
ETHICS OFFICE

The Ethics Office promotes a transparent and ethical culture at Metropolitan by proposing and administering Metropolitan's ethics-related regulations and providing advice and education to the Metropolitan community.

PROGRAMS

The Ethics Office was established by special legislation enacted in 2000. The Ethics Office reports directly to the Board of Directors.

The Ethics Office maintains services to facilitate reporting and investigation of potential violations of Metropolitan's ethics rules. For those who wish to remain anonymous, a hotline is maintained through an independent third-party vendor, which accepts anonymous reports of potential violations by directors, officers or employees. It is responsible for conducting independent investigations of potential violations, including areas such as conflicts of interest, contracts, gifts, lobbying, and campaign contributions. The Ethics Office maintains procedures to protect the job security of individuals bringing allegations of ethics violations, confidentiality of sources, and the process rights of individuals under investigations.

The Ethics Office also is responsible for maintaining records of compliance with state-mandated ethics training. In addition to maintaining records of compliance, staff track renewal requirements for directors and assist them with finding resources through which to access these findings. The Office also facilitates sexual harassment prevention training for directors, and provides orientations for new directors and employees about Metropolitan's internal ethics provisions.

The Ethics Office accomplishes its mission through the following programs or services:

Education: Development of training programs, drafting of publications, preparation of website content.

Advice: Responding to requests concerning application of Metropolitan's ethics rules in specific situations.

Outreach: Holding events at headquarters and field facilities to communicate availability, purpose, and process of Ethics Office.

Policy Analysis and Program Development: Performing risk assessment, drafting of proposed rules and procedures, preparation of board and committee presentations, drafting of strategic planning documents, identification and analysis of procedural justice issues, preparation of case memoranda and correspondences.

Investigation: Performing comprehensive investigations, including investigation planning, identification of evidence, document review, witness interviews, comparative analysis of facts, drafting of reports, organization and indexing of evidence.

Management: Providing oversight, planning and administration of all Ethics Office programs including education, advice, and investigation, board communication and planning, and coordination with senior management.

Administration: Providing case docketing, intake administration, matter tracking, budget preparation, contract administration, and

preparation of quarterly, semi-annual, and annual reports.



GOALS AND OBJECTIVES

In FY 2014/15 and FY 2015/16, The Ethics Office will focus on the following key issues:

Advice, Education, and Outreach

Update education materials to account for substantive and programmatic changes in Ethics Office policies and implementation.

Regularly travel to district facilities to provide updates and information to management and employees about functions and resources available through the ethics office.

Provide timely and comprehensive responses to requests for advice or opinions regarding application of Metropolitan's ethics rules in particular cases.

Program Development

Provide annual assessments of overall program effectiveness in annual business plans.

Develop and track metrics for appropriately gauging efforts.

Maintain open lines of communication with the Audit and Ethics Committee and other departments about program needs, trends, and directions.

Strive for consistent and disciplined application and interpretation of ethics rules assigned to Ethics Office authority.

Investigation Functions

Implement effective investigation management systems to ensure long-term maintenance and accessibility of key records.

In a consistent and disciplined manner, apply investigation methodologies that ensure adherence with principles of completeness, accuracy, and impartiality.

Management and Administration

Deploy and implement a comprehensive management system to accurately maintain investigation files, correspondence records, expenses, and impartiality.

Manage department costs, including professional services agreements, while providing effective program management, development, and oversight.

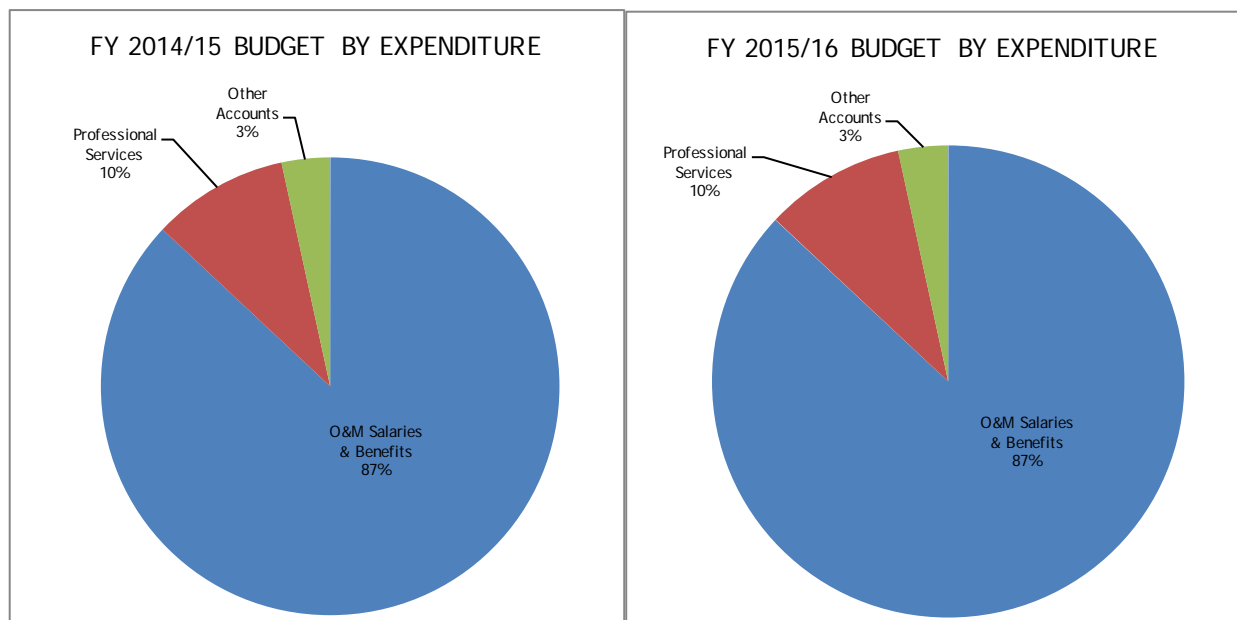
Maintain open lines of communication with the Audit and Ethics Committee and other Department heads to obtain input from multiple perspectives on Ethics Office activities and initiatives.

Continually assess staff responsibilities and capabilities to ensure adequacy of resources necessary to accomplish its mission.

O&M Financial Summary

	2012/13 Actual	2013/14 Budget	2014/15 Budget	Change from 2013/14	2015/16 Budget	Change from 2014/15
Total Salaries and Benefits	565,300	727,800	905,000	177,200	904,900	(100)
<i>Direct charges to Capital</i>	0	0	0	0	0	0
O&M Salaries & Benefits	565,300	727,800	905,000	177,200	904,900	(100)
% Change		28.7%		24.3%		(0.0%)
Professional Services	5,200	100,000	100,000	0	100,000	0
Subsidies & Incentives	4,900	1,500	11,000	9,500	11,000	0
Graphics & Reprographics	100	3,000	5,000	2,000	5,000	0
Training & Seminars Costs	1,600	1,500	4,000	2,500	4,000	0
Travel Expenses	1,000	1,500	4,000	2,500	4,000	0
Memberships & Subscriptions	700	3,500	3,500	0	3,500	0
Rents & Leases	500	3,500	3,500	0	3,500	0
Other Accounts	1,500	4,100	4,500	400	4,500	0
Total O&M	580,800	846,400	1,040,500	194,100	1,040,400	(100)
% Change		45.7%		22.9%		(0.0%)

Note – Totals may not foot due to rounding.



Personnel Summary

	2012/13 Actual	2013/14 Budget	2014/15 Budget	Change from 2013/14	2015/16 Budget	Change from 2014/15
Regular	3	2	4	2	4	0
O&M	3	2	4	2	4	0
Capital	0	0	0	0	0	0
Temporary	0	1	0	(1)	0	0
O&M	0	1	0	(1)	0	0
Capital	0	0	0	0	0	0
Total Personnel	3	3	4	1	4	0
O&M	3	3	4	1	4	0
Capital	0	0	0	0	0	0

Note - Totals may not foot due to rounding.

SIGNIFICANT BUDGET ISSUES

The Ethics Office's biennial budget is \$0.9 million in FY 2014/15 and \$0.9 million in FY 2015/16 or an increase of 22.9% and 0.0% respectively from the prior budget years. The increase is due primarily to two factors:

- In November 2012, the Board of Directors appointed a new Ethics Officer as a full-time regular employee, replacing the previous officer who served as a recurrent part-time employee. Another full-time employee was also added.
- Salaries and Benefits costs were also impacted by merit increases for qualified employees and an increase in retirement-related benefits costs.

The following are the significant changes by budget year.

FY 2014/15

Personnel-related issues

Professional Services

Other

Subsidies and Incentives budget increased to reflect contracted benefits.

Graphics and Reprographics budget increased for the printing of revised Ethic Office manuals.

Training and Seminars / Travel Expenses budgets increased to provide professional development activities for Ethics Office staff and associated travel costs.

FY 2015/16

Personnel-related issues

Professional Services

Other

