

# ATTACHMENT 17



Jodie Smith, Chair  
James E.T. Jackson, Vice-Chair  
Jill M. Butler  
Gail Kong  
Joe Tuman  
Nayeli Maxson Velázquez  
Jerett Yan

Whitney Barazoto, Executive Director

---

TO: Public Ethics Commission  
FROM: Whitney Barazoto, Executive Director  
DATE: December 19, 2019  
RE: Executive Director's Report

---

This memorandum provides an overview of the Public Ethics Commission's (PEC or Commission) significant activities since the Commission's last regular meeting that are not otherwise covered by other staff program reports. The attached overview of Commission Programs and Priorities includes the ongoing goals and activities for 2019-20 for each program area.

## **Ethics Analyst III Classification**

Commission staff joined the Department of Human Resources Management at the December 19, 2019, Civil Service Board meeting to present the new job classification to expand the Ethics Analyst series to include a third level of the analyst position. The Civil Service Board approved the new classification, and the next step is approval of a revised salary ordinance by City Council. This new classification will provide the Commission with an additional, higher level analyst classification option available for promotion of existing staff as well as for potential use upon allocation of a new position in the Commission's budget.

## **Council of Governmental Ethics Laws**

Enforcement Chief Kelli Johnson attended the annual Council of Governmental Ethics Laws (COGEL) conference in December. COGEL is the premier organization of government ethics, campaign finance, elections, and transparency practitioners across the United States and Canada. The conference included 4 days of seminars and workshops for ethics lawyers, government agency staff, and related practitioners.

## **Complaint Procedures**

Following the November meeting, Commission staff transmitted a copy of the Commission's newly revised and adopted Mediation and Complaint Procedures to City Council for their review and option to veto pursuant to O.M.C section 2.24.070. Absent City Council action, the procedures become effective 60 days after adoption by the Commission (January 3, 2020).

Attachment: Commission Programs and Priorities

# ATTACHMENT 17

# ATTACHMENT 17

## PUBLIC ETHICS COMMISSION Programs and Priorities 2018-19

Program	Goal	Desired Outcome	Key Projects for 2019-20
<b>Lead/ Collaborate (Policy, Systems, Culture)</b>	PEC facilitates changes in City policies, laws, systems, and technology and leads by example to ensure fairness, openness, honesty, integrity and innovation.	Effective campaign finance, ethics, and transparency policies, procedures, and systems are in place across City agencies	<ol style="list-style-type: none"> <li>1. Adoption of PEC-drafted City Ticket Distribution policy and process changes</li> <li>2. Campaign Finance/Public Financing Act Project to expand participation in the campaign process</li> <li>3. Government Integrity Data partnership</li> </ol>
<b>Educate/ Advise</b>	Oakland public servants, candidates for office, lobbyists, and City contractors understand and comply with City campaign finance, ethics, and transparency laws.	The PEC is a trusted and frequent source for information and assistance on government ethics, campaign finance, and transparency issues; the PEC fosters and sustains ethical culture throughout City government.	<ol style="list-style-type: none"> <li>1. Online ethics training for Form 700 filers – ensure training delivered to a) elected officials, b) City employees (1000), b) board/commission members, and c) consultants</li> <li>2. Board/Commission member/liaison support/guidance; Sunshine/Meeting agenda posting Compliance Review v</li> <li>3. Ongoing: advice calls, in-person trainings, ethics orientation for new employees (12), supervisor academy (3-4), and PEC newsletter (2)</li> <li>4. Sunshine and Lobbyist education materials</li> </ol>
<b>Outreach/ Engage</b>	Citizens and regulated community know about the PEC and know that the PEC is responsive to their complaints/questions about government ethics, campaign finance, or transparency concerns.	The PEC actively engages with clients and citizens demonstrating a collaborative transparency approach that fosters two-way interaction between citizens and government to enhance mutual knowledge, understanding, and trust.	<ol style="list-style-type: none"> <li>1. Outreach to client groups: -City staff/officials -people doing business with the City</li> <li>2. Sustain/enhance general PEC social media outreach</li> <li>3. PEC Roadshow – focus on CF project outreach (Commissioners)</li> <li>4. Engage Boards/Commissions regarding Sunshine requirements (ensure/review agenda postings online)</li> </ol>
<b>Disclose/ Illuminate</b>	<p>PEC website and disclosure tools are user-friendly, accurate, up-to-date, and commonly used to view government integrity data.</p> <p>Filing tools collect and transmit data in an effective and user-friendly manner.</p>	<p>Citizens can easily access accurate, complete campaign finance and ethics-related data in a user-friendly, understandable format.</p> <p>Filers can easily submit campaign finance, lobbyist, and ethics-related disclosure information.</p>	<ol style="list-style-type: none"> <li>1. Lobbyist Registration – pilot new e-filing system, create online open data format for public accessibility</li> <li>2. Form 803 Behested Payments – implement e-filing process, create online open data format for public accessibility</li> <li>3. Initiate/develop project plan to establish contractor database</li> <li>4. Open Disclosure 2020 – campaign data visualization project</li> <li>5. Government Integrity Data Project planning and development</li> </ol>
<b>Detect/ Deter</b>	PEC staff proactively detects potential violations and efficiently investigates complaints of non-	Public servants, candidates, lobbyists, and City contractors are motivated to comply with	<ol style="list-style-type: none"> <li>1. Focus on ethics violations, proactive investigations</li> <li>2. Conduct complaint intakes within 2 weeks</li> <li>3. Collaborate with other government law enforcement agencies</li> </ol>

# ATTACHMENT 17

	compliance with laws within the PEC's jurisdiction.	the laws within the PEC's jurisdiction.	4. Conduct audits to identify common, across-the-board compliance issues
<b>Prosecute</b>	Enforcement is swift, fair, consistent, and effective.	Obtain compliance with campaign finance, ethics, and transparency laws, and provide timely, fair, and consistent enforcement that is proportional to the seriousness of the violation.	<ol style="list-style-type: none"> <li>1. Conduct hearings as needed</li> <li>2. Complete City ticket cases</li> <li>3. Expedite Sunshine Mediations ✓</li> <li>4. Amend Complaint Procedures ✓</li> <li>5. Resolve all 2014 and 2015 cases ✓</li> <li>6. Streamline and expand enforcement systems to incorporate broader tools</li> </ol>
<b>Administration/ Management</b>	PEC staff collects and uses performance data to guide improvements to program activities, motivate staff, and share progress toward PEC goals.	PEC staff model a culture of accountability, transparency, innovation, and performance management.	<ol style="list-style-type: none"> <li>1. Revise PEC Enabling Ordinance</li> <li>2. Publish performance goals and data on PEC website – dashboards</li> <li>3. Review data to adjust activities throughout the year</li> <li>4. Ongoing: professional development and staff reviews ✓</li> </ol>