

ETHICS COMMISSION

FY2019

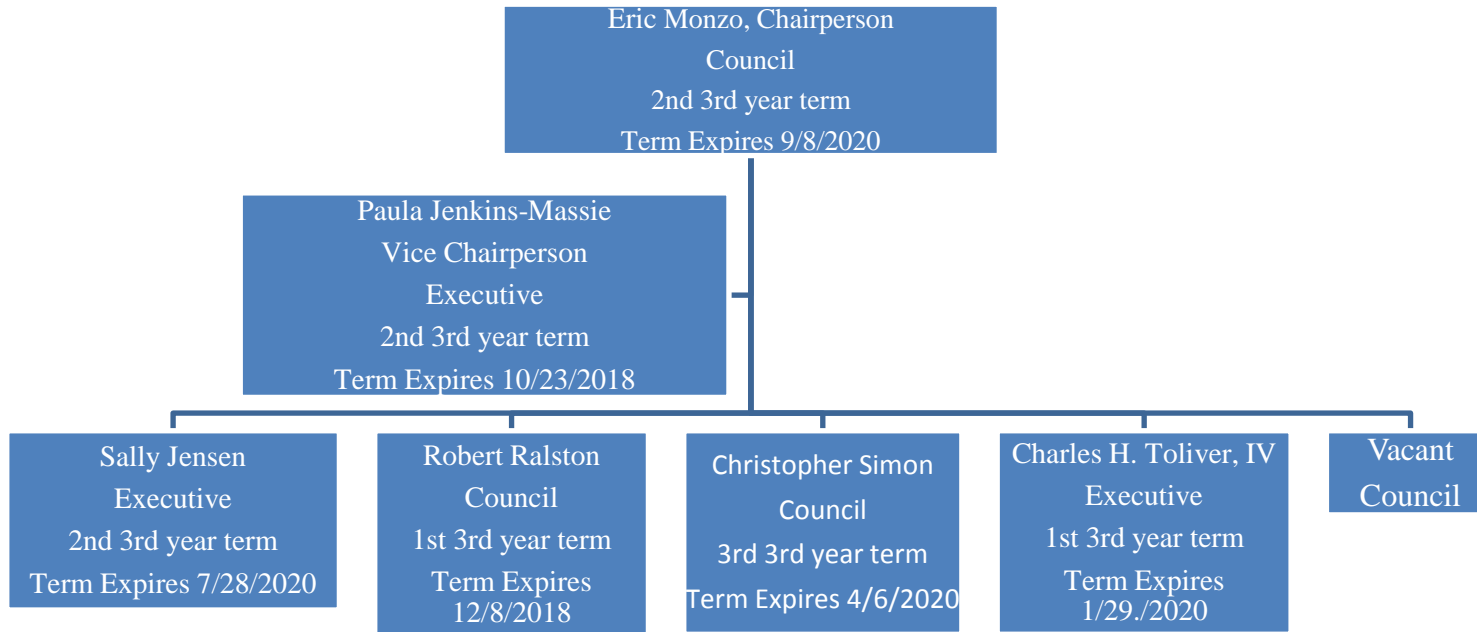
RECOMMENDED BUDGET

TO THE COUNTY COUNCIL



NEW CASTLE COUNTY ETHICS COMMISSION FY2019 ORGANIZATIONAL CHART

MISSION: The New Castle County Ethics Commission is created by the New Castle County Code and is responsible for administering and enforcing the Code's ethics and conduct provisions. The Commission's duties include advisory opinions, conducting preliminary inquiries, formal investigations and evidentiary hearings concerning alleged Code violations and imposing sanctions, if appropriate as well as the financial interests disclosure process.





NEW CASTLE COUNTY ETHICS COMMISSION FY2018 ACCOMPLISHMENTS

- On behalf of the Commission, the Ethics Counsel, former Ethics Counsel, Ethics Investigator, and two Commissioners, conducted ethics seminars for County government leaders and employees.
- Some of these sessions were part of the County's management certificate program and some were mandatory ethics training.
- The Commission continues to offer ethics training for all new employees, New Castle County Police recruits and members of County Boards.
- The Commission processed 9 Advisory Opinion requests and responded to an increased number over last year of verbal or informal opinion or advice requests.
- The Commission held 12 regular public meetings in 2017, one of which was continued to a second date for completion of agenda items, including an annual public hearing in November 2017.
- By December 2017, the Commission received 8 sworn complaints since January 2017.
- All required Statement of Financial Interests forms were filed electronically.
- Continued improvement in coordination with the Administration and Council for Statement of Financial Interests filings for nominees to Boards and Commissions and new employees.
- The 2016 Annual Report was issued on January 31, 2017.
- Three Commissioners were reappointed in 2017. One was a County Executive appointment and two were County Council appointments. One new Commissioner, a County Executive appointment, was appointed to the Commission.
- Two Commissioners attended the annual Council on Government Ethics Law ("COGEL") for the first time, accompanied by Ethics Counsel. Ethics Counsel and a former Commissioner participated in the creation of a government ethics professional certification program through COGEL.



NEW CASTLE COUNTY ETHICS COMMISSION FY2019 GOALS

- Electronic publication of Ethics Commission information made available to everyone including County employees, officials, and the public in the form of public meetings, website postings, emails, and in-person discussions.
- Completion of training on Ethics Code to all County employees and officials, new and current, on an annual basis in cooperation with the County Council and the County Administration.
- Investigations of all complaints performed per statutory requirements.
- Maintain an average of virtually 100% of Statement of Financial Interests forms filed electronically.
- Issue written responses to formal Advisory Opinion and Post-Employment waiver requests per statutory requirements.
- Annual Report issued by February 1, 2019.
- Notices to annual Statement of Financial Interests filers mailed by March 31, 2019.
- Respond to FOIA requests per statutory requirements.



NEW CASTLE COUNTY ETHICS COMMISSION FY2019 CHALLENGES

- Continue to improve ethics training opportunities for County Council and County board and commissions, officials, and employees of the Administration, and improve attendance at all Ethics seminars conducted by the Commission.
- Optimize timeframes for complaint preliminary inquiries and formal investigations.
- Continue to assist in the timely filing of the Statement of Financial Interests form by improving the compatibility of the electronic site with commonly used browsers, as well as further improvement of the form itself.
- Continue to maintain timely filing of annual Statement of Financial Interests at virtually 100%.
- Meet the demands placed on the Ethics Commission and its office by the handling of matters filed this year and the resolution of the record number of complaints filed in recent past years.
- Create an inter-active on-line Ethics Code training, FOIA request form on Ethics Commission website.
- Complete creation of on-line gift log website.
- Complete revision of Commission Regulations.
- Consider revision of Ethics Code and the best method to achieve desired result county-wide.
- Fill the current vacancy on the Commission to better secure a quorum each month as required by ordinance for Commission meetings due to a vacancy on the Commission.
- Obtain electronic legal research capability as the Commission is no longer part of the government group contract.
- Continue with improvement and maintenance of the Commission's electronic hardware and software.
- Continue to respond to increased number of FOIA requests per statutory requirements.

**NEW CASTLE COUNTY
ETHICS COMMISSION
DIVERSITY SUMMARY FOR CY2017**

JOB CATEGORIES	NUMBER OF EMPLOYEES														
	MALE							FEMALE							Totals
	Hispanic or Latino	White (Non Hispanic or Latino)	Black or African American (Non Hispanic or Latino)	Asian (Non Hispanic or Latino)	Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)	American Indian or Alaska Native (Non Hispanic or Latino)	Two or More Races (Non Hispanic or Latino)	Hispanic or Latino	White (Non Hispanic or Latino)	Black or African American (Non Hispanic or Latino)	Asian (Non Hispanic or Latino)	Native Hawaiian or Other Pacific Islander (Non Hispanic or Latino)	American Indian or Alaska Native (Non Hispanic or Latino)	Two or More Races (Non Hispanic or Latino)	
Officials and Administrators															0
Professionals															0
Technicians															0
Paraprofessionals															0
Administrative Support								1							1
Skilled Craft Workers															0
Service-Maintenance															0
Certain Elected/Appointed Officials															0
TOTAL	0	0	0	0	0	0	0	0	1	0	0	0	0	0	1

State and Local Government Information (EEO-4) Report Format: In advance of the September 30, 2017 deadline for filing the FY2017 EEO-4 Report, the Office of Human Resources implemented changes in ethnic group coding required by the Equal Employment Opportunity Commission (EEOC). In addition, job categories were reviewed on a county-wide basis, resulting in job category changes to approximately fifty (50) position titles.

Category	Males	Females	Total
# Total	0	1	1
% Total	0%	100%	100%
# Non White	0	0	0
% Non White	#DIV/0!	0%	0%

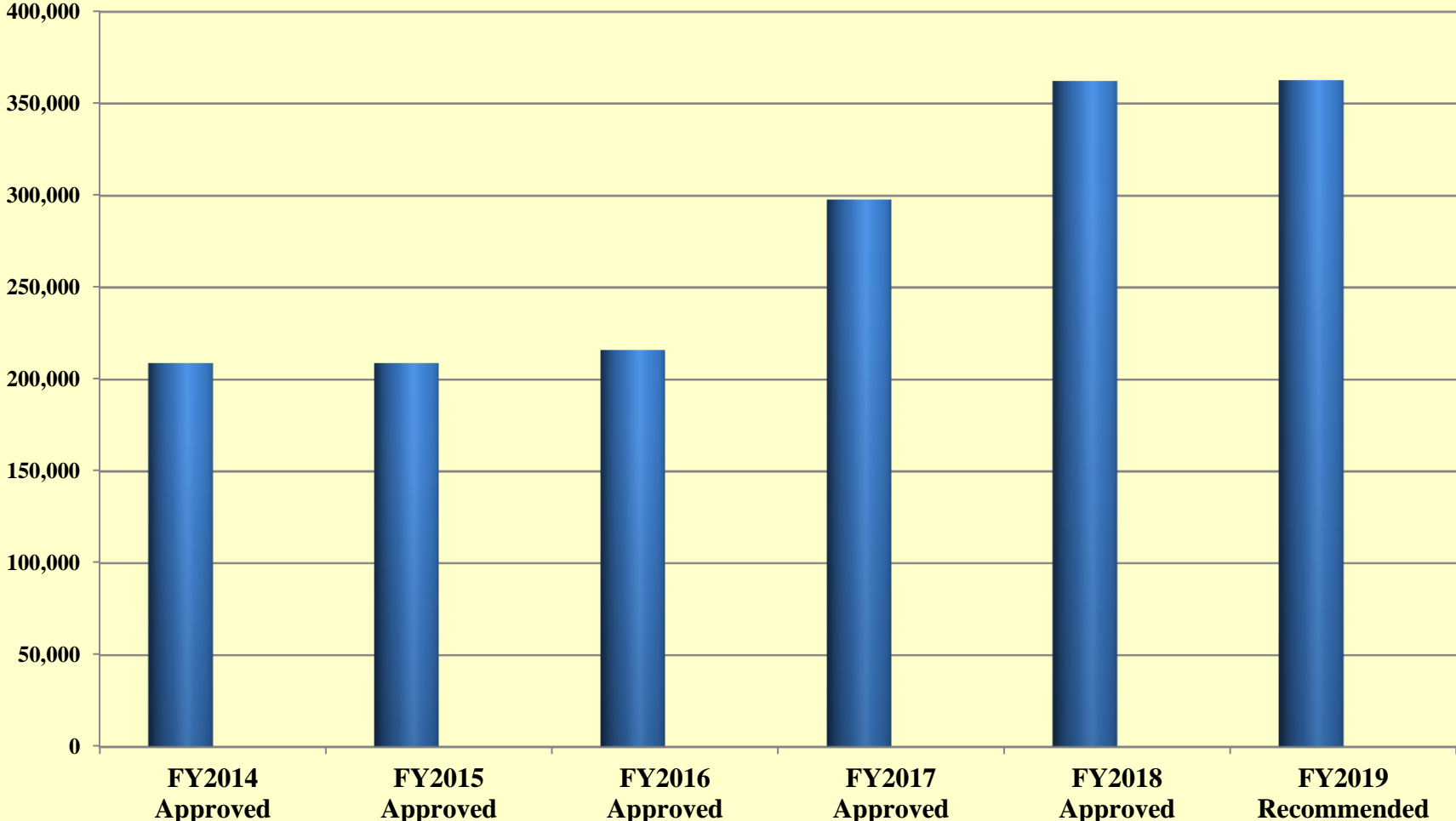
**NEW CASTLE COUNTY
ETHICS COMMISSION
DIVERSITY SUMMARY FOR 2016-2014**

JOB CATEGORIES		NUMBER OF EMPLOYEES										
		Overall Totals (Sum of Col. B-K)	MALE					FEMALE				
			White (Not of Hispanic Origin)	Black (Not of Hispanic Origin)	Hispanic	Asian or Pacific Islander	American Indian or Alaskan Native	White (Not of Hispanic Origin)	Black (Not of Hispanic Origin)	Hispanic	Asian or Pacific Islander	American Indian or Alaskan Native
			A	B	C	D	E	F	G	H	I	J
Officials and Administrators	2016											
	2015											
	2014											
Professionals	2016											
	2015											
	2014											
Technicians	2016											
	2015											
	2014											
Paraprofessionals	2016											
	2015											
	2014											
Administrative Support	2016							1				
	2015							1				
	2014							1				
Skilled Craft Workers	2016											
	2015											
	2014											
Service-Maintenance	2016											
	2015											
	2014											
Certain Elected/Appointed Officials	2016											
	2015											
	2014											
TOTAL	2016						0	1	0	0	0	0
	2015						0	1	0	0	0	0
	2014						0	1	0	0	0	0

State and Local Government Information (EEO-4) Report Format

BUDGET OVERVIEW

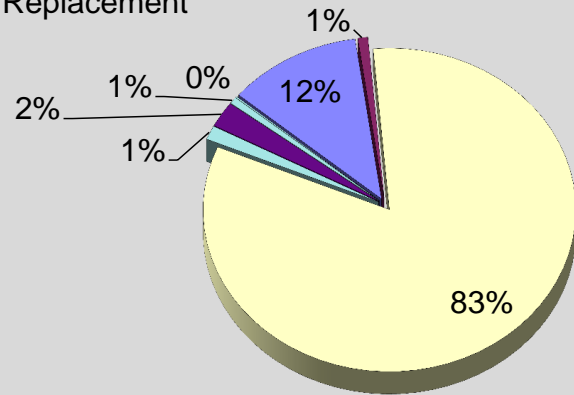
**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET HISTORY**



	FY2014 Approved	FY2015 Approved	FY2016 Approved	FY2017 Approved	FY2018 Approved	FY2019 Recommended
ETHICS COMMISSION	209,098	208,910	215,924	298,003	362,341	362,606
% Change over PY	-1.45%	-0.09%	3.36%	38.01%	21.59%	0.07%

**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET OVERVIEW**

- Personnel Costs
- Comm/Utilities
- Contractual Services
- IGS Costs
- Training and Civic Affairs
- Materials and Supplies
- Equipment Replacement



<u>Object Level</u>	<u>FY2019 Recommended</u>
Personnel Costs	\$42,150
Comm/Utilities	3,143
Contractual Services	300,000
IGS Costs	5,063
Training and Civic Affairs	9,300
Materials and Supplies	2,450
Equipment Replacement	500
Total Finance Budget:	\$362,606

**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET SUMMARY**

	FY2018 Approved	FY2019 Recommended	FY2018 Approved vs. FY2019 Recommended	% Increase/ (Decrease) over FY2018 Approved
Salaries and Wages	\$36,000	\$38,000	\$2,000	5.56%
Employee Benefits	\$3,600	\$4,150	\$550	15.28%
Training and Civic Affairs	\$10,550	\$9,300	-\$1,250	-11.85%
Communications/Utilities	\$3,200	\$3,143	-\$57	-1.78%
Materials and Supplies	\$2,450	\$2,450	\$0	0.00%
Contractual Services	\$300,000	\$300,000	\$0	0.00%
Equipment Replacement	\$500	\$500	\$0	0.00%
Intergovernmental Service Charges	\$6,041	\$5,063	-\$978	-16.19%
Total:	\$362,341	\$362,606	\$265	0.07%

**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET DETAILS**

Object Level	FY2018 Approved	FY2019 Recommended	\$ Change	% Change
Salaries and Wages:	\$36,000	\$38,000	\$2,000	5.56%
Salary for one part-time Confidential Assistant				
Employee Benefits:	\$3,600	\$4,150	\$550	15.28%
Reflects Employee benefit rate of 10.922%				
Training and Civic Affairs:	\$10,550	\$9,300	(\$1,250)	-11.85%
<p>(\$1250) decrease represents reduction in Airfare. The Commission has determined that attendance at the Council of Governmental Ethics Law's (COGEL) annual conference is an important and necessary expense in order to educate and assist Counsel and the Commission to fulfill their obligation to the public. The request covers the COGEL annual conference and other local ethics training related expenses. Please note that the reduction in this item of \$1,250 reflects travel costs savings due to the nearby location of COGEL 2018. This amount may need to be reinstated in following years, if needed for travel.</p>				
Communication and Utilities:	\$3,200	\$3,143	-\$57	-1.78%
<p>(\$57) decrease represents reduction in telephone costs The Commission will attempt to contain these costs, despite postal service increases, for statutorily required</p>				
Materials and Supplies:	\$2,450	\$2,450	\$0	0.00%
<p>The Commission will attempt to contain these costs for Rules and Code books and subscriptions, office and computer supplies. There is no change requested.</p>				

**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET DETAILS**

Object Level	FY2018 Approved	FY2019 Recommended	\$ Change	% Change
Contractual Services:	\$300,000	\$300,000	\$0	0.00%
<p>There is no change requested.</p> <p>Funding is primarily for independent investigators, outside Attorney Fees, and Commission Counsel. The Commission cannot predict the number of complaints it will receive, or the number of investigations and hearings necessary to resolve them with the use of Ethics Counsel, investigators and/or outside counsel, however, a record number of complaints were filed in FY16 and FY17 and such a trend may continue into the near future.</p> <p>Additionally, the nature and complexity of the pending complaints requires unusually complicated and multi-faceted investigations and analyses.</p> <p>The Commission intends to use its members, counsel, its investigator and former counsel to provide one or more seminars for managers and others, with the use of consultants as needed.</p> <p>The Commission needs approximately \$6,000 annually for electronic research services from a competent vendor.</p>				
Equipment Replacement:	\$500	\$500	\$0	0.00%
<p>There is no change requested.</p> <p>Maintaining and upgrading of equipment as needed.</p>				
Intergovernmental Service Charges:	\$6,041	\$5,063	(\$978)	-16.19%
<p>Information Systems - \$4,063 (increase of \$302)</p> <p>Photocopies - \$0 (decrease of \$1280)</p> <p>Printing - \$1,000 (no change)</p>				

BUDGET BY OBJECT LEVEL 3

**NEW CASTLE COUNTY
ETHICS COMMISSION
BUDGET BY OBJECT LEVEL 3**

Object Level 1	Object Level 3	FY2019 Requested
11 Salaries & Wages	1002 Salaries & Wages-Part-Time	\$38,000
11 Salaries & Wages Total		\$38,000
15 Employee Benefits	1520 Emp. Bene.-Part time	\$4,150
15 Employee Benefits Total		\$4,150
22 Training /Civic Affairs	2001 Airfare	\$500
	2003 Taxi and Shuttle	\$250
	2004 Mileage Reimbursement	\$700
	2006 Parking Fees	\$100
	2007 Tips, ATM charges, misc. expense	\$100
	2010 Hotel Accomodations	\$2,000
	2020 Meals	\$350
	2030 Communication charges	\$1,100
	2102 Seminar Fees	\$3,250
	2301 Membership Dues	\$450
	2310 Catering	\$500
22 Training/Civic Affairs Total		\$9,300
23 Comm /Utilities	3100 Postage	\$2,600
	3200 Telephone Service	\$543
23 Communication/Utilities Total		\$3,143
24 Materials /Supplies	4000 Books and Subscriptions	\$300
	4004 Miscellaneous Materials	\$100
	4101 Office Supplies	\$1,550
	4104 Computer Supplies	\$500
24 Materials/Supplies Total		\$2,450
25 Contractual Services	5300 Printed and Related Costs	\$5,500
	5406 Other Professional Services	\$25,000
	5409 Information System Support	\$25,000
	5408 Attorneys Fees	\$240,895
	5502 Duplicating and Reproduction	\$3,105
	5800 Advertising Services	\$500
25 Contractual Services Total		\$300,000
26 Equipment	6105 Computer Printers	\$500
26 Equipment Total		\$500
30 IGS Charges	5900IS Conrac-Data Processing	\$4,063
	5901IS Conrac-Photocopies	\$0
	5902IS Conrac-Printing & Dupl.	\$1,000
30 IGS Charges Total		\$5,063
Grand Total		\$362,606