

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 allegations of fraud, waste, abuse, and illegal acts
- Provide administrative support to the County's Board of Ethics

Strategic Focus in FY 2016 -

The agency's top priority in FY 2016 is to:

- Implement an electronic filing/case management system that allows the public, 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 2016 BUDGET SUMMARY

The FY 2016 approved budget for the Office of Ethics and Accountability is \$572,000, an increase of \$7,100 or 1.3% over the FY 2015 budget.

Budgetary Changes -

FY 2015 BUDGET	\$564,900
Increase in fringe rate from 22.9% to 27.7%	\$20,600
Increase in compensation to reflect the current complement	\$1,800
Decrease in office automation charges, contracts, training, advertising and printing to align with historical data and spending controls	(\$15,300)
FY 2016 APPROVED BUDGET	\$572,000

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 - Reduce the number of substantiated allegations of fraud, waste, abuse, and illegal acts.

Targets	Long Term Target Compared with Performance																												
<p>Short term: By FY 2016 - 4</p> <p>Intermediate term: By FY 2018 - 2</p> <p>Long term: By FY 2020 - 2</p>	<p>Long Term Target (FY20): 2</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <caption>Long Term Target Compared with Performance</caption> <thead> <tr> <th>Fiscal Year</th> <th>Actual</th> <th>Estimated</th> <th>Projected</th> </tr> </thead> <tbody> <tr> <td>FY 2012</td> <td>0</td> <td></td> <td></td> </tr> <tr> <td>FY 2013</td> <td>0</td> <td></td> <td></td> </tr> <tr> <td>FY 2014</td> <td>7</td> <td></td> <td></td> </tr> <tr> <td>FY 2015</td> <td></td> <td>4</td> <td></td> </tr> <tr> <td>FY 2016</td> <td></td> <td></td> <td>4</td> </tr> </tbody> </table>					Fiscal Year	Actual	Estimated	Projected	FY 2012	0			FY 2013	0			FY 2014	7			FY 2015		4		FY 2016			4
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OFFICE OF ETHICS AND ACCOUNTABILITY – 104 GENERAL FUND

Trend and Analysis -

Since its inception in October of 2013, the Office of Ethics and Accountability (OEA) has observed an upward trend in the volume of county-wide complaints (ethics violations or fraud, waste, abuse, and illegal acts) on ethics advice requests filed; as well as a corresponding increase in the number of investigations conducted. OEA anticipates a near doubling in total cases processed from FY 2015 to FY 2016. OEA attributes this trend to its efforts in alerting Prince George's County's staff, officials, stakeholders, and other constituent bases of its presence, purpose, and available resources.

OEA provides continuous education and training on the prohibited conducts and interests identified within the Ethics Code. The agency has strategically identified training opportunities within County Government via the Office of Human Resources Management as part of the New Employee Orientation Program along with agency requested trainings. Additionally, OEA has acquired additional resources through Bowie State University's Professional Studies-Human Services Training Program.

Performance Measures -

Measure Name	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected
Resources (input)					
Number of staff			4	4.5	4.5
Number of supplemental IT resources			1	1	1
Workload, Demand and Production (output)					
Number of complaints, issues, concerns or inquiries received/reported			73	150	300
Number of ethics violations referred to the Board of Ethics			3	2	2
Number of formal advisory opinions and informal ethics advice requests processed			26	39	39
Number of ethics training sessions conducted			2	30	45
Number of cases investigated by OEA			41	62	62
Number of cases referred to an outside agency			30	89	89
Efficiency					
Number of complaints, issues, concerns or inquiries received/reported per staff member			18.3	33.3	66.7
Quality					
Average number of days to close-out a case			48	60	60
Impact (outcome)					
Number of substantiated allegations of fraud, waste, abuse, and illegal acts			7	4	4

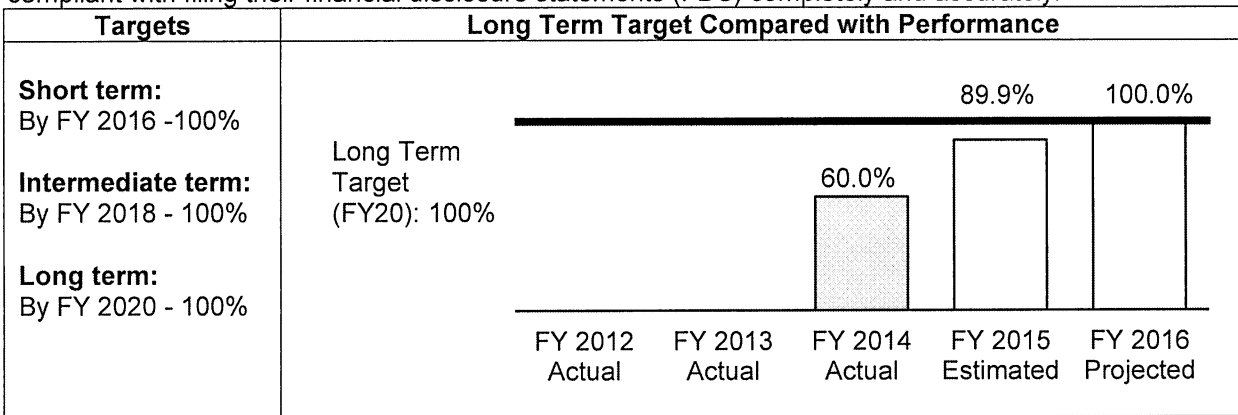
Strategies to Accomplish the Objective -

- **Strategy 1.1.1** - Provide training for County government employees/officials to keep them informed of their ethical responsibilities via disseminating targeted educational materials, training curricula, and/or marketing and outreach strategies
- **Strategy 1.1.2** - Provide training and continuing education for board members on current legal precedents and interpretations of County and State ethics law
- **Strategy 1.1.3** - Initiate implementation of case management software to administer the intake, processing, and investigation of alleged ethical violations
- **Strategy 1.1.4** - Develop and codify standard operating procedures and privacy controls for the conduct of ethics investigations
- **Strategy 1.1.5** - Facilitate and sustain at least five Board of Ethics meetings annually; in accordance with the Ethics code

- **Strategy 1.1.6** - Establish a secure electronic portal to share and protect confidential information with the Board of Ethics (to replace the current practice of printing and delivering these materials via US Mail)

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 - Increase the percentage of applicable County government employees and officials compliant with filing their financial disclosure statements (FDS) completely and accurately.



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. OEA reported a collection rate of 100%; (844 filings) in FY 2014. This effort was completed entirely via a manual process of form collection/review and periodic communication with filers and late filers. OEA ensures entities or persons identified as interfacing with County government in an attempt to influence its resources are compliant with completing their lobbyist registration 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 45 registrations in FY 2014 via a manual monitoring process. Moving forward, OEA recently implemented an e-filing system which is anticipated to streamline the financial disclosure and lobbyists filing process as well as case management through on-line automation.

OEA continues the phased implementation of its ethics training program. From FY 2014 to FY 2015, the number of training sessions conducted via the various delivery tools will increase from 2 to 30.

OFFICE OF ETHICS AND ACCOUNTABILITY – 104 GENERAL FUND

Performance Measures -

Measure Name			FY 2014 Actual	FY 2015 Estimated	FY 2016 Projected
Resources (input)					
Number of budgeted staff			4	4.5	4.5
Workload, Demand and Production (output)					
Number of financial disclosure statements processed			844	844	844
Number of financial disclosure statements filed properly			506	759	844
Number of ethics training sessions conducted			2	30	45
Number of financial disclosure statement waivers processed			3	3	3
Number of financial disclosure statement waivers granted			2	2	2
Number of lobbyist registrations processed			45	54	45
Number of lobbyist registrations submitted properly			45	54	45
Efficiency					
Number of financial disclosure statement filed on-time			826	844	844
Quality					
Number of financial disclosure statements requiring additional audit or analysis			338	203	203
Impact (outcome)					
Percent of financial disclosure statements filed properly			60.0%	89.9%	100.0%

Strategies to Accomplish the Objective -

- **Strategy 2.1.1** - Initiate implementation of 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** - Continuous development and phased implementation of its ethics training program. This includes disseminating educational materials, training curricula, and/or marketing/outreach strategies.

Objective 2.2 – Ensure registered lobbyists are compliant with filing their annual registration and related activity reporting as so required within the Ethics code.

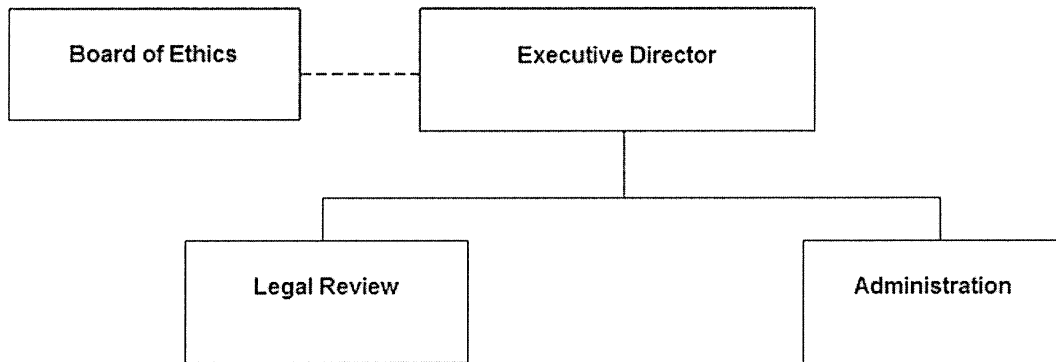
Strategies to Accomplish the Objective -

- **Strategy 2.2.1** - Initiate implementation of an electronic portal (with strong data standards and documentation submission requirements) for lobbyist reporting
- **Strategy 2.2.2** - Ensure criteria for evaluating the completeness and accuracy of lobbyists registration and activity reporting are built into the electronic portal
- **Strategy 2.2.3** - Continuous development and phased implementation of its ethics training program for lobbyists. This includes disseminating educational materials, training curricula, and/or marketing/outreach strategies

FY 2015 KEY ACCOMPLISHMENTS

- Initiated implementation of a comprehensive case management system to more efficiently and accurately investigate alleged violations of the Ethics Code and reports of fraud, abuse, and illegal acts.
- Initiated implementation of an e-Filing system to replace the current, paper-based process for filing financial disclosure statements and lobbyist forms.
- Established a county-wide ethics training program for its employees, officials, appointees, and lobbyists. The program’s principal objective is the incremental implementation of a systemic and global approach towards ethics education.
- Implemented components of new legislation to facilitate the fulfillment of functions under the Ethics Code and Ethics and Accountability Code.
- Launched OEA’s website to enhance users’ access to reports and forms necessary to comply with the Ethics Code.
- Conducted 30 county-wide ethics training for employees, elected, and appointed officials.

ORGANIZATIONAL CHART

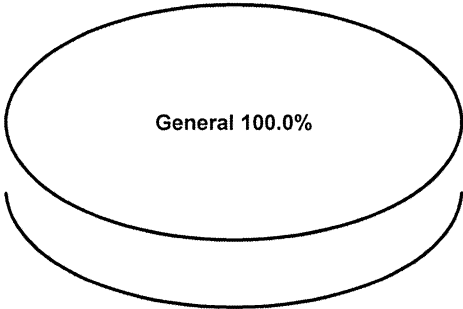


FUNDS SUMMARY

	FY2014 ACTUAL	FY2015 BUDGET	FY2015 ESTIMATED	FY2016 APPROVED	CHANGE FY15-FY16
TOTAL EXPENDITURES	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%
EXPENDITURE DETAIL					
Administration	262,938	564,900	515,900	572,000	1.3%
Recoveries	0	0	0	0	0%
TOTAL	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%
SOURCES OF FUNDS					
General Fund	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%
Other County Operating Funds:					
TOTAL	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%

FY2016 SOURCES OF FUNDS

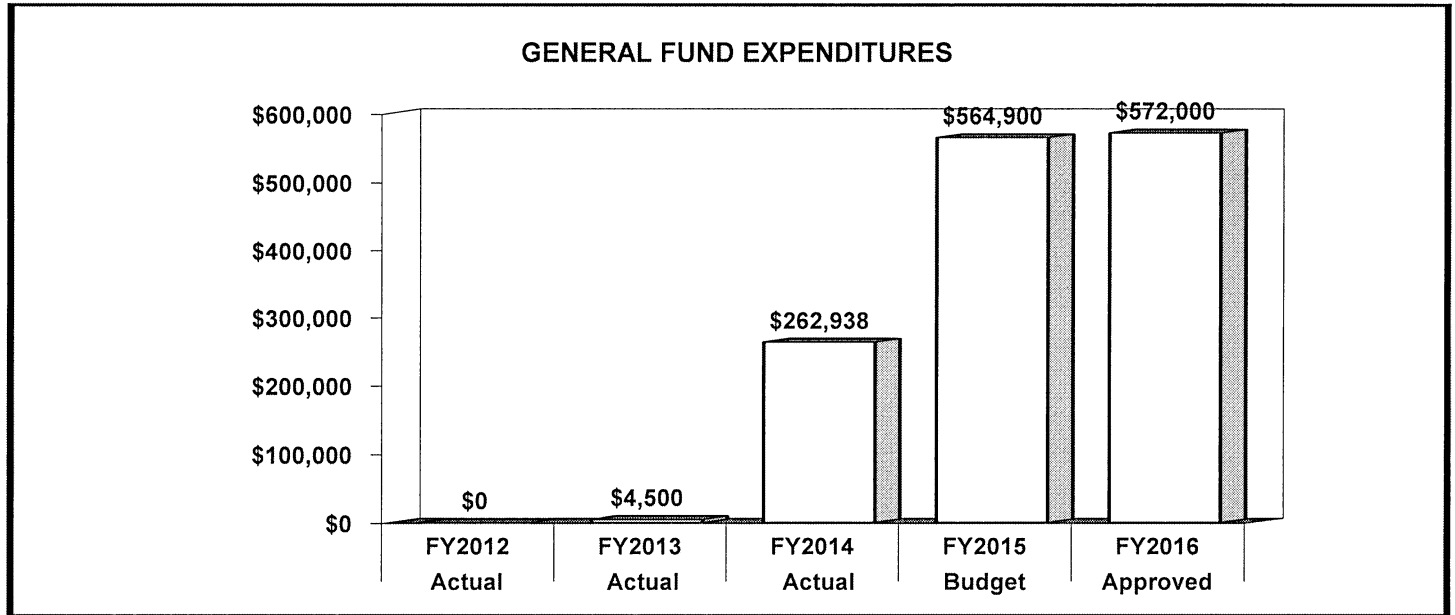
This agency's funding is derived solely from the County's General Fund.



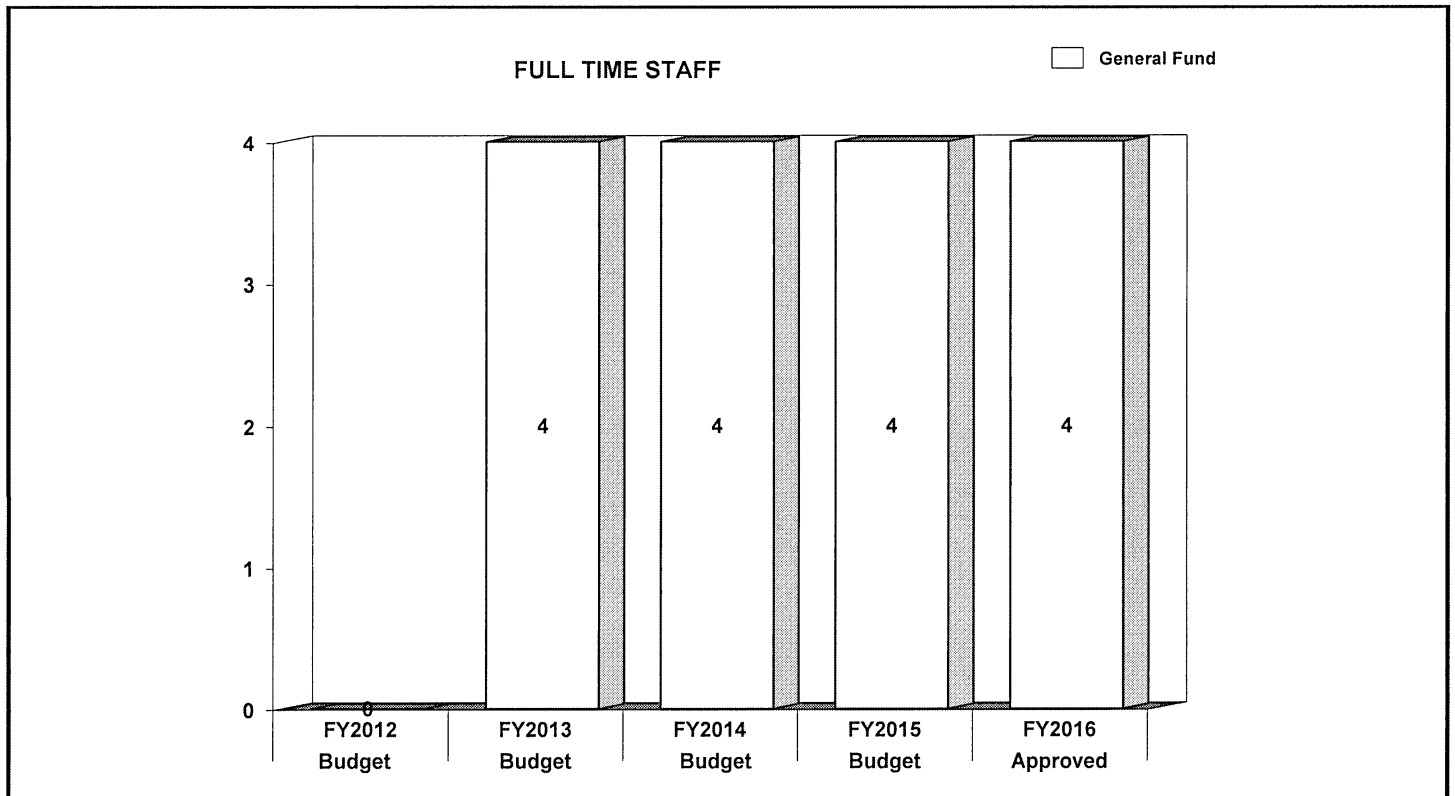
STAFF SUMMARY

	FY2014 BUDGET	FY2015 BUDGET	FY2016 APPROVED	CHANGE FY15-FY16
GENERAL FUND STAFF				
Full Time - Civilian	4	4	4	0
Full Time - Sworn	0	0	0	0
Part Time	0	1	1	0
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	4	0
Full Time - Sworn	0	0	0	0
Part Time	0	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
TOTAL	4	1	0



The agency's expenditures increased from FY 2012 to FY 2014 due to the set-up of personnel and office structure. The FY 2016 approved budget is 1.3% over the FY 2015 budget. The increase is primarily driven by a higher rate for the fringe benefits.



The agency's staffing complement remained unchanged from FY 2013 to FY 2014. The agency's full-time staffing complement remains the same from FY 2015 to FY 2016.

	FY2014 ACTUAL	FY2015 BUDGET	FY2015 ESTIMATED	FY2016 APPROVED	CHANGE FY15-FY16
EXPENDITURE SUMMARY					
Compensation	\$ 173,261	\$ 418,700	\$ 372,000	\$ 420,500	0.4%
Fringe Benefits	45,381	95,900	98,600	116,500	21.5%
Operating Expenses	44,296	50,300	45,300	35,000	-30.4%
Capital Outlay	0	0	0	0	0%
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	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%
Recoveries	0	0	0	0	0%
	<hr/>	<hr/>	<hr/>	<hr/>	
TOTAL	\$ 262,938	\$ 564,900	\$ 515,900	\$ 572,000	1.3%
STAFF					
Full Time - Civilian	-	4	-	4	0%
Full Time - Sworn	-	0	-	0	0%
Part Time	-	1	-	1	0%
Limited Term	-	0	-	0	0%

In FY 2016, compensation expenditures increase by 0.4% over the FY 2015 budget to reflect the current complement. Fringe benefits increase 21.5% over the FY 2015 budget due to actual expenses.

Operating expenditures decrease 30.4% due to elimination of building lease rental, reduced training needs and collaboration with another agency to ride an existing general and administrative contracts.

MAJOR OPERATING EXPENDITURES FY2016	
General and Administrative	\$ 13,500
Contracts	
Operating and Office Supplies	\$ 5,000
Vehicle and Heavy Equip Main.	\$ 4,500
Training	\$ 4,000
Office Automation	\$ 3,700

