

State of Rhode Island and Providence Plantations

Budget



Fiscal Year 2016

Volume I – General Government and Quasi-Public Agencies

Gina M. Raimondo, 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 independent, non-partisan Rhode Island Ethics Commission was established pursuant to an amendment to the Rhode Island Constitution, approved by the voters on November 4, 1986. The Commission's first members were appointed on July 25, 1987, 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 4,500 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.

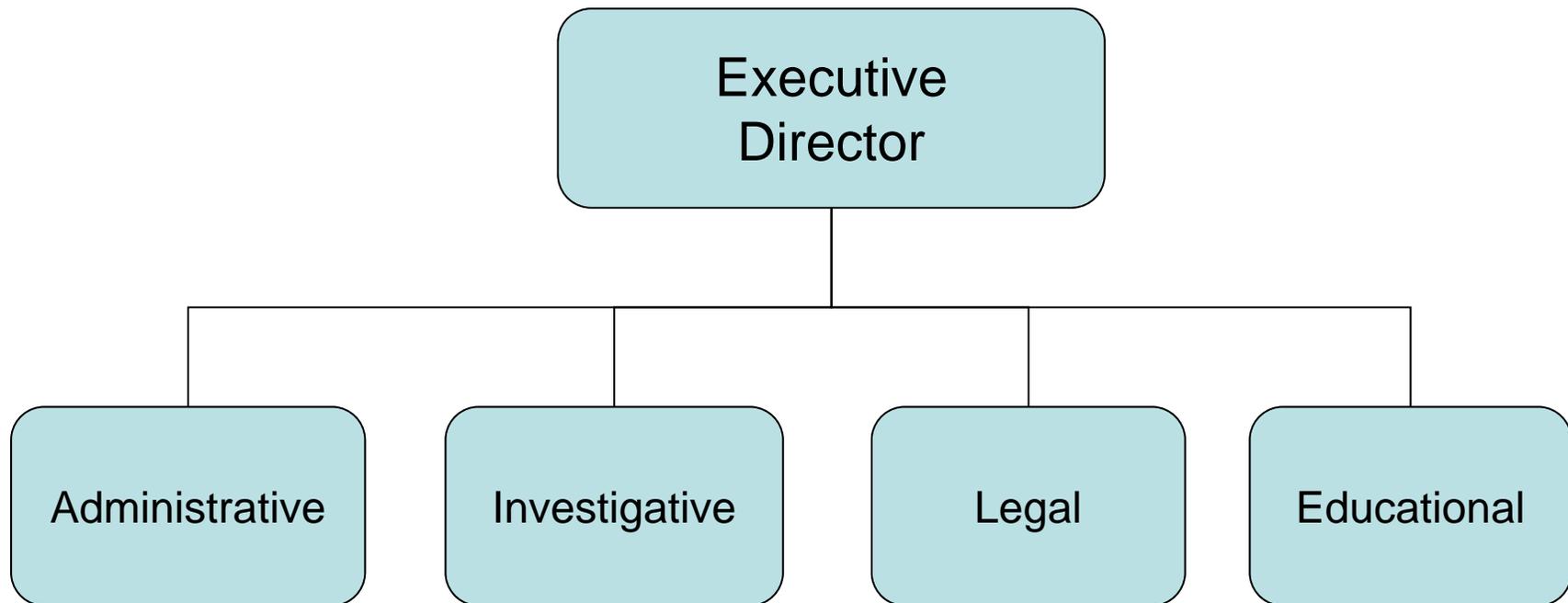
Budget

Rhode Island Ethics Commission

	FY 2013 Audited	FY 2014 Audited	FY 2015 Enacted	FY 2015 Revised	FY 2016 Recommend
Expenditures By Program					
RI Ethics Commission	1,500,568	1,541,741	1,581,205	1,618,883	1,644,876
Total Expenditures	\$1,500,568	\$1,541,741	\$1,581,205	\$1,618,883	\$1,644,876
Expenditures By Object					
Personnel	1,331,270	1,378,937	1,409,575	1,429,913	1,463,149
Operating Supplies and Expenses	154,157	156,539	165,512	174,852	175,609
Subtotal: Operating Expenditures	1,485,427	1,535,476	1,575,087	1,604,765	1,638,758
Capital Purchases and Equipment	15,141	6,265	6,118	14,118	6,118
Total Expenditures	\$1,500,568	\$1,541,741	\$1,581,205	\$1,618,883	\$1,644,876
Expenditures By Funds					
General Revenue	1,500,568	1,541,741	1,581,205	1,618,883	1,644,876
Total Expenditures	\$1,500,568	\$1,541,741	\$1,581,205	\$1,618,883	\$1,644,876
FTE Authorization	12.0	12.0	12.0	12.0	12.0

The Agency

Rhode Island Ethics Commission



Personnel

Rhode Island Ethics Commission

RI Ethics Commission

	Grade	FY 2015		FY 2016	
		FTE	Cost	FTE	Cost
Unclassified					
EXECUTIVE DIRECTOR/CHIEF PROSECUTOR	00845A	1.0	134,873	1.0	137,570
CHIEF OF THE OFFICE OF INVESTIGATIONS	00836A	1.0	104,619	1.0	106,648
STAFF ATTORNEY V	00836A	1.0	97,035	1.0	98,976
STAFF ATTORNEY IV	00834A	1.0	90,574	1.0	92,386
SPECIAL PROJECTS COORDINATOR	00829A	1.0	81,823	1.0	83,460
SENIOR CONFIDENTIAL INVESTIGATOR	00832A ¹	1.0	82,975	1.0	81,983
STAFF ATTORNEY I	00828A	1.0	65,533	1.0	66,844
STAFF ATTORNEY II	00830A	1.0	63,472	1.0	67,109
ADMINISTRATIVE OFFICER	00822A	1.0	56,858	1.0	57,996
INVESTIGATOR I	00823A	1.0	56,360	1.0	57,487
ADMINISTRATIVE ASSISTANT	00816A	1.0	44,111	1.0	44,993
RESEARCH AIDE	00810A	1.0	34,585	1.0	35,877
Subtotal		12.0	\$912,818	12.0	\$931,329
Total Salaries		12.0	\$912,818	12.0	\$931,329
Benefits					
Payroll Accrual			5,203		5,310
FICA			68,737		70,412
Retiree Health			61,438		55,882
Health Benefits			96,120		105,686
Retirement			221,457		229,481
Subtotal			\$452,955		\$466,771
Total Salaries and Benefits		12.0	\$1,365,773	12.0	\$1,398,100
Cost Per FTE Position (Excluding Temporary and Seasonal)			\$113,814		\$116,508
Statewide Benefit Assessment			\$39,140		\$40,049
Payroll Costs		12.0	\$1,404,913	12.0	\$1,438,149
Purchased Services					
Information Technology			9,000		9,000
Clerical and Temporary Services			1,900		1,900
Legal Services			14,000		14,000
Other Contracts			100		100
Subtotal			\$25,000		\$25,000
Total Personnel		12.0	\$1,429,913	12.0	\$1,463,149
Distribution By Source Of Funds					
General Revenue		12.0	\$1,429,913	12.0	\$1,463,149
Total All Funds		12.0	\$1,429,913	12.0	\$1,463,149

¹ Individual temporarily served as Chief of the Office of Investigations between 9/15/14 and 11/29/14 under the three-day rule.

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. In 2012, the Ethics Commission implemented an online financial disclosure filing system, which benefits both the filer and the Ethics Commission through cost savings, ease of filing, and greater efficiency. Filers may choose either to file online or to continue filing a hard copy form. The figures below represent the percentage of financial disclosures that were submitted online.

	2012	2013	2014	2015	2016
Target	--	66%	70%	75%	75%
Actual	57.8%	67.2%	69%	--	--

Performance for this measure is reported by calendar year.

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 through the Commission's website and educational publications, as well as via a public contact system whereby one member of the Commission staff is on call to speak with members of the public with 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.

	2012	2013	2014	2015	2016
Target	--	1,650	1,650	1,650	1,650
Actual	1,627	1,156	1,512	--	--

Performance for this measure is reported by state fiscal year.

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, conflict of interest statements ("recusal forms"), 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 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.

	2012	2013	2014	2015	2016
Target	--	80%	85%	85%	85%
Actual	75%	85.3%	97.5%	--	--

Performance for this measure is reported by state fiscal year.
