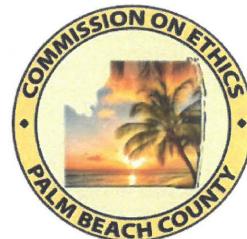


# POLICY REVIEW AND COMPLIANCE MEMORANDUM



*Honesty - Integrity - Character*

To: Mark E. Bannon, Executive Director  
From: Gina A. Levesque, Intake and Compliance Manager  
A18-001 – Palm Beach County  
Re: Ethics Policy Review and Training Compliance

- **Background**

The Code of Ethics (Code) states in part under Section 2-446(a) that the county or municipal administrator shall establish by policy a mandatory training schedule for all employees and elected or appointed officials, which shall include mandatory periodic follow-up sessions. Section 2-446(b) states in part that the COE shall develop and deliver training programs and ensure that the training is delivered in a timely manner.

- **Objectives and Scope**

The objectives are:

- To provide assurance that the county has a training policy.
- To provide assurance that the training policy includes enough specific information for officials and employees to determine clear parameters, including initial training and retraining deadlines and grace period definitions.
- To provide reasonable assurance the county is requiring its officials and employees to comply with the training policy.

The scope of this review focused on the policy and proof of training for Palm Beach County (County) officials and full-time employees. The delivery method of the ethics training and internal tracking method of compliance was not part of the scope.

- **Approach and Methodology**

The Palm Beach County Human Resources Department (HR) and the Information Technology Department created a database to track training compliance for several different areas, including ethics training. Additionally, Palm Beach County Fire Rescue (FR) utilizes Target Solutions, which is a program that will notify all personnel of training requirements. As ethics training is published as a video, Target Solutions had the video embedded within the notification allowing real-time tracking of training completion. Mary Miller from FR submitted the report of individuals not in compliance with ethics training from Target Solutions on January 4, 2018, and I ran the report of all other County employees and elected officials not in compliance with ethics training in the HR database on January 8, 2018.

- **Findings**

The training policy for the County was issued and became effective on August 5, 2014. The policy requires that employees undergo initial training and read the Code within ninety (90) days of employment. Thereafter, all employees must re-read the Code and complete retraining every three years between July 1 and December 31 of the training cycle year<sup>1</sup>.

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<sup>1</sup> CW-P-079 states in relevant part: "Thereafter, all employees must complete required training every three years on October 1, beginning October 1, 2014. Each additional training requirement must be satisfied within ninety days before or after each October 1 deadline."

All County elected officials must read the Code and attend initial training within sixty (60) days of taking office for each term elected. All employees and elected officials must complete a training acknowledgement form and submit it to HR for inclusion in the employee's personnel file.

Although ethics training for appointed officials are included in the training policy for elected officials and employees, they were not included in this review and will be reviewed for compliance in another memorandum.

At the time of the review, FR had approximately 1,415 employees, and one person was not in compliance with the re-training policy. At the time of the review, the County consisted of 7 elected officials and approximately 4,820 full-time employees. All elected officials completed training within the time allotted by policy, and 260 employees were not in compliance with the training policy.

Of the 260 employees not in compliance with the training policy, there may have been some out on medical or family leave. However, when I asked HR to review the list of employees out of compliance, I was told each individual department had to provide the information. When I suggested that HR should have a record of everyone who is out on leave, I was told someone would get back with me. As of this report, HR has not provided the information I requested.

It should be noted that County employees must submit their training acknowledgement form to HR by electronic submission. Some of the employees not in compliance may have taken the training but did not submit the form to HR.

- **Recommendations**

It is recommended that the query for employees who have not taken ethics training indicate long-term dates of leave so that those employees are not included in the out-of-compliance group.

It is also recommended that the County utilize a program similar to Target Solutions, which is currently in use by FR to ensure all employees are notified of their training obligations. Additionally, the program automatically tracks when the training was taken and logs the completion, which alleviates potential errors if an acknowledgement form is not submitted.

- **Conclusions**

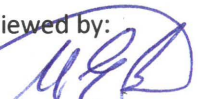
The results of the review found that Palm Beach County is not in full compliance with the Code of Ethics training policy requirement for all of its employees and elected officials. Further, there are two recommendations that would likely increase compliance if utilized.

Submitted by:

  
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Gina A. Levesque, Intake and Compliance Manager  
Palm Beach County Commission on Ethics

2/27/2018  
Date

Reviewed by:

  
\_\_\_\_\_  
(Initials)

2/27/2018  
Date