

# Oregon Government Ethics Commission

## 2017 – 2019 Budget Presentation

Executive Director  
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## **2017-19 Budget Presentation**

### **Oregon Government Ethics Commission**

#### **Mission, Goals and Historical Perspective**

The mission of the Oregon Government Ethics Commission (OGEC) is to impartially and effectively administer and enforce Oregon's government ethics laws for the benefit of Oregon's citizens. The Commission emphasizes education in achieving its mission.

The regulatory jurisdiction of the Oregon Government Ethics Commission covers provisions of ORS Chapter 244, Oregon Government Ethics law; ORS 171.725 to 171.785 and 171.992, Lobby Regulation law; and executive session provisions of Oregon Public Meetings law, ORS 192.660.

Additional information regarding those statutes is referenced in OAR Chapter 199, Oregon Government Ethics Commission Administrative Rules. Administration of the Ethics, Lobbying and Executive Session laws includes the training of public officials, lobbyists and the public on the essence of these laws.

The agency focuses on training public officials throughout the state and in all levels of government to prevent violations of the ethics, lobby and executive session laws. To achieve this goal, the agency has two full-time trainers, recently joined by another staff person with approximately 0.4 FTE devoted to training and education. One challenge to meeting this goal is the constant turnover of public officials throughout all levels of government. To address that issue, the agency is developing a variety of on-line programs to train new public officials on the requirements outlined in the ethics, lobby, and executive session laws.

In 1974, more than 70 percent of Oregon voters approved a statewide ballot measure to create the Oregon Government Ethics Commission. The ballot measure also established a set of laws (ORS Chapter 244) requiring financial disclosure by certain officials and creating a process to deal with the inevitable question of conflict of interest. The drafters of the original laws recognized that "conflict of interest" is, indeed, inevitable in any government that relies on citizen lawmakers.

The Oregon Legislature changed the agency's name to Government Standards and Practices Commission in 1993. The name was changed back to Oregon Government Ethics Commission by the 2007 Legislature. The Government Ethics Commission has nine volunteer members. Eight members are appointed by the Governor upon recommendation by the Democratic and Republican leaders of the Oregon House and Senate. The Governor selects one member directly. All members must be confirmed by the Senate. No more than three of the members may be from the same political party. The law allows members to serve only one four-year term.

The Government Ethics Commission is administered by an executive director selected by the commissioners. The Commission also employs investigative, program, and support staff, who are appointed by the executive director.

## **Programs**

### **Education and Training**

The agency prioritizes education and training because the ethics laws are complex and many public officials do not know what is expected of them. The demand for education and training remains high as ethics laws change and new public officials take office. The OGEc continues to make a focused effort to increase its educational presence. This effort includes 2.4 FTE that are dedicated to education and training. These positions are designing an educational program to reach many more public officials than the agency has ever achieved in the past. The positions will also be available to provide staff advice to questions from public officials. The agency has designed a six-year work plan to train all public officials about the requirements of the ethics laws. The program will include web-based training made available to everyone throughout Oregon. The program will include several modules focusing on all areas of the OGEc, including Statement of Economic Interest forms, ethics laws, lobbying laws, new employee orientations, executive session provisions, on-line reporting training, etc. The training work plan concentrates not only on programs of training, but on training specific groups, such as city recorders, county clerks, state agency trainers, special districts and school districts. The trainers will also develop a training program addressing the executive session provisions of ORS Chapter 192.660. OGEc has seen a fairly consistent increase in violations from government entities improperly meeting in executive session.

### **Investigations**

The investigative program relies on two FTE, an Investigator 3 and a Compliance Specialist 2, with additional assistance from the newer Compliance Specialist 3 position. These positions respond to complaints filed with the agency. The investigative process is two-fold, starting with a preliminary review of the information provided to the agency with the complaint. As of July 1, 2015, the preliminary review period has a statutory time limit of 30 days for nearly all cases. At the end of preliminary review, the Commissioner votes to either move the complaint into investigation or to dismiss the complaint. If the complaint is moved into investigation, the staff conducts a complete investigation on the complaint within the statutory deadline of 180 days. The investigation can include interviews with all parties involved, review of documents, including financial documents, subpoena of records, etc. At the end of the investigation, staff write an investigative report, including a recommendation to either find a violation or to dismiss. The Commissioners review the report and vote on its recommendation. The agency investigates complaints on ethics laws (ORS chapter 244), lobby laws (ORS chapter 171.725-171.992) and the executive session provisions of the public meeting laws (ORS 192.660).

## **Administration**

In 2009, the agency rewrote its performance measures to better measure what the agency is accomplishing. They include accounting for increased funding as the agency has grown, and ensuring the funds are used to benefit Oregonians and the ethics programs they are requesting (on-line reporting, web-based searchable data, auditing records, educating public officials, etc.). The performance measures also include timeliness and fairness of enforcement actions, and creating transparency for the agency. Administration will also be responsible for continuing to work with a variety of public offices in administering the funding model in the 2017-19 biennium. This funding model diversifies the agency's revenues and also increases the agency's obligation to become transparent to all public bodies and the public in general, since they all have a financial interest in the agency. Administration strives to be accountable to all who pay, and informs the bodies of the work that is being completed and how this work benefits them.

## **Lobbying Registrations**

The biggest change to lobbying registration and reporting has been the introduction of the agency's Electronic Filing System, which debuted in January 2016. The time period in which a lobbyist has to register after agreeing to lobby for a client was reduced to 3 days in 2016, a change that was made possible by the Electronic Filing System. Lobbyists and their clients now receive emails reminding them to file their quarterly expenditure reports, and the public can view the completed forms online as soon as they are submitted. The Electronic Filing System also greatly increases the tracking of filings, allowing the agency to pinpoint missing filings much more quickly.

## **Statements of Economic Interest**

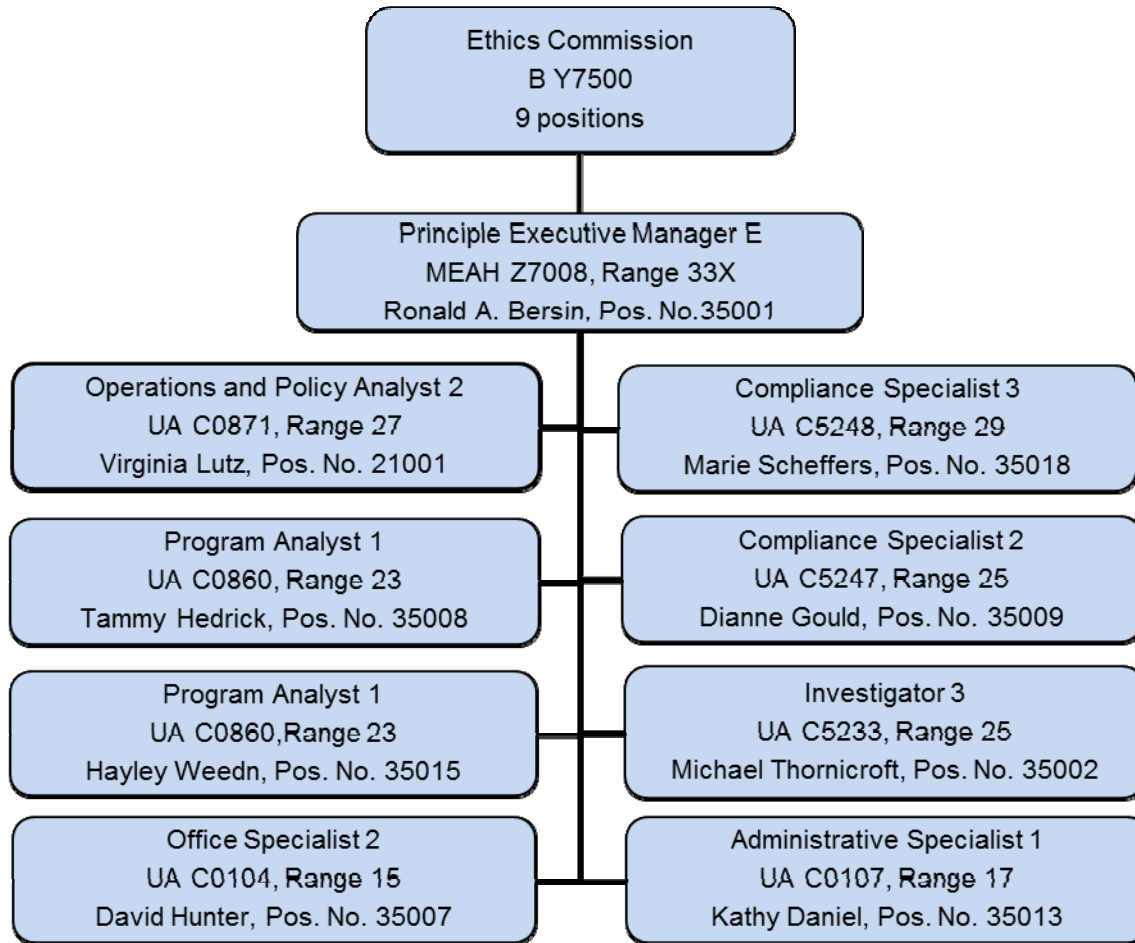
Statements of Economic Interest (SEIs), which are filed by approximately 6000 elected and appointed officials throughout the state, are now filed online via the Electronic Filing System, and began with the April 2016 filing. Because the electronic system can repopulate the fields based on the previous year's information, the agency expects that the system will greatly reduce the burden on public officials who file repeat SEIs in 2017 and thereafter. The information in the SEIs is immediately available online to the public. The agency has seen a decrease in public records requests for 2016 SEIs and an increase in follow-up inquiries about 2016 SEIs from the public and the media, suggesting that the public access is increasing transparency.

## **Target Groups**

The agency work targets many stakeholders throughout all levels of Government such as the League of Oregon Cities, Association of Oregon Counties, School Boards Association, Oregon Education Association, Special Districts Association, etc. The agency's

assessment model includes all of the above stakeholders. Cities, counties and special districts that are subject to the Municipal Audit Law are assessed a fee to fund one-half of the agency's biennial budget. This is a cooperative effort between state and local governments to fund the programs of the Commission, including training. The agency targets public officials in all of these jurisdictions for training on the ethics laws. The agency also targets lobbyists and the entities that hire lobbyists. The lobby laws contained in ORS Chapter 171 require lobbyists and the entities they represent to register and file quarterly expenditure reports with the Commission. These registrations and expenditure reports become public records used by a wide variety of Oregonians.

**Organization Chart**



## Performance Measures

The agency currently has six performance measures. The agency uses the performance measures to measure progress and prioritize its limited resources towards accomplishing the measures. This past biennium, the agency made progress on the percentage of statutorily allowed time on its formal advice given to public officials and governmental entities. This faster turnaround time benefited the requesting entity.

During the next biennium, the agency will continue to measure:

- **The percentage of time used to complete preliminary reviews, investigations, staff and commission advisory opinions.** HB 2019 (2015) changed the statutory time limits on preliminary reviews from 135 days to 30 days. The other timelines remain unchanged since 2009. The measure gives the agency information about the percentage of time used to complete tasks within these statutory time limits.
- **The number of complaints received and own motions actions taken by the Commission.** This measure helps the agency manage its resources and predict changes to the numbers in the future.
- **Training Effectiveness.** This measure provides data on the information learned by participants through the agency's training efforts. The agency uses interactive methods to test participants before and after trainings and compares the responses. This measure helps the agency develop and refine effective training programs.
- **Quality of Investigations.** A set of criteria for investigations are measured. The agency will seek outside assistance with the review of investigations for compliance with the criteria. This measure helps the agency to develop effective and efficient investigation methods.
- **Customer Service.** The agency polls its customers each year on customer satisfaction. The survey includes categories of Availability, Helpfulness, Expertise, Timeliness, Accuracy, and Overall Satisfaction. The agency surveys its stakeholders through its own distribution network.
- **Best Practices.** The agency completes the required Best Practices Survey each year. The annual review is used to plan administrative changes needed in the next review period.

## Budget Drivers

The Oregon Government Ethics Commission (OGEC) budget has been driven by several Information Technology (IT) projects during the last biennium. In an effort to increase transparency, the OGEC has moved away from "paper" filings to electronic, on-line filing of Lobby/Client registrations and quarterly reports, annual Statement of Economic Interest (SEI) reports, ethics complaints, final dispositions of investigations, and the listings of both informal and formal advice issued by the Commission.

The agency engaged in two IT projects to accomplish the goal. The Electronic Filing System (EFS) began in the 2013-15 biennium. This system allows lobbyists, their clients, and SEI filers to submit their statutorily-required reports to the Commission on-line. In addition, once filed, the documents are immediately available for viewing by the public, thereby eliminating the need for public records requests.

In the 2015-17 biennium, funding was made available for the development of the Commission's Case Management System (CMS). The CMS allows the agency to post final dispositions of investigations on-line for public view, again eliminating the need for a public records request.

The agency will also post its informal and formal written advice through the CMS. Easy access to on-line advice by the agency's staff will ensure consistency when issuing advice about similar matters. The availability of on-line advice will also benefit the agency's education program. The advice is organized in an easily searchable format, and all public officials, as well as the public, will have easy access to it through the agency's website.

Lastly, the CMS will allow complaints to be filed with the agency through an on-line submission process. The Complainant will simply fill out the electronic complaint form, and may upload any evidence they wish to include with it. The system will automatically acknowledge the submission and assign the complaint to one of the agency's investigators. The CMS will allow both the Respondent and the Complainant to submit additional information and communicate directly with the assigned investigator. The system will allow the agency to more effectively meet the reduced timelines for investigations brought by the statutory changes made in Governor Brown's ethics reforms during the 2015 full legislative session.

The agency's budget includes subscription fees to pay for the applications. The agency paid no development costs for either project, instead paying an annual subscription fee to NIC USA for the use of the application. The subscription fee includes all maintenance of the application.

The agency's GRB includes policy packages that address the increased complexity of the work performed by positions within the agency. One is a reclass of the agency's Program Analyst 1 position (Position No. 21001 MMN X0860) to that of an Operations and Policy Analyst 2 (OPA2 UA CO871). The reclass addresses the increased complexity of the work performed by that position. The position description was updated to include the increased level of duties as it relates to the agency's new on-line applications for Lobby/Client reports and Statements of Economic Interest. This position is the agency expert and primary contact for system users and application's development vendor. The reclass also addressed moving this position out of management (Non-Supervisory Management MMN) and into Unrepresented (UA) status.



The other package is the reclassification of the Executive Director position from PEMD to PEME. The Commission requested a review of the Executive Director's position description and duties. Three years prior, the Commission had asked for this same review; however, DAS requested that the Commission hold its request until The Oregon Management Project (TOMP) review was complete, which would accomplish the same thing as the Commission's request.

Last year when TOMP's completion was postponed, the Commission requested that the Executive Director's position be reviewed under the Hayes system. DAS completed the review and determined that the position was performing at the PEME level, and recognized that the reclassification should have occurred with the original request three years prior. The reclassification considers the increased duties and responsibilities of the past several biennia. Those duties include increased supervision of employees (moving from two employees to eight), increased budget (moving from \$600,000 biennial budget to 2.7 million), increased complexities in administering the agency's budget (from one budget fund to four), increased number of Commission members and meetings, (from seven Commissioners to nine, and six annual meetings to seven), and administering two IT projects from inception through completion, and continuing to manage the completed applications. The findings of DAS Classification and Compensation placed the position well within the range needed to move the position from a PEMD to a PEME.

### **Environmental Factors**

In 2005, the Oregon Law Commission was asked to review the ethics laws. With that review came many proposed changes to the laws in the 2007 legislative session. The two main changes to the laws came from Senate Bill 10 and House Bill 2595. Both bills contained portions of recommendations from the Oregon Law Commission, as well as changes proposed by other parties during the 2007 legislative session. Some of the major changes included assessing public bodies for the operating costs of the OGEC, restricting gifts to no more than \$50.00 per year from a source with a legislative or administrative interest, prohibiting the acceptance of entertainment by public officials, increasing the reporting frequency of lobbyists and entities that employ lobbyists, increasing the number of Statement of Economic Interest filers, expanding the agency's authority to promulgate administrative rules, and increasing the civil penalties for violations. The 2007 legislature also increased the agency's staffing to accommodate the increased workload created by the revisions to the laws. The environment required that some changes were needed to address the revisions made by the 2007 legislature. The agency had difficulties in implementing some of the changes and other changes were met with some resistance from public officials throughout the state. The agency has promulgated administrative rules to bring clarity to the changes to ORS Chapter 244. Both formal and informal written opinions were issued and training sessions were conducted, bringing clarity to the new provisions of ORS Chapter 244 and OAR Chapter 199.

The 2009 legislature made additional changes to the ethics laws in both SB 30 and HB 2518. Many of the changes were designed to fix some of the problems experienced with the changes made previously by SB 10 and HB 2595. Those changes included the removal of relatives and members of household from the Statement of Economic Interest Statements (SEI), a change to legislative and administrative interest, the elimination of the Quarterly Statements filed by SEI filers, and many others. That also increased the agency's workload with additional trainings, issuance of informal staff advice, and both staff and formal Commission written opinions.

After Governor Brown took office in 2015, she introduced several bills that have affected the agency's work. HB 2019 (2015) changed the number of commissioners from seven to nine. It shortened the initial stage of a case, the Preliminary Review, from 135 days to 30 days. It also required the agency to make advisory opinions and findings of violation of ORS Chapter 244 available to the public online in a searchable format. As part of this bill, the agency received funding for a Compliance Specialist 3 position to manage the development of the new electronic case management system, ease the burden of the shortened Preliminary Review period on the two investigators, develop administrative rules and add to the depth and breadth of the training and education program. In the 2015 session, the agency was also given the authority to adopt administrative rules under the executive session provisions of ORS 192.660, which is a frequent topic of questions and complaints received by the agency.

The agency has made a significant commitment to education. In-person training sessions have been conducted statewide. An even more significant fact is that over 2,400 public officials have attended the in-person trainings. That is approximately 200 public officials statewide each month receiving ethics training in person. Over the past biennium the agency has also focused on on-line webinars. The agency conducts these on-line webinars on an average of 6-8 times monthly. During SEI filing season (March through April), the agency adds several on-line webinars to train new filers. The agency expects to continue to transition its focus towards on-line trainings. The on-line training program will realize a significant increase in the number of public officials trained by the agency. The number of visitors to the agency's training site continues to increase each month as word travels about its value. The agency has received many positive reviews from the on-line training modules and webinars. The agency is also currently exploring the installation of a smartboard monitor in its conference room, adding increased convenience for the on-line trainings. This monitor will also allow both Commissioners and the public to participate in Commission meetings.

The number of complaints filed with the Commission held fairly steady for several years, through 2014. When the Preliminary Review period was changed to 30 days in 2015, the tracking of complaints changed, because the agency could no longer request additional information prior to making a determination of whether a complaint was within the agency's jurisdiction. Prior to 2015, complaints that were filed with the Commission, which were outside of its jurisdiction, were included in the tally of complaints. The numbers from the second half of 2015 and from 2016 include only complaints that were opened as a Preliminary Review, not from information received in a letter or on a complaint form that failed to allege violations within the jurisdiction of the Commission. Despite the change in tracking,

the number of complaints remained high in 2015, likely because of increased awareness of the Commission due to press coverage. This also increased the correspondence received by the agency that did not fall within its jurisdiction.

The numbers below reflect the progression of complaints and violations for the past five calendar years (*violation numbers do not reflect complaints that are still pending resolution*).

	<u>2012</u>	<u>2013</u>	<u>2014</u>	<u>2015</u>	<u>2016</u>
Complaints received	120	120	112	109	52
Violations	33	34	21	24	7

The agency continues to see an increased awareness of the ethics laws and of the agency by both public officials and the general public. The training programs conducted by the agency increases this awareness. This may decrease or increase complaints, since public officials who receive training are less likely to violate ethics laws, but the training programs also raise awareness of what current violations may be occurring.

Another factor driving the increase in complaints (based on the new system of counting only opened complaints) in 2015 may be the media coverage during the 2015 session that informed the public of the increased push for transparency under the new governor. The media continues to cover the agency and its actions quite frequently. That coverage has led to an increase in the number of inquiries received from the public on the ethics laws, which has provided additional opportunities for the agency to educate and advise public officials so they can preemptively avoid any problems.

### **Major Changes**

Changes to the ethics laws and statutory deadlines, as described earlier in budget drivers and environmental factors sections, as well as the ongoing turnover in public officials in the state, are some of the biggest influences on the agency's budget. In the 2013-15 biennium, the agency developed the Electronic Filing System (EFS), which deployed on January 1, 2016. The deployment eliminated the paper system that required hard copy mailing and receipt of SEIs, lobbyist registrations and lobbyist and client expenditure reports. The electronic system sends notices, and receives and posts registrations and the information from the reports. Electronic filing provides the public with immediate access to the reports. Rather than spending resources on mailing and processing incoming paperwork, the agency staff are able to focus on answering questions and educating users of the system, managing and improving the electronic system, and ensuring that all reports are properly filed and are complete.

Another recent major change was the implementation of the Case Management System in the 2015-2017 biennium. The system allows the agency to upload final case dispositions and written advice issued by the Commission or Commission staff for the public to view and search. The reduced timeframes for the completion of preliminary reviews implemented in 2015 also affected the agency's caseload. Because the agency has no control over when complaints are filed, there are times when all efforts of all the investigators must be focused on new cases. This can make scheduling resources and responding to requests for advice difficult. In addition to some changes in staff processing procedures, this will also require the agency to provide training and assistance to public officials and members of the public as they learn to work with the system to find the information they need. The budget includes allocation of staff time for training on the system, as well as subscription fees and ongoing management of the system.

The agency's increasing push toward online training in the form of webinars is also reflected in the budget. Technology allows the agency to reach more public officials through webinars, but also improves the interactivity of training, both online and in person, resulting in better learning. The agency anticipates the purchase of a screen for the conference room that will allow for better interactivity for trainings and allow Commissioners or other parties to attend Commission meetings virtually, reducing costs for the Commission and the involved individuals, particularly in cases of inclement weather or distance.

### **Cost Containments**

The agency has utilized the technology available to it to reduce costs. This includes scanning information into PDF files and sending those files electronically, digital recordings of Commission meetings so the agency can post the recordings on its website for all interested parties, and the creation of training webinars conducted in-office.

The increased effort to electronically scan paper documents has reduced the agency's costs in responding to public record requests. The agency passes these cost savings on to the requesting party, since postage, printing and copying costs are eliminated. Most public record requests can be completed at no cost to the requestor. With the new Electronic Filing and Case Management systems, more cost-free information is immediately available to members of the public and other public officials.

The agency purchased a web cam and software to assist in the production of real-time webinars. These webinars allow the agency trainers to conduct trainings throughout the state, from the agency office, which reduces travel expenses. The webinar training is also cost effective to public officials from multiple locations in that they can attend from the comfort of their own workstations. The agency will continue to look for ways to utilize technology to deliver its training products.

The agency continues to look for opportunities to consolidate its expenses with other agencies. This includes sharing of office space, office equipment, meeting rooms, telephone and data lines, etc.

## **Major Budgetary Issues**

The major budgetary issue for the agency in the 2017-19 biennium is the subscription fees for the Electronic Filing and Case Management Systems. The 2013-15 biennial budget included a one-time \$800,000 special assessment for the electronic filing system to the governmental bodies required to pay the agency's assessment. In the 2015-17 biennium, the agency expended the remaining funds from that one-time special assessment to complete the Electronic Filing System. The remaining costs include project and change management, and training. Upon completion of the project, the agency met its statutory requirement for an electronic reporting system that is viewable to the public. The completion of this project will also be a major budget driver in future biennia. Resources that were once used to print, mail, receive and file statutorily required reports in the office will be used to ensure the accuracy of those reports.

## **Audits**

No audits were conducted by the Secretary of State's Audit Division during the 2015-17 biennium.

## **Legislation**

Senate Bill 43 requires that persons with work responsibilities that include lobbying must register as lobbyists even if they do not reach the 24-hour threshold of lobbying in a calendar quarter. Many of these employees of public or private entities are already registered as lobbyists, but this bill clarifies the requirement. Senate Bill 44 is a housekeeping bill that permits the Executive Director of the agency to designate tasks that are assigned to him by statute to an employee of the agency, ensuring that the agency can function if the Executive Director is absent or ill. House Bill 2298 clarifies language regarding the requirement for candidates to file annual verified Statements of Economic Interest (SEIs). Candidates for positions that file SEIs must file either on April 15 or, if they are not yet a candidate on April 15, at a later date. Some minor party candidates have refused to file an SEI, relying on confusing language in the statute. This bill would clarify that requirement. House Bill 2299 repeals ORS 244.400, which requires the agency to pay attorney fees if it loses a contested case hearing. The agency is the only one in the state with such a provision. If this statute is repealed, the agency would be subject to the Administrative Procedures Act, like every other agency, which allows a judge to impose attorney fees.

## **Information Technology**

As mentioned earlier, the 2017-19 biennial budget includes funding for subscription fees for the electronic filing and case management systems, as well as change management and training. These information technology (IT) projects allow the agency to send notices, and receive and process reports on-line, eliminating the need for printing, postage, processing, and filing the statutorily required reports

in hardcopy. The electronic system also provides immediate public viewing of the reports online, eliminating the need for a public records request. This will increase transparency of the reports to the public, thus accomplishing their intended purpose. The public also has access to final dispositions and advice online in a searchable format via the case management system.

## **APPENDIX**

1. Agency New Hires
2. Annual Performance Progress Report
3. Other Funds Ending Balance

## AGENCY NEW HIRES

### 2015-17 Biennium

1. C5248	Compliance Specialist 3	Step 4 **
2. C5233	Investigator 3	Step 1
3. C0107	Administrative Specialist 1	Step 6 **
4. C0104	Office Specialist 2	Step 9 **

\*\* The Compliance Specialist 3 position was brought in at step 4 based upon prior state experience and prior salary range.

\*\* The Administrative Specialist 1 position was filled with existing staff as a promotional opportunity.

\*\* The Office Specialist 2 position was filled with existing state employee as a promotional opportunity.



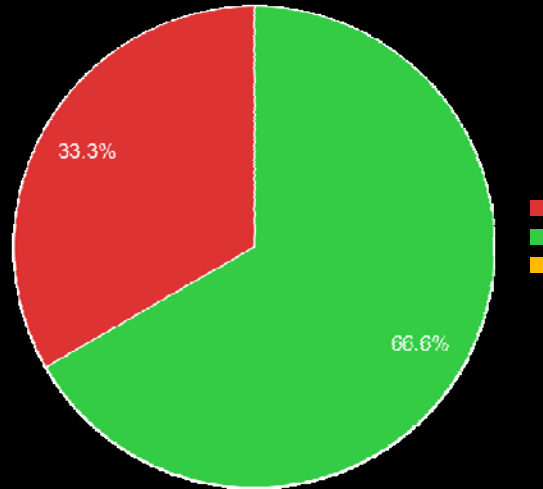
# Government Ethics Commission

Annual Performance Progress Report

Reporting Year 2016

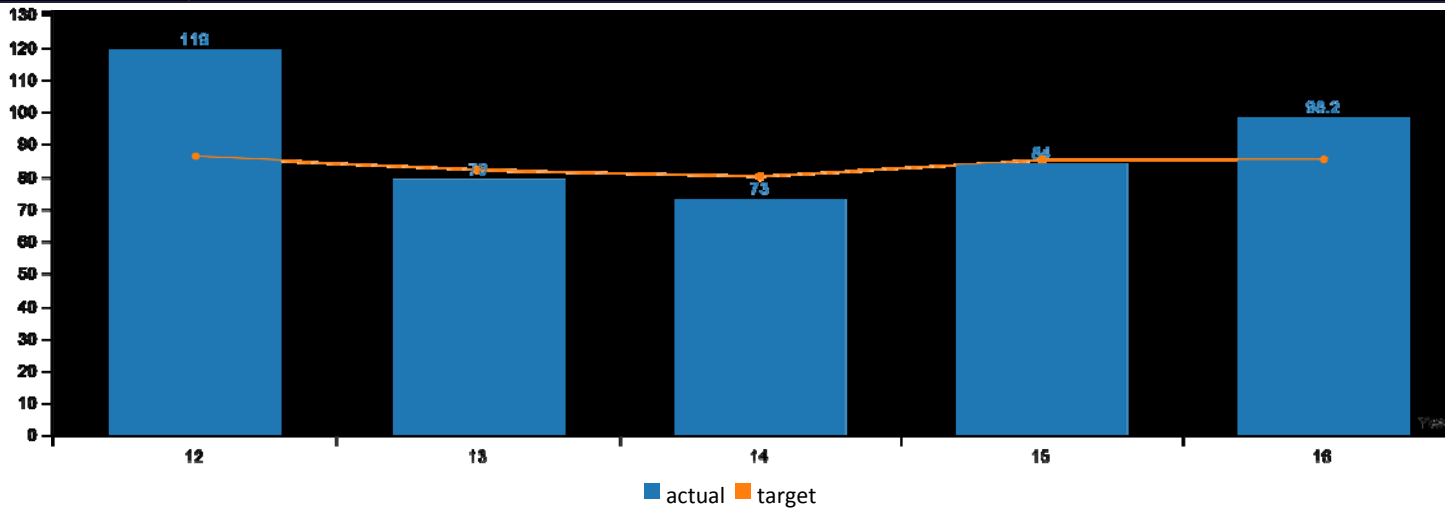
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KPM #	Approved Key Performance Measures (KPMs)
1	Percentage of statutory time limit used for preliminary reviews, investigations, staff opinions and Commission advisory opinions. -
2	Quality of investigations completed -
3	Training Program's Effectiveness -
4	Minimize Case Disposition Costs - Percentage of contested cases settled before hearing.
5	Customer Service - Percentage of customers rating their satisfaction with agency's customer service as "good" or "excellent": overall, timeliness, accuracy, helpfulness, expertise, availability of information.
6	Governance Best Practices - Percent of total best practices met by the commission.



	Green	Yellow	Red
	= Target to -5%	= Target -6% to -15%	= Target > -15%
<b>Summary Stats:</b>	66.67%	0%	33.33%
KPM #1	Percentage of statutory time limit used for preliminary reviews, investigations, staff opinions and Commission advisory opinions. -		

Data Collection Period: Jan 01 - Dec 31



Report Year	2012	2013	2014	2015	2016
percent usage of statutory time limits, preliminary reviews, investigations, staff and advisory opinions					
Actual	119%	79%	73%	84%	98.20%
Target	86%	82%	80%	85%	85%

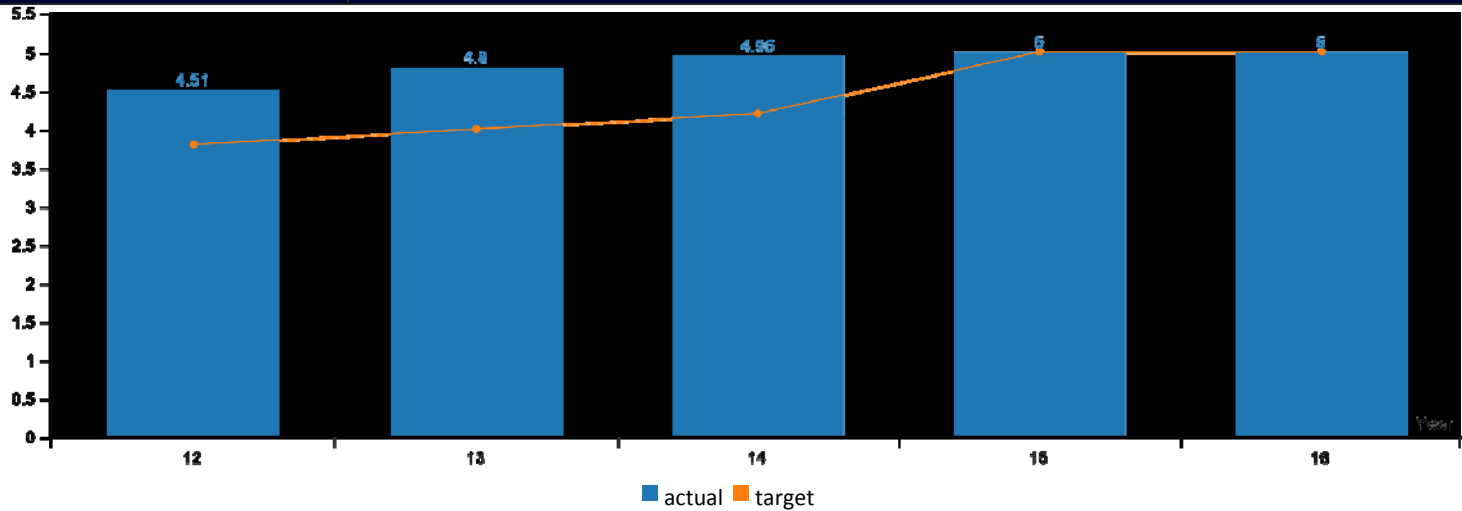
**How Are We Doing**

The data reflected is for calendar year 2015. The agency exceeded target on this measure because the agency used the statutorily-allowed 30 day extension on three of the four Staff Opinions issued. ORS 244.282(2) allows a 30 day extension of the 30 day time limit for Staff Opinions. On these three, the staff used 37, 57 and 40 days to complete the opinions, which resulted in a measure of 122% of the allotted time used. Another factor was the statutory reduction of time allowed for completion of the preliminary review phase of complaint investigations from 135 days to 30 days beginning July 1, 2015.

**Factors Affecting Results**

These factors were discussed earlier. The major factors affecting the measure were the reduction of preliminary review time from 135 days to 30 days beginning July 1, 2015, and the usage of statutorily-allowed extension of time for issuance of Staff Opinions due to staff availability, including turnover.

KPM #2	Quality of investigations completed -
Data Collection Period: Jan 01 - Dec 31	



Report Year	2012	2013	2014	2015	2016
<b>Quality of Investigations</b>					
Actual	4.51	4.80	4.95	5	5
Target	3.80	4	4.20	5	5

**How Are We Doing**

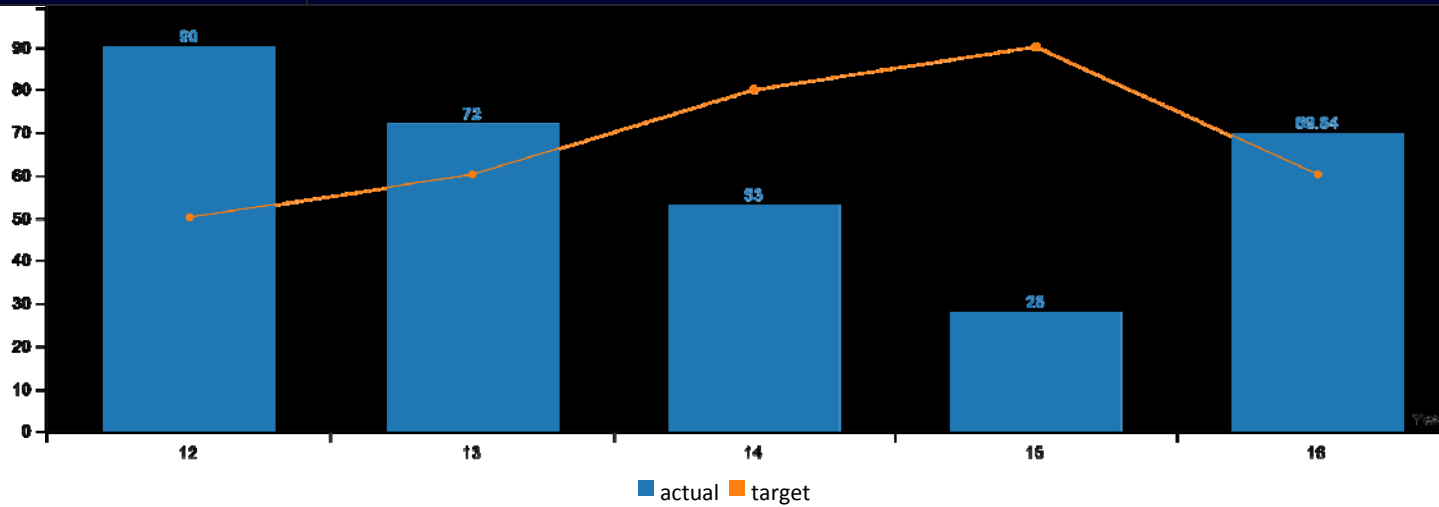
The data reflected is from the calendar year 2015. We are meeting the target on this measure. The measure is an objective measure of completed investigations.

**Factors Affecting Results**

The results are subject to the persons making the objective ratings. Eventually, the agency would prefer an outside source to rate the investigations; however, there is currently a lack of funding for this.

KPM #3	Training Program's Effectiveness -
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Data Collection Period: Jan 01 - Dec 31



Report Year	2012	2013	2014	2015	2016
<b>Percentage of increase/decrease of knowledge base</b>					
Actual	90%	72%	53%	28%	69.84%
Target	50%	60%	80%	90%	60%

**How Are We Doing**

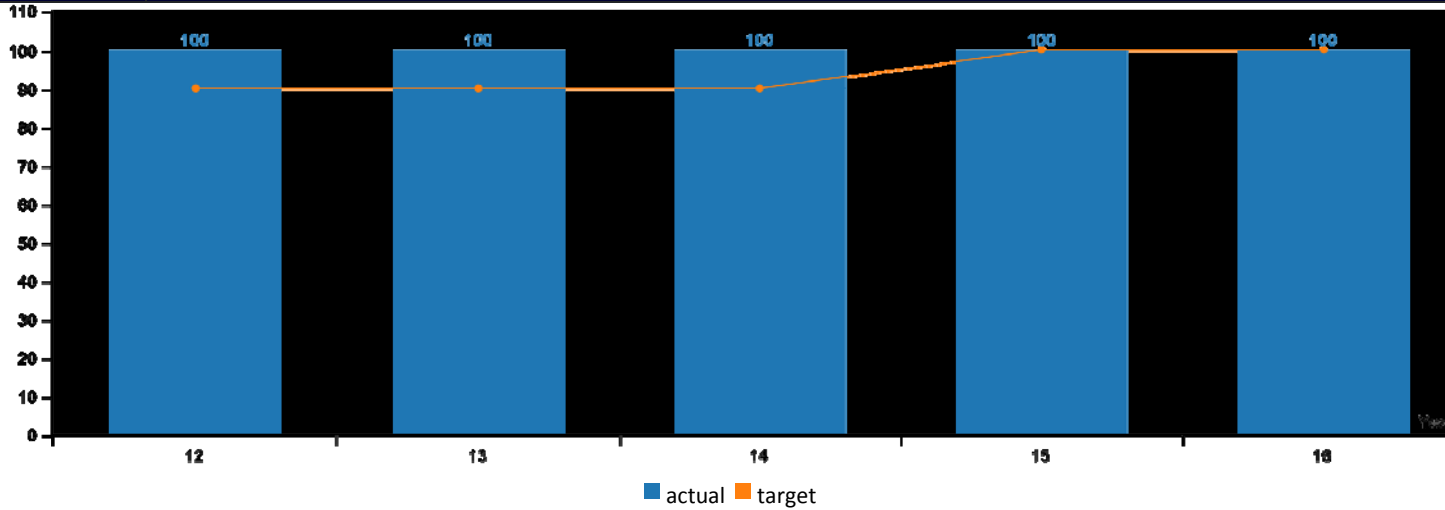
The data reported is from calendar year 2015. The agency is meeting its target. The trainers have worked hard to create pre and post-tests of their presentations, which reflects that the participants are learning the material. The training program will continue to innovate methods of testing its participants and to gather data on the comprehension of the training materials.

**Factors Affecting Results**

The measure is a percentage of fewer wrong answers between the pre and post-tests. By measuring the wrong answers, the training staff can adapt their training presentations and materials to focus on areas of lesser comprehension. This strategy has resulted in fewer incorrect answers on post-tests. The results

are affected by whether the participants of the training complete both pre and post-tests. Without this comparison, the trainers are unable to measure the participants' comprehension of the materials and presentation.

KPM #4	Minimize Case Disposition Costs - Percentage of contested cases settled before hearing.
	Data Collection Period: Jan 01 - Dec 31



Report Year	2012	2013	2014	2015	2016
<b>Percentage of Contested Cases Settled Before Hearing</b>					
Actual	100	100	100	100	100
Target	90	90	90	100	100

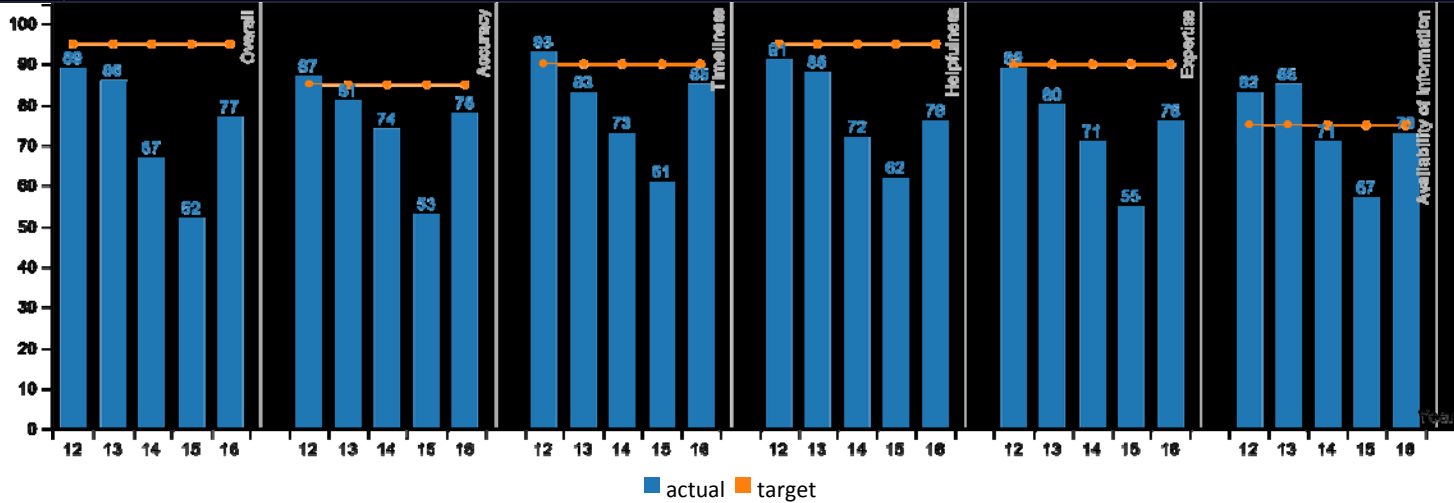
**How Are We Doing**

The data reported is for the calendar year 2015. The agency continues to settle 100 % of its cases.

**Factors Affecting Results**

The agency is required to pay the complainant's attorney fees if the agency does not prevail in contested case proceedings. The agency is unique in State government with this requirement. The risk of taking cases to contested case hearings is simply too high; therefore, the agency prefers to settle its cases.

KPM #5	Customer Service - Percentage of customers rating their satisfaction with agency's customer service as "good" or "excellent": overall, timeliness, accuracy, helpfulness, expertise, availability of information.
Data Collection Period: Jan 01 - Dec 31	



Report Year	2012	2013	2014	2015	2016
<b>Overall</b>					
Actual	89	86	67	52	77
Target	95	95	95	95	95
<b>Accuracy</b>					
Actual	87	81	74	53	78
Target	85	85	85	85	85

Timeliness					
Actual	93	83	73	61	85
Target	90	90	90	90	90
Helpfulness					
Actual	91	88	72	62	76
Target	95	95	95	95	95
Expertise					
Actual	89	80	71	55	76
Target	90	90	90	90	90
Availability of Information					
Actual	83	85	71	57	73
Target	75	75	75	75	75

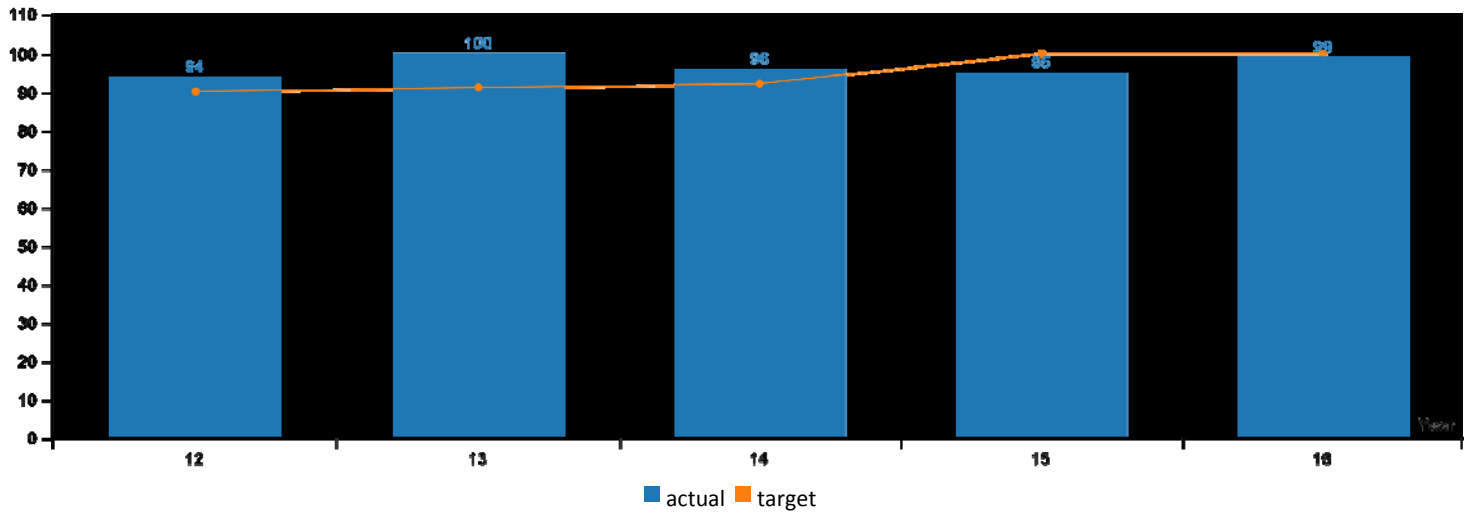
**How Are We Doing** The data reported is for the calendar year 2015. We are below target on 6 of the 6 measurements. One measurement, timeliness, is at 85%, but the target is 90%.

**Factors Affecting Results**

In the calendar year 2015, the agency was required to investigate the problems surrounding former Governor Kitzhaber. The responses on the customer service surveys seemed to follow the public's dissatisfaction with the former Governor. The agency's statutorily-required confidentiality during the preliminary review phase of former Governor Kitzhaber was seen by the public as the agency not disclosing the facts of the case. We expect this is an anomaly and expect performance in this area to again be above expectations in the next reporting period.

KPM #6	Governance Best Practices - Percent of total best practices met by the commission.
	Data Collection Period: Jan 01 - Dec 31





Report Year	2012	2013	2014	2015	2016
<b>Best Practices</b>					
Actual	94	100	96	95	99
Target	90	91	92	100	100

**How Are We Doing**

The data reported is for calendar year 2015. The agency is below target on this measure by one percentage point.

**Factors Affecting Results**

One Commissioner's concern was about the agency's policy option packages. Management will work with Commission members to ensure their complete understanding of these packages.

UPDATED OTHER FUNDS ENDING BALANCES FOR THE 2015-17 & 2017-19 BIENNIA

Agency: 199 Oregon Government Ethics Commission  
 Contact Person (Name & Phone #): Ron Bersin (503)378-5105

(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)
Other Fund Type	Program Area (SCR)	Treasury Fund #/Name	Category/Description	Constitutional and/or Statutory reference	2015-17 Ending Balance		2017-19 Ending Balance		Comments
					In LAB	Revised	In CSL	Revised	
Limited	19900-010-00-00-00000	0401/Other Funds Cash Account	Operations	2007, CHAP 877, SEC 2/ORS 244.255 & .345	550,398	724,000	670,035	735,370	Revenue comes in towards the end of the 1st quarter and into the 2nd quarter of each fiscal year. For this agency, working capital should be appx 5 months (566K).