

From: committeeonrules@guamlegislature.org
Sent: Thursday, February 2, 2023 11:23 AM
To: clerks@guamlegislature.org
Cc: 'Rennae Meno'; 'Speaker Therese M. Terlaje'
Subject: Messages & Communications Doc. No. 37GL-23-0161.
Attachments: 020223 COMM Doc. No. 37GL-23-0161.pdf

Håfa Adai Clerk’s Office,

Please see attached, **Messages & Communications Doc. No. 37GL-23-0161** for processing:

2/2/23 11:15 a.m.	37GL-23-0161	Office of Public Accountability	Status of Audit Recommendations - Report No. 23-01, January 2023*
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si Yu’os ma’åse’,
Joaquin ‘Quin’ P. Taitague
Committee on Rules Director
COMMITTEE ON RULES
Senator Chris Barnett, Chairperson
I Mina’trentai Siette Na Liheslaturan Guåhan
37th Guam Legislature



Messages and Communications for 37GL-23-0162

2 messages

Speaker Therese M. Terlaje <speaker@guamlegislature.org>

To: committeeonrules@guamlegislature.org, Legislative Secretary Amanda Shelton <officeofsenatorshelton@guamlegislature.org>

Håfa Adai,

Please see attached M&C Doc. No. 37GL-23-0162*

37GL-23-0162	Guam Ethics Commission
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Reporting Requirements for Boards and Com

Si Yu'os Ma'åse',

Marie Cruz

Community Relations Liaison



Office of Speaker Therese M. Terlaje

Committee on Health, Land, Justice, and Culture

I Mina'trentai Siette na Liheslaturan Guåhan 37th Guam Legislature

Guam Congress Building, 163 Chalan Santo Papa, Hagåtña, Guam 96910

☎ (671) 472-3586

✉ senatorterlajeguam@gmail.com

🌐 www.senatorterlaje.com

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----- Forwarded message -----

From: **Reuben C. Bugarin** <Reuben.Bugarin@ethics.guam.gov>

Date: Thu, Feb 2, 2023 at 2:11 PM

Subject: Guam Ethics Commission Reporting Requirements for January 2023

To: Speaker Therese M. Terlaje <speaker@guamlegislature.org>, Jean S. Taitano <jean.taitano@guam.gov>

Cc: Ethics Info <Info@ethics.guam.gov>

Håfa Adai,

On behalf of the Guam Ethics Commission, I respectfully transmit the board packet for the Commission's January meeting. If our office can provide anything further, please let me know.

Best regards,

REUBEN C. BUGARIN

Ethics Program Coordinator

Guam Ethics Commission

Kumisión i Giniban Areklamenton Guåhan

134 W. Soledad Avenue, Suite 406 – BOH Bldg., Hagåtña Guam 96910

Tel: (671) 969-5625

Fax: (671) 969-5626

Website: <http://guamethics.com>

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2 attachments



Guam Ethics Commission Reporting Requirements for January 2023.pdf

7230K



37GL-23-0162.pdf

299K

committeeonrules@guamlegislature.org <committeeonrules@guamlegislature.org>

To: "Speaker Therese M. Terlaje" <speaker@guamlegislature.org>, Legislative Secretary Amanda Shelton <officeofsenatorshelton@guamlegislature.org>

Håfa Adai!

Received and thank you.



si Yu'os ma'åse',

Joaquin 'Quin' P. Taitague

Committee on Rules Director

COMMITTEE ON RULES

Senator Chris Barnett, Chairperson

I Mina'trentai Siette Na Liheslaturan Guåhan

37th Guam Legislature

From: Speaker Therese M. Terlaje <speaker@guamlegislature.org>
Sent: Thursday, February 2, 2023 2:38 PM
To: committeeonrules@guamlegislature.org; Legislative Secretary Amanda Shelton <officeofsenatorshelton@guamlegislature.org>
Subject: Messages and Communications for 37GL-23-0162

Håfa Adai,

Please see attached M&C Doc. No. 37GL-23-0162*

37GL-23-0162	Guam Ethics Commission	Reporting Requirements for Boards and Comr
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Si Yu'os Ma'åse',

Marie Cruz

Community Relations Liaison

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[Quoted text hidden]



image002.png
97K

Guam Ethics Commission Reporting Requirements for January 2023

Reuben C. Bugarin <Reuben.Bugarin@ethics.guam.gov>

Thu, Feb 2, 2023 at 2:11 PM

To: "Speaker Therese M. Terlaje" <speaker@guamlegislature.org>, "Jean S. Taitano" <jean.taitano@guam.gov>

Cc: Ethics Info <Info@ethics.guam.gov>

Håfa Adai,

On behalf of the Guam Ethics Commission, I respectfully transmit the board packet for the Commission's January meeting. If our office can provide anything further, please feel free to contact me. Thank you.

DOC NO. 37GL-23-0162
OFFICE OF THE SPEAKER

Therese M. Terlaje

Date: 02/02/2023

Time: 2:11 p.m.

Received: *MCruz*

Best regards,

REUBEN C. BUGARIN

Ethics Program Coordinator

Guam Ethics Commission

Kumisión i Giniban Areklamenton Guåhan

134 W. Soledad Avenue, Suite 406 – BOH Bldg., Hagåtña Guam 96910

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Guam Ethics Commission Reporting Requirements for January 2023.pdf

7230K



GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan
Government of Guam
134 W. Soledad Ave., BOH Bldg. Ste. 406
Tel: 671-969-5625 | Telefax: 671-969-5626

Transmitted Via Electronic Mail

February 02, 2023

Honorable Lourdes A. Leon Guerrero
Governor of Guam
Office of the Governor
513 W. Marine Corps Drive
Hagåtña, Guam 96910

Honorable Therese M. Terlaje
Speaker, 37th Guam Legislature
I Mina Trentai'siete Na Liheslaturan Guåhan
Guam Congress Building
163 Chalan Santo Papa
Hagåtña, Guam 96910

Re: Reporting Requirements for Boards and Commissions – January 2023

Håfa Adai Governor Leon Guerrero and Speaker Terlaje,

On behalf of the Guam Ethics Commission, respectfully transmitted herewith is the reporting requirements of 5 GCA Chapter 8 § 8113.1 regarding the Guam Ethics Commission's regular meeting held on January 31, 2023

If I can provide further assistance or clarification, please feel free to contact me through email at jesse.quenga@ethics.guam.gov.

Si Yu'os Ma'ase!

JESSE JOHN QUENGA, CM®
Executive Director



37GL-23-0162

Messages and Communications

RECEIVED

Committee on Rules

February 2, 2023

2:38 p.m.

Joaquin 'Quin' P. Taitague

Enclosure: Guam Ethics Commission January 31, 2023 Meeting Packet



GUAM ETHICS COMMISSION

Kumision Dinisiplina I Guåhan

Government of Guam

134 W. Soledad Ave., BOH Bldg. Ste. 406

Tel: 671-969-5625 * Telefax: 671-969-5626

GUAM ETHICS COMMISSION MEETING PACKET

**January 31, 2023
12:30 PM**



GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan

Regular Meeting
Tuesday, January 31, 2023
12:30 PM

AGENDA

COMMISSIONERS

Shannon J. Murphy
Chairwoman

Marilyn R. Borja
Vice-Chairwoman

Christopher A. Cruz

Robert S. Jack, MD

Daphne M. Leon Guerrero

Margaret E.R. Tyquiengco

COMMISSION STAFF

Jesse J. Quenga
Executive Director

Pamela D. Mabazza
Ethics Program Coordinator

Reuben C. Bugarin
Ethics Program Coordinator

I. Call to Order / Roll Call of Members

II. Approval of Minutes

- a. December 16, 2022 – Regular Meeting

III. Executive Director's Report

IV. Old Business

- a. Review and Approved FY 2024 Budget Request

V. New Business

- a. Approval of Ethics Investigation & Compliance Officer
Position Series
- b. Executive Director & Commission Staff Annual Performance
Evaluation and Pay Adjustment
- c. Election of Commission Officers

VI. Closed Proceedings 4 GCA 15 §15401

ETH-22-021-CI-203 | ETH-22-011-UT-203 | ETH-22-019-CI-202 | ETH-22-201-COI-204
ETH-22-002-UT-201 | ETH-22-001-UT-201

VII. Announcements

VIII. Adjournment

Guam Ethics Commission Board Meeting—Minutes

Date: December 16, 2022

Time: 12:07 pm

Location: Zoom/In Person

I. Call to Order / Roll Call of Members

- a. Members Present:
 - Chairperson Shannon Murphy
 - Christopher Cruz, Commissioner
 - Meg Tyquiengco, Commissioner
 - Dr. Robert Jack, Commissioner
 - Vice-Chairperson Marilyn Borja
- b. Members Absent:
 - Daphne Leon Guerrero, Commissioner
- c. Staff Present:
 - Jesse Quenga, Executive Director
 - Reuben Bugarin, Ethics Program Coordinator
 - Pamela Mabazza, Ethics Program Coordinator
- d. Others present: Attorney Joseph McDonald

II. Approval of Minutes

November 30, 2022 – Regular Meeting

MOTION: C.Cruz motion to approve October 21, 2022 minutes

Seconded by: Dr. R. Jack

Discussion: None

Decision: Motion Carries

III. Executive Director's Report

- a. 2023 Ethics Training Calendar
 - An enterprise-wide memo was issued on December 14th to all department and agency heads announcing the launch of the online learning platform as well as the 2023 Ethics Training Calendar. The Commission retained three (3) attorneys to conduct the workshops on behalf of the Commission. First workshop is scheduled for December 28th.
- b. Establishment of Technical/Professional Ethics Commission Staff
 - To meet the Commission's strategic goal of establishing a position series of technical/professional staff, our office was successfully submitted completed positions descriptions to DOA who will be provided support for the pay evaluation which follows the 2014 Competitive Wage Study adopted by GovGuam.
- c. Account Balance Summary

BALANCE REMAINING					
Category	2021	2023	Revenue Account	ARPA	TOTAL
Salaries	\$ -	\$ 14,228.26	\$ 34,973.60	\$ -	\$ 49,201.86
Benefits	\$ -	\$ 5,078.45	\$ 10,320.48	\$ -	\$ 15,398.93
Travel	\$ -	\$ -	\$ -	\$ -	\$ -
Contractual	\$ 76.92	\$ -	\$ 17,115.19	\$ -	\$ 17,192.11
Rent	\$ -	\$ 0.20	\$ -	\$ -	\$ 0.20
Supplies	\$ 55.70	\$ 1,000.00	\$ -	\$ 8,943.75	\$ 9,999.45
Equipment	\$ 19.09	\$ -	\$ 10,750.00	\$ 38.88	\$ 10,807.97
Drug Testing	\$ 40.00	\$ -	\$ -	\$ -	\$ 40.00
Misc.	\$ 1,325.75	\$ 11,746.56	\$ 33,808.92	\$ -	\$ 46,881.23
Telephone	\$ -	\$ -	\$ -	\$ -	\$ -
Subtotal	\$ 1,517.46	\$ 32,053.47	\$ 106,968.19	\$ 8,982.63	\$ 149,521.75

*Funds do not reflect additional \$24,994 collected, but not yet loaded into the revenue fund.

IV. Old Business

<p>ETH-22-20-OT-203 Motion: M. Tyquiengco Seconded by: C.Cruz Discussion: None Decision: Motion Carries</p>	<p>ETH-22-034-OT-202 Motion: C.Cruz Seconded by: M. Tyquiengco Discussion: None Decision: Motion Carries</p>
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V. New Business

- a. Review and Approve Fiscal Year 2024 Budget Request

MOTION: C. Cruz motion to approve

Seconded by: M. Tyquiengco

Discussion: None

Decision: Motion Carries

- b. Commission Boardsmanship Training / Education Program P.L. 32-031
 Conducted by atty. Joseph McDonald

VI. Announcements - None

VII. Adjournment

MOTION: M.Tyquiengco motion to adjourn at 4:07pm

Seconded by: M.Borja

Discussion: None

Decision: Motion Carries



GUAM ETHICS COMMISSION

Kumisión i Ginihan Areklamenton Guåhan

EXECUTIVE DIRECTOR'S REPORT

Updates

a. Ethics Training Update

- A total of three (3) workshops have been conducted since the launch of the FY2023 calendar: December 28th, January 3rd, and January 27th. The number of participants for the three workshops along with those who have completed the online self-paced training are depicted below.
- The first in a series of workshops tailored for appointed Boards and Commission members will be conducted on Friday, Feb. 3rd. A total of 30 participants are registered to attend the in-person workshop to be conducted in the GEthC conference room.

Month	Live Workshop	Online Workshop	TOTAL
December	42	34	76
January	104	111	215

b. Courtesy with DOA Division of Accounts

- The office received notice from various departments that payment for prior ethics training was processed and received by DOA yet remain unprocessed. This directive by DOA has affective all payments received in the final quarter of Fiscal Year 2022 with internal estimates projecting around \$54,000 in outstanding payments not processed. A courtesy meeting with the Deputy Financial Manager and DOA Controller is being arranged. If a department shares a copy of the Journal Voucher approved by their department the office honors their document and releases the respective Certificates of Completion accordingly.

c. Recruitment of an Administrative Assistant

- Following the Commission's December meeting, the staff have concluded that the immediate recruitment of an administrative assistant was necessary to support the operational success of the Commission. Concurrence of the Commission is sought to retain a part-time administrative assistant through a limited term appointment not to exceed one (1) year. The office will prepare an update to the Commission if the initial employment period proves sufficient to meet the existing operational gap or whether further recommendations are warranted.

d. Ethics Commissioner Appointment

- After months of work to fill the final vacant seat on the Commission, notice was received that the Governor intends to Ms. Tracy Guerrero, Director of Operations for AK Guam. I had the opportunity to meet with Ms. Guerrero and find that her professional background, particularly her time working in the federal Office of Governmental Accountability will add further the compliment of members currently serving.

e. Invitation for Bid No. GETHC-001-23

- The Commission is approaching the conclusion of a full year with its lease with Prospector Retail Concepts. Ahead of the next lease period, the office has prepared its annual



GUAM ETHICS COMMISSION

Kumisión i Ginihan Areklamenton Guåhan

Invitation for Bid, opening the lease contract from April 2023 – April 2024 to all interested vendors in the Hagåtña and Tamuning areas. The bid will run until February 15, 2023, when the bid opening conference is scheduled. More information will be available and will be shared with the Commission at its February meeting, following the bid opening.

f. Account Balance Summary

BALANCE REMAINING					
Category	2021	2023	Revenue Account	ARPA	TOTAL
Salaries	\$ -	\$ 131,388.00	\$ 34,973.60	\$ -	\$ 166,361.60
Benefits	\$ -	\$ 47,552.42	\$ 10,320.48	\$ -	\$ 57,872.90
Travel	\$ -	\$ 1,878.33	\$ -	\$ -	\$ 1,878.33
Contractual	\$ 76.92	\$ -	\$ 17,115.19	\$ -	\$ 17,192.11
Rent	\$ -	\$ 0.20	\$ -	\$ -	\$ 0.20
Supplies	\$ 55.70	\$ 1,000.00	\$ -	\$ 8,943.75	\$ 9,999.45
Equipment	\$ 19.09	\$ -	\$ 10,750.00	\$ 38.88	\$ 10,807.97
Drug Testing	\$ 40.00	\$ -	\$ -	\$ -	\$ 40.00
Misc.	\$ 1,325.75	\$ 10,227.32	\$ 32,558.92	\$ -	\$ 44,111.99
Telephone	\$ -	\$ -	\$ -	\$ -	\$ -
Subtotal	\$ 1,517.46	\$ 192,046.27	\$ 105,718.19	\$ 8,982.63	\$ 308,264.55

*Funds do not reflect additional \$28,034 collected, but not yet loaded into the revenue fund.

Function: GENERAL GOVERNMENT
Department GUAM ETHICS COMMISSION
Program: COMMISSION OPERATIONS
Acct. No.: 5100A234600GA001

Government of Guam
Fiscal Year 2024
Budget Digest

[BBMR BD-1]

AS400 Account Code	Appropriation Classification	A	B	C	D	E	F	G	H	I	J	K	L
		GENERAL FUND			SPECIAL FUND 1/			FEDERAL MATCH			GRAND TOTAL (ALL FUNDS)		
		FY 2022 Expenditures & Encumbrances	FY 2023 Authorized Level	FY 2024 Governor's Request	FY 2022 Expenditures & Encumbrances	FY 2023 Authorized Level	FY 2024 Governor's Request	FY 2022 Expenditures & Encumbrances	FY 2023 Authorized Level	FY 2024 Governor's Request	FY 2022 Expenditurea & Encumbrances (A + D + G)	FY 2023 Authorized Level (B + E + H)	FY 2024 Governor's Request (C + F + I)
	PERSONNEL SERVICES												
111	Regular Salaries/Increments/Special Pay	144,154	175,820	257,101	0	0	0	0	0	0	144,154	175,820	257,101
112	Overtime:	0	0	0	0	0	0	0	0	0	0	0	0
113	Benefits:	53,080	63,856	114,849	0	0	0	0	0	0	53,080	63,856	114,849
	TOTAL PERSONNEL SERVICES	\$197,234	\$239,676	\$371,950	\$0	\$0	\$0	\$0	\$0	\$0	\$197,234	\$239,676	\$371,950
	OPERATIONS												
220	TRAVEL- Off-Island/Local Mileage Reimbu	0	12,487	12,750	0	0	0	0	0	0	0	12,487	12,750
230	CONTRACTUAL SERVICES:	26,200	30,948	44,956	0	0	0	0	0	0	26,200	30,948	44,956
233	OFFICE SPACE RENTAL:	16,605	65,993	65,993	0	0	0	0	0	0	16,605	65,993	65,993
240	SUPPLIES & MATERIALS:	0	1,000	16,500	0	0	0	0	0	0	0	1,000	16,500
250	EQUIPMENT:	14,453	0	0	0	0	0	0	0	0	14,453	0	0
270	WORKERS COMPENSATION:	0	0	0	0	0	0	0	0	0	0	0	0
271	DRUG TESTING:	0	0	80	0	0	0	0	0	0	0	0	80
280	SUB-RECIPIENT/SUBGRANT:	0	0	0	0	0	0	0	0	0	0	0	0
290	MISCELLANEOUS:	12,527	5,171	27,832	0	0	0	0	0	0	12,527	5,171	27,832
	TOTAL OPERATIONS	\$69,785	\$115,599	\$168,111	\$0	\$0	\$0	\$0	\$0	\$0	\$69,785	\$115,599	\$168,111
	UTILITIES												
361	Power:	0	0	0	0	0	0	0	0	0	0	0	0
362	Water/ Sewer:	0	0	0	0	0	0	0	0	0	0	0	0
363	Telephone/ Toll:	0	0	4,116	0	0	0	0	0	0	0	0	4,116
	TOTAL UTILITIES	\$0	\$0	\$4,116	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$4,116
450	CAPITAL OUTLAY	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
	TOTAL APPROPRIATIONS	\$267,019	\$355,275	\$544,177	\$0	\$0	\$0	\$0	\$0	\$0	\$267,019	\$355,275	\$544,177
	1/ Specify Fund Source(s)												
	FULL TIME EQUIVALENCIES (FTEs)												
	UNCLASSIFIED:	5	5	1	0	0	0	0	0	0	5	5	1
	CLASSIFIED:	0	0	4	0	0	0	0	0	0	0	0	4
	TOTAL FTEs	5.00	5.00	5.00	0.00	0.00	0.00	0.00	0.00	0.00	5.00	5.00	5.00

RESOLUTION No. 2023 – 001

COMMISSIONERS

Marilyn R. Borja

Christopher A. Cruz

Robert S. Jack, MD

Daphne May N. Leon Guerrero

Shannon J. Murphy

Margaret E.R. Tyquiengco

**RELATIVE TO APPROVING THE CREATION OF POSITIONS FOR
ETHICS INVESTIGATION & COMPLIANCE OFFICER I
ETHICS INVESTIGATION & COMPLIANCE OFFICER II
SENIOR ETHICS INVESTIGATION & COMPLIANCE OFFICER
CHIEF ETHICS INVESTIGATION & COMPLIANCE OFFICER**

WHEREAS, the Guam Ethics Commission was established in Chapter 15, Title 4 Guam Code Annotated, primarily to adjudicate complaints filed against government officials for violating the Ethical Code of Conduct; and

WHEREAS, in May 2021, members of the 36th Guam Legislature heard and debated Bill 85-36, relative to affirming the independence of the Guam Ethics Commission. The bill was passed unanimously by the body and was later enacted as Public Law 36-28 by Governor Lou Leon Guerrero; and

WHEREAS, in January 2022, when setting their strategic goals for the year the Commission found that it desired to establish a new series of technical and professional positions in the classified service of the government of Guam to meet its statutory mandates; and

WHEREAS, after a thorough research of like entities across the country, the ethics investigation and compliance officers seemed most aligned with the work performed by the Commission; and

WHEREAS, a review of the CWA 2014 Classification Plan revealed that there is no similar position to the Ethics Investigation and Compliance Officers currently established. These positions are unique and require that candidates maintain a high degree of confidentiality, discretion, and judgment; now therefore be it

RESOLVED, the Commission affirms through majority vote of members present at a publicly announced/open meeting, its adoption of Resolution 2023-001, formally approving the petition to establish the Ethics Investigation & Compliance Officer series; namely: Ethics Investigation & Compliance Officer I, Ethics Investigation & Compliance Officer II, Senior Ethics Investigation & Compliance Officer, and Chief Ethics Investigation & Compliance Officer; and be it further

RESOLVED, the Commission adopts the proposed minimum and maximum range of compensation in accordance with the Hay Methodology set by the Department of Administration as follows:
and be it further

RESOLVED, that Chairperson of the Guam Ethics Commission certify and attest to the adoption hereof, and that copies of same be transmitted to the Honorable Therese M. Terlaje, Speaker / *Mina Trentai-siette Na Liheslaturan Guåhan*, the Honorable Amanda L. Shelton, Senator and Legislative Secretary / *Mina Trentai-siette Na Liheslaturan Guåhan*, and Mr. Edward M. Birn, Director of the Department of Administration as required by 4 GCA §6303(d).

134 W. Soledad Avenue
Suite 406, BOH Building Hagåtña,
GU 96910

Tel: (671) 969-5625

Fax: (671) 969-5626

Email: info@ethics.guam.gov

**PASSED AND ADOPTED BY THE GUAM ETHICS COMMISSION THIS 31st DAY OF
JANUARY 2023**

CHAIRPERSON, GUAM ETHICS COMMISSION



GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan
Government of Guam
134 W. Soledad Ave., BOH Bldg. Ste. 406
Tel: 671-969-5625 | Telefax: 671-969-5626

PETITION

The Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of the job classification standard of position for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

This petition is made pursuant to 4 GCA §6303(d) which authorizes the creation of position in Autonomous Agencies. This petition is also a public document for the purpose of 5 GCA Chapter 10.

For more information, please visit the Guam Ethics Commission website at <https://www.guamethics.com> under Announcements or you may contact the Commission at (671) 969-5625 or email info@ethics.guam.gov.

Si Yu'os Ma'ase!

Jesse John Quenga
Executive Director



GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan
Government of Guam
134 W. Soledad Ave., BOH Bldg. Ste. 406
Tel: 671-969-5625 | Telefax: 671-969-5626

PETITION

CREATION OF POSITIONS

I. REQUEST / AUTHORITY

4 GCA §15301 established the Guam Ethics Commission as an independent and autonomous commission, and §15407(a) authorizes the Commission to employ such persons necessary for the performance of its functions. Pursuant to 4 GCA §6303(d), the Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of a new professional and technical job series for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

II. JUSTIFICATION

The creation of the Ethics Investigation and Compliance Officer position series is for the efficient and effective performance of duties and functions of the Guam Ethics Commission. The Guam Ethics Commission was established to in Chapter 15, Title 4 Guam Code Annotated, primarily to adjudicate complaints filed against government officials for violating the Ethical Code of Conduct. A review of the CWA 2014 Classification Plan revealed that the no similar position to the Ethics Investigation and Compliance Officers are currently established. These positions are unique and require that candidates maintain a high degree of confidentiality, discretion, and judgment.

The Commission does not currently employ any Ethics Investigation & Compliance Officer, thus limiting the commission's ability to establish a clear and concise path and structure for the professional positions within the agency. The creation of the Ethics Investigation and Compliance Officer series from entry level to chief will allow for the proper staffing and workforce planning which will increase competence, productivity, and efficiency. Currently there is no Senior or Chief position in the Organizational Chart which has led the ranking to go from the existing Ethics Program Coordinator straight to Executive Director, resulting in gaps in responsibility and leadership from one level to the other.

III. ANALYSIS OF SIMILARITIES AND DIFFERENCES BETWEEN THE POSITIONS TO BE

CREATED AND POSITIONS LISTED PURSUANT TO 4 GCA § 4101.1(D).

No similar position currently exists within the Government of Guam, this position series is being created specifically for the Guam Ethics Commission.

IV. PROPOSED JOB STANDARD

See attached.

V. COMPENSATION

Pay evaluation was performed by the Personnel Division of the Department of Administration using the hay methodology. Compensation for each corresponding position and Hay score can be found in the supporting documents.

VI. FISCAL NOTE AS REQUIRED BY 2 GCA §9101 et seq.

The Guam Ethics Commission is responsible for the funding availability for these positions and is in compliance with all applicable laws, rules and regulations regarding the creation, filing and retention of positions in certified, technical, and professional positions.

Si Yu'os Ma'ase!



Jesse John Quenga
Executive Director



EDWARD M. BIRN
Director (Direktot)

BERNADINE C. GINES
Deputy Director (Sigundo Direktot)

**DEPARTMENT OF
ADMINISTRATION**
DIPATTAMENTON ATMENESTRASION
HUMAN RESOURCES DIVISION

(Dibision Inadilanto yan Guinaha Para Taotao)
Telephone (Telifon): (671) 475-1288/1154 • Fax (Faks): (671) 477-3671



LOURDES A. LEON GUERRERO
Governor (Maga'håga)

JOSHUA F. TENORIO
Lt. Governor (Sigundo Maga'Idhi)

January 9, 2023

HRD No.: 22-643

MEMORANDUM

TO: Executive Director, Guam Ethics Commission

VIA: Director, Department of Administration

FROM: Personnel Services Administrator,
Human Resources Division

SUBJECT: Request for Hay Evaluation Assistance
RE: Proposed Creation of Ethics Investigation and Compliance Officer Series

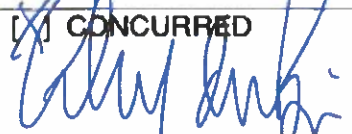
Buenas yan Saluda! This is in response to your request for the Hay Evaluation points and recommended pay grades for your proposed creation of the Ethics Investigation and Compliance Officer position series. We reviewed your proposed position descriptions and recommend the attached draft job standards and hay evaluations for your consideration:

- Ethics Investigation and Compliance Officer I, PG-M (GPP);
- Ethics Investigation and Compliance Officer II, PG-N (GPP);
- Senior Ethics Investigation and Compliance Officer, PG-O (GPP); and
- Chief Ethics Investigation and Compliance Officer, PG-R (GPP).

If you have any questions or concerns, please do not hesitate to contact our Classification and Pay Branch at 671-475-1174/1201/1131. *Si Yu'os Ma'ase!*


SHANE G.L. NGATA

Attachments

<input checked="" type="checkbox"/> CONCURRED

EDWARD M. BIRN, Director Department of Administration
Date: 1/11/23

ETHICS INVESTIGATION AND COMPLIANCE OFFICER I
(Proposed Creation)

NATURE OF WORK IN THIS CLASS:

This is professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class perform moderately complex investigations including ethics education and compliance duties independently after initial training, and work under close supervision on a variety of more complex investigative and developmental assignments.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Assists or participates in the investigation of complaints against public officials, validating information contained in a complaint prior to presentation before the Guam Ethics Commission (GEthC).

Maintains proper control and case management of all records to include ethics complaints.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Participates in workshops and presentations on Ethical conduct to various stakeholders; maintains training records and reports as required.

Prepares timely investigative reports and/or case hearing documents; prepares or coordinates case hearing notices or meetings as appropriate.

Staffs GEthC meetings, hearings, conferences and working sessions as directed.

Assists in the preparation of reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Collects and analyzes statistical data and performs research.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of the principles and practices of modern public administration and personnel management.

Knowledge of investigation and compliance best practices.

Knowledge of bookkeeping principles and compilation of statistics.

Ability to learn, interpret, and apply pertinent laws, regulations, and related guidelines.

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER I
(Proposed Creation)**

Ability to maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

MINIMUM EXPERIENCE AND TRAINING:

One (1) year of investigative or auditing work experience or one (1) year of analytical work which involved gathering, evaluating and analyzing facts required to resolve problems/complaints, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: M (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 2	=	200
	PROBLEM SOLVING:	D 3 33%	=	66
	ACCOUNTABILITY:	D 2 C	=	<u>76</u>
	TOTAL POINTS			342

, Chairperson
Guam Ethics Commission

ETHICS INVESTIGATION AND COMPLIANCE OFFICER II
(Proposed Creation)

NATURE OF WORK IN THIS CLASS:

This is responsible professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class perform complex investigations including ethics education and compliance duties.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Conducts investigations of complaints against public officials, validating information contained in a complaint prior to presentation before the Guam Ethics Commission (GEthC); develops investigative strategy, interviews witnesses, synthesizes testimony and evidence gathered.

Maintains proper control and case management of all records to include ethics complaints.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Conducts workshops and presentations on Ethical conduct to various stakeholders; maintains training records and reports as required.

Prepares timely, thorough, and concise investigative reports; organizes case hearing documents; prepares or coordinates case hearing notices or meetings as appropriate.

Staffs GEthC meetings, hearings, conferences and working sessions as directed.

Participates in the preparation of reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Collects and analyzes statistical data and performs research.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of investigation and compliance best practices.

Knowledge of bookkeeping principles and compilation of statistics.

Knowledge of the principles and practices of modern public administration and personnel management.

**ETHICS INVESTIGATION AND COMPLIANCE OFFICER II
(Proposed Creation)**

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

One (1) year of work experience as an Ethics Investigation and Compliance Officer I or two years of equivalent work experience, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: N (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 2	=	230
	PROBLEM SOLVING:	D 3 33%	=	76
	ACCOUNTABILITY:	D 2 C	=	87
	TOTAL POINTS			393

_____, Chairperson
Guam Ethics Commission

SENIOR ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)

NATURE OF WORK IN THIS CLASS:

This is supervisory professional investigative and compliance work involving cases of official misconduct within the government of Guam.

Employees in this class oversee the full range of ethics investigations, education and compliance duties.

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Supervises investigations of complaints against public officials; reviews allegations, consults and/or makes referrals of cases to management adhering to established Guam Ethics Commission (GEthC) protocol.

Provides consultation and technical assistance to staff; oversees the proper control and case management of all records to include ethics complaints.

Recommends administrative procedures and guidelines to be followed in the development and implementation of projects and activities within the GEthC.

Prepares memorandums and other communications on behalf of the Commission, Executive Director, or Administrator as assigned.

Conducts workshops and presentations on Ethical conduct to various stakeholders.

Reviews, finalizes investigative reports and ensures timely submission; establishes or facilitates case hearing notices or meetings before GEthC as appropriate.

Supervises staff at GEthC meetings, hearings, conferences and working sessions.

Prepares reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Performs research and analyzes statistical data.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of investigation and compliance best practices and trends.

Knowledge of supervisory and management principles and practices.

**SENIOR ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

Knowledge of bookkeeping principles and compilation of statistics.

Knowledge of the principles and practices of modern public administration and personnel management.

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently, exercise sound judgement, and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

Two (2) years of work experience as an Ethics Investigation and Compliance Officer II or four years of equivalent work experience, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License.

ESTABLISHED:

PAYGRADE: O (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	E 1 3	=	264
	PROBLEM SOLVING:	E 3 38%	=	100
	ACCOUNTABILITY:	E 2 C	=	132
	TOTAL POINTS			496

_____, Chairperson
Guam Ethics Commission

**CHIEF ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

NATURE OF WORK IN THIS CLASS:

This position manages the full range of complex professional ethics investigation and compliance work and assists the Executive Director with the overall administration and operations of the Guam Ethics Commission (GEthC).

ILLUSTRATIVE EXAMPLES OF WORK: (These examples do not list all the duties which may be assigned; any one position may not include all the duties listed.)

Advises and assists the Executive Director in executing the Guam Ethics Commission's strategic plan; ensures strategic goals and objectives are met; oversees the preparation of the annual ethics training compliance report plan, associated annual reports, and other annual, multiyear, or related long-range work plans and schedules.

Receives complaints of misconduct against public officials or officers and presides over investigation planning and execution pursuant to established GEthC protocol; oversees and reviews referrals and all investigative and compliance work performed by staff; reviews, edits, and ensures investigative hearing results are effectively communicated and documented in writing.

Oversees GEthC operations including budgeting, staffing, training, and performance management; takes corrective actions to address staff performance issues or concerns; oversees requests for contracted services and other office-related procurement; monitors contracted services and ensures compliance and completion.

Represents the Executive Director and the Guam Ethics Commission at meetings with management, boards, federal and oversight agencies, Legislators, and others; reviews legislative bills and assists the Executive Director in preparing testimonies and attends legislative hearings.

Develops administrative procedures and guidelines to be followed in the implementation of projects and activities within the GEthC; develops and/or communicates Guam Ethics Commission's policies, procedures, and business processes.

Provides technical support at GEthC meetings, hearings, conferences and working sessions.

Reviews or prepares reports required by the Guam Legislature, Office of Public Accountability, and Office of the Governor.

Performs related duties as assigned.

MINIMUM KNOWLEDGE, ABILITIES AND SKILLS:

Knowledge of ethics and compliance laws, regulations, and related guidelines.

Knowledge of government budgeting and procurement methods, processes, and practices.

Knowledge of supervisory and management principles and practices.

Knowledge of investigation and compliance best practices and trends.

**CHIEF ETHICS INVESTIGATION AND COMPLIANCE OFFICER
(Proposed Creation)**

Knowledge of the principles and practices of modern public administration and personnel management.

Ability to apply, interpret, and make decisions in accordance with laws, rules, regulations, policies and other appropriate guidelines.

Ability to work independently, exercise sound judgement, and maintain strict confidentiality.

Ability to work effectively with the public and employees.

Ability to communicate effectively, orally and in writing.

Ability to maintain records and prepare reports.

Skill in analytical and investigatory work.

MINIMUM EXPERIENCE AND TRAINING:

- A. Three (3) years of work experience as a Senior Ethics Investigation and Compliance Officer or ten (10) years of investigative and compliance work or equivalent including three (3) years in a supervisory capacity, and a Master's degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning; or
- B. Four (4) years of work experience as a Senior Ethics Investigation and Compliance Officer or ten (10) years of investigative and compliance work or equivalent including four (4) years in a supervisory capacity, and a Baccalaureate degree in public or business administration, human resources, criminal justice or related fields from a recognized or accredited institution of higher learning.

NECESSARY SPECIAL QUALIFICATIONS:

Must possess and maintain a valid Guam Driver's License and must have completed four (4) procurement modules as mandated by 5GCA § 5141.

ESTABLISHED:

PAYGRADE: R (GPP)

STATUTE (If applicable):

HAY EVALUATION:	KNOW-HOW:	F II 3	= 350
	PROBLEM SOLVING:	E 4 43%	= 152
	ACCOUNTABILITY:	E 2 P	= 200
	TOTAL POINTS		702

_____, Chairperson
Guam Ethics Commission


MEDIA NOTICE FOR CREATION OF POSITIONS FOR THE GUAM ETHICS COMMISSION

Reuben C. Bugarin <Reuben.Bugarin@ethics.guam.gov>

Fri 1/13/2023 4:58 PM

To: publisher@pacificislandtimes.com <publisher@pacificislandtimes.com>;news@kanditnews.com <news@kanditnews.com>;danielle@kanditnews.com <danielle@kanditnews.com>;john@postguam.com <john@postguam.com>;editor@postguam.com <editor@postguam.com>;dmwilliams@guam.gannett.com <dmwilliams@guam.gannett.com>;editorial_coordinator@glimpsesofguam.com <editorial_coordinator@glimpsesofguam.com>;glimpses@glimpsesofguam.com <glimpses@glimpsesofguam.com>;jtitano@guampdn.com <jtitano@guampdn.com>;news@guampdn.com <news@guampdn.com>;reporters@kuam.com <reporters@kuam.com>;joan@kuam.com <joan@kuam.com>;mabuhaynews@yahoo.com <mabuhaynews@yahoo.com>;ceejay@spbgum.com <ceejay@spbgum.com>;news@spbgum.com <news@spbgum.com>;news@sorensenmediagroup.com <news@sorensenmediagroup.com>;paul@spbgum.com <paul@spbgum.com>;newstalk@k57.com <newstalk@k57.com>;raygibsonradio@gmail.com <raygibsonradio@gmail.com>;klitzkie@hotmail.com <klitzkie@hotmail.com>

Cc: Ethics Info <Info@ethics.guam.gov>

 1 attachments (545 KB)

Guam Ethics Commission Petition - Creation of Positions.pdf;

Håfa Adai All:

Please note that this media notice is for the creation of positions for the Guam Ethics Commission.

Best regards,

REUBEN C. BUGARIN

Ethics Program Coordinator

Guam Ethics Commission

Kumisión i Giniban Areklamenton Guåhan

134 W. Soledad Avenue, Suite 406 – BOH Bldg., Hagåtña Guam 96910

Tel: (671) 969-5625

Fax: (671) 969-5626

Website: <http://guamethics.com>

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ABOUT GUAM ETHICS COMMISSION

The Guam Ethics Commission is an independent and autonomous instrumentality within the Government of Guam, whose purpose is to hold officers and employees accountable to the Ethical standards established in Guam law. The Ethics Commission shall prescribe a process for receiving complaints, investigating the facts, conducting hearings, and rendering opinions on whether any violation of the standard of conduct for officials and employees have been violated.

[READ MORE](#)



MISSION STATEMENT

The Guam Ethics Commission's mandate is to uplift the public's confidence in government employees, programs, and operations by ensuring the practice and promotion of the highest standards of ethical behavior in the government of Guam.



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GETHC Citizen Centric Reports

[CITIZEN CENTRIC REPORT.PDF](#)

ANNOUNCEMENTS

CALENDAR OF EVENTS

☐ **February 10, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

☐ **February 24, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

☐ **March 10, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

☐ **March 24, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

☐ **April 14, 2023**

Ethics in Government Training
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☐ **April 28, 2023**

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☐ **May 12, 2023**

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☐ **May 26, 2023**

Ethics in Government Training
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☐ **June 9, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

☐ **June 23, 2023**

Ethics in Government Training
Program Register by clicking [here](#)

January 31, 2023

INVITATION FOR BID (IFB): GETHC-001-23

GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan
Telephone: (671) 969-5625 | Email: info@ethics.guam.gov

INVITATION FOR BID BID NO.: GETHC-001-23 FOR: OFFICE SPACE LEASE

OPENING DATE: FEBRUARY 15, 2023 | TIME: 9:00AM PLACE: ZO Meeting ID: 876 733 0322 | Password: ethics

The bid package will be available at the GETHC located at 134 Soledad Ave. BOH Building Suite 406, Hagåtña GU 96910 commencing on date of advertisement up to the opening date stated above or can be downloaded on the government of Gu Notices Website: www.notices.guam.gov and GETHC's website [here](#).

Prospective bidders register current contact information with GETHC to ensure receipt of all notices regarding any changes updates to the IFB. The procuring agency will not be liable for failure to provide notice to any party who did not register current contact information.

January 24, 2023

Notice of Regular Meeting

GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan

The Guam Ethics Commission regular meeting is to be conducted on Tuesday, January 31, 2023 at 12:30 p.m. at the GETHC conference room

Suite 406 – 4th Floor Bank of Hawaii Building in Hagåtña and Online Via Zoom.

*Meeting ID: **876 733 0322** Passcode: **ethics***

The meeting will also be livestreamed on YouTube via: <https://www.youtube.com/channel/UCKnPm89nLvVK0d0kx0m>

AGENDA

I. Call to Order / Roll Call of Members

II. Approval of Minutes

i. December 16, 2022 - Meeting

III. Executive Director's Report

IV. Old Business

i. Review and Approve FY 2024 Budget Request

V. New Business

- A. Approval of Ethics Investigation & Compliance Officer Series Positions
- B. Executive Director & Commission Staff Annual Performance Evaluation and Pay Adjustment
- C. Election of Commission Officers

VI. Closed Proceedings - 4 GCA 15 515401

ETH-22-021-CI-203	ETH-22-201-COI-204
ETH-22-011-UT-203	ETH-22-002-UT-201
ETH-22-019-CI-202	ETH-22-001-UT-201

VII. Announcements

VIII. Adjournment

For special accommodations or other assistance, please call
Guam Ethics Commission at (671) 969-5625.
This ad was paid for with Guam Ethics Commission funds

January 13, 2023

Petition

The Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of the classification standard of position for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

This petition is made pursuant to 4 GCA 56303(d) which authorizes the creation of position in Autonomous Agencies. This petition is also a public document for the purpose of 5 GCA Chapter 10.

For more information, you may contact the Guam Ethics Commission at (671) 969- 5625 or email info@ethics.guam.gu

[Download Guam Ethics Commission Petition - Creation of Posi](#)

December 16, 2022

Notice of Regular Meeting

GUAM ETHICS COMMISSION
Kumisión i Ginihan Areklamenton Guåhan



PETITION

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PETITION

Announcement

Posted on: 01/13/2023 05:00 PM

Posted by: Jesse Quenga, Executive Director/ Pam Mabazza, Ethics Program Coordinator

Department(s): [GUAM ETHICS COMMISSION](#)

Division(s): [GUAM ETHICS COMMISSION](#)

Notice Topic(s): [GENERAL ANNOUNCEMENT](#)

For Audience(s): [PUBLIC](#)

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PETITION

The Executive Director of the Guam Ethics Commission hereby petitions the Guam Ethics Commission for the creation of the job classification standard of position for the following:

Ethics Investigation and Compliance Officer I
Ethics Investigation and Compliance Officer II
Senior Ethics Investigation and Compliance Officer
Chief Ethics Investigation and Compliance Officer

This petition is made pursuant to 4 GCA §6303(d) which authorizes the creation of position in Autonomous Agencies. This petition is also a public document for the purpose of 5 GCA Chapter 10. You may view the petition [here](#).

For more information, you may contact the Guam Ethics Commission at (671) 969- 5625 or email info@ethics.guam.gov.

Guam Ethics Commission Executive Director Evaluation Form

Name: Jesse John Quenga	Position / Title: Executive Director
Reviewer: Commissioners	Date of Review: 01/31/23

EVALUATION RATINGS:

1. Does Not Meet 2. Needs Improvement 3. Meets Expectations 4. Above Expectations
5. Exceptional

PERFORMANCE RATING	DEFINITION
Exceptional:	Performance is extraordinary and consistently displays exceptional accomplishments. Results reflected substantially exceed normal position expectations and requirements.
Above Expectations:	Performance is more than satisfactory. Results achieved frequently exceeds basic position requirements and expectations
Meets Expectations:	Performance results are satisfactory. Consistently meets normal position requirements and occasionally exceeds the requirements of the position.
Needs Improvement:	Occasionally meets some of the position requirements, but improvement is needed in one or more phases of the position. Results are less than what is normally expected in meeting minimum position requirements.
Does Not Meet	Performance does not meet expectations or standards. Performance deficiencies indicate cause for critical concern and consideration of an improvement plan be prepared and implemented accordingly.

Document the Executive Director's position evaluation and select a rating of 1-5 factors listed above.

Discuss any other factors that relate to the Executive Director's position evaluation, such as significant accomplishments, critical incidents, or necessary improvements, etc.

GUAM ETHICS COMMISSION Executive Director Evaluation Form

Section I. Status of Achievements

List the key goals and the extent to which each have been achieved.

GOALS	STATUS
Establish a procedure for the Commission to receive and adjudicate complaints against public officials in accordance with 4 GCA Ch. 15	Successfully issued and awarded two professional contracts which provided the Commission with a general counsel and prosecutor for the adjudication of cases presented before it. In March 2022, the process for receiving complaints officially launched with nearly 40 cases filed before the end of the calendar year 2022. The Commission brought closure to over two dozen cases before years end.
Secure adequate and proper resources for the Commission to conduct hearings on potential violations of the standard of conduct provided in 4 GCA Chapter 15.	Obtained a 33% increase in local appropriation from the general fund to the Commission. Further, legislative authorization was secured for the second year in a row for the Commission to utilize available funds in the Government Ethics Special Fund. This authorization helps the Commission satisfy any unmet need experienced from the lack of general appropriation funding.
Promulgate administrative rules that details the specific mandates of the Commission and the process for how complaints move through the Commission procedurally.	Successfully prepared and filed the draft administrative rules as approved by the Commission. To support the development of the rules, an enterprise-wide study was performed which gave insight on employee attitudes towards mandatory ethics training and the disciplinary actions supported against officials who fail to adhere to the mandate. The rules are now with the Office of the Governor and Office of the Attorney General for their review and action.

Conduct Ethics in Government Program workshops for all government of Guam employees and ensure every government entity's compliance with the Ethics Training Compliance Report provided in 4 GCA Chapter 15.	Conducted a total of forty-five (45) workshops training a total of 2,613 employees in the government of Guam. This is a substantial increase compared to the previous year. With this new figure setting the baseline level of accomplishment, it remains well positioned to meet the statutory deadline for all employees to obtain ethics training by 2024. In October, an online learning platform was launched under the Commission's website. This is an expansion for the delivery of ethics training which further supports the Commission's goal to have every employee attend an ethics training. Lastly, for the second year in a row the Commission is reporting 100% compliance with the Ethics Training Compliance Report due from every government entity to the Commission.
Perform a position study to determine what is the workforce capacity necessary for the Commission to fulfill the mandates of 4 GCA Ch. 15.	The study has been completed with the draft organizational chart included in the Commission's FY2024 budget request. Pay evaluation pending DOA's response.

Section II. Performance Measures

Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Leadership							
1.1 The Executive Director has shown clear vision in correctly anticipating, opportunities and priorities affecting the commission's operations.	5	5	4	4	5	4.6	
1.2 The Executive Director has clearly translated his/her vision and strategy into feasible operational plans to achieve success for the commission.	5	4	5	4	5	4.6	
1.3 The Executive Director has accurately communicated his/her concept, vision and mission, strategies, goals and directions for the organization to stakeholders.	4	4	5	4	5	4.4	
1.4 The Executive Director has motivated and encouraged high employee morale and loyalty to the GETHC, and facilitated team-building and cohesiveness among the GETHC employees.	4	5	5	4	5	4.6	
1.5 The Executive Director has performed as a role model for the GETHC, maintained a working style which is open to constructive suggestions, and exercised effective leadership for the GETHC.	4	5	5	5	5	4.8	
1.6 The Executive Director has been an initiator, setting high working standards and pursuing goals with a high level of personal drive and energy.	5	4	5	4	5	4.6	
Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Strategy formulation							
2.1 The Executive Director has developed clear mission statements, policies and strategic plans that harmoniously balance the needs of the employees, and other stakeholders.	4	4	5	4	5	4.4	
2.2 The Executive Director has accurately identified and analyzed problems and issues confronting the commission.	4	4	4	4	5	4.2	
2.3 The Executive Director has accurately determined and assessed key success factors for the GETHC.	4	4	4	4	5	4.2	
2.4 The Executive Director has ensured that commission members, and employees had participated in the formulation of strategic plans so that they have ownership of the plans.	5	5	4	4	5	4.6	
2.5 The Executive Director has assured that GETHC resources and budgets are aligned to the implementation of the Commission.	5	5	5	4	5	4.8	
2.6 The Executive Director has established processes that monitor and control, thus ensuring that the effectiveness of the GETHC, including risk management, is achieved.	5	4	5	4	5	4.6	
Strategy execution							

3.1 The Executive Director has established an effective organization, ensuring that there is management focus on key functions necessary for the GETHC to align with its mission.	4	4	5	4	5	4.4	
3.2 The Executive Director organized and delegated work accurately and refers functions to others in a professional manner.	5	4	5	4	5	4.6	
3.3 The Executive Director makes sound decisions and timely adjustments when conditions demanded such changes.	5	4	5	4	5	4.6	
3.4 The Executive Director has timely and effectively executed priorities set by the Commissioners.	5	5	5	4	5	4.8	
3.5 The Executive Director has accurately supervised performance monitoring and control to ensure accountability at all levels of the organization.	5	4	5	4	5	4.6	
3.6 The Executive Director has ensured that the GETHC complies with requirements from all pertinent laws and regulations.	4	4	5	4	5	4.4	
Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Financial planning/performance							
4.1 The Executive Director possesses a good understanding of the GETHC's financials.	5	5	5	4	5	4.8	
4.2 The Executive Director has exercised good judgment in managing the financial affairs and budget of the GETHC.	5	5	5	4	5	4.8	
4.3 The Executive Director has established sound practices and procedures for up-to-date accurate accounting and financial planning.	5	4	5	4	5	4.6	
4.4 The Executive Director has effectively monitored and evaluated financial planning, budget and administrative operations, and reports the results to the GETHC.	5	4	5	4	5	4.6	
4.5 The Executive Director has achieved the GETHC's budgetary goals .	5	5	5	4	5	4.8	
4.6 The Executive Director has ensured that the GETHC's accounts are of such professional quality that they have received a "clean" financial audit.	4	4	5	4	5	4.4	
Relationship with the Board							
5.1 The Executive Director has built strong working relationships with the board members and helped strengthen the board, and thus has worked closely and cooperatively with the board in developing the mission, and short, medium and long-term strategic plans.	4	5	5	5	5	4.8	
5.2 The Executive Director has demonstrated a sound knowledge of board governance procedures and has consistently followed them.	5	4	5	4	5	4.6	
5.3 The Executive Director has prepared for the board by developing sufficient and appropriate agendas with adequate discussion time and providing accompanying information with all relevant aspects and conditions well in advance of the meeting.	5	4	5	5	5	4.8	
5.4 The Executive Director has presented information to the board on items requiring board opinions and decisions in a professional manner, with recommendations based on thorough study and sound principles.	5	5	5	5	5	5	
5.5 The Executive Director has been readily available to individual board members whenever necessary, as well as supported the board in its governance duties by providing necessary resources and other facilities.	5	5	5	5	5	5	
Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Relationship with the Board							

5.6 The Executive Director has encouraged board training and development, as well as board roles in the community and as advocates for the commission.	4	5	4	4	5	4.4	
External Relations							
6.1 The Executive Director has served as an effective GETHC representative in communicating with stakeholders, including community groups and organizations.	4	4	4	5	5	4.4	
6.2 The Executive Director has effectively communicated the GETHC's financial performance to the Legislature.	4	4	5	4	5	4.4	
6.3 The Executive Director has professionally handled public relations issues in a manner that builds good will for the GETHC and lessens concerns from the general public.	5	4	5	5	5	4.8	
6.4 The Executive Director has encouraged a positive image of the GETHC, as well as creating awareness of available services to the general public.	5	4	4	5	5	4.6	
6.5 The Executive Director has assured that the GETHC maintains positive relationships in the community and cultivates good working relationships with community groups and organizations.	5	4	4	4	5	4.4	
Human Resources Management/Relations							
7.1 The Executive Director has created and maintained an organizational culture and climate which attracts, keeps and motivates staff to carry out the GETHC mission, direction and goals.	4	4	5	4	5	4.4	
7.2 The Executive Director has empowered staff members appropriate levels of freedom and authority, as well as effectively solicited and fostered support for initiative and creativity within the GETHC.	4	4	5	4	5	4.4	
7.3 The Executive Director has developed and executed sound personnel procedures and practices, including appraisal process and rewarding systems for employees, resulting in working towards the same goals.	5	4	5	4	5	4.6	
Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Human Resources Management/Relations							
7.4 The Executive Director has supported personnel development and education, encouraged appropriate personnel to participate in planning and decision-making and provided opportunities to employees to work in professional fields which they are good at for the benefit of the GETHC.	5	4	5	4	5	4.6	
7.5 The Executive Director has built a highly competent team with the skills, energy and passion to turn the GETHC's mission and vision into a reality.	5	4	4	4	5	4.4	
7.6 The Executive Director has ensured that the GETHC has good internal communication and treated all personnel fairly, without favoritism or discrimination.	4	4	5	4	5	4.4	
Service Knowledge							
8.1 The Executive Director has demonstrated a thorough knowledge and understanding about key aspects of the GETHC.	5	5	4	5	5	4.8	
8.2 The Executive Director has a good understanding of the GETHC's allocation of its resources.	5	5	5	5	5	5	
Personal Qualities							
9.1 The Executive Director has attained an image that reflects positively on the GETHC, as well as demonstrated a personality, outlook and attitude that wins trust and support from all stakeholders.	5	4	5	5	5	4.8	
9.2 The Executive Director has shown sensitivity to and respect for others and exhibits concern for subordinates as individuals.	5	5	5	5	5	5	

9.3 The Executive Director has exercised good judgment in dealing with sensitive issues between people and between groups.	5	5	5	5	5	5	
Evaluation Criterion	Scores						Comments/Suggestions
	CC	DLG	MT	MB	RJ	TOTAL	
Personal Qualities							
10.1 The Executive Director has shown skills at analyzing and addressing problems, challenges and conflicts, and has been comfortable with ambiguity and complexity.	4	4	5	4	5	4.4	
10.2 The Executive Director has maintained a high standard of ethics and integrity, as well as a healthy balance of time management and priorities in both work-related and personal matters.	5	4	5	5	5	4.8	
10.3 The Executive Director has consistently sharpened his/her skills in the areas required for development of his or her potential.	4	4	4	5	5	4.4	

221.2 4.5 / 5.0 AVG. SCORE

Section III. Development Needs

What are the Executive Director's major strengths that should be maintained?

- Great organization skills, strong leadership and sets the right example for staff, commissioners, and peers in the government.
- Takes full advantage of resources (industry trends, online resources, statute, etc.) in meeting organizational goals.
- Detailed and mission-driven, outstanding quality and quantity of work produced.
- Jesse has strong communication skills and gives more than adequate notice on upcoming activities and meetings.
- Jesse has a great aptitude for navigating the challenges he faced in getting the commission up and running. He is proactive and takes initiative. He also knows when to be firm and stand his ground. If he is unsure of how to approach a situation, he seeks guidance from others.
- Jesse has a solid understanding of the GETHC's budget as well as Gov Guam's procurement practices. He is adept at navigating these areas.
- Communication – Jesse has great communication skills – both internally and externally.
- The Commission is regularly updated never missing a beat and its apparent within his team as well as externally amongst stakeholders. Clear, concise, and continuous communication has been consistent with Jesse and definitely one of his strengths.
- Leadership – Jesse has great leadership qualities that has gained him respect amongst the Commissioners, External Stakeholders and internally with his team. This type of leadership is required to maintain and grow the Ethics Commission as well as the trust of the people of Guam.
- Positive Attitude – Jesse continuously displays positivity in an environment that requires nothing less for both the team and any constituent(s)
- His knowledge and passion for the commission and the people of Guam
- His knowledge and relationships with the players and agencies within Gov Guam.
- His gentle strength when approaching difficult or challenging situations with people and the environment of government.
- Exceptional job knowledge, including procedural requirements of the Commission.
- Show incredible initiative to anticipate issues, identify and implement appropriate solutions.
- Great communicator with excellent interpersonal skills.

What should be the areas for the Executive Director's personal development for the coming year?

- Keep up with procurement training/best practices, laws, etc.
- Attend and engage with COGEL.
- Continue to build relationships with other government agencies to ensure quality delivery of government services.
- Not really personal development, but a key priority is filling the remaining Commissioner spot. I feel that we cannot be as effective as we should be because we are having difficulty making quorum.
- Attending the 2023 Government Ethics Conference. I believe this would be beneficial for our ED.
- Coaching & Mentoring among the team (People Development)
- Strategic Planning (Long Term Planning)
- Operational Enhancements Public outreach
- Attend COGEL and build relationships within the field
- Create a "this is what we do" "this is what we don't do". Improve interview skills with public filing complaints for additional details needed to make effective review of Complaints and faster communication and turn around to the filer of the complaint.
- I would like to see Mr. Quenga impart his knowledge and work ethic to other Executive Directors, particularly in government service.



GUAM ETHICS COMMISSION
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ETH-22-201-COI-204	ETH-22-002-UT-201	ETH-22-001-UT-201