



Ethics Office Monthly Report

SEPTEMBER 2023

EDUCATION

Provided monthly education item at the EOP Committee meeting on financial disclosure requirements and common questions regarding Statement of Economic Interests (Form 700).

COMPLIANCE

Reviewed proposed new job descriptions to determine applicable financial disclosure requirements under the Conflict-of-Interest Code.

Assisted Board members and employees with their Annual, Assuming Office, and Leaving Office Form 700 filings. Assistance included filing for multiple positions, troubleshooting the electronic filing system, and notifications of deadlines.

Monitored the status of past due Assuming Office and Leaving Office Form 700 filings. Sent notices to five current employees and six former employees; obtained compliance from three current employees and three former employees.

ADVICE

Addressed 21 advice matters involving: conflicts of interest, financial disclosure, political activities, gifts, outside employment, and other ethics-related topics.

INVESTIGATIONS

Received five complaints involving the following allegations:

- Various EEO related violations by an employee
- A supervisor promoted an employee based on a personal relationship
- A supervisor promoted an employee for personal gain
- Multiple employees mistreated a coworker
- A supervisor mistreated an employee

Referred one EEO-related complaint to the EEO Office.

ETHICS OFFICER FINDINGS

The Ethics Officer determined that two Metropolitan managers improperly disclosed confidential information. The findings will be forwarded to Human Resources and management for consideration of any appropriate corrective or remedial action.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	21
Compliance Assistance	44
Complaints Received	5
Investigations Opened	0
Pending Investigations	9

COMPLAINTS MAY BE FILED AT:

ANONYMOUS ETHICS HOTLINE (Convercent)
(800) 461-9330
<http://www.mwdethicshotline.net/>

ETHICS OFFICE
(213) 217-5832
ethicsoffice@mwdh2o.com