducted outside work on Metropolitan time, in violation of the outside employment policy. The Ethics Officer referred the finding to Management and Human Resources for remedial or disciplinary action, as appropriate.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	17
Compliance Assistance	136
Complaints Received	2
Investigations Opened	1
Pending Investigations	1