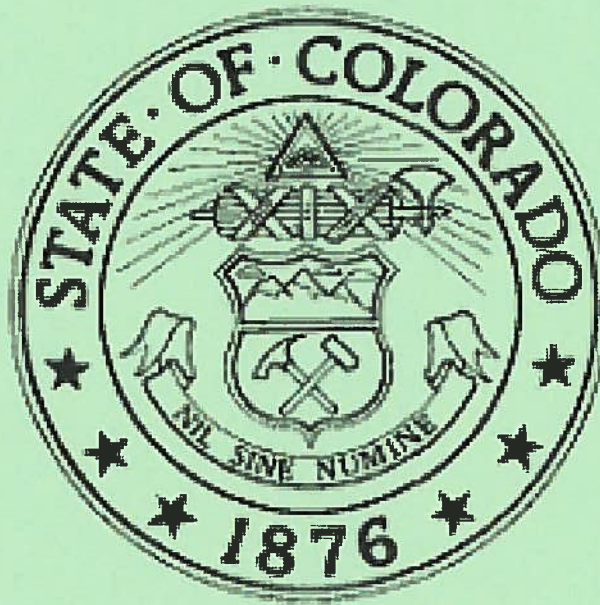


COLORADO INDEPENDENT ETHICS COMMISSION  
FY 2016 STRATEGIC PLAN AND BUDGET REQUEST



Rosemary Marshall, Chair  
Matt Smith, Vice Chair

Amy DeVan, Executive Director



## **Independent Ethics Commission Strategic Plan and Budget Request FY 2016**

### **I. Mission Statement**

The mission of the Colorado Independent Ethics Commission is to encourage and enforce ethical conduct by public officials and employees, and to maintain and improve the public's confidence in the integrity of Colorado governments.

### **II. Agency Overview:**

The Colorado Independent Ethics Commission ("Commission") was created in 2006 pursuant to a voter-initiated amendment to the Colorado Constitution. *See*, Article XXIX. The General Assembly thereafter passed enabling legislation, C.R.S. §24-18.5-101 *et seq.* The Commission held its first meeting in December, 2007, promulgated procedural rules in July 2008, and issued its first opinion in October 2008. The Commission revised its rules in April 2011.

Pursuant to the Constitution and the enabling statute, the Commission is tasked to "hear complaints, issue findings and assess penalties, and also to issue advisory opinions on ethics issues arising under article XXIX and other standards of conduct and reporting requirements as provided by law." Article XXIX, section 5(1). The Commission also issues letter rulings, which are provided for in C.R.S. §24-18.5-101(4)(a) and (b). In addition, the Commission "shall conduct an investigation, hold a public hearing, and render findings on each non frivolous complaint pursuant to written rules adopted by the Commission." Article XXIX, section 5(c).

The Commission consists of five members appointed as follows, one each by the Governor, the Speaker of the House, the President of the Senate, the Chief Justice of the Supreme Court, and one selected by the other four Commissioners. The fifth member must be a local government employee or official. No more than two members of the Commission may be from the same political party. The current members of the Commission are: Rosemary Marshall, chair; Matt Smith, vice-chair, Bob Bacon, William Leone, and Bill Pinkham.

The Commission has jurisdiction over all state legislative branch elected officials and employees, all state executive branch elected officials and employees, and employees and elected officials of all counties and municipalities in the state, unless they are employed by a home-rule county or municipality which has promulgated an ethics code or ordinance.

### **III. Evaluation of Performance**

The Commission is an independent agency within the Judicial Department. The Supreme Court Administrator's Office ("SCAO) provides administrative functions, including payroll and

employment services, budget assistance, accounting services, and computer support at no cost to the Commission. The Commission's offices are located on the second floor of the Ralph Carr Justice Center ("Carr Building") with the Office of Attorney Regulation Counsel, the Commission on Judicial Performance and the Commission on Judicial Discipline. The Commission's lease for space is appropriated through SCAO.

The Commission staff consists of two employees. The Commission currently has one employee: the Executive Director, with an open vacancy in the Assistant to the Director position. The Executive Director position was filled in September 2014. The Assistant to the Director position has been open since mid-September 2014. It is anticipated the position will be filled before the end of 2014. Since its inception the Commission has issued 85 opinions, processed 73 complaints (held 11 public hearings on complaints) and twice promulgated and revised its Procedural Rules. The Commission has also searched for and appointed a local government representative (the "Fifth Commissioner") on two occasions. It has responded to 71 requests under the Colorado Open Records Act, C.R.S. §24-72-101 *et seq.* ("CORA").

While the the Commission continues to timely respond to matters that are complete and presented for resolution, the work load of the Commission has grown substantially through 2013 and the beginning of 2014 requiring a steady number of meetings for this volunteer Commission. In the years since 2008, the Commission has averaged 20 meetings per year. Most notably, the number of Complaints, including high profile ethical issues filed against statewide elected officials, have dominated the meeting schedule of the Commission and have required increased legal assistance to the Commission.

A chart summarizing the Commission activities since 2008 is attached as Appendix A.

#### **IV. Other Activities:**

The Commission remains committed to an outreach and training program for all covered individuals under its jurisdiction. The Commission issued a Handbook in 2011, and re-issued a substantially revised version in 2013. The revised Handbook has been provided to all of the members of the General Assembly, employees of state agencies, and county and municipal employees and officials through Colorado Counties, Inc. and the Colorado Municipal League. The Handbook is also available on the Commission's web site.

The Commission believes that training of covered individuals remains the most efficient and cost-effective way to ensure that public officials and employees understand and appreciate the ethical obligations required by their service.

#### **IV. Five Year Strategic Plan**

The Commission's overall goal is to continue to perform its duties under the Constitution and other standards of conduct as swiftly and as judiciously as possible. The Commission's five-year objectives are as follows:

- Continue to respond to advisory opinions in a timely manner and issue general guidance to covered individuals through position statements.
- Continue to process frivolous and non-frivolous complaints in a quickly and efficiently.
- Re-establish and expand outreach and education so that all covered individuals receive ethics training soon after their initial employment and on a regular basis thereafter, fostering an ethical culture in government that reduces the work load of the Commission.
- Reduce the burden on citizens and employees who pursue complaints and/or respond to complaints without the assistance of counsel.

These issues/goals are described more fully below:

##### **A. Respond to Requests for Advisory Opinions in a Timely Manner and Provide Guidance to Covered Individuals Through Position Statements:**

The Commission has streamlined its process for issuing advisory opinions and most requests are resolved in 30 to 60 days. Delays do occur, but this generally happens either when the request submitted does not contain sufficient information to answer the request, or because the request concerns complex or novel issues. The Commission will continue to respond to requests in a timely manner. The Commission also would like to be more proactive in issuing position statements that may help address common issues affecting public employees and officials.

In calendar year 2013, the Commission resolved 80% of its advisory requests within 60 days of the request being complete. A request is considered complete when no additional information is required. In the first six months of 2014, all but one of its requests was issued within that time frame. One advisory opinion request was pending in 2013 for several months because the requester did not provide information necessary to complete the request and it was subsequently withdrawn. Another request received in 2013 may be addressed more generally by the Commission as a position statement.

With respect to advisory opinions, some requests concern issues which the Commission has considered before, and the issuance of opinions is fairly quickly accomplished. Other requests

concern novel issues and require the Commission staff to perform extensive factual research and/or counsel to provide legal research.

The Commission will continue to issue position statements on issues affecting a large number of public officials and employees. The Commission's ability to meet this goal has been complicated by the potential impact on numerous local governments with separate independent ethics codes. The Commission will continue to make this goal a priority.

#### **B. Process Frivolous and Non-Frivolous Complaints Quickly and Efficiently:**

While the Commission is typically able to quickly address most frivolous complaints, the processing of complaints once they are determined to be "non-frivolous" may require extensive investigation and numerous meetings in order to provide the parties a fair opportunity to present the issues to the Commission. The number of Complaints, and the engagement of counsel by parties to represent their interests in these proceedings, has increased substantially in recent years. The Commission requires additional legal services to guide it in conducting hearings and administering motions filed in connection with the more litigious cases. The Commission may explore the use of electronic equipment or software to facilitate the participation of parties and witnesses. Additionally, the Commission will require better electronic recording equipment to facilitate maintaining recordings of meetings which may result in appeal.

In calendar year 2013, and through the first six months of 2014, the Commission processed 100% of its complaints within 12 months, except for Complaints which were stayed under the procedural rules or at the request of the Complainant. This includes the complaints which were found to be non-frivolous.

#### **C. Outreach and Education**

The Commission believes that outreach and education are essential to its core mission. If public officials are to abide by ethical standards, they should be given a fair opportunity to know and understand the ethical standards that apply to the performance of their duties. The Commission intends to return to a more rigorous ethics training schedule, planning to resume training of newly hired state employees and to work on developing electronic web-based ethics media, similar to that utilized in other states. The Commission was not able to provide much training from 2012 through mid-2014 due to the heavy workload and staffing related issues. Several requests for training could not be accommodated. While training is helpful to new employees, it may also aid employees with several years of service. The Commission believes that training will result in a greater understanding of the rules, so that ultimately, the workload of the Commission may be reduced.

The Commission would like to also provide telephonic and/or web-based public access to its meetings. It is hoped that the updated and improved website, accomplished with the assistance

of the Statewide Internet Portal Authority, and its contractor, Colorado Interactive, Inc., will enable the Commission to ultimately provide the low cost web-based training opportunities envisioned, along with the ability to provide the web-based public meeting access that has been requested.

The Commission also plans to begin moving toward the use of tablets or laptops to facilitate the participation of Commission members, instead of preparing and disposing of notebooks for each of its meetings.

#### **D. Complaints without the Assistance of Counsel:**

The Commission is aware that the filing and prosecution of a complaint or defending against a complaint without the assistance of an attorney may prove challenging. The Commission intends to seek guidance from the Judicial Department and others involved in the “Pro Se Project” to gain insight on how an individual may more easily participate in the Commission’s complaint process without the assistance of an attorney.

The report from this “Pro-Se Project” was released August 1, 2014. The Commission will look to this report for guidance in assisting pro-se parties, which may be implemented at little or no cost and with minimal impact on the Commission’s operational budget.

The lessons potentially learned from the “Pro Se Project” may have direct or indirect application to individuals participating in complaints before the Commission. The Commission hopes to gain insight from this report, before attempting to modify its complaint process. It is hoped that this information may offer cost-effective alternatives to better serve the pro-se parties that appear before the Commission.

#### **V. Additional Issues:**

##### **A. Adjustments to Budget:**

In fiscal year 2014, the Commission went over its budgetary appropriations for legal services and operating expenses. The budget over-runs, especially for legal services, substantially exceeded the over-runs for fiscal year 2013. The Commission was able to move funds from its personal services line to cover most of these expenditures. However, the Commission used \$4272 from a Judicial transfer to cover over-expenditures to complete fiscal year 2013.

The Commission exceeded its legal services budget by \$38,697, due largely in part to an appeal and other matters relating to high profile cases involving state-wide elected officials. The bulk of this over-run was covered by funds from the personnel service line while the Executive Director and the Assistant to the Director positions were being filled. The balance of the over-expenditure was covered by the transfer from Judicial.

At this time, an appeal relating to one of the Commission's decisions is pending in the Colorado Court of Appeals. The Commission has also been notified that it may be challenged in District Court on other matters. The Commission anticipates that litigation may continue for these matters through fiscal year 2015 and into fiscal year 2016. The Commission seeks an increase in its legal service budget from 1080 hours per year to 1872 hours (.9 FTE total) for fiscal year 2016 because of the continuing need for legal services and the extensive anticipated litigation to defend and enforce its decisions.

#### B. Operating Budget - Travel and Equipment upgrades:

In FY 2014 the Commission exceeded its travel operating budget by \$238. It is anticipated that this was due to additional meetings and related costs. The Commission continues to have a need for in-person meetings due to a heavy work load. The Commission recognized this trend and adjusted the fiscal year 2015 budget accordingly. However, based upon actual costs experienced in fiscal year 2014, the costs for these meetings will need to be increased in fiscal year 2016 to cover travel and meeting cost increases. .

Additionally, the Commission is requesting a budget increase for tablets or laptops, including software, to be used by Commission members beginning in fiscal year 2016. The Commission also requests the addition of \$500 to acquire electronic equipment to improve the quality of recordings made during its meetings. Due to the increased threats of litigation that the Commission has experienced over the past two years, the acquisition of improved recording equipment is necessary.

#### C. Salary Adjustments

The Commission also asks that its personal services line be adjusted by the same salary survey and pay for performance adjustments as requested by the Judicial Branch. The rate of increase will be determined by the annual salary survey performed by the Judicial Branch.

### **V. Conclusion:**

For fiscal year 2016, the Commission seeks an increase in its legal services budget from 1080 hours to 1872 hours, or an additional \$78,416 at the current legal services blended rate. The Commission also seeks an increase for travel and attendance at meetings and for the addition of tablets or laptops, and improved recording devices in its operating budget.



## APPENDIX A - Independent Ethics Commission Yearly Activities Report

Year	Mtgs.	Opinions				Complaints	Complaint Hearings	CORA Requests	Trainings	Informal advice calls
		AO	LR	PS	Total Opinions					
2008	27			3	3	4	0	4	2	57
2009	22	9	5	7	21	14	1	8	6	@175
2010	20	16	2	1	19	9	3	12	7	@150
2011	17	12		1	13	12	1	9	34	82
2012	16	9	1	2	12	7	2	13	14	75
2013	22	10			10	14	3	27	4	232
2014 (to 6/30/14)	12	7			7	13	1	11#	3	68#
Total	136	63	8	11	85*	73	11	71	70	839

### LEGEND:

AO = Advisory Opinion

LR = Letter Ruling

PS = Position Statement

\*Total Opinions do not reflect opinions withdrawn by the requestor (1 in 2012 and 1 in 2013 and 4 in 2014)  
One Opinion Request filed in 2013 is being considered as a potential Position Statement

Meetings include all in person meetings and telephonic meetings

@ = estimated calls - official records not maintained

# = CORA Requests and Guidance Calls between March and June 2014



## COLORADO JUDICIAL DEPARTMENT

*FY 2015-16 Funding Request  
November 1, 2014*

Chief Justice Nancy Rice

Gerald Marroney  
State Court Administrator

*Department Priority: 1*

*Request Title: Independent Ethics Commission – Legal Services and Operating*

Summary of Incremental Funding Change for FY 2015-16	Total Funds	General Fund
<b>TOTAL REQUEST (All Lines)</b>	<b>\$91,436</b>	<b>\$91,436</b>
<b>Independent Ethics Commission</b>		
Operating Expenses	13,020	13,020
Legal Services	78,416	78,416

### **Request Summary:**

The Colorado Independent Ethics Commission (IEC) requests \$78,416 of General Funds for an additional 792 hours of legal services and \$13,020 of General Funds for increased operating costs.

### **Anticipated Outcomes:**

#### **Legal Services**

Due to the increase in the number of cases investigated, the number of cases resulting in litigation, and the duration of the cases investigated, the IEC has been informed by the Department of Law that FY2015-16 legal services provided to the IEC are expected to require the equivalent of 0.9 FTE, or 1,872 hours, an increase of 792 hours over the FY2014-15 amount of 1,080 hours. The IEC exceeded the FY2013-14 legal services appropriation by \$68,280, or approximately 750 hours. The IEC was able to cover the overexpenditure by a transfer from the Legal Services budget of Courts Administration and by transferring funds from the IEC's personal services line item, which was underexpended due to a position vacancy. While there were excess personal services funds in FY2014-15, the Commission expects that each of the two IEC positions will be filled in FY2015-16 and does not anticipate having excess personal services funds in future fiscal years. The IEC is therefore requesting an additional 792 hours of legal services for FY2015-16.

#### **Operating**

**Travel:** The workload of the IEC remains consistently busy with an increase in high profile cases. As such the number of Commissioner meetings has not decreased, with three Commissioners traveling a significant distance to attend. In addition, the Commission believes that training is the most efficient and cost-effective way to ensure that public officials and employees understand their ethical obligations and is committed to increasing outreach and training programs across Colorado. To accomplish these goals, the IEC is requesting an increase in travel costs for the reimbursement of mileage and lodging expenses incurred by Commissioners to attend meetings; mileage and lodging expenses incurred by the Executive Director to provide training and outreach programs across the state; and airfare, lodging and incidental travel expenses incurred by the Executive Director and/or staff of the IEC to attend a national conference in order to gain an understanding of ethics initiatives and programs in use in other states, to evaluate whether new methodologies or procedures will be useful in Colorado's process.

**Registration Fees:** As noted above, the IEC believes that national conference attendance is an effective method of learning about programs in other states which can be adapted, thereby improving the ethics programs in Colorado.

**Printing and Reproduction Services:** Due to rule changes and other policy considerations, the Ethics handbook will be updated and reprinted in FY2015-16.

**Printing/Copy Supplies:** Toner, ink, and other supplies for printers and copiers will be expended in the current fiscal year and will need to be replenished in FY2015-16.

**Equipment:** The equipment which is used to record IEC meetings is outdated and inadequate. Given the number of CORA requests and the need for accurate and foolproof recording during hearings and other proceedings, the IEC finds it necessary to replace and upgrade the equipment, to ensure accurate recording pursuant to its Constitutional mandate. In addition, the IEC would like to purchase laptops and software for the five IEC Commissioners to increase their connectivity, productivity, and effectiveness as well as making it possible for them to access needed information immediately during public and private meetings of the IEC.

#### **Assumptions for Calculations:**

##### **Legal Services**

<b>Legal Services</b>	<b>Hours</b>	<b>Hourly Amount</b>	<b>Total</b>
Current Appropriation	1,080	99.01	106,931
FY2016 Additional Hours Requested	792	99.01	78,416
Total FY2015-16 Request	1,872	99.01	185,347

##### **Operating**

**Travel:** The IEC estimates that there will be 17 Commissioner meetings in FY2015-16. The five current Commissioners travel a combined round-trip total of approximately 765 miles per meeting. In addition, Commissioners who must travel great distances to attend the meetings also incur lodging and related expenses of \$80-\$200 per meeting. One Commissioner must incur these expenses for every meeting and another 2-3 Commissioners incur these expenses occasionally. Finally, the IEC wants to reinstate and reinvigorate the outreach and training program which has temporarily lapsed due to budget and staffing issues. The IEC wants to provide 15 trainings throughout the state in FY2015-16. The total estimated mileage for the training trips is 1,500 miles, an average of 100 miles per trip. At least five of the trainings will be in outlying areas and will require overnight stays. The IEC estimates that travel expenses related to Commissioner meetings and training will be approximately \$10,250 and that airfare, lodging, per diem, and incidental travel expenses related to conference attendance will be approximately \$1,950, as shown below.

**Registration fees:** The IEC estimates that conference registration fees will be approximately \$600.

**Printing and Reproduction Services:** In FY2012-13, the Ethics handbook was updated and printed and the IEC incurred \$1,741 in Printing and Reproduction Services as a result. The IEC will update and expand the handbook in FY2015-16 and estimates that the cost will be approximately \$2,000 due to the increased size of the handbook and increases in per page prices.

**Printing/Copy Supplies:** The IEC believes that supplies purchased in FY2013-14 at a cost of \$695 will need to be replenished in FY2015-16 at the slightly higher cost of \$750.

**Equipment:** The cost of recording devices will be approximately \$500 for the purchase of a mid-range system that will make it possible for the IEC meetings to be audibly recorded. Laptops and software for the five Commissioners is being requested at the state standard cost of \$1,500 for high travel employees.

Detailed calculations are below.

Operating Expenses	Units	Estimated Cost per Unit	FY2015-16 Request	Estimate in FY2014-15 Request	Additional Requested
<b>Travel</b>					
Commissioners:					
Mileage (765 miles/meeting x 17 meetings)	13,000	\$ 0.50	6,500	4,450	2,050
Lodging (1 commissioner x 17 meetings)	17	\$ 100.00	1,700	1,500	200
Lodging (2-3 commissioners x 3-4 meetings)	8	\$ 100.00	800	Incl. above	800
Staff:					-
Mileage (15 trainings x 100 miles/training)	1,500	\$ 0.50	750	500	250
Lodging	5	\$ 100.00	500	300	200
Conference Travel:					
Lodging	6	\$ 150.00	900	650	250
Airfare	1	\$ 750.00	750	550	200
Per diem	5	\$ 60.00	300	250	50
<b>Subtotal Travel</b>			<b>\$ 12,200</b>	<b>\$ 8,200</b>	<b>\$ 4,000</b>
<b>Registration fees</b>					
National Conference Registration fees	2	\$ 250	\$ 600	\$ 530	\$ 70
<b>Printing and Reproduction Services</b>					
Update Ethics handbook, misc. printing			\$ 2,000	\$ 1,800	\$ 200
<b>Printing/Copy Supplies</b>					
Toner, Ink, etc. for office equipment			\$ 750	\$ -	\$ 750
<b>Equipment</b>					
Recording devices	1	\$ 500	500	-	500
Laptops and software for commissioners	5	\$ 1,500	7,500	-	7,500
<b>Subtotal Equipment</b>			<b>\$ 8,000</b>	<b>\$ -</b>	<b>\$ 8,000</b>
<b>Total Operating</b>					
			<b>\$ 23,550</b>	<b>\$ 10,530</b>	<b>\$ 13,020</b>

**Consequences if not Funded:**

**Legal Services:** If not funded, the legal services hours will probably exceed the funded number of hours. The expectation is that there will not be excess funds in other line items as there were in FY2013-14 so the Department of Law would not be able to proceed with pending litigation.

**Operating:** If not funded, the IEC will have to curtail its training program, delay the reissuance of the Ethics handbook, and suspend plans to provide or replace equipment.

**Impact to Other State Government Agencies:**

**Legal Services:** The Department of Law will have to suspend work on pending cases.

**Operating:** None.

**Cash Fund Projections:**

N/A.

**Current Statutory Authority or Needed Statutory Change:**

Colorado Constitution Article XXIX and Section 24-18.5-101 *et seq.* C.R.S. No statutory change needed.

Independent Ethics Commission  
Schedule 3

FY 2016 Budget Request

ITEMS		ACTUAL FY 2013		ACTUAL FY 2014		APPROP FY 2015		ESTIMATE FY 2015		REQUEST FY2016	
		Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE
<b>INDEPENDENT ETHICS COMMISSION PROGRAM</b>											
<b>PERSONAL SERVICES</b>											
Position Detail:											
Executive Director		96,000	1.0	82,669	1.0			92,500	1.0	111,000	1.0
Director				19,333	1.0			55,028	1.0	64,133	1.0
Assistant		2,625									
Continuation Salary Subtotal		98,625	1.0	102,003	2.0			147,528	2.0	175,133	2.0
Pera on Continuation Sub-Total		9,699		12,189				14,974		17,776	
Medicare on Continuation Subtotal		1,414		1,741				2,139		2,539	
<b>Other Personal Services:</b>											
Retirement/Termination Payouts		3,980		(454)							
Professional Services		3,881		3,353						4,009	
Unemployment		2,500									
<b>Total Personal Services (GF)</b>		<b>120,099</b>	<b>1.0</b>	<b>118,832</b>	<b>2.0</b>	<b>193,063</b>	<b>2.0</b>	<b>164,641</b>	<b>2.0</b>	<b>199,457</b>	<b>2.0</b>
General Fund		120,099	1.0	118,832	2.0	193,063	2.0	164,641	2.0	199,457	2.0
<b>OPERATING EXPENDITURES</b>											
2231 - IT Hardware Maint/Repair Svcs				4						0	
2510 - In-State Travel		66						500		300	
2511 - In-State Common Carrier Fares											
2513 - In-State Pers Vehicle Reimbursement		199						750		500	
2520 - In-State Travel/Non-Employee		1,033		1,509				2,500		1,500	
2522 - IS/Non-Employee - Pers Per Diem											
2523 - IS/Non-Employee Vehicle Reimbursement		4,087		5,072				6,500		4,450	
2530 - Out-of-State Travel		590						900		650	
2531 - OS Common Carrier Fares		339						750		550	
2532 - OS Personal Travel Per Diem		222						350		250	
2550 - Out-of-Country Travel				935							
2551 - OC Common Carrier Fares		628		673						0	
2610 - Advertising		150		175				150		150	
2680 - Printing and Reproduction Services		1,741		516				1,000		1,800	
2681 - Photocopy Reimbursement		103		9				50		100	

**Independent Ethics Commission  
Schedule 3**

**FY 2016 Budget Request**

ITEMS	ACTUAL FY 2013 Total Funds	FTE	ACTUAL FY 2014 Total Funds	FTE	APPROP FY 2015 Total Funds	FTE	ESTIMATE FY 2015 Total Funds	FTE	REQUEST FY2016 Total Funds	FTE
2820 - Other Purchased Services			675				675			
3110 - Other Supplies & Materials	2,764		9						3,627	
3115 - Data Processing Supplies			27							
3116 - Noncap IT - Purchased PC SW			331							
3118 - Food and Food Service Supplies	1,091		1,635				1,700		1,100	
3121 - Office Supplies			193				200			
3123 - Postage	142		48				50		150	
3124 - Printing/Copy Supplies			695				1,000			
3128 - Noncapitalized Equipment	150		232				500			
3132 - Noncap Office Furn/Office Systems	148								0	
3140 - Noncapitalized IT - PCs			1,521							
3143 - Noncapitalized IT - Other			261							
4100- Other Operating Expenses	87						100		100	
4140 - Dues and Memberships	963		533				1,000		1,000	
4151 - Interest - Late Payments			1							
4220 - Registration Fees	530		550				580		530	
Operating Expenditure Sub-total	15,033		15,601				19,255		16,757	
<b>FY2015-16 Decision Items:</b>										
#1 Legal Services and Operating									13,020	
<b>Total Operating Expenditures (GF)</b>	<b>15,033</b>		<b>15,601</b>		<b>16,757</b>		<b>19,255</b>		<b>29,777</b>	
General Fund	15,033		15,601		16,757		19,255		29,777	
<b>LEGAL SERVICES</b>										
Continuation Legal Services	75,945		150,252				132,855		106,931	
<b>FY2015-16 Decision Items:</b>										
#1 Legal Services and Operating									78,416	
<b>Total Legal Services (GF)</b>	<b>75,945</b>		<b>150,252</b>		<b>106,931</b>		<b>132,855</b>		<b>185,347</b>	
General Fund	75,945		150,252		106,931		132,855		185,347	
<b>Total Independent Ethics Commission Program</b>	<b>211,076</b>	<b>1.0</b>	<b>284,685</b>	<b>2.0</b>	<b>316,751</b>	<b>2.0</b>	<b>316,751</b>	<b>2.0</b>	<b>414,581</b>	<b>2.0</b>
General Fund	211,076	1.0	284,685	2.0	316,751	2.0	316,751	2.0	414,581	2.0

Independent Ethics Commission  
Schedule 3

FY 2016 Budget Request

ITEMS		ACTUAL FY 2013		ACTUAL FY 2014		APPROP FY 2015		ESTIMATE FY 2015		REQUEST FY2016	
		Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE
<b>INDEPENDENT ETHICS COMMISSION PROGRAM RECONCILIATION</b>											
Prior Year Long Bill Appropriation		213,773	1.0	215,159	1.0			287,909	2.0	316,751	2.0
Prior Year Salary Survey										4,567	
Prior Year Merit										1,827	
Vacancy Savings/Under-utilized FTE											
Request Year Decision Items										91,436	
Annualized Salary Survey											
Annualized Merit											
0.2% JBC Reduction											
Adjustment											
Pot Allocations											
July 1st Long Bill Appropriation		213,773	1.0	215,159	1.0			287,909	2.0	414,581	2.0
Supplemental Funding:											
FY2012 JBC Budget-Balancing Action											
FY2013 JBC Figure-Setting Adjustment - legal services		1,386									
FY2014 Budget Amendment											
FY2015 JBC Figure-Setting Adjustment - Personal Svcs								324			
FY2015 JBC Common Policy Adjustment - legal services								8,564			
FY2015 Request - Other Personal Services increase								3,560			
FY2013 Supplemental/FY2014 Budget Amendment:											
Additional FTE				71,123	1.0						
FY2015 Decision Items:											
#1 Legal Services								16,394			
FY2016 Decision Items:											
#1 Legal Services and Operating											
TOTAL APPROPRIATION/REQUEST		215,159	1.0	286,282	2.0			316,751	2.0	414,581	2.0
Over/Under Expenditures											
Year-End Transfer		0		4,244							
Reversion		(4,083)		0							
<b>TOTAL IEC RECONCILIATION</b>		<b>211,076</b>	<b>1.0</b>	<b>290,526</b>	<b>2.0</b>	<b>n/a</b>		<b>316,751</b>	<b>2.0</b>	<b>414,581</b>	<b>2.0</b>



Independent Ethics Commission  
Schedule 3

FY 2016 Budget Request

ITEMS		ACTUAL FY 2013		ACTUAL FY 2014		APPROP FY 2015		ESTIMATE FY 2015		REQUEST FY2016	
		Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE
<b>IEC SALARY POTS/BENEFITS</b>											
<b>HEALTH, LIFE &amp; DENTAL (HLD)</b>											
Base Request			5,216		7,209				15,393		15,393
FY2016 Adjustment											935
<b>Total HLD (GF)</b>		<b>5,216</b>		<b>7,209</b>		<b>15,393</b>		<b>15,393</b>		<b>16,328</b>	
General Fund		5,216		7,209		15,393		15,393		16,328	
<b>SHORT-TERM DISABILITY (STD)</b>											
Base Request			166		183				374		374
FY2016 Adjustment											5
<b>Total STD (GF)</b>		<b>166</b>		<b>183</b>		<b>374</b>		<b>374</b>		<b>379</b>	
General Fund		166		183		374		374		379	
<b>AMORTIZATION EQUALIZATION DISBURSEMENT (AED)</b>											
Base Request			3,094		4,335				6,803		6,803
FY2016 Adjustment											783
<b>Total AED (GF)</b>		<b>3,094</b>		<b>4,335</b>		<b>6,803</b>		<b>6,803</b>		<b>7,586</b>	
General Fund		3,094		4,335		6,803		6,803		7,586	
<b>SUPPLEMENTAL AMORTIZATION EQUALIZATION DISBURSI</b>											
Base Request			2,648		3,917				6,378		6,378
FY2016 Adjustment											949
<b>Total SAED (GF)</b>		<b>2,648</b>		<b>3,917</b>		<b>6,378</b>		<b>6,378</b>		<b>7,327</b>	
<b>SALARY SURVEY</b>											
Base Request									4,567		4,567
FY2016 Adjustment											(2,621)
<b>Total SALARY SURVEY (GF)</b>		<b>0</b>		<b>0</b>		<b>4,567</b>		<b>4,567</b>		<b>1,946</b>	

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FY 2016 Budget Request

ITEMS	ACTUAL FY 2013 Total Funds	FTE	ACTUAL FY 2014 Total Funds	FTE	APPROP FY 2015 Total Funds	FTE	ESTIMATE FY 2015 Total Funds	FTE	REQUEST FY2016 Total Funds	FTE
<b>MERIT</b>										
Base Request							1,827		1,827	
FY2016 Adjustment									142	
<b>Total MERIT (GF)</b>	<b>0</b>		<b>0</b>		<b>1,827</b>		<b>1,827</b>		<b>1,969</b>	
<b>Total IEC Salary Pots/Benefits</b>	<b>11,124</b>		<b>15,645</b>		<b>35,342</b>		<b>35,342</b>		<b>35,535</b>	
General Fund	11,124		15,645		35,342		35,342		35,535	
<b>IEC SALARY POTTS/BENEFITS RECONCILIATION</b>										
Long Bill Appropriation	12,738		9,804				35,342		35,342	
HLD									935	
STD									5	
AED									783	
SAED									949	
Salary Survey									(2,621)	
Merit									142	
JBC Adjustment/Common Policy										
Decision Item Funding							35,342			
July 1st Long Bill Appropriation	12,738		9,804							
<b>TOTAL APPROPRIATION/REQUEST</b>	<b>12,738</b>		<b>9,804</b>				<b>35,342</b>		<b>35,535</b>	
Over/Under Expenditures - Xfr from Operating										
Year-End Transfer										
Transfer from DPA										
Reversion	(1,614)									
<b>TOTAL IEC SALARY POTTS/BENEFITS RECONCILIATION</b>	<b>11,124</b>		<b>9,804</b>		<b>n/a</b>		<b>35,342</b>		<b>35,535</b>	
<b>TOTAL INDEPENDENT ETHICS COMMISSION</b>	<b>222,201</b>	<b>1.0</b>	<b>300,330</b>	<b>2.0</b>	<b>352,093</b>	<b>2.0</b>	<b>352,093</b>	<b>2.0</b>	<b>450,116</b>	<b>2.0</b>
General Fund	222,201	1.0	300,330	2.0	352,093	2.0	352,093	2.0	450,116	2.0