

# OFFICE OF ETHICS AND ACCOUNTABILITY - 104

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## MISSION AND SERVICES

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**Mission** - The Office of Ethics and Accountability (OEA) enforces the Prince George's County Code of Ethics in order to ensure the ethical conduct of individuals who serve in County Government.

**Core Services** -

- Administer public ethics laws
- Provide ethics training and advice to County employees
- Review financial disclosure and lobbying records
- Investigate alleged ethical violations
- Provide administrative support to the County's Board of Ethics

**Strategic Focus in FY 2017** -

The agency's top priority in FY 2017 is:

- Sustain and effectively administer the County's electronic filing/case management system, newly implemented in April 2015, that allows Prince Georgians, County government employees and elected/appointed officials 24/7/365 access to online filing of complaints and required financial disclosure statements and lobbyist registrations/annual reports.

## FY 2017 BUDGET SUMMARY

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The FY 2017 approved budget for the Office of Ethics and Accountability is \$596,800, an increase of \$24,800 or 4.3% over the FY 2016 approved budget.

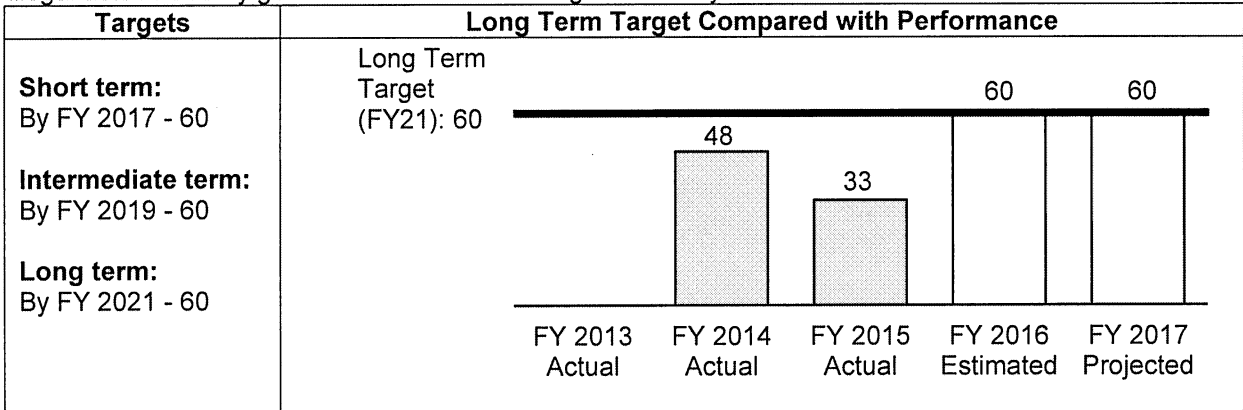
**Budgetary Changes** -

<b>FY 2016 APPROVED BUDGET</b>	<b>\$572,000</b>
Increase in operating expenses primarily to support the license renewal fee for the case management/e-filing system	\$15,200
Increase in compensation to support FY 2017 salary requirements	\$8,600
Increase in fringe benefits due to a change in compensation offset by a decrease in the fringe rate from 27.7% to 27.4%	\$1,000
<b>FY 2017 APPROVED BUDGET</b>	<b>\$596,800</b>

**SERVICE DELIVERY PLAN AND PERFORMANCE**

**GOAL 1** - To provide comprehensive intake, processing, investigation, management and adjudication of allegations of waste, fraud, abuse and illegal acts in County government.

**Objective 1.1** - Ensure OEA's average length of time to resolve investigations of waste, fraud, abuse and illegal acts in County government is within its targeted 60-days.



**Trend and Analysis -**

Since its inception in October of 2013, the OEA has observed an upward trend with the volume of county-wide complaints (ethics violations or fraud, waste, abuse and illegal acts) and ethics advice requests filed to the office. There has been a direct correlation to the increase in the number of investigations conducted. Comparatively speaking, by first quarter-end of FY 2016 the number of cases received was greater than the number noted for the same period in FY 2015. OEA attributes this trend to its efforts made to alert Prince George's County staff, officials, stakeholders and other constituent bases of its presence, purpose and available resources; in addition to the continuous education provided on the prohibited conducts and interests identified within the Ethics Code.

**Performance Measures -**

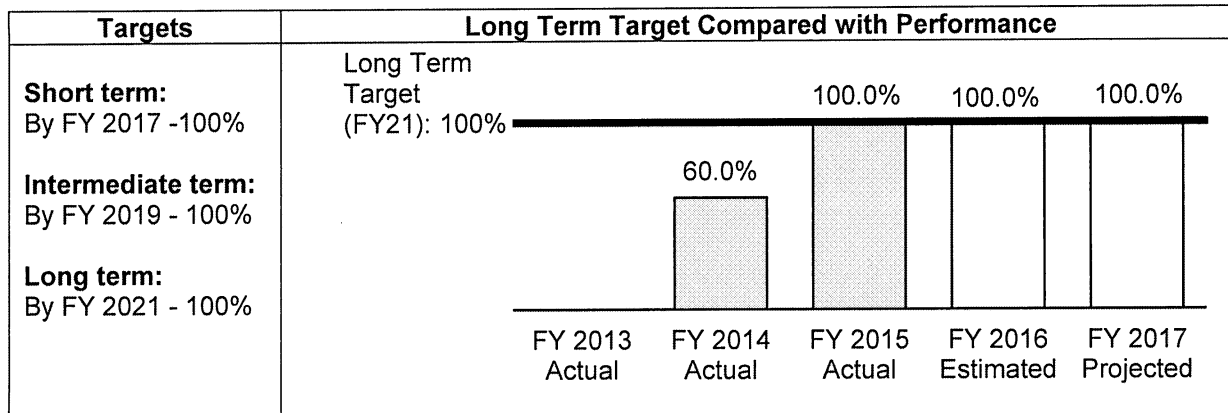
Measure Name	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimated	FY 2017 Projected
<b>Resources (input)</b>					
Number of staff		4	4.5	4.5	4.5
Number of supplemental IT resources		1	1	1	1
<b>Workload, Demand and Production (output)</b>					
Number of complaints, issues, concerns or inquiries received/reported		73	202	300	300
Number of ethics violations referred to the Board of Ethics		3	2	2	2
Number of cases investigated by OEA		41	44	62	62
Number of cases referred to an outside agency		30	69	89	89
<b>Efficiency</b>					
Average number of days a case stays open		48	33	60	60
<b>Quality</b>					
Number of substantiated allegations of fraud, waste, abuse, and illegal acts		7	6	4	7
<b>Impact (outcome)</b>					
Average number of days to close-out a case		48	33	60	60

**Strategies to Accomplish the Objective -**

- **Strategy 1.1.1** - Effective and efficient administration of case management software to administer the intake, processing and investigation of alleged ethical violations
- **Strategy 1.1.2** - Develop and codify standard operating procedures and privacy controls for the conduct of ethics investigations
- **Strategy 1.1.3** - Facilitate and sustain at least five Board of Ethics meetings annually in accordance with the ethics code
- **Strategy 1.1.4** - Sustain efficient operation of an electronic portal to administer the agency's core services as well as share and protect confidential information with the Board of Ethics.
- **Strategy 1.1.5** - Provide training and continuing education for board members on current legal precedents and interpretations of County and State ethics law

**GOAL 2** - To promote disclosure of the outside business and monetary interests of County government employees/officials and real-time notice of lobbying activity directed towards County government.

**Objective 2.1** - Sustain a 100% rate of designated County government employees and officials compliant with filing their financial disclosure statements (FDS) completely and accurately.



## **OFFICE OF ETHICS AND ACCOUNTABILITY - 104 GENERAL FUND**

### **Trend and Analysis -**

As part of its support provided to the County's Board of Ethics, OEA is tasked to ensure all designated staff, appointed/elected officials and boards and commission personnel are compliant with filing their annual financial disclosure statement by April 30; as per the Ethics Code. However, in light of the fact the new e-Filing system was implemented in April 2015, the Board of Ethics extended the FY 2015 filing period to June 15th. OEA reports a successful collection rate of 100% for the total 932 filings processed in FY 2015.

OEA is also tasked to ensure entities or persons identified as interfacing with County government in an attempt to influence its resources are compliant with completing their lobbyist registration and certification for being legitimately hired by the firm or entity they have claimed to represent; as per the Ethics Code. OEA also ensures active lobbyists meet the annual requirement to re-register as well as submit a report of their activity engaged in during the period January 1 through December 31, by January 31 of the following year. OEA processed 35 registrations in FY 2015 which was also accomplished via use of the e-filing system.

OEA has made tremendous strides with the continuous development and phased implementation of its ethics training program. Training is conducted on a consistent basis throughout the year. OEA has also worked strategically to identify additional training opportunities within County government via the Office of Human Resources Management New Employee Orientation Program along with providing training to various agencies upon request.

### **Performance Measures -**

Measure Name	FY 2013 Actual	FY 2014 Actual	FY 2015 Actual	FY 2016 Estimated	FY 2017 Projected
<b>Resources (input)</b>					
Number of staff		4	4.5	4.5	4.5
<b>Workload, Demand and Production (output)</b>					
Number of financial disclosure statements processed		844	932	932	932
Number of financial disclosure statements filed properly		506	932	932	932
Number of financial disclosure statement waivers processed		3	2	3	3
Number of financial disclosure statement waivers granted		2	1	2	1
Number of lobbyist registrations processed		45	35	54	40
Number of lobbyist registrations submitted properly		45	35	54	40
<b>Efficiency</b>					
Number of financial disclosure statements filed on-time		826	831	932	932
<b>Quality</b>					
Number of financial disclosure statements requiring additional audit or analysis		338	0	0	0
<b>Impact (outcome)</b>					
Percent of financial disclosure statements filed properly		60.0%	100.0%	100.0%	100.0%

### **Strategies to Accomplish the Objective -**

- **Strategy 2.1.1** - Manage an electronic portal (with strong data standards and documentation submission requirements) for the filing of financial disclosure statements
- **Strategy 2.1.2** - Ensure criteria for evaluating the completeness and accuracy of financial disclosure filings are built into the electronic portal
- **Strategy 2.1.3** - Phase in release of the e-learning tool developed for informing County government employees/officials of their ethical responsibilities via dissemination of targeted educational materials, training curricula and/or marketing/outreach strategies

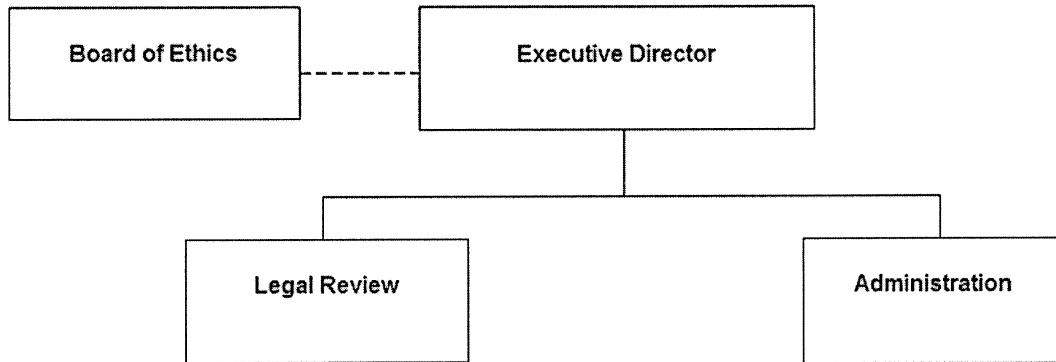
**FY 2016 KEY ACCOMPLISHMENTS**

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- Implemented a comprehensive case management system to more efficiently and accurately perform its service of investigating alleged violations of the Ethics Code and reports of fraud, abuse and illegal acts.
- Implemented an e-filing system to replace the current, paper-based process for filing financial disclosure statements and lobbyist forms with the Office of Ethics and Accountability.
- Initiated development of e-learning to supplement the countywide ethics training program established in 2015 for its employees, officials, appointees and lobbyists. The program's principal objective is the incremental implementation of a systemic approach towards ethics education.
- Conducted over 30 countywide ethics training for employees and elected and appointed officials.

**ORGANIZATIONAL CHART**

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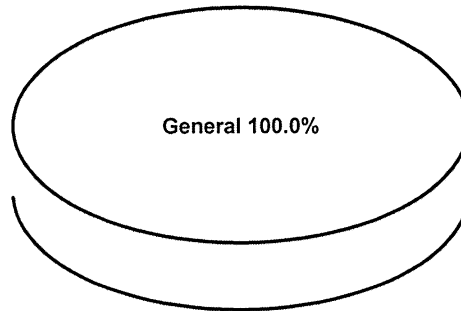


**FUNDS SUMMARY**

	FY2015 ACTUAL	FY2016 BUDGET	FY2016 ESTIMATED	FY2017 APPROVED	CHANGE FY16-FY17
<b>TOTAL EXPENDITURES</b>	\$ 537,021	\$ 572,000	\$ 572,000	\$ 596,800	4.3%
<b>EXPENDITURE DETAIL</b>					
Administration	537,021	572,000	572,000	596,800	4.3%
Recoveries	0	0	0	0	0%
<b>TOTAL</b>	<b>\$ 537,021</b>	<b>\$ 572,000</b>	<b>\$ 572,000</b>	<b>\$ 596,800</b>	<b>4.3%</b>
<b>SOURCES OF FUNDS</b>					
General Fund	\$ 537,021	\$ 572,000	\$ 572,000	\$ 596,800	4.3%
Other County Operating Funds:					
<b>TOTAL</b>	<b>\$ 537,021</b>	<b>\$ 572,000</b>	<b>\$ 572,000</b>	<b>\$ 596,800</b>	<b>4.3%</b>

**FY2017 SOURCES OF FUNDS**

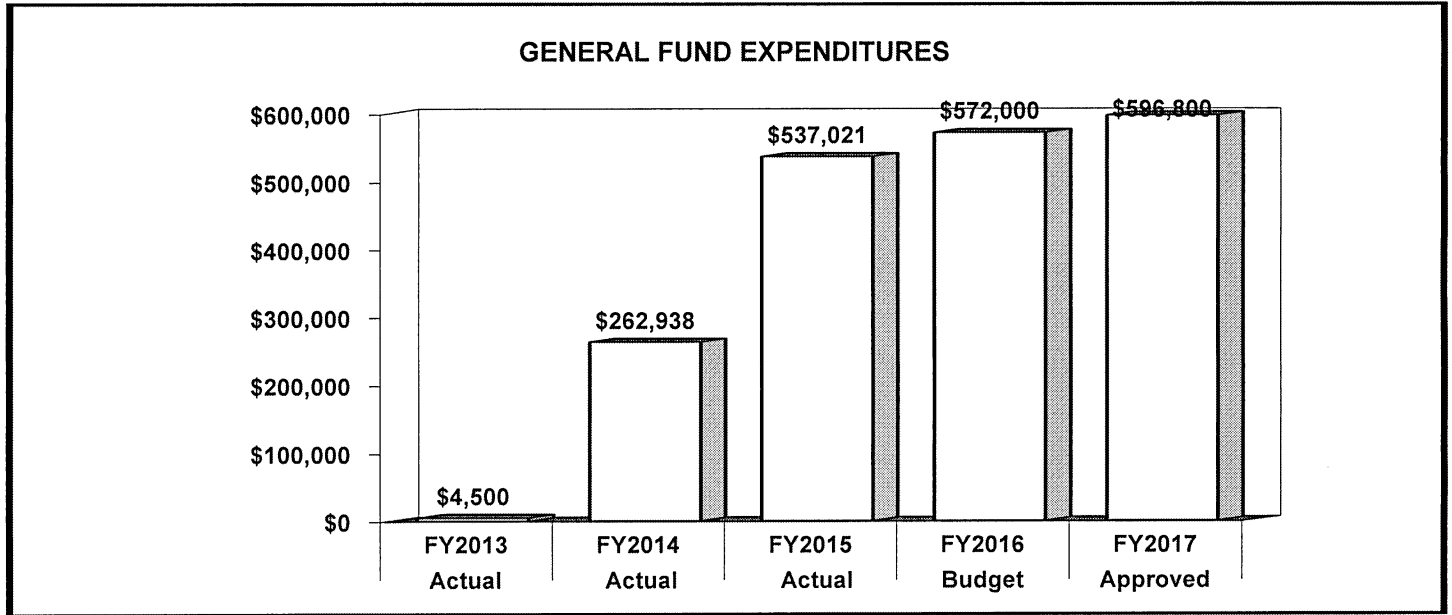
This agency's funding is derived solely from the County's General Fund.



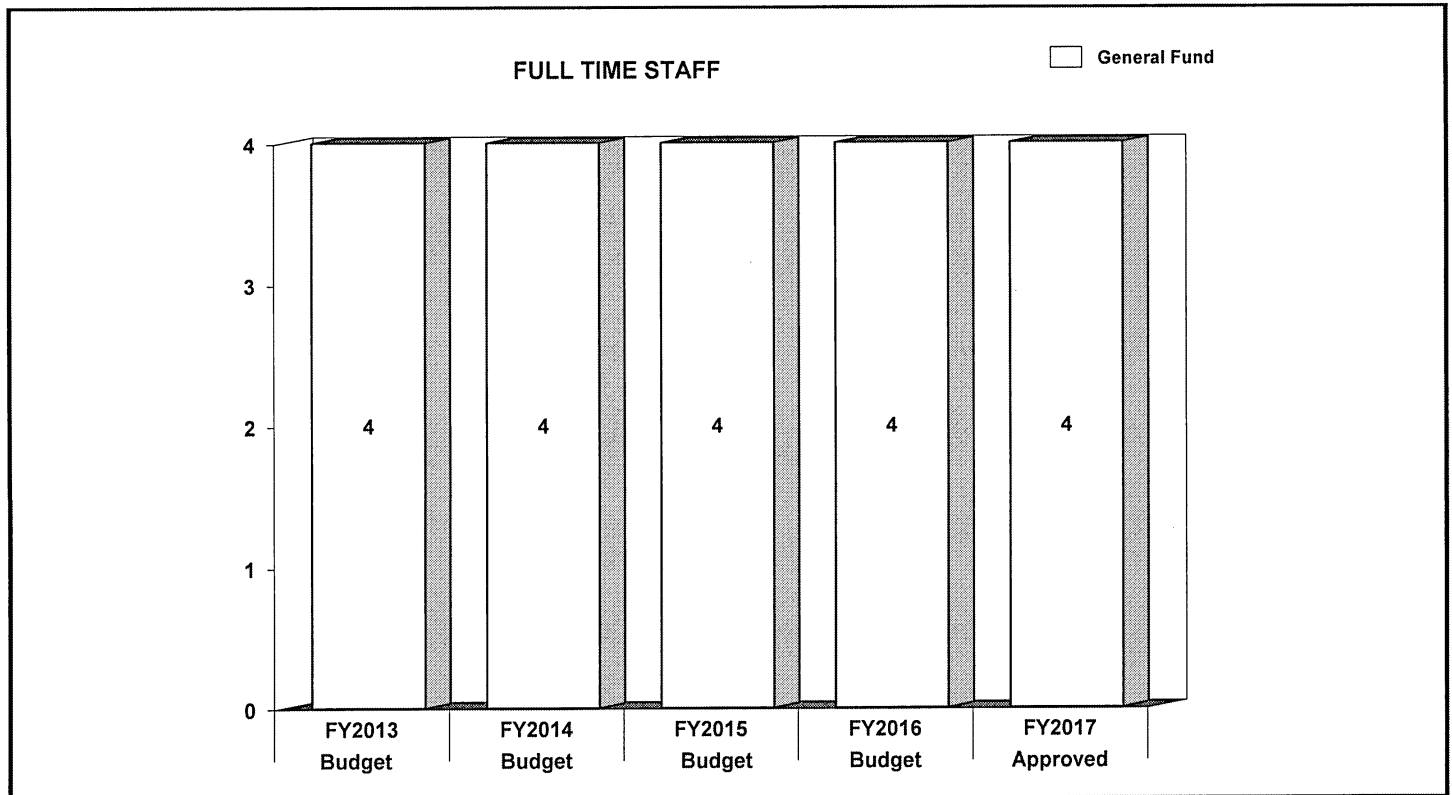
STAFF SUMMARY

	FY2015 BUDGET	FY2016 BUDGET	FY2017 APPROVED	CHANGE FY16-FY17
<b>GENERAL FUND STAFF</b>				
Full Time - Civilian	4	4	4	0
Full Time - Sworn	0	0	0	0
Part Time	1	1	1	0
Limited Term	0	0	0	0
<b>OTHER STAFF</b>				
Full Time - Civilian				
Full Time - Sworn				
Part Time				
Limited Term Grant Funded				
<b>TOTAL</b>				
Full Time - Civilian	4	4	4	0
Full Time - Sworn	0	0	0	0
Part Time	1	1	1	0
Limited Term	0	0	0	0

POSITIONS BY CATEGORY	FULL TIME	PART TIME	LIMITED TERM
Administrative Aide	1	0	0
Executive Director	1	0	0
Investigator	0	1	0
Attorney	1	0	0
Administrative Specialist	1	0	0
<b>TOTAL</b>	<b>4</b>	<b>1</b>	<b>0</b>



The agency's expenditures increased by 11,833.8% from FY 2013 to FY 2015 to reflect the full set-up of personnel and office structure. The FY 2017 approved budget is 4.3% over the FY 2016 budget. The increase is primarily driven by an increase in operating expenses for IT-related needs.



The agency's staffing complement remained unchanged from FY 2013 to FY 2016. The agency's full-time staffing complement remains the same from FY 2016 to FY 2017.



**OFFICE OF ETHICS AND ACCOUNTABILITY - 04**

**GENERAL FUND**

	FY2015 ACTUAL	FY2016 BUDGET	FY2016 ESTIMATED	FY2017 APPROVED	CHANGE FY16-FY17
<b>EXPENDITURE SUMMARY</b>					
Compensation	\$ 393,885	\$ 420,500	\$ 420,500	\$ 429,100	2%
Fringe Benefits	107,980	116,500	116,500	117,500	0.9%
Operating Expenses	35,156	35,000	35,000	50,200	43.4%
Capital Outlay	0	0	0	0	0%
	<b>\$ 537,021</b>	<b>\$ 572,000</b>	<b>\$ 572,000</b>	<b>\$ 596,800</b>	<b>4.3%</b>
Recoveries	0	0	0	0	0%
<b>TOTAL</b>	<b>\$ 537,021</b>	<b>\$ 572,000</b>	<b>\$ 572,000</b>	<b>\$ 596,800</b>	<b>4.3%</b>
<b>STAFF</b>					
Full Time - Civilian	-	4	-	4	0%
Full Time - Sworn	-	0	-	0	0%
Part Time	-	1	-	1	0%
Limited Term	-	0	-	0	0%

In FY 2017, compensation expenditures increase by 2.0% over the FY 2016 budget to reflect the salary requirements of the current complement. Fringe benefits increase 0.9% over the FY 2016 budget due to changes to compensation.

Operating expenditures increase 43.4% to support license renewal fees required to maintain the case management/e-filing system. These fees were previously funded in OIT.

MAJOR OPERATING EXPENDITURES FY2017	
General and Administrative	\$ 29,200
Contracts	
Operating and Office Supplies	\$ 5,000
Vehicle and Heavy Equip Main.	\$ 4,500
Office Automation	\$ 4,100
Training	\$ 2,200

