

WELCOME TO THE ETHICS COMMISSION MEETING

Please sign in at the testimony table.

As a courtesy, please silence your cell phone.



Date: February 20, 2019
Time: 11:30 a.m.
Place: Kapālama Hale
925 Dillingham Boulevard
1st Floor Conference Room

ORDER OF BUSINESS

I. Call to Order, Public Notice, Quorum



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II. NEW BUSINESS

A. Chair's Report

1. Announcements, Introductions, Correspondence, and Additional Distribution



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3

II.A. CHAIR'S REPORT (cont'd)

2. For Action: Approval of Open Session Minutes of December 19, 2018
3. For Action: Approval of Executive Session Minutes of December 19, 2018

[exec/session if needed, HRS §92-5(a)(4)]



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4

II.B. EXECUTIVE DIRECTOR AND LEGAL COUNSEL'S (EDLC) REPORT

1. Staff Work Reports Summary

- Senior Clerk
- Legal Clerk III (TA)
- Investigator
- Associate Legal Counsel (none)



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5

II.B.1. STAFF WORK REPORTS – HIGHLIGHTS SENIOR CLERK

- Lobbyists – processing, filing forms; fielding, logging inquiries
- Financial disclosures – scanning, filing forms
- Website updates, uploads; assisting with EC meeting admin; purchasing laptop, software
- Assisting w/ newsletter, conducting PAC research



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6

II.B.1. STAFF WORK REPORTS – HIGHLIGHTS LEGAL CLERK III (TA)

- Processing meeting minutes/materials, case intake, UIPA log; finalizing FY18 Service Efforts report; assisting with office budget
- Assisting investigations, drafting correspondence
- Managing inventory, front-office, phones
- Updating, uploading website content
- Financial disclosures – processing forms; fielding, logging inquiries



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7

II.B.1. STAFF WORK REPORTS – HIGHLIGHTS INVESTIGATOR

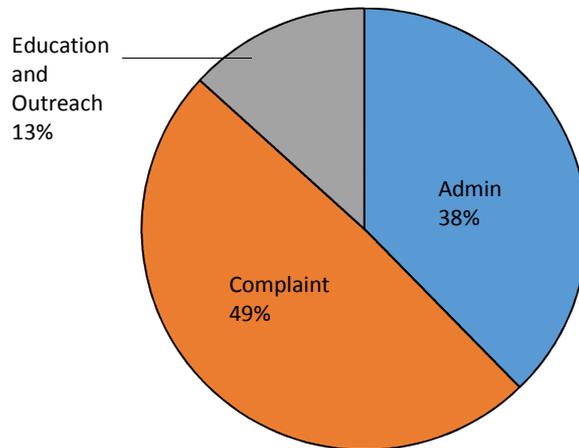
- Managing case load, attending case management meetings
- Assisting with case processing, procedures
- Assisting holiday outreach via Twitter, Ethics Elf on the Shelf; follow-up emails to departments; managing Twitter account



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8

II.B.1. STAFF WORK REPORTS SUMMARY INVESTIGATOR



9

II.B.2 STATISTICS

a. Website Sessions

- December 2018 - 418
- January 2019 - 547



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10

II.B.2.b. FINANCIAL DISCLOSURES

CLERK'S OFFICE

(public disclosure)
as of Feb. 14, 2019

Councilmembers
Mayor
Cabinet

~70

ETHICS COMMISSION

(confidential disclosure)
as of Feb. 14, 2019

EForm – Employees, Officers
(467)
PDF – Board & Commission
Members (191)

~658



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12

II.B.2.c. LOBBYIST FILINGS

2019 REGISTRATION

Hardcopy Filings
(by Organization)

~65

(by Lobbyist)

~98

2018 ANNUAL REPORT

Hardcopy Filings
(by Organization)

~66

(by Lobbyist)

~100



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15

II.B.3 BUDGET

- b. FY2020 Operating Budget Request
Salaries, position funding, travel/training

City Council Chair – CM Kobayashi
Budget Chair – CM Manahan

13

II.B.4. EDUCATION AND OUTREACH

- a. Ethics Training Program (FY19–FY20)
- Cabinet Training and Mayor’s key staff
 - Developing biennial curriculum
 - Working w/ City IT Dept. to host board, commission member training on non-domain (private) user interface



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14

II.B.4 EDUCATION AND OUTREACH (cont'd)

b. Twitter

- Can or No Can
- Holidays, special events, City events
- <https://twitter.com/HonEthicsComm>

15

II.B.4.c EDUCATION AND OUTREACH (cont'd)



16

II.B.4.c. EDUCATION AND OUTREACH (cont'd)



17

II.B.4 EDUCATION AND OUTREACH (cont'd)

d. Creating Accessible Documents Workshop

- Websites
- Documents
- Power Point documents
- Video and audio content
- 2019 Legislature companion bills, *Relating to Public Meetings* (HB1076 / SB 335)

18

IV. STRATEGIC PLANNING

A. PIG Meeting (Jan. 9, 2019)

- Strategic Plan amendments
- Action Items 2019
 - ✓ Interns (UH Law, UH Pub Adm)
 - ✓ Other jurisdictional research
 - ✓ Legislation (financial disclosure, lobbyists)
 - ✓ FY2018 accomplishments
 - ✓ Data compilation



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19

V. OPEN FORUM

A. For Discussion:

Caseload and Investigation Information



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20

V. ADJOURNMENT

Next Meeting: April 17, 2019

Website: www.honolulu.gov/ethics Email: ethics@honolulu.gov

 Twitter: @HonEthicsComm



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21

**Agenda Item II.B.7.,
Page 2
[Summary of Deliberative
Process Privilege]**



State of Hawaii
Office of Information Practices

[Home](#) » [Featured, What's New](#) » DELIBERATIVE PROCESS PRIVILEGE REJECTED BY THE HAWAII SUPREME COURT

DELIBERATIVE PROCESS PRIVILEGE REJECTED BY THE HAWAII SUPREME COURT

Posted on Dec 21, 2018 in [Featured, What's New](#)

The Hawaii Supreme Court, in a 3-2 decision, today overruled a line of opinions dating back to 1989 by the state Office of Information Practices (OIP), which had recognized the “deliberative process privilege” (DPP) under the statutory exception allowing government agencies to not disclose government records that, by their nature, must be confidential in order to avoid the frustration of a legitimate government function. The [majority opinion](http://www.courts.state.hi.us/wp-content/uploads/2018/12/SCAP-16-0000114.pdf) (by Justice Pollack, with McKenna and Wilson) and the [dissenting opinion](http://www.courts.state.hi.us/wp-content/uploads/2018/12/SCAP-16-0000114dis.pdf) (by Justice Nakayama, with Chief Justice Recktenwald) have been posted on [OIP’s opinions page at oip.hawaii.gov](http://oip.hawaii.gov). OIP was not a party in this case and will be posting a summary of it at a later date.

In light of this decision, OIP will no longer recognize the deliberative process privilege under the frustration exception to disclosure. Agencies that have used this argument in cases pending before OIP will be contacted and allowed to submit supplemental arguments in their cases.

For the latest open government news, please check for What’s New articles that are archived on OIP’s website or emailed to you upon request. To be added to OIP’s email list, please email oip@hawaii.gov. Also, if you would like to receive What’s New articles or attachments in a different format, please contact OIP at (808) 586-1400 or oip@hawaii.gov.

(<http://www.statcounter.com>)

**Agenda Item IV.A.,
Page 2**

**[Amended *Ethics Commission*
– 2027; 1) Track Changes
Version; and 2) Clean
Version]**

AMENDED – January 9, 2019 Permitted Interaction Group Meeting

Ethics Commission – 2027

This strategic plan involved a review of current practices and procedures, and sets forth a blue print for the future.

This document ~~sets out~~creates a longer-term strategy and is based on discussions held in 201 ~~and 2018~~7. It ~~is~~remains a work in progress, a flexible and directional touchstone for Commissioners and Staff. It will be revisited periodically over the next several years—2020 (year three), 2022 (year five), and 2024 (year seven)—and as key assumptions change or as internal or external conditions require. As needed, we will use it as source material to drive specific changes in direction, laws and rules, procedures and activities.

As part of ~~this our~~ strategy, we will examine other jurisdictions and determine best practices for ethics commissions and ethics oversight. Similar jurisdictions may have similar ethics laws, oversight and enforcement responsibilities, population size, demographics, geographic size, among other factors.

Finally, we commit to properly balancing transparency and openness with necessary and legally warranted confidentiality. Critical to our success, however, is the need for appropriate resources, including adequate budget, number and type of staff, and commissioner capacity proportionate to the overall workload.

Mission Statement

To ensure that ~~all employees~~, elected officials, ~~and~~ appointed officers ~~and employees~~ demonstrate the highest standards of ethical conduct so that the public may have trust and confidence in the integrity of government.

“We hold the public’s trust.”

I. Who We Are

Chartered by the Hawai'i State Constitution and Revised Charter of the City & County of Honolulu, we are the City & County of Honolulu's ethics watchdog agency. Our job is to ensure that all of the C&C's approximately 10,000 elected leaders, appointed officials, and employees understand and follow the highest ethical standards of conduct governing their work for the public.

In Fiscal Year 2017, we began to review our policies and procedures to determine where we were and then plan for the future. We filled our full complement of five budgeted staff—Executive Director and Legal Counsel, Associate Legal Counsel, Investigator, and two Legal Clerks—and assessed and debriefed our practices and began making adjustments for efficiency and effectiveness. The work is on-going, but in progress.

Skills training for Commissioners and Staff is also essential for success. While some training has been accomplished—for example, sunshine law and government records training, core computer application refresher training, and investigation training—there is much more to do.

II. What We Do

We have jurisdiction over education and enforcement of the following laws:

- Conflicts of interest, including gifts
- Disclosure of personal and financial conflicts of interest
- Preferential treatment and misuse of city resources
- Lobbyist regulation

III. Why We Are Working on a Forward-Facing Strategy

We are giving intentional forethought to shape the Commission's future. We have a new Executive Director, a competent and hardworking Staff, and a strong set of Commissioners, all of whom are dedicated to implementing the agency's mission. We anticipate a rising volume of work and cases of increasing complexity. With this

document, we want to further position ourselves so that our work is conducted with the greatest possible efficiency and integrity.

We also foresee specific strategic issues that the existing commission and future of this and future commissions will encounter:

1. Clarifying the Commission's Prosecutorial Function. Currently we manage a set of functions that in the larger justice community are separated and have walls between them: investigations; prosecution of contested matters; sitting as a tribunal. From time to time cases of long running complexity have arisen that demanded more than should be expected from a small staff and volunteer commissioners. The Commission must evaluate its prosecution options in anticipation of those cases arising.

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2. Building Stronger Community Understanding of the Commission. Staff receives numerous calls and inquiries each day, many of which are not appropriate. We take our mission of safeguarding the public's trust and confidence in City and County government but also need to improve the community's clarity about what the Commission can and cant do.

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3. Further Strengthening the Prevention of Ethics Violations. We have made steady progress on training and education for city workers but more remains to be done. We seek to ensure that scrupulous adherence to all relevant codes of ethical conduct are embraced and a firm aspect of the city's culture.

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4. Making Sure the Commission's Work is Right-Sized. Depending on how the above (and other) long term issues are shaped, the Commission's actual working resources need to be at the appropriate scale. This come down to adequate staff, adequate budget, and an adequate number of commissioners.

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We recognize that a rising volume of work and cases of increasing complexity drive a need for budget and resources proportionate to workload. Meeting this need will be one of our strategic priorities.

IV. Dashboard

Here are the metrics and vital signs we plan to use to monitor ourselves. Wherever possible, we will apply "aging" reports to evaluate workload and stay alert for

backlogs, gaps, and case-handling delays. This dashboard is meant to be a management and decision support tool for Commissioners and Staff.

Trailing Indicators (*Looking Back*)

1. Requests for training
2. Requests for advice
3. Advisory opinions
4. Preliminary determinations (reevaluate and address via future rule-making or policy adoption)
5. Investigations
6. Complaints filed
7. Requests for information via the Uniform Information Practices Act (UIPA), Hawaii Revised Statutes Chapter 92F
8. Hearings
9. Ethics Commission meetings that comply with Hawaii open meetings law, also known as the sunshine law, Hawaii Revised Statutes Chapter 92

Leading Indicators (*Looking Ahead*)

- 10. Anticipated population growth/decline in the C&C of Honolulu
- 11. Anticipated number of C&C employees and elected and appointed officials
- 12. Anticipated number of new employees and elected and appointed officials
- 13. Anticipated Ethics Commission budget and staff positions required to handle anticipated needs

V. Our Key Values

- 1. **Independence.** We will dispassionately appraise every circumstance that comes before us against pertinent laws and specific facts. We will play no political favorites, and let the chips fall where they may.
- 2. **Transparency.** We will strive for the greatest possible openness while honoring the rights of privacy and confidentiality. We endeavor to balance a user-friendly guidance and approach with sound procedures to vet, triage, and bring actions to enforce the City’s standards of conduct.
- 3. **Above Reproach.** We ourselves, as a Commission and as individuals, will continuously strive to exemplify the behaviors we enforce on others.

VI. The Current Situation

Here is how we evaluate ourselves at this moment:

Major Strengths	Major Weaknesses
<p>We now have a strong Staff in place and a cohesive and dedicated group of Commissioners.</p> <p>Our relationships with other agencies are continuously improving.</p> <p>We are developing increasingly better methods of training the City’s approximately 10,000 employees on their ethical duties.</p>	<p>Our budget is insufficient to meet our core needs and rising demands. Our existing staff is not large enough to fulfill all functions; that is, investigations, prosecutions, advisory opinions, ethics training, etc.</p> <p>We need to update and clarify our rules.</p> <p>We need to update our policies and procedures.</p>

<p>Our monthly data collection and reporting systems are steadily improving.</p> <p>Our meetings are more efficient with good opportunities for public testimony.</p>	<p>Staff and Commissioners lack sufficient opportunities for skills and ethics training and upward mobility and opportunities to interact with ethics commissions of other jurisdictions.</p> <p>The ordinances that direct and guide us require updating.</p> <p>We are not well understood by City elected officials, officers, employees, and the public at large.</p> <p>We remain entangled in litigation, which impedes our work and drains resources.</p> <p>Administrative support duties are blurry and need to be clarified.</p> <p>How we interpret and best function with sunshine law requirements is an on-going effort.</p>
<p style="text-align: center;">Opportunities</p> <p>We will eventually be audited, but we will undertake our own thinking on lessons learned and future efforts; knowledge gained from this effort will be supplemented by what external auditors recommend.</p> <p>We can define, operationalize, and make public our best practices.</p> <p>Rotation of Commissioners brings new perspectives and adds strength.</p> <p>We can utilize skilled volunteers who understand the Ethics Commission's work.</p> <p>There are opportunities to impact ordinances and adopt rules.</p> <p>We can position ourselves for inevitable future administrations and councils.</p>	<p style="text-align: center;">Challenges</p> <p>Turnover and rotation. Potential loss of Staff and Commissioners.</p> <p>Flat resources or budget cuts if the economy dips, which is expected.</p> <p>A small number of excessively time-consuming cases that pull us away from other required work.</p> <p>Physical location. Not close to other agencies.</p> <p>Scofflaws who ignore C&C ethical requirements, for which the Ethics Commission gets blamed.</p>

<p>We can explore coordinating ethics trainings, for mutual benefit, with other departments and agencies.</p>	
<p>We can explore collaborating with state and county agencies to harmonize requirements and forms.</p>	

VII. Assumptions About the Next 10 Years

- Ethics Commission’s staffing needs will increase even as we gain efficiency, but our budget will always be determined by others.
- Our caseload will go up because:
 - C&C of Honolulu’s population increases about 10 percent every 10 years.
 - The more training and outreach we do, the more inquiries and cases are generated.
 - As the social fabric in Hawai’i changes because of demographic shifts and as O’ahu becomes more crowded and factionalized, we will receive more ethics inquiries and concerns. People are increasingly argumentative and litigious.
 - When the economy dips and city services are diminished, we will receive more ethics inquiries, concerns, and requests for advice.
 - As C&C employee ranks turn over, training will need to be continuously refreshed and delivered to new cohorts of employees.
- More employees will have electronic devices, enabling greater reach for ethics training. Computerized training delivery will become easier, faster, and cheaper.
- The “80/20” principle will continue to prevail; that is, 80 percent of our work and effort will tend to respond to 20 percent of our caseload. Some

of that 20 percent will be hot potatoes with high media visibility. As social media expands, there may be increasing numbers of hot potatoes.

- We will always be in some kind of “stretch mode” and likely never have all the resources our demands require.
- Over the next 5-10 years, federal and state funding will decline.
- The process of Commissioner appointments will stay the same: Mayor appoints, Council confirms.
- We will need to do more effective education and outreach to the Mayor and Council to ensure they understand what we do, what their unique ethical requirements are, and to secure the funds and positions we need to operate effectively.
- The Commission may on its own initiative initiate complaints.

VIII. Priority Objectives

Objective 1: Review, update, and realign ethics programs for compliance, effectiveness, and efficiency:

Areas to be Reviewed for Changes and Priorities	Charter/ Ordinance	Substan Admin Rules	Proced Admin Rules	SOPs	Training/ Education
Financial Disclosures	x	x		x	x
Lobbyist Regulations	x	x		x	x
Separation of Duties (intake, investigation, prosecution, adjudication)	x		x	x	
Gifts	x	x		x	x
Fair & Equal Treatment	x	x		x	x
Conflict of Interest Disclosures	x	x		x	x

In conjunction with the above:

- Examine procedures from: Hawai'i Office of Disciplinary Counsel (ODC); Regulated Industries Complaints Office (RICO), Hawai'i Department of Commerce and Consumer Affairs (DCCA); and other

ethics commissions, e.g., Austin, TX (population ~947,890); City and County of San Francisco, CA (population ~870,887); San Jose, CA (population ~1,025,350); Jacksonville, FL (population ~880,619); among others; and also review their staff-to-workload ratios.

- b. Review and revise, as needed, the definition of “complaint” and consider disallowing anonymous complaints to proceed to investigation without named complainant. Prior to that, it would be a “contact.”
- c. Provide opportunity to review proposed changes and offer comments and concerns.
- d. Analyze and ~~potentially pursued determine whether to having have in-house prosecutors or contract a prosecutorial function. Corporation Counsel conduct certain prosecutions as a way of reducing internal conflicts between Commission functions.~~
- e. To ensure uniformity of practice and continuity to the future, develop an updatable set of policies and procedures available to the Commission, Staff, and the public. Collate existing Commission policies and procedures and develop new ones in conjunction with future changes to the ordinances and rules described above.
- f. Consider adopting as a policy that the Commission may not initiate or proceed with its own investigation if official investigations are being conducted by other agencies or tribunals with sufficient resources and enforcement powers. Any such policy must recognize that the Commission enforces ethics laws, which may be very different from those of other agencies or tribunals.

Objective 2: Further strengthen and expand the education and training of the City and County’s ~10,000 officers, employees, and elected officials.

- a. Develop and deliver improved outreach materials (brochures, FAQs, newsletters, etc.) that describe the Commission’s work and provide offers of assistance.
- b. Conduct additional outreach to all elected and appointed officials and to all agency employees to make them fully aware of the Commission’s capabilities and to provide regular or specialized trainings.

- c. Continue to refine, track, and regularly evaluate the use of training software as a core-training tool.
- d. Offer an annual training for lobbyists, possibly with the State Ethics Commission to avoid duplication of efforts.
- e. Continue to work with the City Department of Information Technology to develop an in-house ethics training application for both domain users (honolulu.gov) and non-domain users (e.g., board and commission members).

Objective 3: Strengthen the internal capabilities and procedures of the Ethics Commission.

- a. Acquire and implement a case management data base to enable tracking, dashboard monitoring, and reporting.
- b. Acquire and implement a comprehensive compendium of Ethics Commission Advisory Opinions and Ethics Commission-related Corporation Counsel Opinions that is easy to use when conducting legal research.
- c. Develop and implement training and professional development activities for Staff and Commissioners. Potential areas to be covered include sunshine law, information technologies, and data management. Mechanisms can include:
 - i. State Public Library's Gale Courses for computer application training (MS Word, Excel, Power Point, Access, others);
 - ii. Equal Opportunity Office Internal Investigation Training;
 - iii. Reid Investigator Interview Training; and
 - iv. Attendance at Council on Governmental Ethics Laws (COGEL) and/or the Society of Corporate Compliance and Ethics (SCCE) conferences.
- d. Review, revise as needed, and implement a simple written policy on who speaks publicly for the Commission.

- e. Ensure the Commission is adequately staffed and staff are adequately and fairly compensated.

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Objective 4: Above and beyond our management “dashboard,” develop, implement, and use a simple set of overall effectiveness measures that will describe quantitatively the core efficacy of the Commission. The measures should reflect both inputs and outputs and the quantity and quality of both.

Comment [PA1]: Question: do we need to add a 5th objective for ensuring public understanding (PR function)? If so let's get Lynette's ideas.

IX. Short Term Actions ~~and Accelerators~~ – Fiscal Year ~~2018~~2019

Actions completed or started in fiscal year 2017 are shown in Attachment 1, *Accomplishments - FY2017 (July 1, 2016–June 30, 2017)*.

Actions completed or started in fiscal year 2018 are shown in Attachment 2, *Accomplishments - FY2018 (July 1, 2017–June 30, 2018)*.

Actions to be continued, completed or started in fiscal year ~~2018-2019~~ will be reported at monthly Ethics Commission meetings in a format similar to Attachments ~~1 and 2~~.

AMENDED

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Item	Timeframe
Ethics Commission - 7-Member Commission Fully Appointed	
	Aug 2016 - 1 new commissioner appointed (Adler)
	Apr 2017 - 2 holdover commissioners termed out (Silva, Yuen)
	May 2017 - 2 new commissioners appointed (Kanda, Monk)
Personnel - All Budgeted Vacant Positions Filled in FY2017, EC Fully-Staffed (5/5)	
	May 2016 - 2 legal clerks on staff (2/5 staff)
	Aug 2016 - ALC and EDLC hired (4/5 staff)
	Nov 2016 - INV hired (5/5 staff)
Interns, Fellows Assisted EC	
	Jan - Jul 2017 - 1 Pookela Fellow (12 hrs/wk)
	Mar - Sep 2017 - 1 MPA Intern (rules, guidelines)
	Jun - Aug 2017 - 2 law school interns (brief AOs)
Office Relocated to Kapālama Hale	
	Nov 2016 - relocated from South King Street to Kapālama Hale
	Feb 2017 - 1st EC meeting held in Kapālama Hale
Strategic Planning Commenced	
	Fall 2016 - began planning
	Apr, May, Sep 2017 - PIG meetings - Apr, May, Sep 2017
	June 2017 - draft discussed at EC meeting, posted to website, comments solicited
Ethics Training - Learning Management System (LMS) Development On-Going	
	Fall 2016 - began working with DIT to develop LMS
	Spring 2017 - create prototype LMS for all officers/employees, test pilot on Legislative Branch
	Spring 2017 - create prototype LMS for bd/comm member training, test pilot on select bds/comms
Advisory Opinions Issued (2)	
	AO 2017-1 (re: independent expenditures by Super Political Action Committees)
	AO 2017-2 (re: EC's jurisdiction to decide if a councilmember's receipt of 40% or more of campaign contributions by a special interest group creates a conflict of interest)
Ethics Inquiries	
	Total # inquiries - 278
	# inquiries closed - 261 (94%)
	# requests for advice - 189 (68%)
	# complaints - 87 (31%)

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Ethics Commission Meetings (13)

Timely agendas filed, mins prepared, materials prepped/uploaded, post-meeting clean-up completed
Fall 2016 - Meeting format amended, utilize IT equipment for enhanced transparency
Spring 2017 - Website redesigned to feature agendas, minutes, meeting materials
Spring 2017 - Meeting materials posted to website when distribution made to Commission

Ethics Outreach - Newsletters Produced and Delivered

Winter (Dec) 2016
Spring/Summer (May) 2017

Office Procedures Reviewed, Amended, Implemented

Fall 2016/Spr 2017 - implemented new EC meeting procedures, timeframes, deadlines
Fall 2016/Spr 2017 - implemented weekly staff meetings, case management meetings
Fall 2016/Spr 2017 - implemented EC meeting calendar with relevant dates, deadlines
Fall 2016/Spr 2017 - posted EC meeting agendas, minutes, materials in more accessible format
Winter 2016 - amended financial disclosure forms and instructions
Spr 2017 - posted meeting materials to Commissioners and public at the same time
Spr 2017 - debriefed lobbyist reg'n, annual rpt; F/D; disclosure of interest (CC-8)
Spr 2017 - uploaded lobbyist summary, registration forms to website
Sum 2017 - revised intake form, procedures

Charter Amendment and Conforming Legislation Passed

Fall 2016 - track charter amendment through Nov 2016 general election
Nov 2016 - charter amendment passes
Spring 2017 - submit bill to conform ordinances to charter amendment
Summer 2017 - amended ordinance passes

Training Taken - 7 Commrs (6 hours)

OIP - training session @ EC meeting on UIPA and sunshine law

Training Taken - 5 Staff (400+ hours)

OIP - training session @ EC meeting on UIPA and sunshine law
OIP training and new rules
Reid Investigator Training
Internal Investigator Training
Management Development Training
Excel, Word, Power Point, other computer application training
Senior Management Training
State Ethics Training
Center for the Advancement of Public Integrity Training (online)
Benefits Processing
New Employee Orientation Training
LexisNexis Training
Prevention of Sexual Harassment Training

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Lifting Hazards & Proper Lifting Techniques Training
DIT Video-Conferencing Training
Open Web Ethic Concerns Training
Leadership Seminar
Legislative Reference Bureau and Administrative Rules Drafting Manual
Native Hawaiian Peacemaking Concepts
DEM Disaster Training
Fire Extinguisher Training
Dbase Management Essentials

Statistics - Newly Compiled and Reported

EC complaints - by quarter, FYs, comparisons
RFAs - by quarter, FYs, comparisons
Budget - FY comparisons
Intake - category breakdown
Financial Disclosures - FYs, comparisons
Lobbyists - FYs, comparisons
Disclosure of Interests (CC-8)
UIPA requests
Website hits - FYs, comparisons

Managed Litigation

Managed Procurement for Conflict of Interest Cases

Document Management - EC Files Scanned and Archived, Hardcopies Shredded

Hardcopy files prepped, scanned for archiving
Hardcopy files shredded
Target completion - FY2018

Last Updated: 2018-02-16

Attachment 2
Accomplishments - FY2018
(July 1, 2017 - June 30, 2018)

Item	Timeframe
Ethics Commission - 7-Member Commission Fully Appointed	
Personnel - All Budgeted Vacant Positions Filled in FY2017; Retirement (1) FY2018	
	Dec 2017 - legal clerk (1) retirement (4/5 staff)
	Jan 2018 - legal clerk I (TA) to legal clerk III
	Feb 2018 - P/T sr. clerk hired (Feb - May 2018)
	Apr 2018 - position redescription submitted SR13/BU3 -> SR18/BU13
	May 2018 - position redescription submitted SR10/BU3 -> Secty II or III, SR14 or 16/BU3
Interns, Fellows	
	Meeting - US State Dept Prof'l Fellow
	Feb 2018 - contacted law school for legal intern
Strategic Planning	
	Sep 2017 - comments received from public, agencies, unions, EC commissioners
	Oct, Nov 2017 - comments incorporated, draft reviewed at EC meetings
	Jan, Feb 2018 - amended draft reviewed EC meeting
	Mar 2018 - plan adopted
	Apr 2018 - plan revisited for budget amendments
	May 2018 - plan amended
Ethics Training - Learning Management System (LMS) Development	
	Fall 2017 - launch LMS for all domain users officers/employees training
	Fall 2017 - utilize Mindflash (priv software) for non-domain users (bd/comm member training)
	Winter 2017 - launch LMS and video DVD training for non-domain users officers/employees
	Winter/Spr 2018 - agencies deployed LMS and training videos; completed employee training
	Sum 2018 - agencies completed officer, employee, bd/comm member training
Advisory Opinions Issued (1)	
	Feb 2018 - AO 2018-1 issued (re: alleged violation of RCH Sec. 11-104 against a City employee)
Ethics Data Reported (New Categories in City Annual Report)	
	Contacts Rec'd (requests for advice, concerns, mics. inquiries) - 613
	Contacts Ans'd (requests for advice, concerns, misc. inquiries) - 601
	Concerns Rec'd - 58
	Emp'ees Trained - 9686
	Bd/Comm Members Trained - 176
	Disclosures Rec'd (financial, conflict of interest, outside interest, candidate, nomination) - 841
	Lobbyist Filings Rec'd (registrations, annual reports) - 323
Ethics Commission Meetings (11)	
	Timely agendas filed, mins prepared/uploaded, post-meeting clean-up completed
Ethics Outreach - Newsletters produced and Delivered	
	Winter (Dec) 2017
	Gift Guide (Dec) 2017
	Summer (May) 2018
Office Procedures Reviewed, Amended, Implemented	
	Winter 2017 - Lobbyist forms, process revised
	Winter 2017 - Financial disclosure forms reviewed, process revised

Attachment 2
Accomplishments - FY2018
(July 1, 2017 - June 30, 2018)

Legislation - None

Training - 7 Commrs (49+ hours)

- SCCE - 2 Commrs attend annual conference (paid own way)
- Common Cause Ethics Session
- Strategic Communication (Kanda)
- Administrative Hearings (Office of Administrative Hearings, State DCCA)

Training - 5 Staff (211+ hours)

- SCCE - EDLC attend annual conference (paid own way)
- COGEL - EDLC attend annual conference
- Common Cause Ethics Session
- Team Building Training
- Strategic Communication (Kanda)
- Administrative Hearings (Office of Administrative Hearings, State DCCA)
- Sr. Management Meetings (City Admin)
- Center for the Advancement of Public Integrity (CAPI) CLE, webinars
- Millennial jurors and co-workers (HSBA/GLS)
- CPR/AED Training
- Administer HPD recruit training
- Ergonomics
- Prevention of sexual harassment
- Leadership Forum (DHR)
- Ethics Training (all City employees)
- Rules and sunshine law training
- MS Word

Other Statistics (Compiled, Reported in City Annual Report & EC Meetings)

- EC complaints - by quarter, FYs, comparisons
- RFAs - by quarter, FYs, comparisons
- Budget - FY comparisons
- Intake - category breakdown
- Financial Disclosures - FYs, comparisons
- Lobbyists - FYs, comparisons
- Disclosure of Interests (CC-8)
- UIPA requests
- Website hits - FYs, comparisons

Managed Litigation (on-going)

Managed Procurement for Conflict of Interest Cases (none)

Document Management - EC Files Retained Electronically (on-going)

Last Updated: 2019-02-13

Ethics Commission – 2027

This strategic plan involved a review of current practices and procedures, and sets forth a blue print for the future.

This document creates a longer-term strategy and is based on discussions held in 201 and 2018. It remains a work in progress, a flexible and directional touchstone for Commissioners and Staff. It will be revisited periodically over the next several years—2020 (year three), 2022 (year five), and 2024 (year seven)—and as key assumptions change or as internal or external conditions require. As needed, we will use it as source material to drive specific changes in direction, laws and rules, procedures and activities.

As part of our strategy, we will examine other jurisdictions and determine best practices for ethics commissions and ethics oversight. Similar jurisdictions may have similar ethics laws, oversight and enforcement responsibilities, population size, demographics, geographic size, among other factors.

Finally, we commit to properly balancing transparency and openness with necessary and legally warranted confidentiality. Critical to our success, however, is the need for appropriate resources, including adequate budget, number and type of staff, and commissioner capacity proportionate to the overall workload.

Mission Statement

To ensure that all employees, elected officials, and appointed officers demonstrate the highest standards of ethical conduct so that the public may have trust and confidence in the integrity of government.

“We hold the public’s trust.”

I. Who We Are

Chartered by the Hawai'i State Constitution and Revised Charter of the City & County of Honolulu, we are the City & County of Honolulu's ethics watchdog agency. Our job is to ensure that all of the C&C's approximately 10,000 elected leaders, appointed officials, and employees understand and follow the highest ethical standards of conduct governing their work for the public.

In Fiscal Year 2017, we began to review our policies and procedures to determine where we were and then plan for the future. We filled our full complement of five budgeted staff—Executive Director and Legal Counsel, Associate Legal Counsel, Investigator, and two Legal Clerks—and assessed and debriefed our practices and began making adjustments for efficiency and effectiveness. The work is on-going, but in progress.

Skills training for Commissioners and Staff is also essential for success. While some training has been accomplished—for example, sunshine law and government records training, core computer application refresher training, and investigation training—there is much more to do.

II. What We Do

We have jurisdiction over education and enforcement of the following laws:

- Conflicts of interest, including gifts
- Disclosure of personal and financial conflicts of interest
- Preferential treatment and misuse of city resources
- Lobbyist regulation

III. Why We Are Working on a Forward-Facing Strategy

We are giving intentional forethought to shape the Commission's future. We have a new Executive Director, a competent and hardworking Staff, and a strong set of Commissioners, all of whom are dedicated to implementing the agency's mission. We anticipate a rising volume of work and cases of increasing complexity. With this

document, we want to further position ourselves so that our work is conducted with the greatest possible efficiency and integrity.

We also foresee specific strategic issues that the existing commission and future commissions will encounter:

- 1. Clarifying the Commission's Prosecutorial Function.** Currently we manage a set of functions that in the larger justice community are separated and have walls between them: investigations; prosecution of contested matters; sitting as a tribunal. From time to time cases of long running complexity have arisen that demanded more than should be expected from a small staff and volunteer commissioners. The Commission must evaluate its prosecution options in anticipation of those cases arising.
- 2. Building Stronger Community Understanding of the Commission.** Staff receives numerous calls and inquiries each day, many of which are not appropriate. We take our mission of safeguarding the public's trust and confidence in City and County government but also need to improve the community's clarity about what the Commission can and cant do.
- 3. Further Strengthening the Prevention of Ethics Violations.** We have made steady progress on training and education for city workers but more remains to be done. We seek to ensure that scrupulous adherence to all relevant codes of ethical conduct are embraced and a firm aspect of the city's culture.
- 4. Making Sure the Commission's Work is Right-Sized.** Depending on how the above (and other) long term issues are shaped, the Commission's actual working resources need to be at the appropriate scale. This come down to adequate staff, adequate budget, and an adequate number of commissioners.

IV. Dashboard

Here are the metrics and vital signs we plan to use to monitor ourselves. Wherever possible, we will apply "aging" reports to evaluate workload and stay alert for backlogs, gaps, and case-handling delays. This dashboard is meant to be a management and decision support tool for Commissioners and Staff.

Trailing Indicators *(Looking Back)*

1. Requests for training
2. Requests for advice
3. Advisory opinions
4. Preliminary determinations (reevaluate and address via future rule-making or policy adoption)
5. Investigations
6. Complaints filed
7. Requests for information via the Uniform Information Practices Act (UIPA), Hawaii Revised Statutes Chapter 92F
8. Hearings
9. Ethics Commission meetings that comply with Hawaii open meetings law, also known as the sunshine law, Hawaii Revised Statutes Chapter 92

Leading Indicators (*Looking Ahead*)

- 10. Anticipated population growth/decline in the C&C of Honolulu
- 11. Anticipated number of C&C employees and elected and appointed officials
- 12. Anticipated number of new employees and elected and appointed officials
- 13. Anticipated Ethics Commission budget and staff positions required to handle anticipated needs

V. Our Key Values

- 1. **Independence.** We will dispassionately appraise every circumstance that comes before us against pertinent laws and specific facts. We will play no political favorites, and let the chips fall where they may.
- 2. **Transparency.** We will strive for the greatest possible openness while honoring the rights of privacy and confidentiality. We endeavor to balance a user-friendly guidance and approach with sound procedures to vet, triage, and bring actions to enforce the City’s standards of conduct.
- 3. **Above Reproach.** We ourselves, as a Commission and as individuals, will continuously strive to exemplify the behaviors we enforce on others.

VI. The Current Situation

Here is how we evaluate ourselves at this moment:

Major Strengths	Major Weaknesses
<p>We now have a strong Staff in place and a cohesive and dedicated group of Commissioners.</p> <p>Our relationships with other agencies are continuously improving.</p> <p>We are developing increasingly better methods of training the City’s approximately 10,000 employees on their ethical duties.</p>	<p>Our budget is insufficient to meet our core needs and rising demands. Our existing staff is not large enough to fulfill all functions; that is, investigations, prosecutions, advisory opinions, ethics training, etc.</p> <p>We need to update and clarify our rules.</p> <p>We need to update our policies and procedures.</p>

<p>Our monthly data collection and reporting systems are steadily improving.</p> <p>Our meetings are more efficient with good opportunities for public testimony.</p>	<p>Staff and Commissioners lack sufficient opportunities for skills and ethics training and upward mobility and opportunities to interact with ethics commissions of other jurisdictions.</p> <p>The ordinances that direct and guide us require updating.</p> <p>We are not well understood by City elected officials, officers, employees, and the public at large.</p> <p>We remain entangled in litigation, which impedes our work and drains resources.</p> <p>Administrative support duties are blurry and need to be clarified.</p> <p>How we interpret and best function with sunshine law requirements is an on-going effort.</p>
<p style="text-align: center;">Opportunities</p> <p>We will eventually be audited, but we will undertake our own thinking on lessons learned and future efforts; knowledge gained from this effort will be supplemented by what external auditors recommend.</p> <p>We can define, operationalize, and make public our best practices.</p> <p>Rotation of Commissioners brings new perspectives and adds strength.</p> <p>We can utilize skilled volunteers who understand the Ethics Commission's work.</p> <p>There are opportunities to impact ordinances and adopt rules.</p> <p>We can position ourselves for inevitable future administrations and councils.</p>	<p style="text-align: center;">Challenges</p> <p>Turnover and rotation. Potential loss of Staff and Commissioners.</p> <p>Flat resources or budget cuts if the economy dips, which is expected.</p> <p>A small number of excessively time-consuming cases that pull us away from other required work.</p> <p>Physical location. Not close to other agencies.</p> <p>Scofflaws who ignore C&C ethical requirements, for which the Ethics Commission gets blamed.</p>

<p>We can explore coordinating ethics trainings, for mutual benefit, with other departments and agencies.</p> <p>We can explore collaborating with state and county agencies to harmonize requirements and forms.</p>	
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VII. Assumptions About the Next 10 Years

- Ethics Commission’s staffing needs will increase even as we gain efficiency, but our budget will always be determined by others.
- Our caseload will go up because:
 - C&C of Honolulu’s population increases about 10 percent every 10 years.
 - The more training and outreach we do, the more inquiries and cases are generated.
 - As the social fabric in Hawai’i changes because of demographic shifts and as O’ahu becomes more crowded and factionalized, we will receive more ethics inquiries and concerns. People are increasingly argumentative and litigious.
 - When the economy dips and city services are diminished, we will receive more ethics inquiries, concerns, and requests for advice.
 - As C&C employee ranks turn over, training will need to be continuously refreshed and delivered to new cohorts of employees.
- More employees will have electronic devices, enabling greater reach for ethics training. Computerized training delivery will become easier, faster, and cheaper.
- The “80/20” principle will continue to prevail; that is, 80 percent of our work and effort will tend to respond to 20 percent of our caseload. Some

of that 20 percent will be hot potatoes with high media visibility. As social media expands, there may be increasing numbers of hot potatoes.

- We will always be in some kind of “stretch mode” and likely never have all the resources our demands require.
- Over the next 5-10 years, federal and state funding will decline.
- The process of Commissioner appointments will stay the same: Mayor appoints, Council confirms.
- We will need to do more effective education and outreach to the Mayor and Council to ensure they understand what we do, what their unique ethical requirements are, and to secure the funds and positions we need to operate effectively.
- The Commission may on its own initiative initiate complaints.

VIII. Objectives

Objective 1: Review, update, and realign ethics programs for compliance, effectiveness, and efficiency:

Areas to be Reviewed for Changes and Priorities	Charter/ Ordinance	Substan Admin Rules	Proced Admin Rules	SOPs	Training/ Education
Financial Disclosures	x	x		x	x
Lobbyist Regulations	x	x		x	x
Separation of Duties (intake, investigation, prosecution, adjudication)	x		x	x	
Gifts	x	x		x	x
Fair & Equal Treatment	x	x		x	x
Conflict of Interest Disclosures	x	x		x	x

In conjunction with the above:

- Examine procedures from: Hawai'i Office of Disciplinary Counsel (ODC); Regulated Industries Complaints Office (RICO), Hawai'i Department of Commerce and Consumer Affairs (DCCA); and other

ethics commissions, e.g., Austin, TX (population ~947,890); City and County of San Francisco, CA (population ~870,887); San Jose, CA (population ~1,025,350); Jacksonville, FL (population ~880,619); among others; and also review their staff-to-workload ratios.

- b. Review and revise, as needed, the definition of “complaint” and consider disallowing anonymous complaints to proceed to investigation without named complainant. Prior to that, it would be a “contact.”
- c. Provide opportunity to review proposed changes and offer comments and concerns.
- d. Analyze and determine whether to have in-house prosecutors or contract a prosecutorial function.
- e. To ensure uniformity of practice and continuity to the future, develop an updatable set of policies and procedures available to the Commission, Staff, and the public. Collate existing Commission policies and procedures and develop new ones in conjunction with future changes to the ordinances and rules described above.
- f. Consider adopting as a policy that the Commission may not initiate or proceed with its own investigation if official investigations are being conducted by other agencies or tribunals with sufficient resources and enforcement powers. Any such policy must recognize that the Commission enforces ethics laws, which may be very different from those of other agencies or tribunals.

Objective 2: Further strengthen and expand the education and training of the City and County’s ~10,000 officers, employees, and elected officials.

- a. Develop and deliver improved outreach materials (brochures, FAQs, newsletters, etc.) that describe the Commission’s work and provide offers of assistance.
- b. Conduct additional outreach to all elected and appointed officials and to all agency employees to make them fully aware of the Commission’s capabilities and to provide regular or specialized trainings.

- c. Continue to refine, track, and regularly evaluate the use of training software as a core-training tool.
- d. Offer an annual training for lobbyists, possibly with the State Ethics Commission to avoid duplication of efforts.
- e. Continue to work with the City Department of Information Technology to develop an in-house ethics training application for both domain users (honolulu.gov) and non-domain users (e.g., board and commission members).

Objective 3: Strengthen the internal capabilities and procedures of the Ethics Commission.

- a. Acquire and implement a case management data base to enable tracking, dashboard monitoring, and reporting.
- b. Acquire and implement a comprehensive compendium of Ethics Commission Advisory Opinions and Ethics Commission-related Corporation Counsel Opinions that is easy to use when conducting legal research.
- c. Develop and implement training and professional development activities for Staff and Commissioners. Potential areas to be covered include sunshine law, information technologies, and data management. Mechanisms can include:
 - i. State Public Library's Gale Courses for computer application training (MS Word, Excel, Power Point, Access, others);
 - ii. Equal Opportunity Office Internal Investigation Training;
 - iii. Reid Investigator Interview Training; and
 - iv. Attendance at Council on Governmental Ethics Laws (COGEL) and/or the Society of Corporate Compliance and Ethics (SCCE) conferences.
- d. Review, revise as needed, and implement a simple written policy on who speaks publicly for the Commission.

- e. Ensure the Commission is adequately staffed and staff are adequately and fairly compensated.

Objective 4: Above and beyond our management “dashboard,” develop, implement, and use a simple set of overall effectiveness measures that will describe quantitatively the core efficacy of the Commission. The measures should reflect both inputs and outputs and the quantity and quality of both.

IX. Short Term Actions – Fiscal Year 2019

Actions completed or started in fiscal year 2017 are shown in Attachment 1, *Accomplishments - FY2017 (July 1, 2016–June 30, 2017)*.

Actions completed or started in fiscal year 2018 are shown in Attachment 2, *Accomplishments - FY2018 (July 1, 2017–June 30, 2018)*.

Actions to be continued, completed or started in fiscal year 2019 will be reported at monthly Ethics Commission meetings in a format similar to Attachments 1 and 2.

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Item	Timeframe
Ethics Commission - 7-Member Commission Fully Appointed	
	Aug 2016 - 1 new commissioner appointed (Adler) Apr 2017 - 2 holdover commissioners termed out (Silva, Yuen) May 2017 - 2 new commissioners appointed (Kanda, Monk)
Personnel - All Budgeted Vacant Positions Filled in FY2017, EC Fully-Staffed (5/5)	
	May 2016 - 2 legal clerks on staff (2/5 staff) Aug 2016 - ALC and EDLC hired (4/5 staff) Nov 2016 - INV hired (5/5 staff)
Interns, Fellows Assisted EC	
	Jan - Jul 2017 - 1 Pookela Fellow (12 hrs/wk) Mar - Sep 2017 - 1 MPA Intern (rules, guidelines) Jun - Aug 2017 - 2 law school interns (brief AOs)
Office Relocated to Kapālama Hale	
	Nov 2016 - relocated from South King Street to Kapālama Hale Feb 2017 - 1st EC meeting held in Kapālama Hale
Strategic Planning Commenced	
	Fall 2016 - began planning Apr, May, Sep 2017 - PIG meetings - Apr, May, Sep 2017 June 2017 - draft discussed at EC meeting, posted to website, comments solicited
Ethics Training - Learning Management System (LMS) Development On-Going	
	Fall 2016 - began working with DIT to develop LMS Spring 2017 - create prototype LMS for all officers/employees, test pilot on Legislative Branch Spring 2017 - create prototype LMS for bd/comm member training, test pilot on select bds/comms
Advisory Opinions Issued (2)	
	AO 2017-1 (re: independent expenditures by Super Political Action Committees) AO 2017-2 (re: EC's jurisdiction to decide if a councilmember's receipt of 40% or more of campaign contributions by a special interest group creates a conflict of interest)
Ethics Inquiries	
	Total # inquiries - 278 # inquiries closed - 261 (94%) # requests for advice - 189 (68%) # complaints - 87 (31%)

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Ethics Commission Meetings (13)

Timely agendas filed, mins prepared, materials prepped/uploaded, post-meeting clean-up completed
Fall 2016 - Meeting format amended, utilize IT equipment for enhanced transparency
Spring 2017 - Website redesigned to feature agendas, minutes, meeting materials
Spring 2017 - Meeting materials posted to website when distribution made to Commission

Ethics Outreach - Newsletters Produced and Delivered

Winter (Dec) 2016
Spring/Summer (May) 2017

Office Procedures Reviewed, Amended, Implemented

Fall 2016/Spr 2017 - implemented new EC meeting procedures, timeframes, deadlines
Fall 2016/Spr 2017 - implemented weekly staff meetings, case management meetings
Fall 2016/Spr 2017 - implemented EC meeting calendar with relevant dates, deadlines
Fall 2016/Spr 2017 - posted EC meeting agendas, minutes, materials in more accessible format
Winter 2016 - amended financial disclosure forms and instructions
Spr 2017 - posted meeting materials to Commissioners and public at the same time
Spr 2017 - debriefed lobbyist reg'n, annual rpt; F/D; disclosure of interest (CC-8)
Spr 2017 - uploaded lobbyist summary, registration forms to website
Sum 2017 - revised intake form, procedures

Charter Amendment and Conforming Legislation Passed

Fall 2016 - track charter amendment through Nov 2016 general election
Nov 2016 - charter amendment passes
Spring 2017 - submit bill to conform ordinances to charter amendment
Summer 2017 - amended ordinance passes

Training Taken - 7 Commrs (6 hours)

OIP - training session @ EC meeting on UIPA and sunshine law

Training Taken - 5 Staff (400+ hours)

OIP - training session @ EC meeting on UIPA and sunshine law
OIP training and new rules
Reid Investigator Training
Internal Investigator Training
Management Development Training
Excel, Word, Power Point, other computer application training
Senior Management Training
State Ethics Training
Center for the Advancement of Public Integrity Training (online)
Benefits Processing
New Employee Orientation Training
LexisNexis Training
Prevention of Sexual Harassment Training

Attachment 1
Accomplishments - FY2017
(July 1, 2016 - June 30, 2017)

Lifting Hazards & Proper Lifting Techniques Training
DIT Video-Conferencing Training
Open Web Ethic Concerns Training
Leadership Seminar
Legislative Reference Bureau and Administrative Rules Drafting Manual
Native Hawaiian Peacemaking Concepts
DEM Disaster Training
Fire Extinguisher Training
Dbase Management Essentials

Statistics - Newly Compiled and Reported

EC complaints - by quarter, FYs, comparisons
RFAs - by quarter, FYs, comparisons
Budget - FY comparisons
Intake - category breakdown
Financial Disclosures - FYs, comparisons
Lobbyists - FYs, comparisons
Disclosure of Interests (CC-8)
UIPA requests
Website hits - FYs, comparisons

Managed Litigation

Managed Procurement for Conflict of Interest Cases

Document Management - EC Files Scanned and Archived, Hardcopies Shredded

Hardcopy files prepped, scanned for archiving
Hardcopy files shredded
Target completion - FY2018

Last Updated: 2018-02-16

Attachment 2
Accomplishments - FY2018
(July 1, 2017 - June 30, 2018)

Item	Timeframe
Ethics Commission - 7-Member Commission Fully Appointed	
Personnel - All Budgeted Vacant Positions Filled in FY2017; Retirement (1) FY2018	
	Dec 2017 - legal clerk (1) retirement (4/5 staff)
	Jan 2018 - legal clerk I (TA) to legal clerk III
	Feb 2018 - P/T sr. clerk hired (Feb - May 2018)
	Apr 2018 - position redescription submitted SR13/BU3 -> SR18/BU13
	May 2018 - position redescription submitted SR10/BU3 -> Secty II or III, SR14 or 16/BU3
Interns, Fellows	
	Meeting - US State Dept Prof'l Fellow
	Feb 2018 - contacted law school for legal intern
Strategic Planning	
	Sep 2017 - comments received from public, agencies, unions, EC commissioners
	Oct, Nov 2017 - comments incorporated, draft reviewed at EC meetings
	Jan, Feb 2018 - amended draft reviewed EC meeting
	Mar 2018 - plan adopted
	Apr 2018 - plan revisited for budget amendments
	May 2018 - plan amended
Ethics Training - Learning Management System (LMS) Development	
	Fall 2017 - launch LMS for all domain users officers/employees training
	Fall 2017 - utilize Mindflash (priv software) for non-domain users (bd/comm member training)
	Winter 2017 - launch LMS and video DVD training for non-domain users officers/employees
	Winter/Spr 2018 - agencies deployed LMS and training videos; completed employee training
	Sum 2018 - agencies completed officer, employee, bd/comm member training
Advisory Opinions Issued (1)	
	Feb 2018 - AO 2018-1 issued (re: alleged violation of RCH Sec. 11-104 against a City employee)
Ethics Data Reported (New Categories in City Annual Report)	
	Contacts Rec'd (requests for advice, concerns, mics. inquiries) - 613
	Contacts Ans'd (requests for advice, concerns, misc. inquiries) - 601
	Concerns Rec'd - 58
	Emp'ees Trained - 9686
	Bd/Comm Members Trained - 176
	Disclosures Rec'd (financial, conflict of interest, outside interest, candidate, nomination) - 841
	Lobbyist Filings Rec'd (registrations, annual reports) - 323
Ethics Commission Meetings (11)	
	Timely agendas filed, mins prepared/uploaded, post-meeting clean-up completed
Ethics Outreach - Newsletters produced and Delivered	
	Winter (Dec) 2017
	Gift Guide (Dec) 2017
	Summer (May) 2018
Office Procedures Reviewed, Amended, Implemented	
	Winter 2017 - Lobbyist forms, process revised
	Winter 2017 - Financial disclosure forms reviewed, process revised

Attachment 2
Accomplishments - FY2018
(July 1, 2017 - June 30, 2018)

Legislation - None

Training - 7 Commrs (49+ hours)

- SCCE - 2 Commrs attend annual conference (paid own way)
- Common Cause Ethics Session
- Strategic Communication (Kanda)
- Administrative Hearings (Office of Administrative Hearings, State DCCA)

Training - 5 Staff (211+ hours)

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