

# 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 and allegations of fraud, waste, abuse and illegal acts
- Provide administrative support to the County's Board of Ethics
- Provide analysis, reporting and recommendations to executive and legislative branches

### Strategic Focus in FY 2019 -

The agency's top priority in FY 2019 is:

- Continue to sustain and effectively administer the County's required financial disclosure statements, lobbyist registrations, annual reports and investigations.

## FY 2019 BUDGET SUMMARY

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The FY 2019 approved budget for the Office of Ethics and Accountability is \$854,000, an increase of \$104,800 or 14.0% over the FY 2018 approved budget.

### Budgetary Changes -

<b>FY 2018 APPROVED BUDGET</b>	<b>\$749,200</b>
<b>Increase Cost: Compensation - Mandated Salary Requirements</b>	\$38,000
<b>Increase Cost: Fringe Benefits</b> - Increase in costs due to a change in the fringe benefit rate from 24.6% to 28.5% and compensation adjustments	\$32,500
<b>Increase Cost: Operating</b> - Reflects a change in the office automation charge based on the number of funded positions	\$14,600
<b>Increase Cost: Operating</b> - Increase in training, contractual services and office supplies to support operations	\$11,200
<b>Increase Cost: Mandated Requirement</b> - Increase in operating expenses to support an external quality assurance review as required by Division 17.A - Section 2-309 of the County Code	\$8,500
<b>FY 2019 APPROVED BUDGET</b>	<b>\$854,000</b>

**SERVICE DELIVERY PLAN AND PERFORMANCE**

**GOAL 1** - To provide comprehensive services regarding allegations of waste, fraud, abuse and illegal acts in County government and make necessary recommendations to executive and legislative officials.

<b>Objective 1.1</b> - Maintain the average length of time to resolve investigations to less than 60 days.					
<b>FY 2023 Target</b>	<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Estimated</b>	<b>FY 2019 Projected</b>	<b>Trend</b>
60	37	36	50	50	↔

**Trend and Analysis**

During 2017, 5,272 employees completed mandatory ethics training online and approximately 700 employees attended on-site sessions. The agency also investigated and referred twelve alleged ethics violations to the Board of Ethics of which four were substantiated. The agency processed 249 requests for ethics advice, complaints and inquiries.

Several agencies and boards/commissions received in-person ethics training that complies with the County's mandated ethics training: Department of the Environment, Department of Public Works and Transportation, Department of Permitting, Inspections and Enforcement and the Agricultural Preservation Commission.

The agency intends to complete more targeted training in areas identified through completed investigations and requests from agencies and is developing procedures, training and technical assistance to govern investigations referred to County agencies.

**Performance Measures**

<b>Measure Name</b>	<b>FY 2015 Actual</b>	<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Estimated</b>	<b>FY 2019 Projected</b>
<b>Resources (input)</b>					
Number of staff	4.5	4.5	4.5	6	6
<b>Workload, Demand and Production (output)</b>					
Number of complaints, issues, concerns or inquiries received/reported	202	172	251	200	200
Number of ethics violations referred to the Board of Ethics	2	3	12	2	2
Number of cases investigated by OEA	44	30	141	50	50
Number of cases referred to an outside agency	69	57	110	75	75
<b>Efficiency</b>					
Average number of cases per investigative staff	135	115	167	100	100
<b>Quality</b>					
Percent of substantiated allegations of fraud, waste, abuse and illegal acts	5.3%	14.9%	2.0%	5.6%	6.4%
<b>Impact (outcome)</b>					
Average number of days to close-out a case	33	37	36	50	50



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

**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.

<b>Objective 2.1</b> - Maintain the 100% rate of compliance for filing financial disclosure statements for designated County government employees and officials.					
<b>FY 2023 Target</b>	<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Estimated</b>	<b>FY 2019 Projected</b>	<b>Trend</b>
100%	100%	100%	100%	100%	↔

**Trend and Analysis**

With the County's new administrative procedure on secondary employment, the agency has observed an increase of over 100% in the number of requests reviewed to ensure compliance with the County's secondary employment policy. The agency provides technical assistance and oversight for the interpretation and approval process for all secondary employment requests to determine if a conflict with the Ethics Code exists.

With the Board of Ethics' mandated electronic filing for disclosure statements, the agency continues to monitor compliance and will now target its efforts on education. Administrative staff will provide support in the requisite monitoring, reporting and corresponding with all filers.

The agency is responsible for identifying entities and individuals interfacing with the County government via lobbying efforts to ensure they are registered and reporting their lobbying activities in accordance with the Ethics Code. The agency continues its collaboration with the Legislative Branch to identify individuals interfacing with the County government that may require registration.

**Performance Measures**

<b>Measure Name</b>	<b>FY 2015 Actual</b>	<b>FY 2016 Actual</b>	<b>FY 2017 Actual</b>	<b>FY 2018 Estimated</b>	<b>FY 2019 Projected</b>
<b>Resources (input)</b>					
Number of compliance staff	1	1	1	1.5	1.5
<b>Workload, Demand and Production (output)</b>					
Number of financial disclosure statements required	937	996	1,004	1,000	1,000
Number of financial disclosure statements processed	932	995	988	995	995
Number of financial disclosure statement waivers processed	2	2	45	2	2
Number of financial disclosure statement waivers granted	1	0	41	1	1
Number of registered lobbyists	35	60	50	40	40
Number of lobbyist reports processed	71	126	107	80	80
<b>Efficiency</b>					
Average number of statements per compliance staff	932	995	988	663	663
<b>Quality</b>					
Percent of required financial disclosure statements processed	99%	100%	98%	100%	100%
<b>Impact (outcome)</b>					
Percent of financial disclosure statements filed on time	89%	94%	88%	95%	95%
Percent of financial disclosure statements filed properly	100%	100%	100%	100%	100%

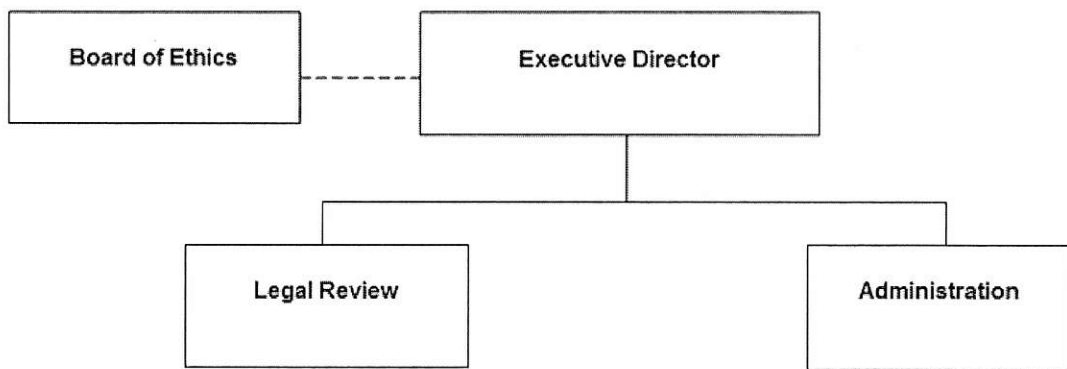
**FY 2018 KEY ACCOMPLISHMENTS**

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- Conducted in-person ethics trainings reaching over 770 employees, or 15% of all County employees, elected and appointed officials subject to the County Ethics Code.
- Developed compliance reporting and procedures for the County's mandated ethics training.
- Processed over 250 requests for ethics advice, information provision or review and investigations, largely via the OEA Web-Portal.
- Provided guidance regarding the County's newly implemented fundraising policies to ensure solicitations aligned with best practices and ensured a public benefit; and assisted agencies in the evaluation of secondary employment requests to ensure employees' secondary interests do not pose a conflict of interest under the County's Ethics Code.

**ORGANIZATIONAL CHART**

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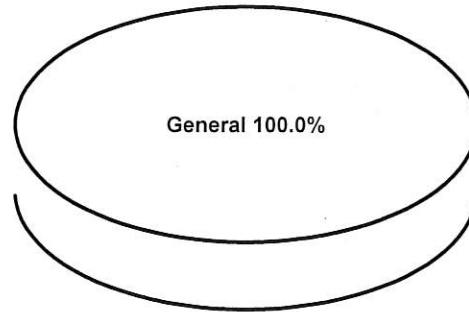


FUNDS SUMMARY

	FY2017 ACTUAL	FY2018 BUDGET	FY2018 ESTIMATED	FY2019 APPROVED	CHANGE FY18-FY19
<b>TOTAL EXPENDITURES</b>	\$ 586,800	\$ 749,200	\$ 748,500	\$ 854,000	14%
<b>EXPENDITURE DETAIL</b>					
Administration	586,800	749,200	748,500	854,000	14%
Recoveries	0	0	0	0	0%
<b>TOTAL</b>	\$ 586,800	\$ 749,200	\$ 748,500	\$ 854,000	14%
<b>SOURCES OF FUNDS</b>					
General Fund	\$ 586,800	\$ 749,200	\$ 748,500	\$ 854,000	14%
Other County Operating Funds:					
<b>TOTAL</b>	\$ 586,800	\$ 749,200	\$ 748,500	\$ 854,000	14%

**FY2019 SOURCES OF FUNDS**

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

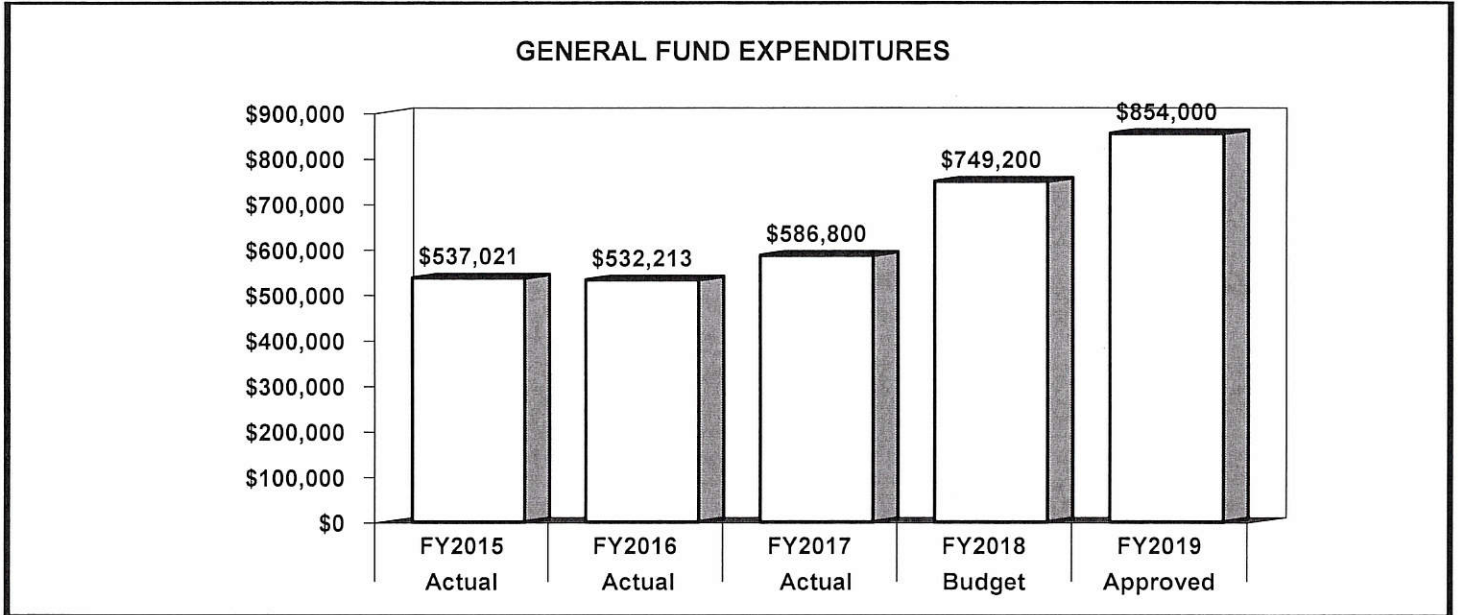


STAFF SUMMARY

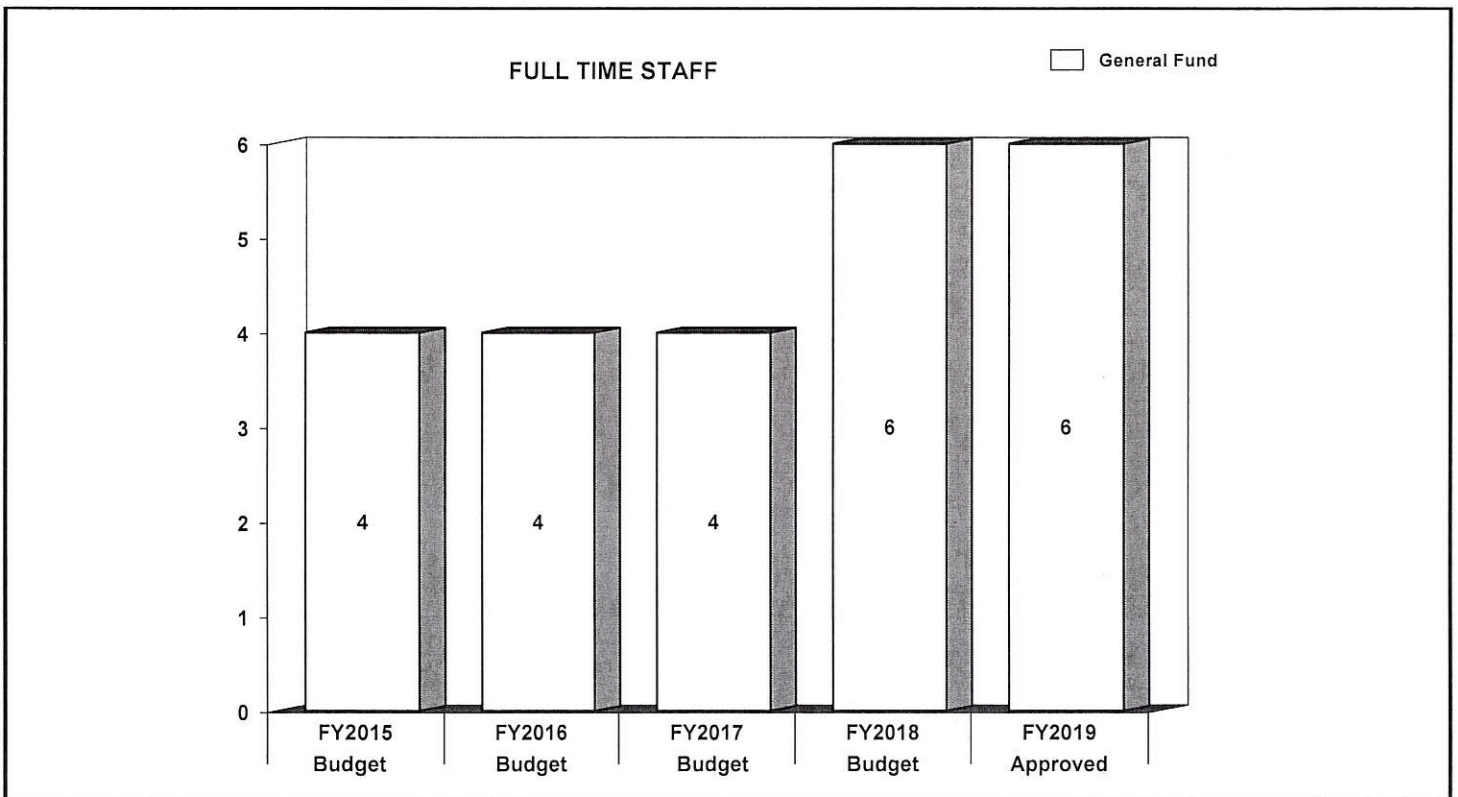
	FY2017 BUDGET	FY2018 BUDGET	FY2019 APPROVED	CHANGE FY18-FY19
<b>GENERAL FUND STAFF</b>				
Full Time - Civilian	4	6	6	0
Full Time - Sworn	0	0	0	0
Part Time	0	0	0	0
Limited Term	0	0	0	0
<b>OTHER STAFF</b>				
Full Time - Civilian	0	0	0	0
Full Time - Sworn	0	0	0	0
Part Time	0	0	0	0
Limited Term Grant Funded	0	0	0	0
<b>TOTAL</b>				
Full Time - Civilian	4	6	6	0
Full Time - Sworn	0	0	0	0
Part Time	0	0	0	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	1	0	0
Attorney	1	0	0
Administrative Specialist	1	0	0
Quality Assurance Analyst	1	0	0
<b>TOTAL</b>	<b>6</b>	<b>0</b>	<b>0</b>





The agency's expenditures increased by 9.3% from FY 2015 to FY 2017. This increase is primarily driven by personnel and office supply costs. The FY 2019 approved budget is 14.0% over the FY 2018 budget primarily driven by an increase in personnel and fringe benefit costs.



The agency's authorized staffing complement increased by two positions from FY 2015 to FY 2018. The FY 2019 staffing total remains unchanged from the FY 2018 budget.

GENERAL FUND

	FY2017 ACTUAL	FY2018 BUDGET	FY2018 ESTIMATED	FY2019 APPROVED	CHANGE FY18-FY19
<b>EXPENDITURE SUMMARY</b>					
Compensation	\$ 417,520	\$ 554,700	\$ 525,000	\$ 592,700	6.9%
Fringe Benefits	119,031	136,400	149,100	168,900	23.8%
Operating Expenses	50,249	58,100	74,400	92,400	59%
Capital Outlay	0	0	0	0	0%
	<b>\$ 586,800</b>	<b>\$ 749,200</b>	<b>\$ 748,500</b>	<b>\$ 854,000</b>	<b>14%</b>
Recoveries	0	0	0	0	0%
<b>TOTAL</b>	<b>\$ 586,800</b>	<b>\$ 749,200</b>	<b>\$ 748,500</b>	<b>\$ 854,000</b>	<b>14%</b>
<b>STAFF</b>					
Full Time - Civilian	-	6	-	6	0%
Full Time - Sworn	-	0	-	0	0%
Part Time	-	0	-	0	0%
Limited Term	-	0	-	0	0%

In FY 2019, compensation expenditures increase by 6.9% over the FY 2018 budget due to anticipated cost of living and merit adjustments and the annualization of prior year salary adjustments. Compensation costs include funding for six full-time positions. Fringe benefit expenditures increase 23.8% over the FY 2018 budget. This is due to an increase in the fringe benefit rate and compensation adjustments.

Operating expenditures increase 59.0% over the FY 2018 budget due to the change in the office automation charge methodology, increases for contractual services, supplies, training and funding for a mandated external quality assurance review.

MAJOR OPERATING EXPENDITURES FY2019	
General and Administrative	\$ 44,900
Contracts	
Office Automation	\$ 18,700
Training	\$ 10,000
Operating and Office Supplies	\$ 8,000
Local Transportation	\$ 4,100

