



**Gina M. Raimondo,
Governor**

**State of Rhode Island and
Providence Plantations
Fiscal Year 2018
Budget**

**Volume I – General Government
and Quasi-Public Agencies**

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.

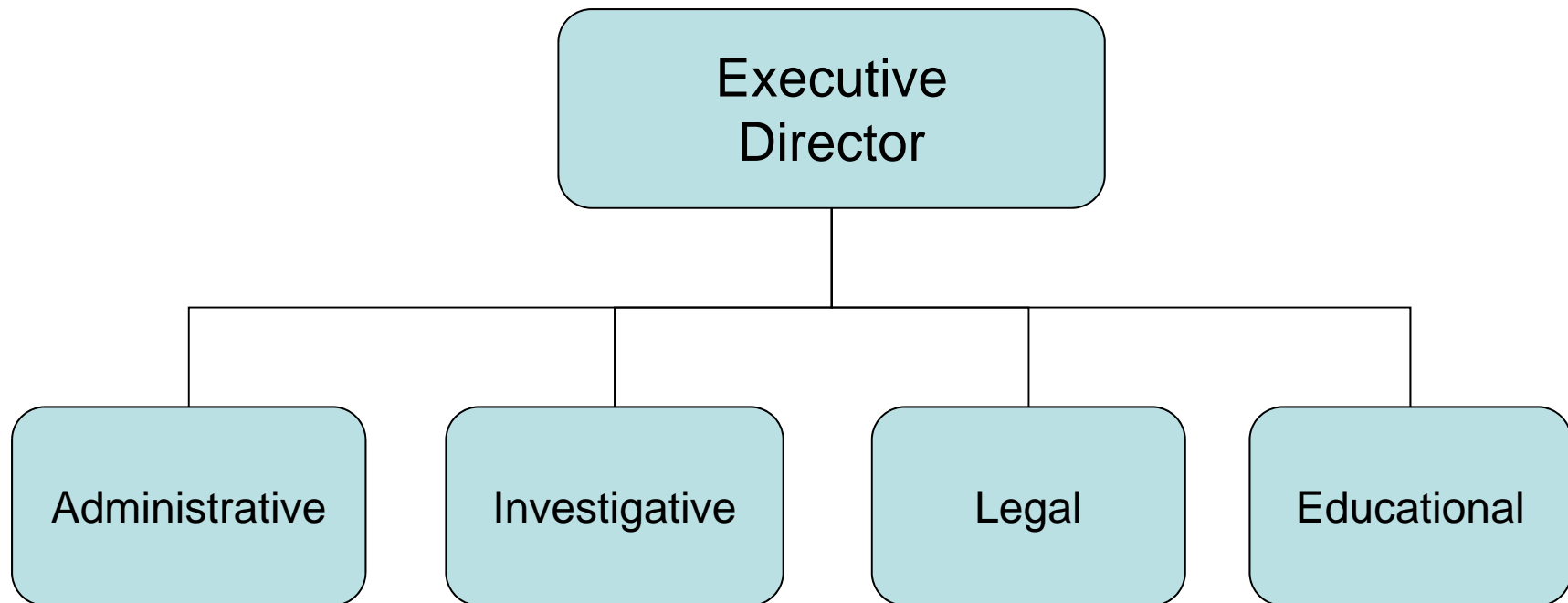
Budget

Rhode Island Ethics Commission

| | FY 2015 Audited | FY 2016 Audited | FY 2017 Enacted | FY 2017 Revised | FY 2018 Recommend |
|---|--------------------|--------------------|--------------------|--------------------|----------------------|
| Expenditures By Program | | | | | |
| RI Ethics Commission | 1,579,038 | 1,546,331 | 1,653,383 | 1,631,610 | 1,665,873 |
| Total Expenditures | \$1,579,038 | \$1,546,331 | \$1,653,383 | \$1,631,610 | \$1,665,873 |
| Expenditures By Object | | | | | |
| Personnel | 1,415,091 | 1,388,787 | 1,479,796 | 1,457,523 | 1,489,160 |
| Operating Supplies and Expenses | 152,916 | 154,218 | 169,261 | 169,261 | 172,387 |
| Subtotal: Operating Expenditures | 1,568,007 | 1,543,005 | 1,649,057 | 1,626,784 | 1,661,547 |
| Capital Purchases and Equipment | 11,031 | 3,326 | 4,326 | 4,826 | 4,326 |
| Total Expenditures | \$1,579,038 | \$1,546,331 | \$1,653,383 | \$1,631,610 | \$1,665,873 |
| Expenditures By Funds | | | | | |
| General Revenue | 1,579,038 | 1,546,331 | 1,653,383 | 1,631,610 | 1,665,873 |
| Total Expenditures | \$1,579,038 | \$1,546,331 | \$1,653,383 | \$1,631,610 | \$1,665,873 |
| 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 2017 | | FY 2018 | |
|---|---------------------|-------------|--------------------|-------------|--------------------|
| | | FTE | Cost | FTE | Cost |
| Unclassified | | | | | |
| EXECUTIVE DIRECTOR/CHIEF PROSECUTOR | 00845A | 1.0 | 138,301 | 1.0 | 138,301 |
| CHIEF OF THE OFFICE OF INVESTIGATIONS | 00836A | 1.0 | 107,197 | 1.0 | 107,197 |
| STAFF ATTORNEY V | 00836A | 1.0 | 99,502 | 1.0 | 99,502 |
| STAFF ATTORNEY IV | 00834A | 1.0 | 92,876 | 1.0 | 92,876 |
| SENIOR CONFIDENTIAL INVESTIGATOR | 00832A | 1.0 | 82,418 | 1.0 | 82,418 |
| STAFF ATTORNEY II | 00830A ² | 2.0 | 135,726 | 2.0 | 139,921 |
| SPECIAL PROJECTS COORDINATOR | 00829A | 1.0 | 66,919 | 1.0 | 69,361 |
| COORDINATOR, SPECIAL PROJECTS | 00827A ¹ | 1.0 | 62,704 | 1.0 | 65,872 |
| INVESTIGATOR I | 00823A | 1.0 | 57,792 | 1.0 | 57,792 |
| ADMINISTRATIVE ASSISTANT | 00816A | 1.0 | 39,692 | 1.0 | 40,567 |
| RESEARCH AIDE | 00810A | 1.0 | 34,730 | 1.0 | 35,333 |
| Subtotal | | 12.0 | \$917,857 | 12.0 | \$929,140 |
| Turnover | | - | (11,559) | - | - |
| Subtotal | | - | (\$11,559) | - | - |
| Total Salaries | | 12.0 | \$906,298 | 12.0 | \$929,140 |
| Benefits | | | | | |
| Payroll Accrual | | | 5,249 | | 5,370 |
| FICA | | | 68,165 | | 70,035 |
| Retiree Health | | | 54,105 | | 55,562 |
| Health Benefits | | | 107,393 | | 114,575 |
| Retirement | | | 240,589 | | 243,454 |
| Subtotal | | | \$475,501 | | \$488,996 |
| Total Salaries and Benefits | | 12.0 | \$1,381,799 | 12.0 | \$1,418,136 |
| Cost Per FTE Position (Excluding Temporary and Seasonal) | | | \$115,150 | | \$118,178 |
| Statewide Benefit Assessment | | | \$40,724 | | \$39,023 |
| Payroll Costs | | 12.0 | \$1,422,523 | 12.0 | \$1,457,159 |
| Purchased Services | | | | | |
| Information Technology | | | 9,000 | | 6,000 |
| Clerical and Temporary Services | | | 5,500 | | 5,000 |
| Legal Services | | | 20,170 | | 20,726 |
| Other Contracts | | | 330 | | 275 |
| Subtotal | | | \$35,000 | | \$32,001 |
| Total Personnel | | 12.0 | \$1,457,523 | 12.0 | \$1,489,160 |
| Distribution By Source Of Funds | | | | | |
| General Revenue | | 12.0 | \$1,457,523 | 12.0 | \$1,489,160 |
| Total All Funds | | 12.0 | \$1,457,523 | 12.0 | \$1,489,160 |

Personnel

Rhode Island Ethics Commission

RI Ethics Commission

| | Grade | FY 2017 | | FY 2018 | |
|--|-------|---------|------|---------|------|
| | | FTE | Cost | FTE | Cost |
| <i>1 Former Administrative Officer position abolished 9/4/16 and replaced by Coordinator, Special Projects, position. No resulting personnel turnover as new hire was agency incumbent.</i> | | | | | |
| <i>2 On 8/28/16, Staff Attorney I position abolished upon hiring of second Staff Attorney II position. Agency has 2 Staff Attorney II positions as of that date. Newly created position vacant for 4.5 pp of FY 2017. Salary savings calculated as turnover.</i> | | | | | |

Performance Measures

Rhode Island 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 Commission implemented an online financial disclosure filing system, which benefits both the filer and the 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 submitted online. [Note: 2016 data is as of 9/9/2016.]

| | 2014 | 2015 | 2016 | 2017 | 2018 |
|---------------|-------|-------|-------|------|------|
| Target | 70% | 75% | 80% | 80% | 85% |
| Actual | 68.9% | 75.1% | 79.3% | -- | -- |

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 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. Sessions vary in duration and content depending upon the needs and goals of the agency or group receiving training. The figures below represent the number of ethics education training attendees.

| | 2014 | 2015 | 2016 | 2017 | 2018 |
|---------------|-------|-------|-------|-------|-------|
| Target | 1,650 | 1,650 | 1,650 | 1,500 | 1,500 |
| Actual | 1,512 | 1,269 | 1,016 | -- | -- |

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 business 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. The figures below represent the percentage of APRA requests completed within one business day.

| | 2014 | 2015 | 2016 | 2017 | 2018 |
|---------------|-------|-------|-------|------|------|
| Target | 85% | 85% | 85% | 85% | 85% |
| Actual | 97.5% | 93.6% | 95.5% | -- | -- |

Performance for this measure is reported by state fiscal year.

Agency

Executive Department

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 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 Legislative Affairs Office, Legal Office, Communications Office, and Constituent Affairs Office.

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 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 functions of the exchange has been transferred to the Department of Administration.

The administration of Governor Gina M. Raimondo began on January 6, 2015.