

State of Rhode Island and Providence Plantations

Budget



Fiscal Year 2014

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

Lincoln D. Chafee, Governor

Agency

Rhode Island Ethics Commission

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.

The Budget

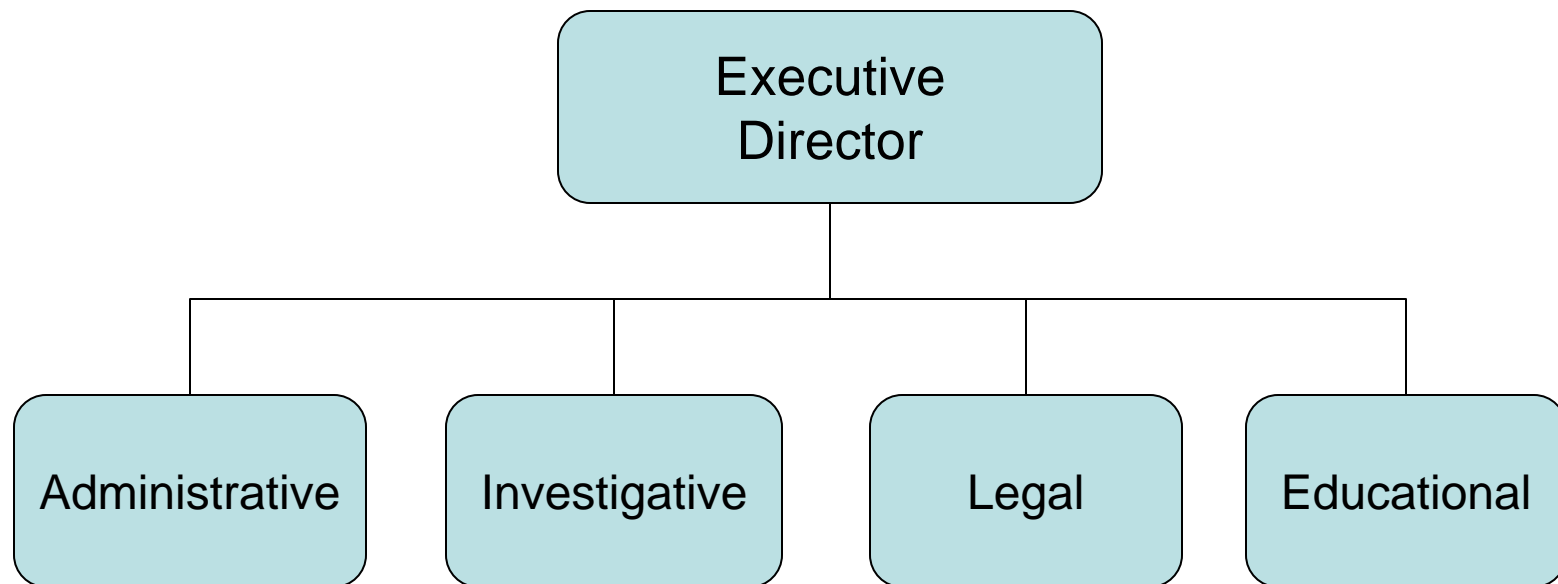
Rhode Island Ethics Commission

RI Ethics Commission

	2011 Audited	2012 Audited	2013 Enacted	2013 Revised	2014 Recommend
Expenditures By Subprogram					
Operations	1,419,805	1,410,813	1,557,881	1,550,853	1,577,204
Total Expenditures	\$1,419,805	\$1,410,813	\$1,557,881	\$1,550,853	\$1,577,204
Expenditures By Object					
Personnel	1,259,598	1,249,348	1,380,008	1,370,746	1,408,781
Operating Supplies and Expenses	152,713	155,716	170,755	172,989	162,305
Subtotal: Operating Expenditures	1,412,311	1,405,064	1,550,763	1,543,735	1,571,086
Capital Purchases and Equipment	7,494	5,749	7,118	7,118	6,118
Total Expenditures	\$1,419,805	\$1,410,813	\$1,557,881	\$1,550,853	\$1,577,204
Expenditures By Funds					
General Revenue	1,419,805	1,410,813	1,557,881	1,550,853	1,577,204
Total Expenditures	\$1,419,805	\$1,410,813	\$1,557,881	\$1,550,853	\$1,577,204

The Agency

Rhode Island Ethics Commission



Personnel

Rhode Island Ethics Commission

RI Ethics Commission

	Grade	FY 2013		FY 2014	
		FTE	Cost	FTE	Cost
Unclassified					
EXECUTIVE DIRECTOR/CHIEF PROSECUTOR	00845A	1.0	130,324	1.0	130,324
CHF OF THE OFF OF INVESTIG	00836AA	1.0	101,197	1.0	101,197
STAFF ATTORNEY V	00836A	1.0	93,762	1.0	93,762
STAFF ATTORNEY IV	00834A	1.0	87,519	1.0	87,519
SPECIAL PROJECTS COORDINATOR	00829A	1.0	79,063	1.0	79,063
SR CONFIDENTIAL INVESTIGATOR	00032A	1.0	77,664	1.0	77,664
STAFF ATTORNEY II	00830A	1.0	66,747	1.0	69,632
STAFF ATTORNEY I	00828A	1.0	60,731	1.0	63,323
ADMINISTRATIVE OFFICER	00322A	1.0	54,941	1.0	54,941
INVESTIGATOR I	05423A	1.0	53,869	1.0	54,459
ADMINISTRATIVE ASSISTANT	05316A	1.0	42,623	1.0	42,623
RESEARCH AIDE	08610A	1.0	36,516	1.0	36,691
Subtotal		12.0	\$884,956	12.0	\$891,198
Total Salaries		12.0	\$884,956	12.0	\$891,198
Benefits					
Payroll Accrual			4,967		5,102
FICA			66,649		67,337
Retiree Health			60,708		68,061
Health Benefits			91,247		97,830
Retirement			196,285		214,334
Subtotal			\$419,856		\$452,664
Total Salaries and Benefits		12.0	\$1,304,812	12.0	\$1,343,862
Cost Per FTE Position (excluding Statewide Benefit Assessment)			\$108,734		\$111,989
Statewide Benefit Assessment			\$33,184		\$33,419
Payroll Costs		12.0	\$1,337,996	12.0	\$1,377,281
Purchased Services					
Information Technology			8,250		10,000
Clerical and Temporary Services			4,500		4,500
Legal Services			20,000		17,000
Subtotal			\$32,750		\$31,500
Total Personnel		12.0	\$1,370,746	12.0	\$1,408,781
Distribution By Source Of Funds					
General Revenue		12.0	\$1,370,746	12.0	\$1,408,781
Total All Funds		12.0	\$1,370,746	12.0	\$1,408,781

Performance Measures

Rhode Island Ethics Commission RI Ethics Commission

Online Filing of Financial Disclosure

The Ethics Commission is Constitutionally mandated to adopt provisions relating to financial disclosure of public officials. Approximately 4,000 elected and appointed public officials, candidates for elective office and some public employees file annual financial statements with the Ethics Commission. Such statements are available for public inspection. The Ethics Commission developed an online financial disclosure filing system, which benefits both the filer and the Ethics Commission through cost savings, ease of filing and greater efficiency. Online filing began in 2012 for the 2011 financial disclosure forms. Filers may choose to either file online or to continue filing a hard copy form. The figures below represent the percentage of financial disclosures that were submitted online. [Performance data and targets are provided by calendar year.]

	2011	2012	2013	2014
Target	N/A	N/A	66%	79%
Actual	N/A	58%	--	--

Ethics Education Training Attendance

The Ethics Commission is statutorily authorized to educate public officials, employees and citizens about the State Code of Ethics. This education occurs in a variety of ways, including through the Commission's website and educational publications, as well as via a public contact system whereby one member of the Commission staff is always on call to speak with members of the public having questions or concerns. The primary method of education is seminars, trainings and workshops provided to public officials, employees and members of the public. Such sessions vary in duration and content depending upon the needs and goals of the agency or group receiving the training. The figures below represent the number of ethics education training attendees. [Performance data and targets are provided by State fiscal year.]

	2011	2012	2013	2014
Target	N/A	N/A	1,650	1,650
Actual	1,648	1,627	--	--

Timeliness of Response to Access to Public Records Act Requests

The Ethics Commission is the repository for various public documents filed by, and concerning, public officials and employees. Such documents include yearly financial statements filed by approximately 4,000 public officials and candidates annually, conflict of interest statements ("recusal forms") filed by persons upon recusal, advisory opinions and request letters and complaint materials. Public access to these documents is crucial to fostering and maintaining openness and accountability in public service. RI's Access to Public Records Act (APRA) requires that public documents be made available within 10 days of a request, unless an extension of time is necessary. Because of the importance of honoring these requests in a timely fashion, the Ethics Commission has committed to completing the majority of requests within a single business day. Records are made available electronically in most cases to avoid any cost to the person making the request. This measure represents the percentage of APRA requests completed within one day. [Performance data and targets are provided by State fiscal year.]

	2011	2012	2013	2014
Target	N/A	N/A	80%	85%
Actual	N/A	75%	--	--