



Ethics Office Monthly Report

DECEMBER 2023

EDUCATION

Annual COGEL Conference - The Council on Governmental Ethics Laws is the prominent organization for governmental ethics professionals. Assistant Ethics Officer Peter Von Haam and Program Manager Dannelle-Mimi Phan attended the 2023 annual conference.

Staff also presented an Ethics Office overview for Metropolitan new hires.

COMPLIANCE

Assisted 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 nine current employees and three former employees; obtained compliance from five current employees and one former employee.

ADVICE

Addressed 14 advice matters related to the following: conflicts of interest, financial disclosure, gifts, and other ethics-related topics.

INVESTIGATIONS

Received nine complaints involving the

following allegations:

- Discrimination based on gender by a Metropolitan official
- An employee attempted to obtain special treatment from a manager
- Two instances of sexual harassment by a Metropolitan official
- Metropolitan officials violated the Brown Act
- Discrimination and sexual harassment by a Metropolitan official
- A manager misused their authority to benefit a job candidate
- A manager misused their authority to benefit a relative
- An employee misused their position for personal gain

Four matters were referred to the EEO Office.

ETHICS OFFICER FINDINGS

The Ethics Officer determined that two Metropolitan managers improperly disclosed confidential information. The findings were forwarded to Human Resources and management for consideration of any appropriate action. The Ethics Officer also determined that one Metropolitan manager did not improperly disclose confidential information.

COMPLAINTS MAY BE FILED AT:

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

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

ADVICE AND INVESTIGATIVE DATA

Advice Matters	14
Compliance Assistance	43
Complaints Received	9
Investigations Opened	3
Pending Investigations	12