

State of Rhode Island and Providence Plantations

# Budget



## Fiscal Year 2013

Volume 1 – General Government, Quasi-Public  
Agencies and Component Units

Lincoln D. Chafee, Governor

# **General Government, Quasi-Public Agencies, and Component Units**



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# Budget

## General Government Function Expenditures

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Object</b>					
Personnel	215,900,424	230,876,788	237,683,999	245,834,922	232,228,670
Operating Supplies and Expenses	275,229,261	285,425,631	279,382,848	299,436,813	303,482,285
Assistance and Grants	1,025,938,260	902,488,521	570,692,504	832,803,900	498,834,896
Aid to Local Units of Government	168,819,711	60,573,635	67,142,534	69,658,752	67,278,508
<b>Subtotal: Operating Expenditures</b>	<b>1,685,887,656</b>	<b>1,479,364,575</b>	<b>1,154,901,885</b>	<b>1,447,734,387</b>	<b>1,101,824,359</b>
Capital Purchases and Equipment	29,937,513	12,697,051	28,913,672	41,412,298	44,992,862
Debt Service (Fixed Charges)	168,852,388	166,416,521	200,704,497	217,167,781	221,588,514
Operating Transfers	54,119,834	86,202,682	33,378,892	50,047,156	36,049,340
<b>Total Expenditures</b>	<b>\$1,938,797,391</b>	<b>\$1,744,680,829</b>	<b>\$1,417,898,946</b>	<b>\$1,756,361,622</b>	<b>\$1,404,455,075</b>
<b>Expenditures By Funds</b>					
General Revenue	511,743,070	434,617,886	411,138,619	420,816,294	427,390,454
Federal Funds	391,908,861	301,696,846	180,340,027	320,597,879	77,592,689
Restricted Receipts	76,559,302	73,941,240	81,055,515	115,388,971	112,760,937
Operating Transfers from Other Funds	69,085,664	51,979,549	72,870,144	78,094,361	81,634,183
Other Funds	889,500,494	882,445,308	672,494,641	821,464,117	705,076,812
<b>Total Expenditures</b>	<b>\$1,938,797,391</b>	<b>\$1,744,680,829</b>	<b>\$1,417,898,946</b>	<b>\$1,756,361,622</b>	<b>\$1,404,455,075</b>
<b>FTE Authorization</b>	<b>2,409.8</b>	<b>2,477.3</b>	<b>2,270.3</b>	<b>2,283.3</b>	<b>2,157.0</b>

# Agency

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## Department Of Administration

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### Agency Mission

To oversee the provision of statewide supportive services to all departments and agencies in conformance with legislative and policy mandates.

To ensure that programs of the department are efficiently organized and implemented.

### Agency Description

The Department of Administration provides supportive services to all Rhode Island departments and agencies for effective coordination and direction of state programs within the framework of a changing administrative and fiscal environment. The department also provides policy direction for executive leadership in a variety of financial and administrative matters and is responsible for the statewide implementation of policy decisions affecting the organization and delivery of services administered and supported by the state.

The department, headed by the Director of Administration, has sixteen programmatic functions including Central Management, Legal Services, Accounts and Control, Budgeting, Purchasing, Auditing, Human Resources, Personnel Appeal Board, Facilities Management, Capital Projects and Property Management, Information Technology, Library and Information Services, Planning, General Appropriations, Debt Service Payments, Energy Resources and various Internal Services Programs.

### Statutory History

The Department of Administration was created in 1951 to consolidate central finance, purchasing and management functions of state government. R.I.G.L. 42-11 establishes and provides for the organization and functions of the Department of Administration.

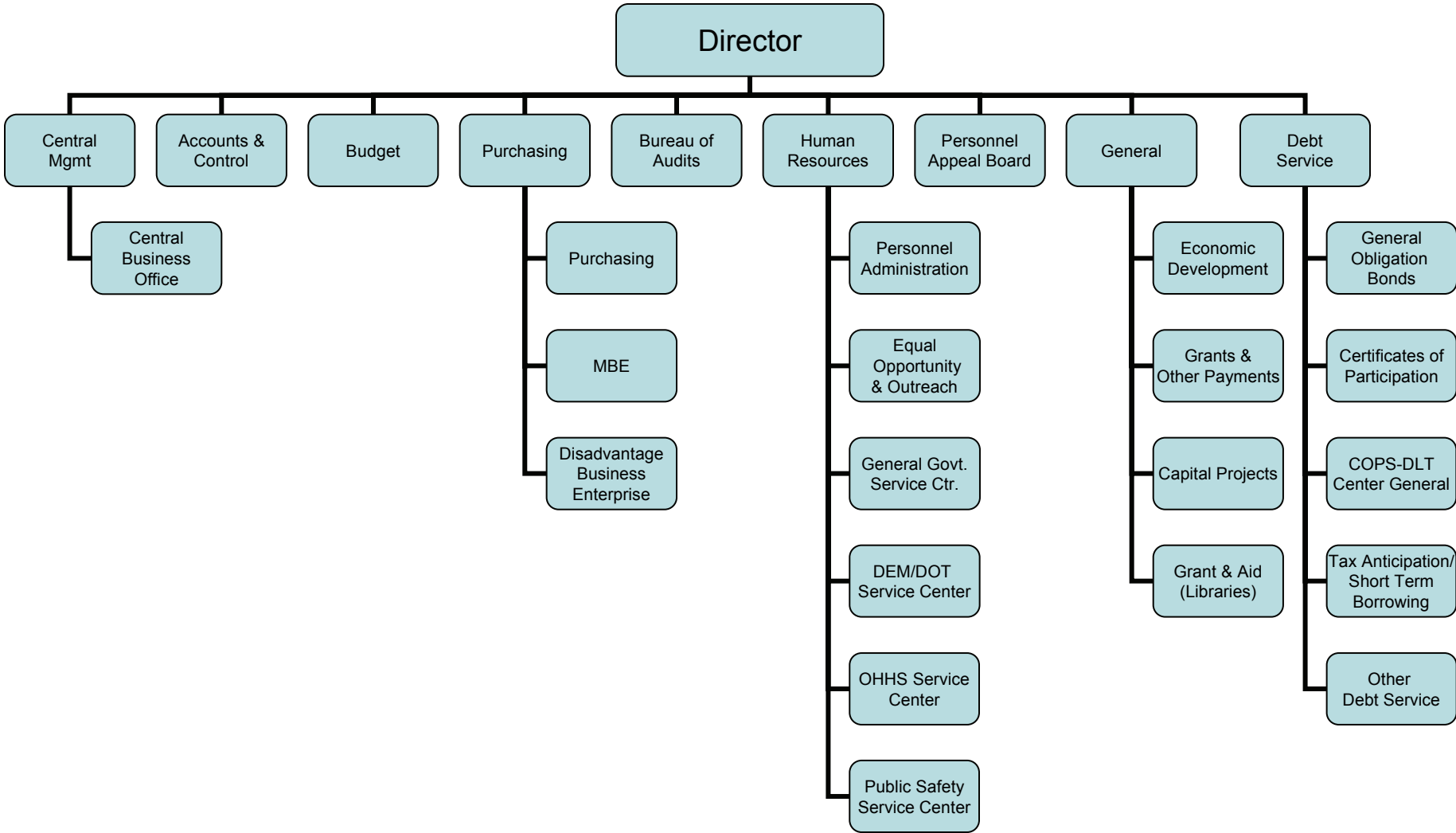
# Budget

## Department Of Administration

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	1,263,509	1,499,997	1,326,065	2,166,297	2,022,523
Accounts & Control	3,450,141	3,500,663	3,751,998	3,781,171	3,815,349
Budgeting/Office of Management & Budget	1,681,178	1,893,698	2,015,159	2,363,543	3,415,515
Purchasing	2,155,815	2,171,963	2,780,346	2,634,362	2,838,379
Auditing	1,153,211	1,243,959	1,376,922	1,240,008	-
Human Resources	10,676,552	10,564,613	11,510,839	11,059,220	11,035,792
Personnel Appeal Board	65,482	63,344	73,560	74,676	34,932
General	194,709,177	107,591,860	43,157,098	60,667,976	58,755,235
Debt Service Payments	201,228,865	190,799,910	200,904,497	191,694,481	204,151,021
Legal Services	1,585,988	1,735,578	1,825,486	1,932,094	2,006,995
Facilities Management	33,833,319	34,529,296	36,456,953	36,680,452	37,694,569
Capital Projects and Property Management	3,389,507	3,490,228	3,922,079	4,124,616	3,596,574
Information Technology	25,338,716	26,972,748	30,379,954	30,516,234	35,882,649
Library and Information Services	1,781,561	2,230,948	2,223,311	2,371,396	2,313,355
Planning	13,916,455	14,110,637	21,679,192	21,383,491	17,726,201
Security Services	14,641,865	15,829,950	-	-	-
Personnel Reform	-	-	(3,000,000)	-	-
Energy Resources	46,203,494	47,993,113	53,551,892	74,321,626	12,848,205
<i>Internal Services</i>	<i>[313,652,184]</i>	<i>[318,858,457]</i>	<i>[380,095,782]</i>	<i>[380,333,943]</i>	<i>[381,053,031]</i>
<b>Total Expenditures</b>	<b>\$557,074,835</b>	<b>\$466,222,505</b>	<b>\$413,935,351</b>	<b>\$447,011,643</b>	<b>\$398,137,294</b>
<b>Expenditures By Object</b>					
Personnel	77,382,008	81,139,202	69,348,545	71,914,667	71,295,107
Operating Supplies and Expenses	31,023,995	32,379,490	32,712,222	34,207,035	34,620,456
Assistance and Grants	63,188,919	63,554,598	73,266,161	102,327,365	34,005,968
Aid to Local Units of Government	168,819,711	60,573,635	11,595,170	11,595,170	11,245,112
<b>Subtotal: Operating Expenditures</b>	<b>340,414,633</b>	<b>237,646,925</b>	<b>186,922,098</b>	<b>220,044,237</b>	<b>151,166,643</b>
Capital Purchases and Equipment	11,060,895	8,144,012	21,232,542	29,636,711	38,553,416
Debt Service (Fixed Charges)	168,852,388	161,717,043	200,704,497	191,484,481	203,941,021
Operating Transfers	36,746,919	58,714,525	5,076,214	5,846,214	4,476,214
<b>Total Expenditures</b>	<b>\$557,074,835</b>	<b>\$466,222,505</b>	<b>\$413,935,351</b>	<b>\$447,011,643</b>	<b>\$398,137,294</b>
<b>Expenditures By Funds</b>					
General Revenue	418,405,347	331,624,887	246,446,221	248,884,402	257,026,536
Federal Funds	57,534,460	64,251,529	69,084,207	96,578,355	25,893,240
Restricted Receipts	19,964,401	14,219,372	20,059,071	19,629,239	27,546,929
Operating Transfers from Other Funds	54,964,296	49,353,117	71,891,644	75,280,130	80,887,138
Other Funds	6,206,331	6,773,600	6,454,208	6,639,517	6,783,451
<b>Total Expenditures</b>	<b>\$557,074,835</b>	<b>\$466,222,505</b>	<b>\$413,935,351</b>	<b>\$447,011,643</b>	<b>\$398,137,294</b>
<b>FTE Authorization</b>	<b>835.4</b>	<b>871.6</b>	<b>694.6</b>	<b>694.2</b>	<b>665.6</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	9.1%	8.9%	9.0%	9.0%	9.0%
Females as a Percentage of the Workforce	41.6%	40.1%	40.1%	40.1%	40.1%
Persons with Disabilities as a Percentage of the Workforce	3.1%	3.0%	3.0%	3.0%	3.0%

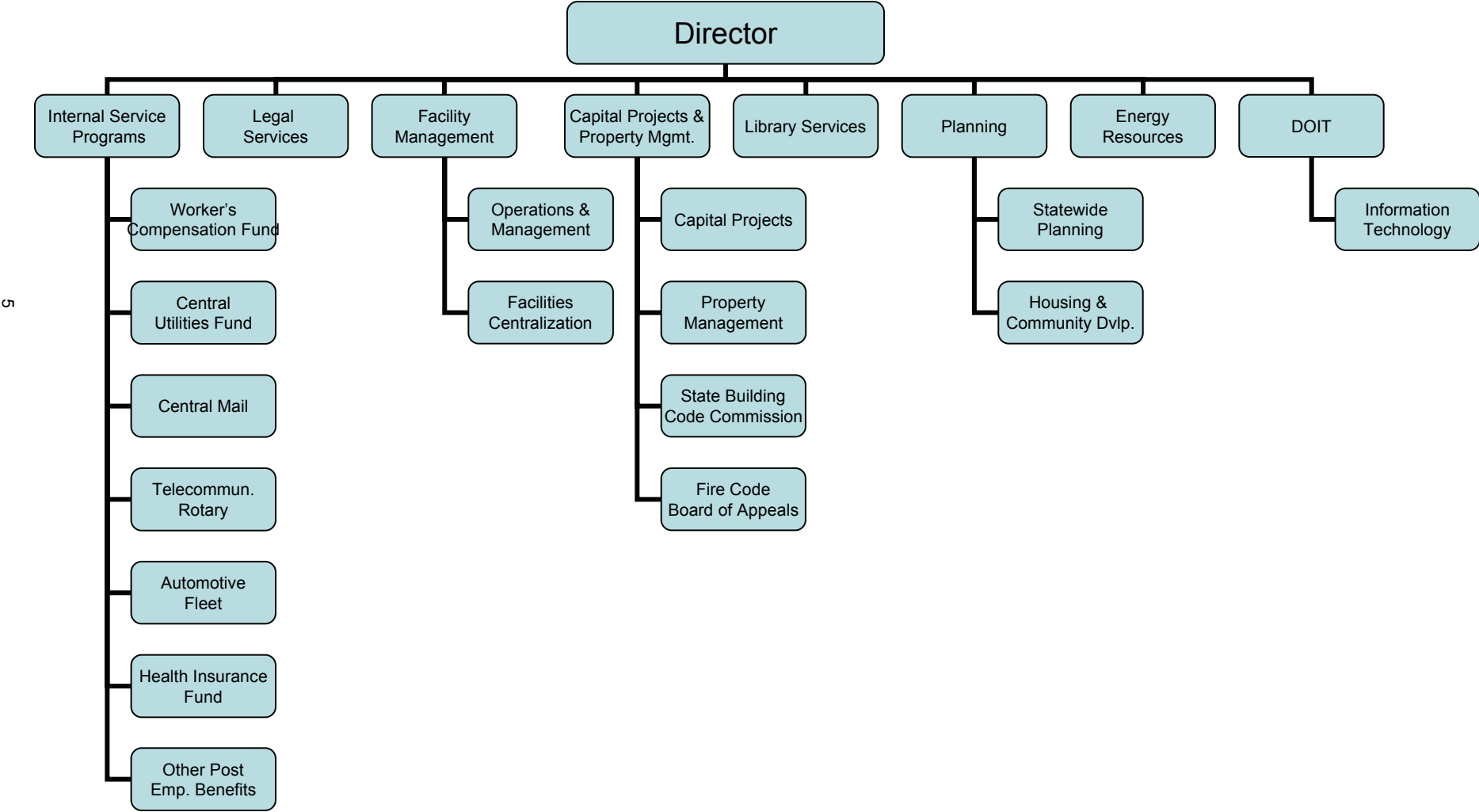
# The Agency

## Department of Administration



# The Agency

## Department of Administration, Continued





# Personnel

## Department Of Administration Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Classified	685.2	45,904,761	678.2	45,710,668
Unclassified	9.0	874,679	10.0	1,014,825
Cost Allocation from Other Programs	1.6	547,085	0.6	376,766
Cost Allocation to other programs	(1.6)	(547,086)	(4.6)	(731,569)
Interdepartmental Transfers	-	25,552	-	136,144
Overtime	-	693,310	-	663,310
Program Reduction	-	-	(18.6)	(905,258)
Turnover	-	(3,043,625)	-	(1,924,847)
<b>Total Salaries</b>	<b>694.2</b>	<b>\$44,454,676</b>	<b>665.6</b>	<b>\$44,340,039</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	442,556
FICA	-	3,382,348	-	3,362,263
Holiday Pay	-	84,352	-	76,684
Medical	-	7,125,594	-	7,950,810
Payroll Accrual	-	-	-	251,530
Retiree Health	-	3,049,539	-	3,031,604
Retirement	-	10,117,092	-	9,293,395
<b>Total Salaries and Benefits</b>	<b>694.2</b>	<b>\$68,213,601</b>	<b>665.6</b>	<b>\$68,748,881</b>
Cost Per FTE Position		\$98,262		\$103,289
Statewide Benefit Assessment	-	1,648,451	-	1,635,694
Temporary and Seasonal	-	64,730	-	64,730
<b>Payroll Costs</b>	<b>694.2</b>	<b>\$69,926,782</b>	<b>665.6</b>	<b>\$70,449,305</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance	-	700,210	-	650,261
Clerical and Temporary Services	-	84,910	-	16,750
Design and Engineering Services	-	330,266	-	277,906
Information Technology	-	1,129,315	-	968,180
Legal Services	-	204,808	-	39,525
Management and Consultant Services	-	3,696,597	-	3,228,132
Medical Services	-	1,199	-	1,199
Other Contract Services	-	352,801	-	352,601
Temporary and Clerical and Temporary Services	-	2,700	-	3,060
Training and Educational Services	-	268,820	-	117,017

# Personnel

## Department Of Administration Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Total Personnel</b>	<b>694.2</b>	<b>\$76,698,408</b>	<b>665.6</b>	<b>\$76,103,936</b>
<b>Distribution by Source of Funds</b>				
General Revenue	488.1	54,018,984	463.3	52,860,297
Federal Funds	79.9	9,347,579	69.4	8,167,988
Restricted Receipts	28.5	2,648,987	32.3	3,603,064
Operating Transfers from Other Fund	-	-	4.0	608,515
Other Funds	54.7	5,899,117	54.7	6,055,243
Internal Service Funds	43.0	4,783,741	43.0	4,808,829
<b>Total All Funds</b>	<b>694.2</b>	<b>\$76,698,408</b>	<b>665.6</b>	<b>\$76,103,936</b>

# The Program

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## Department Of Administration Central Management

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### **Program Mission**

To oversee the provision of statewide supportive services to all departments and agencies in conformance with legislative and policy mandates.

To ensure that programs of the department are efficiently organized and implemented.

To select the best candidates for recommendation for appointment to the Judiciary.

### **Program Description**

Central Management is comprised of three major functions: the Director's Office, the Central Business Office, and the Judicial Nominating Commission.

The Director's Office provides for the overall operation of the department and provides assistance with all Executive Branch Agencies. Primary functions include: Operations, Human Resources, Information technology, Legal Assistance and Financial Administration. They also provide administrative assistance to the Office of the Governor.

The Financial Management Office provides financial management assistance in the areas of budgeting, financial management, accounting, and reporting to divisions within the Department of Administration and the Department of Revenue to ensure maximum use of state and federal resources.

The Judicial Nominating Commission was created by statute to recommend highly qualified candidates to the Governor to fill vacancies in the Rhode Island judiciary. Pursuant to R.I.G.L. 8-16.1, the commission is required by statute to advertise for each judicial vacancy and to actively seek and encourage applications from qualified individuals who will reflect the diversity of the community they will serve.

### **Statutory History**

The central management and legal mandates of the Department of Administration are outlined in R.I.G.L. 42-11-2. The Judicial Nominating Commission was created by R.I.G.L. 8-16.1, which also outlines the criteria for the selection of qualified judicial nominees. The Legal and Adjudication Services subprogram was moved to the new Legal Services program as part of the FY 2006 enacted budget.

# The Budget

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## Department Of Administration Central Management

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	<b>2010 Audited</b>	<b>2011 Audited</b>	<b>2012 Enacted</b>	<b>2012 Revised</b>	<b>2013 Recommend</b>
<b>Expenditures By Subprogram</b>					
Director's Office	568,689	740,456	345,664	1,323,077	1,035,408
Financial Management	669,543	744,665	953,138	815,695	959,590
Judicial Nominating Committee	25,277	14,876	27,263	27,525	27,525
<b>Total Expenditures</b>	<b>\$1,263,509</b>	<b>\$1,499,997</b>	<b>\$1,326,065</b>	<b>\$2,166,297</b>	<b>\$2,022,523</b>
<b>Expenditures By Object</b>					
Personnel	1,206,961	1,453,120	1,262,532	2,097,341	1,953,567
Operating Supplies and Expenses	54,779	43,713	57,233	62,656	62,656
<b>Subtotal: Operating Expenditures</b>	<b>1,261,740</b>	<b>1,496,833</b>	<b>1,319,765</b>	<b>2,159,997</b>	<b>2,016,223</b>
Capital Purchases and Equipment	1,769	3,164	6,300	6,300	6,300
<b>Total Expenditures</b>	<b>\$1,263,509</b>	<b>\$1,499,997</b>	<b>\$1,326,065</b>	<b>\$2,166,297</b>	<b>\$2,022,523</b>
<b>Expenditures By Funds</b>					
General Revenue	1,263,509	1,499,997	1,326,065	2,166,297	2,022,523
<b>Total Expenditures</b>	<b>\$1,263,509</b>	<b>\$1,499,997</b>	<b>\$1,326,065</b>	<b>\$2,166,297</b>	<b>\$2,022,523</b>

# Personnel

## Department Of Administration Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Executive Director (DOA) Operations	0150A	2.0	274,201	2.0	274,546
Associate Director (Financial Management)	0144A	1.0	121,409	1.0	121,409
Programming Services Officer	0131A	1.0	77,781	1.0	78,871
Administrator Financial Management	0137A	1.0	77,161	1.0	81,048
Prin. Human Services Business Officer	0A28A	1.0	77,107	1.0	77,107
Chief Implementation Aide	0128A	2.0	139,192	2.0	140,406
Supvr. of Billing & Accounts Receivable	03527A	1.0	65,735	1.0	65,735
Supervising Accountant	0031A	1.0	59,276	1.0	- (1)
Management and Methods Analyst	0322A	1.0	55,853	1.0	55,853
Implementation Aide	0122A	1.0	55,654	1.0	55,654
Assistant Administrative Officer	0121A	1.0	52,168	1.0	52,168
Fiscal Management Officer	0126A	1.0	47,250	1.0	48,750
Billing Specialist	0318A	1.0	40,967	1.0	42,240
Accountant	0020A	1.0	39,000	1.0	40,250
<b>Subtotal</b>		<b>16.0</b>	<b>\$1,182,754</b>	<b>16.0</b>	<b>\$1,134,037</b>
<b>Unclassified</b>					
Director of Administration	30946KF	1.0	149,512	1.0	149,512
Executive Assistant to the Director	841A	1.0	96,706	1.0	101,411
Principal Technical Support Analyst	5229A	1.0	84,264	1.0	84,264
Junior Resource Specialist	03519A	1.0	44,380	1.0	44,380
Supervisor of Fiscal Services	5234A	-	7,809	-	-
<b>Subtotal</b>		<b>4.0</b>	<b>\$382,671</b>	<b>4.0</b>	<b>\$379,567</b>
Cost Allocation to Energy		(0.9)	(72,672)	-	- (1)
Cost Allocation to Planning		(0.7)	(37,919)	(0.6)	(37,919)
Cost Allocation to Facilities Management		-	(196,774)	-	(199,543)
Turnover		-	(79,250)	-	(12,004)
<b>Subtotal</b>		<b>(1.6)</b>	<b>(\$386,615)</b>	<b>(0.6)</b>	<b>(\$249,466)</b>
<b>Total Salaries</b>		<b>18.4</b>	<b>\$1,178,810</b>	<b>19.4</b>	<b>\$1,264,138</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	12,625
FICA		-	82,873	-	89,323
Medical		-	130,243	-	170,979
Payroll Accrual		-	-	-	7,428
Retiree Health		-	80,866	-	84,906
Retirement		-	273,117	-	269,601
<b>Subtotal</b>		<b>-</b>	<b>\$567,099</b>	<b>-</b>	<b>\$634,862</b>
<b>Total Salaries and Benefits</b>		<b>18.4</b>	<b>\$1,745,909</b>	<b>19.4</b>	<b>\$1,899,000</b>
Cost Per FTE Position			\$94,886		\$97,887
Statewide Benefit Assessment		-	44,207	-	47,342
<b>Subtotal</b>		<b>-</b>	<b>\$44,207</b>	<b>-</b>	<b>\$47,342</b>

# Personnel

## Department Of Administration Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Payroll Costs</b>		<b>18.4</b>	<b>\$1,790,116</b>	<b>19.4</b>	<b>\$1,946,342</b>
<b>Purchased Services</b>					
Legal Services		-	7,225	-	7,225
Management and Consultant Services		-	300,000	-	-
<b>Subtotal</b>		<b>-</b>	<b>\$307,225</b>	<b>-</b>	<b>\$7,225</b>
<b>Total Personnel</b>		<b>18.4</b>	<b>\$2,097,341</b>	<b>19.4</b>	<b>\$1,953,567</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		18.4	2,097,341	18.5	1,953,567
<b>Total All Funds</b>		<b>18.4</b>	<b>\$2,097,341</b>	<b>18.5</b>	<b>\$1,953,567</b>

*1 Reflects the transfer of a cost-allocated FTE position (Supervising Accountant (Gr. 0031A) to the program of Central Management from the program of Energy Resources to the Department of Human Services pursuant to Chapter 151 of the Public Laws of 2011.*

# The Program

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## Department Of Administration Accounts & Control

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### **Program Mission**

To maintain and continually enhance a statewide accounting system in order to ensure that state funds are spent according to legislative intent, leading to the promotion of the fiscal integrity of the state.

To facilitate the accounts payable process on behalf of the Executive Branch.

To provide management with timely financial data to measure performance and create or revise strategic or operating plans.

### **Program Description**

The primary mission of the Office of Accounts and Control is to promote the financial integrity and accountability of state government through sound administrative and accounting controls and procedures.

The major activities of the Office of Accounts and Control include the central administration of a comprehensive accounting and recording system which classifies transactions of the departments and agencies in accordance with the budget plan; the processing of payroll for all State employees; the pre-audit of state receipts and expenditures; the approval of vouchers drawn on the General Treasurer; and the preparation of financial statements in accordance with generally accepted accounting principles.

This office is also responsible for the preparation and/or coordination of several publications, including the Comprehensive Annual Financial Report, Condensed State Financial Report, State Payroll Manual, Procedural Handbook of the Department of Administration, and the Consolidated Statewide Cost Allocation Plan.

### **Statutory History**

R.I.G.L. 35-6 establishes the statutory basis for this program. Other legal references are provided in Titles 9, 10, 11, 12, 16, 20, 24, 28, 30, 35, 39, 43, 44, 45, and 46 of the Rhode Island General Laws.

# The Budget

## Department Of Administration Accounts & Control

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Accounts & Control	3,450,141	3,500,663	3,751,998	3,781,171	3,815,349
<b>Total Expenditures</b>	<b>\$3,450,141</b>	<b>\$3,500,663</b>	<b>\$3,751,998</b>	<b>\$3,781,171</b>	<b>\$3,815,349</b>
<b>Expenditures By Object</b>					
Personnel	3,335,940	3,385,181	3,616,033	3,645,206	3,679,384
Operating Supplies and Expenses	114,201	115,482	132,965	132,965	132,965
<b>Subtotal: Operating Expenditures</b>	<b>3,450,141</b>	<b>3,500,663</b>	<b>3,748,998</b>	<b>3,778,171</b>	<b>3,812,349</b>
Capital Purchases and Equipment	-	-	3,000	3,000	3,000
<b>Total Expenditures</b>	<b>\$3,450,141</b>	<b>\$3,500,663</b>	<b>\$3,751,998</b>	<b>\$3,781,171</b>	<b>\$3,815,349</b>
<b>Expenditures By Funds</b>					
General Revenue	3,450,141	3,500,663	3,751,998	3,781,171	3,815,349
<b>Total Expenditures</b>	<b>\$3,450,141</b>	<b>\$3,500,663</b>	<b>\$3,751,998</b>	<b>\$3,781,171</b>	<b>\$3,815,349</b>
<b>Program Measures</b>					
Percentage of Invoices Processed Within 30 Days	99.0%	99.0%	99.0%	99.0%	99.0%
Objective	100%	100%		100%	100%
Number of Days after Fiscal Year End to Publication of CAFR	184	179	210	174	174
Objective	210	210		210	174
Number of Days to Fiscal Close	37	37	37	34	34
Objective	37	37		34	34



# Personnel

## Department Of Administration Accounts & Control

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Controller	0146A	1.0	119,343	1.0	119,343
Associate Controller	0143A	2.0	235,785	2.0	235,785
Associate Director for Special Projects	0141A	1.0	106,620	1.0	106,620
Supervisor Fin Reporting & Fin Mgmt	0135A	1.0	91,828	1.0	91,828
Investigative Auditor	0133A	1.0	86,042	1.0	86,042
Supervising Accountant	0831A	1.0	74,755	1.0	75,769
Chief Preaudit Supervisor	0131A	2.0	148,104	2.0	151,932
Fiscal Management Officer	0B26A	3.0	204,192	3.0	206,675
Prin. Accounting Policy & Methods Analyst	0828A	5.0	331,558	5.0	332,684
Sr. Management and Methods Analyst	0325A	1.0	62,251	1.0	62,251
Asset Protection Officer	0324A	2.0	121,083	2.0	121,083
Central Accts. Pyble Supervising Pre Ck	0324A	1.0	47,551	1.0	49,024
Central Payroll Office Preaudit Clerk	0317A	3.0	134,205	3.0	134,977
Billing Specialist	0318A	10.0	434,943	10.0	440,403
Schedule and Recording Clerk	0312A	2.0	74,782	2.0	75,330
Senior Word Processing Typist	0312A	1.0	35,335	1.0	36,410
<b>Subtotal</b>		<b>37.0</b>	<b>\$2,308,377</b>	<b>37.0</b>	<b>\$2,326,156</b>
Turnover		-	(63,922)	-	(69,225)
<b>Subtotal</b>		-	<b>(\$63,922)</b>	-	<b>(\$69,225)</b>
<b>Total Salaries</b>		<b>37.0</b>	<b>\$2,244,455</b>	<b>37.0</b>	<b>\$2,256,931</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	22,569
FICA		-	169,795	-	170,720
Medical		-	448,350	-	494,683
Payroll Accrual		-	-	-	13,333
Retiree Health		-	153,969	-	154,824
Retirement		-	515,774	-	477,994
<b>Subtotal</b>		-	<b>\$1,287,888</b>	-	<b>\$1,334,123</b>
<b>Total Salaries and Benefits</b>		<b>37.0</b>	<b>\$3,532,343</b>	<b>37.0</b>	<b>\$3,591,054</b>
Cost Per FTE Position			\$95,469		\$97,056
Statewide Benefit Assessment		-	84,163	-	84,630
<b>Subtotal</b>		-	<b>\$84,163</b>	-	<b>\$84,630</b>
<b>Payroll Costs</b>		<b>37.0</b>	<b>\$3,616,506</b>	<b>37.0</b>	<b>\$3,675,684</b>

# Personnel

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## Department Of Administration Accounts & Control

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Legal Services		-	26,700	-	1,700
Other Contract Services		-	2,000	-	2,000
<b>Subtotal</b>		-	<b>\$28,700</b>	-	<b>\$3,700</b>
<b>Total Personnel</b>		<b>37.0</b>	<b>\$3,645,206</b>	<b>37.0</b>	<b>\$3,679,384</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		37.0	3,645,206	37.0	3,679,384
<b>Total All Funds</b>		<b>37.0</b>	<b>\$3,645,206</b>	<b>37.0</b>	<b>\$3,679,384</b>

# The Program

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## Department Of Administration

## Budgeting/Office of Management & Budget

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### **Program Mission**

To ensure that the performance of state programs and activities reflects accurately and effectively the policies of the Governor and the acts and appropriations established by the General Assembly; to ensure that the Governor and the General Assembly have the best possible information and analysis available in carrying out their respective constitutional duties; to establish a robust public finance and management system that manages a data-driven budget process, monitors state departments' and agencies' performance, maximizes the application for and use of federal grants and ensures accountability and transparency to Rhode Island citizens regarding the use of public funds.

### **Program Description**

The Office of Management and Budget will be established within the Department of Administration to serve as the principal agency of the executive branch for managing the functions of the budget, performance management and federal grants management. In this capacity, the office will establish an in-depth form of data analysis within and between departments and agencies, creating a more informed process for resource allocation; identify federal grant funding opportunities to support the Governor's and General Assembly's major policy initiatives.

The Office of Management and Budget will include the Budget Office, which will maintain all of its existing capacity and authority. The Budget Office performs three key functions:

Formulation, preparation, and execution of the state budget, including the analysis of departmental requests for financing, incorporation of priorities, and presentation and testimony on the executive budget before the General Assembly. During the legislative session, the Budget Office also prepares fiscal notes on legislation with fiscal impacts upon request.

Economic analysis and revenue estimating, including participation in the Revenue and Caseload Estimating Conferences and reporting on actual versus estimated receipts.

Capital development program analysis and development of a financing plan for execution. This includes presentations to bond rating agencies, preparation of debt offering circulars, tracking of expenditures against authorizations and debt management.

### **Statutory History**

The Governor proposes RIGL 35-1.1 to create the new Office of Management and Budget. R.I.G.L. 35-3 establishes Budget Office responsibility for the executive budget, including the preparation and submission of the Governor's budget to the state legislature; the execution and management of the enacted budget plan throughout the fiscal year; and development of long-term financial programs, particularly relating to capital improvement programs. R.I.G.L. 35-16 requires the Budget Officer to participate in the Revenue Estimating Conference, which reviews and revises both the economic forecast and the estimated general revenues for the state. R.I.G.L. 22-12 requires that a fiscal note accompanies bills and resolutions that may impact state or municipal revenues or expenditures.

# The Budget

## Department Of Administration Budgeting/Office of Management & Budget

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Budget Office	1,681,178	1,893,698	2,015,159	2,363,543	2,244,000
Director, Office of Mgt and Budget	-	-	-	-	277,827
Performance Management	-	-	-	-	482,228
Federal Grants Management	-	-	-	-	411,460
<b>Total Expenditures</b>	<b>\$1,681,178</b>	<b>\$1,893,698</b>	<b>\$2,015,159</b>	<b>\$2,363,543</b>	<b>\$3,415,515</b>
<b>Expenditures By Object</b>					
Personnel	1,607,564	1,814,962	1,916,562	2,267,646	3,289,583
Operating Supplies and Expenses	67,891	73,988	87,227	90,897	114,932
<b>Subtotal: Operating Expenditures</b>	<b>1,675,455</b>	<b>1,888,950</b>	<b>2,003,789</b>	<b>2,358,543</b>	<b>3,404,515</b>
Capital Purchases and Equipment	5,723	4,748	11,370	5,000	11,000
<b>Total Expenditures</b>	<b>\$1,681,178</b>	<b>\$1,893,698</b>	<b>\$2,015,159</b>	<b>\$2,363,543</b>	<b>\$3,415,515</b>
<b>Expenditures By Funds</b>					
General Revenue	1,681,178	1,893,698	2,015,159	2,363,543	3,004,055
Restricted Receipts	-	-	-	-	411,460
<b>Total Expenditures</b>	<b>\$1,681,178</b>	<b>\$1,893,698</b>	<b>\$2,015,159</b>	<b>\$2,363,543</b>	<b>\$3,415,515</b>
<b>Program Measures</b>					
Budget Presentation Index	12	10	12		
Objective	24	24		24	
Bond Rating Index	11	9	9		
Objective	3	3		3	

# Personnel

## Department Of Administration

### Budgeting/Office of Management & Budget

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Executive Director/Budget Officer	0150A	1.0	153,542	1.0	158,811
Deputy Budget Officer	0144A	1.0	132,447	1.0	132,447
Chief Budget Analyst	0141A	0.6	61,064	0.6	61,064
Supervising Budget Analyst	0139A	2.0	197,073	2.0	197,073
Senior Budget Analyst	0834A	1.0	89,040	1.0	89,040
Principal Budget Analyst	0837A	1.0	81,102	1.0	85,129
Budget Analyst II	0831A	5.0	360,058	4.0	301,410
Programming Services Officer	0131A	1.0	69,012	3.0	189,324 (1)
Administrative Officer	0124A	1.0	57,948	1.0	57,948
Budget Analyst I/Economist	0828A	1.0	54,589	1.0	56,981
Budget Analyst I	0828A	3.0	162,575	4.0	221,923
Associate Director, Financial Management	0144A	-	-	2.0	202,816 (1)
Principal Accounting, Policy & Methods Analyst	0128A	-	-	1.0	53,570 (1)
Senior Management & Methods Analyst	0125A	-	-	2.0	92,566 (1)
Senior Word Processing Typist	0112A	-	-	2.0	65,788 (1)
<b>Subtotal</b>		<b>17.6</b>	<b>\$1,418,450</b>	<b>26.6</b>	<b>\$1,965,890</b>
<b>Unclassified</b>					
Confidential Secretary	0822A	-	-	1.0	44,747 (1)
Director, Office of Management and Budget	0949K	-	-	1.0	130,010 (1)
<b>Subtotal</b>		<b>-</b>	<b>-</b>	<b>2.0</b>	<b>\$174,757</b>
Overtime		-	2,425	-	2,425
Turnover		-	(73,461)	-	(43,180)
<b>Subtotal</b>		<b>-</b>	<b>(\$71,036)</b>	<b>-</b>	<b>(\$40,755)</b>
<b>Total Salaries</b>		<b>17.6</b>	<b>\$1,347,414</b>	<b>28.6</b>	<b>\$2,099,892</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	20,937
FICA		-	99,797	-	155,591
Medical		-	132,662	-	286,052
Payroll Accrual		-	-	-	8,160
Retiree Health		-	92,266	-	143,628
Retirement		-	309,078	-	450,520
<b>Subtotal</b>		<b>-</b>	<b>\$633,803</b>	<b>-</b>	<b>\$1,064,888</b>
<b>Total Salaries and Benefits</b>		<b>17.6</b>	<b>\$1,981,217</b>	<b>28.6</b>	<b>\$3,164,780</b>
Cost Per FTE Position			\$112,569		\$110,657
Statewide Benefit Assessment		-	50,439	-	78,513
Temporary and Seasonal		-	15,750	-	15,750
<b>Subtotal</b>		<b>-</b>	<b>\$66,189</b>	<b>-</b>	<b>\$94,263</b>
<b>Payroll Costs</b>		<b>17.6</b>	<b>\$2,047,406</b>	<b>28.6</b>	<b>\$3,259,043</b>

# Personnel

## Department Of Administration Budgeting/Office of Management & Budget

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Information Technology		-	2,500	-	-
Management and Consultant Services		-	217,540 <sup>(2)</sup>	-	30,540
Other Contract Services		-	200	-	-
<b>Subtotal</b>		-	<b>\$220,240</b>	-	<b>\$30,540</b>
<b>Total Personnel</b>		<b>17.6</b>	<b>\$2,267,646</b>	<b>28.6</b>	<b>\$3,289,583</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		17.6	2,267,646	24.6	2,887,123
Restricted Receipts		-	-	4.0	402,460
<b>Total All Funds</b>		<b>17.6</b>	<b>\$2,267,646</b>	<b>28.6</b>	<b>\$3,289,583</b>

1 Eleven (11) new FTE positions for the Office of Management & Budget include: 1.0 Director; 2.0 Associate Director, Financial Management; 2.0 Programming Services Officer; 1.0 Principal Accounting, Policy & Methods Analyst; 2.0 Senior Management & Methods Analyst, and; 2.0 Confidential Secretary; and 1.0 Senior Word Processing Typist.

2 Reflects funding for Economy.com economic forecasting and actuarial study for pension reform by GRS Actuary Study.

# The Program

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## Department Of Administration Purchasing

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### **Program Mission**

To obtain goods and services for public purposes in the most cost-effective manner possible and ensure that all procurements are made with care, integrity and a sense of responsibility to the taxpayers of Rhode Island. To assure that user agencies obtain goods and services in a quick and cost-effective manner without sacrificing necessary quality and standards.

To establish and enforce rules, regulations, policies and procedures for the implementation of all laws and ethical standards relating to purchasing activities.

To determine purchasing and contract controversies, subject to the oversight of the Chief Purchasing Officer.

To improve, through ongoing evaluation, the effectiveness and efficiency of the procurement system.

To ensure public access to appropriate information by expanding the applications of the Rhode Island Vendor Information Program to enhance transparency.

To ensure the fullest participation of women/minority business enterprises in state-funded and directed construction programs and projects and state purchases of goods and services.

### **Program Description**

The Purchasing program is composed of five major functions: procurement, operational support services, standards and specifications development and management, vendor information and minority business. Procurement solicits bids or requests for proposal for services and supplies as well as price negotiations and carries out affirmative action programs. Operational support services includes purchase order production and record keeping, bid preparation and opening, requisition tracking, and vendor files. Standards and Specifications works with agency representatives to develop statewide standard specifications for goods and services to be solicited. The Vendor Information Program is an electronic system for registering potential bidders and providing bid and other information to vendors and the general public.

### **Statutory History**

The Purchasing program was established under R.I.G.L. 42-11-2. Operation of the state-purchasing program is set forth in R.I.G.L. 37-2. This section was established by public law in 1939 until its repeal in 1989, when House Bill 89-H-5000 Substitute A, as amended (known as the "Lamb Legislation"), an Act Relating to State Purchases, was enacted. This act established new language to institute legal mandates based on the Model Procurement Act published by the American Bar Association. The major thrust of the legislation was the creation of a framework for enhanced opportunities for competitive procurement and increased accountability for state officials through the centralization of purchasing functions for state agencies. R.I.G.L. 32-2.17 requires the institution of an electronic Vendor Information Program.

# The Budget

## Department Of Administration Purchasing

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Purchasing	1,941,825	1,886,501	2,483,213	2,321,592	2,514,767
Minority Business Enterprise	213,990	285,462	297,133	312,770	323,612
<b>Total Expenditures</b>	<b>\$2,155,815</b>	<b>\$2,171,963</b>	<b>\$2,780,346</b>	<b>\$2,634,362</b>	<b>\$2,838,379</b>
<b>Expenditures By Object</b>					
Personnel	1,975,123	2,114,489	2,726,588	2,563,391	2,754,223
Operating Supplies and Expenses	40,772	50,346	49,608	67,971	81,156
Assistance and Grants	138,770	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>2,154,665</b>	<b>2,164,835</b>	<b>2,776,196</b>	<b>2,631,362</b>	<b>2,835,379</b>
Capital Purchases and Equipment	1,150	7,128	4,150	3,000	3,000
<b>Total Expenditures</b>	<b>\$2,155,815</b>	<b>\$2,171,963</b>	<b>\$2,780,346</b>	<b>\$2,634,362</b>	<b>\$2,838,379</b>
<b>Expenditures By Funds</b>					
General Revenue	2,144,707	2,007,460	2,445,901	2,305,807	2,441,468
Federal Funds	6,187	61,748	68,956	68,885	76,297
Restricted Receipts	4,921	-	-	-	-
Operating Transfers from Other Funds	-	102,755	265,489	259,670	320,614
<b>Total Expenditures</b>	<b>\$2,155,815</b>	<b>\$2,171,963</b>	<b>\$2,780,346</b>	<b>\$2,634,362</b>	<b>\$2,838,379</b>
<b>Program Measures</b>					
Performance Measures Developed	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	75%



# Personnel

## Department Of Administration Purchasing

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Purchasing Agent	0145A	1.0	123,497	1.0	126,345
Assistant Director for Special Projects	0141A	1.0	111,466	1.0	111,466
Chief of Purchasing Mgmt & Supp Svcs	0138A	1.0	93,532	1.0	95,805
Asst Administrator MBE Compliance	0134A	1.0	86,702	1.0	86,702
Chief Buyer (DOA/OP)	0132A	2.0	152,087	2.0	154,625
Chief Implementation Aide	0828A	1.0	72,045	1.0	72,045
Sr External Equal Opp Comp Off	0127A	1.0	60,592	1.0	60,592
Buyer II (DOA/OP)	0327A	4.0	225,107	4.0	232,462
Senior Buyer (DOA/OP)	0829A	1.0	53,879	1.0	55,808
Pr Purchasing Tech	0319A	1.0	50,844	1.0	50,844
Implementation Aide	0322A	1.0	48,551	1.0	50,606
Systems Support Technician I	0318A	3.0	143,914	3.0	143,994
Legal Assistant	0119A	1.0	47,146	1.0	47,146
Buyer I (DOA/OP)	0324A	4.0	186,956	4.0	192,873
Ext Equal Opp Officer	0123A	1.0	43,944	1.0	45,259
Standards Tech	0316A	5.0	210,084	5.0	212,676
<b>Subtotal</b>		<b>29.0</b>	<b>\$1,710,346</b>	<b>29.0</b>	<b>\$1,739,248</b>
Turnover		-	(170,687)	-	(54,946)
<b>Subtotal</b>		-	<b>(\$170,687)</b>	-	<b>(\$54,946)</b>
<b>Total Salaries</b>		<b>29.0</b>	<b>\$1,539,659</b>	<b>29.0</b>	<b>\$1,684,302</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	16,843
FICA		-	116,469	-	127,404
Medical		-	307,326	-	377,670
Payroll Accrual		-	-	-	9,887
Retiree Health		-	108,236	-	118,085
Retirement		-	353,814	-	356,720
<b>Subtotal</b>		-	<b>\$885,845</b>	-	<b>\$1,006,609</b>
<b>Total Salaries and Benefits</b>		<b>29.0</b>	<b>\$2,425,504</b>	<b>29.0</b>	<b>\$2,690,911</b>
Cost Per FTE Position			\$83,638		\$92,790
Statewide Benefit Assessment		-	57,737	-	63,162
<b>Subtotal</b>		-	<b>\$57,737</b>	-	<b>\$63,162</b>
<b>Payroll Costs</b>		<b>29.0</b>	<b>\$2,483,241</b>	<b>29.0</b>	<b>\$2,754,073</b>

# Personnel

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## Department Of Administration Purchasing

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Clerical and Temporary Services		-	150	-	150
Information Technology		-	80,000	-	-
<b>Subtotal</b>		-	<b>\$80,150</b>	-	<b>\$150</b>
<b>Total Personnel</b>		<b>29.0</b>	<b>\$2,563,391</b>	<b>29.0</b>	<b>\$2,754,223</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		25.0	2,241,300	25.0	2,391,461
Federal Funds		1.0	67,459	1.0	69,888
Other Funds		3.0	254,632	3.0	292,874
<b>Total All Funds</b>		<b>29.0</b>	<b>\$2,563,391</b>	<b>29.0</b>	<b>\$2,754,223</b>

# The Program

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## Department Of Administration Auditing

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### **Program Mission**

To provide independent and objective assurance on governance, risk management, and control processes that will furnish a reasonable basis to report on the effectiveness and efficiency of state operations, the reliability of financial reporting, compliance with applicable laws, regulations, and contracts.

### **Program Description**

The Bureau of Audits performs the auditing function for the Executive Branch. The Bureau provides the Director of Administration with an independent appraisal and evaluation of the effectiveness of financial and operational control through objective analyses, evaluations, and recommendations on operations, systems, controls, and contracted services.

The primary activities of the Bureau can be classified as internal auditing and management advisory services. The Bureau of Audits is required to audit the financial records and accounts of all state departments and agencies; determine audits that will be performed on a risk-based evaluation system; and report all findings and recommendations relative to the financial affairs, and the economy and efficiency of operations.

Additional responsibilities include: conducting investigations at the request of the Governor, the director of the Department of Administration, or of either branch of the general assembly; providing management advisory and consulting expertise to state departments, agencies, and quasi-state agencies; performing the fiscal year-end intergovernmental service fund inventory count; conducting audits of American Recovery and Reinvestment Act (ARRA) funded projects; conducting audits of low income home energy assistance programs (LIHEAP); and administering and evaluating the results of the annual statewide internal control reporting questionnaire; namely the Fiscal Integrity and Accountability Report (FIA Report).

For FY 2013, the Governor proposes to eliminate the functions and activities of the Bureau of Audits and integrate some of its functions in a new Performance Management unit in the newly created Office of Management and Budget.

### **Statutory History**

R.I.G.L. 35-7 establishes the Bureau of Audits and authorizes it to conduct audits of the financial affairs, the economy and efficiency of management, and the books and accounts of all state departments and agencies in accordance with a risk-based evaluation system. The Bureau may also, at the written request of the Governor, the director of the Department of Administration, or of either branch of the general assembly, conduct investigations of and provide management advisory and consulting services to state departments, agencies, and quasi-state agencies.

# The Budget

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## Department Of Administration Auditing

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Auditing	1,153,211	1,243,959	1,376,922	1,240,008	-
<b>Total Expenditures</b>	<b>\$1,153,211</b>	<b>\$1,243,959</b>	<b>\$1,376,922</b>	<b>\$1,240,008</b>	-
<b>Expenditures By Object</b>					
Personnel	1,138,050	1,206,620	1,336,173	1,198,789	-
Operating Supplies and Expenses	9,435	30,114	33,749	34,219	-
<b>Subtotal: Operating Expenditures</b>	<b>1,147,485</b>	<b>1,236,734</b>	<b>1,369,922</b>	<b>1,233,008</b>	-
Capital Purchases and Equipment	5,726	7,225	7,000	7,000	-
<b>Total Expenditures</b>	<b>\$1,153,211</b>	<b>\$1,243,959</b>	<b>\$1,376,922</b>	<b>\$1,240,008</b>	-
<b>Expenditures By Funds</b>					
General Revenue	1,086,430	1,243,959	1,376,922	1,240,008	-
Restricted Receipts	66,781	-	-	-	-
<b>Total Expenditures</b>	<b>\$1,153,211</b>	<b>\$1,243,959</b>	<b>\$1,376,922</b>	<b>\$1,240,008</b>	-

# Personnel

## Department Of Administration Auditing

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Classified</b>						
Chief , Bureau of Audits	0145A	1.0	134,939	-	-	(1)
Deputy Chief, Bureau of Audits	0143A	2.0	226,567	-	-	(1)
Internal Audit Manager	0136A	2.0	186,099	-	-	(1)
Principal Auditor	0328A	1.0	71,173	-	-	(1)
Senior Auditor	0325A	2.0	124,141	-	-	(1)
Sr. Internal Auditor	0131A	3.0	180,051	-	-	(1)
Implementation Aide	0322A	1.0	55,254	-	-	(1)
<b>Subtotal</b>		<b>12.0</b>	<b>\$978,224</b>	-	-	
Cost Allocation to Energy		-	(32,095)	-	-	
Turnover		-	(149,329)	-	-	
<b>Subtotal</b>		-	<b>(\$181,424)</b>	-	-	
<b>Total Salaries</b>		<b>12.0</b>	<b>\$796,800</b>	-	-	
<b>Benefits</b>						
Defined Contribution Plan		-	-	-	-	
FICA		-	58,408	-	-	
Medical		-	73,582	-	-	
Payroll Accrual		-	-	-	-	
Retiree Health		-	57,014	-	-	
Retirement		-	183,105	-	-	
<b>Subtotal</b>		-	<b>\$372,109</b>	-	-	
<b>Total Salaries and Benefits</b>		<b>12.0</b>	<b>\$1,168,909</b>	-	-	
Cost Per FTE Position			\$97,409			
Statewide Benefit Assessment		-	29,880	-	-	
<b>Subtotal</b>		-	<b>\$29,880</b>	-	-	
<b>Payroll Costs</b>		<b>12.0</b>	<b>\$1,198,789</b>	-	-	
<b>Total Personnel</b>		<b>12.0</b>	<b>\$1,198,789</b>	-	-	
<b>Distribution By Source Of Funds</b>						
General Revenue		12.0	1,198,789	-	-	
<b>Total All Funds</b>		<b>12.0</b>	<b>\$1,198,789</b>	-	-	

1 Reflects the elimination of the Bureau of Audits and the assumption of its function within the newly-created program of Office of Management & Budget within the Department of Administration.

# The Program

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## Department Of Administration Human Resources

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### **Program Mission**

To promote and maintain effective programs, policies and procedures in support of the human resource needs of the citizens, elected officials, managers and employees of the state.

### **Program Description**

The Division of Human Resources is composed of a number of subprograms: Administrative services, Classification & Examinations, Equal Employment Opportunity, Outreach & Diversity, Employee Benefits, Training and Development, Employee Services, Human Resource Service Centers. Its primary mission is to provide the best possible cost effective human resource services to employees, labor, and management in assisting them in carrying out the functions and responsibilities of state government; to be accountable to the general public by instituting policies and procedures that are fair and equitable in providing the finest possible service to those seeking employment in state service; to be responsive to employees by providing a progression in employment opportunities, adequate employee benefits, ensuring affirmative action, the rights of the disabled and promoting career development and training; to assist those disabled, as a result of a job related injury, with adequate benefits during their convalescence and to ensure their eventual return to productive employment; and to safeguard the integrity and quality of the state employment system by continuously protecting it from influences that are detrimental to that effort.

Human Resources Service Centers: Executive Order 05-11, issued by Governor Carcieri, established four Human Resource Service Centers within the Department of Administration, each of which services a cluster of Executive Branch departments and agencies. Each Center is responsible for standardizing human resources policies on a statewide basis, implementing uniform human resources practices, automating tasks, and eliminating redundant activities.

DEM/DOT HR Service Center – Services the Departments of Environmental Management and Transportation.

General Government HR Service Center – Services the Departments of Administration, Business Regulation, Labor and Training and Revenue as well as various commissions, boards and councils.

Health and Human Services HR Service Center – Services the Executive Office of Health and Human Services and the Departments of Children, Youth and Families, Elderly Affairs, Health, Human Services, and the Department of Behavioral Healthcare, Developmental Disabilities and Hospitals (BHDDH).

Public Safety HR Service Center – Services the Department of Corrections, Emergency Management Agency and the Rhode Island National Guard.

### **Statutory History**

Title 36, Chapters 3 and 4 of the Rhode Island General Laws establish the basic principles of the Merit System Law, under which the Division of Human Resources operates.

# The Budget

## Department Of Administration Human Resources

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Human Resources	269,864	-	-	-	-
Personnel Administration	3,801,637	3,734,367	4,046,022	4,037,259	3,317,107
Equal Opportunity/Outreach	365,537	426,358	534,451	468,179	563,181
DEM/DOT HR Service Center	1,384,172	1,383,949	1,476,524	1,477,547	1,461,402
General Gov. HR Service Center	741,020	756,444	1,050,457	969,456	1,054,230
Human Services HR Svc Center	2,994,511	3,053,649	3,187,699	2,817,489	3,374,787
Public Safety HR Service Cntr	1,119,811	1,209,846	1,215,686	1,289,290	1,265,085
<b>Total Expenditures</b>	<b>\$10,676,552</b>	<b>\$10,564,613</b>	<b>\$11,510,839</b>	<b>\$11,059,220</b>	<b>\$11,035,792</b>
<b>Expenditures By Object</b>					
Personnel	10,489,605	10,356,252	11,229,380	10,781,681	10,660,858
Operating Supplies and Expenses	180,216	179,257	265,666	259,942	357,337
Assistance and Grants	-	25,000	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>10,669,821</b>	<b>10,560,509</b>	<b>11,495,046</b>	<b>11,041,623</b>	<b>11,018,195</b>
Capital Purchases and Equipment	6,731	4,104	15,793	17,597	17,597
<b>Total Expenditures</b>	<b>\$10,676,552</b>	<b>\$10,564,613</b>	<b>\$11,510,839</b>	<b>\$11,059,220</b>	<b>\$11,035,792</b>
<b>Expenditures By Funds</b>					
General Revenue	8,401,840	8,054,530	8,952,981	8,702,014	8,369,425
Federal Funds	633,971	655,054	770,374	689,114	833,539
Restricted Receipts	387,419	419,450	426,866	373,563	466,875
Other Funds	1,253,322	1,435,579	1,360,618	1,294,529	1,365,953
<b>Total Expenditures</b>	<b>\$10,676,552</b>	<b>\$10,564,613</b>	<b>\$11,510,839</b>	<b>\$11,059,220</b>	<b>\$11,035,792</b>
<b>Program Measures</b>					
Percentage of PARFs Completed within 60 Days	N/A	N/A	75.0%	N/A	TBD
Objective	N/A	N/A		N/A	75.0%
Percentage of Desk Audits Completed within 60 Days	45.5%	48.2%	50.0%	50.0%	50.0%
Objective	50.0%	50.0%		50.0%	50.0%
Percentage of Civil Service Examinations Completed within 120 Days	18.0%	100.0%	100.0%	100.0%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%

# Personnel

## Department Of Administration

### Human Resources

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Personnel Administrator	0146A	1.0	146,165	1.0	146,165
Deputy Personnel Administrator	0144A	3.0	381,512	3.0	381,512
Human Resources Administrator	0141A	3.0	342,484	3.0	342,484
Human Resources Program Administrator	0139A	1.0	106,025	1.0	106,025
Admin., State Equal Opportunity Program	0139A	1.0	104,239	1.0	105,862
Human Resources Supervisor	0136A	2.0	190,691	2.0	192,213
Risk Management Coordinator	0135A	1.0	93,493	1.0	93,493
Chief of Employee Benefits	0139A	1.0	92,362	1.0	92,362
Human Resources Coordinator	0135A	5.0	422,522	5.0	424,972
Human Resources Analyst III (Labor Rel)	0133A	1.0	83,307	1.0	83,307
Chief Program Development	0134A	1.0	77,478	1.0	77,478
Chief of Human Resources Services	0133A	1.0	76,449	1.0	76,449
Human Resources Analyst III (Class & Org)	0133A	1.0	74,589	1.0	74,589
Supervising Personnel Support Services	0128A	1.0	72,561	1.0	73,505
Programming Services Officer	0131A	3.0	216,996	3.0	219,181
Human Resources Analyst II (Labor Rel)	0129A	1.0	72,185	1.0	72,185
Business Management Officer	0B26A	1.0	71,988	1.0	71,988
Human Resources Analyst II (General)	0129A	2.0	143,204	2.0	143,204
Human Resources Analyst III (General)	0133A	6.0	427,941	6.0	445,191
Chief Employee Relations Officer	0130A	3.0	213,342	3.0	213,588
Chief Implementation Aide	0128A	2.0	140,159	2.0	140,159
Sr. Equal Opp Off	0326A	1.0	68,800	1.0	71,250
Prin Resource Specialist	0328A	1.0	68,343	1.0	69,512
Human Resources Analyst II (Merit)	0129A	1.0	66,901	1.0	66,901
Sr Elect Computer Programmer	0126A	1.0	65,831	1.0	65,831
Chief Implementation Aide	0328A	1.0	60,749	1.0	63,362
Human Resources Analyst I	0126A	8.0	476,092	8.0	483,281
Human Resources Analyst II (Class & Org)	0129A	5.0	294,868	5.0	302,818
Administrative Officer	0124A	1.0	58,547	1.0	58,547
Supervising Employee Relations Officer	0128A	2.0	111,828	2.0	115,036
Data Entry Unit Supervisor	0B21A	2.0	107,688	2.0	110,508
Implementation Aide	0122A	5.0	261,489	5.0	263,545
Personnel Aide	0319A	2.0	99,008	2.0	99,008
Senior System Analyst	0126A	2.0	97,471	2.0	101,171
Human Resources Technician	0122A	26.0	1,231,614	26.0	1,254,214
Payroll Office Supervisor	0317A	1.0	47,166	1.0	47,166
Prop Control & Supply Officer	0317A	1.0	47,166	1.0	47,166
Personnel Aide	0119A	4.0	182,598	4.0	187,469
Jr Resource Specialist	0119A	3.0	131,395	3.0	133,472
Employee Benefits Specialist	0322A	3.0	128,074	3.0	131,770
Sr. Comm Assist Specialist	0123A	1.0	42,500	1.0	43,900
Executive Assistant	0118A	1.0	39,509	1.0	40,497
Sr Word Processing Typist	3112A	1.0	34,092	1.0	34,860
<b>Subtotal</b>		<b>114.0</b>	<b>\$7,271,421</b>	<b>114.0</b>	<b>\$7,367,196</b>



# Personnel

## Department Of Administration Human Resources

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Supervising Employees Relations Officer	0828A	1.0	75,988	1.0	75,988
Inter-Agency Liaison Specialist	0826A	1.0	70,268	1.0	70,268
<b>Subtotal</b>		<b>2.0</b>	<b>\$146,256</b>	<b>2.0</b>	<b>\$146,256</b>
Interdepartmental Transfers - DOR (DMV)		-	(93,842) <sup>(3)</sup>	-	-
Interdepartmental Transfers - DOR (Municipal)		-	(16,750) <sup>(2)</sup>	-	-
Overtime		-	86,565	-	86,565
Program Reduction		-	-	(12.0)	(406,714) <sup>(1)</sup>
Turnover		-	(569,894)	-	(538,877)
<b>Subtotal</b>		<b>-</b>	<b>(\$593,921)</b>	<b>(12.0)</b>	<b>(\$859,026)</b>
<b>Total Salaries</b>		<b>116.0</b>	<b>\$6,823,756</b>	<b>104.0</b>	<b>\$6,654,426</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	70,583
FICA		-	518,599	-	506,021
Holiday Pay		-	4,501	-	4,092
Medical		-	1,039,397	-	1,128,475
Payroll Accrual		-	-	-	38,991
Retiree Health		-	471,591	-	460,158
Retirement		-	1,548,209	-	1,368,834
<b>Subtotal</b>		<b>-</b>	<b>\$3,582,297</b>	<b>-</b>	<b>\$3,577,154</b>
<b>Total Salaries and Benefits</b>		<b>116.0</b>	<b>\$10,406,053</b>	<b>104.0</b>	<b>\$10,231,580</b>
Cost Per FTE Position			\$89,707		\$98,381
Statewide Benefit Assessment		-	252,648	-	246,298
Temporary and Seasonal		-	48,980	-	48,980
<b>Subtotal</b>		<b>-</b>	<b>\$301,628</b>	<b>-</b>	<b>\$295,278</b>
<b>Payroll Costs</b>		<b>116.0</b>	<b>\$10,707,681</b>	<b>104.0</b>	<b>\$10,526,858</b>
<b>Purchased Services</b>					
Management and Consultant Services		-	74,000	-	134,000
<b>Subtotal</b>		<b>-</b>	<b>\$74,000</b>	<b>-</b>	<b>\$134,000</b>
<b>Total Personnel</b>		<b>116.0</b>	<b>\$10,781,681</b>	<b>104.0</b>	<b>\$10,660,858</b>

# Personnel

## Department Of Administration Human Resources

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		90.9	8,465,893	78.9	8,134,030
Federal Funds		7.3	674,363	7.3	755,806
Restricted Receipts		4.0	365,223	4.0	423,396
Other Funds		13.8	1,276,202	13.8	1,347,626
<b>Total All Funds</b>		<b>116.0</b>	<b>\$10,781,681</b>	<b>104.0</b>	<b>\$10,660,858</b>

1 Reflects the elimination of the Office of Classification and Examination, including the following positions: a) Human Resources Coordinator (Gr. 135A) – 1.0 FTE; b) Human Resources Analyst II (Classification & Organization) (Gr. 129A) – 4.0 FTEs; c) Human Resources Analyst I (Gr. 0126A) – 1.0 FTE; d) Chief Implementation Aide (Gr. 128A) – 1.0 FTE; e) Implementation Aide (Gr. 122A) – 2.0 FTEs; f) Data Entry Unit Supervisor (Gr. 0B21) – 1.0 FTE.

3 Reflects the allocation to the Division of Motor Vehicles for assistance with office transition.

2 Reflects the allocation to Municipal Finance for assistance with the Central Falls receivership.

# The Program

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## Department Of Administration Personnel Appeal Board

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### **Program Mission**

To provide an impartial hearing process for appellants whose complaints fall under the jurisdiction of the board.

To develop policies and procedures to ensure that the board's obligations to appellants and agencies are discharged and that just decisions are rendered in accordance with the responsibility entrusted to the Personnel Appeal Board by law.

To develop a work calendar to ensure expeditious scheduling of hearings and rendering of judicious decisions.

### **Program Description**

The Personnel Appeal Board hears appeals: by any person with provisional, probationary, or permanent status in a position in the classified service aggrieved by an action of the Administrator of Adjudication for the Department of Administration on matters of personnel administration; by any person with provisional, probationary or permanent status in a position in the classified service who has been discharged, demoted, suspended or laid off by any appointing authority; by any person who holds the belief that he/she has been discriminated against because of his/her race, sex, age, physical handicap, or political or religious beliefs; by any person who, by the personnel policy of Rhode Island or by contractual agreement with Rhode Island, is vested with the right of appeal to the Personnel Appeal Board.

The Personnel Appeal Board consists of five qualified electors known to be in sympathy with the application of modern personnel practices, not more than three of whom shall be members of the same political party. The board shall elect one of its members chairperson.

The Personnel Appeal Board administers the Merit System Law governing appeals, maintenance of records, reviews, appeals from decisions rendered, and records of cases adjudicated prior to scheduling a public hearing. The board is authorized to require the attendance of witnesses by subpoena and acquire the production of books, papers and documents necessary at any hearing. Transcripts are available to all interested parties. Where permissible within the law, the board assists state personnel in the proper filings and processing of appeals.

### **Statutory History**

R.I.G.L. 36-3, sections 3 through 11 delineate the powers and duties of the Personnel Appeal Board.

# The Budget

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## Department Of Administration Personnel Appeal Board

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Personnel Appeal Board	65,482	63,344	73,560	74,676	34,932
<b>Total Expenditures</b>	<b>\$65,482</b>	<b>\$63,344</b>	<b>\$73,560</b>	<b>\$74,676</b>	<b>\$34,932</b>
<b>Expenditures By Object</b>					
Personnel	64,582	62,351	72,288	73,404	33,660
Operating Supplies and Expenses	900	993	1,272	1,272	1,272
<b>Subtotal: Operating Expenditures</b>	<b>65,482</b>	<b>63,344</b>	<b>73,560</b>	<b>74,676</b>	<b>34,932</b>
<b>Total Expenditures</b>	<b>\$65,482</b>	<b>\$63,344</b>	<b>\$73,560</b>	<b>\$74,676</b>	<b>\$34,932</b>
<b>Expenditures By Funds</b>					
General Revenue	65,482	63,344	73,560	74,676	34,932
<b>Total Expenditures</b>	<b>\$65,482</b>	<b>\$63,344</b>	<b>\$73,560</b>	<b>\$74,676</b>	<b>\$34,932</b>

# Personnel

## Department Of Administration Personnel Appeal Board

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Unclassified</b>						
Member, Personnel Appeal Board		-	36,000	-	-	(1)
<b>Subtotal</b>		-	<b>\$36,000</b>	-	-	
<b>Total Salaries</b>		-	<b>\$36,000</b>	-	-	
<b>Benefits</b>						
FICA		-	2,754	-	-	
<b>Subtotal</b>		-	<b>\$2,754</b>	-	-	
<b>Total Salaries and Benefits</b>		-	<b>\$38,754</b>	-	-	
Cost Per FTE Position			-		-	
Statewide Benefit Assessment		-	1,350	-	-	
<b>Subtotal</b>		-	<b>\$1,350</b>	-	-	
<b>Payroll Costs</b>		-	<b>\$40,104</b>	-	-	
<b>Purchased Services</b>						
Legal Services		-	30,600	-	30,600	
Temporary and Clerical and Temporary Services		-	2,700	-	3,060	
<b>Subtotal</b>		-	<b>\$33,300</b>	-	<b>\$33,660</b>	
<b>Total Personnel</b>		-	<b>\$73,404</b>	-	<b>\$33,660</b>	
<b>Distribution By Source Of Funds</b>						
General Revenue		-	73,404	-	33,660	
<b>Total All Funds</b>		-	<b>\$73,404</b>	-	<b>\$33,660</b>	

1 Reflects the elimination of compensation for the five-member Personnel Appeal Board.

# The Program

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## Department Of Administration Legal Services

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### **Program Mission**

To provide a centralized legal structure within the Executive Branch to manage, coordinate, maintain and provide in-house legal services and certain non-programmatic legal services, including developing various areas of legal expertise, templates, legal resources and knowledge to assist the legal divisions of the departments and agencies in the Executive branch.

To coordinate the hiring of outside legal counsel in the Executive Branch in an efficient manner.

To assign legal staff (attorneys, hearing officers, paralegals, legal assistants and support staff) in a manner that is appropriate for his/her level of expertise and experience to utilize legal resources in the most cost effective and efficient manner.

To represent the Department of Administration in litigation; provide legal risk management services; and provide a central hearing office for the department and other agencies upon request.

To standardize legal policies and procedures across the Executive Branch and reduce redundant legal processes and work to improve the efficiency and quality of legal services.

To coordinate and develop labor negotiation strategy on a statewide basis and represent the Executive Branch in all legal forums in all labor relations and employment law matters that have statewide impact.

To provide hearing officers for grievances and other administrative adjudication matters that are required by law, by conflict, or as needed, and requested by the Executive Branch.

### **Program Description**

The Division of Legal Services is established, manages, coordinates, and maintains legal resources to support the Executive Branch. The mission of the Division is to provide proactive legal assistance to the various divisions within the Department of Administration and certain non-programmatic legal services within the Executive Branch to assist them in achieving their statutory goals and objectives. In addition, the Division manages, coordinates, and assists attorneys across all Executive Branch departments and agencies.

### **Statutory History**

On August 24, 2004 Governor Carcieri issued Executive Order 04-09 creating a Division of Legal Services within the Department of Administration. In addition, several of the departments and agencies have independent statutory authority to establish and maintain legal resources.

# The Budget

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## Department Of Administration Legal Services

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Legal Services	1,585,988	1,735,578	1,825,486	1,932,094	2,006,995
<b>Total Expenditures</b>	<b>\$1,585,988</b>	<b>\$1,735,578</b>	<b>\$1,825,486</b>	<b>\$1,932,094</b>	<b>\$2,006,995</b>
<b>Expenditures By Object</b>					
Personnel	1,537,752	1,679,954	1,775,297	1,873,708	1,949,109
Operating Supplies and Expenses	40,384	48,020	41,836	55,043	54,543
Assistance and Grants	1,011	2,381	1,011	1,011	1,011
<b>Subtotal: Operating Expenditures</b>	<b>1,579,147</b>	<b>1,730,355</b>	<b>1,818,144</b>	<b>1,929,762</b>	<b>2,004,663</b>
Capital Purchases and Equipment	6,841	5,223	7,342	2,332	2,332
<b>Total Expenditures</b>	<b>\$1,585,988</b>	<b>\$1,735,578</b>	<b>\$1,825,486</b>	<b>\$1,932,094</b>	<b>\$2,006,995</b>
<b>Expenditures By Funds</b>					
General Revenue	1,565,350	1,756,216	1,825,486	1,932,094	2,006,995
Operating Transfers from Other Funds	20,638	(20,638)	-	-	-
<b>Total Expenditures</b>	<b>\$1,585,988</b>	<b>\$1,735,578</b>	<b>\$1,825,486</b>	<b>\$1,932,094</b>	<b>\$2,006,995</b>

# Personnel

## Department Of Administration Legal Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Asst. Director of Administration (Legal)	0844A	1.0	119,629	1.0	119,629
Administrator Adjudication	0140A	1.0	101,692	1.0	101,692
Chief of Legal Services	0139A	2.0	201,117	2.0	201,117
Deputy Chief of Legal Services	0137A	2.0	199,833	2.0	199,833
Legal Counsel (BHDDH)	0136A	1.0	99,662	1.0	99,662
Asst. Director for Special Projects	0141A	1.0	99,421	1.0	101,773
Chief Legal Counsel - ST Labor Relations	0142A	1.0	92,446	1.0	92,446
Legal Counsel	0132A	0.6	47,122	0.6	47,122
Senior Legal Counsel	0134A	1.0	77,478	1.0	77,478
Asst. Labor Relations Hearing Officer	0132A	1.0	72,847	1.0	72,847
Implementation Aide	0122A	1.0	54,844	1.0	54,844
Administrative Officer	0124A	1.0	43,218	1.0	44,369
Executive Assistant	0118A	1.0	37,891	1.0	38,698
Senior Word Processing Typist	0112A	1.0	34,860	1.0	34,860
<b>Subtotal</b>		<b>15.6</b>	<b>\$1,282,060</b>	<b>15.6</b>	<b>\$1,286,370</b>
Cost Allocation to Energy		-	(68,322)	-	-
Turnover		-	-	-	(30,021)
<b>Subtotal</b>		-	<b>(\$68,322)</b>	-	<b>(\$30,021)</b>
<b>Total Salaries</b>		<b>15.6</b>	<b>\$1,213,738</b>	<b>15.6</b>	<b>\$1,256,349</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	12,560
FICA		-	91,937	-	95,191
Medical		-	152,556	-	178,215
Payroll Accrual		-	-	-	7,022
Retiree Health		-	83,263	-	86,164
Retirement		-	278,916	-	266,009
<b>Subtotal</b>		-	<b>\$606,672</b>	-	<b>\$645,161</b>
<b>Total Salaries and Benefits</b>		<b>15.6</b>	<b>\$1,820,410</b>	<b>15.6</b>	<b>\$1,901,510</b>
Cost Per FTE Position			\$116,693		\$121,892
Statewide Benefit Assessment		-	45,515	-	45,099
<b>Subtotal</b>		-	<b>\$45,515</b>	-	<b>\$45,099</b>
<b>Payroll Costs</b>		<b>15.6</b>	<b>\$1,865,925</b>	<b>15.6</b>	<b>\$1,946,609</b>



# Personnel

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## Department Of Administration

### Legal Services

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Clerical and Temporary Services		-	2,500	-	2,500
Legal Services		-	5,283	-	-
<b>Subtotal</b>		-	<b>\$7,783</b>	-	<b>\$2,500</b>
<b>Total Personnel</b>		<b>15.6</b>	<b>\$1,873,708</b>	<b>15.6</b>	<b>\$1,949,109</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		15.6	1,873,708	15.6	1,949,109
<b>Total All Funds</b>		<b>15.6</b>	<b>\$1,873,708</b>	<b>15.6</b>	<b>\$1,949,109</b>

# The Program

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## Department Of Administration Facilities Management

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### **Program Mission**

To protect and preserve Rhode Island's facility assets.

To provide a clean, safe, healthy and secure environment conducive to employee productivity.

### **Program Description**

The Division of Facilities Management provides maintenance and operations services at 140 buildings under the direct jurisdiction of the Department of Administration. This includes the buildings at the Capitol Hill Complex, Pastore Center, Zambarano Campus, Veteran's Home, Ladd Center and numerous other state buildings throughout the State. In addition, the division includes the State Fleet Operations, Environmental Compliance, Asset Protection and Surplus Property.

The responsibility for building operations includes capital improvements, general maintenance, janitorial services, maintenance and operation of boilers and mechanical equipment, electrical power and distribution.

State Fleet maintains and operates 15 state fuel depots, administers the repair program for state vehicles, and administers the purchasing and disposal of state vehicles.

The Division also oversees environmental compliance of various state facilities and properties with environmental conditions that warrant remediation and/or permitting.

### **Statutory History**

Executive Order 04-04 establishes and defines the duties of the Division of Facilities Management.

R.I.G.L. 42-11-2 and Executive Order 86-15 establish the duties, authority and responsibilities of the property management and buildings and grounds functions. R.I.G.L. 42-11-2 establishes authority for the surplus state property program, the repair and operation of the State House, the State Office building and other premises, and control and supervision of the acquisition, operation, maintenance, repair and replacement of state-owned motor vehicles.

R.I.G.L. 45-56.2 establishes the Federal Surplus Property program.

# The Budget

## Department Of Administration Facilities Management

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations and Maintenance	6,565,201	6,687,760	6,665,241	6,805,108	6,994,455
Facilities Centralization	27,268,118	27,841,536	29,791,712	29,875,344	30,700,114
<b>Total Expenditures</b>	<b>\$33,833,319</b>	<b>\$34,529,296</b>	<b>\$36,456,953</b>	<b>\$36,680,452</b>	<b>\$37,694,569</b>
<b>Expenditures By Object</b>					
Personnel	12,355,025	12,508,225	13,143,471	13,005,122	13,669,929
Operating Supplies and Expenses	20,929,922	21,981,706	23,308,953	23,670,778	24,020,088
Assistance and Grants	1,707	1,140	1,828	1,852	1,852
<b>Subtotal: Operating Expenditures</b>	<b>33,286,654</b>	<b>34,491,071</b>	<b>36,454,252</b>	<b>36,677,752</b>	<b>37,691,869</b>
Capital Purchases and Equipment	59,057	38,225	2,701	2,700	2,700
Debt Service (Fixed Charges)	487,608	-	-	-	-
<b>Total Expenditures</b>	<b>\$33,833,319</b>	<b>\$34,529,296</b>	<b>\$36,456,953</b>	<b>\$36,680,452</b>	<b>\$37,694,569</b>
<b>Expenditures By Funds</b>					
General Revenue	28,580,921	29,740,284	31,519,155	31,835,832	32,690,324
Federal Funds	936,179	1,073,091	1,041,891	1,023,046	1,069,511
Restricted Receipts	902,597	416,294	594,907	583,319	609,814
Other Funds	3,413,622	3,299,627	3,301,000	3,238,255	3,324,920
<b>Total Expenditures</b>	<b>\$33,833,319</b>	<b>\$34,529,296</b>	<b>\$36,456,953</b>	<b>\$36,680,452</b>	<b>\$37,694,569</b>
<b>Program Measures</b>					
Percentage of Days with No Utility Service Interruption	99.9%	99.9%	99.9%	99.9%	99.9%
Objective	100.0%	100.0%		100.0%	100.0%

# Personnel

## Department Of Administration Facilities Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Associate Director of Administration	0147A	1.0	123,819	1.0	123,819
Associate Director I (BHDDH)	0142A	1.0	120,580	1.0	120,580
Assistant Director for Special Projects	0141A	1.0	116,312	1.0	116,312
Chief Property Management	0141A	1.0	104,267	1.0	104,267
Risk Manager - Insurance	0137A	1.0	96,593	1.0	96,593
Employment & Training Administrator	0135A	1.0	90,467	1.0	90,467
Deputy Chief, Div of Facilities Mgmt	0137A	2.0	176,033	2.0	176,033
Supervisor of Office Services	0131A	1.0	81,679	1.0	81,679
Chief of Inspections	0135A	1.0	76,221	1.0	76,523
State Operations Officer	0137A	1.0	75,154	1.0	77,901
Sr. Environmental Scientist	0330A	1.0	72,567	1.0	75,496
State Bldg. & Grounds Coordinator	0132A	4.0	286,558	4.0	295,323
Building & Grounds Officer	0828A	3.0	202,078	3.0	203,485
Coord. Of Maintenance Programs	0324A	1.0	61,247	1.0	61,247
Chief Power Plant Operator	0325A	1.0	60,965	1.0	61,908
Asst. Bldg. & Grounds Officer	0124A	1.0	59,792	1.0	59,792
Federal Surplus Prop Off	0826A	1.0	59,375	1.0	59,375
Superv Painting, Plst, Mason, Glzg	0323A	1.0	57,656	1.0	57,656
Mechanical & Elec Shop Supervisor	0326A	3.0	166,193	3.0	172,200
Asst. Bldg. & Grounds Officer	0824A	3.0	165,523	3.0	167,905
WWTF Process Monitor II	3124A	1.0	53,830	1.0	55,145
Chief of Elec General & Elec Distb	0329A	1.0	53,498	1.0	56,975
Asst. Bldg. & Grounds Officer	3124A	2.0	104,111	2.0	109,596
WWTF Process Monitor I	3121A	1.0	50,070	1.0	50,070
Maintenance Superintendent	0322A	1.0	48,544	1.0	48,544
Bldg. Superintendent	0318A	1.0	47,697	1.0	47,697
Sr. Fireperson (H.P)	3116A	1.0	47,680	1.0	47,680
HVAC Shop Supervisor	0320A	1.0	47,420	1.0	47,420
Automotive Service Supervisor	0318G	1.0	47,324	1.0	47,324
Mason Supervisor	0318G	1.0	47,324	1.0	47,324
Painter Supervisor	0318G	1.0	47,324	1.0	47,324
Assistant Carpenter Supervisor	0317A	1.0	47,166	1.0	47,166
Grounds Superintendent	0317A	1.0	47,166	1.0	47,166
Power Plant Operator	3118A	5.0	234,874	5.0	235,585
Plumber Supervisor	0320G	1.0	46,946	1.0	47,927
Asst. Business Management Officer	0119A	1.0	44,277	1.0	45,105
Steamfitter Supervisor	0320A	1.0	43,608	1.0	43,608
Bldg. Superintendent	0318G	1.0	43,380	1.0	43,380
Building Systems Technician	0317A	1.0	43,235	1.0	43,235
Bldg. Superintendent	0818A	2.0	86,372	2.0	87,509
Sr. Gardener	0313G	1.0	43,106	1.0	43,106
Building Maintenance Supervisor	0318G	2.0	84,485	2.0	84,485
Steamfitter	0314G	1.0	42,219	1.0	42,219
Carpenter	3114G	1.0	41,841	1.0	41,841

# Personnel

## Department Of Administration Facilities Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Sr. Maintenance Technician	3114G	1.0	41,841	1.0	41,841
Mechanical Parts Storekeeper	3113A	1.0	41,516	1.0	41,683
Carpenter	0314G	2.0	82,798	2.0	82,798
Principal Janitor	0314A	2.0	82,454	2.0	83,201
Plumber	0316G	1.0	41,205	1.0	41,642
Locksmith	0315A	1.0	41,128	1.0	41,128
Sr. Maintenance Technician	0314G	11.0	450,418	11.0	455,538
Painter	0314G	4.0	162,312	4.0	163,987
Automotive Mechanic	0314G	1.0	40,383	1.0	40,383
Mason	0314G	1.0	40,383	1.0	40,383
Maintenance Technician	0310G	1.0	40,285	1.0	40,285
Semi-skilled Laborer	0310G	2.0	80,179	2.0	80,995
Laborer Supervisor	0313G	1.0	39,246	1.0	39,246
Painter	3114G	1.0	38,897	1.0	39,171
Public Properties Officer	0312G	1.0	38,417	1.0	38,417
Electrician	0316G	5.0	189,604	5.0	195,345
Senior Janitor	0312A	2.0	75,719	2.0	76,443
WWTF Operator II	3117G	1.0	37,274	1.0	37,274
Janitor	0309A	10.0	337,643	10.0	341,520
Carpenter	0314A	2.0	67,222	2.0	70,798
Cleaner (Public Buildings)	0301W	1.5	39,000	1.5	39,526
<b>Subtotal</b>		<b>113.5</b>	<b>\$5,704,500</b>	<b>113.5</b>	<b>\$5,767,596</b>
Cost Allocation from Central Management		-	196,774	-	199,543
Cost Allocation to ISF (Auto Maintenance)		-	(30,955)	-	(30,955)
Overtime		-	334,320	-	334,320
Turnover		-	(548,240)	-	(296,601)
<b>Subtotal</b>		-	<b>(\$48,101)</b>	-	<b>\$206,307</b>
<b>Total Salaries</b>		<b>113.5</b>	<b>\$5,656,399</b>	<b>113.5</b>	<b>\$5,973,903</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	56,397
FICA		-	433,777	-	458,066
Holiday Pay		-	46,501	-	42,274
Medical		-	1,374,335	-	1,623,148
Payroll Accrual		-	-	-	33,551
Retiree Health		-	382,919	-	404,699
Retirement		-	1,237,489	-	1,197,232
<b>Subtotal</b>		-	<b>\$3,475,021</b>	-	<b>\$3,815,367</b>
<b>Total Salaries and Benefits</b>		<b>113.5</b>	<b>\$9,131,420</b>	<b>113.5</b>	<b>\$9,789,270</b>
Cost Per FTE Position			\$80,453		\$86,249
Statewide Benefit Assessment		-	199,584	-	211,490
<b>Subtotal</b>		-	<b>\$199,584</b>	-	<b>\$211,490</b>

# Personnel

## Department Of Administration Facilities Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Payroll Costs</b>		<b>113.5</b>	<b>\$9,331,004</b>	<b>113.5</b>	<b>\$10,000,760</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	700,210	-	650,261
Clerical and Temporary Services		-	8,000	-	8,000
Design and Engineering Services		-	60,106	-	60,106
Management and Consultant Services		-	2,809,002	-	2,854,002
Medical Services		-	1,199	-	1,199
Other Contract Services		-	95,601	-	95,601
<b>Subtotal</b>		<b>-</b>	<b>\$3,674,118</b>	<b>-</b>	<b>\$3,669,169</b>
<b>Total Personnel</b>		<b>113.5</b>	<b>\$13,005,122</b>	<b>113.5</b>	<b>\$13,669,929</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		99.1	11,321,604	99.1	11,885,653
Federal Funds		3.1	355,191	3.1	376,447
Restricted Receipts		1.7	202,521	1.7	214,643
Other Funds		9.6	1,125,806	9.6	1,193,186
<b>Total All Funds</b>		<b>113.5</b>	<b>\$13,005,122</b>	<b>113.5</b>	<b>\$13,669,929</b>

# The Program

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## Department Of Administration Capital Projects and Property Management

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### **Program Mission**

To provide for quality construction of state facilities; to facilitate services to the public by providing healthy, safe, secure and accessible service environments and employee workplaces; to assure public welfare by interpreting and enforcing building code standards on state properties; to protect the public from unscrupulous building contractors and shoddy workmanship; and to assure fairness, transparency and good value in developing and securing property for the State's use.

### **Program Description**

The Division of Capital Projects and Property Management is responsible for the planning, design and construction of new state facilities and the major renovation of existing buildings. It also solicits, negotiates and administers real estate leases. The Division conducts ongoing assessments of the State's space needs for governmental activities, allocates space and oversees capital planning and development. In addition, the Division is responsible for a variety of related activities including the administration of the Building Code Commission and the Contractors' Registration and Licensing Board.

The Building Code Commission oversees the approval of state projects for conformance to ADA and accessibility standards and building codes. The Commission also conducts a variety of training programs for code officials and building trades people.

The Contractors' Registration and Licensing Board safeguards consumers' rights related to contracted improvements on their property and has a dispute resolution process that criminally prosecutes cases when not resolved through the Attorney Generals office in District Court. Additionally the Board registers contractors who perform work on residential and commercial properties licensing of home inspectors and commercial roofers.

The Fire Code Board of Appeal and Review adopts fire safety codes, provides hearings for code appeal and disseminates training and technical assistance to local authorities.

### **Statutory History**

Executive Order 04-04 establishes the Division of Capital Projects and Property Management. RIGL 23-27.3-108.2 et. seq. and RIGL 5-65-15.1 establish the duties and authority and responsibility of the State Building Commission. RIGL 5-65 establishes and sets the legislative operating authority for the Contractors' Registration Board. CHAPTER 5-73 sets regulations and Board authority over roofing contractors. Chapter 65.1 regulates Home Inspectors which falls under the jurisdiction of the Board. The Fire Board of Appeal and Review is governed by RIGL 23-28.3-3 through RIGL 23-28.3-10.

# The Budget

## Department Of Administration Capital Projects and Property Management

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Capital Projects	957,273	1,029,466	1,098,483	1,422,595	711,888
Property Management	276,476	146,110	153,855	157,677	-
State Building Code Commission	1,873,052	2,004,521	2,344,528	2,212,267	2,548,724
FIRE CODE BOARD OF APPEAL & RE	282,706	310,131	325,213	332,077	335,962
<b>Total Expenditures</b>	<b>\$3,389,507</b>	<b>\$3,490,228</b>	<b>\$3,922,079</b>	<b>\$4,124,616</b>	<b>\$3,596,574</b>
<b>Expenditures By Object</b>					
Personnel	3,161,890	3,357,000	3,671,128	3,693,981	3,278,192
Operating Supplies and Expenses	289,504	103,955	208,951	389,135	263,882
Assistance and Grants	-	354,572	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>3,451,394</b>	<b>3,815,527</b>	<b>3,880,079</b>	<b>4,083,116</b>	<b>3,542,074</b>
Capital Purchases and Equipment	(61,887)	(325,299)	42,000	41,500	54,500
<b>Total Expenditures</b>	<b>\$3,389,507</b>	<b>\$3,490,228</b>	<b>\$3,922,079</b>	<b>\$4,124,616</b>	<b>\$3,596,574</b>
<b>Expenditures By Funds</b>					
General Revenue	2,452,260	2,495,585	2,429,894	2,636,697	2,184,943
Federal Funds	58,363	22,771	58,363	233,865	-
Restricted Receipts	878,884	971,872	1,433,822	1,254,054	1,411,631
<b>Total Expenditures</b>	<b>\$3,389,507</b>	<b>\$3,490,228</b>	<b>\$3,922,079</b>	<b>\$4,124,616</b>	<b>\$3,596,574</b>
<b>Program Measures</b>					
Dollar Savings Realized By Moving State Operations from Leased to State-Owned Space Objective	\$65,426	\$1,551,553	\$445,300	\$839,384	\$50,000
Objective	\$192,400	\$981,625		\$870,578	\$50,000



# Personnel

## Department Of Administration Capital Projects and Property Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Associate Director	0147A	1.0	150,887	1.0	150,887
Chief, Property Management	0141A	1.0	116,312	1.0	116,312
Exec. Dir(Fire Safety Code Bd)	3640A	1.0	109,823	1.0	109,823
State Building Code Commissioner	0142A	1.0	101,408	1.0	101,408
Deputy Chief, Div of Facilities Mgmt	0137A	1.0	100,101	1.0	100,101
Executive Director Contractors Regis. Bd.	0837A	1.0	99,595	1.0	99,595
Chief Facilities Mgmt. Officer	0135A	1.0	94,325	1.0	94,325
Supervisor Civil Engineer (Mechanical)	0335A	1.0	89,833	1.0	89,833
Supervisor Civil Engineer (Electrical)	0335A	1.0	88,493	1.0	90,266
Architect - Building Commission	0335A	3.0	248,561	3.0	248,561
Hearing Officer Contractors Reg Bd	0334A	1.0	78,314	1.0	82,070
Pr. State Bldg. Code Official	0331A	2.0	154,985	2.0	154,985
State Building & Grounds Coordinator	0132A	1.0	71,707	1.0	71,707
Chief Implementation Aide	0128A	1.0	70,444	1.0	70,444
Pr. State Bldg. Code Official - Elec.	0331A	1.0	68,127	1.0	68,127
Architect	0332A	1.0	62,675	1.0	65,281
Assistant Building and Grounds Officer	0824A	1.0	59,815	1.0	60,592
Sr State Building Code Official, Bldg	0328A	4.0	235,374	4.0	240,085
Implementation Aide	0322A	1.0	52,771	1.0	54,645
Assistant Administrative Officer	4521A	1.0	51,610	1.0	51,610
Licensing Aide	0315A	3.0	133,205	3.0	133,205
Enforcement Aide	0319A	2.0	88,489	2.0	90,258
Clerk Secretary	0B16A	1.0	42,848	1.0	44,137
Administrative Aide	4514A	1.0	38,930	1.0	38,930
<b>Subtotal</b>		<b>33.0</b>	<b>\$2,408,632</b>	<b>33.0</b>	<b>\$2,427,187</b>
Allocation to General - RICAP Fund		-	-	(4.0)	(354,803) <sup>(1)</sup>
Turnover		-	(149,526)	-	-
<b>Subtotal</b>		<b>-</b>	<b>(\$149,526)</b>	<b>(4.0)</b>	<b>(\$354,803)</b>
<b>Total Salaries</b>		<b>33.0</b>	<b>\$2,259,106</b>	<b>29.0</b>	<b>\$2,072,384</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	20,724
FICA		-	169,316	-	155,616
Medical		-	335,784	-	357,796
Payroll Accrual		-	-	-	12,108
Retiree Health		-	154,976	-	142,167
Retirement		-	523,333	-	431,081
<b>Subtotal</b>		<b>-</b>	<b>\$1,183,409</b>	<b>-</b>	<b>\$1,119,492</b>
<b>Total Salaries and Benefits</b>		<b>33.0</b>	<b>\$3,442,515</b>	<b>29.0</b>	<b>\$3,191,876</b>
Cost Per FTE Position			\$104,319		\$110,065

# Personnel

## Department Of Administration Capital Projects and Property Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Statewide Benefit Assessment		-	84,716	-	77,716
<b>Subtotal</b>		-	<b>\$84,716</b>	-	<b>\$77,716</b>
<b>Payroll Costs</b>		<b>33.0</b>	<b>\$3,527,231</b>	<b>29.0</b>	<b>\$3,269,592</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	6,100	-	6,100
Design and Engineering Services		-	2,500	-	2,500
Legal Services		-	135,000 <sup>(2)</sup>	-	-
Training and Educational Services		-	23,150	-	-
<b>Subtotal</b>		-	<b>\$166,750</b>	-	<b>\$8,600</b>
<b>Total Personnel</b>		<b>33.0</b>	<b>\$3,693,981</b>	<b>29.0</b>	<b>\$3,278,192</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		19.0	2,532,232	16.7	2,076,398
Federal Funds		-	23,150	-	-
Restricted Receipts		14.0	1,138,599	12.3	1,201,794
<b>Total All Funds</b>		<b>33.0</b>	<b>\$3,693,981</b>	<b>29.0</b>	<b>\$3,278,192</b>

*1 Reflects the allocation of personal services costs for four positions to the General program for direct services provided the state's various capital projects: a) Chief of Property Management (Gr.141A) – 1.0 FTE; b) Chief Facilities Management Officer (Gr.135A) – 1.0 FTE; and c) Architects (Gr. 332A) – 2.0 FTEs.*

*2 Reflects the cost of arbitration for the Rhode Island Training School project.*

# The Program

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## Department Of Administration Information Technology

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### **Program Mission**

Maintain and improve IT services to executive branch departments and agencies, including technical support to end users and networks, help desk services, and application development, delivery and maintenance.

Complete integration of all executive branch agency and departmental IT organizations into the Information Technology program, including personnel and hardware consolidation

Continue the implementation of the approved statewide-integrated financial management system.

Implement and test a disaster recovery capability for Rhode Island's critical systems

Further expand and improve e-government services through Rhode Island's portal, RI.gov.

Continue to expand and improve technology advancements by performing a migration from Novell Netware to a Windows Active Directory infrastructure, Virtualized Server capacity and implement E-licensing initiatives

Provide state agencies and departments with improved transparency and clarity in their services through refinement of the cost allocation process.

### **Program Description**

Information Technology, headed by the state's Chief Information Officer (CIO), is responsible for oversight, coordination, and development of all information technology (IT) resources within the executive branch of state government. All hiring and spending decisions involving IT may only be made with the advice and approval of the CIO.

Information Technology defines and maintains the architectural standards for hardware, software, networks and services that guide the State's investments in IT. Information Technology defines and enforces statewide policies and procedures pertaining to project management, operations and the effective use of security of IT resources.

Information Technology is responsible for planning all IT investments and activities throughout the executive branch departments and agencies

### **Statutory History**

Executive Order 04-06 establishes and defines the duties and responsibilities of the Information Technology Division within the Department of Administration.

# The Budget

## Department Of Administration Information Technology

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Executive Director-CIO	426,715	360,260	373,030	378,684	380,662
Information Technology	2,218,071	2,131,839	3,401,252	3,942,034	9,159,750
IT Centralization	22,693,930	24,480,649	26,605,672	26,195,516	26,342,237
<b>Total Expenditures</b>	<b>\$25,338,716</b>	<b>\$26,972,748</b>	<b>\$30,379,954</b>	<b>\$30,516,234</b>	<b>\$35,882,649</b>
<b>Expenditures By Object</b>					
Personnel	20,427,202	21,345,155	23,468,592	23,041,448	22,834,437
Operating Supplies and Expenses	4,042,831	4,872,936	4,605,987	5,020,458	5,308,286
Assistance and Grants	1,038	1,037	1,038	1,038	1,038
<b>Subtotal: Operating Expenditures</b>	<b>24,471,071</b>	<b>26,219,128</b>	<b>28,075,617</b>	<b>28,062,944</b>	<b>28,143,761</b>
Capital Purchases and Equipment	867,645	753,620	2,304,337	2,453,290	7,738,888
<b>Total Expenditures</b>	<b>\$25,338,716</b>	<b>\$26,972,748</b>	<b>\$30,379,954</b>	<b>\$30,516,234</b>	<b>\$35,882,649</b>
<b>Expenditures By Funds</b>					
General Revenue	17,314,737	18,958,145	19,949,105	20,917,193	20,213,175
Federal Funds	5,757,060	5,262,858	6,775,106	5,715,710	6,174,413
Restricted Receipts	727,532	740,085	1,863,153	1,776,598	7,402,483
Other Funds	1,539,387	2,011,660	1,792,590	2,106,733	2,092,578
<b>Total Expenditures</b>	<b>\$25,338,716</b>	<b>\$26,972,748</b>	<b>\$30,379,954</b>	<b>\$30,516,234</b>	<b>\$35,882,649</b>
<b>Program Measures</b>					
Assignment of Service Tickets Requests - Severe	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	90.0%
Assignment of Service Tickets Requests - High	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	90.0%
Assignment of Service Tickets Requests - Normal	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	75.0%
Resolution of Service Tickets Requests - Severe	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	90.0%
Resolution of Service Tickets Requests - High	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	90.0%
Resolution of Service Tickets Requests - Normal	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	75.0%
Maintain State Mainframe's Availability	N/A	N/A	N/A	N/A	TBD
Objective	N/A	N/A		N/A	99.9%

Maintain State Mainframe's Availability-Unscheduled Maintenance Objective	N/A	N/A	N/A	N/A	TBD
	N/A	N/A		N/A	98.9%

# Personnel

## Department Of Administration Information Technology

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Assistant Director Central Info Mgmt	0143A	3.0	361,192	3.0	361,192
Assistant Director Special Projects	0141A	3.0	335,654	3.0	338,308
Information System Group Coordinator	0138A	1.0	102,790	1.0	102,790
Admin Management Information Systems	0140A	11.0	1,117,249	11.0	1,123,285
Technical Support Manager	0138A	10.0	973,885	10.0	973,885
Supervisor of Fiscal Services	0136A	1.0	95,245	1.0	95,245
Programmer/Analyst Manager	0138A	7.0	651,512	7.0	654,248
Tech Support Spec III (UNIX/NTWK)	0035A	1.0	93,043	1.0	93,043
Systems Administrator	0139A	7.0	638,284	7.0	647,300
Programmer/Analyst III	2835A	1.0	90,821	1.0	90,821
Programmer/Analyst III (SQL/UNIX)	0035A	1.0	90,334	1.0	90,334
Web Development Manager	0832A	1.0	88,061	1.0	88,061
Tech Support Specialist II	0A32A	1.0	87,310	1.0	87,310
Programmer/Analyst III (SQL/UNIX)	0135A	2.0	173,876	2.0	173,876
Tech Support Spec III	0135A	10.0	832,389	10.0	833,770
Programmer/Analyst III	0835A	18.0	1,498,055	18.0	1,507,287
Tech Support Spec III	0335A	3.0	245,844	3.0	248,189
Programmer/Analyst II	0332A	1.0	81,408	1.0	81,408
Principal Programmer/Analyst (OIP)	0331A	1.0	80,822	1.0	80,822
Statewide Info Technology Training Mang	0135A	1.0	80,349	1.0	80,349
Chief Data Operations	0133A	1.0	78,141	1.0	78,141
Technical Support Specialist II	0032A	4.0	307,227	4.0	315,030
Tech Support Specialist II	0332A	16.0	1,216,456	16.0	1,237,830
Programmer/Analyst II	0132A	4.0	302,770	4.0	299,675
Programmer/Analyst I	0A28A	1.0	75,304	1.0	75,304
Programmer/Analyst II	0332A	18.0	1,345,441	18.0	1,369,362
Principal Environmental Planner	0329A	1.0	74,160	1.0	74,160
Network Tech. Technician Spec. (OIP)	0130A	0.5	36,031	0.5	36,031
Tech Support Specialist II	0132A	4.0	287,938	4.0	290,342
Principal System Analyst	0329A	1.0	71,816	1.0	72,221
Chief Implementation Aide	0128A	2.0	137,304	2.0	139,681
Principal System Analyst	0B29A	1.0	68,127	1.0	68,127
Assistant Supervisor, Computer Ops.	0327A	2.0	134,107	2.0	134,107
Programmer/Analyst I	0028A	3.0	193,650	3.0	193,875
Supervisor Computer Operations	0328A	1.0	63,720	1.0	63,720
Programmer/Analyst I	0328A	8.0	506,985	8.0	511,205
Associate Executive Assistant	8326A	1.0	61,484	1.0	61,485
Assistant Supervisor, Computer Ops.	0827A	2.0	122,937	2.0	122,937
Principal Computer Operator (OIP)	0324A	1.0	59,730	1.0	59,730
Tech Support Specialist I	0328A	5.0	298,560	5.0	304,590
Jr. Electronic Computer Programmer	0320A	1.0	51,843	1.0	51,843
System Support Technician III	0324A	3.0	155,195	3.0	159,552
Systems Support Technician II	0321A	12.0	589,650	12.0	593,849
Implementation Aide	0122A	1.0	48,426	1.0	48,426

# Personnel

## Department Of Administration Information Technology

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Billing Specialist	0318A	1.0	47,523	1.0	49,050
Systems Support Technician I	0318A	2.0	90,320	2.0	90,320
Senior Computer Operator (OIP)	0322A	4.0	175,751	4.0	179,175
Training Officer	0322A	1.0	40,734	1.0	42,006
Computer Operator	0816A	4.0	149,270	4.0	150,974
<b>Subtotal</b>		<b>189.5</b>	<b>\$14,508,723</b>	<b>189.5</b>	<b>\$14,624,271</b>
<b>Unclassified</b>					
Chief Information Officer	0848A	1.0	137,604	1.0	137,604
<b>Subtotal</b>		<b>1.0</b>	<b>\$137,604</b>	<b>1.0</b>	<b>\$137,604</b>
Cost Allocation from ISP - Central Mail Svcs.		-	108,349	-	108,349
Overtime		-	250,000	(1)	220,000
Program Reduction		-	-	(5.6)	(405,062)
Turnover		-	(912,184)	-	(726,854)
<b>Subtotal</b>		<b>-</b>	<b>(\$553,835)</b>	<b>(5.6)</b>	<b>(\$803,567)</b>
<b>Total Salaries</b>		<b>190.5</b>	<b>\$14,092,492</b>	<b>184.9</b>	<b>\$13,958,308</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	137,383
FICA		-	1,085,478	-	1,063,061
Holiday Pay		-	32,000	-	29,091
Medical		-	2,024,289	-	2,169,689
Payroll Accrual		-	-	-	81,166
Retiree Health		-	964,738	-	947,297
Retirement		-	3,216,915	-	2,911,067
<b>Subtotal</b>		<b>-</b>	<b>\$7,323,420</b>	<b>-</b>	<b>\$7,338,754</b>
<b>Total Salaries and Benefits</b>		<b>190.5</b>	<b>\$21,415,912</b>	<b>184.9</b>	<b>\$21,297,062</b>
Cost Per FTE Position			\$112,419		\$115,182
Statewide Benefit Assessment		-	524,721	-	515,195
<b>Subtotal</b>		<b>-</b>	<b>\$524,721</b>	<b>-</b>	<b>\$515,195</b>
<b>Payroll Costs</b>		<b>190.5</b>	<b>\$21,940,633</b>	<b>184.9</b>	<b>\$21,812,257</b>
<b>Purchased Services</b>					
Information Technology		-	1,046,815	-	968,180
Management and Consultant Services		-	54,000	-	54,000
<b>Subtotal</b>		<b>-</b>	<b>\$1,100,815</b>	<b>-</b>	<b>\$1,022,180</b>
<b>Total Personnel</b>		<b>190.5</b>	<b>\$23,041,448</b>	<b>184.9</b>	<b>\$22,834,437</b>

# Personnel

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## Department Of Administration Information Technology

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		130.5	15,693,774	124.9	15,373,847
Federal Funds		39.4	4,908,984	39.4	4,981,671
Restricted Receipts		5.6	658,894	5.6	676,068
Other Funds		15.0	1,779,796	15.0	1,802,851
<b>Total All Funds</b>		<b>190.5</b>	<b>\$23,041,448</b>	<b>184.9</b>	<b>\$22,834,437</b>

*1 Reflects additional overtime costs for relocation of the Enterprise Operations Center to Warwick (50 Service Avenue).*



# The Program

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## Department Of Administration Library and Information Services

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### **Program Mission**

Enforce public library and library network standards and exercise general coordination and supervision over interlibrary cooperation and resource sharing in the state including interlibrary loan and delivery.

Distribute state funds for public library development and interlibrary cooperation and resource sharing in accordance with law and regulation of the library board.

Give assistance, advice, continuing education and counsel to public libraries and to participants in interlibrary cooperation and resource sharing activities.

Maintain and develop the Library of Rhode Island Network.

Promote library development statewide by providing for various state and federal grant programs to public and institutional libraries including funds distributed under the federal Library Services and Technology Act.

Provide library services to individuals with disabilities through the Talking Books Plus program, including the RI Regional Library for the Blind and Physically Handicapped of the Library of Congress National Library Service.

Provide for statewide reference service through online services of "AskRI".

Coordinate with all other state departments and agencies in the provision of library services to state government and to the public.

### **Program Description**

The Office of Library and Information Services, under the direction of the Chief of Library Services, ensures the maintenance and improvement of library and information services to the residents of the state through the development of interlibrary collaboration and resource sharing, provision of services to RI public, academic, health sciences, school and special libraries and their librarians, and the provision of library services to individuals on a statewide scale.

### **Statutory History**

Title 29 Chapters 3.1 through 6 of the Rhode Island General Laws establish the statutory basis for the Office of Library and Information Services.

# The Budget

## Department Of Administration Library and Information Services

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Library Services	1,781,561	2,230,948	2,223,311	2,371,396	2,313,355
<b>Total Expenditures</b>	<b>\$1,781,561</b>	<b>\$2,230,948</b>	<b>\$2,223,311</b>	<b>\$2,371,396</b>	<b>\$2,313,355</b>
<b>Expenditures By Object</b>					
Personnel	1,157,952	1,304,471	1,416,654	1,444,959	1,402,864
Operating Supplies and Expenses	450,861	534,480	615,324	776,400	837,782
Assistance and Grants	166,730	388,133	191,333	150,037	72,709
<b>Subtotal: Operating Expenditures</b>	<b>1,775,543</b>	<b>2,227,084</b>	<b>2,223,311</b>	<b>2,371,396</b>	<b>2,313,355</b>
Capital Purchases and Equipment	6,018	3,864	-	-	-
<b>Total Expenditures</b>	<b>\$1,781,561</b>	<b>\$2,230,948</b>	<b>\$2,223,311</b>	<b>\$2,371,396</b>	<b>\$2,313,355</b>
<b>Expenditures By Funds</b>					
General Revenue	832,239	884,954	932,971	931,169	933,989
Federal Funds	949,150	1,345,996	1,288,445	1,438,332	1,377,471
Restricted Receipts	172	(2)	1,895	1,895	1,895
<b>Total Expenditures</b>	<b>\$1,781,561</b>	<b>\$2,230,948</b>	<b>\$2,223,311</b>	<b>\$2,371,396</b>	<b>\$2,313,355</b>

# Personnel

## Department Of Administration Library and Information Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Chief of Library Services	0143A	1.0	124,419	1.0	124,419
Library Program Manager I	0137A	2.0	180,856	2.0	180,856
Library Program Specialist III	AB32A	4.0	314,506	4.0	316,381
Library Program Specialist I	AB24A	2.0	107,537	2.0	110,883
Information Services Tech II	AB20A	2.0	102,799	2.0	103,462
Information Services Tech I	AB16A	2.0	77,023	2.0	77,893
<b>Subtotal</b>		<b>13.0</b>	<b>\$907,140</b>	<b>13.0</b>	<b>\$913,894</b>
Turnover		-	-	-	(27,417)
<b>Subtotal</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>(\$27,417)</b>
<b>Total Salaries</b>		<b>13.0</b>	<b>\$907,140</b>	<b>13.0</b>	<b>\$886,477</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	8,865
FICA		-	68,306	-	66,724
Medical		-	116,171	-	107,589
Payroll Accrual		-	-	-	5,235
Retiree Health		-	62,230	-	60,811
Retirement		-	208,459	-	187,748
<b>Subtotal</b>		<b>-</b>	<b>\$455,166</b>	<b>-</b>	<b>\$436,972</b>
<b>Total Salaries and Benefits</b>		<b>13.0</b>	<b>\$1,362,306</b>	<b>13.0</b>	<b>\$1,323,449</b>
Cost Per FTE Position			\$104,793		\$101,804
Statewide Benefit Assessment		-	34,017	-	33,244
<b>Subtotal</b>		<b>-</b>	<b>\$34,017</b>	<b>-</b>	<b>\$33,244</b>
<b>Payroll Costs</b>		<b>13.0</b>	<b>\$1,396,323</b>	<b>13.0</b>	<b>\$1,356,693</b>
<b>Purchased Services</b>					
Training and Educational Services		-	48,636	-	46,171
<b>Subtotal</b>		<b>-</b>	<b>\$48,636</b>	<b>-</b>	<b>\$46,171</b>
<b>Total Personnel</b>		<b>13.0</b>	<b>\$1,444,959</b>	<b>13.0</b>	<b>\$1,402,864</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		6.5	745,693	6.5	731,944
Federal Funds		6.5	699,266	6.5	670,920
<b>Total All Funds</b>		<b>13.0</b>	<b>\$1,444,959</b>	<b>13.0</b>	<b>\$1,402,864</b>

# The Program

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## Department Of Administration Planning

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### **Program Mission**

To administer technical and financial assistance to and supervise selected activities of cities and towns in organization, planning, and management.; to prepare, maintain, and encourage implementation of strategic plans and the State Guide Plan; to coordinate activities among state agencies, political subdivisions and private partners pertaining to housing, community development, and economic development; and to adopt policies and administer programs designed to address State and local community development needs, including the need for adequate safe and affordable housing.

### **Program Description**

The Division of Planning is comprised of four subprograms: Statewide Planning; Strategic Planning and Economic Development; Housing & Community Development; and the Water Resources Board.

Statewide Planning is responsible for preparing, adopting, and amending strategic plans for the physical, economic, and social development of the state. It also includes the State Planning Council, which is comprised of state and local government officials, public members, and federal officials in an advisory capacity and serves as the state's Metropolitan Planning Organization responsible for the planning and prioritizing of state and federal transportation funding.

Strategic Planning and Economic Development is involved in all major interest areas using policy analysis and the planning process to prepare issue briefs and draft strategic plans that address current topics of special interest. It also is responsible for the development of the Comprehensive Economic Development Strategy (CEDs) and receives support from the federal Economic Development Administration.

Housing and Community Development is comprised of the Housing Resources Commission (HRC) and the Office of Community Development, which administers the federal Community Development Block (CDBG) Grant and related programs. The HRC provides opportunities for healthy and affordable housing through production, lead hazard mitigation and the coordination of the homeless system and implementation of the state's plan to end homelessness.

The Water Resources Board (WRB) is the State's water supply agency responsible for the proper use, development, protection and conservation of the State's water resources. The WRB manages the planning and development of the twenty nine major water supply systems and manages the Big River Management Area, the State's primary water resource reservation area. The WRB also performs scientific research and capital projects required to fulfill its mission.

### **Statutory History**

R.I.G.L. 42-11 includes provisions relative to the division of planning. Other legal references are provided in Titles 1, 16, 22, 23, 34, 35, 37, 42, 44, 45 and 46.

# The Budget

## Department Of Administration Planning

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Statewide Planning	2,227,970	2,679,164	7,269,804	7,047,597	7,042,921
Housing and Comm. Development	11,688,485	11,431,473	14,409,388	14,335,894	10,683,280
<b>Total Expenditures</b>	<b>\$13,916,455</b>	<b>\$14,110,637</b>	<b>\$21,679,192</b>	<b>\$21,383,491</b>	<b>\$17,726,201</b>
<b>Expenditures By Object</b>					
Personnel	2,900,281	3,023,084	4,487,455	4,189,982	4,104,656
Operating Supplies and Expenses	65,028	76,449	278,664	253,516	439,159
Assistance and Grants	10,830,724	11,001,283	16,900,024	16,926,944	13,170,287
<b>Subtotal: Operating Expenditures</b>	<b>13,796,033</b>	<b>14,100,816</b>	<b>21,666,143</b>	<b>21,370,442</b>	<b>17,714,102</b>
Capital Purchases and Equipment	5,422	9,821	13,049	13,049	12,099
Operating Transfers	115,000	-	-	-	-
<b>Total Expenditures</b>	<b>\$13,916,455</b>	<b>\$14,110,637</b>	<b>\$21,679,192</b>	<b>\$21,383,491</b>	<b>\$17,726,201</b>
<b>Expenditures By Funds</b>					
General Revenue	3,279,122	3,131,004	4,075,067	4,063,411	3,960,126
Federal Funds	9,355,278	9,212,277	12,467,962	12,400,492	8,775,712
Operating Transfers from Other Funds	1,282,055	1,767,356	5,136,163	4,919,588	4,990,363
<b>Total Expenditures</b>	<b>\$13,916,455</b>	<b>\$14,110,637</b>	<b>\$21,679,192</b>	<b>\$21,383,491</b>	<b>\$17,726,201</b>
<b>Program Measures</b>					
New Affordable Housing Units	227	419	25	25	25
Objective	337	337		337	25

# Personnel

## Department Of Administration Planning

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Chief, Strategic Planning	0143A	1.0	128,312	1.0	128,312
Assoc Director Division of Planning	0144A	1.0	115,891	1.0	115,891
General Manager (RI Water Res Bd)	0839A	1.0	103,287	1.0	104,013
Staff Director (RI Water Res. Bd)	0137A	1.0	94,534	1.0	94,534
Chief, Office of Housing & Comm Dev	0138A	1.0	92,343	1.0	96,273
Supervising Civil Eng. (Water Res Bd)	0135A	1.0	91,917	1.0	91,917
Chief, Office of Systems Planning	0138A	1.0	85,034	1.0	85,034
Asst. Chief of Planning	0137A	1.0	75,788	1.0	78,895
Programming Services Officer	0131A	1.0	72,298	1.0	72,298
Supervising Planner	0831A	4.0	270,368	4.0	276,084
Supervising Geographic Info Sys Spec.	0132A	1.0	67,358	1.0	68,293
Principal Planner	0829A	8.0	509,808	8.0	517,524
Supervisor Local Govt Asst	0133A	1.0	63,508	1.0	65,824
Principal Research Technician	0827A	1.0	61,891	1.0	61,891
Geographic Info Systems Specialist	0328A	1.0	61,492	1.0	63,720
Principal Program Analyst	0328A	1.0	59,344	1.0	60,629
Housing Commission Coordinator	0128A	5.0	292,764	5.0	296,787
Senior Planner	0326A	2.0	112,524	2.0	112,524
FMO	AB26A	1.0	53,324	1.0	55,144
Information Services Tech II	2020A	1.0	52,328	1.0	52,328
Executive Secretary - Properties Comm	0321A	1.0	50,449	1.0	50,449
Executive Assistant	0318A	1.0	38,666	1.0	39,717
	<b>Subtotal</b>	<b>37.0</b>	<b>\$2,553,228</b>	<b>37.0</b>	<b>\$2,588,081</b>
<b>Unclassified</b>					
Principal Planner	3529A	1.0	70,495	1.0	70,495
	<b>Subtotal</b>	<b>1.0</b>	<b>\$70,495</b>	<b>1.0</b>	<b>\$70,495</b>
Cost Allocation from Central Management		0.7	37,919	0.6	37,919
Program Reduction		-	-	(1.0)	(93,482) <sup>(1)</sup>
Turnover		-	(134,026)	-	(125,722)
	<b>Subtotal</b>	<b>0.7</b>	<b>(\$96,107)</b>	<b>(0.4)</b>	<b>(\$181,285)</b>
	<b>Total Salaries</b>	<b>38.7</b>	<b>\$2,527,616</b>	<b>37.6</b>	<b>\$2,477,291</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	25,714
FICA		-	191,481	-	188,679
Medical		-	345,115	-	387,898
Payroll Accrual		-	-	-	15,194
Retiree Health		-	173,394	-	169,977
Retirement		-	582,930	-	524,685
	<b>Subtotal</b>	<b>-</b>	<b>\$1,292,920</b>	<b>-</b>	<b>\$1,312,147</b>
	<b>Total Salaries and Benefits</b>	<b>38.7</b>	<b>\$3,820,536</b>	<b>37.6</b>	<b>\$3,789,438</b>
	Cost Per FTE Position		\$98,722		\$100,783

# Personnel

## Department Of Administration Planning

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Statewide Benefit Assessment		-	94,786	-	92,918
<b>Subtotal</b>		-	<b>\$94,786</b>	-	<b>\$92,918</b>
<b>Payroll Costs</b>		<b>38.7</b>	<b>\$3,915,322</b>	<b>37.6</b>	<b>\$3,882,356</b>
<b>Purchased Services</b>					
Design and Engineering Services		-	267,660	-	215,300
Management and Consultant Services		-	7,000	-	7,000
<b>Subtotal</b>		-	<b>\$274,660</b>	-	<b>\$222,300</b>
<b>Total Personnel</b>		<b>38.7</b>	<b>\$4,189,982</b>	<b>37.6</b>	<b>\$4,104,656</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		16.5	1,862,394	16.5	1,764,121
Federal Funds		8.9	864,907	8.8	921,829
Other Funds		13.3	1,462,681	13.3	1,418,706
<b>Total All Funds</b>		<b>38.7</b>	<b>\$4,189,982</b>	<b>38.6</b>	<b>\$4,104,656</b>

*1 Reflects the elimination of the position of Chief, Strategic Planning (Gr. 143A) via attrition (retirement).*

# The Program

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## Department Of Administration Energy Resources

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### **Program Mission**

To stabilize and, where possible, reduce energy costs and consumption in all sectors by increasing energy efficiency, diversifying energy resources, and providing low income energy assistance, and to increase supplies of clean reliable energy that reduce reliance on imported energy.

To ensure that the federal programs overseen by the Office are up-to date in terms of administrative practices and are efficiently organized and implemented.

To strengthen energy planning in Rhode Island by working in cooperation with EERMC, State Planning, the RI Economic Development Corporation, the Department of Environmental Management, and the Division of Public Utilities.

### **Program Description**

The Rhode Island Office of Energy Resources (OER) and the Energy Efficiency and Resource Management Council (EERMC) replaced the former State Energy Office

The OER provides comprehensive, integrated development, administration and oversight of ongoing energy policies, plans and programs to meet state and federal requirements and is responsible for applying for and administering federal energy grants. The OER administers, on an on-going basis, federal programs for Low Income Home Energy Assistance (LIHEAP) and Weatherization (WAP); and during the period March 2009 – March 2012, is managing approximately \$55 million in American Recovery and Reinvestment Act funds to Rhode Island for energy programs. The OER also supports the development of energy efficiency and renewable energy programs in the state.

The EERMC provides to the OER consistent, comprehensive, informed and publicly-accountable stakeholder involvement in energy efficiency, conservations and resource development. The EERMC consists of voting members, representing knowledge of energy law, small and large commercial/industrial users, residential users, low income users, environmental expertise and energy design and code expertise. Non-voting members of the Council are the Commissioner of the OER, who is executive director and executive secretary of the Council, and the representatives of electric, natural gas utilities and oil distribution companies.

### **Statutory History**

The Office of Energy Resources was created in 2006 to consolidate energy policies of state government. Additional mandates of the Office are outlined in R.I.G.L. 23-82-6, 39-1-27.7 through 10, and 42-140.1. The Energy Efficiency and Resource Management Council was established pursuant to R.I.G.L. 42-140.1.



# The Budget

## Department Of Administration Energy Resources

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Energy Resources	46,203,494	47,993,113	53,551,892	74,321,626	12,848,205
<b>Total Expenditures</b>	<b>\$46,203,494</b>	<b>\$47,993,113</b>	<b>\$53,551,892</b>	<b>\$74,321,626</b>	<b>\$12,848,205</b>
<b>Expenditures By Object</b>					
Personnel	1,402,471	1,702,307	2,226,392	2,038,009	1,076,130
Operating Supplies and Expenses	120,947	177,639	191,730	548,726	103,341
Assistance and Grants	44,669,829	46,105,776	51,133,770	71,532,391	11,666,234
<b>Subtotal: Operating Expenditures</b>	<b>46,193,247</b>	<b>47,985,722</b>	<b>53,551,892</b>	<b>74,119,126</b>	<b>12,845,705</b>
Capital Purchases and Equipment	10,247	7,391	-	202,500	2,500
<b>Total Expenditures</b>	<b>\$46,203,494</b>	<b>\$47,993,113</b>	<b>\$53,551,892</b>	<b>\$74,321,626</b>	<b>\$12,848,205</b>
<b>Expenditures By Funds</b>					
General Revenue	613,094	(508,238)	-	-	-
Federal Funds	38,990,231	44,130,599	45,869,762	63,558,473	481,414
Restricted Receipts	6,600,169	4,370,752	7,682,130	10,763,153	12,366,791
<b>Total Expenditures</b>	<b>\$46,203,494</b>	<b>\$47,993,113</b>	<b>\$53,551,892</b>	<b>\$74,321,626</b>	<b>\$12,848,205</b>

# Personnel

## Department Of Administration Energy Resources

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Classified</b>						
Administrator Operations Management	0141 A	1.0	106,620	1.0	106,620	
Admin. Financial Management	0137 A	1.0	95,426	1.0	96,593	
Chief Program Development	0134 A	4.0	306,116	1.0	88,302	(1)
Administrator of Energy Resources	0137 A	1.0	73,830	-	-	(1)
Senior Resource Specialist	3526A	3.0	178,296	-	-	(1)
Executive Secretary	4623 A	1.0	58,235	-	-	
Programming Services Officer	0131 A	1.0	58,051	2.0	120,312	(2)
Junior Resource Specialist	3519A	1.0	47,751	-	-	(1)
Internal Auditor	3525 A	1.0	44,639	-	-	
Implementation Aide	3522 A	1.0	40,274	1.0	41,416	
Interdepartmental Program Manager	0139 A	-	-	1.0	80,458	(2)
<b>Subtotal</b>		<b>15.0</b>	<b>\$1,009,238</b>	<b>7.0</b>	<b>\$533,701</b>	
<b>Unclassified</b>						
Commissioner of Energy	0843A	1.0	101,653	-	106,146	
<b>Subtotal</b>		<b>1.0</b>	<b>\$101,653</b>	<b>-</b>	<b>\$106,146</b>	
Cost Allocation from Central Mgmt		0.9	72,672	-	-	
Cost Allocation from Auditing		-	32,094	-	-	
Cost Allocation from Legal Services		-	68,322	-	-	
Turnover		-	(171,929)	-	-	
<b>Subtotal</b>		<b>0.9</b>	<b>\$1,159</b>	<b>-</b>	<b>-</b>	
<b>Total Salaries</b>		<b>16.9</b>	<b>\$1,112,050</b>	<b>7.0</b>	<b>\$639,847</b>	
<b>Benefits</b>						
Defined Contribution Plan		-	-	-	6,399	
FICA		-	86,184	-	48,947	
Medical		-	189,160	-	95,115	
Payroll Accrual		-	-	-	3,444	
Retiree Health		-	76,285	-	43,894	
Retirement		-	265,670	-	143,645	
<b>Subtotal</b>		<b>-</b>	<b>\$617,299</b>	<b>-</b>	<b>\$341,444</b>	
<b>Total Salaries and Benefits</b>		<b>16.9</b>	<b>\$1,729,349</b>	<b>7.0</b>	<b>\$981,291</b>	
Cost Per FTE Position			\$102,328		\$140,184	
Statewide Benefit Assessment		-	43,466	-	23,993	
<b>Subtotal</b>		<b>-</b>	<b>\$43,466</b>	<b>-</b>	<b>\$23,993</b>	
<b>Payroll Costs</b>		<b>16.9</b>	<b>\$1,772,815</b>	<b>7.0</b>	<b>\$1,005,284</b>	

# Personnel

## Department Of Administration Energy Resources

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Clerical and Temporary Services		-	68,160	-	-
Training and Educational Services		-	197,034	-	70,846
<b>Subtotal</b>		-	<b>\$265,194</b>	-	<b>\$70,846</b>
<b>Total Personnel</b>		<b>16.9</b>	<b>\$2,038,009</b>	<b>7.0</b>	<b>\$1,076,130</b>
<b>Distribution By Source Of Funds</b>					
Federal Funds		13.7	1,754,259	3.3	391,427
Restricted Receipts		3.2	283,750	4.7	684,703
<b>Total All Funds</b>		<b>16.9</b>	<b>\$2,038,009</b>	<b>8.0</b>	<b>\$1,076,130</b>

1 Reflects the transfer of positions pursuant to Chapter 151 of the Public Laws of 2011, including the following:  
a) Administrator of Energy Resources (Gr. 137A) – 1.0 FTE; b) Chief Program Development (Gr. 134A) – 2.0 FTEs; c) Senior Resource Specialist (Gr. 3526A) – 3.0 FTEs; d) Executive Secretary (Gr. 4623A) – 1.0 FTE; e) Junior Resource Specialist (Gr. 3519A) – 1.0 FTE.

2 Reflects an addition of the position of Interdepartmental Manager (Gr. 139A) – 1.0 FTE and a down grade of the position of Chief, Program Development (Gr. 134A) to Programming Services Officer (Gr. 131A) – 1.0 FTE for policy support to the Governor's Office and the Public Utilities Commission for rate filings.

# The Program

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## Department Of Administration General

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### **Program Mission**

The mission is to maintain a statewide accounting for all expenditures, which are not allocated to other state departments or agencies and not specific to any one program within the Department of Administration.

### **Program Description**

The General program reflects funds appropriated to finance expenditures not allocated to other state departments or agencies and not specific to any one program within the Department of Administration.

Grants and benefits reflect grants made to certain organizations and funds provided to certain entities, which are appropriated by the legislature. This includes grants made to the Rhode Island Economic Development Corporation, the Slater Centers of Excellence and the RI Research Alliance.

Special legislative appropriations are initially the result of the passage of legislation which is not part of the annual appropriation act. Tort claims and court awards are paid pursuant to R.I.G.L. 9-31, which provides that "the general assembly may make such appropriations as it shall deem proper in payment of or settlement of claims against the state, provided, however, that there is hereby appropriated any money in the treasury not otherwise appropriated a sum sufficient to pay claims against the state, settled pursuant to the provisions of the chapter and the state controller is hereby authorized and directed to draw his orders upon the general treasurer for the payment of said sums."

### **Statutory History**

The existence of "General" has no statutory basis, but rather reflects a combination of appropriations which support various expenditures not allocated to other state agencies. The authority for payment of tort claims was enacted in 1970 and is described in R.I.G.L. 9-31.

# The Budget

## Department Of Administration General

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
General	677,316	22,666,946	421,500	9,112,610	4,767,055
Capital Projects	12,591,044	11,824,802	18,706,000	26,769,943	31,198,515
Grants & Other Payments	3,323,370	3,173,598	3,097,617	3,083,442	2,997,895
Economic Development	9,928,868	10,010,237	9,336,811	10,106,811	8,546,658
State Aid to Local Communities	168,188,579	59,916,277	11,595,170	11,595,170	11,245,112
<b>Total Expenditures</b>	<b>\$194,709,177</b>	<b>\$107,591,860</b>	<b>\$43,157,098</b>	<b>\$60,667,976</b>	<b>\$58,755,235</b>
<b>Expenditures By Object</b>					
Personnel	733,017	682,926	-	-	608,515
Operating Supplies and Expenses	3,090,995	3,298,668	2,633,057	2,633,057	2,633,057
Assistance and Grants	3,818,892	2,114,081	5,037,157	13,714,092	9,092,837
Aid to Local Units of Government	168,819,711	60,573,635	11,595,170	11,595,170	11,245,112
<b>Subtotal: Operating Expenditures</b>	<b>176,462,615</b>	<b>66,669,310</b>	<b>19,265,384</b>	<b>27,942,319</b>	<b>23,579,521</b>
Capital Purchases and Equipment	8,858,938	8,912,313	18,815,500	26,879,443	30,699,500
Operating Transfers	9,387,624	32,010,237	5,076,214	5,846,214	4,476,214
<b>Total Expenditures</b>	<b>\$194,709,177</b>	<b>\$107,591,860</b>	<b>\$43,157,098</b>	<b>\$60,667,976</b>	<b>\$58,755,235</b>
<b>Expenditures By Funds</b>					
General Revenue	181,440,817	95,100,112	24,029,598	24,785,423	22,789,665
Federal Funds	-	-	-	8,691,110	4,345,555
Restricted Receipts	677,316	666,946	421,500	421,500	421,500
Operating Transfers from Other Funds	12,591,044	11,824,802	18,706,000	26,769,943	31,198,515
<b>Total Expenditures</b>	<b>\$194,709,177</b>	<b>\$107,591,860</b>	<b>\$43,157,098</b>	<b>\$60,667,976</b>	<b>\$58,755,235</b>

# Personnel

## Department Of Administration General

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Classified</b>						
Cost Allocation from Cap Projects & Prop Mgmt		-	-	4.0	354,803	(1)
<b>Subtotal</b>		-	-	<b>4.0</b>	<b>\$354,803</b>	
<b>Total Salaries</b>		-	-	<b>4.0</b>	<b>\$354,803</b>	
<b>Benefits</b>						
Defined Contribution Plan		-	-	-	3,548	
FICA		-	-	-	26,554	
Medical		-	-	-	55,809	
Retiree Health		-	-	-	24,340	
Retirement		-	-	-	130,156	
<b>Subtotal</b>		-	-	-	<b>\$240,407</b>	
<b>Total Salaries and Benefits</b>		-	-	<b>4.0</b>	<b>\$595,210</b>	
Cost Per FTE Position					\$148,803	
Statewide Benefit Assessment		-	-	-	13,305	
<b>Subtotal</b>		-	-	-	<b>\$13,305</b>	
<b>Payroll Costs</b>		-	-	<b>4.0</b>	<b>\$608,515</b>	
<b>Total Personnel</b>		-	-	<b>4.0</b>	<b>\$608,515</b>	
<b>Distribution By Source Of Funds</b>						
Operating Transfers from Other Fund		-	-	4.0	608,515	
<b>Total All Funds</b>		-	-	<b>4.0</b>	<b>\$608,515</b>	

1 Reflects the allocation of personal services costs for four positions from Capital Projects and Property Management for direct services provided to the state's various capital projects: a) Chief of Property Management (Gr. 141A) – 1.0 FTE; b) Chief Facilities Management Officer (Gr. 135A) – 1.0 FTE; and c) Architects (Gr. 332A) – 2.0 FTEs.

# The Budget

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## Department Of Administration Security Services

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Sheriffs	14,641,865	15,829,950	-	-	-
<b>Total Expenditures</b>	<b>\$14,641,865</b>	<b>\$15,829,950</b>	-	-	-
<b>Expenditures By Object</b>					
Personnel	13,888,593	15,143,105	-	-	-
Operating Supplies and Expenses	753,054	685,650	-	-	-
Assistance and Grants	218	1,195	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>14,641,865</b>	<b>15,829,950</b>	-	-	-
Capital Purchases and Equipment	-	-	-	-	-
<b>Total Expenditures</b>	<b>\$14,641,865</b>	<b>\$15,829,950</b>	-	-	-
<b>Expenditures By Funds</b>					
General Revenue	14,641,865	15,829,950	-	-	-
<b>Total Expenditures</b>	<b>\$14,641,865</b>	<b>\$15,829,950</b>	-	-	-

# The Budget

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## Department Of Administration Personnel Reform

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Medical Insurance Savings	-	-	(3,000,000)	-	-
<b>Total Expenditures</b>	-	-	<b>(\$3,000,000)</b>	-	-
<b>Expenditures By Object</b>					
Personnel	-	-	(3,000,000)	-	-
<b>Subtotal: Operating Expenditures</b>	-	-	<b>(3,000,000)</b>	-	-
<b>Total Expenditures</b>	-	-	<b>(\$3,000,000)</b>	-	-
<b>Expenditures By Funds</b>					
General Revenue	-	-	(3,000,000)	-	-
<b>Total Expenditures</b>	-	-	<b>(\$3,000,000)</b>	-	-



# The Program

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## Department Of Administration Debt Service Payments

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### **Program Mission**

To maintain a statewide accounting of all general obligation debt service and other short and long term obligations of the state and quasi-state agencies.

### **Program Description**

The Debt Service Payments Program reflects funding for expenditures for both long- and short-term tax-supported debt obligations of the state. This includes debt service on general obligation bonds as well as lease payments securing certificates of participation, issued by the state. Moreover, this program encompasses leases or trust agreements, securing revenue bonds issued by the Rhode Island Convention Center Authority, Rhode Island Refunding Bond Authority, Rhode Island Economic Development Corporation, or other obligations that are part of the state's net tax supported debt.

### **Statutory History**

R.I.G.L. 35-3-25 requires that debt service be enumerated within a program within the Department of Administration.

# The Budget

## Department Of Administration Debt Service Payments

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
General Obligation Bonds	93,345,352	99,508,274	108,577,279	103,608,921	114,275,229
Certificates of Participation	29,094,942	26,472,208	27,650,288	28,133,465	32,092,459
COPS - DLT Ctr. Gnrl. Building	2,014,373	2,015,177	2,013,625	2,013,625	2,012,625
RI Refunding Bond Authority	6,315,734	(44)	-	-	-
Tax Anticipation/S T Borrowing	7,734,826	6,786,017	6,927,778	2,898,889	2,898,889
Other Debt Service	62,723,638	56,018,278	55,735,527	55,039,581	52,871,819
<b>Total Expenditures</b>	<b>\$201,228,865</b>	<b>\$190,799,910</b>	<b>\$200,904,497</b>	<b>\$191,694,481</b>	<b>\$204,151,021</b>
<b>Expenditures By Object</b>					
Operating Supplies and Expenses	772,275	106,094	200,000	210,000	210,000
Assistance and Grants	3,560,000	3,560,000	-	-	-
Aid to Local Units of Government	-	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>4,332,275</b>	<b>3,666,094</b>	<b>200,000</b>	<b>210,000</b>	<b>210,000</b>
Capital Purchases and Equipment	1,287,515	(1,287,515)	-	-	-
Debt Service (Fixed Charges)	168,364,780	161,717,043	200,704,497	191,484,481	203,941,021
Operating Transfers	27,244,295	26,704,288	-	-	-
<b>Total Expenditures</b>	<b>\$201,228,865</b>	<b>\$190,799,910</b>	<b>\$200,904,497</b>	<b>\$191,694,481</b>	<b>\$204,151,021</b>
<b>Expenditures By Funds</b>					
General Revenue	149,591,655	145,973,224	144,742,359	141,149,067	152,559,567
Federal Funds	848,041	2,487,135	743,348	2,759,328	2,759,328
Restricted Receipts	9,718,610	6,633,975	7,634,798	4,455,157	4,454,480
Operating Transfers from Other Funds	41,070,559	35,678,842	47,783,992	43,330,929	44,377,646
Other Funds	-	26,734	-	-	-
<b>Total Expenditures</b>	<b>\$201,228,865</b>	<b>\$190,799,910</b>	<b>\$200,904,497</b>	<b>\$191,694,481</b>	<b>\$204,151,021</b>

# The Program

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## Department Of Administration

## Internal Service Programs - Assessed Fringe Benefit Fund

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### **Program Mission**

To provide the most cost-effective delivery of goods and services to other state programs.

### **Program Description**

Various services needed by state-operated programs and activities are provided on a centralized basis. The costs of these operations are borne by the user agencies through a charge system that allocates the cost of delivery of the goods or services. The operational expenses of these programs are shown for display purposes only, since the costs to state agencies are reflected in the budget of the user agency both on an actual and budget basis.

Internal service programs that are operated by the Department of Administration include telecommunications services, mail services, utility services, automotive services (repair and replacement), and the assessed fringe benefit fund.

The telecommunications office manages all voice grade telephone line installations, service changes and billing statewide, and provides direct services both internally to government and to the public. Central mail services provides for inter-agency mail delivery and processing of United States mail for most state agencies.

Central utilities provides for the administration and fiscal management of electricity and gas services. State fleet provides for the administration and fiscal management of the state-owned vehicles, and operates several fuel depots throughout the state.

The Assessed Fringe Benefit Fund provides funding for state employee workers' compensation, severance pay, unemployment pay and employee assistance programs. Funds are raised through an assessment on payroll expenses of all state departments and agencies.

A dedicated trust has been set up to fund the liability related to Other Post Employment Benefits (OPEB) on an actuarial basis. An example of OPEB benefits include retiree medical, dental, prescription, and other similar post employment benefits for retired employees and their dependants. In accordance with Rhode Island General Law Section 36-12.1-5, the trust is to begin operation in Fiscal 2011.

### **Statutory History**

The Director of Administration is authorized by R.I.G.L. 35-5 to establish a system of rotary or rotating funds in any state department or agency. R.I.G.L. 36-12.1-5 established the OPEB trust.

# The Budget

## Department Of Administration

### Internal Service Programs - Assessed Fringe Benefit Fund

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Workers' Compensation Fund	28,159,376	30,951,419	31,054,962	31,383,479	32,106,713
Central Utilities Fund	15,900,480	14,043,034	20,244,491	20,187,192	20,227,492
Central Mail Rotary	5,011,201	4,769,180	5,585,439	5,594,063	5,613,232
Telecommunications Fund	2,322,232	2,469,854	2,882,141	2,870,356	2,881,461
Automotive Fleet Rotary	14,182,572	11,616,706	13,926,504	13,941,254	13,952,999
Surplus Property	2,323	1,390	2,500	2,500	2,500
Health Insurance Fund	248,074,000	255,006,874	306,399,745	306,355,099	306,268,634
Internal Services	[313,652,184]	[318,858,457]	[380,095,782]	[380,333,943]	[381,053,031]
<b>Total Expenditures</b>	<b>\$313,652,184</b>	<b>\$318,858,457</b>	<b>\$380,095,782</b>	<b>\$380,333,943</b>	<b>\$381,053,031</b>
<b>Expenditures By Object</b>					
Personnel	275,512,079	284,870,536	336,718,726	336,984,539	337,707,627
Operating Supplies and Expenses	32,445,515	31,605,981	40,951,195	40,913,543	40,914,543
Assistance and Grants	51,339	39,110	75,760	75,760	75,760
<b>Subtotal: Operating Expenditures</b>	<b>308,008,933</b>	<b>316,515,627</b>	<b>377,745,681</b>	<b>377,973,842</b>	<b>378,697,930</b>
Capital Purchases and Equipment	179,604	89,010	109,500	119,500	114,500
Debt Service (Fixed Charges)	7,283	-	-	-	-
Operating Transfers	5,456,364	2,253,820	2,240,601	2,240,601	2,240,601
<b>Total Expenditures</b>	<b>\$313,652,184</b>	<b>\$318,858,457</b>	<b>\$380,095,782</b>	<b>\$380,333,943</b>	<b>\$381,053,031</b>
<b>Expenditures By Funds</b>					
Other Funds	313,652,184	318,858,457	380,095,782	380,333,943	381,053,031
<b>Total Expenditures</b>	<b>\$313,652,184</b>	<b>\$318,858,457</b>	<b>\$380,095,782</b>	<b>\$380,333,943</b>	<b>\$381,053,031</b>

# Personnel

## Department Of Administration

### Internal Service Programs - Assessed Fringe Benefit Fund

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Workers' Compensation Administrator	0140A	1.0	113,372	1.0	113,372
Asst. Admin. State Employees Comp.	0137A	1.0	97,938	1.0	97,938
Senior Legal Counsel	0134A	2.0	179,456	2.0	179,456
Mgr Worker Compensation Program	0834A	1.0	89,489	1.0	89,489
Claims Examiner II (St Wkr Comp)	0325A	6.0	361,348	6.0	366,383
Legal Assistant	0119A	1.0	48,714	1.0	48,714
Asst Business Management Officer	0319A	1.0	43,873	1.0	43,873
Claims Examiner I (St Wkr Comp)	0322A	1.0	41,468	1.0	42,642
<b>Subtotal</b>		<b>14.0</b>	<b>\$975,658</b>	<b>14.0</b>	<b>\$981,867</b>
Cost Allocation from Energy		-	-	-	-
Interdepartmental Transfers (DPS)		-	136,144	-	136,144
Turnover		-	(2,368)	-	-
<b>Subtotal</b>		-	<b>\$133,776</b>	-	<b>\$136,144</b>
<b>Total Salaries</b>		<b>14.0</b>	<b>\$1,109,434</b>	<b>14.0</b>	<b>\$1,118,011</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	11,180
FICA		-	84,464	-	85,120
Medical		-	152,708	-	172,178
Payroll Accrual		-	-	-	6,605
Retiree Health		-	76,108	-	76,695
Retirement		-	254,946	-	236,783
<b>Subtotal</b>		-	<b>\$568,226</b>	-	<b>\$588,561</b>
<b>Total Salaries and Benefits</b>		<b>14.0</b>	<b>\$1,677,660</b>	<b>14.0</b>	<b>\$1,706,572</b>
Cost Per FTE Position			\$119,833		\$121,898
Statewide Benefit Assessment		-	41,604	-	41,926
<b>Subtotal</b>		-	<b>\$41,604</b>	-	<b>\$41,926</b>
<b>Payroll Costs</b>		<b>14.0</b>	<b>\$1,719,264</b>	<b>14.0</b>	<b>\$1,748,498</b>
<b>Purchased Services</b>					
Management and Consultant Services		-	12,000	-	12,000
<b>Subtotal</b>		-	<b>\$12,000</b>	-	<b>\$12,000</b>
<b>Total Personnel</b>		<b>14.0</b>	<b>\$1,731,264</b>	<b>14.0</b>	<b>\$1,760,498</b>

# Personnel

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## Department Of Administration

### Internal Service Programs - Assessed Fringe Benefit Fund

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		14.0	1,731,264	14.0	1,760,498
<b>Total All Funds</b>		<b>14.0</b>	<b>\$1,731,264</b>	<b>14.0</b>	<b>\$1,760,498</b>

# Personnel

## Department Of Administration

### Internal Service Program - Central Utilities Fund

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Junior Resource Specialist	0319A	1.0	49,528	1.0	49,528
Office Manager	0123A	1.0	44,506	1.0	45,967
Junior Resource Specialist	0319A	1.0	37,618	1.0	38,536
<b>Subtotal</b>		<b>3.0</b>	<b>\$131,652</b>	<b>3.0</b>	<b>\$134,031</b>
Turnover		-	(18,809)	-	-
<b>Subtotal</b>		-	<b>(\$18,809)</b>	-	-
<b>Total Salaries</b>		<b>3.0</b>	<b>\$112,843</b>	<b>3.0</b>	<b>\$134,031</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	1,340
FICA		-	8,633	-	10,253
Medical		-	27,810	-	38,468
Payroll Accrual		-	-	-	793
Retiree Health		-	7,742	-	9,195
Retirement		-	25,932	-	28,386
<b>Subtotal</b>		-	<b>\$70,117</b>	-	<b>\$88,435</b>
<b>Total Salaries and Benefits</b>		<b>3.0</b>	<b>\$182,960</b>	<b>3.0</b>	<b>\$222,466</b>
Cost Per FTE Position			\$60,987		\$74,155
Statewide Benefit Assessment		-	4,232	-	5,026
<b>Subtotal</b>		-	<b>\$4,232</b>	-	<b>\$5,026</b>
<b>Payroll Costs</b>		<b>3.0</b>	<b>\$187,192</b>	<b>3.0</b>	<b>\$227,492</b>
<b>Total Personnel</b>		<b>3.0</b>	<b>\$187,192</b>	<b>3.0</b>	<b>\$227,492</b>
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		3.0	187,192	3.0	227,492
<b>Total All Funds</b>		<b>3.0</b>	<b>\$187,192</b>	<b>3.0</b>	<b>\$227,492</b>

# Personnel

## Department Of Administration

### Internal Service Program - Central Mail Rotary

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Information Processing Officer	0142A	1.0	124,336	1.0	124,336
Deputy Information Processing Officer	0139A	1.0	92,362	1.0	92,362
Assistant Supervisor, Computer Ops.	0827A	2.0	119,327	2.0	121,270
Principal Computer Operator	0324A	1.0	57,241	1.0	57,241
Sr. Computer Operator	0322A	2.0	91,955	2.0	94,601
Tab Equipment Operator	0313A	1.0	42,841	1.0	42,841
Junior Computer Operator	0313A	1.0	41,949	1.0	41,949
Computer Operator (OIP)	0316A	1.0	38,566	1.0	39,551
<b>Subtotal</b>		<b>10.0</b>	<b>\$608,577</b>	<b>10.0</b>	<b>\$614,151</b>
Cost Allocation to Information Technology		-	(108,349)	-	(108,349)
Overtime		-	5,000	-	5,000
<b>Subtotal</b>		<b>-</b>	<b>(\$103,349)</b>	<b>-</b>	<b>(\$103,349)</b>
<b>Total Salaries</b>		<b>10.0</b>	<b>\$505,228</b>	<b>10.0</b>	<b>\$510,802</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	5,058
FICA		-	38,182	-	38,609
Holiday Pay		-	1,000	-	909
Medical		-	108,930	-	121,381
Payroll Accrual		-	-	-	2,987
Retiree Health		-	36,938	-	37,320
Retirement		-	114,952	-	107,123
<b>Subtotal</b>		<b>-</b>	<b>\$300,002</b>	<b>-</b>	<b>\$313,387</b>
<b>Total Salaries and Benefits</b>		<b>10.0</b>	<b>\$805,230</b>	<b>10.0</b>	<b>\$824,189</b>
Cost Per FTE Position			\$80,523		\$82,419
Statewide Benefit Assessment		-	18,759	-	18,969
<b>Subtotal</b>		<b>-</b>	<b>\$18,759</b>	<b>-</b>	<b>\$18,969</b>
<b>Payroll Costs</b>		<b>10.0</b>	<b>\$823,989</b>	<b>10.0</b>	<b>\$843,158</b>
<b>Purchased Services</b>					
Other Contract Services		-	255,000	-	255,000
<b>Subtotal</b>		<b>-</b>	<b>\$255,000</b>	<b>-</b>	<b>\$255,000</b>
<b>Total Personnel</b>		<b>10.0</b>	<b>\$1,078,989</b>	<b>10.0</b>	<b>\$1,098,158</b>



# Personnel

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## Department Of Administration

### Internal Service Program - Central Mail Rotary

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		10.0	1,078,989	10.0	1,098,158
<b>Total All Funds</b>		<b>10.0</b>	<b>\$1,078,989</b>	<b>10.0</b>	<b>\$1,098,158</b>

# Personnel

## Department Of Administration

### Internal Service Program - Telecommunications Fund

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Technical Support Manager	0138A	1.0	97,071	1.0	97,071
Technical Support Specialist II	0132A	1.0	81,260	1.0	81,417
Chief Implementation Aide	0828A	1.0	70,940	1.0	70,940
Technical Support Specialist I	0328A	5.0	273,408	5.0	275,784
Information Services Technician I	0316A	1.0	45,932	1.0	45,932
<b>Subtotal</b>		<b>9.0</b>	<b>\$568,611</b>	<b>9.0</b>	<b>\$571,144</b>
Overtime		-	2,500	-	2,500
<b>Subtotal</b>		<b>-</b>	<b>\$2,500</b>	<b>-</b>	<b>\$2,500</b>
<b>Total Salaries</b>		<b>9.0</b>	<b>\$571,111</b>	<b>9.0</b>	<b>\$573,644</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	5,711
FICA		-	43,690	-	43,883
Medical		-	82,682	-	91,410
Payroll Accrual		-	-	-	3,374
Retiree Health		-	39,006	-	39,180
Retirement		-	130,667	-	120,964
<b>Subtotal</b>		<b>-</b>	<b>\$296,045</b>	<b>-</b>	<b>\$304,522</b>
<b>Total Salaries and Benefits</b>		<b>9.0</b>	<b>\$867,156</b>	<b>9.0</b>	<b>\$878,166</b>
Cost Per FTE Position			\$96,351		\$97,574
Statewide Benefit Assessment		-	21,322	-	21,417
<b>Subtotal</b>		<b>-</b>	<b>\$21,322</b>	<b>-</b>	<b>\$21,417</b>
<b>Payroll Costs</b>		<b>9.0</b>	<b>\$888,478</b>	<b>9.0</b>	<b>\$899,583</b>
<b>Total Personnel</b>		<b>9.0</b>	<b>\$888,478</b>	<b>9.0</b>	<b>\$899,583</b>
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		9.0	888,478	9.0	899,583
<b>Total All Funds</b>		<b>9.0</b>	<b>\$888,478</b>	<b>9.0</b>	<b>\$899,583</b>

# Personnel

## Department Of Administration

### Internal Service Program - Automotive Maintenance

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
State Fleet Operations Officer	0130A	1.0	75,804	1.0	75,804
Chief Implementation Aide	0828A	1.0	70,365	1.0	70,365
Sr. Energy Conservation Tech.	0323A	1.0	51,040	1.0	52,852
Implementation Aide	0322A	1.0	50,855	1.0	50,855
Accountant	0320A	1.0	50,785	1.0	50,785
Energy Conservation Technician	0320A	1.0	41,995	1.0	43,109
Data Control Clerk	0315A	1.0	36,326	1.0	37,275
<b>Subtotal</b>		<b>7.0</b>	<b>\$377,170</b>	<b>7.0</b>	<b>\$381,045</b>
Cost Allocation from Facilities Management		-	30,955	-	30,955
Overtime		-	12,500	-	12,500
<b>Subtotal</b>		-	<b>\$43,455</b>	-	<b>\$43,455</b>
<b>Total Salaries</b>		<b>7.0</b>	<b>\$420,625</b>	<b>7.0</b>	<b>\$424,500</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	4,120
FICA		-	32,205	-	32,501
Holiday Pay		-	350	-	318
Medical		-	84,494	-	94,255
Payroll Accrual		-	-	-	2,252
Retiree Health		-	27,998	-	28,264
Retirement		-	93,786	-	84,847
<b>Subtotal</b>		-	<b>\$238,833</b>	-	<b>\$246,557</b>
<b>Total Salaries and Benefits</b>		<b>7.0</b>	<b>\$659,458</b>	<b>7.0</b>	<b>\$671,057</b>
Cost Per FTE Position			\$94,208		\$95,865
Statewide Benefit Assessment		-	15,305	-	15,451
<b>Subtotal</b>		-	<b>\$15,305</b>	-	<b>\$15,451</b>
<b>Payroll Costs</b>		<b>7.0</b>	<b>\$674,763</b>	<b>7.0</b>	<b>\$686,508</b>
<b>Total Personnel</b>		<b>7.0</b>	<b>\$674,763</b>	<b>7.0</b>	<b>\$686,508</b>
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		7.0	674,763	7.0	686,508
<b>Total All Funds</b>		<b>7.0</b>	<b>\$674,763</b>	<b>7.0</b>	<b>\$686,508</b>

# Personnel

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## Department Of Administration

### Internal Service Program - Other Post Employment Benefits

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Management and Consultant Services		-	223,055	-	136,590
<b>Subtotal</b>		-	<b>\$223,055</b>	-	<b>\$136,590</b>
<b>Total Personnel</b>		-	<b>\$223,055</b>	-	<b>\$136,590</b>
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		-	223,055	-	136,590
<b>Total All Funds</b>		-	<b>\$223,055</b>	-	<b>\$136,590</b>

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# Department Of Administration Performance Measure Narratives

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## ***Accounts & Control***

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### ***Percentage of Invoices Processed Within 30 Days***

The first indicator above compares invoices paid within the statutory deadline of thirty days as a percentage of all invoices paid. State Prompt Payment Law requires certain payments to be made within 30 working days of receipt of an invoice. Consequently, this indicator measures compliance with state law. The second indicator measures the average number of calendar days from the date an invoice voucher is received from departments or agencies to the date of payment to vendors. It measures the average number of calendar days from the date an invoice voucher is received from departments or agencies to the date of payment to vendors.

R.I.G.L. 42-11.1 sets standards for the payment of bills incurred by state agencies. The objective for the first indicator above is to process 100 percent of invoices within 30 days. The objective for the second indicator above is the lowest actual annual average number of days to payment since FY 1999

### ***Number of Days after Fiscal Year End to Publication of CAFR***

This indicator measures the number of days it takes for the Office of Accounts and Control to compile and publish the Comprehensive Annual Financial Report (CAFR). The earlier the CAFR is published, the sooner the information can be used to prepare official statements for any borrowing required during the ensuing fiscal year. Publication of the CAFR shall mean the printing and distribution of the document after it has been audited by the Auditor General.

The standard is the fewest number of days from fiscal year end in previous years to the publication of the CAFR.

### ***Number of Days to Fiscal Close***

This measure indicates how many calendar days elapse from June 30th of each year to fiscal closing. "Fiscal closing" is defined as the printing and distribution of final reports and statements for June 30th of the fiscal year being closed. The final reports are used to prepare fiscal and program reports for grantors, and are the basis for future fiscal year planning.

The standard is the fewest number of calendar days in previous years to close the books following the June 30th fiscal year end.

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## ***Purchasing***

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### ***Performance Measures Developed***

The Division of Purchases entered into Memoranda of Understanding (MOU) with two (2) high volume user agencies: a) Office of Higher Education (the 3 public institutions for Higher Education: 1) University of Rhode Island, 2) Rhode Island College and 3) Community College of Rhode Island) and b) Department of Transportation. The agreements define the process and desire to streamline and improve the purchasing process. Upon entering into an MOU, the Division initiated a tracking system upon receipt of the incoming requisitions and identifying the type of requisition in order to monitor and evaluate the processing time. The average turn around time for a solicitation is approximately four (4) months. It is the Division's goal to reduce the DOT and Higher Education requisitions' turnaround time from four (4) months to 90 days. For FY2013, our goal is to get at least 75% of the requisitions turned around within 90 days. Purchasing will utilize this information to evaluate the procurement process and define improvements. This Pilot program will assist Purchasing to streamline procurements, meet all applicable laws, and meet the state agency procurements in a timely manner.

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# Department Of Administration Performance Measure Narratives

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## ***Human Resources***

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### ***Percentage of PARFs Completed within 60 Days***

This indicator measures the percentage of Personnel Action Request Forms (PARFs) completed within 60 days. State agencies utilize the PARF form to fill existing positions, change existing positions, establish new positions, reallocate staff, initiate public hearing requests, implement acting assignments, request special employment, purchase services, or initiate temporary services.

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### ***Percentage of Desk Audits Completed within 60 Days***

This indicator measures the number of desk audits completed from the date the Human Resources program receives the questionnaire to the mailing date of official decision letters.

The standard had been raised from fifty to sixty percent beginning in FY 2004. The standard, however, has been changed beginning in FY 2006 to the previous highest percentage since FY 2004.

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### ***Percentage of Civil Service Examinations Completed within 120 Days***

This indicator measures the percentage of civil service examinations completed within 120 days. This time parameter allows for civil service examinations to be developed in accordance with uniform examination guidelines. Rhode Island General Law 36-4-2 and state equal opportunity and affirmative action guidelines mandate professionally-developed and administered merit selection instruments. Completion times are measured from the close of the application period to the notification of applicant test results and the establishment of the civil service employment list.

The standard is that all civil service examinations will be complete within 180 days.

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## ***Facilities Management***

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### ***Percentage of Days with No Utility Service Interruption***

The department is responsible for maintaining the Central Power Plant and Utility systems (heat, power, water) at the Pastore Center. This indicator measures the percentage of days in the fiscal year in which the utility systems operate without interruption or loss of service. This measure relates to the division's stated objective of maintaining operational support functions to the hospital.

The objective is that the utility systems operate one hundred percent of the time.

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## ***Capital Projects and Property Management***

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### ***Dollar Savings Realized By Moving State Operations from Leased to State-Owned Space***

This measure is the gross annual dollar savings, adjusted for inflation, realized by moving state operations from leased to state-owned space. The Property Management section is responsible for leaseholds for state property. A goal of the section is to achieve cost savings whenever possible by moving state operations from leased space to state-owned property. The data are collected on a calendar year basis.

The objective is the previous highest rental savings, adjusted for inflation (Base Year 2006), realized by moving state operations from leased to state-owned space.

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# Department Of Administration Performance Measure Narratives

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## ***Information Technology***

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### ***Assignment of Service Tickets Requests - Severe***

Severe: Used for logging and tracking reported major outage affecting an enterprise system, multiple agencies, statewide, or individual applications/network connections.

Objective: Service Desk has to have a technician identified and assigned to respond within five minutes of call placed by client. The goal is 90% response within the stated period.

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### ***Assignment of Service Tickets Requests - High***

High: Potential exposure affecting individual agency's application, network connections, or multiple user outages.

Objective: Service Desk has to have a technician identified and assigned to respond within fifteen minutes of call placed by client. The goal is 90% response within the stated period.

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### ***Assignment of Service Tickets Requests - Normal***

Normal: Non-Emergency

Objective: Service Desk has to assign the issue to a specific work group within thirty minutes. The work group manager shall assign issue to technician within 24 hours. The goal is 75% response within the stated period.

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### ***Resolution of Service Tickets Requests - Severe***

Severe: Used for logging and tracking reported major outage affecting an enterprise system, multiple agencies, statewide, or individual applications/network connections.

Objective: The work group assigned this priority shall close the service ticket within five (5) days. The goal is 90% response within the stated period.

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### ***Resolution of Service Tickets Requests - High***

High: Potential exposure affecting individual agency application, network connections, or multiple user outages.

Objective: The work group assigned this priority shall close the service ticket within five (5) days. The goal is 90% response within the stated period.

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### ***Resolution of Service Tickets Requests - Normal***

Normal: Non-Emergency

Objective: The work group assigned this priority shall close the service ticket within five (5) days. The goal is 75% response within the stated period.

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### ***Maintain State Mainframe's Availability***

The Division of Information Technology's objective is to provide consistent, sustained data center performance availability to all of its clients throughout state government. Today's customer demands faster, more responsive, accessible service. The division's goal is to build long-term IT solutions, necessitating an objective of 99.9 percent availability.

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## Department Of Administration Performance Measure Narratives

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### ***Maintain State Mainframe's Availability-Unscheduled Maintenance***

Periodically, unscheduled interruptions are required to perform maintenance, upgrades, performance enhancements, security upgrades, etc., and these will be handled by a thorough understanding of the impact of the outage and working with the clients involved. If these interruptions are required more frequently than originally estimated, because of new system requirements or upgrades, the overall system availability will not be allowed to go below 98.9 percent.

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## ***Planning***

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### ***New Affordable Housing Units***

This indicator measures the annual number of newly-developed affordable housing units provided through the Housing Resources Commission's production funds. The housing units measured by this indicator are those that are financed, in part, with Neighborhood Opportunities Program funds and, beginning in FY 2008, with dollars from affordable housing bonds authorized by Rhode Island voters in November, 2006.

The Neighborhood Opportunities Program was created in 2001 to provide state funding to increase the supply of decent, safe, sanitary and affordable rental housing for very low, low, and moderate income families and individuals. The program's funding is used to leverage millions of federal and private dollars for affordable housing. Housing financed under this program must remain affordable for thirty years.

The standard, beginning next year, will be the highest number of affordable housing units established in a previous fiscal year since FY 2007.

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# Agency

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## Department Of Business Regulation

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### Agency Mission

To assist, educate, and protect the public through the implementation and enforcement of state laws mandating regulation and licensing of designated businesses, professions, occupations, and other specific activities, while recognizing the need to foster a sound business environment.

### Agency Description

The Department of Business Regulation's primary function is to implement state laws mandating the regulation and licensing of designated businesses, professions, occupations and other specified activities. The department is composed of five divisions and Central Management, which includes budget, regulatory standards, compliance and enforcement. The respective divisions are: Banking, Securities, Commercial Licensing, Racing and Athletics, Design Professionals and Insurance.

The Director of Business Regulation is appointed by the Governor and serves statutorily as the State Banking Commissioner, Commissioner of Insurance, Real Estate Administrator, and State Boxing Commissioner. The Board of Bank Incorporation hears appeals from decisions made by the Banking Division regarding applications for the chartering of financial institutions, new branches and locations, and changes in the by-laws of certain regulated institutions. Other commissions housed within the department include the Real Estate Commission, Real Estate Appraisal Board, Rhode Island Board of Accountancy, Building Contractors' Registration Board, Board of Design Professionals, Racing and Athletics Hearing Board, and Office of the Health Insurance Commissioner. The department issues approximately 125,000 licenses and conducts administrative hearings involving issuances, administrative penalties, suspensions and/or revocations.

### Statutory History

The department was established by the Rhode Island General Assembly in 1939 and is organized under R.I.G.L. §§ 42-14-1 et seq.

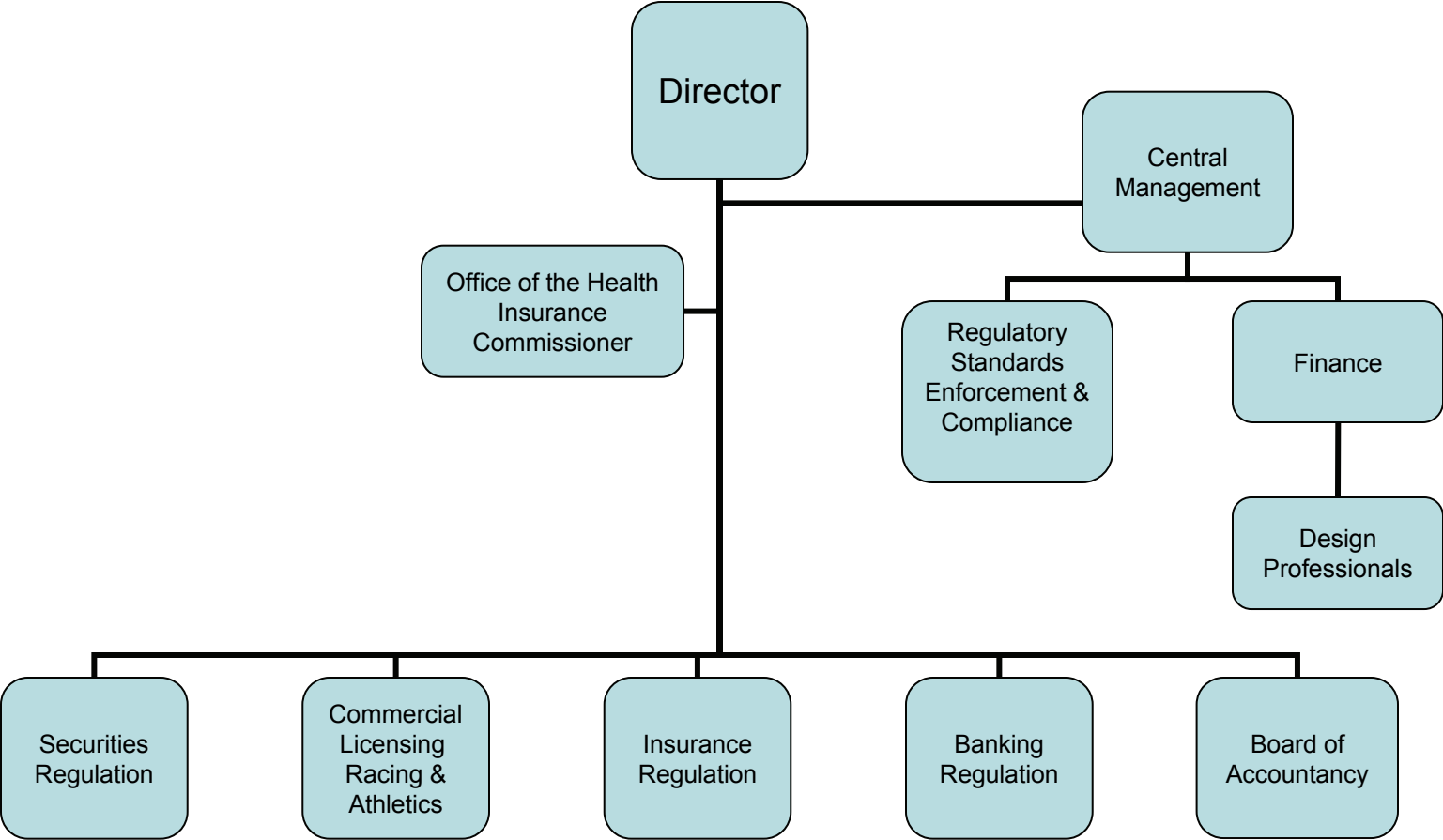
# Budget

## Department Of Business Regulation

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	1,194,476	1,011,248	1,162,041	1,094,956	1,161,605
Banking Regulation	1,358,343	1,289,576	1,597,238	1,596,137	1,862,766
Securities Regulation	693,323	755,607	1,066,512	866,012	1,083,375
Insurance Regulation	4,748,034	5,397,541	5,321,002	5,267,501	5,366,861
Board of Accountancy	148,716	150,884	170,668	140,672	82,483
Commercial Licensing, Racing & Athletics	876,460	948,592	1,229,648	1,018,140	1,234,148
Boards for Design Professionals	294,086	307,887	247,360	324,337	249,799
Office of Health Insurance Commissioner	-	-	7,212,629	7,245,886	3,067,916
<b>Total Expenditures</b>	<b>\$9,313,438</b>	<b>\$9,861,335</b>	<b>\$18,007,098</b>	<b>\$17,553,641</b>	<b>\$14,108,953</b>
<b>Expenditures By Object</b>					
Personnel	8,740,186	9,478,461	15,511,047	15,558,991	12,972,543
Operating Supplies and Expenses	348,033	350,771	1,096,957	1,095,741	761,237
Assistance and Grants	201,458	1,370	1,379,356	874,671	344,890
<b>Subtotal: Operating Expenditures</b>	<b>9,289,677</b>	<b>9,830,602</b>	<b>17,987,360</b>	<b>17,529,403</b>	<b>14,078,670</b>
Capital Purchases and Equipment	23,761	30,733	19,738	24,238	30,283
<b>Total Expenditures</b>	<b>\$9,313,438</b>	<b>\$9,861,335</b>	<b>\$18,007,098</b>	<b>\$17,553,641</b>	<b>\$14,108,953</b>
<b>Expenditures By Funds</b>					
General Revenue	8,078,396	8,128,770	9,436,378	8,832,882	9,612,048
Federal Funds	-	465,176	6,803,273	6,813,608	2,514,487
Restricted Receipts	1,235,042	1,267,389	1,767,447	1,907,151	1,965,873
Operating Transfers from Other Funds	-	-	-	-	16,545
<b>Total Expenditures</b>	<b>\$9,313,438</b>	<b>\$9,861,335</b>	<b>\$18,007,098</b>	<b>\$17,553,641</b>	<b>\$14,108,953</b>
<b>FTE Authorization</b>	<b>85.5</b>	<b>93.0</b>	<b>96.0</b>	<b>96.0</b>	<b>94.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	4.0%	4.0%	4.0%	4.0%	4.0%
Females as a Percentage of the Workforce	54.0%	59.0%	59.0%	59.0%	59.0%
Persons with Disabilities as a Percentage of the Workforce	-	-	-	-	-

# The Agency

## Department of Business Regulation



# Personnel

## Department Of Business Regulation Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Classified	82.0	5,608,114	80.0	5,560,633
Unclassified	14.0	1,188,995	14.0	1,214,924
Cost Allocation from Other Programs	-	49,809	-	-
Cost Allocation to other programs	-	(49,809)	-	-
Turnover	-	(665,918)	-	(274,130)
<b>Total Salaries</b>	<b>96.0</b>	<b>\$6,131,191</b>	<b>94.0</b>	<b>\$6,501,427</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	64,595
FICA	-	459,824	-	489,935
Medical	-	927,217	-	1,146,670
Payroll Accrual	-	-	-	40,016
Retiree Health	-	416,767	-	443,125
Retirement	-	1,397,547	-	1,342,775
<b>Total Salaries and Benefits</b>	<b>96.0</b>	<b>\$9,332,546</b>	<b>94.0</b>	<b>\$10,028,543</b>
Cost Per FTE Position		\$97,214		\$106,687
Statewide Benefit Assessment	-	228,441	-	242,230
<b>Payroll Costs</b>	<b>96.0</b>	<b>\$9,560,987</b>	<b>94.0</b>	<b>\$10,270,773</b>
<b>Purchased Services</b>				
Clerical and Temporary Services	-	2,760	-	2,760
Legal Services	-	9,333	-	9,333
Management and Consultant Services	-	5,971,419	-	2,675,185
Other Contract Services	-	4,492	-	4,492
Training and Educational Services	-	10,000	-	10,000
<b>Total Personnel</b>	<b>96.0</b>	<b>\$15,558,991</b>	<b>94.0</b>	<b>\$12,972,543</b>
<b>Distribution by Source of Funds</b>				
General Revenue	84.6	8,492,862	83.6	9,279,280
Federal Funds	7.0	5,592,284	6.0	2,197,477
Restricted Receipts	4.4	1,473,845	4.4	1,495,786

# Personnel

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## Department Of Business Regulation Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
Total All Funds	96.0	\$15,558,991	94.0	\$12,972,543

# The Program

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## Department Of Business Regulation Central Management

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### **Program Mission**

To administer the functions for the department with regard to the licensing and regulation of designated businesses, occupations and professions through the enforcement of applicable state laws.

### **Program Description**

Central Management is composed of the Director's office budget, regulatory standards, compliance and enforcement. Specific functions include legal research, drafting and analysis of legislation, issuance of legal opinions related to the department's operations, conducting administrative and rate hearings, and providing legal services to the Director, Deputy Directors, and advising the other commissions housed within the department. Central Management compiles, submits and monitors budgets of the respective divisions, approves vouchers and contracts, and provides all personnel and management services.

The Director issues show cause and cease and desist orders; renders decisions relative to the operations of financial institutions and insurance companies; has the authority to deny, suspend, or revoke licenses, approve or disapprove rates; and acts as receiver in case of insolvency of certain regulated entities.

The Director or his/her designee may be a member of various occupational licensing boards and commissions assigned to the department by the legislature in order to assist in the administration and regulation of licensing programs. The Director is also a member of such diverse administrative bodies as the Board of Bank Incorporation and the Rhode Island Housing and Mortgage Finance Corporation.

Central Management is also responsible for monitoring legislation impacting the department and for the annual submission of its own legislative program.

### **Statutory History**

R.I.G.L. §42-14-1 establishes the Director as head of the department. R.I.G.L. §42-14-2 enumerates the functions of the department regarding the regulation of assigned occupations, businesses, and professions.

# The Budget

## Department Of Business Regulation Central Management

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	1,194,476	1,011,248	1,162,041	1,094,956	1,161,605
<b>Total Expenditures</b>	<b>\$1,194,476</b>	<b>\$1,011,248</b>	<b>\$1,162,041</b>	<b>\$1,094,956</b>	<b>\$1,161,605</b>
<b>Expenditures By Object</b>					
Personnel	956,586	981,890	1,117,603	1,058,582	1,108,686
Operating Supplies and Expenses	22,847	25,292	42,401	34,337	34,337
Assistance and Grants	201,458	1,370	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>1,180,891</b>	<b>1,008,552</b>	<b>1,160,004</b>	<b>1,092,919</b>	<b>1,143,023</b>
Capital Purchases and Equipment	13,585	2,696	2,037	2,037	18,582
<b>Total Expenditures</b>	<b>\$1,194,476</b>	<b>\$1,011,248</b>	<b>\$1,162,041</b>	<b>\$1,094,956</b>	<b>\$1,161,605</b>
<b>Expenditures By Funds</b>					
General Revenue	1,194,476	1,011,248	1,162,041	1,094,956	1,145,060
Operating Transfers from Other Funds	-	-	-	-	16,545
<b>Total Expenditures</b>	<b>\$1,194,476</b>	<b>\$1,011,248</b>	<b>\$1,162,041</b>	<b>\$1,094,956</b>	<b>\$1,161,605</b>
<b>Program Measures</b>					
Department Revenues to Cost Ratio	3.62/1	3.24/1	3.50/1	3.50/1	3.15/1
Objective	N/A	N/A		3.00/1	3.00/1
Average Age of Employee Technology	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		50	50
Average Age of Office Technology	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percent of Licenses Issued Online	N/A	80.6%	90.0%	90.0%	TBD
Objective	N/A	N/A		95.0%	99.0%
Percentage of Department Rules and Regulations Reviewed	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		60.0%	60.0%

# Personnel

## Department Of Business Regulation Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director	0144A	1.0	129,116	1.0	129,116
Chief of Legal Services	0139A	1.0	96,760	1.0	96,760
Deputy Chief of Legal Services	0137A	1.0	92,633	1.0	94,538
Administrator, Financial Management	0137A	1.0	86,317	1.0	86,317
Systems Analyst	0124A	1.0	60,403	1.0	60,403
Legal Assistant	0119A	1.0	37,986	1.0	36,878
<b>Subtotal</b>		<b>6.0</b>	<b>\$503,215</b>	<b>6.0</b>	<b>\$504,012</b>
<b>Unclassified</b>					
Director, Dept. of Business Regulation	0945K	1.0	101,598	1.0	101,598
Project Coordinator	0826A	1.0	68,804	1.0	68,804
Executive Secretary	0819A	1.0	48,954	1.0	48,954
<b>Subtotal</b>		<b>3.0</b>	<b>\$219,356</b>	<b>3.0</b>	<b>\$219,356</b>
Turnover		-	(37,983)	-	(18,439)
<b>Subtotal</b>		-	<b>(\$37,983)</b>	-	<b>(\$18,439)</b>
<b>Total Salaries</b>		<b>9.0</b>	<b>\$684,588</b>	<b>9.0</b>	<b>\$704,929</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	7,049
FICA		-	51,297	-	53,163
Medical		-	89,290	-	111,605
Payroll Accrual		-	-	-	4,396
Retiree Health		-	46,963	-	48,358
Retirement		-	157,319	-	149,298
<b>Subtotal</b>		-	<b>\$344,869</b>	-	<b>\$373,869</b>
<b>Total Salaries and Benefits</b>		<b>9.0</b>	<b>\$1,029,457</b>	<b>9.0</b>	<b>\$1,078,798</b>
Cost Per FTE Position			\$114,384		\$119,866
Statewide Benefit Assessment		-	25,673	-	26,436
<b>Subtotal</b>		-	<b>\$25,673</b>	-	<b>\$26,436</b>
<b>Payroll Costs</b>		<b>9.0</b>	<b>\$1,055,130</b>	<b>9.0</b>	<b>\$1,105,234</b>
<b>Purchased Services</b>					
Other Contract Services		-	3,452	-	3,452
<b>Subtotal</b>		-	<b>\$3,452</b>	-	<b>\$3,452</b>
<b>Total Personnel</b>		<b>9.0</b>	<b>\$1,058,582</b>	<b>9.0</b>	<b>\$1,108,686</b>



# Personnel

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## Department Of Business Regulation Central Management

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		9.0	1,058,582	9.0	1,108,686
<b>Total All Funds</b>		<b>9.0</b>	<b>\$1,058,582</b>	<b>9.0</b>	<b>\$1,108,686</b>

# The Program

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## Department Of Business Regulation Banking Regulation

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### **Program Mission**

To charter, license and ensure compliance with statutory requirements for the safe and sound operation of regulated financial institutions, Rhode Island bank holding companies, credit unions and licensees in order to protect the public interest.

### **Program Description**

Banking Regulation provides regulatory oversight of state-chartered financial institutions, credit unions, Rhode Island bank holding companies and licensees through financial examinations and reviews to determine compliance with state banking laws, financial solvency, and safety and soundness operations.

Banking Regulation is responsible for regulating, monitoring and examining fifteen (15) state chartered financial institutions, seven (7) Rhode Island bank holding companies, ten (10) credit unions, seven (7) interstate banks and approximately nine hundred eighteen (918) company licensees (including four hundred ninety (493) registered debt collectors) operating from one thousand six hundred twenty seven (1,627) licensed locations (including nine hundred fifty eight (958) debt collector locations) and one thousand three hundred six (1,306) mortgage loan originators as of July 2011. The Division accomplishes its program objectives through the process of licensing, chartering and examining financial institutions, Rhode Island bank holding companies, credit unions, branches of interstate banks, and licensees. The purposes of examinations are to determine financial solvency and compliance with Rhode Island banking laws and regulations for the protection of depositors and the public interest. The Division reviews and conducts hearings on applications filed by financial institutions, listed above. Licensees include lenders, loan brokers, small loan lenders, foreign exchange transaction businesses, sellers of checks, electronic money transmitters, check cashers, debt-management companies, and mortgage loan originators. The Division enforces statutes relating to state usury laws and conducts administrative hearings and consumer complaint reviews when required.

### **Statutory History**

R.I.G.L. Chapters §§19-1 to 19-14.10 charge the Division of Banking with the regulation, licensing, or registration of financial institutions, Rhode Island bank holding companies, credit unions and licensees (lenders, loan brokers, small loan lenders, mortgage loan originators, foreign exchange transaction businesses, sellers of checks, electronic money transmitters, check cashers, and debt management companies and debt collectors.) RI General Laws §§6-26 to 6-27 relate to Interest, Usury and Truth in Lending. R.I.G.L. §§34-23 to 34-27 relate to Mortgages. R.I.G.L. §§19-14.3 to 19-14.8 relate to the Sale of Checks, Electronic Money Transfers, Foreign Exchange Transactions, Insurance Premium Finance Agreements and Debt Management Companies. Rhode Island General Laws §19-14.9 relates to the registration of debt collectors. R.I.G.L. §19-14.10 relates to the licensing and supervision of mortgage loan originators.

# The Budget

## Department Of Business Regulation Banking Regulation

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	1,358,343	1,289,576	1,597,238	1,596,137	1,862,766
<b>Total Expenditures</b>	<b>\$1,358,343</b>	<b>\$1,289,576</b>	<b>\$1,597,238</b>	<b>\$1,596,137</b>	<b>\$1,862,766</b>
<b>Expenditures By Object</b>					
Personnel	1,298,821	1,228,784	1,428,521	1,434,985	1,701,614
Operating Supplies and Expenses	49,346	48,055	163,717	156,152	156,152
<b>Subtotal: Operating Expenditures</b>	<b>1,348,167</b>	<b>1,276,839</b>	<b>1,592,238</b>	<b>1,591,137</b>	<b>1,857,766</b>
Capital Purchases and Equipment	10,176	12,737	5,000	5,000	5,000
<b>Total Expenditures</b>	<b>\$1,358,343</b>	<b>\$1,289,576</b>	<b>\$1,597,238</b>	<b>\$1,596,137</b>	<b>\$1,862,766</b>
<b>Expenditures By Funds</b>					
General Revenue	1,327,726	1,259,413	1,472,238	1,471,137	1,737,766
Restricted Receipts	30,617	30,163	125,000	125,000	125,000
<b>Total Expenditures</b>	<b>\$1,358,343</b>	<b>\$1,289,576</b>	<b>\$1,597,238</b>	<b>\$1,596,137</b>	<b>\$1,862,766</b>
<b>Program Measures</b>					
Average Time To Issue Licenses	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Conduct Examinations	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Examinations Considered Current	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Complaint Cases Closed Versus Received	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Resolve Complaints	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Customer Satisfsaction Survey	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Division Revenues to Cost Ratio	1.18/1	1.00/1	0.91/1	0.91/1	0.74/1
Objective	N/A	N/A		0.75/1	0.75/1

# Personnel

## Department Of Business Regulation Banking Regulation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Supervisor of Examinations	0037A	1.0	93,744	1.0	93,744
State Chief Bank Examiner	0139A	1.0	87,964	1.0	87,964
Assistant Supervisor of Examinations	0035A	4.0	345,481	4.0	348,831
Principal License Examiner - Banking	0031A	2.0	154,514	2.0	157,366
Principal Bank Examiner	0031A	1.0	69,180	1.0	69,180
Senior Bank Examiner	0028A	2.0	126,723	2.0	129,087
Systems Analyst	0024A	1.0	60,278	1.0	60,278
Bank Examiner	0024A	3.0	133,516	3.0	137,771
<b>Subtotal</b>		<b>15.0</b>	<b>\$1,071,400</b>	<b>15.0</b>	<b>\$1,084,221</b>
Turnover		-	(144,405)	-	-
<b>Subtotal</b>		-	<b>(\$144,405)</b>	-	-
<b>Total Salaries</b>		<b>15.0</b>	<b>\$926,995</b>	<b>15.0</b>	<b>\$1,084,221</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	10,842
FICA		-	70,737	-	82,943
Medical		-	124,857	-	170,880
Payroll Accrual		-	-	-	6,705
Retiree Health		-	63,524	-	74,379
Retirement		-	212,790	-	229,627
<b>Subtotal</b>		-	<b>\$471,908</b>	-	<b>\$575,376</b>
<b>Total Salaries and Benefits</b>		<b>15.0</b>	<b>\$1,398,903</b>	<b>15.0</b>	<b>\$1,659,597</b>
Cost Per FTE Position			\$93,260		\$110,640
Statewide Benefit Assessment		-	34,722	-	40,657
<b>Subtotal</b>		-	<b>\$34,722</b>	-	<b>\$40,657</b>
<b>Payroll Costs</b>		<b>15.0</b>	<b>\$1,433,625</b>	<b>15.0</b>	<b>\$1,700,254</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	720	-	720
Other Contract Services		-	640	-	640
<b>Subtotal</b>		-	<b>\$1,360</b>	-	<b>\$1,360</b>
<b>Total Personnel</b>		<b>15.0</b>	<b>\$1,434,985</b>	<b>15.0</b>	<b>\$1,701,614</b>

# Personnel

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## Department Of Business Regulation Banking Regulation

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		15.0	1,434,985	15.0	1,701,614
<b>Total All Funds</b>		<b>15.0</b>	<b>\$1,434,985</b>	<b>15.0</b>	<b>\$1,701,614</b>

# The Program

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## Department Of Business Regulation Securities Regulation

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### **Program Mission**

To enforce compliance with the applicable provisions of state laws and regulations related to the securities industry, franchises, charities, fund-raisers, and time-shares.

### **Program Description**

Securities Regulation is responsible for the registration of certain securities, the licensing and regulation of broker-dealers, sales representatives, certain investment advisers and certain investment adviser representatives.

The division is also responsible for enforcing compliance with the state's Franchise Investment Act, the registration of charitable organizations and fundraising groups, and the state's Real Estate Time-Share Act. In FY 2011 the division processed approximately 92,610 licenses and 11,669 registrations, conducted two (2) on-site examination of broker-dealer, investigated 29 complaints, and instituted 23 enforcement actions, pursuant to applicable state and federal laws and regulations.

### **Statutory History**

The division is charged with the administration and enforcement of the Rhode Island Uniform Securities Act ("RIUSA"), R.I.G.L. §7-11; the Franchise Investment Act, R.I.G.L. §19-28.1; the Charitable Solicitation Act, R.I.G.L. §5-53.1; and the Real Estate Time-Share Act, R.I.G.L. §34-41.

# The Budget

## Department Of Business Regulation Securities Regulation

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	693,323	755,607	1,066,512	866,012	1,083,375
<b>Total Expenditures</b>	<b>\$693,323</b>	<b>\$755,607</b>	<b>\$1,066,512</b>	<b>\$866,012</b>	<b>\$1,083,375</b>
<b>Expenditures By Object</b>					
Personnel	676,126	731,375	1,020,161	826,289	1,043,652
Operating Supplies and Expenses	17,197	17,857	46,351	39,723	39,723
<b>Subtotal: Operating Expenditures</b>	<b>693,323</b>	<b>749,232</b>	<b>1,066,512</b>	<b>866,012</b>	<b>1,083,375</b>
Capital Purchases and Equipment	-	6,375	-	-	-
<b>Total Expenditures</b>	<b>\$693,323</b>	<b>\$755,607</b>	<b>\$1,066,512</b>	<b>\$866,012</b>	<b>\$1,083,375</b>
<b>Expenditures By Funds</b>					
General Revenue	688,693	752,088	1,051,512	851,012	1,068,375
Restricted Receipts	4,630	3,519	15,000	15,000	15,000
<b>Total Expenditures</b>	<b>\$693,323</b>	<b>\$755,607</b>	<b>\$1,066,512</b>	<b>\$866,012</b>	<b>\$1,083,375</b>
<b>Program Measures</b>					
Average Time to Issue Licenses	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Conduct Examinations	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Examinations Considered Current	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Complaint Cases Closed Versus Received	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Resolve Complaints	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Customer Satisfaction Survey	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Division Revenues to Cost Ratio	24.34/1	21.43/1	19.58/1	19.58/1	15.24/1
Objective	N/A	N/A		15.00/1	15.00/1

# Personnel

## Department Of Business Regulation Securities Regulation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director, DBR	0144A	1.0	129,687	1.0	129,687
Chief Securities Examiner	0137A	1.0	86,317	1.0	86,317
Principal Securities Examiner	0031A	1.0	72,529	1.0	72,529
Senior Securities Examiner	0028A	1.0	58,059	1.0	60,129
Assistant Administrative Officer	0021A	1.0	53,623	1.0	53,623
Securities Examiner	0024A	3.0	148,050	3.0	150,878
Licensing Aide	0015A	1.0	37,389	2.0	80,387
<b>Subtotal</b>		<b>9.0</b>	<b>\$585,654</b>	<b>10.0</b>	<b>\$633,550</b>
Turnover		-	(66,639)	-	-
<b>Subtotal</b>		-	<b>(\$66,639)</b>	-	-
<b>Total Salaries</b>		<b>9.0</b>	<b>\$519,015</b>	<b>10.0</b>	<b>\$633,550</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	6,336
FICA		-	38,596	-	47,668
Medical		-	94,341	-	150,783
Payroll Accrual		-	-	-	3,916
Retiree Health		-	35,605	-	43,463
Retirement		-	119,270	-	134,179
<b>Subtotal</b>		-	<b>\$287,812</b>	-	<b>\$386,345</b>
<b>Total Salaries and Benefits</b>		<b>9.0</b>	<b>\$806,827</b>	<b>10.0</b>	<b>\$1,019,895</b>
Cost Per FTE Position			\$89,647		\$101,990
Statewide Benefit Assessment		-	19,462	-	23,757
<b>Subtotal</b>		-	<b>\$19,462</b>	-	<b>\$23,757</b>
<b>Payroll Costs</b>		<b>9.0</b>	<b>\$826,289</b>	<b>10.0</b>	<b>\$1,043,652</b>
<b>Total Personnel</b>		<b>9.0</b>	<b>\$826,289</b>	<b>10.0</b>	<b>\$1,043,652</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		9.0	826,289	10.0	1,043,652
<b>Total All Funds</b>		<b>9.0</b>	<b>\$826,289</b>	<b>10.0</b>	<b>\$1,043,652</b>



# The Program

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## Department Of Business Regulation Insurance Regulation

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### **Program Mission**

To monitor effectively the financial condition and market conduct activities of insurance companies licensed to do business in the State of Rhode Island.

To monitor activities of all licensees such as producers, adjusters and appraisers.

To ensure consumer access to an equitable insurance market and respond to consumer inquiries and complaints.

To maintain accreditation by the National Association of Insurance Commissioners.

### **Program Description**

The Insurance Division is responsible for conducting financial examinations of domestic insurance companies to ensure financial solvency and market conduct examinations of domestic or foreign insurance companies to ensure compliance with the insurance statutes and regulations. The program performs several licensing functions including, but not limited to, the licensing of companies, producers, adjusters and appraisers. The program also reviews rate and form filings for the Life, Accident and Health, and Property and Casualty lines of business for compliance with state statutes and regulations, and addresses consumer complaints for these lines of business. The program monitors and introduces legislation in order to maintain accreditation by the National Association of Insurance Commissioners, which it initially received in June of 1993. The division was re-accredited in December 1998, December 2003, and again in June 2009, each time receiving the maximum accreditation period of five years.

### **Statutory History**

All chapters of R.I.G.L. §§27-1,42-14, and 28-29 through 28-38, and all Insurance Division regulations.

# The Budget

## Department Of Business Regulation Insurance Regulation

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	4,748,034	5,397,541	5,321,002	5,267,501	5,366,861
<b>Total Expenditures</b>	<b>\$4,748,034</b>	<b>\$5,397,541</b>	<b>\$5,321,002</b>	<b>\$5,267,501</b>	<b>\$5,366,861</b>
<b>Expenditures By Object</b>					
Personnel	4,602,965	5,219,071	5,033,304	4,998,309	5,119,014
Operating Supplies and Expenses	145,069	169,545	284,198	265,692	244,347
<b>Subtotal: Operating Expenditures</b>	<b>4,748,034</b>	<b>5,388,616</b>	<b>5,317,502</b>	<b>5,264,001</b>	<b>5,363,361</b>
Capital Purchases and Equipment	-	8,925	3,500	3,500	3,500
<b>Total Expenditures</b>	<b>\$4,748,034</b>	<b>\$5,397,541</b>	<b>\$5,321,002</b>	<b>\$5,267,501</b>	<b>\$5,366,861</b>
<b>Expenditures By Funds</b>					
General Revenue	3,835,168	3,984,789	4,031,865	3,911,582	4,066,525
Federal Funds	-	465,176	148,312	83,659	-
Restricted Receipts	912,866	947,576	1,140,825	1,272,260	1,300,336
<b>Total Expenditures</b>	<b>\$4,748,034</b>	<b>\$5,397,541</b>	<b>\$5,321,002</b>	<b>\$5,267,501</b>	<b>\$5,366,861</b>
<b>Program Measures</b>					
Average Time to Issue Licenses	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Conduct Examinations	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Examinations Considered Current	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Complaint Cases Closed Versus Received	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Resolve Complaints	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Customer Satisfaction Survey	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Division Revenues to Cost Ratio	3.37/1	3.17/1	2.71/1	2.71/1	2.29/1
Objective	N/A	N/A		2.00/1	2.00/1

# Personnel

## Department Of Business Regulation Insurance Regulation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director, DBR	0144A	1.0	134,756	1.0	134,756
Chief Insurance Examiner	0139A	2.0	215,460	2.0	215,460
Chief Property & Casualty Insurance Analyst	0137A	1.0	100,180	1.0	100,180
Deputy Chief of Legal Services	0139A	1.0	94,657	1.0	94,657
Insurance Examiner-In-Charge	0036A	7.0	658,410	7.0	659,900
Principal Licensing Insurance Examiner	0031A	1.0	80,727	1.0	80,725
Senior Insurance Rate Analyst	0031A	4.0	293,094	4.0	296,034
Market Conduct Examiner-in-Charge	0036A	1.0	71,488	1.0	74,098
Principal Insurance Exam - EDP & Auto Sys	0031A	1.0	69,180	1.0	69,180
Senior Insurance Examiner	0028A	4.0	268,330	4.0	272,542
Insurance Rate Analyst (Health)	0028A	1.0	64,413	1.0	64,413
Senior Market Conduct Examiner	0028A	2.0	123,397	2.0	126,334
Administrative Officer	0024A	1.0	60,278	1.0	60,278
Director of Consumer Protection/Education	0135A	1.0	57,521	-	-
Insurance Examiner	0024A	3.0	143,926	3.0	145,340
Clerk Secretary	0016A	1.0	45,270	1.0	45,932
Licensing Aide	0015A	4.0	165,015	4.0	165,446
<b>Subtotal</b>		<b>36.0</b>	<b>\$2,646,102</b>	<b>35.0</b>	<b>\$2,605,275</b>
<b>Unclassified</b>					
Administrative Secretary	0816A	1.0	49,686	1.0	49,686
Accountant	A0819	1.0	47,503	1.0	49,575
<b>Subtotal</b>		<b>2.0</b>	<b>\$97,189</b>	<b>2.0</b>	<b>\$99,261</b>
Cost Allocation to Other Programs		-	(49,809)	-	-
Turnover		-	(181,802)	-	(95,423)
<b>Subtotal</b>		<b>-</b>	<b>(\$231,611)</b>	<b>-</b>	<b>(\$95,423)</b>
<b>Total Salaries</b>		<b>38.0</b>	<b>\$2,511,680</b>	<b>37.0</b>	<b>\$2,609,113</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	26,091
FICA		-	194,363	-	198,483
Medical		-	391,991	-	438,917
Payroll Accrual		-	-	-	16,205
Retiree Health		-	175,567	-	178,983
Retirement		-	588,128	-	552,584
<b>Subtotal</b>		<b>-</b>	<b>\$1,350,049</b>	<b>-</b>	<b>\$1,411,263</b>
<b>Total Salaries and Benefits</b>		<b>38.0</b>	<b>\$3,861,729</b>	<b>37.0</b>	<b>\$4,020,376</b>
Cost Per FTE Position			\$101,624		\$108,659
Statewide Benefit Assessment		-	95,973	-	97,840
<b>Subtotal</b>		<b>-</b>	<b>\$95,973</b>	<b>-</b>	<b>\$97,840</b>
<b>Payroll Costs</b>		<b>38.0</b>	<b>\$3,957,702</b>	<b>37.0</b>	<b>\$4,118,216</b>

# Personnel

## Department Of Business Regulation Insurance Regulation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Clerical and Temporary Services		-	200	-	200
Legal Services		-	2,448	-	2,448
Management and Consultant Services		-	978,150	-	988,150
Training and Educational Services		-	10,000	-	10,000
<b>Subtotal</b>		-	<b>\$990,798</b>	-	<b>\$1,000,798</b>
<b>Total Personnel</b>		<b>38.0</b>	<b>\$4,948,500</b>	<b>37.0</b>	<b>\$5,119,014</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		35.1	3,804,039	35.1	3,958,982
Federal Funds		1.0	-	-	-
Restricted Receipts		1.9	1,144,461	1.9	1,160,032
<b>Total All Funds</b>		<b>38.0</b>	<b>\$4,948,500</b>	<b>37.0</b>	<b>\$5,119,014</b>

# The Program

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## Department Of Business Regulation Board of Accountancy

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### **Program Mission**

The board intends to continue to intensify its analysis of continuing education records, as well as firm compliance with peer reviews, to efficiently process license renewals and responses, and to commence and resolve disciplinary actions efficiently and promptly.

### **Program Description**

The Board of Accountancy is an autonomous board that is responsible for the administration of the licensing of certified public accountants, public accountants, partnerships, corporations, and sole proprietorships. It processes applications and fees, and issues initial certificates and permits to regulated business, occupations and professions.

The board is responsible for governing the conduct of assigned licensees in order to comply with statutory provisions of the law and to promote the continued welfare of the general public. This includes recommending approval, denial, suspension or revocation of licenses or the imposition of such sanctions or penalties allowed by law.

Hearings are held when required in order to resolve complaints and to act upon the denial, suspension or revocation of licenses. The board investigates complaints from the general public in all areas of licensing addressed above.

Board personnel oversee the analysis of each CPA or PA application prior to Board review. In addition, Board personnel provide the general public with application and licensing information regarding all certified public accountants and public accountants and update monthly the listing of individual licensees and CPA firms on the Department of Business Regulation website, which facilitates information to the general public.

### **Statutory History**

R.I.G.L. §§5-3.1 et seq. (1956) relate to the Board of Accountancy.

# The Budget

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## Department Of Business Regulation Board of Accountancy

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	<b>2010 Audited</b>	<b>2011 Audited</b>	<b>2012 Enacted</b>	<b>2012 Revised</b>	<b>2013 Recommend</b>
<b>Expenditures By Subprogram</b>					
Operations	148,716	150,884	170,668	140,672	82,483
<b>Total Expenditures</b>	<b>\$148,716</b>	<b>\$150,884</b>	<b>\$170,668</b>	<b>\$140,672</b>	<b>\$82,483</b>
<b>Expenditures By Object</b>					
Personnel	143,216	143,990	159,338	130,903	72,714
Operating Supplies and Expenses	5,500	6,894	11,330	9,769	9,769
<b>Subtotal: Operating Expenditures</b>	<b>148,716</b>	<b>150,884</b>	<b>170,668</b>	<b>140,672</b>	<b>82,483</b>
<b>Total Expenditures</b>	<b>\$148,716</b>	<b>\$150,884</b>	<b>\$170,668</b>	<b>\$140,672</b>	<b>\$82,483</b>
<b>Expenditures By Funds</b>					
General Revenue	148,716	150,884	170,668	140,672	82,483
<b>Total Expenditures</b>	<b>\$148,716</b>	<b>\$150,884</b>	<b>\$170,668</b>	<b>\$140,672</b>	<b>\$82,483</b>

# Personnel

## Department Of Business Regulation Board of Accountancy

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Administrative Officer	0822A	1.0	54,941	-	-
Administrative Aide	0814A	1.0	40,853	1.0	42,105
<b>Subtotal</b>		<b>2.0</b>	<b>\$95,794</b>	<b>1.0</b>	<b>\$42,105</b>
Turnover		-	(19,018)	-	-
<b>Subtotal</b>		<b>-</b>	<b>(\$19,018)</b>	<b>-</b>	<b>-</b>
<b>Total Salaries</b>		<b>2.0</b>	<b>\$76,776</b>	<b>1.0</b>	<b>\$42,105</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	421
FICA		-	5,873	-	3,221
Medical		-	15,580	-	6,438
Payroll Accrual		-	-	-	260
Retiree Health		-	5,267	-	2,888
Retirement		-	17,643	-	8,917
<b>Subtotal</b>		<b>-</b>	<b>\$44,363</b>	<b>-</b>	<b>\$22,145</b>
<b>Total Salaries and Benefits</b>		<b>2.0</b>	<b>\$121,139</b>	<b>1.0</b>	<b>\$64,250</b>
Cost Per FTE Position			\$60,570		\$64,250
Statewide Benefit Assessment		-	2,879	-	1,579
<b>Subtotal</b>		<b>-</b>	<b>\$2,879</b>	<b>-</b>	<b>\$1,579</b>
<b>Payroll Costs</b>		<b>2.0</b>	<b>\$124,018</b>	<b>1.0</b>	<b>\$65,829</b>
<b>Purchased Services</b>					
Legal Services		-	6,885	-	6,885
<b>Subtotal</b>		<b>-</b>	<b>\$6,885</b>	<b>-</b>	<b>\$6,885</b>
<b>Total Personnel</b>		<b>2.0</b>	<b>\$130,903</b>	<b>1.0</b>	<b>\$72,714</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		2.0	130,903	1.0	72,714
<b>Total All Funds</b>		<b>2.0</b>	<b>\$130,903</b>	<b>1.0</b>	<b>\$72,714</b>

# The Program

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## Department Of Business Regulation Commercial Licensing, Racing & Athletics

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### Program Mission

To increase the efficiency and effectiveness of occupational licensing programs and inspections in order to safeguard the health, safety, and welfare of the general public; to enforce, adjust, amend, and interpret all rules and regulations governing pari-mutuel wagering sports and all professional boxing, wrestling, kickboxing and mixed martial arts events in the state.

### Program Description

Commercial Licensing and Racing and Athletics is responsible for the licensing and regulation of real estate agents, brokers and appraisers, auto body and salvage re-builder shops, auto wrecking and salvage yards, glass installation, \*travel agencies and travel agents, upholsterers, \*alarm system installers, auctioneers, liquor wholesalers, breweries, wineries, salespersons (representing wholesalers) and agents (representing manufacturers and distillers), Class G (boat/airline/railroads) license holders, line-cleaners, and mobile and manufactured homes and parks, and the enforcement of unit pricing, motor fuel advertising and health club pre-opening laws. The division is also responsible for supervising the enforcement of laws related to licensing and regulation of racing and athletics activities, including dog racing, boxing, wrestling, kickboxing and simulcast wagering and the accounting and collection of racing taxes and fees as specified by state law.

The program provides the general public with application and licensing information for various occupations, businesses and professions. It investigates complaints received from the general public in all areas of licensing. The division also oversees simulcast wagering operations at the Twin River and Newport Grand facilities and conducts and participates in hearings, collects tax revenue and issues occupational licenses.

### Statutory History

R.I.G.L. §5-58 relates to auctioneers; R.I.G.L. §5-20.5 relates to real estate; R.I.G.L. §5-20.7 relates to real estate appraisers; R.I.G.L. §5-38 relates to automobile body repair shops; R.I.G.L. §5-50 relates to pre-opening of health club sales campaigns; \*R.I.G.L. §5-52 relates to travel agencies; \*R.I.G.L. §5-57 relates to burglar and hold-up alarm businesses; R.I.G.L. §6-31 relates to unit pricing; R.I.G.L. §§23-26 relates to bedding and upholstered furniture; R.I.G.L. §§31-44 & §§31-44.1 relate to mobile and manufactured homes; R.I.G.L. §42-14.2 relates to auto wrecking and salvage yards; R.I.G.L. §§31-37 relates to advertising and sale of motor fuel at retail, R.I.G.L. §31-46-7 relates to auto body salvage re-builders' licenses; and R.I.G.L. §3-1 relates to alcoholic beverages. R.I.G.L. §41-1 established the Commission on Horse Racing and Athletics in 1956. In 1987, the general laws were amended abolishing the commission and creating the Division of Racing and Athletics within the Department of Business Regulation.

\*Travel repealed on 6-6-2008

\*Alarms Regulation transferred to Department of Labor and Training on 7-1-2008.



# The Budget

## Department Of Business Regulation Commercial Licensing, Racing & Athletics

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	876,460	948,592	1,229,648	1,018,140	1,234,148
<b>Total Expenditures</b>	<b>\$876,460</b>	<b>\$948,592</b>	<b>\$1,229,648</b>	<b>\$1,018,140</b>	<b>\$1,234,148</b>
<b>Expenditures By Object</b>					
Personnel	826,909	920,009	1,016,103	816,399	1,008,131
Operating Supplies and Expenses	49,551	28,583	130,344	118,540	142,816
Assistance and Grants	-	-	80,000	80,000	80,000
<b>Subtotal: Operating Expenditures</b>	<b>876,460</b>	<b>948,592</b>	<b>1,226,447</b>	<b>1,014,939</b>	<b>1,230,947</b>
Capital Purchases and Equipment	-	-	3,201	3,201	3,201
<b>Total Expenditures</b>	<b>\$876,460</b>	<b>\$948,592</b>	<b>\$1,229,648</b>	<b>\$1,018,140</b>	<b>\$1,234,148</b>
<b>Expenditures By Funds</b>					
General Revenue	589,531	662,461	753,526	533,749	719,111
Restricted Receipts	286,929	286,131	476,122	484,391	515,037
<b>Total Expenditures</b>	<b>\$876,460</b>	<b>\$948,592</b>	<b>\$1,229,648</b>	<b>\$1,018,140</b>	<b>\$1,234,148</b>
<b>Program Measures</b>					
Average Time to Issue Licenses	N/A	N/A	N/A	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Conduct Inspections	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Examinations Considered Current	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Percentage of Complaint Cases Closed Versus Received	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Resolve Complaints	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Customer Satisfaction Survey	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Division Revenues to Cost Ratio	5.21/1	2.70/1	4.08/1	4.08/1	3.02/1
Objective	N/A	N/A		3.00/1	3.00/1

# Personnel

## Department Of Business Regulation Commercial Licensing, Racing & Athletics

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Administrator - Real Estate	0135A	1.0	87,872	1.0	87,872
Chief Licensing Examiner racing & Athletics	0133A	1.0	67,973	1.0	70,462
Pari-Mutuel Operations Specialist	0326A	1.0	55,001	1.0	55,001
Implementation Aide	0122A	1.0	53,345	1.0	54,323
Chief Public Protection Inspector	0AB32A	1.0	49,739	1.0	63,830
Licensing Control Investigator	0018A	1.0	49,283	1.0	49,283
Licensing Aide	0015A	5.0	187,377	5.0	199,281
	<b>Subtotal</b>	<b>11.0</b>	<b>\$550,590</b>	<b>11.0</b>	<b>\$580,052</b>
<b>Unclassified</b>					
Hourly Employees		-	41,880	-	41,880
	<b>Subtotal</b>	<b>-</b>	<b>\$41,880</b>	<b>-</b>	<b>\$41,880</b>
Turnover		-	(71,300)	-	-
	<b>Subtotal</b>	<b>-</b>	<b>(\$71,300)</b>	<b>-</b>	<b>-</b>
	<b>Total Salaries</b>	<b>11.0</b>	<b>\$521,170</b>	<b>11.0</b>	<b>\$621,932</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	5,801
FICA		-	39,801	-	47,578
Medical		-	92,333	-	142,438
Payroll Accrual		-	-	-	3,571
Retiree Health		-	32,816	-	39,792
Retirement		-	111,301	-	124,228
	<b>Subtotal</b>	<b>-</b>	<b>\$276,251</b>	<b>-</b>	<b>\$363,408</b>
	<b>Total Salaries and Benefits</b>	<b>11.0</b>	<b>\$797,421</b>	<b>11.0</b>	<b>\$985,340</b>
	Cost Per FTE Position		\$72,493		\$89,576
Statewide Benefit Assessment		-	17,938	-	21,751
	<b>Subtotal</b>	<b>-</b>	<b>\$17,938</b>	<b>-</b>	<b>\$21,751</b>
	<b>Payroll Costs</b>	<b>11.0</b>	<b>\$815,359</b>	<b>11.0</b>	<b>\$1,007,091</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	640	-	640
Other Contract Services		-	400	-	400
	<b>Subtotal</b>	<b>-</b>	<b>\$1,040</b>	<b>-</b>	<b>\$1,040</b>
	<b>Total Personnel</b>	<b>11.0</b>	<b>\$816,399</b>	<b>11.0</b>	<b>\$1,008,131</b>

# Personnel

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## Department Of Business Regulation Commercial Licensing, Racing & Athletics

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		8.5	487,015	8.5	672,377
Restricted Receipts		2.5	329,384	2.5	335,754
<b>Total All Funds</b>		<b>11.0</b>	<b>\$816,399</b>	<b>11.0</b>	<b>\$1,008,131</b>

# The Program

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## Department Of Business Regulation Boards for Design Professionals

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### **Program Mission**

To examine, license, register and act upon complaints brought before the Boards for professional engineers, land surveyors, landscape architects and architects for the purpose of safeguarding the health, safety, and welfare of the public.

### **Program Description**

In the 1998 enacted budget, the Boards for Design Professionals was created as a consolidated program consisting of the Board of Registration for Professional Engineers, the Board of Registration for Professional Land Surveyors, the Board of Examiners of Landscape Architects and the Board of Examination and Registration of Architects.

Each Board is responsible for: examining and registering qualified candidates; issuing license renewals when appropriate; proctoring exams when appropriate; maintaining records of all applicants and licensees; implementing rules and regulation; and hearing and acting upon complaints.

In the FY 2008 enacted budget, the Boards for Design Professionals was moved to the Department of Business Regulation as a division known as Design Professionals.

### **Statutory History**

The Boards of Land Surveyors and Engineers were established by Title 5, Chapter 8 of the Rhode Island General Laws in 1938. In 1990, Chapter 8 was amended and Chapter 8.1 was enacted, creating two Boards – The Board of Engineers and the Board of Land Surveyors, both within the Department of Business Regulation. In 1991, the law was further amended to allow the Boards to become autonomous.

The Board of Architects was established in by Chapter 23-27 of the Rhode Island Public Laws in 1936. This law was repealed in its entirety in 1977, and was replaced by Title 5, Chapter 1 of the Rhode Island General Laws.

The Board of Landscape Architects was established by Title 5, Chapter 51 of the Rhode Island General Laws 1975.

# The Budget

## Department Of Business Regulation Boards for Design Professionals

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	294,086	307,887	247,360	324,337	249,799
<b>Total Expenditures</b>	<b>\$294,086</b>	<b>\$307,887</b>	<b>\$247,360</b>	<b>\$324,337</b>	<b>\$249,799</b>
<b>Expenditures By Object</b>					
Personnel	235,563	253,342	184,477	266,772	192,234
Operating Supplies and Expenses	58,523	54,545	62,883	57,565	57,565
<b>Subtotal: Operating Expenditures</b>	<b>294,086</b>	<b>307,887</b>	<b>247,360</b>	<b>324,337</b>	<b>249,799</b>
<b>Total Expenditures</b>	<b>\$294,086</b>	<b>\$307,887</b>	<b>\$247,360</b>	<b>\$324,337</b>	<b>\$249,799</b>
<b>Expenditures By Funds</b>					
General Revenue	294,086	307,887	247,360	324,337	249,799
<b>Total Expenditures</b>	<b>\$294,086</b>	<b>\$307,887</b>	<b>\$247,360</b>	<b>\$324,337</b>	<b>\$249,799</b>
<b>Program Measures</b>					
Average Time to Issue Licenses	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Average Time to Resolve Complaints	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Customer Satisfacioin Survey	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD
Division Revenues to Cost Ratio*	2.03/1	3.92/1	1.32/1	1.32/1	4.27/1
Objective	N/A	N/A		1.50/1	4.00/1
Percentage of Complaint Cases Closed Versus Received	N/A	N/A	TBD	TBD	TBD
Objective	N/A	N/A		TBD	TBD

# Personnel

## Department Of Business Regulation Boards for Design Professionals

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Administrative Assistant	823A	1.0	63,139	1.0	63,139
Administrative Assistant II	315A	1.0	48,202	1.0	48,279
Administrative Assistant	314A	1.0	44,018	-	-
<b>Subtotal</b>		<b>3.0</b>	<b>\$155,359</b>	<b>2.0</b>	<b>\$111,418</b>
<b>Total Salaries</b>		<b>3.0</b>	<b>\$155,359</b>	<b>2.0</b>	<b>\$111,418</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	1,114
FICA		-	11,885	-	8,523
Medical		-	46,142	-	33,871
Payroll Accrual		-	-	-	689
Retiree Health		-	10,658	-	7,643
Retirement		-	35,701	-	23,598
<b>Subtotal</b>		<b>-</b>	<b>\$104,386</b>	<b>-</b>	<b>\$75,438</b>
<b>Total Salaries and Benefits</b>		<b>3.0</b>	<b>\$259,745</b>	<b>2.0</b>	<b>\$186,856</b>
Cost Per FTE Position			\$86,582		\$93,428
Statewide Benefit Assessment		-	5,827	-	4,178
<b>Subtotal</b>		<b>-</b>	<b>\$5,827</b>	<b>-</b>	<b>\$4,178</b>
<b>Payroll Costs</b>		<b>3.0</b>	<b>\$265,572</b>	<b>2.0</b>	<b>\$191,034</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	1,200	-	1,200
<b>Subtotal</b>		<b>-</b>	<b>\$1,200</b>	<b>-</b>	<b>\$1,200</b>
<b>Total Personnel</b>		<b>3.0</b>	<b>\$266,772</b>	<b>2.0</b>	<b>\$192,234</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		3.0	266,772	2.0	192,234
<b>Total All Funds</b>		<b>3.0</b>	<b>\$266,772</b>	<b>2.0</b>	<b>\$192,234</b>

# The Program

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## Department Of Business Regulation Office of Health Insurance Commissioner

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### **Program Mission**

To guard the solvency of health insurers;

To protect the interests of consumers;

To encourage fair treatment of health care providers;

To encourage policies and developments that improve the quality and efficiency of health care service delivery and outcomes;

To view the health care system as a comprehensive entity and encourage and direct insurers towards policies that advance the welfare of the public through overall efficiency, improved health care quality, and appropriate access.

### **Program Description**

The 2004 General Assembly established The Office of the Health Insurance Commissioner (OHIC). The Health Insurance Commissioner is appointed by the Governor with the advice and consent of the Senate.

OHIC staff is statutorily responsible for the regulation of Health Insurers and Hospital/Medical Service Corporations. These include but are not limited to company licensure, form and rate filing for regulatory compliance, and financial and market conduct examinations. It is also engaged in policy and legislative development, rate hearing administration, regulatory development and promulgation, consumer affairs and provider affairs and coordination with provisions of the Affordable Care Act.

The Department of Business Regulation shares certain administrative and regulatory services and personnel with OHIC as directed by statute.

### **Statutory History**

R.I.G.L. §42-14.5-1 established the Office of the Health Insurance Commissioner.

Applicable insurer regulations are found in various chapters of the R.I.G.L Titles 27 and 42.

# The Budget

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## Department Of Business Regulation Office of Health Insurance Commissioner

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	-	-	7,212,629	7,245,886	3,067,916
<b>Total Expenditures</b>	-	-	<b>\$7,212,629</b>	<b>\$7,245,886</b>	<b>\$3,067,916</b>
<b>Expenditures By Object</b>					
Personnel	-	-	5,551,540	6,026,752	2,726,498
Operating Supplies and Expenses	-	-	355,733	413,963	76,528
Assistance and Grants	-	-	1,299,356	794,671	264,890
<b>Subtotal: Operating Expenditures</b>	-	-	<b>7,206,629</b>	<b>7,235,386</b>	<b>3,067,916</b>
Capital Purchases and Equipment	-	-	6,000	10,500	-
<b>Total Expenditures</b>	-	-	<b>\$7,212,629</b>	<b>\$7,245,886</b>	<b>\$3,067,916</b>
<b>Expenditures By Funds</b>					
General Revenue	-	-	547,168	505,437	542,929
Federal Funds	-	-	6,654,961	6,729,949	2,514,487
Restricted Receipts	-	-	10,500	10,500	10,500
<b>Total Expenditures</b>	-	-	<b>\$7,212,629</b>	<b>\$7,245,886</b>	<b>\$3,067,916</b>



# Personnel

## Department Of Business Regulation Office of Health Insurance Commissioner

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Health Insurance Commissioner	0854A	1.0	193,366	1.0	193,366
Associate Director for Planning, Policy & Reg	0843A	1.0	103,900	1.0	108,393
Deputy Executive Assistant	0841A	1.0	101,308	1.0	105,800
Administrative Assistant	0837A	1.0	99,408	1.0	103,900
Principal Policy Associate	0837A	2.0	159,999	2.0	166,013
Special Projects Coordinator	0829A	1.0	63,144	1.0	65,449
Program Manager	0834A	1.0	57,002	1.0	59,063
Administrative Officer	0822A	1.0	52,443	1.0	52,443
<b>Subtotal</b>		<b>9.0</b>	<b>\$830,570</b>	<b>9.0</b>	<b>\$854,427</b>
Cost Allocation from Other Program		-	49,809	-	-
Turnover		-	(144,771)	-	(160,268)
<b>Subtotal</b>		-	<b>(\$94,962)</b>	-	<b>(\$160,268)</b>
<b>Total Salaries</b>		<b>9.0</b>	<b>\$735,608</b>	<b>9.0</b>	<b>\$694,159</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	6,941
FICA		-	47,272	-	48,356
Medical		-	72,683	-	91,738
Payroll Accrual		-	-	-	4,274
Retiree Health		-	46,367	-	47,619
Retirement		-	155,395	-	120,344
<b>Subtotal</b>		-	<b>\$321,717</b>	-	<b>\$319,272</b>
<b>Total Salaries and Benefits</b>		<b>9.0</b>	<b>\$1,057,325</b>	<b>9.0</b>	<b>\$1,013,431</b>
Cost Per FTE Position			\$117,481		\$112,603
Statewide Benefit Assessment		-	25,967	-	26,032
<b>Subtotal</b>		-	<b>\$25,967</b>	-	<b>\$26,032</b>
<b>Payroll Costs</b>		<b>9.0</b>	<b>\$1,083,292</b>	<b>9.0</b>	<b>\$1,039,463</b>
<b>Purchased Services</b>					
Management and Consultant Services		-	4,993,269	-	1,687,035
<b>Subtotal</b>		-	<b>\$4,993,269</b>	-	<b>\$1,687,035</b>
<b>Total Personnel</b>		<b>9.0</b>	<b>\$6,076,561</b>	<b>9.0</b>	<b>\$2,726,498</b>

# Personnel

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## Department Of Business Regulation Office of Health Insurance Commissioner

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		3.0	484,277	3.0	529,021
Federal Funds		6.0	5,592,284	6.0	2,197,477
<b>Total All Funds</b>		<b>9.0</b>	<b>\$6,076,561</b>	<b>9.0</b>	<b>\$2,726,498</b>

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# Department Of Business Regulation Performance Measure Narratives

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## ***Central Management***

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### ***Department Revenues to Cost Ratio***

This is a measure of the ratio of the Department's general revenue receipts divided by the Department's general revenue expenditures. This ratio will translate into the amount the department returns to the state for each general revenue dollar spent, or simply the department's return on investment. This measure will be reported monthly.

The Department's goal is to generate \$3.00 in revenue for every \$1.00 spent, or a 3:1 return on investment.

### ***Average Age of Employee Technology***

This is a measure of the average age of computer hardware currently utilized by personnel within the department. The actual age of the hardware in FY 2012 is currently being assessed. The measurement is listed in terms of months and will be reported monthly.

The Department's goal is for the average age of employee's personal hardware to be 50 months or less.

### ***Average Age of Office Technology***

This is a measure of the average age of office technology, exclusive of employees' computer hardware, currently utilized within the department. The actual age of the hardware in FY 2012 is currently being assessed. The measurement is listed in terms of months and will be reported monthly.

### ***Percent of Licenses Issued Online***

This is a measure of the percentage of licenses that are completed online as compared to all licenses processed by the Department. This measure will be reported annually.

### ***Percentage of Department Rules and Regulations Reviewed***

This is a measure of the percentage of Department rules and regulations that are reviewed each fiscal year as compared to the total of all Department rules and regulations. This measure will be reported annually.

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# Department Of Business Regulation Performance Measure Narratives

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## ***Banking Regulation***

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### ***Average Time To Issue Licenses***

This is a measure of the average time needed (in days) to complete the licensing process from initial receipt of the application to license issuance. The Department is currently assessing the processing time for FY 2012 and will develop goals based on the results of this assessment. This measure will be reported monthly.

### ***Average Time to Conduct Examinations***

This is a measure of the average time needed (in days) to complete the examination process from initial contact to report issuance. The Department is currently assessing the processing time for FY 2012 and will develop goals based on the results of this assessment. This measure will be reported monthly.

### ***Percentage of Examinations Considered Current***

This is a measure of the percentage of examinations that are considered current in terms of the Department's accreditation mandate. This measure will be reported monthly.

### ***Percentage of Complaint Cases Closed Versus Received***

This is a measure of the percentage of complaint cases closed versus complaint cases received. This measure will be reported monthly.

### ***Average Time to Resolve Complaints***

This is a measure of the average time needed (in days) to resolve complaints, either by dismissal, sanction with fine, sanction without fine or deemed as outside of the Division's investigative scope. This measure will be reported monthly.

### ***Customer Satisfaction Survey***

This is a measure of the results of a customer satisfaction survey based on an interested party's interaction with the Division. This measure will be reported annually.

### ***Division Revenues to Cost Ratio***

This is a measure of the ratio of the Division's revenue receipts divided by the Division's general revenue expenditures. This ratio will translate into amount the department returns to the state for each general revenue dollar spent or simply the department's return on investment. This measure will be reported monthly.

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# Department Of Business Regulation Performance Measure Narratives

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## ***Securities Regulation***

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### ***Average Time to Issue Licenses***

This is a measure of the average time needed (in days) to complete the license process from initial receipt to license issuance. This measure will be reported monthly.

### ***Average Time to Conduct Examinations***

This is a measure of the average time needed (in days) to complete the examination process from initial contact to report issuance. This measure will be reported monthly.

### ***Percentage of Examinations Considered Current***

This is a measure of the percentage of examinations that are considered current in terms of the Department's accreditation mandate. This measure will be reported monthly.

### ***Percentage of Complaint Cases Closed Versus Received***

This is a measure of the percentage of complaint cases received versus complaint cases received. This measure will be reported monthly.

### ***Average Time to Resolve Complaints***

This is a measure of the average time needed (in days) to resolve complaints, either by dismissal, sanction with fine, sanction without fine or deemed as outside of the Division's investigative scope. This measure will be reported monthly.

### ***Customer Satisfaction Survey***

This is a measure of the results of a customer satisfaction survey based on an interested party's interaction with the Division. This measure will be reported annually.

### ***Division Revenues to Cost Ratio***

This is a measure of the ratio of the Division's revenue receipts divided by the Division's general revenue expenditures. This ratio will translate into amount the department returns to the state for each general revenue dollar spent or simply the department's return on investment.

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# Department Of Business Regulation Performance Measure Narratives

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## ***Insurance Regulation***

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### ***Average Time to Issue Licenses***

This is a measure of the average time needed (in days) to complete the license process from initial receipt to license issuance. This measure will be reported monthly.

### ***Average Time to Conduct Examinations***

This is a measure of the average time needed (in days) to complete the examination process from initial contact to report issuance. This measure will be reported monthly.

### ***Percentage of Examinations Considered Current***

This is a measure of the percentage of examinations that are considered current in terms of the Department's accreditation mandate. This measure will be reported monthly.

### ***Percentage of Complaint Cases Closed Versus Received***

This is a measure of the percentage of complaint cases received versus complaint cases received. This measure will be reported monthly.

### ***Average Time to Resolve Complaints***

This is a measure of the average time needed (in days) to resolve complaints, either by dismissal, sanction with fine, sanction without fine or deemed as outside of the Division's investigative scope. This measure will be reported monthly.

### ***Customer Satisfaction Survey***

This is a measure of the results of a customer satisfaction survey based on an interested party's interaction with the Division. This measure will be reported annually.

### ***Division Revenues to Cost Ratio***

This is a measure of the ratio of the Division's revenue receipts divided by the Division's general revenue expenditures. This ratio will translate into amount the department returns to the state for each general revenue dollar spent or simply the department's return on investment.

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# Department Of Business Regulation Performance Measure Narratives

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## ***Commercial Licensing, Racing & Athletics***

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### ***Average Time to Issue Licenses***

This is a measure of the average time needed (in days) to complete the license process from initial receipt to license issuance. This measure will be reported monthly.

### ***Average Time to Conduct Inspections***

This is a measure of the average time needed (in days) to complete the inspection process from initial contact to report issuance. This measure will be reported monthly.

### ***Percentage of Examinations Considered Current***

This is a measure of the percentage of examinations that are considered current in terms of the Department's accreditation mandate. This measure will be reported monthly.

### ***Percentage of Complaint Cases Closed Versus Received***

This is a measure of the percentage of complaint cases received versus complaint cases received. This measure will be reported monthly.

### ***Average Time to Resolve Complaints***

This is a measure of the average time needed (in days) to resolve complaints, either by dismissal, sanction with fine, sanction without fine or deemed as outside of the Division's investigative scope. This measure will be reported monthly.

### ***Customer Satisfaction Survey***

This is a measure of the results of a customer satisfaction survey based on an interested party's interaction with the Division. This measure will be reported annually.

### ***Division Revenues to Cost Ratio***

This is a measure of the ratio of the Division's revenue receipts divided by the Division's general revenue expenditures. This ratio will translate into amount the department returns to the state for each general revenue dollar spent or simply the department's return on investment.

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# Department Of Business Regulation Performance Measure Narratives

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## ***Boards for Design Professionals***

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### ***Average Time to Issue Licenses***

This is a measure of the average time needed (in days) to complete the license process from initial receipt to license issuance. This measure will be reported monthly.

### ***Average Time to Resolve Complaints***

This is a measure of the average time needed (in days) to resolve complaints, either by dismissal, sanction with fine, sanction without fine or deemed as outside of the Division's investigative scope. This measure will be reported monthly.

### ***Customer Satisfaction Survey***

This is a measure of the results of a customer satisfaction survey based on an interested party's interaction with the Division. This measure will be reported annually.

### ***Division Revenues to Cost Ratio\****

This is a measure of the ratio of the Division's revenue receipts divided by the Division's general revenue expenditures. This ratio will translate into amount the department returns to the state for each general revenue dollar spent or simply the department's return on investment.

\* Design Professional's varying objectives due to odd/even year renewals.

### ***Percentage of Complaint Cases Closed Versus Received***

This is a measure of the percentage of complaint cases closed versus complaint cases received. This measure will be reported monthly.



# Agency

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## Department Of Labor And Training

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### Agency Mission

To provide the public programs for workforce development, income support, injured workers services, and workforce regulation and safety that exceed customer expectations, lead to an improved economy, and enhance the quality of life for all residents.

### Agency Description

The Department of Labor and Training provides a comprehensive array of employment and training services to Rhode Islanders and administers the laws governing workforce regulation, safety and labor law enforcement. The Department consists of the following six programs: Executive Management, Income Support, Workforce Development Services, Worker's Compensation, Workforce Regulation and Safety and the Labor Relations Board.

The Executive Management Program is responsible for strategic planning, policy and oversight to promote all departmental functions and to ensure the efficient and effective use of federal and state resources.

The Income Support Program encompasses all functions and activities related to Unemployment Insurance, Temporary Disability Insurance, and the Police and Fire Relief Fund.

The Workforce Development Program consists of employment and training programs designed to help individuals find gainful employment and employers' suitable workers. It includes the Governor's Workforce Board Rhode Island develops of strategic plans, policies, and program development to coordinate employment and training related programs link these activities with key partners and stakeholder to create and address a demand-driven workforce agenda for the state.

The Workers Compensation Program operates the State's Workers' Compensation System. The Dr. Donley Center provides rehabilitation services for workers injured on the job. The Workers' Compensation Education unit provides information to workers and employers regarding Workers' Compensation laws and regulations.

The Workforce Regulation and Safety Program is responsible for enforcing laws relating to professional regulation, labor standards, occupational health and safety and certification of weights and measures.

The Labor Relations Board is responsible for public sector bargaining unit determinations, collective bargaining elections, and investigations of charges of unfair practices.

### Statutory History

R.I.G.L. 42-16 created the department in 1996. R.I.G.L. 42-6 authorizes the appointment of the Director of Labor and Training.

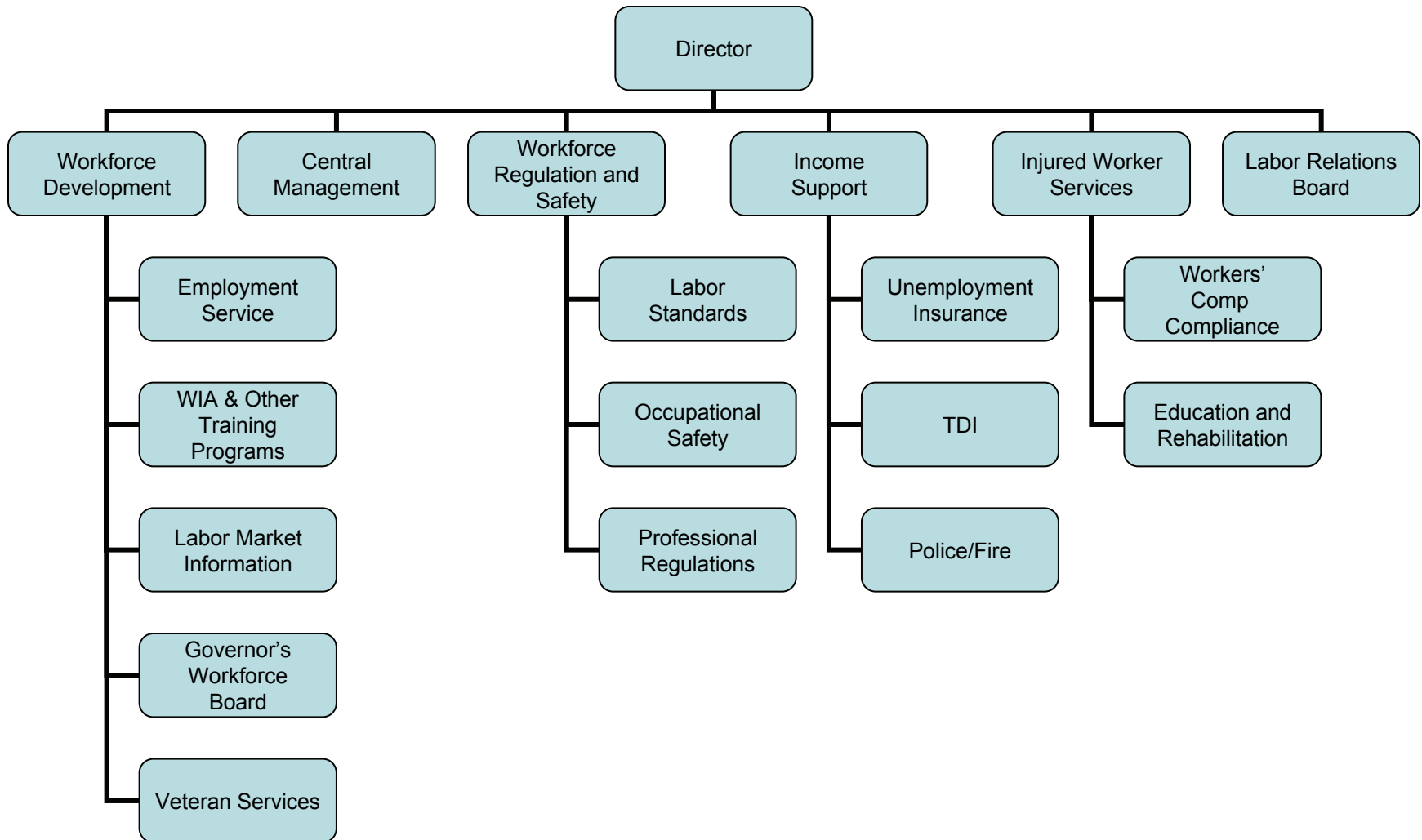
# Budget

## Department Of Labor And Training

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	440,415	537,623	1,626,414	1,905,938	779,048
Workforce Development Services	40,213,104	40,242,788	36,033,528	34,810,888	29,716,864
Workforce Regulation and Safety	2,045,193	2,498,957	2,901,435	2,881,080	2,994,552
Income Support	971,273,004	860,890,422	522,153,651	801,782,352	509,496,679
Injured Workers Services	7,787,309	7,990,077	8,555,089	9,164,522	9,151,106
Labor Relations Board	371,898	361,720	396,538	383,631	292,185
<b>Total Expenditures</b>	<b>\$1,022,130,923</b>	<b>\$912,521,587</b>	<b>\$571,666,655</b>	<b>\$850,928,411</b>	<b>\$552,430,434</b>
<b>Expenditures By Object</b>					
Personnel	40,186,179	43,550,338	46,006,256	48,090,369	35,623,735
Operating Supplies and Expenses	4,744,752	5,514,421	4,975,312	5,723,993	7,244,485
Assistance and Grants	959,303,760	834,067,140	491,183,730	724,534,477	460,117,605
<b>Subtotal: Operating Expenditures</b>	<b>1,004,234,691</b>	<b>883,131,899</b>	<b>542,165,298</b>	<b>778,348,839</b>	<b>502,985,825</b>
Capital Purchases and Equipment	754,775	462,760	1,547,594	3,118,233	528,996
Debt Service (Fixed Charges)	-	4,699,478	-	25,683,300	18,572,493
Operating Transfers	17,141,457	24,227,450	27,953,763	43,778,039	30,343,120
<b>Total Expenditures</b>	<b>\$1,022,130,923</b>	<b>\$912,521,587</b>	<b>\$571,666,655</b>	<b>\$850,928,411</b>	<b>\$552,430,434</b>
<b>Expenditures By Funds</b>					
General Revenue	6,308,677	6,902,868	7,575,486	7,632,540	7,640,415
Federal Funds	330,506,335	234,108,321	99,763,402	212,951,110	43,521,074
Restricted Receipts	19,182,847	20,821,559	17,104,361	43,435,879	36,700,976
Operating Transfers from Other Funds	7,854	3,450	978,500	1,192,500	310,500
Other Funds	666,125,210	650,685,389	446,244,906	585,716,382	464,257,469
<b>Total Expenditures</b>	<b>\$1,022,130,923</b>	<b>\$912,521,587</b>	<b>\$571,666,655</b>	<b>\$850,928,411</b>	<b>\$552,430,434</b>
<b>FTE Authorization</b>	<b>514.4</b>	<b>512.2</b>	<b>470.2</b>	<b>470.1</b>	<b>364.4</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	13.6%	19.1%	19.0%	19.0%	19.0%
Females as a Percentage of the Workforce	68.4%	70.2%	68.2%	68.2%	68.2%
Persons with Disabilities as a Percentage of the Workforce	2.8%	2.6%	2.8%	2.8%	2.8%

# The Agency

## Department of Labor and Training



# Personnel

## Department Of Labor And Training Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Classified	452.5	24,953,846	452.5	25,337,700
Unclassified	17.6	1,615,696	17.6	1,544,839
Cost Allocation from Other Programs	21.7	1,182,187	21.3	1,212,955
Cost Allocation to other programs	(21.7)	(1,182,187)	(21.3)	(1,212,955)
Overtime	-	467,000	-	250,000
Program Reduction	-	-	(105.7)	(6,001,978)
Turnover	-	(724,349)	-	(780,647)
<b>Total Salaries</b>	<b>470.1</b>	<b>\$26,312,193</b>	<b>364.4</b>	<b>\$20,349,914</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	201,872
FICA	-	2,012,911	-	1,556,767
Medical	-	5,251,830	-	3,758,619
Payroll Accrual	-	-	-	81,024
Retiree Health	-	1,826,995	-	1,438,852
Retirement	-	5,919,185	-	4,257,058
<b>Total Salaries and Benefits</b>	<b>470.1</b>	<b>\$41,323,114</b>	<b>364.4</b>	<b>\$31,644,106</b>
Cost Per FTE Position		\$87,903		\$86,839
Statewide Benefit Assessment	-	965,925	-	753,747
<b>Payroll Costs</b>	<b>470.1</b>	<b>\$42,289,039</b>	<b>364.4</b>	<b>\$32,397,853</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance	-	2,540	-	2,563
Clerical and Temporary Services	-	178,554	-	179,569
Information Technology	-	2,858,656	-	656,926
Legal Services	-	812,204	-	523,143
Management and Consultant Services	-	10,000	-	10,000
Medical Services	-	1,538,720	-	1,514,605
Other Contract Services	-	330,981	-	278,296
Training and Educational Services	-	69,675	-	60,780
<b>Total Personnel</b>	<b>470.1</b>	<b>\$48,090,369</b>	<b>364.4</b>	<b>\$35,623,735</b>
<b>Distribution by Source of Funds</b>				

# Personnel

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## Department Of Labor And Training Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
General Revenue	30.9	3,266,509	31.5	3,295,184
Federal Funds	311.5	30,386,595	204.3	17,659,192
Restricted Receipts	75.6	10,001,089	76.5	9,813,157
Other Funds	52.1	4,436,176	52.1	4,856,202
<b>Total All Funds</b>	<b>470.1</b>	<b>\$48,090,369</b>	<b>364.4</b>	<b>\$35,623,735</b>

# The Program

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## Department Of Labor And Training Central Management

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### **Program Mission**

To provide leadership, management and strategic planning in the development and implementation of a cost efficient and productive system of service delivery.

To provide competent legal representation and consultation to all departmental staff requiring such service.

To provide comprehensive financial management, staff development and management information services to all divisions within the department.

### **Program Description**

Organized through the Director's office, the Executive Management Program provides leadership, management, planning and program oversight for all departmental activities. An important aspect of the Executive Management program involves the sharing of information with the Department and the Governor's staff, other department directors and agency heads, U.S. Department of Labor representatives, state and federal legislators, local employment and training officials and professional service organizations.

The Executive Management Program provides administrative services for the Department including, legal services, purchasing, and financial management. The Legal Services unit litigates for the department, interprets law and regulations, and provides counsel to the Director and staff on complex legal issues. The Facilities Management and Purchasing Units manage purchasing functions, operate a central stock and mail room, and coordinate the maintenance and support of facilities and other ancillary services. The Financial Management unit prepares the department's budgets, performs appropriation control and cash management functions, and is responsible for all federal and state financial reporting requirements. The Human Resources, Facilities Management and Information Systems functions are administered in collaboration with the Department of Administration. The Human Resources unit processes all personnel actions, maintains central personnel files and assists with labor relations. The Information Services unit provides the coordination, planning, technical evaluation and implementation of information systems.

### **Statutory History**

Title 42 of the Rhode Island General Laws establishes the responsibilities of the Director.

# The Budget

## Department Of Labor And Training Central Management

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	440,415	537,623	1,626,414	1,905,938	779,048
<b>Total Expenditures</b>	<b>\$440,415</b>	<b>\$537,623</b>	<b>\$1,626,414</b>	<b>\$1,905,938</b>	<b>\$779,048</b>
<b>Expenditures By Object</b>					
Personnel	409,932	481,317	591,243	389,886	385,899
Operating Supplies and Expenses	23,983	53,726	53,154	57,608	80,111
Assistance and Grants	2,302	2,270	2,348	2,270	2,315
<b>Subtotal: Operating Expenditures</b>	<b>436,217</b>	<b>537,313</b>	<b>646,745</b>	<b>449,764</b>	<b>468,325</b>
Capital Purchases and Equipment	4,198	310	979,669	1,456,174	310,723
<b>Total Expenditures</b>	<b>\$440,415</b>	<b>\$537,623</b>	<b>\$1,626,414</b>	<b>\$1,905,938</b>	<b>\$779,048</b>
<b>Expenditures By Funds</b>					
General Revenue	59,626	97,014	113,640	122,327	107,310
Restricted Receipts	372,935	437,159	534,274	591,111	361,238
Operating Transfers from Other Funds	7,854	3,450	978,500	1,192,500	310,500
<b>Total Expenditures</b>	<b>\$440,415</b>	<b>\$537,623</b>	<b>\$1,626,414</b>	<b>\$1,905,938</b>	<b>\$779,048</b>

# Personnel

## Department Of Labor And Training Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Senior DET Business Officer	0324A	0.2	16,614	0.2	16,614
Fiscal Management Officer	0B26A	1.5	102,184	1.5	102,184
DLT Business Officer	0321A	0.2	11,958	0.2	11,958
Asst. Dir. Workers Comp. & Se. Inc. Dol.	0138A	0.2	11,922	0.2	11,922
Employee and Training Assistant	0316A	0.1	4,868	0.1	4,868
<b>Subtotal</b>		<b>2.2</b>	<b>\$147,546</b>	<b>2.2</b>	<b>\$147,546</b>
<b>Unclassified</b>					
Legal Counsel - ES	0889F	0.8	72,381	0.8	72,381
<b>Subtotal</b>		<b>0.8</b>	<b>\$72,381</b>	<b>0.8</b>	<b>\$72,381</b>
Turnover		-	-	-	-
<b>Subtotal</b>		-	-	-	-
<b>Total Salaries</b>		<b>3.0</b>	<b>\$219,927</b>	<b>3.0</b>	<b>\$219,927</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,200
FICA		-	16,824	-	16,824
Medical		-	51,308	-	57,508
Payroll Accrual		-	-	-	879
Retiree Health		-	15,087	-	15,087
Retirement		-	50,539	-	46,577
<b>Subtotal</b>		-	<b>\$133,758</b>	-	<b>\$139,075</b>
<b>Total Salaries and Benefits</b>		<b>3.0</b>	<b>\$353,685</b>	<b>3.0</b>	<b>\$359,002</b>
Cost Per FTE Position			\$117,895		\$119,667
Statewide Benefit Assessment		-	8,247	-	8,247
<b>Subtotal</b>		-	<b>\$8,247</b>	-	<b>\$8,247</b>
<b>Payroll Costs</b>		<b>3.0</b>	<b>\$361,932</b>	<b>3.0</b>	<b>\$367,249</b>
<b>Purchased Services</b>					
Information Technology		-	646	-	656
Legal Services		-	26,540	-	17,213
Other Contract Services		-	768	-	781
<b>Subtotal</b>		-	<b>\$27,954</b>	-	<b>\$18,650</b>
<b>Total Personnel</b>		<b>3.0</b>	<b>\$389,886</b>	<b>3.0</b>	<b>\$385,899</b>



# Personnel

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## Department Of Labor And Training Central Management

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		0.8	113,039	0.8	104,798
Restricted Receipts		2.2	276,847	2.2	281,101
<b>Total All Funds</b>		<b>3.0</b>	<b>\$389,886</b>	<b>3.0</b>	<b>\$385,899</b>

# The Program

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## Department Of Labor And Training Workforce Development Services

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### **Program Mission**

To administer employment and training service programs to match job seekers with suitable job openings, and employers with suitable workers. To provide up-to-date labor market information to workers, employers and students and to help individuals secure employment.

### **Program Description**

The Workforce Development Services Program consists of several sub-programs that are designed to help individuals find meaningful work and assist them with basic readjustment and retraining.

The Employment Service program provides our customers with employment counseling, occupational exploration, aptitude test and performance testing, career guidance, job search workshops, resume writing seminars, and referrals to training programs. Individuals served as a target population such as Veterans or Trade are offered these same services by specialized staff. For example, in serving Veterans these services are provided by representatives who are Veterans and they are given priority for referrals to job openings.

The Workforce Investment Act program provides employment and training programs to prepare youth, unskilled adults, and dislocated workers for entry or re-entry into the labor force. It offers vocational planning, job search workshops, work readiness training, classroom training, and on-the-job training.

The Trade Act (TRADE) of 1974 provides a wide array of services that assist trade-affected workers who have lost their jobs due to increased imports or a shift in production out of the United States. Services provided include job search assistance, case management, interest and aptitude assessment, educational and occupational training, on-the-job training, incentives to individuals who are seeking alternatives to standard training programs by providing a wage subsidy. Additional services provided include Job Search and Relocation Allowances as well as Health Coverage Tax Credit program which provides 65% reimbursement of monthly health care premiums.

The RI Works program provides a broad array of services to beneficiaries of Temporary Assistance for Needy Families (TANF) who must work as a first step in their employment plan. Job search skills, resume writing seminars, vocational counseling and a series of work preparation workshops are provided to TANF beneficiaries to help them get a job as quickly as possible. Additional skills building, training and education opportunities are explored once the work requirement has been achieved.

### **Statutory History**

The Federal Social Security Act of 1935 and the Wagner-Peyser Act created state employment service programs. The Workforce Investment Act of 1998 created state job development and training programs. The Trade Act of 1974 created the Trade Act. R.I.G.L. 42-102 created the Rhode Island Human Resource Investment Council programs.

# The Budget

## Department Of Labor And Training Workforce Development Services

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Employment Services	10,853,308	9,779,758	3,308,157	2,413,881	3,925,241
JTPA & Other Training Programs	18,520,878	22,646,707	24,632,693	24,686,817	17,335,875
Labor Market Information	809,017	835,060	698,450	765,211	726,294
Governor's Workforce Board RI	9,605,322	6,380,022	6,694,730	6,349,553	7,126,139
Veteran Services	424,579	601,241	699,498	595,426	603,315
<b>Total Expenditures</b>	<b>\$40,213,104</b>	<b>\$40,242,788</b>	<b>\$36,033,528</b>	<b>\$34,810,888</b>	<b>\$29,716,864</b>
<b>Expenditures By Object</b>					
Personnel	11,608,148	13,339,983	13,966,055	12,805,271	11,220,443
Operating Supplies and Expenses	1,670,813	2,557,237	1,623,950	1,898,934	2,337,290
Assistance and Grants	25,648,649	23,222,713	18,902,483	19,125,032	15,392,008
<b>Subtotal: Operating Expenditures</b>	<b>38,927,610</b>	<b>39,119,933</b>	<b>34,492,488</b>	<b>33,829,237</b>	<b>28,949,741</b>
Capital Purchases and Equipment	256,970	145,370	217,939	64,554	44,260
Operating Transfers	1,028,524	977,485	1,323,101	917,097	722,863
<b>Total Expenditures</b>	<b>\$40,213,104</b>	<b>\$40,242,788</b>	<b>\$36,033,528</b>	<b>\$34,810,888</b>	<b>\$29,716,864</b>
<b>Expenditures By Funds</b>					
General Revenue	69,115	-	-	-	-
Federal Funds	30,493,667	33,809,335	29,292,898	28,461,335	22,590,725
Restricted Receipts	9,605,322	6,380,022	6,694,730	6,349,553	7,126,139
Other Funds	45,000	53,431	45,900	-	-
<b>Total Expenditures</b>	<b>\$40,213,104</b>	<b>\$40,242,788</b>	<b>\$36,033,528</b>	<b>\$34,810,888</b>	<b>\$29,716,864</b>
<b>Program Measures</b>					
Workforce Investment Act (WIA) Adult - Entered Employment Rate (EER)	62.8%	64.5%	-	-	-
Objective	81.5%	59.0%	-	N/A	N/A
Workforce Investment Act (WIA) Adult - Employment Retention Rate (ERR)	86.2%	85.3%	-	-	-
Objective	80.5%	83.1%	-	N/A	N/A
Workforce Investment Act (WIA)- Dislocated Worker - EER	65.6%	69.1%	-	-	-
Objective	84.1%	63.0%	-	N/A	N/A
Workforce Investment Act (WIA)- Dislocated Worker - ERR	88.2%	88.4%	-	-	-
Objective	88.1%	85.0%	-	N/A	N/A
Wagner-Peyser - Entered Employment Rate (EER)	51.0%	51.0%	-	-	-
Objective	60.0%	50.0%	-	N/A	N/A

Wagner-Peyser - Employment Retention Rate (ERR)	80.0%	80.0%	-	-	-
Objective	72.0%	72.0%		N/A	N/A
TRADE ADJUSTMENT ASSISTANCE EXTENSION ACT (OCTOBER 1, 2011) • Entered Employment Rate (EER) – Measures the number of individuals that were not employed at participation and have exited the program and gained employment during the first quarter after exit	60.0%	63.0%	-	-	-
Objective	64.9%	58.0%		N/A	N/A
TRADE ADJUSTMENT ASSISTANCE EXTENSION ACT (OCTOBER 1, 2011) • Employment Retention Rate (ERR) – Measures the number of individuals that have exited the program, are employed during the first quarter after exit and retained employment during both the seco	89.0%	92.0%	-	-	-
Objective	87.3%	83.2%		N/A	N/A

# Personnel

## Department Of Labor And Training Workforce Development Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director (DLT)	0144A	0.2	34,350	0.2	34,350
Assistant Director Labor Mkt Info & Mgmt	0139A	0.3	47,211	0.3	47,211
Asst. Dir. Financial & Contr. Mgmt.	0141A	0.2	27,837	0.2	27,886
Assistant Director Employment & Training	0139A	1.0	92,267	1.0	97,368
Employment and Training Administrator	0135A	3.1	274,884	3.1	274,855
Admin. Financial Management	0137A	1.2	104,899	1.2	108,856
Prin. DET Business Officer	0127A	0.3	24,488	0.3	24,488
Asst. Director Plan/Prog Dev	0139A	0.3	24,350	0.3	24,350
Supervising DET Business Officer	0132A	0.3	24,092	0.3	24,092
Chief of Labor and Training Operations	0134A	7.0	548,354	7.0	565,611
Manager of Printing & Other Services	0125A	0.2	15,187	0.2	15,187
Coord. Employment & Training Programs	0131A	12.1	852,676	12.1	872,686
Programmer/Analyst ICOBOL/CICS	0328A	1.0	68,064	1.0	68,064
Management Asst. Supervisor	0131A	1.8	118,809	1.8	118,809
Asst. Coord. Employment and Training Prog	0129A	12.9	823,112	12.9	841,339
Sr. Management & Methods Analyst	0325A	0.3	18,844	0.3	18,844
Chief Implementation Aide	0128A	1.0	61,338	1.0	61,338
Principal Research Technician	0127A	1.9	115,577	1.9	117,379
Sr. Employment & Training Manager	0128A	2.7	161,151	2.7	165,952
Senior DET Business Officer	0324A	2.2	131,235	2.2	131,235
Programming Services Officer	0131A	2.0	116,102	2.0	122,508
Supervisor of Office Services	0131A	0.3	17,415	0.3	18,376
Employment & Training Mntng Eval Spec	0324A	2.0	112,775	2.0	112,775
Sr Research Technician	0323A	1.0	55,414	1.0	55,471
DLT Business Officer	0321A	1.4	73,600	1.4	73,758
Business Services Specialist	0324A	10.9	555,046	10.9	565,107
Principal Employment & Train Interviewer	0323A	41.2	2,085,961	41.2	2,116,984
Sr. Employment & Trng Mntng Eval Spec	0126A	5.0	250,172	5.0	260,447
Office Manager	0123A	2.4	118,080	2.4	119,361
Senior Computer Operator	0318A	0.3	13,901	0.3	13,901
Employment and Training Assistant	0316A	5.2	232,080	5.2	233,906
Senior Emp. & Training Interviewer	0320A	6.0	265,812	6.0	273,608
Local Veterans Employ Rep	0320A	3.0	126,073	3.0	128,391
Research Technician	0319A	3.7	155,105	3.7	158,181
Disabled Veterans Job Assistant	0320A	3.0	118,009	3.0	122,279
<b>Subtotal</b>		<b>137.4</b>	<b>\$7,864,270</b>	<b>137.4</b>	<b>\$8,014,953</b>
<b>Unclassified</b>					
Director, Dept. of Labor & Training	0948F	0.3	39,046	0.3	39,046
Executive Counsel	0839A	0.1	12,508	0.1	13,158
Executive Director	0839A	1.0	83,676	1.0	90,423
Legal Counsel - ES	0889F	0.8	57,477	0.8	57,477
Special Assistant	0829A	0.3	20,514	0.3	21,571
Administrative Assistant/Secretary	0821A	1.0	57,332	1.0	57,332
<b>Subtotal</b>		<b>3.5</b>	<b>\$270,553</b>	<b>3.5</b>	<b>\$279,007</b>

# Personnel

## Department Of Labor And Training Workforce Development Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Cost Allocation from Other Programs		10.9	599,735	11.1	638,645
Cost Allocation to Other Programs		(10.9)	(599,735)	-	-
Program Reduction		-	-	(37.0)	(2,018,928) <sup>(1)</sup>
Turnover		-	(335,174)	-	-
<b>Subtotal</b>		-	<b>(\$335,174)</b>	<b>(25.9)</b>	<b>(\$1,380,283)</b>
<b>Total Salaries</b>		<b>140.9</b>	<b>\$7,799,649</b>	<b>115.0</b>	<b>\$6,913,677</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	69,138
FICA		-	596,672	-	528,896
Medical		-	1,497,602	-	1,189,973
Payroll Accrual		-	-	-	27,655
Retiree Health		-	535,054	-	474,278
Retirement		-	1,792,360	-	1,464,244
<b>Subtotal</b>		-	<b>\$4,421,688</b>	-	<b>\$3,754,184</b>
<b>Total Salaries and Benefits</b>		<b>140.9</b>	<b>\$12,221,337</b>	<b>115.0</b>	<b>\$10,667,861</b>
Cost Per FTE Position			\$86,738		\$92,764
Statewide Benefit Assessment		-	292,488	-	259,264
<b>Subtotal</b>		-	<b>\$292,488</b>	-	<b>\$259,264</b>
<b>Payroll Costs</b>		<b>140.9</b>	<b>\$12,513,825</b>	<b>115.0</b>	<b>\$10,927,125</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	37	-	38
Clerical and Temporary Services		-	76,790	-	76,807
Information Technology		-	27,763	-	27,890
Management and Consultant Services		-	10,000	-	10,000
Other Contract Services		-	157,938	-	159,504
Training and Educational Services		-	18,918	-	19,079
<b>Subtotal</b>		-	<b>\$291,446</b>	-	<b>\$293,318</b>
<b>Total Personnel</b>		<b>140.9</b>	<b>\$12,805,271</b>	<b>115.0</b>	<b>\$11,220,443</b>
<b>Distribution By Source Of Funds</b>					
Federal Funds		121.7	11,061,807	94.3	9,223,290
Restricted Receipts		19.2	1,743,464	20.7	1,997,153
<b>Total All Funds</b>		<b>140.9</b>	<b>\$12,805,271</b>	<b>115.0</b>	<b>\$11,220,443</b>

# Personnel

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## Department Of Labor And Training Workforce Development Services

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Grade	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost

*1 The reduction of (37.0 FTE) positions as a result of federal financing no longer being available.*

# The Program

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## Department Of Labor And Training Workforce Regulation and Safety

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### **Program Mission**

To impartially administer the labor laws designed to protect consumers, employees, and employers and to ensure the Rhode Island workplace is a safe, competitive, fair environment to work or conduct business.

### **Program Description**

Workforce Regulation & Safety is a regulatory division charged with enforcing the safety laws that protect the state's workforce for fair collection of wages, child labor laws, safety in public buildings, trade licensing, apprenticeship training, hazardous substance exposure, weights and measures, and prevailing wage laws. This is accomplished through licensing, inspection programs, educational programs, and enforcement of the various labor laws.

The Labor Standards unit enforces labor laws. It provides for worker protection in the areas of wages and hours, including but not limited to payment and collection of wages, minimum wages, and overtime provisions. The division also enforces laws regarding work permits on Sundays and holidays, child labor, parental and family leave, and industrial homework.

The Occupational Safety unit safeguards public and private sectors workplace environments by enforcing laws relating to safety compliance, elevators, boilers, and hazardous substances.

The Trade Licensing unit licenses trade members, and monitors and enforces trade laws pertaining to electricians, hoisting engineers, pipefitters, refrigeration technicians, sprinkler fitters, plumbers, sheet metal workers and telecommunications technicians. Staff responsibilities include conducting on-site inspections to safeguard the health, safety, and welfare of the general public.

The Registered Apprenticeship unit registers apprenticeship training programs. The apprentice training programs are essential in ensuring the creation of criteria for apprenticed occupations, related instruction and the necessary credentialing for a skilled trade workforce. The apprenticeship program also plays an important role in career and vocational day programs in the middle schools, high schools and charter schools in Rhode Island by introducing young students to alternative career choices by providing on-site informational sessions.

The Prevailing Wage unit is responsible for preventing unfair competition and worker exploitation. This is accomplished by enforcing prevailing wage rates for hours worked on public construction projects and ensuring that prevailing wages are paid in accordance with the laws.

### **Statutory History**

In 1939, R.I.G.L. 42-16 established the Department of Labor and defined its functions. The Department of Labor and the Department of Employment and Training were merged into the Department of Labor and Training effective August 6, 1996 by 96-H-8219 Sub A.



# The Budget

## Department Of Labor And Training Workforce Regulation and Safety

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Labor Standards	408,710	339,292	367,415	364,794	368,948
Occupational Safety	799,237	889,055	1,018,185	1,010,796	1,126,563
Professional Regulations	837,246	1,270,610	1,515,835	1,505,490	1,499,041
<b>Total Expenditures</b>	<b>\$2,045,193</b>	<b>\$2,498,957</b>	<b>\$2,901,435</b>	<b>\$2,881,080</b>	<b>\$2,994,552</b>
<b>Expenditures By Object</b>					
Personnel	1,921,224	2,359,738	2,760,613	2,724,985	2,852,560
Operating Supplies and Expenses	117,257	132,970	118,414	134,282	135,615
Assistance and Grants	1,579	1,530	1,610	1,545	1,561
<b>Subtotal: Operating Expenditures</b>	<b>2,040,060</b>	<b>2,494,238</b>	<b>2,880,637</b>	<b>2,860,812</b>	<b>2,989,736</b>
Capital Purchases and Equipment	5,133	4,719	20,798	20,268	4,816
<b>Total Expenditures</b>	<b>\$2,045,193</b>	<b>\$2,498,957</b>	<b>\$2,901,435</b>	<b>\$2,881,080</b>	<b>\$2,994,552</b>
<b>Expenditures By Funds</b>					
General Revenue	2,045,193	2,498,957	2,901,435	2,881,080	2,994,552
<b>Total Expenditures</b>	<b>\$2,045,193</b>	<b>\$2,498,957</b>	<b>\$2,901,435</b>	<b>\$2,881,080</b>	<b>\$2,994,552</b>
<b>Program Measures</b>					
Sara Title III	100.0%	100.0%	100.0%	100.0%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%
Number of Annual Registrations	50.0%	60.0%	60.0%	60.0%	60.0%
Objective	100.0%	100.0%		100.0%	100.0%
Prevailing Wage Program - Number of Closed Cases	N/A	N/A	N/A	N/A	N/A
Objective	N/A	N/A		N/A	N/A
Labor Standards - Number of Closed Cases	N/A	N/A	N/A	N/A	N/A
Objective	N/A	N/A		N/A	N/A

# Personnel

## Department Of Labor And Training Workforce Regulation and Safety

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director	0144A	0.2	21,010	0.2	21,010
Administrator Financial Management	0137A	0.1	9,578	0.1	9,578
Asst Director Financial & Central Mgmt	0141A	0.1	9,194	0.1	9,210
Sr Chief Inspector Pipefitters & Refr Tech	0335A	1.0	90,446	1.0	90,446
Employment & Training Administrator	0135A	2.1	186,353	2.1	186,346
Chief of Labor & Training Operations	0134A	1.0	88,547	1.0	88,547
Asst Director Plan/Program Dvlp	0139A	0.1	8,117	0.1	8,117
Asst Adm Div of Occupational Safety	0332A	1.0	80,586	1.0	80,586
Supervising DET Business Officer	0132A	0.1	8,031	0.1	8,031
Chief Lic Examiner Div Comm Lic Reg	0333A	1.0	78,167	1.0	82,592
Asst Director for Employment & Training	0139A	1.0	77,626	1.0	81,967
Chief Labor Standard Examiner	0330A	1.0	75,742	1.0	75,742
Chief Compliance Inspector	0330A	1.0	75,544	1.0	75,544
Chief Boiler & Pres. Vessel Inspec.	0330A	1.0	74,935	1.0	74,935
Chief Prevailing Wage Investigator	0330A	1.0	73,786	1.0	73,786
Coordinator Employment & Training Programs	0131A	1.2	85,723	1.2	85,723
Chief Plumbing Investigator	0330A	1.0	70,393	1.0	71,519
Assistant Coordinator Employment & Training	0129A	0.3	20,298	0.3	20,298
Chief Electrical Invest (Bd Exam Elecr)	0330A	1.0	65,568	1.0	65,568
Chief Hoisting Engineer Investigator	0328A	1.0	65,568	1.0	65,568
Chief Elevator Inspector	0330A	1.0	64,414	1.0	67,275
Sr. Management & Methods Analyst	0325A	0.1	6,281	0.1	6,281
Asst Director Labor Market Info & Mgmt	0139A	0.1	5,825	0.1	5,825
Supervisor of Office Services	0131A	0.1	5,805	0.1	6,125
Seasonal Chief Elevator Inspector	40234H	1.0	56,217	1.0	56,217
Labor Standards Examiner	0322A	1.0	55,821	1.0	55,821
Supervisor Apprenticeship Training Program	0327A	1.0	55,228	1.0	57,777
Industrial Safety Tech (Boiler Inspection)	0322A	1.0	54,323	1.0	54,323
Manager of Printing & Other Services	0125A	0.2	10,781	0.2	10,781
DLT Business Officer	0321A	0.5	26,227	0.5	26,301
Implementation Aide	0322A	2.0	98,851	2.0	100,016
Appresticeship Training Coordinator	0324A	1.0	47,890	1.0	49,364
Sr Computer Operator	0318A	0.1	4,634	0.1	4,634
Prevailing Wage Investigator	0322A	1.0	45,828	1.0	47,435
Licensing Aide	0315A	1.0	45,244	1.0	45,244
Information Aide	0315A	1.0	44,491	1.0	44,491
Industrial Safety Spec. Occup. Safety	0322A	4.0	176,132	4.0	179,524
Sr. DET Business Officer	0324A	0.1	4,332	0.1	4,332
Interpreter (Spanish)	0316A	1.0	40,191	1.0	40,191
Office Manager	0123A	0.2	7,972	0.2	7,972
Employment & Training Assistant	0316A	2.4	90,981	2.4	92,606
Prin DET Business Officer	0127A	0.1	3,548	0.1	3,548
Assistant Coordinator Unemploy Insur Prog	0129A	0.1	3,338	0.1	3,338
<b>Subtotal</b>		<b>36.2</b>	<b>\$2,219,566</b>	<b>36.2</b>	<b>\$2,244,534</b>

# Personnel

## Department Of Labor And Training Workforce Regulation and Safety

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director Dept of Labor & Training	0948F	0.1	13,015	0.1	13,015
Executive Counsel	0839A	0.5	42,445	0.5	44,652
Legal Counsel - ES	0889F	1.5	117,438	1.5	117,438
Special Assistant	0829A	0.1	6,838	0.1	7,190
<b>Subtotal</b>		<b>2.2</b>	<b>\$179,736</b>	<b>2.2</b>	<b>\$182,295</b>
Cost Allocation to Other Programs		(10.8)	(582,452)	(10.2)	(574,310)
Turnover		-	(153,796)	-	(113,171)
<b>Subtotal</b>		<b>(10.8)</b>	<b>(\$736,248)</b>	<b>(10.2)</b>	<b>(\$687,481)</b>
<b>Total Salaries</b>		<b>27.6</b>	<b>\$1,663,054</b>	<b>28.2</b>	<b>\$1,739,348</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	17,393
FICA		-	127,224	-	133,060
Medical		-	347,485	-	373,889
Payroll Accrual		-	-	-	6,957
Retiree Health		-	114,085	-	119,319
Retirement		-	382,170	-	368,484
<b>Subtotal</b>		<b>-</b>	<b>\$970,964</b>	<b>-</b>	<b>\$1,019,102</b>
<b>Total Salaries and Benefits</b>		<b>27.6</b>	<b>\$2,634,018</b>	<b>28.2</b>	<b>\$2,758,450</b>
Cost Per FTE Position			\$95,435		\$97,817
Statewide Benefit Assessment		-	62,363	-	65,225
<b>Subtotal</b>		<b>-</b>	<b>\$62,363</b>	<b>-</b>	<b>\$65,225</b>
<b>Payroll Costs</b>		<b>27.6</b>	<b>\$2,696,381</b>	<b>28.2</b>	<b>\$2,823,675</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	6,018	-	6,077
Information Technology		-	4,892	-	4,940
Legal Services		-	12,019	-	12,138
Other Contract Services		-	5,675	-	5,730
<b>Subtotal</b>		<b>-</b>	<b>\$28,604</b>	<b>-</b>	<b>\$28,885</b>
<b>Total Personnel</b>		<b>27.6</b>	<b>\$2,724,985</b>	<b>28.2</b>	<b>\$2,852,560</b>

# Personnel

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## Department Of Labor And Training Workforce Regulation and Safety

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		27.6	2,724,985	28.2	2,852,560
<b>Total All Funds</b>		<b>27.6</b>	<b>\$2,724,985</b>	<b>28.2</b>	<b>\$2,852,560</b>

# The Program

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## Department Of Labor And Training Income Support

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### **Program Mission**

To administer the income support programs in a timely, efficient, and courteous manner with concentration on continuous improvement.

To comply with the regulations and guidelines established by the United States Department of Labor and seek methods to excel.

### **Program Description**

The mission of the Income Support Program is to provide customers with income support services in a timely, efficient and courteous manner. This mission is accomplished by providing accurate information; by interpreting and applying the state and federal laws, policies, and regulations in a fair and consistent manner for all customers; and by maintaining confidentiality of all information. The income support programs provide Unemployment Insurance, Temporary Disability Insurance, and Police and Fire Relief Benefits.

Unemployment Insurance provides temporary income support to workers who have lost employment through no fault of their own. While claiming benefits an individual must be able to work, be available for work, be actively seeking employment, and be willing to accept suitable work when it is offered. Applicants must meet a minimum earnings standard and state statute requirements in order to qualify for benefits. Unemployment Insurance benefits are funded from Rhode Island employer contributions based upon their experience rating.

Temporary Disability Insurance pays weekly benefits to individuals who are unable to work due to non-work related illness or injury. The disability must be certified by a qualified healthcare provider (QHP) and the disabled worker must meet a minimum earnings standard in order to qualify for benefits. The Temporary Disability Insurance Program is financed entirely from employee contributions.

Police and Fire Relief provides financial compensation to police officers, firefighters, and crash rescue personnel, correctional officers and DEM Officers and/or their families for death or disabling injuries. Tuition benefits are also provided for dependent children at Rhode Island state colleges or university.

### **Statutory History**

Title 28 Chapters 39-44 of the Rhode Island General Laws include general provisions relating to Unemployment Insurance and Temporary Disability Insurance programs. R.I.G.L. 45-19 relates to Police and Fire Funds.

# The Budget

## Department Of Labor And Training Income Support

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Unemployment Insurance	803,184,331	693,597,850	345,682,918	625,931,768	323,144,335
TDI	164,325,828	163,347,395	172,306,860	171,605,082	182,105,976
Fire and Police	3,762,845	3,945,177	4,163,873	4,245,502	4,246,368
<b>Total Expenditures</b>	<b>\$971,273,004</b>	<b>\$860,890,422</b>	<b>\$522,153,651</b>	<b>\$801,782,352</b>	<b>\$509,496,679</b>
<b>Expenditures By Object</b>					
Personnel	20,586,138	21,550,154	22,327,934	25,447,785	14,749,178
Operating Supplies and Expenses	2,545,605	2,392,694	2,607,647	3,104,221	3,751,853
Assistance and Grants	931,698,845	808,702,324	470,326,345	703,164,810	442,660,888
<b>Subtotal: Operating Expenditures</b>	<b>954,830,588</b>	<b>832,645,172</b>	<b>495,261,926</b>	<b>731,716,816</b>	<b>461,161,919</b>
Capital Purchases and Equipment	329,483	295,807	261,063	1,521,294	142,010
Debt Service (Fixed Charges)	-	4,699,478	-	25,683,300	18,572,493
Operating Transfers	16,112,933	23,249,965	26,630,662	42,860,942	29,620,257
<b>Total Expenditures</b>	<b>\$971,273,004</b>	<b>\$860,890,422</b>	<b>\$522,153,651</b>	<b>\$801,782,352</b>	<b>\$509,496,679</b>
<b>Expenditures By Funds</b>					
General Revenue	3,762,845	3,945,177	4,163,873	4,245,502	4,246,368
Federal Funds	300,012,668	200,298,986	70,470,504	184,489,775	20,930,349
Restricted Receipts	1,417,281	6,014,301	1,320,268	27,330,693	20,062,493
Other Funds	666,080,210	650,631,958	446,199,006	585,716,382	464,257,469
<b>Total Expenditures</b>	<b>\$971,273,004</b>	<b>\$860,890,422</b>	<b>\$522,153,651</b>	<b>\$801,782,352</b>	<b>\$509,496,679</b>
<b>Program Measures</b>					
Percentage of Initial Unemployment Insurance Claims Paid Within 35 Days	85.2%	92.1%	93.0%	93.0%	93.0%
Objective	93.0%	93.0%		93.0%	93.0%
Percentage of Non-Monetary Determinations Receiving an Acceptable Grade with Regard to Completeness of Fact Finding and Correctness	73.9%	71.6%	80.0%	80.0%	80.0%
Objective	83.8%	83.8%		83.8%	83.8%
Percentage of Wage Information Transferred to Other States Within Five Calendar Days	84.0%	91.6%	85.0%	85.0%	85.0%
Objective	75.0%	75.0%		75.0%	75.0%
Percentage of Temporary Disability Insurance Claims that are Authorized or Disallowed Within 21 Days from the Time the Claim is Received	72.0%	77.0%	79.3%	79.3%	79.3%
Objective	79.3%	79.3%		79.3%	79.3%

Percentage of Initial Unemployment Insurance Benefits Paid Accurately	96.0%	94.4%	95.6%	95.6%	95.6%
Objective	95.6%	95.6%		95.6%	95.6%

# Personnel

## Department Of Labor And Training Income Support

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Deputy Director	0144A	0.4	57,249	0.4	57,249
Administrator Operations Management	0141A	1.0	116,503	1.0	117,124
Asst. Dir-Fin & Cont. Mgmt.	0141A	0.6	66,749	0.6	66,866
Chief Referee, Board of Review	0138A	1.0	102,719	1.0	102,719
Assistant Director Labor Mkt Info & Mgmt	0139A	0.5	47,731	0.5	47,731
Referee-Board of Review	0137A	7.0	641,417	7.0	651,132
Employment & Training Administrator	0135A	2.7	242,984	2.7	242,953
Admin Financial Management	0137A	0.6	52,596	0.6	53,364
Supervising DET Business Officer	0132A	0.5	40,758	0.5	40,758
Assistant Director Plan/Prog Dev	0139A	0.5	40,584	0.5	40,584
Chief of Labor and Training Operations	0134A	2.0	151,731	2.0	156,723
Coordinator, Employment & Training Pgms	0131A	1.5	112,269	1.5	113,691
Principal DET Business Officer	0127A	0.5	36,403	0.5	36,403
Asst Coord Unemployment & Training Prog	0129A	0.8	57,157	0.8	57,157
Principal Employment & Training Manager	0130A	3.0	212,234	3.0	215,195
Asst Coord Employ and Training Programs	0129A	1.5	103,278	1.5	103,278
Nursing Care Evaluator	0520A	2.0	137,023	2.0	140,906
Coordinator, Unemployment Insur Pgms	0131A	1.0	65,726	1.0	65,726
Fiscal Management Officer	0B26A	0.5	32,853	0.5	32,853
Sr. Employment & Training Mntng Evl Sp	0126A	5.0	320,795	5.0	320,795
Sr. Management and Methods Analyst	0325A	0.5	31,406	0.5	31,406
Senior Employment & Training Manager	0128A	3.3	199,739	3.3	203,033
Manager of Printing & Other Services	0125A	0.5	29,766	0.5	29,766
Supervisor of Office Services	0131A	0.5	29,026	0.5	30,627
Employment & Training Manager	0126A	14.0	803,376	14.0	812,881
Principal Employment & Training Interviewer	0323A	2.8	159,961	2.8	162,012
Senior Research Technician	0323A	1.0	56,878	1.0	57,329
Management Asst. Supervisor	0131A	0.2	11,162	0.2	11,162
Senior DET Business Officer	0324A	0.4	21,714	0.4	21,714
Office Manager	0123A	1.8	94,057	1.8	94,057
Benefit Claims Specialist	0323A	57.0	2,952,604	57.0	2,987,582
DLT Business Officer	0321A	2.1	106,059	2.1	106,362
Legal Assistant	0319A	1.0	50,484	1.0	50,484
Senior Computer Operator	0318A	0.5	23,514	0.5	23,514
Fraud & Overpayment Investigator	0321A	5.0	223,644	5.0	228,798
Senior Employment & Training Interviewer	0320A	100.0	4,301,441	100.0	4,401,704
Employment & Training Assistant	0316A	2.9	122,068	2.9	123,713
Principal Research Technician	0127A	0.1	4,153	0.1	4,295
Research Technician	0319A	0.3	12,114	0.3	12,323
Interpreter (Spanish)	0316A	2.0	78,641	2.0	79,356
Sr. Word Processing Typist	0312A	2.0	73,394	2.0	73,394
Principal Clerk-Typist	0312A	1.0	32,335	1.0	32,335
Word Processing Typist	0310A	2.0	62,526	2.0	63,516
Business Services Specialist	0324A	0.1	3,082	0.1	3,082



# Personnel

## Department Of Labor And Training Income Support

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Subtotal</b>		<b>233.6</b>	<b>\$12,121,903</b>	<b>233.6</b>	<b>\$12,307,652</b>
<b>Unclassified</b>					
Legal Counsel - ES	0889F	0.9	124,686	0.9	124,686
Director	0948F	0.5	65,076	0.5	65,076
Chief Legal Counsel Board of Review	0898F	1.0	119,875	1.0	119,875
Legal Counsel (Board of Review)	0889F	0.5	51,726	0.5	51,726
Chairperson Member Board of Review (ES)	0837A	1.0	96,995	1.0	96,995
Member, Board of Review (ES)	0835A	2.0	193,096	2.0	193,096
Executive Counsel	0839A	0.4	35,815	0.4	37,678
Special Assistant	0829A	0.5	34,190	0.5	35,951
Administrative Aide (Treasury)	8518A	1.0	49,576	1.0	49,576
Confidential Secretary	0818A	1.0	46,312	1.0	47,444
<b>Subtotal</b>		<b>8.8</b>	<b>\$817,347</b>	<b>8.8</b>	<b>\$822,103</b>
Cost Allocation from Other Programs		10.8	582,452	10.2	574,310
Cost Allocation to Other Programs		-	-	(11.1)	(638,645)
Overtime		-	375,000	-	250,000
Program Reduction		-	-	(68.7)	(3,983,050) <sup>(1)</sup>
Turnover		-	(142,324)	-	(667,476)
<b>Subtotal</b>		<b>10.8</b>	<b>\$815,128</b>	<b>(69.6)</b>	<b>(\$4,464,861)</b>
<b>Total Salaries</b>		<b>253.2</b>	<b>\$13,754,378</b>	<b>172.8</b>	<b>\$8,664,894</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	84,148
FICA		-	1,052,210	-	662,865
Medical		-	2,807,605	-	1,527,297
Payroll Accrual		-	-	-	34,660
Retiree Health		-	917,825	-	577,260
Retirement		-	3,074,581	-	1,782,186
<b>Subtotal</b>		<b>-</b>	<b>\$7,852,221</b>	<b>-</b>	<b>\$4,668,416</b>
<b>Total Salaries and Benefits</b>		<b>253.2</b>	<b>\$21,606,599</b>	<b>172.8</b>	<b>\$13,333,310</b>
Cost Per FTE Position			\$85,334		\$77,160
Statewide Benefit Assessment		-	501,727	-	315,558
<b>Subtotal</b>		<b>-</b>	<b>\$501,727</b>	<b>-</b>	<b>\$315,558</b>
<b>Payroll Costs</b>		<b>253.2</b>	<b>\$22,108,326</b>	<b>172.8</b>	<b>\$13,648,868</b>

# Personnel

## Department Of Labor And Training Income Support

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	2,222	-	2,244
Clerical and Temporary Services		-	91,270	-	92,173
Information Technology		-	2,371,872	-	470,357
Legal Services		-	744,464	-	464,607
Medical Services		-	3,770	-	3,808
Other Contract Services		-	119,061	-	67,121
Training and Educational Services		-	6,800	-	-
<b>Subtotal</b>		-	<b>\$3,339,459</b>	-	<b>\$1,100,310</b>
<b>Total Personnel</b>		<b>253.2</b>	<b>\$25,447,785</b>	<b>172.8</b>	<b>\$14,749,178</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		0.5	54,511	0.5	55,359
Federal Funds		189.8	19,324,788	110.0	8,435,902
Restricted Receipts		10.8	1,632,310	10.2	1,401,715
Other Funds		52.1	4,436,176	52.1	4,856,202
<b>Total All Funds</b>		<b>253.2</b>	<b>\$25,447,785</b>	<b>172.8</b>	<b>\$14,749,178</b>

*1 The reduction of (68.7 FTE) positions as a result of federal financing no longer being available.*

# The Program

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## Department Of Labor And Training Injured Workers Services

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### **Program Mission**

To maintain a Workers' Compensation system that is fair to both employees and employers.

To maintain a Workers' Compensation system that emphasizes and rewards safety in the workplace.

To maintain a Workers' Compensation system that is cost-competitive with insurance coverage for employers available at a low cost.

To maintain a Workers' Compensation system that is free from fraud and ensures that all employers subject to the Act carry the proper insurance coverage.

### **Program Description**

The Injured Workers Services division monitors procedures and payments made by insurance carriers to employees unable to work because of job related injury and collects and disseminates statistical data. This division also provides vocational and physical rehabilitation assistance, as well as educational seminars, which are available to employers, employees, insurers, attorneys, and medical professionals and responds to compliance and fraud issues. The division is made up of the Workers' Compensation (administrative) unit, the Dr. John E. Donley Rehabilitation Center and the Fraud and Prevention Compliance unit.

The Workers' Compensation (administrative) unit monitors all claim filings to ensure proper payment by the insurance carrier and maintains all corresponding records and statistical data. It creates a self-insured program for large companies who meet certain criteria.

The Education unit provides services pertaining to workplace safety and Workers' Compensation system information.

The Rehabilitation Unit, housed at the Dr. John E. Donley Rehabilitation Center provides broad-based rehabilitation programs for injured workers with the Workers' Compensation System. Services include complete evaluations and treatment programs.

The Fraud Prevention and Compliance unit's mission is to detect, prevent, and refer for criminal prosecution and suspected fraudulent activity related to Workers' Compensation, as well as to ensure employer and insurer confidence with the requirements of the Workers' Compensation Act.

### **Statutory History**

Title 28, Chapters 29 through 38 of the General Laws of Rhode Island contain provisions relating to state and municipal employees, report of injuries, benefits, and other aspects of the WC system.

# The Budget

## Department Of Labor And Training Injured Workers Services

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Workers' Comp Compliance	4,115,194	4,230,102	4,265,712	5,173,232	4,953,228
Education & Rehabilitation	3,672,115	3,759,975	4,289,377	3,991,290	4,197,878
<b>Total Expenditures</b>	<b>\$7,787,309</b>	<b>\$7,990,077</b>	<b>\$8,555,089</b>	<b>\$9,164,522</b>	<b>\$9,151,106</b>
<b>Expenditures By Object</b>					
Personnel	5,313,191	5,470,202	5,988,604	6,348,468	6,133,188
Operating Supplies and Expenses	376,509	369,364	561,458	520,898	931,506
Assistance and Grants	1,952,335	2,138,260	1,950,893	2,240,777	2,060,789
<b>Subtotal: Operating Expenditures</b>	<b>7,642,035</b>	<b>7,977,826</b>	<b>8,500,955</b>	<b>9,110,143</b>	<b>9,125,483</b>
Capital Purchases and Equipment	145,274	12,251	54,134	54,379	25,623
<b>Total Expenditures</b>	<b>\$7,787,309</b>	<b>\$7,990,077</b>	<b>\$8,555,089</b>	<b>\$9,164,522</b>	<b>\$9,151,106</b>
<b>Expenditures By Funds</b>					
Restricted Receipts	7,787,309	7,990,077	8,555,089	9,164,522	9,151,106
<b>Total Expenditures</b>	<b>\$7,787,309</b>	<b>\$7,990,077</b>	<b>\$8,555,089</b>	<b>\$9,164,522</b>	<b>\$9,151,106</b>

# Personnel

## Department Of Labor And Training Injured Workers Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Asst. Dir Workers' Compensation & Self Ins	0138A	0.8	92,524	0.8	92,524
Deputy Director	0144A	0.2	21,010	0.2	21,010
Chief Investment Workers's Comp (Frd Prev)	AB38A	1.0	101,303	1.0	102,732
Asst Director Financial & Central Mgmt	0141A	0.1	9,194	0.1	9,210
Chief Data Operations	0333A	2.0	172,522	2.0	172,522
Office Manager	0123A	0.2	17,112	0.2	17,112
Asst Director Plan/Prog Dev	0139A	0.1	8,117	0.1	8,117
Workers' Comp Patient Care Coordinator	0520A	4.0	324,534	4.0	325,247
Supervising DET Business Officer	0132A	0.1	8,070	0.1	8,070
Assistant Admin of Voc Rehab (Rehab)	0132A	1.0	78,253	1.0	78,253
Chief Physical Therapist	0137A	1.0	72,506	1.0	76,528
Invest Workers' Comp Fraud Prev Unit	AB30A	5.0	355,903	5.0	359,505
Unit Claims Manager	0326A	1.0	65,928	1.0	65,928
Education Unit Representative	0326A	2.0	130,001	2.0	131,258
Assistant Coordinator Employ & Train Prog	0129A	0.3	19,463	0.3	19,463
Sr Management & Methods Analyst	0325A	0.1	6,281	0.1	6,281
Coord. Employment & Training Programs	0131A	0.2	12,186	0.2	12,186
Spvsr Voc Rehab (Dis Determin)	0129A	1.0	60,792	1.0	60,792
Employee & Training Administrator	0135A	0.1	5,855	0.1	5,850
Asst Director Labor Mkt Info & Mgmt	0139A	0.1	5,825	0.1	5,825
Supervisor of Office Services	0131A	0.1	5,805	0.1	6,125
Admin Financial Mangement	0137A	0.1	5,497	0.1	5,497
Assistant Records Analyst	0319A	1.0	50,620	1.0	50,620
Manager of Printing & Other Services	0125A	0.1	5,062	0.1	5,062
Compensation Claims Analyst	0322A	3.0	145,048	3.0	150,041
Physical Therapy Assistant	0320A	5.0	241,015	5.0	241,015
Implementation Aide	0322A	2.0	95,974	2.0	97,798
DLT Business Officer	0321A	0.7	33,494	0.7	33,707
Senior Computer Operator	0318A	0.1	4,634	0.1	4,634
Senior DET Business Officer	0324A	0.1	4,346	0.1	4,346
Interpreter (Spanish)	0316A	1.0	42,105	1.0	42,105
Invest Aide Work Comp Fraud Prev Unit	0015A	1.0	40,458	1.0	42,153
Employment & Training Assistant	0316A	1.4	54,390	1.4	54,499
Sr. Word Processing Typist	0312A	4.0	154,654	4.0	154,654
Occupational Therapist Asst	0320A	1.0	38,536	1.0	40,049
Principal DET Business Officer	0127A	0.1	3,548	0.1	3,548
Information Aide	0315A	1.0	34,368	1.0	35,121
Asst Coordinator Unemploy Insur Prog	0129A	0.1	3,338	0.1	3,338
<b>Subtotal</b>		<b>42.1</b>	<b>\$2,530,271</b>	<b>42.1</b>	<b>\$2,552,725</b>

# Personnel

## Department Of Labor And Training Injured Workers Services

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director, Dept of Labor and Training	30948F	0.1	13,015	0.1	13,015
Fiscal Management Officer	E24A	1.0	72,373	1.0	72,606
Special Assistant	829A	0.1	6,838	0.1	7,190
Legal Counsel - ES	0889F	0.1	5,318	0.1	5,318
<b>Subtotal</b>		<b>1.3</b>	<b>\$97,544</b>	<b>1.3</b>	<b>\$98,129</b>
Overtime		-	92,000	-	-
Turnover		-	(93,055)	-	-
<b>Subtotal</b>		-	<b>(\$1,055)</b>	-	-
<b>Total Salaries</b>		<b>43.4</b>	<b>\$2,626,760</b>	<b>43.4</b>	<b>\$2,650,854</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	26,509
FICA		-	200,978	-	202,790
Medical		-	527,358	-	586,956
Payroll Accrual		-	-	-	10,602
Retiree Health		-	233,885	-	241,849
Retirement		-	582,488	-	561,424
<b>Subtotal</b>		-	<b>\$1,544,709</b>	-	<b>\$1,630,130</b>
<b>Total Salaries and Benefits</b>		<b>43.4</b>	<b>\$4,171,469</b>	<b>43.4</b>	<b>\$4,280,984</b>
Cost Per FTE Position			\$96,117		\$98,640
Statewide Benefit Assessment		-	95,054	-	99,407
<b>Subtotal</b>		-	<b>\$95,054</b>	-	<b>\$99,407</b>
<b>Payroll Costs</b>		<b>43.4</b>	<b>\$4,266,523</b>	<b>43.4</b>	<b>\$4,380,391</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	281	-	281
Clerical and Temporary Services		-	1,794	-	1,830
Information Technology		-	453,432	-	153,032
Legal Services		-	184	-	188
Medical Services		-	1,534,950	-	1,510,797
Other Contract Services		-	47,347	-	44,968
Training and Educational Services		-	43,957	-	41,701
<b>Subtotal</b>		-	<b>\$2,081,945</b>	-	<b>\$1,752,797</b>
<b>Total Personnel</b>		<b>43.4</b>	<b>\$6,348,468</b>	<b>43.4</b>	<b>\$6,133,188</b>

# Personnel

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## Department Of Labor And Training Injured Workers Services

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Restricted Receipts		43.4	6,348,468	43.4	6,133,188
<b>Total All Funds</b>		<b>43.4</b>	<b>\$6,348,468</b>	<b>43.4</b>	<b>\$6,133,188</b>

# The Program

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## Department Of Labor And Training Labor Relations Board

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### **Program Mission**

To provide for expeditious resolution of representation election petitions, requests for unit clarification/accretion, and charges of unfair labor practices, through hearings and investigations, in accordance with the provisions of the Rhode Island State Labor Relations Act and its amendments.

### **Program Description**

The Rhode Island State Labor Relations Act declares that it is the public policy of the State to encourage the practice and procedure of collective bargaining, and to protect employees in the exercise of full freedom of association, self organization and designation of representatives of their own choosing for the purposes of collective bargaining. It is in the public interest that an equality of bargaining power between the employer and the employees be established and maintained. To that end, the Rhode Island State Labor Relations Board is empowered to make bargaining unit determinations, settle controversies as to employee representation, and to prevent unfair labor practices, through informal hearing, investigation, and the formal hearing process.

### **Statutory History**

The statutory basis for the Labor Relations Board is contained within R.I.G.L. 28-7, et seq.; R.I.G.L. 28-9.1 through 28-9.7; and R.I.G.L. 36-11.



# The Budget

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## Department Of Labor And Training Labor Relations Board

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	371,898	361,720	396,538	383,631	292,185
<b>Total Expenditures</b>	<b>\$371,898</b>	<b>\$361,720</b>	<b>\$396,538</b>	<b>\$383,631</b>	<b>\$292,185</b>
<b>Expenditures By Object</b>					
Personnel	347,546	348,944	371,807	373,974	282,467
Operating Supplies and Expenses	10,585	8,430	10,689	8,050	8,110
Assistance and Grants	50	43	51	43	44
<b>Subtotal: Operating Expenditures</b>	<b>358,181</b>	<b>357,417</b>	<b>382,547</b>	<b>382,067</b>	<b>290,621</b>
Capital Purchases and Equipment	13,717	4,303	13,991	1,564	1,564
<b>Total Expenditures</b>	<b>\$371,898</b>	<b>\$361,720</b>	<b>\$396,538</b>	<b>\$383,631</b>	<b>\$292,185</b>
<b>Expenditures By Funds</b>					
General Revenue	371,898	361,720	396,538	383,631	292,185
<b>Total Expenditures</b>	<b>\$371,898</b>	<b>\$361,720</b>	<b>\$396,538</b>	<b>\$383,631</b>	<b>\$292,185</b>

# Personnel

## Department Of Labor And Training Labor Relations Board

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Labor Board Case Agent	0128A	1.0	70,290	1.0	70,290
<b>Subtotal</b>		<b>1.0</b>	<b>\$70,290</b>	<b>1.0</b>	<b>\$70,290</b>
<b>Unclassified</b>					
Administrator Labor Relations Bd	0833A	1.0	90,924	1.0	90,924
Chairperson Labor Relations Board Member	0953F	-	15,190	-	-
Labor Relations Board Member	0952F	-	72,021	-	-
<b>Subtotal</b>		<b>1.0</b>	<b>\$178,135</b>	<b>1.0</b>	<b>\$90,924</b>
Turnover		-	-	-	-
<b>Subtotal</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Salaries</b>		<b>2.0</b>	<b>\$248,425</b>	<b>2.0</b>	<b>\$161,214</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,484
FICA		-	19,003	-	12,332
Medical		-	20,472	-	22,996
Payroll Accrual		-	-	-	271
Retiree Health		-	11,059	-	11,059
Retirement		-	37,047	-	34,143
<b>Subtotal</b>		<b>-</b>	<b>\$87,581</b>	<b>-</b>	<b>\$83,285</b>
<b>Total Salaries and Benefits</b>		<b>2.0</b>	<b>\$336,006</b>	<b>2.0</b>	<b>\$244,499</b>
Cost Per FTE Position			\$168,003		\$122,250
Statewide Benefit Assessment		-	6,046	-	6,046
<b>Subtotal</b>		<b>-</b>	<b>\$6,046</b>	<b>-</b>	<b>\$6,046</b>
<b>Payroll Costs</b>		<b>2.0</b>	<b>\$342,052</b>	<b>2.0</b>	<b>\$250,545</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	2,682	-	2,682
Information Technology		-	51	-	51
Legal Services		-	28,997	-	28,997
Other Contract Services		-	192	-	192
<b>Subtotal</b>		<b>-</b>	<b>\$31,922</b>	<b>-</b>	<b>\$31,922</b>
<b>Total Personnel</b>		<b>2.0</b>	<b>\$373,974</b>	<b>2.0</b>	<b>\$282,467</b>

# Personnel

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## Department Of Labor And Training Labor Relations Board

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		2.0	373,974	2.0	282,467
<b>Total All Funds</b>		<b>2.0</b>	<b>\$373,974</b>	<b>2.0</b>	<b>\$282,467</b>

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# Department Of Labor And Training Performance Measure Narratives

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## ***Workforce Development Services***

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### ***Workforce Investment Act (WIA) Adult - Entered Employment Rate (EER)***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services. Success of this program is defined by the achievement of specific, federally mandated performance measures.

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### ***Workforce Investment Act (WIA) Adult - Employment Retention Rate (ERR)***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***Workforce Investment Act (WIA)- Dislocated Worker - EER***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***Workforce Investment Act (WIA)- Dislocated Worker - ERR***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***Wagner-Peyser - Entered Employment Rate (EER)***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***Wagner-Peyser - Employment Retention Rate (ERR)***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***TRADE ADJUSTMENT ASSISTANCE EXTENSION ACT (OCTOBER 1, 2011) • Entered Employment Rate (EER) – Measures the number of individuals that were not employed at participation and have exited the program and gained employment during the first quarter after exit.***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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### ***TRADE ADJUSTMENT ASSISTANCE EXTENSION ACT (OCTOBER 1, 2011) • Employment Retention Rate (ERR) – Measures the number of individuals that have exited the program, are employed during the first quarter after exit and retained employment during both the second and third quarters after exit.***

The measures provide the ability to describe in a similar manner how many people found jobs; if they stay employed; and what their earnings were post services.

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# Department Of Labor And Training Performance Measure Narratives

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## ***Workforce Regulation and Safety***

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### ***Sara Title III***

Responsibility for collecting data from businesses who store Extremely Hazardous Substances. The compilation of data from businesses that are required by State Emergency Response Commission and Federal EPA to submit a Tier II report annually.

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### ***Number of Annual Registrations***

Responsibility for mailing annual registrations and inspections to determine full compliance. Right-to-Know section inspects and assesses all businesses with employees who are exposed to hazardous substances or businesses that store hazardous substances on the premises. This data is compiled on an annual basis along with a registration fee. Due to the economic downturn, there are a lot of companies who are no longer in business and companies are unable to pay the fee.

### ***Prevailing Wage Program - Number of Closed Cases***

This metric counts the numbers of Prevailing Wage cases that are closed annually. The Division of Workforce Regulation and Safety/Prevailing Wage Unit enforce the requirements of the Rhode Island General Law (RIGL) 37-13-1 and the general prevailing rate of pay for regular, holiday and overtime wages to be paid to each craftsmen, mechanic, teamster, laborer or other type of worker performing work on public works projects when state or municipal funds are used in excess of \$1,000.

### ***Labor Standards - Number of Closed Cases***

This metric counts the numbers of Labor Stands cases that are closed annually. The Division of Workforce Regulation and Safety/Labor Standards Unit enforce the requirements of Rhode Island General Law (RIGL) 28-12 and 28-14 that govern the wage and hour laws for RI employers and employees.

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# Department Of Labor And Training Performance Measure Narratives

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## ***Income Support***

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### ***Percentage of Initial Unemployment Insurance Claims Paid Within 35 Days***

This measure indicates the number of benefit claims promptly paid as a percentage of all initial claims for Unemployment Insurance. The measure relates to the stated objective to administer the Income Support programs in a timely manner.

The United States Department of Labor standard for payment of initial claims is “full payment of benefits to eligible claimants with the greatest promptness that is administratively possible.” The criterion to determine substantial compliance with this standard is that ninety-three percent of claims be paid within 35 days (20 C.F.R. 640.5).

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### ***Percentage of Non-Monetary Determinations Receiving an Acceptable Grade with Regard to Completeness of Fact Finding and Correctness***

The measure indicates the number of nonmonetary determinations that, having been reviewed for quality performance, receive an acceptable score in fact-finding and correctness. An acceptable quality performance score is based on the completeness and accuracy of the statements, documentation and final determination. The measurement is accomplished using a performance based quality control program. Monetary determinations involve whether a claimant had sufficient income in a base period. Non-monetary determinations involve issues such as reasons for discharge and availability to work.

The standard had been that a minimum of 80% of the cases have acceptable scores. The standard, however, has been changed, beginning FY 2006, to the highest percentage in a previous fiscal year since FY 2005.

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### ***Percentage of Wage Information Transferred to Other States Within Five Calendar Days***

This measure indicates the timeliness of wage information transmission to Unemployment Insurance administrative offices in other states. This information exchange is important for the prompt determination of eligibility and payment of unemployment insurance benefits to individuals previously employed in Rhode Island. A sample of the completed and returned wage reports are selected and analyzed. Analyses are made of all cases that are not made on a timely basis to determine the causes of delay. Transfers are considered timely if made within five calendar days. This measure relates to Income Support’s stated objective to administer the Income Support programs in a timely manner.

The standard is that seventy-five percent of wage information transfers be made on a timely basis. This is the United States Department of Labor’s “Desired Level of Achievement”.

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### ***Percentage of Temporary Disability Insurance Claims that are Authorized or Disallowed Within 21 Days from the Time the Claim is Received***

This measure indicates the Temporary Disability Insurance claims authorized or disallowed within twenty-one days as a percentage of such claims received. The historical data for this measure is derived from the department’s monthly claims reports. This measure relates to the Division’s stated objective to administer the Temporary Disability Insurance Program in a timely manner.

The Department has set the standard of 79.3% percent of Temporary Disability Insurance claims authorized or disallowed within 21 days from the time the claim has been received, but the annual goal is to maintain continuous improvement in time lag performance.

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## Department Of Labor And Training Performance Measure Narratives

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### ***Percentage of Initial Unemployment Insurance Benefits Paid Accurately***

This measure indicates the number of benefit claims accurately paid, as a percentage of all initial claims for Unemployment Insurance.

The standard for this measure is the 95.6 percent achieved in 1995, determined by the Quality Control Unit reviewing a statistically significant sample.

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# Agency

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## Department Of Revenue

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### Agency Mission

To assess and collect all taxes, fees and revenues in the most efficient and cost-effective manner.

To administer and enforce all laws pertaining to the operation and registration of motor vehicles.

To administer a lottery system in the most efficient, ethical and cost-effective manner.

To assess and evaluate the state revenue policies and practices and recommend options to enhance revenue collections and revenue competitiveness.

### Agency Description

The Department of Revenue was established as a separate department within the executive branch of state government by the 2006 General Assembly and came into existence on July 1, 2006. The department is headed by the Director of Revenue, who is appointed by the Governor, with the advice and consent of the Senate. The Department has seven programmatic functions, including Central Management (Director of Revenue), Taxation, State Lottery, Registry of Motor Vehicles, Revenue Analysis, Municipal Finance, and State Aid. As of FY 2012, State Aid has been transferred from the Department of Administration.

### Statutory History

The Department of Revenue was created by the 2006 General Assembly through the enactment of Article 38 sub. A of the FY 2007 Appropriations Act (R.I.G.L. 42-142).



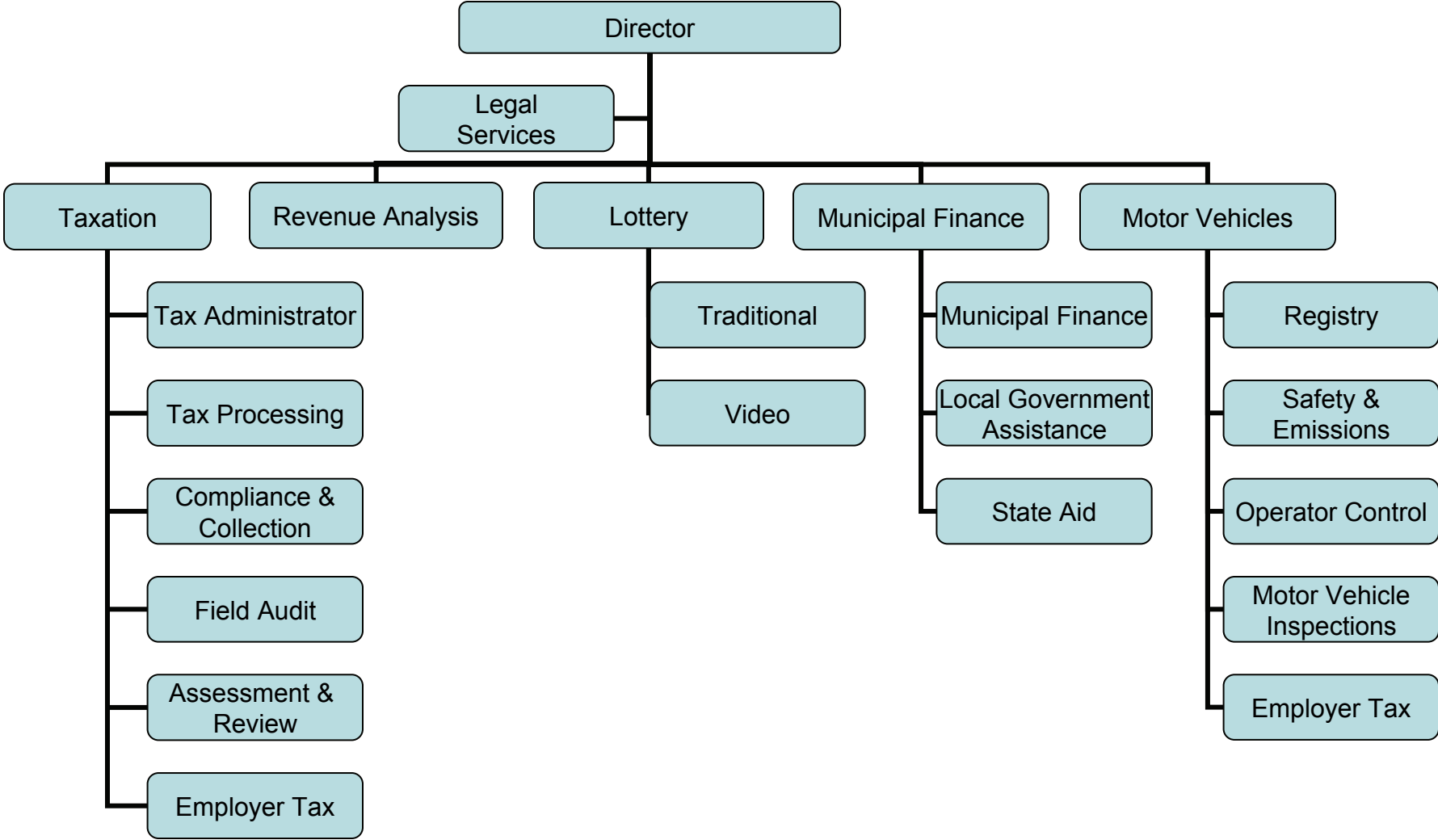
# Budget

## Department Of Revenue

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Director of Revenue	480,822	576,654	784,261	777,266	783,388
Office of Revenue Analysis	371,823	397,085	435,910	427,198	538,285
Lottery Division	216,181,394	223,971,074	218,537,728	227,839,412	232,744,968
Municipal Finance	1,124,503	2,145,472	1,902,940	2,585,366	2,064,780
Taxation	17,353,468	21,963,434	20,591,488	20,718,372	21,308,038
Registry of Motor Vehicles	33,842,041	19,434,668	18,876,707	20,050,072	19,868,568
State Aid	-	-	55,547,364	58,063,582	56,033,396
<b>Total Expenditures</b>	<b>\$269,354,051</b>	<b>\$268,488,387</b>	<b>\$316,676,398</b>	<b>\$330,461,268</b>	<b>\$333,341,423</b>
<b>Expenditures By Object</b>					
Personnel	33,033,080	36,809,205	40,374,110	41,638,042	42,404,420
Operating Supplies and Expenses	218,274,357	225,034,905	219,549,825	228,728,990	233,671,554
Assistance and Grants	83,019	18,695	13,650	13,650	13,650
Aid to Local Units of Government	-	-	55,547,364	58,063,582	56,033,396
<b>Subtotal: Operating Expenditures</b>	<b>251,390,456</b>	<b>261,862,805</b>	<b>315,484,949</b>	<b>328,444,264</b>	<b>332,123,020</b>
Capital Purchases and Equipment	17,802,618	3,364,875	916,750	1,727,870	913,397
Operating Transfers	160,977	3,260,707	274,699	289,134	305,006
<b>Total Expenditures</b>	<b>\$269,354,051</b>	<b>\$268,488,387</b>	<b>\$316,676,398</b>	<b>\$330,461,268</b>	<b>\$333,341,423</b>
<b>Expenditures By Funds</b>					
General Revenue	32,476,057	35,111,465	92,610,905	96,485,682	94,991,752
Federal Funds	1,803,123	1,139,852	2,636,059	2,163,747	2,563,909
Restricted Receipts	4,001,548	4,836,294	1,861,496	2,200,567	1,921,682
Operating Transfers from Other Funds	14,113,514	2,622,982	-	755,684	100,000
Other Funds	216,959,809	224,777,794	219,567,938	228,855,588	233,764,080
<b>Total Expenditures</b>	<b>\$269,354,051</b>	<b>\$268,488,387</b>	<b>\$316,676,398</b>	<b>\$330,461,268</b>	<b>\$333,341,423</b>
<b>FTE Authorization</b>	<b>413.5</b>	<b>426.5</b>	<b>434.5</b>	<b>449.0</b>	<b>458.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	10.2%	15.0%	14.2%	14.2%	14.2%
Females as a Percentage of the Workforce	49.6%	60.0%	53.2%	53.2%	53.2%
Persons with Disabilities as a Percentage of the Workforce	1.0%	3.0%	1.0%	1.0%	1.0%

# The Agency

## Department of Revenue



# Personnel

## Department Of Revenue Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Classified	394.0	20,993,287	403.0	21,711,241
Unclassified	55.0	3,585,501	55.0	3,608,130
Cost Allocation from Other Programs	-	245,952	-	91,329
Cost Allocation to other programs	-	(91,329)	-	(91,329)
Overtime	-	605,500	-	445,500
Turnover	-	(1,109,335)	-	(1,150,316)
<b>Total Salaries</b>	<b>449.0</b>	<b>\$24,229,576</b>	<b>458.0</b>	<b>\$24,614,555</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	241,688
FICA	-	1,847,859	-	1,874,672
Holiday Pay	-	5,408	-	4,916
Medical	-	4,681,127	-	5,413,325
Payroll Accrual	-	-	-	142,389
Retiree Health	-	1,632,326	-	1,669,443
Retirement	-	5,436,992	-	5,127,206
<b>Total Salaries and Benefits</b>	<b>449.0</b>	<b>\$37,833,288</b>	<b>458.0</b>	<b>\$39,088,194</b>
Cost Per FTE Position		\$84,261		\$85,345
Statewide Benefit Assessment	-	890,786	-	911,177
Temporary and Seasonal	-	151,797	-	244,797
<b>Payroll Costs</b>	<b>449.0</b>	<b>\$38,875,871</b>	<b>458.0</b>	<b>\$40,244,168</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance	-	22,608	-	22,608
Clerical and Temporary Services	-	90,331	-	60,331
Information Technology	-	783,870	-	1,080,588
Legal Services	-	810,522	-	301,585
Management and Consultant Services	-	796,500	-	272,500
Other Contract Services	-	258,340	-	422,640
<b>Total Personnel</b>	<b>449.0</b>	<b>\$41,638,042</b>	<b>458.0</b>	<b>\$42,404,420</b>
<b>Distribution by Source of Funds</b>				

# Personnel

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## Department Of Revenue Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
General Revenue	350.0	32,345,472	356.0	32,723,959
Federal Funds	24.0	2,024,905	27.0	2,325,786
Restricted Receipts	10.0	838,176	10.0	840,821
Other Funds	65.0	6,429,489	65.0	6,513,854
<b>Total All Funds</b>	<b>449.0</b>	<b>\$41,638,042</b>	<b>458.0</b>	<b>\$42,404,420</b>

# The Program

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Department Of Revenue

Director of Revenue

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## **Program Mission**

To oversee the collection of taxes, fees and revenues in conformance with legislative mandates.

To ensure that programs of the department are efficiently organized and implemented.

## **Program Description**

The Director's Office oversees the overall operation of the department. The Office of Legal Services provides legal advice and support to the Director and the programs within the department.

## **Statutory History**

The Director of Revenue position was created upon establishment of the Department of Revenue in Article 38 sub A of the FY 2007 Appropriations Act (R.I.G.L. 42-142)

# The Budget

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## Department Of Revenue Director of Revenue

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	<b>2010 Audited</b>	<b>2011 Audited</b>	<b>2012 Enacted</b>	<b>2012 Revised</b>	<b>2013 Recommend</b>
<b>Expenditures By Subprogram</b>					
Director of Revenue	480,822	576,654	784,261	777,266	783,388
<b>Total Expenditures</b>	<b>\$480,822</b>	<b>\$576,654</b>	<b>\$784,261</b>	<b>\$777,266</b>	<b>\$783,388</b>
<b>Expenditures By Object</b>					
Personnel	476,856	570,040	773,930	765,783	766,957
Operating Supplies and Expenses	2,940	5,027	10,331	11,483	13,431
<b>Subtotal: Operating Expenditures</b>	<b>479,796</b>	<b>575,067</b>	<b>784,261</b>	<b>777,266</b>	<b>780,388</b>
Capital Purchases and Equipment	1,026	1,587	-	-	3,000
<b>Total Expenditures</b>	<b>\$480,822</b>	<b>\$576,654</b>	<b>\$784,261</b>	<b>\$777,266</b>	<b>\$783,388</b>
<b>Expenditures By Funds</b>					
General Revenue	480,822	576,654	784,261	777,266	783,388
<b>Total Expenditures</b>	<b>\$480,822</b>	<b>\$576,654</b>	<b>\$784,261</b>	<b>\$777,266</b>	<b>\$783,388</b>

# Personnel

## Department Of Revenue Director of Revenue

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Admin. And Leg. Sup. Svs. Admin	0143A	1.0	121,772	1.0	121,772
Deputy Chief of Legal Services	137A	1.0	98,648	1.0	98,648
Senior Legal Counsel	0134A	2.0	145,524	2.0	148,309 (1)
Chief Implementation Aide	128A	1.0	64,967	1.0	64,967
<b>Subtotal</b>		<b>5.0</b>	<b>\$430,911</b>	<b>5.0</b>	<b>\$433,696</b>
<b>Unclassified</b>					
Director of Revenue	0955K	1.0	156,876	1.0	156,876
<b>Subtotal</b>		<b>1.0</b>	<b>\$156,876</b>	<b>1.0</b>	<b>\$156,876</b>
Cost Allocation to Lottery		-	(91,329)	-	(91,329)
<b>Subtotal</b>		-	<b>(\$91,329)</b>	-	<b>(\$91,329)</b>
<b>Total Salaries</b>		<b>6.0</b>	<b>\$496,458</b>	<b>6.0</b>	<b>\$499,243</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	4,992
FICA		-	34,644	-	34,949
Medical		-	57,636	-	64,782
Payroll Accrual		-	-	-	2,938
Retiree Health		-	34,057	-	34,248
Retirement		-	114,085	-	105,735
<b>Subtotal</b>		-	<b>\$240,422</b>	-	<b>\$247,644</b>
<b>Total Salaries and Benefits</b>		<b>6.0</b>	<b>\$736,880</b>	<b>6.0</b>	<b>\$746,887</b>
Cost Per FTE Position			\$122,813		\$124,481
Statewide Benefit Assessment		-	18,616	-	18,720
<b>Subtotal</b>		-	<b>\$18,616</b>	-	<b>\$18,720</b>
<b>Payroll Costs</b>		<b>6.0</b>	<b>\$755,496</b>	<b>6.0</b>	<b>\$765,607</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	500	-	500
Legal Services		-	9,787	-	850
<b>Subtotal</b>		-	<b>\$10,287</b>	-	<b>\$1,350</b>
<b>Total Personnel</b>		<b>6.0</b>	<b>\$765,783</b>	<b>6.0</b>	<b>\$766,957</b>

# Personnel

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## Department Of Revenue Director of Revenue

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		6.0	765,783	6.0	766,957
<b>Total All Funds</b>		<b>6.0</b>	<b>\$765,783</b>	<b>6.0</b>	<b>\$766,957</b>

*1 Step Increase Senior legal council 2013.*



# The Program

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Department Of Revenue  
Office of Revenue Analysis

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## **Program Mission**

To analyze, evaluate and appraise the tax system of the State.

To make recommendations for revisions to the tax system.

To prepare the tax expenditures report.

## **Program Description**

The Office of Revenue Analysis is responsible for analyzing, evaluating, and appraising the tax system of the State of Rhode Island, and for making recommendations for its revision in accordance with the best interests of the economy of Rhode Island. The Office is responsible for preparing the tax expenditures report and for preparing cost benefit analyses of all tax proposals.

## **Statutory History**

The Office of Revenue Analysis is established under R.I.G.L. 42-142-3. The requirement to prepare the tax expenditures report is established under R.I.G.L. 44-48.1-1.

# The Budget

## Department Of Revenue Office of Revenue Analysis

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Revenue Analysis	371,823	397,085	435,910	427,198	538,285
<b>Total Expenditures</b>	<b>\$371,823</b>	<b>\$397,085</b>	<b>\$435,910</b>	<b>\$427,198</b>	<b>\$538,285</b>
<b>Expenditures By Object</b>					
Personnel	360,142	380,702	416,208	407,496	518,583
Operating Supplies and Expenses	11,681	14,199	19,702	19,702	19,702
<b>Subtotal: Operating Expenditures</b>	<b>371,823</b>	<b>394,901</b>	<b>435,910</b>	<b>427,198</b>	<b>538,285</b>
Capital Purchases and Equipment	-	2,184	-	-	-
<b>Total Expenditures</b>	<b>\$371,823</b>	<b>\$397,085</b>	<b>\$435,910</b>	<b>\$427,198</b>	<b>\$538,285</b>
<b>Expenditures By Funds</b>					
General Revenue	371,823	397,085	435,910	427,198	538,285
<b>Total Expenditures</b>	<b>\$371,823</b>	<b>\$397,085</b>	<b>\$435,910</b>	<b>\$427,198</b>	<b>\$538,285</b>
<b>Program Measures</b>					
Timeliness of Issuance of Monthly Revenue Reports - Cash Collections Report	91.7%	91.7%	91.7%	91.7%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%
Timeliness of Issuance of Monthly Revenue Reports - Revenue Assessment Report	83.3%	91.7%	100.0%	100.0%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%
Production of Annual Revenue Policy Reports	33.3%	66.7%	100.0%	100.0%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%
Completion of Revenue Fiscal Notes for Budget Office	21.6%	4.5%	33.3%	33.3%	50.0%
Objective	100.0%	100.0%		100.0%	100.0%

# Personnel

## Department Of Revenue Office of Revenue Analysis

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Classified</b>						
Sr. Revenue Policy Analyst	0137A	1.0	72,506	1.0	73,423	(1)
Revenue Policy Analyst	0132A	1.0	68,293	1.0	71,765	(2)
Budget Analyst I/Economist	0328A	1.0	54,217	1.0	56,418	(1)
<b>Subtotal</b>		<b>3.0</b>	<b>\$195,016</b>	<b>3.0</b>	<b>\$201,606</b>	
<b>Unclassified</b>						
Chief, Revenue Analysis	0843A	1.0	120,895	1.0	120,895	
<b>Subtotal</b>		<b>1.0</b>	<b>\$120,895</b>	<b>1.0</b>	<b>\$120,895</b>	
Turnover		-	(72,506)	-	(11,155)	
<b>Subtotal</b>		-	<b>(\$72,506)</b>	-	<b>(\$11,155)</b>	
<b>Total Salaries</b>		<b>4.0</b>	<b>\$243,405</b>	<b>4.0</b>	<b>\$311,346</b>	
<b>Benefits</b>						
Defined Contribution Plan		-	-	-	3,113	
FICA		-	17,747	-	22,945	
Medical		-	34,584	-	50,352	
Payroll Accrual		-	-	-	1,857	
Retiree Health		-	16,697	-	21,358	
Retirement		-	55,935	-	65,936	
<b>Subtotal</b>		-	<b>\$124,963</b>	-	<b>\$165,561</b>	
<b>Total Salaries and Benefits</b>		<b>4.0</b>	<b>\$368,368</b>	<b>4.0</b>	<b>\$476,907</b>	
Cost Per FTE Position			\$92,092		\$119,227	
Statewide Benefit Assessment		-	9,128	-	11,676	
<b>Subtotal</b>		-	<b>\$9,128</b>	-	<b>\$11,676</b>	
<b>Payroll Costs</b>		<b>4.0</b>	<b>\$377,496</b>	<b>4.0</b>	<b>\$488,583</b>	
<b>Purchased Services</b>						
Management and Consultant Services		-	30,000	-	30,000	
<b>Subtotal</b>		-	<b>\$30,000</b>	-	<b>\$30,000</b>	
<b>Total Personnel</b>		<b>4.0</b>	<b>\$407,496</b>	<b>4.0</b>	<b>\$518,583</b>	
<b>Distribution By Source Of Funds</b>						
General Revenue		4.0	407,496	4.0	518,583	
<b>Total All Funds</b>		<b>4.0</b>	<b>\$407,496</b>	<b>4.0</b>	<b>\$518,583</b>	

# Personnel

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## Department Of Revenue Office of Revenue Analysis

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<i>1 Step Increase SR revenue policy analyst &amp; budget analyst 2013</i>					
<i>2 Incentive Credit Revenue policy analyst 2013</i>					

# The Program

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## Department Of Revenue Lottery Division

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### **Program Mission**

As a business, the Rhode Island Lottery has a responsibility to maximize revenues. However, as a State Agency, our challenge lies in maximizing revenues while maintaining the trust and best interest of the citizens of the State of Rhode Island. It has always been, and will continue to be, the Rhode Island Lottery's goal to achieve both.

### **Program Description**

The Rhode Island Lottery (The Lottery) was created under the General Laws of the State of Rhode Island in 1974 to operate lottery games to generate revenues for the state. On July 1, 2005, the Lottery was made a division of the Department of Administration and on July 1, 2006, it was transferred to the new Department of Revenue. The Lottery operates as an enterprise fund and is included in the State Comprehensive Annual Financial Report.

The Lottery promotes and sells tickets for on-line games (e.g. Daily Numbers), for Keno, and for instant games (e.g. scratch tickets). Tickets are sold through licensed lottery retailers. The Lottery sells Powerball tickets, collects all revenues, and remits prize funds to the Multi-State Lottery Association net of low tier prize awards

R.I.G.L. 42-61-15 stipulates that the Lottery award prizes in an amount not less than 45 percent nor more than 65 percent of the total lottery ticket revenue. For Keno, however, prize awards shall not be less than 45 percent nor more than 72 percent of the total Keno ticket revenue. The Lottery is required to transfer its net income from on-line games to the state's general fund in an amount not less than 25 percent of total lottery ticket revenue. The amount transferred into the general fund from Keno shall equal no less than 15 percent of the total Keno ticket sales. Transfers are made on a monthly basis in an amount equal to estimated net income.

R.I.G.L. 42-61.2 authorizes the Lottery to conduct video lottery games at Twin River and Newport Grand. Video lottery terminals are electronically linked to a central computer facility at Lottery Headquarters. As of July 1, 2004, the net terminal income generated at these facilities is divided among the licensed video lottery facilities, the technology providers, the host municipalities, the central computer system provider, and the State General Fund. In 2005, the General Assembly enacted legislation that allocates a percentage of the net new revenue from the operation of authorized video lottery terminals at Twin River to the Narragansett Indian Tribe.

### **Statutory History**

R.I.G.L. 42-60 provides the general authority for the State Division of Lottery. R.I.G.L. 42-142 entitled "Department of Revenue" establishes the State lottery as a division of the Department of Revenue.

# The Budget

## Department Of Revenue Lottery Division

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Lottery Division	216,181,394	223,971,074	218,537,728	227,839,412	232,744,968
<b>Total Expenditures</b>	<b>\$216,181,394</b>	<b>\$223,971,074</b>	<b>\$218,537,728</b>	<b>\$227,839,412</b>	<b>\$232,744,968</b>
<b>Expenditures By Object</b>					
Personnel	4,468,904	5,084,018	5,511,761	5,531,248	5,612,677
Operating Supplies and Expenses	211,712,490	218,887,056	212,797,815	221,928,353	226,736,608
<b>Subtotal: Operating Expenditures</b>	<b>216,181,394</b>	<b>223,971,074</b>	<b>218,309,576</b>	<b>227,459,601</b>	<b>232,349,285</b>
Capital Purchases and Equipment	-	-	4,807	147,677	147,677
Operating Transfers	-	-	223,345	232,134	248,006
<b>Total Expenditures</b>	<b>\$216,181,394</b>	<b>\$223,971,074</b>	<b>\$218,537,728</b>	<b>\$227,839,412</b>	<b>\$232,744,968</b>
<b>Expenditures By Funds</b>					
Other Funds	216,181,394	223,971,074	218,537,728	227,839,412	232,744,968
<b>Total Expenditures</b>	<b>\$216,181,394</b>	<b>\$223,971,074</b>	<b>\$218,537,728</b>	<b>\$227,839,412</b>	<b>\$232,744,968</b>

# Personnel

## Department Of Revenue

### Lottery Division

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Lottery Director	0816JF	1.0	138,858	1.0	138,858
Deputy Director (Lottery)	0842JA	1.0	130,002	1.0	130,002
Director Mgmt Info Sys Lottery	0839JA	1.0	111,736	1.0	111,736
Finance Administration Manager	0839JA	1.0	102,020	1.0	102,020
Controller	0834JA	1.0	91,498	1.0	91,498
Lottery Sales and Marketing Manager	0834JA	1.0	83,541	1.0	83,541
Principal Projects Manager	0831JA	2.0	156,324	2.0	163,781
Internal Auditor	0833JA	1.0	76,405	1.0	76,708
Accounting Manager	0829JA	1.0	72,475	1.0	72,475
Marketing Manager	0834JA	1.0	70,207	1.0	70,207
Production Manager	0828JA	1.0	69,655	1.0	69,655
Video Lottery Supervisor	0827JA	1.0	67,032	1.0	67,032
Information Tech Security Manager	0829JA	1.0	65,886	1.0	65,886
Asst Production Manager	0824JA	1.0	64,773	1.0	64,773
Security Manager	0827JA	2.0	127,970	2.0	127,970
Instant Ticket Development Supvs.	0827JA	1.0	63,667	1.0	65,969
Asst Mgr Mrkt Agt License	0826JA	2.0	123,956	2.0	126,107
Project Coordinator	0826JA	1.0	61,485	1.0	61,485
Video Lottery Systems Manager	0827JA	1.0	60,938	1.0	60,938
Video Lottery Program Auditor	0829JA	1.0	60,300	1.0	60,300
Executive Secretary	0822JA	1.0	59,935	1.0	59,935
Production Clerk	0822JA	1.0	59,935	1.0	59,935
Maintenance Person	0822JA	1.0	58,687	1.0	58,687
Field Representative	0822JA	10.0	547,972	10.0	550,336
Ticket Accounting	0820JA	1.0	53,167	1.0	53,167
Supervisor Personnel Records	0821JA	1.0	52,931	1.0	52,931
Assistant Controller	0824JA	2.0	104,795	2.0	104,795
Licensing Clerk	0820JA	1.0	50,855	1.0	50,855
Computer Programmer	0825JA	1.0	49,946	1.0	49,946
Administrative Officer	0822JA	1.0	49,041	1.0	50,586
Supervisor Public Affairs and Drawings	0822JA	1.0	45,987	1.0	47,432
Secretary	0818JA	3.0	135,792	3.0	135,792
Receptionist	0817JA	1.0	43,946	1.0	45,341
Assistant Production Worker	0818JA	2.0	86,389	2.0	87,754
Assistant Field Representative	0818JA	1.0	41,301	1.0	42,320
Validation Officer	0817JA	1.0	39,307	1.0	40,242
Jr. Maintenance Technician	0801JH	1.0	29,016	1.0	29,364
<b>Subtotal</b>		<b>53.0</b>	<b>\$3,307,730</b>	<b>53.0</b>	<b>\$3,330,359</b>
Cost Allocation from Director's Office		-	91,329	-	91,329
Overtime		-	100,000	-	100,000
Turnover		-	(50,000)	-	(50,000)
<b>Subtotal</b>		-	<b>\$141,329</b>	-	<b>\$141,329</b>
<b>Total Salaries</b>		<b>53.0</b>	<b>\$3,449,059</b>	<b>53.0</b>	<b>\$3,471,688</b>

# Personnel

## Department Of Revenue Lottery Division

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	33,717
FICA		-	259,432	-	261,439
Medical		-	544,016	-	600,312
Payroll Accrual		-	-	-	19,905
Retiree Health		-	232,349	-	233,899
Retirement		-	769,616	-	714,093
<b>Subtotal</b>		-	<b>\$1,805,413</b>	-	<b>\$1,863,365</b>
<b>Total Salaries and Benefits</b>		<b>53.0</b>	<b>\$5,254,472</b>	<b>53.0</b>	<b>\$5,335,053</b>
Cost Per FTE Position			\$99,141		\$100,661
Statewide Benefit Assessment		-	125,595	-	126,443
<b>Subtotal</b>		-	<b>\$125,595</b>	-	<b>\$126,443</b>
<b>Payroll Costs</b>		<b>53.0</b>	<b>\$5,380,067</b>	<b>53.0</b>	<b>\$5,461,496</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	1,650	-	1,650
Clerical and Temporary Services		-	59,531	-	59,531
Management and Consultant Services		-	90,000	-	90,000
<b>Subtotal</b>		-	<b>\$151,181</b>	-	<b>\$151,181</b>
<b>Total Personnel</b>		<b>53.0</b>	<b>\$5,531,248</b>	<b>53.0</b>	<b>\$5,612,677</b>
<b>Distribution By Source Of Funds</b>					
Other Funds		53.0	5,531,248	53.0	5,612,677
<b>Total All Funds</b>		<b>53.0</b>	<b>\$5,531,248</b>	<b>53.0</b>	<b>\$5,612,677</b>



# The Program

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## Department Of Revenue Municipal Finance

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### **Program Mission**

To monitor and report on the financial conditions of the cities and towns and with cities and town undergoing financial distress.

To maintain a databank on local finances and property values for the benefit of municipalities and public policy decision-makers.

To provide assistance and encourage compliance with state laws and policies relating to municipalities especially in the areas of public disclosure, tax levies, and financial reporting.

To maintain and compute financial and equalized property value information of use to municipalities and policymakers.

To annually calculate municipal property wealth and state aid, advising cities and towns on the process of statistical property valuation updates, and provide other technical and legislative support to municipalities.

To maintain and publish a record of elected and appointed municipal officials every election year (the 'Blue Book') and provide staff assistance to the Vehicle value Commission which establishes the value of motor vehicles subject to the excise tax used by municipalities in levying taxes.

### **Program Description**

The Division of Municipal Finance's responsibilities include assisting cities and towns to achieve sound fiscal management through data analysis, technical assistance, training and oversight. The Division also encourages cooperation between municipalities and the state by distributing relevant and timely information and by providing technical assistance to municipalities.

### **Statutory History**

The Division of Municipal Finance is established under R.I.G.L. 42-142-4.

# The Budget

## Department Of Revenue Municipal Finance

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Municipal Affairs	1,124,503	2,145,472	1,902,940	2,585,366	2,064,780
<b>Total Expenditures</b>	<b>\$1,124,503</b>	<b>\$2,145,472</b>	<b>\$1,902,940</b>	<b>\$2,585,366</b>	<b>\$2,064,780</b>
<b>Expenditures By Object</b>					
Personnel	1,111,322	2,124,749	1,839,365	2,521,783	1,998,204
Operating Supplies and Expenses	12,164	20,723	53,575	53,583	56,576
Assistance and Grants	-	-	10,000	10,000	10,000
<b>Subtotal: Operating Expenditures</b>	<b>1,123,486</b>	<b>2,145,472</b>	<b>1,902,940</b>	<b>2,585,366</b>	<b>2,064,780</b>
Capital Purchases and Equipment	1,017	-	-	-	-
<b>Total Expenditures</b>	<b>\$1,124,503</b>	<b>\$2,145,472</b>	<b>\$1,902,940</b>	<b>\$2,585,366</b>	<b>\$2,064,780</b>
<b>Expenditures By Funds</b>					
General Revenue	1,124,503	2,145,472	1,902,940	2,585,366	2,064,780
<b>Total Expenditures</b>	<b>\$1,124,503</b>	<b>\$2,145,472</b>	<b>\$1,902,940</b>	<b>\$2,585,366</b>	<b>\$2,064,780</b>
<b>Program Measures</b>					
Percentage of Equalization Study Procedure Recommendations Implemented	35.0%	35.0%	35.0%	35.0%	35.0%
Objective	100.0%	100.0%		100.0%	100.0%
Percentage of Municipalities Transmitting Real Estate Sales Data Electronically to the Division of Property Valuation	100.0%	100.0%	100.0%	100.0%	100.0%
Objective	100.0%	100.0%		100.0%	100.0%

# Personnel

## Department Of Revenue Municipal Finance

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Assistant Director , Special Projects	0141A	1.0	96,927	1.0	96,927
Supervisor, Local Government Assistance	0833A	2.0	173,323	2.0	173,323
Principal Program Analyst	0328A	1.0	71,975	1.0	71,975
State Aid & Financial Specialist	0332A	3.0	204,283	3.0	205,349
Investigative Auditor	0133A	1.0	63,859	6.0	385,537
Senior Info & Public Relations Specialist	0324A	1.0	60,695	1.0	60,695
Sr. Appraiser Real and Pers. Property	0325A	1.0	45,697	1.0	47,205
Data Control Clerk	0315A	1.0	44,544	1.0	44,544
<b>Subtotal</b>		<b>11.0</b>	<b>\$761,303</b>	<b>16.0</b>	<b>\$1,085,555</b>
Cost Allocation from Human Resources		-	16,750	-	-
Turnover		-	(63,859)	-	(63,631)
<b>Subtotal</b>		<b>-</b>	<b>(\$47,109)</b>	<b>-</b>	<b>(\$63,631)</b>
<b>Total Salaries</b>		<b>11.0</b>	<b>\$714,194</b>	<b>16.0</b>	<b>\$1,021,924</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	10,219
FICA		-	54,604	-	65,074
Medical		-	118,901	-	200,285
Payroll Accrual		-	-	-	5,843
Retiree Health		-	49,181	-	70,102
Retirement		-	164,122	-	216,436
<b>Subtotal</b>		<b>-</b>	<b>\$386,808</b>	<b>-</b>	<b>\$567,959</b>
<b>Total Salaries and Benefits</b>		<b>11.0</b>	<b>\$1,101,002</b>	<b>16.0</b>	<b>\$1,589,883</b>
Cost Per FTE Position			\$100,091		\$99,368
Statewide Benefit Assessment		-	26,781	-	38,321
<b>Subtotal</b>		<b>-</b>	<b>\$26,781</b>	<b>-</b>	<b>\$38,321</b>
<b>Payroll Costs</b>		<b>11.0</b>	<b>\$1,127,783</b>	<b>16.0</b>	<b>\$1,628,204</b>
<b>Purchased Services</b>					
Legal Services		-	800,000 <sup>(1)</sup>	-	300,000 <sup>(1)</sup>
Management and Consultant Services		-	594,000 <sup>(2,3,4)</sup>	-	70,000 <sup>(2,3,4)</sup>
<b>Subtotal</b>		<b>-</b>	<b>\$1,394,000</b>	<b>-</b>	<b>\$370,000</b>
<b>Total Personnel</b>		<b>11.0</b>	<b>\$2,521,783</b>	<b>16.0</b>	<b>\$1,998,204</b>

# Personnel

## Department Of Revenue Municipal Finance

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		11.0	2,521,783	16.0	1,998,204
<b>Total All Funds</b>		<b>11.0</b>	<b>\$2,521,783</b>	<b>16.0</b>	<b>\$1,998,204</b>

1 *Legal Services for Central Falls Receivership Legal services 2012 & 2013.*

3 *Contract for Tax Equalization and Motor Vehicle Tax Analysis management and consultant 2012 & 2013.*

2 *Receiver Fees management and consultant 2012 & 2013.*

4 *Pension Study Central Falls management and consultant 2012 & 2013.*

# The Program

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## Department Of Revenue Taxation

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### **Program Mission**

To foster voluntary compliance with the Rhode Island tax laws and instill public confidence through professional, impartial and ethical conduct; to administer and collect all taxes as required by Rhode Island law in the most efficient and cost effective manner; and to assist taxpayers by helping them understand and meet their tax responsibilities.

### **Program Description**

The Division of Taxation includes several subprograms encompassing many activities. Tax Processing performs all activities relating to the receipt of cash payments and the processing of tax returns. This unit registers taxpayers, records tax accounts, and develops and implements forms necessary to collect all the taxes administered. The E-government subprogram is an associated section of the processing area. The E-government branch administers the electronic payment and electronic filing programs within the Division. The Office of Assessment and Review assesses and collects taxes as prescribed by the Rhode Island General Laws. The office holds preliminary reviews of requests for administrative hearings. Field Audit services audits businesses, corporations and individuals for compliance with existing state tax laws and regulations for all of the taxes for which the Tax Administrator is responsible. Tax Compliance and Collection has responsibility for the compliance, collection, and enforcement actions to collect all overdue taxes administered by the Division of Taxation.

### **Statutory History**

R.I.G.L. 42-142 entitled "Department of Revenue" establishes the Division of Taxation within the Department of Revenue.

# The Budget

## Department Of Revenue Taxation

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Tax Administrator	574,210	4,105,562	594,689	900,919	668,941
Tax Processing Division	4,370,657	4,241,428	4,891,487	4,424,819	4,782,398
Compliance and Collection	2,556,528	2,824,681	3,398,493	3,369,682	3,510,786
Field Audit	4,914,574	5,311,123	5,701,994	5,893,784	6,003,875
Assessment and Review	2,534,633	2,881,796	2,780,138	2,940,143	2,981,607
Employer Tax	2,402,866	2,598,844	3,224,687	3,189,025	3,360,431
<b>Total Expenditures</b>	<b>\$17,353,468</b>	<b>\$21,963,434</b>	<b>\$20,591,488</b>	<b>\$20,718,372</b>	<b>\$21,308,038</b>
<b>Expenditures By Object</b>					
Personnel	15,501,581	16,969,279	18,369,205	18,247,309	18,842,294
Operating Supplies and Expenses	1,803,819	1,728,152	2,116,483	2,134,358	2,356,144
Assistance and Grants	4,369	3,047	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>17,309,769</b>	<b>18,700,478</b>	<b>20,485,688</b>	<b>20,381,667</b>	<b>21,198,438</b>
Capital Purchases and Equipment	43,699	59,260	105,800	336,705	109,600
Operating Transfers	-	3,203,696	-	-	-
<b>Total Expenditures</b>	<b>\$17,353,468</b>	<b>\$21,963,434</b>	<b>\$20,591,488</b>	<b>\$20,718,372</b>	<b>\$21,308,038</b>
<b>Expenditures By Funds</b>					
General Revenue	14,892,421	15,852,425	17,323,623	17,250,010	17,904,225
Federal Funds	992,531	1,095,499	1,348,756	1,336,103	1,435,279
Restricted Receipts	690,101	3,944,895	888,899	879,978	949,422
Operating Transfers from Other Funds	-	263,895	-	236,105	-
Other Funds	778,415	806,720	1,030,210	1,016,176	1,019,112
<b>Total Expenditures</b>	<b>\$17,353,468</b>	<b>\$21,963,434</b>	<b>\$20,591,488</b>	<b>\$20,718,372</b>	<b>\$21,308,038</b>
<b>Program Measures</b>					
Percentage of Personal Income Tax Refunds Mailed within 30 Days Objective	98.6%	98.5%	98.5%	98.5%	98.5%
Percentage of Personal Income Tax Returns Filed Electronically Objective	100.0%	100.0%		100.0%	100.0%
Percentage of Personal Income Tax Returns Filed Electronically Objective	66.0%	72.2%	73.5%	73.5%	74.5%
Field Audit: Total Dollars Assessed Objective	60.0%	60.0%		73.0%	74.0%
Field Audit: Total Dollars Assessed Objective	946.7	707.8	850.0	850.0	850.0
Field Audit: Total Dollars Assessed Objective	675.4	975.1		873.9	873.9

# Personnel

## Department Of Revenue Taxation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Director	0845A	1.0	149,822	1.0	149,822
Executive Director/Tax Administrator	0150A	1.0	141,624	1.0	141,624
Associate Director, Revenue Services	0144A	1.0	137,517	1.0	137,517
Chief of Examinations	0142A	1.0	122,606	1.0	122,606
Chief, Compliance and Collection	0140A	1.0	111,747	1.0	111,747
Chief, Tax Processing Section	0140A	2.0	207,608	2.0	207,608
Chief, Estate and Gift Taxes	0138A	1.0	103,545	1.0	103,545
Chief Revenue Agent	0138A	7.0	687,336	7.0	693,233
Principal Revenue Agent	0831A	17.0	1,259,154	17.0	1,284,080
Supervising Revenue Officer	0831A	5.0	360,517	5.0	370,962
Revenue Analyst	0328A	1.0	70,620	1.0	70,620
Sr. State Multi Tax Auditor	0329A	1.0	70,079	1.0	70,079
Senior Revenue Agent	0328A	34.0	2,237,208	37.0	2,413,046
Chief Implementation Aide	0128A	1.0	65,416	1.0	65,416
Special Invest. Unit Supervisor	0128A	1.0	62,404	1.0	64,259
Revenue Off - Spec Investigations	0324A	9.0	503,418	10.0	553,354
DLT Business Officer	0321A	1.0	52,935	1.0	52,935
Taxpayer Service Specialist	0323A	5.0	260,962	5.0	270,777
Revenue Agent-Spec Investgants	0828A	1.0	51,866	1.0	51,866
Revenue Agent II	0326A	20.0	1,035,189	19.0	994,164
Data Entry Unit Supervisor	0B21A	1.0	51,027	1.0	51,985
Supervising Preaudit Clerk	0321A	1.0	50,933	1.0	52,852
Revenue Officer	0321A	6.0	297,576	6.0	301,443
Tax Examiner (DOA)	0321A	6.0	289,508	6.0	293,567
Revenue Agent I	0324A	10.0	456,011	8.0	375,479
Tax Aide II	0318A	16.0	717,412	16.0	722,180
Taxpayer Assistance Representative	0318A	2.0	88,851	2.0	89,713
Customer Service Specialist I	0315A	1.0	44,076	1.0	44,867
Revenue Officer II	0322A	12.0	493,203	13.0	549,135
Tax Aide I	0316A	24.0	967,661	24.0	982,382
Storekeeper	0315A	1.0	40,249	1.0	41,128
Revenue Officer I	0320A	5.0	199,909	3.0	121,343
Data Control Clerk	0315A	2.0	79,371	2.0	80,451
Licensing Aide	0315A	1.0	39,258	1.0	39,258
Data Entry Operator	0310A	4.0	143,203	4.0	145,264
Tax Investigator	0320A	-	-	4.0	156,220
<b>Subtotal</b>		<b>203.0</b>	<b>\$11,649,821</b>	<b>207.0</b>	<b>\$11,976,527</b>
Overtime		-	145,500	-	145,500
Turnover		-	(522,352)	-	(777,489)
<b>Subtotal</b>		<b>-</b>	<b>(\$376,852)</b>	<b>-</b>	<b>(\$631,989)</b>
<b>Total Salaries</b>		<b>203.0</b>	<b>\$11,272,969</b>	<b>207.0</b>	<b>\$11,344,538</b>

# Personnel

## Department Of Revenue Taxation

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Benefits</b>						
Defined Contribution Plan		-	-	-	111,989	
FICA		-	865,954	(1)	881,465	(1)
Medical		-	2,112,382	-	2,376,764	
Payroll Accrual		-	-	-	65,940	
Retiree Health		-	773,703	-	778,601	
Retirement		-	2,553,642	-	2,368,661	
<b>Subtotal</b>		-	<b>\$6,305,681</b>	-	<b>\$6,583,420</b>	
<b>Total Salaries and Benefits</b>		<b>203.0</b>	<b>\$17,578,650</b>	<b>207.0</b>	<b>\$17,927,958</b>	
Cost Per FTE Position			\$86,594		\$86,608	
Statewide Benefit Assessment		-	422,941	-	425,618	
Temporary and Seasonal		-	151,797	(2)	244,797	(2)
<b>Subtotal</b>		-	<b>\$574,738</b>	-	<b>\$670,415</b>	
<b>Payroll Costs</b>		<b>203.0</b>	<b>\$18,153,388</b>	<b>207.0</b>	<b>\$18,598,373</b>	
<b>Purchased Services</b>						
Clerical and Temporary Services		-	300	(4)	300	(4)
Legal Services		-	21	-	21	
Management and Consultant Services		-	82,500	(3)	82,500	(3)
Other Contract Services		-	11,100	(5)	161,100	(5)
<b>Subtotal</b>		-	<b>\$93,921</b>	-	<b>\$243,921</b>	
<b>Total Personnel</b>		<b>203.0</b>	<b>\$18,247,309</b>	<b>207.0</b>	<b>\$18,842,294</b>	
<b>Distribution By Source Of Funds</b>						
General Revenue		167.0	15,313,498	171.0	15,899,121	
Federal Funds		14.0	1,197,394	14.0	1,201,175	
Restricted Receipts		10.0	838,176	10.0	840,821	
Other Funds		12.0	898,241	12.0	901,177	
<b>Total All Funds</b>		<b>203.0</b>	<b>\$18,247,309</b>	<b>207.0</b>	<b>\$18,842,294</b>	



# Personnel

## Department Of Revenue Taxation

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
1	<i>FICA Added in for Overtime FICA 2012 &amp; 2013.</i>				
2	<i>Seasonal employees during 'tax return' season, includes overtime, FICA, and assessed fringe benefits. In FY 2013, additional seasonal employees for a tax amnesty program. Temp and seasonal 2012 &amp; 2013.</i>				
3	<i>Management services for lockbox, IFTA, electronic funds transfer, and internet portal services. Management and consultant 2012 &amp; 2013.</i>				
4	<i>Stenographic services for administrative hearings. Clerical and temp services 2012 &amp; 2013.</i>				
5	<i>Security services for delivery of receipts to banks. Oter contact services 2012 &amp; 2013.</i>				

# The Program

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## Department Of Revenue Registry of Motor Vehicles

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### **Program Mission**

To administer and enforce all laws pertaining to the operation and registration of motor vehicles. To collect all fees mandated by state statutes in the most efficient and timely manner, to bring an expanded, more efficient level of service to the public.

### **Program Description**

The Division of Motor Vehicles (DMV) also known as the "Registry of Motor Vehicles" is responsible for administering and enforcing all laws pertaining to the operation and registration of all motor vehicles, the issuance of licenses, the enforcement of all laws relating to the issuance, suspension and revocation of motor vehicle registrations and licenses, inspection of motor vehicles and the study of motor vehicle accidents. In addition to these responsibilities, the DMV is actively involved in the testing and training required to implement the new RIMS computer system in spring 2012; redesigning all business processes, documents, and communications resulting from the availability of enhanced hardware and software.

### **Statutory History**

R.I.G.L. 42-142 entitled "Department of Revenue" establishes the Registry of Motor Vehicles as a division within the Department of Revenue.

# The Budget

## Department Of Revenue Registry of Motor Vehicles

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Registry of Motor Vehicles	33,814,058	19,405,828	18,846,658	20,020,546	19,839,042
Vehicle Value Commission	27,983	28,840	30,049	29,526	29,526
<b>Total Expenditures</b>	<b>\$33,842,041</b>	<b>\$19,434,668</b>	<b>\$18,876,707</b>	<b>\$20,050,072</b>	<b>\$19,868,568</b>
<b>Expenditures By Object</b>					
Personnel	11,114,275	11,680,417	13,463,641	14,164,423	14,665,705
Operating Supplies and Expenses	4,731,263	4,379,748	4,551,919	4,581,511	4,489,093
Assistance and Grants	78,650	15,648	3,650	3,650	3,650
<b>Subtotal: Operating Expenditures</b>	<b>15,924,188</b>	<b>16,075,813</b>	<b>18,019,210</b>	<b>18,749,584</b>	<b>19,158,448</b>
Capital Purchases and Equipment	17,756,876	3,301,844	806,143	1,243,488	653,120
Operating Transfers	160,977	57,011	51,354	57,000	57,000
<b>Total Expenditures</b>	<b>\$33,842,041</b>	<b>\$19,434,668</b>	<b>\$18,876,707</b>	<b>\$20,050,072</b>	<b>\$19,868,568</b>
<b>Expenditures By Funds</b>					
General Revenue	15,606,488	16,139,829	17,574,304	18,339,757	18,625,175
Federal Funds	810,592	44,353	1,287,303	827,644	1,128,630
Restricted Receipts	3,311,447	891,399	15,100	363,092	14,763
Operating Transfers from Other Funds	14,113,514	2,359,087	-	519,579	100,000
<b>Total Expenditures</b>	<b>\$33,842,041</b>	<b>\$19,434,668</b>	<b>\$18,876,707</b>	<b>\$20,050,072</b>	<b>\$19,868,568</b>
<b>Program Measures</b>					
Wait Times at the Division of Motor Vehicles (in Minutes) - License and Registration Transaction	N/A	150	45	45	45
Objective	N/A	60		60	60
Wait Times at the Division of Motor Vehicles (in Minutes) - Permits and Written License Exams	N/A	30	30	30	30
Objective	N/A	45		45	45
Wait Times at the Division of Motor Vehicles (in Minutes) - Returning Customers	N/A	20	10	10	10
Objective	N/A	15		15	15
Wait Times at the Division of Motor Vehicles (in Minutes) - Express Services (updates or renewals for licenses and IDs)	N/A	30	30	30	30
Objective	N/A	30		30	30
Wait Times at the Division of Motor Vehicles (in Minutes) - CDL Transactions and Endorsements	N/A	30	25	25	25
Objective	N/A	45		45	45

Wait Times at the Division of Motor Vehicles (in Minutes) - Operator Control	N/A	N/A	N/A	N/A	N/A
Objective	N/A	N/A		N/A	N/A
Wait Times at the Division of Motor Vehicles - Road Exams (in months)	N/A	6	2	2	2
Objective	N/A	2		2	2
Wait Times at the Division of Motor Vehicles - Refunds (in months)	N/A	2	1.5	1.5	2
Objective	N/A	<2		<2	<2

# Personnel

## Department Of Revenue Registry of Motor Vehicles

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Assoc. Director Services (MV)	0144A	1.0	116,901	1.0	116,901
Asst Mtr Vehicle Admin Safety & Reg	0140A	1.0	113,341	1.0	113,341
Asst. Mtr. Vehicle Admin. Cust Serv.	0140A	1.0	106,314	1.0	106,314
Chief of Enforcement & Inspect RMV	0137A	1.0	94,538	1.0	94,538
Chief, Program Development	0134A	1.0	83,852	1.0	88,211
Chief MV Saf & Emiss Contrl	0135A	1.0	83,815	1.0	86,839
Coord Motor Carrier School Bus	0133A	1.0	81,693	1.0	81,693
Administrator Financial Management	0337A	1.0	81,103	1.0	83,187
Chief MV Operator Control	0135A	1.0	80,349	1.0	80,349
Deputy Motor Vehicles Adminstrator	0139A	1.0	77,626	1.0	80,400
Supv Computer Operator	0128A	1.0	69,361	1.0	69,361
Chief Div of Safety Responsibility	3327A	1.0	66,464	1.0	66,464
Chief Implementation Aide	0128A	4.0	260,331	4.0	262,312
Sr Cmnty Dvlpmt Training Specialist	0326A	1.0	62,960	1.0	62,960
MV Appeals Officer	0324A	10.0	575,320	10.0	576,970
License Investigator	0322A	2.0	110,750	2.0	110,750
Supvr, MV Customer Service	3324A	2.0	106,342	2.0	106,342
Interpreter Interviewer (Spanish)	0319A	1.0	50,290	1.0	50,290
Supsr of Branch Office Services (MV)	3322A	7.0	342,809	7.0	344,802
Motor Vehicle Investigator	0320A	5.0	244,188	5.0	245,223
Executive Assistant	0118A	2.0	96,828	2.0	96,828
Fiscal Management Officer	0326A	1.0	47,866	1.0	49,416
Sr Auto & Emiss Control Insp	0321A	1.0	46,729	1.0	46,729
Implementation Aide	0122A	2.0	90,736	2.0	92,240
Customer Svs Repres. II	0318A	34.0	1,528,550	34.0	1,539,558
Storekeeper	0315A	1.0	44,867	1.0	44,867
Asst. Chief Motor Vehicle Saf. & Emis.	0125A	1.0	44,639	1.0	44,639
Data Control Clerk	0315A	2.0	86,249	2.0	86,249
Auto & Emission Cntrl Insp	0317A	4.0	168,683	4.0	170,497
Senior Teller	0318A	3.0	125,167	3.0	128,002
Automotive Service Specialist	0318A	4.0	162,069	4.0	163,666
Teller	0315A	1.0	40,265	1.0	41,128
Motor Vehicle Oper Exam	0316A	10.0	402,022	10.0	406,703
Interpreter Interviewer (Spanish)	0316A	2.0	80,382	2.0	80,382
Principal Clerk Typist	0312A	2.0	79,894	2.0	81,642
Principal Clerk Stenographer	0313A	2.0	79,001	2.0	79,001
Information Aide	0315A	2.0	76,659	2.0	77,140
Principal Clerk	0312A	3.0	110,861	3.0	111,750
Data Entry Operator	0310A	1.0	36,784	1.0	36,784
Clerk Typist	0307A	3.0	110,000	3.0	111,346
Customer Svs Repres. I	0315A	36.0	1,319,781	36.0	1,327,098
Telephone Operator	0310A	2.0	70,040	2.0	70,555
Sr. Clerk-Typist	0309A	3.0	105,011	3.0	105,011
Sr Word Processing Typist	0312A	2.0	69,393	2.0	69,966

# Personnel

## Department Of Revenue Registry of Motor Vehicles

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Senior Clerk	0308A	3.0	94,615	3.0	94,615
Store Clerk	0309A	1.0	30,798	1.0	30,798
<b>Subtotal</b>		<b>172.0</b>	<b>\$7,956,236</b>	<b>172.0</b>	<b>\$8,013,857</b>
Cost Allocation from DOA (HR)		-	93,842	-	-
Cost Allocation from Governor's Office		-	44,031	-	-
Overtime		-	360,000	-	200,000
Turnover		-	(400,618)	-	(248,041)
<b>Subtotal</b>		<b>-</b>	<b>\$97,255</b>	<b>-</b>	<b>(\$48,041)</b>
<b>Total Salaries</b>		<b>172.0</b>	<b>\$8,053,491</b>	<b>172.0</b>	<b>\$7,965,816</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	77,658
FICA		-	615,478	-	608,800
Holiday Pay		-	5,408	-	4,916
Medical		-	1,813,608	-	2,120,830
Payroll Accrual		-	-	-	45,906
Retiree Health		-	526,339	-	531,235
Retirement		-	1,779,592	-	1,656,345
<b>Subtotal</b>		<b>-</b>	<b>\$4,740,425</b>	<b>-</b>	<b>\$5,045,690</b>
<b>Total Salaries and Benefits</b>		<b>172.0</b>	<b>\$12,793,916</b>	<b>172.0</b>	<b>\$13,011,506</b>
Cost Per FTE Position			\$74,383		\$75,648
Statewide Benefit Assessment		-	287,725	-	290,399
<b>Subtotal</b>		<b>-</b>	<b>\$287,725</b>	<b>-</b>	<b>\$290,399</b>
<b>Payroll Costs</b>		<b>172.0</b>	<b>\$13,081,641</b>	<b>172.0</b>	<b>\$13,301,905</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	20,958 <sup>(1)</sup>	-	20,958 <sup>(1)</sup>
Clerical and Temporary Services		-	30,000 <sup>(4)</sup>	-	-
Information Technology		-	783,870 <sup>(2)</sup>	-	1,080,588 <sup>(2)</sup>
Legal Services		-	714 <sup>(3)</sup>	-	714 <sup>(3)</sup>
Other Contract Services		-	247,240 <sup>(5)</sup>	-	261,540 <sup>(5)</sup>
<b>Subtotal</b>		<b>-</b>	<b>\$1,082,782</b>	<b>-</b>	<b>\$1,363,800</b>
<b>Total Personnel</b>		<b>172.0</b>	<b>\$14,164,423</b>	<b>172.0</b>	<b>\$14,665,705</b>

# Personnel

## Department Of Revenue Registry of Motor Vehicles

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		162.0	13,336,912	159.0	13,541,094
Federal Funds		10.0	827,511	13.0	1,124,611
<b>Total All Funds</b>		<b>172.0</b>	<b>\$14,164,423</b>	<b>172.0</b>	<b>\$14,665,705</b>

- 1 Janitorial services at Westerly, and Middletown branches. Building and Grounds 2012 & 2013.
- 3 Legal services relating to arbitration fees. Legal fees 2012 & 2013.
- 5 Security provided by Capitol Police, Officer; Dunbar Security Services for deposits other contract services 2012 & 2013.

- 2 Contractors to be hired to complete federally funded projects Info tech 2012 & 2013.
- 4 Workflow Consultation Clerical & temp 2012.

# The Program

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## Department Of Revenue State Aid

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### **Program Mission**

To annually calculate and distribute state aid to qualifying cities and towns.

### **Program Description**

The following state aid programs are administered within the Department of Revenue.

The Distressed Communities Relief Fund (RIGL 45-13-12): Established to provide assistance to the communities with the highest property tax burdens relative to the wealth of taxpayers.

The Motor Vehicle Excise Tax Phase Out (RIGL 44-34.1-2): Established to phase out the property tax on motor vehicles and trailers. For FY 2011 and thereafter, the General Assembly enacted legislation that mandates a \$500 exemption for which the state will reimburse municipalities an amount subject to appropriation.

The Payment in Lieu of Taxes Exempt Property (RIGL 45-14-5.1): This program reimburses communities for 27 percent of what they would have collected in property taxes from certain designated tax exempt properties. The program was fully funded in FY 2007. Since FY 2008, State appropriation for the PILOT program have equaled less than 27 percent of all taxes that would have been collected had the property been taxable.

The Property Revaluation Program (RIGL 44-5-11.6(c)): Reimburses cities and town for legislatively mandated statistical revaluation updates on a per parcel basis.

The Public Service Corporation Tax (RIGL 44-13-13): The tangible personal property of telegraph, cable and telecommunications corporations and express corporations is exempt from local taxation, and instead is subject to taxation by the State. The revenues are not appropriated.

The Hotel Tax (RIGL 44-18-36.1 (b) and 42-63-1-3): The State levies a 5.0 percent gross receipts tax on charges for occupancy of any space furnished in buildings or structures with a minimum of three rooms. This tax is collected by the hotel and remitted to the State on a monthly basis (except for the City of Newport). An additional 1.0 percent local tax is also assessed and is distributed in total to the city or town where the occupancy occurred. The revenues from these taxes flow through the State are not appropriated.

The Meal and Beverage Tax (RIGL 44-18-18.1) A 1.0 percent gross receipts tax is applied to retail sales of meals and beverages in or from eating and/or drinking establishments. This tax is classified as pass-through state aid.

### **Statutory History**

The Program State Aid was transferred from the General Program in the Department of Administration as part of the FY 2012 Enacted Budget.



# The Budget

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## Department Of Revenue State Aid

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
State Aid	-	-	55,547,364	58,063,582	56,033,396
<b>Total Expenditures</b>	-	-	<b>\$55,547,364</b>	<b>\$58,063,582</b>	<b>\$56,033,396</b>
<b>Expenditures By Object</b>					
Aid to Local Units of Government	-	-	55,547,364	58,063,582	56,033,396
<b>Subtotal: Operating Expenditures</b>	-	-	<b>55,547,364</b>	<b>58,063,582</b>	<b>56,033,396</b>
<b>Total Expenditures</b>	-	-	<b>\$55,547,364</b>	<b>\$58,063,582</b>	<b>\$56,033,396</b>
<b>Expenditures By Funds</b>					
General Revenue	-	-	54,589,867	57,106,085	55,075,899
Restricted Receipts	-	-	957,497	957,497	957,497
<b>Total Expenditures</b>	-	-	<b>\$55,547,364</b>	<b>\$58,063,582</b>	<b>\$56,033,396</b>

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## **Office of Revenue Analysis**

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### ***Timeliness of Issuance of Monthly Revenue Reports - Cash Collections Report***

The Office of Revenue Analysis issues two monthly revenue reports. The first is the monthly and year-to-date cash collections report. This report is a comparison between the fiscal year-to-date cash collections through a particular month of the current fiscal year and the prior fiscal year. For example, the Year-to-Date FY 2012 Cash Collections Report Through September 2011 would compare cash collections through September of FY 2012 with cash collections through September of FY 2011. The second report is the monthly and year-to-date revenue assessment report. This report is a comparison between the fiscal year-to-date adjusted cash collections through a particular month with the revenues expected to be collected based on the adopted or enacted revenue estimates. The value of these reports to internal and external constituencies of the Office of Revenue Analysis is directly related to the timeliness of their issuance.

This indicator measures the timeliness of the issuance of these two revenue reports based on a given report's date stamp at the time of issuance. The Office of Revenue Analysis does not receive the data upon which these reports are based earlier than the second business day of the month following the month that the report covers. The standard is an issuance date not to exceed ten business days following the receipt of the data upon which the reports are based.

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### ***Timeliness of Issuance of Monthly Revenue Reports - Revenue Assessment Report***

The Office of Revenue Analysis issues two monthly revenue reports. The first is the monthly and year-to-date cash collections report. This report is a comparison between the fiscal year-to-date cash collections through a particular month of the current fiscal year and the prior fiscal year. For example, the Year-to-Date FY 2012 Cash Collections Report Through September 2011 would compare cash collections through September of FY 2012 with cash collections through September of FY 2011. The second report is the monthly and year-to-date revenue assessment report. This report is a comparison between the fiscal year-to-date adjusted cash collections through a particular month with the revenues expected to be collected based on the adopted or enacted revenue estimates. The value of these reports to internal and external constituencies of the Office of Revenue Analysis is directly related to the timeliness of their issuance.

This indicator measures the timeliness of the issuance of these two revenue reports based on a given report's date stamp at the time of issuance. The Office of Revenue Analysis does not receive the data upon which these reports are based earlier than the second business day of the month following the month that the report covers. The standard is an issuance date not to exceed ten business days following the receipt of the data upon which the reports are based.

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### ***Production of Annual Revenue Policy Reports***

The Office of Revenue Analysis is responsible for the issuance of annual revenue policy reports. These reports include a synopsis of the revenue changes that have been passed during a given General Assembly session, the Unified Economic Development Budget Report, and the Tax Expenditures Report. The purpose of these reports is to provide information to the public on the impact of the numerous revenue policies adopted by the state.

This indicator measures the number of annual revenue policy reports produced by the Office of Revenue Analysis in a given year. The standard is the production of three such reports in a given fiscal year.

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# Department Of Revenue Performance Measure Narratives

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## ***Completion of Revenue Fiscal Notes for Budget Office***

Rhode Island General Law Chapter 22-12 requires that fiscal notes accompany “[A]ll bills and resolutions having an effect on the revenues, expenditures, or fiscal liability of the state, which can be calculated with reasonable accuracy.” Such fiscal notes “shall, wherever possible, cite effect in dollar amounts for the current fiscal year and estimates for the next two (2) succeeding fiscal years” the impact of the bill or resolution. The Office of Revenue Analysis completes the fiscal notes for bills and resolutions that impact the state’s revenue sources for review and approval by the State Budget Officer.

This indicator measures the number of fiscal notes completed within the time frame designated in Rhode Island General Law § 22-12-4(a). The law requires that fiscal notes be completed and returned by the State Budget Officer to the chairperson of the committee requesting the fiscal note within 10 calendar days. In the case of fiscal notes that impact the state’s revenue sources the relevant committees are the House Finance Committee and the Senate Finance Committee.

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## ***Municipal Finance***

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### ***Percentage of Equalization Study Procedure Recommendations Implemented***

This indicator measures the number of recommendations implemented from the Almy, Gloudemans, Jacobs & Denne Property Taxation and Assessment Consultants Report entitled “Review of Equalization Study Procedures”. This report was an analysis of the policies and procedures used by the Tax Equalization section of the Office of Municipal Finance for the Annual State Aid to Education Study, pursuant to Rhode Island General Law 16-7-21. It should be noted that individual recommendations are not weighted as to importance or difficulty of implementation. The Almy Gloudemans Study dated January 2001, contained twenty-eight recommendations for improvement. This measure is consistent with the division’s stated objective to maintain and complete financial and equalized property value information for the benefit of municipalities and public decision-makers.

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The standard is an implementation rate of one hundred percent.

### ***Percentage of Municipalities Transmitting Real Estate Sales Data Electronically to the Division of Property Valuation***

This indicator measures the percentage of Rhode Island municipalities transmitting Real Estate data electronically to the Office of Municipal Finance. One of the major recommendations of a report, prepared by property taxation and assessment consultants Almy, Gloudemans, Jacobs and Denne, is to require assessors to submit an electronic list of all sold parcels, including parcel identifiers, property type codes and assessed values to the Office of Municipal Finance. This would be in lieu of the former method of hand data entry from hand written or typed abstract cards.

The Office of Municipal Finance receives approximately 19,000 real estate transfers per year from Rhode Island’s 39 cities and towns. Receiving this information electronically rather than manually is more efficient and time saving.

The standard is to have all municipalities send their real estate data electronically to the Office of Municipal Finance electronically.

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# Department Of Revenue Performance Measure Narratives

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## ***Taxation***

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### ***Percentage of Personal Income Tax Refunds Mailed within 30 Days***

The indicator measures the percentage of refunds mailed within 30 days. Rhode Island General Law 44-30-88(c) requires that individual tax refunds be mailed within 90 days of filing. If the refund is not mailed within 90 days then the state must pay interest on the refund owed. The data is presented on a calendar year basis.

The objective is to have one hundred percent of refunds mailed within 30 days of filing.

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### ***Percentage of Personal Income Tax Returns Filed Electronically***

The Rhode Island Division of Taxation has participated in the Fed/State electronic filing program (E-File) for over five years. The number of E-Filed returns has increased each year the program has been in operation. E-File returns benefit both the State and the taxpayers. The State saves money on processing paper returns while taxpayers receive their refunds faster using E-File.

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### ***Field Audit: Total Dollars Assessed***

The Field Audit section is responsible for conducting comprehensive tax audits of the accounting and related records of individuals, partnership and corporate business organizations to determine their proper tax liability under State tax laws. This performance measure tracks the total amount assessed per hour.

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# Department Of Revenue Performance Measure Narratives

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## ***Registry of Motor Vehicles***

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - License and Registration Transaction***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - Permits and Written License Exams***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - Returning Customers***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - Express Services (updates or renewals for licenses and IDs)***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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## Department Of Revenue Performance Measure Narratives

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - CDL Transactions and Endorsements***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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### ***Wait Times at the Division of Motor Vehicles (in Minutes) - Operator Control***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

### ***Wait Times at the Division of Motor Vehicles - Road Exams (in months)***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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### ***Wait Times at the Division of Motor Vehicles - Refunds (in months)***

DMV Performance measurements and goals relate to the agency's ability to get its clientele in and out of the building in an effective and efficient manner. Through redesigned customer forms, a website with correct and complete information, and redesigned workflow processes, the agency is using technology to measure wait times as a means of improving the customer's experience with the agency.

With the DMV's relocation to new headquarters in late August 2010, an electronic queuing system was installed allowing the agency to track the wait times for customers coming into the Cranston branch for service. The wait times for five types of transactions have been kept since October 2010. Transactions in operator control will be added in FY 2013.

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# Agency

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## General Assembly - Constitution

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### Agency Mission

The General Assembly meets annually and is responsible for enactment of laws, formation of state policy and evaluation of programs through the appropriation process.

### Agency Description

The Rhode Island Legislature, the General Assembly, consists of two chambers. The Senate is composed of 38 members. The House of Representatives is composed of 75 members. The Joint Committee on Legislative Affairs, the Legislative Council, the Fiscal Advisory Staff, the Office of the Auditor General, and the Special Legislative Commissions assist the General Assembly in executing its constitutional role.

### Statutory History

The Legislature is one of the three branches of government authorized in the Rhode Island Constitution. Article VI establishes the powers of the Legislature, and Articles VII and VIII define the composition of the House of Representatives and the Senate.

# Budget

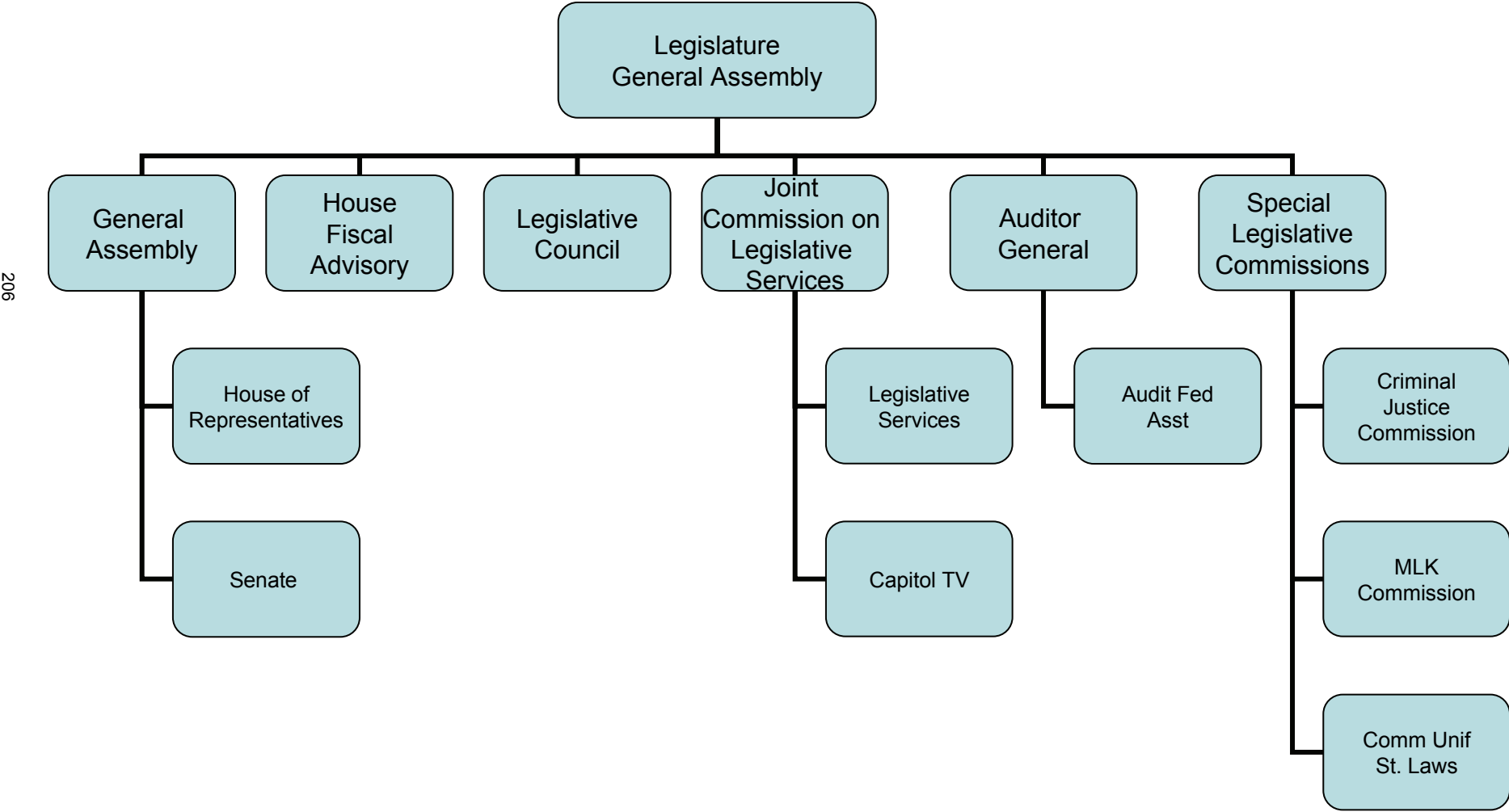
## General Assembly - Constitution

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
General Assembly	4,560,966	6,291,076	6,688,000	6,725,525	5,992,075
Fiscal Advisory Staff	1,327,990	1,417,350	1,635,480	1,655,367	1,716,852
Legislative Council	3,931,857	4,161,495	4,431,511	5,002,920	5,172,818
Joint Comm. on Legislative Aff.	17,839,677	18,191,934	20,135,464	23,105,669	22,088,452
Auditor General	4,413,343	4,634,006	5,293,036	5,168,046	5,540,450
Special Legislative Commissions	6,884	7,247	13,761	13,900	13,900
<b>Total Expenditures</b>	<b>\$32,080,717</b>	<b>\$34,703,108</b>	<b>\$38,197,252</b>	<b>\$41,671,427</b>	<b>\$40,524,547</b>
<b>Expenditures By Object</b>					
Personnel	28,478,768	30,979,804	33,288,921	34,512,924	35,119,800
Operating Supplies and Expenses	1,900,948	2,055,077	2,351,131	3,105,603	2,749,247
Assistance and Grants	1,585,420	1,548,292	2,300,000	2,800,000	2,300,000
<b>Subtotal: Operating Expenditures</b>	<b>31,965,136</b>	<b>34,583,173</b>	<b>37,940,052</b>	<b>40,418,527</b>	<b>40,169,047</b>
Capital Purchases and Equipment	115,581	119,935	257,200	1,252,900	355,500
<b>Total Expenditures</b>	<b>\$32,080,717</b>	<b>\$34,703,108</b>	<b>\$38,197,252</b>	<b>\$41,671,427</b>	<b>\$40,524,547</b>
<b>Expenditures By Funds</b>					
General Revenue	30,577,686	33,127,794	36,548,053	40,022,474	38,764,516
Restricted Receipts	1,503,031	1,575,314	1,649,199	1,648,953	1,760,031
<b>Total Expenditures</b>	<b>\$32,080,717</b>	<b>\$34,703,108</b>	<b>\$38,197,252</b>	<b>\$41,671,427</b>	<b>\$40,524,547</b>
<b>FTE Authorization</b>	<b>288.8</b>	<b>298.5</b>	<b>298.5</b>	<b>298.5</b>	<b>298.5</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	n.s.	n.s.	n.s.	n.s.	n.s.
Females as a Percentage of the Workforce	n.s.	n.s.	n.s.	n.s.	n.s.
Persons with Disabilities as a Percentage of the Workforce	n.s.	n.s.	n.s.	n.s.	n.s.



# The Agency

## Legislation General Assembly



# Personnel

## General Assembly - Constitution Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Unclassified	298.5	20,539,445	298.5	21,103,815
Turnover	-	(539,182)	-	(477,228)
<b>Total Salaries</b>	<b>298.5</b>	<b>\$20,000,263</b>	<b>298.5</b>	<b>\$20,626,587</b>
<b>Benefits</b>				
Contract Stipends	-	-	-	-
Defined Contribution Plan	-	-	-	185,529
FICA	-	1,506,744	-	1,545,758
Medical	-	4,860,666	-	5,365,767
Payroll Accrual	-	-	-	117,185
Retiree Health	-	1,989,385	-	2,051,674
Retirement	-	4,129,838	-	3,929,645
<b>Total Salaries and Benefits</b>	<b>298.5</b>	<b>\$32,486,896</b>	<b>298.5</b>	<b>\$33,822,145</b>
Cost Per FTE Position		\$108,834		\$113,307
Statewide Benefit Assessment	-	735,328	-	758,805
<b>Payroll Costs</b>	<b>298.5</b>	<b>\$33,222,224</b>	<b>298.5</b>	<b>\$34,580,950</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance	-	3,000	-	3,500
Clerical and Temporary Services	-	38,000	-	43,000
Information Technology	-	142,850	-	104,000
Legal Services	-	315,000	-	255,000
Management and Consultant Services	-	790,000	-	131,500
Other Contract Services	-	1,850	-	1,850
Training and Educational Services	-	-	-	-
<b>Total Personnel</b>	<b>298.5</b>	<b>\$34,512,924</b>	<b>298.5</b>	<b>\$35,119,800</b>
<b>Distribution by Source of Funds</b>				
General Revenue	284.9	33,017,036	284.9	33,635,411
Restricted Receipts	13.6	1,495,888	13.6	1,484,389

# Personnel

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## General Assembly - Constitution Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
Total All Funds	298.5	\$34,512,924	298.5	\$35,119,800

# The Program

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## General Assembly - Constitution General Assembly

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### **Program Mission**

The General Assembly meets annually and is responsible for the enactment of laws, the formation of basic state policy, and the evaluation of existing programs through the appropriation process.

### **Program Description**

The General Assembly consists of two chambers. The Senate is composed of 38 members. The House of Representatives is composed of 75 members.

### **Statutory History**

The legislative power of the State is vested in the Legislature as set forth in Article VI of the State Constitution, and the composition of the General Assembly is established in Articles VII and VIII of the State Constitution.

# The Budget

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## General Assembly - Constitution General Assembly

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	4,560,966	6,291,076	6,688,000	6,725,525	5,992,075
<b>Total Expenditures</b>	<b>\$4,560,966</b>	<b>\$6,291,076</b>	<b>\$6,688,000</b>	<b>\$6,725,525</b>	<b>\$5,992,075</b>
<b>Expenditures By Object</b>					
Personnel	3,582,611	5,168,302	5,415,729	5,099,860	4,646,775
Operating Supplies and Expenses	966,463	1,103,200	1,200,771	1,431,165	1,249,800
<b>Subtotal: Operating Expenditures</b>	<b>4,549,074</b>	<b>6,271,502</b>	<b>6,616,500</b>	<b>6,531,025</b>	<b>5,896,575</b>
Capital Purchases and Equipment	11,892	19,574	71,500	194,500	95,500
<b>Total Expenditures</b>	<b>\$4,560,966</b>	<b>\$6,291,076</b>	<b>\$6,688,000</b>	<b>\$6,725,525</b>	<b>\$5,992,075</b>
<b>Expenditures By Funds</b>					
General Revenue	4,560,966	6,291,076	6,688,000	6,725,525	5,992,075
<b>Total Expenditures</b>	<b>\$4,560,966</b>	<b>\$6,291,076</b>	<b>\$6,688,000</b>	<b>\$6,725,525</b>	<b>\$5,992,075</b>

# Personnel

## General Assembly - Constitution

### General Assembly

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Clerks, Pages & Doorkeepers (Temp/Seasonal)		-	230,282	-	230,282
President of the Senate		-	28,372	-	29,223
Representatives		-	1,049,760	-	1,081,253
Senators		-	524,880	-	540,627
Speaker of the House		-	28,372	-	29,223
Summer Legislative Interns (Temp/Seasonal)		-	164,256	-	163,083
<b>Subtotal</b>		-	<b>\$2,025,922</b>	-	<b>\$2,073,691</b>
<b>Total Salaries</b>		-	<b>\$2,025,922</b>	-	<b>\$2,073,691</b>
<b>Benefits</b>					
FICA		-	154,983	-	158,637
Medical		-	1,017,932	-	1,151,057
Payroll Accrual		-	-	-	7,847
Retiree Health		-	756,146	-	778,831
<b>Subtotal</b>		-	<b>\$1,929,061</b>	-	<b>\$2,096,372</b>
<b>Total Salaries and Benefits</b>		-	<b>\$3,954,983</b>	-	<b>\$4,170,063</b>
Cost Per FTE Position			-		-
Statewide Benefit Assessment		-	61,177	-	63,012
<b>Subtotal</b>		-	<b>\$61,177</b>	-	<b>\$63,012</b>
<b>Payroll Costs</b>		-	<b>\$4,016,160</b>	-	<b>\$4,233,075</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	37,500	-	42,500
Legal Services		-	265,000	-	250,000
Management and Consultant Services		-	780,000	-	120,000
Other Contract Services		-	1,200	-	1,200
<b>Subtotal</b>		-	<b>\$1,083,700</b>	-	<b>\$413,700</b>
<b>Total Personnel</b>		-	<b>\$5,099,860</b>	-	<b>\$4,646,775</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		-	5,099,860	-	4,646,775
<b>Total All Funds</b>		-	<b>\$5,099,860</b>	-	<b>\$4,646,775</b>

# The Program

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## General Assembly - Constitution Fiscal Advisory Staff

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### **Program Mission**

Perform fiscal research and analysis for the Legislature, its committees, and individual legislators.

### **Program Description**

The Fiscal Advisory Staff to the House Finance Committee and to the Legislature operates under the supervision of the House Finance Committee. Duties include examination of revenues, review of appropriations and expenditures, and analysis of the State's indebtedness and Capital Improvement Program. The House Fiscal Advisor serves as one of three principals on the Revenue Consensus Forecasting and the Medical and Public Assistance Caseload Estimating Conferences.

### **Statutory History**

The Fiscal Advisory Staff to the House Finance Committee was established as a separate agency in 1959. Statutory provisions for the Fiscal Advisory Staff to the House Finance Committee are contained in R.I.G.L. 22-6.

# The Budget

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## General Assembly - Constitution Fiscal Advisory Staff

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	1,327,990	1,417,350	1,635,480	1,655,367	1,716,852
<b>Total Expenditures</b>	<b>\$1,327,990</b>	<b>\$1,417,350</b>	<b>\$1,635,480</b>	<b>\$1,655,367</b>	<b>\$1,716,852</b>
<b>Expenditures By Object</b>					
Personnel	1,244,888	1,340,131	1,510,986	1,540,220	1,595,502
Operating Supplies and Expenses	82,724	67,289	109,494	103,447	106,350
<b>Subtotal: Operating Expenditures</b>	<b>1,327,612</b>	<b>1,407,420</b>	<b>1,620,480</b>	<b>1,643,667</b>	<b>1,701,852</b>
Capital Purchases and Equipment	378	9,930	15,000	11,700	15,000
<b>Total Expenditures</b>	<b>\$1,327,990</b>	<b>\$1,417,350</b>	<b>\$1,635,480</b>	<b>\$1,655,367</b>	<b>\$1,716,852</b>
<b>Expenditures By Funds</b>					
General Revenue	1,327,990	1,417,350	1,635,480	1,655,367	1,716,852
<b>Total Expenditures</b>	<b>\$1,327,990</b>	<b>\$1,417,350</b>	<b>\$1,635,480</b>	<b>\$1,655,367</b>	<b>\$1,716,852</b>



# Personnel

## General Assembly - Constitution Fiscal Advisory Staff

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
House Fiscal Advisor		1.0	153,079	1.0	157,671
Deputy Fiscal Advisor		1.0	111,146	1.0	114,480
Principal Analyst II		1.0	103,627	1.0	106,736
Principal Analyst I		1.0	99,986	1.0	102,986
Senior Analyst III		1.0	89,592	1.0	92,280
Sr. Analyst I		1.0	73,465	1.0	75,669
Analyst III		2.0	126,754	2.0	130,557
Analyst II		1.0	60,867	1.0	62,693
Administrative Assistant		1.0	55,076	1.0	56,728
Legis Budget Analyst I		2.0	108,816	1.0	56,867
Analyst I		1.0	53,605	2.0	110,426
<b>Subtotal</b>		<b>13.0</b>	<b>\$1,036,013</b>	<b>13.0</b>	<b>\$1,067,093</b>
Turnover		-	(31,172)	-	(32,074)
<b>Subtotal</b>		<b>-</b>	<b>(\$31,172)</b>	<b>-</b>	<b>(\$32,074)</b>
<b>Total Salaries</b>		<b>13.0</b>	<b>\$1,004,841</b>	<b>13.0</b>	<b>\$1,035,019</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	10,350
FICA		-	73,836	-	75,663
Medical		-	123,992	-	139,329
Payroll Accrual		-	-	-	6,102
Retiree Health		-	68,937	-	71,006
Retirement		-	230,930	-	219,218
<b>Subtotal</b>		<b>-</b>	<b>\$497,695</b>	<b>-</b>	<b>\$521,668</b>
<b>Total Salaries and Benefits</b>		<b>13.0</b>	<b>\$1,502,536</b>	<b>13.0</b>	<b>\$1,556,687</b>
Cost Per FTE Position			\$115,580		\$119,745
Statewide Benefit Assessment		-	37,684	-	38,815
<b>Subtotal</b>		<b>-</b>	<b>\$37,684</b>	<b>-</b>	<b>\$38,815</b>
<b>Payroll Costs</b>		<b>13.0</b>	<b>\$1,540,220</b>	<b>13.0</b>	<b>\$1,595,502</b>
<b>Total Personnel</b>		<b>13.0</b>	<b>\$1,540,220</b>	<b>13.0</b>	<b>\$1,595,502</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		13.0	1,540,220	13.0	1,595,502
<b>Total All Funds</b>		<b>13.0</b>	<b>\$1,540,220</b>	<b>13.0</b>	<b>\$1,595,502</b>

# The Program

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## General Assembly - Constitution Legislative Council

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### **Program Mission**

To advise the General Assembly on matters pending or to come before the Legislature.

### **Program Description**

The Legislative Council collects factual information and advises the General Assembly on bill drafting by assisting legislators in the preparation of technically correct bills for introduction in the General Assembly; conducts research on specific topics at the request of legislators, committees, commissions, legislative staff, and informational requests originating in other states; and, maintains library and reference materials on model legislation and files on bills introduced and passed.

### **Statutory History**

The Legislative Council was established as a separate agency in 1939. Statutory provisions for the Legislative Council are contained in R.I.G.L. 22-8.

# The Budget

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## General Assembly - Constitution Legislative Council

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	3,931,857	4,161,495	4,431,511	5,002,920	5,172,818
<b>Total Expenditures</b>	<b>\$3,931,857</b>	<b>\$4,161,495</b>	<b>\$4,431,511</b>	<b>\$5,002,920</b>	<b>\$5,172,818</b>
<b>Expenditures By Object</b>					
Personnel	3,878,045	4,101,858	4,347,741	4,914,265	5,086,038
Operating Supplies and Expenses	52,679	59,637	72,270	77,155	75,280
<b>Subtotal: Operating Expenditures</b>	<b>3,930,724</b>	<b>4,161,495</b>	<b>4,420,011</b>	<b>4,991,420</b>	<b>5,161,318</b>
Capital Purchases and Equipment	1,133	-	11,500	11,500	11,500
<b>Total Expenditures</b>	<b>\$3,931,857</b>	<b>\$4,161,495</b>	<b>\$4,431,511</b>	<b>\$5,002,920</b>	<b>\$5,172,818</b>
<b>Expenditures By Funds</b>					
General Revenue	3,931,857	4,161,495	4,431,511	5,002,920	5,172,818
<b>Total Expenditures</b>	<b>\$3,931,857</b>	<b>\$4,161,495</b>	<b>\$4,431,511</b>	<b>\$5,002,920</b>	<b>\$5,172,818</b>

# Personnel

## General Assembly - Constitution Legislative Council

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Chief Legal Counsel		1.0	128,495	1.0	132,350
Director		1.0	116,891	1.0	120,398
Chief Asst. to Director		1.0	115,693	1.0	119,164
Director Leg Research/Sr. Pol Adv		1.0	99,986	1.0	102,986
Dpty Director-Leg Cncl		1.0	90,952	1.0	93,681
Law Clerk		0.6	51,691	0.6	53,242
Research Analyst		1.0	82,829	1.0	85,314
Sr. Research Analyst		1.0	80,468	1.0	82,882
Legislative Coordinator		1.0	69,315	1.0	71,395
Legal Counsel		13.2	901,277	10.8	756,993
Researcher II		1.0	58,832	1.0	60,597
Constituent Liaison		1.0	49,393	1.0	50,875
Researcher		2.0	90,850	2.0	93,576
Clerical		8.6	389,182	8.6	400,857
Secretary		4.0	174,406	4.0	179,638
Legislative Aide		6.6	281,476	6.6	289,920
Legislative Researcher		1.0	36,686	1.0	37,787
Proofreader		3.0	95,649	3.0	98,518
Sr. Proofreader		1.0	30,360	1.0	31,271
Legislative Counsel		-	-	2.4	171,322
<b>Subtotal</b>		<b>50.0</b>	<b>\$2,944,431</b>	<b>50.0</b>	<b>\$3,032,766</b>
Turnover		-	(88,379)	-	(91,015)
<b>Subtotal</b>		<b>-</b>	<b>(\$88,379)</b>	<b>-</b>	<b>(\$91,015)</b>
<b>Total Salaries</b>		<b>50.0</b>	<b>\$2,856,052</b>	<b>50.0</b>	<b>\$2,941,751</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	29,418
FICA		-	216,047	-	221,944
Medical		-	832,293	-	934,889
Payroll Accrual		-	-	-	17,372
Retiree Health		-	195,932	-	201,808
Retirement		-	656,334	-	623,038
<b>Subtotal</b>		<b>-</b>	<b>\$1,900,606</b>	<b>-</b>	<b>\$2,028,469</b>
<b>Total Salaries and Benefits</b>		<b>50.0</b>	<b>\$4,756,658</b>	<b>50.0</b>	<b>\$4,970,220</b>
Cost Per FTE Position			\$95,133		\$99,404
Statewide Benefit Assessment		-	107,107	-	110,319
<b>Subtotal</b>		<b>-</b>	<b>\$107,107</b>	<b>-</b>	<b>\$110,319</b>
<b>Payroll Costs</b>		<b>50.0</b>	<b>\$4,863,765</b>	<b>50.0</b>	<b>\$5,080,539</b>

# Personnel

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## General Assembly - Constitution Legislative Council

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Clerical and Temporary Services		-	500	-	500
Legal Services		-	50,000	-	5,000
<b>Subtotal</b>		-	<b>\$50,500</b>	-	<b>\$5,500</b>
<b>Total Personnel</b>		<b>50.0</b>	<b>\$4,914,265</b>	<b>50.0</b>	<b>\$5,086,039</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		50.0	4,914,265	50.0	5,086,038
<b>Total All Funds</b>		<b>50.0</b>	<b>\$4,914,265</b>	<b>50.0</b>	<b>\$5,086,038</b>

# The Program

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General Assembly - Constitution  
Joint Comm. on Legislative Aff.

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## **Program Mission**

The Joint Committee on Legislative Affairs is responsible for all administrative matters affecting the operations of the General Assembly.

## **Program Description**

The Joint Committee prepares legislative payrolls and the annual operating budget for the General Assembly, manages the House and Senate appropriations to include all committees unless otherwise specified in law, procures all supplies, materials and technical services, and provides for all printing requirements. Also, the Joint Committee on Legislative Affairs coordinates the Legislative Data Services and the Telecommunications - Cable TV activities.

## **Statutory History**

The Joint Committee on Legislative Affairs was established as a separate agency in 1960. Statutory provisions for the Joint Committee on Legislative Affairs are contained in R.I.G.L. 22-11.

# The Budget

## General Assembly - Constitution Joint Comm. on Legislative Aff.

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	17,839,677	18,191,934	20,135,464	23,105,669	22,088,452
<b>Total Expenditures</b>	<b>\$17,839,677</b>	<b>\$18,191,934</b>	<b>\$20,135,464</b>	<b>\$23,105,669</b>	<b>\$22,088,452</b>
<b>Expenditures By Object</b>					
Personnel	15,751,347	16,174,677	17,191,317	18,261,095	18,859,842
Operating Supplies and Expenses	390,232	392,541	514,947	1,029,374	715,110
Assistance and Grants	1,585,420	1,548,292	2,300,000	2,800,000	2,300,000
<b>Subtotal: Operating Expenditures</b>	<b>17,726,999</b>	<b>18,115,510</b>	<b>20,006,264</b>	<b>22,090,469</b>	<b>21,874,952</b>
Capital Purchases and Equipment	112,678	76,424	129,200	1,015,200	213,500
<b>Total Expenditures</b>	<b>\$17,839,677</b>	<b>\$18,191,934</b>	<b>\$20,135,464</b>	<b>\$23,105,669</b>	<b>\$22,088,452</b>
<b>Expenditures By Funds</b>					
General Revenue	17,839,677	18,191,934	20,135,464	23,105,669	22,088,452
<b>Total Expenditures</b>	<b>\$17,839,677</b>	<b>\$18,191,934</b>	<b>\$20,135,464</b>	<b>\$23,105,669</b>	<b>\$22,088,452</b>

# Personnel

## General Assembly - Constitution Joint Comm. on Legislative Aff.

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Chief of Staff - House		1.0	167,876	1.0	172,912
Chief of Staff - Senate		1.0	160,882	1.0	165,708
Chief Legal Counsel to Senate President		1.0	146,937	1.0	151,345
Senate Fiscal Advisor		1.0	143,136	1.0	147,430
Dpty Chief of Staff - Dir Policy - Senate		1.0	140,050	1.0	144,252
Chief Legal Counsel		1.0	134,293	1.0	138,322
Director/JCLS		1.0	112,623	1.0	116,002
Hse Director of Communications		1.0	111,692	1.0	115,043
Director - Legis Data		1.0	111,299	1.0	114,638
Deputy Chief Staff-Legislation		1.0	107,150	1.0	110,365
Director House Policy		1.0	99,986	1.0	102,986
Deputy Fiscal Advisor		1.0	97,386	1.0	100,307
General Manager		1.0	96,578	1.0	99,475
Secretary of the Senate		1.0	95,437	1.0	98,300
House Reading Clerk		0.8	75,086	0.8	77,339
Senate Parliamentarian		0.6	56,242	0.6	57,929
Executive Director		1.0	93,682	1.0	96,492
Sr. Legal Counsel		1.0	92,398	1.0	95,170
Deputy Chief of Staff		1.0	90,755	1.0	93,478
Director - Law Revision		1.0	88,436	1.0	91,089
Special Assistant to Majority Leader		1.0	88,112	1.0	90,755
Internet Admin		1.0	87,079	1.0	89,691
Legislative Personnel Administrator		1.0	86,347	1.0	88,937
Sr. Financial Officer		1.0	86,321	1.0	88,911
Chief of Staff - House Minority Office		1.0	83,347	1.0	85,847
Supervisor, Legis. Press		1.0	82,749	1.0	85,231
House Parliamentarian - Part Time		0.6	49,019	0.6	50,490
Senior Policy Analyst		3.0	240,287	3.0	247,495
Director of Constituent Services		1.0	79,609	1.0	81,997
Sr. Data/Program Specialist		1.0	79,530	1.0	81,916
Executive Assistant		3.0	237,359	3.0	244,480
Sr. Legis Fisc Analyst		1.0	78,924	1.0	81,292
Asst. Director of Law Revision		0.7	54,589	0.7	56,227
Supervising Svs Admin		1.0	76,111	1.0	78,394
Deputy Director Policy		1.0	74,594	1.0	76,832
Director of Communications		1.0	74,221	1.0	76,448
Constituent Liaison		1.0	73,763	1.0	75,976
Clerk-House Finance		1.0	72,426	1.0	74,599
Television Engineer		1.0	71,918	1.0	74,076
Program Coordinator		1.0	70,687	1.0	72,808
Legislative Grant Coordinator		1.0	70,413	1.0	72,525
Director of Operations		1.0	70,312	1.0	72,421
Legal Counsel - Special Projects		1.0	70,207	1.0	72,313
Sr. Producer/Director		1.0	70,145	1.0	72,249



# Personnel

## General Assembly - Constitution Joint Comm. on Legislative Aff.

	FY 2012		FY 2013		
	Grade	FTE	Cost	FTE	Cost
Chief Staff Sen Maj Ldr		1.0	70,087	1.0	72,190
Deputy Director Constituent Services		1.0	69,456	1.0	71,540
Legal Counsel/Speaker		1.0	68,605	1.0	70,663
Assistant to Administrator		1.0	67,803	1.0	69,837
Hse Rec Clk - Part Time		0.6	40,529	0.6	41,745
Supervisor of Operations		1.0	66,555	1.0	68,552
Support Engineer		2.0	132,874	2.0	138,860
Legal Counsel		7.6	499,512	7.6	514,416
Policy Analyst		1.0	65,200	1.0	67,156
Principal Systems Analyst		1.0	65,004	1.0	66,954
Leg Fiscal Analyst II		1.0	64,885	1.0	66,832
Director of Senate Serv		1.0	64,289	1.0	66,218
Producer/Director		1.0	63,380	1.0	65,281
Administrative Assistant		7.8	494,076	7.8	510,957
Sr. Project Manager		1.0	62,104	1.0	63,967
Operations Supervisor		1.0	61,765	1.0	63,618
Fiscal Analyst II		1.6	97,500	1.6	100,425
Director of Communications		1.0	60,451	1.0	62,265
Policy Analyst II		2.0	120,151	2.0	123,756
Legis. Asst		0.6	34,939	0.6	35,987
Press Foreman		1.0	57,946	1.0	59,684
Sr. Data Analyst		1.0	57,913	1.0	59,650
Supervisor--Veterans' Affrs		1.0	57,607	1.0	59,335
Policy Research Asst.		1.0	55,426	1.0	57,089
Administrator		1.0	55,237	1.0	56,894
Hse Finance Policy Asst		1.0	55,027	1.0	56,678
Policy Aide		1.0	54,902	1.0	56,549
Policy Analyst		1.0	54,738	1.0	56,380
Leg Fiscal Analyst		1.0	54,320	1.0	55,950
Legal Coordinator		1.0	54,248	1.0	55,875
Sr Press Oper		1.0	53,481	1.0	55,085
Publicist		2.0	104,171	2.0	107,296
Assistant Computer Operator		1.0	51,752	1.0	53,305
Administrative Aide		1.0	50,983	1.0	52,512
Policy Analyst		1.0	50,387	1.0	51,899
Constituent Services Caseworker		1.0	49,482	1.0	50,966
Constituent Liaison		1.0	48,575	1.0	50,245
Constituent Liaison		1.0	48,531	1.0	50,032
Assistant Engineer		1.0	48,088	1.0	49,531
Confidential Secretary		1.0	48,070	1.0	49,512
TV Technician II		3.0	141,619	3.0	145,868
Administrative Secretary		1.0	46,862	1.0	48,268
Secretary		19.2	893,521	19.2	933,989
TV Director		1.0	46,529	1.0	47,925
Admin Aide/Clerk		1.0	46,515	1.0	47,910

# Personnel

## General Assembly - Constitution Joint Comm. on Legislative Aff.

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Asst Financial Officer		1.0	46,515	1.0	47,910
Secretary/Clerk		1.0	46,514	1.0	47,909
Press Operator		4.0	184,183	4.0	189,708
Publicist		1.0	45,765	1.0	47,139
Legis Aide		9.0	407,194	9.0	395,249
Senate Serv Asst.		1.0	45,006	1.0	46,356
Coordinator		1.0	44,844	1.0	46,189
Legislative Assistant		14.6	652,932	14.6	672,520
Special Projects Coordinator		0.6	26,036	0.6	26,817
Leg Proj Coord		1.0	42,842	1.0	43,880
Project Coordinator		1.0	42,602	1.0	44,127
Research Asst.		1.0	42,310	1.0	43,579
Data Analyst		2.0	83,267	2.0	85,765
Sr. Clerk/Receptionist		1.5	62,207	1.5	64,073
TV Technician		3.0	120,401	3.0	123,054
Clerk - Part Time		1.2	47,529	1.2	48,955
Computer Tech Part Time		0.4	15,701	0.4	16,172
Clerical		3.6	138,012	3.6	142,152
Policy Analyst		1.0	37,558	1.0	38,685
Legislative Researcher		1.0	36,517	1.0	37,613
Comp Operator		1.0	36,379	1.0	37,470
TV Technician I		1.0	36,273	1.0	37,361
Secretary/Receptionist		1.0	36,185	1.0	37,271
Communications Asst		1.0	34,313	1.0	35,342
Policy Analyst I		1.0	34,309	1.0	35,338
Legis Aide - Part Time		3.7	120,491	3.7	124,106
Legislative Aide		2.0	60,641	2.0	62,460
Camera Operator		1.0	23,457	1.0	24,161
Camera Operator - Part Time		0.4	6,043	0.4	6,224
<b>Subtotal</b>		<b>190.1</b>	<b>\$11,461,114</b>	<b>190.1</b>	<b>\$11,803,723</b>
Turnover		-	(344,631)	-	(354,139)
<b>Subtotal</b>		<b>-</b>	<b>(\$344,631)</b>	<b>-</b>	<b>(\$354,139)</b>
<b>Total Salaries</b>		<b>190.1</b>	<b>\$11,116,483</b>	<b>190.1</b>	<b>\$11,449,584</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	114,496
FICA		-	832,590	-	855,184
Medical		-	2,429,530	-	2,621,002
Payroll Accrual		-	-	-	67,584
Retiree Health		-	762,680	-	785,507
Retirement		-	2,553,542	-	2,425,093
<b>Subtotal</b>		<b>-</b>	<b>\$6,578,342</b>	<b>-</b>	<b>\$6,868,866</b>
<b>Total Salaries and Benefits</b>		<b>190.1</b>	<b>\$17,694,825</b>	<b>190.1</b>	<b>\$18,318,450</b>
Cost Per FTE Position			\$93,082		\$96,362

# Personnel

## General Assembly - Constitution Joint Comm. on Legislative Aff.

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Statewide Benefit Assessment		-	416,920	-	429,391
<b>Subtotal</b>		-	<b>\$416,920</b>	-	<b>\$429,391</b>
<b>Payroll Costs</b>		<b>190.1</b>	<b>\$18,111,745</b>	<b>190.1</b>	<b>\$18,747,841</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	3,000	-	3,500
Information Technology		-	142,850	-	104,000
Management and Consultant Services		-	3,500	-	4,500
<b>Subtotal</b>		-	<b>\$149,350</b>	-	<b>\$112,000</b>
<b>Total Personnel</b>		<b>190.1</b>	<b>\$18,261,095</b>	<b>190.1</b>	<b>\$18,859,841</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		190.1	18,261,095	190.1	18,859,842
<b>Total All Funds</b>		<b>190.1</b>	<b>\$18,261,095</b>	<b>190.1</b>	<b>\$18,859,842</b>

# The Program

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## General Assembly - Constitution Auditor General

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### **Program Mission**

Provides audits and accounting of State Government programs to the General Assembly for its legislative oversight and capability.

### **Program Description**

The Office of the Auditor General assists the General Assembly in reviewing compliance, efficiency, economy, and effectiveness of state programs. The Office of the Auditor General conducts financial and program audits, which encompass the investigation of all matters relating to a review of program costs and the evaluation of program performance; completes the annual post-audit of the receipts and expenditures of the State; and, in accordance with the Single Audit Act of 1984, circular number A-128, issued by the United States Office of Management and Budget, and Chapter 41 of the Rhode Island General Laws, conducts annual audits of federally-funded programs administered by the State.

### **Statutory History**

The Office of the Auditor General was established as a separate agency in 1973. Statutory provisions for the Office of the Auditor General are contained in R.I.G.L. 22-13.

# The Budget

## General Assembly - Constitution Auditor General

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	4,413,343	4,634,006	5,293,036	5,168,046	5,540,450
<b>Total Expenditures</b>	<b>\$4,413,343</b>	<b>\$4,634,006</b>	<b>\$5,293,036</b>	<b>\$5,168,046</b>	<b>\$5,540,450</b>
<b>Expenditures By Object</b>					
Personnel	4,021,877	4,194,836	4,823,148	4,697,484	4,931,643
Operating Supplies and Expenses	401,966	425,163	439,888	450,562	588,807
<b>Subtotal: Operating Expenditures</b>	<b>4,423,843</b>	<b>4,619,999</b>	<b>5,263,036</b>	<b>5,148,046</b>	<b>5,520,450</b>
Capital Purchases and Equipment	(10,500)	14,007	30,000	20,000	20,000
<b>Total Expenditures</b>	<b>\$4,413,343</b>	<b>\$4,634,006</b>	<b>\$5,293,036</b>	<b>\$5,168,046</b>	<b>\$5,540,450</b>
<b>Expenditures By Funds</b>					
General Revenue	2,910,312	3,058,692	3,643,837	3,519,093	3,780,419
Restricted Receipts	1,503,031	1,575,314	1,649,199	1,648,953	1,760,031
<b>Total Expenditures</b>	<b>\$4,413,343</b>	<b>\$4,634,006</b>	<b>\$5,293,036</b>	<b>\$5,168,046</b>	<b>\$5,540,450</b>

# Personnel

## General Assembly - Constitution

### Auditor General

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Auditor General		1.0	150,000	1.0	150,000
Assistant Auditor General		1.0	140,050	1.0	140,050
Senior Audit Manager		3.0	326,525	3.0	326,525
Audit Manager		3.0	282,708	3.0	282,708
Legal Counsel		0.6	53,917	0.6	53,917
Training Director/Municipal Training Liaison		1.0	81,997	1.0	81,997
Supervising IT Auditor		1.0	78,535	1.0	78,535
Supervising Auditor		4.8	368,769	4.8	369,601
Assistant Info System Audit Mgr		1.0	76,708	1.0	76,708
Information Systems Audit Mgr		1.0	75,000	1.0	100,000
Administrative Officer		1.0	67,636	1.0	67,636
Data Systems Coordinator		1.0	63,731	1.0	63,731
Principal Auditor		7.0	439,978	7.0	439,978
Asst. Data Systems Coordinator		1.0	54,097	1.0	54,097
Executive Secretary		1.0	53,749	1.0	53,749
Senior Clerk Receptionist		1.0	47,423	1.0	47,423
IT Auditor		1.0	47,031	1.0	47,031
Senior Auditor		7.0	317,737	6.0	288,611
Auditor		6.0	252,783	7.0	290,654
Administrative Aide		2.0	73,591	2.0	73,591
Merit Increases		-	20,000	-	40,000
<b>Subtotal</b>		<b>45.4</b>	<b>\$3,071,965</b>	<b>45.4</b>	<b>\$3,126,542</b>
Turnover		-	(75,000)	-	-
<b>Subtotal</b>		-	<b>(\$75,000)</b>	-	-
<b>Total Salaries</b>		<b>45.4</b>	<b>\$2,996,965</b>	<b>45.4</b>	<b>\$3,126,542</b>
<b>Benefits</b>					
Contract Stipends		-	-	-	-
Defined Contribution Plan		-	-	-	31,265
FICA		-	229,288	-	234,330
Medical		-	456,919	-	519,490
Payroll Accrual		-	-	-	18,280
Retiree Health		-	205,690	-	214,522
Retirement		-	689,032	-	662,296
<b>Subtotal</b>		-	<b>\$1,580,929</b>	-	<b>\$1,680,183</b>
<b>Total Salaries and Benefits</b>		<b>45.4</b>	<b>\$4,577,894</b>	<b>45.4</b>	<b>\$4,806,725</b>
Cost Per FTE Position			\$100,835		\$105,875
Statewide Benefit Assessment		-	112,440	-	117,268
<b>Subtotal</b>		-	<b>\$112,440</b>	-	<b>\$117,268</b>
<b>Payroll Costs</b>		<b>45.4</b>	<b>\$4,690,334</b>	<b>45.4</b>	<b>\$4,923,993</b>

# Personnel

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## General Assembly - Constitution

### Auditor General

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Management and Consultant Services		-	6,500	-	7,000
Other Contract Services		-	650	-	650
Training and Educational Services		-	-	-	-
<b>Subtotal</b>		-	<b>\$7,150</b>	-	<b>\$7,650</b>
<b>Total Personnel</b>		<b>45.4</b>	<b>\$4,697,484</b>	<b>45.4</b>	<b>\$4,931,643</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		31.8	3,201,596	31.8	3,447,254
Restricted Receipts		13.6	1,495,888	13.6	1,484,389
<b>Total All Funds</b>		<b>45.4</b>	<b>\$4,697,484</b>	<b>45.4</b>	<b>\$4,931,643</b>

# The Program

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General Assembly - Constitution  
Special Legislative Commissions

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## **Program Mission**

Special Legislative Commissions include boards and commissions established for the promotion of certain goals and objectives, and to address items of local, regional and national concern.

## **Program Description**

Included in this program are: the Commission on Uniform State Laws, the Criminal Justice Commission, and the Martin Luther King Commission.

## **Statutory History**

Special Legislative Commissions are generally established under the authority granted to the General Assembly in the Rhode Island State Constitution. Specific provisions for various commissions are also established within the Rhode Island General Laws.



# The Budget

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## General Assembly - Constitution Special Legislative Commissions

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	6,884	7,247	13,761	13,900	13,900
<b>Total Expenditures</b>	<b>\$6,884</b>	<b>\$7,247</b>	<b>\$13,761</b>	<b>\$13,900</b>	<b>\$13,900</b>
<b>Expenditures By Object</b>					
Operating Supplies and Expenses	6,884	7,247	13,761	13,900	13,900
<b>Subtotal: Operating Expenditures</b>	<b>6,884</b>	<b>7,247</b>	<b>13,761</b>	<b>13,900</b>	<b>13,900</b>
<b>Total Expenditures</b>	<b>\$6,884</b>	<b>\$7,247</b>	<b>\$13,761</b>	<b>\$13,900</b>	<b>\$13,900</b>
<b>Expenditures By Funds</b>					
General Revenue	6,884	7,247	13,761	13,900	13,900
<b>Total Expenditures</b>	<b>\$6,884</b>	<b>\$7,247</b>	<b>\$13,761</b>	<b>\$13,900</b>	<b>\$13,900</b>

# Agency

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## Executive Department

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### Agency Mission

To fulfill all responsibilities and duties in accordance with the Constitution and Laws of the State of Rhode Island. To monitor all federal legislation and the federal budget for impact upon Rhode Island. To provide oversight on the expenditure of and reporting on American Recovery and Reinvestment Act (ARRA) funds, and initiate the new Health Benefit Exchange as part of the federal Patient Protection and Affordable Care Act.

To process legislative and regulatory opportunities for the State of Rhode Island.

To obtain maximum federal funding for the State of Rhode Island.

To initiate reform and change in both government and the economy for the betterment of all Rhode Island Citizens.

### Agency Description

The Office of the Governor is established under the Rhode Island Constitution as one of the general offices and is subject to election by the voters of the State. The Office of the Governor is responsible for the enactment of reform and change in state government for the betterment of the citizens of the State of Rhode Island. In accomplishing this task, the Office of the Governor coordinates the services of a staff of professionals to include the Executive Counsel Office, Business Administrative Services, Policy Office, Legislative Affairs Office, Media Office, Constituent Affairs Office, and Community Relations Office. Additionally, the Office of Economic Recovery and Reinvestment (OERR) was established in FY 2010 to ensure compliance with the provisions of the American Recovery and Reinvestment Act (ARRA), including establishing processes for identifying, evaluating, and tracking ARRA initiatives. The OERR office is also responsible for coordinating state agency reporting on use of federal ARRA funds. Although ARRA funding will be in use in FY 2013 and possible FY 2014, the OERR's functions are recommended to become part of the Office of Management and Budget in the Department of Administration beginning in FY 2013. The Rhode Island Health Benefits Exchange is expected to establish consistency of health care provision throughout the State, and will avoid federal intervention in setting up the Exchange, which states must do before January 1, 2013. The Exchange is established in the Governor's Office as the centrally accountable office for operational and financial implementation, including policy development. The Exchange Director will report to the Board of the Rhode Island Health Benefits Exchange, and will work with other state departments, including the Lt. Governor, the Executive Office of Health and Human Services, and the Health Insurance Commissioner, among others

### Statutory History

The Governor is the head of the Executive Branch of State government. Among the powers and duties of the Governor under the State Constitution are: faithfully executing the laws (Art IX, Section 2); commanding the state's military and naval forces (Article IX, Section 3); granting reprieves (Articles IX, Section 2); and pardons (Article IX, Section 13); convening special sessions of the general assembly (Article IX, Section 7); and; preparing and presenting to the general assembly an annual state budget (Article IX, Section 15). Each Administration creates its own Office of the Governor for the purpose of governing the State of Rhode Island. The Federal Office of Management and Budget memorandum 09-18 determines the programmatic responsibilities of the OERR. The Governor signed Executive Order 11-09 in September, 2011 establishing the Health Benefits Exchange within the Office of the Governor in response to the federal Affordable Care Act 1311 (d)(6).

The administration of Governor Lincoln D. Chafee began on January 4, 2011.

# Budget

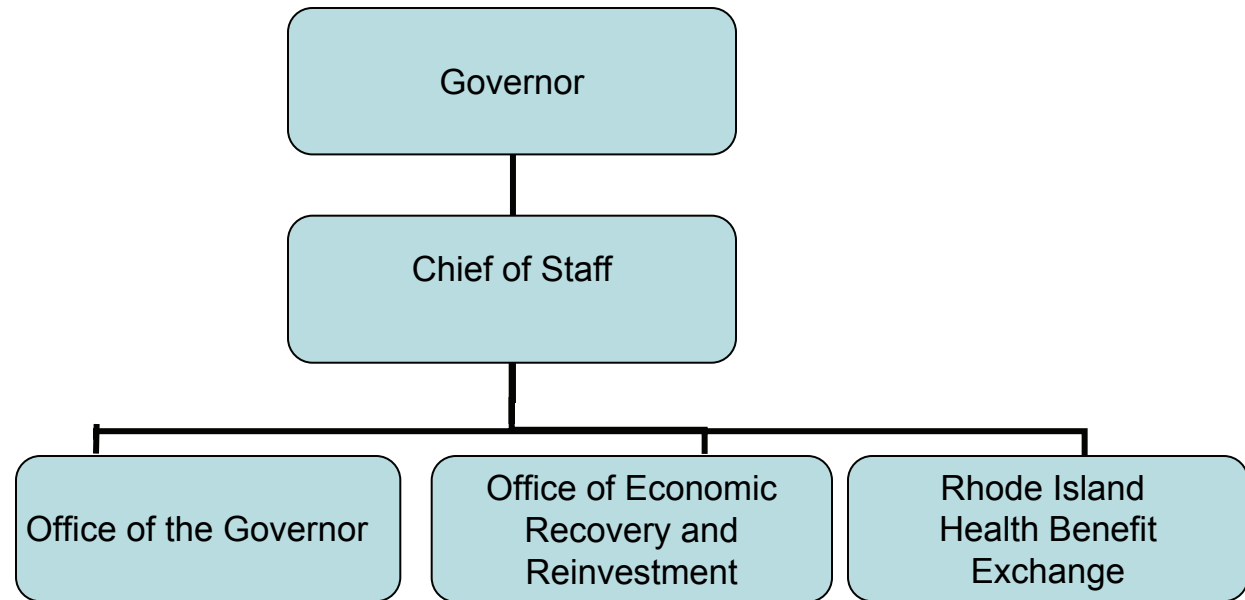
## Executive Department

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	4,344,370	4,102,488	4,338,521	4,397,882	4,418,290
Office of Economic Recovery and Reinvestment	975,903	599,379	917,574	714,266	-
Rhode Island Health Benefits Exchange	-	-	-	109,768	1,097,141
<b>Total Expenditures</b>	<b>\$5,320,273</b>	<b>\$4,701,867</b>	<b>\$5,256,095</b>	<b>\$5,221,916</b>	<b>\$5,515,431</b>
<b>Expenditures By Object</b>					
Personnel	4,919,845	4,393,205	4,625,357	4,526,290	4,914,752
Operating Supplies and Expenses	297,828	275,803	295,522	289,001	313,111
Assistance and Grants	28,000	1,370	250,000	250,000	250,000
<b>Subtotal: Operating Expenditures</b>	<b>5,245,673</b>	<b>4,670,378</b>	<b>5,170,879</b>	<b>5,065,291</b>	<b>5,477,863</b>
Capital Purchases and Equipment	4,119	31,489	11,000	22,856	37,568
Operating Transfers	70,481	-	74,216	133,769	-
<b>Total Expenditures</b>	<b>\$5,320,273</b>	<b>\$4,701,867</b>	<b>\$5,256,095</b>	<b>\$5,221,916</b>	<b>\$5,515,431</b>
<b>Expenditures By Funds</b>					
General Revenue	4,344,370	4,102,488	4,338,521	4,397,882	4,418,290
Federal Funds	55,161	40,411	139,898	109,768	1,097,141
Restricted Receipts	920,742	558,968	777,676	714,266	-
<b>Total Expenditures</b>	<b>\$5,320,273</b>	<b>\$4,701,867</b>	<b>\$5,256,095</b>	<b>\$5,221,916</b>	<b>\$5,515,431</b>
<b>FTE Authorization</b>	<b>44.0</b>	<b>45.0</b>	<b>45.0</b>	<b>45.0</b>	<b>45.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	n/a	n/a	n/a	8.4%	8.4%
Females as a Percentage of the Workforce	n/a	n/a	n/a	41.7 %	41.7 %
Persons with Disabilities as a Percentage of the Workforce	n/a	n/a	n/a	0.0%	0.0%

# The Agency

Executive Department

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# Personnel

## Executive Department Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Classified	3.0	335,220	1.0	88,903
Unclassified	42.0	2,975,798	44.0	3,209,735
Interdepartmental Transfer	-	(44,031)	-	-
Turnover	-	(327,510)	-	(100,001)
<b>Total Salaries</b>	<b>45.0</b>	<b>\$2,939,477</b>	<b>45.0</b>	<b>\$3,198,637</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	31,731
FICA	-	197,759	-	197,844
Medical	-	364,843	-	459,682
Payroll Accrual	-	-	-	18,168
Retiree Health	-	207,111	-	217,672
Retirement	-	683,883	-	672,028
<b>Total Salaries and Benefits</b>	<b>45.0</b>	<b>\$4,393,073</b>	<b>45.0</b>	<b>\$4,795,762</b>
Cost Per FTE Position		\$97,624		\$106,572
Statewide Benefit Assessment	-	113,217	-	118,990
Temporary and Seasonal	-	-	-	-
<b>Payroll Costs</b>	<b>45.0</b>	<b>\$4,506,290</b>	<b>45.0</b>	<b>\$4,914,752</b>
<b>Purchased Services</b>				
Information Technology	-	20,000	-	-
<b>Total Personnel</b>	<b>45.0</b>	<b>\$4,526,290</b>	<b>45.0</b>	<b>\$4,914,752</b>
<b>Distribution by Source of Funds</b>				
General Revenue	37.0	3,868,325	39.0	3,888,921
Federal Funds	1.0	90,458	6.0	1,025,831
Restricted Receipts	7.0	567,507	-	-
<b>Total All Funds</b>	<b>45.0</b>	<b>\$4,526,290</b>	<b>45.0</b>	<b>\$4,914,752</b>

# The Budget

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## Executive Department Central Management

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Governor's Office	4,344,370	4,102,488	4,338,521	4,397,882	4,418,290
<b>Total Expenditures</b>	<b>\$4,344,370</b>	<b>\$4,102,488</b>	<b>\$4,338,521</b>	<b>\$4,397,882</b>	<b>\$4,418,290</b>
<b>Expenditures By Object</b>					
Personnel	4,042,121	3,800,929	3,793,979	3,868,325	3,888,921
Operating Supplies and Expenses	270,130	271,714	283,542	259,301	259,301
Assistance and Grants	28,000	1,370	250,000	250,000	250,000
<b>Subtotal: Operating Expenditures</b>	<b>4,340,251</b>	<b>4,074,013</b>	<b>4,327,521</b>	<b>4,377,626</b>	<b>4,398,222</b>
Capital Purchases and Equipment	4,119	28,475	11,000	20,256	20,068
<b>Total Expenditures</b>	<b>\$4,344,370</b>	<b>\$4,102,488</b>	<b>\$4,338,521</b>	<b>\$4,397,882</b>	<b>\$4,418,290</b>
<b>Expenditures By Funds</b>					
General Revenue	4,344,370	4,102,488	4,338,521	4,397,882	4,418,290
<b>Total Expenditures</b>	<b>\$4,344,370</b>	<b>\$4,102,488</b>	<b>\$4,338,521</b>	<b>\$4,397,882</b>	<b>\$4,418,290</b>

# Personnel

## Executive Department Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Executive Assistant	135	1.0	88,903	1.0	88,903
<b>Subtotal</b>		<b>1.0</b>	<b>\$88,903</b>	<b>1.0</b>	<b>\$88,903</b>
<b>Unclassified</b>					
Chief of Staff	8355	1.0	182,619	1.0	182,619
Deputy Chief of Staff	8353	1.0	160,628	1.0	160,628
Senior Advisor to the Governor	8353	1.0	160,628	1.0	160,628
Executive Counsel	8351	1.0	150,016	1.0	150,016
Governor	527F	1.0	129,210	1.0	129,210
Director of Policy and Legislative Affairs	8341	1.0	115,138	1.0	115,138
Assistant to the Governor for Spec.Proj.	8341	1.0	101,653	1.0	101,653
Director of Scheduling	8340	1.0	92,669	1.0	92,669
Director of Communications	8340	1.0	88,177	1.0	88,177
Principal Projects Manager	8331	1.0	83,671	1.0	83,671
Legal Counsel	8335	1.0	78,087	1.0	78,087
Legal Counsel	8335	1.0	78,087	1.0	78,087
Deputy Dir. Policy & Legislative Affairs	8336	1.0	75,153	1.0	75,153
Administrative Secretary	8325	1.0	64,705	1.0	64,705
Deputy Press Secretary	8330	1.0	60,475	1.0	60,475
Advance Manager	8324	1.0	49,685	1.0	49,685
Assistant to the Governor -Special Proj.	8324	1.0	49,685	1.0	49,685
Constituent Services Associate II	8324	1.0	49,685	1.0	49,685
Director of Constituent Affairs	8324	1.0	49,685	1.0	49,685
Policy & Legislative Analyst	8324	2.0	99,370	2.0	99,370
Policy & Legislative Analyst	8324	1.0	49,685	1.0	49,685
Receptionist/Greeter	8324	1.0	49,685	1.0	49,685
Staff Assistant	8316	0.5	23,930	0.5	23,930
Staff Assistant	8316	0.5	22,374	0.5	22,374
Constituent Services Associate	8301	2.0	86,574	4.0	115,432
Policy & Legislative Analyst	8320	4.0	162,936	4.0	162,936
Policy Researcher	8316	1.0	38,410	1.0	38,410
Communications Associate	8316	1.0	37,618	1.0	37,618
Constituent Services Associate	8301	1.0	37,389	1.0	37,389
Administrative Assistant	8301	1.0	29,555	1.0	29,555
Communications Associate	8316	1.0	29,555	1.0	29,555
Constituent Services Associate	8301	1.0	29,255	1.0	29,255
<b>Subtotal</b>		<b>36.0</b>	<b>\$2,515,992</b>	<b>38.0</b>	<b>\$2,544,850</b>
Turnover		-	(75,416)	-	(100,001)
<b>Subtotal</b>		-	<b>(\$75,416)</b>	-	<b>(\$100,001)</b>
<b>Total Salaries</b>		<b>37.0</b>	<b>\$2,529,479</b>	<b>39.0</b>	<b>\$2,533,752</b>

# Personnel

## Executive Department Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	25,082
FICA		-	163,314	-	160,123
Medical		-	325,881	-	357,946
Payroll Accrual		-	-	-	14,695
Retiree Health		-	173,522	-	172,061
Retirement		-	581,274	-	531,205
<b>Subtotal</b>		-	<b>\$1,243,991</b>	-	<b>\$1,261,112</b>
<b>Total Salaries and Benefits</b>		<b>37.0</b>	<b>\$3,773,470</b>	<b>39.0</b>	<b>\$3,794,864</b>
Cost Per FTE Position			\$101,986		\$97,304
Statewide Benefit Assessment		-	94,855	-	94,057
<b>Subtotal</b>		-	<b>\$94,855</b>	-	<b>\$94,057</b>
<b>Payroll Costs</b>		<b>37.0</b>	<b>\$3,868,325</b>	<b>39.0</b>	<b>\$3,888,921</b>
<b>Total Personnel</b>		<b>37.0</b>	<b>\$3,868,325</b>	<b>39.0</b>	<b>\$3,888,921</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		37.0	3,868,325	39.0	3,888,921
<b>Total All Funds</b>		<b>37.0</b>	<b>\$3,868,325</b>	<b>39.0</b>	<b>\$3,888,921</b>



# The Budget

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## Executive Department Office of Economic Recovery and Reinvestment

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Economic Recovery and Reinvest	975,903	599,379	917,574	714,266	-
<b>Total Expenditures</b>	<b>\$975,903</b>	<b>\$599,379</b>	<b>\$917,574</b>	<b>\$714,266</b>	-
<b>Expenditures By Object</b>					
Personnel	877,724	592,276	831,378	567,507	-
Operating Supplies and Expenses	27,698	4,089	11,980	12,990	-
<b>Subtotal: Operating Expenditures</b>	<b>905,422</b>	<b>596,365</b>	<b>843,358</b>	<b>580,497</b>	-
Capital Purchases and Equipment	-	3,014	-	-	-
Operating Transfers	70,481	-	74,216	133,769	-
<b>Total Expenditures</b>	<b>\$975,903</b>	<b>\$599,379</b>	<b>\$917,574</b>	<b>\$714,266</b>	-
<b>Expenditures By Funds</b>					
Federal Funds	55,161	40,411	139,898	-	-
Restricted Receipts	920,742	558,968	777,676	714,266	-
<b>Total Expenditures</b>	<b>\$975,903</b>	<b>\$599,379</b>	<b>\$917,574</b>	<b>\$714,266</b>	-

# Personnel

## Executive Department

### Office of Economic Recovery and Reinvestment

	Grade	FY 2012		FY 2013		
		FTE	Cost	FTE	Cost	
<b>Classified</b>						
Admin and Legal Sup Svcs Admin	0143 A	1.0	124,564	-	-	(2)
Associate Director (BHDDH)	0142 A	1.0	121,753	-	-	
<b>Subtotal</b>		<b>2.0</b>	<b>\$246,317</b>	-	-	
<b>Unclassified</b>						
Exec Asst/Communications/Public Info	8333	1.0	88,061	-	-	
Principal Projects Manager	8331	1.0	71,209	-	-	
Fiscal Management Supervisor	8329	1.0	62,348	-	-	
Program Analyst	8321	2.0	88,809	-	-	
<b>Subtotal</b>		<b>5.0</b>	<b>\$310,427</b>	-	-	
Interdepartmental Transfer		-	(44,031)	(1)	-	
Turnover		-	(160,168)	0	-	
<b>Subtotal</b>		-	<b>(\$204,199)</b>	-	-	
<b>Total Salaries</b>		<b>7.0</b>	<b>\$352,545</b>	-	-	
<b>Benefits</b>						
FICA		-	30,370	-	-	
Medical		-	29,331	-	-	
Payroll Accrual		-	-	-	-	
Retiree Health		-	29,648	-	-	
Retirement		-	89,406	-	-	
<b>Subtotal</b>		-	<b>\$178,755</b>	-	-	
<b>Total Salaries and Benefits</b>		<b>7.0</b>	<b>\$531,300</b>	-	-	
Cost Per FTE Position			\$75,900			
Statewide Benefit Assessment		-	16,207	-	-	
Temporary and Seasonal		-	-	-	-	
<b>Subtotal</b>		-	<b>\$16,207</b>	-	-	
<b>Payroll Costs</b>		<b>7.0</b>	<b>\$547,507</b>	-	-	
<b>Purchased Services</b>						
Information Technology		-	20,000	-	-	
<b>Subtotal</b>		-	<b>\$20,000</b>	-	-	
<b>Total Personnel</b>		<b>7.0</b>	<b>\$567,507</b>	-	-	

# Personnel

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## Executive Department

## Office of Economic Recovery and Reinvestment

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Restricted Receipts		7.0	567,507	-	-
<b>Total All Funds</b>		<b>7.0</b>	<b>\$567,507</b>	<b>-</b>	<b>-</b>

1 Offset of 1/2 salary for employee assigned to Division of Motor Vehicles.

2 OERR program to diminish due to end of stimulus funding in FY 2013. Responsibilities for outstanding grants to transfer to the Office of Management and Budget in the Department of Administration.

# The Budget

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## Executive Department Rhode Island Health Benefits Exchange

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Health Benefits Exchange	-	-	-	109,768	1,097,141
<b>Total Expenditures</b>	-	-	-	<b>\$109,768</b>	<b>\$1,097,141</b>
<b>Expenditures By Object</b>					
Personnel	-	-	-	90,458	1,025,831
Operating Supplies and Expenses	-	-	-	16,710	53,810
<b>Subtotal: Operating Expenditures</b>	-	-	-	<b>107,168</b>	<b>1,079,641</b>
Capital Purchases and Equipment	-	-	-	2,600	17,500
<b>Total Expenditures</b>	-	-	-	<b>\$109,768</b>	<b>\$1,097,141</b>
<b>Expenditures By Funds</b>					
Federal Funds	-	-	-	109,768	1,097,141
<b>Total Expenditures</b>	-	-	-	<b>\$109,768</b>	<b>\$1,097,141</b>

# Personnel

## Executive Department

### Rhode Island Health Benefits Exchange

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Exchange Director	8353A	1.0	149,379 <sup>(1)</sup>	1.0	154,956
Administrative Assistant	8324A	-	-	1.0	47,508
Deputy Director for Finance	8348A	-	-	1.0	127,035
Deputy Director for Information Technology	8348A	-	-	1.0	127,035
Deputy Director for Policy	8341A	-	-	1.0	95,462
Legal Counsel	8345A	-	-	1.0	112,889
<b>Subtotal</b>		<b>1.0</b>	<b>\$149,379</b>	<b>6.0</b>	<b>\$664,885</b>
Turnover		-	(91,926) <sup>(1)</sup>	-	-
<b>Subtotal</b>		-	<b>(\$91,926)</b>	-	-
<b>Total Salaries</b>		<b>1.0</b>	<b>\$57,453</b>	<b>6.0</b>	<b>\$664,885</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	6,649
FICA		-	4,075	-	37,721
Medical		-	9,631	-	101,736
Payroll Accrual		-	-	-	3,473
Retiree Health		-	3,941	-	45,611
Retirement		-	13,203	-	140,823
<b>Subtotal</b>		-	<b>\$30,850</b>	-	<b>\$336,013</b>
<b>Total Salaries and Benefits</b>		<b>1.0</b>	<b>\$88,303</b>	<b>6.0</b>	<b>\$1,000,898</b>
Cost Per FTE Position			\$88,303		\$166,816
Statewide Benefit Assessment		-	2,155	-	24,933
<b>Subtotal</b>		-	<b>\$2,155</b>	-	<b>\$24,933</b>
<b>Payroll Costs</b>		<b>1.0</b>	<b>\$90,458</b>	<b>6.0</b>	<b>\$1,025,831</b>
<b>Total Personnel</b>		<b>1.0</b>	<b>\$90,458</b>	<b>6.0</b>	<b>\$1,025,831</b>
<b>Distribution By Source Of Funds</b>					
Federal Funds		1.0	90,458	6.0	1,025,831
<b>Total All Funds</b>		<b>1.0</b>	<b>\$90,458</b>	<b>6.0</b>	<b>\$1,025,831</b>

<sup>1</sup> Executive Director expected to be hired in the third quarter of FY 2012, All other staff to start July 1, 2012.

# Agency

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## Office Of Lieutenant Governor

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### Agency Mission

To fulfill the constitutional and statutory functions of the law for the Office of Lieutenant Governor.

### Agency Description

The Lieutenant Governor was established as one of the five general offices subject to voter election under the Constitution of Rhode Island. The Office of the Lieutenant Governor is an organization within the Executive Department. The Lieutenant Governor fulfills the executive responsibilities of the Governor upon his/her death, resignation, impeachment or inability to serve. The Lieutenant Governor appoints members of the general public to serve on committees and commissions established by the General Assembly. Additionally, the Lieutenant Governor chairs and serves on various commissions and advisory boards. The Office of the Lieutenant Governor initiates legislation and has assumed advocacy and leadership roles in such areas as emergency management, veterans affairs, education, economic development, the environment, long-term care, health care and elderly affairs. The Office also serves as a liaison between citizens and state agencies.

### Statutory History

Article IX, Sections 1 and 9 through 11 of the Constitution of Rhode Island specify the Lieutenant Governor's elected power, duties in the case of death, resignation, impeachment of the Governor, responsibilities in the case of a vacancy of position, and compensation. Article IV, Sections 1 and 3 of the Constitution of Rhode Island address the quadrennial election process by the voters of Rhode Island and the transition responsibility for the Lieutenant Governor.

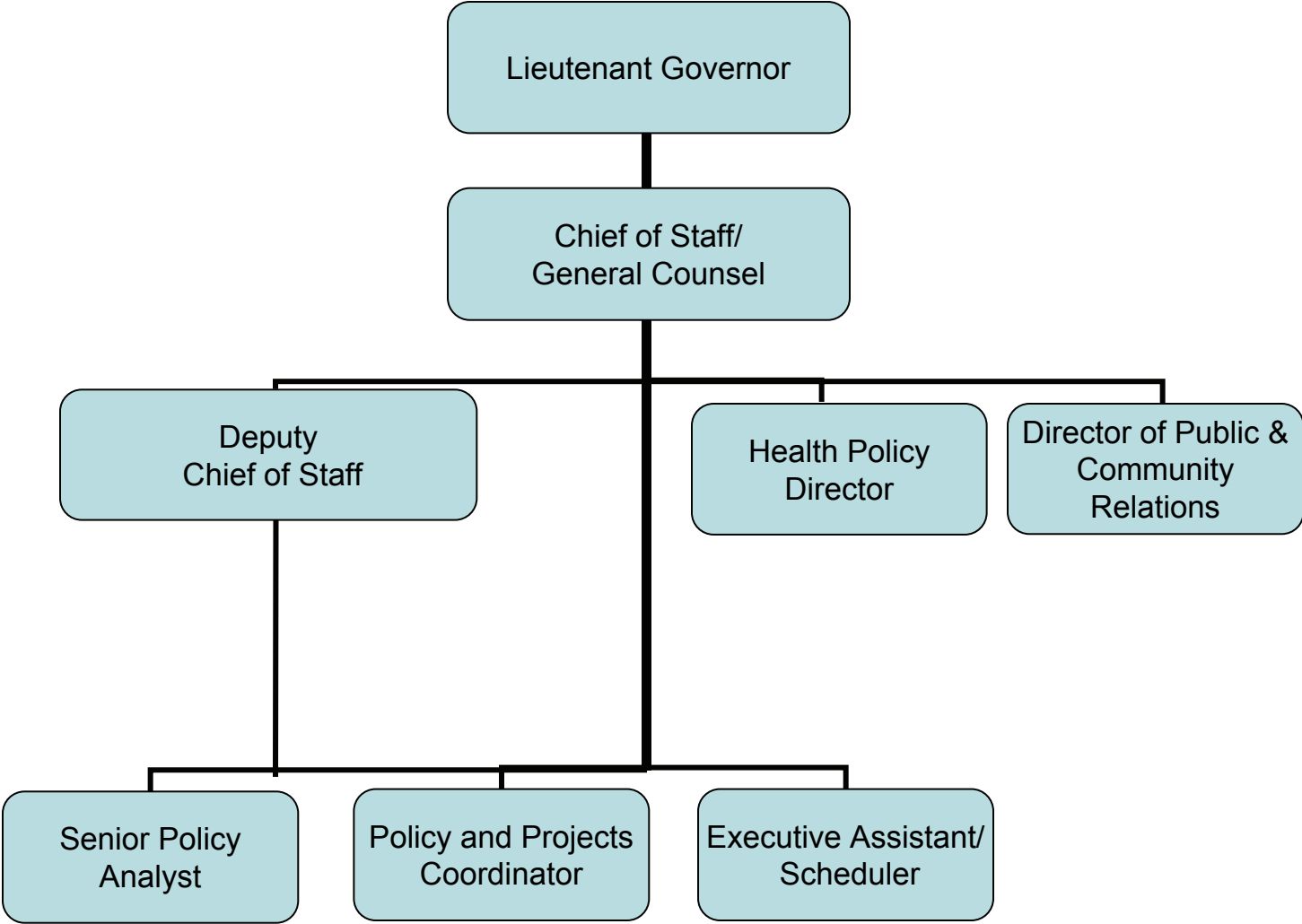
# Budget

## Office Of Lieutenant Governor

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Lt. Governor's Office - General	848,369	890,413	1,090,172	1,075,725	1,104,018
<b>Total Expenditures</b>	<b>\$848,369</b>	<b>\$890,413</b>	<b>\$1,090,172</b>	<b>\$1,075,725</b>	<b>\$1,104,018</b>
<b>Expenditures By Object</b>					
Personnel	817,021	865,872	1,066,712	1,041,358	1,065,882
Operating Supplies and Expenses	31,348	23,628	22,710	29,367	36,636
<b>Subtotal: Operating Expenditures</b>	<b>848,369</b>	<b>889,500</b>	<b>1,089,422</b>	<b>1,070,725</b>	<b>1,102,518</b>
Capital Purchases and Equipment	-	913	750	5,000	1,500
<b>Total Expenditures</b>	<b>\$848,369</b>	<b>\$890,413</b>	<b>\$1,090,172</b>	<b>\$1,075,725</b>	<b>\$1,104,018</b>
<b>Expenditures By Funds</b>					
General Revenue	848,369	890,413	965,940	951,109	962,955
Federal Funds	-	-	124,232	124,616	141,063
<b>Total Expenditures</b>	<b>\$848,369</b>	<b>\$890,413</b>	<b>\$1,090,172</b>	<b>\$1,075,725</b>	<b>\$1,104,018</b>
<b>FTE Authorization</b>	<b>8.0</b>	<b>8.0</b>	<b>8.0</b>	<b>8.0</b>	<b>8.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	33.0%	29.0%	12.5%	12.5%	12.5%
Females as a Percentage of the Workforce	38.0%	62.5%	75.0%	75.0%	75.0%
Persons with Disabilities as a Percentage of the Workforce	-	-	-	-	-

# The Agency

Office of Lieutenant Governor





# Personnel

## Office Of Lieutenant Governor Lt. Governor's Office - General

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Chief of Staff - General Counsel	8451A	1.0	166,189	1.0	166,189
Lieutenant Governor	0531F	1.0	108,808	1.0	108,808
Director of Public and Community Relations	8455A	1.0	87,356	1.0	91,288
Deputy Chief of Staff	8437A	1.0	80,544	1.0	80,544
Health Policy Director	8431A	1.0	77,161	1.0	79,983
Senior Policy Analyst	8428A	1.0	56,676	1.0	56,676
Executive Secretary/Administration	8424A	1.0	47,721	1.0	49,324
Policy & Projects Coordinator	8423A	1.0	43,321	1.0	44,504
<b>Subtotal</b>		<b>8.0</b>	<b>\$667,776</b>	<b>8.0</b>	<b>\$677,316</b>
Turnover			-		-
<b>Subtotal</b>			-		-
<b>Total Salaries</b>		<b>8.0</b>	<b>\$667,776</b>	<b>8.0</b>	<b>\$677,316</b>
<b>Benefits</b>					
Defined Contribution Plan			-		6,773
FICA			47,281		48,010
Medical			101,245		113,735
Payroll Accrual			-		3,987
Retiree Health			45,810		46,464
Retirement			153,454		143,449
<b>Subtotal</b>			<b>\$347,790</b>		<b>\$362,418</b>
<b>Total Salaries and Benefits</b>		<b>8.0</b>	<b>\$1,015,566</b>	<b>8.0</b>	<b>\$1,039,734</b>
Cost Per FTE Position			\$126,946		\$129,967
Statewide Benefit Assessment			25,042		25,398
<b>Subtotal</b>			<b>\$25,042</b>		<b>\$25,398</b>
<b>Payroll Costs</b>		<b>8.0</b>	<b>\$1,040,608</b>	<b>8.0</b>	<b>\$1,065,132</b>
<b>Purchased Services</b>					
Other Contract Services			750		750
<b>Subtotal</b>			<b>\$750</b>		<b>\$750</b>
<b>Total Personnel</b>		<b>8.0</b>	<b>\$1,041,358</b>	<b>8.0</b>	<b>\$1,065,882</b>

# Personnel

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## Office Of Lieutenant Governor Lt. Governor's Office - General

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		7.0	917,299	7.0	936,145
Federal		1.0	124,059	1.0	129,737
<b>Total All Funds</b>		<b>8.0</b>	<b>\$1,041,358</b>	<b>8.0</b>	<b>\$1,065,882</b>

# Agency

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## Department Of State

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### Agency Mission

The objective of the Office of the Secretary of State is to effectively administer all activities of the Office prescribed by the Rhode Island Constitution and state law. To make it easier to vote and improve public access to government at all levels by collecting and distributing information as widely as possible and making information available electronically. To create jobs and promote economic development by offering programs and services that make it easier for business to grow.

### Agency Description

The Office of the Secretary of State was established under the Rhode Island Constitution as one of the five general offices subject to voter election. As the custodian of state records, the Office has a vital role in providing the public with basic information about the workings of state government. The Office consists of six divisions and one internal service fund.

### Statutory History

Article IV, paragraph 4 of the Rhode Island State Constitution, and R.I.G.L. 42-8 establish the Secretary of State and address areas concerning elections, legislative records, archives, and distribution and exchange of documents; Title 17 Chapters 14, 15 and 22 also refer to elections; Title 19 Chapter 1 refers to corporations; Title 29 establishes the state library and the Legislative Reference Bureau; Title 29 Chapter 1 also refers to the distribution of documents.

# Budget

## Department Of State

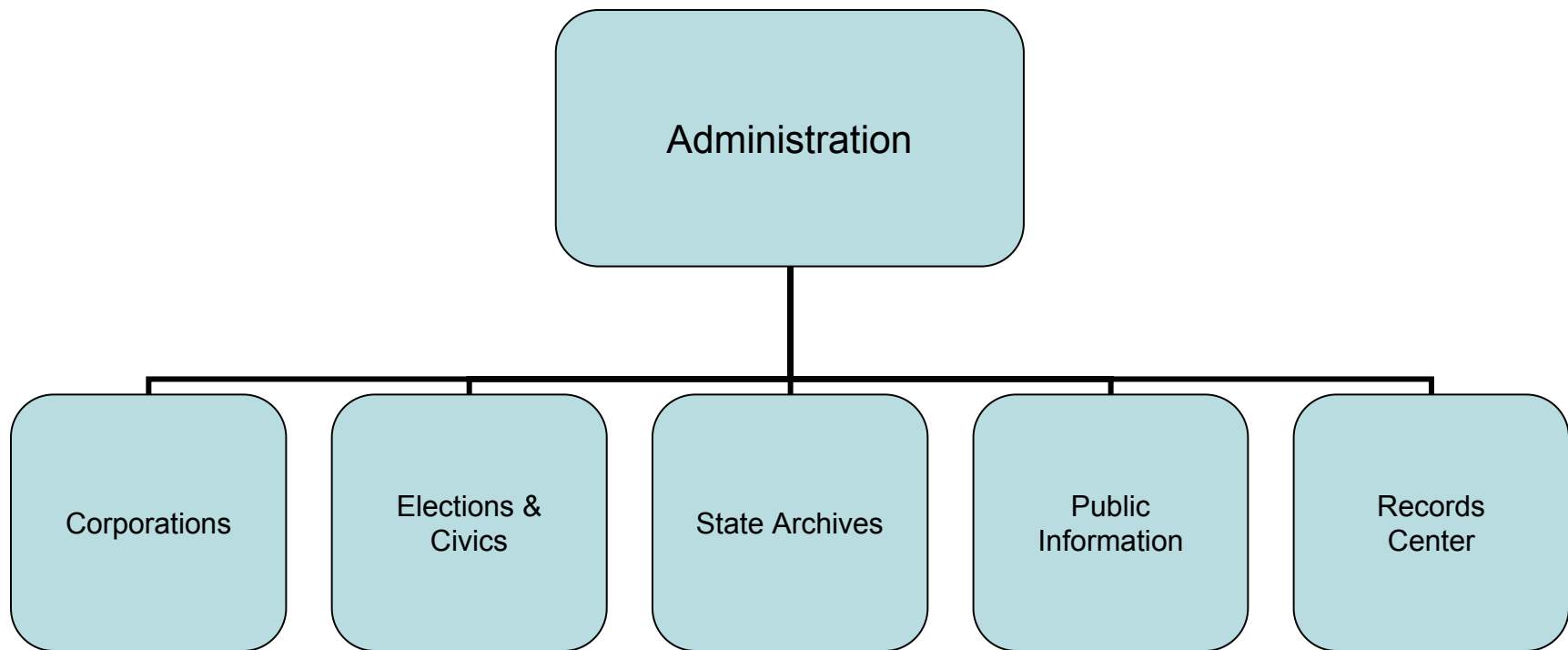
	FY 2010 Audited	FY 2011 Unaudited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Administration	1,819,328	1,946,871	2,056,734	1,955,857	2,007,105
Corporations	1,729,914	1,918,842	1,891,380	2,229,122	2,068,731
State Archives	539,819	509,224	575,933	582,751	615,368
Elections and Civics	1,073,893	1,706,765	1,432,530	1,553,983	2,000,552
State Library	545,550	573,238	581,844	592,242	565,216
Office of Public Information	291,197	340,501	334,439	339,751	358,884
<i>Internal Services</i>	<i>[774,395]</i>	<i>[773,307]</i>	<i>[866,270]</i>	<i>[852,367]</i>	<i>[897,072]</i>
<b>Total Expenditures</b>	<b>\$5,999,701</b>	<b>\$6,995,441</b>	<b>\$6,872,860</b>	<b>\$7,253,706</b>	<b>\$7,615,856</b>
<b>Expenditures By Object</b>					
Personnel	4,789,383	5,067,544	5,519,893	5,689,029	5,601,626
Operating Supplies and Expenses	949,674	1,688,817	1,109,156	1,294,533	1,812,185
Assistance and Grants	217,812	151,302	136,270	136,270	102,446
<b>Subtotal: Operating Expenditures</b>	<b>5,956,869</b>	<b>6,907,663</b>	<b>6,765,319</b>	<b>7,119,832</b>	<b>7,516,257</b>
Capital Purchases and Equipment	42,832	87,778	107,541	133,874	99,599
<b>Total Expenditures</b>	<b>\$5,999,701</b>	<b>\$6,995,441</b>	<b>\$6,872,860</b>	<b>\$7,253,706</b>	<b>\$7,615,856</b>
<b>Expenditures By Funds</b>					
General Revenue	5,142,947	6,564,248	6,376,312	6,694,902	7,079,873
Federal Funds	397,172	33,659	-	55,438	-
Restricted Receipts	459,582	397,534	496,548	503,366	535,983
<b>Total Expenditures</b>	<b>\$5,999,701</b>	<b>\$6,995,441</b>	<b>\$6,872,860</b>	<b>\$7,253,706</b>	<b>\$7,615,856</b>
<b>FTE Authorization</b>	<b>56.5</b>	<b>57.0</b>	<b>57.0</b>	<b>57.0</b>	<b>57.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	12.5%	12.3%	14.0%	14.0%	14.0%
Females as a Percentage of the Workforce	57.1%	58.9%	47.4%	47.4%	47.4%
Persons with Disabilities as a Percentage of the Workforce	-	1.8%	0.0%	0.0%	0.0%

# The Agency

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Office of the Secretary of State

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# Personnel

## Department Of State Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Unclassified	57.0	3,611,313	57.0	3,626,649
Turnover		(53,692)		-
<b>Total Salaries</b>	<b>57.0</b>	<b>\$3,557,621</b>	<b>57.0</b>	<b>\$3,626,649</b>
<b>Benefits</b>				
Defined Contribution Plan		-		36,266
FICA		270,164		275,446
Medical		604,495		691,159
Payroll Accrual		-		21,326
Retiree Health		246,181		251,316
Retirement		821,371		774,786
<b>Total Salaries and Benefits</b>	<b>57.0</b>	<b>\$5,499,832</b>	<b>57.0</b>	<b>\$5,676,948</b>
Cost Per FTE Position		\$96,488		\$99,596
Statewide Benefit Assessment		131,132		133,721
Temporary and Seasonal		11,722		1,926
<b>Payroll Costs</b>	<b>57.0</b>	<b>\$5,642,686</b>	<b>57.0</b>	<b>\$5,812,595</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance		275		275
Information Technology		386,700		156,700
Legal Services		9,900		89,900
Other Contract Services		100,200		5,335
Training and Educational Services		8,025		525
<b>Total Personnel</b>	<b>57.0</b>	<b>\$6,147,786</b>	<b>57.0</b>	<b>\$6,065,330</b>
<b>Distribution by Source of Funds</b>				
General Revenue	48.7	5,341,703	48.7	5,260,022
Federal Funds	-	7,500	-	-
Restricted Receipts	3.4	339,826	3.4	341,604
Internal Service Funds	4.9	458,757	4.9	463,704

# Personnel

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## Department Of State Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
Total All Funds	57.0	\$6,147,786	57.0	\$6,065,330

# The Program

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## Department Of State Administration

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### **Program Mission**

To provide administrative support for the efficient and secure operation of the Office of the Secretary of State.

### **Program Description**

The Administration Program provides support functions for the Office of the Secretary of State. The program has six functions, with the responsibilities of each described below.

Personnel maintains personnel records and provides administrative support for payroll and personnel matters.

Fiscal Management monitors accounts payable and accounts receivable for the department and prepares the budget for the Office of the Secretary of State.

E-government and Information Technology develops and implements model e-government solutions to collect and distribute information to the public and provides support for the department's computer systems for the Office.

Constituent Affairs collects and distributes information to the public and coordinates responses to inquiries from the public.

Communications communicates the programs and services offered to Rhode Islanders and serves as the liaison with the media.

Policy and Legislative Affairs researches, plans and develops innovative policy initiatives that serve as models for the country and develops legislation for passage that moves those policy initiatives forward.

### **Statutory History**

The Office of the Secretary of State was established by the Rhode Island Constitution as one of the five general offices subject to voter election. R.I.G.L. 42-8 established the Department of State under the Secretary of State. The Secretary of State is also responsible for the duties contained in R.I.G.L. 22-3-14 and 36-1-4.



# The Budget

## Department Of State Administration

	2010 Audited	2011 Unaudited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Administration	1,002,182	1,164,884	2,052,594	986,699	1,057,168
Personnel and Finance	435,021	389,082	1,718	461,584	462,959
Information Technology	382,125	392,905	2,422	507,574	486,978
<b>Total Expenditures</b>	<b>\$1,819,328</b>	<b>\$1,946,871</b>	<b>\$2,056,734</b>	<b>\$1,955,857</b>	<b>\$2,007,105</b>
<b>Expenditures By Object</b>					
Personnel	1,725,469	1,792,764	1,966,407	1,799,411	1,876,446
Operating Supplies and Expenses	87,690	146,094	86,186	86,518	86,518
Assistance and Grants	976	976	976	976	976
<b>Subtotal: Operating Expenditures</b>	<b>1,814,135</b>	<b>1,939,834</b>	<b>2,053,569</b>	<b>1,886,905</b>	<b>1,963,940</b>
Capital Purchases and Equipment	5,193	7,037	3,165	68,952	43,165
<b>Total Expenditures</b>	<b>\$1,819,328</b>	<b>\$1,946,871</b>	<b>\$2,056,734</b>	<b>\$1,955,857</b>	<b>\$2,007,105</b>
<b>Expenditures By Funds</b>					
General Revenue	1,819,328	1,946,871	2,056,734	1,955,857	2,007,105
<b>Total Expenditures</b>	<b>\$1,819,328</b>	<b>\$1,946,871</b>	<b>\$2,056,734</b>	<b>\$1,955,857</b>	<b>\$2,007,105</b>

# Personnel

## Department Of State Administration

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director	8648A	1.0	128,617	1.0	128,617
Chief Information Officer	8643A	1.0	115,138	1.0	115,138
Secretary of State	0531F	1.0	108,808	1.0	108,808
Chief Financial Officer	8638A	0.9	92,437	0.9	92,437
Director of Personnel	8635A	0.9	91,983	0.9	91,983
Assoc. Director Planning, Policy & Reg.	8635A	1.0	94,448	1.0	94,448
Public Information Officer	8638A	1.0	92,669	1.0	92,669
Executive Asst. Communications & Public Info	8633A	0.6	52,353	0.6	52,353
Administrative Assistant	5325A	1.9	120,333	1.9	122,044
Executive Administrative Aide	8627A	1.0	60,938	1.0	60,938
Graphic Designer	5326A	1.0	60,854	1.0	60,854
Computer Programmer	8625A	1.0	51,598	1.0	53,424
Administrative Assistant	5319A	1.0	50,489	1.0	50,489
Executive Assistant	8622A	1.0	43,321	1.0	44,747
Executive Legal Counsel	8649A	-	60,851	-	60,851
<b>Subtotal</b>		<b>14.3</b>	<b>\$1,224,837</b>	<b>14.3</b>	<b>\$1,229,800</b>
Turnover		-	(33,325)	-	-
<b>Subtotal</b>		-	<b>(\$33,325)</b>	-	-
<b>Total Salaries</b>		<b>14.3</b>	<b>\$1,191,512</b>	<b>14.3</b>	<b>\$1,229,800</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	12,299
FICA		-	89,158	-	92,087
Medical		-	128,890	-	153,039
Payroll Accrual		-	-	-	7,162
Retiree Health		-	83,863	-	86,889
Retirement		-	262,188	-	249,935
<b>Subtotal</b>		-	<b>\$564,099</b>	-	<b>\$601,411</b>
<b>Total Salaries and Benefits</b>		<b>14.3</b>	<b>\$1,755,611</b>	<b>14.3</b>	<b>\$1,831,211</b>
Cost Per FTE Position			\$122,770		\$128,057
Statewide Benefit Assessment		-	42,400	-	43,835
<b>Subtotal</b>		-	<b>\$42,400</b>	-	<b>\$43,835</b>
<b>Payroll Costs</b>		<b>14.3</b>	<b>\$1,798,011</b>	<b>14.3</b>	<b>\$1,875,046</b>

# Personnel

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## Department Of State Administration

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Purchased Services</b>					
Information Technology		-	500	-	500
Legal Services		-	900	-	900
<b>Subtotal</b>		-	<b>\$1,400</b>	-	<b>\$1,400</b>
<b>Total Personnel</b>		<b>14.3</b>	<b>\$1,799,411</b>	<b>14.3</b>	<b>\$1,876,446</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		14.3	1,799,411	14.3	1,876,446
<b>Total All Funds</b>		<b>14.3</b>	<b>\$1,799,411</b>	<b>14.3</b>	<b>\$1,876,446</b>

# The Program

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## Department Of State Corporations

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### **Program Mission**

To serve as the official agent and record keeper on behalf of the State of Rhode Island for all official corporate filings, UCC filings, and Notary/Trademark applications and to provide requested information concerning the data from the program.

### **Program Description**

Corporations maintains filings for active and inactive Rhode Island and foreign business corporations, non-profit corporations, limited partnerships and limited liability companies. Corporate information is maintained in a computer database. On-line access is available at the Corporations Division's office in Providence or by phone or mail to the general public. This division has the authority to revoke corporate charters for failure to satisfy statutory requirements.

Additionally, the Corporations Division administers the following:

First Stop Business Information Center serves as a referral and information center for small business owners

□

Uniform Commercial Code (UCC) processes and tracks the liens placed on tangible property in the State of Rhode Island.

Notary/Trademark is responsible for registering all new notaries and for processing renewal applications of existing notaries upon commission expirations. It is also responsible for trademarks, service marks and trade names in the State of Rhode Island.

### **Statutory History**

The functions of the Corporations Division are outlined in R.I.G.L. Title 7-1-1 through 7-16-75, and 7-1.2-132. The authority to enforce the Uniform Commercial Code (UCC) is granted in Section 6A-9-402 of the R.I.G.L.

# The Budget

## Department Of State Corporations

	2010 Audited	2011 Unaudited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Corporations	1,508,015	1,615,472	1,758,655	1,770,987	1,795,097
First Stop Business Inf.	221,899	303,370	132,725	458,135	273,634
<b>Total Expenditures</b>	<b>\$1,729,914</b>	<b>\$1,918,842</b>	<b>\$1,891,380</b>	<b>\$2,229,122</b>	<b>\$2,068,731</b>
<b>Expenditures By Object</b>					
Personnel	1,384,734	1,550,838	1,544,725	1,879,844	1,712,053
Operating Supplies and Expenses	330,777	331,666	344,655	347,278	354,678
<b>Subtotal: Operating Expenditures</b>	<b>1,715,511</b>	<b>1,882,504</b>	<b>1,889,380</b>	<b>2,227,122</b>	<b>2,066,731</b>
Capital Purchases and Equipment	14,403	36,338	2,000	2,000	2,000
<b>Total Expenditures</b>	<b>\$1,729,914</b>	<b>\$1,918,842</b>	<b>\$1,891,380</b>	<b>\$2,229,122</b>	<b>\$2,068,731</b>
<b>Expenditures By Funds</b>					
General Revenue	1,729,914	1,918,842	1,891,380	2,229,122	2,068,731
<b>Total Expenditures</b>	<b>\$1,729,914</b>	<b>\$1,918,842</b>	<b>\$1,891,380</b>	<b>\$2,229,122</b>	<b>\$2,068,731</b>

# Personnel

## Department Of State Corporations

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of Corporations	8632	1.0	89,800	1.0	89,800
Executive Asst. Communications & Public Info	8633	0.4	28,190	0.4	28,190
Supervisory Clerk	8626	1.0	67,341	1.0	67,341
Administrative Assistant	5323	1.0	60,680	1.0	61,518
Administrative Assistant	5322	1.0	51,812	1.0	51,812
Administrative Assistant	5319	2.0	96,587	2.0	96,587
Administrative Assistant	5316	14.0	611,774	14.0	615,225
<b>Subtotal</b>		<b>20.4</b>	<b>\$1,006,184</b>	<b>20.4</b>	<b>\$1,010,473</b>
Turnover		-	-	-	-
<b>Subtotal</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Salaries</b>		<b>20.4</b>	<b>\$1,006,184</b>	<b>20.4</b>	<b>\$1,010,473</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	10,104
FICA		-	76,972	-	77,300
Medical		-	244,012	-	272,083
Payroll Accrual		-	-	-	5,972
Retiree Health		-	69,026	-	69,320
Retirement		-	241,394	-	224,180
<b>Subtotal</b>		<b>-</b>	<b>\$631,404</b>	<b>-</b>	<b>\$658,959</b>
<b>Total Salaries and Benefits</b>		<b>20.4</b>	<b>\$1,637,588</b>	<b>20.4</b>	<b>\$1,669,432</b>
Cost Per FTE Position			\$80,274		\$81,835
Statewide Benefit Assessment		-	37,735	-	37,896
Temporary and Seasonal		-	9,796	-	-
<b>Subtotal</b>		<b>-</b>	<b>\$47,531</b>	<b>-</b>	<b>\$37,896</b>
<b>Payroll Costs</b>		<b>20.4</b>	<b>\$1,685,119</b>	<b>20.4</b>	<b>\$1,707,328</b>
<b>Purchased Services</b>					
Information Technology		-	190,200	-	200
Legal Services		-	4,000	-	4,000
Training and Educational Services		-	525	-	525
<b>Subtotal</b>		<b>-</b>	<b>\$194,725</b>	<b>-</b>	<b>\$4,725</b>
<b>Total Personnel</b>		<b>20.4</b>	<b>\$1,879,844</b>	<b>20.4</b>	<b>\$1,712,053</b>

# Personnel

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## Department Of State Corporations

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		20.4	1,879,844	20.4	1,712,053
<b>Total All Funds</b>		<b>20.4</b>	<b>\$1,879,844</b>	<b>20.4</b>	<b>\$1,712,053</b>

# The Program

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## Department Of State State Archives

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### **Program Mission**

To provide comprehensive archives and records management services for all public records in the State; to provide information on the preservation of historical records; and to provide information from and access to the State government archives.

### **Program Description**

The State Archives is the division of the Department of State charged with preserving and maintaining the permanent records of state government. The "State Archives and Historical Records Act" created the State Archives as the "official custodian and trustee for the state of all public records of permanent historical, legal or other value." The collection of historical records, dating from 1638 to the present, is available to the public for research. The division operates a public reading room for the research, inspection and duplication of public records. Archives staff provides reference assistance to researchers at the Archives facility, by mail, phone and e-mail. Publications, guides and finding aids to the holdings are available onsite and through the Internet. The State Archives also features exhibits and displays that are free and open to the public.

The State Archives division operates the Local Government Records Program, which was established in 1992 with federal grant funding from the National Historical Publications and Records Commission. The program was designed to initiate a series of advisory and technical services for local governments in the state. The 1993 session of the General Assembly passed legislation establishing the Historical Records Trust, a restricted receipt account, which now provides funding for this program. Currently, the program provides records management advice, assistance and consultation to all departments of municipal government, as well as developing records control schedules that govern the retention and disposition of municipal records. The program actively works with town and city clerks to better preserve and administer the historical records in their care. Workshops and talks are provided to municipal personnel about records management functions and archival records administration and preservation. In conjunction with the Public Records Administration, the program also publishes guidelines about records and records issues.

### **Statutory History**

The authority of the State Archives is granted from R.I.G.L. sections 42-8.1 and 38-3. Functions of the State Archives are also outlined in the Public Law 1989, Chapter 341, Public Law 1992, Chapter 241, and Public Law 1993, Chapters 385 and 417, and Public Law 2007, Chapter 73, Article 36.



# The Budget

## Department Of State State Archives

	2010 Audited	2011 Unaudited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	539,819	509,224	575,933	582,751	615,368
<b>Total Expenditures</b>	<b>\$539,819</b>	<b>\$509,224</b>	<b>\$575,933</b>	<b>\$582,751</b>	<b>\$615,368</b>
<b>Expenditures By Object</b>					
Personnel	274,488	318,201	338,179	339,826	341,604
Operating Supplies and Expenses	228,084	188,650	235,593	240,764	271,603
Assistance and Grants	33,313	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>535,885</b>	<b>506,851</b>	<b>573,772</b>	<b>580,590</b>	<b>613,207</b>
Capital Purchases and Equipment	3,934	2,373	2,161	2,161	2,161
<b>Total Expenditures</b>	<b>\$539,819</b>	<b>\$509,224</b>	<b>\$575,933</b>	<b>\$582,751</b>	<b>\$615,368</b>
<b>Expenditures By Funds</b>					
General Revenue	80,236	111,690	79,385	79,385	79,385
Federal Funds	1	-	-	-	-
Restricted Receipts	459,582	397,534	496,548	503,366	535,983
<b>Total Expenditures</b>	<b>\$539,819</b>	<b>\$509,224</b>	<b>\$575,933</b>	<b>\$582,751</b>	<b>\$615,368</b>

# Personnel

## Department Of State State Archives

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of State Archives & Records Mgmt	8634A	0.8	73,199	0.8	73,199
Sr Monitoring & Evaluation Specialist	5325A	0.8	51,211	0.8	51,211
Sr Information & Public Relations Specialist	5324A	1.0	61,382	1.0	61,382
Administrative Assistant	5315A	0.8	32,511	0.8	32,511
<b>Subtotal</b>		<b>3.4</b>	<b>\$218,303</b>	<b>3.4</b>	<b>\$218,303</b>
<b>Total Salaries</b>		<b>3.4</b>	<b>\$218,303</b>	<b>3.4</b>	<b>\$218,303</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,183
FICA		-	16,701	-	16,701
Medical		-	29,243	-	31,480
Payroll Accrual		-	-	-	1,290
Retiree Health		-	14,976	-	14,976
Retirement		-	51,941	-	48,009
<b>Subtotal</b>		<b>-</b>	<b>\$112,861</b>	<b>-</b>	<b>\$114,639</b>
<b>Total Salaries and Benefits</b>		<b>3.4</b>	<b>\$331,164</b>	<b>3.4</b>	<b>\$332,942</b>
Cost Per FTE Position			\$97,401		\$97,924
Statewide Benefit Assessment		-	8,187	-	8,187
<b>Subtotal</b>		<b>-</b>	<b>\$8,187</b>	<b>-</b>	<b>\$8,187</b>
<b>Payroll Costs</b>		<b>3.4</b>	<b>\$339,351</b>	<b>3.4</b>	<b>\$341,129</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	275	-	275
Other Contract Services		-	200	-	200
<b>Subtotal</b>		<b>-</b>	<b>\$475</b>	<b>-</b>	<b>\$475</b>
<b>Total Personnel</b>		<b>3.4</b>	<b>\$339,826</b>	<b>3.4</b>	<b>\$341,604</b>
<b>Distribution By Source Of Funds</b>					
Restricted Receipts		3.4	339,826	3.4	341,604
<b>Total All Funds</b>		<b>3.4</b>	<b>\$339,826</b>	<b>3.4</b>	<b>\$341,604</b>

# The Program

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## Department Of State Elections and Civics

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### **Program Mission**

To provide efficient election services and preparation of all elections-federal, statewide and municipal-as required by statute. To provide an accurate and timely statewide central voter registration system (CVRS) as mandated by HAVA and to make improvements to the CVRS to allow for a more efficient and accurate electoral process. To continue to provide concise, accurate, and timely information to the voters of Rhode Island in the form of a ballot and voter information booklet with respect to referenda.

### **Program Description**

The Elections and Civics program is responsible for the preparation of both statewide and municipal elections. This preparation includes providing municipalities with necessary forms for candidate declarations, endorsements, nomination signatures, and candidate certification.

The Elections and Civics Division has the responsibility of certifying all federal and state candidates for ballot placement, and for receiving and maintaining files for local candidates ballot placement as certified by local canvassing authorities. Accordingly, Elections and Civics sets the ballot layout and prepares and provides all sample ballots and voting machine ballots as mandated by law. The preparation and printing of all sample ballots and related forms and applications are also the responsibility of Elections and Civics, as well the processing of mail ballots applications and the actual mailing of ballots.

Elections and Civics is also responsible for maintaining the new statewide central voter registration system (CVRS) as mandated under the federal Help America Vote Act (HAVA) that contains all voter information and related data. The CVRS is a real-time system that is accessed and updated by all 39 cities and towns. Elections and Civics is responsible for the training of all local users and the maintenance and support of the CVRS application and related applications as well as all related hardware provided to the cities and towns.

□

Elections and Civics also has the responsibility of preparing and distributing the Voter Handbook prior to each general election at which public questions are to be submitted to the voters.

The Elections and Civics division provides necessary voter assistance and education, including the publication of numerous guides for candidates, election officials, and voters. In addition to providing hard copy material, Elections and Civics provides ballot information, polling place locations, and copies of all publications on the World Wide Web.

### **Statutory History**

The Elections and Civics Division operates under Title 17 of the R.I.G.L

# The Budget

## Department Of State Elections and Civics

	2010 Audited	2011 Unaudited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	1,073,893	1,706,765	1,432,530	1,553,983	2,000,552
<b>Total Expenditures</b>	<b>\$1,073,893</b>	<b>\$1,706,765</b>	<b>\$1,432,530</b>	<b>\$1,553,983</b>	<b>\$2,000,552</b>
<b>Expenditures By Object</b>					
Personnel	762,906	703,091	942,140	931,852	917,946
Operating Supplies and Expenses	261,744	964,472	392,449	563,812	1,032,775
Assistance and Grants	33,197	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>1,057,847</b>	<b>1,667,563</b>	<b>1,334,589</b>	<b>1,495,664</b>	<b>1,950,721</b>
Capital Purchases and Equipment	16,046	39,202	97,941	58,319	49,831
<b>Total Expenditures</b>	<b>\$1,073,893</b>	<b>\$1,706,765</b>	<b>\$1,432,530</b>	<b>\$1,553,983</b>	<b>\$2,000,552</b>
<b>Expenditures By Funds</b>					
General Revenue	676,722	1,673,106	1,432,530	1,498,545	2,000,552
Federal Funds	397,171	33,659	-	55,438	-
<b>Total Expenditures</b>	<b>\$1,073,893</b>	<b>\$1,706,765</b>	<b>\$1,432,530</b>	<b>\$1,553,983</b>	<b>\$2,000,552</b>

# Personnel

## Department Of State Elections and Civics

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of Elections and Civics	8636A	1.0	104,472	1.0	104,472
Project Manager	8630A	1.0	78,728	1.0	78,728
Project Manager	8624A	1.0	53,265	1.0	53,977
Administrative Assistant	8622A	1.0	52,443	1.0	52,443
Administrative Assistant	5320A	1.0	46,596	1.0	47,913
Administrative Assistant	8620A	1.0	40,734	1.0	42,006
Research Aide	8610A	1.0	34,944	1.0	34,944
<b>Subtotal</b>		<b>7.0</b>	<b>\$411,182</b>	<b>7.0</b>	<b>\$414,483</b>
Turnover		-	(20,367)	-	-
<b>Subtotal</b>		-	<b>(\$20,367)</b>	-	-
<b>Total Salaries</b>		<b>7.0</b>	<b>\$390,815</b>	<b>7.0</b>	<b>\$414,483</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	4,145
FICA		-	29,898	-	31,709
Medical		-	69,890	-	85,924
Payroll Accrual		-	-	-	2,449
Retiree Health		-	26,810	-	28,435
Retirement		-	90,358	-	88,332
<b>Subtotal</b>		-	<b>\$216,956</b>	-	<b>\$240,994</b>
<b>Total Salaries and Benefits</b>		<b>7.0</b>	<b>\$607,771</b>	<b>7.0</b>	<b>\$655,477</b>
Cost Per FTE Position			\$86,824		\$93,640
Statewide Benefit Assessment		-	14,655	-	15,543
Temporary and Seasonal		-	1,926	-	1,926
<b>Subtotal</b>		-	<b>\$16,581</b>	-	<b>\$17,469</b>
<b>Payroll Costs</b>		<b>7.0</b>	<b>\$624,352</b>	<b>7.0</b>	<b>\$672,946</b>
<b>Purchased Services</b>					
Information Technology		-	195,000	-	155,000
Legal Services		-	5,000	-	85,000
Other Contract Services		-	100,000	-	5,000
Training and Educational Services		-	7,500	-	-
<b>Subtotal</b>		-	<b>\$307,500</b>	-	<b>\$245,000</b>
<b>Total Personnel</b>		<b>7.0</b>	<b>\$931,852</b>	<b>7.0</b>	<b>\$917,946</b>

# Personnel

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## Department Of State Elections and Civics

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		7.0	924,352	7.0	917,946
Federal Funds		-	7,500	-	-
<b>Total All Funds</b>		<b>7.0</b>	<b>\$931,852</b>	<b>7.0</b>	<b>\$917,946</b>

# The Program

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## Department Of State State Library

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### **Program Mission**

To effectively operate and maintain the library facilities in the State House and to provide timely reference and research services to the public.

### **Program Description**

The State Library is responsible for providing reference and research services in the areas of law, legislation, rules and regulations, government reports, and Rhode Island history. It operates and maintains the Legislative Reference Bureau, which provides information on state laws and legislation. The State Library is also a Federal Government Publications Depository and serves as the State Publications Clearinghouse, providing copies of state documents to facilities throughout Rhode Island. The State Library is open to the public.

### **Statutory History**

The State Library was established by a resolution of the General Assembly in 1852. Statutory authority is granted in R.I.G.L. 29-1. The authority to act as a clearinghouse for state publications is established in R.I.G.L. 29-7.

# The Budget

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## Department Of State State Library

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	<b>2010 Audited</b>	<b>2011 Unaudited</b>	<b>2012 Enacted</b>	<b>2012 Revised</b>	<b>2013 Recommend</b>
<b>Expenditures By Subprogram</b>					
Operations	545,550	573,238	581,844	592,242	565,216
<b>Total Expenditures</b>	<b>\$545,550</b>	<b>\$573,238</b>	<b>\$581,844</b>	<b>\$592,242</b>	<b>\$565,216</b>
<b>Expenditures By Object</b>					
Personnel	364,625	390,311	411,840	417,646	429,044
Operating Supplies and Expenses	29,992	32,141	34,290	38,882	34,282
Assistance and Grants	150,326	150,326	135,294	135,294	101,470
<b>Subtotal: Operating Expenditures</b>	<b>544,943</b>	<b>572,778</b>	<b>581,424</b>	<b>591,822</b>	<b>564,796</b>
Capital Purchases and Equipment	607	460	420	420	420
<b>Total Expenditures</b>	<b>\$545,550</b>	<b>\$573,238</b>	<b>\$581,844</b>	<b>\$592,242</b>	<b>\$565,216</b>
<b>Expenditures By Funds</b>					
General Revenue	545,550	573,238	581,844	592,242	565,216
<b>Total Expenditures</b>	<b>\$545,550</b>	<b>\$573,238</b>	<b>\$581,844</b>	<b>\$592,242</b>	<b>\$565,216</b>



# Personnel

## Department Of State State Library

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of State Library Services	8632A	1.0	86,910	1.0	86,910
Administrative Assistant	5325A	2.0	122,461	2.0	125,244
Administrative Assistant	5319A	1.0	50,489	1.0	50,489
<b>Subtotal</b>		<b>4.0</b>	<b>\$259,860</b>	<b>4.0</b>	<b>\$262,643</b>
Turnover		-	-	-	-
<b>Subtotal</b>		-	-	-	-
<b>Total Salaries</b>		<b>4.0</b>	<b>\$259,860</b>	<b>4.0</b>	<b>\$262,643</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,626
FICA		-	19,877	-	20,091
Medical		-	50,622	-	56,868
Payroll Accrual		-	-	-	1,552
Retiree Health		-	17,827	-	18,017
Retirement		-	59,716	-	57,398
<b>Subtotal</b>		-	<b>\$148,042</b>	-	<b>\$156,552</b>
<b>Total Salaries and Benefits</b>		<b>4.0</b>	<b>\$407,902</b>	<b>4.0</b>	<b>\$419,195</b>
Cost Per FTE Position			\$101,976		\$104,799
Statewide Benefit Assessment		-	9,744	-	9,849
<b>Subtotal</b>		-	<b>\$9,744</b>	-	<b>\$9,849</b>
<b>Payroll Costs</b>		<b>4.0</b>	<b>\$417,646</b>	<b>4.0</b>	<b>\$429,044</b>
<b>Total Personnel</b>		<b>4.0</b>	<b>\$417,646</b>	<b>4.0</b>	<b>\$429,044</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		4.0	417,646	4.0	429,044
<b>Total All Funds</b>		<b>4.0</b>	<b>\$417,646</b>	<b>4.0</b>	<b>\$429,044</b>

# The Program

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## Department Of State Record Center

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### **Program Mission**

The program provides cost-effective delivery of goods and services to other state programs.

### **Program Description**

There are services needed by state operated programs and activities which are provided on a centralized basis. The costs of these operations are borne by the user agencies through a charge system that allocates the costs of delivery of the goods or services. The operations of these programs are shown for display purposes only, since the costs are reflected in the budget of the user agency both on an actual and budget basis.

The Internal Service Program operated by the Secretary of State is the Public Records Administration program, which is charged with overseeing records management functions within state government. The program provides central storage for non-permanent inactive government records and serves all state agencies. Inactive records are those records that agencies no longer require immediate access to, but that are not yet eligible for disposal because of administrative, fiscal or legal requirements. Public Records Administration personnel provide records management advice, assistance and consultation to all state agencies. They also work with agencies to develop records retention and disposition schedules-enabling timely disposal or retention as permanent records of the state. Comprehensive records management services encompass all records, regardless of format or media. Workshops are available to state agency personnel on records management topics. In addition, the program promulgates regulations and publishes guidelines about records and records management functions. The program also oversees Administrative Records functions.

### **Statutory History**

The Director of Administration is authorized by R.I.G.L. 35-5 to establish a system of rotating funds in any state department or agency. The authority of the Public Records Administration is granted by R.I.G.L. 38-1,3.

# The Budget

## Department Of State Record Center

	2010 Audited	2011 Unaudited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	774,395	773,307	866,270	852,367	897,072
Internal Services	[774,395]	[773,307]	[866,270]	[852,367]	[897,072]
<b>Total Expenditures</b>	<b>\$774,395</b>	<b>\$773,307</b>	<b>\$866,270</b>	<b>\$852,367</b>	<b>\$897,072</b>
<b>Expenditures By Object</b>					
Personnel	419,562	411,240	460,014	458,757	463,704
Operating Supplies and Expenses	354,121	361,528	406,256	393,610	433,368
<b>Subtotal: Operating Expenditures</b>	<b>773,683</b>	<b>772,768</b>	<b>866,270</b>	<b>852,367</b>	<b>897,072</b>
Capital Purchases and Equipment	712	539	-	-	-
<b>Total Expenditures</b>	<b>\$774,395</b>	<b>\$773,307</b>	<b>\$866,270</b>	<b>\$852,367</b>	<b>\$897,072</b>
<b>Expenditures By Funds</b>					
Other Funds	774,395	773,307	866,270	852,367	897,072
<b>Total Expenditures</b>	<b>\$774,395</b>	<b>\$773,307</b>	<b>\$866,270</b>	<b>\$852,367</b>	<b>\$897,072</b>

# Personnel

## Department Of State Record Center

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of State Archives & Records Mgmt	8634A	0.2	18,300	0.2	18,300
Collection Supervisor Clerk	5327A	1.0	66,371	1.0	66,371
Principal Planning & Prgm Specialist	5328A	1.0	65,858	1.0	65,858
Senior Monitoring & Evaluation Specialist	5325A	0.2	12,803	0.2	12,803
Administrative Secretary	5317A	1.0	55,664	1.0	55,664
Administrative Assistant	5325A	1.0	50,283	1.0	50,283
Chief Financial Officer	8638A	0.1	4,865	0.1	4,865
Director of Personnel	8635A	0.1	4,841	0.1	4,841
Administrative Aide	5315A	0.2	8,128	0.2	8,128
Administrative Assistant	5325A	0.1	3,201	0.1	3,201
<b>Subtotal</b>		<b>4.9</b>	<b>\$290,314</b>	<b>4.9</b>	<b>\$290,314</b>
<b>Total Salaries</b>		<b>4.9</b>	<b>\$290,314</b>	<b>4.9</b>	<b>\$290,314</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,903
FICA		-	22,209	-	22,209
Medical		-	45,352	-	50,775
Payroll Accrual		-	-	-	1,715
Retiree Health		-	19,916	-	19,916
Retirement		-	69,079	-	63,850
<b>Subtotal</b>		<b>-</b>	<b>\$156,556</b>	<b>-</b>	<b>\$161,368</b>
<b>Total Salaries and Benefits</b>		<b>4.9</b>	<b>\$446,870</b>	<b>4.9</b>	<b>\$451,682</b>
Cost Per FTE Position			\$91,198		\$92,180
Statewide Benefit Assessment		-	10,887	-	10,887
<b>Subtotal</b>		<b>-</b>	<b>\$10,887</b>	<b>-</b>	<b>\$10,887</b>
<b>Payroll Costs</b>		<b>4.9</b>	<b>\$457,757</b>	<b>4.9</b>	<b>\$462,569</b>
<b>Purchased Services</b>					
Information Technology		-	1,000	-	1,000
Other Contract Services		-	-	-	135
<b>Subtotal</b>		<b>-</b>	<b>\$1,000</b>	<b>-</b>	<b>\$1,135</b>
<b>Total Personnel</b>		<b>4.9</b>	<b>\$458,757</b>	<b>4.9</b>	<b>\$463,704</b>

# Personnel

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## Department Of State Record Center

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Internal Service Funds		4.9	458,757	4.9	463,704
<b>Total All Funds</b>		<b>4.9</b>	<b>\$458,757</b>	<b>4.9</b>	<b>\$463,704</b>

# The Program

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## Department Of State Office of Public Information

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### **Program Mission**

To effectively disseminate vital government information to the public and to make the most of expanding technologies to enhance public access and awareness of the activities of state government.

### **Program Description**

The Office of Public Information is designed to serve as a resource for the citizens of Rhode Island regarding the activities of state government. It gives members of the public the basic information they need to play a more active role in the decision-making process. This information is published in a variety of reports, which are available to the public free of charge. The material can also be accessed through the Internet, where the Secretary of State has an "On-Line Office" on the World Wide Web at <http://www.state.ri.us>. Functions carried out by the Office of Public Information include:

Compiling information and maintaining a database on all legislation introduced in the General Assembly, including title, sponsor information, description, committee assignment, committee and floor actions.

Compiling information and maintaining a database on all legislative hearings, including time and place of the meeting and lists of bills being considered.

Publishing the daily Legislative Meetings Report and the weekly Legislative Report which provides this information to the public.

Maintaining a list of lobbyists and overseeing the enforcement of the state's lobbying law.

Under the Administrative Procedures Act, the office is responsible for compiling the rules and regulations promulgated by each state agency.

Operating and maintaining a clearinghouse for information related to all public meetings in the State of Rhode Island relative to the Open Meetings Law.

Operating and maintaining the Documents and Distribution Office to provide delivery of printed state legislation, General Assembly journals and other state publications.

### **Statutory History**

Article IV, paragraph 4 of the Rhode State Constitution, and R.I.G.L. 42-8 establish the Office of Secretary of State and the Secretary's role as the custodian of state records, charged with the collections, retention, and dissemination of these records for the citizens of the State of Rhode Island.

# The Budget

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## Department Of State Office of Public Information

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	<b>2010 Audited</b>	<b>2011 Unaudited</b>	<b>2012 Enacted</b>	<b>2012 Revised</b>	<b>2013 Recommend</b>
<b>Expenditures By Subprogram</b>					
Operations	291,197	340,501	334,439	339,751	358,884
<b>Total Expenditures</b>	<b>\$291,197</b>	<b>\$340,501</b>	<b>\$334,439</b>	<b>\$339,751</b>	<b>\$358,884</b>
<b>Expenditures By Object</b>					
Personnel	277,161	312,339	316,602	320,450	324,533
Operating Supplies and Expenses	11,387	25,794	15,983	17,279	32,329
<b>Subtotal: Operating Expenditures</b>	<b>288,548</b>	<b>338,133</b>	<b>332,585</b>	<b>337,729</b>	<b>356,862</b>
Capital Purchases and Equipment	2,649	2,368	1,854	2,022	2,022
<b>Total Expenditures</b>	<b>\$291,197</b>	<b>\$340,501</b>	<b>\$334,439</b>	<b>\$339,751</b>	<b>\$358,884</b>
<b>Expenditures By Funds</b>					
General Revenue	291,197	340,501	334,439	339,751	358,884
<b>Total Expenditures</b>	<b>\$291,197</b>	<b>\$340,501</b>	<b>\$334,439</b>	<b>\$339,751</b>	<b>\$358,884</b>

# Personnel

## Department Of State Office of Public Information

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Director of Programming	0832A	1.0	88,759	1.0	88,759
Director of Public Information	8630A	1.0	71,882	1.0	71,882
Administrative Assistant	5316A	1.0	39,992	1.0	39,992
<b>Subtotal</b>		<b>3.0</b>	<b>\$200,633</b>	<b>3.0</b>	<b>\$200,633</b>
Turnover		-	-	-	-
<b>Subtotal</b>		<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Salaries</b>		<b>3.0</b>	<b>\$200,633</b>	<b>3.0</b>	<b>\$200,633</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,006
FICA		-	15,349	-	15,349
Medical		-	36,486	-	40,990
Payroll Accrual		-	-	-	1,186
Retiree Health		-	13,763	-	13,763
Retirement		-	46,695	-	43,082
<b>Subtotal</b>		<b>-</b>	<b>\$112,293</b>	<b>-</b>	<b>\$116,376</b>
<b>Total Salaries and Benefits</b>		<b>3.0</b>	<b>\$312,926</b>	<b>3.0</b>	<b>\$317,009</b>
Cost Per FTE Position			\$104,309		\$105,670
Statewide Benefit Assessment		-	7,524	-	7,524
<b>Subtotal</b>		<b>-</b>	<b>\$7,524</b>	<b>-</b>	<b>\$7,524</b>
<b>Payroll Costs</b>		<b>3.0</b>	<b>\$320,450</b>	<b>3.0</b>	<b>\$324,533</b>
<b>Total Personnel</b>		<b>3.0</b>	<b>\$320,450</b>	<b>3.0</b>	<b>\$324,533</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		3.0	320,450	3.0	324,533
<b>Total All Funds</b>		<b>3.0</b>	<b>\$320,450</b>	<b>3.0</b>	<b>\$324,533</b>



# Agency

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## Treasury Department

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### Agency Mission

The Treasurer's Office will continue to focus its efforts and activities on protecting the State's assets through sound financial investments and providing leadership and direction to strengthen the State's financial position. The Treasurer's Office assists families in investing funds for their children's higher education, and ensures that Rhode Islanders receive superior public service through all Treasury Programs,

### Agency Description

The Office of the General Treasurer is established under the Rhode Island Constitution as one of the five general officers subject to election by the voters. The General Treasurer is the custodian of State funds, charged with the safe and prudent management of the State's finances. The General Treasurer serves on the State Investment Commission, the State Retirement Board, the Public Finance Management Board, the Rhode Island Housing and Mortgage Finance Corporation, the Rhode Island Refunding Bond Authority (ended as of June 30, 2010), the Higher Education Assistance Board, the Rhode Island Student Loan Authority, and the Rhode Island Clean Water Finance Agency.

Programs and Sub-Programs are defined to streamline the administration of various functions and resources. Under the control and guidance of the General Treasurer include: the Employees' Retirement System, the administrative unit for participating public employee groups including state, teacher, judicial, state police and municipal employees; the Unclaimed Property Program which collects both tangible and intangible abandoned property for the purpose of returning the property to its rightful owner; the Investments and Finance Division provides investment and cash management services to state government and issues and manages the State's general obligation debt; the Business Office validates and distributes the State's imprest/benefit check payments, laser prints vendor and non-vendor checks, and reconciles the majority of the State accounts to the financial institutions and the State Controller's records; and the Crime Victim Compensation Program which compensates crime victims for financial losses suffered as a result of a violent crime. Other areas under the Treasurer's responsibility include the care and management of the Abraham Touro Fund and the Childhood Disease Fund.

### Statutory History

Article IV of the Rhode Island Constitution and Title 42 Chapter 10 of the Rhode Island General Laws establishes the Office of the General Treasurer. Chapter 35 gives the guidelines for the investment of state funds. The Employees' Retirement System is governed by Chapters 16, 21, 36, 37, 38 and 45 of the Rhode Island General Laws. The sections that cover the Retirement System also cover the investing of the funds of the plan. Payments of funds by the Treasury Business Office are covered by 42-10 of the Rhode Island General Laws. Chapter 28 includes the Treasurer's responsibilities for the Temporary Disability and Unemployment Insurance Program. Title 12 Chapter 25 of the Rhode Island General Laws governs the victims of Crime Victim Compensation Program. Title 33, Chapter 21 and 21.1 of the General Laws govern the Unclaimed Property Program.

# Budget

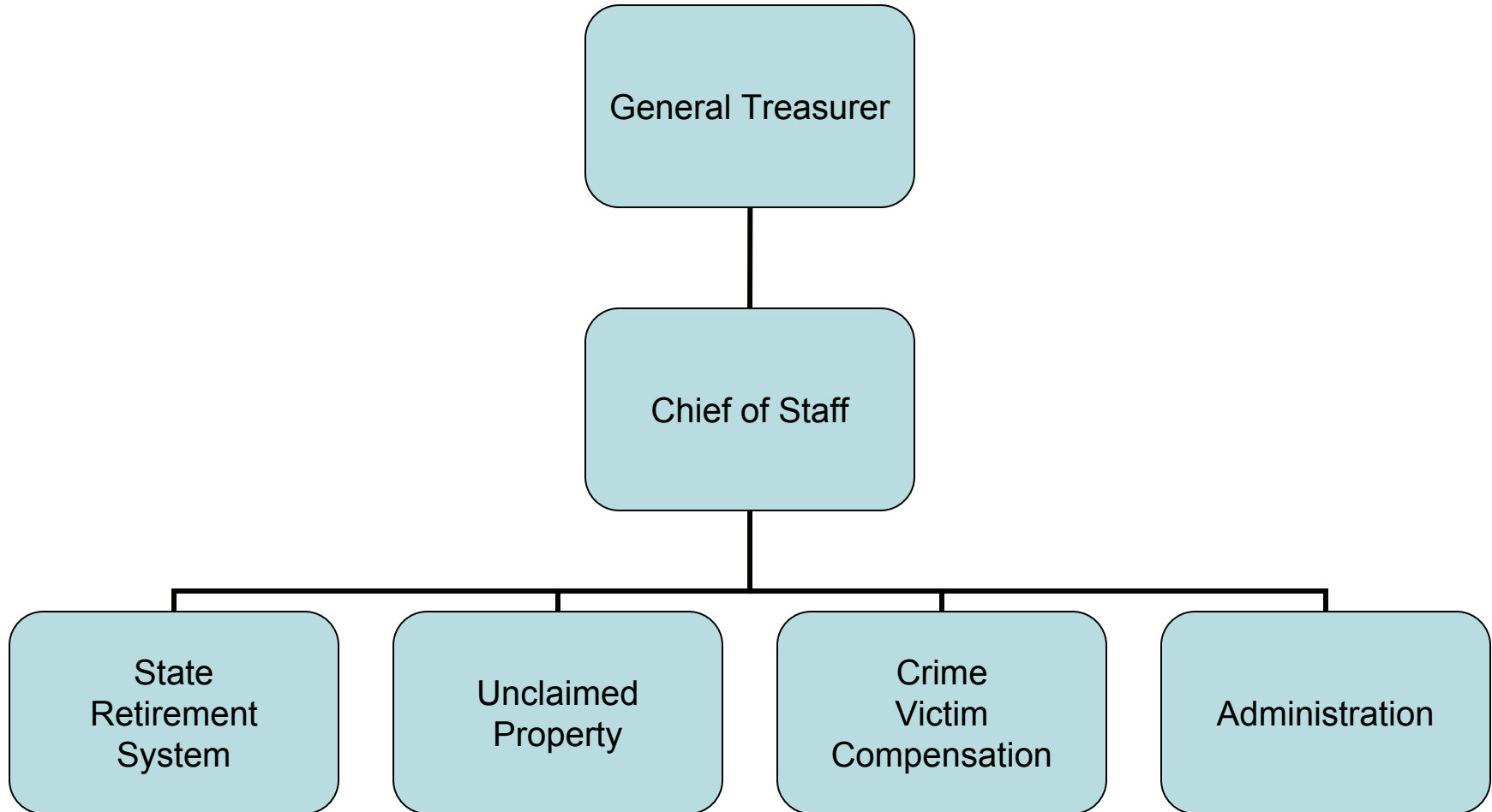
## Treasury Department

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
General Treasurer	2,433,959	2,655,398	2,697,467	2,873,122	2,710,773
State Retirement System	6,254,227	6,560,251	12,122,801	12,659,885	12,592,873
Unclaimed Property	16,482,981	16,973,660	15,940,148	23,741,483	20,182,611
RI Refunding Bond Authority	25,801	-	-	-	-
Crime Victim Compensation Program	1,564,608	1,842,307	2,440,160	2,158,826	2,147,341
<b>Total Expenditures</b>	<b>\$26,761,576</b>	<b>\$28,031,616</b>	<b>\$33,200,576</b>	<b>\$41,433,316</b>	<b>\$37,633,598</b>
<b>Expenditures By Object</b>					
Personnel	8,768,863	9,252,910	10,548,517	11,700,167	11,754,865
Operating Supplies and Expenses	16,584,213	16,948,194	15,747,132	23,324,210	20,092,248
Assistance and Grants	1,326,036	1,489,320	2,163,000	1,863,000	1,700,000
<b>Subtotal: Operating Expenditures</b>	<b>26,679,112</b>	<b>27,690,424</b>	<b>28,458,649</b>	<b>36,887,377</b>	<b>33,547,113</b>
Capital Purchases and Equipment	82,464	341,192	4,741,927	4,545,939	4,086,485
<b>Total Expenditures</b>	<b>\$26,761,576</b>	<b>\$28,031,616</b>	<b>\$33,200,576</b>	<b>\$41,433,316</b>	<b>\$37,633,598</b>
<b>Expenditures By Funds</b>					
General Revenue	2,072,608	2,240,286	2,300,852	2,474,088	2,230,355
Federal Funds	1,072,595	1,140,258	1,128,051	1,152,681	1,186,616
Restricted Receipts	23,407,229	24,442,547	29,544,084	37,553,917	33,944,815
Other Funds	209,144	208,525	227,589	252,630	271,812
<b>Total Expenditures</b>	<b>\$26,761,576</b>	<b>\$28,031,616</b>	<b>\$33,200,576</b>	<b>\$41,433,316</b>	<b>\$37,633,598</b>
<b>FTE Authorization</b>	<b>79.5</b>	<b>82.0</b>	<b>82.0</b>	<b>82.0</b>	<b>82.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	9.2%	9.2%	9.9%	9.9%	9.9%
Females as a Percentage of the Workforce	59.2%	59.2%	60.6%	60.6%	60.6%
Persons with Disabilities as a Percentage of the Workforce	1.3%	1.3%	1.3%	1.3%	1.3%

# The Agency

Office of the General Treasurer

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# Personnel

## Treasury Department Agency Summary

	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
<b>Distribution by Category</b>				
Unclassified	82.0	5,398,416	82.0	5,438,238
Cost Allocations from Other Programs	19.9	1,425,219	19.9	1,445,761
Cost Allocations to Other Programs	(19.9)	(1,436,728)	(19.9)	(1,457,353)
Overtime	-	34,200	-	34,200
Turnover	-	(285,641)	-	(152,780)
<b>Total Salaries</b>	<b>82.0</b>	<b>\$5,135,466</b>	<b>82.0</b>	<b>\$5,308,066</b>
<b>Benefits</b>				
Defined Contribution Plan	-	-	-	52,014
FICA	-	379,009	-	392,588
Medical	-	882,527	-	1,073,598
Payroll Accrual	-	-	-	30,014
Retiree Health	-	349,911	-	361,754
Retirement	-	1,166,377	-	1,112,973
<b>Total Salaries and Benefits</b>	<b>82.0</b>	<b>\$7,913,290</b>	<b>82.0</b>	<b>\$8,331,007</b>
Cost Per FTE Position		\$96,504		\$101,598
Statewide Benefit Assessment	-	191,212	-	197,780
<b>Payroll Costs</b>	<b>82.0</b>	<b>\$8,104,502</b>	<b>82.0</b>	<b>\$8,528,787</b>
<b>Purchased Services</b>				
Building and Grounds Maintenance	-	44,436	-	103,684
Clerical and Temporary Services	-	13,000	-	13,000
Information Technology	-	5,900	-	5,900
Legal Services	-	778,173	-	613,400
Management and Consultant Services	-	2,149,156	-	2,037,594
Other Contract Services	-	230,000	-	77,500
Training and Educational Services	-	375,000	-	375,000
<b>Total Personnel</b>	<b>82.0</b>	<b>\$11,700,167</b>	<b>82.0</b>	<b>\$11,754,865</b>
<b>Distribution by Source of Funds</b>				

# Personnel

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## Treasury Department Agency Summary

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	FY 2012		FY 2013	
	FTE	Cost	FTE	Cost
General Revenue	17.3	1,959,710	17.4	1,884,996
Federal Funds	3.5	304,668	3.5	333,483
Restricted Receipts	12.4	2,329,796	12.4	2,379,825
Restricted Receipts - Defined Benefit Plan	46.5	6,908,795	46.5	6,931,291
Other Funds	2.3	197,198	2.3	225,270
<b>Total All Funds</b>	<b>82.0</b>	<b>\$11,700,167</b>	<b>82.0</b>	<b>\$11,754,865</b>

# The Program

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## Treasury Department General Treasurer

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### **Program Mission**

To continue improvement of services to the public and provide leadership and direction including implementation and monitoring of the Treasury's Strategic Plan, to enable Treasury to perform its functions more effectively and efficiently. To expand the use of technology with more effective utilization of banking services; and to improve the management of cash collection, investment and disbursement of systems.

### **Program Description**

The General Treasury Program provides administrative support to the entire agency to ensure its operational efficiency and fiscal integrity. It is comprised of these functional areas: Policy, Administration, Investments, and the Business Office.

**Policy Division:** This division provides media and public relations for the Treasurer, and directs policy and legislative activity of the office.

**Administration Division:** This division provides the administrative support to the entire department including the Retirement System in terms of overall leadership for matters dealing with personnel, budgeting, financial controls, legal advice and management information systems.

**Investment Division:** This division manages the state's borrowing and investments, provides daily fiduciary services to all state government, monitors investment managers for compliance with state guidelines, acts as day to day interface between custodians, consultants, and fund managers on administrative matters and fund transfers, provides reports to the Investment Commission on investment performance, and implements commission policy. Furthermore, this division is proactive in debt issuance and debt management and utilizes bond arbitrage professionals to ensure that the state is in compliance with I.R.S. requirements.

**Business Office:** This division validates and distributes imprest/benefit checks along with replacement of checks and the internal transfer of State funds for necessary payroll taxes and retirement contributions. This division is responsible for the reconciliation of a majority of state bank accounts both to the bank statement balances and to the controller's records. Additionally, this division laser prints vendor and non-vendor checks and electronically transmits issues to the appropriate banking institutions.

### **Statutory History**

Chapter 35 gives the guidelines for the investment of State funds. Payments of funds by the Treasury Business Office are covered by 42-10 of the RIGL. Chapter 28 includes the Treasurer's responsibilities for the Department of Labor and Training Program.

# The Budget

## Treasury Department General Treasurer

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Policy	551,178	632,815	651,120	607,508	621,056
Administration Operations	108,322	128,449	122,391	127,858	126,047
Business Offices	1,267,807	1,312,813	1,355,618	1,414,714	1,417,925
Investments	506,652	581,321	568,338	723,042	545,745
<b>Total Expenditures</b>	<b>\$2,433,959</b>	<b>\$2,655,398</b>	<b>\$2,697,467</b>	<b>\$2,873,122</b>	<b>\$2,710,773</b>
<b>Expenditures By Object</b>					
Personnel	2,050,703	2,131,672	2,248,299	2,307,993	2,282,212
Operating Supplies and Expenses	377,223	412,663	380,890	424,690	381,026
<b>Subtotal: Operating Expenditures</b>	<b>2,427,926</b>	<b>2,544,335</b>	<b>2,629,189</b>	<b>2,732,683</b>	<b>2,663,238</b>
Capital Purchases and Equipment	6,033	111,063	68,278	140,439	47,535
<b>Total Expenditures</b>	<b>\$2,433,959</b>	<b>\$2,655,398</b>	<b>\$2,697,467</b>	<b>\$2,873,122</b>	<b>\$2,710,773</b>
<b>Expenditures By Funds</b>					
General Revenue	1,961,668	2,145,140	2,190,137	2,317,502	2,096,374
Federal Funds	263,147	301,733	279,741	302,990	342,587
Other Funds	209,144	208,525	227,589	252,630	271,812
<b>Total Expenditures</b>	<b>\$2,433,959</b>	<b>\$2,655,398</b>	<b>\$2,697,467</b>	<b>\$2,873,122</b>	<b>\$2,710,773</b>

# Personnel

## Treasury Department General Treasurer

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Chief Legal Counsel	8550	1.0	146,592	1.0	146,592
Executive Director for Financial Empowerment	8550	1.0	137,487	1.0	141,580
Chief of Staff	8548	1.0	128,417	1.0	132,939
Deputy General Treasurer for Finance	8547	1.0	124,013	1.0	128,444
Executive Director for Operations	8546	1.0	119,528	1.0	123,945
General Treasurer	0531F	1.0	108,808	1.0	108,800
Cash Manager	8538	1.0	108,620	1.0	108,620
Chief Fiscal Manager	8538	1.0	101,937	1.0	101,937
Public Information Officer	8539	1.0	92,669	1.0	97,162
Fiscal Management/Debt Analyst	330	1.0	83,353	1.0	83,353
Principal Auditor	328	3.0	227,142	3.0	227,143
Associate Director of Finance	8535	1.0	75,535	1.0	77,531
Investment Auditor Manager	8529	1.0	71,208	1.0	71,208
Fiscal Management /Admin. Officer	327	2.0	140,336	2.0	110,730
Principal Administrative Clerk	325	1.0	67,417	1.0	67,417
Fiscal Management /Pension Inv. Analyst	331	1.0	65,101	1.0	66,096
Receipts Coord & Retirement Accts Rec	324	1.0	63,734	1.0	64,312
IT Specialist	8529	1.0	60,300	1.0	60,300
Constituent Service Representative	8520	1.0	54,323	1.0	40,734
Sr Investment Officer	322	1.0	51,815	1.0	55,659
Business Service Specialist	0318	1.0	51,731	1.0	51,731
Executive Aid to the Deputy Treasurer	8524	1.0	49,643	1.0	51,333
Reconciliation Supervisor	8521	1.0	49,136	1.0	49,136
Acct & Research Service Specialist	319	1.0	48,014	1.0	48,954
Legal Counsel	8523	1.0	47,979	1.0	51,772
General Operations Assistant	0314	1.0	46,917	1.0	46,917
Senior Administrative Aide	0317	1.0	46,524	1.0	48,052
Acct & Debt Service Specialist	319	1.0	45,368	1.0	45,368
Administrative Assistant	322	1.0	44,747	1.0	46,149
Courier/Meeting Coordinator	0317	1.0	41,783	1.0	41,783
General Administrative Asst	8151	1.0	41,680	1.0	37,389
Archives & Records Retention Specialist	0315	1.0	40,098	1.0	41,270
Policy Aide	8517	2.0	77,006	2.0	78,678
General Administrative Asst	315	1.0	36,995	1.0	38,096
Administrative Support	0315	2.0	73,376	2.0	72,566
Seasonal Intern	221H	-	50,000	-	50,000
<b>Subtotal</b>		<b>40.0</b>	<b>\$2,819,332</b>	<b>40.0</b>	<b>\$2,813,696</b>
Cost Allocations to Other Programs		(19.9)	(1,425,217)	(19.9)	(1,445,761)
Cost Allocations from Other Programs		1.3	90,582	1.3	93,324
Turnover		-	(164,932)	-	(87,806)
<b>Subtotal</b>		<b>(18.6)</b>	<b>(\$1,499,567)</b>	<b>(18.6)</b>	<b>(\$1,440,243)</b>
<b>Total Salaries</b>		<b>21.4</b>	<b>\$1,319,765</b>	<b>21.4</b>	<b>\$1,373,453</b>



# Personnel

## Treasury Department General Treasurer

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	13,733
FICA		-	97,945	-	101,563
Medical		-	216,340	-	265,822
Payroll Accrual		-	-	-	8,071
Retiree Health		-	90,536	-	94,218
Retirement		-	298,367	-	286,354
<b>Subtotal</b>		-	<b>\$703,188</b>	-	<b>\$769,761</b>
<b>Total Salaries and Benefits</b>		<b>21.4</b>	<b>\$2,022,953</b>	<b>21.4</b>	<b>\$2,143,214</b>
Cost Per FTE Position			\$94,531		\$100,150
Statewide Benefit Assessment		-	49,491	-	51,504
<b>Subtotal</b>		-	<b>\$49,491</b>	-	<b>\$51,504</b>
<b>Payroll Costs</b>		<b>21.4</b>	<b>\$2,072,444</b>	<b>21.4</b>	<b>\$2,194,718</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	12,876	-	30,044
Clerical and Temporary Services		-	900	-	900
Legal Services		-	193,173	-	28,400
Management and Consultant Services		-	28,600	-	28,150
<b>Subtotal</b>		-	<b>\$235,549</b>	-	<b>\$87,494</b>
<b>Total Personnel</b>		<b>21.4</b>	<b>\$2,307,993</b>	<b>21.4</b>	<b>\$2,282,212</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		16.1	1,854,432	16.1	1,766,102
Federal Funds		3.0	256,363	3.0	290,840
Other Funds		2.3	197,198	2.3	225,270
<b>Total All Funds</b>		<b>21.4</b>	<b>\$2,307,993</b>	<b>21.4</b>	<b>\$2,282,212</b>

# The Program

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## Treasury Department State Retirement System

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### **Program Mission**

In addition to statutory mandates, the major program objectives of the Employees' Retirement System of Rhode Island are the continued delivery of services to the active and retired membership. The investment objective for the State Pension Fund is to meet or exceed an annual rate of return of 8.25 percent.

### **Program Description**

The Employees' Retirement System of Rhode Island provides retirement, disability, survivor, and death benefits to eligible state employees, and public school teachers. Participating municipal employees belong to the Municipal Employees' Retirement System. The system also administers the Judicial Retirement Plan, the State Police Retirement Plan and the Teacher Survivor Benefit Program for those teachers who are not covered by Social Security.

The system is divided into three main areas: Member Services, Finance and Administration. Member services is responsible for the coordinated delivery of services to the membership. It counsels members on a daily basis, provides outreach counseling from October to May at various sites across the state, and is responsible for group benefit presentations. A new call center, staffed in FY 2008, further increases this area's responsiveness to ERSRI members.

Finance is responsible for the accounting of the system's assets and is responsible for member bookkeeping. It calculates all retirement allowances and purchase requests and maintains the system's retiree pension payroll. The retiree unit within the Finance department handles all retiree inquiries. Finally, the Data Processing unit within that same division tracks all participant information and prepares yearly information for periodic actuarial valuations.

Administration includes the Executive Director, Assistant Executive Director and the Communications unit. It is responsible for all relations with the system's 15-member retirement board. It also oversees the delivery of communication to the system's active and retired membership and all other interested parties.

### **Statutory History**

The Employees' Retirement System of Rhode Island is governed by Titles 16, 36, 38 and 45 of the Rhode Island General Laws.

# The Budget

## Treasury Department State Retirement System

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Defined Benefit	6,254,227	6,560,251	12,122,801	12,213,259	12,022,275
Defined Contribution	-	-	-	446,626	570,598
<b>Total Expenditures</b>	<b>\$6,254,227</b>	<b>\$6,560,251</b>	<b>\$12,122,801</b>	<b>\$12,659,885</b>	<b>\$12,592,873</b>
<b>Expenditures By Object</b>					
Personnel	5,376,065	5,682,861	6,688,573	7,225,421	7,366,889
Operating Supplies and Expenses	658,421	620,796	646,460	993,308	1,200,384
Assistance and Grants	147,935	87,600	163,000	163,000	-
<b>Subtotal: Operating Expenditures</b>	<b>6,182,421</b>	<b>6,391,257</b>	<b>7,498,033</b>	<b>8,381,729</b>	<b>8,567,273</b>
Capital Purchases and Equipment	71,806	168,994	4,624,768	4,278,156	4,025,600
<b>Total Expenditures</b>	<b>\$6,254,227</b>	<b>\$6,560,251</b>	<b>\$12,122,801</b>	<b>\$12,659,885</b>	<b>\$12,592,873</b>
<b>Expenditures By Funds</b>					
Restricted Receipts	6,254,227	6,560,251	12,122,801	12,659,885	12,592,873
<b>Total Expenditures</b>	<b>\$6,254,227</b>	<b>\$6,560,251</b>	<b>\$12,122,801</b>	<b>\$12,659,885</b>	<b>\$12,592,873</b>

# Personnel

## Treasury Department State Retirement System

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Executive Director Retirement	8545	1.0	142,735	1.0	142,735
Assistant Executive Director	8538	1.0	106,569	1.0	106,569
Assistant Director of Financw	8538	1.0	83,605	1.0	87,831
Assistant Director of Member Services	8538	1.0	83,605	1.0	87,831
Project Manager	8530	1.0	82,151	1.0	82,151
Manager - Retirement Counselors	330	1.0	81,797	1.0	81,797
Sr. Administrative Assistant	0325	1.0	70,239	1.0	70,239
Sr. Administrative Assistant	0327	2.0	138,478	2.0	138,478
Communications Coordinator	8533	1.0	67,582	1.0	72,671
Legal Counsel	8526	1.0	67,341	1.0	67,341
Investigation & Compliance Officer	0325	1.0	66,960	1.0	51,343
Administrative Assistant	0325	3.0	182,729	3.0	183,801
Business Analyst	328	1.0	57,405	1.0	59,404
Retirement Analyst	0323	2.0	112,323	2.0	100,563
Production Systems Specialist	0321	1.0	56,086	1.0	56,455
Staff Accountant	0326	1.0	51,313	1.0	53,324
Principal Accountant	0326	1.0	50,590	1.0	53,696
Deputy Administrator / Clerk Accounting	8524	1.0	49,643	1.0	51,270
Sr. Administrative Aide	0317	1.0	49,503	1.0	49,504
Imaging Technician	0315	1.0	46,335	1.0	47,166
Administrative Aide	0316	4.0	180,345	4.0	180,345
Retirement Aide	0315	2.0	71,880	2.0	76,474
Administrative Aide	8513	1.0	35,092	1.0	35,735
Defined Contribution - IntraProgram Assignments	n/a	-	36,660	-	72,297
<b>Subtotal</b>		<b>31.0</b>	<b>\$1,970,966</b>	<b>31.0</b>	<b>\$2,009,020</b>
Cost Allocations from Other Programs		15.5	1,124,214	15.5	1,135,320
Overtime		-	25,000	-	25,000
Turnover		-	(113,974)	-	(58,101)
<b>Subtotal</b>		<b>15.5</b>	<b>\$1,035,240</b>	<b>15.5</b>	<b>\$1,102,219</b>
<b>Total Salaries</b>		<b>46.5</b>	<b>\$3,006,206</b>	<b>46.5</b>	<b>\$3,111,239</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	30,139
FICA		-	220,504	-	229,539
Medical		-	514,581	-	635,514
Payroll Accrual		-	-	-	17,141
Retiree Health		-	204,474	-	211,682
Retirement		-	685,115	-	655,120
<b>Subtotal</b>		<b>-</b>	<b>\$1,624,674</b>	<b>-</b>	<b>\$1,779,135</b>
<b>Total Salaries and Benefits</b>		<b>46.5</b>	<b>\$4,630,880</b>	<b>46.5</b>	<b>\$4,890,374</b>
Cost Per FTE Position			\$99,589		\$105,169

# Personnel

## Treasury Department State Retirement System

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
Statewide Benefit Assessment		-	111,711	-	115,745
<b>Subtotal</b>		-	<b>\$111,711</b>	-	<b>\$115,745</b>
<b>Payroll Costs</b>		<b>46.5</b>	<b>\$4,742,591</b>	<b>46.5</b>	<b>\$5,006,119</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	22,830	-	53,270
Clerical and Temporary Services		-	12,000	-	12,000
Legal Services		-	585,000	-	585,000
Management and Consultant Services		-	1,272,000	-	1,272,000
Other Contract Services		-	216,000	-	63,500
Training and Educational Services		-	375,000	-	375,000
<b>Subtotal</b>		-	<b>\$2,482,830</b>	-	<b>\$2,360,770</b>
<b>Total Personnel</b>		<b>46.5</b>	<b>\$7,225,421</b>	<b>46.5</b>	<b>\$7,366,889</b>
<b>Distribution By Source Of Funds</b>					
Restricted Receipts - Defined Benefit Plan		46.5	6,908,795	46.5	6,931,291
Restricted Receipts		-	316,626	-	435,598
<b>Total All Funds</b>		<b>46.5</b>	<b>\$7,225,421</b>	<b>46.5</b>	<b>\$7,366,889</b>

# The Program

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## Treasury Department Unclaimed Property

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### **Program Mission**

This program will continue its efforts to ensure holder compliance with the law, resulting in more property being received by the State and being returned to their rightful owners. The program recently engaged dozens of field auditors from the Division of Taxation to assist in identifying and recouping unclaimed property during the regular course of business audits. The program also holds periodic auction of tangible property.

### **Program Description**

The Unclaimed Property Program is responsible for the collection of abandoned property and acts as custodian for both tangible and intangible abandoned property, with the mission of returning this property to its rightful owners. This division maintains data on all escheated properties by the State since the inception of the program. This program monitors compliance with the law via an internal review of reports filed, and an audit program that audits financial institutions, corporations, businesses, insurance companies, and municipalities. Beginning in FY 2008, the program enlists field auditors from the Department of Revenue to assist in locating unclaimed property during the regular course of their audit functions.

### **Statutory History**

Title 33 Chapter 21 and 21.1 of the General Laws govern the Unclaimed Property Program and were most recently updated during the 1992-93 legislative sessions.

# The Budget

## Treasury Department Unclaimed Property

	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	16,482,981	16,973,660	15,940,148	23,741,483	20,182,611
<b>Total Expenditures</b>	<b>\$16,482,981</b>	<b>\$16,973,660</b>	<b>\$15,940,148</b>	<b>\$23,741,483</b>	<b>\$20,182,611</b>
<b>Expenditures By Object</b>					
Personnel	985,432	1,072,423	1,222,296	1,789,368	1,713,872
Operating Supplies and Expenses	15,494,531	15,861,005	14,684,414	21,846,004	18,457,739
<b>Subtotal: Operating Expenditures</b>	<b>16,479,963</b>	<b>16,933,428</b>	<b>15,906,710</b>	<b>23,635,372</b>	<b>20,171,611</b>
Capital Purchases and Equipment	3,018	40,232	33,438	106,111	11,000
<b>Total Expenditures</b>	<b>\$16,482,981</b>	<b>\$16,973,660</b>	<b>\$15,940,148</b>	<b>\$23,741,483</b>	<b>\$20,182,611</b>
<b>Expenditures By Funds</b>					
Restricted Receipts	16,482,981	16,973,660	15,940,148	23,741,483	20,182,611
<b>Total Expenditures</b>	<b>\$16,482,981</b>	<b>\$16,973,660</b>	<b>\$15,940,148</b>	<b>\$23,741,483</b>	<b>\$20,182,611</b>

# Personnel

## Treasury Department Unclaimed Property

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Manager, Unclaimed Property	8532	1.0	77,664	1.0	77,664
Senior Unclaimed Property Technician	322	1.0	61,789	1.0	61,789
Unclaimed Property Technician	321	1.0	57,594	1.0	57,594
Assistant Administrator/Clerk	316	1.0	49,262	1.0	49,262
Adm. Asst. (Treasury)	316	1.0	49,252	1.0	50,014
Applications Coordinator	318	1.0	45,430	1.0	47,420
Administrative Aide (Unclaimed Property)	316	1.0	42,623	1.0	42,623
<b>Subtotal</b>		<b>7.0</b>	<b>\$383,614</b>	<b>7.0</b>	<b>\$386,366</b>
Cost Allocations from Other Programs		2.9	194,898	2.9	201,559
Cost Allocations to Other Programs		-	(11,509)	-	(11,591)
Overtime		-	9,200	-	9,200
<b>Subtotal</b>		<b>2.9</b>	<b>\$192,589</b>	<b>2.9</b>	<b>\$199,168</b>
<b>Total Salaries</b>		<b>9.9</b>	<b>\$576,203</b>	<b>9.9</b>	<b>\$585,534</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	5,763
FICA		-	42,817	-	43,407
Medical		-	112,387	-	128,423
Payroll Accrual		-	-	-	3,398
Retiree Health		-	38,897	-	39,537
Retirement		-	129,486	-	121,314
<b>Subtotal</b>		<b>-</b>	<b>\$323,587</b>	<b>-</b>	<b>\$341,842</b>
<b>Total Salaries and Benefits</b>		<b>9.9</b>	<b>\$899,790</b>	<b>9.9</b>	<b>\$927,376</b>
Cost Per FTE Position			\$90,888		\$93,674
Statewide Benefit Assessment		-	21,262	-	21,612
<b>Subtotal</b>		<b>-</b>	<b>\$21,262</b>	<b>-</b>	<b>\$21,612</b>
<b>Payroll Costs</b>		<b>9.9</b>	<b>\$921,052</b>	<b>9.9</b>	<b>\$948,988</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	5,760	-	13,440
Management and Consultant Services		-	848,556	-	737,444
Other Contract Services		-	14,000	-	14,000
<b>Subtotal</b>		<b>-</b>	<b>\$868,316</b>	<b>-</b>	<b>\$764,884</b>
<b>Total Personnel</b>		<b>9.9</b>	<b>\$1,789,368</b>	<b>9.9</b>	<b>\$1,713,872</b>



# Personnel

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## Treasury Department Unclaimed Property

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
Restricted Receipts		9.9	1,789,368	9.9	1,713,872
<b>Total All Funds</b>		<b>9.9</b>	<b>\$1,789,368</b>	<b>9.9</b>	<b>\$1,713,872</b>

# The Budget

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## Treasury Department RI Refunding Bond Authority

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	25,801	-	-	-	-
<b>Total Expenditures</b>	<b>\$25,801</b>	-	-	-	-
<b>Expenditures By Object</b>					
Personnel	23,407	-	-	-	-
Operating Supplies and Expenses	2,394	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>25,801</b>	-	-	-	-
<b>Total Expenditures</b>	<b>\$25,801</b>	-	-	-	-
<b>Expenditures By Funds</b>					
General Revenue	25,801	-	-	-	-
<b>Total Expenditures</b>	<b>\$25,801</b>	-	-	-	-

# The Program

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Treasury Department

## Crime Victim Compensation Program

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### **Program Mission**

The Program instituted a pay-as-you go system under the 1999 amendment to the Act, has shortened claims processing times. The debt reduction plan, targeting the accumulated unfunded liability of unpaid claims, concluded in FY 2005. The program completed final payments to Station Fire victims during FY 2006. Recent admendments to the statue allow for psychiatric care for parents, spouses, siblings and children of crime victims. Other compensation includes funeral, medical and counseling payments to victims and their families. The maximum award for each crime incident victim is \$25,000.

### **Program Description**

The Criminal Injuries Compensation Act of 1996, amended in 1999, enables the State of Rhode Island, through the Office of the General Treasurer, to compensate innocent victims of violent crimes for certain expenses directly attributable to the crime. The process includes, but is not limited to, the filing of claim forms, verification of medical bills and other documentation supporting the claim, and proof of dependency or lost wages where necessary. The program's staff reviews each application, gathers information relating to eligibility, and investigates the documentation offered in support of the application. The Program administrator makes an eligibility determination and awards or denies compensation under the applicable statute.

### **Statutory History**

Title 12 Chapter 25 of the RIGL governs the victims of Violent Crimes Compensation Program, the most recent amendments going into effect as of September, 2009.

# The Budget

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## Treasury Department Crime Victim Compensation Program

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	1,564,608	1,842,307	2,440,160	2,158,826	2,147,341
<b>Total Expenditures</b>	<b>\$1,564,608</b>	<b>\$1,842,307</b>	<b>\$2,440,160</b>	<b>\$2,158,826</b>	<b>\$2,147,341</b>
<b>Expenditures By Object</b>					
Personnel	333,256	365,954	389,349	377,385	391,892
Operating Supplies and Expenses	51,644	53,730	35,368	60,208	53,099
Assistance and Grants	1,178,101	1,401,720	2,000,000	1,700,000	1,700,000
<b>Subtotal: Operating Expenditures</b>	<b>1,563,001</b>	<b>1,821,404</b>	<b>2,424,717</b>	<b>2,137,593</b>	<b>2,144,991</b>
Capital Purchases and Equipment	1,607	20,903	15,443	21,233	2,350
<b>Total Expenditures</b>	<b>\$1,564,608</b>	<b>\$1,842,307</b>	<b>\$2,440,160</b>	<b>\$2,158,826</b>	<b>\$2,147,341</b>
<b>Expenditures By Funds</b>					
General Revenue	85,139	95,146	110,715	156,586	133,981
Federal Funds	809,448	838,525	848,310	849,691	844,029
Restricted Receipts	670,021	908,636	1,481,135	1,152,549	1,169,331
<b>Total Expenditures</b>	<b>\$1,564,608</b>	<b>\$1,842,307</b>	<b>\$2,440,160</b>	<b>\$2,158,826</b>	<b>\$2,147,341</b>

# Personnel

## Treasury Department Crime Victim Compensation Program

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Principal Projects Manager	8536	1.0	77,161	1.0	79,983
Applications Coordinator	0318	1.0	52,854	1.0	52,854
Project Coordinator	8526	1.0	51,866	1.0	53,696
Administrative Aide	0316	1.0	42,623	1.0	42,623
<b>Subtotal</b>		<b>4.0</b>	<b>\$224,504</b>	<b>4.0</b>	<b>\$229,156</b>
Cost Allocations from Other Programs		0.2	15,525	0.2	15,558
Turnover		-	(6,737)	-	(6,874)
<b>Subtotal</b>		<b>0.2</b>	<b>\$8,788</b>	<b>0.2</b>	<b>\$8,684</b>
<b>Total Salaries</b>		<b>4.2</b>	<b>\$233,292</b>	<b>4.2</b>	<b>\$237,840</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	2,379
FICA		-	17,743	-	18,079
Medical		-	39,219	-	43,839
Payroll Accrual		-	-	-	1,404
Retiree Health		-	16,004	-	16,317
Retirement		-	53,409	-	50,185
<b>Subtotal</b>		<b>-</b>	<b>\$126,375</b>	<b>-</b>	<b>\$132,203</b>
<b>Total Salaries and Benefits</b>		<b>4.2</b>	<b>\$359,667</b>	<b>4.2</b>	<b>\$370,043</b>
Cost Per FTE Position			\$85,635		\$88,105
Statewide Benefit Assessment		-	8,748	-	8,919
<b>Subtotal</b>		<b>-</b>	<b>\$8,748</b>	<b>-</b>	<b>\$8,919</b>
<b>Payroll Costs</b>		<b>4.2</b>	<b>\$368,415</b>	<b>4.2</b>	<b>\$378,962</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	2,970	-	6,930
Clerical and Temporary Services		-	100	-	100
Information Technology		-	5,900	-	5,900
<b>Subtotal</b>		<b>-</b>	<b>\$8,970</b>	<b>-</b>	<b>\$12,930</b>
<b>Total Personnel</b>		<b>4.2</b>	<b>\$377,385</b>	<b>4.2</b>	<b>\$391,892</b>

# Personnel

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## Treasury Department

### Crime Victim Compensation Program

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		1.2	105,278	1.3	118,894
Federal Funds		0.5	48,305	0.5	42,643
Restricted Receipts		2.5	223,802	2.5	230,355
<b>Total All Funds</b>		<b>4.2</b>	<b>\$377,385</b>	<b>4.3</b>	<b>\$391,892</b>

# Agency

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## Board Of Elections

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### Agency Mission

To protect the integrity of the electoral process and to effectively and efficiently administer the provisions of United States and Rhode Island election laws.

### Agency Description

The Board of Elections supervises all elections and state and local referenda. The Board supervises the maintenance, preparation and delivery of electronic optical-scan voting equipment, election return forms and other supplies used at each polling place. The Board instructs and certifies all election officials assigned to polls and prepares and distributes poll worker guides and related materials. The Board also appoints, trains and assigns bi-partisan pairs of supervisors for the mail ballot program for institutionally confined persons. The Board certifies the results of all elections under its jurisdiction, including tabulating machine and mail ballot votes cast; conducts recounts; certifies results to the Secretary of State; issues certificates of election to candidates; and provides an official tabulation of returns.

The Board oversees voter registration and public education activities and provides all registration materials used in the State. The Board trains and supervises all individuals who serve as statewide voter registration agents. The agency conducts voter registration drives throughout the State and at each institution of higher education in Rhode Island. It oversees and coordinates the registration of voters at other state agencies and departments as part of the National Voter Registration Act. The Board carries out the mandates of the Rhode Island Campaign Contributions and Expenditures Reporting Act (the "Act"). The agency oversees and monitors the campaign finance activities of candidates, political action committees and state vendors. The Board's responsibilities also include the development, printing and distribution of forms required for candidate, committee and vendor reports as well as the publication of manuals describing and explaining the requirements set forth in the statutes. The Board reviews and makes available for inspection all reports filed, prepares summaries and an annual report, and is authorized to investigate suspected violations of the Act. The agency oversees and administers the public financing of campaigns program for each of the State's five general offices.

### Statutory History

Chapter 825 of the Public Laws of 1901 created the "State Returning Board," which was replaced by Chapter 1040 of the Public Laws of 1941 which created the "Board of Elections" as a partisan board. Chapter 312 of the Public Laws of 1979 amended the law to establish the Board of Elections as a non-partisan board. R.I.G.L. 17-7 sets forth its duties and powers. R.I.G.L. 17-25 sets out the mandates of the Rhode Island Campaign Contributions and Expenditure Reporting Act (public financing of campaigns). R.I.G.L. 42-6 provides for the registration of voters at other state agencies. R.I.G.L. 17-27 provides for reporting requirements and monitoring of political contributions by state vendors. R.I.G.L. 17-19 provides for the use of an optical scan precinct count voting system in state elections.

# Budget

## Board Of Elections

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	1,202,211	3,400,118	1,875,905	1,818,261	1,944,116
<b>Total Expenditures</b>	<b>\$1,202,211</b>	<b>\$3,400,118</b>	<b>\$1,875,905</b>	<b>\$1,818,261</b>	<b>\$1,944,116</b>
<b>Expenditures By Object</b>					
Personnel	1,077,962	1,528,996	1,634,323	1,523,485	1,594,442
Operating Supplies and Expenses	120,749	184,298	203,070	252,134	349,674
Assistance and Grants	3,500	1,656,210	-	4,130	-
<b>Subtotal: Operating Expenditures</b>	<b>1,202,211</b>	<b>3,369,504</b>	<b>1,837,393</b>	<b>1,779,749</b>	<b>1,944,116</b>
Capital Purchases and Equipment	-	30,614	38,512	38,512	-
<b>Total Expenditures</b>	<b>\$1,202,211</b>	<b>\$3,400,118</b>	<b>\$1,875,905</b>	<b>\$1,818,261</b>	<b>\$1,944,116</b>
<b>Expenditures By Funds</b>					
General Revenue	1,092,280	3,290,424	1,825,905	1,768,261	1,944,116
Federal Funds	109,931	109,694	50,000	50,000	-
<b>Total Expenditures</b>	<b>\$1,202,211</b>	<b>\$3,400,118</b>	<b>\$1,875,905</b>	<b>\$1,818,261</b>	<b>\$1,944,116</b>
<b>FTE Authorization</b>	<b>11.5</b>	<b>11.0</b>	<b>12.0</b>	<b>11.0</b>	<b>11.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	25.0%	27.3%	27.3%	27.3%	27.3%
Females as a Percentage of the Workforce	33.3%	36.4%	36.4%	36.4%	36.4%
Persons with Disabilities as a Percentage of the Workforce	-	-	-	-	-

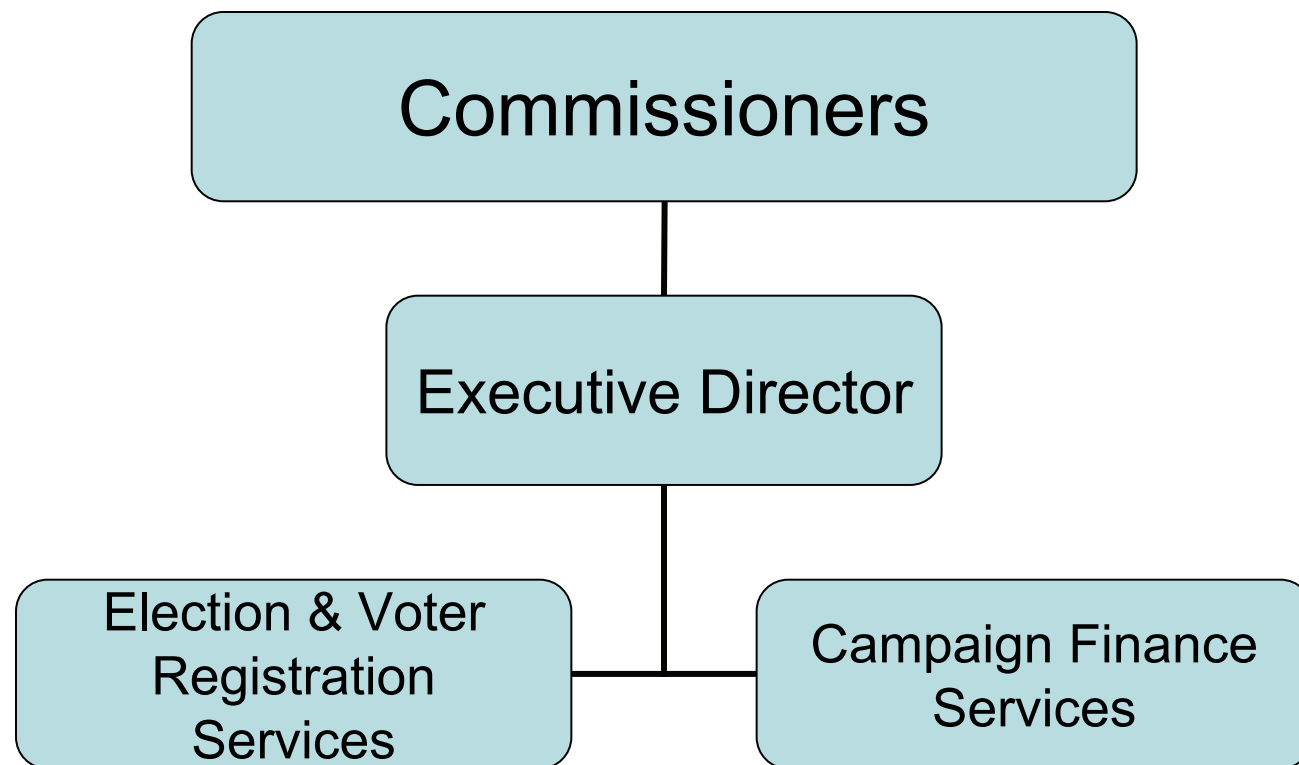


# The Agency

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Board of Elections

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# Personnel

## Board Of Elections Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Executive Director	0844A	1.0	137,574	1.0	137,574
Principal Projects Manager	0831A	1.0	82,130	1.0	82,130
Supervising Accountant	0831A	1.0	74,770	1.0	74,770
Senior Administrative Aide/Trng Spec	0319A	1.0	52,292	1.0	52,292
Planning & Program Dev. Specialist	0320A	4.0	196,591	4.0	198,413
Confidential Secretary	0817A	1.0	43,873	1.0	43,873
Senior Receptionist	0312A	1.0	38,124	1.0	38,334
Administrative Assistant	0312A	1.0	36,438	1.0	36,509
Commission Chairman	0510F	-	7,000	-	-
Commissioners	0510F	-	42,000	-	-
<b>Subtotal</b>		<b>11.0</b>	<b>\$710,792</b>	<b>11.0</b>	<b>\$663,895</b>
Overtime		-	-	-	5,360
<b>Subtotal</b>		-	-	-	<b>\$5,360</b>
<b>Total Salaries</b>		<b>11.0</b>	<b>\$710,792</b>	<b>11.0</b>	<b>\$669,255</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	7,129
FICA		-	52,471	-	48,881
Medical		-	126,497	-	141,301
Payroll Accrual		-	-	-	3,986
Retiree Health		-	45,399	-	45,544
Retirement		-	152,079	-	140,606
<b>Subtotal</b>		-	<b>\$376,446</b>	-	<b>\$387,447</b>
<b>Total Salaries and Benefits</b>		<b>11.0</b>	<b>\$1,087,238</b>	<b>11.0</b>	<b>\$1,056,702</b>
Cost Per FTE Position			\$98,840		\$96,064
Statewide Benefit Assessment		-	26,657	-	24,895
Temporary and Seasonal		-	50,000	-	120,000
<b>Subtotal</b>		-	<b>\$76,657</b>	-	<b>\$144,895</b>
<b>Payroll Costs</b>		<b>11.0</b>	<b>\$1,163,895</b>	<b>11.0</b>	<b>\$1,201,597</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	300	-	300
Clerical and Temporary Services		-	5,500	-	9,000
Legal Services		-	80,000	-	110,000
Management and Consultant Services		-	271,969	-	271,969
Other Contract Services		-	1,821	-	1,576
<b>Subtotal</b>		-	<b>\$359,590</b>	-	<b>\$392,845</b>

# Personnel

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## Board Of Elections

## Central Management

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Total Personnel</b>		<b>11.0</b>	<b>\$1,523,485</b>	<b>11.0</b>	<b>\$1,594,442</b>
<b>Distribution By Source Of Funds</b>					
General Revenue		11.0	1,473,485	11.0	1,594,442
Federal Funds		-	50,000	-	-
<b>Total All Funds</b>		<b>11.0</b>	<b>\$1,523,485</b>	<b>11.0</b>	<b>\$1,594,442</b>

# Agency

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## Rhode Island Ethics Commission

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### Agency Mission

Ensure that public officials and employees adhere to the highest standards of ethical conduct, respect the public trust, avoid the appearance of impropriety, and not use their position for private gain or advantage.

Respond efficiently and thoroughly to public inquiries regarding requirements of the Code of Ethics for public officials and employees.

Thoroughly investigate complaints alleging violations of the provisions of the Code of Ethics in a timely manner.

Expand the use of technology in all aspects of the Commission's operations and ensuring greater public access to information and more effective use of investigative and informational resources.

Provide educational and informational seminars, programs and publications for public officials and employees and the public-at-large regarding codes of conduct for public servants and the workings of the Ethics Commission.

### Agency Description

The Rhode Island Ethics Commission came into existence on July 25, 1987, when its members were appointed pursuant to Title 36, Chapter 14 of the Rhode Island General Laws. The operations of the Ethics Commission include formulating policies and regulations relating to the conduct of public officials and employees; investigating and adjudicating complaints alleging violations of the Code of Ethics; maintaining files on more than 4,000 Financial Disclosure Statements per year; issuing advisory opinions to public officials and employees at their request regarding the application of the Code of Ethics to a specific situation, and educating public officials, employees and members of the public as to the requirements of the Code of Ethics and the functions of the Commission.

The staff of the Commission is headed by an Executive Director/Chief Prosecutor, who is hired by the Commission. The Commission's operations are funded solely with state general revenues.

### Statutory History

Title 36 Chapter 14 of the Rhode Island General Laws establishes the Ethics Commission, sets forth the legislative provisions of the Code of Ethics and defines the Commission's advisory, investigative and adjudicative powers.

# Budget

## Rhode Island Ethics Commission

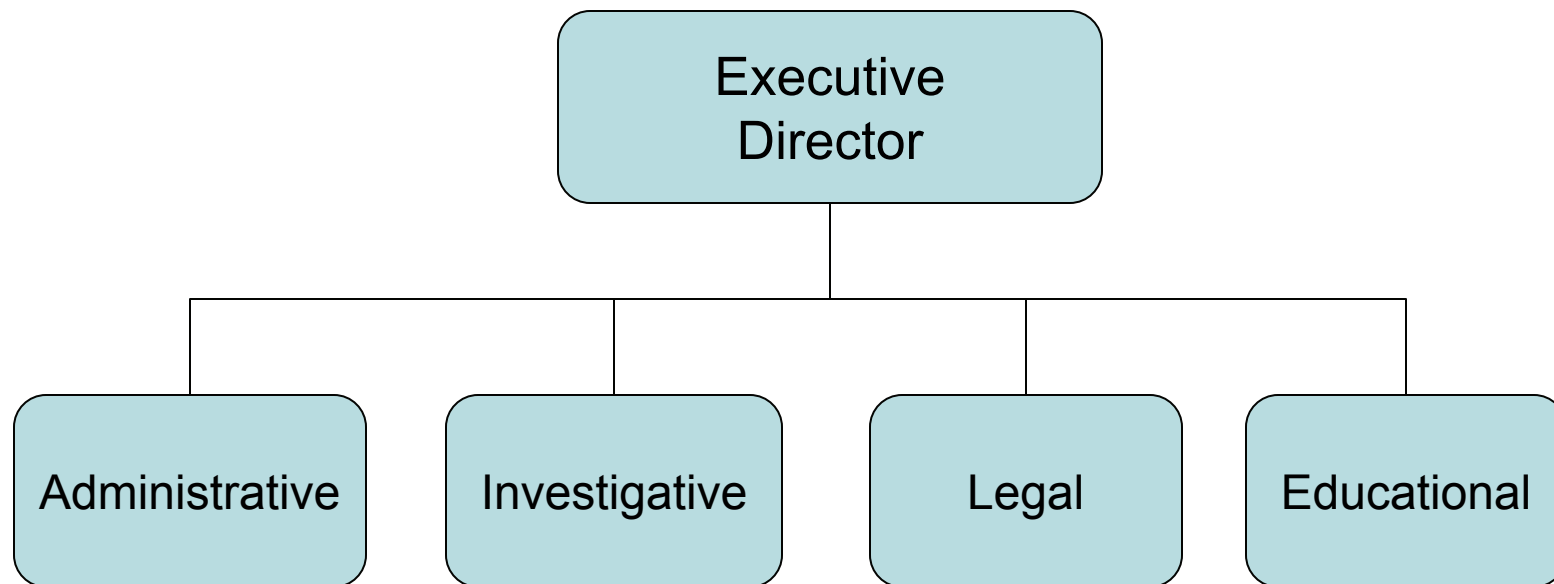
	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
RI Ethics Commission	1,366,012	1,419,805	1,560,008	1,522,946	1,557,881
<b>Total Expenditures</b>	<b>\$1,366,012</b>	<b>\$1,419,805</b>	<b>\$1,560,008</b>	<b>\$1,522,946</b>	<b>\$1,557,881</b>
<b>Expenditures By Object</b>					
Personnel	1,211,428	1,259,598	1,389,146	1,343,073	1,380,008
Operating Supplies and Expenses	149,389	152,713	163,744	172,755	170,755
<b>Subtotal: Operating Expenditures</b>	<b>1,360,817</b>	<b>1,412,311</b>	<b>1,552,890</b>	<b>1,515,828</b>	<b>1,550,763</b>
Capital Purchases and Equipment	5,195	7,494	7,118	7,118	7,118
<b>Total Expenditures</b>	<b>\$1,366,012</b>	<b>\$1,419,805</b>	<b>\$1,560,008</b>	<b>\$1,522,946</b>	<b>\$1,557,881</b>
<b>Expenditures By Funds</b>					
General Revenue	1,366,012	1,419,805	1,560,008	1,522,946	1,557,881
<b>Total Expenditures</b>	<b>\$1,366,012</b>	<b>\$1,419,805</b>	<b>\$1,560,008</b>	<b>\$1,522,946</b>	<b>\$1,557,881</b>
<b>FTE Authorization</b>	<b>12.0</b>	<b>12.0</b>	<b>12.0</b>	<b>12.0</b>	<b>12.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	-	-	-	-	-
Females as a Percentage of the Workforce	58.3%	58.3%	58.3%	58.3%	58.3%
Persons with Disabilities as a Percentage of the Workforce	16.6%	16.6%	16.6%	16.6%	16.6%
Percentage of Advisory Opinion Requests Responded to Within 30 Days of Receipt	78.9%	83.0%	90.0%	90.0%	90.0%
Objective	76.4%	90.0%		90.0%	90.0%

# The Agency

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Rhode Island Ethics Commission

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# Personnel

## Rhode Island Ethics Commission

### RI Ethics Commission

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Executive Director/Chief Prosecutor	0845A	1.0	130,324	1.0	130,324
Chief of the Office of Investigations	0836A	1.0	101,197	1.0	101,197
Staff Attorney V	0836A	1.0	93,762	1.0	93,762
Staff Attorney IV	0834A	1.0	87,519	1.0	87,519
Special Projects Coordinator	0829A	1.0	79,063	1.0	79,063
Senior Confidential Investigator	0832A	1.0	77,664	1.0	77,664
Staff Attorney II	0830A	1.0	64,303	1.0	66,747
Staff Attorney I	0828A	1.0	58,415	1.0	60,731
Administrative Officer	0822A	1.0	54,941	1.0	54,941
Investigator I	0823A	1.0	51,520	1.0	53,869
Administrative Assistant	0816A	1.0	42,623	1.0	42,623
Research Aide	0810A	1.0	35,662	1.0	36,516
<b>Subtotal</b>		<b>12.0</b>	<b>\$876,993</b>	<b>12.0</b>	<b>\$884,956</b>
Turnover		-	(9,769) <sup>(1)</sup>	-	-
<b>Subtotal</b>		<b>-</b>	<b>(\$9,769)</b>	<b>-</b>	<b>-</b>
<b>Total Salaries</b>		<b>12.0</b>	<b>\$867,224</b>	<b>12.0</b>	<b>\$884,956</b>
<b>Benefits</b>					
FICA		-	65,025	-	66,240
Medical		-	84,659	-	90,673
Payroll Accrual		-	-	-	5,223
Retiree Health		-	59,491	-	60,708
Retirement		-	199,288	-	187,424
Retirement		-	-	-	8,850
<b>Subtotal</b>		<b>-</b>	<b>\$408,463</b>	<b>-</b>	<b>\$419,118</b>
<b>Total Salaries and Benefits</b>		<b>12.0</b>	<b>\$1,275,687</b>	<b>12.0</b>	<b>\$1,304,074</b>
Cost Per FTE Position			\$106,307		\$108,673
Statewide Benefit Assessment		-	32,886	-	33,184
<b>Subtotal</b>		<b>-</b>	<b>\$32,886</b>	<b>-</b>	<b>\$33,184</b>
<b>Payroll Costs</b>		<b>12.0</b>	<b>\$1,308,573</b>	<b>12.0</b>	<b>\$1,337,258</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	4,500	-	4,500
Information Technology		-	-	-	8,250
Legal Services		-	30,000	-	30,000
<b>Subtotal</b>		<b>-</b>	<b>\$34,500</b>	<b>-</b>	<b>\$42,750</b>
<b>Total Personnel</b>		<b>12.0</b>	<b>\$1,343,073</b>	<b>12.0</b>	<b>\$1,380,008</b>

# Personnel

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## Rhode Island Ethics Commission

### RI Ethics Commission

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	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		12.0	1,343,073	12.0	1,380,008
<b>Total All Funds</b>		<b>12.0</b>	<b>\$1,343,073</b>	<b>12.0</b>	<b>\$1,380,008</b>

*1 savings realized due to vacancy in Staff Attorney II position for 4 pay periods.*



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## ***RI Ethics Commission***

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### ***Percentage of Advisory Opinion Requests Responded to Within 30 Days of Receipt***

This indicator measures the percentage of advisory opinion requests responded to within thirty days of receipt and relates to the commission's stated objective to respond efficiently to public inquiries regarding the requirements of the Code of Ethics for public officials and employees. The performance data is obtained from Ethics Commission statistical reports and databases.

The objective has been a completion rate of one hundred percent. The objective was changed, however, beginning in FY 2006, to the highest percentage in a previous fiscal year since FY 2004.

# Agency

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## Rhode Island Commission For Human Rights

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### Agency Mission

To enforce state and federal anti-discrimination laws.

### Agency Description

The Rhode Island Commission for Human Rights enforces Rhode Island anti-discrimination laws in the areas of employment, housing, public accommodations, credit, and delivery of services. The employment and public accommodation statutes prohibit discrimination based on race, color, sex, religion, age, sexual orientation and gender identity/expression, disability and ancestral origin. The housing and credit statutes also prohibit discrimination based on marital status, familial status and association with members of a protected class. The housing statute additionally prohibits discrimination on the basis of status as a victim of domestic abuse. The delivery of service statute prohibits discrimination on the basis of disability.

□

The commission's major program activities include outreach and education, intake, investigation, conciliation and administrative hearings. Staff members perform outreach and education activities voluntarily and frequently, after normal working hours. Intake involves the receipt and evaluation of inquiries. If the allegations present a prima facie case of discrimination, a formal charge of discrimination is prepared and forwarded to the respondent. Investigators conduct an impartial analysis of evidence obtained from both parties, compare all elements of the case and attempt to negotiate a resolution. Where resolution is not achieved, investigators make a recommendation on the merits of the charge to a Preliminary Investigating Commissioner ("PIC"). The PIC makes a formal ruling as to whether there is "Probable Cause" or "No Probable Cause" in respect to the allegations of the charge. Upon a "Probable Cause" ruling, the commission attempts to conciliate the matter. The parties have the opportunity to elect that the matter be heard in Superior Court. Where conciliation is unsuccessful, and the parties have elected to proceed at the commission, an administrative hearing is conducted. At the administrative hearing, evidence is admitted and sworn testimony is heard before a Commissioner; a court stenographer also is present. The commission renders a formal decision and order following an administrative hearing.

### Statutory History

The commission was created and empowered in 1949 by Title 28, Chapter 5 of the General Laws of Rhode Island (the Fair Employment Practices Act). The commission has been given statutory responsibility to enforce the following laws: R.I.G.L. § 28-5-1 et seq.; R.I.G.L. § 34-37-1 et seq. (Fair Housing Practices Act); R.I.G.L. § 11-24-1 et seq. (Hotels and Public Places); R.I.G.L. §§ 23-6-22 and 23-6-23 (Prevention and Suppression of Contagious Diseases); R.I.G.L. § 42-87-1 et seq. (Civil Rights of People with Disabilities); and R.I.G.L. § 40-9.1-1 et seq. (Equal Rights of Blind and Deaf Persons to Public Facilities). In addition to state laws, the Commission assists the federal government in enforcing the following federal laws: Title VII of the Civil Rights Act of 1964, the Age Discrimination in Employment Act, the Americans with Disabilities Act and Title VIII of the Federal Fair Housing Law, as amended.

# Budget

## Rhode Island Commission For Human Rights

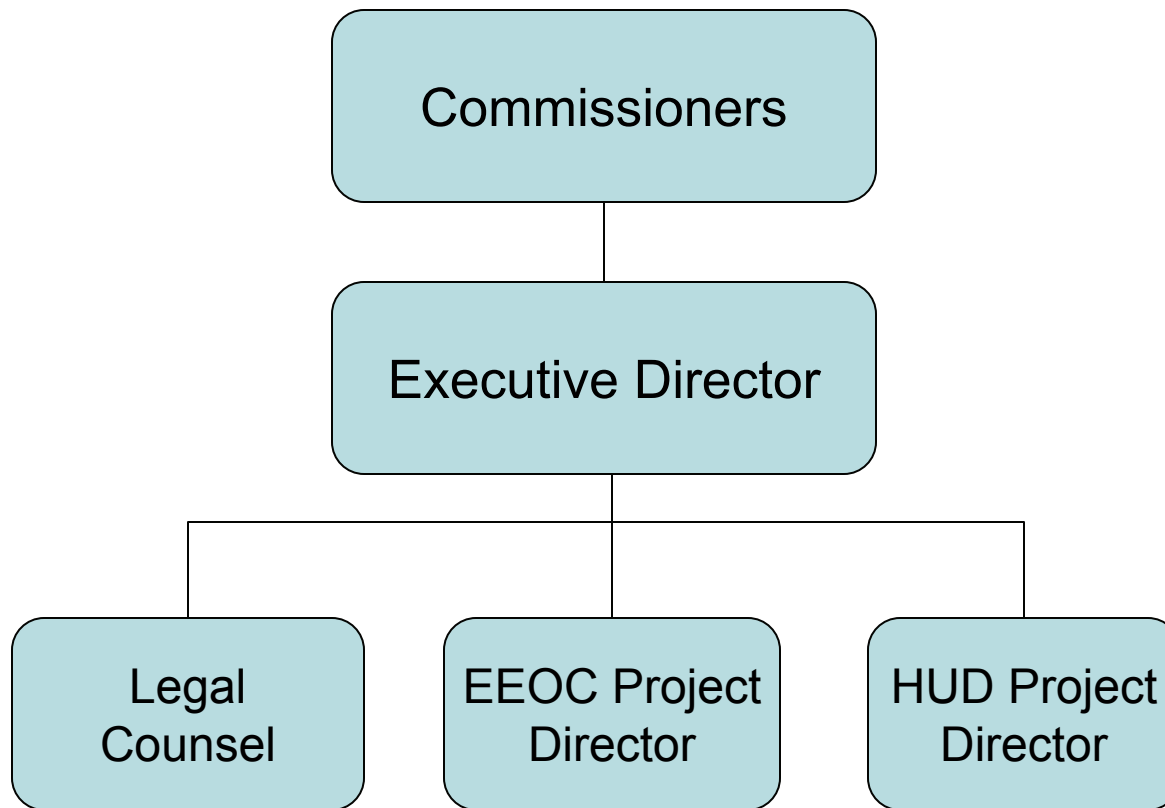
	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	1,284,241	1,355,743	1,455,570	1,426,195	1,487,709
<b>Total Expenditures</b>	<b>\$1,284,241</b>	<b>\$1,355,743</b>	<b>\$1,455,570</b>	<b>\$1,426,195</b>	<b>\$1,487,709</b>
<b>Expenditures By Object</b>					
Personnel	1,055,129	1,108,134	1,222,882	1,184,891	1,229,509
Operating Supplies and Expenses	229,112	231,229	232,688	241,304	258,200
<b>Subtotal: Operating Expenditures</b>	<b>1,284,241</b>	<b>1,339,363</b>	<b>1,455,570</b>	<b>1,426,195</b>	<b>1,487,709</b>
Capital Purchases and Equipment	-	16,380	-	-	-
<b>Total Expenditures</b>	<b>\$1,284,241</b>	<b>\$1,355,743</b>	<b>\$1,455,570</b>	<b>\$1,426,195</b>	<b>\$1,487,709</b>
<b>Expenditures By Funds</b>					
General Revenue	959,253	1,214,438	1,154,038	1,149,126	1,161,717
Federal Funds	324,988	141,305	301,532	277,069	325,992
<b>Total Expenditures</b>	<b>\$1,284,241</b>	<b>\$1,355,743</b>	<b>\$1,455,570</b>	<b>\$1,426,195</b>	<b>\$1,487,709</b>
<b>FTE Authorization</b>	<b>14.2</b>	<b>14.5</b>	<b>14.5</b>	<b>14.5</b>	<b>14.5</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	42.9%	42.9%	50.0%	50.0%	50.0%
Females as a Percentage of the Workforce	64.3%	64.3%	64.3%	64.3%	64.3%
Persons with Disabilities as a Percentage of the Workforce	35.7%	35.7%	28.6%	28.6%	28.6%
Average Number of Business Days from Receipt of Intake Questionnaire to Official Charge	38	38	38	38	38

# The Agency

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Rhode Island Commission For Human Rights

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# Personnel

## Rhode Island Commission For Human Rights Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Unclassified</b>					
Executive Secretary	0832	1.0	81,363	1.0	81,363
Legal Counsel	826	2.0	142,455	2.0	142,455
Senior Compliance Officer	319	3.5	193,505	3.5	194,489
HUD Project Director	320	1.0	54,896	1.0	54,896
EEOC Project Director	0320	1.0	53,167	1.0	53,167
Chief Clerk	0E13	1.0	48,137	1.0	48,137
Investigator	0314	3.0	125,288	3.0	125,288
Administrative Aide	310	2.0	75,734	2.0	76,877
<b>Subtotal</b>		<b>14.5</b>	<b>\$774,545</b>	<b>14.5</b>	<b>\$776,672</b>
Turnover		-	(56,814) <sup>(1,2)</sup>	-	(43,493) <sup>(1)</sup>
<b>Subtotal</b>		-	<b>(\$56,814)</b>	-	<b>(\$43,493)</b>
<b>Total Salaries</b>		<b>14.5</b>	<b>\$717,731</b>	<b>14.5</b>	<b>\$733,179</b>
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	7,332
FICA		-	54,908	-	56,092
Medical		-	165,541	-	189,713
Payroll Accrual		-	-	-	4,332
Retiree Health		-	49,237	-	50,297
Retirement		-	164,935	-	155,280
<b>Subtotal</b>		-	<b>\$434,621</b>	-	<b>\$463,046</b>
<b>Total Salaries and Benefits</b>		<b>14.5</b>	<b>\$1,152,352</b>	<b>14.5</b>	<b>\$1,196,225</b>
Cost Per FTE Position			\$79,473		\$82,498
Statewide Benefit Assessment		-	26,914	-	27,494
<b>Subtotal</b>		-	<b>\$26,914</b>	-	<b>\$27,494</b>
<b>Payroll Costs</b>		<b>14.5</b>	<b>\$1,179,266</b>	<b>14.5</b>	<b>\$1,223,719</b>
<b>Purchased Services</b>					
Clerical and Temporary Services		-	5,625	-	5,790
<b>Subtotal</b>		-	<b>\$5,625</b>	-	<b>\$5,790</b>
<b>Total Personnel</b>		<b>14.5</b>	<b>\$1,184,891</b>	<b>14.5</b>	<b>\$1,229,509</b>

# Personnel

## Rhode Island Commission For Human Rights Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Distribution By Source Of Funds</b>					
General Revenue		11.8	929,003	11.6	945,308
Federal Funds		2.7	255,888	2.9	284,201
<b>Total All Funds</b>		<b>14.5</b>	<b>\$1,184,891</b>	<b>14.5</b>	<b>\$1,229,509</b>

1 Reflects full annual value of turnover cost savings for a vacant 0.5 FTE position of Senior Compliance Officer (Gr. 0319A).

2 Includes turnover cost savings for the position of Investigator (Gr. 0314A) for six pay periods in FY 2012.

# Agency

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## Public Utilities Commission

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### Agency Mission

To provide fair regulation of public utilities, CATV, common carriers, and major energy facilities; ensure just and reasonable rates; ensure sufficient utility infrastructure to promote economic development; implement legislative mandates that facilitate renewable electric generation, improve water availability, deliver rapid communications and assure that Rhode Island is on the cutting edge of reliability and environmental quality regulation; and cooperate with other state and federal government agencies to coordinate efforts to meet the above objectives.

### Agency Description

The Public Utilities Commission (PUC) comprises two distinct regulatory bodies: a three member Commission (Commission) and the Division of Public Utilities and Carriers (Division). The Public Utilities Commission serves as a quasi-judicial tribunal with jurisdiction, powers, and duties to implement and enforce the standards of conduct under §39-1-27.6 and to hold investigations and hearings involving the rates, tariffs, tolls, and charges, and the sufficiency and reasonableness of facilities and accommodations of railroad, ferry boats, gas, electric distribution, water, telephone, telegraph, and pipeline public utilities, the location of railroad depots and stations, and the control of grade crossings, the revocation, suspension or alteration of certificates issued pursuant to §39-19-4, appeals under §39-1-30, petitions under §39-1-31, and proceedings under §39-1-32. Through participation in the Energy Facility Siting Board, the Commission's chair also exercises jurisdiction over the siting of major energy facilities, pursuant to Chapter 42-98.

The Division, which is headed by an Administrator, who is not a Commissioner, exercises the jurisdiction, supervision, powers and duties not specifically assigned to the Commission, including the execution of all laws relating to public utilities and carriers and all regulations and orders of the Commission governing the conduct and charges of public utilities. The Division has exclusive jurisdiction over the rates, tariffs, tolls and charges, and the sufficiency, and reasonableness of facilities and accommodations of common carriers of property and passengers over the State's public roadways, pursuant to Chapters 39-12, 39-13, and 39-14. Additionally, the Division supervises and regulates Community Antenna Television Systems (CATV) in Rhode Island; certifies all public utilities; and has independent regulatory authority over the transactions between public utilities and affiliates, and all public utility equity and debt issuances.

### Statutory History

The PUC and its predecessor agency, the Rhode Island Railroad Commission, have been regulating utilities in this state since 1839. The Railroad Commission was later abolished by an act of the legislature, leading to the creation of the more comprehensive Public Utility Commission in 1912. From 1981 to 1996, the duties of the Administrator of the Division and Chairperson of the Commission were combined in a single position. The Utility Restructuring Act of 1996 later divided these duties into two separate positions: Chairman of the Commission and Administrator, Division of Public Utilities and Carriers.

# Budget

## Public Utilities Commission

	FY 2010 Audited	FY 2011 Audited	FY 2012 Enacted	FY 2012 Revised	FY 2013 Recommend
<b>Expenditures By Program</b>					
Central Management	5,989,976	6,088,904	8,105,006	8,117,120	8,733,815
<b>Total Expenditures</b>	<b>\$5,989,976</b>	<b>\$6,088,904</b>	<b>\$8,105,006</b>	<b>\$8,117,120</b>	<b>\$8,733,815</b>
<b>Expenditures By Object</b>					
Personnel	5,369,382	5,443,519	7,148,290	7,111,636	7,271,981
Operating Supplies and Expenses	574,985	586,285	923,379	972,147	1,402,497
Assistance and Grants	336	224	337	337	337
<b>Subtotal: Operating Expenditures</b>	<b>5,944,703</b>	<b>6,030,028</b>	<b>8,072,006</b>	<b>8,084,120</b>	<b>8,674,815</b>
Capital Purchases and Equipment	45,273	58,876	33,000	33,000	59,000
<b>Total Expenditures</b>	<b>\$5,989,976</b>	<b>\$6,088,904</b>	<b>\$8,105,006</b>	<b>\$8,117,120</b>	<b>\$8,733,815</b>
<b>Expenditures By Funds</b>					
Federal Funds	105,096	266,641	309,373	321,487	349,167
Restricted Receipts	5,884,880	5,822,263	7,795,633	7,795,633	8,384,648
<b>Total Expenditures</b>	<b>\$5,989,976</b>	<b>\$6,088,904</b>	<b>\$8,105,006</b>	<b>\$8,117,120</b>	<b>\$8,733,815</b>
<b>FTE Authorization</b>	<b>45.5</b>	<b>46.0</b>	<b>46.0</b>	<b>46.0</b>	<b>47.0</b>
<b>Agency Measures</b>					
Minorities as a Percentage of the Workforce	11.6%	11.3%	13.1%	13.1%	13.1%
Females as a Percentage of the Workforce	39.5%	38.6%	39.2%	39.2%	39.2%
Persons with Disabilities as a Percentage of the Workforce	2.3%	2.2%	2.2%	2.2%	2.2%
Percentage of Motor Carriers Applications for which Formal Written Reports have been completed within Sixty Business Days of Filing	96.0%	94.0%	95.0%	95.0%	95.0%
Resolve all consumer inquiries related to cable service within five (5) days, but no longer than a thirty (30) day period.	100.0%	100.0%	100.0%	100.0%	100.0%
Percentage of Consumer Services Offered that Meet Completion Schedules	83.0%	84.0%	86.0%	86.0%	95.0%

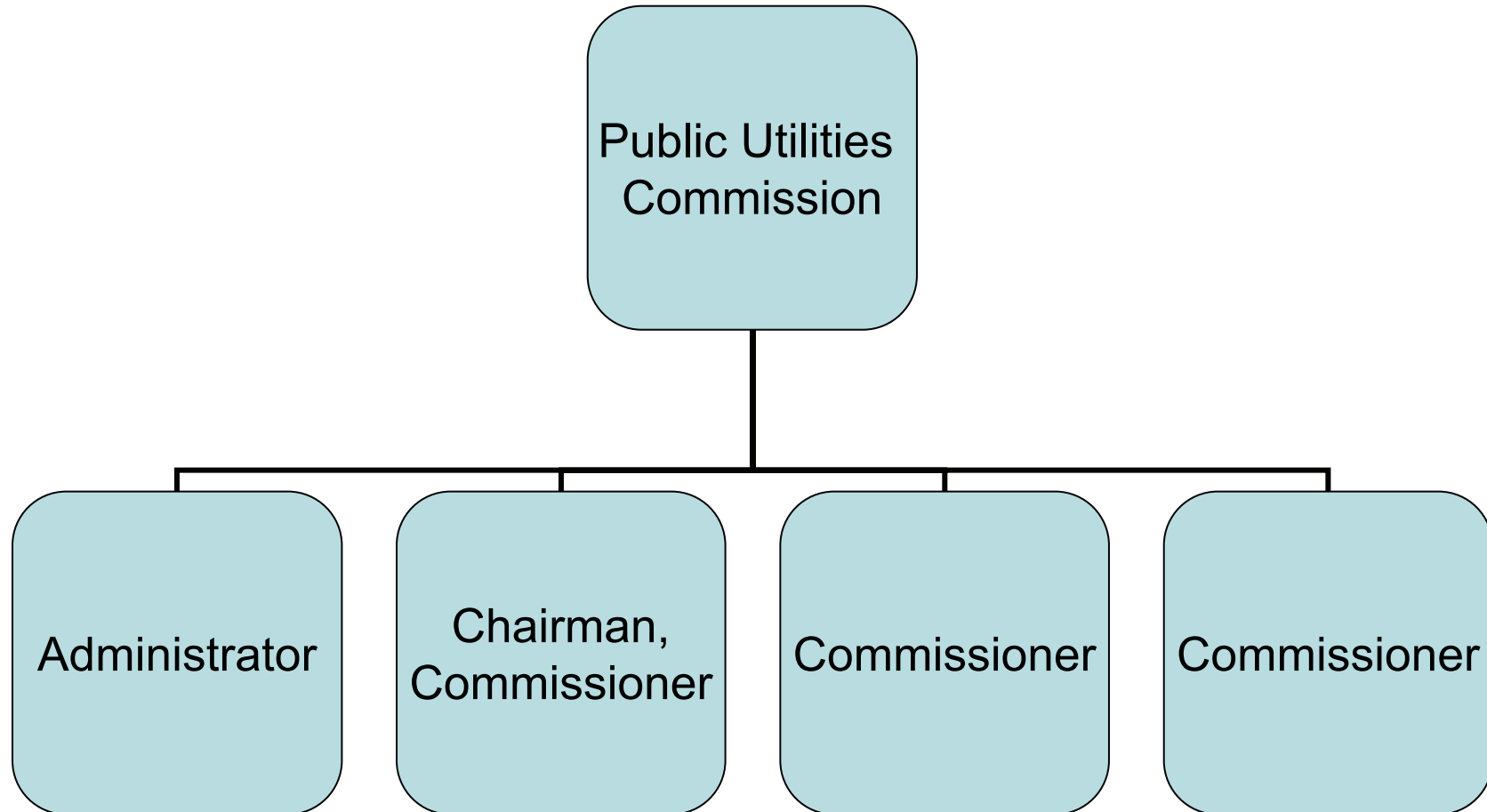


# The Agency

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## Public Utilities Commission

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# Personnel

## Public Utilities Commission

### Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Classified</b>					
Assistant Director for Legal Services	0141A	1.0	118,178	1.0	118,385
Chief Public Utilities Accountant	0140A	1.0	112,660	1.0	112,660
Chief of Legal Services - Commission	0139A	1.0	108,755	1.0	108,755
Associate Administrator, Operations	0136A	1.0	96,325	1.0	96,325
Chief Financial Analyst	0138A	1.0	95,321	1.0	95,321
Assistant to Chief Public Utilities Accountant	0034A	1.0	94,173	1.0	94,173
Assoc. Public Util. Admin - Cable TV (Leg)	0136A	1.0	90,795	1.0	90,795
Rate Analyst V	0033A	4.0	326,094	4.0	331,193
Public Utilities Admin. & Operations Officer	0138A	1.0	80,946	1.0	85,034
Assoc. Public Utilities Adm for Motor Carriers	0134A	1.0	80,391	1.0	80,391
Senior Legal Counsel	0134A	2.0	158,200	2.0	158,200
Investigative Auditor	0133A	1.0	75,602	1.0	78,133
Senior Reg. Cable TV Analyst	0029A	1.0	73,126	1.0	73,126
Public Utilities Engineering Specialist II	0028A	4.0	265,796	4.0	265,796
Public Utilities Analyst IV	0027A	1.0	66,026	1.0	66,026
Chief of Information and Public Relations	0129A	1.0	63,832	1.0	63,832
Principal Auditor	0028A	1.0	61,485	1.0	61,485
Chief Field Investigator	0024A	1.0	54,941	1.0	54,941
Chief Consumer Agent	0024A	1.0	52,496	1.0	54,115
Public Utilities Analyst II	0022A	1.0	50,855	1.0	50,855
Information Service Technician II	0020A	1.0	50,312	1.0	50,312
Compliance Inspector	0020A	2.0	89,617	2.0	90,528
Information Service Technician	0016A	2.0	83,170	2.0	86,015
Consumer Agent	0018A	3.0	123,786	4.0	163,966
Customer Service Specialist I	0015A	1.0	35,121	1.0	35,711
	<b>Subtotal</b>	<b>36.0</b>	<b>\$2,508,003</b>	<b>37.0</b>	<b>\$2,566,073</b>
<b>Unclassified</b>					
Administrator, Division of Public Util. & Car.	0847A	1.0	149,844	1.0	149,844
Chairman (PUC)	0842A	1.0	125,071	1.0	125,071
Commissioner (PUC)	0839A	2.0	220,522	2.0	220,522
Principle Policy Associate	0837A	1.0	92,586	1.0	92,586
Administrative Assistant	0129A	1.0	79,060	1.0	79,060
Staff Attorney II	0830A	1.0	70,506	1.0	73,832
Administrative Assistant	0822A	1.0	58,593	1.0	58,593
Special Project Coordinator	0827A	1.0	57,053	1.0	59,743
Administrative Assistant	0822A	1.0	49,113	1.0	50,885
	<b>Subtotal</b>	<b>10.0</b>	<b>\$902,348</b>	<b>10.0</b>	<b>\$910,136</b>
Overtime		-	26,000	-	26,000
Turnover		-	-	-	-
	<b>Subtotal</b>	<b>-</b>	<b>\$26,000</b>	<b>-</b>	<b>\$26,000</b>
	<b>Total Salaries</b>	<b>46.0</b>	<b>\$3,436,351</b>	<b>47.0</b>	<b>\$3,502,209</b>

(1)

# Personnel

## Public Utilities Commission

### Central Management

	Grade	FY 2012		FY 2013	
		FTE	Cost	FTE	Cost
<b>Benefits</b>					
Defined Contribution Plan		-	-	-	34,763
FICA		-	262,881	-	267,919
Medical		-	546,626	-	620,328
Payroll Accrual		-	-	-	21,468
Retiree Health		-	236,949	-	241,468
Retirement		-	783,699	-	736,227
<b>Subtotal</b>		-	<b>\$1,830,155</b>	-	<b>\$1,922,173</b>
<b>Total Salaries and Benefits</b>		<b>46.0</b>	<b>\$5,266,506</b>	<b>47.0</b>	<b>\$5,424,382</b>
Cost Per FTE Position			\$114,489		\$115,412
Statewide Benefit Assessment		-	127,887	-	130,356
<b>Subtotal</b>		-	<b>\$127,887</b>	-	<b>\$130,356</b>
<b>Payroll Costs</b>		<b>46.0</b>	<b>\$5,394,393</b>	<b>47.0</b>	<b>\$5,554,738</b>
<b>Purchased Services</b>					
Building and Grounds Maintenance		-	30,683	-	30,683
Clerical and Temporary Services		-	100,000	-	100,000
Design and Engineering Services		-	1,000	-	1,000
Information Technology		-	100,000	-	100,000
Legal Services		-	507,000	-	507,000
Management and Consultant Services		-	965,847	-	965,847
Other Contract Services		-	9,713	-	9,713
Training and Educational Services		-	3,000	-	3,000
<b>Subtotal</b>		-	<b>\$1,717,243</b>	-	<b>\$1,717,243</b>
<b>Total Personnel</b>		<b>46.0</b>	<b>\$7,111,636</b>	<b>47.0</b>	<b>\$7,271,981</b>
<b>Distribution By Source Of Funds</b>					
Federal Funds		2.9	294,712	2.9	305,910
Restricted Receipts		43.1	6,816,924	44.1	6,966,071
<b>Total All Funds</b>		<b>46.0</b>	<b>\$7,111,636</b>	<b>47.0</b>	<b>\$7,271,981</b>

<sup>1</sup> Reflects the addition of one FTE position [Consumer Agent (Gr. 0018A)] in the Consumer Unit section to alleviate unit's workload.

# Agency

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## Rhode Island Commission On Women

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### Agency Mission

To advise and submit recommendations to the Governor and the General Assembly on issues relating to women and girls;

To gather and disseminate information to women and girls and/or the general public on issues relating to women and girls and to develop and/or support programs or services for women and girls consistent with the purpose of the Commission;

To collaborate with concerned organizations, groups and State departments and agencies on issues of common concern;

To educate and encourage women to exercise the right to vote. To encourage candidacy for public office and promote the appointment of qualified women to boards, commissions and governmental positions at all levels;

To advise legislators by evaluating, monitoring and proposing Federal and State legislation promoting equity for women and girls.

### Agency Description

The Rhode Island Commission on Women is a State agency established by the General Assembly to improve opportunities for women and girls to achieve equity in all areas of life. The Commission studies and makes recommendations for improvements, including legislative, regulatory, and administrative actions and issues related to equal rights for women. In carrying out its responsibilities, the Commission works in cooperation with other governmental and private organizations to promote equity in areas including, but not limited to, the following: education, health, economic development, employment, legal rights, political participation and the quality of individual and family.

The Commission consists of 26 members, including 3 each from the House and Senate, 12 public members appointed by the Governor, and 8 members appointed by the State agency directors. State agency participation may vary from year to year, depending on identification of priorities by the Commissioners. The Commission carries out its responsibilities through standing and ad hoc committees, the membership of which consists of appointed Commissioners and numerous volunteers dedicated to the rights of women and girls. The State no longer provided financing for this agency as of March of 2010.

### Statutory History

In 1970 the General Assembly established a nonpartisan organization designated the Permanent Advisory Commission on Women in Rhode Island. After 22 years of status as an advisory commission, in 1992 the General Assembly amended the General Laws of Rhode Island (Title 42, Chapter 119) to restructure the membership of the Commission and to change its status from an advisory body to an agency of Rhode Island Government charged with policy and action responsibilities.

# The Budget

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## Rhode Island Commission On Women Central Management

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	2010 Audited	2011 Audited	2012 Enacted	2012 Revised	2013 Recommend
<b>Expenditures By Subprogram</b>					
Operations	71,068	-	-	-	-
<b>Total Expenditures</b>	<b>\$71,068</b>	-	-	-	-
<b>Expenditures By Object</b>					
Personnel	71,190	-	-	-	-
Operating Supplies and Expenses	(122)	-	-	-	-
<b>Subtotal: Operating Expenditures</b>	<b>71,068</b>	-	-	-	-
<b>Total Expenditures</b>	<b>\$71,068</b>	-	-	-	-
<b>Expenditures By Funds</b>					
General Revenue	71,068	-	-	-	-
<b>Total Expenditures</b>	<b>\$71,068</b>	-	-	-	-

# **Capital Budget General Government**



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# Department of Administration

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## Governor's Recommendations

### Facilities Maintenance

USAR Rubble Pile – The Governor recommends \$450,000 in FY 2012 for the construction of a rubble pile for the USAR. In July of 2012, the RI National Guard (RING) and RI Emergency Management Agency (RIEMA) will be conducting a FEMA Region 1 Joint disaster exercise in RI. Participants from all of FEMA Region 1 will be participating in this exercise supported and funded by US Northern Command (NORTHCOM), called Vigilant Guard. The exercise will be a simulated Category 3 Hurricane (Hurricane of 1938), which will lead into a Chemical Spill (Simulated) at a collapsed structure. The training venue will be a planned and carefully designed structure which simulates an actual building design, but collapsed to give civil and military responders a realistic environment to conduct an array of Search and Rescue / Extraction Operations.

Additional site costs for the training exercise will be for safety personnel and Role Players (simulating injured civilians and individuals searching for missing family members), approximately \$200,000, to be funded by the State of Rhode Island. In total NGB will be constructing a Civil Support Training Site in RI at the cost of approximately \$450,000. On the last day of the exercise, ownership of this site will be signed over from the federal government to the RING, and RING will sign over ownership to the State Fire Training Academy. The State of RI agrees to allow RING to utilize the USAR structure for training through appropriate and established scheduling and safety criteria.

The structure will be contracted and paid for by NGB to a contractor experienced in building the USAR Training Sites. The contractor will meet with members of RING to establish criteria required for the structure. Some of the criteria are generally lifting and hauling, shoring, confined space, roping, breaching and breaking, and vertical rescue operations. The contractor will acquire all material for the structure from within the community through local businesses. Material will consist of Cement tubes for passageways, Metal Containers for multiple levels, and reinforced concrete slabs for breaching and breaking. The contractor will employ local civilians as Role Players to simulate the injured and searching family members.

After the Federal Government (NGB) funds and constructs the state of the art, civil support, First Responder Training Site for the Vigilant Guard Exercise in the summer of 2012, ownership of the site will be signed over to the State of RI for continued use and training to ensure our civilian and military emergency response teams can maintain the highest level of preparedness in the event of a real disaster.

The Governor recommends a total of \$200,000 in Rhode Island Capital Plan funds in FY 2012 for the construction of the rubble pile, which the National Guard Bureau has committed to match in FY 2012 with approximately \$250,000.

State House Renovations – The Governor recommends \$17.8 million from the Rhode Island Capital Plan Fund for the continuing renovations and rehabilitation of the Rhode Island State House. One of the primary objectives of this project is the replacement of the existing heating system as well as the installation of centralized air-conditioning. The heating system is over 100 years old and is antiquated. Heating pipes located inside the walls have begun to rot and corrode. These leaking pipes are damaging the plaster walls and ceilings, requiring extensive repairs. The heat is uneven throughout the building and very difficult to control. The HVAC system has been designed and cost estimates are being obtained. The fire alarm system has been upgraded. The windows have been refurbished and the main entrance doors' swing reversed on the south side. By the end of FY 2012, the West Plaza is expected to be re-pointed, the entrance doors restored, and the sprinkler and basement upgraded, to fulfill fire code requirements. Improvement to the parking lots is expected to be completed by the end of FY 2013. Expenditures planned and recommended by the



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## Department of Administration

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Governor include \$2.2 million in FY 2012, \$3.0 million in FY 2013, \$4.5 million annually in FY 2014 and FY 2015 and \$500,000 each year in FY 2016 and FY 2017. Expenditures prior to FY 2012 total \$2.7 million.

Pastore Center / Zambarano Energy Conservation (ESCO2) – The Governor recommends \$53.1 million from Certificates of Participation for the performance contracting program for the Pastore Center complex and Zambarano site. This project requires an outside vendor to: 1) conduct energy audits on the buildings at the Pastore Center and at Zambarano; 2) make recommendations to decrease energy use; and 3) implement these changes to save energy and operating funds in the future. These changes will include boiler and chiller replacements; lighting upgrades with controls; energy management system improvements; building envelope; and water conservation initiatives. The savings in operating costs, derived from the use of less energy, will be applied to debt service costs each year for the life of the project. Currently, Zambarano's audits have been completed and work has begun; Pastore Center is currently undergoing the audits. The project is expected to be completed in FY 2014. Planned expenditures recommended by the Governor are \$11.5 million in FY 2012, \$22.9 million in FY 2013 and \$13.9 million in FY 2013. This also includes pre-FY 2012 expenditures of \$4.8 million.

Pastore Center Rehabilitation, DOA Portion – The Governor recommends \$6.7 million from the Rhode Island Capital Plan Fund for the rehabilitation of seven buildings under the Department's jurisdiction as well as the sewer system, maintenance shop, and open space at the Pastore Center. For the Rush and Pastore buildings, re-pointing and gutter repairs are expected to go out to bid in the current year (FY 2012) to correct for water seepage in the walls. A requisition has been submitted for the purchase of five sets of double doors for the Harrington building and architectural and engineering (A&E) work has been solicited for window replacement in the Rush building. For the sewer system, A&E is ongoing and an A&E has also been solicited for the new maintenance shop. Planned expenditures recommended by the Governor include \$1.0 million in FY 2012, \$1.6 million each year in FY 2013 and FY 2014 and \$500,000 each year in FY 2015, FY 2016 and FY 2017. Aggregate expired costs through June 30, 2011 of \$968,251 are also recommended.

Pastore Power Plant Rehabilitation – The Governor recommends \$32.6 million; including \$30.0 million in Certificates of Participation and \$2.7 million from the Rhode Island Capital Plan Fund, for the Pastore Center Power Plant Rehabilitation project. The Pastore Center has a Central Power Plant with the capability to co-generate electricity. The procurement and installation of the pair of "Blackstart" generators is expected to be completed by the end of FY 2012 or by June 30, 2012. As of November 10, 2011, the designs were completed and ready to go out to bid; the department represents that once the bid process is complete, installation would commence. By fiscal years, expenditures recommended by the Governor include \$845,825 in FY 2012 and Pre-FY 2012 expired costs of \$31.8 million.

Pastore Center Utilities Upgrade – The Governor recommends \$8.3 million from the Rhode Island Capital Plan Fund for upgrades to the utility infrastructure at the Pastore Center. This project includes repairs and improvements to steam and electric distribution systems at the Pastore Center. The repair or replacement of steam lines is economically justified because it reduces the energy lost through steam leaks and conduction where there is no insulation. The existing system cannot support the new Rhode Island Training School, the Re-Integration Center of the Department of Corrections, and other future construction projects. This project will also reduce the risk of electrical blackouts to critical state operations. In recent years, three electrical fires in the underground distribution system have disrupted service to major parts of the campus for an aggregate of eleven days. During these outages, the prison, the hospital and the training school were dependent on their emergency generators. Expenditures planned and recommended by the Governor include \$1.3 million in FY 2012 and \$2.0 million each year in FY 2013 and FY 2014. Expenditures prior to FY 2012 total 2.9 million.

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## Department of Administration

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Pastore Center Water Utility System – The Governor recommends \$2.5 million from the Rhode Island Capital Plan Fund to enhance the water supply and distribution system of the underground water supply pipe network at the Pastore Center. Cleaning and replacement of certain selected lines is expected to commence in FY 2012. The Governor recommends, by fiscal years, the following expenditures: \$500,000 in FY 2012 - FY 2013; \$300,000 in FY 2014; and \$150,000 in FY 2015. Pre-FY 2012 expenditures total \$1.1 million.

Pastore Center Fire Code Compliance – The Governor recommends \$7.45 million from the Rhode Island Capital Plan Fund for fire code compliance upgrades at the Pastore Center. The upgrades include the installation and / or upgrade of fire alarms and sprinkler systems to be in compliance with the State's Fire / Life Safety Code, which went into effect in February 2004. As the State Fire Marshal identifies deficiencies at the complex, engineering and construction will be implemented to remedy the problems. The Governor recommends expenditures of \$1.1 million in FY 2012, \$1.1 million each in FY2013 and FY 2014, \$1.3 million in FY 2015, and \$500,000 annually in FY 2016 and FY 2017. Expenditures incurred through June 30, 2011 of \$1.8 million are also recommended.

Fire Code Compliance, State Buildings – The Governor recommends \$4.0 million from the Rhode Island Capital Plan Fund for fire code compliance improvements at state buildings. This project provides for the installation of new and the upgrade of existing fire alarms and sprinkler systems for any state-owned building in order to comply with the State's Fire/Life Safety Codes. Planned expenditures recommended by the Governor include \$650,000 in FY 2012, \$250,000 in FY 2013 and \$500,000 each year in FY 2014 through FY 2017. Pre- FY 2012 expenditures total \$1.1 million.

Cannon Building – The Governor recommends a total of \$3.2 million from the Rhode Island Capital Plan Fund for the Cannon Building, where the Department of Health is located. This building was built in 1967. Normal wear and tear, increased electrical demand with the advent of computers and other office equipment, and improvements in HVAC and controls technology require significant renovations to this facility. Ongoing work includes repairs and replacement of sections of the roof and roof overhang and replacement of the building's fire alarm system. Planned expenditures recommended by the Governor include \$1.2 million in FY 2012, \$220,000 in FY 2013 and \$150,000 each year in FY 2014 through FY 2017. Pre-FY 2012 expenditures total \$1.2 million.

Chapin Health Laboratory – The Governor recommends \$3.6 million from the Rhode Island Capital Plan Fund for infrastructure updates at the Chapin Health Laboratory, including a retrofit to the laboratory exhaust system, new ventilation for the decomposition room, new boiler system and an upgrade to the HVAC system. Planned expenditures recommended by the Governor include \$500,000 in FY 2012 and \$1.5 million annually in FY 2013 and FY 2014. Prior to FY 2012, expenditures total \$100,000.

Cranston Street Armory – The Governor recommends \$15.8 million from the Rhode Island Capital Plan Fund for ongoing rehabilitation of the Cranston Street Armory. The Military Staff vacated this early 1900s era building during the fall of 1996 and transferred ownership to the Department of Administration. The State, in cooperation with the City of Providence, the Providence Preservation Society and the Elmwood Neighborhood Association, sought proposals for the future development of this property. Although many ideas have been generated for how to best reuse this historic facility, no final determination has been made on its future use. Currently, the State Fire Marshal occupies some office space in the building and there has been some discussion about moving other agencies into the building once the building is renovated. The Governor recommends expenditures of \$620,863 in FY 2012; \$800,000 in FY 2013; \$2.0 million each year in FY 2014 and FY 2015; and \$1.5 million annually in FY 2016 and FY 2017. Expenditures incurred through June 30, 2011 of \$7.3 million are also recommended.

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Old Colony House (Newport) – The Governor recommends \$1.7 million from the Rhode Island Capital Plan Fund for the Old Colony House in Newport. This structure, which served as one of the first statehouses in Rhode Island and is home to a Gilbert Stuart painting of George Washington, requires significant repairs and renovations to preserve the historic nature of the building. Included in this project are various renovations to meet fire code requirements, upgrades to the electrical systems to safely support increasing electrical loads, air conditioning of the Council Chamber to help preserve the Gilbert Stuart painting, interior painting, replacement / refurbishment of doors and windows, and masonry repairs. The Governor recommends \$505,277 in FY 2012, \$300,000 in FY 2013, \$100,000 in FY 2014, and pre-FY 2012 expenditures of \$750,297.

State Office Building – The Governor recommends \$13.0 million from the Rhode Island Capital Plan Fund for the State Office Building. This building houses the Department of Transportation and is in need of extensive rehabilitation. Completed projects include the re-pointing and sealing of the exterior walls, primary electrical system upgrades, window and skylight replacements, and roof replacement. The work plan, covering FY 2012 and FY 2013, requires renovation to the bathrooms and repairs of the ceilings. By fiscal years, planned expenditures recommended by the Governor include \$1.2 million in FY 2012, \$1.2 million in FY 2013, \$1.3 million in FY 2014, \$2.5 million in FY 2015 and \$4.2 million in FY 2016. Pre-FY 2012 expenditures total \$2.6 million.

Zambarano Utilities and Infrastructure – The Governor recommends \$8.5 million from the Rhode Island Capital Plan Fund for capital repairs to various buildings and equipment at the Zambarano campus in Burrillville. The effort spans multiple years and fulfills the state's responsibility to furnish domestic water, waste water disposal, and heat and electricity to the institutional patients on campus. The Zambarano campus is comprised of 34 buildings totaling 311,000 square feet on 460 acres of land. The Governor recommends expenditures of \$1.1 million in FY 2012, \$1.2 million in FY 2013, \$1.8 million in FY 2014, \$1.6 million in FY 2015, \$590,000 in FY 2016 and \$500,000 in FY 2017. Pre-FY 2012 expenditures total \$1.8 million.

William Powers Building – The Governor recommends \$6.2 million from the Rhode Island Capital Plan Fund for the William Powers building, which is where the Department of Administration is located. The building opened in 1990 and is in need of general renovations due to normal wear and tear. The project includes replacing sidewalks, eliminating window leaks, replacing the roof, upgrading the parking garage, and becoming compliant with ADA access parking requirement for the southwest corner parking lot. By fiscal years, planned expenditures recommended by the Governor includes \$857,348 in FY 2012, \$700,000 in FY 2013, \$600,000 in FY 2014, \$500,000 in FY 2015 and \$300,000 each in FY 2016 and FY 2017. Prior to FY 2012, \$3.0 million in costs were incurred for this project.

Old State House – The Governor recommends \$1.6 million from the Rhode Island Capital Plan Fund for the Old State House located on Benefit Street in Providence for various renovations and improvements, including the replacements of the boiler, heating system and roof. For FY 2012, the work plan includes improvements/renovations to the bell tower, roof balustrade, exterior entrances and restoration of the second floor. By fiscal years, the Governor recommends \$500,000 each year in FY 2012 and FY 2013, and \$400,000 in FY 2014. Pre-FY 2012 expenditures total \$197,187.

Station Park – The Governor recommends \$1.1 million in project expenditures for the Station Park, including \$400,000 from the Rhode Island Capital Plan Fund and \$750,000 from Federal Funds. Adjacent to the State House south lawn area, it is the only significant open space in downtown Providence, generating a high demand for company outings, concerts, rallies, gatherings, fundraising events, and every day recreation. It has been used in conjunction with the State House lawn for major public events including the

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## Department of Administration

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Olympic Torch ceremony. The objective of this project is to design and preserve this area as an urban park, much like Central Park in New York City. The project will include the construction of a perimeter fence, planting of trees and other landscaping, installation of lighting, an irrigation system, water taps, outdoor benches, and pathways. By fiscal years, the Governor recommends expenditures of \$700,000 in FY 2013 and \$450,000 in FY 2014.

Environmental Compliance – The Governor recommends \$3.6 million from the Rhode Island Capital Plan Fund for on-going monitoring and remediation of contaminated soil and groundwater due to underground storage tank leaks and hazardous wastes for five sites, in order to bring the state into compliance with both state and federal rules and regulations, relative to environmental compliance. By fiscal years, the Governor recommends expenditures of \$300,000 in FY 2012 and \$200,000 each year in FY 2013 through FY 2017. Costs incurred prior to FY 2012 total \$2.3 million.

Replacement of Fueling Tanks – The Governor recommends \$2.8 million from the Rhode Island Capital Plan Fund for the replacement of fuel tanks around the State. The State of Rhode Island owns and operates 18 fueling stations for state vehicles, four of which have been already replaced. The replacement of fueling tanks, located in East Providence and Smithfield, is expected to be completed in FY 2012. For FY 2013, replacements for Belleville in North Kingston and Cherry Hill in Lincoln are slated to be completed as well, leaving an estimated ten other replacements to be completed in the out years of FY 2014 through FY 2017. By fiscal years, this recommended funding level includes \$495,799 in FY 2012 and \$300,000 each year in FY 2013 through FY 2017. Pre-FY 2012 expenditures total \$834,660.

McCoy Stadium – The Governor recommends \$3.3 million from the Rhode Island Capital Plan Fund for the McCoy Stadium Project. In 1998 and 1999, the State of Rhode Island financed and managed a construction project to upgrade McCoy Stadium in Pawtucket, the home of the Pawtucket Red Sox, a Triple-A baseball franchise. The State's share of this project was \$14.5 million; however, it did not address all the structural issues with the facility. Roof replacement, the repair to concrete columns, and the replacement of some structural steel was completed. Additional work required is to achieve physical infrastructure standards established by Major League Baseball, including handicapped accessibility and improved seating and parking. The Governor recommends \$1.1 million in FY 2012. Expenditures prior to FY 2012 total \$2.2 million.

Pastore Cottages Rehabilitation – The Governor recommends \$600,000 to renovate two cottages at the Pastore Center for the purpose of bringing into compliance with the building and fire codes. The estimated living space for each building is 1,750 square feet. Upon completion, they would be converted into office space use. By fiscal years, the Governor recommends expenditures of \$100,000 each year in FY 2013 and FY 2014 and \$200,000 annually in FY 2015 and FY 2016.

Zambarano Wood Chip Boiler – The Governor recommends \$750,000 in RICAP funds for the costs of purchasing and placing into use a wood chip boiler at the Zambarano campus in FY 2012.

### Capital Projects

Pastore Center Building Demolition – The Governor recommends \$8.5 million from the Rhode Island Capital Plan Fund for the demolition of several buildings at the Pastore Center. These funds will be used for the complete removal of Building A (Bldg.65) and Building D (Bldg. 77). The grounds would then be landscaped with additional parking provided. The A Building was constructed in 1912 and has been vacant since 1985; the D Building has been vacant for approximately 15-20 years. There is serious long-term water damage to the wood floors and the structural framing has completely disintegrated in some areas. The steel columns in the basement are heavily corroded and compromised. By fiscal years, the

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## Department of Administration

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Governor recommends expenditures of \$1.5 million in FY 2012, \$2.5 million each year in FY 2013 and FY 2014, \$1.5 million in FY 2015 and \$500,000 in FY 2016. A total of \$5,962 was spent on this project prior to FY 2012.

Pastore Center Parking – The Governor recommends \$1.2 million from the Rhode Island Capital Plan Fund to improve parking for staff, clients, customers, and visitors to the Pastore Center, which now hosts the DMV, the RI Training School for Youth and hospital centralization. Parceled out in two phases, phase one, which covers the study for an optimal utilization of the available space for parking, is expected to be completed in FY 2012 with plan study implementation or phase two slated for FY 2013. The Governor recommends \$225,000 in FY 2012 and \$1.0 million in FY 2013.

Building Stabilization Project – The Governor recommends \$2.5 million from the Rhode Island Capital Plan Fund to renovate Building #79, a historically significant structure, on Howard Avenue at the east end of the Pastore Center. Facility improvement/renovation includes exterior repairs and masonry stabilization as well as roof replacement and mitigation of hazardous materials from soil contamination. By fiscal years, the Governor's recommendations include \$300,000 in FY 2012 and \$2.2 million in FY 2013.

Renovate Building #81 (Old Eastman House) – The Governor recommends \$450,000 from the Rhode Island Capital Plan Fund to renovate the 5,938 square foot Building #81, the Old Eastman House, at the Pastore Center and have it converted to office space use. The Governor recommends \$150,000 in FY 2013 and \$300,000 in FY 2014.

DOIT Enterprise Operations Center – The Governor recommends \$10.5 million, including \$9.5 million from the Rhode Island Capital Plan Fund, \$429,263 in restricted receipts, \$143,730 in private funds, \$13,158 in other funds, and \$345,009 in general revenue. This level of recommended expenditures includes \$2.0 million in FY 2012 and \$8.5 million in pre-FY 2012 expenditures. This project, which relocates the state's computer center from Johnston to Warwick, Rhode Island, is expected to be completed in FY 2012 with a new state-of-the-art computing infrastructure.

Veterans' Memorial Auditorium and Office Building – The Governor recommends \$14.8 million from the Rhode Island Capital Plan Fund for renovation and improvement, including the constructions of a glass-enclosed addition to the side of the building that overlooks Interstate 95, a new loading dock, a walkway that would connect the rear of the auditorium to the lobby, and extra restrooms. Lighting, sound and backstage dressing room enhancements are expected to be completed in FY 2012; additions to the building are expected to be completed in FY 2013. This recommended level of funding includes \$3.6 million in FY 2012, \$4.0 million in FY 2013, \$3.9 million in FY 2014 and \$2.1 million in FY 2015. Expenditures prior to FY 2012 total \$1.3 million.

Washington County Government Center – The Governor recommends \$4.4 million from the Rhode Island Capital Plan Fund for roof replacement, masonry repairs, parking lot resurfacing, and interior renovations to the Washington County Government Center in Wakefield. The project will allow some state agencies, i.e. some offices of DCYF, to relocate to the center from leased space. The Governor recommends \$1.8 million in FY 2012, \$500,000 in FY 2013, \$450,000 in FY 2014, and \$350,000 each year in FY 2015, FY 2016 and FY 2017. Pre-FY 2012 expenditures total \$572,776

Ladd Center Building Demolition – The Governor recommends \$5.0 million from the Rhode Island Capital Plan Fund for building demolition at the Ladd Center. This project will remove nine buildings at the Ladd School Property in Exeter. These buildings have been vacant for many years and are considered unsound and irreparable. The buildings pose serious safety issues to the public as well as first response

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## Department of Administration

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personnel should an emergency occur. Planned expenditures recommended by the Governor include \$1.0 million in FY 2014 and \$2.0 million annually in FY 2015 and FY 2016. Because this is a new project recommended for financing in the former and current FY 2013 – FY 2017 CIP, there have been no expenditures prior to FY 2012 for this project.

Board of Elections, New Location – The Governor recommends \$6.2 million from the Rhode Island Capital Plan Fund to purchase and/or renovate a facility for the Board of Elections. The current location of the Board of Elections, on Branch Avenue, is in need of major repairs: 1) to upgrade the HVAC, mechanical, and electrical systems; and 2) repair the building’s envelope; and to address security concerns. Based on the extensive work required and the limitations of the current facility, the plan is to either purchase a new building or renovate an existing state-owned facility, most likely the Pastore Center. The Governor recommends expenditures of \$100,000 in FY 2012, \$4.4 million in FY 2013 and \$1.7 million in FY 2014.

Interdepartmental Weapons Range – The Governor recommends \$150,000 from the Rhode Island Capital Plan Fund for a feasibility study on the construction of an interdepartmental weapons range. Such a firing range would benefit several public safety agencies, including the Department of Corrections, the State Police, the Capitol Police and the Sheriff’s Division. The Governor recommends the \$150,000 in FY 2012 for the project.

RIFAN Implementation – The Governor recommends total project expenditures of \$11.5 million from Certificates of Participation to implement additional modules of the Rhode Island Financial and Accounting System (RIFANS), for a single integrated system, supported by one technology source (Oracle). These additional modules include: a) Planning and Budgeting, b) Human Resources/Payroll, c) Projects and Grants, d) Cash Management and Receivables, and e) Asset Management. By fiscal years, this level of recommended expenditures includes \$5.0 million in FY 2013, \$3.5 million in FY 2014, \$2.0 million in FY 2015 and \$1.0 million in FY 2016.

Big River Management Area - The Governor recommends total project expenditures of \$1.9 million from the Rhode Island Capital Plan Fund for on-going administration of real estate in the perimeter of the Big River Management Area pursuant to state statute (RIGL 46-15.1-19.1). Covering 8,400 acres, it contains 27 single-family occupied, rented dwellings, three commercial buildings, a 79-pad mobile home court and a nine-hole golf course, seven miles of public roads, and three bridges. By fiscal years, the Governor’s recommendations include expenditures of \$262,252 in FY 2012; \$120,000 each in FY 2013, FY 2014, FY 2015, and FY 2016; and \$119,960 in FY 2017. Pre-FY 2012 expenditures total \$1.0 million.

Big River Groundwater Development – The Governor recommends total project expenditures of \$517,994 from the Rhode Island Capital Plan Fund for the development of a series of groundwater wells to establish a new public water supply for central Rhode Island pursuant to state statutory mandate as provided for in RIGL 46-15.1-19.1. Covering 8,400 acres, it contains 27 single-family occupied, rented dwellings, three commercial buildings, a 79-pad mobile home court and a nine-hole golf course, seven miles of public roads, and three bridges. The Governor recommends \$186,372 in FY 2012, with pre-FY 2012 expenditures of \$331,622.

Bristol County Water Treatment Facility – The Governor recommends \$15.6 million, consisting of \$10.6 million in general obligation bond issued proceeds from Chapter 289 of the Public Laws of 1986; \$2.5 million in general obligation bond issued proceeds from Chapter 595 of the Public Laws of 2004; and \$2.5 million from general obligation unissued proceeds from Chapter 595 of the Public Laws of 2004. This project involves the rehabilitation and reconstruction of the existing Bristol County Water Authority (BCWA) supply and treatment facilities in accordance with R.I.G.L. 46-15.5. This includes the Shad Factory Pipeline construction, repairs to the Authority’s three Massachusetts reservoirs, an upgrade to the

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## Department of Administration

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Child Street treatment facility to meet federal Safe Drinking Water Act requirements that go into effect by 2012, the East Bay Pipeline (completed), and the East Providence Emergency interconnect. By fiscal years this level of funding recommended by the Governor includes \$3.7 million in FY 2012, \$1.5 million in FY 2013, and \$1.0 million in FY 2014. Pre-FY 2012 expenditures total \$9.4 million.

South County Groundwater Site Acquisition Program - The Governor recommends total project expenditures of \$9.3 million to primarily protect groundwater resources in the southern part of Rhode Island for future use. This level of expenditures is to be financed by general obligation bond issued and unissued proceeds, consisting of the following: 1.) \$1.3 million in issued proceeds from Chapter 55 of the 2000 Public Laws; 2) \$4.7 million in issued proceeds from Chapter 595 of the 2004 Public Laws; and \$3.3 million in unissued proceeds from Chapter 595 of the 2004 Public Laws.

The project objectives are: 1.) to encourage the management of groundwater resources in a manner that will minimize stream flow depletion during summer months and drought periods; 2.) to investigate pump centers located on private property and identify which of these high capacity well sites could be re-developed and re-tested; 3.) to protect potential well sites by purchasing development rights in the well head area; and, 4) to establish safe yields of five reservoirs located in the Pawcatuck River Basin in southern Rhode Island in order to provide adequate water for new and existing development in that area.

By fiscal years, this level of funding consists of \$3.9 million in FY 2012, \$1.6 million in FY 2013, and \$1.7 million in FY 2014. Pre-FY 2012 expenditures total \$2.1 million.

Statewide Emergency Water Interconnections - The Governor recommends total project expenditures of \$15.0 million to establish emergency interconnections between the state's thirty large water systems, and others, where appropriate, dependent on ease of redundancy, quality and quantity of water, and benefits to health and safety of one or both systems. This level of expenditures, as recommended by the Governor, is supported by general obligation bond issued and unissued proceeds, consisting of \$10.0 million in issued proceeds, chapter 417 of the 1987 Public Laws; \$3.0 million in issued proceeds, chapter 595 of the Public Laws of 2004; and \$2.0 million in unissued proceeds from Chapter 595 of the 2004 Public Laws. By fiscal years, this level of recommended funding includes \$2.4 million in FY 2012 and \$2.0 million in FY 2013. Pre-FY 2012 expenditures total \$10.6 million.

Water Allocation Project - The Governor recommends total project expenditures of \$9.8 million, including federal funds of \$1.6 million, RICAP funds of \$1.6 million, and restricted receipts of \$1.6 million. This project consists of various data sets, which will be used to inform the best use of the state's potable water, based on availability of surface and ground water resources, in combination with current and planned usage demands. The data points/sets include: 1) Big River Ecology; 2) Big River Stream Monitoring; 3) Sustainable Yield Estimator; 4) Decision Support System for Chipuxet; 5) Decision Support System for Wood-Pawcatuck; 6) Water Supply Reporting; 7) Pawtuxet Model; 8) Model Scenarios; 9) Perennial/Intermittent Streams Mapping/Modeling; 10) Water Resource Inventory Update; and 11) South Coastal Model.

By fiscal years, this recommended funding level includes \$103,097 in FY 2012, \$140,000 in FY 2013, \$550,000 in FY 2014, \$795,000 in FY 2015, \$559,500 in FY 2016 and \$235,000 in FY 2017. Expenditures prior to FY 2012 total \$7.7 million.

### Affordable Housing

Affordable Housing Project – The Governor recommends \$25.0 million in a new bond referendum to the people and State of Rhode Island to continue to address the critical shortage of affordable housing in order

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## **Department of Administration**

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to enhance the lives of the residents of the State of Rhode Island, including families who have been homeless; military service veterans who have served their state and country; the elderly; persons with disabilities; and the low to moderate income workforce. This new bond authorization request would augment the 2006 authorization of \$50.0 million for the same purpose.

### Information Technology Investment Fund

Information Technology Projects – For the purposes specified for the Information Technology Fund, the Governor recommends expenditures from this Fund not to exceed the following: \$1.0 million in FY 2012, \$6.6 million in FY 2013 and \$2.0 million annual in FY 2014 through FY 2017. Some of the projects requested for financing include \$4.0 million for Vital Records Information System (Department of Health), \$1.5 million for Integrated Licensing System (Department of Environmental Management), \$500,000 for Electronic Document Management (Department of Environmental Management), \$1.1 million for Criminal Case Records Management System (Office of the Attorney General), \$12.0 million for Hospital Management Information System (Behavioral, Healthcare, Developmental Disabilities and Hospitals), \$57,994 for Network Hardware and Software Upgrades (Office of the Public Defender), \$800,000 for Network Infrastructure (Department of Corrections), and \$2.0 million for Tax Data Warehouse Phase 2 (Department of Revenue).



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# Department of Business Regulation

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## Governor's Recommendations

Break- Room Conversion to Conference Room - The Governor recommends expenditures of \$16,545 in FY 2013 to renovate an existing break-room. Because of the Department's various hearing responsibilities included in its administrative and enforcement processes, the space will be best served as a formal conference room suitable for public gathering instead of informal space for employee usage.

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## Department of Labor and Training

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### Governor's Recommendations

Center General Complex Slate Roof Replacement - The Governor recommends expenditures of \$1.6 million in FY 2012 to replace the slate roofs on three of the six Center General Complex buildings, including the roofs on buildings 68, 69, and 71. When the facility was rehabilitated during the late 1990s, the only slate roof that was completely replaced was on building 72. For buildings 68, 69, and 71, the slate roofs were redone using existing material. Due to water leaking into the buildings and deteriorating slate falling off buildings, the Governor recommends replacing the roofs on these buildings with new slate material. The \$1.6 million includes: \$264,661 from Temporary Disability Insurance funds; \$248,328 from restricted receipts; \$770,000 from the Rhode Island Capital Plan Fund; and \$356,103 from federal funds. Prior expenditures total \$26,631, bringing the total project cost to \$1.7 million.

Center General Asset Protection - The Governor recommends \$1.7 million from the Rhode Island Capital Plan Fund to maintain and repair the six buildings comprising the Center General Complex. Occupants include the Department of Labor and Training, Department of Business Regulation, and support staff of the Division of Facility Management and the Division of Information Technology, both part of the Department of Administration. Capital repair deficiencies compiled by the Division of Facility Management include: cooling tower leaks, elevator shaft ground water leaks, HVAC duct cleaning, main entrance concrete failing, parking lot hazards, window leaks, and brick wall water leaks. Project expenditures will include: \$422,500 in FY 2012, \$310,500 in FY 2013, \$310,500 in FY 2014, \$400,000 in FY 2015, and \$250,000 in FY 2016.

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# Department of Revenue

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## Governor's Recommendations

Registry of Motor Vehicles IT Modernization – The Governor recommends \$11.0 million from the issuance of Certificates of Participation (COPS), as approved by the 2006 General Assembly, for the installation of a new computer system for the Registry of Motor Vehicles, which includes funding of \$15.5 million as of FY 2012. COPS financing was \$9.6 million pre-FY 2012 and \$1.4 million in FY 2012. Additional funding is derived from the technology charge on Registry transactions, which was placed in a restricted receipt account. After May 2010, the proceeds from the surcharge flow directly to repayment of the COPS funding. Total funding from this source is \$4.2 million in pre-FY 2012 and \$357,417 in FY 2012. The existing Registry system is based on old technology, hierarchical databases and antiquated programming, most of which are no longer supported by any vendors. The system is difficult to update, making responding to legislative changes and federal mandates time consuming and complicated. No completion date for the project has been set, and no funding has been included beyond FY 2012. It is anticipated that both will be determined by the department in the near future.

Taxation Data Warehouse – The Governor recommends \$3.2 million, including \$2.9 million in pre-FY 2012 expenditures, to fund Phase I and Phase II of the Tax Data Warehouse project through FY 2012. In FY 2013 through FY 2016, funding for the Tax Data Warehouse project may shift to the newly created Information Technology Investment Fund, which will be listed in the Department of Administration (DOA) project section. Phase I of the project consisted of funding of \$2.5 million from Certificates of Participation, as approved by the 2006 General Assembly, combined with general revenue funding of \$150,000. The Division of Taxation has been working on a system to integrate the various standalone systems utilized by the division. The implementation of a centralized data warehouse brings this data together in one location for easier access and better reporting and analysis.

The Governor recommends \$236,895 in Rhode Island Capital Plan funds for Phase 2 of the Tax Data Warehouse project in FY 2012. These funds have previously been approved for the project, however, future financing for the remainder of Phase 2 may be moved to the DOA Capital Plan financed with the newly established Information Technology Fund. Phase 2 will allow users to create and run reports and perform queries that will assist the Department in the collection of tax dollars and management of information, thereby increasing tax revenue. Additional initiatives will expand the breadth of the compliance programs that can be automated through the use of the data warehouse, implement a set of data marts derived from the data warehouse, develop new audit performance reports, and develop a set of empirical models to predict audit outcomes. Phase II of the project will be RICAP funded with \$236,105 in FY 2012.

Registry of Motor Vehicles Building - The Governor recommends a total of \$17.7 million, including pre-FY 2012 expenditures of \$17.2 million, for the renovation of the Forand Building at the Pastore Government Center in Cranston, which is now used to house the main office Registry of Motor Vehicles. The Registry has moved from leased space in Pawtucket to the renovated Forand Building at the Pastore complex. This move includes the Operator Control unit and takes advantage of upgrades to the Pastore power plant, the new 400-space parking lot and its proximity to the new Traffic Tribunal. The project provides the Registry with protection from increasing lease costs. The Governor recommends \$519,579 in FY 2012 from the Rhode Island Capital Plan Fund to complete this project in FY 2012. These funds will be used for minor upgrades need to improve customer service and work flow; and upgrades to increase the capacity of the HVAC.

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## Department of Revenue

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### Integrated Tax System

The Governor recommends a total of \$25.0 million in Certificate of Participation (COPS) funds beginning in FY 2013 to create an Integrated Tax System which will store all taxpayer information in one centralized computer system. There are currently 5 major tax types handled on the mainframe system: corporate income tax, personal income tax, withholding tax, sales tax, and health care provider tax. There are 26 other taxes and fees that the Division of Taxation is responsible for collection and administering which are tracked on Excel spreadsheets or Access databases. The RICAP funds will allow the acquisition of the Integrated Tax System, either through the purchase of an “off the shelf” product, with modifications to the State’s specific requirements; or the creation of a system that is fully customized. The recommendation includes \$5.0 million per year for the period FY 2013 to FY 2017 in COPS funds.

### DMV Safety and Emissions Lift Replacement

The Governor recommends a total of \$300,000 in Rhode Island Capital Plan funds beginning in FY 2013 to replace the heavy duty vehicle lifts within the DMV Safety and Emission Control inspection garage. These lifts are used daily for the inspection of all school buses and public service vehicles registered in Rhode Island. The three lifts are 15 years old and are no longer reliable or safe for employees who work underneath the vehicles. The Governor recommends the replacement of the lifts with \$100,000 recommended in FY 2013, FY 2014, and FY 2015 to replace one lift each year.

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# Public Utilities Commission

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## **Governor's Recommendations**

Facility Asset Protection/Renovations. This project seeks to bring the facility housing the Public Utilities Commission into compliance with state fire code regulations and federal Americans with Disabilities Act requirements. Although the agency has undertaken various improvements and renovations to its state-owned office building at 89 Jefferson Boulevard, since its relocation in FY 2001, FY 2004 was the first fiscal year that this capital project was included in the state's capital plan. The agency has earmarked up to \$250,000 annually in restricted receipts funding for various renovations and improvements.

The Governor recommends total project funding of \$1.1 million in restricted receipts, consisting of \$700,000 in FY 2012, \$73,000 annually in FY 2013 through FY 2014, \$76,000 in FY 2015, \$72,000 in FY 2016, and \$75,000 in FY 2017. These funds will be used for various asset protection and renovation projects and capital asset acquisition including, but not limited to, replacing 1) the heating, ventilating and air-conditioning (HVAC) system, 2) membrane roof, and 3) the windows on the north, west, south and east ends of the building. It also includes upgrading and modernizing the elevators.

# **Quasi-Public Agencies**



# The Agency

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## Rhode Island Airport Corporation

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### Agency Operations

The Rhode Island Airport Corporation (Corporation) was created by the Rhode Island Economic Development Corporation (formerly the Port Authority) on December 9, 1992, as a subsidiary public corporation, government agency, and public instrumentality, having a distinct legal existence from the state and the authority, and having many of the same powers and purposes of the authority. The Corporation is empowered to undertake the planning, development, management, acquisition, ownership, operation, repair, construction, renovation, sale, lease or other disposition of any airport facility, including the T.F. Green State Airport in Warwick, as well as the five general aviation airports: North Central, Quonset, Westerly, Newport, and Block Island Airports.

The powers of the Corporation are vested in its Board of Directors consisting of seven members. The Corporation does not have the power to issue bonds or notes or borrow money without the approval of the Rhode Island Economic Development Corporation.

The Corporation leases the airports from the State of Rhode Island, through the Department of Transportation (DOT). Under the lease agreement, the State and DOT have assigned all rights to airport revenues, the proceeds of the State general obligation bonds issued for airport projects, federal grant agreements, insurance proceeds, all contracts including concession agreements with vendors and airlines, and all licenses and permits. The Corporation has agreed to reimburse the State for general obligation debt service after July 1, 1993, to the extent that money is available from its funds. In the event of insufficient funds, the unpaid debt shall accrue and be payable in the following year.

The Corporation assumes responsibility for the airports and undertaking capital improvements. The Corporation is intended to provide more flexibility in the provision of state match funds for all airport related projects by utilizing revenue bonds backed by revenue from parking, car rental, and other concessionaires, including landing fees paid by airlines, as well as a passenger facility charge that the federal government has empowered local airports to collect in order to finance capital improvements.

The Corporation is entitled to receive funds from the Federal Aviation Administration (FAA) on a matching fund basis to improve the state's airport system and finance various airport operations and improvements based on the following table:

<b>Program</b>	<b>FAA portion</b>	<b>Corporation portion</b>
Land Acquisition	80%	20%
T.F. Green projects	75%	25%
General Aviation Airports	95%	5%



# The Agency

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## **Rhode Island Airport Corporation**

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The Corporation does not receive any state appropriations from the State of Rhode Island for the operation and maintenance and capital programs relating to T.F. Green and the five general aviation airports. All of the operating and maintenance expenses, as well as operating capital programs and projects, are funded directly by revenues derived from airport operations. The only "State" funds utilized by the Corporation are general obligation bonds which were issued by the State of Rhode Island for airport related projects. The debt service on these general obligation bonds is the responsibility of the Corporation and the Corporation is current with respect to that responsibility. The DOT has contributed capital to fund a portion of the construction of the InterLink Facility.

# The Budget

## Rhode Island Airport Corporation

	FY 2010 Actual	FY 2011 Actual	FY 2012 Budget	FY 2013 Recommended
<b>Revenue: (T.F. Green)</b>				
Airline Revenues	21,784,368	21,467,400	21,600,000	21,600,000
Landing Fees	394,400	450,400	450,000	472,500
General Aviation	232,800	277,900	263,000	280,000
Fuel Flowage Fees	1,000,457	1,069,800	1,032,700	1,074,000
Tiedown & Hanger Fees	1,147,372	1,248,500	1,229,000	1,253,600
Aircraft Registration	22,945	22,700	22,000	22,000
Concessions	3,424,162	3,436,300	3,348,400	3,415,400
Miscellaneous Revenues	390,372	133,400	137,000	139,700
Utilities Reimbursement	379,591	282,700	300,000	306,000
Terminal Rent-Non Airlines	1,066,813	1,060,600	1,040,000	1,060,800
Automobile Parking	11,941,974	11,571,600	11,918,000	12,156,400
Rental Car Parking	5,868,274	5,342,700	5,296,000	5,401,900
Off Airport Courtesy Fees	630,082	624,600	637,100	649,800
Bad Debt Expenses	97,356	(52,100)	-	-
Audit & Finance Charge	198,388	8,000	-	-
Federal Grants - FAA	410,342	343,600	343,600	343,600
Airport Support Fund - Revenue A65	686,456	719,200	686,000	719,200
<b>Total Revenue</b>	<b>49,676,152</b>	<b>48,007,300</b>	<b>48,302,800</b>	<b>48,894,900</b>
<b>Personnel Expenses: (T.F. Green)</b>				
Payroll	11,948,367	11,329,000	11,132,500	11,343,900
Payroll - Overtime	692,715	162,200	320,000	320,000
Snow Removal Overtime	138,798	200,100	163,700	167,000
Overtime-Holiday	353,346	328,800	285,900	291,600
Employee Retirement	914,773	769,100	865,500	882,800
FICA Tax	958,633	865,300	871,600	889,000
Long Term Disability & Life Insurance	207,995	187,100	236,400	241,100
Workers' Comp Insurance	242,353	238,700	320,000	326,400
Health Insurance	2,059,095	1,880,600	2,076,900	2,180,700
<b>Total Personnel Expenses</b>	<b>\$17,516,075</b>	<b>\$15,960,900</b>	<b>\$16,272,500</b>	<b>\$16,642,500</b>
<b>Total Expenses - Operating</b>	<b>10,609,252</b>	<b>10,160,200</b>	<b>10,597,800</b>	<b>10,781,100</b>
<b>Total Expenditures</b>	<b>\$28,125,327</b>	<b>\$26,121,100</b>	<b>\$26,870,300</b>	<b>\$27,423,600</b>
<b>Net Income from Operations</b>	<b>\$21,550,825</b>	<b>\$21,886,200</b>	<b>\$21,432,500</b>	<b>\$21,471,300</b>

# The Budget

## Rhode Island Airport Corporation

	FY 2010 Actual	FY 2011 Actual	FY 2012 Budget	FY 2013 Recommended
<b>Outlying Airports</b>				
Revenues	1,978,991	2,145,000	2,336,100	2,406,200
Payroll Expenses	(1,557,339)	(1,581,400)	(1,620,600)	(1,653,000)
Operating Expenses	(1,081,326)	(1,187,200)	(1,143,400)	(1,166,300)
Airport Management Fee	(183,009)	(194,000)	(150,000)	(150,000)
<b>Net Gain (Loss) Outlying Airport</b>	<b>(\$842,683)</b>	<b>(\$817,600)</b>	<b>(\$577,900)</b>	<b>(\$563,100)</b>
Depreciation & Amortization	19,192,984	19,043,200	20,800,000	20,800,000
Net Income(Loss) After Depreciation and Amortization	<b>\$1,515,158</b>	<b>\$2,025,400</b>	<b>\$54,600</b>	<b>\$108,200</b>
<b>Other Income &amp; Expenses</b>				
Interest Income	255,630	125,900	130,000	125,000
Interest Expense	(78,677)	(50,200)	(48,000)	(48,000)
Interest Expense - All Bonds	(14,972,823)	(13,617,600)	(13,330,000)	(13,000,000)
Gain (Loss) on Sale of Assets	78,111	12,100	-	-
Miscellaneous Income (Expense)	(13,152)	314,100	-	-
Interest Income - PFC	21,729	14,800	8,500	5,000
Passenger Facility Charge	8,293,604	8,089,500	8,078,000	8,239,600
Federal Grants - FAA	14,960,759	9,257,000	15,615,200	34,118,200
Land Acquisition Program	(8,734,124)	(3,869,200)	(7,565,400)	(13,175,000)
<b>Total Non-Operating Income &amp; Exp</b>	<b>(188,943)</b>	<b>276,400</b>	<b>2,888,300</b>	<b>16,264,800</b>
<b>Intermodal Facility Operations (b)</b>				
Facility Revenues	4,810,076	6,138,400	7,393,600	7,541,500
Operating Expenses	-	(608,100)	(1,283,000)	(1,308,700)
Depreciation	-	(2,860,900)	(4,200,000)	(4,425,000)
Interest Expense	-	(2,445,200)	(4,466,000)	(4,614,000)
Contributed Capital - Interlink, Net	9,411,939	(11,042,000)	-	-
<b>Total Intermodal Facility, Net</b>	<b>\$14,222,015</b>	<b>(\$10,817,800)</b>	<b>(\$2,555,400)</b>	<b>(\$2,806,200)</b>
<b>Net Income</b>	<b>\$15,548,230</b>	<b>(\$8,516,000)</b>	<b>\$387,500</b>	<b>\$13,566,800</b>

(a) The information presented for FY 2013 has not been reviewed nor approved by the Rhode Island Airport Corporation Board of Directors and is subject to change, pending the aforementioned review.

(b) Operations at the InterLink Facility began in October 2010. Facility Revenues include Customer Facility Charges.

# The Agency

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## Capital Center Commission

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### Agency Description

The Capital Center Commission is a public corporation and agency of the State of Rhode Island that was created by state enabling legislation in 1981, and is a public body of the City of Providence by City Council Ordinance enacted in 1982. Legislatively, it is responsible for the adoption, implementation, and administration of the public and private development within Capital Center through its Design and Development Regulations, which, in part, are more restrictive than the local zoning ordinance. The commission's Internal Operating Procedures establish an application and design review process, which is legislated as not to exceed ninety days. The goal is to assure compliance with the regulations and at the same time assure the developer of an early decision on its application for development.

The Capital Center Commission, a fifteen member board created by state legislation, is funded by the State of Rhode Island through the Economic Development Corporation and through development fees assessed during the project application period.

One of the largest and most ambitious economic ventures of the State of Rhode Island and its capital city - Providence - is Capital Center, a seventy-seven acre northerly expansion of downtown Providence to the State Capitol. Through the cooperative and continuing efforts of public and private ownerships and interests, an infusion of over \$100 million of public and private funds has been committed for the planning and construction of public infrastructure improvements within the area. The public improvements, completed in mid 1994, include: new rights-of-way and utility lines, expansion of public open space, river walks along restaurants and retail uses, an amphitheater, and pedestrian bridges created, in part, by the relocation of two rivers.

Private development is controlled by Design and Development Regulations mandating, in part: use, height, building coverage, parking and service. Pedestrian and traffic circulation controls are also established to assure the movement of people and automobiles through Capital Center and to and from the downtown area. Forty-eight of the seventy-seven acres, representing twenty development sites, are designated for private development by public and private ownerships. To date, the following projects have been completed or are under construction: over 1.2 million square feet of retail space, one million square feet of office space, 1,052 hotel rooms and guest suites, 765 residential units, 7,800 structured parking spaces, over 6,900 permanent jobs, and over one billion dollars in private development.

### Statutory History

Public Laws of 1981, Section 2, Chapter 332, as amended, establish the Capital Commission as a special development district, as governed by Title 45, Section 24.4 of the Rhode Island General Laws.

# The Budget

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## Capital Center Commission

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Operating Revenues</b>				
State Grants	18,028	18,028	18,028	18,028
City Grants	15,750	-	-	-
Development Fees	-	-	-	-
Management Fees	450	4,900	-	-
Miscellaneous Income	-	-	-	-
<b>Total Operating Revenues</b>	<b>\$34,228</b>	<b>\$22,928</b>	<b>\$18,028</b>	<b>\$18,028</b>
<b>Expenditures</b>				
Salaries	-	-	-	-
Fringes	-	-	-	-
Rent and Utilities	-	-	-	-
Telephone	-	-	-	-
Print/Supplies	114	-	500	500
Postage	-	-	-	-
Meetings	480	819	1,000	1,000
Miscellaneous	345	92	500	500
Travel/Prof. Dev.	-	-	-	-
Dues, Ins. Subscriptions	-	-	-	-
Consultants	-	-	1,500	1,500
Legal & Audit Fees	7,935	10,016	10,850	10,850
<b>Total</b>	<b>\$8,874</b>	<b>\$10,927</b>	<b>\$14,350</b>	<b>\$14,350</b>
<b>Less Non Operating Revenue</b>				
Interest Income	-	7	-	-
<b>Net Income(Loss)</b>	<b>\$25,354</b>	<b>\$12,008</b>	<b>\$3,678</b>	<b>\$3,678</b>

# The Agency

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## Rhode Island Clean Water Finance Agency

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### Agency Mission

The mission of the Agency is to provide low-cost loans to finance capital improvements to the wastewater and the drinking water infrastructure in Rhode Island.

### Agency Description

The Rhode Island Clean Water Finance Agency (the “Agency”) established in 1990, is an independent, public corporation having a distinct legal existence from the state. The purpose of the Agency is to provide low cost loans to Rhode Island cities, towns, sewer commissions, wastewater management districts and water suppliers to finance capital improvements to wastewater and drinking water infrastructure. The Agency operates three revolving loan funds. Two of the funds provide subsidized loans to finance wastewater infrastructure projects and are collectively referred to as the Clean Water State Revolving Fund (CWSRF). A third fund provides subsidized loans to finance drinking water infrastructure projects and is called the Drinking Water State Revolving Fund (DWSRF).

The CWSRF is jointly administered by the Agency and the Department of Environmental Management (DEM). DEM is responsible for the environmental and regulatory components of the CWSRF while the Agency is responsible for the financial components. The CWSRF is capitalized by the grants from the U.S. Environmental Protection Agency (EPA) with a match of 20 percent by the State of Rhode Island. The Agency reimburses DEM for its administrative expenses.

The DWSRF is jointly administered by the Agency and the Department of Health (DOH). DOH is responsible for the water quality and regulatory components of the DWSRF while the Agency is responsible for the financial components. Funding for the DWSRF comes from capitalization grants from the federal and state governments, and through the issuance of tax-exempt Agency revenue bonds or direct loans. (The State of Rhode Island does not have any obligation for repayment of Agency revenue bonds.) DOH is reimbursed for administrative expenses via an administrative set-aside component of the capitalization grant.

### Statutory History

Chapter 12.2 of Title 46 established the CWSRF. Chapter 238 as amended by Chapter 303 and Chapter 434 authorized the state to issue General Obligation Bonds up to \$34 million for Capitalization Grants to the CWSRF. Chapter 12.8 of Title 46 established the DWSRF.

# The Budget

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## Rhode Island Clean Water Finance Agency

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended <sup>(2)</sup>
<b>Revenue</b>				
Interest and Investment Income	27,271,986	23,851,459	24,293,679	28,208,363
Operating Grant Income	2,247,603	2,496,008	2,784,000	2,800,000
Loan Service Fees <sup>(1)</sup>	3,973,817	4,175,386	4,227,673	4,515,722
Other Revenue	233,244	211,710	183,000	201,300
<b>Total Revenues</b>	<b>\$33,726,650</b>	<b>\$30,734,563</b>	<b>\$31,488,352</b>	<b>\$35,725,385</b>
<b>Operating Expenses</b>				
Interest and Finance Expenses	28,153,881	29,458,176	29,576,584	30,463,882
Loan Principal Foregiveness	-	163,156	803,813	975,000
Administrative Expenses	1,632,225	1,570,786	1,280,948	1,456,567
Administrative Fees - DEM	303,723	367,736	384,000	400,000
Administrative Fees - DOH	127,401	146,366	200,000	200,000
DOH Set-Aside Programs	1,816,479	1,981,906	2,200,000	2,200,000
<b>Total Operating Expenses</b>	<b>\$32,033,709</b>	<b>\$33,688,126</b>	<b>\$34,445,345</b>	<b>\$35,695,449</b>
<b>Other Revenues (Expenses)</b>				
Federal & State Capitalization Grants	22,355,699	48,862,674	28,258,349	18,838,899
Gain (Loss) Sale of Assets	-	-	-	-
<b>Excess Revenues over Expenses</b>	<b>\$24,048,640</b>	<b>\$45,909,111</b>	<b>\$25,301,356</b>	<b>\$18,868,835</b>

(1) Service Fee portion of loan service fees is on a cash basis; loan origination fees are amortized over the life of the bonds/loan as per G.A.A.P.

(2) The FY 2012 Budget information has not been presented to, or approved by the Agency's Board of Directors. The Board normally reviews and accepts the budgets in the quarter before the start of the fiscal year.

# The Agency

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## Rhode Island Convention Center Authority

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### Agency Operations

The Rhode Island Convention Center Authority was created in 1987 by the Rhode Island General Assembly as a public corporation, instrumentality and agency of the state, having a distinct legal existence from the state and not constituting a department of state government. The Authority is governed by a Board of Directors, which is comprised of eleven members, eight appointed by the Governor, two appointed by the mayor of the City of Providence and one appointed by the Providence City Council.

The authority's original purpose was the construction, management and operation of a facility to house conventions, trade shows, exhibitions, displays, meetings, banquets, and other events, as well as facilities related thereto, such as parking lots and garages, connection walkways, hotels and office buildings, including any retail facilities incidental to and located within any of the foregoing, and to acquire, by purchase or otherwise, land to construct the complex. The authority was authorized to lease the convention center and the related facilities to the state and undergo a bond and note issuance for facilities pursuant to the terms of a sublease agreement, dated as of November 1, 1991, as amended, by and between the state as sub lessor and the authority, as sub lessee (the "Sublease").

A "phased" approach for each entity of the complex occurred as follows: North Parking Facility: December 5, 1992, Convention Center and South Parking Facilities: December 2, 1993 and the Westin Hotel: December, 1994. The authority has operated its facilities with various management contracts since inception. During FY 2005 and FY 2006, major changes occurred altering the future direction and scope for the authority, including the Westin Hotel sale in April, 2005 and the authority's acquisition of the Dunkin' Donuts Center from the City of Providence in December 2005.

The authority was authorized to issue revenue bonds to acquire the Dunkin' Donuts Center and lease the facility to the state. Rental payments from the Dunkin's Donuts Center lease are applied to payments of the bonds. The Center underwent major renovations subsequent to its acquisition by the authority and re-opened with new seating, luxury suites, a new sound system and video scoreboard, a redesigned concourse/lobby and a bridge connection to the Convention Center in September, 2008.

In July, 2008, the authority assumed management responsibility for the Veterans Memorial Auditorium and Cultural Center (VMA) from the Veterans Memorial Auditorium Foundation. The Authority is currently embarking on a five year renovation project to improve and enhance the facility.

### Agency Objectives

Manage and operate the Convention Center complex, parking facilities and the Dunkin' Donuts Center. The Authority has management oversight of the Veteran's Memorial Auditorium in consort with the Department of Administrations under a current five year lease agreement. This venue complements the current assets of the Authority.



# The Budget

## Rhode Island Convention Center Authority

	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Resources</b>				
Opening Cash Balances	1,643,251	3,497,603	2,472,751	1,397,540
Operations	21,540,669	21,967,204	22,347,263	22,610,220
Reimbursement for Capital Projects	500,000	-	-	-
Investment Income and Swap Savings	153	204	208	212
Westin Hotel Room Tax	261,542	284,017	275,432	280,941
Net Bank Transfers/Misc Revenues	732,680	212,362	6,951	7,090
<b>Total Resources</b>	<b>\$24,678,295</b>	<b>\$25,961,390</b>	<b>\$25,102,605</b>	<b>\$24,296,003</b>
<b>Expenditures</b>				
Convention Center Authority	2,879,324	2,713,076	3,088,644	3,144,440
Convention Center Management	11,825,933	12,366,137	11,416,440	11,796,806
Dunkin' Donuts Center	6,331,502	7,051,223	7,443,127	7,170,224
Veteran's Memorial Auditorium	527,814	522,973	643,854	724,529
Dunkin' Donuts Center Renovation	510,000	-	-	-
<b>Subtotal Operations</b>	<b>22,074,572</b>	<b>\$22,653,410</b>	<b>\$22,592,065</b>	<b>\$22,835,999</b>
Convention Center Debt Service	\$15,476,433	\$16,224,883	16,230,944	16,229,014
Dunkin Donuts Center Debt Service	6,906,665	6,905,454	6,909,338	6,906,185
Notes Payable	188,000	188,000	188,000	188,000
Renewal and Replacement - Conv. Ctr.	882,915	182,434	-	-
Renewal and Replacement - D.D. Center	-	464,795	925,000	925,000
<b>Grand Total Expenditures</b>	<b>\$45,528,585</b>	<b>\$46,618,976</b>	<b>\$46,845,347</b>	<b>\$47,084,198</b>
<b>Balance from Operations</b>	<b>(\$20,850,290)</b>	<b>(\$20,657,586)</b>	<b>(\$21,742,742)</b>	<b>(\$22,788,195)</b>
State Appropriation - Debt Service	22,383,098	23,130,337	23,140,282	23,135,199
State Appropriation - Operating	\$1,964,795	-	-	-
Dunkin Donuts Center Renovation	-	-	-	-
<b>Final Cash Balances</b>	<b>\$3,497,603</b>	<b>\$2,472,751</b>	<b>\$1,397,540</b>	<b>\$347,004</b>

The information presented above is based upon cash flow data provided by the authority and has not been approved by the authority's Board of Directors.

# The Agency

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## Rhode Island Economic Development Corporation

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### Agency Mission

The Rhode Island Economic Development Corporation's mission is to enhance Rhode Island's business climate; retain and create jobs; help existing Rhode Island businesses succeed; identify opportunities to attract new companies and investment into the state and help develop our workforce to meet the needs of a 21<sup>st</sup> century economy.

The RIEDC, in partnership with industry, civic and government leaders, has created a two-year job growth and economic reinvestment plan focused on six critical areas: (1) cultivating existing and attracting new businesses; (2) growing key industries; (3) creating and marketing business-ready infrastructure hubs; (4) provide greater growth capital and credit; (5) revitalizing urban communities; and (6) streamlining regulatory processes to make it easier to do business.

### Agency Description

The Rhode Island Economic Development Corporation is the official, full service, economic development organization for the State of Rhode Island. A quasi-public agency, the RIEDC serves as a government and community resource to help streamline business expansion in, and relocation to, Rhode Island. The agency assists companies with commercial real estate, business financing, workforce training, and other relevant issues. It is led by a board of directors, which includes the Governor, who serves as chair. Other board members include leaders from Rhode Island's business and labor communities as well as academic and healthcare institutions. The Governor appoints all twelve members. The board oversees the development and implementation of all state-level economic development initiatives and works with the Executive Director to advance the agency's objectives.

The I-95 Redevelopment Act of 2011 created the I-195 Redevelopment District as a subsidiary of the RIEDC and authorized the District to purchase I-195 surplus land from the Rhode Island Department of Transportation. The Act also authorized the RIEDC to issue bonds in the amount of the purchase price for the land. The RIEDC will provide office space and technical support to the I-195 Redevelopment District Commission established to help guide and oversee the thoughtful and planned economic development of the land.

Effective January 1, 2005, corporate governance of the Quonset Point/Davisville Industrial Park in North Kingstown was transferred to the Board of Directors of the Quonset Development Corporation, a subsidiary of the RIEDC.

### Statutory History

The Corporation was created in 1995 by Title 42, Chapters 43 and 64, of the Rhode Island General Laws, replacing the former Department of Economic Development and the Rhode Island Port Authority.

# The Budget

## Rhode Island Economic Development Corporation

	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Opening Balance:</b>	<b>\$219,059</b>	<b>\$358,720</b>	<b>\$290,246</b>	<b>\$191,253</b>
<b>Resources</b>				
State Appropriation	4,566,052	4,648,487	4,721,214	4,301,214
Legislative Grants	852,320	852,320	760,597	570,444
Airport Impact Aid	1,010,496	1,009,430	1,025,000	1,025,000
STAC Research Alliance (EPScore)	1,369,871	1,720,761	1,500,000	1,150,000
Job Creation Guaranty	-	932,294	1,125,000	1,125,000
Grants - Department of Education	58,140	-	-	-
Renewable Energy Fund	3,400,666	2,114,228	2,400,000	
Slater Centers of Excellence	2,000,000	2,000,000	2,000,000	1,500,000
Subtotal	<b>\$13,257,545</b>	<b>\$13,277,520</b>	<b>\$13,531,811</b>	<b>\$9,671,658</b>
<b>Revenue from Federal Government</b>				
Federal Grants	1,568,367	1,679,647	8,664,232	994,253
Subtotal	<b>\$1,568,367</b>	<b>\$1,679,647</b>	<b>\$8,664,232</b>	<b>\$994,253</b>
<b>Revenues from Operations</b>				
Other Income	465,236	224,590	402,500	462,749
Finance Program Allocation <sup>1</sup>	525,005	482,094	403,110	527,262
Welcome Center	416,898	357,913	100,000	-
QDC Allocation	150,000	-	-	-
Subtotal	<b>\$1,557,139</b>	<b>\$1,064,597</b>	<b>\$905,610</b>	<b>\$990,011</b>
<b>Total Resources</b>	<b>\$16,602,110</b>	<b>\$16,380,484</b>	<b>\$23,391,899</b>	<b>\$11,847,175</b>
<b>Expenditures</b>				
Personnel Expenses	3,825,902	3,883,946	4,044,548	4,164,737
Operating Expenses	2,401,642	2,130,475	2,642,250	2,098,464
Legislative/EDC Grants	852,320	852,320	760,597	570,444
Airport Impact Aid	1,010,496	1,009,430	1,025,000	1,025,000
STAC Research Alliance (EPSCoR)	1,177,933	1,609,078	1,319,231	970,760
Job Creation Guaranty Reserves	-	899,085	662,500	662,500
Slater Centers of Excellence	2,000,000	2,000,000	2,000,000	1,500,000
Welcome Center	416,898	357,913	100,000	-
Federal Grants	1,338,512	1,365,331	8,350,807	671,425
Renewable Energy Fund	3,219,687	1,982,660	2,295,713	-
<b>Total Expenditures</b>	<b>\$16,243,390</b>	<b>\$16,090,238</b>	<b>\$23,200,646</b>	<b>\$11,663,330</b>
<b>Closing Balance</b>	<b>\$358,720</b>	<b>\$290,246</b>	<b>\$191,253</b>	<b>\$183,845</b>

The information presented above was provided by the entity, and in most cases, the data provided for FY 2013 has not been approved by the Board of Directors.

<sup>1</sup> Includes funding from the Small Business Loan Fund, the Renewable Energy Fund and the Industrial-Recreational Building Authority for staff support.

# The Agency

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## Rhode Island Health and Educational Building Corporation

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### Agency Mission

To ensure that adequate financing is available for the education institutions and health care providers in the state to meet the needs of the citizens of Rhode Island.

### Agency Description

The Rhode Island Health and Educational Building Corporation is a non-business corporation and agency of the state that provides bond and lease financing to non-profit health and educational institutions in the state. Since its inception in 1966, the corporation has assisted with over \$5 billion in financing for such institutions without obligating the state's credit.

Under the direction of a five member board of directors, appointed by the Governor, the corporation has assisted hospitals, nursing homes, mental health centers, health care providers, day care centers, visiting nurses associations, and colleges and universities in obtaining low-cost financing from the public bond market.

The corporation receives no state appropriations for its operations.

### Statutory History

The Rhode Island Health and Educational Building Corporation was created by the General Assembly in 1967 with its duties and powers defined by R.I.G.L. 45-38 (as amended).

# The Budget

## **Rhode Island Health and Educational Building Corporation**

	<b>FY 2010 Actual</b>	<b>FY 2011 Actual</b>	<b>FY 2012 Projected</b>	<b>FY 2013 Proposed</b>
<b>Expenditure by Object</b>				
Personnel	487,290	522,148	555,000	568,700
Other Operating Expenditures	314,156	317,715	323,200	321,700
Financing Services	654,421	566,509	600,000	675,000
Grants	-	-	250,000	250,000
Transfer to State	1,500,000	1,000,000	-	-
<b>Total Expenditures</b>	<b>\$2,955,867</b>	<b>\$2,406,372</b>	<b>\$1,728,200</b>	<b>\$1,815,400</b>
<b>Expenditures by Fund</b>				
Personnel	487,290	522,148	555,000	568,700
Other Operating Expenditures	314,156	317,715	323,200	321,700
Financing Services	654,421	566,509	600,000	675,000
Grants	-	-	250,000	250,000
Transfer to State	1,500,000	1,000,000	-	-
<b>Total Expenditures</b>	<b>\$2,955,867</b>	<b>\$2,406,372</b>	<b>\$1,728,200</b>	<b>\$1,815,400</b>

The information presented above was provided by the entity, and in most cases, the data provided for FY 2012 has not been approved by the Board of Directors.

# The Agency

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## Rhode Island Housing and Mortgage Finance Corporation

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### Agency Mission

To provide, improve and expand housing and housing-related community development services to, and specifically address issues of sanitary, safe and decent housing for, persons of low and moderate income, as well as to encourage the investment of private capital for the construction, rehabilitation, operation, retention, and maintenance of residential housing and housing-related community development efforts, to provide construction and mortgage loans, and to make grants in regard to housing needs, including shelters for the homeless.

### Agency Description

The Rhode Island Housing and Mortgage Finance Corporation (the "Corporation") is a public instrumentality of the State established in 1973 by an Act of the Rhode Island General Assembly. The Corporation is governed by a seven-member board of commissioners. The Corporation was created to provide and improve housing to persons of low and moderate income, as well as to encourage the investment of private capital for the construction, rehabilitation, operation, retention, and maintenance of residential housing and health care facilities; to provide construction and mortgage loans; and to make grants in regard to housing needs, including shelters for the homeless. The Corporation also has the power to acquire and operate housing projects on an individual or partnership basis in order to meet the housing demands of the State and to create subsidiaries for the purpose of the development and preservation of affordable housing for low and moderate income families.

The Corporation also provides services for the federal Department of Housing and Urban Development as a contract administrator; technical assistance in the housing area to other governmental entities; and homeowner buying and counseling assistance to all Rhode Island citizens.

The Corporation also has the power to issue negotiable notes and bonds to achieve its corporate purpose, and has a separate credit rating for itself and its bond apart from the state.

### Statutory History

The Rhode Island Housing and Mortgage Finance Corporation is authorized and empowered under Title 42, Chapter 55 of the Rhode Island General Laws.



# The Budget

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## Rhode Island Housing and Mortgage Finance Corporation

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Expenditure Report</b>				
Personnel Services*	13,347,822	14,690,788	14,953,161	14,950,000
Other Administrative Expenses	4,335,316	4,094,350	4,760,220	4,760,000
Programmatic Expenses	8,730,558	7,836,229	6,849,000	6,850,000
Provision for Loan Loss	4,288,119	4,904,512	2,900,000	2,900,000
Arbitrage Rebate	1,271,806	344,344	345,000	345,000
Amortization and Depreciation	1,859,375	1,866,601	1,870,000	1,870,000
<b>Total</b>	<b>\$33,832,996</b>	<b>\$33,736,824</b>	<b>\$31,677,381</b>	<b>\$31,675,000</b>

The information for FY 2013 has neither been reviewed nor approved by the Rhode Island Housing and Mortgage Finance Corporation and is subject to change pending review by the Corporation.



# The Agency

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## Housing Resources Commission

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### Agency Operations

The Rhode Island Housing Resources Commission was established in 1998 with responsibility for establishing housing policy, planning and coordination for the State of Rhode Island. Funding was provided to establish a lead hazardous reduction program in conjunction with Rhode Island Housing. With the passage of the Lead Hazard Mitigation Act, the Commission's responsibilities included implementation of that law. Additional responsibility was given to the Commission with the passage of the Comprehensive Housing and Rehabilitation Act of 2004. This law mandated the development of a strategic housing plan and ongoing tracking of 29 local affordable housing plans.

With the passage of the Building Homes Rhode Island Bond in November 2006, the Commission assumed responsibility for the program with administrative assistance from Rhode Island Housing. Regulations, an application, distribution process and contracts were developed and the Commission will disburse \$12.5 million annually for this program. The Commission is responsible for program development and implementation of homeless facilities and resources to respond to those seeking shelter including those who have been discharged from the Department of Corrections, aged out of foster care and lost housing due to foreclosures of multi-family housing.

### Agency Objectives

The objectives are to promulgate state policies and plans for housing and performance measures for housing programs established pursuant to state law. The Commission coordinates activities among state agencies and political subdivisions pertaining to housing and promotes quality of life within communities. We accomplished this by providing opportunities for safe, healthy, and affordable housing and economic development for all Rhode Islanders through encouraging public-private partnerships, fostering support for nonprofit organizations, and distributing funding for housing, shelter, and community development.

### Statutory History

R.I.G.L. 42-128 established the Housing Resources Commission as of July 1, 1998. The Commission has 27 members, both ex-officio and appointed by the Governor representing a cross section of people working on housing issues. Amendments enacted during the 2008 legislative session give two additional responsibilities to the Commission: operation of a supportive service program and administration of an expedited permitting process for affordable housing.

# The Budget

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## Housing Resources Commission

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Expenditure by Object</b>				
Administrative Expenses	105,000	89,040	89,040	89,040
Assistance, Grants, Benefits	2,064,000	1,980,960	1,980,960	1,980,960
Capital (NOP) <sup>(1)</sup>	2,500,000	1,500,000	-	-
Capital (Building Homes RI) <sup>(2)</sup>	12,500,000	12,500,000	-	-
<b>Total Operating Expenses</b>	<b>17,169,000</b>	<b>16,070,000</b>	<b>2,070,000</b>	<b>2,070,000</b>
<b>Expenditure by Funds</b>				
State General Revenues	2,169,000	2,070,000	2,070,000	2,070,000
NOP	2,500,000	1,500,000	-	-
G.O. Bond Proceeds - Building Homes	12,500,000	12,500,000	-	-
<b>Total Expenditures</b>	<b>17,169,000</b>	<b>16,070,000</b>	<b>2,070,000</b>	<b>2,070,000</b>
<b>Closing Balance</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

<sup>(1)</sup> The enacted FY 2012 and recommended FY 2013 budgets require RI Housing to provide funding for the NOP program.

<sup>(2)</sup> Reflects State General Obligation bond proceeds also reflected in the State's Capital Budget.

# The Agency

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## Rhode Island Industrial Facilities Corporation

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### Agency Mission

The Corporation's objective is to encourage economic growth within the state by further developing industrial and recreational facilities.

### Agency Description

The Rhode Island Industrial Facilities Corporation is a public body corporate of the State of Rhode Island and obtained this designation and authority from Section 45-37 of the General Laws. The corporation is utilized to foster economic growth within the State of Rhode Island.

The purpose of the Rhode Island Industrial Facilities Corporation is to act as the issuer of tax-exempt and taxable revenue bonds, which are sold to private or public investors, on behalf of Rhode Island companies seeking financing. The role of the Rhode Island Industrial Facilities Corporation is to act as a conduit in a company's efforts to obtain financing from sources other than the Corporation. The Rhode Island Industrial Facilities Corporation is a title holder to the property and does not have financial exposure in connection with the bonds.

### Statutory History

The Rhode Island Industrial Facilities Corporation was created in 1956 by Chapter 45-37.1 of the Rhode Island General Laws.

# The Budget

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## Rhode Island Industrial Facilities Corporation

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Receipts</b>				
Bond Fees	61,615	76,394	80,000	80,000
Other	4,250	5,000	5,000	5,000
Interest	63	-	-	-
<b>Total</b>	<b>\$65,928</b>	<b>\$81,394</b>	<b>\$85,000</b>	<b>\$85,000</b>
<b>Expenses</b>				
Administration	83,056	42,503	45,000	46,350
Insurance	11,768	11,768	12,000	13,000
Legal and Audit	33,248	15,143	20,000	20,000
Recovery Zone Program Costs	13,891	2,608	-	-
Other	13	29	-	-
<b>Total</b>	<b>\$141,976</b>	<b>\$72,051</b>	<b>\$77,000</b>	<b>\$79,350</b>
<b>Net Gain/(Loss)<sup>(1)</sup></b>	<b>(\$76,048)</b>	<b>\$9,343</b>	<b>\$8,000</b>	<b>\$5,650</b>

The information was provided by the entity and was approved by the Board on October 27, 2011

# The Agency

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## **Rhode Island Industrial-Recreational Building Authority**

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### **Agency Mission**

The authority promotes economic growth in the state by providing insurance for qualifying mortgages of industrial and recreational facilities.

### **Agency Description**

The Rhode Island Industrial-Recreational Building Authority was created for the purpose of nurturing economic growth within the State of Rhode Island by insuring mortgage payments on industrial or recreational projects approved by the authority. As required by statute, the Authority maintains a first security position in all projects. As of June 30, 2011, the total amount of mortgage insurance issued cannot exceed \$60,000,000 in the aggregate.

The State of Rhode Island, according to R.I.G.L. 42-34-15, is responsible for providing any additional resources that may be required to allow the mortgage insurance fund to meet its obligations.

### **Statutory History**

The Rhode Island Industrial-Recreational Building Authority was created in 1958 by R.I.G.L. 42-34.

# The Budget

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## Rhode Island Industrial - Recreational Building Authority

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Receipts:</b>				
Premiums	91,894	156,910	185,000	185,000
Interest	12,524	4,356	5,000	5,000
Rent	75,000	31,250	-	-
Gain on sale of assets	-	153,014	-	-
Recovery of Bad Debt	10,250	8,721	-	-
<b>Total Receipts</b>	<b>\$189,668</b>	<b>\$354,251</b>	<b>\$190,000</b>	<b>\$190,000</b>
<b>Expenses:</b>				
Administration	83,056	119,060	123,000	127,000
Legal	28,064	46,663	45,000	45,000
Insurance	11,023	11,021	15,000	15,000
Building Maintenance and Repairs	25,674	2,969	-	-
Other	15,406	6,753	-	-
<b>Total Expenses</b>	<b>\$163,223</b>	<b>\$186,466</b>	<b>\$183,000</b>	<b>\$187,000</b>
<b>Operating Income (Loss)</b>	<b>\$26,445</b>	<b>\$167,785</b>	<b>\$7,000</b>	<b>\$3,000</b>
<b>Est. Loss-Default</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Net</b>	<b>\$26,445</b>	<b>\$167,785</b>	<b>\$7,000</b>	<b>\$3,000</b>

*The information was provided by the entity and was approved by the Board at its meeting held on October 28, 2011.*

# The Agency

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## **Narragansett Bay Commission**

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### **Agency Mission**

The Narragansett Bay Commission's primary objective is to ensure that the Field's Point and Bucklin Point Wastewater Treatment Facilities are in compliance with state and federal guidelines, thereby safeguarding the health and safety of the citizens of Rhode Island and protecting their environment.

### **Agency Description**

The Narragansett Bay Commission (NBC) was created by the Rhode Island General Assembly in 1980. Charged with the acquisition and operation of the Field's Point Wastewater Treatment Facility in Providence and portions of the metropolitan Providence wastewater collection system, the NBC's fundamental purpose is to improve and preserve the environmental integrity of Narragansett Bay and its tributaries. Through legislation signed into law by the Governor, the NBC assumed ownership of the Bucklin Point Wastewater Treatment Facility in East Providence on January 1, 1992.

The NBC owns and operates Rhode Island's two largest wastewater treatment facilities, 110 miles of sewer interceptors, 64 combined sewer overflows, 32 tide gates and 6 pump stations, and provides wastewater collection and treatment services to over 360,000 residents and approximately 7,900 industrial and commercial customers in 10 communities throughout Rhode Island. These communities include Providence, North Providence, Johnston, Pawtucket, Central Falls, Cumberland, Lincoln and the northern portion of East Providence, and small sections of Cranston and Smithfield.

The NBC has a \$430 million five-year capital improvement budget for fiscal years 2013-2017. The NBC is governed by a 19-member Board and is organized into five divisions: the Executive Affairs, Construction Services, Administration and Finance, Operations and Engineering, and Planning, Policy and Regulation divisions. In addition, through the Clean Water Act, which sets guidelines for water-quality improvements, the NBC has been charged with the responsibility to reduce the amount of combined sewer overflow to local waterways within its service area.

### **Statutory History**

R.I.G.L. 46-25 relates to the Narragansett Bay Commission: R.I.G.L. 46-25.1 relates to the merger of the Blackstone Valley District Commission and the Narragansett Bay Water Quality Management District Commission, and R.I.G.L. 46-25.2 relates to future acquisitions of wastewater treatment facilities.

# The Budget

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## Narragansett Bay Commission

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Budget	FY 2013* Projected
<b>Expenditures by Object</b>				
Personnel	18,825,877	18,810,840	19,986,705	20,920,974
Operating Supplies & Expenses	8,445,879	8,127,274	10,087,257	10,087,257
Special Services	6,894,154	6,594,812	6,970,222	6,970,222
<b>Subtotal Operating Expenditures</b>	<b>\$34,165,910</b>	<b>\$33,532,926</b>	<b>\$37,044,184</b>	<b>\$37,978,453</b>
Capital Outlays	1,700,537	1,795,322	2,879,053	2,000,000
Debt Service	28,990,663	29,566,507	34,819,271	44,069,349
<b>Total Expenditures</b>	<b>\$64,857,110</b>	<b>\$64,894,755</b>	<b>\$74,742,508</b>	<b>\$84,047,802</b>
<b>Expenditures by Funds</b>				
<b>NBC User Fees/Misc Revenues</b>				
Personnel	18,825,877	18,810,840	19,986,705	20,920,974
Operating Supplies & Expenses	8,445,879	8,127,274	10,087,257	10,087,257
Special Services	6,894,154	6,594,812	6,970,222	6,970,222
Capital Outlays	1,700,537	1,795,322	2,879,053	2,000,000
Debt Service	28,990,663	29,566,507	34,819,271	44,069,349
<b>Total Expenditures</b>	<b>\$64,857,110</b>	<b>\$64,894,755</b>	<b>\$74,742,508</b>	<b>\$84,047,802</b>

\* The information presented for FY 2013 has not been reviewed nor approved by the Narragansett Bay Commission and is subject to change pending review by the Commission.

### Sources:

FY 2010 Actuals taken from the audited financial statements.

FY 2011 Actuals taken from the audited financial statements.

FY 2012 taken from NBC's approved budget.



# The Agency

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## Rhode Island Public Transit Authority

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### Agency Mission

As the statewide public transit organization, RIPTA has a primary role to expand access and mobility opportunities for Rhode Islanders by undertaking actions and supportive strategies, directly and in collaboration with others, to provide a full range of alternatives to the single-occupant automobile. These key mobility strategies include: transit design and service strategies to improve the livability of communities and act as a stimulus for neighborhood renewal; technological advancements which increase travel options and convenience; and collaborative land use strategies and economic development initiatives that foster transit ridership and pedestrian movement through transit-friendly land use and development.

### Agency Description

The Rhode Island Public Transit Authority (RIPTA) has primary responsibility for directing statewide fixed-route bus service and Americans with Disabilities Act paratransit service operations. RIPTA is managed under the direction of an eight-member policy Board of Directors. In addition to these core transit services, RIPTA operations also include program development and implementation of the statewide carpool program. RIPTA is committed to protecting the environment and providing safe, reliable, quality transit service that is responsive to customer needs with particular emphasis on Rhode Island's families, children, transit dependent populations, and elderly and disabled residents. RIPTA operates a fleet of 253 buses operated and maintained by 700 employees. The authority's main facility is located in the City of Providence with a satellite operation on Aquidneck Island. The state's paratransit operation includes 135 vans currently operated by 3 carriers. In FY 2011, 17.6 million passengers were carried on RIPTA's fixed-route bus service and an additional 641,534 passengers were transported on the state's coordinated paratransit service.

### Statutory History

The authority was created as a body corporate and politic in 1964 by R.I.G.L. 39-18-2 to acquire, purchase, hold, use and dispose of any property, real, personal or mixed, tangible or intangible, or any interest therein necessary or desirable for carrying out the purposes of the authority.

# The Budget

## Rhode Island Public Transit Authority

	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommend
<b>Revenue</b>				
Prior Year Carry Forward <sup>(1)</sup>	\$ -	\$ (1,490,383)	\$ 1,279,597	\$ -
Passenger Revenue	20,339,300	22,099,605	22,185,059	23,281,109
Special Revenue	821,984	907,708	907,622	956,685
Other Revenue	10,660,300	11,883,351	11,683,647	11,788,855
State Subsidy - Gasoline Tax <sup>(2)</sup>	41,788,014	41,025,227	41,459,720	41,185,794
Department of Human Services <sup>(3)</sup>	975,998	883,848	859,300	837,105
Federal Subsidy	20,599,287	24,372,883	21,627,857	19,507,220
<b>Total Revenue</b>	<b>95,184,883</b>	<b>99,682,239</b>	<b>100,002,802</b>	<b>97,556,768</b>
<b>Expenses</b>				
Salaries and Wages	42,522,117	44,454,516	44,592,166	45,823,604
Employee Benefits	24,693,407	22,310,986	23,857,776	24,833,161
Special Services	1,720,442	2,363,568	682,421	2,251,538
Operating Expenses <sup>(4)</sup>	25,989,251	29,273,572	34,251,012	34,665,966
Offset to Balance Expenses/Revenues <sup>(5)</sup>	-	-	(3,380,573)	-
<b>Total Expenses:</b>	<b>\$ 94,925,217</b>	<b>\$ 98,402,642</b>	<b>\$ 100,002,802</b>	<b>\$ 107,574,269</b>
<b>Closing Surplus/(Deficit):</b>	<b>\$ 259,666</b>	<b>\$ 1,279,597</b>	<b>\$ -</b>	<b>\$ (10,017,501)</b>

(1) The Prior Year Carry Forward for FY 2011 was cumulative since 2008, however, as of FY 2012, the annual Carry

(2) Gas Tax amount estimated by the Department of Revenue, Office of Revenue Analysis.

(3) Gas Tax funding provided through the Department of Human Services for the RIDE Program.

(4) Includes Debt Service payable on general obligation bonds, funding for which is transferred to the Department of Administration.

(5) RIPTA Board of Directors must determine reduction of expenses or increases of revenue to provide a balanced budget.

Sources:

FY 2010 and FY 2011 Actual taken from the audited financial statements of the Rhode Island Public Transit Authority, as approved by the Board of Directors.

# The Agency

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## Quonset Development Corporation

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### Agency Mission

The Corporation develops and manages the Quonset Business Park in accordance with the QDC Master Plan and in the best interests of the citizens of Rhode Island to attract and retain successful businesses that provide high quality jobs.

The Corporation insures quality infrastructure, a high standard of design and aesthetics within the Park to create a favorable work environment compatible with the natural setting of the land and Narragansett Bay.

The Corporation develops and operates the Park in an environmentally sound manner, maintains excellent relationships with Park tenants, the Town of North Kingstown, and surrounding communities

### Agency Description

The Quonset Development Corporation (QDC) is a real estate development and management company organized as a subsidiary of the Rhode Island Economic Development Corporation.

The Quonset Development Corporation's Board of Directors consists of eleven members. The Executive Director of the RI Economic Development Corporation is the chairperson. The Governor appoints six members, the Town of North Kingstown appoints two members, the Town of Jamestown appoints one member, and the Town of East Greenwich appoints one member.

### Statutory History

The Corporation was created in 2004 by Title 42, Chapter 64.9 of the Rhode Island General Laws, as a subsidiary of the Rhode Island Economic Development Corporation.

# The Budget

## Quonset Development Corporation

	FY 2010 Actual (1)	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Estimated Opening Balance Revenues:</b>	(\$50)	\$50,369	\$13,317	\$56,326
<b>Revenues from Operations</b>				
Rental Income	5,659,922	7,022,096	6,778,715	7,589,846
Pier Income	680,885	773,347	720,000	775,000
Utility Sales	1,758,687	1,863,831	1,825,000	1,912,850
Other Income	115,963	138,897	289,046	299,882
	<b>8,215,457</b>	<b>9,798,171</b>	<b>9,612,761</b>	<b>10,577,578</b>
<b>Total Resources</b>	<b>\$8,215,407</b>	<b>\$9,848,540</b>	<b>\$9,626,078</b>	<b>\$10,633,904</b>
<b>Expenditures</b>				
Personnel Expenses	3,143,276	3,347,959	3,827,175	3,709,864
Operating Expenses	2,471,762	2,587,264	3,542,577	3,725,766
EDC Allocation	150,000	-	-	-
Capital Expenditures (1)	2,400,000	3,900,000	2,200,000	3,150,000
<b>Total Expenditures</b>	<b>\$8,165,038</b>	<b>\$9,835,223</b>	<b>\$9,569,752</b>	<b>\$10,585,630</b>
<b>Closing Balance</b>	<b>\$50,369</b>	<b>\$13,317</b>	<b>\$56,326</b>	<b>\$48,274</b>

(1) Operating surplus to be used for Capital Improvements Projects as well as other internal capital requirement

# The Agency

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## Rhode Island Resource Recovery Corporation

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### Agency Mission

The Corporation's primary objectives are to develop and implement waste reduction programs, divert waste from the landfill, and provide cost-effective disposal alternatives. Since its initial roll-out, the Corporation's "Maximum Recycling Program," has increased recyclables diversion from the municipalities. The "Maximum Recycling Program" is available in all 39 municipalities throughout the state, providing the opportunity of these municipalities to reduce their waste disposal costs. Licensure of additional landfill capacity is being pursued to maintain disposal capacity as the current facility is depleted.

### Agency Operations

The Rhode Island Resource Recovery Corporation operates an integrated statewide system of solid waste management facilities and programs to provide waste reduction, recycling and disposal services. The goal of the corporation's solid waste management system is to minimize waste generated and landfilled and maximize waste reduction and recycling.

The Corporation's materials recycling facility (MRF), in conjunction with grants and technical assistance provided to municipalities supports the State's municipal recycling programs. Metals, plastic and glass containers, paper cartons, juice boxes, as well as numerous types of paper and cardboard are delivered to the MRF, processed, and sold on the open market to be remanufactured.

The waste reduction program includes initiatives including (but not limited to): two web-based materials exchange programs, an education program, promotion of leaf and yard debris composting and information on reducing household waste. The corporation encourages backyard composting and sells subsidized composting bins to Rhode Island residents.

Other Corporation recycling initiatives target computer equipment and televisions, marine shrink wrap, plastic bags and provide assistance to school paper recycling programs.

In August 2001, the Corporation assumed responsibility of the ECO-DEPOT program, previously administered by the R.I. Department of Environmental Management, to handle and dispose of household hazardous waste.

The Corporation has developed and implemented an integrated solid waste management system in the most environmentally sensitive and economical manner possible. The landfill is currently the foundation of the integrated system. All operations are conducted utilizing state-of-the-art technology, including double lining of the landfill and an integrated methane recovery system. The Corporation operates a construction/demolition (C&D) debris processing facility, converting types of C&D debris from solid waste to alternate cover material, thereby conserving valuable landfill capacity.

### Statutory History

R.I.G.L. 23-19 defines the programs that are required of the Corporation.

# The Budget

## Rhode Island Resource Recovery Corporation

	FY 2010 Audited	FY 2011 Audited	FY 2012 Projected	FY 2013 Proposed <sup>(1)</sup>
<b>Revenues:</b>	<b>\$48,782,579</b>	<b>\$51,922,371</b>	<b>\$43,348,000</b>	<b>\$43,228,000</b> <sup>(2)</sup>
<b>Expenses:</b>				
Personnel Costs	11,603,613	12,217,027	12,430,000	12,406,000
Contractual Services	9,217,409	10,126,469	14,958,000	10,183,000
Utilities	3,526,869	1,462,033	1,604,000	1,517,000
Repairs and Maintenance	3,219,118	2,598,193	3,394,000	3,244,000
Other Supplies and Expenses	2,512,318	2,928,284	2,668,000	2,324,000
Grants to Municipalities for Recycling	1,241,230	1,969,463	1,850,000	2,150,000
Bad Debts	414,493	953,908	120,000	120,000
Provision for landfill closure and post closure care and Superfund clean-up costs	648,601	156,975	(7,307,000)	4,588,000
Depreciation, depletion, and amortization	11,023,519	10,399,944	9,172,000	9,646,000
<b>Total Expenses</b>	<b>\$43,407,170</b>	<b>\$42,812,296</b>	<b>\$38,889,000</b>	<b>\$46,178,000</b> <sup>(2)</sup>
<b>Income (Loss) from Operations</b>	<b>\$5,375,409</b>	<b>\$9,110,075</b>	<b>\$4,459,000</b>	<b>(\$2,950,000)</b>
Transfers to State of Rhode Island	-	-	(3,500,000)	-
Interest and investment revenue	1,734,656	1,039,603	411,000	403,000
Loss on disposal of land held for sale	-	-	-	-
Interest expense	(722,791)	(685,155)	(638,000)	(596,000)
Other income (expense)	3,477,146	(10,563,600)	-	-
<b>Total nonoperating revenues (expenses)</b>	<b>\$4,489,011</b>	<b>(\$10,209,152)</b>	<b>(\$3,727,000)</b>	<b>(\$193,000)</b>
<b>Net Income (Loss) for the Year</b>	<b>\$9,864,420</b>	<b>(\$1,099,077)</b>	<b>\$732,000</b>	<b>(\$3,143,000)</b>
<b>Assets:</b>				
Cash, Cash Equivalents & Investments	11,431,210	15,290,887	(3,309,113)	(11,277,113)
Accounts Receivable, Net	7,741,395	9,822,163	9,822,163	9,822,163
Property, Plant and Equipment, Net	64,728,351	56,134,115	61,834,115	73,134,115
Restricted Investments	9,697,969	8,917,355	9,817,355	5,985,355
Assets Held in Trust	82,375,079	83,056,894	83,456,894	80,256,894
Other Assets	5,103,678	4,829,216	4,829,216	4,829,216
<b>Total Assets</b>	<b>\$181,077,682</b>	<b>\$178,050,630</b>	<b>\$166,450,630</b>	<b>\$162,750,630</b>
<b>Liabilities:</b>				
Accounts Payable	3,563,640	4,995,834	4,995,834	4,995,834
Other Current Liabilities	4,585,123	3,389,166	3,389,166	3,389,166
Bonds/ Notes Payable	13,750,855	13,191,191	12,291,191	11,291,191
Superfund Clean-up, Closure & Post-Closure Costs	90,038,154	88,433,606	76,933,606	77,133,606
<b>Total Liabilities</b>	<b>\$111,937,772</b>	<b>\$110,009,797</b>	<b>\$97,609,797</b>	<b>\$96,809,797</b>
<b>Retained Earnings</b>	<b>\$69,139,910</b>	<b>\$68,040,833</b>	<b>\$68,840,833</b>	<b>\$65,940,833</b>
<b>Total Liabilities and Retained Earnings</b>	<b>\$181,077,682</b>	<b>\$178,050,630</b>	<b>\$166,450,630</b>	<b>\$162,750,630</b>

(1) The FY 2013 proposed budget reflects management's FY 2013 budget projections made at the end of SFY 2011. They have not been approved by the Corporation's Board of Commissioners or the Office of the Governor under Executive Order 08-03. The final budget numbers will likely be significantly different than the preliminary numbers reflected above due to the uncertainties involving estimated volumes and market prices for recyclables.

(2) Due to the recent economic conditions, the Corporation has experienced a significant drop in volume and corresponding revenues compared to prior State fiscal years. Accordingly, the Corporation has made significant cuts in operating costs, and has deferred various capital outlays previously anticipated in fiscal years 2010 and 2011. The Corporation's anticipated capital needs for fiscal years 2012 and 2013 are \$17.2M and 21.9M respectively, but will be deferred if necessary cash resources are not available.

# The Agency

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## Rhode Island Student Loan Authority

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### Agency Mission

The Authority has helped over 200,000 students and parents since its state in 1981. As of September 30, 2011, the authority also holds \$603,009,378 in Federal Family Education Loans and \$405,628,065 in Rhode Island Family Education Loans. Under its enabling legislation, the Authority may issue bonds to further its corporate purpose. The bonds are not an obligation of the State of Rhode Island and are solely an obligation of the Authority. As of September 30, 2011 the Authority has \$640,870,000 in bonds outstanding. As of September 30, 2011 the Authority has a balance of \$347,074,584 under the US Department of Education's Conduit borrowing program.

RISLA also offers a need based scholarship named after former professor of education and state representative Paul Sherlock. RISLA has awarded a total of \$400,000 in need based scholarships to 200 students in the past eight years.

### Agency Description

The Authority, a public corporation, governmental agency, and public instrumentality of the state, was established pursuant to an act of the Legislature in May, 1981 for the purpose of providing a comprehensive system of financial aid for needy students. The Authority originates over \$25,000,000 per year of low cost state based education loans for students pursuant to its enabling Act under its Rhode Island Family Education Loan Program (RIFEL).

The Authority operates a free information service called the College Planning Center of Rhode Island (CPC). The CPC, staffed by experienced college financial aid and admission counselors, is open seven days a week during the peak financial aid season. The CPC operates out of four locations in Warwick, Bristol, Cumberland and Providence. The CPC is dedicated to increasing access to higher education through the several free services it provides. Its focus is to help provide parents and students with information on early awareness, college planning, admissions, and financial aid. It is a service that is used by over 10,000 Rhode Islanders each year. The CPC conducts financial aid nights at most high schools in Rhode Island and helps parents and students complete the Free Application for Federal Student Aid Form (FAFSA) and College Board Profile form. RISLA also started the Latino College Access Coalition which is a coalition of 17 business and community groups whose mission is to increase college access and completion for the fastest growing population group in the state.

### Statutory History

The authority was created in 1981 by Title 16 Chapter 62 of the Rhode Island General Laws. It is governed by a six-member board of directors, five of which are appointed by the Governor for staggered terms and the general treasurer (ex-officio).

# The Budget

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## Rhode Island Student Loan Authority

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Expenditures by Program</b>				
Student Loan Program	41,043,594	36,267,940	29,554,708	28,330,430
College Planning Center	573,817	570,547	691,987	691,987
Representative Paul Sherlock Scholarship Program	82,890	292,764	213,677	213,677
<b>Total Expenditures</b>	<b>\$41,700,301</b>	<b>\$37,131,251</b>	<b>\$30,460,372</b>	<b>\$29,236,094</b>
 <b>Expenditures by Category</b>				
Interest & Bond Expenses	24,025,470	21,484,271	19,524,777	18,158,043
Arbitrage Rebate Expense	(2,141,304)	(1,170,992)	(1,500,000)	(1,300,000)
Loan Servicing	6,949,382	6,756,844	4,154,016	4,029,396
Provision for Risk Share	4,174,467	3,369,958	3,346,978	3,346,978
Department of Education Loan fees	4,198,901	1,357,408	1,297,454	1,258,530
Repurchase Loan Origination Rights	820,000	1,845,000	-	-
Personnel	3,562,854	3,378,825	3,533,347	3,639,347
Depreciation	60,531	59,937	53,800	53,800
Representative Paul Sherlock Scholarship Program	50,000	50,000	50,000	50,000
<b>Total Expenditures</b>	<b>\$41,700,301</b>	<b>\$37,131,251</b>	<b>\$30,460,372</b>	<b>\$29,236,094</b>
 <b>Expenditures by Funds</b>				
Bond Indentures	41,617,411	36,838,487	30,246,695	29,022,417
Dedicated Revenue from Licensing	82,890	292,764	213,677	213,677
<b>Total Expenditures</b>	<b>\$41,700,301</b>	<b>\$37,131,251</b>	<b>\$30,460,372</b>	<b>\$29,236,094</b>



# The Agency

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## Rhode Island Turnpike and Bridge Authority

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### Agency Operations

The Rhode Island Turnpike and Bridge Authority was created in 1954 by the Rhode Island General Assembly as a body corporate and politic with powers to construct, acquire, maintain, and operate bridge projects as defined by law. The Authority was responsible for the construction of the Claiborne Pell Bridge (formerly the Newport Bridge) which was opened for traffic on June 28, 1969. The Turnpike and Bridge Authority is responsible for the operation and maintenance of the Pell Bridge between Newport and Jamestown, and the Mount Hope Bridge between Portsmouth and Bristol, structures that are integral to travel in the coastal area of Rhode Island and neighboring states.

On July 31, 2003 Taxable Refunding Revenue Bonds – Series 2003 were issued in the amount of \$35,650,000 to refund the outstanding 1997 Refunding Revenue Bonds. The maturity date of December 1, 2017 remains the same. At June 30, 2009, \$23,683,887 in principal remains to be paid. Principal and interest payments are made annually and semi-annually, respectively. The toll for the Mount Hope Bridge has been eliminated and the upkeep remains the responsibility of the Authority from proceeds of toll revenues calculated on the Claiborne Pell Bridge and interest earned on investments. Bond covenants provide for non-system projects to the extent that revenues in excess of the obligations of the system allow.

### Agency Objectives

To facilitate safe and efficient vehicular traffic over waters of the Mount Hope Bay and the East Passage of Narragansett Bay through the operation and maintenance of its two suspension bridges - the Claiborne Pell Bridge, built in 1969, and the Mount Hope Bridge, built in 1929.

### Statutory History

Title 24 Chapter 12 of the General Laws of Rhode Island established the organization and function of the Rhode Island Turnpike and Bridge Authority. In January 1997 the legislature passed article 36 amending the law adding certain provisions in section 24-12-9.

# The Budget

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## Rhode Island Turnpike and Bridge Authority

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	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended <sup>(2)</sup>
<b>Revenue</b>				
Tolls	13,500,555	18,900,000	18,942,000	18,100,000
Interest Income	800,000	800,125	800,125	700,000
Miscellaneous	12,000	12,000	12,000	10,000
<b>Total Revenue</b>	<b>14,312,555</b>	<b>19,712,125</b>	<b>19,754,125</b>	<b>18,810,000</b>
<b>Expenses</b>				
Salaries and Wages	2,806,494	2,923,110	2,923,110	3,192,537
Bond Interest	1,089,446	3,275,205	3,275,204	3,171,861
Maintenance & Supplies	457,500	617,550	763,750	650,000
Insurance	979,770	929,425	948,000	765,000
Professional	264,000	410,750	351,375	437,000
All Other	1,249,118	1,657,609	1,465,250	2,018,667
<b>Total Expenses</b>	<b>6,846,328</b>	<b>9,813,649</b>	<b>9,726,689</b>	<b>10,235,065</b>
<b>Debt Service and Reserves</b>				
Bond Principal Account	2,180,000	2,370,000	2,475,000	2,475,000
Renewal and Replacement Fund <sup>(1)</sup>	4,433,723	6,500,000	7,552,436	6,099,935
Insurance Reserve Fund	-	-	-	-
General Fund	-	-	-	-
<b>Total Funding</b>	<b>6,613,723</b>	<b>8,870,000</b>	<b>10,027,436</b>	<b>8,574,935</b>
<b>Total Expenses and Funding</b>	<b>13,460,051</b>	<b>18,683,649</b>	<b>19,754,125</b>	<b>18,810,000</b>
<b>Change in Net Assets</b>	<b>852,504</b>	<b>1,028,476</b>	-	-

<sup>(1)</sup> The Renewal and Replacement Fund is used for capital improvements included in the ten-year plan approved by the Board of Trustees and certain maintenance costs of the Authority's two bridges and related buildings and grounds. Amounts in this fund are pledged to bondholders.

<sup>(2)</sup> The information presented above was provided by the Authority. Fiscal 2013 data has not been approved by the Authority's management or Board of Directors. The final budget numbers may be significantly different than the preliminary numbers reflected herein.

# The Agency

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## Rhode Island Water Resources Board Corporate

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### Agency Operations

The Rhode Island Water Resources Board Corporate (RIWRB Corporate) was established by the General Assembly in 1970 as an agency with a distinct legal existence from the state. The RIWRB Corporate establishes water supply facilities and leases them to the cities, towns, districts and other municipal, quasi-municipal, private corporations and water supply companies. The RIWRB Corporate may contract for use of the facilities of such persons, or sell to those persons, the water derived from, carried by, or processed in the facilities. The RIWRB Corporate administers the Public Drinking Water Protection Program, which protects the quality and safety of public drinking water supplies. The RIWRB Corporate operates two funds: the Providence Project Fund has financed water quality/quantity improvement projects for the Providence Water Supply Board; the Water Quality Protection Fund secures revenue bonds, the proceeds from which are disbursed to fund contributors for the purposes of protecting water supplies and associated watersheds, wells and wellheads.

### Agency Objective

Protect the quality and safety of the public drinking water supply by providing revenue bonding for the acquisition of properties surrounding watersheds and water supply facilities for the state and municipal water suppliers.

### Statutory History

The Rhode Island Water Resources Board Corporate was established under R.I.G.L. 46-15.1 in 1970.

# The Budget

## Rhode Island Water Resources Board Corporate

For the Fiscal Years 2011 through 2013<sup>(1)</sup>

	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Public Drinking Water Protect Revenue Bond Services</b>				
Water Surcharge <sup>(2)</sup>	964,642	1,000,000	1,000,000	1,000,000
Interest Income	48,584	48,500	48,500	48,500
<b>Total</b>	<b>1,013,226</b>	<b>1,048,500</b>	<b>1,048,500</b>	<b>1,048,500</b>
<b>Expenditures by Funds</b>				
Personnel/Purchased Services <sup>(3)</sup>	30,742	26,100	34,350	24,350
Capital Projects Debt Service	1,056,418	1,037,650	1,040,281	1,035,000
<b>Subtotal: Water Quality Protection Charge</b>	<b>\$1,087,160</b>	<b>\$1,063,750</b>	<b>\$1,074,631</b>	<b>\$1,059,350</b>
<b>Other Funds</b>				
Capital Debt Service 1997 Rev Bond <sup>(3)</sup>	1,014,255	-	-	-
<b>Subtotal: Water Quality</b>	<b>\$1,014,255</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Total Expenditures</b>	<b>\$2,101,415</b>	<b>\$1,063,750</b>	<b>\$1,074,631</b>	<b>\$1,059,350</b>

<sup>(1)</sup> Principal payments on debt are considered expenditures for budgetary purposes only, but are not considered an expenditure for financial statement purposes. The Board's financial consultant prepared an analysis of revenues and expenditures and cash balances in December 2010. The FY 2010 financial statement surplus was \$745,642. Projected surpluses for FY 2011, 2012, and 2013 are \$825,285, \$859,404, and \$894,685 respectively. The FY 10 cash balance was \$1,932,698. Projected balances for FY 2011, 2012, and 2013 are \$1,917,448, \$1,901,317 and \$1,890,467 respectively.

Surcharge collections for FY 2010 are as listed in the audited financial statements, p. 19. Future revenues will continue to fluctuate due to weather, economic factors, and/or conservation and demand management.

<sup>(2)</sup> For FY 2009-2013 personnel services are provided by the Water Resources Board staff. Cash expenditures consist of purchased financial and legal services.

<sup>(3)</sup> Paid directly by Providence Water Supply Board.



# **Component Units**



# The Agency

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## The College Crusade of Rhode Island

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### Agency Mission

The College Crusade of Rhode Island's mission is to increase educational and career success for youth in Rhode Island's low income communities. We help Crusaders get ready to succeed in college by providing caring advisors and sustained academic and social support from grades 5-12, combined with scholarship incentives. We advocate for expanded opportunities for pre-K-16 success while helping Crusaders to develop as responsible, productive members of the community.

### Agency Description

The College Crusade of Rhode Island (The Crusade) offers a range of age-appropriate supports for students as they progress from grades 6-12. Through its direct services and grant-making programs, it partners with over 40 schools and community agencies to serve Crusaders – with special emphasis on youth from the four RI cities and towns with the greatest numbers of low-income families. Currently there are approximately 3,700 Crusaders in grades 6-12. We have now graduated eleven cohorts of Crusaders – those who enrolled in 1991-2001. Through fiscal year 2011, we have provided scholarships to approximately 3,100 Crusaders valued at \$24 million. The Crusade has a \$6.0 million scholarship fund as well as pledges of donated scholarships from 14 colleges, universities and trade schools. The Crusade is supported by an annual Community Service Grant from the State of Rhode Island and by federal and private grants and gifts from individuals.

### Statutory History

The Crusade was founded as an independent 501(c)(3) organization in November of 1989 by the Board of Governors for Higher Education as a long-range strategy to increase high school graduation and college going rates for low-income students. It is governed by up to a 19-member Board of Directors. Legislation enacted in 1990 (see R.I.G.L. 16-70-2) established a mechanism for state support of the Crusade as a line item in the Office of Higher Education's budget. In FY 2008 the state support changed to a Community Service Grant within the Office of Higher Education's budget.



# The Budget

## The College Crusade of Rhode Island

	FY 2010 Actual	FY 2011 Actual	FY 2012 Revised	FY 2013 Recommended
<b>Carry Forward Funds</b>	168,292	215,465	32,885	8,365
<b>Scholarship Fund/Cash &amp; Pledges</b>	324,203	450,000	475,000	475,000
<b>Support &amp; Revenue</b>				
State Appropriation/BOG Support	529,406	528,204	484,022	396,153
Private Donations/Miscellaneous Grants	418,942	566,433	650,000	359,134
Special Events	-	-	-	-
Public/Private In-Kind Contributions	601,700	624,707	530,000	530,000
Federal Grant Funds	2,462,723	2,641,916	3,172,457	3,097,787
Carnegie Foundation Grant	74,213	-	-	-
Investment Income	567	364	500	500
Prior Year Grant Adjustments	-	-	-	-
<b>Subtotal</b>	<b>\$4,087,551</b>	<b>\$4,361,624</b>	<b>\$4,836,979</b>	<b>\$4,383,574</b>
<b>Total Resources</b>	<b>\$4,580,046</b>	<b>\$5,027,089</b>	<b>\$5,344,864</b>	<b>\$4,866,939</b>
<b>Expenses</b>				
Personnel Cost	2,139,037	2,445,587	2,599,493	2,677,478
Special Services	75,790	85,611	270,619	150,568
Special Events	3,311	2,690	6,700	6,700
Program Support Services	1,017,973	1,016,546	1,232,629	1,030,348
Operating Expenses	336,236	356,610	352,058	369,661
Cost of Scholarships	377,784	524,823	475,000	475,000
<b>Total Expenses</b>	<b>\$3,950,131</b>	<b>\$4,431,867</b>	<b>\$4,936,499</b>	<b>\$4,709,755</b>
Transfer to Scholarship Fund	414,450	562,337	400,000	150,980
<b>Closing Fund Balance</b>	<b>\$215,465</b>	<b>32,885</b>	<b>8,365</b>	<b>6,204</b>

\*The information presented for FY 2013 is preliminary and has not been reviewed nor approved by the College Crusade of Rhode Island Board of Directors.