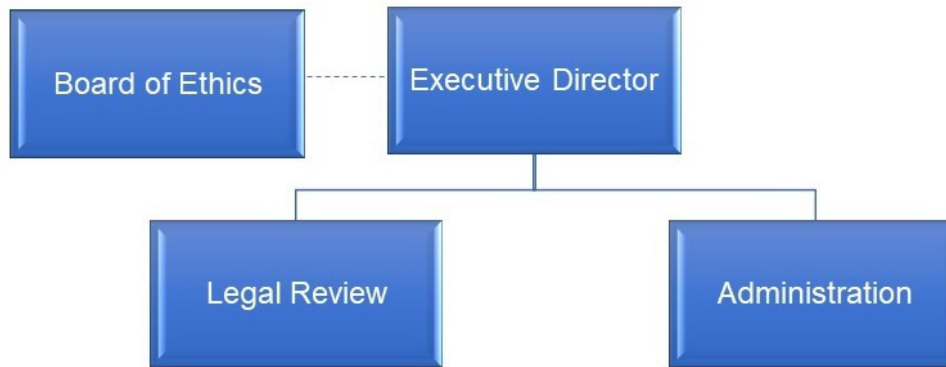


# Office of Ethics and Accountability



## MISSION AND SERVICES

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

### FY 2019 KEY ACCOMPLISHMENTS

- Processed approximately 1,039 Financial Disclosure Statements filed for the 2017 calendar year.
- Conducted in-person ethics trainings, continued to a principal objective of global ethics education of officials and employees systemically and developed compliance reporting and procedures for the County's mandated ethics training.
- Processed over 459 requests for ethics advice, information provision or review and investigations.
- Piloted a Schedule A Audit that enabled a thorough review of selected Financial Disclosure Statements to ensure proper disclosure of real property items.
- Provided 10 recommendations to Executive leadership, including one referral to Audits and Investigations, prescribing corrective action(s) and/or identifying opportunities to affect process improvement(s) throughout County government and promote efficiency and accountability in County government.

**STRATEGIC FOCUS AND INITIATIVES FOR FY 2020**

The agency’s top priority in FY 2020 is:

- 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 and efficiently investigate all complaints in accordance with applicable laws to ensure timely responses, analysis, reporting and recommendations to management.

**FY 2020 BUDGET SUMMARY**

The FY 2020 approved budget for the Office of Ethics and Accountability is \$864,100 an increase of \$10,100 or 1.2% over the FY 2019 approved budget.

**Expenditures by Fund Type**

Fund Types	FY 2018 Actual		FY 2019 Budget		FY 2019 Estimate		FY 2020 Approved	
	Amount	% Total	Amount	% Total	Amount	% Total	Amount	% Total
General Fund	\$727,009	100.0%	\$854,000	100.0%	\$788,600	100.0%	\$864,100	100.0%
<b>Total</b>	<b>\$727,009</b>	<b>100.0%</b>	<b>\$854,000</b>	<b>100.0%</b>	<b>\$788,600</b>	<b>100.0%</b>	<b>\$864,100</b>	<b>100.0%</b>

**Reconciliation from Prior Year**

	<b>Expenditures</b>
<b>FY 2019 Approved Budget</b>	<b>\$854,000</b>
<b>Increase Cost: Compensation - Mandated Salary Requirements</b>	\$11,100
<b>Increase Cost: Fringe Benefits</b> — Increase due to a change in the fringe benefit rate from 28.5% to 28.6% and compensation adjustments	3,800
<b>Increase Cost: Operating - Office Automation Charge</b> — Increase in OIT charges to support anticipated SAP maintenance costs and the countywide laptop refresh program	3,700
<b>Decrease Cost: Operating</b> — A decrease in contracts due to the removal of the one-time cost for the external audit	(8,500)
<b>FY 2020 Approved Budget</b>	<b>\$864,100</b>

## STAFF AND BUDGET RESOURCES

Authorized Positions	FY 2018 Budget	FY 2019 Budget	FY 2020 Approved	Change FY19-FY20
<b>General Fund</b>				
Full Time - Civilian	6	6	6	0
Full Time - Sworn	0	0	0	0
Subtotal - FT	6	6	6	0
Part Time	0	0	0	0
Limited Term	0	0	0	0
<b>TOTAL</b>				
Full Time - Civilian	6	6	6	0
Full Time - Sworn	0	0	0	0
Subtotal - FT	6	6	6	0
Part Time	0	0	0	0
Limited Term	0	0	0	0

Positions By Classification	FY 2020		
	Full Time	Part Time	Limited Term
Administrative Aide	1	0	0
Administrative Specialist	1	0	0
Attorney	1	0	0
Executive Director	1	0	0
Investigator	1	0	0
Quality Assurance Analyst	1	0	0
<b>TOTAL</b>	<b>6</b>	<b>0</b>	<b>0</b>

**Expenditures by Category - General Fund**

Category	FY 2018 Actual	FY 2019 Budget	FY 2019 Estimate	FY 2020 Approved	Change FY19-FY20	
					Amount (\$)	Percent (%)
Compensation	\$530,395	\$592,700	\$551,600	\$603,800	\$11,100	1.9%
Fringe Benefits	144,463	168,900	144,600	172,700	3,800	2.2%
Operating	52,151	92,400	92,400	87,600	(4,800)	-5.2%
<b>SubTotal</b>	<b>\$727,009</b>	<b>\$854,000</b>	<b>\$788,600</b>	<b>\$864,100</b>	<b>\$10,100</b>	<b>1.2%</b>
<b>Total</b>	<b>\$727,009</b>	<b>\$854,000</b>	<b>\$788,600</b>	<b>\$864,100</b>	<b>\$10,100</b>	<b>1.2%</b>

In FY 2020, compensation expenditures increase by 1.9% over the FY 2019 budget due to the anticipated cost of living and merit adjustments. Compensation costs include funding for six full time positions. Fringe benefit expenditures increase 2.2% over the FY 2019 budget. This is due to the increase in the fringe benefit rate and compensation adjustments.

Operating expenditures have a net decrease of 5.2% under the FY 2019 budget due to an increase in office automation costs, offset by reductions in contracts due to the removal of one-time costs.

## 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.

**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.

FY 2024 Target	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected	Trend
25.0	36.0	50.0	50.0	50.0	↔

### Trend and Analysis

The average length of time to resolve investigations continues to moderate at less than half the 60-day Service Level Agreement (SLA); this is a result of the current outcome measure being a roll-up of all agency investigation types some of which are resolved in as little as five days while other more complex investigations may take 60 days. The outcome measure will be refined to reflect the services more aligned with the current 60-day SLA.

Online training was first offered in CY 2016; the Office of Ethics and Accountability experienced a one-time spike in the number of cases to be investigated during FY 2017 as more clients became aware of the mandatory training requirements.

### Performance Measures

Measure Name	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected
<b>Resources (Input)</b>					
Number of staff	5	5	6	6	6
<b>Workload, Demand and Production (Output)</b>					
Number of cases received (any type)	172	251	200	200	200
Number of ethics violation allegations referred to the Board of Ethics	3	12	18	20	20
Number of cases investigated by Office of Ethics and Accountability (OEA)	30	141	33	30	30
Number of cases referred to another agency	57	110	154	75	75
Number of hearings conducted by the Board of Ethics	—	—	—	—	—
<b>Efficiency</b>					
Number of agency actions taken/implemented in response to OEA recommendations	—	—	9	5	5
<b>Quality</b>					
Number of allegations substantiated or deemed non-compliant	13	—	2	2	2
<b>Impact (Outcome)</b>					
Average number of days to close-out a case	37.0	36.0	50.0	50.0	50.0
Number of OEA reports with recommendations made	—	10	10	10	10

**Objective 1.2** — Ensure OEA provides recommendations to CAO to resolve problems or deficiencies pursuant to Section 2-305.

FY 2024 Target	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected	Trend
10	0	10	10	10	n/a

**Trend and Analysis**

New for FY 2020.

**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.

FY 2024 Target	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected	Trend
100%	100%	100%	100%	100%	↔

**Trend and Analysis**

The Office of Ethics and Accountability (OEA) 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 office continues its collaboration with the Legislative branch to identify individuals interfacing with the County government that may require registration with OEA. There was a 20% increase in the number of registered lobbyists during FY 2018.

The OEA provided guidance to the Board of Ethics in enforcement actions involving delinquent reporting by lobbyists. Continued oversight and monitoring by the office will assist in the enforcement efforts, lobbyist interactions and providing technical assistance.

**Performance Measures**

Measure Name	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected
<b>Workload, Demand and Production (Output)</b>					
Number of financial disclosure statements processed	995	988	1,000	1,000	1,000
Number of financial disclosure statement late fee waivers processed	2	45	56	40	40
Number of financial disclosure statement late fee waivers granted	—	41	54	40	40
Number of registered lobbyists processed	60	50	60	60	60
Number of lobbyist reports processed	126	107	180	180	180
Number of financial disclosure statements fully reviewed in compliance with Section 2-292	—	—	1,046	1,050	1,050
Number of requested financial disclosure statement exemptions processed	2	45	2	2	2

**Performance Measures** *(continued)*

Measure Name	FY 2016 Actual	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected
Number of requested financial disclosure statement exemptions granted	—	41	1	1	1
Number of secondary employment legal reviews	60	50	34	34	34
<b>Quality</b>					
Number of financial disclosure statement audit letters sent as a result of targeted audit review	—	—	28	30	30
Number of agency follow-ups as a result of secondary employment legal reviews	—	—	—	—	—
<b>Impact (Outcome)</b>					
Percent of financial disclosure statements filed properly	100%	100%	100%	100%	100%

**Objective 2.2** — Ensure legal audit of all secondary employment requests and their compliance with County Ethics Code conflict of interest prohibition.

FY 2024 Target	FY 2017 Actual	FY 2018 Actual	FY 2019 Estimated	FY 2020 Projected	Trend
0	0	0	0	0	n/a

**Trend and Analysis**

New for FY 2020.