



Ethics Office Monthly Report

AUGUST 2023

EDUCATION

Provided education at the EOP Committee meeting on the "Use of confidential information" policy that prohibits the unauthorized disclosure of confidential information.

Presented an overview of Ethics Office services to new hires at Metropolitan's New Employee Orientation.

Provided ethics training for the Professional Contracting Services Team.

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 three current employees and seven former employees; obtained compliance from three current employees and two former employees.

Finalized compliance efforts for the 2022 Annual Form 700 filings and achieved 100

percent compliance from all designated employees.

ADVICE

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

INVESTIGATIONS

Received nine complaints involving the following allegations:

- Employees violated safety procedures
- Employees padded hours on their timesheets
- An employee harassed a member of the public based on a protected class
- An employee conducted outside employment work on Metropolitan time
- Workplace investigation procedures denied due process
- A supervisor physically threatened an employee
- An employee harassed another employee based on a protected class
- Employees improperly disclosed confidential information

Referred 2 EEO-related complaints to the EEO Office.

COMPLAINTS MAY BE FILED AT:

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

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

ETHICS OFFICER FINDINGS

The Ethics Officer determined that three Metropolitan managers did not improperly disclose confidential information and did not fail to report potential ethics violations to the Ethics Office.

ADVICE AND INVESTIGATIVE DATA

Advice Matters	21
Compliance Assistance	58
Complaints Received	9
Investigations Opened	6
Pending Investigations	12