



# Ethics Office Monthly Report

**JANUARY 2023**

## **EDUCATION**

Provided ethics orientation session to new employees.

## **PROFESSIONAL DEVELOPMENT**

Staff members attended Liebert Cassidy Whitmore's training session "Workplace Investigations: An Employment Law Legal Update for 2023" offered by the Association of Workplace Investigators.

## **COMPLIANCE**

As part of the 2022 annual filing season, which runs from January 1 through April 1, sent annual filing instructions to the Board of Directors and employees.

Assisted employees with Assuming Office and Leaving Office Form 700 filings, including 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 six former employees; obtained compliance from four former employees; referred one former employee to the FPPC for non-filing of the Leaving Office Form 700. Also followed up and obtained compliance with one member of the Board of Directors for a past due Assuming Office Form 700.

## **ADVICE**

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

## **INVESTIGATIONS**

Responded to complaints alleging:

- 1) Prohibited supervision and special treatment of a relative.
- 2) Misuse of authority for personal gain.
- 3) Unauthorized disclosure of confidential information and retaliation.
- 4) Unprofessional behavior.

Referred EEO-related complaints to the EEO Office.

Coordinated and oversaw an EEO investigation referred by the EEO Office due to potential conflicts. An investigation was conducted and the findings were referred for post-investigation resolution.

## **ADVICE AND INVESTIGATIVE DATA**

|                        |    |
|------------------------|----|
| Advice Matters         | 21 |
| Compliance Assistance  | 76 |
| Complaints Received    | 4  |
| Investigations Opened  | 0  |
| Pending Investigations | 4  |