

OFFICE OF ETHICS AND ACCOUNTABILITY - 104

MISSION AND SERVICES

Mission - The Office of Ethics and Accountability 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 and fraud, waste, abuse and illegal acts allegations
- Provide administrative support to the County's Board of Ethics
- Provide analysis, reporting and recommendations to Executive and Legislative branches

Strategic Focus in FY 2018 -

The agency's top priority in FY 2018 is:

- Efficiently investigate all complaints in accordance with applicable laws to ensure timely responses, analysis, reporting and recommendations to management.
- Continue to sustain and effectively administer the County's electronic filing/case management system 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 2018 BUDGET SUMMARY

The FY 2018 approved budget for the Office of Ethics and Accountability is \$749,200, an increase of \$152,400 or 25.5% over the FY 2017 approved budget.

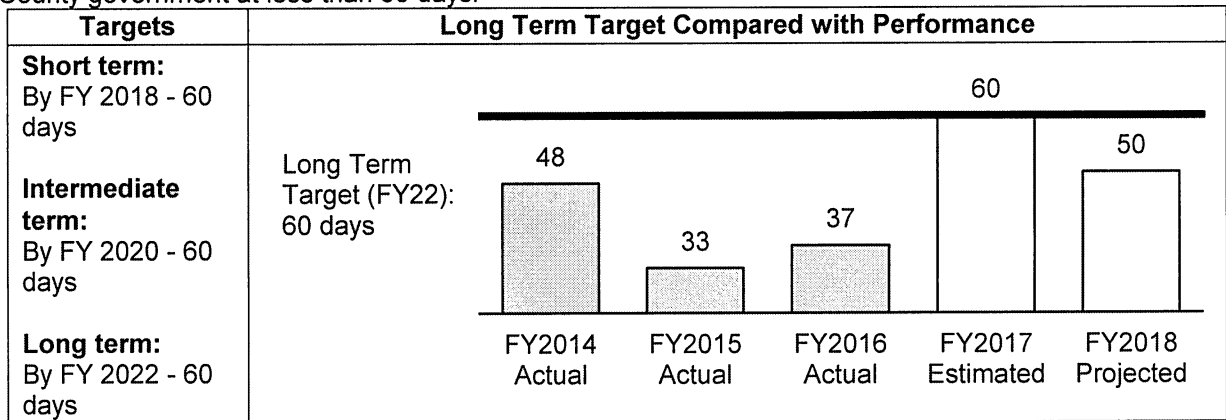
Budgetary Changes -

FY 2017 APPROVED BUDGET	\$596,800
Add: Compensation - New Position - Creation of a Quality Assurance Analyst III position to support analysis of compliance violation complaints	\$59,500
Add: Compensation - Position Reallocation - Reallocate part-time investigator to full-time	\$39,100
Increase Cost: Compensation - Mandated Salary Requirements	\$27,000
Increase Cost: Fringe Benefits - Net increase in benefits due to changes in staffing complement	\$18,900
Increase Cost: Operating - Increase in operating expenses related to contracts, supplies and training	\$7,900
FY 2018 APPROVED BUDGET	\$749,200

SERVICE DELIVERY PLAN AND PERFORMANCE

GOAL 1 - To provide comprehensive intake, processing, investigation, management, adjudication, analysis, reporting of allegations of waste, fraud, abuse and illegal acts in County government and make necessary recommendations to executive and legislative officials to promote efficiency and accountability in County government.

Objective 1.1 - Maintain length of time to resolve investigations of waste, fraud, abuse and illegal acts in County government at less than 60 days.



Trend and Analysis -

The Office of Ethics and Accountability conducted over 51 in-person ethics trainings reaching over 893 employees and officials, approximately 14% of the County employees subject to the County Ethics Code. With the new requirement for mandatory ethics training, the agency deployed the County's first Countywide online ethics training reaching an additional 3,590 or 60% of employees by the end of the fiscal year. As a result of the over 170 requests for ethics advice, complaints and inquiries, the agency provided several recommendations to executive staff, prescribing corrective action(s) and/or identifying opportunities to affect process improvement(s) throughout County government. These types of reviews required detailed evaluation and analysis of County policies, processes and operations leading to promulgation of Countywide administrative procedures for agency fundraising and secondary employment.

Performance Measures -

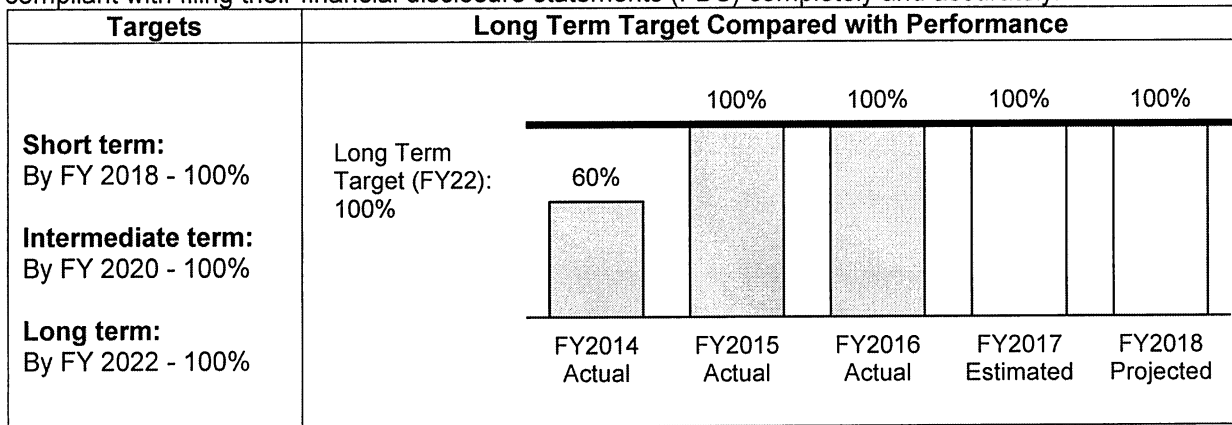
Measure Name	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Estimated	FY 2018 Projected
Resources (input)					
Number of staff	4	4.5	4.5	4.5	6
Number of supplemental IT resources	1	1	1	1	1
Workload, Demand and Production (output)					
Number of complaints, issues, concerns or inquiries received/reported	73	202	172	180	200
Number of ethics violations referred to the Board of Ethics	3	2	3	2	2
Number of cases investigated by OEA	41	44	30	45	50
Number of cases referred to an outside agency	30	69	57	70	75
Efficiency					
Average number of cases per investigative staff	146	135	115	120	100
Quality					
Percent of substantiated allegations of fraud, waste, abuse, and illegal acts	9.9%	5.3%	14.9%	6.1%	5.6%
Impact (outcome)					
Average number of days to close-out a case	48	33	37	60	50

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, codify, and maintain standard operating procedures and privacy controls for the conduct of investigations for fraud, waste, abuse, illegal acts and ethics violations
- **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** - Develop policies and procedures based on current legal precedents and interpretations of County and State ethics law for the Board of Ethics to assist with referrals of ethics violations to the Board

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



Trend and Analysis -

The agency provides support to the Board of Ethics in part through compliance efforts with collection of financial disclosure statements from designated employees, elected and appointed officials and collection of lobbyists' reports from registered lobbyists. The Board of Ethics mandated electronic filing for disclosure statements for the calendar year ending in 2015 that were processed in FY 2016. The agency processed 995 disclosure statements and continued to see 100% compliance with statements filed properly due in large part to the use of electronic filing using the e-portal system that maintains appropriate controls and end-user facility to minimize errors.

The agency is responsible for identifying entities and individuals interfacing with the County government via lobbying efforts and ensuring they are registered and reporting their lobbying activities in accordance with the Ethics Code. The agency partnered with the Legislative Branch to identify individuals interfacing with the County government that may require registration with the agency. The agency observed a 72% increase in registered lobbyists and a 77% increase in the number of lobbyists' reports processed, mainly via the web-portal system.

The County promulgated a new administrative procedure on secondary employment that requires the agency to provide technical assistance and oversight for the interpretation and approval process for employees' and officials' requests for employment outside of County government. In instances where there is a conflict with the Ethics Code, the matter must be reviewed and approved by the Board of Ethics. Because the agency provides administrative support to the Board of Ethics, the agency will have to provide the technical support to both the agencies and the Board to ensure compliance.

OFFICE OF ETHICS AND ACCOUNTABILITY - 104 GENERAL FUND

Performance Measures -

Measure Name	FY 2014 Actual	FY 2015 Actual	FY 2016 Actual	FY 2017 Estimated	FY 2018 Projected
Resources (input)					
Number of compliance staff	0.5	1	1	1	2
Workload, Demand and Production (output)					
Number of financial disclosure statements processed	844	932	995	995	995
Number of financial disclosure statement waivers processed	3	2	2	2	2
Number of financial disclosure statement waivers granted	2	1	0	1	1
Number of registered lobbyists	45	35	60	40	40
Number of lobbyist reports processed	67	71	126	80	80
Efficiency					
Average number of statements per compliance staff	1688	932	995	995	498
Quality					
Percent of required financial disclosure statements processed	96%	99%	100%	100%	100%
Impact (outcome)					
Percent of financial disclosure statements filed properly	60%	100%	100%	100%	100%

FY 2014 actuals have been restated.

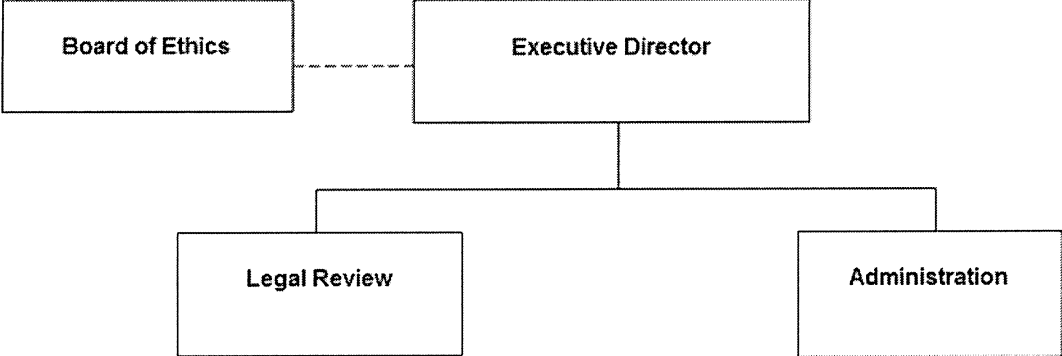
Strategies to Accomplish the Objective -

- **Strategy 2.1.1** - Manage an electronic portal (with strong data standards and documentation submission requirements) for the filing of financial disclosure statements and lobbyists' registrations and reports
- **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** - Maintain e-learning tools developed for informing County government employees/officials of their ethical responsibilities via dissemination of targeted educational materials, training curricula and/or marketing/outreach strategies
- **Strategy 2.1.4** - Maintain oversight and technical assistance to agencies on secondary employment to ensure compliance with newly promulgated administrative procedure requiring the secondary interests do not pose a conflict of interest and appropriate waivers are issued

FY 2017 KEY ACCOMPLISHMENTS

- Developed and implemented online mandatory ethics training and conducted over 51 in-person trainings, reaching over 4,483 individuals or 75% of County employees by the end of fiscal year 2016.
- Processed 100% of the Financial Disclosure Statements filed during the fiscal year 2016 with over 90% filed electronically.
- Processed over 170 requests for ethics advice, inquiries and complaints filed mainly through the web-portal.
- Provided nine recommendations to executive management prescribing corrective action(s) and/or identifying opportunities to affect process improvement(s) to assist in the promotion of efficiency, accountability and integrity in County government.
- Developed two County administrative procedures in an effort to govern fundraising efforts by County agencies to ensure solicitations align with best practices and inure a public benefit; and evaluate secondary employment requests to ensure employees' secondary interests do not pose a conflict of interest under the County's Ethics Code.

ORGANIZATIONAL CHART

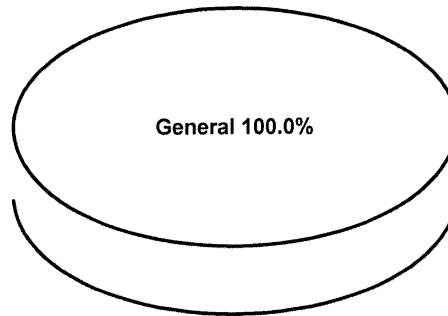


FUNDS SUMMARY

	FY2016 ACTUAL	FY2017 BUDGET	FY2017 ESTIMATED	FY2018 APPROVED	CHANGE FY17-FY18
TOTAL EXPENDITURES	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%
EXPENDITURE DETAIL					
Administration	532,213	596,800	578,100	749,200	25.5%
Recoveries	0	0	0	0	0%
TOTAL	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%
SOURCES OF FUNDS					
General Fund	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%
Other County Operating Funds:					
TOTAL	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%

FY2018 SOURCES OF FUNDS

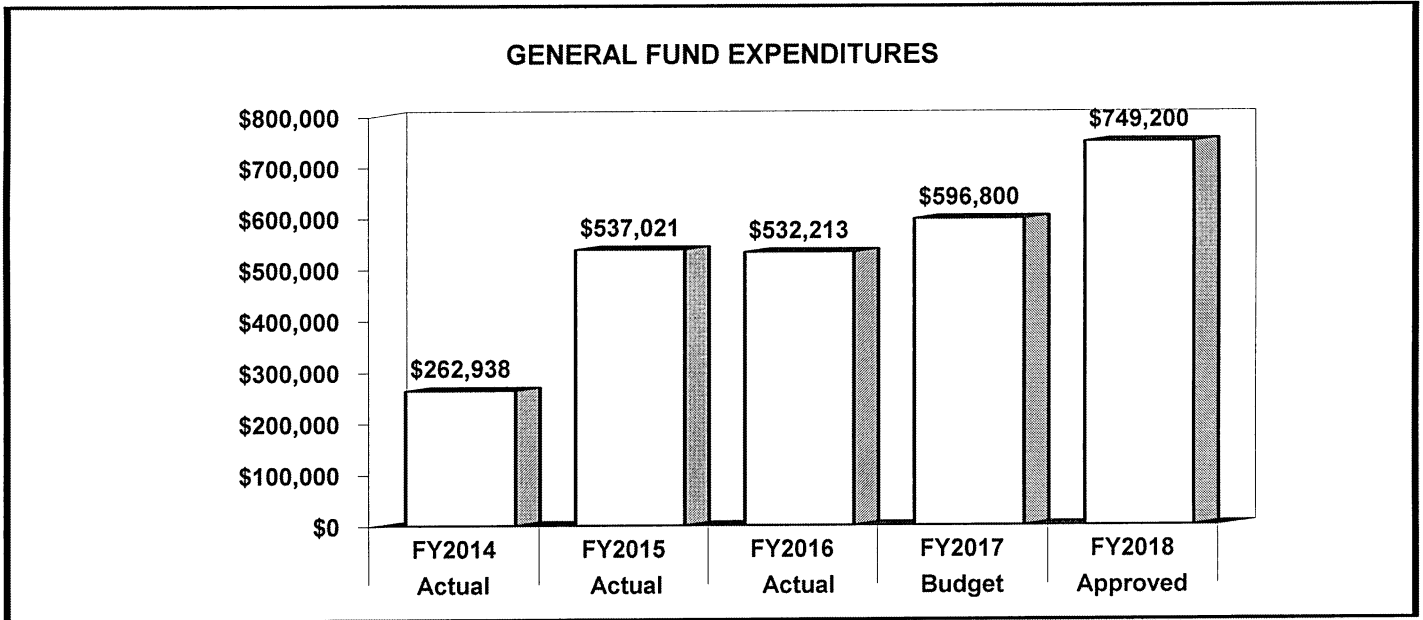
This agency's funding is derived solely from the County's General Fund.



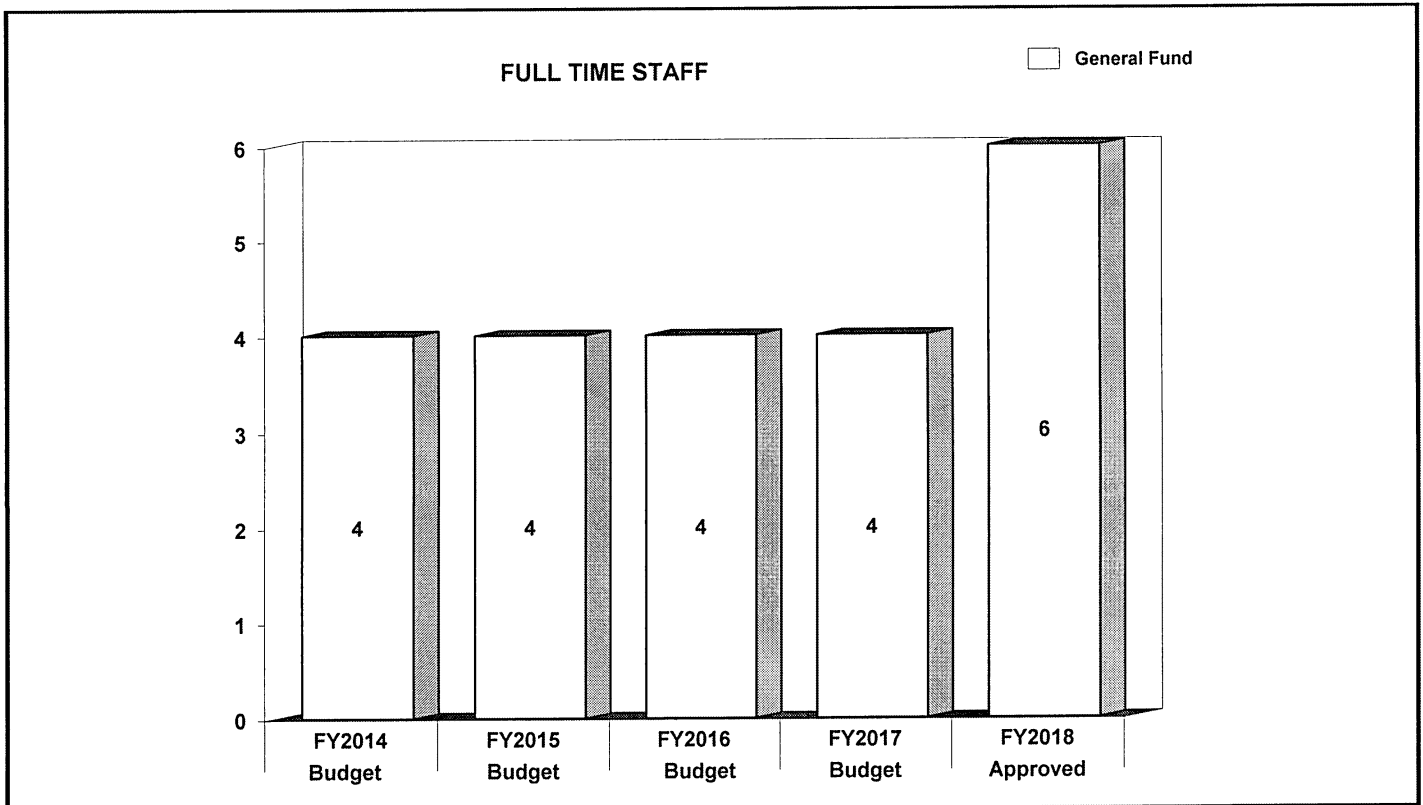
STAFF SUMMARY

	FY2016 BUDGET	FY2017 BUDGET	FY2018 APPROVED	CHANGE FY17-FY18
GENERAL FUND STAFF				
Full Time - Civilian	4	4	6	2
Full Time - Sworn	0	0	0	0
Part Time	1	1	0	-1
Limited Term	0	0	0	0
OTHER STAFF				
Full Time - Civilian				
Full Time - Sworn				
Part Time				
Limited Term Grant Funded				
TOTAL				
Full Time - Civilian	4	4	6	2
Full Time - Sworn	0	0	0	0
Part Time	1	1	0	-1
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	1	0	0
Attorney	1	0	0
Administrative Specialist	2	0	0
TOTAL	6	0	0



The agency's expenditures increased by 102.4% from FY 2014 to FY 2016. This increase is primarily driven by personnel and office supply costs. The FY 2018 approved budget is 25.5% over the FY 2017 budget. This is primarily driven by an increase in personnel and contracts.



The agency's authorized staffing complement remained unchanged from FY 2014 to FY 2017. The FY 2018 staffing total increases by two full-time positions from the FY 2017 budget. One new position will support analysis of compliance violation complaints and one position is reallocated from part-time to full-time.

GENERAL FUND

	FY2016 ACTUAL	FY2017 BUDGET	FY2017 ESTIMATED	FY2018 APPROVED	CHANGE FY17-FY18
EXPENDITURE SUMMARY					
Compensation	\$ 408,012	\$ 429,100	\$ 412,800	\$ 554,700	29.3%
Fringe Benefits	95,224	117,500	117,500	136,400	16.1%
Operating Expenses	28,977	50,200	47,800	58,100	15.7%
Capital Outlay	0	0	0	0	0%
	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%
Recoveries	0	0	0	0	0%
TOTAL	\$ 532,213	\$ 596,800	\$ 578,100	\$ 749,200	25.5%
STAFF					
Full Time - Civilian	-	4	-	6	50%
Full Time - Sworn	-	0	-	0	0%
Part Time	-	1	-	0	-100%
Limited Term	-	0	-	0	0%

In FY 2018, compensation expenditures increase by 29.3% over the FY 2017 budget due to anticipated cost of living and merit adjustments and staffing complement changes. Compensation costs include funding for six out of six full-time positions. Fringe benefit expenditures increased 16.1% over the FY 2017 budget. This is due to an increased staffing complement.

Operating expenditures increase 15.7% over the FY 2017 budget due to contractual increases for the case management/e-filing system, as well as supply and training expenses.

MAJOR OPERATING EXPENDITURES FY2018	
General and Administrative	\$ 32,300
Contracts	
Operating and Office Supplies	\$ 7,000
Training	\$ 4,400
Local Transportation	\$ 4,100
Office Automation	\$ 4,100

