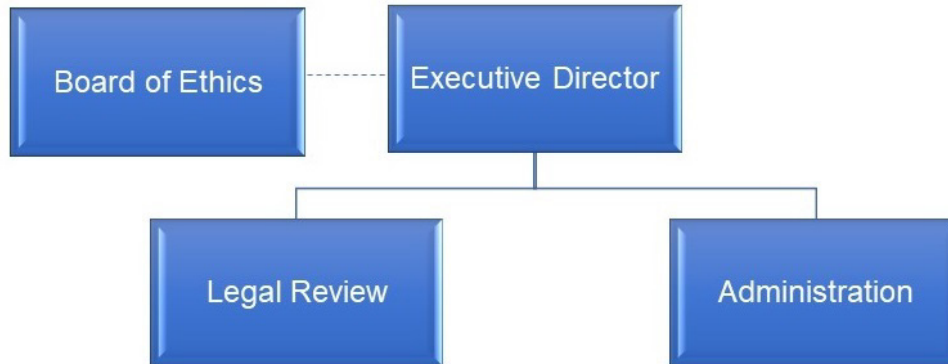


Office of Ethics and Accountability



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 2021 KEY ACCOMPLISHMENTS

- Processed approximately 1,200 financial disclosure statements for the 2020 calendar year. Of the disclosures submitted, over 99% of them along with 100% of new lobbyist registrants were all processed via use of the OEA web-portal.
- Continued to meet one of its principal objectives of global ethics education of officials and employees systemically via increasing the number of individuals trained this compliance period to approximately 6,000.
- Processed approximately 500 requests investigations, legal reviews, advisory opinions, ethics advice, information provision and financial disclosure fee waivers.
- Expanded the online payment system for late fees and fines from designated filers of financial disclosure statements and lobbyists to include savings and checking account payment options. This electronic payment enhancement provides convenience to those designated filers who have been assessed fees as a result of filing their disclosure statements and reports after the filing dates mandated by the County's Ethics Code.

- As a result of the Office of Ethics and Accountability's investigations, operations reviews and other activities, thirty-nine (39) recommendations were provided to Executive leadership to promote a culture of integrity and efficiency public trust. This is a 70% increase in recommendations compared to twenty-three (23) recommendations in fiscal year 2020. The Office of Ethics and Accountability has made a total of ninety-three (93) recommendations since fiscal year 2016, resulting in significant policy development and organizational change.

STRATEGIC FOCUS AND INITIATIVES FOR FY 2022

The agency's top priority in FY 2022 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 and initiate operations reviews in accordance with applicable laws to ensure timely responses, analysis, reporting and recommendations to management.

FY 2022 BUDGET SUMMARY

The FY 2022 proposed budget for the Office of Ethics and Accountability is \$936,000, an increase of \$31,500 or 3.5% over the FY 2021 approved budget.

Expenditures by Fund Type

Fund Types	FY 2020 Actual		FY 2021 Budget		FY 2021 Estimate		FY 2022 Proposed	
	Amount	% Total	Amount	% Total	Amount	% Total	Amount	% Total
General Fund	\$855,735	100.0%	\$904,500	100.0%	\$931,500	100.0%	\$936,000	100.0%
Total	\$855,735	100.0%	\$904,500	100.0%	\$931,500	100.0%	\$936,000	100.0%

Reconciliation from Prior Year

	Expenditures
FY 2021 Approved Budget	\$904,500
Increase Cost: Compensation - Mandated Salary Requirements — Annualization of costs related to salary adjustments and filling vacant positions	\$23,000
Increase Cost: Fringe Benefits — An increase in the fringe benefit rate from 28.7% to 29.0% to align with anticipated costs	8,500
Increase Cost: Technology Cost Allocation — Increase in OIT charges based on anticipated countywide costs for technology	8,100
Decrease Cost: Operating — Reduction in membership fees to align with historic spending	(500)
Decrease Cost: Operating — Reduction in travel and training to align with historic spending	(3,100)
Decrease Cost: Operating — Reduction in pool car rental to align with anticipated spending	(4,500)
FY 2022 Proposed Budget	\$936,000

STAFF AND BUDGET RESOURCES

Authorized Positions	FY 2020 Budget	FY 2021 Budget	FY 2022 Proposed	Change FY21-FY22
General Fund				
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
TOTAL				
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 2022		
	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
TOTAL	6	0	0

Expenditures by Category - General Fund

Category	FY 2020 Actual	FY 2021 Budget	FY 2021 Estimate	FY 2022 Proposed	Change FY21-FY22	
					Amount (\$)	Percent (%)
Compensation	\$601,456	\$617,400	\$641,300	\$640,400	\$23,000	3.7%
Fringe Benefits	173,684	177,200	182,300	185,700	8,500	4.8%
Operating	80,595	109,900	107,900	109,900	—	0.0%
Capital Outlay	—	—	—	—	—	
SubTotal	\$855,735	\$904,500	\$931,500	\$936,000	\$31,500	3.5%
Recoveries	—	—	—	—	—	
Total	\$855,735	\$904,500	\$931,500	\$936,000	\$31,500	3.5%

In FY 2022, compensation expenditures increase by 3.7% over the FY 2021 budget due to the annualization of costs related to filling positions and salary adjustments. Compensation costs include funding for six full time positions. Fringe benefit expenditures increase by 4.8% over the FY 2021 budget. This is due to the minor increase in the fringe benefit rate and compensation adjustments.

Operating expenditures remain the same as the FY 2021 budget.

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 2026 Target	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected	Trend
50.0	85.0	46.0	24.0	43.0	↔

Trend and Analysis

The comprehensive intake will focus on ensuring compliance with the County's Ethics Code and Office of Ethics and Accountability (OEA) Code requirements for provision of ethics advice, referral of cases to appropriate law enforcement when applicable and tracking agencies responsiveness. Investigations have required detailed review and tracking agencies' responsiveness. Investigations have required detailed review and analysis of County policies, processes and operations resulting from recommendations to the Chief Administrative Officer (CAO) and Council Administrator (CA).

The upper limit for the service level agreement (SLA) concerning turn-around time to close out a case is set to sixty (60) days. Investigation types vary in complexity and therefore time to close. The target measure captures an average time (in days) for all investigation types and has fallen within the 60 day SLA for FY 2020. It is projected that this pattern will continue into FY 2021 and FY 2022.

Due to the unforeseen consequences of COVID-19, there were reductions in operations which led to some deviations in trend as evidenced in the data for "Cases received," which had been previously trending consistently upward. However, the agency projects to rebound from these impacts in fiscal year 2022.

Performance Measures

Measure Name	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected
Resources (Input)					
Staff	6	6	6	6	6
Workload, Demand and Production (Output)					
Cases received (any type)	200	400	468	400	600
Ethics violation allegations referred to the Board of Ethics	18	38	17	8	38
Cases investigated by the Office of Ethics and Accountability (OEA)	33	37	20	10	37
Cases referred to another agency	154	109	88	162	162
Hearings conducted by the Board of Ethics	0	0	0	1	1
Efficiency					
Agency actions taken/implemented in response to OEA recommendations	9	23	13	6	23

Performance Measures *(continued)*

Measure Name	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected
Quality					
Allegations substantiated or deemed non-compliant	2	13	6	3	13
Impact (Outcome)					
Days to close-out a case	50.0	85.0	46.0	24.0	43.0
OEA reports with recommendations made	10	23	39	18	36

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

FY 2026 Target	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected	Trend
41	23	39	18	36	↑

Trend and Analysis

Investigations have required detailed review and analysis of County policies, processes and operations resulting from recommendations to the Chief Administrative Officer (CAO) and Council Administrator (CA). The CAO and CA have mandated ethics trainings that require compliance tracking and Administrative Procedure 153 on agency fundraising efforts that requires monitoring, reporting and technical assistance. OEA has implemented a Standard Operations Procedure for operations reviews.

The FY 2020 Actual has outpaced the FY 2020 Estimate from last year by nine recommendations indicating a steady increase. However, due to a reduction in caseload resulting from the COVID-19 pandemic, it is estimated that progress will experience a brief stall before continuing along its upward trajectory.

Performance Measures

See Table 1.1 above.

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 — Reduce the number of post-audit actions on financial disclosure statements.

FY 2026 Target	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected	Trend
100	7	102	90	100	↔

Trend and Analysis

The collection and enforcement functions will focus on collection of financial disclosure reports at prescribed time periods pursuant to the County's Ethics Code with associated referral to the Board of Ethics. Accurate and timely reporting is necessary to comply with citizens' requests for disclosure reports and avoid noncompliance with State Ethics Commission statutory requirements. This function requires staff to allocate collection efforts, educate and assist

filers on usage of the electronic filing system, and adhere to public disclosure of requisite reports, exemptions, and advisory opinions.

The number of post-audit actions on financial disclosure statements (FDS) has increased significantly since FY 2019 as a result of increasing the audit scope and function. For instance, OEA has started auditing larger samples of FDS forms.

Performance Measures

Measure Name	FY 2018 Actual	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected
Resources (Input)					
Compliance staff	2	2	2	2	2
Workload, Demand and Production (Output)					
Financial disclosure statements processed	1,000	1,132	566	1,000	1,000
Financial disclosure late fee waivers processed	56	11	10	13	10
Financial disclosure late fee waivers granted	54	8	3	12	7
Registered lobbyists processed	60	45	54	60	60
Lobbyist reports processed	180	122	217	220	220
Financial disclosure statements fully reviewed in compliance with Section 2-292	1,046	889	566	1,000	1,000
Requested financial disclosure statement exemptions processed	2	0	0	1	0
Requested financial disclosure statements exemptions granted	1	0	0	1	0
Secondary employment legal reviews	34	71	48	36	107
Quality					
Financial disclosure statement audit letters sent as a result of targeted audit review	28	28	149	100	100
Agency follow-ups as a result of secondary employment legal reviews	0	0	48	36	107
Impact (Outcome)					
Financial disclosure statement corrections made or explanations sent as a result of audit letters sent	16	7	102	90	100
Corrections to secondary employment requests as a result of agency follow-up	n/a	32	48	36	48

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

FY 2026 Target	FY 2019 Actual	FY 2020 Actual	FY 2021 Estimated	FY 2022 Projected	Trend
124	32	48	36	48	n/a

Trend and Analysis

In accordance with Administrative Procedure 152 on secondary employment, these efforts will focus on advising agencies, employees and officials on outside employment requests and waivers and the legal audit of secondary employment.

Historically, corrections to secondary employment requests account for approximately 20% of the total caseload. Due to a reduction in operations resulting from COVID-19, this trend experienced some stalling. However, it is projected that by FY 2026, the trend should be reestablished as caseload continues to steadily increase.

Performance Measures

See Table 2.1 above.